

NHTSA/ROPD Special MANAGEMENT REVIEW SUMMARY FY 2005

Introduction

In an effort to improve the performance of highway safety programs administered by the National Highway Traffic Safety Administration (NHTSA), the office of Regional Operations and Program Delivery (ROPD) conducted 13 Special Management Reviews (SMRs) in fiscal year (FY) 2005. This summary report of the results of the FY 2005 SMRs was prepared in accordance with legislative requirements of Section 2008 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) (codified at 23 U.S.C. Section 402).

The Special Management Review is a system of review that examines State management and operational practices in specific highway safety program areas (seat belts or impaired driving) to determine relevant information related to program performance and progress. SMRs are preceded by analysis of the States' most current data available from the Fatality Analysis Reporting System (FARS), mileage death rates, alcohol death rates and seat belt surveys. They are scheduled as a result of a State's worse-than-national-average performance and progress less than half of that recorded by the Nation as a whole.

A Performance Enhancement Plan (PEP – formerly known as an Improvement Plan) may be developed in response to a State's lack of progress in meeting performance goals or failure to show improvement toward priority safety program goals over a three-year period. The PEP is developed collaboratively between the NHTSA Regional Office and the State and details strategies for implementation of the recommendations resulting from the Special Management Reviews.

Background

In April 2003, the General Accounting Office (GAO) issued a report to Congress entitled "*Better Guidance Could Improve Oversight of State Highway Safety Programs*," (GAO-03-474) which raised concerns regarding the oversight of State highway safety programs administered by NHTSA. In response, the NHTSA Associate Administrator for ROPD issued "Guidance and Oversight for State Highway Safety Program" dated April 23, 2004, to NHTSA Regional Administrators requiring that Special Management Reviews be conducted in those States that show minimal progress in meeting performance goals.

In 2005, Congress enacted SAFETEA-LU, which requires that:

"...At least once every 3 years the Secretary shall conduct a review of each State highway safety program. The review shall include a management evaluation of all grant programs funded under this chapter. The Secretary shall provide review-based recommendations on how each State could improve the management and oversight of its grant activities and may provide a management and oversight plan for such grant programs...The Secretary shall make publicly available on the Web site (or successor electronic facility) of the Administration the following documents upon their completion:

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- (A) The Secretary's management review guidelines and program review guidelines.
- (B) All State highway safety programs submitted under this chapter.
- (C) State annual accomplishment reports.
- (D) The Administration's Summary Report of findings from Management Reviews and Improvement Plans.”

Scope

This report summarizes the results of the thirteen SMRs (4 Occupant Protection and 9 Impaired Driving) that were performed by NHTSA Regional Offices in FY 2005:

1. *New Hampshire (OP)*
2. *Maine (OP)*
3. *Washington, DC (ID)*
4. *West Virginia (ID)*
5. *South Carolina (OP)*
6. *Wisconsin (OP)*
7. *Arkansas (ID)*
8. *Kansas (ID)*
9. *South Dakota (ID)*
10. *Wyoming (ID)*
11. *North Dakota (ID)*
12. *Montana (ID)*
13. *Nevada (ID)*

This report focuses on the key programmatic areas which are specifically covered by NHTSA's Policy on Special Management Reviews.

The occupant protection (OP) special management reviews focused on:

- 1) **Leadership Issues** – dedicated position for leadership in occupant protection; statewide task force on occupant protection; high visibility seat belt campaign; Governor's support; law enforcement agency support; multi-jurisdictional planning; percent population coverage and outreach to diverse populations.
- 2) **Project Issues** – law enforcement liaison program delivery of occupant protection training; earned media plan; enforcement plan; use of paid media; projects funded during past three years and project evaluation.
- 3) **Spending Issues** – law enforcement incentive program; evaluation of incentive programs; other seat belt program funding sources; State awards from Sections 402, 405, 410, 157 and/or 2003B funds; paid media budget and proportion of mobilization spending vs. sustained

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spending.

