

# **Attachment A**

Budget Amendment



# City of Newport Beach

## BUDGET AMENDMENT

2025-26

BA#: 26-028

Department: Police

Requestor: Sabrina Fabbri

ONE TIME: ☒ Yes ☐ No

☐ CITY MANAGER'S APPROVAL ONLY

☒ COUNCIL APPROVAL REQUIRED

### Approvals

City Clerk:

Date

Finance Director:

Date

Budget Manager:

Date

### EXPLANATION FOR REQUEST:

To increase revenue estimates and expenditure appropriations to accept the 2026 State of California, Office of Traffic Safety (OTS) Selective Traffic Enforcement Program (STEP) Grant (#PT26058) for increasing DUI Enforcement and Awareness and funding additional traffic safety enforcement, as well as DUI Sobriety Checkpoints. Funds will also be used to pay for an Officer assigned full time to DUI enforcement, their benefits, overtime costs specifically used for this program, related costs for travel and training, and supplies.

- ☐ from existing budget appropriations  
☒ from additional estimated revenues  
☐ from unappropriated fund balance

### REVENUES

Fund #	Org	Object	Project	Description	Increase or (Decrease) \$
110	11035	431360	G2615	OTS POLICE DEPT - OTS REV	515,000.00
Subtotal					\$ 515,000.00

### EXPENDITURES

Fund #	Org	Object	Project	Description	Increase or (Decrease) \$
110	11035	711002	G2615	DUIOfficer - CFDA20608 - Straight Time	106,829.00
110	11035	727016	G2615	BenDUIOff - CFDA20608 - Medicare Fringes	1,712.00
110	11035	728003	G2615	BenDUIOff - CFDA20608 - Compensated Absences	3,739.00
110	11035	727013	G2615	BenDUIOff - CFDA20608 - EMP Assistance Program	20.00
110	11035	727012	G2615	BenDUIOff - CFDA20608 - Life Insurance	105.00
110	11035	721001	G2615	BenDUIOff - CFDA20608 - Cafeteria Allowance FT	19,486.00
110	11035	721001	G2615	BenDUIOff - CFDA20608 - Medical Allowance FT	1,891.00
110	11035	727004	G2615	BenDUIOff - CFDA20608 - RHS \$2.50 Contribution	840.00
110	11035	727018	G2615	BenDUIOff - CFDA20608 - PORAC Retiree Medical Trust	1,200.00
110	11035	727020	G2615	BenDUIOff - CFDA20608 - Deferred Comp City Contribution	2,137.00
110	11035	723003	G2615	BenDUIOff - CFDA20608 - Pension ER Normal Cost Safety	24,154.00
110	11035	712023	G2615	BenDUIOff - CFDA20608 - Crisis Team Pay	1,068.00
110	11035	712009	G2615	BenDUIOff - CFDA20608 - Scholastic Achievement	5,876.00
110	11035	712012	G2615	BenDUIOff - CFDA20608 - Holiday Safety	4,948.00
110	11035	727003	G2615	BenDUIOff - CFDA20608 - Cell Phone Stipend	960.00
110	11035	713002	G2615	DUIDLckp - CFDA20608 - Overtime	45,000.00
110	11035	713002	G2615	DUISatPat - CFDA20608 - Overtime	135,000.00
110	11035	713002	G2615	KnowLimit - CFDA20608 - Overtime	13,500.00
110	11035	713002	G2615	CollabDUI - CFDA20608 - Overtime	18,000.00
110	11035	713002	G2615	SFST/ARIDE - CFDA20608 - Overtime	38,000.00
110	11035	713002	G2615	TrafEnfr - CFDA20600 - Overtime	16,000.00
110	11035	713002	G2615	MtrSftOps - CFDA20600 - Overtime	4,000.00
110	11035	713002	G2615	BikePedSf - CFDA20600 - Overtime	6,000.00
110	11035	713002	G2615	StRaceEnfr - CFDA20600 - Overtime	4,000.00
110	11035	713002	G2615	CollabTraf - CFDA20600 - Overtime	6,600.00
110	11035	713002	G2615	TrfSftEdPr - CFDA20600 - Overtime	3,000.00
110	11035	713002	G2615	DisDrvOps - CFDA20616 - Overtime	29,571.00
110	11035	713002	G2615	ComColEng - CFDA20611 - Overtime	10,843.00
110	11035	727016	G2615	PRSNL BENF - CFDA20608 - Medicare	3,618.00
110	11035	727016	G2615	PRSNL BENF - CFDA20600 - Medicare	574.00
110	11035	727016	G2615	PRSNL BENF - CFDA20616 - Medicare	429.00

Fund #	Org	Object	Project	Description	Increase or (Decrease) \$
110	11035	727016	G2615	PRSNL BENF - CFDA20611 - Medicare	157.00
110	11035	841015	G2615	DUICKpSup - CFDA20608 - SPECIAL DEPT SUPPLIES NOC	917.00
110	11035	841015	G2615	LidarDev - CFDA20600 - SPECIAL DEPT SUPPLIES NOC	2,329.00
110	11035	861001	G2615	OTSOOverall - CFDA20600 - IN TRAVEL	2,497.00
Subtotal					\$ 515,000.00

#### **FUND BALANCE**

Fund #	Object	Description	Increase or (Decrease) \$
110	300000	OTS GRANT FUND - FUND BALANCE CONTROL	-
		-	-
		-	-
		-	-
Subtotal			\$ -

***No Change In Fund Balance***



<b>1. GRANT TITLE</b> <b>Selective Traffic Enforcement Program (STEP)</b>	
<b>2. NAME OF AGENCY</b> <b>Newport Beach</b>	<b>3. Grant Period</b> From: 10/01/2025 To: 09/30/2026
<b>4. AGENCY UNIT TO ADMINISTER GRANT</b> <b>Newport Beach Police Department</b>	
<b>5. GRANT DESCRIPTION</b> Best practice strategies will be conducted to reduce the number of persons killed and injured in crashes involving alcohol and other primary crash factors. The funded strategies may include impaired driving enforcement, enforcement operations focusing on primary crash factors, distracted driving, night-time seat belt enforcement, special enforcement operations encouraging motorcycle safety, enforcement and public awareness in areas with a high number of bicycle and pedestrian crashes, and educational programs. These strategies are designed to earn media attention thus enhancing the overall deterrent effect. In addition, the department will participate in community collaboration and engagement activities to engage in conversations regarding traffic safety with community members.	
<b>6. Federal Funds Allocated Under This Agreement Shall Not Exceed: \$515,000.00</b> Allocation is contingent upon availability of federal funds.	
<b>7. TERMS AND CONDITIONS:</b> The parties agree to comply with the terms and conditions of the following which are by this reference made a part of the Agreement: <ul style="list-style-type: none"><li>• Schedule A – Problem Statement, Goals and Objectives and Method of Procedure</li><li>• Schedule B – Detailed Budget Estimate and Sub-Budget Estimate (if applicable)</li><li>• Schedule B-1 – Budget Narrative and Sub-Budget Narrative (if applicable)</li><li>• Exhibit A – Certifications and Assurances</li><li>• Exhibit B* – OTS Grant Program Manual</li><li>• Exhibit C – Grant Electronic Management System (GEMS) Access</li></ul> <p>*Items shown with an asterisk (*), are hereby incorporated by reference and made a part of this agreement as if attached hereto. These documents can be viewed at the OTS home web page under Grants: <a href="http://www.ots.ca.gov">www.ots.ca.gov</a>.</p> <p>We, the officials named below, hereby swear under penalty of perjury under the laws of the State of California that we are duly authorized to legally bind the Grant recipient to the above described Grant terms and conditions. IN WITNESS WHEREOF, this Agreement has been executed by the parties hereto.</p>	
<b>8. Approval Signatures</b>	
<b>A. GRANT DIRECTOR</b> NAME: Sabrina Fabbri TITLE: Sergeant EMAIL: sfabbri@nbpd.org PHONE: (949) 644-3743 ADDRESS: 870 Santa Barbara Drive Newport Beach, CA 92660  <div style="text-align: center; margin-top: 20px;">_____ (Signature)                      (Date)</div>	<b>B. AUTHORIZING OFFICIAL</b> NAME: Joe Stapleton TITLE: Mayor EMAIL: jstapleton@newportbeachca.gov PHONE: (949) 644-3001 ADDRESS: 100 Civic Center Drive Newport Beach, CA 92660  <div style="text-align: center; margin-top: 20px;">_____ (Signature)                      (Date)</div>
<b>C. FISCAL OFFICIAL</b> NAME: Jason Al-imam TITLE: Finance Director EMAIL: jalimam@newportbeachca.gov PHONE: (949) 644-3126 ADDRESS: 100 Civic Center Drive Newport Beach, CA 92660  <div style="text-align: center; margin-top: 20px;">_____ (Signature)                      (Date)</div>	<b>D. AUTHORIZING OFFICIAL OF OFFICE OF TRAFFIC SAFETY</b> NAME: Stephanie Dougherty TITLE: Director EMAIL: stephanie.dougherty@ots.ca.gov PHONE: (916) 509-3030 ADDRESS: 2208 Kausen Drive Suite 300 Sacramento, CA 95758  <div style="text-align: center; margin-top: 20px;">_____ (Signature)                      (Date)</div>



