## ILLINOIS - Chapter 9 – Grant Monitoring

### 9-1 Overview

#### What Is Grant Monitoring?

Traffic Safety grant monitoring tracks a project’s progress throughout the fiscal year. Grant monitoring oversees the accomplishment of project objectives and performance measures and compliance with applicable procedures, laws and regulations. Since grant monitoring is ongoing throughout the duration of the project, it serves as a management tool for project control. Grant monitoring also presents a good opportunity for sharing information and assistance. Grant monitoring includes a set of procedures and forms for project review and documentation. Without clear and unambiguous documentation to prove that grant monitoring has taken place there will exist doubt in the minds of the reviewer of the files of whether monitoring has actually occurred. Documentation is the friend of the project manager as it provides evidence that they have been performing their responsibilities.

#### Purpose

Monitoring and reporting program performance are required in order to:

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| * ensure compliance with state and federal requirements |

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| * ensure that objectives and performance measures are being achieved |

Project monitoring also serves as a management tool for:

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| * helping identify changes needed |

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| * identifying training or assistance needed |

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| * providing data necessary for daily operations, planning, and evaluation |

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| * identifying exemplary projects and best practices |

#### Who does the monitoring?

Monitoring is performed by LELs, Project and Program Managers, as well as any other DTS staff who have reason to have contact with the grantee.

**Types of Monitoring**

Monitoring is formal and informal, financial and operational. The most common types of monitoring are:

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| 1. **Ongoing monitoring** that includes contact with the grantee through phone calls, e-mails, correspondence, and meetings (Section 9-2) |

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| 1. **Project monitoring** reviews of project operations, management, and financial records and systems (Section 9-3) |

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| 1. **Review of Project Performance Reports** (Section 9-4) |

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| 1. **Review and approval of Claim for Reimbursement** (reimbursement is addressed in Chapter 8) 2. **Mandatory Grantee Orientation Meetings** (Section 9-5) |

#### In addition to the formal monitoring done above, the following items should also be performed on a regular basis by LELs, Project and Program Managers. (Section 9-5)

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| * desk review of other documents in the project files for timely submission and completeness |

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| * review of reports from the Evaluation Unit to make sure goals and objectives are being met |

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| * monitoring of project activities, grant management and oversight practices |

### 9-2 Ongoing Monitoring

#### Overview

Ongoing monitoring occurs in the ordinary course of operations and includes actions personnel take in performing their duties to assess the quality of internal controls and project performance.

Ongoing monitoring occurs every time an LEL, Project and Program Manager hold a discussion or communicates with a grantee project director about the project and its performance.

#### A. Frequency of the Monitoring

Ongoing monitoring can occur daily, weekly, or monthly. Weekly phone calls may be appropriate if there are problems. Monthly status meetings might be needed for complex projects or those with significant problems. Written correspondence, including e-mails, should address routine matters, unless problems are encountered.

The grantee’s project director should monitor work under the grant agreement with sufficient frequency to be sure that the work is progressing according to the Project Agreement and with sufficient frequency to quickly identify any major problems or variances from the plan. Careful monitoring of work is the best method of assuring compliance with the grant agreement and preventing disputes.

#### B. Items to Cover

Any item related to the progress and management of the grant might be covered in ongoing monitoring. Although usually limited to the progress of activities, ongoing monitoring should also cover the timely submission of complete and correct reports and required documentation, budget issues, overruns or under spending, problems encountered, procurement procedures, projected changes, the need for any amendments, best practices, etc.

#### C. Procedures to Follow

The LEL, Project or Program Manager should routinely set aside time to call or meet with grantee personnel. The LEL, Project or Program Manager should make a list of issues or questions to cover prior to the contact. The LEL, Project or Program Manager should ensure that all issues are covered and that a deadline has been agreed upon to resolve any issues. Documentation of these contacts, such as notes or e-mails, should be kept in the files and made available for monitoring. Each grant agreement includes a provision that the grantee will attend meetings with the LEL, Project or Program Manager, to present the status of activities, discuss problems, and expectations of the project.

#### D. Participants

Ongoing monitoring should involve grant personnel with management or oversight responsibility for the project. In addition to the project director, this would include a financial officer, possibly an agency grants manager, and any other key project personnel.

