

APPENDIX B. NCSL-AASHTO SURVEY INSTRUMENTS

NCSL-AASHTO SURVEY 1

This survey was distributed to DOT personnel and legislative staff members in the 50 states, the District of Columbia and Puerto Rico to gather factual information about transportation funding and finance. Responses were received from all 50 states, the District of Columbia and Puerto Rico. Responding organizations are included in Appendix C.

Transportation Governance and Finance A 50-State Review of State Legislatures and Departments of Transportation

SURVEY ON TRANSPORTATION FUNDING AND FINANCE

This survey on interactions between state departments of transportation (DOTs) and legislatures is a collaborative effort between the National Conference of State Legislatures (NCSL) and the American Association of State Highway and Transportation Officials (AASHTO). Its primary objective is to gather information about state-level interactions between the legislative and executive branches of government in relation to transportation governance, with a particular emphasis on finance.

This survey has 27 questions. **If you cannot complete the entire survey, please answer as many questions as possible. An incomplete survey response still provides useful data to the project.** Please enter your answers on this form and return it by **Friday, September 24, 2010**, as an e-mail attachment (jaime.rall@ncsl.org) or by fax (303-364-7800, Attn: Jaime Rall, EET). Please include any reports or other attachments or links that add to or complete your survey responses.

If you have any questions about the survey or the NCSL-AASHTO study, you may contact Jaime Rall at jaime.rall@ncsl.org or 303-856-1417. Thank you.

PART I: STATE LEGISLATIVE-EXECUTIVE INTERACTIONS AND DECISION-MAKING PROCESSES

- 1) Please briefly describe your state's process for determining transportation investment priorities and spending levels. What are the respective roles of the state legislature and the state DOT? _____**
- 2) What role do other entities (e.g. transportation commission, governor, local governmental entities, etc.) play in determining state transportation priorities and spending levels in your state? _____**
- 3) How are federal transportation funds allocated to your state's DOT? Check all that apply.**

	Direct Flow from USDOT to State DOT (No State Legislative Involvement)
	State Legislative Appropriation (Lump Sum Appropriation at Department Level)
	State Legislative Appropriation (Appropriation at Program or Category Level)
	State Legislative Appropriation (Appropriation at Project-Specific Level)
	State Legislative Approval of DOT Transportation Plan
	Other (please specify): _____

Please describe: _____

4) How are state transportation funds allocated to your state’s DOT? Check all that apply.

	Direct Flow from Revenue Source or Fund to DOT (No State Legislative Involvement)
	State Legislative Appropriation (Lump Sum Appropriation at Department Level)
	State Legislative Appropriation (Appropriation at Program or Category Level)
	State Legislative Appropriation (Appropriation at Project-Specific Level)
	State Legislative Approval of DOT Transportation Plan or Other Project List
	Other (please specify): _____

Please describe: _____

5) Does your state’s legislature set any conditions that the DOT must meet in order to receive state or federal funds?

	Yes (please specify): _____
	No

Comments: _____

6) Is legislative approval required for the state DOT to move funds from one project (or type of project) to another?

	Yes (please specify): _____
	No

Comments: _____

7) Please describe whether your state’s DOT is authorized to retain excess funds and, if not, what happens to such funds at the end of the fiscal year or biennium. Note: 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 *not* include money obligated or otherwise committed to a specific, approved future purpose. _____

8) Please briefly describe any activities taken by your state’s legislature to provide oversight of the state DOT’s expenditures and financing methods. _____

9) Please briefly describe any activities taken by your state’s executive entities (e.g. DOT leadership, governor, transportation commission or board, etc.) to provide oversight of the state DOT’s expenditures and financing methods. _____

10) Please briefly describe any legislative practices used to control DOT costs in your state (e.g. low bid requirements, cost controls for support processes). _____

11) How are DOT performance goals set in your state, and who has the authority to set those goals? _____

12) Please describe any legislative practices used to better allocate DOT resources in order to meet DOT performance goals (i.e., those set under the process described in question 11). _____

PART II: GENERAL OVERVIEW OF STATE TRANSPORTATION FUNDING AND FINANCING

13) Please enter your state DOT’s budget amounts for the following years and categories. Please include state funding only (exclude federal funds such as ARRA, federal-aid highway formula apportionments and allocations, federal transit funding, and other federal grants).

