

# Grants Manual

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July 2023



**Council on  
Developmental  
Disabilities**

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## **CHAPTER 1: INTRODUCTION**

Welcome and congratulations on being selected as the recipient of a Council on Developmental Disabilities (CDD) grant award. This manual contains much of the information you will need to know in making this a successful partnership.

The first section will introduce you to the CDD, our Mission, and what we do to carry out that Mission.

### **Section 1.1: Mission and Core Values**

#### **1.1.1 Mission**

The mission of the New York State Council on Developmental Disabilities (CDD) is to enhance the lives of New Yorkers with Developmental Disabilities and their families through programs that promote self-advocacy, participation, and inclusion in all facets of community life.

#### **1.1.2 Core Values**

1. We view disability as a natural part of the diverse human experience.
2. People with developmental disabilities and their family members are decision makers on agency initiatives.
3. We seek input from people representing diverse perspectives and experiences to strengthen our initiatives.
4. We promote equity in access to developmental disability services and resources and seek to drive positive change through a range of programs and projects.

#### **1.1.3 Commitment to Diversity, Equity, and Inclusion (DEI)**

The CDD is committed to embedding diversity, equity, and inclusion (DEI) principles and practices throughout all the work we do, including the grant projects we fund. The CDD is happy to partner with grantees to strengthen DEI practices throughout program implementation.

### **Section 1.2: Developmental Disabilities**

In general, CDD grants are intended to serve people with developmental disabilities, their families, and professionals and other community members who may support them. As a CDD grantee, most participants in grant programming should be from one of these three categories. Other people may participate in grant activities as well, as is relevant and at the discretion of your program.

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### 1.2.1 Federal Definition

In general, the term “developmental disability” means a severe, chronic disability of an individual that:

1. is attributable to a mental or physical impairment or combination of mental and physical impairments;
2. is manifested before the individual attains age 22;
3. is likely to continue indefinitely;
4. results in substantial functional limitations in 3 or more of the following areas of major life activity:
  - a. Self-care.
  - b. Receptive and expressive language.
  - c. Learning.
  - d. Mobility.
  - e. Self-direction.
  - f. Capacity for independent living.
  - g. Economic self-sufficiency; and
  - h. Reflects the individual’s need for a combination and sequence of special, interdisciplinary, or generic services, individualized supports, or other forms of assistance that are of lifelong or extended duration and are individually planned and coordinated.

### 1.2.2 Types of Developmental Disabilities

[CDC’s National Center on Birth Defects and Developmental Disabilities](#) has information on certain disabilities, developmental disorders, and related conditions.

Examples of Developmental Disabilities include:

- Autism Spectrum Disorders
- Cerebral Palsy
- Down Syndrome
- Fragile X Syndrome
- Intellectual Disabilities
- Language Disorders
- Learning Disorders
- Tourette Syndrome
- Traumatic Brain Injuries (TBI)

### 1.2.3 Rights of People with Developmental Disabilities

[The Americans with Disabilities Act \(ADA\)](#) is the landmark federal legislation that prohibits discrimination against people with disabilities in all aspects of public life. Since the passage of the ADA, governments around the world have sanctioned similar laws that

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ensure people with disabilities have rights and accessibility to resources that support personal growth, independence, and expanded opportunities.

The ADA, and by reference, the NYS Humans Rights Law is enforced by the [New York State Division of Human Rights \(DHR\)](#). Grantees must assure compliance with each element of this law.

## **Section 1.3: About the Council**

### 1.3.1 Federal Legislation

In every state and territory, programs authorized by the [Developmental Disabilities Assistance and Bill of Rights Act \(DD Act\)](#) empower people with developmental disabilities and their families to help shape policies that impact them. DD Act programs conduct important research and test innovative new service delivery models. They work to bring the latest knowledge and resources to those who can put it to the best use, including self-advocates, families, service providers, and policymakers. DD Act programs also investigate cases of abuse and serve as advocates for people with developmental disabilities and their families.

Programs authorized by the DD Act and overseen by ACL's Administration on Disabilities (AoD) include:

[State Councils on Developmental Disabilities \(Councils\)](#) work to address identified needs by conducting advocacy, systems change, and capacity building efforts that promote self-determination, integration, and inclusion. Key activities include conducting outreach, providing training and technical assistance, removing barriers, developing coalitions, encouraging citizen participation, and keeping policymakers informed about disability issues.

[State Protection & Advocacy Systems \(P&As\)](#) are dedicated to the ongoing fight for the personal and civil rights of people with developmental disabilities. P&As are independent of service-providing agencies within their states and work at the state level to protect people with developmental disabilities by empowering them and advocating on their behalf. P&As provide legal support to traditionally unserved or underserved populations to help them navigate the legal system to achieve resolution and encourage systems change.

[University Centers for Excellence in Developmental Disabilities Education, Research & Service \(UCEDDs\)](#) are unique among AIDD program grantees in that they are affiliated with universities, allowing them to serve as liaisons between academia and the community. UCEDDs are a nationwide network of independent but interlinked centers, representing an expansive national resource for addressing issues, finding solutions, and advancing research related to the needs of people with developmental disabilities and their families.

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**Projects of National Significance (PNS)** efforts focus on the most pressing issues affecting people with developmental disabilities and their families, creating and enhancing opportunities for these people to contribute to, and participate in, all facets of community life. Through PNS, AoD supports the development of national and state policy and awards grants and contracts that enhance the independence, productivity, inclusion, and integration of people with developmental disabilities.

