



COMISIÓN PARA LA  
SEGURIDAD EN EL TRÁNSITO  
GOBIERNO DE PUERTO RICO

## INFORME DE TRANSICION 2012

### CERTIFICACION VALIDACION DE DOCUMENTOS

#### Sección: Informe Situación Financiera

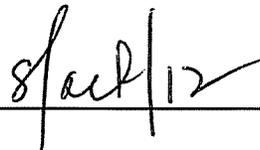
Certifico que la información aquí contenida, es real y que se provee la misma conforme a la Ley Núm. 197 de 2002 "Ley del Proceso de la Transición del Gobierno"

- ✓ Presupuestos: 2008-2009, 2009-2010, 2010-2011, 2011-2012 y 2012-2013
- ✓ Certificación Presupuesto Vigente
- ✓ Management Review 2009-2011

Preparado y Revisado Por:

  
Carmen M. Santiago Sánchez  
Directora Aux. en Administración

Fecha:

  
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**ADMINISTRACION COMPENSACIONES POR ACCIDENTES AUTOMOVILES**  
 Departamento de Finanzas  
**PRESUPUESTO POR OBJETO DE GASTO**  
 2008-2009

**COMISION PARA LA SEGURIDAD EN EL TRANSITO**

Objeto de Desembolso	Presupuesto 2007-2008	Presupuesto 2008-2009	Variación
<b>Gastos Personales</b>			
900 Salarios Regulares Adm	834,964	699,877	(135,087)
902 Seguro Social Adm	66,556	56,830	(9,826)
908 Retiro Adm	77,443	74,914	(2,529)
912 Seguro Médico Adm	65,660	50,000	(15,660)
910 Fondo Seguro del Estado Adm	70,000	48,287	(21,713)
934 Bono Navidad Adm	27,200	23,000	(4,200)
914 Lic. Licencia Enfermedad Adm	8,500	20,000	11,500
916 Lic. Vacaciones Regulares Adm	660	-	(660)
906 Desempleo Adm	3,500	2,000	(1,500)
926 Gastos de Viaje Funcionarios CST.	5,000	-	(5,000)
928 Gastos de Viaje Miembros Junta de Dir.	0	-	-
940 Servicios Prof. y Consultivos	20,000	-	(20,000)
954 Seguro Social Choferil	500	435	(65)
<b>Total Gastos Personales</b>	<b>\$ 1,180,083</b>	<b>975,343</b>	<b>\$ (204,740)</b>

Objeto de Desembolso	Presupuesto 2007-2008	Presupuesto 2008-2009	Variación
<b>Gastos No Personales</b>			
952 Impresos, Quema de Placa	0	0	-
946 Matrícula y Educ. Personal CST.	5,000	0	(5,000)
920 Seguros	3,600	0	(3,600)
948 Gastos De Representación	800	0	(800)
922 Gastos Reunión Personal CST.	3,200	0	(3,200)
958 Arrendamiento De Edificios	-	-	-
938 Arrendamiento Estacionamiento	20,000	15,000	(5,000)
942 Conservación y Reparación Edificios	0	0	-
936 Mat. y Efect. Uso General Sin Clasif	5,500	0	(5,500)
932 Teléfono	20,000	0	(20,000)
956 Servicios Contractuales y Misceláneos	0	0	-
924 Reconocimientos y Condecoraciones	0	0	-
930 Campañas Prevención Accidentes	0	0	-
918 Centro De Cuidado Diurno	25,620	9,657	(15,963)
<b>Total Gastos No Personales</b>	<b>\$ 83,720</b>	<b>\$ 24,657</b>	<b>\$ (59,063)</b>

**Compra De Equipo**

944 Compra de Equipo	0	0	-
<b>Total Compra De Equipo</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Gran Total</b>	<b>\$ 1,263,803</b>	<b>\$ 1,000,000</b>	<b>\$ (263,803)</b>

ADMINISTRACION COMPENSACIONES POR ACCIDENTES AUTOMOVILES  
Departamento de Finanzas  
PRESUPUESTO POR OBJETO DE GASTO  
2009-2010

COMISION PARA LA SEGURIDAD EN EL TRANSITO

Objeto de Desembolso	Presupuesto 2008-2009	Presupuesto 2009-2010	Variación
<b>Gastos Personales</b>			
900 Salarios Regulares Adm	599,577	839,408	139,530
902 Seguro Social Adm	59,830	68,881	12,951
908 Retiro Adm	74,914	84,855	9,941
912 Seguro Médico Adm	50,000	64,800	14,800
910 Fondo Seguro del Estado Adm	48,287	34,295	(13,992)
904 Bono Navidad Adm	23,000	26,000	3,000
914 Lic. Licencia Enfermedad Adm	20,000	-	(20,000)
916 Lic. Vacaciones Regulares Adm	-	-	-
906 Desempeño Adm	2,000	-	(2,000)
926 Gastos de Viaje Funcionarios CST.	-	-	-
928 Gastos de Viaje Miembros Junta de Dir.	-	-	-
940 Servicios Prof. y Consultivos	-	12,000	12,000
954 Seguro Social Choferi	435	491	57
<b>Total Gastos Personales</b>	<b>\$ 975,343</b>	<b>1,130,731</b>	<b>\$ 155,388</b>

Objeto de Desembolso	Presupuesto 2008-2009	Presupuesto 2009-2010	Variación
<b>Gastos No Personales</b>			
952 Impresos, Quema de Placa	0	-	-
945 Matricula y Educ. Personal CST.	0	-	-
920 Seguros	0	3,528	3,528
948 Gastos De Representación	0	-	-
922 Gastos Reunión Personal CST.	0	-	-
958 Arrendamiento De Edificios	-	-	-
938 Arrendamiento Estacionamiento	15,000	15,000	-
942 Conservación y Reparación Edificios	0	-	-
938 Mat. y Elect. Uso General Sin Clasif	0	4,900	4,900
932 Teléfono	0	-	-
958 Servicios Contractuales y Misceláneos	0	-	-
924 Reconocimientos y Condecoraciones	0	-	-
930 Campañas Prevención Accidentes	0	-	-
918 Centro De Cuidado Diurno	9,897	14,840	4,943
<b>Total Gastos No Personales</b>	<b>\$ 24,897</b>	<b>\$ 38,068</b>	<b>\$ 13,411</b>

**Compra De Equipo**

944 Compra de Equipo	0	10,000	10,000
<b>Total Compra De Equipo</b>	<b>\$ -</b>	<b>\$ 10,000</b>	<b>\$ 10,000</b>
<b>Gran Total</b>	<b>\$ 1,000,000</b>	<b>\$ 1,178,799</b>	<b>\$ 178,799</b>

**ADMINISTRACION COMPENSACIONES POR ACCIDENTES AUTOMOVILES**  
 Dirección de Finanzas, Planificación y Presupuesto  
**PRESUPUESTO POR OBJETO DE GASTO**  
 2010-2011