- 4) **Legislation Issues** – secondary or primary enforcement of seat belt law; pending legislation; educating public and elected officials on impact of primary seat belt law and impediments to passage of primary seat belt law.
- 5) **Issues with the State’s Priorities for its Seat belt Program** – seat belt and Child Passenger Safety (CPS) goals; project selection process; priority ranking systems for projects; evaluation criteria used for project selection and observational survey approved by NHTSA.
- 6) **Evaluation Issues** – evaluation of statewide seat belt program; impact evaluation on seat belt projects; evaluation of incentive grant programs (Sections 402, 405, 410, 157 and/or 2003B funds); use of seat belt evaluation results; requirements for evaluation of projects; evaluation expertise on staff and utilization of NHTSA resources.

The impaired driving (ID) special management reviews focused on:

- 1) **Leadership Issues** – dedicated position for leadership in impaired driving; statewide task force on impaired driving; high visibility impaired driving enforcement campaign; Governor’s/Mayor’s support; law enforcement agency support; multi-jurisdictional planning; percent population coverage; and outreach to diverse populations.
- 2) **Project Issues** – law enforcement liaison program; SFST training; earned media plan; enforcement plan; use of paid media; projects funded during past three years; and, project evaluation.
- 3) **Spending Issues** – law enforcement incentive program; evaluation of incentive programs; other impaired driving program funding sources; State/city awards from Section 410, 163, 154, and/or 164 funds; paid media budget; and, proportion of mobilization spending vs. sustained spending.
- 4) **Legislative Issues** – current legislation; pending legislation; educating public and elected officials on impact of various impaired driving legislation; and, impediments to passage of impaired driving legislation.
- 5) **Issues with the State’s Priorities for its Impaired Driving Program** – impaired driving goals; project selection process; priority ranking systems for its projects; and evaluation criteria used for project selection.

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- 6) **Evaluation Issues** – evaluation of statewide impaired driving program; impact evaluation on impaired driving; evaluation of incentive programs (Section 410, 154, 163, and 164); use of impaired driving evaluation results; requirements for evaluation on projects; evaluation expertise on staff; and utilization of NHTSA resources.

While each State is autonomous in shaping their Highway Safety Plan (HSP), States do share common obstacles with implementing and executing their HSP. This summary will identify the State's common issues in organization and staffing, program management and financial management; and recognize various commendations.

The SMRs in FY 2005 covered the use of grant funds awarded to States under the Transportation Act for the 21st Century (TEA-21). A determination was also made as to the eligibility of the funded activities and projects reviewed, based upon the implementing regulations for each grant program. Documents reviewed by NHTSA's Regional Offices covered fiscal years 2002, 2003, 2004 and 2005.

Outcomes

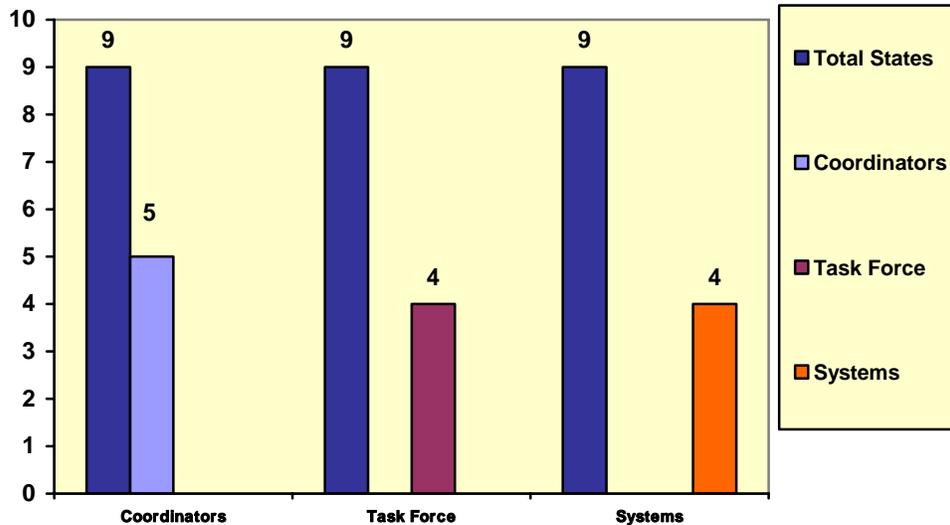
A. Common Issues with Impaired Driving

a. Leadership Issues

The top three leadership issues shared by the States include providing/hiring expert coordinators, establishing a task force and developing/improving reporting systems (see figure 1).

