**Results**

 **of States Reviewed in**

**FY 2015**

**9 States with no findings**

**5 States with 1 finding**

****

**6 States with ≥ 2 findings**



**2015 Management Review Summary**

**Introduction**

The Moving Ahead for Progress in the 21st Century (MAP-21) requires NHTSA to provide an annual Summary Report of findings from Management Reviews and corrective action plans. This report summarizes findings from the 20 management reviews conducted by NHTSA Regional Offices during fiscal year (FY) 2015 and the improvement plans (corrective action plans) from States with findings. Management reviews apply to SHSO grant activity during FYs 2013, 2014 and 2015.

**Background**

NHTSA has conducted triennial Management Reviews (MRs) of State Highway Safety Offices (SHSOs) since FY 2005. The MRs were codified in Section 2008 of SAFETEA**-**LU and continue under MAP**-**21 with the exception of highway safety programs of the U.S. Virgin Islands, Guam, American Samoa, and the Commonwealth of Northern Mariana Islands, who are relieved of the 3-year requirement and have the MR conducted as often as the Secretary determines to be appropriate.

NHTSA’s Office of Grants Management and Operations administers approximately $600,000,000 in grant funds each year and is committed to being good stewards of taxpayer dollars.

**Purpose**

The purpose of the MR is to conduct an in-depth review of the SHSO systems, programs and operational processes to improve and strengthen highway safety practices. As part of NHTSA’s annual State risk assessment, the results of each MR is viewed in combination with annual regional oversight and monitoring activities, and used as a basis for NHTSA to develop and execute annual State monitoring plans and provide focused technical assistance.

On a national level, MR results are evaluated and used to determine the need for modifications to NHTSA training classes and provide content for joint priority State webinars with the Governors Highway Safety Association (GHSA), the annual GHSA-NHTSA Federal Relations meeting and ongoing dialogue with the GHSA Executive Board.

**Outcome**

Major

**Findings**

Improper payments

Equipment mismanagement

**Minor**

**Findings involved**

Maintenance of effort

Vouchering

Time and attendance

Problem identification

Subrecipient certifications

Indirect costs

Results of the MR are documented as commendations for recognition of best practices or exemplary performance, as findings, which are compliance issues that require corrective action; or management considerations, which provide recommendations for improvement. In total, there were 23 commendations, 30 findings and 63 management considerations.

15 of 20 States had commendations

9 of 20 States had no findings

3 of 9 States that had no findings also had no management considerations

16 of 20 States had management considerations

**Major Findings**

When the same finding occurs three or more times in a given year, NHTSA considers it to be a major finding. In 2015, these findings were in the improper payments and equipment mismanagement categories.

7 of 30 findings involved improper payments

5 of 30 findings involved equipment mismanagement

5 of 30 findings involved equipment mismanagment

Improper payments occurred for a variety of reasons including: payment in the wrong year, outside the scope of a project, ineligible under a particular grant, or not an allowable cost with Federal dollars. Equipment mismanagement resulted from lack of adherence to State policies and procedures related to documenting and tracking equipment.

**Actions**

States with findings are required to receive a Corrective Action Plan (CAP), which is tracked and reviewed quarterly by the NHTSA Regional Office until all corrective actions are satisfied. Of the eleven States with findings, one State closed their finding prior to the final report, (and required no CAP). As of November 2016, eight of the ten CAPS are closed.

NHTSA continues to meet with the Governors Highway Safety Association annually to discuss emerging oversight and program issues, and to plan educational activities such as webinars. Major MR findings are discussed in Management Review, Managing NHTSA Grant funds and Managing Highway Safety Programs courses that are provided to NHTSA and State highway safety professionals through the Traffic Safety Institute.

**FUTURE PLANS**

To improve efficiency and ability to conduct meaningful analyses, NHTSA is working to develop an electronic database to track results and actions from all oversight activities.