QUALITY REVIEW SYSTEM GUIDEBOOK

University Centers for Excellence in Developmental Disabilities



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# PREFACE

This guidebook provides information on the Quality Review System (QRS). The guidebook is intended to be used as a resource for Office of Intellectual and Developmental Disability Programs (OIDD) staff, University Centers for Excellence in Developmental Disabilities (UCEDDs), and by QRS reviewers who conduct the QRS activities. The QRS guidebook describes the model and procedures for every component of the QRS process. It is organized into the following sections:

Section 1: Overview of the DD Act and OIDD

Section 2: Overview of the Quality Review System

Section 3: QRS Tier 1 – Annual Review of Program Performance Reports

Section 4: QRS Tier 2 – Periodic In-depth Federal Reviews of Program Compliance and Outcomes

Section 5: QRS Tier 3 – Customized Monitoring

Section 6: Continuous Improvement

There is also an appendix at the end of the guidebook that provide additional information and resources related to QRS. There is a list of acronyms in Appendix A and the glossary in Appendix B that will help with understanding words and concepts associated with QRS that appear in the guidebook.

# SECTION 1: Overview of the DD Act and OIDD

## The DD Act

The Developmental Disabilities Assistance and Bill of Rights Act of 2000 (P.L. 106-402) (DD Act) contains three complementary 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, collectively referred to also as DD Network, are:

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

## Developmental Disabilities

There are approximately 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.

## OIDD

The Office of Intellectual and Developmental Disability Programs (OIDD) is the Federal agency responsible for the implementation and administration of the DD Act. Organizationally, OIDD is located within the Administration on Disabilities (AOD), Administration for Community Living (ACL), U.S. Department of Health and Human Services. OIDD’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. OIDD developed this Quality Review System to guide its oversight of DD Act programs.

### 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 policymakers.

### 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 policymakers.

### 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 training and technical assistance, and may include direct model and demonstration services;
3. Research, which includes evaluation, and analysis of public policy; and
4. Information dissemination.

These core functions are to be applied to specified “areas of emphasis”, or aspects of community living, such as health, education, housing, employment, recreation, and others, with the intention to improve systems supporting people with intellectual and developmental disabilities across the lifespan.

# SECTION 2: Quality Review System

## Overview of QRS

OIDD uses the Quality Assistance Review System (QRS) 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).

The title Quality Review System was carefully and thoughtfully chosen to place emphasis on promoting quality in the work of the UCEDDs.

QRS benefits OIDD and all UCEDDs nationwide. OIDD relies on QRS as a significant component of its Federal stewardship. Under the terms of the DD Act, OIDD must conduct oversight to determine the extent to which UCEDDs are helping individuals with developmental disabilities and their families have more opportunities to live, participate, and contribute to community life. Understanding and reviewing whether programs are achieving these outcomes is critical to OIDD’s role.

The information collected through the monitoring process helps OIDD comply with the requirements of the Government Performance and Results Modernization Act of 2010 (GPRA) that seeks to increase government accountability. GPRA was first enacted by Congress in 1993 and updated in 2010 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. OIDD uses the information obtained from QRS to strengthen its position when justifying its programs to Federal oversight agencies.

QRS can help improve program performance. OIDD uses the information to identify areas for technical assistance (TA) across the network and for individual programs. This information is shared with the UCEDD Resource Center (URC) to design and target TA where needed. Thus, UCEDDs will learn how to become even more effective in bettering the lives of individuals with developmental disabilities.

Prior to QRS, OIDD used the Monitoring and Technical Assistance Review System (MTARS). In 2012, OIDD evaluated MTARS to make monitoring and technical assistance a more efficient and effective process for OIDD and UCEDDs. QRS was based on findings from this evaluation and the components of the model were pilot tested in 2012 – 2014.

## QRS Components

QRS has four basic components:

1. Federal review of program compliance
2. Federal review of program outcomes
3. Federal review of fiscal operations
4. Provision of technical assistance

These are distinct yet interrelated components. To this end, OIDD uses information from the results of the federal compliance and outcome reviews to identify where technical assistance is needed and coordinates with its TA providers to ensure the areas are addressed. These components are discussed below.

**Figure 1: Quality Review System (QRS)**



### Program Compliance

OIDD is the Federal steward that ensures its programs operate consistent with the DD Act and its regulations. The program compliance element of QRS asks the question:

*Are the OIDD programs doing what the law requires?*

Compliance is seen as the minimum at which UCEDDs must operate. Throughout QRS, information is reviewed to determine whether UCEDDs are in compliance with the law.

### Program Outcomes

While it is important to determine compliance with the Act, compliance in and of itself does not guarantee effectiveness and achievement of the purpose of the Act. QRS is also concerned with outcomes. The program outcomes review element of QRS asks the question:

*Are the OIDD programs making a difference in people’s lives?*

This question 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. Rather, programs must show that they are achieving goals of the DD Act and making an impact on the lives of people with developmental disabilities. This Federal climate expands responsibilities for Federal stewardship. It is also an opportunity to bring more attention to the impact of the UCEDDs.

The QRS assessment of UCEDD outcomes is guided by two principles:

1. The extent to which the UCEDD is achieving the purpose of the DD Act: *The purpose of this title is 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...*
2. The extent to which the data collected and submitted by the UCEDD on end outcomes can be validated.

### Fiscal Operations

This element of the QRS asks the question:

*Are OIDD programs adhering to federal fiscal management requirements?*

The fiscal management element is concerned with monetary tracking and accountability. UCEDDs are asked to demonstrate fiscal management through the appropriate oversight, monitoring, accounting, and use of OIDD funds. To this end, they are asked to document fiscal responsibility in the use of federal funds.

### Technical Assistance

This element of the QRS asks the question:

*What technical assistance will bring OIDD programs into compliance and/or enhance program outcomes?*

The technical assistance element is concerned with the programs operations that will improve compliance and/or the UCEDDs outcomes/impact. Technical assistance is a coordinated process between OIDD, UCEDDs, and the URC which is contracted by OIDD as the UCEDD TA provider.

## QRS Three-Tiered Model

The three components of QRS are incorporated into a three-tiered model described below.

### Tier 1: Annual Federal Compliance and Outcome Review of Program Performance Reports (PPRs)

Tier 1 is a standardized part of QRS. All programs undergo a Tier 1 review on an annual basis. Federal staff use the Tier 1 review tool to evaluate the PPRs for compliance and outcomes. Tier 1 better integrates compliance reviews into the review of the PPRs and makes better use of performance data to understand results at a programmatic and national level. Tier 1 is also used to identify potential red flags.

OIDD incorporates TA into Tier 1 by identifying trends in the review of the PPRs. OIDD shares this information with the URC for designing TA to address areas for improvement across the Network. OIDD may also identify for specific UCEDDs areas of need and will coordinate with the URC to provide TA where needed.

### Tier 2: Periodic In-depth Federal Reviews of Program Compliance and Outcomes

Tier 2 is a standardized component of QRS. It includes three distinct steps to verify compliance, assess outcomes, and further identify red flags: (1) review of the UCEDD 5-year core grant application by a Merit Review Panel Team of two peers and a self-advocate or family member, facilitated by federal staff; (2) site visit and/or desk audit review by a team of federal staff, peers, and the TA provider as appropriate; and (3) review of the UCEDD final five-year report by federal staff. These steps are described in greater detail in Section 4 below.

OIDD will make recommendations for technical assistance based on the Tier 2 review. Technical assistance is provided by the URC and is based on findings from the Tier 2 review and can include (but is not limited to) a range of technical assistance options including training and consultation, information to improve operations, resources from network peers, and a partial or full organizational review. The report will include recommendations for areas to be addressed through technical assistance; however, the TA provider can also identify other areas for technical assistance.

Based on findings during the Tier 2 review, OIDD may recommend further review in the form of a Tier 3 review. Most likely, the Tier 3 review will focus on further investigating potential program compliance issues if additional information is needed to verify program compliance.

### Tier 3: Customized Monitoring

Tier 3 allows OIDD to conduct customized monitoring of ‘red flag’ programs. ‘Red flag’ programs are those that OIDD has significant concerns about in terms of compliance and/or a lack of responsiveness to technical assistance or other efforts to address programmatic concerns. OIDD will carry out more focused monitoring of the UCEDD in specific individualized areas of concern. Findings from Tiers 1 and 2 are used to identify the areas for focus on in Tier 3. However, if OIDD receives other information that raises serious concerns about a

## QRS Review Tools

Given the variety of elements related to QRS, OIDD created the Tier 1 Review Tool and the Tier 2 Review Tools to streamline the processes. They are the tools OIDD uses to review the programs annually and periodically but can be used by the programs as self-assessment checklists. UCEDDs can use the Tier 1 Review Tool to know how its PPR will be evaluated, the Tier 2 Core Grant Review Tool to know how its five-year application will be evaluated, and the Tier 2 Site Visit Tool to prepare for a site visit. The Tier 2 Final 5-year Report Review Tool is in development. The Tier 1 review tool appears in Appendix C and Tier 2 review tool appears in Appendix D.

## QRS Activities and Timeline

In general, the QRS spans the UCEDD grant year (July 1 – June 30) to organize and manage the QRS activities for the year. It includes tasks such as identifying the UCEDDs to be reviewed, preparing a yearly budget, establishing review teams, and preparing the program for the site visit. The process timeline is at the discretion of OIDD. See the UCEDD Grantwriting and Reporting Timeline in Appendix F for general guidelines on timing of UCEDD grantwriting and reporting activities involved in the QRS cycle.

# Section 3: QRS Tier 1 – Annual Review of Program Performance Reports

The UCEDD PPR is due July 30 of each year. The purpose of Tier 1 is annual compliance and outcome review. The Tier 1 review tool (Appendix C) along with OIDD’s guidance in the UCEDD PPR template should be used when preparing the report to ensure all relevant information and data are included in the report. Following submission of the PPR, OIDD staff will use the Tier 1 Review Tool to review each PPR. OIDD staff will also compare current PPR data to past PPR data to identify any “outlier” data that is significantly inconsistent with prior years. If concerns are noted, OIDD staff will communicate with the UCEDD Director for clarification.

# Section 4: QRS Tier 2 – Periodic In-depth Federal Reviews of Program Compliance and Outcomes

## Tier 2: Three Step Process

Tier 2 is generally carried out over the course of the grant year. These steps are described in more detail below.

### Step 1: Review of UCEDD 5-year Core Grant Application

OIDD staff recruit, train, and facilitate a Merit Review Panel to review UCEDD core grant applications. The Merit Review Panel consists of two peers and one self-advocate or family member. Applications that score well are recommended for funding. Applications that are not recommended for funding are returned to the UCEDD for revision, along with comments from the Merit Review Panel and a recommendation to reach out to the UCEDD Resource Center for confidential assistance revising their application. After revising and resubmitting a core grant application, the application is again reviewed for a funding recommendation. The UCEDD Tier 2 Core Grant Application Review Tool (Appendix D) along with OIDD’s guidance in the UCEDD funding announcement should be used when preparing the core grant application to ensure all relevant information is addressed.

### Step 2: UCEDD Site Visit/Desk Audit Review

Multiple steps are involved in preparing for, conducting, and following up from a UCEDD site visit. These steps are outlined below. The UCEDD Tier 2 Site Visit Review Tool (Appendix E) should be used when preparing for a site visit.

#### Planning, Preparation, and Notification

OIDD engages in a number of planning activities to prepare for the Tier 2 Site Visit Review. The QRS planning generally begins the first quarter (July 1 – September 30) of each UCEDD funded year. The purpose of the planning phase is to organize and manage the QRS activities for the year. It includes the following tasks:

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

#### Selecting States to Review

Staff from OIDD recommends UCEDDs for review during the fiscal year. UCEDDs most likely to be recommended and selected for review are those with:

* Concerns noted during the Tier 1 review
* Significant program deficiencies
* Problems implementing Federal requirements
* Significant consumer complaints
* Longest time since last review

The number of UCEDDs reviewed in a year depends in part on the availability of Federal funds to cover travel expenses for the on-site visit. It also depends on the availability of OIDD staff to conducts the reviews.

#### OIDD Staff Assignments and Preparations

Once UCEDDs have been identified for the Tier 2 review, OIDD makes staff assignments for conducting the Tier 2 review. OIDD staff serves as the Program Lead for the Tier 2 review. Several factors are taken into consideration when making staff assignments, including programmatic concerns, grant assignments, and workload. OIDD may assign additional staff to the QRS team as co-leads or trainees.

The Tier 2 Program Lead engages in a variety of activities to prepare for and conduct the Tier 2 review. The Tier 2 Program Lead ensures that overall logistics are managed and communicated across the team and with the UCEDD. The Tier 2 Program Lead also has responsibility for the analysis of the Tier 2 Review Tool, the site visit activities, and report writing. See Appendix G for the OIDD Team Lead Checklist, which outlines all the steps to be carried out in the different phases of the Tier 2 review.