- Coordinators:** In order to improve the State coordination effort, States are encouraged to hire dedicated alcohol coordinators.
- Task Force:** Includes those States that need to establish and implement State and citywide task force to properly diagnose where the problems are within the State.
- Systems:** This identifies those States that either need to develop a DUI tracking system, improve the consistency of reporting or adopt electronic statewide uniform citations.

Figure 1:
Common Issues of FY05
Special Management Review (ID):
Leadership Issues



b. Project Issues

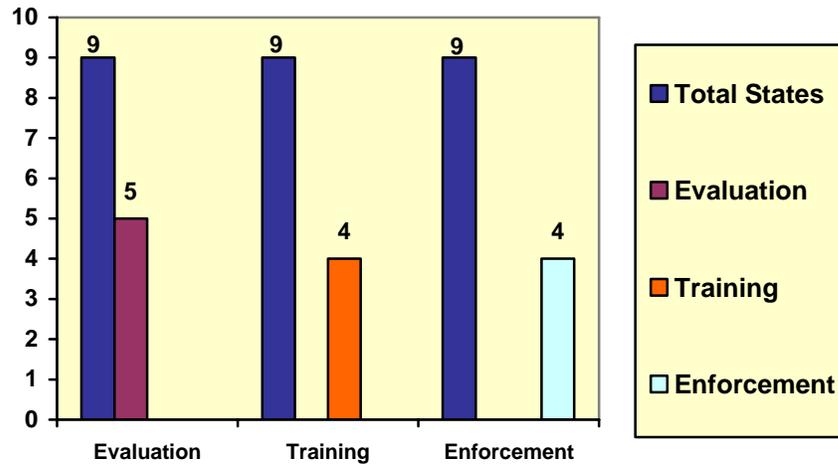
The three most common issues shared by the States include program evaluation (categorized as evaluation), training, and creating enforcement plans (categorized as enforcement) (see figure 2).

Evaluation: This citation proposed that the States need to regularly perform evaluations of their programs which would include program monitoring.

Training: Suggests that States take into account the time exceeded between training sessions of their law enforcement liaisons (LEL), promoting DRE training and providing program management training to staff.

Enforcement: States were encouraged to develop action plans and maintain communication with stakeholders to maximize the use of federal funds.

Figure 2:
Common Issues of FY05
Special Management Review (ID):
Program Management



c. Spending Issues

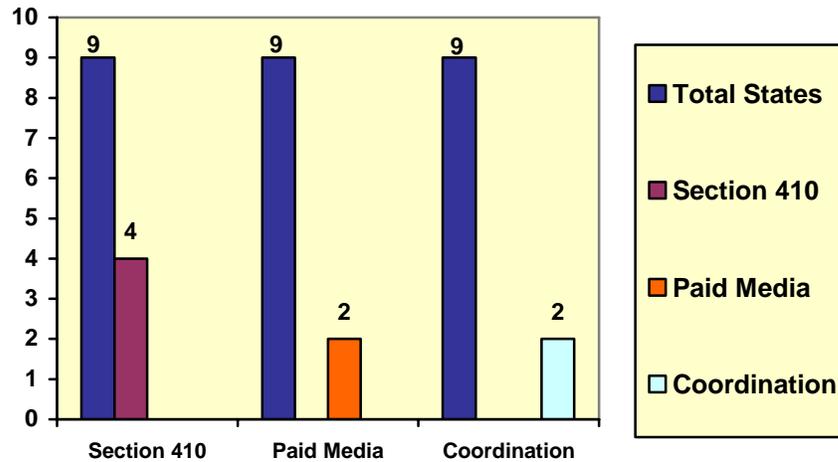
The three most common issues shared by the majority of the States include applying for Section 410 funding, increasing use of paid media and coordinating outreach to other federal funding sources (see figure 3).