### 1.3.2 NYS Council on Developmental Disabilities

The Federal Developmental Disabilities Assistance and Bill of Rights Act of 2000 (DD Act) requires that each of the U.S. States and U.S. Territories operate a Developmental Disabilities (DD) Council. The New York State Council on Developmental Disabilities (CDD) is the DD Council representing New York State.

Although the CDD is 100% federally funded, it operates as a New York State agency under the direction of the Executive Branch.

The CDD is not a direct service provider. Our mission is carried out through grant work. The CDD creates pilot projects in all life areas. Our projects focus on advocacy, systems change, integration, and inclusion in all aspects of a person's life.

These CDD-funded projects seek to:

- Promote capacity building, and systems change efforts
- Empower people through work that teaches self-advocacy skills
- Advance public policy to help people gain more control over their lives
- Create an environment of independence, self-determination, inclusion, and acceptance

The Governor designated the Office for People with Developmental Disabilities (OPWDD) as CDD's Designated State Agency (DSA), meaning OPWDD provides administrative supports to the CDD. CDD has final approval over all grant project activities, budgets, and revisions.

### 1.3.3 Council Membership

The Governor appoints members of the Council to direct and oversee the activities of the Council staff and to facilitate the distribution of Federal funds available to New York State. By Federal law, at least 60% of the members of the Council must be people with developmental disabilities, or family members of people with developmental disabilities.

The remaining members are representatives from relevant State agencies, non-profit providers and entities that administer funds provided under Federal laws related to people with Developmental Disabilities.

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### 1.3.4 The 5-Year State Plan

The work of the NYS CDD is guided by a five-year plan called the State Plan. The State Plan addresses changing state and national policies, is guided by stakeholder input and acknowledges shifts in developmental disability services. The current 5-Year State Plan can be found on our website.

Project ideas are developed in response to the 5-year State Plan, and grants are awarded primarily through a competitive Request for Proposals (RFP) process that occurs several times per year. Grantees and contractors are expected to ensure that project activities are consistent with the RFP and the state plan goals, outcomes, and policies of the Council.

### 1.3.5 Funding Source and Regulation

Funding is allocated annually to the NYS CDD by the federal government to establish authority to distribute funds for grants. The U.S. Department of Health and Human Services, Administration on Community Living is the source of funding for State Developmental Disabilities Councils.

This means the federal government has specific rules and regulations for how grant dollars are used. The federal regulations outline everything from how money can (and cannot) be spent to how spending must be documented.

The federal requirements are outlined in the [Uniform Administrative Requirements, Cost Principles, and Audit Requirements for HHS Awards under Title 45 CFR Part 75.](#)

## CHAPTER 2: CONTRACTING

This chapter highlights the contracting process that will begin once a project is awarded. Here we will cover everything from the Notice of Award to contract execution.

### All CDD contracts are subject to:

- Standard Terms and Conditions; as outlined in the [New York State Master Contract of Grants](#),
- CDD Terms and Conditions as outlined in [Attachment A-1](#), and
- Federal Terms and Conditions outlined in [Attachment A-2](#).

### Section 2.1: Overview and Timeline

Prompt contracting is a priority of the CDD. Though the CDD strives to start all contracts on time, delays do happen. To minimize the likelihood of a delayed start date, it is incumbent upon the grantee to respond to CDD contracting and review requests in a timely manner, and to return documents to the CDD promptly.

The below timeline provides estimations of when various contracting stages should be completed for a timely start.

- **120 Days Prior to Contract Start:** CDD staff reach out to begin process.
- **90 Days Prior:** Grantee staff drafts documents and submits for CDD review.
- **60 Days Prior:** CDD and grantee staff sign off on contracting documents.
- **30 Days Prior:** Contract is sent to the State Comptroller for official review.
- **Contract Start:** Contract executed, and project work can officially begin.

#### 2.1.1 Notice of Award

Applicants selected to receive a grant award will be notified by email and in an official CDD award letter. Award recipients may be asked to submit a revised work plan, timeline, and budget. Projects cannot start until the contract is fully executed. CDD cannot cover expenses incurred prior to a contract being in place.

#### 2.1.2 Contract Kick-off Call

Once a Notice of Award has been made, CDD staff will reach out to the anticipated grantee to set up a kick-off call. This call will allow CDD and grantee staff to introduce themselves and discuss the contracting process.



### 2.1.3 Contract Components

#### **Award Acceptance Form:**

After you receive notice of a CDD grant award, you will receive an “Award Acceptance” form. This form must be completed, signed, and returned by the appropriate organization representative. It signals the formal acceptance of the CDD grant award, including the acceptance of the **terms and conditions** of the grant award.

#### **Workplan:**

The workplan outlines the grant activities and anticipated outcomes of the project. The workplan includes the overall objectives of the project, the tasks that will be conducted to meet those objectives, and performance measures that will be used to determine progress toward meeting the intended project outcomes. The workplan is drafted by the prospective grantee, reviewed by CDD staff, and will be ultimately agreed upon by both parties. If changes to the grant activities or deliverables are required throughout the term of the grant, a program modification process will enable the grantee to amend their workplan to better reflect current project needs.

More information on the project workplan can be found in [section 2.2](#).

#### **Budget:**

The budget shows the anticipated spending of grant funds and how they will be used to support project initiatives. The contract will include a 1-year project budget. Toward the end of each project year, the contract will be recertified, and grantees will draft a proposed subsequent year’s budget. This budget will be reviewed by CDD staff and signed off by both parties.

