

**Background:**

The Council will review the minutes from the October 25, 2013, Council meeting and October 24, 2013, Committee of the Whole meeting.

**Council**

**Agenda Item 3. A.**

**Expected Action:**

The Council will review, revise as appropriate, and approve the minutes from the October meetings.

**COUNCIL MEETING  
DRAFT MINUTES  
OCTOBER 25, 2013**

**COUNCIL MEMBERS PRESENT**

Andrew Crim,  
Council Vice-Chair  
Hunter Adkins  
Kimberly Blackmon  
Gladys Cortez  
Kristen Cox

Mary Faithfull, DRT  
Manda Hall, DSHS  
Diana Kern  
Joe Rivas  
Penny Seay, UT CDS  
Amy Sharp, A&M CDD

Cindy Swain, TEA  
David Taylor  
Richard Tisch  
Susan Welch, DADS

**COUNCIL MEMBERS ABSENT**

Mary Durham, Council Chair  
Kristine Clark  
Mateo Delgado  
Stephen Gersuk  
Cindy Johnston

Sara Kendall, DARS  
HHSC Representative  
Scott McAvoy  
John Morris  
Dana Perry

Lora Taylor  
Susan Vardell

**STAFF MEMBERS PRESENT**

Roger Webb,  
Executive Director  
Martha Cantu  
Belinda Carlton  
Joanna Cordry

Cynthia Ellison  
Celina Galvan  
Sonya Hosey  
Wendy Jones  
Susan Mihalik

Jessica Ramos  
Koren Vogel  
Lucy Walker

**GUESTS PRESENT**

Anne Bradley,  
Sunset Commission  
Amanda Dunnavant  
Ron Garza, DARS  
Leigh Anne Godinez, DARS

Erick Fajardo,  
Sunset Commission  
Celina Limon  
Gabriella Martinez, DARS  
Nancy McCallen, DARS

Rebecca Ortiz  
Janette Robles  
Jaye Stepp, Rupert & Assoc  
Kevin Warren, DARS

**CALL TO ORDER**

The Texas Council for Developmental Disabilities convened on Friday, October 25, 2013, in the Lady Bird Lake Room of the Wyndham Garden Hotel, 3401 IH 35 South, Austin, TX 78741. Council Vice-Chair Andrew Crim called the meeting to order at 8:34 AM.

**1. INTRODUCTIONS**

Council members, staff and guests were introduced.

**2. PUBLIC COMMENTS**

No public comments were offered to the Council.

**3. CONSENT ITEMS**

No revisions to the minutes were offered. Executive Director Webb reviewed the absences for the meeting to include Kristine Clark, Mateo Delgado, Cindy Johnston, Dana Perry, Lora Taylor, Amy

Sharp (Thursday only), Stephen Gersuk (Friday only), Susan Vardell (Friday only), Scott McAvoy (Friday only), and Mary Durham (Friday only).

**MOTION:** To approve the excused absences as noted and the minutes of the August 9, 2013 Council and August 8, 2013, Committee of the Whole meetings.

**MADE BY:** Gladys Cortez

**SECOND:** Diana Kern

The motion **passed** unanimously.

#### **4. CHAIR'S REPORT**

Vice-Chair Crim and Executive Director Webb recognized Council Member Joe Rivas for his years of service to the Council and Texans with disabilities.

Webb noted that the Council Chair Durham has had conversations with the Governor's Appointments office and that new Council member appointments are not likely before spring 2014.

Webb discussed the recent funding approval by Council Chair Mary Durham to the UT Center for Disability Studies to providing training to Texas Department of Aging and Disability Services (DADS) staff at State Supported-Living Centers and Central Office to become Person-Centered Thinking trainers. TCDD will provide up to \$30,000 over two years for this collaborative effort with DADS, the Center for Disability Studies and the Center on Disability and Development at Texas A&M. Council policies allow the Council Chair to make decisions when necessary for time constraints. Durham consulted with Vice-Chair Crim in this matter. Members indicated support for the initiative.

#### **5. EXECUTIVE DIRECTOR'S REPORT**

Webb provided an update on the federal budget noting that Congress passed a Continuing Resolution to fund programs at FY 2013 levels through January 15, 2014. This is 29% of the fiscal year or approximately \$1.4 million for TCDD. Webb also noted that FY 2014 staff and office expenses will be expended to FY 2013 funds likely through January 1, 2014.

#### **6. PRESENTATION: DARS PROJECT HIRE**

Grants Management Specialist Wendy Jones introduced Project Coordinators Leigh Ann Godinez and Gabriella Martinez from the Texas Department of Assistive and Rehabilitative Services (DARS) Project HIRE project. DARS is collaborating with South Texas College and the University of Texas-Pan American for Project HIRE to provide higher education services for students with significant or severe disabilities including assessments and evaluations, assistive technology assessments, training, campus supports, and job placement and mentoring. Godinez and Martinez discussed project activities including "kick-off" events for the two cohorts of students that were attended by many local dignitaries, college and university staff as well as students and their families. This project is viewed as a great success in the Rio Grande Valley and has received considerable positive publicity.

#### **7. SELECTION OF NOMINATING COMMITTEE MEMBER**

Vice-Chair Crim and Executive Director Webb reviewed the process to select the Nominating Committee that will nominate a Council Vice-Chair and Consumer Member-at-Large to the Executive Committee. Crim is serving his first term as Vice-Chair and is therefore eligible for a second term.

Diana Kern is currently in her first consecutive year as the Consumer member of the Executive Committee and eligible for another term. The Project Development Committee elected Cindy Swain to the Nominating Committee and the Public Policy Committee elected Jeff Kaufmann. Joe Rivas nominated Hunter Adkins as the third member of this Committee and she accepted the nomination.

**MOTION:** To select Hunter Adkins as a member of the TCDD Nominating Committee.

**MADE BY:** Amy Sharp

**SECOND:** Mary Faithfull

The motion **passed** unanimously.

**8. FY 2014 INTERNAL AUDIT CHARTER**

Council Vice-Chair and Audit Committee Chair Andy Crim discussed the Audit Committee meeting noting that there was significant discussion on audit activities including the responses to the member survey for the governance audit. He also noted that all reports were accepted without revisions. Crim introduced TCDD Internal Auditor Jaye Stepp who first discussed the FY 2014 Internal Audit Charter. Stepp noted that the Charter defines the purpose of internal audit activities as well as policies and procedures surrounding those activities.

**MOTION:** To accept the FY 2014 TCDD Internal Audit Charter as presented.

**MADE BY:** Andy Crim for the Audit Committee  
(Motions from a Committee do not need a second.)

The motion **passed** unanimously. (Attachment 1)

**9. FY 2013 INTERNAL AUDIT REPORTS**

Crim reported that the Audit Committee reviewed three Internal Audit Reports from FY 2013. TCDD Report #2013-1 reviews Stepp's survey of TCDD staff communications with grantees. This was a positive report for TCDD as grantees were complimentary of staff efforts. TCDD Report #2013-2 reviewed various governance activities including Council Member compliance with training requirements, required filings, etc. This report also included responses from the member survey. The TCDD Annual Internal Audit Report for FY 2013 summarizes the findings of both reports and provides additional information as defined by the State Auditor's Office (SAO). This report must be approved by the Council before it is submitted to the SAO by the November 1 deadline. Stepp reviewed the audit activities contained in all reports. She noted that there were no major areas of concern and that all recommendations based on the findings are being implemented by staff.

**MOTION:** To approve the TCDD Annual Internal Audit Report for FY 2013.

**MADE BY:** Andy Crim for the Audit Committee

The motion **passed** unanimously. (Attachment 2)

**10. FY 2014 INTERNAL AUDIT PLAN**

The final item reviewed by the Committee was the TCDD Internal Audit Plan for FY 2014. Stepp explained the TCDD Risk Assessment methodology and noted that this is reviewed annually by TCDD executive staff to determine any changes, new risks, possible impact, etc. Proposed audit activities for FY 2014 will focus on an advisory project to identify potential ways to streamline processes to develop requests for proposals.

**MOTION:** To approve the TCDD FY 2014 Internal Audit Plan.

**MADE BY:** Andy Crim for the Audit Committee.

The motion **passed** unanimously. (Attachment 3)

**11. FUTURE ACTIVITIES FOR STATE PLAN IMPLEMENTATION**

Project Development Committee Chair Gladys Cortez reviewed that Committee’s discussion of an Accessible Transportation project. A previous Request for Proposals (RFP) did not result in an executed project but Council members and staff confirmed a desire by local organizations to improve community access to accessible transportation. An executive summary was presented to the Committee for a project that would coordinate and host transportation summits to encourage collaboration by local entities to address transportation issues, gather data for use by transportation authorities and engage in collaborative efforts with the Texas Department of Transportation. Proposed funding levels for the 5-year project are \$150,000 for years 1-3, \$125,000 for year 4, and \$100,000 for year 5.

**MOTION:** To approve the Executive Summary for an Accessible Transportation project as presented.

**MADE BY:** Gladys Cortez for the Project Development Committee.

The motion **passed** unanimously. (Attachment 4)

Cortez further reviewed Project Development Committee discussion of an executive summary for an employment project. This project would coordinate training that addresses risks associated with competitive employment for people with disabilities such as the risk of losing public benefits, and provide education on employment models to decrease those risks. Committee members requested that the Request for Proposals for this project clearly indicate that self-advocates and focus groups are included in the activities to develop the training presented through this project.

**MOTION:** To approve the Executive Summary for an Understanding Employment Options and Supports as discussed.

**MADE BY:** Gladys Cortez for the Project Development Committee.

The motion **passed** unanimously. (Attachment 5)

Cortez reviewed the Committee’s recommendation to delete State Plan Objective 1.4 related to an assistive technology in schools project. None of the projects funded under the Enabling Technology RFP are focusing on technology applications in schools. Planning Coordinator Joanna Cordry further

explained that there was a lack of response to the RFP on this subject and little to no perceived interest by the public.

**MOTION:** To remove State Plan Objective 1.4 from the TCDD State Plan.

**MADE BY:** Gladys Cortez for the Project Development Committee.

The motion **passed** without opposition. Cindy Swain and Penny Seay abstained from voting.

Ms. Cortez reviewed the Committee's discussion on Future Funding Priorities. The Committee recommends changes adding the Employment project as #1, Self-Advocate Community Organizing project moves to #2, Culturally Competent Family Support becomes #3, Partnership with African American Clergy to Support Families becomes #4, and Accessible Transportation becomes #5. All other projects on the existing list are currently in progress.

**MOTION:** To approve the listed changes to the TCDD Future Funding Activities Priorities List.

**MADE BY:** Gladys Cortez for the Project Development Committee.

The motion **passed** unanimously. Executive Director Webb noted that the DD Public Policy Fellowships project previously approved by the Council will be added to the list next quarter.

## 12. EXECUTIVE COMMITTEE REPORT

Vice-Chair Crim reported that the Executive Committee reviewed the Independent Audit and Grants Exceptions Reports and found no concerns. Executive Director Webb discussed the follow-up activities from the Arc of Texas misappropriation of funds. TCDD was notified in late June of fraudulent activity within the Arc of Texas Master Pooled Trust and that investigations were taking place. TCDD provided grant funding for the trust several years ago at its inception but now only funds other projects with the Arc of Texas. An internal forensic audit of the trust was conducted by Arc-Texas and TCDD was notified by email on October 18, 2013, that no Council funds were compromised. It was determined that the fraud took place from dormant accounts in the Trust. TCDD continues to monitor and conduct on-site visits per policy in accordance with the risk assessment for grant projects. TCDD Internal Auditor Jaye Stepp has also been consulted for recommendations on this issue and is currently reviewing the documentation from Arc-Texas.

Crim also reported on new and continuation grant awards. Awards were approved for these projects:

- Access Empowerment for up to \$40,000 to develop an Accessible Parking Campaign
- Travis County for up to \$40,000 to develop an Accessible Parking Campaign
- Moody Clinic (Brownsville) for up to \$10,000 for an Outreach and Development project
- The Arc Del Paso (El Paso) for up to \$10,000 for an Outreach and Development project
- A Circle of Ten, Inc., for up to \$25,000 for the third and final year of a contract on Increasing Capacity of current TCDD projects
- DARS for up to \$225,000 for the third year of a higher education project (Project HIRE)
- Texas Tech University for up to \$220,089 for the third year of a higher education project (Project CASE)

- Texas Statewide Independent Living Council for up to \$75,000 for the third and final year of a Leadership Development and Advocacy Skills Training project
- West Central Texas Regional Foundation for up to \$74,988 for the third and final year of an Inclusive Faith-Based Communities Symposium
- Texas Tech University for up to \$150,000 for Phase 2 Implementation (year 1 of 5) of a Building Community Capacity through Collaboration project

Executive Director Webb further discussed the project with A Circle of Ten, Inc. A proposal was presented to the Executive Committee for expanding that project to include a Funder's Forum for TCDD grantees.

**MOTION:** To award up to \$25,000 additional funding to A Circle of Ten, Inc., to expand activities and coordinate a Funder's Forum for TCDD grant projects.

**MADE BY:** Andy Crim for the Executive Committee.

The motion **passed** unanimously. (Attachment 6)

Webb and Operations Director Martha Cantu reviewed quarterly financial reports. Although a small negative balance shows for FY 2013 and a large negative balance shows for FY 2014, they expect unspent funds from grants to cover the deficit for FY 2013 and savings in operating expenses and unexpended funds from other projects will cover the deficit for FY 2014.

The Executive Committee reviewed the Conflict of Interest Disclosure reports for members and staff and found no concerns. Members were encouraged to report any changes to their disclosures

### **13. AUDIT COMMITTEE REPORT**

Audit Committee Chair Crim did not have any further reports.

### **14. PROJECT DEVELOPMENT COMMITTEE REPORT**

Project Development Committee Chair Cortez did not have any further reports.

### **15. PUBLIC POLICY COMMITTEE REPORT**

Public Policy Committee Chair Kristen Cox reported that the Committee received a presentation on the progress of activities from the Settlement Agreement between DADS and the Department of Justice concerning state supported living centers. Cox also reported that the Committee approved a Position Statement review schedule.

### **16. ANNOUNCEMENTS AND UPDATES**

Council members discussed the dates of the 2014 meetings which include February 5-7, at the Hilton Austin Airport, May 7-9, August 6-8, and October 22-24.

### **ADJOURN**

Vice-Chair Crim adjourned the Council meeting at 11:07 AM.

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Roger A. Webb  
Secretary to the Council

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Date

# **Attachment 1**



# **TEXAS COUNCIL FOR DEVELOPMENTAL DISABILITIES**

## **INTERNAL AUDIT CHARTER**

**Fiscal Year 2014**

Prepared by:  
Rupert & Associates, P.C.  
Certified Public Accountants

## **INTRODUCTION**

The purpose, authority, and responsibility of the internal audit activity must be formally defined in an internal audit charter, consistent with the Definition of Internal Auditing, the Code of Ethics, and the *Standards*. The chief audit executive must periodically review the internal audit charter and present it to senior management and the board for approval.<sup>1</sup>

The internal audit charter is a formal document that establishes the internal audit function's position within the organization; authorizes access to records, personnel, and physical properties relevant to any activity under review; free and unrestricted access to the Council and the Audit Committee; and defines the scope of internal audit activities. Final approval of the internal audit charter resides with the board.

## **DEFINITION OF INTERNAL AUDITING**

Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

## **CHIEF AUDIT EXECUTIVE**

The Texas Council for Developmental Disabilities contracts for internal audit services to meet the requirements of the Texas Internal Audit Act. The Texas Internal Audit Act §2102.006 requires that the internal auditor be either a Certified Public Accountant (CPA) or Certified Internal Auditor (CIA). The Institute of Internal Auditor's Professional Standards recommends that the Chief Audit Executive possess one or more of the following credentials: Certified Public Accountant (CPA), Certified Internal Auditor (CIA), Certified Government Audit Professional (CGAP) or Certified Information Systems Auditor (CISA). In keeping with these guidelines, TCDD's contracted internal auditor serves as the agency's Chief Audit Executive.

