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COMISION PARA LA SEGURIDAD EN EL TRANSITO
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“TRAFFIC SAFETY PROGRAM MANUAL”

CST-P-06

"TRAFFIC SAFETY PROGRAM MANUAL"

Asunto: *Área de Planificación y Monitoreo, Comisión para la Seguridad en el Tránsito*

Procedimiento Núm. CST-P-06

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Fecha de efectividad
28 de diciembre de 2007

Procedimiento derogado:
Procedimiento Número 03-01 del 1 de octubre de 1990

Aprobado por: *Sr. José A. Delgado Ortiz, Director Ejecutivo CST*

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Traffic Safety Program Manual

FECHA: 28 de diciembre de 2007

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Manual Notice

To: Holders of Subject Manual Volume

From: _____
Traffic Operations Division

Name: Puerto Rico Traffic Safety Program Manual

Effective Date: _____

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General Purpose

The Puerto Rico Traffic Safety Program (PRTSP o PRTSCP Puerto Rico Traffic Safety Commission Program) Manual establishes, revises and or update procedures and requirements regarding the Puerto Rico Highway Traffic Safety Program.

Chapter 1

Introduction

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Section 1.1 Overview

Puerto Rico is the smallest and the most eastern island of the Greater Antilles and the Largest of the Lesser Antilles. It forms an archipelago with Vieques, Culebra and several smaller islands. Politically, Puerto Rico is a (territory) commonwealth of the United States. There are about four millions legal citizens, distributed over 78 municipalities, which amounts to 1,000 people per square mile.

Average annual precipitation ranges from less than 40 in, on the southern coastal plain, to greater than 200 in the mountains. This precipitation and the mountainous geography of the territory can be a problem to the driving public. The hurricane season, which lasts from June to November, causes damages to roads, including power outages and blocked roads.

1.1.1 Purpose of this Manual

The purpose of this manual is to establish program and project management procedures for sub grants and contracts (notifications)¹ in support of the Puerto Rico Traffic Safety Program. This manual does not, however, address all Traffic Safety Program regulations in regard to program content or other technical criteria. Occasional references to other PRTSC functional manuals are also necessary.

¹ The PRTSC does not issue contracts for granting funds. We use a document titled Fund Agreement Notification (or Fund Granting Notification).

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The Traffic Operations Division will review this manual at least biennially or as often as necessary to ensure that procedures remain current and accurate. Revisions will be made as soon as possible to accommodate any changes in Puerto Rican or federal laws or regulations.

Reviewing Policies:

1.1.2 Documents and Forms

Wherever this manual requires grant-related submissions of documents to PRTSC "in writing" or in "written" form, such submissions may also be made via e-mail or fax at the discretion of PRTSC.

1.1.3 Availability of Manual

The print version of this manual is not widely available. For more information, contact the Public Documents' Administrator for your area at the PRTSC).

1.1.4. Users of Manual

This manual is intended for use by PRTSC personnel, federal, and local government officials, sub grantees and contractors, researchers, and any others interested in procedures in support of the Puerto Rico Traffic Safety Program.

1.1.5. Mission Statement

The mission of Puerto Rico Traffic Safety Program is to identify traffic safety problem areas and implement programs to reduce the number and severity of vehicular crashes through the traffic safety program.

1.1.6 Program Goal and Objective

The goal of the Puerto Rico Traffic Safety Program is to use information, data, technology, resources, and skills to identify traffic safety issues. With the gathered information, plan initiatives, generate coordinated action, and evaluate and communicate results.

The program objective is to operate in a manner that reduces crashes, injuries, deaths, and their related losses, establishing campaigns and effective educational programs to orientate on the importance to comply with law and security rulings.

1.1.7 Background

The Puerto Rico Traffic Safety Program uses federal and local funds. The Administration de Compensation for Accidents de Automobiles (ACAA) administers the local funds for the functioning of the Commission. Federal traffic safety funds are primarily administered and distributed to the states and Puerto Rico by the National Highway Traffic Safety Administration (NHTSA).

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1.1.8 Organization

PRTSC is a decentralized Organization operating through the Island.² Puerto Rico Law 33 of May 25, 1972 entitled the Governor of Puerto Rico with the authority to establish a program to prevent traffic accidents, and set up the necessary agreement to enable Puerto Rico to receive the funds, benefits entitled By Congress Law num. 89-564 of 1966, known as "Highway Safety Act of 1966" and under any other federal law amendment or supplementary to it.³ The Puerto Rico Traffic Safety Commission administers the Puerto Rico Traffic Safety Program.

1.1.9 Responsibilities

The Puerto Rico Traffic Safety Commission is responsible for coordinating and administering the traffic safety program. To carry out these responsibilities, the Commission will:

- Study and evaluate all the problems that affect the traffic in our streets and Highways
- Develop and administer the annual PR Highway Safety Plan and Highway Safety Improvement Program
- Manage traffic safety projects in federally designated priority program areas and in other areas as may be assigned or as determined by problem identification processes
- Provide oversight and assist in the development and implementation of traffic safety projects at the local level
- Develop island wide traffic safety policies and procedures
- Communicate and coordinate activities with other government agencies and community organizations.
- Furnish to make available, agency and federal liaison.
- Ensure compliance with Puerto Rican and federal regulations.
- Administer traffic safety evaluation and research.
- Provide legislative information on traffic safety issues.
- Review, approve, and execute grants, notifications, and subcontracts.
- Approve subcontracts or process them for federal approval
- Provide operational oversight to assure conformity with program and project management policies and procedures.

² Puerto Rico is an island in the Caribbean.

³ See Ley 33 de 25 de mayo de 1972, Art. 1§1, según enmendada.

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- Monitor the activities, results, and expenditures of approved agency grant agreements and interagency [notifications] monitor the activities, results, and expenditures of approved agency grant and interagency agreements.
- Implement and maintain an internal project monitoring system
- Close out traffic safety project and program areas, as appropriate report to the governor's highway safety representative and federal oversight agencies on the status of traffic safety projects.
- Prepare and submit the Annual Report to the National Highway Traffic Safety Administration (NHTSA).

1.1.10 Titles and Office Designations

This manual uses the following titles to designate individuals and offices involved in the Traffic Safety Program:

PRTSC — the Puerto Rico Traffic Safety Commission, also referred as the Commission.

Coordinator- designated within PRTSC to plan, coordinate and supervise each traffic safety program. There are 4 coordinators.

Activities Operational Coordinator – designated to coordinate operational set up for all activities related to the traffic safety programs.

Federal Program Monitor – designated to receive, analyze, process and evaluate traffic safety programs.

Monitor Coordinator – staff person in charge of planning, coordinating, managing, supervising and evaluation of Federal Program Monitors.

Program Manager — PRTSC staff person responsible for managing grants and one or more program areas.
SERA Federal Accountant

Project Coordinator – staff person designated to coordinate trainings for Municipal Police who participate in the programs of the PRTSC.

Project Manager - a PRTSC or other traffic safety staff person responsible for managing local project grant agreements.

Project Director — a sub-grantee or contract person responsible for the oversight and management of a project operating through a traffic safety grant agreement or interagency cooperation contract (IAC).

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1.1.11 Definitions

- grants:
- highway

Unless otherwise indicated, all references to "grants" in this manual include both traffic safety grants and interagency cooperation notifications (contracts (IACs) O IACN). Likewise, all references to "sub-grantees" include recipients of both traffic safety grants and IACs.

Section 1.2 Federal Laws and Regulations

1.2.1 Background

The United States Congress authorizes traffic safety funds to be appropriated to the Puerto Rico Traffic Safety Commission (PRTSC), National Highway Traffic Safety Administration (NHTSA). NHTSA apportions and distributes these funds to the states and Puerto Rico. They obligate these funds through the annual Puerto Rico Highway Safety Plan, which is subject to NHTSA review.

The Puerto Rico Traffic Safety Program is primarily governed by federal regulations issued by NHTSA.

1.2.2 The Highway Safety Act of 1966 and the Prevention of Highway Crashes Act of 1972

The Puerto Rico Traffic Safety Program operates under the provision the Highway Safety Act of 1966, 23 USC 402, et seq., specifically 402(b)(1) and the PR Prevention of Highway Crashes Act of 1972.

Section 402, allows federal agencies considerable leeway to modify as necessary the Traffic Safety Program. The authorization requires these programs to have certain features under the Highway Safety Plan before they are approved. These features are contained in the following federal regulations.

1.2.3 Applicable Federal Regulations

The following regulatory items govern the daily administration of traffic safety grants. Administrators of traffic safety grants should be familiar with, and follow each cited title and rule to effectively design and manage programs. Thorough knowledge of these regulations will reduce a majority of grant questions before they become problems.

The following federal laws and regulations cover traffic safety grants:

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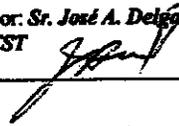
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1.2.3.1 Federal Laws Covering Traffic Safety Grants

Document Title	Revisions as of Date
"Highway Safety Grant Funding Policy for NHTSA/FHWA Field-Administered Grants"	01/30/2001
49 CFR Part 18 — DOT Implementation of Common Grant Rule: "Uniform Administrative Requirements For Grants and Cooperative Agreements to State and Local Governments" (see the following discussion of "The Common Rule.")	10/1/1999
49 CFR Part 19 — "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations"	4/4/1994
23 U.S.C. — Section 154 Open Container Legislation	7/22/1998
23 U.S.C. — Section 154 Open Container Regulation (23 CFR Part 1270)	8/24/2000
23 U.S.C. — Section 157 Seat Belt Use Incentive Grant Legislation	6/9/1998
23 U.S.C. — Section 157 Seat Belt Use Incentive Grant Regulation (23 CFR Parts 1240)	10/29/1998
23 U.S.C. — Section 163 0.08 BAC Grant Program Legislation	10/23/2000
23 U.S.C. — Section 163 0.08 BAC Grant Program Regulation (23 CFR Parts 1225)	7/1/1999
23 U.S.C. — Section 164 Minimum Penalties for Repeat Offenders for DWI/DUI	7/22/1998
23 U.S.C. — Section 164 Repeat Offender Regulation (23 CFR Part 1275)	10/4/2000
23 U.S.C. — Section 402 Highway Safety Program Legislation	6/9/1998
23 U.S.C. — Section 405 Occupant Protection (OP) Incentive Grant	6/9/1998
23 U.S.C. — Section 405 OP Incentive Grant Criteria (23 CFR Part 1345)	10/1/1998

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23 U.S.C. — Section 410 Alcohol-Impaired Driving
Countermeasures Legislation (pre-TEA21)

11/28/1995

23 U.S.C. — Section 410 Alcohol-Impaired Driving
Countermeasures Legislation (TEA21)

6/9/1998

23 U.S.C. — Section 410 Alcohol-Impaired Driving
Countermeasures Regulation (TEA21 Incentive Grant
Criteria) (also 23 CFR Part 1313)

7/28/2000

23 U.S.C. — Section 411 "State Highway Safety Data
Improvement Grants" Legislation

11/9/1998

23 U.S.C. — Section 411 "State Highway Safety Data
Improvement Grants" Regulation (23 CFR Part 1335)

9/11/2000

23 CFR Part 1200 — "Uniform Procedures for State
Highway Safety Programs"

8/27/1999

23 CFR Part 1205 — "Highway Safety Programs
Determination of Effectiveness"

3/2/2001

23 CFR Part 1206 — "Rules of Procedure for Invoking
Sanctions Under the Highway Safety Act of 1966"

6/6/1996

23 CFR Part 1250 — "Political Subdivision Participating
in State Highway Safety Programs" (that is 40% [of Section
402 funding] to local jurisdictions)

4/1/1994

23 CFR Part 1251 — "State Highway Safety Agency"

4/1/1994

23 CFR Part 1340 — "Uniform Criteria for State
Observational Surveys of Seat Belt Use" (23 U.S.C.
Section 157 related)

4/13/2000

Section 2003(b) TEA-21 (Child Passenger Safety)
Legislation

6/9/2000

Transportation Appropriations Act of FY01 — Public
Law 106-346 Section 351 providing Sanctions if State's
fail to pass 0.08 BAC law

10/23/2000

State Certifications and Assurances Statements

January 2001

NHTSA Order 462-6C — "Matching Rates for State
and Community Highway Safety Programs

11/30/1993

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The following federal guidelines pertain to federal grants and contracts:

1.2.3.2 Federal Guidelines Regarding Federal Grants and Contracts

<u>Document Title</u>	<u>Revisions as of Date</u>
Sec. 154/164 Guidance — Concerning TEA-21 Transfer Funding programs	3/31/2000
Sec. 154/164 — frequently asked questions and answers regarding Sec. 154/164	July 2000
Sec. 157 Incentive Fund Program Accounting Guidance	1/22/1999
Sec. 157 Innovative Announcement of Discretionary Grants to Support Innovative Seat Belt Projects	6/1/2001
Sec. 163 (.08) Funds Accounting Guidance — Amended	11/20/1998
NHTSA/FHWA RR Grade Crossing Guidance	11/4/1994
Sec. 402 Advertising Space Guidance from NHTSA	11/3/2000
Sec. 2003 (b) Announcement on Child Passenger Protection Education Grants	11/6/2000
Program Guidelines — "Uniform Guidelines for State Highway Safety Programs"	7/18/1995
Lobbying Guidance — Anti-Lobbying Restrictions	2/7/2000
Lobbying Guidance — Lobbying Restrictions	2/9/2000
Lobbying Guidance — Impact of Recent Lobbying Restrictions on State Officials Who Receive NHTSA Funds	2/25/2000

1.2.3.3 The Common Rule

The US Department of Transportation Common Rule is contained in Title 49, Code of Federal Regulations (CFR) Part 18, and is titled "Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments."

