

Contract Monitoring

Again 😊



- Pre-Award Risk Assessment
- Desk Reviews
- On-Going Monitoring
- On-Site Reviews

Pre-Award Risk Assessment



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

Risk Assessment Ranking



- **Low Risk**
- Provide standard monitoring.
- **Medium Risk**
- Schedule a financial review with the subrecipient.
- 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.

Desk Reviews



- Email Communication
- Phone Communication
- Written Correspondence
- Meetings

On-Site Reviews



- Randomly
- Contracts at or over \$35,000 with a risk assessment level of “Low” require an on-site review be conducted annually for subrecipients who have been under contract with MDT for less than three years.
- Contracts at or over \$35,000 and with a risk assessment level of “Low” require an on-site review be conducted a minimum of once every two years for subrecipients who have been under contract with MDT for three or more years.

Minor Findings



- A detailed description of the finding;
- A description of any actions or options the subrecipient may make in response to the finding; and
- A date by which the subrecipient should implement the recommended action or advise SHTSS of a proposed alternative or both (usually not later than 30 days after notification).

Serious Findings



Repeated or more serious findings may include:

- Untimely submission or omission of required reports or invoices including required supporting documentation;
- Misrepresenting the hours worked on the project;
- Invoice for an unallowable or unapproved item;
- Typographical or mathematical errors that affect the amount of reimbursement;
- Actions taken without prior approval when the grant stipulated prior approval;
- Significant delay in achievement of objectives and performance goals;
- Sub-par spending level (20% or less of the total grant award).

Possible Sanctions



- Withholding authority to proceed to the next phase until receipt of evidence of acceptable performance within a given period of performance;
- Requiring additional, more detailed financial reports;
- Requiring additional project monitoring;
- Requiring the non-Federal entity to obtain technical or management assistance; or
- Establishing additional prior approvals.

Contract Management Manual

http://www.mdt.mt.gov/publications/docs/grants/subgrantee_manual.pdf



The screenshot shows the MDT website with a navigation bar at the top containing links like 'GOV BSITE', 'SERVICES', 'AGENCIES', 'LOGIN', and 'SEARCH'. Below this is a banner for 'VISION ZERO' with the text 'zero deaths zero serious injuries'. The main content area is titled 'Grants' and features a section for 'Funding for Traffic Safety Projects'. This section includes a paragraph about federal grant monies, a list of funding options, and contact information for Janet Kenny. To the right of the text is an image of a calculator and a document with financial data. Below the image is a list of links related to traffic safety programs, with 'Contract Management Manual' circled in red.

MDT Mike Tooley, Director
about | careers | news | meetings & events | contacts

TRAVELER INFO PUBLIC INVOLVEMENT DOING BUSINESS PUBLICATIONS

VISION ZERO zero deaths zero serious injuries

Grants

Funding for Traffic Safety Projects

The Montana State Highway Traffic Safety Section administers federal grant monies for [traffic safety programs](#) aimed at reducing deaths, injuries, and property losses resulting from traffic crashes.

Some of these grants cover administration costs such as increased overtime patrols for law enforcement agencies and the cost to purchase new law enforcement equipment. Others cover the production and delivery of educational programs.

Funding is limited and awarded through a competitive application process.

Additional funding options (below) are provided to assist those seeking funding for a project or program.

Questions? Please contact:

Janet Kenny
State Highway Traffic Safety Section
406-444-7417

	TAX	CA	7	8	9
\$1,178	\$1,079	527			
898	509				
555	2,415				
2,631	682				
702	271				
309					

Traffic Safety Programs

- Solicitation of New Project Proposals
- Timelines & Milestones for Funding
- Grant Application | Instructions
- Webgrant Application Process Webinar
- Occupant Protection Mini Grant Program Application
- Comprehensive Highway Safety Plan
- Contract Management Manual**
- Project Status Report | Instructions
- NHTSA: Countermeasures that Work