

Background:

Executive Summaries for eight (8) current grant projects that are eligible for a continuation funding are enclosed for consideration by the Committee.

- A. Texas Department of Assistive and Rehabilitative Services: *Higher Education Project*
- B. Texas A & M University: *Higher Education Project*
- C. OneStar Foundation: *Inclusive Faith-based Symposium*
- D. West Central Texas Regional Foundation: *Inclusive Faith-based Symposium*
- E. Texas State Independent Living Council: *New Leadership Development and Advocacy Project*
- F. SER Jobs for Progress: *Expansion of Leadership and Advocacy Training Project*
- G. Imagine Enterprise: *Expansion Leadership Development and Advocacy Project*
- H. Circle of Ten: Contract for Building Capacity for Leadership Development and Advocacy Skills Training Projects

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 8.

Expected Action:

The Executive Committee will review the information provided and consider approving funding for each continuation award.

Council

Agenda Item 14. B.

Expected Action:

The Council will receive a report on Executive Committee decisions.

Texas Council for Developmental Disabilities`

Executive Committee

Date: 10/24/2012 **Review of Proposed Activities & Budget** **ITEM: A**
Grantee: Department of Assistive & Rehabilitative Services (DARS) **Year: 2 of 5**
Project Title: Higher Education for People with Developmental Disabilities (Project HIRE)
Project Location: Hidalgo County

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, iniversity, and/or or vocational/technical programs that were originally designed for students with disabilities. TCDD has approved funding up to \$225,000 per year for up to five years.

Project Goals and Accomplishments for Year 1:

Goal: Graduate or certify, by grant year five, at least ten (10) individuals with developmental disabilities from South Texas College (STC).

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. The Lead Educational Coach and two (2) support coaches were hired. 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 six (6) initial participants and six (6) alternates. All twelve (12) completed the summer training and began classes at STC on 8/27/2012. The project has presented at hearings, conferences, and has garnered considerable publicity.

Proposed Goals and Objectives for Year 2:

Goal: Same as above.

Objectives: Continue to work with project partners to provide assistive technology and mentors; Continue the post-secondary programs; and Select twelve (12) Cohort 2 participants using the application and selection process developed in Year 1.

Council Considerations: Public Policy Considerations: This grantee has had remarkable success in garnering significant community interest, including area elected officials, a strong indicator that project success will translate to community success. Maintaining community stakeholders will be key to sustainability and potential expansion in Texas. TCDD should continue to ensure the grantee attributes proper funding credit to TCDD in media relations and in developing products such as fliers, training curriculum, PSAs and other marketing materials. No staff concerns; Council to consider continued funding for this project.

Continuation Budget Detail Summary			
	Federal	Match	Totals
Amount expended in Year 1 (\$190,884 consultants) (based on 6 months) Award amount \$225,000	\$12,484	\$17,122	\$29,606
Amount requested for Year 2 budget:			
I. Personnel services	0	0	0
II. Travel	0	0	0
III. Purchased services (\$197,723 consultants)	200,167	14,760	214,927
IV. Property/Materials	4,378	0	4,378
V. Rental/Leasing	0	300	300
VI. Utilities	0	0	0
VII. Other (Indirect Costs)	20,455	0	20,455
Budget period totals	\$225,000	\$15,060	\$240,060

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

Date: 10/24/12

ITEM: B
Year: 2 of 5

Grantee: Texas A&M University

Project Title: Higher Education for People with Developmental Disabilities

Project Location: Austin - Statewide

TCDD RFP Intent:

The project intent is to seek 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 vocational/technical programs that were originally designed for students without disabilities. TCDD has approved funding of up to \$225,000 per year for up to five years.

Project Goals and Accomplishments for Year(s) 1:

Goal: To develop and implement "Bridge to Career" postsecondary education that incorporates the necessary supports and program components to ensure access, participation, and successful performance by individuals with developmental disabilities; develop an evaluation plan, sustainability plan and a plan for a replication support booklet.