The Common Rule was developed to establish "consistency and uniformity among federal agencies in the implementation and management of grants and cooperative agreements with state, local, and federally

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recognized Indian tribal governments" (Office of Management and Budget [OMB] Circular A-102 [revised], 3/3/88).

The Common Rule supersedes OMB Circular A-102 of 1981. The Common Rule applies to federal grant recipients and the sub-recipients of federally assisted grants (such as municipalities receiving traffic safety grants from the PRTSC). PR has adopted the Common Rule and it is included in the PR Uniform Grants and Contract Management Standards

1.2.3.4 Other Applicable Office of Management and Budget Circulars

Office of Management and Budget (OMB) circulars are frequently used reference materials in administering grants. The following table lists OMB circulars applicable to the Texas Traffic Safety Program:

1.2.3.4.1 OMB Circulars Applicable to the PR Traffic Safety Program

Document Title	Revisions as of Date
OMB Circular A-21 — "Cost Principles for Institutions of Higher Education"	10/27/1998
OMB Circular A-87 — "Cost Principles for State, Local, and Indian Tribal Governments"	8/29/1997
49 CFR Part 19 — "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals & Other Nonprofit Organizations"	4/4/1994
OMB Circular A-122 — "Cost Principles for Nonprofit Organizations"	6/1/1998
OMB Circular A-133 — "Audits of States, Local Governments and Non-profit Organizations." (Also 49 CFR 19)	6/24/1997
OMB Cost Principles — Hospitals — 45 CFR, Subtitle A, Appendix E to Part 74 — "Principles for Determining Cost Applicable to Research and Development under Grants and Contracts with Hospitals"	10/1/1999

1.2.3.4.2 Other Documents Available

The foregoing federal regulations, rules, and other cited procedural documents have been printed and placed in a Highway Safety Grant Management Manual, which is available upon request from any TxDOT district office or the Traffic Operations Division's, Traffic Safety Section in Austin (TRF-TS). The manual

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is available on the Internet at:
<http://www.nhtsa.dot.gov/nhtsa/whatsup/tea21/GrantMan/HTML/00_Manl_Contentsl_01.html>.

Section 1.3 State Laws and Regulations

1.3.1 General

The laws and regulations of the PR Department of Transportation policy also govern the Traffic Safety Program. The program is administered under the rules specified in Title 43, Texas Administrative Code, §§25.901 – 25.913.

1.3.2 PR Traffic Safety Act For the Prevention of Traffic Accidents Act of May 25, 1972, amended

Law 33, of 1972 declares it to be a government purpose to establish, develop, and maintain a program of traffic safety in PR. It authorizes the Commission to enter into grants and contracts to carry out a duty or activity that is part of the island wide Traffic Safety Program.

1.3.3 Uniform Grants and Contracts Management Standards

The aforementioned provisions of the PR Department of Transportation act as the corresponding state equivalent of the federal Common Rule. Since states are allowed to use their own management systems if they are at least as restrictive as the requirement in the Common Rule, this management structure incorporates existing federal standards for grant management (OMB Circular A-87).

Although the states and Puerto Rican are given the right to use their own systems to manage programs, the US Department of Transportation provides the grant funds and therefore determines what type of programs are eligible for funding.

1.3.4. Governor's Highway Safety Representative

The Federal Highway Safety Act of 1966 makes the governor of PR responsible for preparing and administering a island wide Traffic Safety Program designed to reduce traffic crashes and the resulting property damage, injuries, and fatalities. The governor has named the Executive Director of the PRTSC to act as his or her representative in the Traffic Safety Program, and the Secretary of the Department of Transportation and Public Works as his or her representative before the Board of Directors.

1.3.5 Governor's Executive Orders

The following governor's executive orders also regulate the Texas Traffic Safety Program:

- . Executive Order OE-1991-49 establishing the Commission of Traffic Safety, promulgated on August 28, 1991

The foregoing state and Puerto Rico laws and regulations have been printed and placed in the Department of State which can be obtained from Internet

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1.3.6 Intellectual Property

PRTSC follows the policies and procedures relating to intellectual property contained in the Intellectual Property Law Num. 96 of July 15, 1988. This law is administered by the Department of State of the Commonwealth of Puerto Rico.

Section 1.4

Signature Authority

1.4.1 Introduction

Signature authority for traffic safety grants and contracts, assurances, certifications, and other documents is delegated to various levels within PRTSC. Chapter 2, Section 6 of the Contract Management Manual describes signature authority for the PR Traffic Safety Program.

1.4.2 Signature Authority

The following table lists signature authority related to the traffic safety program:

1.4.2.1 Introduction

Signature authority for traffic safety Project agreement and contracts, assurances, certifications, and other documents is delegated to various levels within PRTSC and the Department of Transportation.

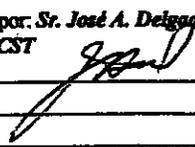
The following table lists signature authority related to the Traffic Safety Program, following review by the Traffic Safety Bureau Chief:

1.4.2.1.1 Signature Authority for Traffic Safety Program Documents

Document	Signature Authority
Highway Safety Plan	Approved by President of the Board of Directors and or the Executive Director of the PRTSC
Certifications and Assurances of the Highway Safety Plan	Approved by President of the Board of Directors and or the Executive Director of the PRTSC Cabinet Secretary of the Board of Directors
Highway Safety Program Cost Summary (HS Form 217)	Approved by PRTSC Executive Director
National Highway Traffic Safety Administration Agreements	Approved by PRDOT Cabinet Secretary and or PRTSC Executive Director
Federal Grant Applications	Approved by PRTSC Executive Director or Planning Director
Contracts	Approved by PRTSC Executive Director
Traffic Safety Project Agreements and Amendments (any amount)	Approved by PRTSC Executive Director
State Vouchers for Federal Reimbursement	Approved by PRTSC Executive Director
Request to NHTSA to Purchase Equipment (greater	Approved by PRTSC Executive Director

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than \$5,000) with Federal Funds	
Project Agreement Line Item Budget Adjustments	Approved by PRHTSC ???????? Executive Director

1.4.3 Further Delegation of Signature Authority

Unless prohibited in the delegation, the person with authority to sign a specific document may further delegate to appropriate employees as follows:

- Give written notification to the employee, describing the specific grant or document and the extent of the signature authority and responsibility.
- Send a copy of the delegating memo to the appropriate office as identified in the following table.

1.4.3.1 Office to Receive Copy of Delegating Memo

If the delegation involves...	Then send the memo to...
Any grant	Contract Services Office (CSO)
Any purchase	Purchasing Section, General Services Division (GSD)
Voucher Batch Cover or Invoice Approval	Finance Division (FIN)
Other official document	Responsible district, division, or office

If there is a change in the name or functional title of the person receiving the delegation or if authority to sign the grant will no longer be delegated, then the delegation should be revised in writing and a copy of the revised delegation and signatures should be sent to the appropriate office.

1.4.4 Specific Authority to Contract

Specific authority to contract derives from Government Code, Title 7, "Intergovernmental Relations," Chapter 771, "Interagency Cooperation Contract," § 771.003. "Authority to Contract Exceptions."

1.4.5 Document for Contract Transactions

Contract Services Office (recommends that an interagency cooperation notification be used for all contract transactions between PRTSC and other government agencies. (CST 1(1), CST (5), CST 1 (2), and GP-CST 1(4) Forms

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Chapter 2

Planning

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Section 2.1 Overview

2.1.1 Background

Federal grant involvement in traffic safety dates from the approval of the National Highway Safety Act of 1966. PR passed a companion act, the Traffic Safety Act of 1972.

The Traffic Safety Program became an integral part of the Puerto Rico Traffic Safety Commission (Texas Department of Transportation) in _____.

While the districts are still responsible for managing local projects, responsibility for the overall Traffic Safety Program resides with the Traffic Operations Division's Traffic Safety Section (TRF-TS). (For more details on specific division and district responsibilities, see the subheading "Responsibilities" in Chapter 1, Section 1.) PRTSC's Executive Director is the designated governor's highway safety representative.

PRTSC is responsible for the overall Traffic Safety Program.

2.1.2 Planning Overview

This chapter describes the traffic safety program planning process with local projects at the agency level and island wide level.

Local jurisdictions (cities and counties) municipalities work with the PRTSC to identify traffic safety problems and conduct needs assessments and develops proposals. Based on these proposals, each municipality develops an annual Municipality Highway Safety Plan (MHSP) and submits it to TRF-TS. State agencies and other sub grantees submit their project proposals directly to TRF-TS. TRF-TS may organize project review teams to review project proposals.

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TRF-TS then use the DHSPs and qualifying state and other agency project proposals to develop a comprehensive statewide multi-year Highway Safety Plan (HSP).

Section 2.2 State Highway Safety Plan

2.2.1 Introduction

The Highway Safety Plan (HSP) is a multi-year plan developed and updated annually by the PRTSC. The HSP is intergovernmental in nature, functioning, either directly or indirectly, through grant agreements, contracts, service purchase orders, requisitions, and work orders.

PRTSC analyze data to identify traffic safety problems by identifying specific causes or locations of vehicular traffic crashes (see Section 3 of this chapter). Then, "local jurisdictions, (MUNICIPALITIES) other government agencies, educational institutions, non-profit organizations, and private contractors submit proposals to PRTSC for grants to address the problems (see Section 8 of this chapter).

PRTSC processes grant agreements and contracts for local jurisdictions, other government agencies, educational institutions, non-profit organizations, and private contractors. PRTSC adds approved proposals to the Highway Safety Plan (HSP).

NOTE: Unless otherwise indicated, all references to "grants" include both traffic safety grants and interagency cooperation contracts (IACs) Likewise; all references to "sub grantees" include recipients of both traffic safety grants and IACs.

2.2.2 Program Areas

The HSP is divided into 13 program areas, as follows:

2.2.2.1 Highway Safety Program Areas

Program Area # / Title (NHTSA Accounting Code)

- 01 Police Traffic Services (PT) and Speed Control (SC)
- 02 Alcohol and Other Drug Countermeasures (AL) (IMPAIRED DRIVING Youth Alcohol)
- 03 Emergency Medical Services (EM)
- 04 Occupant Protections (OP)
Non occupant safety
- 05 Traffic Records (TR)
Traffic Engineering
- 06 Roadway Safeties (RS)
- 07 Motorcycle Safeties (MC)
- 08 Planning and Administration (PA)
- 09 Safe Communities (SA) and College Traffic Safety Programs (SA and CTSPs)
- 10 Driver Educations and Behavior (DE)

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- 11 School Bus Safeties (SB)
- 12 Pedestrian/Bicycle Safeties (PS)
- 13 Commercial Vehicle Safeties (PT and DE)

NOTE: The first six program areas have been designated as "priority program areas" by federal regulation (see Chapter 3, Section 1, for more information on priority program areas). TxDOT has designated additional priority program areas as eligible for funding, based on National Highway Traffic Safety Administration (NHTSA) approval.

2.2.3 Program Funding

Funding of the project within the thirteen program areas comes from the following sources:

- Ten program areas are mostly funded and endorsed by the National Highway Traffic Safety Administration (NHTSA).
- Three program areas — 07-Motorcycle Safety, 08-Planning and Administration, and 10-Driver Education and Behavior — are funded primarily from state sources.

