Watch Your Car
TEXAS AUTO BURGLARY & THEFT PREVENTION AUTHORITY

Automobile Burglary & Theft Prevention Authority

Board Meeting

Austin, Texas

October 7, 2015

Texas Department of Motor Vehicles

4000 Jackson Avenue
Austin, Texas 78731
www.txwatchyourcar.com

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MEETING BOOK

AUTOMOBILE BURGLARYAND THEFT PREVENTION AUTHORITY
4000 JACKSON AVENUE, BUILDING 1, LONE STAR ROOM
AUSTIN, TEXAS 78731
OCTOBER 7, 2015 9:00 AM

AGENDA

BOARD MEETING
AUTOMOBILE BURGLARY AND THEFT PREVENTION AUTHORITY
4000 JACKSON AVENUE, BUILDING 1, LONE STAR ROOM
AUSTIN, TEXAS 78731
WEDNESDAY, OCTOBER 7, 2015
9:00 A.M.

All agenda items are subject to possible discussion, questions, consideration, and action by the Board of the Automobile Burglary and Theft Prevention Authority (Board). Agenda item numbers are assigned for ease of reference only and do not necessarily reflect the order of their consideration by the Board. The Board reserves the right to discuss any items in executive session where authorized by the Open Meetings Act.

1. CALL TO ORDER

A. Call to Order and Establishment of Quorum
B. Approval of Transcript as Minutes
C. Public Comment
D. Comments from Chairman and Board Members
  - Commendations and Congratulations

2. REPORTS

A. Director's Report – Bryan Wilson (including designated staff)
Report on ABTPA-related activities identified by the Director as noteworthy, which may include reports on:

1. Budget
2. Grant Analysis
3. Grant Adjustments
4. Educational Program and Marketing
5. Grant Monitoring
6. Agency Operations
7. Personnel Matters

B. Interagency Contracts

1. Texas Comptroller of Public Accounts
2. Texas Department of Public Safety - Motor Vehicle Theft Investigators School
3. Texas Department of Criminal Justice - Office of Inspector General - Fuginet

3. BRIEFINGS and ACTION ITEMS

A. FY16 Grant Award Follow-up - Consider Clarification on the City of Denton Grant Award

B. Proposal of Rules under Title 43, Texas Administrative Code - David Richards Chapter 57, Automobile Burglary and Theft Prevention Authority
Amendments to §57.9, Nonsupplanting Requirement; §57.14, Approval of Grant Projects; §57.18, Grant Adjustments; 57.48, Motor Vehicle Years of Insurance Calculations; and §57.51, Refund Determinations

C. Authorize Director to Publish and Maintain Grantee Administrative Manual

D. Authorize Director to Publish and Maintain ABTPA Operations Guide

E. Insurance Refund Request from American National Insurance Company

F. International Association of Auto Theft Investigators Membership for ABTPA Board Members

G. Discussion regarding the establishment of a Strategic Planning Process and Meetings:
1. Legislative Appropriation Request FY18-19
2. Rewrite of ABTPA Enabling Statute
3. FY 2016 Biennial Plan of Operation
4. FY 2016 Education Programs and Marketing Initiative
5. FY 2017 Grant Cycle

4. EXECUTIVE SESSION

A. Section 551.071 - Consultation with and advice from legal counsel regarding:
1. pending or contemplated litigation, a settlement offer;
2. a matter in which the duty of the attorney to the government body under the Texas Disciplinary Rules of Professional Conduct of the State Bar of Texas clearly conflicts with Government Code, Chapter 551; or
3. any item on this agenda.

B. Section 551.074 - Personnel matters. Discussion relating to the appointment, employment, evaluation, reassignment, duties, discipline, and dismissal of personnel.

5. ACTION ITEMS FROM EXECUTIVE SESSION

6. ADJOURNMENT

The Board will allow an open comment period to receive public comment on any agenda item or other matter that is under the jurisdiction of the Board. No action will be taken on matters that are not part of the agenda for the meeting. For subjects that are not otherwise part of the agenda for the meeting, Board members may respond in accordance with Government Code, Section 551.042 and consider the feasibility of placing the matter on the agenda for a future meeting.

Agenda items may be presented by the named presenters or other staff.

Pursuant to Section 30.06, Penal Code (trespass by holder of license to carry a concealed handgun), a person licensed under Subchapter H, Chapter 411, Government Code (concealed handgun law), may not enter this property with a concealed handgun.

Any individual with a disability who plans to attend this meeting and requires auxiliary aids or services should notify the department as far in advance as possible, but no less than two days in advance, so that appropriate arrangements can be made. Contact the Office of General Counsel by telephone at (512) 465-5665.

I certify that I have reviewed this document and that it conforms to all applicable Texas Register filing requirements.

CERTIFYING OFFICIAL: David Richards, General Counsel, (512) 465-5665

Board Agenda Item
Section 1. Call to Order **Part A.** Roll Call

NOTES:

	Chief Carlos Garcia, Board Chairman Law Enforcement Representative – Port of Brownsville Police Department
	Mr. Mark Wilson, Board Vice Chairman Law Enforcement Representative
	Major Wynn Reynolds – Board Member Law Enforcement Representative – Texas Department of Public Safety
	Ms. Ashley Hunter – Board Member Insurance Representative – HM Risk Group
	Mr. Ken Ross – Board Member Insurance Representative – State Farm Insurance
	Ms. Linda Kinney – Board Member Consumer Representative – Hays County
	Ms. Margaret “Jerry” Wright – Board Member Consumer Representative – Self Employed

Board Agenda Item

Section 1. Call to Order **Part B.** Approval of Transcript as Minutes

NOTES:

ABTPA Staff emailed the June 23, 2015 Board Meeting Transcript to the Members on October 2, 2015 for review and approval.

DETECTIVE RONALD CALDWELL

Detective Ronald Caldwell will retire from the Dallas Police Department on September 22, 2015, after more than 30 years of service. Detective Caldwell joined the Auto Theft Unit on July 26, 2006, where he became a proficient Auto Theft Detective, investigating reported stolen vehicles. In 2007 Detective Caldwell transferred to the Dallas Police Salvage Squad, known as “The Junkyard Dogs.” This unit is where Detective Caldwell truly found his calling. Detective Caldwell quickly became skilled in vehicle identification and invaluable in “Chop Shop” investigations. Detective Caldwell enjoyed recovering stolen vehicles and led the unit in recoveries. Detective Caldwell helped train several Detectives in Auto Theft investigation and trained countless Officers in Auto Theft awareness. The Dallas Police Auto Theft Unit has been made better by Detective Caldwell’s exemplary service and his wealth of knowledge will be missed.

SERGEANT DAVID GRAHAM (RETIRED)

Sergeant David Graham began his career with the Harris County Sheriff's Office on April 1, 1981. In 1989, he was transferred to the Auto/Special Thefts Division where he served until 1991 when he was transferred to the Homicide Division. In 1993, Deputy Graham was transferred back to Auto Theft where he rose in rank to investigative sergeant and assumed supervisory duties in July 2012 at the HCSO Eastside Auto Theft Office until his retirement on August 31, 2015. David Graham is known throughout the Harris County law enforcement community for his investigative knowledge and unique ability to identify a VIN location on almost any vehicle made. He has created invaluable relationships and been a valued supervisor and trainer to the Harris County Sheriff’s Office Auto Theft Unit.

LIEUTENANT JAMES JOHNSON (TRANSFERRED)

Lieutenant James R. Johnson began his career with the Harris County Sheriff's Office on June 14, 1980. In 2009, Lieutenant Johnson was assigned to the Auto Theft Unit as the commander and grant manager. He brought to the table years of investigative experience to include Robbery and Homicide. As the grant manager he brought about a new attitude towards statistical reporting and digital retention. In 2014, he again returned to the Patrol Division for a brief period and is now the commander of the Special Victims Unit.

DETECTIVE NOEL RENDON

Detective Rendon has been in Auto Theft since 2004 and in the “Junk Yard Dog’ unit since 2009. He is being promoted to Sergeant within the next few months and will be transferring to another position within the Dallas Police Department. It has been a pleasure learning all aspects of investigations within this unit.

LIEUTENANT DANNY SHEPPARD

Lt. Sheppard began his law enforcement career with the University of Texas Medical Branch in Galveston before going to the Crystal Beach Police Department. He joined the ranks of the Galveston County Sheriff's Office in 1983 and worked in several positions. In 1994 he was assigned to the newly formed Galveston County Auto Crimes Task Force. In 2008 he was appointed as the Commander of the ACTF where he still serves to date.

Lt. Sheppard has been a member of IAATI and TAVTI since the late 80's. Due to his tremendous work ethics and self-taught knowledge of auto theft he was a natural to work with the Auto Crimes Task Force. To this date his wealth of knowledge has benefited law enforcement far beyond the boundaries of Galveston County, Texas. Lt. Sheppard is also known for his work as an arson investigator for the Sheriff's Office.

He has also shown the same dedication to IAATI and TAVTI. He worked his way through the ranks of TAVTI/SCRC before becoming President in 2013. He also serves on the Board of Directors and several committees for IAATI.

Lt. Sheppard will be retiring from the Sheriff's Office on October 30th, 2015. He will remain as a reserve and will be assigned to still work with the Auto Crimes Task Force. He will also remain active with TAVTI and IAATI.

BILL SMITH (RETIRED)

Sergeant Bill Smith began his career in law enforcement in 1971 with the Texas Highway Department as an investigator and had a long career in investigations with various agencies. Sergeant Smith started with the Harris County Sheriff's Office on March 1, 1993 initially as a deputy and was quickly assigned to the Auto Theft Division. In 2001, he was promoted to the rank of detective assigned to the Warrants Division. After promoting to sergeant in 2004, he transferred to Auto Theft in March of 2009 as a supervisor. During his time in Auto Theft he supervised Auto Theft, Title Fraud and Title Service Details of until his retirement. Sergeant Smith brought a knowledge of tile fraud and auto theft investigative experience to his supervision and was instrumental in policy creation and changes in the Auto Theft unit during him time there. Sergeant Smith was active in the community working to change auto theft laws and make agencies aware of auto theft investigative tools. The unique ability Sergeant Smith had to create policy and training material that are still used today have been missed greatly.

TERRY WILSON (RETIRED)

Sergeant Terry Wilson began his career with the Harris County Sheriff's Office on August 1, 1984. In 2002, Sergeant Wilson was transferred to the Detective Bureau where he worked as a supervisor in the Burglary, Theft and Robbery Unit. In 2009, he was transferred to the Special Investigations Division and was assigned to the Auto Theft Unit as a supervisor. Sergeant Wilson remained in the Auto Theft Unit as a supervisor until his retirement on May 31, 2015. Sergeant Wilson was known for the support he showed his employees and enthusiasm for auto theft operations. His team building skills and operational knowledge have been missed.

Board Agenda Item
Section 2. Reports **Part A.** Director's Report

NOTES: Report on ABTPA – Related Activities identified by the Director as noteworthy, which may include reports on:

1. Budget
2. Year Grant Analysis
3. Grant Adjustments
4. Educational Program and Marketing
5. Grant Monitoring
6. Agency Operations
7. Personnel Matters

Automobile Burglary and Theft Prevention Authority
Fiscal Year 2015 Budget and Expenditures
As of August 31, 2015

TxDMV Account Description	Adjusted Budget	Expenditures	Projected Obligations and Encumbrances	Available Budget	Percent Available
Salaries and Personnel Costs	$ 309,142	$ 299,826	$ -	**$ 9,316**	3.0%
Professional Fees and Services	$ 68,833	$ 63,233	$ 5,600	**$ -**	0.0%
Consumable Supplies	$ 4,000	$ 2,516	$ -	**$ 1,484**	37.1%
Travel	$ 24,000	$ 15,248	$ 4,263	**$ 4,489**	18.7%
Advertising and Promotion	$ 9	$ 8	$ -	**$ 1**	9.2%
All Other Operating	$ 47,668	$ 31,014	$ 14,703	**$ 1,951**	4.1%
Grants	$ 14,450,000	$ 9,968,621	$ 4,481,379	**$ -**	0.0%
Total	**$ 14,903,652**	**$ 10,380,466**	**$ 4,505,946**	**$ 17,241**	**0.1%**

*** Projected obligations are remaining funds for contracted auditor, grants, copier rent, Comptroller of Public Accounts Interagency Contract, and remaining transcription services outstanding invoices.**

DEPARTMENT OF MOTOR VEHICLES
AUTOMOBILE BURGLARY & THEFT PREVENTION (ATP)
Administrative & Support Costs
B.2.1. Automobile Theft & Prevention

AY 2015	4th Quarter	YTD
Budget	$14,910,958.00	$14,910,958.00
Expended	$3,939,892.00	$10,178,675.00
Grants	$ (3,832,003.00)	($9,776,060.00)
A & S Costs	$107,889.00	$402,615.00
% A & S Expended	**2.74%**	**3.96%**

Automobile Burglary and Theft Prevention Authority
Fiscal Year 2016 Budget and Expenditures
As of September 1, 2015

TxDMV Account Description	Adjusted Budget	Expenditures	Projected Obligations and Encumbrances	Available Budget	Percent Available
Salaries and Personnel Costs	$ 322,267	$ -	$ 322,267	$ -	0.0%
Professional Fees and Services	$ 28,645	$ -	$ 28,645	$ -	0.0%
Consumable Supplies	$ 4,000	$ -	$ 4,000	$ -	0.0%
Travel	$ 16,100	$ -	$ 16,100	$ -	0.0%
Advertising and Promotion	$ 422,327	$ -	$ 422,327	$ -	0.0%
All Other Operating	$ 164,397	$ -	$ 164,397	$ -	0.0%
Grants	$ 13,954,270	$ -	$ 13,954,270	$ -	0.0%
Total	**$ 14,912,006**	**$ -**	**$ 14,912,006**	**$ -**	**0.0%**

*** Projected expenditures of all available FY 2016 funds.**

Fiscal Year 2015
Grant Budget and Expenditure Report
September 1, 2014 - September 22, 2015

GRANT	AWARD	DISBURSED	REMAINING
City of Austin	$ 406,147	$ 282,066.24	$ 124,080.76
City of Beaumont	$ 564,338	$ 296,527.24	$ 267,810.76
City of Brownsville	$ 1,073,195	$ 844,417.16	$ 228,777.84
Burnet County	$ 313,083	$ 230,331.31	$ 82,751.69
City of Corpus Christi	$ 392,474	$ 288,306.59	$ 104,167.41
City of Dallas	$ 688,107	$ 406,109.89	$ 281,997.11
Dallas County	$ 946,350	$ 724,423.70	$ 221,926.30
City of Del Rio	$ 92,493	$ 78,993.32	$ 13,499.68
City of Denton	$ 231,736	$ 147,468.63	$ 84,267.37
City of Eagle Pass	$ 188,781	$ 136,684.39	$ 52,096.61
City of El Paso	$ 1,209,613	$ 918,881.87	$ 290,731.13
Galveston County	$ 468,779	$ 293,416.41	$ 175,362.59
Harris County	$ 1,068,710	$ 952,475.92	$ 116,234.08
City of Houston	$ 1,002,776	$ 668,116.00	$ 334,660.00
City of Laredo	$ 433,514	$ 422,714.00	$ 10,800.00
Lubbock County	$ 378,153	$ 333,372.45	$ 44,780.55
City of Mansfield	$ 151,879	$ 130,489.43	$ 21,389.57
City of Missouri City	$ 146,363	$ 118,168.70	$ 28,194.30
Montgomery County	$ 391,074	$ 268,198.87	$ 122,875.13
City of Paris	$ 94,649	$ 81,993.12	$ 12,655.88
City of Pasadena	$ 77,851	$ 56,908.24	$ 20,942.76
City of San Antonio	$ 1,124,685	$ 781,107.69	$ 343,577.31
Smith County	$ 373,179	$ 311,722.78	$ 61,456.22
Tarrant County	$ 1,076,113	$ 506,020.55	$ 570,092.45
Texas Department of Criminal Justice	$ 50,000	$ 20,914.46	$ 29,085.54
Texas DPS, BATIC	$ 51,542	$ 21,910.07	$ 29,631.93
Texas DPS, Training	$ 52,863	$ 45,916.31	$ 6,946.69
Travis County	$ 647,796	$ 513,853.81	$ 133,942.19
City of Victoria	$ 103,757	$ 87,111.54	$ 16,645.46
Total	**$ 13,800,000**	**$ 9,968,620.69**	**$ 3,831,379.31**

FY 2015 Grant Adjustment Summary
June 5, 2015 - August 31, 2015

Grantee	Adjustment Description	Date	Amount
City of Browsnville	Personnel Change	6/5/2015	$ -
City of Mansfield	Utlize Program Income ($1,408)	6/5/2015	$ 1,408
Travis County	Utlize Program Income ($949)	6/25/2015	$ 949
City of Denton	Utilize Travel funds for IAATI Conference ($1,400)	6/25/2015	$ 1,400
City of Houston	Utilize Equipment funds for audio/video devices, small tools ($4,870)	6/25/2015	$ 4,870
Dallas County	Utilize Supplies funds for various office supplies ($2,042)	6/29/2015	$ 2,042
City of El Paso	Personnel Change	7/9/2015	$ -
City of Dallas	Utlize Equipment funds for computers, chairs and office furniture ($15,000)	7/10/2015	$ 15,000
Lubbock County	Utilize Travel funds for IAATI Conference ($1,600)	7/10/2015	$ 1,600
Montgomery County	Utilize Travel funds for Financial Crimes Conference ($1,200)	7/16/2015	$ 1,200
Smith County	Utilize Equipment funds for vehicle ($19,637)	7/21/2015	$ 19,637
Travis County	Utilize Equipment funds ($23,807) and Program Income ($49,611) for 2 vehicles	7/21/2015	$ 73,419
City of Austin	Utilize Equipment funds ($16,519) for 2 new bait systems ($16,519)	7/22/2015	$ 16,519
Dallas County	Uilize Program Income ($2,910) for travel and cell phones ($2,910)	7/24/2015	$ 2,910
Harris County	Utilize Equipment funds for tracking and surveillance device ($4,288)	7/24/2015	$ 4,288
City of Houston	Utilize Equipment and Supplies Fund for investigative supplies and cameras ($4,863)	7/24/2015	$ 4,863
Montgomery County	Utilize Equipment and Supplies for cameras, computers and printers ($6,671)	7/26/2015	$ 6,671
City of Denton	Utilize Supplies funds to purchase promotional items ($6,696)	8/4/2015	$ 6,696
City of Eagle Pass	Utilize Equipment funds to purchase cameras and vehicle ($35,890)	8/4/2015	$ 35,890
City of Houston	Utilize Equipment funds to purchase trackers, transmitters, cameras, video equip ($12,125)	8/4/2015	$ 12,125
Tarrant County	Utilize Equipment funds to purchase a vehicle ($12,000)	8/4/2015	$ 12,000
City of San Antonio	Utilize Equipment funds to purchase 3 vehicles ($65,154)	8/4/2015	$ 65,154
City of Austin	Utilize Equipment funds to purchase bait system montors ($3,007)	8/4/2015	$ 3,007
City of Browsnville	Utilize Equipment funds to purchase cameras and vehicle wrap ($10,000)	8/4/2015	$ 10,000
City of Corpus Christi	Utlize Equipment funds to purchase vin etching machine, display, dash cameras ($6,532)	8/4/2015	$ 6,532
Total	**25**		**$ 308,180**

2	Personnel Changes
4	Program Income

ABTPA Educational Programs & Marketing

Wednesday, October 7, 2015

TxDMV FY16 Operating Plan Initiatives – ABTPA Educational Programs

TxDMV's Executive management asked the ABTPA Director to develop an 'Initiative Plan' as a part of ongoing efforts to create standardized operating plans across the entire agency. Initiative Plans address a program or project that may go beyond the scope of normal or routine duties and responsibilities but is vital to advancing the mission of the agency. ABTPA had the opportunity to define its own initiative, choosing Educational Programs & Marketing in this case. ABTPA's submission is attached with this report.

The executive summary of ABTPA's Initiative Plan states that the "The ABTPA Director and staff will assess its current public awareness and promotional methodology and develop a new plan that that focuses on demonstrable measures of awareness (recognition) and education (changed behavior)."

Promotional Items

Promotional Items provide a simple, concrete method to deliver ABTPA's message in a way that resonates with the public. Examples of these items have included re-usable grocery totes, key chains, notepads, and pens emblazoned with the ABTPA Logo and other service marks.

ABTPA's current inventory has been depleted by a remarkable number of requests from the public, grantees, and other law enforcement agencies across the state. Since early September, ABTPA staff has responded to over 20 inquiries. The average quantity --over this specific period—has been 185 for each item requested.

ABTPA staff is working through the state purchasing and requisition process to obtain more items that can be distributed across the state for educational programs throughout the current grant year. Also, in preparation for National Night Out 2016, ABTPA will work with grantees to ensure that material is distributed in a manner that continues to foster stronger local ties between grantees, Task Force members, and other partners.

Printed Material

ABTPA staff is also working on an expedited order of Printed Material to meet current demand. (See examples in Appendix).

Service Mark License Agreement

ABTPA has dramatically enhanced its ability to document that it is protecting the intellectual property that is created with state funds for combating automobile theft and automobile burglary.

The Texas Automobile Burglary and Theft Prevention Authority (ABTPA) registered the following service marks with the United States Patent and Trademark Office*: "Protect It. It's Yours.", "Protect It. It's Yours. Never Unlocked. Nothing in View.", "You Hold the Key"* and *"Watch Your Car"*. Protecting the trademarks for these service marks is important because it allows ABTPA to ensure that it can continue to provide these resources at no charge to partners and stakeholders across the state.

In mid September, staff distributed the Service Mark License Agreement to all grantees and—based on feedback from legal counsel in various cities and counties—created a modified version of the agreement that City and County Officials could execute for their jurisdictions.

Since that time, ABTPA staff has received and filed 8 agreements from grantees. Additionally, Dominic Gonzales focused part of his NICB presentation to encourage law enforcement agencies who are not grantees to execute the service mark agreement license in order to make use of educational material developed by ABTPA. His efforts yielded 2 additional signed agreements.

Initiative Templates

Initiative Overview Information	
Name of Initiative	ABTPA Performance Based Marketing Plan
Division/Office	ABTPA
Initiative Owner (Point of Contact)	Bryan Wilson
Type of Initiative: Single-Year or Multi-Year	Single-Year
Link to Department Strategic Plan or Strategic Goals	The enabling statute for ABTPA provides that the Department will conduct education programs and marketing to reduce motor vehicle burglary and theft. Reduction of motor vehicle crime is a core strategic goal for ABTPA.
Authorization of Initiative (Statute, Rule, Other)	Texas Revised Civil Statutes Art. 4413 (37)§8(a)(4) Texas Admin Code - Title 43, Part 3, Rule §57.34
Executive Summary	The ABTPA Director and staff will assess its current public education and promotional methodology and develop a new education and marketing plan that that focuses on demonstrable measures of awareness (recognition) and education (changed behavior).
Background/History	The ABTPA Board has funded various media and promotional items for decades without meaningful measurement associated with these activities.
Definitions	Victim Assisted Motor Vehicle Crimes are incidents that can occur when individuals fail to use basic safety and security practices. For example, by leaving keys in a vehicle, a motorist can unwittingly assist in the commission of a crime.
Current State	ABTPA Board cancelled its contract with a media company in March of 2015.
Desired State	Reduce victim assisted motor vehicle crime in Texas by shifting the public's behavior.
Value Proposition	Educating the public about their role in reducing victim assisted motor vehicle crime and changing their behavior will reduce motor vehicle crime burglary and theft. Motor vehicle crimes have significant negative impact on the Texas economy. In 2013, economic losses exceeded $643 million. This reduction will increase public safety, improve quality of life, and have a tremendous direct and indirect economic benefit to victims, taxpayers and the Texas economy.
Assumptions	TxDMV departments can provide reasonable assistance within reasonable periods. Prochaska and DiClemente's Stages of Change Model provides that people can change their behavior. ABTPA can effect change in average citizens.
Initiative Detail Information	
Stakeholders/Customers and How Impacted	• The Public: Texans believe in personal responsibility. By learning and adopting their own basic safety/security measures, motorists

	can take an active role in reducing the likelihood that their car is stolen or burglarized. • Business: Rental car companies, finance companies, car dealers and other business are adversely affected when cars are stolen or property is stolen from cars. Including these groups in the strategy expands the circle of influence and impact of the education campaign. • Insurance Companies: Companies pay the fees funding ABTPA (some pass it to consumers). Many are strong supporters of public education campaign and may leverage the effort. • Law Enforcement: Funded and non-funded law enforcement teams depend on ABTPA to provide a clear message as well as the education material and framework for their local target hardening education and crime prevention programs. • TxDMV: ABTPA primarily coordinates with Financial Services Division and Government and Strategic Communication Division. These divisions will benefit from ABTPA implementing a cohesive initiative that facilitates purchasing and messaging. • Policy Makers: Dedicating state funds to prevent and combat motor vehicle crime provides a significant return to the State of Texas by mitigating the negative impact these incidents have on the economy and on public safety.
Initiative Milestones	**November, 2015** Assessment Report **January, 2016** ABTPA Strategic Plan **March, 2016** Statement of Work with performance measures **June, 2016** Vendor Selection **July, 2016** Marketing media deployed **January, 2017** Data and Reports measure effectiveness
Initiative Steps/Phases	Phase 1: Assessment a) Identify past and current activities and potential improvements or changes b) Discuss program with ABTPA Board and TxDMV Management c) Identify key stakeholders and participants (internal and external) d) Mobilize a Project Team (Internal and External) e) Conduct Delphi panel meeting(s) to develop concepts and measurement ideas f) Conduct initial meetings Phase 2: Develop the Education and Marketing portion of the ABTPA Strategic Plan a) ABTPA Board identifies major priorities and outcome goals b) ABTPA Board provides policy guidance Phase 3: Implementation a) Complete Statement of work b) Issue RFP c) Select Vendor d) Begin media campaign efforts

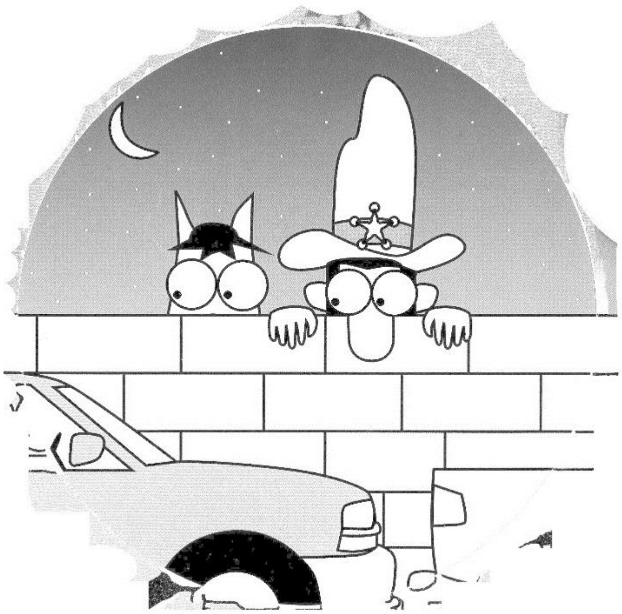
	e) Provide training, support, media, message and material to grantees and other law enforcement agencies across Texas f) Initiate new program into "Watch your Car Month" activities Phase 4: Measure and Report on Effectiveness a) Initiate measurement process b) Report on activity and reassess
Initiative Deliverable(s)	• Interim Operation Plan • Distribution Plans and Procedures for FY16 Promotional Items • 2016-2020 Education and Marketing Strategic Plan • 2016 ABTPA Audio/Visual and Print Assets Catalog • 2016 Case Studies and Impact on Crime Statistics
Budget Required	$500,000
If Budget Required, Source of Funds (Operating or Capital)	Appropriated and budgeted by ABTPA Board for public education.
Rule Development Required	None
Staff Resources Required	10% ABTPA Director, 25% Grant Coordinator (Public Affairs) 5% Grant Coordinator
EPMO Oversight Required	No
QAT Reporting Required	No
Other Resources Required	Purchasing and Accounting, Innovation and Strategic Analyst, Government and Strategic Communication
Communication Plan (Internal and External) and Type(s) of Media	In addition to internal documents relevant to the future of ABTPA public education efforts, ABTPA intends to use its website and other social media accounts to communicate its new direction to the public.
Marketing Plan (Internal and External) and Types(s) of Media	The primary purpose of this initiative is to establish a clear education program and marketing plan that emphasizes impact measures and performance evaluation. Past efforts have been conducted via television, print, radio, movie theaters and the Internet. This initiative is designed to provide clear vision, message, and a detailed plan of execution that includes a meaningful evaluation.
Is Initiative Based on Previous Audit Findings? If Yes, Please Cite Finding.	No
Categories of Possible Risk and Mitigation Actions	
Legal/Ethical	Contracts
Communication (Internal/External)	External
Economic/Financial	Because of the significant negative impact on the Texas economy, the education initiative will be targeted to reduce crime and economic loss. Stolen motor vehicles are often used in or fund other criminal enterprises. In addition, greater accountability in using state funds for Public Education should allow ABTPA to demonstrate the benefit that was derived from its activities.

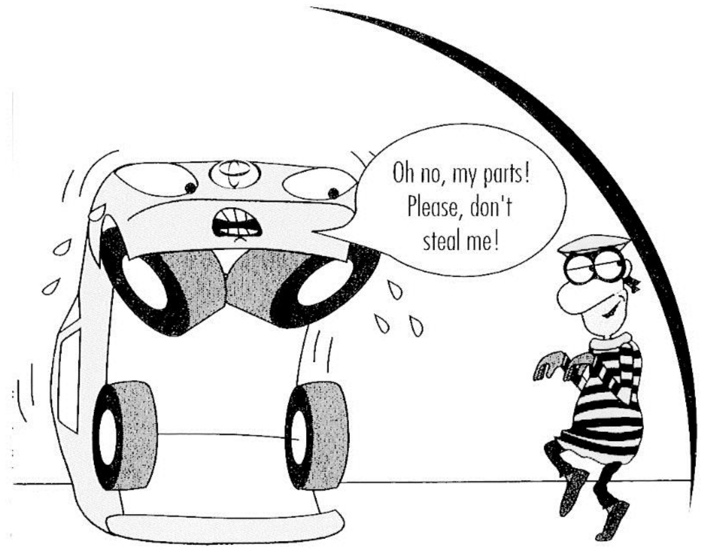
Social	Reducing automobile burglary and theft has been the historic social message of ABTPA; however, it may be possible to elevate these issues in the public sphere by articulating the broader economic and social impact that crimes of this nature can have on communities. By honing a message related to personal responsibility and the public's role in crime prevention, it is possible to alter the public's perception and assist ABTPA in combating motor vehicle theft and burglary.
Business	Insurance companies, automobile dealers, trucking companies, finance companies, rental car companies, individual businesses, and various associations are all adversely affected by motor vehicle crimes.
Infrastructure	No additional infrastructure will be required for this initiative. Currently, ABTPA uses TxDMV-IT computers, connectivity and software to communicate its message. It also relies on local agencies' infrastructure to compliment the communication process.
Environment	N/A
Technology	Social Media will be a major component of the ABTPA strategy, but there are implications that may need to be explored with TxDMV General Counsel and Government and Strategic Communication.
Local	Local law enforcement, municipal and county policy makers
State	Texas DPS, statewide policy makers, TxDMV GSC
National	Coordinate with other states to identify best practices for evaluation and to identify effective innovations in apprehension and public education.
Constituent	The motoring public and various industries above. County, city, law enforcement, and prosecutor associations mentioned will be involved.
Other Initiative Considerations	
Is a Contingency Plan Required? If Yes, Describe.	N/A
Is a Transition Plan Required? If Yes, Describe.	In order to continue some of the core operations that have been a part of ABTPA public education, an interim operations document will be used to guide activities that include the protection of ABTPA intellectual property through license agreements and the distribution of promotional items that serve as educational aids for local partners who conduct awareness and educational activities. Enhancing ABTPA public education efforts with a new level of rigor may require a significant amount of research and input from subject matter experts from related fields, so it may be necessary to develop a research plan, along with related deliverables.
Other Relevant Initiative Information	Many other crime prevention organizations, citizens' police academies, crime watch organizations, and other civic groups rely on ABTPA for messaging and material to reduce crime.

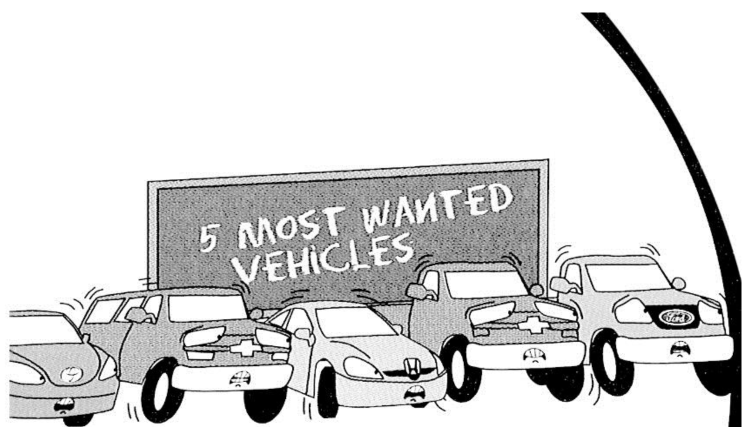
Automobile Burglary and Theft Prevention Authority

Wednesday, October 7, 2015

Educational Programs – Printed Material Sample Artwork







Grant Monitoring – Comprehensive Annual Financial Report

The Comprehensive Annual Financial Report (CAFR) (Single Audit) process is derived from state requirements found in the Uniform Grant Management Standards (UGMS) Single Audit Circular. Grantees that expend $500,000 or more in a fiscal year in state or federal awards must receive a single or program-specific audit.

ABTPA received twenty-nine (29) CAFR/Single Audits. ABTPA has completed twelve (12) CAFR reviews to-date. The review offers a way to obtain information about a grantee in order to identify potential quality issues, and/or non-compliance indicators.

See Appendix for individual CAFRs.

Grantees Received $500,000 or More of ABTPA Grant Funds	Reviewed by ABTPA	Reported on the March 25, 2015 Board Meeting
City of Beaumont	Contains no indication of “risk”	
City of Brownsville	Contains no indication of “risk	
City of Dallas	Contains no indication of “risk	
Dallas County	Contains no indication of “risk	
City of El Paso	Contains no indication of “risk	
Harris County	Contains no indication of “risk	
City of Houston	Contains no indication of “risk	X
City of San Antonio	Contains no indication of “risk	
Tarrant County	Contains no indication of “risk	X
Travis County	Contains no indication of “risk	
Total 10		

Grantees Received less than $500,000	Reviewed by ABTPA
Lubbock	Contains no indication of “risk
Paris	Contains no indication of “risk
Total 2	

AUTOMOBILE BURGLARY AND THEFT PREVENTION AUTHORITY

Purpose of Division

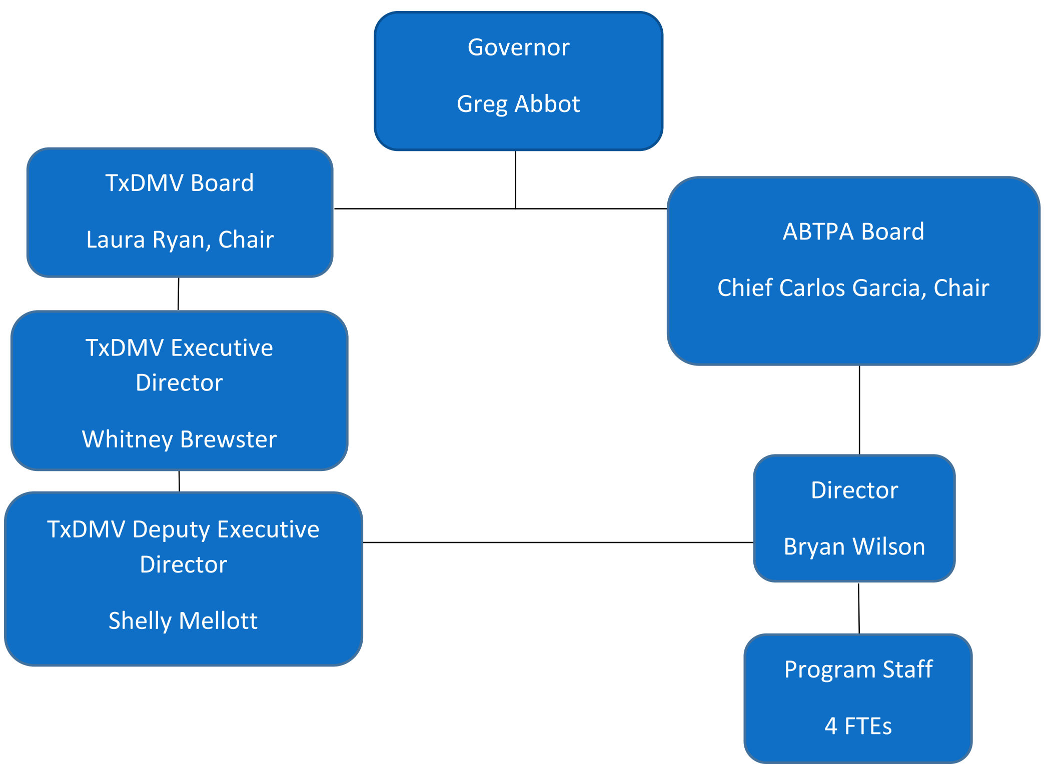
The Automobile Burglary and Theft Prevention Authority (ABTPA) is charged with combating motor vehicle burglary, motor vehicle theft and economic motor vehicle theft problems in Texas. The ABTPA is required in statute to measure the performance and effectiveness of its initiatives to reduce motor vehicle burglary and motor vehicle theft in Texas.

Rationale for Division

The ABTPA serves the state by combating motor vehicle theft and burglary. The work of this division is a large part of the reason that motor vehicle theft has diminished from over 163,837 in 1991 (ABTPA inception) to about 65,671 in 2013. The ABTPA has worked to create a collaborative network of specialized and trained law enforcement agencies to work with prosecutors, the insurance industry, and the public to reduce motor vehicle crimes throughout the state. This network is crucial to the continued reduction of motor vehicle crime in Texas.

Structure of Division

The division is comprised of five full-time equivalent employees (FTEs). Please see the organization chart below.



Customers/Constituents Served (Internal and/or External)

ABTPA serves the citizens of Texas by funding law enforcement teams to combat motor vehicle burglary and motor vehicle theft. These teams work in a wide cooperative network comprised of law enforcement groups, prosecutors, insurance industry representatives, Texas Department of Motor Vehicles staff, local tax assessor-collectors, and concerned citizens to combat motor vehicle burglary and theft through enforcement, prevention, and public information/educational initiatives.

FY 2015 Division Accomplishments

- Implemented a new grant application, award, and management process
- Implemented an "Intent to Apply" process for new applicants, which is designed to evaluate the eligibility of new entities interested in applying for ABTPA grant funding
- Redesigned its grant selection and administration process working with Task Forces to develop clearer reports with standard grant measures to better measure grant impact on combating motor vehicle theft and burglary
- Developed a reporting method to generate more consistent data enabling more meaningful analysis of the various funded operations. This will allow ABTPA to more readily identify trends and provide accurate data for monitoring and compliance. Further, this will also allow ABTPA to integrate efforts with TxDMV enforcement and titling services
- Worked to integrate efforts and improve communication with TxDMV enforcement and titling services

Ongoing Responsibilities/Functions/Services Provided by Division

- Reduce motor vehicle theft and motor vehicle burglary
- Improve cost effectiveness of ABTPA grant administration
- Modernize technology and equipment
- Expand strategic partnerships
- Leverage expertise with the statewide network
- Increase transparency and accountability

Priorities of Division

Customer

ABTPA's primary customer service priority is to reduce motor vehicle crime in Texas. The personal and economic loss endured by victims of these crimes is debilitating. ABTPA serves their customers by expanding the capacity of local law enforcement with increased personnel, specialized equipment, and sophisticated training. It also uses education and statewide marketing campaigns, in cooperation with local law enforcement, to help protect and raise the awareness of targeted victims of motor vehicle burglary and theft.

