Highway Safety Improvement Program

Assessment Toolbox

2nd Edition

The Focus is Results

U.S. Department of Transportation
Federal Highway Administration

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16. Abstract.

Title 23 U.S.C. 148 establishes the Highway Safety Improvement Program (HSIP) to achieve a significant reduction in traffic fatalities and serious injuries on all public roads. To obligate funds to be consistent with 23 U.S.C. 148 (c)(1) States are required to: 1) develop and implement a State Strategic Highway Safety Plan (SHSP); 2) produce a program of projects or strategies; 3) evaluate the plan on a regular basis; and 4) submit annual reports. The purpose of the Highway Safety Improvement Program (HSIP) Assessment Toolbox is to compile commonly used evaluation techniques that are available to support a review of the HSIP. It is beneficial to periodically take a step back and conduct an assessment of the HSIP. An assessment allows States to review their HSIP (or elements of the program) to identify noteworthy practices and opportunities for improvement.

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Preface

It can be illuminating for any organization to periodically take a step back and conduct an assessment of how it conducts various aspects of its business. This can be accomplished through a self-assessment or a program or peer review. This type of activity allows the organization to look for opportunities for improvement and to identify and potentially integrate noteworthy practices into their existing programs.

The initial edition of Highway Safety Improvement Program (HSIP) Assessment Toolbox provided a tool to the States to conduct this type of assessment for their HSIP. This second edition of the HSIP Assessment Toolbox updates the original toolbox for consistency with MAP-21, compiles commonly used evaluation techniques, and incorporates current state-of-the-practice gleaned from FHWA's interactions with many State DOTs.

In addition to developing and providing this tool to the States, FHWA staff are available to assist States. FHWA can facilitate discussions and brainstorming sessions to determine which type of assessment best meets the needs of the State and to identify the best way to conduct a program assessment. For additional information, please contact your local **FHWA Division Office**.

As the information in the Toolbox is utilized and additional information becomes available, enhancements will be made to the HSIP Assessment Toolbox. The FHWA Office of Safety will make every effort to provide meaningful information and assistance to support HSIP Assessments. If there is something more that you would like to see in this toolbox, please don't hesitate to let us know.

Tony Furst
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Background

The Highway Safety Improvement Program (HSIP) is established under 23 U.S.C. 148 with the purpose to achieve a significant reduction in traffic fatalities and serious injuries on all public roads. The HSIP includes the Strategic Highway Safety Plan (SHSP), the Railway-Highway Crossing Program (RHCP) and resulting program of highway safety improvement projects (or State HSIP).

To obligate funds under the HSIP, States are required to: 1) develop, implement and update a SHSP; 2) produce a program of projects or strategies; and 3) evaluate the SHSP on a regular recurring basis. This program is regulated by the Federal Highway Administration (FHWA) under 23 CFR 924. The HSIP is a Federally assisted, State-administered program.

While the State Departments of Transportation (SDOT) have been delegated the responsibility to administer the HSIP, FHWA Division Offices are required to ensure that States are doing so in accordance with the law and regulation. As such, each agency has stewardship and oversight responsibilities, as defined in a stewardship and oversight agreement. Program assessments are frequently used to provide stewardship and oversight of the HSIP.

A **program assessment** may take many forms including, but not limited to, self-assessments, program reviews, and peer reviews. All of these assessments are based on the common concepts of identifying strengths, weaknesses, and opportunities; and the identification and sharing of noteworthy practices to continually improve the program.

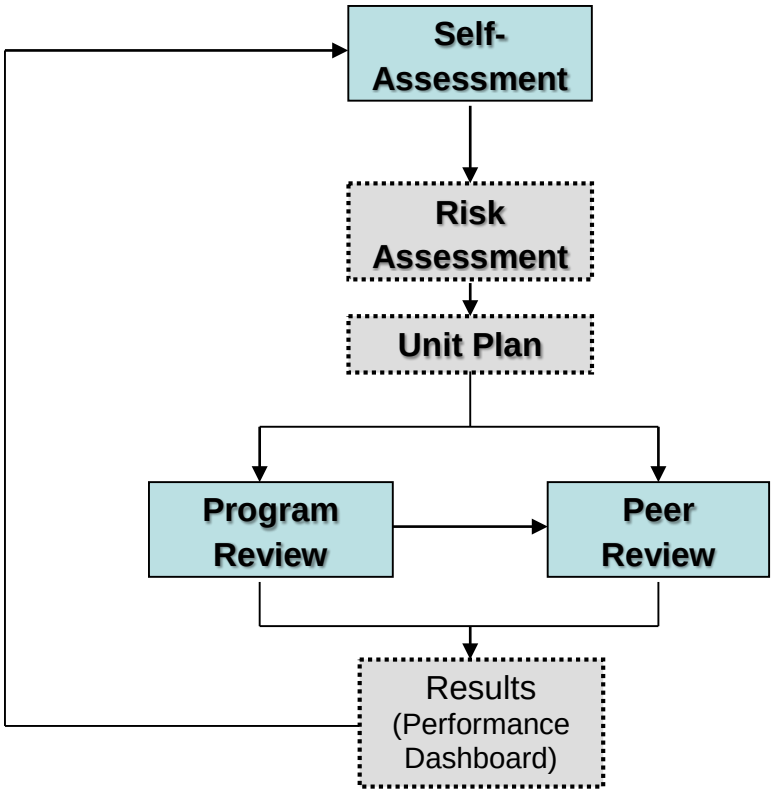
The HSIP Assessment Toolbox presents information to assist SDOTs, FHWA Division Offices and other safety partners (i.e., Metropolitan Planning Organizations), as appropriate, with HSIP-related program assessments. Each type of program assessment is described in detail within the toolbox, while supporting resources are provided in the appendices. It is important to note that much of the information presented in this document is available through other FHWA resources. Currently a variety of Federal-aid program assessments are conducted in every State. The goal of the HSIP Assessment Toolbox is to consolidate the available information and make it specific to the HSIP.

The various assessments presented herein can be conducted as part of a larger process, as illustrated in the figure on the following page, or as stand-alone assessments. It is at the discretion of the agency conducting the HSIP assessment to best determine the applicability of the various program assessments to its particular situation. Examples of how these assessments can be applied are provided throughout the toolbox.

The figure below illustrates how a program assessment might be conducted as part of a larger process. For example, activities identified as potential risks as part of a self-assessment process can be used to feed a risk assessment. Risk assessment can be defined as the systematic process for evaluating the potential exposure to loss for a particular program or process and the identification of potential countermeasures to control or reduce the perceived risk.

After risks have been identified, the next step is to develop and implement strategies to reduce or control the risks. These strategies may include reviews that provide assurance that policies, etc. are being applied and are working as intended. These reviews could be in the form of a program review or a peer review, which are carried out as part of a broader agency planning document (i.e., unit plan). Unit plans identify office-level objectives, measures, and activities.

Implementation of the recommendations from a program review or peer review should be monitored and evaluated on a regular basis. Successful efforts will be realized in future program assessment efforts.



(Source: Federal Highway Administration.)

The HSIP Assessment Toolbox can be used as a guide to assess a State's HSIP, as appropriate. There is not a Federal requirement to conduct program assessments, other than those necessary to carry out stewardship and oversight responsibilities. However, FHWA recommends that States conduct an HSIP-related assessment at least once every five years. The intent of the toolbox is to provide SDOTs, FHWA Division Offices and other safety partners, as appropriate, with the tools and resources necessary to conduct an effective HSIP assessment to ensure successful implementation of HSIP-related practices and procedures.

Self-Assessment

The purpose of a self-assessment is to provide a formal process for Federal, State and local transportation safety professionals to collaboratively assess the HSIP and identify opportunities for improvement. The self-assessment process:

- Helps raise the level of awareness of HSIP-related practices and strategies.
- Serves as a working tool to identify gaps in existing HSIP efforts.
- Provides an opportunity to benchmark progress at the agency level.

Currently, the HSIP Self-Assessment Tool is available to transportation safety professionals to assess the current status of HSIP implementation efforts. Prior to the HSIP Self-Assessment Tool, FHWA used the HSIP Quality Assessment and the Program Delivery Improvement Tool to support HSIP self-assessment efforts. To maintain historical perspective, a discussion of both of these tools is included in the Appendix. An overview of the HSIP Self-Assessment Tool is provided below.

HSIP Self-Assessment Tool

The HSIP Self-Assessment Tool provides HSIP managers information to assess their programs, policies, and procedures against many of the recommended HSIP practices in use today.

An HSIP self-assessment can be initiated and led by either the State Department of Transportation, FHWA Division Office, or other safety partners, as appropriate. A self-assessment is most beneficial if conducted as a partnership among stakeholders, as self-assessment requires a collaborative effort. The timeframe and frequency for conducting a self-assessment is at the discretion of the agency. Typically, self-assessments are conducted annually, or every other year, to measure progress in implementing program improvements.

The HSIP Self-Assessment Tool consists of a series of questions to determine the level of adoption of a particular HSIP practice based on a five phase adoption process: initiation; development; execution; evaluation; and integration. Questions are scored on a scale of 0 to 15, with a higher number indicating a greater degree of adoption. Questions are grouped within five primary assessment areas:

- Leadership
- Administration
- Planning
- Implementation
- Evaluation

The Leadership area acknowledges the relationship between support from the highest levels of agency management and the effectiveness of the HSIP. Agency management support as well as consistent safety goal setting and the presence of safety champions combines to raise the visibility and importance of the HSIP. This helps to create an agency culture supportive of HSIP goals.

A comprehensive set of Administration elements are key to HSIP effectiveness. These elements include adequate staffing, established procedures, and clear guidance that define safety funding and eligibility features to maximize the effectiveness of the HSIP.

The Planning area consists of features that assist in the identification of safety problems, the development of improvement strategies and countermeasures, and the programming of projects. The HSIP should be a data-driven process that considers a range of problems and solutions to maximize the return on scarce safety resources.

Implementation questions are designed to evaluate the extent to which safety funds are allocated and safety projects are managed to assure fulfillment of safety goals. Once a program of projects is developed, it is important to monitor implementation to ensure successful completion.

The Evaluation area provides feedback to policy makers and program managers regarding the effectiveness of the HSIP. Feedback provides a basis to continuously improve the program.

HSIP managers can use the HSIP Self-Assessment results to establish a benchmark to measure progress in implementing the HSIP or in combination with other information such as program reviews, risk assessment, or performance measures to develop strategic plans, stewardship agreements, or allocate resources.

