

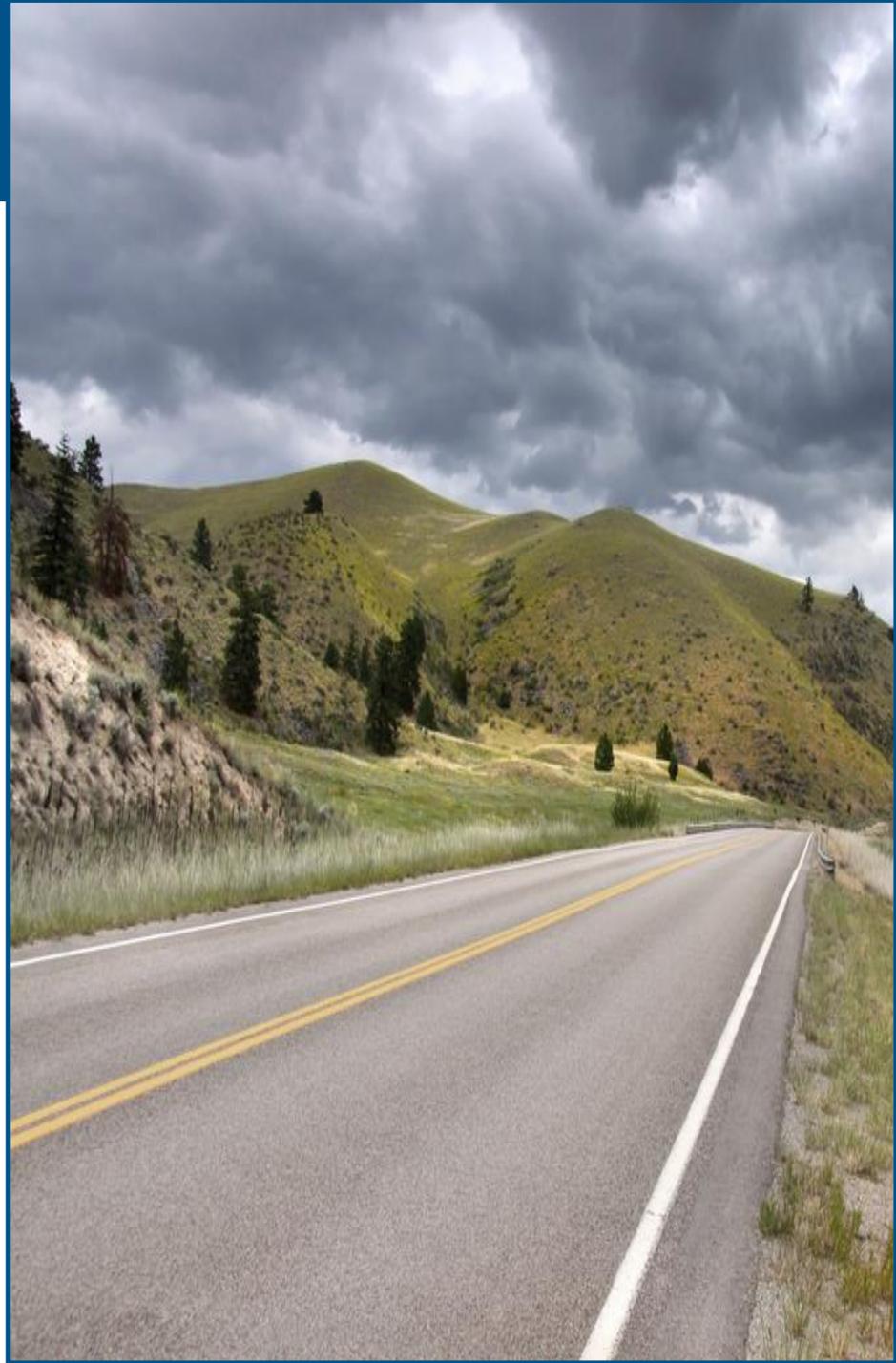


VISION ZERO
zero deaths • zero serious injuries

**MONTANA DEPARTMENT
OF TRANSPORTATION**

Grant Management Training
Highway Traffic Safety
Policies and Procedures
October 12, 2017

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State Highway Traffic Safety
Montana Department of
Transportation



Budget Modifications

- Any deviation from the approved budget or project agreement requires prior approval from MDT
- Revision requests may be made by fax, letter, e-mail, memo, telephone
- Requests must be received by MDT at least seven working days prior to the effective dates of the change(s)
- A budget cost category increases or transfers over 10% of the total grant requires a contract amendment.

