CHAPTER 9 HIGHWAY SAFETY IMPROVEMENT PROGRAM (HSIP)

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CHAPTER 9 HIGHWAY SAFETY IMPROVEMENT PROGRAM (HSIP)

9.1 INTRODUCTION

The Highway Safety Improvement Program (HSIP), codified as Section 148 of Title 23, United States Code (23 U.S.C. §148) was elevated to a core program as a result of the passage of the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). The HSIP replaces the Hazard Elimination Safety (HES) Program under 23 U.S.C. §152. Under this core program, two set aside fundings are made for the Highway-Rail Grade Crossings Program (23 U.S.C. §130) and the new High Risk Rural Roads Program (HR3). Both programs are funded components of HSIP.

To fully obligate HSIP funds for safety projects, each state is required to develop a Strategic Highway Safety Plan (SHSP) and an annual Five Percent (5%) Report showing locations with the highest number of fatalities and severe injuries. The SHSP and the Five Percent (5%) Report are being used to develop California's Strategic Highway Safety Implementation Plan (SHSIP), which is scheduled to be completed in Spring 2008. HSIP funds alone are insufficient to address California's large safety needs. HSIP is only one funding source among many that will be needed to meet the ultimate goal of SAFETEA-LU. That is, to significantly reduce fatalities and severe injuries by focusing resources to the greatest needs that are data and strategically driven.

While the SHSIP is under development, the HSIP administered by the Division of Local Assistance (DLA) has three project categories consisting of **Safety Index**, **Work Type**, and **Traffic Data**. The major category for HSIP funds is Safety Index (SI). The intention of the Work Type Category is to give consideration for projects that are not yet data supported, and the intention of the Traffic Data Category is to improve traffic data collection. Improved traffic data collection will help identify safety opportunities and help fund important safety projects under the SI Category. For clarity, "traffic data" includes all public road and highway users such as automobiles, motorcycles, trucks, buses, bicycles, and pedestrians.

9.2 ELIGIBLE APPLICANTS

The applicant for HSIP funds is an agency that assumes responsibility and accountability for the use and expenditure of federal-aid highway funds. The applicant must be a city or a county within the State of California. Exceptions to this requirement will be reviewed by Headquarters DLA on a case-by-case basis.

9.3 PROJECT ELIGIBILITY

It is the intent of the HSIP that federal funds be expended on important safety projects that can be designed and constructed expeditiously. Projects should not require the acquisition of significant rights of way that are more than ten percent (10%) of construction cost, nor should they typically require extensive environmental review and mitigation beyond the Categorical Exclusion (CE) determination.

HSIP funds are available for expenditure on any highway safety improvement project on any public road, publicly owned bicycle, pedestrian pathway, or trail.

For a construction project to be eligible for HSIP funding, a specific safety problem must be identified for correction, and the project must correct or substantially improve the condition.

Caltrans-initiated safety projects on a state highway that require financial participation by a local agency are eligible for funding. Typically, these types of projects involve new or upgraded traffic signals at an intersection. The number of intersection legs owned by each agency determines the cost-sharing ratio. For example, if a traffic signal is proposed at a 4-legged intersection, 2-legs being a state highway and 2-legs being a local road, the project cost sharing ratio for each agency would be fifty percent (50%). For other special financial arrangements, see Section 4B.104 (CA), Financing, of the *California Manual on Uniform Traffic Control Devices* (California MUTCD) or go to the Caltrans Traffic Operation web site at:

http://www.dot.ca.gov/hqtraffops/signtech/mutcdsupp/.

For a Traffic Data Project to be eligible, it must directly support the gathering and management of traffic data. Projects may consist of traffic counting and detection devices, consultant services, and computer software and hardware equipment. The goals are to assist local agencies to identify safety improvement locations and to help secure HSIP funds under the SI Project Category. Priority will be given to agencies with the greatest need for data collection and management improvement.

9.4 PROJECT CATEGORIES

Described below are the three HSIP Funding Categories.

CATEGORY 1 – SAFETY INDEX PROJECTS

Projects may qualify for HSIP funding based on a calculated SI. If the applicant wishes to compete for funds under the SI Category, additional data will be required as noted on the application form, Exhibit 9-A "Application for Highway Safety Improvement Program Funds," in this chapter. Use the most current available traffic data containing three continuous years of data. Caltrans Headquarters (HQ) staff will calculate the SI for all applications competing under this category.

