

**CALIFORNIA HIGHWAY PATROL**

**GENERAL ORDER 40.6**

**REVISED FEBRUARY 2021**

**DEPARTMENTAL GRANTS PROGRAM**

**(OFFICE OF TRAFFIC SAFETY GRANTS ONLY)**

1. PURPOSE.

- a. The purpose of the departmental grants program is to provide alternative funding sources to augment, but not supplant, activities conducted in support of the mission of the California Highway Patrol (CHP).
- b. The departmental grants program supports the goals outlined in the current CHP Strategic Plan by providing additional resources for purposes directly related to the Department's law enforcement responsibilities.

2. SCOPE.

- a. This General Order addresses specific policy and procedures applicable to Office of Traffic Safety (OTS) traffic safety grants, which do not include commercial vehicle or homeland security grants.
- b. Commercial vehicle grants are managed by the Enforcement and Planning Division (EPD), Commercial Vehicle Section.
- c. Homeland security grants are managed by the Protective Services Division.

3. GENERAL.

- a. Grant Authorization/Funding Sources. The United States (U.S.) Congress passes authorization legislation (also known as an appropriation bill) which funds the operation of each federal department of government. The U.S. Departments of Justice (DOJ), Homeland Security, and Transportation (DOT) routinely allocate a portion of their authorized budgets to provide grants to states for law enforcement purposes.

(1) For the CHP, DOT grants are the most monetarily important.

(2) On December 4, 2015, the Fixing America's Surface Transportation Act or "FAST Act" was signed into law. The FAST Act bill appropriates funding for highway safety, transit, and other surface transportation programs in each state meeting specified criteria.

(3) The FAST Act bill (and any subsequent transportation appropriation bill) approves funding for federal aid to highways under Title 23 of the U.S. Code.

(4) Federal grant funds for highway safety may be in the form of *direct* or *indirect* federal grants from DOT through the National Highway Traffic Safety Administration (NHTSA), the Federal Motor Carrier Safety Administration (FMCSA), and the Federal Highway Administration.

(a) Virtually all departmental grants for highway safety are either direct federal grants from FMCSA for commercial vehicle programs, or indirect grants funded by NHTSA through OTS for other traffic safety programs.

(b) Indirect grants flow through designated state agencies en route to grantees.

b. California Authorization. California Vehicle Code (CVC) Sections 2900 through 2910 discuss the California Traffic Safety Program.

(1) These sections were created to conform to, and provide a mechanism for, California to accept and disburse benefits available to the state under the federal Highway Safety Act of 1966.

(2) Section 2901 CVC, provided for appointment of a highway safety representative who serves in the California State Transportation Agency.

(3) The California Governor's Traffic Safety Representative is the director of OTS.

(a) The OTS is responsible for the California Traffic Safety Program and for apportioning federal funds, through grants, to various state agencies and local political subdivisions in accordance with federal formulas.

(b) The OTS apportions federal funds through the state's annual Highway Safety Plan (HSP).

(c) The HSP is a document prepared by OTS which designates how California proposes to spend federal highway safety funds.

(d) Each year, the Department actively participates in the state's HSP process.

(e) Following state-level review, OTS submits the HSP to NHTSA, Region IX, for approval.

(4) Because the Department has jurisdictional responsibility for traffic safety issues, it is appropriate for the Department to assume a leadership role in grants that fall within its purview. Accordingly, the Department has developed an annual HSP process to review and submit grant proposals to OTS for funding.

(5) Executive Management maintains final approving authority for all grants submitted in which the Department will benefit, directly or indirectly.

#### 4. GUIDELINES.

a. The OTS distributes federal highway safety funds to state and local agencies, through grants, for traffic safety projects.

b. These grants are contractual agreements to resolve identified problems by the accomplishment of specific goals and objectives. Goals are the desired and measurable project outcomes. Objectives are the critically important action items necessary to achieve project goals.

c. The following are funding guidelines for NHTSA and OTS under Title 23, U.S. Code, Section 402:

(1) Highway safety funds shall be used to assist state and political subdivisions in conducting traffic safety programs.

(2) Federal funds allocated to finance state and local government projects are intended to supplement, but not substitute **ongoing** state or local traffic safety program expenditures.

(3) Highway safety funds may be used for the following purposes: conducting inventories, need studies, engineering studies, systems development, or program implementation.

NOTE: Program implementation includes the establishment of new programs or techniques, and the related training of personnel.

(4) Programs should be designated to eliminate a deficiency in the Department's traffic safety program, expand an existing program, or provide guidelines for improving or developing a departmental program consistent with the criteria identified in the California Traffic Safety Program.

(5) Highway safety funds cannot be used for program maintenance, research, highway design, construction, or maintenance.

