

**COMMONWEALTH OF KENTUCKY  
TRANSPORTATION CABINET  
FRANKFORT, KY 40622**

MANUAL TITLE: Grants Management Branch Manual

REVISION NO.: 2

DATE REQUESTED: July 26, 2011

REPRINT: \_\_\_\_\_

REQUESTED BY: Brad Webb

NEW: \_\_\_\_\_

<b>REVISED PROCEDURE</b>
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CHAPTER/ SECTION	EXPLANATION	OLD PAGES TO BE DELETED	NEW PAGES TO BE ADDED
Chapter 3	<p>The purpose of this printing is to include the following revised procedure in the <i>Grants Management Branch Manual</i>.</p> <p>Chapter 3: Program Management</p>	Page 3-4	Page 3-4
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**COMMONWEALTH OF KENTUCKY  
TRANSPORTATION CABINET  
FRANKFORT, KY 40622**

MANUAL TITLE: Grants Management Branch Manual

REVISION NO.: 1

DATE REQUESTED: February 28, 2011

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**REVISED PROCEDURES**

CHAPTER/ SECTION	EXPLANATION	OLD PAGES TO BE DELETED	NEW PAGES TO BE ADDED
	The purpose of this printing is to include the following revised procedures in the <i>Grants Management Branch Manual</i> . This revision also includes a revised preface, two index updates, and one new and seventeen revised appendixes.		
	Preface	Preface	Preface
	Table of Contents (TOC)	TOC	TOC
	Appendix Contents	Appendix Contents	Appendix Contents
Chapter 3	Chapter 3: Program Management	Chapter 3	Chapter 3
Chapter 4	Chapter 4: Financial Management	Chapter 4	Chapter 4
Appendixes	Highway Safety Grant Application/Contract Conditions	App. 1	App. 1
	Reimbursement Claim Checklist for Law Enforcement Agencies	App. 2	App. 2
	Reimbursement Claim Checklist for Non-Law Enforcement Projects	App. 3	App. 3
	Activity Reporting Form	App. 4	App. 4
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	Guidelines for Program Enhancement Item Purchases	App. 12	App. 12
	Out-of-State/Overnight Travel Request Form	App. 13	App. 13
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	Non-Expendable Property Accountability Record	App. 18	App. 18
	Affidavit		App. 19
Produced & Distributed by Organizational Management Branch			

Kentucky Office of Highway Safety  
Grants Management Branch



Standard Operating Procedures Manual

January 2009



**TRANSPORTATION CABINET**

Frankfort, Kentucky 40622  
www.transportation.ky.gov/

**Steven L. Beshear**  
Governor

**Joseph W. Prather**  
Secretary

OFFICE OF THE SECRETARY 105142  
OFFICIAL ORDER

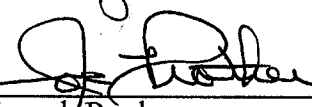
**SUBJECT:** *Grants Management Branch Manual*

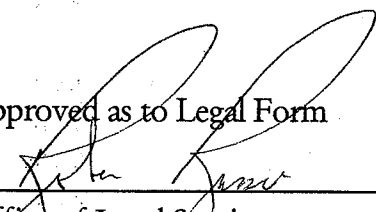
This manual has been prepared to provide information and guidance to personnel of the Kentucky Transportation Cabinet. Its purpose is to establish uniformity in the interpretation and administration of laws, regulations, policies, and procedures applicable to the operations of the Grants Management Branch and its relationship with other units of the Cabinet.

The policies and procedures set forth herein are hereby approved and declared effective unless officially changed.

All previous instructions, written and oral, relative to or in conflict with this manual are hereby superseded.

Signed and approved this 5th day of February, 2009.

  
\_\_\_\_\_  
Joseph Prather  
Secretary

Approved as to Legal Form  
  
\_\_\_\_\_  
Office of Legal Services

## **Preface**

This manual contains general and specific policies and procedures for the proper administration of the Kentucky Office of Highway Safety (KOHS)- Grants Management Branch which is housed within the Transportation Cabinet, Department of Highways. It is important to note that existing federal, state, and KOHS policies and procedures have been used throughout to create a large portion of this document. However, many of the procedures described in this manual are guidelines, or “best practices,” that will be used primarily for staff training and reference purposes, and therefore should not be considered as mandated policies. Hence, if there is a departure from a particular sub-procedure, then this does not constitute a lapse in procedure nor an administrative error.

Since much of the KOHS - Grants Management Branch budget comes from the National Highway Traffic Safety Administration (NHTSA), many federal regulations and policies apply. These regulations, policies, and guidance documents are contained in the ***Highway Safety Grant Management Manual*** provided by NHTSA. The KOHS - Grants Management Branch shall maintain at least one up-to-date copy of this manual and refer to it for guidance on the specific use and limitations of federal highway safety funds. The NHTSA regional office shall be consulted for clarification on any of the provisions therein. Our primary contact with the [NHTSA Region III office](#) is Bill Naff, Regional Program Manager and he can be reached at 410-962-0002 or [bill.naff@dot.gov](mailto:bill.naff@dot.gov) . Elizabeth Baker, Ph.D., is the Regional Administrator for the NHTSA Region III office.

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## **Chapter 1: Authority, Purpose, & Organization**

### **1.1 Authority**

The Kentucky Office of Highway Safety (KOHS) - Grants Management Branch was established under the authority of the federal Highway Safety Act of 1966 (23 U.S.C. 402). [Section 1251](#) of this act authorizes each state highway safety agency to:

- a) Develop and implement a process for obtaining information about the highway safety programs administered by other state and local agencies.
- b) Periodically review and comment to the Governor on the effectiveness of highway safety plans and activities in the state regardless of funding source.
- c) Provide or facilitate the provision of technical assistance to other state agencies and political subdivisions to develop highway safety programs.
- d) Provide financial and technical assistance to other state agencies and political subdivisions in carrying out highway safety programs.

### **1.2 Purpose**

Additionally, Section 1251.4 outlines the functions of each state highway safety agency:

- a) Develop and prepare the Highway Safety Plan prescribed by volume 102 of the Highway Safety Program Manual (23 CFR 1204.4, Supplement B), based on evaluation of highway accidents and safety problems within the state.
- b) Establish priorities for highway safety programs funded under 23 U.S.C. 402 within the state.
- c) Provide information and assistance to prospective aid recipients on program benefits, procedures for participation, and development of plans.
- d) Encourage and assist local units of government to improve their highway safety planning and administration efforts.
- e) Review the implementation of state and local highway safety plans and programs, regardless of funding source, and evaluate the implementation of those plans and programs funded under 23 U.S.C. 402.
- f) Monitor the progress of activities and the expenditure of Section 402 funds contained in the state's approved Highway Safety Plan.
- g) Assure that independent audits are made of the financial operations of the state highway safety agency and of the use of Section 402 funds by any subrecipient.
- h) Coordinate the state highway safety agency's Highway Safety Plan with other federally and non-federally supported programs relating to or affecting highway safety.
- i) Assess program performance through analysis of data relevant to highway safety planning.

### **1.3 Mission**

The Kentucky Office of Highway Safety operates with the following mission statement:

To be the vital link in the Commonwealth's chain of highway traffic safety by elevating the emphasis on highway and traffic safety. This mission is guided by the following statement: "through public and private partnerships, achieve the most improved and sustainable downward trend in highway fatalities and injuries in the nation."

This mission is supported by three general goals:

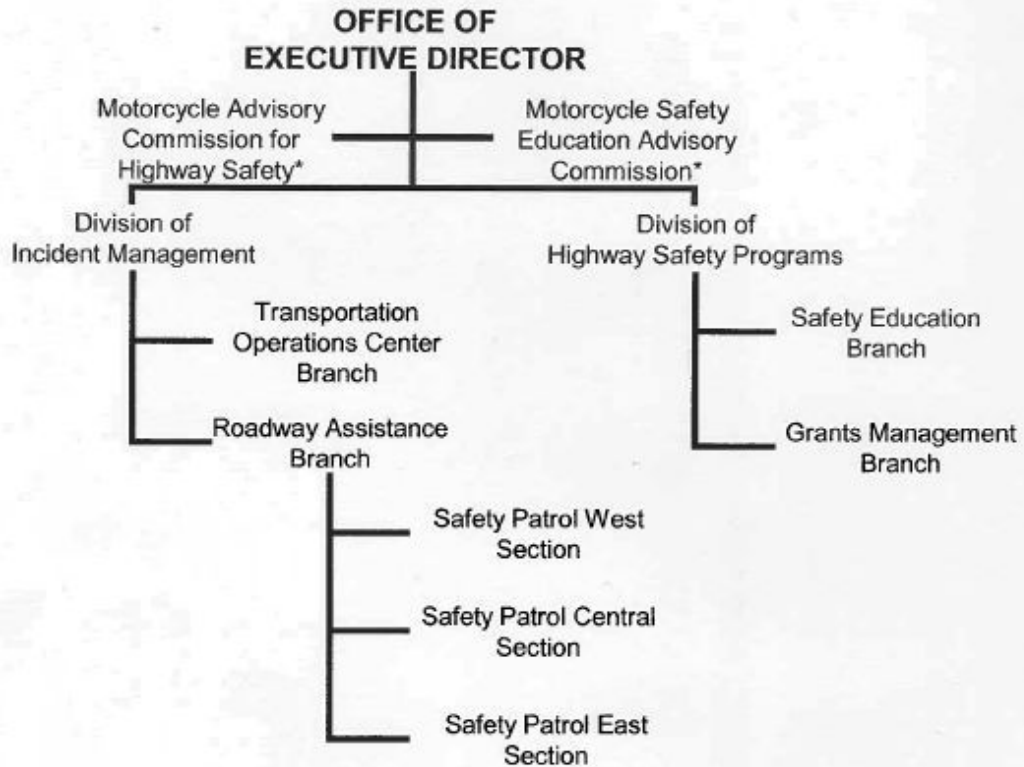
- 1) To reduce the number of serious injuries and fatalities on the state's roadways through the efficient use of highway safety resources available on the local, state, and national levels. These resources include both public and private sources.
- 2) To develop and implement a strategic plan identifying problems, countermeasures, and action plans to address Section 402 priority program areas—alcohol and other drug countermeasures, occupant protection, traffic records, police traffic services, emergency medical services, motorcycle safety, roadway safety, pedestrian & bicycle safety, and speed control.
- 3) To increase public awareness of traffic safety issues and their impact on the state.

### **1.4 Organization**

The Kentucky Office of Highway Safety (KOHS) is established within the Department of Highways of the Kentucky Transportation Cabinet by Executive Order 2008-529 dated June 16, 2008. This Executive Order transferred the functions, powers, responsibilities, personnel, positions, records, files, equipment, and funds heretofore assigned to the Kentucky State Police within the Justice and Public Safety Cabinet relating to the administration of the National Highway Safety Act of 1966. The Kentucky Office of Highway Safety - Grants Management Branch is responsible for administration and monitoring of all programs funded by the National Highway Traffic Safety Administration.

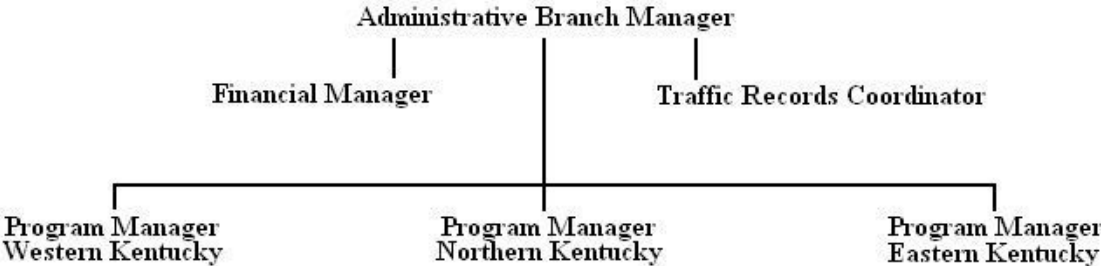
# *Department of Highways*

## *Office of Highway Safety*



\*Attached for Administrative Purposes

*Department of Highways  
Office of Highway Safety  
Grants Management Branch*



## **Chapter 2: Administration**

### **2.1 Governor's Representative**

The Governor's Representative for Highway Safety is appointed by the Governor of the Commonwealth of Kentucky. The current Governor's Representative is the Secretary of the Transportation Cabinet who has ultimate authority over the Kentucky Office of Highway Safety.

### **2.2 KOHS Personnel**

The Executive Director oversees administrative functions of the Kentucky Office of Highway Safety.

All employees of the Kentucky Office of Highway Safety - Grants Management Branch are employees of the Commonwealth of Kentucky, and are thus subject to all laws, regulations, and policies applicable to state employees set forth in Kentucky Revised Statutes (KRS) Title III, Chapter 18A and Title 101 of the Kentucky Administrative Regulations (KAR).

Employees should refer to the current edition of the Commonwealth of Kentucky's Employee Handbook, which is available from Department of Personnel's web site at <http://personnel.ky.gov/stemp/emphb/default.htm> for further information on state personnel policies, procedures, and benefits. Employees of the Kentucky Office of Highway Safety shall also be subject to the applicable policies of the Kentucky Transportation Cabinet.