Managerial

- Implement the elements of the ABTPA Board adopted redesign and the processes developed in response to the internal audit report
- Increase staff who are technically proficient in program and fiscal monitoring
- Work with the network to promote the collection, management and use of crime data to drive resource allocation
- Manage network to collect reliable data to build reports

Enterprise Based

- Serve as a conduit for information between Department and law enforcement
- Promote information sharing and investigation coordination between local agencies and TxDMV licensing and enforcement divisions

Legislative

Current appropriations are a set amount without unexpended balance authority or an estimated appropriation tied to collections. By statute (Texas Civil Statutes 4413 (37), §10(b)(e)), all insurers pay to the authority a fee equal to $2 multiplied by the total number of motor vehicle years of insurance for insurance policies delivered, issued for delivery, or renewed by the insurer. Fifty percent of each fee collected may be appropriated only to the authority for ABTPA purposes. The ABTPA receives approximately $0.73 out of the statutorily required $2.00 that is collected to accomplish ABTPA and Task Force objectives.
The statute needs to outdated provisions removed or modified. The statute need updating which includes:

- Move the ABTPA statute to the Transportation Code
- Require fees to be paid to the Texas Comptroller
- Refine performance measures
- Remove discontinued portions (DPS, HEAT vehicle registration program, other items)
- Consolidate report requirements

Initiatives of Division: Short-Term (Single-Year)

ABTPA Performance Based Marketing Plan - Revaluate and reconfigure ABTPA's public education and marketing system.

Initiatives of Division: Long-Term (Multi-Year)

N/A

Budget

FINANCIAL SUMMARY

Automobile Burglary and Theft Prevention Authority

Budget Category Description	FY 2015 Adjusted Budget*	FY 2015 Total Projected Expenditures	FY 2015 Projected Lapse / Carry-forward	FY 2016 Recommended Budget**	Difference (2016 Recommended Budget less 2015 Adjusted Budget)**
Advertising & Promotion	$ 9	$ 9	$ -	$ 450,000	$ 449,991
Purchashed Contract Services	$ 4,728	$ 4,728	$ -	$ 5,000	$ 272
Consumable Supplies	$ 4,000	$ 4,000	$ -	$ 4,000	$ -
Fees & Other Charges	$ 13,030	$ 12,952	$ 78	$ 15,000	$ 1,970
Freight	$ 5	$ 5	$ -	$ -	$ (5)
Grants	$ 14,450,000	$ 14,450,000	$ -	$ 14,054,270	$ (395,730)
Travel In-State	$ 24,000	$ 24,000	$ -	$ 15,000	$ (9,000)
Maintenance & Repair	$ 12,640	$ 12,640	$ -	$ 25,000	$ 12,360
Memberships & Training	$ 1,916	$ 1,738	$ 178	$ 570	$ (1,346)
Travel Out-of-State	$ -	$ -	$ -	$ 1,100	$ 1,100
Other Expenses	$ 6,019	$ 6,019	$ -	$ 200	$ (5,819)
Other Personnel Costs	$ 12,550	$ 10,013	$ 2,537	$ 10,639	$ (1,911)
Professional Fees and Services	$ 68,833	$ 68,833	$ -	$ 7,280	$ (61,553)
Rent - Building	$ 2,419	$ 2,419	$ -	$ 10,000	$ 7,581
Rent - Machine and Other	$ 5,299	$ 5,299	$ -	$ 4,627	$ (672)
Reproduction & Printing	$ 14	$ 14	$ -	$ 3,000	$ 2,986
Salaries and Wages	$ 296,592	$ 287,369	$ 9,223	$ 314,007	$ 17,415
Utilities	$ 1,598	$ 1,213	$ 385	$ 1,000	$ (598)
Totals	**$ 14,903,652**	**$ 14,891,251**	**$ 12,401**	**$ 14,920,692**	**$ 17,040**

FTE Allocation 5

**The FY 2015 Adjusted Budget is as of June 2015 and is net of Mid-Year adjustments to fund one-time items.*

***The FY 2016 Recommended Budget includes estimates for a 2.5% salary adjustment and BRP (not previously in division budgets). Also, please note that FY 2016 Recommended Budget amounts by budget category will be different from FY 2015 Adjusted Budget due to one-time expenditures or budget transfers not anticipated to occur in FY 2016.*

Plan to Reduce Costs

Most of the ABTPA budget is used for grants to local law enforcement teams throughout the state to combat the motor vehicle burglary and theft problem in Texas. TxDMV management and staff work to ensure cost effective use of funds to maximize impact and ensure accountability. Additionally, the ABTPA director and staff maintain strict controls over the expenditures of grant funds. The ABTPA Board has agreed to conduct meetings in Austin to reduce travel costs.

Explanation of Projected Expenditures

The ABTPA Director prepares a budget each year along with the TxDMV Financial Services Division. The ABTPA Board considers modifications and approves that budget each year. The main cost categories are Grants, Education/ Marketing, and Administration.

Grants

The Board awards grants based on a Request for Proposal and award allocation process. ABTPA staff issue Statements of Grant Award and monitor progress and expenditure reports to ensure accurate reimbursement to the local cities and counties. The TxDMV will issue grant payments to jurisdictions authorized by the ABTPA Board. ABTPA is working to establish mechanisms to demonstrate the potential and actual economic benefit that is derived from reducing auto theft and burglary.

Education/Marketing

The ABTPA Board will provide authorization to enter into agreements or disperse grants to pay for education programs and marketing using ABTPA service marks and copyrighted material. The TxDMV and ABTPA Director and staff will work to set measureable and attainable outcomes.

Administration

Salaries and operating expenses are managed within TxDMV standard operations.

Potential Shortages or Savings

TxDMV and ABTPA director will manage the program to its highest and fullest potential. However, there are an estimated 110 counties that do not receive direct coverage from ABTPA funded law enforcement teams. Grantees are routinely asked to find cost effective methods to assist these uncovered areas with their special trained and equipped resources.

ABTPA has created savings by entering into interagency agreements with the Department of Public Safety Training division and Texas Department of Criminal Justice Office of Inspector General. These partnership programs provide expanded services to ABTPA funded programs and non-ABTPA law enforcement teams. The TxDMV ABTPA and Enforcement divisions are seeking ways to share information and resources to meet budget challenges.

Texas Department of Motor Vehicles

2014 Funds Report: Automobile Burglary & Theft Prevention Authority

September 21, 2015

Watch Your Car®

Automobile Burglary and Theft Prevention Authority Board of Directors

Chief Carlos Garcia - Chair
Law Enforcement Representative
Brownsville

Chief Deputy Mark Wilson – Vice Chair
Law Enforcement Representative
Hillsboro

Ms. Ashley Hunter
Insurance Representative
Austin

Ms. Linda W. Kinney
Consumer Representative
Dripping Springs

Mr. Steven C. McCraw
Ex-Officio, Executive Director,
Texas Department of Public Safety
Contact: Major Wynn Reynolds
Austin

Mr. Ken Ross
Insurance Representative
La Marque

Ms. Margaret "Jerry" Wright
Consumer Representative
El Paso

Automobile Burglary and Theft Prevention Authority Staff

Director
Bryan Wilson
512-465-4012

Mary Dominguez
Grant Coordinator

Anna Mallett
Program Specialist

Dominic Gonzales
Grant Coordinator

Barbara Matthys
Administrative Assistant

Executive Summary

The Automobile Burglary and Theft Prevention Authority (ABTPA) is required to annually prepare a complete and detailed written report accounting for all funds received and disbursed by the authority during the preceding fiscal year (see V.T.C.S Art. 4413(37), Sec. 6(i)).

The FY14 appropriation remained static while the revenues collected for the $2 Motor Vehicle Theft fee on motor vehicle policies continued to increase. The ABTPA continued to fund the same law enforcement teams during the year with some slight modifications. TxDMV, working with ABTPA, continues to keep administrative costs lower than allowed by statute. The ABTPA public education and marketing programs had a high level of impressions.

The direct impact of motor vehicle burglary and theft on victims include loss of personal property, lost wages, possible lost employment, additional property lost with vehicle, costs related to restoring losses, personal emotional costs, and possible loss of life. Motor vehicle theft and motor vehicle burglaries indirectly affect everyone by increasing the cost of insurance and increasing the fear of becoming a crime victim.

Motor vehicle burglary and theft crimes account for almost a billion dollars in property loss in the State of Texas every year. Property loss valuations do not take into account the time lost and emotional toll to the families, victim's employer, insurance processing costs, personal cost, and other additional costs related to restoring losses. ABTPA identifies three major factors that influence motor vehicle burglary and theft: 1) rapid population increase of the State of Texas, 2) technological and organizational advancements of modern day criminals, and 3) people who do not protect their possessions. To combat the underlying problem, in FY2014 ABTPA grants provided funding over for: 200 full-time positions, purchasing cutting edge equipment, and defraying operational costs for local law enforcement agencies. All Grantees must provide a twenty percent (20%) cash-match to any ABTPA funding. However, most Grantees greatly exceed the twenty percent (20%) requirement in order to best serve their community.

Introduction to ABTPA

Mission Statement

The mission of the Automobile Burglary and Theft Prevention Authority (ABTPA) is to foster a statewide collaborative network of law enforcement, prosecutors, insurance industry representatives, tax assessor-collectors, and concerned citizens to combat motor vehicle burglary and theft and to educate the public about motor vehicle burglary and theft. ABTPA fulfills this mission by providing grants to law enforcement agencies (referred to as Task Forces) and funding public awareness and prevention programs. ABTPA is charged with assessing the motor vehicle burglary & theft problem in Texas and analyzing methods and providing financial support to combat those problems.

History & Structure

The Texas Automobile Theft Prevention Authority was established in 1991 by the 72nd Texas Legislature to create a statewide effort to reduce vehicle thefts in the state. The authority had its own governing board and was established within the governor's office and was funded by a $1 fee on all vehicle insurance policies issued in the state. In 1997, after going through Sunset review, the authority became a part of the Texas Department of Transportation (TxDOT). In 2007, the 80th Texas Legislature expanded the role of the authority to include vehicle burglary in addition to theft, resulting in a name change to the Automobile Burglary and Theft Prevention Authority. In 2009, the authority was moved from TxDOT to the newly created Texas Department of Motor Vehicles (TxDMV). The authority continues to have its own governor appointed board that is responsible for policy making while the TxDMV is responsible for providing all administrative support for the authority, including staffing. In 2011, the 82nd Texas Legislature increased the fee on insurance policies from $1 to $2 and added a statutory requirement that "Fifty percent of each fee collected … may be appropriated only to the authority..." The fee continues to be assessed on insurance companies providing vehicle insurance in Texas and is collected by the Texas Comptroller of Public Accounts on behalf of the ABTPA.

PROTECT IT. IT'S YOURS.®

NEVER UNLOCKED. NOTHING IN VIEW.

Auto Burglary & Theft Prevention Authority

FY 2014 Funds Report

Funds Collected

As stated earlier, state law requires a two dollar ($2) motor vehicle theft prevention fee be assessed on every motor vehicle insurance policy written in Texas (see V.T.C.S. Art. 4413(37), Sec. 10). The same statute further states that "fifty percent of each fee collected … may be appropriated only to the authority for the purposes of this article." However, there is not a dedicated account or fund to which funds collected are deposited to ensure that the funds are used for their stated purpose. Instead, the fees are deposited into the General Revenue fund and classified under revenue object code 3206. In fiscal year 2014, the Comptroller collected over **$42 million** in ABTPA insurance fees. Chart 1 shows the total amounts collected each fiscal year since the fee was increased to $2.

Chart 1: Revenue Generated by ABTPA fee

Year	FY12	FY13	FY14
Amount Collected	$34,928,021	$40,249,786	$42,796,154

Funds Appropriated

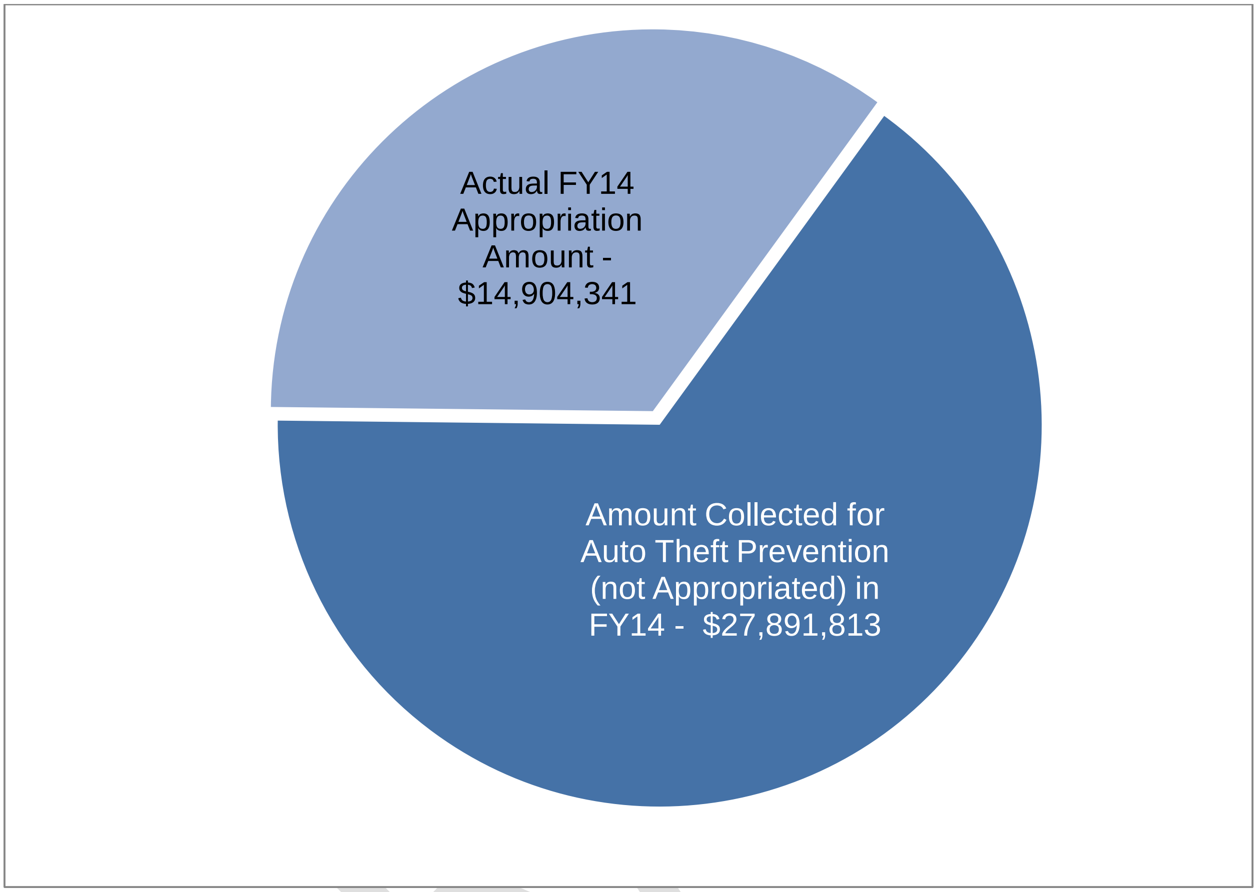
The General Appropriations Act (SB 1, 83R), appropriated **$14,904,341** for ABTPA for Fiscal Year 2014. This is a small reduction from the $14,911,870 appropriated in both fiscal years 2012 and 2013. Since the TxDMV's (along with ABTPA's) appropriations were first separated from TxDOT's in fiscal year 2011, appropriated funding for ABTPA has fallen by more than 2%. Additionally, unexpended balance authority within the biennium has not been approved for ABTPA since the 2010-2011 biennium. Chart 2 shows the recent history of ABTPA related appropriations.

Chart 2: ABTPA Appropriations

Year	FY12	FY13	FY14
Appropriation	$14,911,870	$14,911,870	$14,904,341

The FY 2014 appropriation for ABTPA is slightly less than 35% of the total FY 2014 revenue generated by the ABTPA related fee on vehicle insurance. When applying the statutory "fifty percent…may be appropriated only to the authority…," the actual appropriation for the year amounted to less than 70% of the amount that "may be appropriated only to the authority." The remaining amounts of the ABTPA fee will either remain in the General Revenue fund or have been appropriated for other purposes. Chart 3 illustrates the amount of the ABTPA related fees actually appropriated for ABTPA purposes.

Chart 3: FY 2014 ABTPA Actual Revenues vs. Appropriations



Funds Expended

Pursuant to state law (V.T.C.S. 4413(37), Sec. 8(a)), funds appropriated for ABTPA purposes shall be used to pay for its administrative costs and to achieve the following:

(1) establishing and funding a motor vehicle registration program;

(2) providing financial support to law enforcement agencies for economic motor vehicle theft enforcement teams;

(3) providing financial support to law enforcement agencies, local prosecutors, judicial agencies, and neighborhood, community, business, and nonprofit organizations for programs designed to reduce the incidence of economic motor vehicle theft;

(4) conducting educational programs designed to inform motor vehicle owners of methods of preventing motor vehicle theft;

(5) providing equipment, for experimental purposes, to assist motor vehicle owners in preventing motor vehicle theft; and

(6) establishing a uniform program to prevent stolen motor vehicles from entering Mexico.

These expenditures break into three categories: administration, public education and awareness campaigns, and grants. Additionally, state law (V.T.C.S. 4413(37), Sec. 8(b)) limits the authority's administrative expenses, including salaries, travel, marketing and other overhead expenses, to not more than 8% of total expenditures.

In FY 2014, ABTPA expended a total of $14,773,888. The Authority had total lapsed funding of $130,453. Of this amount, $59,801 was remaining from the amount obligated to grantees, and $70,652 was lapsed from administrative costs. The authority lapsed less than 1 percent of its appropriation.

The ABTPA spent less than the eight percent (8%) maximum in administrative and marketing costs allowed by statute. Administrative expenses were about 2.5% and approximately $650,000 (almost 4.5%) was spent on public awareness and education campaigns. The specifics of the authority's FY 2014 expenditures are in Chart 4.

Chart 4: FY 2014 ABTPA Expenditures & Operating Budget

Expenditure Category	FY 2014 Expenditures
Salaries and Wages	$272,825
Other Personnel Costs	$24,999
Professional Fees and Services	$38,233
Consumable Supplies	$1,184
Utilities	$1,776
Travel - In State	$27,183
Travel - Out of State	-
Rent – Building	$9,409
Rent - Machine and Other	$4,202
Other Operating Expenses*	$653,878
Grants	$13,740,199
Total	$14,773,888
FY 2014 Budget	$14,904,341
FY 2014 Lapse	$130,453

*****_Public Education & Marketing_ to combat motor vehicle theft & burglary

ABTPA Expenditure Detail
As of September 21, 2015

Category	2012	2013	2014	Source Data
Expenditures	$14,685,473	$14,253,691	$14,773,888	Data from 2014 Operating Budget & 2016/2017 LAR
Administrative Expenditures	$ 1,104,414	$ 1,024,712	$ 1,033,689	Data from 2014 Operating Budget & 2016/2017 LAR
Administrative Percent	7.52%	7.19%	7.00%	

Grants

Grant Funding

More than 92% of ABTPA appropriations in FY2014 went to issuing grants. A total of 28 different entities received grant funding in amounts ranging from $50,000 to $1,199,613. All of the grant funding went to law enforcement entities, either municipal police departments, county sheriffs, departments, or state law enforcement like the Texas Department of Public Safety (DPS). Though the funding might only expressly go to one entity, often the municipal or county law enforcement entity receiving the funding is the lead entity for a multijurisdictional task force focused on motor vehicle theft and burglary. Chart 5 identifies each grant recipient, the amount of the grant awarded, and how much funding was actually disbursed. Additionally, the counties served by an ABTPA grant recipient are shown on a map of the state.

"The ability to have day to day interaction with multiple law enforcement agencies that we serve has been instrumental in the large number of arrests that we have made. This allows us to work beyond our former jurisdictional boundaries and reach suspects that were once not known."

Sgt. Stan Davis

Chart 5: FY 2014 Grant Recipients and Amounts

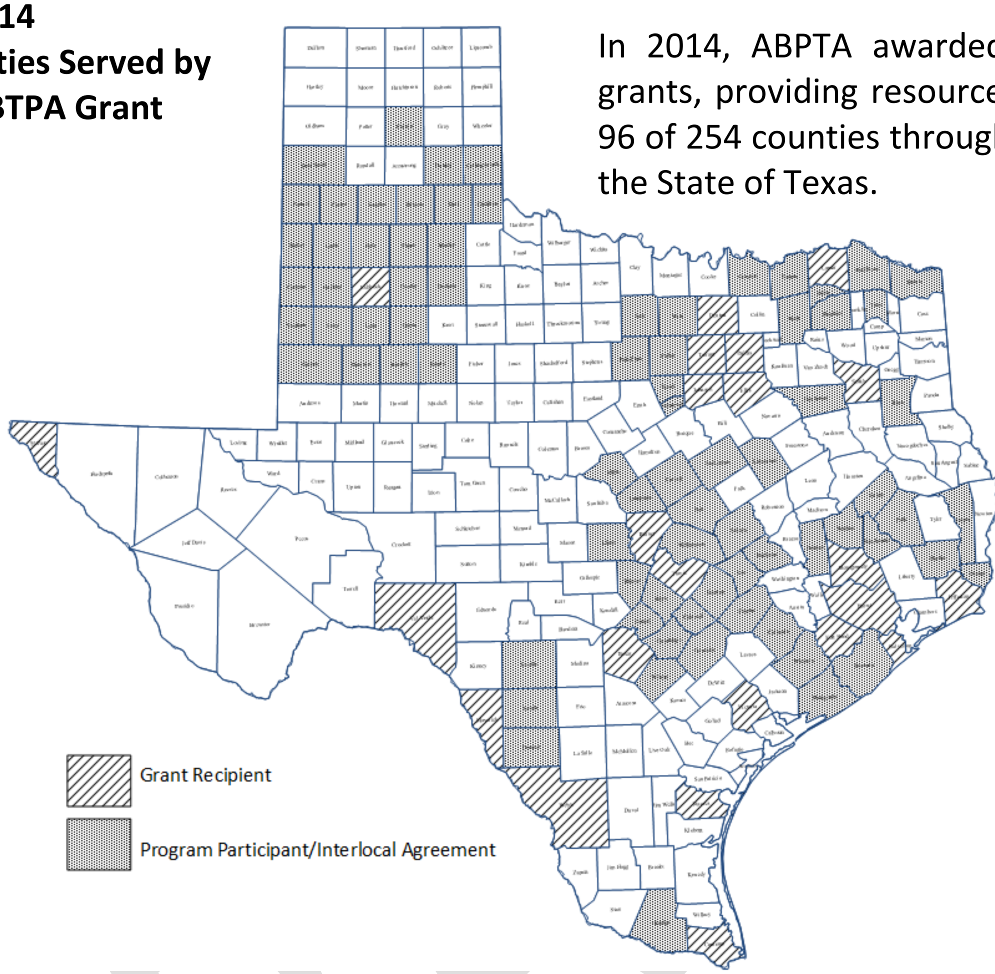
FY 2014 Grantee Analysis and Utilization

Grantee	2014 Award	Disbursed	Remaining
Law Enforcement, Detection & Apprehension			
City of Austin	$406,147	$404,103	$2,044
City of Beaumont	$564,338	$564,338	$0
City of Brownsville	$1,043,336	$1,042,630	$706
Burnet County	$313,083	$311,379	$1,704
City of Corpus Christi	$392,474	$390,481	$1,993
Dallas County	$951,529	$951,529	$0
City of Del Rio	$110,739	$98,936	$11,803
City of Eagle Pass	$186,781	$186,781	$0
City of El Paso	$1,199,613	$1,199,613	$0
Galveston County	$468,779	$468,468	$311
Harris County	$1,069,089	$1,068,461	$628
City of Laredo	$433,514	$433,153	$362
Lubbock County	$378,153	$378,153	$0
City of Mansfield	$152,237	$152,119	$118
City of Missouri City	$146,363	$146,363	$0
Montgomery County	$391,210	$391,210	$0
City of Paris	$106,072	$106,072	$0
City of Pasadena	$80,000	$76,672	$3,328
Smith County	$374,087	$372,104	$1,983
City of San Antonio	$1,126,621	$1,120,027	$6,594
Tarrant County	$1,076,113	$1,076,113	$0
Texas Dept. Of Criminal Justice	$50,000	$49,447	$553
Texas DPS – BATIC	$53,896	$51,620	$2,276
Texas DPS - Training	$54,752	$51,825	$2,927
Travis County	$641,481	$641,337	$144
City of Victoria	$102,730	$102,730	$0
26 Grants	$11,873,137	$11,835,664	$37,473

Grantee	Award	Disbursed	Remaining
Reduction Of Sales Of Stolen Vehicles Or Parts			
City Of Dallas	$678,760	$678,760	$0
City Of Houston	$1,008,870	$988,765	$20,105
2 Grants	$1,687,630	$1,667,525	$20,105
Public Awareness & Crime Prevention			
City Of Denton	$239,233	$237,011	$2,222
1 Grant	$239,233	$237,011	$2,222
Total All 29 Grants	$13,800,000	$13,740,199	$59,801

FY 2014
Counties Served by an ABTPA Grant

In 2014, ABPTA awarded 28 grants, providing resources to 96 of 254 counties throughout the State of Texas.

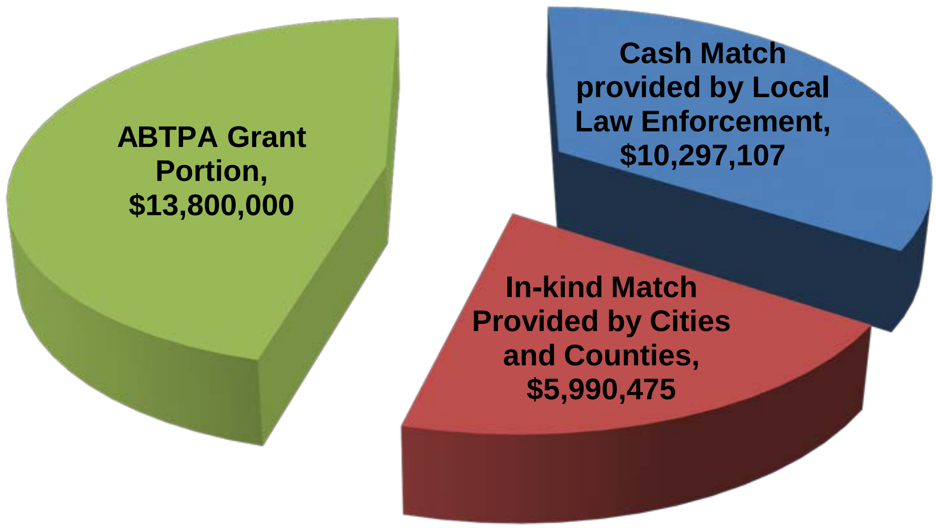


Expenditures by Grant Recipients

ABTPA policy requires a grant recipient to provide not less than a twenty percent (20%) cash match toward grant funded activities. Jurisdictions also provide additional cash or in-kind contributions for each dollar received in ABTPA grant funding. In fiscal year 2014, grant recipients provided a total of $10.3 million in cash match contributions. Examples of cash match include paying for part of the salaries and/or fringe benefits of grant funded personnel or paying for basic operational expenses above that which was requested in the grant.

These jurisdictions budgeted $5.9 million additional in-kind contributions. In-kind match may be additional personnel funded by the jurisdiction for the same purpose as the grant program, rent, gas and other operational expenses being expended from all sources to combat motor vehicle theft and burglary in the state.

FY 2014 Budgeted Grant Contributions by Source



Grantees spend about 80% of all funds, or $19.3 million of grant and cash match, on personnel to conduct investigations and operate taskforces. The law enforcement officers and others funded by the grant perform many tasks such as:

- operate investigative teams
- conduct covert operations
- conduct bait trailer and bait vehicle operations
- operate license plate readers to find stolen vehicles
- perform vehicle etchings (to reduce attractiveness of vehicle parts)
- coordinate with local licensed businesses to reduce stolen property sales
- conduct vehicle identification number (also called 68-A) inspections (helps businesses and people title their vehicles and trailers)
- provide local education and marketing (teach people steps to reduce likelihood of becoming a victim of motor vehicle crimes)

> "As we move forward, the use of technology will certainly be a force multiplier for all Law Enforcement agencies. Technical items such as Bait vehicle equipment will help us level the playing field in combating crime, so Grant funds will be crucial in our abilities to fight crime."
>
> **Lt. Arthur Arevelo**
> **Austin PD**

The second most common use of funds is to purchase supplies to operate the program. Supplies cover things like training costs, fuel, tools and equipment, office needs, and many other components to keep programs operational. Also, funds are expended for equipment purchases such as "bait vehicles", global positioning system trackers, and license plate readers.

Public Education and Marketing

ABTPA employed two public awareness campaign themes in 2014: "Think Like a Thief" (fall 2013) and "Watch Your Car Month" (July 2014). The campaign themes were developed through a contract with a private media company, which also provided services to execute and manage the campaigns. The ABTPA spent $653,878 in the statewide effort.

“Think Like a Thief”

“Think Like a Thief” was a campaign designed to address reported increases in auto-related incidents during the fall and winter months, and therefore ran during the holiday season (November 29, 2013 to January1, 2014). The campaign consisted of ad buys in the following mediums: television, radio, movie-theater commercials, online/mobile advertising, and social media (Facebook, Twitter). In addition to the media purchases, additional media was obtained through public service announcements. According to the contracted media company, ABTPA received 8,769,304 impressions through this campaign.

“Watch Your Car Month”

“Watch Your Car Month” was a campaign designed to coincide with the month of the year which has, according to DPS, the most vehicle thefts and burglaries: July. For July 2014, ABTPA purchased 1900 broadcast and cable television commercials and utilized a companion theme “It’s Not Rocket Science.” The media company reported 21,019,730 impressions through the following mediums: television and cable commercials, gas station monitors, online advertisements, and movie theaters.

While the contents of this report are intended to focus exclusively on 2014 activities, an update from 2015 is important to note: In order to ensure the most effective use of state dollars to fulfill its mission, the ABPTA board passed a motion to suspend its contracts with outside media companies in order for the Authority to conduct a full assessment of its public awareness strategy.

Coordinating with Grantees for Public Awareness

In addition to the statewide efforts, all of the grantees conducted local public education efforts and worked to promote the statewide message using public service awareness and news media communication. For FY14, ABTPA awarded funds to the City of Denton to operate on a statewide basis the Reduce Auto Theft in Texas (RATT) program. This program helped to coordinate public awareness activities and provided materials and assistance to other ABTPA grantees. ABTPA crafts the message and establishes a statewide strategy and oversees the creation of the materials used to conduct the public awareness work. RATT served as an agent and distribution hub for the material ABTPA created. Additionally, RATT conducted three training courses and coordinated events in four communities not covered by other ABTPA grantees.

Appendix – ABTPA Grantee Awards

Grantee	FY2012 Award	FY2013 Award	FY2014 Award	FY2015 Award
Austin (City of)	$406,147	$406,147	$406,147	$406,147
Beaumont (City of)	$564,338	$564,338	$564,338	$564,338
Brownsville (City of)	$1,043,336	$1,043,336	$1,043,336	$1,073,195
Burnet County	$313,083	$313,083	$313,083	$313,083
Corpus Christi (City of)	$392,474	$392,474	$392,474	$392,474
Dallas County	$951,383	$951,529	$951,529	$946,350
Dallas (City of)	$630,716	$678,760	$678,760	$688,107
Del Rio (City of)	$116,664	$110,739	$110,739	$92,493
Denton PD (City of)	$0	$0	$0	$231,736
Eagle Pass (City of)	$186,781	$186,781	$186,781	$188,781
El Paso (City of)	$1,199,613	$1,199,613	$1,199,613	$1,209,613
Galveston County	$468,779	$468,779	$468,779	$468,779
Harris County	$1,077,323	$1,069,089	$1,069,089	$1,068,710
Houston (City of)	$1,011,870	$1,008,870	$1,008,870	$1,002,776
Laredo (City of)	$433,514	$433,514	$433,514	$433,514
Lubbock County	$378,153	$378,153	$378,153	$378,153
Mansfield Police Dept.	$136,362	$152,237	$152,237	$151,879
Missouri City (City of)	$130,426	$146,363	$146,363	$146,363
Montgomery County	$391,210	$391,210	$391,210	$391,074
Paris (City of)	$128,522	$106,072	$106,072	$94,649
Pasadena (City of)	$80,000	$80,000	$80,000	$77,851
Potter County	$0	$0	$0	$0
San Antonio (City of)	$1,126,621	$1,126,621	$1,126,621	$1,124,685
Smith County	$380,659	$374,087	$374,087	$373,179
Tarrant County	$1,076,113	$1,076,113	$1,076,113	$1,076,113
TDCJ	$0	$50,000	$50,000	$50,000
Texas DPS - BATIC	$104,976	$53,896	$53,896	$51,542
Texas DPS - Training	$79,476	$54,752	$54,752	$52,863
Travis County	$649,914	$641,481	$641,481	$647,796
University of North Texas	$241,347	$239,233	$0	$0
Victoria (City of)	$100,200	$102,730	$102,730	$103,757
Total	$13,800,000	$13,800,000	$13,800,000	$13,800,000

Report on Closure of Grants for FY 2014
8 - July - 2015

Executive Summary:

A review was completed as part of the close out process for the FY 2014 ABTPA grants. The review was hampered by the ABTPA's simultaneous use of 2 systems of record, which frequently do not agree on the same data. The review indicated that the majority of Grantees are in compliance with the majority of program results. The detailed results of the review are found below.

Detailed Report:

The Grant closeout process is an essential component of Grant management.

For FY 2014 the ABTPA Grant closeout entails:

1) **Submission of final reports by Grantees:**
   a) **Financial (by 30 days after end of Quarter)**
   b) **Progress (by 5 business days after month end)**
   c) **Inventory (submitted with financial reports)**
2) **Review of reports and submissions for compliance and completion of requirements, required by the Grant, in all aspects.**
3) **Documentation and disposition of residual grant assets:**
   a) **De-obligation of remaining grant funds**
   b) **Proper carryover or disposition of program income balances**
   c) **Carryover or disposition of equipment and other tangible program assets**
4) **Completion of corrective actions, both open from reviews and those identified during the close out process.**

During FY 2014 a dual system of grantee documentation was used; one a manual (paper) submission and one an electronic submission (e-grants). The financial system relied on both electronic and paper submissions. Payments were processed and approved exclusively on the paper submissions. The progress reports and public awareness reports were submitted exclusively on-line and the progress reports were manually typed by the Grant Coordinator into an Excel Spreadsheet. The public awareness reports were reviewed and not used.

Concerns:

a) **One official "System of Record" which contains the official records of ABTPA should be used. During the review, in most cases, the two systems agreed, however several inconsistencies were noted. The two systems are**

not systematically reconciled. If an error was noted, frequently it would be corrected on the paper copies but not updated by the grantee on the E-Grants system.

b) All grantee program records should be stored systematically in a central file (e.g. by year and grantee). Paper records are not systematically filed in one central location, making it difficult to locate and access program records, especially if the custodial Grant Coordinator is absent for any reason.

c) Documentation submitted must indicate proper approval of authorized Grantee personnel in a clear and accountable method. Paper records show a large number of unendorsed alterations (whiteout) and corrections. This makes it impossible to determine whether the document version was the one that was approved by the local official. Any document tendered to the program as an official record should be reviewed for potential alterations and rejected if any evidence of alteration is noted.

d) **Program progress and goal attainment needs to be standardized, established, and measured on a;**

   a. <u>S</u>pecific – target a specific area for improvement.
   b. <u>M</u>easurable – quantify or at least suggest an indicator of progress.
   c. <u>A</u>chievable – goals that are realistic and also attainable.
   d. <u>R</u>ealistic – state what results can realistically be achieved, given available resources.
   e. <u>T</u>ime-related – specify when the result(s) can be achieved.

Program metrics reported by Grantees are not consistent, and goals were not consistently set in a measurable manner.

<u>Current Closeout Status:</u>

1) Submission of final reports by Grantee:

<u>Financial Reports</u> (due by 30 days after end of Quarter)
Note: per TAC in effect at the due date, the grantees had 30 days to provide these reports to ABTPA. The ABTPA Grant Administrative Guide gave the Grantees until November 30, 2014 to provide these reports. This conflict has now been resolved by the most recent amendment to the TAC.

<u>Financial Reports filed:</u>

Prior to F/Y/E	**2**
After F/Y/E and before TAC deadline	**4**
After TAC deadline and before ABTPA deadline	**22**
After all deadlines	**<u>1</u>**
Total	**<u>29</u>**

Progress Reports (due by 5 days after end of Quarter)
Note: per TAC in effect at the due date, the grantees had 5 days to provide progress reports to ABTPA. The ABTPA Grant Administrative Guide gave the grantees until September 30, 2014 to provide these reports. This conflict has now been resolved by the most recent amendment to the TAC.

Progress Reports filed:

Prior to F/Y/E	0
After F/Y/E and before TAC deadline	2
After TAC deadline and before ABTPA deadline	24
After all deadlines	2
Still Pending	1
Total	29

Inventory Reports (to be submitted with financial reports)

Inventory Reports filed:

Prior to F/Y/E	1
After F/Y/E and before TAC deadline	1
After TAC deadline and before ABTPA deadline	1
After all deadlines	6
Still Pending	20
Total	29

2) **Review of reports and submission for compliance and completion of requirements required by the Grant.**

Financial Reports

a) **Cash Match requirement – A cash match of 20% of Grant amount is required to be provided by Grantee.**

In compliance	28
Not in compliance	1
Total	29

The Grantee should be asked to refund the amount of ABTPA funds expended which were not matched. Note: this amount is equal to 5 TIMES the match shortfall.

b) **Overpayment of Grant funds:**
Per E-Grants, and the central file, one overpayment occurred. This was caused by a submission for the reimbursement of unallowable items. The Grant Coordinator was not available, at the time of the review, to provide additional documentation. Upon the Grant Administrators return, supporting documentation was found, and it

was determined that the correct and approved amount was paid. A revised expenditure report and request for funds should have been required prior to processing of the payment.

c) <u>Budget Compliance:</u>
Per the final E-Grants submissions, 2 grantees were out of compliance. Upon review of the paper submissions it was determined that data was not keyed into E-Grants, and the Grantees were in fact in compliance. A concern remains however; both paper submissions show that white out was used and documents were altered without endorsement (at the alterations). These documents should have been rejected and resubmitted without alteration.

<u>Progress Reports</u>

Although progress reports were filed, all goals were not created in a measurable way. It is therefore not possible to evaluate the attainment of objectives by the Grantees.

<u>Inventory Reports</u>

Only 9 of 29 Inventory reports have been submitted. Inventory reports should be obtained prior to issuance of funding for 2016 to non-compliant grantees.

<u>Disposition of Residual Grant Assets</u>

a) A closing letter should be sent to all grantees indicating that there documentation has been received, any deficiencies noted, and notification that the grant is now deemed closed, any remaining funds are now de-obligated and will not be available for future bill submissions.

b) & c) All Grantees remain in place for FY 2015. All assets including equipment and program income have been carried forward.

<u>Completion of open action items</u>

In addition to recommendations listed in this report, there was only one open audit remaining for FY 2014. The Grantee was allowed one year to complete a corrective action plan. In June of 2015 the grantees FY2016 grant application was rejected. A determination should be made as to whether it is in ABTPA's best interest to continue investing resources in this Grantee.

ABTPA Staff Training

Texas Attorney General's Open Government Conference in San Marcos on October 21-23, 2014

State Auditor's Office (SAO) Auditing Essentials in Austin on October 27 & 28, 2014

SAO Design and Analysis for Performance Auditing in Austin on December 11 & 12, 2014

SAO Understanding the Yellow Book in Austin on February 9, 2015

SAO Developing and Presenting Reportable Findings in Austin on April 9 & 10, 2015

Two staff members attended the National Insurance Crime Bureau (NICB) Auto Theft Training Course in Corpus Christi, Texas on July 27-30, 2015

ABTPA Director also attended and presented at the NICB Auto Theft Training Course in Corpus Christi.

ABTPA Director attended the International Association of Auto Theft Investigators (IAATI) training in Phoenix, Arizona on August 9-14, 2015

Staff member attended and presented at the NICB Auto Theft Training Course in Carrollton, Texas on September 14-17, 2015

Public Information Act Legislative Update in Austin on September 22, 2015

ABTPA Staff Positions

Anna Mallett has accepted a new position with the Texas Comptroller's Office. She will be the Program Coordinator for the new Texas ABLE Program, a tax-advantaged savings option for people with disabilities which will allow them lead more independent, self-directed lives. This is a very exciting opportunity and we wish her all the best of luck. Anna has held various positions within the ABTPA program and most recently served as a Grant Coordinator.

Dominic Gonzales is a new Grant Coordinator for ABTPA. In addition to helping administer the ABTPA grant program, Dominic will be focusing on the agency's public awareness campaigns, advertising efforts, and social media platforms to enhance the visibility and impact of ABTPA's various initiatives. Prior to joining ABTPA, Dominic was the Associate Grants Program Manager for the Texas Indigent Defense Commission. He is a native of Lubbock, Texas and lives in Austin.

2015 ABTPA Internship Summary and Intern Statement

William Carter of Longview, Texas is a December 2014 graduate of Stephen F. Austin State University with a Bachelor's of Science in Public Administration and minor in Criminal Justice. He was active in several campus organizations and made the Dean's List several semesters.