In addition to federal and INSULAR funds, some participating local governments provide "matching" funds, and on occasion funds from other sources are provisionally provided.

2.2.4 Development Process

The Highway Safety Planning process consists of six stages:

1. Planning to select or review program strategies and performance goals and measures
2. Problem identification
3. Issuance of request for proposals
4. Internal coordination
5. Review, comment, and approval
6. Implementation
7. Evaluation.
8. CLOSEOUT

Stages 1 through 6 explain under separate subheadings following this list.

2.2.5. Planning, Problem Identification, and Request for Proposals (Stages 1, 2, & 3) ON.

Planning and Problem Identification or Request for Proposals, the first two stages of the HSP process, include the steps shown in the following table.

NOTE: Dates shown are approximate, and deadlines may vary from year to year.

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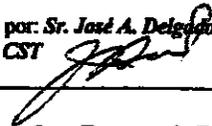
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(1) Planning, (2) Problem Identification, and (3) Request for Proposal Process for HSP Development

Step	Responsible party	Action	Approx. Date
1	PRTSC	Hosts a biennial strategic planning meeting to review performance goals and strategies for the Performance Plan.	June-July
2	PRTSC	Develops and submits Performance Plan, HS-217, and Certifications and Assurances to NHTSA	August
3	PRTSC	Announces Highway Safety Planning process on _____	October
4	PRTSC	Perform problem identification	Oct.-Nov.
5	PRTSC	Contact government agencies regarding project ideas and proposals for the traffic safety program.	Oct.-Nov

See Section 3 of this chapter for more information on "Problem Identification."

2.2.6 Internal Coordination (Stage 4)

Internal Coordination, the third stage of the HSP process, includes the steps shown in the following table.

NOTE: Dates shown are approximate, and deadlines may vary from year to year.

(4) Internal Coordination Process for HSP Development

Step	Responsible Party	Action	Approx. Date
1	Agencies	Submit project proposals to PRTSC	January
2	Districts	Submit district planning documents.	February
3	TRF-TS	Review and score all project proposals.	February
4	TRF-TS and Districts	Review and score all project proposals.	February
5	TRF-TS and Districts	Review proposal scores with agencies.	March

Government agencies submit their Highway Safety Plans to PRTSC. Agencies and other organizations also submit their project proposals to PRTSC. Then PRTSC reviews, analyzes, and tabulates the cost estimates. All project proposals are submitted to a review and scoring team. When all projects have been scored, the results are presented to _____ TRF for incorporation into a recommended project list. Based on this list, PRTSC prepares the program area module narratives to include the project task descriptions for the HSP.

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2.2.7 Review, Comment, and Approval (Stage 5)

Review, Comment, and Approval, the fourth stage of the HSP process, includes the steps shown in the following table.

NOTE: Dates shown are approximate, and deadlines may vary from year to year.

(5) Review, Comment, and Approval Process for HSP Development

Step	Responsible Party	Action	Approx. Date
1	TRF program managers	Develop PRHSP program area and task narratives	March
2	TRF-TS	Develops first draft of PRHSP.	April
3	TRF-TS	Sends draft HSP to NHTSA, and current and proposed sub grantees for review and comment.	April
4	Draft HSP recipients	Present review comments on draft HSP to TRF.	May
5	TRF-TS	Makes revisions and completes second draft of HSP	May
6	TRF-TS	Submits HSP to director of Traffic Operations for approval.	June
7	Director of Traffic Operations	Submits advance copies of the draft HSP to the Governor's Office and each transportation commissioner for review prior to formal Commission approval.	June
8	TRF	Prepares final copy of HSP and Minute Order for Commission meeting.	June
9	Transportation Commission PRTSC	Approves HSP.	June
10	TxDOT PRTSC	Submits HSP to Texas Review and Comment System (TRACS).	July

Normally the HSP is prepared and submitted to the Transportation Commission for approval in June. Upon approval and adoption it is submitted to the Governor's Office (Texas Review and Comment System) for review and comment. Then the HSP is forwarded to the National Highway Traffic Safety Administration (NHTSA) for review and comment.

Federal approval of the Puerto Rico Highway Safety Program is in the form of a letter from NHTSA acknowledging the state's submission of a certification statement, the Performance Plan, and the planning document (HSP) that complies with all the requirements.

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2.2.8 Implementation (Stage 6)

Implementation, the sixth stage of the HSP process, includes the steps shown in the following table.

NOTE: Dates shown are approximate, and deadlines may vary from year to year.

(6) HSP Implementation Process

Step	Responsible Party	Result	Approx. Date
1	PRTSC	Sends approved project lists to agencies.	August
2	PRTSC	Submits HSP to NHTSA for information.	August
3	PRTSC	Sends HSP to agencies, and others.	August
4	PRTSC	Submits annual performance plan to NHTSA.	Sept. 1
5	PRTSC	Processes and approves grant agreements and contracts (notifications??)	September
6	PRTSC	Activates HSP and implements projects.	October 1

When the HSP has received commission approval, the Commission begins working with local jurisdictions to develop grant agreements for the approved projects. TRF program managers also begin similar activities with state-managed sub grantees.

When the HSP has received commission approval, the Commission begin working with local jurisdictions and interested parties.

All traffic safety grant agreements are then reviewed and processed for approval BY WHOM Projects can be activated only after federal funding approval for the Highway Safety Program has been received. This processing of over 200 project agreements usually requires several months. The ultimate goal is to have all or most of the agreements ready for activation on October 1st, the beginning of the federal fiscal year.

2.2.9 Program Administration Process

PR joined a number of other states in a new process of administering its traffic safety program during FY97. This process replaces federal approval of the annual Highway Safety Plan (HSP) with a Performance Plan by which each state presents its own performance goals.

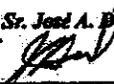
This process involves the preparation and submission to NHTSA of four components:

- a Highway Safety Plan (or, planning document) approved by the PRTSC Commission
- a certification statement
- a program cost summary
- a performance plan.

2.2.9.1 Highway Safety Plan (HSP). Prior to August 1st of each year, the PUERTO RICO prepares a planning document describing how federal highway safety funds will be apportioned, consistent with the guidelines, national priority areas, and other Section 402 requirements. This document describes the

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projects and activities the state plans to implement to reach its goals. The HSP, as the formal planning document, is approved by the Texas Transportation Commission PRTSC. This document does not require NHTSA approval, but must be submitted along with the other two documents described here to NHTSA for review to ensure that the state's Highway Safety Program complies with the requirements of the Section 402 program.

2.2.9.2 Certification Statement. Also prior to September 1st, the state submits a certification statement to NHTSA. The certification statement, signed by the Governor's Highway Safety Representative, provides formal assurances regarding the state's compliance with applicable laws and regulations and with financial and programmatic requirements pertaining to the federal grant.

2.2.9.3 The Performance Plan. AS PART OF THE HSP, the Performance Plan lists the objectives and measurable highway safety goals based on problem identification. It includes performance measures for each goal to track progress, from a baseline, toward meeting the goal by the specified target date. The HSP and Performance Plan are the planning, management, and grant delivery vehicles. The Performance Plan has three components — a process description, performance goals, and a HS Form 217 — explained in the following table.

2.2.2.9.3.1 Performance Plan Components

Component	Explanation
Process Description	Briefly describes the process or processes used by the state to: <ul style="list-style-type: none"> · identify its highway safety problems from available data sources · establish its proposed performance goals and measures · select and develop the programs and projects in its plan · list the participants in the processes · identify information and data sources used for problem identification
Performance Measures	Describes the state's highway safety performance goals. The state will: <ul style="list-style-type: none"> · establish its own performance goals, including target dates · identify the performance measures it will use to track progress toward each goal from current, baseline status with regard to these measures.
HS Form 217, Highway Safety Program Cost Summary (described in Chapter 7 of this manual)	Reflects the state's proposed allocation of funds, including carry-forward funds, by program area, based on the state's identified performance goals and planning document.

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Section 2.3

Problem Identification and Community Assessment

2.3.1 What Is Problem Identification?

Problem identification and assessment is the discovery of where, when, how, and why crashes occur. Also of major importance is the identification of the causes of crashes and collisions.

2.3.2 Purpose of Problem Identification

The purpose of problem identification and assessment is:

- to understand the crash problem and causation factors
- to develop effective countermeasures to reduce or eliminate the problem
- to design evaluation mechanisms to measure changes in problem severity
- to manage influences (for example, using statistical crash data to highlight a particular problem area in order to obtain the necessary support for instituting an effective countermeasure in a jurisdiction).

2.3.3 General Problem Identification Procedure

Using the sources of information and the analytical processes described later in this section, the planner systematically analyzes data to determine whether a proposed project is the best alternative among the available options. Conclusions must:

- support the available data
- be site specific, whether that site is a county, city, or roadway section.

Typically, the planner proceeds as follows with problem identification and analysis:

- Identify evidence that a traffic safety problem exists.
- Collect applicable data in the target jurisdiction.
- Analyze the data to determine what factors or characteristics are over represented.
- Is the problem of a magnitude that warrants action?

If yes, proceed to the following steps.

If no, consider possibility that initial indication may have been random.

- Investigate all possible corrective actions.

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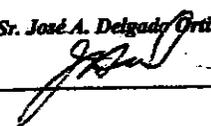
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- Determine the best course of action.
- Initiate corrective action.

Explanations of the requirements involved in these steps follow.

2.3.4 Dealing with Data

Once a perceived problem is identified, data must be collected and analyzed (Steps second and third of the previous procedure). This process involves the following steps:

2.3.4.1 Collecting and Analyzing Data

Step	Action	Notes
1	Identification of data resources	See "Data Sources" later in this section.
2	Collection of data	See "Data Sources" later in this section.
3	Determination of analysis strategy (What is the best way to determine if a problem exists.)	See "Data Analysis and Interpretation" later in this section.
4	Data analysis	See "Analysis and Interpretation of Data" later in this section.
5	Select the best way to display and report the analysis results.	For example, a graph or chart may display the data over time to show that the problem is either increasing or decreasing in frequency.
6	Identify high incidence crash locations.	Of all crash locations in a jurisdiction, are there any that appear more frequently than others?
7	Identify of over-represented crash characteristics.	For example, youth with alcohol involvement. See "Data Elements" later in this section.
8	Analyze support problems. (Who has the information you need? Will they share it? Is the data reliable?)	Attempt to solve data access problems by enlisting the support of agencies or offices that collect or possess the information you need. See "Data Sources" later in this section.

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2.3.5 Data Elements

Data elements fall into three general categories: people, vehicles, and roadway. These categories may be broken down into subgroups and assigned relevant characteristics, as shown in the table that follows.

2.3.5.1 Categories of Traffic Safety Data

Data Category	Subgroups	Characteristics
People	drivers, occupants, pedestrians	age, sex, blood alcohol level, driver's education experience and training
Vehicles	passenger cars, trucks, busses, motorcycles, bicycles, etc	sedans, convertibles, anti-lock brakes
Roadway	interstate, primary, secondary	political subdivisions, light conditions, surface conditions

2.3.6 Crash Specific Data

Crash specific data might include any of the following:

- type and severity of crash (fatal, pedestrian, etc.) location
- roadway characteristics
- violations
- time of day
- day of week and month
- type of vehicle
- direction of travel
- driver's age
- driver's sex
- weather conditions vehicle maneuver
- occupant protection usage
- alcohol or drug involvement
- emergency medical services (EMS) data
- Investigating agency.

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2.3.7 Data Sources

Data sources might include any of the following:

- Information Systems unit of the PRITSC
- Department of Public Safety
- local police department
- Texas Department of Transportation district or headquarters office
- Department of Health or regional or local health agencies
- emergency medical service providers
- evaluations
- observational and attitude surveys DEL HSP
- national or ISLAND statewide studies (such as Fatality Analysis Reporting System [FARS])
- local court system
- Save City/Save County ranking lists (see Glossary)
- traffic engineering and roadway analyses
- Data on licensed drivers and registered vehicles from the Driver Services Directory (DMV)
- web-based software for conducting community assessments — specifically, a computerized method for analyzing traffic safety problems within a community and a set of plans for implementing proven programs that address the identified traffic safety problems.) (See "Web-based Tools for Identifying Resources" later in this section.)
- other sources (interest groups, task forces, school districts, colleges, hospitals, universities, insurance companies, etc.)

