

HIGHWAY SAFETY

CONTRACT MANAGEMENT MANUAL

EFFECTIVE OCTOBER 1, 1994

Revised January 2014

Prepared by the COLORADO DEPARTMENT OF TRANSPORTATION Office of
Transportation Safety

Table of contents (Click Pg # bottom left for go to feature)

Introduction Letter.....	4
Program Information.....	5
SECTION I - Policy and Procedures for Office of Transportation Safety	
Contracts.....	7
Introduction	9
Planning Process	11
State Certifications and Assurances.....	13
Drug-Free Workplace Act.....	15
Buy America Act.....	16
Hatch Act	16
Certification Regarding Federal Lobbying	16
Restrictions on State Lobbying	17
Contract Director and Project Coordinator	17
Public Information.....	18
Project Monitoring	19
Project Termination.....	20
Project Evaluation	20
Subcontracts	18
Travel Policy.....	21
Education and Training	21
Program Income.....	22

Funding Agreements.....	23
SECTION II-Reports.....	24
Quarterly Reports.....	26
Final Report.....	27
Submitting Reports.....	30
SECTION III - Financial Reporting Requirements.....	31
General Requirements.....	32
Records and Documents.....	32
Audit Requirements.....	33
Reimbursement Claims.....	34
Capital Equipment Accountability.....	39
Guidelines for Purchases (Incentives, Food, Supplies).....	38
SECTION IV - Glossary.....	41
SECTION V - APPENDIX.....
Form CDOT #1069 Claim for Reimbursement.....	43
CDOT Grant Claims Processing Checklist for Contractors.....	45
Form CDOT #1097 Quarterly Report	47
Form CDOT #1129 Capital Equipment Disposition	48
Form CDOT #1130 Capital Equipment Accountability Record	48

Message from the Office of Transportation Safety

The Colorado Department of Transportation, Office of Transportation Safety is responsible for developing and implementing the Governor's Highway Safety Program under Colorado Revised Statutes (24-42-101, et seq., C.R.S.). The primary goal of this program is to reduce traffic crashes, fatalities and injuries in Colorado through the coordinated efforts of State and local agencies, groups and associations.

This CONTRACT MANAGEMENT MANUAL contains official policy and procedures required of and established by the Office of Transportation Safety. This version supersedes and replaces all previous Contract Management Manuals. It has been developed to assist State and local agencies in the administration of highway safety projects. It also includes instructions for preparing highway safety project applications and forms.

The policies and procedures contained herein are included by reference and apply to all contracts and agreements administered by the Office of Transportation Safety and funded under Sections 154, 157, 402, 405, 408, 410 and 411, Title 23, U.S.C.

Any differences between local policies and procedures and those contained herein will be resolved between the Director, Office of Transportation Safety, and the concerned party.

Darrell Lingk
Director, Office of Transportation Safety

PROGRAM INFORMATION

The National Highway Safety Act of 1966 provides for a coordinated National Highway Safety program through financial assistance to the states to accelerate Highway Traffic Safety initiatives. The Act charges the governor of each state with the responsibility of administering a Highway Safety program designed to reduce death, injury and property damage caused by traffic crashes related to Impaired Driving, Occupant Protection, Police Traffic Services, Emergency Medical Services, Motorcycle Safety and Pedestrian and Bicycle Safety.

In Colorado, the Governor has designated the Colorado Department of Transportation's Director as Colorado Governor's Highway Safety representative. The Office of Transportation Safety is a subdivision of the Colorado Department of Transportation. In addition to the primary function of administering the Federal Highway Safety grant programs it also serves as a valuable resource to the Colorado Legislature on Highway Safety issues and serves in a coordinating role in various safety- related initiatives.

MISSION, GOALS, AND OBJECTIVES

The mission of the CDOT Safety and Traffic Engineering Branch and the Office of Transportation Safety is to reduce the incidence and severity of motor vehicle crashes and human and economic losses that are associated with them. Furthermore, CDOT has supported resolutions by the American Association of State Highway and Transportation Officials (AASHTO) to adopt *Halving Fatalities by 2030 and Toward zero Death as a National Strategy*.

Highway Safety Programs

Following are general statements on the programs administered or coordinated by the Office of Transportation Safety (OTS).

1) PLANNING AND ADMINISTRATION

The OTS, as the designated state highway safety agency, is responsible for the planning, coordinating and administering of the State's highway safety program.

2) IMPAIRED DRIVING: ALCOHOL AND OTHER DRUG COUNTERMEASURES

To reduce alcohol/drug related highway crashes and, in particular, fatal crashes involving persons under the influence of alcohol and other drugs by implementing system improvements, training and technical assistance, funding newer technology, and conducting public information and education.

3) SPEED ENFORCEMENT:

To reduce the number of speed related highway crashes and fatalities associated with speeding. This will be accomplished by increased speed-enforcement efforts, funding speed measuring equipment, and enhanced night-time enforcement.

To improve the capabilities of police traffic enforcement agencies in crash investigations, selective traffic enforcement, 55/65 NMSL (National Mandatory Speed Limit) speed compliance, police traffic management and supervision, and conduct public information and education.

Reduce traffic deaths, and the severity of injuries by providing prompt and effective emergency medical care and transportation.

4) TRAFFIC RECORDS

To assure the availability of appropriate data on traffic crashes, drivers, motor vehicles, and roadways for program planning and evaluation and for implementing improvements in the transportation system of state or local jurisdictions. In 2006, a Memo of Understanding was entered into by CDOT with (5) five other state agencies to cooperate on the collection, use and dissemination of fatality, crash and EMS data.

5) OCCUPANT PROTECTION

To increase the use of occupant protection and reduce the incidents of distracted driving primarily through public information and education activities combined with police and judicial training and increased enforcement efforts to reduce injuries and fatalities in crashes.

6) MOTORCYCLE SAFETY

To improve motorcycle safety by increasing the awareness of motorcyclists about the benefits of protective clothing and operators training, and increase the awareness of all vehicle operators about sharing the road. Also, to provide and administer the State's Motorcycle Operation Safety Training (MOST) program.

7) PUBLIC RELATIONS:

CDOT's Public Relations Office (PRO) supports the HSO and its grantees and partners with specialized assistance related to projects addressing occupant protection, impaired driving, and motorcycle safety by means of education and outreach and conducting high-visibility aspects of enforcement campaigns, *Click It or Ticket and the Heat Is On*

SAFE COMMUNITIES:

Safe Communities framework will support sustained multi-year programs that support occupant protection strategies to increase the Statewide seat belt usage, reduce number of unrestrained fatalities, and reduce overall traffic fatalities. Methodology will include information distribution, seat belt observations, fit stations, and outreach to target groups.