Prior to internship with ABTPA, Will served as a legislative aide with two Texas State Representatives and with two small law firms in East Texas. Will's future plans include pursing a master's degree while working for a state agency or the Legislature.

Statement from Will Carter:

During my internship with ABTPA, I obtained first-hand working knowledge of concepts taught in my budget and financial administration courses. While I had a brief overview of the grant application process, I was not aware of the complexity of the process. I learned there many laws and policies governing the processes and standards for both the grantee and administrator.

While I was proficient researching statutory and constitutional laws from my time with the Legislature, I learned how the Texas Administrative Code, ABTPA Board decisions, and the Uniform Grant Management Standards (UGMS) regulate the grant administration process. I also learned ABTPA Board can create and amend the Administrative Code. Likewise, I learned about the Generally Accepted Accounting Principles (GAAP) how they are applied to the grant administration process. It felt good to know that the many hours I spent reading court decisions and attorney general opinions during college were beneficial. I was able to quickly locate relevant information to assist the ABTPA staff with revisions or questions regarding the ABTPA Administrative Manual.

In addition to learning about the grant administration process, I became very proficient using Microsoft Excel to create graphs and tables to quickly process data. I feel I that I was given the opportunity to sharpen my skills as I start my career.

Board Agenda Item

Section 2. Reports **Part B**. Report on Interagency Contracts –

1. Texas Comptroller of Public Accounts
2. Texas Department of Public Safety – Motor Vehicle Theft Investigators School
3. Texas Department of Criminal Justice – Office of Inspector General - Fuginet

THE STATE OF TEXAS §
THE COUNTY OF TRAVIS §

INTERAGENCY COOPERATION CONTRACT

THIS CONTRACT is entered into by and between the State agencies shown below as Contracting Parties under the authority granted and in compliance with the provisions of Chapter 771 of the Government Code.

I. **CONTRACTING PARTIES:**

The Receiving Agency: Texas Department of Motor Vehicle (TxDMV)

The Performing Agency: Texas Comptroller of Public Accounts (CPA)

II. **STATEMENT OF SERVICES TO BE PERFORMED**: The Performing Agency will undertake and carry out services described in **Attachment A**, Scope of Services.

III. **CONTRACT PAYMENT:** The total amount of this contract shall not exceed **$20,000.00** and shall conform to the provisions of **Attachment B**, Budget. Payments shall be billed annually at **$10,000 per year**.

IV. **TERM OF CONTRACT:** Payment under this contract beyond the end of the current fiscal biennium is subject to availability of appropriated funds. If funds are not appropriated, this contract shall be terminated immediately with no liability to either party. This contract begins on **September 1, 2013** or when fully executed by both parties, whichever is later and terminates **August 31, 2015**.

V. **THE AGREEING PARTIES** certify that:

1. The services specified in Attachment A are necessary and essential for activities that are properly within the statutory functions and programs of the affected agencies of State Government.
2. The proposed arrangements serve the interest of efficient and economical administration of the State Government.
3. The services or resources agreed upon are not required by Article XVI, Section 21 of the Constitution of Texas to be supplied under contract given to the lowest responsible bidder.
4. This contract neither requires nor permits either party to exceed its duties and responsibilities or the limitations of its appropriated funds.

VI. **LEGAL AUTHORITY:**

The Receiving Agency further certifies that it has the authority to request the above services by authority granted in Vernon's Annotated Civil Statutes, Article 4413 (37).

The Performing Agency further certifies that it has the authority to perform the services by authority granted in Chapter 403 of the Texas Government Code.

This contract, including the provisions of **Attachment A,** Scope of Services, **Attachment B,** Budget, and **Attachment C,** General Terms and Conditions and incorporated into this contract by this reference, contains the entire agreement between the parties relating to the rights granted and the obligations assumed in it. Any oral representations or modifications concerning this contract shall be of no force or effect unless contained in a subsequent writing, signed by both parties.

THE UNDERSIGNED PARTIES bind themselves to the faithful performance of this contract.

THE RECEIVING AGENCY	THE PERFORMING AGENCY
Texas Department of Motor Vehicles	Texas Comptroller of Public Accounts
By: Whitney H Brewster	By: Martin A. Hubert
AUTHORIZED SIGNATURE	AUTHORIZED SIGNATURE
Whitney Brewster, Executive Director	Martin A. Hubert, Deputy Comptroller
TYPED OR PRINTED NAME AND TITLE	TYPED OR PRINTED NAME AND TITLE
08/30/2013	8/30/13
DATE	DATE

ATTACHMENT A

Interagency Cooperation Contract
Scope of Services

The parties agree that with regard to forms:

1. The CPA and the TxDMV, Automobile Burglary and Theft Prevention Authority (ABTPA) Division shall develop fee assessment forms and instructions annually. The content and format of the fee assessment forms and instructions shall incorporate the current statutory requirements, TxDMV procedural changes, and the TxDMV administrative rule amendments that may affect the fee assessment of the motor vehicle insurer.
2. The CPA shall produce all fee assessment forms and instructions.
3. The CPA shall mail the fee assessment forms biannually to all Texas licensed motor vehicle insurers no later than the second week in June and no later than the second week in January of each year.
4. The TxDMV shall provide any procedural changes and rule changes that may affect fee assessment and fee assessment forms to the CPA at least three months prior to the CPA's biannual mailings of the fee assessment forms and instructions.
5. The TxDMV shall publish and mail to all Texas licensed motor vehicle insurers procedural changes and rule changes that may affect the fee assessment when the changes occur within the three months prior to the CPA's mailing of the fee assessment forms and instructions. The TxDMV shall also publish and mail to the insurers all procedural changes and rule changes when they occur subsequent to the CPA's mailing date.

The parties agree that with regard to the collection of fee assessment and reports:

1. The CPA shall collect for the TxDMV, the motor vehicle fees assessed against Texas licensed motor vehicle insurers pursuant to Vernon's Annotated Civil Statutes, Article 4413(37), biannually, no later than August 1 for the first six months of the year and no later than March 1 for the second six months of the year.
2. The CPA shall deposit the assessment payments and clear the revenues into General Revenue Fund 001, Comp Object Code 3206, and issue a report of deposits to the TxDMV.
3. All interest and other earnings shall be credited to General Revenue Fund 001, Comp Object Fund 3206, using a procedure jointly approved by the CPA and the TxDMV.
4. The CPA shall enter report data and payment information into a database, identifying those companies failing to either file a form and/or pay the assessment.
5. The CPA shall identify and report to the TxDMV the Texas licensed motor vehicle insurers that fail to file the fee assessment form. The CPA will issue letters of non-compliance to the insurers, approximately 30 days after the filing due date. Upon the mailing of this letter, the CPA shall refer these cases to the TxDMV.
6. The CPA will send a billing notice to the Texas licensed motor vehicle insurers identified by the TxDMV as filing the fee assessment form but failing to pay the correct assessment amount. Upon mailing of this notice, the CPA will refer these cases to the TxDMV.
7. The CPA shall deliver filing and payment data to the TxDMV. Once the CPA delivers the filing and payment data to the TxDMV, the CPA is no longer responsible for the collection and enforcement of the fee assessments including but, not limited to; accounting for refunds and credits for the fees assessment, issuance of penalties for the insurers non-compliance; determination of fee deficiencies, and auditing. If CPA personnel are required to testify in any proceeding regarding the administration and collection of fees, the TxDMV shall pay reasonable expert witness fees to the CPA.

The parties agree that with regard to reporting:

1. The CPA shall report the status of collections semi-annually to the TxDMV.
2. The CPA has no duty to refer a case of non-compliance to the TxDMV Legal Services Division at any time during the term of this Contract.

ATTACHMENT B

Interagency Cooperation Contract
Estimated Budget

Collection of TxDMV, ABPTA Motor Vehicle Fees

MAXIMUM AMOUNT PAYABLE: **$20,000.00**

The TxDMV shall reimburse the CPA for performing the services listed in Attachment A, which include the following:

- all costs associated with answering routine motor vehicle insurer inquiries regarding fee assessment;
- retaining and maintaining fee assessment information in the designated database;
- clearing receipts;
- identifying Texas licensed motor vehicle insurers that owe the assessment;
- contacting non-complying motor vehicle insurers; and
- reporting to the TxDMV the status of the collections.

THE STATE OF TEXAS §

THE COUNTY OF TRAVIS §

INTERAGENCY COOPERATION CONTRACT

THIS CONTRACT is entered into by and between the State agencies shown below as Contracting Parties under the authority granted and in compliance with the provisions of Chapter 771 of the Government Code.

I. CONTRACTING PARTIES:

The Receiving Agency: Texas Department of Motor Vehicles (TxDMV), Automobile Burglary Theft Prevention Authority (ABTPA)

The Performing Agency: Texas Department of Public Safety (TXDPS), Criminal Investigations Division (CID)

II. STATEMENT OF SERVICES TO BE PERFORMED: The Performing Agency will undertake and carry out services described in **Attachment A**, Scope of Services.

III. CONTRACT PAYMENT: The total amount of this contract shall not exceed **$50,000.00** and shall conform to the provisions of **Attachment B**, Budget. Payments shall be billed **quarterly**.

IV. TERM OF CONTRACT: Payment under this contract beyond the end of the current fiscal biennium is subject to availability of appropriated funds. If funds are not appropriated, this contract shall be terminated immediately with no liability to either party. This contract begins **September 1, 2015 or when fully executed by both parties, whichever is later and terminates August 31, 2016.**

V. THE AGREEING PARTIES certify that:

1. The services specified above are necessary and essential for activities that are properly within the statutory functions and programs of the affected agencies of State Government.
2. The proposed arrangements serve the interest of efficient and economical administration of the State Government.
3. The services or resources agreed upon are not required by Article XVI, Section 21 of the Constitution of Texas to be supplied under contract given to the lowest responsible bidder.

VI. LEGAL AUTHORITY:

The Receiving Agency further certifies that it has the authority to request the above services by authority granted in Chapter 1001, Texas Transportation Code.

The Performing Agency further certifies that it has the authority to perform the services by authority granted in Chapter 411, Government Code.

This contract incorporates the provisions of **Attachment A,** Scope of Services**, Attachment B,** Budget**, Attachment C,** General Terms and Conditions.

THE UNDERSIGNED PARTIES bind themselves to the faithful performance of this contract.

THE RECEIVING AGENCY Texas Department of Motor Vehicles	**THE PERFORMING AGENCY** Texas Department of Public Safety
By:	By:
________________ AUTHORIZED SIGNATURE	________________ AUTHORIZED SIGNATURE
Whitney Brewster, Executive Director TYPED OR PRINTED NAME AND TITLE	________________ TYPED OR PRINTED NAME AND TITLE
________________ DATE	________________ DATE

ATTACHMENT A

Interagency Cooperation Contract
Scope of Services

Texas Department of Motor Vehicles, Auto Burglary and Theft Prevention Authority (hereafter called the Authority)

Texas Department of Public Safety, Criminal Investigations Division (hereafter called the Department)

[TXDPS/CID Specialized Auto Theft Training Part 1 and Part 2 Classes]

Function of Project

The primary target of this training project will be ABTPA Task Force officers. The training will also be provided to other law enforcement officers in Texas, as well as other states. The training shall be the highest quality instruction available regarding auto theft investigation methods and stolen vehicle recognition techniques. The goal of this training is to increase the knowledge of those attending in the effective use of auto theft investigation methods and stolen vehicle identification techniques.

This project will enable the Department to continue providing the Specialized Auto Theft Part 1 and Part 2 schools in Texas. These Specialized Auto Theft schools, held in Corpus Christi, Austin and Fort Worth, are made available to Texas auto theft investigators, as well as officers working auto theft duties in other states.

Goals – Educate
The Department of Public Safety will use experienced and qualified instructors that are knowledgeable in auto theft investigations. The Department will provide a total of four auto theft classes during this grant period. The training will consist of two Specialized Auto Theft Part 1 schools and two Specialized Auto Theft Part 2 schools. Each school will have a maximum of 40 students, or a total of 160 students will be registered for these classes. The Department shall provide students with a class critique form at the conclusion of each class. The class critiques will also be used to evaluate the program progress.

Reporting Requirements
The Department will submit to the Authority a copy of the Texas Commission on Law Enforcement training plan that provides a synopsis of material covered under each class, qualifications and prerequisites for attendees, class objectives, a summary of the learning measures attained by and critiques submitted by the participants in the quarter immediately following each class. The Department will notify the Authority of projected dates that classes will be held and the method for registration by sixty (60) days prior to the start of a class or as soon as practical.

The Department will provide the Authority with quarterly invoices and activity reports on December 15, 2015, March 1, 2016, June 15, 2016 and October 15, 2016. The invoice will provide the amount spent for each period and a request for reimbursement. The activity report will contain the following:

1) The total number of classes held during the quarter
2) The names of the classes and a summary (location, content, major events or issues encountered, etc...)
3) Total number of attendees for each class by type (ABTPA Task Force member Sheriff Employee [number by ORI #], ABTPA Task Force member Police Employee [number by ORI #], Non-ABTPA Task Force member Sheriff Employee [number by ORI #], Non- ABTPA Task Force member Police Employee [number by ORI #], Texas state law enforcement officer (TXDPS, TDCJ-OIG, TPWD, etc...), and other law enforcement officers, non-law enforcement personnel.
4) If less than thirty-five students were trained, the Department will provide information as to explain the lesser number of students and what corrective action is proposed by next class to ensure a maximum or optimal attendance.

ATTACHMENT B

Interagency Cooperation Contract

Proposed Budget
The Department will use funds under this agreement to pay for direct cost associated with the classes described in this agreement. The cost categories amounts may vary based on the needs to operate the classes. The budget is estimated to be:

Cost Item	Amount
Instructor Per Diem for classes and maintain TCOLE	$8,000
Student Travel and Per Diem	$35,000
Travel and per diem Subtotal	**$43,000**
Class related services (Copy, Printing, etc...)	$2,500
Class related supplies (Books, Materials, etc...)	$4,500
Class Related Costs Subtotal	**$7,000**
Project Total	$50,000

THE STATE OF TEXAS §

THE COUNTY OF TRAVIS §

INTERAGENCY COOPERATION CONTRACT

THIS CONTRACT is entered into by and between the State agencies shown below as Contracting Parties under the authority granted and in compliance with the provisions of Chapter 771 of the Government Code.

I. CONTRACTING PARTIES:

The Receiving Agency	Texas Department of Motor Vehicles (TxDMV), Automobile Burglary Theft Prevention Authority (ABTPA)
The Performing Agency	Texas Department of Criminal Justice (TDCJ), Office of the Inspector General (OIG)

II. STATEMENT OF SERVICES TO BE PERFORMED: The Performing Agency will undertake and carry out services described in **Attachment A**, Scope of Services.

III. CONTRACT PAYMENT: The total amount of this contract shall not exceed **$50,000.00** and shall conform to the provisions of **Attachment B**, Budget. Payments shall be billed **quarterly**.

IV. TERM OF CONTRACT: Payment under this contract beyond the end of the current fiscal biennium is subject to availability of appropriated funds. If funds are not appropriated, this contract shall be terminated immediately with no liability to either party. This contract begins **September 1, 2015 or when fully executed by both parties, whichever is later and terminates August 31, 2016.**

V. THE AGREEING PARTIES certify that:

1. The services specified above are necessary and essential for activities that are properly within the statutory functions and programs of the affected agencies of State Government.
2. The proposed arrangements serve the interest of efficient and economical administration of the State Government.
3. The services or resources agreed upon are not required by Article XVI, Section 21 of the Constitution of Texas to be supplied under contract given to the lowest responsible bidder.

VI. LEGAL AUTHORITY:

The Receiving Agency further certifies that it has the authority to request the above services by authority granted in Chapter 1001, Texas Transportation Code.

The Performing Agency further certifies that it has the authority to perform the services by authority granted in Chapter 492, Government Code.

This contract incorporates the provisions of **Attachment A,** Scope of Services**, Attachment B,** Budget**, Attachment C,** General Terms and Conditions.

THE UNDERSIGNED PARTIES bind themselves to the faithful performance of this contract.

THE RECEIVING AGENCY Texas Department of Motor Vehicles	**THE PERFORMING AGENCY** Texas Department of Criminal Justice-Office of Inspector General
By:	By:
AUTHORIZED SIGNATURE	AUTHORIZED SIGNATURE
Whitney Brewster, Executive Director TYPED OR PRINTED NAME AND TITLE	TYPED OR PRINTED NAME AND TITLE
DATE	DATE

ATTACHMENT A

Interagency Cooperation Contract
Scope of Services

This Scope of Services is to assist the Automobile Burglary and Theft Prevention Authority (ABTPA) in fulfilling its mission of combating motor vehicle theft and burglary. The Texas Department of Criminal Justice - Office of Inspector General (OIG) believes this statewide problem requires a collaborative statewide and local solution from various agencies working cohesively together.

I. STATEMENT OF SERVICES TO BE PERFORMED:

1. OBJECTIVE: To identify for ABTPA task forces persons of interest who may be involved in crimes with a nexus to ABTPA task force investigations or who are currently in a fugitive status.

OIG will use the analytical capabilities of two seasoned crime analysts to identify persons of interest who are recidivists with a nexus to automobile theft and/or burglary who are operating within or impacting ABTPA task force areas of operation. OIG will provide the analytical research packets on 100 former TDCJ offenders with either warrants for arrest or who may be persons of interest worthy of task force investigative activity. Action taken on these subjects by ABTPA task forces should aid in the identification of suspects committing offenses within the purview of the task force and result in a reduction of automobile theft/burglary incidents in their areas.

2. OBJECTIVE: Provide analytical and operational assistance to areas not currently covered by ABTPA task forces in an attempt to reduce automobile theft and burglary.

OIG will use the most current Texas Department of Public Safety crime data to identify areas with higher rates of automobile theft which are not covered by ABTPA funded task forces. Working with DPS and local agencies, OIG will work to facilitate, support, and provide (2) operational resources for targeted apprehension operations of persons of interest with a nexus to automobile theft and burglary.

3. OBJECTIVE: To provide ABTPA task forces with relevant criminal intelligence based on interviews of convicted offenders which will enhance their operational awareness, effectiveness, and facilitate strategic planning.

OIG, working with ABTPA task forces, will identify key criminal information needs which will aid in task force operational activities. OIG will identify (80) TDCJ incarcerated offenders involved in automobile theft and/or burglary to be interviewed to collect this criminal intelligence. This information will be summarized and the data collected will be provided no later than July 31, 2016 to all task forces or sooner if the information is deemed actionable.

4. OBJECTIVE: To provide ABTPA task forces with specific training in the use of FUGINET as an aid to the conduct of criminal investigations. Specific focus will be on identification of suspects or sources of information; geographical searches for persons or vehicles; and to identify wanted persons.

OIG will work with ABTPA funded task forces to conduct a minimum of (6) onsite TCOLE certified training sessions on the operation and investigative benefit of FUGINET and other TDCJ resources. OIG will also ensure ABTPA and its mission is listed prominently when providing at least (3) other training or information presentations/booths at law enforcement, crime prevention or other related conferences or seminars in Texas.

II. REPORTING In addition to any internal reporting within OIG and TDCJ, ABTPA will be provided quarterly expense and activity reports on December 31, 2015, March 31, 2016, June 30, 2016 and October 31, 2016. The reports will include ABTPA funds spent for each period and a request for the quarterly installment from ABTPA. The activity report will contain the following:

A) How many auto theft/burglary cases researched and sent out to law enforcement agencies?
B) How many targeted operations completed?
C) How many offenders identified to be interviewed to collect criminal intelligence?
D) How many criminal justice personnel trained to include name, agency name, identification number, and location of training?

Funds expended in furtherance of ABTPA specific activities will be reported to ABTPA by major budget category such as personnel, travel, supplies, and equipment in the quarterly report. Below is the approximate anticipated expenditure of ABTPA funds. **All unexpended funds will be returned to ABTPA within 90 days of the end of the contract period.**

OIG

- Will provide a designated point of contact for ABTPA for additional case support on all incarcerated and paroled offenders.
- Will attend all ABTPA regularly scheduled monthly telephonic meetings.

ABTPA

- Will provide quarterly installments to OIG of $12,500 upon receipt and approval of the quarterly expense and activity reports and the request for payment from TDCJ.

ATTACHMENT B

Interagency Cooperation Contract
Budget

Cost Item	Amount
Training, Field Operations, Presentations, Conferences	
Travel and per diem Subtotal	**$17,000**
Office Supplies, Lease Vehicle, Public Awareness, Programming changes to enhance ABTPA related offenses and to automate questionnaire	
Supplies and Direct Operating Subtotal	**$28,000**
Overtime for completion of field operations and other objectives	
Personnel Subtotal	**$5000**
Project Total from ABTPA	**$50,000**

Board Agenda Item

Section 3. Briefings and Action Items **Part A.** FY16 Grant Award Follow-up – Consider Clarification on the City of Denton Grant Award

FY16 Denton PD Grant Summary and Discussion Document

Issue: Denton PD submitted a grant application and modification that appear to request replacement of city resources with state resources and uses existing positions to secure grant funds. The application does not appear to add, extend or leverage motor vehicle crimes investigators.

Summary:
After the ABTPA Board Meeting in June, ABTPA staff met with each grantee over the phone to discuss the modifications to their grants for the amount actually funded by the Board. Discussions with the Denton PD revealed that their review of the material that was presented to the ABTPA Board about Potter County elevated a concern that their grant may be similar regarding supplanting. The ABTPA Director agreed to review all documentation and to identify key findings.

In FY15 Denton PD operated a statewide public awareness grant. The FY16 application was for an enforcement grant with a local public education component. The Denton PD application contained the following:

1) keep the previously funded statewide education position as a local education position;
2) move two existing city funded crime prevention / investigator positions from the property crimes unit to new ABTPA grant funded vehicle crimes unit.
3) use administrative and law enforcement management positions as match

No officers will be hired to replace the officers moved from the eight investigators in the property crimes unit. Part of the investigators moved and dedicated to the motor vehicle unit will continue to serve part-time in the property crimes unit. The entire grant request and the match provided are positions which are already funded by the city.

Supplanting Clarification
After the grant modification discussion with Denton about supplanting, the ABTPA director sent an e-mail summary on July 20, 2015, to Denton PD. The e-mail was intended to help clarify supplanting rules as they applied to the original application from Denton. The award was to modify and continue the RATT program as a local program and to add new enforcement positions.

The director explained the grant rules relating to supplanting and was careful to state that match has the same requirements as grant funds. Anything that would be unallowable for grant funds would be equally as unallowable for match. The e-mail also provided the following information:

1) ABTPA grant rules and guidelines prohibit supplanting (see 43 TAC § 57.9);
2) The City of Denton accepted and executed the ABTPA non-supplanting certification (see attached certification);
3) The ABTPA Grant Administrative Manual ***Personnel Limitation*** Page 29 states that "No grants will be made to supplement salaries for existing positions." It additionally adds that: "Existing employees of the grantee may be transferred from other positions to fill the positions in a grant project. However, the positions vacated must be filled by additional transfers and/or new hires so that the grantee's full staff of non-grant employees is not reduced in number equal to the number paid by grant monies."
4) Costs are only allowable if they meet the objectives of this grant. It was understood the City of Denton and Denton County have operating police departments that currently report, respond to, and investigate motor vehicle theft and burglary; and
5) Cost used as match must be borne by the application agency under the Uniform Grant Management Standards.

Director's Finding
The grant appears to supplant city resources with state resources. After review of the documentation provided and the modified grant application, the grant funds requested will only be used to replace Denton PD funds. Salaries and city resources used as match are already fully burdened employed positions. The Modified Application requests that the grant funds to be used primarily on equipment to create the new auto crimes unit and using three part-time investigators as match. It is determined that no additional city funds or new positions are being provided. Based on the information provided, we can only conclude that the investigative positions will not be new or transferred with replacement. Based on information provided, the revised application supplants city resources with state resources.

ABTPA Director Recommendation

Option 1 – Require Denton PD to contribute additional funds as a part of this grant program.

Option2 – Offer to provide a Statement of Grant Award that requires a straight 20% cash match reimbursement on one (1) 100 percent dedicated grant administrator/public awareness coordinator and one (1) 100 percent dedicated full time investigator, equipment, and other costs under current rules.

Budget Categories	ABTPA FUNDS	Cash Match	In-Kind Match	Total
Personnel (Salaries/Overtime) ➢ 1 full time investigator – $77,031 ➢ 1 fulltime grant coordinator/public education -$72,998	$125,024	$25,005	$0	$150,029
Personnel (Fringe Benefits)	$64,338	$12,868	$0	$77,206
Contractual		$0	$0	$0
Travel	$3,500	$700	$0	$4,200
Equipment	$69,931	$13,986		$83,917
Supplies and Direct Operating Expense	$5,000	$1,000	$0	$6,000
Indirect Costs				
Total	$267,793	$53,559	$0	$321,352

City of Denton
Supporting Documents

Original Application Summary

Original Budget (Submitted in Application 6/24)

Budget Categories	ABTPA FUNDS	Cash Match	In-Kind Match	Total
Personnel (Salaries/Overtime)	$211,368	$46,265	$0	$257,633
Personnel (Fringe Benefits)	$108,792	$23,812	$0	$132,604
Contractual	$0	$0	$0	$0
Travel	$5,831	$0	$0	$5,831
Equipment	$21,015	$0	$0	$21,015
Supplies & Direct Operating Exp.	$12,420	$7,500	$0	$19,920
Indirect Costs	$0	$0	$0	$0
	$359,426	$77,577	$0	$437,003

Personnel Detail from Original Application

Title or Position	**Grant %**	**ABTPA**	**Cash**	**Total**
Grant Coordinator	100%	$72,998		$72,998
Vehicle Crimes Investigator	90%	$69,328		$69,328
Vehicle Crimes Investigator	90%	$69,042		$69,042
Criminal Investigations Sergeant	25%		$22,069	$22,069
Criminal Investigations Lieutenant (Program Director)	10%		$12,055	$12,055
Senior Accountant	10%		$8,115	$8,115
Purchasing Agent/Fin. Analyst	10%		$4,026	$4,026
		$211,368	$46,265	$257,633

6/24/2015 Application Budget Summary

- The original application narrative provided the percent of salary dedicated to ABTPA but did not indicate how much time personnel would devote to grant activities. Two law enforcement officers were listed at 90% salary funded from ABTPA grant funds. The original application did not provide the percent of time that these two officers would work the Auto Crimes unit.
- ABTPA requested clarity on the percent worked in the original application which dedicated the majority of grant funds to personnel paid with ABTPA funds. The modified version changes funding and time dedicated.
- The Denton PD agreed to the non-supplanting requirement in the application.

Revised Application Summary

Revised Budget Summary (Revised 8/19/2015)

Budget Categories	ABTPA FUNDS	Cash Match	In-Kind Match	Total
Personnel (Salaries/Overtime)	$72,998	$192,984	$0	$265,982
Personnel (Fringe Benefits)	$37,572	$99,328	$0	$136,900
Contractual	$0	$0	$0	$0
Travel	$7,371	$0	$0	$7,371
Equipment	$139,230	$0	$0	$139,230
Supplies & Direct Operating Exp.	$10,622	$9,500	$0	$20,122
Indirect Costs	$0	$0	$0	$0
	$267,793	$301,812	$0	$569,605

Personnel Detail from Revised Application

Title or Position	Grant %	ABTPA	Cash	Total
Grant Coordinator	100%	$72,998		
Vehicle Crimes Investigator	70%		$54,425	
Vehicle Crimes Investigator	70%		$53,699	
Vehicle Crimes Investigator	50%		$39,896	
Criminal Investigations Sergeant	25%		$22,069	
Criminal Investigations Lieutenant (Program Director)	10%		$10,754	
Senior Grants Accountant	10%		$8,115	
Financial/Purchasing Analyst	10%		$4,026	
		$72,998	$192,984	

8/19 Revised Application Budget Summary

The Denton PD has 8 investigators assigned to general investigations. Lt. Chris Summit explained by email that the 8 existing detectives are currently assigned to general investigations, handling “all property crimes and potentially persons or narcotics offenses as well.” The revised application was not clear whether the investigators who would be assigned (for a part of their time) to auto theft would be new or from the 8 existing officers. However Lt. Summit’s e-mail clarified that; requests for additional sworn positions for FY15 and FY16 were denied by city management, and that “adding 2 investigative positions is for the most part not realistic at this time.”

- Two investigators are listed at 70% and one at 50%. These law enforcement positions are used as match but only dedicated part time to the new auto theft unit.
- Cash Match has the same rules and requirements as direct Grant expenses, including rules about supplanting.
- The overall cash match presented in the revised budget raised the city’s match to 112%. All of the positions on the budget used for match are existing positions.
- No city funds or new personnel are provided in the budget.
- The grant narrative is much clearer about the amount of staff time that would be devoted to grant activities.
- Equipment costs make up a much greater portion of the requested amount in the revised budget narrative.
- No new city funds are being used to purchase or match items. No new personnel are added.

Additional Information and Requirements

Highlights added

Applicable Rule:
Tile 43, Part 3, RULE §57.9 Non-supplanting Requirement
(a) Texas Civil Statutes, Article 4413(32a), §6(a)(7), requires that state funds provided by this Act shall not be used to supplant state or local funds. Public Law 98-473 requires that federal funds provided by that Act shall not be used to supplant state or local funds.
(b) Each grantee shall certify that ABTPA funds have not been used to replace state or local funds that would have been available in the absence of ABTPA funds. The certification shall be incorporated in each grantee's report of expenditure and status of funds referred to under §57.3(6) of this title (relating to Compliance Adoption by Reference).

Applicable Policy and Application Certification:
ABTPA Grant Administrative Manual Page 29, Section: Personnel Limitation
No grants will be made to supplement salaries for existing positions. Salaries for ABTPA-funded positions shall comply with state, city, or county classification systems and shall be documented by appropriate time and attendance records.

Positions which existed prior to grant award approval and were funded from any source other than ABTPA grant funds are not eligible for grant funds, except in those cases where entire projects may qualify for continuation under ABTPA Rule 57.36(b). Existing employees of the grantee may be transferred from other positions to fill the positions in a grant project. However, the positions vacated must be filled by additional transfers and/or new hires so that the grantee's full staff of non-grant employees is not reduced in number equal to the number paid by grant monies.

Grant Application Non Supplanting Certification
I certify that the programs proposed in this application meet all the requirements of the Texas Civil Statutes, Article 4413(32a). §6(a)(7), (a) Texas Civil Statutes, Article 4413(32a), §6(a)(7), requires that state funds provided by this act shall not be used to supplant state or local funds. Public law 98-473 requires that federal funds provided by that Act shall not be used to supplant state or local funds.
I further certify that ABTPA funds have not been used to replace state or local funds that would have been available in the absence of ABTPA funds. The certification shall be incorporated in each grantee's report of expenditure and status of funds referred to under §57.3(6) of this title (relating to Adoption by Reference).

Applicable Standard:
Uniform Grant Management Standards; III. State Uniform Administrative Requirements For Grants and Cooperative Agreements; Subpart C—Post-Award Requirements--Financial Administration____.24 Matching or cost sharing.
(a) Basic rule: Costs and contributions acceptable. With the qualifications and exceptions listed in paragraph (b) of this section, a matching or cost sharing requirement may be satisfied by either or both of the following:
(1)Allowable costs incurred by the grantee, subgrantee or a cost-type contractor under the assistance agreement. This includes allowable costs borne by non-federal grants or by other cash donations from non-federal third parties.
(2) The value of third party in-kind contributions applicable to the period to which the cost sharing or matching requirements applies.

Denton PD

ABTPA GRANT FY 2015-2016

GRANT GOALS

1. Reduce the incidents of motor vehicle theft
2. Reduce the incidents of theft from a motor vehicle
3. Public awareness campaigns for detection and prevention of auto crimes

Qualifying Statistics

Vehicle Theft Data	Year 1 2011	Year 2 2012	Year 3 2013
Number of Stolen Vehicles	638	597	653
Number of Recovered Vehicles	380	379	564
Number of Arrests	57	40	65
Number of Auto Theft Training Classes			
Number of (other)			
Theft from a Motor Vehicle Data	Year 1	Year 2	Year 3
	2011	2012	2013
Number of Burglaries of a Vehicle	2753	2518	2115
Number of Recovered Items	633	554	444
Number of Arrests	648	533	419
Number of (other)			
Number of (other)			
Other Motor Vehicle Crimes	Year 1	Year 2	Year 3
	2011	2012	2013
68A Inspections	0	0	0
Salvage Inspections	0	0	0
Number of Stolen Vehicle Inquiries	0	0	0
Number of (other)			

Qualifying Statistics

- Auto theft increased 20% from 2013 to 2014
- 2013 Denton County ranked 10th in Texas for auto theft and 17th for burglaries
- Arrest clearance for auto theft is only 12%
- The I-35 corridor attracts transient, multi-jurisdictional offenders
- Denton is expecting a 21% increase in population by 2020 which does not include the approximate 50,000 college students in the city
- 50% of stolen vehicles are unlocked hence the public education goal

Questions Over Supplanting

- The ABTPA has historically not defined supplanting
  - The current TAC references a non-existent statute
  - UGMS has different standards for different types of grants
  - The governor’s CJD manual even allows the funding of programming and new job functions without a requirement of new positions.
  - The past directors have been consistent with supporting programming as a supplemental function

Questions Over Supplanting

- The current approach to supplanting is fixated on positions
  - This concept was not fully explained until the after award conferences
  - This caused some concern over whether we could comply with the grant terms.

Department Snapshot

- Denton PD is authorized 167 sworn positions that include 30 investigator positions.
  - We have 7 openings as of October 1, 2015
    - Investigations has 3 openings
    - It takes about 11 months to locate, vet, hire, and train a new officer
    - We were awarded 1 sergeant position for FY 15-16
  - All positions have to be Council authorized
    - An annual renewal grant means that any position added is realistically a permanent position
    - Supplemental personnel packages due by April vs. ABTPA grant due in May
    - We do not learn if the personnel packages are approved until August

Denton PD Recommendations

- We believe there is no supplanting conflict
- The FY 15-16 ABTPA grant establishes the following new functions
  - The formation of an auto crime task force
  - The use of a crime analyst to track auto crime
  - Proactive community education activities for crime prevention
  - Salvage inspections
  - Used car lot inspections
  - 68A inspections
  - Coordination with other agencies along the I-35 corridor
  - Directed, covert deployment of LPR

Denton PD Recommendations

- We need clear language that our current grant award will cover expenses that began September 1, 2015.
- The most desirable options:
  1. The revised grant application that equips our team to be most effective using personnel as cash match
  2. The original application that seeks salary reimbursement for 2 investigators and an analyst (modified to the lesser amount awarded)
  3. Director Wilson's proposal for 1 full time investigator, 1 full time analyst, and equipment
  4. Director Wilson's proposal for unspecified additional cash match from the city.

