Department of Transportation

APPROPS COMMITTEE - Transp Subcommittee Questions

For Work session meeting – 3/16/2021

1. **How many positions do you have appropriated? How many are filled? How many vacancies and what is the status of approval?**

   Agency response:

   DOT's FY 2021 Authorized count is **3387**

   As of *3/11/2021*, **3065** positions were filled

   As of 3*/11/2021*, there are **322** vacancies; 222 are approved or pending approval *(88 positions in the system at various stages of approval with DAS/OPM and 134 approved to fill).*

Here is a table (as provided in past sessions) reflecting a summary of positions authorized by the legislature in recent years, along with what the Governor recommends in his FY 2022 FY2023 budget:

DEPARTMENT OF TRANSPORTATION - CHANGES TO AUTHORIZED POSITION COUNT								
Authorized Count >	**3279**	**3352**	**3357**	**3362**	**3387**	**3387**	**3361**	**3368**
	PA 15-244	*PA 16-2*	*PA 17-2*	*PA 18-81*	*PA 19-117*	*PA 19-117*	Gov Rec	Gov Rec
"Project" Initiatives	**FY2016**	**FY2017**	**FY2018**	**FY2019**	**FY2020**	**FY2021**	**FY2022**	**FY2023**
Delivery of Long-Term Expanded Capital Program	37	39						
Pilot Expedited Transportation Investment Program	10							
Project Management System	3							
Maintainers for Bridge Maintenance and Rehabilitation	20	20						
Public transportation - Rail Bridge Inspection	4							
Bridge Safety and Inspection			5	5				
Other Changes to Authorized Count								
Transfer HR/Labor Relations to DAS/OPM							-26	
Implement Highway User Tax (DRS)								7
Restore Rest Area positions					25			
Additional Maintainers to "fully staff trucks"	15	15						
Establish Connecticut Port Authority	2							
Transfer Harbor Liaison to DEEP		-1						
Grand Total Changes to Authorized Count	**91**	**73**	**5**	**5**	**25**	**0**	**-26**	**7**

Below is a chart showing historical position Authorized and Filled counts:

Department of Transportation				
Historical Position Counts				
Fiscal Year	**Authorized Positions**	**Filled Positions**	*as of*	*vacant positions approved/ pending approval for refill:*
2021	**3387**	**3065**	*3/11/2021*	*222*
2020	3387	3074	*6/30/2020*	
2019	3362	2885	*7/1/2019*	
2018	3357	2891	*7/2/2018*	
2017	3352	2988	*6/30/2017*	
2016	3279	3088	*6/30/2016*	

Please note, the Department's positions are funded by a combination of Personal Services and federal/other project funding. The level of PS funding provided has been offset by the assumption there will be regular turnover. While in recent years the Department's filled count has been less than its Authorized Count, many currently vacant positions are in the process of being filled, and the Department contends that all Authorized positions are critical to its operations and the ability to fulfill its mission. With a large number of staff expected to depart in 2022, it is critical that the Department's workforce be developed now with the appropriate expertise to meet the challenges of implementing Connecticut's transportation initiatives in the coming years.

2. Provide details on federal COVID relief funds received

Agency response:

See *below:*

Summary of Federal Funds Apportioned to the Connecticut Department of Transportation under

CARES Act
The Coronavirus Aid, Relief, and Economic Security Act
and
CRRSAA
Coronavirus Response and Relief Supplemental Appropriation Act

February 22, 2021

This summary provides an overview of the federal funds the State of Connecticut has received from the Federal Transit Administration (FTA) and the Federal Highway Administration (FHWA) through the CARES Act and the CRRSAA for COVID relief. There has been roughly $961.5M apportioned to Connecticut through these Acts for relief, response, and recovery from the impacts of COVID-19.

It should be noted that in addition to the funds identified above, that DOT was also allotted $343,837 from OPM through the Coronavirus Relief Fund, which was separate from the amounts above and not included in the total summary below. These funds were utilized in state fiscal year 2020 for limited staff overtime, excess sanitizing costs of DOT facilities, and minor equipment.

Most of the funding comes from FTA under Section 5307, which directly supports public transportation within the state. It should be noted that there were no funds apportioned through FHWA in the CARES Act, and roughly $125M in the CRRSAA.

The proposed budget by Governor Lamont includes $100M in each year of the budget (FY22 and FY23), for "Temporary Federal Support for Transportation Operations" which utilizes these federal funds as a revenue backstop to support the balance of the Special Transportation Fund by recovering operational expenditures that are allowable under the federal grants. Though it does not appear in the Governor's budget as it is for the current year, an additional $50M of the funds will be utilized the same way in this fiscal year to offset a part of the revenue loss experienced due to COVID-19. This makes a total of $250M of these Federal funds that directly support the stability of the STF, in addition to covering lost operating revenues on our public transportation systems.

CARES Act
The Coronavirus Aid, Relief, and Economic Security Act

Background:
The federal CARES Act was signed into law on March 27, 2020 and allows for eligible expenditures related to the COVID-19 Pandemic to be covered going back to January 20, 2020.

For the Federal Transit Administration (FTA), the CARES Act apportioned funding under two federal funding sources for a total amount available to Connecticut of **$487,560,652**. See Table 1 below.

The first federal funding source, and the predominance of the funding, in the final amount of **$477,420,153,** was apportioned by Urbanized Area in the Section 5307 program and included the Section 5340 and 5337 funds in the Section 5307 apportionment. Traditionally, the Section 5307 program provides funding to public transit systems in Urbanized Areas for public transportation capital and planning projects as well as operating expenses in certain circumstances.

Additionally, FTA apportioned funding under the Section 5311 Program for a total amount of **$10,140,499**. Traditionally, the Section 5311 Program provides funding to states for capital, planning and operating assistance to support public transportation in rural areas.

Under the Act, funding is provided under both federal sources, to prevent, prepare for, and respond to COVID-19. Funds are available for all operating activities (net fare revenues) that occurred on or after January 20, 2020. In general, operating expenses are those costs necessary to operate, maintain, and manage a public transportation system. Operating expenses usually include such costs as driver salaries, fuel, and items having a useful life of less than one year, including personal protective equipment and cleaning supplies.

CARES Budget
This will support projected farebox loss and expenses through SFY2022.

Rural Area Transit District Section 5311 support	$10,140,499
Transit District Awards	$38,700,000
CT Transit Farebox loss and COVID related expense	$55,000,000
NHL Farebox loss and COVID related expense	$377,620,153
SLE Farebox loss and COVID related expense	$6,100,000
Grand Total CARES Act	***$487,560,652***

CRRSAA

Coronavirus Response and Relief Supplemental Appropriation Act

Background:

The Coronavirus Response and Relief Supplemental Appropriations Act, 2021 of Consolidated Appropriations Act, 2021 was signed into law December 27, 2020. This bill provides additional funding for COVID relief to Connecticut through the FHWA and the FTA, unlike the CARES Act which previously only provided funding through FTA. These funds provide security to the Connecticut Department of Transportation (CTDOT) and the state's transit districts to help pay for operating costs in lieu of lost revenue from such areas as reduced tax collections (e.g., fuel tax, oil companies' tax, sales tax) and transit farebox revenue. The CTDOT intends on taking every step necessary to utilize these funds to provide stability to the Connecticut Special Transportation Fund (STF) as this legislation intended to do.

It should be noted that at this time we have not received final guidance from FTA or FHWA as to the allowable use of these funds, but based on the language in the legislation, we have made the determinations included here. The numbers below may change slightly. The final determination of funding allotments to the state and the final utility of those funds will need to be directed and approved by the federal granting agency.

Anticipated use of the funds:

The goal of the proposal below is to ensure stability of the STF, at least to the best state possible up to the amount of the funds in this apportionment. It is anticipated that this process could offset in excess of $250M of lost STF revenue due to COVID-19, while also continuing critical services. The amounts identified incorporate the planned service level reductions already proposed in the agency's biennial budget submission.

These funds will continue to recover anticipated lost public transportation farebox revenue due to lost ridership through FY23 and provide a revenue backstop to STF revenue losses we are experiencing in Fuel Tax, Oil Company Tax, and Sales and Use Tax, by utilizing these funds to cover specific allowable operational expenses and recover those costs from the federal funds into the STF, up to the amount of the projected revenue losses annually until the funds are consumed. This stabilizes the revenue of the fund to pre-COVID anticipated numbers, does not inflate the expected revenue, nor does it understate the state appropriated expenditures on record.

CRRSAA Summary

The recommendations above, once approved by the USDOT, would result in the following result.

- Lost farebox revenue would be 100% covered through FY23, based on current estimates, which will prevent increased deficiencies above the state appropriation due to reduced ridership on all bus and rail except the Hartford Line, as it is not eligible under Section 5307. These covered services include the New Haven Line and all its branches, Shoreline East, and Connecticut Transit.
- Transit Districts would be supported to ensure operation without service disruption and increased deficiencies through FY23.
- The STF would recover lost revenue of roughly $250M by using grant funds to pay for budgeted operating expenditures in Bus, Rail and Highway operations and maintenance.
    - Flexibility can be given to timing the revenue components for biennial budget purposes.
- Any additional reductions to service that result in operational cost savings could increase the funding available to be used to backstop lost state revenue.

Summary of CRRSAA - FTA and FHWA Allocations	
FTA - Split to Transit Districts for Operating	$15,000,000
FTA - Rail and Bus Farebox Loss through FY23	$205,000,000
FTA - Recovery of appropriated Rail and Bus Operating Expense	$129,341,797
FHWA - Recovery of appropriated Highway Maintenance and Operating Expense	$124,690,154
Grand Total CRRSAA	***$474,031,951***

3. Provide update on UPASS program, including ridership statistics and projections

Agency response:

DOT, CSCU and UCONN renegotiated the U-Pass arrangements for SFY 2021 because of COVID 19. Since student on-campus presence was significantly impacted, students that were not on-campus for courses were not included in the program. At UCONN only 5,117 U-Passes were distributed in fall 2020 compared with nearly 12,000 in fall 2019.

