

Continuation Grant Awards

Tab 4

Background:

Executive Summaries are enclosed for seven (7) current grant projects that are eligible for an additional year of funding.

- A. Community Healthcore: *Employment Project*
- B. Region 17 Education Service Center: *Positive Behavior Supports – Impacting Disproportionality*
- C. Region 17 Education Service Center: *Positive Behavior Supports – Head Start Project*
- D. Family to Family Network: *Local Advocacy Training Project*
- E. Texas A&M: *Advanced Leadership & Advocacy Conference Project*
- F. Texas Tech University: *Teacher’s Preparation for Inclusive Education Project*
- G. VSA Arts of Texas: *Art Works Employment Project*

Important Terms:

Continuation Grant Awards: For each grant project funded by TCDD, the number of years of funding available (usually 3 to 5 years) is approved by the Council, but projects must reapply for funding each year.

Executive Committee

Agenda Item 7.

Expected Action:

The Executive Committee will review the information provided and may provide guidance to staff.

Council

Agenda Item 14. B.

Expected Action:

The Council will receive a report on Executive Committee decisions.

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

Date: 05/04/11

ITEM: A
Year: 4 of 5

Grantee: Community Healthcore (Sabine Valley Center)

Project Title: Customized Self-Employment

Project Location: Bowie, Cass, Gregg, Harrison, Marion, Panola, Red River, Rusk, and Upshur

TCDD RFP Intent:

TCDD intends to fund projects that demonstrate innovative activities that will systematically increase employment opportunities for people with developmental disabilities and develop strategies that will make these activities sustainable after grant funding has ended. The project will provide customized self-employment opportunities for individuals with disabilities by training them, their families, and local collaborating agencies in how to develop and implement an individualized self-employment plan. The process will include assistance in securing the necessary natural supports and funding for the self-employment endeavor. TCDD has approved funding of up to \$125,000 per year for up to 5 years.

Project Goals and Accomplishments for Year(s) 1 - 3:

Goal: Assist individuals with disabilities to become successfully self-employed by educating them, their supports, and community partners through training, technical assistance and demonstration.

Accomplishments per goal: The project continues to provide training in Longview and Texarkana (Bowie County); a total of 33 individuals attended one or more of the self-employment trainings; 10 individuals were assisted with funds for their business; and, currently the total number of self-owned businesses is 28. The Texas Customized Self-Employment project was presented at 2 conferences during this budget period.

Proposed Goals and Objectives for Year 4:

Goal: Same as above

Objectives: The project will continue to provide awareness regarding the merits of self-employment for persons with disabilities, train participants that are seeking self-employment using the nationally recognized consultants, support potential business owners in establishing their own business, and establishing effective and sustainable funds for self-employment.

Council Considerations: Public Policy considerations: Demonstrating how to effectively and efficiently create self-employment options for people with developmental disabilities may yield results that other agencies can adopt for their employment programs. No staff concerns; Council to consider continued funding for this project.

Continuation Budget Detail Summary			
	Federal	Match	Totals
Amount expended in year 1 (\$44,832 consultants)	\$100,877	\$30,896	\$131,773
Amount expended in year 2 (\$31,000 consultants)	\$125,000	\$35,494	\$160,494
Amount expended in year 3 (\$28,740 consultants) based on 12 months	\$95,428	\$30,786	\$126,214
Amount requested for next year budget:			
I. Personnel services	47,921	19,218	67,139
II. Travel	5388	0	5388
III. Purchased services (\$54,382 consultants)	46,468	10476	56944
IV. Property/Materials	687	0	687
V. Rental/Leasing	435	2325	2760
VI. Utilities	1560	0	1560
VII. Other	10,245	0	10,245
Budget period totals	\$112,704	\$32,019	\$144,723

Texas Council for Developmental Disabilities

Executive Committee

Date: 05/04/11

Review of Proposed Activities & Budget

ITEM: B

Grantee: Region 17 Education Service Center

Year: 4 of 5

Project Title: Positive Behavior Intervention Support – Disproportionate Impact (PBIS-DI)

Project Location: Lubbock

TCDD RFP Intent:

Submitted to the Project Development Committee in February 2008 as an Unsolicited Proposal for an expansion of an existing project, addressing Goal 3, Objective 2 of the TCDD State Plan.

Region 17 Education Service Center seeks to expand the current PBIS project to recruit, train, and support individuals to provide positive behavioral supports to individuals with diverse needs living in communities throughout Texas. This project will expand PBS strategies with special emphasis placed on intervention specifically aimed at impacting disproportionality. TCDD has approved the scope of activities for this project. The proposal has requested up to \$125,000 per year for up to 5 years, however the Council asked TCDD staff to try to negotiate a reduced funding amount for this project.

