

California Office of Traffic Safety



Pre-Operational Meeting FFY 2018 Grants



Federal and State Regulations, Rules, Guidelines, Policies and Laws

➤ Federal

- ✓ Certifications and Assurances
 - Grant Agreement Exhibit A

➤ State

- ✓ Terms, Conditions and Certifications
 - OTS Grant Program Manual, Appendix B

Grant Requirements

➤ **Authorizing Official Responsibility:**

- ✓ Administer the grant in accordance with the terms of the agreement
- ✓ Maintain timelines specified in the agreement
- ✓ Maintain costs within the approved amounts for each line item/cost category
- ✓ Keep adequate records of grant progress and accountability of funds expended
- ✓ Ensure required grant reports are submitted in a timely manner

Alternate Signature / GEMS User Authority form (OTS-55)

- This form assigns authority for individuals to sign documents and access GEMS on the agency's behalf
- Only the Authorizing Official may submit the form
- Any current GEMS users not included on the form will lose access to the system
- Only authorized users will have GEMS access and be able to submit applications, claims, and QPRs
- GEMS emailed the form to the Authorizing Official and Primary Contact
- Due back to OTS by Thursday, November 9th

Fiscal Requirements

- Funds are not advanced to grantee
- **Expense has to be incurred** (reimbursable)
- Only invoices dated during the grant term will be reimbursed (October 1, 2017 – September 30, 2018)
- Follow your agency procurement policies and procedures
 - Keep a copy with the grant records
- Maintain detailed source documents
- **Actual costs not to exceed budgeted amount**

Fiscal Requirements

➤ Accounting Records

- ✓ Maintain in records which adequately identify and segregate OTS resources and isolate them from all other transactions
 - ✓ Utilize a unique project or accounting code if possible
- ✓ Records must contain information pertaining to grant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures and, if applicable, income

➤ Adequate Source Documentation

- ✓ Authorized costs defined in grant agreement
- ✓ For costs to be eligible for reimbursement, they must be adequately supported by proper documentation
 - ✓ Invoices, purchase orders, time-sheets, travel expense claims, etc.

Fiscal Requirements

➤ Budget Restrictions

- ✓ CFDA funds are intended for specific uses

➤ Copyrights / Trademarks

- ✓ OTS has right to use any work developed under a grant, sub-grant or contract

➤ Records Retention

- ✓ Retain all documents/records for 3 years following the date of the final claim **OR** 3 years after **final disposition of equipment**, whichever is later

Fiscal Requirements: Personnel

➤ Federal Timekeeping Requirements

- ✓ For regular salaried personnel (full-time)
- ✓ Applies to both grantees and subcontractors
- ✓ **Employee Time Certification (OTS-26)**
 - ✓ Employee(s) receiving 100% personnel services funding from OTS
 - ✓ Employee Time Certification form must be prepared at least semi-annually and is available on the OTS website
 - ✓ Must be signed by the employee and supervisory official having first-hand knowledge of the work performed by the employee

Fiscal Requirements: Personnel

Federal Timekeeping Requirements (continued)

➤ Personnel Activity Reports (PAR) OTS-26a

- ✓ Employee(s) receiving less than 100% personnel services funding from OTS (part-time)
- ✓ Time distribution to OTS grants must be supported by after-the-fact PARs
 - ✓ actual time worked and/or accrued leave used
- ✓ PAR must account for 100% of employee's time
- ✓ Signed by employee and supervisor

Fiscal Requirements: Personnel

- Employee(s) receiving personnel services funding from OTS
 - ✓ Supported by daily time cards or payroll period time sheets and activity reports
 - ✓ Time must be certified or approved by a supervisor
 - ✓ Employee benefits must be supported by formally established and approved pay rates

Fiscal Requirements: Personnel

➤ Vacation and Sick Leave

- ✓ Can only take/claim vacation and/or sick leave if the person in the grant funded position has vacation/sick leave on the books
- ✓ Maximum amount of vacation/sick leave that can be charged to the grant cannot exceed the amount that the grant funded position would accrue during the grant term