	FY 2008 (in millions of dollars)	FY 2009 (in millions of dollars)	FY 2010 (in millions of dollars)	FY 2011 (as appropriated) (in millions of dollars)
Highways	\$ _____	\$ _____	\$ _____	\$ _____
Transit: Operating	\$ _____	\$ _____	\$ _____	\$ _____
Transit: Capital	\$ _____	\$ _____	\$ _____	\$ _____
Transit: Other	\$ _____	\$ _____	\$ _____	\$ _____
Rail	\$ _____	\$ _____	\$ _____	\$ _____
Administrative Costs	\$ _____	\$ _____	\$ _____	\$ _____
Other (please specify): _____	\$ _____	\$ _____	\$ _____	\$ _____
TOTAL BUDGET	\$ _____	\$ _____	\$ _____	\$ _____

Comments: _____

14) Which best describes your state’s approach to financing transportation?

<input type="checkbox"/>	Use of state bonding authority
<input type="checkbox"/>	Pay-as-you-go financing
<input type="checkbox"/>	Combination of bonding and pay-as-you-go

Comments: _____

15) What are your state’s revenue sources for highways (at the state level only)? Check all that apply.

<input type="checkbox"/>	Fuel Taxes
<input type="checkbox"/>	Additional Sales Taxes on Gasoline or Diesel
<input type="checkbox"/>	Motor Vehicle/Rental Car Sales Taxes
<input type="checkbox"/>	Vehicle Registration/License/Title Fees
<input type="checkbox"/>	Truck Weight Fees
<input type="checkbox"/>	General Obligation Bonds

	Revenue Bonds
	Tolls
	General Funds
	Interest Income
	Other (please specify): _____

Comments: _____

16) Please briefly describe any statutory, constitutional or other restrictions on the use of the revenues listed in question 15. _____

17) What are your state’s revenue sources for transit (at the state level)? Check all that apply.

	Fuel Taxes
	Additional Sales Taxes on Gasoline or Diesel
	Motor Vehicle/Rental Car Sales Taxes
	Vehicle Registration/License/Title Fees
	Truck Weight Fees
	General Obligation Bonds
	Revenue Bonds
	Tolls
	General Funds
	Interest Income
	Other (please specify): _____

Comments: _____

18) Please briefly describe any statutory, constitutional or other restrictions on the use of the revenues listed in question 17. _____

19) What, if any, are your state’s revenue sources for these modes (at the state level)? Please list.

- Passenger/Freight Rail: _____
- Aviation: _____
- Ports: _____
- Bridges: _____
- Other (please specify): _____

Comments: _____

20) Please briefly describe any statutory, constitutional or other restrictions on the use of the revenues listed in question 19. _____

21) Which of these does your state use to fund transportation projects? Check all that apply.

<input type="checkbox"/>	State Highway Fund
<input type="checkbox"/>	State Multimodal Transportation Fund
<input type="checkbox"/>	State Highway <u>Trust</u> Fund
<input type="checkbox"/>	State Multimodal Transportation <u>Trust</u> Fund
<input type="checkbox"/>	Dedicated Fund for Transit
<input type="checkbox"/>	Dedicated Fund for Rail
<input type="checkbox"/>	Other (e.g., funds for aviation, ports or bridges) (please specify): _____

Please describe: _____

22) Please briefly describe any statutory, constitutional or other restrictions on the use of the funds listed in question 21. _____

23) Which of these non-traditional methods has your state used to fund or finance transportation? Check all that apply.