### **2.3 Contract Personnel**

The KOHS may employ contract personnel to help carry out the mission and functions of the program. These positions may have workstations that are off-site from the KOHS office. These positions, which may include regional law enforcement liaisons, shall be established and/or continued through annually renewable contracts and funded with federal highway safety grant funds. Such positions shall be subject to all terms and conditions of the applicable contract agreements.

### **2.4 Office Hours**

The Kentucky Office of Highway Safety will generally maintain office hours from 8:00 a.m. to 4:30 p.m. local time, each day except Saturdays, Sundays, and state holidays as designated by the Governor.

## **2.5 Delegation of Authority & Signatory Authority**

The KOHS shall file a Delegation of Authority and a Signatory Authority document with the National Highway Traffic Safety Administration's Region III office. These documents shall be updated periodically to correspond with personnel changes within the KOHS.

## **2.6 Staff Meetings**

The KOHS shall hold regular staff meetings at the discretion of the Executive Director or Director of the Division of Highway Safety Programs. Generally, meetings including all staff members should be held at least quarterly. Individual meetings between staff members should be held more frequently as needed.

## **2.7 Records Management & Filing**

The KOHS shall maintain at least one copy of the following in a central location:

- Grant project files
- Annual Highway Safety Plan/Performance Plan
- Annual Evaluation Report and
- Reports required for specific federal funding streams, such reports shall be retained for a period of at least three years

## **Chapter 3: Program Management**

### **3.1 Management Process**

The Kentucky Office of Highway Safety - Grants Management Branch follows a management process that consists of the following major functions: planning, programming, implementation, monitoring/review and evaluation. The following calendar indicates when the various activities that are regularly performed under this process take place:

#### **January—February**

- Review highway safety grant reimbursement claims/activity reports
- Prepare and develop Section 405 Occupant Protection Grant Application
- Solicit grant proposals from current grantees and from agencies in high-priority problem areas
- Receive grant applications for next fiscal year

#### **March—April**

- Review highway safety grant reimbursement claims/activity reports
- Receive OMB-A133 audit reports due from applicable grantees
- Evaluate crash data from prior year and begin problem identification process
- Begin on-site monitoring
- Estimate funding levels (carry forward funds and new FY appropriations)
- Review grant proposals and recommend projects for funding
- Establish funding priorities for the upcoming grant year
- Identify potential Click It or Ticket (CIOT-Section 405) grantees for funding

#### **May**

- Review highway safety grant reimbursement claims/activity reports
- Prepare CIOT contracts and provide claim reimbursement instructions to grantees
- Continue on-site monitoring

#### **June – July**

- Review highway safety grant reimbursement claims/activity reports
- Finalize all on-site monitoring reports
- Prepare modifications needed to applications
- Send grant award letters and finalize grant agreements/budgets for new fiscal year
- Prepare grant agreements for upcoming grant year (402 funding)

#### **August**

- Review highway safety grant reimbursement claims/activity reports
- Develop and submit HSP/Performance Plan to NHTSA by September 1

### **September**

- Review highway safety grant reimbursement claims/activity reports
- Begin planning for regional grantee training
- Notify all grantees of OMB-A133 Certification requirements and deadline

### **October**

- Review highway safety grant reimbursement claims/activity reports
- Conduct regional grantee training
- Receive NHTSA approval for HSP and revise if necessary
- Receive OMB A-133 Certifications, which are due October 15

### **November—December**

- Review highway safety grant reimbursement claims/activity reports
- Final evaluation of prior fiscal year's projects & programs
- Prepare & submit Annual Report to NHTSA by December 31
- Close out prior fiscal year grant prior to December 31

## **3.2 Problem Identification**

Identification of traffic-related problems on the statewide level is key to the development of the annual Highway Safety Plan/Performance Plan. All Kentucky crash data originate from the CRASH (Collision Report Analysis for Safer Highways) database, which is maintained by the Kentucky State Police. All law enforcement agencies in Kentucky are required to submit uniform reports of any injury, fatal, or property damage crash that renders a vehicle inoperable to the Kentucky State Police's Records Branch.

Through a cooperative agreement with the Kentucky State Police, The KOHS has access to certain data from the CRASH database to use as the basis for its own [Traffic Safety Data Service](#) (TSDS). The TSDS is able to provide this information to the departments within the Transportation Cabinet, as well as respond to queries by law enforcement, consultants, the Governor's Executive Committee on Highway Safety, the public, and others. With its analytical tools and mapping capabilities, the TSDS is able to conduct highway safety problem identification for the purpose of establishing program and funding priorities within the KOHS.

The TSDS annually updates a matrix that has been used for the past several years to evaluate data from Kentucky's 120 counties. This matrix utilizes data from the most recent three-year period to establish a ranking system for highway safety problems by county, so that priority areas can more easily be established for reviewing funding proposals and for program delivery. This problem identification tool tabulates data from each of the following data factors for each county:

- Population
- Number of fatalities

- Number of incapacitating injuries
- Fatality and Injury Rate per 100 MVM
- Number of impaired driving crashes
- Observed seat belt usage rate
- Percent of Belted Fatalities
- Number of speeding-related crashes
- Number of commercial motor vehicle crashes
- Number of motorcycle-involved crashes

The matrix spreadsheet is set up to assign a ranking of 1-120 for each county in each of these categories. All of these rankings are combined into an overall ranking as well. Fatalities and incapacitating injuries were given more weight in determining the overall ranking. Counties with the lowest overall numerical rank have the greatest number of problems, while counties with the highest numerical rank have the lowest number of problems. The KOHS targets highway safety counter-measures in those counties that are ranked in the top 25 overall in the upcoming year. The grant review committee uses this matrix and the identification of priority counties as a tool in reviewing applications for highway safety project funding. Individual factor rankings are consulted to help determine the most suitable program area for particular project proposals. This is especially helpful for evaluating law enforcement proposals, which make up a large percentage of the applications received.

In addition to the data analysis conducted by the TSDS, the Kentucky Transportation Center of the University of Kentucky is contracted to conduct an annual review of crash data from the most recently available year, as well as the prior four-year period. The [Kentucky Transportation Center](#) uses this data to annually develop the Analysis of Traffic Crash Data in Kentucky and Kentucky Traffic Collision Facts. These documents contain the most comprehensive published collection and analysis of statewide crash data available.

[Analysis of Traffic Crash Data in Kentucky](#) compiles and analyzes detailed motor vehicle crash data for all Kentucky counties and for cities over 2,500 in population for the most recent five-year period. It also includes relevant data on arrest and conviction data for DUI offenses. [Collision Facts](#) characterizes traffic crashes in a more general manner, presenting information on contributing factors, occurrence by type of vehicle & roadway, age and sex of driver, etc. The Kentucky Transportation Center also conducts the annual statewide safety belt and child restraint usage survey according to NHTSA standards. The results are published each year in a separate research report, [Safety Belt Usage Survey in Kentucky](#). The KOHS staff uses all of these documents to gain a better understanding of trends in traffic collisions and to help identify the most problematic areas and/or jurisdictions in the state. Demographic data and the most common factors contributing to crashes are also examined to determine the most at-risk populations and behaviors that should be addressed in the Performance Plan.

### **3.3 Grant Application Solicitation**

The KOHS solicits applications for highway safety grants from state agencies, local governmental agencies, and private not-for-profit agencies. This process is conducted during the first quarter of each calendar year through a combination of mail-out notifications, email communication, personal contact through the law enforcement liaisons, and information on the KOHS web site. Applications for highway safety project funding may also be requested by contacting the KOHS office by telephone or email. Eligible agencies that are currently receiving highway safety grants will automatically be notified for each subsequent federal fiscal year. The KOHS also solicits applications from eligible agencies in areas of the state that have been deemed high priority through the yearly problem identification process.

### **3.4 Application Forms**

Applications must be submitted on the approved KOHS forms (see [appendix #1](#)). Electronic application forms are available for download on the KOHS web site (<http://transportation.ky.gov/Highway-Safety/Pages/Grants.aspx>).

### **3.5 Application Procedure**

An original and three (3) copies of the application must be submitted by the specified due date to the KOHS office housed within the Transportation Cabinet.

### **3.6 Application Content**

In order for an application to be accepted as complete, it must contain the following material/information:

- Complete applicant/agency information
- Description of the project
- Problem identification narrative supported by appropriate data
- Project goals/objectives and strategies/activities
- Detailed project budget
- Contact information of preparer of application

### **3.7 Application Deadline**

Applications must be received by the KOHS by the close of business on the deadline date, which will be announced yearly.

### **3.8 Incomplete Application**

If the application is incomplete, the applicant shall be notified as to the necessary action(s) to complete the application. If the applicant provides the necessary content within the time indicated on the notice from the KOHS, the application shall be considered filed on the original date received. Notification to the applicant may be in the form of written correspondence, email, or by telephone.

### **3.9 Application Review & Selection**

All submitted applications will be collected and logged into a database containing summary information. The KOHS staff shall divide applications among the review committee members for an initial independent review. The review committee shall be comprised of appropriate KOHS staff, law enforcement liaisons, a NHTSA representative (if available), and others selected by the KOHS Executive Director. Each committee member will individually evaluate their assigned applications by filling out a review form with their comments and recommendations, which will later be shared with the rest of the review committee. The committee will meet for collective review sessions in April to determine which proposals will be recommended for funding and at what level. Evaluation of each proposal shall include consideration of the following:

- Eligibility of applicant (political subdivisions and 501c3 non-profit organizations)
- Eligibility of the program area
- Conformity to program strategy
- Extent of need (based on CRASH data) for the project/program
- Measurable goals and objectives
- Suitable strategies and activities for achieving stated goals and objectives
- Past performance (if applicable)
- Participation/attendance in state highway safety campaigns/events
- Allowability in accordance with federal funding guidelines and Kentucky statutes and regulation
- Budget and cost effectiveness
- Adequacy of agency resources and the ability of the applicant to carry out the program
- Size of community served

Upon final review of the application, the KOHS shall recommend one of the following actions:

- Rejection of the application
- Approval of the application
- Approval of the application with special conditions or modifications

### **3.10 Local Benefit**

23 CFR Part 1250 requires that at least 40% of all federal funds apportioned to Kentucky under Section 402 be expended by political subdivisions within the state. Funding to localities shall be guided by the problem identification process and by the program goals developed in the statewide Highway Safety Performance Plan.

### **3.11 Designation of Program Area**

Projects will be placed in the funding program area that best suits the focus of the proposal or that is indicative of the highest priority problem of the locality.

### **3.12 Conditional Approval**

In many cases, the review committee will propose modification of the grantee's budget in order to meet funding guidelines or to ensure adequate funding for other worthy proposals. Requests for any changes to the grantee's application shall be communicated to the applicant, who will be asked to submit any modifications to the KOHS in order to obtain final approval.

### **3.13 Final Application Approval**

Final approval of a grant application occurs when the grant agreement is signed by the authorizing official and project director of the grantee agency as well as by the Executive Director of the KOHS, the Governor's Representative for Highway Safety, and a representative from the Kentucky Transportation Cabinet Office of Legal Services.

KOHS will send **Nongovernmental** grantee agencies a Required Affidavit for Bidders, Offerors and Contractors, see appendix 19 which they are required to return signed to KOHS.

The annual Highway Safety Performance Plan submitted to NHTSA shall contain KOHS's recommendations for agencies to receive federal funding each fiscal year. Approval of this document shall constitute NHTSA's approval for the allocation of federal highway safety funds through the KOHS to subrecipients.

### **3.14 Approval Notification**

Following NHTSA's acceptance of the Performance Plan, grantees are notified of their grant award in writing by the KOHS and are provided with a copy of their signed grant agreement, including all contract conditions. This award letter also notifies grantees of any training session that is required.

### **3.15 Notification of Rejection**

Applicants that have been denied or rejected funding will receive written notification from the KOHS.

### **3.16 Grantee Training**

The KOHS will make every reasonable effort to educate grantee project directors, fiscal officers and administrative staff who are directly involved with the project and its required paperwork. Grantee training will generally be provided by KOHS staff through a series of training sessions held regionally throughout the state during the first quarter of the federal fiscal year. Specific locations and dates will be established each year to conveniently accommodate the grantees required to attend. Attendance by all grantees is mandatory.

### **3.17 Highway Safety Performance Plan**

By September 1 of each year, the KOHS shall submit a Performance Plan to the NHTSA Region III office, which will serve as its application for Section 402 funding for the federal fiscal year beginning October 1. A copy will also be provided to the Kentucky Division of the Federal Highway Administration (FHWA) for their review and comment.