Board Agenda Item

Section 3. Briefings and Action Items **Part B.** Posting ABTPA Revised Rules for Public Comment – Grant Administration and Insurance Refund Rules

1. Title 43; Part 3; Chapter 57: Rules §57.9. Nonsupplanting Requirement; §57.14. Approval of Grant Projects; §57.18. Grant Adjustments; §57.48. Motor Vehicle Years of Insurance Calculations; and §57.51. Refund Determinations

Response to TxDMV Internal Audit of the Automobile Burglary and Theft Prevention Authority

Chapter	No.	Recommendation	Responsible Party	Estimated Date of Implementation	Comments	Revised Date of Implementation
	1	1. Delete the requirement to cap a grantee's award amount to 80 percent of its second year award amount.	ABTPA Board	10/13/2014	Completed. At the 10/13/2014 Board Meeting, the Board voted to post revised rules for the statutory comment period which removes the "80% cap" from Rule §57.36. The proposed rule change was posted in the 10/31/14 Texas Register. It will become final 20 days after final adoption at the March ABTPA Board meeting.	5/31/2015 (20 days after final adoption and posting in the Texas Register)
	2	2. Comply with conflict-of-interest requirements for recusal if the member has an interest in a matter before the board or has a substantial financial interest in an entity.	ABTPA Board	As needed	Agreed. ABTPA Board will comply as directed by legal counsel in Board meetings.	10/13/2014
	3	1. Develop and implement a merit-based selection process that complies with state law and agency rules for reviewing, selecting, approving, and notifying applicants of funding decisions for all competitive grants.	ABTPA Board and Team	5/31/2015	Completed. ABTPA and staff reevaluated the previous grant selection process to ensure that the redesigned process was in compliance with statute and agency rules. Staff met with ABTPA Board Liasions to determine s a new merit-based grant award process using both subjective and objective criteria. This process was implemented for the FY 16 grant cycle. Applications were evaluated with a Board Liason approved "grant scoring criteria" sheet which contained eleven (11) questions totaling 100 points, with two (2) extrra credit questions totaling thrity (30) points to be used when assessing grant applicants. In addition, as part of the Grant Application Review process, applicants who were not awarded a grant were provided an official written response which included the reason/s for not qualifying. Applicants who are awarded grant funding were notified at the annual award meeting by the Board. The process was included in the ABTPA Operational Guide.	5/21/2015
	4	2. Establish, document, and implement a process for determining the grant award amount.	ABTPA Team	5/31/2015	Completed. The ABTPA staff worked with Board Liasion to establish and documented a process for determining the award amount for approved grants. The FY 16 awards were based on the amount requested, total adjusted budget, application scores, and a combination of objective(MVT & BMV theft rates) and subjective crietia. The Board Liaison [or Board Chairman designee] will serve as a member of the Grant Evaluation Team along with the ABTPA Director and the ABTPA Team. The redesigned process is in compliance with statute and agency rules. The process was included in the ABTPA Operational Guide.	5/21/2015
Chapter 1	5	3. Create separate processes for applying for grants for current and new applicants. The application process for current grantees should include historical performance data to demonstrate the impact of previous awards.	ABTPA Team	3/31/2015	Implemented. The grant application process will include an upfront assessment for new applicants. ABTPA has created an "Intent to Apply" process. As a part of the survey, potential new grant applicants are required to describe the need for ABTPA funding in their outlined coverage areas by providing historical data of automobile thefts, burglary, etc. The current grantees are required to provide historical data when they reapply for a grant. This will not change in the new application process. The upfront assessment, Intent to Apply, eliminates the need for two separate formal applications. In the event an applicant is advised they are not/may not be a good candidate for the program, they can still apply and go through selection process.	9/30/2015 - Grant Administrative Manual (GAM) 2.2 and 2.3.3

Chapter	No.	Recommendation	Responsible Party	Estimated Date of Implementation	Comments	Revised Date of Implementation
Ch	6	4. Not require new applicants to submit their application via eGrants to alleviate the need to include this topic in the mandatory grant workshop.	ABTPA Team	3/31/2015	Disagree. A good grant program is designed to make the process user-friendly and consistent. Assessment starts with the application and continues through the lifecycle of each grant. The applications submitted by the grantees need to be viewed consistently by the ABTPA and staff, auditors, ABTPA Board members, General Counsel and other approved parties . To ensure the ABTPA program maintains a thorough, accessible records management system, ABTPA will keep eGrants as the sole repository for all documentation relating to grantees. For the upcoming FY16 grant application process, the ABTPA will require mandatory training for all applicants, current and new, due to the myriad changes to the application and program.	
	7	5. Develop alternative methods for sharing grant application information, such as webinars, to eliminate the need for grantees to travel.	ABTPA Team	3/31/2015	Agreed. ABTPA has established a long-term plan is to build a Knowledge Management System that will include webinars, CBTs, classroom training, website resources and You Tube options. For FY 16 grant cycle, ABTPA conducted a grant adminstrative workshop in March. The workshop provided training to new and returning applicants regarding the ABTPA program, required documents, and the application process. ABTPA also conducted five (5) grant administrative trainings via webinars regarding various post-award requireement including Financial Administration, Program Reporting and Grant Adjustments.	3/24/2015
	8	6. Enforce requirements for applications, including submitting applications on time.	ABTPA Team	3/31/2015	Agreed. ABTPA has created mandatory penalties for past due submittals of required documents, including late grant applications. In the event an applicant misses the grant application submission due date, the applicant will not be considered for an ABTPA grant for that grant cycle.	3/31/2015 GAM 2.3.4 and 2.8
	9	7. Document why applicants are denied an award and inform the applicant in writing about the reason.	ABTPA Team	8/31/2015	Implemented & Pending. As part of the redesign, the future state of the Review of Grant Application process, applicants who were not awarded a grant will be provided an official written response (prepared by ABTPA Staff and signed by the ABTPA Board Chairman or Board designee) that includes the reason/s for not receiving a grant for the upcoming grant cycle. Applicants Received letters officially informing them about award decisions.	8/25/2015
	10	8. Compile accurate information on the number of and rate of auto theft and auto burglary when considering grant fund applicants.	ABTPA Team	5/31/2015	Implemented. Under the "Intent to Apply" process, new grant applicants must provide motor vehicle thefts and burglaries historic data as part of their documentation. This data will be compared to the top 20 county list in the most recent UCR in order to assess the greatest need. ABTPA Staff will analyze the data, along with other pertinent information in order to make recommendations concerning a potential new grant applicant.	3/24/2015 GAM 2.2
	11	9. Update its policies and procedures in its *Operational Guide* .	ABTPA Team	8/31/2015	Implemented. An Operational Guide was crated for all office and grant related tasks performed by ABTPA staff.	9/28/2015
	12	1. Review the requirement for an Audit Review Board and determine if it is a valuable element to the audit process. If the Audit Review Board adds value, the ABTPA Director should implement the requirement; if it does not add value, the Board should delete the requirement in its rules.	ABTPA Board	10/31/2014	Completed. At the 10/13/2014 Board Meeting, the board voted to remove the requirement. The proposed rule change was posted in the 10/31/14 Texas Register.	5/31/2015 (20 days after final adoption and posting in the Texas Register)

Chapter	No.	Recommendation	Responsible Party	Estimated Date of Implementation	Comments	Revised Date of Implementation
	13	1. Develop a list of objectives for each of its eight goals with grantee input and have grantees select from this list instead of having grantees develop their own objectives. Also, the ABTPA should provide a range of acceptable targets for these objectives for task forces of different sizes.	ABTPA Board and Team	3/31/2015	Imlemented. Applicant goals, strategies and activities have been aligned to appropriate strategies and activities to support the statute. The objectives were replaced with specific activities that support the mission of ABTPA and capture new trends. The list of activities were compiled by analyzing previous grant applications and reports with feedback from the ABTPA Redesign Taskforce in order to determine the main activities being conducted by grant recipients. Methodology to create a criteria for assessing targets to fairly and equitably evaluate specific task forces based on size has not yet been established. With further research and after the implementation of the new reporting process, the Team will reevaluate the recommendation for targets.	9/28/15 GAM 2.3.4.4
	14	2. Provide definitions and data collection methods for each objective to ensure reporting consistency.	ABTPA Team	3/31/2015	Implemented & Pending. ABTPA is in the process of creating a "glossary" of terms to use throughout ABTPA. The glossary will provide definitions to ensure that all grantees have the same understanding of terms and intended meaning as it applies to ABTPA. ABTPA is also documenting the source of where data elements are gathered (UCR, etc.) and will include this practice in the Grant Administrative Manual.	9/28/2015 GAM 5.1.1.2 to 5.1.1.8
	15	3. Amend its rules to require that progress reports and public awareness reports be submitted quarterly instead of monthly in compliance with the *Uniform Grant Management Standards* .	ABTPA Team	10/13/2014	Disagree. ABTPA assessed this audit recommendation with the ABTPA Redesign Taskforce and the consensus from the grantees was to continue with the monthly reporting. They advised ABTPA the more frequent, routine reporting makes it easier to gather the information. When it is less frequent, they have to gather data from multiple resources making the task actually harder because there is more information to gather and validate. The Redesign Taskforce decided the monthly reporting requirement (as opposed to quarterly reporting), better supports ABTPA business.	
	16	4. Clarify for the grantees who the authorized official will be for individual forms and reports, ensure that the signature lines on the forms and reports match the ABTPA rules, and enforce the rules.	ABTPA Team	10/13/2015	Implemented. ABTPA has created a chart containing all forms and reports that require signatures. Included within the chart are those authorized signature(s) necessary for each form or report. The chart will be included in the Grant Administrative Manual and serve as a continuous reference for grantees. All forms and reports are being evaluated for redesign and will be consistent with the ABTPA rules. The rules regarding reporting and authorized signature requirements are also being updated and the changes were voted on by the Board 10/13/14. The final process will be included in the Grant Administrative Manual.	The rule portion will be effective 5/31/2015 (20 days after final adoption and posting in the Texas Register). The Grant Administrative Guide contains an official signature chart on page 10.
	17	5. Provide to grantees a definition and examples of lobbying activities and expenditures that are not allowed under the grant agreement.	ABTPA Team	10/13/2015	Implemented. TxDMV General Counsel will develop the materials regarding lobbying activities and expenditures. Current grantees will be advised of the guidance and the new Grant Administration Manual and training materials will be updated with the information.	9/28/2015 GAM 3.3.5.1
	18	6. Approve requests for funds only when the request is accompanied with sufficient supporting documentation of reasonable, necessary, and allowable expenditures.	ABTPA Team	9/1/2014	Implemented and Pending. ABTPA has outlined in its processes (and will include in the Grant Administration Manual) what is and what is not deemed an allowable expense. Request for funds are only being approved when sufficient documentation is provided to support the request. ABTPA is also pursuing enhancing the eGrants program to accommodate improvements to the process. The ABTPA Team is also exploring other options for software.	8/31/2015 GAM 3.3.5

Chapter	No.	Recommendation	Responsible Party	Estimated Date of Implementation	Comments	Revised Date of Implementation
Chapter 2	19	7. Require grantees requesting a budget adjustment to complete the budget section in the Grant Adjustment Form. Also, the ABTPA should add a category for program income.	ABTPA Team	8/31/2015	Implemented and Pending. The ABTPA Team currently requires grantees to complete the Budget Section when requesting a grant adjustment. ABTPA is also pursuing enhancing the eGrants program to accommodate improvements to the process. Program income will be better defined in the manual and electronic processes will be pursued to allow better classification and tracking.	8/31/2015 GAM 3.2
	20	8. Develop criteria for assessing grantees' budgets and requests for adjustments.	ABTPA Team	8/31/2015	Implemented and Pending. The process for identifying and addressing the applicant's original proposed budget and grant adjustment budget includes assessing which expenditures are reasonable and allowable as outlined by UGMS. ABTPA will document the process and better define reasonable and allowable costs as part of the overall assessment in Grant Administration Manual.	8/31/2015
	21	9. Allow grantees up to ten business days to submit progress reports and public awareness report.	ABTPA Team	10/13/2015	ABTPA board has posted modification of the rules for comment to update the business rules for report (Progress/Public Awareness/Expenditure) submittal. Rule §57.23 will remain in place until formal adoption and final posting.	5/31/2015 (20 days after final adoption and posting in the Texas Register)
	22	10. Develop a process for granting extensions that documents requests and approvals.	ABTPA Team	10/13/2015	Pending. The "Reporting Module" in eGrants currently captures when reports are submitted. ABTPA has a process for granting "extensions" which hinges on the ABTPA Team documenting in a required field in eGrants (enhancement) the reason(s) a report may have been delayed. The grantees have now been divided into teams which should minimize delays in the future and identify which ABTPA Team member is not performing to expectations. The redesigned grantee training materials and the Operational Guide for staff will include the process and expectations.	8/31/2015
	23	11. Enforce reporting and other grant requirements using graduated sanctions, including increased monitoring, withholding of funds, and grant revocation.	ABTPA Team	8/31/2015	Implemented. The process is documented and included in the ABTPA Grant Administrative Manual in 6.5 along with appropriate due process including appeals before the ABTPA board.	9/28/2015 GAM 6.5
	24	12. Implement an award close-out procedure.	ABTPA Team	12/31/2014	Implemented. The process for award close out is included in the ABTPA Administrative Manual on page 38.	3/31/2015 GAM 6.8
	25	13. Develop an annual monitoring plan that includes the grantees it will visit. The plan should be risk-based, such as visiting those that have never had an on-site monitoring visit.	ABTPA Team	10/13/2015	Implemented & Pending. This is a transition year for the ABTPA. The ABTPA Team will include risk based monitoring procedures in the Operational Guide. The ABTPA Board and ABTPA Team have completed the redesign of the ABTPA Program where this recommendation will be addressed in their analysis. Currently, ABTPA has divided the grantees into 3 teams. The ABTPA Team Lead will be responsible for the monitoring of their assigned teams. The monitoring plan will include regularly scheduled monitoring visits, desk reviews and single audit reviews. ABTPA has identified the following risk based criteria to serve as automatic "triggers" for monitoring visits: After three (3) late report submissions; if the "Fourth Quarter Expenditure Report" is not submitted by the specified due date; or where there is an indication that the grantee is failing to comply with ABTPA rules or Federal/ State laws regarding grantee agreements. The Team is in the process of creating the Monitoring Plan, the ABTPA Grant Administrative Manuals and calendar for FY15 [transition year] and beyond.	8/31/2015 GAM 6.3

Chapter	No.	Recommendation	Responsible Party	Estimated Date of Implementation	Comments	Revised Date of Implementation
	26	14. Routinely conduct desk reviews of information grantees submit and take disciplinary actions when warranted for noncompliance with the grant agreement.	ABTPA Team	8/31/2015	Implemented and pending. ABTPA created a process for desk reviews and reviewing information provided by the DMV Internal Auditors for Single Audits. ABTPA created processes and provide in the Grant Administrative Manual. Desk reviews and single audits will be outlined in the Operational Guide. Sanctions or disciplinary actions will require due process and consideration by the board. ABTPA Staff has not started conducting desk reviews.	9/28/2015 GAM 6.2 Operations Guide
	27	15. Review and update audit requirements to be in compliance with the *Uniform Grant Management Standards* , including the threshold amount and the type of funds audited.	ABTPA Team	3/31/2015	Implemented. ABTPA is creating processes, an Operational Guide and a Grant Administrative Manual for both desk reviews and single audits and will ensure they are in compliance with the Uniform Grant Management Standards.	8/31/2015
	28	16. Assign the review of single audit reports to individuals with financial and/or audit expertise to determine if noncompliance and other issues should be followed up with grantees.	ABTPA Team	8/31/2015	Agree but evaluating an implementation plan. ABTPA was assigned the Single Audit responsibility in January 2014 without staff with the specific expertise being recommended. After the Single Audit documentation provided by the TxDMV Internal Audit Division is reviewed and evaluated, ABTPA will determine what steps are necessary to address this recommendation. Team Leads attended a class conducted by the Texas State Auditor Office training and audit training program and have identified others that may be beneficial. ABTPA will create processes, use cases, and Grant Administrative Manual's for both desk reviews and single audit.	Auditing Essentials - 8/27-8/28/14; Design and Analysis for Performance Auditing 12/11-12/12/14; Understanding the Yellow Book 2/9/15 Developing and Presenting Reportable Findings 4/9-4/10/15
	29	17. Establish, document, and implement a process for completing desk reviews of single audits.	ABTPA Team	8/31/2015	Agree. ABTPA was assigned the Single Audit responsibility in January 2014 without staff on the team with the specific expertise being recommended. After the Single Audit documentation provided by the TxDMV Internal Audit Division is reviewed and evaluated, ABTPA will create a process for desk reviews of single audits. The process will be documented in the ABTPA Grant Administrative Manual's and ABTPA Operation Manual.	2/17/2015
	30	18. Establish, document, and implement a process to track and monitor grantees required to submit a single audit.	ABTPA Team	8/31/2015	Agree. ABTPA was assigned the Single Audit responsibility in January 2014 without staff on the team with the specific expertise being recommended. After the Single Audit documentation provided by the TxDMV Internal Audit Division is reviewed and evaluated, ABTPA will create a process for tracking and monitoring single audits. The process and use cases will be documented in the ABTPA Grant Administrative Manual and ABTPA Operations Guide.	2/17/2015
	31	19. Establish and include due dates for required single audits into the ABTPA Operational Guide and the ABTPA *Grant Administrative Guide* .	ABTPA Team	8/31/2015	Agree. ABTPA was assigned the Single Audit responsibility in January 2014 without staff on the team with the specific expertise being recommended. After the Single Audit documentation provided by the TxDMV Internal Audit Division is reviewed and evaluated, ABTPA will create a process for desk reviews of single audits and establish due dates. The process will be documented in the ABTPA Grant Administrative Manual's and ABTPA Operations Guide..	9/28/2015

Chapter	No.	Recommendation	Responsible Party	Estimated Date of Implementation	Comments	Revised Date of Implementation
	32	20. Require that grantees submit the independent auditor's consideration of internal controls over financial reporting and any letters to management as part of the single audit.	ABTPA Team	8/31/2015	Agree. ABTPA was assigned the Single Audit responsibility in January 2014 without staff on the team with the specific expertise being recommended. After the Single Audit documentation provided by the TxDMV Internal Audit Division is reviewed and evaluated, ABTPA will create a process for single audits and establish the requirements of grantees for single audits, to include the independent auditor's recommendations and letters to management. The process will be documented in the ABTPA Grant Administrative Manual's and ABTPA Operations Guide..	9/28/2015
Chapter 3	33	1. Oversee that the ABTPA staff prepare the activity report, financial report, and plan of operation with all required elements and submit them to external stakeholders on a timely basis.	ABTPA Board	10/13/2014	Complete. The Chairman nominated two board members as Board Liaisons at the October 13, 2014 ABTPA Board meeting. The Board Liaisons oversee and approve reporting requirements. The Liaisons will work collaboratively with ABTPA and oversee the completion of deliverables (reports) and be engaged in the application review and selection process for grant awards.	10/13/2014
	34	1. Approve only those invoices with sufficient detail, such as itemized costs, when submitting them for vendor payment.	ABPTA Director/ TxDMV Financial Services Division	9/1/2014	Agree. The ABTPA Team will implement a process to ensure all invoices have sufficient details when submitting them for vendor payment. ABTPA is creating and documenting business process rules for its future state.	9/1/2014
	35	2. Purchase airline tickets at least 30 days prior to the travel date when feasible.	ABPTA Board and Team	9/1/2014	Complete. Every effort will be made to make airline reservations in advance of 30 days; however, Board members schedules are subject to change and are often hard to confirm until just prior to meetings. Staff reservations will be made as soon as meetings, workshops, training, etc., are confirmed and plans can be made. ABTPA has also coordinated with TxDMV general counsel who has provided and will continue to provide guidance to the ABTPA Board regarding purchases.	Current-on going
	36	3. Track grantee expenditures throughout the year and adjust the authority's spending accordingly to limit its administrative costs to eight percent of authority expenditures.	ABPTA Team	9/1/2014	Implemented & Pending. At the ABTPA Board meeting on October 13, 2014 the Board approved the recommendation that the agency pursue a statute change from the requirement that 8% administrative costs are based on grantee expenditures, to administrative costs are limited to 8% of authority funds appropriated. The statute change must be considered by the Legislature. ABTPA and TxDMV Financial Services Division have set up monthly reviews to monitor the eight percent requirement. ABTPA and TxDMV Financial Services Division will report the current percent quarterly to the Legislative Budget Board in the performance measure report. ABTPA detailed processes in the Operational Guide stating the ABTPA will review grantee expenditures (grantee expenditures are already tracked in the "as is" state, and will continue to be tracked in the future state) on a quarterly basis. In July of each year, ABTPA will estimate the remaining expected expenditures to determine if the Authority will be within the 8% budget by the end of the allowable time period for grantees to submit expenditures (November 30th). This step will allow ABTPA time to make any necessary adjustments prior to end of year closeout.	9/28/2015 GAM 5.2
	37	4. Continue its evaluation of eGrants and implement business solutions.	ABPTA Team	8/31/2015	Implemented & Pending. ABTPA decided to discontinue the use of eGrants and may procure a new system. Options for a new web-based solution will be explored.	9/28/2015

Chapter	No.	Recommendation	Responsible Party	Estimated Date of Implementation	Comments	Revised Date of Implementation
	38	5. Review access levels in eGrants periodically to ensure they are appropriate and remove access for users that are no longer with the ABTPA or a grantee.	ABPTA Team	10/1/2014	Agree. The ABTPA Team has completed the clean-up of eGrant access rights for individuals who are no longer authorized users by disabling their access. The "Review of Grant Application" process has been updated in the "future state" to include a step where the Team Lead will be responsible for disabling access within eGrants for those grant applicants who were not awarded funding. The processes will be added to the Operational Guide	8/31/2015
	39	6. Review and prioritize staff job duties to allot additional time for monitoring and assisting grantees.	ABPTA Director	3/31/2015	Implemented and ongoing. ABTPA streamlined business processes that will reduce the amount of time and effort ABTPA staff spend conducting non-grant monitoring related tasks. This includes utilizing the Agate (eGrants vendor) "Help Desk" feature to serve as "tier 1" support for all technical eGrants related questions. ABTPA staff would serve as "tier 2"support, and answer specific questions regarding forms, reports, etc. The processes will be added to the Operational Guide	8/31/2015

Board Agenda Item

Section 3. Briefings and Action Items **Part C.** Authorize Director to Publish and Maintain Grantee Administrative Manual

Grant Administrative Manual

DRAFT

9/30/2015

1. Introduction

1.1. ABTPA Mission

The mission of the Automobile Burglary and Theft Prevention Authority (ABTPA) is to foster a statewide collaborative network to combat motor vehicle burglary and theft and to fund education and marketing campaigns. ABTPA fulfills its mission through grants to law enforcement agencies (referred to as Taskforces) and using funds to educate the public to take action and use prevention techniques. The ABTPA uses the available appropriated funds to maintain the most effective coverage of the state through a cooperative network of law enforcement groups, prosecutors, insurance industry representatives, local tax assessor-collectors, and concerned citizens to combat vehicle burglary and theft through enforcement, prevention, public information, and education initiatives.

1.2. Purpose of this ABTPA Grant Administrative Manual

The purpose of the *ABTPA Grant Administrative Manual* is to provide applicants with requirements and information to apply for an ABTPA Grant. Additionally, this manual provides grantees with the administrative and financial requirements to effectively manage ABTPA funded programs during the post award process.
Requirements contained in this *ABTPA Grant Administrative Manual* for applicants and grantees are based on or consistent with state law (Texas Revised Civil Statutes 4414 (37), the Texas Appropriation Act, Texas Government Code Chapters 783 and 791, etc…), Texas Administrative Code Title 43 Part 3 Chapter 57, policies set by the ABTPA Board, and other applicable rules, regulations, guidelines, and policy adopted by legal authority (Ex. Department of Motor Vehicles, Comptroller, State Auditor's Office, etc.).
Additionally, grantees must follow or take into consideration policies, procedures, and regulations adopted by local governing bodies responsible for the grantees or Taskforces.

If specific cost or procedure information is not mentioned in the *ABTPA Grant Administrative Manual* then grantees must follow the Uniform Grant and Contract Management Act (Chapter 783 Texas Government Code) that requires the Uniform Grant Management Standards (UGMS) to be maintained under the authority of the Texas Comptroller of Public Accounts. These grant management standards are used by the ABTPA in the administration of the ABTPA grant program.

The UGMS were established to promote the efficient use of public funds by providing: awarding agencies and grantees a standardized set of financial management procedures and definitions; requiring consistency among grantor agencies in their dealings with grantees; and by ensuring accountability for the expenditure of public funds. State agencies are required to adhere to these standards when administering grants and other financial assistance agreements with cities, counties, and other political subdivisions of the state.

All program activity must be consistent with the statutory and appropriated purposes and all expenses must be reasonable and necessary to operate an ABTPA funded program. All revenue and inventory records must be managed consistent with general accepted accounting principles (GAAP) and local policies.

2. Grant Application Process

ABTPA awards grant funds to law enforcement agencies and prevention programs to foster a statewide collaborative network to combat motor vehicle burglary and theft and to educate the public about motor vehicle crimes and prevention.

2.1. Eligibility Requirements

All applicants are encouraged to review ABTPA's mission to determine if their entity has the capacity to develop and support a program plan that meets ABTPA requirements.

To be eligible for consideration for funding, a program must be designed to support one of the following ABTPA program categories:

1) Law Enforcement, Detection and Apprehension;
2) Prosecution, Adjudication and Conviction;
3) Prevention, Anti-Theft Devices and Motor vehicle Registration;
4) Reduction of the Sale of Stolen Vehicles or Parts; and
5) Public Awareness, Crime Prevention, and Education.

Eligible Applicants are:

Law enforcement agencies, local prosecutors, judicial agencies, and neighborhood, community, business, and nonprofit organizations for programs designed to reduce the incidence of economic motor vehicle burglary and theft.

2.2. Intent to Apply

The Intent to Apply process is only for agencies not being funded in the current cycle that desire to be considered for the next funding cycle. The purpose of the "Intent to Apply" process is to conduct an initial assessment of potential new grant applicants and relay written recommendations to the potential new grant applicants. The "Intent to Apply" process does not prevent a potential new grant applicant from applying for ABTPA funding, but it does however, through strategic questioning, offers information to potential grant applicants regarding grantee requirements prior to officially applying for ABTPA funding.

The Intent to Apply process is as follows:

1) Potential new applicants review "Intent to Apply" information on the ABTPA website;
2) The potential new applicant completes and submits the "Intent to Apply" form;
3) ABTPA Staff conducts an assessment of the submitted "Intent to Apply" form;
4) ABTPA conducts a coverage area analysis of the identified service area (outlined by a potential new grant applicant) and areas currently being serviced by an organization receiving ABTPA funds. (Included in the documentation is information regarding the mandatory applicant workshop);
5) ABTPA provides documented recommendations to a potential new grant applicant based upon information provided to ABTPA via the "Intent to Apply" form and the coverage area analysis.

2.3. Application Process

All applicants (new and returning) shall apply annually for the next grant cycle in the manner prescribed in the Request for Applications issued by the ABTPA. Every grant cycle is in conjunction with the State of Texas's fiscal year, September 1st thru August 31st.

This section of the Grantee Administrative Manual is structured to provide applicants information on how to:

1) determine if their organization is eligible to apply for an ABTPA grant;
2) know the important milestones of the process;
3) complete the application;
4) understand ABTPA's Goals, Strategies, and Activities; and

5) submit the grant application in a manner designated by the ABTPA Requests For Proposal (RFP).

2.3.1. Request for Application (RFA)

The ABTPA's Grant Application Process begins with the issuance of a Request for Application (RFA) authorized by the ABTPA Board. The RFA provides eligibility, program and funding requirements necessary to qualify and operate a grant funded program. The RFA provides grant workshop information and the application deadline. The RFA is posted on the ABTPA Website and on the Texas Register for a minimum of thirty (30) days before the application deadline.

2.3.2. Resolution

All grant applications must be accompanied by a Resolution. For grant applications from cities and counties or their departments, the Resolution must be adopted by the governing board of the city or county that applies for a grant. At a minimum Resolutions must provide authority to apply for the grant for the stated statutory purposes, provide that funds shall be returned in the event of loss or misuse and designate the Authorized Official, Financial Officer, and Program Director. Other officers may be designated by the resolution if the entity prefers, such as program manager. The Resolution may set forth; the governance structure, interlocal cooperation, match methods, or other grant specific features that help explain or communicate the grant.

Agencies of the State of Texas that apply for grants must also have a resolution that meets the same requirements indicated above. The resolution must be signed by the Executive Director/ Commissioner of the state agency that applies for a grant. Not-for- profit corporations must have a resolution approved by the board of directors of the corporation and must certify that the application is consistent with the organization's purpose and by-laws and that the corporation is in good standing with the Texas Secretary of State, Comptroller of Public .

2.3.2.1. Designation of Grant Officials

The Designated Grant officials are the individuals who are authorized by a Resolution adopted by an applicant agency to submit, modify or cancel a grant application and the subsequent grant documents including required administrative reports. The following positions should be indicated by the grantee:

Authorized Official

The person authorized by the governing body to apply for, accept, decline, request modifications (terms, conditions, and amounts), or cancel the grant for an applicant agency (i.e. executive director of an agency, county judge, city mayor, city manager, assistant city manager, or a designee if authorized by governing body, etc.). The name of this designee must agree with the signature on the application and grantee acceptance.

Financial Officer

It is required that the chief financial officer of the organization (i.e. county auditor, city treasurer, comptroller, treasurer of the corporation, etc.) shall hold this position. The Financial Officer is the office or person responsible for maintaining the accounting system of the jurisdiction or agency. The Financial Officer must certify that the ABTPA Expenditure Reports are consistent with the jurisdiction's accounting processes and are accurate. The financial officer is also responsible for maintaining documentation supporting the expenditure of funds, and that ABTPA expenditure requirements are met. Financial officers may designate alternatives to submit the expenditure reports as long as the designee can certify to the accuracy of the reports and supporting documentation. The financial officer may not serve in any other capacity related to this grant.

Program Director

Designated to be responsible for operation or monitoring of the program and is the primary person responsible for the activity, implementation, and reporting of the grant.

Program Manager (Optional)
Designated to be responsible for the day-to-day operation and monitoring of the grant. Act as the Program Director in his/her absence. In addition to conducting the day-to-day program activities, this person is responsible for record keeping, reviewing financial expenditures, maintaining a program file, approving required reports, evaluating the program, assisting with audits, etc.

Administrative Contact
Grantees may designate other officials or staff to receive notices from ABTPA as a courtesy to keep informed of grant communication and notices. These other officials or staff do not need to be included in an applicant's Resolution.

2.3.3. Grant Application Workshop

ABTPA hosts an annual grant training workshop to provide applicants information on the ABTPA program, the application process, and grant administration. ABTPA highly suggests that all employees that will be associated with the administration of the grant attend the workshop. Grant applicants (new and returning) shall register for workshop via the ABTPA website.

- New Applicants

New (first time) grant applicants must complete the "Intent to Apply" process to assess their ability to qualify as a primary grantee. If an applicant makes the determination to continue the process and apply for a grant, they must also attend the Grant workshop.

- Returning Applicants

All Grantees must attend scheduled grant training workshops unless the Request for Applications issued by the ABTPA Board provides additional instructions on who must attend.

2.3.4. Submission

Once the two proceeding requirements have been met, an applicant shall submit the grant application, by the specified due date.
The ABTPA Grant Application allows an applicant to describe its proposed program plan. The Application consist of four sections: 1) Applicant Information 2) Budget 3) Program Narrative and 4) Special Conditions.

2.3.4.1. Applicant Information

Within the "Applicant Information" section, an applicant provides information on the location of its headquarters, the area of the program activities (Cities, Counties, etc.) and Program Approval information. An applicants' Authorized Official shall certify that all data provided within the application is true and correct and that the document has been duly authorized by the governing body of an applicant, and that an applicant shall comply with all applicable laws and requirements if the grant is awarded.

2.3.4.2. Budget

The budget section contains two parts: 1) Costs tables and 2) Narrative section. Within the budget section an applicant shall list all requested costs required to support their proposed program plan. These cost items in the budget must be supported by text in the narrative that describe what the costs items are and how they are used in or relate to the overall program described in the Program Narrative. The budget in the application is a spending plan based on funding as proposed. The budget must be written so that if an applicant is funded but receives less than the amount requested it may be modified or changed to meet operational needs.

Evaluators will review the proposed budget to determine if the costs are reasonable, allowable, demonstrate a cost effective use of funds, and are consistent with the Program Narrative.

2.3.4.2.1. Costs Tables

The Budget Summary includes the categories of the grant request amount, cash match amount, and the In-Kind match amount. Explanations of line item details are provided within the budget categories detail and narrative in the subsequent pages.

The budget categories are as follows:

Personnel – Provide a brief description of all of the positions required to perform the program plan. Include the personnel salaries and if they will be grant funded, Cash Match or In Kind. Also includes overtime.

Fringe/Overtime – Fringe benefits include Federal Insurance Contributions Act (FICA), statutory or other retirement plans, unemployment insurance, and other standard benefits provided by law or the agency under its compensation policies.

Overtime - Overtime pay for those positions meeting the Fair Labor Standards Act non-exempt status is included as a subcategory of personnel and is limited to 5% of the grant funded personnel salaries. The amount allowed may only be used for ABTPA funded or Cash Match personnel. An explanation must be provided how it shall be used and why flexible or variable schedules cannot be used.

Professional and Contractual Services – All personnel that work under the proposed program plan as contractors or through intergovernmental agreements are reflected in this line.

Travel – Travel to ABTPA Board Meetings and training, and other ABTPA or program related travel.

Equipment –``Equipment'' means an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals the lesser of (a) the capitalization level established by the governmental unit for financial statement purposes, or (b) $5,000.
This includes equipment to be purchased within the grant cycle that shall assist in accomplishing the proposed program plan. This can include computers/laptops, software, License Plate Readers (LPR), and other special items of costs (described later in this manual).

Supplies and Direct Operating Expenses (DOE) – Includes office supplies, fuel, training registration, maintenance, rent, and other direct costs not covered in other categories.

Indirect Cost - Indirect costs are not allowable expenses (See section 2.10).

2.3.4.2.2. Budget Detail and Narrative

Each budget category has a required detail and narrative portion. An applicant shall provide a clear and concise explanation for all line items with in the budget category. This should describe how the items requested are beneficial in reaching the program goals. Each of the budget categories are further described within the Grant Administration section.

It is within the budget detail and narrative section that an applicant shows and explains its Cash Match contributions. Cash match is the contribution or outlay of money contributed by the grantee, other public agencies and institutions, and private organizations and individuals. Cash Match is further described within the Financial Administration section.

2.3.4.3. Program Narrative

In the Program Narrative section, applicants shall fully describe the program plan. Evaluators shall review this section to ensure that the program plan is consistent with the stated goals and strategies of ABTPA, and that they are reasonable and achievable. Additionally, these activities must address and mitigate the identified motor vehicle burglary and theft problems within the coverage area. The Program Narrative section includes 1) Problem Statement & Historical Information 2) Proposed Activities 3) Functions of Proposed Program 4) Evaluation Design and 5) Designation of Grant Officials. Proposed Activities shall be described further within the next section.

Problem Statement & Historical Information - The problem statement shall clearly identify the motor vehicle burglary and theft problem within the proposed jurisdiction(s).

- The proposal shall provide a clear assessment of burglary and theft of a motor vehicle problem which includes:
  1. Crime trends that are impacting the jurisdiction
  2. Program coverage area
  3. Population
  4. Registered vehicles (if applicable)
  5. Data on related crimes (sometimes referred to as gateway)
  6. Impact of programs' geographical setting (rural, urban, border)
  7. Number of burglaries of a motor vehicle rates
- The motor vehicle burglary and theft problem shall be supported by historical data that meets ABTPA requirements as shown below:
  - ➢ The problem identified is clearly supported by relevant theft data;
  - ➢ The data provided is specific to the coverage area;
  - ➢ The source of data used to demonstrate the problem is provided and identified. It may be department records or DPS/UCR data.

Functions of Proposed Program – This section requires an applicant to provide straightforward description of the activities performed in the program. It will include information on employees' qualifications, experience, and specializations (if applicable). Additionally, an applicant shall certify if they are in coordination with other entities, and if they have systems in place for accountability, transparency, and cross-cultural sensitivity.

Evaluation Design – Applicants shall indicate if there are systems in place to validate the information reported to ABTPA and conduct evaluation the success of the program.

2.3.4.4. ABTPA Goals, Strategies, and Activities

ABTPA Goal, Strategies, and Activities ensure that an applicant's activities are specific, measurable, achievable, relevant, and time bound. This structure provides a systematic way for ABTPA to evaluate the application and to report the activities of the grantees.

There are three (3) goals with corresponding strategies. Grant applicants shall choose from a list of pre-determined activities and identify the quantity for each associated measure. Additionally, there shall be an option for applicants to identify specific activities not covered in the pre-determined activities list.

"Goal 1", "*Reduce the incidence of motor vehicle theft through enforcement strategies",* contains three (3) strategies relating to motor vehicle theft.

1. Conduct Activities that Result in the Arrest, Clearance, and Recoveries of Motor Vehicles
2. Conduct Collaborative Efforts that Result In Reduction of Incidents of *Motor Vehicle Theft*

3. Prevent And Reduce the Incidence of *Motor Vehicle Related Fraud* Activities

"Goal 2", R*educe the incidence of theft from motor vehicles through enforcement strategies,* contains two (2) strategies relating to the theft of property and/or items from motor vehicles.

1. Conduct Activities that Result in the Arrest, Clearance, and Recoveries *of Burglary of Motor Vehicles and Theft of Vehicle Parts and Accessories*

2. Conduct Collaborative Efforts that Result in the Reduction of Incidents of *Theft From a Motor Vehicle*

"Goal 3", *Educate/train citizens and qualified personnel in detection and prevention of motor vehicle theft, burglary of motor vehicles and theft of vehicle parts and accessories,* contains two (2) strategies highlighting public awareness activities and law enforcement personnel trainings.

1. Conduct Public Awareness Related Activities Used to Educate Citizens
2. Conduct Law Enforcement Training Activities to Educate Officers on Recognition and Apprehension of Stolen Vehicles and Property

These goals, strategies and activities offer a streamlined approach where all grantees will be reporting using the same criteria numbers and format. The method will allow the ABTPA to more readily identify trends and provide accurate data for monitoring and compliance. Grantees will be allowed to provide user-defined activities beyond the standard activities. Grantees must provide narrative to adequately describe their implementation of the standard or user-defined activities. The full list of Activities is in the Appendix section.

2.3.5. Evaluation

The evaluators shall review all applications to determine if it is consistent with and supports the mission of ABTPA. This full process is further described in the Grant Award Process section of this manual.

2.4. Standard and Special Conditions

ABTPA has identified the following Standard and Special Conditions that may be required to be submitted before applying for an ABTPA grant or during the post award processes. Sample forms for these requirements shall be made available to grantees.

2.4.1. Program Standard Conditions

Compliance with All Laws and Rules

ABTPA requires by rule that entities awarded grants must follow all applicable state and federal laws (TAC Rule §57.3 Compliance Adoption by Reference). Entities operating in a Taskforce must ensure that all participating entities in the Taskforce also follow all applicable state and federal laws. Examples include, but are not limited to: Americans with Disabilities Act (ADA), Drug-Free Workplace law, and Equal Employment Opportunity laws, Fair Labor Standard Laws, Texas Local Government Code Chapter 262 - Purchasing and Contracting Authority of Counties, Texas Local Government Code Chapter 252 - Purchasing and Contracting Authority of Municipalities, and all other relevant state and federal law.

Multi-jurisdictional or Multi- entity Applications

Applications for ABTPA funds involving more than one jurisdiction must provide documentation that relationships are consistent with and meet (or will meet) the requirements of the Interlocal Cooperation Act (Texas Government Code Chapter 791 - Interlocal Cooperation Contracts). In addition to the requirements of the Act, the interlocal agreement must include, for each subgrantee receiving grant funds, at least the following: (a) A detailed budget including personnel, travel, equipment, and other operating expenses that are to be reimbursed with grant funds by each participating agency as well as any form of match or in kind provided by subgrantee, (b) A copy of the Assurances Certification from each agency, receiving ABTPA funds (or reference to them, may be included in the body of the Interlocal Agreement), and (c) activities to undertaken by the subgrantee under the grant.

The applicant may provide letters of support during the application period. After award the awardee must provide final agreed to Interlocal Cooperation Contracts prior to the first payment being made. Failure to provide the agreements could result in modification of the award.
Applications for ABTPA funds where governmental units participate with non-governmental organizations or entities must provide contracts or agreements that provide appropriate financial protections for ABTPA, the grantee, and other governmental participants. Subgrantees shall be required to provide documentation meeting the same requirements as grantees themselves are required to provide. Subgrantees shall provide reports of any income generated under the grant. The agreements shall include the right for desk reviews or audits by ABTPA or designee. The agreement must also include assignment and coverage of liability. If non-governmental salaries are used as match then the contract must include methods of transfer or credit and documentation to support the matching funds.

2.4.2. Program Special Conditions

The ABTPA may require special conditions in any grant award. Grantees with special conditions shall not receive payments until the special conditions are met, unless otherwise stated in the conditions issued by ABTPA. Failure to meet special conditions may result in cancellation of the grant, or modification of the award amount or terms. Special conditions may be grantee or program specific, or may include one or more of the following:

- Interlocal Cooperation Contracts Review and Approval. ABTPA may award grants to entities that have not executed all agreements between agencies creating a single multiagency ABTPA program unit. Interlocal Cooperation Contracts must be completed and approved prior to receiving payments on grants.
- County/District Attorney Contract. An agreement must be executed between the district attorney's office and the grantee regarding property and monetary seizures. Asset forfeiture and seizure agreements that do not allow all program income to be retained by the grant funded program must be completed and approved by ABTPA prior to receiving payments on grants.
- Law Enforcement Training. Grantees providing training or developing regional academies must provide a description of eligibility and requirements of attendees for ABTPA-funded training.
- Procuring Consultants and Professional Services. Grantees using more than $10,000 in funds to secure professional services and/or consultant services approved in the ABTPA grant budget must develop contract monitoring.
- ABTPA Standard Form Contract between Grantee and Third Party. An agreement or contract must be provided between the grantee and any third party participant or service provider.
- Other issues identified in the grant application that require action to be completed prior to issuance of grant payments.

2.5. Grant Award Process

Applicants shall submit applications in a manner and by the date prescribed by in the RFA. All applications must be accompanied by a Resolution adopted by the governing body or Authorized Official supporting the application. All sections of the application must be completed. Applicants may be required to submit additional documents as attachments when required in the Request for Application (RFA). Required attachments shall be considered a component of the grant application and shall be included in the evaluation and scoring of the application.

Applicants who fail to meet the eligibility, submission, or program requirements shall be notified in writing that their application did not meet the requirements. All decisions of the Automobile Burglary and Theft Prevention Authority (ABTPA) Board are final and not subject to judicial review.

After Submission, the ABTPA staff and board liaisons shall review all of the grant applications which met the published requirements and that were certified complete and eligible to be reviewed. The ABTPA staff and Board liaison(s) shall score the grant applications.

A scoring methodology that meets the statutory requirements shall be maintained by the ABTPA director. The director, ABTPA staff and the board liaison(s) may review the scores together and discuss the submitted applications. Information outside of the application or not submitted in a timely manner in the application shall not be used in establishing the score. Scores shall be allowed to be changed one time for cause after the discussion with board liaisons.

The director shall apply the scoring method and develop a recommended funding schedule to the ABTPA Board. The Board may vote to accept the recommended funding proposal or may adopt an alternative award schedule.

2.6. Grant Award Statements and Acceptance Notice

The ABTPA shall publish a list of the grant award amounts adopted by the ABTPA Board. If the award amount is different from the amount requested then the grantee shall make modifications to the application, budget, activities, and supporting tables and forms to meet the awarded amount. The ABTPA staff shall work with the grantees to modify their grant applications and budgets to align the application with the approved grant amount. The grantee shall submit the modified document to the ABTPA within fifteen (15) working days of the publication of the award amounts unless a written request to extend the period is approved by the ABTPA director.

The modified document must include all costs needed to operate the program as funded for the year. The budget and the activities may be modified to reflect the actual amount funded. If a grantee has a program income balance that is anticipated to be carried forward into the new fiscal year then the modified application may be augmented with program income subject to the ABTPA director's approval.

After review and confirmation that the document is consistent with the original application, the ABTPA Director will provide the grantee Authorized Official with a Statement of Grant Award. Authorized officials, program directors, and financial officers, designated in the grant resolution, shall be notified of the award. The grant award notification contains the Statement of Grant Award, Special Conditions (if applicable), the grantee's modified application and the final Goals Strategies and Activities. Each grantee shall carefully review the information and maintain electronic or hardcopies of the information with its permanent records. Each applicant shall accept or reject a grant award in the form and manner prescribed by the ABTPA within thirty (30) days of the Statement of Grant Award issuance date. In any event, failure by an applicant to execute and transmit the Statement of Grant Award and Acceptance Notice within 30 days of the award date shall be construed as a rejection of the grant award.

A packet of information containing the Grant Administrative Manual and other forms shall be provided to each entity awarded funds prior to the start of the grant term.

The Statement of Grant Award and Acceptance Notice must be signed by the Authorized Official, scanned and returned via e-mail. The original signed copy of the Statement of Grant Award shall be mailed to the ABTPA.

Signed Statement of Grant Award and Acceptance shall be returned to the ABTPA office BEFORE September 1 of the current year.

All documents meeting standard and/or special conditions must be submitted with the application prior to September 1 or the entity must request additional time in writing from the ABTPA director and receive the director's written approval.

2.7. ABTPA Grant Assurances

Assurances are incorporated into the application and the Statement of Grant Award and Acceptance Notice. These standard assurances contained in the application package become terms and conditions for receipt of grant funds. Administering agencies and local sub-recipients shall maintain an appropriate grant and contract administration system to insure that all terms, conditions, and specifications are met.

A Grantee and Applicant hereby makes and certifies that as a grantee, it and any subgrantee or program participant shall comply with the following conditions:

- Follow all applicable state and federal laws (43 TAC Rule §57.3 Compliance Adoption by Reference)
- Comply with ABTPA grant rules under Texas Administrative Code, Title 43, Part 3, Chapter 57 Automobile Burglary and Theft Prevention Authority Administrative Manual and the Uniform Grant Management Standards (UGMS) as promulgated by the Texas Comptroller of Public Accounts.
- The Grantee shall manage the grant consistent with the local policies (such as human resources, civil service, purchasing, travel and equipment use, etc.) any other local requirements not specifically required or prohibited by ABTPA rules or requirements.
- Provide copies to the ABTPA of any Comprehensive Annual Financial Reports (CAFR), any other independent fiscal or program audits conducted and management letters provided as a result of audits.
- State funds provided by this act shall not be used to supplant state or local funds (Non Supplanting Certification). Programs proposed in this application have not used grant funds to replace state or local funds that would have been available in the absence of ABTPA funds.
- No Automobile Burglary and Theft Prevention Authority grant funds, regardless of their source or character shall be used in any manner to influence the outcome of any election or the passage or defeat of any legislative measure.

