COMMONWEALTH OF KENTUCKY
TRANSPORTATION CABINET
FRANKFORT, KY 40622

MANUAL TITLE: ***Highway Safety Programs*** **REVISION NO.:** **2**

DATE REQUESTED: **February 1, 2016** **REPRINT:**

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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 *Highway Safety Programs Manual*. This revision includes one exhibit update.		
HSP-9000	Grant Application/Contract Conditions for Law Enforcement Overtime Projects, TC 35-11	HSP-9005	HSP-9005
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COMMONWEALTH OF KENTUCKY
TRANSPORTATION CABINET
FRANKFORT, KY 40622

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HSP-01	Table of Contents	HSP-01	HSP-01
HSP-200	Application Review Desk Monitoring High-Risk Grantees	HSP-204-3 HSP-212-2 HSP-214	HSP-204-3 HSP-212-2 HSP-214
HSP-9000	Table of Exhibits Grant Risk Assessment Form	HSP-9000	HSP-9000 HSP-9022
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Highway Safety Programs

Guidance Manual

Division of Highway Safety Programs

COMMONWEALTH OF KENTUCKY
TRANSPORTATION CABINET

April 2014

Produced by Organizational Management Branch
Office of Human Resource Management

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

Steven L. Beshear
Governor

Michael W. Hancock, P.E.
Secretary

OFFICE OF THE SECRETARY
OFFICIAL ORDER 108839

SUBJECT: HIGHWAY SAFETY PROGRAMS GUIDANCE MANUAL

This manual has been prepared to provide information and guidance to personnel of the Transportation Cabinet. Its purpose is to give uniformity in the interpretation and administration of laws, rules, and regulations applicable to the operation of the *Division of Highway Safety Programs* and its relationship with other units of the Cabinet.

The rules and regulations contained within are 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All previous instructions, written and oral, relative to or in conflict with this manual are hereby superseded.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 22nd day of April, 2014.

Michael Hancock
Secretary

Approved as to Legal Form

Office of Legal Services

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Kentucky Office of Highway Safety

Division of Highway Safety Programs

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Division of Highway Safety Programs	*Chapter* INTRODUCTION
	Subject Design of This Manual

ORGANIZATION & NUMBERING

Chapters--The subject matter in the manual is divided into chapters. The chapter title appears in the upper right-hand corner of the first page of a subject and in the upper left-hand corner of subsequent pages.

Subjects--Chapters are arranged by subjects.

Subject Number--Each subject is assigned a number, which appears in the upper right-hand corner of each page of the subject.

Subject Title--The title of a subject appears in the upper right-hand corner of the first page of a subject and in the upper left-hand corner of any subsequent pages.

"HSP" Prefix--Preceding each subject number, this prefix stands for the manual title *Highway Safety Programs Guidance Manual.*

Date--The latest issuance date of a subject appears at the bottom of each page of the subject. This date agrees with the latest issuance date shown for the subject in the Table of Contents (**HSP-01**).

Page Numbering--Each subject has its own page numbering, which appears at the bottom of each page.

LOCATING INFORMATION

One index appears at the front of the manual and one index appears at the back:

- **Table of Contents--**This index at the front lists the titles of the manual's chapters and their subjects, as well as other information, in numerical order. It includes the latest issuance dates of all the subjects. As the manual matures, these dates change.

- **Table of Exhibits--**This index at the back provides a list of all forms, diagrams, and drawings referenced in the manual.

CROSS REFERENCES IN MANUAL

Subject Numbers within Narrative--A subject number within the narrative on a page that directs the user to more information about the subject.

QUESTIONS

For answers to questions about the contents of the manual, please contact:

Transportation Cabinet Office Building
Division of Highway Safety Programs
200 Mero Street
Frankfort, KY 40622
(502) 564-1438

For copies of the manual, please contact:

Organizational Management Branch
Transportation Cabinet Office Building
200 Mero Street
Frankfort, KY 40622
(502) 564-4610

Kentucky Office of Highway Safety

Division of Highway Safety Programs

Chapter

INTRODUCTION

Subject

Authority, Mission, & Purpose

AUTHORITY

The Highway Safety Act of 1966 established the State and Community Highway Safety Grant Program, commonly known as the "Section 402 Program." This made each governor responsible for managing highway safety funds, provided a formula for apportioning grant funds, and established sanctions for noncompliance. The Highway Safety Act of 1970 authorized the establishment of the National Highway Traffic Safety Administration (NHTSA) and established responsibility for highway and automobile safety, separate from facility and infrastructure of the Federal Highway Administration. In November 2007 the Secretary of the Transportation Cabinet was appointed as the Governor's representative for highway safety in Kentucky. The administration of the federal 402 Highway Safety Program in Kentucky is housed in the Kentucky Office of Highway Safety (KOHS).

The 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.

AUTHORITY DELEGATION & SIGNATORY AUTHORITY

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

MISSION

The mission of the KOHS is 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."

MISSION (CONT.)

This mission is supported by three general goals:

1. Reduce the number of serious injuries and fatalities on the state's roadways through the efficient use of highway safety resources (from public and private sources) available on the local, state, and national levels
2. 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 and Bicycle Safety
   - Speed Control
3. Increase public awareness of traffic safety issues and their impacts on the state

OVERVIEW

This manual contains general and specific policies and procedures for the proper administration of the Kentucky Office of Highway Safety (KOHS) which is housed within the Transportation Cabinet's 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 shall not be considered as mandated policies. Hence, if there is a departure from a particular subprocedure, this does not constitute a lapse in procedure or an administrative error.

Division of Highway Safety Programs	***Section*** ROLES & RESPONSIBILITIES
	Subject Division of Highway Safety Programs

OVERVIEW

The Kentucky Office of Highway Safety's (KOHS's) Division of Highway Safety Programs oversees the programmatic functions of the Grants Management Branch and the Safety Education Branch. The division's organizational chart (**Exhibit 9001**) provides further programmatic details of each branch.

DIVISION PERSONNEL

The KOHS Executive Director oversees administrative functions of the Division of Highway Safety Programs.

All employees of the division 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).

Division employees shall also be subject to applicable policies of the Kentucky Transportation Cabinet.

For further information on state personnel policies, procedures, and benefits, employees may refer to the current edition of the Commonwealth of Kentucky's *Employee Handbook*, available on the Personnel Cabinet's website at:

https://hr.personnel.ky.gov/Documents/Employee%20Handbook.pdf

STAFF MEETINGS

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

RECORDS MANAGEMENT & FILING

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

- Grant project files

RECORDS MANAGEMENT & FILING (CONT.)

- Annual Highway Safety Plan/Performance Plan
- Annual evaluation report
- Reports required for specific federal funding streams, to be retained for a period of at least three years

OFFICE HOURS

The KOHS shall 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.

Division of Highway Safety Programs	*Section* ROLES & RESPONSIBILITIES
	Subject Grants Management Branch

OVERVIEW

The mission of the Kentucky Office of Highway Safety (KOHS), Grants Management Branch, is to manage highway safety funds and apportion grant funds to qualifying participants to encourage highway safety and support the Transportation Cabinet's Strategic Plan focusing on zero deaths.

RESPONSIBILITIES

The Grants Management Branch is responsible for the administration and monitoring of all programs funded by the National Highway Traffic Safety Administration.

To fulfill these responsibilities, the branch shall:

- Develop and implement a process for obtaining information about the highway safety programs administered by other state and local agencies
- Periodically review and comment to the Governor on the effectiveness of highway safety plans and activities in the state regardless of funding source
- Provide or facilitate the provision of technical assistance to other state agencies and political subdivisions to develop highway safety programs
- Provide financial and technical assistance to other state agencies and political subdivisions in carrying out highway safety programs
- 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
- Establish priorities for highway safety programs funded under 23 U.S.C. 402 within the state
- Provide information and assistance to prospective aid recipients on program benefits, procedures for participation, and development of plans

RESPONSIBILITIES (CONT.)

- Encourage and assist local units of government to improve their highway safety planning and administration efforts
- 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
- Monitor the progress of activities and the expenditure of Section 402 funds contained in the state's approved Highway Safety Plan
- 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
- Coordinate the state highway safety agency's highway safety plan with other federally and nonfederally supported programs relating to or affecting highway safety
- Assess program performance through analysis of data relevant to highway safety planning

ADMINISTRATION

Chapter 200, "Grants Management," (**HSP-200**) details the policies and procedures the branch follows to administer grants.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** ROLES & RESPONSIBILITIES ***Subject*** Safety Education Branch

OVERVIEW

The mission of the Kentucky Office of Highway Safety (KOHS), Safety Education Branch, is to provide quality educational experiences that encourage participants to drive safely and support the Transportation Cabinet's Strategic Plan focusing on zero deaths.

GOALS

The branch's mission is supported by three general goals:

1. Reduce the number of serious injuries and fatalities on the state's roadways through the efficient use of highway safety resources available (from both public and private sources) on the local, state, and national levels

2. Support the Transportation Cabinet's strategic plan by providing educational experiences in the following program areas:
   a. Occupant Protection (Seatbelt Safety & Child Passenger Safety)
   b. Motorcycle Safety
   c. Impaired Driving
   d. Distracted Driving
   e. Young Drivers
   f. Mature Drivers
   g. Corporate Outreach

3. Increase public awareness of traffic safety issues and their impacts on the state

RESPONSIBILITIES

Each program shall have a designated statewide program coordinator who shall:

- Create and maintain lesson plans
- Conduct training sessions
- Research new educational strategies

RESPONSIBILITIES (CONT.)

The branch manager shall:

- Maintain the branch curriculum
- Review research
- Create programming schedule of events and branch personnel

ADMINISTRATION

Chapter 300, "Safety Education Programs," (**HSP-300**) details the policies and procedures the branch follows to deliver and administer highway safety programs.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** ROLES & RESPONSIBILITIES ***Subject*** Highway Safety Coordinators

OVERVIEW

The Kentucky Office of Highway Safety (KOHS) Safety Education Branch shall work with district coordinators and public information officers (PIOs) during scheduled events.

REQUIREMENTS & EXPECTATIONS

District coordinators and PIOs are encouraged to work 12 scheduled events annually with the Safety Education Branch. Equipment training, when necessary, shall be scheduled and completed prior to the scheduled event. District coordinators and PIOs are subject to the KOHS employee conduct policy (**HSP-104**) during assignments with KOHS.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** ROLES & RESPONSIBILITIES ***Subject*** Contract Personnel

OVERVIEW

The Kentucky Office of Highway Safety (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 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.

Division of Highway Safety Programs

Chapter

INTRODUCTION

Subject

Employee Conduct

OVERVIEW

Division of Highway Safety Programs' employees work with the public on a regular basis, including middle school and high school students. In the division's programming, various issues are discussed, such as impaired driving, distracted driving, and seatbelt usage. In these public meetings, division employees shall lead by example and practice professionalism and courtesy.

REQUIREMENTS & EXPECTATIONS

Given the nature of the work and contact with the public, all division personnel shall abide by the policies in the *General Administration and Personnel (GAP) Manual*. In addition, the following behavior shall not be tolerated during work hours:

- Use of electronic device while operating a state vehicle
- Failure to wear a seat belt
- Talking in an abusive or unprofessional manner with persons inside or outside KOHS
- Sexual harassment of fellow employees or attendees at events
- Drinking alcoholic beverages or taking narcotics (including prescription drugs)

Division personnel shall not consume alcohol or controlled substances:

- While in travel status for official KYTC business, which may include the employee's lunch hour if the employee operates a state vehicle prior to, during, or after his or her lunch hour,
- At least 8 hours prior to operating or riding in a state vehicle
- At least 8 hours prior to public interaction in an official capacity

ENFORCEMENT

Pursuant to KRS 18A.032, Division of Highway Safety Programs personnel may be dismissed for (1) any felony conviction or (2) any job-related misdemeanor. Given the nature of the division's work, job-related misdemeanors shall include, but not be limited to, any drug- or alcohol-related conviction.