## **OBJECTIVES AND SCOPE OF WORK**

### **Assurance Objectives**

The objectives of assurance services are to provide formal, independent assurance to management and the Audit Committee that the organization's assets are safeguarded, that operating efficiency is enhanced, and that compliance is maintained with prescribed laws, and management and Board policies. The assurance services objectives also include independent assessment of the organization's risk awareness and management, reliability and integrity of the organization's data, and achievement of the organization's goals and objectives.

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<sup>1</sup> Institute of Internal Auditors Practice Advisory 1000-1: Internal Audit Charter (1/1/09)

### **Consulting Objectives**

The objectives of consulting services are to provide management with assessments and advice for improving processes that will advance the goals and objectives of the organization. No assurance is provided. The objectives of consulting services are to provide formal assessments and advice on the front-end of projects so that risks may be managed and internal controls may be designed at the beginning of a project. Typically, the objectives and the scope of the projects are agreed to by management.

### **Scope**

The scope of work of the internal auditing activity is to determine whether the organization's framework of risk management, control, and governance processes, as designed and represented by management, is adequate and functioning in a manner to ensure:

- Risks are appropriately identified and managed.
- Risk and control information is effectively communicated throughout the organization.
- Interaction with the various governance groups occurs as needed.
- Significant financial, managerial, and operating information is accurate, reliable, and timely.
- Employee actions are in compliance with policies, standards, procedures, and applicable laws and regulations.
- Resources are acquired economically, used efficiently, and adequately protected.
- Programs, plans, and objectives are monitored and achieved in line with the organization's mission.
- Quality and continuous improvement are fostered in the organization's control process.
- Significant legislative or regulatory issues impacting the organization are recognized and addressed appropriately.
- Internal controls are in place and are functioning effectively to accomplish business objectives.
- Information technology controls including systems security controls are in place and are functioning effectively.
- Specific operations, processes and programs are reviewed at the request of management or the Audit Committee.

During the performance of audit work, recommendations for improvement in risk management, control, and governance processes may be identified. This information will be communicated to the appropriate level of management and the Audit Committee.

INTERNAL AUDIT CHARTER  
Texas Council for Developmental Disabilities – FY-2014

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**AUTHORITY**

The chief audit executive, or contract internal auditor, and staff of the internal auditing activity are authorized to:

- Have unrestricted access to all agency divisions, departments, personnel, activities, confidential and non-confidential data and records, information systems, physical property, and contractors relevant to the performance of engagements, subject to applicable state and federal laws.
- Have access to contractor records and files in line with contract terms and specifically the ‘right to audit’ section.
- Have full and free access to the chair of the Audit Committee, Audit Committee members, and the executive director.
- Allocate resources, set frequencies, select subjects, determine scopes of work, and apply the techniques required to accomplish assurance and consulting objectives.
- Obtain the necessary assistance of agency personnel in units of the organization where audits are performed, as well as other specialized services from within or outside the organization.
- Obtain timely reports from management on actions proposed and taken pertaining to audit recommendations.

The chief audit executive and staff of the internal auditing activity are not authorized to:

- Perform any operational duties for the organization, its sub-grantees or contractors. Compliance duties are not considered operational duties.
- Initiate or approve accounting transactions external to the internal auditing activity.
- Direct the activities of any organization employee external to the internal auditing activity, except to the extent such employees have been appropriately assigned to auditing teams or to otherwise assist the internal auditors.

**INDEPENDENCE AND OBJECTIVITY**

To provide for the independence of the internal audit activity, the internal auditor reports functionally to the Audit Committee and administratively to the executive director or his designee in a manner outlined in the section on Accountability.

## **RESPONSIBILITIES AND ACCOUNTABILITY**

### **Responsibilities**

The chief audit executive and staff of the internal auditing activity have responsibility to:

- Develop a flexible annual audit plan using an appropriate risk-based methodology, considering any risks or control concerns identified by management, and submit that plan to the Audit Committee for review and approval as well as provide periodic updates.
- Implement the approved audit plan including appropriate plan amendments and special tasks or projects requested by management and the Audit Committee.
- Assess the adequacy and effectiveness of the organization's processes for controlling its activities and managing its risks in the areas set forth under the mission and scope of work.
- Maintain a professional audit staff with sufficient knowledge, skills, experience, and professional certifications to meet the requirements of this Charter.
- Evaluate and assess significant new or changing functions, services, processes, operations, and internal controls concurrent with their development, implementation, and/or expansion.
- Issue periodic reports to the audit committee and management summarizing results of audit activities, including monitoring the implementation of previous audit recommendations.
- Keep management and the Audit Committee informed of emerging trends and successful practices in risk management, control, and governance.
- Assist in the deterrence of fraud by examining and evaluating the adequacy and the effectiveness of the system of internal controls.
- Report immediately any known incident of significant fraud to executive management, the Audit Committee, the Board, and the State Auditor's Office.
- Assist in the investigation of significant suspected fraudulent activities within the organization and notify management and the Audit Committee of the results.
- Consider the scope of work of the external auditors and regulators, as appropriate, for the purpose of providing optimal audit coverage to the organization at a reasonable overall cost.
- Maintain an effective quality assurance program to include training, internal reviews, and external reviews.
- Prepare an annual report and submit the report before November 1<sup>st</sup> of each year to the Governor's Office, the Legislative Budget Board, the Sunset Advisory Commission, the State Auditor's Office, the agency's governing board, and the agency's administrator. The form and content of the report will be determined by the State Auditor.

INTERNAL AUDIT CHARTER  
Texas Council for Developmental Disabilities – FY-2014

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**Accountability**

The chief audit executive, in the discharge of his/her duties, shall be accountable to the Audit Committee and the executive director to:

- Provide an assessment on the adequacy and effectiveness of the organization’s processes for controlling its activities and managing its risks in the areas set forth in the current year’s annual audit plan.
- Report significant issues related to the processes for controlling the activities of TCDD, its sub-grantees and contractors, including potential improvement to those processes, and provide information concerning such issues through resolution.
- Periodically provide information on the status and results of the annual audit plan and the sufficiency of internal audit resources.
- Coordinate with and provide oversight of other control and monitoring functions (risk management, compliance, security, legal, ethics, environmental, external audit).

**STANDARDS OF AUDIT PRACTICE**

The internal auditing activity shall be governed by adherence to the following standards:

- *Texas Government Code*, Chapter 2102 (Texas Internal Auditing Act)
- *International Standards for the Professional Practice of Internal Auditing* and the *Code of Ethics* of the Institute of Internal Auditors.
- *Government Auditing Standards* of the United States Government Accountability Office.

**SIGNATURE SECTION**

The Internal Audit Charter was adopted by the Texas Council for Developmental Disabilities on this \_\_\_\_\_ 24<sup>th</sup> \_\_\_\_\_ day of \_\_\_\_\_ October \_\_\_\_\_, 2013.

\_\_\_\_\_  
Roger Webb, Executive Director

\_\_\_\_\_  
Mary Durham, Council Chair

\_\_\_\_\_  
Andrew Crim, Audit Committee Chair

\_\_\_\_\_  
Jaye Stepp, Chief Audit Executive

# **Attachment 2**



**TEXAS COUNCIL FOR  
DEVELOPMENTAL DISABILITIES**

**ANNUAL INTERNAL AUDIT REPORT**

**Fiscal Year 2013**

Presented to  
The TCDD Audit Committee  
October 24, 2013

*Prepared by*  
**Rupert & Associates, P.C.**  
Certified Public Accountants  
Austin, Texas

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Texas Council for Developmental Disabilities (TCDD)  
Annual Internal Audit Report (AIAR) FY-2013

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The Texas Internal Auditing Act requires agencies to file an annual report on their internal audit activities and the internal audit reports prepared for your governing board. The purpose of the Annual Internal Audit Report is to provide information on the assurance services, consulting services, and other activities of the internal audit function. In addition, the annual internal audit report assists oversight agencies in their planning and coordination efforts. According to Texas Government Code, Sections 2102.009 and 2102.0091, the annual internal audit report for fiscal year 2013 is due November 1, 2013.

**I. Compliance with House Bill 16: Posting the Internal Audit Plan, Internal Audit Annual Report, and Other Audit information on Internet Web site**

TCDD will comply with the provisions of House Bill 16 by posting their Annual Internal Audit Report and their Annual Internal Audit Plan on their website, within 30 days after approval by the Council. The risk footprint in the annual plan includes a summary of the high risk areas identified in the risk assessment process. The risk management tables in our risk workbooks provide a summary of actions taken to address concerns. Actions resulting from audits are included in the individual audit reports and are followed up in the audit recommendation tracking schedule. These summaries and tables are updated annually.

**II. Internal Audit Plan for Fiscal Year 2013**

The following list represents the Texas Council for Developmental Disabilities (TCDD) reports generated from the fiscal year 2013 audit plan. There were no deviations from the audit plan that was submitted in the FY-2012 Annual Internal Audit Report. Completed audit reports for FY-2013 included:

#2013-1 05/31/13 Grantee Communications

#2013-2 07/30/13 Governance Audit

**III. Consulting Engagements and Non-Audit Services Completed**

The Internal Auditor did not perform any advisory projects which would be considered consulting engagements, as defined in *The International Standards for the Professional Practice of Internal Auditing*, and non-audit services, as defined in *Government Auditing Standards, 2011 Revision*, Sections 3.33 – 3.58, that were completed during fiscal year 2013.

#### **IV. External Quality Assurance Review (Peer Review)**

An external quality assurance review was performed in June of 2012 by David J. MacCabe, CIA, CGAP, MPA, covering TCDD internal audit activities performed by the internal audit contractor (Rupert & Associates) during the period June 2009 through May 2012. The contracted internal audit function at TCDD was found to ‘fully conform’ with the Institute of Internal Auditors (IIA) *International Professional Practices Framework* including the *International Standards for the Professional Practice of Internal Auditing*, the *Definition of Internal Auditing*, and the *Code of Ethics*, the United States Government Accountability Office (GAO) *Government Auditing Standards*, and the Texas Internal Auditing Act (*Texas Government Code*, Chapter 2102). No significant weaknesses were identified during the review, but the following opportunity for improvement was identified:

##### **Opportunity for Improvement – Plan Future Internal Audit Projects Evaluating Organizational Governance**

The internal auditor should incorporate the evaluation of ethics and governance into future audit plans.

Internal Audit Response updated 2013:

*A governance project was included in the FY-13 Internal Audit Plan submitted to the Audit Committee for approval in October, 2012. The audit was completed and reported to the Council at their October meeting 2013.*

#### **V. Internal Audit Plan for Fiscal Year 2014**

The fiscal year 2014 Audit Plan will be presented for review and approval at the October 24, 2013 meeting of TCDD’s Audit Committee and Council. The report will be submitted to oversight agencies and posted on their website within 30 days after approval.

Based on the updated risk assessment, the proposed internal audit plan for FY-2014 is:

1. An advisory project to identify potential ways to streamline processes for the development of requests for proposals.
2. Follow up on prior year audit recommendations.

Annual Internal Audit Report FY-2013  
Texas Council for Developmental Disabilities (TCDD)

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The budgeted time for all internal audit activities is approximately 192 hours. A rough estimate of how these hours might translate into specific activities follows:

- |  |         |
|--|---------|
| • Risk Assessment and Internal Audit Plan    | 40 hrs  |
| • Annual Internal Audit Report               | 10 hrs  |
| • Audit Report Tracking Schedule             | 8 hrs   |
| • Project Planning, Fieldwork, and Reporting | 120 hrs |
| • Administration and Quality Control         | 8 hrs   |
| • Board Meetings                             | 6 hrs   |

Additional high risk areas that are not included in the fiscal year 2014 audit plan include:

- the risk of staff departures and loss of skills and knowledge base;
- the risk of insufficient monitoring of grant expenditures (last audited 2012); and
- the risk of violations of state and/or federal rules / regulations.

The risk assessment methodology consists of an annual meeting with management to update the risk assessment footprint and control tables. The risk footprint is updated and used to guide the selection of specific audit areas for the current year. The risk assessment methodology is described in greater detail in the Internal Audit Plan document that is also provided to oversight agencies.

## **VI. External Audit Services**

External audit services procured in fiscal year 2013 consisted of:

- the internal audit function, and
- independent CPA services for performing desk reviews on grantee audit reports.

## **VII. Reporting Suspected Fraud and Abuse**

In accordance with the requirements of Section 7.09, and the General Appropriations Act (83rd Legislature, Conference Committee Report) Article IX, and Texas Government Code, Section 321.022, TCDD has placement of a link on the website <http://www.txddc.state.tx.us/> to connect users directly to the State Auditor's page for reporting suspected fraud, waste, or abuse.

TCDD Policies also provide guidance for anyone wanting to report suspected fraud or abuse. Grantees are provided guidance on reporting fraud in the TCDD Grants Manual.

**Report Distribution List**

Texas Council for Developmental Disabilities, Audit Committee

Andrew Crim, Committee Chair  
Jeffrey Kaufmann, Member  
Scott McAvoy, Member  
John Morris, Member  
Mary Durham, Council Chair

Texas Council for Developmental Disabilities

Roger Webb, Executive Director  
Martha Cantu, Operations Director

Oversight Agencies

Kate McGrath  
Governor's Office of Budget Planning and Policy  
[internalaudits@governor.state.tx.us](mailto:internalaudits@governor.state.tx.us)

Ed Osner  
Legislative Budget Board  
[Ed.Osner@lbb.state.tx.us](mailto:Ed.Osner@lbb.state.tx.us)

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Ken Levine  
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# **TEXAS COUNCIL FOR DEVELOPMENTAL DISABILITIES**

## **Internal Audit Report #2013-1**

### **Grantee Communications**

**Prepared by:**  
**Rupert & Associates, PC**  
Certified Public Accountants  
Austin, Texas

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**Acronyms and Abbreviations**

- CPA           Comptroller of Public Accounts, Texas
- DSA           Designated State Agency
- GAO           Government Accountability Office, US
- IIA            Institute of Internal Auditors, International
- OMB           Office of Management & Budget, US
- OP            Operating Procedures
- QPPR          Quarterly Project Performance Report
- RAR           Request for Advance or Reimbursement
- RFP           Request for Proposals
- SAO           State Auditor’s Office, Texas
- TAC           Texas Administrative Code
- TCDD          Texas Council for Developmental Disabilities
- TEA           Texas Education Agency
- TGC           Texas Government Code
- UGMS          Uniform Grants Management Standards (Texas)



## Audit Report

May 31, 2013

Audit Committee and Council Members  
The Texas Council for Developmental Disabilities

The following report provides the results and recommendations noted during the internal audit of the TCDD's grantee communications processes and controls, conducted in fiscal year 2013. Included in this report are the purpose, scope, results, and recommendations of the project, as well as management's responses to those recommendations.

The internal audit was conducted in accordance with the Institute of Internal Auditors' (IIA) *International Standards for the Professional Practice of Internal Auditing*, the Government Accountability Office's (GAO) *Government Auditing Standards*, and the Texas Internal Auditing Act. We believe that our work fully supports our conclusions.

This report is distributed to and intended for the use of the Texas Council for Developmental Disabilities management and Governing Board, and the oversight agencies as identified in the Texas Internal Audit Act.

***Rupert & Associates, P.C.***

Certified Public Accountants  
Austin, Texas

## **Executive Summary**

### **Audit Purpose**

The Texas Council for Developmental Disabilities' (TCDD) annual internal audit plan is risk-based, with specific audit areas and objectives determined after an annual risk assessment update is conducted by management and the internal auditor. The plan developed for TCDD for fiscal year 2013 included an audit to assess the effectiveness of TCDD's outreach and communications efforts with their grantees. The audit identified the current processes and controls for communicating with grantees, from the initial orientation, to technical support, monitoring, and reporting on the status of grantee projects, and evaluated the effectiveness of those practices.

### **Key Observations**

1. TCDD has procedures and resources in place to guide staff in their communications with grantees related to the management and reporting requirements for their projects. TCDD processes include various modes of communication, an online Grants Manual and web-based reporting capabilities for grantees. The processes and controls are functioning and effective.
2. A survey of grantees provided some insight into areas where grantees have encountered problems in the communication process, including website accessibility problems, and a need for more guidance on grants that operate on different time schedules, and more guidelines to fit a for-profit grantee model.

### **Significant Recommendations**

Improvements to the grantee communication process can be made by improving on some processes and forms, as well as identifying and improving the issues that lead to website access issues.

