

**Consideration of New Grant Awards****Tab 5****Background:**

TCDD has received applications in response to the following Requests for Proposals:

<b>RFP title</b>	<b>Due Date</b>	<b>Number Received</b>
<i>Higher Education for People with Developmental Disabilities, Revised</i>	June 29, 2011	13
<i>Expansion of Existing Leadership Development &amp; Advocacy Skills Training Projects</i>	July 1, 2011	6

Staff are currently coordinating independent review panels. Summaries of the recommendations from those panels will be included in the meeting folders.

**Executive Committee****Agenda Item 8.****Expected Action:**

The Executive Committee will review recommendations from the Review Panels and make final decisions concerning proposals to accept for funding.

**Council****Agenda Item 16. A.****Expected Action:**

The Council will receive a report on the Executive Committee decisions.

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

<b>Item</b>	<b>Grantee</b>	<b>TCDD Funds</b>	<b>Other Fed Funds</b>	<b>Risk Activity</b>	<b>Risk Code</b>
A	The Arc of Texas - Microboard Collaboration	\$69,893	\$80,950	2	
B	Parents Anonymous – African American Family Support Conference	\$35,000	\$500,000	2,6	

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

KEY: 1<sup>st</sup> letter denotes impact; 2<sup>nd</sup> 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 <sup>rd</sup> 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 <sup>rd</sup> & 5 <sup>th</sup> 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