There are some categories of work that are **ineligible** for the SI funding due to the lack of accident reduction factors and life cycles. Examples include:

- Emergency vehicle priority systems
- Bicycle and pedestrian improvements
- Public transportation facilities
- Traffic calming

Projects will be prioritized statewide by SI. If the SI project fails to get funded under the SI Category, it will automatically be moved into the Work Type Category and re-compete for funding with other Work Type Projects.

CATEGORY 2 - WORK TYPE PROJECTS

The Work Type Category is used to fund projects that cannot be quantified by the SI calculation due to the lack of data. Projects providing evidence of some accident history or accident potential will compete better than projects that do not.

Examples of eligible construction and operational improvements may include, but are not limited to, the twenty-one project categories in the order as listed under 23 U.S.C. §148(a)(3)(B) shown below. There is no funding priority assigned to the list.

(i) An intersection safety improvement.

(ii) Pavement and shoulder widening (including addition of a passing lane to remedy an unsafe condition).

(iii) Installation of rumble strips or other warning devices, if the rumble strips or other devices do not adversely affect the safety or mobility of bicyclists, pedestrians, and the disabled.

(iv) Installation of a skid-resistant surface at an intersection, or other location with a high frequency of accidents.

(v) An improvement for pedestrian, bicyclist safety or safety of the disabled.

(vi) Construction of any project for the elimination of hazards at a railway-highway crossing that is eligible for funding under Section 130, including the separation of protection of grades at railway-highway crossings.

(vii) Construction of railway crossing safety features, including installation of protective devices.

(viii) The conduct of a model traffic enforcement activity at a railway-highway crossing.

(ix) Construction of a traffic-calming feature.

(x) Elimination of a roadside obstacle.

(xi) Improvement of highway signage and pavement markings.

(xii) Installation of a priority control system for emergency vehicles at signalized intersections.

(xiii) Installation of traffic control or other warning devices at a location with high accident potential.

(xiv) Safety-conscious planning.

(xv) Improvement in the collection and analysis of crash data. ***(Note: Eligible under Category 3)***

(xvi) Planning integrated interoperable emergency communications equipment, operational activities, or traffic enforcement activities (including police assistance) relating to work zone safety. **(*Note: Not eligible under HSIP as a stand alone project unless it is part of a Construction Project for a Construction Zone Enhancement Enforcement Program*.)**

(xvii) Installation of guardrails, barriers (including barriers between construction work zones and traffic lanes for the safety of motorists and workers), and crash attenuators. ***(Note: Includes barrier rail and guardrail on structure or its approaches.)***

(xviii) The addition of retrofitting of structures or other measures, to eliminate or reduce accidents involving vehicles and wildlife.

(xix) Installation and maintenance of signs (including fluorescent, yellow-green signs) at pedestrian-bicycle crossings and in school zones.

(xx) Construction and yellow-green signs at pedestrian-bicycle crossings and in school zones.

(xxi) Construction and operational improvements on high risk rural roads.

Some of the Work Type Categories are broad in nature. Consult the District Local Assistance Engineer (DLAE) for clarifications or questions on project categories and/or eligibility.

CATEGORY 3 – TRAFFIC DATA PROJECTS

This category is eligible under 23 U.S.C. §148(a)(3)(B) (xv) for "Improvement in the Collection and Analysis of Crash Data." The new category gives local agencies an opportunity to install "traffic data collection and analysis systems" (for vehicles, bicyclists and/or pedestrians) to identify locations with the greatest safety needs.

Eligible projects include elements to improve traffic data collection and the analysis of crash data that will lead to better identification of safety improvement locations and effective implementation of countermeasures.

Projects may be minor construction work such as installation of detector loops and poles for electronic devices. Right of way acquisition cost will not be allowed for reimbursement under the Traffic Data Category. This cost, if needed, will be at agency's expense.

Examples of eligible traffic data collection work may include the following:

- Detector loops for traffic counting
- Video cameras
- Controller cards and cabinets for traffic data collection
- Traffic counting equipment
- Computer software and hardware to store, retrieve, and analyze traffic data
- Geographic Code Mapping
- Consultant Services to develop a comprehensive or a systematic process to improve data collection and crash analysis
- Emergency Medical Service database link for traffic data collection and analysis
- Special traffic data collection for bicycles and pedestrians or others

Project call for this category will be separate from Categories 1 and 2.