**COMISION PARA LA SEGURIDAD EN EL TRANSITO**

Objeto de Desembolso	Presupuesto 2009-2010	Presupuesto 2010-2011	Variación
<b>Gastos Personales</b>			
900 Salarios Regulares Adm.	\$ 839,408	\$ 844,128	\$ 104,721
902 Seguro Social Adm.	68,881	75,285	6,405
908 Retiro Adm.	64,855	97,568	12,713
912 Seguro Médico Adm.	64,800	60,000	(4,800)
910 Fondo Seguro del Estado Adm.	34,295	35,413	2,118
904 Bono Navidad Adm.	25,000	25,000	(1,000)
914 Lic. Licencia Enfermedad Adm.	-	10,000	10,000
915 Lic. Vacaciones Regulares Adm.	-	-	-
906 Desempleo Adm.	-	3,000	3,000
926 Gastos de Viaje Pensionados CST.	-	-	-
928 Gastos de Viaje Miembros Junta de Dir.	-	-	-
940 Servicios Prof. y Consultivos	12,000	40,000	28,000
954 Seguro Social Choferá	491	492	1
<b>Total Gastos Personales</b>	<b>\$ 1,130,731</b>	<b>\$ 1,291,888</b>	<b>\$ 161,157</b>
<b>Gastos No Personales</b>			
Objeto de Desembolso	Presupuesto 2009-2010	Presupuesto 2010-2011	Variación
<b>Gastos No Personales</b>			
952 Impresos, Quema de Placa	-	-	-
948 Matrícula y Educ. Personal CST.	-	2,000	2,000
920 Seguros	3,526	9,000	5,472
943 Gastos De Representación	-	-	-
922 Gastos Reunión Personal CST.	-	1,000	1,000
955 Arrendamiento De Edificios	-	10,000	10,000
938 Arrendamiento Estacionamiento	15,000	15,000	-
942 Conservación y Reparación Edificios	-	-	-
936 Mat. y Efect. Uso General Sin Clasif.	4,900	4,000	(900)
902 Teléfono	-	20,000	20,000
926 Servicios Contractuales y Misceláneos	-	-	-
924 Reconocimientos y Condecoraciones	-	-	-
930 Campañas Prevención Accidentes	-	-	-
918 Centro De Cuidado Diurno	14,640	14,640	-
<b>Total Gastos No Personales</b>	<b>\$ 36,068</b>	<b>\$ 75,640</b>	<b>\$ 37,572</b>
<b>Compra De Equipo</b>			
944 Compra de Equipo	\$ 10,000	\$ 10,000	\$ -
<b>Total Compra De Equipo</b>	<b>10,000</b>	<b>10,000</b>	<b>\$ -</b>
<b>Gran Total</b>	<b>1,176,799</b>	<b>1,377,528</b>	<b>198,729</b>

ADMINISTRACION COMPENSACIONES POR ACCIDENTES AUTOMOVILES  
 Dirección de Finanzas, Planificación y Presupuesto  
 PRESUPUESTO POR OBJETO DE GASTO  
 2011-2012

COMISION PARA LA SEGURIDAD EN EL TRANSITO

Objeto de Desembolso	Presupuesto 2010-2011	Presupuesto 2011-2012	Variación
<b>Gastos Personales</b>			
900 Salarios Regulares Adm	\$ 844,129	\$ 1,091,494	\$ 117,365
902 Seguro Social Adm	75,288	68,024	10,738
908 Retiro Adm	97,568	110,742	21,174
912 Seguro Médico Adm	60,000	97,200	7,600
910 Fondo Seguro del Estado Adm	36,413	41,607	5,194
924 Bono Navidad Adm	25,000	28,000	3,000
914 Lic. Licencia Enfermedad Adm	10,000	35,000	25,000
916 Lic. Vacaciones Regulares Adm	-	-	-
906 Desempleo Adm	3,000	1,000	(2,000)
926 Gastos de Viaje Funcionarios CST.	-	-	-
928 Gastos de Viaje Miembros Junta de Dir.	-	-	-
940 Servicios Prof. y Consultivos	40,000	70,000	30,000
954 Seguro Social Chaperil	492	200	(292)
<b>Total Gastos Personales</b>	<b>\$ 1,391,868</b>	<b>\$ 1,589,266</b>	<b>\$ 217,378</b>

Objeto de Desembolso	Presupuesto 2010-2011	Presupuesto 2011-2012	Variación
<b>Gastos No Personales</b>			
952 Impresos, Quema de Placa	-	-	-
945 Matrícula y Educ. Personal CST.	2,000	2,000	-
920 Seguros	9,000	9,000	-
949 Gastos De Representación	-	-	-
922 Gastos Reunión Personal CST.	1,000	1,000	-
953 Arrendamiento De Edificios	10,000	10,000	-
936 Arrendamiento Estacionamiento	15,000	15,000	-
942 Conservación y Reparación Edificios	-	-	-
938 Mat. y Elect. Uso General Sin Clasif	4,000	6,000	2,000
932 Teléfono	20,000	20,000	-
936 Servicios Contractuales y Misceláneos	-	-	-
924 Reconocimientos y Condecoraciones	-	-	-
930 Campañas Prevención Accidentes	-	-	-
919 Centro De Cuidado Diurno	14,640	10,000	(4,640)
<b>Total Gastos No Personales</b>	<b>\$ 75,640</b>	<b>\$ 73,000</b>	<b>\$ (2,640)</b>

**Compra De Equipo**

944 Compra de Equipo	\$ 10,000	\$ 5,000	\$ (5,000)
<b>Total Compra De Equipo</b>	<b>\$ 10,000</b>	<b>\$ 5,000</b>	<b>\$ (5,000)</b>
<b>Gran Total</b>	<b>\$ 1,377,528</b>	<b>\$ 1,587,266</b>	<b>\$ 209,738</b>

ADMINISTRACION COMPENSACIONES POR ACCIDENTES AUTOMOVILES  
 Directorio de Finanzas, Planeación y Presupuesto  
 PRESUPUESTO POR OBJETO DE GASTO  
 2012-2013

COMISION PARA LA SEGURIDAD EN EL TRANSITO

Objeto de Describicio	Presupuesto 2011-2012	Presupuesto 2012-2013	Variación
<b>Gastos Personales</b>			
900 Salarios Regulares Adm	\$ 1,051,484	\$ 1,101,767	\$ 50,283
902 Seguro Social Adm	68,024	68,023	1
906 Retiro Adm	118,743	139,224	20,481
912 Seguro Médico Adm	87,200	72,000	15,200
910 Fondo Seguro del Estado Adm	41,607	43,540	1,933
904 Bono Navidad Adm	89,000	90,000	1,000
914 Lic. Licencia Enfermedad Adm	68,000	45,000	23,000
916 Lic. Vacaciones Regulares Adm	-	20,000	20,000
908 Desempleo Adm	1,000	1,000	-
926 Gastos de Viaje Funcionarios CST.	-	-	-
928 Gastos de Viaje Miembros Junta de Dir.	-	-	-
940 Servicios Prof. y Consultivos	70,000	70,000	-
954 Seguro Social Choferi	200	200	-
<b>Total Gastos Personales</b>	<b>\$ 1,509,298</b>	<b>\$ 1,512,754</b>	<b>\$ 3,456</b>

