# Table of Contents

## Chapter 1 – Basic Information

Contact Information for the Office of Highway Safety (OHS) ......................................................... 1  
Definitions ....................................................................................................................................... 2  
Program Description ....................................................................................................................... 4  
Development of State Highway Safety Performance Plan ............................................................. 4  
  Traffic Safety Problem Identification ........................................................................................ 4  
  Project Development ................................................................................................................ 5  
Grant Agreement and Pre-Grant Conference ........................................................................... 6  
Grant Requirements ....................................................................................................................... 6  
  Federal Regulations Governing OHS Grants ............................................................................. 6  
  Highway Safety Grant Management Resources ....................................................................... 7  
Audit .......................................................................................................................................... 7

## Chapter 2 – Responsibilities and Procedures

Establish Procedures ....................................................................................................................... 8  
Grant Revision ................................................................................................................................. 8  
Noncompliance/Termination .......................................................................................................... 9  
Disputes/Disagreements ................................................................................................................. 9  
Financial Management ................................................................................................................... 9  
  Financial Reporting .................................................................................................................. 10  
  Internal Control ...................................................................................................................... 10  
  Allowable Costs .................................................................................................................... 10  
Information and Reports ............................................................................................................... 11  
  Pre-Grant Conference Checklist ............................................................................................ 11  
  W-9 Taxpayer Identification Number and Certification .......................................................... 11  
  Highway Safety Program Claims and Quarterly Report ......................................................... 12  
  Highway Safety Property Management Form .......................................................................... 12  
  Highway Safety Grant Agency’s Title VI Report .................................................................... 12  
  Final Evaluation Report ......................................................................................................... 12
Audit ........................................................................................................................................................ 13
Purchase Requirements .................................................................................................................................. 13
Property Management ................................................................................................................................. 14
  General Guidelines .................................................................................................................................. 14
  Equipment .............................................................................................................................................. 15
Certifications and Assurances .................................................................................................................. 15
  General Requirements .......................................................................................................................... 15
Federal Funding Accountability and Transparency Act ............................................................................... 16
Political Activity (Hatch Act) ................................................................................................................... 19
Certification Regarding Federal Lobbying ................................................................................................. 19
Restriction on State Lobbying .................................................................................................................. 20
Certification Regarding Debarment & Suspension .............................................................................. 20
Instructions for Lower Tier Certification ............................................................................................... 22
Buy America Act ..................................................................................................................................... 24
Policy on Seat Belt Use ............................................................................................................................ 24
Policy to Ban Text Messaging While Driving .......................................................................................... 25
Section 402 Requirements ...................................................................................................................... 25
Policy Inclusions ........................................................................................................................................ 27
Responsibility for Claims and Liability .................................................................................................. 27

**Appendix A – Grant Forms**

Pre-Grant Conference Checklist ........................................................................................................... 28
W-9 Request for Taxpayer Identification .............................................................................................. 29
Completing the Grant Reimbursement Claim Form ........................................................................... 31
Highway Safety Program Quarterly Report ......................................................................................... 34
Highway Safety Grant Agency’s Title VI Report ............................................................................... 35
Office of Highway Safety Property Management Form ..................................................................... 36
Final Evaluation Instructions .................................................................................................................. 37
  Before You Start Writing ...................................................................................................................... 37
  Writing Your Report .............................................................................................................................. 37
  Final Evaluation Format ....................................................................................................................... 39
Appendix B – Federal Regulations

Cost Principles Guidelines............................................................................................................. 41
Cost Principles 2 CFR 200, Subpart E ............................................................................................ 41
Cost Principles for State, Local & Native American Tribal Governments (2 CFR Part 225)......... 42
Highway Safety Grant Funding Guidance for Field Administered Grants ................................. 43

Appendix C – Audits of State and Local Government

2 CRF 200, Uniform Guidance Subpart F ...................................................................................... 50
Policy ............................................................................................................................................. 51
Audit Requirements ................................................................................................................ 51
Basis for Determining Federal Awards Expended .................................................................. 52
Audit Services .......................................................................................................................... 52
Auditee Responsibilities .......................................................................................................... 53
Single Audit Certification Letter .............................................................................................. 54
FFATA – ITD form 0414 .......................................................................................................... 56

Appendix D – Travel and Per Diem Reimbursement

General Requirements .................................................................................................................. 57
Meal Reimbursements .................................................................................................................. 57
Travel ............................................................................................................................................. 58
Lodging .......................................................................................................................................... 58
Telephone/Internet ....................................................................................................................... 58
Ground Transportation ................................................................................................................ 58
Parking Fees .................................................................................................................................. 58
Baggage Fees .................................................................................................................................. 58

Appendix E – Buy of America Act & NHTSA interpretation Memo

Certificate of Compliance .......................................................................................................... 59
Use of NHTSA Highway Safety Grant Funds for Certain Purchases ..................................... 60
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Chapter 1 – Basic Information

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Definitions

BAA: Buy America Act

Budget Category: Grouping of budgetary expenses such as personnel costs, commodities, etc.

CFDA: Catalog of Federal Domestic Assistance provides a full listing of all federal programs available to state and local governments (including the District of Columbia); federally-recognized Indian tribal governments; territories (and possessions) of the United States; domestic public, quasi-public, and private profit and nonprofit organizations and institutions; specialized groups; and individuals

CFR: A codification of the general and permanent rules published in the Federal Register by the Executive department and agencies of the federal government.

DEPP: Division of Engineering Products and Plans, within the Idaho Transportation Department.

DUNS: *Data Universal Numbering System*, a *nine digit* number offered by Dun & Bradstreet to identify different divisions of companies and provide easy reference for people looking for information about those companies.

EEO: Equal Employment Opportunity

Equipment: Equipment includes: 1) Nonexpendable property with a useful life of two years or more and costing $2,000 or more per unit; 2) Major equipment has the same life expectancy but a value of $5,000 or more per unit

FFATA: Federal Funding Accountability Transparency Act

FFY: Federal Fiscal Year; runs October 1st through September 30th

FHWA: Federal Highway Administration

Grant Manager: Individual within a local or state agency responsible for the administration of the OHS-approved grant within the agency

Grant Officer/Program Manager: Individual within the Office of Highway Safety (OHS) responsible for the administration of grant and statewide traffic safety programs

Grantor: Office of Highway Safety (OHS) is the granting agency for federal highway safety grant funds

HSP: Highway Safety Plan, prepared annually to include all approved grant funded traffic safety activities

ITD: Idaho Transportation Department
ITSC: Idaho Traffic Safety Commission; established by state code to provide local input, direction and review to OHS, and provide recommendations for highway safety mitigation and activities

LEL: Law Enforcement Liaison

LOI: Letter of Intent; grant application form from sub-grantee after Request for Proposal notification

NHTSA: National Highway Traffic Safety Administration

OHS: Idaho Transportation Department – Office of Highway Safety

Payroll Verification: Documentation which verifies an employee was paid for the time claimed on the reimbursement claim

Pre-Grant Conference: Prior to authorization for proceeding with a grant, a conference is conducted by OHS staff with sub-grantees to discuss and agree on grant requirements

Property Record (ITD-668): Documentation of equipment status, serial number, grant name and location of grantor.

Quarterly Report: Quarterly progress report submitted by grantor outlining grant activities completed

Reimbursement Claim (ITD 669): Expenditure verification document submitted by grantor for reimbursement with federal funds

RA: Risk Assessment; completed prior to pre-grant conference

RFA: Request for Application; document used to provide annual notification of fund availability

SAM: System for Award Management (to maintain current Central Contractor Registration, CCR)

SHSP: Strategic Highway Safety Plan

Source Documents: Support documentation for reimbursement claims; examples include copies of computer-generated reports, invoices, time sheets and copies of checks or warrants

Sub-grantee: State and local governments receiving highway safety grants from OHS

TEMA: Traffic Enforcement Mobilization Agreement
Program Description

The Idaho Transportation Department Office of Highway Safety (OHS) administers the Federal Highway Safety Grant Program, which is funded by formula, through the FAST-ACT, Fixing America’s Surface Transportation Act. The goal of the program is to eliminate death and serious injuries resulting from motor vehicle crashes by implementing programs designed to address and change driver behavior. The purpose of the program is to provide grant funding at the state and community level for a highway safety program that addresses Idaho’s own unique circumstances and particular highway safety needs. Any use of funds must support data-driven state traffic safety goals.

Development of State Highway Safety Plan

Traffic Safety Problem Identification

A “traffic safety problem” is an identifiable subgroup of drivers, pedestrians, vehicles, or roadways that is statistically higher in crash experience than is normally expected. Problem identification involves the study of relationships between crashes and the population, licensed drivers, registered vehicles and vehicle miles, as well as characteristics of specific subgroups contributing to crashes or resulting in fatalities or injuries.

The Strategic Highway Safety Plan (SHSP) is implemented and approved by the ITD Board. The SHSP is the guiding document, for the Highway Safety Plan (HSP). The strategies outlined in the SHSP will help the State of Idaho attain the goal of “Toward Zero Deaths”.

The statewide identification of traffic safety problems begins initially by evaluating Idaho’s experience in each of the National Highway Traffic Safety Administration’s (NHTSA) highway safety priority areas. These highway safety priority areas are:

a. Impaired Driving
b. Occupant Protection
c. Aggressive Driving / Speeding
d. Pedestrian & Bicycle Safety
e. Traffic Records
f. Police Traffic Services
g. Motorcycle Safety
h. Youthful and Mature Drivers
i. Distracted Driving

These programs areas are determined by NHTSA to be most effective in reducing motor vehicle crashes, injuries, and deaths. Consideration for other potential traffic safety problem areas
comes from problems identified by the Idaho Traffic Safety Commission (ITSC) members, OHS staff, and by research proven projects.

The OHS uses statistical analysis for problem identification. Comparison data is developed, where possible, on costs of crashes, numbers of crashes, and the numbers of deaths and injuries. Supplementary data is gathered from the Idaho State Collision Database on helmet use for motorcycles and bicycles, child safety restraint use, seat belt use, and from available violation, suspension, and arrest information.

Problem or focus area reduction goals and performance measures are selected on the basis of the severity of the problem, economic costs, and availability of grantee agencies to conduct successful programs, and other supportable conclusions drawn from the traffic safety problem identification process.

**Project Development**

The annual project selection process begins by notifying state and local public agencies involved in traffic-related activities of grant funding availability. A Request for Application (ROA), reflecting the focus areas considered for funding, is released each January. Grant applicants must complete and submit the grant application in accordance with the information in the ROA.

Once the application period has closed, potential projects are sorted according to the focus area most closely fitting the project. The OHS staff develops priority and funding recommendations using a criterion for assessing each project’s potential to:

- Eliminate traffic deaths and serious injuries;
- Improve the operation of an important traffic safety system;
- Integrate as part of a community-wide crash elimination project; and
- Increase the coordination of efforts between several traffic safety agencies.
- Past agency performance when recommending funding for future projects.

Sub-grantee funding recommendations are incorporated into the Highway Safety Plan (HSP) document and presented to the ITSC each spring for acceptance. The Idaho Transportation Department (ITD) Board approves the final HSP document in June for the NHTSA July 1 application deadline.

<table>
<thead>
<tr>
<th>Month</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>December</td>
<td>Request for Application is advertised by OHS</td>
</tr>
<tr>
<td>End of January</td>
<td>Grant Application is due to OHS from applicant agency</td>
</tr>
<tr>
<td>February-March</td>
<td>OHS staff reviews applications, and compiles a statewide program that best addresses highway safety problems and within budget limitations</td>
</tr>
<tr>
<td>May</td>
<td>OHS staff present recommended grants to ITSC in a Draft Highway Safety Performance Plan for approval</td>
</tr>
<tr>
<td>June</td>
<td>ITD Board reviews and approves the Highway Safety Performance Plan</td>
</tr>
<tr>
<td>July</td>
<td>NHTSA reviews and approves the Highway Safety Performance Plan</td>
</tr>
<tr>
<td>October, or when</td>
<td>OHS Grant Officer complete grant documents with input from grantee,</td>
</tr>
</tbody>
</table>
Grant Agreement and Pre-Grant Conference

Following approval, OHS staff will conduct a pre-grant conference with sub-grantees to negotiate and finalize grant agreements. Instructions for completion of the grant agreement and copies of the agreement forms are provided to grantees at the conference. Sub-grantees are advised of the fiscal procedures, grant controls, and management practices needed to meet federal grant requirements either on an individual basis during the pre-grant conference or during grant administration training classes. Upon completion of the pre-grant conference, the grant manager for the sub-grantee agency will sign the Pre-Grant Conference Checklist, found in Appendix A, to certify the requirements have been discussed, understood and agreed upon. The grant manager agrees to comply with requirements of both the grant agreement and this manual. Periodic changes and additions in the manual may be necessary to meet changing federal or state laws, or to improve program management and fiscal procedures. OHS will notify the grant manager in writing of any such changes or additions.

When a grant agreement is finalized, the original document is signed by the authorizing official of the sub-grantee agency, the assigned grant manager, and then by the Highway Safety Manager (HSM) of the OHS. The signature of the authorizing official indicates the sub-grantee agency agreement adheres to the conditions set forth in the contract, and acknowledges acceptance of the terms and conditions specified in this manual as part of the grant agreement. The original copy is retained at OHS. A copy is returned to the sub-grantee grant manager. The grant agency may not proceed with any expenditure associated with the grant until the grant manager receives a “notice to proceed” or written authorization to begin grant activity issued by OHS.

Grant Requirements

Once the grant has been approved and becomes effective, OHS will reimburse the sub-grantee for expenditures related to the approved grant activities. The objectives outlined in the grant document are to be accomplished during the grant period, and within the cost guidelines of the attached budget sheet. **Costs incurred before the effective date or after the ending date of the grant period will not be eligible for reimbursement. Reimbursement of costs claimed will not exceed the obligated federal funds.**

Reimbursement is contingent upon sub-grantee compliance with grant requirements, and sufficient funds being appropriated by the federal government and obligated by the state highway safety program. The OHS makes neither representation nor guarantee regarding the availability of federal highway safety funds for first or subsequent year funding.
Federal Regulations Governing OHS Grants

The expenses and costs, which are eligible for reimbursement under the highway safety program, are those stipulated in the grant budget. To be allowable, costs must be necessary, reasonable, allocable, and federal funds must be expended according to the appropriate statutes or grant regulations. Grant management rules compel governmental units to monitor sub-awards insuring compliance with applicable federal requirements and cost principles.