More information on the project budget can be found in [section 2.3](#).

#### **Contract Documents:**

The CDD requires specific supporting documents from all grantees to ensure compliance with all state and federal funding regulations.

A list of supporting documents and how to obtain them can be found in [section 2.4](#).

### 2.1.4 Contract Term

The contract term is the full timeline of the contract award. Typically, this ranges from 1-year to 5-years depending on the grant project. Contracts are reviewed and renewed annually based on grantee performance.

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### 2.1.5 General Terms and Conditions

The terms and conditions for the award outline the grantee's responsibilities as an award recipient. The terms and conditions are based on Federal statutes and requirements for all federal financial assistance awards, and CDD's own policies and requirements.

#### **Cost of Proposal Preparation:**

CDD will not be liable for any costs of work performed in the preparation and production of a proposal, or for any work performed prior to the formal execution of a contract. By submitting a proposal, the bidder agrees not to make any claims for, or have any right to, damages because of any misunderstanding or misrepresentation of the specifications, or because of any misinformation or lack of information. The proposals shall become property of the State of New York.

#### **Assurances:**

Grantees are expected to always comply with the assurances that are signed as part of the grant application. To meet the requirements of the grant, the grantee must comply with the assurances.

## **Section 2.2: Workplan**

As its name suggests, a work plan is an action plan that helps project teams achieve their goals. Work plans factor in key project planning elements such as tasks, milestones, deliverables, resources, budgetary requirements, and a timeline to weave it all together.

#### **Objectives:**

Objectives are the major goals of the grant initiative.

For example, an objective could be to "Develop a statewide advocacy training program" or "Evaluate the impact of a statewide advocacy training program."

They are typically defined by the CDD, and grantees will not be able to modify without approval from the CDD.

#### **Tasks:**

Tasks are the actions and activities that grantees will conduct during the grant period to meet the defined Objectives.

For example, one task may include "Implement advocacy trainings across the State for at least 30 people with developmental disabilities".

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Tasks are co-defined by both the CDD and the grantee.

### **Performance Measures:**

A Performance Measure is a specific target that assists with evaluating the impact and success of a grant initiative in meeting the Workplan Objectives.

For example, a Performance Measure can be a specific output (i.e., 1 Resource Guide, 100 people trained) or a specific outcome (i.e., increased awareness of housing options).

The CDD has some federally required Performance Measures that are required for each grant. Grantees will be reporting progress against each of the Performance Measure targets on a quarterly basis.

#### **2.2.1 Workplan Modification**

Grantees must obtain prior approval from the CDD to change the scope or objectives of the project. Prior approval of a workplan change is required for:

- Changes to the objectives or target audience (e.g., changes to the service area, changes to project activities); and
- Transfer of a substantial portion of project work to a subcontractor

**Contract Document:** [Workplan Template](#)

**Program Document:** [Program Modification Request Form](#)

## **Section 2.3: Budget**

A project's budget will outline what expenses are expected to meet the deliverables outlined in the project workplan.

#### **2.3.1 Budget Period Obligation**

The standard grant budget period is one year. Other periods may be negotiated based on requirements of CDD or of the grantee.

Funds granted for a project may be used only as described in the approved budget, and within the budget period as awarded.

Any change to the budget period or contents must have the prior written approval of CDD.

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### 2.3.2 Allowable Expenses

Program Budgets must adhere to applicable federal regulations, CDD regulations, and specific terms of the award to determine the allowability of expenditures.

In addition to the specific allowability of the expenditure, the cost must be:

- reasonable (does not exceed what would be spent under similar circumstances),
- necessary (is required for efficient and effective project operation).
- project related (including cost allocations for administrative time)

### **Fiscal Fundamentals: A Guide to Allowable Expenses**

#### 2.3.3 Direct and Indirect Costs:

##### **Code of Federal Regulations [§ 75.412 Classification of Costs](#)**

**Direct Costs are those that are specifically spent to carry out the grant**, such as:

- Compensation of employees for the time devoted specifically to the performance of the grant;
- Cost of materials acquired, consumed, or expended specifically for the purpose of the grant; and
- Travel expenses incurred specifically to carry out the grant contract.

**Indirect Costs are items associated with general infrastructure support**, such as general administration, rent, equipment, operations, office supplies and maintenance.

Example of an Indirect Cost: The person who processes payroll for staff working on the grant is an Indirect Cost. In other words, Indirect Costs are monies that are:

- Incurred for a common or joint purpose benefitting other programs, and/or
- Costs not easily assignable to the programs specifically benefitted, without effort disproportionate to the results achieved.

The term Indirect Cost applies to costs of this type originating in the grantee department, as well as those costs incurred by other departments in supplying goods, services, and facilities.

**Please note: Federally Negotiated Indirect Cost Rates** can be used to compute allowable Indirect costs.

- **Indirect Costs of up to 10% of all direct CDD share of expenses** are allowable for grantees that do not have a Negotiated Indirect Cost Rate.
- **If a Negotiated Indirect Cost Rate is used on a grant**, line items covered by the rate may **not** be budgeted as additional grant costs.

- **For grantees with a Negotiated Indirect Cost Rate above 10%**, the amount above 10% of direct costs may be allowed as match contributions.

#### 2.3.4 Match Funds (Cost Sharing):

##### **Code of Federal Regulations § 75.306 Cost sharing or matching**

**Each grantee is required to contribute to the overall cost of the project.** This contribution is called “match”. Match funds are part of the total funds; management and accounting standards must be kept for all funds in the project budget.