Section 410: This category includes those States that need to apply for or constructively spend Section 410 funds.

Paid Media: When paid media was cited as a key issue, the recommendation was for the State Highway Safety Office (SHSO) to elevate the level of funding and spending during the annual ID crackdown.

Coordination: Includes recommendations that States increase the effort to secure additional federal funding sources.

Figure 3:
Common Issues of FY05
Special Management Review (ID):
Spending Issues

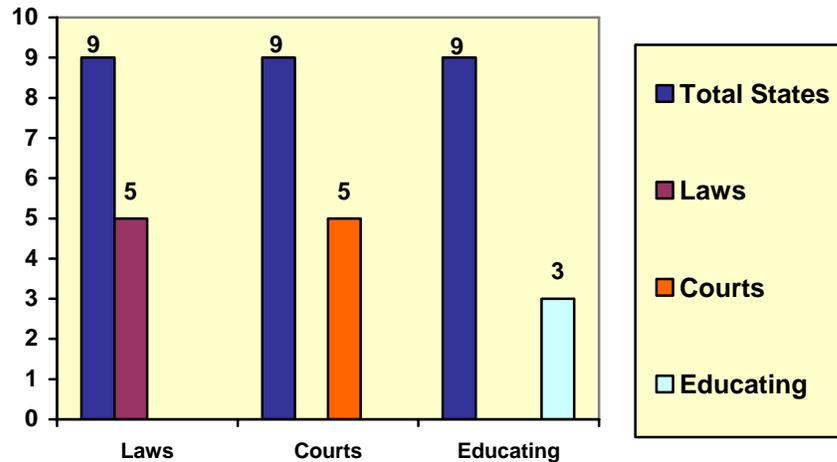


d. Legislation Issues

The three most common issues shared by the States include enacting laws, educating public and elected officials, and establishing Driving Under the Influence (DUI) courts/State Traffic Safety Resource Prosecutor (see figure 4).

- Laws:** This category includes those States that should consider passing and implementing impaired driving laws.
- Courts:** States were encouraged to establish pilot DUI Courts and establish special Prosecutors to handle such cases.
- Educating:** Includes suggestions that States provide prosecutors and judges relevant training concerning updated SFST packages, newly passed legislation and reach out to similar associations to provide such training.

Figure 4:
Common Issues of FY05
Special Management Review (ID):
Legislation Issues



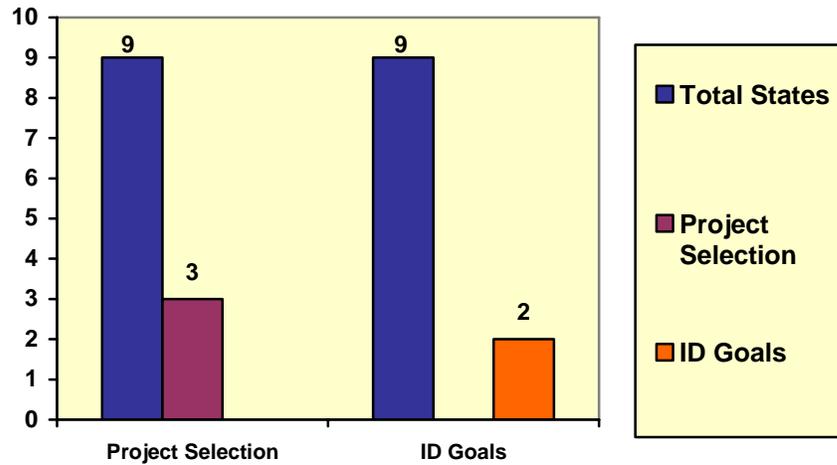
e. Issues with States Priorities for its Impaired Driving Program

Because the majority of the States have set attainable, manageable and measurable priorities, there were only two common issues shared by the States in this category. Those two issues include improving the evaluation criteria used for project selection and improving ID goals (see figure 5).

