



STATE OF ILLINOIS

OFFICE OF THE AUDITOR GENERAL

MANAGEMENT AND PROGRAM AUDIT

**ILLINOIS DEPARTMENT OF
TRANSPORTATION'S
TRAFFIC SAFETY PROGRAMS**

MARCH 2006

WILLIAM G. HOLLAND

AUDITOR GENERAL

REPORT DIGEST

MANAGEMENT AND PROGRAM AUDIT

ILLINOIS DEPARTMENT OF TRANSPORTATION'S TRAFFIC SAFETY PROGRAMS

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Office of the Auditor General

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SYNOPSIS

The Illinois Department of Transportation (IDOT) administers highway safety programs for the State of Illinois. These programs are aimed at reducing the number and severity of motor vehicle crashes, fatalities, personal injuries, and property damage.

In July 2004, the Division of Traffic Safety (DTS) was reorganized, resulting in the layoff of 17 employees. IDOT did not adequately plan for the reorganization. For example:

- An April 2004 agency-wide reorganization plan did not detail the need or rationale for the reorganization nor how the responsibilities of the laid-off employees would be carried out;
- No grant project monitoring took place for the first several months of FY05;
- IDOT hired back three laid-off DTS employees under contract to perform necessary day-to-day operations, including processing reimbursement claims; and
- Some functions are being performed by individuals in a manner that is not consistent with their organizational placement.

IDOT miscalculated the savings from the elimination of the positions in the Division of Traffic Safety. IDOT's cost savings estimate, prepared after the reorganization, failed to take into account the cost of staff and contractual personnel hired or transferred to fulfill the duties of the laid-off employees.

During our project file review of 25 files from FFY04 and 25 files from FFY05, we determined that appropriate monitoring was not taking place. For example:

- Project files were missing documentation that was required within the grant agreements;
- Project goals were not met for all nine FFY04 files and all nine FFY05 files reviewed where the grant agreements contained measurable goals; and
- DTS paid reimbursement claims from grantees without having received all documentation required by the agreement.

IDOT is not maximizing federal reimbursements. Unlike other states, DTS does not use fringe or indirect cost rates when claiming federal reimbursement, which could result in an additional \$1.1 million annually. In addition, IDOT did not seek federal reimbursement for nine IDOT staff working to administer highway safety projects in FY05. By not billing for these nine employees, IDOT failed to be reimbursed for more than \$400,000.

IDOT lacked written policies and procedures to guide the review and award of grant applications. Decision documents used for acceptance or denials of grant applications were not maintained to substantiate the Highway Safety Planning Committee's decisions.

IDOT has had significant problems in implementing a new Crash Information System. As a result, IDOT could not provide complete crash data for calendar year 2004.

REPORT CONCLUSIONS

The Illinois Department of Transportation (IDOT) administers highway safety programs for the State of Illinois. These programs are aimed at reducing the number and severity of motor vehicle crashes, fatalities, personal injuries, and property damage. Many of IDOT's Division of Traffic Safety's programs are carried out by local law enforcement agencies and other grantees.

In July 2004, the Division of Traffic Safety (DTS) was reorganized, resulting in the layoff of 17 employees. IDOT did not adequately plan for the Traffic Safety reorganization, which was part of an agency-wide reorganization. Most of the 17 laid-off Division of Traffic Safety (DTS) employees worked in the Bureau of Safety Program's Safety Projects Section, which was responsible for administering and monitoring traffic safety grants largely funded by the National Highway Traffic Safety Administration (NHTSA). Examples of issues due to IDOT's lack of reorganization planning included:

- An April 2004 agency-wide reorganization plan did not document the need or rationale for the reorganization nor how the responsibilities of the laid-off employees would be carried out;
- In May 2004, NHTSA expressed concerns to IDOT about not being informed of the termination of federally funded Traffic Safety employees and requested a reorganization plan;
- In June 2004, IDOT submitted a draft reorganization plan to NHTSA. While the June plan identified areas where IDOT concluded improvements were needed, IDOT was unable to provide auditors with documentation to support its analysis;
- No grant project monitoring took place for the first several months of FY05;
- IDOT hired back three laid-off DTS employees under contract to perform necessary day-to-day operations, including processing reimbursement claims;
- Some functions are being performed by individuals in a manner that is not consistent with their organizational placement and responsibilities;
- Some staff hired had limited educational backgrounds and experience related to the desired qualifications; and
- DTS provided some training to project managers, as of September 1, 2005; however, DTS did not have policies and procedures manuals for its staff.

IDOT miscalculated the savings from the elimination of the positions in the Division of Traffic Safety. IDOT's cost savings estimate, prepared **after** the reorganization, failed to take into account the cost of staff and contractual personnel hired or transferred to fulfill the duties of the laid-off employees. It also did not take into account legal costs associated with the lawsuit filed by the laid-off IDOT employees, which according to IDOT totaled \$57,282 as of June 30, 2005. Furthermore, in a June 2005 memo, IDOT stated that it intended to hire a total of 27 **new** employees in DTS. As of December 2005, IDOT had hired 18 of the 27.

To determine the impact that the July 2004 reorganization and staff reductions had on DTS operations, we surveyed grantees and reviewed DTS grantee project files. Grantees reported both positive and negative comments about the performance of DTS before and after the reorganization.

During our project file review of 25 files from FFY04 and 25 files for FFY05, we determined that appropriate monitoring was not taking place. For example:

- Project files were missing documentation that was required within the grant agreements. Missing documents included progress reports, documentation of media, patrol plans, reimbursement claims, and budget documents. The FFY04 project files were more complete than the FFY05 files;
- All project goals were not met for all nine FFY04 files and all nine FFY05 files reviewed where the grant agreements contained measurable goals;
- Many documents were not date stamped upon receipt. Therefore, it was difficult to determine whether reimbursement claims were paid timely, or whether other documentation, such as progress reports and final reports were received in the time frames required by the project agreement; and
- DTS paid reimbursement claims from grantees without having received all documentation required by the agreement.

IDOT lacked written policies and procedures to guide the review and award of grant applications. Decision documents used for acceptance or denials of grant applications were not maintained to substantiate the Highway Safety Planning Committee's decisions.

IDOT rolled over approximately \$13.3 million from FFY04 to FFY05 in unused National Highway Traffic Safety Administration funds. In September 2004, and again in an April 2005 management review,

NHTSA requested that IDOT develop a liquidation plan. As of the end of our fieldwork (September 2005), IDOT had not developed the requested liquidation plan which details how to liquidate past funding that continues to roll over from year to year. Subsequently, in November 2005, IDOT submitted a liquidation plan to NHTSA.

Like the NHTSA programs, IDOT has been rolling over funds for the Motor Carrier Safety Assistance Program (MCSAP). In August 2004, the Federal Motor Carrier Safety Administration (FMCSA) wrote a letter to IDOT threatening to deobligate \$2,275,982 in funding because of the large rollover amount. In September 2004, IDOT submitted a liquidation plan to FMCSA.

IDOT is not maximizing its federal reimbursements. Unlike other states, IDOT's Division of Traffic Safety does not use fringe or indirect cost rates when claiming federal reimbursement. While DTS bills NHTSA for some costs incurred (such as retirement and social security), others such as healthcare and other indirect costs are not billed. If IDOT billed NHTSA and FMCSA using the 90.85 percent overhead rate it charges the Federal Highway Administration, IDOT could claim an additional \$1,136,900 annually. IDOT could bill NHTSA an additional \$465,600 and FMCSA an additional \$671,300 annually.

In addition, IDOT did not seek federal reimbursement for all IDOT staff working to administer NHTSA highway safety projects in FY05. On July 1, 2005, DTS began to require nine employees to fill out specific timecards in order to request reimbursement from NHTSA. We determined that by not billing for these nine employees during FY05, IDOT failed to be reimbursed for more than \$400,000.

There continue to be other employees working on federal traffic safety programs for which IDOT is not seeking federal reimbursement in FY06. The other employees' annual salaries total more than \$80,000.

Data compiled by IDOT shows that safety belt and child safety seat usage have increased significantly over the last five years. However, the percent of fatalities related to alcohol has not significantly changed. When compared to the other states in NHTSA's Great Lakes Region, Illinois had above average seat belt usage but also had above average percentage of alcohol related fatalities for FFY04.

IDOT has had significant problems in implementing a new Crash Information System. As a result, IDOT could not provide crash data for calendar year 2004 and is using crash data from calendar year 2003 for highway safety planning for FFY06.

Regarding MCSAP, due to data limitations, it was difficult to determine if the motor carrier program has been effective in reducing the number of crashes or fatalities related to large trucks or buses in Illinois. Crashes related to large trucks in calendar year 2004 were at their highest point for the five-year period 2000-2004. However, we question whether the crash data reported by IDOT to the Federal Motor Carrier Safety Administration has been accurate because of the large fluctuations in the data. The number of fatal and non-fatal crashes involving large trucks decreased from 5,153 in 2000 to 3,547 in 2001. However, by 2004, the number of crashes involving large trucks increased to 7,825.

DTS's Evaluation Unit conducts reviews of traffic safety programs and received a commendation in the most recent management review conducted by NHTSA. Although DTS has conducted reviews of initiatives conducted using NHTSA funds, IDOT has not reviewed the operational efficiency of traffic safety operations. In addition, no effectiveness or efficiency reviews have been conducted of motor carrier safety programs.

INTRODUCTION

Legislative Audit Commission Resolution Number 129 adopted September 22, 2004, directed the Office of the Auditor General to conduct a management and program audit of the Illinois Department of Transportation's traffic safety programs. The Resolution directs the Auditor General to determine:

- Whether the Department's traffic safety programs are being operated in conformity with applicable State and federal requirements;
- Whether the Department has established and implemented procedures to periodically review both the efficiency and effectiveness of its traffic safety initiatives;
- Whether the Department's traffic safety programs have experienced either staffing or budgetary reductions in the past two fiscal years and the impact of those reductions, if any, on the programs' operations;
- Whether the Department has plans for future reductions of staff and/or budget in its traffic safety programs and the extent to which the Department has analyzed the impact of those reductions of the programs' operations; and

- The extent to which any past reductions have impacted, or any planned reductions may impact, federal funding for traffic safety programs.

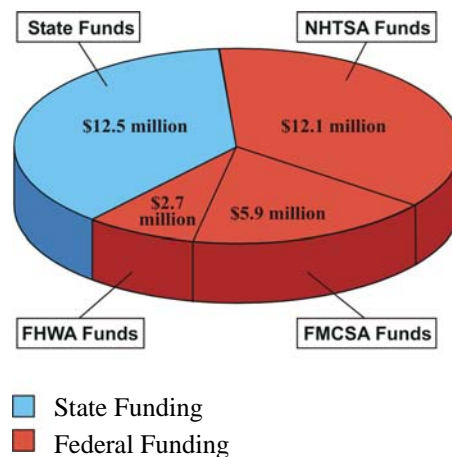
The Illinois Department of Transportation (IDOT) administers highway safety programs for the State of Illinois. These programs are aimed at reducing the number and severity of motor vehicle crashes, fatalities, personal injuries, and property damage. Traffic safety program activities performed by IDOT include public information and education, enforcement in areas of police traffic services, alcohol countermeasures, traffic records, and highway operational improvements. (page 4)

IDOT DIVISION OF TRAFFIC SAFETY

Traffic safety programs are funded primarily by the federal government in two main program areas. The first is Highway Traffic Safety Programs funded by the National Highway Traffic Safety Administration (NHTSA). These programs provide the funding for programs designed to reduce impaired driving and increase seatbelt use. The second area is the Motor Carrier Safety Assistance Program (MCSAP). Motor carrier safety programs are funded primarily by the Federal Motor Carrier Safety Administration (FMCSA). These programs consist of commercial vehicle inspections, safety audits of commercial carriers, and the safe transport of hazardous materials.

The Illinois Department of Transportation (IDOT) has established a Division of Traffic Safety (DTS) that is responsible for highway safety programs and activities. Digest Exhibit 1 shows that in FY05, expenditures for the Division of Traffic Safety totaled \$33.2 million. State funds comprised \$12.5 million or 38 percent of total DTS expenditures. Federal funds from the

Digest Exhibit 1
**DIVISION OF TRAFFIC SAFETY
EXPENDITURES BY FUNDING SOURCE**
State Fiscal Year 2005



Source: OAG analysis of Illinois Department of Transportation data.

Federal Highway Administration (FHWA), the National Highway Traffic Safety Administration, and the Federal Motor Carrier Safety Administration accounted for \$20.7 million or 62 percent of expenditures.

In FFY04 and FFY05, IDOT awarded approximately 300 enforcement and non-enforcement projects to grantees annually. IDOT's Office of Planning and Programming coordinates all grant activities among State and local agencies. IDOT also uses Law Enforcement Liaisons (LELs) hired through Eastern Illinois University and the St. Clair County Sheriff to monitor grantees as well as Local Agency Liaisons (LALs) located within IDOT's Office of External Affairs. (pages 5-7)

DIVISION OF TRAFFIC SAFETY REORGANIZATION

In July 2004, DTS was reorganized resulting in the layoff of 17 employees.

In July 2004, DTS was reorganized resulting in the layoff of 17 employees. Of these 17 individuals, 15 were employed in the Bureau of Safety Program's Safety Projects Section. The Safety Projects Section was responsible for National Highway Traffic Safety Administration (NHTSA) highway traffic safety programs. IDOT officials indicated that no future staffing or budgetary reductions are planned.

The 15 staff laid off in the Safety Projects Section were responsible for planning and developing highway safety projects through supervising the development of projects in both State agencies and local governments. This included grant monitoring and review as well as the processing of reimbursement claims. The majority of these employees were project managers and existed to ensure that the grantees were in compliance with the project goals and objectives.

Reorganization Planning Documents

IDOT could provide little documentation that any formal planning or analysis was conducted.

IDOT could provide little documentation that any formal planning or analysis was conducted prior to the July 2004 reorganization of the Division of Traffic Safety (DTS). In April 2004, IDOT developed an agency-wide reorganization plan, which did not document the need or rationale for the DTS reorganization nor how the responsibilities of the laid-off employees would be carried out.

In May 2004, NHTSA expressed concerns to IDOT about not being informed of the termination of federally funded traffic safety employees and requested a reorganization plan. In June 2004, IDOT submitted a draft reorganization plan to NHTSA. While the June 2004 plan identified areas where IDOT concluded improvements were needed, IDOT was unable to provide auditors with documentation to support its analysis.

Post-Reorganization Management

Because IDOT officials did not have an adequate plan prior to the reorganization as to who was going to manage projects and process reimbursement claims from grantees once everyone in the Safety Projects Section was laid off, no project monitoring took place for the first several months of FY05. Some staff hired had limited educational backgrounds and experience related to the desired qualifications. Also, the contracts for the Law Enforcement Liaisons (LELs) were not updated to reflect additional project monitoring responsibilities given to the LELs. Furthermore, some reimbursement claims from grantees were not paid timely. Finally, while DTS has provided some training to project managers, as of September 1, 2005, DTS did not have any policies and procedures manuals for its staff.

After the reorganization, staffing was inadequate to carry out essential DTS functions. According to DTS officials, after the reorganization occurred, claims for reimbursement were coming into DTS and there was no one assigned to process them. Within approximately six weeks of the reorganization, IDOT had hired back three of the laid-off DTS employees under contract to perform necessary day-to-day operations, which included processing reimbursement claims.

Additionally, the changes that have occurred within DTS have led to several organizational issues. In some cases the lines of responsibility have become unclear and some functions are being performed by individuals in a manner that is not consistent with their organizational placement and responsibilities. As is stated in the April 2005 NHTSA management review, there are individuals with DTS responsibilities that do not appear on DTS's organizational chart or program descriptions. Project monitoring and claims reimbursement are now fragmented among four IDOT organizational units (Division of Traffic Safety, Office of External Affairs, Office of Planning and Programming, and Office of Finance and Administration).

Reorganization Cost Savings Analysis

In April 2005, IDOT provided auditors with a cost savings analysis for the reorganization. Although IDOT noted that one of its reasons for the reorganization was to reduce headcount and "streamline functions and realize cost savings," the cost savings analysis was not prepared by IDOT prior to the reorganization.

In response to auditors' questions regarding reorganization cost savings for DTS, IDOT noted, "the reorganization and realignment of personnel within the Division of Traffic Safety resulted in annual cost

savings of almost \$2 million.” Of the \$2 million, \$1,001,880 was for salaries and \$910,208 was for overhead.

IDOT miscalculated the estimated savings from the elimination of the positions in the Division of Traffic Safety.

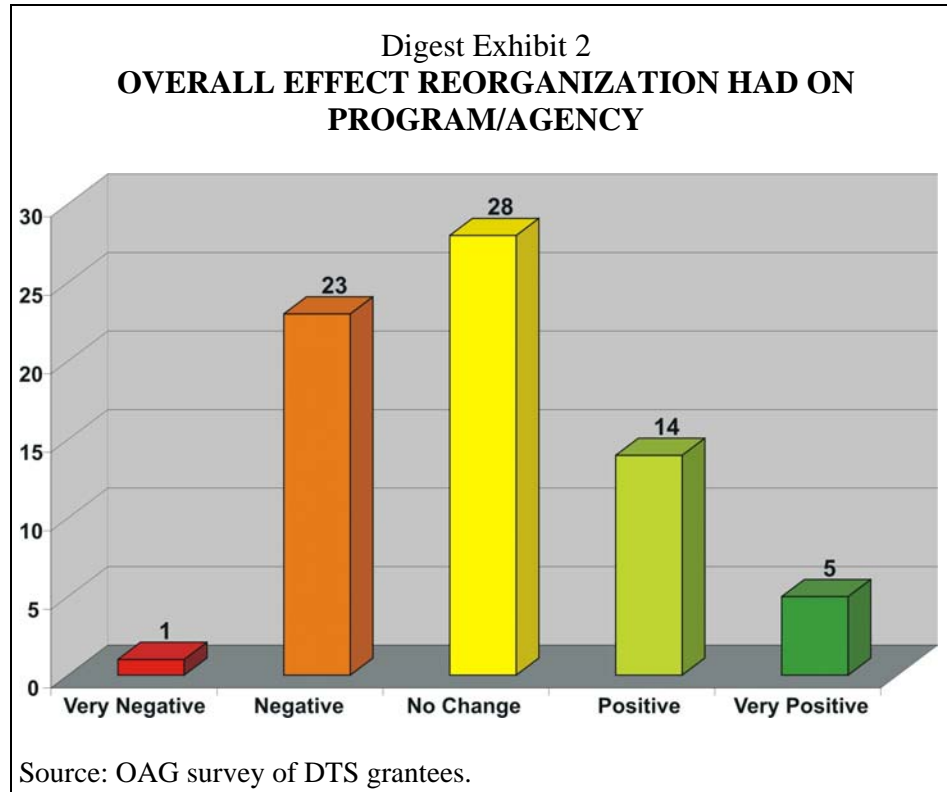
IDOT miscalculated the estimated savings from the elimination of the positions in the Division of Traffic Safety. IDOT reported savings from the reorganization of \$1,001,880 in salary costs. However, IDOT's calculations failed to take into account the cost of staff and contractual personnel hired or rehired or transferred to fulfill the duties of the 17 employees that were laid-off. IDOT incurred approximately \$756,570 in annualized costs associated with in-house or contractual staff working on DTS-related activities to replace the employees that were laid-off. It also did not take into account legal costs associated with the lawsuit filed by the laid-off IDOT employees, which according to IDOT totaled \$57,282 as of June 30, 2005.

Additionally, DTS hired several new staff after the reorganization even though IDOT's purpose for the reorganization was to reduce headcount and realize cost savings. Therefore, any savings estimated by IDOT were more than offset by additional hires by DTS in FFY05. In a June 10, 2005 memorandum, IDOT officials noted that they were planning to hire 27 new DTS employees. As of December 2005, DTS had filled 18 of 27 planned hires. (pages 16-29)

GRANTEE SURVEY

To determine the impact that the July 2004 reorganization and staff reductions had on DTS operations, we surveyed all grantees that received a grant in FFY04 and/or FFY05. Surveys were sent to 239 grantees and we received 140 responses (59%). Grantees reported both positive and negative comments about the performance of DTS before and after the reorganization.

Of the 140 responses received, 92 (66%) indicated that they had received at least one grant in both FFY04 and FFY05. Of the 92 respondents that received a grant in both years, 71 (77%) indicated they were aware that reorganization had taken place at DTS. The survey asked what overall effect the reorganization had on the grantee's program/agency and asked them to categorize the effect as very positive, positive, no change, negative, or very negative. The 71 responded as follows: no change (28), negative (23), positive (14), very positive (5), very negative (1), as shown in Digest Exhibit 2. (pages 29-33)



PROJECT FILE REVIEW

In order to see if the reorganization had any effect on DTS operations, we randomly selected 60 projects to review. We reviewed 30 from each of the last two federal fiscal years (FFY04 and FFY05). Of the 30, we selected 25 enforcement and non-enforcement projects and 5 State agency projects. There were 300 enforcement and non-enforcement projects in FFY04 and 331 in FFY05. There were 15 State agency projects in FFY04 and 19 in FFY05.

During our review, we examined the project files to see whether required documentation was present, whether documentation was submitted timely as required, whether the grantee met the requirements and goals of the project, and whether DTS project managers monitored the projects as necessary. We compared differences between FFY04 (before the reorganization) and FFY05 (after the reorganization) and determined that the FFY04 project files were more complete than the FFY05 files.

Additionally, during our project file review, we determined that appropriate monitoring was not taking place. For example:

- Project files were missing documentation that was required within the grant agreements. Missing documents included

progress reports, documentation of media, patrol plans, reimbursement claims, and budget documents;

- All project goals were not met for all nine FFY04 files and all nine FFY05 files reviewed where the grant agreements contained measurable goals;
- Many documents were not date stamped upon receipt. Therefore, it was difficult to determine whether reimbursement claims were paid timely, or whether other documentation, such as progress reports and final reports were received in the time frames required by the project agreement; and
- DTS paid reimbursement claims from grantees without having received all documentation required by the agreement. Documentation missing included progress reports, planning documents, and documentation to support the number of officers or hours worked.

None of the files contained all of the necessary documentation to support that requirements, goals, and objectives were met.

In addition to our sample of enforcement and non-enforcement projects, we reviewed State agency project files to determine if the requirements, goals and objectives outlined in the project agreement were met. We found none of the files contained all of the necessary documentation to support that requirements, goals, and objectives were met. (pages 33-37)

HIGHWAY SAFETY PLANNING COMMITTEE

The Division of Traffic Safety's Highway Safety Planning Committee exists to make decisions as to what highway safety projects are funded each year. Each year, grant applications are submitted to the Committee by local agencies such as police departments, hospitals, and universities.

We requested policies, procedures, and criteria used in the decision-making process as well as dates of meetings, meeting minutes, and decision-making documents such as decision memos. DTS officials noted there were no written policies, procedures, or criteria. Additionally, DTS was unable to provide documentation, such as decision memos and evaluation instruments, to support the decision to deny FFY05 projects other than copies of the denial letters.

For FFY06, the Highway Safety Planning Committee reviewed 153 grant proposals. DTS did not fund 21 project applications or 14 percent. For the FFY06 projects that were not funded, DTS provided

auditors with a list that contained a brief description as to why the application was denied. The list provided did not contain detailed support for the denial. We reviewed the projects that DTS denied due to either a lack of performance or a failure to meet criteria. We found some discrepancies between the reasons noted in the denial letters, the list of denials, and the Highway Safety Planning Committee Review Form. (pages 38-40)

ROLLOVER OF FUNDS

In the past, IDOT has rolled over large amounts of unused federal funds from previous years. NHTSA allows IDOT to roll over unused funds for three years after the year for which it was received. One risk of continually rolling over funds is that NHTSA will lower the funding that Illinois gets since IDOT is unable to spend it. Another risk is that NHTSA will simply take the funding that is being rolled over. In FFY05, \$13.3 million was rolled over by IDOT (\$9.9 million from Highway Safety Programs and \$3.4 million from Alcohol Traffic Safety Programs).

NHTSA was concerned about IDOT's rollover of funds after receiving IDOT's FFY05 Highway Safety Plan. In a September 30, 2004 letter, NHTSA requested that IDOT address the liquidation of funds. NHTSA requested that IDOT develop a liquidation plan of action within 60 days and submit it to NHTSA for review. In its April 2005 management review, NHTSA once again requested a liquidation plan be submitted with IDOT's FFY06 Highway Safety Plan. As of the end of our fieldwork (September 2005), IDOT had not developed the requested liquidation plan which details how to liquidate past funding that continues to roll over from year to year. Subsequently, in November 2005, IDOT submitted a liquidation plan to NHTSA.

Like the NHTSA programs, IDOT has been rolling over funds for the Motor Carrier Safety Assistance Program (MCSAP). In August 2004, the Federal Motor Carrier Safety Administration (FMCSA) wrote a letter to IDOT threatening to deobligate \$2,275,982 in funding because of the large rollover amount. In September 2004, IDOT submitted a liquidation plan to FMCSA. (pages 46-49)

FRINGE AND INDIRECT COST RATES

IDOT is not maximizing its federal reimbursements. Unlike other states, IDOT's Division of Traffic Safety does not use fringe or indirect cost rates when claiming federal reimbursement. While DTS bills NHTSA for some costs incurred (such as retirement and social security), others such as healthcare and other indirect costs are not billed. IDOT only bills about 22 percent to NHTSA and 15 percent to FMCSA for

fringe costs and does not seek federal reimbursement for all associated costs (such as healthcare and indirect costs). IDOT uses a rate of 90.85 percent to bill for employee costs to the Federal Highway Administration for projects; however, IDOT does not bill the 90.85 percent overhead rate when claiming reimbursement from either NHTSA or the FMCSA.

We annualized the billings for the first pay period of FFY06 to NHTSA and FMCSA to estimate additional funds IDOT could claim. If IDOT billed NHTSA and FMCSA using the 90.85 percent overhead rate it charges the Federal Highway Administration, IDOT could claim an additional \$1,136,900 annually. IDOT could bill NHTSA an additional \$465,600 and FMCSA an additional \$671,300 annually.

In addition, IDOT did not seek federal reimbursement for all IDOT staff working to administer NHTSA highway safety projects in FY05. On July 1, 2005, DTS began to require nine employees to fill out specific timecards in order to request reimbursement from NHTSA. We determined that by not billing for these nine employees during FY05, IDOT failed to be reimbursed for more than \$400,000.

There continue to be other employees working on federal traffic safety programs for which IDOT is not seeking federal reimbursement in FY06. The other employees' annual salaries total more than \$80,000. (pages 50, 51)

EFFICIENCY AND EFFECTIVENESS

DTS's Evaluation Unit received a commendation in the most recent management review conducted by NHTSA for performing exemplary evaluations.

IDOT has established an Evaluation Unit within the Division of Traffic Safety. The Evaluation Unit regularly produces a variety of annual evaluation reports, survey results, and summary sheets that compare program goals with actual outcomes. DTS's Evaluation Unit received a commendation in the most recent management review conducted by NHTSA for performing exemplary evaluations.

Although DTS has reviewed initiatives conducted using NHTSA funds, IDOT has not reviewed the efficiency of traffic safety operations. Some evaluations we reviewed of NHTSA funded programs included measures that could be used to assess program efficiency. IDOT did not conduct reviews of MCSAP programs to determine their effectiveness or efficiency.

Outcomes and Accomplishments

Digest Exhibit 3 shows Illinois' traffic safety statistics for the period calendar year 2000-2004. IDOT could not provide complete crash data for calendar year 2004. The numbers that IDOT could provide for 2004 were related to fatalities and seat belt usage. This data shows that safety belt and child safety seat usage have increased significantly over the last five years. However, the percent of alcohol related fatalities has not changed significantly.

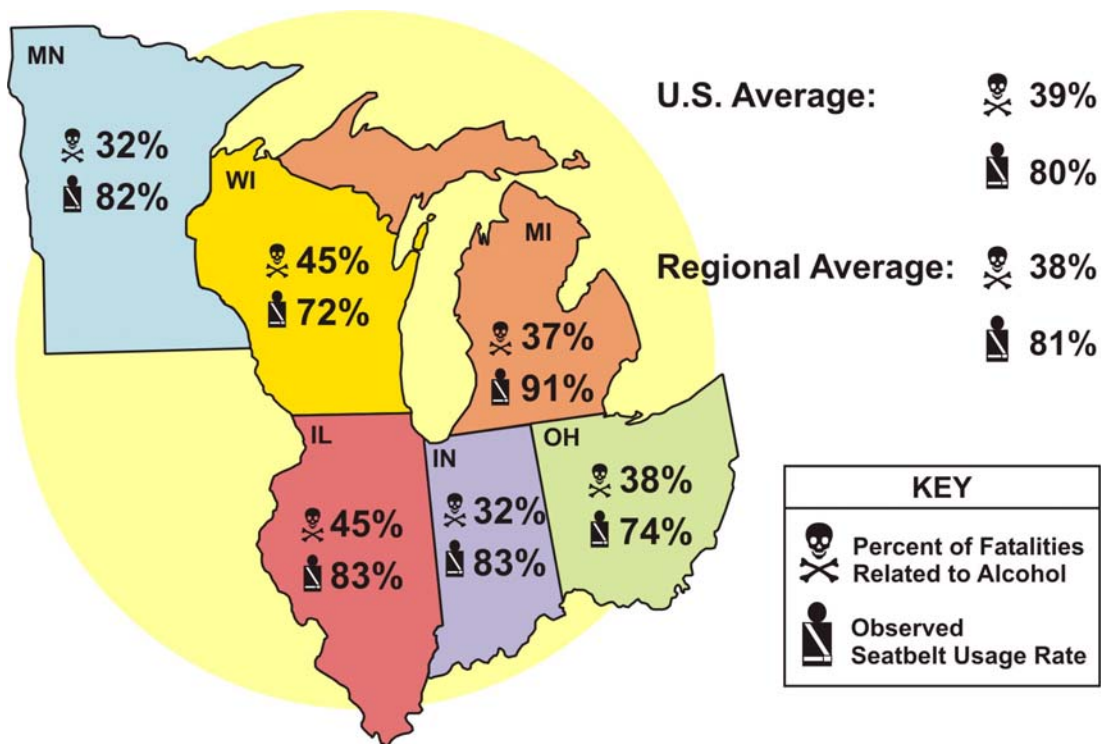
Digest Exhibit 3 ILLINOIS TRAFFIC SAFETY STATISTICS 2000-2004					
	2000	2001	2002	2003	2004
Vehicle Miles Traveled (in Billions)	102.94	103.12	106.18	106.46	108.91
Total Crashes	460,172	443,293	438,990	437,289	n/a ¹
Injury Crashes	91,472	86,343	87,458	88,585	n/a ¹
Injuries	134,256	124,631	127,719	131,279	n/a ¹
Injuries Rate (per 100 million VMT ²)	130.43	120.99	120.28	123.31	n/a ¹
Fatal Crashes	1,274	1,274	1,273	1,308	1,225
Fatalities	1,418	1,414	1,420	1,454	1,356
Fatalities Rate (per 100 million VMT ²)	1.38	1.37	1.34	1.37	1.25
Alcohol-Related Fatalities	628	623	653	639	604
Percent of Total Fatalities Related to Alcohol	44%	44%	46%	44%	45%
Safety Belt Usage	70%	69%	74%	76%	83%
Child Safety Seat Usage	n/a ³	74%	n/a ³	60%	83%
Notes: ¹ 2004 crash data was not available. ² VMT denotes "vehicle miles traveled". ³ A child safety seat usage survey was not conducted or data was not available.					
Source: IDOT Highway Safety Program Annual Evaluation Reports, NHTSA and IDOT data.					

Regarding MCSAP, due to data limitations, it was difficult to determine if the motor carrier safety program has been effective in reducing the number of crashes or fatalities related to large trucks or buses in Illinois. Crashes related to large trucks in calendar year 2004 were at their highest point for the five-year period 2000-2004. However, we question whether the crash data reported by IDOT to the Federal Motor Carrier Safety Administration has been accurate because of the large fluctuations in the data. The number of fatal and non-fatal crashes involving large trucks decreased from 5,153 in 2000 to 3,547 in 2001. However, by 2004, the number of crashes involving large trucks increased to 7,825.

Efforts undertaken related to the NHTSA traffic safety programs are primarily related to seat belt and alcohol usage. These programs include awarding enforcement and non-enforcement grants to local and State agencies and advertising campaigns.

Digest Exhibit 4 shows how Illinois compares to the other states in the NHTSA's Great Lakes Region for seatbelt use and the percent of alcohol related fatalities for FFY04. For 2004, Illinois had above average seat belt usage. However, the percent of fatalities related to alcohol was tied with Wisconsin for the highest in the Region. (pages 54-58)

Digest Exhibit 4
PERCENT OF SEATBELT USAGE AND FATALITIES RELATED TO ALCOHOL -GREAT LAKES REGION
 Federal Fiscal Year 2004



Source: National Highway Traffic Safety Administration.

CRASH DATA

IDOT has several different information systems that contain crash data that could be used to plan traffic safety program activities and assess the effectiveness of programs operations. Unfortunately few of these systems provide consistent, accurate, and reliable data. As of October 2005, IDOT could not provide crash data for calendar year 2004. As a result, IDOT is using calendar year 2003 crash data to plan traffic safety activities for FFY06.

Crash Information System (CIS) and Mobile Capture and Reporting System (MCR)

In August 2004 IDOT contracted with a private vendor to conduct an audit of IDOT's crash systems including CIS and MCR. According to the audit, as of August 2004, IDOT had invested approximately \$1.5 million in the CIS project and approximately \$1.8 million to complete the MCR project. The audit found significant problems with the crash systems.

We followed up on the audit's recommendations with IDOT officials in the Bureau of Information Processing and the Division of Traffic Safety. As of August 2005, 5 of the 23 recommendations had not been implemented and 5 were only partially implemented.

MCSAP Data

Data for crashes involving large trucks and buses is kept on the Motor Carrier Management Information System (MCMIS). This system also has data regarding the number of inspections completed. A review of state safety data quality in June 2005 conducted by the Federal Motor Carrier Safety Administration (FMCSA) rated Illinois' data as "poor" overall and rated completeness and accuracy of crash data as "poor".

Traffic Records Coordinating Committee

At the request of NHTSA, IDOT re-established a Traffic Records Coordinating Committee in late 2004 to assess problems with traffic safety data. The 32-member Committee includes representatives from IDOT as well as other State agencies and the federal government. The Committee met for the first time in December 2004. The Committee has recommended that a traffic records assessment be conducted in FY06 using a team of experts assembled by NHTSA. (pages 64-68)

RECOMMENDATIONS

The audit contains 11 recommendations to the Illinois Department of Transportation. The Illinois Department of Transportation generally agreed to implement the 11 recommendations. The Department's written responses can be found in Appendix H.

WILLIAM G. HOLLAND
Auditor General

WGH:MP/SW
March 2006

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Chapter One

INTRODUCTION AND BACKGROUND

REPORT CONCLUSIONS

The Illinois Department of Transportation (IDOT) administers highway safety programs for the State of Illinois. These programs are aimed at reducing the number and severity of motor vehicle crashes, fatalities, personal injuries, and property damage. Many of IDOT's Division of Traffic Safety's programs are carried out by local law enforcement agencies and other grantees.

In July 2004, the Division of Traffic Safety (DTS) was reorganized, resulting in the layoff of 17 employees. IDOT did not adequately plan for the Traffic Safety reorganization, which was part of an agency-wide reorganization. Most of the 17 laid-off Division of Traffic Safety (DTS) employees worked in the Bureau of Safety Program's Safety Projects Section which was responsible for administering and monitoring traffic safety grants largely funded by the National Highway Traffic Safety Administration (NHTSA). Examples of issues due to IDOT's lack of reorganization planning included:

- An April 2004 agency-wide reorganization plan did not document the need or rationale for the reorganization nor how the responsibilities of the laid-off employees would be carried out;
- In May 2004, NHTSA expressed concerns to IDOT about not being informed of the termination of federally funded Traffic Safety employees and requested a reorganization plan;
- In June 2004, IDOT submitted a draft reorganization plan to NHTSA. While the June plan identified areas where IDOT concluded improvements were needed, IDOT was unable to provide auditors with documentation to support its analysis;
- No grant project monitoring took place for the first several months of FY05;
- IDOT hired back three laid-off DTS employees under contract to perform necessary day-to-day operations, including processing reimbursement claims;
- Some functions are being performed by individuals in a manner that is not consistent with their organizational placement and responsibilities;
- Some staff hired had limited educational backgrounds and experience related to the desired qualifications; and
- Although DTS provided some training to project managers, as of September 1, 2005, DTS did not have policies and procedures manuals for its staff.

IDOT miscalculated the savings from the elimination of the positions in the Division of Traffic Safety. IDOT's cost savings estimate, prepared **after** the reorganization, failed to take into account the cost of staff and contractual personnel hired to fulfill the duties of the laid-off employees. It also did not take into account legal costs associated with the lawsuit filed by the laid-off IDOT employees, which according to IDOT totaled \$57,282 as of June 30, 2005. Furthermore, in a June 2005 memo, IDOT stated that it intended to hire a total of 27 **new** employees in DTS. As of December 2005, IDOT had hired 18 of the 27.

To determine the impact that the July 2004 reorganization and staff reductions had on DTS operations, we surveyed grantees and reviewed DTS grantee project files. Grantees reported both positive and negative comments about the performance of DTS before and after the reorganization.

During our project file review of 25 files from FFY04 and 25 files for FFY05, we determined that appropriate monitoring was not taking place. For example:

- Project files were missing documentation that was required within the grant agreements. Missing documents included progress reports, documentation of media, patrol plans, reimbursement claims, and budget documents. The FFY04 project files were more complete than the FFY05 files;
- All project goals were not met for all nine FFY04 files and all nine FFY05 files reviewed where the grant agreements contained measurable goals;
- Many documents were not date stamped upon receipt. Therefore, it was difficult to determine whether reimbursement claims were paid timely, or whether other documentation, such as progress reports and final reports were received in the time frames required by the project agreement; and
- DTS paid reimbursement claims from grantees without having received all documentation required by the agreement.

IDOT lacked written policies and procedures to guide the review and award of grant applications. Decision documents used for acceptance or denials of grant applications were not maintained to substantiate the Highway Safety Planning Committee's decisions.

IDOT rolled over approximately \$13.3 million from FFY04 to FFY05 in unused National Highway Traffic Safety Administration funds. In September 2004 and again in an April 2005 management review, NHTSA requested that IDOT develop a liquidation plan. As of the end of our fieldwork (September 2005), IDOT had not developed the requested liquidation plan which details how to liquidate past funding that continues to roll over from year to year. Subsequently, in November 2005, IDOT submitted a liquidation plan to NHTSA.

Like the NHTSA programs, IDOT has been rolling over funds for the Motor Carrier Safety Assistance Program (MCSAP). In August 2004, the Federal Motor Carrier Safety Administration (FMCSA) wrote a letter to IDOT threatening to deobligate \$2,275,982 in funding because of the large rollover amount. In September 2004, IDOT submitted a liquidation plan to FMCSA.

IDOT is not maximizing its federal reimbursements. Unlike other states, IDOT's Division of Traffic Safety does not use fringe or indirect cost rates when claiming federal reimbursement. While DTS bills NHTSA for some costs incurred (such as retirement and social security), others such as healthcare and other indirect costs are not billed. If IDOT billed NHTSA and FMCSA using the 90.85 percent overhead rate it charges the Federal Highway Administration, IDOT could claim an additional \$1,136,900 annually. IDOT could bill NHTSA an additional \$465,600 and FMCSA an additional \$671,300 annually.

In addition, IDOT did not seek federal reimbursement for all IDOT staff working to administer NHTSA highway safety projects in FY05. On July 1, 2005, DTS began to require nine employees to fill out specific timecards in order to request reimbursement from NHTSA. We determined that by not billing for these nine employees during FY05, IDOT failed to be reimbursed for more than \$400,000.

There continue to be other employees working on federal traffic safety programs for which IDOT is not seeking federal reimbursement in FY06. The other employees' annual salaries total more than \$80,000.

Data compiled by IDOT shows that safety belt and child safety seat usage have increased significantly over the last five years. However, the percent of fatalities related to alcohol has not significantly changed. When compared to the other states in NHTSA's Great Lakes Region, Illinois had above average seat belt usage but also had above average percentage of alcohol related fatalities for FFY04.

IDOT has had significant problems in implementing a new Crash Information System. As a result, IDOT could not provide crash data for calendar year 2004 and is using crash data from calendar year 2003 for highway safety planning for FFY06.

Regarding MCSAP, due to data limitations, it was difficult to determine if the motor carrier program has been effective in reducing the number of crashes or fatalities related to large trucks or buses in Illinois. Crashes related to large trucks in calendar year 2004 were at their highest point for the five-year period 2000-2004. However, we question whether the crash data reported by IDOT to the Federal Motor Carrier Safety Administration has been accurate because of the large fluctuations in the data. The number of fatal and non-fatal crashes involving large trucks decreased from 5,153 in 2000 to 3,547 in 2001. However, by 2004, the number of crashes involving large trucks increased to 7,825.

DTS's Evaluation Unit conducts reviews of traffic safety programs and received a commendation in the most recent management review conducted by NHTSA. Although DTS has conducted reviews of initiatives conducted using NHTSA funds, IDOT has not reviewed the operational efficiency of traffic safety operations. In addition, no effectiveness or efficiency reviews have been conducted of motor carrier safety programs.

INTRODUCTION

Legislative Audit Commission Resolution Number 129 adopted September 22, 2004, directed the Office of the Auditor General to conduct a management and program audit of the Illinois Department of Transportation's traffic safety programs. The Resolution directs the Auditor General to determine:

- Whether the Department's traffic safety programs are being operated in conformity with applicable State and federal requirements;
- Whether the Department has established and implemented procedures to periodically review both the efficiency and effectiveness of its traffic safety initiatives;
- Whether the Department's traffic safety programs have experienced either staffing or budgetary reductions in the past two fiscal years and the impact of those reductions, if any, on the programs' operations;
- Whether the Department has plans for future reductions of staff and/or budget in its traffic safety programs and the extent to which the Department has analyzed the impact of those reductions of the programs' operations; and
- The extent to which any past reductions have impacted, or any planned reductions may impact, federal funding for traffic safety programs.

The Illinois Department of Transportation (IDOT) administers highway safety programs for the State of Illinois. These programs are aimed at reducing the number and severity of motor vehicle crashes, fatalities, personal injuries, and property damage. Traffic safety program activities performed by IDOT include public information and education, enforcement in areas of police traffic services, alcohol countermeasures, traffic records, and highway operational improvements.

**DIVISION OF TRAFFIC SAFETY
MISSION STATEMENT**

The Division of Traffic Safety's mission is to formulate, coordinate and deliver information, services and programs that will mobilize public and private resources to establish effective public policy and integrated programs to improve highway safety in Illinois.

