

North Carolina Department of Transportation
Division of Highways
Traffic Engineering and Safety Systems Branch

STANDARD PRACTICE
For
Funding and Implementation of Spot Safety Projects

It will be the standard practice of NCDOT to use the following procedures for funding and implementing Spot Safety Projects.

Spot Safety Program funding participation is limited to a maximum of \$250,000 per project. Spot Safety projects may be proposed by either the Division or the Region Traffic Engineer (RTE).

For proposed Spot Safety projects, the following steps will be required:

- (a) identify the problem,
- (b) determine a proposed treatment,
- (c) perform a crash analysis for the location using TEAAS,
- (d) perform a traffic signal warrant analysis (if applicable) using PC Warrants – Windows,
- (e) the Division shall provide all necessary city/county resolutions,
- (f) the Division shall prepare a cost estimate that includes, but is not limited to, Division design costs, Right-of-Way (ROW), utilities, construction, mobilization, and traffic control,
- (g) and request a cost estimate from Signals & Geometrics (if applicable) for traffic signal and communications design costs,

For Spot Safety projects proposed by the Division, the Division will complete all of the required steps and will submit the Spot Safety project to the appropriate RTE. For Spot Safety projects proposed by the RTE, the RTE will complete the required steps other than those required by the Division.

The RTE will add all Spot Safety projects into their individual Spot Safety databases. Each RTE will submit their database to the Traffic Engineering Safety Programs Unit by the third Friday of each month. Prioritization of projects will not be required for this submittal.

The RTE will also be required to submit an up-to-date database to the Traffic Engineering Safety Programs Unit at least three weeks prior to Safety Oversight Committee meetings. Safety Oversight Committee meetings are held quarterly on Board of Transportation Thursdays in January, April, July, and October. This submittal will be prioritized by the Division and Regional priorities.

Designated Traffic Engineering and Safety Systems Branch (TESSB) representatives will review and select Spot Safety projects based on available funding and statewide

priorities for submittal to the Safety Oversight Committee. Three months prior to the Board of Transportation meeting, the Safety Oversight Committee will review and evaluate the submitted projects. Projects receiving approval from the Safety Oversight Committee will be submitted to the Board of Transportation for funding approval (i.e.: projects approved by the Safety Oversight Committee in January will be submitted to the Board of Transportation for funding approval in April).

For critical Spot Safety projects that may need to be funded before the next scheduled quarterly meeting of the Safety Oversight Committee, expedited funding may be requested. To request expedited funding, the Division Engineer should make a request in writing to the State Traffic Engineer with the project information, estimated project cost, and justification for acceleration of project funding. The State Traffic Engineer will contact Safety Oversight Committee members via mail to obtain approval/disapproval of the expedited request.

Within five days of a Safety Oversight Committee meeting, the following individuals will be notified of committee approved projects that are pending Board of Transportation funding approval:

- Division Engineers,
- Division Operations Engineers,
- Division Traffic Engineers,
- Project Managers or others identified by Division Engineers,
- and Regional Traffic Engineers (with copies to Director of Preconstruction, Chief Engineer – Operations, Deputy Chief Engineer – Operations, Operations Program Manager, State Traffic Engineer, Traffic Engineering Programs Unit Head, Traffic Management & Signal Systems Unit Head, Signals & Geometrics Section Head, Signals & Geometrics Spot Safety Project Engineer, and Field Support Section personnel).

Within five days of the Safety Oversight Committee meeting or approval of expedited requests, WBS elements will be set up for Preliminary Engineering (PE) design costs that will be incurred by Divisions and TESSB Design Units for each selected Spot Safety project. It is imperative that the correct WBS element is used for the PE of each project. Preliminary Engineering WBS elements are set up using a federal funding source and must be closely monitored. Because federal funding is limited, only personnel involved with the Spot Safety project should charge to the WBS element, and these charges should accurately reflect actual time worked on the project. Separate WBS elements using state funding will be established for ROW and construction.

Preliminary Engineering design work will be started by the appropriate Division or TESSB Unit following notification of Safety Oversight Committee approval and establishment of the appropriate WBS element. Design work should be completed by the time the Board of Transportation approves and awards funding for all projects except those requiring ROW. For projects requiring ROW, a completed design should be provided to the Division ROW Agent no less than 30 days prior to the Board of Transportation meeting at which the project is scheduled to be approved.