Grant guidelines can be found at the following website: http://www.nhtsa.gov/highway-safety-grants-program.

Highway Safety Grants Management Resources

Federal grant management requirements are passed on to your agency when receiving highway safety funds. The OHS will be at least as restrictive as the requirements of 2 CFR Part 200. In some cases, such as the due dates for the final report and final claim, OHS is more restrictive in order to allow time for OHS to submit its reports to the federal agencies. http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

Audit

The Office of Management and Budget 2 CFR 200.501 provides audit requirements for agencies receiving financial assistance.
CHAPTER 2 – AGENCY RESPONSIBILITIES AND PROCEDURES

When the sub-grantee accepts federal highway safety funds, it also agrees to fully comply with all requirements in this procedures manual and any addendums. The sub-grantee grant manager will be notified of all changes.

Establish Procedures

The sub-grantee grant manager is responsible for establishing and maintaining procedures within their agency to ensure the effective administration of the grant, including the timely completion of the grant objectives. As described in the previous section, a grants contract officer/program manager from OHS will be assigned to your grant and will conduct a pre-grant conference or offer the information in grant administration training classes. This conference/training is designed to establish the controls and record keeping necessary for proper administration of the grant.

Grant Revision

You must contact your Grants Contracts Officer/Program Manager before any changes can be made in budget categories or activities from those outlined in your grant agreement. This contact will prevent you from proceeding with activities or incurring costs which may not be reimbursable. Any change in the grant agreement may be originated by either OHS or your agency. Budget revision requests must be submitted to OHS in writing. A revision to the grant agreement, signed by both parties will become effective on the date of OHS approval. After the revision to the budget is approved, OHS will prepare a new budget page (Schedule B) and claim form.

Please be aware of the following:

a. A budget revision must be requested and approved in writing prior to incurring any costs exceeding the federal budget for any category. OHS will not approve any budget revision inconsistent with the purpose or terms and conditions of the grant agreement.

b. If the sub-grantee cannot provide match as per agreement, the sub-grantee grant manager must request a budget revision; OHS then will review and approve budget revision that reduces the federal share to commensurate the match provided by sub-grantee. The reduction in federal share may change the scope of the project.
Noncompliance/Termination

OHS will impose sanctions in the event of noncompliance or violation of any grant provision by the sub-grantee agency and/or its subcontractor(s). Appropriate sanctions may include, but is not limited to, withholding of payments, suspension, or termination of the grant in whole or in part. In the event of termination, OHS shall notify your agency 30 days in advance of the effective date of termination. Your agency shall be paid only for those services satisfactorily performed and allowable prior to the effective date of termination.

If any equipment purchased with federal funds is not being used effectively to reach the goals of the grant, the agency may be required to return the equipment to OHS.

Disputes/Disagreements

Any dispute, disagreement, or question of fact concerning the grant shall be decided by the Highway Safety Manager. The decision will be in writing and shall be distributed to the parties concerned. The sub-grantee agency can then proceed with the performance of the grant in accordance with the Highway Safety Manager’s decision.

If the sub-grantee agency disagrees with the decision by the Highway Safety Manager, the decision may be appealed to the Director of ITD. The appeal must be made in writing within 30 days of the Highway Safety Manager’s decision and served by certified mail.

The sub-grantee must first appeal to the Highway Safety Manager and then to the Director of ITD before taking further legal steps.

Financial Management

The sub-grantee agency is responsible for maintaining all grant records and must ensure the agency has a cost accounting system conforming to generally accepted accounting principles. The sub-grantee agency is not required to establish a special accounting system for grant costs; however, a good policy is to establish special sub-accounts within existing accounting system is recommended.

It is recommended that copies of all financial records pertaining to the grant be stored with the grant file. This procedure will make it much easier to respond to questions regarding the grant. Grant records shall be kept for no less than three years.

The sub-grantee agency must meet the following grant management standards:
Financial Reporting

Grant recipients must provide accurate, current, and complete disclosure of the financial activity of each grant on reimbursement claim forms submitted to OHS for reimbursement of authorized federal grant fund expenditures. All authorized federal funds must be incurred and work performed by the sub-grantee on or before September 30 of the grant year. (Only the hours worked within the fiscal year can be claimed for reimbursement.)

For agencies that currently have a year-long grant with OHS and participate in the traffic enforcement mobilizations, overtime hours can only be claimed through the grant reimbursement process or mobilization overtime reimbursement.

For agencies administering a Selective Traffic Enforcement Program (STEP) grant, each quarterly grant claim submitted must include backup documentation (including payroll, timesheet and employee benefits verification) for the entire 3 year program. All grant funded STEP officer positions must be backfilled with a new hire to ensure that supplanting does not occur, OHS should be notified when the new hire has been completed.

If a STEP Officer performs overtime during traffic enforcement mobilizations, their hours must be claimed through the year-long grant and not through the mobilization claim. If all of the grant funding has been utilized prior to the start of the mobilization (e.g. during year three of the grant) then the STEP officer’s overtime may be charged to the mobilization.

Agencies must invoice OHS for all vacation and sick time earned during the grant year with the final billing of the fiscal year in which it was earned.

It is not the OHS policy to pay for Compensatory “Comp” time, therefore if a STEP Officer takes comp time during the grant year, the Comp hours claimed and associated employee benefit costs cannot be claimed and reimbursed. If a STEP Officer works overtime for another grant-funded activity (e.g. Alive at 25 Instructor), the hours and related employee benefit costs cannot be claimed and reimbursed under the STEP Program.

Grant recipients must maintain records identifying the source (federal, local, or state) and application of funds for each budget line item. Sub-grantees are responsible for tracking reimbursement by Catalog of Federal Domestic Assistance (CFDA) coding, provided by the OHS grant officer, for Single Audit purposes.

Internal Control

Effective control and accountability for all funds, property, and other assets must be maintained. The sub-grantee agency shall adequately safeguard all assets and ensure they are used only for authorized purposes.
Allowable Costs

In determining allowable costs, the OHS uses the following documents to ascertain necessary, reasonable, allocable, and allowable costs consistent with policies, rules, and regulations conforming to limitations or exclusion of costs. For further information regarding the Code of Federal Regulations or NHTSA Highway Safety Grant Funding guidance, please refer to Appendix B and go to https://one.nhtsa.gov/About-NHTSA/Highway-Safety-Grant-Programs/HSGrantFunding_Guidance

For grant-funded positions (i.e., FTE):

- Authorized absences from the job, such as for annual leave, sick leave, vacation, personal time off or court leave, are allowable costs.
- The grantee *may only claim the amount of leave taken during the current fiscal year* if the person has accrued enough leave hours to cover the leave period. For example, if an officer has accrued 200 hours of sick leave over several years, but policy allows 40 hours of sick leave per year to accrue, only up to 40 hours will be reimbursed from the grant.
- The leave reimbursement can only be reimbursed up to the allowable amount (agency authorized amount of leave per pay period), and must be accumulated during the current grant year.
- A copy of the agency’s leave policy and the individual’s accrued leave total will be submitted when requesting federal reimbursement.
- Any hours accrued during worker’s compensated leave are not reimbursable.
- Authorized leave absences can be reimbursed if the fully burdened rate (a rate including leave benefits) have not been previously billed to OHS.

For all significant activities and major equipment to be funded with components, both related and unrelated to a highway safety grant, the federal government share will be based proportionately on the projected utilization for the federal (NHTSA or Federal Highway Administration) grant purposes. For example, if your agency purchases crash reconstruction equipment that will be used for other crime scene investigation, the expenditure reimbursement shall be limited to the portion used for traffic crash investigation.

Information and Reports

The sub-grantee agency shall provide all information and reports required by OHS. The sub-grantee agency shall permit access by the OHS, the Comptroller General of the United States, or any of their authorized representatives, to the sub-grantee books, records, accounts, and other sources of information. In addition, the sub-grantee agency is responsible for preparing and submitting the following periodic reports in the formats provided in Appendix A.

Pre-Grant Conference Checklist *(See Appendix A, page 28)*

When the authorizing sub-grantee agency official and the grant manager sign the application
for an OHS grant, the sub-grantee is agreeing to fully comply with the requirements and conditions listed in the Highway Safety Grant Procedure Manual.

The OHS staff will conduct a conference with the sub-grantee grant manager before the sub-grantee agency is authorized to proceed with grant work activities. The purpose of the conference is to ensure the sub-grantee agency is aware of and agreeable to the requirements. Upon completion of the conference, the sub-grantee grant manager will sign the Pre-Grant Conference Checklist to certify the requirements have been discussed and are understood.

**W-9 Taxpayer Identification Number and Certification** (See Appendix A, page 29)
The W-9 form used in the state of Idaho is listed on the Idaho State Controller’s website at http://www.sco.idaho.gov/web/DSADoc.nsf/537A2603FE4B9E19B8725709800689EDF/$FILE/W9 andEFT.pdf. When completing your W-9 form, your agency name and address listed on the W-9 must match the name and address on all claim forms.

**Highway Safety Program Claims and Quarterly Report** See Appendix A, Claim Instructions page 31 & quarterly report page 34)

Reports are due January 15, April 15, and July 15, unless other due dates are specified by the OHS grants officer. Each claim and report covers a three-month or quarterly period. Return the completed documents to OHS by the corresponding due date. It is recommended that the sub-grantee agency make a copy of all reports for their grant file.

**Highway Safety Property Management Form** (See Appendix A, page 36)

Equipment must be recorded on the Property Management Form supplied by OHS. When the property is initially purchased, provide all the required information indicated on the form. Send the original to OHS and keep a copy for the grant file. Property valued at $2,000 or more per unit is tracked until equipment is sold or discarded.

**Highway Safety Grant Agency's Title VI Report** (See Appendix A, page 35)

The Title VI report is due July 15. This report provides documentation on your agency's employment composition, goals, accomplishments, and complaints of discrimination. You may submit your agency's official Title VI Report in lieu of ITD 2796.

Through its financial assistance programs, the U.S. government is seeking to improve the status of disadvantaged and minority businesses and citizens. In general, the following requirements provide fairness to the disadvantaged groups in the areas of employment and contracting. They ensure federal financial assistance programs do not adversely affect the groups.

**Nondiscrimination**

The sub-grantee agency, its subcontractors and/or suppliers cannot discriminate on the grounds of race, color, national origin, handicap, or gender in its services, programs, or
personnel transactions. The sub-grantee agency must therefore comply fully with the provisions of Title VI of the Civil Rights Act of 1964 and Section 504 of the Rehabilitation Act of 1973, as amended. They must also comply with 49 CFR Parts 21 and 27, and make reference to these mandates in all contracts or subcontracts. The sub-grantee grant manager must submit the sub-grantee agency's policy statement regarding nondiscrimination in its programs, services and activities, and the procedure for handling discrimination complaints.

**Final Evaluation Report** (See Appendix A, page 38)

A draft of the final evaluation report is due to OHS by October 15 for review and comment, unless another due date is specified by the OHS grant officer. The final report and final claim are due no later than **November 1** unless another due date is specified by the OHS grants officer. The final evaluation, written by the sub-grantee grant manager, is required on every grant. This report recaps the entire grant year and must address the items outlined in Appendix A, page 36. Staff evaluates past agency performance when recommending funding for future projects.

**Audit** (See Appendix C, page 50)

Audits will be conducted to determine the fiscal integrity of the financial transactions and reports, as well as compliance with laws, regulations, and administrative requirements.

2 CFR 200, Uniform Guidance, Subpart F – Audit Requirements, will be in effect for sub-grantees receiving federal awards with fiscal years beginning on or after 12/26/14.

If an agency or parent agency annually expends over $750,000 in total federal funds from any source, a single audit procedure is required, as stipulated in the Single Audit Act for State and Local Agencies, 1996 Amendments, Public Law 104-156, OMB Circular A-133. A copy of the Act is provided in Appendix C and in the NHTSA website at: [https://www.nhtsa.gov/highway-safety-grants-program](https://www.nhtsa.gov/highway-safety-grants-program)

OHS also completes random grant audits. If the sub-grantee agency is selected, the audit will inspect records supporting each item claimed on grant reimbursement claims. The audit may or may not be conducted on site. The sub-grantee agency may be required to mail the information to OHS, in which case legible photocopies of supporting documentation are required.

Records of grant expenditures must be kept and available for audit for three years after the OHS final request for reimbursement, unless there is an action before the end of the three years, such as a federal audit or litigation. Records must be available until a final resolution of the issue, or until the end of the three years, whichever is later. The original documents must be kept on file until the sub-grantee agency's annual or biennial audit has been performed. After the audit, microfilm may replace the original documentation for the remainder of the three-year period.
Financial irregularities, identified as the result of an audit, may necessitate repayment of federal funds.

**Purchase Requirements**

If the grant includes the purchase of equipment or contractual services, the sub-grantee must follow state and local laws and policies governing the sub-grantee agency's procurement procedures, provided these meet federal procurement regulations and requirements.

**Property Management** (See Appendix A, page 36)

**General Guidelines**

For all property purchased under the terms of the grant, the sub-grantee agency must adopt property management procedures which will provide for:

- Accurate property record management. Records shall include: the project name and OHS project number assigned, the sub-grantee agency name and address, description of the property, manufacturer serial number, model number, or other identification number, acquisition date, unit acquisition cost, location, condition of the property, any other pertinent information such as the sub-grantee agency inventory number; and provide the property manager's name and contact number if different from the sub-grantee grant manager. The Property Management Form may be used in tandem with the sub-grantee agency's computerized or manual property management records.

- Safeguards against loss, damage, or theft. Any loss, damage, or theft should be investigated and fully documented. For trackable equipment (original value over $2,000), lost or stolen items shall be reported immediately.

- Adequate maintenance procedures to keep the property in good condition.

- A system for tracking the “useful life” of the equipment, reporting to OHS the disposal or sale of unneeded equipment and the date of the disposition.

- Sales procedures for unneeded property to provide for competition and highest possible return.