#### Notification to UCEDD

A formal notification of the QRS Tier 2 review is sent to each UCEDD from the Commissioner of AOD. The confirmation letter describes the purpose of the QRS, including the site visit. It also identifies proposed dates for the site visit and the due date for the Tier 2 review tool. Copies of the notification are distributed to the following:

* UCEDD Resource Center
* UCEDD Director
* OIDD Staff on the Review Team

#### Recruitment of Tier 2 Team Members

The Tier 2 review is conducted by a team of federal and non-federal staff. Selection is a collaborative process guided by needs, circumstances, and expertise of the UCEDD. Generally, the QRS Team is comprised of the following people:

* OIDD Program Specialist
* Peer UCEDD Director
* UCEDD Resource Center staff (optional)

##### Team Member Responsibilities

The OIDD Team Lead is responsible for the following:

* Determining the QRS team composition
* Overall coordination of the review including planning, scheduling, and report writing
* Coordinating logistics, including hotel accommodations
* Coordinating the initial conference call with the UCEDDs
* Facilitating any team meetings that occur on-site
* 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 following the site visit
* Arranging technical assistance
* Monitoring progress following the site visit
* Maintaining confidentiality of all information shared during the process

With these responsibilities comes a time commitment associated with the QRS. Reviewers are expected to participate in up to one day of training if they have not previously participated in a QRS Tier 2 Review, at least one team meeting to review UCEDD materials, at least one conference call with the UCEDD in preparation for the site visit, and a two day site visit at the UCEDD. 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

Tier 2 team members have access to a great deal of sensitive information about the UCEDD and its activities.***All information and materials received and reviewed should be considered confidential.***  Team members should only discuss information from the review with other QRS team members and not UCEDDs being reviewed or URC representatives not on the QRS team. See Appendix H for Tips for Effective Teamwork.

#### Training QRS Reviewers

OIDD 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 QRS, and each element of QRS monitoring including collaboration, compliance, accountability, fiscal management, technical assistance, and innovative practices.

If funds allow, the training will be held in the location of the UCEDD being reviewed. The OIDD Logistics Contractor will make travel arrangements and pay for travel expenses for all non-federal reviewers and any personal support personnel needed. If no funds available, training will be virtual.

#### UCEDD Preparations (prior to the site visit)

In addition to the work that OIDD and the Tier 2 team members do to prepare for the review, the UCEDD has an important role in planning and preparing for the review and the site visit, including:

* Working with Tier 2 team members to help with logistics for the on-site aspects of the review;
* Scheduling site visit activities;
* Identifying topics to address/champion with key administrators in university or medical center; and
* Completing the Tier 2 site visit review tool and providing other materials for the review.

See the checklist in Appendix I to help UCEDDs manage all aspects of the site visit preparations.

#### OIDD Conference Call with UCEDD

Following the notification, the Tier 2 Program Lead contacts the UCEDD Director to begin coordinating activities that will take place during the Tier 2 review, including the site visit. The Tier 2 Program Lead will schedule a conference call with the UCEDDs to provide an overview of the QRS process and discuss logistical issues. See Appendix J for a sample conference call agenda.

#### Review of the Tier 2 Review Tool

Once the UCEDD has submitted its response (i.e., the completed Tier 2 Site Visit Review Tool) and supporting documents to the review team, each team member should review the materials on their own and prepare comments using the “Reviewer Observations” comments sections of the tool. When reviewing the responses, team members should note if they need more information to answer to the question posed in the prompt. They should also note if they think the response is adequate or needs more explanation.

The OIDD Team Lead will then schedule a meeting where the review team members discuss their feedback and comments on the UCEDD’s responses. The OIDD Team Lead will then draft the final responses for the “Reviewer Observation” section, based on the feedback of all team members. The comments should indicate whether the UCEDD’s answers are satisfactory or if the team has concerns. Additionally, the comments should note if additional information is needed. It is helpful to begin drafting the responses while the team meets together. At this stage, the review team may identify additional documents that the team needs from the UCEDD before they arrive on site.

#### Tier 2 Site Visit Review Team Summary of Findings

The OIDD Team Lead will prepare a 2- to 3-page summary of the review team’s findings at this stage that: 1) identifies which areas are believed to be satisfactory; 2) which areas need more information; and 3) which areas raise concerns for the review team. This summary will identify areas of focus for the site visit based on the team’s findings.

The OIDD team lead should provide all team members with a draft of the summary and review tool for their approval before sending it to the UCEDD. The OIDD Team Lead will then submit the summary, the Tier 2 tool with the team’s responses and requests for additional documents to the UCEDD directly.

#### Preparing to Meet the 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 UCEDD’s efforts have on people
* Explore potential compliance and other issues not identified or fully understood prior to the visit

Site visits enable OIDD to review the UCEDD. The information obtained during the site visits helps OIDD:

* Verify UCEDD compliance
* Gauge overall effectiveness and consumer satisfaction
* Assess UCEDD fiscal management
* Identify recommendations for technical assistance
* Promote quality

The site visit gives the Tier 2 review team many opportunities to gather information directly from the UCEDD 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 UCEDD activities and accomplishments, along with first-hand observation of UCEDD projects provide significant insight about the philosophy, values, direction, and goals of the UCEDD.

#### Developing the Site Visit Agenda

The UCEDD will develop the site visit agenda based on input from the Tier 2 review team. The agenda should include all activities (e.g., interviews, document reviews, case reviews, peer to peer discussions, team meetings) needed to make a determination about UCEDD performance and fulfill all the expectations of a Tier 2 review. The agenda should also include an exit debriefing meeting, discussed in greater detail below. Timeframes for each activity should be realistic so all that is needed is accomplished.

Based on discussions of the summary of findings and the areas of inquiry, the UCEDD can begin to develop a draft schedule for the site visit. About a month before the site visit the UCEDD should share a draft with the Tier 2 Program Lead for discussion and feedback. From there, the UCEDD can work to finalize the agenda. The final agenda should be shared with the Tier 2 Program Lead for final review, with the UCEDD making adjustments based on feedback from the OIDD staff.

#### Accessibility

The UCEDDs must ensure that all aspects of the QRS 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 UCEDD sites. Any instances in which there are barriers preventing the full participation of individuals with developmental disabilities in any QRS event will be noted in the final report.

#### Facilities

The UCEDD should prepare for the site-visit by making certain adequate facilities are available for the review activities. If the UCEDD does not have adequate meeting space, they should inform OIDD so that alternative arrangements can be made that satisfies all needs. The UCEDD also assists OIDD in identifying an adequate hotel for the team. See Appendix I for a checklist.

#### Preparing Staff

The UCEDD 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.

#### Conducting the Site Visit

The site visit is conducted based on the agenda. If there is a need to make changes to the agenda while on site, this will be discussed by the team and the UCEDD Director. Below is additional information about specifics aspects of the site visit.

Site visit activities include an interview with CAC, staff, faculty, trainees, and individuals/families served; discussion with UCEDD leadership to identify how core functions are implemented in programs; discussion with key university or medical center administrators to discuss UCEDD’s role within the institution and to identify current and future support for UCEDD; review of UCEDD space for accessibility; interview with administrative/operational support staff; and interview DD network and other collaborative partners.

#### Using the Site Visit Tool

The Tier 2 Site Visit Review Tool in Appendix E contains prompts for the UCEDD and reviewers in five subject areas: 1) Compliance Analysis; 2) Interdisciplinary Training and Continuing Education; 3) Community Services; 4) Research; and 5) Information Dissemination. The prompts are designed to assess compliance with the DD Act, 45 CFR 1328, and the UCEDD logic model, that were identified as appropriate for assessing program compliance. The tool measures both compliance and outcomes at the UCEDD.

Documents to review in advance of visit include UCEDD mission, vision, and values statements; MOU/charter with university/health science center; core function plans; an array of products and materials developed for dissemination; links to website; most recent core grant application with budget; most recent PPR; language access plan and other materials addressing efforts on diversity, inclusion, and cultural and linguistic competence.

Any documents cited in the response should be clearly labeled and included in the UCEDD’s submission of the review tool. The UCEDD Director should coordinate with the Program Lead to decide whether additional documentation is submitted in paper or electronic form. All reviewers will use their individual versions of the review tool to develop a consensus summary to deliver to the reviewed UCEDD within one-month post-visit. Summary should include key strengths, recommendations and suggestions. Depending on the timing of the visit, the UCEDD should use the core grant application and PPR processes to address the feedback.

#### 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. Appendix L 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.

#### Tier 2 Review Team Meetings

The site visit includes Tier 2 review team meetings. Tier 2 review 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. Tier 2 review teams must meet the last afternoon of the site visit to develop a brief overview of the findings from the Tier 2 review that will be shared with the UCEDD at the exit debriefing.

#### Tier 2 Exit Debriefing

The site visit also includes an exit debriefing. At this debriefing, the Tier 2 review team presents to the OIDD UCEDD a brief overview of major findings, including strengths, area of satisfactory performance, and areas of concern. In this way, the UCEDDs are alerted to what to expect in the final Tier 2 report. Appendix M has an outline for reporting out the QRS results at the exit debriefing.

#### Development of the Tier 2 Site Visit Report

After each Tier 2 site visit, the OIDD program lead prepares a written report covering all aspects of the review.

##### Content of the Report

The report outlines the purpose of the review, describes the procedures followed, findings from the Tier 2 review and recommendations. The recommendations section will include the following information:

* Whether the team recommends the program for a Tier 3 review;
* Recommendations for improving compliance and outcomes as appropriate; and
* Recommendations for technical assistance, which can be a range of targeted technical assistance to address specific issues to an organizational review of the program.

##### Format of the Tier 2 Site Visit Report

The format is the following:

Section I: Summary of Findings

Section II: Overview of the Quality Review System

Section III: QRS Tier 2 Site Visit Process

Section IV: QRS Tier 2 Site Visit Findings

Strengths

Satisfactory Program Aspects

Compliance Issues

Other Concerns

Section V: Recommendations

Appendix 1: Copy of Site Visit Agenda

Appendix 2: Copy of Completed Tier 2 Site Visit Review Tool

##### Process and Timeframes for Developing the Final Report

Developing and finalizing the final report should be accomplished within two months after the review. Some reports may require more time to finalize pending review of compliance issues and the determination of whether to conduct a Tier 3 review. Table 1 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.

**Table 1: Timeline for Issuing Report**

|  |  |  |  |
| --- | --- | --- | --- |
| **TIMELINE** | **OIDD Team Lead** | **Non-federal Team Members** | **OIDD Management** |
| By time of site visit | First draft of Part 1: Purpose and Scope of the Review completed |  |  |
| Monday after site visit |  | Submits notes to the OIDD Team Lead |  |
| 2 weeks post site visit | Drafts report and circulates to OIDD Director for review |  |  |
| 3 weeks post site visit |  |  | OIDD Director reviews report and provides feedback |
| 4 weeks post site visit | OIDD Team Lead revises report based on OIDD Director feedback then send report to the Tier 2 review team |  |  |
| 5 weeks post site visit |  | Reviews reports and return comments on the report to the OIDD Team Lead |  |
| 6 weeks post site visit | Incorporate non-federal team member’s comments into report and finalize report |  |  |
| 7 weeks post site visit | Submits full report to AOD Commissioner for de-briefing and sign off |  | AOD Commissioner reviews report and participates in de-briefing |
| 8 weeks post site visit | OIDD Team Lead finalizes report, prepares cover letter. |  | AOD Commissioner issues e-copy of report to UCEDD. |

If the program is recommended for a Tier 3 review, the Tier 2 site visit report will be completed prior to the start of the Tier 3 review.

##### Report Distribution

The final report is issued by the AOD Commissioner. The QRS report is distributed to the following:

* UCEDD Director
* Review Team members
* UCEDD Resource Center
* Consumer Advisory Committee

See Appendix N for a sample cover letter for the QRS report.

#### Response to QRS Report

The QRS report will identify strengths, satisfactory program aspects, compliance issues, and recommendations. The report will include compliance issues if the team has determined that the UCEDD has not complied with the requirements in the DD Act.

The UCEDD submits a response to the lead program officer 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 the plan for technical assistance. If the report includes recommendations on collaboration, OIDD expects the DD Network in the state or territory to together develop a joint action plan.

The response should be submitted within 60 days of receipt of the Tier 2 report sent by the Commissioner. Federal officials may provide assistance in the development of action plans. The URC should be involved in developing the plan for technical assistance.

#### Content of the Corrective Action Plan (CAP)

If a program is found to be out of compliance with the DD Act, they must submit a CAP to OIDD within 60 days. 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 including deliverables to indicate when compliance has been achieved; and
* Description of how progress on the plan will be demonstrated, evaluated and reported to OIDD.

If the amount of progress to be achieved through the CAP appears to be insufficient, OIDD will provide feedback to the UCEDD to identify steps that sufficiently move the UCEDD 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.

A UCEDD required to prepare a CAP must submit its plan to the team lead for approval within 60 calendar days of receiving the final QRS report that identifies elements of noncompliance and need for improvement. OIDD will review the action plan and notify the UCEDD in writing of approval or disapproval within 30 days. If OIDD determines that revisions to the corrective action plan are needed, the UCEDD must develop and submit the revisions to the team lead within 30 calendar days of receiving written notice that the action plan was not approved.

#### Technical Assistance

Once the report is issued to the UCEDD, the OIDD Team lead provides a copy of the report to the URC and discusses recommendations for technical assistance. Following this discussion, the URC follows up with the UCEDD to plan for technical assistance. This plan should be incorporated into the response to the QRS report. The URC will also provide a report back to OIDD on the technical assistance process and outcomes, following the existing approach for Individualized TA.

#### Post-Tier 2 Site Visit Monitoring

After the close of the Tier 2 site visit review, the OIDD project officer will continue monitoring the program. In cases where OIDD will conduct a Tier 3 review, post-review monitoring will begin once that review is completed (see Tier 3 section). Post-Tier 2 monitoring will include monitoring of the CAP as appropriate, review of URC reports on the technical assistance provided to the program, and review of UCEDD program performance reports to assess whether recommendations are being addressed by the UCEDD.

##### Monitoring of Timeframes for Implementing the CAP

One aspect of the CAP the OIDD project officer will monitor is the timeframe for addressing the compliance issues. 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 CAP

The OIDD project officer will also monitor and evaluate the UCEDD’s compliance with the terms and conditions of its approved corrective action plan, including the achievement of the benchmarks included in the plan.

The UCEDD must at least provide quarterly written progress reports to OIDD staff. UCEDDs may be required to submit reports more frequently depending on the nature of the compliance issues. The 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.

