

MEMORANDUM

TO: BEN PEREZ, PARSONS BRINCKERHOFF
FROM: GIAN-CLAUDIA SCIARA, INSTITUTE OF TRANSPORTATION STUDIES, U.C. DAVIS
SUBJECT: DRAFT FINAL STATE TRANSP. FINANCE & GOVERNANCE DATABASE
DATE: 3/8/2013
CC: SYDNEY VERGIS, INSTITUTE OF TRANSPORTATION STUDIES, U.C. DAVIS

Attached please find four separate excel files, each representing a section of the database we have created from the NCSL-AASHTO Transportation Governance and Finance report. The four files are named to match the major categories of data captured by the report.

#	File Contents	File Name
I.	Organizational information	I. Org_PB
II.	Interactions b/w DOT & legislature data	II. Int_PB
III.	DOT leadership data	III. DOTLead_PB
IV.	Funding & finance data	IV. Fin_PB

This memo is organized in sections I through V, and provides a guide to the variables contained in each of the corresponding files. The memo identifies the variable name, its description, and the possible values it may assume.

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I. Organizational characteristics of the state DOT and legislature (Org_)		
Variable	Description	Format / Values
Org_LegBills	Estimated number of bills introduced in the state legislature in 2011. A measure of the level of activity in the state legislature.	Unique value
Org_DOTFTE	Number of full time employees in the state DOT in 2011.	Unique value. 99. Missing data.
Org_DOTOrg	How the DOT divides responsibilities among its organizational units.	1. Functional activity, such as administration, finance, planning, engineering, operations or construction. 2. Transportation mode. 3. Modes administered by separate agencies. 4. By function and region. 99. Missing data.

II. Interactions b/w DOT & legislature data (INT_)		
Oversight Mechanisms over DOT (Int_LegOVS)		
Int_LegOVSComm	On-going oversight by legislative committee.	1. On-going oversight by legislative committee. 0. On-going oversight by legislative committee not mentioned in the State Profile.
Int_LegOVSPerfAudit	Legislature performs program reviews or performance audits.	1. Legislative program reviews or performance audits. 0. Legislative program reviews or performance audits not mentioned in the State Profile. 99. No information on Oversight Mechanisms given in the State Profile.
Int_LegOVSNonLeg	Legislature reviews non-legislative programs or performance audits, such as those performed by an executive branch or state auditor.	1. Legislative review of non-legislative program reviews or performance audits. 0. Legislative review of non-legislative program reviews or performance audits not mentioned in the State Profile.
Int_LegOVSRpReq	DOT Reporting Requirements to the Legislature and/or Legislative Committee(s).	1. Reporting requirements. 0. Reporting requirements not mentioned in the State Profile.
Int_LegOVInfo	Legislature requests information from the DOT.	1. Legislative requests for information. 0. Legislative requests for information not mentioned in the State Profile.

Int_LegOVSCharges	Legislature may make and review so-called “interim charges,” whereby leadership asks the standing oversight committee to examine a specific topic during the interim, in preparation for the next legislative session. In some cases, requests for interim studies may come from individual legislators.	1. Legislative review of interim charges 0. Legislative review of interim charges not mentioned in the State Profile
Int_LegOVSSunset	Legislative sunset review of state DOT. Sunset reviews evaluate the functions of a state entity to assess whether it should continue to exist. Sunset reviews may result in repealing the statutes that govern the DOT. If not, the state is not considered subject to sunset review. In a true sunset process, an entity is automatically abolished unless the legislature or responsible committee chooses to affirmatively continue it.	1. Yes, DOT subject to sunset review. 0. No, DOT not subject to sunset review. 99. Missing.
<i>Review Authority over DOT Rules by Different Parties</i>		
Int_OVSRules	Review of DOT administrative rules. State Executive or Legislature has authority to review DOT rules. Authority may be advisory, may allow for suspension of the rule, or may be unspecified.	0. No formal review of DOT administrative rules 1. Review at the Executive level 2. Review at the Legislative level 3. Review by the Executive and Legislative 4. Review, reviewing entity not specified 99. Missing.