2.8. Official Signature Chart

The following chart provides the signatures required for the various functions and certification related to ABTPA grants:

	Authorized Official	Program Manager	Program Director	Financial Officer	Due Date
Grant Application	✓				Due date outlined in the RFA
Statement of Grant Award and Acceptance Notice	✓				30 days after issuance of Statement of Grant Award
Grant Adjustment		✓	✓		As needed. No adjustment after July 31st
Quarterly Expenditure Report				✓or designee	30th day after quarter. Final Expenditure Report due October 15th (not less than 45 days not more than 90 days after the end of the grant period.
Monthly Progress Report		✓	✓		Monthly: 10th calendar day.
End of Year Report		✓	✓		September 30th
Inventory Report				✓or designee	October 15th each year.
LETTER					
Disposition of Equipment		✓	✓		Submitted as needed

3. Grant Administration

The Grant Administration phase begins once ABTPA receives a signed Statement of Grant Award and Acceptance Notice. Grantees must follow these procedures and state law, rules, and regulations to administer the grant. Grantees are required to use local governance processes to implement programs. Grantees must ensure Financial Management Systems are implemented, the grant's progress is properly reported and tracked, and self-monitoring mechanisms are in place.

3.1. Non Supplanting Requirement

Supplanting is the replacement of other funds with ABTPA grant funds or using existing resources as cash match. Grant funds cannot be used to replace other funds that would otherwise be available for the same purpose or program. Specifically jurisdictions may not reduce the amount that they spend for motor vehicle burglary and theft by moving costs or personnel into a grant funded program.

Under Texas Administrative Code Title 43, part 3, §57.9 each grantee shall certify with each Expenditure Report that state funds are not used to supplant other funds.

<u>Positions which existed prior to grant award approval and that were funded from any source other than ABTPA grant funds are not eligible for grant funding or to be used as cash match.</u> Existing employees of the grantee may be transferred from other positions to fill the positions in a grant program. However, the positions vacated must be filled promptly by additional transfers and/or new hires so that the grantee's full staff of non-grant employees is not reduced in number equal to the number paid by grant funds.

If a grant program is reduced by 20% or more from the previous year, and as a result, grant funded positions are transferred to other duties for the grant year, they may be returned to Grant funding in the subsequent grant year. This exception is not available for any positions that have been off of the grant for more than one grant year.

3.2. Grant Adjustments

A Grant Adjustment Request is an official request to make a budget or program change to a grant.
Effective grant management should eliminate the need for most grant adjustments. Grant adjustment requests should be a rare occurrence.

3.2.1. <u>Authorizations and Approvals</u>

The Program Director or Program Manager is authorized by the ABTPA to submit a grant adjustment for the changes identified above. All grant adjustments submitted shall be in accordance with the Resolution submitted by the governing body and consistent with local policy. The request is to be submitted in writing to the ABTPA by the appropriate designated grant official. All requests must be emailed to GrantsABTPA@txdmv.gov .

ABTPA staff shall review submitted grant adjustment requests within five (5) business days to assess if the information provided is sufficient to make a determination for approval or denial. ABTPA shall provide only written response.

Expenditure or Progress Reports that do not reflect approved grant adjustments will be rejected.

3.2.2. <u>Types of Grant Adjustments</u>

There are two types of Grant Adjustments: Budget and Program

3.2.2.1. Budget Grant Adjustment (limited to 4 per year)

Budget adjustments are requests to move funds from one budget category to another. These include:

- Transfers of funds among direct cost categories exceeding 5.0% of the total grant budget;
- Changes in equipment amounts, types, or methods of acquisition;
- Authorization to move funds into a direct cost category not authorized in the Statement of Grant Award
- Using program income in excess of $500 not reflected in the Statement of Grant Award
- Moving funds into a category for a purpose or activity not provided in the original application

3.2.2.2. Program (scope) Grant Adjustment

- Changes in the need, objectives, approach, or geographical location of the grant;
- Changes in the number or job descriptions of personnel specified in the grant agreement;
- Changes in the grant liquidation periods; or
- Other changes in the grant agreement or when the uniform grant and contract management standards require prior approval.

3.2.3. Special Items of Costs

The following items of cost require advance approval from the ABTPA director if they were not included in the Statement of Grant Award:

- Out-of-state travel
- Confidential Informant Funds
- Overtime

3.2.4. The Grant Adjustment Process

1) Grantee identifies an unanticipated change necessary to complete the mission of the program.
2) Grantee submits a Grant Adjustment Request Form and supporting documentation if needed.
3) ABTPA Staff reviews the request within five (5) business days to request additional information or if the information provided is sufficient to make a determination of approval or denial.
4) ABTPA staff will issue a Grant Adjustment Notice in writing as an official response to adjustment request which will be designated as "additional information/ change requested," "denied," or "approved."
5) Once the Grant Adjustment is approved or denied ABTPA staff shall notify the grantee in writing. It will be sent electronically via email to the Program Director with a copy to financial officer. It will also include an approved budget summary.
6) No grant adjustment may be submitted after July 31 of each year.

3.2.5. Deobligation

Grantees that have significant amounts of lapsed salaries or other decreased expenses early in the year resulting in the possibility that all grant funds will not be spent need to notify the ABTPA Director as early as possible to discuss deobligation or voluntary reduction of grant award.

3.2.6. Other Required Notices

Grantees shall maintain their correct contact information with ABTPA at all times. Change of the designated Program Director, Program Manager, Financial Officer, Authorized Official, bank account information, comptroller mail codes, payment routing information, authorized e-mail addresses for expenditure report submission, program location address or contact information changes must be made within five days following such change. Failure to provide this information could result in delayed payments. All changes shall be made in writing.

3.3. Financial Administration

3.3.1. Standards for Financial Management Systems

The prescribed standard financial management conditions and uniform assurances are applicable to all grants and contracts executed between state agencies, local governments and other affected entities.

The uniform grant management is "to promote the efficient use of public funds in local government and in programs requiring cooperation among local, state, and federal agencies." These standards further that objective by providing awarding agencies and grantees a standardized set of financial management procedures and definitions, by requiring consistency among grantor agencies in their dealings with grantees, and by ensuring accountability for the expenditure of public funds. State agencies are required to adhere to these standards when administering grants and other financial assistance agreements with cities, counties and other political subdivisions of the state. Specifically, grantee financial management systems must meet the following standards:

Financial reporting - Accurate, current, and complete disclosure of the financial results of grant related activities must be made in accordance with the financial reporting requirements of the grant.

Accounting records - Grantees must maintain records which adequately identify the source and application of funds provided for grant related activities. These records must contain information pertaining to grant awards and obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income.

Internal control - Effective control and accountability must be maintained for all grant cash, real and personal property, and other assets. Grantees must safeguard all such property and assure that it is used for authorized purposes.

Budget control - Actual expenditures must be kept within budgeted amounts for each grant.

Allowable cost - Applicable cost principles, agency program regulations, and the terms of grant agreements shall be followed in determining the reasonableness, allowability, and allocability of costs.

Source documentation - Accounting records must be supported by such source documentation as checks, paid bills, payroll records, receipts, timesheets, travel vouchers, and other records, etc. These source documents must be retained and made available for ABTPA staff when requested.

Cash management - Grantees must establish reasonable procedures to ensure the receipt of reports on cash balances and cash disbursements in sufficient time to enable them to prepare complete and accurate cash transactions reports to the awarding agency.

3.3.2. Costs Incurred Outside the Program Period

Grant funds may not be obligated prior to the effective date or subsequent to the termination date of the grant period. All obligations must be consistent with the Statement of Grant Award and used for statutory authorized purposes.

3.3.3. Last Quarter Expenditures

ABTPA funds are appropriated funds and under General Appropriations Act governmental units using funds appropriated by the Act may not expend during the last quarter of a fiscal year more than one-third of the funds appropriated for that fiscal year

3.3.4. Basic Guidelines regarding Allowable Costs

The following guidelines provide the framework to determine if something is an allowable cost of the grant. An allowable cost must:

- Be necessary, reasonable and allocable to the grant program;
- Comply with limitations of the grant agreement as well as other applicable and state laws and regulations;

- Be allocated to the grant on a basis consistent with policies that apply to all activities of the grantee;
- Be accounted for on a consistent basis and in accordance with generally accepted accounting principles;
- Be adequately documented. Documentation required may include, but is not limited to, travel records, case and activity logs, time sheets, invoices, contracts, mileage records, fuel cards or logs, billing records, telephone bills, procurement documents, and other documentation that verifies the expenditure amount and appropriateness for the grant.

Please refer to Uniform Grant Management Standards, "Selected Items of Cost" for an expanded list of general guidelines to be used in establishing the allowability or un-allowability of certain cost items.

3.3.5. ABTPA Specific Unallowable Costs

The following items are unallowable:

1. General Government Costs
2. Losses
3. Entertainment, including amusement, diversion, social activities, and any associated costs (i.e. tickets to shows or sports events, meals, lodging, rentals, transportation, and gratuities) are unallowable. Certain exceptions may apply when such costs have a programmatic purpose and have been approved by the awarding agency;
4. Fines and penalties (except when incurred as a result of compliance with specific provisions of an award or contract, or with written approval from the awarding agency);
5. Credit card fees;
6. Passport charges;
7. Tips and gratuity;
8. Bar charges/alcoholic beverages, and
9. Membership fees to organizations whose primary activity is lobbying.
10. Funds or expenditures which benefit or enrich corporations or individuals

3.3.5.1. Other unallowable costs include

Land Acquisition - No Grant funds that are awarded for renting, leasing, or construction of buildings or other physical facilities shall be used for land acquisition.
Travel of State ABTPA / TxDMV Officials or Employees - Grantees may not spend award related funds on transportation, lodging, subsistence, and related travel expenses of awarding agency officials or employees.
Bonuses or Commissions - Grantees or Grantees subrecipients cannot pay any bonus or commission to any individual or organization to obtain approval of an application for award assistance. Bonuses to officers or board members of for-profit or nonprofit organizations are not allowed. Additionally, ABTPA does not allow reimbursement for bonuses to employees.
Prohibited and Controlled Assets Equipment – ABTPA funds shall not be used for the purchase of the following:

- Guns
- Ammunition
- Tracked armored vehicles.
- Food other than travel expenses
- Beverages other than travel expenses
- Alcoholic beverages

Lobbying - Grantees and Grantees sub-recipients must comply with all legal provisions related to lobbying as appropriate. The lobbying cost prohibition applies to all award recipients.

Grantees cannot use grant funds for the following purposes:

- Attempting to influence the outcome of any Federal, State, or local election, referendum, initiative, or similar procedure, through in-kind or cash contributions, endorsements, publicity, or similar activity;
- Establishing, administering, contributing to, or paying for the expenses of a political party, campaign, political action committee, or other organization established for the purpose of influencing the outcome of elections;
- Attempting to influence (a) the introduction of Federal or State legislation; (b) the enactment or modification of any pending Federal or State legislation through communication with any member or employee of the Congress or State legislature (including efforts to influence State or local officials to engage in similar lobbying activity), (c) the enactment or modification of any pending Federal or state legislation by preparing, distributing, or using publicity or propaganda, or by urging members of the general public, or any segment thereof, to contribute to or participate in any mass demonstration, march, rally, fund raising drive, lobbying campaign or letter writing or telephone campaign, or (d) with any Government official or employee in connection with a decision to sign or veto enrolled legislation;
- Engaging in or supporting the development of publicity or propaganda designed to support or defeat legislation pending before legislative bodies;
- Paying, directly or indirectly, for any personal service, advertisement, telephone, letter, printed or written matter, or other device, intended or designed to influence a member of Congress or of a State legislature to favor or oppose, by vote or otherwise, any legislation or appropriation by either Congress or a State legislature, whether before or after the introduction of any bill or resolution proposing such legislation or appropriation;
- Engaging in legislative liaison activities, including attendance at legislative sessions or committee hearings, gathering information regarding legislation, and analyzing the effect of legislation, when such activities are carried out in support of or in knowing preparation for an effort to engage in unallowable lobbying;
- Paying a publicity expert for purposes unallowable under the anti-lobbying rules;
- Attempting to improperly influence, either directly or indirectly, an employee or officer of the executive branch of the State or Federal Government to give consideration or to act regarding a sponsored agreement or a regulatory matter;
- All grantees must understand that no state appropriated funding made available under the grant program may be used, either directly or indirectly, to support the enactment, repeal, modification, or adoption of any law, regulation, or policy, at any level of government, without the express approval of ABTPA;
- Any violation of this prohibition is subject to a minimum $10,000 fine for each occurrence. This prohibition applies to all activity, even if currently allowed within the parameters of the existing guidance;
- Any question(s) relating to the lobbying restrictions shall be submitted in writing to the awarding agency’s ethics official (typically in the TxDMV Office of the General Counsel) through the grantee’s program manager.

Fundraising - Grantees may not charge as direct or indirect costs against the award the costs of organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions.

- The portion of a person's salary that covers time spent engaged in unallowable fundraising, and any indirect costs associated with those salaries, may not be charged to the award.
- An organization may accept donations (e.g., goods, space, services) towards fundraising, as long as the value of the donations is not charged as a direct or indirect cost to the award.
- Nothing in this section shall be read to prohibit a recipient from engaging in fundraising activities, as long as such activities are not financed by State or matching funds.

Corporate Formation - Unless specifically stated in the grant award agreement, the cost for corporate formation (startup costs) or maintenance may not be charged as either direct or indirect costs against the award.

3.3.6. Bonding

Each nonprofit corporation directly receiving grant funds from the ABTPA must secure and maintain a $25,000 commercial bond indemnifying the ABTPA against the loss and/or theft of ABTPA grant funds. The cost of such a bond is an eligible expense of the grant.

3.3.7. Program Income

Generated program income (GPI) is any income generated by a grantee that is a direct result of the ABTPA award and funded activities. Program income means fees or money generated by using ABTPA program funded equipment or personnel. Direct result is defined as a specific activity or set of activities that are directly attributable to ABTPA grant funded programs and directly related to the goals, strategies and activities of the program.

Examples of GPI include, but are not limited to:

- seized and forfeited assets that are sold;
- interest income (in excess of $250);
- charges or fees received using grant funded personnel (VIN Inspections) or equipment;
- proceeds from grantee-provided training and related course materials which have been funded by the ABTPA grant program.
- restitution; and
- for accounting purposes only - proceeds from the sale of equipment or other assets originally purchased with grant funds;

Program income is subject to the same statutes, rules, regulations, and guidelines applicable to the use of the ABTPA funding.

3.3.7.1. Asset Seizures and Forfeitures:

ABTPA program funded activities often result in assets being seized by the governmental entity or forfeited to the governmental entity. Program income also includes all funds seized by law and all property seized by law which has been converted into funds. Property seized must be converted into funds for use in grant activities or prior ABTPA Director approval to use it for other purposes is required.

Grantees earning Grant Program Income (GPI) from seizures and forfeitures are required to maintain documentation of the seizures and forfeitures received by the grantee agency including, but not limited to, seizure and forfeiture logs, and any other documentation required by statutes, rules, regulations, and guidelines applicable to the seizure and forfeiture of contraband.

If a grant funded Taskforce is required to have an alternative agreement defining the distribution of seizures and forfeitures, ABTPA Board approval is required.

3.3.7.2. Program Income Reporting

All program income earned during the grant period from grant activities shall be retained by the grantee and, in accordance with the grant agreement, shall be:

- Added to funds committed to the program by the ABTPA and grantee and used for eligible program objectives;
- Used to finance the non-ABTPA share of the program when approved by the ABTPA Director; or;
- Deducted from the total program costs for the purposes of determining the net costs, on which the ABTPA share of costs shall be based.

All program income and expenditures shall be reported to the ABTPA on the financial expenditure report each quarter. Expenditures using program income of more than $500 must be included in the Statement of Grant Award or have prior approval via grant adjustment.

Program income shall be carried forward to the next grant year and shall be reported each quarter on the expenditure reports. Grantees' final year-end expenditure report shall contain the balance carried forward each year.

If a grantee does not plan on carrying forward program income due to grant ending or other circumstances, a request to use the funds must be submitted prior to November 30 of each year to the ABTPA Director on agency letterhead signed by the Authorized Official. A grantee shall submit a final report on how funds were used with the final expenditure report.

3.3.8. Match Guidelines

There are two kinds of match: Cash Match and In-Kind Match. Match is subject to the same statutes, rules, regulations, and guidelines applicable to the use of the ABTPA funding.

3.3.8.1. Cash Match

ABTPA requires all grantees to contribute a minimum of 20% cash match.

Cash match is:

1. Funds provided by the grantee, other public agencies and institutions, and private organizations and individuals to operate the program.
2. Documented use of Department of Public Safety and National Insurance Crime Bureau personnel is allowed to be considered as Cash Match if approved in the application.

An allowable cash match shall only be applied to costs which are allowable with state funds.
Match must be utilized ratably throughout the grant period.

3.3.8.2. Use of Cash Match

Examples of costs that can be recorded as Cash Match:

- Direct Salaries (including DPS and NICB personnel)
- Fringe Benefits
- Overtime
- Purchase of Vehicle
- Leased Vehicles Payments
- Supplies and operating expenses
- Travel
- Fuel & Maintenance

3.3.8.3. In-Kind Match

In-kind match relate to third party contributions or additional contributions used to supplement or augment the program that are not calculated for reimbursement as part of the total program costs. In-kind match includes, but is not limited to, the valuation of non-cash contributions. In-kind may be in the form of services, supplies, real property, and equipment.

Examples of In-Kind Match:

- Personnel costs
- Use of computers or other technologies
- Volunteers (professional or general)
- Use of agency vehicles

- Use of a building and utilities
- Contribution of desks and chairs

3.3.8.4. Reporting Match

For required cash or in-kind match, ABTPA requires reporting match expenditures throughout the grant period. The final expenditure report should reflect that the program met or exceeded the minimum match required for the grant.

Cash match and in-kind contributions counting towards satisfying a cost sharing or matching requirement must be verifiable from the records of grantees. These records must show how the value placed on third party in-kind contributions was derived. In-kind match may be counted when agencies use existing positions to re-organize themselves into Taskforces

3.3.8.5. Alternative Allowed Match

When alternate matching requirements are allowed and used, the grantee must provide certification of match amount with the grant application (ex. a copy of an agreement with the entity contributing the alternative match showing monetary value and parameters of the match). A reconciliation report must be sent in with the final expenditure report to identify that all alternative match requirements were met.

Grantees must provide documentation for ABTPA to clearly see the sources and types of match and its benefits. When alternative sources of match are allowed two set of records must be maintained by grantees and provided to ABTPA staff. One set of records must show the financial transactions of the agency ledger accounts and one set of records to document the allowed non-cash transactions. The allowed non-cash match cannot be entered into the local jurisdictions' ledgers nor tracked in ABTPA cash based financial records.

4. Budget Categories

The Statement of Grant Award will have an applicant's final modified application attached. The budget details for Personnel, Professional and Contractual Services, Travel, Equipment, Supplies and Direct Operation Expenses.

Budget Category – One of the six (6) cost lines indicated in the budget summary on the Statement of Grant Award.
Line Item – A specific item of cost listed in a budget summary page.

Below are policies and procedures for managing these areas.

4.1. Personnel

4.1.1. General Guidelines

Personnel services are allowable costs provided that they are reasonable and necessary to enhance the program and/or meet the goals, strategies, and activities of the grant. Personnel services include, but are not necessarily limited to wages, salaries, and fringe benefits.

The grantee shall be responsible for determining that the following requirements are being met prior to the release of funds:

- Salaries are in accordance with local policy of the participating agency.
- Personnel are classified in accordance with the required qualifications for the position.
- Fringe Benefits are in accordance with local policy of the participating agency.

Within the original application, the grantee identified the number of personnel and the percentage of time each individual shall work on the grant. It is the Program Director or Program Manager's responsibility to ensure the time charged to the grant meets the amount of time committed on the application. Where employees are expected to work solely on a single state award or cost objective, charges for their salaries and wages will be supported by periodic certifications that the employees worked solely on that program for the period covered by the certification. These certifications will be prepared at least semi-annually and will be signed by the employee or supervisory official having firsthand knowledge of the work. These certifications will be maintained at the local level.

4.1.2. Overtime

Overtime costs are allowable expenditures. If requested, they must be indicated as a line item in the approved budget. **Overtime pay must not exceed 5% of ABTPA funded direct salaries, not to include fringe benefits and overtime during the grant year.** A copy of the entity's overtime policy by must be maintained in the file with the grantee's original grant application and agreement. Overtime costs shall only be for ABTPA grant-related purposes. Overtime pay authorized shall be used for ABTPA funded personnel and cash match positions only.

4.2. Fringe Benefits

Fringe Benefits are allowances and services provided by employers to their employees as compensation, in addition to regular salaries and wages. Fringe benefits include, but are not limited to: the costs of leave, employee insurance, pensions, unemployment insurance, benefit plans and other costs negotiated to or required as terms of employment. These cost items are allowable to the extent that the benefits are reasonable, necessary and are required by law. Payments to employees for annual leave, sick leave, holidays, court leave, military leave, compensatory time, and other similar benefits, are allowable if they are provided under established local leave policies. The expenses shall be budgeted and obligations and payments consistent with the grant period.

4.3. Professional and Contractual Services

4.3.1. General Guidelines

Grantees may not use temporary personnel to replace Grant funded personnel without receiving prior approval of the Director of the ABTPA. In multijurisdictional taskforces, often employees in the non-administrative jurisdiction are shown in the award statement as contractual. These need to be clearly indicated in the narrative as grant funded personnel.

Professional and Contractual Service costs are allowable expenses, if they are reasonable and necessary to enhance the program and/or meet the goals, strategies and activities of the grant. Grantees that utilize a service via a third party under contract, shall itemize all costs payable to that contractor under the Professional and Contractual Services budget category.

Examples of Professional and Contractual Service Costs:
- Consultants
- Trainers
- Counselors
- Evaluators
- Auditors

4.3.2. Fees

Consultant fees for appropriately qualified individuals shall be reasonable and consistent with industry market rates for the type of work being performed. The payment may include actual time for preparation, evaluation, and travel subsistence costs, in addition to the time for work/presentation/performance. Procurement of professionals and contract services must be in accordance with the Texas Government Code, Texas Local Government Code, UGMS and local procurement requirements as applicable.

4.3.3. Professional and Contract Services Cash Match Requirements

Professional or consultant fees require a 50/50 cash matching contribution by line item. Grantees may not use temporary personnel to circumvent the 50/50 local cash match requirement. Program income may not be used as a portion of the cash match.

4.3.4. Consultant Guidelines

Consultants Associated with Educational Institutions
The maximum daily rate of compensation that shall be allowed is the consultant's academic salary projected for twelve months divided by 260. These individuals normally receive fringe benefits which include sick leave for a full 12-month period even though they normally work only nine months per year in their academic positions.
Consultants Employed by State and Local Governments
Compensation for these consultants shall be allowed only when the unit of government will not provide their services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.
Consultants by For Profit and Nonprofit Organizations
These organizations shall be subject to competitive procurement and bidding procedures specified in UGMS. Grantees shall follow all applicable state and local laws, ordinances, and regulations.
Independent Consultants
The rate of compensation for Independent Consultants must be reasonable and consistent with that paid for similar services in the marketplace.

4.3.5. Contractual Requirements and Conditions

The requirements with respect to arrangements for services with individuals, other government units, and non-government organizations are as follows:

a. Individual Consultant.

1. Dual compensation is prohibited (i.e., the individual may not receive compensation from his/her regular employer and the retaining grantee for work performed during a single period of time even though the services performed benefit both);
2. The contractual arrangement must be in writing and consistent with the grantee's usual practices for obtaining such services;
3. Time and/or services for which payment shall be made and rates of compensation are set out and shall be supported by adequate documentation; and,
4. Transportation and subsistence costs for travel performed are at an identified rate consistent with the grantee's general travel reimbursement practices.

b. Units of Government.

Rates and the work or services for which reimbursement is claimed must be directly and exclusively devoted to grant purposes and charged at rates not in excess of actual cost to the "contracting" government agency.

c. Other Non-Government Organizations.

1. The contractual arrangement must be in writing and consistent with the usual practices and policies of the grantee in contracting for or otherwise obtaining services of the type required;
2. The customary fixed fee or profit allowance in cost-type arrangements does not exceed 10% of total estimated costs; and,
3. Must be consistent with all applicable state and local laws, ordinances, and regulations.

4.4. Travel

Travel budgets are intended for use by personnel who are funded by Grant or match funds at or above 20% of their gross annual salary. Travel for personnel dedicated less than 20% to the ABTPA shall be authorized in the grant award or preapproved by the director of ABTPA.

Travel costs are allowable for expenses for transportation, lodging, and related incidental costs by employees traveling on official business. These costs shall be considered reasonable and allowable only to the extent such costs do not exceed charged normally allowed by local agency. The Grantee's current Travel Policy which includes allowances for mileage, meals and lodging must be followed. It may be included with the original grant application. If a grantee does not have an approved travel policy, travel expenditures must be consistent with the State of Texas General travel requirements.

All in-state and out-of-state travel estimates shall be itemized in the approved budget. If travel estimates are not itemized in the approved budget, then a grant adjustment must be submitted and approved before travel occurs. Travel request details in grant adjustments must include: 1) how the event is related to grant activities; 2) how attendance at the event shall impact the program's goals and objectives; and 3) If out-of-state, provide justification as to why agency personnel must go out-of-state, rather than attend a similar training in-state. Registration fees shall be reported in the Supplies & DOE budget schedule.

4.4.1. Travel Documentation

Travel costs must be properly documented in order to be reimbursable. The employee must document travel costs with a travel voucher and receipts or other comparable documentation. Auditable documentation must include the following at a minimum:

- Name of the individual claiming travel reimbursement

- Destination and purpose of the trip, including how it was necessary to accomplish the objectives of the grant program.
- Travel dates and times
- Mileage
- Lodging
- Meals
- Rental car (mileage is not reimbursed for a rental car—only the cost of gasoline is reimbursed)
- Airline
- Incidentals, such as hotel taxes, copying of materials, etc.
- Total travel cost per employee

Travel costs that are not supported by proper documentation, as described above, are unallowable expenses for ABTPA grants and are subject to disallowance.

4.5. Equipment

Grantees shall use, manage, and dispose of equipment acquired under a grant in accordance with state law, rules, and these procedures provided that the procurement conforms to applicable state law and the standards identified in the Procurement Standards Sections of UGMS, Subpart C, Section 32.

According to UGMS ``Equipment'' means an article of nonexpendable, tangible personal property having a <u>useful life of more than one year</u> and an <u>acquisition cost</u> which equals the lesser of (a) the <u>capitalization level established by the governmental unit</u> for financial statement purposes, or (b) <u>$5,000</u>.

In order to purchase equipment with grant funds or program income, a grantee must demonstrate that the requested equipment is necessary to the successful operation of the grant program. Each piece of equipment must be individually approved by the ABTPA through the original grant application or in a subsequent grant adjustment request, prior to the purchase of such equipment. Equipment purchased prior to ABTPA approval, shall not be considered an allowable cost.

Special Items - Training equipment, educational films and videos, cell phones, bait vehicle equipment, tablets, computers and still and video cameras, regardless of cost are classified as equipment. Software purchased shall be listed as equipment regardless of cost.

4.5.1. <u>Acquisition</u>

Special Match for Unplanned Equipment:
All equipment acquisitions not provided for in the original Statement of Grant Award must include a cash match of 20% of the amount to be paid per item..

Purchase
Grantees **shall retain** the following documents for ABTPA review when obligating grant funds for equipment purchases in excess of $15,000:

- A brief narrative description of the procurement procedures used and an unequivocal statement of how vendor selection was made.
- A list of vendors requested to bid or respond (State agencies using the purchasing service of the Texas Comptroller of Public Accounts must still comply with this requirement).
- Requests For Proposal [RFP] or Invitations For Bid [IFB] issued by the grantee to implement the grant purchase must provide notice to prospective bidders or contractors which include specifications, requirements, statements of work, and/or information about the RFP.

- Whether the proposed procurement shall be excluded from bidding or submitting a proposal to compete for the award.
- Copy of the public advertisement.
- A copy of each response.
- A description of the selection process used to select the successful bidder, with a copy of the evaluation of all proposals.
- If sole source procurement is necessary or if only one response is received, a justification for selecting the sole source or an explanation of why only one response was received.
- A copy of the proposed contract or purchase order.

4.5.2. Purchased Vehicles

Vehicles purchased for grantee use must be used for grant purposes. All use logs must be available for ABTPA inspection. An agency vehicle use policy is required to be maintained in the grantee's files for each grant program. If no policy exists in the agency, grant programs are required to follow state vehicle use policy. Vehicles purchased for a grantee use must have ABTPA Director's approval to be used as bait vehicles.

4.5.3. Rentals / Leasing

All leases must include a detailed description of the lease and equipment. It is subject to the approval of the Director of the ABTPA.
Costs for leasing vehicles or equipment shall include the number of vehicles or equipment to be leased, and the estimate per vehicle or equipment unless it is a lease-to-own purchase which would then be considered an equipment purchase.

4.5.4. Rental / lease costs.

- Subject to the limitations described in subsections b. through e. of this section, rental costs are allowable to the extent that the rates are reasonable in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and, the type, life expectancy, condition, and value of the property leased.
- The maximum amount attributable to grant funds is $600 per vehicle per month. Grantees may use match funds above this amount.
- Rental costs under sale and leaseback arrangements are allowable only up to the amount that would be allowed had the governmental unit continued to own the property.
- Rental costs under less-than-arms-length leases are allowable only up to the amount that would be allowed had title to the property vested in the governmental unit. For this purpose, less-than-arms- length leases include, but are not limited to, those where:
  1. One party to the lease is able to control or substantially influence the actions of the other;
  2. Both parties are parts of the same governmental unit; or
  3. the governmental unit creates an authority or similar entity to acquire and lease the facilities to the governmental unit and other parties.
- Rental costs under leases which are required to be treated as capital leases under GAAP are allowable only up to the amount that would be allowed had the governmental unit purchased the property on the date the lease agreement was executed. This amount would include expenses such as depreciation or use allowance, maintenance, and insurance. The provisions of Financial Accounting Standards Board shall be used to determine whether a lease is a capital lease. Interest costs related to capital leases are allowable to the extent they meet the criteria in "interest" section of UGMS.

4.5.5. Property Management Standards

All property purchased with grant funds, match or program income must be used and managed to meet the statutory purposes of combating motor vehicle burglary and theft. Grantees shall use their agency's property management procedures, policies, and standards. In addition, the property management systems used shall comply with the following:

4.5.5.1. Property Policies

Policies and procedures regarding the acquisition and disposition of property acquired with grant funds must be based on three primary considerations:

- The function of a property in facilitating successful program activities;
- The necessity for ensuring that grant funds are properly used and accounted for; and,
- The desirability of simplifying administrative accounting and reporting requirements.

All grantees utilizing grant funds for the acquisition of property are responsible for establishing and maintaining systems for the effective management of such property.

4.5.5.2. Property Management Systems

Property management systems shall apply to the acquisition, use, disposition, and replacement of all equipment. Grantees shall use their own local government's property management systems, which must conform to all applicable rules, procedures, state, and local laws, rules and regulations. Property records shall be maintained accurately and an inventory listing shall include, but is not limited to:

- A description of the property;
- Manufacturer's serial number, model number, or identification number;
- Acquisition date;
- Location and condition of the property;
- Percent ABTPA cost;
- Total acquisition cost to reflect ABTPA funds and grantee's cash match funds; and,
- Any ultimate disposition data including the date of disposal and sale price.

4.5.5.3. Use

A grantee shall use equipment acquired under a grant in accordance with state law, rules, and these procedures and the use shall meet the following requirements:

- Equipment must be used by the grantee in the program for which it was acquired as long as needed, whether or not the program continues to be supported by state funds.
- An official letter to ABTPA from the grantee must accompany requests for use of equipment on other programs or programs, stating the timeframe and purpose for use. Prior written approval must be given by the ABTPA Director before use.
- The grantee shall also make equipment available for use on other programs or programs currently or previously supported by the state government, providing such use does not interfere with the work on the programs or programs for which it was originally acquired.
- The grantee shall not use equipment acquired with grant funds to provide services for a fee to compete unfairly with private companies that provide equivalent services.
- When acquiring replacement equipment, grantee may use the equipment to be replaced as a trade-in or sell the equipment and use the proceeds to offset the cost of the replacement equipment, subject to the approval of the ABTPA Director.
- Adequate maintenance procedures shall be implemented to keep the property in good condition.
- When the grantee is authorized or required to sell the property, the grantee shall use their own local government's property management systems sales procedures. The procedures shall provide for competition to the extent practical and result in the highest possible return.

4.5.6. Loss, Damage, or Theft of Equipment

Grantees are responsible for replacing or repairing property which is willfully or negligently lost, stolen, damaged, or destroyed at their own expense. Grantees shall investigate any loss, damage, or theft of the property and fully document the loss, damage, or theft. Responsible or negligent parties must be identified by the grantee to determine grantees' appropriate action. In the event of loss, damage, or theft, the ABTPA shall be promptly notified and provided all documents relating to the matter. The Texas Comptroller of Public Accounts has determined that grant funds used for losses are limited to $1,000 in a twelve month period and then only as appropriate. Casualty insurance is an allowable cost.

4.5.7. Replacement of Equipment

When equipment with an acquisition cost of $1000 or more is no longer efficient or serviceable and the grantee continues to need the equipment in its motor vehicle burglary and theft reduction efforts, the grantee may replace the property through trade-in or sale and purchase of new property, provided the following requirements are met:

1. Grantees must obtain the written permission of the ABTPA Director prior to entering into the negotiation for the replacement or trade-in of equipment. The request must include a commitment to obtain the fair market value for the transaction.
2. Value credited for the property, if the property is a trade-in, must be related to its fair market value.
3. The equipment must be purchased soon after the sale, to show that the sale and the purchase are related.
4. Replacement of equipment is not a disposition of such equipment and the ABTPA interest in the equipment shall be transferred to the equipment replacement. ABTPA share of the equipment replacement shall be computed as follows:
   - 4.1. The proceeds from the sale of the original equipment or the amount credited for trade-in shall be multiplied by the ABTPA share (percentage) to produce a dollar amount.
   - 4.2. The percentage ratio of the dollar amount to the total purchase price of the equipment replacement shall be ABTPA's share of the equipment replacement.
5. The equipment replacement shall be subject to the same instruction on use and disposition as the equipment that is replaced.
6. Equipment replacement must serve the same function as the original equipment.

4.5.8. Donated Equipment

When a grantee receives a donated piece of physical asset equipment ABTPA shall be notified. The equipment shall be properly valued and a gifts in-kind receipt shall be issued with the necessary information to enter in the inventory form.

4.5.9. Disposition

Grantees shall dispose of equipment acquired under ABTPA grant programs in accordance with their own local government's property management systems, which must conform to all applicable rules, procedures, state, and local laws, rules and regulations, and shall adhere to the following disposition requirements for nonexpendable personal property:

- A grantee may use nonexpendable personal property with a current per-unit fair market value of less than $1,000 for other activities without reimbursement to the ABTPA, or sell the property and retain the proceeds. Methods used to determine per-unit fair market value must be documented, kept on file, and made available to the ABTPA upon request.
- A grantee may retain nonexpendable personal property with a current per-unit fair market value of $1,000 or more provided that compensation is made to the ABTPA if directed. The amount of compensation shall be computed by applying the percentage of ABTPA participation in the cost of the original program or program to the current fair market value of the property.

- If the grantee has no need for the property and the property has further use value, the grantee shall request disposition instructions from the ABTPA Director. The ABTPA Director shall issue instructions to the grantee no later than sixty (60) days after the grantee's request, and the following procedures shall govern:
  - If so instructed, the grantee shall sell the property and reimburse to the ABTPA an amount calculated by applying to the sales proceeds to the percentage of ABTPA participation in the cost of the grant. However, the grantee shall be permitted to deduct and retain from the ABTPA share one-hundred dollars ($100) or ten percent (10%) of the proceeds, whichever is greater, for the grantee's selling and handling expenses. For amounts required to be paid in excess of the one-hundred dollars ($100) or ten percent (10%) of the proceeds approval must be provided by the ABTPA director.
  - If the grantee is instructed to ship the property to other agencies needing the property, the grantee shall be reimbursed by the benefiting agency with an amount which is computed by applying the percentage of the grantee's participation in the cost of the program or program to the current fair market value of the property, plus any reasonable shipping or interim storage costs incurred.
  - If the grantee is instructed to otherwise dispose of the property, the grantee shall be reimbursed by the ABTPA for such costs incurred in its disposition as allowed by law and subject to availability of funds.

4.6. Supplies and Direct Operating Expenses

General Guidelines
All items included in Supplies and Direct Operating expenses must be related to the day-to-day operation of the ABTPA grant-funded program. Itemized expenses must be allowable, reasonable and necessary to enhance the program and/or meet the goals strategies, and activities of the grant.

Rent and lease must be the actual cost if property is not owned by grantee. Use allowance or deprecation may be submitted in the grant application for grantee owned property.

Office supplies and other miscellaneous small items may be combined into one line item. Pens, paper clips, paper, etc. can be included within the standard Office Supplies line item.

Costs for leasing vehicles shall include the number of vehicles to be leased and the fee per vehicle.
If sharing usage of items, costs must be prorated in the budget. Examples include:

1) If the entity has a copier and it is shared by the whole office – not just the ABTPA grant funded program – the grantee must prorate usage to cover only copies related to the ABTPA grant-funded program activities.
2) If the grantee has a 12-month agreement for copier machine maintenance and only six months of the agreement falls within the grant period, only the six months can be charged to the grant.

Examples of Supplies and DOE items:

- Vehicle lease
- Fuel and maintenance
- Registration fees
- Office Supplies
- Postage
- Printing
- Confidential Funds
- Rent
- Casualty Insurance
- Education and marketing materials
- Uniforms (unless part of fringe benefit)

4.6.1. Educational Programs and Marketing

Educating the public is an important strategy for preventing crime and this concept is included in the ABTPA enabling statute. Grantees may use ABTPA funds consistent with the Statement of Grant Award to help vehicle owners understand the magnitude of the motor vehicle burglary and theft problem and to know steps they can take to protect themselves and their property. Education program and marketing expenditures must be directed toward promoting behavior in the community that reduces motor vehicle burglary and theft.

Applicants shall have the ability to choose from a predetermined list the type of activities they shall conduct to meet the goal and the two strategies. If an applicant has identified additional activities, they may also list them in the application. An applicant should include a budget line item to pursue the selected activities.

Suggested Education Programs Strategy

Establish partnerships with community led organizations, auto crime prevention organizations, insurance industry, and businesses. Submit newsletters articles, provide presentations, and participate in community events.

Purchasing Promotional Items and Marketing Media

Funds may be used by the ABTPA grantees for promotional items to enhance auto theft crime prevention efforts. Items such as pens, magnets, T-shirts, bags, or hats may be purchased with ABTPA funds to distribute at public awareness/education events. Funds may be provided for program promotion through paid advertisement, such as billboards, television, newspaper, or radio announcements. Production costs for public service announcements are an allowable expense. It is the intent of the ABTPA to promote the grant program activities and prevention efforts with these funds.

The following guidelines must be followed before purchasing educational or marketing material:

- Some printed material, educational material and marketing material may be available from the ABTPA.
- All grantees using items with the ABTPA trademarks, service marks slogans or copyrighted and trademarked material must maintain a current license agreement. The agreement will be updated at least once every four years.
- The use of ABTPA grant funds which includes use of the logo, slogan, or name of the Authority must be approved by the director of ABTPA prior to production.
- An estimate and proof of the item must be submitted to ABTPA for approval.

4.6.2. Confidential Funds

WARNING: ANY INFORMATION TRANSMITTED TO ABTPA REGARDING CONFIDENTIAL FUNDS MAY BE SUBJECT TO DISCLOSURE UNDER THE TEXAS PUBLIC INFORMATION ACT (OPEN RECORDS REQUEST).

Confidential funds associated with covert or normal operations of law enforcement are an allowable grant item if they are reasonable and necessary to enhance the program and/or meet the goals, strategies, and activities of the grant. Agencies with Confidential Fund and Informant policies shall develop a policy and submit their policy to the ABTPA Director for approval. Once approved the agency shall use their policy.

The grant funds portion amount requested and spent cannot exceed $5,000 for the grant year.