Objeto de Describicio	Presupuesto 2011-2012	Presupuesto 2012-2013	Variación
<b>Gastos No Personales</b>			
952 Impresos, Compra de Placa	-	-	-
946 Material y Educ. Personal CST.	2,000	2,000	-
920 Seguros	9,000	9,000	-
948 Gastos de Representación	-	-	-
922 Gastos Reunión Personal CST.	1,000	1,000	-
958 Arrendamiento De Edificios	10,000	10,000	-
938 Arrendamiento Estacionamiento	15,000	15,000	-
942 Conservación y Reparación Edificios	-	-	-
936 Man. y Elect. Uso General Sin Clasif	9,000	9,000	-
932 Telefonos	20,000	20,000	-
956 Servicios Contractuales y Misceláneos	-	-	-
934 Reconocimientos y Condecoraciones	-	-	-
930 Campañas Prevención Accidentes	-	-	-
918 Centro De Cuidado Diurno	10,000	10,000	-
<b>Total Gastos No Personales</b>	<b>\$ 73,000</b>	<b>\$ 73,000</b>	<b>\$ -</b>

**Compra De Equipo**

944 Compra de Equipo	\$ 5,000	\$ 5,000	-
<b>Total Compra De Equipo</b>	<b>\$ 5,000</b>	<b>\$ 5,000</b>	<b>-</b>
<b>Gran Total</b>	<b>\$ 1,587,348</b>	<b>\$ 1,590,754</b>	<b>\$ 3,406</b>



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Gobierno de Puerto Rico  
ADMINISTRACIÓN DE COMPENSACIONES POR ACCIDENTES DE AUTOMÓVILES



4 de octubre de 2012

### CERTIFICACIÓN

Certifico que el presupuesto asignado por la ACAA a la Comisión para la Seguridad en el Tránsito durante el año fiscal 2012-2013 es de \$1,690,754.

En San Juan, Puerto Rico.

Certifico correcto:

Ruth Sáez Cartagena  
Ayudante de Director  
Directoría de Finanzas,  
Planificación y Presupuesto

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**National Highway Traffic Safety Administration  
Region 2  
Management Review  
of the  
Puerto Rico Traffic Safety Commission**

**Fiscal Years 2009, 2010 and 2011**

**February 15, 2012**

**FINAL**

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## **SPECIAL ACKNOWLEDGEMENTS**

The Review Team would like to extend our thanks and appreciation to Zoriemy Rivera Hernandez, Executive Director of the Puerto Rico Traffic Safety Commission (PRTSC), for taking the time to discuss the progress of the management review and for her expressed interest in the Final Report.

Also, we would also like to thank other key management officials within PRTSC who participated in discussions during the review, specifically Planning Director Maria Isabel Malave, and the dedicated staff in PRTSC who continually provided their time and assistance to ensure that the necessary documentation, information and facilities were available to facilitate completion of the management review in a timely manner.

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**National Highway Traffic Safety Administration  
Region 2  
Management Review  
of the  
Puerto Rico Traffic Safety Commission  
Fiscal Years 2009, 2010 and 2011**

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## **EXECUTIVE SUMMARY**

This report details the results of a Management Review (MR) of the Puerto Rico Traffic Safety Commission (PRTSC) covering Federal Fiscal Years 2009, 2010 and 2011. The review was conducted by the National Highway Traffic Safety Administration (NHTSA) Region 2 and included an on-site visit to the PRTSC in San Juan, Puerto Rico, during the period of September 12 through September 16, 2011.

An MR is a review of a State Highway Safety Office's (SHSO's) systems and programs and operational processes for the purpose of improving and strengthening highway safety practices to ensure efficient administration and effective planning, programming, implementation and evaluation of programs that have potential for saving lives.

The MR assessed the adequacy of PRTSC's organization and staffing, program management and financial management systems, programs, policies and procedures as they relate to its federally-funded highway safety program.

A total of two required actions and 10 recommended action items were identified during the MR on which NHTSA has specified that action be taken to improve the State's highway safety program. The details regarding each item are discussed in Section VI of this report.

## SUMMARY OF COMMENDATIONS, MANAGEMENT CONSIDERATIONS AND FINDINGS

The following summarizes the commendations, management considerations and findings identified during the MR. The details regarding each item and any associated action are located in Section VI of this report.

### Organization and Staffing

- A-1 Training for PRTSC management and staff - *Management Consideration*
- A-2 Law Enforcement Program Manager position - *Management Consideration*

### Program Management

- B-1 Internal controls - *Management Consideration*
- B-2 Monitoring and oversight - *Management Consideration*
- B-3 Use of data in the HSP problem identification process - *Management Consideration*
- B-4 Project agreements - *Management Consideration*

### Financial Management

- C-1 Timely reimbursement of funds to subgrantees - *Commendation*
- C-2 Time and Attendance records (Bi-Annual certifications) - *Finding*
- C-3 Single Audit Act - *Finding*
- C-4 Allocation of Occupant Protection funds - *Management Consideration*
- C-5 Liquidation of S.408 funds - *Management Consideration*

## CONCLUSIONS

Except for the compliance items (Finding) identified above, and discussed in more detail in Section VI, NHTSA has determined that PRTSC is satisfactorily performing the functions and activities listed in Section III of this report. However PRTSC has been on High Risk status since May 18, 2011, due to inability to effectively manage the highway safety program.”

One area was noted by the NHTSA review team for commendation, signifying strong efforts to produce positive performance. NHTSA reviewers identified two management areas that were found to be non-compliant with State/Federal regulations and/or guidelines. PRTSC is required to take the corrective action recommended to address non-compliance. Also, NHTSA identified eight management areas (management considerations) that do not involve non-compliance, but have the potential of impacting the effectiveness and efficiency of the highway safety management process. The recommended actions are not requirements, but are possible measures that the PRTSC can take to improve internal control. NHTSA looks forward to working with the PRTSC to implement those recommended actions which are accepted by the State and all of the required actions.

**NHTSA Region 2  
Management Review  
of the  
Puerto Rico Traffic Safety Commission**

**Fiscal Years 2009, 2010 and 2011**

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## **I. PURPOSE**

This MR was conducted for the purpose of improving and strengthening the Commonwealth of Puerto Rico's highway safety program to ensure efficient administration and effective planning, programming, implementation and evaluation of programs that have potential for saving lives. Also, the review documents the PRTSC's administration and management of the federally funded highway safety program, including best practices.

The three programmatic areas which traditionally fall within the scope and confines of a MR include organization and staffing, program management and financial management. These three components are the foundation for this review report.

## **II. AUTHORITY**

The Highway Safety Act of 1978, which amended Section 402(b) (1) (a) of Title 23, United States Code, provides that the Secretary of Transportation does not approve any highway safety program which does not:

*" . . . provide that the Governor of any State shall be responsible for the administration of the program through a State Highway Safety Agency which shall have adequate powers, and be suitably equipped and organized to carry out, to the satisfaction of the Secretary such program."*

The Secretary of Transportation has delegated the authority and responsibility for assuring compliance with this provision to the National Highway Traffic Safety Administration.

