

**Traffic Safety Culture Transportation Pooled Fund (TSC-TPF)**  
**Management Plan**

Prepared for:

Montana Department of Transportation and the Traffic Safety Culture Transportation Pooled  
Fund States

Prepared by:

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*Adopted on April 3, 2016*

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## EXECUTIVE SUMMARY

### Introduction

The Traffic Safety Culture Transportation Pooled Fund (TSC-TPF) management plan was adopted on April 3, 2016. The key purposes of the TSC-TPF Management Plan are as follows:

- to provide an overview of why the TSC-TPF was formed, which can be used to explain the program to organizations unfamiliar with the initiative;
- to define the management of the TSC-TPF including roles and responsibilities, and processes;
- to define the TSC-TPF charter and operating rules.

### TSC-TPF

The TSC-TPF program represents a forum with a vested interest in bolstering the concept and understanding of “culture” in traffic safety while supporting the “Toward Zero Deaths (TZD)” National Strategy which includes eliminating crash fatalities and serious injuries. TSC-TPF was established by a group of U.S. states led by the Montana Department of Transportation (MDT) through the mechanism of a U.S. Department of Transportation State Planning and Research (SPR) pooled fund program in partnership with the Center for Health and Safety Culture (CHSC) at the Western Transportation Institute (WTI) at Montana State University.

The following agencies are Member agencies of the TSC-TPF by committing and obligating funds to support the TSC-TPF through an initial funding period ending September 30, 2019:

- California Department of Transportation (Caltrans)
- Connecticut Department of Transportation
- Idaho Transportation Department
- Indiana Department of Transportation
- Iowa Department of Transportation
- Louisiana Department of Transportation and Development
- Montana Department of Transportation
- New Hampshire Department of Transportation
- Texas Department of Transportation
- Utah Department of Transportation
- Washington State Department of Transportation

### Program Organization

The TSC-TPF organizational structure is arranged to manage a group comprised of numerous agencies, while maximizing their ability to meet its objectives. The TSC-TPF organizational structure consists of an Executive Board (Board), Program Manager (who is not on the Board), Partnership/Management Support, Principal Research Entity, and technical committees (TC).

Membership in the TSC-TFP is open to any funding entity which contributes \$10,000 or more annually or at least a total of \$40,000 (10/1/14-9/30/19) for the support and research efforts of the TSC-TPF program. This Membership provides funding entities with the following rights:

- a voting seat on the Board,

- to propose and vote on potential projects for program funding,
- travel for one person per year to attend the annual in-person TSC-TPF meeting (one quarterly meeting), and
- participation at the three quarterly web meetings.

A list of interested parties, such as NHTSA, state safety commissions, local entities, and the AAA Foundation for Traffic Safety, will be maintained. These interested parties will receive non-Board-only communications and may participate in e-mail discussions. Also, they may propose projects, attend the quarterly web meetings at no cost and the annual attend in-person meetings at their own cost.

## **Project Identification and Management**

The Board will develop an annual work plan to identify the activities to be undertaken in the coming year. Approval of the work plan for use of federal funds will occur through FHWA approval of the MDT SPR work plan and FHWA participation on the Board. Elements of the annual plan which do not expend federal funds are not subject to approval by FHWA.

## **Outreach Activities**

The outreach activities of the TSC-TPF will be used to attract state, national and international sponsors that would add value to the program. They will also be used to further the training and technology transfer of the TSC-TPF, a major component of the work plan. To accomplish this, the TSC-TPF will exchange information among Members and others in several ways, including a website, active links with technical committees, trainings, workshops, seminars, publications, and presentations at conferences and other events.

## **Program Budget**

The TSC-TPF program is supported by agencies' Membership contributions and any additional contributions for specific projects from Member agencies. These can be divided into two categories, described below:

1. U.S. state DOTs have the option of making their contribution to TSC-TPF using federally-derived SPR funds. This reflects the program's status as an FHWA-approved SPR pooled fund initiative. FHWA has granted a match waiver for the use of SPR funds.
2. Other participants contribute to TSC-TPF using funding sources appropriate to their individual involvement. In addition, some U.S. state DOTs may elect to make their contributions using sources other than SPR funds. Other federal funding sources may be subject to a required match with non-federal funds.

Once the TSC-TPF income is determined, pooled funds are allocated to individual projects. Allocations are based upon the planned projects' resource requirements and the current year activities as approved by the Board.

## **Program Close-Out**

The Board will evaluate the TSC- TPF program in year four and plan to close-out the project at the end of year five. If the Board would like to continue this program, a new pooled-fund program will be established.

## 1. OVERVIEW

### Introduction

This document serves as a Management Plan for the Traffic Safety Culture Transportation Pooled Fund (TSC-TPF) program. TSC-TPF is a multi-state initiative aiming to support the advancement of Traffic Safety Culture through developing approaches and strategies to improve traffic safety, and working to incorporate them into existing infrastructure.

TSC-TPF was established in 2014, with a current agreement of 11 U.S. states with common traffic safety culture interests. This Management Plan has been prepared to serve as a guiding document in support of TSC-TPF's start-up efforts and throughout the duration of this pooled fund.

### Purpose

The key purposes of the TSC-TPF Management Plan are as follows:

- to provide an overview of why the TSC-TPF was formed, which can be used to explain the program to organizations unfamiliar with the initiative;
- to define the management of the TSC-TPF including roles and responsibilities, and processes;
- to define the TSC-TPF charter and operating rules.