Any violation of this policy or of the policies in the *GAP Manual* may result in disciplinary action up to and including dismissal.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Chapter*** INTRODUCTION ***Subject*** Public Relations

OVERVIEW

The Kentucky Office of Highway Safety (KOHS) and the Office of Public Affairs shall collaborate to ensure all planned media and social media involving highway safety is accurate and consistent with the Kentucky Transportation Cabinet's policies and procedures.

REQUIREMENTS & EXPECTATIONS

The Office of Public Affairs' highway safety liaison shall work with KOHS and state-contracted public relations agencies to ensure that scheduled National Highway Traffic Safety Administration (NHTSA) campaigns are properly advertised on media platforms. Media advisories and releases shall be coordinated between the KOHS and the Office of Public Affairs.

MEDIA / PUBLIC INFORMATION

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

- Media Messages

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

- Use of Media Contractors

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

- Response to Media Inquiries

  News media representatives shall 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. KOHS employees shall not release information concerning agency policies, personnel decisions, or confidential or restricted information.

RIGHT TO OWNERSHIP The KOHS, NHTSA, and FHA 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.

Division of Highway Safety Programs	*Chapter* INTRODUCTION
	Subject KOHS Fleet

OVERVIEW

The following vehicles are assigned to the Kentucky Office of Highway Safety (KOHS):

A-1599	2002 Chevy Silverado 4WD
A-1421	2002 Ford Taurus
A-3262	2005 Chevy Tahoe 4WD
B-0335	2006 Ford Expedition 4WD
B-1385	2007 Chevy Malibu
B-1386	2007 Chevy Malibu
B-1780	2008 Chevy Silverado 2WD
KT0397	2011 Dodge Ram 3500 4WD – Diesel
KT0510	2011 Dodge Ram 3500 4WD – Diesel

The Safety Education Branch Manager shall maintain responsibility for the above listed vehicles. The vehicle "sign out" book, key box, and vehicle keys shall be located in the Safety Education Branch team room. Program coordinators with assigned and scheduled programs have priority on vehicle use. Any vehicle to be used on an overnight event or parked overnight at a program coordinator's residence resulting from event time or distance circumstances must have the Safety Education Branch Manager's, the KOHS Executive Director's, or Assistant Director's prior approval.

Note: This policy is in addition to the equipment usage policy detailed in the *General Administration and Personnel (GAP) Manual*. Users of KOHS vehicles shall read, sign for, and be familiar with the GAP equipment usage policy prior to KOHS vehicle use.

REQUIREMENTS & EXPECTATIONS

The following outlines the requirements and expectations pertaining to KOHS vehicle use.

- Parking

  At the end of every business day, KOHS vehicles not in use shall be parked at the following locations:

REQUIREMENTS & EXPECTATIONS (CONT.)

200 Mero Street, parking garage, west side, 5th floor:

A-3262	2005 Chevy Tahoe 4WD
B-0335	2006 Ford Expedition 4WD
B-1385	2007 Chevy Malibu
B-1386	2007 Chevy Malibu
B-1780	2008 Chevy Silverado 2WD

1239 Wilkinson Blvd. (the KOHS Warehouse), north side of the warehouse building:

A-1599	2002 Chevy Silverado 4WD
KT0397	2011 Dodge Ram 3500 4WD – Diesel
KT0510	2011 Dodge Ram 3500 4WD – Diesel

25 West BP Drive, Morehead, KY 40351. (D9 KYTC District Office), Motor pool lot:

A-1421	2002 Ford Taurus

- Monthly Mileage

  The Safety Education Branch Manager shall document the monthly mileage for assigned KOHS vehicles on an electronic mileage spreadsheet. That file shall be electronically forwarded to the Internal Policy Analyst II (IPAII) in Incident Management for the official Department of Highway Safety mileage report. Reporting is scheduled on the KOHS electronic calendar for the 23rd day of each month.

- Vehicle Cleaning

  The Safety Education Branch Manager shall schedule the KOHS vehicles for cleaning once per quarter unless otherwise needed.

- GPS Tracking

  The Safety Education Branch Manager shall run a weekly GPS report every Monday prior to the Safety Education Branch meeting. The GPS report shall cover speeding, speeding duration, and vehicle location. Speeding violations shall be brought to the attention of the vehicle operators and reported to the KOHS Executive Director on the day of the report.

Division of Highway Safety Programs

Chapter
INTRODUCTION

Subject
Dress Code

SCOPE OF POLICY

The dress code policy applies to all Transportation Cabinet (KYTC) personnel engaged in work-related activities, including full-time, part-time, contract, and temporary employees, as well as interns and co-op workers.

PERSONAL APPEARANCE

KYTC promotes safety, hygiene, and a positive environment for employees and the general public. All KYTC personnel are advised that public relations and safety are essential parts of their jobs. Therefore, all employees shall be aware of the appearance they present in terms of work attire, personal hygiene, and grooming; and shall wear the proper apparel to avoid job-related injuries.

EMPLOYEE DRESS POLICY

Employees shall exercise discretion and good judgment in the selection of work attire and dress in a manner appropriate to their occupations and the functions of their positions.

- Employees who have substantial contact with the public or work in offices commonly visited by the public shall dress in a businesslike, professional manner. (*Business attire* is defined minimally as "dress slacks or skirt with shirt or blouse, or a dress.")
- Employees engaged in maintenance, equipment, or construction activities shall wear safety shoes, leather shoes, or their equivalent. Sandals or canvas tennis or gym shoes are prohibited.
- Employees engaged in any work activity that may result in head injury shall wear hard hats at all times. (The *Employee Safety and Health Manual* details Cabinet policy regarding employee use of safety hats.)
- Employees working in areas where personal occupation identity is essential (for example, rest area staff) shall wear Cabinet-provided uniforms while on duty.

Regardless of their occupations or functions, personnel shall not wear:

- Short skirts
- Shorts, including Bermuda shorts and cutoffs

EMPLOYEE DRESS POLICY (CONT.)

- Sweat suits
- Baggy-style pants (with underwear showing above the pants)
- T-shirts bearing language, symbols, or art that is likely to offend others
- Torn, faded, or frayed clothing
- Flip-flops
- Revealing attire, including sheer clothing, backless dresses, low-cut blouses, blouses revealing the midriff area, or tank- or halter-top blouses or dresses

Management personnel have the discretion of allowing their employees to dress casually on Fridays. If abuse of "casual Friday" occurs or if the operating needs of the office are being negatively impacted, a department may revoke such privilege and require the employees to revert to business dress attire. "Casual Friday" attire may include jeans and open collar or polo-type shirts, but does not include any of the prohibited items discussed in the previous list.

Management personnel may establish more stringent requirements based on sound business needs but shall not establish lower standards than those set forth herein.

USE OF KOHS ATTIRE

The Kentucky Office of Highway Safety (KOHS) reserves the right to purchase polo shirts, pullovers, sweatshirts, T-shirts, jackets, coats, or hats bearing but not limited to the following logos: KOHS, Click-it-or-Ticket, Drive Sober or Get Pulled Over, or Drive Smart. Any attire bearing the KOHS logos shall be worn in the spirit of good taste and professionalism. When worn, on or off duty, this clothing reflects upon the image of KOHS.

Any KOHS employee creating a public disturbance or having negative contact with law enforcement while wearing any KOHS-issued clothing may be subject to disciplinary actions up to and including dismissal.

VIOLATION OF PROVISION

Actions inconsistent with this policy shall result in corrective counseling or, in the event of insubordinate refusal to comply with reasonable instructions, disciplinary action up to and including dismissal. Employees who report to work in violation of the dress policy shall be sent home to change into approved attire, utilizing accrued leave. If the individual has no accrued leave, time shall be coded as unapproved leave without pay.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Chapter*** GRANTS MANAGEMENT ***Subject*** Program Funding Sources

OVERVIEW

Funding for the Kentucky Office of Highway Safety (KOHS) Grants Management Branch is primarily federal. As required by governing federal regulations, a minimum of 50 percent of the planning and administration costs of the KOHS are paid for by the Commonwealth of Kentucky.

The Grants Management Branch receives federal funds from several sources that are all managed by the National Highway Traffic Safety Administration (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 408 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 Office of Management and Budget [OMB] circulars) that apply to the use of these federal funds.

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 Regional Program Manager or the Regional Administrator for the NHTSA regional office shall be consulted for clarification on any of the provisions therein.

To simplify financial guidelines as they pertain to grantees of KOHS, general principles and procedures, described in the following sections, have been developed.

Division of Highway Safety Programs	*Chapter* GRANTS MANAGEMENT
	Subject Program Management Overview

OVERVIEW

The Kentucky Office of Highway Safety (KOHS), Grants Management Branch, follows a management process that consists of the following major functions:

- Planning
- Programming
- Implementation
- Monitoring or Review
- 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 and activity reports
- Prepare and develop 402b *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 and 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

OVERVIEW (CONT.)

March—April (cont.)

- 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 402c grantees for funding

May

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

June – July

- Develop and submit HSP/Performance Plan to the National Highway Traffic Safety Administration (NHTSA) by July 1
- Review highway safety grant reimbursement claims and Highway Safety Program (HSP) activity reports
- Finalize all on-site monitoring reports
- Prepare modifications needed to applications
- Send grant award letters and finalize grant agreements and budgets for new fiscal year
- Prepare grant agreements for upcoming grant year (402 funding)

August

- Review highway safety grant reimbursement claims and activity reports

September

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

OVERVIEW (CONT.)

October

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

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** PLANNING ***Subject*** Problem Identification

OVERVIEW

Identification of traffic-related problems on the statewide level is key to the development of the annual Highway Safety Plan/Performance Plan.

TRAFFIC SAFETY DATA SERVICE (TSDS)

All Kentucky crash data originate from the CRASH (Collision Report Analysis for Safer Highways) database, which is maintained by the Kentucky State Police. All Kentucky law enforcement agencies are required to submit uniform reports of any injury, fatality, 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 Kentucky Office of Highway Safety (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 can 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 can 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 priority areas can be more easily established for reviewing funding proposals and for program delivery. For each county, this problem identification tool tabulates data from each of the following data factors:

- Population
- Number of fatalities
- Number of incapacitating injuries
- Fatality and injury rate per 100 mvm

TRAFFIC SAFETY DATA SERVICE (TSDS) (CONT.)

- 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 designed to assign a ranking of 1-120 for each county in each of these categories. These rankings are combined into an overall ranking as well. Fatalities and incapacitating injuries are 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 countermeasures 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.

KENTUCKY TRANSPORTATION CENTER DATA

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 (ATCD) and Kentucky Traffic Collision Facts (KTCF). These documents contain the most comprehensive published collection and analysis of statewide crash data available.

The ATCD compiles and analyzes detailed motor vehicle crash data for all Kentucky counties and for cities with populations over 2,500 for the most recent five-year period. It also includes relevant data on arrest and conviction data for DUI offenses. The KTCF characterizes traffic crashes in a more general manner, presenting information on contributing factors, occurrence by type of vehicle and roadway, age and sex of driver,

KENTUCKY TRANSPORTATION CENTER DATA (CONT.)

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 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 to address in the Performance Plan.

Division of Highway Safety Programs	*Section* PLANNING
	Subject Highway Safety Performance Plan

OVERVIEW

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

The KOHS shall utilize guidelines developed by the Governor's Highway Safety Association (GHSA) in formulating the performance plan.

REQUIRED ELEMENTS

The following are required elements of the performance plan:

- Measurable Highway Safety Goals

  The plan shall include measurable highway safety goals based on problems identified by the state and corresponding performance measures for tracking progress. Highway safety goals shall address the national priority program areas specified by NHTSA, and may include other priorities indicated from the state's data analysis and problem identification.

- Processes Description

  The plan shall include 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.

- 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.

- Certification Statement

  This statement, signed by the Governor's representative for highway safety, certifies that Kentucky will comply with applicable laws and

REQUIRED ELEMENTS (CONT.)

regulations, financial and programmatic requirements, and, in accordance with CFR 1200.11, special funding conditions of the Section 402 program.