NOTE: A comprehensive list of unallowable costs can be found in the OTS *Grant Program Manual*, at <http://www.ots.ca.gov/grant-program-manual>.

d. Priority Program Areas.

(1) Traffic law enforcement plays an important role in deterring impaired driving involving alcohol or other drugs, achieving safety belt usage, encouraging compliance with speed laws, and reducing other unsafe driving behaviors.

(2) Experience has shown a combination of highly visible enforcement, public information, education, and training is necessary to achieve a significant and lasting impact in reducing reportable crashes.

(3) The following are NHTSA priority program areas that have been identified as having the greatest potential for reducing reportable (fatal and injury) crashes:

(a) Alcohol-Impaired Driving. A comprehensive program to combat alcohol-impaired driving.

(b) Distracted Driving. A comprehensive program to combat distracted driving. Frequent distractors that can affect driving ability include interaction with passengers or pets, cellular telephones (hands-free and handheld), eating, smoking, personal hygiene, reading, radio, electronic equipment, and external visual distractions. These secondary tasks remove the driver's attention from the primary task of driving.

(c) Drug-Impaired Driving. A comprehensive program to combat drug-impaired driving.

(d) Motorcycle Safety. A comprehensive program to promote motorcycle safety and prevent motorcycle-related injuries and deaths. To be effective in reducing the number of motorcycle crash deaths and injuries, state programs should address the use of DOT-compliant helmets, proper licensing, impaired riding, rider training, and motorist awareness.

(e) Occupant Protection. A comprehensive occupant protection program that educates and motivates people to use available motor vehicle occupant protection systems. The program focuses on a combination of use requirements, enforcement, public information, education, and training

to achieve significant, lasting increases in safety belt usage, which will reduce fatalities and the number and severity of injuries.

(f) Pedestrian and Bicycle Safety. A comprehensive pedestrian and bicycle safety program that educates and motivates people to follow safe pedestrian and bicycle practices.

(g) Police Traffic Services. An effort to provide an efficient and effective police traffic services program to enforce traffic laws, prevent crashes and the resulting deaths and injuries, assist the injured, document specific details of individual crashes, supervise crash clean-up, and restore safe and orderly movement of traffic.

1 Speed Control. An effective speed control program encourages people to voluntarily comply with speed limits. The program should stress:

a Systematic and rational establishment of speed limits.

b A law enforcement commitment to controlling speed on all public roads.

c A commitment to utilize both traditional methods and state-of-the-art equipment in enforcing speed limits; and

d A strong public information and education program aimed at increasing driver compliance with speed limits.

(h) Emergency Medical Services. A program to ensure persons who incur traffic injuries (or other trauma) receive prompt emergency medical care.

(i) Roadway Safety. A program directed toward reducing the number and severity of reportable traffic crashes.

1 Roadway safety applies to highway safety activities related to the roadway environment.

2 Federal 402 funds may not be used for highway construction, maintenance, or design activities; however, they may be used to develop and implement systems and procedures for safe construction and operation improvements (i.e., geographic information systems to identify high-crash locations, crash data collection systems). (See paragraph 4.c.)

(j) Traffic Records. A program to establish and implement a comprehensive statewide traffic records program.

1 The program should include, or provide for, data for the entire state.

2 A complete and comprehensive traffic records program is essential for:

a The development and operation of a viable Safety Management System and effective traffic-related control efforts.

b The performance of planning, problem identification, operation management and control, tracking of safety trends, and the implementation and evaluation of highway safety countermeasures and activities.

## 5. POLICY.

a. The Department will explore available federal and state governmental sources of grant funding.

b. Private grant funding shall not be sought without specific approval by Executive Management.

c. All headquarters and field commands should develop a system for identifying programs to which grant funds can be applied.

**d. Grants shall only be used for the purpose and by the commands for which they were justified.**

e. All applications for OTS grant funding shall be sent through channels to the Special Projects Section (SPS), Grants Management Unit (GMU).

f. Prior to negotiating a grant partnership with another state or local agency, commanders shall contact GMU and the appropriate Assistant Commissioner through channels.

(1) This policy applies to instances when the Department is not the grant applicant, but will participate in or benefit from the grant project (e.g., an allied agency applies for a grant, and the Department will contribute services).

(2) In instances when the Department is the applicant partner in such a grant, paragraph 5.e. above applies.

g. The OTS requires grant applicant agencies proposing projects which include CHP participation, to submit a "letter of intent to participate" from the CHP. (See Annex A.)

(1) The letter of intent to participate may be from CHP Headquarters or a local CHP command (Division or Area) depending upon the scope of the project proposed.