Program Review

In general, a program review is a thorough analysis of key program components and the processes employed by the agency in managing the program. The reviews are conducted to 1) ensure compliance with Federal requirements; 2) identify opportunities for greater efficiencies and improvements to the program; or 3) identify exemplary practices. They can be referred to, or are known as, program improvement reviews, program assessments, program/product evaluations, or continuous process improvement initiatives.

A program review is an effective means to conduct a periodic evaluation of the overall HSIP, a particular element of the HSIP (i.e., SHSP, State HSIP, and RHCP) or to focus on a process within the HSIP (i.e., planning, implementation, and evaluation). Sample program review topics are included in the Appendix.

The Data portion of this assessment tool will focus on how data is utilized to support the various programs under the HSIP. An assessment of a State's crash data can be accomplished through the Crash Data Improvement Program (CDIP). An assessment of a State's roadway data can be accomplished through the Roadway Data Improvement Program (RDIP). Lastly, an assessment of your State's entire traffic records system can be achieved through a Traffic Records Assessment sponsored by the National Highway Traffic Safety Administration.

The targeted area for a program review is often identified through the Division Office's risk assessment process, in consultation with the SDOT, based on the stewardship and oversight agreement. Safety specialists might consider using the HSIP Self-Assessment Tool (as described in the previous section), to feed the risk assessment process. A program review may be warranted if the discussion surrounding a particular question indicates:

- Opportunities for improvement in a particular area.
- This is not how the SDOT currently does business.
- There has been no change in the current process for a number of years.
- A new process has been established recently.

The following are examples of questions that a HSIP Program Review may help to answer:

- Is the State seeing a positive impact from the implementation of the HSIP?
- Is the HSIP in compliance with the law and regulation?
- Is the State using the best project identification process given the available data?
- Is the HSIP truly data driven?
- Does the HSIP address all public roads?
- Can areas for improvement be identified?
- Are there noteworthy practices that would benefit HSIP peers?
- Are the HSIP evaluation results feeding back into the planning element of the HSIP and affecting department policies and design standards?
- Does the HSIP consider an appropriate balance between spot and systemic safety projects?
- Why are HSIP obligation rates lower than that of other Federal-aid program areas?

The examples provided below further illustrate scenarios for which a HSIP program review may be beneficial.

Example A

Carol, a State safety engineer, is concerned about the effectiveness of the safety program. To further complicate things, a new regulation was issued that may affect how they do business. While she suspects that most of the program elements are at least partly consistent with the regulation, she is concerned about compliance. Therefore, Carol has decided to partner with her FHWA Division Office to conduct a program review.

Example B

For the purposes of managing turnover and legacy issues at the State, Carol is interested in documenting the processes by which they administer their HSIP. Carol has determined that an internal program review can best help her accomplish this goal.

Steps for Conducting a Program Review

Typical steps for conducting a program review are as follows:

1. Assemble a multi-disciplinary team. [A multidisciplinary team would include representatives from all units, teams, or departments responsible for carrying out the HSIP.]
2. Develop a review plan. [The review plan should consist of a purpose, scope, expected results, information needed, gaps in information and possible sources, team members and roles, schedules, and resources.]
3. Conduct review.
4. Analyze and interpret results.
5. Develop inferences, recommendations, and lessons learned.
6. Prioritize recommendations and lessons learned.
7. Present the findings from the review.
8. Apply recommendations and lessons learned.

The Work Zone Process Review Toolbox outlines the Steps for a Review (as noted above) in the "ABCs" of Process Reviews and provides additional explanatory details for each step of the program review process. While there are references to work zone process reviews throughout the document, the steps are generic enough to apply to all program areas, including the HSIP. Follow-up and monitoring are essential to the success of program reviews. Follow-up and monitoring may be in the form of regularly scheduled status meetings (i.e., quarterly, biannual) or presentations at appropriate meetings of task forces, managerial groups, etc.

Resources

The National Highway Institute hosts several courses related to program reviews including *Conducting Effective Program Reviews* (310120), *Introduction to Data Analysis* (310122) and *Writing Effective Program Review Reports: Moving People to Action* (310119). These workshops provide training and hands on assistance in the methodology and tools available for conducting successful reviews.

A sample set of questions is included in the Appendix. These questions can be used to support the information gathering process (as identified in Step 2 and obtained in Step 3 of the review process), whether in the format of an interview or a questionnaire. These questions can be used as a starting point; however, they should be modified to address the intent of the program review and the target audience. They are organized by program area (General, SHSP, RHCP, and Program of Highway Safety Improvement Projects) and within each program by process (i.e., planning, implementation, evaluation). Examples of additional information resources that can support the review process are included in the Appendix.

Many Divisions have conducted HSIP-related program reviews, some of which are available in the Program Review Library [available to FHWA personnel only]. It may be beneficial to review some of the HSIP-related program review reports to get a feel for what has been done in other States. In many instances, the report outlines the process used to conduct the review as well, which could prove useful in planning your review. The Program Review Library also contains a program review report template and writing and style guide that should be used to document your review efforts.

Noteworthy practices can be used as the basis for the recommendations set forth in Step 5 of the review process. FHWA hosts a roadway safety noteworthy practices database that can be used to explore other State HSIP practices. If a State is interested in further exploring how another State does business in a particular area, it may be beneficial to host an HSIP-related peer review (as described in the next section).

Peer Review

A peer review, as defined for the purpose of conducting an HSIP Assessment, is an impartial review of a State's HSIP by a team of experts in the same field. A peer review is a practical and effective tool to foster excellence in program management. Peer reviews are not new concepts; the Research program has had great success in using this tool to improve Research, Development, & Technology (RD&T) management practices. In fact, the approach outlined below is borrowed from the RD&T Peer Exchange program. As the HSIP Peer Review Program evolves, it is expected that these procedures will be updated to better reflect the needs of the HSIP.

The objective of a peer review program is to give agencies a means to improve the quality and effectiveness of their HSIP. A peer review is appropriate for agencies of any size, mission, discipline, or responsibility. The FHWA Office of Safety offers a Safety Technical Assistance Program, of which Peer review is a major component. As part of this program, technical assistance and resources are available to States wishing to host a peer review.

It is extremely important to note that peer reviews are not compliance reviews. The intent of the peer review is for both the host State and the visitors to exchange information. The goal of the peer review is to share experiences. Peer reviews are intended to benefit all participants through an open exchange of ideas, knowledge, and brainstorming. The visitors should expect to gain as much from the experience, if not more, than the host State. The peer review is concerned with the HSIP process, not the composition of the program.

The program is designed to send an outside team of invited HSIP managers and/or technical experts to meet with the host agency to discuss and review its HSIP process. Information on the host agency and team members' HSIP policies and procedures are exchanged with the intent to improve the overall HSIP process. Peer reviews provide an opportunity for participants to share best practices and management innovations with each other. The information gathered from the exchange is presented to agency management.

There are many benefits that can be realized from conducting a peer review. Potential benefits include solutions to specific problems; assessment of customer service; benchmarks for checking progress; inspiration for staff; and lastly they can help the HSIP gain the visibility and attention of management.

It is the host agency's responsibility to initiate its peer review. The composition of the peer review team, the breadth of the issues covered, the duration of the peer review, and other issues are at the agency's discretion. FHWA staff is available to help facilitate discussions and brainstorming sessions to assist States in planning a peer review. The procedures outlined below are intended to be used to guide discussions, meetings with upper level management, preparation of a report, and follow-up activities.

Prior to the Visit

A significant amount of planning occurs prior to the actual peer review. The information provided below is suggested activities that both the host State and review team should undertake prior to the visit to ensure a successful peer review.

Host Agency

1. Select prospective members of the review team.
   a) Composition of Review Team: The review team should include an appropriate balance of Federal, State and local participants. At a minimum, the review team should consist of two other State HSIP managers and the local FHWA Division Office Safety Engineer. Other prospective review team members might include representatives from the FHWA Office of Safety and/or Resource Center, Metropolitan Planning Organization (MPO), Local Public Agencies (LPA), and others as appropriate to the review topic.
   b) Characteristics of Review Team members: The review team members should be diverse and have specific knowledge and expertise with the HSIP; the ability to be forthright in discussion and contribute successful ideas, methods and procedures; and excellent communications skills. Peer review team members must understand, accept, and employ the concepts of teamwork.
2. Designate one of the visitors as the team leader. The team leader should be a good communicator; able to synthesize and summarize material well, including being able to see the "big picture"; and be able to effectively facilitate a group, including maintaining control of agenda and time.
3. Personally contact each of the prospective team members to establish availability and tentative dates.
4. Send each team member a copy of applicable resources at least 2 weeks prior to the visit. A list of potential resources is included in the Appendix.
5. Identify focus areas considered desirable for discussion during the visit. Example review topics are provided in the Appendix.

Review Team

1. Agree to participation in the team only if you do so voluntarily and with a desire to both offer and receive new ideas.
2. Review the materials sent by the host agency. Do not try to compare the host agency's documentation with either the FHWA regulations or guidance. Remember, the purpose of the visit is NOT to check for compliance with requirements; that is the responsibility of the FHWA Division Office.
3. Prepare to discuss your own program and your successes and failures and to participate in open discussions.

During the Visit

The duration of the peer review is at the discretion of the host agency. Generally, the visit should be scheduled to last at least 3 days, allowing time to prepare a team report and conduct a "close-out" discussion.

The host agency should prepare an agenda for the visit. The agenda will be largely shaped by the review topic selected. The agenda may include:

- Discussion of the host and visiting State's HSIP process, programs, and projects, as related to the review topic.
- Opportunity for the team to look at example projects as they have advanced (and are advancing) through the system from identification through evaluation.
- Discussion with other personnel involved in the HSIP process (i.e., contractors, planning organizations, local government agencies, Local Technical Assistance Program).
- Some historical perspective of staff and financial resources.
- Staff training.
- Open discussion on strengths, key issues, opportunities, and planned actions.
- Time for the visitors and host State to prepare a Team Report. The content of the report is discussed below.
- A scheduled "close-out." The "close-out" activity is described in the Report Section.

A sample agenda is included in the Appendix.

Report

The report should be written before the closeout conference. As a minimum, the report should be prepared before the visitors leave. The report is to be considered a team effort that involves all of the visitors and the host agency HSIP Manager.

The report should include a brief introduction that identifies all of the participants on the team and describes the purpose and intent of the activity. The body of the report should briefly discuss those aspects of the HSIP that were looked at by the team.

The conclusion section of the report should reflect the highlights of the open discussions and be written as a team using a "team consensus" approach. It is expected that the report will reflect the aspects of the host agency's program that the visitors desire to incorporate into their own programs as well as 1) the desirable features of the host State's program that should be emphasized; and 2) those aspects of the host agency's program that appear to warrant a new or expanded approach.

