



Ticketing Aggressive Cars and Trucks Grants Audit Report 201213-08

December 4, 2012

Executive Summary

The Grants Administration Office within the Office of Performance Management serves as the point of coordination of all grant funded projects and initiatives, it provides oversight to ensure that all grant funded projects comply with grantor requirements, state and federal laws, and Executive Leadership Team guidance.

The U.S. Department of Transportation Federal Motor Carrier Safety Administration provides financial assistance through grants and cooperative agreements to further public purposes. The Ticketing Aggressive Cars and Trucks grants provide financial assistance to states in an effort to reduce the number of commercial motor vehicle-related crashes, fatalities and injuries. A Ticketing Aggressive Cars and Trucks High Priority Enforcement grant of \$750,000 was awarded to the Office of Commercial Motor Vehicle Enforcement to conduct four high-visibility enforcement campaigns from May 1, 2011 through September 30, 2012. The grant is a matching grant with the U.S. Department of Transportation Federal Motor Carrier Safety Administration providing \$600,000 (80%) and the state providing matching funds of \$150,000 (20%). A \$100,000 Ticketing Aggressive Cars and Trucks Public Awareness grant to conduct public awareness campaigns was also awarded to the Office of Commercial Motor Vehicle Enforcement.

For the period examined, July 1, 2011 through June 30, 2012, grant expenditures were in compliance with the grant agreement; however, we identified the following issues that require management attention.

- Quarterly performance progress reports did not accurately report the number of traffic citations issued during the enforcement campaigns.
- The overtime hours reported on the financial reports and the requests for reimbursement were greater than the overtime hours reported on the quarterly performance progress reports.

The Office of Performance Management and the Florida Highway Patrol generally agreed with the findings and recommendations.

Background and Introduction

The Grants Administration Office (GAO) within the Office of Performance Management serves as the point of coordination and knowledge of all grant funded projects and initiatives within the agency. The GAO provides oversight of the grant portfolio and ensures that all grant funded projects comply with grantor requirements, state and federal laws, and Executive Leadership Team guidance. It also, researches, identifies and solicits grant funding for the agency.

The U.S. Department of Transportation Federal Motor Carrier Safety Administration (FMCSA) provides financial assistance through grants and cooperative agreements to further public purposes. The Ticketing Aggressive Cars and Trucks (TACT) grants provide financial assistance to states in an effort to reduce the number of commercial motor vehicle-related crashes, fatalities and injuries. The FMCSA awards these grants to states and local governments to conduct high-visibility traffic enforcement programs using communication, enforcement and evaluation strategies. Each state conducts evaluations of traffic data to identify problem areas with higher rates of crashes, fatalities and injuries. The areas identified as problem areas are targeted with high-visibility traffic enforcement campaigns and public awareness campaigns to reduce the number of crashes, fatalities and injuries in that area.

The Florida Legislature transferred the Office Commercial Motor Vehicle Enforcement (CVE) from the Department of Transportation to the Department of Highway Safety and Motor Vehicles (Department) in July 2011. The purpose of CVE is to protect the motoring public and transportation infrastructures from commercial motor vehicles. The Department was awarded a \$750,000 TACT High Priority grant for conducting four high-visibility enforcement campaigns from May 1, 2011 through September 30, 2012. The TACT High Priority grant is a matching grant with FMCSA providing \$600,000 (80%) and the state providing \$150,000 (20%) of matching funds. The Department was also awarded a \$100,000 TACT Public Awareness grant for conducting public awareness campaigns.

The objective of the TACT High Priority grant is to conduct high visibility traffic enforcement in regional rural and high commercial motor vehicle (CMV) traffic and crash areas to increase the number of traffic citations written for hazardous moving violations around CMVs and to reduce crashes where unsafe driving behavior or hazardous moving violations are a contributing factor among drivers of commercial and passenger motor vehicles.

