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# Collaborating to Support and/or Improve Projects



# Florida's Monitoring System

Presentation by

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# Three tools

- Provider Risk Assessment
  - Deliverable Review Form
  - Work Plan
- Note: The term “provider” is the same as a sub-recipient, grantee, contractor, vendor.

# Provider Risk Assessment

Purpose: to determine the risk associated with the provider's performance (how closely they must be monitored) and the impact on the Council (getting the work done)

Documents whether the provider will be considered for work in the future.



# Provider Risk Assessment

Programmatic:

- Deliverables meet **scope of work** required
- Are deliverables **delivered on time**
- Address **outputs and evaluation measures**
- Address **performance measures**
- Making **progress toward the state plan objective/outcome**



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# Provider Risk Assessment, continued

## Fiscal

- Meet **required timelines** for submission
- Manage **expenditures within budget**
- Follow **fiscal policies** (allowable costs)

## Quality/Communication

- Deliverables have **quality content**
- Effective **working relationship w/Director**

# Provider Risk Assessment, cont'd

- Completed and scored quarterly.
- Completed and scored at close of contract year.



# Provider Risk Assessment results

Score	Rating	Assessment
0 - 3	HIGH	Requires intensive follow-up and may require action plan to address identified risks.
4 - 6	MODERATE	May need improvement or technical assistance to improve identified risks.
7 - 9	LOW	Indicates offeror's internal controls likely to reduce non-compliance or fraud.





# Deliverable Review Form

- Completed every time a deliverable is submitted for review
- Submitted with the invoice
- Reviewed together before payment is made
- Checks and balances between program, fiscal and contracts



# Provider Work Plan

- Provider identifies who will do each element of the scope of work and writes progress. It is part of their deliverable.
- Program Director uses this same tool to meet with the provider on a scheduled basis to discuss how the work is coming along (e.g., will they meet their projection, are there changes).
- Catch any hiccups in getting the work done.



# Provider Work Plan Example

(Updated on 12/15/2023)

- BLACK:** Agreement Work Plan
- BLUE:** Update through Deliverable 1
- PURPLE:** Update through Deliverable 2
- RED:** Update through Deliverable 3
- GREEN:** Update through Deliverable 4

<b>I. Refine competency tool.</b>			
Tasks	Timelines	Person(s) Responsible	Update
Refine the competency tool based on early user testing gathered during formative testing and Workgroup Meeting 4 held in the Summer of 2023.	Fall 2023		Held internal meetings to discuss incorporating feedback gathered during Council meeting to inform future refinements.  _____ submitted a revised competency toolkit to the FDDC on December 1, 2023. _____ provided feedback on December 3, 2023. _____ has included an updated toolkit in Deliverable 1.
<b>II. Conduct interviews to gather qualitative feedback on case management support services and the competency toolkit.</b>			
Tasks	Timelines	Person(s) Responsible	Update
Prepare brief memo (no more than 20 pages) summarizing data collection plan.	Fall 2023		No activity to report.  _____ submitted a draft data collection plan to the FDDC on December 1, 2023. _____ provided