The report is most likely to be of value if it is kept brief and to the point. The use of "bullet" phrases and other outlining techniques should be used to help avoid the need to "wordsmith" the report and minimize the time needed to review the document. The report should include an endorsement by all of the members of the team. A sample report format is included in the Appendix.

The "close-out" has the potential for the greatest benefit if it is conducted with upper management of the host agency. The "close-out" should highlight the most positive aspects of the host agency's HSIP, as well as recommended areas of improvement, and the aspects of the host agency program that the visitors intend to incorporate into their own programs. Of course, any suggestions agreed to by the team, should also be highlighted to the host State upper management, with the understanding that upper management support is necessary to make significant changes.

Follow-up

One additional activity that would have substantial benefit involves some effort to follow-up on the consensus reached during the peer review. About a year after the visit, the host agency should initiate a "Round Robin" report that identifies any changes that have occurred and that were introduced because of the visit. Each of the visitors should add to the report those activities that were enhanced in their respective programs because of their participation in the peer review. The report would be circulated among all members of the team until everyone has had an opportunity to review everyone else's comments.

Pulling It All Together

The HSIP Assessment Toolbox contains information, tools, and resources to support various HSIP-related assessments. These assessments include self-assessments, program reviews, and peer reviews. Each type of assessment has been described in detail in the previous sections. However, many questions have not been answered, largely because this is a resource document, and not a guidance document. However, in an effort to link the various elements of the HSIP Assessment Toolbox, the following questions will be addressed:

- Why should I conduct a program assessment?
- When do I conduct a program assessment?
- Who leads the assessment?
- What happens with the results of the program assessment?

Please note that there is no right or wrong way to conduct an assessment. The reasons for conducting an assessment, the timeframe for doing so, and the type of assessment being conducted are largely dependent on the agency leading the review and the review topic. However, the importance of the last question must be emphasized, as the response to any assessment is integral to the future success of the program.

Why should I conduct a program assessment?

There are many reasons to conduct an HSIP assessment; however, the primary reason is a desire to improve the process and procedures used to administer the HSIP. The SDOT, FHWA Division Office, and other safety partners, as appropriate, may perform a self-assessment to determine the status of the various elements of the HSIP as compared to what is desirable. The results of the self-assessment can be used as a benchmark and to track progress towards improving the effectiveness of the HSIP over the long term.

The self-assessment results can also serve as input to the risk assessment process. Those areas that were identified as weaknesses or “high risk” may either warrant further investigation, through a program review or peer review. A program review or peer review would allow a more detailed investigation into a particular component of the HSIP and highlight opportunities for improvement. In addition, an agency may wish to host a peer review to learn more about an HSIP-related process or practice that is utilized in another State and being considered for implementation in their State. The following table provides a summary of the potential uses for each type of program assessment.

Table 1. Potential Uses for Program Assessment

Program Assessment	**Potential Use**			
	Benchmark	Compliance	Identify Gaps & Opportunities for Improvement	Identify & Share Noteworthy Practices
Self-Assessment	X		X	X
Program Review		X	X	X
Peer Review			X	X

When do I conduct a program assessment?

The timeframe and frequency for conducting a program assessment is at the discretion of the SDOT and the FHWA Division Office. However, FHWA recommends that States conduct a program assessment at least once every 5 years. Many self-assessments are conducted annually or every other year to measure progress in implementing program improvements. Program or peer reviews should be conducted as deemed necessary based on the risk assessment or stewardship and oversight agreement. The topic does not always have to be the same; however, it would prove beneficial for States to both host and participate in a peer review on a regular basis to keep abreast of current program activities and to network with peers.

Who leads the program assessment?

A program assessment can be initiated and led by either the SDOT, FHWA Division Office, or others safety partners as appropriate. However, each type of assessment lends itself to a different review process. For example,

- While a self-assessment can be conducted by either agency, it would be most beneficial if conducted as a partnership, as the very nature of a self-assessment tool is for a collaborative assessment.
- Program reviews are most often conducted as part of FHWA's stewardship and oversight responsibilities; therefore, the FHWA Division Office in consultation with the SDOT and other agencies, as appropriate most often leads a program review. However, this should not deter the SDOT from initiating a program review as an effort to periodically review their HSIP implementation efforts. A program review could also include HSIP experts from FHWA.
- An SDOT-led program review may be best accomplished by hosting a peer review so that ideas, practices, and procedures can be shared amongst peers. While the peer review is a relatively new concept to the HSIP field, the RD&T peer review program is initiated and led by the SDOT. Of course, it is entirely feasible for a program review to recommend that an agency host a peer review to identify noteworthy practices for consideration in a specific area.

What happens with the results of the program assessment?

Recommendations from the program assessment, particularly the program review and peer review, should be prioritized, assigned responsibility, and implemented accordingly. It is good practice to monitor program improvement efforts through biannual or annual follow-up activities. These follow-up activities can be as formal as a regularly scheduled meeting to discuss progress towards implementing the program assessment recommendations or an informal follow-up activity as described in the peer review section of this document. The implementation of the recommendations will ideally result in improved program performance and be reflected in future program assessments. It is only through continual program improvement that the success of the HSIP will be realized.

Appendix

Highway Safety Improvement Program

Quality Assessment

The HSIP Quality Assessment includes ten primary questions related to the HSIP. In the past, the HSIP Quality Assessment was conducted annually by FHWA through input from Division Safety Engineers. The questions are related to SHSP stakeholders; SHSP priorities driving the HSIP; Highway Safety Plan and Commercial Vehicle Safety Plan expenditures; crash data; HSIP effectiveness; HSIP evaluation process; and HSIP obligation rates. In some instances, additional "sub-questions" are included to clarify the status of the various HSIP elements.

The responses to each primary question were structured such that, in general, "E" is the "best" scenario or ideal status for each element. However, this philosophy may not be applicable to each State. For example, question six would indicate that it is best to use fatality and serious injury crash data to identify HSIP projects. This may or may not be appropriate for the small or rural States that fortunately do not experience a large number of motor-vehicle related fatalities.

The HSIP Quality Assessment was first conducted in 2007 to establish a benchmark to measure progress in implementing the HSIP as part of the FHWA Strategic Implementation Plan. For four years, FHWA used the HSIP Quality Assessment to measure the effectiveness of the HSIP at the national level and to shape the future direction of the program, including the development of products to support HSIP implementation efforts.

The 2010 HSIP Quality Assessment is provided below.

Directions:

Please select one answer for each question by using the toggle boxes to the left of the multiple choice options. If you have comments to add, please include them in the gray field below the comments section for each question. Additional clarifying guidance is provided in [brackets] where appropriate. In addition, in some instances additional "sub-questions" are asked to give you the opportunity to clarify your response.

1. Which FHWA Division Office are you responding for?

   (State)

2. Please provide your contact information

   (Name and phone number)

3. Based on the stakeholders list in the SHSP guidance (http://safety.fhwa.dot.gov/safetealu/shspguidance.htm) the SHSP development process included significant input (other than review and concurrence) from what percentage of the stakeholders?
[Note: This question refers to SHSP development and should be answered based on the eight stakeholders required under 23 U.S.C. 148 NOT the guidance as indicated. Additional sub-questions related to SHSP implementation are provided below.]

☐ A. 0 – 20%
☐ B. 21 – 40%
☐ C. 41 – 60%
☐ D. 61 – 80%
☐ E. 81 – 100%

COMMENTS:

3a. How is SHSP implementation occurring?
☐ A. No implementation.
☐ B. Implementation of SHSP strategies (with no action plans).
☐ C. Emphasis area action plans.
☐ D. Implementation plan.

[Note: An emphasis area action plan contains action steps (i.e., what to do) to accomplish the goal of the emphasis area, whereas the implementation plan would outline how to accomplish that goal (i.e., responsible party, timeline, resources needed). Some states combine both action steps and implementation steps into one plan.]

COMMENTS:

3b. What percentage of your SHSP strategies are being implemented?
☐ A. 0 – 20%
☐ B. 21 – 40%
☐ C. 41 – 60%
☐ D. 61 – 80%
☐ E. 81 – 100%

COMMENTS:

3c. Has the SHSP been updated to reflect current needs?

[Note: Please indicate when and how often in the comments section below. Additional insights as to what triggered the update are also welcome.]

☐ A. No.
☐ B. In progress.
☐ C. Yes.

COMMENTS:

4. What percentage of project expenditures in your HSIP are driven by strategies and priorities in your SHSP?

☐ A. 0 – 20%
☐ B. 21 – 40%
☐ C. 41 – 60%
☐ D. 61 – 80%
☐ E. 81 – 100%

COMMENTS:

5. What percentage of projects in your HSP and CVSP are driven by strategies and priorities in your SHSP?

[Note: Please answer question 5 to the best of your ability in reference to both the HSP AND CVSP. As we recognize that these answers could vary significantly, sub-questions have been added so that you have the opportunity to respond individually for each program.]

☐ A. 0 – 20%
☐ B. 21 – 40%
☐ C. 41 – 60%
☐ D. 61 – 80%
☐ E. 81 – 100%

COMMENTS:

5a. What percentage of projects in your HSP are driven by strategies and priorities in your SHSP?

☐ A. 0 – 20%
☐ B. 21 – 40%
☐ C. 41 – 60%
☐ D. 61 – 80%
☐ E. 81 – 100%

COMMENTS:

5b. What percentage of projects in your CVSP are driven by strategies and priorities in your SHSP?

☐ A. 0 – 20%
☐ B. 21 – 40%
☐ C. 41 – 60%
☐ D. 61 – 80%
☐ E. 81 – 100%

COMMENTS:

6. What types of crash data are used to identify projects in your HSIP?

☐ A. No crash data used
☐ B. All crashes with no indication of severity
☐ C. Only fatal crashes are used for analysis
☐ D. Fatal, serious injury and total crashes, with fatal and serious injury crashes weighted more heavily
☐ E. Only fatality and serious injury crashes are used

COMMENTS:

7. How effective do you believe HSIP projects have been in reducing fatalities and serious injuries in your state?

☐ A. Didn't implement any HSIP projects
☐ B. Not effective
☐ C. Minimally effective
☐ D. Somewhat effective
☐ E. Very effective

COMMENTS:

8. What percentage of all public roads are covered by your crash and roadway databases?

[Note: Please answer question 8 to the best of your ability in reference to both the crash AND roadway database. As we recognize that these answers could vary significantly, sub-questions have been added so that you have the opportunity to respond individually for each database.]

