



U.S. Department of Transportation



Grants Management Grantee Manual Training



Chapter 1





Agenda

Module #	Module Title
1	Introduction
2	Pre-Award: Planning and Announcement
3	Pre-Award: Application Budget
4	Pre-Award: Application Review
5	Award Process
6	Post-Award: Grantee Reporting and Oversight – Part I
7	Post-Award: Grantee Reporting and Oversight – Part II
8	Grant Close-Out
9	GrantSolutions Overview



FMCSA Grants Management Objectives

- Ensure accountability
 - Application of internal controls
 - Rigorous checks and balances
 - Increased oversight of federal funds
 - Clarification of roles and responsibilities
- Reduce risk
 - Organizational and Individual
- Implement standardization
 - Forms and Documentation
 - Processes
- Develop transparent processes
- Streamline business processes





Overall Training Performance Objectives

- Describe the FMCSA grants management principles and lifecycle (Module 1)
- Identify the key systems used for FMCSA grants management (Module 1)
- Describe the key roles and responsibilities of grantees and FMCSA (Module 1)
- Know where to find the key regulations pertaining to FMCSA grants management (Module 1)
- Describe the different types of FMCSA grants and grant programs (Module 1)



Overall Training Performance Objectives, Continued

- Describe the key components of the pre-award process (Module 2)
- Explain the cost principles, uniform administrative requirements and the basics of a project budget (Module 3)
- Identify the key components in the FMCSA application review process (Module 4)
- State the primary tasks involved in the post-selection award process (Module 5)





Overall Training Performance Objectives, Continued

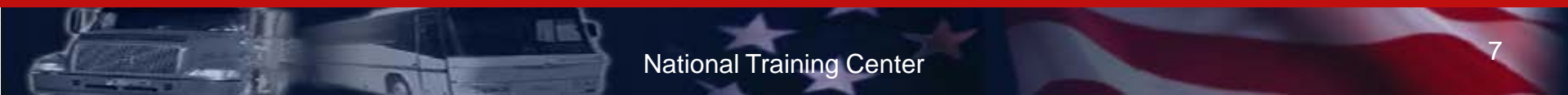
- Explain the key elements in the grant reporting and oversight process (Module 6 and 7)
- Identify proper award close-out procedures (Module 8)
- Understand the basic functions of GrantSolutions (Module 9)





Manual Table of Contents

Chapter/Appendices	Module	Topic
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4	4	Pre-Award: Application Review
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6	6 & 7	Post-Award: Grantee Reporting and Oversight
7	8	Grant Close-Out
A		Guidance for Developing an Object Class Budget
B		Application Submission Checklist
H		Amendment Request Template
J		Final Close-out Checklist
K		Forms
		Glossary of Terms
		List of Acronyms & Symbols





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FMCSA Grants Management Overview





Module Performance Objectives

By the end of this module, you should be able to perform the following tasks successfully:

- Describe the FMCSA grants management principles and lifecycle
- Identify the key systems and resources used for FMCSA grants management
- Describe the key roles and responsibilities of grantees and FMCSA
- Know where to find the key regulations pertaining to FMCSA grants management
- Describe the different types of FMCSA grants and grant programs





Guiding Principles and Stewardship

- Both the grantee and the grantor are accountable for proper stewardship of award dollars
- FMCSA
 - Oversight and monitoring to assure compliance with statute, regulations, and Notice of Award
 - Administrative Regulations
 - Cost Principles
 - Program Requirements
 - Single Audit Act (OMB Circular A-133)
 - Terms and Conditions of the Award (Ts&Cs)





Guiding Principles and Stewardship

- Grantee
 - Effectively administer the grant in accordance with applicable statutes, regulations, cost principles, Notice of Grant Award and Terms and Conditions
 - Ensure approved activities and expenses are in accordance with approved grant plan and budget
 - Communicate with FMCSA if you anticipate changes are needed. **THIS IS CRITICAL!!**
 - Ensure proper oversight and monitoring and submit all reports as required