8) BICYCLE AND PEDESTRIAN SAFETY

This program is designed to improve bicycle and pedestrian safety by increasing the awareness of pedestrians and bicyclists of safety-related issues and how they interact with the motoring public.

SECTION I

POLICY AND PROCEDURES FOR OFFICE OF TRANSPORTATION SAFETY CONTRACTS

INTRODUCTION

The Colorado Department of Transportation, Office of Transportation Safety, is charged with responsibility for implementing the Governor's Highway Safety Program: (24-42101, et seq. C.R.S.). The goal of this program is to reduce traffic crashes, deaths, injuries and the associated economic losses.

The Office of Transportation Safety provides funding for state and local agencies to help achieve stated program goals and objectives which address identified highway safety problems. Priorities for activities will be in those areas where impact on crash reduction can be demonstrated.

It is the policy of the Office of Transportation Safety to assist agencies in the initial development, start up and expansion of new and innovative highway safety projects. Funding from the Office of Transportation Safety for activities where assistance has been received previously, and which does not represent new effort, will not be allowed.

Generally, no project will be considered for funding assistance for a period longer than three years (National Highway Traffic Safety Administration [NHTSA] Order 462-12B). In any event, no guarantees can be given for funding in any future year. Highway safety funding allocations, and the rules governing their distribution, are received for one year at a time. While it is the intent to continue funding for ongoing projects of demonstrated effectiveness, every project must stand on its own merits and be approved on a year-to-year basis.

A project application can be submitted by any political subdivision (municipality, county, state agency). School districts, other local agencies, for profit and not for profit entities may also apply.

Agencies are encouraged to review, analyze and evaluate their communities' specific highway safety problems. This is called a problem identification process and can be used as a helpful tool when preparing a project application. Wherever possible, innovative approaches and new program ideas are recommended when developing solutions for identified problems.

Applications must contain the amount of financial resources the applicant agency will contribute toward the project. This called State match in the case of state agency projects, and local match for other entities such as counties and non-profit organizations. The contributions can be in-kind services or direct cash support. Other sources of federal revenue may not be used as an agency match for highway safety projects

In order to be funded, highway safety projects must be included in the CDOT Integrated Safety Plan (ISP) prepared by the Office of Transportation Safety and submitted to the National Highway Traffic Safety Administration (NHTSA) /Federal Highway Administration (FHWA) for approval. (NHTSA) Order 960-2A and FHWA Order 75103A).

HIGHWAY SAFETY PLAN ANNUAL PLANNING PROCESS

The following overview of the highway safety grant planning and project cycle provides guidance in planning and budgeting for proposed project activities to be included in Colorado's annual Integrated Safety Plan (ISP). This process includes:

- the determination of needs
- establishing priorities
- budgeting
- contracting for services and evaluation of accomplishments

The cycle then repeats itself. This is best portrayed as a continuous chain of activities.

Office of Transportation Safety contracts using Federal grant funds are written to coincide with the federal fiscal year, October 1 to September 30. Prospective contracting agencies should plan and budget for resources to accommodate this contracting period. Because contracts are contingent upon federal appropriations, delays in implementation of contracts may occur.

October - Begin implementation of current year projects with funding allocations.

Begin close-out of previous year's projects. Finalize fiscal and activity reports for previous year and close out previous fiscal year. Begin developing data for annual report due December 31.

November - Continue implementation of current year projects. Continue close-out of previous year's projects. Continue analysis of previous year's activities for final report.

December - Annual Report due to NHTSA by December 31. Final Voucher due from GTS by December 31

January - Begin formal on-site monitoring of current year's financial and program activities. Begin data collection for problem identification.

February - Continue formal on-site monitoring of current year projects. Produce Problem Identification document.

March - Begin planning for next year's projects. Applications for next federal fiscal year due at end of month. Problem Identification is completed and posted to web site.

April -- Begin ISP planning for next FFY Projects
New Year applications due mid- month

May – Continue ISP planning for next FFY projects.
Application evaluations and scoring completed
Funding Meeting
Award and Denial letters sent

June - Complete ISP for next year's activities. Submit ISP to NHTSA and FHWA by
months end. Continue on-site monitoring of current year projects.

July - . ISP due to NHTSA July 1st.. Continue on-site monitoring of current year's projects.

August - Begin preparing project agreements for next year's projects. Begin planning for
the fiscal year end close and Annual Report. Request for final- fiscal-year
-billings.

September - Receive approval, conditions and authorization of ISP from NHTSA and
FHWA by September 1st. Begin close-out of current year ISP and current
year projects.

STATE CERTIFICATIONS AND ASSURANCES

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

Each fiscal year the State will sign these Certifications and Assurances asserting that the State complies with all applicable Federal statutes, regulations, and directives in effect for the periods for which it receives grant funding. Applicable provisions include, but are not limited to, the following:

- 23 U.S.C. Chapter 4 -Highway Safety Act of 1966, as amended;
- 49 CFR Part 18 - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments;
- 49 CFR Part 19 - Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations;
- 23 CFR Chapter II - (1200, 1205, 1206, 1250, 1251, & 1252) Regulations governing highway safety programs;
- NHTSA Order 462-6C - Matching Rates for State and Community Highway Safety Programs; and
- Highway Safety Grant Funding Policy for Field-Administered Grants.

Certifications and Assurances

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

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

At least 40 per cent of all Federal funds apportioned to this State under 23 USC 402 for this fiscal year will be expended by or for the benefit of the political subdivisions of the State in carrying out local highway safety programs (23 USC 402(b) (1) (C)), unless this requirement is waived in writing.

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

- National law enforcement mobilizations
- Sustained enforcement of statutes addressing impaired driving, occupant protection, and driving in excess of posted speed limits
- An annual statewide safety belt use survey in accordance with criteria established by the Secretary for the measurement of State safety belt use rates to ensure that the measurements are accurate and representative
- Development of statewide data systems to provide timely and effective data analysis to support allocation of highway safety resources.

The State shall actively encourage all relevant law enforcement agencies in the State to follow the guidelines established for vehicular pursuits issued by the International Association of Chiefs of Police that are currently in effect.

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

Cash draw-downs will be initiated only when actually needed for reimbursement, cash disbursements and balances will be reported in a timely manner as required by NHTSA, and the same standards of timing and amount, including the reporting of cash disbursement, will be imposed upon any secondary recipient organizations (49 CFR 18.20, 18.21, and 18.41).

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

Equipment acquired under this agreement for use in highway safety program areas shall be used and kept in operation for highway safety purposes by the State; or the State, by formal agreement with appropriate officials of a political subdivision or State agency, shall cause such equipment to be used and kept in operation for highway safety purposes (23 CFR 1200.21);

The State will comply with all applicable State procurement procedures and will maintain a financial management system that complies with the minimum requirements of 49 CFR 18.20; and the State will comply with the Buy America Act as part of the Appendix A to Part 1200 Certification and Assurances which prohibits using highway grant funds to purchase products, unless they are produced in the United States, or unless the Secretary of Transportation has determined that it is appropriate to waive the Buy America Act requirement.

