

Highway Safety Improvement Program Assessment Toolbox



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is Results*



U.S. Department of Transportation
Federal Highway Administration

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Preface

Welcome to the Highway Safety Improvement Program (HSIP) Assessment Toolbox. This first edition of the HSIP Assessment Toolbox compiles 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/or opportunities for improvement. This can be accomplished through a self assessment, program review, or peer review, as described in the following pages.

We would like to thank the following individuals for their feedback and support in the planning for and development of the HSIP Assessment Toolbox:

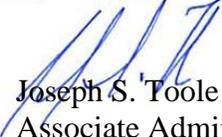
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The HSIP Assessment Toolbox will be updated regularly. As the information included within the Toolbox is utilized and additional information becomes available, enhancements will be made to the HSIP Assessment Toolbox. For example, the Federal Highway Administration Office of Safety will be working to develop an improved self assessment tool that will expand upon the Program Delivery Improvement Tool to provide more details and explore additional elements of the HSIP that could be used to more thoroughly guide overall program improvement. As soon as it is available, the HSIP Assessment Toolbox will be updated.

FHWA staff is available to facilitate discussions and brainstorming sessions to assist States in determining which type of assessment best meets the needs of the State and to identify the best way to conduct a program assessment. Technical support and resources may be available to support a program assessment in your State. For additional information, please contact the HSIP Team in the FHWA Office of Safety.

The FHWA Office of Safety will make every effort to provide meaningful information and assistance to support future HSIP Assessment needs. If there is something more that you would like to see, please let us know.



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Background

The Highway Safety Improvement Program (HSIP) is established under 23 U.S.C. 148 with the primary purpose of achieving a significant reduction in traffic fatalities and serious injuries on public roads. The HSIP encompasses the Strategic Highway Safety Plan (SHSP), the State's Highway Safety Improvement Program (State HSIP), which includes the High Risk Rural Roads program (HRRRP), and the Railway-Highway Grade Crossing Program (RHGCP).

To obligate funds under the HSIP, States are required to: (1) develop and implement a SHSP; (2) produce a program of projects or strategies; (3) evaluate the plan on a regular basis; and (4) submit an annual transparency report. 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 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.

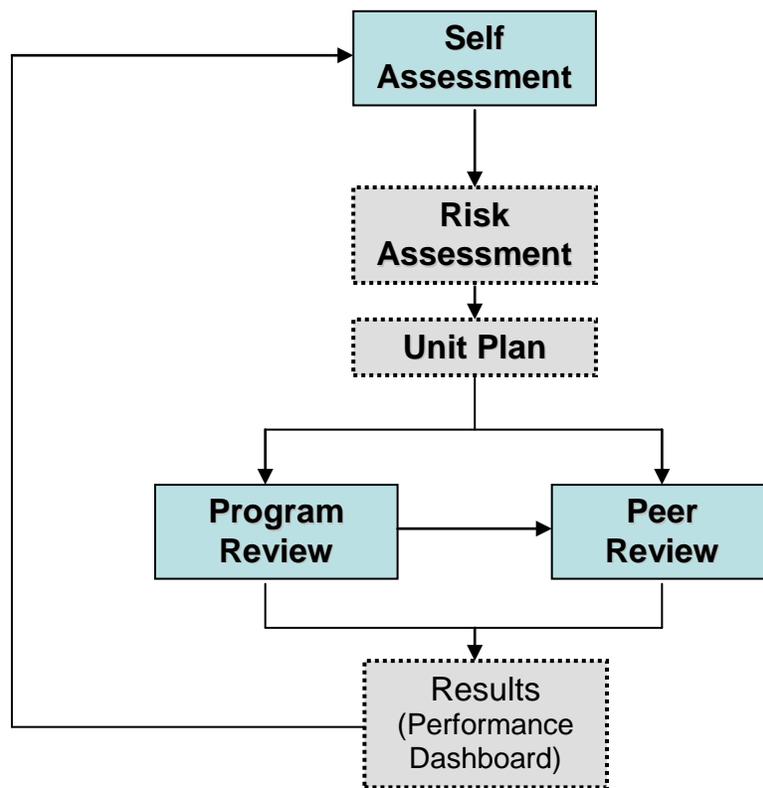
The HSIP Assessment Toolbox presents information to assist SDOTs, FHWA Division Offices and other safety partners (i.e., Metropolitan Planning Organizations), as appropriate, with HSIP-related program assessments. Each type of program assessment is described in detail within the toolbox, while supporting 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 and/or peer review should be monitored and evaluated on a regular basis. Successful efforts will be realized in future program assessment efforts.