A new project application with instructions is being developed and will soon be available on our web site at:

http://www.dot.ca.gov/hq/LocalPrograms/.

Be sure to check periodically for announcements, updates, and project application information.

9.5 FUNDING

The approximate amounts of federal-aid highway safety funds available for the local HSIP program in Federal Fiscal Year (FFY) 2007/2008 and 2008/2009 are $32 million and $54 million, respectively.

Approximately fifty percent (50%) to seventy percent (70%) will be targeted for SI Projects, twenty percent (20%) to thirty percent (30%) for Work Type Projects, and up to twenty percent (20%) maximum for Traffic Data Projects.

Actual percentages to each project category are contingent upon the amount of federal funds requested under each category. However, the SI Category will continue to receive the majority of HSIP funds.

Under the SI and Work Type Categories, project costs eligible for federal reimbursement include:

- **Preliminary Engineering**
  - Environmental Studies (NEPA Clearance required)
  - Preparation of Plans, Specifications and Estimates (PS&E)
- **Right of Way**
  - Engineering
  - Appraisal and Acquisition
  - Utilities
- **Construction**
  - Construction Engineering
  - Construction

Under the Traffic Data Category, right of way costs are ineligible.

The maximum federal reimbursement ratio for all HSIP projects will be ninety percent (90%) or up to a maximum federal reimbursement amount of $900,000 for any one project. All project expenses incurred over the $900,000 maximum will be the responsibility of the project sponsor and will not be eligible for reimbursement. The actual project reimbursement ratio will be determined when the "Authorization to Proceed" is approved. Requests for additional federal funds that exceed the original amount shown in the agency's application will not be granted except in unusual circumstances and are subject to the availability of funds. Poor planning and deficient preliminary engineering work are not considered unusual circumstances.

An HSIP candidate project submitted by a local agency that identifies financial participation by Caltrans must include a letter of support from Caltrans. The financial and project administration responsibilities of each agency must be detailed in a future executed Cooperative Agreement. The HSIP Application Form should contain a reasonable estimate of all cost-sharing ratios and amounts.

9.6 AGENCY APPLICATION

The "Application Form for Highway Safety Improvement Program Funds," Exhibit 9-A, in this chapter must be completed in its entirety and accompany all application submittals.

Instructions for completing the form are shown in Exhibit 9-B "Application Form Instructions For HSIP Funds," in this chapter. *Note: Some data fields do not require an entry for a Work Type Project, but are required for the SI Project*.

The local agency should consult with the DLAE on planned and/or programmed state highway safety projects that will require financial participation by a local agency. If Caltrans will be delivering a safety project that requires financial participation by a local agency, then the local agency must submit the HSIP application for the project in order to be eligible for federal reimbursement of its share of project costs. Submittal of a project application does

not guarantee that the project will be approved for funding; however, Caltrans will make every effort to fund these types of cooperative projects. In the HSIP application, the local agency should only include cost estimates for the local agency's share.

A local agency must submit candidate projects to its respective Caltrans District Office, directed to the attention of the DLAE, by the designated deadline. An original application, plus two copies, is required. Any maps, schematics, drawings, figures, or photographs that are attached to the application should be made on 8-1/2 x 11-inch paper.

Candidate projects must include cost estimates for all phases of the project.

Candidate projects must include estimated dates when various project milestones will be completed.

SI Projects must contain supportive documentation on accident histories. Work Type Projects should contain some information on accident histories or a description of the potential for accidents. Collision diagrams should be submitted when available. Photographs to better illustrate the problem are encouraged.

Schematic drawings or plans showing the general nature and location of the proposed improvements should be submitted for all projects.

A local agency submitting two or more candidate projects must prioritize them within the category each project is under.

9.7 Application Review and Project Selection Process

Projects competing for funding under the SI Category will be prioritized in descending order, statewide, by the calculated SI. Caltrans HQ DLA staff will calculate the SI for all projects competing under the SI Category. For informational purposes, the SI calculation worksheet and instructions are posted on the DLA web site at: www.dot.ca.gov/hq/LocalPrograms/hsip.htm.

SI Projects that fail to receive funding under the SI Category will re-compete for funding under the Work Type Category.

Work Type candidate projects will be rated on the following list of factors:

- Identification and demonstration of needs.
- Potential for proposed improvements to correct or improve the problem.
- Potential for timely implementation of the project.
- Urgency of project.
- Agency's past performance of HES project delivery.
- Project site is within a listed location in the Five Percent (5%) Report.
- Project implements a prioritized safety action item in the SHSIP report (this factor will only be used after the release of the SHSIP report, which is anticipated to be in spring.

