



Iowa Department of Public Safety
Governor's Traffic Safety Bureau

TITLE/SUBJECT: Administrative and Performance Measures Monitoring for Non-Enforcement Contracts

IDENTIFIER: 47-02.11

TO: All GTSB Personnel

CC:

RELATED DIRECTIVES/FORMS: U.S. DOT Common Rule – Title 49 CFR Part 18 Section 40; GTSB Forms 12, 19, 22, 23

APPLICABLE CALEA STANDARD(S):

EFFECTIVE DATE: February 22, 2012

REVISION #:

INSTRUCTIONS: This order supercedes all previous GTSB directives on this subject.

APPROVED BY:

Sandy Bennett, Acting Bureau Chief

DATE:

February 22, 2012

- Bureau Order
Special Order

Order No.: 12-01 GTSB

- Procedure
Plan
Rule

I. Purpose

A. The purpose of monitoring is to:

- 1. Maintain control of a project
2. Detect problems
3. Identify changes or training needed
4. Provide data for planning and evaluation
5. Ensure that grantees are in compliance with applicable federal requirements
6. Ensure that performance goals are being achieved
7. To create opportunities for the Governor's Traffic Safety Bureau to provide technical assistance when needed.

II. Policy

It is the policy of the Governor's Traffic Safety Bureau to ensure that GTSB contract grantees adhere to federal and state regulations that govern the contract projects.

III. Definitions

- A. Program Administrator (PA) – The GTSB staff member assigned to manage specific contracts with grantees.
B. Grantee - For the purpose of this policy a grantee means the government to which a grant is awarded from the Governor's Traffic Safety Bureau and which is accountable for the use of the funds provided.
C. Funding Level – The total dollar amount of a contract granted to a grantee.
1. Level 1 = \$1 – 74,999
2. Level 2 = \$75,000 – 174,999
3. Level 3 = \$175,000 ^

D. Monitoring Types

1. **Desktop** – Accomplished by reviewing reports submitted by a grantee on a prescribed GTSB form. Desktop monitoring does not preclude the Program Administrator from conducting On-Site visits.
2. **On-Site** – A GTSB Program Administrator conducts an on-site visit at the grantees facility.

IV. Procedure

A. Level 1 = Funding \$1 – 74,999 (Applies only to Non-Enforcement projects)

RESPONSIBLE PARTY	REQUIRED ACTION	NOTE/COMMENT
Program Administrator	1. Once, between October 1 and September 30 of each year, the PA responsible for the contract shall conduct at least one on-site or desktop monitoring session utilizing GTSB Form 12 .	Requires 1-onsite or desktop review per year.
	2. Discuss deficient areas with the contractor representative that indicates a consistent pattern of noncompliance over a period of 3 months. Note outcome on GTSB Form 12 .	
	3. Discuss non-compliant areas with grantee immediately or within 7 calendar days from date of on-site visit and identify remedies that will be implemented to correct the non-compliant areas. Utilize GTSB Form 19 to detail corrective actions to be taken by grantee.	
	4. Furnish a hard or electronic copy of GTSB Form 19 to the grantee.	
	5. Forward all completed original monitoring forms to Grants Administrator.	
Grantee	6. Within 21 calendar days from the onsite visit sign and return GTSB Form 19 verifying that corrective actions identified have been implemented and that the non-compliant area(s) is(are) in compliance.	
Program Administrator	7. If grantee does not comply with corrective actions by the required date, contact the grantee agency head to advise that the contract will be out of compliance if corrective measures are not implemented and verified.	
Grants Administrator	8. If grantee does not comply with corrective actions, discuss with BC and PA and prepare GTSB Form 22 and send by certified mail to grantee agency head.	

Grants Administrator	9. If grantee does still not comply with corrective actions, discuss with BC and PA and prepare GTSB Form 23 and send by certified mail to grantee agency head.	
	10. Update monitoring file as needed through life of contract cycle.	
	11. Provide copies of all monitoring forms to Program Administrator.	
	12. Note receipt of monitoring forms in tracking report.	
	13. File monitoring forms in master contract file.	
	14. When necessary, provide each PA with a monthly Tracking Report Summary, GTSB Form 64 .	

B. Level 2 = \$75,000 – 174,999

RESPONSIBLE PARTY	REQUIRED ACTION	NOTE/COMMENT
Program Administrator	1. Once, between October 1 and March 31 and once between April 1 and September 30 of each year, the PA responsible for the contract shall conduct an on-site or desktop monitoring session utilizing GTSB Form 12 .	Requires 2-onsite or desktop reviews per year.
	2. Discuss deficient areas with the contractor representative that indicates a consistent pattern of noncompliance over a period of 3 months. Note outcome on GTSB Form 12 .	
	3. Discuss non-compliant areas with grantee immediately or within 7 calendar days from date of on-site visit and identify remedies that will be implemented to correct the non-compliant areas. Utilize GTSB Form 19 to detail corrective actions to be taken by grantee.	
	4. Furnish a hard or electronic copy of GTSB Form 19 to the grantee.	
	5. Forward all completed original monitoring forms to Grants Administrator	
Grantee	6. Within 21 calendar days from the onsite visit sign and return GTSB Form 19 verifying that corrective actions identified have been implemented and that the non-compliant area(s) is(are) in compliance.	

