

**Schedule 3
PRE-AWARD REVIEWS**

Civil Rights Pre-award Reviews for Federally Assisted Programs - covered by Title VI (including LEP), Title IX, and agency-specific program statutes addressing discrimination on the basis of race, color, national origin, sex, and religion.

Please complete the chart below concerning pre-award reviews of applicants for federal financial assistance that your office performed:

1. List the total number of grants awarded;
2. If the only document reviewed in a pre-award review was the nondiscrimination assurance, please list the number of such pre-award reviews under "Assurances Only."
3. If your office only reviewed the assurance and other written information, such as items listed in 28 C.F.R. § 42.406(d) (e.g., pending lawsuits, outstanding complaints, compliance reviews performed by other agencies), list the number of such pre-award reviews under "Desk Audit Pre-Award Review" and,
4. If your agency reviewed written information and performed an onsite pre-award review, list the number of such pre-award reviews under "Onsite Pre-award."

Note: Each pre-award review should only be listed under one category.

	Number of Grants	Assurances Only	Desk Audit Pre-award Reviews	Onsite Pre-award Reviews	Total Number of Pre-award Reviews
FY 2008 Totals					
FY 2009 1st Quarter					
FY 2009 2nd Quarter					
FY 2009 3rd Quarter					
FY 2009 4th Quarter					

For agencies with applications to construct facilities or other permanent structures such as, roads, subway lines, water and sewer lines, please indicate in the chart below the number of grants provided for construction projects, as well as, the number of pre-award reviews performed under each category. The descriptions of the categories are listed above. See 28 C.F.R. § 42.206(b) (4).

	Number of Grants for Construction	Assurances Only	Desk Audit Pre-award Reviews	Onsite Pre-award Reviews	Total Number of Pre-award Reviews of Applications for Construction
FY 2008 Totals					
FY 2009 1st Quarter					
FY 2009 2nd Quarter					
FY 2009 3rd Quarter					
FY 2009 4th Quarter					

Please indicate in the chart below, the number of pre-award reviews that resulted in findings of compliance. If any of the compliance findings included concerns (such as an ongoing complaint investigation, lack of a nondiscrimination poster, or practices that could lead to discrimination) and you placed conditions on the awards, please indicate in the chart under the “Conditioned Awards” category.

	Number of Findings of Compliance	Conditioned Awards
FY 2008 Totals		
FY 2009 1st Quarter		
FY 2009 2nd Quarter		
FY 2009 3rd Quarter		
FY 2009 4th Quarter		

Please indicate in the chart below the following information regarding pre-award reviews.

1. The total number of noncompliance findings;
2. The number of pre-award reviews where the resolution is pending;
3. The number of pre-award reviews where the awards were conditioned as a result of a finding of noncompliance;
4. The number of pre-award reviews where there are signed corrective action agreements;
5. The number of recipients being monitored (please include pre-award reviews from FY 2006 and monitoring of pre-award reviews performed before FY 2006); and
6. The number of administrative actions initiated.

	Findings of Noncompliance	Pending Resolutions	Conditioned Awards	Written Corrective Action Plans	Monitoring Action FY 2008; Pre-FY 2008	Administrative Enforcement
FY 2008 Totals						
FY 2009 1st Quarter						
FY 2009 2nd Quarter						
FY 2009 3rd Quarter						
FY 2009 4th Quarter						

For each of the findings of noncompliance, please provide the name of the recipient, the basis of the discrimination, the issues raised, the corrective action taken, and the current status.

Total FTEs performing pre-award reviews:

Schedule 4 POST- AWARD REVIEWS

Civil Rights Post-award Reviews for Federally Assisted Programs – covered by Title VI (including LEP), Title IX, and agency-specific program statutes addressing discrimination on the basis of race, color, national origin, sex, and religion.

Please complete the chart below by providing the number of post-award reviews your agency performed for recipients of federal financial assistance during FY 2006. Post-award reviews include compliance reviews and monitoring reviews, but do **not** include investigation of complaints. (See next page for definitions of terms.) For each category, please indicate the number of those reviews that were desk audits/reviews and those that were on-site reviews.

Please specify all of the applicable statute(s) under which the post-award reviews were performed by indicating Title VI (“VI”); Title VI-LEP (“LEP”); Title IX (“IX”); or a program statute (“Program”), i.e., an agency-specific program statute containing a nondiscrimination provision.