Due to COVID 19, in April 2020 customers were directed to board at the rear-door and the farebox was not used. This means there is no U-Pass ridership data until front-door boarding restarted in October 2020. (Dates vary by system.) U-Pass ridership for calendar year 2019 was approximately 2,200,000.

DOT is in negotiations now for the SFY 2022 U-Pass program with CSCU and UCONN assuming normal operations in fall 2021. In general, ridership projections estimate that it will take time to return to normal. For example, NHL ridership is anticipated to return to 90% of pre-COVID ridership by 2024. DOT anticipates faster ridership return for U-Pass customers as they are less likely to have a car available for the trip.

4. a. Provide update on Rail passenger ridership and subsidy analysis for each line.

Agency response: see below for New Haven Line, Shoreline East and Hartford Line actual annual ridership by month from July 2019 to the most recent data available (with months impacted by the COVID pandemic shaded.)

Rail Service Ridership

SFY 2019-Present

	SFY 2019	SFY 2020												SFY 2020
	Total	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Total
New Haven Line	40,374,944	3,505,496	3,414,142	3,300,567	3,604,229	3,229,718	3,409,484	3,181,077	2,915,570	1,297,614	182,018	214,805	363,369	28,618,089
% chg from same month in 2019										-60.4%	-94.7%	-93.9%	-89.5%	-29.1%
Shoreline East	595,477	62,203	65,828	65,808	56,966	51,238	51,481	48,797	45,193	23,740	1,399	1,544	3,463	477,660
% chg from same month in 2019										-53.2%	-97.3%	-97.4%	-93.9%	-19.8%
Hartford Line	658,300	61,844	65,149	64,024	68,558	70,388	64,596	73,696	55,558	27,617	4,362	6,135	10,463	572,390
% chg from same month in 2019										-51.7%	-92.7%	-90.1%	-82.9%	-13.1%

	SFY 2021 (to date)						
	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20	Dec-20	Jan-20
New Haven Line	578,630	596,229	737,360	803,444	675,575	640,566	615,698
% chg from same month in 2019	-83.5%	-82.5%	-77.7%	-77.7%	-79.1%	-81.2%	-80.6%
Shoreline East	5,387	5,391	5,962	5,873	4,919	4,223	4,206
% chg from same month in 2019	-91.3%	-91.8%	-90.9%	-89.7%	-90.4%	-91.8%	-91.4%
Hartford Line	15,209	16,095	18,402	20,105	16,550	15,408	15,340
% chg from same month in 2019	-75.4%	-75.3%	-71.3%	-70.7%	-76.5%	-76.1%	-79.2%

See below for a Rail Operations Subsidy analysis projected for the biennium:

Rail Operations Subsidy Analysis

SFY 2022-2023

	SFY 2022			SFY 2023		
	Total Expenses	Subsidy-DOT Share	Subsidy %	Total Expenses	Subsidy-DOT Share	Subsidy %
* **New Haven Line**	$ 547,049,351	$ 85,195,531	15.6%	$ 566,597,338	$ 96,132,675	17.0%
* **Shoreline East**	$ 21,274,411	$ 20,814,521	97.8%	$ 27,421,467	$ 23,107,867	84.3%
Hartford Line (TASI)	$ 31,467,579	$ 28,579,090	90.8%	$ 32,374,954	$ 25,677,475	79.3%

* DOT Share of subsidy is net of FTA Cares Act Funding

4. b. Provide update on Bus passenger ridership and subsidy analysis.

Agency response:

See below for Ct Transit fixed route/express service, Transit District/NETCO/NBT/Dattco fixed route service and Express Bus Service annual ridership by month from July 2019 to the most recent data available (with months impacted by the COVID pandemic shaded.)

Bus Service Ridership
SFY 2019-Present

	SFY 2019	SFY 2020												SFY 2020
	Total	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	Total
CT Transit *(Fixed Rte/Express)*	**26,110,443**	2,194,668	2,179,232	2,260,023	2,582,152	2,124,475	2,029,496	2,246,218	2,166,526	1,694,141	1,026,915	1,100,081	1,405,893	**23,009,820**
% chg from prior yr monthly avg										-22.1%	-52.8%	-49.4%	-35.4%	-11.9%
Transit Districts /NETCO/ NBT/Dattco *(Fixed Rte)*	**11,665,463**	994,298	1,060,558	1,037,371	1,117,383	989,991	925,124	965,479	940,316	719,952	341,463	477,036	503,552	**10,072,523**
% chg from prior yr monthly avg										-25.9%	-64.9%	-50.9%	-48.2%	-13.7%
Commuter Express	**392,244**	32,575	31,761	30,890	34,120	28,049	23,833	32,901	29,973	18,051	5,136	5,625	7,519	**280,433**
% chg from prior yr monthly avg										-44.8%	-84.3%	-82.8%	-77.0%	-28.5%

	SFY 2021 (to date)						
	Jul-20	Aug-20	Sep-20	Oct-20	Nov-20	Dec-20	Jan-20
CT Transit *(Fixed Rte/Express)*	1,562,320	1,559,517	1,712,669	1,511,753	1,279,270	1,223,285	1,173,021
% chg from same month in 2019	-28.8%	-28.4%	-24.2%	-41.5%	-39.8%	-39.7%	-47.8%
Transit Districts /NETCO/ NBT/Dattco *(Fixed Rte)*	577,515	623,826	665,112	676,986	560,893	527,148	
% chg from same month in 2019	-41.9%	-41.2%	-35.9%	-39.4%	-43.3%	-43.0%	
Commuter Express	9,003	9,360	10,145	7,331	5,516	5,042	
% chg from same month in 2019	-72.4%	-70.5%	-67.2%	-78.5%	-80.3%	-78.8%	

See below for a Bus Operations Subsidy analysis projected for the biennium:

Bus Operations Subsidy Analysis
SFY 2022-2023

	SFY 2022			SFY 2023		
	Total Expenses	Subsidy-DOT Share	Subsidy %	Total Expenses	Subsidy-DOT Share	Subsidy %
CTTransit	$ 171,514,229	$ 136,875,139	79.8%	$ 175,324,075	$ 140,684,594	80.2%

5. Provide background on Pay-as-you Go. How will projects be prioritized under the additional proposed funding? (Provide substantial details/info on PAYGO proposal)

Agency response:

The Pay-as-you-Go Transportation Projects (PAYGO) account, in DOT's STF *appropriated* budget, augments the Capital program by funding transportation infrastructure maintenance and improvements that have shorter life thus typically considered non-bondable, including resurfacing costs, liquid surface treatment, pavement crack repair, line striping, bridge inspection operations, bridge joint repair and painting, and major maintenance operations; and also by providing the state match to Federal funds to support the Highway Operations Incident Management Centers.
In FY 2021 and in recent years, $13.7 million has been appropriated annually in PAYGO.

The Governor's proposed PAYGO appropriation provides $3.7 million annually for tree maintenance; and an additional **$100 million in FY 2022 and $200 million in FY 2023** to support capital projects.
This investment will allow for a reduced bond issuance amount, thereby reducing the state's long term debt service while continuing project delivery. Ultimately, the use of "cash" (i.e., appropriated funds) is in the budget to reduce long term structural problems. Debt service is the fastest growing line item and will quickly exceed $1.0 billion over the next 5 years. Revenues are not going to be able to keep up with this level of increase, so the state must turn to other methods of project delivery to reduce that burden.

The **FY 2022** funds are expected to be utilized to fund preservation projects such as the following:

Maintenance Resurfacing Program (VIP)	$69M
Bridge Repair Unit (BRU)	$24M
Bridge Expansion Joints after VIP	$5M

The **FY 2023** funds are expected to be utilized to support preservation projects such as the following:

Maintenance Resurfacing Program (VIP)	$69M
Bridge Repair Unit (BRU)	$24M
Bridge Expansion Joints after VIP	$5M
Pavement Preservation Program (E&C)	$50M
Bridge Pin and Hanger Repairs Statewide	$10M
Safety Improvements w/ VIP	$22M
(line striping, traffic detection, signs, guiderail)	
ADA Ramps and Sidewalks	$6M
Rail Maintenance Facilities – SOGR	$5M
Community Connectivity	$5M
Additional Bus Customer Service Features	$2M
(bus shelters - messaging, lighting, seats, etc.)	

6. Waterbury Mixmaster update

Agency response:

See below for a project summary; also, attached is the latest quarterly report as of December 2020.

Route 8 / I-84 Mixmaster Rehabilitation
Project Update Summary – March 3, 2021

Original Contract Amount: $152,960,945.27
Revised Approved CO Contract Amount: $179,473,401.45
Estimated Contract Completion Amount: $200,000,000.00
Contract Start Date: June 1, 2018
Original Contract Duration: 1563 days
Original Contract Completion Date: September 10, 2022
Estimated Contract Substantial Completion Date: November 30, 2022
Current Amount Expended to Date: $107,816,835.04 (as of February 15, 2021)
Percent Complete: 60.0% (as of February 15, 2021)

Bridge	% Complete	Estimated Completion Date
Route 8 Southbound to I-84 Eastbound (Bridge #03191D)	88%	April 2022
Route 8 Northbound to I-84 Westbound (Bridge #03190F)	51%	December 2021
Route 8 Northbound to Riverside Street Northbound (Bridge #03190E)	83%	December 2021
I-84 Westbound to Route 8 Southbound (Bridge #03190D)	67%	September 2021
Route 8 Southbound (Bridge #03190B): Full Deck Replacement	57%	September 2021
Route 8 Northbound (Bridge #03190A): Full Deck Replacement	69%	September 2021
I-84 Westbound (Bridge #03191B)	54%	April 2022
I-84 Westbound to Route 8 Northbound (Bridge #03191E)	46%	August 2022
I-84 Eastbound (Bridge #03191A)	14%	November 2022
Route 8 Northbound to I-84 Eastbound (Bridge #03190C)	50%	September 2022
Temporary Bypass Removal	0%	August 2022 (after Northbound is open)
Restoration of Exit 35 U-Turn	0%	November 2022

7. Waterbury Branch Line update

Agency response:

In 2019, the Waterbury Line averaged 1,120 rides per day served by 15 trains every day. During COVID, the line serves approximately 460 rides per day or approximately 60% of normal ridership. This compares with 80% ridership declines on the New Haven Line. Some recently completed improvements at the Waterbury station includes new signage, improved landscaping, new pavement, new benches and sidewalk.

