

## **Tab A – Commonly Used Acronyms**

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

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

## Tab B – Glossary

### 1. **Areas of Emphasis**

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

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

### 2. **Child Care-Related Activities**

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

### 3. **Compliance**

Meeting the requirements of the DD Act.

### 4. **Culturally Competent**

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

### 5. **DD Network**

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

### 6. **Developmental Disability**

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

- self-care
- receptive and expressive language

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

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

**7. Early Intervention Activities**

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

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

**8. Employment-Related Activities**

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

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

**8. Grantees**

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

**9. Health-Related Activities**

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

**10. Housing-Related Activities**

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

## **11. Inclusion**

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

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

## **13. Integration**

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

## **14. Organizational Procedures**

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

## **15. Protection And Advocacy Systems**

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

## **16. Quality Assurance Activities**

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

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

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

**17. Recreation-Related Activities**

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

**18. State Council on Developmental Disabilities**

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

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

**19. Transportation-Related Activities**

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

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

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

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

## Tab C.1 - Council Compliance Checklist

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

<b>I. COLLABORATION</b>		
<i>I.1 DD Network Collaboration</i>	<i>Document</i>	<i>Interview</i>
The Council maintains collaborative relationships with the P&A and the UCEDD. Sec.104(a)(3)(D)(iii)		<ul style="list-style-type: none"> <li>Executive Director</li> <li>Council members</li> <li>Community members/Public forum</li> </ul>
Comments:		
<i>I.2 Community Collaborations</i>	<i>Document</i>	<i>Interview</i>
The Council actively participates in community networks and has a range of collaborating partners. Sec. 101(b)(3)		<ul style="list-style-type: none"> <li>State agency members of Council</li> <li>Self-advocacy orgs.</li> <li>Community orgs.</li> </ul>
Comments:		

## II. ORGANIZATIONAL ADMINISTRATION

<i>II.1 Staff</i>	<i>Document</i>	<i>Interview</i>
Council recruits and hires Director of Council and supervises and annually evaluates Director. Director hires, supervises and annually evaluates staff. Sec. 125(c)(9)		<ul style="list-style-type: none"> <li>• Council Chair</li> <li>• Executive Director</li> </ul>
Comments:		
Staff while working for the Council are solely responsible for assisting the Council in carrying out duties of the Council. Sec.125(c)(10)		<ul style="list-style-type: none"> <li>• Council staff</li> <li>• Council Chair</li> <li>• Executive Director</li> </ul>
Comments:		
Council hires and maintains staff and obtains services of professional, consulting, technical, and clerical staff (qualified by training and experience) to carry out functions of Council. (State shall not apply hiring freezes, RIFs, etc.) Sec.125(c)(8)(B)		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council Chair</li> </ul>
Comments:		

## III. MEMBERSHIP

<i>III.1 Membership policies</i>	<i>Document</i>	<i>Interview</i>
Membership recommendations solicited by Governor from a broad range of organizational sources including non-State agency members of the Council. Sec125(b)(1)(B)		<ul style="list-style-type: none"> <li>• Non-state agency members of Council</li> <li>• Council Chair</li> </ul>
Comments:		
Members reflect the State's diverse geographic locations, race, and ethnicity. Sec.125(b)(1)(C)		<ul style="list-style-type: none"> <li>• Council members</li> <li>• Council Chair</li> <li>• Executive Director</li> </ul>



Comments:		
The Council has provisions to rotate membership. Sec.125(b)(2)		<ul style="list-style-type: none"> <li>• Council members</li> <li>• Council Chair</li> <li>• Executive Director</li> </ul>
Comments:		
The Council has provisions that allow continuation of membership until a new member is appointed. Sec.125(b)(2)		<ul style="list-style-type: none"> <li>• Council members</li> <li>• Council Chair</li> <li>• Executive Director</li> </ul>
Comments:		
The Council has a process to notify Governor re: membership and vacancies. Sec. 125(b)(2)		<ul style="list-style-type: none"> <li>• Council members</li> <li>• Council Chair</li> <li>• Executive Director</li> </ul>
Comments:		
<b>III.2 Membership requirements</b>	<b>Document</b>	<b>Interview</b>
60% of membership represent individuals with DD in the following categories: Sec.125(b)(3); Sec.125(b)(5) <ul style="list-style-type: none"> <li>• 1/3 individuals with DD</li> <li>• 1/3 parents and guardians of children with developmental disabilities or immediate relatives of guardians of adults with developmental disabilities</li> <li>• 1/3 combination             <ul style="list-style-type: none"> <li>➤ at least one is immediate relative or guardian of an individual with developmental disabilities who resides or previously resided in an institution or an individual with developmental disabilities who currently/previously resided in an institution in the State. Sec.125(b)(6)</li> <li>➤ The above individuals cannot be employees of a State agency that</li> </ul> </li> </ul>		<ul style="list-style-type: none"> <li>• Council members</li> <li>• Council Chair</li> <li>• Executive Director</li> </ul>