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. 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 tool 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.

There are currently two FHWA HSIP-related self assessment tools available to transportation safety professionals. These tools include the HSIP Quality Assessment and the Program Delivery Improvement Tool.

HSIP 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 [2010 HSIP Quality Assessment](#) questions are included in the Appendix for reference.

The responses to each primary question are 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, the HSIP Quality Assessment was used to assist FHWA in measuring the effectiveness of the HSIP at the national level and is still used to shape the future direction of the program, including the development of products to support HSIP implementation efforts. While the HSIP Quality Assessment is no longer being conducted nationally, it is still a valuable tool for individual agencies to assess their HSIP.

At the State level, the HSIP Quality Assessment can be used in a similar manner. Agencies may conduct the HSIP Quality Assessment to determine the current status of the various elements of the HSIP as compared to what is desirable. Based on this “high level” assessment, it may be evident that additional investigation into a particular area or element of the program is warranted. In addition, the results of the HSIP Quality Assessment can be used as a benchmark and to track progress towards improving the effectiveness of the HSIP over the long term.

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.

The PDIT has been developed by FHWA, State practitioners, and program specialists. 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](#) are included in the Appendix. [The PDIT paperless tool is available upon request.] These 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.

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; and/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.¹

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, HRRRP, RHXP) or to focus on a process within the HSIP (i.e., planning, implementation, 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 FHWA's Crash Data Improvement Program (CDIP). In addition, 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 agreement. Safety specialists might consider using a self assessment tool, such as the Program Delivery Improvement Tool (as described in the previous section), to feed the risk assessment process. The [PDIT activity statements](#) can be useful tools to gauge the overall "temperature" of the HSIP. A program review may be warranted if the discussion surrounding a particular activity statement 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?

¹ Federal Aid Highway Program Stewardship/Oversight Agreement Guidance, April 14, 2006:
<http://staffnet.fhwa.dot.gov/programadmin/041406.doc>

- Are there noteworthy practices that would benefit HSIP peers?
- Are the HSIP evaluation results feeding back into the planning element of the HSIP and also affecting department policies and design standards?
- Does the HSIP consider an appropriate balance between “hot spot” projects and systemic 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.

FHWA has identified oversight of Federal-aid projects administered by local public agencies (LPA) as an agency risk. This aspect of the HSIP will likely be part of LPA or financial management reviews.

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 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

Program review training entitled “[Conducting Effective Program Reviews](#)” is available through the [National Highway Institute](#). The workshop provides 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, State HSIP, HRRRP, RHXP) 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 [Resource Center’s 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 can be used to document your review efforts.

The FHWA Office of Safety conducted a [National Review of HSIP](#). While the National Review predates SAFETEA-LU, many of the noteworthy practices identified are still relevant. Noteworthy practices, whether identified as part of the National Review or an HSIP-related peer review, can be used as the basis for the recommendations set forth in Step 5 of the review process. 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 FHWA Office of Safety has initiated an HSIP Peer-to-Peer 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. [For additional information, contact the HSIP P2P Hotline at (877) 473-0953 or e-mail at hsipp2p@dot.gov.]

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 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 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

There is a significant amount of planning that 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 Government Agencies (LGA), 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 as a result of the visit. Each of the visitors should add to the report those activities that were enhanced in their respective programs as a result 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, there are many questions that 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 current 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 warrant further investigation, either 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.

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. Many self assessments are conducted annually or every other year to measure progress in implementing program improvements. Program reviews should be conducted as deemed necessary based on the risk assessment and/or stewardship agreement. It is desirable for peer reviews to be conducted on a regular basis, perhaps once every 3 to 5 years. 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, a program review is most often led by the FHWA Division Office in consultation with the SDOT and other agencies, as appropriate. 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.
- However, 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 2010 Quality Assessment

The FHWA Office of Safety conducts an annual quality assessment to measure progress in implementing the Highway Safety Improvement Program (HSIP). 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 USC 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.