CTDOT and Metro-North have made substantial progress on the installation of a signal system and new passing sidings. The lower ridership has allowed for temporary Waterbury Line service outages to keep the construction program on schedule. CTDOT has authorized further service outages this summer to complete additional work, such as railroad tie replacement, before expanded service begins next year. Other construction activities to be completed this year (2021) include: Upgrades to the communication & signal system; track improvements; activation of rail sidings; bridge repairs in Derby, Seymour & Naugatuck; and the installation of EV chargers at the Waterbury station. The completion of this work will bring Positive Train Control to the line.

CTDOT is currently working with Metro-North to provide more robust train service, beginning with the introduction of seven new train departures in 2022. Also, CTDOT is beginning the design work for new high-level platforms. Finally, another major initiative includes the Waterbury Line Master Improvement plan. The plan will include long-term recommendations for service, equipment and infrastructure along the line.

8. TCI – Provide written information on TCI goals discussed in hearing. *(Discussion included reducing ghg by 26%, these 3 MOU states contribute X to pollution, removing particulate matter and benefits to asthma.)*

Provide additional information on TCI, including:

(1) consolidated schedule of funding sources and uses for the program, including administrative costs, bus subsidies and community set-asides.

Agency response:

Subsection (c) of the bill allows a portion of program proceeds, not to exceed five per cent of the total annual projected allowance value, to be used to cover the reasonable administrative costs of implementing TCI-P in the state. These costs include, among other things, agency programmatic staffing resources, engagement with communities that are overburdened by air pollution and underserved by the transportation system, the startup and operating costs of the TCI-P Administrative Organization (AO). Consistent with the Regional Greenhouse Gas Initiative authorizing statute, section 22a-200c of the general statutes, subsection (c) of the bill permits these funds to be used to fund assessment and planning of measures to reduce emissions and mitigate the impacts of climate change and to cover the reasonable administrative costs of state agencies associated with the adoption of regulations, plans and policies in accordance with section 22a-200a of the general statutes, the state's economy-wide greenhouse gas reduction targets.

Pursuant to the TCI-P Memorandum of Understanding (MOU), The AO is a non-profit entity governed by a board of directors comprised of two representatives from each TCI-P participating jurisdiction. Its purpose is to provide administrative support and technical assistance to TCI-P participating jurisdictions in connection with the implementation of the regional components of the program, including general administration, emissions and allowance tracking, and auction administration. The TCI-P AO will be structured based on the example of RGGI, Inc., the non-profit entity that facilitates the Regional Greenhouse Gas Initiative for the regional electricity sector. The AO will have no authority to adopt, implement or enforce TCI-P or any TCI-P participating jurisdiction's individual program, including the investment of Connecticut's auction proceeds.

The AO will be funded by payments from each TCI-P participating jurisdiction in proportion to the TCI-P participating jurisdiction's annual base CO2 emissions budget. The AO's budget will be determined and approved by consensus of the Administrative Organization's executive board, i.e. the participating jurisdictions. The participating jurisdictions are in the initial phase of establishing the AO and exploring the potential costs associated with that process and its ongoing operations.

Subsection (d) of the bill provides that auction proceeds shall be deposited into a Transportation and Climate account established by the Comptroller as a separate, nonlapsing account within the Transportation Grants and Restricted Accounts Fund, and shall not be considered pledged revenue under section 13b-61 of the general statutes as amended by the bill. Subsection (e) of the bill directs both agencies, with the approval of OPM, to invest auction proceeds in strategies designed to reduce greenhouse gas emissions and air pollution from the transportation sector. The bill also provides that not less than thirty-five per cent of proceeds must be invested in a manner designed to ensure communities that are overburdened by air pollution or underserved by the transportation system benefit from transportation projects and policies that reduce emissions from transportation sources. The budget anticipates a program start date of January 1, 2023 with an estimated $24.3 million to be used to support public transit investments in FY 2023.

(2) explanation of the roles of each state agency involved in the program.

Agency response:

In general, the bill contemplates that DEEP and DOT will jointly implement TCI-P in Connecticut. Subsections (a) and (b) of the bill provide DEEP with limited authority to promulgate regulations to implement the program. Subsection (e) directs both agencies, with the approval of OPM, to invest auction proceeds in strategies designed to reduce greenhouse gas emissions and air pollution from the transportation sector. The bill also directs DEEP and DOT to invest not less than thirty-five per cent of proceeds in a manner designed to ensure communities that are overburdened by air pollution or underserved by the transportation system benefit from transportation projects and policies that reduce emissions from transportation sources. Subsection (f) describes both agencies' shared role in connection with the establishment of an Equity Advisory Board to advise on decision making and equitable outcomes for the program, and to facilitate input from communities that are overburdened by air pollution and underserved by the transportation system. Subsection (g) directs DEEP and DOT to publish an annual report of the proceeds and investments of the program, including the equitable investment of auction proceeds, and to provide an annual opportunity for the public to review and comment on the program.

DEEP and DOT are actively engaged with transportation, equity, and environmental justice advocates and community residents to develop these commitments, definitions, and processes as the legislative session progresses with the goal of developing mutual recommendations to enhance the equity and environmental justice provisions of the bill, including the mission, structure, and function of the Equity Advisory Body.

(3) explanation of who will decide and how community set-aside amounts and recipients will be determined.

Agency response: See above.

(4) which communities are eligible for the program

Agency response:

All communities in Connecticut would be eligible to see investments with TCI proceeds. One subject of the ongoing discussions among DEEP, DOT, and equity and environmental justice stakeholders is how to define and identify communities that are overburdened by air pollution and underserved by the transportation system, as the legislation and the MOU commit at least 35% of the proceeds be invested to directly benefit those communities overburdened by air pollution and underserved by transportation.

(5) revenue projections for the program, including an explanation of the assumptions used and the calculations themselves.

Agency response:

Table: TCI-P CO2 emissions budget and projected allowance prices and proceeds

Year = CALENDAR YEAR

Year	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032
Emissions budget (CO_2 tonnes million)	13.50	13.05	12.60	12.15	11.61	11.70	10.80	10.35	9.90	9.45
Projected allowance price ($)	6.56	7.05	7.58	8.15	8.74	9.38	10.05	10.79	11.57	12.42
Projected proceeds ($million)	**88.55**	**91.99**	**95.49**	**99.00**	**102.24**	**105.51**	**108.52**	**111.66**	**114.53**	**117.35**

Dollars adjusted for expected inflation. *Projected proceeds* (row 3) in any given year are calculated by multiplying Connecticut's *CO_2 emissions allowance budget* (row 1) by *projected allowance prices* (row 2) in that year.

Connecticut's *CO_2 emissions allowance budget* reflect the state's share of the regional CO_2 emissions cap. It represents the number of allowances the state will offer for sale at auction in any given year. Connecticut's

budget is established in Section 2.A. of the MOU and will be specified in Connecticut's implementing regulation consistent with the TCI-P Model Rule.

Allowance price projections are based on extensive modeling of a variety of factors, including oil prices, technology costs, other state and federal policies, and the effect of the cap and investments made with TCI-P proceeds on allowance prices. The National Energy Modeling System (NEMS), developed and maintained by the U.S. Energy Information Administration, was modified for use in the TCI region to create a modeling tool called TCI-NEMS. TCI-NEMS was used as the primary modeling tool to better understand trends in both the transportation and electricity sectors with and without a new TCI cap-and-invest program. An investment strategy modeling tool was used to estimate the effect of investing auction proceeds in a wide variety of low-carbon transportation technologies and programs, and those effects were fed back into the TCI-NEMS model. The Regional Economics Models, Inc. (REMI) model, a dynamic forecasting and policy analysis tool commonly used to evaluate the macroeconomic effects of energy and environmental policies, was used to project macroeconomic impacts, including changes in economic growth, income, and employment.

Explanations of the TCI-P modeling framework, detailed modeling inputs and outputs, and other TCI-P modeling resources are available here. A summary of the TCI-P modeling is available here.

Highway Use Tax - Additional details on HUT

Agency response:

Highway Use Taxes

Highway Use Taxes (HUT) are mileage-based taxes typically placed on heavy weight vehicles. The calculation for each fee is fairly straightforward with only some differences between states:

$$HUT\ Total = Weight\ rate * Number\ of\ Miles\ Driven$$

Although the name suggests otherwise, HUTs do apply to non-highway driving. **This would capture any driving that would occur on local roads and would be challenging to limit to strictly state and federal highways as truck companies would struggle to report accurately.**

Background

Oregon

In Oregon the state requires each trucker, whose total operating weight exceeds 26,000lbs, to file a mileage-based fee. The drivers must use an average declared weight in order to determine the rate they must pay and then multiply that rate by the total miles driven through the state. Oregon does not differentiate between gross weight or unladen weight. They do provide the opportunity to pre-pay the amount if it is either a one-time event or if the weight is excessively high. The tax generates roughly $360 million per year.

Oregon breaks up the tax rate by 2,000lb increments. The fee ranges from 6.5 cents at 26,000lbs to 21.5 cents at 78,001lbs. Oregon also has a separate set of fees for trucks over 80,000lbs which ranges from 21 cents to 30 cents. All drivers are required to display an Oregon HUT sticker.