Project Goals and Accomplishments for Year(s) 1-3:

Goal 1: Districts and campuses within the Region 17 Education Service Center area will implement research-based strategies to reduce the number of disciplinary referrals (rates of suspension and expulsion of greater than 10 days in a school year of children with disabilities by race and ethnicity); establish procedures to monitor at-risk students to prevent escalating disciplinary action and support their success in school; and will increase their skills in the area of cultural competency.

Accomplishments per goal: The project completed the curriculum mapping for PBIS training and used the PBIS framework and additional strategies from the literature on poverty and cultural proficiency; held 27 workshops; and trained 348 people in Year 1. In Year 2, 5100 people trained with 6 school districts participating. In Year 3, 1,133 people trained and 6 additional campuses recruited.

Proposed Goals and Objectives for Year 4:

Goal: Same as above.

Objectives: 1) Fewer students with disabilities by race and ethnicity will receive suspensions and expulsions of greater than 10 days in a school year; 2) Fewer students with disabilities by race and ethnicity will be suspended or expelled from their educational setting; 3) Fewer student with disabilities by race and ethnicity will receive disciplinary referrals to the office; 4) Staff knowledge of culturally relevant classroom strategies will be increased; and, 5) Staff behavior intervention skills will be increased.

Council Considerations: Public Policy considerations: research and data from demonstration projects that show the systematic improvements PBIS has on education systems will be used by TCDD in its advocacy efforts in education and mental health policy. No staff concerns; Council to consider funding for this project.

Continuation Budget Detail Summary			
	Federal	Match	Totals
Amount expended in year 1 (\$26,167 consultants)	\$109,058	\$21,221	\$130,279
Amount expended in year 2 (\$11,227 consultants)	\$115,000	\$18,763	\$133,763
Amount expended in year 3 (\$12,247 consultants) (based on 9 months)	\$56,154	\$6,127	\$62,281
Amount requested for next year budget:			
I. Personnel services	84,281	0	84,281
II. Travel	3500	0	3500
III. Purchased services (\$14,919 consultants)	10,941	3978	14,919
IV. Property/Materials	5500	500	6000
V. Rental/Leasing	10,778	0	10,778
VI. Utilities	0	0	0
VII. Other	0	8300	8300
Budget period totals	\$115,000	\$12,778	\$127,778

**Texas Council for Developmental Disabilities
Executive Committee**

Date: 05/04/11

Review of Proposed Activities & Budget

ITEM: C

Grantee: Region 17 Education Service Center

Year: 4 of 5

Project Title: Positive Behavior Intervention Support (PBIS) Head Start

Project Location: Lubbock

TCDD RFP Intent:

Submitted to the Project Development Committee in February 2008 as an Unsolicited Proposal for an expansion of an existing project, addressing Goal 4, Objective 1 of the TCDD State Plan.

Region 17 Education Service Center seeks to expand the current PBIS project to recruit, train, and support individuals to provide positive behavioral supports to individuals with diverse needs living in communities throughout Texas. This project will expand current PBIS strategies to staff employed by Head Start programs, early childhood settings, child care settings and pre-school settings. TCDD has approved the scope of activities for this project. The proposal has requested up to \$125,000 per year for 5 years, however the Council directed TCDD staff to attempt to negotiate a reduced funding amount for this project. The Executive Committee subsequently approved final funding of up to \$120,000 per year for up to 5 years.

Project Goals and Accomplishments Year(s) 1 - 3:

Goal 1: Improve behavior intervention skills and knowledge for staff in child care, public school pre-K, ECI Head Start and other settings that serve children with disabilities ages 2 to 5. (The number of students expelled from the above settings will be reduced as a result of the increased intervention skills, training skills and documentation skills).

Accomplishments: The project has developed the training curriculum for the PBIS Head Start project, which consists of curricula from "Promoting and Developing Social Emotional Development" and "Incredible Years." The project provided training to 3 Head Start and Childcare sites in Year 1, 5 sites in Year 2, and 5 sites in Year 3, which resulted in improved childcare programs/policies.

Proposed Goals and Objectives for Year 4:

Goal: Same as above

Objectives: 1) Fewer children will be expelled from settings serving those 2-5 years of age; 2) Staff behavior intervention skills will be increased; 3) Decrease staff turnover rates in child care settings; and, 4) increase social-emotional levels in children 2-5 years of age.

