

March 2009 Highway Safety Cluster DOT **DEPARTMENT OF TRANSPORTATION**

- CFDA 20.600 STATE AND COMMUNITY HIGHWAY SAFETY**
- CFDA 20.601 ALCOHOL TRAFFIC SAFETY AND DRUNK DRIVING  
PREVENTION INCENTIVE GRANTS**
- CFDA 20.602 OCCUPANT PROTECTION**
- CFDA 20.603 FEDERAL HIGHWAY SAFETY DATA IMPROVEMENTS  
INCENTIVE GRANTS**
- CFDA 20.604 SAFETY INCENTIVE GRANTS FOR USE OF SEATBELTS**
- CFDA 20.605 SAFETY INCENTIVES TO PREVENT OPERATION OF MOTOR  
VEHICLES BY INTOXICATED PERSONS**
- CFDA 20.609 SAFETY BELT PERFORMANCE GRANTS**
- CFDA 20.610 STATE TRAFFIC SAFETY INFORMATION SYSTEM  
IMPROVEMENTS GRANTS**
- CFDA 20.611 INCENTIVE GRANT PROGRAM TO PROHIBIT RACIAL  
PROFILING**
- CFDA 20.612 INCENTIVE GRANT PROGRAM TO INCREASE  
MOTORCYCLIST SAFETY**
- CFDA 20.613 CHILD SAFETY AND CHILD BOOSTER SEAT INCENTIVE  
GRANTS**

## **I. PROGRAM OBJECTIVES**

The objective of the highway traffic safety grant programs is to provide a coordinated national highway safety program to reduce traffic accidents, deaths, injuries, and property damage.

## **II. PROGRAM PROCEDURES**

Funds are provided to the States, following submission of their highway safety plans, in accordance with a predefined formula and incentive grants. All funding is administered as one combined program.

### **Source of Governing Requirements**

This program is authorized under 23 USC Chapter 4 (Highway Safety) and Pub. L. No. 109-59, the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). Implementing regulations are 23 CFR parts 1200, 1225, 1240, 1250, 1252, 1313, 1335, 1345, and 1350.

### **Availability of Other Program Information**

The National Highway Traffic Safety Administration maintains a web site that provides program laws, regulations, and other general information (<http://www.nhtsa.dot.gov>). Program procedures for some programs have been published in the *Federal Register* at

71 FR 4196 (CFDA 20.604), 71 FR 5110 (CFDA 20.613), 71 FR 5727 (CFDA 20.611),  
71 FR 5729 (CFDA 20.610).

### III. COMPLIANCE REQUIREMENTS

**In developing the audit procedures to test compliance with the requirements for a Federal program, the auditor should first look to Part 2, Matrix of Compliance Requirements, to identify which of the 14 types of compliance requirements described in Part 3 are applicable and then look to Parts 3 and 4 for the details of the requirements.**

#### A. Activities Allowed or Unallowed

Funds must be expended as specified in the grantee's highway safety plan. Certain specific costs which will not be approved or that require prior approval have been identified in Highway Safety Grant Funding Policy for the National Highway Traffic Safety Administration (NHTSA)/Federal Highway Administration (FHWA) Field-Administered Grants and are listed below (23 CFR section 1200.20).

1. The following costs are allowable or allowable with specific conditions:
  - a. *Equipment* - Major equipment (tangible, nonexpendable, personal property having a useful life of more than one year and an acquisition cost of \$5000 or more per unit) purchases for new and replacement equipment must be pre-approved.
  - b. *Installation* - The purchase and installation of regulatory and warning signs and supports and field reference markers are allowable for roads off the Federal aid system.
  - c. *Travel* - Travel for out-of-state individuals benefiting the host State's highway safety program is allowable.
  - d. *Training* - The cost of training personnel and the development of new training curricula and materials are allowable. However, training costs for Federal employees, with the exception of Department of the Interior personnel assigned Section 402 responsibility, are unallowable.
  - e. *Program Administration* - The costs for consultant services, promotional activities, alcoholic beverages to support police "sting" operations, and meetings and conferences are allowable.
  - f. *Public Communications* - Advertising space.
  - g. *Child Safety Seats* - For *Child Safety and Child Booster Seat Incentive Grants* (CFDA 20.613), child safety seat purchases are limited to 50 percent of the annual award (Section 2011(d) of SAFETEA-LU).

2. The following costs are unallowable:

- a. *Facilities and Construction*: highway construction, maintenance or design, construction or reconstruction of permanent facilities, highway safety appurtenances, office furnishings and fixtures, and land (except for *Incentive Grant Program to Increase Motorcyclist Safety* (CFDA 20.612) funds, which may be used to purchase facilities, including the purchase of land (Section 2010(e)(1)(B)(iv) of SAFETEA-LU)).
- b. *Equipment*: truck scales, traffic signal preemption systems.
- c. *Training*: individual's salary, and training employees of Federal agencies, except as noted above.
- d. *Program Administration*: research costs, expenses to defray activities of Federal agencies, and commercial drivers' compliance requirements.