- E. 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.
 C. In progress.
 E. 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 “E”.]

- 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
- E. 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
- F. 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
- F. 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
- C. HSIP funds are obligated at the same obligate rate as for other core programs.
- E. HSIP funds are obligated above the obligation rate for other core programs

COMMENTS:

Program Delivery Improvement Tool Safety Activity Statements

[Note: The PDIT paperless tool is available upon request.]

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 4E (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 (NEMESIS, 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 routes 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 State's Highway Safety Improvement Program (State HSIP), including the High Risk Rural Roads program (HRRRP) and the Railway-Highway Grade Crossing Program (RHGCP).

[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 FHWA's Crash Data Improvement Program (CDIP). In addition, 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, State HSIP, HRRRP, or RHXP) 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/peer review is to identify noteworthy practices as well as opportunities for improvement.

Directory

General

Strategic Highway Safety Plan

State Highway Safety Improvement Program

High Risk Rural Roads Program

Railway-Highway Grade Crossing Program

General

1. Briefly describe the HSIP.
 - How is the HSIP developed?
 - How does the HSIP function?
 - Who's responsible for administering the HSIP?
 - Who's 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 since SAFETEA-LU?
8. How are other agencies (i.e., Metropolitan Planning Organizations, Local Government Agencies, 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 Implementation 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.]

General Approach to Overall SHSP Implementation

1. Describe the process for gaining and maintaining commitment and involvement of State DOT senior management in the SHSP development and implementation process.
2. What methods and procedures have been employed for inter-agency and intra-agency coordination/collaboration?
3. Describe how data is used to support SHSP development and implementation.
 - What data is used?
 - Are SHSP program areas prioritized based on data analysis?
4. What modes other than highway (i.e., pedestrians, bicyclists, transit, and motor carriers) are included in your SHSP?
5. How is LTAP utilized to promote local stakeholder involvement in the SHSP development and implementation process?

SHSP Emphasis Area Action Plans

6. Describe how emphasis area action plans (i.e., implementation plans) are used to assist with SHSP implementation.
7. What is the process for pursuing legislation changes as a result of SHSP strategies?
8. What is the process for pursuing those changes to policies or design standards as a result of SHSP strategies?

SHSP Integration with other Plans and Programs

9. How has the SHSP influenced the HSIP?
10. How has the SHSP influenced the Statewide Transportation Planning process?

11. How has the SHSP influenced Metropolitan Transportation Planning process?
 - Describe MPO involvement in SHSP development and implementation process.
12. How has the SHSP influenced the Statewide and metropolitan transportation improvement programs (S/TIP) process?
 - How has the SHSP changed the safety project selection criteria and/or project prioritization process?
13. How has the SHSP influenced the Highway Safety Plan (i.e., 402 Program)?
 - How are Community Traffic Safety Program (CTSP) Coordinators involved in SHSP implementation?
14. How has the SHSP influenced the Commercial Vehicle Safety Plan?
15. How are the SHSP strategies incorporated into the environmental process (i.e., project alternative analysis, mitigation countermeasures)?
16. How are the SHSP strategies incorporated into the operations and maintenance program area?

Tracking and Evaluating the Implementation of SHSP Strategies and Projects

17. Describe the procedures for monitoring, progress reporting, and evaluation of SHSP strategies and actions.
18. What procedures have been established for ongoing SHSP update and maintenance?
19. What resources are being used to support the overall administration of the SHSP implementation process?
20. What concerns, conflicts, and/or barriers have impeded implementation of the SHSP within your agency, with respect to partner agencies and stakeholders, and/or with the public?
 - In these cases, have you employed conflict resolution procedures? If so, how and through whom?
21. What methods are you using to maintain interest and momentum on the SHSP?

Additional Questions

22. What are some innovative noteworthy practices you would like to share?
23. What are the lessons learned (i.e., what worked and what did not)?
24. What are the next steps in the implementation of the SHSP? What do you see as the near term goals, challenges, and opportunities?
25. Thinking longer term, what is the future of the SHSP in your State?
26. Assuming 3 to 5 years from now that the SHSP has been implemented, evaluated, and found effective, what is the next generation of the SHSP?
27. What needs to be done to take the SHSP to the next level and what tools or resources are needed to accomplish it?
28. How would you define success as it relates to development and implementation of your States' SHSP?
29. What are some things your State is doing to institutionalize the SHSP process?