Accomplishments per goal: The project held 8 face-to-face recruitment activities with a total of 1190 individuals participating that included students, parents, state agency personnel, counselors, and high school educators across the state; 20 applications were received for the first class and 15 students were admitted; provided pre-program training on study and living skills to prepare for the program; completed comprehensive individual student assessments; held wrap-around service meetings; and disseminated project information through statewide conference presentations, exhibitions, and transition fairs and meetings.

Proposed Goals and Objectives for Year 2:

Goal: Recruit, admit, and support students with developmental disabilities in the Bridge to Career in Human Services postsecondary program.

Objectives: Recruit, admit, and support students with developmental disabilities in the Bridge to Career in Human Services postsecondary program.

Council Considerations: Public Policy considerations: Providing a rigorous post-secondary education to people with developmental disabilities will increase their opportunities for employment and the likelihood they will be involved in public policy. Research shows that those with a higher education are more likely to develop civic skills; more likely to receive requests to engage in public policy; and are more interested and knowledgeable about public policy. Those who have high levels of education are much more likely to be active in public policy increasing the pool of potential self-advocate leaders. No staff concerns; Council to consider continued funding for this project.

Continuation Budget Detail Summary			
	Federal	Match	Totals
Amount expended in year 1 (No consultants) (based on 4 months) Award amount \$225,000	\$18,795	\$5435	\$24,230
Amount requested for next year budget:			
I. Personnel services	116,088	0	116,088
II. Travel	3,696	0	3,696
III. Purchased services (Subawards \$68,931)	73,276	0	73,276
IV. Property/Materials	2,941	0	2,941
V. Rental/Leasing	0	0	0
VI. Utilities	0	0	0
VII. Other – Graduate Student Tuition	8,542	0	8,542
(Indirect Costs)	20,455	69,104	178,016
Budget period totals	\$ 225,000	\$69,104	\$294,104

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

Date: 10/24/12

ITEM: C

Grantee: OneStar Foundation

Year: 2 of 3

Project Title: Inclusive Faith-Based Communities Symposium

Project Location: Austin

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.

Project Goals and Accomplishments for Year(s) 1:

Goal: To maintain the Austin Interfaith Inclusion Network (AIIN) that increases the number of inclusion opportunities at faith-based organizations for people with disabilities and their families.

Accomplishments per goal: The project has 25 AIIN members who represent Catholic, Jewish, Hindu, Buddhist, interfaith, Muslim, Protestant and Evangelical congregations around Austin; and is partnering with the Texas A & M Center on Disability and Development and Jewish Family Services. Project staff collected information regarding inclusion successes, concerns and barriers through focus groups and outreach to faith-based organizations from January to September 2012; and shared resources on OneStar Foundation website. The first Faith-based Symposium is planned for October 17, 2012, targeting 100 participants.

Proposed Goals and Objectives for Year 2:

Goal: Same as above

Objectives: Engage 25 AIIN and PAC members in quarterly meetings and trainings; evaluate impact of Faith and Inclusion Symposium; engage 30 faith-based partners in outreach and training beyond the symposium; and engage 100 participants in a Faith and Inclusion Symposium.

Council Considerations: Public Policy considerations: Faith based communities typically have the desire to be inclusive, but may lack the tools and resources to create inclusive communities in culturally appropriate ways. The tools, resources and inclusion blueprints developed by this project have the potential to not only be sought out and implemented by additional faith communities, but also the potential to be adapted by other community organizations interested in expanding their inclusive outreach. Additionally, self-advocates and families will have the ability to promote the use of the developed protocols in their own faith communities. No staff concerns; Council to consider continued funding for this project.