#### E. Documentation to Complete

Originals of all checklists, reports, and correspondence are to be kept in the project file. Form TS 09 should be used to document ongoing project monitoring. A note to the file should be provided to document meetings and discussions. Copies of complete e-mail contact chains should be added to the project file. This documentation becomes extremely important during the course of the project in case of changes in the project activities, budget, or grant personnel. The documentation is also extremely important at the end of the project, since it is used to evaluate project and grantee performance.

**F. Evidence of Present or Potential Problems**

Documentation should be prepared on any issues discovered and contain at a minimum**:**

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| * detailed explanation of any problems or procedural non-compliance noted and recommendations for corrective actions |

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| * proposed date for next monitoring review |

**G. Training and Assistance Provided**

Documentation should be prepared listing any special services provided or recommended for the future.

### 9-3 Project Monitoring

#### Overview

Telephone calls, letters, and occasional meetings are generally not sufficient to adequately monitor a project. An LEL, Project Manager or Program Manager will need to go on-site to review project status, documents, and grant management and financial records systems. This type of in-depth review is often called "project on-site monitoring" because the LEL, Project or Program Manager must actually go to the location of the project and the offices of the grantee to conduct this monitoring. On-site monitoring should involve all project personnel with management or oversight responsibility for the project, including a financial representative. For enforcement grants, project or program managers should also be included when appropriate.

#### A. Frequency of the Monitoring

On-site monitoring for new grantees of projects must be completed early in the project.

1. For Law Enforcement (including State Agency Law Enforcement) projects quarterly on-site review meetings between the grantee and the LEL are required during the first quarter of a grant. The initial orientation meeting may be held before the effective date of the grant agreement and is considered an on-site meeting for documentation purposes. Orientation meetings should be documented on the TS 26 for local project agreements or TS 26-A form for the state agency project agreements. After the first quarter, on-site meetings may be held each quarter or as otherwise determined and documented by the LEL Supervisor. Projects evidencing any significant problems might need on-site monitoring more frequently. Some local projects by their nature may not lend themselves to multiple on-site visits and should be treated accordingly.
2. For Non Law Enforcement (including State Agency Non Law Enforcement) projects, on-site review meetings at the grantees business site shall be held at least once each quarter. The initial orientation meeting may be held before the effective date of the grant agreement and is considered an on-site meeting for documentation purposes. Orientation meetings should be documented on the TS 26 or TS 26-A form.

For projects with minimal levels of activity for parts of the year, project monitoring at a reduced level may be appropriate. A written schedule for monitoring should be developed and documented by the Project or Program Manager and submitted to the Program Manager for review and approval by the Director or their designee.

1. LELs, Project or Program Managers are also expected to have other regular contact with their grantees through an exchange of e-mails, letters, phone calls, etc. These additional contacts should be documented in the file.

#### B. Items to Cover

On-site monitoring includes all issues related to the effective and efficient operation of the project. The following, though not all-inclusive, are the most important items to review:

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| 1. Progress toward achievement of objectives and performance measures. |

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| 1. Adherence to the Project Agreement. |

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| 1. Timely submission of complete and correct reports, including required  Documentation. |

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| 1. Status of expenditures as they relate to the budget, including any overruns or under spending. |

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| 1. Personnel records and time sheets. |

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| 1. Any necessary pre-approvals. |

#### C. Procedures to Follow

#### Advance Preparation

Prior to the on-site monitoring, the LEL, Project or Program manager should:

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| 1. Plan each on-site monitoring visit well in advance (preferably at least two to three weeks). |

2. Carefully review the grant agreement to determine which activities in the Project Agreement should have been accomplished by the on-site monitoring date.