### **Management Response**

TCDD concurs with the audit review recommendations. TCDD will develop guidance for staff communications with grantees; review comments from the grantee survey to identify areas of improvement; and will solicit additional input from grantees about specific concerns and strategies for improving grants related forms, procedures and website access.

## **Report to Staff**

### **BACKGROUND & PURPOSE**

The Texas Council for Developmental Disabilities awards grant funds to projects to promote independence, productivity, and community integration for people with disabilities. The achievement of TCDD's mission, goals and objectives requires effective and timely communications with the grantees to help ensure successful grant projects. In the agency risk assessment, the risk of providing ineffective or untimely guidance to grantees was identified as a risk with a high impact and low probability. TCDD believes there is a low probability because of their activities to ensure grantees are informed, but if communications were not sufficient and timely, the impact could be high. Therefore, an audit was undertaken to evaluate the effectiveness and efficiency of TCDD's communication efforts and to make recommendations for improvements, as appropriate.

### **SCOPE, METHODOLOGY, & OBJECTIVES**

The scope of the project was limited to an evaluation of TCDD's current communications processes and controls for effectiveness and efficiency. To assess the effectiveness of grantee communications, a survey tool was developed and participation was requested of 36 grantees that were active with TCDD in the last two years.

The audit methodology included interviews, questionnaires, and discussions with various personnel at TCDD. Research was undertaken to identify best practices, and methods and resources used by others to communicate with their grantees. TCDD's operating procedures and controls related to monitoring grantees have been reviewed in previous audits; this audit focused on evaluating communication processes.

The objectives of the engagement were –

- A. Review current communication activities between TCDD staff and grantees.
- B. Survey grantees for their assessment of the TCDD staff communication efforts.
- C. Evaluate processes and controls; make recommendations for improvements.

## **RESULTS BY AUDIT OBJECTIVE**

### **Audit Objective A – Review current communication activities between TCDD staff and grantees:**

Identify communication processes and controls currently in place and in use by TCDD staff for benchmark and comparisons.

#### **Results and Conclusions:**

We were provided information and sample documentation to illustrate the new grantee orientation process, in addition to policies and procedures at TCDD related to the grantee communications process. Our goal was to review the processes and make recommendations to improve and possibly streamline the processes. In addition to orientation, trainings, and communication channels by telephone, mail, email, and face-to-face meetings, there are online tools to guide grantees in preparing required reports on their activities. Research was also conducted to identify common grantee communication practices for activities that might enhance TCDD's communication efforts.

The information provided by TCDD on their processes was summarized and compared to guidance from OMB Circulars and the State's UGMS to test for compliance with standards, such as pre-award policies, award notices, site visits, technical assistance, etc. TCDD has processes, controls and resources in place to fully comply with those standards.

Research found several articles on best practices in communicating with grantees. This information was shared more fully with TCDD staff. Following are some promising practices identified in research:

- Regularly discuss grantee communications challenges, best practices, and the results of customer satisfaction surveys, such as during staff meetings;
- Incorporate grantee communications and the results of customer satisfaction surveys into staff performance appraisals;
- Develop key messages for staff and Council to describe the organization, respond to current issues, and explain changes in strategy or guidelines;
- Convene grantees and potential grantees (for example, in listening tours, community meetings, town hall meetings, and focus groups), both to learn from them and to update them on organization plans or changes;
- Document the grantmaking processes by creating a grantmaking manual or other standards;
- Develop "pledges" to grantees that outline what grantees can expect from the organization and what the organization expects of grantees, as well as the organization's distinctive way of working with grantees;
- Ensure consistent grantee communications with all TCDD staff, using tools such as communications standards or checklists;
- Ensure effective and timely feedback from grants staff to communications staff, so that changes can be made to websites, funding guidelines, and other grantee resources;

**Audit Objective B – Survey grantees for their assessment of the staff communication efforts:**

Through a survey process, evaluate the effectiveness of TCDD’s communication activities by requesting input from grant recipients.

**Results and Conclusions:**

The survey response rate was 44% - 16 responses, out of the 36 requests for participation sent out. The majority of respondents, 68%, had been working with TCDD for a year or more, with 32% having less than one year of experience. The questions and non-identifiable responses were provided in full to TCDD for evaluation. This report will briefly summarize the survey results.

All grantees acknowledged receiving an orientation that discussed TCDD’s organization and structure, including the role of the Grants Management Team and the project’s fiscal, administrative and reporting requirements. The majority rated the orientation process as excellent or satisfactory. Some recommended additional help for those projects that operate on different time periods than most grantees. The majority also rated the information and materials provided during the orientation process as excellent or satisfactory. Comments included that the material was comprehensive, but could be better organized. A quick reference guide to required approvals, reports, deadlines, was suggested.

All of the respondents reported they have used the online TCDD Grants Manual. A majority, 88%, rated the ease of finding information in the Manual as excellent or satisfactory. The same majority rated the helpfulness of the information found in the Manual as excellent or satisfactory. Commenters would like to see more information for exception items, such as more direction and input on “how to calculate performance measures”; more guidance to grantees that are on a different time schedule; and some clarification on financial review requirements.

There were some comments about problems with accessing the Manual to download information. The problems identified are access issues rather than Manual content issues. There have been problems with multiple log-ins required, or with password problems. Another issue identified is the need to use different logins for each grant when one organization is reporting on multiple grants.

All respondents stated that they would know who to contact at TCDD if they had questions. Most had contacted TCDD 10 or more times in the last year, including contacts by mail, telephone, e-mail, or face-to-face contacts.

We asked participants to rate the difficulty of using the various forms, reports, and processes required on their projects. For each process the responses seemed to follow experience levels – staff of newer grantees had more problems with the forms and processes than staff of more experienced grantees. A summary of results by inquiry is presented below:

	<i>Easy</i>	<i>Difficult</i>	<i>N/A</i>
New Grant Award Application - Continuation Workplan	68.8%	31.2%	0.0%
Project Performance Reports (QPPR)	93.8%	6.3%	0.0%
Financial Reports (Grant Awards, RAR, Budget Revisions)	50.0%	37.5%	12.5%

Texas Council for Developmental Disabilities (TCDD)  
Internal Audit Report #2013-1 Grantee Communications

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Most survey responses rated their organization's preparedness for and comfort with the onsite review process based on TCDD's communications and available resources as either excellent (37.5%) or satisfactory (44%). Other responses included average and not applicable (because someone else does it).

A few questions were posed to assess the grantee's knowledge of various processes they may encounter in the management of their project. This question sought to evaluate if grantee's staff are familiar with what actions are triggered by certain project activities.

<b><i>Do you know when / what to submit for the following?</i></b>	<b>Yes</b>	<b>No</b>
Budget Revisions	75.0%	25.0%
Personnel Changes	91.3%	18.8%
Audit Requirements	87.5%	12.5%
Final Closeout Reports	87.5%	12.5%

For the most part the negative responses were from the newer grantees, although there were some more experienced grantees who also responded negatively to some of these.

We requested respondents to tell us about what types of technical assistance they have requested from TCDD. 80% had requested assistance with budget revisions and with quarterly grant reports. 40% had requested assistance with personnel revisions and with final reports. Comments added these other topics on which they've requested assistance: Financial Review guidelines, Advisory Council nominees, and Requests for Reimbursement. They also noted that assistance was obtained through various communication channels, including by phone, email, and through the website.

We followed up by asking responders to provide a rating on their overall communications experience with TCDD staff. All responses were positive, as shown below.

	<b><i>Strongly Disagree</i></b>	<b><i>Disagree</i></b>	<b><i>Strongly Agree</i></b>	<b><i>Agree</i></b>
Courteous	0.0%	0.0%	87.5%	12.5%
Responsive	0.0%	0.0%	81.3%	18.7%
Knowledgeable	0.0%	0.0%	56.3%	43.7%
Timely	0.0%	0.0%	68.8%	31.2%

We asked if there were any particular concerns that survey respondents would like to share. Comments included the following:

- Website issues – out of order when information deadline is near
- Outcomes to report are not always compatible with grant award
- Guidelines were written with nonprofits and universities in mind; small business is different and adapting to requirements is time-consuming. If TCDD plans to continue working with small for-profit businesses, it might be worth taking a closer look at some of these issues.
- The continuation / grant application form itself is cumbersome due to the formatting
- We seem to have complex funding for the program that TCDD funds which can make it difficult to communicate with the financial staff at TCDD.

We closed the survey by asking if respondents had any suggestions for enhancing the quality of the TCDD communications process. Comments included:

- I appreciate the personal attention we receive for our project. No concerns and no suggestions other than to continue the personal approach with us grantees!
- Have a webmaster fix the website or create a new one for outcomes reporting. Also, clarify with grantees what outcomes are to be reported BEFORE you determine what is required. We might be able to advise you on more appropriate outcomes to report.
- I think tailoring the process somewhat, to the individual starting points of each grantee, flagging specific points where reports or expectations will be out of synch with the original timetable, and informing grantees proactively, rather than after they are late, would alleviate a great deal of frustration.
- I have always found TCDD staff to be prompt and courteous in responding to questions and concerns. I really appreciate the atmosphere that is fostered at TCDD – "We all want the best for our stakeholder, so let's work together to make it happen!"

**Audit Objective C – Evaluate process and controls; make recommendations for improvements:**

TCDD Procedures include outreach to grantees in the forms of orientation, training, various communication channels, and monitoring of grant projects. The survey suggests that while there are some problems in some areas, these concerns were relatively few and were generally from new grantees. The overall response to the survey was very positive. Some grantees did identify areas where they have had some problems, and these areas will be addressed individually. Major changes are not needed, but rather clarification on some issues, and perhaps a quick reference guide that would provide a ‘quick glance’ reference as to what items require approvals, when reports are due, or when special forms or approvals are required.

In addition some useful information was gathered from the internet research of logical techniques that TCDD should consider adapting. Some of the items listed below are already in place at TCDD. They were not removed in order to highlight that some best practices are already utilized by TCDD.

Written grantee communications guidance in the form of standards or a checklist is recommended. An example was provided to TCDD for use as a guide if they decide to implement. Some other promising practices identified include:

**Setting Expectations**

- Review all of the required proposal documentation with every applicant (proposal questions, budget template, reporting questions, etc.);
- Explain the process and timeframe for approving or non-approved of grants;
- Use the RFP and grant negotiation process to clarify scope, timeline, expectations, deliverables, and requests for reimbursement schedule;
- Determine how (email, phone, mail, and face-to-face meetings) and how often the TCDD grants staff and grantee will communicate;
- Let the grantee know what is expected in terms of final report questions, specifying the deliverable, etc.

### **Communication During the Grant**

- Schedule and conduct periodic check-ins with grantees;
- Use email to communicate with grantees when appropriate, because this allows the TCDD grants staff to document and track communication, as well as to copy program assistants;
- Summarize and document key decisions made with grantees, as well as next steps;
- Coordinate with other TCDD communications staff as needed, including setting up a process and procedures for interactions to support grantee activities; and
- Meet with grants staff regularly to discuss the status of proposals and grants and to determine communication needs.

### **Reviewing Reports and Deliverables**

- Send reminders of deliverable deadlines in advance to new or at-risk grantees;
- Review outlines and early drafts of reports to ensure the grantee is on track;
- Email questions about reports in advance of discussions with grantees; and
- Discuss interim and final reports with grantees and request revisions if needed.

## **RECOMMENDATION:**

Recommendation #2013-1-01: Use the survey results to identify and review processes, forms, and website access issues to improve the grantee communications process. Consider developing written guidance on grantee communications for staff, periodic grantee surveys, follow up with grantees on problem areas; encourage electronic communications, and other communication tools to enhance the process, as deemed appropriate.

#2013-1-01 Management Response: TCDD concurs with the audit review recommendations. TCDD will develop guidance for staff communications with grantees; review comments from the grantee survey to identify areas of improvement; and will solicit additional input from grantees about specific concerns and strategies for improving grants related forms, procedures and website access.

**REPORT DISTRIBUTION PAGE**

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Scott McAvoy, Member  
John Morris, Member  
Mary Durham, Council Chair

Texas Council for Developmental Disabilities

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# **TEXAS COUNCIL FOR DEVELOPMENTAL DISABILITIES**

## **Internal Audit Report #2013-2**

### **Governance Audit**

**Prepared by:**  
**Rupert & Associates, PC**  
Certified Public Accountants  
Austin, Texas

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**Acronyms and Abbreviations**

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- DSA           Designated State Agency
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- TAC           Texas Administrative Code
- TCDD          Texas Council for Developmental Disabilities
- TEA           Texas Education Agency
- TGC           Texas Government Code



## Audit Report

September 20, 2013

Audit Committee and Council Members  
The Texas Council for Developmental Disabilities

The following report provides the results and recommendations noted during the internal audit project on governance conducted in fiscal year 2013. Included in this report are the purpose, scope, and results of the audit. There were no significant findings or recommendations resulting from this audit.

The internal audit was conducted in accordance with the Institute of Internal Auditors' (IIA) *International Standards for the Professional Practice of Internal Auditing*, the Government Accountability Office's (GAO) *Government Auditing Standards*, and the Texas Internal Auditing Act. We believe that our work fully supports our conclusions.

This report is distributed to and intended for the use of the Texas Council for Developmental Disabilities management and Governing Board, and the oversight agencies as identified in the Texas Internal Audit Act.

***Rupert & Associates, P.C.***

Certified Public Accountants  
Austin, Texas

## **Executive Summary**

### ***Audit Purpose***

The Texas Council for Developmental Disabilities' (TCDD) annual internal audit plan is risk-based, with specific audit areas and objectives determined after an annual risk assessment update is conducted by management and the internal auditor. The plan developed for TCDD for fiscal year 2013 included a governance audit. The audit purpose is to verify board member compliance with training and filing requirements. The Report to Staff following this summary provides details on the audit work.

### ***Key Observations***

- The Council has policies in place that include procedures for implementation and control steps. The policies cover a range of topics, including complaints, absences, public input, adoption of rule, conflict of interest disclosures, etc. These policies were last reviewed in 2006. The TCDD website has information to guide Council members in conducting efficient meetings.
- Council members were found to be in general compliance with training and filing requirements. Open Meetings Act training records should be maintained and made available for public inspection in accordance with Texas Government Code §551.005(c). Administrative records supporting the completion of training or timely filing of disclosures had a few missing documents. A checklist has been developed and the missing documentation has been addressed.
- Survey responses provide some insight into areas that may need to be emphasized or revisited. The best practices provided are for information purposes only. Many of these best practices can be identified as practices that are already in place at TCDD.

### ***Recommendations - None***

The Open Meetings Act requires that board members' open meetings training certificates be available for public inspection. Best practices recommend that required training records and periodic filings be maintained. A checklist for information to be included in a member's file has been developed and an audit of the files has taken place to ensure consistency and completeness.

The cooperation and assistance from staff and the Council members' participation in the survey facilitated an effective audit process. The input provided by staff during the audit fieldwork is always helpful and appreciated.

## Report to Staff

### **BACKGROUND & PURPOSE**

The purpose of the audit was to ensure compliance and promote best practices in governance. Good governance is a means to building an effective and performing organization, able and equipped to pursue its mission and serve those individuals and communities it is there to serve.

Some signs of a governing board performing its role well are:

- It keeps out of management issues and decisions and lets the Executive Director manage all operational matters;
- It provides strategic direction and clear policies for the Executive Director to work to;
- It advocates effectively on behalf of the organization and of the communities the organization is there to serve;
- It ensures that the organization is in a financial situation to keep operations running in the long term; and
- It provides leadership to the organization and operates according to agreed ethical standards.

The Board's focus is on the decision making process, planning, and providing resources for goal achievement. The ability of the board to perform these duties effectively is determined by their knowledge and recognition of the separation of their role from that of the Executive Director. The Executive Director serves as the administrative leader responsible for policy implementation and daily operations. The Executive Director supports the council's responsibility as policy maker and helps council members fulfill their duties by providing training opportunities and instituting procedures that facilitate effective board meetings, open communications, and timely transfer of information.

### **SCOPE, METHODOLOGY, & OBJECTIVES**

The scope of the audit was limited to current criteria that relate to Council functions and training requirements. These included timely filing of personal financial disclosures with the Texas Ethics Commission, statement of appointed official and oath of office filed with the Secretary of State's Office, and required training components, including an initial orientation, and training on the Open Meetings Act and Open Records (Texas Public Information Act).