Management and accounting standards must be kept for the Match share, just as for the federal share of grant awards.

If by the end of the approved budget period, a grantee fails to satisfy the minimum match obligation as outlined in the Notice of Grant Award, the grantee must return to the CDD office the portion of the federal award not properly matched.

##### **Fiscal Fundamentals: A Guide to Match Funds**

#### 2.3.5 Budget Modifications

Funds granted for a project may be used only as described in the approved contract budget and workplan, and within the budget period. Any changes to the work plan or budget as described below must have prior written approval.

##### **When is a Budget Modification necessary?**

- To make a change in a line-item cost that was previously approved;
- If proposed expenditures are for items that explicitly require prior written approval;
- If adding a line-item cost that was not previously part of the approved budget; and
- When the total amount of the funds being transferred between categories in the approved budget exceeds 10% of any of the total budget

##### **A Budget Modification request must be:**

- **Reasonable:** does not exceed what another prudent person would spend under similar circumstances;
- **Necessary:** justification for efficient and effective project operation;
- **Allowable:** see Allowable and Non-Allowable Costs; and
- **Approved by the CDD before the expenditure is made** within the scope of the workplan.

##### **How do you request a Budget Modification?**

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1. Email your Grants Coordinator basic details about the update you would like to make to your budget.
2. If a budget modification is necessary, your Grants Coordinator will direct you to the Budget Modification Request Form for a formal request.
3. Complete the form and submit it to your Grants Coordinator for final review.

### **Fiscal Fundamentals: Budget Modification Request Form**

#### **2.3.6 No Cost Time Extension (NCTE)**

A No Cost Time Extension can be submitted for CDD approval to extend the budget period to allow expenditure of interim savings.

Grantee must closely monitor expenditures in the final months, or the extension of a budget period so that all funds awarded can be approved and used.

#### **How do you request a NCTE?**

1. Email your Grants Coordinator details about why you need a no cost time extension. Common reasons for a NCTE include:
  - a. significant underspending of the grant award,
  - b. unmet deliverables in the project workplan.
2. If a no cost time extension is necessary, your Grants Coordinator will direct you to the No Cost Time Extension Request Form for a formal request.
3. Complete the form and submit it to your Grants Coordinator for final review.

### **Fiscal Fundamentals: No Cost Time Extension Request Form**

## **Section 2.4: Contract Documents**

All applicable contract documents must be submitted as part of the contracting process. Completed forms can be sent to your designated Grants Coordinator.

#### **2.4.1 Certificate of NYS Workers' Compensation Insurance Coverage**

Complete this form indicating that the NYS CDD is the certificate holder in Section 2 on the WC form.

*Employers may obtain this form from either their NYS workers' compensation insurance carrier or a licensed NYS insurance agent of that carrier. Acceptable Forms include: C-105.2, U-26.3, SI-12, or GSI-105.2.*

#### **2.4.2 NYSIF Disability Benefits Certificate**

Complete this form with the NYS CDD listed as the certificate holder in Section 2; *This certificate may be obtained online at [www.nysif.com](http://www.nysif.com)*

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#### 2.4.3 Certificate of Attestation of Exemption (CE-200) (If applicable)

This form can only be used to attest that an applicant requesting a license, permit or contract is not required to carry workers' compensation and/or disability and Paid Family Leave benefits coverage. Only two types of entities may apply for a certificate to show they are exempt from the requirement to provide workers' compensation and/or disability and Paid Family Leave benefits coverage when obtaining a license, permit or contract with a government agency:

1. New York entities with no employees
2. Out-of-state entities obtaining a contract or license where all the work is performed outside of New York State

#### 2.4.4 Sexual Harassment Prevention Training Certification Form

As of January 1, 2019, bidders on procurements subject to competitive bidding are required to submit a certification with every bid that states they have a policy addressing sexual harassment prevention and that they provide sexual harassment training (that meets the Department of Labor's model policy and training standards) to all employees on an annual basis.

Complete this form as an attestation that your organization trains staff in sexual harassment prevention.

**Contract Document: [Sexual Harassment Prevention Training Certification Form](#)**

#### 2.4.5 Grant Award Acceptance Form

When your grant is selected the staff of the CDD will provide you with this form to complete. If you have not received this form, contact your Grants Coordinator.

#### 2.4.6 Vendor Responsibility Questionnaire (VRQ)

Section 163(9)(f) of the NY State Finance Law requires that a state agency make a determination that a bidder is responsible prior to awarding that bidder a state contract.

To access or enroll in the VendRep System or update your existing online questionnaire, click [Online Questionnaire](#). Questionnaires in the VendRep System that have been completed in the last six months in response to contracts or bid announcements do not need to be updated.

Prior to executing a subcontract agreement, the contractor must provide the information required by CDD to determine whether a proposed subcontractor is a responsible vendor.

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Vendors must provide their New York State Vendor Identification Number when enrolling. To request assignment of a Vendor Identification Number or for direct VendRep System user assistance, the OSC Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at [ciohelpdesk@osc.state.ny.us](mailto:ciohelpdesk@osc.state.ny.us).

#### 2.4.7 Business with Russia Prohibition Certification

As of March 17, 2022, New York State agencies are prohibited from contracting with businesses conducting business in Russia. Bidders on procurements must submit a certification stating that they do not conduct business operations in Russia, or meet the federal exemptions regarding vital health and safety services.

Full text of Executive Order No. 16 can be found [here](#).