Continuation Budget Detail Summary

Continuation Budget Detail Summary			
	Federal	Match	Totals
Amount expended in year 1 (Consultants-\$13,000) (based on 6 months) Award amount \$71,453	\$15,198	\$5,067	\$20,265
Amount requested for next year budget:			
I. Personnel services	23,818	13,915	37,733
II. Travel	1,172	0	1,172
III. Purchased services (Consultant - \$10,000)	31,360	5,893	37,253
IV. Property/Materials	1,000	1,000	2,000
V. Rental/Leasing	2,012	4,632	6,644
VI. Utilities	0	0	0
VII. Other (Indirect Costs)	5,471	2,345	7,816
Budget period totals	\$ 64,833	\$27,785	\$92,618

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

Date: 10/24/12

ITEM: D

Grantee: West Central Texas Regional Foundation

Year: 2 of 3

Project Title: Inclusive Faith-Based Communities Symposium

Project Location: Callahan, Jones and Taylor Counties

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.

Project Goals and Accomplishments for Year(s) 1:

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: Project staff located over 370 organizations and reached 210 of those organizations; created a brochure to promote awareness of the project; and developed a survey to use as an inclusion tool as part of the online directory to assist individuals with disabilities find organizations that meets their needs.

Proposed Goals and Objectives for Year 2:

Goal: Same as above

Objectives: Hold a quality 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 individuals with disabilities in the community(s) or are attempting to create such programming.

Council Considerations: 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. No staff concerns; Council to consider continued funding for this project.

Continuation Budget Detail Summary

	Federal	Match	Totals
Amount expended in year 1 (No consultants) (based on 4 months) Award amount \$74,894	\$23,793	\$4,739	\$28,532
Amount requested for next year budget:			
I. Personnel services	57,177	15,370	72,547
II. Travel	498	0	498
III. Purchased services	3,767	7,247	11,014
IV. Property/Materials	900	1,159	2,059
V. Rental/Leasing	4,323	800	5,123
VI. Utilities	900	0	900
VII. Other (Indirect Costs)	6,757	0	6,757
Budget period totals	\$ 74,322	\$24,576	\$98,898

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

Date: 10/24/2012

ITEM: E

Grantee: Texas Statewide Independent Living Council (TX SILC)

Year: 2 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. TCDD has approved funding up to \$75,000 for up to three years.

Project Goals and Accomplishments for Year 1:

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 April 22-24, 2012 with approximately 300 registered participants, more than half representing stakeholder agencies. Attendee 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 2013 conference. The conference was well received and an overall success.

Proposed Goals and Objectives for Year 2:

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.

Council Considerations: Public Policy Considerations: A self-advocate community that is well-trained and well-informed regarding the IL philosophy is vital to ensuring that persons with disabilities have greater control over the formation and implementation of policies that affect them. The grantee is asked to share conference attendee contact information with TCDD. No staff concerns; Council to consider funding for this project.

Continuation Budget Detail Summary

	Federal	Match	Totals
Amount expended in Year 1 (\$0 consultants) (based on 7 months) Award amount \$75,000	\$45,412	\$25,040	\$70,452
Amount requested for Year 2 budget:			
I. Personnel services	44,468	0	44,468
II. Travel	2,217	0	2,217
III. Purchased services (\$1,200 consultants)	22,956	29,000	51,956
IV. Property/Materials	300	0	300
V. Rental/Leasing	2,186	0	2,186
VI. Utilities	2,873	0	2,873
VII. Other	0	0	0
Budget period totals	\$75,000	\$29,000	\$104,000

Texas Council for Developmental Disabilities`

Executive Committee

Review of Proposed Activities & Budget

Date: 10/24/12

ITEM: F

Grantee: Imagine Enterprises

Year: 2 of 2

Project Title: Expansion of Existing Leadership Development and Advocacy Skills Training

Project Location: Abilene

TCDD RFP Intent:

To continue development of a network of training programs and resources to assist Texans with developmental disabilities and their families to have support and training needed to be strong leaders and advocates. Organizations are expected to use funding to expand the impact of their training programs and to serve as a resource to other organizations. Grantees may implement a new policy, program, or procedure; development of new partnerships; and/or activities that significantly build the capacity of an existing program. TCDD has approved up to \$40,000 for year one and \$20,000 for year two; for up to two years

Project Goals and Accomplishments for Year 1:

Goal: Train, support, and promote up to four past Youth participants to provide leadership, self-advocacy and Peer Mentoring training, in coordination with Imagine's Youth Leadership curriculum.