### Content

This Management Plan is divided into distinct chapters in order to provide both clarity and quick access to specific topics. Following this introductory chapter, the remaining content of the document covers the following issues:

- Chapter 2, *What is TSC-TPF?*, provides a basic description of the program, including its operating strategy and key participants.
- Chapter 3, *Program Organization*, reviews the TSC-TPF structure and associated characteristics such as membership requirements and operating policies and guidelines.
- Chapter 4, *Project Identification and Management*, provides a framework for identifying, selecting, and managing the projects that will be included in the TSC-TPF annual work plan.
- Chapter 5, *Outreach Activities*, provides potential outreach activities to attract state, national and international sponsors that would add value to the program and provides techniques for advancing the training and technology transfer of the TSC-TPF.
- Chapter 6, *Program Budget*, provides the structure for the program budget, allocations, and expenditures.
- Chapter 7, *Program Close-Out*, provides an end date for the program.

## 2. WHAT IS TSC-TPF?

### Overview

The TSC-TPF program represents a forum with a vested interest in bolstering the concept and understanding of “culture” in traffic safety while supporting the “Toward Zero Deaths (TZD)” safety initiative. TSC-TPF was established by a group of U.S. states led by the Montana Department of Transportation (MDT) through the mechanism of a U.S. Department of Transportation pooled fund program in partnership with the Center for Health and Safety Culture (CHSC) at the Western Transportation Institute (WTI) at Montana State University. The intent of the TSC-TPF is to use the pooled fund to jointly-sponsor the development of approaches and strategies to improve traffic safety culture. MDT is the lead state for the TSC-TPF, and WTI is providing management support and serves as the principal research entity.

Through specific projects, the TSC-TPF will strive to accelerate the development and delivery of tools and services to transform the national, state, and community level traffic safety culture.

### Strategy

The TSC-TPF’s strategy is reflected below in the program’s vision, mission, goals and objectives.

#### Vision

TSC-TPF envisions the transformation of traffic safety culture in support of the Toward Zero Deaths (TZD) National Strategy which includes eliminating crash fatalities and serious injuries.

#### Mission

The TSC-TPF mission is to provide a collaborative forum for multi-state and multi-stakeholder cooperation towards the development of approaches and strategies to improve traffic safety culture.

#### Goals

TSC-TPF goals include the following:

- bolster the concept and raise awareness of traffic safety culture;
- increase the knowledge of the effects of risk factors (i.e., driver type, contributing factors, and environment context) and cultural influences on traffic safety;
- support research and development of promising approaches and strategies for use in solving specific culture-based traffic safety problems;
- increase the number of sustainable culture-based traffic safety solutions and their incorporation into existing infrastructures, such as Strategic Highway Safety Plans;
- support implementation of TSC strategies at a community, state, national, and international level;
- increase technology transfer of best practices relating to traffic safety culture;
- support the individual traffic safety culture needs of TSC-TPF participants;
- provide a mechanism to support multistate project cooperation and technical information interchange;

- compliment the work already accomplished and in-progress, such as NCHRP 17-69: *A Strategic Approach to Transforming Traffic Safety Culture*; and
- increase traffic safety.

## Objectives

The objectives outline activities or areas of work which will support realization of the goals. General objectives for TSC-TPF include:

- facilitate the formation of public-private partnerships for appropriate program activities;
- identify common needs within the group and proceed with appropriate technical activities;
- explore, synthesize, and define best practices for developing and sustaining a positive traffic safety culture;
- conduct research directed towards risk factors and cultural influences common in many communities and jurisdictions across participating partners;
- implement a limited number of demonstration projects of specific traffic safety culture transformation studies within a few selected communities;
- create a repository of relevant literature and case studies on the formation of traffic safety culture and partnerships; and
- develop training and technology transfer materials to enhance the understanding and application of traffic safety culture transformation methods and to provide for workforce development.

## **Program Participants**

The following agencies are Member agencies of the TSC-TPF by committing and obligating funds to support the TSC-TPF through an initial funding period ending September 30, 2019:

- California Department of Transportation (Caltrans)
- Connecticut Department of Transportation
- Idaho Transportation Department
- Indiana Department of Transportation
- Iowa Department of Transportation
- Louisiana Department of Transportation and Development
- Montana Department of Transportation
- New Hampshire Department of Transportation
- Texas Department of Transportation
- Utah Department of Transportation
- Washington State Department of Transportation

Due to the topic for this transportation pooled fund, it is likely that Member agencies will include not only transportation agencies but also commercial equipment manufacturers, departments of motor vehicles, and emergency medical services agencies.

The National Highway Transportation Safety Administration (NHTSA) will provide technical input to the program, and the Federal Highway Administration (FHWA) serves as a monitoring body, providing strategic and technical input to the program. Both national and local FHWA personnel will participate in the TSC-TPF.