- 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.

REVISIONS TO PERFORMANCE PLAN

Revisions or adjustments necessary 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.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** GRANT APPLICATION ***Subject*** Application Solicitation

OVERVIEW

The Kentucky Office of Highway Safety (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 law enforcement liaisons, and information on the KOHS website at:

http://transportation.ky.gov/Highway-Safety/Pages/default.aspx

Applications for highway safety project funding may also be requested by contacting the KOHS office by telephone 502-564-1436 or email.

Eligible agencies that are currently receiving highway safety grants shall 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.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	*Section* GRANT APPLICATION Applicant Requirements & Submittals

APPLICATION FORMS

Grant applicants shall complete and submit the TC 35-11 form, *Grant Application/Contract Conditions* (**Exhibit 9005**). The TC 35-23 form, *Grant Application (CIOT)* (**Exhibit 9017**) will be used for the NHTSA "Click It or Ticket" high visibility enforcement campaigns in May and September of each calendar year. These application and other program forms and documents are available for download on the KOHS website at:

http://transportation.ky.gov/Highway-Safety/Pages/Grants.aspx

APPLICATION PROCEDURE

Applicants shall submit an original and 3 copies of the application by the specified due date to:

Kentucky Office of Highway Safety
200 Mero Street, 4th Floor
Frankfort, KY 40622

APPLICATION CONTENT

A complete application shall contain the following material and information:

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

APPLICATION DEADLINE

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

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** GRANT APPLICATION ***Subject*** Application Review

REVIEW PROCEDURES

All submitted applications shall be collected, logged into a database containing summary information, and assessed using the Kentucky Office of Highway Safety (KOHS) Grant Risk Assessment Form (**Exhibit 9022**) which shall become a part of the applicant's file. 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 National Highway Traffic Safety Administration (NHTSA) representative (if available), and others selected by the KOHS Executive Director. Each committee member shall individually evaluate his or her assigned applications by completing a review form with comments and recommendations, which will later be shared with all review committee members. The committee shall 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 nonprofit organizations)
- Eligibility of the program area
- Conformity to program strategy
- Extent of need (based on CRASH data) for the project or program
- Measurable goals and objectives
- Suitable strategies and activities for achieving stated goals and objectives
- Past performance (if applicable)
- Participation or attendance in state highway safety campaigns or events

REVIEW PROCEDURES (CONT.)

- 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
- KOHS Grant Risk Assessment score (low, medium, high)

INCOMPLETE APPLICATION

If the application is incomplete, the applicant shall be notified as to the actions necessary 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.

Division of Highway Safety Programs

Section	GRANT APPLICATION
Subject	Application Selection

APPLICATION SELECTION

Upon final review of the application, the Kentucky Office of Highway Safety (KOHS) shall recommend one of the following actions:

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

LOCAL BENEFIT

23 CFR Part 1250 requires that at least 40 percent 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.

DESIGNATION OF PROGRAM AREA

Projects shall 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.

CONDITIONAL APPROVAL

In many cases, the review committee shall propose modification of the grantee's budget 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 for final approval.

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 KOHS Executive Director, the Governor's representative for highway safety, and a representative from the Kentucky Transportation Cabinet's Office of Legal Services.

KOHS shall send nongovernmental grantee agencies a *Required Affidavit for Bidders, Offerors and Contractors* (**exhibit 9021**) which they shall sign and return to KOHS.

FINAL APPLICATION APPROVAL (CONT.)

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.

APPROVAL NOTIFICATION

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

NOTIFICATION OF REJECTION

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

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Chapter*** GRANTS MANAGEMENT ***Subject*** Grantee Training

OVERVIEW

The Kentucky Office of Highway Safety (KOHS) shall 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. KOHS staff shall provide grantee training through all agencies, awarded on an individual basis during the first quarter of the federal fiscal year.

Attendance by all grantees is mandatory.

Division of Highway Safety Programs	***Chapter*** GRANTS MANAGEMENT
	Subject Grantee Relationship with the Kentucky Office of Highway Safety

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

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Chapter*** GRANTS MANAGEMENT ***Subject*** Project Commencement

PROJECT COMMENCEMENT

Unless otherwise indicated within grant agreement, grantee project activity shall begin within 30 days of the approved start date, after signed approval of the grant agreement by the Governor's representative. If project activity does not begin within this time period, the project may be subject to cancellation.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Chapter*** GRANTS MANAGEMENT ***Subject*** Records Subject to Inspection

OVERVIEW

The grantee shall make available to the Kentucky Office of Highway Safety (KOHS), National Highway Traffic Safety Administration (NHTSA), Federal Highway Administration (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.

Kentucky Office of Highway Safety

Division of Highway Safety Programs

Section

GRANTEE FINANCIAL GUIDELINES

Subject

General Funding Requirements & Information

SUPPLANTING

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

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 if a grantee has demonstrated exceptional performance or if a grantee is within a high-priority county, as identified during the KOHS annual statewide problem identification process.

MATCHING FUNDS

KOHS will fund 100% of project costs with federal 402 funding for no more than three (3) consecutive years. Fourth-year projects are required to provide a minimum 35% local funding match.

Projects extending into the fifth year and beyond shall fund at least 50% of the project cost with local funds. These match requirements shall only apply to 402 funds. Allowable costs that may be claimed for matching include overtime salaries and benefits and approved equipment used for their highway safety projects. Agencies receiving funding from other federal sources shall not be subject to the match requirements or the funding period limits indicated above.

SIT OUT PERIOD

Once 402 funding for a project has been discontinued, the subject agency shall wait two (2) years before becoming eligible to receive additional 402 funding through the KOHS.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** GRANTEE FINANCIAL GUIDELINES ***Subject*** Required Accounting Procedures

ACCOUNTING PROCEDURES

The grantee shall establish fiscal control with generally accepted accounting procedures that ensure proper disposition of grant funds and, if applicable, required nonfederal expenditures. All monies spent on this project shall be disbursed in accordance with provisions of the grant budget or officially revised budget as approved by the Kentucky Office of Highway Safety (KOHS).

Division of Highway Safety Programs

Section

GRANTEE FINANCIAL GUIDELINES

Subject

Audits

AUDIT REQUIREMENTS

All subrecipients expending more than $500,000 in federal funds during a fiscal year shall 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 Kentucky Office of Highway Safety (KOHS) shall send a letter to each subrecipient requesting they agree to provide either of the following, as applicable:

- A copy of their A-133 audit to the Kentucky Transportation Cabinet (KYTC), if their federal funding exceeded $500,000
- Certification to KYTC that their federal funding did not exceed $500,000

NONCOMPLIANCE

If subrecipients do not comply with OMB A-133 requirements, their reimbursements shall be withheld until compliance is met.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** GRANTEE FINANCIAL GUIDELINES ***Subject*** Adherence to Budget

OVERVIEW Grantees shall adhere to the budget outlined in their approved grant agreement. The Kentucky Office of Highway Safety (KOHS) shall not reimburse any claim for funds in excess of the contracted amounts.

REVISION REQUESTS If a change is needed within the budget, a written request shall be submitted to and approved by the KOHS prior to the purchase. KOHS shall consider a maximum of two revisions throughout the contract period.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** GRANTEE FINANCIAL GUIDELINES ***Subject*** Financial Records Retention

RECORDS RETENTION

All of the grantee's financial records shall be retained for a period of not less than 3 years following payment of the final voucher by the Kentucky Office of Highway Safety (KOHS). Financial records shall include:

- Books
- General and subsidiary ledgers
- Source documentation supporting accounting transactions
- Personnel records
- Verified payroll records
- Invoices
- Cancelled checks
- Any other related documents and records

Division of Highway Safety Programs

Section

GRANTEE FINANCIAL GUIDELINES

Subject

Reimbursable Costs

REIMBURSABLE COSTS

Federal grant funds administered by the Kentucky Office of Highway Safety (KOHS) are disbursed by reimbursement of direct costs. As such, grantees shall first expend and pay all costs incurred before seeking reimbursement from the KOHS. Non-law enforcement grantees should use the Reimbursement Claim – Non Law Enforcement Projects TC 35-13 form (**Exhibit 9007**) and law enforcement agencies should use the Reimbursement Claim – Law Enforcement Overtime form TC 35-12 (**Exhibit 9006**). Two copies of the forms should be sent in monthly with the claims. To be eligible for reimbursement under this program, costs shall meet the following general criteria:

- The cost shall be necessary for proper and efficient administration of the contract.
- The cost shall be adequately identified in the contract.
- The cost shall 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 the National Highway Traffic Safety Administration's (NHTSA's) *Grant Management Manual* for further information.
- The cost shall be reasonable.
- The cost shall have been incurred during the effective dates of the contract, following approval and signing by all identified parties.
- The cost shall not be used as match for other federal grant programs.
- The cost shall not result in profit for the grantee or its employees.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** GRANTEE FINANCIAL GUIDELINES ***Subject*** Prohibited Costs

PROHIBITED COSTS

The following items are not eligible for funding through the Kentucky Office of Highway Safety (KOHS) grants:

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

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** GRANTEE FINANCIAL GUIDELINES ***Subject*** Payroll Procedures & Records

OVERVIEW

Compensation for personal services is allowable if:

- It is for services rendered during the contract period.
- It is reasonable and normal for the services rendered.
- Paid personnel are appointed in accordance with state and local government laws and rules.
- It is based on payrolls documented and approved in accordance with generally accepted accounting principles.
- It is supported by time and attendance records signed by both employee and supervisor.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** GRANTEE FINANCIAL GUIDELINES ***Subject*** Overtime Pay

APPLICABILITY Reimbursable overtime shall be strictly for traffic enforcement activities.

CALCULATING OVERTIME PAY 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 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.

Division of Highway Safety Programs

Section

GRANTEE FINANCIAL GUIDELINES

Subject

Employee Benefits

APPLICABILITY

Employee benefits are an allowable expense if they are provided pursuant to a leave system. Employee benefits may include the employer's contribution for Social Security, workers' compensation insurance, and pension plans.

COST ALLOCATION

The cost shall be equitably allocated to all activities. FICA shall not exceed 7.65% of submitted costs.

Division of Highway Safety Programs	*Section* GRANTEE FINANCIAL GUIDELINES
	Subject Purchasing

PURCHASING

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

EQUIPMENT PURCHASES

Law enforcement agencies receiving grants from the Kentucky Office of Highway Safety (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 TC 35-18 form, *Non-Expendable Property Accountability Record* **(Exhibit 9012)**. Equipment purchases shall 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 shall be liable to the KOHS for loss, theft, or damage to the equipment.

Any equipment purchases that exceed $5,000 or more shall have prior approval of the region 3 NHTSA administrator.

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 shall include an approved highway safety message. These items will need Region 3 NHTSA administrator approval.

The KOHS, LELs, and other non-law enforcement projects are eligible to purchase program enhancement items. Due to the KOHS network of LELs who distribute incentive items to law enforcement, law enforcement agencies are not eligible for incentive items within budget.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** GRANTEE FINANCIAL GUIDELINES ***Subject*** Travel Expenditures

ALLOWABLE COSTS

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

PROCEDURES

Travel reimbursements shall 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 Kentucky Office of Highway Safety (KOHS) for review prior to implementation of the grant contract.

Grantees must submit a completed TC 35-20 form, *Out-of-State/Overnight Travel Request* (**Exhibit 9014**), 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.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** GRANTEE FINANCIAL GUIDELINES ***Subject*** Project Income

POLICY The grantee shall not earn any income with respect to funds received through the Kentucky Office of Highway Safety.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Chapter*** GRANTS MANAGEMENT ***Subject*** Grantee Reimbursement Claim Procedures

GENERAL GUIDELINES

The Kentucky Office of Highway Safety (KOHS) shall only reimburse grantees for the completion of programmed and budgeted activities performed under the grant agreement. Project costs incurred prior to or after the contract period shall not be eligible for reimbursement, without Region 3 NHTSA approval. 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 shall be made using the required forms and shall be accompanied by proper documentation of expenses.