Candidate projects that are ready to submit a Request for Authorization to Proceed with Construction will compete more favorably.

The DLAE may establish a District Review Committee to prioritize and rank all Work Type Projects. The composition of this committee may vary from district to district. It may be comprised in various combinations of representatives from Caltrans, FHWA, local governmental agencies, state or local law enforcement officials, health service agencies, and community based organizations.

The DLAE will submit a prioritized list of Work Type Projects to HQ DLA.

HQ DLA staff will review and rank all projects on a statewide basis and post an approved list of projects on the HSIP web site at: www.dot.ca.gov/hq/LocalPrograms/hsip.htm.

The DLAE will inform all applicants of the results.

9.8 PROJECT PROGRAMMING AND IMPLEMENTATION

Caltrans HQ DLA will send the Metropolitan Planning Organizations (MPOs) the list of projects approved for funding and will request the MPOs to amend their Federal Transportation Improvement Program (FTIP) and program the projects under the Lump Sum-Safety Project. Caltrans, acting as MPO for the rural Regional Transportation Planning Agencies (RTPA), will amend the Federal Statewide Transportation Improvement Program (FSTIP) accordingly. Projects cannot proceed with any phase of implementation unless the projects are included in the approved FSTIP.

Once programmed into FSTIP, projects must be processed and implemented in accordance with the federal procedures contained in the *Local Assistance Procedures Manual* (LAPM).

Federal funds are considered obligated to each project phase when the FHWA approves the "Request for Authorization" (see Chapter 3, "Project Authorization," of the LAPM).

Projects cannot proceed with any phase of reimbursable work (Preliminary Engineering, Right of Way, or Construction) until the DLAE provides the local agency with the written "Authorization to Proceed" for each project phase.

All costs associated with any phase of work performed prior to receiving written "Authorization to Proceed" from Caltrans will not be eligible for reimbursement.

9.9 DESIGN STANDARDS

Chapter 11, "Design Standards" of the LAPM describes statewide design standards, specifications, procedures, guides, and references that are acceptable in the geometric, drainage, and structural design of local assistance projects. The chapter also describes design exception approval procedures. These standards and procedures shall be used for all HSIP projects on the local road system.

If a project contains a bikeway component, it shall be designed in accordance with the *Caltrans Highway Design Manual* and the California MUTCD. Exceptions to using these standards will be handled in accordance with the exception approval process described in the appropriate manual.

All projects must meet the requirements of the Americans with Disabilities Act of 1990 (ADA) and Section 504 of the Rehabilitation Act of 1973. For more information on ADA compliance, please refer to Chapter 11, "Design Standards," of the LAPM, or go to the DLA web site at:

http://www.dot.ca.gov/hq/LocalPrograms/DBE_CRLC/DBE_CRLC.html#ADA

All projects must upgrade nonstandard safety features to the appropriate standard when those features are within the scope and work area of the project. Requests for exceptions to this requirement will follow appropriate procedures.

A local agency that proposes to install an experimental traffic control device on a public roadway shall follow the process prescribed in Section 1A.10 of the California MUTCD. The California MUTCD is available at the following web link:

http://www.dot.ca.gov/hq/traffops/signtech/mutcdsupp/.

The local agency shall also comply with the experimental process of the California Traffic Control Devices Committee. For more information on that process, go to:

http://www.dot.ca.gov/hq/traffops/signtech/newtech/others/guidelines-exp.pdf

All projects containing Intelligent Transportation System (ITS) components shall comply with federal ITS regulations. See Chapter 12.6, Intelligent Transportation Systems, of the *Local Assistance Program Guidelines* (LAPG). This manual is available at the following web link:

http://www.dot.ca.gov/hq/LocalPrograms/public.htm

9.10 GENERAL RULES AND POLICIES

To ensure the integrity of the HSIP and the expeditious expenditure of program funds for needed safety projects, general rules and policies under this section are to be followed. Additionally, current and future statewide policies and guidelines for project delivery are also included as part of this section.

A successful candidate project should be federally programmed by its governing MPO within six (6) months after the award notification date. Programming delays may result in actions to re-award funds to another project.