(2) If the concept is proposed by a state agency and has statewide impact, the letter of intent should be signed by the Commissioner or Assistant Commissioner, Field (ACF).

(3) If the concept is proposed by a local governmental agency and has local impact, the letter of intent may be signed by a Division commander or an Area commander (with Division approval).

(4) Additionally, if OTS requires another agency work with the CHP as a condition of receiving a grant, OTS will send GMU a copy of the grant proposal and request a letter of intent to participate.

(5) The GMU will forward the proposal and request for a letter of intent through channels to ACF.

(a) The ACF will forward the request to the appropriate field Division.

(b) The OTS will send GMU copies of draft grant agreements from other agencies that include CHP participation.

(c) If GMU has no record these projects have gone through ACF for field Division notification, a copy of the draft agreement will be forwarded to ACF for field Division notification.

h. Following OTS grant award notification to a state or local agency for which the CHP has submitted a letter of intent to participate, the following action steps will occur:

(1) The OTS will notify CHP through GMU of the grant award and will provide the scope of work to be performed. This will be accomplished by providing GMU a draft copy of the grant agreement between OTS and the agency receiving the grant.

(2) The GMU will advise the participating command by providing a copy of the draft grant agreement.

i. If an office, Area, section, or Division commander becomes aware another agency or organization is proposing, or has submitted, a grant application to a funding agency other than OTS that appears to focus on traffic safety goals clearly within the jurisdiction of the Department (e.g., proposes to reduce crashes, provides child safety seats at checkups or bike helmets at bicycle rodeos, or purchases radar units for traffic enforcement in the county), the following steps should be taken immediately:

(1) Contact GMU with basic information relative to the proposal. If aware of the project, GMU will give the commander background information on other similar grant projects within or outside the Department which may conflict with the proposed project.

(2) Notify ACF or Assistant Commissioner, Staff (ACS), through channels as soon as possible. This notification shall include as much of the following information as is available:

(a) Agency/organization applying for the grant.

(b) Other agencies/organizations involved and in what capacity.

(c) The name of the funding agency or organization, for example: OTS, U.S. DOJ through their Community Oriented Policing Services office.

(d) Basic grant information and background information obtained from GMU.

(e) Specific traffic safety components.

(f) Any politically sensitive issues.

(g) The commander's opinion on the effectiveness of the project (i.e., will it accomplish a departmental goal for the Area).

(h) Proposed course of action (e.g., the commander wants to negotiate a leadership role for the CHP in the grant project).

(3) The ACF or ACS will determine the approved strategy on a case-by-case basis, considering the elements of the proposed project and the funding source.

NOTE: Commands may be asked to submit a CHP grant proposal as an alternative to be considered by the grant funding source.

(4) If a commander is approached to provide a letter of support for a traffic safety-related grant project, follow the same guidelines listed in paragraph 5.h. above. Then, based upon the direction given by ACF or ACS, commands may receive approval to provide the letter of support signed by the Area or Division commander, or be directed to prepare a letter of support for the Commissioner's signature. (See Annex B.)

## 6. HIGHWAY SAFETY PLAN PROCESS FOR OFFICE OF TRAFFIC SAFETY GRANTS.

a. Solicitation. In approximately February of each year, GMU shall prepare a Communications Network (Comm-Net) message to all commanders soliciting participation in the Department's HSP. The Comm-Net message will contain guidelines for completing a grant proposal and establish a tentative HSP timeline.

(1) The grant process is approximately 20 months from the beginning of the proposal solicitation in February, to October 1 of the following year when an approved grant will begin.

(2) Participation shall be in the form of submitting a proposal for a traffic safety project that addresses a statewide problem or a problem indigenous to a particular Division or Area command.

b. Grant Proposals.

(1) The initial application for an OTS grant-funded traffic safety project will be in the form of a grant proposal.

(2) The underlying objective of a grant proposal should be improved highway safety (e.g., reduced crashes or improved services).

(3) Grant proposals directly supporting the Department's Strategic Plan goals are more likely to receive departmental approval.

(a) Grant proposals are to be submitted through channels to GMU no later than the due date (approximately two months later) as specified in the Comm-Net message discussed in paragraph 6.a.

(b) When writing new grant proposals or updating grant proposals previously submitted, follow the guidelines provided in the Comm-Net message.

c. Grant Proposal Processing.