##### Other Post-Tier 2 Monitoring

In cases where there were no compliance issues, but recommendations were made to the program, OIDD will still want to understand what the program did after the site visit and where changes were made. OIDD will use the PPR for collecting information about any actions carried out by the UCEDD after the site visit was completed.

### Step 3: Review of UCEDD Final 5-year Progress Report

If a site visit does not take place, this step is still to be completed.

The UCEDD must complete the Final Progress Report, commonly known as the Closeout Evaluation, 90 days after the end of the five-year grant period which is September 29 after the end of each five-year core grant cycle. In completing this report, UCEDDs should follow OIDD’s guidance to ensure all relevant information and data are included. The Final Progress Report allows UCEDDs to highlight achievements, progress, outcomes and impact relevant to their scope of work and expertise throughout the full five-year core grant period. Following submission of this report, OIDD staff will utilize the Final 5-year Progress Report Review Tool (to be developed) to review the report. If concerns are noted, OIDD staff will communicate with the UCEDD Director for clarification.

# Section 5: QRS Tier 3 – Customized Monitoring

QRS Tier 3 is designed to provide OIDD a mechanism for conducting customized reviews of programs that are at-risk or have significant compliance issues. Tier 3 provides OIDD a clear course of criteria and action for addressing UCEED issues that fall outside the standard review processes in Tier 1 and 2. It allows OIDD to customize the type and level of additional monitoring required to address UCEDD issues.

## Quality Assurance Criteria

Although Tier 3 is intended to address specific situations and circumstances that require individualized approaches, it is still important to have criteria that will ensure quality when carrying out Tier 3 activities. Below is a description of the quality assurance criteria for Tier 3:

* *Establishing equal expectations of UCEDDs and staff:* This section outlines the steps and general expectations for Tier 3 for both UCEDDs and OIDD staff to provide clarity and guidance for Tier 3 activities. This includes proactive participation on part of the UCEDD to work towards resolving issues before they escalate further. For OIDD, the include providing UCEDDs with fair notice of escalating consequences associated with high risk status.
* *Replicable process:* This section provides guidance for conducting Tier 3 activities so that they can be replicated with some level of consistency across the different and unique situations in Tier 3. This will help OIDD ensure reliability in the Tier 3 process that can withstand scrutiny by internal and external leaders and stakeholders.
* *Process for documenting information.*  It is important for OIDD to have good historical records about any monitoring activities and when there are concerns about UCEDD compliance and/or performance. Tier 3 should have a process that includes how to document both the activities and outcomes.

## Determine Tier 3 Status and Category

A first important step in Tier 3 is determining whether a UCEDD will move into Tier 3 status. A UCEDD can be identified for Tier 3 at any point and time; however, OIDD will collect and review information from several sources before making such a determination. Specifically, OIDD will:

* Consider the results of the review and analysis of the PPR, 5-year application, and recent site visit if any
* Interview report source if an outside source has expressed concern about a program
* Interview UCEDD if appropriate
* Interview the UCEDD Resource Center
* Query DD network partners about UCEDD
* Review past monitoring reports and other related documents (e.g., site visit reports)
* Request additional documentation from UCEDD
* Conduct fiscal review of previously submitted documents

After conducting fact finding, OIDD staff will write a memo detailing reasons why the situation poses a risk.

A team of 2 or 3 staff will be assigned. The team members will be selected based on expertise and may be cross-program and can include ACL Office of Grants Management (OGM) staff. The team will decide the threat level based on investigation and whether the UCEDD is assigned to Tier 3. Once assigned to Tier 3, the team will identify the appropriate Tier 3 category or threat level for the UCEDD based on criteria (see Figures 2 and 3). The three categories of Tier 3 status are (1) heightened monitoring, (2) targeted review, and (3) high risk designation on grant award. In the case of the High Risk category, the OIDD program officer (PO), OPS Director, OGM and Commissioner must all agree to categorize UCEDD as High Risk.

**Figure 2: Tier 3 Categories**

**Figure 3: Source Documentation for Tier 3**

## Develop Tier 3 Plan

Once the program has been categorized as Tier 3, OIDD will develop a plan for carrying out the Tier 3 activities. The plan will be specific to the program, situation and category, but each will have core components, including:

* UCEDD name and State/Territory
* Program and OIDD contact information
* Summary of issue/concern (full memo developed in Step 1 included as appendix to plan)
* Goal, objectives, actions/steps, timeline

## Notifications

The OIDD project officer will notify UCEDD of Tier 3 status and category. The plan for carrying out Tier 3 activities will be shared with the UCEDD which can provide input and feedback on the plan as appropriate.

#### Heightened Monitoring Notification

The OIDD PO will notify the UCEDD in writing that they are under heightened monitoring status by OIDD. The notification will identify the OIDD concerns and the steps OIDD will take to carry out heightened monitoring of the UCEDD. The notification will identify the UCEDD obligations under this status.

#### Targeted Review Notification

The UCEDD will be notified in writing from the OIDD Director that they will undergo a targeted review by the OIDD staff. The notification will identify the OIDD concerns, the focus areas for the targeted review, whether a site visit will be conducted, and the timeline for the targeted review. OIDD will follow up with the UCEDD to further discuss the targeted review and to begin planning for the review.

#### High Risk Notification

OIDD will notify the UCEDD and the Authorized Organization Representative (AOR) of its concerns regarding and documentation necessary to correct compliance in letter signed by the AOD Commissioner and ACL Chief Grants Management Officer, as appropriate. The UCEDD will be provided 30 days to develop a corrective action plan to address the compliance issues, and is encouraged to contact the UCEDD Resource Center for technical assistance in developing the CAP. The UCEDD will be provided a compliance chart on which to base the CAP. The letter will describe the steps OIDD and ACL will take, including sanctions, if CAP is not fulfilled in a timely manner.

## Implement Tier 3 Plan

For each Tier 3 category, the OIDD PO will implement activities based on the plan, however, each Tier 3 category will have some standard aspects as described below.

#### For Heightened Monitoring

* The PPRs will be reviewed carefully by OIDD PO
* The OIDD PO will conduct at least one conference call with UCEDD

#### For Targeted Review

* OIDD will conduct an on-site or remote review in specific areas of concern
* ACL Office of Grants Management (OGM) will conduct fiscal review of previously submitted documents
* The OIDD PO will prepare a Targeted Review report which will be shared with the OIDD Director, ACL Chief Grants Management Officer, and AOD Commissioner to determine next steps.

#### For High Risk

* OIDD will evaluate the CAP submitted by UCEDD to determine whether it will be approved or denied.
* Once there is an approved CAP, the OIDD PO will work with the UCEDD and the URC to develop a TA plan within 30 days of approving the CAP.
* Once there is an approved TA plan, the OIDD PO will work with the UCEDD and URC to set up a communication plan (with timelines) on compliance with and progress on the CAP.

## Assessment and Resulting Tier 3 Actions

Implementation of the Tier 3 plan and UCEDD progress in addressing the issues will be assessed periodically.

#### Heightened Monitoring

After 12 months, OIDD will review progress to determine whether the UCEDD is removed from Tier 3 or moved to the other Tier 3 categories (e.g., Targeted Review or High Risk).

#### Targeted Review

After conducting the targeted review, OIDD will determine whether the UCEDD is assigned to the Heightened Monitoring category or the High Risk category. This determination will depend on severity of issues identified during the targeted review. The UCEDD will be notified once a determination is made.

#### High Risk

For UCEDDs that are responsive and make the necessary corrections to address the compliance issues, OIDD and ACL OGM will remove the High Risk designation on the grant. The OIDD PO will write a memo detailing how the concerns were resolved and include a recommendation to remove the UCEDD from High-Risk status.

For UCEDDs that are not responsive, OIDD and ACL OGM will restrict UCEDD access to the federal funds. The OIDD PO will write a memo for the AOD Commissioner, ACL Chief Grants Management Officer and the OIDD Director detailing the lack of progress and the severity of situation. Once a UCEDD’s funds are restricted, the UCEDD will be given at least 12 months to demonstrate progress before OIDD takes additional action, if the problems are still not resolved at the end of the 12-month period. At this staff, OIDD will move to terminate the federal award if no progress is shown after 12 months on high-risk status with funds restricted.

**Figure 4: Resulting Tier 3 Actions**

# Section 6: Continuous Improvement

## Annual Assessment of QRS to Ensure Quality

Central to QRS is promoting ***quality***. A system to promote quality must be based on quality. Therefore, QRS has a process for continuous improvement to ensure that OIDD is using the most effective and efficient system for monitoring its UCEDDs. Key to this is ensuring that the QRS review tools are asking the right questions and incorporate the right elements. The QRS continuous improvement process will aim to assess whether this is being achieved and will allow for adjustments to ensure we have a high-quality review system.

### Annual Assessment Process

Each year, OIDD will conduct an analysis of QRS by collecting information from OIDD staff, QRS review team members, the URC, and UCEDDs to discuss the process and tools and to identify areas needing improvement.

In analyzing the results from the review, OIDD will compare results with those from previous years in terms of process and tools. This will help OIDD assess the reliability and validity of QRS process and tools.

The annual assessment will also examine how resources are being utilized including use of time and other costs associated with QRS.

OIDD will also keep current on how other federal agencies are conducting their monitoring to assess whether there are other approaches that would help to improve QRS.

### Annual Report

OIDD will formulate an annual report of the QRS assessment. The report will also include relevant information from other federal agencies regarding their monitoring models. The report will include recommendations for changes in the tools and the process as needed. This report will be prepared for a QRS panel to review and discuss for making final determinations about changes to QRS.

### QRS Panel Discussion

OIDD will annually convene a panel of experts to review the QRS annual report, to discuss the recommendations for changes, and to assist OIDD in making final determination for changes to QRS. The QRS panel will be comprised of a variety of experts, including:

* OIDD staff
* UCEDDs
* URC
* Self-advocates
* National associations
* ACL staff

Other stakeholders or experts, such as evaluation experts, may be invited to participate on the QRS panel.

The QRS panel is expected to review the QRS annual report and to participate in at least one, full day meeting to discuss the report and assist OIDD in making final determinations about changes to QRS.

### Final Revisions

OIDD will take the information from the panel to make final revisions to QRS. This may include revisions to the tools and/or process based on findings from the annual assessment and QRS panel discussions.

### Re-launch

After making the adaptations to QRS, OIDD will re-launch QRS with the next group of UCEDDs.

# Appendix A – Commonly Used Acronyms

ACL Administration for Community Living

AUCD Association of University Centers on Disabilities

CAC Community Advisory Council

CAP Corrective Action Plan

DD Developmental Disabilities

DD Act Developmental Disabilities Assistance and Bill of Rights Act

GPRA Government Performance and Results Act

ID Intellectual Disabilities

MOU Memorandum of Understanding

OGM Office of Grants Management

OIDD Office of Intellectual and Developmental Disability Programs

P&A Protection & Advocacy System

PNS Projects of National Significance

PPR Program Performance Report

QRS Quality Review System

TA Technical Assistance

UCEDD University Centers for Excellence in Developmental Disabilities Education, Research, and Service

URC UCEDD Resource Center

# Appendix B – Glossary

**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, employment, housing, transportation, recreation, and other services available or offered to individuals in a community including formal and informal community supports.

**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.

**Compliance:** Meeting the requirements of the DD Act.

**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.

**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 and territory.

**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 such as self-care, learning, mobility, self-direction, receptive and expressive language, capacity for independent living, and 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.

**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.

**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; and work in integrated, community settings.

**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.

**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.

**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 policymakers. There is one P&A in each state and territory.

**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; and 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.

**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.

**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. Existing in every state and territory, 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; and provide information to policymakers.

**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.

**University Centers for Excellence in Developmental Disabilities (UCEDDs):** Education, service, and research centers that 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, and disseminate information and research findings.