The KOHS will utilize guidelines developed by the [Governor's Highway Safety Association](#) (GHSA) in formulating its Performance Plan. The following are required elements of the Performance Plan:

1. Measurable highway safety goals based on problems identified by the state and corresponding performance measures for tracking progress. Highway safety goals should address the National Priority Program Areas specified by NHTSA, and may include other priorities indicated from the state's data analysis and problem identification.
2. A brief description of the processes used to formulate goals and activities, including identifying the participants in the process, data sources consulted, and strategies for project selection
3. Highway Safety Plan (HSP): This plan is a description of one year of Section 402 program activities that Kentucky plans to implement to reach the goals identified in the Performance Plan. Activities funded from other sources may also be included, as long as the funding source is clearly identified.
4. Certification Statement: This statement, signed by the Governor's Representative for Highway Safety, certifies that Kentucky will comply with applicable laws and regulations, financial and programmatic requirements, and in accordance with CFR 1200.11, special funding conditions of the Section 402 program.
5. Program Cost Summary: This summary is an estimate of available funding for the upcoming fiscal year, reflecting Kentucky's proposed allocation of funds (including carryover funds) by program area.

### **3.18 Revisions to the Performance Plan**

Any revisions or adjustments that may need to be made to the Performance Plan after initial submittal shall be detailed in writing and submitted to the NHTSA regional office for approval. All such revisions and NHTSA's written responses shall be kept on file with the Performance Plan in the KOHS.

### **3.19 Annual Report**

The KOHS shall submit an annual report to NHTSA within 90 days of the end of the federal fiscal year. This report shall describe:

- Kentucky's progress in meeting its highway safety goals, using performance measures identified in the Performance Plan.  
Note: Both baseline and most current level of performance under each measure will be given for each goal.
- How the projects and activities funded during the fiscal year contributed to meeting Kentucky's highway safety goals.  
Note: Where data becomes available, KOHS should report progress from prior year projects that have contributed to meeting current state highway safety goals.

### **3.20 Program Guidelines – Sub-Grantees**

#### **3.20.1 Relationship**

The relationship of the grantee to the Kentucky Office of Highway Safety shall be that of an independent contractor, not that of a joint enterprise. The grantee shall have no authority to bind the Kentucky Office of Highway Safety for any obligation or expense without the expressed prior written approval of the Kentucky Office of Highway Safety.

#### **3.20.2 Project Commencement**

Unless otherwise indicated within grant agreement, grantee project activity must begin within thirty (30) days of the approved start date, after signed approval of the grant agreement by the Governor's representative, or may be subject to cancellation.

#### **3.20.3 Activity Reporting**

Grantees shall submit progress reports monthly or according to a schedule agreed upon in advance by the program manager and the grantee's project director. Progress reports shall include documentation of all enforcement, education, and other activities to the grantor. Law enforcement agencies' progress reports should take the form of a standardized monthly activity report plus the Officers Overtime Detail Log(s). These forms can be found in the appendix (see [appendix # 4-6](#)) and are made available on the KOHS web site. Non-law enforcement agencies shall submit progress reports as a narrative document.

#### **3.20.4 Final Reports**

Each grantee shall be required to submit a final cumulative report (see [appendix # 8-9](#)) summarizing activity for the funded period and addressing progress made toward goals and objectives outlined in the approved grant agreement. Reports should present current local data to support their

assessment of progress made. These reports are due no later than 30 days after the contract period has ended.

### **3.21 Project Monitoring**

#### **3.21.1 Purpose of Monitoring**

Traffic safety grant project monitoring provides a method of tracking progress and achievement of grant objectives. Since the process is ongoing throughout the duration of the project, monitoring serves as a management tool for project control. It also presents a good opportunity for sharing information and assistance. Program monitoring and reporting are required by [49 CFR—Part 18](#)--Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, Subpart C. Monitoring serves the following purposes:

- To regulate and assess the status of the project
- To assure compliance with state and federal requirements
- To assess and assist in progress in the achievement of objectives
- To detect problems and identify changes needed
- To ensure that appropriate data is collected and reported for evaluation

Monitoring may take several forms, including informal contact with grantees through telephone calls and email correspondence on an ongoing and as-needed basis. More formalized monitoring procedures are outlined below.

#### **3.21.2 Desk Monitoring**

Desk monitoring includes review of activity reports and reimbursement requests. This is generally done monthly, but may be done less frequently, depending on the grantee's activity level and any special reporting preferences that may be arranged in advance with the program manager. Desk monitoring includes the following steps.

##### **3.21.2.1 Program Manager Review**

The KOHS program manager assigned to each specific grant project shall review grantee claims & progress reports as an initial step in the desk monitoring process. To accomplish this, the program manager shall:

- Review the claim to ensure that all required reporting forms and supporting documentation (time sheets, invoices, cancelled checks, etc.) have been submitted

- Review reporting forms to ensure they are correct and signed by the appropriate personnel
- Review activity reports to ensure that activities performed are within the scope of the objectives outlined in the grant agreement and that performance is acceptable compared to planned levels
- Review expenditures to ensure that they are allowable and in accordance with the project budget
- Upon satisfactory review, the program manager shall initial, date and forward the claim to the KOHS financial manager

#### **3.21.2.2 Financial Manager Review**

The KOHS financial manager shall complete the desk monitoring process by reviewing the claim to:

- Ensure that all required reporting forms and supporting documentation have been included
- Ensure that expenses are allowable and in accordance with the project budget
- Verify the amounts in the supporting documentation against the amounts requested on the claim form

Upon satisfactory review, the financial manager shall initial and date the claim form as well as post the expenditures to the project spreadsheet.

#### **3.21.2.3 Deficient Reporting**

If the program manager or financial manager finds any problems or deficiencies in a grantee's claim/activity report during desk monitoring, they shall notify the grantee by phone or email immediately, allowing five business days for the grantee to correct the deficiency. If the grantee fails to comply, KOHS shall return the claim to the grantee with a letter detailing the problem(s) encountered. The grantee will not receive reimbursement of expenses until the corrected claim is resubmitted.

### **3.21.3 On-Site Monitoring**

On-site monitoring requires the program manager and/or law enforcement liaison (LEL) to meet with the project director at the offices of the funded agency at least once a year.

#### **3.21.3.1 Monitoring Preparation**

The program manager or LEL shall take the following steps in preparation for the on-site monitoring visit:

- Review grant contract

- Review correspondence and reimbursement claims submitted to date
- Note any items from previous desk monitoring that require follow-up
- Call project director two weeks in advance to schedule appointment
- Send project director a Monitoring Preparation Checklist (see [appendix # 10](#)) to aid them in preparing for the monitoring visit
- Confirm appointment three to five days prior by telephone or email

### **3.21.3.2 Responsibility for On-Site Monitoring**

Section 402 grants for \$15,000 or more shall require an on-site monitoring visit by the applicable program manager. LELs shall be responsible for on-site monitoring of grants less than \$15,000. Section 405 May mobilization grants shall be subject to desk monitoring only.

### **3.21.3.3 Monitoring Schedule**

On-site monitoring shall occur during the first six months of the grant period, unless the release of federal funding occurs at such time that it makes this impractical. This decision will be at the discretion of the KOHS.

### **3.21.3.4 Elements of Monitoring Visit**

During the on-site monitoring visit, the program manager or LEL shall:

- Review expenditures to determine if they are on schedule
- Examine grantee's files to ensure that adequate records of activity are being maintained
- Examine any program enhancement items purchased to ensure that they contain an approved highway safety message
- Examine any equipment purchased to verify that it conforms to invoices submitted for reimbursement and that it is being utilized as approved  
Note: Verify that equipment has been installed, if applicable
- Review and determine the status of each project objective with the project director
- Review evidence of progress toward task completion
- Discuss status of participation in mobilizations, attendance at required KOHS events, etc.
- Determine whether grantee is using current traffic crash data to guide allocation of overtime and to gauge overall performance

- Discuss final reporting requirements, emphasizing the need to compare grant year-end results with the stated goals and objectives of the project

#### **3.21.3.5 Monitoring Report**

Following an on-site monitoring visit, the program manager or LEL shall complete an on-site monitoring review report (see [appendix # 11](#)) and shall send a copy of this report to the grantee within 30 days of the visit. If any deficiencies are observed during the monitoring visit, these shall be noted in the monitoring review report, along with recommendations for correcting them. In this case, the grantee will be required to respond to the KOHS recommendations within 14 business days, detailing how they will address each of the specified deficiencies. A copy of the completed on-site monitoring report, as well as any other related correspondence, shall be placed in the grantee's central file.

### **3.22 Contract Non-Compliance/Termination**

In the event that a grantee has been notified of problems or areas of non-compliance (as outlined in the monitoring sections above) and does not take the necessary action to remedy the problems within an acceptable time frame, KOHS may initiate termination of the grant contract. This sanction will be imposed as a last resort when any sub-recipient of federal funds fails to fulfill contract requirements in a timely or proper manner, refuses to abide by specific terms, or violates the conditions of a contract. In such a case, the Executive Director of the KOHS will provide written notification to the project director at least 30 days before the effective date of cancellation. Such notice shall indicate the effective date of cancellation and the specific reason as to why the contract is being terminated. Termination shall not preclude the grantee from receiving reasonable and equitable compensation for satisfactory work already completed. Any grantee activities related to the contract after the day of receipt of the KOHS letter of termination will require prior approval. In the event of contract termination by either party, any equipment purchased with current year grant funds shall be returned to the KOHS.

### **3.23 High-Risk Grantees**

Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments ("The Common Rule") [49 CFR-Part 18-Subpart B-18.12](#) sets forth the following conditions that may be used to determine if a grantee is "high risk":

1. Has a history of unsatisfactory performance. Unsatisfactory performance includes, but is not limited to: lack of substantial progress on all goals and objectives as included in the signed grant agreement; inability to properly expend the federal highway safety grant funds allocated to meet the goals and

- objectives as included in the signed grant agreement; lack of participation in NHTSA and KYTC, or
2. Is not financially stable, or
  3. Has a management system which does not meet the management standards set forth in this part, or
  4. Has not conformed to terms and conditions of previous awards, or
  5. Is otherwise not responsible

If the grantor determines that an award will be made, special conditions and/or restrictions shall correspond to the high risk condition and shall be included in the award.

### **3.23.1 Restrictions**

When the KOHS makes a determination that a grantee is high-risk, special conditions and restrictions may include:

1. Withholding authority to proceed to the next phase until receipt of evidence of acceptable performance within a given funding period
2. Requiring additional, more detailed, financial reports
3. Additional project monitoring
4. Requiring the grantee to obtain technical or management assistance
5. Establishing additional prior approvals

### **3.23.2 Notification**

If the KOHS decides to impose such conditions, the KOHS Executive Director will notify the grantee as early as possible, in writing, of:

1. The nature of the special conditions/restrictions
2. The reasons for imposing them
3. The corrective actions which must be taken before they will be removed, and the time allowed for completing the corrective actions
4. The method of requesting reconsideration of the conditions and/or restrictions imposed

## **Chapter 4 Financial Management**

### **4.1 Funding Streams**

Funding for the Kentucky Office of Highway Safety - Grants Management Branch is primarily federal. A minimum of 50% of the planning and administration costs of the KOHS are paid for by the Commonwealth of Kentucky, as required by governing federal regulations.

The Kentucky Office of Highway Safety - Grants Management Branch receives federal funds from several sources that are all managed by NHTSA. The majority of these funds are authorized under [Section 402](#) of the Highway Safety Act of 1966 (23 U.S.C. 402), and are commonly referred to as “402 funds.” Other funding sources authorized for specific highway safety programs include [Section 405](#), [Section 406](#), [Section 408](#), [Section 410](#), and others. NHTSA’s “[Highway Safety Grant Funding Policy for Field-Administered Grants](#),” briefly describes the rules governing the state’s use of these funding sources. It also references other federal documents (such as OMB circulars) that apply to the use of these federal funds.

In an effort to simplify financial guidelines as they pertain to grantees of the Kentucky Office of Highway Safety, the following general principles have been developed.

### **4.2 Financial Guidelines for Grantees**

#### **4.2.1 Supplanting**

Routine and/or existing state or local expenditures cannot be replaced with federal funds - a practice known as supplanting. Grant funds administered by the KOHS may not be used for activities that constitute general expenses required by state or local governments to carry out their responsibilities.

#### **4.2.2 Duration of Funding**

The Section 402 highway safety program is based on a seed money concept. As such, it is the general practice of the KOHS to furnish these funds for a limited number of years to allow communities to initiate highway safety programs. This funding limit will generally be five years. Exceptions to this guideline may be made in instances where a grantee has demonstrated exceptional performance or if the grantee is within a high-priority county, as identified during the KOHS annual statewide problem identification process.

#### **4.2.3 Accounting Procedures**

The grantee must establish fiscal control with generally accepted accounting procedures that assure proper disposition of grant funds and if applicable, required nonfederal expenditures. All money spent on this project will be disbursed in accordance with provisions of the grant budget or officially revised budget as approved by KOHS.

#### **4.2.4 Audits**

All subrecipients expending more than \$500,000 in federal funds during a fiscal year must undergo an OMB A-133 audit. The \$500,000 threshold is for all federal funds expended by the subrecipient, not just those received from KOHS. The KOHS will send a letter to each subrecipient requesting they agree to provide: (1) a copy of their A-133 audit to KYTC, if their federal funding exceeded \$500,000, or (2) certification to KYTC that their federal funding did not exceed \$500,000. If subrecipients do not comply with [OMB A-133](#) requirements, their reimbursements will be withheld until compliance is met.