IDOT DIVISION OF TRAFFIC SAFETY

The Illinois Department of Transportation (IDOT) has established a Division of Traffic Safety (DTS) that is responsible for highway safety programs and activities. As can be seen in Exhibit 1-1, FY05 expenditures for the Division of Traffic Safety totaled \$33.2 million. State funds comprised \$12.5 million or 38 percent of total DTS expenditures. Federal funds from the Federal Highway Administration (FHWA), the National Highway Traffic Safety Administration (NHTSA), and the Federal Motor Carrier Safety Administration (FMCSA) accounted for \$20.7 million or 62 percent of expenditures.

Exhibit 1-2 is an organizational overview of IDOT’s Division of Traffic Safety as of August 2005 showing the bureaus and sections in the Division. DTS is organized into three branches: an

Executive Office, the Bureau of Safety Programs and Administrative Services, and the Bureau of Safety Data and Data Services. The DTS Executive Office is comprised of a total of nine positions including the Director of Traffic Safety, a Deputy Director, a Special Assistant to the Director, an Assistant to the Deputy Director, an Assistant to the Director, a Legislative Assistant, a State Agency Project Administrator, and two administrative support staff. The Executive Office is the main operational unit for planning and directing operations of State highway safety.

The Bureau of Safety Data and Data Services is responsible for maintaining accident reports filed by motorists and law enforcement officials. The Bureau is also responsible for inputting data from these reports into the Illinois Crash Information System (CIS) and the Illinois Fatality Analysis Reporting System (FARS). The Bureau of Safety Programs and Administrative Services is responsible for duties involving the Motor Carrier Safety Assistance Program, vehicle inspections, and cycle rider training among others.

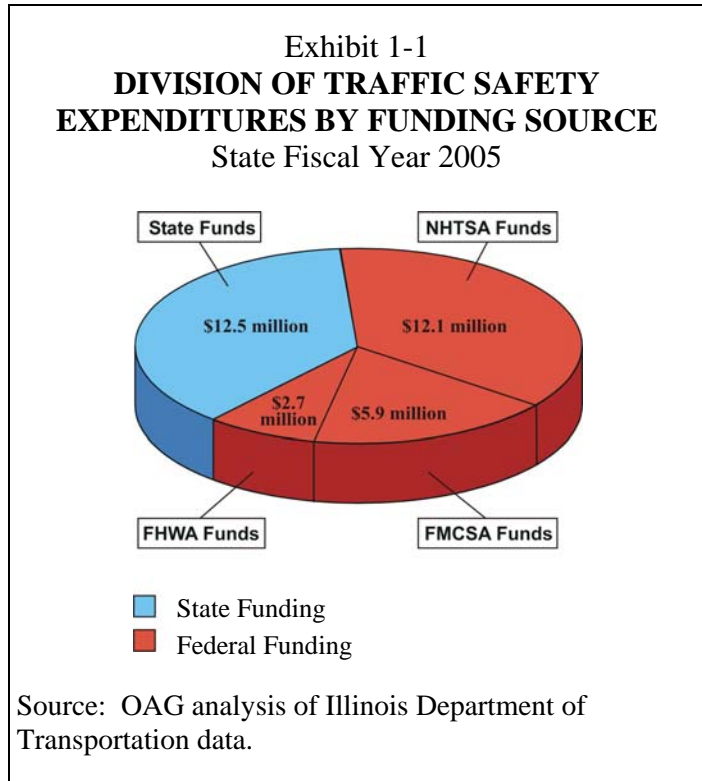
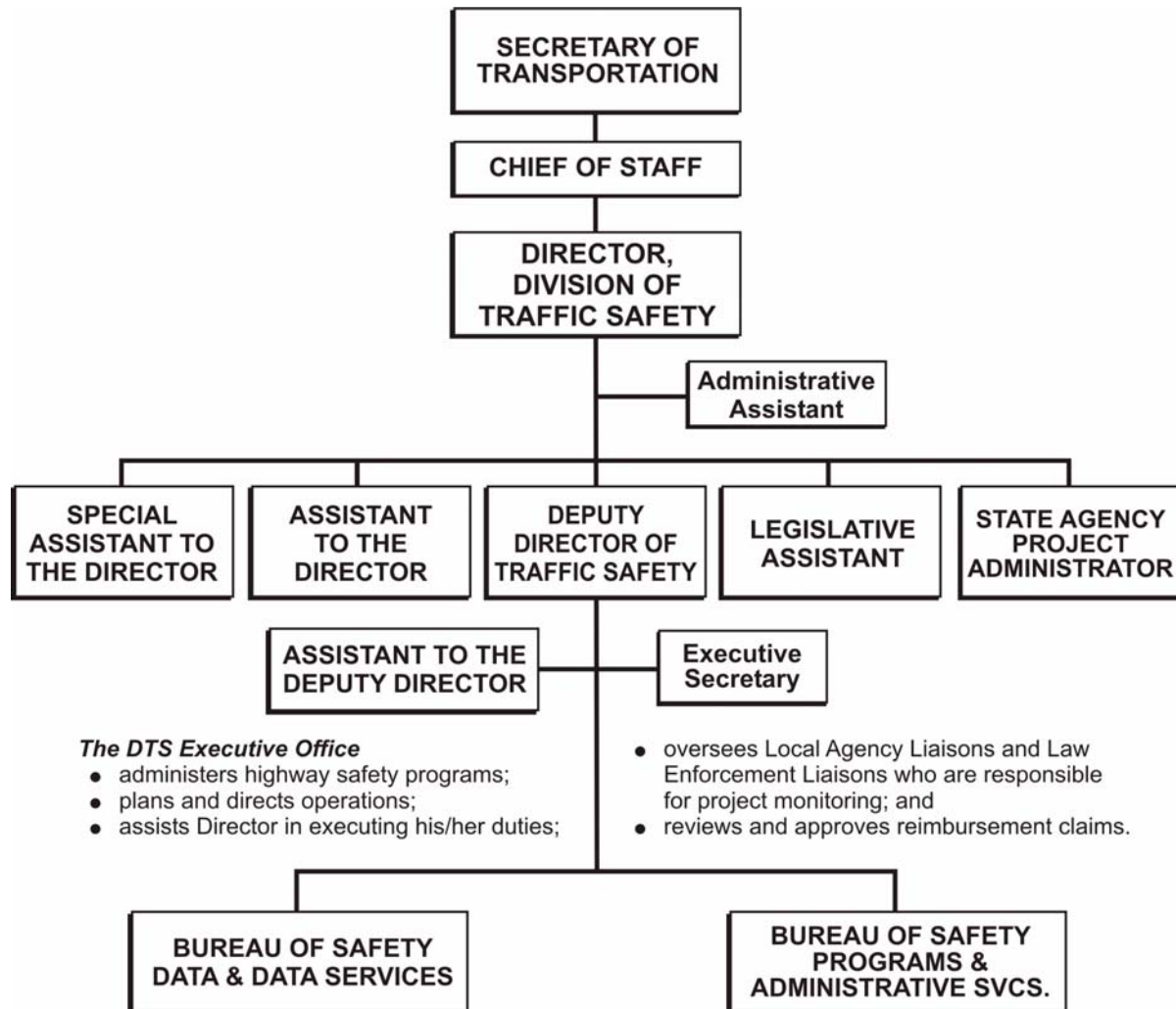


Exhibit 1-2
IDOT DIVISION OF TRAFFIC SAFETY OVERVIEW
 August 2005



The DTS Executive Office

- administers highway safety programs;
- plans and directs operations;
- assists Director in executing his/her duties;

- oversees Local Agency Liaisons and Law Enforcement Liaisons who are responsible for project monitoring; and
- reviews and approves reimbursement claims.

The Bureau of Safety Data and Data Services

- develops policies in the area of vehicle accident reporting;
- evaluates and analyzes accident data for use in devising countermeasures to decrease traffic deaths and injuries;
- disseminates accident statistics to traffic safety officials;
- administers the Department's portion of the State's Safety Responsibility Law;
- maintains accident reports filed by motorists and law enforcement officers; and
- submits the names of financially negligent persons involved in accidents to the Secretary of State for possible suspension of driving privileges.

The Bureau of Safety Programs and Administrative Services

- oversees Vehicle Inspection Program and Transportation of Hazardous Materials Program;
- conducts Motor Carrier Safety Program compliance reviews and safety audits; and
- develops policies for the State's Highway Safety Grant Program and Cycle Rider Training Program.

Source: OAG analysis of IDOT Organizational Chart.

Exhibit 1-3 shows the total expenditures and headcount for the Division of Traffic Safety for FY03-FY05. Traffic safety funding is discussed further in Chapter Three of this report.

In addition to the staff located in the Division of Traffic Safety shown in Exhibit 1-3, DTS also utilizes State and local agency grantees and employees from other divisions at IDOT to

operate and monitor traffic safety programs. DTS issues grants to local law enforcement agencies for activities such as conducting roadside safety checks. DTS also issues grants to State agencies, such as the Illinois State Police and the Secretary of State, for projects and activities, such as alcohol countermeasures and public information campaigns.

In FFY04 and FFY05, IDOT awarded approximately 300 enforcement and non-enforcement projects to grantees annually. IDOT’s Office of Planning and Programming coordinates all grant activities among State and local agencies. IDOT also uses Law Enforcement Liaisons (LELs) hired through Eastern Illinois University and the St. Clair County Sheriff to monitor grantees as well as Local Agency Liaisons (LALs) located within IDOT’s Office of External Affairs. Issues related to the organizational structure and staffing of DTS operations are discussed in greater detail in Chapter Two.

Exhibit 1-3 ANNUAL DTS EXPENDITURES AND AVERAGE FULL-TIME EMPLOYEES FY03 - FY05			
	FY03	FY04	FY05
Expenditures	\$35.9 million	\$34.4 million	\$33.2 million
Employees	128	116	104
Source: OAG Compliance Examinations of IDOT for the years ended June 30, 2003 and June 30, 2004 and the Illinois Department of Transportation for FY05.			

FEDERAL TRAFFIC SAFETY PROGRAMS

Traffic safety programs are funded primarily by the federal government in two main program areas. The first is Highway Traffic Safety Programs funded by the National Highway Traffic Safety Administration (NHTSA). These programs provide the funding for programs designed to reduce impaired driving and increase seatbelt use. The second area is the Motor Carrier Safety Assistance Program (MCSAP). Motor carrier safety programs are funded primarily by the Federal Motor Carrier Safety Administration (FMCSA). These programs consist of commercial vehicle inspections, safety audits of commercial carriers, and the safe transport of hazardous materials.

The federal Transportation Equity Act for the 21st Century (TEA-21) established eight grant program areas pertaining to traffic safety. In addition to the eight grant programs, TEA-21 promoted safety by encouraging states to pass laws related to open containers of alcohol and repeat intoxicated drivers (sections 154 and 164). TEA-21 also established the funding levels for transportation programs, including traffic safety programs. TEA-21 expired September 30, 2003.

After September 30, 2003, transportation programs were operated on extensions for nearly two years. According to IDOT officials, during this time safety programs were funded at

FFY03 levels. On July 29, 2005, Congress passed the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users or SAFETEA-LU. SAFETEA-LU was signed into law by the President on August 10, 2005. Although some of the eight grant programs under TEA-21 are no longer being funded, IDOT continues to rollover funding from prior years for many of the eight programs.

National Highway Traffic Safety Administration (NHTSA) Programs

The National Highway Traffic Safety Administration (NHTSA) carries out safety programs established under Title 49 of the U. S. Code in Chapter 301, Motor Vehicle Safety. NHTSA is responsible for reducing deaths, injuries, and economic losses resulting from motor vehicle crashes. This is accomplished by setting and enforcing safety performance standards for motor vehicles and motor vehicle equipment, and through grants to state and local governments to enable them to conduct effective local highway safety programs.

NHTSA helps states and local communities reduce the threat of drunk drivers and promote the use of safety belts, child safety seats, and air bags. NHTSA also conducts research on driver behavior and traffic safety, to develop the most efficient and effective means of bringing about safety improvements. Exhibit 1-4 shows TEA-21 grant programs for which NHTSA is responsible and gives a brief description of each. Appendix C shows a more detailed program description of individual programs in Illinois during FFY04. In FFY04, NHTSA allocated more than \$24 million in new and rollover funds to IDOT for the programs listed in Exhibit 1-4.

Exhibit 1-4
FFY04 FEDERAL TEA-21 GRANT PROGRAMS

HIGHWAY SAFETY FUNDS BASE PROGRAM

- **State and Community Highway Safety (Section 402)** -a formula grant program to support state highway safety programs designed to reduce traffic crashes and resulting deaths, injuries, and property damage.
Programs include: Injury Prevention, Integrated Mini-Grant Enforcement Program (IMaGE), Traffic Law Enforcement Projects (TLEP), Occupant Restraint Enforcement Project, Police Traffic Training, Special Traffic Enforcement Project, Speed Traffic Accident Reduction, Imaging Enhancement, Driving Under the Influence Enforcement, Anti-Drunk Driving Enforcement Project, and MCR Training

ALCOHOL FUNDS

- **Alcohol-Impaired Driving Countermeasures (Section 410)** -is a grant program to adopt and implement effective programs to reduce traffic safety problems resulting from individuals driving while under the influence of alcohol.
Programs include: Operation Straight ID, Roadside Safety Checkpoints, Judicial Training, Mini-Alcohol Program (MAP), DUI/.08 BAC Awareness, and Alcohol Countermeasures Enforcement
- **Safety Incentives to Prevent the Operation of Motor Vehicles by Intoxicated Persons (Section 163)** -is an incentive grant program to encourage states to establish .08 percent blood alcohol concentration as the legal limit for a drunk driving offense.
Programs include: Project 21, Local Alcohol Program (LAP), Direct Inquiry Internet, and Paid Media-Belts, Sangamon County Choose Alcohol Resistance Today (CART), MCR Training, and Alcohol.

OCCUPANT PROTECTION FUNDS

- **Occupant Protection Incentive Grants (Section 405(a))** -is an incentive grant program to encourage states to adopt and implement effective programs to reduce highway deaths and injuries resulting from individuals riding unrestrained or improperly restrained in motor vehicles.
Programs include: Occupant Protection Resource Centers and Enforcement Zones
- **Child Passenger Protection Education Grants (Section 2003(b))** -is an incentive grant program to encourage states to implement child passenger protection programs.
Programs include: Illinois Urban League Affiliates, Public Information and Education, and Illinois Early/Head Start Centers
- **Safety Incentive Grants for Use of Seatbelts (Section 157)** -is an incentive grant program to encourage states to increase safety belt usage rates.
Programs include: Paid Media
- **Safety Innovative Grants for Increasing Seatbelt Use Rates (Section 157)** -is an incentive grant program to encourage states to increase safety belt use through innovative projects that promote increased safety belt use.
Programs include: Media for Click It or Ticket

DATA IMPROVEMENT INCENTIVE GRANT

- **State Highway Safety Data Improvements (Section 411)** -is an incentive grant program to encourage states to adopt and implement effective programs to improve the timeliness, accuracy, completeness, uniformity, and accessibility of state data.
Programs include: Data Incentive

Note: More detailed program descriptions can be found in Appendix C.

Source: DTS 2004 Annual Evaluation Report, FY04 Highway Safety Plan, and Highway Safety Grant Funding Policy for Field-Administered Grants.

Motor Carrier Safety Assistance Program (MCSAP)

The federal Motor Carrier Safety Assistance Program (MCSAP) is a federal grant program that provides financial assistance to states to reduce the number and severity of accidents and hazardous materials incidents involving commercial motor vehicles (CMV). The goal of the program is to reduce the CMV involved accidents, fatalities, and injuries through consistent, uniform, and effective CMV safety programs.

MCSAP funds provide states with financial assistance to hire staff and implement strategies to enforce federal Motor Carrier Safety Regulations and Hazardous Materials Regulations. MCSAP funds are issued to conduct roadside inspections and reviews of motor carriers' compliance with these regulations. In addition, MCSAP funds are used to promote the detection and correction of commercial motor vehicle safety defects, commercial vehicle driver deficiencies, and unsafe motor carrier practices before they become contributing factors in crashes and hazardous materials incidents.

IDOT has the responsibility for developing appropriate State legislation and rules to ensure that State requirements are compatible with those of the U.S. Department of Transportation. IDOT also conducts audits and compliance reviews which can result in a civil penalty for violations of these regulations. The Illinois State Police (ISP) is involved in the enforcement of both motor carrier safety regulations and hazardous materials regulations through roadside inspections.

The funds provided by MCSAP are used primarily for personnel at the Illinois State Police and IDOT to conduct roadside inspections, compliance reviews, and safety audits of motor carriers, and for data collection/reporting. The FFY05 MCSAP plan, as amended, budgeted a total of \$9,793,993 for these activities (\$7,835,194 in federal funds and \$1,958,799 in State funds). Nearly 80 percent of all funds budgeted for FFY05 were for salaries and fringe benefits.

OTHER TRAFFIC SAFETY PROGRAMS AND ACTIVITIES

Although the bulk of traffic safety programs, staffing, and other resources are attributable to the NHTSA and FMCSA programs, IDOT also operates other traffic safety programs and undertakes other activities. These include programs for activities such as bus inspections, cycle rider training, and diesel emissions.

NHTSA MANAGEMENT REVIEW

During our audit, the National Highway Traffic Safety Administration (NHTSA) conducted a management review of IDOT’s Division of Traffic Safety in April 2005. The review contained 13 findings related to Organization and Staffing, Program Management, and Financial Management. The review also contained two commendations for IDOT’s community outreach efforts and DTS’s Evaluation Unit (see Exhibit 1-5).

<p>Exhibit 1-5 NHTSA MANAGEMENT REVIEW OF DTS: KEY FINDINGS April 2005</p>
<p>Organization and Staffing</p> <ul style="list-style-type: none"> • Use of two individuals not appearing on any organizational charts or program descriptions. • DTS does not have a Policies and Procedures Manual or at least a current version that is being used by DTS staff. • Inexperience of many DTS staff members in planning and implementing highway safety programs. <p>★ <i>Commendation:</i> The Evaluation Unit within the Bureau of Safety Programs and Administrative Services has performed exemplary evaluations on Illinois activities in support of the national “Click It or Ticket” safety belt campaign and the “You Drink and Drive. You Lose.” impaired driving crackdown. As a result of these efforts, Illinois has been able to highlight its accomplishments and identify areas for correction in subsequent year campaigns.</p>
<p>Program Management</p> <ul style="list-style-type: none"> • DTS should develop a more complete description of the process it utilizes in developing the problem identification section of the Performance Plan. • Several of the Project Agreement Problem Statements did not contain current data regarding the local severity or extent of the problem for which the project agreement was developed. • NHTSA has not received a liquidation plan from DTS (requested within 60 days on September 30, 2004). • DTS does not have a plan for sustained traffic safety enforcement campaign. • There is a great deal of variability in the quality of the problem statements in the grant agreements. • Training requirement for grantees is not being enforced. • Non-allowable costs were budgeted in a grant project. • Some claims for reimbursement were not submitted in a timely fashion by grantees. • At least two project files reviewed lacked monitoring reports. <p>★ <i>Commendation:</i> DTS is to be commended for its outreach efforts to solicit public comment on how DTS operates and to receive feedback on what the public would like to see from DTS. In conducting a series of 11 Public Forums throughout Illinois, DTS received some valuable public input that DTS is incorporating in the Highway Safety Plan planning process.</p>
<p>Financial Management</p> <ul style="list-style-type: none"> • DTS does not appear to have any evidence of employees or supervisors certifying employees’ sole participation on federal grants.
<p>Source: NHTSA Great Lakes Region Management Review of the Division of Traffic Safety.</p>

TRAFFIC SAFETY LAWS AND REGULATIONS

Traffic safety programs and requirements are primarily governed by federal laws and regulations. In addition to the April 2005 NHTSA review of DTS operations, which examined compliance with federal requirements, we reviewed DTS's compliance with federal requirements including those that call for states to adopt certain types of primary laws and those that require annual plans and certifications be submitted for approval. Our grant testing, discussed in Chapter Two, also tested compliance with certain grant provisions. Finally, we obtained input from a federal agency regarding IDOT's compliance with federal rules and requirements.

Illinois has passed several laws related to safety belts and alcohol usage to comply with federal regulations, including, among others:

- A safety belt usage law;
- A primary safety belt use law (allowing law enforcement to stop a vehicle for failure to use safety belts);
- Minimum fines/penalties for violation of safety belt use law;
- A child passenger protection law;
- An open container law (prohibiting the possession of an open alcoholic beverage container in a motor vehicle); and
- A .08 Blood Alcohol Content (BAC) law.

IDOT also submits several types of reports and certifications that are required by federal regulations. These include an annual Highway Safety Plan, a Performance Plan, an annual Evaluation Report, and certifications.

AUDIT SCOPE AND METHODOLOGY

This audit was conducted in accordance with generally accepted government auditing standards and the audit standards promulgated by the Office of the Auditor General at 74 Ill. Adm. Code 420.310.

The audit's objectives are contained in Legislative Audit Commission Resolution Number 129 (see Appendix A), which asked the Auditor General to conduct a management and program audit of the Illinois Department of Transportation's traffic safety programs. The audit focused on the programs that experienced staffing or budgetary reductions in the past two years as is referenced in the audit resolution. Audit fieldwork was completed September 30, 2005.

We reviewed applicable federal and State laws governing traffic safety programs. We reviewed compliance with those laws to the extent necessary to meet the audit's objectives. Any instances of non-compliance we identified are noted in this report.

We also reviewed management controls and assessed risk relating to the audit's objectives. A risk assessment was conducted to identify areas that needed closer examination. Any significant weaknesses in those controls are included in this report.

During the audit, we met with representatives of the Illinois Department of Transportation, the National Highway Traffic Safety Administration, the Federal Motor Carrier Safety Administration, and the Federal Highway Administration. We also met with other State agencies that receive funding through IDOT for traffic safety activities, including the Illinois Secretary of State, the Department of Public Health, Eastern Illinois University, the Law Enforcement Training and Standards Board, the Illinois Liquor Control Commission, the Illinois Administrative Office of the Courts, and the Illinois State Police.

We conducted a survey of all grantees that received traffic safety funds from IDOT during Federal Fiscal Years 2004 and 2005 as of March 2005. These entities included local law enforcement agencies, hospitals, and universities. The survey data was used to help determine if the staffing reduction had an effect on program operations. Additionally, we also contacted other states to review planning and evaluation reports and the types of costs billed to federal traffic safety agencies, including indirect and fringe rates.

In order to assess the effect the reorganization had on DTS operations, we reviewed 60 DTS project files. We reviewed 30 projects files from FFY04 and 30 from FFY05. During our review, we determined if required documentation was present, whether documentation was submitted timely as required, whether the grantee met the requirements and goals of the project, and whether DTS project managers monitored the projects as necessary. We then analyzed the results and compared differences between FFY04 (before the reorganization) and FFY05 (after the reorganization). A more detailed methodology can be found in Appendix B.

In April 2005, the federal National Highway Traffic Safety Administration (NHTSA) conducted a management review of the Illinois Department of Transportation's Division of Traffic Safety. The management review assessed the adequacy of DTS organization and staffing, program management and financial management systems, programs, and policies and procedures as they relate to its federally funded highway safety program. It also assessed whether DTS was in compliance with federal laws and regulations.

As a result of the layoffs, former IDOT employees filed a federal lawsuit in U.S. District Court on September 20, 2004. The lawsuit alleges that the layoffs were illegal and the employees are seeking reinstatement as well as compensation for lost salaries and benefits. According to IDOT officials in the summer of 2005, the lawsuit was still in the discovery phase. NHTSA officials indicated that NHTSA funds could not be used to compensate these individuals.

REPORT ORGANIZATION

The remainder of this report is organized into the following chapters:

- **Chapter Two** discusses Traffic Safety Management and Operations;
- **Chapter Three** discusses Traffic Safety Funding; and
- **Chapter Four** discusses the Efficiency and Effectiveness of Traffic Safety Initiatives.

Chapter Two

TRAFFIC SAFETY MANAGEMENT AND OPERATIONS

CHAPTER CONCLUSIONS

In July 2004, the Division of Traffic Safety (DTS) was reorganized, resulting in the layoff of 17 employees. The Illinois Department of Transportation (IDOT) did not adequately plan for the Traffic Safety reorganization, which was part of an agency-wide reorganization. Most of the 17 laid-off Traffic Safety employees worked in the Bureau of Safety Program's Safety Projects Section, which was responsible for administering and monitoring traffic safety grants largely funded by the National Highway Traffic Safety Administration (NHTSA). Examples of the lack of planning include:

- An April 2004 agency-wide reorganization plan did not document the need or rationale for the reorganization nor how the responsibilities of the laid-off employees would be carried out;
- In May 2004, NHTSA expressed concerns to IDOT about not being informed of the termination of federally funded Traffic Safety employees and requested a reorganization plan;
- In June 2004, IDOT submitted a draft reorganization plan to NHTSA. While the June plan identified areas where IDOT concluded improvements were needed, IDOT was unable to provide auditors with documentation to support its analysis;
- No grant project monitoring took place for the first several months of FY05;
- IDOT hired back three laid-off DTS employees under contract to perform necessary day-to-day operations, including processing reimbursement claims;
- Some functions are being performed by individuals in a manner that is not consistent with their organizational placement and responsibilities;
- Some staff hired had limited educational backgrounds and experience related to the desired qualifications; and
- Although DTS provided some training to project managers, as of September 1, 2005, DTS did not have policies and procedures manuals for its staff.

IDOT miscalculated the savings from the elimination of the positions in the Division of Traffic Safety. IDOT's cost savings estimate, prepared **after** the reorganization, failed to take into account the cost of staff and contractual personnel hired to fulfill the duties of the laid-off employees. It also did not take into account legal costs associated with the lawsuit filed by the laid-off IDOT employees, which according to IDOT totaled \$57,282 as of June 30, 2005. Furthermore, in a June 2005 memo, IDOT stated that it intended to hire a total of 27 **new** employees in DTS. As of December 2005, IDOT had hired 18 of the 27.

To determine the impact that the July 2004 reorganization and staff reductions had on DTS operations, we surveyed grantees and reviewed DTS grantee project files. Grantees reported both positive and negative comments about the performance of DTS before and after the reorganization.

During our grant project file review of 25 files from FFY04 and 25 files for FFY05, we determined that appropriate monitoring was not taking place. For example:

- Project files were missing documentation that was required within the grant agreements. Missing documents included progress reports, documentation of media, patrol plans, reimbursement claims, and budget documents. The FFY04 project files were more complete than the FFY05 files;
- All project goals were not met for all nine FFY04 files and all nine FFY05 files reviewed where the grant agreements contained measurable goals;
- Many documents were not date stamped upon receipt. Therefore, it was difficult to determine whether reimbursement claims were paid timely, or whether other documentation, such as progress reports and final reports were received in the time frames required by the project agreement; and
- DTS paid reimbursement claims from grantees without having received all documentation required by the agreement.

IDOT lacked written policies and procedures to guide the review and award of grant applications. Decision documents used for acceptance or denials of grant applications were not maintained to substantiate the Highway Safety Planning Committee's decisions.

DIVISION OF TRAFFIC SAFETY REORGANIZATION

In July 2004, DTS was reorganized resulting in the layoff of 17 employees. Of these 17 individuals, 15 were employed in the Bureau of Safety Program's Safety Projects Section. One of the other two individuals worked in the Commercial Vehicle Safety Section and the other was from the Bureau of Administrative Services. The Safety Projects Section was responsible for National Highway Traffic Safety Administration (NHTSA) highway traffic safety programs. Exhibit 2-1 shows the organizational chart for the Safety Projects Section prior to the July 1, 2004 reorganization. IDOT officials indicated that no future staffing reductions are planned.

The 15 staff laid off in the Safety Projects Section were responsible for planning and developing highway safety projects through supervising the development of projects in both State agencies and local governments. This included grant monitoring and review as well as the processing of reimbursement claims. The majority of these employees were project managers and existed to ensure that the grantees were in compliance with the project goals and objectives.

As a result of the reorganization, the Safety Projects Section no longer exists. Most of the employees now working on highway traffic safety programs are either assistants to the Director or Deputy Director of DTS, working in the Office of External Affairs, working in the Office of Planning and Programming, or are contractual. Many of the contractual employees are

Law Enforcement Liaisons who work for Eastern Illinois University (EIU) or the St. Clair County Sheriff. As a result, project management is decentralized.

Exhibit 2-2 is an organizational chart as of September 2005 showing individuals who are currently monitoring projects or claims for highway traffic safety projects that are funded by NHTSA. The Exhibit highlights in red those positions, which now carry out duties formerly conducted by the disbanded Safety Projects Section.

Reorganization Planning Documents

IDOT could provide little documentation that any formal planning or analysis was conducted prior to the July 2004 reorganization of the Division of Traffic Safety (DTS). In April 2004, IDOT developed an agency-wide reorganization plan that consisted only of various organizational charts by section, a description of each section's responsibilities, and a list of positions to be eliminated. The April 2004 agency-wide reorganization plan did not document the need or rationale for the DTS reorganization nor how the responsibilities of the laid-off employees would be carried out.

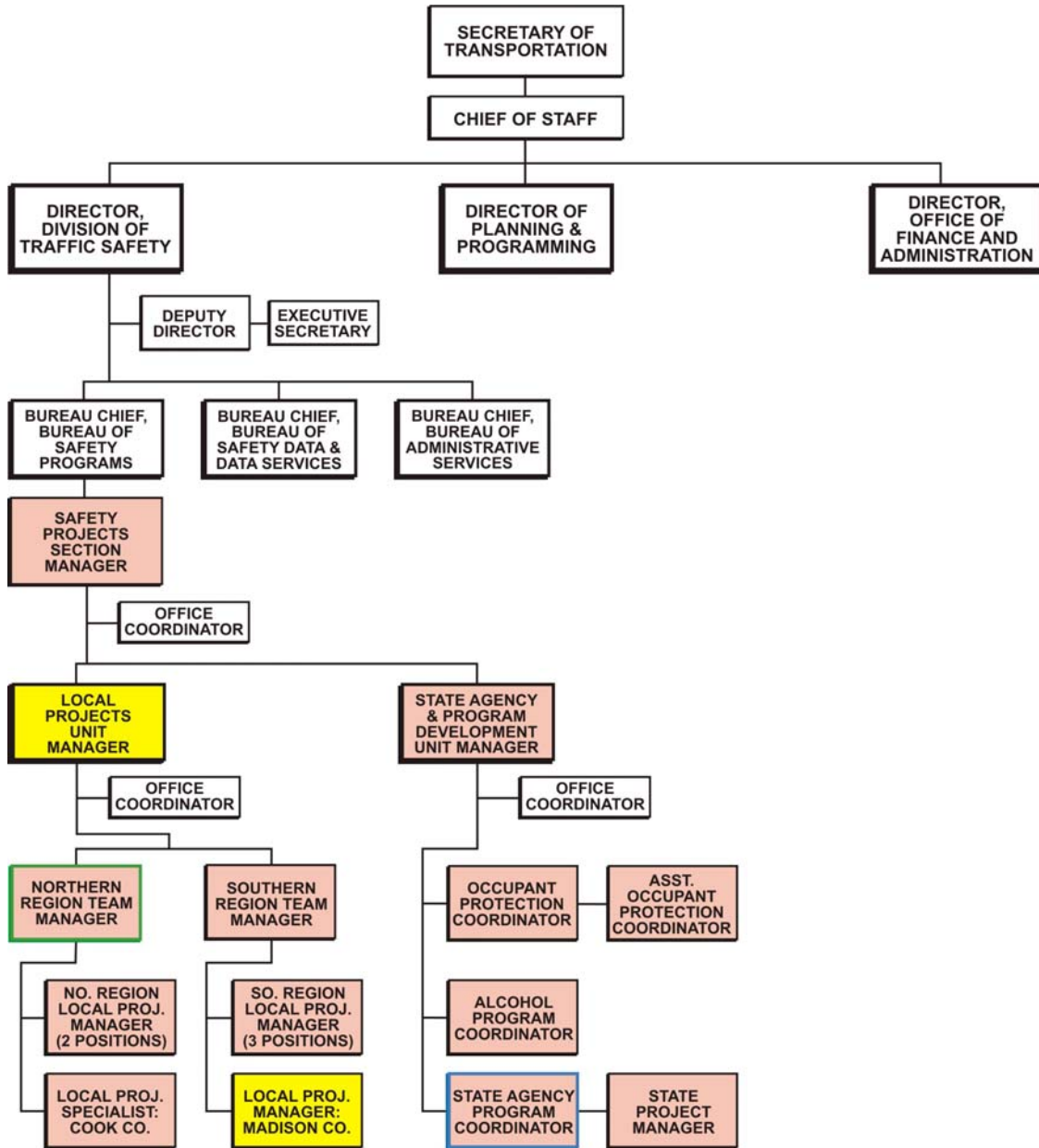
In May 2004, NHTSA expressed concerns to IDOT about not being informed of the termination of federally funded traffic safety employees and requested a reorganization plan. In June 2004, IDOT submitted a draft reorganization plan to NHTSA. While the June 2004 plan identified areas where IDOT concluded improvements were needed, IDOT was unable to provide auditors with documentation to support its analysis.

On March 4, 2005, we requested from IDOT any documentation used to support its reorganization. In addition, we requested information from the National Highway Traffic Safety Administration. NHTSA provided us with copies of correspondence between IDOT and NHTSA, as well as a copy of a draft reorganization plan they received from IDOT in June 2004. The draft reorganization plan consisted of slightly more than two pages of narrative followed by two organizational charts and 13 pages of other attachments unrelated to the reorganization (see Appendix D). IDOT could not produce the information, including the draft plan, until May 13, 2005 after noting that they did not have a copy of it.

Other than the two reorganization plans, IDOT could not produce any other relevant planning documentation to support the reorganization. IDOT's two plans did not contain:

- A detailed rationale for the reorganization;
- The planning process that took place prior to the reorganization;
- An evaluation of the previous organizational structure, including analysis of data, process flows, tasks, and span of controls;
- An analysis of staffing needs;
- Goals and timelines to manage the reorganization and assess progress; or
- An implementation team assigned to oversee the reorganization.

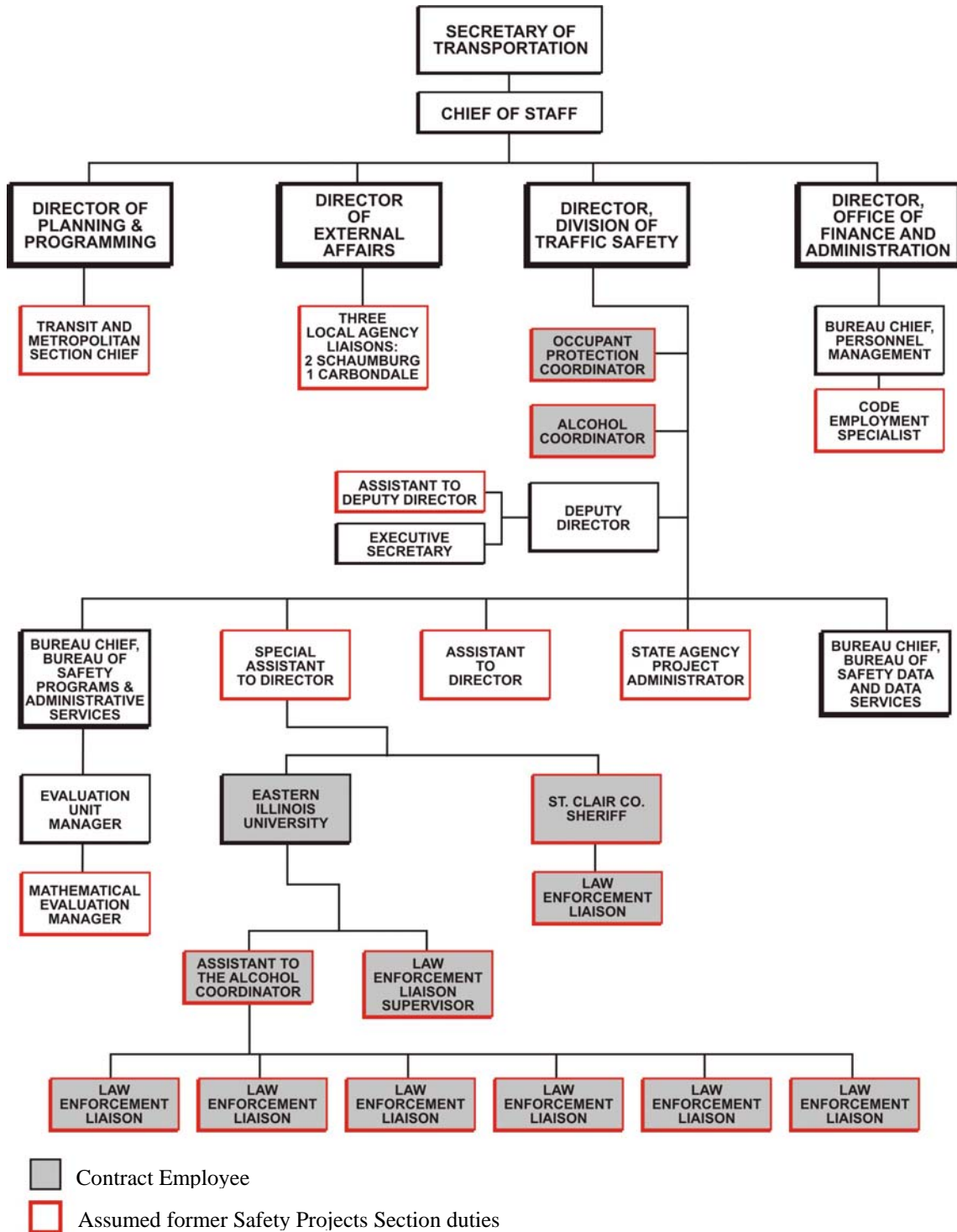
Exhibit 2-1
ORGANIZATIONAL CHART FOR SAFETY PROJECTS SECTION
 Before July 1, 2004 Reorganization



- Laid off due to IDOT reorganization.
- Hired back at IDOT as State Agency Project Administrator.
- Hired back under contract with EIU as Assistant to the Alcohol Coordinator.
- Transferred to other areas at IDOT.

Source: IDOT information summarized by OAG.

Exhibit 2-2
INDIVIDUALS ASSUMING SAFETY PROJECTS SECTION DUTIES
 As of September 2005



Source: IDOT information summarized by OAG.

The narrative of the draft reorganization plan submitted to NHTSA in June 2004 noted:

“After closely monitoring the direction, goals, and mission of [the] Division of Traffic Safety over the last year, it was apparent that the quality and quantity of the safety program execution was unsatisfactory.”

The plan listed seven issue areas that were identified as needing remediation. These seven issues were:

1. Inadequate community involvement;
2. Lack of management and accountability;
3. Shortage of checks and balances to ensure grant tracking;
4. Inability to achieve program goals and objectives in a timely and professional manner;
5. Poor customer service;
6. Insufficient communication to senior management and to motorists regarding the importance of traffic safety; and
7. Lack of innovation in utilizing technology and other tools to collect and track data.

In response to our request for all planning documentation relating to the reorganization, IDOT did not provide any documentation to support its analysis or identification of these seven areas. For a timeline documenting IDOT's reorganization, see Exhibit 2-3.

The June 2004 reorganization plan submitted to NHTSA called for “14 new Local Liaisons and Safety Outreach Coordinators” from the Office of External Affairs to generate and monitor the traffic safety grants. The plan noted “The new outreach team will have mechanisms in place to provide measurable results for programming and a strong management team with impeccable experience in community relations state-wide. They have established and maintained a strong rapport with community leaders and they are capable, innovative and enthusiastic about program development.” This plan was never implemented by IDOT. Instead, monitoring assignments were not established until October and November 2004, four to five months after the reorganization took place.

Additionally, only 3 Local Agency Liaisons (LALs) from the Office of External Affairs monitor non-enforcement grants for traffic safety, not 14 as the reorganization proposed. The Law Enforcement Liaisons (LELs) monitor the majority of the traffic safety grants.

Post-Reorganization Management

Because IDOT officials did not have an adequate plan prior to the reorganization as to who was going to manage projects and process reimbursement claims from grantees once everyone in the Safety Projects Section was laid off, no project monitoring took place for the first several months of FY05. Also, the contracts for the Law Enforcement Liaisons (LELs) were not updated to reflect additional project monitoring responsibilities given to the LELs. Furthermore, some reimbursement claims from grantees were not paid timely. Finally, while DTS has provided some training to project managers, to date DTS does not have any policies and procedures manuals for its staff.

Exhibit 2-3
IDOT REORGANIZATION TIMELINE

Date	Activity/Action
January & February 2004	Discussions at IDOT are held regarding reorganization. No supporting documentation is available.
April 2004	IDOT agency-wide reorganization plan created. This document provides a division-by-division description, listing of positions to be eliminated and organizational charts by bureau. However, this document does not include any underlying analysis, goals of the proposed reorganization, or overall cost savings.
May 24, 2004	Termination letter sent to DTS personnel. Termination effective 6/30/2004.
May 26, 2004	Letter from NHTSA to IDOT indicating NHTSA officials' understanding that employees of the Safety Projects Section at DTS had been terminated representing 77 percent of the entire staff. Letter expresses concerns about the reorganization. NHTSA requested that IDOT submit a plan by June 26, 2004.
	IDOT apologizes to NHTSA for not notifying them in advance of proposed changes.
June 15, 2004	IDOT provides NHTSA with a "draft" reorganization plan for DTS.
June 18, 2004	Meeting between NHTSA and IDOT to discuss reorganization.
June 21, 2004	Training held for Local Agency Liaisons (LAL) and Law Enforcement Liaisons (LEL). Most of the training materials pertain to a traffic safety program orientation for various IDOT employees.
June 29, 2004	Letter from IDOT to NHTSA updating NHTSA on reorganization.
July 26, 2004	Two former DTS managers are hired back on \$24,900 contracts. Both contracts are to help with the transition to the new organizational structure. The contracts are through 12/31/2004.
Aug. 12, 2004	LAL/LEL training held on filling out grant applications.
Aug. 17, 2004	An additional former DTS employee is hired back on a \$10,125 contract.
Sept. 9, 2004	One new staff hired as Safety Data Administrator.
Sept. 20, 2004	Suit filed in U.S. District Court against senior IDOT managers by terminated employees.
Sept. 30, 2004	NHTSA sends a letter noting it "has serious concerns regarding the state of the highway safety program." These concerns include: no monitoring of grants, not liquidating funds in a timely manner, and little or nothing done to implement recommendations made for the impaired driving program.
Oct. 4-5, 2004	LAL/LEL training. LALs were given project monitoring assignments.
Nov. 1, 2004	New Acting Director of DTS appointed.
	Individual loaned from the Bureau of Personnel Management to DTS to be an Assistant to the Director.
Nov. 5, 2004	IDOT submits response to NHTSA's September 30 letter noting it will submit documents.
Nov. 16, 2004	LAL/LEL training. LELs were given monitoring assignments.
Dec. 1, 2004	IDOT contracts for an Alcohol Program Coordinator for \$91,500.
Dec. 16, 2004	Acting DTS Director named DTS Director.
Dec. 23, 2004	Two contract employees sign amendments to extend contracts until 5/31/2005. Contract amounts are increased to \$49,800.
Feb. 16, 2005	One new staff member transferred from Governor's Office hired as an Assistant to the Deputy Director and one transferred from another division to DTS as an Assistant to the Director.
April 15, 2005	IDOT contracts for an Occupant Protection Coordinator for \$100,000.
May 31, 2005	Contracts for two former employees expire.
June 1, 2005	One of the former employees hired on contract is extended for a second time by 30 days.
June 9, 2005	The other former employee is hired through a traffic safety grant with EIU at \$42,996.
June 10, 2005	Letter from IDOT to OAG indicating that DTS plans to hire 27 new employees.