2.3.8 Data Analysis and Interpretation

Analysis means to divide a whole into its parts in order to discover the nature, function, and relationship of those parts.

It is necessary to review data subgroups to determine over-representation. Such over-represented subgroups indicate highway safety problems. A good example of this would be the high percentage of teenager drivers involved in crashes versus the much lower percentage among all drivers.

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Further analysis should focus on subgroup characteristics — for example, increased severity or any other factors available from the data.

Over-represented factors can be determined by comparing the rate of crashes for a subgroup or characteristic within the jurisdiction to the same rate in a comparable or larger jurisdiction. Express the rate either as a percentage or as a ratio.

Percentage Example: If the percentage of adult vehicle occupants that do not use seat belts within a jurisdiction is greater than the statewide percentage, then that characteristic is over-represented.

Ratio Example: Dividing nighttime (10 p.m. to 6 a.m.) crashes by the total number of crashes for the jurisdiction within a given period produces a ratio. If that ratio is higher than the ISLAND WIDE statewide ratio, a DWI problem may be indicated (since most nighttime crashes are DWI related).

$$\frac{\text{Night F + A + B + Crashes}}{\text{Total F + A + B + Crashes}}$$

- Where:
- F = fatality crashes
 - A = incapacitating injury crashes
 - B = non-incapacitating injury crashes
 - Night = 10 P.M. to 6 A.M.

2.3.9 Some Key Questions in Problem Identification

Asking the following questions may help with data analysis and ultimately problem identification.

2.3.9.1 Questions to Help with Data Analysis and Program Identification

Question	Examples
Are high crash incidence locations identified?	Specific road sections, highways, streets, and intersections
What appears to be the major crash causation?	Causation: alcohol, other drugs, speed, other traffic violation, weather, road condition.
What characteristics are over-represented or occur more frequently than would be expected in the crash picture?	Number of crashes involving 16- to 19-year-olds versus other age groups or number of alcohol crashes occurring on a particular roadway segment as compared with other segments.
Are there factors that increase crash severity which are or should be addressed?	Non-use of occupant protection devices (safety belts, motorcycle helmets, etc.).

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2.3.10 Problem Analysis

The following table shows an array of information that may be applied in the analysis of a crash problem.

2.3.10.1 Information That Applies to Problem Analysis

Causal Factors	Crash Characteristics	Factors Affecting Severity
<ul style="list-style-type: none"> - violation - loss of control - alcohol involvement - roadway design 	<ul style="list-style-type: none"> - time of day - day of week - weather - age of driver - sex of driver 	<ul style="list-style-type: none"> - occupant protection non-use - position in vehicle - roadway elements (marking, guardrail, shoulders, surface, etc.)

2.3.11 Impediments to Effective Problem Identification

The following factors may impede effective problem identification:

- data access restrictions
- inability to link automated files
- lack of location-specific data
- poor data quality
- reporting threshold fluctuations (variations among jurisdictions in the minimum damage or accident severity they routinely report)
- Insufficient data (property damage only, non-reportable crashes, near misses, bicycle crashes, etc.).

Planners should be alert to these possible impediments and make appropriate adjustments when they appear.

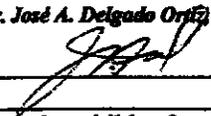
2.3.12 Example Problem

Applying the general procedure outlined earlier in this section, an actual problem might be identified and analyzed as follows.

3.1.12.1 Example Problem Identification

Step	Action	Example events
1	Indication that traffic safety problem may exist.	A vehicle crash description in a local newspaper reported that two unrestrained infants were severely injured in the incident.
2	Collection of applicable data in the target jurisdiction.	The traffic safety specialist and a group of interested citizens conduct an observational survey of vehicles entering and departing a local shopping mall and find that only 43% of those

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		transporting infant children were using child safety seats.	
		A check with the local police department confirms that child passenger safety is not routinely enforced.	
3	Data analysis reveals Over-represented factor.	Since the 43% usage rate falls well below the statewide average of 57.3%, an over-representation of non-usage has been identified. Thus the problem has been identified, but the reasons are not clear.	
4	Determination that problem warrants action	[same as above]	
5	Investigation of all possible corrective actions	<p>Is the problem due to:</p> <ul style="list-style-type: none"> - Ignorance of the law? - The inability of the population to afford child safety seats? - Willful misconduct? - Lack of enforcement? <p>The answers will reveal the best course of action.</p>	
6	Determination of best course of action.	<p>The best possible course of action may be multi-faceted, incorporating two or more of the following:</p> <ul style="list-style-type: none"> - strong public information and education campaign - the establishment of a child safety seat distribution program - an occupant protection STEP grant with the local enforcement agency - an occupant protection violators training course - Training of the officers in occupant protection enforcement. 	
7	Initiation of corrective action.	[same as above]	

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2.3.13 Traffic Safety Community Needs Assessment

A general traffic safety community needs assessment should be completed prior to the start of any new community based project (such as driving while intoxicated [DWI], occupant protection [OP], or selective traffic enforcement projects [STEPS]) or any proposed safe communities traffic safety project.

2.3.14 Purpose of "Community Needs Assessment"

A comprehensive assessment enhances crash-related data and provides additional information regarding community resources (those a community already has and those a community is missing) and community attitudes toward a project. The assessment also is used to identify gaps, duplication, and potential solutions or countermeasures. Information gained in a thorough assessment makes it possible to develop an action plan that best meets the needs of the community. The assessment may also identify a shortage of certain resources or technical support that may be available through a traffic safety grant with federal or state insular funding. In this regard, information gathered during the needs assessment will be helpful when developing a project proposal. (See Section 8 of this Chapter for a description of TxDOT Form 1851) "Highway Safety Mini-Grant Instructions (Immigrants are for one-time events/purchases)

A "Community Needs Assessment" can provide opportunities beyond problem identification. A good assessment may also be used to gain commitment for a project with sources of potential funding, the community itself, and with a sponsoring agency. Besides assessing current resources, the process may also provide building blocks for self sufficiency and can be useful in addressing task forces, community officials, and traffic safety committees.

2.3.15 Baseline Data

Establishing baseline data is a fundamental part of community needs assessment and goal setting. Baseline data is the set of data representing the most current 12 months (or a comparable period) of complete data available prior to the start of the first year of the project. For example, if the most recent data available for a first year project are through May 2002, then the baseline year would be June 2001 through May 2002 for a grant starting October 2002. Once the baseline is established, that figure will be used to compare subsequent years. Prior to the start of the grant, these data will be the baseline data for any subsequent year grants with the sub grantee.

If good information has been collected through recent grants, then that information could be used in the problem identification section of the proposal. However, the baseline data in the performance goals must be the data prior to the first year grant.

2.3.16 Web-based Tools for Identifying Resources

On the Internet, there are web-based tools intended to give communities a means of identifying resources (assets) to address traffic safety problems (deficits).

It is important to identify:

- the best practices a community can access
- how the community will address problems that cause injury-producing traffic crashes

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- How the community will implement strategies capable of addressing these challenges.

The web-based software allows communities in each county to identify how many traffic safety assets (or best practices) they have to address key traffic safety deficits (or crash and safe driving problems). Some software also contains 25 short surveys used to gather information from individuals about their perceptions of the traffic safety assets and deficits in their community. The survey answers are typically entered on the web site and the data are summarized. This process assists in constructing a traffic safety action plan, including timelines.

The steps necessary to implement the community assessment process are:

1. Key community leaders form a coalition.
2. Coalition leadership asks community members to complete the survey.
3. Coalition meets to review the scores by focusing first on the deficits and deciding what deficits to address.
4. Coalition creates their Action Plan by completing the Action Plan at the bottom of each Asset Development Plan page.
5. Coalition implements the Action Plan and evaluates its effectiveness.

The software is easy to use and informative in determining where communities should begin to address traffic safety problems.

2.3.17 What the "Community Needs Assessment" Should Cover

At the very least, a "Community Needs Assessment should be made in the areas of:

- . School district or school board educational programs
- . Occupant protection and seat belt usage
- . Alcohol and other drug impaired programs
- . Enforcement activities (including traffic records)
- . Public information and education
- . Traffic engineering.

In each of these areas, the assessment should include:

- . Crash data

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- . Traffic safety legislation and ordinances
- . Engineering and environmental issues and policies
- . Key community players
- . Highway safety supporters
- . Past and current projects and programs
- . Networks organizations, agencies, and volunteers
- . Resources available, including people, money, and contributions
- . Youth survey
- . Knowledge, skills, and attitudes of the community
- . Cost benefit analysis
- . Potential barriers, problems, or red flags
- . Past and present successes
- . Training needs.

2.3.18 Are DWI Issues Involved?

If the project is related to driving while intoxicated (DWI) issues, (for example, a DWI STEP or a community comprehensive anti-DWI project), then a detailed DWI needs assessment will be required. The DWI needs assessment is covered in the following section. If the project does not involve DWI issues, no DWI needs assessment is required.

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Aprobado por: Sr. José A. Delgado Ortiz, Director
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Section 2.4.1 DWI Needs Assessment

2.4.1 Introduction

Before a driving while intoxicated (DWI) countermeasure project is activated, a thorough review of the jurisdiction's DWI offender handling system should be conducted. In most cases, satisfaction of this requirement may be incorporated into the project itself as a first phase or planning step in project development.

2.4.2 Who Performs the Needs Assessment

The needs assessment may be performed by:

- . City or county staff with or without funding assistance
- . PRTSC staff
- . An interested civic group or an outside consultant (provided they have the appropriate expertise and experience).

2.4.3 Description and Purpose

The DWI Needs Assessment helps determine the nature and structure of a particular jurisdiction's impaired driving system. It involves an inventory of the various agencies or offices that are part of the system handling DWI offenders from pre-arrest through the judicial process to punishment, treatment, and rehabilitation. The assessment is lengthy and detailed, usually requiring two months or longer completing.

The needs assessment should identify any weaknesses or inefficiencies within the system. A typical finding of DWI needs assessments is "lack of system coordination."

2.4.4 Form

The DWI Needs Assessment form (TxDOT Form 1844) is provided in Section 10, "Forms," at the end of the print version of this chapter. This form may be photocopied as necessary. Copies may also be obtained from the Traffic Operations Division. An automated version of this form is also available through the online version of this manual (click on the form number).

2.4.5 DWI Offender Handling System Flow Diagram

The DWI Needs Assessment form requests a flow diagram of the community's DWI offender handling system. The following flow diagram shows the components of a typical DWI offender handling system.

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Deficiencies may occur at any stage in the offender handling system; however, certain deficiencies seem to be common to many communities. These common deficiencies are indicated on the flow diagram shown in Figure 2-1 by the bold-outlined arrow boxes.

2.4.5.1 DWI Offender Handling System Flow Diagram (continued)

Prosecutors Unit

Figure 2-1 - DWI offender handling system. Bold-outlined arrow boxes indicate common system deficiencies.

2.4.6 Identifying Areas of Need

The following table shows countermeasure target values for the various components of the DWI offender handling system. Areas that need improvement can be identified by comparing the results for each of the sections in the DWI Needs Assessment form with the target values in the table.

2.4.6.1 DWI Countermeasure Target Values

System Component	Measurement Method	Target Values
Enforcement	DWI arrests in jurisdiction	1% of population — or — 2% of licensed drivers
Prosecution	DWI arrests with conviction	90%
Adjudication	Average number of days from DWI arrest to case disposition	60 or less
Sanctions	Minimum jail time of 48 hours on 2nd or subsequent DWI	80% or more
Drivers License Suspensions	1st offender DWI — 90 days	80% or more
	Refusal or 2nd — 1 year	80% or more
Fines & Fees for DWI Offender	Percent of cost	80% or more
Screening and Referral	Recommendations accepted by the courts	100%
Public Information & Education (PI&E)	Public's perception of DWI arrest probability exceeds 50%	60% or more by survey

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Section 2.5 Cost Assumption Plan

2.5.1. Introduction

National Highway Traffic Safety Administration (NHTSA) traffic safety funds intend to provide start-up. Therefore, Puerto Rico Traffic Safety Program project grant agreements supported with "non-dedicated" federal funds are limited to the length of the grant period and usually do not receive extended funding beyond three years.

If both PRTSC and the sub grantee agree that the project has demonstrated great merit or has potential long-range benefits, the sub grantee may apply for funding assistance beyond the three-year limit. To ensure that projects continue beyond the availability of federal funding, each project is required to have a cost assumption plan (CAP), describing how the cost of the project will gradually take over by the sub grantee. Grant managers should explain and thoroughly discuss the CAP requirement with the potential sub grantee during project negotiations (See Chapter 4 of this manual.)