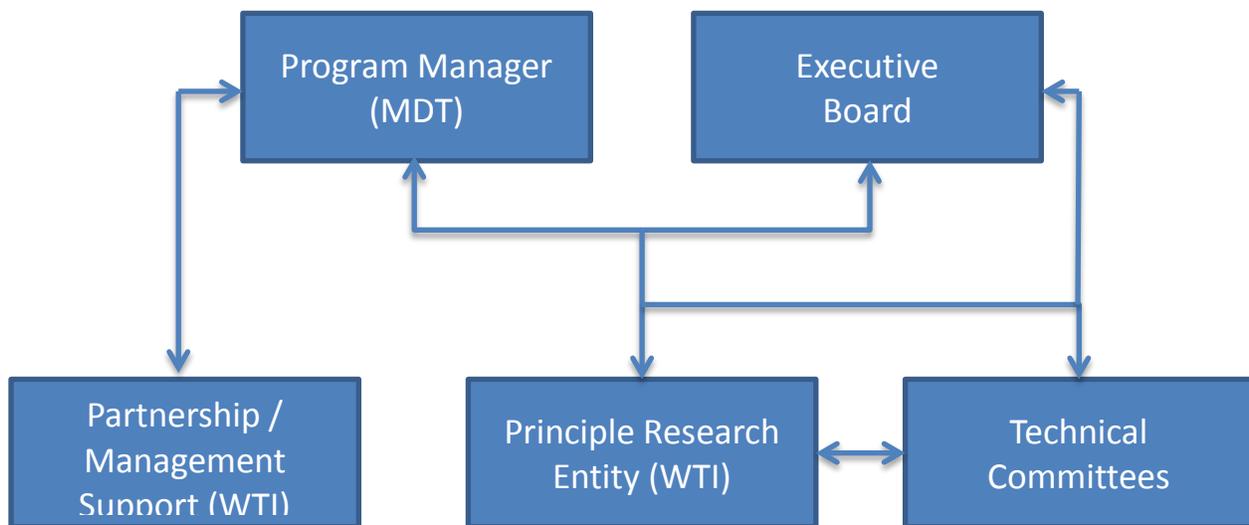
### 3. PROGRAM ORGANIZATION

#### Program Charter and Operating Rules

TSC-TPF operates under a Charter and set of Operating Rules which form the foundation of the Pooled Fund. These documents are dynamic in nature and can be amended as necessary. The Charter and Operating Rules are included as Appendix A (A.1 and A.2, respectively).

#### Program Structure

The TSC-TPF organizational structure is arranged to manage a group comprised of numerous agencies, while maximizing their ability to meet its objectives. As shown in Figure 1, the TSC-TPF organizational structure consists of an Executive Board, Program Manager, Partnership/Management Support, Principal Research Entity, and technical committees.



**Figure 1: Organization Chart**

#### Executive Board

The Executive Board (Board) consists of one voting representative from each of the Member agencies.

With guidance from the Program Manager, the TSC-TPF's operating authority is derived from the Board, which is responsible for overall policy direction and budget approval, as well as for organizing itself, establishing operating rules, and conducting other business. The Board may, at its discretion, appoint additional voting and nonvoting members from international, national or regional organizations.

The Board is responsible for adopting program policies and procedures deemed appropriate, and approves an annual work plan and budget. The Board is also responsible for creating and terminating various project-specific technical committees. Finally, the Board is responsible for ensuring work plans and project descriptions are followed and serve as the acceptance authority for all products from vendors and consultants.

WTI will support the Board.

### Program Manager

The Program Manager provides guidance to the Board and is responsible for day-to-day management of the TSC-TPF. The Manager is an employee of the lead administrative state which controls expenditures from the program's pooled funds.

The duties of the Program Manager include developing meeting agendas, chairing meetings, and representing TSC-TPF in discussions with other organizations. The Manager is responsible for stewarding all contract administration including preparing contract documents and assuring that contracts and schedules are followed. The Manager is also responsible for quality control and evaluation, authorizing payment, and for informing the Board of all contract progress. Finally, the Program Manager is responsible for administering the financial aspects of the TSC-TPF including managing the program and project budgets, expenditures, and approving all travel authorizations.

MDT is the lead administrative state and the MDT Research Programs Manager will serve as the Program Manager. WTI will support MDT.

### Partnership/Management Support

The TSC-TPF charter (Appendix A.1) allows for a Partnership/Management Support Organization. The role of the Partnership/Management Support is to provide general and specific support to the Board and Program Manager, as assigned by the Program Manager, on an ongoing basis. These duties may include scheduling meetings, preparing meeting agendas and minutes, coordinating and conducting complex technical studies and activities, assisting in the creation of the annual work plan, and updating the Pooled Fund and MDT websites.

WTI will provide Partnership/Management Support.

### Principal Research Entity

WTI is the Principal Research Entity. The role of the Principal Research Entity is to remain aware of related efforts, understand the national needs on traffic safety culture, solicit research ideas, and provide this information to the Board, prior to the annual collaboration meeting, to help facilitate this meeting, and to facilitate the development of one-page project submittals and full proposals. Prior to proposal development, the Board will review the needs of the project and determine if/where WTI may have skill set limitations that need to be filled and/or where research collaborations may be beneficial. In this case, a solicitation for research entity will be issued or WTI will bring on collaborators to ensure that the sponsors are provided with the best quality research possible. In addition, at the Board's discretion, external peer reviewers may be used for the evaluation of project proposals and reports; WTI will provide a list of potential reviewers at the project idea stage. Finally, the Board issued an RFI/RFQ in 2016 to identify additional potential peer reviewers and potential research gaps.

WTI has been chosen as a partner and the principal research entity for this pooled fund study because they are a leader in the field of traffic safety culture and played a role in initiating this pooled fund program. Testimony of their experience in bringing knowledge and securing additional partners and funding include:

- awarded the NCHRP 17:69 A Strategic Approach to Transforming Traffic Safety Culture. The work for this NCHRP project will complement the efforts of this pooled fund. In addition to this work, WTI houses the Center for Health and Safety Culture of which the primary focus is on improving health and safety through cultural transformation.
- conducted over 30 community level trainings in over 20 different states. These trainings helped prepare participants to grow positive community norms to shift safety culture, implement effective leadership strategies and engage stakeholders to address issues like substance abuse, impaired driving and seatbelt use within their own community. The Center also seeks to address safety culture through providing individualized technical assistance to local and rural communities. Over the past two years, the direct assistance has been provided to 32 communities across the nation.
- chairing and leading Rural Traffic Safety Summit (2011, 2012), and National Roadway Safety Culture Summit
- selected as only one of two US entities involved in the European TraSaCu effort
- Center for Health and Safety Culture's director is a member of the TRB subcommittee on roadway safety culture

### Technical Committees

As the TSC-TPF grows, the board may establish technical committees as a targeted forum to provide input and technical oversight to the research entity on particular project(s) in the work plan. The technical committees (TC) are comprised of the project champion, the research entity, representatives from Member states, experts from the field, and the partnership/management support agency (if WTI is not already the research entity). Voting authority on the technical committees is limited to Board Member agencies. This authority may be given to an agency's Board Member or a designated representative.

