Policy & Procedures Instruction 4 -Excerpt Oklahoma Highway Safety Office

 Effective Date: 10/1/11

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**PROGRAM MANAGEMENT**

**INTRODUCTION**

 Program Management involves project development and contracting, monitoring, and evaluation.

The Oklahoma Highway Safety Office (OHSO) outsources a significant amount of work through grants to State agencies and local subdivisions to accomplish significant parts of the Highway Safety Plan/Performance Plan (HSP/PP).

1. **MONITORING**

 Proper program monitoring and reporting (state and federal requirements of the Uniform Grant and Contract Management Standards, Subpart C, Section 40 (b)(2)(I-iii) of the Common Rule) help assure compliance with state and federal requirements, completion of performance objectives, early detection and prevention of problems, identification of potential modifications, and availability of data necessary for daily operations, planning and evaluation. ;

1. PROJECT MONITORING

 Projects are assigned to individual PM’s during the planning process and they negotiate the specific terms of the grant agreement with the PD under the direction of the CPP. The Project Monitoring Process begins following HSP/PP approval and the activation of grant agreements.

2. MONTHLY MONITORING

 a. Grantee Responsibilities: The PD submits a monthly Project Director's Report (PDR) (OHSO-P-7) which includes:

 1. PDR (Affidavit page attachment to contract);

2. Budget Details;

 3. Budget Summary;

4. Activity/milestones;

5. Invoices for costs incurred, if applicable;

6. Documentation of costs paid;

7. Time sheets, signed by supervisor, if applicable; and

8. Any other documentation which relates to the project.

 b. Program Manager Responsibilities: PM’s should call or meet with grantee personnel as needed. Monthly status monitoring reports and reimbursement claims should be completed with at least the following information:

1. The PM checks the PDR page to assure it is completely filled out and appropriate project personnel have signed and dated the page properly.

2. The PM reviews the claim to assure all required pages have been included.

3. The PM reviews the claim to assure each page has been completed up to the date of the claim.

4. The PM reviews the budget detail expenditure rate against the planned expenditure rate of individual cost items for excessive overruns and/or underruns. If significant variances exist, the claim should have an explanation of the difference attached. If there is no explanation of the difference provided, the PM should contact the PD and request an explanation, then document the contact and explanation.

5. The PM reviews the budget summary page to ensure it agrees with the budget details pages and compares the overall expenditure rate with the planned expenditure rate.

6. The PM reviews each activity/milestone page item for acceptable levels of performance when compared to planned levels. If performance is deficient, an explanation should be included in the narrative report. PMs will follow up on problems and issues, and document follow-up action to the project file.

7. The PM reviews the budget details page cost items listed against a copy of the contract to verify there were no added items or costs written into the original contract.

8. The PM conducts a review to assure all required documentation has been submitted (for example; time sheets, copies of payroll reports/checks, purchase orders, invoices and proof of purchases, etc.).

9. The PM prepares a Project Monitoring Report (PMR) on activities, accomplishments, deficiencies, and other pertinent information.

10. The PM attaches PMR to the PDR, dates and initials the claim routing slip and forwards the entire claim packet to the CR.

 c. CR and CPP Responsibilities: The CR completes the fiscal review, then the CPP reviews the PMR and PDR to ensure project objectives are being met. Incomplete reports/claims will be sent back to the appropriate PM for completion/correction. The CPP will ensure the following objectives are being met:

1. Are project activities on schedule?

2. Have general/specific conditions been satisfied?

3. Have necessary reports/claims been submitted?

4. Have any modifications been made?

5. Has any necessary training been provided and documentation submitted?

6. Is project fully staffed?

7. Has necessary equipment been secured?

8. Have contacts (phone calls, etc.) affecting the project and/or contract been documented, filed, and discussed in the Project Monitoring Report?