Fiscal Requirements: Travel

- Follow your agency's approved travel policy
 - Retain a copy with the grant records
- Supported by properly prepared expense reimbursement claims and related receipts
- **If travel (in- or out-of-state) is not specifically listed, a written request and OTS approval is required**
 - Includes SFST, ARIDE and DRE training
- If claiming reimbursement for transportation in agency-owned vehicles, costs must be supported by records (where, when, by whom and miles involved)
- <https://oag.ca.gov/ab1887>

Fiscal Requirements: Contractual

- **Subcontractors are subject to the same OTS policies, procedures, conditions and certifications as the host agency**
- Follow your agency's approved contract policy
- Supported by an approved properly executed contractual agreement, interagency agreement, or memorandum of understanding (MOU)
 - Contracts or agreements shall indicate the term, scope and anticipated product or deliverable
- Host agency is responsible for monitoring contractor expenses and activities
 - Timekeeping requirements
 - Timely, itemized invoices with source documentation

Fiscal Requirements: Equipment

- Equipment is defined as any item with a per unit cost of \geq \$5,000
- Follow your agency's procurement policies and procedures
- **Purchase of equipment items should be completed in the 1st Quarter**
- Equipment Report
 - ✓ Completed within Grant Claim Invoice

Fiscal Requirements: Equipment

Equipment with a per unit cost of \geq \$5,000

- Must provide adequate controls to safeguard property
- Property to be maintained in good condition
- Promptly report lost, stolen or damaged property to OTS
- Maintain updated inventory and location records
- Retain property for the purpose of the program after grant ends

Fiscal Requirements: Equipment

Equipment with a per unit cost of \geq \$5,000

➤ Re-certification of property

- ✓ Equipment Re-certification Report (OTS-25a)
- ✓ Re-certification occurs every two years
- ✓ Until current fair market value is below \$5,000

➤ Equipment purchased with federal funds must be used in traffic safety related activities

- ✓ Similar to the activities in the grant in which it was purchased

Fiscal Requirements: Equipment

Equipment with a per unit cost of \geq \$5,000

- Grantee must notify OTS and request approval if equipment is sold, transferred, damaged, or disposed of at anytime
 - ✓ Requires OTS and NHTSA approval
- If approved to sell or transfer:
 - ✓ If sold, funds from proceeds of sale must be used to further the goals/objectives of the grant in which the equipment was purchased
 - If not, the funds must be returned to OTS
 - ✓ If conveyed/transferred, property must continue to be used in traffic safety related activities (similar to the activities in the grant in which it was purchased)

Procurement Standards

- Grantee must follow their own agency's procurement and contract policies and procedures
 - Retain a current copy with grant records
- Grantee is responsible for ensuring compliance with local, state and federal rules and regulations
- Grantee is responsible for ensuring materials, services and supplies are obtained in the most cost effective manner and costs are reasonable

Monitoring

➤ Single Audit Requirements

- ✓ OTS must ensure agencies are in compliance with the requirements of the Single Audit Act
- ✓ Federal regulation (2 CFR 200) requires entities that expend \$750,000 or more of federal funds in a fiscal year to have an audit performed in accordance with the Single Audit Act
- ✓ Catalog Federal Domestic Assistance (CFDA) number(s) listed in each budget by line item

➤ OTS Audit Reviews

- ✓ California Department of Finance
- ✓ Periodic audits of agency, sub-recipient and subcontractor records for grants funded by OTS

Monitoring

➤ Grant Performance Review (GPR)

✓ Purpose:

- Track progress in meeting goals and objectives
- Compliance with procedures, laws, and regulations and sound program and financial practices to fulfill federal and OTS policies, guidelines, and reporting requirements

✓ Onsite or Telephone

✓ Advanced notification

✓ All source documentation for the selected quarterly Grant Claim Invoice will be required for the review

Prevent Audit Findings

- Make sure costs are allowable
- Follow your agency procurement policies and procedures
- **Maintain good communications between program, fiscal, and OTS staff**
- Maintain good records (fiscal / program)
 - ✓ Including meeting agendas, minutes, attendance rosters
 - ✓ Pictures of grant activities
- Source documentation may be requested by OTS at any time during the grant term