MILESTONES

Inactive projects tie up limited program funds that can be used by other local agencies for their safety needs. To ensure that all programmed projects are delivered in a timely manner, each project will be monitored with the following six target milestones starting from its programmed date in the FSTIP:

1) Request Authorization to Proceed with PE (**30 days** after federal approval of the FSTIP)
2) Obtain Environmental Clearance (NEPA) (**1 year** after receipt of Authorization to Proceed with PE)
3) Request Authorization to Proceed with Right of Way (**60 days** after Environmental Clearance)
4) Request Authorization to Proceed with Construction (**7 months** after receipt of Authorization to Proceed with Right of Way)
5) Complete Construction of Project (**12 months** after receipt of Authorization to Proceed with Construction)
6) Complete Formal Project Close out (**6 months** after complete construction of project)

Projects should be able to start and be constructed within thirty-six (36) months after the federal approval date of the FSTIP. The project should be closed out formally within 180 days after the completion of the construction.

For nonconstruction Traffic Data Projects, the target milestone for Environmental Clearance and Right of Way Authorization to Proceed are not applicable. The following two target milestones for these Traffic Data Projects:

1) Request Authorization to Proceed with PE (**30 days** after federal approval of FSTIP)
2) Complete formal project close out **6 months** after project completion

Failure to complete or to proceed to the next milestone of a project would be justifiable ground to drop that project from the program and initiate the de-obligation of federal funds process. Requests for time extension beyond thirty-six (36) months after the federal approval date of the FSTIP will not be automatic and will be evaluated on a case-by-case basis by HQ DLA. Requests for extension must include a commitment to a timely project completion date and a revised work plan

STATUS REPORTS

Local agencies are required to provide an update of project schedules and costs on July 1 of each year for all projects that have not received "Authorization to Proceed" with the construction phase of the project. A local agency that fails to provide this annual update may have their project dropped from the program. The report should be mailed or e-mailed to the appropriate DLAE. A sample "Project Status Report" is included in our web site and can be downloaded from the HSIP web site at: www.dot.ca.gov/hq/LocalPrograms/hsip.htm.

EXPENDITURE ACTIVITY

A project is subject to be dropped from the HSIP if the recipient agency does not submit an invoice within the first nine (9) months after the authorization date of project and at least once every six months thereafter.

9.11 PROJECT EVALUATIONS

Federal directives require that improvements constructed with federal safety funds be evaluated after the project is completed. Applicants that receive funding for a project may be asked to collect and submit data to Caltrans. Typically, two years of "**before**" data and two years of "**after**" data are sufficient for analysis. Positive safety benefits documented on constructed projects will help justify continued funding at or above current funding levels.

9.12 FEDERAL PROGRAM CODES AND PROJECT PREFIXES

The federal program code for the HSIP is **LS30**.

The project prefix to be used with HSIP Projects is **HSIPL**.

For additional information on program codes and project prefixes, see Exhibit 3-M of the LAPM.

REFERENCES

Title 23, United States Code, Section 148

California Streets and Highways Code, Sections 2330-2334

Caltrans *Local Assistance Program Guidelines* (LAPG)

Caltrans *Local Assistance Procedures Manual* (LAPM)

Caltrans *Highway Design Manual*

California Manual on Uniform Traffic Control Devices (California MUTCD)

EXHIBIT 9-A APPLICATION FOR HIGHWAY SAFETY IMPROVEMENT PROGRAM (HSIP) FUNDS

Applicants seeking Highway Safety Improvement Program (HSIP) funds must use this form. Failure to provide information that is required, or failure to prepare the application in accordance with general formatting instructions may result in your application being disqualified. See Exhibit 9-B "Application Form Instructions for HSIP Funds" for assistance in completing this form.

This entire Application Form must be submitted. Applicants should download the Application Form from the Division of Local Assistance HSIP web site at: www.dot.ca.gov/hq/LocalPrograms/hsip.htm.

Limit the application to eight (8) pages plus attachments. Do not provide brochures and samples of materials unless they are directly related to a response.

Agency: _____

Date: _____

Total number of applications being submitted by your agency: _____

Rank of this project (Note: Each project application must have a different rank): _____

Name of Contact Person: _____

Telephone: _____

E-mail: _____

Mailing Address:

Street: _____ **City:** _____ **Zip:** _____

County: _____

Caltrans District: _____

MPO: _____

Project Location:

_____

Description of Proposed Improvement(s):

_____

Does proposed improvement(s) include Intelligent Transportation System components as defined in Chapter 12.6, Intelligent Transportation Systems, of the LAPG? _____**YES** _____**NO**

Type of Improvement (See Exhibit 9-B: Application Form Instructions for HSIP Funds**):**

*(Item 1 to 20: Select from the first box; Item 21 to 34: Select from the second box. Select one only.)