Contract Amendments

- Extension to the project dates
- Significant changes to the project goals and objectives that affect the scope of the project
- Significant changes to the method of procedure that affects the project end date
- Approval for a specific cost item not included in the original budget but for which funding is available within the appropriate budget category
- Travel either in-state or out-of-state that is not identified in Exhibit B of the agreement
- Overrun of contact amount

Contract Monitoring Risk Assessment

- The sub-recipient's prior experience with the same or similar sub awards
- The results of previous audits including
 - whether or not the sub-recipient receives a Single Audit
 - in accordance with Subpart F-Audit Requirements of Part 200.331(B)
 - the extent to which the same or similar sub award has been audited as a major program
- Whether the sub-recipient has new personnel or new or substantially changed information systems
- The extent and results of Federal awarding agency monitoring
 - if the sub-recipient also receives Federal awards directly from a Federal awarding agency



Contract Monitoring Risk Assessment

Low Risk

- Provide standard monitoring.

Medium Risk

- Schedule a financial review with the sub-recipient.
- Withhold full or partial payments pending single audit results, drug & alcohol reports (Transit), or quarterly reports (NHTSA and Transit).
- Provide training and technical assistance on program related matter.

High Risk

- Request a review by MDT Internal Audit.
- Require 100% documentation for reimbursement.
- Withhold full or partial payments pending single audit results, drug & alcohol reports (Transit), or quarterly reports (NHTSA and Transit).
- Review the corrective actions and determine if they followed up on the corrective actions.
- Provide training and technical assistance on program related matter.
- Consider whether the results of the audits necessitate adjustments to the pass through entities own records.
- Consider taking enforcement action against the non-compliant subrecipient.



Contract Monitoring

On-Going Monitoring

- Email Communication
- Phone Communication
- Written Correspondence
- Meetings
- Desk Review



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Contract Monitoring On-Site Review

- Contract over \$35,000 with a risk assessment level of “low” require on-site review annually for contracts in place less than three years
- Contracts of \$35,000 with a risk assessment level of “low” require on-site review once every two years for contracts in place over three years

Contract Monitoring On-Site Review Checklist



MDT-TPL-XXX 08/2016
Page 1 of 2

**Montana Department of Transportation
Contract Monitoring-On-site Review Form
State Highway Traffic Safety Section**

Contract Information

Contract Agency: Contract Number:

Project Name: Contact Person:

Phone: Email:

On-Site Monitoring Date: Location:

Purpose of Visit:

Name/titles of persons involved in the on-site visit:

Name <input type="text"/>	Title <input type="text"/>
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Program Overview

Yes No N/A Application and contract reviewed prior to visit?
 Yes No N/A Has completed monitoring forms/correspondence been reviewed prior to visit?
 Yes No N/A Are all reports submitted on time?
 Yes No N/A Are records on file?
 Yes No N/A Is the subgrantee using properly trained personnel?
 Yes No N/A Were subgrantee-developed educational material reviewed?
 Yes No N/A Has a previous site visit been completed on the project?
 Yes No N/A Are objectives cited in the contract being met?
 Yes No N/A Is subgrantee evaluating the effectiveness of the grant activity?
 Yes No N/A Has a recent evaluation been completed and provided to MDT by the contract agency?
 Yes No N/A Will all grant activities be complete by fiscal year end?
 Yes No N/A Is there any formal technical assistance needed for the program (Formal training, follow-up visit, etc.?)

Notes (Provide additional information as needed on the program overview.)

Objectives

List each objective cited within the contract and provide a status update on each objective.

Objective	Status Update
<input type="text"/>	<input type="text"/>

Conclusion

Contract Monitoring On-Site Review Checklist



MDT-TPL-XXX 08/2016
Page 2 of 2

**Montana Department of Transportation
Contract Monitoring-On-site Review Form
State Highway Traffic Safety Section**

Yes No N/A Did all documentation indicate compliance with the contract? If not, describe below.

Yes No N/A Was the programmatic specific appendix filled out completely? Provide detailed notes.

Yes No N/A Were there any unique or special activities or actions identified?

Yes No N/A Were any special accomplishments identified?

Yes No N/A Were all problems/issues/concerns documented?

Yes No N/A Was everyone in attendance that should have been?

Yes No N/A Are there any items that need to be followed-up?

Yes No N/A Is corrective action recommended?

Provide detailed notes to the responses above, if necessary.

Signatures

MDT Project Monitor: _____ Date
Signature

Subrecipient Project Director: _____ Date
Signature

Questions

- Contact your contract manager
- Contract Management Manual on-line at http://www.mdt.mt.gov/publications/docs/grants/subgrantee_manual.pdf