GHSA Policy Manual – Master Table of Contents

Chapter 1

Introduction

|  |  |
| --- | --- |
| I. Introduction | 1-2 |
| A. Background and Purpose | 1-2 |
| B. Updating Manual | 1-3 |
| C. Reference to State Department Policies and Procedures | 1-4 |
| D. Federal Laws and Regulations | 1-5 |
| i. Highway Safety Act of 1966 | 1-5 |
| ii. OMB Uniform Guidance FY 2016 Grants | 1-5 |
| iii. Lobbying Restrictions | 1-5 |
| iii. Internal Management Controls | 1-6 |
| iv. Internal Management  | 1-6 |
| v. Other Applicable Office of Management and Budget Circulars | 1-6 |
| vi. Documents Available on the Internet  | 1-6 |
| E. State Laws and Regulations | 1-7 |

Chapter II

Planning

|  |  |
| --- | --- |
| II. Planning | 2-3 |
| A. Overview and Eligible Program Uses | 2-3 |
| B. Highway Safety Performance Plan Development Process and Calendar | 2-5 |
| i. NHTSA Review, Approval Procedures and Appeal Procedures | 2-5 |
| ii. HSP Development Process Calendar | 2-6 |
| Table 1. HSP Development Process Calendar | 2-6 |
| C. Coordination with the State Strategic Highway Safety Plan | 2-7 |
| D. Governors Highway Safety Association HSP Guidance | 2-8 |
| E. Identification of State and Local Problems (Data Analysis Procedure) | 2-9 |
| Table 2. Categories of Traffic Safety Data | 2-9 |
| Table 3. Questions to Help with Data Analysis and Problem Identification | 2-10 |
| Table 4. Information that May Be Applied to Problem Analysis | 2-10 |
| F. Key Program Areas, Targets and Strategies | 2-11 |
| i. Description of Target Setting Processes | 2-11 |
| ii. Performance Targets | 2-11 |
| iii. Evidence-Based Countermeasure Strategies | 2-12 |
| iv. Evidence-Based Traffic Safety Enforcement Program | 2-13 |
| v. National Mobilizations | 2-13 |
| G. Performance Measures | 2-14 |
| H. Section 405 Application Information and Section 1906 | 2-17 |
| i. Maintenance of Effort | 2-17 |
| ii. Planning and Administration (P&A) Costs | 2-17 |
| iii. Eligible Uses of Section 405 Funds | 2-18 |
|  iv. NHTSA Section 405 Award Determinations and Appeals | 2-19 |
|  v. Racial Profiling Data Collection Grants | 2-20 |
| I. Performance Report | 2-21 |
| J. Teen Traffic Safety Program  | 2-22 |
| K. Public Outreach | 2-23 |
| L. Funding and the Program Cost Summary  | 2-24 |
| i. Program Cost Summary Form  | 2-24 |
| ii. Highway Safety Improvement Program Funds and Other Funding Sources | 2-24 |
| iii. Planning and Administration Costs | 2-25 |
| iv. Automated Traffic Enforcement Systems Prohibition and Survey | 2-25 |
| v. Motorcycle Checkpoint Funding Prohibition | 2-25 |
| vi. Apportionment and Obligation of Federal Funds | 2-25 |
| M. Benefit to Locals  | 2-26 |
| N. Transfer Funds | 2-27 |
| O. Advertising | 2-28 |
| P. Certifications and Assurances-Appendix A  | 2-29 |
| Q. Three Years Plus One Federal Obligation Restriction | 2-30 |
| R. Fund Liquidation | 2-31 |
| S. Delegation of Authority | 2-32 |
| Table 5. Delegation of Signature Authority  | 2-32 |
| T. Federal Spending Transparency | 2-33 |
| U. Buy America Act | 2-34 |

Chapter III

Project Development

|  |  |
| --- | --- |
| III. Project Development | 3-2 |
| A. Overview | 3-2 |
| B. Request for Proposal  | 3-3 |
| C. Project Director’s Manual | 3-4 |
| D. Grant Development Calendar | 3-5 |
| Table 6. Project/Grant Development Calendar | 3-5 |
| E. Grant Proposal Preparation Process  | 3-6 |
| i. Time Period  | 3-7 |
| ii. Problem Identification | 3-7 |
| iii. Agency Qualifications | 3-7 |
| iv. Project Goals | 3-8 |
| v. Project Objective and Targets | 3-8 |
| Table 7. Target Audiences and Target Areas | 3-8 |
| vi. Performance Measures/Evaluation | 3-9 |
| vii. Budget | 3-10 |
| viii. Contractual Services | 3-11 |
| ix. Travel and Subsistence | 3-12 |
| x. Grant Extensions | 3-12 |
| xi. Subrecipient Matching Funds | 3-12 |
| F. State Agency Grant Agreements | 3-13 |
| G. Multiple Funding Sources | 3-14 |