_____ _____

Intersection or Road Section (Select one. If it is a road section, indicate section length.):

☐ Intersection

☐ Road Section Section Length (Miles): _____

Speed Limit (mph): _____

Number of Lanes: _____

Functional Classification (select one): _____

Visit http://web1.dot.ca.gov/hq/hpms/Page1.php to verify the functional classification.

Average Daily Traffic (ADT) (Current, all directions) (required for Safety Index Project): _____

Traffic Collision Information (required for Safety Index Project):

If "1. Roadway Illumination (where no lighting exists)" is selected as Type of Improvement, enter only night-time collisions.

Time Period	_____ to _____		
Collision Type	Fatal	Injury	Property Damage Only (PDO)
Number of Collisions (**NOT** Number of Victims)	_____	_____	_____

Project Cost Estimate

Complete the following "Project Costs Estimate" section. Include only those costs that are being requested for this project. For the three (3) primary headings, identify the Federal Fiscal Year in which funds should be programmed.

PROJECT COST ESTIMATE: (REQUIRED)

		Federal Fiscal Year
Preliminary Engineering		____
Environmental ……..	$_____	
PS&E ……	$_____	
Right of Way		____
Engineering ……..	$_____	
Acquisition ……...	$_____	
Construction		____
Construction Engineering …….....	$_____	
Construction …….....	$_____	
Subtotal ……..	**$**_____	
Contingency (10% of Subtotal; max) …...	$_____	
Total Project Cost ……...	**$**_____	
Federal Funds Requested ……...	$_____	

The following parts of this Application Form request specific project-related information. Sections 1 and 2 request the applicant to provide a detailed narrative description related to a specific topic. If pictures, maps, exhibits, data, diagrams, etc., are submitted in response to questions or statements in the application, they must be attached to the application.

1. IDENTIFICATION AND DEMONSTRATION OF NEED

This section requires the applicant to demonstrate the need for the project. Using the following questions and statements as a guide, provide a detailed narrative description of the problem.

Provide some background information about the problem. How was the problem identified? How long has the problem existed? Describe the primary cause(s) of the collisions that have occurred at the location. Given that other problems may exist within the applicant's jurisdiction, explain why this problem was chosen for improvement. Use whatever collision data, traffic data, community surveys, reports, plans, and other environmental conditions that may apply. Describe the urgency of project and the agency's commitment to deliver project regardless of HSIP funds.

If available, provide photographs to illustrate the problem or deficiency. Include these photographs as attachments.

_____

2. POTENTIAL FOR PROPOSED IMPROVEMENT TO CORRECT OR IMPROVE THE PROBLEM

This section requires the applicant to describe how the proposed solution will improve the safety of the public. The applicant must clearly demonstrate the connection between the problem and the proposed solution.

Describe how the proposed project corrects, or improves the traffic safety at or near the project site.

_____

Describe options, or alternatives that were considered.

_____

3. IMPLEMENTATION SCHEDULE

Applicants must estimate dates for the following milestones:

Request Authorization to Proceed with Preliminary Engineering …… _____

Obtain Environmental Clearance (NEPA) …… _____

Request Authorization to Proceed with Right of Way (if applicable) ….. _____

Obtain Right of Way Clearance …… _____

Request Authorization to Proceed with Construction ……... _____

Complete Construction of Project ……. _____

4. PROJECT SITE IS A LISTED LOCATION IN THE CURRENT CALIFORNIA FIVE PERCENT (5%) REPORT

_____Yes, _____LOCATION IDENTIFICATION NUMBER
(See Five Percent (5%) Report, Appendix B)

For web site access to the Five Percent (5%) Report, go to: http://safety.fhwa.dot.gov/fivepercent/index.htm or contact your District Local Assistance Engineer for assistance.

