

**ARIZONA
GOVERNOR'S OFFICE
OF
HIGHWAY SAFETY**



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**PROJECT DIRECTOR'S
MANUAL
Federal Fiscal Year 2017**



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I. INTRODUCTION

The project, which is the subject of this Contract, has been approved for funding under the Fixing America's Surface Transportation Act (FAST Act). Agency projects were selected for funding following rigorous problem identification and analysis procedures following which, the determination that a highway safety problem exists and the project described in the Contract will impact the problem identified favorably.

Governor's Office of Highway Safety (GOHS) grants **are not** "block grants" providing funds in advance for expenditures. GOHS grants reimburse for expenditures from an agency's own resources to fund the project described in the Contract. Your agency must actually spend funds in accordance with the terms outlined in the Contract before submitting a claim for reimbursement.

The entire Contract consists of the following:

- Face Sheet, which summarizes the Contract;
- The body of the Contract, which set forth the details of the Contract;
- This Project Director's Manual, which provides administrative guidance for the Project Director and Project Administrator (if applicable)

The Contract has been prepared based on your agency proposal and/or negotiations with GOHS and has been reviewed and approved as to form by legal counsel. Your agency legal counsel may review the Contract as well.

PLEASE NOTE:

1. Your agency shall not incur any expenses against the Contract until:
 - a) After the **Effective Date** (i.e., date of signature by the Governor's Highway Safety Representative on the last page of the Contract); and
 - b) Your agency receives a fully executed original Contract with a letter of authorization to proceed with the project signed by the Governor's Highway Safety Representative.

**NOTE: GOHS WILL NOT REIMBURSE EXPENDITURES
INCURRED PRIOR TO THE EFFECTIVE DATE**

II. FISCAL REQUIREMENTS

Your agency is required to maintain or cause to be maintained all project cost records, including source documentation, as evidence of costs incurred against the Contract. It is the responsibility of the Project Director to ensure that: (1) an accounting system is in existence which conforms to generally accepted accounting principles; (2) procedures concerning expenditures and reimbursement requests are established; and (3) source documents are developed which will reliably account for the funds expended. Your agency may establish a special accounting system to gather, summarize, and control project expenditures and establish a clear audit trail.

The contract Federal Fiscal Year begins on October 1st and ends on September 30th unless otherwise stated. To ensure reimbursement of expenditures, your agency must submit all financial, performance, and any other reports required as a condition of the Contract to GOHS no later than October 15th following the end of the Contract fiscal year.

The Catalog of Federal Domestic Assistance (**CFDA**) provides a full listing of all Federal programs available to State and local governments (including the District of Columbia); federally-recognized Indian tribal governments; Territories (and possessions) of the United States; domestic public, quasi-public, and private profit and nonprofit organizations and institutions; specialized groups; and individuals. Programs administered by GOHS have the following assigned CFDA corresponding numbers:

- 402 funded programs **20.600**
- 405 funded programs **20.616**

Records Retention

Records of project expenditures are to be retained and made available at all times for a period of not less than six (6) years after final payment. Records must be retained beyond this date if audit findings have not been resolved. Audits of state and local claims must be performed using original documentation.

Reimbursement Procedures

Report of Costs Incurred (RCI)

The preparer of the RCI must print his/her name, **sign**, date, list a telephone, fax number and e-mail address where he/she can be reached, and attach the proper supporting documentation (see below).

If funding was not spent during a quarter, the agency must submit an RCI reflecting \$0.00 expenditures. If an agency expends the total amount of the contract, the agency must continue to submit quarterly reports for activity and an RCI reflecting the \$0.00 balance for each of the subsequent quarters. A minimum of four (4) Quarterly Reports and four (4) RCIs are required.

The RCI must be **signed** and dated by the Project Director or an agency Official authorized by the Project Director in writing and on file at GOHS to certify and sign RCIs.