<p>receives funds or provides services under this subtitle and not a managing employee of any other entity that receives funds or provides services under the subtitle. Sec.125(b)(3)(B)</p>		
<p>Comments:</p>		
<p>Other required members: Sec.125(b)(4)</p> <ul style="list-style-type: none"> <li>➤ Rep. of the Rehab Act</li> <li>➤ IDEA</li> <li>➤ Older American Act</li> <li>➤ Title V and XIX of the Social Security Act</li> <li>➤ Local and nongovernmental agencies, and private nonprofit groups concerned with services for individuals with developmental disabilities in the State in which such agencies and groups are located</li> </ul>		<ul style="list-style-type: none"> <li>• Council members</li> <li>• Council Chair</li> <li>• Executive Director</li> </ul>
<p>Comments:</p>		
<p>Representatives of agencies and organizations:</p> <ul style="list-style-type: none"> <li>➤ Have the authority to engage in policy planning and implementation of behalf of department, agency or program. Sec.125(b)(3)(B)(i)</li> <li>➤ Recuse themselves from any discussions that may involve conflict of interest. Sec.125(b)(3)(B)(ii)</li> <li>➤ No member of the Council will cast a vote on any matter that would provide direct financial benefit to the member or otherwise give the appearance of a conflict of interest. Sec.124(c)(5)(D)</li> </ul>		<ul style="list-style-type: none"> <li>• Non-state agency members of the Council</li> <li>• Council Chair</li> </ul>

Comments:

**IV. PROGRAM ADMINISTRATION**

<i>IV.1 Five Year State Plan</i>	<i>Document</i>	<i>Interview</i>
Establishes a Council Sec.124(c)(1)		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council Chair</li> </ul>

Comments:

Identifies Designated State Agency (DSA)	Identifies Designated State Agency (DSA)	Identifies Designated State Agency (DSA)
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Comments:

Describes the results of a comprehensive review and analysis of the extent to which services, supports, and other assistance are available to individuals with developmental disabilities and their families and the extent of unmet needs for services, supports, and other assistance in the State. Sec.124(c)(2,3)		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council Chair</li> <li>• Council members</li> </ul>
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Comments:

Includes 5-year goals developed through data-driven strategic planning, for advocacy, capacity building, and systemic change in the areas of emphasis related to identified unmet/met needs and an annual goal to: <ul style="list-style-type: none"> <li>➤ Establish or strengthen a program for the direct funding of a State self-advocacy organization led by individuals with developmental disabilities</li> <li>➤ Support opportunities for who are considered leaders to provide leadership training to individuals with developmental disabilities who may become leaders</li> <li>➤ Support and expand participation of to individuals with developmental</li> </ul>		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council Chair</li> <li>• Council members</li> </ul>
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<p>disabilities in cross-disability and culturally diverse leadership coalitions Sec.124(c)(4)(A)</p>		
<p>Comments:</p>		
<p>The 5-year goals;          ➤ are consistent with indicators of progress          ➤ reflect strategies to be used in achieving each goal          • reflect methods to determine if each goal has been achieved          Sec.124(c)(B)</p>		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council Chair</li> <li>• Council members</li> </ul>
<p>Comments:</p>		
<p>Plan must include assurances related to:          ➤ uses of funds          ➤ State financial participation          ➤ conflict of interest          ➤ urban and rural poverty areas          ➤ program accessibility standards          ➤ individualized services          ➤ human rights          ➤ minority participation          ➤ employee protections          ➤ staff assignments          ➤ noninterference          ➤ state quality assurances          ➤ other assurances          Sec.124(c)(5)</p>		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council Chair</li> <li>• Council members</li> </ul>
<p>Comments:</p>		
<p>Is based on public input. Sec.124(d)(1)</p>		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council Chair</li> <li>• Council members</li> <li>• Community partners/organizations</li> </ul>
<p>Comments:</p>		