**Contract Document: [Certification Under Executive Order No. 16](#)**

### **Section 2.5: Contract Execution**

The contract process and final contracts are subject to the approval of the Office of the State Comptroller (OSC). Upon OSC approval, the grant award process will begin, and all terms of the contract will become public information. As part of the grant award process, the grantee and CDD will establish a mutually agreed upon final budget, Performance Agreement (Work Plan) and Performance Indicators, that become part of the contract deliverables.

If CDD is unable to negotiate the contract with the selected applicants within 60 days, the CDD may begin contract negotiations with the next highest scoring qualified applicant(s).



## CHAPTER 3: PROGRAM IMPLEMENTATION

The contract is now executed, and the project is ready to begin. This chapter will focus on considerations and requirements needed to implement a successful program from start to finish.

### Section 3.1: Getting Started

#### 3.1.1 Administrative Requirements

The grantee agrees to administer the project in accordance with applicable federal, state and CDD regulations and policies. The grantee is accountable for fiscal and programmatic management of the grant, and for completion of any special conditions prescribed for the conduct of the project.

Special grant conditions may be imposed if CDD determines that the grantee has:

- a history of poor performance, or
- a management system that does not meet the standards outlined in this manual.

#### 3.1.2 Employment Practices

Grantees are required by law to avoid discrimination ([P.L. 88-352, Title VI, Civil Rights Act of 1964, as amended](#)) and to take affirmative action ([Rehabilitation Act of 1973, as amended](#)) in the employment and advancement of people with disabilities.

#### 3.1.3 Fiscal and Program Coordination

The primary contact for all fiscal and program activities will be your assigned **Grants Coordinator**. The Grants Coordinator will be able to direct any questions to the appropriate CDD staff member, including the Program Planner, Budget Analyst and Contract Manager.

Grantees are expected to share all primary contacts for the project. This can include one primary contact, or several for separate project components (i.e., program and fiscal contacts).

CDD staff will maintain contact throughout the project period. Minimally, quarterly contacts will be made, but project review is an ongoing process. All project records, personnel, and activities must be accessible to CDD staff. All project staff -- and persons impacted by the project, if applicable -- should be available to talk with the CDD staff. Project staff should also anticipate annual in-person site visits and be prepared to schedule at the request of CDD staff.

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### 3.1.4 Program Kick-off Call

Once a contract is executed, CDD staff will reach out to schedule a call to kick-off the project. This call will discuss program implementation and introduce you to the Quarterly Reporting and Grant Monitoring process.

## Section 3.2: Program Participants

### 3.2.1: Project Advisory Committee (PAC)

To involve people with disabilities in the programs that serve them, most CDD grant projects are required to establish and support a Project Advisory Committee (PAC) which provides input on project activities and recommends strategies for accomplishing certain project goals and outcomes.

The PAC may review and comment on drafts of materials, reports, publications, and other items produced for dissemination by the project. The PAC's goal is to help the project produce outcomes that are consistent with the RFP goals, with the input from direct stakeholder communities.

### 3.2.2 Focus Groups

Some CDD Grant Projects will need to host focus groups to better understand the needs of the people the grant is intended to serve.

A **focus group** is a research method that brings together a small group of people to answer questions in a moderated setting. The group is chosen due to predefined demographic traits, and the questions are designed to shed light on a topic of interest.

Focus groups are a type of qualitative research. Observations of the group's dynamic, their answers to focus group questions, and even their body language can guide future research, products, and services.

If you need assistance in identifying focus group participants grantees should reach out to their designated Grants Coordinator.

## Section 3.3: Program Materials

### 3.3.1 Person-first Language Documentation

All grant products must be developed using respectful language including “people-first” terminology. Please note, it is always best to check for the most up to date language recognized as appropriate by people being served, their family and the service delivery system.

**For examples of person-first language please visit: [CDC – People First Language](#)**

### 3.3.2 Accessible Formats and Activities

CDD may request grantees to provide grant products in accessible formats such as Braille, multimedia, ASL interpretation, etc. Accessibility should also include language translation for both materials and activities to reduce linguistic barriers for people and families for whom English is not their first language. Teleconference and distance learning must be fully accessible to all participants. CDD policy requires that all video products produced on behalf of the CDD be accessible.

### 3.3.3 Media Releases

A release is permission given by the person/people visible in the photo or the owners of property, brand or artwork that has been photographed. The CDD requires getting signed permission from anyone being photographed or videotaped for the project.

**Program Fundamentals: [Media Release Form](#)**

### 3.3.4 Credits

The grantee must credit CDD in all publications, news releases, videos, or other electronic dissemination of information about activities funded solely or in part by the current grant.

- Printed publications
  - Credit shall appear on the inside or outside front cover of the report; whichever position best lends itself to the artwork.
- Articles (newspapers, newsletters, magazines, journals, or books)
  - Emphasize to editors/reporters that acknowledgment of the funding agency be included.
- Federal Regulations provide that all materials describing projects funded with Federal money shall clearly state:
  - Percentage of total costs of projects funded with Federal money,
  - Dollar amount of Federal funds for the project, and

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- Percentage and dollar amount of total costs of projects that are funded by non- governmental sources (contact CDD staff for clarification of federal guidelines).

### 3.3.5 CDD Acknowledgement Language / Disclaimer

The following is the language that should be used for documents and materials that were created with funding from the CDD:

"This project was supported, in part by grant number 20NYXXXX [please contact your Grants Coordinator for your grant award number] from the U.S. Administration for Community Living, the Department of Health and Human Services, Washington, D.C. 20201 through the New York State Council on Developmental Disabilities (NYS CDD). Grantees undertaking projects with government sponsorship are encouraged to express freely their findings and conclusions. Points of view or opinions do not, therefore, necessarily represent official ACL policy or the opinions, interpretation, or policy of the NYS CDD."