As stated in 49 CFR § 18.42 (e) (1)

*"The awarding agency and the Comptroller General of the United States, or any of their authorized representatives, shall have the right of access to any pertinent books, documents, papers, or other records of grantees and sub-grantees which are pertinent to the grant, in order to make audits, examinations, excerpts, and transcripts."*

Section 1200.25 of Title 23, CFR provides that:

*“ If a review of the Annual Report required under § 1200.33 of this part or if other relevant information indicates little or no progress toward meeting the State goal, the approving Official and State officials will jointly develop an improvement plan. This plan will detail strategies, program activities, and funding targets to meet the defined goals.”*

The NHTSA Associate Administrator of Injury Control Operations and Resources (now referred to as Regional Operations and Program Delivery—ROPD) issued “Guidance and Oversight for State Highway Safety Programs” dated April 23, 2004, to NHTSA Regional Administrators requiring that Management Reviews be conducted in each state once every three years. NHTSA’s Management Review Guidelines were issued to direct regions on the uniform implementation of management reviews. The Management Review Guidelines were revised effective May 14, 2009.

Section 2008 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU, P.L. 109-59), states:

*“At least once every 3 years the Secretary shall conduct a review of each State highway safety program. The review shall include a management evaluation of all grant programs funded under this chapter. The Secretary shall provide review-based recommendations on how each State could improve the management and oversight of its grant activities and may provide a management and oversight plan for such grant programs.” (23 USC § 412 (a) Triennial State Management Reviews)*

### **III. SCOPE**

This report reflects the results of a MR of the PRTSC covering Federal Fiscal Years 2009, 2010 and 2011. The review was conducted by the National Highway Traffic Safety Administration (NHTSA) Region 2.

As part of this MR effort a formal examination was conducted on-site at the PRTSC’s office in San Juan, Puerto Rico during the period September 12 - September 16, 2011. The NHTSA review team included Region 2 Deputy Regional Administrator Richard Simon (team leader), and Regional Program Managers Francisco Gomez and Leslie Nelson-Taullie.

The MR was initiated on September 12, 2011 with a briefing by the NHTSA review team for Zoriemy Rivera Hernandez, PRTSC Executive Director; Rosana M. Aguilar Zapata, Deputy Secretary for Federal Affairs; Maria Isabel Malave, Planning Director; and Darnie Muñoz, Administration Director. This briefing addressed the purpose of and authority for the MR, the review process and logistics, and the timetable for completing the review report.

A portion of the review was devoted to documenting the use of grant funds awarded to the State under SAFETEA-LU. Also, a determination was made as to the eligibility of the funded

activities and projects reviewed, based upon the implementing regulations for each grant program. Primarily, the team reviewed documents from fiscal years 2009, 2010 and 2011.

At the conclusion of the MR on-site visit, on September 16, 2011, the NHTSA review team briefed Zoriemy Rivera Hernandez, Executive Director of PRTSC; Maria Isabel Malave Rodriguez, Planning Director; and Darnie Muñoz, Administration Director. This briefing discussed the preliminary findings, management considerations and commendations identified during the on-site review. The team also addressed definitions of key terms, and the timeline for the MR report development.

In accordance with NHTSA guidance, the following areas were specifically selected for review:

- A. Organization and Staffing
  - Enabling Legislation and Functions
  - Organizational Structure and Placement in Overall State Organization
  - Staffing
  - Delegations of Authority
  - Personnel Development and Training
  
- B. Program Management
  - Planning and Programming
  - Implementation
  - Monitoring and Review
  - Program Strengths
  
- C. Financial Management
  - Financial Management Systems
  - Grant Payments – Vouchers
  - Audits
  - Matching Funds
  - 40 Percent Local Benefit
  - Planning and Administration
  - Program Management Costs
  - Time and Attendance
  - Project Equipment
  - Indirect Costs
  
- D. Project File Reviews

The team examined projects identified in Appendix A. Files for FY 2009, FY 2010 and FY 2011 were selected for review based on a number of factors including project, dollar value of grants, relative risk of a project based on previous monitoring results, and programmatic/geographical representation.

The MR review team examined 15 FY 2009 projects out of a total of 121 representing a dollar value of \$1,188,554 out of \$13,684,964 or 8.7 percent of funds expended that

fiscal year. For the FY 2010 fiscal year, 13 projects were reviewed out of a total of 120 representing a dollar value of \$897,969 out of \$11,928,166 or 7.5 percent of highway safety funds expended that fiscal year. For the FY 2011 fiscal year, 12 projects were reviewed out of a total of 123 representing a dollar value of \$423,700 out of \$3,018,890 or 14 percent of highway safety funds expended that fiscal year through voucher 2011-11.

#### **IV. REVIEW PARTICIPANTS**

The Region thanks all those who participated in the review, in particular:

- Zoriemy Rivera Hernandez, Executive Director of Puerto Rico Traffic Safety Commission (PRTSC)
- Maria Isabel Malave Rodriguez, Planning Director, PRTSC
- Darnie Muñoz Marrero, Administration Director
- Millie Santiago, Special Assistant, ACAA
- Jannette Rodriguez, Accountant, PRTSC
- Ingrid Bofill, Auxiliary Accountant, PRTSC
- Juan Ramon Lopez, Monitor, PRTSC
- Luz B. Marrero Rivera, Monitor, PRTSC
- Omayra Garcia, Monitor, PRTSC
- Kathy De Jesus Claudio, Communications Officer, PRTSC
- Digna Collazo, Administrative Officer

#### **V. STATUS OF OPEN REQUIRED ACTIONS FROM PREVIOUS REVIEW**

The findings and required actions from the NHTSA Management Review of FY 2008 and the Corrective Action Plan dated, April 14, 2009, have been addressed and completed, as of September 16, 2011.

As a result of oversight activities conducted by NHTSA Region 2 in FY2011, including a voucher review and a review of equipment requests made by PRTSC, NHTSA became aware of the misallocation of Section 154 and Section 164 transfer funds for general patrol use instead of alcohol impaired driving countermeasures. This failure, along with the conduct of a non-compliant safety belt observational survey and overspending of Section 402 funds in FY 2010, led to the Commonwealth's high risk designation in May, 2011.

## **VI. COMMENDATIONS, MANAGEMENT CONSIDERATIONS, RECOMMENDED ACTIONS, FINDINGS AND REQUIRED ACTIONS**

### **Glossary of Terms**

For purposes of this report, the following terms apply:

#### **Management Review (MR)**

A review of a State Highway Safety Office's (SHSO's) systems and programs and operational processes for the purpose of improving and strengthening highway safety practices to ensure efficient administration and effective planning, implementation and evaluation of programs that have potential for saving lives.

#### **Finding (F)**

A determination that one or more areas of review are in non-compliance with Federal and/or State laws, regulations, rules, and/or federal written policy and/or guidelines.

#### **Required Action (RA)**

A specific corrective action based on Federal and/or State laws, regulations, rules, and/or federal written policy and/or guidelines which must be implemented by the State to resolve a non-compliance issue (Finding). The status of the open Required Actions will be documented in the Corrective Action Plan.