The State highway safety agency will comply with all Federal statutes and implementing regulations relating to nondiscrimination. These include but are not limited to:

- (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin (and 49 CFR Part 21);
- (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex;
- (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps (and 49 CFR Part 27);
- (d) the Age Discrimination Act of 1975, as amended (42U.S.C. 6101-6107), which prohibits discrimination on the basis of age
- (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse;
- (f) the comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970(P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse of alcoholism;
- (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records;
- (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing;
- (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and,
- (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

The Drug-free Workplace Act of 1988(49 CFR Part 29 Sub-part F)

The State will provide a drug-free workplace by:

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

- b) Establishing a drug-free awareness program to inform employees about:
 - 1) The dangers of drug abuse in the workplace.
 - 2) The grantee's policy of maintaining a drug-free workplace.
 - 3) Any available drug counseling, rehabilitation, and employee assistance programs.
 - 4) The penalties that may be imposed upon employees for drug violations occurring in the workplace.

- c) Making it a requirement that each employee engaged in the performance of the grant be given a copy of the statement required by paragraph (a).

- d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

- 1) Abide by the terms of the statement.
 - 2) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction.
- e) Notifying the agency within ten days after receiving notice under subparagraph (d) (2) from an employee or otherwise receiving actual notice of such conviction.
- f) Taking one of the following actions, within 30 days of receiving notice under subparagraph (d) (2), with respect to any employee who is so convicted -
- 1) Taking appropriate personnel action against such an employee, up to and including termination.
 - 2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency.
- g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f) above.

BUY AMERICA ACT

The State will comply with the provisions of 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.

POLITICAL ACTIVITY (HATCH ACT)

The State will comply with the provisions of 5 U.S.C. 1501-1508 and implementing regulations of 5 CFR Part 151, concerning "Political Activity of State or Local Offices, or Employees".

CERTIFICATION REGARDING FEDERAL LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

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

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

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

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

RESTRICTIONS 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.

CONTRACT DIRECTOR AND PROJECT COORDINATOR

The Contract Director is the individual who has the overall responsibility at the project level for operations under a highway safety contract. The Contract Director has the following responsibilities in the development, operation and close-out of a highway safety project:

- Approving and authenticating the application (Form CDOT #1116) for a project.
- Assisting in the completion of a formal contract.

- Establishing operating procedures, tasks and milestones to ensure proper administration and control of the contract.
- Maintaining adequate fiscal controls to ensure expenditures are allowable and within budgeted amounts for each task.
- Ensuring prompt submission of claims for reimbursements of allowable costs incurred.
- Establishing and keeping records for validation of contract progress.
- Maintaining data necessary to evaluate the results of the project.
- Submitting the following reports (see "Reports" section) to the Office of Transportation Safety by the respective due dates:

Quarterly Reports
 Interim Reports as required
 Final Project Report
 Audit Reports

* Ensuring the project is started within 45 days from the date of contract award.

The Project Coordinator is the individual responsible for the accomplishment of one or more objectives in the contract. This person manages the day-to-day operation and reports to or can be the Contract Director. The Project Coordinator has the following responsibilities in the development, operation and close-out of a highway safety project:

- Preparing the application for a project.
- Providing information to the Office of Transportation Safety for contract preparation.
- Conducting and completing the contract activities to meet contract objectives.
- Planning and executing activity within budgetary limitations.
- Collecting and maintaining evaluation materials in accordance with the contract provisions
- Preparing quarterly, interim and final reports.
- Adhering to contract deadlines and requesting variances as necessary.

The Office of Transportation Safety Project Manager assigned to the project will provide assistance to the Contract Director and Project Coordinator in meeting the objectives of the contract if needed.

PUBLIC INFORMATION An important element of the highway safety project is public support and awareness. The public must be informed of what is being done, what needs to be done and what has been accomplished.

Projects receiving funding will be reviewed to determine if a public information task needs to be an integral part of the effort. Where applicable, the Office of Transportation Safety staff will work with CDOT's Public Relations Office.

All public information activities undertaken by grantees shall be included in quarterly and final reports. Copies of any newspaper clippings and information about electronic media coverage shall also be included with these reports.

All public information material, whether printed or electronic, shall contain identification approved by the Office of Transportation Safety recognizing the support provided by the Office of Transportation Safety and NHTSA. To be eligible for reimbursement, expenditures of funds for public information activities must have the prior approval of the OTS.

PROJECT MONITORING

Project monitoring visits will be made, at a minimum, annually by the project manager. This is to assist contract directors and project coordinators in ensuring contract objectives and all requirements of the contract and this manual are met.

Monitoring oversight visits will be scheduled in advance, review, in detail, the progress of the project, the financial record keeping and support documents, agency policy and procedures, accountability of equipment, budget, time frames, and ensure monies obligated are spent in accordance with the contract.

Monitoring oversight visits to each contract site may be conducted any time after the effective date of the project and periodically thereafter. Although on-site visits are required, some monitoring may be by telephone or through email. Documentation on any phone calls affecting the status of the contract will become part of the project file.

The following areas will be checked during monitoring visits:

1. Schedule of goals and milestones being met
2. Completeness and timeliness of quarterly reports
3. Percent of activities completed
4. Transportation Safety goals, programs and special conditions being addressed
5. Monthly claims submission with supporting claim and match documentation
6. Percentage of Federal Funds that are being expended and proportionate amount of agency funds being expended
7. Funds are being spent properly, appropriately and only for approved activities
8. Review of accounting and Payroll system, ensure that adequate records and supporting documentation are being kept for all costs and activities
9. Fiscal documents agree with amounts on claims
10. If sub-contractors are involved, review contract and contracting procedures, assurances should be obtained that the same type of records are being properly maintained by sub-contractors.
11. Capital equipment accounted for and being used for intended purpose
12. Equipment accountability records being submitted

At the completion of the monitoring visit, follow-up document will be sent to the grantee documenting the results of the visit. Any inappropriate activities will be reviewed with the Office of Transportation Safety Program Managers for follow-up as needed.

Contract directors and project coordinators are encouraged to develop their own systematic monitoring procedure so the above considerations are periodically reviewed at the local level. It is suggested that all documents pertaining to the project be kept in a separate binder for ease of review and record retrieval. The milestones established in the project application and contract work plan should be used to measure progress.

The Office of Transportation Safety may periodically monitor previously funded projects to assure continuation of activity, where appropriate, and continued use of federally funded equipment for the intended highway safety purposes. Therefore, records should be retained by the agency for at least three years.