State Highway Safety Improvement Program (State HSIP)

[Previously the Hazard Elimination Program]

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 on the basis of 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. What other factors are considered in the HSIP project identification process? Explain.
8. How are local roads addressed in the HSIP?
9. What is the balance between crash-reducing and crash potential projects, as well as infrastructure vs. behavioral projects (10 percent flexibility)?

Engineering Studies:

10. 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?

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

Establishing Priorities:

19. What is the process for determining priorities for implementation of HSIP projects?
20. What do you consider to be opportunities to improve your HSIP project prioritization process?
21. What do you consider to be your best practices in establishing HSIP priorities?
22. Explain the criteria for establishing priorities for both high crash and potential crash (i.e., systemwide) locations.
23. Are priorities established on a Statewide, district, system, or other basis?
24. How are priorities for 402 Programs coordinated with those of the HSIP?
25. Is there a process for obtaining consensus or approval of the priority project listing? Explain.
26. 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?
27. Are lower priority projects selected for construction/implementation before higher priority projects? If so, why, and what is the criteria for doing it?

28. 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:

29. Are HSIP projects funded with sources other than HSIP funding?
- 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?
30. Has there been an increase in the level of HSIP and non-HSIP funds spent on infrastructure-related safety projects since SAFETEA-LU?
31. Are there dollar limits for safety projects?
32. What is proportion of funding 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 SAFETEA-LU?
 - Are funds allocated to districts/regions, or do all districts apply for funds from the same pot?
33. How are the planning and evaluation components of your HSIP funded?
- If HSIP funds are used, please describe the process.
34. In 23 USC section 120 it allows 100 percent Federal funding for "Certain Safety Projects." Does your State take advantage of this provision? Please describe.
35. How is the HSIP flexible funding provision used?
- Are funds flexed to other agencies?
 - Do you anticipate using this provision in the future?

Programming:

36. How are identified priority HSIP projects included in the S/TIP?
37. Has your State developed any time-saving 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 there opportunities to improve the HSIP evaluation process?
50. What do you consider to be the best practices associated with the HSIP evaluation process?

51. How are the results of the evaluation component of HSIP incorporated back into the data collection, analysis prioritization, and scheduling (i.e., planning) procedures?
52. 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?
53. 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?
54. To what extent does the State use the HSIP evaluation process to modify strategies and programs in future SHSP revisions?

High Risk Rural Roads Program (HRRRP)

Planning

1. How is the HRRRP administered in your State?
2. What data (i.e., crash, roadway, traffic, EMS) is used to support the HRRRP planning process?
 - What type of exposure data is utilized to calculate the fatal and serious injury crash rate?
3. Has the data collection process been altered to help justify HRRR projects?
4. What is the process or methodology for determining HRRR projects?
 - If sufficient data is not available to calculate the fatal and serious injury crash rate, what other methods are used to identify HRRR projects?
 - How are local roads considered in the HRRR project identification process?
5. How are non-State entities involved in HRRRP process for your State?
6. What innovative practices are used to identify HRRR projects?
7. How are HRRR eligible projects prioritized for implementation?
 - How are local roads considered in the HRRR project prioritization process?
 - Who participates in the selection process? Are local road owners represented?

Implementation

8. What types of projects are implemented under the HRRRP?
 - What is the average cost of these projects by category?
 - What proportion of them are on non-State roads?
9. Excluding the ability to identify eligible roadway segments, what other barriers to implementation of the HRRR program exist in your State? (These might include institutional, legal, coordination, competing priorities, lack of matching funds, or other.) Please provide some explanation of each and how are they being addressed.
10. Are there special barriers to implementing HRRR projects on non-State roads? If so, how have they been (or how will they be) resolved?

11. Does the obligation rate of HRRR funds reflect the focus on local and rural roads discussed in the SHSP?
12. Have local road owners been actively encouraged to participate in the HRRRP? What is the process or procedure for this?
13. How many HRRR projects have been completed from identification through implementation?