Project Selection: This category includes those States that should revise their project selection criteria and/or process.

ID Goals: States were encouraged to set more attainable goals as their goals maybe too high, too low and/or need improvement with goal setting.

Figure 5:
Common Issues of FY05
Special Management Review (ID):
Issues with States Priorities
for its Impaired Driving Program



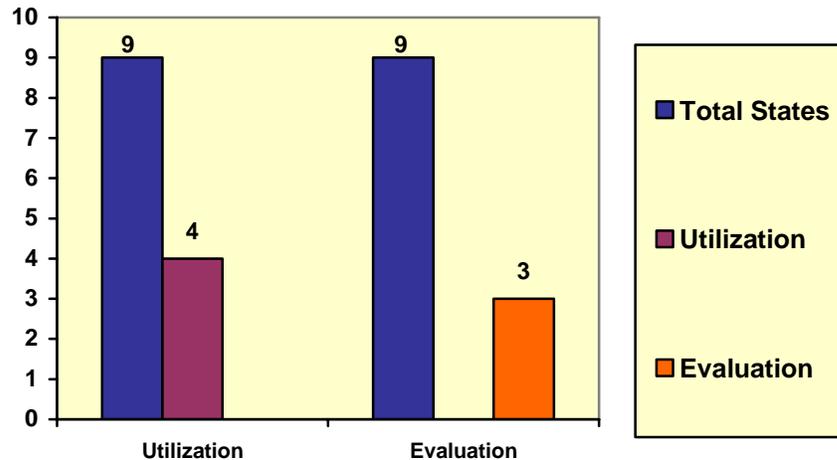
f. Evaluation Issues

The two most common issues shared by the States with ID evaluation include better utilization of NHTSA resources and better use of impaired driving evaluation results (see figure 4).

Utilization: This category includes those States that should utilize NHTSA resources pertaining to training and data collection.

Evaluation: States were encouraged to move forward with hardware/software enhancements to help with the collection, dissemination and interpretation of the data.

Figure 6:
Common Issues of FY05
Special Management Review (ID):
Evaluation Issues



B. Common Issues with Occupant Protection

a. Leadership Issues

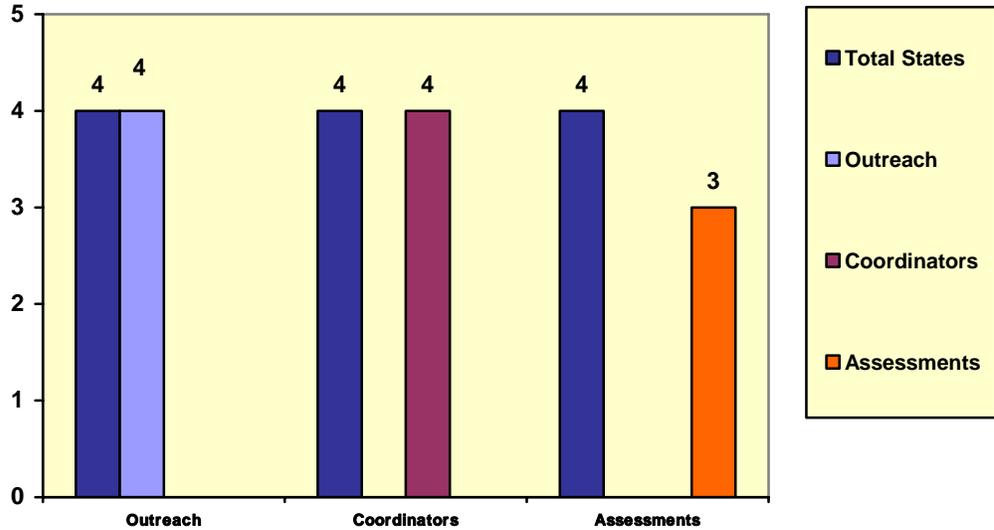
The top three leadership issues shared by the States include improving agency outreach efforts, providing/hiring dedicated OP coordinators and conducting assessments (see figure 1).