The objectives of our audit were to provide an overall assessment of the governance activities and the extent to which controls have been applied, with the intent of providing an opinion on the extent to which risks are managed. During the course of the audit we incorporated a survey tool developed by the Institute of Internal Auditors into the engagement. The survey tool was modified to better address the governance function at TCDD.

The audit methodology included interviews, observations, surveys, a review of best practices and documentary evidence obtained from staff and other Texas State agencies.

## **RESULTS BY AUDIT OBJECTIVE**

**Audit Objective A –Compliance:** Review the information, identified rules, laws, regulations, and information from other sources to determine specific Council member filing responsibilities. State statutes and internal policies and procedures, were used to test compliance. These included the Open Meetings Act (TGC §551) and the Personal Financial Disclosure, Standards of Conduct and Conflict of Interest (TGC §572).

The Texas Council for Developmental Disabilities is one of 56 state councils. TCDD receives federal funding through the US Department of Health and Human Services on a formula basis, mostly related to the state's population. TCDD is governed by a 27 member Council. Members include individuals with developmental disabilities, parents of individuals with developmental disabilities, and representatives designated by the Executive Director of several state agencies and organizations. Governor appointed members serve six-year staggered terms and may serve no more than two consecutive six-year terms. The Governor also designates a member of the Council to serve as chair.

The full Council and committees meet quarterly, in accordance with state law and Council Policy. Meetings are conducted in accordance with the Open Meetings Act. All members have received training on open meetings and further guidance is available online. Minutes are distributed, reviewed, and approved by the members at each meeting.

The TCDD Council has developed policies and procedures and reviews and updates them as needed. The Council Policies define the powers and responsibilities of the Council and the Executive Director. The Council authorizes and approves the annual budget, the State Plan, grants projects and public policy priorities. Council Policies also address Committees, their authority and duties, conflict of interest disclosures, and other processes. The Council has the following committees:

- Audit Committee
- Executive Committee
- Nominating Committee
- Project Development Committee
- Public Policy Committee

The Council oversees the financial resources by periodically reviewing budget reports, audit reports, and management reports at their regularly scheduled meetings. In accordance with the Internal Audit Act (§2102.006), Council Policies provide for the Council to approve the Internal Audit Charter (IV (B)(6), and provide for the Audit Committee to recommend the selection of the Internal Auditor to the Council for approval (VIII. (D)(1)(d)). The Internal Audit Charter provides for the Internal Auditor to report directly to the Council through the Audit Committee.

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The Open Meetings Act (§551.005(c)) General Provisions states “The office of the attorney general or other entity providing the training shall provide a certificate of course completion to persons who complete the training required by this Section. A governmental body shall maintain and make available for public inspection the record of its members' completion of the training”. Individual folders have been organized for each member’s training items and disclosure preferences for certain information. The files were inspected to test members’ compliance with training requirements. Various elements tested on the nineteen members yielded the following compliance rates:

Annual Conflict of Interest Statement (TCDD Policy)	18/19	94%
Open Meetings Training certificate	15/19	78%
Public Information / Open Records Training certificate	15/19	78%
Statement of Officer filed with Secretary of State	19/19	100%
Oath of Office filed with Secretary of State	19/19	100%
Personal Financial Statement filed with Ethics Comm.	19/19	100%

The Executive Director has established an effective communication process with the board members. Email provides an open communication channel that is both efficient and accessible. Emails are provided to the members by the Executive Director as needed to keep Council members abreast of serious or newsworthy events between scheduled board meetings. TCDD staff support the needs of the board.

There were no findings on the compliance portion of the audit, and no recommendations. Some general indicators of strong governance, as well as examples of problem areas for governance are provided below for reference only.

Some indicators of strong governance include:

- A policy framework that provides for policies approved by the board to govern all the organization’s major risks and activities.
- Board and committee structure with defined charters and mandates for the chairs.
- An oversight matrix that defines the board’s responsibilities and tasks and guides the agenda-setting flow of information to board members.
- A framework for board approval and oversight of significant transactions, new initiatives, and change management.
- Executive Director selection and recruiting criteria and standards.
- Orientation and continuous education program for Council members and Executive staff.
- A board, committee, and Executive Director assessment process.
- An ethics program and activities.
- A whistleblower hotline and a mechanism to handle complaints.

Some examples of problems that might be identified include:

- Organizational strategies approved by the board and management without reliable, current, and useful information.

Texas Council for Developmental Disabilities (TCDD)  
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- Board oversight limited by directors who lack the required business, industry, technical, IT, or other experience.
- Board dynamics that don't include sufficient challenges and skeptical inquiry by independent directors.
- Board-approved strategies that are not linked to the individual goals of operating department managers.

**Audit Objective B – Board Survey:** Evaluate the Board's perspective of their responsibilities as a board and how their activities satisfy those responsibilities. Identify areas for improvement and provide the Board with feedback.

Guidance from the Institute of Internal Auditing (IIA) defines Governance as "the combination of processes and structures implemented by the board to inform, direct, manage, and monitor the activities of the organization toward the achievement of its objectives". The IIA developed a Governance checklist that was used as a guide to developing our survey instrument. We distributed the survey to all current Council members for completion, including state agency alternate representatives. The request was sent to a total of 35 recipients and we received responses from 13, for a response rate of 37%. Of the thirteen participants, almost half were parent-representatives and about 30% were individuals with developmental disabilities. One agency representative participated. It should be noted that the thirteen respondents did not necessarily respond to every question, so percentages will vary on some answers.

The purpose of the survey was to obtain feedback from Council members about current governance activities and their knowledge of and comfort with the roles and responsibilities of the governance function. The results were received in confidence and communicated to TCDD in this report, without identifying factors.

A discussion of the result, conclusions, and recommendations follows:

The first question asked for some identifying information from the respondents. This allowed us to consider variances in responses that may stem from a lack of experience with the Council or participation on a specific committee.

A) *Board knowledge and awareness* - The first questions were intended to assess whether individual Council members receive the appropriate information regarding the organization and its area of work. This type of information helps the Council members to be clear about WHAT it is governing.

1. Do you, as a Council member, have a basic understanding of the roles and responsibilities of the Council?

Yes, we undertake this work / activity

100.0%

Texas Council for Developmental Disabilities (TCDD)  
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2. Do you, as a Council member, have a basic understanding of the responsibilities and activities of the TCDD staff organization and how they operate?

Yes, we undertake this work / activity 100.0%

Best practices include:

- Providing essential governing documents to new members (strategic plan, Council policies, etc)
- Training updates for existing members
- Inviting outside experts to fill gaps in members' knowledge, and
- Visiting sites where the organization is implementing a program

*B) Member integrity and collective responsibility. The next section of the survey was to assess whether the governing board ensures member integrity and collective responsibility. The intent was to assess whether there are guidelines and mechanisms in place to ensure that Council members act for the collective good of the agency and its mission.*

3. Are you familiar with the Council's Conflict of Interest policy and disclosure procedures?

Yes, we undertake this work / activity 100.0%

Comments indicate regular discussion at Council meetings.

4. Are you, as a Council member, committed to the TCDD's mission and guiding principles and actively involved in promoting and enhancing the public standing of TCDD?

Yes, we undertake this work / activity 92.3%  
N/R – not relevant to our work 7.7%

The N/R respondent was a state agency representative, whose role is somewhat different from the public members.

Best practices include:

- Working with the Council to develop a code of conduct
- Reviewing Council members' responsibilities
- Discussing the importance of acting as one and of individual members not showing public disagreement with a decision the Council has taken; and
- Providing advocacy training for Council members and developing an advocacy plan in partnership with the Executive Director and key staff.

Texas Council for Developmental Disabilities (TCDD)  
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C) Strategic direction and policies. *The next section covered the governing body's participation in the agency's strategic direction and policies. These questions were meant to help the Council Members reflect on the extent to which they are involved in setting the strategic direction of the agency and developing policies to guide how the agency operates.*

5. Was there sufficient Council involvement in the development of TCDD's State Plan?

Yes, we undertake this work / activity 100.0%

6. Do you, as a Council member, keep abreast of developments that might affect TCDD's capacity to pursue its mission?

Yes, we undertake this work / activity 100.0%

Comments included praise for the Executive Director and staff for being very good at presenting external and internal potential barriers to achieving outcomes. Executive Director updates are helpful.

7. Has the Council approved a set of policies that provide sufficient guidance for how the Council conducts business?

Yes, we undertake this work / activity 100.0%

8. Are you confident that there is a sufficient mechanism in place to report potential misuse of TCDD funds?

Yes, we undertake this work / activity	83.3%
Insufficient, in preparation, or being considered	8.3%
No, we have not yet tackled this work	8.3%

One commenter stated that although it has not been an issue that has come up, the transparency of the staff/council allows one to be certain that there are sufficient mechanisms in place to report potential misuse of funds.

Best Practices:

- Reviewing the State Plan with members who are not acquainted with it;
- Engaging the members in thinking strategically about TCDD's work and their own role;
- Reviewing existing policies to ensure they are up to date and identify areas where policies are needed; and
- Ensuring that a fraud workplace policy is in place that is in line with best practice and is being enforced.

Texas Council for Developmental Disabilities (TCDD)  
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*D) Council members relationship with the Executive Director. This section is intended for the board to review how it appoints and supports the Executive Director and their relationship to the operational side of TCDD. A good working relationship between the governing body and the Executive Director is essential to all agencies and is one worthy of careful and continuous cultivation.*

9. Who has primary responsibility for the development of a job description for the position of Executive Director, defining its powers and duties?

Council	30.8%
Executive Committee	61.5%
TEA	0.0%
Council Chair	23.1%
None of the above	0.0%

Comments show members believe TEA and the Council Chair work together to do this, and in conjunction with guidelines from TEA.

10. Has the Council established a recruitment procedure for the position of the Executive Director, should the position become vacant?

Yes, we undertake this work / activity	30.8%
Insufficient, in preparation, or being considered	23.1%
No, we have not yet tackled this work	7.7%
N/R – not relevant to our work	0.0%
DK – Don't know	30.8%

Comments included one that this was recently reviewed and approved during an Executive Committee meeting, and that staff and council have done extensive work on succession planning. One of the 'don't know' responses came from an agency representative and was not included.

11. Is there a process for evaluating the Executive Director annually and in writing?

Yes, we undertake this work / activity	84.6%
Insufficient, in preparation, or being considered	7.7%
No, we have not yet tackled this work	0.0%
N/R – not relevant to our work	0.0%
DK – Don't know	7.7%

Comments include some who have not experienced this, or may know of the process, but was not an active participant.

Texas Council for Developmental Disabilities (TCDD)  
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Best practices:

- Reviewing the Executive Director's job description to make sure it is up to date and gives sufficient powers for the Executive Director to effectively manage the organization;
- Reviewing the reward package to ensure it is competitive for the sector;
- Establishing an appraisal system for the Executive Director;
- Reviewing or developing policies defining the Council's relationships with the Executive Director and the agency's staff, and limitation to executive powers; and
- Reviewing whether and how well those policies are followed in practice.

E) How Council members monitor and review the agency's performance. This section relates to how well the Council members know where the organization is in relation to its strategic plan and annual program.

12. Are you, as a Council member, satisfied that the timeliness, quality and clarity of the periodic reports received enables the Council to make informed decisions regarding TCDD's performance?

Yes, we undertake this work / activity	92.3%
Insufficient, in preparation, or being considered	7.7%

Comments include one who is very impressed with the efficiency of the staff and Executive Director in reporting to Council. Another noted that "staff is always asking for suggestions on report content and presentation methodology to ensure members are getting and understanding information that is important to them. Staff is also open to questions and requests for more detail or clarification."

13. Do Council and Committee meeting minutes reflect discussion and decisions made?

Yes, we undertake this work / activity	100.0%
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14. Does the Council review at least annually the progress of activities in relation to the State Plan?

Yes, we undertake this work / activity	100.0%
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Texas Council for Developmental Disabilities (TCDD)  
Internal Audit Report #2013-2 on Governance

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Best Practices:

- Reviewing whether reports to the Council give sufficient and succinct information regarding the implementation of TCDD's program and budget;
- Ensuring that reports are sent to Council members in advance of meetings and that these are read and understood by them;
- Developing a calendar that makes it clear which matters will be discussed at future meetings; and which reports members can expect to receive and when; and
- Setting aside time during at least one meeting per year to review how well the agency's performance measures up to its agreed strategic objectives

F) Effective oversight of the agency's financial health. This section is concerned with the finances of TCDD and the Council's capacity to monitor them. It must satisfy itself that the internal control systems in place are adequate to protect the agency from loss and waste; and that it has taken the steps necessary for operations to continue in the future.

15. Do meeting minutes reflect approval of the annual budget and review of subsequent spending?

Yes, we undertake this work / activity 100.0%

16. Do the Council meeting minutes reflect the appointment of internal auditors and review of the audit reports and recommendations?

Yes, we undertake this work / activity 100.0%

20. Has TCDD identified and recorded the risks of various acts and functions and taken appropriate action to manage those risks?

Yes, we undertake this work / activity 90.9%  
N/R – not relevant to our work 9.1%

Comments indicate that some respondents did not fully understand the question, or were not sure if TCDD does this. One commenter states that TCDD has done a great job at this within the organization and with the grantees. "Their system is clear, easy to understand, and well documented. It is also shared regularly with council members."

Texas Council for Developmental Disabilities (TCDD)  
Internal Audit Report #2013-2 on Governance

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Best practice:

- Setting aside adequate time to review organizational and audit reports and agree on actions to address any recommendations made;
- Developing a resource mobilization plan in partnership with the agency's staff;
- Establishing a risk register, regularly reviewing it for accuracy, completeness and the monitoring of identified high risk activities;
- Reviewing the internal control framework of the agency and identify any areas that need strengthening; and
- Asking the auditor to review specific areas of the agency's internal controls

G) The Governing Body ensures its own review and renewal. *These last questions focus on the performance of the board itself. It is generally accepted that an effective board is one where the individual members come from diverse backgrounds and possess a wide range of skills. Board work needs to be rewarding for each member; to achieve that the members need supporting as they learn more about TCDD and how best they can contribute to its work.*

21. Does the Council make effective use of the time and skills of its members and ensure that their capabilities are enhanced through development and training?

Yes, we undertake this work / activity	83.3%
Insufficient, in preparation, or being considered	8.3%
No, we have not yet tackled this work	8.3%

Three comments:

"As members we are continuously given the opportunity to participate in conferences and such that enhance our understanding."

"Yes. Continued training is, however, important. It is too easy to stagnate without development!"

"No ongoing training after orientation; some meetings are not well managed (time wise); missing a key opportunity to conduct more business when they have us all in Austin and dismiss early."

Texas Council for Developmental Disabilities (TCDD)  
Internal Audit Report #2013-2 on Governance

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22. Does the Council encourage individuals with DD and/or family members to consider applying for appointment to serve in a governance role?

Yes, we undertake this work / activity	84.6%
Insufficient, in preparation, or being considered	7.7%
No, we have not yet tackled this work	7.7%

23. Does the Council formally assess its own performance annually?

Yes, we undertake this work / activity	75.0%
Insufficient, in preparation, or being considered	8.3%
No, we have not yet tackled this work	16.7%

Comments include one who is unsure, and another who does not believe the Council has adequately reviewed its own performance with regard to activities.

Best practice:

- Conducting a board profile review to identify skills and background currently missing on the board
- Developing a board calendar that clearly identifies what topics each meeting will address
- Ensuring that meetings are held at times and locations suitable for members.

The objective of the survey was to promote thought and conversation among Board members, and to present some ideas for consideration. Strong agreement on a question indicates areas of strength, and the areas with a broad difference in responses indicate areas that could be looked at for future training or further discussion.

There are no recommendations resulting from this audit objective.