**Equipment**

Equipment is any tangible, nonexpendable property purchased in whole or in part with grant funds. By definition, equipment has a useful life of more than one year and costing $2,000 or more per unit. Major equipment is defined as property with a useful life of more than one year and costing $5,000 or more per unit. Prior authorization is required by OHS and the NHTSA Regional Administrator before initiating a purchase of major equipment. Major equipment must meet the Buy America requirements required by NHTSA. See Appendix for

The useful life value and examples of selected highway safety equipment is listed below:


<table>
<thead>
<tr>
<th>EQUIPMENT</th>
<th>USEFUL LIFE VALUE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Draeger Alcotest</td>
<td>5 years</td>
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<tr>
<td>Extrication Equipment</td>
<td>5 years</td>
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<tr>
<td>Computers</td>
<td>5 years</td>
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<tr>
<td>In-car Video Camera Systems</td>
<td>3 years</td>
</tr>
<tr>
<td>Electronic Ticketing Equipment and Printer</td>
<td>3 years</td>
</tr>
<tr>
<td>Speed Monitor/Trailer</td>
<td>5 years</td>
</tr>
<tr>
<td>Speed Detection Equipment</td>
<td>3 years</td>
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</tbody>
</table>

The sub-grantee agency must perform a physical inspection of grant-funded property yearly for all equipment, with a value of $2,000 or more. The inspection will be required until the equipment is disposed. When OHS submits an inspection form, the sub-grantee shall perform, certify and submit the signed inspection form(s) to OHS. When OHS or ITD staff performs a site monitoring visit, the sub-grantee agency may not be required to complete the yearly inspection.

Equipment purchased under grant funds must be used for traffic safety and/or enforcement only. Non-authorized use of the equipment shall be grounds for refunding a portion of the equipment value to OHS. If the sub-grantee agency wishes to dispose of any property with an original value of $2,000 or more, and the current value of equipment is not zero, the sub-grantee agency must contact OHS for property disposition instructions. The disposal of traffic safety equipment with a nominal value* does not require prior approval from OHS. Property which has become obsolete due to technological changes no longer has a useful life. For purposes of disposition, the OHS share in the equipment will be determined by the amount of federal funds used to purchase the equipment.

The Buy America Act (23 USC 101 Note), as noted on page 20 in the Grant Procedure Manual certifications and assurances, was established to give preference to the use of domestically produced materials.

*Nominal value refers to equipment with a current value of zero or less than the cost to dispose the item at a local auction or refuse site. The zero value may be calculated using straight line depreciation based on the current OHS useful life depreciation guide value.

CERTIFICATIONS AND ASSURANCES
FAST ACT

General Requirements

The Governor is the responsible official for the administration of the State highway safety program through a State highway safety agency that has adequate powers and is suitably equipped and organized (as evidenced by appropriate oversight procedures governing such
areas as procurement, financial administration, and the use, management, and disposition of equipment) to carry out the program. (23 U.S.C. 402(b) (1) (A))

The State will comply with applicable statutes and regulations, including but not limited to:

- Sec. 1906, Public Law 109-59, as amended by Sec. 4011, Public Law 114-94
- 23 CFR part 1300 – Uniform Procedures for State Highway Safety Grant Programs
- 2 CFR Part 1201 – Department of Transportation, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards

The State has submitted appropriate documentation for review to the single point of contact designated by the Governor to review Federal programs, as required by Executive Order 12372 (Intergovernmental Review of Federal Programs).

**Federal Funding Accountability and Transparency Act (FFATA)**


- Name of the entity receiving the award;
- Amount of the award;
- Information on the award including transaction type, funding agency, the North American Industry Classification System code or Catalog of Federal Domestic Assistance number (where applicable), program source;
- Location of the entity receiving the award and the primary location of performance under the award, including the city, State, congressional district, and country; and an award title descriptive of the purpose of each funding action;
- **A unique identifier (DUNS) Dun and Bradstreet Universal Numbers System; and maintain current registrations in the Central Contractor Registration (CCR) database, System for Award Management. www.sam.gov**

- The names and total compensate on of the five most highly compensated officers of the entity if:
  
  (i) The entity in the preceding fiscal year received—
      
      (I) 80 percent or more of its annual gross revenues in Federal awards;
      
      (II) $25,000,000 or more in annual gross revenues from Federal awards; and
  
  (ii) the public does not have access to information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the

• Other relevant information specified by OMB guidance.

Nondiscrimination
(Applies to subrecipients as well as States)

The State highway safety agency will comply with all Federal statutes and implementing regulations relating to nondiscrimination. These include but are not limited to Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq., 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin) and 49 CFR part 21;

• The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, (42 U.S.C. 4601), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);


• Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. 794 et seq.), as amended, (prohibits discrimination on the basis of disability) and 49 CFR part 27;

• The Age Discrimination Act of 1975, as amended, (42 U.S.C. 6101 et seq.), (prohibits discrimination on the basis of age);

• The Civil Rights Restoration Act of 1987, (Pub. L. 100–209), (broadens scope, coverage and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms “programs or activities” to include all of the programs or activities of the Federal aid recipients, subrecipients and contractors, whether such programs or activities are Federally-funded or not);

• Titles II and III of the Americans with Disabilities Act (42 U.S.C. 12131–12189) (prohibits discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing) and 49 CFR parts 37 and 38;

• Executive Order 12898, Federal Actions To Address Environmental Justice in Minority Populations and Low-Income Populations (prevents discrimination against minority populations by discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental effects on minority and low-income populations); and

• Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency (guards against Title VI national origin discrimination/discrimination because of limited English proficiency (LEP) by ensuring that funding recipients take reasonable steps to ensure that LEP persons have meaningful access to programs (70 FR 74087–74100).

The State Highway Safety agency—

• Will take all measures necessary to ensure that no person in the United States shall, on the grounds of race, color, national origin, disability, sex, age, limited English
proficiency, or membership in any other class protected by Federal Nondiscrimination Authorities, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any of its programs or activities, so long as any portion of the program is Federally-assisted.

• Will administer the program in a manner that reasonably ensures that any of its sub-recipients, contractors, subcontractors, and consultants receiving Federal financial assistance under this program will comply with all requirements of the Nondiscrimination Authorities identified in this Assurance;

• Agrees to comply (and require any of its sub-recipients, contractors, subcontractors, and consultants to comply) with all applicable provisions of law or regulation governing US DOT’s or NHTSA’s access to records, accounts, documents, information, facilities, and staff, and to cooperate and comply with any program or compliance reviews, and/or complaint investigations conducted by US DOT or NHTSA under any Federal Nondiscrimination Authority;

• Acknowledges that the United States has a right to seek judicial enforcement with regard to any matter arising under these Nondiscrimination Authorities and this Assurance;

• Insert in all contracts and funding agreements with other State or private entities the following clause: “During the performance of this contract/funding agreement, the contractor/funding recipient agrees—
  a. To comply with all Federal nondiscrimination laws and regulations, as may be amended from time to time;
  b. Not to participate directly or indirectly in the discrimination prohibited by any Federal non-discrimination law or regulation, as set forth in appendix B of 49 CFR part 2l and herein;
  c. To permit access to its books, records, accounts, other sources of information, and its facilities as required by the State highway safety office, US DOT or NHTSA;
  d. That, in event a contractor/funding recipient fails to comply with any nondiscrimination provisions in this contract/funding agreement, the State highway safety agency will have the right to impose such contract/agreement sanctions as it or NHTSA determine are appropriate, including but not limited to withholding payments to the contractor/funding recipient under the contract/agreement until the contractor/funding recipient complies; and/ or cancelling, terminating, or suspending a contract or funding agreement, in whole or in part; and
  e. To insert this clause, including paragraphs a through e, in every subcontract and sub-agreement and in every solicitation for a subcontract or sub-agreement, that receives Federal funds under this program.

The Drug-Free Workplace Act of 1988(41 USC 8103)
(Applies to subrecipients as well as States)

The State will provide a drug-free workplace by:

• Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee’s...
workplace and specifying the actions that will be taken against employees for violation of such prohibition;

• Establishing a drug-free awareness program to inform employees about:
  
  O The dangers of drug abuse in the workplace.
  
  O The grantee’s policy of maintaining a drug-free workplace.
  
  o Any available drug counseling, rehabilitation, and employee assistance programs.
  
  o The penalties that may be imposed upon employees for drug violations occurring in the workplace.
  
  o Making it a requirement that each employee engaged in the performance of the grant be given a copy of the statement required by paragraph (a).

• Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—
  
  o Abide by the terms of the statement.
  
  o Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction.

• Notifying the agency within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction.

• Taking one of the following actions, within 30 days of receiving notice under subparagraph (d) (2), with respect to any employee who is so convicted—
  
  o Taking appropriate personnel action against such an employee, up to and including termination.
  
  o Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency.

• Making a good faith effort to continue to maintain a drug-free workplace through implementation of all of the paragraphs above.

**Political Activity (Hatch Act)**

(Applies to subrecipients as well as States)

The State will comply with provisions of the Hatch Act (5 U.S.C. 1501-1508) which limits the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

**Certification Regarding Federal Lobbying**

(Applies to subrecipients as well as States)

Certification for Contracts, Grants, Loans, and Cooperative Agreements
The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions.

3. The undersigned shall require that the language of this certification be included in the award documents for all sub-award at all tiers (including subcontracts, subgrants, and contracts under grant, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

**Restriction on State Lobbying**

(Applies to subrecipients as well as States)

None of the funds under this program will be used for any activity specifically designed to urge or influence a State or local legislator to favor or oppose the adoption of any specific legislative proposal pending before any State or local legislative body. Such activities include both direct and indirect (e.g., “grassroots”) lobbying activities, with one exception. This does not preclude a State official whose salary is supported with NHTSA funds from engaging in direct communications with State or local legislative officials, in accordance with customary State practice, even if such communications urge legislative officials to favor or oppose the adoption of a specific pending legislative proposal.

**Certification Regarding Debarment and Suspension**

(Applies to sub-recipients as well as States)
Instructions for Primary Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and coverage sections of 49 CFR Part 29. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR Part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction,” provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48....
CFR Part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the list of Parties Excluded from Federal Procurement and Non-procurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR Part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters-Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that its principals:
   (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
   (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of record, making false statements, or receiving stolen property;
   (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
   (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the Statements in this certification, such prospective participant shall attach an explanation to this proposal.

Instructions for Lower Tier Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definition and Coverage sections of 49 CFR Part 29. You may contact the person to whom this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR Part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transaction,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions. (See below)

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR Part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Non-procurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR Part 9, subpart 9.4, suspended, debarred,
ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions:**

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**BUY AMERICA ACT** (applies to sub-recipients as well as States)

The State and each sub-recipient will comply with the Buy America requirement (23 U.S.C. 313) when purchasing items using Federal funds. Buy America requires a State, or sub-recipient, to purchase only steel, iron and manufactured products produced in the United States with Federal funds, unless the Secretary of Transportation determines that such domestically produced items would be inconsistent with the public interest, that such materials are not reasonably available and of a satisfactory quality, or that inclusion of domestic materials will increase the cost of the overall project contract by more than 25 percent. In order to use Federal funds to purchase foreign produced items, the State must submit a waiver request that provides an adequate basis and justification to and approved by the Secretary of Transportation.

**Policy on Seat Belt Use**

(Appplies to sub-recipients as well as States)

In accordance with Executive Order 13043, Increasing Seat Belt Use in the United States, dated April 16, 1997, the Grantee is encouraged to adopt and enforce on-the-job seat belt use policies and programs for its employees when operating company-owned, rented, or personally-owned vehicles. The National Highway Traffic Safety Administration (NHTSA) is responsible for providing leadership and guidance in support of this Presidential initiative. For information on how to implement such a program, or statistics on the potential benefits and cost-savings to your company or organization, please visit the Buckle Up America section on NHTSA’s Web site at [www.nhtsa.dot.gov](http://www.nhtsa.dot.gov). Additional resources are available from the Network of Employers for Traffic Safety (NETS), a public-private partnership headquartered in the Washington, DC metropolitan area, and dedicated to improving the traffic safety practices of employers and employees. NETS is prepared to provide technical assistance, a simple, user-friendly program kit, and an award for achieving the President’s goal of 90 percent seat belt use. NETS can be contacted at 1 (888) 221-0045 or visit its Web site at [www.trafficsafety.org](http://www.trafficsafety.org).
Policy on Banning Text Messaging While Driving

(Appplies to sub-recipients as well as States)

In accordance with Executive Order 13513, Federal Leadership On Reducing Text Messaging While Driving, and DOT Order 3902.10, Text Messaging While Driving, States are encouraged to adopt and enforce workplace safety policies to decrease crashes caused by distracted driving, including policies to ban text messaging while driving company-owned or -rented vehicles, Government-owned, leased or rented vehicles, or privately-owned when on official Government business or when performing any work on or behalf of the Government. States are also encouraged to conduct workplace safety initiatives in a manner commensurate with the size of the business, such as establishment of new rules and programs or re-evaluation of existing programs to prohibit text messaging while driving, and education, awareness, and other outreach to employees about the safety risks associated with texting while driving.

Section 402 Requirements

The political subdivisions of this State are authorized, as part of the State highway safety program, to carry out within their jurisdictions local highway safety programs which have been approved by the Governor and are in accordance with the uniform guidelines promulgated by the Secretary of Transportation. (23 U.S.C. 402(b)(1)(B))

At least 40 percent (or 95 percent, as applicable) of all Federal funds apportioned to this State under 23 U.S.C. 402 for this fiscal year will be expended by or for the benefit of the political subdivision of the State in carrying out local highway safety programs (23 U.S.C. 402(b)(1)(C), 402(h)(2)), unless this requirement is waived in writing.

The State’s highway safety program provides adequate and reasonable access for the safe and convenient movement of physically handicapped persons, including those in wheelchairs, across curbs constructed or replaced on or after July 1, 1976, at all pedestrian crosswalks. (23 U.S.C. 402(b)(1)(D))

The State will provide for an evidenced-based traffic safety enforcement program to prevent traffic violations, crashes, and crash fatalities and injuries in areas most at risk for such incidents. (23 U.S.C. 402(b)(1)(E))

The State will implement activities in support of national highway safety goals to reduce motor vehicle related fatalities that also reflect the primary data-related crash factors within the State as identified by the State highway safety planning process, including:

- Participation in the National high-visibility law enforcement mobilizations;
- Sustained enforcement of statutes addressing impaired driving, occupant protection, and driving in excess of posted speed limits;
- An annual statewide seat belt use survey in accordance with 23 CFR Part 1340 for the measurement of State seat belt use rates;
• Development of statewide data systems to provide timely and effective data analysis to support allocation of highway safety resources;
• Coordination of Highway Safety Plan, data collection, and information systems with the State strategic highway safety plan, as defined in 23 U.S.C. 148(a).