ACCOUNTABILITY

The Office of Transportation Safety measures traffic fatalities, injuries, safety belt usage, and alcohol involvement in crashes. This data is critical to determine safety program performance. To ensure accountability, each program determines the following:

- The exact nature of the traffic safety problem it is trying to address;
- Reasonable goals and objectives for reducing this problem
- How well the program accomplished its objectives.

PROJECT TERMINATION

Should the contracting agency fail or refuse to comply with its undertaking, as set forth in the contract, or if other unacceptable activities are identified, the Office of Transportation Safety may cancel, terminate, or suspend in whole or in part the agreement, contract or other arrangement.

A final claim for reimbursement of allowable costs incurred prior to cancellation or termination, and a final report shall be completed and submitted within forty-five days of the cancellation or termination. Provisions for project termination are further detailed in the contract or Purchase and Conditions, and should be Order Terms reviewed by the contractor prior to approval.

PROJECT EVALUATION:

The outcome of each highway safety project will be evaluated for its effectiveness and benefits. The following types of evaluation may be required:

Administrative - compares planned use of resources (people, money and material) and task schedules with

actual resource use and adherence to schedules. Specific examples include: compliance with work schedules and estimated expenditure levels in developing a traffic enforcement program; acquisition of approved equipment as planned and budgeted; or number of law enforcement officers trained.

Performance - measures change which occurs in the operational setting as a result of the activity or project. Examples: include number of citations issued at targeted locations; reduction in response time of ambulance to traffic crashes; or increased proficiency of trained officers.

Impact - measures change in the number or severity of crashes. Examples include: crash reduction attributable to a select traffic enforcement program; or reduction in number of "savable" crash victims dying in transport to hospitals.

SUBCONTRACTS

Costs for services may include those performed by a consultant or other agency when it is necessary to perform certain phases of the project work for the contracting agency.

Consultants may be used when the requirement cannot be fulfilled by the sub grantees staff, or when an independent viewpoint or expertise is required. This need shall be identified and included in the application before a highway safety project is initiated.

If an applicant agency needs to retain a consultant to perform any work outlined in an approved project, a subcontract shall be initiated. This must cover the work to be accomplished by the consultant and all applicable federal and state provisions. Copies of any and all subcontracts entered into by Contractor to perform its obligations shall be submitted upon request.

All costs associated with contractual services must meet the same requirements for reimbursement as those for the applicant agency.

Subcontracts will be reviewed by the Office of Transportation Safety along with the highway safety contract during regular monitoring oversight visits.

TRAVEL POLICY

Mileage reimbursement should be budgeted and claimed as part of operating expense. Travel costs are defined as over-night trips which include Per Diem, lodging, etc.

Travel costs are eligible when they are directly related to work under a highway safety contract or are incurred in the normal course of administering a project. Reimbursement should be consistent with those costs normally allowed by the applicant agency in its regular operations. Should any agency not have a specific travel reimbursement policy, the COLORADO STATE FISCAL RULES are to be used. The maximum amount allowable for reimbursement cannot exceed state rates.

Out-of-state travel must have prior approval. In addition, an Out of State Travel Request and Authorization form must be submitted to OTS at least 45 days prior to travel. Out of State Travel will not be reimbursed if prior approval is not obtained.

Whenever an agency reimburses an employee for out-of-state travel, the employee must provide a written narrative report to the contract director to support the claim. A copy of this report shall be included with the next regular claim.

The contents of this narrative report should include:

- . Project name, and number
- . Destination, date(s) of activity, conference, seminar, etc.
- . Persons contacted
- . Purpose of trip
- . Narrative of items discussed
- How this trip aided the project or improved the traffic safety activities of the contracting agency

Failure to comply with these requirements may be cause for these expenditures to be disallowed.

EDUCATION AND TRAINING

The following criteria are established and may be applied when making decisions on education and training assistance requests:

- . All personnel receiving training must currently work in an area dealing with a highway safety program or project.
- . The person(s) receiving the training will work in a highway safety area or project for a reasonable period of time after receiving the training.
- . The training requested must be critical to the operation of a highway safety activity, related to crash reduction or to the care of crash victims.

A written narrative report must be submitted to the Office of Transportation Safety by persons completing any training with highway safety funding support. This report should include the following items:

- (1) A commitment to remain in the traffic safety area for a specified amount of time,
- (2) Evaluation of the course and its value to other Colorado state and local agencies, and
- (3) Explanation of how the training will enhance effectiveness in the person's agency.

Prior to the development of any new training program or curricula, existing materials must be utilized, if appropriate. The OTS will inform the applicant agency what resources are available and approved for education and training.

PROGRAM INCOME

Program income is defined as revenue from service fees, sale of commodities acquired with federal funds, use or rental fees for property acquired with federal funds, and royalties on patents and copyrights.

Income generated from highway safety funded projects must be utilized in the operation of the project to defray on-going expenses during the contract period. Agencies no longer receiving highway safety financial assistance but generating income from previously supported activities are encouraged to use the income to support continuation of the highway safety activity. Proceeds from the sale of equipment will be handled in accordance with these requirements outlined in Capital Equipment Accountability, pg. 39.

Grantees receiving funds for highway safety projects which include program income must identify the source and proposed use of the program income and submit this information in writing to the Office of Transportation Safety for review and approval.

All projects will be reviewed by the Office of Transportation Safety for possible Income-reporting requirements.

Federal policy on program income is as follows:

- (a) Inclusions. Program income includes income from fees for services performed, from the use or rental of real or personal property acquired with grant funds, from the sale of commodities or items fabricated under the grant agreement, and from payment of principal and interest on loans made with grant funds.
- (b) Exclusions. Program income does not include interest on grant funds, rebates, credits, discounts, refunds, taxes, special assessments, levies, fines, proceeds from the sale of real property or equipment, income from royalties and license fees for copyrighted material, patents, and inventions,
- (c) Use of program income:
 - (1) Such program income shall be used to further the objectives of the project under which it was generated.
 - (2) Cost sharing or matching. Program income may be used to meet cost sharing or matching requirements. Such use shall not increase the commitment of Federal funds.

FUNDING AGREEMENTS/CONTRACTS

Agencies approved to conduct highway safety activities will be contacted by the Office of Transportation Safety to negotiate a funding agreement. This document, between the Office of Transportation Safety and the applicant agency, will be prepared by the Office of Transportation Safety staff.

Funding agreements between the Office of Transportation Safety and other agencies will be in the form of a Purchase Order or Contract.

Attachments to the funding agreements will include, but are not limited to information on project objectives and tasks, evaluation criteria and a budget.

Contracts are effective upon approval of the State Controller or CDOT Controller. Examples of a standard Purchase Order and Contract may be obtained by request from the Office of Transportation Safety.