Chapter IV

Grant Selection and Execution

|  |  |
| --- | --- |
| IV. Grant Selection and Execution | 4-2 |
| A. Proposed Grant Application Submission Process | 4-2 |
| B. Grant Application/Distribution Log | 4-4 |
| C. Grant Selection Process | 4-5 |
| i. HSO Initial Review | 4-5 |
| ii. Grant Review Team | 4-6 |
| iii. Grant Proposal Evaluation Procedure | 4-6 |
| iv. Pre-Award Risk Assessment | 4-7 |
| v. Grant Negotiations | 4-7 |
| Table 8. Project Proposal and Grant Agreement Preparation Process Overview | 4-8 |
| iv. Award | 4-8 |
| vii. Debriefing Conferences | 4-8 |
| D. Final Grant Agreement Preparation | 4-9 |
| i. Federal requirements | 4-9 |
|  ii. Special Conditions | 4-9 |
| iii. Signatures | 4-9 |
| iv. Subrecipient Certification | 4-10 |
| E. NHTSA Equipment Purchase and Disposition Approval of $5,000 or More | 4-12 |
| F. Reporting Requirements | 4-14 |
| i. Quarterly Progress Reports | 4-14 |
| ii. Final Progress Report | 4-14 |
| iii. Special Progress Reporting | 4-14 |
| G. Grant and HSP Revisions | 4-15 |
| H. Development of Highway Safety Office Internal Grants | 4-17 |
| i. P&A Match Requirement | 4-17 |
| ii. HSO Employee Time Allocation and Certification Requirements | 4-18 |
| iii. Time and Attendance Records | 4-19 |
| iv. Subrecipient Timekeeping Requirements | 4-19 |
| v. HSO Invoicing and Reporting | 4-19 |

# Chapter V

# Grant Administration and Management

|  |  |
| --- | --- |
|  |  |
| V. Grant Administration and Management | 5-3 |
| A. Overview | 5-3 |
| B. Grant Management | 5-4 |
| C. Submission of Claims | 5-5 |
| i. Conditions | 5-5 |
| ii. Payment Procedures | 5-5 |
| iii. Documentation | 5-5 |
| iv. Reimbursement Policy | 5-6 |
| v. Advances | 5-6 |
| D. Public Information and Education (PI&E) | 5-7 |
| i. Promotional Items Prohibited | 5-7 |
| ii. Educational Materials | 5-7 |
| iii. Equipment | 5-8 |
| iv. Safety Items for Public Distribution | 5-8 |
| v. Recognition Awards | 5-8 |
| vi. Advertising | 5-8 |
| vii. Sports Marketing | 5-9 |
| E. Procurement of Goods and Services – Contracts | 5-10 |
| i. State Contracts | 5-10 |
| ii. Department Procurement Procedures | 5-10 |
| F. Food/Beverage Costs  | 5-11 |
| i. HSO and Subrecipient Purchases – Federal Requirements | 5-11 |
| ii. HSO Purchases – State Requirements | 5-11 |
| G. Property Management | 5-12 |
| i. Federal and State Requirements and Thresholds | 5-12 |
| ii. Subrecipient Property Management Systems | 5-12 |
| iii. Subrecipient Property Records Requirements | 5-13 |
| iv. Subrecipient Inventory | 5-13 |
| v. HSO Inventory | 5-13 |
| vi. Tagging | 5-14 |
| vii. Disposition | 5-14 |
| H. Subrecipient Travel | 5-15 |
| i. Subrecipient Travel Costs | 5-15 |
| Table 9. Requirements for Approval of Travel under a Grant | 5-15 |
| ii. Costs of Advisory Councils | 5-16 |
| I. Indirect Costs  | 5-17 |
| J. Program Income | 5-20 |
| K. Supplanting | 5-22 |
| L. Subrecipient Training | 5-23 |
| M. Grant File Maintenance | 5-24 |
| N. Monitoring | 5-25 |
| i. Purpose | 5-25 |
| ii. Types of Monitoring | 5-25 |
| iii. Major Elements of Monitoring Procedures | 5-26 |
| Table 10. Monitoring Criteria | 5-26 |
| iv. Ongoing Monitoring | 5-26 |
| v. Onsite Monitoring | 5-27 |
| Table 11. Source Documents Reviewed During Onsite Monitoring | 5-28 |
| Table 12. Onsite Monitoring Warning Signs | 5-29 |
| O. Fraud Prevention | 5-30 |
| i. Special Attention for High-Risk Grant Activities | 5-30 |
| ii. Recognition of Risk Factors for Personnel Services Grants | 5-30 |
| iii. Incorporation of Prevention Strategies into HSO Policies and Monitoring Practices | 5-30 |
| iv. Preventive Oversight for Law Enforcement Agencies | 5-31 |
| v. Utilization of Federal and Other Training Resources | 5-31 |
| P. Resolution of Monitoring and Other Findings | 5-33 |
| i. Minor Findings | 5-33 |
| ii. Repeated Incidence/More Serious Findings | 5-33 |
| iii. Significant Findings Requiring Immediate Action | 5-33 |
| iv. Resolution of Repeated, More Serious and Significant Findings | 5-34 |
| v. Removal of “Grantee on Notice” Status | 5-35 |
| Q. Monitoring Calendar | 5-36 |
| Table 13. HSO Monitoring Calendar based on Federal Grant Year | 5-36 |
| R. Appeals | 5-37 |