Legislative Role in Surplus Funds, Reallocations, PPPs and Design-Build (Int_FIN_)		
Int_FIN_AutoSurplusRetain	Is the DOT authorized to retain surplus funds? Depending on the state, excess funds may be defined as unspent appropriations, revenues in excess of a legislatively approved DOT budget, revenues in excess of statutory limits on a dedicated transportation fund, and/or other. Excess funds do <i>not</i> include money obligated or otherwise committed to a specific, approved future purpose. For more detail about “certain conditions” that may apply, consult individual state’s profile.	1. Yes 2. Under certain conditions 0. No
Int_FIN_AutoMove	Is legislative approval required to move funds between projects? For conditions applicable in a particular state, consult that state’s profile in the NCSL-AASHTO report.	1. Yes 2. Under certain conditions 0. No
Int_FIN_PPPLeg	Types of enabling legislation for Public-Private Partnerships as of December 2010. (Source: http://www.ncsl.org/issues-research/transport/public-private-partnerships-for-transportation.aspx)	1. Broad enabling legislation. 2. Limited or project-specific legislation. 3. Legislation largely expired in 2009 (Texas only). 4. Legislation by regulation (Maryland only). 0. No legislation.
Int_FIN_PPPAppl	Legislative Approval Requirements for PPPs – What role does the legislature play in PPPs under state PPP enabling statutes? (Source: NCSL report, p. 34).	1. Requires legislative approval for some/all PPP projects. 2. Requires legislative approval only to convert existing facilities to privately operated toll roads (Utah and Puerto Rico only). 3. Provides for legislative review/other involvement, but not approval. 4. Has PPP enabling legislation with no formal legislative requirements. 5. Has no PPP legislation.
Int_FIN_DBLeg	States with Design Build Enabling Legislation	1. Broad enabling legislation 2. Limited legislation 3. Some provisions expired in 2009 (Texas only) 0. No legislation

III. DOT Leadership and Governance (DOTLead_)

DOT Leadership Appointments and Requirements. *Secretary, commissioner, or director* (_CEOSelect)

DOTLead_CEOSelect	<p>How the DOT Secretary, Commissioner, or director is selected and/or appointed.</p> <p>"Another decision making body" refers to entities such as a Transportation Commission or City Council in the case of Washington, D.C.</p>	<ol style="list-style-type: none"> 1. Appointed by the Governor, solely. 2. Appointed by the Governor with recommendation or consent of another decision-making body (s). Selection process may also include consent by the Legislature. 3. Appointed by the Governor with Legislative approval. 4. Selection made by a commission or board with Legislative approval. 5. Appointed/Elected solely by a commission or board. 6. Nominated by a commission or board, and appointed by the governor. 7. Directly appointed or elected by legislatures.
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***Board or Commission Overseeing / Advising DOT* (policymaking or advisory board) (_Board)**

DOTLead_BoardPresence	Indicates the presence of a transportation board or commission. This entity may be charged with policymaking or be advisory.	<ol style="list-style-type: none"> 1. Yes, state has such a board or commission. 0. No, state does not have such a board/commission.
DOTLead_BoardSize	Indicates the size of the policymaking or advisory transportation board or commission	<p>Unique Value</p> <p>88. Not applicable. State has no such board/commission.</p> <p>99. Board size is not indicated. (Missing.)</p>

***Selection of the Board/Commission Overseeing DOT* (variables are not mutually exclusive; cannot be collapsed)(_Select-)**

