

NCHRP 20-68A – “US Domestic Scan Program”

Scan 14-01 Leading Management Practices in Determining Funding Levels for Maintenance and Preservation

Legislators and leadership within transportation agencies continuously face the challenge of providing appropriate funding to insure adequate maintenance of their aging transportation assets. While MAP-21 creates a streamlined and performance-based surface transportation program that aims to ensure a state of good repair, Federal funding long term is uncertain; and gas tax revenues, a primary source of state as well as federal transportation funds across the country, are generally declining, increasing the challenge of determining how to allocate resources between maintenance of current facilities and investment to upgrade or extend the system. When polled in mid-2013, many state maintenance managers indicated that securing adequate funding is among the most pressing issues they face.

This scan will undertake to identify funding allocation practices within state DOTs and other transportation agencies that have successfully ensured reliably adequate funding to support the delivery of efficient and effective maintenance programs. Agencies such as Washington State DOT, North Carolina DOT, Alabama DOT, Mississippi DOT, Kansas DOT, Tennessee DOT, and the San Francisco Metropolitan Transportation Commission are top-performing agencies that may prove excellent organizations to study.

The team will examine various successful practices in funding within agencies such as the use of dedicated revenue streams, performance-optimization using general revenues, or other specifically examining:

- a. How agencies determine funding for system maintenance and preservation;
- b. How agencies allocate funding across their districts and regions;
- c. How districts/ regions allocate funding for specific types of maintenance tasks;
- d. How agencies determine the optimal budgetary allocations;
- e. Performance measures established to monitor the effectiveness of the budget provided for maintenance, and how the performance measures link to future funding allocations.

The team should specifically examine the agencies budgetary process to identify:

- a. Who is involved;
- b. Methods of establishing budget levels (i.e. \$/lane-mile or miles of roads maintained/maintenance worker);
- c. How GASB-34 affects the budget process;
- d. Data reporting requirements, management systems and their use in the budget process;
- e. Legislative initiatives and mandates;
- f. Method of forecasting maintenance funding requirements, etc.

The findings of this scan could provide a better understanding of how to implement successful approaches to ensure reliably adequate funding to support effective and efficient maintenance and preservation programs.

Original Scan Proposal Title(s): Best practices in determining funding levels for maintenance and preservation

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Execution Schedule

| Milestone | Anticipated Date |
|---|-------------------------|
| Chairs and Team Members Identified | December 2014 |
| Desk Scan Completed | April 2015 |
| Prescan Meeting Held | April 2015 |
| Scan Conducted | September 2015 |
| Draft PowerPoint submitted by SME | October 2015 |
| Draft Report Delivered to NCHRP and Panel | December 2015 |
| Final Report Delivered to NCHRP | March 2016 |

Estimated Scan Cost: \$150,000

Anticipated Duration: 1 week (type 3 scan)

Last Reviewed/Revised January 29, 2015