GOHS will process only properly completed and signed RCIs that include supporting documentation. Do not use white-out on an RCI. All cost claims must be substantiated with acceptable procurement and accounting documents accompanying the RCI. The following is a listing of acceptable supporting documentation:

Document Type	Information/Items Reviewed
Personnel Services & Employee Related Expenses (for Overtime Contracts)	Labor distribution report, time sheets; payroll journal reports; payroll taxes (FICA, Medicare) and unemployment insurance reports (where applicable to overtime). Reports must have the names of the individuals, overtime hours, OT rate of pay, dates worked, and ERE for each individual. Use these along with paystub or payroll journal that supports overtime incurred. If no report exists, contact your GOHS Grant Coordinator to use the GOHS Overtime Records Sheet . GOHS Overtime Records Sheet can be found on the GOHS website at www.azgohs.gov/grant-opportunities .
Professional & Outside Services; Materials & Supplies (PI&E); Capital Outlay/ Equipment; Other Expenses	Bid documents (i.e., Requests for Proposal, written quotes, awards); requisitions; purchase orders; receiving reports; invoices; copies of payment checks to vendors; and the general ledger report that verifies proof of payment.
Travel In-State & Out-of-State	Travel expense claims; hotel receipts; airline travel itineraries and receipts; conference/workshop registration fee receipts; copies of credit card receipts/bills and/or payment checks (proof of payment).

The GOHS reserves the right to limit reimbursement of Employee Related Expenses from zero (0) to a maximum rate of 40 percent. This is the maximum ERE amount to be reimbursed. It is agreed and understood that the contracting agency/organization shall absorb any and all expenditures over the contract amount.

III. PROJECT REPORTING

The contracted projects shall be administratively evaluated to ensure that the outlined performance goals and objectives have been met.

Quarterly Report

The Quarterly Report (QR) purpose is to provide information on contracted grant activities

conducted at the conclusion of each respective quarter. The information provided is used to review progress of the funded project and the successfulness in meeting outlined goals and objectives. The information, photos, highlights, obstacles, and mandatory statistical data provided in this report are analyzed by the assigned GOHS project coordinator. It is critical that the report contains the following information:

- Description of projects/activities conducted to achieve goals and objectives supported by the funding.
- Progress towards the completion of the project meeting the goals and objectives of the funded project. Examples additionally include public information, educational activities, electronic and printed media activities (include newspaper clippings)
- Report of status of procurement process as well as the current and federal fiscal year-to-date program expenditures (equipment materials/supplies etc.)
- Specific problem areas encountered and solutions identified (if applicable)
- Capital Outlay Equipment:
 - **Single item under \$5,000 - Photographs recommended**
 - **Single item over \$5,000 - Photographs and Capital Outlay Equipment Form required**
- Quarterly Enforcement Report
- Appropriate signatures

PLEASE NOTE: ALL EXPENDITURES LISTED IN THE QUARTERLY REPORT MUST MATCH THE EXPENDITURES REPORTED ON THE RCIs FOR THAT QUARTER

Reporting Schedule

Reporting Period	Due Date
1st RCI and Quarterly Report (October 1 to December 31, 2016)	January 30, 2017
2nd RCI and Quarterly Report (January 1 to March 31, 2017)	April 20, 2017
3rd RCI and Quarterly Report (April 1 to June 30, 2017)	July 20, 2017
4th RCI and Quarterly Report (July 1 to September 30, 2017)	October 15, 2017
Final Statement of Accomplishments Report	October 15, 2017

The Quarterly Report **shall be completed on the form available on-line and submitted by mail** to the Governor’s Office of Highway Safety.

NOTE: IT IS REQUIRED THAT ALL LAW ENFORCEMENT AGENCIES MUST ENTER STATISTICAL AND ENFORCEMENT ACTIVITY INTO THE ON-LINE GOHS DUI REPORTING SYSTEM IN ADDITION TO SUBMITTING THE “QUARTERLY ENFORCEMENT REPORT”.

Final Statement of Accomplishments Report

The Project Director shall submit a Final Statement of Accomplishments Report to the GOHS no later than fifteen (15) days after the conclusion of each federal fiscal year (September 30th). All agencies receiving funding are required to submit a Final Statement of Accomplishments Report.

Note: Failure to comply with the outlined GOHS reporting requirements may result in withholding of federal funds or termination of the contract.

Project Period

The Project Period shall commence on the date the GOHS Director signs the Highway Safety Contract and will terminate on September 30 of the subsequent year as indicated on the Highway Safety Contract.