23 U.S.C. 402(b)(1)(F))

The State will actively encourage all relevant law enforcement agencies in the State to follow the guidelines established for vehicular pursuits issued by the International Association of Chiefs of Police that are currently in effect. (23 U.S.C. 402(j))

The State will not expend Section 402 funds to carry out a program to purchase, operate, or maintain an automated traffic enforcement system. (23 U.S.C. 402(c)(4))

I understand that failure to comply with applicable Federal statutes and regulations may subject State officials to civil or criminal penalties and/or place the State in a high risk grantee status in accordance with 49 CFR 18.12.

Policy Inclusions
Any agency receiving highway safety grant funds, the following policies are required to be in effect or implemented prior to the completion of the grant agreement:

• Equal Employment Opportunity policy (required)
• Risk Assessment (required)
• Alcohol and Drug-Free Workplace policy (required)
• Safety Restraint Use policy (required)
• SAM Registration (required)
• Single Audit Certification (required)
• Text Messaging Ban policy (encouraged)
• Sub awardee Reporting for the Federal Funding Accountability & Transparency Act – FFATA (recommended)
• Certifications and Assurances
• Vehicular Pursuits

A suggested safety restraint use policy may include:

I. Purpose
   To establish a policy outlining the use of safety restraints while operating, or riding as a passenger, in an agency-owned, leased, or operated motor vehicle.

II. Required Use
   A. Unless unusual circumstances (as outlined in this directive) occur, all department personnel are expected and required to properly utilize all safety restraint equipment available while operating, or occupying a moving motor
vehicle owned or leased by the city. Such equipment will also be used to properly protect prisoners that are being transported within such vehicles.

B. The department member operating such vehicle will insure this policy is complied with prior to placing the vehicle in motion.

C. Exceptions: The use of safety restraints may be briefly suspended under unique or emergency conditions in which the continued use of the devices may reasonably create additional hazards or risks that outweigh the safety value of their use.

D. Violation of this policy can result in disciplinary action up to and including termination.

Responsibility for Claims and Liability

The sub-grantee agency shall be required to save and hold harmless OHS, ITD, NHTSA, FHWA and U.S. Department of Transportation from all claims and/or liability due to the negligent acts of your agency or your agency's subcontractor(s), agents, or employee(s).
APPENDIX A – GRANT FORMS

Pre-Grant Conference Checklist
Office of Highway Safety

The OHS staff will conduct a conference with the agency grant manager before the sub-grantee agency is authorized to proceed with grant activities. The purpose of the conference is to ensure the agency grant manager is aware of and agreeable to the requirements. Upon completion of the conference, the agency grant manager will sign the Pre-Grant Conference Checklist to certify the requirements have been discussed and are understood.

<table>
<thead>
<tr>
<th>Description</th>
<th>Page Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Establish procedures provided in the Highway Safety Grant Procedure Manual</td>
<td>8</td>
</tr>
<tr>
<td>W-9 form completed</td>
<td>11, 29</td>
</tr>
<tr>
<td>FFATA, SAM and DUNs</td>
<td>16, 56</td>
</tr>
<tr>
<td>Grant agreement and Pre-Grant conference</td>
<td>6, 28</td>
</tr>
<tr>
<td>Grant revisions</td>
<td>8</td>
</tr>
<tr>
<td>Noncompliance and termination; Debarment</td>
<td>9, 20</td>
</tr>
<tr>
<td>Financial management and reimbursement</td>
<td>9</td>
</tr>
<tr>
<td>Allowable costs and payroll Information</td>
<td>9, 10</td>
</tr>
<tr>
<td>Information and reports (Claims, Quarterly and Final Evaluation reports)</td>
<td>11, 27, 31-33, 37-40</td>
</tr>
<tr>
<td>Audit and Single Audit Certification Letter</td>
<td>7, 16; 50-56</td>
</tr>
<tr>
<td>Purchase requirements; Buy America Act</td>
<td>13, 24, 60, 62</td>
</tr>
<tr>
<td>Political Activity and Lobbying</td>
<td>19-20</td>
</tr>
<tr>
<td>Title VI Inclusions and Report (nondiscrimination); EEO</td>
<td>12, 16, 35</td>
</tr>
<tr>
<td>Safety Restraints and Texting while Driving</td>
<td>24-25</td>
</tr>
<tr>
<td>Alcohol and Drug-Free Workplace policies</td>
<td>18</td>
</tr>
<tr>
<td>Property management</td>
<td>14, 36</td>
</tr>
<tr>
<td>Certifications and Assurances and other grant requirements</td>
<td>15</td>
</tr>
<tr>
<td>Financial reporting and Catalog of Federal Domestic Assistance (CFDA)</td>
<td>2, 10, 41</td>
</tr>
</tbody>
</table>

I understand and agree to the terms, requirements and conditions presented in this pre-grant conference, and as presented in the Highway Safety Grant Procedures Manual.

__________________________________________  ____________________________________________
Agency Grant Manager                                   Date

__________________________________________  ____________________________________________
OHS Grant Officer                                     Date
Part I - Substitute W-9 Tax Identification (Always required).

Name:

Complete if you are a SOLE PROPRIETOR or SINGLE-OWNER LLC

Required: Personal name of owner of the business

Optional: Business name if different from above:

Enter your Tax Payer Identification Number in the appropriate box.

For individuals, this is your social security number (SSN). For other entities, it is your employer identification number (EIN).

Social Security Number: __________________________ OR Employer Identification Number: __________________________

Check appropriate box: __ Individual __ Sole proprietor

Corporation __ Partnership __ Government __ Non Profit __ Other (explain) __________________________

Exemption: If exempt from backup withholding, explain exemption here:

Signature: I am a U.S. person (including a U.S. resident alien).

Tax correspondence address: __________________________________________

City: __________________________ State: _______ ZIP: __________

Phone: ( ) __________ E-mail: __________________________

Under penalties of perjury, I certify that:

1. The number shown is my correct taxpayer identification number, and
2. I am not subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person

Person completing this form: __________________________ Title: _______________

Signature: __________________________ Date: _______________

Part II - Direct Deposit Authorization (Optional) To receive payments electronically, complete Part I and Part II and attach an original voided check (not a deposit slip) or bank verification of your checking or savings account number. NOTE: Inaccurate account information will be rejected by the financial institution and generate a notice of change. A notice of change will void this request form and future payments will be made by Idaho State warrant.

Request type New __ Change __ Cancel __

Accountholder Name: __________ Title: __________ (If the required by company account)

Routing Number __________ Account Number __________

Account Type (Please check the appropriate box) __ C - Checking Account __ S - Savings Account

I hereby authorize and request the Idaho State Controller's Office (SCO) and the Idaho State Treasurer's Office (STO) to initiate credit entries for vendor payments to the account indicated above. I agree to abide by the National Automated Clearing House (NACHA) rules with regard to these entries. Pursuant to the NACHA rules, the SCO and STO may initiate a reversing entry to recall a duplicate or erroneous entry that they previously initiated. This authority will continue until such time as SCO and STO have had a reasonable opportunity to act upon written notice to terminate or change the direct deposit service initiated herein.

I acknowledge that electronic payments to the designated account must comply with the provisions of U.S. law, as well as the requirements of the Office of Foreign Assets Control (OFAC). I affirm that, regarding electronic payments to the State of Idaho, I will meet the financial institution for credit to the account that I have designated, the entire payment amount is not subject to being transferred to a foreign bank account.

Signature of Authorized signer on account: __________________________

Print Name Here: __________________________ Sign and Date Here: __________________________

Part III - Remittance Advice on the Web (Required if opting for Direct Deposit. Optional if not.) Login instructions will be emailed to the email address provided in Part I. Additional information can be found on the web at: www.sco.idaho.gov. Click on Public Information, then on Vendor Services.

I want to view my remittance advices on the Web. (Check one.)

Yes-One __ Yes-All __ Out payment information for this location only by using the State Controllers Office Web Remittance Advice Application.

Out payment information for all of your locations by using the State Controllers Office Web Remittance Advice Application.
Instructions - Part I

The State of Idaho is about to pay you an amount that may be reported to the Internal Revenue Service (IRS). If the amount is reportable to the IRS, they will match this amount to your tax return. In order to avoid additional IRS scrutiny, we must provide the IRS with your name and either your Social Security Number or your Employer Identification Number. The name we need is the name that you use on your tax returns related to this payment. We are required by law to obtain this information from you.

Exemption: If you are exempt from backup withholding, indicate the reason why in the Exemption box. For additional information on exempt status, please review the full IRS Form W-9 Instructions found on the IRS website at www.irs.gov.

U.S. Person: This form may be used only by a U.S. person, including a resident alien. Foreign persons should furnish us with the appropriate Form W-8. For a complete IRS definition of U.S. Person, consult the IRS website at www.irs.gov.

Penalties: Your failure to provide a correct name and Taxpayer Identification Number will delay the issuance of your payment and may subject you to a $50 penalty imposed by the IRS under section 6723. If you make a false statement with no reasonable basis that results in no backup withholding, you could be subject to a $500 civil penalty. Wilfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Confidentiality: If we disclose or use your Taxpayer Identification Number in violation of Federal law, we may be subject to civil and criminal penalties.

Privacy Act Notice
You must provide your TIN whether or not you are required to file a tax return. If you do not provide your TIN, certain penalties may apply. Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons who must file information returns with the IRS to report interest, dividends and certain other income paid to you, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA or Archer MSA. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. The IRS may also provide this information to the Department of Justice for civil and criminal litigation, and to cities, states and the District of Columbia to carry out their tax laws. We may also disclose this information to other countries under a tax treaty, or to Federal and state agencies to enforce Federal non-tax criminal laws and to combat terrorism.

Instructions - Part II

Complete this section only if you wish to receive payments by direct deposit or electronic funds transfer through the ACH network. Attach an original voided check (not a deposit slip) or a bank verification of your checking or savings account number. Copies of checks cannot be accepted. The routing number is normally the first group of nine digits on the bottom of your check. The account number is of varying length and is normally the next group of digits on the bottom of your check. Please see the illustration in Part II for a sample of where these numbers can be found. If you opt for direct deposit, you will no longer receive a paper remittance advice that provides information about your payments. Instead, you will be required to use the Web Remittance Application described below in Part III.

Instructions – Part III

The Idaho State Controllers Office now offers payment information on the Internet which is accessed through a secure sign on our website at http://www.sco.idaho.gov.

If you are not requesting payments by direct deposit and would like to take advantage of this service, complete Part III of the form. When deciding to participate in this program, you have the option of viewing payment information for all of your locations associated with the Taxpayer Identification Number provided in Part I or just the location or address provided in Part I. You will receive initial login instructions by email at the email address provided in Part I.

If you are requesting payments by direct deposit, you will automatically be set up to participate. You have the option of viewing payment information for all of your locations associated with the Taxpayer Identification Number provided in Part I or just the location or address provided in Part I. You will receive initial login instructions by email at the email address provided in Part I.
Completing the Grant Reimbursement Claim Form

When completing the reimbursement claim form please follow these instructions:

- Use whole dollars only.
- Round up at $.50 or more.
- Attach supporting documentation.

A claim typically includes a summary form of the hours worked and how you arrived at the personnel costs. For equipment purchases, include a copy of the invoice and proof of payment and Property Management Form. (See Page 12 for more instructions on supporting documentation, and page 29 for a sample claim form.)

Claim No. – Number each claim you complete, starting with 1. The number is important for internal payment procedures.

For Period Covered – Identify the starting date and ending date for the period covered. This is required information and specifically covers the month(s) or weeks for the requested reimbursement.

Agency Federal ID – This is your agency’s tax identification number.

Personnel Costs – The current costs, in the middle of the page with the grayed area, are for the time period you have listed above. All costs should be directly across from the budgeted funds. **Do not make any changes to the budget column.** In this example, provide your overtime costs. These can be compiled using the Claim Summary Form which follows the reimbursement claim form in this manual. If your grant agreement states OHS will reimburse for benefits, include the amount on the Claim Summary Form. The benefit rate typically does not exceed 25% of the overtime rate. Be sure to get the correct rate from your Human Resources Section.

Federal – Under “Current Costs”, list the amount under the Federal column for overtime and benefits because your agency wishes to be reimbursed for expenditures using federal grant funds. Then move to “Year to Date Costs”. This is a running total for the whole grant year. Look at your previous grant and add the amount listed there with the new current costs to get a total cost so far.

State/Local – The next line down is for agency match with the budget columns showing the corresponding match amount. Under current costs, list the match your agency is contributing. You can use the same Claim Summary Form for your match. Then move to “Year to Date Costs”. This is a running total for the whole grant year. Look at your previous grant claim and add the amount listed, with the new current costs, to get a total cost to date.
Other Direct Costs – The next line showing budgeted dollars is “Other Direct Costs”. In this case, the agency was granted $9,000 for 2 in-car video camera systems. The agency match is $3,000 toward the total cost of the equipment. This agency spent a total of $9,182 on the equipment.

Federal – Under “Current Costs”, list the amount under the Federal column for overtime and benefits. You will be reimbursed using federal grant funds. Most grants require a 75%/25% split with federal funds paying 75% of the cost. The OHS policy is to round to whole dollars. Then move to “Year to Date Costs” (YTD) which is a running total for the whole grant year. Look at your previous grant and add the amount the previous amount listed in YTD with the new current costs, to record the total year-to-date costs.

State/Local – is the agency match. Under current costs, list the match your agency is contributing. Then move to “Year to Date Costs”. This is a running total for the whole grant year. Look at your previous grant and add the amount the previous amount listed in YTD with the new current costs, to record the total year-to-date costs.

Totals – Be sure to first enter the subtotals for each section, and then put the final Total at the bottom of the page.

The same steps are used for Travel, Contractual Services, Commodities or Indirect Costs.