# Thank You!



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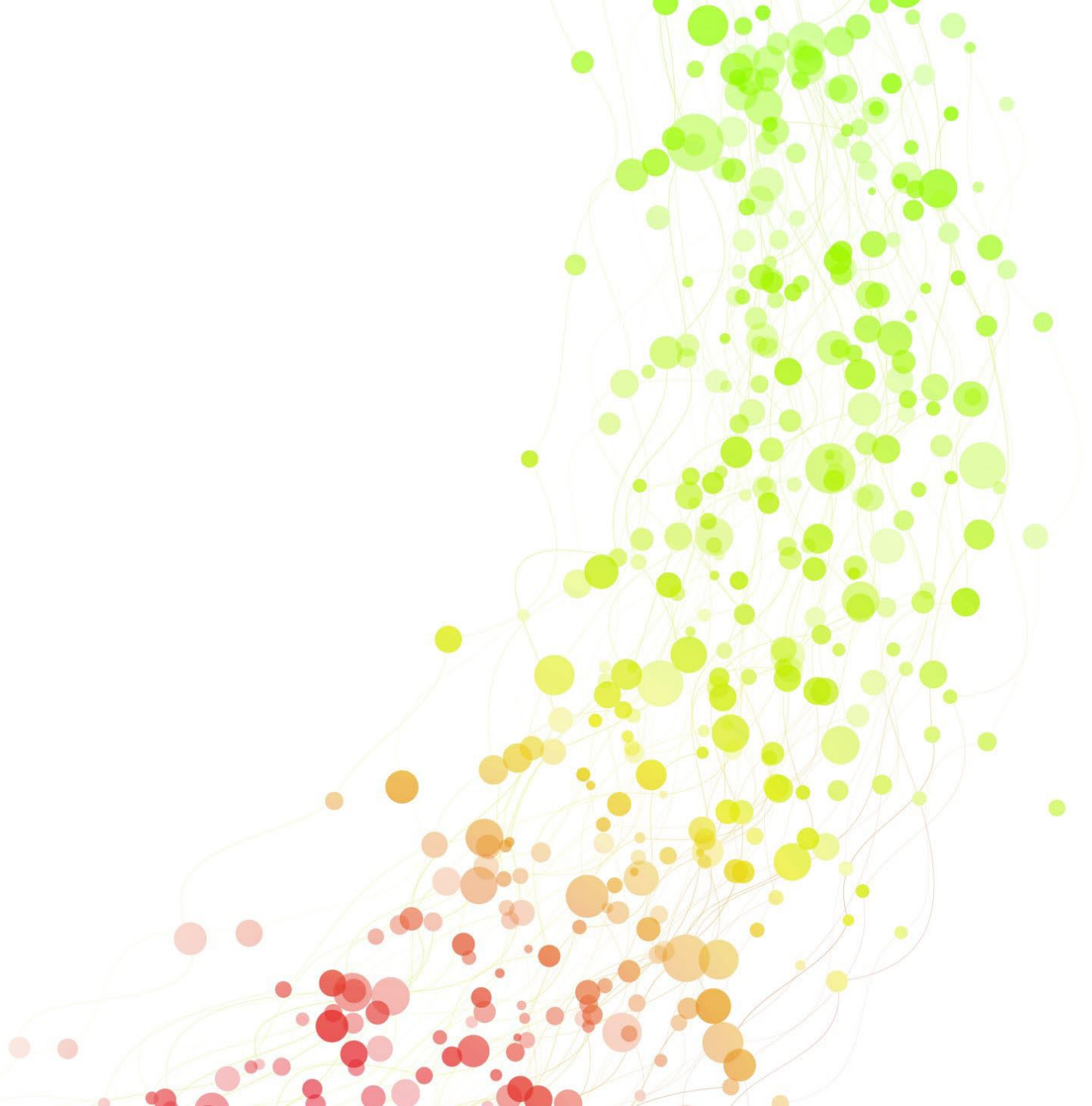
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# Marcy Crane Arizona

Internal Control Check-list

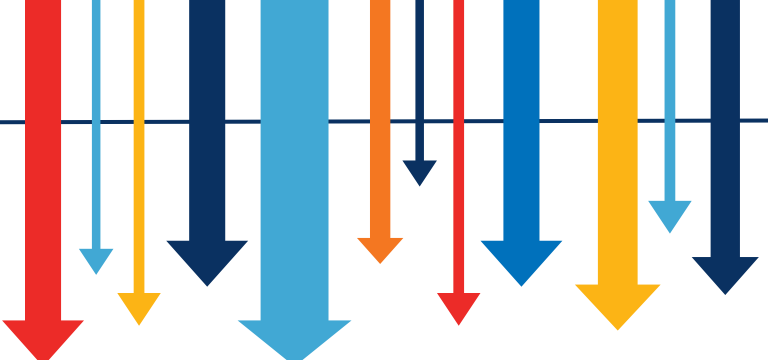
Key Personnel Change Notification

Technical Assistance along the  
way





# TCDD: REVIEW TOOLS TO HELP IDENTIFY UNDERPERFORMING PROJECTS



Texas assesses spending patterns and then provides TA to grantee to possibly revise the work plan or budget

#### QuickBase

- Reports for 30, 60, 90 days overdue RARs
- Weekly database reports
- Risk Assessment (review quarterly for Council)

#### Quarterly Staff Meetings

- Review grantee reports
- Is grantee on track with workplan?
- Is clarification needed on grant activities?
- Provide feedback to grantees

#### Communication to Grantee Underperforming

Quarterly Feedback on Successes and Areas in Need of Improvement

- Official notification of non-compliance
- Request conference call
- Request overdue RARs, Products, etc.
- Provide deadline for response
- Request detailed outline on how grantee will get back on track (workplan timeline activities and budget expenses)
- Discuss possible budget and program revisions
- We do have an escalation process for onsite reviews, notice of suspension, notice of termination

Johnny Callebs

What happens if a  
grantee cannot or will  
not improve?