### **Program Meetings**

The TSC-TPF group aims to meet regularly to discuss progress and plan future activities. The Board will hold quarterly, web-based teleconferences, one of which will be replaced with an annual face to face meeting. The TSC-TPF in person meetings may be scheduled to coincide with other traffic safety events to minimize travel and associated costs, and to enhance efficiency and synergy among participants of both events. There will be a long-distance connection for all in-person meetings for those who cannot travel or who would like to invite others in their organization to attend, and to include the "interested parties". The meeting attendees include Board Members, the Program Manager, the partnership/management support agency, and other invited organizations involved in TSC-TPF activities and/or projects. These meetings allow for an exchange of information among the Members, discussion of TSC-TPF project status, selection of consultants, approval of documents, and program planning. When appropriate and necessary,

to prevent conflicts of interest, one or more Board Members may need to recuse themselves and a subset of the Board may go into executive session to make project selection or contracting decisions.

A meeting of parties interested in joining the TSC-TPF was held during the Transportation Research Board (TRB) in January 2014 and a kick-off web meeting was held for the TSC-TPF in August 2014.

## **Membership Criteria**

Membership in the TSC-TPF is open to any funding entity which contributes a minimum of \$10,000 annually or minimum \$40,000 through September 30, 2019, for the support and research efforts of the TSC-TPF program.

Membership provides support funding and entitles funding entities:

- a voting seat on the Board,
- to propose and vote on potential projects for program funding,
- travel for one person per year to attend the annual in-person TSC-TPF meeting (in lieu of a fourth quarterly web meeting; and
- participation at the three quarterly web meetings.

As an FHWA pooled-fund study program, the overall success of the TSC-TPF is directly linked to active support and guidance provided by its Members. Therefore, Members may have one voting representative on the Board and participate in all TSC-TPF meetings. Each Board representative is eligible for reimbursement of travel and associated costs of attending these meetings, including allowance for meeting registration fees, per diem, and transportation costs. Other Member agency employees who regularly contribute to TSC-TPF may also be eligible for travel cost reimbursement, subject to approval by the Program Manager and the Board. A complete description of Membership rights and benefits are contained in the charter (Appendix A.1).

## **Industry Participation Guidelines**

Commercial equipment manufacturers and others may be provided an opportunity as deemed appropriate by the Board to showcase products and capabilities and to take part in technical discussion, as input to the program planning process.

## **TSC-TPF Board Members**

A list of TSC-TPF Members can be found at

[http://www.mdt.mt.gov/other/webdata/external/research/docs/research\\_proj/tsc/participant\\_listing.pdf](http://www.mdt.mt.gov/other/webdata/external/research/docs/research_proj/tsc/participant_listing.pdf)).

## 4. PROJECT IDENTIFICATION AND MANAGEMENT

### Annual Work Plan

The Board will develop annual work plans (see <http://www.mdt.mt.gov/research/projects/trafficsafety.shtml>) to identify the activities to be undertaken in the coming year; these work plans may include annual and multi-year projects. Approval of the work plan for use of federal funds will occur through FHWA approval of the MDT SPR work plan and FHWA participation on the Board. Elements of the annual plan which do not expend federal funds are not subject to approval by FHWA. The work plan will achieve three primary goals:

1. Satisfy FHWA requirements. FHWA – MT Division and/or FHWA – DC will participate on the Board and the TSC-TPF will be included in the MDT SPR work plan, annually, which is approved by FHWA.
2. Outline activities. The annual work plan will serve as a concise statement of activities and projects for TSC-TPF. This will be used to guide the program throughout the year, to help plan resources, and to share information throughout the traffic safety industry keeping other organizations apprised of TSC-TPF's projects.
3. Identify funding requirements and resources. The work plan will include project costs and timeframes.

The annual work plan will include the projects that will be undertaken by the TSC-TPF in the upcoming year, multi-year projects being continued from previous years, and multi-year projects beginning in the current year. To determine what projects will be included in the annual work plan, a clear structure for project development and selection will be necessary to maximize efficiency and maintain the focus and direction of the TSC-TPF. The following approaches discuss how TSC-TPF will define and develop projects.

The project development and selection process is shown below in Figure 2, but may be modified as needed by the Board. Related appendices are as follows:

- Appendix B: research Project Selection Decision-Making Process
- Appendix C: Example Project Idea Form
- Appendix D: Program Project Selection Worksheet
- Appendix E: Program Project Selection Ranking Summary Form



**Figure 2: Project Development and Selection Process**

## Project Areas of Interest

Project areas of interest for the TSC-TPF include (1) research directed towards risk factors and cultural influences common in many communities and jurisdictions across participating partners, (2) pilot projects of specific traffic safety culture transformation studies within a few selected communities, and (3) the development of training and technology transfer materials.

## Project Development

In general, TSC-TPF projects will be considered on an annual basis. This will support development of an annual work plan with a consistent schedule. However, if a Member identifies a project which offers significant immediate benefits or takes advantage of short-term opportunities, the Member may suggest it to the group for consideration outside of the annual project selection process. The Board can then choose to accept such projects for fast-tracked initiation, reject them, or delay a decision until the start of a normal work plan development process.

### Review of National Needs on Topic

On an ongoing basis and as a partnership effort, WTI will remain apprised of the activities, interests, and needs for traffic safety culture research both on a National basis and for the TSC-TPF Member states. WTI will identify common agency interests and themes which will be provided to Member states prior to the annual collaboration meeting. These ideas can then be used as a basis for developing further project ideas.