<input type="checkbox"/>	GARVEE Bonds
<input type="checkbox"/>	Private Activity Bonds (PABs)
<input type="checkbox"/>	Build America Bonds (BABs)
<input type="checkbox"/>	Federal Credit Assistance (TIFIA)
<input type="checkbox"/>	State Infrastructure Banks (SIBs)
<input type="checkbox"/>	Congestion Pricing
<input type="checkbox"/>	Public-Private Partnerships (PPPs)
<input type="checkbox"/>	Design-Build
<input type="checkbox"/>	Vehicle-Miles Traveled Fees or Weight-Mile Fees
<input type="checkbox"/>	Creation of Non-Profit, Quasi-Public Entities
<input type="checkbox"/>	Traffic Camera Fees
<input type="checkbox"/>	Container Fees
<input type="checkbox"/>	Other (please specify): _____

Comments: _____

24) Does your state DOT engage in any of these methods for flexibly managing federal funds? Check all that apply.

<input type="checkbox"/>	Tapered Matching
<input type="checkbox"/>	Advance Construction
<input type="checkbox"/>	Toll Credits or "Soft Match"
<input type="checkbox"/>	Other (please specify): _____

Comments: _____

25) How does your state allocate federal and/or state funds to local governmental entities through local aid? Check all that apply.

<input type="checkbox"/>	State Legislative Appropriation
<input type="checkbox"/>	DOT Allocation of Funds by Formula
<input type="checkbox"/>	DOT Allocation of Funds Within Existing Statutory Requirements
<input type="checkbox"/>	DOT Allocation of Funds, Discretionary
<input type="checkbox"/>	Other (please specify): _____

Please describe: _____

26) Please list any statutory, constitutional or other restrictions on local transportation funding and financing options. _____

27) Do you have any other comments or thoughts you would like to share? _____

PART III: CONTACT INFORMATION

Please take a moment to tell us more about yourself.

Your name: _____

Your title: _____

Your agency: _____

E-mail address: _____

Phone number: _____

Thank you for your help with this survey!

*Please email your completed survey to jaime.rall@ncsl.org
or fax it to 303-364-7800, Attn: Jaime Rall, EET, by **Friday, September 24, 2010.***

Please include any reports or other attachments or links that add to or complete your survey responses.

NCSL-AASHTO SURVEY 2

This survey was distributed to DOT personnel and legislative staff members in the 50 states, the District of Columbia and Puerto Rico to gather factual information about executive and legislative roles. Responses were received from all 50 states and the District of Columbia. Responding organizations are included in Appendix C.

Transportation Governance and Finance

A 50-State Review of State Legislatures and Departments of Transportation

SURVEY ON EXECUTIVE-LEGISLATIVE ROLES

This survey on interactions between state departments of transportation (DOTs) and legislatures is a collaborative effort between the National Conference of State Legislatures (NCSL) and the American Association of State Highway and Transportation Officials (AASHTO). Its primary objective is to gather information about state-level interactions between the legislative and executive branches of government in relation to transportation governance and oversight.

This survey has 21 questions. **If you cannot complete the entire survey, please answer as many questions as possible. An incomplete survey response still provides useful data to the project.** Please enter your answers on this form and return it by **Friday, September 24, 2010**, as an e-mail attachment (jaime.rall@ncsl.org) or by fax (303-364-7800, Attn: Jaime Rall, EET). Please include any reports or other attachments or links that add to or complete your survey responses.

If you have any questions about the survey or the NCSL-AASHTO study, you may contact Jaime Rall at jaime.rall@ncsl.org or 303-856-1417. Thank you.

PART I: STATE EXECUTIVE-LEGISLATIVE INTERACTIONS

1) Please briefly describe your state’s overall approach to communication and interaction between the state legislature and the DOT. _____

2) What mechanisms exist in your state for the DOT to influence and/or provide input about transportation-related legislation? _____

PART II: STATE DOT OVERSIGHT AND ACCOUNTABILITY

3) What mechanisms exist in your state for legislative oversight of the DOT? Check all that apply.