Accomplishments per goal: The Project Coordinator was terminated for cause at the end of the first quarter, which resulted in significant activity delays. As a result, project leaders requested a three-month extension for the first year and submitted a corrective action plan. The project has since hired a replacement Project Coordinator, established a new PAC and conducted a meeting, identified 5 Peer Mentors, and provided them initial training. The Peer Mentors are scheduled to speak at area high schools about leadership, transition to college and/or employment, self-advocacy, and community living. The project is collaborating with the Region 14 Education Service Center to explore options of getting into the schools to train with students.

Proposed Goals and Objectives for Year 2:

Goal: Assist 5 highly trained peer mentors to identify, train and support 25 youth participants.

Objectives: Assist 5 highly trained peer mentors to identify, train and support 25 youth participants to become peer mentors to identify, train, and support 25 youth participants to become peer mentors.

Council Considerations: Public Policy Considerations: Losing the Project Coordinator resulted in significant delays to the activity timeline and decreased targeted outcomes for Year 2. To date, the project is short roughly \$4500 in matching funds, but donated training space is a significant match source and trainings have yet to occur. Increasing the pool of self advocates with leadership skills is vital to public policy goals. Providing persons with developmental disabilities with these important skills will enable staff to call upon them to serve on statewide workgroups and councils that shape the policies and programs that affect them. The grantee should be reminded that participation in the monthly leadership and advocacy calls is a required activity, per the RFP. No staff concerns; Council to consider continued funding of this project.

Continuation Budget Detail Summary			
	Federal	Match	Totals
Amount expended in Year 1 (\$1838 consultants) (based on 9 months) Award amount \$40,000	\$18,948	\$1,775	\$22,839
Amount requested for Year 2 budget:			
I. Personnel services	17,465	0	17,465
II. Travel	1,155	0	1,155
III. Purchased services (\$0 consultants)	0	3,167	3,167
IV. Property/Materials	950	0	950
V. Rental/Leasing	0	3,500	3,500
VI. Utilities	430	0	430
VII. Other	0	0	0
Budget period totals	\$20,000	\$6,667	\$26,667

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

Date: 10/24/12

ITEM: G

Grantee: SER – Jobs for Progress of the Texas Gulf Coast, Inc.

Year: 2 of 2

Project Title: Expansion of Existing Leadership Development and Advocacy Skills Training Project

Project Location: El Paso

TCDD RFP Intent:

To continue development of a network of training programs and resources to assist Texans with developmental disabilities and their families to have support and training needed to be strong leaders and advocates. Organizations are expected to use funding to expand the impact of their training programs and to serve as a resource to other organizations. Grantees may implement a new policy, program, or procedure; development of new partnerships; and/or activities that significantly build the capacity of an existing program. TCDD has approved funding of up to \$40,000 for year one and \$20,000 for year two; for up to two years.

Project Goals and Accomplishments for Year(s)1:

Goal: To expand the impact of SER's existing TCDD Basic Leadership and Advocacy skills training.

Accomplishments per goal: During this budget period, the project has trained 87 (total goal 100) individuals in basic leadership and advocacy, 24 (total goal 20) of those individuals completed SER's train-the-trainer component which has lead to 89 (total goal 100) individuals receiving secondary basic leadership and advocacy training. The project developed new partnerships with the Arc of Houston Family Support Group, Community Family Services, Neighborhood Centers, Inc., Fort Bend ISD, Rice University Young Owls Program, Circle of Ten and others.

Proposed Goals and Objectives for Year 2:

Goal: To increase the capacity of SER's existing TCDD Basic Leadership and Advocacy skills training.

Objectives: Increase the number of individuals trained as leaders and advocates for individuals with developmental disabilities.

Council Considerations: Public Policy considerations: The project continues to be uniquely qualified to provide leadership training across and within Hispanic and disability cultures. The issues of focus in the proposed expansion include policy priorities for the Council: information accessibility, communication technology, public and higher education, employment practices, and public benefits. It would be beneficial for the grantee to identify trainees that have or could implement their training by sharing their stories with their elected representatives. No staff concerns; Council to consider continued funding for this project.