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TCDD Internal Audit FY-2013  
 Audit Recommendation Tracking Schedule (ARTS)

Updated: 8/1/13

Report # - Date	High-Level Audit Objective(s)	Observations/Findings and Recommendations	Current Status	Impact
<b>#2012-1 -- 8/31/12 Advisory Project: Federal Funds Monitoring</b>				
Objective A	To identify current monitoring activities at TCDD. Evaluate processes for tracking the money from planning to awards to liquidation, including processes for monitoring the status of obligations and projects. Identify any trends analysis, various reporting capabilities, and other tools used for monitoring spending.	<b>Recommendation #2012-1-01</b> – Written Guidance: Review and update the existing Policies and Procedures for the funds monitoring process. Policies should define principles, rules, and guidelines formulated to achieve TCDD’s goals and objectives. Develop written procedures to ensure funds monitoring processes and control activities are understood and consistently completed. All aspects of monitoring should be included, with roles and responsibilities defined. Functional job descriptions should include position responsibilities for monitoring of funds that coincide with the procedure.	<b>Implemented:</b> TCDD procedures have been reviewed; designations of roles and responsibilities have been made; better communication activities are in place; and more frequent reviews of financial status have been implemented.	Effectiveness and efficiency of processes
Objective B	Information and Communication – determine the roles and responsibilities for the flow of communications on funds monitoring. Identify timelines for staff communication to ensure funds are appropriately monitored and new projects are ready to move forward when and as needed.	Establish a team of staff who each play a part in the monitoring of grant funds. They should share current information and monitoring reports on a regular basis. They should communicate at least monthly after activity updates to more closely monitor, evaluate, and be prepared to make budget adjustments as needed to ensure complete liquidation of federal grant funds prior to the end of the period. Team meetings at least quarterly are also recommended.	<b>Implemented:</b> The management team of staff who play an important role in the process include the Budget Support Specialist, Grants Director, Operations Director, Planning Coordinator and Executive Director. Communications between management staff regarding current expenditures, and strategies to fully obligate funds have strengthened and occur more frequent. Roles and responsibilities as clarified have been updated in job descriptions of the Grants Director and Operations Director.	Improved fiscal monitoring process.
		Develop a ‘toolbox’ of alternatives for fast-tracking final obligation and re-obligation of funds as needed. Options could include a streamlined continuance process for established, successful grantees; a queue of potential projects at a variety of funding levels on stand-by; and initiating larger, longer term projects with successful grantees.	<b>Implemented:</b> TCDD staff developed a “toolbox” of strategies that could allow funds to be obligated more quickly. Staff will further develop those ideas that were supported by Council members so that the “tool box” has more options in the future that can be used if needed. Current monitoring reports suggest that we likely will not need these options in the near future, thus other projects have taken a priority.	Improved fiscal monitoring process.

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Texas Council for Developmental Disabilities, Audit Committee

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John Morris, Member

Mary Durham, Council Chair

Texas Council for Developmental Disabilities

Roger Webb, Executive Director

Martha Cantu, Operations Director

**Oversight Agencies**

Kate McGrath

Governor's Office of Budget, Planning, and Policy

Ed Osner

Legislative Budget Board

Internal Audit Coordinator

State Auditor's Office

Ken Levine

Sunset Advisory Commission



# **TEXAS COUNCIL FOR DEVELOPMENTAL DISABILITIES**

## **INTERNAL AUDIT PLAN**

**Fiscal Year 2014**

**Prepared by:**  
**Rupert & Associates, PC**  
Certified Public Accountants  
Austin, Texas

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**RUPERT & ASSOCIATES**  
**CERTIFIED PUBLIC ACCOUNTANTS**

September 25, 2013

Members of the Council,  
Texas Council for Developmental Disabilities (TCDD)

The following document presents the proposed fiscal year 2014 Internal Audit Plan for your review and approval, in accordance with the Texas Internal Auditing Act.

Chapter 2102 of the Government Code requires that the internal audit plan be risk-based and include areas identified through a risk assessment process. This document presents the risk assessment results, the proposed audit plan, and a summary of internal audits performed in prior years at TCDD.

The FY 2014 Internal Audit Plan that follows is submitted for your approval.

Respectfully,

*Rupert & Associates, PC*

Certified Public Accountants  
Austin, Texas

## **Section 1: RISK ASSESSMENT**

This section presents the update of the Texas Council for Developmental Disabilities (TCDD) Risk Assessment for FY-14, and establishes the foundation for the Internal Audit Plan presented in the next section.

The risk assessment update process was performed by TCDD management and facilitated by the internal auditor in September of 2013. Management continues to exhibit a commitment to improving operational efficiencies and performance, including their voluntary participation in and responsiveness to the internal audit function.

### Purpose

The TCDD risk assessment provides management and board members with a prioritized list of risks associated with their activities. From these risks, a management strategy is developed. The risk assessment allows the Board to review the identified risks being monitored by management and evaluate the effectiveness of controls and responses to those risks.

### Concepts of Risk

Risk is defined as the level of exposure to uncertainties that an agency must comprehend and manage to effectively and efficiently achieve its objectives and execute its strategies. Risk is a measurement of the likelihood that an organization's goals and objectives will not be achieved. Controls are anything that improves the likelihood that goals and objectives will be achieved.

### Methodology

The Texas Council for Developmental Disabilities' risk assessment process includes three parts: (1) identifying agency activities; (2) identifying and rating risks for each activity; and (3) identifying actions to mitigate risks. The risk assessment update contemplates additional risks to be added and also considers additional controls put in place. The risk assessment update is used to determine the highest risk areas for the current year's audit plan.

## Risk Footprint

The attached risk assessment footprint reflects the prioritized risks as identified and ranked in the current year's risk assessment update. Each risk identified in the matrix is assigned two risk factors of High, Medium, or Low based on the impact the risk would have on the agency if it occurred and the probability of occurrence. By combining these measures the agency develops a priority ranking for each risk factor. The following key provides the level of risk management that will be employed by the agency for each potential risk factor ranking:

- HH, HM – Extensive Risk Management that includes monitoring by management and an internal audit.
- HL, MH – Considerable Risk Management that includes monitoring by management and a less in depth audit.
- MM, ML, LH – Manage and monitor the risk
- LM, LL – Monitor or accept the risk

## Results

The results of the risk assessment shown in Exhibit 1 illustrate changes in the prioritization and organization of consolidated activities and risk factor priorities based on the current year's update. The highest-risk areas are marked in red and relate to activities in Executive and Administrative functions, Grant Administration, and the Public Policy and Information area.

Risks in the red area require oversight controls to ensure that the supervisory and operating controls are working. Oversight controls can include exception reports, status reports, analytical reviews, variance analysis, etc. These controls are performed by representatives of executive management, on information provided by supervisory management. Areas within this highest risk category should be considered for inclusion in the internal audit plan.

Activities that fall within the yellow risk category require considerable risk management. Under this category of risk executive management or their designees should perform oversight controls to ensure that supervisory and monitoring controls are working. If internal audit provides services in this area, it is to ensure that oversight of the supervisory controls are appropriate and are being performed.

The last two categories of risk are marked in green and gray. Risks falling within the green areas rely on department managers to provide oversight by ensuring that supervisory controls and operating controls are working. Department managers should report to the Executive Director on the condition of these risks. Risks in the gray area are low risk areas that are managed by operating and supervisory controls and executive management accepts the residual risk in these areas.

## **Section 2: INTERNAL AUDIT PLAN**

The Texas Internal Auditing Act requires certain audits to be performed on a periodic basis. Required audits include audits of the department's accounting systems and controls, administrative systems and controls, electronic data processing systems and controls, and other major systems and controls.

The *International Standards for the Professional Practice of Internal Auditing* requires the internal audit activity to evaluate the effectiveness and contribute to the improvement of risk management processes. The internal audit activity must evaluate risk exposures, including the potential for the occurrence of fraud and how it is managed. The auditor assists the organization in maintaining effective controls by evaluating the effectiveness and efficiency of the risk management process and by promoting continuous improvement. Specifically, the internal audit activity must evaluate the adequacy and effectiveness of controls in responding to risks within the organization's governance, operations, and information systems regarding the:

- Reliability and integrity of financial and operational information,
- Effectiveness and efficiency of operations,
- Safeguarding of assets, and
- Compliance with laws, regulations, and contracts.

Internal auditors are required to ascertain the extent to which management has established adequate criteria to determine whether objectives and goals have been accomplished.

Based on the updated risk assessment, the proposed internal audit focus for the current year is:

1. An advisory project to identify potential ways to streamline processes for the development of requests for proposals.
2. Follow up on prior year audit recommendations.

**Section 3:  
HISTORY OF  
INTERNAL AUDITS AT TCDD**

2013	Grantee Communications Governance Audit
2012	Funds Monitoring Quality Assurance Review
2011	Grantee Monitoring
2010	Information Security TAC 202
2009	Contracts Administration and Management Quality Assurance Review
2008	Grantee Audit Desk Review Process Internal Controls over Financial Reporting to Council Grantee Records Management (database and hard copy files)
2007	Grantee Monitoring: Onsite Reviews Internal Administrative Operating Procedures
2006	Control Environment Evaluation Grantee Expenditure Monitoring Public Policy Processes and Controls Quality Assurance Review
2005	Grantee Risk Assessment Model & Master Records Maintenance Fraud Prevention and Reduction Policy Administrative & Project Development Procedures
2004	Follow-up on MATRS Review Findings Grantee Risk Assessment Model & Electronic Grants Manual Review
2003	Grants Manual Compliance Review TRC Performance Audit Review
2002	Grants Administration

## Exhibit 1: RISK FOOTPRINT - Texas Council for Developmental Disabilities (TCDD)

CONSOLIDATED ACTIVITY	IMPACT RATING		PROBABILITY RATING		RISKS		IMPACT RATING		PROBABILITY RATING		RISKS		IMPACT RATING		PROBABILITY RATING		RISKS		IMPACT RATING		PROBABILITY RATING		RISKS		IMPACT RATING		PROBABILITY RATING		RISKS	
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30
1 Executive and Administrative	H	H	Staff departures (loss of skills; knowledge-base)	H	M	Violation of state and/or federal rules or regulations	M	M	Inadequate monitoring of funding obligations and liquidations (2012)	M	M	Inadequate monitoring of fiscal reporting system	M	L	Insufficient succession planning for executive management	L	L	Ineffective governance functions												
5 Grant Administration	H	M	Insufficient monitoring of grant expenditures	H	L	Providing inadequate or inappropriate guidance to grantees (2013)	H	L	Non-compliance with federal or state regulations (OMB / UGMS)	H	L	Fraud and/or inappropriate use of federal funds																		
4 Public Policy and Information	H	M	Violation of state or federal rules	M	M	Negatively impact relationships	M	M	Communication risks of mis-information; lack of control	M	L	Inaccurate policy interpretations provided to constituents																		
6 Information Technology	H	L	Unauthorized access to data set	H	L	Loss of data / data integrity	M	M	Ineffective design of data system monitoring	M	L	Unauthorized access to TCDD website	L	M	Increased vulnerability from social networking															
3 Project Development	M	M	Non-compliance with approved procedures	M	M	Insufficient investment options	M	L	Poorly planned																					
8 DSA Administrative Support: Finance & Accounting, Human Resources, Purchasing	M	L	Inadequate contract administration & management	M	L	HR: Hiring unqualified employees; inadequately addressing employee performance / productivity	M	L	HR: Non-compliance with current HR policies & reporting requirements	L	L	Overspend or under spend budget	L	L	Inaccurate reports to management and board	L	L	Purchasing: Improper / unauthorized procurements; incorrect postings	L	L	Lack of segregation of duties	L	L	L	L	Inadequate infrastructure support: mail services, supplies, property management				
7 Council Support	M	L	Non-compliance with state and federal requirements	M	L	Non-compliance with Council policies and procedures	M	L	Insufficient logistical support																					
2 Planning, Evaluating and Reporting	M	L	Non-compliance with state or federal requirements	M	L	Poorly planned	M	M	Documentation processes are insufficient for reporting requirements	L	M	Negatively impact relationships																		
9 Designated State Agency (DSA) Operational Relationship	M	L	DSA / Council Separation of Authority	L	L	Inaccurate accounting information reported to State and/or Federal Government	L	L	Inadequate or inappropriate guidance from DSA																					

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# **Attachment 4**

# **Funding Proposal Executive Summary Building Community Capacity: Accessible Transportation**

## **Background**

Texans with developmental disabilities and their families experience significant barriers to full inclusion in their communities because they do not have adequate transportation. In general, public transportation frequently may be too limited in availability, may not meet individual needs, and/or may be inordinately difficult to navigate. Using private transportation may not be an option due to the expense or because it is not accessible. Other barriers that may be felt more strongly in some geographic areas of the state than in others may include:

- A lack of interagency coordination for transportation needs
- Inadequate transportation options in rural areas
- Difficulty coordinating transportation from urban areas to suburban areas
- Language barriers in finding and accessing transportation
- Challenges to pedestrian travel, including absence of curb cuts, sidewalks and accessible transit stops

The Texas Council for Developmental Disabilities' (TCDD) Five Year State Plan places a high priority on improving transportation for Texans with disabilities. TCDD recognizes that successfully influencing transportation planning requires collaboration between diverse partners to organize local communities. Previous TCDD grant projects demonstrated that establishing and supporting local transportation alliances that include people with developmental disabilities and their allies in transportation planning can be an effective method of creating systems change in transportation systems.

TCDD's previous project coordinated and assisted with community recruitment, training, and organizing. The project also provided the initial funding and technical assistance to facilitate the self-sufficiency of each alliance. Alliances linked together and developed commitments from a wide range of partners who might positively influence transportation planning at the state level. The project was able to develop active alliances that enabled people with disabilities to influence transportation planning in San Antonio, Fort Worth, East Texas, Houston, and El Paso. Some of these alliances continue to be active and have been able to secure additional funding to support ongoing work.

In 2012, TCDD posted Request for Proposals 2012-4: Accessible Transportation, Accessible Communities, intending to provide funds for one entity to implement an ambitious project to improve availability of accessible transportation over a wide geographic area. The RFP process did not result in a project being funded but it did confirm that local organizations seek access to or want to develop the resources to effectively address transportation issues in their own communities. This could be accomplished by providing opportunities for these organizations to come together in a learning environment where they can share as well as receive technical assistance and information from recognized experts. A grantee organization with sufficient knowledge, skill, and funding could arrange support for groups actively working on finding solutions to local transportation problems, without being required nor expected to coordinate community organizing activities.

## State Plan Goal

**Goal 4:** In at least one Health and Human Service (HHS) region, increase by 1% the percent of people with developmental disabilities surveyed who report they have access to the transportation they need to participate in their community in the manner they wish, by 9/30/2016.

**Objective 1:** Partner with disability advocacy groups, public transportation advocacy groups, and/or leadership and advocacy training programs to increase the number of individuals with disabilities who serve on transportation planning entities and are active in transportation planning by 9/30/2015.

**Objective 2:** Build the capacity of at least four local organizations in the selected Region to provide transportation training to people with developmental disabilities by 9/30/2016.

## Expected Outcome

At least two collaborative groups will create a measurable increase in the percent of people with developmental disabilities who report they have better access to the transportation they need.

## Project Description

The TCDD grantee organization would coordinate and host at least 3 transportation summits for organizations and individuals who will actively collaborate with others in their community to address local transportation issues. Prior to each summit, the grantee will gather information from local groups regarding their experiences and their goals before determining what activities and presentations will occur at the summit. At the summit, local groups will receive support to develop, adapt, or revise plans to guide what they are doing at a local level, and they will share this information with other groups. The grantee organization will also maintain contact with local groups between summits to assist them to access any additional information, training, or technical assistance they need to reach their goals. The initial summit should cover the following topics:

- Relevant policies that support or impede increasing accessible, reliable and coordinated public transportation systems
- Models that have been used successfully in other locations to address common transportation barriers
- Tools that can help with data gathering and evaluation of project activities and outcomes
- Technical assistance to ensure that local groups fully include people with disabilities in meaningful ways
- Methods of coordinating outreach activities
- Ways to develop non-traditional partnerships

TCDD expects that the grantee organization will develop a relationship with the Texas Department of Transportation (TXDOT) to assure their involvement in the project, and would give preference to organizations applying for grant funds that are able to demonstrate a likelihood of partnering with TXDOT in developing the summits.