5. APPLICATION SIGNATURES

An agency official representing the applicant must sign the application. The undersigned affirms that the statements contained in the application package are true and complete to the best of the applicant's knowledge. The undersigned also affirms that the applicant's agency owns, operates and maintains the facility upon which the proposed improvements will be constructed. If portions of the improvements extend into areas where the applicant has no jurisdictional authority, a notation must be made that officials representing the affected local agencies support the project. In the notation, provide names and telephone numbers of whom to contact for corroboration. Only one agency official needs to sign the application. "Agency Official" means Director, Assistant Director, Executive Director, Assistant Executive Director, or their respective designated administrators, engineers, or planners.

Agency Official: _____ (Name)

_____ _____
Signature Date

Title: _____

Phone Number: _____

E-mail: _____ *(If available)*

Notation: *(If applicable)*

_____

Distribution: Original and two copies – DLAE

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EXHIBIT 9-B APPLICATION FORM INSTRUCTIONS FOR HSIP FUNDS

Applicants should submit the original application and two copies to the respective Caltrans District Offices, directed to the attention of the District Local Assistance Engineer (DLAE), by the designated deadline.

Download the Application Form from the Division of Local Assistance HSIP web site at: www.dot.ca.gov/hq/LocalPrograms/hsip.htm.Limit the application to eight (8) pages plus attachments. Do not provide brochures and samples of materials unless they are directly related to a response. Any maps, schematics, drawings, figures and/or photographs attached to the application should be made on 8-1/2 x 11-inch paper.

For projects that involve multiple locations, a separate form must be submitted for each spot location.

For projects that involve roadway segments that exceed 1 mile in length, a single application may be submitted if the Average Daily Traffic (ADT) throughout the project's limits does not vary by more than 20%.

The application form contains the following fields:

Agency: Provide the name of your agency.

Date: Indicate the Application Date.

Total number of applications being submitted by your agency: Provide the total number of applications being submitted by your agency for HSIP Funds, including this application.

Rank of this project: Rank of this project among all the applications submitted by your agency. “1” means the highest priority. Each project application must have a different rank.

Name of Contact Person: Name of the contact person for this application.

Telephone: Telephone number of the contact person.

E-mail: E-mail address of the contact person.

Mailing Address: Mailing address of the contact person for this application.

County: Name of the County where the proposed project will be constructed.

Caltrans District: From the drop-down list, select the Caltrans District (1 to 12) where the proposed project will be constructed.

MPO: From the drop-down list, select the MPO (Metropolitan Planning Organization) that will be involved with the programming of the project in the FTIP. Select “Other” if not applicable. The following 18 MPOs are available from the drop-down list:

AMBAG: Association of Monterey Bay Area Governments
BCAG: Butte County Association of Governments
COFCG: Council of Fresno County Governments
KCAG: Kings County Association of Governments
KCOG: Kern Council of Governments
MCAG: Merced County Association of Governments
MCTC: Madera County Transportation Commission
MTC: Metropolitan Transportation Commission
SACOG: Sacramento Area Council of Governments
SANDAG: San Diego Association of Governments
SJCOG: San Joaquin Council of Governments
SLOCOG: San Luis Obispo Council of Governments
SBCAG: Santa Barbara County Area of Governments
SCRTPA: Shasta County Regional Transportation Planning Agency
SCAG: Southern California Association of Governments

STANCOG: Stanislaus Council of Governments
TCAG: Tulare County Association of Governments
TMPO: Tahoe Metropolitan Planning Organization

Project Location: Provide road name and/or geographical references to project location.

Description of Proposed Improvement(s): Describe the proposed improvements.

Intelligent Transportation Systems Component: Answer "yes" or "no." If the reply is "yes," Chapter 12.6 of the LAPG shall be followed.

Type of Improvement: Proposed type of improvement. Select one (and only one) from the predefined list (see below).

Type of Improvements

1. Roadway Illumination (where no lighting exists)
2. Relocation or Breakaway Utility Poles
3. Traffic Signs (General)
4. Curve Warning Arrows
5. Advance Curve Warning with Advisory Speed
6. 4-Way Stop
7. Upgrade with Breakaway Supports
8. Upgrade Median Barrier (includes new median barrier)
9. Remove Obstacles
10. New Traffic Signals
11. Upgrade Guardrail (include new guardrail)
12. Impact Attenuators
13. Upgrade Traffic Signals (includes interconnection)
14. Sight Distance Improvement
15. Construct Raised Median for Traffic Separation
16. Groove Pavement for Skid Treatment
17. Turning Lanes (except for new left-turn lane) and Traffic Channelization
18. New left-turn lane at signalized intersection (with no left-turn phase)
19. New left-turn lane at signalized intersection (with left-turn phase)
20. New left-turn lane at nonsignalized intersection
21. Two-way left-turn lane
22. Pavement Markings and Delineation
23. Widen or Improve Shoulder
24. Flatten Side Slopes
25. Realign Roadway
26. Overlay for Skid Treatment
27. Reconstruction (combinations & miscellaneous)
28. Emergency Vehicle Priority Systems
29. Bicycle/Pedestrian Improvements
30. Public Transportation Facility
31. Traffic Calming
32. Red Light Running Detection System
33 In-pavement Crosswalk Lights
34. Other