#### **Corrective Action Plan (CAP)**

A document developed jointly between NHTSA and the SHSO that identifies actions to address findings set forth in the Management Review Final Report, tasks to complete the actions, target dates for completion of each task, and a status element for indicating progress of each required action based upon periodic reporting by the State. This includes a signed letter of understanding, also.

#### **Management Consideration (MC)**

A determination that one or more areas of review may be in need of additional progress or improvement and, if improved, have the potential to enhance the overall efficiency and/or effectiveness of the State's highway safety program.

#### **Recommended Action**

A recommended approach based on a management consideration which has the potential to enhance program efficiency and effectiveness. Since recommendations by definition *do not* concern non-compliance issues, but rather fall into the good business practice realm, the State would not be obligated to implement proposed remedies.

#### **Recommended Action Tracking form**

A document developed by NHTSA with input from the SHSO that identifies: actions to address management considerations set forth in the Management Review Final Report; tasks (by the SHSO and the NHTSA) to complete the actions; target dates for completion of each task; and progress of each recommended action based upon semi-annual follow-up with the

SHSO by NHTSA. The Regional Office *will* track all recommended actions listed in the MR Final Report.

**Commendation**

A recognition of strong effort(s), best practices and/or exemplary performance.

**High Risk Grantee**

A grantee or sub-grantee determined by the awarding agency to:

- have a history of unsatisfactory performance;
- be financially unstable;
- have a management system which does not meet the management standards set forth in 49CFR §18:12;
- not conform to terms and conditions of previous awards, or;
- be otherwise not responsible.

## **A. ORGANIZATION AND STAFFING**

### **Management Consideration A-1: Training for PRTSC management and staff**

The Management Review revealed that the majority of the PRTSC staff who are directly responsible for the day-to-day administration and oversight of the Federal highway safety funds are not properly trained in their job duties. Critical job duties should be based on strong project and program management skills, including problem identification, goal setting, budget management and administration.

Management of the highway safety program is rooted in the fiscal and administrative proficiency of its staff. NHTSA offers a variety of highway safety core competency courses such as *Managing Federal Finances and Tracking Grants* and *Highway Safety Program Management*. A brief description of the content for each course is below.

*Managing Federal Finances and Tracking Grants* emphasizes Federal rules and regulations governing the management and expenditure of highway safety funds, including eligible and ineligible expenses; program matching rates; Single Audit requirements; and voucher preparation and submission.

*Highway Safety Program Management* addresses the development, implementation, and evaluation of the annual highway safety plan; oversight responsibilities, including project monitoring; and other elements critical to sound program management.

The team acknowledges that training on the mainland involves a significant commitment of time and money. However, attendance at these core competency courses will enhance the skills, capabilities, and knowledge of the PRTSC staff thus facilitating the Commonwealth's implementation of corrective actions needed to no longer be considered a high risk grantee.

#### **Recommended Action A-1a:**

PRTSC should develop and implement a training plan for all employees, including monitors, coordinators, fiscal staff, special assistants, and directors. Deference should be given to those in need of the core competency courses, *Managing Federal Finances and Tracking Grants* and *Highway Safety Program Management* or their equivalent if available.

#### **Recommended Action A-1b:**

The PRTSC's Executive Director and Planning Director should consider attending the Governor's Highway Safety Association's Executive Seminar. Information on this course is available at [www.ghsa.org](http://www.ghsa.org). This course reviews each of the current NHTSA federal grant programs, qualifications prerequisites, eligible use of funds, match rates, and other important grant related topics.

**Management Consideration A-2: Law Enforcement Program Manager position**

Despite Puerto Rico's small size, there are more than 78 law enforcement agencies in the Commonwealth. On an annual basis, these agencies receive approximately 45 percent of the total amount of highway safety funding awarded to the PRTSC. These grant awards, which fund overtime enforcement and the purchase of equipment, requires extensive coordination and planning for these activities to impact Puerto Rico's highway safety problem. Given the large number of agencies receiving funding, the amount of grant funds involved, and the specialized nature of traffic enforcement, ensuring that the PRTSC has the personnel to coordinate these activities is essential.

Highway safety offices commonly use either a Police Traffic Services Program Coordinator or a Law Enforcement Liaison (LEL) to coordinate and oversee the law enforcement grants. This individual, who typically has a law enforcement background with a specialty in highway safety, can assist in educating local law enforcement leaders about the need for traffic enforcement; coordinate high visibility enforcement activities; assist with media events; provide technical assistance to local communities; promote data driven resource allocation; encourage best practice strategies; and provide guidance about emerging issues.

Management Consideration C-4 questions PRTSC's allocation of Occupant Protection funds to media and child passenger safety activities at the expense of the proven countermeasure of High Visibility Enforcement (HVE). PRTSC, as currently staffed, lacks a strong advocate HVE. A PTS coordinator or LEL would likely serve in that role, and as a result more funds would likely be allocated to HVE.

**Recommended Action A-2:**

PRTSC should establish either a Police Traffic Services Program Coordinator position or obtain the services of a Law Enforcement Liaison, to better manage that aspect of its highway safety program. A competent LEL working alongside properly trained grants managers will strengthen the enforcement partnerships making them more efficient and effective high visibility enforcement programs that are compliant with all grant legislation.

## **B. PROGRAM MANAGEMENT**

### **Management Consideration B-1: Internal controls**

OMB Circular A-123, "II. Establishing Management Controls", defines Management Controls as "... the organization, policies, and procedures used by agencies to reasonably ensure that:

- (i) programs achieve their intended results;
- (ii) resources are used consistent with agency mission;
- (iii) programs and resources are protected from waste, fraud, and mismanagement;
- (iv) laws and regulations are followed; and
- (v) reliable and timely information is obtained, maintained, reported and used for decision making."

In 2011, PRTSC was designated a high risk jurisdiction by NHTSA due in part to the lack of adequate internal controls within the organization that allowed the overspending of Section 402 highway safety grant funds by an estimated \$600,000. During the review, we found a weakness in the PRTSC that allowed authorization of additional funding to sub-recipients without the necessary checks and balances to justify increased funding or to verify availability of funds.

Also, a review of project files revealed that PRTSC lacks strong internal controls in program management, despite having written policies and procedures in place. The review team found that projects are being monitored on a sporadic basis at the discretion of individual monitors, without abiding by established procedures which require each project to be visited four times per year. More detail is provided in Management Consideration B-2, below.

#### **Recommended Action B-1:**

NHTSA recommends that the PRTSC strengthen its internal controls and include them in an updated policies and procedures manual that provides clear guidance and direction for staff to carry out their day to day program management and administrative responsibilities. Once updated, both staff and subgrantees should be trained in its contents and use, and a system should be established so that the manual is reviewed and updated annually.

As discussed during the review, PRTSC is currently updating the manual with NHTSA input. To ensure compliance with the procedures the Director and Planning Director should periodically audit project files, monitoring logs and grant review procedures.

### **Management Consideration B-2: Monitoring and oversight**

The PRTSC, not unlike other highway safety offices, relies heavily upon subgrantee and contractor integrity to administer the grants in order to achieve its mission and performance objectives. 49 CFR 18.40 ("Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments") and 23 CFR 1251.4 (f) ("State Highway Safety Agency") requires monitoring of these grant-funded programs and activities.