The grantee must gather and share the following data, at a minimum:

- Results of pre- and post- evaluations of Summit activities to demonstrate knowledge gained
- Personal stories from local communities
- Number of people attending each summits
- Percent of people who report they remain active 9-12 months after the summit
- Number of people in local communities reporting improved access to transportation
- Policies identified by local communities that supported or impeded improved access to transportation
- Total dollars leveraged through project activities
- Names of the organizations collaborating
- The number of individuals with disabilities directly involved in project activities and descriptions of how they were involved.

### **Proposed Funding Amount**

Up to \$150,000 per year, for years 1, 2, and 3; up to \$125,000 for year 4; and up to \$100,000 for year 5.

Matching funds of at least 25% of the total project costs are required except for activities conducted in designated poverty areas of the state. To encourage sustainability, TCDD strongly recommends match amounts or funds leveraged to increase each year of the project after year 2.

### **Proposed Duration**

Up to five years.

### **Other Considerations**

As stated previously, TCDD would give preference to organizations applying for grant funds that are able to demonstrate a likelihood of partnering with TXDOT in developing the summits.

# Funding Proposal Executive Summary Understanding Employment Options and Supports

## Background

TCDD has invested and continues to invest heavily in initiatives to expand employment options for Texans with developmental disabilities. Community Healthcore and VSA Texas both recently completed grant projects demonstrating effective customized self-employment models. Other TCDD Grant employment related projects that currently receive funding include:

- One project to collaborate with the Project SEARCH® national office and local organizations to increase the number of Project SEARCH sites in Texas and to gather information about barriers encountered across the state.
- Two projects to demonstrate how affordable, widely available technology can assist people with developmental disabilities to gain and maintain competitive employment.
- Three projects to develop systems of supports that can help individuals with developmental disabilities to complete post-secondary education that leads to them reaching their employment goals.

Additionally, TCDD collaborated with other organizations and agencies to provide technical assistance to legislative offices around two new employment-related bills passed by the Texas Legislature in 2013:

- SB 1226 (Employment First) affirms that it is the policy of the state that the priority and preferred outcome for working-age individuals with disabilities who receive public benefits is earning a living wage through competitive employment in the general workforce.
- SB 45 requires employment assistance and supported employment to be available services in all Medicaid waivers.

While TCDD's projects have received media attention, many people across the state are still not aware of the range of opportunities that can assist individuals with developmental disabilities to become competitively employed. Also, staff from the Department of Assistive and Rehabilitative Services (DARS), advocates, and families report a widespread misunderstanding about social security options – many individuals and families mistakenly believe that an adult with disabilities who becomes employed may no longer receive SSI/SSDI and health benefits, and others do not fully appreciate the impact that work has on SSI/SSDI benefits until their benefits are reduced. DARS provides training about various options that allow individuals to retain SSI/SSDI benefits when working; however, their capacity to train all those who may need this information is limited.

## State Plan Goal

**Goal 2:** Establish at least two programs that assist Texans with developmental disabilities to gain competitive employment and/or to increase their personal income and assets, and that continue to operate after the completion of a maximum 3-5 years of TCDD funding, by 9/30/2016.

**Objective 4:** Each year, advocate for legislative and/or policy change to increase the assets a person receiving SSI and/or Medicaid can retain without losing benefits and to remove other policy-related barriers to full-time or part-time employment.

## Expected Outcome

The desired long-term outcome is that an increased number of individuals, families, and service providers will use SSI/SSDI programs, waiver programs, and other formal and informal supports effectively to help individuals with disabilities to gain and maintain competitive employment without losing necessary benefits.

## Project Description

This project would increase the availability of presentation-style training that effectively addresses the risks associated with competitive employment for individuals with developmental and other significant disabilities, including the loss or reduction of public benefits like Medicaid and SSI/SSDI.

The project would work with agencies that provide such training to:

- refine, package, add to, or otherwise adapt existing training as necessary;
- confirm that the method of presentation is effective and appropriate by asking representatives of the target audience – a diverse group of individuals with disabilities, family members, and service providers – to view the presentation and complete pre- and post- tests; and
- record and package the training for later use by individuals or by groups that wish to incorporate the presentations into an event they are hosting.

The project could also simultaneously inform individuals and families about the employment-related models that TCDD and others have developed and continue to develop. Materials, translated into multiple languages, might also need to be edited or adapted to accompany those presentations.

Examples of topics to be addressed include:

- income disregards
- how to maintain SSI/SSDI and/or Medicaid benefits
- available employment services through waiver programs through DADS
- available employment services available from DSHS
- available employment services available from DARS
- the application process related to Impaired Work Related Expenses (IWRE)
- Customized Self Employment
- Ticket to Work
- the Plan to Achieve Self-Support (PASS) Program
- implications of the Affordable Care Act
- financial management skills
- Texas' Medicaid Buy-in options
- other available tools or programs that assist people in becoming more financially self-sufficient

- becoming an employment provider

The organization preparing these presentations will be expected to gather input from other TCDD grantees that have employment- related projects; state agency staff; and other stakeholders as requested by TCDD.

Grant funds could be used to:

- involve recognized experts in the adaptation of the materials and as presenters on different topics (note: “recognized experts” would include self-advocates and family members with personal experience as well as professionals)
- create and edit video/audio recording of the presentations
- provide necessary captioning, subtitles and translation into another language
- purchase available materials as appropriate
- adapt and translate materials as appropriate

### **Proposed Funding Amount**

Up to \$150,000 per year

### **Proposed Duration**

Up to two years

### **Other Considerations**

Organizations implementing this project may choose to hold an “Understanding Employment Options and Supports Conference” as an opportunity to conduct the majority of the video recording. However, a conference would not be required.

# Executive Summary

## Assistive Technology in Schools – Discussion Guide

### Background

The TCDD FY 2012-2016 State Plan includes Objective 1.4: “Demonstrate how appropriate assistive technology can enable students with developmental disabilities to reach their educational goals, by 3/31/2016.” When the Plan was developed, the Council was interested in funding projects to demonstrate how technology could improve job performance by, and increase employment options for, individuals with developmental disabilities (this is Objective 2.2 of the Plan). Then, when the Council authorized funding for an Executive Summary that led to RFP 2011-5: “Enabling Technology,” the scope was broadened to allow submission of proposals for projects to demonstrate assistive technology in either employment or education settings. Objective 1.4 was drafted as a “placeholder” in the plan for education-related projects that were expected to be funded by this RFP.

While one of the proposals funded is developing technology applications intended to assist students with disabilities be successful in employment, none of the proposals submitted addressed technology applications in specific only to education settings as envisioned by the Plan Objective. Other than two inquiries regarding TCDD funding to develop programs to teach or expand the use of American Sign Language, TCDD has received neither public input nor inquiries about the use of assistive technology in schools. Additionally, TCDD is unaware of any data repository that outlines the unmet need for assistive technology.

Anecdotal reports suggest that the primary need related to the use of assistive technology in schools is that students who depend on assistive technology in school may not have access to the same technology in other environments. Although public agencies must permit a child to use school- purchased assistive technology devices at home or in other settings if the IEP team determines that this is needed to receive a Free and Appropriate Public Education, it appears that schools sometimes do not allow students to remove assistive technology from the school. Unfortunately, families may not be able to afford to buy equipment for their child’s use. This barrier would not likely be resolved by a project that demonstrates the benefits of assistive technology.

In Texas, there are two programs that are responsible for addressing the assistive technology needs of people with disabilities: the Texas Technology Access Program and the Texas Assistive Technology Network.

The Texas Technology Access Program coordinates Texas’ work related to the federal Assistive Technology Act of 2004 and works to improve awareness of and access to Assistive Technology. TTAP supports demonstration centers, operates a technology loan program that is available to any Texan, and works with a medical equipment reutilization program to provide refurbished equipment through long-term loans to persons with disabilities who can demonstrate financial need.

Within the public school system, Region IV Education Service Center (ESC) has the responsibility for establishing and supporting the Texas Assistive Technology Network. The network, which includes all 20 ESCs and the Texas Education Agency, promotes collaboration and provides technical assistance, training and information to support school districts that provide students with assistive technology.

Staff recommend deleting Objective 1.4 from the TCDD FY2012 – 2016 State Plan. If the Council decides to develop additional projects in the future related to the use of assistive technology in education, a partnership could be developed with the Texas Technology Access Program and the Texas Assistive Technology Network.

Attached, for the Committee's information, is the Executive Summary that authorized funding for the original "Enabling Technology" project.

**Future Funding Proposal**  
**Executive Summary**  
**Enabling Technology: Collaborative Design for the Future – Revised**  
**May 6, 2011**

**Background**

Almost all Americans use technology on a daily basis to increase their physical comfort, to travel across long distances, to connect with others, to entertain themselves, to enable them to reach goals, and/or to overcome environmental barriers. Technology provides tools that can improve quality of life and productivity for everyone, including people with developmental disabilities. Some of the technological tools most frequently used by people with developmental disabilities are specialized and disability-specific – these typically fall in the category of “assistive technology.” However, many of the tools that improve the quality of life for people with developmental disabilities are generic; they are the same products widely used by consumers with diverse characteristics who don’t necessarily have disabilities. Examples of this type of technology include cell phones, subtitles for language translation, voice-recognition software; global positioning system (GPS) satellite tracking that helps people navigate city streets; talking books; computers; and the internet (including social networking technologies). Additionally, technology is being developed for specific uses not necessarily related to disability, such as robotic tools that are operated remotely; long-range monitoring and sensing equipment; and microchip-enhanced cards (or wearable items such as wristbands) that contain information, allow access to restricted areas, or serve as cashless debit cards.

Although an obvious financial benefit exists to ensuring that new technology being marketed to the general public appeals to and/or meets the needs of people with developmental disabilities, this group is not often considered a target market and is rarely taken into account during the development of these products. However, this may change as technology companies strive to stay competitive by being responsive to the changing needs and desires of baby boomers who are aging and of soldiers who have returned from Iraq with significant disabilities. Companies that develop devices for the “typical” public will be confronted with the reality that more and more “typical” people have disabilities, including individuals who acquire a disability as part of the aging process. Forward-thinking, successful technology-focused companies may realize that tweaking their existing products or building accessibility into the initial design of new products will result in a broader customer base – especially if the increased manufacturing and availability of these products results in a cost reduction for individuals.

Currently, the input of people with developmental disabilities frequently is not valued – nor even solicited - in the initial design of new technology that is intended for the general public. Instead the development of and funding for “assistive technology” typically occurs separate from the development of technology for the general public, and technology developed for the general public frequently has to be adapted after the fact for use by people with developmental disabilities. There would be

tremendous benefit for the developers of new technology to consult - early in the design process - with people who have developmental disabilities or who have family members who have developmental disabilities. A person who has lived a full life with a disability frequently has had to become very creative at finding ways to meet their needs with whatever is available to them. Many have a lot of expertise at “making things work” and know what is more or less likely to be helpful. Designers may find that collaboration with people who have developmental disabilities enables them to create technology that is more functional and appeals to a wider range of people. For example, there are agencies that support people with developmental disabilities to live semi-independently by using commonly available monitoring and communication devices to enable their clients to do more in their own homes with less intrusion by direct support staff. This same type of technology might interest parents of “latch-key kids” were they aware of its existence. Simple robots – such as those that vacuum or entertain – are now widely available, and that technology could be used to create robots that “fetch” items for people with mobility impairments. Cell phone, voice recognition, and GPS technology, if adapted to be simpler and easier to use, might enable a person who has a cognitive disability to move around their neighborhood or city more independently.

The Texas Council for Developmental Disabilities (TCDD) would like to explore how collaboration between companies that develop or produce technology and people who have developmental disabilities might enable developers to increase their creativity in designing new technology. As a part of this effort, TCDD intends to demonstrate how those devices might enable people to live more independently and to reach personal goals.

## State Plan Goal and Objective

**Goal 10** People with developmental disabilities and family members will have the supports and services they need to be able to participate actively in their communities.

*Objective 7* Explore and promote new technologies, multi-media tools, assistive equipment, and/or barrier removal/home modifications that may enable people with developmental disabilities to live more independently within local communities and/or to participate more fully in advocacy efforts, by September 30, 2011.

## Expected Outcome(s)

TCDD will facilitate exploration and/or demonstration of the benefits of using new technology – or using “old” technology in an innovative way – to support the independence of people with developmental disabilities.

TCDD will promote collaboration between people with developmental disabilities and developers of affordable, widely available, technology.

## Project Description

This project will require a partnership between at least two entities:

1. One must have considerable experience in developing and/or providing reliable technology for individuals or companies to improve quality of life, to facilitate effective communication between individuals, or to improve business practices.
2. One must have considerable experience providing support and/or services to people with developmental disabilities and/or their families.

The partnership may involve additional organizations. People with developmental disabilities and/or their family members must be involved in the project design, implementation, and evaluation. Although one partner must be designated the lead applicant to receive grant funds and to comply with all reporting requirements and assurances, the partners should contribute equally to the creative process, making maximum use of their strengths.

The partners will work together to implement an innovative model demonstrating how technology can be used, in a cost-effective way, to enable people with developmental technologies to have increased independence in their daily lives. A model may be considered “innovative” if it is not currently in existence in Texas but has been demonstrated to be effective – and may even be widely used – in other states or countries to support people with developmental disabilities.

The project must serve at least 10 people (plus their families, if relevant) and must be committed to ensuring that participants will continue to receive the same level of service/support after TCDD funding has ended. The project may serve more than 10 people, and the additional people reached may include people without developmental disabilities if the intent is to demonstrate that the same product would have a wide range of potential users. TCDD expects that this project will show how “generic” technology might be employed to support people with developmental disabilities and also appeal to a diverse market, so that for-profit companies might aspire to produce the product on a wide-scale basis, at an affordable cost to individuals.

The partnership must ensure that an evaluation of the project is provided to TCDD upon project completion. The evaluation should include benefits and drawbacks as perceived by the individual served and by all project partners, as well as a discussion of possible implications (both positive and negative) of wide-spread implementation of the project.

Applicants will be responsible to develop and outline the type of project proposed and provide information to support the probable success of the project. Applicants are encouraged to be creative in the development of a project idea; TCDD fully intends to demonstrate a new, or relatively unknown, approach and may choose not to fund any proposal if none meet this requirement. Examples of the types of projects that would be considered appropriate to be funded under this RFP include:

1. The use of remote monitoring/sensing technology, accessible communication equipment, and professional direct care staff to support – as non-intrusively as possible - individuals with developmental disabilities living in their own homes.
2. The creative use of robots to reduce reliance on other individuals or to enable individuals with developmental disabilities to exert more control over their environment.

3. An expansion of the availability and successful use of social connectivity technology to individuals who have not had access previously (for example, individuals living in institutions) in such a way as to bring about significant and tangible changes in their daily lives.
4. The demonstration of how face recognition software and/or gaming technology may support or develop skill in recognizing and responding appropriately to social cues for people who need this type of assistance due to a disability.
5. The development of a model to promote interest in university students in engineering, computer science, or other related disciplines, by creating an annual “enabling technology” design competition.

This list is intended to serve as examples only and is non-inclusive. Applicants may choose to develop one of these ideas into a project or may submit a proposal entirely unrelated to any of these examples.

### **Proposed Funding Amount**

Because of the range of types of projects that might be proposed under this RFP, the Council is not committed to providing a set amount of funding for any particular project. If multiple proposals are viewed favorably, the Council may choose to fund several promising projects if they require relatively small amounts. The Council may also decide to fund one project for the full amount. Funding will be authorized for up to three projects for a total of \$750,000 per year for all projects combined.

### **Proposed Duration**

TCDD funding would be offered for up to 5 years subject to annual review of project accomplishments.

### **Other Considerations**

The original Executive Summary authorized a funding amount of up to \$200,000 per year for all projects funded under this Request for Proposals. However, on May 5, 2011, the Project Development Committee revisited the Executive Summary and noted that the scope of the project was broadly defined and that outcomes would be determined based on the proposals received. Because this meant it was likely that some projects might require more funding than others, the Committee recommended to the Council that the funds be increased, and that a total of up to three projects be funded. The recommended funding amount was a total of up to \$750,000 per year for up to five years for all projects combined. On May 6, 2011, the Council approved voted to revise this Executive Summary to reflect the approval of funds for up to three projects for a total of \$750,000 per year for up to five years for all projects combined. That revision has been made to this Executive Summary.