The objective of the TACT Public Awareness grant is to conduct monthly outreach programs including a public safety education advertising campaign promoting safe driver behavior around CMVs in the targeted statewide enforcement areas.

Florida Highway Patrol troops throughout the state that participate in TACT grant enforcement campaigns provide the Office of Performance Management with reports outlining the type and number of traffic citations issued for the individual enforcement

campaigns. The hours troopers work on the TACT grant campaigns are recorded in People First, the state's time keeping software. The Department's Bureau of Accounting uses People First to prepare a report of the personnel, regular hours and overtime hours used for TACT grant activities.

The Office of Performance Management uses information provided by the Florida Highway Patrol troops and the Bureau of Accounting to complete the quarterly performance progress reports, financial reports and the requests for reimbursement to report progress toward the grant objectives.

Findings and Recommendations

For the period examined, July 1, 2011 through June 30, 2012, grant expenditures were in compliance with the grant agreement; however, we identified the following issues that require management attention.

Performance Progress Reporting - Citations

The performance progress report for January through March 2012 identified traffic citations issued, by type. The number of citations issued by type did not equal the total number of traffic citations issued. The difference was traffic citations classified as "other" were omitted from the report.

During the April through June 2012 enforcement campaigns both CVE and non-CVE troopers were used to conduct a larger high-visibility enforcement initiative and allowed the Department to utilize the TACT overtime budget more efficiently. Although both CVE and non-CVE troopers were used, the performance progress report for the quarter did not include the citations issued by the non-CVE troopers.

Finding 1

Quarterly performance progress reports did not accurately report the number of traffic citations issued during the enforcement campaigns.

Recommendation

We recommend the Office of Performance Management ensure that all of the traffic citations issued during enforcement campaigns are accurately reported in the quarterly performance progress reports.

Management Response

The Office of Performance Management and FHP concurs with the recommendation in Finding 1.

This finding is the result of the incorrect reporting and inadvertent omission of uniform traffic citations that were issued during the specialized enforcement period. Citations omitted were the direct result of a change in FHP's enforcement approach under the grant program, in which non-CVE troopers were used to provide enhanced enforcement. Subsequent to notification of this reporting error, a corrected report was submitted to the grantor on October 22, 2012.

Performance Progress Reporting – Overtime

The January through March 2012 financial report, request for reimbursement and supporting documentation for the Daytona enforcement campaign had 724.3 hours of overtime. The corresponding quarterly performance progress report had 446.5 hours of overtime, 277.8 hours less than the request for reimbursement.

The April through June 2012 quarterly financial report, request for reimbursement and supporting documentation for the Miami and Jacksonville enforcement campaign had 2,908.25 hours of overtime. The corresponding performance progress report had 2,817.25 hours of overtime, 91 hours less than the request for reimbursement.

Finding 2

The overtime hours reported on the financial reports and the requests for reimbursement were greater than the overtime hours reported on the quarterly performance progress reports.

Recommendation

We recommend the Office of Performance Management review quarterly reporting packages to ensure the performance progress report is accurate and consistent with the financial report and the request for reimbursement.

Management Response

The Office of Performance Management and FHP concurs with the recommendation in Finding 2.

This finding is the result of the incorrect reporting the total number of overtime hours on the quarterly performance progress report. The progress report did properly reflect the Department's success at meeting specific grant goals and objectives as measured in selected outputs and outcomes (such as a reduction in crashes and the number of citations issued). However, the overtime hours were inadvertently reported in error on the progress report. Subsequent to notification of this reporting error, a corrected report was submitted to the grantor on October 22, 2012.

ATTACHMENT 1 - Purpose, Scope and Methodology

The **purpose** of this audit was to review the expenditures and management of the Commercial Vehicle Enforcement Ticketing Aggressive Cars and Trucks Grant.

The **scope** of this audit is the expenditures and grant management process of the Commercial Motor Vehicle Ticketing Aggressive Cars and Trucks grant from July 1, 2011 through June 30, 2012.