### Annual Project Collaboration Meeting

Annually, the Board will host a project collaboration meeting, as one of the quarterly web or in-person meetings to develop project ideas for the work plan. At this meeting, TSC-TPF Members

will propose projects which are developed through discussions with colleagues in the individual state transportation agencies. Although such projects may initially reflect the interests of the proposing state, it is in their best interests to suggest activities with broad group appeal. This will greatly increase the chances of support by the other TSC-TPF Members.

Each project will have an identified champion from the Board who will work with WTI to summarize the project in a standard one-page format (Appendix C) after the project collaboration meeting. The standard one-page format will be used by the Members to narrow down activities for the upcoming fiscal year. In addition to the project ideas, supplemental information or publications may also be supplied to help familiarize the Members with the proposed project.

Projects of more national interest may be submitted to other funding programs, such as NCHRP.

### **Process for Decision Making**

This section addresses how projects will be selected by the Board, including the process for decision making and the project selection criteria. The decision making process for each year of this program is documented in Appendix B.

Following the creation of the one-page project submittals, these will be distributed to the Board for initial project selection via a Board determined process such as use of project selection forms (examples provided in Appendices D and E), by a vote of the Board, or some other process. The selection process is designed to quantify the relative importance and value of proposed initiatives based on individual agencies and the Board's requirements.

### Detailed Work Scopes

WTI will then create project proposals (see proposal template and requirements at <http://www.mdt.mt.gov/other/webdata/external/research/docs/proposal.pdf>).

In the case that WTI does not have available skill base or capacity, then RFPs, sole source contracts, or utilization of the existing management contracts will be initiated for consultant selection by the Program Manager.

### Project Selection

TSC-TPF will then convene at a regularly scheduled meeting or an additional meeting, if necessary, to discuss and select projects. At this time, the Members will narrow down the number of projects. The selected projects will form the initial basis of the annual work plan.

### Project Funding

The Board will fully fund the highest ranked project(s) as determine by the Board's selection process, such as use of project selection forms ( examples provided in Appendices D and E), by a vote of the Board, or some other process. The Board may allocate any remaining funds to the additional projects. Only fully funded projects will be contracted and given notice to proceed. Larger projects may be phased.

It is understood that the final project selection and funding allocation process is largely a negotiated one. All final decisions by the Board are generally based on good judgment considering individual agency and group desires.

Each agency is afforded the opportunity to participate in additional projects by contributing additional funds that are specified for specific project(s).

### **Project Management**

At least initially, Board Members may desire to manage individual projects, ensuring adherence to the scope and serving as the acceptance authority for all products. For some projects, the Board may elect to form technical committees to manage projects, ensuring adherence to the scope and serving as the acceptance authority for products while the research is in progress. In these cases, the Board will serve as the acceptance authority for all final products. In some cases, there may already be an appropriate technical committee to serve this function. In other cases, new committees may need to be formed. In addition, the Partnership/Management Support will provide technical support to the committees on an as-needed basis for projects.

## 5. OUTREACH ACTIVITIES

The outreach activities of the TSC-TPF will be used to attract state, national and international sponsors that would add value to the program. They will also be used to further the training and technology transfer of the TSC-TPF, a major component of the work plan. To accomplish this, the TSC-TPF will exchange information among Members and others in several ways, including active links with technical committees, trainings, workshops, seminars, publications, and presentations at conferences and events. These activities will be used to share the findings of TSC-TPF-sponsored research, to promote related activities, and to provide for workforce development.

It is envisioned that the TSC-TPF website will be invaluable in facilitating both internal and external information dissemination such as:

- Links to resources,
- Downloadable documents,
- Templates,
- Updates of research,
- Online newsletter, and
- Archival of trainings.

The TSC-TPF will also maintain active links with the appropriate technical committees such as TRB National Toward Zero Deaths Subcommittee, TRB Roadway Safety Culture Subcommittee, and AASHTO Standing Committee on Highway Safety for technology transfer.

## 6. PROGRAM BUDGET

### Program Income

The TSC-TPF program is supported by agencies' Membership contributions and any additional contributions for specific projects from various entities. These can be divided into two categories, described below:

1. U.S. state DOTs have the option of making their contribution to TSC-TPF using federally-derived SPR funds. This reflects the program's status as an FHWA-approved SPR pooled fund initiative.
2. Other participants contribute to TSC-TPF using funding sources appropriate to their individual involvement. In addition, some U.S. state DOTs may elect to make their contributions using sources other than SPR funds.

To ensure appropriate use of program funds, SPR contributions and non-SPR contributions will be tracked separately. The Program Manager is responsible for managing these funds and determining how they should be used to cover program expenditures. Items of expenditure include reimbursement of travel costs, meeting costs, consultants support, and technical TSC-TPF projects.

In addition, funds carried over from the previous program year and any grants the TSC-TPF secures are also considered as income.

Finally, income directed for individual projects may comprise any additional contributions from various entities.

### Project Income

The Program Manager will track income directed for individual projects. The four possible sources for individual project income are as follows:

1. Balances brought forward from previous years' allocations
2. Specified Member agency contributions - in addition to Membership contributions
3. Grants - directed towards specific purposes
4. Allocation of pooled funds

The Program Manager will use spreadsheets to track project income with funding source itemized.

Both the annual **planned** income committed and the **actual** income amounts received for each project will be identified in the spreadsheet. Management of income received through the fourth source described above is described below.

### Allocation of Pooled Funds

Once the TSC-TPF income is determined, pooled funds are allocated to TSC-TPF activities and individual projects. Allocations are based upon the planned resource requirements and the current year activities as approved by the TSC-TPF Board.

