

This collection of information is voluntary and will be used to examine state Department of Transportation (DOT) practices (including processes) for delivering or applying safety funding resources to local agencies (including Tribal Governments) for road safety improvement projects. Public reporting burden is estimated to average 5 hour per response, including the time for reviewing instructions searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Please note that an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The OMB control number for this collection is 2125-XXXX. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Information Collection Clearance Officer, Federal Highway Administration, Office of Information Technology, E64-433, 1200 New Jersey Avenue, SE, Washington, DC 20590.

Local Road Safety Funding Questionnaire

Instructions

Federal Highway Administration (FHWA) is examining state Department of Transportation (DOT) practices (including processes) for delivering or applying safety funding resources to local agencies (including Tribal Governments) for road safety improvement projects and identifying noteworthy practices that can be implemented in other states. While this questionnaire is primarily directed at state departments of transportation, respondents are encouraged to reach out to local agency contacts to assist with answering the questions. Please look over the questionnaire first to identify the information you will need to gather, including funding amounts for state or federal fiscal years 2009, 2010, and 2011. Please answer the following questions related to the identification, prioritization, selection, development, implementation, and administration of safety projects on local roads.

Acronyms

The following acronyms are referenced throughout the questionnaire. Detailed definitions of these acronyms and other terms used throughout the questionnaire are provided at the end of the questionnaire.

HSIP – Highway Safety Improvement Program

HSIP Net – Highway Safety Improvement Program funds minus Railway-Highway Crossing Program and High-Risk Rural Roads Program

HRRRP – High Risk Rural Roads Program

LTAP – Local Technical Assistance Program

SHSP – Strategic Highway Safety Plan

RSA – Road Safety Audit

Background Information

- State _____

Please provide name and contact information for the primary individual providing information for the questionnaire.

- Name
- Department/Agency
- Division/Unit
- Title/Position
- Telephone Number
- Email Address
- Who else provided information for this questionnaire?

State of Practice

The FHWA guidance to states on practices for improving and increasing local road safety will be based on current policy, procedures, and practices (e.g. funding, human resources, and technical assistance).

Please specify the source of funding (Federal and state) and year and the year expenditures were made. *For questions related to safety improvement project funding levels, participants should provide federal or state 2009, 2010, and 2011 fiscal year expenditures. Please use the same fiscal year as used in HSIP reporting.*

- Federal fiscal year (Oct - Sep) State fiscal year (Specify starting month ____)

Funding

1. Does the state set aside (in advance, typically annually) a specific funding amounts for local road safety projects, either by percentage or by fixed amount?

	No set-aside	Yes, by percent	Yes, by amount	Don't Know
HSIP Net	<input type="checkbox"/>	<input type="text"/> %	<input type="text"/> \$	<input type="checkbox"/>
HRRRP	<input type="checkbox"/>	<input type="text"/> %	<input type="text"/> \$	<input type="checkbox"/>
State Funds <input type="text"/>	<input type="checkbox"/>	<input type="text"/> %	<input type="text"/> \$	<input type="checkbox"/>

Other Federal-Aid Highway Funds* % \$

Other Funds % \$

* Federal-Aid highway funds such as Surface Transportation Program (STP), Safe Routes to School (SRTS), Congestion Mitigation and Air Quality Improvement Program (CMAQ), or American Recovery and Reinvestment Act of 2009 (ARRA). Does not include § 402 and similar funds provided to state highway safety offices for behavioral-related programs and projects.

2. Which of the following are used to determine how the funding set asides identified in Question #1 are determined (Select all that apply)?
- a) Based on a formula allocation
 - b) Based on the fatality and/or serious injury numbers or rates
 - c) Determined by decision makers each year
 - d) Based on a competitive process where projects are selected on potential for safety improvement (proportion to locals varies year by year)
 - e) Other. Please specify _____

3. How much was actually spent (obligated) on local road safety projects, by each funding source, in fiscal years 2009, 2010, and 2011?

Fiscal Year	FY 2009	FY2010	FY 2011
HSIP Net	\$	\$	\$
HRRRP	\$	\$	\$
Other Federal-Aid	\$	\$	\$
State Funds	\$	\$	\$
Other	\$	\$	\$

4. Does the state use any of the following incentives to encourage local agencies to develop and implement local road safety projects (Select all that apply)?

- Provide preliminary engineering funding for federally funded projects on local roads.
- Provide final design funding for federally funded projects on local roads.
- Provide matching funds for HSIP-eligible projects on local roads.
- Provide funding for RSAs on federally funded projects on local roads.
- Other, please explain.