The state also provides a significant amount of data on the infrastructure cost of different vehicle classifications on the road. Revenue services is required to produce a report every two years on the cost allocation of infrastructure. The rates are based on the state's analysis on the cost impact of these heavy weight vehicles. Just as a point of reference, the Oregon gas tax is 36 cents (there are local taxes).

New York

New York, similar to Oregon, requires each trucker, whose total operating weight exceeds 18,000lbs or whose unladen weight exceeds 7,001lbs, to file a mileage-based fee. Toll roads are exempt from the tax. The tax generates roughly $100 million per year. Drivers have an opportunity to choose a method of determining the weight calculation:

1. Gross Weight: This is exactly the same as Oregon. Drivers declare an average weight over the time period, typically the month, and use that to calculate the rate. New York's rates range from 0.6 cents at 18,001lbs to 3.9 cents at 78,001lbs. Weights above 80,000lbs are assessed an additional 0.2 cents per ton.
2. Unladen Weight: Drivers are required to state the weight of their unloaded vehicle. The rates range from 0.6 cents at 7,001lbs to 1 cent at 16,001lbs. Weights above 18,000lbs are assessed an additional 0.05 cents per ton.

New York also provides different rates for trucks with trailers or without trailers and has exemptions or reductions for vehicles who carry certain products (i.e. raw dairy products).

Connecticut Highway Use Tax

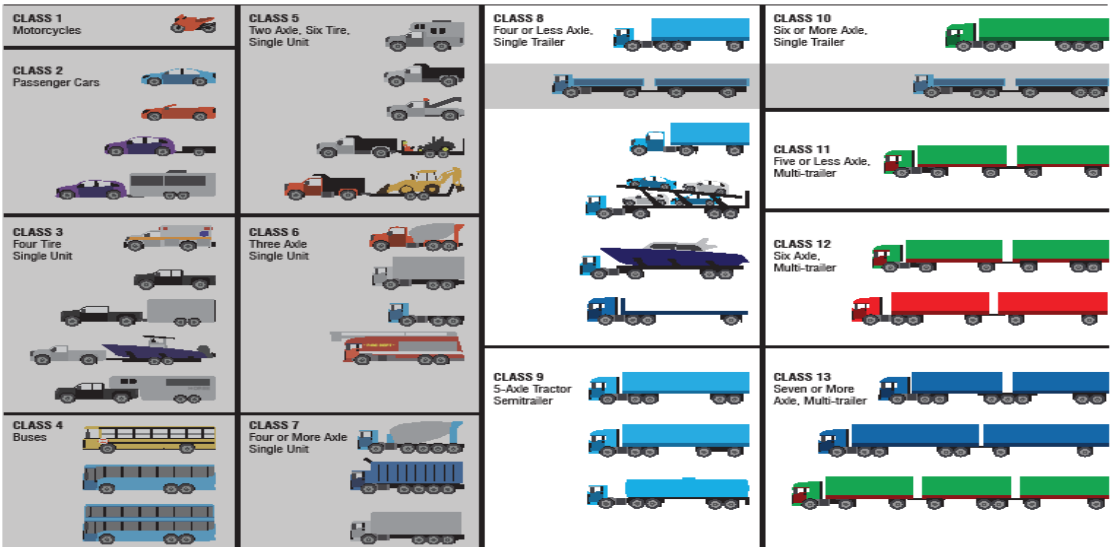
The Office of Policy and Management developed the revenue analysis for this model. Based on discussions assumptions used to develop the model are as follows:

1. Applies to: All class 8 through 13 motor vehicles which are 26,000lbs or above. All Connecticut highways and local roadways will be covered.
2. Weight: Uses a Gross Weight calculation. Weights will be broken up by 2,000lb increments, the same as New York and Oregon. Gross weight was determined to be the best option for the following reasons:
    a. Captures the costs more accurately to the costs associated with increased weight of motor vehicles.
    b. Ensures better compliance to the state and federal overweight requirements as it adds an additional level of scrutiny to vehicle weights.
3. Rates: An upper (at 78,001lbs) and lower bound (at 26,000lbs) rate will be determined. There will be no exponential increase and each step will see a proportional increment increase. This is to increase compliance and avoid "gaming".
4. Reporting (agency cost): DRS will need to develop a new form which will provide the calculation for the Connecticut's HUT.

The design of the model is as follows:

1. Determined Rates:
    a. Lower Rate: 2.5 cents
    b. Upper Rate: 10 cents
    c. Rate Increment: 0.29 cents per 2,000lbs
    d. Overweight (weights in excess of 80,000lbs): 17.5 cents

Truck Classifications - Non-shaded classifications would not be required to file Connecticut's Highway Use Tax.



9. Provide Snow removal account update, and Other Expenses breakout

Agency response: See below for:

A. Snow Program – Operations overview
B. Snow Program - Budget overview
C. History of snow program expenditures FY2015 – FY 2020
D. FY2021 Snow Program Budget status
E. Other Expenses breakout

A. Snow Program - OPERATIONS Overview

During winter weather events, the Department's Bureau of Highway Operations strives to provide reasonably safe travelling conditions throughout the State and to achieve near bare pavement during peak travel times depending on storm severity. CDL Drivers and equipment operators are required to work around the clock during storm events. Operators are typically on duty prior to the arrival of the snow, and stage at strategic locations within their snow runs to provide an adequate initial response. Operators continue to work many hours after the precipitation stops performing necessary cleanup activities. Rest breaks, as regulated by Labor Bargaining Unit Contracts, are required between the seventeenth and twenty-first hour of continuous work. After a three-hour rest break, staff resume driving/operating equipment for another seventeen hours, at which time they are provided a four-hour rest break. This cycle of 17 hours of work with 4 hours of rest continues until the operator is released from duty. During long duration and back-to-back storms, CTDOT drivers become fatigued, which significantly impacts the level of service provided. The Department's ability to respond to a multi-day storm, or series of storms, is significantly diminished when the appropriate level of staffing is not available (i.e., during rest breaks, or in times of staffing shortages*). Supervisors make every attempt to stagger rest periods to maintain the maximum number of trucks on the road, yet the number of idled (parked) trucks during rest periods averages from 5% to 40% or more during long duration storms. *(*Staffing turnover in recent years has been influenced by many Towns/Municipalities that offer better pay than the State, with comparable benefit packages and a 40-hour work week compared to the 37.5-hour work week for Maintenance, NP-2 employees. Also, during the COVID pandemic the absentee rate has risen resulting in staff shortages).*

Contractor utilization is a critical component to maximizing the level of response during these major winter events, enabling the Department to maintain the highway system at a safe and passable level for the public. CT DOT utilizes our supplemental fleet of contractor snow and ice removal trucks to maintain a safe level of travel conditions during those periods when we are not at our full complement of trucks on the road due to mandated rest break periods, breakdowns of equipment, and lack of adequate staffing. In addition, the contractor trucks are required to assist in moving large amounts of snow during periods of heavy snow and when pulling snow across multiple lanes of limited access highway even during lighter snow events. This task takes much longer without the assistance of these hired trucks and can leave potentially unsafe conditions which can be avoided. *(Of note, in recent years, we have not been able to attain the preferred number of contractor trucks required to supplement our CT DOT fleet of snowplow trucks. Due to more stringent requirements during the contractor approval process, Department of Motor Vehicle requirements, increased cost of insurance, and frequency of use by CTDOT, many contractors prefer to be hired by Municipalities (where they are typically used every time it snows and are required to carry less liability insurance) or by private entities with fewer regulations).*

On average, the total overall Department Personal Services costs vs. Contractual Services costs for a season are about 87% in-house payroll vs. 13% contractor. Several factors, including the following, are considered when determining if contractors will be needed:

- Predicted Forecast
- Timing of Storm – Weekday, Weekend, Pre-rush hour, Post rush hour
- Precipitation Type – Snow/Ice, Mix
- Snow Fall Rates – 1" over several hours vs. 1" per hour
- Status of Equipment – How many State Trucks are available
- Status of Personnel – How many plow operators are available - absentee rate *(typically 5%-7%; however during COVID, the rate has been 10%-15%)*

B. Snow Program BUDGET Overview

Department of Transportation - Protection from/Removal of Snow & Ice - Program 34003

Statutory Reference
C.G.S. Sections 13b-24-31 and Chapters 236-242.

Statement of Need and Program Objectives
To assure a reasonably safe and passable condition of the state highway network by maintaining the state highway system during winter storms in a timely manner and at an acceptable level.

Program Description
Snow and ice operations can be divided into two parts: storm activities and post storm activities. A weather advisory service is employed as a consultant to provide forecasting services, both daily routine forecasting and special storm warning forecasting. Equipment maintenance and repair is a vital part of this program. Through the judicious application of salt and liquid chlorides, and with continuous plowing, near bare pavements are provided. In addition to the state highway system, snow and ice operations are also performed on commuter parking lots, other state agency roads and sidewalks on bridges. During intense storm periods, contractors' trucks and equipment are utilized to maintain service levels supplementing state manpower and equipment.

Storm activities include deployment of personnel and equipment including contractors' equipment, plowing operations, and application of snow-melting materials.

Post storm activities include sidewalk snow removal, pushing back (widening the shoulder area by moving snow to the extreme edge of pavement prior to the next storm), pickup of snow, spot salting and treating ice conditions resulting from melting snow, replenishing material stockpiles, changing plow blades and readying equipment for the next storm.

Operating Budget Development

The Department's Operating Budget for the Snow & Ice Program contains **Personal Services** funding for salaries, overtime and differential payments, and **Other Expenses** funding for materials, supplies and contractual services. Annual expenditures vary each year, depending on the timing, duration and number of winter storms and activities.

The Agency budget request submittal is prepared, in accordance with OPM guidelines, as follows.