Outreach: Comprises of States that need to involve/expand the network of agencies and non-governmental partners in order to assist in improving the State coordination effort.

Coordinators: In order to improve the State coordination effort, States are encouraged to hire dedicated OP coordinators.

Assessments: This identifies those States that should have an OP assessment conducted which will further analyze the entire State's effort to increase seat belt use.

Figure 1:
Common Issues of FY05
Special Management Review (OP):
Leadership Issues



b. Project Issues

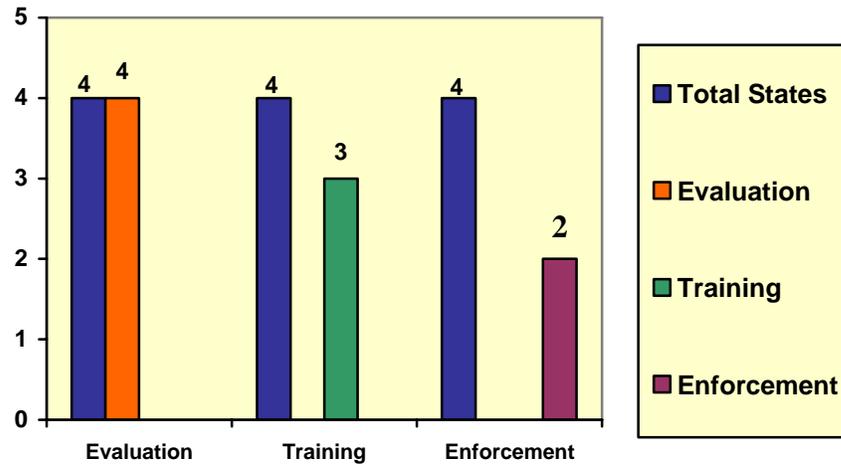
The three most common issues shared by the States include program evaluation (categorized as evaluation), training and establishing enforcement plans (categorized as enforcement) (see figure 2).

Evaluation: This citation proposed that the States need to regularly perform evaluations of their programs which would include program monitoring and additional observational surveys.

Training: Suggests that States take into account the time exceeded between training sessions of their law enforcement liaisons (LEL), promoting DRE training and provide program management training to staff.

Enforcement: Includes recommendations that States provide incentives for garnering additional law enforcement agencies in their mobilization efforts

Figure 2:
Common Issues of FY05
Special Management Review (OP):
Program Management



c. Spending Issues

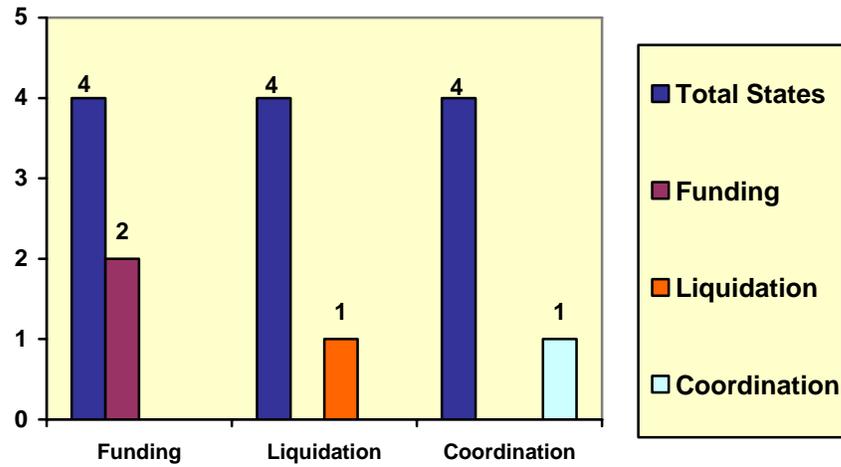
The three issues most applicable to the States include directing additional funding to OP programs (categorized as funding), increasing the liquidation rate of OP grant money, and coordinating with other agencies to combine federal funding (see figure 3).