👉 Would you like to clarify or elaborate on any local safety *funding* issues?
 (Optional)

Training and Technical Support

5. Which entities provide training to local agencies in the following topic areas for local road safety projects? Select all that apply.

Training	State*	LTAP	MPO
Data analysis			
Problem identification			
Countermeasure identification			
Cost-benefit analysis			
Application preparation			
Project development			
Post project evaluation			
Federal regulations / federal-aid			
Other _____			

* Includes state funded consultants (but not LTAP).

6. Which entities provide the following assistance on safety projects for, or on behalf of, local agencies (Select all that apply).

Assistance	State*	LTAP	MPO	Locals **
Data analysis				

Assistance	State*	LTAP	MPO	Locals**
Problem identification				
Countermeasure identification				
Cost-benefit analysis				
Application preparation				
Project development				
Federal compliance				
Post project evaluation				
Local/Off-system safety coordinator				
DOT district/region coordinators responsible for				
Consultant services for local project development				
Other				

* Includes state funded consultants.

**City, county or other local jurisdiction performs the function or contracts directly with a consultant.

7. Does the state DOT have an entity or unit responsible for the conducting the following duties for local road safety projects? Select all that apply.

Duty	Local Public Agencies Office	Office of Local Assistance	DOT Traffic & Safety	DOT District Offices	Other
Develop local project selection criteria					
Review project application					

Provide stewardship and over site					
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- 📌 Would you like to clarify or elaborate on any local safety training and technical assistance issues? (Optional)

Project Selection

8. How are local road safety projects selected for funding (select all that apply)?

- DOT Safety Advisory Committee
- SHSP emphasis areas
- Competitive application/technical criteria
- Direct apportionment
- Legislative mandate
- 5% Report

9. Do local safety projects directly compete with state projects for safety improvement funding?

- Yes No I do not know.

- 📌 Would you like to clarify or elaborate on any local safety training and technical assistance issues? (Optional)


Noteworthy Practices

A number of states have implemented practices to improve roadway safety by providing funding and support for safety projects on local roadways. FHWA is interested in learning more about these practices so they can be shared with other states.

10. Does the state use any of the following practices to streamline the federal aid process for local agencies? Select all that apply.

- Ensure there is a source for local match before projects are selected for implementation.
- Provide state funds for local safety projects in lieu of federal-aid highway funds

- Distribute funds to MPOs or other local entities to distribute to local agencies.
- Certify a larger local agency administers projects on behalf of smaller local agencies.
- Allow local agencies to use their own materials specifications and design standards for roadways off the national highway system (preapproved).
- Encourage the use of programmatic agreements between state and local agencies
- Allow programmatic categorical exclusions.
- Use a push button project process to expedite certain project types.
- Allow agencies to use their own labor and resources to construct small-scale projects, eliminating the competitive bidding process.
- Pay local contractors directly instead of reimbursing local agencies (direct-pay).
- Group multiple projects together to reduce administrative burden.
- Establish a blanket contract to perform safety improvements on local roads.
- Provide a single application for multiple funding sources.
- Complete or contract for safety improvements on local roads.
- Identify systemic safety improvements eligible for safety funding on local roads.
- Other, please specify.

 Would you like to clarify or elaborate on any noteworthy practices?
(Optional)

Challenges and Barriers

FHWA realizes states face challenges and barriers when attempting to provide funding and other resources for safety projects on local roadways. Answers to the following questions will document those challenges and help identify ways to overcome them.

11. Select the top three challenges or barriers limiting your agency's ability to identify, select, and prioritize safety projects on local roads.

- a) Availability of crash data - State does not collect local roadway crash data
- b) Availability of crash data - Local law enforcement do not report crashes in a timely manners
- c) Accuracy of crash data

- d) Completeness of crash data
- e) Access to crash data
- f) Lack of exposure data (traffic volumes, lane miles, etc.)
- g) Lack of proven data analysis techniques


12. Rate the availability of local roadway data in your statewide crash database.

Data Type	Available for most local roadways	Available for some local roadways	Available for very few local roadways	Not available for local roadways
Fatal crash data				
Serious injury crash data				
Local data (GIS or linear reference)				
Exposure data*				

* Exposure data (traffic volume, lane miles, etc.) for local roads

13. Select the top three challenges or barriers limiting your agency's ability to develop and implement safety projects on local roads.

- a) Lack of understanding of the Federal-aid process
- b) Lack of available funds
- c) Policy-related scope creep (i.e. addition of new project/infrastructure elements requiring additional funding and/or approval)
- d) Political issues
- e) State laws limiting the distribution of federal funds to local agencies
- f) State DOT contracting procedures and processes

 Would you like to clarify or elaborate on any local safety data issues? (Optional)

Thank you for filling out this questionnaire.