☐ A. 0 – 20%
☐ B. 21 – 40%
☐ C. 41 – 60%
☐ D. 61 – 80%
☐ E. 81 – 100%

COMMENTS:

8a. What percentage of public roads is covered by your crash database?

☐ A. 0 – 20%
☐ B. 21 – 40%
☐ C. 41 – 60%
☐ D. 61 – 80%
☐ E. 81 – 100%

COMMENTS:

8b. What percentage of public roads is covered by your roadway database?

[Note: For the purposes of the HSIP Quality Assessment, a roadway database refers to geometric characteristics.]

☐ A. 0 – 20%
☐ B. 21 – 40%
☐ C. 41 – 60%
☐ D. 61 – 80%
☐ E. 81 – 100%

COMMENTS:

9. Have HSIP funds addressed "off state" system needs adequately?

[Note: If your state maintains all public roads, answer "D."]

- ☐ A. No, local needs are not appropriately considered.
- ☐ B. Minimally, token amount of HSIP funds flow to locals, but not enough based on crash data.
- ☐ C. Marginally, some HSIP funds flow to locals, but not enough based on crash data.
- ☐ D. Yes, the distribution of HSIP funds between state and "off State" system matches the distribution of crash data

COMMENTS:

9a. What percentage of HSIP funds have been spent off the State system?

- ☐ A. 0 – 20%
- ☐ B. 21 – 40%
- ☐ C. 41 – 60%
- ☐ D. 61 – 80%
- ☐ E. 81 – 100%

COMMENTS:

10. Typically how long does it take for crash data from all public roads to be entered into your Statewide crash database and available for analysis?

[Note: We recognize that the times can vary greatly from when the data is entered into the Statewide database and the time that the data is available for analysis. Please answer question 10 based on the "and" condition, specifically, "how long does it take for crash data from all public roads to be available for analysis?" A new sub-question gives you the opportunity to answer the first part of the question individually.]

- ☐ A. Over 1 year
- ☐ B. 9 – 12 months
- ☐ C. 6 – 9 months
- ☐ D. 3 – 6 months
- ☐ E. 0 – 3 months

COMMENTS:

10a. Typically how long does it take for crash data from all public roads to be **entered** into your Statewide crash database?

- ☐ A. Over 1 year
- ☐ B. 9 – 12 months
- ☐ C. 6 – 9 months
- ☐ D. 3 – 6 months
- ☐ E. 0 – 3 months

COMMENTS:

11. To what extent does the State use the HSIP evaluation process to refine project selection for future HSIP projects and modify strategies and programs in future SHSP revisions?

- ☐ A. No feedback
- ☐ B. HSIP evaluation slightly effects next year's HSIP project selection
- ☐ C. HSIP evaluation significantly effects next year's HSIP project selection
- ☐ D. HSIP evaluation slightly effects next year's HSIP project selection and will be used in SHSP revisions
- ☐ E. HSIP evaluation significantly effects next year's HSIP project selection and will be used in SHSP revisions

COMMENTS:

12. Is the percentage of HSIP funds obligated at or above the obligation rate for other core programs?

[Note: "Other core programs" are defined as STP, NHS, IM, CMAQ and Bridge. The obligations rate for other core programs should reflect the sum of all the other core programs and not each one individually.]

- ☐ A. HSIP funds are obligated below the obligation rate for other core programs
- ☐ B. HSIP funds are obligated at the same obligate rate as for other core programs
- ☐ C. HSIP funds are obligated above the obligation rate for other core programs

COMMENTS:

Program Delivery Improvement Tool

The purpose of the Program Delivery Improvement Tool (PDIT) is to assist agencies seeking ways to improve the efficiency and effectiveness of the delivery of the Federal-aid highway program in the face of increasing challenges. The PDIT provides a consistent approach for identifying opportunities to improve program delivery and successful practices that can be shared among the transportation community.

FHWA, State practitioners, and program specialists developed PDIT. PDIT includes a listing of processes, procedures, and actions that, if implemented, should result in high performing programs. PDIT will assist agencies in identifying strategies and initiatives to improve program delivery; facilitates discussion between Federal and State partners; and may identify successful practices that can be shared at the national level.

The tool provides a common inventory of activities within the ten major program areas of the project development process, one of which is safety. The PDIT safety activity statements can be used to guide an assessment of the HSIP. Each activity statement can be reviewed to determine the current status of each activity, identify strengths and weaknesses, successful practices, and potential risks. Specific details are outlined below.

PDIT Process

It is envisioned that the utilization of PDIT will be a joint effort between the SDOT, FHWA Division office, and other safety partners as appropriate. While the users of PDIT can determine how to best use the tool to meet their needs, the intended process is outlined below.

Step 1: The partners in each State should review each activity statement and determine if the process, procedure, or action is being implemented, in progress, no action taken to date, or not applicable to their program.

Step 2: The object of the tool is not to have full implementation of each activity, but to evaluate the importance of the activity in your State (as determined in Step 1). Each activity deemed important to your State could be assigned a high, medium, or low priority.

- High – Critical to the program and requires action.
- Medium – High benefit depending upon the availability of resources.
- Low – Beneficial to accomplish, but not critical at this time.

Step 3: For future reference, it may be beneficial to record any key points discussed regarding the current status and future of each activity.

Step 4: Identify and record current strengths and weaknesses regarding implementation of this activity. [Note: This information can be helpful as a reference when conducting a risk assessment.]

Step 5: Strengths can be noted as successful practices that can be shared at the national level, while weaknesses may be identified as a potential risk to be considered during risk assessment.

The PDIT results could be considered in combination with other information such as program reviews, risk assessment, or performance measures to develop strategic plans, stewardship agreements, or allocate resources.

Safety Activity Statements

Core Element: Highway Safety Improvement Program

Activity #170:
A quality control process is utilized to monitor the identification and development of Highway Safety Improvement Program (HSIP) projects to assess compliance with HSIP procedures and best practices.

Activity #171:
The methodology to identify and rank hazardous locations has a focus on fatalities and serious injuries (frequencies and/or rates).

Activity #172:
The HSIP process include coverage of all public roads.

Activity #173:
The HSIP process leads to identification and implementation of cost effective projects in all of the 4 E (engineering, education, enforcement, and emergency services) areas.

Activity #174:
The HSIP project identification process includes coordination with the Governor's Highway Safety Office on identified non-infrastructure countermeasures.

Activity #175:
The Strategic Highway Safety Plan drives the HSIP project selection process.

Activity #176:
Projects are developed and implemented at locations on the State's "5 percent Report."

Activity #177:
A project evaluation process is in place, which provides feedback on countermeasure effectiveness (crash severity reductions, crash reduction factors, etc.) back to the project selection process.

Activity #178:
The 10 percent funding flexibility option in SAFETEA-LU is used.

Core Element: Strategic Highway Safety Plans

Activity #179:
Key processes, procedures, and/or activities are in place that guides strategic highway safety planning.

Activity #180:
A broad range of multidisciplinary stakeholders is actively involved in the overall safety program.

Activity #181:
The Strategic Highway Safety Plan (SHSP) drives the highway safety improvement program, highway safety plan, and commercial vehicle safety plan.

Activity #182:
Funds provided for safety are prioritized for highest impact.

Activity #183:
Funding flexibility from all sources is used in safety project selection.

Activity #184:
Implementation of strategies identified in SHSP has begun.

Activity #185:
A process is in place to monitor the effectiveness of the SHSP.

Core Element: Traffic Records Collection & Analysis

Activity #186:
A Statewide Traffic Records Coordinating Committee (TRCC) is active and working to improve the Traffic Records Systems (TRS).

Activity #187:
Membership on the TRCC represents the vehicle, driver, roadway, injury, and citation stakeholder groups at the local, State, and Federal level.

Activity #188:
A Traffic Records Assessment has been performed.

Activity #189:
The TRCC has developed a Traffic Records Strategic Plan to address traffic records needs.

Activity #190:
Accuracy of the data contained in the electronic Statewide traffic records databases is assessed on an annual basis and actions are being taken to improve accuracy.

Activity #191:
The Statewide crash database contains data from all reportable crashes on all public roads.

Activity #192:
All Statewide crash data is entered into an electronic database within 60 days of crash.

Activity #193:
The Statewide TRS is substantially consistent with the nationally accepted and published guidelines and standards for data elements (NEMSIS, MMUCC, etc.) – obtained either from the crash report data and/or from other database linkages.

Activity #194:
All crashes are located using GIS, geo-coding, etc., and can be analyzed/summarized on electronic maps.

Activity #195:
The TRS is used in a systematic approach (weighing both crash severity and frequency) to identify potential safety improvements, set safety funding priorities and project decisions.

Activity #196:
All traffic records related databases (crash, roadway, driver, hospital, EMS) are linked and shared between appropriate agencies.

Activity #197:
Technical assistance is provided to local agencies in locating crashes on locally owned routs and in crash/safety analysis capabilities.

Core Element: Required Safety Initiatives

Activity #198:
A process is in place to maintain current inventory information on the public rail-highway grade crossings in the national inventory database maintained by the Federal Railroad Administration.

Activity #199:
There is a process for ranking the relative hazardousness of railroad-highway grade crossings that result in annual projects that have a positive cumulative impact on eliminating hazards at rail-highway grade crossings.

Activity #200:
There is a process in place to satisfactorily determine the fatality and incapacitating injury rates on rural major and minor collectors and rural locals roads and compare them to Statewide average rates to identify locations above the Statewide rates, or likely to exceed the Statewide rates, that would be eligible for funding under the High Risk Rural Roads Program (HRRRP).

Activity #201:
The HRRRP process leads to selection of countermeasures that result in implementation of cost effective HRRRP projects.

Activity #202:
A HRRRP project evaluation process is in place, which provides feedback on countermeasure effectiveness (i.e., fatal and incapacitating injury crash reductions) back to the project selection process.

Activity #203:
The Safe Routes to School application process is competitive and results in infrastructure and non-infrastructure projects that meet the intent of the program as described in SAFETEA-LU Section 1404.

Core Element: Safety in Project Development

Activity #204:
Planning documents (Unified Planning Work Program, Transportation Improvement Program, Long Range Transportation Plan, etc.) highlight tasks and projects to specifically address State and region critical elements of the SHSP.

Activity #205:
A Statewide safety and mobility policy is developed and implemented regarding the systematic consideration of safety throughout the various stages of the project development and implementation process.

Activity #206:
Low cost safety features and strategies are promoted extensively to State and local officials.