Personal Services
Regular Salaries – The Department's Personal Services Snow program budget for regular salaries is calculated based on its Roster of full time positions. The Department's Roster file contains salary information by position/employee, and the *percentage* of time each position typically codes to various funding sources/programs, including the Snow & Ice program. Total regular salary amounts are calculated by funding source/program, with any scheduled wage increases applied.

Overtime – The Department's Snow and Ice overtime budget reflects approximately a 5-year average.

Differential – A differential payment is also made to employees working snow overtime. The Department's budget for this line item is calculated based on the average total differential expenditures, which are about 3.4% of total overtime.

Other Expenses
The Department transitioned to the use of liquid chlorides, in addition to salt, during the winter season of 2006-2007, while also phasing out the use of sand. This program provides better results on the roads.

Salt – The Department's requested budget for salt is typically developed by calculating a 5-year average of tons used, times the current unit price *(at the time of budget request submittal)*, adjusted for anticipated inflation.

Liquid Magnesium Chloride - The Department's requested budget for liquid chlorides is typically developed by calculating a 5-year average of gallons used, times the current unit price *(at the time of budget request submittal)*, adjusted for anticipated inflation.

Maintenance Truck Rental – Contractor trucks are called upon during major snow events to supplement the Department's fleet, ensuring quick response to weather conditions and an improved level of service to provide clear and safe roadways for the traveling public. The budget for this line item is developed based on a projected number of participating contractor trucks, multiplied by the anticipated contractually agreed-upon per truck "guaranteed" amount for the season.

Plow Blades – The blade that runs the width of the plow (about 11') must be replaced on plows during the winter season as they wear down. The Department's budget for plow blades is based on the average number of blades requiring replacement in a season, times the average unit prices (at the time of budget request submittal).

When expenditures exceed the Snow Budget

In years when the Department's expenditures for Snow and Ice Removal exceed budgeted amounts, the Department first looks to absorb the costs within funds appropriated for Personal Services and Other Expenses, by using any savings that may have been achieved in other program areas to date. Next, the Department may seek Finance Advisory Committee approval to transfer funds from other Department appropriated funds. Finally, in cases where the Department has exhausted all of its internal resources, a "deficiency" may be requested, where via legislative action, additional funds would be appropriated to the agency from the resources of the Special Transportation Fund.

When there is savings in the Snow Budget

Although rare, in years where the Department's snow program expenditures are *less* than the amount budgeted, savings are typically used to cover shortfalls in other program areas. Historically (in the 1990's and early 2000's), there were occasions where excess snow program funds were transferred (via FAC approval) to facilitate the purchase of additional replacement plow trucks, or to cover shortfalls in other Department appropriations.

C. History of snow program expenditures in recent years.

CT DOT Snow and Ice Program - Expenditure History						
	FY 2015	**FY 2016**	**FY 2017**	**FY 2018**	**FY 2019**	**FY 2020**
# of storms>	*19*	*12*	*12*	*17*	*14*	*6*
Regular Salaries	$7,301,291	$4,103,633	$5,982,689	$6,781,685	$4,470,442	$3,510,005
Overtime	$19,317,227	$9,540,203	$14,951,146	$15,300,716	$14,079,054	$8,750,653
Subtotal Personal Services	$26,618,518	$13,643,836	$20,933,835	$22,082,401	$18,549,496	$12,260,658
Commodities/Other (Salt/LMC/meals,etc)	$19,825,416	$16,639,086	$14,324,951	$14,330,586	$14,100,150	$9,096,936
Contractor Truck Rental	$3,779,100	$1,957,446	$2,464,349	$2,578,763	$3,012,393	$1,903,356
Subtotal Other Expenses	$23,604,516	$18,596,532	$16,789,300	$16,909,349	$17,112,543	$11,000,292
Total CTDOT	**$50,223,034**	**$32,240,368**	**$37,723,135**	**$38,991,750**	**$35,662,039**	**$23,260,950**

D. FY 2021 Snow Program Status as of 3/5/2021

FY 2021 SNOW AND ICE BUDGET SUMMARY					
Snow and Ice Summary as of: 2/20/2021 -- 9 -- Storms this Year			*Projected for remainder of season (on average, 2 storms occur after March 5)*		
	FY21 Budget	**Estimated Costs to Date**	***projected cost of storms & activities after 3/5***	***Projected total exp***	***Projected balance***
Overtime	$ 15,500,000	$ 10,664,408	$ *2,846,408*	***$ 13,510,816***	$ *1,989,184*
Regular Salaries	$ 4,055,523	$ 4,235,663	$ *941,259*	***$ 5,176,922***	$ *(1,121,399)*
SUBTOTAL PS	$ 19,555,523	$ 14,900,072	$ *3,787,666*	***$ 18,687,738***	$ *867,785*
Commodities/Other (Salt, LMC, meals, etc)	$ 13,671,415	$ 9,612,985	$ *4,074,739*	***$ 13,687,724***	$ *(16,309)*
Contractor Truck Rental	$ 2,602,750	$ 3,155,511	$ *300,000*	***$ 3,455,511***	$ *(852,761)*
SUBTOTAL OE	$ 16,274,165	$ 12,768,496	$ *4,374,739*	***$ 17,143,235***	$ *(869,070)*
CURRENT YEAR STF Totals:	**$ 35,829,688**	**$ 27,668,567**	***$ 8,162,405***	***$ 35,830,972***	***$ (1,284)***

- To date this season *(as of March 5, 2021)* there have been 9 storms and 10 winter activities, at an estimated cost of $27.7 million.
- On average two storms occur after March 5.
- Final FY2021 Snow program expenditures will likely be close to our budgeted amount. *(Note: If there is no more snow, we will still have incurred expenses not reflected above for materials purchased in anticipation of weather events including salt, liquid chlorides, blades, repair parts, etc.)*

E. Department of Transportation – Other Expenses Account summary

The **Other Expenses** (OE) account includes funding for contractual services, commodities and sundry charges. For DOT, about 94% of the expenditures from the Other Expenses account are non-discretionary purchases of commodities and services that are required to maintain state roads and highways.

Summary of DOT Other Expenses:

25% = **Snow related expenses** – materials (i.e., Road Salt, Liquid chlorides, plow blades, etc.) and contractual expenses
20% = **Electricity and other utilities** - for 100+ facilities; highway and traffic lighting
11% = **Fuel** - for trucks and other heavy bridge and highway equipment
13% = **Repair costs** – for Highway Maintenance trucks and equipment
10% = **Highway maintenance/electrical items** – such as guiderail, safety barriers, light poles
15% = **Premises operating costs**, **IT costs, phone expenses, drug testing, legal services,** and other non-discretionary costs
6% = other mandatory costs, including Fleet rental, office equipment, supplies, etc.

Breakdown by type of expenditure:

DOT Other Expenses by category

OPM Code		Category	Comments	FY 20 Actual	FY 21 Estimated	FY22 Recommended	FY 23 Recommended
50700		Employee Expenses	Training, safety shoes, essential travel, mileage reimb (eng/inspectors)	$ 179,434	$ 165,920	$ 165,920	$ 165,920
51010		Professional Services	Legal services, medical services/EAP	$ 1,206,452	$ 1,101,617	$ 1,101,617	$ 1,101,617
51500	*	Other Services	Mandatory drug testing, roadway svs (incl marketing/training in FY22/FY23)	$ 1,039,539	$ 885,304	$ 1,310,304	$ 1,435,304
52500	**	Equipment Rental and Maintenance	Contractor trucks, other equipment rental	$ 2,577,292	$ 3,261,351	$ 3,261,351	$ 3,261,351
53000	**	Motor Vehicle Costs	Fuel, truck & equipment repairs and parts, car fleet	$ 11,182,083	$ 10,838,516	$ 10,838,516	$ 10,838,516
53331		Electricity	Highway illumination, traffic lights, and 100+ DOT buildings	$ 7,426,466	$ 7,674,239	$ 7,674,239	$ 7,674,239
53xxx		Other Utilities	Water, sewer, natural gas, oil	$ 1,365,965	$ 1,404,901	$ 1,404,901	$ 1,404,901
53699	**	Premises Expenses	Premises maint/security, snow plow blades, equip parts	$ 8,201,193	$ 7,117,340	$ 7,117,340	$ 7,117,340
53700		Information Technology	IT software, hardware, consultant services	$ 2,874,507	$ 2,334,728	$ 1,599,906	$ 1,599,906
53800		Communications	Telephone, cell phone, IT supplies	$ 1,257,461	$ 1,079,768	$ 1,079,768	$ 1,079,768
54000	**	Purchased Commodities	Salt, LMC, guide rail, light poles, safety barriers, minor equipment	$ 15,346,860	$ 17,126,483	$ 17,126,483	$ 17,126,483
54050	**	Food and Beverages	contractual meals for road crews	$ 350,312	$ 356,629	$ 356,629	$ 356,629
Total				**$ 53,007,564**	**$ 53,346,796**	**$ 53,036,974**	**$ 53,161,974**