2.5.2 Submission Requirements

Sub grantees who anticipate that their projects are likely to exceed the three year limit must submit a CAP by the end of the twelfth month of the project. The CAP may be required earlier in some cases.

If the project is expected to extend beyond three years, the sub grantee must submit the following:

- . An updated CAP
- . A project extension request
- . The project proposal for the fourth and subsequent years (project extension is discussed in the following section).

2.5.3 Content of CAP

The CAP includes as a minimum the following information:

- . A multi-year budget (schedule) showing an increasing share of matching funds
- . A narrative explaining the source or sources of the matching funds (state, local, private, etc.).

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2.5.4 Allowable Matching (Cost Sharing)

In developing a CAP, the sub grantee can consider direct cash applications as well as in-kind contributions. In-kind contributions can represent the value of other resources directly applied to the project activities, such as equipment and personnel costs. Credit or such resources are limited to those costs normally allowable for funding under current NHTSA policy. In-kind contributions necessarily become part of the detailed project budget in order to be accountable as matching resources.

Concerning allowable matching (cost sharing), the Common Rule, §18.24, "Matching or cost sharing," states that matching (cost sharing) requirements may be satisfied by either or both of the following:

- . "Allowable costs incurred by the sub grantee ... under the ... agreement..."
- . "The value of third party in-kind contributions applicable to the period to which the cost sharing or matching applies."

The same section of the Common Rule includes the following qualifications and exceptions:

"Costs and third party in-kind contributions counting towards satisfying a cost sharing or matching requirement must be verifiable from the records... These records must show how the value placed on the ... in-kind contributions was derived."

"Third party in-kind contributions count towards satisfying a cost sharing or matching requirement only where, if the party receiving the contributions were to pay for them, the payments would be allowable costs."

2.5.4 Schedule

The most important part of the Cost Assumption Plan is the schedule for phasing in funding from local or other sources and the phasing out of federal funding support from PRITSC TxDOT. The schedule must show the federal-non-federal funding split for each year of the program.

2.5.5 Section 402 "Seed" Money Concept

When Congress initiated the 402 program, it was designed primarily as the source of invention and motivation rather than as financial support for continuing operation. Federal 402 funds "seed" the new and creative or encourage communities to try efforts found productive elsewhere. An idea, once proven, must be absorbed into the other budgets — state, community, or private sector — in order to leave Section 402 dollars available to fund other promising new ideas.

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2.5.6 Maximum Allowable Federal Support

In an effort to preserve the "seed" money concept, PRTSC TxDOT prefers that second and third year federal support not exceed 75 percent, with the difference made up by non-federal matching funds. If the project extends beyond the third year, Federal funding must not exceed 65 percent in the fourth year and 50 percent in the fifth and any subsequent years.

Thus, on a percentage basis, a typical schedule might break down as shown in the following table:

2.5.6.1 Typical Schedule of Federal Support by Project Year

Project Year	Federal (Grant Funds)	Non-Federal (Local Match & Other Funds)
1	100%	0%
2	75%	25%
3	75%	25%
4	65%	35%
5	50%	50%

(And beyond)

EXAMPLE: A project with a \$100,000 budget being considered for the fourth year with \$65,000 (65%) in federal funds would need a match of \$35,000 (35%).

2.5.7 Plan Approval

In addition to the matching requirement, any project considered for extension beyond three years must:

- . be based on exceptional project performance
- . Include significant revisions or expansions to the scope of the project (assuming that the sub grantee will continue the portion of the project previously supported with federal funds
- . Document a continued need for the project
- . Receive specific approval from PRTSC TxDOT

Each CAP must be approved by TxDOT. The Commission will give preference to those projects for which the sub grantee has assumed some cost sharing by the end of the first twelve months, and to those that propose to assume the largest percentage share of project costs in subsequent years.

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2.5.8 Form

The Cost Assumption Plan (CAP) may be submitted on the standard form or in another format, provided it contains the necessary information.

The CAP form (TxDOT Form 1845) is provided in Section 10, "Forms," at the end of the print version of this chapter. This form may be photocopied as necessary. Copies may also be obtained from the Traffic Operations Division. An automated version of this form is also available through the online version of this manual (click on the form number).

Instructions for completing the CAP form appear on the back of the form.

Section 2.6 Project Extension

2.6.1 Introduction

As mentioned in the previous section, federal (National Highway Traffic Safety Administration) funding support for a specific project ordinarily does not exceed three years. However, the Commission state may approve funding extension beyond three years on a year-to-year basis, provided the project has demonstrated great merit or the potential for significant long-range benefits and includes a cost assumption plan

2.6.2 When to Apply

If a sub grantee is in the third year or beyond of project activity and desires to continue an additional year, he/she should submit a current year cost assumption plan (CAP) attached to an Application for Project Extension at the midyear point of the project. For most sub grantees, the Application for Project Extension would be submitted with the project proposal for the fourth and subsequent project years.

2.6.3 Application Form

Section 10 "Forms," provides the Application for Project Extension (TxDOT Form 1846), at the end of the print version of this chapter. The form is self-explanatory and should be submitted along with the Cost Assumption Plan and a Project Proposal forms (TxDOT Form 1851). Form 1851 is explained in Section 8 of this chapter, and a copy is provided in Section 10, "Forms," at the end of the print version of this chapter. Both forms may be photocopied as necessary. Copies may also be obtained from the Traffic Operations Division (TRF). Automated versions of these forms are also available through the online version of this manual (click on the form number).

2.6.4 Approval Process

When completed, the Project Extension form should be submitted along with the Project Proposal form for a fourth or subsequent year to TRF for consideration, review, and approval. If the project meets or exceeds the criteria for extension beyond its third year, TRF will notify the sub grantee. TRF then includes the

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project on the approved project list for the next fiscal year. Preparation of a grant agreement may commence so that the project can continue at the beginning of the next fiscal year.

Section 2.7 Highway Safety Project Proposals

2.7.1 Introduction

State agencies and other organizations interested in traffic safety issues submit project proposals when requested by the PRTSC Traffic Operations Division. These project proposals constitute the organizations' traffic safety intentions and are submitted for every program area, depending on the interests of the particular organization.

The Traffic Operations Division (TRF-TS) uses these highway safety project proposals in the development of the State Highway Safety Plan (HSP). Proposals must be received at PRTSC by the announced deadline.

2.7.2 Description and Content

Traffic safety project proposals are written documents in a specified format. The document contains three major parts: project administrative information, the project description, and budget information.

2.7.2.1 The project administrative information includes:

- . Project title
- . Proposing agency or organization identification
- . Address of Applicant Agency
- . Location of project
- . Name of Project Contact Person for the proposing agency or Organization
- . Telephone, Fax and e-mail address of Contact Person
- . Project period
- . Project year
- . Project coordinator
- . Federal Tax ID Number / Type of Agency
- . Type of Application (If initial or continuation) If Year 1, 2 or 3.

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- . Amount of federal funds requested
- . Budget
- . Authentication for proposing agency.

2.7.2.2 The project description includes:

- . A problem identification statement, including documentation of data
- . Outline all the planned activities
- . Type of community support
- . A project plan, which includes:
 - A problem solution
 - An objective statement
 - Performance goals
 - Performance indicators
 - An action plan.
 - Methodology for auto evaluation

2.7.2.3 The budget information includes a breakdown of estimated costs. These include:

- . Personnel Services
- . Travel
- . Contractual (Services to contract out)
- . Commodities (Promotional items, etc.)
- . Equipment

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2.7.3 Forms 1851 & 1852

Traffic safety project proposals must be submitted on the Project Proposal for Highway Safety Funding form (TxDOT Form 1851) or Highway Safety Mini Grant Application (For one time events). The form calls for an "Action Plan" (TxDOT Form 1852 or another document in a similar format) to be attached. Both the Project Proposal form and the Action Plan form are provided in Section 10 "Forms," at the end of the print version of this chapter. These forms may be photocopied as necessary. Copies (both electronic and print) may also be obtained from the Traffic Operations Division or by contacting any of TxDOT's district traffic safety specialists. [Automated versions of these forms are also available through the online version of this manual (click on the form number).

NOTE: The project budget should be submitted on the Project Budget form known as "Attachment B" (see Chapter 4, Section 4, "Budget").

2.7.4 Completing the Project Proposal

The person or persons completing the Project Proposal form (TxDOT Form 1851) should make sure each item is fully completed and all pertinent information and supporting documentation are included at the time of submission. For item-by-item instructions and additional information to assist in completing the form, see <http://www.dot.state.tx.us/trafficsafety/grants/gpinstcurrent.htm>. This Web page may be reproduced and provided to prospective sub grantees along with TxDOT Forms 1851 and 1852.

Project proposals should conform to the format of the form, as project scoring will follow the sequence of subject items.

Project proposals should be individually stapled and not spiral bound or placed in binders.

Completed project proposals should be submitted to the Puerto Rico Traffic Safety Commission as follows:

2.7.4.1 Where to Submit Completed Project Proposals

If the project is...	Then submit the Project Proposal to.....
Local	The PR TSC office).
not local (or if not clear whether it is local or not)	

Section 2.8 Project Selection

2.8.1 Introduction

The District traffic safety specialists (TSSs) and Traffic Operations Division (TRF) traffic safety program managers review each project proposal for applicability to Puerto Rico's traffic safety problems. A Traffic Safety Project Proposal Checklist and Score Sheet are used to score each project against a number of selected criteria that are based on each element of the project proposal. The checklist is included in the last section of this chapter (Section 9)

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The TSSs COORDINATORS may score local projects to determine if they are viable enough to be included in the DHSP. These projects are those that are primarily within each PLACE OR MUNICIPALITY. In some instances, however, a project may be active in more than one PLACE. For example, corridor traffic safety projects covering more than one Municipality's area may be managed by just one MUNICIPALITY TSS COORDINATOR with the agreement of the other affected MUNICIPALITY TSSs. COORDINATOR

Division-managed projects (those managed by TRF program COORDINATORS managers) have broad impact across the state and potentially affect many AREAS. Examples of division-managed projects include statewide studies or surveys, training programs on roadway safety and for law enforcement, some public information and education projects, and school bus driver and EMS provider training.

A project proposal review and scoring team is convened to score all projects again so that a consensus opinion can be reached on each project using score sheets and scoring Criteria. If the review team members agree with the TSS's or program or project manager's scores, then the team can opt to accept that project score as their own.

After scoring all the projects, the review team leaders turn their score sheet results into the planner, who places the projects on a draft proposed project list for further review and prioritization. Priorities are assigned based on point scores, rankings, and the estimated amount of federal dollars that will be available for the HSP for the coming fiscal year.

2.8.2 Project Scoring

Each year project selection teams score traffic safety projects according to the criteria described in this section. The project selection teams are composed of district project managers and division program managers.

The project selection teams use specific criteria to score each project proposal. The criteria are the same regardless of geographic coverage (local, multi-county, state, etc.).

In Section 9 a range of point values is assigned to most elements of the project proposal. A range of criteria responses is also provided to help the scorer determine the strength (strong, moderate, or weak) of the response. After initial scores are assigned, a "multiplier" is applied based on the relative importance of the criterion to the overall proposal. Thus, a final score is awarded to each scaleable criterion.

2.8.3 Recommendation

After completing the score sheet, the scorer indicates the recommended funding for the project and provides a rationale statement if the recommended amount is lower than the amount requested in the proposal. In no case, can an amount higher than that requested in the proposal, be recommended.

2.8.4 Exceptions to Project Length Restriction

Certain projects are exempt from the three-year rule for \$402 funding, such as:

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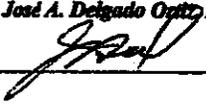
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- . Planning and administrative activities
- . Program management (for example, program area coordinator's or manager's oversight of the continuing development, implementation, and evaluation of §402 or related state or locally supported activities).
- . Mandatory or earmarked programs, like incentive grant funded projects (projects will be ranked, even though exempt from the three-year rule)
- . Training projects that support activities within an identified program area (such as Standardized Field Sobriety Test training, Drug Recognition Expert training, Traffic Occupant Protection Strategies, etc.)
- . Other activities required by federal statute.

2.8.5 Scoring Process

Each project can be scored using TRF's on-line Access Database Project Scoring system. The system uses the criteria responses that follow.