Source: OAG analysis of IDOT, NHTSA and EIU documents.

Staffing

After the reorganization, staffing was inadequate to carry out essential DTS functions. According to DTS officials, after the reorganization occurred, claims for reimbursement were coming into DTS and there was no one assigned to process them. Within approximately six weeks of the reorganization, IDOT had hired back three of the laid-off DTS employees under contract to perform necessary day-to-day operations, which included processing reimbursement claims. One has since been hired back permanently by IDOT. One has been hired back through a grant with Eastern Illinois University, and one was hired back temporarily to help process the backlog of claims following the reorganization.

Two other positions that were eliminated by the reorganization were Alcohol Program Coordinator and Occupant Protection Coordinator. Months later, these two positions were filled by DTS through contracts. DTS has also hired or began utilizing several additional staff. These individuals include a new Assistant to the Director of DTS and a new Assistant to the Deputy Director of DTS.

Project Monitoring

Project managers were not assigned monitoring duties after the reorganization for several months, and as a result, grants were not monitored for the first several months of FY05. IDOT officials noted that the initial plan was to have the Local Agency Liaisons (LALs) from IDOT's Office of External Affairs monitor all of the projects. However, in October and November 2004, DTS officials assigned both LALs and LELs (Law Enforcement Liaisons) to monitor projects.

Prior to FY05, LELs, which are contractual positions, primarily had liaison duties. The LELs' responsibility was to recruit local law enforcement agencies to participate in DTS highway safety projects and to provide information to grantees. After the reorganization, LELs were required to monitor projects, as well as act as liaisons for the Division of Traffic Safety. However, once DTS determined that the LELs' role was going to increase to include project monitoring, DTS did not amend the agreements for the LELs to reflect the change. The FY06 LEL contracts do reflect these changes.

Reorganization Cost Savings Analysis

In April 2005, IDOT provided auditors with a cost savings analysis for the reorganization. The analysis was completed by IDOT to comply with our March 4, 2005 request. Although IDOT noted that one of its reasons for the reorganization was to reduce headcount and "streamline functions and realize cost savings," the cost savings analysis was not prepared by IDOT prior to the reorganization. The reorganization plan called for staff reductions in several IDOT divisions.

In response to auditors' questions regarding reorganization cost savings for DTS, IDOT noted, "the reorganization and realignment of personnel within the Division of Traffic Safety resulted in annual cost savings of almost \$2 million." Of the \$2 million, \$1,001,880 was for salaries and \$910,208 was for overhead.

IDOT miscalculated the estimated savings from the elimination of the positions in the Division of Traffic Safety. IDOT reported savings from the reorganization of \$1,001,880 in salary costs. However, IDOT's calculations failed to take into account the cost of staff and contractual personnel hired or rehired to fulfill the duties of the 17 employees that were laid-off. IDOT incurred approximately \$756,570 in annualized costs associated with in-house or contractual staff working on DTS-related activities to replace the employees that were laid-off. The new costs incurred were for two new DTS staff, one staff working in DTS from another area within IDOT, one DTS staff that was laid off and then rehired, six contract employees (one of whom was laid off and rehired under contract), and pro-rated costs for four individuals from other divisions at IDOT that assumed duties previously performed by individuals who were laid-off.

Additionally, DTS hired several new staff after the reorganization even though IDOT's purpose for the reorganization was to reduce headcount and realize cost savings. Therefore, any savings estimated by IDOT were more than offset by additional hires by DTS in FFY05. In a June 10, 2005 memorandum, IDOT officials noted that they were planning to hire 27 new DTS employees. As of December 2005, DTS had filled 18 of 27 planned hires. Ten motor carrier safety auditor positions were filled in September 2005, almost three years after DTS was aware of the available funding from the Federal Motor Carrier Safety Administration (FMCSA) in November 2002. These positions were 100 percent federally funded. Eight of the other positions had also been filled as of December 2005. These positions are the State Agency Project Administrator, the Commercial Vehicle Safety Section Manager, five Office Associates, and one Office Assistant.

Subtracting the salaries for the in-house and contractual employees from IDOT's estimated savings, IDOT's cost savings estimate for the Division of Traffic Safety was not realized. Instead, DTS will incur \$590,634 in additional staff costs annually as seen in Exhibit 2-4. Additionally, there are other costs associated with the layoffs that IDOT did not include in its cost saving analysis such as legal costs associated with the lawsuit filed by the laid-off IDOT employees, which according to IDOT totaled \$57,282 as of June 30, 2005.

IDOT multiplied the \$1,001,880 in salaries of the 17 laid-off employees by an overhead rate of 90.85 percent to estimate its cost savings. However, IDOT did not include salary or overhead costs associated with the new staff hired to fulfill the duties of the 17 employees that were laid off. IDOT officials indicated that the 90.85 percent is an audited overhead rate that is used by the Federal Highway Administration to reimburse IDOT for personnel costs incurred on FHWA funded projects. However, as will be discussed in Chapter Three, IDOT did not use the overhead rate of 90.85 percent when billing NHTSA for reimbursement of overhead expenses.

Exhibit 2-4 EXAMINATION OF IDOT'S ANNUAL COST SAVINGS CALCULATION FOR STAFF For the Division of Traffic Safety	
IDOT TOTAL ESTIMATED SAVINGS:	
\$1,001,880¹	
Comprised of the salaries for the 17 laid-off DTS staff	
OAG ADJUSTMENTS - COSTS TO REPLACE SAFETY PROJECTS SECTION STAFF DUTIES :	
(\$ 756,570)²	
- 2 New LEL Positions (contract) - New LEL Supervisor (contract) - Occupant Protection Coordinator (contract) - Alcohol Program Coordinator (contract) - 2 Executive DTS Staff - Former DTS Staff Under EIU Contract - Former DTS Staff Rehired as State Agency Project Administrator ³ - Existing Office of Finance and Administration Staff - Local Agency Liaisons (LAL) - Existing Office of Planning & Programming Staff	\$165,164 \$108,445 \$100,000 \$ 91,500 \$ 87,600 \$ 73,664 \$ 49,668 \$ 39,480 \$ 28,226 \$ 12,823
TOTAL	\$756,570
OAG ADJUSTMENTS - COSTS FOR OTHER NEW DTS STAFF HIRED AFTER JULY 1, 2004:	
(\$ 835,944)¹	
- 9 New Motor Carrier Safety Auditors ³ - 5 New Office Associates ³ - Bureau Chief of Safety Programs and Administrative Services - Commercial Vehicle Safety Section Manager ³ - Former MCSAP Auditor Rehired ³ - Safety Data Administrator - Office Assistant ³	\$450,036 \$143,784 \$ 66,240 \$ 57,180 \$ 50,004 \$ 43,800 \$ 24,900
TOTAL	\$835,944
ADJUSTED LOSS:	
(\$ 590,634)^{4,5}	
Notes: ¹ Does not include overhead costs. ² Overhead costs are not included for staff positions. Some contracts include benefits and indirect costs. ³ Was listed as one of the hires proposed by IDOT for the Division of Traffic Safety. ⁴ Does not include other costs, such as \$10,125 for temporary help immediately following reorganization, or legal cost associated with pending lawsuit filed by laid-off employees, etc. ⁵ Does not include 9 additional proposed hires for the Division of Traffic Safety.	
Source: OAG analysis of IDOT Cost Savings Analysis and IDOT personnel files.	

REORGANIZATION PLANNING	
RECOMMENDATION NUMBER 1	<i>The Department of Transportation should adequately plan any future reorganizations. Planning should include the rationale for the reorganization, cost savings estimates, and an analysis of staffing needs.</i>
DEPARTMENT OF TRANSPORTATION RESPONSE	<p>The Illinois Department of Transportation (IDOT) agrees that reorganizations should be adequately planned including the rationale for the reorganization, cost savings estimates and an analysis of staffing needs.</p> <p>IDOT chose not to hire a management consulting firm to review, develop and implement a reorganization. This process would take time and resources from the program. In addition, this would have significantly reduced any potential or actual savings. Because of time constraints due to the projected implementation date of July 1, 2004 for our Departmentwide material reorganization, resources were not expended documenting and memorializing all of the numerous meetings and discussions which took place during plan development. Instead, management concentrated their efforts on the development of the reorganization plan which provided proposed organization charts and position reassignments for plan implementation. The Department did, however, provide its reorganization plan for the Division of Traffic Safety's (DTS) Bureau of Safety Programs to the National Highway Traffic Safety Administration (NHTSA) for their consideration and ultimate approval and acceptance. With the acceptance of our reorganization plan by our federal funding authority, NHTSA, the Department did not entertain the need for expending additional time and resources for documentation of our approved plan.</p> <p>The Department will welcome and consider any developed models and protocols for reorganization plan development that can be provided to us by the Office of the Auditor General (OAG) for our use during the development of future reorganization plans.</p> <p><i>AUDITOR COMMENT: The Department provided its reorganization plan to NHTSA only after NHTSA expressed concerns to IDOT. On May 26, 2004, NHTSA sent a letter to IDOT that stated it was their understanding that 77 percent of the Safety Projects Sections staff were being terminated. On the same day, IDOT apologized to NHTSA for not notifying them in advance of the proposed changes.</i></p> <p><i>In February 2005, and again in January 2006, a NHTSA official informed the OAG that NHTSA <u>does not approve</u> state's traffic safety reorganization plans, and it is each state's prerogative whether to reorganize. Consequently, NHTSA did not approve IDOT's</i></p>
IDOT provided a lengthy response to this recommendation. IDOT's complete response including implementation date and corrective action information is included in Appendix H.	

	<p><i>reorganization plan. According to a NHTSA official, IDOT did not submit a final draft of the reorganization plan to NHTSA.</i></p> <p><i>Although, later in its response, the Department notes that an “outcome based reorganization model” was utilized, our recommendation does not state that the Department should adopt a reorganization model or protocol. Rather, our recommendation states that the Department should adequately document its plan for any future reorganization including the rationale for the reorganization, cost savings estimates, and an analysis of staffing needs. It is the Department’s responsibility, not the auditors’, to plan, implement, and document future reorganizations.</i></p>
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TRAFFIC SAFETY ORGANIZATIONAL STRUCTURE AND STAFFING

The changes that have occurred within DTS have led to several organizational issues. In some cases the lines of responsibility have become unclear and some functions are being performed by individuals in a manner that is not consistent with their organizational placement and responsibilities. As is stated in the April 2005 NHTSA management review, there are individuals with DTS responsibilities that do not appear on DTS’s organizational chart or program descriptions. Project monitoring and claims reimbursement are now fragmented among four IDOT organizational units (Division of Traffic Safety, Office of External Affairs, Office of Planning and Programming, and Office of Finance and Administration). Enforcement grant monitoring and project management is performed by the Law Enforcement Liaisons (LELs) who operate through grants with Eastern Illinois University and the St. Clair County Sheriff. As a result, grantees are monitoring other grantees. Monitoring for non-enforcement grants is conducted by Local Agency Liaisons (LALs) who work in the Office of External Affairs.

Additionally, some functions are being performed by individuals in a manner that is not consistent with their organizational placement and responsibilities. These include:

- An individual that organizationally works in the Office of Finance and Administration as a Code Employment Specialist, but functions as an Assistant to the Director of Traffic Safety;
- A Mathematical Evaluation Manager from the Evaluation Unit who is assigned grant agreement generation and monitoring responsibilities; and
- A Safety Data Administrator from the Bureau of Safety Data and Data Services who functions as a Finance Manager assigned bill-processing responsibilities.

In its April 2005 review of the Division of Traffic Safety, NHTSA also raised concerns about the organizational structure and reporting relationships for traffic safety programs.

Staff Qualifications

IDOT laid off 15 individuals from the Safety Projects Section as part of its reorganization on July 1, 2004. The 15 employees that were laid off from the Safety Projects Section collectively had an average of 10.4 years experience working in DTS. While most of them did not have a college degree, several either had relevant experience or started at an entry-level position.

Some staff hired to replace the laid off employees had limited educational backgrounds and experience related to the desired qualifications. During FY05, the responsibilities and duties of the 15 employees that were laid off from the Safety Projects Section were assigned to five Law Enforcement Liaisons hired under a contract with Eastern Illinois University and the St. Clair County Sheriff, three Local Agency Liaisons from IDOT's Office of External Affairs, two new employees hired as Assistants to the Director and Deputy Director of DTS, and one individual from the Office of Finance and Administration functioning as an Assistant to the Director of DTS.

Law Enforcement Liaisons

We reviewed the qualifications for all five of the Law Enforcement Liaisons (LELs) and determined that all five met the experience qualifications outlined in the position description. The only measurable experience qualification was having reached the rank of Lieutenant or above. However, the LELs were hired to be liaisons, not project managers. The LELs have limited experience as project managers and have received little training on project management. This was noted in NHTSA's management review.

IDOT Employees

The desired educational qualifications for these six positions was knowledge, skill, and mental development equivalent to completion of either four years of college (four positions) or a master's degree (two positions) with preferable courses in business, economics, environment, statistics, sociology, public finance, or public administration. The experience requirements were between four and seven years experience (depending on the actual position) in research, governmental operations, public finance and taxation related to highway activity, working knowledge of management techniques, working knowledge of the function, and application of public relations in problem areas.

IDOT documentation did not clearly show that the six employees possessed the desired educational qualifications and/or the experience requirements listed on IDOT's position descriptions. For example:

- Three of the six employees did not have a four year college degree. The other three had bachelor's degrees in areas such as English, Physical Education, and "Com. Management." Documentation in the personnel files did not show that the employees majored in any of the preferred areas of study; and
- Two of the six employees had less than the desired four years of experience. Of the four that had more than four years of experience, three had limited experience

in desired areas such as government operations, public finance related to highway activity, or public relations.

IDOT position descriptions have “desired” qualifications, that include “required” education and experience requirements. Given that the “required” requirements are under the “desired” heading, the descriptions do not clearly define what qualifications, if any, are required.

DTS STAFFING AND ORGANIZATION	
RECOMMENDATION NUMBER 2	<p><i>The Department of Transportation should:</i></p> <ul style="list-style-type: none"> • <i>clarify the lines of authority and responsibility in the organization and update the organizational charts and program descriptions; and</i> • <i>determine what qualifications and educational experience are required for positions within the Division of Traffic Safety.</i>
<p>DEPARTMENT OF TRANSPORTATION RESPONSE</p> <p>IDOT also provided in its response implementation date and corrective action information which is included in Appendix H.</p>	<p>The Department agrees with the recommendation. DTS is in the process of updating its organizational charts. Program descriptions are also being updated.</p>

POLICY AND PROCEDURE MANUALS

Although DTS provided some training to project managers, as of September 1, 2005, DTS did not have policies and procedures manuals for its staff. IDOT has not established policies and procedures for areas such as project management and claims processing. IDOT officials indicated that they were working on them. The only procedures we were able to gather for monitoring grantees were from training sessions held for LELs and LALs that occurred in October and November of 2004. In an October 2004 e-mail, IDOT officials stated they were still working out the process for monitoring, and that they needed written procedures and checklists for LELs and LALs. Since the reorganization, DTS traffic safety program operations are being performed by staff that are new to their positions. Policies and procedures are a crucial management tool to help guide new and inexperienced staff.

POLICY AND PROCEDURE MANUALS	
RECOMMENDATION NUMBER 3	<p><i>The Department of Transportation should develop a policy and procedure manual for the Division of Traffic Safety. The manual should especially include areas such as project management and claims processing. IDOT should also provide training to LELs, LALs, and other staff regarding the policies and procedures that are developed.</i></p>
<p>DEPARTMENT OF TRANSPORTATION RESPONSE</p> <p>IDOT also provided in its response implementation date and corrective action information which is included in Appendix H.</p>	<p>The Department agrees with the recommendation. The DTS is currently updating the 1994 Policy & Procedures Manual. The NHTSA provided DTS with a copy of Texas Department of Transportation’s (TDOT’s) Policy and Procedures Manual to review. Upon review of the TDOT manual, DTS will develop a manual to include: an overview of DTS, funding, planning, preparing the grant proposal, grant review process, highway safety plan development, grant preparation, grant administration, grant monitoring, grant evaluation and grant closeouts.</p> <p>DTS will send their Law Enforcement Liaisons (LELs) and Local Agency Liaisons (LALs) to NHTSA’s Highway Safety Program Management course. This course provides the attendees an understanding of policies as they relate to national highway safety grant programs.</p>

DTS OPERATIONS

The majority of the July 2004 layoffs in DTS were the individuals from the Safety Projects Section that were responsible for the administration and monitoring of the NHTSA highway safety projects. To further assess the impact that the July 2004 reorganization and staff reductions had on DTS operations, we surveyed grantees and reviewed DTS grantee project files. Grantees reported both positive and negatives comments about the performance of DTS before and after the reorganization. Our review of DTS grantee files found deficiencies in monitoring and documentation for both the year prior to and after the July 2004 reorganization. The following sections contain the results of our survey and testing.

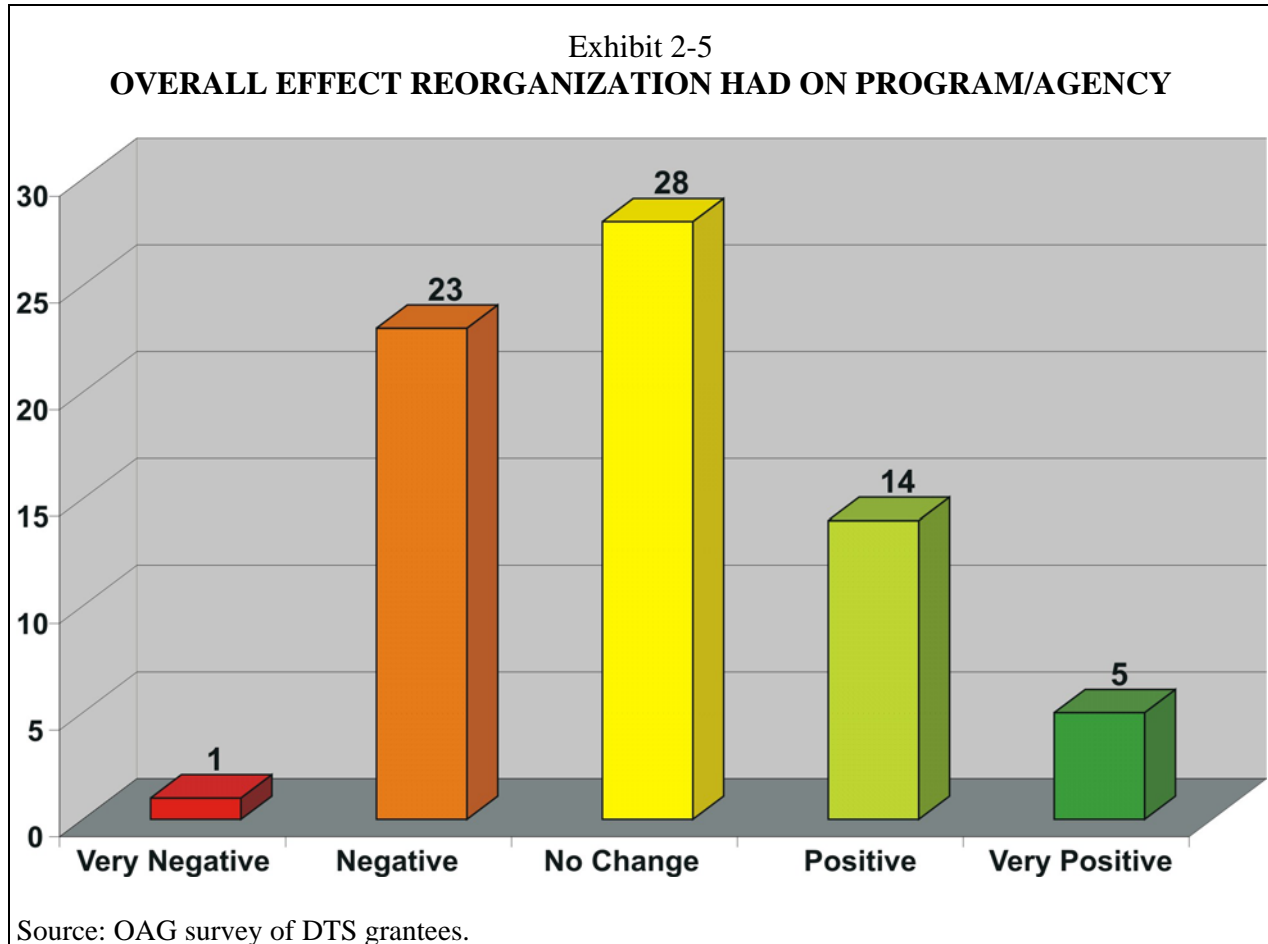
Grantee Survey

From data supplied by IDOT, we surveyed all grantees that received a grant in FFY04 and/or FFY05. Surveys were sent to 239 grantees and we received 140 responses (59%). The survey results generally show that grantees reported little or no change on overall operations as a result of the reorganization.

Overall Effect of Reorganization

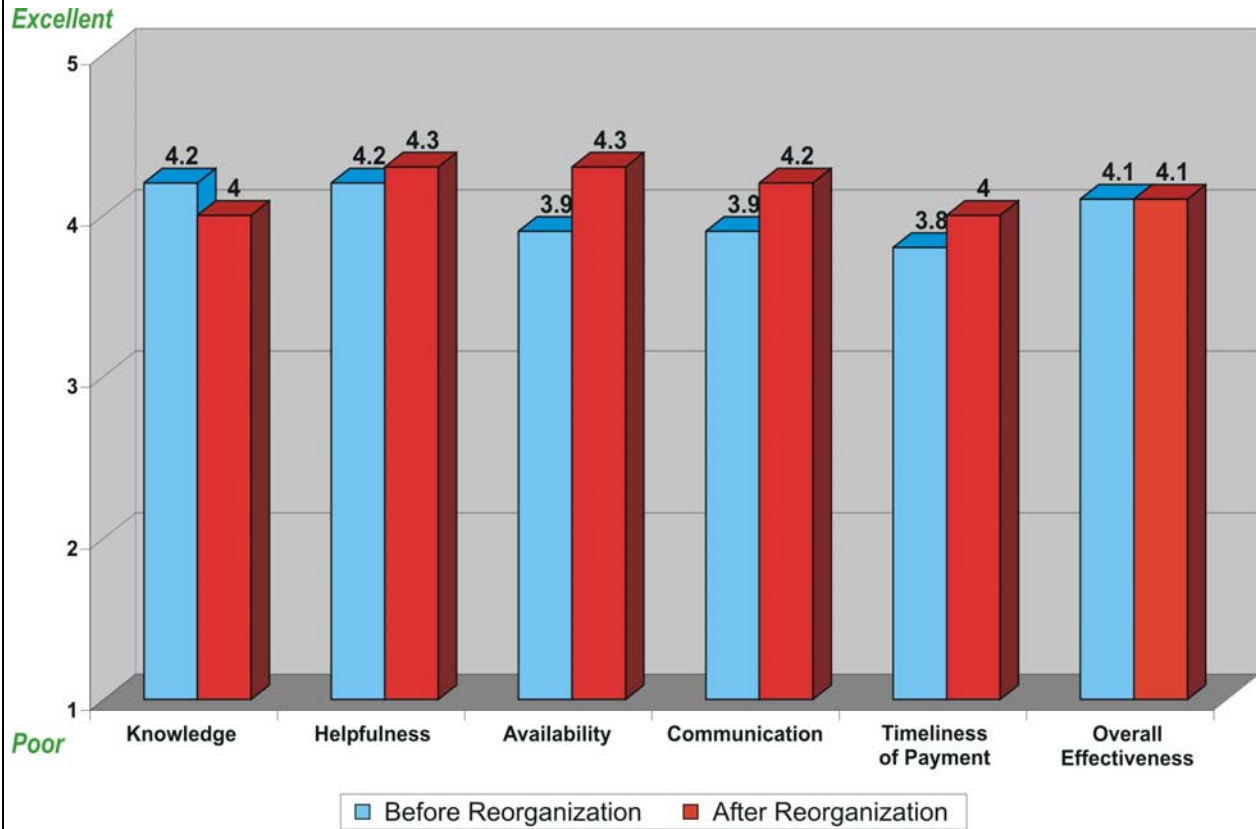
Of the 140 responses received, 92 (66%) indicated that they had received at least one grant in **both** FFY04 and FFY05. Of the 92 respondents that received a grant in both years, 71 (77%) indicated they were aware the reorganization had taken place at DTS. The survey asked

what overall effect the reorganization had on the grantee's program/agency and asked them to categorize the effect as very positive, positive, no change, negative, or very negative. The 71 responded as follows: no change (28), negative (23), positive (14), very positive (5), very negative (1), as shown in Exhibit 2-5.



The survey also asked the 71 grantees to evaluate the Division of Traffic Safety's performance in areas such as program knowledge, helpfulness, availability, communication, timeliness of payment, and overall effectiveness before and after the reorganization. The grantees were asked to rank these categories on a scale from 1 to 5 with 1 being poor and 5 being excellent. The average scores were similar for before and after the reorganization. The average score for program knowledge decreased from 4.2 before the reorganization to 4.0 after the reorganization. The average scores for helpfulness, availability, communication, and timeliness of payment all increased after the reorganization. The average score for overall effectiveness was the same for before and after the reorganization (4.1). Exhibit 2-6 shows the average scores by category.

Exhibit 2-6
EFFECTIVENESS BEFORE AND AFTER THE JULY 2004 REORGANIZATION
 By Category



Source: OAG Survey of DTS grantees.

Site Visits and Communications

One of IDOT’s reasons for the reorganization was that the former employees were not conducting site visits. The Department’s claim that the current personnel are getting out into the field more was supported by the survey results. We asked grantees how often a Division of Traffic Safety Manager conducted a site visit in the previous year. Before the reorganization, 45 percent of the respondents reported that they had not received a visit during the year compared to 22 percent that said they had not received a visit within the year following the reorganization.

When the grantees were asked about how often they correspond with DTS Project Managers on an annual basis via phone, e-mail, or in writing, the responses varied for before and after the reorganization. The responses show that more frequent contacts were made after the reorganization. Before the reorganization, 41 percent said they had weekly or monthly contacts compared to 58 percent after the reorganization. Five percent of respondents noted that they had never been contacted before the reorganization. A similar number, four percent noted that they had never been contacted by DTS after the reorganization. Exhibit 2-7 summarizes the complete responses.

The survey also asked the respondents if they had any problems getting information from representatives of DTS before and after the reorganization. Responses from grantees that were aware of the reorganization show that 34 percent had difficulty receiving information before compared to 37 percent who had difficulty after. Lastly, the survey asked the respondents if the amount of documentation they are required to submit had decreased, increased, or stayed the same. The majority, 67.6 percent noted that the documentation had stayed the same, 29.6 percent noted that it had increased, and 2.8 percent noted that it had decreased.

In addition, the survey asked grantees what IDOT does best or what it needs to improve. Also, the survey asked the grantees to comment on any other issue relating to the audit resolution. The majority of the positive comments revolved around increased availability and communication due to the increased use of the LELs. Negative comments related more to operational deficiencies. These include last minute planning, inadequate notification of grant opportunities, and several changes in project management and policies. Exhibit 2-8 lists some examples of grantee responses.

Exhibit 2-7 GRANTEE CORRESPONDENCE WITH DTS Before and After the Reorganization		
	Before	After
Weekly	12%	18%
Monthly	29%	40%
Quarterly	24%	17%
Annually	9%	4%
As Needed	18%	8%
Other ¹	4%	8%
Never	5%	4%

¹ Responses included a few times, a couple of times, and not often.

Source: OAG Survey of DTS grantees.

Exhibit 2-8 GRANTEE SURVEY COMMENTS	
Positive Comments	Negative Comments
<ul style="list-style-type: none"> • Increased communications with IDOT and ability to get questions answered • Once reorganized, there has been a positive improvement • Excellent availability of representatives • Better contact with our IDOT representative • Better working relationship with IDOT liaison and been considered for more funding opportunities • LEL is always there to answer questions and make the grant process as easy as possible • Having a LEL has made communication easier and more effective • LEL effectively communicated the goals and objectives and guided us toward achievement • More contact with liaison 	<ul style="list-style-type: none"> • Lost our liaison and funding, very disorganized • Always seems to be a last minute rush to get agreement signed before campaign begins • Have had several program managers during the changes and paperwork has been lost causing us to miss grant opportunities • Was notified before of available grants, never hear about available grants now • Since LEL has been given grant duties, this area's DUI push has diminished • Have not had contact with IDOT since July 1, 2004 • Policies seem to change with each project manager and have had six different managers in four years • Not kept aware of programs, everything seems last minute
Source: OAG Survey of DTS grantees.	

State Agencies

During the audit, we held nine meetings with representatives from six State agencies that covered all 20 projects funded by DTS. We met with representatives from the State Police, the Illinois Department of Public Health, the Illinois Law Enforcement Training and Standards Board, the Secretary of State, the Administrative Office of the Illinois Courts, and the Illinois Liquor Control Commission. All of the representatives were aware of the reorganization. The State agency responses showed similar results when compared to the local surveys.

The representatives interviewed cited that, on average, the reorganization had no effect on their program. Four responded that the programs had seen no change as a result of the reorganization, two noted positive changes and two noted negative changes, and one noted both positive and negative effects. In addition, there was little difference in the ratings of DTS’s knowledge, helpfulness, availability, communication, timeliness of payment, and overall effectiveness when comparing pre and post reorganization performance. One area where problems were noted was with difficulty receiving information. None of the representatives cited having trouble receiving information from DTS before the reorganization, however, five had trouble receiving information immediately following the reorganization (see Exhibit 2-9).

Exhibit 2-9 STATE AGENCY COMMENTS	
Positive Comments	Negative Comments
<ul style="list-style-type: none"> • Now have an LEL who meets with us monthly and gets back to us quickly • LELs have knowledge of law enforcement • Visited for the first time • Now higher level IDOT officials working with higher level agency officials on a variety of highway safety projects 	<ul style="list-style-type: none"> • New DTS officials do not understand appropriations process • DTS throws things, such as Roadside Safety Checks, at the last minute –poor at planning • Lack of coordination for major state-wide operations
Source: Various State agency interview comments.	

Project File Review

In order to see if the reorganization had any effect on DTS operations, especially in areas such as project management and reimbursement claims processing, we randomly selected 60 projects to review. We reviewed 30 from each of the last two federal fiscal years (FFY04 and FFY05). Of the 30, we selected 25 enforcement and non-enforcement projects and 5 State agency projects from each of the last two federal fiscal years for our file review. There were 300 enforcement and non-enforcement projects in FFY04 and 331 in FFY05. There were 15 State agency projects in FFY04 and 19 in FFY05.

DTS provided us with a list that identified several documents that were required to be present in the project file. These included copies of the approval letter, project agreement, project tracking sheets, on-site monitoring reports, claims for reimbursement, and the final reports. During our review, we tested to see whether required documentation was present, whether documentation was submitted timely as required, whether the grantee met the requirements and goals of the project, and whether DTS project managers monitored the projects as necessary. We then analyzed the results and compared differences between FFY04 (before the reorganization) and FFY05 (after the reorganization).

Exhibit 2-10 PERCENT OF REQUIRED MONITORING DOCUMENTS MISSING IN PROJECT FILES		
	FFY04	FFY05
Approval Letter	4%	92%
News Release	72%	100%
Transmittal Letter	4%	100%
Contract Approval Form	8%	100%
Project Tracking Sheet	8%	100%
Project Agreement	4%	8%
Certifications	0%	4%
Follow-up Letters	89%	100%
On-Site Monitoring Reports	100%	44%
Pre-Implementation Checklist	59%	44%
Claims for Reimbursement	4%	20%
Verification of Fringe Benefits Form	30%	94%
Financial Review Form	61%	100%
Final Acceptance Letter	100%	¹
Project File Review	100%	¹
Final Cost Verification and Certification Form	100%	¹
Final Report for Local	44%	¹
¹ FFY05 projects were still open during file testing.		
Source: OAG analysis of 25 FFY04 and 25 FFY05 DTS project files.		

Enforcement and Non-Enforcement Grant Projects

We determined that the FFY04 project files reviewed were more complete than the FFY05 files. Exhibit 2-10 shows the percent of required documents missing from the project files for both FFY04 and FFY05.

As shown in Exhibit 2-11, project files were also missing documentation that was required within the grant agreements. These documents included progress reports, final reports, patrol plans, budget documents, reimbursement claims, and documentation of media, such as press releases and any paid media.

The grant agreements also contained project

Exhibit 2-11 PERCENT OF GRANT AGREEMENT DOCUMENTS MISSING IN PROJECT FILES		
	FFY04	FFY05
Missing Reports	40%	64%
Missing Claims	12%	32%
Late Reports	48%	16%
Late Claims	52%	40%
Missing Media	76%	64%
Missing other required documentation	52%	48%
Did not meet all requirements in agreement	52%	44%
Missing date stamp on documents	40%	12%
No documentation in file	0%	8%
No file available	0%	8%
Source: OAG analysis of 25 FFY04 and 25 FFY05 DTS project files.		

requirements that were required to be met by the grantee. These requirements included timeframes for the receipt of progress and final reports, patrol plans, and reimbursement claims. We found deficiencies with compliance to the project requirements.

Some project agreements, depending on the type of grant, also contained project goals or objectives. Types of grants with specific measurable goals and objectives included Local Alcohol Program (LAP), Mini-Alcohol Program (MAP), Traffic Law Enforcement Project (TLEP), and Integrated Mini-Grant Enforcement Program (IMaGE). Goals and objectives included the number of campaigns, rates of motorist contact per hour, hourly processing rates for DUIs, and percent of minimum or maximum citation requirements per hour for things such as speeding and occupant restraint.

We reviewed each project and determined whether the grantee met all goals outlined in the grant agreement. Based on our review, nine projects from the FFY04 sample and nine from the FFY05 sample had specific measurable goals and objectives. In FFY04, all nine projects reviewed did not meet at least one of the goals and objectives. Likewise, in FFY05, all nine projects reviewed did not meet at least one of the goals and objectives. Examples of goals and objective not met include:

- In FFY04, a police department gave only 0.1 percent of its citations for occupant restraint when 30 percent was required;
- In FFY05, a police department had an average DUI citation rate of 1 for every 79.5 hours when the agreement requires 1 for every 10 hours. The same police department also had an alcohol motorist contact rate of 1 for every 21.7 hours when it was required to have 1 for every 6 hours; and
- In FFY05, a police department had a motorist contact rate of 1 contact for every 83.5 minutes when it was required to have 1 contact for every 60 minutes. The department's percentage of violations cited for occupant protection violations was 23.9 percent when it was required to have 30 percent. The department also had a 60.9 percent contact percentage rate for speeding (i.e., percent of traffic stops for speeding) where the requirement was between 30-50 percent.

State Agency Projects

In addition to our sample of enforcement and non-enforcement projects, we reviewed State agency project files to determine if the requirements, goals, and objectives outlined in the project agreement were met. We found none of the files contained all of the necessary documentation to support that requirements, goals, and objectives were met.

One requirement common to both years was that either monthly or quarterly reports and final reports were required. In FFY04, 3 of the 5 files tested were missing one or more of the required reports. In FFY05, all 5 files tested were missing one or more of the required reports. In addition, none of the 10 projects contained support for the required media events and/or media releases required by the agreement.

Although on-site project monitoring was not documented in our FFY04 sample of enforcement and non-enforcement projects, on-site monitoring documentation was present in the project files for all 10 State agency projects reviewed for both FFY04 and FFY05.

The number of missing documents and failure to meet the requirements, goals, and objectives found in the project agreement during both fiscal years suggests a lack of monitoring by DTS project managers. In addition, the lack of available documentation limits management controls over project monitoring, including adherence to requirements, timeliness, and adequacy of claim reimbursement.

PROJECT MONITORING	
RECOMMENDATION NUMBER 4	<i>The Department of Transportation should implement management controls to ensure that appropriate monitoring of projects is taking place and is adequately documented.</i>
DEPARTMENT OF TRANSPORTATION RESPONSE IDOT also provided in its response implementation date and corrective action information which is included in Appendix H.	The Department agrees with the recommendation. DTS has begun quarterly meetings with LELs and LALs to determine monitoring of projects. DTS has also formed an internal committee to review such actions. The committee is headed by the Bureau Chief of Safety Programs and Administrative Services. Management personnel will randomly spot check grant files to determine that proper documentation is included in the project file for all highway safety grants; these checks will also be tracked and included in the file.

Payment to Grantees

We attempted to determine the timeliness of payments to grantees. However, we were unable to determine if IDOT paid reimbursement claims timely due to a lack of adequate documentation. We randomly selected 25 projects from both FFY04 and FFY05 and reviewed IDOT's timeliness in paying the claims. We found that many of the claims were not date stamped upon receipt by IDOT.

Grantees submit reimbursement claims and supporting documentation, such as progress reports, final reports, and timesheets, directly to the project manager. Often it is submitted directly to the LEL's home address. Therefore, the documents are not submitted to a central location where they are inventoried and date stamped. Since we were unable to determine when the claim was received by IDOT, we were unable to determine if payments were made timely to grantees.

For FFY04 projects tested, 70 of 104 (67%) claims for reimbursement did not have a date stamp. Although FFY05 showed improvement with 15 of 61 (25%) missing the date stamp, the dates that did appear were mainly hand written. We could not determine if this was the date received, reviewed, or routed to another DTS employee.

There were also problems with claims documentation and approval. We found that reimbursement claims from grantees were paid by DTS without having received all documentation required by the agreement. During project file testing, we reviewed files that had been closed out and paid without all required documentation being submitted. Documentation missing included progress reports, planning documents, and documentation to support the number of officers or hours worked.

We also found instances where DTS paid for hours that were above the hours required by the project agreement. For example:

- In FFY05, a police department billed and was reimbursed for 214.5 hours for the first campaign of its Mini-Alcohol Program grant. The grant agreement required a maximum hours per campaign of 30; and
- In FFY04, a police department that conducted post surveys for an IMAge grant over billed by seven hours. Each survey was to be an hour in duration, and the requirement was to conduct eight post surveys. For 7 of the 8 surveys, the officers billed two hours instead of one. The claim was reviewed and paid by DTS.

PAYMENT OF REIMBURSEMENT CLAIMS	
RECOMMENDATION NUMBER 5	<p><i>The Department of Transportation should:</i></p> <ul style="list-style-type: none"> • <i>not reimburse grantees until all required documentation has been received and reviewed for compliance with requirements;</i> • <i>establish controls to monitor reimbursement claims to ensure that claims in excess of the amount in the project agreement are not paid; and</i> • <i>require all grantee reimbursement claims to be submitted to a central location where claims are date stamped and tracked.</i>
<p>DEPARTMENT OF TRANSPORTATION RESPONSE</p> <p>IDOT also provided in its response implementation date and corrective action information which is included in Appendix H.</p>	<p>The Department agrees with the recommendation. DTS will not reimburse grantees until all required documentation has been received and reviewed. Regarding the establishment of controls to monitor reimbursement claims, all LELs and LALs have received training on how to review a claim for reimbursement and what steps to take when a claim is unacceptable. Also in DTS’s grant tracking system, a claim cannot be paid if the amount of the claim exceeds the amount in the project agreement.</p> <p>Currently all grantee reimbursement claims are de-centralized. The reason for this action is because the LELs and LALs do not work in the DTS Annex in Springfield. DTS feels that all grantee reimbursement claims must be reviewed by the project manager first before being sent to the DTS’s central office for the processing.</p>

Project Planning

The Division of Traffic Safety has a Highway Safety Planning Committee that annually reviews grant applications. The Highway Safety Planning Committee determines what projects will be funded. DTS then develops its annual Highway Safety Plan (HSP). DTS is required to submit the HSP to NHTSA annually. The HSP includes accomplishments, funding issues, problem identification, and the overall goals for IDOT's traffic safety programs.

Program evaluations and reviews are conducted for traffic safety programs. These reports show the program goals and accomplishments, performance objectives, and an evaluation of whether goals and objectives were met from the previous year. DTS has a unit that conducts these evaluations. DTS officials stated that the evaluation plans are used to help decide if grantee applications are accepted or denied by the Highway Safety Planning Committee.

Highway Safety Planning Committee

The Division of Traffic Safety's Highway Safety Planning Committee exists to make decisions as to what highway safety projects are funded each year. In FFY05, the Committee consisted of 13 individuals. Members of the Committee include:

- Director of DTS;
- Deputy Director of DTS;
- Special Assistant to the Director of DTS;
- Assistant to the Deputy Director of DTS;
- Bureau Chief of DTS's Bureau of Data and Data Services;
- DTS Evaluation Unit Manager;
- Alcohol Program Coordinator;
- Occupant Protection Coordinator;
- DTS contract employee;
- an individual from IDOT's Office of Public Affairs;
- an individual from the Secretary's office; and
- two individuals from the Office of Finance and Administration (one functions as an Assistant to the Director of DTS and one is the Bureau Chief of Employee Services).

Each year, grant applications are submitted to the Committee by local agencies such as police departments, hospitals, and universities. Applications are assigned to a Law Enforcement Liaison (LEL), Local Agency Liaison (LAL), or a DTS staff member for review. After this initial review, the applications are submitted to a designated Committee member who performs an additional review of the application. The Committee then meets as a whole and determines which projects to fund and which projects to deny.

We requested policies, procedures, and criteria used in the decision-making process as well as dates of meetings, meeting minutes, and decision-making documents such as decision memos. DTS officials noted there were no written policies, procedures, or criteria. DTS officials also noted that the decisions are based on the recommendations from the LELs, LALs, and Committee members, as well as on prior performance and meeting eligibility criteria.

DTS was unable to provide any documentation such as decision memos and evaluation instruments to support the decision to deny FFY05 projects other than copies of the denial letters. These denial letters all noted, “Unfortunately, we simply do not have adequate funding available for all the projects that were received.” DTS provided information that showed the Highway Safety Planning Committee reviewed 140 grant proposals for FFY05. DTS denied 14 project applications or 10 percent for FFY05. Since DTS had \$13.3 million in federal funds carried over from FFY04, it is unlikely that DTS lacked adequate funds. Since DTS could not produce any other supporting documentation, we were unable to determine the actual reason any FFY05 project was denied.

For FFY06, the Highway Safety Planning Committee reviewed 153 grant proposals. DTS did not fund 21 project applications or 14 percent. For the FFY06 projects that were not funded, DTS provided auditors with a list that contained a brief description as to why the application was denied. The list provided did not contain detailed support for the denial. We reviewed the projects that DTS denied due to either a lack of performance or a failure to meet criteria. We found some discrepancies between the reasons noted in the denial letters, the list of denials, and the Highway Safety Planning Committee Review Form. These differences are shown in Exhibit 2-12.