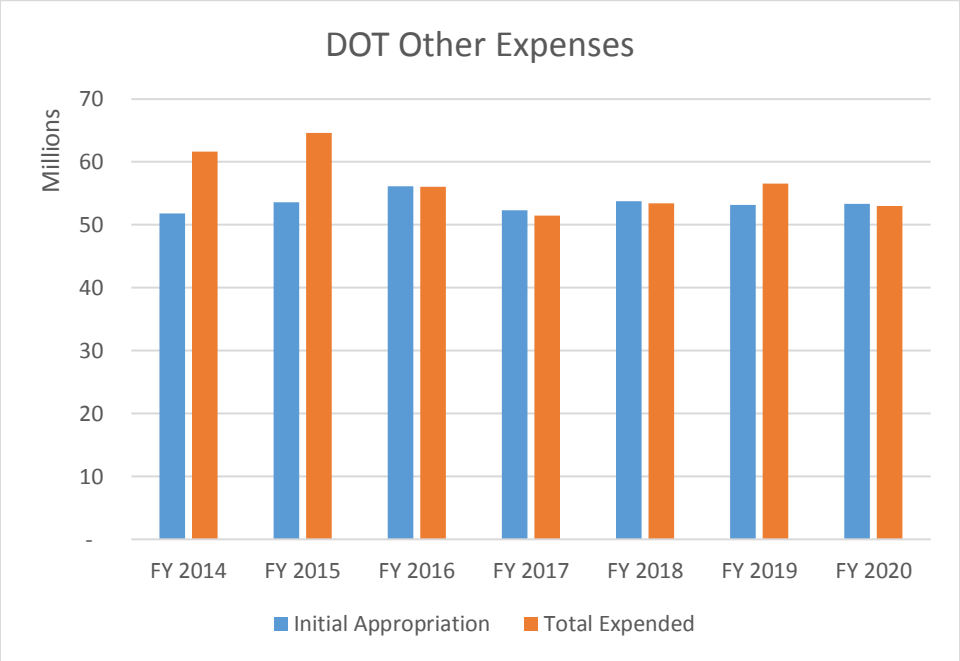
* *Includes funding in FY22 and FY23 proposed for marketing/outreach/training related to Cannabis regulation*
** *Category includes snow-related expenditures. Corresponding budgets are estimated based on an "average" winter.*

The level of expenditures by OE category varies each year, depending on the severity of the winter season, the age of the fleet (which impacts the level of repair required), fluctuating commodity prices, etc. During each fiscal year, the Department monitors expenditures closely to ensure only essential purchases are made; looks for ways to achieve savings; and shifts funds between categories as needed to cover costs. If/when overall OE expenditures are projected to exceed the total amount appropriated in OE, the Department looks for any savings that may have been

achieved in other Department appropriated accounts, and may request approval from the Finance Advisory Committee to transfer funds.

The table and chart below reflect the past 7 years of appropriated and final expended amounts in DOT's Other Expenses account.

DOT OE History (in millions)		
FY	Initial Appropriation	Total Expended
FY 2014	$ 51.8	$ 61.6
FY 2015	$ 53.6	$ 64.6
FY 2016	$ 56.2	$ 56.0
FY 2017	$ 52.3	$ 51.5
FY 2018	$ 53.7	$ 53.4
FY 2019	$ 53.2	$ 56.5
FY 2020	$ 53.3	$ 53.0



10. Federal grants - specific details on what DOT applied for and received with respect to the Infrastructure for rebuilding America grant program.

Agency response:

The Department submitted a 2020 Infrastructure for Rebuilding America (INFRA) Grant application for the **Gold Star Memorial Bridge**, to rehabilitate the northbound span of the bridge, which is a non-redundant (fracture critical) deck truss structure that carries northbound traffic on Interstate 95 and U.S. Route 1 over the Thames River from New London to Groton.
We applied for $42 million. We did not receive any award.

We are planning to resubmit the same project under the 2021 INFRA Grant program.
The application is under development at this time.

11. Tree cutting - Provide information on in-house vs contracted tree removal service, including the use of minority contractors.

Agency response:

The Department's Tree maintenance operations involves trimming and removing trees in the state right of ways, as deemed necessary for the safe and convenient movement of the traveling public. This is accomplished through a combination of in-house staff and equipment as well as contracted tree services that provide essential expertise and equipment to supplement state forces. Contractor assignments include tree maintenance in challenging locations (i.e., around wires and on slopes); and deployment of specialty equipment (not owned by the state) that can handle a larger volume, enabling quicker progress along critical routes.

Department tree maintenance staffing includes **11 expertly trained crews** (with supervision). As of **January 2021**, **50 filled** Department positions are dedicated to tree maintenance, and an additional **8** crewmember positions are vacant/in the process of being approved for refill. When feasible, Maintainers from other areas may be temporarily reassigned to assist tree crews for some tasks. Managers, supervisors and landscape designers continuously evaluate their areas of responsibility to prioritize efforts and address the areas identified as potential hazards to the traveling public. During FY 2019, the Department dedicated 169,346 Regular and 29,260 Overtime personnel-hours to brush cutting, stump removal, tree trimming and tree removal activities. In FY 2020, 163,469 Regular hours and 18,709 overtime hours were incurred. In FY 2021, as of the pay period that ended 01/14/2021 there had been 132,623 Regular hours and 36,434 Overtime hours, including response to Tropical Storm Isaias and the August 27, 2020 storm. Due to the dangerous nature of the work, in order to remove dead and dying trees safely and efficiently, contractors and specialized equipment are also required**.**

Specialized tree contractor services provide the essential expertise and special equipment to supplement CTDOT's staff, to address the rate and volume of failure statewide, the mature size of the trees, challenging locations (behind wires, on slopes, embankments near appurtenances and structures), and the dangerously rapid decay of wood fibers. Through contracts administered by the state Department of Administrative Services for specific tree services, CTDOT hires contractors who are qualified, available and interested in tree work throughout the state. *Of note, some companies may be on a state contract(s) but choose not to take state assignments.*

Since 2018, the Department has utilized 16 various companies on contract for specialty tree services such as:

TYPE 1B – 100 ft Truck mounted crane; 70 ft bucket truck; dump chipper
TYPE III – 50-75 ft bucket truck; chipper
TYPE V – Stumpmaster; 25 ft Boom
Feller Buncher, Chipper/Hauler
Grapple Saw/Chipper
Truck mounted grapple loader
Self-contained tree disposal unit

Of the 16 contractors, three (19%) registered as SBE; four (25%) registered as MBE/women owned companies.

Below is a summary of CTDOT Tree Maintenance expenditures.

CT DOT Tree Removal and Maintenance Expenditures *(in millions)*								
	FY 2014	**FY 2015**	**FY 2016**	**FY 2017**	**FY 2018**	**FY 2019**	**FY 2020**	***FY 2021*** ***(ytd actuals 01/31/21)***
***Agency Personal Services**	**$ 3.96**	**$ 3.72**	**$ 4.89**	**$ 4.10**	**$ 4.09**	**$ 5.50**	**$ 5.07**	*$ 5.20*
**REG and OT. (Does not include Fringe/Equipment cost.) Activities include: Tree removal, stump removal, brush cutting and tree trimming.*								
Total Contractual Services	**$ 1.75**	**$ 1.59**	**$ 1.96**	**$ 0.60**	**$ 0.81**	**$ 5.09**	**$ 5.92**	*$ 2.59*
Total Special Equipment Purchases						**$ 1.77**	**$ 0.70**	**$ 0.28**
Total CTDOT Tree Expenditures	**$5.71**	**$5.31**	**$6.85**	**$4.70**	**$4.90**	**$12.36**	**$11.68**	***$ 8.07***

12. Cannabis bill - advertising and marketing- How will cannabis advertising dollars in DOT be spent? Will this be a contracted service and, if so, how will vendors be chosen? Please also describe any coordination DOT has done with states that have legalized cannabis.

Also, describe use of minority media outlets.

Agency response:

Currently media buys are secured through the solicitation and award of a Media Consultant on the approved DAS list. The approved Consultant would provide which media outlets are most appropriate based on the goal and objective of the messaging. The DOT Highway Safety Office (HSO) typically makes provisions within the contract for both English and Spanish messaging. Media outlets may include TV, radio, billboards, bus panels, social media and gas station radio or liquor store posters. This media buy can be both in English and Spanish. Depending on the funds that are available the buy can be for the entire year or split up into months where there might be an increase in use or as the law is being passed.

National Highway Traffic Safety Administration (NHTSA) funds can and are used to provide training for Advanced Roadside Impaired Driving Enforcement (ARIDE) and Drug Recognition Expert (DRE) training which provides for the education of law enforcement to address impairment related to cannabis and other drugs.

CTDOT engaged with many states on the topic of legalization, through multi-state organizations like the National Governors Association, the Governors Highway Safety Administration, and direct discussions with Massachusetts, New Jersey, Washington, and Oregon to obtain a better understanding of their cannabis legalization efforts, to include successes/failures regarding all aspects of highway safety. Our Traffic Safety Resource Prosecutor (TSRP), Brenda Hans, also networked with TSRP's from states that legalized cannabis for impaired driving enforcement issues, legal opinions, and any other legal challenges that impacted their legislative efforts.

13. Sikorsky update

Agency response:

*** *Waiting for clarification on question***

(Anne reached out to Rep. Rosario, and asked OFA to reach out)

14. Barnum station update

Agency response:

The Department's prior concept plan for a new Barnum Station featured center island platforms to serve local and express trains as well as parking, roadway improvements and station amenities. The station concept required rebuilding of the railroad infrastructure including retaining walls, adjacent bridges and overhead electric catenary structures in the station area. The project was estimated to cost more than $320 million (2016 dollars). The project was canceled in June 2017 due to its high cost and a lack of viable financial plan to advance the project.

Since 2017, the Department has considered a more affordable, scaled back version of the project that would eliminate the center island platforms serving the express trains. This alternative would still be costly, but would preclude Metro-North and Amtrak express services from stopping at the station. The city of Bridgeport preferred a station offering express train service.

The Department's five-year capital program does not include funding for Barnum Station.

The Department is presently developing a long-term plan for the state's passenger rail system, one that emphasizes improved travel times between Connecticut's cities, Bridgeport included. The ongoing study has identified a near-term opportunity to increase maximum train speeds between Bridgeport and Stratford. This program will entail the replacement of Devon moveable bridge, rebuilding of undergrade railroad bridges, realignment of track and other structures.

The Department will also work with the city, GBT, and the legislative delegation on potential investment opportunities to increase transit services and increase access for Bridgeport residents. There are near term opportunities to improve service similar to what has been proposed for CTt*ransit* New Haven service in the governor's 2022-2023 budget.

15. ADA and Non-ADA - Provide a summary/update on the ADA para-transit and non-ADA dial-a-ride programs.

Agency response:

See below for ADA and Non-ADA actual annual ridership by month from July 2019 to the most recent monthly data available.