Program Administrator	7. If grantee does not comply with corrective actions by the required date, contact the grantee agency head to advise that the contract will be out of compliance if corrective measures are not implemented and verified.	
Grants Administrator	8. If grantee does not comply with corrective actions, discuss with BC and PA and prepare GTSB Form 22 and send by certified mail to grantee agency head.	
	9. If grantee does still not comply with corrective actions, discuss with BC and PA and prepare GTSB Form 23 and send by certified mail to grantee agency head.	
	10. Update monitoring file as needed through life of contract cycle.	
	11. Provide copies of all monitoring forms to Contract Administrator.	
	12. Note receipt of monitoring forms in tracking report.	
	13. File monitoring forms in master contract file.	
	14. When necessary, provide each PA with a monthly Tracking Report Summary, GTSB Form 64.	

C. Level 3 = \$175,000 & Higher

RESPONSIBLE PARTY	REQUIRED ACTION	NOTE/COMMENT
Program Administrator	1. Once, between October 1 and January 31, once between February 1 and May 31 and once between June 1 and September 30 of each year, the PA responsible for the contract shall conduct an on-site or desktop monitoring session utilizing GTSB Form 12 .	Requires 3-onsite or desktop reviews per year. Where the output of the project can be quantified, a computation of the cost per unit of output must be calculated.
	2. Discuss deficient areas with the contractor representative that indicates a consistent pattern of noncompliance over a period of 3 months. Note outcome on Form 12 .	
	3. Discuss non-compliant areas with grantee immediately or within 7 calendar days from date of on-site visit and identify remedies that will be implemented to correct the non-compliant areas. Utilize GTSB Form 19 to detail corrective actions to be taken by grantee.	
	4. Furnish a hard or electronic copy of GTSB Form 19 to the grantee.	

Program Administrator	5. Forward all completed original monitoring forms to Grants Administrator	
Grantee	6. Within 21 calendar days from the onsite visit sign and return GTSB Form 19 verifying that corrective actions identified have been implemented and that the non-compliant area(s) is(are) in compliance.	
Program Administrator	7. If grantee does not comply with corrective actions by the required date, contact the grantee agency head to advise that the contract will be out of compliance if corrective measures are not implemented and verified.	
Grants Administrator	8. If grantee does not comply with corrective actions, discuss with BC and PA and prepare GTSB Form 22 and send by certified mail to grantee agency head.	
	9. If grantee does still not comply with corrective actions, discuss with BC and PA and prepare GTSB Form 23 and send by certified mail to grantee agency head.	
	10. Update monitoring file as needed through life of contract cycle.	
	11. Provide copies of all monitoring forms to Program Administrator.	
	12. Note receipt of monitoring forms in tracking report.	
	13. File monitoring forms in master contract file.	
	14. When applicable, provide each PA with a monthly Tracking Report Summary, GTSB Form 64.	

Related Federal Directive

Sec. 18.40 Monitoring and reporting program performance.

(a) Monitoring by grantees. Grantees are responsible for managing the day-to-day operations of grant and subgrant supported activities. Grantees must monitor grant and subgrant supported activities to assure compliance with applicable Federal requirements and that performance goals are being achieved. Grantee monitoring must cover each program, function or activity.

(b) Nonconstruction performance reports. The Federal agency may, if it decides that performance information available from subsequent applications contains sufficient information to meet its programmatic needs, require the grantee to submit a performance report only upon expiration or termination of grant support. Unless waived by the Federal agency, this report will be due on the same date as the final Financial Status Report.

(1) Grantees shall submit annual performance reports unless the awarding agency requires quarterly or semi-annual reports. However, performance reports will not be required more frequently than quarterly. Annual reports shall be due 90 days after the grant year, quarterly or semi-annual reports shall be due 30 days after the reporting period. The final performance report will be due 90 days after the expiration or termination of grant support. If a justified request is submitted by a grantee, the Federal agency may extend the due date for any performance report. Additionally, requirements for unnecessary performance reports may be waived by the Federal agency. (2) Performance reports will contain, for each grant, brief information on the following:

(i) A comparison of actual accomplishments to the objectives established for the period. Where the output of the project can be quantified, a computation of the cost per unit of output may be required if that information will be useful.

(ii) The reasons for slippage if established objectives were not met.

(iii) Additional pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

(3) Grantees will not be required to submit more than the original and two copies of performance reports.

(4) Grantees will adhere to the standards in this section in prescribing performance reporting requirements for subgrantees.

(c) Construction performance reports. For the most part, on-site technical inspections and certified percentage-of-completion data are relied on heavily by Federal agencies to monitor progress under construction grants and subgrants. The Federal agency will require additional formal performance reports only when considered necessary, and never more frequently than quarterly.

(1) Section 12(h) of the UMT Act of 1964, as amended, requires pre-award testing of new buses models.

(2) [Reserved]

(d) Significant developments. Events may occur between the scheduled performance reporting dates which have significant impact upon the grant or subgrant supported activity. In such cases, the grantee must inform the Federal agency as soon as the following types of conditions become known:

(1) Problems, delays or adverse conditions which will materially impair the ability to meet the objective of the award. This disclosure must include a statement of the action taken, or contemplated, and any assistance needed to resolve the situation.

(2) Favorable developments which enable meeting time schedules and objectives sooner or at less cost than anticipated or producing more beneficial results than originally planned.

(e) Federal agencies may make site visits as warranted by program needs.

(f) Waivers, extensions. (1) Federal agencies may waive any performance report required by this part if not needed.

(2) The grantee may waive any performance report from a subgrantee when not needed. The grantee may extend the due date for any performance report from a subgrantee if the grantee will still be able to meet its performance reporting obligations to the Federal agency.

[53 FR 8086 and 8087, Mar. 11, 1988, as amended at 53 FR 8087, Mar. 11, 1988]