Evaluation

14. Describe the HRRRP evaluation process.
15. How beneficial/effective do you believe the HRRRP is in your State?
16. Have you seen reduced number of fatalities and serious injuries on high risk rural roads since the inception of this program?
17. What reviews or evaluations have you done on the HRRRP? What were the significant findings and/or recommendations?

General

18. How is your State institutionalizing the HRRRP process?
19. What innovative practices related to the HRRRP do you feel are noteworthy?
20. What are the lessons learned (i.e., what worked, what did not) with respect to the HRRRP?
21. Is your HRRRP linked to the SHSP?

Railway-Highway Grade Crossing Program (RHGCP)

Planning

1. Who (i.e., State agency, public utility) leads the RHXP planning process?
2. How is the RHXP 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 RHXC 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 RHGC 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. Does your 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 time frame for Highway-Railroad 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 RHXP implementation?
 - How much funding is directed towards RHXP 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?

STRATEGIC HIGHWAY SAFETY PLAN PROCESS CHECKLIST

(06/29/06)

State:

Date SHSP Developed or Last Updated (mm/yyyy):

Reviewer:

Review Date:

SAFETEA-LU requires States to develop and implement a Strategic Highway Safety Plan (SHSP) by October 1, 2006, in order to obligate funds for 23 USC 148 (HSIP) eligible activities. This SHSP Process Checklist is a tool for assessing the process and completeness of a State's SHSP. The assessment factors outlined below represent the required elements of a State-developed SHSP. The "*Strategic Highway Safety Plans: A Champion's Guide to Saving Lives*" (the SHSP guidance) contains additional information on these elements, as well as other suggested elements, and should be used as a reference document for this checklist.

The checklist consists of four columns: SAFETEA-LU Requirements, Items to Consider, Assessment, and Comments.

- The "SAFETEA-LU Requirements" are listed in the first column by each key activity of the SHSP process in the order outlined in the SHSP guidance. The SHSP guidance is a good resource that includes both the SAFETEA-LU requirements along with best practices that States could use to help satisfy the requirements.
- The "Items to Consider" column is intended to provide examples to generate ideas related to the corresponding requirement. The Items to Consider is not an exhaustive list. States have different needs so each State will have additional or different items to consider. The reviewer should consider what activities would best satisfy the SAFETEA-LU requirements as appropriate for that State and customize this checklist as needed.
- The "Assessment" column provides a place to record the reviewer's assessment overall of how the State satisfied the SAFETEA-LU requirement using the "Items to Consider."
- The "Comments" column provides the reviewer a place to document any notes, suggestions for improvement, strengths, or shortcomings

	Requirements	Items to Consider	Assessment	Comments
	<i>Initiate the Development Process</i>			
1	<p><i>The SHSP considers the results of State, regional, or local transportation and highway safety planning processes.</i></p> <p><i>23 USC 148(a)(6)(E)</i></p>	<p><i>To what extent did the State consider the different planning processes in developing the SHSP? For example, Statewide Transportation Plan metropolitan long range plans, Local Transportation Plans, Statewide CVSP, HSP, and HSIP?</i></p> <p><i>Did the State consider the Section 130 planning process?</i></p> <p><i>Do the safety goals in other plans align with the SHSP goals?</i></p> <p><i>Is there a process to align these goals?</i></p> <p><i>Did the State consider how the SHSP emphasis areas compare with the priorities of the other planning processes?</i></p> <p><i>Has the State considered how the other planning processes will play a role in implementing the SHSP?</i></p> <p><i>Has the State considered how the items in these other plans will be affected by the SHSP?</i></p> <p><i>Has the State considered how the other planning processes will work together in the future?</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	