#### **4.2.5 Adherence to Budget**

Grantees must adhere to the budget outlined in their approved grant agreement. The KOHS cannot reimburse any claim for funds in excess of the contracted amounts. If a change is needed within the budget, a written request must be submitted to and approved by the KOHS prior to the purchase. KOHS will consider a maximum of two revision requests within the first three quarters of the contract period.

**4.2.6 Records Subject to Inspection.** The grantee must make available to the KOHS, NHTSA, FHWA, the Controller General of the United States, the Auditor of the Commonwealth of Kentucky, or any of their duly authorized representatives any books, documents, papers, or records pertaining to the grant agreement with the KOHS.

#### **4.2.7 Records Retention**

All of the grantee's financial records must be retained for a period of not less than three years following payment of the final voucher by the KOHS. Financial records shall include books, general & subsidiary ledgers, source documentation supporting accounting transactions, personnel records, verified payroll records, invoices, cancelled checks, and any other related documents and records.

#### **4.2.8 Reimbursable Costs**

Federal grant funds administered by the KOHS are disbursed by reimbursement of direct costs. As such, grantees must first expend and

pay all costs incurred before seeking reimbursement from the KOHS. To be eligible for reimbursement under this program, costs must meet the following general criteria:

- The cost must be necessary for proper and efficient administration of the contract.
- The cost must be adequately identified in the contract.
- The cost must be permissible under federal, state, and applicable local policies, regulations, and practices. See [OMB Circular A-87](#), "Cost Principles for State, Local, and Indian Tribal Governments" in NHTSA's *Grant Management Manual* for further information.
- The cost must be reasonable.
- The cost must have been incurred during the effective dates of the contract, following approval and signing by all identified parties.
- The cost cannot be used as match for other federal grant programs.
- The cost must not result in profit for the grantee or its employees.

#### **4.2.9 Prohibited Costs**

The following items are not eligible for funding through the KOHS grants:

- Highway maintenance, construction, or design
- Office furniture and fixtures
- Land
- Paid advertising
- Regulatory traffic signs
- Alcoholic beverages
- Entertainment
- Lobbying costs

#### **4.2.10 Payroll Procedures and Records**

Compensation for personal services are allowable if:

- (a) They are for services rendered during the contract period
- (b) They are reasonable and normal for the services rendered
- (c) Paid personnel are appointed in accordance with state and local government laws and rules

- (d) They are based on payrolls documented and approved in accordance with generally accepted accounting principles
- (e) They are supported by time and attendance records signed by both employee and supervisor

#### **4.2.11 Overtime Pay**

Reimbursable overtime will be strictly for traffic enforcement activities. Overtime pay shall be calculated in accordance with existing labor laws and shall be paid at the rate of one and one-half (1.5) times the employee's hourly rate of pay for actual hours worked in excess of forty (40) hours in any week. All paid time (vacation, sick, and compensatory leave) except holiday leave is counted as hours worked for the purpose of computing eligibility for overtime unless a department's overtime policy is more stringent, in which case, departmental policy on overtime shall apply.

#### **4.2.12 Employee Benefits**

Employee benefits are an allowable expense, if they are provided pursuant to a leave system. The cost must be equitably allocated to all activities. Employee benefits may include the employer's contribution for Social Security, Workman's Compensation Insurance, and Pension Plans.

#### **4.2.13 Purchasing**

Grantees are required to use their own procurement regulations that reflect applicable state and local laws, rules, and regulations.

##### **4.2.13.1 Equipment Purchases**

Law enforcement agencies receiving grants from the KOHS commonly include funds in their project budgets for equipment purchases that will enhance their traffic enforcement capabilities. Any equipment purchased in accordance with the approved project budget shall require the submittal of a completed [Non-Expendable Property Accountability form](#). Equipment purchases will be verified during on-site monitoring by the KOHS program manager or law enforcement liaison (LEL). The grantee is responsible for insuring all equipment items and will be liable to the KOHS for loss, theft, or damage to the equipment.

##### **4.2.13.2 Educational Materials**

Educational materials are program enhancement items given away for the purpose of public information and education. All items purchased with federal highway safety funds must include an approved highway safety message.

The Kentucky Office of Highway Safety (KOHS), LEL's and other non law enforcement projects are eligible to purchase program enhancement items. Due to KOHS network of LEL's who distribute incentive items to law enforcement, law enforcement agencies are not eligible for incentive items within budget.

Certain items may be purchased without written authorization from the KOHS, provided that the approved grant contract includes funds designated for program enhancement items. These items are listed in [appendix 12](#) – Guidelines for Educational Material Purchases. Purchasing of items not specified requires prior approval in the form of a written request to the KOHS.

#### **4.2.14 Travel Expenditures**

The costs associated with attending training or conferences may be allowable when included in the grant agreement budget proposal. The training or conference subject matter must compliment the objectives of the grant. Allowable costs may include transportation, lodging, meals, and registration fees.

Travel reimbursements will be made in accordance with the provisions of [200 KAR Chapter 2](#), except when the grantee has other official regulations. Agency regulations, if different from the aforementioned Kentucky Administrative Regulations, shall be submitted to the KOHS for review prior to implementation of the grant contract.

Grantees must submit a completed Out-of-State/Overnight Travel Request form (see [appendix # 13](#)) to the KOHS for out-of-state overnight travel at least 15 days prior to the anticipated date of departure. Vehicle mileage is to be determined by the most current "[Kentucky Official Highway Map](#)" prepared by the Kentucky Transportation Cabinet or an approved internet based mileage calculator.

#### **4.2.15 Project Income**

No income may be earned by the grantee with respect to funds received through the KOHS.

## **4.2.16 Grantee Reimbursement Claim Procedures**

### **4.2.16.1 General Reimbursement Guidelines**

The KOHS will only reimburse grantees for the completion of programmed and budgeted activities performed under the grant agreement. No project costs incurred prior to or after the contract period will be eligible for reimbursement. Costs shall be considered incurred on the date of an invoice for purchases, date of travel, or date worked - not on the date of payment. Claims must be made using the required forms and shall be accompanied by proper documentation of expenses.

### **4.2.16.2 Reimbursement Schedule**

Grantee claims for reimbursement of expenses shall be submitted on a monthly basis or according to an alternative schedule as approved by the KOHS. The reimbursement process will be initiated upon receipt of a claim voucher and supporting documentation.

### **4.2.16.3 Reimbursement Claim Form Required**

Each reimbursement claim must be submitted using two completed Reimbursement Claim Forms (see [appendix # 14](#)) containing the original signature of the project director.

### **4.2.16.4 Backup Documentation**

Two sets of all substantiating documentation shall be submitted for the following types of expenditures:

#### **a) Personnel Expenses** (salaries, wages, benefits)

Law enforcement agencies shall document personnel expenses by completing the Overtime Worksheet (see [appendix # 15](#)) and Officer's Overtime Detail Log (see [appendix # 6](#)). Non-law enforcement grantees shall document personnel expenses through copies of employer time sheets and payroll reports.

#### **b) Travel/Training**

Expenses for approved travel and training must be detailed on a completed travel reimbursement form (see [appendix # 17](#)) with copies of receipts for expenses over \$10 (hotel, registration fees, airfare, etc.). If approved within grant budget, meals are reimbursed using the state per diem rate, and meal expenditures do not require receipts.

**c) Contractual Services, Educational Materials, and Other Costs**

A copy of the invoice and front and back of cancelled check that pays the invoice is required.

**d) Equipment**

A copy of the invoice and front and back of cancelled check that pays the invoice is required. Two completed copies of the Non-Expendable Property Accountability Record form (see [appendix # 18](#)) are required. One copy retains in grantee file and one copy in Non-Expendable Property Accountability Record Log for 3 years.

**4.2.16.5 Final Reimbursement Claims**

The KOHS must receive final reimbursement claims within 30 days of the end of the fiscal year.

**4.3 Financial Management for KOHS**

**4.3.1 Purchasing Procedures**

In making purchases, the KOHS shall follow the Kentucky Transportation Cabinet policies and procedures.

**4.3.2 KOHS Property**

Property assigned to or acquired by the KOHS shall be accounted for in accordance with Kentucky Transportation Cabinet policies and procedures.

**4.3.3 Maintenance of Grant Files**

The KOHS's financial manager shall set up and maintain an official file for each grant administered through the KOHS. All claims, correspondence, reports, monitoring documents, etc. pertaining to such grants shall be placed in these files. Grant files will be retained for at least three years following the conclusion of the grant cycle on September 30.

**4.3.4 Processing Grantee Claims**

**4.3.4.1 Local Agency Claims**

The financial manager completes a desk monitoring process (as stated in [Section 3.21.2](#)). Once this process is complete, the financial manager prepares a consolidated voucher. A copy of the voucher and each grantee claim is forwarded to the administrative

specialist, who then prepares a payment document in the state's accounting system (eMARS). Claims are then forwarded to the cabinet's Division of Accounts for approval. When payment document is approved, the State Treasury will generate a reimbursement check and mail/EFT to the grantee. Financial manager then reconciles payments by running an eMARS query. Upon completion of this process, the financial manager will enter claim data into Grants Tracking System (GTS).

#### **4.3.4.2 State Agency Claims**

State agency claims are held until the monthly NHTSA Reimbursement Voucher is entered into the GTS and added to the consolidated voucher. When funds are received from NHTSA, the Division of Accounts will issue a journal voucher for the amount due to each agency. The financial manager notifies each state agency by email and retains a copy for file.

#### **4.3.4.3 In-House Program Claims**

The financial manager approves and retains a copy of all documentation and invoices paid against in-house programs quarterly. All payments are reconciled by running an eMARS query on all in-house programs that have activity during the period. After verifying the totals on the query and paid documents, the financial manager will prepare an in-house claim form for each program. The totals of each claim are entered on the consolidated monthly voucher and into GTS.

The monthly consolidated voucher is then forwarded to the KYTC Division of Accounts to process the reimbursement from NHTSA. Once approved, a copy of the reimbursement document is maintained in file. Financial Manager verifies all NHTSA reimbursements have been applied to the correct funding program in eMARS.

#### **4.3.5 Recording Federal Obligations and Expenditures**

The financial manager is responsible for financial transactions under the Highway Safety Plan to include; reimbursement vouchers, HSP revisions, cost summaries, and close-out by entering data into the computerized GTS as provided by NHTSA.

## **Chapter 5 Media / Public Information**

### **5.1 Use of Media Contractors**

When professional advertising services are needed, the KOHS shall use the vendor under contract by the Commonwealth of Kentucky.

### **5.2 Response to Media Inquiries**

News media representatives may contact the KOHS Media Coordinator to gather information regarding highway safety initiatives and campaigns. Employees of KOHS may speak to the news media regarding such issues upon obtaining prior approval of the Executive Director or Director. No KOHS employee shall release information concerning agency policies, personnel decisions, or confidential or restricted information.

### **5.3 Media Messages**

Media messages developed for use in paid media campaigns shall be approved by the Executive Director or Director of the KOHS prior to public dissemination.

### **5.4 Media Releases**

Media advisories and releases shall be coordinated between the KOHS and the Office of Public Affairs.

### **5.5 Right to Ownership**

The Kentucky Office of Highway Safety, National Highway Traffic Safety Administration, and Federal Highway Administration reserve the royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use and authorize others to use, any educational or instructional material developed by grantees with federal highway safety funding. "Educational or instructional materials" means written material, drawings, slides, photographs, filmstrips, motion pictures, television and radio public service announcements, and any other material whose primary purpose is to educate either the public at large or a specific subgroup of the public concerning highway safety or related subject.

## **Appendix Contents**

1. Highway Safety Grant Application/Contract Conditions
2. Reimbursement Claim Checklist for Law Enforcement Agencies
3. Reimbursement Claim Checklist for Non-Law Enforcement Projects
4. Activity Reporting Form
5. Supplemental Checkpoint Reporting Form
6. Officers Overtime Detail Log
7. Detailed Monthly Narrative Report/Non-Law Enforcement Projects
8. Final Reporting Form Law Enforcement Projects
9. Final Reporting Form – Non Law Enforcement Projects
10. Preparation for Monitoring Visit Checklist
11. On-Site Monitoring Review Form
12. Guidelines for Program Enhancement Item Purchases
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18. Non-Expendable Property Accountability Record
19. Affidavit

KENTUCKY OFFICE OF HIGHWAY SAFETY GRANT APPLICATION | FY 2012

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In order for your agency to be considered for a highway safety grant, you must complete and **submit the original application plus three (3) copies to the Kentucky Office of Highway Safety. Please do not bind the original or copies.** Approval of grant application is based on analysis of crash data, need for the project, an agency's past participation in highway safety campaigns, past performance with highway safety grants (if applicable), and funding availability. Please contact the Kentucky Office of Highway Safety's Grants Management Branch, at (502) 564-1438 if you need assistance with this application.