<p>Includes evidence of the plan being submitted to the Secretary and approved by the Secretary. Sec.124(d)(2,3)</p>		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council Chair</li> <li>• Council partners/organizations</li> <li>• DSA</li> </ul>
<p>Comments:</p>		
<p><b><i>IV.2 State Plan Implementation</i></b></p>	<p><b><i>Document</i></b></p>	<p><b><i>Interview</i></b></p>
<p>The Council shall implement the State Plan by conducting and supporting advocacy, capacity building, and systemic change activities such as:</p> <ul style="list-style-type: none"> <li>➤ Outreach</li> <li>➤ Training</li> <li>➤ Technical Assistance</li> <li>➤ Supporting and Educating Communities</li> <li>➤ Interagency collaboration and coordination</li> <li>➤ Coordination with related councils, committees, and programs</li> <li>➤ Barrier elimination, systems design, and redesign</li> <li>➤ Coalition development and citizen participation</li> <li>➤ Informing policymakers</li> <li>➤ Demonstration of new approaches to services and supports</li> <li>➤ Other activities</li> </ul> <p>Sec.125(c)(5)</p>		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council Chair</li> <li>• Council members</li> <li>• Community partners/organizations</li> </ul>
<p>Comments:</p>		

## V. EVALUATION AND REPORTS

<i>Program Performance Report</i>	<i>Document</i>	<i>Interview</i>
The Council annually prepares and transmits to the Secretary a report containing information about the progress made in achieving the goals. The report includes:		
Comments:		
➤ Extent to which each goal of Council was achieved. Sec.125(c)(7)(A)		<ul style="list-style-type: none"> <li>• Executive Director/staff</li> <li>• Council Chair</li> </ul>
Comments:		
➤ Description of strategies that contributed to achieving goals. Sec.125(c)(7)(B)		<ul style="list-style-type: none"> <li>• Executive Director/staff</li> <li>• Council Chair</li> </ul>
Comments:		
➤ Extent to which each goal was not achieved, describes factors that impeded goal achievement. Sec.125(c)(7)(C)		<ul style="list-style-type: none"> <li>• Executive Director/staff</li> <li>• Council Chair</li> </ul>
Comments:		
➤ Separate information on self-advocacy goal. Sec.125(c)(7)(D)		<ul style="list-style-type: none"> <li>• Executive Director/staff</li> <li>• Council Chair</li> <li>• Consumer members of Council</li> </ul>
Comments:		
<ul style="list-style-type: none"> <li>➤ As appropriate an update on results of comprehensive review and analysis, and</li> <li>➤ Information on consumer satisfaction with Council supported or conducted activities. Sec.125(c)(7)(E)</li> </ul>		<ul style="list-style-type: none"> <li>• Executive Director/staff</li> <li>• Council Chair</li> <li>• Consumer members of Council</li> </ul>
Comments:		
➤ Description of adequacy of health care and other services, supports and		<ul style="list-style-type: none"> <li>• Executive Director/staff</li> <li>• Council Chair</li> </ul>

<p>assistance that individuals with developmental disabilities:</p> <ul style="list-style-type: none"> <li>○ in Intensive Care Facilities/Mental Retardation (ICF/MR) receive;</li> <li>○ served through Home Community Based Waivers receive.</li> </ul> <p>Sec.125(c)(7)(F)</p>		
<p>Comments:</p>		
<p>➤ An accounting of the manner in which funds paid to the State for a fiscal year were expended. Sec.125(c)(7)(G)</p>		<ul style="list-style-type: none"> <li>• Executive Director/staff</li> <li>• Council Chair</li> </ul>
<p>Comments:</p>		
<p>Includes description of:</p> <ul style="list-style-type: none"> <li>➤ resources made available to carry out activities to assist individuals with developmental disabilities that are directly attributable to Council activities</li> <li>➤ resources made available for such activities that are undertaken by the Council in collaboration with other entities. Sec.125(c)(7)(H)</li> </ul>		<ul style="list-style-type: none"> <li>• Executive Director/staff</li> <li>• Council Chair</li> </ul>
<p>Comments:</p>		
<p>Includes description of how Council will widely disseminate the annual report to affected constituencies and general public and assure report is available in accessible formats. Sec.125(c)(7)(I)</p>		<ul style="list-style-type: none"> <li>• Executive Director/staff</li> <li>• Council Chair</li> </ul>
<p>Comments:</p>		
<p>Determine needs that require amendment of 5-year strategic State Plan required under section 124. Sec.125(c)(3)(C)</p>		<ul style="list-style-type: none"> <li>• Council Chair and members</li> </ul>
<p>Comments:</p>		