Item 28, 29, 30, 31, 32 and 33 are eligible improvements for Work Type projects, but not for Safety Index projects.

Intersection or Road Section: Check the appropriate description. If it is for a road section, indicate the length of the road section in miles.

Speed Limit (mph): Indicate the speed limit.

Number of Lanes: Indicate the total number of travel lanes of the road (both directions). Do not include left-turn lanes, right-turn lanes or two-way turn lanes. If it is an intersection, use the average number of lanes of the roads approaching the intersection. For example, if 2 approaches have 2 lanes each, and 2 other approaches have 1 lane each, the average number of lanes is 1.5.

Functional Classification: Select one from the following twelve categories:

01-Rural Principal Arterial Interstate
02-Rural Other Principal Arterial
06-Rural Minor Arterial
07-Rural Major Collector
08-Rural Minor Collector
09-Rural Local
11-Urban Principal Arterial Interstate
12-Urban Principal Arterial - Other Fwys or Expwys
14-Urban Other Principal Arterial
16-Urban Minor Arterial
17- Urban Collector
19- Urban Local

Visit http://web1.dot.ca.gov/hq/hpms/Page1.php to verify the functional classification.

Average Daily Traffic (ADT):

Indicate the existing (or most current) ADT volume of the proposed location. The ADT is required to qualify as a Safety Index project.

If the proposed improvement is at an intersection, add the existing (or most current) ADT volumes approaching the intersection from all directions. The ADT is the combined traffic volume of all approaches to the intersection on an average day.

If the proposed improvement is not at an intersection, the ADT is the number of vehicles that use the section of roadway proposed for improvement in both directions on an average day.

Traffic Collision Information:

The information to be provided in the table is required to qualify as a Safety Index project.

Do not include unreported collisions since the evaluation formula has already been adjusted to account for this anomaly. Collision summary reports that corroborate the values must be attached to the application. Do not attach the law enforcement collision reports.

For spot improvements, collisions that occurred within 1/10 mile may be included.

For corridor or linear improvements, collisions that occurred within the corridor plus collisions that occurred within 1/10 mile of the ends of the project limits may be included.

For intersection improvements, collisions that occurred within 300 feet of the intersection in all directions may be used. If the distance to the nearest intersection is less than 600 feet, only those collisions that occurred from midblock may be used.

If “1. Roadway Illumination (where no lighting exists)” is selected as Type of Improvement, enter only night-time collisions.

Time Period: The time period of the collision data provided. Data should be provided for at least the last three years.

Number of Collisions: The number of the collision occurrences **(not number of victims)** in the time period per three severities: Fatal, Injury and Property Damage Only (PDO).

Project Cost Estimate: See the Application Form.

Identification and Demonstration of Need: See the Application Form.

Potential for Proposed Improvement to Correct or Improve the Problem: See the Application Form.

Implementation Schedule: Estimated dates of the project implementation milestones.

Project Site is a Listed Location in the Current California Five Percent (5%) Report: See the Application Form.

Application Signatures: See the Application Form.

EXHIBIT 9-C PROJECT STATUS REPORT

PROJECT STATUS REPORT
Due July 1 each year
(*Required only if a Construction Contract has not been awarded by July 1***)**

Agency:_____ **Date:**_____

Project Number: *(to be completed by Caltrans District)*

Project Location: _____
_____

Work Description: _____
_____
_____
_____

Original Project Award Date: _____

Current Project Award Date: _____

If "current project award date" is not within the same federal fiscal year as the "original projected award date," attach letter requesting time extension.

Original Cost Estimate: _____

Current Cost Estimate: _____

Reason for Difference (increase or decrease)**:** _____
_____
_____

Other
Comments:_____
_____
_____

Prepared by:_____
E-mail:_____
Telephone:_____

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