Council Considerations: Public Policy considerations: research and data from demonstration projects that show the systematic improvements PBIS has on education systems will be used by TCDD in its advocacy efforts in education and mental health policy. No staff concerns; Council to consider funding for this project.

Continuation Budget Detail Summary			
	Federal	Match	Totals
Amount expended in Year 1 (\$17,227 consultants)	\$121,000	\$21,755	\$142,755
Amount expended in Year 2 (\$17,227 consultants)	\$120,000	\$22,827	\$142,827
Amount expended in Year 3 (\$24,261 consultants) (based on 9 months)	\$45,924	\$5,443	\$51,367
Amount requested for next year budget:			
I. Personnel services	71,063	0	71,063
II. Travel	3500	0	3500
III. Purchased services (\$28,472 consultants)	24,800	4672	29,472
IV. Property/Materials	11,479	0	11,479
V. Rental/Leasing	9158	0	9158
VI. Utilities	0	0	0
VII. Other	0	8661	8661
Budget period totals	\$120,000	\$13,333	\$133,333

**Texas Council for Developmental Disabilities
Executive Committee**

Date: 05/04/11

Review of Proposed Activities & Budget

ITEM: D

Grantee: Family to Family Network

Year: 3 of 3

Project Title: Basic Local Advocacy Training Project

Project Location: Houston

TCDD RFP Intent:

To train, organize, and continue to support individuals with disabilities and advocates on a local level to actively participate in either self-advocacy or public policy advocacy activities. Each project will develop strategies and support a network of individuals who can support each other and work together towards a common goal. Each project will develop partnerships with non-traditional/non-disability organizations in an effort to advocate through broader representation, to encourage constructive communication and collaboration rather than competition for scarce public resources, and to foster long-term sustainability and change. TCDD has approved funding up to \$75,000 per year for up to 3 years.

Project Goals and Accomplishments for Years 1 - 2:

Goal: At least 100 adults with disabilities, family members of people with disabilities, and interested community members will learn about the philosophies and values of the TCDD in order to develop advocacy skills necessary to make personal contacts for the purpose of self and/or public policy advocacy.

Accomplishments per goal: The project exceeded the number of people trained, by training 405 people on Inclusive Education, Independent Living, Employment, Basic Advocacy, and People First Language; and highlighted the importance of networking and building/maintaining relationships. As a result of training, participants reported over 1239 hours of self-advocacy and public policy advocacy; families reported better educational and accessibility outcomes; and individuals with disabilities reported more involvement in the community. The project scheduled 2 Spanish Disability Leadership Training events; which resulted in 46 individuals with disabilities and extended family members trained in Spanish.

Proposed Goals and Objectives for Year 3:

Goal: Same as above

Objectives: 1) Coordinate advisory committee; 2) hold 4 training events; 3) coordinate, organize, and facilitate 4 monthly full-day presentations; 4) conduct project evaluation; and 5) secure funding to sustain program.

Council Considerations: Public Policy considerations: by training individuals on advocacy, they will be informed about the policymaking processes that impact them at the local, regional and state level and will be able to influence those decisions. No staff concerns; Council to consider funding for this project.

Continuation Budget Detail Summary

	Federal	Match	Totals
Amount expended in year 1 (\$18,000 consultants)	\$43,949	\$14,905	\$58,854
Amount expended in year 2 (\$12,000 consultants) (based on 8 months)	\$46,568	\$4,777	\$51,345
Amount requested for next year budget:			
I. Personnel services	47,370	10,599	57,968
II. Travel	1200	1200	2400
III. Purchased services (\$16,000 consultants)	22,325	12,160	34,485
IV. Property/Materials	1705	141	1846
V. Rental/Leasing	1200	900	2100
VI. Utilities	1200	0	1200
VII. Other	0	0	0
Budget period totals	\$ 75,000	\$25,000	\$100,000

**Texas Council for Developmental Disabilities
Executive Committee**

Date: 05/04/11

Review of Proposed Activities & Budget

ITEM: E

Grantee: Texas A&M University

Year: 4 of 5

Project Title: Texas Advanced Leadership and Advocacy Conference

Project Location: Austin - Statewide

TCDD RFP Intent:

The project intent is to coordinate training events for individuals that have been active in disability policy advocacy and who want to create system changes in large geographic areas and/or specialized topics for which local training is not available. "Intentional networking" will be an important part of these training events. TCDD has approved funding of up to \$150,000 per year for up to five years.