## VI. FISCAL

<i>VI.1 Fiscal Requirements</i>	<i>Document</i>	<i>Interviews</i>
<ul style="list-style-type: none"> <li>➤ Council has authority to prepare, approve, and implement a budget to fund programs, projects, and activities. Sec125(c)(8)</li> <li>➤ Not less than 70% of funds expended for activities related to goals. Sec.124(c)(B)(i)</li> <li>➤ Funds contribute to achievement of purpose of subtitle in various political subdivisions. Sec.124(c)(5)(B)(ii)</li> <li>➤ Funds used to supplement, and not supplant, the non-Federal funds that would otherwise be made available for the purposes for which funds under Sec122 are provided. Sec124(c)(B)(iii)</li> <li>➤ Funds used to complement or augment rather than duplicate or replace services for individuals with developmental disabilities and their families who are eligible for Federal assistance. Sec.124(c)(5)(B)(iv)</li> <li>➤ Funds are made available to public or private entities. Sec.124(c)(5)(B)(v )</li> <li>➤ There is reasonable State financial participation in the cost of carrying out the plan. Sec.124(c)(5)(C)</li> <li>➤ Federal allotments can be expended or obligated for two years (year of award plus one more year). 45 CFR 1386.1</li> <li>➤ Obligations of Federal allotments are liquidated by the third year (i.e. within two years of end of year of award). 45 CFR 1386.2</li> </ul>		<ul style="list-style-type: none"> <li>• Council Chair and members</li> <li>• Executive Director</li> </ul>



<p>➤ Expenditures and obligations are reported semiannually by SF269/ADD-02 45 CFR 1386.32</p>		
<p>Comments:</p>		
<p><b>VI.2 Fiscal Policies</b></p>	<p><b>Documents</b></p>	<p><b>Interview</b></p>
<p>Council has policies to reimburse members of the Council for reasonable and necessary expenses (including expenses for child care and personal assistance services) for attending Council meetings and performing Council duties. Sec.125(c)(8)(A)(I)</p>		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council fiscal staff</li> </ul>
<p>Comments:</p>		
<p>Council has policies to pay a stipend to a member of the Council if such member is not employed or must forfeit wages for other employment to attend Council meetings and perform other Council duties. Sec.125(c)(8(A))(II)</p>		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council fiscal staff</li> </ul>
<p>Comments:</p>		
<p>Council has policies to support Council member and staff travel to authorized training and technical assistance activities including in-service training and leadership development activities. Sec.125(c)(8)(A)(III)</p>		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council fiscal staff</li> </ul>
<p>Comments:</p>		
<p>Council has policies to carry out appropriate subcontracting activities. Sec.125(c)(8)(A)</p>		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council fiscal staff</li> </ul>
<p>Comments:</p>		
<p>Council directs expenditures of funds for grants, contracts, interagency agreements that are binding contracts and other activities authorized by State plan approval.</p>		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council fiscal staff</li> </ul>

Sec.125(c)(8)(C)		
Comments:		
<p>Federal and non-Federal Share</p> <ul style="list-style-type: none"> <li>➤ In general, Federal share of cost of all projects in State not more than 75% of the aggregate necessary. Sec.126(a)(1)</li> <li>➤ Federal share of cost for projects in rural and poverty areas may not be more than 90% of aggregate necessary. Sec.126(a)(2)</li> <li>➤ Projects undertaken by Council or Council staff, Federal share of cost not more than 100% of costs necessary. Sec.126(a)(3)</li> </ul>		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council fiscal staff</li> </ul>
Comments:		
<p>Grantee shall keep records that disclose:</p> <ul style="list-style-type: none"> <li>➤ Amount and disposition of assistance by recipient</li> <li>➤ Total cost of project or undertaking in connection with assistance given</li> <li>➤ Amount of project costs supplied by other sources</li> <li>➤ Such other records that will facilitate an effective audit</li> </ul> <p>Sec.103</p>		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• Council fiscal staff</li> <li>• Grantees</li> </ul>
Comments:		

<b>VII. DESIGNATED STATE AGENCY</b>		
<i>VII.1 DD Act requirements for DSA</i>	<i>Document</i>	<i>Interview</i>
Council shall periodically review DSA and activities carried out under this subtitle by DSA and make any recommendations for change to Governor. Sec.125(c)(6)		<ul style="list-style-type: none"> <li>• Council Chair</li> <li>• Executive Director</li> <li>• DSA</li> </ul>