REIMBURSEMENT SCHEDULE

Grantee claims for reimbursement of expenses shall be submitted per the agreed contract approved by the KOHS. The reimbursement process shall be initiated upon receipt of a claim voucher and supporting documentation.

REIMBURSEMENT CLAIM FORM REQUIRED

Each reimbursement claim shall be submitted using two completed TC 35-12 form, (*Reimbursement Claim*), containing the original signature of the project director.

BACKUP DOCUMENTATION

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

- Personnel Expenses (salaries, wages, benefits)

  Law enforcement agencies shall document personnel expenses by completing the TC 35-14 form, *Overtime Worksheet* (**Exhibit 9008**), and TC 35-17 form, *Officers Overtime Detail Log* (**Exhibit 9011**). Non-law enforcement grantees shall document personnel expenses through copies of employer time sheets and payroll reports.

BACKUP DOCUMENTATION (CONT.)

- Travel and Training

  Expenses for approved travel and training shall be detailed on a completed TC 31-21 form, *Travel Reimbursement Request* (**Exhibit 9020**), with copies of receipts for expenses over $10 (hotel, registration fees, airfare, etc.). If approved within grant budget, meals shall be reimbursed using the state per diem rate. Meal expenditures do not require receipts.

- Contractual Services, Educational Materials, and Other Costs

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

- Equipment

  A copy of the invoice and front and back of the cancelled check that pays the invoice is required. Two completed copies of the TC 35-18 form, *Non-Expendable Property Accountability Record* (**Exhibit 9012**) are required. One copy is retained in the grantee's file and one copy is retained in the *Non-Expendable Property Accountability Record Log* for 3 years.

FINAL REIMBURSEMENT CLAIMS

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

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** GRANTEE REPORTING Activity Reporting

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 to the grantor shall include documentation of all enforcement, education, and other activities.

Law enforcement agencies' progress reports shall be in the form of a standardized monthly activity report (TC form 35-15, **Exhibit 9009**) plus the TC form 35-17, *Officer's Overtime Detail Log(s)* (**Exhibit 9011**), and, if a vehicle check point was established, a copy of the TC form 35-16, *Supplemental Checkpoint Reporting* form (**Exhibit 9010**). These forms are available on the KOHS website at:

http://transportation.ky.gov/Highway-Safety/Pages/Grants.aspx

Non-law enforcement agencies shall submit progress reports as a narrative document using the form TC 35-19, *Detailed Monthly Narrative* (**Exhibit 9013**). The narrative should include expected salary paid with federal funds, training and conference fees, workshops to be conducted and if for CPS events; locations, dates, and number of fittings completed.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** GRANTEE REPORTING ***Subject*** Final Reports

OVERVIEW

Each grantee shall submit a final cumulative report (**Exhibits 9015** and **9016**) summarizing activity for the funded period and addressing progress made toward goals and objectives outlined in the approved grant agreement. Reports shall present current local data to support his or her assessment of progress made. These reports are due no later than 30 days after the contract period has ended.

Division of Highway Safety Programs	*Section* PROJECT MONITORING
	Subject Purpose

PURPOSE

Traffic safety grant project monitoring provides a method of tracking progress and achievement of grant objectives. It also presents the opportunity to share information and assistance. The process is ongoing throughout the duration of the project, and monitoring functions as a management tool for project control. 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 achieves the following purposes:

- Regulates and assesses the status of the project
- Ensures compliance with state and federal requirements
- Assesses and assists in progress in the achievement of objectives
- Detects problems and identifies changes needed
- Ensures 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 **HSP-212-2** and **HSP-212-3**.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** PROJECT MONITORING ***Subject*** Desk Monitoring

OVERVIEW

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

PROGRAM MANAGER REVIEW

The Kentucky Office of Highway Safety (KOHS) program manager assigned to each specific grant project shall review grantee claims and 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.

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 are included

FINANCIAL MANAGER REVIEW (CONT.)

- 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, and post the expenditures to the project spreadsheet.

DEFICIENT REPORTING

If the program manager or financial manager finds any problems or deficiencies in a grantee's claim or activity report during desk monitoring, the manager may:

- Complete a Grant Risk Assessment Form (**Exhibit 9022**) based on information available as of the assessment date
- Notify the grantee by phone or email of problems, deficiencies, Grant Risk Assessment score (low, medium, high), expectations, and deadlines for the new requirements.

If the grantee fails to comply, KOHS shall return the claim to the grantee with a letter detailing the problem(s) encountered. The grantee shall not receive reimbursement of expenses until the corrected claim is resubmitted.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** PROJECT MONITORING ***Subject*** On-Site Monitoring

ON-SITE MONITORING

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

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 *Preparation for Monitoring Visit Checklist* (**exhibit 9019**) to aid him or her in preparing for the monitoring visit
- Confirm appointment three to five days in advance by telephone or email. Unless deficiencies have been noted then the KOHS is authorized to conduct an on-site visit without prior notification.

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 as to make this impractical. This decision shall be at the discretion of the Kentucky Office of Highway Safety (KOHS).

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 adequate records of activity are being maintained

ELEMENTS OF MONITORING VISIT (CONT.)

- Examine any program enhancement items purchased to ensure they contain an approved highway safety message
- Examine any equipment purchased to verify that it:
  - Conforms to invoices submitted for reimbursement
  - Is being utilized as approved
    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

MONITORING REPORT

Following an on-site monitoring visit, the program manager or LEL shall complete an on-site monitoring review report (**exhibit 9018**) 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 shall respond to the KOHS recommendations within 14 business days, detailing how they shall 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.

Kentucky Office of Highway Safety

Division of Highway Safety Programs

Chapter

GRANTS MANAGEMENT

Subject

Contract Noncompliance & Termination

OVERVIEW

In the event that a grantee is notified of problems or areas of noncompliance, as outlined in the monitoring sections (**HSP-212**), and does not take the necessary action to remedy the problems within an acceptable time frame, the Kentucky Office of Highway Safety (KOHS) may initiate termination of the grant contract. This sanction shall be imposed as a last resort when any subrecipient 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 KOHS Executive Director shall 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 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 shall require prior approval.

If either party terminates the contract, any equipment purchased with current-year grant funds shall be returned to the KOHS.

If a grant is terminated, funds will be reallocated in the next grant funding cycle.

Division of Highway Safety Programs

Chapter

GRANTS MANAGEMENT

Subject

High-Risk Grantees

OVERVIEW

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":

- Has a history of unsatisfactory performance. Unsatisfactory performance includes but is not limited to:
  - A lack of substantial progress on all goals and objectives as included in the signed grant agreement
  - An inability to properly expend the federal highway safety grant funds allocated to meet the goals and objectives as included in the signed grant agreement
  - A lack of participation in the National Highway Traffic Safety Administration (NHTSA) and the Kentucky Transportation Cabinet (KYTC)
- Is not financially stable
- Has a management system which does not meet the management standards set forth in this part
- Has not conformed to terms and conditions of previous awards
- Is otherwise not responsible if the grantor determines that an award shall be made and special conditions or restrictions shall correspond to the high-risk condition and shall be included in the award

KOHS staff may also complete a Grant Risk Assessment Form (**Exhibit 9022**) to determine the grantee's risk level (low, medium, high).

RESTRICTIONS

When the Kentucky Office of Highway Safety (KOHS) determines that a grantee is high-risk, special conditions and restrictions may include:

- Withholding authority to proceed to the next phase until receipt of evidence of acceptable performance within a given funding period
- Requiring additional and more detailed financial reports

RESTRICTIONS (CONT.)

- Requiring additional project monitoring
- Requiring grantee to obtain technical or management assistance
- Establishing additional prior approvals

NOTIFICATION

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

- The nature of the special conditions and restrictions
- The reasons for imposing the conditions and restrictions
- The corrective actions that must be taken before the conditions will be removed, and the time allowed for completing the corrective actions
- The method of requesting reconsideration of the conditions and restrictions imposed

Division of Highway Safety Programs	*Chapter* GRANTS MANAGEMENT
	Subject Kentucky Office of Highway Safety Financial Management

PURCHASING PROCEDURES

In making purchases, the Kentucky Office of Highway Safety (KOHS) shall follow the Kentucky Transportation Cabinet (KYTC) policies and procedures.

KOHS PROPERTY

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

MAINTENANCE OF GRANT FILES

The KOHS's financial manager shall create 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 shall be retained for at least 3 years following the conclusion of the grant cycle on September 30.

PROCESSING GRANTEE CLAIMS

A monthly consolidated voucher shall be forwarded to the KYTC Division of Accounts to process the reimbursement from the National Highway Traffic Safety Administration (NHTSA). Once approved, a file copy of the reimbursement document is retained. The financial manager shall verify that all NHTSA reimbursements have been applied to the correct funding program in eMARS.

- Local Agency Claims

  The financial manager shall complete a desk monitoring process (as stated in **HSP-212-2**). Once this process is complete, the Grants Tracking System (GTS) manager shall prepare a consolidated voucher and forward a copy of the voucher and each grantee claim to the financial manager, who shall prepare a payment document in eMARS and forward claims to the Assistant Director of KOHS for level one EMAR's approval. Then the payment document is forwarded to KYTC accounts for final approval and payment. When the payment document is approved, the State Treasury shall generate a reimbursement check and mail or EFT to the grantee. The financial manager shall run an eMARS query to reconcile payments. Upon

PROCESSING

GRANTEE CLAIMS (CONT.) completion of this process, the financial manager shall enter the claim data into Grants Tracking System (GTS).

- State Agency Claims

  State agency claims shall be 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 shall issue a journal voucher for the amount due to each agency. The financial manager shall notify each state agency by email and retain a file copy.

- In-House Program Claims

  The financial manager shall approve and retain a copy of all documentation and invoices paid against in-house programs quarterly. He or she shall reconcile all payments 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 shall prepare an in-house claim form for each program. The totals of each claim shall be entered on the consolidated monthly voucher and into GTS.

RECORDING The financial manager is responsible for financial transactions under the Highway Safety Plan (HSP), to include:

- Reimbursement vouchers
- HSP revisions
- Cost summaries
- Closeout by entering data into the computerized GTS as provided by NHTSA

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Chapter*** GRANTS MANAGEMENT ***Subject*** Annual Report

REQUIREMENTS & EXPECTATIONS

The Kentucky Office of Highway Safety (KOHS) shall submit an annual report to the National Highway Traffic Safety Administration (NHTSA), due no later than December 31st of the calendar 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 shall be given for each goal.

- How the projects and activities funded during the fiscal year contributed to meeting Kentucky's highway safety goals

  Note: When data is available, KOHS shall report progress from prior-year projects that have contributed to meeting current state highway safety goals.

Division of Highway Safety Programs	*Chapter* SAFETY EDUCATION PROGRAMS
	Subject General Program Guidelines

PURPOSE

This chapter establishes program guidelines for the Kentucky Office of Highway Safety (KOHS) Safety Education Branch, branch manager, and statewide program coordinators and their programs.

OVERVIEW

The Safety Education Branch shall develop, maintain, and provide highway safety educational programming that directly supports the National Highway Traffic Safety Administration (NHTSA), the Federal Highway Administration (FHWA), and the Kentucky Transportation Cabinet's (KYTC's) strategic highway safety plan. The specific programs listed below and their educational presentations shall be modified or deleted, based upon NHTSA, FHWA, and KYTC highway safety initiatives.