ADA Para-transit Program/Non-ADA Dial-a-Ride Service Ridership

SFY 2019-Present

	SFY 2019	SFY 2020												SFY 2020
	Total	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20	**Total**
ADA	**1,008,401**	94,687	95,982	93,268	103,855	77,599	71,703	81,453	77,231	52,007	20,043	22,043	29,456	**819,327**
% chg from monthly SFY 2019 avg.										-38.1%	-76.1%	-73.8%	-64.9%	-18.7%
Non-ADA	**11,037**	898	900	796	887	767	728	836	757	701	246	136	195	**7,847**
% chg from monthly SFY 2019 avg.										-23.8%	-73.3%	-85.2%	-78.8%	-28.9%

	SFY 2021						
	Jul-20	**Aug-20**	**Sep-20**	**Oct-20**	**Nov-20**	**Dec-20**	**Jan-21**
ADA	37,988	42,324	48,510	48,754	42,042		
% chg from same month in 2019	-59.9%	-55.9%	-48.0%	-53.1%	-45.8%		
Non-ADA	160	185	221	243	222		
% chg from same month in 2019	-82.2%	-79.4%	-72.2%	-72.6%	-71.1%		

The proposed reduction in the ADA Para-transit Program appropriation for SFY 2022 and 2023 reflects the anticipated continuation of lower ridership levels.

The Non-ADA Dial-a-Ride Program appropriation is proposed at the same level ($576,361) as it has been for many years. This appropriation's origin dates back to the loss of federal formula funds in 1999, due to reduced census data for the regions served by the Greater Hartford, Greater New Haven Milford and Middletown transit districts.

16. Wage-related increases - Provide a break-out of the wage-related budget increases

Agency response:

Funding is provided to the Department in the Governor's Recommended Budget to support the FY 2022 and FY 2023 costs of contractual wage increases - COLA (Cost of Living Adjustment) and AI (Annual Increments) – implemented in FY 2021; and annualization of an adjustment of $325,000 for bargaining unit agreements reached after finalization of the FY 2021 budget.

Additionally, funding of $7.1 million is provided in FY 2023 for the cost of the 27th pay period that occurs.

FY 2022 Wage related adjustments	PERSONAL SERVICES	RAIL OPERATIONS	BUS OPERATIONS	PAY-AS-YOU-GO TRANSPORTATION PROJECTS	SUBTOTAL - DOT APPROPRIATIONS
	10010	12168	12175	12518	TOTAL
FY22 cost of FY21 COLA	$ 237,900	$ 627	$ 13	$ 836	**$ 239,376**
FY22 cost of FY21 AI	$ 2,149,098	$ 5,328	$ 161	$ 5,950	**$ 2,160,537**
Funding for approved bargaining unit agreements	$ 325,000				**$ 325,000**

FY 2023 Wage related adjustments	PERSONAL SERVICES	RAIL OPERATIONS	BUS OPERATIONS	PAY-AS-YOU-GO TRANSPORTATION PROJECTS	SUBTOTAL - DOT APPROPRIATIONS
	10010	12168	12175	12518	TOTAL
FY23 cost of FY21 COLA	$ 237,900	$ 627	$ 13	$ 836	**$ 239,376**
FY23 cost of FY21 AI	$ 2,149,098	$ 5,328	$ 161	$ 5,950	**$ 2,160,537**
FY23 - cost of 27th pp	$ 7,065,780	$ 18,941	$ 392	$ 25,134	**$ 7,110,247**
Funding for approved bargaining unit agreements	$ 325,000				**$ 325,000**

17. Capital Projects - provide annual capital spending totals for the current year and planned in FY 22 - FY 23. What % of this is STF pay-go? Additionally, provide current and planned totals by project.

Agency response:

CAPITAL PROJECTS

The DOT has recently updated and published its **5-year Capital Plan**, for FFY2021-25. This includes a financial summary of all anticipated funding, a listing of hundreds of projects for each year, and a 34-page Report that is very comprehensive. This document **can be found on the DOT's website (https://portal.ct.gov/DOT) under Featured Links,** or using this link: https://portal.ct.gov/-/media/DOT/documents/dcommunications/Capital_Plan/DOT-FY-2021-2025-Capital-Plan-2-5-2021-for-publishing-w-cover-note.pdf

OVERVIEW

The Department's overall Capital Plan includes Highways, Transit and Facilities initiatives, totaling $2,255 million in FY2021, $1,725 million in FY2022 and $1,748 million in FY2023. Much of this is financed with federal appropriations and state bonds. Historically, only a very small portion of this program has been supported by State appropriated funds. Of the $13.68 million of Pay-Go allotted to DOT in SFY2021, $9.2 million is used as match to federal funds in the Capital Program; less than 1% overall.

The Governor's proposed PAYGO appropriation provides an additional **$100 million in FY 2022 and $200 million in FY 2023** to support capital projects. This investment will allow for a reduced bond issuance amount, thereby reducing the state's long term debt service while continuing project delivery. Details on proposed use of the additional PAYGO is provided in our response to question #5.

In relation to an annual bond sale, the DOT prepares expense projections. This exercise accounts for hundreds of ongoing projects, which have been financed in previous years. Because spending is directly related to completion of work (not fixed payment schedules), it is a calculation based on historical trends. Spending is monitored to ensure we do not exceed expectations. The draw down from approved budgets is augmented with information on the start-up and budgeting of new initiatives. The net result substantiates the continuing need for bond sales in excess of $700 million annually.

18. New Haven Line - How have the service reductions been coordinated/negotiated with Metro-North?

Agency response:

Metro-North operates and maintains the railroad service along the line. There are daily, weekly, bi-weekly, monthly, and quarterly coordination meetings between CTDOT and Metro-North to provide a safe and reliable railroad service in Connecticut and the Northeast Corridor. As a result of direct conversations between CTDOT and the MTA, Metro-North proceeded with service reductions due to the reduced ridership. On March 2020, Metro-North commenced an enhanced weekend schedule for weekday service which provided all–day train service for essential employees. On April 2020, an hourly service on weekends was adopted until further notice. During the reduced schedule, off-peak fares were also in effect.

CTDOT and Metro-North suspended train service on the Waterbury Line and Danbury Line in April 2020 and May 2020, respectively, to take advantage of the reduced ridership and allow construction projects to proceed more quickly. Substitute bus service was provided on both lines. Due to the success of that approach and with the continued lower ridership levels, CTDOT and Metro-North will again suspend train service to perform additional work on the Waterbury Line this summer. The goal will be to complete construction of the signal system and passing sidings as well as additional maintenance activities before the expanded rail service begins in 2022.

CTDOT is currently working with Metro-North to monitor ridership and develop new rail schedules to match ridership demand. It is expected that current service levels (about 62 percent of pre-COVID levels) will continue for the foreseeable future.

19. Bus Operations - Please provide additional details on the calculation of the baseline Bus Operations adjustment ($11.6M and $17.5M in FY 22 and FY 23). How is this calculated and how does this differ from other Bus Operations adjustments (i.e., the express service consolidation).

Agency response:

See below for line item changes by category, comparing the enacted SFY 2021 budget and the SFY 2022 and 2023 budget recommendations. The increase of $11.6 million and $17.5 million in SFY 2022 and SFY 2023 respectively, represent the base current services requirements, prior to applying the proposed express service consolidation and expanded service in New Haven.

Department of Transportation						
FY2022 - FY2023 Biennium Budget Recommendation - baseline adjustments by category						
Bus Operations - 12001 / 12175						
Category	FY 2020 Actual	FY 2021 Enacted	FY 2022 Recommended	*Change from FY21*	FY 2023 Recommended	*Change from FY21*
CT Transit Operations Total	131,289,834	130,092,093	**137,379,939**	*7,287,846*	**141,230,527**	*11,138,434*
Transit Districts Total	31,061,511	32,729,087	**33,033,819**	*304,732*	**34,024,834**	*1,295,746*
Commuter Operations Total	6,749,922	7,883,795	**7,867,325**	*(16,470)*	**8,103,345**	*219,550*
Private Carriers Total	19,762,805	16,230,865	**20,465,300**	*4,234,436*	**21,079,259**	*4,848,395*
Rural Operating Assistance Total	1,999,215	2,157,845	**2,400,535**	*242,690*	**2,472,551**	*314,706*
Special Projects Total	4,028,351	5,858,192	**5,190,931**	*(667,261)*	**5,211,156**	*(647,036)*
GSI Total	73,500	72,556	**75,705**	*3,149*	**77,976**	*5,420*
NON-ADA Services Total	1,452,613	1,221,146	**1,396,446**	*175,300*	**1,438,340**	*217,194*
Sec 5310 / NFP Total	686,672	222,890	**728,491**	*505,601*	**750,345**	*527,455*
Consultants/Rideshare Total	879,927	945,563	**726,051**	*(219,512)*	**747,832**	*(197,731)*
Parking Lot Leases Total	280,534	289,660	**193,086**	*(96,574)*	**206,820**	*(82,840)*
Insurance Total	2,683,861	3,819,018	**3,654,815**	*(164,203)*	**3,654,815**	*(164,203)*
				11,589,733		*17,475,090*

See below for a breakout of the Governor's Recommended Budget by category, after applying the other Bus Operations adjustments.