<b>E. ACCOUNTING OFFICER OF OFFICE OF TRAFFIC SAFETY</b> NAME: Carolyn Vu ADDRESS: 2208 Kausen Drive, Suite 300 Elk Grove, CA 95758	<b>9. SAM INFORMATION</b> SAM #: FPFYQSEFJ8M3 REGISTERED ADDRESS: 100 Civic Center Drive CITY: Newport Beach ZIP+4: 92660-3267
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10. PROJECTED EXPENDITURES						
FUND	CFDA	ITEM/APPROPRIATION	F.Y.	CHAPTER	STATUTE	PROJECTED EXPENDITURES
405e DDL-26	20.616	0521-0890-101	2025	04/25	BA/25	\$30,000.00
1906-26	20.611	0521-0890-101	2025	04/25	BA/25	\$11,000.00
164AL-26	20.608	0521-0890-101	2025	04/25	BA/25	\$429,000.00
402PT-26	20.600	0521-0890-101	2025	04/25	BA/25	\$45,000.00
				<b>AGREEMENT TOTAL</b>		<b>\$515,000.00</b>
				AMOUNT ENCUMBERED BY THIS DOCUMENT		
				<b>\$515,000.00</b>		
<i>I CERTIFY upon my own personal knowledge that the budgeted funds for the current budget year are available for the period and purpose of the expenditure stated above.</i>				PRIOR AMOUNT ENCUMBERED FOR THIS AGREEMENT		
				<b>\$ 0.00</b>		
OTS ACCOUNTING OFFICER'S SIGNATURE		DATE SIGNED		TOTAL AMOUNT ENCUMBERED TO DATE		
				<b>\$515,000.00</b>		

## 1. PROBLEM STATEMENT

### **Describe the city, county, or jurisdiction this grant will impact.**

Newport Beach is a picturesque coastal city located in Orange County, California, known for its luxurious lifestyle, stunning beaches, and world-class amenities. The city covers approximately 53 square miles, including 35 square miles of water, making it a haven for water enthusiasts, nature lovers, and those seeking a vibrant yet relaxed coastal community.

#### **Key Features of Newport Beach**

- **Beaches and Outdoor Recreation:**
- Newport Beach is home to some of California's most iconic beaches, such as Newport Beach Pier, Balboa Beach, and Corona del Mar State Beach. The city offers exceptional opportunities for surfing, sailing, paddleboarding, and other water sports. The Newport Harbor, one of the largest recreational harbors on the West Coast, attracts boaters from around the world.
- **Balboa Peninsula and Island:**
- The Balboa Peninsula is a lively area featuring waterfront homes, charming shops, and attractions such as the Balboa Fun Zone and the historic Balboa Pavilion. Balboa Island, accessible by ferry, offers quaint boutiques, dining spots, and the famous Balboa Bars—a local frozen treat.
- **Luxury Living and Real Estate:**
- Newport Beach is synonymous with luxury, boasting some of the most prestigious real estate in Southern California. From oceanfront estates in communities like Crystal Cove and Pelican Hill to stylish residences on Newport Coast, the city is a hub for affluent residents.

### **Shopping, Dining and Night Life:**

Newport Beach is a premier destination for high-end shopping and dining. Fashion Island, an open-air shopping center, offers a mix of upscale retail stores and gourmet restaurants. Along the waterfront, visitors can enjoy fresh seafood and fine dining at iconic establishments. Newport Beach competes against other cities for the most Department of Alcoholic Beverage Control licensed establishments in the State of California (per capita)

- **Cultural and Community Events:** The city hosts numerous events, including the Newport Beach Film Festival, the Christmas Boat Parade in the harbor, and summer concerts. Its vibrant arts and culture scene enriches the community and attracts visitors year-round.
- **Natural Beauty:**
- Beyond its beaches, Newport Beach features stunning nature preserves like the Upper Newport Bay Nature Preserve (Back Bay), which provides opportunities for hiking, birdwatching, and kayaking. The city's commitment to preserving its natural environment enhances its appeal to outdoor enthusiasts.
- **Tourism and Population:**
- While Newport Beach has a permanent population of approximately 86,000 residents, this number often swells during the summer and holiday seasons, as the city attracts visitors from across the region, state, and globe. Tourists are drawn to its pristine beaches, harbor activities, and world-class hospitality.

**Quality of Life**  
Newport Beach offers an unparalleled quality of life, blending coastal charm with modern sophistication. With its clean streets, highly rated schools, safe neighborhoods, and focus on outdoor living, it appeals to families, retirees, and professionals alike.

**Signature Identity**  
At its core, Newport Beach is a unique mix of laid-back coastal vibes and cosmopolitan energy. It is a city where luxury meets nature, where residents and visitors alike can enjoy stunning sunsets, sailboats gliding across the harbor, and an overall sense of California's quintessential coastal lifestyle.



**Describe the problem(s) to be addressed, supported by current and relevant crash data. (most recent calendar year data/stats).**

According to the most recent data (2022) from the California Office of Traffic Safety, the City of Newport Beach ranks 66th out of 104 similarly sized California cities in crash-related categories per capita. This ranking highlights a clear opportunity for improvement. By leveraging grant funding and implementing a proactive strategy, Newport Beach can address critical areas such as reducing fatal and injury crashes involving motorcyclists, bicyclists, unsafe speeds, and impaired drivers.

As a destination city attracting visitors from across the region, state, and world, Newport Beach experiences a significant daily population increase. Many individuals come to work, shop, dine, or enjoy the beaches, adding to the traffic on local roadways and contributing to the city's current crash statistics. To enhance roadway safety for all users—including residents, businesses, and visitors—the Newport Beach Police Department (NBPD) continues to utilize funding from the Office of Traffic Safety (OTS) to provide traffic education, enforce safety laws, and target impaired driving, including DUIs involving alcohol, drugs, or a combination of both.