REQUIREMENTS & EXPECTATIONS

The Safety Education Branch shall maintain an established curriculum, lesson plans, and monthly activity sheet reflecting program activity. Current programs are listed below and detailed later in this chapter

- Seatbelt Safety (**HSP 302-1**)
- Child Passenger Safety (**HSP 302-2**)
- Motorcycle Safety (**HSP 302-3**)
- Corporate Outreach Safety (**HSP 302-4**)
- Impaired Driving Safety (**HSP 302-5**)
- Distracted Driving Safety (**HSP 302-6**)
- Young Drivers Safety (**HSP 302-7**)
- Mature Drivers Safety (**HSP 302-8**)
- Commodities (**HSP 302-9**)

PROGRAM COORDINATOR ASSIGNMENTS

The Safety Education Branch Manager shall assign a program coordinator to each highway safety educational program. This assignment shall be documented in the program coordinators' Performance Evaluation Plan.

PROGRAM COORDINATOR ASSIGNMENTS (CONT.)

Program coordinators' contact information shall appear on the KOHS website and the KOHS Facebook page. Program coordinators shall answer all content questions or concerns in a timely manner. Upon receipt of a question or concern by phone, fax, or email, program coordinators shall make initial contact within 24 hours.

Program coordinators, for their assigned programs, shall:

- Create and maintain lesson plans
- Ensure KOHS-approved lesson plans are utilized during scheduled events
- Complete an *After Actions Report* (AAR) **(Exhibit 9003)** for every event and maintain the AAR in a program file at the KOHS office
- Maintain any assigned training aids, computer equipment and programming, etc.

Program coordinators shall be responsible for conducting research in their assigned statewide programs and submit results and recommendations stemming from that research to the Safety Education Branch Manager no later than November 25 of each year.

BRANCH MANAGER ASSIGNMENTS

The Safety Education Branch Manager shall:

- Maintain the branch curriculum, review research, and approve scheduling of events and branch personnel
- Perform periodic program coordinator presentation (field) evaluations using the *Instructor Evaluation* form, review the results with the program coordinator, and maintain documentation in the program coordinator's file
- Investigate all complaints received concerning the Safety Education Branch
- Maintain a monthly total of the branch's statewide program activity and provide it to the administrative specialist for quality control and retention

COURSE INSTRUCTION & RESPONSIBILITY

The program coordinator shall answer all content questions or concerns in a timely manner.

- Upon receipt of a question or concern by phone, fax, or email, the program coordinator shall make initial contact within 24 hours.

COURSE INSTRUCTION & RESPONSIBILITY (CONT.)

The program coordinators, for their respective programs, shall:

- Create and maintain the lesson plans for his or her specific program
- Ensure the KOHS-approved lesson plan present during scheduled events
- Complete an *After Actions Report* (AAR) **(Exhibit 9003)** for every event and maintain the AAR in a program file at the KOHS office
- Maintain any training aids, computer equipment, programming, etc., common to their statewide educational program

RESEARCH

Each program coordinator shall be responsible for conducting research in his or her assigned statewide program. The results and recommendations of the research shall be turned in to the KOHS Education Branch administrative branch manager no later than November 25 of each year.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** AVAILABLE PROGRAMS ***Subject*** Seat Belt Safety Program

OVERVIEW

The Kentucky Office of Highway Safety (KOHS) Safety Education Branch shall develop, maintain, and provide highway safety educational programming that deals directly with seat belt safety. The program coordinator assigned to this program shall be responsible for all aspects of this statewide safety program.

REQUIREMENTS & EXPECTATIONS

The Seat Belt Safety Program shall emphasize the importance of seat belt usage during any and all vehicle operations. There are two separate educational experiences within this program: the "Rollover Simulator" and the "Bicycle, Seat Belt & CPS Safety" (not the CPS course) classroom experience. The established lesson plans shall be on-site for all training sessions. The lesson plans are located in the Safety Education Branch's established training curriculum.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** AVAILABLE PROGRAMS ***Subject*** Child Passenger Safety Program

OVERVIEW

The Kentucky Office of Highway Safety (KOHS) Safety Education Branch shall develop, maintain, and provide highway safety educational programming that deals directly with child passenger safety. The program coordinator assigned to this program shall be responsible for all aspects of this statewide safety program.

REQUIREMENTS & EXPECTATIONS

The Child Passenger Safety Program shall emphasize the proper techniques and provide information to properly install child passenger seats and safely secure children while riding in a motor vehicle.

Safe Kids Worldwide is responsible for providing the certification program and appropriate lesson plans for the Child Passenger Safety Program. The Child Passenger Safety program coordinator shall be fully certified by Safe Kids Worldwide as a CPS Technician, CPS Senior Checker, and CPS Instructor.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** AVAILABLE PROGRAMS ***Subject*** Motorcycle Safety Program

OVERVIEW

The Kentucky Office of Highway Safety (KOHS) Safety Education Branch shall develop, maintain, and provide highway safety educational programming that deals directly with motorcycle safety. The program coordinator assigned to this program shall be responsible for all aspects of this statewide safety program.

REQUIREMENTS & EXPECTATIONS

The Motorcycle Safety Program shall emphasize driver and motorist education on motorcycle safety, including but not limited to helmet safety and sharing the road. The National Highway Traffic Safety Administration (NHTSA) Motorcycle Safety Program shall be the core for any and all development of this program. Motorcycle safety lesson plans shall be on-site for all training sessions. The lesson plans are located in the Safety Education Branch's established training curriculum.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** AVAILABLE PROGRAMS ***Subject*** Corporate Outreach Safety Program

OVERVIEW

The Kentucky Office of Highway Safety (KOHS) Safety Education Branch shall develop, maintain, and provide highway safety educational programming that reaches out specifically to Kentucky's corporate establishment. The program coordinator assigned to this program shall be responsible for all aspects of this statewide safety program.

REQUIREMENTS & EXPECTATIONS

The Corporate Outreach Safety Program shall be the vehicle for placing all KOHS highway safety educational programming into Kentucky's businesses and corporations as a means of teaching employees the importance of highway safety. The Corporate Outreach Safety Program coordinator shall be the primary contact between KOHS and the private sector. KOHS-approved lesson plans shall be tailored for the customers' needs. When possible, the actual program coordinator (subject matter expert) shall be used at the actual event in tandem with the corporate outreach coordinator.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** AVAILABLE PROGRAMS ***Subject*** Impaired Driving Safety Program

OVERVIEW

The Kentucky Office of Highway Safety (KOHS) Safety Education Branch shall develop, maintain, and provide highway safety educational programming that deals directly with impaired driving safety. The program coordinator assigned to this program shall be responsible for all aspects of this statewide safety program.

REQUIREMENTS & EXPECTATIONS

The Impaired Driving Safety Program shall emphasize the dangers of drunk and drugged driving. There are four separate educational experiences within this program:

1. Fatal Vision Goggles
2. 3D Simulator
3. Ghost Out
4. Judgment Day

The established lesson plans shall be on-site for all training sessions. The lesson plans are located in the Safety Education Branch's established training curriculum.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** AVAILABLE PROGRAMS ***Subject*** Distracted Driving Safety Program

OVERVIEW

The Kentucky Office of Highway Safety (KOHS) Safety Education Branch shall develop, maintain, and provide highway safety educational programming that deals directly with distracted driving. The program coordinator assigned to this program shall be responsible for all aspects of this statewide safety program.

REQUIREMENTS & EXPECTATIONS

The Distracted Driving Safety Program shall emphasize the dangers of driving while distracted, including texting and cell-phone use. The Distracted Driving Safety Program has two training experiences within its training package:

1. Mock Crash
2. D2 Simulator

The established lesson plans shall be on-site for all training sessions. The lesson plans are located in the Safety Education Branch's established training curriculum.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** AVAILABLE PROGRAMS ***Subject*** Young Drivers Safety Program

OVERVIEW

The Kentucky Office of Highway Safety (KOHS) Safety Education Branch shall develop, maintain, and provide highway safety educational programming that deals directly with young drivers. The program coordinator assigned to this program shall be responsible for all aspects of this statewide safety program.

REQUIREMENTS & EXPECTATIONS

The Young Drivers Safety Program is designed to teach young and new drivers the dangers often facing inexperienced drivers. The Young Drivers Safety Program has one training experience within its training package: Sweet 16.

The established lesson plan shall be on-site for all training sessions. The lesson plans are located in the Safety Education Branch's established training curriculum.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** AVAILABLE PROGRAMS ***Subject*** Mature Drivers Safety Program

OVERVIEW

The Kentucky Office of Highway Safety (KOHS) Safety Education Branch shall develop, maintain, and provide highway safety educational programming that deals directly with mature drivers. The program coordinator assigned to this program shall be responsible for all aspects of this statewide safety program.

REQUIREMENTS & EXPECTATIONS

The Mature Drivers Safety Program is designed to teach mature and older drivers new tools, including:

- Current traffic safety laws
- Safe driving techniques
- Awareness of changing abilities and limitations brought about by physiological changes

The established lesson plan shall be on-site for all training sessions. The lesson plans are located in the Safety Education Branch's established training curriculum.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Section*** AVAILABLE PROGRAMS ***Subject*** Commodities

OVERVIEW

Commodities are defined as those products (key chains, pens, hats, etc.) purchased with federal funding and bearing NHTSA- or FHWA-approved slogans and logos that are given away to educational programming participants or at information booths.

REQUIREMENTS & EXPECTATIONS

Commodities requested for training or safety booths shall be considered on a case-by-case basis. Any request for commodities shall be submitted through the Safety Education Branch commodities representative.

It is not the Kentucky Office of Highway Safety's (KOHS's) responsibility to supply outside agencies with commodities. Any deviation from this policy requires prior approval from the KOHS executive director or the Safety Education branch manager.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Chapter*** SAFETY EDUCATION PROGRAMS ***Subject*** Event Program Form & Approval

OVERVIEW

An *Event Program Form* (EPF) (**Exhibit 9002**) has been created to standardize information and establish an easily recognizable format so all KOHS personnel can easily locate pertinent details and contact information. Kentucky Office of Highway Safety (KOHS) Safety Education Branch program coordinators shall speak with prospective customers throughout the Commonwealth of Kentucky and complete this form to acknowledge scheduling confirmation.

These agreements shall be documented and recorded on the KOHS electronic calendar.

REQUIREMENTS & EXPECTATIONS

The EPF is the only form to be used by KOHS personnel for the scheduling of events. The blank form shall be saved on every program coordinator's, administrative specialist's, and branch manager's computer desktops. It shall be completely filled out and approved by the branch manager prior to final event approval and application of the event to the KOHS electronic calendar.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Chapter*** SAFETY EDUCATION PROGRAMS ***Subject*** Qualifying Organizations

OVERVIEW

All Kentucky Office of Highway Safety (KOHS) educational programming is designed to familiarize students in Kentucky's educational system with facets of highway safety.

Through the Corporate Outreach Safety Program, employees of selected Kentucky businesses shall receive KOHS highway safety training.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Chapter*** SAFETY EDUCATION PROGRAMS ***Subject*** Event Scheduling

OVERVIEW

Due to Kentucky Office of Highway Safety (KOHS) staff and equipment limitations, it is imperative that event scheduling is conducted in a controlled fashion. KOHS leadership shall block out specific calendar dates for annual revolving or high-priority events. No additional events shall be scheduled during these calendar block-outs without preapproval from the Safety Education Branch Manager or the Executive Director of the Office of Highway Safety.

PRIMARY SCHEDULING

Primary scheduling shall be conducted by the branch's administrative specialist. The administrative specialist is the primary phone contact for the Safety Education Branch.

EXTERNAL REQUESTS FOR EVENTS

The *Event Program Form* (EPF) (**Exhibit 9002**) shall be reviewed to ensure the customer's requested date for the event does not conflict with previously approved scheduled events. The branch manager shall record the *Event Program Form* on the branch electronic calendar. Once assigned, the program coordinators shall contact the customer to develop specific event details as needed.

INTERNAL REQUESTS FOR EVENTS

The branch manager shall ensure that KOHS programs are targeting the top forty counties as defined by the KOHS Strategic Highway Safety Plan. The program coordinator shall initiate cold calls to prospective customers, establish customers' needs, complete the EPF, and ensure there is no conflict with previously approved scheduled events. The program coordinators shall complete the EPF on the branch electronic calendar, and notify the branch manager, who shall assign program coordinators. Once assigned, the program coordinators shall contact the customer to develop specific event details as needed.