# Appendix C – UCEDD PPR Review Tool

UCEDD PPR Review Tool

|  |  |  |
| --- | --- | --- |
| Is the Cover Page complete with current information? | Yes ☐ | No ☐ |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **COMPLIANCE ANALYSIS** | | | | | | | | | |
| **CENTER REQUIREMENTS**  *This information should be covered in Part 1b of the UCEDD PPR* | | | | | | | | | |
| 1. **CENTER REQUIREMENTS:**   SEC.153(a)(1) The Centers shall be interdisciplinary education, research, and public service units of universities or public or not-for-profit entities associated with universities that engage in core functions addressing, directly or indirectly, 1 or more of the areas of emphasis interdisciplinary education, research, and public service units of universities or public or not-for-profit entities associated with universities that engage in core functions addressing, directly or indirectly, 1 or more of the areas of emphasis  1388.4(p) The UAP must integrate the mandated core functions into its activities and programs and must have a written plan for each core function area. | | | | | | | | | |
| **ITEM** | | **REVIEW PROMPT** | **ANSWERS** | | | | | **COMMENTS** | |
| **1.a** | | Are there any administrative changes in relationship between center and University from original proposal? If yes, the UCEDD must submit new assurances to OIDD. | Yes ☐ | | | No ☐ | |  | |
| **1.b** | | Are there any changes in the areas of emphasis identified by the center from their original proposal? | Yes ☐ | | | No ☐ | |  | |
| **1.c** | | Has the UCEDD integrated the mandated 4 core functions into its programs and activities? | Yes ☐ | | | No ☐ | |  | |
| **1.d** | | Does the UCEDD utilize resources beyond those of the federal center core grant to carry out its work? *This is the “funds leveraged” measure in the UCEDD PPR* | Yes ☐ | | | No ☐ | |  | |
| **1.e** | | Does the UCEDD show evidence that the CAC meets as often as necessary to carry out the role of the committee, but at a minimum twice during each grant year? | Yes ☐ | | | No ☐ | |  | |
| **INTERDISCIPLINARY TRAINING AND CONTINUING EDUCATION**  *This information is found in Part 1a of the UCEDD PPR* | | | | | | | | | |
| 1. **CORE FUNCTION: INTERDISCIPLINARY TRAINING AND CONTINUING EDUCATION**:   SEC. 153.(a)(2)(A).Provision of 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 to achieve the purpose of this title  1388.5(c)The interdisciplinary training process, as defined by the UCEDD, must reflect a mix of students from diverse academic disciplines/ academic programs and cultures that reflect the diversity of the community. Faculty represent a variety of backgrounds and specialties, including individuals with disabilities and family members, and a variety of learning experiences, as well as reflecting the cultural diversity of the community. Trainees must receive academic credit as appropriate for participation in UCEDD training programs. | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | | **ANSWERS** | | | | **COMMENTS** | |
| **2.a** | Does the UCEDD describe activities which provide evidence of an Interdisciplinary Pre-Service instructional program that integrates knowledge and methods from 2 or more distinct disciplines? | | | Yes ☐ | | No ☐ | |  | |
| **2.b** | Does the UCEDD describe activities that provide evidence of an Interdisciplinary Pre-Service instructional program that integrates direct contributions made by people with IDD and families? | | | Yes ☐ | | No ☐ | |  | |
| **2.c** | Does the faculty represent:   * A variety of backgrounds and specialties, including individuals with disabilities and family members? * A variety of learning experiences? * The cultural diversity of the community? | | | Yes ☐ | | No ☐ | |  | |
| **2.d** | Does the UCEDD discuss how it continues to offer academic credit as appropriate for participation in training programs? | | | Yes ☐ | | No ☐  option | |  | |
| **COMMUNITY SERVICES**  *This information is found in Part 1a of the UCEDD PPR* | | | | | | | | | |
| 1. **CORE FUNCTION: COMMUNITY SERVICES:**   SEC. 153.(a)(2)(B)(i-ii)  Provision of community services that provide training or technical assistance for individuals with developmental disabilities, their families, professionals, paraprofessionals, policy-makers, students, and other members of the community; and that may provide services, supports, and assistance for the persons described in clause (i) through demonstration and model activities | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | | | **ANSWER** | | | | **COMMENTS** | |
| **3.a** | Does the UCEDD describe activities that provide evidence of training and technical assistance services in the narrative?  Training provided by UCEDD faculty/staff to enhance knowledge of a variety of community members (individuals with developmental and other disabilities, their families, professionals, paraprofessionals, policy-makers, students or others in the community). | | | | Yes ☐ | | No ☐ | |  | |
| **3.b** | Is the training and TA provided by UCEDD faculty/staff to enhance knowledge of a variety of community members (individuals with developmental and other disabilities, their families, professionals, paraprofessionals, policy-makers, students or others in the community)? | | | | Yes ☐ | | No ☐ | |  | |
| **3.c** | Is the training and TA provided by UCEDD faculty/staff to improve outcomes, services, management and policies of a variety of community members (individuals with developmental and other disabilities, their families, professionals, paraprofessionals, policy-makers, students or others in the community)? | | | | Yes ☐ | | No ☐ | |  | |
| **3.d** | Does the UCEDD describe activities that provide evidence of direct model and demonstration services? (optional) | | | | Yes ☐ | | No ☐ | |  | |
| **3.e** | Do the UCEDD’s direct model and demonstration projects provide evidence of services and support to enhance the well being and status of the recipient? (optional) | | | | Yes ☐ | | No ☐ | |  | |
| **3.f** | Does the UCEDD describe how Community Services offer innovative designs and methods that promote the inclusion and integration of individuals with developmental disabilities and families in all aspects of community life through the delivery of projects, activities, and services in community-based settings rather than traditional clinical settings? (optional) | | | | Yes ☐ | | No ☐ | |  | |
| **RESEARCH**  *This information is found in Part 1a of the UCEDD PPR* | | | | | | | | | |
| 1. **CORE FUNCTION RESEARCH : SEC.153.(a)(2)(C)**   Conduct of 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. | | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | | | **ANSWER** | | | | **COMMENTS** | |
| **4.a** | Does the UCEDD describe research activities (basic, applied, evaluation, and/or public policy analysis) in the narrative? | | | | Yes ☐ | | No ☐ | |  | |
| **4.b** | Does the UCEDD describe how research activities, offered by the UCEDD, and in partnership with others, arebeing field tested as promising practices to a variety of community members(individuals with developmental and other disabilities, their families, professionals, paraprofessionals,  policy-makers, students or others in the community)? | | | | Yes ☐ | | No ☐ | |  | |
| **4.c** | Does the UCEDD describe how individuals with developmental and other disabilities and their families, including those from culturally and linguistically diverse groups, are actively participating in the UCEDD research process? | | | | Yes ☐ | | No ☐ | |  | |
| **4.d** | Does the UCEDD explain how individuals with developmental disabilities and their families are participating in the development, design and implementation of research activities? | | | | Yes ☐ | | No ☐ | |  | |
| **INFORMATION DISSEMINATION**  *This information is found in Part 1a of the UCEDD PPR* | | | | | | | | | |
| **5. CORE FUNCTION INFORMATION AND DISSEMINATION: SEC. 153. (a)(2)(D)**  Dissemination of information related to activities undertaken to address the purpose of this title, especially dissemination of information that demonstrates that the network authorized under this subtitle is a national and international resource that includes specific substantive areas of expertise that may be accessed and applied in diverse settings and circumstances | | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | | | **ANSWER** | | | | **COMMENTS** | |
| **5.a** | Does the UCEDD describe activities to disseminate information through UCEDD developed products and activities? | | | | Yes ☐ | | No ☐ | |  | |
| **5.b** | Does the UCEDD describe how information is developed and disseminated using principles of universal design to ensure that resources are available in multiple accessible formats and in a culturally competent manner? | | | | Yes ☐ | | No ☐ | |  | |
| **5.c** | Does the UCEDD describe the involvement of people with developmental disabilities and families, including those from culturally and linguistically diverse backgrounds, in the development of products and resources that are disseminated? | | | | Yes ☐ | | No ☐ | |  | |
| **5.d** | Does the UCEDD describe how it is educating and disseminating information related to the purpose of the DD Act of 2000 to the legislature of the State in which the Center is located and to Members of Congress from the State? | | | | Yes ☐ | | No ☐ | |  | |