Your input is important to us!

Definitions

5% or Transparency Report: As part of the new Highway Safety Improvement Program (HSIP), states are required to submit an annual report describing not less than 5 percent of their highway locations exhibiting the most severe safety needs. The intent of this provision is to raise public awareness of the highway safety needs and challenges in the states. In addition to listing the locations, the states' reports are to include: potential remedies to the hazardous locations identified; estimated costs of the remedies; and impediments to implementation of the remedies other than costs.

Federal-aid highway funds: Federal-Aid highway funds such as Surface Transportation Program (STP), Safe Routes to School (SRTS), Congestion Mitigation and Air Quality Improvement Program (CMAQ), or American Recovery and Reinvestment Act of 2009 (ARRA). Does not include § 402 and similar funds provided to state highway safety offices for behavioral-related programs and projects.

HRRRP - High Risk Rural Roads Program: Established through a set-aside from each State's apportionment of Highway Safety Improvement Program (HSIP) funds for construction and operational improvements on high risk rural roads. Projects may be selected on any public HRRRP-eligible road to correct or improve hazardous road locations or features. Under this program improvements are restricted to construction and operational improvements as outlined in 23 U.S.C. Section 148(a)(3)(B). HRRRP funds can only be used for construction and operational improvements on high risk rural roads and the planning, preliminary engineering, and roadway safety audits related to specific high risk rural road improvements.

HSIP - Highway Safety Improvement Program: Section 1401 of SAFETEA-LU, which amended Section 148 of Title 23, *United States Code* (23 USC 148) sets forth policy for each State to develop and implement on a continuing basis, a highway safety improvement program which has the overall objective of reducing the number and severity of accidents and decreasing the potential for accidents on all highways.

HSIP Net: At a minimum, this would include projects obligated using HSIP funds (Section 148), Hazard Elimination funds (Section 152), Optional Safety funds, penalty transfer funds (from Sections 154 and 164), safety belt performance grant funds (Section 406), and incentive grant funds (from sections 157 and 163). Does not include Railway-Highway Crossing Program or High-Risk Rural Roads Program.

Local roads or off-system roads: Public roads not under the jurisdiction and maintenance responsibility of a state or federal agency.

Local road safety improvement project: An infrastructure improvement project that explicitly corrects or improves a hazardous road location, or addresses a highway safety problem. Does not include behavioral safety projects.

LTAP/TTAP - Local Technical Assistance Program/Tribal Technical Assistance Program: In each state, an LTAP Center and/or a TTAP Center exists to provide technical information and training for local governments and agencies that own and maintain public roads. These centers are funded by the Federal Highway Administration (FHWA) and provide resources to any local government / agency and all tribal governments.

RSA - Road Safety Audit: A Road Safety Audit (RSA) is the formal safety performance examination of an existing or future road or intersection by an independent, multidisciplinary team. It qualitatively estimates and reports on potential road safety issues and identifies opportunities for improvements in safety for all road users.

Safety improvement projects: A highway safety improvement project that explicitly corrects or improves a hazardous road location, or addresses a highway safety problem.

SHSP - Strategic Highway Safety Plan: A major component and requirement of the HSIP. An SHSP is a statewide-coordinated safety plan that provides a comprehensive framework for reducing highway fatalities and serious injuries on all public roads.

Systemic Safety Improvement: An improvement widely implemented based on high-risk roadway features that are correlated with particular **severe** crash types.

Background Information

To achieve a significant reduction in traffic fatalities and serious injuries on all public roads, safety improvements on local roads must be addressed. Local governments own the majority of public roads at about 76 percent ownership¹. A disproportionate number of highway fatalities occur on local roads which are off the state system and maintained by local agencies. Due to local economic constraints, Federal and state funds must be used to assist local agencies with road safety improvements. There are, of course, many challenges and barriers state and local agencies face when identifying, prioritizing, developing, and implementing safety projects on local roads. Yet many states have found solutions.

Federal Highway Administration (FHWA) is examining state Department of Transportation (DOT) practices (including processes) for delivering or applying safety funding resources to local agencies for road safety improvement projects and identifying noteworthy practices that can be implemented in other states. This questionnaire will help FHWA understand the extent to which Federal and state funds are being used for local road safety improvement projects. The questionnaire will also document noteworthy practices used to identify and implement these safety projects, and the challenges and barriers state and local agencies encounter during the process.

¹ <http://www.fhwa.dot.gov/policyinformation/pubs/hf/pl10023/>