Grantees must ensure that the controls over disbursement of confidential funds are adequate to safeguard against the misuse of such funds. Therefore, a signed certification that the program director has read, understands, and agrees to abide by the provisions of the grantee's internal procedures which incorporate the following elements:

Imprest Fund - The funds authorized shall be established in an imprest fund which is controlled by a bonded cashier.
Advance of Funds - The supervisor of the unit to which the imprest fund is assigned must authorize all advances of funds. Such authorization must specify the purpose of the information to be received, the amount of expenditures, and assumed name of informant.

Confidential expenditures include the following types of purchases and shall be authorized for grantees at the county and city level of law enforcement.
Purchase of Services (PS) This category includes travel or transportation of a nonfederal officer or an informant; the lease of an apartment, business front, luxury-type automobiles, aircraft or boat, or similar effects to create or establish the appearance of affluence; and/or meals, beverages, entertainment, and similar expenses for undercover purposes, within reasonable limits.
Purchase of Evidence (PE) This category is for the purchase of evidence and/or contraband such as stolen property, counterfeit tax stamps, counterfeit car titles, etc., required to determine the existence of a crime or to establish the identity of a participant in a crime.
Purchase of Specific Information (PI) This category includes the payment of monies to an informant for specific information. All other informant expenses would be classified under PI and charged accordingly.
These funds shall only be allocated:

- when the particular merits of a program/investigation warrant the expenditure of these funds.
- when requesting entities are unable to obtain these funds from other sources.

4.6.3. Informant Files

Informant files are confidential files of the true names, assumed names, and signature of all informants to whom payments of confidential expenditures have been made. These records must be maintained locally in accordance with state and local law.

4.7. Indirect Costs

Indirect costs are not allowable expenses in ABTPA Grants.
Indirect costs are those: incurred for a common or joint purpose benefiting more than one cost objective, and not readily assignable to the cost objectives specifically benefited, without effort disproportionate to the results achieved.

5. Reporting Guidelines

Grantees are responsible for managing the day-to-day operations of the grant, provide the financial administration and fulfill the legal purposes of the funds and the activities indicated in the Statement of Grant Award and attached Goals, Strategies, and Activities (GSA) section of the approved award document. Grantees must maintain adequate documentation to demonstrate the activities and events are performed with grant funds. Grantees must document and monitor grant supported activities to ensure compliance with applicable statutorily required performance measures and the agency selected or unique agency developed activities in the GSAs.

5.1. Progress Reports (PR)

5.1.1. Progress Reporting

Data submitted in the progress report must be from grant funded activities. If data is included in the report that was not as a result of grant funded activities it must be clearly indicated in each monthly report. All grantee Progress Reports must be submitted by the tenth (10^{th}) calendar day of the month. The final end of year report is due on September 30^{th} of each year. The PR should be submitted via e-mail to GrantsABTPA@txdmv.gov with an e-mail copy to the respective Grant Coordinator. Grant payments may be withheld until reports are submitted.

Table 1: Progress Report Deadlines	
Progress Period Start Date	**PR Deadline (5:00 PM CT)**
September 1, 2015	October 10, 2015
October 1, 2015	November 10, 2015
November 1, 2015	December 10, 2015
December 1, 2015	January 10, 2016
January 1, 2016	February 10, 2016
February 1, 2016	March 10, 2016
March 1, 2016	April 10, 2016
April 1, 2016	May 10, 2016
May 1, 2016	June 10, 2016
June 1, 2016	July 10, 2016
July 1, 2016	August 10, 2016
August 1, 2016	September 10, 2016
Sept. 1, 2015 – Aug. 30, 2016	September 30, 2016

The Cover Sheet, Submission Form, and the required activity pages shall be completed each month.

5.1.1.1. Excel Progress Report Form

The ABTPA grantee performance report is divided into the following eleven sections:

Grantee Cover Page
Statutory Requirements
Goal 1: Reduce the incidence of Motor Vehicle Theft Through Enforcement strategies. **Strategy 1:** Conduct Activities that Result in the Arrest, Clearance, and Recoveries of Motor Vehicle Theft.
Goal 1: Reduce the Incidence of Motor Vehicle Theft Through Enforcement Strategies. **Strategy 2:** Conduct Collaborative Efforts that Result in Reduction of Incidents of Motor Vehicle Theft.
Goal 1: Reduce the Incidence of Motor Vehicle Theft Through Enforcement. **Strategy 3:** Prevent and Reduce the Incidence of Motor Vehicle Related Fraud Activities.

Goal 2: Reduce the Incidence of Theft From Motor Vehicles Through Enforcement Strategies. **Strategy 1:** Conduct Activities that Result in the Arrest, Clearance, and Recoveries of Burglary of Motor Vehicles, and Theft of Vehicle Parts and Accessories.
Goal 2: Reduce the Incidence of Theft From Motor Vehicles Through Enforcement Strategies. **Strategy 2:** Conduct Collaborative Efforts that Result in the Reduction of Incidents of Theft From a Motor Vehicle.
Goal 3: Educate/Train Citizens and Qualified Personnel in Detection and Prevention of Motor Vehicle Theft, Burglary of Motor Vehicles and Theft of Vehicle Parts and Accessories. **Strategy 1:** Conduct Public Awareness Related Activities Used to Educate Citizens.
Goal 3: Educate/Train Citizens and Qualified Personnel in Detection and Prevention of Motor Vehicle Theft, Burglary of Motor Vehicles and Theft of Vehicle Parts and Accessories. **Strategy 2:** Conduct Law Enforcement Training Activities to Educate Officers on Recognition and Apprehension of Stolen Vehicles and Property.
Monthly Summary
Success Stories

5.1.1.2. To Prepare for the Monthly and End of Year Progress Reports

Grantees will receive a blank Goals, Strategies, and Activities (**GSA**) Excel worksheet similar to the one contained in the grant application and award document. The grantee shall complete the form by:

1. Entering the data in the Grantee Cover Page
2. Entering the grantees target information for each of the ABTPA Board adopted measures
3. Entering the unique activities that the grantee proposed to track in the grant application
4. Save the document so it can be used and updated each month.

5.1.1.3. Completing the Progress Report Each Month

Fill out all pages of the Progress Report Form each month or carry forward an updated version in Excel.

- Complete Cover Sheet Tab with the appropriate information.
- The grantee's program director must check the box certifying the report is true and correct. The program director/program manager's name shall be typed in the Authorized block at the bottom of the page.
- Place only numbers in the boxes.
- Use zero when there is no activity to report for the month for items identified in the grantee's statement of grant award.
- For all activity items not specifically identified in the grantee's statement of grant award leave all boxes empty unless the grantee wants to report an activity for the month. (**Note**: Providing additional information does not relieve the grantee from their obligation to perform the activities specified in the statement of grant award nor does it serve as a grant adjustment.)
- Please ensure that all entered data and reporting period are correct, before submitting.

5.1.1.4. Instructions for Filling Out the Monthly and Final Progress Report

In the approved grant application, grantees establish GSAs that describe what they expect to achieve with the grant funded program. Grantees shall report as of the last day of each month.

- Grantees will have already entered their **Target Number** for each Activity and/or Unique Activity (if applicable). Enter the actual performance data demonstrating progress toward meeting or exceeding this target. Only quantitative (numeric) data should be entered in the "Target" row and reporting "Month" column.
- For progress measures that are stated in terms of a single number (e.g., the number of professional development or public awareness workshops or events that will be conducted and/or number of

participants), the target and actual performance monthly data should be reported as an e.g., **1/20 (1** workshops/ **20** participants).

- Goal and Strategy summaries or additional information may be provided in the Additional Information or Explanation Field.

5.1.1.5. Monthly Summary

Grantees are strongly encouraged to submit qualitative and informational summaries. The monthly summary provides information to help ABTPA be aware of local and statewide issues and coordinate responses. The response items are:

1. Describe the major accomplishments for this month;
2. Describe any issues or problems in operating the grant program and possible solution encountered this month;
3. Describe any personnel or contractor changes made during this month;
4. Describe any upcoming events, activities, or initiatives;
5. Other Information may include loss value, recovery value, or departmental data elements and reports.

5.1.1.6. Individual Stories or Success

Grantees are strongly encouraged to provide success stories to help shape communication about ABTPA funded programs. The report items are:

- Please provide success stories where the program made significant progress in combating motor vehicle theft or burglary.
- Please provide success stories where the program helped individuals or victims in the community.
- Please provide success stories where the program helped other law enforcement agencies.

Any news stories, press releases, or awards issued or received by grantee shall be attached to the e-mail. Examples include:

- Public Awareness Events (i.e. trade/car shows, speaking to school children, meetings with concerned citizens).
- News articles or website postings (ie…Taskforce X recovered Ms. Smith's car. She is a single mother of 2 young children, and if her car were not recovered she would have lost her job and …)
- Send articles to GrantsABTPA@txdmv.gov with the file name starting with "YYMM_SuccessStory"

5.1.1.7. Final or End-of-Year Performance Report:

The End-of-Year Progress Report is due on September 30th of each year. This report will provide the totals for all grant activities in the Statement of Grant Award and a summary of activities and major events accomplished under the grant.

The Final Report will cover the entire grant period.

Grantees shall provide any local or outside evaluation results, draw conclusions about the success of the program and its impact. Describe any unanticipated outcomes or benefits from the program and any barriers that may have encountered.

- Enter the start and end dates for the final grant cycle. The reporting period for your final performance report covers the entire grant cycle period of the program.
- Describe the reasons for any data discrepancies (i.e., discrepancy between the target number and actual number.
- An explanation if progress was not made and steps for addressing the issue.
- How data and information were used to make improvements in the program.
- Describe any challenges and successes during the grant cycle.
- Any other information that would help to explain the information given.
- Choose best stories from Monthly/Quarterly Reports to showcase in ABTPA reports.

5.1.1.8. Documentation for Monthly and End of Year Progress Reports

Each month grantees will document their activities. Documents may include case activity reports, department case management systems, contact logs, TxDPS reporting sheets and information; investigative files, arrest and book in sheets, offense reports and offense report summaries and other source documents.

5.2. Financial Reporting

Reimbursement of expenditures are contingent upon the following conditions:

- The availability of appropriated funds
- Compliance with ABTPA Grant Agreement General Terms and Conditions
- Actual costs incurred (i.e. services provided, hours worked, etc.):
  - in accordance with the approved program budget,
  - within the time frame specified in the grant period of the grant agreement,
  - attributable to work covered by the agreement, and which has been completed in a manner satisfactory and acceptable to the ABTPA

ABTPA requires quarterly financial reporting that allows grantees to request reimbursement, as well as providing a mechanism for ABTPA fiscal monitoring. All expenditures must follow local policies and procedures, as well as grant requirements. It is the Grantees responsibility to review all expenditures and to ensure all regulations are followed, and that documentation is true and complete. The ABTPA shall rely primarily on the Grantees certification and processes when making Grant payments to the Grantee. The ABTPA shall perform Desk Reviews and test transactions periodically to ensure the Grantee's internal controls are in place and whether the report submitted is accurate.

Expenditure Reports

Grantees are required to submit a financial quarterly expenditure reports. This report shall contain the approved budget summary and total expenditures by quarter; as well as an analysis of expenditures by quarter, including both ABTPA expenditures and cash or alternative match. The report also shall provide a summary of cumulative expenditures of program income, in-kind match, confidential funds, and funds obligated.

The appropriate forms and instructions are provided by the ABTPA to each grantee. The report must be certified, signed, and submitted by the grants designated financial officer or alternate signatory for the grant.

Expenditure Reports shall be submitted via e-mail to GrantsABTPA@txdmv.gov with an e-mail copy to the respective Grant Coordinator. The Excel version and the signed scanned version shall be submitted by e-mail.

Financial expenditure quarterly report due dates are as follows:

Quarter	Period	Report Due Date
1st	September 1st - November 30th	December 31st
2nd	December 1st - February 28th	March 31th
3rd	March 1st - May 31st	June 30th
4th	June 1st - August 31st	Due: October 15 Delinquent: November 30th

- A grantee must liquidate all obligations incurred under the award by no later than 45 days after end of grant year
- Extensions up to ninety (90) days after the end of the grant period to submit report must be requested in writing by the Financial Officer or Authorized Official and be approved by the Director of ABTPA.

Supporting (backup) documentation supporting the requested ABTPA amount shall be provided. Supporting documentation must include general ledgers and payment vouchers showing the breakdown of amounts due. Other records which should be submitted include travel records, time sheets, invoices, contracts, mileage records, receipts, and other documentation that verifies the expenditure amount and appropriateness of the grant,

Expenditure Report submissions beyond ninety (90) days after the end of the grant period will not be processed.

5.3. Inventory Reporting

All grantees are required to submit a completed electronic copy and a signed scanned version of the Equipment Inventory form to ABTPA no later than October 15 each grant year. The Inventory Report shall be submitted via e-mail to GrantsABTPA@txdmv.gov with an e-mail copy to the respective ABTPA Grant Coordinator.
A physical inventory of property shall be taken on odd-numbered years and the results submitted with the inventory report by October 15. The results of this physical inventory shall be reconciled with the property records at least once every two years. The grantee shall, in connection with the inventory, verify the existence, current utilization, and continued need for the equipment. Any differences between quantities determined by the physical inspection and those shown in the accounting records shall be investigated by the Program Director or designee to determine the causes of the difference. The summary of the findings of the reconciliation and disposition actions to update the inventory must be made with the inventory report. The physical inventory documentation shall be retained by the grantee for review by ABTPA staff when requested. This requirement is applicable beginning two years after the completion of the grant period.

Equipment having a unit cost of less than $500 shall not be reported as equipment unless the grantee's agency capitalizes such purchases in its own accounting policy or it is a special item indicated in this manual.

Equipment budgeted and paid in total with grantee funds does not require an inventory report unless it was used as cash match.

At the termination of the grant or dissolution of a funded program, grantees shall prepare and submit the required reports. They must maintain in their files the inventory report for all equipment items purchased for the grant if ABTPA funds were used to purchase any part of those items until the retention period is expired.

The final inventory report shall also include recommendations as to the future use and disposition of the equipment. The ABTPA Director will respond to the recommendations within 30 days of receipt of the final inventory report.

5.3.1. Completing the Excel Inventory Form

Complete the Worksheet Label with the year of the report. ABTPA grantee Inventory Form is divided into the following fifteen columns. The form must be completed using the following information:

Grant Number	Copy from the Statement of Grant Award. Grantees should enter their Grant Number on the first line item and then click on Control Alt and tap down to the last equipment item entered.
Asset Class Number	Select the closest class number to the item from the drop-down menu. When multiple components make up a single asset under local policies then select the closest category and then enter the most costly item's serial/VIN number below. The equipment should have a unique inventory number so the equipment can be tracked by the asset number. The following Asset Class Numbers can be used as guides: ➢ 01-01 Vehicles – Cars, Trucks, boats, ATVs, etc. ➢ 01-02 Trailers – All types ➢ 01-03 Vehicle Accessories – Grill guards, lights, monitoring accessories, television for CP trailer, etc. ➢ 02-01 Computer Equipment – Monitors, printers, key boards, mouse, power supply, tablets, laptop vehicle dock, routers, computer server, etc. ➢ 02-02 Communication – Radio, cellular and portable telephones, cover operations accessory, Power inverter surveillance system/software, Wi-Fi system, surveillance kit (repair) GPS tracking system, wireless PIR detector (i.e. anything that talks to a signal), etc. ➢ 02-03 Optical – Still and digital cameras, video cameras, night goggles, etc. ➢ 02-04 Office Equipment Other – Printers, copiers, shredders, office furniture, etc. ➢ 03-01 LPR System – Vehicle computer mount, portable power booster pack, etc. ➢ 04-01 Bait Vehicle Equipment ➢ 05-01 Tools – Grinder, drill set, etc. ➢ 05-02 Shop Equipment - Battery charger, cutting torch, floor jack etc. ➢ 06-01 Other items not falling into categories above.
Item Description	Provide a brief label or description to each line item.
Year/Make/ Model #	Complete this section when applicable to the asset.
Serial#/VIN#	Use the manufacturer's identification numbers. You may add a column at the end or maintain locally the jurisdictions' asset control number if applicable.
Source of Property	Provide how the item was acquired (purchased, donated, seized, etc…)
Who Holds Title	Provide the name as listed on the title or purchasing entity from the invoice.
Acquisition Date	Provide the date of purchase, court order date transferring ownership, etc…
Cost	Provide the actual cost as of the date of purchase, the assessed cost from a court order if applicable, or the fair market value as of the date of acquisition in all other events.
Percent of ABTPA Cost	The percent of the ABTPA funds to total costs for the acquisition of the item.
Location	Grantees must provide a location or agency location code for each item.
Use Condition	The current working order or description of condition of the asset (good, fair, damaged, not working, etc…)
Date of Disposal	If the asset was disposed during the grant year, enter date the asset was disposed
Disposal Method	Provide the how the asset was disposed. Examples include discarded, sold, trade-in, etc…
Sale Price	If the asset was sold during the grant year, the sale price must be included. If assets are sold in lots with other assets, use a proportional assignment of sale price based on acquisition cost.

5.3.2. To Prepare for Inventory Form

Grantees will receive a blank copy of an Excel Inventory Form (Appendix 2). The grantee shall complete the form by:

5. Identify equipment having a unit cost of $500 or over, purchase with ABTPA grant funds. Entering the data in the Inventory Form, until the retention period is expired.
6. Equipment budgeted and paid in total with grantee funds is not require on the inventory form.
7. Entering walk away items (such as laptops, software, cameras and personal digital assistants) that cost less than the equipment threshold, but can be easily stolen or damaged should be listed.
8. Save the document so it can be used and updated.

5.3.3. Submission Instructions

All grantees are required to submit an electronic copy of the Equipment Inventory form to ABTPA no later than 45 days (October 15th) after the end of each grant year. The Excel version of the Inventory Report shall be submitted via e-mail from the Financial Officer designated official e-mail address to GrantsABTPA@txdmv.gov with an e-mail copy to the respective Grant Coordinator. Supporting documentation shall be retained with the accounting record. Summaries and investigation document shall be attached as needed.

5.4. Contract and Major Obligations

As required in 43 TAC § 57.22, Contracts, including any amendments, must be reviewed and approved as to form and content by the ABTPA director or board designee prior to the release of any funds under the contract when the amount is $15,000 or more.

5.5. Violation of Law or Notice of Litigation

All grantees that have a reasonable belief that a criminal violation may have occurred in connection with ABTPA funds, including the misappropriation of funds, fraud, theft, embezzlement, forgery, or any other serious irregularities indicating noncompliance with the requirements of a grant shall immediately notify the ABTPA director and the ABTPA general counsel in writing of the suspected violation or irregularity. The grantee shall also notify the local prosecutor's office of any possible criminal violations.

Grantees whose programs or personnel become involved in any litigation arising from or related to the grant, whether civil or criminal, must immediately notify and forward a copy of any demand notices, lawsuits, or indictments to the ABTPA director and the ABTPA general counsel.

6. Monitoring

The ABTPA is required by state regulations to periodically conduct program and financial compliance and quality assurance reviews. The purpose of the ABTPA monitoring and site visits is to ensure compliance with state law, program rules and regulations and the Statement of Grant Award. This will be accomplished by program and fiscal monitoring, inquiries to obtain information, and technical assistance as needed. The ABTPA shall conduct program and financial oversight and monitoring of grant funds throughout the life of the grant. Monitoring shall include the following:

1) Comprehensive Annual Financial Report reviews (CAFR) (Single Audit Review)
2) Desk reviews
3) On-site monitoring

The objective of oversight and monitoring is to:

- assess and evaluate whether program purposes are being attained
- determine whether goals, strategies, activities and other measureable outcomes are being met
- document and evaluate accomplishments
- review financial records and documentation for consistency with program activity
- assess if the grantee is in compliance with State cost principles, rules, regulations and contractual requirements.

6.1. Comprehensive Annual Financial Report Review

Grantee (s) receiving total federal/state grant awards in the amount of $500,000 or greater are required to submit a copy of the Comprehensive Annual Financial Review (CAFR or Single audit) report to ABTPA every year, immediately upon receipt of that report. The ABTPA shall conduct a CAFR review to assess if grantees have expended program funds in accordance with legal, regulatory, and contractual requirements.

The CAFR shall be submitted to ABTPA by one of the following methods:

- Provide a web link to grantee's Comprehensive Annual Financial report (Single Audit) via e-mail;
- Provide a hard disk, flash, or any type of portable computer media; or
- Hardcopy (least favored option)

Grantee (s) who do not receive federal/state grant awards of $500,000 within a fiscal year, shall submit a communication in writing indicating a single audit was not required.

ABTPA staff shall acknowledge receipt of the CAFR within five (5) working days. The ABTPA staff shall review the CAFR within thirty (30) days of receipt and discuss with Grantees any issues that are indicated by the findings if necessary.

6.2. Desk Review

Desk Reviews shall be performed by ABTPA staff each grantee at least twice each grant cycle for the purpose of reviewing grant program activities and financial records, and to identify any issues. Desk reviews may also be scheduled prior to an on-site visit. **Grantees will receive a notification letter of the upcoming desk review.** Grantees may be required to submit additional supporting documentation for Expenditure Reports.

Documentation may include, but is not limited to:

- Timesheets and payroll records
- Travel logs that document mileage

- Review and verification of invoices/receipts for operating costs
- Lodging and meals
- Contractor/consultant contracts and invoices
- Other grantee supporting documents for the quarterly expenditure reports and monthly progress reports

At the time of the desk review, the grantee staff may be asked for clarification or additional information on any grant related documentation. Grantees must respond within a reasonable time, not to exceed five (5) working days.

6.3. On-site monitoring

Grantee(s) will have an on-site monitoring visit every two (2) years unless ABTPA identifies any potential risk that warrants an additional on-site review.

The purpose of on-site visits is to assess the progress of grantee programs in implementing grant activities and to review program and financial activities. **Grantees shall receive a notification letter of the upcoming review.** On-site monitoring includes, but is not limited to, the review and verification of the following:

- Additional details or records on expenses or reports
- Grant files.
- Detail listing of the general ledger accounts. (If necessary)
- Records on generated program income.
- Cash match accounts.
- Time and attendance records for all grant staff.
- Travel logs and travel expenditures.
- Property record inventory list.
- Confidential Informant files (If pertinent).
- Imprest Fund log (If pertinent).
- Program records (review of case files to see how staff documents services delivered and verify how statistics are being calculated).

Potential Risk includes, but is not limited to:

- Grantee has a documented history of unsatisfactory performance
- Grantee is not performing in accordance with the terms and conditions of the grant award
- Grantee is habitually delinquent on the submission of required reports
- Grantee is delinquent on the fourth (4^{th}) quarter Expenditure Report

Notification

- Grantee (s) shall receive at least two-week advance notification when selected for on-site monitoring.
- The grantee is required to cooperate by making the requested personnel and supporting documentation available within a reasonable time not to exceed five (5) business days.
- A monitoring report shall be transmitted electronically to the grantee within thirty (30) days of the desk review, on-site monitoring or CAFR review.
- The grantee shall have ten (10) business days to review the report and provide any response, such as, rebuttals, corrective actions taken, and remediation efforts.

6.4. Corrective Action Plan

If any findings are identified as a result of a CAFR review, a desk review, or an on-site visit, the grantee is required to submit a response within thirty (30) days from the date of the monitoring report to either to dispute the findings with written comments and any supporting documentation, or by submitting a Corrective Action Plan (CAP) specifying the plan to remedy the finding. The CAP must be fully implemented within six (6) months from the date of the report.

The monitor shall follow-up with the grantee to provide ongoing technical assistance and to facilitate grant compliance, as needed and shall ensure that appropriate changes have occurred. Any potential risk that led to the review shall be addressed with grantee, including possible strategies for remedying the problem.

6.5. Sanctions

Sanctions may become necessary when every effort has been made to clear findings of a deficiency within the prescribed time period and the deficiencies remain unresolved. Failure to resolve findings can result in sanctions including increased monitoring, withholding of funds, or grant revocation. Sanctions shall be set by ABTPA board.

6.6. Appeals

The grantee may appeal any imposed sanctions through the process provided for in 43 TAC Code Rule §57.30 Appeal of Termination of Grant.

6.7. Retention Requirements

Grantees shall maintain all financial records, program records, supporting documents, and any other records pertinent to the award for at least three years. The three year retention period starts from the date of the closure of the Comprehensive Annual Financial Review / Single Audit report covering the entire award period.

6.8. Grant Close Out

ABTPA shall close out the award when all applicable administrative actions and all required work of the grant have been completed. It is the responsibility of the grantee to comply in full with all close-out requirements and to submit reports in a timely manner.

Grantees are responsible tor:

- submit all financial, progress, inventory, performance, and other reports required as a condition of the grant.
- resolve any deficiencies identified in a monitoring visit.
- ensure all program goals were met or provide an acceptable explanation as to why those goals were not achieved.
- return funds due as a result of credits, rebates or transaction error findings based on the results of a review covering any part of the period of grant support.
- submit an inventory of all property acquired with grant funds or seized for which it is accountable.

The grantee (s) must provide any additional information requested within five (5) business days of the date of the request.

A close out of the Grant awards shall be finalized by ABTPA when it determines a final payment has been made and all required work of the grant and all applicable administrative actions have been completed.

Board Agenda Item

Section 3. Briefings and Action Items **Part D.** Authorize Director to Publish and Maintain ABTPA Operations Guide

AUTOMOBILE BURGLARY AND THEFT PREVENTION AUTHORITY

OPERATIONS GUIDE

DRAFT

OCTOBER 1, 2015

1 Administrative

1.1 Board Coordination

1.1.1 Board Meeting Preparation Check List

The purpose of this SOP is to ensure ABTPA Board Meetings are conducted in a legal and professional manner. Board Meeting preparation and coordination affects several TxDMV offices and divisions including the Executive Office, Office of General Counsel, Human Resources, Information Technology Services and Finance and Administration.

On-site meetings:

- The administrative assistant (ADMIN) provides assistance to the Director in contacting the board members to establish a quorum.
- On-site meetings:
- When meeting dates are confirmed, the ADMIN reserves the Lone Star room in Building 1. The Lone Star room is also reserved for the afternoon before the meeting for setup.
- ADMIN contacts the Human Resources office to reserve the HR conference room in the event of a Board Executive Session.
- ADMIN contacts TxDMV Information Technology Services to request audio and/or video equipment to record the meeting.
- ADMIN reserves seven (7) parking spaces on the front row of the Building 1 parking lot (facing Jackson Avenue) by emailing DMV_Parking@txdmv.gov. Email campus map to Board Members. TxDMV will send an email before meeting to advise TxDMV employees of parking arrangements.
- Email a memo and a campus map to Board Members and grantees to inform them of parking regulations.
- Day before Board Meeting contact the Executive Assistant in the Executive Office to set up the marque announcing the Board Meeting. Place the marque to the right of the security desk.

Off-site meetings:

TxDMV requires off-site meetings to occur outside a 50-mile radius of TxDMV Headquarters. A venue is selected and the ADMIN enters a Purchase Request (PR) into the Centralized Accounting and Payroll/Personnel System (CAPPS). TxDMV Purchasing creates a Purchase Order (PO) to enter into an agreement with the venue. ADMIN maintains communication with designated venue representative.

Board Member Accommodations:

Memo is sent to Board Members with date and time of meeting.

- Upon request, ADMIN makes all travel arrangements for Board Members using the state credit card. (Board Members can also use their personal credit card to make these reservations.)
- ADMIN makes any modifications or cancellations to the Board Reservations.
- For Offsite Meetings, TxDMV requires meetings to occur outside a 50-mile radius of TxDMV Headquarters.

1.1.2 Court Reporter

Section 551.021 (a) of the Government Code provides as follows "A governmental body shall prepare and keep minutes or make a recording of each open meeting of the body."

Administrative Assistant (ADMIN) secures a court reporter for each Board Meeting utilizing the TxDMV contracted court reporter. TxDMV secures the contract for the agency contracted court reporter. Currently the contract is with *On The Record*.

- When meeting dates have been set, email TxDMV contracted court reporter with proposed meeting dates. Dates are subject to change, but the court reporter can put the tentative dates on their calendar.
- At least two months before a scheduled Board Meeting, email the court reporter with the dates, time and location of the meeting.
  Include in email that in addition to the hard copy an electronic copy of the minutes is also required.
  After the Board Meeting the ADMIN receives the services of the court reporter into CAPPS.
- For out of town meetings, if a TxDMV contracted court reporter is not located in that area, ADMIN will contact two or three court reporters in the area and request a cost proposal.
- ADMIN enters a purchase requisition in CAPPS to request a court reporter.
- ADMIN attaches proposals to CAPPS requisition.
- TxDMV purchasing is responsible for selecting a court reporter.
- After the Board Meeting ADMIN receives the services of the court reporter into CAPPS.
- One week before the Board Meeting confirm with court reporter and email a Board Meeting final agenda to the court reporter.
- Court reporter is required by the TxDMV contract to provide two (2) hard copies of the Board Meeting minutes and one (1) electronic copy of the minutes to ABTPA.
- Court reporter guidelines are set forth in the purchase order.

1.1.3 Posting Board Information

The TxDMV Office of General Counsel (OGC) manages the legal posting requirements associated with holding open meetings. The Director and Administrative Assistant (ADMIN) provides the OGC with information to meet their obligations.

The ADMIN ensures that meetings are posted to the TxDMV website calendar and to any appropriate TxDMV webpages.

Posting information to the to the ABTPA private and public web sites is required to communicate information to ABTPA Board Members, grantees and the public. This procedure affects the ABTPA Board Members and grantees in that they will have access to information such as Board Meeting packets and transcripts.

- The ADMIN with the assistance of the TxDMV web administrator posts the Board Meeting packet to the private link first to allow Board Members at least three (3) days to review the information.
- ADMIN emails link to Board Members advising them that the information is available online.
- The information remains on the private link for approximately three (3) days then ADMIN sends it to the public link.
- When information is available on the public link ADMIN emails link to the grantees advising them that the information is available online.
- After the Board Meeting the ADMIN moves the information from the private link to the public link.
- Only current information is maintained on the private link.
- After the Board Meeting, the transcript provided by court reporter is posted to the private link for the Board Members review.

1.1.4 Comment Cards

The purpose of this these instructions are to provide guidance when preparing ABTPA Board Meeting Comment Cards. There is a Blue Comment Card for Open Comment and a Yellow Comment Card for an Agenda Item Comment. Comment Cards must be provided for all ABTPA Board Meetings.

Required Comment Card information:

- An ABTPA Logo

- Heading:
  Registration Form
  Request to Speak – Open Comment Session or
  Request to Speak on an Agenda Item
  Title 43, Texas Administrative Code, §206.22
- Type of meeting
- Location of the meeting
- Date and time of the meeting
- Copy Open Comment Card on Blue Paper
- Copy Agenda Item Comment Card on Yellow Paper
- Make five copies of each card
- Make a few extra copies (without date/time) in case there is a need for more than five copies.

After the meeting make copies for the ABTPA file and send originals to the Office of General Counsel. After meeting file in appropriate Board Meeting file.

1.1.5 Sign In Sheets

Board Meeting Sign-In Sheets

TxDMV policy requires that ABTPA Board Meeting Sign-In Sheets adhere to the specifications for the TxDMV Board Meeting Sign-In Sheets. (See attached example) A sign-in sheet must be provided for all ABTPA open meeting. The sign-in sheet is a permanent record.

Required sign-in sheet information.

- An ABTPA Logo
- Automobile Burglary and Theft Prevention Authority spelled out
- Location of meeting
- Date and time of meeting
- Name of attendee
- Address of attendee
- Business represented
- Y/N column
- This statement: Have you received or do you expect to receive any money, thing of value or financial benefit for services rendered in contacting the department? Please indicate your response in the (Y/N) column.

Copy sign-in sheets in color on white paper. Use landscape orientation. Make 10 copies for each Board Meeting. After Board Meeting scan and email copies of the sign-in sheets to Office of General Council (OGC).

1.1.6 New Board Member Procedures

The purpose of this SOP is to comply with ABTPA Board Member appointments and training set forth in Vernon's Texas Civil Statutes, Article 4413 (37), Automobile Burglary and Theft Prevention Authority.

- Appointment notice of new Board Member is received from the Governor's Appointment Office.
- ABTPA Director notifies ABTPA Board Members, TxDMV Management, OGC, and grantees of the appointment.

ABTPA Board Chair sends an appointment letter to the new Board Member to welcome him/her to the Board. Sample letter (update as necessary). \\Txdot-hq41\chdata2\ATP\GROUPS\ABTPA_ABTPA Board Meetings and Information\Past Board Meetings and Other Material\Board Member Information\Sample New Board Member Letter RV.docx.

The Office of General Counsel (OGC) coordinates the new Board Member training.

- Online training will include Open Meetings/Public Information Training https://www.texasattorneygeneral.gov/faq/og-open-government-training-information#og_training_faq.
- Online Ethics Training: http://www.ethics.state.tx.us/main/training.htm.

New Board Member emails training certificates to OGC.

Additional Procedures

- ADMIN completes TxDOT Badge form 4.447 and emails to DMV_Maintenance@txdmv.gov.
- ADMIN schedules an appointment with TxDOT security for the new Board Member to obtain their TxDMV Identification Badge.
- ADMIN orders business cards for the new Board Member by submitting a requisition in CAPPS. The form is located at http://mydmv/gsc/ under templates.
- ADMIN orders name plate for new Board Member by submitting a requisition in CAPPS. Texas Correctional Industries specifications are: #66554221052-8 - #27 Walnut/White: Engraved Plastic Desk Name Plates & Signs. Quantity is 16 inches at the current unit price.
- ADMIN prepares a packet of information for the new Board Member.
- ADMIN updates ABTPA Board contact information.

1.1.7 Ethics Commission

ABTPA Board Members/Ethic Commission Filings

Every year board members are required to file personal financial statements with the Texas Ethics Commission. The Commission provides the division director with a board member information sheet each year in February. It is the division director and ADMIN's responsibility to update the board member information sheet before the deadline and also provide the Commission with any board member changes that occur throughout the year.

1.2 CAPPS Processes

1.2.1 Entering Grants into CAPPS

The ABTPA Administrative Assistant is responsible for creating a requisition in the Centralized Accounting and Payroll/Personnel System (CAPPS) for the grants awarded into Grant Award Statement is returned to ABTPA by the jurisdiction.

- Grant Coordinator confirms that the signature on the award document is consistent with the official listed on the Resolution that is submitted with the application by the governing body. Grant Coordinator certifies the application as complete by signing the document and marking it certified.
- A requisition is entered into CAPPS after the original signed Grant Award Statement is received by the jurisdiction.

1.2.2 Process for Uploading Grant Documents

Grant award requisitions entered into CAPPS require supporting documentation. The ADMIN attaches the required documentation available at the time of the requisition entry. After a purchase order is created additional documentation cannot be uploaded by the ADMIN. Additional documentation should be emailed to TxDMV Purchasing Director and they will upload the document into CAPPS.

1.3 Grant Folder Procedures

1.3.1 Grant Folder Filing Format

1.3.1. Grant Folder Filing Format When the grant award statement and Acceptance Notice are returned to ABTPA by the grantee jurisdictions, the grant coordinators are responsible for the following:

a. Confirm the signature on the award document is consistent and matches the signature indicated on the Resolution submitted with the application by the governing body.
b. Once the grant coordinators confirm the signature they will certify the application as "complete" and write their certification on the award statement as follow; Complete, Coordinator's Initials, and the Date Certified as "complete".
c. Grant Coordinators shall turn all certified complete award to Administrative Assistant.
d. The Administrative Assistant will create a requisition in CAPPS and create the FY16 file.
e. Grant Coordinators will file the Grant Award Statement in the Grantees grant file.

For consistency the following format must be followed when filing grant documents.
Right side of folder:

- Statement of Grant Award on top.
- Amendments and grant stapled behind the Statement of Grant Award.

Left side of folder:

- Any other information in chronological order with the most recent information on top.

1.4 Mail Procedures

The purpose of this SOP is to ensure that the incoming mail is distributed in a timely manner to ABTPA staff.

The mail is picked up and delivered each morning and afternoon to the ABTPA mailbox on the first floor of Building five (5) by the TxDMV mailroom.

Incoming Mail

- Open all mail and date stamp
- Link to log in incoming mail: \\Txdot-hq41\chdata2\ATP\GROUPS\ABTPA\Maillog
- Enter date received, who the correspondence is from the type of correspondence and the initials of the person mail is routed to
- Route mail to appropriate staff.

Outgoing Mail

- Link to log in outgoing mail: \\Txdot-hq41\chdata2\ATP\GROUPS\ABTPA\Maillog
- Enter date mail was sent, the recipient, type of correspondence and initials of ABTPA staff sending item
- Regular #10 envelopes do not need to be sealed
- If mail is sent for overnight delivery, place a label marked **OVERNIGHT** on package. Mailroom sends tracking notice to ADMIN
- For overnight mail to an ABPTA Board Member, forward tracking notice the mailroom sends to the ADMIN so Board Member will know when to expect delivery
- For outgoing mail to state agencies with a physical address, place a label on envelope or package marked INTERAGENCY. Interagency mail sent to a state agency post office box is routed through regular mail.
- For large packages, email the mailroom at DMV_MAILROOM@txdmv.gov or call the mailroom at (512) 465-7426 to schedule a pickup.

1.5 Contact Information

The purpose of this SOP is to ensure that the ABTPA staff has immediate access to accurate grantee and Board Member contact information.

Contact information is to be monitored and updated as needed. The following contact lists are located at \\Txdot-hq41\chdata2\ATP\GROUPS\ABTPA_Contacts

- Board Member Contact List
- Board Member Contact List (Public)
- Grantee Contact List
- Grantee Contact List (Public)
- Authorized Official Contact List
- Financial Officer Contact List
- ABTPA Staff Contacts
- State ATPA Contacts
- Strategic Communication Partners (To be determined)

Update contact lists as needed

- ADMIN updates all contact lists as information changes.
- Grantee contact lists are updated at the beginning of each grant year and as needed when there are personnel changes.
- Grant Coordinators advise ADMIN of any personnel changes.

1.6 Travel

1.6.1 ABTPA Staff Travel

The purpose of this SOP is to provide guidelines and procedures that follow state and TxDMV travel policies when making travel arrangements for ABTPA staff members.

Coordinate Travel Arrangements

- The ABTPA Administrative Assistant (ADMIN) coordinates travel arrangements with ABTPA Director and staff as soon as travel dates are available.
- ADMIN refers to TxDMV travel policies and forms located at http://mydmv/fas/#accounting when making travel arrangements.
- For out-of-state travel a *Travel Authorization* form must be completed and submitted to the ABTPA Director.
- If staff member prefers a travel advance a *Travel Expense* form must be completed.

Making Travel Reservations

- It is preferred that airline, rental car and hotel reservations are direct billed with the state travel card that is issued to ABTPA.
- TxDMV policy requires that airline reservations be made at least one month prior to travel to avoid higher airfares.
- A TxDMV fleet vehicle can be reserved and instructions for reserving and operating a fleet vehicle are located at http://mydmv/fas/#accounting.
- If a TxDMV fleet vehicle is not available staff member can utilize a rental vehicle or a privately owned vehicle (POV).
    - Rental Vehicle – ADMIN reserves vehicle with TxDMV travel card.
    - POV – staff member drives their personal vehicle and are reimbursed for mileage at the current state rate. All mileage is calculated with MapQuest and the shortest distance between points of travel.
- ADMIN makes hotel reservations for Board Members following state and TxDMV guidelines and Federal per diem rates.
- Federal per diem rates are located at http://www.gsa.gov/portal/content/104877?utm_source=OGP&utm_medium=print-radio&utm_term=perdiem&utm_campaign=shortcuts
- If a block of hotel rooms has been reserved for a meeting, make the staff's reservations as soon as the block is available to ensure reservations will be in that block of rooms.
- ADMIN confirms and reviews reservations for accuracy and emails confirmations to staff members.

Itinerary

ADMIN prepares and emails an itinerary to staff member one (1) week before travel date. The following link will take you to the itinerary form \\Txdot-hq41\chdata2\ATP\GROUPS\ABTPA\Travel\Travel Expense FY 16_Travel Forms\Blank Itinerary.doc

Reimbursement

- Staff member submits all receipts to ADMIN within three (3) business days of travel.
- ADMIN prepares the Travel Expense form within three business days of receipt. Both in-state and out-of state travel forms are located at http://mydmv/fas/#accounting.
- ADMIN prepares travel expense form.
- Staff member reviews and signs travel expense form.

- ABTPA Director Reviews and signs staff travel expense form.
- TxDMV Deputy Executive Director reviews and signs ABTPA Director's travel expense form.
- ADMIN submits signed travel expense forms to DMV_Employee-Reimbursements@txdmv.gov
- Payment is made to staff member by direct deposit or a warrant.