Exhibit 2-12			
EXAMPLES OF FFY06 PROJECT APPLICATIONS DENIED			
Applicant	Reason on Highway Safety Planning Committee Review Form (July 2005)	Reason Stated in List DTS Provided to OAG (August 10, 2005)	Reason in Denial Letter (August 26, 2005)
1	Not a priority project	Failed to meet criteria for funding	Do not have adequate funding available
2	They are slightly below required DUI arrests	Failed to meet criteria for funding	Do not have adequate funding available
3	Funded in 05 –met all objectives; also noted staff problems	Failed to meet project objectives in FFY05	Do not have adequate funding available
4	Not performing; seatbelt enforcement has not met project standards	Failed to meet project objectives in FFY05	Do not have adequate funding available
5	Hasn't submitted any data from their 05 grant; LEL recommended funding and noted that Naperville always does a good job with the money they receive	No reporting during FFY05	Do not have adequate funding available and lacked performance and reporting procedures
6	Dropped out before completing an earlier grant and were substandard in DUI arrest performance before terminating	Failed to meet objectives during FFY05 ¹	Do not have adequate funding available
7	“Numbers not good”; although it was acknowledged that the goals and objectives were being attained	Failed to meet objectives during FFY05	Do not have adequate funding available
<p>¹ Applicant did not have a grant in FFY05.</p> <p>Source: Documentation provided by IDOT.</p>			

Reasons DTS listed for denial included: slightly below required DUI arrests, staff problems, hasn’t submitted any data for their 05 grant, and not a priority project. However, since there was no supporting documentation provided, we could not determine what was the exact reason for the denial.

We found there was some discrepancies between the information used by the Committee and documentation found in the project files. Examples include:

- An application was denied due to failing to meet objectives of its grant in FFY05. However, we found that the applicant did not have a grant in FFY05; and
- Applications were denied for two police departments due to a lack of reporting and for not meeting current year objectives. We reviewed the previous years’ project files for both police departments and found positive notes in on-site evaluation reports about meeting objectives and even the need for additional support for one of these applicants. One on-site evaluation noted there was good all around numbers regarding total hours worked, percentage of speeders, contacts per hour, and participation in “Click It or Ticket” and “You Drink & Drive. You Lose” campaigns. The other noted that this is a major city with a small project and noted a need for IDOT to get them on board with some substantial support.

HIGHWAY SAFETY PLANNING COMMITTEE	
RECOMMENDATION NUMBER 6	<i>The Department of Transportation should establish and adopt written policies, procedures, and criteria to ensure grant applications are reviewed in a consistent manner. In addition, decision documents used for acceptance or denial should be maintained to substantiate the Committee’s decisions.</i>
DEPARTMENT OF TRANSPORTATION RESPONSE	<p>The Department agrees with the recommendation. DTS will develop written policies, procedures and criteria regarding grant applications. DTS has formed an internal committee to set such guidelines for these grant applications. DTS will develop uniform acceptance and denial forms for each applicant agency that submits a project request. All project requests that are denied will receive a letter from DTS explaining the reason(s) why the request was denied.</p> <p>IDOT also provided in its response implementation date and corrective action information which is included in Appendix H.</p> <p>There was a previous grant review and approval process; it has evolved into a more structured format. IDOT felt that it was necessary to first focus on developing accountability measures that were never in place. Now our priority will be to make the grant process more open to dialogue and feedback within a structured process.</p>

Coordinating Projects with Grantees

DTS does not effectively coordinate projects with grantees. DTS utilizes separate mini-grants with grantees instead of one master grant agreement for the entire federal fiscal year. An

official from NHTSA also noted that IDOT was having trouble planning mobilizations. NHTSA noted that if better planning were done in the beginning of the year, only one plan would be needed. NHTSA said it has recommended that IDOT adopt a year-round approach in which NHTSA has a prescribed plan.

During file testing, we also found that project agreements were often signed within a few days of the beginning of the start of the enforcement campaigns. Additionally, as shown in Exhibits 2-8 and 2-9, grantees and State agencies identified concerns with the timeliness of planning and coordinating projects. Several respondents to our grantee survey noted that DTS plans projects at the last minute. Because of this, some grantees may not have adequate time to plan and coordinate personnel and resources. Finally, a DTS official noted that some of the FFY05 grant agreements were sent out only a few days before the beginning of the enforcement period.

We reviewed a grant agreement used by the Wisconsin Department of Transportation’s Bureau of Traffic Safety. The agreement was to conduct “Click It or Ticket” and “You Drink & Drive. You Lose” campaigns for two campaigns. The campaigns were from May 23 – June 5, 2005 and August 19 – September 5, 2005. In Illinois, DTS wrote separate agreements for each of these campaigns in 2005.

Adopting a year-round planning approach using master contracts with grantees would allow grantees to plan more effectively and would reduce the number of grant applications DTS would have to create saving time and money. Increased planning may also make it easier for grantees to spend all of the funding that is programmed to them since they would have more time to manage the needed staff to work overtime during these campaign periods.

COORDINATING PROJECTS WITH GRANTEES	
RECOMMENDATION NUMBER 7	<i>The Department of Transportation should more adequately plan traffic safety projects in advance in order to allow grantees more time to coordinate personnel and resources for enforcement campaigns.</i>
DEPARTMENT OF TRANSPORTATION RESPONSE IDOT also provided in its response implementation date and corrective action information which is included in Appendix H.	The Department agrees with the recommendation. With the nearly two years of continuing resolution from the Congress in Washington, IDOT was only allowed to roll out limited funds. Now that a federal transportation bill has been passed, DTS will know the level of funding they will receive each year and can more adequately plan the year’s enforcement activities. Planning of all future enforcement campaigns will be scheduled to allow adequate response time for local and state agency grantees.

Chapter Three

TRAFFIC SAFETY FUNDING

CHAPTER CONCLUSIONS

According to Illinois Department of Transportation (IDOT) and National Highway Traffic Safety Administration (NHTSA) officials, IDOT's traffic safety programs have not experienced any budgetary reductions and will not in the future as a result of IDOT's reorganization. In 2005, both the federal traffic safety funding from NHTSA and the State appropriation increased.

IDOT rolled over approximately \$13.3 million from FFY04 to FFY05 in unused NHTSA funds. In September 2004 and again in an April 2005 management review, NHTSA requested that IDOT develop a liquidation plan. As of the end of our fieldwork (September 2005), IDOT had not developed the requested liquidation plan which details how to liquidate past funding that continues to roll over from year to year. Subsequently, in November 2005, IDOT submitted a liquidation plan to NHTSA.

Like the NHTSA programs, IDOT has been rolling over funds for the Motor Carrier Safety Assistance Program (MCSAP). In August 2004, the Federal Motor Carrier Safety Administration (FMCSA) wrote a letter to IDOT threatening to deobligate \$2,275,982 in funding because of the large rollover amount. In September 2004, IDOT submitted a liquidation plan to FMCSA.

IDOT is not maximizing its federal reimbursements. Unlike other states, IDOT's Division of Traffic Safety (DTS) does not use fringe or indirect cost rates when claiming federal reimbursement. While DTS bills NHTSA for some costs incurred (such as retirement and social security), others such as healthcare and other indirect costs are not billed. If IDOT billed NHTSA and FMCSA using the 90.85 percent overhead rate it charges the Federal Highway Administration, IDOT could claim an additional \$1,136,900 annually. IDOT could bill NHTSA an additional \$465,600 and FMCSA an additional \$671,300 annually.

In addition, IDOT did not seek federal reimbursement for all IDOT staff working to administer NHTSA highway safety projects in FY05. On July 1, 2005, DTS began to require employees to fill out specific timecards in order to request reimbursement from NHTSA. We determined that by not billing for these nine employees during FY05, IDOT failed to be reimbursed for more than \$400,000. Additionally, there continue to be other employees working on federal traffic safety programs for which IDOT is not seeking federal reimbursement in FY06. The other employees' annual salaries total more than \$80,000.

NHTSA PROGRAM FUNDING

The National Highway Traffic Safety Administration (NHTSA) funds highway safety programs at IDOT. These funds from NHTSA are considered grants; however, the funds are reimbursed to IDOT after they have been expended by IDOT. Some of the grants require matching State funds. In the past, federal funds for these programs were authorized in the Transportation Equity Act for the 21st Century (TEA-21) and numerous extensions to it. On August 10, 2005, the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) was signed into law by the President to replace TEA-21.

NHTSA Funds Received by Illinois

Federal funds are allocated to the State by NHTSA as a grant award. IDOT administers these funds to local governments and agencies and other State agencies. Exhibit 3-1 shows the total available federal funds for each program. Funding levels for Illinois over the next four years are yet to be determined; however, according to NHTSA officials, Illinois should receive a sizable increase in funding. Illinois will receive at least an additional \$29 million over the next four years as a result of Illinois having passed a primary seatbelt law.

Legislative Audit Commission Resolution Number 129 asked the Auditor General to determine whether IDOT's traffic safety programs experienced any staffing or budgetary reductions. In addition, the Resolution asked whether any past or planned reductions would impact federal funding. We determined IDOT did experience staffing reductions due to its reorganization in July 2004. However, according to IDOT and NHTSA officials, DTS did not and will not lose any federal funding from NHTSA as a result of the staffing reductions.

Exhibit 3-1 AVAILABLE FEDERAL NHTSA FUNDS AND IDOT EXPENDITURES OF NHTSA FUNDS (In Thousands)				
		Illinois Highway Safety Programs	Alcohol Traffic Safety Programs	Total
FFY00	Rollover	\$5,310.6	\$3,895.4	\$9,206.0
	New	8,425.5	1,632.5	10,058.0
	Total	13,736.1	5,527.9	19,264.0
	Appropriated ¹	10,285.9	3,374.8	13,660.7
	Expended	5,907.6	2,363.9	8,271.5
FFY01	Rollover	\$7,828.5	\$3,164.0	\$10,992.5
	New	8,457.2	5,503.8	13,961.0
	Total	16,285.7	8,667.8	24,953.5
	Appropriated ¹	12,689.5	4,029.3	16,718.8
	Expended	8,563.2	2,420.0	10,983.2
FFY02	Rollover	\$7,722.5	\$6,247.8	\$13,970.3
	New	11,202.9	1,832.3	13,035.2
	Total	18,925.4	8,080.1	27,005.5
	Appropriated ¹	12,799.8	6,957.8	19,757.6
	Expended	10,710.7	4,280.6	14,991.3
FFY03	Rollover	\$8,214.7	\$3,799.5	\$12,014.2
	New	9,645.6	1,846.8	11,492.4
	Total	17,860.3	5,646.3	23,506.6
	Appropriated ¹	14,374.5	3,361.9	17,736.4
	Expended	8,647.2	1,338.0	9,985.2
FFY04	Rollover	\$9,213.1	\$4,308.3	\$13,521.4
	New	8,764.0	1,755.9	10,519.9
	Total	17,977.1	6,064.2	24,041.3
	Appropriated ¹	10,918.8	2,962.5	13,881.3
	Expended	8,099.8	2,628.0	10,727.8
FFY05	Rollover	\$9,877.3	\$3,436.2	\$13,313.5
	New	11,020.4	1,756.8	12,777.2
	Total	20,897.7	5,193.0	26,090.7
	Appropriated ¹	12,912.2	3,821.7	16,733.9
	Expended ²	10,761.4	2,702.2	13,463.5
¹ Based on State fiscal year. ² FFY05 expenditures are updated as of December 1, 2005.				
Source: Division of Traffic Safety History of Federal Fund Allocations and State Appropriation Books.				

DTS Appropriations

Each year the State appropriates funds to IDOT for DTS and a number of other agencies to be reimbursed later by NHTSA. The money is allocated to the Illinois Highway Safety Program and the Alcohol Traffic Safety Programs.

The Illinois Highway Safety Program includes the appropriations for State and Community grants (Section 402), Occupant Protection Incentive grants (Section 405(a)), Safety Incentive grants for use of seatbelts (157 Incentive), Safety Innovative grants for increasing seatbelt use rates (157 Innovative), Child Passenger Protection Education grants (Section 2003(b)), and State Highway Safety Data Improvements (Section 411). Over the last few federal fiscal years, these funds have been appropriated to IDOT to provide funding to the Secretary of State, the State Police, IDOT, Public Health, the Illinois Law Enforcement Standards Training Board, the State Fire Marshal, the State Board of Education, and local government projects.

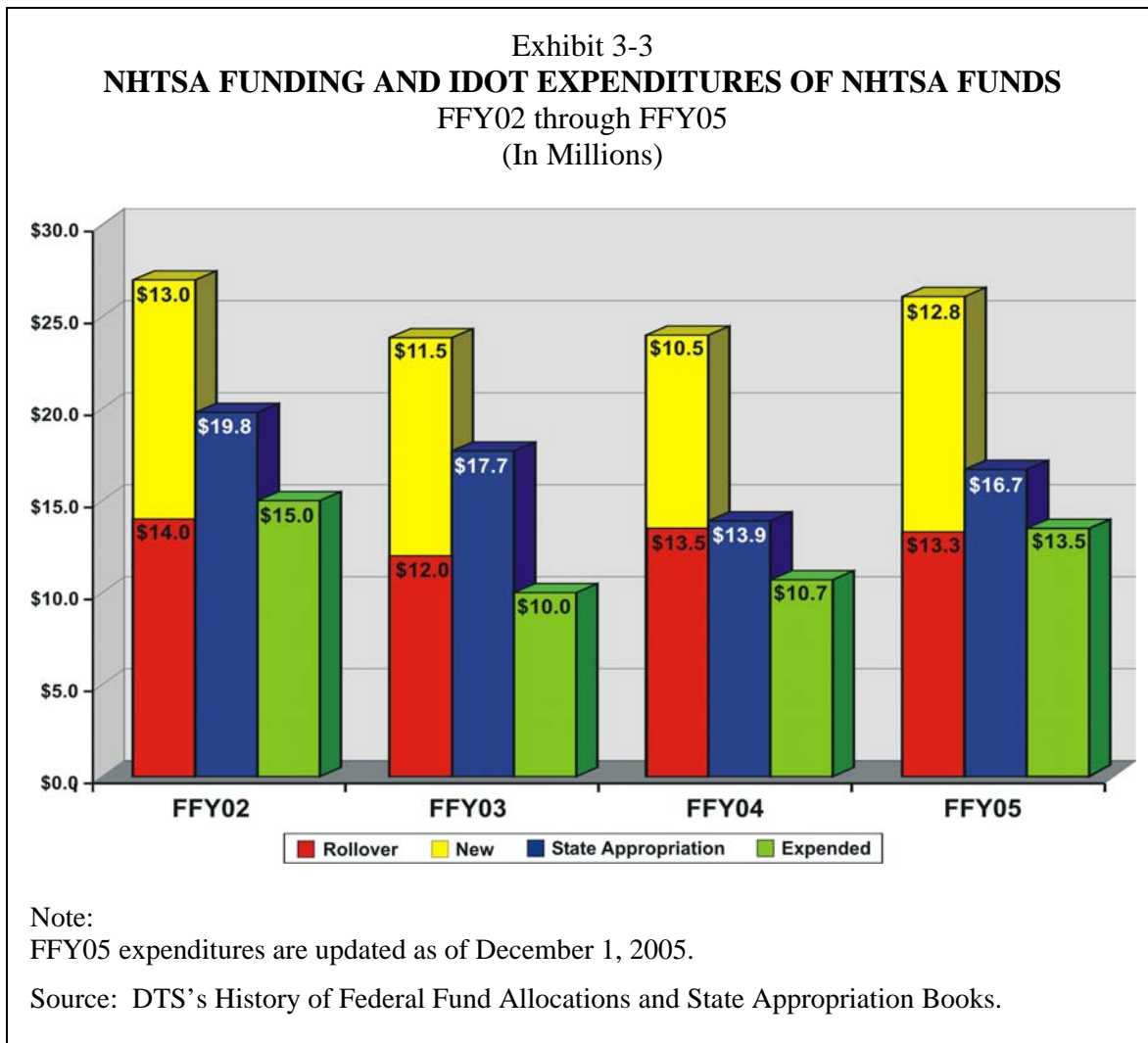
The Alcohol Traffic Safety Programs are the Alcohol Impaired Driving Countermeasures (Section 410) and Minimum Penalties for Repeat Offenders for DWI or DUI (164 Transfer) and have been appropriated to IDOT to provide funding to the Administrative Office of the Illinois Courts, DTS, the Secretary of State, the State Police, the Law Enforcement Standards Training Board, and local government projects. Exhibit 3-2 shows how much money was appropriated to each program.

Exhibit 3-2 DTS APPROPRIATIONS BY NHTSA PROGRAM AND YEAR Fiscal Years 2003-2005			
	FY03	FY04	FY05
Illinois Highway Safety Program	\$14,374,500	\$10,918,800	\$12,912,200
Alcohol Traffic Safety Programs	\$3,361,900	\$2,962,500	\$3,821,700
TOTAL	\$17,736,400	\$13,881,300	\$16,733,900
Source: State Appropriations Books.			

Rollover of Funds

In the past, IDOT has rolled over large amounts of unused federal funds from previous years. NHTSA allows IDOT to roll over unused funds for three years after the year for which it was received. One risk of continually rolling over funds is that NHTSA will lower the funding that Illinois gets since IDOT is unable to spend it. Another risk is that NHTSA will simply take the funding that is being rolled over. As seen in Exhibit 3-1, \$9.9 million was rolled over from Highway Safety Programs and \$3.4 million was rolled over from Alcohol Traffic Safety Programs in FFY05. Therefore, a total of \$13.3 million was rolled over by IDOT. Appendix E shows available NHTSA funds by program from FFY03 through FFY05.

In two of the last four federal fiscal years, IDOT’s total expenditures for highway safety projects have not reached the level of what was rolled over from the previous year. The cumulative funds rolled over the past four federal fiscal years totaled \$52.8 million. Over the same four federal fiscal years, DTS expended \$49.2 million or \$3.6 million less than was rolled over. IDOT has had enough money appropriated over the last four years to eliminate the rollover; however, IDOT has not spent up to its appropriation. Exhibit 3-3 shows the amount of available funds in relation to funds expended.



NHTSA was concerned about IDOT’s rollover funds after receiving IDOT’s FFY05 Highway Safety Plan. In a September 30, 2004 letter, NHTSA requested that IDOT address the liquidation of funds. In the letter, NHTSA noted that as of September 30, 2004, DTS had over \$17 million in unexpended funds. NHTSA requested that IDOT develop a liquidation plan of action within 60 days and submit it to NHTSA for review. In its April 2005 management review, NHTSA once again requested a liquidation plan be submitted with IDOT’s FFY06 Highway Safety Plan. As of the end of our fieldwork (September 2005), IDOT had not developed the requested liquidation plan which details how to liquidate past funding that

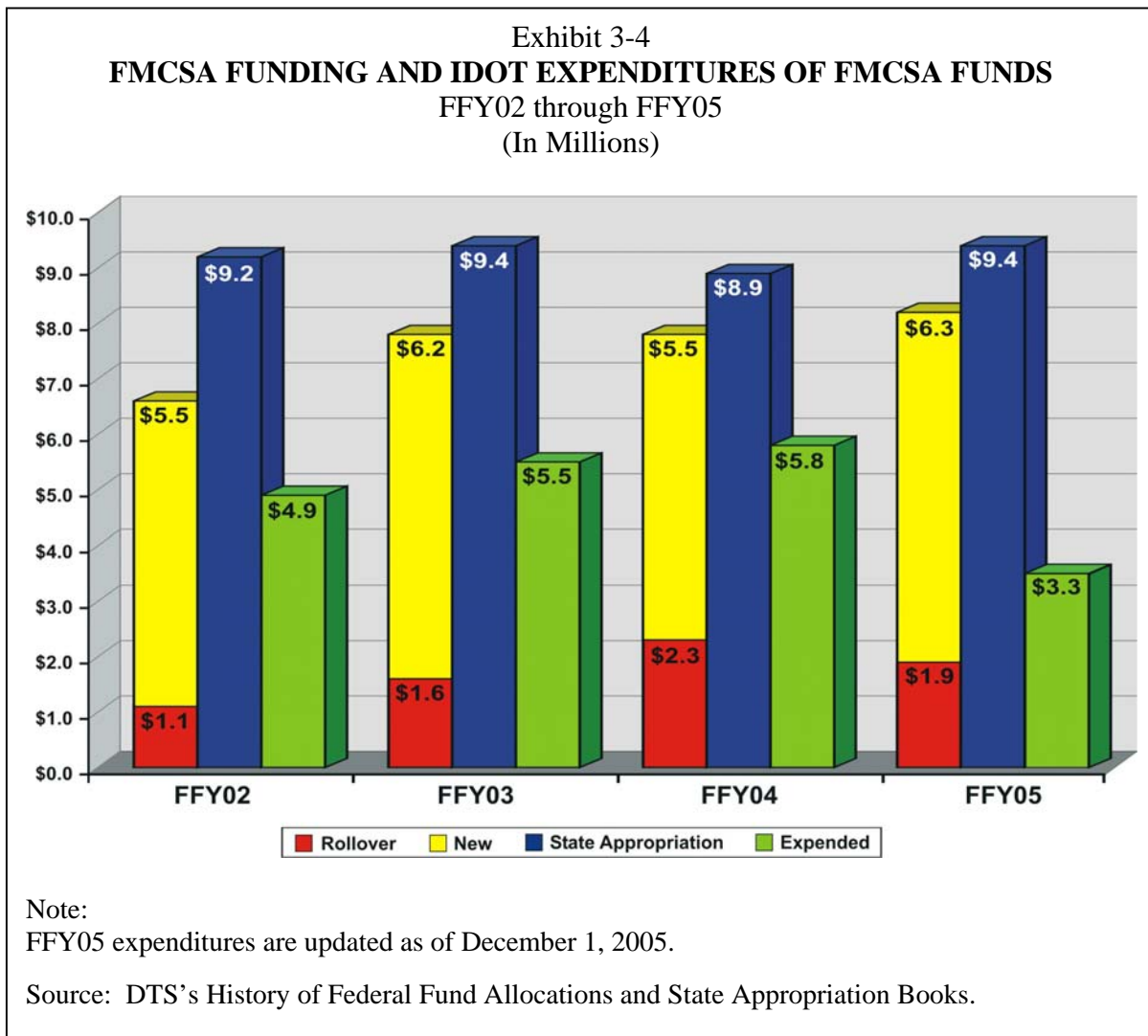
continues to roll over from year to year. Subsequently, in November 2005, IDOT submitted a liquidation plan to NHTSA.

As will be discussed in Chapter Four, opportunities exist for improvement in many areas such as drunken driving, fatality rates, and data accuracy and timeliness. A liquidation plan could delineate how the unexpended federal funds would be used to increase the effectiveness of DTS programs.

LIQUIDATION OF UNEXPENDED FUNDS	
RECOMMENDATION NUMBER 8	<i>The Department of Transportation should work with the National Highway Traffic Safety Administration to reduce the amount of unexpended funds.</i>
DEPARTMENT OF TRANSPORTATION RESPONSE	<p>The Department agrees with the recommendation. A liquidation plan was prepared and sent along with the 2006 Highway Safety Performance Plan to Donald McNamara, Regional Administrator, National Highway Traffic Safety Administration, Great Lakes region, Olympia Fields, Illinois, on November 1, 2005. It was labeled Attachment #3.</p> <p>It is IDOT's goal to expend all federal funds to which we are entitled, and our FFY 06 Highway Safety Plan indicates that. We have programmed the entire amount of federal funds we expect to receive. Although a specific amount is programmed to each grantee, some grantees might not spend their entire grant amount, causing a surplus in that grant. Also, we can only spend an amount equal to our FY 06 state appropriation. We request as much state appropriation as we feel necessary in order to cover the federal reimbursement; however, we are limited by the Governor's Office of Management and Budget as to the amount of increase we can request each year in our state budget.</p>
<p>IDOT also provided in its response implementation date and corrective action information which is included in Appendix H.</p>	<p><i>AUDITOR COMMENT: IDOT provided a liquidation plan to NHTSA in November 2005 only after NHTSA had requested it. The plan was provided in response to NHTSA's comments on the 2006 Highway Safety Plan in which NHTSA requested a liquidation plan from the Department for a third time. On two other occasions NHTSA had previously requested that the Department provide them with a liquidation plan -- in September 2004 and as part of a Management Review NHTSA conducted in April 2005.</i></p>

FMCSA PROGRAM FUNDING

The Federal Motor Carrier Safety Administration (FMCSA) authorizes monies each year from the Highway Trust Fund for the Motor Carrier Safety Assistance Program (MCSAP). IDOT receives 80 percent funding for MCSAP programs from FMCSA. Exhibit 3-4 graphically depicts the rollover, new, appropriated, and expended funding levels from FMCSA. Like the NHTSA programs, IDOT has been rolling over a large amount of funds for MCSAP. In August 2004, FMCSA wrote a letter to IDOT threatening to deobligate \$2,275,982 in funding because of the large rollover amount. IDOT officials were unsure if FMCSA can take the funding without a change in current law. In September 2004, IDOT submitted a liquidation plan to FMCSA.



MAXIMIZING FEDERAL REIMBURSEMENTS

The Illinois Department of Transportation's Division of Traffic Safety is not maximizing its federal reimbursements. The federal funding received by DTS is through reimbursement for costs incurred. The federal Highway Safety Grant Funding Policy for Field-Administered Grants allows grantees to bill for salaries, related personnel benefits, as well as office costs such as travel, equipment, supplies, rent, and utility expenses. Additionally, IDOT is not seeking federal reimbursement for all IDOT staff working to administer NHTSA highway safety projects.

Fringe and Indirect Cost Rates

Although other states use fringe and indirect cost rates when billing NHTSA, IDOT's Division of Traffic Safety does not use fringe or indirect cost rates when claiming reimbursement. Instead of billing a fringe rate, DTS only seeks reimbursement for the actual costs associated with retirement and social security. IDOT only bills about 22 percent to NHTSA and 15 percent to FMCSA for fringe costs and does not seek federal reimbursement for all associated costs (such as healthcare and indirect costs).

Other states we contacted reported that they use an indirect cost rate; however, each state's rate appears to be based on a different methodology making it difficult to compare the rates. DTS does not bill using an indirect cost rate either. DTS officials indicated that IDOT does not seek reimbursement for **any** indirect costs from NHTSA. In addition to the NHTSA funds, DTS does not use a fringe or indirect cost rate when billing for MCSAP from the Federal Motor Carrier Safety Administration.

IDOT officials concurred that there is an overhead cost associated with each IDOT employee in addition to their salary. IDOT officials provided documentation that indicated that IDOT pays an overhead rate on each of its employee's salaries of 90.85 percent. This is a rate that IDOT uses to bill for employee costs to the Federal Highway Administration for projects. IDOT does not bill the 90.85 percent overhead rate when claiming reimbursement from either NHTSA or the FMCSA. However, IDOT is paying for these types of costs for Law Enforcement Liaisons (LELs) and administrative staff hired as part of the contract with Eastern Illinois University (EIU). IDOT is paying EIU 12 percent for retirement and FICA, \$15,900 for healthcare per person, and 15 percent for personal services and fringes.

We annualized the billings for the first pay period of FFY06 to NHTSA and FMCSA to estimate additional funds IDOT could claim. If IDOT billed NHTSA and FMCSA using the 90.85 percent overhead rate it charges the Federal Highway Administration, IDOT could claim an additional \$1,136,900 annually. IDOT could bill NHTSA an additional \$465,600 and FMCSA an additional \$671,300 annually.

Maximize Federal Reimbursement for Staff

In addition to not seeking federal reimbursements for all fringe and indirect costs in FFY05, IDOT did not seek federal reimbursement for all IDOT staff working to administer NHTSA highway safety projects. Beginning July 1, 2005 (FY06), DTS began to require nine additional DTS employees to fill out specific timecards in order to request reimbursement from

NHTSA. We determined that by not billing for these nine employees during FY05, IDOT failed to be reimbursed for more than \$400,000.

Although IDOT began seeking reimbursement for these additional nine employees, IDOT is not seeking federal reimbursement for other eligible employees. These individuals include three Local Agency Liaisons (LALs), one individual from the Office of Planning and Programming, one employee from the Office of Finance and Administration functioning as an Assistant to the Director of DTS, and related duties performed by the Director of DTS. There are also other employees working on federal traffic safety programs for which IDOT is not seeking federal reimbursement in FY06. The other employees’ annual salaries total more than \$80,000.

MAXIMIZING FEDERAL REIMBURSEMENTS	
<p>RECOMMENDATION NUMBER</p> <p style="font-size: 2em;">9</p>	<p><i>The Department of Transportation should maximize federal reimbursement by:</i></p> <ul style="list-style-type: none"> • <i>seeking reimbursement for all eligible staff from NHTSA; and</i> • <i>capturing and billing for all allowable direct and indirect costs for eligible Traffic Safety personnel.</i>
<p>DEPARTMENT OF TRANSPORTATION RESPONSE</p> <p>IDOT also provided in its response implementation date and corrective action information which is included in Appendix H.</p>	<p>The Department agrees in principle with the recommendation that federal reimbursement should be maximized.</p> <p>DTS is aware that it has not been billing all allowable overhead and employee-related costs to NHTSA. DTS has worked to bill a portion of our eligible overhead costs to federal safety programs, but we have not billed all of these costs to the programs. Personnel overhead costs are already paid from funds dedicated to reimbursing these costs. There is a limited amount of traffic safety funding available. Instead of charging every dollar of overhead costs to the safety programs, the Department has opted to program to grantees as much of the traffic safety funds as possible for our life-saving safety programs.</p> <p>It is IDOT’s belief that the funds are better spent by agencies with performance measures within their grants.</p> <p><i>AUDITOR COMMENT: The Department noted that, “There is a limited amount of traffic safety funding available.” However, the Department did not expend and has rolled over an average of \$12.76 million <u>annually</u> in NHTSA funds for the period FFY01 – FFY05.</i></p>

Chapter Four

EFFICIENCY AND EFFECTIVENESS OF TRAFFIC SAFETY INITIATIVES

CHAPTER CONCLUSIONS

Data compiled by the Illinois Department of Transportation (IDOT) shows that safety belt and child safety seat usage have increased significantly over the last five years. However, the percent of fatalities related to alcohol has not significantly changed. When compared to the other states in the National Highway Traffic Safety Administration's (NHTSA's) Great Lakes Region, Illinois had above average seat belt usage but also had alcohol related fatalities that were above average for FFY04.

IDOT has had significant problems in implementing a new Crash Information System (CIS). As a result, IDOT could not provide crash data for calendar year 2004 and is using crash data from calendar year 2003 for highway safety planning for FFY06.

Regarding the Motor Carrier Safety Assistance Program (MCSAP), due to data limitations, it was difficult to determine if the motor carrier program has been effective in reducing the number of crashes or fatalities related to large trucks or buses in Illinois. Crashes related to large trucks in calendar year 2004 were at their highest point for the five-year period 2000-2004. However, we question whether the crash data reported by IDOT to the Federal Motor Carrier Safety Administration has been accurate because of the large fluctuations in the data. The number of fatal and non-fatal crashes involving large trucks decreased from 5,153 in 2000 to 3,547 in 2001. However, by 2004, the number of crashes involving large trucks increased to 7,825.

The Division of Traffic Safety's (DTS's) Evaluation Unit conducts reviews of traffic safety programs and received a commendation in the most recent management review conducted by NHTSA. Although DTS has conducted reviews of initiatives conducted using NHTSA funds, IDOT has not reviewed the operational efficiency of traffic safety programs. In addition, no effectiveness or efficiency reviews have been conducted of Motor Carrier Safety Assistance programs.

TRAFFIC SAFETY EVALUATION UNIT

IDOT has established an Evaluation Unit within the Division of Traffic Safety. The DTS Evaluation Unit is housed in the Bureau of Safety Programs and Administrative Services. The Evaluation Unit consists of a unit manager and mathematical evaluation manager.

The Evaluation Unit regularly produces a variety of annual evaluation reports, survey results, and summary sheets that compare program goals with actual outcomes. These reports are summarized in Exhibit 4-1. In addition to these reports, the Evaluation Unit is also involved in the development of goals and objectives for the Annual Highway Safety Plan and in the past has produced other ad hoc reports on topics such as child safety seat usage and grantee opinions. DTS's Evaluation Unit received a commendation in the most recent management review conducted by NHTSA for performing exemplary evaluations.

Exhibit 4-1 EVALUATION UNIT ANNUAL REPORT EXAMPLES	
Evaluation Reports	Month of Release
Local Alcohol Program (LAP)	December
Traffic Law Enforcement Projects (TLEP)	December
Mini Alcohol Projects (MAP)	December
Integrated Mini Grant Enforcement Projects (IMaGE)	July
Survey and Campaign Results and Reports	
State-wide Safety Belt Survey	July
IDOT Employee Opinion Survey	March
Click It or Ticket Mobilization Campaign	May
You Drink & Drive You Lose Mobilization Campaign	November
Summary Sheets	
Safety Belt Usage Rates	July
Source: Division of Traffic Safety, Evaluation Unit.	

HIGHWAY SAFETY PLAN

Each year DTS develops an overall Highway Safety Plan that includes key goals for traffic safety programs. We reviewed the FFY04 Highway Safety Plan for specific 2004 traffic safety targets related to the goals. As seen in Exhibit 4-2, of the four overall goals listed in the FFY04 Highway Safety Plan, we were only able to compare the actual measure for one target. We were not able to measure the other three targets due to the fact that, as of October 2005, IDOT could not produce crash data for calendar year 2004.

NHTSA TRAFFIC SAFETY PROGRAM MEASURES

As discussed in Chapter Three of this report, IDOT receives a substantial amount of traffic safety funding from the National Highway Traffic Safety Administration (NHTSA). These programs are primarily related to seat belt usage and impaired driving. Each year the Division of Traffic Safety re-evaluates its performance goals for highway safety in Illinois and

Exhibit 4-2 TRAFFIC SAFETY CALENDAR YEAR 2004 OVERALL GOAL ACHIEVEMENT		
Goal	CY 2004 Target	CY 2004 Actual
To reduce the statewide fatality rate (per 100 million Vehicle Miles Traveled) from the 2001 level of 1.37 to 1.0 by January 1, 2008.	1.17	1.25
To reduce the statewide severe injury rate (per 100 million Vehicle Miles Traveled) from the 2001 level of 18.43 to 16.4 by January 1, 2008.	17.34	Not Available ¹
To reduce the statewide percentage of fatal crashes (to total fatal and injury crashes) from the 2001 level of 1.45 percent to 1.28 percent by January 1, 2008.	1.36	Not Available ¹
To reduce the statewide percentage of severe injury crashes (to total fatal and injury crashes) from the 2001 level of 16.4 percent to 14.53 percent by January 1, 2008.	15.44	Not Available ¹
¹ IDOT could not provide 2004 crash data for measurement of these goals.		
Source: 2004 Highway Safety Plan and IDOT data.		

submits a report to NHTSA. These reports present the goals for traffic safety programs and present statistics that show whether the goals were accomplished.

We reviewed the annual evaluation reports for the period 2000-2004. Like the previous reports, the 2004 goals are centered on safety belt usage and impaired driving. However, the 2004 report does not always contain specific goals, unlike in previous reports.

The 2004 goals also cover a longer period of time. For example, the 2003 report had a goal of reducing the statewide severe injury rate from the 1998 level of 21.2 to 19.5 by 2003. The 2004 goals are the same as those presented in Exhibit 4-2.

We collected information regarding the program inputs and compared the past years' goals with the actual outputs and outcomes. We also looked at regional and national trend data related to certain areas such as seatbelt usage and alcohol related fatalities. We also reviewed evaluations performed by the DTS Evaluation Unit of specific programs including IMaGE, LAP, MAP, and TLEP.

Traffic Safety Initiatives

Efforts undertaken related to the NHTSA traffic safety programs are primarily related to seat belt and alcohol usage. These programs include awarding enforcement and non-enforcement grants to local and State agencies and advertising campaigns. Exhibit 4-3 is a summary showing the types of grants and initiatives undertaken for FFY04 and FFY05.

Exhibit 4-3
COMPARISON OF LOCAL GRANTS AND AMOUNTS AWARDED
 FFY04 and FFY05

Grant Type	FFY04		FFY05	
	Number of Grants	Grant Amounts	Number of Grants	Grant Amounts
Local Alcohol Project, Phone Surveys ¹ , and SONOR (Social Norms) ²	9	\$1,928,757	22	\$1,651,941
Integrated Mini Grant Enforcement Program	23	706,952	50	1,409,423
Local Enforcement Liaisons	3	1,199,272	3	993,203
Traffic Law Enforcement Program	9	1,301,666	8	879,503
Mobilization and Enforcement Zones	137	663,844	166	699,071
Injury Prevention and Protectors ³	6	905,490	6	645,986
Mini-Alcohol Program	23	416,422	28	592,769
Child Passenger Safety Resource Centers	5	572,465	5	519,399
Mobile Crash Reporting	2	336,967	1	220,426
Racial Profiling Study ⁴	0	0	1	159,145
Roadside Safety Checks	74	311,990	1	139,064
Child Passenger Safety	3	166,437	2	105,293
Illinois Traffic Safety Awards Program	1	81,750	1	88,450
Chicago Bike Program	1	144,049	1	62,172
Mobilization Enforcement (Rural)	0	0	16	57,129
Crash Outcomes Data Evaluation System	0	0	1	2,000
Choose Alcohol Resistance Today Project	1	8,795	0	0
Traffic Sign Upgrade ⁵	1	34,242	0	0
Work Zone Safety	2	10,000	0	0
TOTAL	300	\$8,789,098	312	\$8,224,974

Notes:

¹ The phone surveys were a part of a University of Illinois at Springfield Local Alcohol Project grant in FFY04.

² The SONOR grants were administered through an Eastern Illinois University Local Alcohol Project grant in FFY04.

³ The Protectors program was an Injury Prevention grant in FFY04.

⁴ The Racial Profiling Study only received federal funding in FFY05.

⁵ The Traffic Sign Upgrade program was discontinued at the end of FFY04.

Source: OAG analysis of IDOT data.

Outcomes and Accomplishments

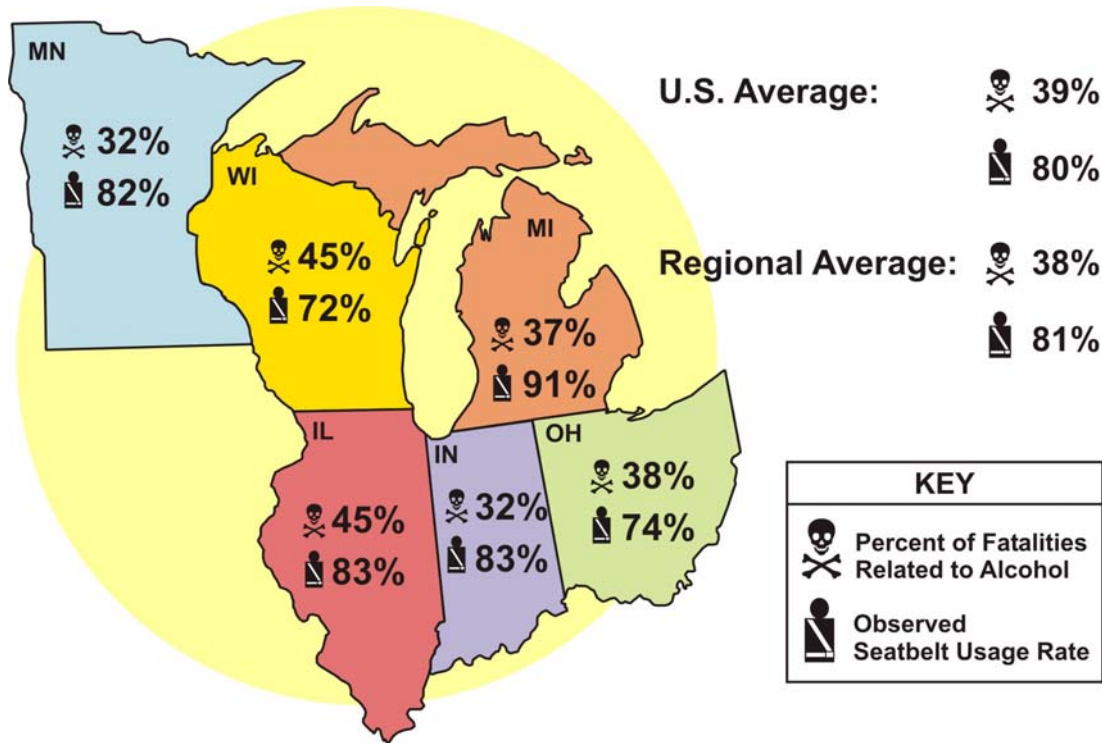
Exhibit 4-4 shows Illinois' traffic safety statistics for the period calendar year 2000-2004. IDOT could not provide complete crash data for calendar year 2004. Data problems that IDOT is currently experiencing are discussed later in this Chapter. The numbers that IDOT could provide for 2004 were related to fatalities and seat belt usage. This data shows that safety belt

and child safety seat usage have increased significantly over the last five years. However, the percent of fatalities related to alcohol has not significantly changed.

Exhibit 4-4 ILLINOIS TRAFFIC SAFETY STATISTICS 2000-2004					
	2000	2001	2002	2003	2004
Vehicle Miles Traveled (in Billions)	102.94	103.12	106.18	106.46	108.91
Total Crashes	460,172	443,293	438,990	437,289	n/a ¹
Injury Crashes	91,472	86,343	87,458	88,585	n/a ¹
Injuries	134,256	124,631	127,719	131,279	n/a ¹
Injuries Rate (per 100 million VMT ²)	130.43	120.99	120.28	123.31	n/a ¹
Fatal Crashes	1,274	1,274	1,273	1,308	1,225
Fatalities	1,418	1,414	1,420	1,454	1,356
Fatalities Rate (per 100 million VMT ²)	1.38	1.37	1.34	1.37	1.25
Alcohol-Related Fatalities	628	623	653	639	604
Percent of Total Fatalities Related to Alcohol	44%	44%	46%	44%	45%
Safety Belt Usage	70%	69%	74%	76%	83%
Child Safety Seat Usage	n/a ³	74%	n/a ³	60%	83%
<p>Notes: ¹ 2004 crash data was not available. ² VMT denotes “vehicle miles traveled”. ³ A child safety seat usage survey was not conducted or data was not available.</p> <p>Source: IDOT Highway Safety Program Annual Evaluation Reports, NHTSA and IDOT data.</p>					

Exhibit 4-5 shows how Illinois compares to the other states in NHTSA’s Great Lakes Region for seatbelt use and the percent of alcohol related fatalities for FFY04. For 2004, Illinois had above average seat belt usage but its percentage of fatalities related to alcohol was also above average. Illinois is tied for the highest percentage of fatalities related to alcohol in the region.

Exhibit 4-5
PERCENT OF SEATBELT USAGE AND FATALITIES RELATED TO ALCOHOL -
GREAT LAKES REGION
 Federal Fiscal Year 2004



Source: National Highway Traffic Safety Administration.

