SECTION 4

Planning Activities

The Planning Phase

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

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

Selecting States to Review

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

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

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

States Reviewed

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

Planning Activities

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

Training MTARS Reviewers

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

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

SECTION 5

Pre-Site Visit Activities

Site Visit Notification

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

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

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

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

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

ADD Staff Assignments and Preparations

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

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

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

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

Recruitment of MTARS Team Members

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

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

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

Site Visit Preparation

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

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

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

Grantee Self-Assessment

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

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

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

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

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

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

Process for Completing the Self-Assessment Checklists

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

Process for Completing the Self Assessment Checklists

Step 1

Program Lead and grantee discuss how to complete the checklists

Step 2

Grantee completes self-assessment checklists and sends it to the respective Program Lead and Program Team members with necessary documents by due date

Step 3

MTARS team members review the materials submitted by the grantee

Step 4

Program Team meets to discuss and review documents and identify areas of inquiry

Step 5

Program team has at least one conference call with grantee to discuss review of documents, areas of inquiry for visit, the site visit agenda, and technical assistance needs

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

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

Step 2: Grantee Completes Checklists and Sends to Program Team

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

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

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

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

Step 4: Program Team Meets to Discuss Checklists

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

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

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

Step 5: Grantee and Program Team Teleconference

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

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

Fiscal Review Guidance

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

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

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

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

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

State of the State and DD Network Collaboration Videoconference

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

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

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

- ✓ Politics
- ✓ Economics

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

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

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

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

Public Forum Preparation

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

A public forum is an important part of the monitoring. It allows the team to gather comments from the public about the activities of the Council, P & A, and UCEDD(s). The purpose is to gather information on their experiences with these programs, how the programs have changed their lives, and how the programs can improve. It is important to convey that the public forum is not the time to voice concerns or complaints about the State service delivery system, such as Medicaid or special education, since ADD does not have oversight of such programs

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

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

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

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

Site Visit Agenda

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

Accessibility

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

Other Site Visit Preparations

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

SECTION 6

MTARS Site Visit

Purpose of the Site Visit

The primary purpose of the site visit is to:

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

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

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

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

Meetings

The site visit includes the following meetings*:*

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

Details on each meeting follow.

Program Team Meetings

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

MTARS Team Meetings

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

Joint Exit Meeting

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

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

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

Public Forum

A cross-program public forum is scheduled for the first day of the site visit. This provides an important opportunity to collect comments from the public about Council, P & A and UCEDD(s). Representatives from the Council, P&A, and UCEDD(s) are invited to attend the public forum. The On-site Coordinator introduces the forum. Review Team members listen to all participants but do not respond to comments or questions except for purposes of clarification. Members of the Review Team may talk by phone or meet briefly during the site visit with individuals who wish to speak with them privately.

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

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

Interviews

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

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

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

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

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

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

The Interview Process

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

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

Interview Questions

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

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

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

P&A Case Record Review

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

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

Note-taking

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

SECTION 7

Post-Site Visit Activities

Development of the Final Report

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

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

A sample report format appears in *Tab S*.

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

Process and Timeframes for Developing the Final Report

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

Timeline for Completing Report

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

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

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

Report Distribution

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

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

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

Response to MTARS Report

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

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

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

Content of the Corrective Action Plan

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

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

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

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

Timeframes for Submitting the Corrective Action Plan

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

Timeframes for Implementing the Corrective Action Plan

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

Evaluating the Implementation of the Corrective Action Plan

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

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