**SECTION A: AGENCY APPLICATION INFORMATION**

**Contracting Agency/Applicant:** \_\_\_\_\_

Federal Tax ID Number: \_\_\_\_\_

County: \_\_\_\_\_

**Authorizing Official's Name:** \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Telephone #: \_\_\_\_\_ Fax #: \_\_\_\_\_

**Chief/Sheriff or Commissioner Name:** \_\_\_\_\_

E-mail address: \_\_\_\_\_

**Project Director/Coordinator:** \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Telephone #: \_\_\_\_\_ Fax #: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

**Fiscal Officer/Payroll Clerk:** \_\_\_\_\_

Title: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Telephone #: \_\_\_\_\_ Fax #: \_\_\_\_\_

<p><b>Return original and 3 copies to:</b> Kentucky Transportation Cabinet, Kentucky Office of Highway Safety 200 Mero Street, 4<sup>th</sup> Floor, East, Frankfort, KY 40622</p> <p><b>DUE DATE: Monday, February 28, 2011</b></p>
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KENTUCKY OFFICE OF HIGHWAY SAFETY GRANT APPLICATION | FY 2012

TO BE COMPLETED BY KOHS STAFF	
Grant #:	
Grant period:	10/1/2011 – 9/30/2012
Approval/Start date:	
Program Manager:	
Local Benefit:	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Project Title:** \_\_\_\_\_

**Project Description:** \_\_\_\_\_

**Grantee Name:** \_\_\_\_\_

**Mailing Address for Reimbursement:**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Type of Project:**  Initial

Continuation

- 2<sup>nd</sup> year
- 3<sup>rd</sup> year
- 4<sup>th</sup> year
- 5<sup>th</sup> year or beyond

**Federal Cost Categories**

Summary of proposed Federal funding (must match costs shown in Section E, Detailed Budget).

Personal Services: \$

Travel and Training \$

Contractual Services: \$

Educational Materials: \$

Equipment: \$

Other Costs: \$

Total Budgeted Costs: \$  
(sum of above)

**SECTION B-1: Problem Identification - LAW ENFORCEMENT OVERTIME PROJECTS ONLY**

Fill in the information and statistics requested below for your jurisdiction. The statistical data should include all crash data for your jurisdiction – (not just crashes worked by your agency). Instructions to obtain crash information can be found at [www.highwaysafety.ky.gov](http://www.highwaysafety.ky.gov) , click on Grants, then Traffic Records.

Department Size (Sworn only): \_\_\_\_\_

Total Population for your city or county: \_\_\_\_\_

Current local seat belt usage rate: \_\_\_\_\_

<b>Crash Data</b>	<b>2010</b>	<b>2009</b>	<b>2008</b>
Total Crashes			
Total Injury Crashes			
Total Fatal Crashes			
Total Alcohol-related Crashes			
Total Alcohol-related injury Crashes			
Total Alcohol-related fatal Crashes			
Total Speed-related Crashes			
Total Speed-related Injury Crashes			
Total Speed-related Fatal Crashes			

<b>Citation/Arrest Data</b> (Include <u>only</u> your agency data)	<b>2010</b>	<b>2009</b>	<b>2008</b>
Speeding Citations			
DUI Arrests (drug and alcohol)			
Seat Belt Citations			
Child Restraint Citations			

**SECTION B-2: Problem Identification -- ALL APPLICANTS**

Provide a narrative of the highway safety problem in your community or statewide if applicable. Describe the nature and magnitude of the problem using valid, up-to-date statistical data. Identify which program area(s) have the greatest need, i.e. (impaired driving, occupant protection, speeding, etc.). Determine the over-involvement of people, vehicles, or roadways in crashes. Indicate what is happening, when it is happening, where is it happening and the contributing factors.

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**SECTION C-1: Goals and Objectives – LAW ENFORCEMENT OVERTIME PROJECTS ONLY**

Select 3 to 5 of the statements shown below for your objective statements. Use the check boxes to indicate your selections, based on your identification of the problem(s). Fill in the blanks within each selected statement with the applicable data for your jurisdiction.

**Impaired Driving:**

- To decrease the number of impaired driving-related crashes \_\_\_\_\_% from \_\_\_\_\_ during Fiscal Year 2010 to \_\_\_\_\_ by September 30, 2012.
- To decrease fatalities in impaired driving-related crashes \_\_\_\_\_% from \_\_\_\_\_ in Fiscal Year 2010 to \_\_\_\_\_ by September 30, 2012.
- To decrease injuries in impaired driving-related crashes \_\_\_\_\_% from \_\_\_\_\_ in Fiscal Year 2010 to \_\_\_\_\_ by September 30, 2012.
- To increase the number of DUI arrests \_\_\_\_\_% from \_\_\_\_\_ during Fiscal Year 2010 to \_\_\_\_\_ by September 30, 2012.

**Occupant Protection:**

- To decrease unrestrained passenger vehicle occupant fatalities \_\_\_\_\_% from \_\_\_\_\_ in Fiscal Year 2010 to \_\_\_\_\_ by September 30, 2012.
- To decrease unrestrained passenger vehicle occupant injuries \_\_\_\_\_% from \_\_\_\_\_ in Fiscal Year 2010 to \_\_\_\_\_ by September 30, 2012.
- To increase the number of seat belt citations \_\_\_\_\_% from \_\_\_\_\_ during Fiscal Year 2010 to \_\_\_\_\_ by September 30, 2012.
- To increase observed seat belt use in \_\_\_\_\_ city/county of front seat occupants in passenger vehicles from \_\_\_\_\_% in Fiscal Year 2010 to \_\_\_\_\_% by September 30, 2012.

**Police Traffic Services:**

- To decrease fatalities in speeding-related crashes \_\_\_\_\_% from \_\_\_\_\_ during Fiscal Year 2010 to \_\_\_\_\_ by September 30, 2012.
- To decrease injuries in speeding-related crashes \_\_\_\_\_% from \_\_\_\_\_ during Fiscal Year 2010 to \_\_\_\_\_ by September 30, 2012.

- To increase the number of speeding citations \_\_\_\_\_% from \_\_\_\_\_ during Fiscal Year 2010 to \_\_\_\_\_ by September 30, 2012.

**Other Traffic Safety Problem Areas:**

- To decrease fatalities \_\_\_\_\_% from \_\_\_\_\_ during Fiscal Year 2010 to \_\_\_\_\_ by September 30, 2012.
- To decrease traffic injuries \_\_\_\_\_% from \_\_\_\_\_ during FY 2010 to \_\_\_\_\_ by September 30, 2012.
- To decrease motorcyclist fatalities \_\_\_\_\_% from \_\_\_\_\_ during Fiscal Year 2010 to \_\_\_\_\_ by September 30, 2012.
- To decrease unhelmeted motorcyclist fatalities \_\_\_\_\_% from \_\_\_\_\_ during Fiscal Year 2010 to \_\_\_\_\_ by September 30, 2012.
- To decrease drivers age 20 or younger involved in fatal crashes by \_\_\_\_\_% from \_\_\_\_\_ during Fiscal Year 2010 to \_\_\_\_\_ by September 30, 2012.
- To decrease pedestrian fatalities \_\_\_\_\_% from \_\_\_\_\_ during Fiscal Year 2010 to \_\_\_\_\_ by September 30, 2012.

**SECTION C-2: Goals and Objectives – NON-LAW ENFORCEMENT OVERTIME PROJECTS ONLY**

Use the space below to provide Goals/objective statements for your proposed project. Goals and objectives should be specific, measurable, action-oriented, realistic, and time-framed statements of what the project will accomplish. Include baseline performance measures for comparison. Below are some basic guidelines for writing goals and objectives:

- 1) Start with the word “to” and follow with an action verb (e.g., to increase, to decrease, to maintain)
- 2) Be specific and quantitative: Describe what will be accomplished and when
- 3) Use clear understandable language
- 4) make goals and objectives realistic and attainable and yet still a significant challenge

**Examples:**

1. *To increase the seat belt usage rate by \_\_\_\_\_ percentage points in \_\_\_\_\_ county from \_\_\_\_\_% in 2010 to \_\_\_\_\_% by September 30, 2012.*
  2. *To maintain a fitting station in order to help increase the child seat usage rate by \_\_\_\_\_ percentage points from \_\_\_\_\_% in 2010 to \_\_\_\_\_% by September 30, 2012.*
  3. *To increase the knowledge of available highway safety programs by contacting \_\_\_\_\_ area schools and/or \_\_\_\_\_ local groups or businesses by September 30, 2012.*
  4. *To decrease the number of injury accidents due to non-seat belt usage from \_\_\_\_\_ in 2010 to \_\_\_\_\_ by September 30, 2012.*
-

**SECTION C-2 Continuation: Goals and Objectives -- NON-LAW ENFORCEMENT  
OVERTIME PROJECTS ONLY)**

**SECTION D: Strategies and Activities -- ALL APPLICANTS**

In the space below, list or describe the specific planned activities that you will perform to achieve your objectives. Activities should describe what will be done, who will do it, and when it will take place. Develop realistic, achievable activities that specifically relate to the objectives. Consider the personnel, training, and equipment needed in order to perform each task.

**Examples:**

- *Beginning with start-date approval, officers with our agency will work overtime traffic enforcement approximately 40 hours per month on targeted roadways through September 30, 2011.*
  - *Officers will work saturation patrols and traffic safety checkpoints during the "Click It or Ticket" and the "Drunk Driving. Over the Limit. Under Arrest" mobilizations.*
  - *Project director will purchase approved equipment within 30 days of the approved start date.*
-

**SECTION D Continuation: Strategies and Activities -- ALL APPLICANTS**

**Section E: Detailed Budget** -- Indicate costs required to accomplish each activity. All costs should be reasonable, necessary and allowable, and should fall into the cost categories below:

1. **Personal Services**: (Salaries, Hourly Wages, Benefits. Note estimated number of hours and rate of pay.)

**Total:**

2. **Travel and Training**: (All expected travel and training expenses – List each separately)

Kentucky Lifesavers Conference (registration, lodging, parking): \$500.00

**Total:**

3. **Contractual Services**: (Estimated costs of outside services – list each service separately)

**Total:**

4. **Educational Materials**: (Example: brochures, posters, etc.)

**Total:**

5. **Equipment**: Include all costs for equipment requested (shipping, installation, etc) and list items separately. Submit price quotes with application.

**Total:**

6. **Other Costs**: Include costs of expenditures that do not fit into the above categories – list separately. *Law enforcement may include fuel costs figured at 10% of total overtime amount.*

**Total Budgeted Federal Costs**

(Must equal Federal Cost Category amounts listed on Page 2 of this contract))

**THE FOLLOWING CONDITIONS SHALL BE IN EFFECT UPON SIGNED APPROVAL OF A GRANT AGREEMENT BETWEEN KENTUCKY OFFICE OF HIGHWAY SAFETY AND THE APPLICANT**

1. **Relationship:** The relationship of the applicant/grantee to the grantor shall be that of an independent contractor, not that of a joint enterprise. The applicant/grantee shall have no authority to bind the grantor, for any obligation or expense without the expressed prior written approval of the grantor.
2. **Grant Activity:** Grant activity must begin within thirty (30) days of approved start date and after signed approval of the grant agreement by the Governor's Representative for Highway Safety.
3. **Costs Incurred:** No costs incurred for this project will be eligible for reimbursement prior to approval/starting date of the grant agreement or after grant period is over. Requests must contain documentation which demonstrates the expenditures were incurred and paid for.
4. **Monthly Reporting:** The applicant/grantee will be required to submit monthly reports to document their activities related to the highway safety grant. Applicant/Grantee shall use the most current reporting forms as provided on the Kentucky Office of Highway Safety website at [www.highwaysafety.ky.gov](http://www.highwaysafety.ky.gov). A final cumulative report addressing achievement of goals, objectives and strategies will be due to the grantor within 30 days after the contract period has ended. The final reimbursement claim shall also be submitted within 30 days after the contract period has ended.
5. **Fiscal and Accounting Responsibilities:** The applicant/grantee must establish fiscal control with generally accepted accounting procedures that assure proper disposition of an account for grant funds and if applicable, required non-federal expenditures. All money spent on this project will be dispersed in accordance with provisions of the grant budget or officially revised budget as approved by the grantor.
6. **Reimbursement Requirements:** All grants administered through the Kentucky Office of Highway Safety are reimbursement based. All reimbursement requests must contain documentation which demonstrates the expenditures were incurred and paid for. Grantees must provide copies of documents such as invoices and corresponding copies of cancelled checks. Beginning with fiscal year 2011, the match requirement for local agencies has been eliminated. The Kentucky Office of Highway Safety reimburses for direct costs only.

Salary and benefits reimbursement requests must contain the following:

- Copies of the employee's timesheets with the signatures and printed names of the employee and the employee's supervisor
- The detail activity log, with the signatures and printed names of the officer and supervisor, will be sufficient in lieu of time sheet for law enforcement personnel.
- Payroll reports which demonstrate the costs associated with that employee, i.e. wages, withholding, insurance, retirement, etc.
- Cancelled payroll checks are not required.