Grant Claim Invoice

➤ **Appropriate source documents:**

- ✓ **Personnel:** No source documents required
 - Grantee retains source documents
- ✓ **Travel:** Submit copies of travel expense claims and appropriate receipts
 - Include approval of travel request
 - Organize source documents by in-state or out-of-state
 - Organize and label source documents by individual(s) and name of trip or training

Grant Claim Invoice

Appropriate support documents (continued)

✓ **Contractual Services:**

- ✓ For each subcontractor that has more than one line item listed in their budget:
 - Grantee/Host Agency completes one Contractual Services Summary Sheet (OTS-39a) per contractor
 - Organize and clearly label each source document with the name of the line item
 - Circle the invoice or receipt totals
 - Include source documents with the appropriate Contractual Services Summary Sheet

Grant Claim Invoice

Appropriate support documents (continued)

✓ **Equipment:**

- Include source documents (invoices / receipts)
- Organize by line item
- Clearly label each source document with the name of the line item
- Circle the invoice / receipt totals



Grant Claim Invoice

Appropriate support documents (continued)

✓ **Other Direct Costs:**

- Include copies of all invoice / receipts
- Organize source documents by line item
- Clearly label each source document with the name of the line item
- Circle the invoice / receipt totals

✓ **Indirect Costs:**

- No source documents required



Grant Claim Invoice

- **When submitted with undecipherable or missing source documents**
 - ✓ Grantee will be notified and instructed to submit missing documents or re-submit the appropriate decipherable source documents for the costs in question
 - **A deadline of three business days will be given**
 - ✓ If decipherable source documents are not received by the deadline, the costs in question will be cut

Grant Claim Invoice

- **Undecipherable source documents include:**
 - ✓ Invoices submitted with amounts that are not **clearly labeled** with the line item to which they belong
 - ✓ Invoice amounts that do not add up to the line item amount on the Grant Claim Invoice
 - ✓ Support material that requires an auditor to figure out claim costs that the grantee should have **organized and clearly matched the amounts on the Grant Claim Invoice**
- **Do not submit material that is not necessary** (such as personnel timesheets, Mapquest directions for travel, contracts with hotels for events, etc.)

Grant Claim Invoice

- Prepared using the agency's accounting records and **based only on actual, recorded costs for the period covered**
- Do not use white out or corrective tape
- Do not round-off numbers

Grant Claim Invoice Submission

- **Due Dates: *Jan. 30, April 30, July 30, and Oct. 30***
 - ✓ No later than 30 days following the end of the quarter
- **Must be submitted for each quarter even if no expenses were incurred during the quarter**
- Can only be submitted by an authorized GEMS user
- Submit via GEMS:
 - ✓ Complete each tab of the Grant Claim Invoice
 - ✓ Source documents must be **organized and clearly labeled** by cost category and budget line item
 - ✓ **Label PDF attachment:** Grant # - Q1 Claim - Description
 - ✓ Upload appropriate source documents (25 MB limit per)

Grant Compliance

➤ Reminders for FFY 2018:

✓ Buy America Act

- Any item \$5,000 or greater **MUST** comply with Buy America Act

✓ Unallowable Costs:

- All meals, food & beverages
 - except per diem costs from approved travel
- Promotional Items

Grant Compliance

- Failure to comply with any term or condition of the grant agreement or program guidelines may result in the:
 - **Withholding**
 - **Disallowance**
 - **Reduction**
 - **Termination**
 - **and / or Denial of Grant Funds**

Fraud Prevention

- Federal grant funds are awarded for a specific “public purpose”
- Grantees must use federal funds within certain parameters
- Unfortunately, fraud, waste and misuse of federal funds can and does occur
- Fraud, waste or misuse of grant funds can lead to job loss, repayment of funds, indictment, etc.