SECONDARY SCHEDULING

Secondary scheduling results from customer contact with program coordinators during actual training events, safety information booths, or sporting events. The program coordinator shall obtain customer information and the basic event information, including prospective event dates. The branch manager shall complete the EPF for the program coordinator assignment.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Chapter*** SAFETY EDUCATION PROGRAMS ***Subject*** Program Event Reporting

PROCEDURE

Program coordinators shall complete an *After Action Report* (AAR) (**Exhibit 9003**) after every event and shall maintain an electronic file archiving events from their assigned safety program and an electronic file archiving events on which they provided assistance. Program coordinators shall electronically send the AARs to the Safety Education branch manager no later than 2 working days after the scheduled event.

Division of Highway Safety Programs	*Chapter* SAFETY EDUCATION PROGRAMS
	Subject Complaints

REPORTING PROCEDURE

Participants who feel they have been treated unfairly may file a complaint with the Safety Education Branch. The complainant may call or email the Safety Education Branch and speak with either the administrative specialist or the branch manager.

The complaint shall be filed within 10 calendar days of the alleged incident and shall be in writing and contain the following information:

- Name of complainant
- Contact information of complainant
- Employer information of complainant
- Name of KOHS employee against whom the complaint is made
- Specific details of the alleged incident
- Name of witnesses to the incident
- Date and approximate time of incident
- Complainant's signature and date signed

The signed written complaint shall be forwarded to the executive director either by mail or in person at:

Kentucky Office of Highway Safety
Attn: Executive Director
200 Mero Street; 4th Floor
Frankfort, KY 40622

COMPLAINT INVESTIGATION

Upon receiving a written complaint that meets the complaint reporting procedure requirements, the branch manager shall notify the executive director, who shall assign KOHS management to investigate the allegations.

COMPLAINT INVESTIGATION (CONT.) KOHS management assigned to investigate the complaint shall:

- Contact the KOHS employee against whom the complaint was filed and obtain a written statement describing his or her recollection of the incident
- Contact the complainant to ensure the specific details are accurate
- Present to the executive director an accumulative report with recommendations as to whether or not the allegations are substantiated

The executive director, as the appointing authority, shall have the responsibility of summary judgment and discipline per 101 KAR 1:345.

Kentucky Office of Highway Safety **Division of Highway Safety Programs**	***Chapter*** SAFETY EDUCATION PROGRAMS ***Subject*** Instructor Evaluation

OVERVIEW

The Safety Education branch manager shall monitor program coordinators in the field and perform instructor event evaluations using the *Instructor Evaluation* form **(Exhibit 9004).** The branch manager and the program coordinator shall sign the evaluation. The branch manager shall:

- Provide a copy of the signed Instructor Evaluation forms to the program coordinators.
- Include the signed evaluation forms in the program coordinators' files, to be used as part of the annual performance evaluation.

Kentucky Office of Highway Safety

Division of Highway Safety Programs

Chapter

SAFETY EDUCATION PROGRAMS

Subject

Reports Procedure

OVERVIEW

The Safety Education branch manager shall give the Kentucky Office of Highway Safety (KOHS) executive director reports for the following:

- Educational Activity
- GPS
- Fleet Mileage

These reports provide the executive director with information to assist with equipment and personnel forecasting.

SAFETY EDUCATION BRANCH ACTIVITY

Each month, the branch manager shall document the programs activity on the Activity Excel form. Programs activity is located in the Highway Safety folder on the N drive. The director of KOHS shall have access to the N drive and the Highway Safety folder.

GPS REPORTS

On Monday morning of each week, the branch manager shall access the Quadrant portal and process:

- Speeding and speeding duration reports on all KOHS-assigned vehicles
- Disclosure of all KOHS vehicle locations

The branch manager shall send an email to the executive director providing electronic attachments of the speeding and speeding duration reports. In the email, each vehicle's numbered identification and location shall be disclosed.

FLEET MILEAGE

The branch manager shall document a monthly review of all KOHS vehicle mileage. The date for each monthly review is posted on the KOHS electronic calendar. The branch manager shall use the fleet mileage Excel form to report beginning and ending mileage for the month and disclose the total mileage driven for each vehicle. The branch manager shall send a fleet mileage email containing the mileage Excel attachment to the executive director and the internal policy analyst assigned to the Division of Incident Management who deals directly with fleet mileage.

Kentucky Office of Highway Safety

Division of Highway Safety Programs

TABLE OF EXHIBITS

EXHIBIT #	FORM TITLE	MANUAL REFERENCE
9001	Organizational Chart	103-1
9002	Event Program Form	303
9003	After Action Report Form	301,305,306
9004	Instructor Evaluation Form	308
9005	Grant Application/Contract Conditions for Law Enforcement Overtime Projects, TC 35-11	204-2
9006	Reimbursement Claim – Law Enforcement Overtime, TC 35-12	209-6
9007	Reimbursement Claim – Non-Law Enforcement Projects, TC 35-13	209-6
9008	Overtime Worksheet, TC 35-14	210
9009	Activity Reporting, TC 35-15	211-1
9010	Supplemental Checkpoint Reporting, TC 35-16	211-1
9011	Officer's Overtime Detail Log, TC 35-17	210,211-1
9012	Non-Expendable Property Accountability Record, TC 35-18	209-11,210
9013	Detailed Monthly Narrative, TC 35-19	211-1
9014	Out-of-State/Overnight Travel Request, TC 35-20	209-12
9015	Final Reporting – Law Enforcement Projects, TC 35-21	211-2
9016	Final Reporting – Non-Overtime Enforcement Projects, TC 35-22	211-2
9017	Grant Application (CIOT), TC 35-23	204-2

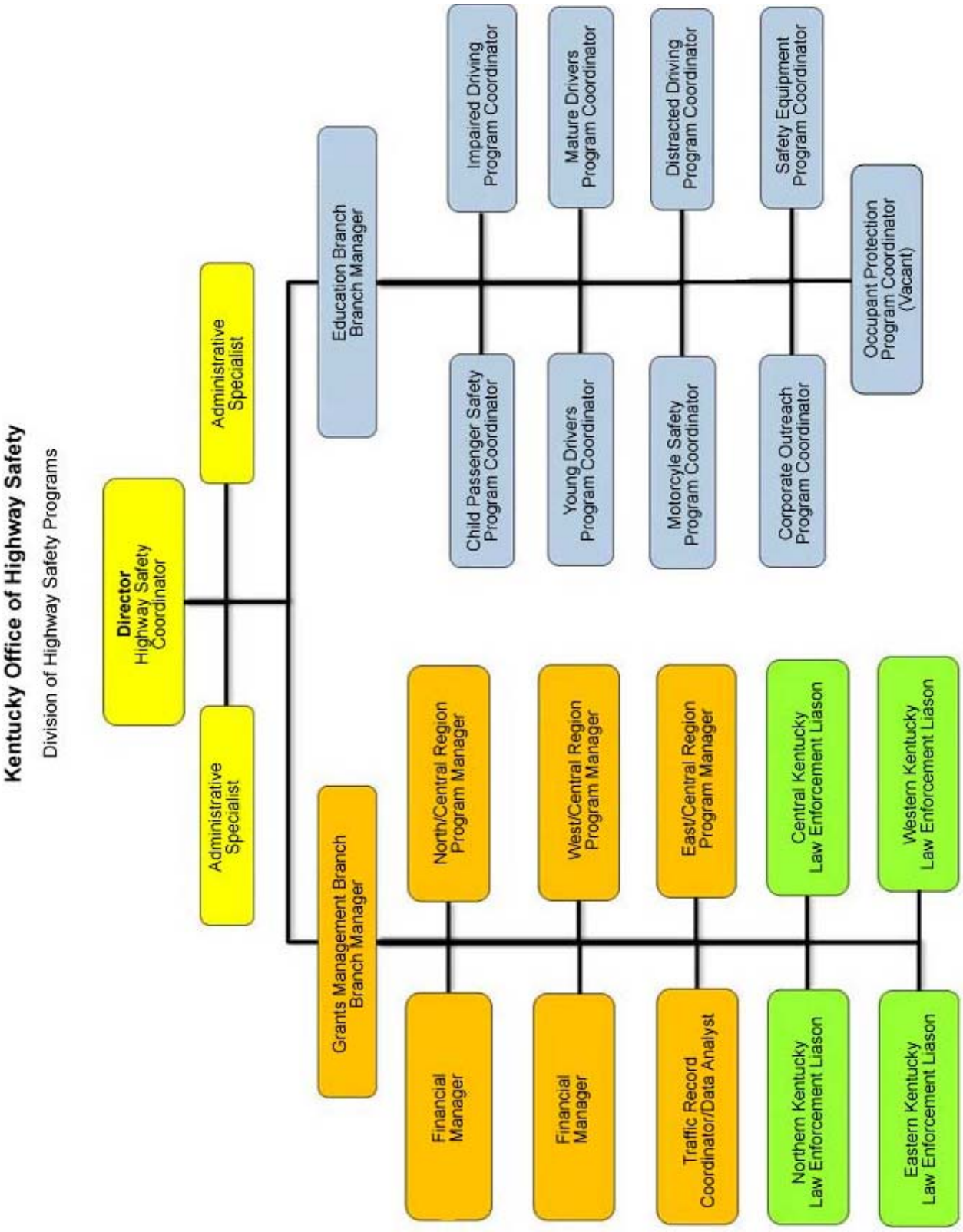
9018 On-Site Monitoring Review 212-3

9019 Preparation for Monitoring Visit Checklist 212-3

9020 e-MARS Travel Reimbursement, TC 31-21 210

9021 Required Affidavit for Bidders, Offerors, and Contractors 204-4

9022 Grant Risk Assessment Form 204-3, 212-2, 214


Kentucky Office of Highway Safety
Division of Highway Safety Programs
Director
Highway Safety Coordinator
Administrative Specialist
Administrative Specialist
Education Branch Branch Manager
Impaired Driving Program Coordinator
Mature Drivers Program Coordinator
Distracted Driving Program Coordinator
Safety Equipment Program Coordinator
Occupant Protection Program Coordinator (Vacant)
Child Passenger Safety Program Coordinator
Young Drivers Program Coordinator
Motorcyle Safety Program Coordinator
Corporate Outreach Program Coordinator
Grants Management Branch Branch Manager
North/Central Region Program Manager
West/Central Region Program Manager
East/Central Region Program Manager
Central Kentucky Law Enforcement Liason
Western Kentucky Law Enforcement Liason
Financial Manager
Financial Manager
Traffic Record Coordinator/Data Analyst
Northern Kentucky Law Enforcement Liason
Eastern Kentucky Law Enforcement Liason

Kentucky Office of Highway Safety

EVENT PROGRAM FORM

Program type:

Program details (indicate if part of a festival, special day/week/month such as Red Ribbon Week, prom or graduation, etc.)**:**

Coordinator working the event:

Coordinator region: **Highway district:**

County: **City:**

Date(s): **Time(s):**

Time of assembly for Ghost Out/Mock Crash/Judgment Day:

Assembly location (auditorium, gym, parking lot, football field, etc.)**:**

Location & address:

Approximate number of students/people:

In case of rain:

Driving directions:

Name of person filling out EPF:

Educational materials needed:

Local Contact Information

Name:
Organization and/or Title:
E-mail: **Phone(s):**
Is it ok to invite the media?

*Please alert them we do a media advisory before most events. If they do not wish to have this done, please let the Information Officer know by indicating above.

***NOTES: List the date of each phone call and update the planning on event.**

AFTER ACTION REPORT

Situation:

1. **Presentation Name:**
2. List where your presentation was held:
3. Host Point of Contact:
4. List the date/time of your presentation:
5. List KOHS Educational Branch presentation participants and their role during this event:
6. Date the AAR was completed:

Maneuver:

1. Identify equipment and vehicles used for this presentation:
   - Describe any shortcomings or difficulties.
2. Identify your scheme of maneuver – route and times:
   - Describe any shortcomings or difficulties.