	Requirements	Items to Consider	Assessment	Comments
	<i>Gather Data</i>			
2	<p><i>The State has in place a crash data system with the ability to perform safety problem identification and countermeasure analysis.</i> 23 USC 148(c)(2)(A)</p>	<p><i>What crash data evaluation system does the State use?</i></p> <p><i>Has the State identified data system improvement needs? Has the State identified when and how the data system improvements will be made?</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	
3	<p>The State’s capabilities for traffic records data collection, analysis, and integration with other sources of safety data has advanced in a manner that:</p> <ul style="list-style-type: none"> • Complements the State highway safety program and the commercial vehicle safety plan. • Includes all public roads. • Identifies hazardous locations, sections, and elements on public roads that constitute a danger to motorists (including motorcyclists), bicyclists, pedestrians, and other highway users. • Includes a means of identifying the relative severity of hazardous locations described in terms of accidents, injuries, deaths, and traffic volume levels. <p>23 USC 148(c)(2)(D)</p>	<p><i>Has the State’s crash record database been integrated with CVISN, courts data, citation data, driver license, hospital data, etc.?</i></p> <p><i>Does the State invest in upgrading their traffic records capabilities?</i></p> <p><i>Does your State’s crash record database meet the model minimum uniform crash criteria (MMUCC)?</i></p> <p><i>If the State’s data systems do not include the listed elements, has the State identified when and how data system improvements will be made?</i></p> <p><i>Does the State have a recent traffic records assessment? If not, Is the State planning to conduct a traffic records assessment? Will the State form a traffic records coordination committee? Does the State have an implementation schedule for traffic records improvement?</i></p> <p><i>Is the State developing a Traffic Records Strategic Plan?</i></p> <p><i>Are you satisfied that the State is taking steps and has a plan on how it will satisfy these</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	

	Requirements	Items to Consider	Assessment	Comments
		<i>requirements in the future?</i>		
Analyze Data				
4	<p>The SHSP analyzes and makes effective use of State, regional or local crash data. 23 USC 148(a)(6)(B)</p>	<p><i>Did the State analyze the crash data for all public roads?</i></p> <p><i>Did the State prioritize safety emphasis areas based on this data analysis?</i></p> <p><i>Did the State use all of the best available information?</i></p> <p><i>Is the data easily accessible by all potential users? If not what steps are being taken to provide access?</i></p> <p><i>If there are data deficiencies (as defined above) did the State make efforts to fill in the data gaps in other ways such as getting input from other sources? For example, if there is a deficiency in local crash data did the State weigh heavily on the input from local partners participating in the development of the SHSP?</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	
Establish a Working Group				
5	<p>The SHSP was developed by the State transportation department. 23 USC 148(a)(6)</p>	<p><i>Did the State transportation department provide leadership in the development of their SHSP?</i></p> <p><i>Will the State be prepared to implement the SHSP?</i></p> <p><i>Has the State assigned or appointed an individual or unit that is accountable for the development, implementation, evaluation, and continued management of the SHSP?</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	

	Requirements	Items to Consider	Assessment	Comments
6	<p>The SHSP was developed after consultation with:</p> <ul style="list-style-type: none"> • Highway safety representative of the governor of the State. • Regional transportation planning organization and metropolitan planning organizations, if any. • Representatives of major modes of transportation. • State and local traffic enforcement officials. • Persons responsible for administering Section 130 (Railway Highway Crossings Program) at the State level. • Representatives conducting Operation Lifesaver. • Representatives conducting a motor carrier safety program. • Motor Vehicle Administration agencies. • Other major State and local safety stakeholders. <p>23 USC 148(a)(6)(A)</p>	<p><i>How was consultation accomplished? Was it a one time event (i.e.; meeting, workshop, forum)? Was it just written comments on the plan? Was it ongoing participation in a working group, task group or steering committee?</i></p> <p><i>What was the level of local involvement?</i></p> <p><i>Were representatives from all 4E's involved in the development? For an expanded list of potential safety partners, refer to the SHSP guidance.</i></p> <p><i>Were all stakeholders' concerns given adequate consideration?</i></p> <p><i>Do you feel that the consultation process is consistent with the intent of SAFETEA-LU?</i></p> <p><i>(The SHSP Guidance defines Consultation as: "Consultation means that one party confers with another identified party in accordance with an established process and, prior to taking action(s), considers that party's views".)</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	
<i>Adopt a Strategic Goal</i>				
7	<p><i>The SHSP adopts strategic and performance based goals that --</i></p> <ul style="list-style-type: none"> • Address traffic safety, including behavioral and infrastructure 	<p><i>How did the State determine the goals and performance objectives? Are these goals aggressive yet achievable?</i></p> <p><i>Do the performance based goals include goals that</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	