### 3.3.6 Ownership of Materials

The CDD will remain owner of materials, documents, data, records, and reports provided by CDD as part of this project, and the Contractor shall not use the CDD data, records, and reports for any purpose other than the conduct of this project without the consent of the CDD.

**For further information please reference [attachment "A-1"](#).**

### 3.3.7 Approval of grant products

Any presentations, publications or articles that are developed on the grant project require CDD approval. Unless otherwise stated in the work plan, development of grant products must include a timeline for CDD staff approval prior to publication/printing. Grantee will submit copies of outlines, initial draft, and final product to CDD. Timeframes for review shall be negotiated with CDD staff. Please plan and provide ample time for review.

## CHAPTER 4: MONITORING AND REPORTING

This chapter will provide an overview of grant monitoring and quarterly reporting requirements. You will receive further details regarding reporting once your contract is fully executed.

### Section 4.1: Overview and Timeline

Grant monitoring is a critical component of grants management. It allows the CDD to monitor compliance with requirements and progress against project goals, identify opportunities to provide technical assistance, and ensure that adequate controls are in place to improve accountability of federal funds.

The below timeline provides estimations of when various grant monitoring activities are conducted, and Quarterly Reports are due.

<b>Period 1: Jan 1 – March 31</b>	<b>Period 2: April 1 – June 30</b>	<b>Period 3: July 1 – Sept. 30</b>	<b>Period 4: Oct 1 – Dec 31</b>	<b>Site Visit</b>
Quarterly Report Due April 30.	Quarterly Report Due July 30.	Quarterly Report Due Oct 31.	Quarterly Report Due Jan 31.	Annually

#### 4.1.1 Ongoing Technical Assistance

CDD staff offer virtual opportunities for technical assistance throughout the year. In the week prior to the due date for quarterly reports, CDD staff host a ‘Submitting your Quarterly Report’ technical assistance call. This call is open to all grantees, and you are strongly encouraged to attend, to receive answers to common reporting and submission questions.

In addition to calls on submitting quarterly reports, CDD staff offer technical assistance calls on common topics of interest, as defined by our grantees. Your Grants Coordinator will send you information and invitations to technical assistance calls throughout the year.

### Section 4.2: Quarterly Program Reporting

To be reimbursed for project activities each grantee is required to submit a program report each Quarter that outlines progress toward meeting the goals and objectives of the grant as outlined in the contract.

Grantees are required to provide quarterly reports and maintain documentation to show that project activities have been performed according to the workplan and in alignment with project outcomes.

In addition to the above, CDD also reports data and stories that are collected to our federal funders, ACL, on an annual basis. This report consists of our grantees' work to date, and progress toward our overall goals and objectives. Because we want to highlight the great work our grantees are doing to our federal funders, you are required to submit a success story from your grant activities each year.

#### 4.2.1 Quarterly Report Components

CDD Quarterly Reports must be supported by documentation of fiscal and program records. A complete Quarterly Report should include the following documents,

- **Program Report**
- **Program Documents**
- **Expenditure Report**
- **Expenditure Documentation**

#### 4.2.2 Program Report

The program report is the form where you report your grant progress on a quarterly basis, including participant demographics and data, systems change information, and efforts toward cultural competency and sustainability.

**For your Program Report email your Grants Coordinator.**

#### 4.2.3 Program Documents

Supporting program documentation may include success stories, quotes from participants, pictures of participants at grant events, outreach materials you would like CDD to disseminate, or any other relevant program information you would like to share with CDD. We do not require you to submit copies of your satisfaction surveys, though you should keep them on hand in the event of an audit.

The CDD wants to support you in your promotional efforts. We are happy to disseminate flyers and post grant information on social media. Please share files with us in a timely manner, so that we can help further your efforts. You can also contact the communications team for a specific discussion on how to further promote your grant activities.

#### 4.2.4 Demographic Data

The CDD requires all grantees to collect demographic data as part of our Federal Reporting requirements. This data helps us determine if our grant dollars are reaching the diversity of New York State, including unserved and underserved communities.

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The CDD requests the following information about program participants:

1. Person with Developmental Disability, Family Member, Other
2. Racial/Ethnic data
3. Geographic Location

Collecting demographic data from participants can be challenging at times. Consider the following tips when collecting this data.

**Tip #1:** Add demographic data questions into existing evaluation tools (surveys, interviews, etc.)

The easiest way to begin collecting demographic data is by adding demographic data questions to an existing survey tool, such as a Satisfaction Survey.

**Tip #2:** Tell participants why demographic data is being collected.

Sometimes grantee participants may be hesitant to disclose information about their race, ethnicity, gender, or geographic location because they do not know how this information will be used. Therefore, it's important to provide information on why demographic data is being collected and how it will be used.

Below is a sample statement that can be added to the beginning of any survey tool to explain why and how information will be used.

**Sample Statement:**

The following survey is being conducted on behalf of the New York State Council on Developmental Disabilities (CDD). This survey is anonymous, and completion of it is voluntary. Individual survey responses will be kept confidential. Survey results will provide the CDD with feedback about our grant activities and will be used to strengthen programming for people with developmental disabilities and their families.

Demographic data is being collected to determine how the CDD can better support underserved communities throughout New York. These questions are designed to collect data to report to the Administration on Disabilities (AoD). Demographic information is required to receive continued AoD funding.