Actions on the Objective:

3. Provide a summary of your presentation or event:
4. What went well and why?
   - What were the steps taken towards achieving success?

What can be improved and how?

- What could have been done better?
- What can we do differently in similar situations in the future to ensure success?
- What would be your advice to future presentation teams?

Instructor Evaluation

Course:_____ Date:_____ Facilitator:_____

Location:_____

Circle the appropriate rating for each prompt. The ratings follow the accepted Likert scale for survey research: (1 = Strongly disagree 2 = Disagree 3 = Neither agree nor disagree 4 = Agree 5 = Strongly agree).

	SD	D	N	A	SA
1. The course objective(s) were clearly stated.	**1**	**2**	**3**	**4**	**5**
2. The course objective(s) were met during this training session.	**1**	**2**	**3**	**4**	**5**
3. The information was presented in a logical and understandable manner.	**1**	**2**	**3**	**4**	**5**
4. The classroom discussions and exercises facilitated learning.	**1**	**2**	**3**	**4**	**5**
5. The facilitator was knowledgeable and prepared for the training.	**1**	**2**	**3**	**4**	**5**
6. The practical exercises were useful.	**1**	**2**	**3**	**4**	**5**
7. The facilitator had an established lesson plan.	**1**	**2**	**3**	**4**	**5**
8. The facilitator arrived early enough to set up and was prepared when the participants arrived	**1**	**2**	**3**	**4**	**5**
9. The facilitator was dressed appropriately	**1**	**2**	**3**	**4**	**5**
10. The facilitator was understandable; loud enough and clear	**1**	**2**	**3**	**4**	**5**

11. Additional Comments

_____
_____
_____
_____
_____

Kentucky Transportation Cabinet
Office of Highway Safety
GRANT APPLICATION/CONTRACT CONDITIONS
FOR LAW ENFORCEMENT OVERTIME PROJECTS

FY: 2017 **DUE DATE: February 29, 2016**

Funding decisions are made by committee and include consideration on the following: 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 federal 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: _____ Federal DUNS Number: _____

County: _____

Authorizing Official's Name: _____

Title: _____

Address: _____

City: _____ State: _____ Zip Code:

Telephone #: _____ Fax #: _____

Chief/Sheriff or Commissioner Name: _____

E-mail: _____

Project Director/Coordinator: **(cannot be the same as Authorizing Official or Fiscal Officer)**

Name: _____

Title: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone #: _____ Fax #: _____

E-mail: _____

Fiscal Officer/Payroll Clerk: _____

Title: _____

Address: _____

City: _____ State: _____ Zip Code: _____

Telephone #: _____ Fax #: _____ E-mail: _____

TO BE COMPLETED BY KOHS STAFF	
Grant #:	
Grant period:	10/1/2016 – 9/30/2017
Approval/Start date:	
CFDA Title:	
CFDA Number:	
Program Manager:	
Local Benefit:	☐Yes ☐No

Project Title: _____

Project Description: _____

Grantee Name: _____

Mailing Address for Reimbursement:

_____

_____

_____

Type of Project: ☐ Initial

Continuation
☐ 2nd year
☐ 3rd year
☐ 4th year
☐ 5th year or beyond

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

Personnel Services: $

Travel and Training: $

Equipment: $

Other Costs (Fuel): $

Total Budgeted Costs: **$**
(sum of above)

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

Fill in the information and statistics requested below for your jurisdiction. Instructions to obtain crash information can be found at 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: _____

Crash Data: Include all data for your jurisdiction, not only crashes worked by your agency.

	2015	2014	2013
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			

The above data represents: County ☐ City☐

Citation/Arrest Data Include only your agency data:	2015	2014	2013
Speeding Citations			
DUI Arrests (drug and alcohol)			
Seat Belt Citations			
Child Restraint Citations			

SECTION B-2: Problem Identification (Continued)

Provide a narrative of the highway safety problem in your community/jurisdiction. 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.

SECTION C: Goals and Objectives – LAW ENFORCEMENT OVERTIME PROJECTS

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. Federal Fiscal Years begin on October 1 and run through September 30th.

Impaired Driving:

☐ To decrease the number of impaired driving-related crashes _____% from _____ during Fiscal Year 2015 to _____ by September 30, 2017.

☐ To decrease fatalities in impaired driving-related crashes _____% from _____ in Fiscal Year 2015 to _____ by September 30, 2017.

☐ To decrease injuries in impaired driving-related crashes _____% from _____ in Fiscal Year 2015 to _____ by September 30, 2017.

☐ To increase the number of DUI arrests _____% from _____ during Fiscal Year 2015 to _____ by September 30, 2017.

Occupant Protection (Seat Belt Citation Goal Required):

☐ To decrease unrestrained passenger vehicle occupant fatalities _____% from _____ in Fiscal Year 2015 to _____ by September 30, 2017.

☐ To decrease unrestrained passenger vehicle occupant injuries _____% from _____ in Fiscal Year 2015 to _____ by September 30, 2017.

☒ To increase the number of seat belt citations _____% from _____ during Fiscal Year 2015 to _____ by September 30, 2017. Required

☐ To increase observed seat belt use in _____ city/county of front seat occupants in passenger vehicles from _____% in Fiscal Year 2015 to _____% by September 30, 2017.

Police Traffic Services:

☐ To decrease fatalities in speeding-related crashes _____% from _____ during Fiscal Year 2015 to _____ by September 30, 2017.

☐ To decrease injuries in speeding-related crashes _____% from _____ during Fiscal Year 2015 to _____ by September 30, 2017.

☐ To increase the number of speeding citations _____% from _____ during Fiscal Year 2015 to _____ by September 30, 2017.

Other Traffic Safety Problem Areas:

☐ To decrease fatalities _____% from _____ during Fiscal Year 2015 to _____ by September 30, 2017.

☐ To decrease traffic injuries _____% from _____ during FY 2015 to _____ by September 30, 2017.

☐ To decrease motorcyclist fatalities _____% from _____ during Fiscal Year 2015 to _____ by September 30, 2017.

☐ To decrease unhelmeted motorcyclist fatalities _____% from _____ during Fiscal Year 2015 to _____ by September 30, 2017.

☐ To decrease drivers age 20 or younger involved in fatal crashes by _____% from _____ during Fiscal Year 2015 to _____ by September 30, 2017.

☐ To decrease pedestrian fatalities _____% from _____ during Fiscal Year 2015 to _____ by September 30, 2017.

SECTION D: Strategies and Activities

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, 2017.*
- *Officers will work saturation patrols and traffic safety checkpoints during the "Click It or Ticket", "Blue Lights Across the Bluegrass" and the "Drive Sober or Get Pulled Over" mobilizations.*
- *Project director will purchase approved equipment within 30 days of the approved start date.*

SECTION D Continuation: Strategies and Activities

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

Subtotal:

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

Governors Highway Safety Association (GHSA) Conference
Sept 2017 Louisville, KY (registration, lodging, parking): $1,000.00

Subtotal:

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

Subtotal:

4. **Other Costs**: Include costs of expenditures that do not fit into the above categories – list separately. ***Law enforcement may request fuel costs in this category figured at 10% of total overtime amount - Fuel will not be included unless requested.***

Subtotal:

Total Budgeted Federal Costs
(Must equal Proposed Budget Summary 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 unless otherwise stated within the contracts strategies and activities.

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. 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. The Kentucky Office of Highway Safety reimburses for direct costs only. 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.
   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

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

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 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 personnel 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 number of fatal crashes occurring during nighttime hours and specifically lower nighttime seat belt usage, each law enforcement agency shall dedicate a minimum of 50% of their overtime to nighttime 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

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.

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.

Kentucky Transportation Cabinet
Division of Highway Safety Programs

TC 35-12
02/2011

REIMBURSEMENT CLAIM - LAW ENFORCEMENT OVERTIME

2 COPIES WITH ORIGINAL SIGNATURES MUST BE SUBMITTED
Email: www.highwaysafety.ky.gov Phone: (502) 564-1438

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)

Cost Categories	Actual Cost	Match Amount	Federal Amount
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

FOR INTERNAL USE ONLY	
Program Manager Approval	
Financial Manager Approval	

Kentucky Transportation Cabinet
Division of Highway Safety Programs

TC 35-13
02/2011

REIMBURSEMENT CLAIM - NON-LAW ENFORCEMENT PROJECTS

2 COPIES WITH ORIGINAL SIGNATURES MUST BE SUBMITTED
Email: www.highwaysafety.ky.gov Phone: (502)564-1438

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)

Cost Categories	Actual Cost	Match Amount	Federal Amount
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

FOR INTERNAL USE ONLY	
Program Manager Approval	
Financial Manager Approval	

Kentucky Transportation Cabinet
Division of Highway Safety Programs
OVERTIME WORKSHEET

TC 35-14
02/2011

Note: benefits calculation rate (%) must be entered manually **www.highwaysafety.ky.gov PH: (502)564-1438**

Grant Name: Highway Safety **Grant Number:**

Agency Name: **Date:** **Claim #:**

				Employer Pd Benefits (Opt)			
Officer Name	**Hours Worked**	**OT Hourly Rate**	**Gross Pay**	**FICA(%)** 0.00%	**RET(%)** 0.00%	**W.COMP(%)** 0.00%	**Officer Total**
Totals							

SIGNED HARD COPY MUST BE SUBMITTED

Fiscal Officer's Name: (please print)

Fiscal Officer's Signature:

Kentucky Transportation Cabinet
Division of Highway Safety Programs
ACTIVITY REPORTING

TC 35-15
02/2011

Grant Name: Highway Safety _____ Grant Number: _____

Agency Name: _____ Reporting Month/Year: _____

Monthly Patrol Enforcement/ Activity

Total **Patrol** 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-**Check Pt** Hours			
Checkpoint Date:		Location:	
Start Time: (Military Time *)		# of Officers:	
End Time: (Military Time *)		Estimated # Vehicles Through	
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

Kentucky Office of Highway Safety www.highwaysafety.ky.gov 502-564-1438

Kentucky Transportation Center
Division of Highway Safety Programs

TC 35-16
02/2011

SUPPLEMENTAL CHECKPOINT REPORTING

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:			
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

Total Officer-Check Pt Hours:			
Checkpoint Date:		Location:	
Start Time: (Military Time *)		# of Officers:	
End Time: (Military Time *)		Estimated # Vehicles Through	
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

Total Officer-Check Pt Hours:			
Checkpoint Date:		Location:	
Start Time: (Military Time *)		# of Officers:	
End Time: (Military Time *)		Estimated # Vehicles Through	
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

Certified Correct By:

_____
Project Director (please print)

_____
Project Director (signature)

Signed Hard Copy Must be Submitted

Kentucky Office of Highway Safety www.highwaysafety.ky.gov 502-564-1438

Kentucky Transportation Cabinet
Division of Highway Safety Programs
OFFICERS OVERTIME DETAIL LOG

TC 35-17
02/2011

www.highwaysafety.ky.gov

Phone: (502)564-1438

Grant Name: Highway Safety _____ Grant Number: _____

Agency Name: _____ Odometer Start: _____ Odometer End: _____

Date _____

Time Beginning _____ Time Ending _____ Total OT Hours Worked _____

Traffic Safety Checkpoint (Y/N) _____

Citation Number	Violator's Last Name	Location/Roadway(s)	Charge Description

Activity Logs MUST be attached to Overtime Worksheet before reimbursement can be processed

Officer's Name: (please print) _____ **Officer's Signature** _____

Supervisor's Name: (please print) _____ **Supervisor's Signature** _____

Signed Hard Copy MUST be submitted

Totals for this page:

Total Arrests: DUI _____ Other Arrests _____

Total Citations: Speeding _____ Seat Belt _____ Child Restraint _____

Other Traffic Citations _____

Written Traffic Warnings _____

Page _____ of _____

Kentucky Transportation Cabinet
Division of Highway Safety Programs

TC 35-18
02/2011

NON-EXPENDABLE PROPERTY ACCOUNTABILITY RECORD

Grant Name: Highway Safety Grant Number: _____

Agency Name: _____ Date: _____

Serial #	Property #	Equipment Description	Location	Acquisition Cost	Date

Applicant agency agrees to immediately notify the Kentucky Office of Highway Safety Grants Management Branch if any of the above equipment ceases to be used in the highway safety program for which it is purchased. In such event, applicant agency is required to request disposition instructions.