Two forms will be attached to each of these funding agreements. These attachments are:

- Form CDOT #1106 - Contract Objective Plan containing statements of objectives to be attained and detailed task statements Form
- CDOT #1108 - Contract Financial Budget showing Office of Transportation Safety and agency shares of funds allocated to the contract, distribution of these moneys to tasks, and allocation to personal services, operating and travel expenses, and to capital equipment purchases.

Any changes to these originally submitted forms, agreed upon during the application approval process, will be corrected and resubmitted to CDOT.

The inclusive provisions of a contract establish a limit of funds, the ratio of shared costs, the effective dates of the contract, and the approved and agreed activities. These may not be changed, increased or extended except through the execution of an Option Letter or other appropriate Contract modification tool.

SECTION II

REPORTS

CONTRACT QUARTERLY REPORTS

Contract Quarterly Reports are required on all contracts to:

- . Provide Office of Transportation Safety with a status report of accomplishments in individual task and objectives.
- . Accumulate data elements necessary to evaluate the effectiveness of the project.
- . Measure total program performance.

Contract Quarterly Reports are required on all contracts even if there was no activity during a quarter. They are to be completed and signed by the Contract Director for each quarter ending December 31, March 31 and June 30.

One copy of the completed report shall be forwarded to the Project Manager, Office of Transportation Safety, no later than the 20th day of the month following the end of each quarter: January 20, April 20 and July 20.

Part I of the reporting form is identification information from the contract and the claim period covered.

Part II of the reporting form should be completed as follows:

The spaces designated "Progress to Date" and "Expenditures to Date" should be filled in on each report. This shows the status at the end of the report period and provides a quick check of contract status. For example, on the second quarterly report of a one year contract, typically the "Progress to Date" box and the "Expenditures to Date" box would each reflect 50 percent.

The information under "Activity during this Quarter" should be a concise narrative of the contract progress. Before completing this narrative, review each task of the contract as shown on the attachments to the contract, Contract Objective Plan (CDOT #1106) and the Contract Evaluation Data (CDOT #1107) against the following items:

- -Describe progress made. Comments should correspond to each task in the contract.
- -Is the task on schedule? Give reasons if not.
- -What problems have been encountered? How have they been resolved? Will this affect progress?
- -Is the task being delayed? What changes are planned?

- -Use statistical data to indicate progress.
- -Is technical assistance needed from the Office of Transportation Safety or other agency?
- Should this narrative require more space than is available on the report form, continue remarks on additional pages of plain paper.

PROJECT FINAL REPORT

The Project Final Report shall be submitted to the Office of Transportation Safety within 45 days of contract completion, which is no later than November 15. This report shall be suitable for reproduction and distribution to federal agencies, other states and to local communities as needed.

All project final reports should contain the following components:

- . Cover page with the following disclaimer clause:
- . "Prepared for the U.S. Department of Transportation and the State of Colorado No. (Project No.) This document is disseminated under the sponsorship of the Department of Transportation in the interest of information exchange. The United States Government and the State of Colorado assume no liability for the content or use thereof."
- . Preface - Briefly describe the scope of the project. State the problems intended to be remedied by implementing the project. This is usually a restatement of the present situation in the project. Restate the objectives in the project and the expected benefits.
- . Executive Summary - A brief synopsis of the project purpose, findings or results of the activities, the contract award amount and the total expenditures of federal and agency funds.
- . Administrative Evaluation - A concise narrative of project activities containing the following information:
- -The results of the project in terms of meeting the original objective(s) as stated in the contract.
- -Provide the required contract evaluation data for the activity as specified In the Contract Evaluation Data, (CDOT #1107) of the contract.

- -State your assessment of how well the objective was accomplished. Explain the benefits or negative consequences of completing the activity.
- -Discuss any problems encountered and solutions used or recommended.
- -Provide copies of new or revised input or output documents developed under the project.
- -Key personnel: who worked on the contract tasks, give brief descriptions of their contributions. If consultants were used, give a brief description of their duties and contributions.
- -Comment on any substantial deviations from the planned budget item amounts in the contract.
- -Explain how activities will be applied in future improvement of the agency's continuing traffic safety operations. Estimate any savings resulting from implementing the contract.

. Impact Evaluation - Complete if required in the contract.

- -Briefly restate the objective(s) in the task agreement.
- -Describe the data comparison methods, data definitions, and major evaluation assumptions specified in the contract and used in evaluating the objective(s).
- -Provide the required performance data for each impact measure as specified in the Contract Evaluation Data, (CDOT #1107) of the contract.
- -Discuss whether or not changes in the impact measures reflect the successful accomplishment of the objective(s).
- Provide the following in support of your conclusions where appropriate.
 - (1) Summary of numerical comparisons which reflect the intent and scope of the objective.
 - (2) Tests of statistical significance.
 - (3) Any evidence that other factors outside the project may or may not have caused the change in the impact measures.
- -State any plans for continuation of the project or techniques and/or concepts in other communities or agencies.

- -Noteworthy achievements on attaining project objective(s).
- -Other pertinent information related to project activities.
- -Summary and recommendations.
- -Signatures of Contract Director and Project Coordinator.

The final report may be used to determine the contribution of the contract to the applicant agency's traffic safety program and to the Governor's Highway Safety Program. It may also be used to assist other agencies, and to evaluate the cost/benefit ratio of the contract efforts.

The Office of Transportation Safety can provide technical assistance in preparation of the Final Report upon request.

SUBMITTING REPORTS

All required quarterly and final reports will be submitted to the Office of Transportation Safety for approval. Report contents will be specifically reviewed for completeness in addressing contract progress, task activities and evaluation measures.

Only those agencies current on all approved quarterly or final reports will be eligible to receive reimbursement on claims for costs incurred. See Section III, Financial Reporting Requirements.

SECTION III
FINANCIAL REPORTING REQUIREMENTS

GENERAL REQUIREMENTS

The Contract Director and Project Coordinator share responsibility for ensuring all costs of the project are recorded in the agency accounting system and are supported by proper documentation.

Payment for actual costs incurred shall be on a reimbursement only basis. An advance of funding is not allowable for Federal Highway Safety activities.

Cost incurred means the contracting agency must have established a liability for payment i.e. funds have been spent or encumbered. All goods and services must be received and accepted prior to termination of the project.

Items must meet all the following criteria to be allowable as a reimbursable cost of an approved highway safety project. They must:

- Be an item or service included in the budget and approved in the contract.
- Represent an actual expenditure and be chargeable to the project.
- Be incurred on or after the authorized effective date of the contract and on or before the ending date of the contract.
- Be necessary for proper and efficient administration of the project and be allocated to the activities in the contract.
- Be reasonable when compared to unit value.
- Be reduced by all applicable credits (see Section 1, Program Income).
- Be in the pro-rata share (Office of Transportation Safety-Agency) of the approved project.
- Be permissible under federal, state and local laws, regulations and practices. Not result in a profit or other increment to the contractor, unless the profit is used to advance the project within the contractual limits.
- Not be allocated to, or included, as a cost of any other federally financed program.