- (1) Once the solicitation process is complete and the due date has passed, GMU will finalize the proposals and begin the review process.
- (2) Once finalized (approximately early fall), GMU will assemble the grant proposals and submit them for review and approval through EPD to ACS and ACF.
- (3) Based on direction received from EPD and Executive Management, GMU will edit the proposals, standardize the format, and have the edited version approved by the Office of Primary Interest (OPI) command which submitted the grant proposal.
- (4) The GMU will then submit the proposals for approval through EPD to Executive Management.
- (5) Based on direction received by the Commissioners, GMU will make any required edits to the grant proposals and assemble the final version of the HSP for submission to OTS (approximately January of the following year).
- (6) The GMU will notify affected Divisions, through EPD and the appropriate Assistant Commissioner, whether or not their grant proposals were submitted with the HSP to OTS.
- (7) Generally, in May/June (the year after solicitation), OTS notifies the Department which proposals were approved and the tentative funding level.
- (8) The GMU, through EPD and the appropriate Assistant Commissioner(s), will advise affected Divisions of the results.

d. Draft Grant Agreements.

- (1) The GMU personnel, in collaboration with the grant OPIs, will complete draft grant agreements.
- (2) Upon completion of the draft grant agreements, GMU will route copies to OTS for their preliminary review.
  - (a) The OTS will contact GMU to request any necessary changes to the draft agreements.
  - (b) The GMU will coordinate any substantive changes with the OPI, the Grant Director, and OTS management, as appropriate.
  - (c) The GMU will make appropriate changes and prepare a finalized agreement for signatures.

(3) If the grant has been coded by OTS as "for local benefit," the OPI will be asked to provide documentation of "consent and acceptance" of the work, goods, or services provided by the state on behalf of a local government. This requirement is in accordance with federal statute Title 23, Code of Federal Regulations, Part 1300, which requires at least 40 percent of all Federal funds apportioned under Section 402 will be expended by political subdivisions of the State, in carrying out local highway safety programs.

(a) The OPIs will receive additional direction from GMU regarding this requirement.

(b) The OPI shall not request this documentation before the grant has been approved for funding by OTS.

e. Finalized Grant Agreements.

(1) The GMU will finalize the grant agreements and submit through channels to EPD, Fiscal Management Section (FMS), and ACS for appropriate signatures.

(2) Once CHP signatures are obtained, the final grant agreements are submitted to OTS in accordance with the original signature and copy requirements stated in the OTS Grant Program Manual.

(3) Once finalized by OTS, the executed grant agreements will be returned to GMU.

(4) The GMU will forward copies of the signed executed grant agreement to the grant OPI and FMS (Fund Accounting Unit and Budget Development Unit [BDU]), prior to the beginning of grant operations (typically October 1).

f. Memorandum of Understanding and Office of Primary Interest Guide. The GMU will prepare, for the Grant Director's signature, an internal departmental Memorandum of Understanding (MOU) with an accompanying OPI Guide for each OTS grant project.

(1) The OPI Guide describes the standard roles and responsibilities of all active participants of the grant project and is accessible through the CHP Intranet site, [http://home.chp.ca.gov/org/acs/epd/sps/pdf/OPI\\_Guide\\_2.pdf](http://home.chp.ca.gov/org/acs/epd/sps/pdf/OPI_Guide_2.pdf).

(2) The OPI Guide will include reporting instructions.

(3) The GMU, through EPD, sends the MOU and OPI Guide to appropriate participating commands. The MOU shall be signed by the commander (or designee) to acknowledge receipt of the MOU and OPI Guide and returned to

GMU. The OPI Guide should be retained and copies made, as required, for appropriate individuals within the recipient command.

(4) The MOU should not be confused with an operational plan, which allocates grant resources and is the responsibility of the grant OPI.

## 7. ROLES AND RESPONSIBILITIES.

### a. Grant Director.

(1) The Grant Director is responsible for the overall administration of the grant in accordance with the terms of the grant agreement.

(2) The Grant Director, or designated alternate, will approve and sign all grant agreements, grant revisions, claim invoices, quarterly performance reports, and CHP Final Reports.

(3) The Grant Director will ensure OPIs are aware of the requirement to advise nonuniformed employees working on a federal grant project of federal drug-free workplace requirements.

(4) Uniformed employees, and some nonuniformed employees (e.g., public safety dispatchers), are in positions designated as "sensitive" and are advised of the drug-free workplace requirements as outlined in Highway Patrol Manual (HPM) 9.2, Substance Testing Manual. Drug-free workplace notification for "sensitive" employees is documented on a Receipt and Acknowledgment Form 014-1, a copy of which is filed in their personnel file.

(5) Nonuniformed employees not designated "sensitive" and working on federal grant programs (e.g., analysts and clerical personnel) are to be advised of the drug-free workplace policy and the notification must be documented. The Grant Director's responsibility for advising OPIs of this requirement will be fulfilled within the context of the intradepartmental OPI Guide described in paragraph 6.f.

### b. Grants Management Unit.

(1) The GMU is located within SPS and coordinates the administration of OTS grants.