Project Goals and Accomplishments for Year(s) 1-3:

Goal: The overall goal of the project is to provide statewide advanced leadership and public policy advocacy training to further develop leaders and public policy advocates with disabilities in Texas and to provide follow-up training and networking activities.

Accomplishments per goal: A 2-day conference was held in March 2010 with 146 individuals in attendance. There were two keynote speakers, breakout sessions, participation in mock legislative hearings with legislative aides, and a rally at the Capitol. A message board and Facebook page was started to allow participants to remain in contact. The year 3 conference was held in March 2011 in which 132 individuals registered for it and 112 individuals in actually in attendance (does not include speakers/presenters). More information will be provided during the coming quarter.

Proposed Goals and Objectives for Year 4:

Goal: Same As Above

Objectives: To conduct a 2-day conference with 100 participants that will provide them with advanced training; provide networking opportunities; identify innovative ways to generate funds for sustainability of project; provide opportunity to access online social media or discussion forums to facilitate understanding and allow interest circles to continue with networking activities; and 15 adult participants will be selected to attend statewide Youth Leadership Forum for the purpose of mentoring young developing advocacy leaders.

Council Considerations: Public Policy considerations: would like more input into the agenda and topics and would like consideration of dates of training to be at the beginning of the session so advocates can use what they learn. No staff concerns; Council to consider continued funding for this project.

Continuation Budget Detail Summary

	Federal	Match	Totals
Amount expended in year 1 (\$44,832 consultants)	\$112,500	\$37,321	\$149,821
Amount expended in year 2 (\$41,624 consultants)	\$115,146	\$38,442	\$153,588
Amount expended in year 3 (\$36,584 consultants) based on 12 months (3 month extension approved)	\$88,736	\$26,375	\$115,111
Amount requested for next year budget:			
I. Personnel services	56,157	0	56,157
II. Travel	3000	0	3000
III. Purchased services (\$11,434 consultants)	73,497	0	73,497
IV. Property/Materials	3710	0	3710
V. Rental/Leasing	0	0	0
VI. Utilities	0	0	0
VII. Other (Indirect Costs)	13,636	49,773	63,409
Budget period totals	\$150,000	\$49,773	\$199,773

**Texas Council for Developmental Disabilities
Executive Committee**

Date: 05/04/11

Review of Proposed Activities & Budget

ITEM: F

Grantee: Texas Tech University

Year: 5 of 5

Project Title: Teacher's Preparation for Inclusive Education

Project Location: Lubbock

TCDD RFP Intent:

The project intent is for one university in Texas will redesign a teacher preparation program so that everyone in the program receives comprehensive training that enables them to teach an academic subject (or subjects) to all future students in an inclusive classroom. This comprehensive training will include: 1) general education and special education teacher candidates and administrator candidates in standard teacher programs and/or alternative certification program(s), and 2) university instructors. TCDD has approved funding of up to \$200,000 per year for one project for up to five years.

Project Goals and Accomplishments for Year(s) 1 - 4:

Goal One: To create a replicable, sustainable teacher education model in which program resources and preparation needs of special and regular education are pooled to increase the number of teachers and school administrators who are skilled in providing positive learning experiences for all students in the least restrictive environments, especially those from diverse cultural backgrounds and with disabilities.

Accomplishments per goal: The project conducted a needs assessment with College of Education students which guided the development of topics for the first five teaching modules. The research and text has been written for Modules 1-7, 6 of which are live on the website. The project has trained 420 faculty members; 1926 pre-service teachers; and 331 education consultants, parents, teachers and school administrators.

Proposed Goals and Objectives for Year 5:

Goal: Same As Above

Objectives: To build awareness and garner support from the College of Education and Teacher Education Council at Texas Tech University to implement and expand Project IDEAL. Develop teaching modules that promote positive learning experiences in the least restrictive environments for all students. Collaborate with teacher educators in specific content areas to identify potential teaching module topics. Disseminate teaching modules across the state of Texas. Identify audiences for publication and presentation.

Council Considerations: Public Policy considerations: recommend Project IDEAL to take active monitoring role with TEA and SBEC to improve educational outcomes. No staff concerns; Council to consider continued funding for this project.