All claims for reimbursement shall be made on a monthly basis. Costs incurred in one month shall be billed within 45 days after the end of that month. Claims for costs incurred which are over 45 days old may not be paid by the Office of Transportation Safety.

EXCEPTION: Claims for the month of June must be submitted no later than July 15 to facilitate the State Fiscal year end process. In addition, Fiscal Year-end processing requires an estimate of all completed/unpaid activities. All participants MUST submit their estimate of unpaid claims by June 20th so these amounts can be accrued in the correct Fiscal Year. These estimates must be based on anticipated hours/rates, planned purchases, and other normal operational expenses that would be charged to the project. The Office of Transportation Safety will supply the format for this estimate.

Agency matching funds and services must meet the same guidelines and be recorded and accounted for in the same fashion as reimbursable costs. All project expenditures shall be auditable. The reimbursement shall be contingent upon the contribution by the contractor of its participating share.

Transfer of funds between line items must be requested and justified in writing and approved by the Office of Transportation Safety prior to incurring any costs.

RECORDS AND DOCUMENTS

Accounting Records

Any system of accounting may be used as long as it conforms to generally accepted accounting principles. In general, this means recognized accounting systems and the existing accounting systems of a political subdivision or State agency may be used.

Project expenditures should be recorded directly in special project accounts.

It is permissible to record expenditures in regular accounts, provided a method of identification is established. In this case, a complete list of expenditures must be journalized and filed with the project so it can be used as reference for the audit of project expenditures and in the preparation of claims for reimbursement.

The contracting agency agrees to open its records to the Office of Transportation Safety, any Federal administering agency or their designee for monitoring, evaluation and audit of the project activities and funds.

Source Documents

Proper source documents must be on file to cover all direct and indirect costs charged to the project. Costs so identified must be entered in the accounting records prior to submitting a claim for reimbursement to the Office of Transportation Safety. Detailed documentation should

accompany each reimbursement claim and additional general ledger, lease, payroll, or inventory information may be requested. NOTE: Indirect cost is only applicable if the rate charged has been approved, for the current year, by the agency's Cognizant Agency.

The applicant agency must retain all project source documents and have them available for Office of Transportation Safety monitoring visits and audit purposes, for a period of three years following the payment of the final claim. NOTE: If agency procedures retain records for a longer period, these records are subject to audit as well as the 3-year retained records required by NHTSA

Where personal services are funded as part of a contract, the agency shall maintain the following additional documentation:

Positions funded must be supported by time distribution or equivalent records for individual employees. These time sheet records must tie to the agency's payroll system.

Personnel records and payroll information must be available on every employee.

Salaries and wages of employees chargeable to more than one project or cost objective must be supported by appropriate time distribution records showing time allocated to each function. This allocation must show total hours worked for the month, the time charged to the grant, and the rate paid to the employee. The Personal Activity Report must be signed and dated by both the employee and the supervisor.

AUDIT REQUIREMENTS

When applicable, under the guidelines of the Single Audit Act of 1984 and NHTSA order 460-6, the contracting agency's annual audit shall include an independent audit on all highway safety projects in operation during the audit period.

Audits shall be carried out in accordance with generally accepted auditing standards as adopted by the American Institute of Certified Public Accountants Guidelines for the Audit of State and Local Governments, as well as the booklet "Standards for Audit of Governmental Organizations, Programs, Activities and Functions" by the Comptroller General of the United States, (1972) and by U.S. Office of Management and Budget (OMB) Circular A-133 as appropriate.

The audit report must include, at a minimum, the following:

CFDA number 20. 600, 20.601, 20.602 or 20.610 or other CFDA# (depending on funding source)

- Financial statements including a supplemental schedule covering federal funds expended during the audit period,
- A study and evaluation of the recipient's internal control system,

- A study and evaluation of the contracting agency's compliance with the laws and regulations for federally funded programs,
- A schedule of all questioned costs and incidents of non-compliance related to the federally funded project, and
- A statement that the audit report was prepared in accordance with OMB A-133.

The contracting agency's response to all findings and questioned costs, including corrective action taken or planned and the disposition of questioned costs, must accompany the audit report.

State, local governments and non-profit entities receiving a cumulative amount of \$500,000 or more in federal funds from all sources shall remit a copy of the A133 audit, as applicable, to the Office of Transportation Safety within six months of the close of the agency's fiscal year.

All original source documents relating to the project shall also be available for inspection or audit at all reasonable times to representatives of the OTS or the Federal administering agencies. For these purposes, records shall be retained by the applicant agency for three (3) years after payment of a final claim.

Any state, local, for profit or non-profit recipient expending federal grant funds (regardless of amount), that is subject to an audit or other review should submit a copy of the resulting report to CDOT. If the report contains audit findings relating to federal awards that the pass-through entity provided, the report must be submitted to CDOT.

Those agencies receiving less than the \$500,000 in federal grant funds are exempt from the A-133 Single Audit requirement but are required, annually, to complete and submit to CDOT the A-133 Exemption form.

REIMBURSEMENT CLAIMS

Preparation of Reimbursement Claims

Before any claim can be paid the FEIN (Federal Employer Identification Number) and DUNS# must be on file on a W-9 form. Those agencies not having a W-9 on file with CDOT shall submit W-9's to the Project Manager before the first claim is processed.

All claims for reimbursement of project expenditures should be prepared under the direction of the agency fiscal officer or chief accountant. Expenditures should be obtained directly from costs of record in the accounting system. Documentation shall be submitted with each claim to substantiate the request for reimbursement. This

documentation can be in the form of a cost summary and related receipts or invoices, where applicable. The agency must retain detailed records concerning costs. If needed documentation does not accompany the claim form, it will be returned to the agency for the addition of the required information.

Claims shall be submitted monthly, claims for costs incurred in one month shall be submitted within 45 days after the end of that month. **The exception to this is the claim form for June expenses, which is due no later than July 15. In addition, Fiscal Year-end processing requires an estimate of all completed/unpaid activities. All participants MUST submit their estimate of unpaid claims by June 20th so these amounts can be accrued in the correct Fiscal Year. These estimates must be based on anticipated hours/rates, planned purchases, and other normal operational expenses that would be charged to the project. The Office of Transportation Safety will supply the format for this estimate.**

Claims for costs incurred which are over 45 days may not be paid by the Office of Transportation Safety unless authorized during the course of an audit. Properly prepared claims are usually processed weekly. Reimbursement will ordinarily be received by the agency within 45 days from claim submission. Missing documentation or other inaccuracies in the claim may result delayed processing and payment received after the 45-day period

Claims may not be eligible for reimbursement unless the agency is current on all reporting requirements (see Section II - Reports). Reports will be reviewed by Office of Transportation Safety staff for completeness in addressing contract progress, task activities, and evaluation measures. Claims must be prepared on forms furnished by the Office of Transportation Safety.