Chapter VI

Fiscal Procedures

|  |  |
| --- | --- |
| VI. Fiscal Procedures  | 6-2 |
| A. In-House Grant Payment and Federal Reimbursement Voucher Process | 6-2 |
| i. Review Process | 6-2 |
| Table 14. HSO Subrecipient Claim Review and GTS Process | 6-2 |
| Table 15. State Agency Claim Reimbursement Process | 6-3 |
| ii. Entry of State/Local Matching Share | 6-4 |
| iii. Reporting of Benefit to Locals | 6-4 |
| iv. Submission of Federal Reimbursement Voucher | 6-4 |
| v. Federal Reimbursement Rejection  | 6-5 |
| B. Federal Grant Tracking System (GTS) | 6-6 |
| i. Types of GTS Transactions | 6-6 |
| ii. GTS Reports | 6-7 |
| iii. Electronic Transfer of Funds | 6-7 |
| C. Matching Funds  | 6-8 |
| Table 16. Summary of NHTSA Grant Fund Requirements for SAFETEA-LU Programs | 6-9 |
| D. Grant Tracking Spreadsheet | 6-13 |
| E. Allowable Costs | 6-14 |
| Table 17. Applicable Federal Cost Principles by Organization Type | 6-14 |
|  i. Federal Regulations – Allowable Costs | 6-15 |
|  ii. NHTSA Grant Funding Policy – Allowable and Unallowable Costs | 6-15 |
|  iii. Automated Traffic Enforcement Systems Funding Prohibition | 6-16 |
|  iv. Motorcycle Checkpoint Funding Prohibition | 6-16 |
|  iv. Proportional Benefit | 6-16 |
|  v. Collection of Unallowable Costs | 6-16 |
| F. Single Audit Procedures – Federal Requirements | 6-17 |

Chapter VII

Annual Report (AR)

|  |  |
| --- | --- |
| VII. Annual Report (AR) | 7-2 |
| A. Overview | 7-2 |
| B. Federal Requirements | 7-3 |
| i. Required AR Contents | 7-3 |
| ii. Progress Report | 7-3 |
| iii. Recommended Elements | 7-4 |
| C. Governors Highway Safety Association Guidance | 7-5 |
| D. AR Development Process Calendar | 7-6 |
| Table 18. AR Development Process Calendar | 7-6 |

Chapter VIII

Closeout

|  |  |
| --- | --- |
| VIII. Closeout | 8-2 |
| A. Overview | 8-2 |
| B. Deadlines, Penalties and Extensions | 8-3 |
| i. Penalties | 8-3 |
| ii. Extensions | 8-3 |
| C. Federal Grant Tracking System Closeout Process | 8-4 |
| Table 19. HSO Closeout Process. | 8-4 |
| D. Grant File Closeout | 8-5 |
| E. Financial Obligation Closeout Summary | 8-6 |