If the Agency is unable to expend the funds in the time specified, the Project Director will submit notification on the Agency's letterhead and hand-deliver or submit via regular mail to the Director of the Governor's Office of Highway Safety a minimum of 90 days prior to the end of the project period.

Failure to comply may result in cancellation of the contract. Any unexpended funds remaining at the termination of the contract shall be released back to the Governor's Office of Highway Safety.

Requests for Change Orders

Agencies and Organizations with current contracts can request changes to a contract no later than **ninety (90) days** prior to the contract expiration date unless otherwise authorized by the GOHS Director. In order to obtain a change, a **letter signed by the Project Director** must be directed to the GOHS Director describing the change(s) requested and explaining how the change(s) will impact the goals of the project.

Requests for Change Orders are required:

1. When an increase or decrease in the total amount of funding occurs
2. When changes occur in the program activity, equipment, materials and supplies, or training
3. When a reallocation of funding between categories occurs *

*EXCEPTION: A change order is not necessary when the agency is using Personnel Services to cover ERE **or** ERE to cover Personnel Services.

IV. PROJECT MONITORING

Overview

Highway safety grant project monitoring is used by GOHS project coordinators to track the progress of project objectives, performance measures and compliance with applicable procedures, laws, and regulations.

The process is used throughout the duration of the contracted project and serves as a continuous management tool. Project monitoring also presents a good opportunity for developing partnerships, sharing information, and providing assistance to contracted agencies. Additionally, project monitoring outlines a set of procedures for project review and documentation.

Project monitoring also serves as a management tool for:

- Detecting and preventing problems
- Helping to identify needed changes
- Identifying training or assistance needed
- Obtaining data necessary for planning and evaluation
- Identifying exemplary projects

Total Awarded Amount	Type of Monitoring
Under \$50,000	Desk Review/Phone Conference
\$50,000 and over	In-House GOHS Review
\$100,000+	On-Site Review
Desk Review and Phone Conference	Internal Review of all written documentation related to contractual project including but not limited to contract, quarterly reports, enforcement data, financial data, e-mails, letters, notes, press releases, photographs, inventories, and other written correspondence. A phone conference call conducted during the course of the project which includes the date and time of the call, the person(s) contacted and the results. Serves as an informational review to determine progress of programmatic/financial activities. Both the designated project administrator and fiscal contact should be present, if possible, during the phone conference. If identified financial or operational problems are present, GOHS reserves the right to bring the grantee in for an in-house meeting at GOHS. Monitoring form written by Project Coordinator, any findings or areas of improvement, concern or recognition will be provided to the grantee.
In-House Review	Documents performance review results including project activities, reimbursement claims review, equipment purchases, approvals, and other information. Reviews applicable information related to

	the project(s) including but not limited to contract, quarterly reports, enforcement data, financial data, e-mails, letters, notes, press releases, photographs, inventories, and other written correspondence. Completed at GOHS in a meeting with appropriate operational and financial personnel. Monitoring form written by Project Coordinator, any findings or areas of improvement, concern or recognition will be provided to the grantee.
On-Site Monitoring	Documents performance review results including project activities, reimbursement claims review, equipment purchases, and other information. Reviews applicable information related to the project(s) including but not limited to contract, quarterly reports, enforcement data, financial data, e-mails, letters, notes, press releases, photographs, inventories, and other written correspondence. Conducted on-site at the grantee's agency with monitoring form completed on-site by Project Coordinator. Any findings or areas of improvement, concern, or recognition, will be provided to the grantee.

On-site and/or In-house monitoring for grantees of designated projects with large capital outlay purchases, personnel services, and complex projects must be completed within the second or third quarter of the fiscal year. Contracted projects displaying any problems might need on-site monitoring more than once during the fiscal year.

On-site and/or In-house monitoring includes a review and discussion of all issues related to assure the effective and administration of the contracted project. The following are the most important items to review:

- Progress toward meeting goals/objectives and performance measures
- Adherence to the contract specifications, timely submission of complete and correct reports, including required documentation
- Quarterly reports
- Status of expenditures related to the outlined budget
- Accounting records
- Supporting documentation (training documentation, inventory sheets, photographs, press releases etc.)