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| 3. Note any special terms, conditions, or problems that need monitoring. |

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| 4. Review all correspondence, Performance Reports, and Claims for  Reimbursement submitted prior to the visit. |

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| 5. Set up appointments with key project staff (management and fiscal). |

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| 6. Provide a list of the documents to be reviewed, if any are required. |

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| 7. Note any items requiring follow-up from previous monitoring visit. |

#### Review of Project Status

The LEL, Project or Program Manager will review the status of project activities. Examples of evidence of progress toward task completion might include:

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| 1. Attendance rosters for training projects or events |

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| 2. The number of citations for enforcement projects |

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| 3. Newspaper clippings of events and public information activities |

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| 4. Written analyses and reports for data or problem identification projects |

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| 5. Survey or questionnaire results |

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| 6. Personnel training records. |

#### Review of Budget Requirements

The LEL, Project or Program Manager will review appropriate program and financial documents for adherence to budget requirements, including, but not limited to, determining that:

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| 1. Expenditures are on schedule |

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| 2. Costs are in the approved budget category or any subsequent  amendment |

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| 3. Any necessary prior approvals for travel, equipment purchases, or  changes have been obtained |

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| 4. Appropriate procedures have been followed for all expenditures |

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| 5. Appropriate supporting documentation is available and filed |

#### Direct Observations

Although not required, on-site monitoring could also include direct observation of activities performed. These might include attendance or participation in a:

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| 1. Meeting, workshop or training course |

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| 2. Press conference or other media event |

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| 3. Presentation to a school, organization, or civic club |

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| 4. Task force or committee meeting |
| 5. Target Detail, RSC or SBEZ, Saturation Patrol |

#### D. Participants

On-site monitoring should involve grant personnel with management or oversight responsibility for the project. In addition to the project director, this would include a financial officer and any other key project personnel.

#### E. Documentation to Complete

The LEL, Project or Program Manager will complete the On-Site Project Monitoring Checklist and Report (IDOT Form TS 09), sign it according to the instructions provided, and attach copies of all appropriate records and other documents reviewed during the visit. For Law Enforcement projects the grantee Project Director should sign the form at the completion of the on-site and be provided a copy. The LEL, Project or Program Manager will each retain a copy of the report. The original with any appropriate attachments will be placed in the Project File at the Division of Traffic Safety.

The initial orientation meeting should be documented on the TS 26 or TS 26-A form. For all projects the grantee Project Director should sign the TS 09 form at the completion of the on-site and be provided a copy.

The form may be obtained from the Division of Traffic Safety or by contacting any of IDOT's LELs.

**F. Evidence of Present or Potential Problems**

Documentation should be prepared on any issues discovered and contain at a minimum**:**

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| 1. Detailed explanation of any problems or procedural non-compliance  noted and recommendations for corrective actions. |

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| 2. Proposed date for next monitoring review. |

**G. Training and Assistance Provided**

Documentation should be prepared listing any special services provided or recommended for the future.

**H. Out of State Travel Approval Process**

Requests for approval of out of state travel by a grantee should be submitted to the LEL, Project or Program Manager far enough in advance to allow for review; a minimum of 2 months is suggested. Requests should be documented on the TS 601, Highway Safety Project Request for Out-of-State Travel form available on the website. Approval by the Director of Transportation Safety is required prior to the travel taking place. A copy of the approval must accompany the invoice where the reimbursement is requested.

### 9-4 Project Performance Reports

#### Introduction

Monitoring is also dependent upon the timely submission and careful review of each Project Performance Report submitted by the grantee and performance reviews conducted by the DTS Evaluation Unit.

#### Content

Performance Reports will contain brief information on the following:

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| 1. A comparison of actual accomplishments to the objectives established for the  period |

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| 2. The reason for lack of accomplishment if established objectives were not met |

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| 3. Additional pertinent information including newspaper articles, pictures, etc. |
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| 4. Required data tables |

#### Frequency

The frequency of reporting is established in the project agreement; normally it is monthly. Reports for enforcement grants with campaigns are due on the dates listed in the project agreement schedule; this is usually following the completion of the enforcement campaign. Short-term projects i.e. Click It or Ticket and/or Labor Day mini mobilization enforcement projects may only require one report from the grantee. For all other grants the monthly report is due by the 10th of the following month.

However, under certain circumstances DTS must be informed as soon as the following types of conditions become known:

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| * Problems, delays, or adverse conditions, including a change of project director or other changes in grantee personnel that materially affect the ability to meet project objective of the grant. This disclosure must include a statement of the action taken, or contemplated, and any assistance needed to resolve the situation. |

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| * Favorable developments or events that enable meeting time schedules and objectives sooner at less cost than anticipated or producing more beneficial results than originally planned. |

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| * Unfavorable developments or events that will prevent the meeting of time schedules and objectives. |

Such circumstances should be detailed in a letter to DTS or clearly explained in the monthly or quarterly report.