Signature –
The agency grant manager must sign and date the claim. You have two options to submit your claim. Because this is a financial document,

- the original may be scanned and electronically mailed
- or the original signed claim may be sent to OHS through US mail

See a sample Grant Reimbursement Claim on the following page 32.
<table>
<thead>
<tr>
<th>Agency</th>
<th>Address</th>
<th>Charge Acct. &amp; Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Smithville Police Department</td>
<td>(same as W-9) 1000 Main St. Smithville ID 70012</td>
<td>1 $ 2 $ 3 $ 4 $</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Claim No.</th>
<th>Rev. No.</th>
<th>Final Claim</th>
<th>For Period Covered</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td></td>
<td></td>
<td>1-Jan-13 to 29-Mar-13</td>
<td></td>
</tr>
</tbody>
</table>

**USE WHOLE DOLLARS ONLY**

<table>
<thead>
<tr>
<th></th>
<th>BUDGET</th>
<th>CURRENT COSTS</th>
<th>YEAR TO DATE COSTS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>State/Local</td>
<td>Federal</td>
<td>State/Local</td>
</tr>
<tr>
<td><strong>PERSONNEL COSTS (HS H901)</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Aggressive Driving overtime and benefits</td>
<td>$9,000</td>
<td>$1,035</td>
<td>$3,813</td>
</tr>
<tr>
<td>Regular duty traffic enforcement hours and grant administration</td>
<td>$3,000</td>
<td>$345</td>
<td>$1,271</td>
</tr>
<tr>
<td>Subtotal Personnel Costs</td>
<td>$3,000</td>
<td>$9,000</td>
<td>$345</td>
</tr>
<tr>
<td><strong>TRAVEL (HS H902)</strong></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Subtotal Travel</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>CONTRACTUAL SERVICES (HS H903)</strong></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Subtotal Contractual Services</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>COMMODITIES (HS H904)</strong></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Subtotal Commodities</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>OTHER DIRECT COSTS (HS H905)</strong></td>
<td>$3,000</td>
<td>$9,000</td>
<td>$2,295</td>
</tr>
<tr>
<td>2 In-car video camera systems</td>
<td>$3,000</td>
<td>$9,000</td>
<td>$2,295</td>
</tr>
<tr>
<td>Subtotal Other Direct Costs</td>
<td>$3,000</td>
<td>$9,000</td>
<td>$2,295</td>
</tr>
<tr>
<td><strong>INDIRECT COSTS (HS H906)</strong></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Subtotal Indirect Costs</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>$6,000</td>
<td>$18,000</td>
<td>$2,640</td>
</tr>
</tbody>
</table>

Note any fees or income received: ________________________________

I certify the above costs for the specific grant described; represent a true and correct statement of costs incurred.

(Print and sign name)        
Agency Grant Manager          
Date
HIGHPWAY SAFETY PROGRAM QUARTERLY REPORT
Office of Highway Safety

<table>
<thead>
<tr>
<th>Grant Project Name</th>
<th>Grant Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant Period From</td>
<td>To</td>
</tr>
<tr>
<td>Report Period From</td>
<td>To</td>
</tr>
</tbody>
</table>

A. **List the Grant Tasks and Deliverables (listed in grant document) and your accomplishments.**

B. **List tasks not completed or problems encountered.**

C. **List tasks due next quarter and plans to achieve these tasks.**

PREPARED BY: _______________________________  _______________________________
Grant Manager  Date
HIGHWAY SAFETY GRANT AGENCY'S
TITLE VI REPORT

Office of Highway Safety

AGENCY _____________________________________________________

GRANT PROJECT NO. ________________________________

If your agency publishes an annual Title VI report, a copy of the most recent report shall be submitted in lieu of this form.

○ Your Agency's Nondiscrimination Policy, if changed from the policy originally submitted.

○ Personnel employed by your agency:

  TOTAL ____  WOMEN ____  MINORITIES____

  Any complaints of discrimination?  □ YES  □ NO

  If YES, describe the complaint and its resolution:

○ Title VI Accomplishments during the year:

○ Goals for the coming year:

Title VI Coordinator: ______________________________
## Office of Highway Safety Property Management Form

<table>
<thead>
<tr>
<th>Property Description</th>
<th>Serial Number</th>
<th>Date Acquired</th>
<th>Cost</th>
<th>Location</th>
<th>Condition</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

### Condition Codes

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Excellent</td>
</tr>
<tr>
<td>2</td>
<td>Good</td>
</tr>
<tr>
<td>3</td>
<td>Fair</td>
</tr>
<tr>
<td>4</td>
<td>Fair/Needs Repair</td>
</tr>
<tr>
<td>5</td>
<td>Poor/Not Repairable</td>
</tr>
<tr>
<td>6</td>
<td>Not in Use</td>
</tr>
<tr>
<td>7</td>
<td>Sold for Salvage Value</td>
</tr>
<tr>
<td>8</td>
<td>Traded for New Equipment</td>
</tr>
<tr>
<td>9</td>
<td>Discarded</td>
</tr>
<tr>
<td>10</td>
<td>Transferred to Other Agency</td>
</tr>
</tbody>
</table>

I certify this property record verification has been examined by me and to the best of my knowledge is a true and correct record. I further certify the property herein described is being managed and maintained in accordance with the property agreements contained in the *Highway Safety Grant Procedure Manual*.

Agency Grant Manager (Please Print) __________________________ Agency Grant Manager Signature __________________________ Date __________________________

FOR FOLLOW UP INSPECTION ONLY

Inspector Name (Please Print) __________________________ Inspector Signature __________________________ Date __________________________
FINAL EVALUATION INSTRUCTIONS

Following is a sample final report outline and instructions for completing your final evaluation.

Before Writing

Before you begin to write the final evaluation report, have the following items available:

1. A copy of the grant document. The wording is used in the sub-grantee final evaluation (see the section “Writing the Report” for additional information). A computerized copy of the sub-grantee document is an excellent starting base. The OHS grants officer can provide a copy.

2. Copies of each of the quarterly reports, as well as any additional items such as performance charts, news clippings, etc., which would help describe the activities of the grant.

3. A copy of the final reimbursement claim.

Writing the Report

The final evaluation consists of four to five sections plus the title. The following instructions are for each section of the report. The document outline is the preferred format for presenting report information.

Title: This should say Final Evaluation Report and then give the name and grant number of your project.

1. Overview: In this section, describe the project and the problems the sub-grantee agency intended to remedy. Read over the Present Situation section in the Schedule A of the grant document, and use this information to complete this section. Include any additional information which will provide a good description of the project such as target group for the grant.

List the ultimate objective and the grant tasks and deliverables as they appear on the contract.

2. Administrative Evaluation: It is very important the sub-grantee grant manager refers to the evaluation section of the grant as you complete this section. Make sure each of the questions asked in the evaluation section of the grant document are answered under the appropriate objective in this portion of the final report.
Proceed to the Grant Tasks and Deliverables section of the grant document. List each objective under each Grant Tasks and Deliverables, and describe the progress in meeting the objective and other related accomplishments. It is important the sub-grantee states each objective, and then assess how it was accomplished. It is not sufficient for the sub-grantee agency to state the general grant task/deliverable, and in the assessment merely state it was accomplished. Pertinent details on how the objective was accomplished or why it was not accomplished need to be explained. This is the opportunity to discuss the program and its attainments. If the sub-grantee agency particularly proud of something, let us know.

3. **Impact Evaluation**: Complete only if required in the grant agreement. If the grant agreement contains an impact evaluation under the Evaluation section, then state the scope of this evaluation, the results, and whether the outcome or impact that was as predicted and what the performance measures tell you.

4. **Planned vs. Actual Cost Comparison**: Comment on how much was budgeted, what was actually spent and any substantial deviations from the planned budget item amounts in the grant agreement. Attach a copy of the final claim.

5. **Summary and Recommendations**: In this section, the sub-grantee agency needs to summarize the principal benefits and difficulties encountered in completing activities under the project. Highlight any specific "lessons learned" under the project, and recommend ways of avoiding such problems in future projects.

    Briefly restate whether or not the ultimate objectives of the agreement were met. Describe whether or the sub-grantee agency believes the project had any effect on highway safety activities within the sub-grantee jurisdiction. Indicate whether or not highway safety activities under the project will be continued in the future, and where funding will be obtained.
Final Evaluation Format

______________________________, ____________________
Grant Title         Grant No.

OVERVIEW (see instructions)

The ultimate objective of this grant was to ___________________________________________
______________________________________________________________________________
______________________________________________________________________________

We hoped to accomplish this by: (state each Grant Task/Deliverable)

1. __________________________________________________________________________
2. __________________________________________________________________________
3. __________________________________________________________________________
4. __________________________________________________________________________

ADMINISTRATIVE EVALUATION (see instructions)

1. Repeat first Grant Task/Deliverable if your grant document is structured this way.

   A. Immediate Objective:
      
      Assessment:
      
   B. Immediate Objective:
      
      Assessment:
      
   C. Immediate Objective:
      
      Assessment:
2. Repeat second Grant Tasks/Deliverable if your grant document is structured this way.

   A. Immediate Objective:

      Assessment:

   B. Immediate Objective:

      Assessment:

Continue in this fashion until all Grant Tasks/Deliverables have been addressed.

**IMPACT EVALUATION** (if applicable)

Statement describing impact evaluation:

Findings:

**PLANNED VS. ACTUAL COSTS**

The budget planned to spend $___________ in federal funds. At the end of the project, $___________ was actually expended. (If the project is under spent, explain why.) The budget spent $___________ in matching funds compared to the $___________ actually planned for in the budget. (If there are any major discrepancies, discuss these now.) See attached final claim for actual details of the grant expenditures.

**SUMMARY AND RECOMMENDATIONS** (see instructions)

Submitted by: ___________________________________________________
Agency: __________________________________________________________
Date: ____________________________________________________________
APPENDIX B – FEDERAL REGULATIONS

The following is a list of federal regulations used by the Office of Highway Safety in administering highway safety grants for local agencies. If you would like a complete copy of any of the following regulations or have specific questions regarding grant requirements, please contact the Office of Highway Safety at 334-8100 or access the National Highway Traffic Safety Administration grant management website. http://www.nhtsa.gov/About-NHTSA/Highway-Safety-Grant-Programs

Cost Principles Guidelines

OMB issued *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, Final Rule (*Uniform Guidance*) in December 26, 2013 Federal Register notice (2 CFR 200). Federal Agencies must implement policies and procedures by promulgating regulations to be effective December 26, 2014. Upon implementation, the guidance will be in effect for all federal awards or funding increments provided on or after December 26, 2014.

- For Federal Awards funded with Carry Forward (prior year) funds: NHTSA funding Section 402 (CFDA# 20.600), Section 408 (20.610), Section 2010 (20.612), Section 164 (20.608), and Section 405 (20.616) will continue to be governed by 2 CFR 225 unless otherwise specified by NHTSA.
- For Federal Awards received after December 26, 2014, 2 CFR 200 Cost Principles will take into effect.

2 CFR Part 200
Subpart E - Cost Principles

§200.400 Policy guide.

The application of these cost principles is based on the fundamental premises that:

(a) The non-Federal entity is responsible for the efficient and effective administration of the Federal award through the application of sound management practices.

(b) The non-Federal entity assumes responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award.

(c) The non-Federal entity, in recognition of its own unique combination of staff, facilities, and experience, has the primary responsibility for employing whatever form of sound organization
and management techniques may be necessary in order to assure proper and efficient administration of the Federal award.

(d) The application of these cost principles should require no significant changes in the internal accounting policies and practices of the non-Federal entity. However, the accounting practices of the non-Federal entity must be consistent with these cost principles and support the accumulation of costs as required by the principles, and must provide for adequate documentation to support costs charged to the Federal award.

(e) In reviewing, negotiating and approving cost allocation plans or indirect cost proposals, the cognizant agency for indirect costs should generally assure that the non-Federal entity is applying these cost accounting principles on a consistent basis during their review and negotiation of indirect cost proposals. Where wide variations exist in the treatment of a given cost item by the non-Federal entity, the reasonableness and equity of such treatments should be fully considered. See §200.56 Indirect (facilities & administrative (F&A)) costs.

(f) For non-Federal entities that educate and engage students in research, the dual role of students as both trainees and employees contributing to the completion of Federal awards for research must be recognized in the application of these principles.

(g) The non-Federal entity may not earn or keep any profit resulting from Federal financial assistance, unless expressly authorized by the terms and conditions of the Federal award. See also §200.307 Program income.

*See 2 CFR 200, Subpart E in its entirety: http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=5265d24f4c08517cf9182a98a78967d3&n=pt2.1.200&r=PART&ty=HTML#_top

2 CFR Part 225
Cost Principles for State, Local and Native American Tribal Governments

2 CFR Part 225 provides basic guidelines for allowable expenditures reimbursable by the federal grant program. Basic criteria for being allowable are: (1) be necessary and reasonable; (2) be allocable to federal awards; (3) be allowed under state/local laws or regulations; (4) conform to limitations or exclusions governing the award; (5) be consistent with applicable policies, regulations, or exclusions; (6) in accordance with generally accepted accounting principles; (7) not included or used as a cost to meet cost sharing or matching requirements of any other federal award; and (8) be adequately documented. See the electronic code of federal regulations at: 2 CFR Part 225 - Cost Principles for state, local, and Indian Tribal Governments (OMB Circular A-87).
Highway Safety Grant Funding Guidance for
Field Administered Grants

The basic funding eligibility factors listed in this document apply to NHTSA field administered
grants in accordance with 23 USC.  https://www.nhtsa.gov/sites/nhtsa.dot.gov/files/fy15-grant-
awards-tracker.pdf

INTRODUCTION

The basic funding eligibility factors listed in this document apply to NHTSA field administered
grants in accordance with 23 U.S.C. Sections 402 and 405 of the Moving Ahead for Progress in
the 21st Century Act (MAP-21) of 2012, with revisions to Sections 154 and 164. Highway safety
grants rescinded by MAP-21 are governed by the applicable implementing regulations at the
time of the grant award. Sections 163, 405, 406, 408, 410; with the Safe, Accountable, Flexible,
Efficient Transportation Equity Act: A Legacy for Users (SAFETA-LU), Public Law 109-59, Sections
1906, 2010, and 2011 remain in effect until all funds are expended. They should be
implemented in conjunction with 2 CFR 225, Cost Principles for State, Local and Indian Tribal
230, Cost Principles for Nonprofit Organizations; and 45 CFR, Subtitle A - Appendix E to Part 74,
Principles for Determining Costs Applicable to Research and Development Under Grants and
Contract with Hospitals.