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **OUTCOME ANALYSIS** | | | | | | | | | | | |
| **EVALUATION RESULTS**  *This information is found in Part 1b of the UCEDD PPR* | | | | | | | | | | | |
| **6. EVALUATION:**  Sec 154(a)(3)(B)(iii) the [5-year plan] will be reviewed and revised annually as necessary to address emerging trends and needs  Sec 154(e)(1-3) Each Center shall annually prepare and transmit to the Secretary 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 under this subtitle for a fiscal year were expended; information on proposed revisions to the goals; and a description of successful efforts to leverage funds, other than funds made available under this subtitle, to pursue goals consistent with this subtitle.  Sec 154(a)(3)(E)(iv) consult with the Director of the Center regarding the development of the 5-year plan, and shall participate in an annual review of, and comment on, the progress of the Center in meeting the projected goals contained in the plan, and shall make recommendations to the Director of the Center regarding any proposed revisions of the plan that might be necessary;  1388.4 (r)The UCEDD must utilize state-of-the-art methods, including the active participation of individuals, families and other consumers of UAP programs and services to evaluate programs. The UAP must refine and strengthen its programs based on evaluation findings. | | | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | **ANSWERS** | | | | | | | **COMMENTS** | | |
| **6.a** | Has the UCEDD adequately reviewed and revised its plan to identify and address emerging trends and needs? | Yes ☐ | | | | No ☐ | | |  | | |
| **6.b** | Does the UCEDD show evidence of innovative methods, including the CAC and consumer satisfaction, to gather input to evaluate programs and services? | Yes ☐ | | | | No ☐ | | |  | | |
| **6.c** | Does the UCEDD show evidence of the CAC involvement in the evaluation of UCEDD programs in the narrative? | Yes ☐ | | | | No ☐ | | |  | | |
| **6.d** | Does the narrative support the UCEDD’s assessment of the goals achieved, in progress or not achieved? | Yes ☐ | | | | No ☐ | | |  | | |
| **6.e** | Has the UCEDD met all their goals? | Yes ☐ | | | | No ☐ | | |  | | |
| **6.f** | If all the goals were not met, does the UCEDD need to have a revised plan to meet goals in the plan? | Yes ☐ | | | | No ☐ | | |  | | |
| **6.g** | Does the UCEDD provide evidence that the CAC recommendations are incorporated into the revised plan? | Yes ☐ | | | | No ☐ | | |  | | |
| **6.h** | Does the evaluation summary reflect the UCEDD’s leadership, impact on policymakers, and promotion of opportunities for individuals with IDD and their families? | Yes ☐ | | | | No ☐ | | |  | | |
| **OUTPUTS AND OUTCOMES**  *This information is found in Part 2 of the UCEDD PPR* | | | | | | | | | | | | |
| **7. CORE FUNCTION: INTERDISCIPLINARY TRAINING** | | | | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | **ANSWER** | | | | | | | **COMMENTS** | | |
| **7.a** | The UCEDD provides the number of Interdisciplinary Pre-Service Programs implemented. | | Yes ☐ | | | | No ☐ | | |  | |
| **7.b** | The UCEDD provides the number of discipline specific Pre-Service Programs implemented. | | Yes ☐ | | | | No ☐ | | |  | |
| **7.c** | The UCEDD interdisciplinary training process reflects a mix of students from diverse academic disciplines/ academic programs. | | Yes ☐ | | | | No ☐ | | |  | |
| **7.d** | The UCEDD interdisciplinary training process reflects a mix of students from cultures that reflect the diversity of the community. | | Yes ☐ | | | | No ☐ | | |  | |
| **7.e** | Are the Interdisciplinary Pre-service Preparation numbers reported supporting the narrative (e.g., total number of people trained)? | | Yes ☐ | | | | No ☐ | | |  | |
| **7.f** | % of UCEDD intermediate and long term trainees reporting increase in knowledge and skills and/ or change in attitude. | | Enter % Click here to enter text. | | | | | | |  | |
| **7.g** | Did the UCEDD collect consumer satisfaction data for the Interdisciplinary Pre-service Preparation core function in the appropriate area(s) of emphasis? | | Yes ☐ | | | | No ☐ | | |  | |
| **7.h** | Are there any variances or outliers noted in the UCEDD’s report? (Valerie to provide information on outliers) | | Yes ☐ | | | | No ☐ | | |  | |
| **8. CORE FUNCTION: CONTINUING EDUCATION** | | | | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | **ANSWER** | | | | | | | **COMMENTS** | | |
| **8.a** | The UCEDD provides data on the continuing education program (e.g., number of professionals, number of programs, length of program) | | Yes ☐ | | | | No ☐ | | |  | | |
| **8.b** | Are the Continuing Education numbers reported supporting the narrative? | | Yes ☐ | | | | No ☐ | | |  | | |
| **8.c** | The UCEDD collected consumer satisfaction data for the Continuing Education core function in the appropriate area(s) of emphasis | | Yes ☐ | | | | No ☐ | | |  | | |
| **8.d** | Are there any variances or outliers noted in the UCEDD’s report? (Valerie to provide information on outliers) | | Yes ☐ | | | | No ☐ | | |  | | |
| **9. CORE FUNCTION: COMMUNITY SERVICES - TRAINING** | | | | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | **ANSWER** | | | | | | | **COMMENTS** | | |
| **9.a** | The UCEDD provides data on the Community Service Training core function (e.g., total number by area of emphasis and by type; number of training events in the areas of emphasis) | | Yes ☐ | | | | No ☐ | | |  | | |
| **9.b** | Are the Community Service Training numbers reported supporting the narrative? | | Yes ☐ | | | | No ☐ | | |  | | |
| **9.c** | Community Services: Training - For recipients of regular, on-going trainings, % reporting an increase in knowledge gained in area of emphasis or In a training topic in area of emphasis. | | Enter % Click here to enter text. | | | | | | |  | | |
| **9.d** | The UCEDD collected consumer satisfaction data for the Community Service Training core function in the appropriate area(s) of emphasis for activities in which UCEDD was the lead. | | Yes ☐ | | | | No ☐ | | |  | | |
| **9.f** | Are there any variances or outliers noted in the UCEDD’s report? (Valerie to provide information on outliers) | | Yes ☐ | | | | No ☐ | | |  | | |
| **10. CORE FUNCTION: COMMUNITY SERVICES – TECHNICAL ASSISTANCE** | | | | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | **ANSWER** | | | | | | | **COMMENTS** | | |
| **10.a** | The UCEDD provides data on the Community Service Technical assistance core function (e.g., total number of hours by area of emphasis and by organization type) | | Yes ☐ | | | | No ☐ | | |  | | |
| **10.b** | Are the Community Service Technical Assistance numbers reported supporting the narrative? | | Yes ☐ | | | | No ☐ | | |  | | |
| **10.c** | Community Services: TA - For TA recipients with a sustained relationship with the UCEDD, % ~~of~~ reporting increase in any of the identified or requested item(s). | | Enter % Click here to enter text. | | | | | | |  | | |
| **10.d** | The UCEDD collected consumer satisfaction data for the Community Service Technical Assistance core function in the appropriate area(s) of emphasis for activities in which UCEDD was the lead. | | Yes ☐ | | | | No ☐ | | |  | | |
| **10.e** | Are there any variances or outliers noted in the UCEDD’s report? (Valerie to provide information on outliers) | | Yes ☐ | | | | No ☐ | | |  | | |
| **11. CORE FUNCTION: COMMUNITY SERVICES – MODEL SERVICES (\*\*OPTIONAL)** | | | | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | | **ANSWER** | | | | | | | **COMMENTS** | |
| **11.a** | The UCEDD provides data on the Community Service Model Services core function (e.g., total number of specialized services) | | | Yes ☐ | | | | No ☐ | | |  | |
| **11.b** | Are the Community Service Model Services numbers reported supporting the narrative? | | | Yes ☐ | | | | No ☐ | | |  | |
| **11.c** | Community Services: Model Services- number of individuals who received specialized services from the UCEDD to enhance the well-being and status of the recipient. (optional) | | | Enter # Click here to enter text. | | | | | | |  | |
| **11.d** | The UCEDD collected consumer satisfaction data for the Community Service Model Services core function in the appropriate area(s) of emphasis. | | | Yes ☐ | | | | No ☐ | | |  | |
| **11.e** | Are there any variances or outliers noted in the UCEDD’s report? (Valerie to provide information on outliers) | | | Yes ☐ | | | | No ☐ | | |  | |
| **12. CORE FUNCTION: COMMUNITY SERVICES – DEMONSTRATION SERVICES (\*\*OPTIONAL)** | | | | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | | **ANSWER** | | | | | | | **COMMENTS** | |
| **12.a** | The UCEDD provides data on the Community Service Demonstration Services core function (e.g., total number of services offered by UCEDD being field tested; numbers offered in partnership) | | | Yes ☐ | | | | No ☐ | | |  | |
| **12.b** | Are the Community Service Demonstration Services numbers reported supporting the narrative? | | | Yes ☐ | | | | No ☐ | | |  | |
| **12.c** | Community Services: Demonstration Services UCEDD and/ or partnering agency adopts findings from field test to make at least one modification to the UCEDD services being field tested. (optional) | | | Enter % Click here to enter text. | | | | | | |  | |
| **12.d** | The UCEDD collected consumer satisfaction data for the Community Service Demonstration Services core function in the appropriate area(s) of emphasis. | | | Yes ☐ | | | | No ☐ | | |  | |
| **12.e** | Are there any variances or outliers noted in the UCEDD’s report? (Valerie to provide information on outliers) | | | Yes ☐ | | | | No ☐ | | |  | |
| **13. CORE FUNCTION: RESEARCH** | | | | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | | **ANSWER** | | | | | | | **COMMENTS** | |
| **13.a** | The UCEDD provides data on the number of active research activities. | | | Yes ☐ | | | | No ☐ | | |  | |
| **13.b** | Are the research numbers supported in the narrative? | | | Yes ☐ | | | | No ☐ | | |  | |
| **13.c** | Does the UCEDD provide evidence of adopting research findings by modifying activities in the other core functions? | | | Enter % Click here to enter text. | | | | | | |  | |
| **13.d** | Are there any variances or outliers noted in the UCEDD’s report? (Valerie to provide information on outliers) | | | Yes ☐ | | | | No ☐ | | |  | |
| **14. CORE FUNCTION: INFORMATION DISSEMINATION** | | | | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | | **ANSWER** | | | | | | | **COMMENTS** | |
| **14.a** | The UCEDD provides data on the number of Information Dissemination activities (e.g., number of products developed, disseminated, number of conference/presentations) | | | Yes ☐ | | | | No ☐ | | |  | |
| **14.b** | Are the Information Dissemination numbers reported supporting the narrative? | | | Yes ☐ | | | | No ☐ | | |  | |
| **14.c** | Did the UCEDD sample at least 50 people regarding satisfaction with the website? | | | Enter # Click here to enter text. | | | | | | |  | |
| **14.d** | Percent of people satisfied with the information on the UCEDD’s website? | | | Enter % Click here to enter text. | | | | | | |  | |
| **14.e** | Are there any variances or outliers noted in the UCEDD’s report? (Valerie to provide information on outliers) | | | Yes ☐ | | | | No ☐ | | |  | |
| **15. LEVERAGING**  1388.4(m) The UCEDD must demonstrate the ability to leverage resources. | | | | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | | **ANSWER** | | | | | | | **COMMENTS** | |
| **15.a** | The UCEDD provides the number of grants/contracts and other funds leveraged which demonstrates the ability to leverage resources. | | | Yes ☐ | | | | No ☐ | | |  | |
| **15.b** | UCEDD shows trends of Leveraged funds. (compare to prior years PPRs) | | | Yes ☐ | | | | No ☐ | | |  | |
| **15.c** | Is there is range of local, state and federal funding sources sufficient to grow and sustain the UCEDD in the core functions in future years? | | | Yes ☐ | | | | No ☐ | | |  | |
| **15.d** | Are there any variances or outliers noted in the UCEDD’s report? (Valerie to provide information on outliers) | | | Yes ☐ | | | | No ☐ | | |  | |
| **16. DD NETWORK COLLABORATION -** *This information is found in Part 3 of the UCEDD PPR*  1388.4(k) The UCEDD must maintain collaborative relationships with the State Developmental Disabilities Council and the Protection and Advocacy agency. In addition, the UCEDD must be a member of the State Developmental Disabilities Council and participate in Council meetings and activities, as prescribed by the Act. | | | | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | | **ANSWER** | | | | | | | **COMMENTS** | |
| **16.a** | Critical issues/ barriers to collaboration or unexpected benefits identified? | | | Yes ☐ | | | | No ☐ | | |  | |
| **16.b** | Collaborative Strategies of at least one of issues/ barriers were identified including answers to (questions (a-f)? | | | Yes ☐ | | | | No ☐ | | |  | |
| **16.c** | Collaborative efforts with non-DD funded programs were represented? (The UCEDD must maintain collaborative relationships with the State Developmental Disabilities Council and the Protection and Advocacy agency. In addition, the UCEDDmust be a member of the State Developmental Disabilities Council and participate in Council meetings and activities, as prescribed by the Act.) | | | Yes ☐ | | | | No ☐ | | |  | |
| **16.d** | Outcomes of the network collaborations were identified? | | | Yes ☐ | | | | No ☐ | | |  | |
| **17. GPRA MEASURES -** *This information is found in Part 4 of the UCEDD PPR* | | | | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | | **ANSWER** | | | | | | | **COMMENTS** | |
| **17.a** | Number of people surveyed. | | | Enter # Click here to enter text. | | | | | | |  | |
| **17.b** | Return Rate: # of surveys returned | | | Enter # Click here to enter text. | | | | | | |  | |
| **17.c** | Are there any variances or outliers noted in the UCEDD’s report? (Valerie to provide information on outliers) | | | Yes ☐ | | | | No ☐ | | |  | |
| **Overall Analysis** | | | | | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | | | | **ANSWER** | | | | | | **COMMENTS** | |
| **18** | The UCEDD submitted its PPR | | | | Yes ☐ | | | No ☐ | | |  | |
| **19** | The UCEDD submitted its financial status report. | | | | Yes ☐ | | | No ☐ | | |  | |
| **20** | The PPR adequately describes the activities and accomplishments of the Center during the preceding fiscal year, including a description of the Center’s goals, the extent to which the goals were achieved, and barriers to their achievement. | | | | Yes ☐ | | | No ☐ | | |  | |
| **21** | Is the UCEDD in compliance with the Center requirements? | | | | Yes ☐ | | | No ☐ | | |  | |
| **22** | Is it recommended that this UCEDD be referred for a Tier 2 review to better understand issues related to interdisciplinary pre-service training and/or continuing education? | | | | Yes ☐ | | | No ☐ | | |  | |
| **23** | Is it recommended that this UCEDD be referred for a Tier 2 review to better understand issues related to community services? | | | | Yes ☐ | | | No ☐ | | |  | |
| **24** | Is it recommended that this UCEDD be referred for a Tier 2 review to better understand issues related to research? | | | | Yes ☐ | | | No ☐ | | |  | |
| **25** | Is it recommended that this UCEDD be referred for a Tier 2 review to better understand issues related to information dissemination? | | | | Yes ☐ | | | No ☐ | | |  | |

# Appendix D – Tier 2 Core Grant Application Review Tool

**QRS Tier Two –Reviewer Evaluation Tool**

**University Centers for Excellence in**

**Developmental Disabilities**

**Education, Research, and Service**

**UCEDD - Core Grant Applications**

|  |  |
| --- | --- |
| Application Number: |  |
| Applicant’s Name: |  |
|  |
| Reviewer ID Number: |  |
| Date of Review: |  |

|  |  |  |
| --- | --- | --- |
| **Application Score** | | |
| 1. Project Relevance & Current Need |  | Maximum: 10 Points |
| 1. Approach |  | Maximum: 45 points |
| 1. Budget |  | Maximum: 10 points |
| 1. Project Impact |  | Maximum: 15 Points |
| 1. Organization Capacity |  | Maximum: 20 points |
| **Total:** |  | **Maximum: 100 points** |
|  |  |  |

The University Centers for Excellence in Developmental Disabilities, Education, Research, and Service applications are to be evaluated according to the criteria listed on the attached evaluation form. Written comments regarding the major strengths and/or weaknesses of the application are the foundation of this technical review.

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| --- |
| **QRS Tier 2 Review Tool was Piloted with the FY2015 Applicants. The Panel Review was conducted on May 27,2015** |

**PROJECT REVELANCE / CURRENT NEED** - **10 points**

|  |  |  |
| --- | --- | --- |
| *Using the following values for each required item in this criterion, points will be awarded according to the extent to which the application for core funding describes a five-year plan for meeting the purpose of the DD Act that includes the following:* | | |
| **Criteria** | **Points Awarded** | **Reviewer Observations** |
| **Provides a portrait of the State needs and clearly identifies the need for assistance** based on relevant and current data, including that collected through planning studies. **(4 points)** |  |  |
| 1. **Describes how the Consumer Advisory Committee**, individuals with developmental disabilities, family members, advocates, the State DD Council, the State Protection and Advocacy System, the other UCEDD (s) in the State, and representatives of State agencies were consulted in the development of the application and 2. Provides evidence that feedback from such representatives was utilized in developing the Project Approach, including the goals and goal-related activities outlined in the five-year plan. **(3 points)** |  |  |
| **Shows a** **direct relationship between the needs identified based on research and/or planning studies and** **feedback** from the Consumer Advisory Committee, individuals with developmental disabilities, family members, advocates, the State DD Council, the State Protection and Advocacy System, the other UCEDD (s) in the State, and representatives of State agencies and the goals  and goal-related activities in the five-year plan.  **(3 points)** |  |  |
| **PROJECT RELEVANCE- 10 points TOTAL:** |  |  |