Activity #207:
Statewide safety enhancements are identified, considered, implemented as appropriate, and evaluated for all projects.

Activity #208:
Safety is a primary consideration in all facets of the environmental process.

Activity #209:
Planning process provides for systematic consideration of projects and strategies that will increase safety.

Activity #210:
Environmental documents address safety for each alternative to satisfy the Purpose and Need statement.

Activity # 211:
An analysis of crash records is used to improve policies, procedures, specifications, and standards.

Activity #212:
Project plans include provisions for enhanced enforcement during construction when appropriate.

Activity #213:
Innovative techniques are routinely used to improve project safety and reduce work zone crashes.

Activity #214:
General and seasonal work zone safety campaigns are implemented.

Activity #215:
Night reviews on work zones are conducted on projects.

Activity #216:
Senior managers, district engineers, county engineers, etc. are evaluated on the quality of their work zone(s).

Activity #217:
Designers participate in final project inspections to identify safety improvements on future projects.

Activity #218:
Design exception process includes safety analysis of the corridor to ensure safety is not compromised.

Activity #219:
Plans are reviewed for safe movement of all users (Bike and Pedestrian) during the design process.

Activity #220:
There is a policy in place to routinely incorporate safety enhancements into 3R projects.

Core Element: Safety in Maintenance & Operations

Activity #221:
A process is in place to adopt the most current edition of the Manual on Uniform Traffic Control Devices (MUTCD) issued by the FHWA.

Activity #222:
A Statewide MUTCD Committee is in place, including representatives of local highway agencies, to develop Statewide plans for the implementation of new editions of or major revisions to the MUTCD.

Activity #223:
Annual budget plans for operations and maintenance programs include processes to consider and integrate highway safety strategies/enhancements into the operations and maintenance (O&M) program areas where appropriate.

Activity #224:
Procedures are in place to evaluate the effectiveness of O&M safety initiatives.

Activity #225:
The development of preventative maintenance projects (10/08/04 FHWA Memorandum) includes procedures to identify and implement safety improvements to the highway infrastructure.

Activity #226:
A process is in place to share O&M strategies with all highway agencies.

Core Element: Program Management

Activity #227:
Agency leadership receives quarterly briefings on the status of attaining safety goals.

Activity #228:
Agency leadership regularly uses the media to convey safety messages.

Activity #229:
The transportation budget has a category for safety in which safety transportation projects are proposed, selected, and prioritized separately from other transportation projects.

Activity #230:
Appropriate policy and guidance is developed, updated, and made available in this program area.

Activity #231:
Continuous improvement is supported through mechanisms such as program and process reviews.

Activity #232:
Training and development opportunities are provided to key internal and external partners and stakeholders.

Activity #233:
Processes are in place to ensure that key vacancies are filled.

Activity #234:
New technologies are considered and implemented to improve the efficiency and effectiveness of this program area.

Activity #235:
Processes are in place for the selection and administration of consultant support to ensure these resources are used efficiently and effectively.

Program Review/Peer Review Questions

The following pages outline a series of questions that address the various elements of the safety-related programs administered by the Federal Highway Administration's Office of Safety under the auspices of the Highway Safety Improvement Program (HSIP) [23 U.S.C. 148]. These include the Strategic Highway Safety Plan (SHSP), the Railway-Highway Crossing Program (RHCP) and the resulting program of highway safety improvement projects or State HSIP.

[Note: The Data portion of this assessment tool will focus on how data is utilized to support the various programs under the HSIP. An assessment of your State's crash data can be accomplished through the Crash Data Improvement Program (CDIP). An assessment of your State's roadway data can be accomplished through the Roadway Data Improvement Program (RDIP). Lastly, an assessment of your State's entire traffic records system can be achieved through a Traffic Records Assessment sponsored by NHTSA.]

These questions encompass the range of information that can be gathered during your peer review or program review. Your review may focus on only one element of the HSIP (i.e., SHSP, RHCP, and Program of Highway Safety Improvement Projects) or on one specific program process (i.e., planning, implementation, or evaluation). Therefore, the questions have been organized by program, and within each program, by process, as noted on the following page.

It will be up to the individual review teams to identify those questions that are most pertinent to your review. You are encouraged to add or delete questions to best suit your needs.

Many of these questions will be asked of the agency representatives (i.e., program managers) that administer the programs under the HSIP. It is also beneficial to conduct outreach to agency leaders to gain an understanding of their views on the benefits and challenges associated with the HSIP. The questions under the "general" section would be appropriate for this audience.

Remember, the intent of the program review or peer review is to identify noteworthy practices as well as opportunities for improvement.

Directory

General
Strategic Highway Safety Plan
Railway-Highway Crossings Program
Program of Highway Safety Improvement Projects (State HSIP)

General

1. Briefly describe the HSIP.

   - How is the HSIP developed?
   - How does the HSIP function?
   - Who is responsible for administering the HSIP?
   - Who is involved in the HSIP process inside and outside the DOT?
   - How extensive is the HSIP?

2. What are the strengths and weaknesses of the HSIP process?

3. Describe any unique or innovative activities (i.e., time saving procedures) employed to administer the HSIP.

4. What reviews or evaluations have you done on safety or the HSIP? What were the significant findings and recommendations?

5. What objectives for safety and the HSIP are documented in current Department highway safety plans, Department strategic or annual work plans, or other Department plans?

6. How is safety staffed in the Department?

   - Is there a full-time safety engineer/safety program person?
   - Is the safety program centralized or decentralized?
   - Are there Safety Engineers in each of the State's District Offices? Do they meet on a regular basis?

7. How has the development and implementation of your HSIP changed under current legislation?

8. How are other agencies (i.e., Metropolitan Planning Organizations, Local Government Agencies, and Governor's Highway Safety Office) and the general public involved in your safety programs?

9. How are local roads (i.e., non-State system) addressed in the State HSIP?

10. How does the HSIP support the goals, objectives, and strategies of the SHSP?

Strategic Highway Safety Plan (SHSP)

[Note: The SHSP Champion's Guidebook, Implementation Process Model, and Evaluation Process Model will provide additional information to support an SHSP Program Review or Peer Review. For States wishing to assess the SHSP development process, the SHSP Process Checklist may be helpful.]

SHSP Development/Updates

1. Describe the SHSP organizational structure?

2. Describe top-level manager's participation in executive committees or leadership structures/groups established for the SHSP.

3. Describe the membership of the executive or leadership group, the steering committee, the emphasis area teams, and other groups.

4. Explain the make-up of the SHSP steering committee or working group?

   - Do members of the executive committee or leadership group assign persons?
   - Do these people have decision-making authority?
   - Are multiple transportation modes represented, and do they actively participate on the steering committee/working group and emphasis area teams?

5. Explain the management structure of the SHSP.

   - Has an SHSP program coordinator or manager been assigned?
   - What percentage of this person's time is dedicated to the SHSP?

6. Describe the support structure of SHSP emphasis areas?

   - Are they supported by teams with engaged leaders?

7. How do you ensure the necessary disciplines, modes, and agencies (representing the 4 E's) are engaged in SHSP decision-making and implementation?

8. Explain how stakeholders regularly collaborate on decisions that affect SHSP updates and implementation.

9. Describe how the necessary stakeholders collaborate and jointly decide on SHSP goal and objective setting methods.

10. How are data-driven methods, such as trend analysis, used to establish goals and set aggressive, yet achievable, objectives?

    - Are objectives specific, measurable, time bound, and realistic?

11. How is data analysis used to select the emphasis areas?

12. Describe how emphasis area strategies are selected.

SHSP Implementation

1. Describe coordination on SHSP implementation and related safety programs.

    - Does your State hold regularly scheduled meetings?

2. How are the DOT, the SHSO, and other safety stakeholders collaborating and sharing resources to implement the SHSP?

3. How are MPOs and other regional and local agencies involved in SHSP implementation?

4. Describe how action plans are used to support SHSP emphasis areas and strategies.

5. Explain how multidisciplinary emphasis area action planning teams support your SHSP.

    - Is someone assigned to coordinate and document all the actions plans and track progress?
    - Are the action plans available to all the stakeholders?

6. How have the various agencies and safety partners incorporated elements of the SHSP into their planning documents? (HSPs, HSIPs, CVSPs, LRTPs, S/TIPs, etc.)

7. Are plan/program strategies and countermeasures consistent with SHSP strategies?

    - Do plan/programs target funding to implement strategies associated with SHSP emphasis areas?

8. Describe senior management and technical staff communication and coordination on SHSP implementation?

9. Describe any formal agreements (e.g., MOUs) that have been established among agencies with respect to SHSP implementation.

SHSP Evaluation

1. Describe how you utilize performance measures? Are they clearly linked to or derived from SHSP objectives?

2. Are the numbers and rates of fatalities and serious injuries used as general statistical measures?

3. How do you track and report the numbers and rates of fatalities and serious injuries by emphasis area and compared to set objectives?

4. How do you monitor and evaluate the SHSP? Who is responsible?
5. How do you gather and review the status of output and outcome performance measures?
6. What procedures are in place for ongoing SHSP update and revision? Who is responsible for leading the effort? Who participates?
7. What data are used to update or revise the SHSP?
8. How have evaluation results been interpreted and documented?
9. How are evaluation results used to identify lessons learned and improve SHSP process and performance?
10. How are evaluation results used to identify gaps and weaknesses in SHSP process or performance and addressed through follow-up actions?

Railway-Highway Crossings Program (RHCP)

Planning

1. Who (i.e., State agency, public utility) leads the RHCP planning process?

2. How is the RHCP planning process coordinated between agencies?

Data Collection & Analysis

3. Explain the process to update your State's crossing inventory? How is it funded?

    - How frequently does your State conduct inspections of railway-highway crossings?

4. Are new technologies (i.e., GIS) for RHCP data collection and analysis being used?

5. Does your Statewide crash database contain information related to crashes that occur near or associated with highway railway grade crossings?

6. How are RHCP project data and information collected and maintained?

Crossing Prioritization and Project Selection

7. How are highway-rail grade crossing projects prioritized?

    - Is it based on a hazard index formula?
    - How frequently is the hazard index updated?
    - To what extent is consideration given to highway-rail grade crossing exposure to large number of people, passenger trains, school buses, transit buses, pedestrians, bicyclists, and hazardous materials?
    - How are larger projects such as grade separations considered in the project prioritization process?

8. Are there projects for Statewide improvements?

9. Explain the process for obtaining consensus or approval of the priority project listing.

10. How, and to what extent, are non-State DOT entities (i.e., legislature, elected officials) involved in providing input to project priorities or special emphasis topics?