## **Expenditures**

TSC-TPF Program expenditures include administrative costs, costs associated with TSC-TPF meetings, and individual project costs. Administrative expenditures for TSC-TPF include meeting and conference call costs, representation at conferences, management consultant support, and miscellaneous administrative costs, including MDT indirect costs, which are recalculated for each state fiscal year (July 1 – June 30). Members meet several times each year to propose new projects for TSC-TPF, vote on proposed projects, discuss progress of present projects, and share progress and ideas. Member agency travel expenses for an annual meeting are paid from pooled funds. Once initiated, the expenditure for individual projects comes from the TSC-TPF budget. Each project has a planned budget approved by the Board. All costs incurred by a project are measured against this approved budget.

## **Balance Sheet**

The funds available for any project can be ascertained by taking the difference between the allocated funding and the project expenditures to date. The expenditures include all costs relating to an individual project at the time of expenditure calculation. The allocated funding includes any project balance brought forward, if applicable, and any additional funding for the current year. The Program Manager maintains balance sheets for each approved project, which are updated at least quarterly.

## 7. PROGRAM EVALUATION AND CLOSE-OUT

The Board is responsible for conducting an evaluation of the program in year 4 (10/1/17-9/30/18).

- Year 1 is 10/1/14 – 9/30/15
- Year 2 is 10/1/15 – 9/30/16
- Year 3 is 10/1/16 – 9/30/17
- Year 4 is 10/1/17 – 9/30/18
- Year 5 is 10/1/18 – 9/30/19

The TSC- TPF program will close at the end of year five, September 30, 2019. If the Board would like to continue this program, a new pooled-fund program will be established.

## APPENDIX A.1: TSC-TPF CHARTER

The Traffic Safety Culture Transportation Pooled Fund (TSC-TPF) represents a forum with a vested interest in bolstering the concept and understanding of “culture” in traffic safety while supporting the “Toward Zero Deaths (TZD)” National Strategy. TSC-TPF was established by a group of U.S. states led by the Montana Department of Transportation (MDT) through the mechanism of a U.S. Department of Transportation State Planning and Research (SPR) pooled fund program in partnership with the Center for Health and Safety Culture (CHSC) at the Western Transportation Institute (WTI) at Montana State University.

In order to guide the deliberations of the Pooled Fund participants, an agreement is required on the management structure and operating rules (Appendix A.2). An organizational charter provides a basis for this requirement.

### 1.0 Guiding Principles

A set of principles are intended to guide the TSC-TPF Program and the creation of this charter.

These principles are simply stated as follows:

1. the individual components of the program are locally organized and managed under the direction of a state-level program,
2. individual states provide for the coordination with local level participants, both government and industry,
3. each state-level organizational structure and program activity reflects individual priorities,
4. comparison of state-level programs and interests will allow for the identification of joint program activities,
5. the TSC-TPF Program management functions will require a minimum level of support.

From these principles an organizational structure, duties, and operating rules can be formulated.

### 2.0 Executive Board

The purpose of the Executive Board (Board) is to develop the Pooled Study's budget, oversee the work program, and related matters of policy. The Board consists of one voting representative from each of the Member agencies. Membership is defined as any entity contributing \$10,000 or more per year or a total of at least \$40,000 through 9/30/19 to the Program. The Board may, at its discretion, appoint additional voting and nonvoting members from international, national or regional organizations. The Board is responsible for organizing itself, establishing operating rules and for conducting business with a quorum of Members.

#### 2.1 Policies and Procedures

The Board will adopt such Program policies and procedures as deemed appropriate.

#### 2.2 Funding

Pooled funding will be derived from contributions received from participating entities. For U.S. states utilizing pooled SPR funds, uniform treatment of funding is assured under existing FHWA mechanisms for such pooled funding projects.

### 2.3 Appointments

The Board is responsible for creating and terminating various technical committees or other organizational units as required to satisfy Program requirements.

### 2.4 Budget and Work Program

The Board will approve a budget and a work program for the Pooled Fund after consideration by the Program Manager.

### 2.5 Membership

Membership in the TSC-TPF is open to any entity. For a designated Member of the Board to continue Membership the participating entity must continue annual financial support of at least \$10,000 per year or \$40,000 through 9/30/19. If an entity fails to meet its annual commitment, it may, at the discretion of the Board, be assigned inactive, non-voting member status and removed from the Board until such time as its financial participation is continued.

### 2.6 Voting Rights

The representative for each Board Member is eligible to vote on all program and project issues.

### 2.7 Selection Process

For each project chosen for inclusion in the work plan, the Board and principal research entity will review the needs of the project and determine if/where there may be skill set limitations that need to be filled and/or where research collaborations may be beneficial. In this case, a solicitation for research entity will be issued or the principal research entity will bring on collaborators to ensure that the sponsors are provided with the best quality research possible.

### 2.8 Review Products/Recommend Alternatives

Technical committees may be convened to oversee specific projects. This expertise will facilitate in-depth analysis and detailed presentations before the Board. The Committees will review the products of their respective research teams and make recommendations to the Board.

### 2.9 Product Acceptance

The Board is responsible for acceptance of all research products, or in the case of projects that have technical committees, those committees will be responsible for acceptance of progress products and the Board will be responsible for final product acceptance.

### 2.10 Coordination and Education

The Board is responsible for maintaining a high degree of coordination with impacted parties and for creating educational programs to increase awareness of the needs, benefits and impacts.

## **3.0 Program Administration**

Montana Department of Transportation (MDT) will administer the Program's resources and the MDT Research Programs Manager will serve as the TSC-TPF Program Manager.

### 3.1 General Support

The Partnership/Management Support entity will be responsible for providing general and specific support to the Program Manager, Board, and TC on an ongoing basis. These duties may include scheduling meetings, preparing meeting agendas and minutes, coordinating and conducting complex technical studies and activities, assisting in the creation of the annual work plan, and supporting the Pooled Fund website.