Travel expense reimbursements requests must contain the following:

- Copy of the employee's travel request form which contains the signatures and printed names of the employee and the employee's supervisor
- Copies of travel receipts for items such as hotels, air fare, etc.
- Travel form must denote destination and purpose of travel.
- Copy of cancelled travel reimbursement check paid to employee
- Mileage rate must be included on the travel request form

Contractual services reimbursement request must contain the following:

- Copy of the contractor invoice which fully describes the provided goods or services
- Copy of the cancelled check which paid the contractor

Equipment purchases reimbursement requests must contain:

- Copy of the vendor's invoice for the equipment
- Copy of the cancelled check used to pay the vendor

Educational material purchases reimbursement requests must contain:

- Copy of the vendor's invoice for the educational materials
- Copy of the cancelled check used to pay the vendor
- Educational materials/promotional items must have highway safety message approved by the grantor and must be on the list of allowable items as provided by the grantor. Any exceptions must be approved in advance by the grantor.

*Note: If cancelled checks are not available, a copy of the original check may be submitted along with a copy of the bank statement indicating the check number has been cleared*

7. **Cost Principles:** Costs incurred (when goods are received and accepted or services are performed) under the grant agreement shall be determined in accordance with the general principles of allowability and standards for selected cost items as set forth in Office of Management and Budget Circular A-87, Cost Principles for State, Local, and Indian Tribal Governments; A-21, Cost Principles for Institutions of Higher Education; A-122, Cost Principles for Nonprofit Organizations; and all applicable National Highway Traffic Safety Administration/Federal Highway Administration orders.
8. **Maintenance of Records:** The applicant/grantee agrees that the grantor, the National Highway Traffic Safety Administration, (NHTSA), the Federal Highway Administration and/or the Controller General of the United States, the Auditor of the State of Kentucky or any of their duly authorized representatives may have access, for purposes of audit examinations, to any books, documents, papers or records maintained by the applicant/grantee pertaining to the grant agreement. The applicant/grantee further agrees to maintain such books and records for a period of three years after the date of final project disposition.
9. **Purchasing:** The applicant/grantee is required to use their agency's procurement regulations that reflect applicable state and local laws, rules and regulations.
10. **Equipment:** All grantee agencies will use, manage, and dispose of equipment acquired under a federally funded highway safety grant in accordance with state laws and procedures. Such equipment shall be used for the purpose of enhancing the grantee's highway safety program. Grantees in non-compliance of this provision shall be required to return said equipment to the grantor. Grantee agency must begin the process to order all equipment approved within their budget within (30) days of the date authorized to begin a highway safety project. A single piece of

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equipment with an acquisition cost of \$5,000.00 or more must be pre-approved by the NHTSA Regional Administrator. A grantee shall not purchase a single piece of equipment in excess of \$5,000.00 until receiving authorization from the KOHS that approval has been granted from NHTSA. Grantees will submit a completed Non-Expendable Property Accountability Record with their claim for reimbursement for any equipment item purchased. The grantee is responsible for insuring all equipment items and will be liable to grantor for loss, theft, or damage to equipment.

11. **Travel (In-State and Out-of-State):** All travel reimbursements will be made in accordance with the provisions of 200 Kentucky Administrative Regulations, Chapter 2. The mileage reimbursement shall be determined by the current rate published quarterly by the Finance Cabinet.

Overnight travel must be an item within the detailed budget portion of the grant agreement. Applicant/Grantee must submit a completed request for overnight travel authorization for approval to the grantor at least fifteen (15) days prior to the anticipated date of departure.

12. **Payroll Procedures and Records Required:** Compensation for personal services are allowable if:
- a. They are for services rendered during the grant period;
  - b. They are reasonable and normal for the services rendered;
  - c. Paid personnel are appointed in accordance with state and local government laws and rules;
  - d. They are based on payrolls documented and approved in accordance with generally accepted accounting principles; and
  - e. They are supported by time and attendance records signed by both employee and supervisor.

Employee Benefits are allowable if:

- a. They are approved pursuant to a leave system;
  - b. Employer's contribution or expense includes:
    - 1) Social Security
    - 2) Employee's health insurance plans, (excludes overtime)
    - 3) Unemployment insurance coverage
    - 4) Workmen's compensation insurance,
    - 5) Pension plans, and;
  - c. The cost thereof is equitably allocated to all activities.
  - d. Overtime pay is calculated in accordance with existing labor laws and is paid at the rate of one and one-half (1.5) times the person's hourly rate of pay for actual hours worked in excess of forty (40) hours in any week. Overtime will be strictly for traffic enforcement activities which includes patrol and or traffic safety checkpoints.
13. **Special Instructions for law enforcement agencies:**
- a. Officers are required to complete a detailed activity log after each assignment.

- b. Enforcement officers assigned to this project will not answer calls for service, except in emergency situations. Emergency situations and breaks do not qualify for federal overtime funding.
  - c. Officers are limited to 6 hours of federally funded overtime within a 24-hour period from the time they begin their initial overtime shift.
  - d. Activities which will be credited as comprehensive enforcement contacts will include: 1) DUI arrests, 2) speeding citations, 3) seat belt citations, 4) child restraint citations, 5) written warnings (no warnings are permitted during federal overtime for seat belt or child restraint violations), 6) other arrests related to traffic stops, and 7) other activities as approved by the grantor.
  - e. Due to the low seat usage rate in Kentucky and specifically lower nighttime usage, each law enforcement agency shall dedicate a minimum of 25% of their overtime to nighttime seat belt enforcement regardless of the assigned program area, i.e.: impaired driving, speeding or occupant protection. Nighttime refers to hours between 6:00 p.m. and 5:59 a.m.
  - f. Officers who have been trained in DUI apprehension and speed detection (radar usage) are eligible to be assigned to the enforcement effort.
  - g. Only one officer per unit vehicle is eligible for reimbursement.
  - h. The applicant/grantee should be involved in public relations (earned media) and educational activities that support national and state highway safety efforts.
  - i. Participation in all mobilizations/traffic safety enforcement events sponsored by the National Highway Traffic Safety Administration (NHTSA) and/or the grantor is required.
14. **Project Income:** No income may be earned by the applicant/grantee with respect to federal funds received through the grantor.
15. **Right to Ownership:** The applicant/grantee understands that the grantor, the National Highway Traffic Safety Administration, and the Federal Highway Administration reserve the royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use and authorize others to use, any educational or instructional material developed with the Highway Safety Act of 1966 funding. "Educational or instructional materials" means written material, drawings, slides, photographs, filmstrips, motion pictures, television and radio public service announcements, and any other material whose primary purpose is to educate either the public at large or a specific subgroup of the public concerning highway safety or related subject. All educational materials/promotional items must have an approved (by the Grantor) highway safety message that corresponds to their program area.
16. **Non-discrimination:** The applicant/grantee agrees to comply with all federal statutes and implementing regulations relating to nondiscrimination concerning race, color, national origin, sex, handicaps, and age. These include but are not limited to:
- a. Titles VI and VII of the Civil Rights Act of 1964;
  - b. Title IX of the Education Amendments of 1972, as amended;
  - c. Section 504 of the Rehabilitation Act of 1973, as amended;
  - d. The Age Discrimination Act of 1975, as amended

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17. **Minority Business Enterprises Policy:** It is the policy of the U.S. Department of Transportation that minority business enterprises as defined in 49 CFR Part 23, shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with federal funds under the grant agreement. Consequently, the MBE requirements of 49 CFR Part 23 applies to the grant agreement.
18. **Audit:** OMB Circular A-133, known as The Single Audit Act, requires the following:
1. State or local governments that expend \$500,000 or more a year in federal financial assistance shall have an audit conducted in accordance with this circular; two copies of the audit shall be sent to the Office of Highway Safety.
  2. Non-state agency applicant/grantees are required to provide two copies of the most recent OMB A-133 Audit or a certification that total expenditures of federal funds did not exceed \$500,000.00.
  3. Nothing in this section exempts state or local governments from maintaining records of federal financial assistance or from providing access to such records to federal agencies, as provided for in federal law or in 49 CFR 18, Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments (revised A-102).
19. **High Risk Grantees:**
- a. An applicant/grantee may be considered a "high risk" if the grantor determines that they:
    - 1) Have a history of unsatisfactory performance. Unsatisfactory performance includes, but is not limited to: lack of substantial progress on all goals and objectives as included in the signed grant agreement; inability to properly expend the federal highway safety grant funds allocated to meet the goals and objectives as included in the signed grant agreement; lack of participation in NHTSA and KOHS activities, or
    - 2) Are not financially stable, or
    - 3) Have a management system which does not meet the management standards set forth in this part, or
    - 4) Have not conformed to terms and conditions of previous awards, or
    - 5) Are otherwise not responsible, and if the grantor determines that an award will be made, special conditions and/or restrictions shall correspond to the high-risk condition and shall be included in the award.
  - b. Special conditions and restrictions may include:
    - 1) Payment on a reimbursement basis;
    - 2) Withholding authority to proceed to the next phase until receipt of evidence of acceptable performance within a given funding period;
    - 3) Requiring additional, more detailed, financial reports;
    - 4) Additional project monitoring;
    - 5) Requiring the grantee or subgrantee to obtain technical or management assistance, or
    - 6) Establishing additional prior approvals.
  - c. If the Grantor decides to impose such conditions, the awarding official will notify the applicant/grantee as early as possible, in writing, of:
    - 1) The nature of the special conditions/restrictions;
    - 2) The reasons for imposing them;
    - 3) The corrective actions which must be taken before they will be removed and the time allowed for completing the corrective actions, and
    - 4) The method of requesting reconsideration of the conditions and/or restrictions imposed.

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*Source: Uniform Administrative Requirements for Grants and Cooperative Agreements to state and Local Governments ("The Common Rule") 49 CFR-Part 18-Subpart B-18.12.*

20. **Drug-free Workplace:** The applicant/grantee certifies that they will maintain a drug-free workplace in accordance with the Federal Drug-free Workplace Act of 1988. This regulation requires the employer to provide employees with a statement notifying them that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the agency's workplace and specifying penalties for violation of such prohibition. The applicant/grantee must also abide by all other provisions of this regulation, detailed in 49 CFR, Subpart F.
21. **Buy America Act:** The applicant/grantee certifies that they will comply with the Buy America Act (23 USC 101 Note) which contains the following requirements: Only steel, iron and manufactured products produced in the United States may be purchased with federal funds unless the Secretary of Transportation determines that such domestic purchases 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. Clear justification for the purchase of non-domestic items must be in the form of a waiver request submitted to and approved by the Secretary of Transportation.
22. **Political Activity (Hatch Act):** The applicant/grantee and all their employees working under the grant agreement will comply with the provisions of the Hatch Act, which prohibit them from active participation in political management and political campaigns while receiving federal funds. For further detail, see U.S.C. §§ 1501-1508 and implementing regulations of 5 CFR Part 151 concerning "Political Activity of State or Local Offices, or Employees."
23. **Certification Regarding Federal Lobbying:** The applicant/grantee certifies, to the best of his or her knowledge and belief, that: 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. 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.
24. **Restriction On State Lobbying:** 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.

25. **Certification Regarding Debarment And Suspension – Lower Tier Covered Transactions:**

By signing the grant agreement, the grantee is providing certification that:

- a. Neither the agency 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.
- b. Where unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal. 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.

26. **Copyrights:** The federal government has authority to publish or use any copyrighted material developed under a grant.

(Revised October 2010)

**Kentucky Office of Highway Safety  
Division of Highway Safety Programs**

**REIMBURSEMENT CLAIM CHECKLIST FOR LAW ENFORCEMENT AGENCIES**

Reimbursement claims, supporting documentation and activity reports are due once monthly. Claims must be received no later than the end of the month following the month being claimed. For example, a claim for July should be received by the Kentucky Office of Highway Safety prior to the end of August. If for some reason an agency does not have activity for any given month, they must inform Program Manager.