11. Does your State have criteria for using section 130 funds to upgrade aging active devices (flashing lights/gates)?

12. State have a process or policy for crossing consolidation and/or closure?

    - Are there incentives for closing crossings?
    - On average, how many crossings are closed each year?

13. Has your State incorporated, or does your State plan to incorporate RSA techniques to identify railway-highway crossing safety problems and select safety treatments?

14. Are all public RR crossings signed in accordance with the MUTCD? If not, explain the procedure used to accomplish this.

15. Describe the design process for railway-highway crossing projects.

Implementation

16. How are railway-highway crossing projects prioritized for implementation?

17. Explain how railway-highway crossing projects are incorporated into S/TIP.

18. How many railway-highway crossing projects are completed annually?

19. What is the average timeframe for railway-highway crossing projects from identification to implementation?

20. Describe the construction process for railway-highway crossing projects.

    - Who does the construction?

21. What is the policy/process for improving railway-highway crossings that are either within or near the terminus of capital projects?

22. Are railway-highway crossing projects funded with sources other than the set-aside funding?

    - What additional funding sources (i.e., HSIP, other Federal-aid programs, 402 program, State, local) are utilized to support RHCP implementation?
    - How much funding is directed towards RHCP projects each year by category?

Evaluation

23. Explain how your State evaluates the effectiveness of grade crossing improvements.

    - Is an evaluation method other than “before-and-after” crash data comparison used? Has another method been considered given that relatively few crashes occur at railway-highway crossings?

Program of Highway Safety Improvement Projects (State HSIP)

Planning

Data Analysis/Problem Identification

1. What data (i.e., crash, roadway, EMS) is used to support the HSIP planning process?

2. How is the data analyzed to identify highway locations, sections, and elements determined to be hazardous based on accident experience or potential?

   - What methodology is used?
   - How is exposure (i.e., vehicle miles traveled) considered?
   - How many years of crash data are used?
   - Is any special consideration given to special vehicles (i.e., large trucks and buses) or other crash characteristics?

3. What are the strengths and benefits of the HSIP problem identification process as described in *Question 2* above?

4. Where could improvements be made to the HSIP problem identification process?

5. What do you consider to be your best practices related to the HSIP problem identification process?

6. How is crash potential analyzed as part of the HSIP project identification process?

7. How are high-risk rural roads addressed in the state HSIP?

8. What other factors are considered in the HSIP project identification process? Explain.

9. How are local roads addressed in the HSIP?

10. What is the balance between crash-reducing and crash potential projects, as well as infrastructure vs. non-infrastructure projects?

Engineering Studies

11. Explain the process for conducting engineering studies of the identified hazardous locations, sections, and elements.

    - Are field investigations done at all locations? At some?
    - How are local government agencies involved in the engineering study process?
    - Once recommendations are made, what is the next step?

12. How are engineering studies used to establish highway safety improvement projects?

13. What are the strengths and benefits of the process used to conduct and implement the results of engineering studies?

14. Are there opportunities to improve the process for conducting and implementing the results of engineering studies?
15. How is the engineering study process coordinated with other offices within the State DOT (i.e., districts) and other agencies?
16. To what extent are driver or vehicle factors considered in countermeasure development?
17. How are crash modification factors used to support the engineering study process?
18. Are some solutions delegated to other sections?
19. How are SHSP strategies considered when determining appropriate treatments for priority locations?

Establishing Priorities

20. What is the process for determining priorities for implementation of HSIP projects?
21. What do you consider to be opportunities to improve your HSIP project prioritization process?
22. What do you consider to be your best practices in establishing HSIP priorities?
23. Explain the criteria for establishing priorities for both spot and systemic safety improvements.
24. Are priorities established on a Statewide, district, system, or other basis?
25. How are priorities for 402 Programs coordinated with those of the HSIP?
26. Is there a process for obtaining consensus or approval of the priority project listing? Explain.
27. How, and to what extent, are non-State DOT entities (i.e., MPOs, legislature, elected officials) involved in providing input to priorities or special emphasis topics?
28. Are lower priority projects selected for construction/implementation before higher priority projects? If so, why, and what is the criteria for doing it?
29. How are local road projects considered in the project prioritization process?
    - Is the location prioritization process different for on and off the State system?

Implementation

Funding

30. How is your State leveraging HSIP funds?

- What additional funding sources (i.e., other Federal aid programs, 402 program, State, local) are utilized to support HSIP implementation?
- How much funding is directed towards HSIP projects each year by category?

31. Has there been an increase in the level of HSIP and non-HSIP funds spent on infrastructure-related safety projects since MAP-21?

32. Are there dollar limits for safety projects?

33. What proportion of funding is provided for HSIP projects on State system roads vs. non-system roads?

    - Is the "off-system" funding adequate (proportional to crash experience)?
    - Has there been a change in how funds are allocated since MAP-21?
    - Are funds allocated to districts/regions, or do all districts apply for funds from the same pot?

34. How are the planning and evaluation components of your HSIP funded?

    - If HSIP funds are used, please describe the process.

35. In 23 U.S.C. section 120 it allows 100 percent Federal funding for "Certain Safety Projects." Does your State take advantage of this provision? Please describe.

Programming

36. How are identified priority HSIP projects included in the S/TIP?

37. Has your State developed any timesaving procedures to advance safety projects (i.e., Statewide categorical exclusions for safety projects, streamlined public involvement process, expedited programming steps, or other project development and delivery efficiencies)? Please describe.

38. How do you ensure that projects funded with HSIP funding directly support the State's goals and objectives in the SHSP?

39. How do other units within the DOT or from outside initiate HSIP or other safety projects?

40. What are the concerns of locals in pursuing Federal-aid?

Environmental Process

41. Are there programmatic environmental documents/procedures (i.e., categorical exclusion) in place for HSIP projects?

42. To what extent are HSIP projects subject to the environmental process beyond categorical exclusions?

Construction

43. Explain how HSIP projects are scheduled for construction/implementation.

44. What is the average timeframe for HSIP project identification to implementation?

45. What is the average timeframe for obligation of funds for HSIP projects to implementation?

46. How are small-scale safety improvement projects implemented (i.e., bid individual projects, in-house State forces, bundle projects for bid, on call ID/IQ)? Please describe the process and any approvals that were necessary to make this happen.

47. How many projects are completed annually (including local road projects)?

Evaluation

48. Explain the evaluation component, both project and program evaluation, of the HSIP.

    - How do you measure success for your HSIP?
    - How is the evaluation process funded?

49. Are their opportunities to improve the HSIP evaluation process?

50. What do you consider to be the best practices associated with the HSIP evaluation process?

51. What do you consider to be the challenges associated with the HSIP evaluation process?

52. How are the results of the evaluation component of HSIP incorporated back into the data collection, analysis prioritization, and scheduling (i.e., planning) procedures?

53. Describe how the outcomes of implemented safety projects are used to develop AMFs or CRFs.

    - What are the methodology/guidelines used to develop the CRFs/AMFs?
    - Is this information shared with your peers? How?

54. Explain how the HSIP evaluation results are being used to refine planning, design, operational or maintenance standards, policies, practices, and procedures for application of the successful outcomes in future projects?

55. To what extent does the State use the HSIP evaluation process to modify strategies and programs in future SHSP revisions?

SHSP Process Approval Checklist

MAP-21 requires States to have an updated, approved Strategic Highway Safety Plan (SHSP). A State will be considered to have an approved, updated SHSP if: 1) the SHSP is consistent with the requirements for updates and approval under section 148(d) and the requirements for an SHSP defined in section 148(a)(12); and 2) the process the State used to update the SHSP is consistent with the requirements of section 148. (23 U.S.C. 148 (d)(2)(B)). The updated SHSP must be submitted to the FHWA Division Administrator, who will ensure that the State has followed a process that is consistent with the requirements outlined in Sections 148 (a)(1)(12),148(d)(1)(2)(3),and 148(g)(2). The Division Administrator will notify the State that the updated SHSP process has been reviewed and approved.

This SHSP Process Approval Checklist is a tool to help Division Offices assess the process and completeness of a State's SHSP update. It is meant for your internal use and records. The factors outlined represent the required process elements of a State-developed SHSP. SHSP MAP-21 Interim Guidance contains additional information on these elements and should be used as a reference document for this checklist.
The checklist consists of five columns:

1) **MAP-21 Requirements:** Column one lists the key MAP-21 requirements (by topic area) for the SHSP and the specific MAP-21 reference.
2) **Indicators:** Column two provides an example indicator that the State meets the requirement.
3) **Considerations:** Column three provides further considerations to help the Division assess if the State SHSP has met the corresponding requirement. The examples provided are not exhaustive; States have different needs so each State may have different items to consider. The Division should consider what activities would best satisfy the intent of the MAP-21 requirements as appropriate for that State.
4) **Requirement Status:** Column four provides a place for the Division to document the determination for each requirement (Meets or Does Not Meet).
5) **Support for Status Determination:** Column five provides a place for the Division to document supporting information for whether the State has satisfied or not satisfied the requirement.

SHSP Publication Date: _____
Period Covered by SHSP: _____

MAP-21 Requirements	Indicator that State Meets Requirements	Considerations	Requirement Status (Did the State Meet the MAP-21 Requirement?)	Support for Status Determination
CONSULTATION				
23 U.S.C. 148 (a)(12)(A) The term 'State strategic highway safety plan' means a comprehensive plan, based on safety data, developed by a State transportation department that is developed after consultation with: • *a highway safety representative of the Governor of the State.* • *regional transportation planning organizations and metropolitan planning organizations, if any.* • *representatives of major modes of transportation.* • *State and local traffic enforcement officials.* • *a highway-rail grade crossing safety representative of the Governor of the State.* • *representatives conducting a motor carrier safety program under section 31102, 31106, or 31309 of title 49.* • *motor vehicle administration agencies.* • *county transportation officials.* • *State representatives of nonmotorized users.* • *other major Federal, State, Tribal, and local safety stakeholders.*	The State has conferred with stakeholders early in the SHSP update process, considered their input prior to decision-making, and routinely informed them about actions taken regarding SHSP development.	How was consultation accomplished? Was it a onetime event (e.g., meeting, workshop, summit, etc.)? Was it written comments on the plan? Was it ongoing participation in a working group, task group or steering committee? What was the level of local involvement? Were representatives from all 4 Es involved in the development? Were stakeholders' concerns given adequate consideration? If a stakeholder was not consulted with during the SHSP update process, does the State have a satisfactory explanation for their absence?	☐ **MEETS REQUIREMENT** ☐ **DOES NOT MEET REQUIREMENT**	If the requirement is met, provide a summary or brief description that supports this outcome. OR If the requirement is not met, what are the recommended action(s) the State should take to satisfy the requirement?