Upon receipt of the completed design, the Division ROW Agent should conduct all negotiations prior to Board approval and be prepared to make an official offer to the property owners the day following funding approval. The Division ROW Agent should provide estimates for utility relocations and adjustments to the RTE. Additionally, the Division ROW Agent should handle all utility conflicts directly with the utility owners and providers, and coordinate utility conflicts and relocations through the Right-of-Way Utility Section for utility relocation authorization, reimbursements and payments.

Upon Safety Oversight Committee approval, "Request for Spot Safety Funds" forms will be printed by RTE offices and provided to Division Engineers for their signatures. All signed forms shall be submitted to the Traffic Engineering Programs Unit prior to Board of Transportation approval and funding of the projects. After Board of Transportation approval and funding, the Traffic Engineering Programs Unit will complete the forms and retain the originals in Spot Safety files maintained by the Traffic Engineering Programs Unit. Copies will be distributed to appropriate Division Engineers and RTEs. Additionally, one copy will be kept in a notebook maintained by the Traffic Engineering Programs Unit.

Board of Transportation approval and funding will generally occur approximately 90 days from Safety Oversight Committee approval. Once approved and funded, the project is to be constructed within 12 months.

Pursuant to General Statute 136-11.1, it is required that cities and counties are notified and given 45 days to express their views when projects are over \$150,000 (notification is also required for projects totaling over \$150,000 which use companion funds). Divisions will be responsible for notifying appropriate city and county representatives in sufficient time for a response prior to the scheduled Board of Transportation approval and funding. If a city or county resolution for a project has been received, no further action is needed. See TEPL topic # F-20 for additional information.

The Spot Safety Program is a state-funded program. However, federal funds are occasionally obtained for ROW and construction of Spot Safety projects. Federally funded Spot Safety projects usually have a TIP number with the prefix "SI." When federal funds are used for ROW and construction, Divisions are required to submit categorical exclusions to Project Management and to obtain Metropolitan Planning Organization (MPO) approval (when project is within MPO boundaries) prior to obtaining a WBS element for construction. Additionally, inmate labor is not allowed on federally funded projects.

Once projects are funded, the Traffic Engineering Safety Systems Branch will provide an electronic copy of the Spot Safety Status Reports by the Wednesday following each Board of Transportation meeting to the following individuals:

- Division Engineers,
- Division Operations Engineers,
- Division Traffic Engineers,

- Project Managers or others identified by Division Engineers, and
- Regional Traffic Engineers (with copies to Director of Preconstruction, Chief Engineer – Operations, Deputy Chief Engineer – Operations, Operations Program Manager, State Traffic Engineer, Traffic Engineering Programs Unit Head, Traffic Management & Signal Systems Unit Head, Signals & Geometrics Section Head, Signals & Geometrics Spot Safety Project Engineer, and Field Support Section personnel).

Each Division is responsible for providing an updated status of their funded Spot Safety projects to the Traffic Engineering Safety Programs Unit by the Wednesday prior to each Board meeting.

The Traffic Engineering Safety Programs Unit will enter the updated status of each project in the Spot Safety database and will generate a Spot Safety Status Report. This report will be provided to the State Traffic Engineer by the Tuesday prior to each Board meeting. Additionally, the status of all Spot Safety Program projects will be updated and made available at the following web site address prior to each Board meeting: <http://www.doh.dot.state.nc.us/preconstruct/traffic/area/>.

If a project needs additional funds after the initial Board approval, the Division must submit a request and justification for additional funds to the local RTE's office. If questions arise regarding the additional funding request, the RTE may directly contact appropriate Division personnel for additional information. Upon satisfactory completion of the additional funding request, the RTE will submit the request to the State Traffic Engineer for approval. If approved by the State Traffic Engineer, the funding increase will be submitted at the earliest possible Board of Transportation meeting for final approval.

When a project is completed, the Division is responsible for making a request to Fiscal to close the project. Pursuant to the "Resolution for Increasing Funds to Cover Overdrafts Procedures for Closing WBS Elements" that was approved at the August 2003 Board of Transportation meeting, the Chief Financial Officer is authorized to cover overdrafts up to 5% of the budgeted amount, not to exceed \$10,000, when closing projects. Funds to cover these overdrafts are to be appropriated from the original funding source.