2.8.6 Scoring Criteria for Attachment a-I: Problem Identification

2.8.6.1 Is a traffic safety problem identified?

Response	Criterion Description
Weak	Traffic safety program is vague and weak in definition and description, or no traffic safety problem is identified.
Moderate	Traffic safety problem is fairly clear, but not all of the specifics or problem elements are provided.
Strong	Traffic safety problem is clearly identified in terms of location, offender identification, over-representation; or system or personnel deficiencies; or, if required mandated sources cited

2.8.6.2 Is the problem supported with current and applicable data?

Response	Criterion Description
Weak	Minimal or no problem data provided, or information used is obsolete or unrelated.
Moderate	Data is current, applicable and descriptive but not as specific as it could be. Contains only general support data
Strong	Data is current and clearly supports the problem and location identified. Contains strong support data cited from a reliable source.

2.8.7. Scoring Criteria for Attachment A-II: Project Plan

2.8.7.1 Will the solution affect the traffic safety problem identified?

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Response	Criterion Description
Weak	The solution or countermeasure does not offer an adequate approach toward problem solution or does not affect the traffic safety problem.
Moderate	The solution or countermeasure provides a general approach to address the problem. The approach includes some relevant tasks and activities to achieve the goals.
Strong	The solution or countermeasure provides a comprehensive approach to address the problem. The approach is comprised of relevant tasks and activities to achieve the goals.

2.8.7.2 Is each performance goal appropriate to the problem?

Response	Criterion Description
Weak	Goals are vaguely stated or do not address the problem or solution identified. Goals are not stated.
Moderate	Goals are generally stated to address the problem and solution identified.
Strong	Goals are clearly stated and appropriate to the problem and solution identified.

2.8.7.3 Do the performance goals follow the SMART principle (specific, measurable, action oriented, realistic, and "time-framed")?

Response	Criterion Description
Weak	The goals contain some or none of the required SMART principle.
Moderate	The goals contain most of the required SMART elements but are not complete.
Strong	The goals are specific, measurable, action oriented, realistic, and "time-framed."

2.8.7.4 Will the performance indicators provide measured progress?

Response	Criterion Description
Weak	Performance indicators are not appropriate or measurable, or no performance indicators provided.
Moderate	Performance indicators generally stated and measurable.
Strong	Strong performance indicators clearly stated; realistic, measurable, goal-oriented.

2.8.7.5 Does the Action Plan include appropriate activities or tasks to be performed?

Response	Criterion Description
Weak	Action Plan is too vague to track required activities or tasks, or no action plan was provided.
Moderate	Some applicable activities or tasks are missing, or are not scheduled in an Action Plan.
Strong	Action Plan is complete and accurate, and all appropriate activities or tasks are identified.

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2.8.8 Scoring Criteria for Attachment B: Budget

2.8.8.1 is the budget reasonable, and will it support the problem and solution described?

Response	Criterion Description
Weak	Budget may not be reasonable or may not support the project.
Moderate	Budget can support the project but is not completely reasonable.
Strong	Budget is reasonable and appropriate for the problem and solution identified.

2.8.8.2 is the budget complete and accurate, and is costs eligible for funding?

Response	Criterion Description
Weak	Budget contains major errors or omissions, or costs are not supported with enough information.
Moderate	Budget may contain minor errors or omissions, or budget is complete and accurate but contains ineligible cost items.
Strong	Budget is complete and accurate, and costs are eligible for funding.

2.8.9 Target-of-Opportunity Projects

TRF-TS may recommend unanticipated or "target-of-opportunity" projects at any time. Such projects will require an amendment to the State Highway Safety Plan.

Section 2.9

Forms

2.9.1 Introduction

This section lists the forms described in this chapter. The print version of this manual contains copies of each form. These forms may be photocopied as necessary. Copies may also be obtained from the Traffic Operations Division (TRF).

2.9.2 List of Forms

This section contains the following forms in the following order:

2.9.2.1 Forms in this Chapter

PRTSC Form Number / Form Name	Described in Section
1844 DWI Needs Assessment	4
1845 Cost Assumption Plan	5
1846 Application for Project Extension	6
1851 Project Proposal for Highway Safety Funding	7

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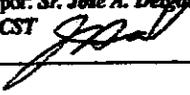
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1852 Action Plan	8			

Chapter 3

Project Development

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Section 3.2 — Program Area Goals, Performance Measures, and Strategies.....	
Section 3.3 — Project Development Process.....	
Section 3.4 — Project Performance Measures and Standards.....	

Section 3.1 Overview

3.1.1 Influencing Factors

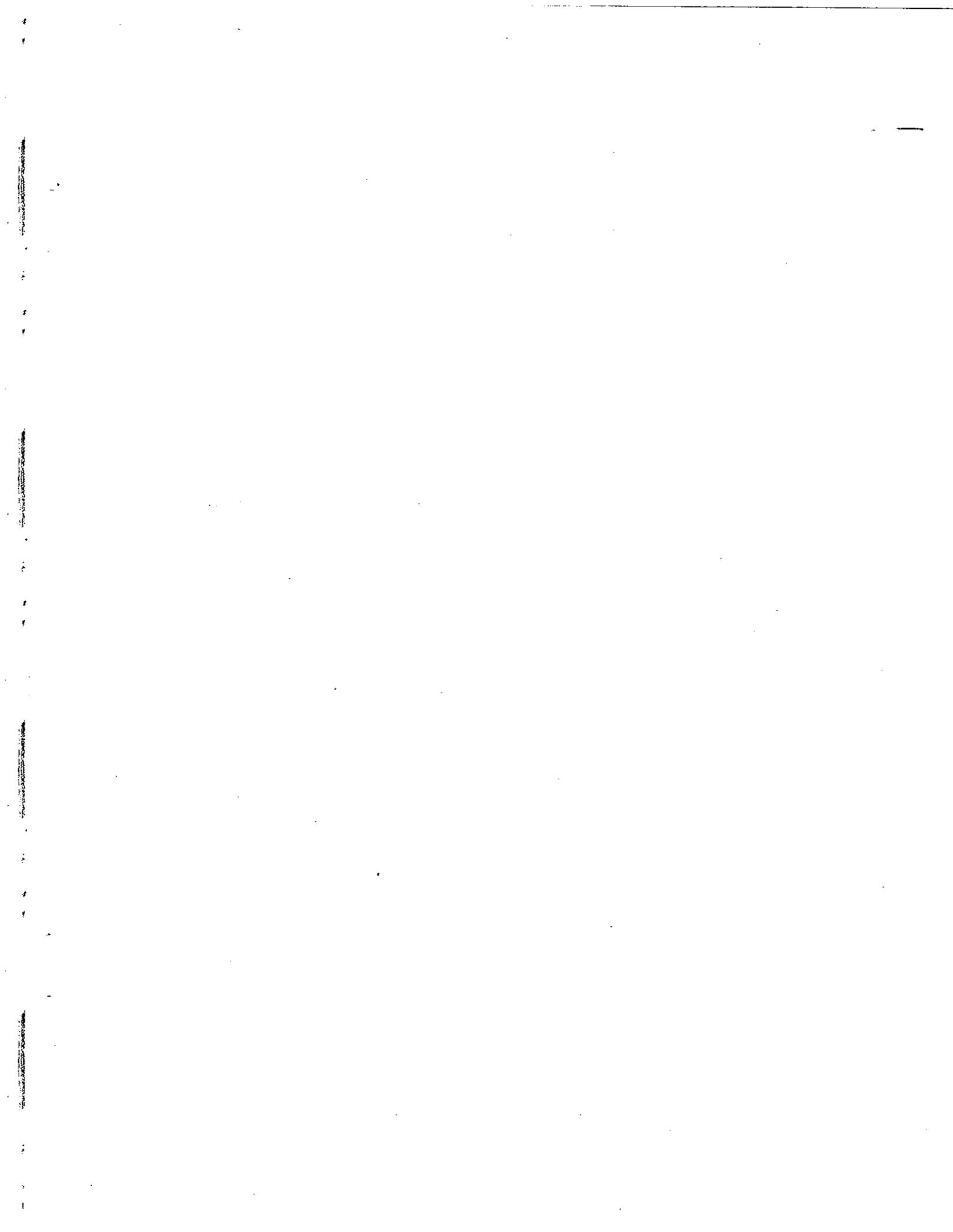
Each fiscal year at the beginning of the Highway Safety Plan development process, traffic safety planners consider a number of factors in determining project priorities and areas of emphasis. These factors include federal legislation, state statutes, federal and national priorities and goals and state and local problems.

An example of one of these types of influences can be seen in the following excerpt:

Identification of National Priority Programs Areas

(a) Under statutory revisions administered by NHTSA, the following NHTSA-administered Highway Safety Program areas have been identified as encompassing a major highway safety problem which is of national concern, and for which effective countermeasures have been identified. Programs developed in such areas are eligible for Federal funding, pursuant to guidelines issued by the National Highway Traffic Safety Administration:

- (1) Alcohol and Other Drug Countermeasures
- (2) Police Traffic Services
- (3) Occupant Protection



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(4) Traffic Records

(5) Emergency Medical Services

(6) Motorcycle Safety

3.1.2 Highway Safety Program Areas

The national priority areas listed in the preceding excerpt are the same as those included in the PR Highway Safety Plan (HSP), although not necessarily in the same order and with the addition. The HSP typically addresses 13 program areas. These program areas then form the framework for providing detailed descriptions of the selected traffic safety projects. For a complete listing of the HSP program areas with their respective and applicable federal two- or three-letter alpha character accounting code designators, see "Program Areas" in Chapter 2, Section 2.2.2.1

The following section lists the goals, performance measures, and strategies for each of the program areas.

Section 3.2

Program Area Goals, Performance Measures, and Strategies

3.2.1 Introduction

PRTSC coordinates the development of priority traffic safety performance goals and strategies for each program area using a strategic planning process. These goals and strategies are carefully identified through the problem identification process. Local agencies as well as public and private organizations then develop projects that can support and implement those strategies, which are then included in the annual Highway Safety Plan.

The measures for the program area performance are identified for each goal and included in the annual performance plan. Program performance measures are changed and updated each year.

This section presents the overall goal, followed by the goals, program performance measures, and strategies for each of the traffic safety program areas.

3.2.2 Overall State Goals

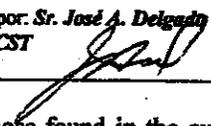
The overall goal for fiscal year usually is to decrease traffic deaths and injuries.

3.2.3 Program Area Goals, Performance Measures, and Strategies

The following tables show goals, performance measures, and strategies for each of the program areas. Because these goals, performance measures, and strategies are subject to change each year as the Highway

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Safety Plan (HSP) is developed, those listed here may differ from those found in the current HSP. Each project included in the annual HSP will address one or more of these goals or strategies.

3.2.3.1 Police Traffic Services and Speed Control (PT) Goals, Performance Measures, and Strategies

Goals:	Performance Measures:
To increase effective enforcement and adjudication of traffic safety-related laws to reduce fatal and serious-injury crashes.	PT1: Number of speed-related K+A+B crashes.
Strategies:	
Increase enforcement of traffic safety-related laws and the adjudication of all traffic law violations. Increase training in traffic law enforcement (TLE) and adjudication. Increase TLE technical and managerial support to local enforcement agencies and highway safety professionals.	

3.2.3.2 Alcohol and Other Drug Countermeasures (AL) Goals, Performance Measures, and Strategies

Goals	Performance Measures
To decrease DWI-related crashes	AL1: Ratio of DWI-involved K+A+B crashes to all K+A+B crashes (expressed as percentage). AL2: Number of DWI-involved K+A+B crashes.
To decrease the number of drivers under age 21 involved in DWI-related crashes.	AL3: Number of 20 year old and under DWI drivers involved in DWI-related K+A+B crashes.
To reduce DWI-involved crashes, fatalities, and injuries.	AL4: Number of DWI-involved fatalities.
Strategies	
<ul style="list-style-type: none"> . Increase alcohol and other drug traffic safety enforcement. . Increase alcohol and other drug detection awareness training for traffic safety advocates. . Enhance the education programs for the alcohol offender. . Coordinate and conduct public information and education. . Increase alcohol and other drug traffic safety enforcement for minors. . Improve the coordination between law enforcement and the judiciary at the community level for handling DWI cases. 	