MAP-21 Requirements	Indicator that State Meets Requirements	Considerations	Requirement Status (Did the State Meet the MAP-21 Requirement?)	Support for Status Determination
DATA				
23 U.S.C. 148 (a)(12)(B) The term 'State strategic highway safety plan' means a comprehensive plan, based on safety data, developed by a State transportation department that: *Analyzes and makes effective use of State, regional, local, or Tribal safety data.*	The State has used the best available safety data to identify critical highway safety problems and safety improvement opportunities on all public roads.	When determining State transportation safety problems and priorities (i.e., emphasis areas), the State analyzed crash (e.g., fatality and serious injury), roadway, and traffic data. Did the State consider all highway users and modes during SHSP data analysis? What data did the State use to establish severity? Were trend analyses, benefit/cost analysis or other data analysis methods used to determine priorities?	☐ **MEETS REQUIREMENT** ☐ **DOES NOT MEET REQUIREMENT**	If the requirement is met, provide a summary or brief description that supports this outcome. OR If the requirement is not met, what are the recommended action(s) the State should take to satisfy the requirement?

MAP-21 Requirements	Indicator that State Meets Requirements	Considerations	Requirement Status (Did the State Meet the MAP-21 Requirement?)	Support for Status Determination
PERFORMANCE MANAGEMENT				
23 U.S.C. 148(c)(2)(C) As part of the State highway safety improvement program, a State shall: adopt strategic and performance-based goals that: • *address traffic safety, including behavioral and infrastructure problems and opportunities on all public road.* • *focus resources on areas of greatest need.* • *are coordinated with other State highway safety programs.*	The SHSP includes goals and measureable objectives to enable the State to track and monitor the status of SHSP implementation efforts and monitor progress in each of the SHSP emphasis areas.	Are the SHSP goals and objectives long- term and do they address a variety of output and outcome measures? How did the State determine the goals and objectives? Are these goals aggressive yet achievable? Are the goals and objectives based on analysis of crash and other safety data? Has the State considered how the SHSP goals and objectives will affect other safety plans and programs? Did the State consider how the goals and objectives can be adopted by other agencies?	☐ **MEETS REQUIREMENT** ☐ **DOES NOT MEET REQUIREMENT**	If the requirement is met, provide a summary or brief description that supports this outcome. OR If the requirement is not met, what are the recommended action(s) the State should take to satisfy the requirement?

MAP-21 Requirements	Indicator that State Meets Requirements	Considerations	Requirement Status (Did the State Meet the MAP-21 Requirement?)	Support for Status Determination
MULTIDISCIPLINARY APPROACH				
23 U.S.C. 148 (a)(12)(C) The term 'State strategic highway safety plan' means a comprehensive plan, based on safety data, developed by a State transportation department that: *Addresses engineering, management, operation, education, enforcement, and emergency services elements (including integrated, interoperable emergency communications) of highway safety as key factors in evaluating highway projects.*	The State considered the highway safety elements of engineering, education, enforcement and emergency medical services (the 4 Es) when determining strategies to address SHSP emphasis areas.	Did the State consider and integrate 4 E strategies for infrastructure and behavioral emphasis areas, where practical? Were strategies selected that have the potential to significantly reduce highway fatalities and serious injuries? Does the State have multidisciplinary/4 E representation on emphasis area teams?	☐ **MEETS REQUIREMENT** ☐ **DOES NOT MEET REQUIREMENT**	If the requirement is met, provide a summary or brief description that supports this outcome. OR If the requirement is not met, what are the recommended action(s) the State should take to satisfy the requirement?
23 U.S.C. 148 (a)(12)(F) The term 'State strategic highway safety plan' means a comprehensive plan, based on safety data, developed by a State transportation department that: *Describes a program of strategies to reduce or eliminate safety hazards.*	The SHSP includes effective strategies to address the State's emphasis areas.	Was data used to determine the most effective strategies and countermeasures? Was high priority given to those strategies that can significantly reduce roadway fatalities and serious injuries in the SHSP emphasis areas? Did the State select strategies and countermeasures that will most effectively address their roadway safety problems? Did the State consider systemic improvements and low-cost countermeasures?	☐ **MEETS REQUIREMENT** ☐ **DOES NOT MEET REQUIREMENT**	If the requirement is met, provide a summary or brief description that supports this outcome. OR If the requirement is not met, what are the recommended action(s) the State should take to satisfy the requirement?

MAP-21 Requirements	Indicator that State Meets Requirements	Considerations	Requirement Status (Did the State Meet the MAP-21 Requirement?)	Support for Status Determination
SHSP UPDATE CONTENT CONSIDERATIONS				
23 U.S.C. 148 (1)(d)(1)(B) In establishing requirements under this subsection, the Secretary shall ensure that States take into consideration, with respect to updated strategic highway safety plans: • *the findings of road safety audits.* • *the locations of fatalities and serious injuries.* • *the locations that do not have an empirical history of fatalities and serious injuries, but possess risk factors for potential crashes.* • *rural roads, including all public roads, commensurate with fatality data.* • *motor vehicle crashes that include fatalities or serious injuries to pedestrians and bicyclists.* • *the cost-effectiveness of improvements.* • *improvements to rail-highway grade crossings.* • *safety on all public roads, including non-State-owned public roads and roads on Tribal land.*	A variety of data and safety programs were analyzed, reviewed and considered when determining SHSP Emphasis Areas and strategies in the updated SHSP.	The State considered additional safety factors when updating their SHSP to inform emphasis area and strategy selection. Below are some examples: A State might consider if motor vehicle related bicycle or pedestrian fatalities or serious injuries have increased; if so an emphasis area or strategy to address the problem could be included in the SHSP. A State might consider findings of road safety audits (RSA)[1]. RSA findings should be analyzed in aggregate to identify common countermeasure recommendations for systemic improvements.	☐ **MEETS REQUIREMENT** ☐ **DOES NOT MEET REQUIREMENT**	If the requirement is met, provide a summary or brief description that supports this outcome. OR If the requirement is not met, what are the recommended action(s) the State should take to satisfy the requirement?

[1] A RSA is a formal safety performance examination of an existing or future road or intersection by an independent audit team. It qualitatively estimates and reports on potential road safety issues and identifies opportunities for improvements in safety for all road users. The RSA report includes findings of each safety issue identified and provides suggestions to remedy these issues.

MAP-21 Requirements	Indicator that State Meets Requirements	Considerations	Requirement Status (Did the State Meet the MAP-21 Requirement?)	Support for Status Determination
23 U.S.C. 148 (a)(12)(D) The term 'State strategic highway safety plan' means a comprehensive plan, based on safety data, developed by a State transportation department that: *Considers safety needs of, and high-fatality segments of, all public roads, including non-State-owned public roads and roads on Tribal land.*	SHSP emphasis areas and strategies address State and non-State-owned public roads and roads on Tribal land, when applicable.	How did the State engage local and Tribal agencies in the SHSP update process? Did the data analysis include data for non-state owned roads and roads on Tribal land? Are there specific emphasis areas or strategies targeting the safety needs of non-state-owned and roads on Tribal land? If not, did the data not warrant their inclusion?	☐ **MEETS REQUIREMENT** ☐ **DOES NOT MEET REQUIREMENT**	If the requirement is met, provide a summary or brief description that supports this outcome. OR If the requirement is not met, what are the recommended action(s) the State should take to satisfy the requirement?

MAP-21 Requirements	Indicator that State Meets Requirements	Considerations	Requirement Status (Did the State Meet the MAP-21 Requirement?)	Support for Status Determination
COORDINATION				
23 U.S.C. 148 (a)(12)(E) The term 'State strategic highway safety plan' means a comprehensive plan, based on safety data, developed by a State transportation department that: *Considers the results of State, regional, or local transportation and highway safety planning processes.*	The State coordinated with other planning processes, including but not limited to the State's Highway Safety Plan (HSP), Commercial Vehicle Safety Plan (CVSP) (Section 31102 of Title 49), Statewide Transportation Plan, Metropolitan Transportation Plans, local road safety plans, etc.	To what extent did the State consider the different planning processes in developing the SHSP? (e.g., the Statewide Transportation Plan, metropolitan long range plans, Local Transportation Plans, Statewide CVSP, HSP, and HSIP). For example: Is there a process to align high level goals, strategies and objectives among the plans? Is alignment achieved? Did the State consider how the SHSP emphasis areas compare with the priorities of the other plans or processes? Has the State considered how the other plans and processes will play a role in implementing the SHSP? Has the State considered how the planning processes will work together in the future?	☐ **MEETS REQUIREMENT** ☐ **DOES NOT MEET REQUIREMENT**	If the requirement is met, provide a summary or brief description that supports this outcome. OR If the requirement is not met, what are the recommended action(s) the State should take to satisfy the requirement?

MAP-21 Requirements	Indicator that State Meets Requirements	Considerations	Requirement Status (Did the State Meet the MAP-21 Requirement?)	Support for Status Determination
23 U.S.C. 148 (a)(12)(H) The term 'State strategic highway safety plan' means a comprehensive plan, based on safety data, developed by a State transportation department that: *Is consistent with section 135(g) [Statewide Transportation Improvement Program] of Title 23 U.S.C.*	The SHSP was/is: • Developed in consultation with affected non-metropolitan local officials and with Indian Tribal governments • Provided interested parties with a reasonable opportunity for comment • Consistent with the Statewide Transportation Plan	Has the State considered how the emphasis areas and strategies in the SHSP will be implemented through the Statewide transportation planning and programming process? How does the State plan to implement the SHSP through the HSIP? Is there a process in place to ensure that HSIP projects identified in the STIP are consistent with and address SHSP priorities?	☐ **MEETS REQUIREMENT** ☐ **DOES NOT MEET REQUIREMENT**	If the requirement is met, provide a summary or brief description that supports this outcome. OR If the requirement is not met, what are the recommended action(s) the State should take to satisfy the requirement?