Funding: This category includes those States that need to divert and focus additional funding to OP programs or constructively spend funds on OP.

Liquidation: When liquidation was cited as a key issue, the recommendation was for the SHSO to elevate the level of funding and spending during the annual ID crackdown.

Coordination: Includes recommendations that States increase the effort to secure additional federal funding sources.

Figure 3:
Common Issues of FY05
Special Management Review (OP):
Spending Issues

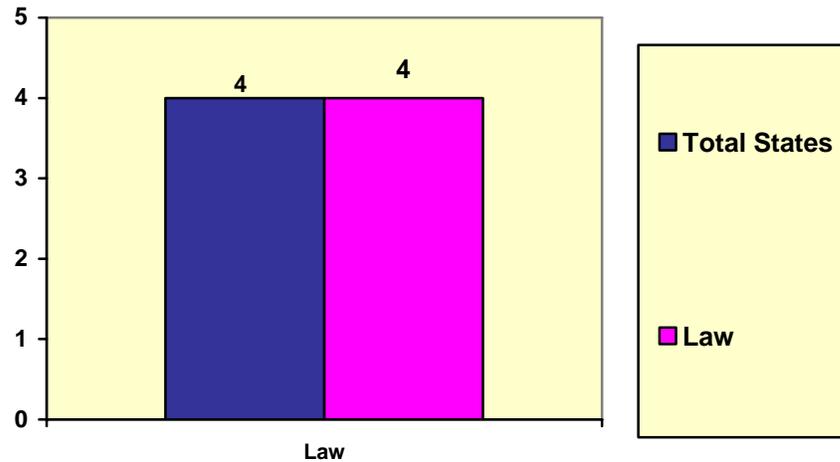


d. Legislation Issues

The primary legislative issue facing each State in this category is the absence of a Primary Belt Law (see figure 4).

Law: This category includes those States that should consider passing, implementing and enforcing a primary belt law.

Figure 4:
Common Issues of FY05
Special Management Review (OP):
Legislation Issues

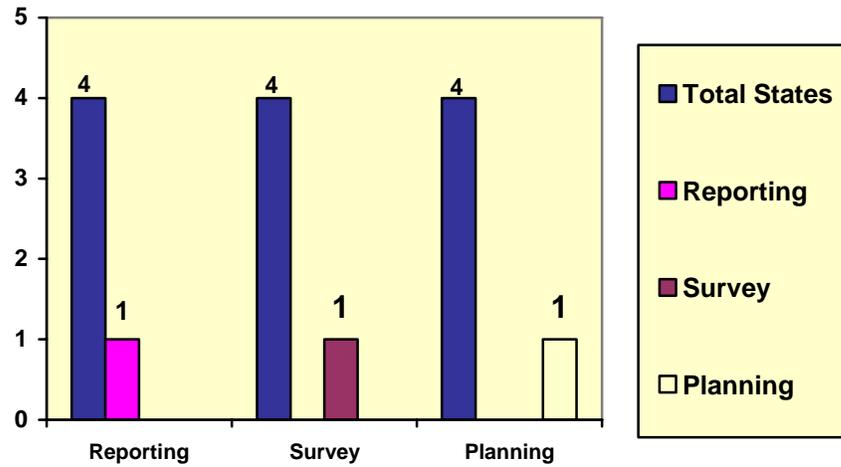


e. Issues with States Priorities for its Occupant Protection Program

This category is an area that reflects numerous issues where each State faces their own specialized issues and no commonalities exist (see figure 5). The three categories that States were cited include:

- Reporting:** This category includes the State that needs to submit their mobilization/crackdown reports in a timely fashion.
- Survey:** State is encouraged to conduct NHTSA compliant Seat Belt Observational survey.
- Planning:** State needs to change/improve their comprehensive approach to OP planning.