(2) Commands seeking grant funding for traffic safety projects shall coordinate their efforts with GMU.

(3) The GMU personnel provide general guidance in the development of grant proposals and the management of grants which are awarded.

(4) The GMU is responsible for the overall coordination of the Department's annual HSP and for keeping the Grant Director informed of relevant federal funding opportunities, status of the HSP, and other grant-related activities.

(5) Other than for homeland security and commercial vehicle grants, all inquiries or correspondence concerning the availability of grant funds or other contacts with grant funding agencies shall be coordinated/processed through GMU.

c. Office of Primary Interest.

(1) The OPI responsibility is normally assigned to the command that originates a grant proposal. However, under special circumstances, OPI responsibility may be assigned to a command which did not originate the proposal.

(2) The OPI command shall assign an OPI grant coordinator and an alternate OPI coordinator and provide the names and contact information to GMU.

(3) The OPI command is to ensure, if the original coordinator(s) leave the command or cease to have grant responsibilities for any reason, another grant coordinator and/or alternate is assigned grant responsibilities as soon as possible.

(4) Upon assignment, the OPI command shall provide the primary and alternate coordinator(s) grant-related documentation necessary to complete the assignment. The OPI command shall also coordinate with GMU for appropriate training in grant management.

NOTE: At a minimum, necessary documentation includes the grant agreement, intradepartmental MOU/OPI Guide, operational plan, if published, expenditure records, and quarterly performance reports submitted to date.

(5) The OPI coordinators shall collaborate with GMU to ensure compliance with requirements of the grant agreement.

(6) The OPI coordinators shall conduct grant activities in accordance with the grant agreement and MOU/OPI Guide.

(7) The OPI coordinators shall ensure any nonuniformed employee working on a federal grant, working in a classification not already designated as "sensitive" (see HPM 9.2, Chapter 4, Sensitive Positions), receives a copy of

the Department's drug-free workplace policy and signs a CHP 286, Receipt and Acknowledgement – Drug-Free Workplace Information.

NOTE: A copy of this notice shall be kept in the grant file.

8. GRANT MANAGEMENT.

a. Grant Proposals. Once solicited by GMU (via Comm-Net message), commands can develop and submit grant proposals with guidance from GMU.

(1) Solicitation for grant proposals normally takes place in February with a deadline in May. Proposals are for grants that will begin in October of the following year.

(2) All proposals shall be written by the OPIs, with guidance from the assigned GMU analyst.

(3) All proposals shall be submitted following the guidelines provided by the Comm-Net message and GMU. Necessary components include: problem statement and data analysis of the problem.

(4) Proposals received after the deadline will not be accepted, except as directed by EPD.

b. Finalized Grant Agreements.

(1) Once proposals have been approved by OTS, GMU will collaborate with OPIs to adjust the goals, objectives, and budgets of the grant agreement to accommodate the approved funding level, as well as other requirements stipulated by OTS.

(2) The GMU will prepare finalized grant agreements for required departmental signatures and forward the signed documents to OTS.

(3) The OTS approves the grant agreements, inserts appropriate fiscal pages, and returns the signed grant agreements to CHP (normally in September for grants starting in October).

(4) The GMU will notify BDU of the finalized grant allocations for the departmental spending authorization and overtime distribution.

c. Grant Project Coordination.

(1) All grants shall be strictly managed in accordance with the executed grant agreement.

(2) All inquiries or communication concerning OTS grant management shall be coordinated/processed through GMU. The OPIs shall not contact OTS directly.

(3) Commands authorized to use specific grant funds shall only use the number of overtime hours/dollars allocated by the OPI coordinator.

(4) All hours used shall be for the specific purpose of the grant.

(5) All adjustments to the allocated hours/dollars shall be approved and tracked by the OPI coordinator.

(6) All OPI coordinators shall stay within the budgeted funds in all line items within all budget categories.

d. Managing Grant Expenditures.

(1) The OPI coordinators and GMU analysts shall maintain an accounting log of grant expenditures.

(2) This accounting is to include personnel costs through the most current grant claim invoice, expense claims for travel, requisitions, purchase orders, contracts, etc., regardless of whether invoices have been received for payment, and any obligation of funds (encumbrance).

(3) With the exception of personnel costs, the OPI grant coordinator shall obtain GMU approval prior to **ALL** expenditures or obligations of grant funds.

(a) All requests for GMU approval shall include grant name, number, and budget line item.

(b) **NO GRANT "CATEGORY" BUDGET, OR "LINE ITEM" BUDGET WITHIN A CATEGORY, SHALL BE OVERSPENT.**

(c) If there is a need to transfer funding either between budget categories, or between line items within a budget category, a grant revision is required (refer to paragraph 8.k.).