Project Director's Name: (please print) _____

Project Director's Signature: _____

Kentucky Office of Highway Safety www.highwaysafety.ky.gov **502-564-1438**

Kentucky Transportation Cabinet
Division of Highway Safety Programs
DETAILED MONTHLY NARRATIVE

TC 35-19
02/2011

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.

Kentucky Transportation Cabinet
Division of Highway Safety Programs
OUT-OF-STATE/OVERNIGHT TRAVEL REQUEST

TC 35-20
03/2011

Agency: _____

Grant Number: _____

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 (please print)

_____ _____
Project Director (signature) **Date**

Grants Management Branch Review

__ Travel — Conditions (if applicable): _____

__ Travel Denied — See comments below: _____

GMB Representative: _____ Date _____

Signed Hard Copy Must be Submitted

Kentucky Office of Highway Safety www.highwaysafety.ky.gov 502-564-1438

Kentucky Transportation Cabinet
Division of Highway Safety Programs

TC 35-21
02/2011

FINAL REPORTING – LAW ENFORCEMENT PROJECTS

Activities Completed: October 1, - September 30,
Return by November

Agency Name:

Project Director: **E-mail address:**

Grant Number: **Phone Number:** **Fax Number:**

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

> ***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.

<u>Section II</u>: Indicate information below for activity during federal overtime during FY (October 1, -September 30,)

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:

Please return to:

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

Kentucky Transportation Cabinet
Division of Highway Safety Programs

TC 35-22
02/2011

FINAL REPORTING – NON-OVERTIME ENFORCEMENT PROJECTS

Activities Completed: October 1, - September 30,
Return by November

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, .

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 4th floor
Frankfort, KY 40622
highwaysafety.ky.gov

Kentucky Transportation Cabinet
Office of Highway Safety
GRANT APPLICATION (CIOT)

TC 35-23
02/2012
Page 1 of 1

FY: 2012
CIOT

DUE DATE: **12 noon - Feb. 13, 2012**

Return to:
Kentucky Transportation Cabinet, Office of Highway Safety
200 Mero Street, 4th Floor East, Frankfort KY 40622

In order for your agency to be considered for a Click It or Ticket mini- grant, you must complete and **submit this form to the Kentucky Office of Highway Safety**. Approval of mini-grants are based on analysis of crash data, 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.

SECTION A: AGENCY APPLICATION INFORMATION

Contracting Agency/Applicant: _____

Federal DUNS Number: _____

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 #: _____

Revised 2-2-2011

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:	Name:
Title:	Title:
Name:	Name:
Title:	Title:

Project Focus:

1

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?	☐	☐	☐
2.	Does grantee maintain a balance sheet for their grant budget?	☐	☐	☐
3.	Has equipment been purchased?	☐	☐	☐
4.	Is equipment installed/being utilized?	☐	☐	☐
5.	Does grantee submit monthly claims in a timely manner?	☐	☐	☐
6.	Are contact & warning ratios acceptable?	☐	☐	☐
7.	Has grantee returned the OMB 133 Certification form?	☐	☐	☐
8.	Has grantee submitted a copy of their OMB 133 single audit report if expended more than $500,000 in federal funds?	☐	☐	☐
9.	Does agency access CRASH database to monitor crash data?	☐	☐	☐
10.	Does the grantee need further assistance from KOHS? If yes, specify:	☐	☐	☐

Section 2 – Status of Project Implementation

A. Implementation Schedule Review:

	Yes	No
Are the project activities being performed as scheduled?	☐	☐

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

2

Revised 2-2-2011

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)

3

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

4

(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.

KENTUCKY TRANSPORTATION CABINET
Office of Budget and Fiscal Management
DIVISION OF ACCOUNTS

TC 31-21
Rev. 07/2013
Page 1 of

TRAVEL REIMBURSEMENT REQUEST

SECTION 1: DOCUMENT INFORMATION

DATE	TE AUTHORIZATION #	TP DOCUMENT #

SECTION 2: EMPLOYEE INFORMATION

NAME	POSITION TITLE *(per class spec)*	EMPLOYEE ID	
HOME ADDRESS *(street)*	CITY	STATE	ZIP
WORK ADDRESS *(street)*	CITY	STATE	ZIP
WORK LOCATION	DIVISION/DISTRICT		DEPT CODE

SECTION 3: TRAVEL REIMBURSEMENT SUMMARY

AMOUNTS BELOW ARE CALCULATED.

W-2 Reportable MEALS	
LODGING	
PER DIEM	
PARKING & TOLLS	
POV - MILEAGE	
AIRFARE	
REGISTRATION	
OTHER	
TOTAL	

Mileage Reimbursement Rate

Plate Number of State Vehicle Driven

TRAVELER MUST BE IN TRAVEL STATUS DURING THE ENTIRE MEAL PERIOD.

RATE (*Check one.*)	6:30 AM - 9 AM	11 AM - 2 PM	5 PM - 9 PM
☐ Low Rate	$7.00	$8.00	$15.00
☐ High Rate	$8.00	$9.00	$19.00

Above are meal reimbursement rates for travel that includes overnight lodging in state and authorized travel out of state. All lodging receipts must be attached.

PURPOSE OF TRIP *(Describe in detail.)*

SECTION 4: SIGNATURE CERTIFICATION

Subject to the provisions of KRS 523.100 (Unsworn Falsification to Authorities), I hereby certify that the amounts above represent proper charges by a statutory employee of the Commonwealth in the discharge of official business and that data furnished within the eMARS travel system are true and correct to the best of my knowledge.

EMPLOYEE NAME *(Print.)*		SUPERVISOR NAME *(Print.)*	
SIGNATURE *(employee)*	DATE	SIGNATURE *(supervisor)*	DATE

KENTUCKY TRANSPORTATION CABINET
Office of Budget and Fiscal Management
DIVISION OF ACCOUNTS

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TRAVEL REIMBURSEMENT REQUEST

NAME	POSITION TITLE *(per class spec)*	EMPLOYEE ID	DOCUMENT NUMBER

SECTION 5: TRAVEL DETAIL

DATE M/D	DEPARTURE TIME	RETURN TIME		LOCATION	MILEAGE Point to Point	MILEAGE Vicinity	Tolls & Parking	Lodging	Per Diem	Totals
			From						B	
									L	
			To					SP ☐	D	
Purpose										
			From						B	
									L	
			To					SP ☐	D	
Purpose										
			From						B	
									L	
			To					SP ☐	D	
Purpose										
			From						B	
									L	
			To					SP ☐	D	
Purpose										
			From						B	
									L	
			To					SP ☐	D	
Purpose										
			From						B	
									L	
			To					SP ☐	D	
Purpose										
			From						B	
									L	
			To					SP ☐	D	
Purpose										
			From						B	
									L	
			To					SP ☐	D	
Purpose										
				TOTALS FOR THIS PAGE						
				TOTALS FROM ALL CONTINUATION PAGES						

KENTUCKY TRANSPORTATION CABINET
Office of Budget and Fiscal Management
DIVISION OF ACCOUNTS

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TRAVEL REIMBURSEMENT REQUEST

(INCLUDING RELATED EXPENSES)

NAME	POSITION TITLE *(per class spec)*	EMPLOYEE ID	DOCUMENT NUMBER

SECTION 6: OTHER EXPENSES

OTHER AIRFARE, REGISTRATION, & W-2 REPORTABLE MEAL EXPENSES

DATE	ITEM OF EXPENSE	EXPLANATION	AMOUNT
	AIRFARE	Airfare paid by employee	
	REGISTRATION FEE	Registration fees paid by employee	
	W-2 REPORTABLE MEALS	Meals reportable as defined by IRS regulation	

OTHER AIRFARE, REGISTRATION & W-2 REPORTABLE MEAL EXPENSES
(commuting cost, car rental, miscellaneous expense)

		TOTAL	

SECTION 7: INSTRUCTIONS & REGULATION REFERENCES

For instructions, see Accounts Manual. *Forms must be typed or legibly prepared in ink. Subsistence includes meals, taxes, and tips. Subsistence cannot be claimed for meals included in registration fees or included in other reimbursements.*

Below are rates for travel that includes overnight lodging. All lodging receipts must be attached.

TRAVELER MUST BE IN TRAVEL STATUS DURING THE ENTIRE MEAL PERIOD.	6:30 AM - 9 AM	11 AM - 2 PM	5 PM - 9 PM
For authorized travel in Kentucky and U.S. except "high-rate" areas listed by the Secretary of Finance and Administration, traveler may claim:	$7.00	$8.00	$15.00
For authorized travel in "high-rate" areas listed by the Secretary of Finance and Administration, traveler may claim:	$8.00	$9.00	$19.00

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: _____

Kentucky Office of Highway Safety Grant Risk Assessment

Review Date:

Reviewer:

Grantee Information

Project Manager

Emphasis Area

Grant Period

Requested funds

		Choose Y/N
1.	**Grantee prior experience with similar or sub-awards**	
a.	Has the grantee had prior experience with federal, state or municipal grants?	
b.	Has the grantee had 3 or more years experience with grant management?	
	Explain:	
2.	**Determine results of audits**	
a.	Did the grantee receive a single audit in accordance with 2 CFR Part 200 Subpart F?	
b.	Was the same or similar audited last year?	
c.	Was the audit opinion unqualified?	
	Explain:	
3.	**Determine if the grantee has new or substantial systemic changes**	
a.	Has the chain of authority remained unchanged since last grant?	
b.	Has the grantee organization remained unchanged during the previous year?	
c.	Is the grantee accounting system the same as previous year?	
	Explain:	
4.	**Determine the extent and results of other grant awards monitoring**	
a.	Has the grantee received funding from other awarding agencies?	
b.	Did the other agencies determine that there were no compliance issues?	
	Explain:	
5.	**Determine if the grantee has been consistent and timely with submissions of:**	
a.	Grant application (on or prior to due date)	
b.	Amendments/Budget/Revisions	

KOHS High Risk Assessment HW

c. Claim vouchers

d. Activity Reports & Annual report (completed)

6. **Has the grantee attended or participated in KOHS programs as follows:**

a. Kentucky Life Savers Conference

b. CIOT national enforcement campaign

c. DSOGPO national enforcement campaign

d. LEL Area Briefings

7. **Determine if the grantee's previous performance and activities were met?**

a. Have the grantee program activities met goals and objectives?

b. Were there any corrective actions taken during the grant, when not met?

Explain:

RATING SCALE		*Total :*	
Grantees will be placed in one of the following risk areas:		*# of* ***NO's***	
LOW	Grantee is considered low risk for monitoring issues	0-5	
MEDIUM	Grantee is considered medium risk for monitoring issues	6-10	
HIGH	Grantee is considered high risk for monitoring issues;	11-21	

Risk Actions	High	Medium	Low
Standard monitoring – including phone calls, emails and onsite meeting with grantee	X	X	X
Reviewing quarterly progress reports.	X	X	X
Require 100% documentation for reimbursement.	X	X	X
Withhold full or partial payments pending single audit results or quarterly reports.	X	X	X
Schedule onsite monitoring reviews of project operations, management, and financial records and systems with grantee.	X	X	
Provide training and technical assistance on program related matter.	X	X	
Review the corrective actions and determine if they followed up on the corrective actions.	X		
Consider whether the results of the audits et.al. necessitate adjustments to the pass through entities own records.	X		
Consider taking enforcement action against the non-compliant grantee.	X		

KOHS High Risk Assessment HW