Comments:		
The Council may request a review of and change in the DSA by the Governor. Sec.125(d)(2)(C)		<ul style="list-style-type: none"> <li>• Council Chair</li> <li>• Executive Director</li> <li>• DSA</li> </ul>
Comments:		
Type of agency designated as DSA: <ul style="list-style-type: none"> <li>➤ Council, if such Council may be DSA under laws of State</li> <li>➤ State agency that does not provide or pay for services for individuals with developmental disabilities</li> <li>➤ A State office, including the immediate office of the Governor of the State or a State planning office</li> </ul> Sec.125(d)(A)		<ul style="list-style-type: none"> <li>• Council Chair</li> <li>• Executive Director</li> <li>• DSA</li> </ul>
Comments:		
Designation before Enactment: DSA determined prior to June 30, 1994 may be a State agency that provides or pays for services for individuals with developmental disabilities. Sec.125(d)(2)(B)(i)	Designation before Enactment: DSA determined prior to June 30, 1994 may be a State agency that provides or pays for services for individuals with developmental disabilities. Sec.125(d)(2)(B)(i)	Designation before Enactment: DSA determined prior to June 30, 1994 may be a State agency that provides or pays for services for individuals with developmental disabilities. Sec.125(d)(2)(B)(i)
Comments:		
Not more than 20% of federal allotment is awarded to the DSA by Council for service of demonstrations that contribute to the achievement of the DD Act and are explicitly authorized by the Council. Sec.124(c)(5)(B)(vii)	Not more than 20% of federal allotment is awarded to the DSA by Council for service of demonstrations that contribute to the achievement of the DD Act and are explicitly authorized by the Council. Sec.124(c)(5)(B)(vii)	Not more than 20% of federal allotment is awarded to the DSA by Council for service of demonstrations that contribute to the achievement of the DD Act and are explicitly authorized by the Council. Sec.124(c)(5)(B)(vii)
Comments:		
<b><i>VII.2 Responsibilities of DSA</i></b>	<b><i>Document</i></b>	<b><i>Interviews</i></b>
➤ Receives, accounts for, and disburses		<ul style="list-style-type: none"> <li>• Council Chair</li> </ul>

<p>funds under subtitle based on State Plan. Sec125(d)(3)(C)(i)</p> <ul style="list-style-type: none"> <li>➤ Provides the appropriate fiscal control and fund accounting procedures as may be necessary to assure proper disbursement of, and accounting for, funds paid to the State. Sec125(d)(3)(C)(ii)</li> <li>➤ Keeps and provides access to records as Secretary and Council may determine necessary and timely financial reports regarding status of expenditures, obligations, and liquidation by agency or Council, and use of Federal and non-Federal shares. Sec125(d)(3)(D)</li> <li>➤ Provides required non-Federal share. Sec125(d)(3)(E)</li> <li>➤ Assists in obtaining appropriate State Plan assurances and consistency with State law. Sec125(d)(3)(F)</li> <li>➤ Enters into MOU at request of Council. Sec125(d)(3)(G)</li> </ul>		<ul style="list-style-type: none"> <li>• Executive Director</li> <li>• DSA</li> <li>• Council fiscal staff</li> </ul>
<p>Comments:</p>		

## Tab C.2 – Council Program Operation and Practices Checklist

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

<p>The Council uses its multi-state agency membership to forge interagency collaboration, coordination, and communication that enhances services and supports to people with developmental disabilities and family members in furthering the mission of the Council.</p> <ul style="list-style-type: none"> <li>➤ Systems change, advocacy and capacity building activities are directed to a variety of State agencies and other organizations that affect the lives of people with developmental disabilities. Sec.124(c)(4)(A); 125(c)(5)(G)</li> <li>➤ The Council, the P&amp;A, and the UCEDD collaborate to further the values of the DD Act. Sec.124(c)(3)(D)</li> </ul>	
<p>The Council participates in interagency activities and coalitions and other statewide committees and bodies in the state that are relevant to its mission and priorities. Sec.125(c)(5)(I)</p>	
<p>The Council supports and conducts activities to promote interagency collaboration and coordination to better serve, support, assist or advocate for individuals with developmental disabilities and their families. Sec.125(c)(5)(F)</p>	
<p>The Council supports and conducts activities to enhance coordination of services with other councils, entities, or committees authorized by Federal or State law, concerning individuals with developmental disabilities; parent and information training centers. Sec.125(c)(5)(G)</p>	

<b>II. ORGANIZATIONAL ADMINISTRATION</b>	
<i>Mission</i>	<i>Comments</i>
<p>The Council has a clear mission statement governed by the federal mission in the DD Act and by the Federal definition of State Councils Sec.101(B)</p>	
<i>Governance</i>	<i>Comments</i>
<p>The Council has an organizational structure that supports the development, implementation, and evaluation of the State plan, policy and system change initiatives, and enhancement of community capacity and competence.</p>	
<ul style="list-style-type: none"> <li>➤ The Council has written policies in place that govern participation, attendance, membership terms and rotation, election of officers, and membership term limits. Sec.125(b)</li> </ul>	

<ul style="list-style-type: none"> <li>➤ The Council has written descriptions of the roles and responsibilities of Council members, officers, chairs, staff, committees and subgroups. Sec.101(b); 125(c)</li> <li>➤ The Council makes recommendations to the Governor for membership on the Council. Sec.125(b)(B)</li> <li>➤ Council members are appointed by the Governor in a timely fashion. Sec.125(b)</li> </ul>	
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<b><i>Policies and Procedures</i></b>	<b><i>Comments</i></b>
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The Council operates under written policies and procedures to ensure that activities are carried out in an efficient, effective and fiscally responsible fashion, are accountable to the public, and are consistent with the values and mission of the Council.