3.2.3.3 Emergency Medical Services (EMS) Goals, Performance Measures, and Strategies

Goals	Performance Measures
To improve EMS care and support provided to motor vehicle crash trauma victims in rural areas.	EM1: EMS response times in rural areas (all trauma emergencies, motor vehicle trauma emergencies).
Strategies	
<ul style="list-style-type: none"> . Increase the availability of EMS training in rural areas. . Increase EMS involvement in local community safety efforts. 	

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3.2.3.4 Occupant Protection (OP) Goals, Performance Measures, and Strategies

Goals	Performance Measures
To increase overall and correct use of the occupant protection.	<ul style="list-style-type: none"> . OP1: Occupant restraint usage for all ages and groups, for driver and right front seat passengers (percent restraint use by driver & right front seat passengers). . OP2: Child passenger restraint use for 0 to 4 year-olds (percent child restraint use for 0 to 4 year-olds).

Strategies
<ul style="list-style-type: none"> . Increase enforcement of occupant protection laws. . Provide occupant protection training and education. . Promote and support occupant protection projects at the community level. . Increase public information and education campaigns. . Conduct evaluation of results of occupant protection use.

3.2.3.5 Traffic Records (TR) Goals, Performance Measures, and Strategies

Goals	Performance Measures
<ul style="list-style-type: none"> . To improve the timeliness, accuracy, quality, and availability of crash record data. . To improve linkages between traffic records databases. . To improve the collection of trauma data statewide. 	No performance measures established

Strategies
<ul style="list-style-type: none"> . Develop a new traffic crash records information system. . Support traffic crash analysis efforts. . Support implementation of an EMS data system and data links to traffic records.

3.2.3.6 Roadway Safety (RS) Goals, Performance Measures, and Strategies

Goals	Performance Measures
To decrease work zone traffic crash-related fatalities and injuries by identifying roadway safety problems.	<ul style="list-style-type: none"> . RS1: Number of K+A+B crashes in work zones. . RS2: Number of train-vehicle K+A+B highway rail grade crossing crashes. . RS3: Number of fatalities at grade crossings.

To increase knowledge of roadway safety and current technologies among people involved in engineering, construction, and maintenance at both the state and local level.	No performance measures established.
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Strategies
<ul style="list-style-type: none"> . Provide traffic safety problem identification to local jurisdictions. . Conduct program assessment of roadway safety.

3.2.3.7 Motorcycle Safety (MS)

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Goals, Performance Measures, and Strategies

Goals	Performance Measures
To reduce the number of motorcycle-related fatalities and serious injuries.	<ul style="list-style-type: none"> . MC1: Number of motorcycle operator and passenger fatalities. . MC2: Number of motorcycle operator and passenger A+B injuries.

- Strategies**
- . Conduct public information and education efforts.
 - . Evaluate, assess, and communicate motorcycle injury and fatality trends.

3.2.3.7 Planning and Administration (PA) Goals, Performance Measures, and Strategies

Goals	Performance Measures
<ul style="list-style-type: none"> . Provide effective and efficient management of the PR Traffic Safety Program through up to date policies and procedures, training and staff development. . Comply with state and federal laws, regulations and procedures in the operation and administration of the Traffic Safety Program. 	No performance measures established.

- Strategies**
- . Review and update program procedures as needed.
 - . Provide procedures and training on highway safety planning and project development.
 - . Ensure availability of program and project management training.
 - . Maintain coordination of traffic safety efforts, provide technical assistance, and conduct periodic project monitoring and evaluation.

3.2.3.8 Safe Communities and College Traffic Safety Goals, Performance Measures, and Strategies

Goals	Performance Measures
To prevent traffic related fatalities and injuries through establishing integrated community traffic safety programs.	No performance measures established.

- Strategies**
- . Provide training programs on how to initiate and conduct community-based programs.
 - . Support the Safe Communities process.
 - . Provide management support to implement community traffic safety programs.

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3.2.3.10 Commercial Vehicle Safety Goals, Performance Measures, and Strategies

Goals

To increase traffic safety knowledge, perception, understanding, and skills for sharing the roadway with commercial vehicles.
To increase enforcement of traffic laws for commercial vehicles.

Performance Measures

- . CV1: Number of commercial vehicle- involved K+A+B crashes.
- . CV2: Number of commercial vehicle crash fatalities.
- . CV3: Number of commercial vehicle crash A+ B injuries.

Strategies

- . Provide information and education materials to educate the public on sharing the road with commercial vehicles.
- . Incorporate commercial vehicle PI&E materials into the driver-training curriculum.
- . Develop partnerships with commercial vehicle industry to increase traffic safety.
- . Increase enforcement of traffic safety laws for commercial vehicles.

Section 3.3 Project Development Process

3.3.1 Introduction

Traffic safety projects are initiated as a result of several types of "needs," including: statewide and local problem identification, state agency initiative, community initiative and key events.

For the most part, projects will be closely related to problem identification results. The negotiation for initial project development occurs during Highway Safety Plan (HSP) development. Once an initial agreement has been reached on the need for a project, and an organization or agency has indicated commitment and interest, project development begins in earnest.

3.3.2 Grant Agreement Purpose

The purposes for developing formal grant agreements are to:

- produce a clearly defined problem statement
- Produce a clearly specified work statement clearly define respective roles and responsibilities
- achieve understanding among all parties
- reach consensus
- ensure accountability

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A grant agreement facilitates monitoring and oversight and, if used properly, can be used to redesign a project when necessary.

3.3.3 Development Process

The project development process consists of the following steps:

1. Problem identification (discussed in Chapter 2, Section 3)
2. Community needs assessment (discussed in Chapter 2, Sections 3 and 4).
3. Countermeasure selection (discussed under following subheading).
4. Evaluation planning (discussed in Chapter 7, Section 2).
5. Project plan development (discussed in Chapter 4, Sections 2 and 3).
6. Negotiation (discussed in Chapter 4, Section 2).
7. Consensus (agreement between proposing agency and PRTSC on grant agreement content).
8. Approval (discussed in Chapter 4, Sections 7 and 8.).
9. Implementation (project activation) (discussed under a separate subheading later in this section).

3.3.4 Countermeasure Selection

In selecting countermeasures, clearly identify both the target audience and the target area (See following examples).

EXAMPLES:

Target Audiences:

- . impaired drivers
- speeding motorists
- Unbuckled vehicle occupants

Target Areas:

- a specific segment of roadway during nighttime, on weekends, or during daylight hours
- northeast quadrant of city
- jurisdiction-wide during daylight hours.

Countermeasures should be such that a "reasonably prudent mind" would believe that it would produce effective results. Countermeasures should relate directly to the problem identification and community assessment addressed in the problem statement.

3.3.5 Implementation or Project Activation

Project implementation or activation includes the following:

- . Attending the grant delivery meeting
- . Organizing the workforce
- . Scheduling activities and work hours

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- . Taking care of incidental paperwork and setting up records files
- . Getting to know accounting personnel who will be administering the grant-related finances
- . Obtaining copies of all forms needed in managing the grant
- . Becoming familiar with reporting requirements and due dates.

3.3.6 Grant Agreement Content

The key elements of a grant agreement are:

- . Problem identification, which includes:
 - Crash data analysis
 - Program and community needs assessment
 - Problem statement
- . Objectives (applicable goals are normally listed in the HSP)
- . Performance indicators or measures
- . Tasks and activities
- . Milestones or action plan
- . Training needs
- . Evaluation plan
- . Budget
- . Reporting requirements
- . Financial planning (Cost Assumption Plan)
- . Boiler plate (general and special terms and conditions).

3.3.7 Summary

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Proposed projects must support the goals and strategies established for the program areas in the HSP. Grant agreements implement the Highway Safety Plan (HSP). Chapter 4 of this manual details the specifics of developing grant agreement documents, specifically for the PRTS Program.

Section 3.4 Project Performance Measures and Standards

3.4.1 Performance Measures

Definition = A performance measure or performance indicator is a quantitative or qualitative indicator expressed in terms of a planned level of activity and directly aligned to objectives and goals of a project.

Performance measures or performance indicators provide the basis for determining the degree of achievement of established objectives. Acceptable activity levels or outputs must be established as part of the grant agreement.

3.4.2 Types of Performance Measures

Direct measures are preferred. Examples of direct measures include: number of crashes, citations, people trained, units purchased, etc.

Sometimes it is impossible to get direct measures. If such is the case, a proxy measure might be used.

Proxy measures are indicators that provide an indirect assessment of desired activity. An example would be a self-reporting survey conducted among a statistically valid sample of the population to determine behavioral change (recognition of public service announcements on television or radio, safety belt usage, drunk driving issues, etc.).

3.4.3 Performance Standards

Definition = A performance standard is a prescribed minimum or maximum level of activity.

There are many uncontrollable circumstances that may affect performance; therefore, measures and standards may be more appropriately used as guidelines to provide a degree of flexibility.

Each Selective Traffic Enforcement Program (STEP) grant agreement contains the following language regarding standards in Section III,

Nothing in this agreement shall be interpreted as a requirement, formal or informal, that a police officer issue a specified or predetermined number of citations in pursuance of the Sub-grantee's obligations hereunder.

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3.4.4 Measurement Characteristics

The characteristics of a good performance measure or standard are that it is:

- . Quantifiable where possible
- . Directly linked to objectives
- . Accurate, clearly defined
- . Understandable
- . Objective
- . Practical

PRTSC uses a guideline called the SMART principle to assess performance goals and performance measures or indicators. SMART stands for:

- . Specific
- . Measurable
- . Action-oriented
- . Realistic
- . Time-framed

3.4.5 Summary

Performance measures and standards are defined in each grant agreement. These measures and standards provide guidelines to determine efficiency and effectiveness of projects. Project measures must be negotiated locally and must be acceptable to all project personnel.

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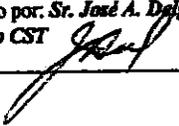
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Chapter 4

Grant and Contract Preparation and Execution

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Section 4.1 Overview

4.1.1 Introduction

This chapter covers the development, preparation, approval, and execution of fund notification (Form CST-1) and interagency cooperation contracts (IACs) (Form CST-2). Amendments to grant agreements and IACs are also covered. A fund notification agreement is used in lieu of contracts.

NOTE: Unless otherwise indicated, all references to "grants" include both traffic safety notification and interagency cooperation notification (IACs). Likewise, all references to "sub-grantees" include recipients of both traffic safety grants and IACs.

4.1.2 Notification of Fund Agreement

The Traffic Safety Program Notification of Fund Agreement is a legally binding document when fully executed by both parties. It has as attachments other documents such as terms and conditions, detailed project description, the approved budget, and certain required certifications and assurances.

The notification agreement is typically used when the beneficiary of a project is a government agency other than PRTSC, or a non-governmental entity.

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Form Available A sample Traffic Safety Program Notification of Fund Agreement documents (Forms CST -1 and CST-2) are provided in Section 12, "Forms," at the end of the print version of this chapter. Because the form changes from year to year, preparers should obtain the latest version from PRTSC.

Section 4.2 Development Process

4.2.1 Introduction

PRTSC negotiate government agencies and other entities to develop local projects. The staff initiates agreement and contract negotiations with government agencies and other organizations sponsoring approved projects with island wide impact.

Project development involves negotiation and preparation of the grant notification document. After preparation of the document, the project director subjects it to a technical analysis.

This section describes the development process and explains some of the associated factors and requirements. The preparation of the project description, the budget, and the notification document, which takes place during the development process, is described in following sections.

Negotiation

Negotiation allows the project director and the approved sub grantees to arrive at an understanding on the specific details of the project (such as budget detail amounts, STEP sites, resolution, etc.) so that agreement preparation can proceed. It is important to note that an awarding agency may review the adequacy of the financial management system of any applicant for financial assistance as part of the pre-award review or at any time subsequent to award. Negotiating involves discussion, clarification, or modifications to the proposed project. Items to be discussed during the negotiation phase include, but are not limited to, the following:

- . Problem identification (described in Chapter 2, Section 3)
- . Project description (described in Section 3 of this chapter)
- . Grant period (definition follows)
- . Frequency of Requests for Reimbursement (RFRs) and performance report submissions
- . Maximum amount eligible for reimbursement (not to exceed the amount shown on the approved Project List)
- . Budget content (described in Section 4 of this chapter)
- . Cost assumption plan requirement (described in Chapter 2).

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4.2.2 Term of Notification

The term of notification is the time during which the sub-grantee or performing agency may incur reimbursable costs to carry out the project. The period or term should be long enough to allow the project to be completed.