Grantee Grants Management Lifecycle

Pre-Award: Planning, Application Submission, Application Review

Grant Award

Post-Award: Grant Reporting & Oversight

Grant Close-Out

- Prepare for grant application
- Receive applicant support, information and training
- Review funding announcement
- Develop application, including application budget
- Submit application
- FMCSA undertake application review
- FMCSA select grantees and obtain funding approval

- Receive award notification or notification of non-selection
- FMCSA Obligate funds

- Establish grant files and prepare for on-going reporting
- Submit periodic progress reports, and voucher reimbursement requests
- FMCSA conduct monitoring review of reports and vouchers
- FMCSA reviews audits
- FMCSA perform and grantee participate in onsite monitoring
- Submit request for amendments
- Develop and implement sub-grantee monitoring and oversight activities

- Submit final financial progress report
- Perform a final financial reconciliation
- Dispose of equipment and real property
- Close and file the final grant documentation





Key Grants Management Systems and Resources





Key Grant Management Systems

- Grants.gov – <http://grants.gov>



- All applicants for FMCSA grants need to register for Grants.Gov access prior to submission of their application.

- GrantSolutions – <http://www.grantsolutions.gov>




- Electronic Grants Management system used by FMCSA
- FMCSA Financial Processor (iSupplier)
 - New on-line voucher system begun in Summer 2012
<http://www.dot.gov/cfo/delphi-invoicing-system.html>





Key Grant Management Resources

- Office of Management Budget (OMB) - www.whitehouse.gov/omb/ Office of Management and Budget
 - Website provides governing grant regulations, many of the standard forms used, as well as circulars and guidance





FMCSA Grants Management Resources

- Local FMCSA Division Office
- FMCSA Service Center
- FMCSA Website - www.fmcsa.dot.gov



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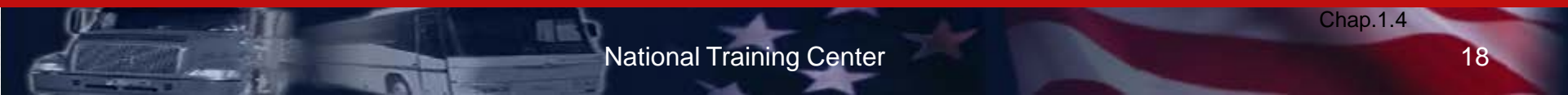
Roles and Responsibilities





Applicant

- A state government, a county, city, or township government,
- Institution of higher learning,
- Non-profit organization,
- For-profit organization, or
- Native American tribal government (BEG only)
- Submits an application to FMCSA





Grantee

- Sign Grant Agreements and amendments;
- Comply with applicable laws, regulations and policies governing grants
- Carry out the requirements of the grant agreement and achieve the milestones/performance goals;
- Submit quarterly reports, vouchers, audits, reviews,
- Maintain equipment inventories and property records;
- Provides the non-federal share of the grant amount;
- Oversees sub-grantees per OMB regulations;





Grant Manager/FMCSA Division Office

- Oversees day-to-day performance of grants
 - Review of quarterly reports, vouchers and financial oversight
 - Conducts site visits and other monitoring activities
 - Grant work/program activities
- Reviews and concurs on grant award recommendations
- Point of contact for grantee
- Initiates grant close-out





FMCSA Authorizing Official

- Service Center State Program Managers/OCFO
- Signs and legally obligates grant awards and amendments
- Supports the activities of and provides Grant Assistance to Divisions
- Reviews and concurs on grant award/amendment recommendations
- Provides technical advice





FMCSA Grant Program Manager

- FMCSA State Programs Division Chiefs or delegated State Program staff
- Primary point of contact pre-award and contact on the Funding Opportunity Announcement
- Handles grant application process from announcement to Grant Agreement
- The FMCSA official responsible for the administration of the FMCSA grant programs