The PRTSC has a *Project Monitoring Policies and Procedures* document which establishes a framework for effective monitoring, and requires the staff to conduct at least four on-site

monitoring visits during the year for each project. The policy also permits the use of phone and desk audits to supplement the required visits. PRTSC complies with Federal regulations in that its projects are reviewed in some capacity.

The PRTSC becomes vulnerable when it does not consistently adhere to its own monitoring policies and procedures. Of the 40 projects sampled, none provided evidence that on-site monitoring had been conducted during the program year. Although some of the files contained a review sheet, the information being reported would not constitute monitoring as described in the *Project Monitoring Policies and Procedures* manual.

The purpose of the monitoring process, including on-site visits, is to test the integrity of a grantee's procedures using a set of known criteria to assess compliance with Federal regulations and State laws. Tremendous insight comes from observing program operations and reviewing financial records. Effective monitoring encourages greater accountability from grantees and contractors over time. It is a valuable tool for detecting and resolving problems during the project year so that adjustments can be made prior to close-out.

**Recommended Action B-2a:**

PRTSC management should strengthen its monitoring policies by developing an annual monitoring plan at the beginning of the Federal fiscal year.

**Recommended Action B2-b:**

The PRTSC should develop a monitoring form that prompts the monitors to address critical elements of a project, including but not limited to time keeping records, voucher/source document review, equipment inventory records, and performance against the project agreement. These reports should be filed in each project, upon acceptance from PRTSC management.

**Management Consideration B-3: Use of data in the Highway Safety Plan problem identification process**

Data in Puerto Rico's FY09-11 Highway Safety Plans (HSPs) are limited almost exclusively to fatality data obtained from its crash records system. The review team believes that additional data should be provided, sufficient to tie broad program area goals to the specific countermeasures proposed in the Plan. This data might include injury data from its crash records system; license, registration and conviction data from other records systems; as well as demographic, geographic and other data from various sources.

For example, the HSPs provide some impaired driving fatality data, but not enough to support the tasks of funding the Breath Test or Chemical Analysis Units of the PR Police Department, the training of municipal judges, or the establishment of a DWI Prosecutor position. Additionally, the FY11 HSP proposed funding 29 Community Traffic Safety Programs (CTSPs), yet no local data was provided to support or justify the selection of these communities or regions.

By limiting the problem identification and data analysis in its HSPs, PRTSC does not provide a clear link between the overarching problems identified at the State level and the practical strategies and countermeasures selected for funding.

**Recommended Action B-3:**

PRTSC should better articulate and justify selected tasks and countermeasures in its HSPs. Consider analyzing additional types of data described above to further define and focus the data now used to identify priority areas, and to more clearly articulate how and why specific tasks and countermeasures were selected for funding and implementation.

**Management Consideration B-4: Project agreements**

PRTSC lacks a systematic review process for subgrantee applications, making it difficult to determine how funding decisions are made. In several instances, the budget maintained by the accountant, known as the "Project List Report" (PLR), differed from the budgets contained in project files, with no amendments or explanations. For example:

<u>Project #</u>	<u>Description</u>	<u>Award amount</u>	<u>PLR amount</u>
10-06-38	Fiesta X	\$85,724	\$52,437.77
10-01-12	Impaired Media Campaign	\$404,487.75	\$368,137.22
10-01-06	Special DWI Prosecutor	\$149,037	\$90,611.96

In addition, the ability of PRTSC to achieve its overall traffic safety goals is dependent in large part by monitoring and evaluating subgrantee performance. To effectively do so, project proposals must have strong problem identification, quantified goals and objectives, and appropriate countermeasures. Furthermore, program coordinators with subject matter expertise should be involved in assessing proposals and conducting monitoring to ensure adequacy and completeness of critical elements. Many projects reviewed fell short of providing such detail. For example, the Quebradilla CTSP project (10-03-39) provided poor problem identification with limited data and no goals or objectives. PRTSC's ability to monitor project performance would improve significantly by strengthening project agreements awarded to its subgrantees.

**Note:** As a result of the high risk designation in FY2011, PRTSC program coordinators have begun working closer with monitors in reviewing project proposals. In addition, PRTSC has provided additional training to its staff and has adopted a project review checklist. NHTSA has also been reviewing proposals as a condition of the high risk designation and will provide the final approval for all FY2012 projects in an effort to help PRTSC strengthen agreements.

**Recommended Action B-4:**

PRTSC should develop a systematic project review process and require that all proposals include detailed, descriptive problem identification, and clear goals and objectives based on reliable data and documented needs. Further, PRTSC should involve program coordinators in the review process to add further insight and scrutiny.

## **C. FINANCIAL MANAGEMENT**

### **Commendation C-1: Timely reimbursement of funds to subgrantees**

Dating back to 2005, NHTSA Management Reviews and independent A-133 audits have cited the Commonwealth for lack of compliance with 31 CFR 205, the *Cash Management Improvement Act of 1990*, which requires timely disbursement of Federal funds from grantees to its subgrantees. As a result of the recent implementation of several new procedures, coupled with the cooperation of PRTSC and ACAA (Administración de Compensaciones por Accidentes de Automóviles), disbursements are now routinely made only one or two days after reimbursement of federal funds, as compared to levels sometimes exceeding 60 days in the past.

### **Finding C-2: Time and Attendance records (Bi-Annual certifications)**

2 CFR Part 225 Attachment B §8.h. (3) relates to support required for salaries and wages, and requires employees who worked solely on a single Federal award or cost objective to “periodically certify that they worked solely on that program during the period of the certification. The certifications are to be prepared at least semi-annually and must be signed by the employee or supervisory officials having firsthand knowledge of the work performed by the employee.”

Project files show that while PRTSC staff has not complied with this provision in FY09 and FY10, staff has complied with the semi-annual certifications for the first half of FY11. However, CTSP project directors working exclusively on the S.402 program have not complied with the semi-annual certification requirement at all in FY09, FY10 or FY11.

#### **Required Action C-2:**

PRTSC must ensure that all individuals working solely on a single Federal highway safety grant submit semi-annual certifications to PRTSC in accordance with 2 CFR 225 Attachment B §8.h. (3), which relates to support required for salaries and wages.

### **Finding C-3: Single Audit Act**

49 CFR 18.26 (b) requires States to “... determine whether State or local subgrantees have met the audit requirements of the (Single Audit) Act” and “...ensure that appropriate corrective action is taken within six months after receipt of the audit report in instance of noncompliance with Federal laws and regulations.”

PRTSC does not have a system in place to monitor subgrantee compliance with OMB Circular A-133, nor can it identify another government agency that may have that responsibility. As a result, PRTSC cannot determine subgrantee compliance with OMB Circular A-133, or ensure that correct actions are taken in instances of non-compliance with Federal laws and regulations by its subgrantees.