9. Are expenditures on track with projections?

3. ON-SITE MONITORING

 On-site project monitoring will be conducted quarterly. On-site project monitoring will take place at the grantee’s place of business. Projects which indicate problem areas may require more frequent on-site visits with the PD and other involved personnel. When law enforcement ride-alongs are conducted, OHSO personnel will not sponsor other individuals, without prior OHSO coordination. The CPP may accompany PM’s for on-site visits as needed.

 a. Pre-Onsite Monitoring Activities: PMs should follow the steps listed below before scheduling an on-site visit:

1. Review grant agreement.

2. Review all correspondence and telephone calls.

3. Review PDRs.

4. List any items requiring follow-up.

5. Telephone PD to schedule visit. Arrange to contact appropriate individuals associated with the project.

6. Inform PD of records to be reviewed, such as:

 i. Progress reports/Milestones and Activities

 ii. Support documentation

 iii. Time sheets

 iv. Mileage records

 v. Inventory control

 vi. Equipment purchases

 vii. Personnel training records

 b. Reporting On-site Monitoring Activities: PM’s will file (within 10 working days) a completed On-site Monitoring Report (OSMR), to include a completed On-site Project Review Checklist (OHSO-P-05). The OSMR must include (if appropriate):

1. Review of supporting documentation;

2. Assessment of effectiveness of project toward meeting goals, etc.;

3. Confirmation of the accuracy of reported data;

 \*4. Evaluation of the controls to ensure costs were eligible for reimbursement of federal funds;

 \*5. Payroll records supported by appropriate timekeeping documentation;

 \*6. Review of equipment, insuring it is inventoried, tagged, properly maintained, and being used for project purposes;

7. Documentation submitted and written approval for any travel or mileage reimbursement;

8. Review Public Information and Education (PI&E) materials use;

 \*9. Documentation verifying minimum training requirements are satisfied;

 10. Determination that expenditures are on schedule;

 11. Documentation of any contacts made with city/county officials, Chambers of Commerce or any other community leaders;

 12. Documentation of any problems or concerns and follow-up actions;

 13. Identification of any deficiencies or recommendations for corrective action.

 \* Annual requirement.

1. Processing On-Site Monitoring Reports: The completed OSMR, with the applicable time period specified, is routed to the CPP, DR, and GR for review.

 The administrative staff will then copy and distribute the OSMR as follows:

1. Central File (original);

2. PD

4. SPORTS MARKETING MONITORING

 OHSO staff members may accumulate a maximum of 12 hours NS per month for regular events. If a person requests, and is selected, to monitor additional events that would normally raise the NS hours above 12, the person may not count additional time. The person conducting the additional monitoring will submit a monitoring report.

 OHSO staff members may accumulate additional NS hours (more than 12 NS hours), if the event in which the staff member is participating is an OHSO-sponsored event that requires displays, demonstrations, booths, etc. These events will be specifically identified by the OHSO.

 Anyone using OHSO-provided monitoring passes may not consume adult (alcoholic) beverages during the monitoring event.

5. QUALITY ASSURANCE

Project file reviews by the staff of the Oklahoma Office of Highway Safety is an essential operational process for improving, strengthening and maintaining compliance with applicable NHTSA guidelines. The purpose of the reviews is to improve highway safety project practices to ensure efficient administration, programming and evaluation of programs that have the potential to save lives.

Absent extenuating circumstances, project file reviews will be conducted in February for the year immediately preceding the review. The Program Managers (PM) will conduct the file reviews on their peers. The ADR will establish the rotation of the files for which the PM will be responsible for reviewing and will insure there is no conflict of interest implied among PM staff when conducting the review. The CPP will provide a list of files to be reviewed to each program manager, the DR and the ADR. The CPP should give consideration to value and risk as well as the breadth of coverage over the many types of grant programs when developing the list of file reviews. The list shall contain at a minimum, 20 percent of the PM’s previous year’s files.

Process:

a. The CPP shall provide a list of not less than 20 percent of the previous year’s projects to the PM’s, DR and ADR.

b. Upon receiving the file review list, the ADR will establish a peer review rotation within the PM’s which is free from conflicts.

c. Each PM shall be responsible for gathering the appropriate files from the central files, scheduling adequate time and facilities to conduct the reviews.

d. The PM will insure the following objectives are being met:

• Review is conducted in accordance with and on NHTSA’s PROJECT FILE REVIEW CHECKLIST.

• Review shall include objectives stated in the OHSO PPI Manual, Monitoring (4-6 and following).

e. Upon completion of the reviews, the PM’s will provide the completed project reviews checklists to the CPP.

f. The PM will outline a recommended course of corrective action to be taken by OHSO in relation to policy, practice and any other deficiencies or concerns.

g. The CPP will schedule a meeting with the DR and ADR to discuss the results of the file reviews.