#### 4.2.5 Demographics: Geographic Location

To better understand the areas of New York State being served by our projects, we ask all grantees to collect and report geographic data of participants. The following provides some guidance on common questions on how to collect and report this data.

**What is considered rural?**

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Rural refers to locations with a population of less than 2,500 people. This includes census tracts, villages, towns, counties, and others.

### **How is this information collected?**

This information should be self-reported by grant participants. You can ask either of the following questions to gather this information from participants:

- Where do you live? In a rural or Urban/Suburban area?
- What county do you live in?

#### **4.2.6 Satisfaction Data**

A satisfaction survey is a questionnaire that measures the views of program participants on the activities they participated in. Satisfaction data allows the CDD and our grantees to better understand the value of grant activities and flag any shortcomings.

### **Program Fundamentals: Satisfaction Survey**

#### **4.2.7 Success Stories**

Success stories are one the most successful ways to promote the work done by the CDD and our grantees. It helps communicate the impact a project can gave to the public, stakeholders, Council Members, and other federal and state agencies. These stories must be submitted in the Quarterly Program Report.

### **Stories can also help to:**

- Capture progress over time
- Educate decision makers about the impacts of your program
- Demonstrate responsible use of resources
- Share 'best practices' with other similarly funded programs
- Attract new partners for collaboration, including long-term funding

### **How to write an Impact Story:**

The first step in compiling success stories is to create a system for collecting the information. You may want to identify a staff person to be responsible for collecting, analyzing, and writing the stories.

When collecting the information, it is useful to flag potential or developing stories. One way to make this easier is to distribute a satisfaction or follow-up survey from an event, training, or any other opportunity you may be hosting. If a participant identifies having a positive outcome from this opportunity, follow-up with a conversation or interview regarding their experience. For example, if you offer a leadership training for youth with developmental disabilities, and a participant identifies they are now on their student council, be sure to find out more!

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Once you have identified the stories, you should begin to write the narrative you will submit to us in your next quarterly report. Impact stories can be difficult to write because you are writing about someone else's experience. As mentioned above, in your follow-up conversation or interview with the participant, you can get more details about the individual's story, and use more of their words to communicate the story. Capturing an exact quote can paint a clearer picture of the specific targeted outcome.

#### 4.2.8 Record Retention and Access

Grantees must maintain records of all activities and expenditures for at least three years. The retention period begins on the date grantee submits to the CDD final financial and program reports for the final budget period. All records must be maintained for the entire project period.

However, if any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues arising from it, or until the end of the three-year period, whichever is later.

### **Section 4.3: Expenditure Reporting**

To be reimbursed for expenses made during the grant period each grantee is required to submit an expenditure report and back-up documentation outlining how both grant and match dollars were spent on program activities.

#### 4.3.1 Expenditure Report

An expenditure report form is customized to list all budget categories and lines included in a project's yearly budget. This form is provided to the grantee at the beginning of each budget period during the contract term. The expenditure report form is the reporting tool used to submit all budget expenses that occurred during the reporting period. Any project-related expenses that fall outside the approved budget should be brought to the CDD's attention for prior approval.

**For your Expenditure Report email your Grants Coordinator.**

#### 4.3.2 Expenditure Documentation

Any expenses made using grant or match dollars must be tracked and documented. No program cost is allowable without documentation. Acceptable kinds of documentation are:

- written,
- independently generated or verifiable by a disinterested third party,
- generated at the point of occurrence of the transaction,

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- in support of the amounts reflected on the books, and
- easily retrieved according to a consistent filing method.

Documentation of direct costs, charged to either the federal or match side of the budget, must show relevance and application to the program. Documentation may include:

- invoices,
- sales receipts,
- payroll stubs,
- mileage logs,
- postal or photocopy logs,
- activity reports, and
- contracts.

A cost allocation plan for charging costs to the match share of the budget must show that the costs are traceable through books and records, and that rationales for allocation are based on:

- logic,
- relevance to the program, and
- documentation.

## **Section 4.4: Site Visits**

CDD staff will conduct annual site visits to observe program activities and discuss progress to date. Grantees will receive a notice from CDD staff up to a month in advance of the anticipated visit.

## **Section 4.5: Payments**

Payments for services being claimed are reimbursed quarterly and are prompted by the approval of the Quarterly Reports.

### **4.5.1 Advanced Payment Request**

Grantees may request an advanced payment of up to 25% of the first-year grant award. Recoupment of any advance payment(s) shall be recovered by crediting a percentage of subsequent claims.

### **4.5.2 Excess Payments**

If the CDD is due a refund of money paid to the grantee pursuant to a grant, the grantee must pay the money due to CDD within 30 days of the grantee's receipt of written notice that such money is due. If the grantee fails to make timely payment, CDD may obtain

such money from the grantee by any means permitted by law, including, but not limited to, set off and counterclaim against any money otherwise due to the grantee by CDD.

#### 4.5.2 Withholding Payments

Remedial actions, either temporary or permanent, may be taken by CDD when it is determined that the grantee has not complied with the terms or the intent of the contract. CDD will inform the grantee by letter if a condition exists that could result in payment withholding, suspension, or termination of the grant.

Payment withholding will remain in effect until the grantee has taken corrective action in accordance with a Program Improvement Plan (PIP).

## CHAPTER 5: EVALUATION AND SUSTAINABILITY

### Section 5.1: Evaluation

The key to a good evaluation is good data. Collecting reliable data on program outputs and outcomes is an essential step in having a reliable, useful evaluation. There are two main components we look at when evaluating a program, outputs, and outcomes.