4.2.3 Project Period

The agreement may include one or more projects to be completed. Thus, the period or term of notification may differ from the project period, or the two may coincide. If the two periods differ, the difference is to be identified in the project description and delineated in the Action Plan. The terms of the grant establish the grant period.

4.2.4 Fund Notification Agreement's Preparation

After negotiation, the sub-grantee personnel prepare the notification if fund agreements document it using appropriate forms supplied by PRTSC. The Commission provides assistance as necessary to complete document preparation.

4.2.5 Technical Analysis

After the sub-grantee has prepared the agreement document, the project director will conduct a technical analysis to evaluate resource allocation and determine if the project is workable and the goals are achievable.

The following are some guiding questions for conducting a technical analysis:

- . Does the agency or organization meet all of the requirements for applying for federal fund?
- . Has a traffic safety related problem been identified adequately and appropriately described in the problem statement?
 - Did the preparer use quantifiable data to support the problem identification?
- . Do the objectives and performance indicators directly address the identified problem?
- . Are the objectives clearly stated, achievable and measurable?
 - Is a completion date indicated for each objective?
 - Is sufficient time allocated to achieve each objective?
- . Will performance indicators provide adequate evidence of project activity and accomplishment of objectives?

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. Did the sub-grantee include public information and education components in the application to inform the public about the project's objective?

. Are personnel needs accurately identified?

- If a project objective requires engineering studies, an engineer must be involved.

- If an objective involves public information and education, does the sub-grantee have the resources available to perform and meet it? Is the sub-grantee aware of the PRTSC's traffic safety PI&E (public Information and education (PI&E) policies and are they able to meet the requirements?

- If the objectives involve law enforcement, a sufficient number of appropriately trained officers must be available.

. Will any special equipment be needed? If so, will it be available for project implementation?

. Is the timetable clear, specific and realistic?

. Is the budget reasonable for the project?

. Did the sub-grantee outline the self-sufficiency plan and in-kind match?

. Does the proposal have the necessary signatures?

. Are there other considerations that might affect project performance? If so, are they adequately addressed?

. Was the submission deadline date observed?

Note: The applying agency must provide one original (with original signatures) and four hard copies of the application. The applications (both electronic and paper format) may be picked up in the PRTSC Office or can be mailed to the applicant upon request. Applications must be mailed to PRTSC or hand delivered by _____

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Section 4.3 Project Description

4.3.1 Introduction

The project director and the sub-grantee negotiate the content of the project description with PRTSC. The project description eventually becomes Attachment A to the agreement or interagency cooperation notification

This section explains some of the considerations and requirements involved in preparing the project description.

4.3.2 Content

Typically, the project description contains the following sections:

- I. Problem Statement (Description)
- II. Proposed solution: Objectives (project goals and objectives)
- III. Performance Indicators (sometimes called performance measures or work units (see Chapter 3, Section 4 of this manual))
 - . Action Plan or Plans (as applicable, identifies tasks needed to carry out the project) See chapter 2 section 10, of this manual.
 - . Operational Plan (a detailed project operational plan is applicable only to Selective Traffic Enforcement Project [STEP] grants)
- IV. Responsibilities of the Sub-grantee or Performing Agency
- V. Responsibilities of the Department or Receiving Agency

4.3.3 Performance Indicators

When appropriate, the project description will identify estimated performance indicators or measures (quantities of work units). Performance indicators may be shown as specific requirements, for example:

- . "50 workshops"
- . "100 hours."

For some types of projects, however, the work unit must be specific, for example:

- . "Submit one report"

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federal officials. The following table shows an example of how an average cost per vehicle mile can be calculated.

4.4.3.5.1 Example of Operational Cost Per Vehicle Mile

Type of Cost Incurred	Amount	Subtotal
1. Vehicle Cost base amount	\$16,000	
Equipment (radio, light bar, siren, speaker, etc.)	3,500	
Vehicle preparation (equipment installation, decals, etc.)	500	
2. Sum of vehicle & installed equipment		20,000
3. Annual depreciation		
a. Vehicle, 2 years straight line	8,000	
b. Equipment, 5 years straight line	700	
4. Total annual depreciation cost		8,700
5. Annual liability insurance	700	
6. Annual maintenance costs (for FY2000 it was \$36,000 for 20 vehicles) =	1,800	
7. Annual gasoline usage (40,000 miles @ 16 mpg average per vehicle @ \$0.98/gallon) =	2,450	
8. Total insurance and maintenance costs/yr.		4,950
9. Indirect Costs (accts payable, payroll, fiscal dept., etc) 20% of direct costs (Block 4 + Block 8) × 0.20 =	2,730	
10. Total per year cost of vehicle (Block 4 + Block 8 + Block 9) =		16,380
11. Average operational cost per vehicle mile (Block 10 ÷ 40,000 miles) =		\$0.4095

4.4.3.6 Other Travel and Per Diem. Reimbursement for airfare, car rental, per diem, and other travel costs will be based on the sub-grantee's travel policy, which cannot exceed government rates.

4.4.4 Maximum Amount Eligible for Reimbursement

PRTSC policy requires all agreements to include a "maximum amount eligible for reimbursement." This maximum amount is the grant reimbursable amount and is PRTSC share of the estimated project cost. The budget can specify that each line item is not to be exceeded, or the budget can specify that each line item is an estimate and that the actual cost will be paid. (A line item in the budget is the authorization for funds to be expended on the item.)

4.4.5 Increased Costs

If costs exceed maximum amount, reimbursement will not be authorized unless PRTSC determines payment to be advantageous to the program. Excess costs that are not reimbursed can be considered a contribution by the sub-grantee.

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4.4.6 Profit Prohibited

Grants do not allow payment of any profit to the sub-grantee. If the sub-grantee subcontracts with a commercial (for profit) firm, the fee becomes an actual cost incurred by the sub-grantee and is eligible for reimbursement if all other payment criteria meet the terms of the agreement.

Indirect costs (IDC) or facilities and administrative (F&A) costs are not considered profit and are eligible for reimbursement under certain circumstances. (See "Indirect Costs (Facilities and Administrative Costs) 17" later in this section.)

4.4.7 Reimbursement Policy

Capital advances are not allowed. Reimbursement will be made only for costs incurred during the grant period. The incurrence of cost depends on the accounting system used.

4.4.7 When Cost is Incurred

If...	Then cost is incurred when...
an accrual accounting system is used,	a recorded liability exists. (Examples include invoices, bills of lading, vouchers of individual travel performed, and cash receipts of expenses incurred. Advances for anticipated costs are prohibited.)
a cash accounting system is used,	a cash disbursement has been made.

4.4.8 Project Budget

Each grant must have an approved project budget — which can be estimated or fixed, depending on the terms of the agreement. The proposed project budget should correspond to the negotiation period. Estimate costs as accurately as possible.

4.4.9 Budget Categories

The approved project budget should be as detailed as appropriate for fiscal control of the project, but great detail is not normally needed. Generally, the approved project budget will include only the following line items:

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4.4.9.1 Budget Category Line Items

Category	Accounting Code	Line Item
Labor Costs (Personnel)	100	Salary and Wages
	200	Fringe Benefits
	300	Travel per diem
Other Direct Costs	400	Equipment
	500	Supplies (postage, printing, office supplies, etc.)
	600	Contractual Services
	700	Other (miscellaneous) costs (specify)
Indirect or F&A Costs	800	(at specified and approved rate)

4.4.10 Overtime Rate

The majority of projects involving increased enforcement of traffic laws rely on the payment of overtime hours for patrol officers. The overtime pay rate for officers is based on actual cost per employee in accordance with the sub-grantee's policy for payroll and salary rate.

When a project includes overtime salary or wages, traffic safety funds can pay for the additional cost of fringe benefits directly associated with the overtime hours not covered by the employee's basic benefit package (an example of an eligible fringe benefit cost associated with overtime would be an employer's contribution to a retirement plan). The costs of fringe benefits are allowable to the extent that the benefits are reasonable and are required by law, employee agreement, or an established policy. If paid by the sub-grantee on overtime grants, fringe benefits can also be used as local match. The traffic safety grant agreements allow several methods to include fringe benefits. A definition of "fringe benefits" can be found in this manual's Glossary.

4.4.11 Detailed Costs

A detailed cost breakdown must be negotiated to justify proposed project costs. This detail is to be used as a negotiating tool but would rarely be suitable for use as the approved project budget.

4.4.12 Cost Assumption Policy

Federal regulations specify that the Traffic Safety Program must use a "seed money" concept, whereby projects initiated using federal grant funds will be continued by state or local entities when federal funds are no longer available. To that end, PRISC works with local entities to enable them to assume full financial support for the project when federal funds are no longer provided. (See Chapter 2, Section 2.5, for additional information concerning cost assumption.)

4.4.13 Project Support

Any project support can be in the form of cash or in-kind contributions, which generally consist of the value of services, supplies, and nonexpendable personal property. This may also include program income, as long as specifically approved in advance by PRISC (see

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Chapter 5, Section 5.5).

Criteria for determining the acceptability of cash and in-kind contributions are established in 49 CFR 18, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments." These criteria require the in-kind match to be:

- . Verifiable from the sub-grantee's records
- . Not included as contributions for any other federally-assisted program
- . Necessary and reasonable for proper and efficient accomplishment of program objectives

4.4.14 Other Criteria

Other criteria for the in-kind match require the local match to be:

- . Charges that would be allowable under OMB Circular A-87
- . Not paid by the federal government under another assistance agreement, unless authorized under the other agreement and the laws and regulations it is subject to
- . Provided for in the approved budget when required by the federal agency

4.4.15 Cost Analysis

Grants with state or local governments are not required to undergo the formal pre-award cost evaluation required in Stand-Alone Manual Notice 94-7, but TxDOT is to review proposed costs to determine that they are necessary, reasonable, and in compliance with applicable cost principles. The Audit Office (AUD) is available to assist in the analysis if requested to do so.

4.4.16 Indirect Costs (Facilities and Administrative Costs)

Office of Management and Budget (OMB) Circular A-87, "Cost Principles for State and Local Governments," describes indirect costs as those costs incurred for a common or joint purpose benefiting more than one cost objective and not readily assignable to the cost objectives. OMB Circular A-21, "Cost Principles for Educational Institutions" (8/29/97), uses the term "facilities and administrative" or F&A as an indirect cost equivalent.

Indirect costs (IDC) are typically based on the total federal amount of the grant less those items that do not require administrative overhead to manage, such as subcontracts or rental fees for leased equipment.

IDC and F&A are eligible for reimbursement only if they are included in the approved project budget and the indirect cost rates either:

- . Has been approved in a prior audit conducted by a private or public auditing agency or

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. Is based on a pre-approved IDC or F&A rate included in the Uniform Grant Management Standards, Table 1, and "Indirect Cost Computation Table" (also shown on the following page)

NOTE: Build the budget from the ground up, not from the top down.

Two examples of how IDC or F&A can be determined follow.

Example 1: The estimated cost for labor and other direct costs is \$77,000. The proposing agency does not have an approved cost allocation plan. Using the IDC Computation Table, the indirect costs for \$77,000 is \$2,675. The total estimated budget would then be \$79,675.

Example 2: The proposing agency has an IDC or F&A rate of 10 percent. Of the proposed budget, \$30,000 is subcontracted. \$45,000 of labor and other direct costs is estimated. The 10 percent is applied only to the \$45,000 of direct cost, resulting in \$4,500 of indirect costs. Therefore the total estimated budget would be \$79,500.

Subcontract Cost	\$30,000
Direct Cost (labor and other direct)	45,000
IDC/F&A (10% of direct cost)	<u>4,500</u>
Total:	\$79,500

If the sub-grantee has either no cost allocation plan or no direct administrative costs (salaries, fringe benefits, etc.) attributed to the grant, the following guidelines for indirect cost may be used:

Section 4.5 Notification Agreement Preparation Details

4.5.1 Introduction

This section provides information on some of the details needed to prepare the Traffic Safety Program Notification Agreement document.

A sample Traffic Safety Program Notification Agreement document (CST- 1(1, 3, 5 Form) is provided in Section 12, "Forms," at the end of the print version of this chapter. Because the form changes from year to year, the latest version should be obtained, from PRSTC.

4.5.2 Federal Pass-through / State Grant Funds

The blanks used to notify the approval of a grant must indicate (in the blanks in the upper left corner of page 1) whether grant funds are federal or state. The preparer will leave these spaces blank.