	Requirements	Items to Consider	Assessment	Comments
	<p>problems and opportunities on all public roads.</p> <ul style="list-style-type: none"> Focus resources on areas of greatest need. Coordinate with other State highway safety programs. <p>23 USC 148(c)(2)(C)</p>	<p><i>relate to both behavioral and infrastructure problems?</i></p> <p><i>Are the goals and performance objectives based on analysis of crash and other safety data?</i></p> <p><i>Did the State consider the goals and performance objectives of other plans such as the CVSP, HSP, and HSIP (including section 130)?</i></p> <p><i>Has the State considered how the SHSP goals and objectives will affect other safety plans?</i></p> <p><i>Did the State consider how the goals could be broken down into definable elements that can be adopted by other agencies?</i></p>		
Identify Strategies and Countermeasures				
8	<p><i>The SHSP describes a program of projects or strategies to reduce or eliminate safety hazards.</i></p> <p>23 USC 148(a)(6)(F)</p>	<p><i>Was data used to determine the most effective strategies and countermeasures?</i></p> <p><i>How does the State plan to implement the SHSP through the HSIP?</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	
9	<p><i>The SHSP identifies opportunities for preventing the development of such hazardous conditions.</i></p> <p>23 USC 148(c)(2)(E)(ii)</p>	<p><i>Did the State consider proactive approaches to address potentially hazardous locations and features?</i></p> <p><i>Does the State plan to make system wide policy for safety improvements?</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	
10	<p><i>The SHSP addresses engineering, management, operation, education, enforcement, and emergency services elements of highway safety</i></p>	<p><i>Did the State integrate 4E strategies where practical? Did the State use an integrated approach through a variety of emphasis area group members when determining strategies?</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	

	Requirements	Items to Consider	Assessment	Comments
	<p><i>as key factors in evaluating highway safety projects.</i> 23 USC 148(a)(6)(C)</p>	<p><i>Were the 4E's fully utilized to prioritize strategies that will significantly reduce highway fatalities and serious injuries?</i></p> <p><i>Does the State have in place the organizational structure for administering and managing safety programs so that the SHSP can be implemented?</i></p>		
<i>Determine Priorities for Implementation</i>				
11	<p>The SHSP determines priorities for the correction of hazardous road locations, sections, and elements (including railway-highway crossing improvements), as identified through crash data analysis. 23 USC 148(c)(2)(E)(i)</p>	<p><i>What factors are used to determine priorities for implementation?</i></p> <p><i>Is the State giving priority to safety projects that can be supported by data?</i></p> <p><i>Were the highest impact and most cost effective priorities selected?</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	
12	<p><i>The SHSP considers safety needs of, and high fatality segments of, public roads.</i> 23 USC 148(a)(6)(D)</p>	<p><i>Did the State consider safety improvements for local roads?</i></p> <p><i>Does the State plan to make safety improvements where they are needed even if they are off the State DOT's system?</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	
13	<p><i>The SHSP identifies hazardous locations, sections and elements that constitute a danger to motorists (including motorcyclists), bicyclists, pedestrians and other highway users.</i> 23 USC 148(c)(2)(B)(i)</p>	<p><i>Did the State consider all highway users and modes during the SHSP data analysis?</i></p> <p><i>Did the State consider system-wide improvements?</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	

	Requirements	Items to Consider	Assessment	Comments
14	As part of the SHSP, the State establishes the relative severity of those locations, in terms of accidents, injuries, deaths, traffic volume levels, and other relevant data. 23 USC 148(c)(2)(B)(ii)	<p><i>What data did the State use to establish severity?</i></p> <p><i>Did the State use weighted severity factors in the prioritization of hazard locations?</i></p> <p><i>Was b/c analysis used to determine priorities?</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	
<i>Approval</i>				
15	The SHSP has been approved by the Governor of the State or a responsible State Agency. 23 USC 148(a)(6)(G)	<p><i>Did the Governor approve the plan?</i></p> <p><i>Was another responsible agency directed by the Governor to approve the plan?</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	
<i>Implementing the SHSP Through Action Plans</i>				
16	As part of the SHSP, the State establishes and implements a schedule of highway safety improvement projects for hazard correction and hazard prevention. 23 USC 148(c)(2)(E)(iii)	<p><i>Did the State consider ways to proactively address hazards?</i></p> <p><i>Did the State consider safety improvements for local roads as priorities for implementation?</i></p> <p><i>Has the State assigned or appointed an individual or unit that is accountable for the implementation of the SHSP?</i></p> <p><i>Does the State have an HSIP process that will enable it to implement the infrastructure related safety improvements?</i></p> <p><i>How does the State plan to implement the SHSP within the DOT? How will the State facilitate implementation with other agencies and</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	