### 3.2 Contract Administration

The Program Manager is responsible for distributing RFPs, preparing contract documents and performing other functions related to contracts administration and management. The Program Manager and/or Management Consultant (for projects not being conducted by the Management Consultant) will assure that contracts, schedules, work plans and project descriptions are followed. The Program Manager will be responsible for quality control and evaluation, recommendations regarding preparation of contract documents, change order requests, and authorizing progress payments. The Manager is responsible for providing contract progress reports to the Board.

### 3.3 Management Budget

The Program Manager is responsible for administering a management budget, which will include travel and per diem payments for Board Members or their designated representatives, as allowed by Montana law.

### 3.4 Partnership/Management Support

The Program Manager may recommend to the Board a Partnership/Management Support Organization to help coordinate technical studies and to prepare and administer various meeting agendas and related duties.

### 3.5 Principal Research Entity

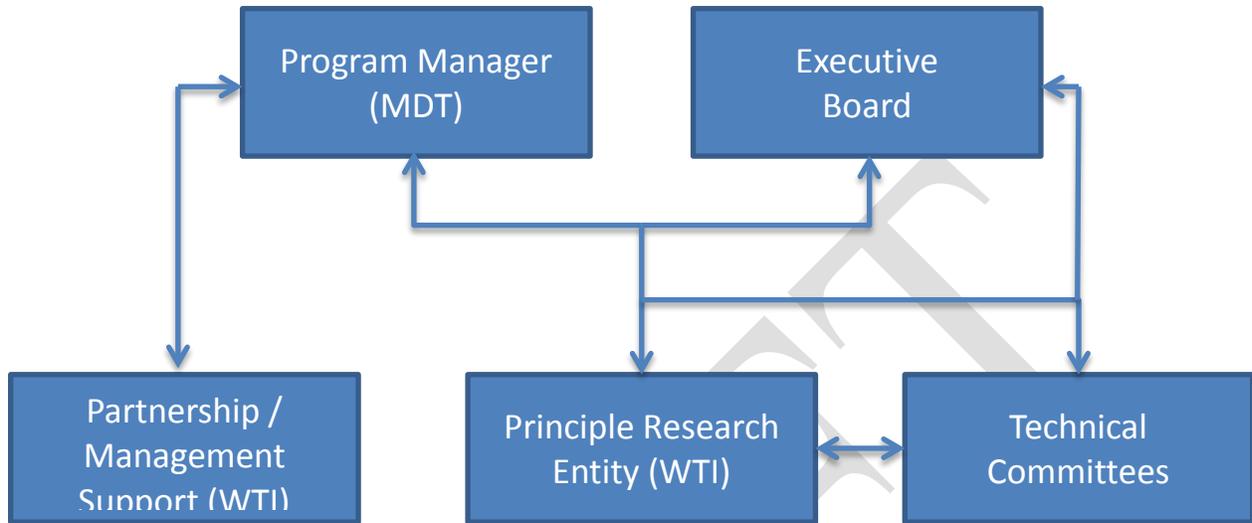
The Program Manager may recommend to the Board a Principal Research Entity to review the national needs on traffic safety culture and provide this information to the Board prior to the annual collaboration meeting, to help facilitate the annual collaboration meeting, to assist the champions in creating the one-page project submittals and full work scopes, and to be the lead research entity.

## **4.0 Amendments**

This Charter may be amended by a majority vote of the voting Membership. If a quorum is not present the entire Membership shall be polled.

### 5.0 Organization Chart

Figure 1 (page 5) represents the TSC-TPF Organization presented herein.



## **APPENDIX A.2: TSC-TPF OPERATING RULES**

### **1.0 Quorum**

A quorum of the Board, any committee or subcommittee shall consist of more than one-half of the voting Membership. Voting Members and non-voting members carrying written proxies in actual attendance at any meeting shall count toward a quorum.

### **2.0 Proxy Votes**

All proxy votes shall be in writing and dated as to effective date and date of cancellation. Board Members may identify in writing an individual to serve as proxy for one-time event, or for all events at which the Board Member is not present. The proxies may cover all issues subject to vote or may be limited to specific issues, as stated in writing. One-time proxy votes shall be delivered to the Program Manager at the start of each meeting and recorded in the meeting minutes.

### **3.0 Voting Procedures**

All votes may be cast by voice or by a show of hands or by voice in web meetings. Any voting Member may request a roll call vote.

For decision-making between meetings, voting by telephone or email polling may be undertaken when deemed suitable by the Program Manager. All voting Members will be polled with a quorum required for approval.

### **4.0 Contracting Procedures**

Contracts for TSC-TPF projects shall be awarded by the TSC-TPF lead state, or by another Member agency, in the event the Executive Board agrees it is in the best interest for a Member agency to contract directly. The contracting rules and procedures of the state or agency performing the solicitation and contract shall be followed.

### **5.0 Technical Committee Size and Structure**

There shall be no limit on voting or non-voting Members. Each TSC-TPF Member organization shall have no more than one voting representative on a committee. The Program Manager serves as the committee chair, and, along with the Board, shall be responsible for determining committee Membership and reporting to the Board on committee activities.

### **6.0 TSC-TPF Website**

The TSC-TPF program website (<http://www.mdt.mt.gov/research/projects/trafficsafety.shtml>) will provide one location for all TSC-TPF program information.

### **7.0 Reports from Technical Consultants**

Technical consultants will make presentations to the Board and committees of the Board, and will be responsible for presenting committee approved final products to the Board for acceptance.

## **8.0 Use of the Results of TSC-TPF Projects**

For each project, a brief Project Summary Report and Implementation Plan should be created. The Implementation Plan should describe the steps that Member agencies could take to implement and use the results of the project. Typically, these products are added to the project contracts; however, for some projects, they may be created by the lead or other agency(ies).