(4) The GMU approval is to be recorded on appropriate documents (e.g., purchase requisitions, purchase delegation invoices, contract requests, or interagency agreements). Requests for approval of travel are normally via e-mail. However, if a memorandum is used instead, GMU approval must be recorded thereon.

(5) Approval documentation shall include the name of the person in GMU approving the purchase, the date of approval, and the maximum allowable expenditure without additional GMU approval.

(6) All grant purchases shall be received, invoiced, and paid by the Department before the end of the grant cycle (September 30) to ensure they are included in the final reimbursement claim to OTS.

(7) The OPI will approve for payment and promptly forward all invoices for approved expenditures to FMS for payment in accordance with HPM 11.2, Materials Management Manual.

(8) The applicable grant name and number shall be noted on every invoice.

(9) The FMS will verify GMU approval.

(10) The FMS will prepare and submit the necessary reimbursement claims to GMU for review and submission to the Grant Director for approval and signature.

(11) The signed original claim will be returned to GMU, which in turn will be entered in the OTS Grant Electronic Management System with the appropriate documents attached for reimbursement.

e. Travel.

(1) All grant-funded travel shall be preapproved by the appropriate GMU analyst.

(2) The OPI coordinators shall notify their GMU analyst of the date(s) and nature of desired travel, traveler name(s), and total estimated travel costs.

(3) The GMU analyst shall ensure the desired travel is specifically listed in the Budget Narrative of the executed grant agreement and that adequate funding is available.

(a) If desired travel is not specifically listed in the Budget Narrative of the executed grant agreement, OTS approval is required.

(b) The OPI coordinators shall provide to GMU full justification for the travel and request GMU to obtain OTS approval (if needed).

(c) Only the GMU supervisor or GMU analyst shall request approval for travel from OTS.

(d) The GMU will notify requesting commands of the travel approval.

(4) The OPI coordinators shall ensure all travel is completed and expense claims are **promptly** submitted by travelers.

NOTE: Travel expense claims shall state the name, grant number, and special project code to be charged in the report name and/or comments section.

f. Grant-Funded Media.

(1) All grant-funded media purchases shall be coordinated through the Department's Contract Services Unit.

(2) All grant-funded media products shall be preapproved by OTS.

(a) The OPI coordinators shall notify their GMU analyst of proposed media products (e.g., public service announcements and pamphlets).

(b) Storyboards and/or scripts must be submitted and approved by OTS prior to production.

(c) Only the GMU supervisor or GMU analyst shall request approval for proposed media products from OTS.

(3) The OPI coordinators shall ensure all media buys are received, accurately invoiced, and promptly included on an OTS monthly reimbursement claim before the grant ends.

g. Purchase Requisitions.

(1) When completing a purchase requisition for grant-funded purchases, the FI\$Cal System shall be used.

(2) In addition to identifying the federal grant name and number as the funding source, the grant budget category and line item must be identified in the "Header Comments/Justification" section.

(3) All grant-funded purchases shall be in compliance with the executed grant agreement and shall not exceed the line item budget.

(4) Submission of purchase requisitions for grant-funded purchases shall be in compliance with purchasing deadlines for equipment and commodities pursuant to the annual Comm-Net message published by Business Services Section (BSS).

(5) The OPI coordinators shall notify their GMU analyst of the type of desired purchases.

(6) The GMU analyst shall ensure the desired item is listed in the executed grant agreement.

(a) If the desired item is not specifically listed in the executed grant agreement, OTS approval is required.

(b) Only the GMU supervisor or GMU analyst shall request approval for desired items from OTS.

(7) The OPI coordinators shall ensure all purchases are received, invoiced, and included on an OTS monthly reimbursement claim before the grant ends.

h. Grant-Funded Equipment and Supplies.

(1) For instructions on the acquisition, identification, accountability, repair, and disposition of federally funded equipment and/or supplies, refer to HPM 11.2, Chapter 9, Federal Grants/Office of Traffic Safety (OTS) Grants Purchases.

(2) Grant-funded purchases are made on a reimbursable basis and must follow state procurement procedures.

(3) All equipment purchased under an OTS grant which exceeds a unit cost of \$5,000 or more must be reported at the time of invoice on an OTS-25 Form, Equipment Report.

NOTE: The FMS initiates the original OTS-25.

(4) The OTS requires a biennial inventory update for all equipment with a unit cost of \$5,000 or more purchased under a grant.

(a) The OTS initiates the biennial updating of OTS-25 forms and sends the forms to GMU.

(b) The GMU will update the OTS-25 forms with the current fair market value, location, and condition of all equipment.