DOTLead_BoardSelect-1, -2, -3, -4	How members of the Board/Commission overseeing the DOT are selected. Some states used multiple selection strategies in combination; in such cases, up to four variables convey the strategies used.	<ol style="list-style-type: none"> 1. Appointed by the Governor. 2. Appointed by the Governor with Legislative approval. 3. Selection made by commission/board with Legislative approval. 4. Appointed solely by a commission or board. 5. Directly appointed or elected by legislators. 6. Serve by virtue of office. 7. Elected by voters. 88. Not applicable. State has no such board/commission, or state may have fewer ways of selecting their board than the number of options (variables) available. 99. Board selection strategies are not indicated. Missing.
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IV. Transportation Funding and Finance (FIN_)		
State Budgeting and Appropriations		
FIN_StateBugdType	State budget type and frequency of enactment.	<ol style="list-style-type: none"> 1. Biennial enactment of two 12-month budgets (separate budgets for two fiscal years are enacted at once). 2. Biennial enactment of one 24-month budget (a single two-year budget). 3. Annual budget.
FIN_FYStart	Fiscal Year Start - when the state's fiscal year begins.	<ol style="list-style-type: none"> 1. April 1 2. July 1 3. September 1 4. October 1
FIN_BondPayGo	Funding Approach for Transportation - Does state rely on bonding or pay-as-you go for transportation investment?	<ol style="list-style-type: none"> 1. Bonding 2. Pay-as-you-go 3. Both bonding and pay-as-you-go

State Transportation Funding Sources		
<p>Highway Funding Sources (FIN_HWY) Note: The “Revenue Sources” tab in the State-by-State Module also includes data on funding sources used by states for highways. Those data are collected regularly by the FHWA Office of Highway Information. The data in this tab, drawn from the NCSL- AASHTO <i>Transportation Governance and Finance</i> report, cover more potential funding sources but provide only a single snapshot for 2011.</p>		
<ol style="list-style-type: none"> 1. FIN_HWYFuel 2. FIN_HWYGasTax 3. FIN_HWYVehicleSalesTax 4. FIN_HWYReg 5. FIN_HWYFee 6. FIN_HWYTolls 7. FIN_HWYGeneral Funds 8. FIN_HWYInterest 9. FIN_HWYSales 10. FIN_HWYBonding 11. FIN_HWYBonding_GOB 12. FIN_HWYBonding_Rev 13. FIN_HWYOther 	<p>A discrete variable for each highway funding source.</p> <ol style="list-style-type: none"> 1. Fuel taxes 2. Sales taxes on gasoline or diesel 3. Motor vehicle or rental car sales taxes 4. Vehicle registration, license or title fees 5. Vehicle or Truck Weight Fees/tax 6. Tolls - includes tolls not collected directly by the state, but still used for highways 7. General Funds 8. Interest Income 9. Sales tax 10. Bonding (broad category) 11. General Obligation Bonds 12. Revenue Bonds 14. Other - includes oversize permit fees, logo signing, underground storage tank fees, special plates 	<ol style="list-style-type: none"> 1. The source is in use for highways. 0. The source is not in use for highways / not mentioned.

Transit Funding Sources (*FIN_Transit*) Note: The “Revenue Sources” tab in the State-by-State Module also includes data on funding sources used by states for highways. Those data are collected regularly by the FHWA Office of Highway Information. The data in this tab, drawn from the NCSL- AASHTO *Transportation Governance and Finance* report, cover more potential funding sources but provide only a single snapshot for 2011.