Procedures for TxDMV direct billing and TxDMV credit card

- ADMIN completes forms for direct billing and credit card purchases following the same review, signature and submission procedures as the travel expense form. For direct billing or credit card purchases there is no reimbursement to the staff member. The appropriate form is completed and submitted to DMV_TravelExp-Acct@txdmv.gov
- Forms for Enterprise Rental Card Direct Bill, Hotel Direct Bill, hotel form for CitiBank Credit Card and airline form for CitiBank Credit Card are located at http://mydmv/fas/#accounting.

1.6.2 Board Member Travel

The purpose of this SOP is to provide guidelines and procedures that follow state and TxDMV travel policies when making travel arrangements for ABTPA staff members.

The ABTPA Administrative Assistant (ADMIN) contacts each Board Member at least thirty (30) days prior to a meeting to confirm attendance and coordinate travel arrangements. If the 30 days advance travel is not met the ADMIN will document the reason on the travel request and travel reimbursement.

Making Reservations

- ADMIN follows TxDMV policy and makes airline reservations at least one (1) month prior to travel.
- It is preferred that Board Member's airline, rental car and hotel reservations are direct billed with the state travel card that is issued to the ABTPA.
- Coordinate travel from airport to hotel or meeting venue. Options are a rental car, taxi or shuttle. The ADMIN can reserve a rental vehicle in advance using the TxDMV direct billing method with Enterprise Rent-A-Car.
- Some Board Members prefer to make their own reservations, which is acceptable, as long as they follow TxDMV policies and procedures. The Admin will ensure board members that indicate that they will make their own travel arrangements have the information required to maintain compliance.
- ADMIN makes hotel reservations for Board Members following state and TxDMV guidelines and Federal per diem rates. Federal per diem rates are located at http://www.gsa.gov/portal/content/104877?utm_source=OGP&utm_medium=print-radio&utm_term=perdiem&utm_campaign=shortcuts
- If a block of hotel rooms has been reserved for a meeting, make the Board's reservations as soon as the block is available to ensure their reservation will be within that block of rooms.
- ADMIN confirms and reviews reservations for accuracy and emails confirmations to the Board Members.

Itinerary and Board Travel Worksheet

- ADMIN emails itinerary and travel worksheet to Board Members at least one (1) week before travel date.
- Prepare an itinerary reflecting travel arrangements for each Board Member. A blank itinerary is located at \\Txdot-hq41\chdata2\ATP\GROUPS\ABTPA\Travel\Travel Expense FY 16_Travel Forms\Blank Itinerary.doc
- The Board Travel Worksheet is located at \\Txdot-hq41\chdata2\ATP\GROUPS\ABTPA\Travel\ABTPA Board Travel Worksheet2.doc

Reimbursement

- Board Member emails all receipts to ADMIN within three (3) business days of last day of travel. Reimbursement forms are located at http://mydmv/fas/#accounting
- ABTPA Director reviews completed travel expense form.
- ADMIN emails completed form to Board Member for their review and signature.
- Board Member reviews, sign and emails signature page to ADMIN.
- ABPTA Director signs travel expense form.
- ADMIN adds Board Member's ID to form before submitting to Finance at DMV_EmployeeReimbursements@txdmv.gov.
- Payment is made to Board Member with a warrant. Finance will contact ADMIN when warrant is received. ADMIN mails the warrant to the appropriate Board Member via overnight mail. ADMIN forwards the tracking number received from the mailroom to Board Member so they will know when to expect delivery. Procedures for TxDMV direct billing and TxDMV credit card
- ADMIN completes forms for direct billing or credit card purchases and follows same review, signature and submission procedures as the travel expense form. For direct billing or credit card purchases there is no reimbursement to Board Member. All travel forms are located at http://mydmv/search/fas.php?query=accounting operations travel.

Mileage Reimbursement

- Mileage is calculated with MapQuest from designated headquarters to destination using shortest distance.
- Mileage can also be calculated using odometer reading. The odometer is used to calculate the number of miles of the shortest or most cost-effective reasonably safe route between points. Those miles are not reimbursable unless the traveler properly itemizes the mileage on a point-to-point basis. The itemization must be sufficiently detailed for TxDMV reimbursing the mileage to verify that number, if TxDMV wanted to do so. For the purpose of this paragraph, "point" means a building, house, highway intersection or other similarly-localized spot.

1.7 Inventory

TxDMV Inventory Coordinator

The ABTPA Coordinator for TxDMV is designated by the Division Director. ADMIN is the current ABTPA Inventory Coordinator designated by the Division Director.

Primary responsibilities are:

- Certifying assets and physical locations to meet asset accounting and validation requirements for your division.
- Ensuring bar code asset tag placements.
- Coordinating with agency staff and/or the Agency Property Manager to process needed forms/documents.
- Assisting in the preparation of annual physical inventory submissions as required by Division Director.
- Compiling and maintaining equipment records for your Division.
- Processing and submitting appropriate and accurate asses related forms/documents and submission of accurate inventory reports to Finance & Administrative Services.

Assets are:

- Real or personal property that has an estimated life of greater than one year. It is not a consumable item.
- Most accountable assets have a single unit value of $5,000 or more.
- Items from specific asset types that are considered high-risk such as desktop and laptop computers, cameras.

1.8 Purchasing

The ABTPA Purchasing Coordinator follows TxDMV guidelines and submits all purchase requests through the Centralized Accounting and Payroll/Personnel System (CAPPS).

1.9 Interagency Contracts

1.9.1 Interagency Cooperation Contracts

The purpose of this SOP is to ensure prompt payment for services performed in accordance with Interagency Cooperation Contracts between the TxDMV/ABTPA and designated agency.

Scope of services performed and terms of payment are listed in the contract.

Upon receipt of invoice the designated ABTPA contact receives payment in the TxDMV Centralized Accounting & Payroll/Personnel System (CAPPS).

Upon termination of contract, the ABTPA contact will initiate a new contract by contacting the TxDMV Purchasing Division and entering a purchase request in CAPPS. Appropriate changes are made on the new contract. Once the contract is entered into CAPPS, purchasing will obtain signatures from the TxDMV Executive Director and the designated agency.

1.9.2. Interagency Cooperation Contract with the Texas Comptroller of Public Accounts

The purpose of this SOP is to ensure prompt payment to the Comptroller of Public Accounts (CPA) for services performed in accordance with the Interagency Cooperation Contract between the TxDMV/ABTPA and the CPA.

Scope of services performed is listed in the contract. The contract term is two years and shall not exceed $20,000. Contract terminates on August 31 of odd numbered fiscal years. Payments of $10,000 are billed annually in July and are due upon receipt of invoice. Invoices are emailed to the designated ABTPA contact.

Upon receipt of invoice the designated ABTPA contact receives payment in the TxDMV Centralized Accounting & Payroll/Personnel System (CAPPS).

Upon termination of the two year contract, the ABTPA contact will initiate a new contract by contacting the TxDMV Purchasing Division and entering a purchase request in CAPPS. Appropriate changes are made on the new contract. Once the contract is entered into CAPPS, purchasing will obtain signatures from the TxDMV Executive Director and the CPA Deputy Comptroller.

CPA Contact:

Ms. Marlo F. King
Texas Comptroller of Public Accounts
Budget & Internal Accounting
marlo.king@cpa.state.tx.us
512-936-8594 (w)
512-936-6184 (fax)

1.10 Records Retention

The ABTPA Administrator for TxDMV is designated by the Division Director and serves as a liaison and local point of contact for information and procedures relating to the agency's records management program.

All hard copy documents that are received from grantees need to be read and retained until cleared by the TxDMV Retention Schedule.

1.11 Open Records

The purpose of this SOP is to ensure a prompt response to Open Record Requests as requested by the TxDMV Office of General Counsel (OGC).

- ABTPA Open Records Coordinator responds to Open Record Requests as requested by the TxDMV GOC.

- Open Record Requests are generally received by mail, Email or fax.
- All Open Record Requests must be received in writing. If a telephone request is received, advise the requestor to submit the request in writing.
- Forward the request to OGC at OGCOpenRecords@txDMV.gov and copy ABTPA Director. ABTPA Open Records Coordinator follows OGC's instructions to process the request.

- TxDMV Open Records Coordinator is responsible for entering the ABTPA Open Records Report each month at http://dmv-intranet-web/apps/dmvopenrecords/.
- Save report at: \\Txdot-hq41\chdata2\ATP\GROUPS\ABTPA\Open Records\DMV Open Records Reports.
- Email a copy of the report to the OGC Open Records Coordinator and cc the ABTPA Director.

1.12 Copier Use Reporting

Receiving copier in CAPPS

- The ABTPA Administrative Assistant (ADMIN) runs a copier usage report at the close of business on the last working day of each month.
- TxDMV purchasing will email an invoice to ADMIN. ADMIN receives the invoice in CAPPS. For CAPPS assistance go to http://mydmv/fas/capps/.

  Any overages will be stated on the invoice

  ADMIN maintains a log of the overages at \\Txdot-hq41\chdata2\ATP\GROUPS\ABTPA\Administrative General\Toshiba Copier\Copier Overages.xls.

  It is the ADMIN's responsibility to monitor the log, so the overages do not exceed the purchase order amount.

  If the overages are exceeded before termination of the least ADMIN contacts TxDMV purchasing to request a Purchase Order Change (POC).

Lease Expiration and Renewal

ADMIN is responsible for renewing the copier lease generally every three years.

- ADMIN works with TxDMV purchasing to secure a new lease with the TxDMV contracted vendor.
- ADMIN and ABTPA Director review current contract to determine if any modifications need to be made to the new contract.
- It is important to estimate approximately how many copies will be made during the contract period. The estimate can be based on previous contract.
- This estimate is generally kept lower, then additional black/white and color copies are added to the contract as an overage. This avoids excessive charges if few copies are made.
- After a copier is selected that meets ABTPA needs, AFDMIN enters a purchase request in CAPPS.
- After the lease period copiers are generally upgraded to a newer model.

1.13 ABTPA Leave Policies

Sick Leave – Staff member notifies ABTPA Director by email that they are using sick leave. Email Subject Line Example: BM 3 HR SL. Employee enters SL on the ABTPA Community Calendar.

Annual Leave – Staff member emails ABTPA Director requesting Annual Leave. Email Subject Line Example: BM 8 hr VL. Employee enters VL on the ABTPA Community Calendar after the ABTPA Director has approved the requested Annual Leave.

1.14 Staff Training

ABTPA staff is required to participate in training courses to enhance certain skillsets to continue working to fortify the foundation and mission of ABTPA.

Within 2 years of employment, staff is required to attend basic auto theft training conducted by National Insurance Crime Bureau and/or Texas Association of Auto Theft Investigators.

Staff is also required to participate in the following program monitoring training courses by the State Auditor's Office:

Auditing Essentials

The course focuses on planning audits, collecting/analyzing data, standards and tests of evidence and report writing basics.

Understanding the Yellow Book

The course focuses on the Yellow Book, or Generally Accepted Government Auditing Standards, the "recipe book" for performing audits.

Developing/Presenting Reportable Findings

The course focuses on developing and presenting compelling findings that comply with Yellow Book standards and fully address audit objectives. The course also covers how to present findings.

Staff is also encouraged to attend general business and/or computer training courses to enhance skillsets.

1.14.1 Procedure for Requesting Staff Training

- Staff member identifies training need and seeks approval from ABTPA Director.
- Upon approval, staff member advises ADMIN of training request.
- Staff member reviews training request with ADMIN and provides ADMIN with necessary documentation.
- ADMIN creates a requisition in CAPPS for the training.
- Staff member attends training.
- When training has been completed ADMINN receives the invoice in CAPPS.
- Staff member emails certificate of completion to HR Training Coordinator and copies ABTPA Director by email.

2 Educational Programs, Marketing and Internet

2.1 Educational Programs

Section 8 of the statute (TRCS Art. 4413(37)) requires that money appropriated for ABTPA purposes shall be used to conduct "educational programs designed to inform automobile owners of methods of preventing automobile burglary or theft."

This SOP explains the procedures for conducting educational programs, as well as marketing programs that are allowed under Texas law.

The scope applies directly to ABTPA Staff, including the Director, Public Affairs [Position], Grant Coordinators, as well as Grantees. (ABTPA Grantees are not on staff but their activities that are connected to grant funds may be controlled by ABTPA policies and procedures.)

The procedures in the SOP shall be reviewed annually by the appropriate administrator or more frequently as deemed necessary. Any recommended procedures should be initiated by the appropriate administrator.

The following roles and responsibilities may be applicable to this SOP:

- ABTPA Director
- ABTPA Public Affairs/Grant Coordinator
- DMV's Government and Strategic Communications Director
- ABTPA Grantees

2.1.1 Educational Program Categories

ABTPA's educational and marketing programs are composed of (but not limited to) six categories including:

- Internet/Intranet
- Service Mark License Agreement
- Printed Material
- Promotional Items
- Social Media, and
- Traditional Media

2.1.1.1 Internet/Intranet

ABTPA staff shall ensure that content on the TxDMV Internet and Intranet pages are current, accurate, and available to public consumers, ABTPA grantees, and agency personnel.

- Determine content to be placed on the ABTPA site. Plan and research accuracy of content to be placed on the web.
- ADMIN sends email to appropriate staff in Government and Strategic Communications and Information Technology Services alerting them that important information will be emailed.
- Grant Coordinator emails content.
- ADMIN follows up three (3) to five (5) days after first email to verify that new or updated content has been placed on web page.
- Grant Coordinator and ADMIN review web pages every other month checking for broken links, relevancy and that content is current.
- ADMIN advises Grant Coordinator of issues that need to be resolved.
- Grant Coordinator emails updated content to appropriate GSC and IT staff.
- ADMIN relays any comments or complaints concerning the web site to the ABTPA Director and Grant Coordinator.

2.1.1.2 Service Mark License Agreement

Any educational or marketing activities that use ABTPA intellectual property should be carried out in a manner that preserves ABTPA's ownership of all rights, title and interest in and to Service Marks.

The following ABTPA service marks are registered with the United States Patent and Trademark Office: "Protect It. It's Yours.", "Protect It. It's Yours. Never Unlocked. Nothing in View.", "You Hold the Key" and "Watch Your Car".

Governmental entities may enter into an agreement with ABTPA to utilize its service marks at no charge. Non-governmental entities are considered on a case-by-case basis.

Procedure to Execute Service Mark License Agreement

- ABTPA Grant Coordinator provides agreement to grantees at the beginning of grant periods. Beginning in the FY17 grant cycle, the agreement and instructions will be provided with the Statement of Grant Award
- ABTPA emails agreement to entity. Agreement form located:
- Entity submits signed form back to ABTPA via email. A scanned PDF with the appropriate signature is sufficient.
- ABTPA staff documents entity's information on the form located:
- The term of the agreement is for four (4) years from effective date. ABTPA staff reviews documentation form on a regular basis to check for expirations.
- ABTPA staff contacts entity when their license agreement is expiring.

2.1.1.3 Printed Material

Definition: Printed Material includes brochures, one-pagers, information cards, or other printed items that are primarily used to educate automobile owners of methods of preventing automobile burglary or theft. Printed Material may also be used to educate local law enforcement about funding opportunities or about ABTPA's efforts thoughout the state.

In developing Printed Material, ABTPA will follow TxDMV policies and procedures related to information that is distributed to the public. When appropriate and necessary, ABTPA's staff will consult with TxDMV's Government and Strategic Communications Division and will submit drafts of material to the TxDMV's legal department before finalizing printed material.

Printed Material also includes a considerable inventory of Legacy Material that was developed and distributed before this SOP. Legacy Material may still be useful and will be distributed when appropriate.

Legacy Material

- Conduct yearly content review.
- Maintain an inventory.
- Prepare distribution plan.
- Prepare request response.

2.1.1.4 Promotional Items

Definition: Promotional Items are produced or obtained by ABTPA for use in agency and grantee Educational Programs. In developing Promotional Items, ABTPA often considers the potential educational value of the item, asking: "Does this help the public to remember to take precautions to avoid and prevent automobile theft and/or automobile burglary." Promotional items may feature branding that includes ABTPA service marks.

Promotional Items will be obtained by following TxDMV requisition requirements and all relevant state laws related to purchasing.

The concept and design of Promotional Items is conducted by ABTPA staff with input from grantees throughout the state with extensive educational program experience. ABTPA will seek input from TxDMV's Government and Strategic Communications Division. ABTPA may rely on 3rd party vendors to manufacture most of the Promotional Items.

Distribution is coordinated by ABTPA Public Affairs/Grant Coordinator and by other ABTPA Staff under the supervision of the ABTPA Director and will be conducted according to relevant TxDMV shipping and delivery procedures.

The ABTPA Public Affairs/Grant Coordinator will develop a Distribution Plan each year and will review the plan on a quarterly basis to ensure that the operation meets the actual demand in the field.

An overall Inventory List will be maintained by ABTPA staff on an annual basis.

In addition to grantees, other law enforcement agencies, non-profit organizations, and concerned individuals may order Promotional Material to conduct local educational programs. The fulfillment process for such requests will be included in the Distribution Plan. Specific requests will be tracked by ABTPA staff by an appropriate method that may include an excel spreadsheet or MS Access Database. The data from requests will be used to formulate estimates of the following year's development and distribution of Promotional Items.

2.1.1.5 Social Media

ABTPA Staff will use Social Media (including examples such as Twitter, YoutTube, and other social networking platforms) to promote ABTPA's work as well as the efforts that grantees make to combat Automobile Burlgary and Theft. Social Media can be a powerful educational tool and may have potential as a tool in combating automobile theft and automobile burglary.

ABTPA will use Social Media according to relevant policies and rules established by TxDMV.

In some cases, ABTPA may consult with TxDMV's Government and Strategic Communications Division before a major Social Media initiative is launched.

2.1.1.6 Traditional Media

Traditional Media includes television, cable, radio, film, and news print. In the past, ABTPA has purchased air time to broadcast public service announcements as a part of its efforts to educate the public about combating automobile theft and automobile burglary.

Consistent with TxDMV policies and procedures, any inquiry from the press will be routed to the ABTPA Director.

The development of any campaigns for Traditional Media will be conducted according to TxDMV policies and procedures. ABTPA staff will consult with TxDMV's Govenrment and Strategic Communications Divison before and during the development of any activities that involve Traditional Media.

2.2 Grant Team Meetings

Definition: All grantees (Task Forces, local law enforcement agencies, other) are divided into "Teams" which are assigned to one ABTPA Grant Coordinators. For the most part, the Teams were formed according to geographic proximity but this is not always the case. Each month, grantees are required to participate in a meeting that is conducted by conference call or by webinar. The purpose of the meeting is to serve as a forum for exchanging important information about automobile burglary and automobile theft in Texas. Additionally, the Grant Team Meetings serve as a regular opportunity for ABTPA Staff to provide important information to grantees, including reminders about upcoming due dates as well as grant rules and procedures.

Grant Team Meetings are moderated by the assigned Grant Coordinator.

A record of attendance is maintained through a roll-call.

After each call, the Grant Coordinator shall email a brief summary of the relevant points that were raised during the Grant Team Meeting. Reminders and other information related to Grant Team Meetings are distributed by email by the ABTPA Administrative Assistance.

In addition to assessing the overall utility and effectiveness of the Grant Team Meeting practice, the ABTPA Public Affairs/Grant Coordinator makes recommendations to enhance the exchange of valuable information to combat automobile theft and automobile burglary, or to better track trends throughout the state.

Finally, the ABTPA Public Affairs/Grant Coordinator monitors Grant Team Meetings for upcoming local Educational Programs that may benefit from coverage in Social Media or Traditional Media.

2.3 Publications

The ABTPA Public Affairs/Grant Coordinator is responsible for assisting the ABTPA Director and other staff with the creation of Publications in addition to the activities already described under Educational Programs-Printed Material. Specific examples of Publications activities include researching, writing, editing, layout/design, as well as developing or acquiring other art work and illustrations for publications. ABTPA has identified 3 major categories of publications:

2.3.1. Print Media

2.3.2. Social Media

2.3.3. Ad Hoc Media

General examples of publications include reports, manuals, instructions, forms, press advisories, event announcements and presentations.

Publications will be developed and distributed according to relevant TxDMV policies and procedures.

2.4 Statutory Publications

The three following publications will be completed timely by ABTPA staff according to statute:

2.4.1 Plan of Operations

2.4.2 Report of Activities

2.4.3 Annual Fiscal Report

3 Internal Grant Admin

3.1 Intent to Apply

Intent to Apply is a step prior to the grant application process for new applicants. The "Intent to Apply" process serves as a screening method to determine the "goodness of fit" between ABTPA and those looking to receive grant funding through the Program.

In the "screening process" it is designed to evaluate those exploring a grant. The "Intent to Apply" process does not prevent a potential new grant applicant from applying for ABTPA funding, it does however, (through strategic questioning) offer potential grant applicants realistic views of grantee requirements prior to officially applying for ABTPA funding.

First Time Grant Applicant:

1. The potential new grant applicant goes to the ABTPA website and views "Intent to Apply" video.
2. Potential new grant applicant shall complete and submit intent to apply form to GantsABTPA@txdmv.gov.
3. ABTPA staff shall conduct an assessment of the submitted "Intent to Apply" form.
4. ABTPA conducts "coverage area analysis" of identified service area (outlined by potential new grant applicant) and areas currently being serviced by an organization receiving ABTPA funds. (Included in the documentation is information regarding the mandatory grantee workshop).
5. ABTPA provides documented recommendations to potential new grant applicant based upon information provided to ABTPA via the "Intent to Apply" form and the coverage area analysis.
6. Assessment documentation will be filed in the T:Drive Intent to Apply Folder created for FY.

Intent to apply Key Data Elements:

- Historical data (for intended coverage area of potential new grant applicant. UCR numbers for past 3 years).
- 20% cash match justification
- Personnel/resource dedication information
- Function of proposed project information
- Grant categories
- Eligible entity information

3.2 Grant Application Process

The ABTPA process of awarding grants begins in the "Review of Grant Application" process, each application undergoes a thorough assessment conducted by each ABTPA member of the Evaluation Team. The application is then re-assessed in a group discussion forum.

The grant award process, starting with the grant application, links application scores, past performance, exemplary taskforce program initiatives and unique circumstances in order to determine a grantee's award amount.

Review of Grant Application:

- The ABTPA "Evaluation Team" will review the grant applications.
- The Team shall consist of ABTPA Staff and the designated ABTPA Board Liaison.
- The Team will individually read and score all grant applications using the "ABTPA Grant Evaluation Scoring Sheet (Appendix X).
- Team engages in group discussion of all grant applications and their respective scores.
- The average cumulative score for all grant applicants is determined. General Counsel should be available for guidance.

The Team reviews the grant award amounts determined through the scoring criteria and applies judgment regarding current events.

Grant Award Process:

- The Team applies the scores and required historical information into the “Award Allocation Spreadsheet” (Appendix X).
- The Team provides the ABTPA Board with a grant scoring criteria summary, supporting documents and recommendations for grant awards and amounts, two weeks (2) prior to the Annual Awards Meeting.
- ABTPA Board vets the recommendations and supporting documents with the Board Liaison and should ask necessary questions to determine their recommendation. General Counsel should be available for guidance.
- ABTPA Board makes the final decision regarding grant awards and funding amounts.
- Grant applicants shall be notified during the “Annual Awards Meeting” if they were awarded a grant and the amount of the award.
- The ABTPA Board Chairman shall provide written notifications to those grant applicants not awarded a grant, explaining why they were not selected.

3.3 Grant Program Administration

3.3.1 Communication with Grantees

The main purpose for exchanging information with applicants and grantees is to ensure ABTPA provides complete and accurate information. ABTPA staff shall follow the following guidelines for communication.

Telephone Calls: ABTPA staff shall follow up with an e-mail summarizing the conversation with a cc to ABTPA director and staff members, so everyone is informed. Telephone calls shall be returned as soon as practical but no more than three (3) days.

Emails: As soon as practical but no more than three (3) days.

ABTPA staff shall use the following effective communication guidelines when responding to in-coming calls, e-mails, or correspondence, etc:

Be Clear and Concrete. Points are easy to understand; ideas come across as practical.

Be Courteous and Collegial. The person on the other end of the communication feels valued and respected

Be Current and Consistent. Information is up-to-date; correspondents get the same message, whether you are communicating in writing, telephone, email on the web, or by other media.

Be Concise. Communication gets to the point quickly; nothing seems needlessly time-consuming; those calls for action — are presented right at the beginning.

3.3.2 Grant Adjustments

A Grant Adjustment Request is an official request to make a budget or programmatic change to a grant.

Effective grant management should eliminate the need for most grant adjustments. The grant Project Director or Project Manager is authorized by ABTPA to submit a grant adjustment.

No grant adjustment may be made after July 31 of each year.

Before the review:

1. A Grant Adjustment file should be created on the T: Drive for each grant cycle.
2. ABTPA staff should create a grant adjustment log-in sheet for each grant year and save it on the T:Drive, with the following columns: Grantee Name/Number, Date Received, Type of Adjustment, Adjustment Description, Amount (if Budget Change) Review Date Completed and Reviewed By (for staff's initials).

Upon receipt of Grant Adjustment Form:

1. ABTPA staff to route Grant Adjustment Form to respective Grant Coordinator (GC).
2. GC to save Grant Adjustment Form on the T: Drive by Grantee name and sequential order.
3. GC to send Grantee Project Director/Project Manager an acknowledgment notice via email within (2) working days of receipt of the request.
4. GC to complete log-in sheet with Grantee Name/Number, Date Received, Type of Adjustment, Adjustment Description, Amount (if Budget Change) Review Date Completed and Reviewed By (for staff's initials).
5. GC to review request within 5 business data to assess if information is sufficient to make a determination for approval or denial.

6. If more information is needed, GC to issue a Grant Adjustment Notice as an official response to adjustment request which will be designated as "change requested." Request will be emailed to Project Director/Project Manager. If phone call is made, GC to send follow-up email.
7. GC to prepare email with recommendation to ABTPA Director.
8. ABTPA Director to respond to GC email with final recommendation.

After Grant Adjustment Review:

1. GC to issue a Grant Adjustment Notice as an official response to adjustment request which will be designated as "denied," or "approved."
2. GC to send Grant Adjustment Notice via email to Project Director/Project Manager with a copy to Financial Officer. Notice will include an approved budget summary.
3. Electronic or hard copy form must be retained in accordance with agency guidelines or other applicable retention rules, or for a minimum of three years from the date of the submission.

Grantee Official Contact Change:

1. Upon receipt of notification of official contact change, Grant Coordinator to email an acknowledgement to grantee that change has been received and file has been updated accordingly.

3.3.3 Program Reporting

3.3.3.1 Progress Reports

Each grantee is required to submit monthly Excel progress report by the 10th calendar day of the month in accordance with instructions provided by ABTPA. The final end-of-year report must include a summary of their performance measures established for the grant program. The year-end report is due October 15. It must have the Project Director/Project Manager name on the authorized block of the progress reports and check the box certifying the report is true and correct.

Before the Review:

Create a Progress Report log-in sheet for each grant year and save it on the T:Drive, with the following columns: Grantee Name/Number, Date Received, Review Date Completed and Reviewed By (for staff's initials).

1. A Progress Report File should be created in the T: Drive for each grant cycle.
2. Save all Grantee Property Inventory Excel form on the T: Drive by Grantee name.

Upon receipt of the Monthly Progress Reports:

1. Date record reports received
2. Send grantee acknowledgement notification within five (5) working days.
3. Review report for needed data and accurate numbers.
4. Staff should contact grantee for missing summary of activities or clarification of required data.
5. Follow up on if progress report is not received by deadline.
6. Request for funds may be held due to delinquent reports. List of grantee names with delinquent report is then supplied to the ABTPA director.

After the Review:

ABTPA staff shall fill out the Progress Report login form located in the T: Drive and fill out the following columns: Review Date Completed and Reviewed By (for staff's initials).

3.3.3.2 Expenditure Reports

Each grantee is required to submit a financial quarterly expenditure reports. This report contains the approved grant budget summary and total expenditures by quarter; as well as an analysis of expenditures by quarter, including both ABTPA expenditures and cash or alternative match. The report also provides a summary of cumulative expenditures of program income, in-kind match, confidential funds, and funds obligated.

The report must be certified, signed, and submitted by the grants designated financial officer or alternate signatory for the grant.

Expenditure Reports shall be submitted via e-mail to GrantsABTPA@txdmv.gov with an e-mail copy to the respective Grant Coordinator. The Excel version and the signed scanned version shall be submitted by e-mail.

Before the review:

- An Expenditure Report file should be created on the T: Drive for each grant cycle.
- ABTPA staff should create an Expenditure Report log-in sheet for each grant year and save it on the T:Drive, with the following columns: Grantee Name/Number, Date Received, Review Date Completed and Reviewed By (for staff's initials).

Upon receipt of Grant Adjustment Form:

- ABTPA staff to route Expenditure Report Form (excel version and signed scanned version) to respective Grant Coordinator (GC).
- GC to save Expenditure Reports on the T: Drive by Grantee name and respective Quarter.
- GC to send Grantee Financial Officer/ Designee an acknowledgment notice via email within two (2) working days of receipt of the report.
- GC to complete log-in sheet with Grantee Name/Number, Date Received, Review Date Completed and Reviewed By (for staff's initials).
- GC to review Expenditure report within 5 business data to assess if information provided is sufficient for approval of payment.
  a. Ensure all required fields are complete.
  b. Review scanned version to verify Financial Officer/Designee signature.
  c. Verify form was submitted by Financial Officer/Designee.
  d. Review backup documentation to ensure that expenditures are listed on approved budget summary or have a corresponding approved grant adjustment on file. Expenditures must be allowable, reasonable timely, and must reconcile for the amount requested.

GC approves payment amount and begins Grant Financial Tracking Excel Dashboard procedures.
ABTPA User Guide for Grant Financial Tracking Excel Dashboard

I) Annual File Set Up
II) Quarterly Financial reports / Reimbursement Request / Voucher
III) Budget Balance/ Tracking/ Adjustments
IV) Status Tracking / Reporting / Statements

I) Annual File Set Up – to be done by the Grant Coordinator responsible for financial reporting and payments.

1) The coordinator shall verify that the tabs on the report match the current Grantee list and:
a. Delete any tabs for any grantees which are no longer receiving funding.
b. Copy an existing grantee tab for any new grantees.
i. For the new tab - update the tab name
ii. In the "Summary" tab, in the "Report Recd" stoplight section,
update names (in sequence), and formulas to include the current grantee roster.
iii. Ensure formulas in all sections include all tabs from first to last grantee.

2) For each Grantee Tab the coordinator shall:
a. Verify grantee name in cell B3
b. Update Grant number in cell B4
c. Delete data in the “Payment Log” starting at cell a64
d. Delete numeric values in numeric cells in columns J through U.
e. Update new values in the “Award Annual Budget Total” Section rows 3 through 11, with the approved grant budget. Verify ABTPA total ties to Grant award in cell E6.
f. Confirm Payee and address in cells Y12 –Y14 “grantee” match cell B3 and the Tab name, and that the address is up-to-date and correct.

3) For the Summary Tab the coordinator shall:
a. Update Fiscal Year in cell D5
b. Update Beginning / End Date in cell E5
c. Update the total ABTPA grant award amount in cell E6 and tie it out to the ABTPA total in cell S8.
d. Confirm All “Budget Adjustment” number values are zero.
e. Confirm “YTD” expenditure numbers are zero.
f. Confirm all “Financial Report Recd” stoplights are RED.
g. Confirm “Total Paid YTD” is zero.

II) Quarterly financial reports / Reimbursement Requests / Vouchers

Each quarter the grantees are required to submit a signed expenditure report. This report shall be in a standardized format. It should be submitted to the ABTPA in PDF and Excel formats.

1) When a report is received it should be reviewed by the coordinator for:
a. The “From” Email address matches the one designated by the grant official at last year end.
b. Proper approval
c. Narrative
d. Standard format (no changes)
e. Documentation / Attachments
f. Proper (allowed) expenditure

2) Once “reviewed and approved”, from #1 above, for each file received, the coordinator shall:
a. Open received file in a way where the content can be copied.
b. Open the Financial Tracking File and select the correct grantee tab
c. Copy values from 1a “Total” down to “Total grant funds amount requested” and over to “In-Kind”, from the received report into the identical range for the correct quarter in columns “I” through “M” of the Tracking file.
d. Save the file.

3) Once data has been input, the coordinator shall:
a. Update the Voucher number in cell AE3
b. Update the information in cells to Y7 to AE7
c. Review and update remaining information in data area of “Payment Voucher”
d. Print the “Voucher” area and submit for review / approval.
e. Save the file.

III) Budget Balance/ Tracking/ Adjustments

1) The initial awarded Budget Summary is updated at the beginning of the grant year by the coordinator.

2) Budget Adjustments are in a standardized format. They should be submitted in PDF and Excel.

3) Budget Adjustments should be submitted not more than once a Quarter.

4) The tracking system will allow up to 6 adjustments per year, (2 extra in case of an “off cycle” or ABPTA originated adjustment).

5) Budget numbers received should be presented as “net change” vs ”new or old budget”

6) When a report is received it should be reviewed by the coordinator for:
a. Proper approval
b. Narrative
c. Standard format (no changes)
d. Documentation / Attachments
e. Proper (allowed) expenditure

7) Once “approved”, from #6 above, for each file received the coordinator shall:
a. Open received file in a way where content can be copied.
b. Open the Financial Tracking File and select the correct grantee tab
c. Copy values from 1a “Total” down to “Total” and over to “In-Kind”, from the received report into the identical range, for the first empty receptacle, (from the top) in columns “R” through “U” of the Tracking File.
d. Save the file.

IV) Status Tracking / Reporting / Statements

1) Once input, the data will automatically update both the summary tab and the Y-T-D and Budget status sections of both the “Grantee” and “Summary” tabs and they will reflect the updated “Current Budget” and “Budget Remaining” sections of the spreadsheet.

2) Once updates have been completed, the left hand section of the spreadsheet tabs should be reviewed. On the grantee tabs any cells in RED indicate an out of tolerance condition and should be evaluated by the coordinator for correction or corrective action. On the Summary tab, the Budget Remaining should be GREEN, if a cell is RED it should be investigated by the coordinator. In the Financial Report Recd section all cells in the current or prior quarter should be GREEN, if any cell in this area is red, it indicates a report is missing and should be investigated by the coordinator.

3) If a grantee requests a statement showing expenses, budget status, or a list of payments, columns B-E of the grantees tab can be printed by the coordinator to provide a statement of the Grantees current position.

3.3.3.3 Other Reports

3.3.3.3.1 Grantee Property Inventory Review

Grantees shall demonstrate they are maintaining control of assets purchased in whole or part with ABTPA grant funds or cash match funds and submit an annual property inventory report to the ABTPA office by October 15th. The Inventory Report shall be submitted via e-mail to GrantsABTPA@txdmv.gov with an e-mail copy to the respective Grant Coordinator. The Excel version and the signed scanned version shall be submitted by e-mail. Grantees are required to take a physical inventory of all equipment on odd-numbered years. The results of this physical inventory shall be reconciled with the grantees property records at least once every two years.

Before the Review:

- ABTPA staff should create a log-in sheet for each grant year and save it on the T:Drive, with the following columns: Grantee Name/Number, Date Received, Review Date Completed and Reviewed By (for staff's initials).
- A Property Inventory File should be created in the T:Drive for each grant cycle.
- ABTPA staff shall notify each Grantee in writing at least fifteen (15) working days prior to the inventory report due date of October 15th.
- Save all Grantee Property Inventory Excel form on the T:Drive by Grantee name.
- Send Grantee Financial Officer/Project Director and/or designee an acknowledgment notice via email within (5) working days of receipt of the request.
- Date stamp all incoming grantee inventory reports.
- Send Grantee Financial Officer/Project Director and/or designee an acknowledgment notice via email within (5) working days of receipt of the request.
- Electronic or hard copy form must be retained in accordance with agency guidelines or other applicable retention rules, or for a minimum of three years from the date of the submission.
- Refer to the Grant Administrative Manual for specific Grantee Property Inventory requirements.

The Review:

- Retrieve grantee's inventory form from the T:Drive
- Staff will review the property inventory listing of all equipment purchased with grant funds, the date purchased, the funding source, the cost, the serial number or other identifying number, the physical location and disposition if equipment if any.
- Review all correspondence, disposition request, and vouchers submitted with the Request for Funds when reimbursement was requested, if applicable.
- Review date the voucher was dated and dollar amount.
- Review disposition actions to ensure it was annotated in the inventory report.
- Any differences between quantities determined during the review or physical inspection and those shown in the accounting records shall be investigated to determine the causes of the difference.
- Written policies and procedures, as well as the written inventory, must be made available to ABTPA upon request and may be reviewed during program site visits.
- During on-site monitoring ABTPA monitor must conduct a physical inspection of property shown on the grantee's inventory form.

After the Review:

ABTPA staff shall fill out the Inventory login form located in the T:Drive and fill out the following columns: Review Date Completed and Reviewed By (for staff's initials).

If differences were determined during the review a summary of the findings of the reconciliation and disposition actions to update the inventory must be made with the inventory report.

3.3.3.3.2 Disposition of Property Inventory

If the grantee has no need for the property, is no longer serviceable or the property has further use value, the grantee will submit a request for disposition of equipment and instructions from the ABTPA director.

The ABTPA Director shall issue instructions to the grantee no later than 120 days after the grantee's request, for the following: Authorizing the sale, auction or destruction of non- serviceable equipment. A grantee may be instructed to ship the property of value to other agencies needing the property.

3.3.4 Monitoring

3.3.4.1 Comprehensive Annual Financial Reviews (CAFRS/Single Audit)

The CAFR (Single Audit) process is derived from state requirements found in the Uniform Grant Management Standards (UGMS) Single Audit Circular. Grantees that expend $500,000 or more in a fiscal year in state awards must receive a single or program-specific audit. The purpose of the report is to ensure internal accounting and other internal control systems are in place to adequately ensure state funds are being managed and expended in accordance with laws and regulations.

3.3.4.1.1 Before Review

- Identify grantees due to provide CAFR based on the current threshold of $500,000 of ABTPA funds expended within a fiscal year.
- Send grantees a notification letter mid-January in order to provide a reminder of single audit requirements.
- Require grantees to submit a copy of the independent auditor's report on internal controls relating to financial statements, upon completion. The audit report can be sent by the following methods; providing a web link to grantee's audit report, via e-mail, or DVD disk.
- Grantee (s) who do not expend $500,000 within a fiscal year, shall submit communication in writing indicating a single audit was not required.

Definitions: The Comprehensive Annual Financial Report (CAFR) is a thorough and detailed presentation of the Grantee's financial condition. It reports on the Grantee's activities and balances for each fiscal year. The CAFR is presented in three sections:

Introductory section - includes transmittal letter.

Financial section - includes the independent auditor's report and contains management's discussion and analysis, government-wide financial statements, fund financial statements, notes to the financial statements, required supplementary information, combining financial statements, and schedules.

Statistical section - includes additional financial, economic, and demographic information.

3.3.4.1.2 Review

2.1 ABTPA staff shall maintain the "Record keeping Log for Comprehensive Annual Financial Report", to track collection and review of Grantee CAFR reports. This record is in an excel format and shall be maintained in the T:drive/Grant/Audit/Single Audit Desk Review Excel spreadsheet.

2.2 Date stamp date received

2.3 Retrieve Log-in Single Audit Report located in the T:drive/Grant/Audit/Single Audit Desk Review Excel spreadsheet.

1.4 Fill out the individual fields in the Excel Log-in for Single Audit Reports spreadsheet for.

- Name of City/County Grantee
- Date of Statement/Report prepared
- Format submitted (Paper, Electronic, or DVD)
- Type of Statement/Report
- Date received at ABTPA office
- Date review completed
- Management Letter

- Management Letter Received
- Calendar days to process

3.3.4.1.3 Checklist

Retrieve Log-in Single Audit Report located in the T:drive/Grant/Audit/Single Audit Desk Review Check List.

3.2 Review report and select "Yes" or "No" column to each of the questions pertaining to the six (6) categories on the check list.

- Qualifications
- Financial Statements
- Compliance (include Financial Statement/Page, Major Program/Page, Program Specific/Page) on the "Note" column
- Internal Controls (include Financial Statement/Page, Major Program/Page, Program Specific/Page) on the "Note" column
- Additional Information
- Add comments in the Reviewer Comments (if needed)
- Once the Single Audit review has been completed sign and put the date completed.

3.3.4.1.4 File

Add it to the T:drive file under FY XXX Single Audit Review Completed and a hard copy in the Grantees grant file.