In addition to these cost principles, grant funding guidance is based on regulations, directives,
and governing statutes. Many of the supporting documents are contained in this document.
They include:

- **49 CFR Part 18** Uniform Administrative Requirements for Grants and Cooperative
  Agreements to State and Local Governments;

- **23 CFR Part 1200** MAP-21 P.L. 112-141 regulatory requirements and SAFETEA-LU
  regulatory requirements Sections 402, 405, 410, 411, 153, 154, 163, 164, and 2010 of
  P. L. 109-59;

- Implementing Guidance - Guidance published by NHTSA applicable to 23 U.S.C.
  Sections 406 and 408, and to Sections 1906 and 2011 of P. L. 109-59; and

- **23 CFR Part 1300** FAST-Act regulatory requirements Sections 402 and 405

- **NHTSA Order 462-6C** - Matching Rates for State and Community Highway Safety
  Programs, November 30, 1993.
PART II. BASIC FUNDING GUIDANCE
The provisions of 2 CFR Part 200, 2 CFR Part 1201 and 23 CFR Part 1200, are applicable (depending on the identity of the entity incurring the cost) for general determination of allowable costs. Except where otherwise authorized by Statute, cost must meet the following general criteria in order to be allowable under Federal awards: 2 CFR § 200.403.
- Allowable costs must be necessary, reasonable, and allocable, and used in accordance with the appropriate statute and implementing grant regulations.
- Costs must be authorized or not prohibited under State or local regulations.
- Costs must conform to limitations or exclusions in the Cost Principles regulations, Federal laws, terms and conditions of the Federal award, or other governing regulations.
- Costs must be adequately documented.
- Costs must be consistent with policies, and procedures that apply uniformly to both Federal awards and other activities of the government unit.
- Costs may not be assigned to a Federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the Federal award as an indirect cost.
- Costs may not be included as a cost or used to meet cost sharing or matching requirements of any other federally financed program in either current or a prior period.

PART III. ALLOWABLE COSTS UNDER SPECIFIED CONDITIONS OR LIMITATIONS FOR SELECTED ITEMS
The following items are allowable under specified conditions. In the event of a conflict between OMB Circular 2 CFR Part 200 and 1201 and another statute or regulation, including 23 CFR Part 1200, the SHSO should contact their NHTSA Regional Office for guidance.

A. Equipment

1. New and replacement equipment with a useful life of more than one year and an acquisition cost per unit (including accessory items essential to its operation) of $5,000 or more must be pre-approved by the appropriate grant-approving official(s). If the equipment request is submitted in the HSP, it is reviewed and approved along with the HSP. If the equipment is not in the HSP, a separate written request describing how the equipment will support the State's highway safety program is required. For equipment use, disposition, and title rights reference 23 CFR § 1200.31 and 2 CFR § 200.439.
2. Purchase and installation of regulatory and warning signs and supports and field reference markers designed specifically to meet FHWA-endorsed standards only for roads off the Federal-aid system (i.e., local roads or rural minor collectors) may be purchased with NHTSA funds programmed to Roadway Safety.
3. The following items are subject to compliance with applicable standards and performance specifications and inclusion on the applicable Conforming Products List (CPL) established by NHTSA, the Research and Innovative Technology Administration (RITA), the American College of Surgeons, or by other nationally recognized standard-setting agencies, or by State
standards and performance specifications, as long as they are at least as stringent as applicable national standards and performance specifications.

a. Hand held radars and other devices used by law enforcement to make on the scene traffic stops. A comprehensive list can be found online at: www.theiacp.org/portals/0/pdfs/Combined-CPL.pdf.

b. Alcohol/drug testing devices and costs for re-certification of such devices (a comprehensive list can be found online at www.volpe.dot.gov).

c. Ambulance purchase with Federal share not to exceed 25 percent, unless the State submits documentation supporting a higher percentage of highway safety use to the appropriate NHTSA Regional Office grant-approving official. Minimum requirements for an ambulance include: (1) meeting the General Service Administration Federal Ambulance Specifications (KKK series); (2) being equipped in accordance with the essential equipment list recommended by the American College of Surgeons; (3) containing space for two litter patients and 60 inches of headroom for EMT's; (4) being manned by a minimum of one basic level EMT; and (5) having exterior vehicle lighting sufficient for identification as an ambulance.

d. Helicopter purchase with a Federal share not to exceed 25 percent, unless the State submits documentation supporting a higher percentage of highway safety utilization to the appropriate NHTSA Region Office grant-approving official. To be eligible for purchase, helicopters must be equipped for emergency medical services (EMS) missions and for police traffic safety functions related to law enforcement, with an absolute priority accorded to EMS duty needs for crash site victim removal. Activity logs must be maintained to verify highway safety use and expenditure.

e. Automated external defibrillators (AED) purchase with a Federal share not to exceed 25 percent. AEDs are to be used for training EMS personnel only. AEDs cannot be used to equip ambulances, police cars, or offices.

f. Fixed-wing aircraft purchase with a Federal share not to exceed 25 percent unless the documentation supports a higher percentage of highway safety utilization. Activity logs must be maintained to verify highway safety use and expenditures.

B. Travel

1. Costs for travel-related expenses charged to the Federal award must justify that participation of the individuals is necessary to the Federal award and costs are reasonable and consistent with non-Federal entity’s established travel policy. Reference 2 CFR § 200.474.

C. Training

1. Costs of training personnel (but not Federal civilian or military employees), for highway safety purposes are allowable when the training supports objectives of the State’s highway safety program. (See "Unallowable Costs" in Part IV. Sections C.1 and C.2 under Training). Training for Department of the Interior personnel assigned Section 402 responsibilities is covered under the 5 percent administrative allowance.
2. Development costs of new training curricula and materials are allowable if they do not duplicate materials already developed for similar purposes by U.S. DOT/NHTSA/FHWA or by States. Costs are allowable to modify existing materials to meet particular State and local instructional needs.

3. Costs are allowable for portable skid platforms and driving simulators. However, proposed plans for this equipment must be part of an NHTSA-approved training program. If the total cost of the skid platforms and driving simulators exceeds $5,000, it falls into the major purchases category and requires NHTSA prior approval.

D. Program Administration

1. Consultant services. Costs are allowable for highway safety consultant services from universities, public agencies, non-government organizations, and individuals for State or local highway safety support services or products consistent with the applicable Cost Principles, provided applicable State procurement procedures are followed.

2. Promotional items. Costs are allowable to support a specific highway safety project with promotional items only when evidence is provided that items are directly related and integral to project objectives. Costs should be reasonable and include a distribution plan and maintenance of records. Documentation must be available to show that activities do not violate State law. Note: Promotional Item costs are currently under review. (Updated July 2015)

3. Purchase of alcoholic beverages. Federal grant funds can be used to support police-directed operations to uncover unlawful practices associated with minimum age drinking laws. This includes purchase of alcoholic beverages for "sting" type operations, as long as the operations are not in conflict with any Federal, State, or local laws. In no case can alcohol be used for consumption. Reference Part IV, D.3.

4. Conference costs. Some conferences costs are allowable. A conference is defined as a meeting, retreat, seminar, symposium, workshop or event whose purpose is the dissemination of technical information beyond the non-Federal entity and is necessary and reasonable for successful performance under the Federal award. Allowable conference costs may include rental of facilities, speakers’ fees, cost of meals and refreshments, local transportation, and other items incidental to the conference unless further restricted by the terms and conditions of the Federal award. Conference costs must not conflict with State regulations. Reference 2 CFR § 200.432.

5. Demonstration projects. Section 402(g)(2) provides an exception to the general prohibition against using Section 402 grant funds for activities carried out under 23 U.S.C. 403. States may now use Section 402 funds to supplement demonstration projects implemented under Section 403.

6. Interstate initiatives. States may use grant funds in cooperation with neighboring States for highway safety purposes that benefit all participating States. For States that share a common media market, enforcement corridors and program needs, such interstate initiatives recognize the mutual benefits that may be gained by multiple jurisdictions through the sharing of resources. Section 402(c)(4)
7. Entertainment costs. Entertainment costs, including amusement, diversion, and social activities and any associated costs are unallowable, except where specific cost that might otherwise be considered entertainment have a programmatic purpose and are authorized either in the approved budget for the Federal award or with prior written approval of the Federal awarding agency. Reference 2 CFR § 200.438

E. Public Communication

1. Costs are allowed for purchase of program advertising space in the mass communication media as part of a comprehensive program designed to address specific highway safety goals identified in a State's Highway Safety Plan. This includes purchase of television, radio time; cinema, Internet, print media, and billboard space (see Purchase Media Guidance in the Highway Safety Grant Funding Guidance for additional conditions or limitations). Note: Television public service announcements and advertising created with the aid of Federal funds must contain closed-captioning of the verbal content.

2. Material developed by others, without NHTSA participation, may not carry NHTSA logos or identifiers, but may include reference to the fact that material was developed in support of objectives supported by the agency. Material developed jointly by NHTSA and others may carry logos or identifiers of both NHTSA and other contributors, subject to prior NHTSA approval.

PART IV. UNALLOWABLE COSTS FOR SELECTED ITEMS

A. Unallowable Facilities and Construction Costs

1. Highway construction, maintenance, or design other than design of safety features of highways incorporated into Roadway Safety guidelines.

2. Construction or reconstruction of permanent facilities, such as paving, driving ranges, towers and non-portable skid pads.

3. Highway safety appurtenances including longitudinal barriers (such as guardrails), sign supports (except as allowed under Allowable Costs with Conditions for selected Items, Part II.A.2.), luminaire supports, and utility poles (FHWA safety construction Federal-aid funds are available).

4. Construction, rehabilitation, or remodeling for any buildings or structures or for purchase of office furnishings and fixtures.

Examples of office furnishings and fixtures:

- Chair
- Table
- Shelves
- Coat Rack
- Bookcase
- Filing Cabinet
- Floor Covering
- Office Planter
- Portable Partition
- Picture, Wall Clock
- Drapes and Hardware
- Fixed Lighting/Lamp
5. Land (except for SAFETEA-LU Section 2010 and MAP-21 Section 405(f) motorcycle safety grant funds which can be used to purchase facilities which will include the purchase of land upon which the facilities sit.)

B. Unallowable Equipment Costs

1. Fixed and portable truck scales (Federal Motor Carrier safety program funds are available for truck scales)
2. Traffic signal preemption systems (FHWA Federal-aid highway program funds are available for traffic signal preemption systems)
3. Automated traffic enforcement systems may not be purchased, operated, or maintained with Section 402 funds (including MAP-21 Section 405(b) High Seat Belt Use Rate funds, 405(d) Ignition Interlock funds, 405(e) Distracted Driving funds, and 405(g) GDL funds) if they are being used as Section 402 funds. The term “automated traffic enforcement system” includes any camera which captures an image of a vehicle for the purposes only of red light and speed enforcement, and does not include hand held radar and other devices operated by law enforcement officers to make an on-the-scene traffic stop, issue a traffic citation, or other enforcement action at the time of the violation. Reference 23 CFR § 1200.13(b).
4. Radars or other speed measuring devices using MAP-21 Section 405-Impaired Driving Countermeasures grant funds and SAFETEA-LU Section 410 Alcohol Impaired Driving Countermeasures grant funds.

C. Unallowable Training Costs

1. Training of employees of Federal civilian and Federal military agencies. Note: Training for Department of the Interior personnel who are assigned Section 402 responsibilities is covered under the five percent administrative allowance.
2. An individual’s salary while pursuing training (except when the individual’s salary is already supported with highway safety funds under an approved project).
3. Overtime for police officers attending drug recognition expert training.

D. Unallowable Program Administration Costs

1. General costs of government. For States, local governments and Indian Tribes, the general costs of government are unallowable (except as provided in § 200.474 Travel. Reference 2 CFR § 200.444 and 2 CFR § 200.474.
2. NHTSA highway safety grant funds used to defray expenses incurred or sought to be incurred for activities of Federal civilian or military agencies or employees. For Department of the Interior, personnel expenditures for the Section 402 program are covered under the five percent administrative allowance.
3. Alcoholic beverages for any consumption purposes or techniques for determining driver impairment are not allowable (See Part III, D.3.). Reference 2 CFR § 200.423.
4. Drug impaired activities, equipment and drug impaired training is not allowable using Sections 154/164 funds.

E. Lobbying

1. Federal - the cost of influencing the U.S. Congress and Federal agency officials for activities associated with obtaining grants, contracts, cooperative agreements, or loans.

2. State and local - No Federal funds may be used for any activity specifically designed to urge or influence a State or local legislator to favor or oppose the adoption of any specific legislative proposal pending before any State or local legislative body. Such activities include both direct and indirect (e.g., grassroots) lobbying activities, with one exception. This does not preclude a State official whose salary is supported with NHTSA funds to engage in direct contact with State or local legislative officials, in accordance with customary State practice, even if it urges legislative officials to favor or oppose the adoption of a specific pending legislative proposal. Reference 23 CFR Part 1200, Appendix A.
APPENDIX C – AUDITS OF STATE AND LOCAL GOVERNMENTS

2 CFR 200, Uniform Guidance, Subpart F – Audit Requirements, will be in effect for sub-grantees receiving federal awards with fiscal years beginning on or after 12/26/14.

SUBJECT: Audits of States, Local Governments, and Non-Profit Organizations


2. Authority. Circular A-133 is issued under the authority of sections 503, 1111, and 7501 et seq. of title 31, United States Code, and Executive Orders 8248 and 11541.


4. Policy. Except as provided herein, the standards set forth in this Circular shall be applied by all Federal agencies. If any statute specifically prescribes policies or specific requirements that differ from the standards provided herein, the provisions of the subsequent statute shall govern.

Federal agencies shall apply the provisions of the sections of this Circular to non-Federal entities, whether they are recipients expending Federal awards received directly from Federal awarding agencies, or are sub recipients expending Federal awards received from a pass-through entity (a recipient or another sub recipient).

This Circular does not apply to non-U.S. based entities expending Federal awards received either directly as a recipient or indirectly as a sub recipient.