# **Attachment 5**

# **Funding Proposal Executive Summary Understanding Employment Options and Supports**

## **Background**

TCDD has invested and continues to invest heavily in initiatives to expand employment options for Texans with developmental disabilities. Community Healthcore and VSA Texas both recently completed grant projects demonstrating effective customized self-employment models. Other TCDD Grant employment related projects that currently receive funding include:

- One project to collaborate with the Project SEARCH® national office and local organizations to increase the number of Project SEARCH sites in Texas and to gather information about barriers encountered across the state.
- Two projects to demonstrate how affordable, widely available technology can assist people with developmental disabilities to gain and maintain competitive employment.
- Three projects to develop systems of supports that can help individuals with developmental disabilities to complete post-secondary education that leads to them reaching their employment goals.

Additionally, TCDD collaborated with other organizations and agencies to provide technical assistance to legislative offices around two new employment-related bills passed by the Texas Legislature in 2013:

- SB 1226 (Employment First) affirms that it is the policy of the state that the priority and preferred outcome for working-age individuals with disabilities who receive public benefits is earning a living wage through competitive employment in the general workforce.
- SB 45 requires employment assistance and supported employment to be available services in all Medicaid waivers.

While TCDD's projects have received media attention, many people across the state are still not aware of the range of opportunities that can assist individuals with developmental disabilities to become competitively employed. Also, staff from the Department of Assistive and Rehabilitative Services (DARS), advocates, and families report a widespread misunderstanding about social security options – many individuals and families mistakenly believe that an adult with disabilities who becomes employed may no longer receive SSI/SSDI and health benefits, and others do not fully appreciate the impact that work has on SSI/SSDI benefits until their benefits are reduced. DARS provides training about various options that allow individuals to retain SSI/SSDI benefits when working; however, their capacity to train all those who may need this information is limited.

## **State Plan Goal**

**Goal 2:** Establish at least two programs that assist Texans with developmental disabilities to gain competitive employment and/or to increase their personal income and assets, and that continue to operate after the completion of a maximum 3-5 years of TCDD funding, by 9/30/2016.

**Objective 4:** Each year, advocate for legislative and/or policy change to increase the assets a person receiving SSI and/or Medicaid can retain without losing benefits and to remove other policy-related barriers to full-time or part-time employment.

## Expected Outcome

The desired long-term outcome is that an increased number of individuals, families, and service providers will use SSI/SSDI programs, waiver programs, and other formal and informal supports effectively to help individuals with disabilities to gain and maintain competitive employment without losing necessary benefits.

## Project Description

This project would increase the availability of presentation-style training that effectively addresses the risks associated with competitive employment for individuals with developmental and other significant disabilities, including the loss or reduction of public benefits like Medicaid and SSI/SSDI.

The project would work with agencies that provide such training to:

- refine, package, add to, or otherwise adapt existing training as necessary;
- confirm that the method of presentation is effective and appropriate by asking representatives of the target audience – a diverse group of individuals with disabilities, family members, and service providers – to view the presentation and complete pre- and post- tests; and
- record and package the training for later use by individuals or by groups that wish to incorporate the presentations into an event they are hosting.

The project could also simultaneously inform individuals and families about the employment-related models that TCDD and others have developed and continue to develop. Materials, translated into multiple languages, might also need to be edited or adapted to accompany those presentations.

Examples of topics to be addressed include:

- income disregards
- how to maintain SSI/SSDI and/or Medicaid benefits
- available employment services through waiver programs through DADS
- available employment services available from DSHS
- available employment services available from DARS
- the application process related to Impaired Work Related Expenses (IWRE)
- Customized Self Employment
- Ticket to Work
- the Plan to Achieve Self-Support (PASS) Program
- implications of the Affordable Care Act
- financial management skills
- Texas' Medicaid Buy-in options
- other available tools or programs that assist people in becoming more financially self-sufficient

- becoming an employment provider

The organization preparing these presentations will be expected to gather input from other TCDD grantees that have employment- related projects; state agency staff; and other stakeholders as requested by TCDD.

Grant funds could be used to:

- involve recognized experts in the adaptation of the materials and as presenters on different topics (note: “recognized experts” would include self-advocates and family members with personal experience as well as professionals)
- create and edit video/audio recording of the presentations
- provide necessary captioning, subtitles and translation into another language
- purchase available materials as appropriate
- adapt and translate materials as appropriate

### **Proposed Funding Amount**

Up to \$150,000 per year

### **Proposed Duration**

Up to two years

### **Other Considerations**

Organizations implementing this project may choose to hold an “Understanding Employment Options and Supports Conference” as an opportunity to conduct the majority of the video recording. However, a conference would not be required.

# **Attachment 6**

**Texas Council for Developmental Disabilities**  
**Executive Committee**  
**Review of Proposed Activities & Budget**

**Date:** 10/23/13

**ITEM:** A

**Grantee:** A Circle of Ten, Inc. (C10)

**Year:** 3 of 3

**Project Title:** Increasing Capacity in the Existing Development and Advocacy Skills Training Project

**Project Location:** Austin, Houston, Dallas &/or San Antonio

**TCDD RFP Intent:**

TCDD initially posted an RFP for activities to train and assist TCDD grantees that provide leadership development and advocacy skills training to successfully obtain funding or other resources that increase the ability of those training activities to be sustained when grant support from TCDD terminates. The Contractor will provide training and assistance to 10-17 grants within Houston, Dallas, and Austin. TCDD approved funding up to \$25,000 to provide training to increase the capacity expecting to review after year one for possible continuation. TCDD later approved up to 2 additional years; the second award period will end December 2013.

TCDD is seeking this grantee to continue contract and to incorporate some activities beyond the current contract in the building community capacity contract. Additional activities include training additional TCDD grantees; and coordinating a Funder's Forum & conference that includes public policy issues and advocacy opportunities (pre-session); an opportunity to provide input into state plan objectives & activities; and a meeting of the Texas Funders Roundtable. Council approval is requested for an increased amount to include these additional activities in addition to continuing activities from the current contract.

**Current Authorized Funding:** TCDD has approved up to \$25,000 for up to three years.

**Expected Outcomes:** Funding leveraged to assist sustainability efforts of various TCDD grant projects; evidence of projects sustained with various types of funding and resources past TCDD grant funds; C10 will identify specific outcomes/accomplishments for each of 10-17 TCDD grantees; and C10 will provide information about grantees that need additional support to sustain their programs.

**Project Goals and Accomplishments for Year(s)1 - 2:**

**Goal:** To build the capacity of 10-17 TCDD grantees in three locations (Austin, Houston, Dallas &/or San Antonio) through leadership training and support to 20-34 staff &/or family members of people with developmental disabilities to leverage TCDD funding and sustain programs with various types of funding and resources past TCDD grants.

*Accomplishments per goal:* Year One: Worked with 16 of 17 TCDD leadership and advocacy grantees to offer three 3-day seminars on grant writing and incorporating collaborative grant ideas. Had thirty-seven (37) participants in capacity building training, capacity building surveys, and phone interviews. Identified statewide and regional grant resources; and involved additional partners to gain State, Federal and private funding to leverage funds. The Meadows Foundation funded Circle of Ten and the City of Houston Parks & Recreation finalized a Memorandum of Understanding to include TCDD grantees and non-TCDD agencies in their services and grants with an option to host the Funders' Forum. The funding and memorandum brings together 10 partners to address veterans, people with disabilities, and at-risk youth.

Year Two: Offered 7 TCDD grantees: 1) Six 3-day seminars with 30 representatives; 2) 3-day seminar incorporating collaborative grant ideas; and 3) submitted eight new grants that included existing/potential TCDD grantees and complimentary agencies and identified finalization of program and budget development for at least one large collaborative effort. As a result, partners received two awards for TCDDs BC3 Expanding Community Collaborative Capacity grants; TCDD stipend award for DiversAbility Event; and submitted grant proposals to Houston Endowment, US Department of Agriculture Rural Utility Services, Kresge Foundation, and the US Department of Housing & Urban Development for Asian Housing Initiative in Harris & Ft. Bend Counties.

## Texas Council for Developmental Disabilities

### Proposed Goals and Objectives for Year 3:

**Goal:** Build the capacity of the 5-10 TCDD select grantees from Years One/Two and an additional \*10-15 TCDD grantee agencies in existing/new networks; and host Funders Forum & Conference. \*New TCDD grantees identified by TCDD.

**Objectives:** 1) Provide a 3-day Process of Collaboration Seminar on Linking Leadership, Grassroots Community Organizing, Innovative Program Development, Grant Research, and Grant Writing; 2) Part II – The Next Step, incorporates real grant ideas into the curriculum; 3) Guided Alliance will guide from concept through next steps of finalization of program development, budget development and completion/submission of grant application (s) for at least one collaborative effort; and 4) Present the 10<sup>th</sup> Annual Funder’s Forum & Conference to 75-100 staff and/or family members of people with developmental disabilities to leverage funding and sustain programs with various resources past TCDD grants.

**Council Considerations:** No staff concerns, match not required per contract; If recommended favorably by the Executive Committee, the Council will be asked to consider funding to continue contract and additional \$25,000 to incorporate additional activities for final year of contract. Staff included 2-separate budgets to include the current capacity building contract and additional budget to include the Funders Forum and Conference Event.

<b>Continuation Budget Detail Summary</b>			
	Federal	Match	Totals
Amount expended in year 1 (no consultants)	\$25,000/\$25,000	\$0/\$0	\$25,000
Amount expended in year 2	\$25,000/\$15,947	\$0/\$0	\$15,947
<b>Amount requested for year 3 contract:</b>			
<b>I. Personnel Services</b>	22,559	10,098	32,657
<b>II. Travel</b>	1690	0	1690
<b>III. Purchased Services</b>	550	500	1050
<b>IV. Property/Materials</b>	200	0	200
<b>V. Rental/Leasing</b>	0	1,500	1,500
<b>VI. Utilities</b>	0	0	0
<b>VII. Other</b>	0	0	0
Budget period totals	\$24,999	12,098	37,097
<b>Amount requested for Funders Forum/Conference</b>			
<b>I. Personnel Services</b>	21,048	10,098	31,146
<b>II. Travel</b>	2520	0	2520
<b>III. Purchased Services</b>	550	0	550
<b>IV. Property/Materials</b>	522	0	522
<b>V. Rental/Leasing</b>	0	7500	7500
<b>VI. Utilities</b>	360	0	360
<b>VII. Other</b>	0	0	0
Budget period totals	\$25,000	\$17,598	\$42,598

**Texas Council for Developmental Disabilities`  
Executive Committee**

**Date:** 10/23/2013

**Review of Proposed Activities & Budget**

**ITEM: B**

**Grantee:** Department of Assistive & Rehabilitative Services (DARS)

**Year: 3 of 5**

**Project Title:** Higher Education for People with Developmental Disabilities (Project HIRE)

**Project Location:** Hidalgo County

**Website:** <http://drsprojecthire.com>

**TCDD RFP Intent:**

The project intent is to develop, demonstrate, and evaluate more inclusive models of post-secondary education through which students with severe disabilities receive the supports they need to succeed in college, university, and/or or vocational/technical programs that were originally designed for students with disabilities.

**Authorized Funding:** TCDD has approved up to \$225,000 for up to five years.

**Expected Results:** Project HIRE, by grant year five, will graduate or certify at least ten (10) individuals with developmental disabilities from South Texas College (STC).

**Project Goals and Accomplishments for Years 1-2:**

**Goal:** Select 18 individuals with developmental disabilities for the project and provide initial college and vocational readiness trainings, job shadowing opportunities, and wrap-around services for academic success

*Accomplishments per goal:*

Contracts were developed between DARS and the University of Texas-Pan American (UTPA), STC, Dr. Paul Wehman, Access Granted, and Dr. Lynn Fischer, who, with the project advisory committee (PAC), conducted program design and planning meetings. Participant applications were developed and orientations were conducted at STC in English, Spanish, and American Sign Language. Individual meetings with potential participants and their families took place. PAC members developed an applicant scoring mechanism and counselors prepared packets for the interview team, which met with each applicant along with parents and school personnel. Assistive Technology (AT) Evaluations were completed for each of a total of 27 participants. All completed the summer training and began classes at STC. A total of 12 long-term business mentors have been secured. The project has presented at hearings, conferences, and has garnered considerable publicity. There are currently 23 actively enrolled participants, 13 with business mentors and it is expected that 2 participants from the first cohort will graduate spring 2014.

**Proposed Goals and Objectives for Year 3:**

**Goal:** Select a minimum of 10 additional individuals with developmental disabilities for Cohort 3.

**Objectives:** Continue to work with project partners to provide assistive technology and business mentors; Continue the post-secondary programs.

**Staff Recommendations:**

**Public Policy Considerations:** This project has elevated disability policy issues in their community, improving educational opportunities and access to accommodations beyond expectations. Other higher education institutions would benefit from learning about their experiences. The "money follows the person" approach to providing supported higher education is as innovative as it is exciting.

**Grant Management Considerations:** No concerns; high risk monitoring (awards within award).TCDD staff frequently participate in trainings and annual onsite reviews.

**Staff Recommendation:** TCDD staff recommends continued funding for this project.

<b>Continuation Budget Detail Summary</b>			
	Federal	Match	Totals
<b>Expended Year 1</b>	\$225,000 / \$225,000	\$31,425 / \$32,093	\$256,425 / \$257,093
<b>Expended Year 2 (6 months) (Consultant:\$81,326)</b>	\$225,000 / \$89,458	\$15,060 / \$4,270	\$240,060 / \$93,728
<b>Amount requested for Year 3 budget:</b>			
<b>I. Personnel Services</b>	0	0	0
<b>II. Travel</b>	0	0	0
<b>III. Purchased Services (\$196,812 consultants)</b>	200,700	14,760	215,460
<b>IV. Property/Materials</b>	3,845	0	3,845
<b>V. Rental/Leasing</b>	0	300	300
<b>VI. Utilities</b>	0	0	0
<b>VII. Other (Indirect Costs)</b>	20,455	0	20,455
<b>Budget period totals</b>	<b>\$225,000</b>	<b>\$15,060</b>	<b>\$240,060</b>

**Texas Council for Developmental Disabilities`  
Executive Committee**

**Date:** 10/23/2013

**Review of Proposed Activities & Budget**

**ITEM: C**

**Grantee:** Texas Tech University

**Year: 3 of 5**

**Project Title:** Higher Education for People with Developmental Disabilities (Project CASE)

**Project Location:** Statewide

**Website:** none

**TCDD RFP Intent:**

The project intent is to develop, demonstrate, and evaluate more inclusive models of post-secondary education through which students with severe disabilities receive the supports they need to succeed in college, university, and/or or vocational/technical programs that were originally designed for students with disabilities.

**Authorized Funding:** TCDD has approved up to \$225,000 for up to five years.

**Expected Results:** Project CASE will create a replicable, sustainable higher education model that will build a collaborative partnership with the Burkhart Center, TX Tech University, South Plains College, the Byron Martin Advanced Technology Center, DARS, and the business community to identify, recruit, and retain individuals with developmental disabilities across Texas, ages 18-25, who are seeking to further their education beyond high school and securing meaningful paid employment in their field of choice.

**Project Goals and Accomplishments for Years 1-2:**

**Goal:** Select 18 individuals with developmental disabilities for the project and provide initial college and vocational readiness trainings, job shadowing opportunities, and wrap-around services for academic success

*Accomplishments per goal:*

A totally of 23 participants have been enrolled in Project CASE. Of those, 2 have graduated and one has transferred to the Sul Ross Gaming Program in Alpine, TX. The remaining participants are expected to complete their programs between 2014-2017 and 1 will have completed a Master's Degree in Architecture. Several business mentors have been secured. Most students request to do their internships in the summer due to heavy study and tutoring schedules, but 4 students have found full- or part-time employment in their field of choice.

**Proposed Goals and Objectives for Year 3:**

**Goal:** Select a minimum of 10 additional individuals with developmental disabilities for Cohort 3.

**Objectives:** Maintain a caseload of 10 Project CASE participants per Learning Specialist.

**Staff Recommendations:**

**Public Policy Considerations:** This grantee is encouraged to leverage the project's positive outcomes to enhance local community awareness of and support for sustainability and expansion.

**Grant Management Considerations:** No concerns; high risk monitoring due to award amount. TCDD staff will conduct annual onsite reviews.