**G. Matching, Level of Effort, Earmarking**

**1. Matching**

- a. *State and Community Highway Safety* (CFDA 20.600) and *Safety Incentive Grants for Use of Seatbelts* (CFDA 20.604) - The State shall pay at least 20 percent, or the applicable sliding scale rate, as stated in the grant award, of the total cost of the program. The State shall pay at least 50 percent of the costs for planning and administration (23 USC 120(b) and 402(d); 23 CFR section 1252.4).
- b. For *Alcohol Traffic Safety and Drunk Driving Prevention Incentive Grants* (CFDA 20.601), *Occupant Protection* (CFDA 20.602), and *Federal Highway Safety Data Improvements Incentive Grants* (CFDA 20.603), States are required to match Federal funds at 25 percent the first and second years, 50 percent the third and fourth years, and 75 percent the fifth and sixth years (23 USC 405, 410, and 411; 23 CFR sections 1313.4(b), 1335.10, and 1345.4(a)).
- c. *Safety Incentives to Prevent Operation of Motor Vehicles by Intoxicated Individuals* (CFDA 20.605), and *Safety Belt Performance Grants* (CFDA 20.609) are 100 percent federally funded (23 USC 163 and 406(g); 23 CFR section 1225.4(b)(3)).
- d. *State Traffic Safety Information System Improvements Grants* (CFDA 20.610) and *Incentive Grant Program to Prohibit Racial Profiling* (CFDA 20.611) are 80 percent federally funded (Indian Nations

and Territories are exempt from matching requirements and are 100 percent federally funded) (23 USC 408(e)(4); Section 1906(e)(2) of SAFETEA-LU).

A-133 Compliance Supplement 4-20.600-3 March 2009 Highway Safety Cluster DOT

e. *Child Safety and Child Booster Seat Incentive Grants* (CFDA 20.613) - States are required to match Federal funds at 25 percent the first, second, and third years, and 50 percent the fourth year (Section 2011(c) of SAFETEA-LU).

f. Additional matching requirements may be specified in the grantee's highway safety plan to limit the maximum Federal share of an ambulance, helicopter, automated external defibrillators, or aircraft to 25 percent.

## **2. Level of Effort**

### **2.1 Level of Effort – Maintenance of Effort**

a.

For *Incentive Grant Program to Increase Motorcyclist Safety* (CFDA 20.612), a State must maintain its aggregate expenditures from all other sources for motorcyclist safety training programs and motorcyclist awareness programs at or above the average level of such expenditures in fiscal years 2003 and 2004 (23 CFR part 1350).

b.

For *Alcohol Traffic Safety and Drunk Driving Prevention Incentive Grants* (CFDA 20.601), a State must maintain its aggregate expenditures from all other sources for alcohol traffic safety programs at or above the average level of such expenditures in fiscal years 2003 and 2004 (23 USC 410(a)(2)).

c.

For *Occupant Protection* (CFDA 20.602), a State must maintain its aggregate expenditures from all other sources for programs to reduce highway deaths and injuries resulting from individuals riding unrestrained or improperly restrained in motor vehicles at or above the average level of such expenditures in fiscal years 2003 and 2004 (23 USC 405(a)(2)).

d.

For *State Traffic Safety Information System Improvements Grants* (CFDA 20.610), a State must maintain its aggregate expenditures from all other sources for highway safety data programs at or above the average level of such expenditures in fiscal years 2003 and 2004 (23 USC 408(e)(3)).

e.

For *Child Safety and Child Booster Seat Incentive Grants* (CFDA 20.613), a State must maintain its aggregate expenditures from all other sources for child safety seat and child restraint programs at or above the average level of such expenditures in fiscal years 2003 and 2004 (Section 2011(b) of SAFETEA-LU).

## **2.2 Level of Effort – Supplement Not Supplant – Not Applicable**

A-133 Compliance Supplement 4-20.600-4 March 2009 Highway Safety Cluster DOT A-133  
Compliance Supplement 4-20.600-5

### **3. Earmarking**

- a. At least 40 percent of Federal funds apportioned to a State under *State and Community Highway Safety* (CFDA 20.600) for any fiscal year shall be expended by or for the political subdivisions of the State in carrying out local highway safety programs (23 USC 402(b)(1)(C); 23 CFR part 1250).
- b. The costs for planning and administration under *State and Community Highway Safety* (CFDA 20.600) and *Alcohol Traffic Safety and Drunk Driving Prevention Incentive Grants* (CFDA 20.601) shall not exceed 10 percent of the funds received by the State (23 CFR section 1252.4).
- c. States receiving grants as High Fatality Rate States under *Alcohol Traffic Safety and Drunk Driving Prevention Incentive Grants* (CFDA 20.601) must use at least one half of those grant monies toward High Visibility Enforcement Campaigns (23 USC 410(g)(2)).

## **L. Reporting**

### **1. Financial Reporting**

- a. SF-269, *Financial Status Report* - Not Applicable
- b. SF-270, *Request for Advance or Reimbursement* - Not Applicable
- c. SF-271, *Outlay Report and Request for Reimbursement for Construction Programs* - Not Applicable
- d. SF-272, *Federal Cash Transactions Report* - Not Applicable
- e. HS-217, *Highway Safety Plan Cost Summary (OMB No. 2127-0003)*
- f. *Federal-Aid Reimbursement Voucher (OMB No. 2127-0003)*

### **2. Performance Reporting - Not Applicable**

### **3. Special Reporting - Not Applicable**