**2023 Traffic Crash Data**

In 2023, Newport Beach experienced 749 traffic crashes, with 396 resulting in injuries affecting 518 victims. The high number of traffic-related violations reflects the challenges posed by both residents and the influx of visitors to the city's beaches, restaurants, and shopping destinations.

- **Impaired Driving:**

- 146 traffic crashes in 2023 were attributed to DUI as the primary factor.
- Tragically, in May 2024, a 14-year-old pedestrian lost her life in a crashes caused by a driver under the influence of alcohol.
- Additionally, 75 individuals were injured in alcohol-related crashes.
- Newport Beach ranks 14th out of 104 cities for alcohol-involved injury/fatal crasshes (NHTSA). Despite these numbers, the city ranks 90th out of 104 for DUI arrests, reflecting an ongoing effort to improve enforcement and reduce DUI incidents.

**Unsafe Speed and Racing Vehicles**

Unsafe speed was the leading primary crashes factor in 2023, accounting for 270 crashes. The city's long stretches of roadways often encourage speeding, creating hazardous conditions for motorists, bicyclists, and pedestrians. Additionally, NBPD regularly receives complaints about modified vehicles with loud exhausts and racing, further exacerbating safety risks in the community.

**Bicycle and E-Bike Safety**

As a beach community with a daily population of approximately 86,000—frequently swelling to over 100,000 depending on weather and seasonal factors—Newport Beach faces unique challenges in managing bicycle and pedestrian traffic. In 2023, 100 injury crashes involved bicyclists.

The rise in e-bike usage has emerged as a significant concern. Complaints about e-bike riders frequently involve:

- Minors not wearing helmets.
- Unsafe operations and California Vehicle Code (CVC) violations.
- Near-crashes between e-bike riders and pedestrians.

Increased education and enforcement are essential to address these concerns and ensure safer streets for all users.

**Motorcycle Safety**

Newport Beach's scenic coastline attracts many motorcyclists, adding to traffic safety challenges. In 2023, there were 25 motorcycle crashes, 23 of which resulted in injuries affecting 16 victims. Factors contributing to these incidents include motorcyclists failing to follow traffic laws and general motorists failing to share the road responsibly. Ensuring safer conditions for motorcyclists and other road users remains a priority for the NBPD.

The Newport Beach Police Department remains committed to addressing these challenges through education, enforcement, and collaboration with community and law enforcement partners. By focusing on primary crashes factors, impaired driving, unsafe speed, and bicycle and pedestrian safety, the department aims to create a safer environment for all who live, work, and visit Newport Beach.

**Define the target population the grant intends to serve and how they are affected by the problem(s).**

Newport Beach serves a diverse target population that includes its permanent residents, daily commuters, seasonal tourists, and local business patrons. Each group interacts with the city's roadways in different



ways, creating unique traffic safety challenges that must be addressed to maintain the city's high quality of life and reputation as a premier destination. **1. Permanent Residents**

- **Profile:** The city's approximately 86,000 permanent residents include families, retirees, young professionals, and affluent individuals who live in upscale neighborhoods like Newport Coast, Balboa Island, and Corona del Mar.
- **Traffic Safety Impact:**
  - Residents often use local streets for commuting, school drop-offs, and recreational activities such as biking and walking.
  - Traffic safety concerns include speeding in residential areas, increased pedestrian and bicycle traffic, and the risks posed by impaired or distracted drivers.
  - Many residents own e-bikes and other recreational vehicles, increasing the need for education and enforcement around safe usage.

- **Profile:** Thousands of individuals commute to Newport Beach for work, particularly to its bustling business hubs like Newport Center (home to Fashion Island) and the healthcare and finance sectors.

- **Traffic Safety Impact:**
  - Commuters contribute to peak-hour congestion, particularly on major roadways like Pacific Coast Highway, MacArthur Boulevard, and Jamboree Road.
  - Unsafe driving behaviors, such as speeding or distracted driving during commutes, increase the risk of crashes.
  - Parking shortages and crowded intersections in business districts can lead to additional traffic-related issues.

- **Profile:** Newport Beach attracts millions of visitors annually, including regional day-trippers, domestic tourists, and international travelers. Popular attractions include the beaches, Newport Harbor, Balboa Island, and upscale shopping and dining experiences.

- **Traffic Safety Impact:**
  - Tourists may be unfamiliar with local traffic patterns and regulations, leading to erratic driving or navigation errors.
  - Seasonal surges in population, particularly during summer months and holidays, significantly increase congestion and the likelihood of crashes.
  - Pedestrian and bicycle traffic spikes in high-tourist areas such as the Balboa Peninsula and Corona del Mar, requiring additional focus on crosswalk safety and bike lane enforcement.

#### **Recreational Users (Bicyclists, E-Bike Riders, and Motorcyclists)**

- **Profile:** Newport Beach's scenic coastline, harbor, and outdoor amenities make it a hotspot for recreational users, including cyclists, e-bike riders, and motorcyclists.

- **Traffic Safety Impact:**
  - Bicyclists and e-bike riders often share busy roadways with vehicles, increasing the risk of crashes. In 2023, there were 100 injury crashes involving bicyclists.
  - E-bikes, particularly among younger users, present unique safety challenges, including helmet compliance, unsafe riding behaviors, and conflicts with pedestrians.
  - Motorcyclists attracted to the city's scenic routes often engage in risky behaviors like speeding, posing dangers to themselves and other road users.

#### **5. Businesses and Their Patrons**

- **Profile:** Newport Beach boasts a vibrant business community, including luxury retailers, restaurants, and service providers. Local businesses depend on the steady flow of residents, commuters, and tourists.

- **Traffic Safety Impact:**
  - High traffic volumes near business hubs create challenges such as parking lot crashes, jaywalking pedestrians, and delivery vehicle obstructions.
  - Businesses also rely on safe and efficient roadways to maintain accessibility for customers and employees.

**Conclusion**  
The diverse target population of Newport Beach—residents, commuters, visitors, and recreational users—collectively faces traffic safety challenges unique to a bustling coastal community. Addressing these issues through proactive education, enforcement, and engineering improvements is essential to ensure the safety and well-being of all who live, work, and visit the city.

## **2. PERFORMANCE MEASURES**



**A. Goals:**

1. Reduce the number of persons killed in traffic crashes.
2. Reduce the number of persons injured in traffic crashes.
3. Reduce the number of pedestrians killed in traffic crashes.
4. Reduce the number of pedestrians injured in traffic crashes.
5. Reduce the number of bicyclists killed in traffic crashes.
6. Reduce the number of bicyclists injured in traffic crashes.
7. Reduce the number of persons killed in alcohol-involved crashes.
8. Reduce the number of persons injured in alcohol-involved crashes.
9. Reduce the number of persons killed in drug-involved crashes.
10. Reduce the number of persons injured in drug-involved crashes.
11. Reduce the number of persons killed in alcohol/drug combo-involved crashes.
12. Reduce the number of persons injured in alcohol/drug combo-involved crashes.
13. Reduce the number of motorcyclists killed in traffic crashes.
14. Reduce the number of motorcyclists injured in traffic crashes.
15. Reduce hit & run fatal crashes.
16. Reduce hit & run injury crashes.
17. Reduce nighttime (2100 - 0259 hours) fatal crashes.
18. Reduce nighttime (2100 - 0259 hours) injury crashes.