Fraud Prevention Strategies

➤ Training

- ✓ Supervisors, grant program staff, fiscal staff, officers, subcontractors, etc.
 - Emphasize unique conditions of the grant

➤ Supervision

- ✓ Effective monitoring of employees/contractors working on the grant

➤ Communication

- ✓ Maintain written correspondence with OTS about any program or budget questions

Quarterly Performance Report (QPR)

- **Submit via GEMS**
- ***Due: January 30, April 30, July 30, and October 30***
- Thorough report on grant activities conducted each quarter
 - ✓ Detail of the activities undertaken to accomplish objectives
 - ✓ Sample QPR Language (handout)
- Main source of determining grant success and commitment
- Alerts OTS of difficulties you may be experiencing

QPR Overview

➤ Quarterly Overview Section

- ✓ Provide a brief description of:
 - Activity conducted
 - Procurement of grant-funded items
 - Significant media activities
- ✓ May include:
 - Status of grant-funded personnel
 - Status of contracts
 - Challenges
 - Special Accomplishments

QPR Overview

- **Equipment Purchased Over \$5,000 Section**
 - ✓ Report status of equipment purchase(s) \$5,000 or more
 - ✓ If delayed (not purchased in the 1st Quarter), include justification and reasons for delay
 - ✓ Detail steps taken to accomplish purchase(s) and steps still required
 - ✓ Report on the use of the equipment in subsequent quarters

QPR Objectives Narrative

➤ Grant Objectives Narrative Section

- ✓ Refer to Sample QPR Language handout
- ✓ Provide current quarter progress for each objective
- ✓ Provide explanations for objectives not completed and plans for upcoming activities
- ✓ Include problems encountered effecting progress
 - Must provide detailed plan of action to correct deficiencies
- ✓ Enter the number of activities completed

QPR Data Points

➤ **Grant Objectives Data Points Section**

- ✓ Ensure accurate data
- ✓ Base Year Values
 - ✓ Must be completed in the 1st Quarter
- ✓ Data Points for Objectives
 - ✓ Transferred from the narrative section

QPR Data Points

- Traffic Safety Educational Presentations
- Topics should focus on your main traffic safety issues
 - Bicycle, child passenger safety, distracted driving, impaired driving, motorcycle safety, pedestrian, senior drivers, teens
- School assembly, classroom, civic groups, senior centers, etc.
- Participation in activities such as Every 15 Minutes **does not** count
- One presentation with multiple traffic safety messages should be counted as one presentation

QPR Content

➤ Final Evaluation Section

- ✓ **To be completed at the end of the 4th quarter**
- ✓ Brief summary of significant accomplishments/challenges
- ✓ Include:
 - Number & type of activities completed
 - Type of training conducted or received
 - Grant-funded purchases
- ✓ List each goal; indicate the increase/decrease in fatalities and injuries
- ✓ Explain whether objectives were met or exceeded
- ✓ **If objectives were not completed, provide an explanation**



QPR Content

➤ Documentation Section

- ✓ **Label PDF attachment:** Grant # - Q1 QPR - Description
- ✓ Include press releases and significant grant-related documents as an attachment when submitting the QPR electronically
 - Documents should be scanned together to become one PDF file (unless one document exceeds 25 MB)
- ✓ Do not send news articles
- ✓ Only include items specific to the grant

➤ QPR is locked once submitted



Final Quarterly Report

Final Reimbursement Grant Claim Invoice

- Grantees are required to submit a final QPR with the **Final Evaluation Section completed** no later than 30 days following the grant end date
 - ✓ End date of Sept. 30: Due date is October 30
- The final reimbursement Grant Claim Invoice is due no later than 30 days following the grant end date for costs incurred up through the grant end date
 - ✓ End date of Sept. 30: Due date is October 30

Grant Related Training

- **Should be completed in the 1st Quarter**
- **All travel not listed in the budget narrative must be requested and approved prior to incurring costs**
- **DUI / DUID Training**
 - **CHP offers these courses**
 - SFST (NHTSA requirement: minimum 16 hours)
 - ARIDE
 - DRE
 - DRE Re-cert
 - Instructor Courses
- **DUI Checkpoint Planning & Management**

Law Enforcement Agencies

➤ STEP Grants:

- ✓ **Night-time (1800 – 0559) Click It or Ticket operations**
 - Should be conducted during the May CIOT mobilization
 - *NOTE: Similar to the above, Distracted Driving enforcement operations should be conducted during National Distracted Driving Awareness Month in April*
- ✓ **Bicycle and Pedestrian Enforcement Operations**
 - High visibility enforcement (template press release)
 - Focus on motorists, bicyclists, pedestrians

Law Enforcement Agencies

➤ Campaigns / Mobilizations

- ✓ Winter Mobilization (Dec. 15, 2017 – Jan. 1, 2018)
- ✓ Distracted Driving Awareness Month (April 2018)
- ✓ National Bicycle Safety Month (May 2018)
- ✓ National Motorcycle Safety Month (May 2018)
- ✓ Click It or Ticket Mobilization (May 20 – June 2, 2018)
- ✓ Summer Mobilization (Aug. 17 – Sept. 3, 2018)
- ✓ California's Pedestrian Safety Month (Sep. 2018)

Law Enforcement Agencies

➤ Resources

✓ OTS Law Enforcement Liaison

- Bill Ehart
 - Phone: (916) 509-3028
 - Email: bill.ehart@ots.ca.gov
 - Send checkpoint schedules (date, time, & locations)

✓ OTS Law Enforcement Liaison – Public Information

- Wayne Ziese
 - Phone: (916) 509-3023
 - Email: wayne.ziese@ots.ca.gov

Grant Publicity

➤ Grant press releases:

- ✓ All Kick-off press releases must be submitted to OTS PIO
 - **Must be pre-approved, even if using a template**
- ✓ Templates
 - Located on OTS website
 - No prior approval necessary (**except kick-off**)
- ✓ If you write your own or make significant changes to template:
 - Must be pre-approved by OTS two weeks in advance
 - Email draft press releases to pio@ots.ca.gov and copy the OTS Coordinator
- ✓ **Also to be submitted to OTS with QPR:**
 - Press releases (separate PDF attachment – see QPR instructions)

Grant Publicity

- All printed materials:
 - ✓ Show credit to OTS and include standard language
 - ✓ Contain a traffic safety message (pre-approved by OTS)

- Media/Kick-off events to be coordinated with OTS Coordinator

- OTS reserves the right to use materials that were developed using grant funds (host agency and/or subcontractor)

Reminder

- NHTSA grants administered by OTS are awarded on an evidence based evaluation of all available traffic safety data.
- Grants are intended to be seed money to initiate new and innovative traffic safety efforts.
- Future awards may rely on the grantees ability to identify alternative sources of funding to sustain efforts.

Updates

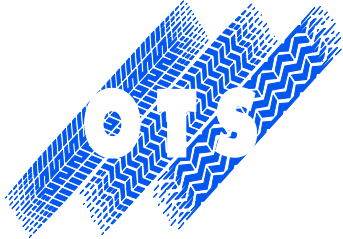
➤ OTS GEMS

✓ **Grant Electronic Management System**

- New web based grant management solution
- Alternate Signature / GEMS User Authority form

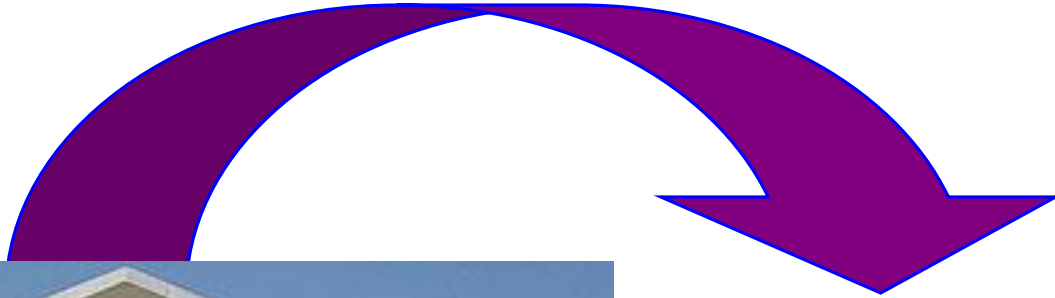
➤ 2019 Applications

➤ Grant Funding Workshops, December 2017



**CALIFORNIA OFFICE
OF TRAFFIC SAFETY**

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