<ol style="list-style-type: none"> 1. FIN_TransitFuel 2. FIN_TransitGasTax 3. FIN_TransitVehicleSalesTax 4. FIN_TransitReg 5. FIN_TransitFee 6. FIN_TransitTolls 7. FIN_TransitGeneral Funds 8. FIN_TransitInterest 9. FIN_TransitSales 10. FIN_TransitBonding 11. FIN_TransitLottery 12. FIN_TransitOther 	<p>A discrete variable for each transit source. Rail is accounted for separately. If the State Profile contained language like “All modes—including transit, aviation, rail, ports and bridges—are funded by revenue sources that flow into the State Transportation Trust Fund”, all highway funding sources were carried forward here.</p> <ol style="list-style-type: none"> 1. Fuel taxes 2. Sales taxes on gasoline or diesel 3. Motor vehicle or rental car sales taxes 4. Vehicle registration, license or title fees 5. Vehicle or Truck Weight Fees 6. Tolls 7. General Funds 8. Interest Income 9. Sales tax (local and general) 10. Bonding 11. Lottery 12. Other 	<ol style="list-style-type: none"> 1. The source is in use for transit. 0. The source is not in use for transit / no information.
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Passenger / Freight Rail Funding Sources (_Rail) Note: (a) The “Revenue Sources” tab in the State-by-State Module also includes data on funding sources used by states for highways. Those data are collected regularly by the FHWA Office of Highway Information. The data in this tab, drawn from the NCSL- AASHTO *Transportation Governance and Finance* report, cover more potential funding sources but provide only a single snapshot for 2011. (b) Survey respondents were queried about funding sources for passenger/freight rail separately from transit. While it is conventional to group commuter rail with transit, it is possible that some respondents included information about commuter rail funding under passenger/freight rail.

<ol style="list-style-type: none"> 1. FIN_RailFuel 2. FIN_RailGasTax 3. FIN_RailVehicleSalesTax 4. FIN_RailReg 5. FIN_RailFee 6. FIN_RailTolls 7. FIN_RailGeneral Funds 8. FIN_RailInterest 9. FIN_RailSales 10. FIN_RailBonding 11. FIN_RailOther 	<p>Each rail funding source is its own variable. This refers to passenger and freight rail. If the State Profile contained language like “All modes—including transit, aviation, rail, ports and bridges—are funded by revenue sources that flow into the State Transportation Trust Fund”, all highway funding sources were carried forward here.</p> <ol style="list-style-type: none"> 1. Fuel taxes 2. Sales taxes on gasoline or diesel 3. Motor vehicle or rental car sales taxes 4. Vehicle registration, license or title fees 5. Vehicle or Truck Weight Fees 6. Tolls 7. General Funds 8. Interest Income 9. Sales tax (local and general) 10. Bonding 11. Other 	<ol style="list-style-type: none"> 1. The source is in use for rail. 0. The source is not in use for rail / no information.
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Other Funding Sources – Some states use traffic camera fees and impact fees to support transportation.

FIN_Other_Camera	Traffic Camera Fees	<ol style="list-style-type: none"> 1. The mechanism is in use for transport. 0. The mechanism was not in use as of 2011.
FIN_Other_Impact	Impact Fees	<ol style="list-style-type: none"> 1. The mechanism is in use for transport. 0. The mechanism was not in use as of 2011.

Debt Financing Tools (FIN_DFT_)		
FIN_DFT_GARVEE	Grant Anticipation Revenue Vehicles (GARVEE)	1. The mechanism is in use for transport. 0. The mechanism was not in use as of 2011.
FIN_DFT_PAB	Private Activity Bonds	1. The mechanism is in use for transport. 0. The mechanism was not in use as of 2011.
FIN_DFT_BAB	Build America Bonds	1. The mechanism is in use for transport. 0. The mechanism was not in use as of 2011.
FIN_DFT_TIFIA	Transp. Infrastructure Finance & Innovation Act	1. The mechanism is in use for transport. 0. The mechanism was not in use as of 2011.
FIN_DFT_SIB	State Infrastructure Banks	1. The mechanism is in use for transport. 0. The mechanism was not in use as of 2011.
Grant Management Tools (_GMT)`		
FIN_GMT_AC	Advance Construction and Partial Conversion of Advance Construction	1. The mechanism is in use for transport. 0. The mechanism was not in use as of 2011.
FIN_GMT_FAMS	Federal Aid Matching Strategies –The state uses one or more innovative strategies to provide the required state match to federal funds. These may include Flexible Match, Tapered Match, Toll Credits (Soft Match), Program Match, Third-Party Donations, or Using Other Federal Funds as Match.	1. The mechanism is in use for transport. 0. The mechanism was not in use as of 2011.