**APPROACH - 45 points**

|  |  |  |
| --- | --- | --- |
| *Using the following values for each required item in this criterion, points will be awarded according to the extent to which the application for core funding describes a five-year plan for meeting the purpose of the DD Act that includes the following:* | | |
| **Criteria** | **Points Awarded** | **Reviewer Observations** |
| **Describes a five-year plan for meeting the purpose of the DD Act by**   1. Outlining a projected measurable and attainable goal for one or more area(s) of emphasis (e.g., quality assurance, early intervention, health, employment, housing, transportation, and other services offered to individuals in a community, including formal and informal community supports, that affect their quality of life) for each core function, consistent with the mission of the UCEDD. 2. Provides quantitative projections of the accomplishments to be achieved for each core function or activity in such terms as the number of people to be served and the number of activities to be accomplished. 3. Provides chronological order of approach with target dates. **(3points)** |  |  |
| **Describes the extent to which, the UCEDD's goals, objectives and activities reflect interagency**  **collaborations** and strategies to effect systemic change in the State and local communities and  service systems. **(1 point)** |  |  |
| **Describes how the five-year plan for the UCEDD complements and furthers the State** DD Council  five-year plan, the P&A Statement of Goals and Priorities, and the five-year plan for the other  UCEDD(s) in the State. **(1 point)** |  |  |
| **Describes how the infrastructure and resources obtained through funds made available under the**  **grant will be utilized to leverage additional** public and private funds to successfully achieve the  projected goals developed in the five-year plan. **(2 points)** |  |  |
| **Describes how the UCEDD will carry out the Interdisciplinary Pre-service Preparation core**  **function as an instructional program offered by the UCEDD that:**   1. Integrates knowledge and methods from two or more distinct disciplines; 2. Integrates direct contributions to the field made by people with disabilities and family members; 3. Examines and advances professional practice, scholarship and policy that impacts the lives of people with developmental and other disabilities and their families; 4. Is designed to advance an individual’s academic or professional credentials; 5. Takes place in an academic setting or program; 6. Reflects a mix of students and faculty from diverse academic disciplines/academic programs (e.g., Audiology, Dentistry, Early Intervention, Early Childhood Special Education, Medicine, Nursing, Pediatrics, Psychology, etc. see Section IV.2. for a full listing of possible disciplines); 7. Reflects a mix of cultures that reflect the diversity of the community; and 8. May lead to the award of an initial academic degree, professional certificate, or advanced academic credential; and contribute to a discipline-specific course of study offered by the UCEDD or by another academic department. **(3 points)** |  |  |
| **Describes the Core curriculum for the Interdisciplinary Pre-service Preparation Instructional program which**:   1. Incorporates cultural diversity and demonstrates cultural competence; 2. Prepares trainees to address the needs of individuals of developmental disabilities and their families in a culturally competent manner; 3. Prepares trainees to be active participants in research and dissemination efforts; and Prepares trainees to be consumers of research as it informs practice and policy. **(2 points)** |  |  |
| **Demonstrates how efforts to recruit UCEDD trainees in disciplines related to developmental disabilities** in the areas of pre-service training, community training, practice, administration, policymaking will focus onbringing larger numbers of racial and ethnic minorities into the disciplines in order to provide appropriate skills, knowledge, role models, and sufficient personnel to address the growing needs of an increasingly diverse population. **(2 points)** |  |  |
| **Describes a continuing education program that is comprised of seminar(s) or courses of instruction offered by a UCEDD that:**   1. Serve to maintain professional credentials; 2. Encourage professionals to expand their knowledge base and stay up-to-date on new developments; and 3. Offer certificates of completion or CEUs (or their equivalents). **(3 points)** |  |  |
| **Describes active and meaningful roles of individuals with developmental disabilities and families in the Interdisciplinary Pre-service Preparation and Continuing Education** **formal training program**. Such roles may include serving as course instructors and developers of curriculum**. (2** **points)** |  |  |
| **Describes how the UCEDD participates in broader University academic programs that prepare personnel** in a wide range of social and community roles that will contribute to the accommodation and inclusion of individuals with developmental disabilities**. (1 point)** |  |  |
|  |  |  |
| **Describes how Community Services offer innovative designs and methods that:**   1. Promote the inclusion and integration, productivity, and human rights of individuals with developmental disabilities and their families in all aspects of community life; 2. Are integrated into the community setting and involves community members, agencies and other organizations; 3. Addresses a local or universal need; 4. Are based on evidence and can be replicated; 5. Will promote increased and meaningful opportunities for individuals with developmental disabilities from racial and ethnic minority backgrounds and their families to access and use community services, individualized supports, and other forms of assistance available to other individuals with developmental disabilities and their families; 6. Are designed 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.   **(5 points)** |  |  |
| **Describes Community Services Training and/or Technical Assistance (T/TA) activities that:**   1. Use capacity building strategies to strengthen the capability of communities, systems and service providers; 2. Are planned collaboratively, including the participation of individuals with developmental disabilities and their families; 3. Address the unique needs of individuals with developmental disabilities and their families from diverse cultural, linguistic and ethnic backgrounds who reside within the geographic locale. **(2 points)** |  |  |
| * **Describes how Community Services demonstration service activities address and provide evidence of an emerging,** critical problem that reflects current trends or anticipated developments in the field. * **(1 point)** |  |  |
| **Describes a Research program**, 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 DD and their families**.(4 points)** |  |  |
| **Describes how people with developmental disabilities and their families**,including those from culturally and linguistically diverse groups, will be active participants in the research process ensuring that these individuals and their families participate in the development, design and implementation of research activities, as well as the dissemination of research information.  **(2points)** |  |  |
| **Describes an Information Dissemination (ID) plan that:**   1. Includes strategies for translating research into practice for communicating and facilitating replication of best practices in state and out-of-state and to diverse audiences; 2. Describes how the UCEDD serves as a resource for information for individuals with developmental disabilities and their family members, community members, State agencies, and other providers/ advocacy organizations; 3. Provides for the development of a variety of products to promote public awareness and visibility of the UCEDD; 4. Targets a range of audiences including: individuals with developmental disabilities, family members, service providers, policy makers, administrators, university faculty, researchers, and the general public; 5. Will educate and disseminate information related to the purpose of the DD Act of 2000 to the legislature of the State in which the Center is located and to Members of Congress from the State; and 6. Responds to community requests and utilizes a variety of networks. **(5 points)** |  |  |
| **Describes how the development and dissemination of UCEDD products and information**   1. Use the principles of universal design; 2. Are available in multiple accessible formats in a culturally competent manner; 3. Utilize person first, person centered language; and 4. Display positive images of individuals with developmental disabilities and their families in inclusive communities. **(4 points)** |  |  |
| **APPROACH - 45 points**  **TOTAL:** |  |  |

**BUDGET** - **10 points**

|  |  |  |
| --- | --- | --- |
| *Using the following values for each required item in this criterion, points will be awarded according to the extent to which the application for core funding describes a five-year plan for meeting the purpose of the DD Act that includes the following:* | | |
| ***Criteria*** | ***Points Awarded*** | ***Reviewer Observations*** |
| **Provides a narrative budget justification that describes how the categorical costs are derived** and discusses the necessity, reasonableness, and allocability of the proposed costs in relation to the administration or operation of the UCEDD program, including implementation of the four core functions and support of the CAC**.** **(5points)** |  |  |
| **Describes a budget that shows funds made available through the grant are being used to**  **supplement, and not supplant,** the funds that would otherwise be made available for activities related to interdisciplinary pre-service preparation, and continuing education, community services, research and information dissemination. **(3 points)** |  |  |
| **Provides a budget with line-item detail and detailed calculations for each budget object class identified on the Budget Information form**; detailed calculations that include estimation methods, quantities, unit costs, and other similar quantitative detail sufficient for the calculation to be duplicated; a budget projection for each of the 5 years; a breakout by the funding sources identified in Block 18 of the SF-424. **(2 points)** |  |  |
| **BUDGET** - **10 points** **TOTAL:** |  |  |

**PROJECT IMPACT-EVALUATION** - **15** **points**

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| --- | --- | --- | --- | --- |
| *Using the following values for each required item in this criterion, points will be awarded according to the extent to which the application for core funding describes a five-year plan for meeting the purpose of the DD Act that includes the following:* | | | |  |
| **Criteria** | **Points Awarded** | **Reviewer Observations** |
| **Describes a Logic Model for evaluating the extent to which goals for the UCEDD have been achieve**d in a manner consistent with the objectives of the DD Act of 2000.  **(5 points)** |  |  |
| **Explains the methodology that will be employed to gather data to:**   1. **Report annually, outcomes and results using the UCEDD Annual Report Template; and** 2. **Use the Logic Model to report five year outcomes**.   **The methodology should include:**   1. Use of quantitative and qualitative techniques to determine if the needs identified and discussed are being met; and 2. if the UCEDD results and benefits are being achieved. **(5points)** |  |  |
| **Describes how the UCEDD utilizes innovative methods**, including the active participation of diverse individuals with intellectual and developmental disabilities, families and other consumers of UCEDD programs and services to evaluate its programs.  **(1 point)** |  |  |
| **Describes how the CAC will review and comment on the progress of the Center to determine whether the UCEDD is carrying out the five-year plan** in a manner consistent with the work plan presented. **(4 points)** |  |  |
| **PROJECT IMPACT- 15 points** **TOTAL:** |  |  |

**ORGANIZATION CAPACITY 20 points**

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| *Using the following values for each required item in this criterion, points will be awarded according to the extent to which the application for core funding describes a five-year plan for meeting the purpose of the DD Act that includes the following:* | | |
| **Criteria** | **Points Awarded** | **Reviewer Observations** |
| **The UCEDD’s mission reflects a commitment to**:   1. Ensuring that individuals with developmental disabilities achieve outcomes consistent with the DD Act; 2. Supporting families, service agencies and the larger community; 3. Promoting culturally competent attitudes and practice; 4. Its unique role as a bridge between university programs; 5. Promoting the goals of the university or indicates a relationship to training and the development of new knowledge and service. **(3 points)** |  |  |
| **Describes the extent to which, the UCEDD’s programs:**   1. Reflect a life span and interdisciplinary approach; 2. Reflect the active participation of individuals with developmental disabilities and their families; 3. Address the needs of individuals with developmental disabilities, including: individuals with developmental disabilities, who are culturally diverse, unserved or underserved; in institutions or on waiting lists. **(3 points)** |  |  |
| **Provides documentation that the UCEDD has a written agreement,(MOU) or charter with the**  **University which specifies the:**   1. UCEDD designation as an official, independent university component; 2. The relationships between the UCEDD and other university components; 3. The University's commitment (including financial and other resources) to the UCEDD; and   the UCEDD's commitment to the university; and   1. That the UCEDD Director reports directly to a University administrator who will represent the interests of the UCEDD within the University. **(3 points)** |  |  |
| **Describes an organizational structure of the UCEDD which provides evidence that the Center is an**  interdisciplinary education, research, and public service unit of a university or public or a  non-profit entity associated with a university that engages in four core functions and addresses directly or indirectly, one or more areas of emphasis. **(1 point)** |  |  |
| **Demonstrates the ability of the UCEDD**  **to leverage resources and has a long-range planning capability** to enable the UCEDD to respond to emergent and future developments in the field. **(1point)** |  |  |
| **Describes how the applicant** does or will employ individuals with developmental disabilities, their family members, and individuals from culturally and linguistically diverse backgrounds. **(1 point)** |  |  |
| **Describes the qualifications of the UCEDD director with**:   1. Appropriate academic credentials, 2. Demonstrated leadership, 3. Expertise, 4. Commitment to the field of developmental disabilities, 5. Significant experience in managing grants and contracts, 6. Ability to leverage public & private funds, 7. Vision to carry out the UCEDD mission**.**   **(2 points)** |  |  |
| **Describes the qualifications of the faculty and staff assigned to the UCEDD grant.** Explains how the UCEDD will maintain the faculty and staff necessary to support the functions and purposes of the UCEDD and allocate adequate staff time to carry out activities related to each of the four core functions. **(2 points)** |  |  |
| **Describes how the UCEDD will maintain a Consumer Advisory Committee, the majority of which shall be individuals with developmental disabilities and family members** **of such individuals;** includes representatives of the DD Council, Protection and Advocacy System (P&A)other UCEDD(s) in the State (as appropriate); and a self-advocacy organization that reflects the racial and ethnic diversity of the State. **(2 Points)** |  |  |
| Describes how the UCEDD engages in collaborative relationships with the DD Network partners (the State Developmental Disabilities Council, the Protection and Advocacy System, and the other UCEDD[s]) and identifies and delineates the UCEDD's role and involvement with the DD Network partners. **(1 point)** |  |  |
| Describes how the UCEDD actively participates in community networks and includes a range of collaborating partners. **(1 point)** |  |  |
| **ORGANIZATION CAPACITY 20 points**  **TOTAL:** |  |  |

**REVIEWER’s GENERAL COMMENTS:**

# Appendix E – UCEDD Tier 2 Site Visit Review Tool

UCEDD Tier 2 Review Site Visit Tool

**Site Visit Guidance**

**Purpose of site visit** is to review how UCEDDs are carrying out 5-year plans as submitted in core grant application. The site visit may be conducted virtually, rather than in person, consisting of a document review and conference call(s). The QRS Tier 3 on-site review remains as an option for OIDD to implement with UCEDDs with problem areas needing attention.

**Timing of site visit** is optimally in Year 3 of the UCEDD 5-year grant cycle, as this allows review of prior 5-year close-out report and current activities. This also allows for a site visit report to be developed, reviewed, and addressed prior to preparation for the next 5-year application.

**Length of site visit** is 2 days maximum with 3 months’ notice to coordinate travel and schedules for site visit team and on-site participants.

**Selecting UCEDDs to receive site visit**: Anticipating difficulty in conducting site visits to all UCEDDs because of capacity limitations, the priority for selecting UCEDDs to visit should address geographical region (i.e., visit one UCEDD per region until every region has had one UCEDD visited).

**Preparation activities** include OIDD selecting the site visit team, and the UCEDD submitting documents for the site visit team to review, scheduling site visit activities, and identifying topics to address/champion with key administrators in university or medical center.

**Documents to review in advance of visit**: UCEDD mission, vision, and values statements; MOU/charter with university/health science center; core function plans; an array of products and materials developed for dissemination; links to website; most recent core grant application with budget; most recent PPR; language access plan and other materials addressing efforts on diversity, inclusion, and cultural and linguistic competence.

**Site visit activities** include an interview with CAC, staff, faculty, trainees, and individuals/families served; discussion with UCEDD leadership to identify how core functions are implemented in programs; discussion with key university or medical center administrators to discuss UCEDD’s role within the institution and to identify current and future support for UCEDD; review of UCEDD space for accessibility; interview with administrative/operational support staff; and interview DD network and other collaborative partners.

**Site visit team includes** the OIDD project officer, peer UCEDD Director, person with disability or family member who has served as CAC chair. A member of the URC may also be included. OIDD should maintain a list of appropriate individuals to contact when scheduling reviews. OIDD should cover travel funds for site visit team members and other participants who travel from within the state to participate.

**Use of this tool and communicating results:** This tool includestwo major sections: compliance analysis, and outcomes analysis. Each section includes areas addressing organizational and core function activities, with review prompts aligning with the [DD Act](https://www.aucd.org/docs/urc/dd_act_011907.pdf), related [federal regulations pertaining to UCEDDs](http://www.aucd.org/docs/urc/Part%201388.pdf), and [OIDD’s logic model for the UCEDD network](https://www.aucd.org/docs/urc/TA%20Institute%202012/UCEDD_Logic_Model_2012.pdf). All reviewers will use their individual versions of this tool to document findings and comments during document review and site visit discussions, then together develop a consensus summary to deliver to the reviewed UCEDD within one month after the site visit. The consensus summary should include key strengths, recommendations and suggestions. The UCEDD should use the core grant application, continuation application, and PPR processes to address the feedback.