The following documents are required elements of your reimbursement claim:

- Reimbursement Claim Form**: Two (2) completed forms with an **original signature and the printed name** of the project director on each form.
- Overtime Worksheets**: Two (2) completed worksheets with an **original signature and the printed name** of the project director. Each officer **should have only one line** showing total hours worked for the month. Allowable employer paid benefits can include FICA (including Medicare), retirement, and workers compensation.
- Supporting Documentation (Requires two (2) complete sets)**
  - **Travel** (Kentucky Lifesavers Conference): *All Project Director/Coordinators are encouraged to attend, however, conference is not mandatory.* Grantees choosing to attend will be required to sign in at each session to verify attendance for reimbursement. The only allowable expenditures include registration fee, 2 nights lodging and parking for 1 officer **OR** registration fees and parking for up to 3 officers. The following supporting documentation is required:
    1. Copy of paid registration
    2. Copy of paid hotel receipt
    3. Copy of paid parking receipt (could be included in hotel receipt)
    4. Copy of cancelled check for final payment of each of the above
  - **Equipment**: Two (2) copies of invoice(s) and two (2) copies of the cancelled check(s) that pays the invoice(s). Two (2) completed Non Expendable Property Accountability Record forms with **original signature and the printed name** of project director.
- Activity Reporting Form**: One completed form with **original signature and the printed name** of project director.
- Officers Overtime Detail Logs**: Two (2) copies of this form are required for each day the officer works an overtime shift. **Logs must include the printed name and signature of both the officer and the supervisor (officers can not sign log as their own supervisor).**

**Final Reports and Final Reimbursement Claims are due prior to October 30, 2010**

(Revised October 2010)

**Kentucky Office of Highway Safety  
Division of Highway Safety Programs**

**REIMBURSEMENT CLAIM CHECKLIST  
(NON-LAW ENFORCEMENT PROJECTS)**

**Reimbursement claims are due once monthly. Claims must be received no later than the end of the month following the month being claimed. For example, a claim for July should be received by the Kentucky Office of Highway Safety prior to the end of August. If for some reason an agency does not have activity for any given month, they must inform their Program Manager.**

**The following documents are required elements of your reimbursement claim:**

- Reimbursement Claim Form**: Two (2) completed forms with an **original signature and the printed name** of the project director on each form.
- Monthly Expenditure Report**: Includes detailed expenses sorted by cost category indicating each line item expense.
- Monthly Activity Report**: A **narrative** report of the work performed for the highway safety project during the claim period. Report should focus on accomplishments or progress toward the strategies/activities outlined in the grant contract. **Report must include the name of the agency/organization, grant number, reporting month, and the printed name and original signature of project director.** If salary is funded with federal dollars – include a daily activity log.
- Supporting Documentation** (Two copies of all supporting documentation required)
  - **Salaries & benefits**:
    1. Copies of the employee's time sheets with the printed names and signatures of the employee and the employee's supervisor.
    2. Payroll reports showing the costs (wages, employer-paid benefits) for the employed for their work associated with the highway safety project. Cancelled payroll checks are not required.
  - **Travel Expenses**: Travel is only reimbursable if it is specified in the approved grant budget. Overnight and out-of-state travel requires advance approval of the Office of Highway Safety. Travel must be documented through the following:
    1. Agency travel voucher/report showing dates, departure times, starting and ending locations, purpose of each trip, mileage, (*include the mileage rate on travel form for mileage claimed*) and the printed name and signature of the employee and supervisor. Mileage and meals will only be reimbursed at the current State rate approved by the Finance Cabinet.
    2. Copy of cancelled travel reimbursement check to the employee. Check amount should match the expenses shown on the accompanying travel voucher.
    3. Receipts and proof of final payment for expenses such as airfare, lodging, fuel costs, and conference registration fees. Proof of final payment would include cancelled check or credit card billing statement **plus** cancelled check to the creditor.
  - **Contractual Services/Equipment/Other Costs**: Both the invoice (fully describing the provided goods or services) and a copy of the cancelled check used to pay the contractor/vendor invoice are required.

**Final Reports and Final Reimbursement Claims are due prior to October 30, 2010**

**Activity Reporting Form**

(Revised 10-01-2010)

Grant Name: Highway Safety

Grant Number: \_\_\_\_\_

Agency Name: \_\_\_\_\_

Reporting Month/Year: \_\_\_\_\_

**Monthly Patrol Enforcement/ Activity**

Total <b>Patrol</b> Hours:	
1. DUI Arrests:	
2. Other Arrests:	
3. Speeding Citations:	
4. Seat Belt Citations:	
5. Child Restraint Citations:	
6. Other Traffic Citations:	
7. Written Warnings (other traffic):	
Total Contacts (add rows 1 thru 7):	
Contact Ratio: Total Contacts ÷ Number of Hours Worked	

**Monthly Checkpoint Information**

Total Officer- <b>Check Pt</b> Hours		Location:	
Checkpoint Date:		# of Officers:	
Start Time: (Military Time * )		Estimated # Vehicles Through	
End Time: (Military Time * )			
1. DUI Arrests:			
2. Other Arrests:			
3. Speeding Citations:			
4. Seat Belt Citations:			
5. Child Restraint Citations:			
6. Other Traffic Citations:			
7. Written Warnings (other traffic):			
Total Contacts (add rows 1 thru 7):			

\* 12:00 am (midnight) = 0000

(To report additional checkpoints, use supplemental checkpoint reporting form)

**Certified Correct By:**\_\_\_\_\_  
Project Director (please print)\_\_\_\_\_  
Project Director (signature)**Signed Hard Copy Must be Submitted**

# Supplemental Checkpoint Reporting Form

(Revised 10-01-2010)

Grant Name: Highway Safety

Grant Number: \_\_\_\_\_

Agency Name: \_\_\_\_\_

Reporting Month/Year: \_\_\_\_\_

Total Officer-Check Pt Hours:			
Checkpoint Date:		Location:	
Start Time: (Military Time * )		# of Officers:	
End Time: (Military Time * )		Estimated # Vehicles Through	
1. DUI Arrests:		* 12:00 am (midnight) = 0000	
2. Other Arrests:			
3. Speeding Citations:			
4. Seat Belt Citations:			
5. Child Restraint Citations:			
6. Other Traffic Citations:			
7. Written Warnings (other traffic):			
Total Contacts (add rows 1 thru 7):			

Total Officer-Check Pt Hours:			
Checkpoint Date:		Location:	
Start Time: (Military Time * )		# of Officers:	
End Time: (Military Time * )		Estimated # Vehicles Through	
1. DUI Arrests:		* 12:00 am (midnight) = 0000	
2. Other Arrests:			
3. Speeding Citations:			
4. Seat Belt Citations:			
5. Child Restraint Citations:			
6. Other Traffic Citations:			
7. Written Warnings (other traffic):			
Total Contacts (add rows 1 thru 7):			

Total Officer-Check Pt Hours:			
Checkpoint Date:		Location:	
Start Time: (Military Time * )		# of Officers:	
End Time: (Military Time * )		Estimated # Vehicles Through	
1. DUI Arrests:		* 12:00 am (midnight) = 0000	
2. Other Arrests:			
3. Speeding Citations:			
4. Seat Belt Citations:			
5. Child Restraint Citations:			
6. Other Traffic Citations:			
7. Written Warnings (other traffic):			
Total Contacts (add rows 1 thru 7):			

**Certified Correct By:**

\_\_\_\_\_  
**Project Director (please print)**

\_\_\_\_\_  
**Project Director (signature)**

**Signed Hard Copy Must be Submitted**



**Detailed Monthly Narrative Report for:**  
**Grantee Agency Name:**  
**Grant Number:**

The following are examples of what your narrative report should include:

- If your salary or a portion of your salary is paid with federal dollars, the narrative report should include a summary of activities for each month.
- If you attend a training/conference include a copy of the agenda as well as information of how the training/conference benefited you in your position.
- If you coordinate training or conduct workshop(s), include a copy of the agenda if applicable as well as the number of persons in attendance at the training/conference.
- If you conduct a CPS event, include the date and location of the event and the number of seats checked/installed.

Grant Projects that do not have activity every month should submit a detailed narrative for only those months with grant expenditures. For example, if your project involves a one-time payment for contractual services, include a summary of activities that were completed for that payment.

**Transportation Cabinet  
Kentucky Office of Highway Safety  
Final Reporting Form  
Law Enforcement Projects  
Activities Completed: October 1, XXXX- September 30, XXXX  
(Return by November ?, XXXX)**

**Agency Name:**

**Project Director:**

**E-mail address:**

**Grant Number:**

**Phone Number:**

**Fax Number:**

**Section I: List each objective within your grant proposal and provide information about the status of each below (through the contract end date, September 30, 2010).**

*Example: Objective 1. To reduce injury crashes in X City from 833 to 792 or less by September 30, 2011*

*Status: From October 1, 2009 through September 30, 2011, injury crashes in X City went from 833 to 788, a 5% decrease.*

**If you did not meet an objective, provide explanation along with the status.**

**Section II: Indicate information below for activity during federal overtime during FY XXXX (October 1, XXXX-September 30, XXXX)**

Total hours of overtime worked (checkpoints and patrol enforcement):

Total number of DUI arrests (checkpoints and patrol enforcement):

Total number of speeding citations issued:

Total number of child restraint citations issued:

Total number of seat belts citations issued:

Total number of traffic safety checkpoints held:

Pre-grant seat belt usage rate:

Post-grant seat belt usage rate:

Number of officers certified as Child Passenger Safety Technicians:

Transportation Cabinet  
Kentucky Office of Highway Safety  
Grants Management  
200 Mero Street 4<sup>th</sup> floor  
Frankfort, KY 40622  
[www.highwaysafety.ky.gov](http://www.highwaysafety.ky.gov)

**Transportation Cabinet  
Kentucky Office Of Highway Safety  
Final Reporting Form  
Non-Overtime Enforcement Projects  
Activities Completed: October 1, XXXX-September 30, XXXX  
(Return by November ?, XXXX**

**Agency Name:**

**Project Director:**

**E-mail address:**

**Grant Number:**

**Phone Number:**

**Fax Number:**

**Please provide a summary of activities/accomplishments for the grant year.**

**List each objective and provide information relevant to the status of each through contract end date, September 30, XXXX.**

**If you did not meet an objective, provide explanation along with the status.**

Please return to:

Transportation Cabinet  
Kentucky Office of Highway Safety  
Grants Management  
200 Mero Street 4<sup>th</sup> floor  
Frankfort, KY 40622  
highwaysafety.ky.gov

(Revised 10-01-2010)

## KENTUCKY OFFICE OF HIGHWAY SAFETY

### PREPARATION FOR MONITORING VISIT

- ( ) Be prepared to discuss implementation of each strategy/activity in your grant application and give explanation if they were not performed as scheduled.
- ( ) Be prepared to discuss the level of progress of each item listed in the "Objectives" portion of your grant contract.  
For example, if your objective states to decrease impaired driving crashes by 3% by September 30, 2010, be prepared to report the number of impaired driving crashes since the grant began through as current as possible and compare that number to the same time period for the previous year. **Have this information available prior to the meeting.**
- ( ) Discuss with program manager and/or your law enforcement liaison (LEL) if applicable any problems you have encountered.
- ( ) Be prepared to discuss the status of any programmatic modifications that may have been made since the award date.
- ( ) Have available inventory records for all equipment purchased during the contract period with highway safety funds, if applicable.
- ( ) Be prepared to demonstrate the use of equipment purchased with grant funds during this contract period, if applicable.
- ( ) Have available for review the grant file, including the grant application and signed grant award; any grant budget revisions and; related correspondence.

**Transportation Cabinet  
Kentucky Office of Highway Safety  
On-Site Monitoring Review**

**Section 1 - Grant Information**

**Grant Number:** \_\_\_\_\_ **Date Monitored:** \_\_\_\_\_

**Grant Title:** \_\_\_\_\_

**Grantee Name/Address:**

**Grant Amount:** \_\_\_\_\_

**Required Match %:** \_\_\_\_\_

**Grants Management Staff/LEL  
Conducting Review:**

**Grantee Staff  
Interviewed :**

Name:  
Title:

Name:  
Title:

Name:  
Title:

Name:  
Title:

**Project Focus:**

Revised 2-2-2011

General Project Checklist		N/A	Yes	No
1.	Does grantee keep a copy of grant agreement /revisions on file and readily available?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Does grantee maintain a balance sheet for their grant budget?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Has equipment been purchased?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	Is equipment installed/being utilized?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	Does grantee submit monthly claims in a timely manner?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	Are contact & warning ratios acceptable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	Has grantee returned the OMB 133 Certification form?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	Has grantee submitted a copy of their OMB 133 single audit report if expended more than \$500,000 in federal funds?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	Does agency access CRASH database to monitor crash data?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	Does the grantee need further assistance from KOHS? If yes, specify:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Section 2 – Status of Project Implementation**

**A. Implementation Schedule Review:**

Are the project activities being performed as scheduled?

Yes  No

List any project activities that are **NOT** being performed as scheduled with an explanation of their status in the space below:

**B. Review of Fulfillment of Specific Objectives:**

What is the current project status for each objective?  
(List each objective with the current status in the space below)

Revised 2-2-2011

**Section 3 -- Notes/Recommendations:**

**Monitoring Report Submitted by:**

- Program Manager
- Law Enforcement Liaison

\_\_\_\_\_

Signature

\_\_\_\_\_

Date

**Reviewed By:**

\_\_\_\_\_

Branch Manager

\_\_\_\_\_

Signature

\_\_\_\_\_

Date

## **GUIDELINES FOR EDUCATIONAL MATERIALS**

(Program Enhancement Items)

(revised February 2011)

### 1. Purchasing

Subgrantees/Contractors are required to use their own procurement regulations which reflect applicable state, local laws, rules and regulations. (See Section 9 of contract conditions)

### 2. Allowable Items

In an effort to expedite purchases of program enhancement items, the following may be purchased without obtaining prior approval from the Kentucky Office of Highway Safety (KOHS) provided that the approved grant contract contains a budget for enhancement items:

Key tags/key tag flashlights	Bookmarks
Litter bags	Stickers/window clings
Insurance/registration holders	Magnets
Pencils/pens	Ice scrapers (pocket-sized)
Stick-on calendars	Posters/Brochures

Any item not listed above requires prior approval in the form of a written request to the KOHS. The request should state the item(s) you wish to purchase, the quantity, price, and an explanation of how the item(s) relates to your highway safety program and how it will be distributed. The purchase of such items will not be reimbursed unless prior written approval is obtained.

