



Pre-Work Form

This meeting is designed to make sure the grantee knows what is required as a recipient of Federal funds per Uniform Guidance 2 CFR 200 Chapters I and II. Part of the collaboration is ensuring that claims and expenses reflect the most efficient and effective use of resources for each grant.

The Project Manager and Grantee need to initial beside each of the following items to indicate the subject has been covered and understood. If not applicable mark N/A.

Item	PM Initial	Grantee Initial	N/A
Review Policy and Procedures Manual for Grantees. PM will provide the manual via email.			
Action Plan: there needs to be a clear understanding of what the grantee plans to do for their action items			
Approved Budget: Discuss the approved budget and what to do if revisions are needed. Expenses will only be paid if they are in the budget plan. Budget amendments are highly discouraged in the last quarter.			
Indirect Costs: If grantee plans to claim more than 10% they need to provide a current indirect cost rate letter. 2CFR200.414			



Item	PM Initial	Grantee Initial	N/A
Program Income: charging for classes or training would be considered program income. Currently the HSO does not allow Program Income.			
As of April 4th, 2022, an active SAM.GOV certificate showing the expiration date and UEI number needs to be uploaded to the egrants system.			
Proof of Insurance: Current proof of insurance or self-insurance needs to be uploaded to egrants.			
Certificate of Good Standing: If applicable, the certificate needs to be updated to egrants.			
Audit Exemption: Please note in this box if the agency is subject to a Single Audit Report, which would mean the grantee or their parent organization expends more than \$750k in Federal funds in a fiscal year. CDOT's Internal Audit will contact your organization at a later date if applicable. Also PM will make note in the Monitoring Spreadsheet if the grantee is subject to a Single Audit Report. 2CFR200.501			
Purchase Order/Grant Agreement: PM will ensure PO/agreement has been uploaded into egrants and provided to grantee			



Item	PM Initial	Grant ee Initial	N/A
<p>PARS: A person is required to complete a PARS if the salary/pay is being reimbursed. PARS needs date, hours worked, description of task, and signature. 2CFR200.430(i)8</p> <p>Law enforcements' hours worked are shown by the grant manager pulling a payroll report showing the date and time worked for the grant and pay rate, Also the number of contacts/warnings/arrests is required.</p>			
<p>Personnel records and payroll documentation: pay stubs and a breakdown of the amount being claimed are required. (For example: make it clear if grantee is being paid per hour or a % of their salary in the back up documentation.)</p>			
<p>Operating Expenses: Provide invoice and proof of payment. Expenses cannot be claimed in the prior month. Ex: August expense cannot be claimed in July's claim.</p>			
<p>Allowable Expenses: Review NHTSA Memo. No food, no cost of entertainment, no office furniture, no incentives.</p> <p>Purchases must be made through regular procurement methods by using cash/credit card/check. An invoice and proof of payment are required.</p>			



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<p>Food: Only allowed in special situations: The meeting must be a “formal conference”, must include training, have a formal agenda, minutes and roster of attendees. Substantial functions must be taking place for a meal or refreshments to be allowed. This MUST be approved by the PM beforehand.</p>			
<p>Incentives: Not allowed-includes gift cards, t-shirts, finger rings, stickers, other trinkets. Informational/Educational items are allowed.</p>			
<p>Discuss requirements for advertising/PR to be approved by Communications.</p>			
<p>Review In-State Travel Policies. Review CDOT’s form, per diem rates for meals, and mileage. Form must be signed and dated by the person claiming the mileage with time and date of departure/return and beginning and ending addresses. Google maps are required. As of 1/1/23 the mileage rate is at 59 cents/mile. Must use per diem rates on GSA.gov for lodging. If grantee cannot find lodging within per diem rate discuss with PM before booking. If grantees have tax exempt status they must try to have the state taxes waived for lodging.</p>			
<p>Travel must be indicated in the budget. Credit Card statements are not acceptable for lodging. Invoice is required.</p>			



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<p>If Grantee works with Subcontractors they must follow their policy and procedures. A copy of the policy and procedures might be requested to be reviewed by the HSO. The pay rates must be reasonable.</p> <p>If more than \$25k is budgeted for subcontractors the contract between grantee and subcontractor must be provided to the HSO if grantee claims the de minimis indirect rate. 2CFR200 Appdx VII C</p>			
<p>Claims need to be submitted within 45 days. Backup documentation must be easily identified. Final claim must be submitted no later than November 15th. Review any questions with the egrants system.</p>			
<p>Accruals: Grantee must submit estimated costs through June 30th for outstanding claims for state fiscal year end.</p>			
<p>Year End Spending: Grantees need to adhere to their budget and action plan. Spending down their remaining funds at the end of the year is not allowed.</p>			
<p>Quarterly reports: Expectations of the quality of the reports and due dates</p>			



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Quarter 4/Final Report: Due Nov 15th. Needs to be data driven, including qualitative and quantitative measures of success and activities completed.			
Annual Report: Due November 15th. (will be included in the OTS Annual Report) is done on a specific template sent by the PM in October. The requirement is half a page, concise summary of overall project and achievements for the year.			
Site Visits/Event/Virtual Monitoring: PM's and Grantees will strive to have at least one on-site visit. Financial visits when necessary.			
Record Retention Requirements: All documentation pertaining to the grant must be retained for three years. 2 CFR Part 200.334			
Capital Equipment (purchase of \$5,000 or more) requires justification and pre-approval. If approved, there are a number of forms and agreements necessary, including an annual inspection. 2CFR200.439			
Grantee is not listed on the Suspended Debarred list. (Look at PM packet for most current list) 2CFR200.206(d)1			



Item	PM Initial	Grant ee Initial	N/A
Risk Assessment: Explain how a risk assessment is done and why. 2CFR200.206B			
Any recent or upcoming staff changes that the PM should be aware of? Grantees need to inform their PM of any key staff changes including signature authority within 10 days. The PM must document in egrants.			
Discuss prior performance history: timeliness of reporting, accuracy of claims, % of time spent on grants previously			
Discuss previous site visits.			
Communication Expectations: Grantees and PM's will make every effort to respond to emails within 5 business days.			



Item	PM Initial	Grantee Initial	N/A
<p>NOTE: If an audit is performed on Grantee's records for any fiscal year covering a portion of the term of this Grant, Grantee shall submit a copy of the final audit report to CDOT. All state and local government and non-profit organization contractors receiving more than \$750,000 from all funding sources that are defined as federal financial assistance for Single Audit Act Amendment purposes shall comply with the audit requirements of OMB Circular A-133 Now Super Circular 200 (Audits of States, Local Governments, and Non-profit Organizations).</p>			

Agency Name			
Program Title			
Task #			
Attendees			
	Printed Name	Signature	Date
Project Director			
Financial Officer			
HSO Project Manager			



List of Resources for Grantees

Please check the forms the grantee would like to receive.

(PM: these forms can be found in the OTS drive under OTS/2023/Pework,RiskAssessment,NTP/Forms available for Grantees)

Form	Check Box
1) Policy and Procedures Manual	
2) PARS for single program	
3) PARS for multiple program	
4) NHTSA Unallowable Costs Memo	
5) Mileage Reimbursement Form	
6) Rates and Policies for per diem/travel	
7) Sub Contractors HSO Monitoring Form	
8) HSO Grantee Timeline and Due Dates	
9) Claims Checklist	
10) Interested in meeting with PM and PCA to review what is needed in claims	