Final Reimbursement Claims

Final reimbursement claims must be processed as soon as possible after the close of the Federal Fiscal Year (Sept. 30) and be received by Office of Transportation Safety within 45 days of the close (Nov. 15). Claims received in Office of Transportation Safety after the 45th day after closing may not be processed and reimbursement will be disallowed.

General Instructions

The Claim for Reimbursement form (CDOT #1069) is to be used for claiming costs incurred while performing highway safety contract work. See the Appendix for this form.

FORM CDOT #1069 “CLAIM FOR REIMBURSEMENT”

Complete as indicated on the form:

Part I of the CDOT #1069 is used for listing costs incurred for the period shown.

. **Agency Name:** Verify agency (contractor) as stated in the contract.

Agency Address: Verify the address where the State of Colorado reimbursement warrant should be mailed.

Claim # (Indicate if Monthly or Final Claim)

Claim for the period (Enter dates, start to finish)

Categories: Categories are provided on the form. If a category is used that is not listed, reflect the cost on the 'other' line and specify the cost.

- Amount Claimed from CDOT
- Local Benefit (CDOT)
- Agency Match

Totals: Enter totals for each funding source.

Part II is used to list previous claims and current claim forwarded from Part I

Part III is Certification of costs incurred- this requires the project coordinator's signature.

The "Grant Claims Payment Processing Checklist for Contractors" can be used to assist in completing and checking the Claims for Reimbursement form before submission, see Appendix for this Checklist.

CAPITAL EQUIPMENT ACCOUNTABILITY

All capital equipment purchases must have prior approval from the OTS. Each contractor is responsible for accounting for all equipment purchased with federal highway safety funds and administered by the Office of Transportation Safety. Upon receipt of capital equipment, it must be labeled as purchased with CDOT funds and a Capital Equipment Accountability Record, CDOT Form #1130 (See Appendix) shall be sent to the Office of Transportation Safety. This form shall be on file prior to reimbursement for the equipment.

Capital equipment is defined as any non-expendable personal property purchased with a unit cost of \$5,000 or more and having a useful life of more than one year. State and local capital equipment accountability policies are not in any way invalidated by Office of Transportation Safety requirements.

The procurement of all capital equipment shall be in accordance with the provisions in 49 CFR Part 18.36. Special instructions are applicable for any item with a unit or total cost exceeding \$10,000. For these acquisitions the contractor should check for the requirements with the Office of Transportation Safety.

Specific limitations and conditions are applicable to procurement of certain capital equipment, and the Buy American provisions of the Surface Transportation Assistance Act of 1982 shall be followed (NHTSA Order 462-13A). Contact the Office of Transportation Safety for the current applicable provisions.

All equipment purchased with federal highway safety funds must be used for its originally intended purpose. It will be accounted for not only during the contract period, but also after the contract period has expired and throughout the useful life of the equipment. A physical inspection of property must be made every year and recorded on an inspection certification form sent out by the Office of Transportation Safety. Annual inspections will be required until the property is disposed of.

Additionally, the Office of Transportation Safety is required to verify the condition, location and use of federally acquired equipment with all user agencies by physically inspecting the equipment every two years.

The agency shall have in place property management procedures which provide for:

- Safeguards against loss, damage or theft - (Any loss, damage or theft should be investigated, fully documented, and reported to the Office of Transportation Safety); and adequate maintenance procedures to keep the property in good working condition.

When the equipment will no longer be used for the originally intended purpose or it can no longer be used because of loss, damage or theft, it must be reported to the Office of Transportation Safety. A review will be made and appropriate action for the disposition of the equipment will be determined by the Office of Transportation Safety. If the asset is to be sold and its estimated value is more than \$1,000 the Office of Transportation Safety must retain a portion of the sale price equivalent to the original percentage of federal funds used to purchase the equipment. The agency is entitled to retain 10% of the sale price or \$100 whichever is greater, for administrative costs of the sale. If the agency wishes to retain the equipment, but use it for purposes other than the originally intended purpose, the Office of Transportation Safety and the agency will agree on a mutually acceptable value based on the fair market value or appraisal for reimbursement. All equipment to be considered for disposition will be listed on the Form CDOT #1129 (See Appendix). Records for equipment acquired with Federal funds shall be retained for 3 years after its final disposition (NHTSA Order 460-4A, Chg. 1).

Capital equipment acquired with federal highway safety funds are not eligible for replacement using federal highway safety funds. Certain exceptions may apply in those instances where capital equipment was acquired with federal highway safety funds mandated for use in specific program areas.

GUIDELINES FOR OTHER PURCHASES

The Colorado Department of Transportation, Office of Transportation Safety (OTS) continually strives to work with contractors to provide the most effective means of promoting and improving traffic safety in the State of Colorado. Part of that collaboration is ensuring that claims and expenses reflect the most efficient and effective use of resources for each grant. The following guidelines are intended as a resource for purchases of incentive items, food and supplies.

Incentives

Incentives can be an integral part of promoting traffic safety. The purchase of incentive items requires the prior written approval of the OTS Project Manager. This approval may be in the form of an e-mail. Request for approval must include an explanation of the demonstrated link between the incentive and the project outcomes.

Incentives items should contain the traffic safety message (printed, audio, etc.) and/or be tied to behavioral outcomes as stated in the project objectives. The cost of incentives is limited to \$25 or less per item, and the total cumulative amount is limited to no more than 10% of the total grant awarded for the project for the federal fiscal year. This includes incentives for volunteers and any scholarship type incentives.

A larger one item purchase of up to \$100 will be considered for raffles or as a give-away in a prize drawing, provided the above elements are addressed. This incentive will also require prior written approval from the OTS Project Manager and the request must include an explanation of the demonstrated link between the incentive and the project outcomes.

An inventory of incentives must be maintained showing beginning number, number distributed and ending number of items. A detailed record of who/where distributions were made must also be maintained. Winners of the "Give-Away" items must be documented and distribution records of gift cards, regardless of dollar value, must be kept.

Food

Reasonable costs for food purchases directly related to the project deliverables and that are training related may be reimbursable if the purchase meets the criteria outlined in this paragraph:

- The purpose of the meeting must be directly related and applicable to the project deliverables.
- All food purchase reimbursements must include a roster of attendees, an agenda of the meeting, the purpose of the meeting and/or event and minutes of the meeting.