MCSAP PROGRAM MEASURES

Each year IDOT submits a plan to the Federal Motor Carrier Safety Administration that includes specific goals, objectives, performance measures, strategies, and activities related to motor carrier safety in Illinois. We reviewed these plans for the period 2002-2004. The overall goal presented in the 2004 plan was a reduction of 5 percent in commercial motor vehicle-related crashes over a period of three years.

Inputs and Efforts

The primary efforts regarding motor carrier safety include compliance reviews, safety audits, and roadside inspections. IDOT is responsible for conducting compliance reviews and safety audits. The Illinois State Police (ISP) is involved in the enforcement of both motor carrier safety requirements and hazardous materials transportation requirements through roadside

inspections. The number of compliance reviews conducted by IDOT and the number of inspections conducted by ISP decreased significantly from 2002 to 2004. However, during this same time period DTS began conducting safety audits with the same staff that were conducting compliance reviews.

Compliance Reviews and Safety Audits

Exhibit 4-6 shows that the number of compliance reviews conducted by IDOT has decreased substantially over the past three years. IDOT conducted only half as many reviews in calendar year 2004 as they did in calendar year 2002. Although the number of penalties and warning letters also decreased substantially, the amount of assessments related to the violations identified in the reviews increased.

Exhibit 4-6 MOTOR CARRIER SAFETY COMPLIANCE REVIEWS Calendar Years 2002-2004						
Year	Compliance Reviews	Penalties Issued	Initial Assessment	Penalties Settled	Paid Assessment	Warning Letters
2004	231 ¹	73	\$445,177.50	69	\$245,384.25	36
2003	264 ¹	92	\$278,642.50	85	\$145,712.00	37
2002	467	115	\$346,657.50	105	\$153,096.50	74
¹ IDOT began conducting safety audits in 2003 with staff that also conduct compliance reviews. IDOT conducted 291 safety audits in calendar year 2003 and 308 in calendar year 2004. Source: OAG analysis of Division of Traffic Safety data.						

IDOT officials identified several factors that have led to fewer compliance reviews being conducted including:

- IDOT is conducting safety audits. A 2002 federal rule requires that safety audits be conducted of all new entrant carriers within the first 18 months of operation (49 CFR 385 Subpart D). This requirement was effective January 2003 and IDOT began conducting these audits in June 2003 with staff that conducts the compliance reviews. IDOT conducted 291 safety audits in calendar year 2003 and 308 in calendar year 2004;
- IDOT is conducting more reviews of problem trucking firms. The federal government has asked states to do more reviews of A & B carriers (or the carriers with more problems). According to an IDOT official, these reviews take more time; and
- IDOT is also targeting larger trucking firms. In a compliance review, they can be reviewing a variety of carriers, from a single truck carrier to a company with 600 trucks. They are now looking at more of the larger carriers.

Roadside Inspections

Exhibit 4-7 shows that total roadside inspections dropped from 92,527 in calendar year 2002 to 83,814 in calendar year 2004 or approximately 9 percent. We discussed this decrease with both IDOT and ISP officials who identified several reasons for the drop in inspections, including:

- **Reduction in overtime (hire backs).**

According to the Illinois State Police there are 98 full time personnel allocated to conduct inspections. The salaries of 40 of the 98 personnel were paid by MCSAP. However, inspections are also conducted using "hire backs" (using paid overtime for staffing). ISP officials noted they have reduced hire backs for inspections. Instead of inspections, troopers have been engaged in homeland security functions and seat belt enforcement activities. According to ISP officials funding for hire backs is also

increasingly being tied up in salaries and vehicles. He noted that operating costs, such as the cost of fuel, could have a significant impact upon their activities. If there is any money left over, they look at hire backs. ISP officials also noted that the drop in the number of inspections could be attributed to personnel retiring and the fact that the training cycle does not allow these positions to be filled immediately. ISP officials noted that the biggest drop has been in Level 3 inspections, which are done primarily by road troopers. ISP officials also noted that in the past they did more load securement (whether items being transported are properly secured) details. In the past ISP conducted these activities using hire back. More recently, they have done very few of these.

- **Reclassification of types of investigations.** IDOT officials noted that driver only studies and special investigations are the two categories that have decreased the most and that the chart Level "4" for special inspections are now included in categories 1, 2, or 5. ISP officials noted that they used to track Level 4 inspections as crashes. However, these are now recorded as Level 1.

Exhibit 4-7 MOTOR CARRIER SAFETY PROGRAM ROADSIDE INSPECTIONS AND ENFORCEMENT VIOLATIONS Calendar Years 2002-2004			
Type Inspection	2002	2003	2004
1. Full	22,241	24,955	21,915
2. Walk-Around	32,890	40,743	42,017
3. Driver Only Study	32,829	25,031	18,062
4. Special Study	3,998	3,363	1,011
5. Terminal	569	701	747
6. Radioactive Material	0	25	62
TOTAL INSPECTIONS	92,527	94,818	83,814
With Enforcement Violations	44,816	40,722	34,345
Note: Inspection and violation data presented in this exhibit differs from the data reported by IDOT to FMCSA. According to the Illinois State Police, the SafetyNet software utilized by IDOT in 2002 and 2003 had difficulty converting State violations into the required federal codes and rejected some inspections. Source: Illinois State Police.			

Outputs and Outcomes

Due to data limitations, it was difficult to determine if the motor carrier safety program has been effective in reducing the number of crashes or fatalities related to large trucks or buses

in Illinois. Exhibit 4-8 shows the number of fatalities and crashes for the period 2000-2004. As can be seen in the exhibit, large truck crashes in calendar year 2004 were at their highest point for the five-year period 2000-2004. However, we question whether the crash data reported by IDOT to FMCSA has been accurate because of the large fluctuations that have occurred in large truck crashes. As can be seen in the exhibit, the number of fatal and non-fatal crashes decrease from 5,153 in 2000 to 3,547 in 2001. Conversely the number of crashes increased from 3,543 in 2002 to 5,575 in 2003. For 2004 the number of fatal and non-fatal crashes increased to 7,825.

According to IDOT, the reason for the decrease in 2001-2002 was because FMCSA developed and implemented a new data collection system. At that time, Illinois was going through changes and was unable to enter truck data into the new system. IDOT officials stated in October 2005 that they could not provide 2004 crash data for large trucks and buses for two to three months. We obtained the 2004 large truck and bus crash data from the U.S. Department of Transportation website in December 2005.

Exhibit 4-8 ILLINOIS MOTOR CARRIER SAFETY CRASH STATISTICS 2000-2004					
Large Trucks	2000	2001	2002	2003	2004
Fatal and Non-Fatal Crashes	5,153	3,547	3,543	5,575	7,825
Fatal Crashes	163	180	159	178	151
Non-Fatal Crashes	4,990	3,367	3,384	5,397	7,674
Injury Crashes	2,546	1,797	1,598	2,239	2,936
HM Placard Crashes ¹	79	21	54	105	112
Fatalities	173	200	156	194	158
Injuries	3,598	2,354	2,238	3,176	4,273
Buses					
Fatal and Non-Fatal Crashes	67	53	25	24	31
Fatal Crashes	0	11	12	7	7
Non-Fatal Crashes	67	42	13	17	24
Injury Crashes	46	24	6	8	11
Fatalities	0	12	12	8	14
Injuries	172	41	9	13	13
¹ HM represents "hazardous materials".					
Source: Fatality Analysis Reporting System and Motor Carrier Management Information System (September 2005 data snapshot) and the U.S. Department of Transportation website (December 2005).					

EFFICIENCY

Although DTS has reviewed initiatives conducted using NHTSA funds, IDOT has not reviewed the efficiency of traffic safety operations. Some evaluations we reviewed of NHTSA funded programs included measures that could be used to assess program efficiency. IDOT did not conduct reviews of MCSAP programs to determine their effectiveness or efficiency.

We reviewed several traffic safety programs for which IDOT had conducted annual evaluation reports to assess their efficiency. These included Integrated Mini Grant Enforcement Program (IMaGE), Local Alcohol Projects (LAP), Traffic Law Enforcement Program (TLEP), and Mini Alcohol Program (MAP). To assess how efficiently these programs were being operated we chose several measures to review the amount of impact each program was having while taking into account the amount of funding being provided. These measures included the average cost per patrol hour, average cost per citation issued, and average minutes per citation/written warning issued.

Exhibit 4-9 shows that the efficiency of these programs varies considerably especially when assessing the cost for certain types of outputs. The cost per patrol hour ranged from \$37.55 per hour to \$143.98 per hour. The cost per citation issued showed a similar range from \$24.78 per citation to \$124.98 per citation. The average for the LAP program was skewed by one LAP grantee that had averages for 2004 of \$481 per patrol hour and \$700 per citation issued. The average minutes per citation issued also varied widely from approximately one citation being issued every ½ hour to more than an hour per citation issued. IDOT has doubled the number and amount of grants for the program that faired the best in these efficiency measure, the IMaGE program.

Exhibit 4-9 SELECTED PROGRAM EFFICIENCY MEASURES FFY 2004				
	IMaGE	LAP	MAP	TLEP
Average Cost per Patrol Hour	\$37.55	\$143.98	\$46.85	\$108.85
Average Cost per Citation	\$24.78	\$124.98	\$47.62	\$66.98
Average Minutes per Citation/Written Warning	32.8 min	52.1 min	61 min	36.9 min
Source: OAG analysis of IDOT data.				

EFFICIENCY AND EFFECTIVENESS REVIEWS	
RECOMMENDATION NUMBER 10	<p><i>The Department of Transportation should begin a program of assessing the effectiveness and efficiency of Motor Carrier Safety Assistance programs. IDOT should also conduct a review of the Division of Traffic Safety to assess the efficiency of traffic safety operations.</i></p>
DEPARTMENT OF TRANSPORTATION RESPONSE	<p>The Department agrees with the recommendation. Motor carrier safety efficiency and effectiveness are very complex and different from the NHTSA’s safety program. A separate and comprehensive assessment is needed to identify main data and program-related issues and make recommendations based on the findings. We will contact the Office of Motor Carrier Safety Administration to request an independent assessment of the Motor Carrier Safety Assistance Program (MCSAP). Based on our experience with the assessment of other traffic safety-related programs (e.g., traffic records, occupant protection, alcohol and motorcycle programs), Illinois will benefit from a comprehensive assessment of MCSAP that will be used as a tool to develop a statewide MCSAP strategic plan.</p> <p>In terms of the review of the DTS to assess how efficiently traffic safety programs are being operated, DTS has hired a Data Quality Analyst to conduct routine analyses on efficiency and effectiveness of traffic safety programs. The main areas of focus for this position are:</p> <ol style="list-style-type: none"> 1. To review and analyze various types of data and information (transportation and safety-related data) reported to the organizations, prepare detailed reports on the quality of data (accuracy, completeness and timeliness) and develop an action plan on how to correct it. 2. To work closely with the local and state police agencies as well as other professionals in the organizations to resolve required data quality issues. 3. To provide various monthly status reports for those agencies that submitted required data to the organization. 4. Act as a liaison between the state/local agencies and other program and project managers and researchers in the organization. 5. To conduct various types of analysis using Microsoft Excel or Access software. 6. To prepare data for the project manager and other researchers to conduct several highway safety related studies.
<p>IDOT also provided in its response implementation date and corrective action information which is included in Appendix H.</p>	

IDOT CRASH DATA

A complete traffic records program is necessary for planning, problem identification, operational management or control, and evaluation of a state's highway safety activities. Appropriate, accurate, and timely information describing various aspects of the transportation system are needed to improve highway safety and mobility.

IDOT has several different information systems that contain crash data that could be used to plan traffic safety program activities and assess the effectiveness of programs operations. These systems include among others:

- **CIS** – Crash Information System. This system contains crash information for 2004 to present;
- **MCR** – Mobile Capture and Reporting System. This system is used by State and local law enforcement as a mobile crash data collection tool. The State Trooper or local law enforcement officer can directly enter crash data for upload into CIS;
- **MCMIS** – Motor Carrier Management Information System. The system contains data for crashes of large trucks and inspections; and
- **FARS** – Fatality Analysis Reporting System. This system contains a record of all accidents that resulted in a fatality. It is a nationwide database maintained by NHTSA.

Unfortunately few of these systems provide consistent, accurate, and reliable data. As of October 2005, IDOT could not provide crash data for calendar year 2004. As a result, IDOT is using calendar year 2003 crash data to plan traffic safety activities for FFY06.

Crash Information System (CIS) and Mobile Capture and Reporting System (MCR)

The goal of CIS is to serve as the State repository for crash data and to increasingly accept electronic crash data from State and local law enforcement agencies. IDOT began the development of CIS in 2001 and began using CIS to input accident report data in calendar year 2004. Prior to January 2004, crash data was entered into a system call GAI (General Accident Information System). The goal of MCR is to improve the timeliness of crash data reports, improve accuracy of the data in crash reports, and reduce the amount of manual data entry.

In August 2004, IDOT contracted with a private vendor to conduct an audit of IDOT's crash systems including CIS and MCR. According to the audit, as of August 2004, IDOT had invested approximately \$1.5 million in the CIS project and approximately \$1.8 million to complete the MCR project. The audit found significant problems with the crash systems including:

- Lack of coordination and communication between MCR and CIS and IDOT's Bureau of Information Processing (BIP). For example, no advance planning or meetings were conducted with BIP that would result in a known schedule for providing additional expertise to the project team;

- Backlogs of crash images. These backlogs were in work units that were not operational including the crash locator tool and supervisory review. In addition there were no reports to verify that crash data were being entered into CIS correctly;
- No guidelines that define what crash data can be electronically transferred and in what format. The lack of guidelines further limits the likelihood that other local systems will transfer crash data electronically for CIS; and
- Missing functionality and inadequate funding of CIS. Examples of missing functions in CIS that were available in MCR include routines to access the driver and vehicle files and the crash locator tool.

The audit contained a total of 23 recommendations to IDOT related to the CIS and MCR systems in order to fulfill the following goals:

- Improve timeliness of crash data reports;
- Improve accuracy of data on crash reports; and
- Reduce manual data entry at DTS and for law enforcement.

We followed up on these recommendations with IDOT officials in BIP and DTS. As of August 2005, 5 of the 23 recommendations had not been implemented and 5 were only partially implemented (see Appendix G). IDOT responded to NHTSA that all recommendations would be implemented by April 2005. There is also disagreement between BIP and DTS regarding certain statements and recommendations in the audit.

As of August 2005, CIS could not produce summary crash statistics for 2004 and still contained an extensive backlog of reports in main entry including some from 2004. As of August 2004 CIS also had 172,274 cases with errors. These records need to be checked to determine what exactly is causing the error.

One IDOT planning document stated that, “The success of CIS is very dependent upon the success of MCR.” MCR also faces other obstacles including:

- Not all State Police Districts are trained to use MCR;
- City of Chicago is not currently planning to use MCR and is working on its own system that may include the collar counties. Chicago and the collar counties could be as much as half of all crashes in the State; and
- Local law enforcement agencies cannot use MCR unless they are I-WIN (Illinois Wireless Information Network) users. This accounts for only an estimated 200 of the more than 1,000 agencies within the State.

MCSAP Data

Data for crashes involving large trucks and buses is kept on the Motor Carrier Management Information System (MCMIS). This system also has data regarding the number of

inspections completed. The Federal Motor Carrier Safety Administration monitors the completeness, timeliness, and accuracy of data in MCMIS for all 50 states:

Completeness – This is determined by comparing the large truck crashes involving a fatality in the MCMIS with those reported in the Fatality Analysis Reporting System (FARS). The comparison conducted for the period April 1, 2004-March 31, 2005 of 2003 fatal crash data in FARS and crash data in MCMIS rated Illinois data as “poor”;

Timeliness – This measure is determined by reviewing the number of crashes reported within 90 days in the MCMIS database and the number of inspections reported within 21 days. For the period April 1, 2004-March 31, 2005, crash timeliness for Illinois data was rated as “good”. Inspection timeliness reporting showed Illinois rated as “poor”. Information provided by IDOT shows that timeliness of reporting inspections has now improved; and

Accuracy – This measure determines the percentage of State-reported crash records in the MCMIS database for interstate carriers and intrastate hazardous material carriers over a 12-month period that were matched to a motor carrier in MCMIS. For the most recent period reviewed (April 1, 2004-March 31, 2005), Illinois was rated as “good”.

A review of state safety data quality in June 2005 conducted by FMCSA rated Illinois' data as “poor” overall and rated completeness and accuracy of crash data as “poor”. According to ISP officials there was a time period in 2002 and 2003 in which the SafetyNet software utilized by IDOT had difficulty converting State violations into the required federal codes and some inspections were rejected. Although accuracy and completeness continue to be a problem, on average, the FMCSA reviews showed that the timeliness of inspection uploads for Illinois has improved.

SAFETEA-LU

The new federal transportation bill that was signed into law in August 2005 (SAFETEA-LU) contains provisions related to improving the quality of traffic safety data and also makes grants available to States for this purpose.

- Section 408 provides for grants to states to improve the timeliness, accuracy, completeness, uniformity, integrations, and accessibility of the safety data of a state. To be eligible for the first year grants states must establish a highway safety data and traffic records coordinating committee and develop a multi-year highway safety data and traffic records strategic plan. To qualify for successive year grants states must also have conducted or updated an assessment or audit of their traffic records system and highway safety data within the last five previous years. IDOT has re-established a Traffic Records Coordinating Committee. However, the last assessment of the traffic records system was conducted in January 2000 and the strategic plan is dated December 2000.

- Section 4128 provides for grants to the state for projects and activities to improve the accuracy, timeliness, and completeness of commercial motor vehicle safety data reported. To be eligible for these funds states must have conducted a comprehensive audit of their commercial motor vehicle safety data system within the preceding two years, develop a plan that prioritizes and identifies needs and goals, and develop performance based measure to show progress.

Traffic Records Coordinating Committee

At the request of NHTSA, IDOT re-established a Traffic Records Coordinating Committee in late 2004 to assess problems with traffic safety data. The 32-member Committee is composed of collectors, administrators, and users of State highway safety data and traffic records so there is a forum to review and evaluate new technologies and report issues to the appropriate State organizations as they relate to data collection. The Committee includes representatives from IDOT as well as other State agencies and the federal government. The Committee met for the first time in December 2004. The Committee has recommended that a traffic records assessment be conducted in FY06 using a team of experts assembled by NHTSA.

Timely and accurate crash data is vital to the analysis necessary for successful highway safety public information and enforcement programs. Data on fatalities is not enough. IDOT primarily used 2003 crash data for the development of the 2006 Highway Safety Plan. Although IDOT has implemented many of the audit recommendations (see Appendix G) and has established a Traffic Records Coordinating Committee, major obstacles remain to getting timely and accurate crash data.

CRASH DATA	
RECOMMENDATION NUMBER 11	<i>The Department of Transportation should continue to take steps to improve the accuracy and timeliness of its crash data. IDOT should also take any steps necessary to be eligible for federal grant funds available to improve traffic safety data and information systems.</i>
DEPARTMENT OF TRANSPORTATION RESPONSE	<p>The Department agrees with this recommendation. For the last two years, data improvement has been one of the major priority areas at DTS. Although DTS has made substantial progress in improving timeliness and accuracy of the data, there are still many other areas, such as completeness and accessibility and integration of data that need major improvement.</p> <p>Crash Information System (CIS) – Data stack replacement project is progressing.</p> <p>Mobile Crash and Reporting (MCR) – Several issues have been resolved. The development team is continuing its investigation of the server application code and will supply estimates to upgrade the server code.</p> <p style="text-align: right;">(continued)</p>

<p>IDOT also provided in its response implementation date and corrective action information which is included in Appendix H.</p>	<p>During the last five years, DTS has taken several steps to receive federal grants to improve traffic safety data. In addition to regular traffic records improvement grants, in 2004, the NHTSA awarded the IDOT \$281,000 to develop a Crash Outcome Data Evaluation System (CODES) program in Illinois. This project will be based on collaboration between IDOT and the Illinois Department of Public Health (IDPH).</p> <p>DTS met the criteria for first-year federal funding by establishing an Illinois Traffic Records Coordinating Committee. To be eligible for the second-year funding of federal grants to improve traffic safety data and information systems, we are planning to conduct an assessment from April 30-May 5, 2006, of all traffic-related data.</p> <p>DTS was also the recipient of a \$1.8M NHTSA discretionary grant for recent mobilizations. This has not occurred in the past.</p> <p>In addition, IDOT adopted its first ever Comprehensive Highway Safety Plan in which DTS is a key partner. This plan was adopted in advance of the new federal mandate of SAFETEA-LU.</p>
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APPENDICES

APPENDIX A
LEGISLATIVE AUDIT COMMISSION
RESOLUTION NUMBER 129

Legislative Audit Commission

RESOLUTION NO. 129

Presented by Senator Risinger

WHEREAS, one of the statutory missions of the Department of Transportation (the "Department") is to improve highway safety in Illinois;

WHEREAS, according to a recent news article, the Department of Transportation plans to lay-off approximately 60 employees agency-wide, 20 to 25 of may be involved in the Department's traffic safety programs;

WHEREAS, the Department's traffic safety programs encompass several safety initiatives, such as drunk and drugged driving prevention and seat belt and child safety seat usage;

WHEREAS, the traffic safety programs bring in millions of federal dollars annually;

WHEREAS, the continued viability of the traffic safety programs is vital to Illinois citizens; therefore be it

RESOLVED, BY THE LEGISLATIVE AUDIT COMMISSION that the Auditor General is directed to conduct a management and program audit of the Department of Transportation's traffic safety programs; and be it further

RESOLVED, that the audit include but not be limited to, the following determinations:

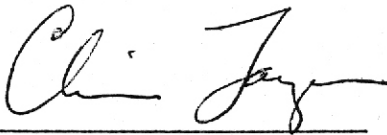
- Whether the Department's traffic safety programs are being operated in conformity with applicable state and federal requirements; and
- Whether the Department has established and implemented procedures to periodically review both the efficiency and effectiveness of its traffic safety initiatives;
- Whether the Department's traffic safety programs have experienced either staffing or budgetary reductions in the past two fiscal years and the impact of those reductions, if any, on the programs' operations;
- Whether the Department has plans for future reductions of staff and/or budget in its traffic safety programs and the extent to which the Department has analyzed the impact of those reductions of the programs' operations; and

- The extent to which any past reductions have impacted, or any planned reductions may impact, federal funding for traffic safety programs;

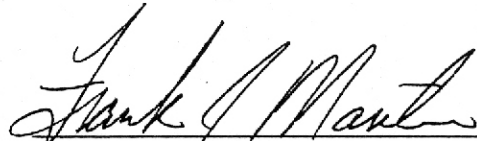
BE IT FURTHER RESOLVED, that the Department of Transportation, contractors and grantees participating in traffic safety programs, other State agencies and any other entity or person that may have information relevant to this audit cooperate fully and promptly with the Auditor General's Office in the conduct of this audit; and be it further

RESOLVED, that the Auditor General commence this audit as soon as possible and report his findings and recommendations upon completion in accordance with the provisions of Section 3-14 of the Illinois State Auditing Act.

Adopted this 22nd day of September, 2004.



Senator Chris Lauzen
Co-Chair



Representative Frank Mautino
Co-Chair

APPENDIX B
AUDIT METHODOLOGY

AUDIT METHODOLOGY

This audit was conducted in accordance with generally accepted government auditing standards and the audit standards promulgated by the Office of the Auditor General at 74 Ill. Adm. Code 420.310.

The audit's objectives are contained in Legislative Audit Commission Resolution Number 129 (see Appendix A), which asked the Auditor General to conduct a management and program audit of the Illinois Department of Transportation's traffic safety programs. The audit focused on the programs that experienced staffing or budgetary reductions in the past two years as is referenced in the audit resolution. Audit fieldwork was completed September 30, 2005.

We reviewed applicable federal and State laws governing traffic safety programs. We reviewed compliance with those laws to the extent necessary to meet the audit's objectives. Any instances of non-compliance we identified are noted in this report.

We also reviewed management controls and assessed risk relating to the audit's objectives. A risk assessment was conducted to identify areas that needed closer examination. Any significant weaknesses in those controls are included in this report.

During the audit, we met with representatives of the Illinois Department of Transportation (IDOT), the National Highway Traffic Safety Administration, the Federal Motor Carrier Safety Administration, and the Federal Highway Administration (NHTSA). We also met with other State agencies that receive funding through IDOT for traffic safety activities including the Illinois Secretary of State, the Department of Public Health, Eastern Illinois University, the Law Enforcement Training and Standards Board, the Illinois Liquor Control Commission, the Illinois Administrative Office of the Courts, and the Illinois State Police. The State agencies were also asked to compare the Division of Traffic Safety's (DTS's) performance before the reorganization with its performance after.

We conducted a survey of grantees that received traffic safety funds from IDOT during Federal Fiscal Years 2004 and 2005. We surveyed all grantees that received a grant from DTS in either FFY04 and/or FFY05 for NHTSA funded projects as of March 2005. Surveys were sent to 239 entities including local law enforcement agencies, hospitals, and universities. Of the 239 surveys sent, we received 140 completed responses for a response rate of 59 percent. The survey asked grantees to compare DTS's performance before the reorganization with its performance after. The survey data was used to help determine if the staffing reduction had an effect on program operations.

In order to assess the effect the reorganization had on DTS operations we reviewed DTS project files from FFY04 and FFY05. In order to compare DTS operations before and after the reorganization, we randomly sampled 25 enforcement and non-enforcement projects from each of the last two federal years for our file review. Information provided by DTS showed that there were 300 enforcement and non-enforcement projects in FFY04 and 331 in FFY05. We also selected five State agency projects from each of the last two federal years. There were 15 State agency projects in FFY04 and 19 in FFY05. During our review, we determined if required documentation was present, whether documentation was submitted timely as required, whether

the grantee met the requirements and goals of the project, and whether DTS project managers monitored the projects as necessary. We then analyzed the results and compared differences between the FFY04 project files selected (before the reorganization) and FFY05 project files selected (after the reorganization).

We also contacted other states to review planning and evaluation reports and the types of costs billed to federal traffic safety agencies, including indirect and fringe rates. We contacted all of the other states within NHTSA's Great Lakes Region. The states contacted were Ohio, Indiana, Michigan, Wisconsin, and Minnesota.

In April 2005, the federal National Highway Traffic Safety Administration conducted a management review of the Illinois Department of Transportation's Division of Traffic Safety. The management review assessed the adequacy of DTS organization and staffing, program management and financial management systems, programs, and policies and procedures as they relate to its federally funded highway safety program. We relied on NHTSA's review to assure that DTS was in compliance with federal laws and regulations.

As a result of the layoffs, former IDOT employees filed a federal lawsuit in U.S. District Court on September 20, 2004. The lawsuit alleges that the layoffs were illegal and the employees are seeking reinstatement as well as compensation for lost salaries and benefits. According to IDOT officials, the lawsuit was still in the discovery phase as of the summer of 2005. NHTSA officials indicated that NHTSA funds could not be used to compensate these individuals. As a result, any judgment against IDOT would result in 100 percent liability for the State.

APPENDIX C
EXAMPLES OF FFY04 FEDERAL TEA-21
GRANT PROGRAMS IN ILLINOIS

Appendix C
EXAMPLES OF FFY04 FEDERAL TEA-21 GRANT PROGRAMS IN ILLINOIS
By Section

State and Community Grants (Section 402)

Section 402 is a formula grant program to support state highway safety programs designed to reduce traffic crashes and resulting deaths, injuries, and property damage. States may use these grant funds only for highway safety purposes, and at least 40 percent of these funds are to be used to address local traffic safety problems. Federal regulations (23 CFR 1205.3) delineate eight areas for which states can receive funding under the State and Community Grants Program, and the federal government considers these to be national priority areas:

1. Alcohol and other drug countermeasures
 2. Police traffic services
 3. Occupant protection
 4. Traffic records
 5. Emergency medical services
 6. Motorcycle safety
 7. Pedestrian and bicycle safety
 8. Speed control
- **Injury Prevention** – Provided funding to conduct injury prevention activities such as increasing awareness of safety belt, child passenger safety, and impaired driving laws in communities.
 - **Integrated Mini-Grant Enforcement Program (IMaGE)** – Provided funding to local law enforcement agencies to conduct five enforcement campaigns with certified officers working overtime to concentrate on enforcement for all traffic laws with special emphasis on occupant restraint, impaired driving, and speed violations.
 - **Traffic Law Enforcement Projects (TLEP)** – Provided funding to local law enforcement agencies to conduct enforcement of specific traffic laws at selected high crash locations and to conduct public information/education campaigns.
 - **Occupant Restraint Enforcement Project** – Provided funding to the Illinois State Police to conduct two four-hour patrols twice a month, consisting of four officers each, in 10 selected ISP districts.
 - **Police Traffic Training** – Provided funding to the Illinois Law Enforcement Training and Standards Board to conduct police traffic training courses for local law enforcement officers.
 - **Special Traffic Enforcement Project** – Provided funding to Illinois State Police to conduct increased patrol and enforcement of all traffic laws with a primary emphasis on speeding, occupant restraint, and impaired driving.
 - **Speed Traffic Accident Reduction** – Provided funding to the Secretary of State Police to conduct increased patrol and enforcement of all traffic laws with a primary emphasis on speeding and occupant restraint.
 - **Imaging Enhancement** – Provided funding to the Secretary of State to hire three contractual services employees for data entry of backlog of old crash reports and certification of cases for suspension action.

- **Driving Under the Influence Enforcement** – Provided funding to the Illinois State Police to reduce the incidence of driving under the influence of alcohol and other drugs, enforce the occupant restraint laws of Illinois, and to make the public cognizant of driving safely on Illinois roadways.
- **Anti-Drunk Driving Enforcement Project** – Provided funding to the Secretary of State Police to conduct hire-back patrols on Friday and Saturday evenings from 10:00 p.m. to 4:00 a.m.
- **MCR Training** – Provided funding to conduct and implement the Mobile Capture and Reporting (MCR) program to law enforcement agencies throughout the State. MCR electronically captures and submits crash report data.

Alcohol-Impaired Driving Countermeasures Incentive (Section 410)

Section 410 is a grant program to adopt and implement effective programs to reduce traffic safety problems resulting from individuals driving while under the influence of alcohol. Funds may only be used to implement and enforce impaired driving prevention programs.

- **Operation Straight ID** – Provided funding to the Secretary of State Police to conduct educational presentations to inform law enforcement officers, employees, communities, and businesses of the penalties for using fake ID's and how to detect fraudulent driver license and State ID cards.
- **Roadside Safety Checkpoints** – Provided funding to local law enforcement agencies to conduct roadside safety checkpoints in cooperation with the Illinois State Police.
- **Judicial Training** – Provided funding to the Administrative Office of the Illinois Courts to conduct an annual seminar for judges on issues related to cases charging driving under the influence of alcohol.
- **Mini-Alcohol Program (MAP)** – Provided funding to local law enforcement agencies to conduct highly visible increased enforcement of impaired driving laws.
- **DUI/.08 BAC Awareness** – Provided funding to the Secretary of State to develop an extensive public awareness program to promote the .08 Blood Alcohol Concentration (BAC) law and DUI sanctions in Illinois.
- **Alcohol Countermeasures Enforcement** – Provided funding to the Illinois State Police to conduct additional enforcement efforts to deter adult and youth involvement in alcohol-related crashes.

Safety Incentives to Prevent the Operation of Motor Vehicles by Intoxicated Persons (Section 163)

Section 163 is an incentive grant program to encourage states to establish .08 percent blood alcohol concentration as the legal limit for a drunk driving offense.

- **Project 21** – Provided funding to the Illinois Liquor Control Commission to conduct Project 21/Beverage Alcohol Sellers and Servers Education and Training (BASSET) seminars to address the issues of selling alcohol to underage drinkers with a campaign to educate the retailers and their employees of the laws and consequences of sales to a minor.
- **Local Alcohol Program (LAP)** – Provided funding to local law enforcement agencies to conduct comprehensive DUI countermeasure activities by providing public information and

educational prevention activities to reduce drinking and driving.

- **Direct Inquiry Internet** – Provided funding to the Secretary of State to continue the Direct Inquiry project that provides a court communication network linking traffic courts to the Secretary of State.
- **Paid Media-Belts and Alcohol** – Provided funding for paid media in support of Illinois’ “Click It or Ticket” and “You Drink and Drive. You Lose.” campaigns.
- **MCR Training** – Provided funding to conduct and implement the Mobile Capture and Reporting (MCR) program to law enforcement agencies throughout the state. MCR provides for electronically capturing and submitting crash report data.
- **Sangamon County Choose Alcohol Resistance Today (CART)** – Designed to give students hands on experience with the inability to operate a motor vehicle safely while experiencing the sensation of intoxication.

Occupant Protection Incentive Grants (Section 405(a))

Section 405(a) is a grant program to encourage states to adopt and implement effective programs to reduce highway deaths and injuries resulting from individuals riding unrestrained or improperly restrained in motor vehicles. States may use these grant funds only to implement and enforce occupant protection programs.

- **Occupant Protection Resource Centers** – Provided funding for five local projects to promote the awareness of the new Child Passenger Safety (CPS) amendment through safety events, printed materials, and media releases. The CPS Resource Centers provided a service to communities for correct installation of safety seats and expert knowledge on the correct use of safety seats.
- **Enforcement Zones** – Provided funding for local law enforcement agencies to conduct safety belt enforcement zones.

Child Passenger Protection Education Grants (Section 2003(b))

Section 2003(b) is an incentive grant program to encourage states to implement child passenger protection programs. States may use these grant funds to implement programs that are designed to:

1. Prevent deaths and injuries to children;
 2. Educate the public concerning all aspects of the proper installation of child restraints, appropriate child restraint design, selection, placement, and harness threading and harness adjustment on child restraints; and
 3. Train and retrain child passenger safety professionals, police officers, fire and emergency medical personnel, and other educators concerning all aspects of child restraint use.
- **Illinois Urban League Affiliates** – Provided funding to establish a fitting station within each community served by the eight Illinois Urban League Affiliates. CPS Technician Instructors utilized the NHTSA Standardized CPS Technical Training to educate Urban League representatives and assist local law enforcement, fire, and health care (CPS) Technicians establish the fitting stations.

- **Illinois Early/Head Start Centers** – Provided funding to incorporate the dynamics of child passenger safety and occupant protection into a curriculum that is consistently addressed in transportation issues, parenting classes, and teen outreach programs through Illinois’ Early/Head Start Centers.
- **Public Information and Education** – Provided funding to develop a new public information and education campaign geared toward all aspects of Child Passenger Safety (CPS).

Safety Incentive Grants for Use of Seatbelts (Section 157)

Section 157 Incentive is an incentive grant program to encourage states to increase safety belt usage rates. States are eligible if the state had a safety belt usage rate greater than the national average for the two preceding calendar years, or the state’s safety belt usage rate in the previous calendar year was higher than the state’s “base safety belt usage rate.”

- **Child Safety Seat Program** – Provided funding to purchase safety seats and promotional materials through local agencies for implementation of community-based safety seat programs. The program was designed to make safety seats available to families in need, demonstrate correct use of safety seats, instruct parents that safety seats must be used on each trip in a vehicle to be effective, and provide information on the proper use of safety seats with automatic restraint systems.
- **Traffic Law Enforcement Projects** – Provided funding for local police departments to conduct traffic law enforcement projects. Phase I consisted of police training, traffic records upgrade by location, crash analysis, and problem identification. Phase II provided for enforcement of specific traffic laws at selected high crash locations and the conduct of a public information/education campaign.
- **IACP Local CPS Initiative** – Provided funding for the Illinois Association of Chiefs of Police (IACP) to promote Child Passenger Safety initiatives among small law enforcement agencies by conducting trainings on increasing seat belt and child seat use.

Safety Innovative Grants for Increasing Seatbelt Use Rates (Section 157)

Section 157 Innovative is an incentive grant program to encourage states to increase safety belt use rates. These funds are allocated to selected states to carry out innovative projects that promote increased safety belt use rates.

- **Third Year Program** – Provided funding to establish paid and earned media for the Click It or Ticket mobilizations in May and November.
- **Paid Media** – Provided funding for IDOT to conduct two large-scale, statewide media purchases.

State Highway Safety Data Improvements (Section 411)

Section 411 is an incentive grant program to encourage states to adopt and implement effective programs to improve the timeliness, accuracy, completeness, uniformity, and accessibility of state data that is needed to identify priorities for national, state, and local highway and traffic safety programs; to evaluate the effectiveness of efforts to make such improvements; to link these state data systems, including traffic records, with other data systems within the state; and to improve the compatibility of the state data system with national data systems and data systems of other states to enhance the ability to observe and analyze national trends in crash occurrences, rates, outcomes, and circumstances. States may use these grant funds only to implement such data improvement programs, such as establishing a coordinating committee, completing a traffic records assessment, and developing a strategic plan.

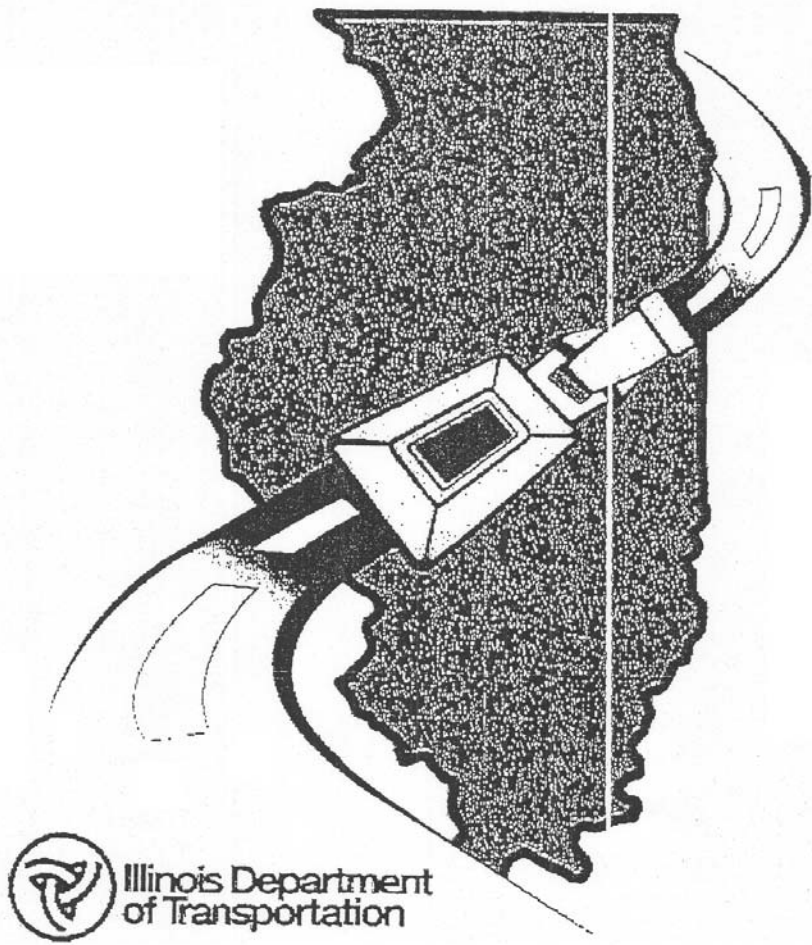
- **Data Incentive** – Provided funding for DTS to upgrade the traffic records system in accordance with the recommendations proposed in the Traffic Records Assessment Strategic Plan.
- **Crash Reporting System Improvement** – Provided funding for DTS to make improvements to the Crash Information System. CIS is the data warehouse system that is used to collect and analyze crash data. The main agenda in the new system is to make data collection more user friendly and available to more users than the current system.
- **Data Analysis** – Provided funding for the Illinois Department of Public Health to develop an effective Injury Surveillance System by building upon previous efforts in the area of data linkage and analysis.

Minimum Penalties for Repeat Offenders for Driving While Intoxicated or Driving Under the Influence (Section 164)

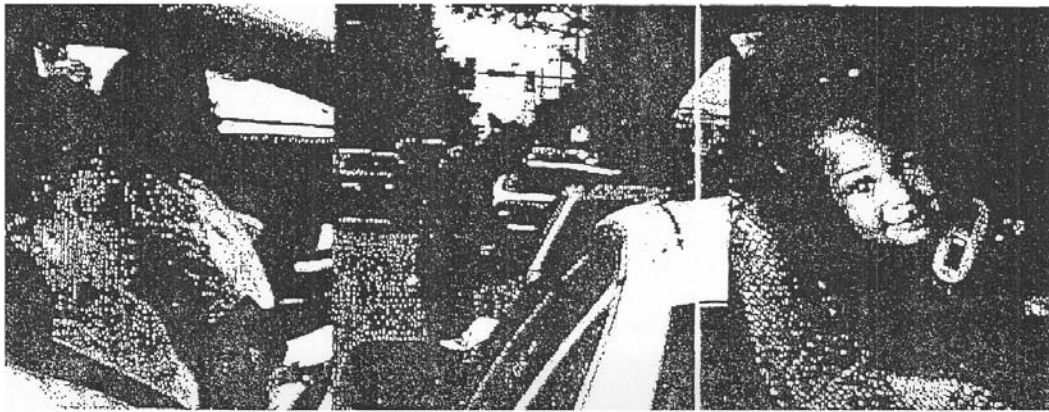
Section 164 encourages states to enact repeat intoxicated driver laws. Federal regulations require that to avoid a transfer of funds from federal-aid highway funds to Section 402 programs a state must implement certain minimum penalties for repeat intoxicated drivers. Illinois did not have the necessary laws to avoid the transfer and in FFY01 \$3,668,900 was transferred from highway funds to Section 402. These funds can be used for alcohol-impaired driving programs and hazard elimination programs.

Source: DTS 2004 Annual Evaluation Report and FY04 Highway Safety Plan.

APPENDIX D
IDOT REORGANIZATION PLAN



 Illinois Department
of Transportation



Illinois Department of Transportation
Reorganization of Traffic Safety
Draft
For Discussion Purposes Only—Not for Distribution

The Division of Traffic Safety's primary function is to provide a safe highway environment for motorists, cyclists, and pedestrians, while providing safety program outreach to the community.

Why Reorganize Traffic Safety

There are several reasons for reorganizing Traffic Safety. Last year, FHWA, FMCSA and NHTSA urged IDOT to improve in this area and recommended that Illinois take the following steps to impact highway safety:

- 1) Visibility—Integrate safety in everything we do
- 2) Collaboration—Unify IDOT efforts and reach locals.
- 3) Targeting—Target programs for maximum benefit
- 4) Technology—Improve and better utilize crash data

Our reorganization of Traffic Safety addresses these issues.

In addition, we are reorganizing Traffic Safety for management reasons. To ensure efficiencies, all state agencies in Illinois are undergoing downsizing. At the Illinois Department of Transportation, all departments and divisions will experience a reorganization to streamline functions and realize cost savings. IDOT management has worked hard to minimize programmatic impact of the reorganization.