#### **Required Action C-3:**

PRTSC must comply with the requirements of 49 CFR 18.26 (b), i.e. must ensure that all its subgrantees meet the requirements of OMB Circular A-133. Conducting routine, periodic searches of the Federal Audit Clearinghouse (<http://harvester.census.gov/sac>)

and monitoring any corrective actions would allow PRTSC to comply with these requirements.

**Management Consideration C-4: Allocation of Occupant Protection (OP) funds**

As a result of its many strong occupant protection laws, Puerto Rico has received approximately \$325,000 in S.405 Occupant Protection (OP) Incentive Grant funds every year since the inception of the current authorizing legislation. This has provided the Commonwealth with the ability to supplement its S.402 OP obligations with a funding stream dedicated to high visibility enforcement (HVE), paid media, and Child Passenger Safety (CPS) countermeasures.

The following table reflects the combined approximate expenditure of S.402 and S.405 funds in the broad categories of OP enforcement, OP paid media and CPS:

	FY09		FY10		FY11	
	Expended	%	Expended	%	Expended	%
<b>OP enforcement</b>	\$295,000	25%	\$95,000	16%	\$0	0%
<b>OP paid media</b>	\$410,000	35%	\$335,000	56%	\$15,000	19%
<b>CPS education/ fitting stations</b>	\$480,000	40%	\$170,000	28%	\$65,000	81%
<b>TOTAL</b>	\$1,185,000		\$600,000		\$80,000	

As the chart indicates, OP enforcement expenditures have declined tremendously. Further, only \$30,000 had been programmed to OP enforcement activities in FY11 at the time of the review. Although funding of paid media and CPS initiatives are allowable under S.402 and S.405, no data is provided in the FY09-11 HSPs to adequately justify the comparatively large expenditure of funds on CPS activities, other than the inclusion of child restraint use rates. Conversely the FY11 HSP, for example, shows that unrestrained occupant fatalities above the age of 4 rose 20 percent - from 87 to 104 - from 2008 to 2009.

Through discussions with PRTSC and observations made by the review team, it seems that the allocation of OP funds to media and CPS and away from HVE is the result of PRTSC's internal HSP planning and project review processes, both of which are conducted without the benefit of a PTS coordinator or LEL who is articulate in the implementation of HVE campaigns. See Management Consideration A-2 for a more detailed discussion.

Although the allocation of OP funds is allowable and at the discretion of the PRTSC, we believe that the fatality data, the known effectiveness of High Visibility Enforcement, and the need to meet the requirement of implementing activities to support the National seat belt mobilization together suggest that OP funds are not allocated in the most effective manner.

**Recommended Action C-4:**

PRTSC should align its funding allocations within the Occupant Protection program - both S.402 OP and S.405 - according to the relative nature and scope of the problems identified and the likelihood that countermeasures selected for funding and

implementation will lead to a reduction in crashes, injuries and fatalities and achievement of the goals established in the HSP.

#### **Management Consideration C-5: Liquidation of S.408 funds**

A fundamental expectation of Congress is that funds made available to States will be utilized promptly and effectively to address the highway safety problems for which they were authorized. One measure to assess the effectiveness of a state's highway safety program is whether available funds are expediently awarded and expended, or whether they are largely carried forward into a subsequent year. A review of PRTSC expenditures shows an extremely low liquidation levels for the Sections 408 incentive grant program.

From FY06 through FY10, PRTSC received a total of \$2,406,022 in S.408 funds yet has spent only \$196,765, or 8 percent, of these funds over the course of that time. PRTSC has since received an additional \$500,000 in FY11 funds, which has resulted in an even wider gap between funds awarded and liquidated.

Contributing to the slow liquidation of S408 funds was a vacancy at the Commission for a Traffic Records Coordinator for several years. A coordinator was hired in mid 2010. This position is responsible for the planning, programming and budgeting of the S408 funded projects. Further, the Commission seemingly set a low priority for identification for traffic records projects to be awarded to partner agencies. As a result of these and other factors, the funds were never assigned to subrecipient projects.

Despite these failings, the Commonwealth's Traffic Records Coordinating Committee was able to operate at the minimum level needed to demonstrate progress in accomplishing the goals and objectives in the Traffic Records Strategic Plan. Subsequent year approvals centered on progress demonstrated by non S408 funded projects.

#### **Recommended Action C-5:**

NHTSA recommends that PRTSC develop a strategy to more rapidly liquidate S.408 grant funds. Critical elements of this strategy are:

- (1) A plan at the beginning of each fiscal year for obligating all available funds, and to commit them to grants as early as possible;
- (2) A scheduled monthly analysis of S408 funded projects and the TRCC's viability.
- (3) Periodic projection of expenditure rates and budgets to assess whether projects can be spent by year end;
- (3) Continued care to amend budgets and release project monies to new projects waiting in the funding queue, and
- (4) Reprogram unspent funds in a timely manner for carryover into the following fiscal year.

## **Voucher Reviews**

NHTSA conducted three voucher reviews. The team reviewed FY 2009 Voucher 13 covering the period 9/1/09-9/30-09, in the amount of \$1,434,756. The total reimbursement amount for all grant programs in FY 2009 was \$13,684,964.

The team verified costs from FY 2010 Voucher 4 covering the period 1/1/10 – 1/31/10, in the amount of \$1,151,814. The total reimbursement amount in FY 2010 was \$11,928,166.

Also, the team verified costs from FY 2011 Voucher #11 covering the period 7/1/11-7/31/11, in the amount of \$365,529. The total reimbursement amount in FY 2011 as of Voucher #11 was \$3,018,890.

All vouchers reconciled with the source documentation.

## **Appendix B**

Appendix B represents the financial status of PRTSC for Fiscal Years: 2009, 2010 and 2011. The report provides obligation limitations, carry forward funds and expenditures for each of the years reviewed.

Note: A significant amount of total available funds for each fiscal year reviewed are S154/S164 Hazard Elimination (HE) funds. HE funds represent 23.8%, 33.6%, 44% of the totals for FY2009, FY2010 and FY2011, respectively.

## APPENDIX A. PROJECTS SELECTED FOR DETAILED EXAMINATION

### 2009 Projects

Project Number	Funding Source	Amount Expended	Agency and Description
09-08-02	402 PS	252347	PRTSC - Traffic Safety Park - PESET
09-06-23	402 CP	81293	Community Program Trujillo Alto
09-06-18	402 CP	62101	Community Program Humacao
09-06-14	402 CP	1786	Community Program Ponce
09-04-03	402 PA	100644	PRTSC - P&A
09-03-74	405	9859	Traffic Enforcement Municipal Police - Barceloneta
09-03-70	405	3656	Traffic Enforcement Municipal Police - Trujillo Alto
09-03-66	405	4936	Traffic Enforcement Municipal Police - Naranjito
09-03-05	405	3962	Traffic Enforcement Municipal Police - Guaynabo
09-03-25	405	0	Traffic Enforcement Municipal Police - Florida
09-05-39	405	74975	PR Fire Department Fitting Stations
09-12-06	406 OP	322247	PRTSC - CPS paid media
09-01-04	164 AL	224200	PR Police Dept - Impaired Driving Chemical Analysis
09-03-83	410	38769	Municipal Traffic Enforcement - Guannica
09-03-88	410	7779	Municipal Traffic Enforcement - Camuy
<b>Total</b>	<b>15</b>	<b>\$ 1,188,554.00</b>	

