

# Grant Monitoring and Oversight

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# Objectives and Topics

- By the end of this presentation, you should be able to successfully:
  - List the key elements of the grant reporting and oversight process
    - Grant Reporting and Oversight Overview
    - Annual Risk Assessment
    - Monitoring Plan



# Purpose of Grant Reporting and Oversight

- **Improve the overall management of projects to enhance their performance towards achieving the Agency's safety mission**
- Ensure that the terms and conditions, and purpose of the awards are fulfilled
- Assure that grant activities are those that were approved and are consistent with federal law, standards and procedures
- Protect the federal financial investment from fraud, waste, abuse or mismanagement
- Ensure grantees conduct monitoring and oversight of their sub-recipients and subcontractors.



# Grant Reporting and Oversight Roles

- The Grant Manager (DA) holds the primary grant reporting and oversight responsibility; however, this is in coordination with the GMO, Service Center State Program Manager (SPM) and HQ Program Managers(PO)
- The Grantee's Grant Manager has the responsibility to develop a monitoring plan to ensure the projects approved in the grant application are successful



## Grantee Oversight Requirements

- Required to have the infrastructure and internal controls to ensure program implementation and administrative and fiscal compliance (e.g. monitoring plan, vouchering process)
- Responsible for ensuring that funds are used in accordance with the FMCSA provisions and assurances, program requirements, and federal cost principles
- **Grantee is ultimately responsible for the use of the grant funds – including those awarded to sub-grantee (2CFR 200.331 and .302)**



# Core Elements of FMCSA Oversight

- **Annual Risk Assessment** - a standardized method of assessing and prioritizing grantees within a given state and program portfolio for on-site monitoring (used by FMCSA and may be used by Grantees with multiple subgrantees)
- **Monitoring Plan** – articulates the Grant Manager's strategy for the monitoring of their grant projects (FMCSA and Grantee)
- **Basic Mandatory Monitoring** – activities that are done on a regular basis in order to determine that the grant projects are being managed appropriately, includes: reviewing quarterly reports, annual single audit reports, other audit feedback, data submissions, vouchers and regular communications



# Core Elements of FMCSA Oversight

- **On-Site Monitoring** – any monitoring activities that are conducted at a location other than your office and are formally recorded in a memo to file. This can include a series of checks on projects (e.g. IT systems install or programming, inspection procedures, compliance investigations), financial files, inventory, etc. (FMCSA and Grantee)
- **FMCSA tools to use** –
  - A&I MCSAP – Quarterly Report Data Dashboard, State Safety Performance Measures, State Data Summary
  - A&I Data Quality – State Safety Data Quality, FARS/MCMIS Matching Tool, State Data Analysis Reports, DataQ
  - SafetyNet Reports
  - MCMIS for New Entrant



# FMCSA On-Site Monitoring Plan

- Grant Manager develops plan for their state . Plan includes:
  - One On-Site Monitoring Plan
    - Use Annual Risk Assessment as guide
    - List by grantee and then by program
  - Plan covers current year, and projection for years 2 and 3 (a rolling plan, FY16-18, then FY17-19)
  - Minimum - one on-site visit every three years
  - Includes all Program Assessments performed by contractors and/or HQ staff as well



# Grantee Monitoring Plan

- Grantee Grants Manager develops plan for their grant .  
Plan includes:
  - Plan covers period of performance
  - Includes all Project elements:
    - Project coordination
    - Milestones
    - Contracting
    - Reporting – Programmatic and Financial
    - Vouchering
  - On-Site Monitoring Plan



## Resources Used in Risk Monitoring

- Single Audits (performed by State or Accounting firms)
- Quarterly Performance Program Reports (PPRs)
- Quarterly Federal Financial Reporting (SF -425: FFR)
- Invoicing (SF 270)
- Amendment Requests (FMCSA Template)
- Internal control Audits
- OIG Audits (federal or state)



## Single Audits Grantee Responsibility

- Most Grantee's will have Annually
- FMCSA Grants may or may not be included in Sample by Auditors
- Threshold \$750,000 federal funds expended in Fiscal Year
- Subgrantee's use the same threshold (\$750,000 Federal Funds received by the subgrantee)
- Review results if FMCSA grants are in Sample or if your Agency is in the Sample



# Monitoring - Quarterly Reporting

- **PPR (Sources: Grants Manual, 2 CFR 200.328, NGA General Provisions #20.a.)**
  - Must report on Progress of the Project(s) award
    - Must reflect status of progress being made for the objectives, activities, and milestones
    - Must include challenges faced on progress whether it's meeting objectives or getting unexpected results of the activities or not meeting timelines
      - Legislative issues.. Not moving forward
      - Contracting issues with RFP
      - Activity wasn't as effective as intended, so changing it and why
  - Content reviewed by Grantee and FMCSA Grant Managers to ensure that the project(s) is on target, if major changes are being proposed, if timelines are being met, if activities are being completed or changed and if grantee program management staff is changing
  - Timely and complete: at least quarterly, due 30 days after the end of the quarter



## Monitoring - Quarterly Reporting

- **FFR (Sources: Grants Manual, 2 CFR 200.327, NGA General Provision #20.b.)**
  - Verified against PPR and SF -270 invoices,
  - Reviews the Unliquidated federal funds (incurred not received/invoiced yet)
  - Timely and complete: at least quarterly, due 30 days after the end of the quarter
- **Invoicing (Sources: Grants Manual, eInvoicing web site, NGA General Provisions #18)**
  - Supporting Documentation Review and Timely
  - Timely and complete: at least quarterly, due 30 days after the end of the quarter



# Quarterly Report Submission Schedule

Quarter	Reporting Period	Due No Later Than:
1 <sup>st</sup> Quarter	Oct 1 – Dec 31	January 30
2 <sup>nd</sup> Quarter	Jan 1 – Mar 31	April 30
3 <sup>rd</sup> Quarter	Apr 1 – Jun 30	July 30
4 <sup>th</sup> Quarter	Jul 1 – Sep 30	October 30
Final Report	Summarizes the last quarter of activity as well as the entire POP	90 calendar days after the expiration or termination of the award



# SF-PPR Required Attachments

FMCSA Grant Programs	SF-PPR Required Attachment
Border Enforcement Grants (BEG); Commercial Driver License (CDL) Improvement Program; CDL Improvement System (CDLIS); CMV Operator Safety Training; Safety Data Improvement Program (SaDIP)	SF-PPR-B
MCSAP Basic and Incentive	MCSAP Formula Report
MCSAP High Priority (HP) and New Entrant Safety Audit (NE)	MCSAP Discretionary Report
Commercial Vehicle Information Systems Management (CVISN)	None
Performance and Registration Information Systems Management (PRISM)	SF-PPR-B_PRISM



## PPR Q&A

- How to complete the narrative portion of a PPR
- What FMCSA is looking for
- How it may impact future awards
- Why FMCSA may reject a PPR



## Monitoring - Amendment Requests

- Why needed – modification of activities, no-cost extension, budget modification
- Timely submittal – as soon as you know you need a change
- Content supportive with reasons to show the request is within scope, allowable, allocable, reasonable, and necessary.
- Cannot approve changes already made before the amendment was approved



## National Program Review

- FMCSA is still working on our future steps
- FMCSA will follow-up on all the old outstanding findings
  - We have aggregated all open findings
  - Working on a website to track and close findings
    - FMCA will ask for State Partners to pilot this website in the next few months. If interested, we have a sign up sheet at the front



# Wrap Up Questions ?