Figure 5:
Common Issues of FY05
Special Management Review (OP):
Issues with States Priorities for its
Occupant Protection Program

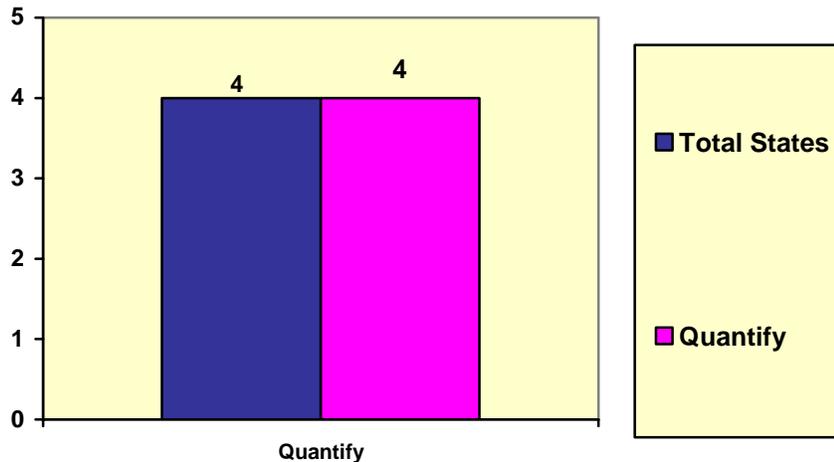


f. Evaluation Issues

The common issue shared by the States with OP evaluation includes establishing quantitative performance reviews (see figure 6).

Quantify: This category includes those States that should adopt quantitative performance reviews of law enforcement and highway safety projects.

Figure 6:
Common Issues of FY05
Special Management Review (OP):
Evaluation Issues



C. Commendations and Program Strengths

With the implementation of new policies and procedures, it takes a committed effort from all parties involved to recognize strong efforts, best practices or exemplary performances which are keen to fulfilling the NHTSA mission. All 13 States are commended for their exceptional cooperation, as well as timely and efficient efforts with providing proper documentation prior to the site visits and during the Special Management Reviews (SMR). A list of individual State commendations and strengths are below:

❖ **Leadership Strengths**

- Dedicated occupant protection positions;
- Good private sector support for traffic safety programs;
- Outreach to minority populations;
- Child safety seat observational survey;
- Strong support from law enforcement community;
- Dedicated occupant protection and mobilization/crackdown coordinator;
- Support of the Click It Or Ticket enforcement campaign; and
- Support from the Governor.

❖ **Project Strengths**

- Strong media support;
- Employment of Law Enforcement Liaisons;
- Broad-based support for increasing funding for law enforcement programs;
- Broad-based support for increasing funding for law enforcement programs;
- Statewide child passenger safety training program;
- Strong support for and from Maine law enforcement community; and
- Developed and implemented a new targeting methodology for grant activities.

❖ **Spending Strengths**

- Strong financial support of impaired driving and occupant protection programs;
- Good private sector support for campaigns;
- Increase in paid media budget for FY 2005;
- Directing a significant amount of 402 funds to impaired driving and occupant protection activities; and
- Efficient and comprehensive information systems.

❖ **Legislation Strengths**

- Comprehensive DUI laws;
- Strong impaired driving laws;
- Enacted and is enforcing the core impaired driving laws;
- Introduction of Child Safety Seat/Booster Seat Bill;
- Introduction of PBL; and
- Active support by partners/advocates for passage of primary safety belt law.

❖ **Strengths with the State's Priorities for its Seat belt and Impaired Driving Program**

- Positioned impaired driving as one of its primary priorities;
- Set high goals and expectations for their impaired driving programs;
- A strong problem identification process and ranking system for selecting projects;
- An experienced and knowledgeable SHSO Coordinator;

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- A sound seat belt observational study; and
- A strong enforcement message.

❖ **Evaluation Strengths**

- Implemented a new citation and accident reporting system;
- Acceptable program evaluation;
- Conducts a thorough evaluation of their child passenger safety media campaign that includes self-reported changes in behavior;
- A sound safety belt observational study;
- Provides specific evaluation criteria or instructions on evaluation;
- efficient and comprehensive information systems; and
- Good contractual resource for data evaluation.