**B. Objectives:**

	Target Number
1. Issue a news release announcing the kick-off of the grant by December 31st. The kick-off news releases and media advisories, alerts, and materials must be emailed to the OTS Public Information Officer at pio@ots.ca.gov, and copied to your OTS Coordinator, for approval 7 days prior to the issuance date of the release.	1
2. Participate and report data (as required) in the following campaigns; Quarter 1: National Pedestrian Safety Month, National Walk to School Day, National Teen Driver Safety Week, NHTSA Winter Mobilization; Quarter 3: National Distracted Driving Awareness Month, National Motorcycle Safety Month, National Bicycle Safety Month, National Click it or Ticket Mobilization; Quarter 4: National Speed Prevention Campaigns, NHTSA Summer Mobilization, National Child Passenger Safety Week, and California's Pedestrian Safety Month.	12
3. Develop (by December 31) and/or maintain a "DUI BOLO" program to notify patrol and traffic officers to be on the lookout for identified repeat DUI offenders with a suspended or revoked license as a result of DUI convictions. Updated DUI BOLOs should be distributed to patrol and traffic officers monthly.	12
4. Send law enforcement personnel to the NHTSA Standardized Field Sobriety Testing (SFST) (minimum 16 hours) POST-certified training.	5
5. Send law enforcement personnel to the NHTSA Advanced Roadside Impaired Driving Enforcement (ARIDE) 16 hour POST-certified training.	5
6. Send law enforcement personnel to the Drug Recognition Expert (DRE) training (classroom and field training must be completed).	1
7. Send law enforcement personnel to the DRE Recertification training.	3
8. Send law enforcement personnel to SFST Instructor training.	1
9. Conduct DUI/DL Checkpoints. A minimum of 1 checkpoint should be conducted during the NHTSA Winter Mobilization and 1 during the Summer Mobilization. To enhance the overall deterrent effect and promote high visibility, it is recommended the grantee issue an advance press release and conduct social media activity for each checkpoint. For combination DUI/DL checkpoints, departments should issue press releases that mention DL's will be checked at the DUI/DL checkpoint. Signs for DUI/DL checkpoints should read "DUI/Driver's License Checkpoint Ahead." OTS does not fund or support independent DL checkpoints. Only on an exception basis and with OTS pre-approval will OTS fund checkpoints that begin prior to 1800 hours. When possible, DUI/DL Checkpoint screeners should be DRE- or ARIDE-trained.	3
10. Conduct DUI Saturation Patrol operation(s).	75



11. Conduct Traffic Enforcement operation(s), including but not limited to, primary crash factor violations.	8
12. Conduct highly publicized Distracted Driving enforcement operation(s) targeting drivers using hand held cell phones and texting.	11
13. Conduct highly publicized Motorcycle Safety enforcement operation(s) in areas or during events with a high number of motorcycle incidents or crashes resulting from unsafe speed, DUI, following too closely, unsafe lane changes, improper turning, and other primary crash factor violations by motorcyclists and other drivers.	2
14. Conduct highly publicized pedestrian and/or bicycle enforcement operation(s) in areas or during events with a high number of pedestrian and/or bicycle crashes resulting from violations made by pedestrians, bicyclists, and drivers.	3
15. Conduct Traffic Safety educational presentation(s) with an effort to reach community members. Note: Presentation(s) may include topics such as distracted driving, DUI, speed, bicycle and pedestrian safety, seat belts and child passenger safety.	3
16. Conduct Know Your Limit campaigns with an effort to reach members of the community.	9
17. Conduct Drug Recognition Expert (DRE) training for law enforcement officers. Training consists of 72 hours of classroom instruction.	1
18. Conduct Advanced Roadside Impaired Driving Enforcement (ARIDE) POST-certified trainings for law enforcement officers. Training consists of 16 hours of classroom training.	1
19. Conduct Standardized Field Sobriety Testing (SFST) POST-certified trainings 16 hour minimum for law enforcement officers.	1
20. Participate in highly visible collaborative DUI Enforcement operations.	10
21. Participate in highly visible collaborative Traffic Enforcement operations.	3
22. Send law enforcement personnel to DUI Checkpoint Planning and Management training.	1
23. Conduct specialized enforcement operations focusing specifically on street racing and sideshow activities.	2
24. Identify grant funded, straight time personnel. Include any vacancies or staff changes that have occurred. For any vacancies, include the status of filling the vacancy.	1
25. Participate in community collaboration and engagement activities to engage in conversations regarding traffic safety to both share information and receive input from the community members.	7
<b>3. METHOD OF PROCEDURE</b>	
<b>A. Phase 1 – Program Preparation (1<sup>st</sup> Quarter of Grant Year)</b>	
<ul style="list-style-type: none"> <li>The department will develop operational plans to implement the “best practice” strategies outlined in the objectives section.</li> <li>Conduct all training needed to implement the program, in the first quarter.</li> <li>Purchase all grant related supplies and materials to implement the program, in the first quarter.</li> <li>Items with a unit cost of \$5,000 more (including tax and shipping) must comply with Buy America.</li> <li>In order to develop/maintain the “DUI BOLOs,” research will be conducted to identify the “worst of the worst” repeat DUI offenders with a suspended or revoked license as a result of DUI convictions. The DUI BOLO may include the driver’s name, last known address, DOB, description, current license status, and the number of times suspended or revoked for DUI. DUI BOLOs should be updated and distributed to traffic and patrol officers at least monthly.</li> <li>Implementation of the STEP grant activities will be accomplished by deploying personnel at high crash locations.</li> </ul>	
<u>Media Requirements</u>	
Issue a news release approved by the OTS PIO announcing the kick-off of the grant by December 31 and after the grant is signed and executed, but no sooner than October 1, the start of the grant year. The kick-off release must be approved by the OTS PIO. If you are unable to meet the December 31 deadline to issue a kick-off press release, communicate reasons to your OTS grant coordinator and OTS PIO.	
<b>B. Phase 2 – Program Operations (Throughout Grant Year)</b>	



## Media Requirements

The following requirements are for all grant-related activities:

- Send all media advisories, alerts, videos, graphics, artwork, posters, radio/PSA/video scripts, storyboards, digital and/or print educational materials for grant-related activities to the OTS PIO at [pio@ots.ca.gov](mailto:pio@ots.ca.gov) for approval and copy your OTS grant coordinator. Optimum lead time would be 7 days before the scheduled release but at least 3 business days prior to the scheduled release date for review and approval is appreciated.
- Send all PowerPoint presentations, online presentations and trainings for grant-related activities to the OTS PIO at [pio@ots.ca.gov](mailto:pio@ots.ca.gov) for approval and copy your OTS grant coordinator. Certified training courses are EXEMPT from the approval process.
- The OTS PIO is responsible for the approval of the design and content of materials. The agency understands OTS PIO approval is not authorizing approval of budget expenditure or cost. Any cost approvals must come from the OTS grant coordinator.
- Pre-approval is not required when using any OTS-supplied template for media advisories, news releases, social media graphics, videos or posts, or any other OTS-supplied educational material. However, copy the OTS PIO at [pio@ots.ca.gov](mailto:pio@ots.ca.gov) and your OTS grant coordinator when any material is distributed to the media and public, such as a news release, educational material, or link to social media post.
- If an OTS-supplied template, educational material, social media graphic, post or video is substantially changed, the changes shall be sent to the OTS PIO at [pio@ots.ca.gov](mailto:pio@ots.ca.gov) for approval and copy your OTS grant coordinator.
- News releases, social media posts and alerts on platforms such as NextDoor and Nixle reporting immediate and time-sensitive grant activities (e.g. enforcement operations, day of event highlights or announcements, event invites) are EXEMPT from the OTS PIO approval process. The OTS PIO and your OTS grant coordinator should still be notified when the grant-related activity is happening (e.g. car seat checks, bicycle rodeos, community presentations, DUI checkpoints, etc.).
- Enforcement activities such as warrant and probation sweeps, court stings, etc. that are embargoed or could impact operations by publicizing in advance are EXEMPT from the PIO approval process. However, announcements and results of activities should still be copied to the OTS PIO at [pio@ots.ca.gov](mailto:pio@ots.ca.gov) and your OTS grant coordinator with the embargoed date and time or with "INTERNAL ONLY: DO NOT RELEASE" message in subject line of email.
- Any earned or paid media campaigns for TV, radio, digital or social media that are part of a specific grant objective, using OTS grant funds, or designed and developed using contractual services by a subgrantee, requires prior approval.
- Social media posts highlighting state or national traffic safety campaigns (Distracted Driving Month, Motorcycle Safety Awareness Month, etc.), enforcement operations (DUI checkpoints, etc.), or any other grant-related activity such as Bicycle rodeos, presentations, or events, are highly encouraged but do not require prior approval.
- Submit a draft or rough-cut of all digital, printed, recorded or video material (brochures, posters, scripts, artwork, trailer graphics, digital graphics, social posts connected to an earned or paid media campaign grant objective) to the OTS PIO at [pio@ots.ca.gov](mailto:pio@ots.ca.gov) and copy your OTS grant coordinator for approval prior to the production or duplication.
- Use the following standard language in all press, media, and printed materials, space permitting: Funding for this program was provided by a grant from the California Office of Traffic Safety, through the National Highway Traffic Safety Administration.
- Space permitting, include the OTS logo on all grant-funded print materials, graphics and paid or earned social media campaign grant objective; consult the OTS PIO and copy your OTS grant coordinator for specifics, format-appropriate logos, or if space does not permit the use of the OTS logo.
- Email the OTS PIO at [pio@ots.ca.gov](mailto:pio@ots.ca.gov) and copy your OTS grant coordinator at least 21 days in advance, or when first confirmed, a short description of any significant grant-related traffic safety event or program, particularly events that are highly publicized beforehand with anticipated media coverage so OTS has sufficient notice to arrange for attendance and/or participation in the event. If unable to attend, email the OTS PIO and coordinator brief highlights and/or results, including

any media coverage (broadcast, digital, print) of event within 7 days following significant grant-related event or program. Media and program highlights are to be reflected in QPRs.

- Any news releases, work plans, scripts, storyboards, artwork, graphics, videos or any educational or informational materials that received OTS PIO approval in a prior grant year needs to be resubmitted for approval in the current grant year.
- For additional guidance, refer to the [OTS Grants Materials Approval Process Guidelines](#) and [OTS Grants Media Approval Process FAQs](#) on the OTS website.
- Contact the OTS PIO or your OTS grant coordinator for consultation when changes from any of the above requirements might be warranted.

#### **C. Phase 3 – Data Collection & Reporting (Throughout Grant Year)**

1. Prepare and submit grant claim invoices (due January 30, April 30, July 30, and October 30)

2. Prepare and submit Quarterly Performance Reports (QPR) (due January 30, April 30, July 30, and October 30)

- Collect and report quarterly, appropriate data that supports the progress of goals and objectives.
- Provide a brief list of activity conducted, procurement of grant-funded items, and significant media activities. Include status of grant-funded personnel, status of contracts, challenges, or special accomplishments.
- Provide a brief summary of quarterly accomplishments and explanations for objectives not completed or plans for upcoming activities.
- Collect, analyze and report statistical data relating to the grant goals and objectives.

#### **4. METHOD OF EVALUATION**

Using the data compiled during the grant, the Grant Director will complete the “Final Evaluation” section in the fourth/final Quarterly Performance Report (QPR). The Final Evaluation should provide a brief summary of the grant’s accomplishments, challenges and significant activities. This narrative should also include whether goals and objectives were met, exceeded, or an explanation of why objectives were not completed.

#### **5. ADMINISTRATIVE SUPPORT**

This program has full administrative support, and every effort will be made to continue the grant activities after grant conclusion.



FUND NUMBER	CATALOG NUMBER (CFDA)	FUND DESCRIPTION	TOTAL AMOUNT
1906-26	20.611	Racial Profiling Prohibition Grants	\$11,000.00
405e DDL-26	20.616	Distracted Driving Laws	\$30,000.00
402PT-26	20.600	State and Community Highway Safety	\$45,000.00
164AL-26	20.608	Minimum Penalties for Repeat Offenders for Driving While Intoxicated	\$429,000.00

COST CATEGORY	FUND NUMBER	UNIT COST OR RATE	UNITS	TOTAL COST TO GRANT
<b>A. PERSONNEL COSTS</b>				
<b><u>Straight Time</u></b>				
DUI Officer	164AL-26	\$51.36	2,080	\$106,829.00
Benefits for DUI Officer @ 63.78%	164AL-26	\$106,829.00	1	\$68,136.00
<b><u>Overtime</u></b>				
DUI/DL Checkpoints	164AL-26	\$15,000.00	3	\$45,000.00
DUI Saturation Patrols	164AL-26	\$1,800.00	75	\$135,000.00
Know Your Limit	164AL-26	\$1,500.00	9	\$13,500.00
Collaborative DUI Enforcement	164AL-26	\$1,800.00	10	\$18,000.00
SFST/ARIDE/DRE Instruction	164AL-26	\$38,000.00	1	\$38,000.00
Benefits for 164AL OT @ 1.45%	164AL-26	\$249,500.00	1	\$3,618.00
Traffic Enforcement	402PT-26	\$2,000.00	8	\$16,000.00
Motorcycle Safety Enforcement	402PT-26	\$2,000.00	2	\$4,000.00
Pedestrian and Bicycle Enforcement	402PT-26	\$2,000.00	3	\$6,000.00
Street Racing and Sideshow Enforcement Operations	402PT-26	\$2,000.00	2	\$4,000.00
Collaborative Traffic Enforcement	402PT-26	\$2,200.00	3	\$6,600.00
Traffic Safety Educational Presentations	402PT-26	\$1,000.00	3	\$3,000.00
Benefits for 402PT OT @ 1.45%	402PT-26	\$39,600.00	1	\$574.00
Distracted Driving Enforcement	405e DDL-26	\$2,688.30	11	\$29,571.00
Benefits for 405e DDL OT @ 1.45%	405e DDL-26	\$29,572.00	1	\$429.00
Community Collaboration Engagement	1906-26	\$1,549.00	7	\$10,843.00
Benefits for 1906 OT @ 1.45%	1906-26	\$10,843.00	1	\$157.00
Category Sub-Total				\$509,257.00
<b>B. TRAVEL EXPENSES</b>				
In State Travel	402PT-26	\$2,497.00	1	\$2,497.00
				\$0.00
Category Sub-Total				\$2,497.00
<b>C. CONTRACTUAL SERVICES</b>				
				\$0.00
Category Sub-Total				\$0.00
<b>D. EQUIPMENT</b>				
				\$0.00
Category Sub-Total				\$0.00



<b>E. OTHER DIRECT COSTS</b>				
DUI Checkpoint Supplies	164AL-26	\$917.00	1	\$917.00
Lidar Device	402PT-26	\$2,329.00	1	\$2,329.00
Category Sub-Total				\$3,246.00
<b>F. INDIRECT COSTS</b>				
				\$0.00
Category Sub-Total				\$0.00
<b>GRANT TOTAL</b>				<b>\$515,000.00</b>