MAP-21 Requirements	Indicator that State Meets Requirements	Considerations	Requirement Status (Did the State Meet the MAP-21 Requirement?)	Support for Status Determination
SHSP EVALUATION				
23 U.S.C. 148(c)(1)(C) *Evaluates the strategic highway safety plan on a regularly recurring basis in accordance with subsection (d)(1) to ensure the accuracy of the data and priority of proposed strategies.*	The State conducted a review of current data and research to determine SHSP emphasis areas and strategies.	Did evaluation results confirm the validity of the emphasis areas? Were emphasis areas modified based on the data? Did the evaluation include a review of the State's progress in meeting previous SHSP goals and objectives (e.g., reductions in the number and rate of crashes, fatalities and serious injuries in the SHSP's emphasis areas)? If goals and objectives were not met, were strategies reviewed to determine their effectiveness (to help them determine if they should continue or modify strategies in the SHSP update)? During the development of this SHSP update, was attention given to what will be measured and how progress will be determined for the period of the current SHSP? Does the State have in place mechanisms for regularly tracking SHSP implementation and monitoring progress? Is an SHSP evaluation planned, as part of the State's next SHSP update?	☐ **MEETS REQUIREMENT** ☐ **DOES NOT MEET REQUIREMENT**	If the requirement is met, provide a summary or brief description that supports this outcome. OR If the requirement is not met, what are the recommended action(s) the State should take to satisfy the requirement?

MAP-21 Requirements	Indicator that State Meets Requirements	Considerations	Requirement Status (Did the State Meet the MAP-21 Requirement?)	Support for Status Determination
SPECIAL RULES				
23 U.S.C. 148 (a)(1) HIGH RISK RURAL ROAD – The term 'high risk rural road' means any roadway functionally classified as a rural major or minor collector or a rural local road with significant safety risks, as defined by a State in accordance with an updated State strategic highway safety plan.	The update includes the States definition of "High Risk Rural Road."	GUIDANCE LINK—HSIP, MAP-21 High Risk Rural Roads Guidance	☐ **MEETS REQUIREMENT** ☐ **DOES NOT MEET REQUIREMENT**	If the requirement is met, provide a summary or brief description that supports this outcome. OR If the requirement is not met, what are the recommended action(s) the State should take to satisfy the requirement?
23 U.S.C. 148 (g)(2) OLDER DRIVERS AND PEDESTRIANS – If traffic fatalities and serious injuries per capita for drivers and pedestrians over the age of 65 in a State increases during the most recent 2-year period for which data are available, that State shall be required to include, in the subsequent Strategic Highway Safety Plan of the State, strategies to address the increases in those rates, taking into account the recommendations included in the publication of the Federal Highway Administration entitled 'Highway Design Handbook for Older Drivers and Pedestrians' (FHWA-RD-01-103) dated May 2001, or as subsequently revised.	The SHSP update includes strategies to address the increases in older driver and pedestrian traffic fatalities and serious injuries, if applicable.	Does the Older Drivers and Pedestrians special rule apply to the State? GUIDANCE LINK—Section 148: Older Drivers and Pedestrians Special Rule Interim Guidance	☐ **MEETS REQUIREMENT** ☐ **DOES NOT MEET REQUIREMENT**	If the requirement is met, provide a summary or brief description that supports this outcome. OR If the requirement is not met, what are the recommended action(s) the State should take to satisfy the requirement?

MAP-21 Requirements	Indicator that State Meets Requirements	Considerations	Requirement Status (Did the State Meet the MAP-21 Requirement?)	Support for Status Determination
DESCRIPTION OF SHSP UPDATE PROCESS				
23 U.S.C. 148 (d)(2)(A)(ii) In general, each State shall: • *update the strategic highway safety plans of the State in accordance with the requirements established by the Secretary under this subsection.* • *submit the updated plans to the Secretary, along with a detailed description of the process used to update the plan.*	The State included/provided a detailed description of the SHSP update process (this description can be included as a section, chapter or appendix in the SHSP, in the cover or transmittal letter for the SHSP, or as a standalone document).	Does the description include a discussion of: • a data-driven process (evaluation); how emphasis areas and strategies were selected • who was consulted • how coordination was achieved • how progress will be measured • the next scheduled evaluation and update (is it within 5 years?)	☐ **MEETS REQUIREMENT** ☐ **DOES NOT MEET REQUIREMENT**	If the requirement is met, provide a summary or brief description that supports this outcome. OR If the requirement is not met, what are the recommended action(s) the State should take to satisfy the requirement?
ADMINISTRATIVE				
23 U.S.C. 148 (a)(12)(G) The term 'State strategic highway safety plan' means a comprehensive plan, based on safety data, developed by a State transportation department that: *Is approved by the Governor of the State or a responsible State agency.*	SHSP signed by the Governor or a responsible State agency		☐ **MEETS REQUIREMENT** ☐ **DOES NOT MEET REQUIREMENT**	If the requirement is met, provide a summary or brief description that supports this outcome. OR If the requirement is not met, what are the recommended action(s) the State should take to satisfy the requirement?

MAP-21 Requirements	Indicator that State Meets Requirements	Considerations	Requirement Status (Did the State Meet the MAP-21 Requirement?)	Support for Status Determination
23 U.S.C. 148 (a)(12)(I) The term 'State strategic highway safety plan' means a comprehensive plan, based on safety data, developed by a State transportation department that: *Is updated and submitted to the Secretary for approval as required under subsection (d)(2).*	FHWA Division Administrator approves SHSP update process		☐ **MEETS REQUIREMENT** ☐ **DOES NOT MEET REQUIREMENT**	If the requirement is met, provide a summary or brief description that supports this outcome. OR If the requirement is not met, what are the recommended action(s) the State should take to satisfy the requirement?

The State's SHSP Process is: ☐ **APPROVED** ☐ **DISAPPROVED**

DATE: _____

Follow-up Actions or Recommendations:

Potential Information Resources

The following is a list of potential resources that would be beneficial information to the review team prior to a peer review or program review.

1. Invitation Letter.
2. Purpose and objectives of the exchange and/or focus items for discussion.
3. Preliminary agenda.
4. List of State Web sites for safety, safety management systems, and/or HSIP information.
5. *HSIP Manual* and highway safety project selection process.
6. State's annual HSIP report.
7. *State's Strategic Highway Safety Plan*.
8. List of recent, current, and planned HSIP projects.
9. Safety elements of planning documents (i.e., Long Range Plan, Capital Investment Strategy, Statewide Transportation Improvement Program).
10. Organizational chart for State DOT highlighting safety/HSIP functions.

Example Review Topics

The peer review or program review should focus on only one element of the HSIP (i.e., SHSP, RHCP, Program of Highway Safety Improvement Projects) or on one specific program process (i.e., planning, implementation, or evaluation). Example review topics include:

Strategic Highway Safety Plans

- SHSP Development
- SHSP Implementation
- SHSP Evaluation
- Integration of HSIP with SHSP
- Coordination with Partners
- Leveraging Resources

Railway-Highway Crossing Program

- Project Identification & Prioritization
- Inspections
- Construction process
- Evaluation

Program of Highway Safety Improvement Projects

- Project Identification
- Engineering Studies
- Project Prioritization
- Local Road Involvement
- Funding/Programming Projects
- Evaluation

Sample Peer Review Agenda

A sample agenda is outlined below. It is important to note that the content and structure of the agenda will be shaped by the review topic.

Day One

8:00 – 8:30 a.m.	Introduction/Overview (purpose, review elements, etc.)
8:30 – 9:30 a.m.	Host State Presentations
9:30 – 10:00 a.m.	Question & Answer/Discussion
10:00 – 10:30 a.m.	Break
10:30 a.m. – 12:00 noon	Visiting State Presentations
12:00 – 1:00 p.m.	Lunch (Informal Networking Opportunity)
1:00 – 5:00 p.m.	Open Discussion

Day Two

8:00 a.m. – 12:00 noon	Discussion with other HSIP Representatives
12:00 – 1:00 p.m.	Lunch (Informal Networking Opportunity)
1:00 – 5:00 p.m.	Open Discussion

Day Three

9:00 a.m. – 12:00 noon	Report Preparation
12:00 – 1:00 p.m.	Lunch (Informal Networking Opportunity)
1:00 – 4:00 p.m.	Close-out Session

Sample Report

HSIP Peer Review
Hosted by the
[State name] Department of Transportation
[Date]

Introduction

The [State name] Department of Transportation hosted a Peer Review of its Highway Safety Improvement Program (HSIP) on [Date]. The peer review team consisted of:

- [Name, title, and organization] Exchange Team Leader
- [List All Team members – Name, title, and organization]
- Other attendees and observers included:
- [List Other Attendees and Observers – Name, title, and organization]

Objectives

The expressed objectives of the peer review process were to:

- Learn how the [State name] Department of Transportation manages and implements the HSIP.
- Provide an occasion for members of exchange team and the Department of Transportation to think about HSIP management.
- Exchange information among members of the team and others involved in the peer review.
- Identify useful ideas members of the peer review team can apply in their agency.
- Address the following focus items identified by [State name] DOT:

Scope

To prepare for the peer review, the team reviewed documentation describing the Department of Transportation's HSIP procedures. During the exchange, the team discussed [State name]'s procedures and those used in other team members' respective agencies. The exchange team also interviewed [Number of] persons, including:

- [List names of persons interviewed]

Interviews were conducted using a general set of questions to stimulate discussion, and provided the exchange team an opportunity to listen to concerns, experiences, technical accomplishments, and suggestions from those interviewed. Members of the team also answered questions posed to them by persons from the Department of Transportation, FHWA, and others. The team members volunteered information pertinent to the discussions on administration, HSIP development, project management, and technical accomplishments.

Several common themes emerged from the interviews:

- [Insert Theme 1]
- [Insert Theme 2]
- [Insert Theme 3]
- [and so on]

Strengths and Key Issues

The exchange team noted several significant strengths at the Department of Transportation:

- [Insert strength and/or key issue]
- [Insert strength and/or key issue]
- [Insert strength and/or key issue]
- [and so on]

The team's observations on these issues as well as on general topic of HSIP follow:

[Item or Issue]

- [Insert observation]
- [Insert observation]
- [Insert observation]
- [and so on]

[Item or Issue]

- [Insert observation]
- [Insert observation]
- [Insert observation]
- [and so on]

[Item or Issue]

- [Insert observation]
- [Insert observation]
- [Insert observation]
- [and so on]

The Peer Review Team Member Reports are as follows:

[Name and organization – Team Leader]

Observations:

- [Insert observation]
- [Insert observation]
- [Insert observation]
- [and so on]

Planned Actions or Opportunities for [Team leader's State name] DOT:

- [Insert planned action or opportunity]
- [Insert planned action or opportunity]
- [Insert planned action or opportunity]
- [and so on]

[Use this same format for each of the Peer Review Team Members. The last individual report and usually most comprehensive of all the reports given is for the host State.]

Safe Roads for a Safer Future

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HSIP

Highway Safety Improvement Program
Data Driven Decisions

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