(5) Following termination of the grant, equipment may be retained as long as it is being used in a traffic safety program.

(6) Until the equipment depreciates to a value less than \$5,000, the equipment must be maintained in good working condition and cannot be conveyed, sold, or transferred without approval from OTS.

i. Grant-Funded Reproduction Requests.

(1) When an OPI coordinator receives artwork for a grant that requires duplication AND there is funding in the appropriate grant line item, the OPI coordinator should:

- (a) Ensure an appropriate safety message and logos are included.
- (b) Ensure OTS has approved the artwork.
- (c) Send the artwork via e-mail to the supervisor in the Reproduction Unit for a cost quote. The e-mail should also be sent to the applicable GMU analyst. It shall contain:

1 All pertinent printing specifications (e.g., type of paper, quantity, finish size, color or black & white, number of originals).

2 The grant number and line item to be charged; and

3 A reasonable due date.

(2) The Reproduction Unit supervisor will reply with a detailed price quote if there is enough time to complete the work in the timeframe required.

NOTE: All grant-related work that requires reimbursement must be finished and billed prior to September 30 of each year.

(3) Once the OPI coordinator has received an e-mailed price quote, and has confirmed with the GMU analyst there is enough funding in the grant line item, the OPI shall:

(a) Prepare a CHP 117, Reproduction Request, or CHP 117C, Reproduction Request-Color, as appropriate.

(b) Obtain commander signature.

(c) Attach a copy of the e-mailed price quote; and,

(d) Forward the package to their GMU analyst.

(4) The applicable GMU analyst will:

(a) Stamp the CHP 117/117C with approval.

(b) Encumber the quoted amount on the grant expenditure log.

(c) Write the FMS accounting officer's name on the CHP 117/117C; and,

- (d) Forward the package to the appropriate FMS accounting officer for approval.
- (5) Once the FMS accounting officer has approved the request, it shall be forwarded to BSS.
- (6) The BSS will assign a Job Number and forward to the Reproduction Unit for processing.
- (7) Once the job is complete, Reproduction Unit will complete the cost analysis portion of the CHP 117/117C and send copies to the OPI coordinator, GMU analyst, and FMS accounting officer.
- (8) The FMS will use the completed CHP 117/117C to seek reimbursement from OTS.
- (9) The GMU analyst will ensure all completed print jobs are charged appropriately when the monthly claim is received.
- (10) This process is not intended to alleviate the Department of all responsibility for funding grant-related reproduction services. If grant funding is no longer available for printing a grant-related document, the Reproduction Unit shall still be required to complete the request.

j. Grant Reporting.

- (1) Active grant projects require the diligent coordination of grant objectives by the OPI coordinator and the efficient and diligent oversight by GMU.
- (2) The OPI coordinators are responsible for grant management and reporting.
- (3) Quarterly Performance Reports.
  - (a) Quarterly Performance Report (QPR) reminders shall be sent to grant OPIs approximately 30 days prior to the due date to GMU (e.g., by December 15 for the due date to GMU of January 15).
  - (b) The QPRs (electronic and hard copy versions) shall be forwarded through channels to GMU in accordance with instructions contained in the grant's OPI Guide.
  - (c) **It is imperative the OPI coordinator use the EPD-approved electronic version of the prior quarter's QPR to prepare the next QPR. All QPRs received in the wrong format will be returned to the OPI for correction.**

(d) The GMU will edit QPRs as required to meet OTS/departmental standards, coordinate significant content changes with the OPIs, and forward them to the Grant Director for approval and signature.

(e) The OPI coordinator will complete the “Final Evaluation” section of the QPR at the end of the fourth quarter.

(4) The Final Report.

(a) For historical reference purposes, the CHP requires a grant final report.

(b) The GMU analysts will coordinate any necessary edits with the OPI and secure EPD approval.

(c) Upon EPD approval of all final reports, GMU will have the report duplicated, bound, and distributed to the CHP Library, the OPI coordinator, and other interested commands.

k. Grant Revisions. The OPI and GMU will coordinate the preparation of necessary grant revisions pursuant to the following guidelines:

(1) Revisions to grant agreements are normally completed only if:

(a) Requested by OTS, or

(b) They are essential to the successful implementation of the grant.

(2) Grant agreements cannot be altered without written justification by the OPI and approval by GMU, SPS, EPD, and OTS.

(3) No monies may be moved from, into, or within a grant without written justification by the OPI and approval by GMU, SPS, EPD, and OTS.

(4) Except under extraordinary circumstances, grant revisions shall be submitted to OTS no later than 60 days before the grant ending date.

l. Grant Reimbursement Claims.