After closely monitoring the direction, goals, and mission of Division of Traffic Safety over the last year, it was apparent that the quality and quantity of the safety program execution was unsatisfactory. In the past year, we identified several issues that required remediation. The issues are highlighted below:

- ▶ Inadequate community involvement
- ▶ Lack of management and accountability
- ▶ Shortage of checks and balances to ensure grant tracking
- ▶ Inability to achieve program goals and objectives in a timely and professional manner
- ▶ Poor customer service
- ▶ Insufficient communication to senior management and to motorists regarding the importance of traffic safety
- ▶ Lack of innovation in utilizing technology and other tools to collect and track data

A New Direction

Traffic Safety is a priority to IDOT. Currently, the division is a 200-plus person department with a mission to develop and implement highway safety programs. It is organized into 3 bureaus, 6 sections and 7 units. We made a management decision to streamline functions to ensure efficiency without compromising the core functions of the Division of Traffic Safety.

The nucleus of the operation will not change, rather certain functions will shift to other divisions at IDOT through our reorganization and consolidation efforts (see attached organization chart under "org chart" tab). The new organization chart for Traffic Safety shows 2 bureaus instead of 1, with the major change in safety outreach and grants administration. The Program Support Section within the Bureau of Safety Programs which processes claims and manages compliance programs such as motor carrier and hazardous materials remains

unchanged. The Evaluation Section within the Bureau of Safety Programs remains unchanged as well.

What is different? In an effort to address the deficiencies, we reorganized Traffic Safety by transferring the outreach functions to the newly-formed Office of External Affairs, and the technical aspects of grants to the newly-formed Office of Grants. With this reorganization, we will train and provide the resources necessary to our new safety outreach team and grants management team to ensure a seamless transition.

Outreach Functions

The Office of External Affairs will manage all outreach programs for IDOT in a strategic and uniform manner to ensure all resources and district offices are utilized. This Office will have a strong leader with a community relations background to execute these programs.

14 new Local Liaisons and Safety Outreach Coordinators will serve as the community outreach arm of the Office of External Affairs. These individuals will be located in the 9 IDOT district offices so they can be accessible to the communities. The new outreach team will have mechanisms in place to provide measurable results for programming and a strong management team with impeccable experience in community relations state-wide. They have established and maintained a strong rapport with community leaders and they are capable, innovative and enthusiastic about program development. As a result, we believe that these specific functions, previously housed in Traffic Safety, will be more adequately administered in the Office of External Affairs.

The new team is already certified to conduct child safety seat checks, and will be trained on other safety program areas in the next few weeks.

The Office of External Affairs will work with Traffic Safety to meet the mandates of the safety programs. Partnerships will still exist with law enforcement, and the position of Local Enforcement Liaison will still originate from Traffic Safety. We recognize that "cops like to talk to cops."

Grant Functions

The new Grants Section will be housed in the Division of Program and Planning to administer all local, state and federal grants. The grantees will not be impacted by this change. By having all grants housed in one area, we will better manage the tracking and collection of information from the 254 grants that IDOT has administered.

Employees in the new Section will receive focused training in grants administration for safety programs.

New Technology to Administer Grants

A welcome change will be a new web-based grant tracking process with a simple, uniform form for grantees to submit activity reports from. Modeled after our racial profiling tracking system, grantees will be able to access a report template from the IDOT Internet site, log in their special number, complete the form on line and submit it in a key stroke.

This new process will enable IDOT to evaluate grantees to ensure accountability.

Safety Data—Technology

Recognizing that data collection is another core function of Traffic Safety, we have kept it within the organizational structure but will audit the computer programs used to collect data to ensure effectiveness. The Data Section will work closely with BIP, our technology office, to ensure the computer service needs are met.

The intended outcomes of the partnership between Traffic Safety and BIP are to improve and better utilize crash data, develop a more comprehensive crash data analysis, and hone in on high accident areas so we can develop a targeted program.



We're On the Move to Improve Safety!

At the Illinois Department of Transportation (IDOT) the words *safety* and *transportation* are one of the same. The department is committed to taking safety outreach campaigns, *Click it or Ticket* and *You Drink You Drive You Lose* a step further. We have created the Department of External Affairs which will work closely with the Division of Traffic Safety to assure these initiatives are carried out and mirrored statewide. There will be safety coordinators and local liaisons whose jobs will be to implement these campaigns. Having this extended presence throughout the state will be instrumental in assisting NHTSA and IDOT to more effectively reach our audience and reduce the number of accidents and fatalities in Illinois. Furthermore, all liaisons, safety coordinators and additional IDOT staff will be certified in *Child Passenger Safety Seat Inspection* and receive *You Drink You Drive You Lose* and *Click it or Ticket Training*. Another focus for this department is to monitor grant dollars as they are awarded to assure fiscal responsibility and accountability.

IDOT is committed to educating the public about these campaigns as well as: monitoring their effectiveness. We are committed to reaching people throughout the state by way of strategic marketing campaigns designed to reach key demographics. It is our responsibility to ensure that people not only hear and see our message but understand them, which is why grass roots community outreach and the media will play a key role in our safety campaigns. In areas such as Cook County where seat belt use is among the lowest in the state and DUI rates are high we will hold press conferences with elected officials and other stakeholders to deliver a united message.

Focus areas of Safety Campaigns:

- Impaired Driving
- Child Passenger Safety
- Multicultural Outreach
- Occupant Protection
- Older Drivers
- Pedestrian/Bicycles
- Safe Communities
- Youth

Our safety campaigns will be effective using the following resources:

- Local media
- State and local officials
- Target campaigns based on data
- Buckle Up America Safety Van

Continued



- Distribute safety literature and display safety posters through agency partnerships
- Create bilingual materials to ensure multicultural outreach
- Establish presence at events with safety booths, for example:
 - a. Illinois State Fair
 - b. Illinois Lifesavers Conference
 - c. National Urban League Doing the Right Thing Day
 - d. Bud Billikin Back to School Parade
 - e. Fiesta Del Sol
- Public relations/community outreach firm hired specifically for the development and execution of safety outreach campaigns
- Safety surveys
 - a. Four times a year conduct a survey at the Secretary of State's Office to determine the effective our campaigns in the areas of:
 1. Outreach: Have people heard of our safety campaigns
 2. Behavior Modification: Have these campaigns influenced people to change their behavior. Example: wear a seatbelt or chose not to drink and d ive.
 - b. Once a year conduct a statewide seatbelt survey

Safety Mobilizations- The following are planned safety mobilizations using the Click it or Ticket, You Drink You Drive You Lose or a combination campaign. The mobilizations run for two weeks in a cooperative effort with approximately 800 agencies including local and state police, Secretary of States Office and the Illinois Department of Transportation.

June 04' - Click it or Ticket and You Drink You Drive You Lose

September 04' - You Drink You Drive You Lose

November 04' - Click it or Ticket

December 04' - You Drink You Drive You Lose

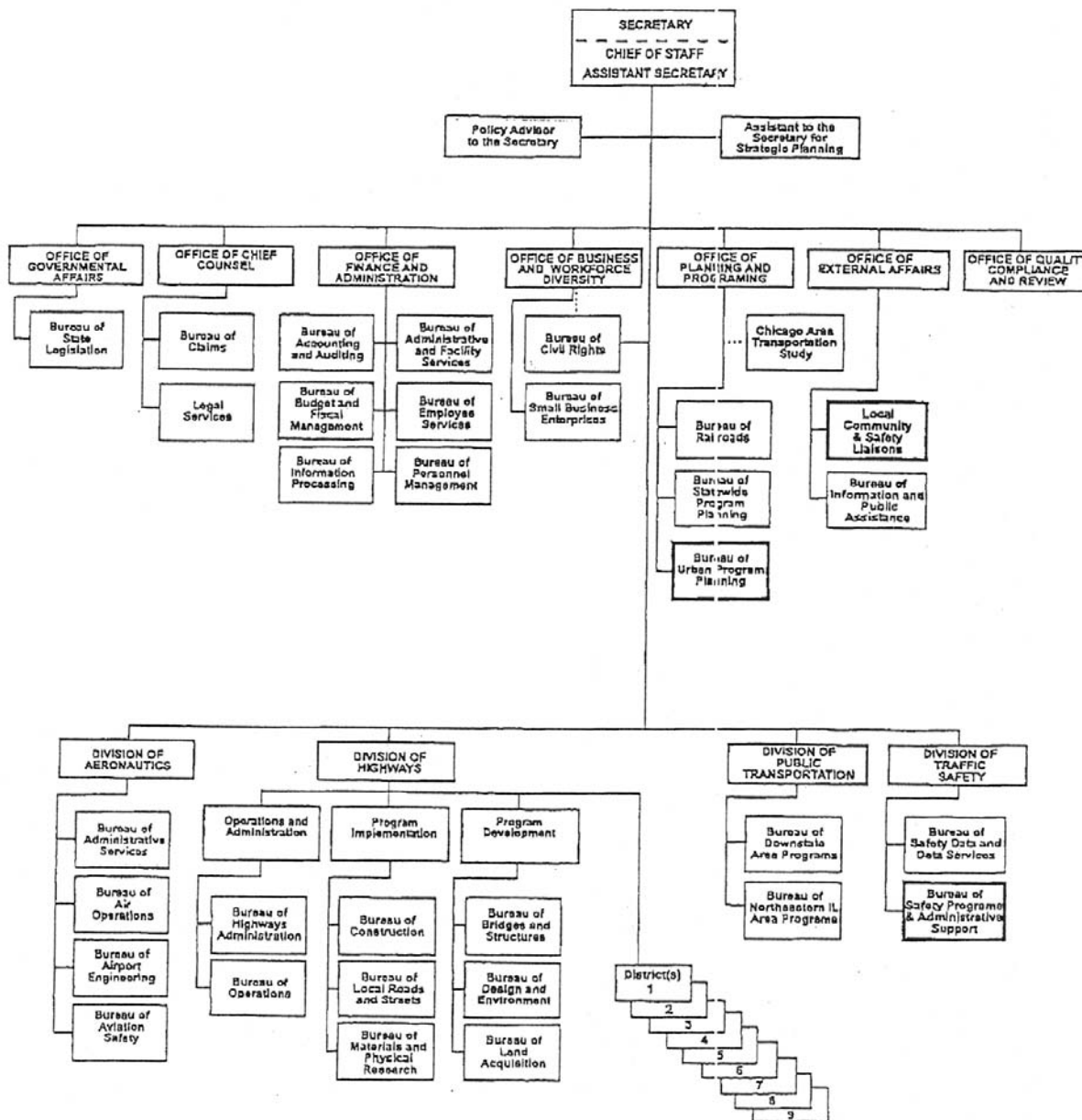
May 05' - Click it or Ticket

••additional safety mobilizations to be announced

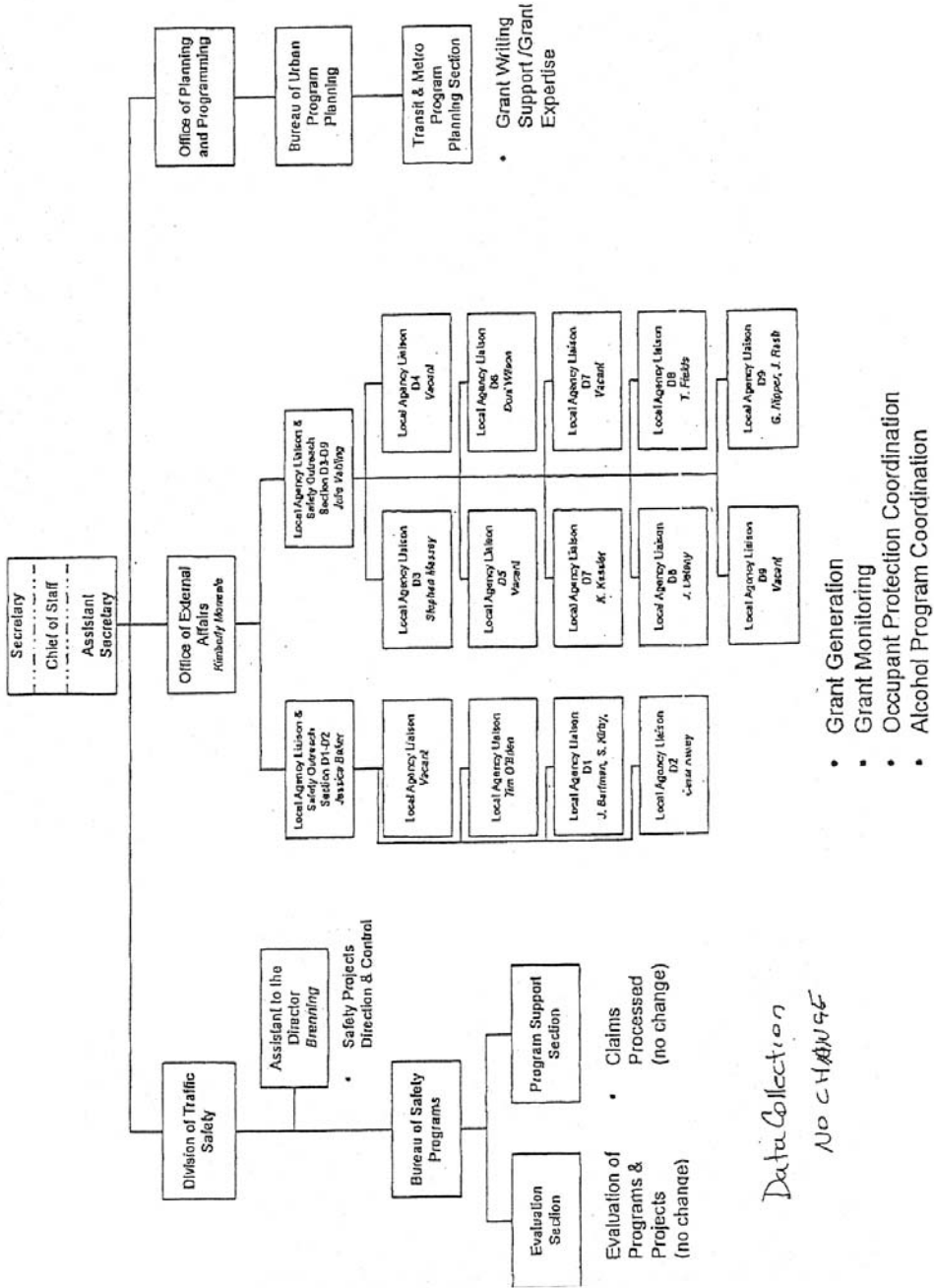




Illinois Department of Transportation



Draft 004



Data Collection
No CHANGE

- Grant Generation
- Grant Monitoring
- Occupant Protection Coordination
- Alcohol Program Coordination

**Illinois Department of Transportation
GRANT PROGRAM**

Total Statewide Grants (Local and State):	264
Total Dollar Amount:	\$13,295,262.00
# of Grants Under Federal Fiscal Year:	232
# of Grants Under State Fiscal Year:	22

District	County	Name of Grantee	Grant Amount	Current Balance	FY Federal / State	Objective	Project Number	Project Manager
1	Dupage	Addison Police Dept.	\$39,180.00	\$27,809.08	F	Mini Grant Hireback	OP4048	Larry Parr
1	Kane	Village of Algonquin PD	\$3,242.00	\$3,242.00	F	Mobilization Enforcement	OP4185	Larry Parr
1	Kane	Village of Algonquin PD	\$1,166.00	\$0.00	F	Roadside Safety Checkpoints	AL4116	Larry Parr
1	Kane	Village of Algonquin PD	\$34,662.00	\$23,375.07	F	Mini Grant Hireback	OP4053	Larry Parr
1	Cook	Arlington Heights PD	\$4,684.00	\$4,684.00	F	Mobilization Enforcement	OP4240	Gary Verdung
1	Cook	Barrington-Inverness PD	\$8,712.00	\$5,451.52	F	Enforcement Zones	OP4099	Gary Verdung
1	Dupage	Batavia Police Dept.	\$2,973.00	\$2,973.00	F	Mobilization Enforcement	OP4214	Karen Zaki
1	Will	Boscher Police Dept.	\$1,792.00	\$1,792.00	F	Mobilization Enforcement	OP4182	Larry Parr
1	Coles	Bellwood Police Dept.	\$6,798.00	\$6,798.00	F	Mobilization Enforcement	OP4205	Gary Verdung
1	Dupage	Bensenville Public Safety Police Division	\$2,482.00	\$2,482.00	F	Mobilization Enforcement	OP4209	Larry Parr
1	Cook	Blue Island Police Dept.	\$1,148.00	\$80.10	F	Roadside Safety Checkpoints	AL4152	Larry Parr
1	Cook	Blue Island Police Dept.	\$26,690.00	\$16,630.62	F	Mini Grant Hireback	OP4061	Larry Parr
1	Cook	Bromfield Police Dept.	\$2,760.00	\$2,760.00	F	Mobilization Enforcement	OP4267	Gary Verdung
1	Cook	Buffalo Grove Police Dept.	\$4,213.00	\$4,213.00	F	Occupant Protection Enforcement Zone	OP4221	Larry Parr
1	Cook	Buffalo Grove Police Dept.	\$91,065.00	\$28,278.60	F	Traffic Law Enforcement Projects	OP4004	Larry Parr
1	Cook	Burnham Police Dept.	\$5,712.00	\$5,712.00	F	Mobilization Enforcement	OP4231	Gary Verdung
1	Dupage	Burr Ridge Police Dept.	\$7,190.00	\$5,766.63	F	Enforcement Zones	OP4107	Larry Parr
1	Cook	Calumet City Police Dept.	\$34,082.00	\$14,920.39	F	Mini Grant Hireback	OP4037	Gary Verdung
1	Dupage	Carol Stream Police Dept.	\$6,778.00	\$4,778.00	F	Enforcement Zones	OP4183	Larry Parr
1	Kane	Carpentersville Police Dept.	\$5,184.00	\$5,184.00	F	Mobilization Enforcement	OP4222	Larry Parr
1	Will	Channahon Police Dept.	\$1,077.00	\$1,077.00	F	Roadside Safety Checkpoints	AL4100	Larry Parr
1	Cook	City of Chicago Department of Police	\$292,114.00	\$115,164.00	F	Injury Prevention Program	OP4008	Gary Verdung
1	Cook	City of Chicago Department of Police	\$447,040.00	\$272,728.83	F	Traffic Law Enforcement Projects	OP4005	Gary Verdung
1	Cook	City of Chicago Department of Police	\$330,902.00	\$125,289.90	F	Roadside Safety Checkpoints	AL4009	Gary Verdung
1	Cook	Chicago Dept. of Transportation	\$322,887.00	\$144,049.00	F	Chicago Bicycle Program	PS4006	Gary Verdung
1	Cook	Chicago Heights Police Dept.	\$121,519.00	\$91,197.44	F	Local DUI Enforcement Liaisons	AL4074	Karen Zaki
1	Cook	Chicago Heights Police Dept.	\$85,510.00	\$85,510.00	F	Local Alcohol Projects	AL4010	Karen Zaki
1	Cook	Chicago Police Dept.	\$40,455.00	\$26,712.93	F	Mini Grant Hireback	OP4039	Gary Verdung

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1	Cook	Cook County Sheriff's Police Department	\$24,480.00	\$24,480.00	F	Mobilization Enforcement	OP4217	Gary Verdung
1	Will	Crest Hill Police Dept.	\$1,140.00	\$551.31	F	Roadside Safety Checkpoints	AL4101	Larry Parr
1	McHenry	Crystal Lake Police Dept.	\$921.00	\$0.00	F	Roadside Safety Checkpoints	AL4117	Larry Parr
1	DuPage	Darien Police Dept.	\$5,040.00	\$5,040.00	F	Mobilization Enforcement	OP4258	Larry Parr
1	Lake	Deerfield Police Dept.	\$6,240.00	\$6,240.00	F	Mobilization Enforcement	OP4203	Larry Parr
1	Cook	East Hazel Crest Police Dept.	\$14,613.00	\$8,384.24	F	Mobilization Enforcement	AL4041	Gary Verdung
1	Cook	Egin Police Dept.	\$7,184.00	\$4,177.71	F	Enforcement Zones	OP4156	Larry Parr
1	Cook	Egin Police Dept.	\$1,352.00	\$1,352.00	F	Roadside Safety Checkpoints	AL4113	Larry Parr
1	Cook	Egin Police Dept.	\$81,002.00	\$28,199.90	F	Local Alcohol Projects	AL4011	Larry Parr
1	DuPage	City of Elmhurst Police Dept.	\$27,669.00	\$17,818.11	F	Mini Alcohol Program	AL4049	Gary Verdung
1	Lake	Fox Lake Police Dept.	\$1,163.00	\$123.58	F	Roadside Safety Checkpoints	AL4112	Larry Parr
1	Cook	Frankfort Police Dept.	\$1,050.00	\$1,050.00	F	Roadside Safety Checkpoints	AL4102	Larry Parr
1	Lake	Grayslake Police Dept.	\$1,035.00	\$0.00	F	Roadside Safety Checkpoints	AL4118	Larry Parr
1	Lake	Gurnee Police Dept.	\$3,612.00	\$7,027.27	F	Enforcement Zones	OP4163	Larry Parr
1	Cook	Harvey Police Dept.	\$5,040.00	\$5,040.00	F	Mobilization Enforcement	OP4228	Gary Verdung
1	Cook	Hoffman Estates Police Dept.	\$108,057.00	\$81,783.00	F	Traffic Law Enforcement Projects	OP4065	Gary Verdung
1	Cook	Homewood Police Dept.	\$7,488.00	\$7,488.00	F	Mobilization Enforcement	OP4245	Gary Verdung
1	DuPage	Itasca Police Dept.	\$1,334.00	\$0.00	F	Mobilization Enforcement	AL4114	Larry Parr
1	McHenry	Johnsburg Police Dept.	\$2,560.00	\$2,560.00	F	Roadside Safety Checkpoints	OP4265	Larry Parr
1	Will	Joliet Police Dept.	\$6,962.00	\$8,962.00	F	Occupant Protection Enforcement Zone	OP4184	Larry Parr
1	Will	Joliet Police Dept.	\$1,403.00	\$63.53	F	Mobilization Enforcement	AL4104	Larry Parr
1	Lake	Lake County Sheriff's Office	\$186,625.00	\$171,732.77	F	Roadside Safety Checkpoints	OP4003	Larry Parr
1	Lake	Lake Bluff Police Dept.	\$1,789.00	\$1,789.00	F	Traffic Law Enforcement Projects	OP4224	Larry Parr
1	McHenry	Lake in the Hills Police Dept.	\$27,581.00	\$18,528.54	F	Mobilization Enforcement	OP4054	Larry Parr
1	Lake	Lake Zurich Police Dept.	\$10,159.00	\$2,660.25	F	Mini Grant Hireback	OP4150	Larry Parr
1	Cook	Lansing Police Dept.	\$8,736.00	\$8,736.00	F	Enforcement Zones	OP4197	Karen Zaki
1	Cook	Lemont Police Dept.	\$6,493.00	\$6,493.00	F	Mobilization Enforcement	OP4223	Larry Parr
1	Cook	Lemont Police Dept.	\$1,350.00	\$305.50	F	Roadside Safety Checkpoints	AL4157	Larry Parr
1	Lake	Lincolnshire Police Dept.	\$8,064.00	\$8,064.00	F	Mobilization Enforcement	OP4249	Larry Parr
1	Cook	Lincolnwood Police Dept.	\$7,834.00	\$1,758.31	F	405 Match Task	OP4098	Larry Parr
1	Will	Lockport Police Dept.	\$1,172.00	\$124.97	F	Roadside Safety Checkpoints	AL4103	Larry Parr
1	DuPage	Lombard Police Dept.	\$220,692.00	\$121,730.47	F	Traffic Law Enforcement Projects	OP4015	Gary Verdung
1	Cook	Village of Maywood Police Dept.	\$32,281.00	\$12,520.84	F	Mini Grant Hireback	OP4042	Gary Verdung
1	McHenry	McHenry County Sheriff's Dept.	\$154,332.00	\$150,344.35	F	Local Alcohol Projects	AL4033	Larry Parr
1	Lake	Mundelein Police Dept.	\$3,109.00	\$3,109.00	F	Mobilization Enforcement	OP4207	Larry Parr
1	DuPage	Naperville Police Dept.	\$27,262.00	\$19,178.40	F	Mini Alcohol Program	AL4050	Larry Parr
1	Will	New Lenox Police Dept.	\$1,982.00	\$1,982.00	F	Mobilization Enforcement	OP4210	Larry Parr
1	Cook	Riles Police Dept.	\$8,392.00	\$6,392.00	F	Mobilization Enforcement	OP4271	Gary Verdung
1	Kane	North Aurora Police Dept.	\$4,739.00	\$4,739.00	F	Mobilization Enforcement	OP4230	Larry Parr
1	Kane	North Aurora Police Dept.	\$1,132.00	\$0.00	F	Roadside Safety Checkpoints	AL4115	Larry Parr
1	Cook	Northbrook Police Dept.	\$4,464.00	\$177.60	F	Enforcement Zones	OP4146	Larry Parr

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1	Coles	Oak Park Police Dept.	\$9,235.00	\$9,235.00	F	Mobilization Enforcement	OP4204	Gary Verdung
1	Cook	Oak Lawn Police Dept.	\$38,118.00	\$32,253.73	F	Mini Grant Hikeback	OP4043	Gary Verdung
1	Cook	Village of Orland Park	\$8,910.00	\$8,916.00	F	Roadside Safety Checkpoints	AL4178	Karen Zaki
1	Cook	Palatine Police Dept.	\$7,728.00	\$7,728.00	F	Enforcement Zones	OP4110	Gary Verdung
1	Cook	Palos Heights Police Dept.	\$23,863.00	\$15,226.18	F	Mini Alcohol Program	AL4045	Gary Verdung
1	Cook	Park Ridge Police Dept.	\$7,624.00	\$3,267.52	F	Enforcement Zones	OP4151	Gary Verdung
1	Will	Plainfield Police Dept.	\$4,237.00	\$4,237.00	F	Mobilization Enforcement	OP4226	Karen Zaki
1	Cook	Rehabilitation Institute of Chicago	\$200,000.00	\$81,598.86	F	Injury Prevention Program	OP4007	Gary Verdung
1	Cook	Roselle Police Dept.	\$3,826.00	\$3,826.00	F	Mobilization Enforcement	OP4246	Larry Parr
1	Cook	Schaumburg Police Dept.	\$9,334.00	\$9,321.88	F	Enforcement Zones	OP4108	Gary Verdung
1	Will	Shorewood Police Dept.	\$5,065.00	\$5,065.00	F	Mobilization Enforcement	OP4227	Karen Zaki
1	Cook	Skokie Police Dept.	\$42,512.00	\$27,562.78	F	Mini Grant Hikeback	OP4046	Larry Parr
1	Dupage	Villa Park Police Dept.	\$5,000.00	\$5,000.00	F	0911	RS4180	Larry Parr
1	Dupage	Villa Park Police Dept.	\$5,376.00	\$5,376.00	F	Enforcement Zones	OP4188	Larry Parr
1	Lake	Waukegan Police Dept.	\$161,473.00	\$59,440.23	F	Local Alcohol Projects	AL4031	Larry Parr
1	Dupage	West Chicago Police Dept.	\$31,163.00	\$22,125.10	F	Mini Grant Hikeback	OP4051	Larry Parr
1	Dupage	City of Wheelon Police Dept.	\$5,510.00	\$5,510.00	F	Mobilization Enforcement	OP4251	Karen Zaki
1	Cook	Wheeling Police Dept.	\$5,382.00	\$5,382.00	F	Mobilization Enforcement	OP4189	Karen Zaki
1	Cook	Wheeling Police Dept.	\$118,987.00	\$71,235.90	F	Traffic Law Enforcement Projects	OP4014	Karen Zaki
1	Will	Will County Sheriff's Dept.	\$15,113.00	\$15,113.00	F	Mini Alcohol Program	AL4181	Larry Parr
1	Williamson	Williamson County Sheriff's Dept.	\$24,416.00	\$19,162.83	F	Mini Alcohol Program	AL4022	Loi Coonen
1	Dupage	Village of Willowbrook	\$5,758.00	\$5,758.00	F	Mobilization Enforcement	OP4202	Karen Zaki
1	Dupage	Wood Dale Police Dept.	\$19,299.00	\$11,173.88	F	Mini Alcohol Program	AL4052	Larry Parr
1	Dupage	Wood Dale Police Dept.	\$1,364.00	\$0.00	F	Roadside Safety Checkpoints	AL4120	Larry Parr
1	Dupage	Woodridge Police Dept.	\$35,752.00	\$27,845.54	F	Mini Grant Hikeback	OP4017	Larry Parr
1	Dupage	Woodridge Police Dept.	\$12,853.00	\$12,255.00	F	Traffic Law Enforcement Projects	OP4016	Larry Parr
1	Cook	Children's Memorial Hospital	\$89,424.00	\$70,940.00	F	Injury Prevention Program	OP4038	Gary Verdung
1	Dupage	Glendale Heights Police Dept.	\$4,649.00	\$4,649.00	F	Mobilization Enforcement	OP4196	Karen Zaki
1	Cook	Hickory Hills Police Dept.	\$1,648.00	\$1,648.00	F	Mobilization Enforcement	OP4280	Karen Zaki
1	Kane	Iruntley Police Dept.	\$4,344.00	\$4,344.00	F	Mobilization Enforcement	OP4229	Larry Parr
1	Dupage	Rush-Copley Medical Center	\$123,735.00	\$67,126.33	F	Child Passenger Resource Center	OP4032	Larry Parr
1	Kane	South Elgin Police Dept.	\$1,794.00	\$1,794.00	F	Mobilization Enforcement	OP4200	Larry Parr
1	Dupage	St. Charles Police Dept.	\$1,362.00	\$1,331.55	F	Roadside Safety Checkpoints	AL4119	Larry Parr
1	Dupage	St. Charles Police Dept.	\$7,625.00	\$2,965.84	F	Enforcement Zones	OP4109	Larry Parr
1	Cook	Auxiliary of Stroger Hospital of Cook County	\$96,047.00	\$92,005.97	F	Child Safety Seat Program	OP4177	Gary Verdung
1	Cook	Thornton Police Dept.	\$17,635.00	\$11,014.76	F	Mini Grant Hikeback	OP4047	Gary Verdung
1	Dupage	Wayne Police Dept.	\$2,484.00	\$2,484.00	F	Mobilization Enforcement	OP4216	Larry Parr
TOTAL			\$4,119,249.00	\$2,487,836.50				
2	Boone	City of Belvidera	\$34,242.00	\$34,242.00	F	Traffic Sign Upgrade	RS4080	Larry Parr
2	Winnebago	Cherry Valley Police Dept.	\$500.00	\$500.00	F	Roadside Safety Checkpoints	AL4144	Illieen Eitsole

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2	DeKalb	DeKalb Police Deptl.	\$3,612.00	\$825.17	F	Enforcement Zones	OP4121	Larry Parr
2	DeKalb	DeKalb Police Deptl.	\$3,612.00		F	Enforcement Zones		
2	DeKalb	DeKalb Police Deptl.	\$1,260.00	\$16.18	F	Roadside Safety Checkpoints	AL4111	Larry Parr
2	Rock Island	East Moline Police Deptl.	\$31,229.00	\$19,770.73	F	Mint Grant Hireback	OP4070	Jillean Eisele
2	Rock Island	East Moline Police Deptl.	\$6,562.00	\$6,562.00	F	Mobilization Enforcement	OP4213	Jillean Eisele
2	Whiteside	Fulton Police Deptl.	\$350.00	\$0.00	F	Roadside Safety Checkpoints	AL4136	Jillean Eisele
2	Winnabago	Loves Park Police Deptl.	\$5,860.00	\$5,860.00	F	Mobilization Enforcement	OP4211	Jillean Eisele
2	Winnabago	Loves Park Police Deptl.	\$500.00	\$51.93	F	Roadside Safety Checkpoints	AL4127	Jillean Eisele
2	Rock Island	Milan Police Deptl.	\$485.00	\$16.85	F	Roadside Safety Checkpoints	AL4106	Jillean Eisele
2	Rock Island	City of Moline Police Deptl.	\$17,466.00	\$11,433.18	F	Mint Alcohol Program	AL4066	Jillean Eisele
2	Rock Island	Moline Police Deptl.	\$6,720.00	\$6,720.00	F	Mobilization Enforcement	OP4212	Jillean Eisele
2	Rock Island	Moline Police Deptl.	\$1,020.00	\$0.00	F	Roadside Safety Checkpoints	AL4096	Jillean Eisele
2	Whiteside	Rock Falls Police Deptl.	\$17,496.00	\$12,273.24	F	Mint Grant Hireback	OP4078	Jillean Eisele
2	Whiteside	Rock Falls Police Deptl.	\$1,034.00	\$655.85	F	Roadside Safety Checkpoints	AL4129	Jillean Eisele
2	Rock Island	Rock Island County Sheriffs Deptl.	\$1,845.00	\$1,845.00	F	Mobilization Enforcement	OP4208	Jillean Eisele
2	Rock Island	Rock Island County Sheriffs Deptl.	\$2,400.00	\$184.81	F	Roadside Safety Checkpoints	AL4095	Jillean Eisele
2	Rock Island	Rock Island Police Deptl.	\$14,980.00	\$8,125.23	F	Mint Alcohol Program	AL4076	Jillean Eisele
2	Rock Island	Rock Island Police Deptl.	\$1,080.00	\$162.51	F	Roadside Safety Checkpoints	AL4097	Jillean Eisele
2	Winnabago	Rockford Police Deptl.	\$540.00	\$0.00	F	Roadside Safety Checkpoints	AL4128	Jillean Eisele
2	Winnabago	Rockton Police Deptl.	\$405.00	\$405.00	F	Roadside Safety Checkpoints	AL4131	Jillean Eisele
2	Winnabago	Rockton Police Deptl.	\$4,704.00	\$4,704.00	F	Roadside Safety Checkpoints	AL4086	Jillean Eisele
2	Rock Island	Slivis Police Deptl.	\$2,618.00	\$2,618.00	F	Mobilization Enforcement	OP4191	Jillean Eisele
2	Winnabago	South Beloit Police Deptl.	\$2,259.00	\$2,259.00	F	Mobilization Enforcement	OP4232	Jillean Eisele
2	Winnabago	South Beloit Police Deptl.	\$375.00	\$0.00	F	Roadside Safety Checkpoints	AL4145	Jillean Eisele
2	Whiteside	Sterling Police Deptl.	\$900.00	\$900.00	F	Roadside Safety Checkpoints	AL4130	Jillean Eisele
2	Whiteside	Sterling Police Deptl.	\$23,835.00	\$16,983.70	F	Roadside Safety Checkpoints	OP4069	Jillean Eisele
2	DeKalb	Sycamore Police Deptl.	\$1,789.00	\$879.75	F	Enforcement Zones	OP4164	Larry Parr
2	Winnabago	Winnabago County Sheriffs Office	\$23,541.00	\$16,027.21	F	Mint Grant Hireback	OP4077	Jillean Eisele
2	Winnabago	Winnabago County Sheriffs Office	\$1,890.00	\$0.00	F	Roadside Safety Checkpoints	AL4132	Jillean Eisele
TOTAL			\$215,159.00	\$164,031.44				
3	Cook	Board of Trustees University of Illinois	\$46,390.00	\$46,390.00	F	Child Safety Seat Program	OP4175	Gary Verduyn
3	Kankakee	Bourbonnais Police Deptl.	\$540.00	\$0.00	F	Roadside Safety Checkpoints	AL4088	Karen Zaki
3	Kankakee	Bradley Police Deptl.	\$17,059.00	\$11,686.71	F	Mint Alcohol Program	AL4059	Karen Zaki
3	Kankakee	Bradley Police Deptl.	\$2,474.00	\$2,474.00	F	Mobilization Enforcement	OP4186	Karen Zaki
3	Kankakee	Bradley Police Deptl.	\$862.00	\$869.49	F	Roadside Safety Checkpoints	AL4089	Karen Zaki
3	McLean	Chenoa Police Deptl.	\$160.00	\$80.00	F	Roadside Safety Checkpoints	AL4137	Karen Zaki
3	Kankakee	Grant Park Police Deptl.	\$540.00	\$0.00	F	Roadside Safety Checkpoints	AL4090	Karen Zaki
3	Kankakee	Kankakee City Police Deptl.	\$22,548.00	\$16,074.07	F	Mint Alcohol Program	AL4060	Karen Zaki

Illinois Department of Transportation
GRANT PROGRAM

3	Kankakee	Kankakee County Sheriff's Dept.	\$3,920.00	F	Mobilization Enforcement	OP4242	Karen Zaki
3	Kankakee	Kankakee County Sheriff's Dept.	\$930.00	F	Roadside Safety Checkpoints	AL4092	Karen Zaki
3	Kankakee	Kankakee Police Dept.	\$540.00	F	Roadside Safety Checkpoints	AL4091	Karen Zaki
3	McLean	Leroy Police Dept.	\$1,386.00	F	Mobilization Enforcement	OP4225	Karen Zaki
3	Kankakee	Manteno Police Dept.	\$420.00	F	Roadside Safety Checkpoints	AL4093	Karen Zaki
3	LaSalle	Marselles Police Dept.	\$2,656.00	F	Mobilization Enforcement	OP4188	Karen Zaki
3	McLean	McLean County Sheriff's Dept.	\$1,804.00	F	Roadside Safety Checkpoints	OP4241	Karen Zaki
3	LaSalle	Mendota Police Dept.	\$4,480.00	F	Mobilization Enforcement	AL4136	Karen Zaki
3	LaSalle	Mendota Police Dept.	\$3,236.00	F	Mobilization Enforcement	OP4187	Karen Zaki
3	McLean	Normal Police Dept.	\$876.00	F	Roadside Safety Checkpoints	AL4086	Karen Zaki
3	LaSalle	Ottawa Police Dept.	\$2,948.00	F	Mobilization Enforcement	OP4209	Karen Zaki
3	LaSalle	Peru Police Dept.	\$990.00	F	Roadside Safety Checkpoints	AL4085	Karen Zaki
3	LaSalle	Peru Police Dept.	\$1,911.00	F	Mobilization Enforcement	OP4215	Karen Zaki
3	LaSalle	Peru Police Dept.	\$1,020.00	F	Roadside Safety Checkpoints	AL4084	Karen Zaki
3	LaSalle	Utica Police Dept.	\$349.16	F	Roadside Safety Checkpoints	AL4087	Karen Zaki
			\$0.00	F			
			\$118,990.00				
			\$99,064.62				

4	Peoria	American Red Cross Central IL Chapter	\$83,612.00	F	Injury Prevention Program	OP4034	Karen Zaki
4	Peoria	Bartonville Police Dept.	\$2,856.00	F	Mobilization Enforcement	OP4263	Karen Zaki
4	Fullon	Canton Police Dept.	\$3,009.00	F	Enforcement Zones	OP4135	Sheri Brockman
4	Peoria	Children's Hospital of Illinois	\$63,960.00	F	Child Passenger Resource Center	OP4035	Karen Zaki
4	Tazewell	Creeve Coeur Police Dept.	\$9,571.00	F	Mini Alcohol Program	AL4057	Karen Zaki
4	Tazewell	Creeve Coeur Police Dept.	\$1,170.00	F	Mobilization Enforcement	OP4248	Karen Zaki
4	Tazewell	East Peoria Police Dept.	\$31,849.00	F	Mini Grant Hireback	OP4058	Karen Zaki
4	Tazewell	Peoria Police Dept.	\$960.00	F	Roadside Safety Checkpoints	AL4122	Karen Zaki
4	Peoria	Peoria County Sheriff's Dept.	\$1,110.00	F	Roadside Safety Checkpoints	AL4082	Karen Zaki
4	Peoria	Peoria Police Dept.	\$26,493.00	F	Mini Alcohol Program	AL4055	Karen Zaki
4	Peoria	Peoria Police Dept.	\$9,828.00	F	Mobilization Enforcement	OP4190	Karen Zaki
4	Peoria	Peoria Police Dept.	\$1,140.00	F	Roadside Safety Checkpoints	AL4083	Karen Zaki
4	Peoria	Peoria Police Dept.	\$100,015.00	F	Traffic Law Enforcement Projects	OP4036	Karen Zaki
4	Tazewell	Tazewell County Sheriff's Dept.	\$4,500.00	F	Mobilization Enforcement	OP4243	Karen Zaki
4	Tazewell	Tazewell County Sheriff's Dept.	\$900.00	F	Roadside Safety Checkpoints	AL4123	Karen Zaki
			\$340,363.00				
			\$210,104.35				

5	Colts	Board of Trustees of Eastern Illinois University	\$210,384.00	F	Child Passenger Resource Center	OP4052	Sheri Brockman
5	Colts	Board of Trustees of Eastern Illinois University	\$896,403.00	F	Law Enforcement Liaison Program	OP4079	Jillean Eisele
5	Colts	Board of Trustees of Eastern Illinois University	\$698,241.00	F	Local Alcohol Projects	AL4063	Sheri Brockman
5	Marton	Centralia Police Dept.	\$21,528.00	F	Mini Grant Hireback	OP4143	Lori Coonan

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Illinois Department of Transportation
GRANT PROGRAM

8	Madison	Allam Police Dept.	\$14,716.00	\$14,716.00	F	Mini Alcohol Program	AL4028	Loft Coonen
8	St. Clair	Belleville Police Dept.	\$32,516.00	\$22,860.47	F	Mini Grant Hireback	OP4027	Loft Coonen
8	St. Clair	Cahokia Police Dept.	\$1,818.00	\$38.65	F	Enforcement Zones	OP4170	Loft Coonen
8	St. Clair	Caseyville Police Dept.	\$11,318.00	\$5,607.08	F	Mini Alcohol Program	AL4028	Loft Coonen
8	St. Clair	Centerville Police Dept.	\$9,866.00	\$5,508.00	F	Mini Alcohol Program	AL4025	Loft Coonen
8	Madison	Colinsville Police Dept.	\$1,080.00	\$380.71	F	Roadside Safety Checkpoints	AL4160	Loft Coonen
8	St. Clair	Columbia Police Dept.	\$5.48.00	\$0.00	F	Enforcement Zones	OP4168	Loft Coonen
8	St. Clair	East St. Louis Police Dept.	\$4,872.00	\$4,872.00	F	Mobilization Enforcement	OP4198	Loft Coonen
8	Madison	Edwardsville Police Dept.	\$2,085.00	\$2,085.00	F	Mobilization Enforcement	OP4219	Loft Coonen
8	St. Clair	Fairmont City Police Dept.	\$2,604.00	\$2,604.00	F	Mobilization Enforcement	OP4218	Loft Coonen
8	Madison	Glen Carbon Police Dept.	\$896.00	\$0.00	F	Enforcement Zones	OP4169	Loft Coonen
8	St. Clair	Lebanon Police Dept.	\$9,218.00	\$6,935.53	F	Mini Alcohol Program	AL4002	Jillean Eisele
8	St. Clair	Lebanon Police Dept.	\$2,912.00	\$2,912.00	F	Mobilization Enforcement	OP4109	Jillean Eisele
8	Madison	Madison County Sheriff's Office	\$28,069.00	\$28,069.00	F	Mini Alcohol Program	AL4029	Loft Coonen
8	St. Clair	Millsard Police Dept.	\$1,712.00	\$1,712.00	F	Mobilization Enforcement	OP4184	Loft Coonen
8	St. Clair	New Athens Police Dept.	\$10,033.00	\$7,604.86	F	Mini Alcohol Program	AL4024	Loft Coonen
8	St. Clair	O'Fallon Police Dept.	\$18,930.00	\$18,930.00	F	Mini Alcohol Program	AL4023	Loft Coonen
8	Madison	Roxana Police Dept.	\$13,505.00	\$9,687.13	F	Mini Grant Hireback	OP4030	Loft Coonen
8	St. Clair	St. Clair County Sheriff's Dept.	\$165,408.00	\$79,817.74	F	Local Alcohol Projects	AL4071	Loft Coonen
8	St. Clair	St. Clair County Sheriff's Dept.	\$78,350.00	\$37,841.72	F	Local Dual Enforcement Liasons	AL4064	Loft Coonen
8	Clinton	Trenton Police Dept.	\$400.00	\$400.00	F	Enforcement Zones	OP4172	Loft Coonen
8	Manroe	Waterloo Police Dept.	\$1,182.00	\$57.02	F	Enforcement Zones	OP4171	Loft Coonen
TOTAL			\$412,208.00	\$251,638.91				