5. Definitions. The definitions of key terms used in this Circular are contained in §____.105 in the Attachment to this Circular.

6. Required Action. The specific requirements and responsibilities of Federal agencies and non-Federal entities are set forth in the Attachment to this Circular. Federal agencies making awards to non-Federal entities, either directly or indirectly, shall adopt the language in the Circular in codified regulations as provided in Section 10 (below), unless different provisions are required by Federal statute or are approved by the Office of Management and Budget (OMB).

7. OMB Responsibilities. OMB will review Federal agency regulations and implementation of this Circular, and will provide interpretations of policy requirements and assistance to ensure uniform, effective and efficient implementation.
8. **Information Contact.** Further information concerning Circular A-133 may be obtained by contacting the Financial Standards and Reporting Branch, Office of Federal Financial Management, Office of Management and Budget, Washington, DC 20503, telephone (202) 395-3993.

9. **Review Date.** This Circular will have a policy review three years from the date of issuance.

10. **Effective Dates.** The standards set forth in §___400 of the Attachment to this Circular, which apply directly to Federal agencies, shall be effective July 1, 1996, and shall apply to audits of fiscal years beginning after June 30, 1996, except as otherwise specified in §___400(a).

The standards set forth in this Circular that Federal agencies shall apply to non-Federal entities shall be adopted by Federal agencies in codified regulations not later than 60 days after publication of this final revision in the **Federal Register**, so that they will apply to audits of fiscal years beginning after June 30, 1996, with the exception that §___305(b) of the Attachment applies to audits of fiscal years beginning after June 30, 1998. The requirements of Circular A-128, although the Circular is rescinded, and the 1990 version of Circular A-133 remain in effect for audits of fiscal years beginning on or before June 30, 1996.

The revisions published in the **Federal Register** June 27, 2003, are effective for fiscal years ending after December 31, 2003, and early implementation is not permitted with the exception of the definition of **oversight agency for audit**, which is effective July 28, 2003.

Highlights of the guidelines regarding audit are noted below. The complete OMB A-133 document can be found at the Office of Management and Budget through this link: [OMB Circular A-133 Compliance Supplement 2016 | The White House](https://www.whitehouse.gov).}

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**Policy**

**Audit requirements**

(a) **Audit required.** A non-Federal entity that expends $750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year in accordance with the provisions of this part.

(b) **Single audit.** A non-Federal entity that expends $750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single audit conducted in accordance with §200.514 Scope of audit except when it elects to have a program-specific audit conducted in accordance with paragraph (c) of this section.

(c) **Program-specific audit election.** When an auditee expends Federal awards under only one Federal program (excluding R&D) and the Federal program's statutes, regulations, or the terms and conditions of the Federal award do not require a financial statement audit of the auditee, the auditee may elect to have a program-specific audit conducted in accordance with §200.507 Program-specific audits. A program-specific audit may not be elected for R&D unless all of the Federal awards expended were received from the same Federal agency, or the same Federal
agency and the same pass-through entity, and that Federal agency, or pass-through entity in the case of a sub-recipient, approves in advance a program-specific audit.

(d) **Exemption when Federal awards expended are less than $750,000.** A non-Federal entity that expends less than $750,000 during the non-Federal entity’s fiscal year in Federal awards is exempt from Federal audit requirements for that year, except as noted in §200.503 Relation to other audit requirements, but records must be available for review or audit by appropriate officials of the Federal agency, pass-through entity, and Government Accountability Office (GAO).

**Basis for determining Federal awards expended**

The determination of when an award is expended should be based on when the activity related to the award occurs. Generally, the activity pertains to events requiring the non-federal entity to comply with laws, regulations, and the provisions of contracts or grant agreements, such as: expenditure/expense transactions associated with grants, cost-reimbursement contracts, cooperative agreements, and direct appropriations; the disbursement of funds passed through to sub recipients; the use of loan proceeds under loan and loan guarantee programs; the receipt of property; the receipt of surplus property; the receipt or use of program income; the distribution or consumption of food commodities; the disbursement of amounts entitling the non-federal entity to an interest subsidy; and, the period when insurance is in force.

**Audit services**

(a) A reasonably proportionate share of the costs of audits required by, and performed in accordance with, the Single Audit Act Amendments of 1996 (31 U.S.C. 7501-7507), as implemented by requirements of this part, are allowable. However, the following audit costs are unallowable:

(1) Any costs when audits required by the Single Audit Act and Subpart F—Audit Requirements of this part have not been conducted or have been conducted but not in accordance therewith; and

(2) Any costs of auditing a non-Federal entity that is exempted from having an audit conducted under the Single Audit Act and Subpart F—Audit Requirements of this part because its expenditures under Federal awards are less than $750,000 during the non-Federal entity's fiscal year.

(b) The costs of a financial statement audit of a non-Federal entity that does not currently have a Federal award may be included in the indirect cost pool for a cost allocation plan or indirect cost proposal.

(c) Pass-through entities may charge Federal awards for the cost of agreed-upon-procedures engagements to monitor sub-recipients (in accordance with Subpart D—Post Federal Award Requirements of this part, §§200.330 Sub-recipient and contractor determinations through 200.332 Fixed Amount Sub-awards) who are exempted from the requirements of the Single Audit Act and Subpart F—Audit Requirements of this part. This cost is allowable only if the agreed-upon-procedures engagements are:
(1) Conducted in accordance with GAGAS attestation standards;

(2) Paid for and arranged by the pass-through entity; and

(3) Limited in scope to one or more of the following types of compliance requirements: activities allowed or un-allowed; allowable costs/cost principles; eligibility; and reporting.

Auditee responsibilities

The auditee must:

(a) Procure or otherwise arrange for the audit required by this part in accordance with §200.509 Auditor selection, and ensure it is properly performed and submitted when due in accordance with §200.512 Report submission.

(b) Prepare appropriate financial statements, including the schedule of expenditures of Federal awards in accordance with §200.510 Financial statements.

(c) Promptly follow up and take corrective action on audit findings, including preparation of a summary schedule of prior audit findings and a corrective action plan in accordance with §200.511 Audit findings follow-up, paragraph (b) and §200.511 Audit findings follow-up, paragraph (c), respectively.

(d) Provide the auditor with access to personnel, accounts, books, records, supporting documentation, and other information as needed for the auditor to perform the audit required by this part.
Idaho Transportation Department
Certification for the most recent audit conducted

Sub-recipient Name
Ordinance/parent organization
DUNS Number
Address

RE: Single Audit Certification (SAC) Letter - Audit Requirements of OMB Circular A-133

This Single Audit Certification (SAC) Letter is being requested from all entities receiving Federal funds from the Idaho Transportation Department, Office of Highway Safety (OHS). The Idaho Transportation Department (ITD) is subject to the requirements of the Office of Management and Budget (OMB) Circular A-133, Audits of States, Local Governments, and Nonprofit Organizations. ITD is required to monitor our sub-recipients of federal awards and determine whether they have met the audit requirements of the circular and whether they are in compliance with federal laws and regulations. A sub-recipient spending $750,000 or more in total federal awards during the sub-recipient’s fiscal year must have a single audit performed and is required to submit their audit report to the Federal Audit Clearinghouse (FAC) within the earlier of 30 days after receipt of the auditor’s report, or within 9 months after the end of the audit period.

In cases of continued inability or unwillingness to have a single audit conducted in accordance with OMB Circular A-133, Federal agencies and pass-through entities, such as ITD, shall take the following sanctions:

- Withholding a percentage of Federal awards until the audit is completed satisfactorily;
- Suspending Federal awards until the audit is conducted; or
- Terminating the Federal award.

ITD requests the following:

1. Provide all appropriate documentation regarding your organization’s compliance with the audit requirements,
   1. Your municipality (city or county) Comprehensive Annual Financial Report (CAFR) for the fiscal year for which your agency is certifying (if available). Please indicate the page(s) of the single audit result (if applicable), page no. _______
   2. In lieu of sending the CAFR, your agency may send only the summary of the single audit, along with the signed SAC letter to OHS.
   3. If your organization is not required to have a single audit, please include your agency’s latest audit (if available), unless provided previously (please so denote).

2. Sign and date the SAC letter and return this letter to OHS.
If your organization has not completed the single audit before receipt of this letter, please return this letter once the audit report has been completed and submitted to the Federal Audit Clearinghouse (FAC).  (Please contact the Municipal finance office or your auditor in filling the information below.)

1. ☐ We ______________________________________________________________________ expended more than $750,000 in total federal awards and have and have completed our Circular A-133 audit for fiscal year ended __________.  Our audit report and schedule of federal programs have no material findings that affect ITD funding.  
   
   Issue date of audit report: _______________________.

2. ☐ We ______________________________________________________________________ have expended more than $750,000 in federal awards and have completed our Circular A-133 audit for fiscal year ended __________.  Our audit report and schedule of federal programs have material findings that affect ITD funding.  Per OMB Circular A-133 _____.320 (e) we are including a copy of the required audit report along with our corrective action plan for your information. All findings are being resolved within 6 months from the completed date of FAC filing. 
   
   Issue date of audit report: _______________________.

3. ☐ We ______________________________________________________________________ are not subject to a Circular A-133 audit because:
   ☐ We are a For-Profit organization. 
   ☐ We expended less than $750,000 in total federal awards during our fiscal year ended __________. 
   ☐ Other (please explain) ______________________________________________________________________

Type or Print Authorized Personnel:

Name

Title

Signature ____________________________  Date ____________________________

Email Address ___________________________________________________________
Sub-Awardee Reporting For The Federal Funding Accountability and Transparency Act (FFATA)

As required by the Federal Funding Accountability and Transparency Act (‘Transparency Act’ or ‘FFATA’) per P.L. 108-282, as amended by section 6202(a) of P.L. 110-252, note 31 U.S.C. 6101, information on the first-tier sub-awards related to Federal contracts and grants, and the executive compensation of awardees and sub-awardees must be made publicly available beginning October 1, 2010. Federal agencies and prime awardees will report to ensure disclosure of Federal contract and grant sub-award and executive compensation data.

The following information must be reported for prime awardees and sub-awardees:

<table>
<thead>
<tr>
<th>Sub-Awardee DUNS*</th>
<th>Sub-Awardee Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address</td>
<td>City</td>
</tr>
<tr>
<td></td>
<td>State</td>
</tr>
<tr>
<td></td>
<td>Zip Code</td>
</tr>
</tbody>
</table>

Names and total compensation of the five most highly compensated officers of the entity must be listed if:

- the entity in the preceding fiscal year received 50 percent or more of its annual gross and revenues in Federal awards; and
- the entity in the preceding fiscal year received $25,000,000 or more in annual gross revenues from Federal awards; and
- the public does not have access to this information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78a(d)) or section 6104 of the Internal Revenue Code of 1986. See FFATA § 2(b)(1).

<table>
<thead>
<tr>
<th>Name</th>
<th>Total Compensation</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
</tr>
</tbody>
</table>

Explanation for exemption from listing above

Definitions and Authority


2. A sub-awardee is a recipient of a sub-award. I.E., where ITD loses programmatic control or resident oversight; functioning only as a trustee of an obligation.

3. Unique identifier used is the sub-awardee’s Dun & Bradstreet (D&B) DUNS Number. See OMB M-09-19 at 11.

4. "Total compensation" means the cash and non-cash dollar value earned by the executives during the sub-recipient’s last fiscal year of the following (for more information see 17 CFR 229.402(c)(2)): (i) Salary and bonus. (ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with FAS 123R. (iii) Earnings for services under non-equity incentive plans. Does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees. (iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans. (v) Above-market earnings on deferred compensation which are not tax qualified. (vi) Other compensation. For example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property if the value for the executive exceeds $10,000.

Completed By (Sub-Awardee’s Printed Name) | Title | FY |
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature</td>
<td>Date</td>
<td></td>
</tr>
</tbody>
</table>
APPENDIX D - TRAVEL AND PER DIEM REIMBURSEMENT

General Requirements

All travel must be authorized prior to any grant program reimbursement.

For year-long grants, travel and per diem will be reimbursed to the employing agency. Expenses of a personal nature, incurred for the convenience of the traveler, will not be reimbursed.

Per diem will be reimbursed if:
1. You are traveling OUTSIDE the assigned duty station (*District), or
2. You are required to stay overnight on official grant related business within the assigned duty station (*District).


Meal Reimbursements

Meals will be reimbursed at the current state rate of $45 per day for in-state travel. For out of state travel, meals will be reimbursed at $51 per day for those cities and/or counties not listed on the GSA Federal site: http://www.gsa.gov/portal/category/21287

Actual costs for meals, not to exceed daily meal allowances (see table below), are eligible for reimbursement if it is the policy of the employing agency. You will not be reimbursed for any meals that exceed the allowable daily per diem rate and if provided at a meeting or conference.

On the day of departure, breakfast is allowable if you leave prior to 7:00 a.m. On the day of return, dinner is allowable if your arrival is after 7:00 p.m.

Note: Meal expense reimbursement will not be made when leaving the home station earlier than reasonably necessary to meet an airport’s recommended pre-departure time.

<table>
<thead>
<tr>
<th>MEAL (% partial day)</th>
<th>IN STATE (partial day)</th>
<th>OUT-OF-STATE (partial day)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Breakfast (25%)</td>
<td>$11.25</td>
<td>$12.75</td>
</tr>
<tr>
<td>Breakfast and Lunch (60%)</td>
<td>$27.00</td>
<td>$30.60</td>
</tr>
<tr>
<td>Lunch (35%)</td>
<td>$15.75</td>
<td>$17.85</td>
</tr>
<tr>
<td>Lunch and Dinner (90%)</td>
<td>$40.50</td>
<td>$45.50</td>
</tr>
<tr>
<td>Dinner (55%)</td>
<td>$24.75</td>
<td>$28.05</td>
</tr>
<tr>
<td>Breakfast, Lunch and Dinner (100%)</td>
<td>$45.00</td>
<td>$51.00</td>
</tr>
</tbody>
</table>
Travel

Travel arrangements shall be pre-determined and must be pre-approved by your OHS Grants/Contracts Officer for procedural uniformity and to obtain the most economical and practical mode of transportation.


http://www.sco.idaho.gov/web/sbe/sbeweb.nsf/pages/trvlpolicy.htm#Appendix%20%22A%22%22

Lodging

Reimbursement for reasonable lodging costs will be allowed for approved in-state or out-of-state travel according to state guidelines. If it is feasible to travel home after the last meeting, no lodging will be allowed for that night.