Governing Regulations and FMCSA Program Overview



Governing Regulations



- FMCSA grantees must also comply with OMB Circulars that govern cost principles.
- Grantees are responsible to ensure all Sub-Grantees comply with OMB Circulars appropriate to the sub-grantee type and organization





Governing Regulations

Grantee Type	Regulation
State, Local or Tribal Government	Administrative Requirements OMB Circular A-102
State, Local or Tribal Government	Cost Principles 2 CFR Part 225 (OMB Circular A-87)
State, Local or Tribal Government, Non-profits & Institutions of Higher Education	Agency Grants Management Common Rule 49 CFR Part 18, 19, and 20 DOT Regulations for grants, cooperative agreements and other agreements
State, Local or Tribal Government, Non-profits, Institutions of Higher Education	Audit Requirements OMB Circular A-133
Non-profit Organization & Institutions of Higher Education	Administrative Requirements 2 CFR Part 215 (OMB Circular A-110)
Non-profit Organization	Cost Principles 2 CFR Part 230 (OMB Circular A-122)
Institutions of Higher Education	Cost Principles 2 CFR Part 220 (OMB Circular A-21)





Types of FMCSA Grants

- FMCSA administers two types of federal financial assistance programs
 - Formula – MCSAP Basic and Incentive
 - Discretionary – all other FMCSA programs





Grant Program Legal Citations

Type of Grant	Legal Citations
Motor Carrier Safety Assistance Program (MCSAP) Grants – Basic and Incentive	SAFETEA-LU 4101(a), 4106 basic and incentive; 49 U.S.C. 31102-31104 (2006), as amended.
Motor Carrier Safety Assistance Program (MCSAP) Grants New Entrant	SAFETEA-LU 4107(b); 49 U.S.C. 31104(a) and 31144(g)(5) (2006), as amended
Motor Carrier Safety Assistance Program (MCSAP) Grants High Priority	SAFETEA-LU 4107(a); 49 U.S.C. 31104 (k)(2006), as amended
Performance and Registration Information Systems Management (PRISM) Grants	SAFETEA-LU 4101(c)(3) and 4109; 49 U.S.C. 31106(b) and 31109 (2006), as amended.
Border Enforcement Grants (BEG)	SAFETEA-LU 4101(c)(2) and 4110; 49 U.S.C. 31107 (2006), as amended
Commercial Driver’s License Program Improvement (CDLPI) Grants	SAFETEA-LU 4101(c)(1) and 4124; 49 U.S.C. 31311 and 31313 (2006) as amended
Commercial Driver’s License Information System (CDLIS) Modernization Grants Program	SAFETEA-LU 4123; 49 U.S.C. 31309 and 31311 (2006), as amended
Core and Expanded Commercial Vehicle Information Systems and Networks (CVISN) Grants	SAFETEA-LU 4101(c)(4), 4126; 49 U.S.C. 31106, Historical and Statutory Notes (2006), as amended
Safety Data Improvement Program (SaDIP) Grants	SAFETEA-LU 4101(c)(5) and 4128; 49 U.S.C. 31100, Historical and Statutory Notes (2006), as amended
Commercial Motor Vehicle (CMV) Operator Safety Training Grants	SAFETEA-LU 4134; 49 U.S.C. 31301,31104(i) (2006), as amended



Wrap Up and Knowledge Check





Summary

- Now that you have completed this module, you should be able to successfully meet the module performance objectives to:
 - Describe the FMCSA grants management principles and lifecycle
 - Identify the key systems and resources used for FMCSA grants management
 - Describe the key roles and responsibilities of grantees and FMCSA
 - Know where to find the key regulations pertaining to FMCSA grants management
 - Describe the different types of FMCSA grants and grant programs





Check Your Knowledge

- Module 1 Knowledge Check
- Module 1 Knowledge Check Answers