	Requirements	Items to Consider	Assessment	Comments
		<p><i>organizations?</i></p> <p><i>Has the State demonstrated a means for SHSP implementation through implementation or action plans? Has the State identified funding for implementing strategies in the SHSP? Was b/c analysis used to determine priorities?</i></p> <p><i>Are you satisfied that the State is preparing to implement the strategies outlined in the SHSP through the other safety programs?</i></p>		
	<i>Linking the SHSP with the Transportation Planning Process</i>			
17	<p>The SHSP is consistent with the requirements of section 135(g) [Statewide Transportation Improvement Program] of Title 23 USC.</p> <p>These requirements include:</p> <ul style="list-style-type: none"> • All federally funded projects including all capital and non-capital projects, and all regionally significant transportation projects requiring Federal approval or permits. • Development in consultation with affected non-metropolitan local officials and with Indian tribal governments. • Provisions for interested parties with a reasonable opportunity for comment. 	<p><i>Has the State considered how the emphasis areas and strategies in the SHSP will be implemented through the statewide transportation planning and programming process? For example, within metro areas, is the SHSP consistent with the MPO's plan and TIP?</i></p> <p><i>By the time the projects (or program of projects) are included in the STIP, will the bulleted items outlined to the left be met?</i></p> <p><i>By the time the projects (or program of projects) are included in the STIP, will the safety projects accurately represent the goals and strategies of the SHSP?</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	

	Requirements	Items to Consider	Assessment	Comments
	<ul style="list-style-type: none"> Consistency with the Statewide Transportation Plan. Fiscal constraint. <p><i>23 USC 148(a)(6)(H)</i></p>			
Evaluating the SHSP				
18	<p>The State has established an evaluation process to analyze and assess results achieved by highway safety improvement projects identified in the SHSP.</p> <p><i>23 USC 148(c)(2)(F)(i)</i></p>	<p><i>Has the State determined post project methodologies that will be used for evaluation of strategies and countermeasures?</i></p> <p><i>Has the State assigned or appointed an individual or unit that is accountable for the evaluation of the SHSP?</i></p> <p><i>Has the State established a process for how the SHSP will be evaluated in the future? This process should include who to involve in the evaluation, frequency of evaluation, and how the SHSP will be affected by the evaluation.</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	
19	<p>The State will use the evaluation information in setting priorities for highway safety improvement projects.</p> <p><i>23 USC 148(c)(2)(F)(i)</i></p>	<p><i>Has the State considered how the evaluation results will affect future safety programs?</i></p> <p><i>Has the State determined how future revisions will be carried forward through implementation? For example, how will the results of periodic evaluation be reflected in the HSIP (including section 130), HSP, CVSP, STIP, TIP, etc...</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	
20	<p>The State will evaluate the plan on a regular basis to ensure the accuracy of the data and priority of proposed improvements.</p> <p><i>23 USC 148(c)(1)(C)</i></p>	<p><i>Has the State considered how often to reassess the SHSP? What is the evaluation period initially and what might it be in the future?</i></p> <p><i>How will the evaluation results feed back into other safety programs?</i></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Partly <input type="checkbox"/> In Progress	

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 can focus on only one element of the HSIP (i.e., SHSP, State HSIP, RHXP, or HRRRP) or on one specific program process (i.e., planning, implementation, or evaluation). Example review topics include:

Strategic Highway Safety Plans

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

State Highway Safety Improvement Program

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

High Risk Rural Roads Program

- Project identification
- Implementation
- Evaluation

Railway-Highway Grade Crossing Program

- Project Identification & Prioritization
- Inspections
- Construction process
- 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.]



*Highway Safety Improvement Program
Data Driven Decisions*

August 2010

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