Continuation Budget Detail Summary			
	Federal	Match	Totals
Amount expended in year 1 (\$64,000 consultants)	\$197,152	\$65,418	\$262,570
Amount expended in year 2 (\$64,000 consultants)	\$199,953	\$66,348	\$266,301
Amount expended in year 3 (\$37,393 consultants)	\$199,918	\$66,337	\$266,255
Amount expended in year 4 (\$37,393 consultants) (based on 5 months)	\$86,476	\$28,694	\$115,170
Amount requested for next year budget:			
I. Personnel services	144,731	0	144,731
II. Travel	11,286	0	11,286
III. Purchased services (\$24,000 consultants)	24,000	0	24,000
IV. Property/Materials	1800	0	1800
V. Rental/Leasing	0	0	0
VI. Utilities	0	0	0
VII. Other (Indirect Cost Rate)	18,182	66,363	84,545
Budget period totals	\$ 199,999	\$66,363	\$266,362

**Texas Council for Developmental Disabilities
Executive Committee**

Date: 05/04/11

Review of Proposed Activities & Budget

ITEM: G

Grantee: VSA Arts of Texas
Project Title: Art Works: Creative Industries
Project Location: Statewide

Year: 5 of 5

TCDD RFP Intent:

To fund innovative projects that demonstrate ways of developing and supporting self-employment or income-producing opportunities for people with developmental disabilities and develop strategies that will make these activities sustainable after grant funding has ended. Grantees will demonstrate innovative and strategic approaches to address self-employment related needs that results in documented long-term self-employment for people with developmental disabilities. TCDD has approved funding up to \$125,000 per year for up to five years.

Project Goals and Accomplishments for Year(s) 1 - 4:

Goal: The project goal is to increase competitive employment outcomes through self-employment and the development of micro-enterprises in the arts. Through the utilization of professional partnerships of business, arts, and disability service providers, participants will engage in a variety of training aspects in 3 discrete skills areas: applied and fine arts, marketing and financial management, and social skills/career readiness.

Accomplishments per goal: The project continues to receive positive attention from the press through news features on KXAN and KLRU television and KUT radio. There were 2 visual artists from San Antonio and Bedford that presented exhibits at the Smithsonian. The apprentice/mentor program continues provide mentoring to artists through music, visual art, and theater to name a few, and they were provided the opportunity to show and sell their work and received financial advice.

Proposed Goals and Objectives for Year 5:

Goal: Operate an apprentice/mentor program at Access Gallery and provide support services to emerging artists with disabilities, including artists with developmental disabilities.

Objectives: Continue apprentice/mentor program in the studio and exhibit space, disseminate program model and materials; and provide professional development workshops and technical assistance, and continue sustainability measures.

Council Considerations: Public Policy considerations: If it can be demonstrated that the results of this project are successful, this can be incorporated into recommendations to give to policy makers as another avenue for job creation. No staff concerns; council to consider continued funding for this project.

Continuation Budget Detail Summary			
	Federal	Match	Totals
Amount expended in year 1 (\$48,000 consultants) (based on 10 months)	\$103,628	\$37,484	\$141,112
Amount expended in year 2 (\$43,077 consultants)	\$93,773	\$31,263	\$125,036
Amount expended in year 3 (\$10,200 consultants)	\$125,000	\$40,993	\$165,993
Amount expended in year 4 (\$20,400 consultants) (based on 8 months)	\$103,551	\$38,620	\$142,171
Amount requested for next year budget:			
I. Personnel services	91,482	24,826	74,865
II. Travel	1000	0	1000
III. Purchased services (\$16,000 consultants)	30,578	15,523	45,601
IV. Property/Materials	500	0	500
V. Rental/Leasing	0	757	757
VI. Utilities	1440	560	2000
VII. Other			
Budget period totals	\$125,000	\$41,666	\$166,966

RISK ASSESSMENT FOR CONTINUATIONS
06/01/11 – 05/31/12

Item	Grantee	TCDD Funds	Other Fed Funds	Risk Activity	Risk Code
A	Community Healthcore	\$112,704	\$4,859,581	2	
B	Region 17 ESC – Disportionate Impact	\$115,000	\$1,798,266	2	
C	Region 17 ESC – Head Start	\$120,000	\$1,798,266	2	
D	Family-to-Family Network, Inc	\$75,000	\$165,000	2	
E	Texas A & M University	\$150,000	\$244mil	2	
F	Texas Tech University	\$199,999	\$30,275,042	2	
G	VSA	\$125,000	\$80,000	2	

KEY

	Extensive Risk Management (all levels of control plus audit)
	Considerable Risk Management (most levels of control plus independent review by CPA)
	Moderate Risk (operating & monitoring controls & agreed upon procedures engagement by CPA)
	Monitor or Accept (basic monitoring only)