BUDGET NARRATIVE	
<b>PERSONNEL COSTS</b>	
DUI Officer - Claimed amounts must reflect actual benefit costs for straight time hours charged to the grant.	
Total Benefit Rate: 63.78%	
5.22% Other benefits	
18.24% Health	
1.77% Other medical	
3.91% Supplemental Retirement	
22.61% Retirement	
12.03% Specialty Pay	
Benefits for DUI Officer @ 63.78% - Claimed amounts must reflect actual benefit costs for straight time hours charged to the grant.	
Total Benefit Rate 63.78%	
5.22% Other Benefits	
5.21% Health	
1.77% Other Medical	
3.91% Supplemental Retirement	
22.61% Retirement	
12.03% Specialty Pays	
DUI/DL Checkpoints - Overtime for grant funded law enforcement operations conducted by appropriate department personnel.	
DUI Saturation Patrols - Overtime for grant funded law enforcement operations conducted by appropriate department personnel.	
Know Your Limit - Overtime for grant funded traffic safety presentations or campaigns conducted by appropriate department personnel.	
Collaborative DUI Enforcement - Overtime for grant funded law enforcement operations conducted by appropriate department personnel.	
SFST/ARIDE/DRE Instruction - Overtime for grant funded instructor training conducted by appropriate department personnel.	
Benefits for 164AL OT @ 1.45% - Claimed amounts must reflect actual benefit costs for overtime hours charged to the grant.	
Medicare - 1.45%	
Traffic Enforcement - Overtime for grant funded law enforcement operations conducted by appropriate department personnel.	
Motorcycle Safety Enforcement - Overtime for grant funded law enforcement operations conducted by appropriate department personnel.	
Pedestrian and Bicycle Enforcement - Overtime for grant funded law enforcement operations conducted by appropriate department personnel.	
Street Racing and Sideshow Enforcement Operations - Overtime for grant funded law enforcement operations conducted by appropriate department personnel.	
Collaborative Traffic Enforcement - Overtime for grant funded Collaborative Traffic Enforcement operations conducted by appropriate department personnel	
Traffic Safety Educational Presentations - Overtime for grant funded traffic safety educational presentations conducted by appropriate department personnel.	
Benefits for 402PT OT @ 1.45% - Claimed amounts must reflect actual benefit costs for overtime hours charged to the grant.	
Medicare - 1.45%	
Distracted Driving Enforcement - Overtime for grant funded law enforcement operations conducted by appropriate department personnel.	

Benefits for 405e DDL OT @ 1.45% - Claimed amounts must reflect actual benefit costs for overtime hours charged to the grant.

Medicare - 1.45%

Community Collaboration Engagement - Overtime for grant funded community collaborative engagement conducted by appropriate department personnel.

Benefits for 1906 OT @ 1.45% - Claimed amounts must reflect actual benefit costs for overtime hours charged to the grant.

Medicare - 1.45%

#### **TRAVEL EXPENSES**

In State Travel - Costs are included for appropriate staff to attend conferences and training events supporting the grant goals and objectives and/or traffic safety. Local mileage for grant activities and meetings is included. Anticipated travel may include the OTS Traffic Safety Law Enforcement Forum. All conferences, seminars or training not specifically identified in the Budget Narrative must be approved by OTS. All travel claimed must be at the agency approved rate. Per Diem may not be claimed for meals provided at conferences when registration fees are paid with OTS grant funds.

#### **CONTRACTUAL SERVICES**

-

#### **EQUIPMENT**

-

#### **OTHER DIRECT COSTS**

DUI Checkpoint Supplies - On-scene supplies needed to conduct sobriety checkpoints. Costs may include 28" traffic cones, MUTCD compliant traffic signs, MUTCD compliant high visibility vests (maximum of 10), traffic counters (maximum of 2), generator, gas for generators, lighting, reflective banners, electronic flares, PAS Device Supplies, PAS Calibration Supplies, heater, propane for heaters, fan, anti-fatigue mats, and canopies. Additional items may be purchased if approved by OTS. The cost of food and beverages will not be reimbursed.

Lidar Device - Light detection and ranging device used to measure the speed of motor vehicles. This device will be used for speed enforcement. Costs may include lidar devices, batteries, tax, and shipping.

#### **INDIRECT COSTS**

-

#### **STATEMENTS/DISCLAIMERS**

There will be no program income generated from this grant.

Salaries may include wages, salaries, special compensations, or authorized absences such as annual leave and sick leave provided the cost for the individual employee is (a) reasonable for the services rendered, and (b) follows an appointment made in accordance with state or local laws and rules and meets federal requirements.

Any non-grant funded vacancies created by reassignment to a grant-funded position must be filled at the expense of the grantee agency.

Nothing in this "agreement" shall be interpreted as a requirement, formal or informal, that a particular law enforcement officer issue a specified or predetermined number of citations in pursuance of the goals and objectives here under.

Benefits for personnel costs can only be applied to straight time or overtime hours charged to the grant.



**Appendix A to Part 1300—Certifications and Assurances for Highway Safety Grants**  
(23 U.S.C. Chapter 4 or Section 1906, Public Law 109-59, as amended by Section 25024, Public Law 117-58)

*The officials named on the grant agreement, certify by way of signature on the grant agreement signature page, that the Grantee Agency complies with all applicable Federal statutes, regulations, and directives and State rules, guidelines, policies, and laws in effect with respect to the periods for which it receives grant funding. Applicable provisions include, but are not limited to, the following:*

**GENERAL REQUIREMENTS**

The State will comply with applicable statutes and regulations, including but not limited to:

- 23 U.S.C. Chapter 4—Highway Safety Act of 1966, as amended;
- Sec. 1906, [Public Law 109-59](#), as amended by Sec. 25024, [Public Law 117-58](#);
- [23 CFR part 1300](#)—Uniform Procedures for State Highway Safety Grant Programs;
- [2 CFR part 200](#)—Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards;
- [2 CFR part 1201](#)—Department of Transportation, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.

**NONDISCRIMINATION**

**(applies to subrecipients as well as States)**

The State highway safety agency [and its subrecipients] will comply with all Federal statutes and implementing regulations relating to nondiscrimination ("Federal Nondiscrimination Authorities"). These include but are not limited to:

- *Title VI of the Civil Rights Act of 1964* ([42 U.S.C. 2000d](#) et seq., 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin);
- [49 CFR part 21](#) (entitled *Non-discrimination in Federally-Assisted Programs of the Department of Transportation—Effectuation of Title VI of the Civil Rights Act of 1964*);
- [28 CFR 50.3](#) (U.S. Department of Justice Guidelines for Enforcement of Title VI of the Civil Rights Act of 1964);
- *The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970*, ([42 U.S.C. 4601](#)), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);
- *Federal-Aid Highway Act of 1973*, (23 U.S.C. 324 et seq.), and *Title IX of the Education Amendments of 1972*, as amended ([20 U.S.C. 1681-1683](#) and [1685-1686](#)) (prohibit discrimination on the basis of sex);
- *Section 504 of the Rehabilitation Act of 1973*, ([29 U.S.C. 794](#) et seq.), as amended, (prohibits discrimination on the basis of disability) and [49 CFR part 27](#);
- *The Age Discrimination Act of 1975*, as amended, ([42 U.S.C. 6101](#) et seq.), (prohibits discrimination on the basis of age);
- *The Civil Rights Restoration Act of 1987*, (Pub. L. 100-209), (broadens scope, coverage, and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms "programs or activities" to include all of the programs or activities of the Federal aid recipients, subrecipients and contractors, whether such programs or activities are Federally-funded or not);
- *Titles II and III of the Americans with Disabilities Act* ([42 U.S.C. 12131-12189](#)) (prohibits discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing) and [49 CFR parts 37](#) and [38](#)



The preceding statutory and regulatory cites hereinafter are referred to as the "Acts" and "Regulations," respectively.