#### Documentation Requirements

For non Law Enforcement grants all parts of the Performance Report Form (IDOT Form TS 07) must be completed. Supplemental information and documentation may be submitted with the Performance Report. Instructions are included with the form. Some projects with sporadic activity may require only quarterly reports and should have that documented on the first report form filed.

CPS Report Forms TS 203 and TS 204

Injury Prevention Program Monthly Income and Expenditure Report TS 206

For Law Enforcement grants the appropriate form for each type of grant shall be utilized, these forms include:

STEP Report Form TS 205

LAP Report Forms TS 300 and TS 301

### 9-5 Mandatory Grantee Orientation Meetings

Meetings may be held at various locations throughout the state usually in September to review goals and procedures for DTS local highway safety projects. Grantees are expected to attend these events as a condition of receiving their grant. DTS staff should use these meetings to cover topics such as:

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| 1. New and revised specifications and grant requirements |

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| 2. Accomplishments from the past year and goals for the next year |

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| 3. Changes in forms and reports and other areas of interest |

### 9- 6 Other Desk Review Items

In addition to the other types of monitoring that is done, LELs, Project and Program Managers should on a regular basis review other documents related to their assigned projects and grants.

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| 1. Desk review of other documents in the project files for timely submission and completeness. |

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| 2. Review of reports from the Evaluation Unit. |

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| 3. Monitoring of grant activities, grant management and oversight practices. |
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### 9-7 Equipment Inspection

The LEL, Project or Program Manager will normally inspect annually any equipment with a purchase value of $5,000.00 or more purchased as part of a project. When inspecting the major equipment item a TS 36 Major Equipment Inventory Inspection form must be completed by the project manager and put in the project file. In addition other items purchased for grant use, with a value less than $5,000.00, should also be inspected. This includes items such as computers, printers, cameras, in-car video cameras, radars/lasers, fax machines, trailers, etc. This is to ensure that the equipment and items are being used for the purpose for which it was purchased under the grant agreement or inter agency agreement (IAA).

### 9-8 Approval of Grantee Generated Printed Items and Advertising

Project managers shall ensure that before a grantee publishes printed materials or print or broadcast advertising (TV or radio) which are funded through the grant the materials are reviewed and approved by the DTS Executive Office. This process may take some time to complete so make sure the grantees submit materials with sufficient lead time.

Materials from grantees must be submitted to the Project Manager who will initiate the review process. The Grant Manager will review and then forward the draft material to the Program Manager, the DTS Deputy Director and then to the IDOT Office of Communications for final approval/denial.

After the Office of Communications reviews and approves/denies the request, it will be returned to the DTS project manager who will notify the grantee if the request has been approved or denied, or needs additional corrections.

### 9-9 Project File Reviews

Various management staff will perform regular reviews of project files to ensure that adequate project management activities are being documented at least once each quarter for state agency grants and bi-yearly for local grants. This review shall be documented by completion of a form TS 27 Project File Review or TS 27-B State Agency Project File Review. A copy of the form shall be maintained in each file and a summary of any findings should be prepared and discussed with appropriate management staff to deal with any issues discovered.

### 9-10 Resolution of Findings

During the course of a project, circumstances may arise that accelerate project activities, delay the project, or are otherwise outside of the scope of the project. According to the TS 08 of the Highway Safety Project Agreement, Conditions and Certifications, letter I, Termination or Cancellation of Highway Safety Project Agreement, no termination or cancellation of the agreement shall be effective unless three conditions are met.

### 9-11 Project Audit

If financial irregularities within the scope of the project agreement are identified, DTS may request that IDOT's Audit Section perform an audit.

### 9-12 Project Manager Checklists

During the grant year each project manager may at their discretion, maintain in each of their working files a copy of either the TS 38 Non Law Enforcement Grant Manager Checklist or the TS 38a Law Enforcement Grant Manager Checklist as appropriate.

* As documents related to the grant are submitted by the project manager to Springfield they should be checked off on the checklist.
* When the grant is completed the checklist, if used, should be completed, signed and dated and mailed to Springfield attached to the final claim for reimbursement.