### 2010 Projects

Project Number	Funding Source	Amount Expended	Agency and Description
10-06-38	402 CP	52438	Fiesta X - Office of Juvenile Justice
10-13-09	402 MC	75000	Motorcycle Safety
10-03-03	402 PT	28800	PRTSC - PT Coordinator
10-03-39	402 PT	12420	Traffic Enforcement Municipal Police - Quebradillas
10-03-15	402 PT	22801	Traffic Enforcement Municipal Police - Aguadilla
10-03-76	402 PT	21265	Traffic Enforcement-San German
10-04-02	402 PA	83021	PRTSC - P&A
10-03-75	405	0	Traffic Enforcement Municipal Police - Juana Diaz
10-03-74	405	3492	Traffic Enforcement Municipal Police - Barceloneta
10-12-12	2010	105447	PRTSC - Motorcycle safety paid media
10-03-79	410	34495	Traffic Enforcement Municipal Police - Comerio
10-01-06	164 AL	90612	Special DWI Prosecutor Unit - Department of Justice
10-01-12	164 AL	368178	Impaired Driving Mass Media
<b>Total</b>	<b>13</b>	<b>\$ 897,969.00</b>	

## 2011 Projects

Project Number	Funding Source	Amount Expended	Agency and Description
11-04-02	402 PA	57635	PRTSC – P&A
11-12-12	402 MC	24394	Motorcycle Safety Paid Media
11-05-03	402 OP	33245	PRTSC -OP Coordinator
11-06-07	402 CP	16449	CTSP - Morovis
11-12-03	402 PM	20836	PRTSC - Speed PM campiagn
11-13-06	402 MC	44372	PRTSC – MC Coordinator
11-07-10	408	158440	DTOP – Data backlog
11-01-13	154 AL	24102	PRTSC – AL Coordinator
11-01-23	154 AL	32850	Seneriz Foundation – MADD
11-02-05	154 AL	11377	FIESTA – UPR/Mayaguez
11-04-07	154 AL	0	PRTSC – AL P&A
11-04-12	164 PA	0	PRTSC – AL P&A
<b>Total</b>	<b>12</b>	<b>\$ 423,700.00</b>	

## APPENDIX B. EXPENDITURES AND CARRY FORWARD

Grant Program	FY 2009					FY 2010					FY 2011	
	Carry Forward	Limitation	Total Available	Expended	Carry Forward	Limitation	Total Available	Expended	Carry Forward	Limitation	Total Available	Expended as of Voucher #11 (9/02/11)
Section 402	\$1,070,722	\$2,362,117	\$3,432,839	\$2,917,911	\$514,928	\$2,363,947	\$2,878,875	\$2,878,829	\$253	\$2,137,866	\$2,138,119	\$1,178,101
SAPETEALU 405	\$187,188	\$330,916	\$518,104	\$433,870	\$84,255	\$318,631	\$402,866	\$401,690	\$1,176	\$316,195	\$317,371	\$4,
SAPETEALU 410	\$2,594,301	\$1,874,700	\$4,469,001	\$2,245,722	\$2,223,279	\$1,354,854	\$3,378,135	\$2,139,596	\$1,483,537	\$1,477,610	\$1,483,537	\$613,384
Section 408	\$1,406,022	\$500,000	\$1,906,022	\$22,331	\$1,883,691	\$500,000	\$2,383,691	\$3,599	\$2,380,092	\$500,000	\$2,880,092	\$193,166
Section 2010	\$156,442	\$100,000	\$256,442	\$109,538	\$146,903	\$100,000	\$246,903	\$146,853	\$100,050	\$0	\$100,050	\$0
Section 406	\$809,712	\$665,545	\$1,475,257	\$1,471,319	\$3,938	\$0	\$3,938	\$3,676	\$262	\$0	\$262	\$0
Section 154AL	\$1,570,924	\$1,936,155	\$3,507,079	\$3,049,066	\$458,013	\$1,689,342	\$2,147,355	\$2,087,697	\$59,658	\$2,007,696	\$2,067,354	\$342,849
Section 154HE	\$1,570,929	\$1,290,770	\$2,861,699	\$1,425,334	\$1,436,366	\$1,689,339	\$3,125,705	\$0	\$3,125,705	\$1,338,463	\$4,464,168	\$317,121
Section 164AL	\$928,987	\$1,936,155	\$2,865,142	\$1,639,711	\$1,225,431	\$1,689,341	\$2,914,772	\$2,913,225	\$1,548	\$2,007,696	\$2,009,244	\$220,867
Section 164HE	\$1,634,319	\$1,290,770	\$2,925,089	\$370,162	\$2,554,928	\$1,689,340	\$4,244,268	\$1,353,207	\$2,891,061	\$1,338,463	\$4,229,524	\$149,366
Total Programs	\$11,929,546	\$12,287,128	\$24,216,674	\$13,684,964	\$10,531,712	\$11,394,794	\$21,926,506	\$11,928,166	\$10,043,342	\$11,123,989	\$19,689,721	\$3,018,890

Notes: The above spreadsheet provides a macro picture of liquidation performance by grant program. If relevant, the review will identify major unexpended balances for specific grant programs.

There are many reasons for large unspent and carry forward amounts. A major reason is the receipt of certain grant program funds late in the award fiscal year. This effect is neutralized by the time the subsequent year ends. Another common cause is the delayed commitment of obligated funds to projects or sub-grantees.

For a comprehensive discussion of impediments and opportunities for the timely expenditure of highway safety funds refer to the body of this report.

## APPENDIX C. STATE RESPONSE



**PUERTO RICO  
TRAFFIC SAFETY COMMISSION**  
GOVERNMENT OF PUERTO RICO

February 13, 2012

Mr. Thomas Louizou  
Regional Administrator  
National Highway Traffic Safety Administration  
222 Mamaroneck Ave, Suite 204  
White Plains, NY 10605

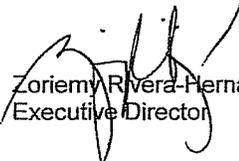
Dear Mr. Louizou:

Thanks for the revision and changes made to the draft-final "Management Review of the Puerto Rico Traffic Safety Commission (PRTCS), Fiscal Years 2009,2010 and 2011". At this moment we do not have any responses or comments to the final report and we accept it.

The PRTSC has already taken action to address the findings regarding the Time and Attendance Records and the Single Audit Act. We move forward to develop a Corrective Action Plan as required. The dates to fulfill with the Required Actions, Management Considerations, and Recommended Actions will be worked with Francisco Gómez, our Regional Manager.

Thanks again for your cooperation and support to help PRTSC to enhance our State's Highway Safety Program.

Cordially,

  
Zoriemy Rivera-Hernández  
Executive Director



Phone 787 - 723 - 3590 Fax 787 - 723 - 8040  
[www.comisionparalaseguridadeneltransito.com](http://www.comisionparalaseguridadeneltransito.com)

PO Box 41289 Minillas Station,  
Santurce, Puerto Rico 00940