	Ongoing Oversight by One or More Legislative Committees or Commissions
	Interim Charges to the Legislature
	Legislative Program Reviews and/or Legislative Performance Audits
	Legislative Review of Other (Non-Legislative) Program Reviews or Performance Audits (e.g. those conducted by executive branch State Auditors)

	DOT Reporting Requirements to the Legislature and/or Legislative Committee(s)
	Legislative Requests for Information from the DOT
	Other (please specify): _____

Please describe: _____

4) What resources, if any, are provided to the DOT in your state to support its compliance with oversight requirements? _____

5) How are DOT performance goals set in your state, and who has the authority to set those goals? _____

6) How is the DOT's progress on meeting its performance goals evaluated, reported and/or used? _____

PART III: STATE DOT LEADERSHIP

7) What is your state DOT's leadership structure? Check all that apply.

	DOT Director or Executive Director
	State Transportation Commission
	State Transportation Secretary or Commissioner
	State Transportation Board
	State Transportation Board Director
	Other (please specify): _____

Comments: _____

8) What is the process for appointing DOT leadership in your state? Check all that apply.

	Governor Appointment, No Legislative Approval
	Governor Appointment, Legislative Approval Required
	Legislative Appointment
	Other (please specify) : _____

Comments: _____

9) Must the person(s) appointed to DOT leadership in your state meet existing statutory requirements?

	Yes (please specify): _____
	No

Comments: _____

10) What is the process for removing DOT leadership in your state? _____

PART IV: STATE STATUTES

11) Please provide as complete a list as possible of state statutes concerning state-level transportation governance, including authorizing statutes for your state's DOT. _____

12) Are any of these statutes subject to sunset provisions?

<input type="checkbox"/>	Yes (please describe): _____
<input type="checkbox"/>	No

Comments: _____

PART V: TRANSPORTATION PLANNING AND PROJECT SELECTION

13) Please briefly describe the process of transportation planning—including project identification, selection, prioritization and approval—in your state. _____

14) What are the roles of your state’s legislature in the transportation planning process described in question 13 (e.g. project identification, reviewing and/or approving transportation plans)? _____

15) What are the roles of your state’s DOT in the transportation planning process described in question 13 (e.g. project identification, developing and/or approving transportation plans)? _____

16) What are the roles of any other entities (e.g. transportation commission, the office of the governor, local governmental entities such as metropolitan planning organizations, transit or rail agencies, port or tolling authorities, etc.) in the transportation planning process described in question 13? _____

17) Please briefly describe what is done in your state to promote transparency and accountability in the transportation planning process described in question 13. _____

PART VI: OTHER

18) How many FTEs (full-time equivalents) are employed by your state’s DOT? _____

19) Does your state’s legislature get data about the state’s transportation system from other, independent informational sources besides the DOT?

<input type="checkbox"/>	Yes (please specify): _____
<input type="checkbox"/>	No

Comments: _____

20) What role does the governor’s office play in DOT governance in your state? _____

21) Do you have any other comments or thoughts you would like to share? _____

PART III: CONTACT INFORMATION

Please take a moment to tell us more about yourself.

Your name: _____

Your title: _____

Your agency: _____

E-mail address: _____

Phone number: _____

Thank you for your help with this survey!

*Please email your completed survey to jaime.rall@ncsl.org
or fax it to 303-364-7800, Attn: Jaime Rall, EET, by **Friday, September 24, 2010**.*

Please include any reports or other attachments or links that add to or complete your survey responses.

NCSL-AASHTO SURVEY 3

This anonymous, online survey was made available to DOT executives and legislators in the 50 states, the District of Columbia and Puerto Rico. The survey allowed respondents to share anonymously their experiences and thoughts about interactions between the DOT and the legislature in their respective states. Thirty legislators and 26 DOT officials responded. (Organizations that responded to Survey 3 are not listed in Appendix C due to the anonymity of the responses.)