**NUMBER OF POST-AWARD REVIEWS OF RECIPIENTS OF
FINANCIAL FEDERAL ASSISTANCE
FY 2008 Totals**

POST-AWARD REVIEWS	Number Initiated	Bases: VI, LEP, IX, Program	Number Completed	Number Pending Completion After 180 Days	Number in Compliance	Number Not in Compliance
Total Compliance Reviews						
On-site						
Desk audits/reviews						
Total Monitoring Reviews						
On-site						
Desk audits/reviews						
TOTAL POST-AWARD REVIEWS						

Please indicate the total number of FTEs performing post-award reviews.

**NUMBER OF POST-AWARD REVIEWS OF RECIPIENTS OF
FINANCIAL FEDERAL ASSISTANCE
FY 2009 1st Quarter**

POST-AWARD REVIEWS	Number Initiated	Bases: VI, LEP, IX, Program	Number Completed	Number Pending Completion After 180 Days	Number in Compliance	Number Not in Compliance
Total Compliance Reviews						
On-site						
Desk audits/reviews						
Total Monitoring Reviews						
On-site						
Desk audits/reviews						
TOTAL POST-AWARD REVIEWS						

Please indicate the total number of FTEs performing post-award reviews.

**NUMBER OF POST-AWARD REVIEWS OF RECIPIENTS OF
FINANCIAL FEDERAL ASSISTANCE
FY 2009 2nd Quarter**

POST-AWARD REVIEWS	Number Initiated	Bases: VI, LEP, IX, Program	Number Completed	Number Pending Completion After 180 Days	Number in Compliance	Number Not in Compliance
Total Compliance Reviews						
On-site						
Desk audits/reviews						
Total Monitoring Reviews						
On-site						
Desk audits/reviews						
TOTAL POST-AWARD REVIEWS						

Please indicate the total number of FTEs performing post-award reviews.

**NUMBER OF POST-AWARD REVIEWS OF RECIPIENTS OF
FINANCIAL FEDERAL ASSISTANCE
FY 2009 3rd Quarter**

POST-AWARD REVIEWS	Number Initiated	Bases: VI, LEP, IX, Program	Number Completed	Number Pending Completion After 180 Days	Number in Compliance	Number Not in Compliance
Total Compliance Reviews						
On-site						
Desk audits/reviews						
Total Monitoring Reviews						
On-site						
Desk audits/reviews						
TOTAL POST-AWARD REVIEWS						

Please indicate the total number of FTEs performing post-award reviews.

**NUMBER OF POST-AWARD REVIEWS OF RECIPIENTS OF
FINANCIAL FEDERAL ASSISTANCE
FY 2009 4th Quarter**

POST-AWARD REVIEWS	Number Initiated	Bases: VI, LEP, IX, Program	Number Completed	Number Pending Completion After 180 Days	Number in Compliance	Number Not in Compliance
Total Compliance Reviews						
On-site						
Desk audits/reviews						
Total Monitoring Reviews						
On-site						
Desk audits/reviews						
TOTAL POST-AWARD REVIEWS						

Please indicate the total number of FTEs performing post-award reviews.

Please attach a short narrative on whether the agency has written procedures for conducting compliance and monitoring reviews and specify whether information-collecting instruments, if any, are used. Also, please explain how recipients or issues are selected for review.

For compliance reviews that resulted in findings of noncompliance, please attach a short narrative with the following information: the basis on which the findings were made, whether the areas of noncompliance have been corrected, whether any judicial or administrative enforcement action has been taken, and status of such action. If no action was taken, please explain.

DEFINITIONS:

Post-award review - A review performed after federal financial assistance is awarded to a recipient. There are two types of post-award reviews:

(1) Compliance review - targeted review based on agency regulations, rules, guidelines, etc., to determine recipient's compliance with nondiscrimination regulations; not initiated as the result of the agency's receipt of a complaint as this would be a "complaint investigation."

(2) Monitoring review - review to determine whether recipient has complied with corrective action agreement or other action to be taken to correct deficiencies uncovered in a previous complaint investigation, compliance review, or pre-award review.

Post-award reviews can be done in two ways:

(1) Desk audit/review - staff does not visit recipient, but reviews recipient documents and other written information to determine compliance; can include telephone interviews.

(2) On-site review - desk audit/review is done and, in addition, staff visits the site to conduct in-person interviews and gather other information.