### 3. Highway Safety Message Required

All program enhancement items must have an approved highway safety message by the KOHS that corresponds to the program area.

# Out-of-State / Overnight Travel Request Form

Revised 10-2008

Agency: \_\_\_\_\_  
 Grant #: \_\_\_\_\_  
 Traveler(s): \_\_\_\_\_  
 Destination: \_\_\_\_\_  
 Purpose of Travel: \_\_\_\_\_  
 Departure Date: \_\_\_\_\_  
 Return Date: \_\_\_\_\_

### Projected Costs

Transportation  
     Airfare: \_\_\_\_\_  
     Vehicle: \_\_\_\_\_  
     Taxi/Shuttle: \_\_\_\_\_  
 Subsistence  
     Lodging: \_\_\_\_\_  
     Food\*: \_\_\_\_\_  
 Registration/Fees: \_\_\_\_\_  
 Other (specify) \_\_\_\_\_  
 Total: \_\_\_\_\_

\* Maximum allowable subsistence is limited to the prevailing per diem rates as established by KAR 2:006 (see <http://finance.ky.gov/internal/travel/> for details).

Project Director's name (please print): \_\_\_\_\_  
 Signature of Project Director: \_\_\_\_\_ Date: \_\_\_\_\_

<b>Grants Management Branch Review</b>	
<input type="checkbox"/>	Travel approved. Conditions (if applicable): _____ _____
<input type="checkbox"/>	Travel denied. See comments below: _____ _____
GMB Representative: _____	Date: _____

**SIGNED HARD COPY MUST BE SUBMITTED**

**Reimbursement Claim Form**

Law Enforcement Overtime

(Revised 10-01-2010)

FOR INTERNAL USE ONLY	
Program Manager Approval:	
Financial Manager Approval:	

Send To: Kentucky Office of Highway Safety  
 Division of Highway Safety Programs  
 200 Mero Street, 4th floor  
 Frankfort, Kentucky 40622

Claim #: \_\_\_\_\_

Select claim type :  Progress  Final

From: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Prepared By: \_\_\_\_\_ Telephone: \_\_\_\_\_

Grant Name: Highway Safety

Grant Number: \_\_\_\_\_ CFDA # \_\_\_\_\_

Claim Period From: \_\_\_\_\_ (m/d/yyyy) To: \_\_\_\_\_ (m/d/yyyy)

<u>Cost Categories</u>	<u>Actual Cost</u>	<u>Match Amount</u>	<u>Federal Amount</u>
Salaries & Benefits	_____	_____	_____
Travel (KY Life Savers)	_____	_____	_____
Fuel Costs	_____	_____	_____
Equipment	_____	_____	_____
Total	_____	_____	_____

I certify that actual costs claimed have been incurred for the purposes specified in this Highway Safety Project and that the original documentation to support these costs is available. I understand that unsupported costs will be charged against this project at time of audit.

\_\_\_\_\_  
 Project Director (please print)

\_\_\_\_\_  
 Project Director's Signature

\_\_\_\_\_  
 Date

**2 COPIES WITH ORIGINAL SIGNATURES MUST BE SUBMITTED**

**Reimbursement Claim Form**

(Revised 10-01-2010)

FOR INTERNAL USE ONLY	
Program Manager Approval:	
Financial Manager Approval:	

Send To: Kentucky Office of Highway Safety  
 Division of Highway Safety Programs  
 200 Mero Street, 4th floor  
 Frankfort, Kentucky 40622

Claim #: \_\_\_\_\_

Select claim type :  Progress  Final

From: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Prepared By: \_\_\_\_\_ Telephone: \_\_\_\_\_

Grant Name: Highway Safety

Grant Number: \_\_\_\_\_ CFDA # \_\_\_\_\_

Claim Period From: \_\_\_\_\_ (m/d/yyyy) To: \_\_\_\_\_ (m/d/yyyy)

<u>Cost Categories</u>	<u>Actual Cost</u>	<u>Match Amount</u>	<u>Federal Amount</u>
Salaries & Benefits	_____	_____	_____
Travel	_____	_____	_____
Contractual Services	_____	_____	_____
Educational Materials	_____	_____	_____
Equipment	_____	_____	_____
Other Costs	_____	_____	_____
Total	_____	_____	_____

I certify that actual costs claimed have been incurred for the purposes specified in this Highway Safety Project and that the original documentation to support these costs is available. I understand that unsupported costs will be charged against this project at time of audit.

\_\_\_\_\_  
 Project Director (please print)

\_\_\_\_\_  
 Project Director's Signature

\_\_\_\_\_  
 Date

**2 COPIES WITH ORIGINAL SIGNATURES MUST BE SUBMITTED**



**DO NOT USE ALL CAPS when completing this form. Use regular sentence punctuation.**

KENTUCKY TRANSPORTATION CABINET  
**Division of Accounts**  
**eMARS TRAVEL REIMBURSEMENT**

Agency: **C35**

Document Number: \_\_\_\_\_

Authorization: \_\_\_\_\_

Page 2 of	DATE	AGENCY NAME
EMPLOYEE ID	TRAVELER'S WORK STATION	OFFICE PHONE
TRAVELER NAME	TRAVELER'S RESIDENCE	

MO	DAY	TIME OF		LOCATION	PRIVATE AUTO MILEAGE	TOLLS AND/OR PARKING	LODGING	SUBSISTENCE	TOTALS
		DEPARTURE	RETURN						
				From To			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose:									
				From To			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose:									
				From To			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose:									
				From To			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose:									
				From To			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose:									
				From To			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose:									

If mileage claimed, was State car available? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> Rode with another state employee.	TOTALS FOR THIS PAGE				
--	----------------------	--	--	--	--

ENTER MILEAGE FROM ALL PAGES _____ (Miles) x .37 (Cents Per Mile)
---

Airfare Expenses: \_\_\_\_\_  
Registration Fees: \_\_\_\_\_  
Name of Conference/Symposium: \_\_\_\_\_

GRAND TOTAL EMPLOYEE REIMBURSEMENT		TOTAL OTHER EXPENSES	
AIRFARE & REGISTRATION REIMBURSEMENT		TOTALS FROM ALL CONTINUATION PAGES	
TOTAL TRAVEL REIMBURSEMENT		GRAND TOTAL EMPLOYEE REIMBURSEMENT	

**SP = See Purpose**



**eMARS TRAVEL REIMBURSEMENT DETAIL**

Agency: **C35**

Document Number: \_\_\_\_\_

Authorization: \_\_\_\_\_

Page	of	DATE	EMPLOYEE ID	TRAVELER NAME
------	----	------	-------------	---------------

MO	DAY	TIME OF		LOCATION	PRIVATE AUTO MILEAGE	TOLLS AND/OR PARKING	LODGING	SUBSISTENCE	TOTALS
		DEPARTURE	RETURN						
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP	
Purpose: _____								B _____	
								L _____	
								D _____	
					<b>TOTALS FOR THIS PAGE</b>				

**SP = See Purpose**

KENTUCKY TRANSPORTATION CABINET  
 Division of Accounts  
**eMARS TRAVEL REIMBURSEMENT**

Agency: **C35**

Document Number: \_\_\_\_\_

Authorization: \_\_\_\_\_

Page 5 of 5	DATE	EMPLOYEE ID	TRAVELER NAME
-------------	------	-------------	---------------

MO	DAY	TIME OF		LOCATION	PRIVATE AUTO MILEAGE	TOLLS AND/OR PARKING	LODGING	SUBSISTENCE	TOTALS
		DEPARTURE	RETURN						
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose: _____									
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose: _____									
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose: _____									
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose: _____									
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose: _____									
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose: _____									
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose: _____									
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose: _____									
				From _____ To _____			<input type="checkbox"/> SP	<input type="checkbox"/> SP B _____ L _____ D _____	
Purpose: _____									
					TOTALS FOR THIS PAGE				

**SP = See Purpose**



### eMARS TRAVEL REIMBURSEMENT

Document # \_\_\_\_\_

Authorization # \_\_\_\_\_

Date: \_\_\_\_\_

Accounting Period _____	Used only during June and July Closing Period.
Budget FY _____	

Traveler Name: \_\_\_\_\_ Employee I.D.: \_\_\_\_\_

Residence: \_\_\_\_\_

Work Location: \_\_\_\_\_

District/Division: \_\_\_\_\_

Agency: C35 Department: \_\_\_\_\_

Lodging Reimbursement _____	<u>RATE</u>
Per Diem Reimbursement _____	<input type="checkbox"/> High <input type="checkbox"/> Low
W2 Reportable Meals _____	
POV Mileage Reimbursement _____	
Airfare Reimbursement _____	
Registration Reimbursement _____	
Other Reimbursement _____	
Total Reimbursement Amount _____	

Purpose of Trip:

I hereby certify, subject to the provisions of KRS 532.100 (unsworn falsification to authorities), that the above amounts represent proper charges by a statutory employee of the Commonwealth in the discharge of official business and that data furnished with the MARS Travel System are true and correct to the best of my knowledge.

Employee Signature \_\_\_\_\_

Date \_\_\_\_\_

Supervisor Signature \_\_\_\_\_

Date \_\_\_\_\_

Supervisor Name (print) \_\_\_\_\_



Solicitation/Contract #: \_\_\_\_\_

**REQUIRED AFFIDAVIT FOR BIDDERS, OFFERORS AND CONTRACTORS****FOR BIDS AND CONTRACTS IN GENERAL:**

- I. Each bidder or offeror swears and affirms under penalty of perjury, that:
- a. In accordance with KRS 45A.110 and KRS 45A.115, neither the bidder or offeror as defined in KRS 45A.070(6), nor the entity which he/she represents, has knowingly violated any provisions of the campaign finance laws of the Commonwealth of Kentucky; and the award of a contract to the bidder or offeror or the entity which he/she represents will not violate any provisions of the campaign finance laws of the Commonwealth.
  - b. The bidder or offeror swears and affirms under penalty of perjury that, to the extent required by Kentucky law, the entity bidding, and all subcontractors therein, are aware of the requirements and penalties outlined in KRS 45A.485; have properly disclosed all information required by this statute; and will continue to comply with such requirements for the duration of any contract awarded.
  - c. The bidder or offeror swears and affirms under penalty of perjury that, to the extent required by Kentucky law, the entity bidding, and its affiliates, are duly registered with the Kentucky Department of Revenue to collect and remit the sales and use tax imposed by KRS Chapter 139, and will remain registered for the duration of any contract awarded.
  - d. The bidder or offeror swears and affirms under penalty of perjury that the entity bidding is not delinquent on any state taxes or fees owed to the Commonwealth of Kentucky and will remain in good standing for the duration of any contract awarded.

**FOR "NON-BID" CONTRACTS (I.E. SOLE-SOURCE; NOT-PRACTICAL OR FEASIBLE TO BID; OR EMERGENCY CONTRACTS, ETC):**

- II. Each contractor further swears and affirms under penalty of perjury, that:
- a. In accordance with KRS 121.056, and if this is a non-bid contract, neither the contractor, nor any member of his/her immediate family having an interest of 10% or more in any business entity involved in the performance of any contract awarded, have contributed more than the amount specified in KRS 121.150 to the campaign of the gubernatorial slate elected in the election last preceding the date of contract award.
  - b. In accordance with KRS 121.330(1) and (2), and if this is a non-bid contract, neither the contractor, nor officers or employees of the contractor or any entity affiliated with the contractor, nor the spouses of officers or employees of the contractor or any entity affiliated with the contractor, have knowingly contributed more than \$5,000 in aggregate to the campaign of a candidate elected in the election last preceding the date of contract award that has jurisdiction over this contract award.

- c. In accordance with KRS 121.330(3) and (4), and if this is a non-bid contract, to the best of his/her knowledge, neither the contractor, nor any member of his/her immediate family, his/her employer, or his/her employees, or any entity affiliated with any of these entities or individuals, have directly solicited contributions in excess of \$30,000 in the aggregate for the campaign of a candidate elected in the election last preceding the date of contract award that has jurisdiction over this contract.

As a duly authorized representative for the bidder, offeror, or contractor, I have fully informed myself regarding the accuracy of all statements made in this affidavit, and acknowledge that the Commonwealth is reasonably relying upon these statements, in making a decision for contract award and any failure to accurately disclose such information may result in contract termination, repayment of funds and other available remedies under law.

\_\_\_\_\_  
Signature Printed Name

\_\_\_\_\_  
Title Date

Company Name \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Subscribed and sworn to before me by \_\_\_\_\_  
(Affiant) (Title)

of \_\_\_\_\_ this \_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.  
(Company Name)

\_\_\_\_\_  
Notary Public

[seal of notary]

My commission expires: \_\_\_\_\_