<ul style="list-style-type: none"> <li>➤ The Council has written administrative policy and procedures that includes such things as a conflict of interest policy, bylaws, a description of the role of the DSA, fiscal and personnel policies, and any other policies relevant to the operation of the Council. Sec.125(c)(8); 125(d)</li> <li>➤ Staff and Council members have the opportunity to travel as needed to conduct Council business. Sec.125(c)(8)</li> <li>➤ Provisions are in place to ensure that Council decisions are free from conflict of interest and favoritism. Sec.125(b)(3)(B)(ii); 124(C)(4)(D)</li> </ul>	
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<b><i>Staff</i></b>	<b><i>Comments</i></b>
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The Council is staffed by a sufficient number of qualified individuals with the skills necessary to manage Council activities, carry out the Council mission, support Council members, administer and oversee Council funded activities, and who are committed to individuals with developmental disabilities and families.

<p>The Council:</p> <ul style="list-style-type: none"> <li>➤ program and administrative priorities are reflected in the size of the staff complement and in the allocation of individual staff members. Sec.125(c)(8)</li> <li>➤ determines the staffing pattern for the Council, ensures that it is designed to carry out state plan activities, coordination, planning and advocacy, and carries out staff assignments on the organization design. Sec.125(c)(8)(9)</li> <li>➤ staff have the qualifications and experience necessary to perform the duties. Sec.125(c)(8)</li> <li>➤ hires, supervises and evaluates the director who in turn hires, supervises and evaluates Council staff.</li> </ul>	
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<p>Sec.125(c)(9)</p> <ul style="list-style-type: none"> <li>➤ establishes an Executive Director evaluation process, evaluation criteria and performance criteria. Sec.125(c)(9)</li> <li>➤ is an equal opportunity employer and follows all federal and state guidelines and laws as appropriate in employment practices. Sec.125(c)(9)</li> <li>➤ staff is responsible solely for assisting the Council in carrying out its duties and are not assigned duties by the DSA or any other agency or office of the State. Sec.125(c)(10)</li> </ul>	
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### III. MEMBERSHIP

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

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

## IV. PROGRAM ADMINISTRATION

<i>Planning</i>	<i>Comments</i>
<p>State plan priorities, Council activities and advocacy efforts reflect the Council's mission, the expressed needs of individuals with developmental disabilities and families in the State, and the specific legal, political, and financial context within which the Council functions.</p>	
<p>The Council:</p> <ul style="list-style-type: none"> <li>➤ carries out systematic planning activities that link current state priorities to objectives, funding, policy initiatives and implementation timelines. Sec.124(c)(1-5)</li> <li>➤ has policies governing the planning process including roles &amp; responsibilities of members and staff. Sec.125(c)</li> <li>➤ has policies governing State Plan implementation and the RFP process and roles and responsibilities of Council members and staff. Sec.125(c)(4)</li> <li>➤ State plan and objectives are consistent with the Council's mission statement and federal requirements. Sec.124(c)(3)(E)</li> <li>➤ goals and objectives are measurable</li> <li>➤ state plan is evaluated annually to determine progress toward meeting goals and objectives, appropriateness of activities, barriers having an impact on attainment of goals</li> <li>➤ state plan is adjusted as needed to address barriers to attaining goals, or goals that have become inappropriate</li> <li>➤ actively seeks input from individuals with developmental disabilities, their families and the public regarding the state plan and priorities. Sec.124(d)</li> <li>➤ planning process reflects the state's cultural diversity and addresses the state's unserved and underserved minorities. Sec.124(c)(5); 125(c)(3)</li> <li>➤ projects and activities are derived from the approved State Plan. Sec.125(c)(5)</li> <li>➤ takes into account the political, legal, and financial context in the state in preparation for developing priorities.</li> </ul>	