(1) The GMU acts as the liaison between the Grant Director, grant OPI coordinator, FMS, and OTS regarding the submission of grant claim invoices and other accounting procedures involving the disbursement of grant funds.

(2) The GMU approves **every** expenditure of grant funds, with the exception of personnel costs, prior to obligation/expenditure.

(3) The OPI coordinators are required to obtain GMU approval prior to submission of a requisition, purchase delegation justification or invoice, request for a contract or interagency agreement, etc.

(4) This process is outlined in the OPI Guide.

(5) The GMU shall maintain an accounting of obligated grant funds by grant budget category.

(6) The GMU shall compare this accounting with grant claim invoices prepared by FMS.



(7) The GMU shall coordinate with BDU the inclusion of federal, state, and private grant funding into the Department's budget.

OFFICE OF THE COMMISSIONER

ANNEXES A, B

OPI: 063



**ANNEX A**  
**SAMPLE LETTER OF INTENT**

State of California—Transportation Agency	GAVIN NEWSOM, Governor
<b>DEPARTMENT OF CALIFORNIA HIGHWAY PATROL</b>	
P.O. Box 942898 Sacramento, CA 94298-0001 (###) ###-#### (800) 735-2929 (TT/TDD) (800) 735-2922 (Voice)	
<i>(Date)</i>	
File No.: <i>(File Number)</i>	
Name of Chief Any City Police Department 1234 Safe Boulevard Any City, CA 93523	
Dear Chief <i>(last name)</i> :	
Thank you for the opportunity to review your California Office of Traffic Safety (OTS) grant application for the <i>(insert name of proposed project)</i> . It is the intent of the California Highway Patrol (CHP), <i>(insert Area or Division name)</i> to participate in the grant as proposed. As we understand your proposal, CHP participation is to include:	
<i>(Insert a brief paragraph describing CHP proposed participation in the grant. At the end of the description, state "Reimbursement for CHP services will not be required.")</i>	
Should the project receive OTS grant funding approval, CHP services will be provided at no cost. The level of participation the CHP will be able to contribute at any given time may be limited by available resources and conflicting priorities.	
We look forward to working with you on this effort to enhance traffic safety. If you have any questions, or require additional information, please call _____ at _____.	
Sincerely,	
J. L. LEADER, Captain Commander <i>(Name of Area)</i>	
cc: Assistant Commissioner, Staff _____ Division Special Projects Section, Grants Management Unit Fiscal Management Section, Fund Accounting Unit Business Services Section, Contract Services Unit	
	<i>Safety, Service, and Security</i> <i>An Internationally Accredited Agency</i>

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## ANNEX B

### SAMPLE LETTER OF SUPPORT

State of California—Transportation Agency	GAVIN NEWSOM, Governor
<b>DEPARTMENT OF CALIFORNIA HIGHWAY PATROL</b>	
P.O. Box 942898 Sacramento, CA 94298-0001 (###) ###-#### (800) 735-2929 (TT/TDD) (800) 735-2922 (Voice)	
	
<i>(Date)</i>	
File No.: <i>(File Number)</i>	
Arthur Reingold, PhD., Professor of Epidemiology School of Public Health 140 Warren Hall University of California, Berkeley Berkeley, CA 94720	
Dear Dr. Reingold:	
We have reviewed your proposal to establish a Center for Disease Control (CDC)-funded comprehensive Academic Center for Public Health Preparedness within the School of Public Health at the University of California, Berkeley. We strongly support the proposal and agree to participate in Center activities involving the California Highway Patrol (CHP).	
The CHP is the primary enforcement agency in California for addressing biological and chemical hazards. The CHP is responsible for providing services and developing programs which deal with biological and chemical threats concerning the protection of state property and state employees. In addition, the CHP is a probable first responder to biological and chemical threats to the general public. The Department currently has substantial programs in place, including trained hazardous materials response teams, to handle both biological and chemical events. However, adequate preparedness will require increased intensity and sophistication of training, updated equipment, and protocols for coordination with other agencies dealing with public health and public safety.	
As such, we are vitally interested in furthering our partnerships with other state agencies involved in meeting threats posed by either naturally occurring or intentionally distributed infectious agents. We are pleased the proposal provides resources for conducting an assessment of law enforcement training needs associated with infectious disease and public safety, and for incorporating public health information into training modules for law enforcement officers through the CHP training process. We will also provide enforcement information, as appropriate, to be used for the training of front-line public health practitioners.	
Thank you for including us in the proposal. We look forward to a successful collaboration in this activity now so critically needed in our society.	
Sincerely,	
A. L. RAY Commissioner	
cc: Special Projects Section, Grants Management Unit	
<i>Safety, Service, and Security</i>	 <i>An Internationally Accredited Agency</i>

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