## **GENERAL ASSURANCES**

In accordance with the Acts, the Regulations, and other pertinent directives, circulars, policy, memoranda, and/or guidance, the Recipient hereby gives assurance that it will promptly take any measures necessary to ensure that:

*"No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity, for which the Recipient receives Federal financial assistance from DOT, including NHTSA."*

The Civil Rights Restoration Act of 1987 clarified the original intent of Congress, with respect to Title VI of the Civil Rights Act of 1964 and other non-discrimination requirements (the Age Discrimination Act of 1975, and Section 504 of the Rehabilitation Act of 1973), by restoring the broad, institutional-wide scope and coverage of these nondiscrimination statutes and requirements to include all programs and activities of the Recipient, so long as any portion of the program is Federally assisted.

## **SPECIFIC ASSURANCES**

More specifically, and without limiting the above general Assurance, the Recipient agrees with and gives the following Assurances with respect to its Federally assisted Highway Safety Grant Program:

1. The Recipient agrees that each "activity," "facility," or "program," as defined in § 21.23(b) and (c) of [49 CFR part 21](#) will be (with regard to an "activity") facilitated, or will be (with regard to a "facility") operated, or will be (with regard to a "program") conducted in compliance with all requirements imposed by, or pursuant to the Acts and the Regulations.
2. The Recipient will insert the following notification in all solicitations for bids, Requests For Proposals for work, or material subject to the Acts and the Regulations made in connection with all Highway Safety Grant Programs and, in adapted form, in all proposals for negotiated agreements regardless of funding source:  
*"The [name of Recipient], in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252, 42 U.S.C 2000d to 2000d-4) and the Regulations, hereby notifies all bidders that it will affirmatively ensure that in any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full and fair opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award."*
3. The Recipient will insert the clauses of appendix A and E of this Assurance (also referred to as DOT order 1050.2A) <sup>(1)</sup> in every contract or agreement subject to the Acts and the Regulations.
4. The Recipient will insert the clauses of appendix B of DOT Order 1050.2A, as a covenant running with the land, in any deed from the United States effecting or recording a transfer of real property, structures, use, or improvements thereon or interest therein to a Recipient.
5. That where the Recipient receives Federal financial assistance to construct a facility, or part of a facility, the Assurance will extend to the entire facility and facilities operated in connection therewith.
6. That where the Recipient receives Federal financial assistance in the form of, or for the acquisition of, real property or an interest in real property, the Assurance will extend to rights to space on, over, or under such property.
7. That the Recipient will include the clauses set forth in appendix C and appendix D of this DOT Order 1050.2A, as a covenant running with the land, in any future deeds, leases, licenses, permits, or similar instruments entered into by the Recipient with other parties:
  - a. for the subsequent transfer of real property acquired or improved under the applicable activity, project, or program; and
  - b. for the construction or use of, or access to, space on, over, or under real property acquired or improved under the applicable activity, project, or program.
8. That this Assurance obligates the Recipient for the period during which Federal financial assistance is extended to the program, except where the Federal financial assistance is to provide, or is in the



form of, personal property, or real property, or interest therein, or structures or improvements thereon, in which case the Assurance obligates the Recipient, or any transferee for the longer of the following periods:

- a. the period during which the property is used for a purpose for which the Federal financial assistance is extended, or for another purpose involving the provision of similar services or benefits; or
  - b. the period during which the Recipient retains ownership or possession of the property.
9. The Recipient will provide for such methods of administration for the program as are found by the Secretary of Transportation or the official to whom he/she delegates specific authority to give reasonable guarantee that it, other recipients, sub-recipients, sub-grantees, contractors, subcontractors, consultants, transferees, successors in interest, and other participants of Federal financial assistance under such program will comply with all requirements imposed or pursuant to the Acts, the Regulations, and this Assurance.
10. The Recipient agrees that the United States has a right to seek judicial enforcement with regard to any matter arising under the Acts, the Regulations, and this Assurance.

By signing this ASSURANCE, the State highway safety agency also agrees to comply (and require any sub-recipients, sub-grantees, contractors, successors, transferees, and/or assignees to comply) with all applicable provisions governing NHTSA's access to records, accounts, documents, information, facilities, and staff. You also recognize that you must comply with any program or compliance reviews, and/or complaint investigations conducted by NHTSA. You must keep records, reports, and submit the material for review upon request to NHTSA, or its designee in a timely, complete, and accurate way. Additionally, you must comply with all other reporting, data collection, and evaluation requirements, as prescribed by law or detailed in program guidance.

The State highway safety agency gives this ASSURANCE in consideration of and for obtaining any Federal grants, loans, contracts, agreements, property, and/or discounts, or other Federal-aid and Federal financial assistance extended after the date hereof to the recipients by the U.S. Department of Transportation under the Highway Safety Grant Program. This ASSURANCE is binding on the State highway safety agency, other recipients, sub-recipients, sub-grantees, contractors, subcontractors and their subcontractors', transferees, successors in interest, and any other participants in the Highway Safety Grant Program. The person(s) signing below is/are authorized to sign this ASSURANCE on behalf of the Recipient.

#### **THE DRUG-FREE WORKPLACE ACT OF 1988 (41 U.S.C. 8103)**

The Subgrantee will provide a drug-free workplace by:

- a. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace, and specifying the actions that will be taken against employees for violation of such prohibition;
- b. Establishing a drug-free awareness program to inform employees about:
  1. The dangers of drug abuse in the workplace;
  2. The grantee's policy of maintaining a drug-free workplace;
  3. Any available drug counseling, rehabilitation, and employee assistance programs;
  4. The penalties that may be imposed upon employees for drug violations occurring in the workplace;
  5. Making it a requirement that each employee engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- c. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—
  1. Abide by the terms of the statement;
  2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- d. Notifying the agency within ten days after receiving notice under subparagraph (c)(2) from an employee or otherwise receiving actual notice of such conviction;
- e. Taking one of the following actions, within 30 days of receiving notice under subparagraph (c)(2), with respect to any employee who is so convicted—
  1. Taking appropriate personnel action against such an employee, up to and including termination;
  2. Requiring such employee to participate satisfactorily in a drug abuse assistance or



- rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- f. Making a good faith effort to continue to maintain a drug-free workplace through implementation of all of the paragraphs above.