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| **COMPLIANCE ANALYSIS** | | | | | |  |
| **ORGANIZATION** | | | | | | |
| 1. **CENTER REQUIREMENTS:**   SEC.153.(1) (2) The Centers shall provide leadership and advise Federal, State, and community policymakers about and promote opportunities for individuals with developmental disabilities to exercise self-determination, be independent, be productive, and be integrated and included in all facets of community life. The Centers shall be interdisciplinary education, research, and public service units of universities or public or not-for-profit entities associated with universities that engage in core functions addressing, directly or indirectly, 1 or more of the areas of emphasis.  **Sec.1388.3 Program criteria-mission** (a) introduction to mission: The UAP is guided by values of independence, productivity, integration and inclusion of IWDD and their families. The purpose and scope of the activities must be consistent with the Act as amended and include the provision of training, service, research and evaluation, technical assistance and dissemination of information in a culturally competent manner, including the meaningful participation of individuals from diverse racial and ethnic backgrounds. (The concept of “diverse network” as defined in Sec. 1388.1 of this part applies to paragraphs (b), (f), (g), and (h) of this section. Sec. 1388.4 (b) The UAP must have a written agreement or charter with the university that specifies the UAP designation as an official university component, the relationships between the UAP & other university components, the university commitment to the UAP commitment to the university. | | | | | | |
| **No.** | **REVIEW PROMPT** | **ANSWERS** | | | | **REVIEWER COMMENTS** |
| **1.a** | Does the organizational structure of the UCEDD provide evidence that the center is an interdisciplinary education, research, and public service unit of university or public or not-for-profit entities associated with universities that engage in core functions to address directly or indirectly, one or more of the areas of emphasis? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.b** | Does the UCEDDhave written mission, vision, values, and/or goals statements that reflects its values and promotes the goals of the university or indicates a relationship to training, the development of new knowledge and service? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.c** | Does the UCEDD’s mission, vision, values, and/or goals reflect a commitment to culturally competent attitudes and practices? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.d** | Does the UCEDD’s mission, vision, values, and/or goals reflect its unique role as a bridge between university programs, individuals with intellectual and developmental (IDD) and their families, service agencies and the larger community? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.e** | Does the UCEDD have a written agreement such as MOU or charter with the university that specifies the UCEDD designation as an official university component, the relationships between the UCEDD, & the other university components, the university’s commitment to the UCEDD and the UCEDD’s commitment to the university? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.f** | To what degree do the UCEDD’s programs reflect a life span approach? | Exemplary  ☐ | | Adequate  ☐ | Insufficient/Need More Information  ☐ |  |
| **1.g** | To what degree do the UCEDD’s programs incorporate an Interdisciplinary approach? | Exemplary  ☐ | | Adequate  ☐ | Insufficient/Need More Information  ☐ |  |
| **1.h** | To what degree do the UCEDD’s programs include the active participation of individuals with IDD and their families? | Exemplary  ☐ | | Adequate  ☐ | Insufficient/Need More Information  ☐ |  |
| **1.i** | To what degree do the UCEDD programs address the needs of individual with IDD, including individuals who are culturally diverse, historically underrepresented, unserved or underserved; in institutions or on waiting lists for services? | Exemplary  ☐ | | Adequate  ☐ | Insufficient/Need More Information  ☐ |  |
| **1.j** | To what degree do the UCEDD’s goals, objectives, & activities reflect interagency collaborations and strategies to effect systemic change in the State/Territory and local communities and service systems? | Exemplary  ☐ | | Adequate  ☐ | Insufficient/Need More Information  ☐ |  |
| **1.k** | To what degree does the UCEDD actively participate in community networks and include a range of collaborating partners? | Exemplary  ☐ | | Adequate  ☐ | Insufficient/Need More Information  ☐ |  |
| **1.l** | Within the university, does the UCEDD maintain the autonomy and organizational structure required to carry out the mission and provide for the mandated activities? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.m** | Does the UCEDD report directly to a University administrator who will represent the interests of the UCEDD within the University? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.n** | Does the University demonstrate its support for the UCEDD through the commitment of financial and other resources? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.o** | Does the UCEDD senior professional staff hold faculty appointments in appropriate academic departments of the host or an affiliated university? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.p** | Does the UCEDD senior professional staff contribute to the university by participation on university committees, collaboration with other university departments, and other university community activities? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.q** | Does the CAC reflect the racial and ethnic diversity of the State in which the UCEDD is located? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.r** | Is the input of the CAC reflected in UCEDD policies and programs? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.s** | Does the UCEDD engage in collaborative relationships with the sister agencies: State DD Council and the Protection and Advocacy agency? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.t** | Is the UCEDD a member of the State DD Council and participate in Council meetings and activities? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.u** | Does the UCEDD maintain collaborative relationships and actively participate with the UCEDD network? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.v** | Does the UCEDD demonstrate the ability to leverage resources? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.w** | Does the UCEDD have adequate and accessible space to carry out the mandated activities? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.x** | Does the UCEDD integrate the mandated core functions into its activities and programs and have a written plan for each core function area? | Yes ☐ | | Yes ☐ | Need more information ☐ |  |
| **1.y** | Does the UCEDD have a long-range planning capability to enable its’ response to emergent and future developments in the field? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.z** | Does the UCEDD utilize innovative methods, including the active participation of individuals, families and other consumers of UCEDD programs and services to evaluate programs? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.aa** | Does the UCEDD refine and strengthen its programs based on evaluation findings? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **1.ab** | Does the UCEDD Director demonstrate commitment to the field of DD & leadership and vision in carrying out the mission of the UCEDD? | Yes ☐ | | No ☐ | Need more information ☐ |  |
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| **INTERDISCIPLINARY TRAINING AND CONTINUING EDUCATION** | | | | | | |
| 1. **CORE FUNCTION: INTERDISCIPLINARY TRAINING AND CONTINUING EDUCATION**:   SEC. 153.(a)(2)(A).Provision of 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 to achieve the purpose of this title  1388.5(c)The interdisciplinary training process, as defined by the UCEDD, must reflect a mix of students from diverse academic disciplines/ academic programs and cultures that reflect the diversity of the community. Faculty represent a variety of backgrounds and specialties, including individuals with disabilities and family members, and a variety of learning experiences, as well as reflecting the cultural diversity of the community. Trainees must receive academic credit as appropriate for participation in UCEDD training programs. | | | | | | |
| **No.** | **REVIEW PROMPT** | **ANSWERS** | | | | **REVIEWER COMMENTS** |
| **2.a** | Are the UCEDD interdisciplinary training programs (ITP) based on identified personnel preparation needs? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **2.b** | Do the ITPs, defined by the UCEDD, reflect a mix of students from diverse academic disciplines/academic programs and cultures that reflect the diversity of the community? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **2.c** | Does the Faculty represent a variety of backgrounds and specialties, reflective of the cultural diversity of the community and including individuals with IDD and family members? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **2.d** | Do the Trainees receive academic credit as appropriate for participation in UCEDD training programs? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **2.e** | Are trainee activities integrated into all aspects of the UCEDD, including community training and technical assistance, direct services (if provided), and dissemination? | |  |  | | --- | --- | | Yes ☐ | No ☐  option | | | No ☐ | Need more information ☐ |  |
| **2.f** | Are Trainees prepared to serve in a variety of roles, including advocacy and systems change? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **2.g** | Does the UCEDD encourage graduates to work in situations where they will promote the independence, productivity, integration and inclusion of individuals with IDD and their families? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **2.h** | Does the UCEDD participate in broader University academic programs that prepare personnel in a range of social and community roles that will contribute to the accommodation and inclusion of individuals with IDD? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **2.i** | Does the UCEDD core curriculum incorporate cultural diversity and demonstrate cultural competence? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **2.j** | Are Trainees prepared to address the needs of individuals with IDD and their families in a culturally competent manner? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **2.k** | Does the UCEDD core curriculum prepare trainees to be active participants in research and dissemination efforts? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **2.l** | Does the curriculum prepare trainees to be consumers of research as it informs practice and policy? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **COMMUNITY SERVICES** | | | | | | |
| 1. **CORE FUNCTION: COMMUNITY SERVICES:**   SEC. 153.(a)(2)(B)(i-ii)  Provision of community services that provide training or technical assistance for individuals with developmental disabilities, their families, professionals, paraprofessionals, policy-makers, students, and other members of the community; and that may provide services, supports, and assistance for the persons described in clause (i) through demonstration and model activities | | | | | | |
| **No.** | **REVIEW PROMPTS** | **ANSWERS** | | | | **REVIEWER COMMENTS** |
| **3.a** | Do the UCEDD Training /TA activities use capacity building strategies to strengthen the capability of communities, systems and service providers? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **3.b** | Are UCEDD Training /TA activities planned collaboratively, including individuals with IDD & their families? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **3.c** | Do the UCEDD Training /TA activities target a wide range of audiences, including individuals with IDD, family members, service/ support personnel, and community members? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **3.d** | Are the UCEDD Training /TA activities planned and structured to facilitate the participation of their targeted audiences? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **3.e** | Do the UCEDD Training/TA activities address the unique needs of individuals with IDD and their families from diverse cultural, linguistic & ethnic backgrounds who reside within the geographic locale? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **3.f** | Does the training and TA provided by UCEDD faculty/staff enhance knowledge of a variety of community members (individuals with IDD and other disabilities, their families, professionals, paraprofessionals, policy-makers, students or others in the community)? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **3.g** | Does the UCEDD provide Direct services? If NO, skip (3h-3n). | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **3.h** | If YES, do services offer and promote the inclusion and integration of individuals with IDD and their families in all aspects of community life through the delivery of projects, activities, and in community service-based settings? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **3.i** | Does the UCEDD:   * Integrate its direct service projects into community setting and involve community members, agencies and other organizations? * Does it address a local or universal need/ issue? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **3.j** | Does the UCEDD describe direct service activities that address and provide evidence of an emerging, critical problem that reflects current trends or anticipated developments in the field? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **3.k** | Does the UCEDD implement direct service activities that use innovative designs and methods? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **3.l** | Does the UCEDD implement direct service activities that are based on evaluation and that can be replicated? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **3.m** | Does the UCEDD implement innovative, cost effective concepts and practices that facilitate and demonstrate independence for individuals with IDD, community integration, productivity, and human rights? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **3.n** | Are the concepts and practices evaluated according to accepted practices of scientific evaluation? | Yes ☐ | | No ☐ | Need more information ☐ |  |
| **RESEARCH** | | | | | | |
| 1. **CORE FUNCTION RESEARCH : SEC.153.(a)(2)(C)**   Conduct of 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. | | | | | | |
| **No.** | **REVIEW PROMPT** | | **ANSWER** | | | **REVIEWER COMMENTS** |
| **4.a** | Does the UCEDD conduct 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 IDD and their families? | | Yes ☐ | No ☐ | Need more information ☐ |  |
| **4.b** | Does the UCEDD describe how individuals with IDD, other disabilities and their families, including those from culturally and linguistically diverse groups, are actively participating in the UCEDD research process? | | Yes ☐ | No ☐ | Need more information ☐ |  |
| **INFORMATION DISSEMINATION** | | | | | | |
| **5. CORE FUNCTION INFORMATION AND DISSEMINATION: SEC. 153. (a)(2)(D)**  Dissemination of information related to activities undertaken to address the purpose of this title, especially dissemination of information that demonstrates that the network authorized under this subtitle is a national and international resource that includes specific substantive areas of expertise that may be accessed and applied in diverse settings and circumstances | | | | | | |
| **No.** | **REVIEW PROMPT** | | **ANSWER** | | | **REVIEWER COMMENTS** |
| **5.a** | Does the UCEDD serve as a resource for information for individuals with IDD and their family members, community members, State agencies, and other providers/ advocacy organizations? | | Yes ☐ | No ☐ | Need more information ☐ |  |
| **5.b** | Does the UCEDD develop variety of products to promote public awareness and visibility of the UCEDD, and facilitate replication of best practices? | | Yes ☐ | No ☐ | Need more information ☐ |  |
| **5.c** | Does the UCEDD target wide range of audiences for its dissemination of information including individuals with IDD, family members, service providers, policy makers, administrators, university faculty, researchers, and the general public? | | Yes ☐ | No ☐ | Need more information ☐ |  |
| **5.d** | Are the UCEDD dissemination activities responsive to community requests and utilize a variety of networks? | | Yes ☐ | No ☐ | Need more information ☐ |  |
| **5.e** | Does the UCEDD involve individuals with IDD and families in the development of products and resources that are disseminated? | | Yes ☐ | No ☐ | Need more information ☐ |  |
| **5.f** | Do UCEDD products utilize person person-centered language and display positive images of individuals with IDD and their families in inclusive communities? | | Yes ☐ | No ☐ | Need more information ☐ |  |
| **5.g** | Do UCEDD-disseminated products reflect the cultural and linguistic diversity of the community? | | Yes ☐ | No ☐ | Need more information ☐ |  |