## **9.0 Travel Support**

The Board Member or designated representative of each Member will be eligible for reimbursement of reasonable costs for travel within North America, including registration fees, accommodation, and sustenance, to attend approved TSC-TPF meetings. Travel costs of attendance at TSC-TPF meetings by others may also be reimbursable in special cases approved in advance by the Board.

Travel costs are to be kept to a minimum whenever possible. The Program Manager and/or Partnership/Management Support Entity are charged with coordinating events requiring travel as appropriate to minimize travel costs.

At the discretion of the Program Manager, or if approved by the Board, reasonable travel costs for attendance by Board or designated representatives at other events germane to the TSC-TPF program may be reimbursed.

At the discretion of the Program Manager, or if approved by the Board, reasonable travel costs for attendance of invited guests at TSC-TPF meetings or other related events may be reimbursed.

## **10.0 Meetings**

The Board plans to hold quarterly, web-based teleconferences. In addition to the web-based teleconferences, a face-to-face meeting will occur once a year in lieu of one of the quarterly web-based teleconferences. These meetings allow for an exchange of information between the Members, discussion of TSC-TPF project status, selection of consultants, approval of documents, and program planning.

## **11.0 Distribution List/Listserv**

The Program Manager will maintain a distribution list or listserv of all Board Members and a separate list of all Board Members, additional contacts from Board Member agencies, and other interested parties eligible to receive TSC-TPF materials. This will be used as the basis for distribution of minutes of general meetings, meeting announcements, draft and final technical reports, press releases (if available), and any other related materials. Occasionally, identified interested parties will be asked if they would like to remain on the distribution list or listserv.

## **APPENDIX B: RESEARCH PROJECT SELECTION DECISION MAKING PROCESS**

### **Federal Fiscal Year 2015**

For federal fiscal year 2015, the Board requested WTI identify some areas where research gaps exist. The process was as follows:

1. WTI presented the Program Manager with three research topics for year 1. This document provided a brief summary of each research topic, method, and potential costs. The three topics were as follows:
  - a. Cannabis culture
  - b. Engagement in traffic safety
  - c. Teen driver culture
2. The Program Manager, after review and acceptance, shared these topics with the Board and interested parties, who reviewed ideas, provided comments, and the Board requested a more detailed project description for the first two project ideas. The projects were presented at the August 2014 TSC-TPF web meeting. Discussions ensued at the November 2014 TSC-TPF meeting and via e-mail.
3. WTI produced four page summaries with more detailed methodologies, budgets, and timelines for these two research projects and submitted these documents to the Program Manager
4. The Program Manager, after review and acceptance, shared these documents with the Board and interested parties for review and comment at the February 2015 TSC-TPF meeting.
5. The Board decided to request proposals for both projects via e-mail discussion between the February and May 2015 TSC-TPF meetings.
6. WTI developed proposals using the MDT template and required format, and submitted to the Program Manager for review.
7. The Program Manager reviewed the two proposals and requested modifications. When the Program Manager felt the proposals were ready for Board review, the Program Manager sent the proposals to the Board and interested parties for review and comment. This occurred between the February and May 2015 TSC-TPF web meetings.
8. The Board provided revisions and comments on proposal(s). WTI made changes to the proposals and resubmitted. This occurred between the February and May 2015 TSC-TPF web meetings.
9. The Board voted to move both proposals into contract. This occurred between the February and May 2015 TSC-TPF web meetings.
10. The Program Manager developed contracts for both projects, which were fully executed in May 2015. The project kick-off meetings were held at the May 2015 TSC-TPF web meeting.

## APPENDIX C: EXAMPLE PROJECT IDEA FORM

This appendix provides an example format for submitting project ideas.

**Project Title:**

*This section presents a concise word or phrase that captures a simple and appropriate way of referring to the project.*

**Project Background, Summary, Objectives, and Methodology:**

*This section identifies the need for the project, provides an overview of the key elements of the project, outlines the key goals and objectives of the project, and describes the intended methodology for the project.*

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**Potential Research Collaborators/Reviewers:**

*This section includes a list of individuals, along with contact information and area of expertise, who should be a part of the research team or are appropriate to review the project proposal and/or deliverables.*

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**Project Cost and Duration:**

*This section provides the total cost and funding details for the project.*

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**Project Contact:**

*This section provides the contact information for the project champion, if any.*

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**APPENDIX D: PROGRAM PROJECT SELECTION WORKSHEET**

This form is an **example from Enterprise** and will need to be updated as the TSC-TPF updates their selection criteria.

For Program Fiscal Year \_\_\_\_\_

PROJECT	0-25	0-20	0-15	0-15	0-15	0-10	TOTAL POINTS	Will agency participate?	Anticipated funding contributions	COMMENTS
	Value & sustainability of results & efforts	Suitability to ENTERPRISE	Cost realism	Project	Validity of approach	Timeliness of project				

I am voting as a:  
 \_\_\_\_\_Member \_\_\_\_\_Proxy

AGENCY \_\_\_\_\_  
 MEMBER SIGNATURE \_\_\_\_\_  
 DATE \_\_\_\_\_

## APPENDIX E: PROGRAM PROJECT SELECTION RANKING SUMMARY FORM

This form is an **example from Enterprise** and will need to be updated as the TSC-TPF updates their selection criteria.

For Program Fiscal Year \_\_\_\_\_

Agency	Project											Comments
	A	B	C	D	E	F	G	H	I	J	K	
<b>Totals</b>												

Project	Title	Consultant/Team
A		
B		
C		
D		
E		
F		
G		
H		
I		
J		
K		

Selected Projects (highest scores)

- 1.
- 2.
- 3.
- 4.
- 5.

PROGRAM MANAGER \_\_\_\_\_

DATE \_\_\_\_\_