<p>Sec.124(c)(3)  ➤ State plan is widely disseminated throughout the state.  Sec.125(c)(7)</p>	
<p><b><i>Community Competence</i></b></p>	<p><b><i>Comments</i></b></p>
<p>The Council supports grassroots and community development that promotes independence, inclusion, self-determination, integration, participation and contribution.</p>	
<p>The Council:</p> <ul style="list-style-type: none"> <li>➤ sponsors training, demonstration projects and other activities that support model practices and their replication. Sec.125(c)</li> <li>➤ funded projects and activities are based upon the expressed needs and preferences of individuals with developmental disabilities and families. Sec.125(a)</li> <li>➤ funded projects and activities are designed with the collaboration of individuals with developmental disabilities and families. Sec.125(a)</li> <li>➤ projects and activities include individuals with developmental disabilities who are unserved and underserved minorities and are representative of the cultural and geographic diversity of the state. Sec.124(c)(5)(E)</li> <li>➤ projects and activities are fully accessible, programmatically and physically, as designed by the ADA and related legislation. Sec.124(c)(5)(F)</li> </ul>	
<p><b><i>Systems Advocacy</i></b></p>	<p><b><i>Comments</i></b></p>
<p>The Council engages in systems change, advocacy and capacity building that improves services and supports for individuals with developmental disabilities.</p>	
<p>The Council:</p> <ul style="list-style-type: none"> <li>➤ develops priorities for systems change that are consistent with its goals and objectives. Sec.125(a)</li> <li>➤ assists in building coalitions of individuals and organizations concerned about developmental disabilities issues and utilizes participation in such coalition to further systems change, advocacy and capacity building. Sec.125(c)(5)(I)</li> <li>➤ assists individuals with developmental disabilities and their families to advocate for systems change. Sec.125(c)(5)(C)</li> <li>➤ presents information, strategies, findings, and</li> </ul>	

<p>recommendations to federal, state, or local policymakers. Sec.125(c)(5)(J)</p> <ul style="list-style-type: none"> <li>➤ pursues a range of strategies to meet its systems change, advocacy and capacity building. Sec.125(c)(5)</li> </ul>	
<b>Public Awareness</b>	<b>Comments</b>
<p>The Council engages in activities that illustrate and promote valued social roles for people with developmental disabilities and the values of independence, self-determination, integration and inclusion.</p>	
<p>The Council:</p> <ul style="list-style-type: none"> <li>➤ actively promotes positive images of individuals with developmental disabilities through public education and other outreach strategies. Sec.125(c)(5)(E)</li> <li>➤ enhances opportunities for individuals with developmental disabilities to assume valued roles in their communities. Sec.125(c)(5)(C)</li> <li>➤ materials are easily understood and available in a variety of formats. Sec.124(c)(5)(F)</li> <li>➤ materials are translated as necessary to accommodate the needs of significant cultural and ethnic minority groups in the state. Sec.124(c)(5)(I))</li> </ul>	

**V. EVALUATION AND REPORTS**

<p>The Council regularly evaluates its effectiveness and whether its performance is consistent with its mission and priorities and the values and provisions of the DD Act.</p>	
<ul style="list-style-type: none"> <li>➤ The Council regularly provides opportunities for public comment on its performance by interested persons and groups. Sec.124(d)</li> <li>➤ There are quality assurance practices to assess the consistency of activities with the Council's mission and priorities and legal mandates. Sec.124(c)(4); 125(c)(2)</li> <li>➤ There is a system for measuring the progress of Council-funded activities and the extent to which they succeed in meeting the Councils mission, goals and objectives. Sec.125(c)(3)</li> <li>➤ The Council evaluates its grant activities based on outcomes of increased independence, productivity, integration and inclusion of people supported by the</li> </ul>	

<p>activities. Sec.125(c)(3)</p> <p>➤ Individuals with developmental disabilities participate in outcome evaluations of grant-funded activities. Sec.125(c)(1)</p>	
<p><b>Data management</b></p>	<p><b>Comments</b></p>
<p>The Council has data management systems (written policies and procedures that are followed by competent staff) in place that support ADD requirements.</p>	
<p>Data management occurs on some schedule (e.g. staff and contractors are expected to provide data at certain times; quality checks are performed at certain times)</p>	
<ul style="list-style-type: none"> <li>• Quality checks are in place to verify accuracy of reporting.</li> <li>• Quality control of data is done with primary sources</li> <li>• Data definitions and data entry instructions exist and are used</li> <li>• Reported outcomes are consistent with the 5-year state plan and amounts of funds made available for particular effort</li> </ul>	