NCSL-AASHTO Survey for State Legislators (or) NCSL-AASHTO Survey for State Departments of Transportation (DOTs)

Thank you for taking the time to participate in this survey. This survey should only take 5 – 10 minutes of your time.

All of your answers will be completely confidential.

This survey is part of a collaborative research project of the National Conference of State Legislatures (NCSL) and the American Association of State Highway and Transportation Officials (AASHTO). By completing this survey, you are contributing to a new, foundational resource that will help DOT personnel and state legislators better understand and navigate intergovernmental arrangements.

If you have any questions about this survey or the NCSL-AASHTO study, please contact Jaime Rall at jaime.rall@ncsl.org or 303-856-1417.

1. Please indicate your level of agreement with each of the following statements.

	Disagree Strongly	Disagree	Neither Agree nor Disagree	Agree	Agree Strongly
The legislature and DOT in my state work together effectively.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The DOT in my state generally acts in the public's best interest.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The legislature in my state generally acts in the public's best interest.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The DOT in my state is open and transparent in how it shares information about its activities and decisions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Disagree Strongly	Disagree	Neither Agree nor Disagree	Agree	Agree Strongly
Legislators in my state are committed to public service, not political or personal interest, when making transportation-related decisions.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
There is an appropriate balance of power in my state between the DOT and the legislature.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The legislative process in my state introduces unnecessary bureaucracy or delay into transportation-related activities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The DOT in my state should be subject to additional independent oversight and accountability.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The legislature in my state understands how a government agency like the DOT operates in practice.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The DOT in my state is a responsible steward of public resources, with minimal fraud or waste.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The public meaningfully influences the decision-making process for transportation projects in my state.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The DOT in my state acts in a way that is consistent with legislative intent.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The state legislature has a fundamental responsibility to oversee operations at the DOT.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The public is made sufficiently aware of significant transportation policy and budget decisions made by the DOT in my state.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The public is made sufficiently aware of significant transportation policy and budget decisions made by the legislature in my state.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Transportation projects in my state are chosen based primarily on merit, not political, personal or other considerations.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. What has worked well in your state, in terms of interactions between the legislature and the DOT? _____

3. What has NOT worked well in your state, in terms of interactions between the legislature and the DOT? _____

4. What challenges, problems or tensions exist between your state's DOT and legislature? _____

5. Please share any lessons learned, best practices or recommendations for DOT-legislative interactions. _____

6. Additional comments (optional): _____

7. Please enter your e-mail address here (optional) if you would like to see the final results of this study. ** IF YOU CHOOSE TO SHARE YOUR E-MAIL ADDRESS, YOUR SURVEY ANSWERS WILL STILL BE COMPLETELY CONFIDENTIAL. ** _____

Thank you for your participation in this survey! Please click "done" to submit your response.

NCSL-AASHTO SURVEY 4

This brief questionnaire was distributed through the National Legislative Program Evaluation Society (NLPES) listserv to gather information about legislative program evaluations and audits of state DOTs. Eight states—Connecticut, Florida, Pennsylvania, South Carolina, Tennessee, Washington, Wisconsin and West Virginia—responded. Responding organizations are included in Appendix C.

NCSL is working on a research project that looks at how state departments of transportation (DOTs) are reviewed and overseen by state legislatures. Here is a list of our most pressing questions. Thanks for your help.

- Are you required to do periodic evaluations of your state's DOT (i.e., at regular intervals, rather than initiated by specific directive or request)? If so, how do these audits or evaluations differ from other agency audits or evaluations conducted by your office?
- What guidelines, standards or processes do you use in completing audits or evaluations of your state's DOT?
- Have any recent audits or evaluations of your state's DOT garnered media or public attention?

Thank you again for your assistance.

Jaime Rall, NCSL Transportation Program
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