#### 5.1.1 Outputs vs Outcomes

Outputs are the “products” a grantee creates. It is a measure of what the grantee did and accomplished directly. For example, an output could be the number of trainings held, the toolkits created, or the number of people reached.

Outcomes are the effect of those outputs. They measure the larger impact, value, or result. They are the “so what?” of an output. For example, a training had 100 attendees. So what? Did attendees learn and apply the material? Will their behavior change as a result?

Outputs answer the question “What did you do?” Outcomes answer the question “Why does it matter?”

#### 5.1.1 Program Indicators or Performance Measures

Program Indicators, also known as performance measures, are used to measure the success of a project. Some indicators are required by our federal funders. Questions getting at this data are specifically included in the quarterly report and sample survey provided to grantees.

These indicators apply to all our diverse grant projects. We encourage our grantees to set their own project-specific indicators as well. The best indicators measure progress towards the project goal, are easy to understand and communicate, and can be measured or collected within the scope of the grant.

How you collect or measure the data will depend on the project goals and indicators, but surveys, focus groups, and pre/post project tests are some of the most common ways grantees collect data.

## **Section 5.2: Sustainability**

Sustainability is the ability to continue a funded project successfully, beyond the initial grant funding period. Most grant-funded projects, regardless of how effective they are, may have difficulty sustaining the project once the initial funding dollars are spent. Finding ways to promote sustainability can help your project produce meaningful long-term change.

### 5.2.1 Planning and Organizational Capacity

#### **Sustainability Requires Planning:**

Successfully sustaining a program is complex; it must be planned from the beginning of a grant program and adapted continuously throughout the life of the program.

#### **Your organization must be sustainable itself:**

To successfully sustain a program, your organization must be stable and sustainable itself. Sustainability requires strong personnel, materials, resources, and record keeping abilities.

#### **Staff capacity is critical:**

The program will only be as successful as the staff implementing it. In addition to staff stability, staff should have knowledge regarding needs assessment, intervention planning, and fundraising. Staff need to be creative, utilize strategic thinking, and should demonstrate excellent problem-solving skills.

### 5.2.2 Sustainability and Program Development

#### **Programs must be flexible and adaptable:**

The flexibility and adaptability of a program is a critical aspect for sustainability. Programs should be able to be adapted to meet changing needs and priorities.

#### **Programs evaluation should be utilized:**

Program evaluation helps facilitate sustainability. Whenever applicable, program evaluation should be utilized. The evaluation methodology should plan for time in between formal evaluation and the end of the initial grant term for the program to implement lessons learned and to adapt accordingly.

#### **Funding is an important aspect of sustainability:**

A loss of funding can impact priorities, partnerships, staffing, and opportunities to continue implementation. Grant funding should be, in part, utilized to look for additional external funding opportunities to sustain the program. This should be done prior to the initial grant funding period as postponing this search reduces success for sustainability.

### 5.5.3 Sustainability and Program Collaborations

**Leadership and champions facilitate sustainability:**

Sustainable programs typically have a program champion, someone who provides leadership, as well as knowledge of local contacts to sustain the program.

**Effective communication fosters sustainability:**

Partners who have a history of working together, as well as new partners with common goals, are more successful in sustainability efforts. These relationships should be marked by shared learning, trust, and shared decision making.

**Having diverse partners can help sustain a project:**

A diverse set of partners can increase the number of stakeholders invested in continuing the program, as well as help create a sense of community ownership. Involvement and support from community partners can be critical to sustainability efforts.

**Coalitions and advisory boards can create community connections:**

It can also be useful to create an advisory board, not only to guide planning and priorities to ensure the project is relevant, but to create community connections, and disseminate findings. Advisory board members can contribute to the long-term sustainability of the program.

#### 5.2.4 Alternative Sustainability Practices

**Embedding programs into the community is a core component of sustainability:**

Another key factor to sustainability is situating and integrating the program within the community itself. By doing so, programs can become not only self-sustaining, but also community supported and owned. Volunteers and other environmental supports can be utilized for sustainability. Moreover, another possibility is to integrate the program into the organization implementing it or into existing structures – making it part of the organization’s standard practice by embedding it within their normal operations.

**Technology should be leveraged:**

Technology can be used to help sustain grants and increase organizational capacity. For example, by posting curricula or resources online, people will be able to utilize program resources beyond the initial grant funding period.

## RESOURCE APPENDIX

All documents referenced in the manual are listed below in the order they appear.

01\_Terms and Conditions: [New York State Master Contract of Grants](#)

02\_Terms and Conditions: [Attachment A-1](#)

03\_Terms and Conditions: [Attachment A-2](#)

04\_Contract Document: [Workplan Template](#)

05\_Program Document: [Program Modification Request Form](#)

06\_Fiscal Fundamentals: [A Guide to Allowable Expenses](#)

07\_Fiscal Fundamentals: [A Guide to Match Funds](#)

08\_Fiscal Fundamentals: [Budget Modification Request Form](#)

09\_Fiscal Fundamentals: [No Cost Time Extension Request Form](#)

10\_Contract Document: [Sexual Harassment Prevention Training Certification](#)

11\_Contract Document: [Certification Under Executive Order No. 16](#)

12\_Person-first language: [CDC – People First Language](#)

13\_Program Fundamentals: [Media Release Form](#)

14\_Program Fundamentals: [Satisfaction Survey](#)