**VI. FISCAL**

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

<p>The Council:</p> <ul style="list-style-type: none"> <li>➤ prepares, approves and executes its budget consistent with the DD Act. Sec.125(c)(5)(B)</li> <li>➤ funded activities are consistent with the Council's priorities and its mission and values. Sec.101(b)</li> <li>➤ funded activities do not replace or supplant activities of other state agencies and non-federal funds. Sec.124C(c)(5)</li> <li>➤ has a method to determine the non-federal share to be required for each project/activity and uses its ability to vary match depending on the nature of the activity. (the Council has a method to determine the non-federal share to be required for each project/activity with a match in the</li> </ul>	
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<p>aggregate of 25% of project expenditures, 10% for projects addressing poverty areas.) Sec. 126</p> <ul style="list-style-type: none"> <li>➤ funds direct services only as a part of a short term strategy for systems change leading to funding from other sources. Sec.125(c)(5)(K)(i)</li> <li>➤ has procedures for financial oversight of Council funded activities. Sec.125(c)(5)(B)</li> <li>➤ provides special funding and technical assistance to entities that address the needs of urban and rural poverty areas. Sec.124(c)(5)(E)</li> </ul>	
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**VII. DESIGNATED STATE AGENCY**

<ul style="list-style-type: none"> <li>➤ The DSA is expressly limited to receiving, disbursing, and accounting for funds in a manner consistent with law, providing assurances, and providing administrative support as requested by the Council. Sec.125(d)(3)</li> <li>➤ If the DSA provides or pays for services to people with developmental disabilities, the Council routinely evaluates whether its placement continues to allow the Council's independence, and if necessary, makes a recommendation to the Governor regarding a more appropriate placement. Sec.125(c)(6)</li> <li>➤ The DSA does not interfere with the planning, implementation and personnel of the Council.</li> </ul>	
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## Tab C.3 - Council Best or Innovative Practices Checklist

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

### **ELEMENT #1: *It reaches the population of focus***

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

### **ELEMENT #2: *It is an effort characterized by quality***

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

### **ELEMENT #3: *Its impact is measurable***

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

### **ELEMENT #4: *It addresses the aspirations of individuals***

Grantee demonstrates how the practice supports individuals with developmental disabilities in exercising choice, self determination and control of resources and how the practice contributes to the ability of

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

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

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

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

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

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

**BEST OR INNOVATIVE PRACTICES**

<i>Accomplishment</i>	<i>Description and Relevant Comments</i>
Describe accomplishment 1 – <ul style="list-style-type: none"> <li>• Was it related to a goal in the 5-year application?</li> <li>• Were there barriers to its completion?</li> <li>• If so, how were they resolved?</li> <li>• What community partners were involved?</li> <li>• What was the impact on consumers?</li> <li>• What was the impact on the community and/or state?</li> <li>• Was the impact systemic?</li> <li>• Was the impact statewide?</li> </ul>	
Describe accomplishment 2 – <ul style="list-style-type: none"> <li>• Was it related to a goal in the 5-year application?</li> <li>• Were there barriers to its completion?</li> <li>• If so, how were they resolved?</li> <li>• What community partners were involved?</li> <li>• What was the impact on consumers?</li> <li>• What was the impact on the community and/or state?</li> <li>• Was the impact systemic?</li> <li>• Was the impact statewide?</li> </ul>	
Describe accomplishment 3 – <ul style="list-style-type: none"> <li>• Was it related to a goal in the 5-year application?</li> </ul>	

<ul style="list-style-type: none"> <li>• Were there barriers to its completion?</li> <li>• If so, how were they resolved?</li> <li>• What community partners were involved?</li> <li>• What was the impact on consumers?</li> <li>• What was the impact on the community and/or state?</li> <li>• Was the impact systemic?</li> <li>• Was the impact statewide?</li> </ul>	
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### Tab C.4 - State Councils on Developmental Disabilities Fiscal Review Checklist

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



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

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

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

**FEDERAL FINANCIAL STATUS REPORTS & A-133 AUDITS**

<b>Review Prompt</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Comments</b>
<b><u>45 CFR 74.21; 74.52; 92.20</u></b> Financial data and records were used in preparing the SF-269s for the budget period.  a. Does the grantee's SF-269 reports correspond with the accounting records?				

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

**PROCUREMENT**

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

**PROPERTY**

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

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

**PAYROLL, ACCOUNTING & INTERNAL CONTROLS**

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

(check last bank statement for unreasonably large cash balances).				
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## Tab C.5 - Council Chair Checklist

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

- Do you feel well versed in the issues facing the Council in the following areas: 1) personnel; 2) membership; 3) financial; 4) state and national issues? If not, what prevents you from being more knowledgeable?
- How does your Council prepare its State Plan and annual amendments?
- In your opinion, what are the three most significant projects the Council is working on at the current time?