- Food may be purchased for volunteer or other unpaid attendees.
- The cost per person cannot exceed the State of Colorado Per Diem guidelines.
- The total cumulative amount is limited to no more than 10% of the total grant awarded for the project for the federal fiscal year
- Per Diem costs related to travel in or out of state do not count towards the 10% total.

Supplies

Reasonable costs for the purchase of office and other supplies may be allowable when there is a clear association between the purchase and the corresponding benefit to the highway safety project. The total cumulative amount for supply purchases throughout the year is limited to no more than 10% of the total grant awarded for the project for the federal fiscal year. Large volume supply purchases made at or near the end of the project may be disallowed for reimbursement. Supplies purchased for the project must be kept separately and will be inventoried during on-site monitoring visits.

Procurement standards

Grantees and sub-grantees will use their own procurement procedures which reflect applicable State and local laws and regulations, provided that the procurements conform to applicable Federal law.

SECTION IV

GLOSSARY

GLOSSARY

Contract - The legal document between the Office of Transportation Safety and a local agency/jurisdiction of the government or not-for-profit corporation implementing a highway safety project that totals over \$100,000.

Contract Director - The individual who has the overall responsibility for operations under the contract. This person has the authority to sign contracts for an agency.

Contract Period - The effective dates of a contract. A contract period will be 12 months or less, and will be within the October to September federal fiscal year.

Federal Aid Agreement - The financial document, approved by NHTSA, indicating the actual amount of funds available for the Federal Fiscal Year (FFY).

Integrated Safety Plan (ISP) - The Integrated Safety Plan provides for multi-year planning and current year program implementation. It identifies planned highway safety projects and activities for the federal fiscal year and is the basis for execution of the Federal Aid Agreement for funding approved projects and activities.

Objective - A measurable statement of what is expected to be accomplished.

Project - A specific endeavor being undertaken to reduce traffic fatalities and injuries or improve the delivery of a needed highway safety service.

Project Coordinator - The individual responsible for the accomplishment of one or more objectives in a contract. This person manages day-to-day contract activities and is responsible to or can be the Contract Director.

Project Period - The estimated length of time to complete a specific highway safety activity. The project period cannot exceed three years.

Problem Identification - The Problem Identification is part of the Integrated Safety Plan addressing specific measures related to a major traffic safety emphasis or problem area. It includes a problem statement, problem solution narrative, evaluation plan, task narratives, and financial plan.

Purchase Order - The legal document between the Office of Transportation Safety and a local agency/jurisdiction of the government or not-for-profit corporation implementing a highway safety project that totals under \$100,000.

Task - Activity to be performed in carrying out an objective.

SECTION V APPENDIX

CLAIM FOR REIMBURSEMENT

**Contractor
Completes
CDOT Completes**

Color Key

Return
Office of
4201 E.
Denver,

Date Received by OTS:

PART I

Agency Name: Mile-High Regional Emergency Medical & Trauma Advisory Council
Enforcement Name (if applicable): MHRETA

Agency Payment Address (where payment will be mailed)
 Mile-High RETAC
 2352 South Juniper Way
 Lakewood, CO 80228

WBS#	13ADMPLN402.9109	Task#	13-09-91-09	PO#	211017443	PO Date	
Claim # 1	Monthly	Claim period		FROM:		TO:	
Invoice #	Final						

Budget Categories <i>(Supporting docs MUST be attached)</i>	Amount claimed from CDOT	Local Benefit
Personal Services		\$0.00
Operating Expenses		\$0.00
Incentives (not to exceed 10% of budget)		\$0.00
Travel Expenses		\$0.00
Contractual Services		\$0.00
Capital Equipment		\$0.00
Other (Please specify)		\$0.00
Total:	\$0.00	\$0.00

PART II List previous claims and current claim forwarded from Part I

Budget from contract		\$50,000.00	\$50,000.00
Claim #	Invoice #	Amount claimed from CDOT	Local Benefit
1	0	\$0.00	\$0.00
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
Claims to date		\$0.00	\$0.00
Balance		\$50,000.00	\$50,000.00

Incentives to-date: 10% of total budget allowed		\$5,000.00
--	--	------------

PART III Certification of Costs Incurred

"I certify that in accordance with the laws of the State and Federal governments and under terms of the approved activities, actual costs claimed have been incurred for the purposes specified in the Project Contract/Agreement, no duplicate claim has been presented to or payment made by the United States or the State of Colorado for actual cost reimbursement claimed herein."

Contract Project Coordinator

Printed Name:

Signature: Date:

For CDOT Use Only

"The undersigned hereby certifies that the expenditures for purchases or services described on the voucher and in the attached supporting papers were duly authorized; that the expenditures are for official State business and not for private or personal purposes; that the expenditures are reasonable and proper and correctly represented by the claims set forth on this voucher are in accordance with the Law or administration rules and are authorized by appropriation or other specific authority."

Project Manager (Signature) Date:

Program Controls Analyst (Signature) Date:

PO & Receiver DOCS

Req. (ME51N)

Stat. PO (ME21N)

Good Rcpt. (MIGO)

Svc Entry (ML81N)

Vendor #

PO Date:

Entry By

Date

WBS Element

Amount to Pay

Posted by: Date: Parked by: Date: **CDOT Business**
Office PARK doc #

Page 2 of 2 Previous editions are obsolete and may not be used, new edition incorporates Form 1068 with Form 1069. Form 1068 is abolished.

**COLORADO DEPARTMENT OF TRANSPORTATION
CAPITAL EQUIPMENT DISPOSITION**

Instructions:

- 1) Use this form when equipment is no longer used, for the purpose for which it was acquired to request disposition instructions from the Office of Transportation Safety (OTS).
- 2) Complete this form, retain copy for records and send original to Colorado Department of Transportation.
- 3) See current contract Management Manual for capital equipment requirements.

Part I (completed by Agency)

Project #	Contract period _____ to _____					
Agency name						
Agency address						
<input type="checkbox"/>						
<input type="checkbox"/>						
Item description Model # and Brand name	Manufactures serial # <small>(if no serial # use organizational inventory #)</small>	Date received from vendor	Original cost	% OTS funded	Equipment location <small>(include building and room #)</small>	Remaining Fair Market Value
1.						
2.						
3.						
4.						
Fair Market Value justification (i.e. manufacturer's listing, comparative research etc.)						
1.						
2.						
3.						
4.						
I certify the above described equipment is no longer needed or will not be used for the intended purposes and activity. I hereby request determination for disposition of this equipment.						
I declare under penalty of perjury in the second degree, and any other applicable state or federal laws, that the statements made on this document are true and complete to the best of my knowledge.						
Contract director signature						Date

Part II (completed by OTS)

OTS approves disposition of the equipment summarized in Part I. Director, Office of Transportation Safety	Date
--	------

Part III (completed by OTS)

Disposition instructions
1.
2.
3.
4.