**TCDD RISK MATRIX
FY 2011**

<i>Risk Activities</i> ↓	<i>Award Amounts</i> →	- \$75,999.	\$76,000. – \$199,999.	\$200,000.- \$499,999.	\$500,000. +
1. New Grantee (i.e., no previous project or no project within 2 year period)		LH	MH	HH	HH
2. Awards within Award (e.g., consultants, presenters, sub-contractors, etc.)		LH	MH	HH	HH
3. Funding Issues (e.g., budget/procurement concerns, match, sustainability, etc.)		LM	LM	MM	HM
4. Compliance Issues (e.g., OMB, UGMS, TCDD policy, oversight issues, etc.)		LM	LM	MM	HM
5. Performance Issues (e.g., unmet goals, milestones, special conditions, etc.)		LM	LM	MM	HM
6. Legal Actions		LL	LL	ML	HL
7. Fiscal Office Located Out-Of-State		LL	LL	ML	HL
8. No Audit Prior To Grant Award		LL	LL	ML	HL

KEY: 1st letter denotes impact; 2nd letter denotes probability.

	HM, HH	Extensive Risk (all levels of control plus audit)
	MM, MH, HL	Considerable Risk (most levels of control plus independent review by CPA)
	LH, ML	Moderate Risk (operating/monitoring controls + agreed upon procedures by CPA)
	LL, LM	Acceptable Risk (basic monitoring only)

Use for Risk Management Plan:

-  Audit work performed and the Executive Director performs oversight via quarterly report* provided to ensure supervisory and operating controls are working.
-  Department heads reporting to Executive Director perform oversight functions to ensure supervisory and operating controls are working.
-  Department staff perform oversight functions to ensure supervisory and operating controls are working.
-  Department staff perform basic oversight functions to ensure controls are in place.

Use for Annual Audit Plan:

-  Red indicates areas to be audited by contracted internal audit services provider.
-  Yellow indicates areas to be covered through oversight, supervisory and operating controls with guidance from the contracted internal audit services provider.
-  Green indicates areas to be covered through staff oversight with guidance from the contracted internal audit services provider as needed.
-  Gray indicates areas to be covered through basic staff oversight and reporting.

***Grants Monitoring Exceptions Report provided to E.D. and Council quarterly for review.
No risk activities means monitoring strategies will be performed at the lowest level under the award amount.
NOTE: Risk Matrix reviewed annually with TCDD staff and Internal Auditor; updated when needed.**

**MONITORING STRATEGIES
FY 2011**

STIPENDS (\$6,000. or less):

Website instructions	Special Conditions (GMD letter)
Technical support (Budget Support Specialist)	Review FROE & other reports submitted

GRANT PROJECTS:

Level 1 GRAY

Orient Orientation	Approvals (e.g., equipment, travel, speakers, etc.)
Onsite Review = Initial	Project Advisory Committee Meetings
Program Performance Review = Annual	Final Program Performance Report
RAR Documentation Review	Other as determined necessary (e.g., audit desk review)

Level 2 GREEN

Orientation	Project Advisory Committee Meetings
Onsite Review = Initial & 3 rd year	Final Program Performance Report
Program Performance Review = Quarterly	Agreed upon Procedures Engagements CPA
RAR Documentation Review	Other as determined necessary (e.g., audit desk review)
Approvals (e.g., equipment, travel, speakers, etc.)	

Level 3 YELLOW

Orientation	Project Advisory Committee Meetings
Onsite Review = Initial & 3 rd & 5 th years	Final Program Performance Report
Program Performance Review = Quarterly	Independent Review by CPA = Annual (A-133 Audit at \$500k or more)
RAR Documentation Review	Project Staff Meeting (1X per annum)
Approvals (e.g., equipment, travel, speakers, etc.)	Other as determined necessary (e.g., audit desk review)

Level 4 RED

Orientation	Final Program Performance Report
Onsite Review = Initial & Annual	A-133 Audit = Annual (Independent under \$500k)
Program Performance Review = Quarterly	Audit Desk Review = Annual
RAR Documentation Review	Project Staff Meeting (2X per annum)
Approvals (e.g., equipment, travel, speakers, etc.)	Interim Program Performance Report
Project Advisory Committee Meetings	

ADDITIONAL MONITORING STRATEGIES FOR GRANT PROJECTS

To be selected and implemented on an as needed basis.

- Re-orient
- Add milestones or special conditions
- Move up to the next level of monitoring (see above tables)
- Payment holds (reimbursement only no advance or no reimbursement & no advance)
- Require additional onsite reviews