**Staff Recommendation:** TCDD staff recommends continued funding for this project

<b>Continuation Budget Detail Summary</b>			
	Federal	Match	Totals
<b>Expended Year 1</b>	\$209,384/\$209,054	\$79,725/\$98,256	\$289,109/\$307,310
<b>Expended Year 2 (9 months) (Consultant:\$13,686)</b>	\$217,079/\$117,638	\$72,377/\$45,874	\$289,456/\$163,512
<b>Amount requested for Year 3 budget:</b>			
<b>I. Personnel services</b>	190,144	0	190,144
<b>II. Travel</b>	11,107	0	11,107
<b>III. Purchased Services (\$13,788 sub awards)</b>	16,838	0	16,838
<b>IV. Property/Materials</b>	2,000	0	2,000
<b>V. Rental/Leasing</b>	0	0	0
<b>VI. Utilities</b>	0	0	0
<b>VII. Other (Indirect Costs)</b>	0	73,363	20,455
<b>Budget period totals</b>	<b>\$220,089</b>	<b>\$73,363</b>	<b>\$293,452</b>

**Texas Council for Developmental Disabilities`  
Executive Committee**

**Date: 10/23/2013**

**Review of Proposed Activities & Budget**

**ITEM: D**

**Grantee: Texas Statewide Independent Living Council (TX SILC)**

**Year: 3 of 3**

**Project Title: New Leadership Development and Advocacy Skills Training**

**Project Location: Statewide**

**TCDD RFP Intent:**

The intent of the new Leadership Development and Advocacy Skills Training Projects RFP is to create programs that provide leadership development and advocacy skills training for people with developmental disabilities, their families, and their allies.

**Authorized Funding:** TCDD has approved up to \$75,000 for up to 3 years.

**Project Goals and Accomplishments for Years 1-2:**

**Goal:** Provide a comprehensive Statewide Independent Living Conference targeting consumers, family members, service providers, rehabilitation counselors, and other stakeholders in the disability community for the purpose of networking, information sharing, and advocacy training.

*Accomplishments per goal:*

The project specialist conducted extensive planning activities prior to the conference, collected registrations and stipend applications, sought new and previous conference sponsors, and promoted the conference via e-mail blasts and weekly newsletters. The "Connected to Independent Living" conference was held March 3-5, 2013. Attendees received 2 full days of sessions with 30 exhibitors, including community partners. Conference evaluation and other follow-up activities were conducted to determine needs, growth areas, and consumer satisfaction, which will guide planning for the 2014 conference. In Year 2, the SILC used social media and web-based communication applications. The project facilitated the experience of 60 individuals with disabilities at the conference. TCDD funds allows the offering of stipends to at least 48 people with developmental disabilities to attend the conference; cover expenses for a full-time employee to coordinate activities and to network with the community; and create an active advisory committee that provides input, advocacy and leadership initiatives that has helped with planning and outreach activities.

**Proposed Goals and Objectives for Year 3:**

**Goal:** Same as above.

**Objectives:** Recruit diverse community partners, associations, and stakeholders; research and develop agency, identifying keynote speakers; create a marketing plan to provide extensive statewide outreach; and create evaluation tools and disseminate findings.

**Staff Considerations:**

**Public Policy Considerations:** Because DARS failed to receive funding for new Independent Living Centers and in order to ensure statewide access to IL services, all entities associated with ILCs should concentrate efforts on identifying, developing and articulating ILD outcomes in every available venue, including the Statewide Independent Living Conference. **Grants Management Considerations:** No concerns; moderate risk monitoring due to award amount and sub-awards. **Staff Recommendations:** TCDD staff recommends continued funding for this project.

<b>Continuation Budget Detail Summary</b>			
	<b>Federal</b>	<b>Match</b>	<b>Totals</b>
<b>Expended Year 1</b>	\$75,000/\$75,000	\$25,000/\$27,530	\$100,000/\$102,530
<b>Expended Year 2 (7 months)(Consultants \$1200)</b>	\$75,000/\$53,685	\$29,000/\$23,884	\$104,000/\$77,569
<b>Amount requested for Year 2 budget:</b>			
<b>I. Personnel Services</b>	42,707	0	42,707
<b>II. Travel</b>	2,124	0	2,124
<b>III. Purchased Services (\$1,200 consultants)</b>	22,779	29,000	51,779
<b>IV. Property/Materials</b>	1,040	0	1,040
<b>V. Rental/Leasing</b>	3,633	0	3,633
<b>VI. Utilities</b>	2,717	0	2,717
<b>VII. Other</b>	0	0	0
<b>Budget period totals</b>	<b>\$75,000</b>	<b>\$29,000</b>	<b>\$104,000</b>

# Texas Council for Developmental Disabilities`

## Executive Committee

**Date:** 10/23/13

### Review of Proposed Activities & Budget

**Item:** E

**Grantee:** West Central Texas Regional Foundation

**Year:** 3 of 3

**Project Title:** Inclusive Faith-Based Communities Symposium

**Project Location:** Abilene (Callahan, Jones, & Taylor Counties)

**Website:** [www.wctcoq.org](http://www.wctcoq.org)

**TCDD RFP Intent:** The project intent is to collaborate with leaders of faith-based organizations in order to compare experiences and share resources so that formal and informal community supports available to people with developmental disabilities may be increased. TCDD has approved funding of up to \$75,000 per year for up to three years.

**Authorized Funding:** TCDD has approved up to \$75,000 for up to three years  
 Year 1: \$74,894    Year 2: \$74,322    Year 3: \$74,988

**Expected Results:** Faith communities will understand the benefit of inclusion.

**Project Goals and Accomplishments for Year 2:**

**Goal:** To work with faith-based community organizations, community partners and persons with disabilities to more fully include underserved people with disabilities in outreach and programming across the rural region and within the metropolitan area, ensuring active participation within faith-based communities for all.

**Accomplishments per goal:** Held first faith inclusion symposium on April 13, 2013. Several media were developed for this event: program of events, booth registration form, attendee registration form, and a satisfaction survey. Staff secured a keynote speaker for the event as well as sign language interpreters and community members to lead the required breakout sessions. Developed a self-evaluation survey to distribute to representatives of faith-based organizations. Turnout to the symposium was lower than expected; Therefore, project staff worked with the PAC to develop a corrective action plan to address difficulties in reaching project goals. The action plan includes hosting several smaller events leading up to the next symposium (April 2014) as well as an information session for community members and the leadership of faith-based organizations.

**Proposed Goals and Objectives for Year 3:**

**Goal:** Same as above.

**Objectives:** Hold a series of good quality workshops as well as a symposium that encourages attendance from faith based and community based organizations in an effort to advocate for and support Faith based Organizations that currently have programming for the disabled community or those organizations that are attempting to create such programming.

**Staff Recommendations:**

**Public Policy Considerations:** Over 15 million Texans belong to a faith-based group. Increasing exposure of members of faith communities to persons with developmental disabilities will make it more likely that members of faith communities will have awareness about issues important to persons with disabilities. Having people who are not connected with the service delivery system in the lives of persons with developmental disabilities also is a significant protective factor. Finally, faith leaders typically also are leaders in the broader community with access to decision makers. **Grant Management Considerations:** The grantee is not in compliance with the requirements of the Request for Proposal (RFP). However, project staff has developed a comprehensive corrective action plan to address these concerns. **Staff Recommendations:** TCDD staff recommends continuation funding for this project with increased programmatic monitoring if the grantee successfully achieves corrective action plan goals.

Continuation Budget Detail Summary			
	Federal	Match	Totals
<b>Expended Year 1</b> (Consultant: \$0)	\$74,894/\$74,894	\$20,193/\$20,794	\$95,087/\$95,688
<b>Expended Year 2</b> (4 months) (Consultant: \$748)	\$74,322/\$22,822	\$24,576/\$7,113	98,898/\$29,935
<b>Amount requested for Year 2 budget:</b>			
<b>I. Personnel Services</b>	58,731	16,518	75,249
<b>II. Travel</b>	750	0	750
<b>III. Purchased Services</b> (\$748 consultants)	4,112	7,551	11,663
<b>IV. Property/Materials</b>	500	460	960
<b>V. Rental/Leasing</b>	4,122	450	4,572
<b>VI. Utilities</b>	900	0	900
<b>VII. Other (Indirect Costs)</b>	5,873	0	5,873
Budget period totals	\$74,988	\$24,979	\$99,967

**Texas Council for Developmental Disabilities`  
Executive Committee**

**Date:** 10/23/2012

**Review of Proposed Activities & Budget**

**ITEM: F**

**Grantee:** Texas Tech University

**Year: 1 of 5**

**Project Title:** Building Community Capacity through Collaboration

**Project Location:** West Texas

**Website:** none

**TCDD RFP Intent:**

The project intent is to establish and/or strengthen a network of appropriately diverse organizations to develop a strategic plan to build the capacity of that community to provide community-based services that will decrease the need for individuals with developmental disabilities to be served in an institution.

**Authorized Funding:** TCDD has approved up to \$150,000 for up to five years.

**Expected Results:** The West Texas Community Network (WTCN) originated as a partnership among the Burkhardt Center, High Point Village, and the HALI Project established to increase access to community-based and strength-based supports and services for individuals with developmental disabilities and their families. A strategic plan has been developed to encourage higher expectations for individuals with DD to live, work and play in more inclusive communities that value their contributions and unique gifts.

**Project Goals and Accomplishments for Planning Year:**

**Goal:** Develop a strategic plan, based on a community needs assessment, and identify resources necessary to build the capacity of a community to provide: culturally appropriate, person-centered or family-centered healthcare services (including both physical and mental); behavior supports; respite to community members who have developmental disabilities and their families; and other supports identified by the community support network.

*Accomplishments per goal:*

Partnerships were established and/or strengthened with several community organizations to address respite, transportation, employment opportunities, behavior support, occupational and physical therapy, family support services and training. A strategic plan was developed and submitted for TCDD review.

**Proposed Goals and Objectives for Year 1:**

**Goal:** Identify supports, services and programs that are in the community and develop a resource list accordingly. Research and partner with local and state stakeholders to determine location of individuals with DD and assess their needs.

**Staff Recommendations:**

**Public Policy Considerations:** Public Policy staff identified several concerns regarding the activities completed thus far with the overall assessment that the project did not adequately research and identify the primary reasons why individuals with DD become institutionalized.

**Grant Management Considerations:** In addition to the above, grants staff cited problems with the needs assessment, lack of involvement from key community stakeholders, lack of input from individuals with DD, and lack of diversity, both ethnic and economic.

**Staff Recommendation:** TCDD staff recommends funding for Phase 2 of this project with heightened involvement from the Grants Management Specialist to address the issues identified above.

<b>Continuation Budget Detail Summary</b>			
	Federal	Match	Totals
<b>Expended Planning Year: (8 months) (Consultant:\$8,860)</b>	\$74,996 / \$42,226	\$25,226/\$14,203	\$100,222/ \$56,429
<b>Amount requested for Year 1 budget:</b>			
<b>I. Personnel services</b>	87,707	0	87,707
<b>II. Travel</b>	6,359	0	6,359
<b>III. Purchased Services (\$38,000 consultants)</b>	41,383	0	41,383
<b>IV. Property/Materials</b>	915	0	915
<b>V. Rental/Leasing</b>	0	0	0
<b>VI. Utilities</b>	0	0	0
<b>VII. Other (Indirect Costs)</b>	13,636	50,455	64,091
<b>Budget period totals</b>	<b>\$150,000</b>	<b>\$50,455</b>	<b>\$200,455</b>

**COMMITTEE OF THE WHOLE  
DRAFT MINUTES  
OCTOBER 24, 2013**

**COUNCIL MEMBERS PRESENT**

Mary Durham, Chair	Stephen Gersuk	Joe Rivas
Hunter Adkins	Manda Hall, DSHS	Penny Seay, UT CDS
Kimberly Blackmon	Jeff Kaufmann, DADS	Cindy Swain, TEA
Gladys Cortez	Sara Kendall, DARS	David Taylor
Kristen Cox	Diana Kern	Richard Tisch
Andrew Crim	Scott McAvoy	Susan Vardell
Mary Faithfull, DRT	John Morris	

**COUNCIL MEMBERS ABSENT**

Mike Benz/Amy Sharp, A&M CDD	Andrew Crim	Cindy Johnston
Kristine Clark	Mateo Delgado	Dana Perry
	HHSC Representative	Lora Taylor

**STAFF MEMBERS PRESENT**

Roger Webb, Executive Director	Joanna Cordry	Jessica Ramos
Jeri Barnard	Celina Galvan	Koren Vogel
Martha Cantu	Sonya Hosey	Lucy Walker
Belinda Carlton	Wendy Jones	
	Susan Mihalik	

**GUESTS PRESENT**

Patty Anderson, DRT	Linda Harmon
Susie Angel, OneStar Foundation	Debbie Kizer, Imagine Arts
Chris Bugbee, OneStar Foundation	Rebecca Ortiz
Amanda Dunnivant	Suzanne Potts, OneStar Foundation
Erik Fajardo, Sunset Commission	Judith Sokolo, OneStar Foundation

**CALL TO ORDER**

The Committee of the Whole of the Texas Council for Developmental Disabilities convened on Thursday, October 24, 2013, in the Lady Bird Lake Room of the Wyndham Garden Hotel, 3401 IH 35 South, Austin, TX 78741. Council Vice-Chair Andy Crim called the meeting to order at 10:39 AM.

**1. INTRODUCTIONS**

Council members, staff and guests were introduced.

**2. PUBLIC COMMENTS**

Debbie Kizer, Imagine Arts, spoke to the Council about her Austin-based arts ministry which is a creative community of artists with and without disabilities and provides inclusive settings for creativity. She is attempting to work with residents of the Austin State Supported Living Center and has assisted with Person Centered Planning for one resident who is transitioning to the community.

Patty Anderson, Disability Rights Texas, spoke to the Council about recent priority topics for that agency including changes in state law requiring voter identification, an upcoming event for female veterans with disabilities, and a survey being conducted by Disability Rights Texas to determine priority issues for people with disabilities. Individuals with disabilities and families are encouraged to complete the survey which is available online at [www.disabilityrightstx.org](http://www.disabilityrightstx.org).

**3. GRANTEE PRESENTATION: ONESTAR FOUNDATION**

Grants Specialist Susan Mihalik introduced Suzanne Potts, Project Director for the OneStar Foundation Inclusive Faith-Based Communities Symposium project. Potts introduced Chris Bugbee, Chief Operating Office of OneStar Foundation in addition to Susie Angel and Judith Sokolow who are participants in the project. OneStar Foundation has established the Austin Interfaith Inclusion Network (AIIN) as an on-going network to convene faith-based and disability communities to discuss inclusion in faith-based settings. AIIN has coordinated two annual symposiums and developed a resource kit "Every Member Matters" for faith-based organizations. Faiths represented in AIIN include Evangelical Christian, Catholic, Protestant, Jewish, Buddhist, Hindu, Muslim and non-denominational.

**4. GRANT PROJECT HIGHLIGHTS**

Grants Specialist Mihalik provided highlights of two TCDD funded Inclusive Faith-Based Communities Symposiums projects: OneStar Foundation and from West Central Texas Regional Foundation.

**5. CHAIR AND EXECUTIVE DIRECTOR REMARKS**

Executive Director Roger Webb reviewed the excused member absences for these meetings including Mateo Delgado, Kris Clark, Cindy Johnston, Dana Perry, Lora Taylor, Amy Sharp (Thursday only), Stephen Gersuk (Friday only), Susan Vardell (Friday only), Scott McAvoy (Friday only), and Mary Durham (Friday only). Webb reminded members that this is Joe Rivas's last meeting.

Webb also included an update on TCDD staff to note that Peggy Oster began as TCDD Web Administrator in September and Erin Lawler will begin as a Public Policy Specialist on November 1, 2013. Jeri Barnard was recognized on her planned retirement from TCDD October 31, 2013.

**6. OTHER UPDATES**

Planning Coordinator Joanna Cordry updated members on TCDD State Plan progress.

**ADJOURN**

Council Vice-Chair Crim adjourned the Committee of the Whole at 12:45 PM.

\_\_\_\_\_  
Roger A. Webb  
Secretary to the Council

\_\_\_\_\_  
Date