9	Jackson	Southern Illinois University	\$16,482.00	\$12,215.81	F	Mini Alcohol Program	AL4075	Loft Coonen
9	Jackson	Southern Illinois University Safety Center	\$117,958.00	\$86,790.77	F	Enforcement Zones	OP4021	Loft Coonen
TOTAL			\$134,440.00	\$99,006.58				

GRAND TOTALS \$9,884,592.00 \$5,806,906.49

Name of Grantee	Grant Amount	FY Federal or S	Objective
Dept. of Public Health	\$75,000.00	S	Safe Senior Driver Data Analysis and Data Linkage of Statewide Database
Dept. of Public Health	\$69,900.00	S	
Dept. of Public Health	\$36,000.00	S	Risk Watch Program

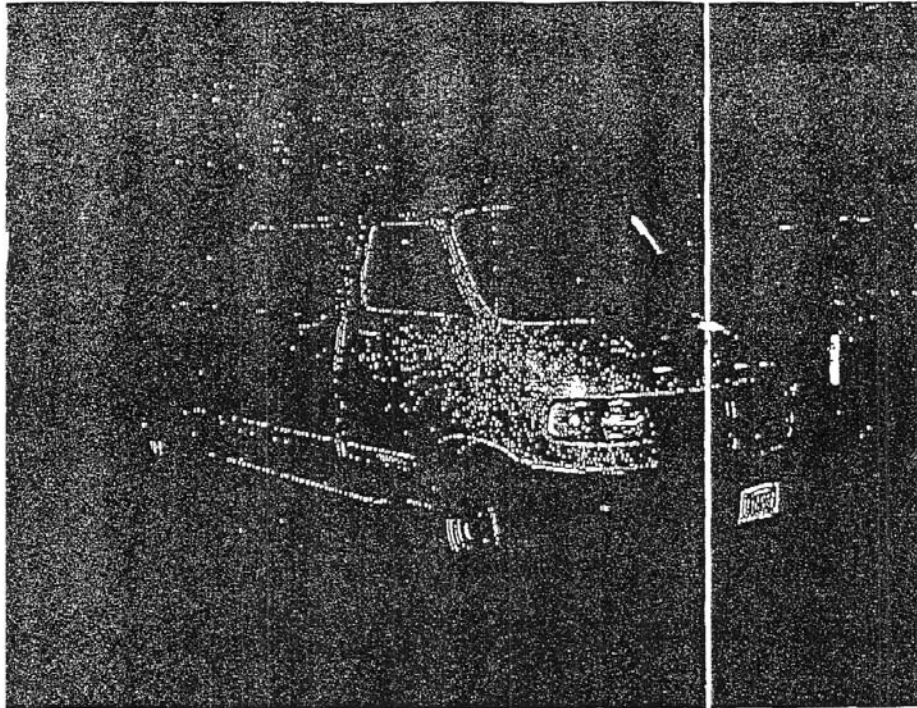
Illinois Department of Transportation
GRANT PROGRAM

	Dept. of Public Health	\$25,000.00		\$	West Central IL Child Passenger Safety Expansion Project	
	DOT - Division of Highways	\$80,000.00		\$	Professional Development	
	IL Law Enforcement Training and Standards Board	\$85,000.00		\$	Police Traffic Training	
	ILCC	\$175,000.00		\$	Under 21 Program	
	ILCC	\$100,000.00		\$	Basset Training	
	Illinois State Police	\$527,400.00		\$	Special Traffic Enforcement Programs	
	Illinois State Police	\$507,400.00		\$	DUI Enforcement	
	Illinois State Police	\$757,000.00		\$	Enforcement of Occupant Protection Laws	
	Office of the State Fire Marshal	\$125,000.00		\$	Alcohol Countermeasures Enforcement	
	Secretary of State	\$125,000.00		\$	Safe For Life	
	Secretary of State	\$51,700.00		\$	Anti-Drunk Driving Enforcement Program	
	Secretary of State	\$74,000.00		\$	Speeding Traffic/Accident Reduction	
	Secretary of State	\$102,500.00		\$	Imaging Enhancement	
	Secretary of State	\$112,000.00		\$	Direct Inquiry Internet	
	Secretary of State	\$68,800.00		\$	GDL Evaluation	
	Secretary of State	\$24,000.00		\$	Operation Straight I.D.	
	Secretary of State			\$	DUI/08 BAC Awareness	

GRAND TOTALS \$3,710,700.00

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Summer Safety Events

June Safety Outreach Events

- Kingery Fair - June 19
- Safety Seat Check - South Shore Chicago - CVS Pharmacy - Chicago June 19
- Health Festival - Swedish Covenant Hospital - Chicago June 27
- Illinois Lifesavers Conference - workshop on community outreach - June 28, 29
- Staff Training - You Drink, You Drive, You Lose-Click It or Ticket - June 21-23

July Safety Outreach Events

- Safety Mobilization July 3-4
- Fiesta del Sol July 29-Aug 1
- Walnut Street Festival - Waukegan July 31
- Staff Training - Child Passenger Safety Certification Class - July 27-30
- Safety Seat Check- Hispanic Neighborhood in partnership with DHS and ISP - Chicago

August Safety Outreach Events

- Senator DeValle's Health and Safety Fair - Mozart Park - Chicago August 5
- East St. Louis Urban League Health and Safety Fair - August 13
- Illinois State Fair - Springfield August 13-22
- Bud Billikin Back to School Parade - Chicago August 14
- DuQuoin State Fair - August 28-September 5
- Back to School Safety Events

September Safety Outreach Events

- National Urban League Doing the Right Thing Day - September 18
- Events scheduled at all 8 IL Urban League Affiliates
- Springfield Housing Authority is sponsoring safety seat inspection
- Back to School Safety Events

October Safety Outreach Events

- National Safety Week- Safety Mobilization TBA

November Safety Outreach Events

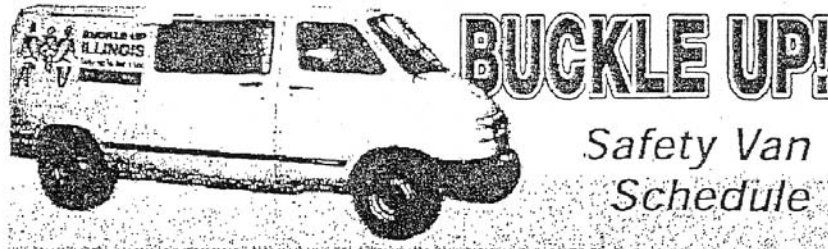
- Celebrate Safety Illinois- Click-it-or-Ticket/You Drink You Drive You Lose

December Safety Outreach Events

- Celebrate Safety Illinois- Click-it-or-Ticket/You Drink You Drive You Lose



Illinois Department
of Transportation



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APPENDIX E
AVAILABLE NHTSA FUNDS BY
PROGRAM AND YEAR

Appendix E
AVAILABLE NHTSA FUNDS BY PROGRAM AND YEAR
Includes New and Rollover Funds
(In Thousands)

		FFY03		FFY04		FFY05	
		Roll Over	New	Roll Over	New	Roll Over	New
Highway Safety Programs	State and Community Grants (402)	\$3,629.7	\$6,200.1	\$4,144.8	\$6,058.7	\$5,325.8	\$6,127.6
	Occupant Protection Incentive Grants (405(a))	\$969.4	\$1,463.4	\$1,642.7	\$1,444.6	\$2,544.4	\$1,385.0
	Safety Incentive Grants for Use of Seatbelts (157)	\$985.2	\$571.0	\$102.7	\$1,260.7	\$1,178.8	\$2,807.8
	Safety Innovative Grants for Increasing Seatbelt Use Rates (157)	\$1,532.0	\$1,110.4	\$2,406.3	\$0	\$463.6	\$700.0
	State Highway Safety Data Improvements (411)	\$706.9	\$0	\$582.5	\$0	\$77.0	\$0
	Child Passenger Protection Education Grants (2003(b))	\$391.5	\$300.7	\$334.1	\$0	\$287.7	\$0
	Total	\$8,214.7	\$9,645.6	\$9,213.1	\$8,764.0	\$9,877.3	\$11,020.4
	Highway Safety Total	\$17,860.3		\$17,977.1		\$20,897.7	
Alcohol Traffic Safety Programs	Alcohol-Impaired Driving Countermeasures (410)	\$2,594.1	\$1,846.8	\$3,102.9	\$1,755.9	\$3,054.5	\$1,756.8
	Transfer of Funds for Minimum Penalties for Repeat Offenders for DWI or DUI (164)	\$1,205.4	\$0	\$1,205.4	\$0	\$381.7	\$0
	Total	\$3,799.5	\$1,846.8	\$4,308.3	\$1,755.9	\$3,436.2	\$1,756.8
	Alcohol Traffic Safety Total	\$5,646.3		\$6,064.2		\$5,193.0	
Grand Total		<u>\$23,506.6</u>		<u>\$24,041.3</u>		<u>\$26,090.7</u>	

Source: IDOT-Division of Traffic Safety.

APPENDIX F
GRANTS TO STATE AGENCIES
(FFY04 AND FFY05)

Appendix F
GRANTS TO STATE AGENCIES
 In FFY04 and FFY05

Agency	Project Name	FFY04 Amount	FFY05 Amount
Illinois Department of Public Health	• Data Analysis	\$89,900	\$92,900
	• West Central CPS	\$0	\$18,600
Illinois Law Enforcement Training and Standards Board	• Police Traffic Training	\$85,000	\$125,000
	• Alcohol Police Traffic Training	\$150,000	\$223,900
Illinois State Police	• Special Traffic Enforcement Project	\$578,600	\$578,000
	• Driving Under the Influence Enforcement	\$528,800	\$1,169,500
	• Alcohol Countermeasures Enforcement	\$773,900	\$881,200
	• Occupant Restraint Enforcement Project	\$519,000	\$599,300
	• Breath Alcohol Training	\$0	\$63,600
Secretary of State –Driver Services	• Imaging Enhancement	\$74,000	\$73,500
	• .08/BAC Awareness	\$17,700	\$107,500
	• Kids in Safe Seats	\$0	\$36,000
	• Click It or Ticket	\$0	\$45,000
	• Direct Inquiry	\$102,500	\$0
Secretary of State –Department of Police	• Anti-Drunk Driving Enforcement Project	\$132,500	\$179,000
	• Speeding Traffic Accident Reduction	\$48,700	\$76,100
	• Operation Straight ID	\$68,400	\$82,000
Administrative Office of the Illinois Courts	• Judicial Training	\$32,000	\$32,000
Illinois Liquor Control Commission	• Project 21	\$93,200	\$138,000
	• Beverage Alcohol Sellers and Servers Education and Training	\$0	\$82,500
Totals		\$3,294,200	\$4,603,600
Source: Illinois Department of Transportation’s Division of Traffic Safety.			

APPENDIX G
CRASH SYSTEMS AUDIT
RECOMMENDATIONS AND STATUS

Appendix G
CRASH SYSTEMS AUDIT RECOMMENDATIONS AND STATUS
As of August 2005

Management and Organization

1. Move all IT applications under the Bureau of Information Processing (BIP).	Implemented.
2. Put all IT projects under the direct management of BIP.	Implemented.
3. Identify a qualified project manager.	Implemented.

Sharing System Functionality

4. BIP should develop shared functionality in the form of Web Services that can be used by CIS, by MCR, and by any other systems that require these specific functions.	Not Implemented.
5. Offer the shared functionality of the Web Service to the City of Chicago and other local law enforcement agencies that will not be using MCR.	Not Implemented.
6. Include the City of Chicago, at a minimum, in an advisory capacity for the design of Web Services to be shared by local agencies.	Partially Implemented. According to IDOT officials, they have met with City of Chicago officials to discuss Web Services.
7. Reevaluate the design of CIS Phase II – Analysis and Reporting to determine if all users needs have been met and if this can be developed as a shared Web Services function for both MCR and CIS.	Partially Implemented. IDOT completed development of CIS and it went into production in 2004. It is currently being assessed and evaluated to make modifications.

System Documentation

8. Move all CIS documentation back onto the IDOT network.	Implemented.
9. Develop and publish guidelines and standards for accepting electronic crash data into CIS and MCR and any other local systems.	Not Implemented.
10. Update CIS project schedules and deadlines based on current status and any changes in staffing available.	Implemented.

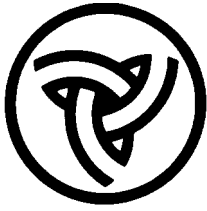
11. Contact other agencies and other jurisdictions for more detailed local GIS shape files to layer in to the statewide GIS localities.	Partially Implemented. According to IDOT officials, new software with more detailed files has been purchased but has not been installed.
12. Encourage the development of a statewide GIS strategic plan for sharing features maps among all users.	Implemented.
13. Set up a software help desk.	Partially Implemented. IDOT is tracking issues but a help desk has not been set up.
Project Team Personnel and Support	
14. Obtain the assistance of a technical writer or other documentation specialist for maintaining current system documentation and help files.	Partially Implemented. IDOT hired a business analyst to assist the MCR and CIS projects, however, a technical writer has not been hired.
15. Obtain the assistance of additional GIS analysts, as needed to support the recommendations for enhanced GIS map layers for local agencies and shared Web Services functionality for the GIS locator tool and mapping.	Implemented (contractual).
16. Obtain the assistance of additional developers for the CIS team and the related Web Services development activities to reflect the importance to IDOT of the completion of this strategic system.	Implemented (contractual).
17. Utilize the DTS regional Law Enforcement Liaisons (LELs) to implement and provide training for MCR and to encourage additional local agencies to begin using this software.	Not Implemented.
18. Utilize a project management specialist to update schedules for all work related to the crash systems and potential Web Services functionality to provide certain deadlines and goals for continuing implementation of CIS and updates of MCR.	Implemented.
Transitional Period	
19. Solicit federal grant funding for the continued development of CIS and for any new shared Web Services that can be shared by CIS and other systems.	Implemented.

20. Add additional functionality to CIS Phase I – Data Entry.	Implemented.
21. Develop an export of GAI data to CIS to obtain sufficient historical data for analysis.	Implemented.
22. Consider licensing MCR to ISP to allow them to expand the MCR system modules for citation, incidents, etc. as needed for law enforcement while upgrades to the MCR crash component and its shared functionality are being developed in IDOT.	Not Implemented.
23. Consider waiting until 2005 to locate crashes on off-system roadways, if needed to complete timely coding.	Implemented.
Source: August 2004 Data Nexus Audit, IDOT responses, and follow-up interviews.	

APPENDIX H

AGENCY RESPONSES

Note: This Appendix contains the complete written responses of the Department of Transportation. In this Appendix, the Department's responses appear on the left-hand pages. The right-hand pages contain Auditor Comments that respond to some of the issues raised by the Department.



Illinois Department of Transportation

Office of the Secretary
2300 South Dirksen Parkway / Springfield, Illinois / 62764
Telephone 217/782-5597

January 23, 2006

MEMORANDUM TO WILLIAM G. HOLLAND, AUDITOR GENERAL

SUBJECT: The Illinois Department of Transportation's Responses to the Management and Program Audit Report of the Department of Transportation's Traffic Safety Programs

The major impetus behind Legislative Audit Commission Resolution Number 129 was to determine whether the Illinois Department of Transportation's (IDOT's) reorganization of its Bureau of Safety Programs within the Division of Traffic Safety (DTS) was necessary and whether it impacted negatively on IDOT's Safety Programs.

This audit report serves as a positive affirmation of the need for the reorganization which was implemented within the Division of Traffic Safety less than five months prior to the commencement of your audit. Your auditors began their review in January 2005, and completed it in December 2005. Over the past 12 months, your auditors found many of the same concerns which our own managers knew needed to be addressed and which precipitated the need for a reorganization of DTS' Bureau of Safety Programs.

Though your audit took place prior to the reorganization plan's full fruition and while it was in its infancy, we are confident that our plan has already made a positive impact on our safety programs as evidenced by two years of reduced fatalities. As noted in the survey conducted by your own auditors, DTS' reorganization plan has resulted in a greater level of communication with the Department's grant recipients. Since the reorganization, only 22 percent of survey respondents reported not having had site visits from DTS personnel. Before the reorganization, the figure was double, 45 percent of survey respondents reporting not receiving site visits.

We agree in principle with all of the recommendations provided in your report. In fact, many of the protocols and systems which have been developed or are in development as a result of the reorganization of DTS' Bureau of Safety Programs have been addressed or will be addressed as noted in your recommendations.

Auditor Comments

#1

Comment 1: Our audit is not a “positive affirmation” of the need for the reorganization. As noted in the Report Conclusions, we found that the Department’s reorganization plans did not fully document the need or rationale for the reorganization or explain how the responsibilities of the laid-off employees would be carried out.

We would be remiss if we did not emphasize the fact that the National Highway Traffic Safety Administration (NHTSA), which provides federal funding for our traffic safety projects, has reviewed and evaluated the reorganization within DTS. As noted in your report, NHTSA has issued several commendations complementing the program on its results. These commendations were not given previously. We must also emphasize the fact that at no time during our reorganization has there ever been any threat of losing any federal traffic safety funds.

We recognize the challenges involved in the effective reorganization of IDOT. We welcome your input and recommendations as we move forward to continually improve our safety programs. Safety is the most critical priority at IDOT. Change is often difficult, but we are focusing these changes to meet the needs of our safety stakeholders.

Attached for your use are the Illinois Department of Transportation's responses to your office's Management and Program Audit Report on the Department of Transportation's Traffic Safety Programs.

If you have any questions regarding these responses, please contact me.



Timothy W. Martin
Secretary

Attachments

Auditor Comments

Illinois Department of Transportation's Responses to the Office of the Auditor General's Management and Program Audit Report on the Department of Transportation's Traffic Safety Programs

Recommendation Number 1:

The Department of Transportation should adequately plan any future reorganizations. Planning should include the rationale for the reorganization, cost savings estimates and an analysis of staffing needs.

Response:

The Illinois Department of Transportation (IDOT) agrees that reorganizations should be adequately planned including the rationale for the reorganization, cost savings estimates and an analysis of staffing needs.

IDOT chose not to hire a management consulting firm to review, develop and implement a reorganization. This process would take time and resources from the program. In addition, this would have significantly reduced any potential or actual savings. Because of time constraints due to the projected implementation date of July 1, 2004 for our Departmentwide material reorganization, resources were not expended documenting and memorializing all of the numerous meetings and discussions which took place during plan development. Instead, management concentrated their efforts on the development of the reorganization plan which provided proposed organization charts and position reassignments for plan implementation. The Department did, however, provide its reorganization plan for the Division of Traffic Safety's (DTS) Bureau of Safety Programs to the National Highway Traffic Safety Administration (NHTSA) for their consideration and ultimate approval and acceptance. With the acceptance of our reorganization plan by our federal funding authority, NHTSA, the Department did not entertain the need for expending additional time and resources for documentation of our approved plan.

The Department will welcome and consider any developed models and protocols for reorganization plan development that can be provided to us by the Office of the Auditor General (OAG) for our use during the development of future reorganization plans.

FY 2004 Reorganization of IDOT

A review of the reorganization plan affecting DTS' Bureau of Safety Programs would be myopic if it did not include an overview of the entire reorganization plan implemented within IDOT as well as consideration of the environment which precipitated a call to review the current processes and organizational structures within the Department.

With pending budget uncertainty, management has necessarily been forced to review and address the operational efficiency of the Department. Personnel reassignments were not the only areas of consideration to provide cost savings. With respect to some of the cost reduction measures implemented throughout the agency, the Department has

Auditor Comments

#2

Comment 2: The Department provided its reorganization plan to NHTSA only after NHTSA expressed concerns to IDOT. On May 26, 2004, NHTSA sent a letter to IDOT that stated it was their understanding that 77 percent of the Safety Projects Section staff were being terminated. On the same day, IDOT apologized to NHTSA for not notifying them in advance of the proposed changes.

In February 2005, and again in January 2006, a NHTSA official informed the OAG that NHTSA does not approve states' traffic safety reorganization plans, and it is each state's prerogative whether to reorganize. Consequently, NHTSA did not approve IDOT's reorganization plan. According to a NHTSA official, IDOT did not submit a final draft of the reorganization plan to NHTSA.

#3

Comment 3: Although the Department notes on the next page that it utilized an "outcome based reorganization model," our recommendation does not state that the Department should adopt a reorganization model or protocol. Rather, our recommendation states that the Department should adequately document its plan for any future reorganization including the rationale for the reorganization, cost savings estimates, and an analysis of staffing needs. It is the Department's responsibility, not the auditors', to plan, implement, and document future reorganizations.

had its procurement processes reviewed by an independent consulting firm, reduced the number of unnecessary vehicles in service, developed pilot programs to reduce commodity costs, and reduced the profit multiplier formula that engineering firms receive.

The Department's serious and proactive approach to addressing cost reductions and savings required that personnel reassignments and consolidations of job functions be taken into consideration. As such, the plan developed by the Department's Bureau of Personnel Management utilized an outcome based reorganization model. The plan was developed through discussions and meetings with managers, reviews of position descriptions, job duties and the present organizational structure of those divisions and offices where reassignments were viable options to affect cost savings without diminishing the current level of services provided.

The cost savings realized and positions realigned and consolidated through the reorganization of the affected divisions and offices are shown on Response Exhibit A. The Department overall should realize annual cost savings of approximately \$5 million as a result of its reorganization efforts implemented in the subject plan.

As shown on Response Exhibit A and Exhibit B, the reorganization and realignment of personnel within the DTS's Bureau of Safety Programs resulted in annual cost savings of almost \$2 million or over 40 percent of the annual \$5 million in cost savings due to the Department's reorganization. While DTS's Bureau of Safety Programs reorganization provided over 40 percent of the cost savings, it incurred only an 11.5 percent reduction in headcount. In comparison, the Office of Public Affairs incurred a 46.15 percent reduction in headcount. It would be remiss, as well, not to note that the Bureau of Personnel Management, who developed the reorganization plan, imposed upon itself a reduction in its own headcount.

The Department continues to re-evaluate its current organizational structure to determine if improvements and savings can be realized in other divisions and offices without adversely impacting services. As opportunities for additional cost savings are developed, additional efforts may be necessary to modernize the Department's organizational structure and processes.

Need for Reorganization of the DTS's Bureau of Safety Programs

Through management's meetings with DTS' Bureau of Safety Programs managers and grant recipients, it became apparent that Bureau of Safety Programs field personnel were not meeting the program's needs as noted in the Department's reorganization plan submitted to NHTSA.

In the reorganization plan submitted to and approved by NHTSA, seven issues were identified by the Department as requiring remediation. These are listed below.

- * Inadequate community involvement.
- * Lack of management and accountability.
- * Shortage of checks and balances.
- * Inability to achieve program goals and objectives in a timely and professional manner.

Auditor Comments

#4

Comment 4: In February 2005, and again in January 2006, a NHTSA official informed the OAG that NHTSA does not approve states' traffic safety reorganization plans, and it is each state's prerogative whether to reorganize. Consequently, NHTSA did not approve IDOT's reorganization plan. According to a NHTSA official, IDOT did not submit a final draft of the reorganization plan to NHTSA.

#5

Comment 5: On March 4, 2005, we requested all planning documentation relating to the reorganization. In response, IDOT did not provide any documentation to support its analysis or the identification of these seven areas.

- * Poor customer service.
- * Insufficient communication to senior management and to motorists regarding the importance of traffic safety.
- * Lack of innovation in utilizing technology and other tools to collect and track data.

The reorganization plan for DTS' Bureau of Safety Programs was an outcome-based model which included cost savings from position realignments and reassignments and increases in job duties and responsibilities for all of the traffic safety program managers. A major goal of the reorganization was also to include a greater accountability for project performance by DTS staff and the grant recipients.

Local area liaisons are now used to increase outreach and community involvement. Grant managers are now in the field meeting with recipients to increase visibility and provide assistance. Managers in the field are now required to meet regularly with their managers and provide reports on project performance. Additional resources have also been expended to increase the application of new technologies such as the Mobile Crash Reporting System. Prior to the reorganization, staff had not processed a number of contracts and invoices. Subsequent to the reorganization, DTS staff was assisted by staff from the Office of Planning and Programming to process invoices and contracts and the backlog was eliminated. DTS personnel continually search for proactive approaches to resolve issues that are presented.

Reorganization Planning Documents

There was no intent by IDOT to obstruct or delay the audit by not providing the OAG with copies of its draft reorganization plan in a more timely manner. It is noted on page 17 of the report that the OAG auditors requested documentation used to support the reorganization on March 4, 2005, and that "IDOT could not produce the information, including the draft plan, until May 13, 2005, after noting that they did not have a copy of it." Admittedly, during the reorganization of DTS, management misfiled a copy of the reorganization plan previously submitted to NHTSA, but this was in no way a means to delay, prolong or obstruct the performance of the audit, and we apologize for any inconvenience that this may have caused.

Cost Savings Analysis

We must respectfully disagree with the report's analysis of the cost savings provided by the reorganization of DTS' Bureau of Safety Programs. A cost savings analysis should take into account all of the savings brought about by the reorganization while making note of the subsequent and incremental costs which were a direct result of the reorganization. The cost savings analysis provided in the report does not limit itself to these parameters. For this reason, we believe this analysis is overly inclusive.

The Department's calculation of annual cost savings due to the reorganization of the Bureau of Safety Programs as provided to the auditors in May 2005 was \$1,987,436. This figure represents the elimination of 18 full-time positions from the Bureau of Safety Programs as a part of the department-wide material reorganization (see Response Exhibit B). This formal analysis was prepared subsequent to the implementation of the reorganization plan. With a department-wide reduction in headcount from this and other divisions/offices reorganizations as noted previously, there was an intuitive knowledge

Auditor Comments

#6

Comment 6: The Department's analysis failed to recognize any costs associated with existing, transferred or newly hired personnel used to undertake the responsibilities of the laid off employees. The auditor's analysis includes these costs. A cost savings analysis, which takes into account only savings and merely makes "note of the subsequent and incremental costs," is deceiving. The auditors' analysis is not overly inclusive, but rather, reflects the costs associated with carrying out DTS responsibilities after the reorganization.

#7

Comment 7: As the Department states, its analysis was prepared subsequent to the implementation of the reorganization plan. If one of the Department's primary goals of the reorganization was to reduce costs, one would assume that a cost savings analysis would have been conducted prior to the actual reorganization.

that the headcount reductions would result in cost savings for IDOT. Following NHTSA's acceptance of the DTS' reorganization plan for the Bureau of Safety Programs, additional costs savings analysis had not been performed. IDOT appropriately did not include existing IDOT employees from other divisions who were assigned safety program duties or staff hired in positions with separate and distinct responsibilities from those positions eliminated.

Conversely, the cost savings analysis in the Auditor General's report at Exhibit 2-4 includes all new hires by DTS in all programs and does not draw the important distinction that the majority of these hires were in separate and distinct areas with separate and distinct funds and funding sources, unrelated to the Bureau of Safety Programs. While the report is correct in as much as DTS did hire a number of the individuals shown on the report's Exhibit 2-4, few of these individuals are working on the same safety programs which had been managed under the auspices of the former Bureau of Safety Programs. The new positions filled by DTS have been, for the most part, for other areas of DTS that had been vacant for some time. These individuals were not hired to perform the work that was previously being performed by employees in place prior to the reorganization of the Bureau of Safety Programs. The report claims, for instance, that the filling of nine vacant Motor Carrier Safety Auditors and five Office Associates, who do not manage safety programs, should be counted against any real savings from the reorganization of the Bureau of Safety Programs. The inclusion of these positions is unrelated to the reorganization and makes the cost savings analysis in the report less than accurate.

The cost savings analysis in the report also shows as a cost of the reorganization of the Bureau of Safety Programs a number of contract positions which DTS filled. These positions had been funded, though vacant, for a number of years. They were not newly created positions which resulted from the reorganization of the Bureau of Safety Programs.

The cost savings analysis in the report includes, as a cost of the reorganization, an allocation of costs for IDOT employees from other offices and districts who have taken on additional administrative duties to assist on the former Bureau of Safety Programs projects. Subsequent to the reorganization, staff from other offices and districts were reassigned some of the administrative duties previously performed by Bureau of Safety Programs managers. These duties included such tasks as processing invoices and contract and grant paperwork. The time now being spent by these individuals on safety programs may now be costs that can be partly billable to NHTSA; whereas, in prior years, the cost of these employees was not billable and was a state expense. From this perspective, the reassignment of tasks to existing IDOT employees is an additional cost savings to IDOT, as opposed to an additional expense. It must be emphasized then that there was absolutely no incremental cost to IDOT for assigning some additional tasks to a few existing state employees and, in fact, IDOT may now be reimbursed for a portion of these salaries. Thus, the inclusion of these non-incremental costs, without putting it in proper perspective, makes the cost savings analysis in the report less than actual.

IDOT respectfully submits that, in addition, the cost savings analysis should not include the cost of speculative and unanticipated legal actions which may or may not be filed as a result of a management action of any sort, including a reorganization. IDOT, as is the case with any employer, will occasionally incur legal costs for lawsuits filed, regardless of the relative merits of the claim or the likelihood of the filing of a claim in the first

Auditor Comments

#8

Comment 8: In February 2005, and again in January 2006, a NHTSA official informed the OAG that NHTSA does not approve reorganization plans and it is each state's prerogative whether to reorganize. Existing, transferred, and new IDOT employees were assigned traffic safety program duties. Our analysis recognized these costs incurred by DTS since these employees were performing traffic safety duties.

#9

Comment 9: Exhibit 2-4 clearly delineates two cost components: the costs associated with fulfilling the duties of the laid-off employees, and the costs for programmatic expansion. However, since one of the Department's primary goals was to realize cost savings by reducing headcount, the costs incurred for programmatic expansion after the reorganization is relevant.

#10

Comment 10: To the contrary, not including costs associated with filled contractual positions is "less than accurate." The Department filled these contractual positions, which prior to the reorganization were vacant. When a vacant position is filled, there is an associated cost.

#11

Comment 11: Exhibit 2-4 shows the positions being utilized to assume traffic safety program responsibilities. Because of the layoffs that occurred, DTS utilized other IDOT resources. Furthermore, IDOT was not seeking reimbursement for these positions until after the audit began.

#12

Comment 12: These costs are not speculative; they have been incurred by the Department. IDOT reported that the legal fees associated with the lawsuit were \$57,282 as of June 30, 2005. Additionally, the lawsuit is ongoing and legal costs will likely increase. These legal fees are not included in the costs shown in Exhibit 2-4. However, the fact that they were incurred is footnoted for disclosure to the reader.

instance. Said legal expenses represent a cost of doing business and are budgeted and accounted for annually through a separate IDOT department, the Office of the Chief Counsel.

It is worth noting further that said costs of the lawsuit in question cannot be specifically ascribed to or apportioned to DTS. The IDOT material reorganization affected 61 positions and resulted in 47 layoffs in nine separate IDOT divisions/offices. Seventeen of the forty-seven laid off employees from various respective divisions/offices filed the lawsuit. One of the litigants recently bid for and won a position as a newly created IDOT Motor Carrier Safety Auditor. In any event, as the litigation referred to was filed by 17 individuals from several different IDOT divisions/offices, the Auditor General's report should not attribute the whole of the legal costs only to the DTS reorganization. The inclusion of the cost litigation due to former employees seeking legal remedies in the courts when such generalized costs and risks are annually accounted for as a generalized cost of doing business, is inappropriate and suggests that management must be omnipotent in predicting each and every cost that may arise before implement proactive protocols to increase efficiencies and promote annual cost savings.

IDOT's calculation of savings included overhead cost savings realized from the reorganization. IDOT saved an additional 90.85 percent of direct overhead costs for every dollar of labor costs saved in fiscal year 2005 as a result of the reorganization. The auditors do not credit IDOT with saving any overhead costs as a result of the reorganization in the Bureau of Safety Programs while at the same time chastises IDOT in Recommendation Number 9 for not billing NHTSA for 90.85 percent in overhead costs for every dollar of direct labor for fiscal year 2005. The cost savings analysis in the report also deducts the cost of the contract positions, which do include overhead costs, from IDOT salary savings where there was no credit for overhead savings allowed. In our efforts to remedy these inconsistencies, Department personnel questioned the auditors about their analysis during a January 11, 2005 exit conference. The auditors stated that they did not credit any overhead cost savings to the Department since the Department did not bill these overhead costs to NHTSA. The amount of overhead costs which the Department may or may not have billed to a federal agency has absolutely no relation to the annual overhead costs savings realized as part of the reorganization.

The Department's calculation of annual cost savings, we believe, is accurate and consistent with respect to the savings realized as a result of the reorganization of the Bureau of Safety Programs.

Annual Cost Savings from Reorganization	\$1,987,436 (See Exhibit B)
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Implementation Date of Corrective Action:

In process as needed. Future reorganizations will include a more structured and documented process, patterned after examples provided by OAG.

Auditor Comments

#13

Comment 13: These legal fees are not included in the costs shown in Exhibit 2-4. However, the fact that they were incurred is footnoted for disclosure to the reader.

#14

Comment 14: We did not include this multiplier in calculating either the savings or the costs of the reorganization. The 90.85 percent is a rate calculated by IDOT to bill the Federal Highway Administration for projects. This rate may or may not be applicable to NHTSA projects; this rate is not used by IDOT when seeking reimbursement from NHTSA or FMCSA for traffic safety activities. Therefore, the analysis in Exhibit 2-4 only analyzes the costs savings associated with actual salaries.

#15

Comment 15: The “Annual Cost Savings from Reorganization” figure the Department presents does not include any costs associated with the reorganization. Not including costs as part of a cost savings analysis is deceiving.

#16

Comment 16: Although the Department notes that they utilized an “outcome based reorganization model,” our recommendation does not state that the Department should adopt a reorganization model or protocol. Rather our recommendation states that the Department should adequately document its plan for any future reorganization, including the rationale for the reorganization, cost savings estimates, and an analysis of staffing needs. It is the Department’s responsibility, not the auditors’, to plan, implement, and document future reorganizations.

Recommendation Number 2:

The Department of Transportation should:

- *Clarify the lines of authority and responsibility in the organization and update the organizational charts and program descriptions; and*
- *Determine what qualifications and educational experiences are required for positions within the Division of Traffic Safety.*

Response:

The Department agrees with the recommendation. DTS is in the process of updating its organizational charts. Program descriptions are also being updated.

Implementation Date of Corrective Action:

In process as needed.

Auditor Comments

Recommendation Number 3:

The Department of Transportation should develop a policy and procedures manual for the Division of Traffic Safety. The manual should especially include areas such as project management and claims processing. IDOT should also provide training to LELs, LALs, and other staff regarding the policies and procedures that are developed.

Response:

The Department agrees with the recommendation. The DTS is currently updating the 1994 Policy & Procedures Manual. The NHTSA provided DTS with a copy of Texas Department of Transportation's (TDOT's) Policy and Procedures Manual to review. Upon review of the TDOT manual, DTS will develop a manual to include: an overview of DTS, funding, planning, preparing the grant proposal, grant review process, highway safety plan development, grant preparation, grant administration, grant monitoring, grant evaluation and grant closeouts.

DTS will send their Law Enforcement Liaisons (LELs) and Local Agency Liaisons (LALs) to NHTSA's Highway Safety Program Management course. This course provides the attendees an understanding of policies as they relate to national highway safety grant programs.

Implementation Date of Corrective Action:

Target completion date of Policy & Procedures Manual – April 1, 2006.

NHTSA's Highway Safety Program Management Course – Depends on availability of course. DTS will discuss with NHTSA's Great Lakes Regional office about conducting an Illinois-specific Highway Safety Program Management Course.

DTS plans to conduct quarterly meetings with the LELs and LALs to ensure compliance with the Policy & Procedures Manual.

Please refer to Exhibit C, page 1 Program Monitoring and the increased role of the LELs.

Auditor Comments

Recommendation Number 4:

The Department of Transportation should implement management controls to ensure the appropriate monitoring of projects is taking place and adequately documented.

Response:

The Department agrees with the recommendation. DTS has begun quarterly meetings with LELs and LALs to determine monitoring of projects. DTS has also formed an internal committee to review such actions. The committee is headed by the Bureau Chief of Safety Programs and Administrative Services. Management personnel will randomly spot check grant files to determine that proper documentation is included in the project file for all highway safety grants; these checks will also be tracked and included in the file.

Implementation Date of Corrective Action:

This action implemented. January 2006.

Please refer to Exhibit C, Page 1, Program Monitoring.

Auditor Comments

Recommendation Number 5:

The Department of Transportation should:

- *Not reimburse grantees until all required documentation has been received and reviewed for compliance with requirements;*
- *Establish controls to monitor reimbursement claims to ensure that claims in excess of the amount in the project agreement are not paid; and*
- *Require all grantee reimbursement claims to be submitted to a central location where claims are date stamped and tracked.*

Response:

The Department agrees with the recommendation. DTS will not reimburse grantees until all required documentation has been received and reviewed. Regarding the establishment of controls to monitor reimbursement claims, all LELs and LALs have received training on how to review a claim for reimbursement and what steps to take when a claim is unacceptable. Also in DTS's grant tracking system, a claim cannot be paid if the amount of the claim exceeds the amount in the project agreement.

Currently all grantee reimbursement claims are de-centralized. The reason for this action is because the LELs and LALs do not work in the DTS Annex in Springfield. DTS feels that all grantee reimbursement claims must be reviewed by the project manager first before being sent to the DTS's central office for the processing.

Implementation Date of Corrective Action:

DTS is currently awaiting approval from Central Management Systems (CMS) for final approval to implement an Electronic Grants System. This system will more efficiently track DTS's programs, financial reporting and monitoring activities. It is anticipated the Electronic Grant System will be implemented in FY 2007.

All future claims for reimbursement will be date stamped by the LELs/LALs and when received in the central office of DTS.

Auditor Comments

Recommendation Number 6:

The Department of Transportation should establish and adopt written policies, procedures, and criteria to ensure grant applications are reviewed in a consistent manner. In addition, decision documents used for acceptance or denial should be maintained to substantiate the committee's decisions.

Response:

The Department agrees with the recommendation. DTS will develop written policies, procedures and criteria regarding grant applications. DTS has formed an internal committee to set such guidelines for these grant applications. DTS will develop uniform acceptance and denial forms for each applicant agency that submits a project request. All project requests that are denied will receive a letter from DTS explaining the reason(s) why the request was denied.

There was a previous grant review and approval process; it has evolved into a more structured format. IDOT felt that it was necessary to first focus on developing accountability measures that were never in place. Now our priority will be to make the grant process more open to dialogue and feedback within a structured process.

Implementation Date of Corrective Action:

DTS formed an internal committee chaired by the Bureau Chief of Safety Programs and Administrative Services. The first meeting was held on January 5, 2006. The committee will meet bi-monthly to develop specific guidelines for grant applications and grant review. This will be an on-going process.

Auditor Comments

Recommendation Number 7:

The Department of Transportation should more adequately plan traffic safety projects in advance in order to allow grantees more time to coordinate personnel and resources for enforcement campaigns.

Response:

The Department agrees with the recommendation. With the nearly two years of continuing resolution from the Congress in Washington, IDOT was only allowed to roll out limited funds. Now that a federal transportation bill has been passed, DTS will know the level of funding they will receive each year and can more adequately plan the year's enforcement activities. Planning of all future enforcement campaigns will be scheduled to allow adequate response time for local and state agency grantees.

Implementation Date of Corrective Action:

DTS will develop project specifications for an enforcement project that can be used for all enforcement mobilizations beginning in FY 2006 and continuing in FY 2007.

DTS LELs have met with all current FY 2006 local law enforcement grantees to discuss upcoming mobilizations for the year. NHTSA's Great Lakes Region office has instructed all of the states in their region to plan enforcement during additional emphasis times. These special emphasis times are: Super Bowl (January 29 – February 5, 2006), Child Passenger Safety Week (February 13 – 19, 2006), St. Patrick's Day (March 12 -17, 2006), Cinco de Mayo (April 30 – May 5, 2006), July 4th and Summer Sports/Music Festivals (June 12 – July 31, 2006), Halloween (October 27 – 31, 2006), Thanksgiving Weekend Travel (November 13 -26, 2006) and Holiday Season (December 10 -31, 2006).

Please refer to Exhibit C, Pages 9-13, Enforcement Campaigns.

DTS hired, through a contract with the University of Illinois at Springfield, a Data Quality Analyst person. One of her responsibilities is to analyze our enforcement mobilization results and provide feedback to grantees in terms of effectiveness.

Auditor Comments

Recommendation Number 8:

The Department of Transportation should develop a liquidation plan and work with the National Highway Traffic Safety Administration to reduce the amount of unexpended funds.

Response:

The Department agrees with the recommendation. A liquidation plan was prepared and sent along with the 2006 Highway Safety Performance Plan to Donald McNamara, Regional Administrator, National Highway Traffic Safety Administration, Great Lakes region, Olympia Fields, Illinois, on November 1, 2005. It was labeled Attachment #3.

It is IDOT's goal to expend all federal funds to which we are entitled, and our FFY 06 Highway Safety Plan indicates that. We have programmed the entire amount of federal funds we expect to receive. Although a specific amount is programmed to each grantee, some grantees might not spend their entire grant amount, causing a surplus in that grant. Also, we can only spend an amount equal to our FY 06 state appropriation. We request as much state appropriation as we feel necessary in order to cover the federal reimbursement; however, we are limited by the Governor's Office of Management and Budget as to the amount of increase we can request each year in our state budget.

Implementation Date of Corrective Action:

Sent to NHTSA on November 1, 2005.

Auditor Comments

#17

Comment 17: IDOT provided a liquidation plan to NHTSA in November 2005 only after NHTSA had requested it. The plan was provided in response to NHTSA's comments on the 2006 Highway Safety Plan in which NHTSA requested a liquidation plan from the Department for a third time. On two other occasions, NHTSA had previously requested that the Department provide them with a liquidation plan – in September 2004, and as part of a Management Review NHTSA conducted in April 2005.

Recommendation Number 9:

The Department of Transportation should maximize federal reimbursement by:

- *Seeking reimbursement for all eligible staff from NHTSA; and*
- *Capturing and billing for all allowable direct and indirect costs for eligible traffic safety personnel.*

Response:

The Department agrees in principle with the recommendation that federal reimbursement should be maximized.