3.3.4.1.5 Report Review (FORM)

Grantee Number, Grantee, Year Ending

Description		Notes
A. QUALIFICATIONS		
1. Does the audit report contain any indication that the auditor does not meet the qualifications or independence requirements?	☐Yes ☐ No	Per TSBPA Website:
2. Is the auditor a public accountant? Does the audit report identify the auditor as a CPA?	☐ Yes ☐ No ☐ Yes ☐ No	Name of Firm:
3. Is the auditor a state/local government employee? If so, is the auditor independent?	☐ Yes ☐ No ☐ Yes ☐ No	
B. FINANCIAL STATEMENTS		
1. Does the audit report include financial statements and a schedule of expenditures of Federal and/or state awards?	☐ Yes ☐ No	
2. Does the financial statements cover the entire operations of the recipient including all federal and/or state funds known to have been received?	☐ Yes ☐ No	
3. Does the auditor's report identify the statements examined and the periods covered?	☐ Yes ☐ No	Period Covered:

4. Does the auditor's report identify the various programs under which the organization received federal and/or state funds and the total amount of the expenditures for each program?	Yes ☐ No	
5. Does the auditor's report state that the audit was conducted in accordance with Government Auditing Standards?	Yes ☐ No	
6. Was ABTPA listed?	Yes No	Page:
7. Was Program Income listed?	☐ Yes No	Page:
8. Does the auditor's report express an opinion as to whether the financial statements are fairly presented in accordance with generally accepted accounting principles?	Yes ☐ No	
C. COMPLIANCE		
1. Does the auditor's report contain a statement of positive assurance with respect to those items tested for compliance?	Yes ☐ No	Financial Statement/Page: Major Program/Page: Program Specific/Page:
2. Does the auditor's report contain a schedule of findings and questioned costs?	Yes No	Progran Specific / Page:
3. Does the auditor's report contain the program, description and amounts questioned, If any, as a result of noncompliance?	Yes ☐ No	
D. INTERNAL CONTROLS		
1. Does the auditor's report indicate testing of internal controls over major programs to provide reasonable assurance of compliance with laws and regulations?	Yes ☐ No	Financial Statement/Page: Major Program/Page: Program Specific/Page:
E. ADDITIONAL INFORMATION		
1. Does the auditor's report contain a schedule of status of prior findings?	☐ Yes ☐ No	
2. Does the auditor's report contain a corrective action plan?	☐ Yes ☐ No	

Was there a risk to ABTPA indicated in this CAFR?

Yes ☐ No ☐

Reviewer Comments: ______________________________

____

____

LINK:

AUDIT REPORT REVIEWED BY: ______________________ **DATE:** ______________________

3.3.4.2 Desk Reviews

Overview/Purpose

Desk reviews are essentially an overarching appraisal of a grantee's award administration capacity. These reviews may include review areas such as: General Management, Accounting Systems, and Award Cash Management Reconciliation,

By gathering information in these core areas, the review assesses the extent to which an awardee maintains a controlled environment within which awards are likely to be administered in compliance with regulations and ABTPA grant agreement provisions. The process also ensures that ABTPA's recipient institutions are utilizing sound grant and administrative practices in order to achieve the purpose of their grant-funded projects.

Desk reviews of Grantees can be scheduled for routine reviews, based on prior findings, based on suspected or evidential risks, or in advance of a site visit. Each Grantee should expect a minimum of at least one desk review per year.

The objectives of this desk review process are to:

1. Determine whether expenditure reports for expenditures performed under ABTPA / UGMS are acceptable under the reporting requirements of ABTPA / UGMS.
2. Identify any quality issues that may warrant revisions to the expenditure report.
3. Identify any quality issues that may warrant follow-up field work.
4. Identify issues that may require management attention.

The desk review process entails the following steps:

1. Planning: The purpose of the planning phase is to design and prepare for the assessment.
2. Learning: The learning / collection phase is the cornerstone of the assessment process.
3. Analyze: Organizing and evaluating available information, is part of the assessment.
4. Sharing: Seek input from local stakeholders to validate the findings and action items.
5. Action: Deciding what type of action is indicated and feasible and articulates WHO will do WHAT by WHEN.

The desk review process begins when ABTPA sends a letter notifying the awardee that they have been selected to participate in a desk review. The awardee will also receive a request for documentation from a Grant Coordinator. Grantee must provide requested documentation within a reasonable time, not to exceed five (5) working days.

The Coordinator will correspond directly with the awardee to collect the required information and schedule one or more discussion calls. At the time of the review, Grantee staff may be asked for clarification or additional information on any grant related documentation.

After completion of the discussion call(s), the Coordinator may request additional documentation on any grant related documentation. In most cases, the Coordinator will then send a letter notifying the awardee about any issues identified during the review, and the awardee will be allowed a short period of time to respond and/or submit additional documentation. Last, the Coordinator compiles the draft desk review report for ABTPA Director review and approval. Throughout the desk review process, the Coordinator communicates the status of each desk review to the ABTPA Director, including any issues that may arise during the review.

After the desk review has been completed and approved by the ABTPA Director, the Grantee will receive a letter which provides feedback by describing any issues identified during the review. Awardees may be required to prepare a corrective action plan to remedy any deficiencies. ABTPA tracks the status of each awardee's implementation of a mutually agreed upon remedy until the issues are resolved. Minor concerns may not require a corrective action plan, but awardees are expected to address the issues promptly.

I) <u>Planning:</u>

1) Are the following reports filed, current, and have they been properly approved:
   a) Grant Application
   b) Grant Award and Acceptance
   c) Grant Progress Report
   d) Equipment Inventory
   e) Budget Adjustments if any.
   f) Prior desk reviews and site visits – must be reviewed
   g) Grantee correspondence
   h) Corrective action reports and completions
   i) Single audit (CAFR) report and review.

2) Select and request documents to be requested - supporting documentation:
   a) <u>Anything missing, deficient, or improperly approved</u> noted in file documents above.
   b) <u>Expenditure report documentation</u>:
      a. Any line item out of expected value e.g. over budget or not ratable for time period. e.g. personnel expense should be incurred evenly, so the Q2 expense report should show approximately half the personnel budget as being expended.
      b. In categories over 5% of total budget select line items over 5% of category budget.
      c. Program income if over 5% of budget total or not ratable
      d. Match items if they are significantly below the ABTPA portion.

   Documentation may include, but is not limited to:

- Timesheets and payroll records
- Travel logs that document mileage
- Review and verification of invoices/receipts for operating costs
- Lodging and meals
- Contractor/consultant contracts and invoices

<u>OPTIONAL BASED ON NEED:</u>

c) If Program Management is in question; (Indications of poor management may include; not enforcing standards, lack of effective communication, ineffective feedback, passing the buck, not seeking input, not delegating appropriately, poor follow through, etc.).

   a. Overall organizational chart and other applicable organizational charts.
   b. Written policies and procedures regarding delegation of authority to legally commit the organization (i.e., approval for proposals, acceptance of awards and amendments).
   c. Written policies and procedures that describe the sponsored program budget revision/amendment process.
   d. Completed sample budget revision (for changes under ABTPA threshold)
   e. Written policies and procedures regarding sponsored program budget and expenditure monitoring.
   f. Written policies and procedures that describe cost transfers/expenditure reclassifications between programs or awards.
   g. Written policies and procedures related to expenditure approval and competitive bidding.

d) If Accounting System is in question: (Indications of poor accounting / systems may include; Winging it (-good accountants will refer to actual documents vs guessing at numbers), not keeping up-to-date, routinely missing deadlines, ignore requests, statements show math errors or lack of understanding, they do not seek feedback, do not follow requirements (adequate documentation, improper approvals, etc.) etc.).

   a. Most recent Single (formerly A-133) Audit Report or recently audited financial statements.
   b. Accounting manual and date of last update. In lieu of an accounting manual, a set of common accounting policies (e.g., year-end closing, bank reconciliations, disbursements/payments).
   c. General ledger chart of accounts/expense code list, date of last update, and explanation of account hierarchy to understand how ABTPA funding is segregated in the accounting system.
   d. Written standards and procedures for determining the reasonableness, allocability, and allowability of costs charged to State funded projects
   e. Written policies and procedures regarding the accounting treatment of unallowable direct and indirect costs.
   f. Written policies and procedures that describe standards for supporting documentation for transactions recorded in Grantee's organization's accounting system.
   g. Written policies and procedures on record retention standards for award agreements, financial reports, supporting documentation, and other award-related records.
   h. Information regarding the system of personnel compensation used (e.g., hours worked, percent of time) for each category of employee (e.g., exempt and non-exempt/hourly staff).
   i. Recently prepared project cost ledger for the selected ABTPA grant, printed directly from the accounting system within 10 days of the request, from the inception of the award to a date stipulated by the coordinator assigned to the desk review.
   j. Written policies and procedures regarding expenditure report preparation, approval, and submission.

II) Learning:

1. Scan the file – Review documentation in our possession, ensure existing open items and deviations from expectations are captured.
2. Review documentation requested (testing) – review source documents to make sure they have been:
   a. approved at the source level,

b. properly posted to the ledger (Amount and correct department),
c. ties to the ledger and in turn to the expenditure report,
d. have a proper date (cutoff),
e. have been properly recorded to the correct expense classification (e.g. pencils are supplies not equipment),
f. are an allowable grant expense.
g. look for repetitive expenses just below approval thresholds.
h. look for expenses which seem unusually high or unusually low.

3. Key Person Follow-up (if needed)–
   a. Ask questions and clarify either by scheduled telephone interview or by email to the appropriate Grantee staff person.
   b. Any policy interpretation differences should be addressed to Director for resolution.

III. Analyze:

1. What is known—what do we know about the control environment? (e.g. are time sheets approved on a timely basis? Are all requested documents readily available? See chart below) What have we gleaned from the documents? (e.g. are there errors when comparing source documents to submitted documents? Are old bills being paid?, etc.) And what has the review revealed?
2. Emerging themes and opportunities—keeping in mind the objectives of the assessment, what trends and issues are emerging? Do you see any opportunities for improvement? (e.g. are program resources being diverted to other police activitites?)
3. Gaps and questions—what remains to be discovered, verified, and addressed? Is fieldwork required? Do you need other team member expertise to get the most out of this information?

Formulate Findings and Recommendations; the next step involves proposing solutions to address constraints or opportunities uncovered during the review. Keep in mind that you're constructing a narrative that nudges key stakeholders toward a set of proposed recommendations. Your proposal will be vetted and challenged and it's likely that choices will have to be made regarding which recommendations can be implemented. That said, it's important to remember that you're providing data for decision making and proposing changes, so you'll need to back up your advice with good reasoning.

III) Sharing:

After the coordinator has concluded the analysis, they often arrange a debriefing with the Director and the Grantee, which provides an opportunity to present preliminary impressions.

1. It encourages the coordinator to take a first cut at distilling everything they've learned and identifying key findings and recommendations.
2. It provides an opportunity for the ABTPA to vet their initial impressions and adjust them as necessary, based on stakeholder feedback.
3. It generates momentum around the findings, and potential opportunities for increased engagement with the grantee.

Most commonly, the coordinator prepares a PowerPoint presentation of key findings and preliminary recommendations to share with the Grantee. Often, this becomes the basis for the assessment report. This meeting is also a good opportunity to review the scope of work, remaining tasks, and estimated time frame for submitting the report to the Director.

IV) Action:

The action phase has five main steps, each shaped by review findings and recommendations, ABTPA goals and available resources, and Grantee capacity. Unlike other phases in the review process, these are sometimes iterative, rather than sequential. Actions should be proposed by the Grantee to the ABTPA. The ABTPA should review the proposed actions and concur if they are appropriate or provide input for improvement.

Step 1: Decide the Type of Action

The first step towards action is deciding what type of action is both indicated and feasible. The types of action following an assessment will vary depending on proposed recommendations, donor and stakeholder priorities, and the country context. The types of action may be carried out individually or in a myriad of combinations.

Step 2: Determine the Level of Action

The level, or intensity, of follow-on actions can be categorized as high, moderate, or low. The largest determining factor may be the availability of funding, but other factors such as existence of other projects, timing, and government interest may also play a role.

Step 3: Grantee to Develop an Action Plan

The action plan consolidates decisions regarding the type and level of action into a working document. An action plan, or at least a “blueprint” for action, where the findings and recommendations of the assessment report are translated by the grantee into actionable tasks, is communicated to the ABTPA for feedback and validation. This serves as a solid foundation upon which to base a plan for action, which articulates WHO will do WHAT by WHEN, with WHAT RESOURCES.

Step 4: Execute Action Plan

The grantee should be tasked with the executing the action plan. Progress should be periodically reported to and monitored by the grant coordinator.

Step 5: Monitor Results

Both the coordinator and the Grantee ensure planned actions have been completed and are effective in addressing concerns or deficiencies

COSO Principles of Effective Internal Control Environments:

Evaluating Internal Control Components

Together the five components of the COSO framework can be used by organizations to establish an effective internal control system. Knowing what they are and how they're used can help you build or improve your organization's internal control system.

The COSO framework

Control environment

The internal control environment encompasses the attitude, awareness, and beliefs an organization has about internal control. As such, management must be seen to support and promote the internal control system through their policies, actions, and expectations.

1. The organization demonstrates a commitment to Integrity and ethical values.

2. The governance demonstrates independence from management and exercises oversight of the development and performance of internal control.

3. Management establishes, with board oversight, structures, reporting lines, and appropriate authorities and responsibilities in the pursuit of objectives.

4. The organization demonstrates a commitment to attract, develop and retain competent individuals in alignment with objectives.

5. The organization holds individuals accountable for their internal control responsibilities in the pursuit of objectives.

Risk assessment

Risk assessment is the process of identifying, analyzing, and managing risks associated with meeting objectives. Ultimately, it's also how organizations manage risks related to financial statement preparation.

Internal controls

Internal controls are the policies and procedures put in place to address the potential risks involved in meeting the organization's objectives.

Information and communication

Information and communication refers to the information system used to make sure the appropriate information flows to the people who need it to do their jobs. Information systems need to be designed to effectively identify, generate, and distribute necessary information.

Monitoring

Monitoring is a continuous process for assessing the quality of the internal control. Monitoring activities help determine whether internal control is operating effectively – essentially whether the organization's objectives are being met. It also provides the means to update the system when required.

Five activities associated with effective internal controls are segregation of duties, authorization, documentation and record keeping, physical control, and objective performance checks. As a general rule, if an internal control is strong in these five areas, it's an indication of its effectiveness and the auditor won't test it during the audit. Likewise, if any of these are missing or ineffective, it's an indication that the control may be ineffective. As such, the control will likely be tested during the audit.

Internal control activities

Segregation of duties

Internal controls are more effective when duties are assigned so that the same person isn't in charge of all aspects of implementation.

Authorization

Authorization encompasses all the activities designed to make sure transactions or actions are authorized before they're recorded or performed.

Documentation and record keeping

Documentation and record keeping involves making sure all records are complete – that all transactions are recorded and accurate, and fairly represent events that actually occurred. This also involves ensuring compliance with applicable laws and regulations. It includes actions designed to meet compliance standards and management's general authorization.

Physical control

Physical controls protect physical assets and information systems. This involves properly controlling and restricting access to authorized personnel only.

Objective performance checks

Objective performance checks involve having people or systems that don't do the work check the effectiveness of controls.

3.3.4.3 Site Visits

ABTPA Information

Name of Reviewer(S):

Date of Visit:

Grantee Information

Grantee Name:

Grantee Address:

City, State, Zip:

Project Title:

Grant Number:

Grant Period(S) Reviewed:

Grant Award Amount(S):

Name and Title of Agency Participants:

Instructions:

When asking monitoring questions be quite and LISTEN - DON"T LEAD the grantee to the answer you were expecting.

This checklist has been developed by the ABTPA. The purpose is to assist the ABTPA in fulfilling its responsibility of making on-site visits to each grant project funded by ABTPA. These visits are to assess the progress of grantee programs in implementing grant activities and to ensure compliance, accountability and adequate internal fiscal and management controls. ABTPA Grant coordinators will conduct on-site monitoring of grantee programs once every other year, regardless of risk-level.

Grantee Visit Selection: ABTPA shall develop a biennial systematic monitoring plan. ABTPA should also monitor Grantees to Identify "risk related triggers" that may initiate an immediate monitoring visit e.g.

- Grantee has documented history of unsatisfactory performance
- Grantee is not performing to the terms and conditions of grant awards
- Grantee is habitually delinquent on the submission of reports
- Grantee is delinquent on the fourth (4th) quarter Expenditure Report

Grant Coordinators must complete the General Grant Administration section and the applicable budget and fund source sections within the ABTPA prescribed Regional Grant Coordinators Site-Visit Checklist for each on-site visit.

A copy of the narrative, activities and budget for grant projects should be brought from the ABTPA offices for use during the review.
If the answer to a checklist question is 'No' the Grant Coordinator must mark the item, briefly describe the situation, and describe the technical assistance they provided. The Grant Coordinator also must instruct the grantee on the corrective actions process, and follow-up with the grantee within ten (10) calendar days of the visit to ensure the outstanding compliance issues have been resolved or to obtain a copy of the Corrective Action Plan. The Checklist must be submitted to the ABTPA Director electronically within fifteen (15) calendar days of the review.

You will also be required to certify that all site visit checklist items were completed in full in order to prepare your site visit report. In completing the site visit checklist, please note the following:

- Grant coordinators are required to complete all elements contained within this checklist for full monitoring visits. Full site visit monitoring can occur on-site or off-site, including such venues as the event site where a project deliverable is being presented, conferences, meetings convened by grantees in connection to the project, deliverable reviews (i.e., training), and cluster meetings with other grantees. To determine whether conducting an off-site monitoring visit is appropriate, consider the type of project that you will be reviewing. For example, if the project is research-based, visiting the grantee at a conference may be appropriate, provided the necessary documentation is obtained to complete the requirements of a full monitoring visit. If the grant funding involves a construction project or training delivery, monitoring at a conference would not be sufficient to fulfill full site visit monitoring requirements. Full monitoring visits must include programmatic, financial, and administrative review elements. If adequate information cannot be obtained during an off-site visit, it is acceptable for grant coordinators to follow up and complete the checklist by obtaining required materials via fax, documented phone contact, email correspondence, etc.

- For on-site visits, describe in detail what you observed in the "Comments and Action Items" section or document issues (if any) in the "Issues for Resolution" section.
  - Comments are general in nature, but should be enough to document what you looked at (to be able to verify grantees compliance or non-compliance with their awards e.g. I reviewed the grantees sub-agency monitoring reports and determined that the grantee has sufficient oversight procedures in place to review sub-agencies).
  - Action items are defined as those that require follow up by the grant Coordinator but do not necessarily involve the grantee (e.g., the grantee indicated that the financial report would be uploaded by 4/15. The grant Coordinator must confirm that this has been done.).
  - Issues for resolution are defined as those that require action on the part of the grantee (e.g., the grantee is delinquent on a financial report and needs to upload the current report to ABTPA). Post-monitoring issues for resolution are the only conclusions that require grantee action after the site.
  - It is recommended that you number each separate comment, action item, or issue for resolution (e.g. Comment #1, Comment #2, etc.).

- Please note that this Adobe (.pdf) version of the site visit checklist is designed to be printed and used for taking notes and documenting your activities while on-site. You will need to provide enough documentation in the checklist to validate your opinions and findings in the site visit report.

Item 1: Conduct entrance interview.

The purpose of the entrance interview (or conference) is to:

- Set the tone and establish expectations for the onsite monitoring visit,
- Reiterate items that have already been sent to the grant contact in the pre-monitoring letter and enclosures, and
- Discuss any issues, problems, or concerns that have developed since the pre-monitoring letter was prepared.

Item 2: Conduct budget review.

- Follow up on any financial items identified during the Pre-Site Visit review and/or desk review such as timeliness of financial reports, unallowable expenditures, or cost sharing/match.
- Request sample of expenditures by budget category if not already requested or received prior to site visit. Review expenditures to determine if they are reasonable and allowable.
  - Reasonable expenditures are items purchased that are necessary to the project; the cost of the items or services should not be excessive.
  - Allowable expenditures are those costs that are allowed under public laws and regulations, as well as under the award agreement and approved budget. For example, entertainment, donations, and interest expenses are unallowable for ABTPA projects. Where travel is charged to an individual award there should be documentation (such as a travel authorization) describing the travel and explaining how/why this trip is directly related to or will help accomplish award objectives.
  - Review the budget to ensure that the grantee hasn't exceeded expenditures per budget category in excess of 5 percent. Movement of dollars between approved budget categories is allowable up to 5 percent of the total award amount, provided there is no change in project scope.
  - Determine if expenditure activity has occurred according to the timeline submitted by the grantee in its application scope.
- If a grant or grants have undergone a CAFR audit review (e.g. A-133), review audit details for any audit-related questions to be addressed during or after the site visit.

Item 3: Compare progress reports with rate of expenditures**.**

- Review progress reports submitted during the past year; address any incomplete or delinquent progress reports with grantee.
- Determine if the grantee is adequately obligating or expending in accordance with goal progress.
  - Does it appear that the grantee is overspending or underspending?
  - Should the grantee have spent more funds at this point in the execution of the project/program?
  - Discuss any concerns with grantee and note justification where appropriate.
- Review financial reports in conjunction with progress reports to compare the rate of expenditures with the project activity level noted in the progress report.

Item 4: Verify that grant expenditures are not commingled.

- If other accounting "funds" are being used to support the grant activity, verify that the funds are segregated and that the grantee's financial management system keeps them separate.
- For example, can the grantee show that a specific budget code has been assigned to this grant?
- Do discrete grant items have separate activity/accounting codes from other programs or departments?

Item 5: If a "formula grant", determine whether the cost thresholds have been met or exceeded.
Compare original approved budget for allowable cost percentages vs. actual expenditures. If the actual expenditure percentage is less than allowable, request that the grantee explain the discrepancy.

Item 6: If a formula grant, determine whether it has subgrants, and if the cost thresholds for those subgrants has been met or exceeded.
Compare original approved budget allowable subgrant cost percentage versus actual expenditures. If the actual expenditure percentage is less than allowable, request that the grantee explain the discrepancy.

Item 7: If a multi-agency grant, review the overall subgrant process. Complete a general review of the subgrant process and check to see whether the process for sub-agency reporting is acceptable, whether adequate sub-agency administrative and financial monitoring is taking place, etc.

Item 8: While on-site, review the grantees award file and check for:

- Signed award document; and
- Correspondence with ABTPA and the grantees program director.
- Verify whether complete file is being maintained and all information is current.
- Address any concerns identified during desk reviews.

Item 9: Confirm that services/activities described in progress reports have been provided and/or completed. Check that grantees are performing the services/activities as stated in their grant applications and progress reports.

Item 10: Review compliance with confidentiality requirements, if applicable.

Documentation of any changes in the protocols that may affect the confidentiality and/or the security and statistical information collected as part of the project, if applicable.

Item 11: Reserved

Item 12: Confirm whether property inventory information is being maintained, if applicable

- Involves review of records to make sure grantees are maintaining inventory of property used as part of the grant. If inventory observed, please provide comments regarding your observations.

Item 13: Determine if any subcontractor/sub-agency monitoring is being performed by grantee, if applicable, and that the grantee monitors its sub-agency for compliance with the conditions of the subgrant award.

- If the grantee passes funds on to another organization, is there a clear agreement for these funds?
- Check that grantee is monitoring its sub-agency(s).
  - Grant Coordinators should review evidence, such as a sub-agency site visit monitoring reports or completed checklists, to verify that monitoring is occurring and as scheduled.
- Do written procedures exist regarding sub-agency monitoring?
  - Is a process in place for onsite monitoring by the grantee reporting the data (many programs retain a portion of these awards for oversight)?
  - Does the grantee monitoring checklist satisfy the administrative, financial and programmatic elements (grantee should ask questions similar to ABTPA monitoring checklist at sub-agency site visit)?
- Is sub-agency meeting terms and conditions of award?
- Standard filing—evidence of follow-up?
  - Does the grantee document site visit findings in a report?
  - Does the grantee have a process for following up on issues, if applicable?
- Check that grantees know when and where to report issues with sub-agencies to ABTPA.
- Additionally, grant Coordinators should review the following documents on subcontractors/sub-agencies when examining subcontractor/sub-agency monitoring:
  - financial reports, progress reports, and drawdown activity
  - interlocal agreements
  - budgets
  - documentation that grantees are verifying that sub-grantees have met the necessary requirements contained in the Grant Administrative Manual.

Item 14: Observe grant activities/services to verify whether key personnel are actually performing the duties originally proposed, if applicable (e.g. key personnel are identified in the grant application).

- Through discussion, observations, and review of documentation, verify that key personnel identified in the project are actually working on the project and that any changes have been approved. (Grant Coordinators should review work product for employees to determine if employees are providing service to the ATPBA program proportionally to their total pay.)

Item 15: Review personnel timesheets to ensure that charges related to staffing are in line with the proposed budget. Determine if employees in positions funded by grant funds are required to submit time sheets. If so, review timesheets to determine if:

- Actual hours worked are recorded on the timesheet, and/or
- Time sheets reflect distribution of employee activity between projects (or grants).
- Personnel charges are in line with what was proposed in the original budget and application;
- Charges exceed the total number of hours for a given pay period (if so, determine if overtime is properly approved / recorded); and
- Timesheets have been signed (either in writing or electronically) by the employee and a supervisor.

Item 16: Did the grant Coordinator visit a grant funded project site where one or more activity/deliverable is performed?

The site of the grant-funded project is the site where the program or activity funded by the grant is taking place. If multiple sites are funded under the same grant, take note of the total number of sites that were visited (to be documented in the site visit report).

Item 17: Review proposed project goals, activities and services vs. actual activities and services.

- Through discussion and review of documentation, review how objectives are being implemented and compare to what had been planned. Follow up on any concerns identified during the desk review.
- Does progress reflect goals outlined in the original or continuing grant application?
- Review issues from prior visit, if any, or additional issues that require resolution.

Item 18: Assess deliverables through observing grant activities/services, if applicable.
Assess whether stated project deliverables are being produced in a quality and timely manner.

Item 19:
Did you observe or were you made aware of any changes in grantee activities?

- Assess whether changes in activities are unallowable or if they require appropriate approvals, and request appropriate action or justification/documentation where necessary.

Item 20:
To verify that performance measures are valid, grant Coordinators should do the following:

- View aggregate performance measurement data at regular intervals and determine if there are any glaring reasons for concern, such as possible over-reporting, under-reporting, spikes in reporting, or lack of progress reported. In such instances, request justification from grantee.
- Discuss all performance measures with grantee to ensure that the coordinator and grantee have a clear understanding of how they are defined.
- Verify that grantee has linked its activities to established goals.
- Confirm whether the data is used to guide program activities.
- Check that grantee has an adequate method for collecting performance measurement data. Adequacy can be assessed by checking to see that consistent procedures are used, whether they are based on a proven model, and whether safeguards are in place to protect performance data integrity.
  - Verify that the grantee maintains sufficient records to substantiate performance data that are reported.
  - Identify whether or not a third party (e.g. DPS) is testing data collection and reporting processes, and if so, the method used.
- For grantees with subawards, is there a process in place for on-site monitoring by the primary grantee reporting the data? (Grantee would ask questions similar to those above while at subaward site.)

Item 21: As a result of your observations or discussions with grantees regarding grant activities/services, describe best practices, if any.

Briefly describe any programs, initiatives, or activities considered to be successful models for others to follow.

Item 22: Note whether the grantee raised any issues during the site visit.

Briefly list any issues raised by the grantee or discovered in your on-site review that may require action as well as any comments, if applicable.

Item 23: Before the site visit, the grant Coordinator should review any high risk criteria in the ABTPA Administrative Guide to determine if the grantee has any high risk indications. If the grantee has designated issues on the ABTPA High Risk list, document any steps that are taken to help the grantee resolve those known issues.

- This step will help the grant Coordinator determine which issues may be appropriate to discuss with the grantee during the site visit.
- Please ensure that the following items are discussed with the grantee and:
    - Any actions that are planned or in progress to resolve high risk conditions;
    - Any impediments to completing the remediation plan or planned activities; and/or,
    - Any risks to successful project implementation and performance related to the issue that caused the grantee to be placed on the high risk criteria list.

After the site visit, documented any issues in the site visit report and refer any outstanding questions to the appropriate party.

Item 24: As a result of your observations or discussions with grantees regarding grant activities/services, note whether the grantee experienced any roadblocks to grant implementation.

Briefly list any roadblocks encountered as well as any related action items, if applicable.

Item 25: Describe any training or technical assistance (TTA) currently in progress, provided, or requested. Document if any assistance needs arise while on-site.

- Briefly describe any financial related, administrative, and/or programmatic TTA provided to or requested by the grantee during the site visit.
    - This includes, but is not limited to, assisting the grantee in properly completing financial status reports, requesting grant funds. or answering questions related to the award file or administrative personnel review.
- Follow-up on any TTA needs determined during pre-site visit reviews or correspondence/conversations with the grantee.
- Briefly describe any TTA provided to the grantee previously.
    - What did the grantee indicate as TTA pros and cons?
    - Was the grant Coordinator able to work with the grantee to resolve any problems with past TTA?
- Briefly review sustainability plans with the grantee and identify if any training or other capacity enhancement or technical assistance would be appropriate. To determine if a grantee might benefit from TTA related to sustainability issues, determine:
    - Will the activities/services/purchases performed using these grant funds continue after ABTPA funding has ceased?
    - If additional employees were hired, will the grantee continue to fund these positions after ABTPA funding has ceased? If so, how?
    - If new programs have been implemented, how will these programs be funded after ABTPA funding has ceased?

Item 26: Thoroughly review the grantee's financial, administrative and programmatic compliance to detect any potential indicators of fraud, waste, and abuse. If fraud, waste or abuse is suspected, follow ABTPA reporting guidance.

In addition to the items in this checklist, the following activities may help to detect and/or prevent grant fraud:

- Determine if consultants are involved in a grant program; if so, get the details & ensure the process is fair & reasonable; is $450 a day justified?
- Ensure that the grantee has read the Conflict of Interest definition in the Texas Procurement Law
- Discuss the procurement process with the grantee, including sole source contracts.
- Explain that grantees how they must support their expenditures with evidence (general ledgers, receipts, or time sheets).
- Discuss unallowability of indirect costs and reporting income generated by grant activities.

- Inquire about grantee's internal controls/segregation of duties – recommend or mandate financial management training as needed.
- Follow up with unresponsive or noncompliant grantees as soon as possible.
- Question inadequate reports submitted by grantees.

Grant Coordinators should communicate any concern to the ABTPA Director.

Item 27: Complete exit interview.

The purpose of the exit interview is to:
- Summarize results of the monitoring visit,
- Inform grantee of any potential issues for resolution, and
- Solicit initial feedback from grantee about the site visit.

Checklist

GENERAL GRANT ADMINISTRATION

1. Does the grantee have cash management procedures to ensure that no late fees or penalties are charged to the grant? UGMS.
2. Do accounting records include supporting documentation, such as canceled checks, paid bills, payroll, time/attendance records, contracts, and grant award documents? UGMS
3. Do actual expenditures on the General Ledger (or grant ledger) agree with budgeted line items in the ABTPA approved budget? UGMS
4. *With regard to Single Audits*, if the grantee expends more than $500,000 in state funds, has a Single Audit report been submitted to ABTPA in a timely manner? UGMS
5. If GPI was earned, was a grant adjustment submitted and approved by ABTPA before the GPI was spent? GAM
6. Is the cash match clearly shown in the grantee's General Ledger (or grant ledger)? GAM
7. Can the grantee still certify that they are in compliance with the nondiscrimination requirements found in the Certification and Assurance on the Documents Tab of their application? Application instructions and grantee's application.

Non-Profit Organizations ONLY

8. Have ABTPA funds been secured with a current fidelity bond for the entire amount of grant funds including match? GAM
9. Is the organization certified by IRS as a tax exempt non-profit entity? TAC

PERSONNEL

1. Do timesheets for grant-funded personnel and volunteers used as match include the following:
   a) A brief description of the daily activities performed and all hours worked?
   b) Indication that they were prepared at least monthly and coincide with one or more pay period?
   c) Signatures of the employee/volunteer and the supervisor of the employee/volunteer?
   UGMS, GAM
2. Do timesheets for positions partially funded by the grant clearly differentiate between time spent on CJD grant activities and time spent on other activities? UGMS, GAM
3. Do employees who work solely on one fund source (100%) have their activity certified semi-annually? UGMS
4. Does the grantee ensure they do <u>not</u> carry forward compensatory time and compensated absences for grant-funded personnel from one grant period to another? TAC

5. Is the grantee aware that they cannot use grant-funded personnel to supplant existing positions? UGMS, GAM

For Overtime ONLY

6. If the grantee has used ABTPA funds to pay overtime, was the overtime approved in their original budget? GAM

CONTRACTUAL AND PROFESSIONAL SERVICES

1. Does each contract reviewed:
   a. Have deliverables which are allowable under the grant?
   b. Have beginning and ending effective dates?
   c. Indicate contract deliverables, price and quantities? UGMS, GAM
2. Does the grantee maintain current, signed copies of all contracts? TAC, UGMS, GAM
3. Does the grantee have an established procurement procedure? UGMS
4. Does the grantee verify, through audits or other means, that contract deliverables are being provided as stated in the contract? TAC, UGMS, GAM
5. If sole source procurement was made, did the grantee follow sole source procurement guidelines provided under UGMS? UGMS
6. Did the grantee submit the requests to ABTPA for any single procurement requiring approval? TAC, GAM
7. Does the contract only obligate grant funds during the grant period (i.e. not before the start or after the end date of the grant)? TAC, GAM

TRAVEL AND TRAINING

1. Does the grantee maintain all supporting documentation for travel expenditures? UGMS

2. If the grantee uses grant funds to support travel expenses for training purposes, are training certificates or other proof of attendance maintained in the grant records? TAC, GAM

3. Do travel expenditures for mileage, per diem and lodging comply with the grantees' established policy or state travel guidelines? TAC, GAM

EQUIPMENT

1. Does the grantee have a policy regarding the disposition of equipment? UGMS

2. *Does the grantee maintain records to detail the history of each procurement* purchased with grant funds? UGMS, GAM

3. Did the grantee submit the ABTPA Procurement Request for any single procurement of equipment, which requires approval? TAC, GAM

4. Does the grantee practice open and competitive procurement? UGMS

5. If sole source procurement was made, did the grantee follow the "sole source procurement" guidelines provided under UGMS? UGMS

6. Is the grantee obligating all grant funds (services rendered, P.O. issued) during the grant period? TAC, GAM

7. Does the grantee maintain an equipment inventory list that:
   a) Includes a description, the serial number (or other identifying number), source, location and grant number of the grant-funded equipment?
   b) Is updated every year?
   c) Includes only equipment approved in the initial or adjusted budget?
   TAC, UGMS, GAM

*UGMS III C.36(d)(4)(i) – Procurement by noncompetitive proposals may be used only when the award of a contract is infeasible under small purchase procedures, sealed bids or competitive proposals and one of the following circumstances applies: A) the item is available only from a single source; B) the public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation; C) the awarding agency authorizes noncompetitive proposals; or D) after solicitation of a number or sources, competition is determined inadequate.

SUPPLIES

1) If a supply expense exceeds $500 should it be classified as equipment? GAM

2) Is the grantee aware that the following items are prohibited and ensure that NO grant funds are used to support them:
   a) General Government Costs
   b) Losses
   c) Entertainment, including amusement, diversion, social activities, and any associated costs (i.e. tickets to shows or sports events, meals, lodging, rentals, transportation, and gratuities) are unallowable. Certain exceptions may apply when such costs have a programmatic purpose and have been approved by the awarding agency;
   d) Fines and penalties (except when incurred as a result of compliance with specific provisions of an award or contract, or with written approval from the awarding agency);
   e) Credit card fees;
   f) Passport charges;
   g) Tips and gratuity;
   h) Bar charges/alcoholic beverages, and
   i) Membership fees to organizations whose primary activity is lobbying.
   j) Funds or expenditures which benefit or enrich corporations or individuals

INDIRECT COSTS

1. Indirect costs are not allowed, GAM

After Review:

Monitoring Report - The Coordinator prepares a written report of the review and forwards the report to the grantee. The report documents all of the compliance issues, findings, observations and advisory recommendations along with the specific guidance citations associated with each. For more complicated reviews, the coordinator may also conduct a telephone exit conference.

Corrective Action Plan - If the report contains findings, the grantee has 30 days from the date of the monitoring report either to dispute the findings with written comments and any supporting documentation, or to submit a Corrective Action Plan (CAP) specifying the plan to remedy the finding. The CAP must be fully implemented within six months from the date of the monitoring report. Follow-up reviews with grantee may be conducted by the Coordinator to ensure timely implementation, as necessary.

Technical Assistance - The Monitor will follow up with the grantee to provide ongoing technical assistance to facilitate grant compliance, as needed. If significant problems or concerns are identified during the review; on-site visits may be scheduled by staff monitor for the purpose of reviewing fiscal operations.

3.3.4.4 Close Out

ABTPA shall close out the award when all applicable administrative actions and all required work of the grant have been completed. It is the responsibility of the grantee to comply in full with all close-out requirements and to submit reports in a timely manner.

Grantees are responsible for:

- submitting all financial, performance, and other reports required as condition of the grant.
- submitting an inventory of all property acquired with grant funds or seized for which it is accountable.
- ensuring all program goals were met or an acceptable explanation as to why those goals were not achieved.
- resolving any deficiencies identified in a desk review or monitoring visit.
- returning funds due as a result of transaction error findings, based on the results of the review covering any part of the period of grant support, or failure to meet match requirements.

The grantee (s) must provide any additional information requested within five (5) business days.

A close out of the Grant awards shall be finalized by ABTPA when it determines a final payment has been made, all required work of the grant and all applicable administrative actions have been completed.

ABTPA will:

1. Review file for:

a. Will program carry forward to next year?

b. All quarterly Expenditure Reports received.

c. All Progress Reports received.

d. All budget adjustments approved / posted.

e. Inventory Report received.

f. Desk review Report items are closed.

g. On Site Monitoring Report (if any) items are closed.

h. Explanation of any performance goals not met.

i. Explanation of unreasonable budget variances (if any).

2. On Expenditure Report:

a. Review final report for budget variance / budget compliance.

b. Review costs for allowability (Including unhallowed, out of period, etc.).

c. Review for compliance with match requirements per the current approved budget.

d. Track and tie out program income carry forward to new grant year or disposition.

3. If Program is Not Ongoing:

a. Disposition of Equipment.

b. Disposition of Program Income.

c. Disposition of any cash funds held (Imprest funds).

4. Close-out:

a. Obtain any missing documents or explanations.

b. Obtain resolution of any outstanding monitoring finding(s).

c. Pay or collect any amounts due based on above close out process steps.

d. Send close out letter to Grantee, (deobligating remaining funds), and CC to file.

e. Compile Board Report on Grant closeouts when completed.

The closeout of a grant does not affect:

(a) The ABTPA's right to disallow costs and recover funds on the basis of a later audit or other review.

(b) The grantee's obligation to return any funds due as a result of later refunds, corrections, or other transactions.

(c) Records retention.

(d) Property management requirements.

(e) Audit requirements.

3.3.5 Grant Team Meetings (See also 2.2. Grant Team Meetings)

Team meeting will be hosted and facilitated by ABTPA staff through monthly GoToMeetings to discuss Administrative updates and grantees will be asked to give grant program updates. Each grant representative shall provide an update regarding current initiatives by addressing the following:

- Major motor vehicle and burglary of a motor vehicle, initiatives/cases
- Announcements/event/training
- Trends, or any issues the grantee may be experiencing in their area
- Share information

The teams are divided into three (3) groups based on geographic location; West/Mexico Border/South, Central/Northwest, and East Texas.

Board Agenda Item

Section 3. Briefings and Action Items **Part E.** Consider Insurance Refund Request from American National Insurance Company

Watch Your Car
TEXAS AUTO BURGLARY & THEFT PREVENTION AUTHORITY

Board Agenda Item
Section 3. Briefings and Action Items **Part F.** Discussion About International Association of Auto Theft Investigators Memberships for ABTPA Board Members

Watch Your Car®

3. F. Discussion about International Association of Auto Theft Investigators Memberships for ABTPA Board Members.

The International Association of Automobile Theft Investigators (IAATI) was formed in 1952 in order to improve communication and coordination among professional auto theft investigators. IAATI provides law enforcement officers and private sector personnel with the latest in training and technology with a goal to reduce auto thefts.

IAATI memberships were obtained for the ABTPA Board in December 2014 for a one year membership. The total cost was $285 (6 membership renewals @ $40 and 1 new membership @ $45). This was the first time since 2011 that ABTPA obtained memberships for the Board.

Membership renewals for 2016 are due in December and the cost for seven (7) Board renewal memberships is $280.

Board Agenda Item

Section 3. Briefings and Action Items **Part G.** Discussion of Setting Strategic Planning Meeting

1. Legislative Appropriation Request FY18-19
2. Rewrite of ABTPA Enabling Statute
3. FY 16 Biennial Plan of Operation
4. FY 16 Education Program and Marketing Initiative
5. FY 17 Grant Cycle