In addition, the designated project administrator will assure that any equipment purchased will be available for inspection and is being used for the purpose for which it was bought under the outlined contractual agreement.

Documentation

All findings will be documented on the GOHS Monitoring Form and placed in the grantee's respective federal file. Findings will be discussed with the grantee designated contract representative (project administrator, fiscal specialist) by phone and/or e-mail. All noted deficiencies will be provided to the grantee with guidance for improvement and solutions to problems. Grantees that exhibit significantly poor performance will be placed on a performance plan as outlined by the project coordinator. Grantee monitoring information will additionally provide documentation for potential funding in subsequent fiscal year grant proposal review.

NHTSA Regulations

The Federal regulations cited by NHTSA for the monitoring requirement is the Common Rule at 49 CFR Section 18.40. Office of Management and Budget (OMB) circulars and other U.S. DOT and NHTSA regulations contain provisions which pertain to monitoring requirements and may also be cited in a NHTSA Management Review. State Highway Safety Offices (SHSO) are responsible for managing the day-to-day operations of sub-grant supported activities. States must monitor sub-grant supported activities to assure compliance with applicable Federal requirements and to assure that performance goals are being achieved. Monitoring must cover each program, function or activity.

Buy America Act

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

Effective July 30, 2015, the National Highway Traffic Safety Administration (NHTSA) published a Buy America Act public interest waiver. The waiver allows States to purchase any manufactured product with a purchase price of \$5,000.00 or less, excluding a motor vehicle when the purchased product is using Federal grant funds administered under Chapter 4 of Title 23 of the United States Code. (Reference Federal Register Vol. 80, No. 125, published June 30, 2015.)

V. SPECIFIC LAW ENFORCEMENT AGENCY REQUIREMENTS

The GOHS mandates that all law enforcement agencies receiving overtime grant funding for Impaired Driving/DUI Enforcement participate in DUI task forces, specifically the **Statewide Arizona Impaired Driving/DUI Task Force**. The mission of these Task Forces is to “**Unite Arizona**

communities to implement a coordinated public information and education campaign along with combined Impaired Driving/DUI enforcement activities with an emphasis on holidays and specific event days including sustained enforcement throughout the year.”

And, in addition, it is the responsibility of the Police Department to report all holiday task force enforcement statistics to GOHS on-line at the GOHS website **no later than 10:00 a.m. the morning following each day of the event.**

The holidays and special events include and are not limited to: Valentine’s Day, President’s Day, St. Patrick’s Day, Spring Break, Easter, Cinco de Mayo, Prom Night, Memorial Day, Graduation Day, Independence Day, Labor Day, Columbus Day, Halloween, and the Thanksgiving through New Year’s details.

Agencies are additionally required to provide sustained DUI statistical enforcement data to the on-line system on a monthly basis.

NOTE: Failure to report statistics on time and correctly may result in reimbursements being denied.

ENTER TOTAL AGENCY SUSTAINED ENFORCEMENT STATISTICS ONCE A MONTH.

ENTER STATISTICS FOR SPECIALTY ENFORCEMENT DETAILS (PROM/GRAD, RODEO, COUNTRY THUNDER, ETC.) IF AVAILABLE.

VI. SPECIFIC EMERGENCY MEDICAL SERVICES (EMS/FIRE) AGENCY REQUIREMENTS

The GOHS provides funding in support of Emergency Medical and Fire Services with the following objectives:

- To increase vehicle extrication safety, efficiency and times by purchasing extrication equipment that is technologically advanced, safe and reliable for cutting metal materials in newer vehicles.
- To decrease response time (time of notification to hospital treatment or transport) in a Fire District service area.
- To decrease average response time for the arrival of appropriate equipment at the collision site in rural areas.
- To improve the EMS delivery system in a Fire District service area and surrounding communities through the replacement of outdated and unreliable emergency/rescue equipment.

