

## Continuation Grant Awards

Tab 5

### Background:

Two current grant projects will be reviewed this quarter for an additional year of funding. Executive Summaries are included for continuation funding for:

- A. Safeplace: *Meaningful Relationships*
- B. The Arc of San Angelo: *Alternatives to Guardianship*

### 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 a continuation award.

### Council

#### Agenda Item 14. C.

### Expected Action:

The Council will receive a report on Executive Committee decisions.

**Texas Council for Developmental Disabilities  
Executive Committee**

**Date: 02/08/12**

**Review of Proposed Activities & Budget**

**ITEM: A**

**Grantee: SafePlace**

**Year: 2 of 3**

**Project Title: Meaningful Relationships**

**Project Location: Austin/Travis County, Seguin/Guadalupe County**

**TCDD RFP Intent:**

The project intent is to try to ensure that at least 60 people with developmental disabilities will indicate that they are more satisfied and happier with their personal relationships after participating in project activities and at least 3 organizations will have changed their policy and/or procedures to improve their ability to provide support to people with developmental disabilities to establish and maintain meaningful relationships. TCDD has approved funding of up to \$125,000 per year for up to three years.

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

**Goal:** The overall goal of the project is to create a replicable, successful and self-directed model for adults with developmental disabilities to develop lasting and meaningful relationships with other people based on shared interests.

*Accomplishments per goal:* The “Nurturing Workshop” was held and it was adapted to be used for this project’s purpose; staff from 1 provider participated in the adapted ‘dreams’ workshop; MOU’s were developed with 2 disability service providers to accomplish the goals and objectives of this project; a 3-part series of classes to guide activities with participants was developed; recruited 36 adults with developmental disabilities to participate in project activities; and began a series of educational classes with the project participants.

**Proposed Goals and Objectives for Year 2:**

**Goal: Same As Above**

**Objectives:** Support at least 20 people with developmental disabilities to increase their satisfaction and happiness with personal relationships based on self-chosen common interests; at least 1 disability service provider organization will change or develop (and institutionalize) new policies and/or procedures to improve its ability to provide support to people with developmental disabilities to establish and maintain meaningful relationships with others; and, work with recreational, volunteer, faith-based, leisure, civic or other organizations chosen by project participants to increase access to activities and programs which will increase opportunities to connect with others who have shared interests.

**Council Considerations:** Public Policy Considerations: Supporting individuals with significant disabilities to develop positive personal relationships is an important effort related to information suggesting that individuals with more relationships with non-paid care-givers are less likely to be the subject of abuse and neglect. No staff concerns; Council to consider continued funding for this project.

<b>Continuation Budget Detail Summary</b>				
		Federal	Match	Totals
Amount expended in year 1 (\$17,250 consultants)		\$64,672	\$23,838	\$88,510
<b>Amount requested for next year budget:</b>				
<b>I.</b>	<b>Personnel services</b>	100,302	42,736	143,038
<b>II.</b>	<b>Travel</b>	3010	600	3610
<b>III.</b>	<b>Purchased services</b>	13,170	1725	14,895
<b>IV.</b>	<b>Property/materials</b>	540	180	720
<b>V.</b>	<b>Rental/leasing</b>	0	1649	1649
<b>VI.</b>	<b>Utilities</b>	0	1681	1681
<b>VII.</b>	<b>Other (Indirect Costs)</b>	0	0	0
Budget period totals		\$ 117,022	\$48,571	\$165,593

**Texas Council for Developmental Disabilities  
Executive Committee**

Date: 02/08/12

Review of Proposed Activities & Budget

ITEM: B

Grantee: The Arc of San Angelo

Year: 2 of 3

Project Title: Alternatives to Guardianship: Volunteer-Supported Decision-Making Advocate Pilot

Project Location: San Angelo

**TCDD RFP Intent:**

The project intent is to fund a project that will demonstrate how volunteers can provide appropriate supports to help individuals with intellectual and other developmental disabilities to make decisions concerning their own lives. In 2009, the Texas Legislature passed HB 1454 directing the Health and Human Services Commission (HHSC) to develop and evaluate two Volunteer Supported Decision-Making Advocate pilot programs that will provide supported decision-making services to persons with intellectual and developmental disabilities and other cognitive disabilities. The Department of Aging and Disability Services (DADS) was directed by HHSC to develop and implement the pilot program and to provide the legislature with a report and recommendations. TCDD has partnered with DADS to implement the pilot. TCDD has approved funding of up to \$75,000 per year for up to three years.

**Project Goals and Accomplishments for Year 1:**

**Goal One:** To provide supported decision-making services to individuals with intellectual and developmental disabilities and other cognitive disabilities to increase their self-determination, power, and control of their own lives through recruiting, training, monitoring, and supporting volunteers.

*Accomplishments per goal:* The project explored service delivery methods in Year 1, identifying both legal and implementation barriers in the process. Project leaders explored solutions and established diversion as a priority with education and execution of advanced directives as a secondary activity. The project selected strategies to address individual needs. In addition, the project assisted with the Restoration of Rights for one individual, helped establish Advance Directives through Medical Power of Attorneys for 10 individuals (thus preventing unwarranted guardianship restrictions).

**Proposed Goals and Objectives for Year 2:**

**Goal: Same As Above**

**Objectives:** Recruit, train, and support volunteers to support 5 participants in Diversion of Guardianship and 10 Additional Participants in Executing Medical Power of Attorney.

**Council Considerations:** Public Policy Considerations: TCDD and DADS hope to use information and experiences of this project to expand alternatives to legal guardianship for individuals with significant disabilities. Staff concerns: This project may need an additional onsite visit to review TCDD procedures (e.g. compliance of RARs, quarterly reports, and other TCDD requirements); however, Council consideration of continued funding for this project is recommended.

<b>Continuation Budget Detail Summary</b>			
	Federal	Match	Totals
Amount expended in year 1 (based on 5 months)	\$25,930	\$8,205	\$34,135
<b>Amount requested for next year budget:</b>			
<b>I. Personnel services</b>	69,044	6930	75,974
<b>II. Travel</b>	0	0	0
<b>III. Purchased services</b>	1527	6500	8027
<b>IV. Property/Materials</b>	0	600	600
<b>V. Rental/Leasing</b>	0	10,793	10,793
<b>VI. Utilities</b>	3370	0	3,370
<b>VII. Other (Indirect Cost Rate)</b>	0	0	0
Budget period totals	\$ 73,941	\$24,823	\$98,764

**RISK ASSESSMENT FOR CONTINUATION GRANT AWARDS  
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	SafePlace	\$117,022	\$1.9 mil	2	
B	The Arc of San Angelo	\$73,941	\$7,500	1	

**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>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 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 <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