DTS is aware that it has not been billing all allowable overhead and employee-related costs to NHTSA. DTS has worked to bill a portion of our eligible overhead costs to federal safety programs, but we have not billed all of these costs to the programs. Personnel overhead costs are already paid from funds dedicated to reimbursing these costs. There is a limited amount of traffic safety funding available. Instead of charging every dollar of overhead costs to the safety programs, the Department has opted to program to grantees as much of the traffic safety funds as possible for our life-saving safety programs.

It is IDOT's belief that the funds are better spent by agencies with performance measures within their grants.

Implementation Date of Corrective Action:

Increased billing effectiveness. July 1, 2005, payroll reimbursements were increased by ten employees. On February 1, 2006, DTS will increase payroll reimbursement by an additional 14 employees.

Auditor Comments

#18

Comment 18: The Department noted that, “There is a limited amount of traffic safety funding available.” However, the Department did not expend and has rolled over an average of \$12.76 million annually in NHTSA funds for the period FFY01–FFY05.

Recommendation Number 10:

IDOT should begin a program of assessing the effectiveness and efficiency of MCSAP programs. The Department of Transportation should also conduct a review of the Division of Traffic Safety to assess how efficiently traffic safety programs are being operated.

Response:

The Department agrees with the recommendation. Motor carrier safety efficiency and effectiveness are very complex and different from the NHTSA's safety program. A separate and comprehensive assessment is needed to identify main data and program-related issues and make recommendations based on the findings. We will contact the Office of Motor Carrier Safety Administration to request an independent assessment of the Motor Carrier Safety Assistance Program (MCSAP). Based on our experience with the assessment of other traffic safety-related programs (e.g., traffic records, occupant protection, alcohol and motorcycle programs), Illinois will benefit from a comprehensive assessment of MCSAP that will be used as a tool to develop a statewide MCSAP strategic plan.

In terms of the review of the DTS to assess how efficiently traffic safety programs are being operated, DTS has hired a Data Quality Analyst to conduct routine analyses on efficiency and effectiveness of traffic safety programs. The main areas of focus for this position are:

1. To review and analyze various types of data and information (transportation and safety-related data) reported to the organizations, prepare detailed reports on the quality of data (accuracy, completeness and timeliness) and develop an action plan on how to correct it.
2. To work closely with the local and state police agencies as well as other professionals in the organizations to resolve required data quality issues.
3. To provide various monthly status reports for those agencies that submitted required data to the organization.
4. Act as a liaison between the state/local agencies and other program and project managers and researchers in the organization.
5. To conduct various types of analysis using Microsoft Excel or Access software.
6. To prepare data for the project manager and other researchers to conduct several highway safety related studies.

Implementation Date of Corrective Action:

Date of MCSAP assessment will be determined sometime in February 2006.
Date of hiring Kimberly Craig was January 2, 2006.

Please refer to Exhibit C, Page 1 which provides a greater overview on how DTS has increased its efficiency of operations.

Auditor Comments

Recommendation Number 11:

The Department of Transportation should continue to take steps to improve the accuracy and timeliness of their crash data. IDOT should also take any steps necessary to be eligible for federal grants funds available to improve traffic safety data and information systems.

Response:

The Department agrees with this recommendation. For the last two years, data improvement has been one of the major priority areas at DTS. Although DTS has made substantial progress in improving timeliness and accuracy of the data, there are still many other areas, such as completeness and accessibility and integration of data that need major improvement.

Crash Information System (CIS) - Data stack replacement project is progressing.

Mobile Crash and Reporting (MCR) – Several issues have been resolved. The development team is continuing its investigation of the server application code and will supply estimates to upgrade the server code.

During the last five years, DTS has taken several steps to receive federal grants to improve traffic safety data. In addition to regular traffic records improvement grants, in 2004, the NHTSA awarded the IDOT \$281,000 to develop a Crash Outcome Data Evaluation System (CODES) program in Illinois. This project will be based on collaboration between IDOT and the Illinois Department of Public Health (IDPH).

DTS met the criteria for first-year federal funding by establishing an Illinois Traffic Records Coordinating Committee. To be eligible for the second-year funding of federal grants to improve traffic safety data and information systems, we are planning to conduct an assessment from April 30-May 5, 2006, of all traffic-related data.

DTS was also the recipient of a \$1.8M NHTSA discretionary grant for recent mobilizations. This has not occurred in the past.

In addition, IDOT adopted its first ever Comprehensive Highway Safety Plan in which DTS is a key partner. This plan was adopted in advance of the new federal mandate of SAFETEA-LU.

Implementation Date of Corrective Action:

Date of hiring CODES analyst will be February 2006.

Auditor Comments

ILLINOIS DEPARTMENT OF TRANSPORTATION
 FY 2005
 STAFF REORGANIZATION SAVINGS

Response Exhibit A

OFFICE/DIVISION	POSITION NUMBER	Salary Savings		Annual Salary Savings Plus Overhead @ 90.85%	Category	Headcount Prior To Reorganization	Reduction in Headcount	% Reduction in Headcount
		per Month	Annual					
PUBLIC AFFAIRS	PW414 23-20-000-00-02	\$5,100	\$61,200	\$116,800.20				
	PW414 23-20-100-00-01	\$4,712	\$56,544	\$107,914.22				
	PW413 23-20-100-00-02	\$4,790	\$57,480	\$109,700.58				
	PW412 23-20-100-00-01	\$3,326	\$39,912	\$76,172.05				
D1/PUBLIC INFO.	PW014 23-51-002-00-01	\$3,598	\$43,176	\$82,401.40				
	PW013 23-51-002-00-01	\$2,812	\$33,744	\$64,400.42		13	6	46.15%
Sub Total Savings				\$557,388.88	11.53%			
OBWD	PW413 23-45-101-10-01	\$4,601	\$55,212	\$105,372.10				
	PW413 23-45-101-20-01	\$3,646	\$43,752	\$83,500.69				
Sub Total Savings				\$188,872.79	3.91%	32	2	6.25%
OFA/EMP. SERV.	PW416 23-40-702-00-01	\$7,283	\$87,396	\$166,795.27				
	PW415 23-40-702-20-01	\$6,367	\$76,404	\$145,817.03				
Sub Total Savings				\$312,612.30	6.46%	30	2	6.67%
OFA/ADMIN. & FACILITY SERVICES	PW414 23-40-502-50-01	\$3,778	\$45,336	\$86,523.76				
	PW413 23-40-502-52-01	\$3,298	\$39,576	\$75,530.80				
	PW414 23-40-502-60-01	\$5,553	\$66,636	\$127,174.81				
	PW414 23-40-504-10-01	\$4,388	\$52,656	\$100,493.98				
Sub Total Savings				\$66,461.60		84	5	5.95%
TRAFFIC SAFETY	PW416 23-70-302-00-01	\$7,231	\$86,772	\$165,604.36				
	PW416 23-70-202-00-01	\$7,496	\$89,952	\$171,673.39				
	PW414 23-70-202-11-01	\$4,877	\$58,524	\$111,693.05				
	PW413 23-70-202-11-01	\$3,680	\$44,160	\$84,279.36				
	PW413 23-70-202-11-01	\$3,531	\$42,372	\$80,866.96				
	PW413 23-70-202-11-02	\$4,241	\$50,892	\$97,127.38				
	PW414 23-70-202-12-01	\$5,699	\$68,388	\$130,518.50				
	PW413 23-70-202-12-01	\$3,290	\$39,480	\$75,347.58				
	PW413 23-70-202-12-01	\$3,737	\$44,844	\$85,584.77				
	PW413 23-70-202-12-01	\$4,853	\$58,236	\$111,143.41				
	PW413 23-70-202-12-01	\$3,290	\$39,480	\$75,347.58				
	PW415 23-70-202-20-01	\$7,450	\$89,400	\$170,619.90				
	PW414 23-70-202-20-02	\$5,477	\$65,724	\$125,434.25				
	PW414 23-70-202-20-03	\$4,857	\$58,284	\$111,235.01				
	PW414 23-70-202-20-04	\$4,139	\$49,668	\$94,791.38				
	PW413 23-70-202-20-01	\$3,924	\$47,088	\$89,867.45				

#19

Comment 19: Exhibit A is unaudited and beyond the scope of the audit, and does not include or note any “subsequent and incremental costs” incurred by IDOT as a result of the reorganization. See Exhibit 2-4.

	PW413 23-70-202-20-04	\$4,550	\$54,600	\$104,204.10						
	PW414 23-70-204-20-02	\$4,458	\$53,496	\$102,097.12						
Sub Total Savings				\$1,987,435.56	41.10%	157	18			11.46%
	PW414 23-40-405-40-03	\$4,349	\$52,188	\$99,600.80						
	PW414 23-40-405-40-03	\$3,814	\$45,768	\$87,348.23						
Sub Total Savings				\$186,949.03	3.87%	54	2			3.70%
	PW082 23-10-304-31-01	\$2,715	\$32,580	\$62,178.93						
	PW082 23-10-304-31-01	\$2,769	\$33,228	\$63,415.64						
	PW414 23-10-202-00-01	\$4,961	\$59,532	\$113,616.82						
	PW415 23-10-402-30-01	\$5,546	\$66,552	\$127,014.49						
Sub Total Savings				\$366,225.88	7.57%	151	4			2.65%
	PW413 23-60-105-00-01	\$3,368	\$40,416	\$77,133.94						
	PW944 23-60-205-00-03	\$4,463	\$53,556	\$102,211.63						
	PW415 23-60-304-00-01	\$5,930	\$71,160	\$135,808.86						
	PW413 23-60-304-00-01	\$4,602	\$55,224	\$105,395.00						
	PW115 23-60-202-00-01	\$5,991	\$71,892	\$137,205.88						
Sub Total Savings				\$557,755.31	11.53%	81	5			6.17%
	PW413 23-50-103-10-01	\$3,290	\$39,480	\$75,347.58						
	PW412 23-50-103-10-01	\$2,895	\$34,740	\$66,301.29						
	PW412 23-50-103-20-01	\$3,524	\$42,288	\$80,706.65						
Sub Total Savings				\$222,355.52	4.60%	29	3			10.34%
Total Savings				\$4,835,780.20	100.00%	631	47			7.45%

Note: Overhead Rate Based on IDOT Audited
FY2005 Overhead Rate of 90.85%

#20

Comment 20: Exhibit A is unaudited and beyond the scope of the audit, and does not include or note any “subsequent and incremental costs” incurred by IDOT as a result of the reorganization. See Exhibit 2-4.

The overhead rate audit was conducted by IDOT for Federal Highway Administration projects. This rate is not used by IDOT when seeking reimbursement from NHTSA or FMCSA for traffic safety activities. Further, the overhead rate audit was not conducted by the OAG.

ILLINOIS DEPARTMENT OF TRANSPORTATION
 FY 2005

Response Exhibit B

ANNUAL TRAFFIC SAFETY BUREAU OF SAFETY PROGRAMS REORGANIZATION SAVINGS

OFFICE/DIVISION	POSITION NUMBER	Salary Savings per Month	Annual Annual	Annual Salary Savings Plus Overhead @ 90.85%	Headcount Prior To Reorganization	Reduction in Headcount	% Reduction in Headcount
TRAFFIC SAFETY	PW416 23-70-302-00-01	\$7,231	\$86,772	\$165,604.36			
	PW416 23-70-202-00-01	\$7,496	\$89,952	\$171,673.39			
	PW414 23-70-202-11-01	\$4,877	\$58,524	\$111,693.05			
	PW413 23-70-202-11-01	\$3,680	\$44,160	\$84,279.36			
	PW413 23-70-202-11-01	\$3,531	\$42,372	\$80,866.96			
	PW413 23-70-202-11-02	\$4,241	\$50,892	\$97,127.38			
	PW414 23-70-202-12-01	\$5,699	\$68,388	\$130,518.50			
	PW413 23-70-202-12-01	\$3,290	\$39,480	\$75,347.58			
	PW413 23-70-202-12-01	\$3,737	\$44,844	\$85,584.77			
	PW413 23-70-202-12-01	\$4,853	\$58,236	\$111,143.41			
	PW413 23-70-202-12-01	\$3,290	\$39,480	\$75,347.58			
	PW415 23-70-202-20-01	\$7,450	\$89,400	\$170,619.90			
	PW414 23-70-202-20-02	\$5,477	\$65,724	\$125,434.25			
	PW414 23-70-202-20-03	\$4,857	\$58,284	\$111,235.01			
	PW414 23-70-202-20-04	\$4,139	\$49,668	\$94,791.38			
	PW413 23-70-202-20-01	\$3,924	\$47,088	\$89,867.45			
	PW413 23-70-202-20-04	\$4,550	\$54,600	\$104,204.10			
	PW414 23-70-204-20-02	\$4,458	\$53,496	\$102,097.12	157	-18	-11.46%
Total Savings				\$1,987,435.56			

Note: Overhead Rate Based on IDOT Audited
 FY2005 Overhead Rate of 90.85%

Auditor Comments

#21

Comment 21: Exhibit B does not include or note any “subsequent and incremental costs” incurred by IDOT as a result of the reorganization.

The overhead rate audit was conducted by IDOT for Federal Highway Administration projects. This rate is not used by IDOT when seeking reimbursement from NHTSA or FMCSA for traffic safety activities. Further, the overhead rate audit was not conducted by the OAG.

Exhibit C
Division of Traffic Safety Accomplishments and Milestones
Subsequent to the Reorganization

Fiscal Year 2006 (FY 06) Highway Safety Plan (HSP)

The FY 06 HSP was submitted to the National Highway Traffic Safety Administration (NHTSA) by the September 1, 2005 deadline. The FY 06 HSP was developed by one-third less staff from the Division of Traffic Safety (DTS) than in previous years. This allowed more money to be spent on safety programs than on administrative expenses. This year's plan allocated more money to local projects and included a new emphasis on occupant protection in rural areas, an aggressive community outreach agenda and tougher enforcement efforts to curtail the rise in alcohol-related fatalities and crashes.

Program Monitoring

Many benefits have been realized for both the DTS and local grantees since the reorganization of DTS. Law Enforcement Liaisons (LELs) received information and training in grant management prior to and after the beginning of the fiscal year. By having LELs monitor and manage local law enforcement grants, IDOT/DTS has accomplished an unprecedented level of service and accountability to the local agencies. This level of attention has increased the efficiency, and operational oversight, and management of required reporting and reimbursement requests. Grantees now have an easily accessible grant manager who can be reached days, evenings and weekends, if necessary. Grantees further have the opportunity to have one-on-one contact with LELs at the Illinois Association of Chiefs of Police and Illinois Sheriffs' Association meetings, Southern Illinois Criminal Justice Summit and Lifesavers conferences. This new style of management between DTS and law enforcement grantees provides unprecedented one-on-one service. The close relationship developed through monthly site visits facilitates personal requests such as grantees attending public forums, conferences and press events. Grantees can now make requests for operational changes and get a quick response unencumbered by layers of bureaucracy. LELs have direct access to the Director of DTS and the Office of Planning and Programming (OPP). The plan to increase the number of LELs will enhance DTS capabilities to oversee and monitor grantees and increase efficiency in those geographic areas where the concentration of law enforcement agencies is highest.

Successes

- Unprecedented one-on-one service
- Accessibility to LELs
- Director with hands-on management style
- Accountability for actions
- Experienced law enforcement professionals on DTS staff which adds credibility
- Support and representation by law enforcement at press events
- Closer oversight controls on grant funds expended by grantees
- Successful Illinois Lifesavers Conference

Auditor Comments

#22

Comment 22: Exhibit C contains unsolicited and unaudited information provided by IDOT after the completion of the audit. Furthermore, the Exhibit contains assertions and conclusions that were not verified by the auditors during the course of the audit. Finally, some information presented in the Exhibit was outside the scope and time period of the audit.

Personalized service

- Factual feedback for future decision-making
- LELs hands-on participation in hireback events, roadside safety checks and safety belt enforcement zones
- Increase in LEL personnel

DTS Partnership Awards

In an attempt to recognize local efforts to promote traffic safety issues, DTS has developed a Traffic Safety Partnership Award. DTS plans on recognizing any local person, business or grassroots organization that promotes traffic safety issues. The first two awards were given out at Illinois Lifesavers 2005 to the Katie Cares Foundation and the Seat Belt Angels. DTS looks forward to continuing to partner with our traffic safety friends in the communities throughout the state of Illinois.

Child Passenger Safety (CPS) Summits

The DTS hosted a Child Passenger Safety (CPS) Summit to strengthen Illinois' response to the number one killer of children over the age of one – motor vehicle crashes. The next CPS Summit will focus on Medicaid reimbursement of child safety seats and related services. World-renowned researchers from the Children's Hospital of Philadelphia, Meharry Medical College and the University of Chicago Children's Hospital will present compelling evidence on the preventative efficacy and the cost-effectiveness of having Medicaid reimburse CPS services.

Upcoming CPS Summits will address:

- Instituting Illinois guidelines for transporting pre-school age children on school buses
- Mandating hospital discharge policies for all newborn babies as developed by the Joint Commission on Accreditation of Hospital Organizations
- Partnering with the DTS on 2006 statewide child safety seat checks
- Reducing mortality and morbidity associated with teen traffic crashes

Illinois Traffic Records Coordinating Committee (ITRCC)

One of the major recommendations of the January 2000 Illinois Traffic Records Assessment was to create and formalize a multi-disciplinary statewide traffic records coordinating committee. The purpose would be to forge partnerships, ensures that all constituents who have a stake in injury/crash reporting are represented and can provide effective access, integration and linking of all appropriate files.

The first ITRCC was held November 2004. The second meeting was held in March 2005 with another meeting scheduled for June 2006.

Auditor Comments

#23

Comment 23: Exhibit C contains unsolicited and unaudited information provided by IDOT after the completion of the audit. Furthermore, the Exhibit contains assertions and conclusions that were not verified by the auditors during the course of the audit. Finally, some information presented in the Exhibit was outside the scope and time period of the audit.

The Role of ITRCC

- Provide a forum for review and comment of traffic records issues within the state of Illinois.
- Review traffic-related data systems and vote on suggested changes to data systems before they are implemented.
- Review the ideas of organizations in the state that are involved in the administration, collection and use of highway safety data.
- Review and evaluate new technologies to keep the highway safety data systems up-to-date.
- Develop the strategic plan (e.g., CODES project).
- Authorize each agency to access selected data from other agencies' data files for the purpose of the data linkage project.

List of Member Agencies

- Illinois Department of Transportation (Division of Traffic Safety, Division of Highways, Office of Finance and Administration)
- Illinois Department of Public Health (hospitals, Emergency Medical Services (EMS), trauma registry, and vital records)
- Illinois State Police
- Illinois Secretary of State (Driver Services and Vehicle Services)
- National Highway Traffic Safety Administration (Great Lakes Region)
- Federal Highway Safety Administration
- Federal Motor Carrier Safety Administration
- University of Illinois at Urbana/Champaign (Department of Civil Engineering)
- University of Illinois at Springfield (Department of Information Systems)
- Illinois Administrative Court of Justice
- Illinois Sheriffs Association
- Illinois Association of Chiefs of Police
- Illinois County Engineer Association
- Chicago Department of Transportation

Crash Outcome Data Evaluation Systems (CODES) Grant at IDOT

The NHTSA recently awarded the IDOT \$281,000 to develop a CODES program in Illinois. This project will be based on collaboration between IDOT and the Illinois Department of Public Health (IDPH). Under this grant, IDOT will link existing traffic crash records with health care data sources from emergency medical services, trauma registry, hospital discharges and vital records (death certificates). The linked database will be used to support local, regional and statewide highway safety decision-making to effect decreases in deaths, non-fatal injuries (e.g., head, neck, upper extremity and lower extremity), and health care costs resulting from motor vehicle crashes. Individual databases are not always adequate for certain analyses (e.g., race and ethnicity, socioeconomic status). Two sources, law enforcement and public health, track victims separately. None of the health-related data are linked back to crash data.

Auditor Comments

#24

Comment 24: Exhibit C contains unsolicited and unaudited information provided by IDOT after the completion of the audit. Furthermore, the Exhibit contains assertions and conclusions that were not verified by the auditors during the course of the audit. Finally, some information presented in the Exhibit was outside the scope and time period of the audit.

Originally, CODES evolved from the Intermodal Surface Transportation Efficiency Act (ISTEA) 1991. ISTEA mandated that NHTSA prepare a report to Congress about the benefits of safety belt and helmet use. NHTSA sponsored the CODES projects and awarded grants to several states to link their databases. The linked database will have the following advantages:

- Collaboration of traffic safety and health care communities
- The linked data can be used by multiple users for different purposes
- The linked data process results in increased data quality
- Linking data encourages standardized and computerization of state data
- Linked data can be disaggregated to provide information to local communities
- Linkage enhances the value of each agencies' data file being linked by expanding the comprehensiveness of each agencies' data set
- Linkage provides access to more detailed medical information for highway and traffic safety evaluation and linkage provides more detailed safety information for injury control purposes
- The CODES system helps states by linking data so that it is available to them to identify specific crash, vehicle and behavior characteristics that lead to increased risk of injury severity and high health care costs in their states. Applications for this information then can be developed to support state-specific decision-making.

Reasons for Linking the Existing Databases

Currently, the crash database as well as a few small local databases, citation data, limited health care data and the exposure data (population and vehicle miles of travel) are used to identify traffic safety problems and evaluate the highway safety programs and projects. The Evaluation Unit within the DTS is responsible for problem identification, developing highway safety goals and objectives and evaluating highway safety programs and projects.

Unfortunately, the current databases that DTS uses to identify its highway safety problems and evaluate the existing highway safety goals and objectives are limited since the crash database does not contain the true outcome data, such as medical and financial items. Linking each person identified on the police crash report who is injured to one or more medical records will provide a rich new source on outcomes. The linked data allows for identification of specific types of injuries (head, neck, lower extremity, and upper extremity), severity of injury (required hospitalization), cost of injury (hospital charges), payment source (private, Medicare, Medicaid and uninsured) and medical system response (EMS, response time, transfer, hospitalized). Data available in hospital discharge abstracts and death certificate records includes International Classification of Disease 9 coding. This allows for more precise identification of the nature and severity of injury than the police are qualified to report accurately. The linked data will provide a comprehensive data base for conducting several types of studies that benefit the highway safety program in Illinois. In addition, the linked data will allow us to identify the main data issues and try to improve overall quality of traffic safety related databases. Based on the information and data provided by those states that have linked their databases, the linked database also will provide legislators additional information for traffic safety related issues, such as alcohol and safety belt and helmet use.

Auditor Comments

#25

Comment 25: Exhibit C contains unsolicited and unaudited information provided by IDOT after the completion of the audit. Furthermore, the Exhibit contains assertions and conclusions that were not verified by the auditors during the course of the audit. Finally, some information presented in the Exhibit was outside the scope and time period of the audit.

Public Hearings

DTS held 11 public hearings across the state on highway safety planning. The purpose of these meetings was to get input from local agencies and the public at large on traffic safety issues. The information gathered at these meetings was incorporated into the FY 2006 Highway Safety Plan which determines where federal highway safety dollars will be spent in Illinois. Feedback to DTS from local police agencies, grassroots organizations concerned with highway safety, families of victims who were killed on Illinois roadways, ABATE, MADD, AAIM and local dignitaries indicate these meetings were very successful. Approximately 250 people attended these hearings statewide, and DTS looks forward to holding these hearings again in 2006.

Development of Traffic Safety Resource Prosecutor Program (TSRP)

Over the past three years, there have been, on average, 50,000 DUI arrests in Illinois. Forty-five percent of these arrests lead to convictions and/or pleas to lesser offenses. The remaining 55 percent are either found not guilty or dismissed altogether. Many believe this is due to the lack of experienced prosecution. In many cases, county state's attorneys lack the necessary staff and experience to challenge seasoned defense attorneys.

Four of the six NHTSA Great Lakes Region states have successfully implemented a Traffic Safety Resource Prosecutor (TSRP) Program. These programs are lead by experienced DUI prosecutors who assist local county prosecutors with difficult DUI cases. The TSRP Program provides training and expertise to the prosecutors to better equip them in their fight to successfully prosecute offenders. The DTS is working with NHTSA to start its own TSRP and thus increase the number of DUI prosecutions in Illinois.

Work Zone Safety Public Relations Committee

The DTS staff participated on the work zone safety public relations committee that is dedicated to increasing awareness and promoting safe driving through the *Keep Us Alive Drive 45* campaign. The committee teamed up with the Laborers' International Union of North America to host Work Zone Safety rest area events where information was available to visitors reminding them to look for work zone signs and changeable message boards. Information was presented on the recent legislation that Governor Blagojevich signed to increase fines for speeding in work zones and the penalties for causing a fatality as a result of a crash in a work zone. This committee is directly responsible for preparing public service announcements in coordination with the Work Zone Safety campaigns, organizing staff and volunteers to work the events, giving away educational materials and coordinating the efforts of IDOT/ Division of Highways, Bureau of Operations, DTS, Illinois State Toll Highway Authority and Laborers' Union.

Auditor Comments

#26

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Illinois Lifesavers 2005

The DTS and Illinois Traffic Safety Leaders hosted the 2005 Illinois Lifesavers Conference May 9-11, 2005, at the Crowne Plaza Hotel in Springfield, Illinois. More than 300 law enforcement officers, traffic safety advocates and professionals throughout the state of Illinois, as well as the NHTSA Great Lakes Region, participated in the Illinois statewide traffic safety conference. Information was presented on adult occupant protection, child passenger safety, impaired driving, criminal justice, electronic programs and data collection, and commercial vehicles. Speakers included Chuck Hurley, National Executive Director, MADD, Illinois State Senator John Cullerton, Joel Hand, Indiana Prosecuting Attorneys Council and Fatal Alcohol Crash Team founder, Mike Prince, Director, Michigan Office of Highway Safety Planning, Don McNamara, NHTSA Great Lakes Regional Administrator, Timothy Martin, Secretary, IDOT and Michael Stout, Director, DTS.

Division of Traffic Safety Summer Outreach Program

In an effort to better inform the public on the *Click It or Ticket* (CIOT) and the *You Drink & Drive. You Lose* (YD&D.YL) campaigns, DTS has started a summer outreach program. This program will consist of DTS outreach coordinators setting up displays and giveaways at the Illinois State Fair, DuQuoin State Fair, Route 66 Festival, Hot Rod Power Tour and Hot Rod Nationals. CIOT is promoted and publicized at seven minor league baseball games throughout Illinois as well.

The goals of this outreach program is to educate the public on the programs as well as give them access to DTS staff to answer any questions they might have. In addition to educating the public, DTS used these opportunities to make contact with grassroot organizations that are interested in a relationship with IDOT.

Crash Information System (CIS)/ Mobile Capture and Reporting (MCR)

CIS and MCR are two computer systems currently under development for use by DTS. CIS is the data warehouse system that will be used to collect and analyze crash data in years to come. The main agenda for the new system is to make data collected more user-friendly and available to more users than the current system allows. The MCR system is a paperless system developed to allow electronic submission of crash reports directly into the CIS system, drastically reducing the dependence on manual input. The MCR system is currently in use by approximately 1400 law enforcement agencies. An increase in usage and production took place in the latter part of 2005.

Racial Profiling Data Collection and Analysis

This project began on January 1, 2004, and runs through July 1, 2008. The study analyzes traffic stops to determine if the driver's race has an effect on the stop or the outcome of the stop. In 2004, DTS received 2.4 million completed racial profiling forms from 987 law enforcement agencies. The Northwestern University Center for Public Safety will analyze the data collected and prepare reports. Yearly reports for each

#27

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agency will be given to the Governor and Legislature on July 1 of each year. The first report was sent to the Governor and Legislature on July 1, 2005.

Comprehensive Highway Safety Program (CHSP)

The DTS and the Division of Highways, Bureau of Safety Engineering, are responsible for developing and implementing Illinois' first CHSP. The first meeting was held on March 7, 2005. The purpose of the CHSP is to bring together safety organizations and state and local agencies, to build upon existing resources to provide a more coordinated safety effort and to focus on the four E's of highway safety: Engineering, Enforcement, Education and Emergency Medical Services. The emphasis areas are as follows:

- Information Systems for Decision Making
- Roadway Departure
- Intersection Safety
- Work Zone Safety
- Large Truck Safety
- Safety Belts/Occupant Protection*
- Alcohol/Drug Impaired Driving*
- Improved Driver Behavior and Awareness*
- Pedestrian Safety*
- Highway/Railroad Grade Crossing Safety

(* denotes DTS area.)

Electronic Grant Monitoring (E-Grant)

DTS is in the process of purchasing an E-Grant System to automate publication, tracking and administration of its grants. This new system will enable those applying for traffic safety grants to fill out and submit all applications, reports and agreement amendments online; therefore, creating a 90 percent paperless process. Additionally, the new system will create an increased level of communication between DTS and their grantees. DTS's goal is to have the new system in place and operating in 2006. This system will be federally funded by NHTSA.

Campus Alcohol and Traffic Safety (CATS)

The 13th Annual Campus Alcohol and Traffic Safety Conference was held February 7-8, 2005, at the Hilton Hotel in Springfield, Illinois. There were 249 participants representing over 42 colleges and 18 agencies from across the state of Illinois. The conference began with a keynote presentation entitled, "How to Move the Movers and Shakers: Getting Administrators Involved in Prevention" by Dr. Margaret Barr. The conference also included a keynote presentation from Dr. Cheryl Presley, "Latest Trends in Student Substance Abuse Behaviors and Perceptions Data." Twenty-nine workshops were also presented on traffic safety and alcohol prevention programs on Illinois college campuses. The highlight of the conference was a general session on the success of

Auditor Comments

#28

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three Social Norming (SONOR) projects and the presentation of \$5,000 SONOR grants to ten different Illinois college campuses.

SONOR Grants

This year, DTS was pleased to announce a funding opportunity for Illinois colleges and universities to implement a SONOR mini-grant. SONOR is a team approach to the prevention of alcohol and other drugs and traffic safety problems on college campuses. The goal of the mini-grant is to provide funding for student groups to develop specific concepts in creating strategies for alcohol abuse prevention on their campuses. Applicants were asked to clearly articulate how known risk factors on their campuses were going to be addressed with mini-grant funding. Based on their proposals, DTS selected ten schools. Traffic Safety presented mini-grants to ten Illinois colleges and universities worth \$5000 each at the 13th Annual Campus Alcohol and Traffic Safety Conference that was held February 7-8, 2005 in Springfield, Illinois. The schools chosen for funding were Loyola University, SIU Carbondale, Bradley University, Eastern Illinois University, Western Illinois University (two grants), College of Lake County, Quincy University, University of Illinois in Springfield, and Joliet Junior College.

DTS Coalition Building

DTS will continue developing close partnerships with community organizations such as Alliance Against Impaired Motorist (AAIM), Mothers Against Drunk Driving (MADD), Illinois Traffic Safety Leaders (ITSL), Katie Cares Foundation, The Seat Belt Angels, state and local police agencies, SAFE Kids, child passenger safety teams, American Red Cross, and the nine Illinois Urban Leagues. DTS continues to work more closely with these organizations on initiatives such as child passenger safety, occupant protection, alcohol enforcement and education and injury prevention. By continuing to partner with these community organizations, DTS will continue to strive towards its goal of reducing the number of people killed or injured on Illinois roadways.

DTS established the Chicago Network for Traffic Safety (CNTS) to bring community agencies and law enforcement together in our efforts to promote traffic safety. The CNTS was founded by IDOT, the Illinois State Police, Chicago Police Department, and two traffic safety grantees. Our mission is to steadily build a cadre of organizations dedicated to improving traffic safety in Chicago and reducing morbidity and mortality on the roadways. The group is focusing on increasing safety belt use to 90 percent among 18-34 year old Hispanic and African-American males via development of community owned and implemented traffic safety outreach campaigns. CNTS held a press conference at Benito-Jaurez High School in conjunction with Senator Iris Martinez, Alderman Daniel Solis, the Illinois State Police, the Chicago Police Department, the Rehabilitation Institute of Chicago, Chicago Public Schools, Centro San Bonifacio, the Chicago Urban League, and Coca-Cola to unveil their partnership and highlight the need for increased traffic safety programming in urban neighborhoods.

Auditor Comments

#29

Comment 29: Exhibit C contains unsolicited and unaudited information provided by IDOT after the completion of the audit. Furthermore, the Exhibit contains assertions and conclusions that were not verified by the auditors during the course of the audit. Finally, some information presented in the Exhibit was outside the scope and time period of the audit.

CAUTION! Magazine

DTS unveiled its premiere issue of CAUTION! magazine, fall 2004. This quarterly publication promotes traffic safety activities, advocacy and outreach efforts throughout the state of Illinois. Recurring articles include updates from the Secretary of Transportation, traffic safety legislation, impaired driving and occupant protection. CAUTION! is produced in-house for external distribution to legislators, traffic safety advocates and partner organizations.

Results of the May 2005 CIOT Mobilization

The CIOT campaign in Illinois started on April 25, 2005 and ended on June 18, 2005.

CIOT is a high visibility, massive enforcement effort designed to detect violators of Illinois traffic laws with special emphasis on occupant protection. Funding for the mobilization was provided from Sections 157 and 402 Highway Safety grants. An intense public information and education campaign runs concurrently with the enforcement blitz to inform the motoring public of the benefits of safety belt use and of issuing tickets for safety belt violations. The model program included: 1) data collection, before, during and immediately after media and enforcement phases; 2) earned and paid publicity announcing strict enforcement; 3) highly visible enforcement and 4) evaluation.

Major funding was provided from the Section 157 Innovative Grant proposal. DTS requested \$1,945,000 from NHTSA and was granted \$1,875,000. This was 96.4 percent of the original request and was the highest grant award received in the NHTSA Great Lakes Region.

DTS spent a total of \$1,856,178 on this mobilization.

Results of Enforcement Activities

During the first week, baseline data and information on several safety belt related issues including public opinion and awareness of the existing safety belt topics (e.g., public education and enforcement items) were collected. Weeks two through eight were used to obtain earned media (free advertising about the program). Week three was used for follow-up observational and public opinion surveys. Weeks four and five were designed to pay for media time (primarily television and radio markets). Weeks five and six were devoted to highly publicized strict enforcement of the safety belt laws. Weeks seven and eight included collecting post-survey data on selected safety belt issues.

During this eight-week campaign, several media events were held throughout the state from May 23 through June 5, 2005. Events were held in Chicago, Springfield, Peoria, Rockford and O'Fallon.

Over 18,838 person-hours were conducted on a variety of enforcement efforts such as roadside safety checks (RSSC), hire-back programs and saturation patrols.

Auditor Comments

#30

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A total of 234 local agencies as well as the Illinois State Police (ISP) and the Secretary of State (SOS) police agencies, participated in the enforcement campaign and issued 38,765 safety belt citations, 1,096 child passenger safety citations, 7,560 speed violations and 503 DUI arrests. Overall, 59,617 citations were issued statewide during the enforcement period. Of the total citations, about 65 percent were for safety belt violations and 13 percent were for speeding violations. On average, a law enforcement officer issued one citation for every 24 minutes of patrol. On average, one safety belt citation was issued for every 30 minutes of patrol and one child passenger safety citation issued for every 17.9 patrol hours.

Observational Survey Results

- During the pre-mobilization observational mini-survey (50 sites), a total of 32,382 passenger cars and 3,364 pickup trucks were observed. During the post-mobilization observational statewide survey (258 sites), there were 115,458 passenger cars and 13,823 pickup trucks observed for a total of 129,281 vehicles.
- The overall observed safety belt usage rate for passenger cars and pickup trucks during the campaign increased from 83.5 percent before the campaign to 86 percent after the campaign.
- During the statewide survey (258 sites) by region, the collar counties had the highest usage rate at over 88 percent, followed by the downstate counties at more than 86 percent. Cook County (excluding the city of Chicago) and the city of Chicago had usage rates of 83.5 percent and 80.1 percent respectively. The downstate counties showed a significant increase in safety belt use. Cook County and the collar counties showed moderate increases in safety belt use, while the city of Chicago had a slight decrease in safety belt use.
- During the statewide survey (258 sites), those people who traveled on interstates had the highest usage rate at over 92 percent. Travelers on US/IL highways had a usage rate over 86 percent, while those who traveled on residential roads had the lowest usage rate at over 82 percent. There were increases in safety belt use for all road types from the pre-mobilization survey to the post-mobilization survey.
- Prior to the start of the campaign, the safety belt usage rate for passenger car occupants was 85 percent, but during the post-mobilization this usage rate increased to 87.2 percent. There was an increase in the safety belt usage rate from 69.1 percent to 75.6 percent for occupants of pickup trucks.

Labor Day 2005 YD&D.YL Mobilization Enforcement Activities Results

Several media events were held throughout the state from August 19 through September 12, 2005. Events were held in Chicago, Springfield, Peoria, Rock Island, Quincy, Collinsville, and Rockford.

Over 9,474 person-hours were expended on a variety of enforcement efforts such as roadside safety checks and hire-back programs. About 153 local police departments joined forces with IDOT, the ISP and the SOS Police to participate in the Labor Day mobilization from August 19 through September 12, 2005. During this enforcement period, 325 RSSCs were performed, and 12,198 citations were issued to motorists.

Auditor Comments

#31

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Of the total citations, about 28 percent were for safety belt violations, 18 percent were for speeding violations, and 12 percent were for those motorists who were uninsured. On average, a law enforcement officer issued one citation for every 46.6 minutes of patrol.

Halloween Campus Activities 2005

DTS spent time at four colleges and universities in the state educating the students about the Zero Tolerance law and YD&D.YL message. The LELs took fatal vision goggles and partnered up with ISP and local police agencies to get the message out that the police will be looking for offenders. The fatal vision goggles were used to simulate intoxication and gave students a sense of the level of impairment that alcohol provides. The events were successful with local college newspapers and radio stations covering the activities.

Results of the November 2005 CIOT Mobilization

The November mobilization activities were focused on pre-selected rural media markets and selected African-American and Hispanic communities (in city of Chicago) in Illinois. The rural media markets in Illinois include Rockford, Davenport, Bloomington, Champaign and the Illinois portion of the St. Louis media market. This campaign will be coordinated with ISP's enforcement activities under the national program entitled "Combined Accident Reduction Efforts." The main activities were:

1. Contacting all those local police agencies within the rural media markets that conducted safety belt enforcement zones during the May mobilization and ask them to do the same during the November campaign
2. Contacting all our current grantees (Mini-Grant Alcohol Program, Integrated Mini-Grant Enforcement Program, Local Alcohol Program and Traffic Law Enforcement Program) within the rural media market and encourage them to conduct safety belt enforcement during the same week.

Results of Enforcement Activities

Data is available for a total of 43 local departments, as well as eight districts of the ISP (representing 11 counties), who participated in the CIOT campaign conducted from November 7-December 11, 2005. Data received indicates 5,098 patrol hours logged and 13,306 citations were issued averaging approximately 2.61 citations per hour during this special enforcement. Of the 13,306 citations issued, 8,608 (64.7 percent) were safety belt violations. As a result, approximately 1.69 safety belt citations per hour were issued during this CIOT campaign.

In addition to safety belt citations, 1,420 (10.7 percent) speeding tickets were issued, 882 (6.6 percent) uninsured motorists were cited, 338 (2.5 percent) tickets for suspended/revoked licenses were issued, and 185 (1.4 percent) child passenger safety citations were written during the campaign. A total of 1,873 (14.1 percent) citations for "other" violations were also issued statewide. Examples of "other" violations include DUI and drug arrests.

#32

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Results of Observational Safety Belt Surveys

- There were 5,858 vehicles observed during the pre-mobilization; 4,563 were passenger cars and 1,295 were pickup trucks. During the post-mobilization, there were 5,954 total vehicles observed, of which, 4,603 were passenger cars and 1,351 were pickup trucks.
- The seat belt usage rate for all vehicles, which includes pickup trucks and passenger cars, increased from 81.8 percent during the pre-mobilization to 83.7 percent during the post mobilization.
- Based on media market, the Rockford media market had the highest usage rates followed by the Champaign and the St. Louis markets, while the Peoria media market had the lowest usage rates.
- On residential roads, there was an increase from 76.2 percent during the pre-mobilization to 79.9 percent during the post-mobilization. On US/IL highways, the seat belt usage rate increased from 84.1 percent during the pre-mobilization to 85.4 percent during the post-mobilization.
- The safety belt usage rate for passenger cars, which excludes pickup trucks, increased from 86.1 percent during the pre-mobilization to 88.6 percent during the post-mobilization. The usage rate patterns across selected categories for passenger cars are similar to the overall usage rate patterns for all vehicles.
- The safety belt usage rate for pickup trucks increased from 66.5 percent during the pre-mobilization to 67.4 percent during the post-mobilization.

Safety Belt Usage Rates in Chicago Communities During November and December 2005

- The pre-mobilization surveys were conducted from November 7-13, 2005, while the post-mobilization surveys were conducted from December 5-11, 2005.
- There were 5,293 vehicles observed during the pre-mobilization, of which 4,886 were passenger cars. During the post-mobilization, there were 4,874 total vehicles observed, of which, 4,566 were passenger cars.
- The safety belt usage rate for all vehicles, which includes pickup trucks and passenger cars, increased from 64.5 percent during the pre-mobilization to 67.6 percent during the post-mobilization.
- The safety belt usage rate for drivers increased by 2.7 percentage points from 65.4 percent during the pre-mobilization to 68.1 percent during the post-mobilization. The safety belt usage rate for passengers increased from 61.7 percent during the pre-mobilization to 65.5 percent during the post-mobilization.
- Based on community type, safety belt use was higher in Hispanic communities in comparison to African-American communities. In the Hispanic communities, the safety belt usage rate increased from 67.8 percent during the pre-mobilization to 70.3 percent during the post-mobilization. In the African-American communities, the safety belt usage rate increased by 4.7 percentage points from 60.4 percent during the pre-mobilization to 65.1 percent during the post-mobilization.
- The safety belt usage rate for passenger cars, excluding pickup trucks, increased from 64.8 percent during the pre-mobilization to 67.8 during the post-mobilization.
- For passengers the safety belt usage rate increased by 4.6 percentage points from 61.8 percent during the pre-mobilization to 66.4 percent during the post-mobilization. In the Hispanic communities, the safety belt usage rate increased from 68.7 percent

Auditor Comments

#33

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during the pre-mobilization survey to 71.3 percent during the post-mobilization survey.

- In the African-American communities, the safety belt usage rate increased by 4.8 percentage points from 59.9 percent during the pre-mobilization to 64.7 percent during the post-mobilization.

Christmas/New Year's Activities

DTS coordinated many activities to include the YD&D.YL message for the Christmas and New Year's holidays. These activities included: placing MADD ribbons on all IDOT vehicles including snowplows and fleet vehicles, creating a party palm card for law enforcement grantees to distribute in their communities, scheduling three press conferences in Chicago, Springfield and Metro East to inform motorists that police will be arresting impaired drivers, and working with IDOT's Division of Highways to get the YD&D.YL message on all available message boards throughout the state.

Auditor Comments

#34

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