The **methodology** included:

- Reviewing applicable statutes, rules, manuals and procedures;
- Interviewing appropriate Department staff;
- Reviewing grant application packages;
- Reviewing grant quarterly performance reports;
- Reviewing grant quarterly vouchers;
- Reviewing Department correspondence with FMCSA; and
- Reviewing grant documentation.

ATTACHMENT 2 - Audit Team and Statement of Accordance

Engagement Team

Ashlea Whiddon, CIGA, Auditor

Statement of Accordance

Section 20.055, Florida Statutes, requires the Florida Department of Highway Safety and Motor Vehicles' Inspector General to review, evaluate and report on policies, plans, procedures, accounting, financial and other operations of the Department and to recommend improvements.

This audit engagement was conducted in accordance with applicable *International Standards for the Professional Practice of Internal Auditing* published by the Institute of Internal Auditors and Principles and Standards for Inspectors General published by the Association of Inspectors General.

ATTACHMENT 3 - Addressee and Distribution List

Julie L. Jones, Executive Director
Col. David Brierton, Director of Florida Highway Patrol

Copies distributed to:

Diana Vaughn, Deputy Executive Director
Terry Rhodes, Chief of Staff
Jim McCallister, Director of Workforce Services
Dave Westberry, Chief Performance Officer
Lt. Col. Kelly Hildreth, Director of Florida Highway Patrol Operations
Major Dan Starling, Florida Highway Patrol
Captain Roger Norris, Florida Highway Patrol

Melinda M. Miguel, Chief Inspector General
David W. Martin, Auditor General

Florida Department of Highway Safety and Motor Vehicles
Office of Inspector General

ATTACHMENT - Management Response



Julie L. Jones
Executive Director

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MEMORANDUM

November 29, 2012

TO: Julie Leftheris, CPA
Inspector General

FROM: David F. Westberry, Chief Performance Officer *DW*
Captain Roger Norris, Florida Highway Patrol, Commercial Vehicle Enforcement *R. Norris*

SUBJECT: Audit Response

We appreciate the opportunity to respond to the findings resulting from your recent audit of the Department of Highway Safety and Motor Vehicles' Commercial Motor Vehicle Enforcement (CVE) *Ticketing Aggressive Cars and Trucks* Grants program.

On behalf of the Division of Florida Highway Patrol and the Office of Performance Management's Grants Administration Office, we offer the following responses to your Findings and Recommendations:

Finding #1 – Quarterly performance progress reports did not accurately report the number of traffic citations issued during the enforcement campaigns.

Response #1 – We concur.

This finding is the result of the incorrect reporting and inadvertent omission of uniform traffic citations that were issued during the specialized enforcement period. Citations omitted were the direct result of a change in FHP's enforcement approach under the grant program, in which non-CVE troopers were used to provide enhanced enforcement. Subsequent to notification of this reporting error, a corrected report was submitted to the grantor on October 22, 2012.

Finding #2 – The overtime hours reported on the financial reports and the requests for reimbursement were greater than the overtime hours reported on the quarterly performance progress reports.

Response #2 – We concur.

This finding is the result of the incorrect reporting the total number of overtime hours on the quarterly performance progress report. The progress report did properly reflect the Department's success at meeting specific grant goals and objectives as measured in selected outputs and outcomes (such

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Julie Leftheris
Page 2
November 29, 2012

as a reduction in crashes and the number of citations issued). However, the overtime hours were inadvertently reported in error on the progress report. Subsequent to notification of this reporting error, a corrected report was submitted to the grantor on October 22, 2012.

In light of these reporting deficiencies, we will work with our Grant Managers and Grant Advisors to ensure that applicable controls and procedures are adequate to ensure the accuracy of all grant related reports. We appreciate the work of the Inspector General and the members of her team who participated in this audit.

DW/DS/pt

cc: Jim McCallister, Director of Workforce Services
Lt. Col. Kelly Hildreth FHP Deputy Director