Continuation Budget Detail Summary			
	Federal	Match	Totals
Amount expended in year 1 (no consultants) (based on 6 months) Award amount \$40,000	\$19,909	\$4546	\$24,455
Amount requested for next year budget:			
I. Personnel services	16,897	1,645	18,542
II. Travel	515	0	515
III. Purchased services	86	2,468	2,554
IV. Property/Materials	636	0	636
V. Rental/Leasing	0	3,360	3,360
VI. Utilities	1,866	0	1,866
VII. Other			
Budget period totals	\$ 20,000	\$7,473	\$27,473

Texas Council for Developmental Disabilities

Executive Committee

Review of Proposed Activities & Budget

Date: 10/24/12

ITEM: H

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

Year: 2 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:

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 has approved funding up to \$25,000 to provide training to increase the capacity expecting to review after year one for possible continuation. The contract solicitation allows renewing for up to 2 additional years with the same terms.

Project Goals and Accomplishments for Year(s)1:

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: 3-Day Seminars held with 16 of 17 TCDD grantees (37 participants) in capacity building training; capacity building surveys and phone interviews are near completion. The project identified statewide and regional grant resources; and involved additional partners to gain State, Federal and private funding to leverage funds. The City of Houston Parks & Recreation finalized a Memorandum of Understanding to include TCDD grantees in their services and grants with an option to host the Funders' Forum in 2013. The memorandum brings together 10 partners to address veterans, people with disabilities, and at-risk youth. The Meadows Foundation funded C10 to bring back Funder's Forum & Conference to include TCDD and non-TCDD agencies in 2013.

Proposed Goals and Objectives for Year 2:

Goal: Same as above.

Objectives: Hold a 3-Day Seminar to include Part One - Process of Collaboration: Linking Leadership, Grassroots Community Organizing, Innovative Program Development, Grant research and Grant Writing; Part Two - Next Steps: Incorporates real collaborative grant ideas into the curriculum; and Part Three - Guides grantees through next steps of finalization of program development, budget development and completion/submission of grant application(s) for at least one large collaborative effort.

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 for up to two more years for this project.

Continuation Budget Detail Summary

	Federal	Match	Totals
Amount expended in year 1 (no consultants) (based on 8 months) Award amount \$25,000	\$19,650	\$0	\$19,650
Amount requested for next year budget:			
I. Personnel services	17,500	5,775	23,275
II. Travel	2,640	0	2,640
III. Purchased services	500	0	500
IV. Property/Materials	500	0	500
V. Rental/Leasing	0	1,500	1,500
VI. Utilities	360	0	360
VII. Other	0	0	0
Budget period totals	\$25,000	\$8,430	\$33,430

**RISK ASSESSMENT FOR CONTINUATION GRANT AWARDS
06/01/12 – 05/31/13**

Item	Grantee	TCDD Funds	Other Fed Funds	Risk Activity	Risk Code
A	DARS (Higher Education)	\$225,000	\$488 mil	2	
B	Texas A & M University (Higher Education)	\$225,000	\$244 mil	2	
C	OneStar Foundation (Inclusive Faith)	\$64,833	\$1 mil	2	
D	West Central Texas Regional Foundation (Inclusive Faith)	\$74,322	\$7.9 mil	-	
E	Texas State ILC (New LDATP)	\$75,000	\$1.2 mil	2	
F	Imagine Enterprise (Expansion LDATP)	\$20,000	\$508,465	2	
G	SER Jobs for Progress (Expansion LDATP)	\$20,000	\$1.6 mil	-	
H	Circle of Ten (Contract - Building Capacity for LDATP)	\$25,000	-	-	

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 2012**

<i>Award Amounts</i> →	- \$75,999.	\$76,000. – \$199,999.	\$200,000.- \$499,999.	\$500,000. +
Risk Activities ↓				
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 2012**

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

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