#### **POLITICAL ACTIVITY (HATCH ACT)**

**(applies to subrecipients as well as States)**

The State will comply with provisions of the Hatch Act ([5 U.S.C. 1501-1508](#)), which limits the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

#### **CERTIFICATION REGARDING FEDERAL LOBBYING**

**(applies to subrecipients as well as States)**

#### **CERTIFICATION FOR CONTRACTS, GRANTS, LOANS, AND COOPERATIVE AGREEMENTS**

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

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, subgrants, and contracts under grant, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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

#### **RESTRICTION ON STATE LOBBYING**

**(applies to subrecipients as well as States)**

None of the funds under this program will be used for any activity specifically designed to urge or influence a State or local legislator to favor or oppose the adoption of any specific legislative proposal pending before any State or local legislative body. Such activities include both direct and indirect (e.g., "grassroots") lobbying activities, with one exception. This does not preclude a State official whose salary is supported with NHTSA funds from engaging in direct communications with State or local legislative officials, in accordance with customary State practice, even if such communications urge legislative officials to favor or oppose the adoption of a specific pending legislative proposal:

#### **CERTIFICATION REGARDING DEBARMENT AND SUSPENSION**

**(applies to subrecipients as well as States)**

#### **INSTRUCTIONS FOR PRIMARY TIER PARTICIPANT CERTIFICATION (STATES)**



1. By signing and submitting this proposal, the prospective primary tier participant is providing the certification set out below and agrees to comply with the requirements of [2 CFR parts 180 and 1200](#).
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective primary tier participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary tier participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default or may pursue suspension or debarment.
4. The prospective primary tier participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary tier participant learns its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms **covered transaction, civil judgment, debarment, suspension, ineligible, participant, person, principal, and voluntarily excluded**, as used in this clause, are defined in [2 CFR parts 180 and 1200](#). You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under [48 CFR part 9, subpart 9.4](#), debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary tier participant further agrees by submitting this proposal that it will include the clause titled "Instructions for Lower Tier Participant Certification" including the "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions and will require lower tier participants to comply with [2 CFR parts 180 and 1200](#).
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under [48 CFR part 9, subpart 9.4](#), debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any prospective lower tier participants, each participant may, but is not required to, check the System for Award Management Exclusions website (<https://www.sam.gov>).
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under [48 CFR part 9, subpart 9.4](#), suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate the transaction for cause or default.

#### **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS—PRIMARY TIER COVERED TRANSACTIONS**

1. The prospective primary tier participant certifies to the best of its knowledge and belief, that it and



its principals:

- a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency;
  - b. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - d. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.
2. Where the prospective primary tier participant is unable to certify to any of the Statements in this certification, such prospective participant shall attach an explanation to this proposal.

#### INSTRUCTIONS FOR LOWER TIER PARTICIPANT CERTIFICATION

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below and agrees to comply with the requirements of [2 CFR parts 180 and 1200](#).
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms **covered transaction, civil judgment, debarment, suspension, ineligible, participant, person, principal, and voluntarily excluded**, as used in this clause, are defined in [2 CFR parts 180 and 1200](#). You may contact the person to whom this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under [48 CFR part 9, subpart 9.4](#), debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Instructions for Lower Tier Participant Certification" including the "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions and will require lower tier participants to comply with [2 CFR parts 180 and 1200](#).
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under [48 CFR part 9, subpart 9.4](#), debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any prospective lower tier participants, each participant may, but is not required to, check the System for Award Management Exclusions website (<https://www.sam.gov/>).
8. Nothing contained in the foregoing shall be construed to require establishment of a system of



records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under [48 CFR part 9, subpart 9.4](#), suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension or debarment.

#### **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION—LOWER TIER COVERED TRANSACTIONS**

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

#### **BUY AMERICA**

**(applies to subrecipients as well as States)**

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

#### **CERTIFICATION ON CONFLICT OF INTEREST**

**(applies to subrecipients as well as States)**

#### **GENERAL REQUIREMENTS**

No employee, officer, or agent of a State or its subrecipient who is authorized in an official capacity to negotiate, make, accept, or approve, or to take part in negotiating, making, accepting, or approving any subaward, including contracts or subcontracts, in connection with this grant shall have, directly or indirectly, any financial or personal interest in any such subaward. Such a financial or personal interest would arise when the employee, officer, or agent, any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or personal interest in or a tangible personal benefit from an entity considered for a subaward. Based on this policy:

1. The recipient shall maintain a written code or standards of conduct that provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents.
  - a. The code or standards shall provide that the recipient's officers, employees, or agents may neither solicit nor accept gratuities, favors, or anything of monetary value from present or potential subawardees, including contractors or parties to subcontracts.
  - b. The code or standards shall establish penalties, sanctions, or other disciplinary actions for violations, as permitted by State or local law or regulations.
2. The recipient shall maintain responsibility to enforce the requirements of the written code or standards of conduct.

#### **DISCLOSURE REQUIREMENTS**



No State or its subrecipient, including its officers, employees, or agents, shall perform or continue to perform under a grant or cooperative agreement, whose objectivity may be impaired because of any related past, present, or currently planned interest, financial or otherwise, in organizations regulated by NHTSA or in organizations whose interests may be substantially affected by NHTSA activities. Based on this policy:

1. The recipient shall disclose any conflict of interest identified as soon as reasonably possible, making an immediate and full disclosure in writing to NHTSA. The disclosure shall include a description of the action which the recipient has taken or proposes to take to avoid or mitigate such conflict.
2. NHTSA will review the disclosure and may require additional relevant information from the recipient. If a conflict of interest is found to exist, NHTSA may (a) terminate the award, or (b) determine that it is otherwise in the best interest of NHTSA to continue the award and include appropriate provisions to mitigate or avoid such conflict.
3. Conflicts of interest that require disclosure include all past, present, or currently planned organizational, financial, contractual, or other interest(s) with an organization regulated by NHTSA or with an organization whose interests may be substantially affected by NHTSA activities, and which are related to this award. The interest(s) that require disclosure include those of any recipient, affiliate, proposed consultant, proposed subcontractor, and key personnel of any of the above. Past interest shall be limited to within one year of the date of award. Key personnel shall include any person owning more than a 20 percent interest in a recipient, and the officers, employees or agents of a recipient who are responsible for making a decision or taking an action under an award where the decision or action can have an economic or other impact on the interests of a regulated or affected organization.

#### **PROHIBITION ON USING GRANT FUNDS TO CHECK FOR HELMET USAGE** **(applies to subrecipients as well as States)**

The State and each subrecipient will not use 23 U.S.C. Chapter 4 grant funds for programs to check helmet usage or to create checkpoints that specifically target motorcyclists.

#### **POLICY ON SEAT BELT USE**

In accordance with [Executive Order 13043](#), Increasing Seat Belt Use in the United States, dated April 16, 1997, the Grantee is encouraged to adopt and enforce on-the-job seat belt use policies and programs for its employees when operating company-owned, rented, or personally-owned vehicles. The National Highway Traffic Safety Administration (NHTSA) is responsible for providing leadership and guidance in support of this Presidential initiative. For information and resources on traffic safety programs and policies for employers, please contact the Network of Employers for Traffic Safety (NETS), a public-private partnership dedicated to improving the traffic safety practices of employers and employees. You can download information on seat belt programs, costs of motor vehicle crashes to employers, and other traffic safety initiatives at [www.trafficsafety.org](http://www.trafficsafety.org). The NHTSA website ( [www.nhtsa.gov](http://www.nhtsa.gov)) also provides information on statistics, campaigns, and program evaluations and references.

#### **POLICY ON BANNING TEXT MESSAGING WHILE DRIVING**

In accordance with [Executive Order 13513](#), Federal Leadership On Reducing Text Messaging While Driving, and DOT Order 3902.10, Text Messaging While Driving, States are encouraged to adopt and enforce workplace safety policies to decrease crashes caused by distracted driving, including policies to ban text messaging while driving company-owned or rented vehicles, Government-owned, leased or rented vehicles, or privately-owned vehicles when on official Government business or when performing any work on or behalf of the Government. States are also encouraged to conduct workplace safety initiatives in a manner commensurate with the size of the business, such as establishment of new rules and programs or re-evaluation of existing programs to prohibit text messaging while driving, and education, awareness, and other outreach to employees about the safety risks associated with texting while driving.