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| **OUTCOMES ANALYSIS** | | | | | | | | |
| **ORGANIZATION** | | | | | | | | |
| **No.** | **REVIEW PROMPT** | **ANSWER** | | | | | | **REVIEWER COMMENTS** |
| **6.a** | Are funding sources sufficient to sustain the UCEDD's operations, mission, goals, and activities in future years? | Yes ☐ | No ☐ | | Need more information ☐ | | |  |
| **6.b** | Does the UCEDD have outcomes from collaborations to address critical issues/ barriers? | Yes ☐ | No ☐ | | Need more information ☐ | | |  |
| **6.c** | Does the DD Network in the State/Territory have outcomes from collaboration to address critical issues and barriers? | Yes ☐ | No ☐ | | Need more information ☐ | | |  |
| **INTERDISCIPLINARY TRAINING AND CONTINUING EDUCATION** | | | | | | | | |
| **No.** | **REVIEW PROMPT** | **ANSWER** | | | | | | **REVIEWER COMMENTS** |
| **7.a** | % of UCEDD long-term trainees reporting and increase in knowledge or skills and/or change in attitude | Enter % | | | | | |  |
| **7.b** | % of former UCEDD long- term trainees reporting they applied knowledge, attitude and skills, acquired during their training in their current positions. | Enter **%** | | | | | |  |
| **7.c** | % of former UCEDD long- term trainees reporting they are working in areas of high need. (Rural/frontier communities, traditionally underserved groups) | Enter **%** | | | | | |  |
| **7.d** | % of former UCEDD long- term trainees, who hold a terminal degree, reporting they are working in tenure and non-tenure track faculty positions. | Enter **%** | | | | | |  |
| **7.e** | % of Individuals w DD receiving services from former UCEDD long- term trainees after 1 year, 5 years and 10 years. | Enter **%** | | | | | |  |
| **7.f** | % of former UCEDD long- term trainees reporting they are working in leadership positions after 1, 5, and 10 years | Enter **%** | | | | | |  |
| **7.g** | Are the interdisciplinary training outcomes consistent with the mission of the UCEDD? | Yes ☐ | No ☐ | | Need more information ☐ | | |  |
| **CONTINUING EDUCATION** | | | | | | | | |
| **No.** | **REVIEW PROMPT** | **ANSWER** | | | | | | |
| **8.a** | N/A | | | | | | | |
| **COMMUNITY SERVICES** | | | | | | | | |
| **No.** | **REVIEW PROMPT** | **ANSWER** | | | | | | **REVIEWER COMMENTS** |
| **9.a** | Community Services: Training - For recipients of regular, on-going trainings, % reporting an increase in knowledge gained in area of emphasis or in a training topic in area of emphasis. | Enter **%** | | | | | |  |
| **9.b** | Community Services: Training – % of recipients of regular, on-going training who apply acquired knowledge, attitude, and skills | Enter **%** | | | | | |  |
| **9.c** | Community Services: TA - For TA recipients with a sustained relationship with the UCEDD, % reporting increase in any of these identified or requested items: enhanced resources, enhanced services, strengthened networking of public and private entities across communities, increased awareness of evidence-based practices, enhanced capacity to assess current practices in relation to evidence-based approaches, or identification of policy changes needed within the areas of emphasis. | Ente**r %** | | | | | |  |
| **9.d** | Community Services: TA – For TA recipients with a sustained relationship with the UCEDD, % reporting an increased capacity in: utilization of expanded resources, development of community networks, adoption of evidence-based practices, development of disability policy at any level (local, state, regional, tribal, territorial, national) | Ente**r %** | | | | | |  |
| **9.e** | ***\*\*If YES to 3g above:***Community Services-Model Services: Number of individuals who received specialized services from the UCEDD to enhance the well-being and status of the recipient | Enter# | | | | | |  |
| **9.f** | ***\*\*If YES to 3g above:***Community Services-Model Services: For at least one model service, the reported increase in the capacity of individuals with developmental and other disabilities and family members to (fill in blank based on area of emphasis/service) | Enter response Click here to enter text. | | | | | |  |
| **9.g** | ***\*\*If YES to 3g above:***Community Services: Demonstration Services–  UCEDD and/or partnering agency adopts findings from field test to make at least one modification to the UCEDD services being field tested. | Yes ☐ | | No ☐ | | Need more information ☐ | |  |
| **9.h** | ***\*\*If YES to 3g above:***Community Services: Demonstration Services– Optional measures if one of these outcomes is the intent of the field testing: Changes in systems, practice, policy occur at any level (e.g. national, state, local, regional tribal, territorial, national); Individuals with developmental or other disabilities prevent or ameliorate secondary conditions; Increased use of preventive services and maintenance of health status by Individuals with developmental or other disabilities; more individuals with developmental or other disabilities receive chosen supports and services within the areas of emphasis. | Enter response Click here to enter text. | | | | | |  |
| **RESEARCH** | | | | | | | | |
| **No.** | **REVIEW PROMPT** | **ANSWER** | | | | | | **REVIEWER COMMENTS** |
| **10.a** | UCEDD adopts research findings by modifying activities in the other core functions | Yes ☐ | | No ☐ | Need more information ☐ | | |  |
| **10.b** | Number of citations in the literature to indicate the UCEDD has generated research findings that are used to inform new research, policy, and/or practice. | Enter # Click here to enter text. | | | | | |  |
| **10.c** | Using case specific examples, instances of UCEDD generated research findings – Leading to changes in systems, practice and policy at any level (e.g. national, state, regional, tribal and territorial); Translated into practice and or policy; - Leading to adoption of evidence-based practices. | Enter response Click here to enter text. | | | | | |  |
| **INFORMATION DISSEMINATION** | | | | | | | | |
| **ITEM** | **REVIEW PROMPT** | **ANSWER** | | | | | | **REVIEWER COMMENTS** |
| **11.a** | Is product dissemination integrated into other core functions (e.g. model services, training, technical assistance, demonstration services etc.) thereby contributing to other core function areas? | Yes ☐ | No ☐ | | | | Need more information ☐ |  |

# Appendix F – UCEDD Grantwriting and Reporting Timeline

UCEDD Grantwriting & Reporting Timeline

**Core 5-yr Application**

***Exact date TBA***

**PPR due**

***July 30***

**Final 5-yr Report due**

***September 29***

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Core 5-year Application |  |  | Program Performance Report (PPR) |  | Final 5-year Report |
| Frequency: Submitted every five years, to start a new UCEDD core grant cycle |  |  | Frequency: Submitted every year, after the end of the fiscal year, to meet the UCEDD reporting requirements |  | Frequency: Submitted every five years, at the end of the UCEDD grant cycle, to meet the UCEDD reporting requirements |
| Completion details: Submitted in Grant Solutions |  |  | Completion details: Completed in NIRS and submitted (uploaded) in Grant Solutions |  | Completion details: Submitted in Grant Solutions |
| Deadline: Typically Spring (exact date is announced each year) |  |  | Deadline: July 30 (30 days after the end of the grant period, which is June 30) |  | Deadline: September 29 (90 days after the end of the grant period, which is June 30) |
| Helpful resources: "[UCEDD Grants" page on the UCEDD Resource Center website](http://www.aucd.org/template/page.cfm?id=518)   * + General information   + Grant modification guidance   + Grants Management   + Data sources to inform state needs assessment   + Samples from network   + Additional resources   + Archived past UCEDD FOAs |  |  | Helpful resources: ["UCEDD PPR" page on the UCEDD Resource Center](http://www.aucd.org/template/page.cfm?id=519) |  | Helpful resources: ["UCEDD Grants" page on the UCEDD Resource Center](http://www.aucd.org/template/page.cfm?id=518)   * + General information section includes guidance and resources for 5-year reports |

# Appendix G – OIDD Team Lead Checklist

|  |  |
| --- | --- |
| **State/Territory:** | |
| **Dates:** | |
| **SITE VISIT PREPARATION** | **TIMELINE** |
| **Recruiting QRS 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 QRS. In doing so, ensure availability, explain commitment necessary of team members, and get information on accommodations |  |
| **Participate in initial conference call with grantees.**   * Answer any questions grantee may have about the checklists and documents required * Follow-up as needed with grantee to further discuss QRS logistics and/or checklists |  |
| **Research and confirm accommodations for the site visit**   * Contact grantee for hotel recommendations. Use the hotel amenities checklist (see Appendix O of the QRS 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:   + consider whether meeting space is needed   + ensure that accessible rooms are available and provide appropriate accommodations based on person’s needs   + 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>   + 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**   * Coordinate with OIDD Project Officer for the logistics contract if meetings will be held in hotel to ensure that expense is within QRS budget |  |
| **Review Tool and documentation receipt**   * After initial conference call with grantees, ensure grantees have contact information for Program Team members to send review tool and documentation. * Contact Program Team members to ensure all have received review tool and documentation |  |
| **Review Tool and documentation review**   * After receiving the review tool 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. Meeting should be held in person if funds are available. * 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   + 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 UCEDD**   * Email final draft of summary of Program Team findings and the review tool 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:   + Promising practices are recognized   + Potential compliance issues are discussed   + Other issues/focus areas are discussed   + The on-site schedule is discussed * Schedule follow-up conference calls, if necessary |  |
| **Confirm UCEDD response**   * Confirm the UCEDD’s 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 UCEDD Director to confirm the schedule site visit   * Request that the Director develop a draft schedule. Refer to Appendix I of the QRS 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 for travel time and is accommodating to review team   + builds in meeting time for Program Team and for full QRS team review of collaboration   + addresses all the areas the review team identified in the summary * Email a copy of the final schedule to the QRS team coordinator and to Program Team members |  |
| **Plan for the on-site travel logistics**   * Schedule personal travel, including rental car if needed, prior to QRS onsite review. * Work with the grantee and Program Team members to determine logistics * Determine ground transportation from the airport to the hotel and get directions from the airport to the hotel and from the hotel to the UCEDD * 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   + Team meeting times   + Designated note takers (utilize lap top to take notes – Program Team lead generally is note taker)   + Reinforce the important role that team members play in conducting the review and writing the report   + Discuss travel logistics   + Decide whether team members will need to travel with their documents due to weight restrictions.   + Include Logistics contractor on calls with the team to review final logistics * 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 De-briefing**   * Meet with Program Team to discuss findings from the site visit and to discuss Exit De-briefing 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 provide highlights of the Program Team’s findings based on the topic areas of the checklist * Makes copies of the Exit De-briefing notes for Program Team members * Present findings at Exit De-briefing |  |

|  |  |
| --- | --- |
| **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 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. * Work with the OPS Director to make any final edits to the report. |  |

# Appendix H – Tips for Effective Teamwork

A team that is diverse inthe experience and perspectives of its members will bring more ideas to discussions and thus solve problems more strategically.0

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. 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 QRS 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 QRS. Because individuals on the QRS 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.

# Appendix I – UCEDD Checklist for Site Visit Preparations

|  |  |  |
| --- | --- | --- |
| TASK | CHECK WHEN COMPLETE | COMMENTS |
| 1. Identify staff to participate in conference call with OIDD about the Tier 2 Review |  |  |
| 1. Complete the Tier 2 Review Tool |  |  |
| * 1. Review the Tier 2 Review Tool |  |  |
| * 1. Complete the Tier 2 Review Tool |  |  |
| * 1. Submit the completed Tier 2 Review Tool and relevant supporting document to OIDD |  |  |
| 1. Prepare a site visit agenda |  |  |
| * 1. Review Tier 2 team summary and participate in conference call with team to discuss summary and the agenda |  |  |
| * 1. Finalize draft agenda following conference call with OIDD |  |  |
| * 1. Provide OIDD with final draft agenda for review |  |  |
| * 1. Revise agenda as needed based on feedback from OIDD |  |  |
| * 1. Ensure appropriate meeting space is secured and other logistics are managed (e.g., phone lines, videoconference) |  |  |

# Appendix J – Sample Conference Call Agenda

**UCEDD:**

**Date of Call:**

**AGENDA**

1. **Brief overview on the purpose of QRS**
2. **Review of team structure and team members**
3. **Hotel arrangements & logistics**
4. **Tier 2 Review Tool** 
   1. What is the purpose of the Tier 2 Review Tool?
   2. What is the responsibility of the UCEDD?
   3. What is the responsibility of the team members?
   4. Timelines
5. **Questions**

# Appendix K – Hotel Amenities Checklist

|  |  |
| --- | --- |
| ***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 QRS 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/guidelines-and-standards/buildings-and-sites/about-the-ada-standards/guide-to-the-ada-standards>

# Appendix L – Note Taking Tips

The following are tips to keep in mind when listening to presentations, performing document reviews, conducting on-site team meetings, preparing for the exit de-briefing and when recording highlights to assist with the QRS 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
* What technical assistance needs were raised or emerged?

Organize the information using the following outline of key facts:

* Findings on Compliance
* Findings on Outcomes
* Technical Assistance Needs
* Follow-up by Grantee Expected before the Report is Issued
* Follow-up by OIDD Expected Before the Report is Issued

# Appendix M – Exit Debriefing Report Format

|  |  |
| --- | --- |
| **TEAM FINDINGS** | |
| Areas of Strength/ Outcomes Noted |  |
| Satisfactory Program Areas |  |
| Compliance Issues |  |
| Areas of Concern/for Improvement |  |
| Recommendations |  |

# Appendix N – Sample Cover Letter for the QRS Report

INSERT DATE

INSERT UCEDD DIRECTOR NAME

ADDRESS 1

CITY, ST ZIP

Dear INSERT NAME OF UCEDD DIRECTOR:

I am pleased to provide you with the enclosed Tier 2 Quality Review System (QRS) Report for the INSERT NAME OF UCEDD. Thank you for participating in the Tier 2 review. We appreciated your cooperation with and preparation for all aspects of the review.

The report describes the findings from the Tier 2 QRS review of the INSERT NAME OF UCEDD. The purpose of the Tier 2 review is to conduct an in-depth assessment of how a UCEDD complies with the requirements and achieves outcomes of the DD Act and federal regulation through the use of funding authorized under the DD Act. The report is divided into the following sections:

1. Summary
2. Overview – Quality Review System
3. QRS Tier 2 Process
4. QRS Tier 2 Findings
5. Recommendations

The report captures the Tier 2 review process and divides the review team’s findings into strengths, satisfactory elements, and concerns. The report concludes with recommendations to address the concerns found in the QRS review

Within sixty (60) days of receipt of this letter, please prepare a response to the recommendations in the report and let OIDD know how your UCEDD plans to pursue technical assistance to address the concerns. Additionally, if you note any factual errors in the report, please notify us in your response so that the report can be corrected. OIDD will evaluate your response and follow up actions within one year after the issuance of this report and will reassess the areas of concern based on those actions.

Please send your responses electronically to:

INSERT PO NAME

Program Specialist

Administration on Intellectual and Developmental Disabilities

Administration for Community Living

[FIRST.LASTNAME@acl.hhs.gov](mailto:FIRST.LASTNAME@acl.hhs.gov)

If you have any questions or need additional information, please contact INSERT PO NAME at 202-357-XXXX or [FIRST.LASTNAME@acl.hhs.gov](mailto:FIRST.LASTNAME@acl.hhs.gov).

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

Sincerely,

Commissioner

Administration on Disabilities

Enclosure: QRS Tier 2 Site Visit Report