Federal Fiscal Year 2017 Mandatory Reporting Calendar October 1, 2016 - September 30, 2017

THINGS TO REMEMBER:

1. Mandatory Reporting Days are highlighted in **BLUE**.
2. Sustained statistics are due for the previous month by the 2nd Wednesday of the current month highlighted in **RED**.
3. Use any non-mandatory reporting day as 'Date of Detail' when logging Sustained data for the previous month.
4. Enter Statistics for specialty enforcement details (Prom/Grad, Rodeo, Country Thunder, etc.) if available.
5. DUI detail information (location, etc.) must be sent to GOHS two weeks prior to the mandatory reporting holiday detail.

2016

FFY 2017 Quarter 1

October						
Su	Mo	Tu	We	Th	Fr	Sa
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

Halloween - Oct 29-31

November						
Su	Mo	Tu	We	Th	Fr	Sa
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30			

Thanksgiving - Nov 23-26

December						
Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

Christmas/New Year - Dec 2-3, 9-10, 16-17, 23-31

2017

FFY 2017 Quarter 2

January						
Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

February						
Su	Mo	Tu	We	Th	Fr	Sa
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28				

March						
Su	Mo	Tu	We	Th	Fr	Sa
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

St. Patrick's Day - Mar 17-18

FFY 2017 Quarter 3

April						
Su	Mo	Tu	We	Th	Fr	Sa
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30						

May						
Su	Mo	Tu	We	Th	Fr	Sa
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

Cinco de Mayo - May 4-6
Memorial Day - May 26-29

June						
Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	

Independence Day - Jun 30-Jul 4

FFY 2017 Quarter 4

July						
Su	Mo	Tu	We	Th	Fr	Sa
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

Independence Day - Jun 30-Jul 4

August						
Su	Mo	Tu	We	Th	Fr	Sa
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

September						
Su	Mo	Tu	We	Th	Fr	Sa
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30

FFY 2017 Ends September 30, 2017

Labor Day - Sep 1-4

FFY 2018 Quarter 1

October						
Su	Mo	Tu	We	Th	Fr	Sa
FFY 2018 Begins October 1, 2017						
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

Halloween - Oct 28-31

November						
Su	Mo	Tu	We	Th	Fr	Sa
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30		

Thanksgiving - Nov 22-25

December						
Su	Mo	Tu	We	Th	Fr	Sa
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

Christmas/New Year - Dec 1-2, 8-9, 15-16, 22-31

Fixing America's Surface Transportation Act (FAST Act) - FAST Act was signed into law by President Obama on December 4, 2015. Funding surface transportation programs at a total of \$280 billion for fiscal years (FY) 2016 through 2020, FAST Act is the first long-term highway authorization enacted since MAP-21. FAST Act creates a streamlined and performance-based surface transportation program and builds on many of the highway, transit, bike, and pedestrian programs and policies established in 1991.

National Highway Traffic Safety Administration (NHTSA)- established by the Highway Safety Act of 1970, specifically directing the highway safety and consumer programs established by the National Traffic and Motor Vehicle Safety Act of 1966. NHTSA provides leadership to the motor vehicle and highway safety community through the development of innovative approaches to reducing motor vehicle crashes and injuries.

Project Administrator- Agency representative responsible for assuring completion of the contract requirements/obligations within the timeline established in the contract.

Project Director- Agency Head Administrator (Police/Fire Chief, Sheriff, Director) being the authorized signatory and fiduciary official of the agency.

Quarterly Report- A narrative report completed and submitted by the project administrator outlining the agency's activity for a three-month period (quarter) toward achieving the goals and objectives of the awarded contract.

Report of Costs Incurred (RCI)- A form the agency uses to document expenditures against the grant and submitted to GOHS for reimbursement.

Sub grantee- The government or other legal entity to which a sub grant is awarded and which is accountable to the grantee for the use of the funds provided.

Supplanting- Replacing routine and/or existing State or local expenditures with the use of Federal grant funds. Supplanting includes the use of Federal grant funds to reimburse an agency for items already included in a budgeted position.

Sustained Reporting- Statistical reporting of all Traffic Enforcement Activity for an agency. Sustained Reporting of Traffic Enforcement Activity includes all non-contract traffic enforcement taken by an agency (examples are: Designated Driver information, arrests for DUI and/or Youth Alcohol Citations, Speed Enforcement, Occupant Protection, warrants, moving and non-moving citations).