Note: Reimbursement will not be made for travel and lodging expenses when leaving the home station earlier than reasonably necessary to meet an airport’s recommended pre-departure time.

Telephone/Internet

Effective 10-1-07, the telephone allowance for those traveling and requesting reimbursement will be $2.00 a day, not to exceed a maximum of $10.00 per week (seven consecutive days). Internet charges are reimbursable with a receipt, and only for grant-related work.

Ground Transportation

Fares for taxi, bus, limousine, and/or other public ground conveyance are reimbursable with a receipt. A passenger vehicle may only be rented when other means of transportation are impractical, unavailable, or would result in higher costs. The most economical and practical vehicle will be used when incurring the cost. If rental of a larger vehicle is unavoidable, obtain a statement from the rental agency to accompany the reimbursement.

Parking Fees

Parking fees are reimbursable with a receipt.

Baggage Fees

Baggage fees are reimbursable with a receipt.
BUY AMERICA ACT
Certificate of Compliance

COMPANY* ______________________________

Contract or Grant # ___________________

I certify that the product(s) listed below complies with the Buy America Act, 23 U.S.C. § 313, which prohibits States from using Federal highway funds under 23 U.S.C. Chapter 4 to purchase products, unless they are produced in the United States. For compliance purposes, American-made is any product that is manufactured or assembled in the United States.

I also certify that I am an official representative for __________________, the company* listed above.

Product Description:

Manufacturer: _______________________________

Model: _________________________________

Serial Number (if applicable): _______________________

Quantity furnished: __________________________

Manufactured/Assembled (City/State): _______________________________

Remarks: ________________________________

Signed by: _________________________________
Certificate must be signed by an individual who has legal authority to sign on behalf of the company.

Printed Name: _______________________________

Title: _________________________________

Company: _______________________________

Date: _______________________________

*Company must be the manufacturer of the product furnished or products listed.
Memorandum

U.S. Department of Transportation
National Highway Traffic Safety Administration

Subject: Use of NHTSA Highway Safety Grant Funds for Certain Purchases

From: Paul A. Hemmersbaugh
Chief Counsel

To: Mary D. Gunnels
Office of Regional Operations and Program Delivery

Date: MAY 18 2016

Over the last several months, a number of questions have arisen concerning permissible purchases under the highway safety grant programs. States have asked about the conditions that attach to the purchase of equipment, the distinction between advertising, public relations, educational materials, and promotional items, and whether Federal grant funds may be used to purchase items for distribution to members of the public. I issued guidance on these issues in a January 19, 2016 memorandum, which I subsequently clarified in a February 11 memorandum applicable to certain fiscal year 2016 purchases. In this memorandum, I am issuing final guidance on these matters. For ease of reference, today’s memorandum consolidates all of the relevant information from these two past memoranda into this one document. This memorandum supersedes those prior documents, and States should no longer consult them. Please distribute this memorandum to the Governors’ Representatives for Highway Safety.

I. Allowable Costs

NHTSA highway safety grant funds are intended to support traffic safety in the States. Any use of NHTSA grant funds must support data-driven State traffic safety goals. When determining whether to expend grant funds under the categories below, a State or subrecipient should use good judgment as a responsible steward of tax dollars intended to support traffic safety. All costs charged to NHTSA highway safety grants must be reasonable, within the scope of the grant, address a highway safety problem, and help to meet performance measures. Note that the OMB Super Circular has additional provisions that apply to certain items that fall within the categories below. For example, certain educational materials costs may be subject to the Super Circular provision on Conference Costs (2 C.F.R. §200.432). States should consult Subpart E of the Super Circular (Cost Principles) to determine if there are additional provisions that pertain to a particular item or use of that item.
A. Equipment

Items purchased for direct use by a State or any of its subgrantees or contractors (rather than for public distribution, as discussed later under Section LE) are properly categorized as equipment. The government-wide rules covering the term of art “equipment” are well-established in law: Equipment is eligible for reimbursement as a direct expense chargeable to a specific project agreement, provided the equipment is needed to perform that project. NHTSA’s grant rules impose the additional requirement that the project for which the equipment is needed must be based on identification of a specific safety problem in the State (often referred to as “problem ID”). In other words, a State must first establish a project (documented by a project agreement), based on problem ID. If that project requires the use of equipment for its performance, the cost of that equipment may be reimbursed under the grant. No project may be created solely to purchase equipment.

For purposes of illustration of these principles, a speed measurement device such as a radar or laser unit purchased by a police agency is a piece of equipment whose expense is permitted under Section 402, provided it is identified in a project agreement whose specific safety activity (i.e., speed enforcement) requires the purchase of the speed measurement device for its performance and provided the need for that project is established by problem ID.

Fundamentally, NHTSA highway safety grants are for safety activities, and equipment serves a supporting role in accomplishing those activities through defined projects. As always, equipment must be used, managed, and disposed of in accordance with applicable Federal requirements. (Although NHTSA’s grant rules impose a requirement for advance approval of equipment only at a threshold of $5,000 and when the useful life exceeds one year, all equipment must meet the requirements stated here, and all expenditures to purchase equipment are subject to audit.)

There have been questions about the purchase of items erroneously referred to as “safety equipment,” when the intent is to distribute the items to members of the public. Items intended for distribution to the public are not “equipment,” as that term is used under Federal grant law, and the Federal rules governing equipment do not apply to such items intended for distribution to the public. Instead, States should consult Section LE below, “Safety Items for Public Distribution,” for guidance on the treatment of those items. The key to differentiating between (i) equipment and (ii) items for public distribution is the use of the item—equipment must be needed by those carrying out work under the grant, and must be used, managed and disposed of in accordance with applicable Federal requirements.

Illustrative examples of allowable safety equipment:

- Reflective safety vest for use by employee conducting a roadside survey, provided the vest is retained by the program.
- Bike helmet for use by participants in a bike rodeo event and returned to the program after the event.
- Safety gear—including helmets, safety vests, reflective material—for use by trainees during motorcycle training events and returned to the program after the training.
B. Recognition Awards

The Agency understands that an appropriate part of any State program involves recognition and reward for noteworthy accomplishments. NHTSA highway safety grant funds may be used to purchase awards, where appropriate, under a formalized recognition program that rewards superior performance or exceptional contributions to the purposes served by the NHTSA grant. An appropriate award may be a certificate, plaque, coin, or medal, if it is given under a limited, formalized recognition program.

Illustrative examples of allowable recognition awards:

- A plaque given to a State employee under the State’s official personnel recognition program.
- A plaque given by the SHSO to a police department at the annual highway safety conference for specific outstanding enforcement efforts.
- A certificate given by the SHSO to an employee for exceptional work in a specific enforcement effort.
- A medal given by the SHSO at a State Lifesavers conference to an individual for a career of exceptional service to public safety.
- A medal or coin given by a subrecipient to a police officer as a formal award for specific superior highway safety enforcement performance (but not a challenge coin for general distribution).
- A certificate given by a subrecipient to a community partner for exceptional work on a collaborative highway safety project.

C. Educational materials

There have been questions about the difference between “educational materials,” whose purpose is to convey substantive information about highway safety, and “promotional items,” whose purpose is to generate good will or to incentivize behavior (discussed later, under Section II). The former category is an allowable expense, as discussed in this section, while the latter category is not. Paper, pamphlets, flash drives, CD-ROMs, and similar media that contain educational materials are allowable because their purpose is to contain and convey educational information. In order to be considered educational, distributed material must provide substantial information and educational content to the public (not merely a slogan) and have the sole purpose of conveying that information. If a recipient or subrecipient chooses to provide educational content on a flash drive, CD-ROM, or similar device, that device must be an economical method of conveying the information.

Illustrative examples of allowable educational materials:

- Traffic-safety-themed coloring book given to children at a school event, state fair, etc.
- A pamphlet including statistical information such as “X number of people lose their lives every year when not wearing a seat belt” and safety tips distributed at a state fair.
- A flash drive containing information about the dangers of texting and driving (e.g., statistics, ideas to prevent texting while driving).
• A folder containing information about child passenger safety (e.g., statistics about car seat or booster seat laws, proper car seat installation and use, danger of leaving children unattended in hot or cold cars, etc.) and relevant safety tips provided to parents at a car seat inspection station.
• A CD-ROM or flash drive containing training or conference materials given to attendees at a highway safety conference hosted by the recipient or subrecipient.

D. Advertising media

There have been questions about the difference between “advertising,” “public relations,” “educational materials,” and “promotional items.” These terms are not interchangeable. Educational materials are discussed directly above, under Section I.C. The differences and distinctions between the other categories are addressed later, under Sections II and III. Here, we limit the discussion to advertising media. Advertising media intended to reach a large audience—such as television or radio ads, ads on social media, signs, banners, and posters—are allowable costs under NHTSA’s highway safety grants. The Uniform Guidelines for State Highway Safety Programs provide that “the State should enlist the support of a variety of media, including mass media, to improve public awareness and knowledge and to support enforcement efforts about seat belts, air bags, and child safety seats.” (See Guideline No. 20, Section IV)

Illustrative examples of allowable advertising media:
• Banners or posters featuring the Click It or Ticket campaign for use at events.
• A “U Text. U Drive. U Pay.” banner displayed in a school.
• A television ad about the dangers of impaired driving.
• Posters displayed in bars that say “Report every drunk driver immediately at *55.”
• A yard sign telling drivers to “Watch for Motorcycles.”

E. Safety Items for Public Distribution

The purchase of items for public distribution (in contrast with equipment for direct use by a State or its subgrantees and contractors, as discussed under Section I.A above) using Section 402 funds is governed by different requirements. Such items do not fall within the definition of equipment, and therefore are not governed by the same principles. There are important limitations on the use of taxpayers’ funds to purchase items for distribution to members of the public. NHTSA and its grantees must be mindful of the Agency’s responsibility as a steward of public funds. In addition to the limitations and requirements described below, any purchase of items for public distribution must be justified by compelling safety benefits.

Subject to the foregoing cautions and requirements, the Agency has determined that, going forward, child restraints (i.e., child car seats); bicycle helmets; and other similar items whose sole purpose is to improve highway safety are allowable purchases under the Section 402 program for distribution to members of the public, provided these items are specifically identified in a project agreement and based on problem ID, just as is required for equipment purchases. The project may not be limited to distribution of the items, but must also contain specific performance criteria justifying the safety benefit, such as targeted population, number of
items for distribution, method of distribution, and educational component. (Separately, States may use up to five percent of occupant protection funds awarded under 23 U.S.C. § 405(b) to provide child restraints to low-income families, because that section of statute specifically authorizes this expenditure.)

For purposes of illustration of the term “sole purpose,” the purchase and public distribution of a reflector or reflectorized tape that may be attached to clothing to improve pedestrian conspicuity would be allowable (provided it is tied to a specific project to address pedestrian safety, as discussed above), but the purchase of a reflectorized backpack or jacket would be unallowable. The Agency will interpret the term “sole purpose” strictly when evaluating the purchase of items for distribution to the public, and expects States to do so as well. No promotional item or memorabilia may be purchased for distribution under this provision (see discussion of Promotional Items under Sections II and III below).

A State that finds ambiguity about whether a proposed purchase is allowed under this guidance should not proceed with that purchase. States should exercise their best judgment in this area, and should consult their Regional Administrator if they have questions about the application of this guidance to a particular project. Regional Administrators should reject projects that do not conform to the guidance.

II. Promotional Items are Not Allowable Costs under NHTSA Grants

The OMB Super Circular makes clear that no promotional items or memorabilia are allowable costs under Federal grants (see discussion under Section III below). Use of NHTSA grant funds to purchase promotional items or memorabilia is prohibited and could result in the requirement to repay the misused funds. An item that is purchased for distribution as an incentive or to increase goodwill (e.g., to police officers to maintain partnerships) is an unallowable promotional item. Any item that is distributed as a giveaway, except in strict accordance with the provisions of Section 1E above, is not allowable. NHTSA grant funds are intended to promote safety and to educate the public about traffic safety, not to provide items to individuals or groups through widespread distribution.

This promotional items guidance applies only to the use of NHTSA grant funds for these types of purchases. States and their subrecipients may use State funds or privately collected funds or donations to purchase promotional items, subject to applicable State laws and policies.

Illustrative examples of unallowable promotional items or memorabilia include:

- Bumper stickers, and/or texting thumb bands given to members of the public at a state fair.
- Keychains and/or pens given to groups at a training event.
- Shirts for volunteers at a state fair or car seat installation center (either as an incentive or to designate staffers as a team).
- Shirts for Law Enforcement Liaisons.
- Shirts or hats worn by participants in a press event.
- Challenge coins, when ordered in bulk and kept on hand to give to many people outside of a limited, formalized recognition program (for example, to all attendees at a conference, to police officers in the ordinary course of employment).

III. Governing OMB Super Circular Provision on Advertising and Public Relations Costs

The Super Circular allows Federal funds to be used only for certain specified advertising and public relations costs. See 2 C.F.R. § 200.421.

- The Super Circular provides that the only allowable advertising costs are for:
  - Recruitment of personnel required for performance of a Federal award;
  - Procurement of goods and services for the performance of a Federal award;
  - Disposal of scrap or surplus materials acquired in the performance of a Federal award except when reimbursed for disposal costs at a predetermined amount; or
  - Program outreach and other specific purposes necessary to meet the requirements of the Federal award.

- The Super Circular provides that the only allowable public relations costs are for:
  - Costs specifically required for the Federal award;
  - Costs of communicating with the public and press pertaining to specific activities or accomplishments which result from performance of the Federal award; or
  - Costs of conducting general liaison with news media and government public relations officers, to the extent that such activities are limited to communication and liaison necessary to keep the public informed on matters of public concern, such as notices of funding opportunities, financial matters, etc.

The Super Circular excludes all other advertising and public relations costs, and specifically excludes “costs of promotional items and memorabilia, including models, gifts, and souvenirs”—these items are always unallowable advertising and public relations costs. 2 C.F.R. § 200.421(e)(3). Therefore, Federal grant funds are never available to cover the costs of promotional items and memorabilia.