Department of Transportation		
FY2022 - FY2023 Biennium - Governor's Recommended Budget		
Bus Operations - 12001 / 12175 - Totals by Category		
Category	FY 2022 Recommended	FY 2023 Recommended
CT Transit Operations Total	136,403,193	142,400,726
Transit Districts Total	33,033,819	34,024,834
Commuter Operations Total	6,997,705	8,103,345
Private Carriers Total	20,465,300	21,079,259
Rural Operating Assistance Total	2,400,535	2,472,551
Special Projects Total	5,191,105	5,211,156
GSI Total	75,705	77,976
NON-ADA Services Total	1,396,446	1,438,340
Sec 5310 / NFP Total	728,491	750,345
Consultants/Rideshare Total	726,051	747,832
Parking Lot Leases Total	193,086	206,820
Insurance Total	3,654,815	3,654,815
Less: TCI Climate/Public Transit Invest		*(24,300,000)*
Total Bus Operations	**211,266,251**	**195,868,000**

20. CMAQ - Provide information on total CMAQ funding DOT (both Federal and state share) is using in the current year and planned for FY22 - FY 23. Please provide details on where this is being used (e.g., by projects, by program, etc.)

Agency response:

CMAQ Funding

*CT will receive just over $41 million in the **CMAQ** category annually in FY21-23. CT will receive just under $5 million annually in the **CMAQ 2.5** category in FY21-23. The combined amount is just over $46 million annually. The federal share is typically 80% with the 20% match from the State or Municipality, depending on ownership.*

***CMAQ** funds can be spent on eligible activities statewide, whereas, the **CMAQ 2.5** funds must only be spent in Fairfield and New Haven Counties. This special category and restriction are based on ambient air quality, specifically particulate matter of a certain diameter (≤ 2.5 µm) and concentration.*

Per 23 U.S.C. 126, up to 50% of annual CMAQ apportionment (not CMAQ 2.5) can be transferred to certain other eligible programs. In CT, funds are routinely transferred to the Surface Transportation Block Grant (STBG) Program, which is our most flexible funding category, to be used for infrastructure improvements. This $20 million annual transfer is included in the formulation of the 5-year Capital Plan. This amount can be adjusted, depending on overall needs within the Capital Program.

OVERVIEW

The attached report shows projects programmed in FY21-23.

Like other programs, placeholders and overprogramming ensure the maximum use of available funds. DOT has traditionally used these funds on initiatives to reduce and manage congestion, like traffic signals, cameras, and variable message signs, among others. Past projects have included initiatives like retrofitting diesel particulate filters, weigh in motion systems, emissions testing, rideshare and vanpool programs. Periodic solicitations are conducted through the COGs to identify, prioritize, and implement local projects in these categories. Due to complex eligibility rules, a detailed scope of work for each project is developed and submitted to FHWA for a confirmation of CMAQ eligibility. Recent proposals under this program include initiatives related to electric vehicles and charging stations, which are being assessed. Operating assistance for certain transit initiatives (CTfastrak and Hartford Line) has been provided for the first 3 years of the operation of new facilities under CMAQ.

CONGESTION MITIGATION / AIR QUALITY

08-Mar-21

Project	Route	Town	Description	Phase		Total	Federal	Cum.	FDP	DCD	SCH ACT	Date(s) Actual(a) ADV	Proj. Manager / Comments
FFY 2021	***CMAQ***			***Estimated Apportionment***		***$41,166,002***							
* 164-240	Day Hill Rd	WINDSOR	Upgrade Signals, Various Intersections	CN	3155000	1,155,000	1,130,000	1,130,000	3/10/21	4/21/21	5/3/21	5/19/21 †	Pfeffinger, Jeffrey
* 171-415	RT 9/72	Farmington/Cromwell	RT 9/72 CCTV Installation	CN	1520000	11,840,000	8,000,000	9,130,000	4/7/21	5/19/21	6/3/21	6/16/21	Patel, Neil
* 171-416	RT 9	Cromwell/Middletown	RT 9 CCTV Installation	CN	7215000	4,426,000	3,000,000	12,130,000	4/7/21	5/19/21	6/3/21	6/16/21	Patel, Neil
* 56-315	Glenville Cor	GREENWICH	Signal and Intersection Improvements	CN	3750000	3,790,000	1,622,000	13,752,000	6/2/21	7/14/21	8/4/21	8/11/21 †	Patel, Neil
* 92-682	CT 34/SR 70	NEW HAVEN	Traffic Signals, Various Intersections	CN	2402000	2,402,000	1,537,000	15,289,000	6/9/21	7/21/21	8/5/21	8/18/21 †	Patel, Neil
170-PTxx	Various	STATEWIDE	Public Trans Annual Program Placeholder	OTH	2105890	2,105,890	1,684,712	16,973,712		TBD	TBD1		Sears, James
CMAQ-xxxx		STATEWIDE	TBD CMAQ Req.	CN	0	0	0	16,973,712		TBD	TBD1		Placeholder for Cap Plan
EVSE-CMAQ		VARIOUS	Electric Vehicle Supply Equipment Installation at State Agencies	OTH	4000000	2,000,000	1,600,000	18,573,712		TBD	TBD1		Rucalitro, Garrett
EVSE-CMAQ		VARIOUS	Electric Vehicle Supply Equipment Installation at State Agencies	OTH	4000000	0	0	18,573,712		TBD	TBD1		Rucalitro, Garrett
Sgnl-Circ		STATEWIDE	Traffic Signal System Circuit Rider Program (start 7/1/21)	TR	300000	300,000	300,000	18,873,712		TBD	TBD1		Chechalis, Michael
304-xxxx	NHL	VARIOUS	Waterbury Branch Service Expansion - Operating	OTH	16415335	0	0	0		TBD	TBD1		Hayes, Mark
304-xxxx	NHL	VARIOUS	Waterbury Branch Service Expansion - Operating	OTH	16415335	1,534,611	1,227,689	1,227,689		TBD	TBD1		Hayes, Mark
402-xxxx	Various	VARIOUS	New Haven Bus Service Expansion - Operating	OTH	17244503	0	0	1,227,689		TBD	TBD1		Hayes, Mark
402-xxxx	Various	VARIOUS	New Haven Bus Service Expansion - Operating	OTH	17244503	1,462,042	1,169,634	2,397,323		TBD	TBD1		Hayes, Mark
CMAQ-COGS	Various	STATEWIDE	Future COG Project Awards for CMAQ (Reserve)	CN	5000000	5,000,000	5,000,000	7,397,323		TBD	TBD1		Wojenski, Maribeth
			2021 CMAQ Program			36,015,543	26,271,035						
FFY 2022	***CMAQ***			***Estimated Apportionment***		***$41,166,002***							
171-415	RT 9/72	Farmington/Cromwell	RT 9/72 CCTV Installation	CN	1520000	7,360,000	7,360,000	7,360,000		11/5/21	11/26/21	6/16/21	Patel, Neil
171-416	RT 9	Cromwell/Middletown	RT 9 CCTV Installation	CN	7215000	2,704,000	2,704,000	10,064,000		11/5/21	11/26/21	6/16/21	Patel, Neil
* 102-360	Various	NORWALK	Upgrade Signals & Install VMS	CN	3203000	3,381,000	2,367,000	12,431,000	9/29/21	11/10/21	12/3/21	12/8/21 †	Patel, Neil

Note: * indicates project will be covered at the monthly Project Status meeting

CONGESTION MITIGATION / AIR QUALITY

Project	Route	Town	Description	Phase		Total	Federal	Cum.	FDP	DCD	SCH ACT	Target (t), Actual (a) ADV	Proj. Manager / Comments
170-PTxx	Various	STATEWIDE	Public Trans Annual Program Placeholder	OTH	2169070	2,169,070	1,735,256	14,166,256		TBD	TBD22		Szuts, James
CMAQ-COG	Various	STATEWIDE	Future COG Project Awards for CMAQ (Reserve)	CN	12000000	12,000,000	12,000,000	26,166,256		TBD	TBD22		Wojenski, Maribeth
CMAQ-xxxx		STATEWIDE	TBD CMAQ Req.	OTH	0	0	0	26,166,256		TBD	TBD22		Placeholder for Cap Plan
EJxx-CMAQ			Environmental Justice Investment	OTH	3125000	3,125,000	2,500,000	28,666,256		TBD	TBD22		Bucalino, Garrett
EVSE-CMAQ		VARIOUS	Electric Vehicle Supply Equipment Installation at State Agencies	OTH	6000000	2,000,000	1,600,000	30,266,256		TBD	TBD22		Bucalino, Garrett Con = 22AC22 [illegible]
304-xxxx	NHL	VARIOUS	Waterbury Branch Service Expansion - Operating	OTH	16415335	6,138,445	4,910,756	4,910,756		TBD	TBD22		Con = 22AC22 Hayes, Mark
402-xxxx	Various	VARIOUS	New Haven Bus Service Expansion - Operating	OTH	17544503	5,848,168	4,678,534	9,589,290		TBD	TBD22		Con = 22AC22 Hayes, Mark
EVxx-CMAQ			Electric Vehicle Acquisitions for State Fleet	OTH	1875000	0	0	9,589,290		TBD	TBD22		22A C20 [illegible] Bucalino, Garrett
EVxx-CMAQ			Electric Vehicle Acquisitions for State Fleet	OTH	1875000	625,000	500,000	10,089,290		TBD	TBD22		Con = 22AC22 Bucalino, Garrett
			2022 CMAQ Program			45,350,683	40,355,546						

FFY 2023 ***CMAQ*** ***Estimated Apportionment $41,166,002***

Project	Route	Town	Description	Phase		Total	Federal	Cum.	FDP	DCD	SCH ACT	ADV	Proj. Manager / Comments
170-PTxx	Various	STATEWIDE	Public Trans Annual Program Placeholder	OTH	2234145	2,234,145	1,787,316	1,787,316		TBD	TBD23		Szuts, James
CMAQ-COG	Various	STATEWIDE	Future COG Project Awards for CMAQ (Reserve)	CN	12000000	12,000,000	12,000,000	13,787,316		TBD	TBD23		Wojenski, Maribeth
CMAQ-xxxx		STATEWIDE	TBD CMAQ Req.	OTH	0	0	0	13,787,316		TBD	TBD23		Placeholder for Cap Plan
EVSE-CMAQ		VARIOUS	Electric Vehicle Supply Equipment Installation at State Agencies	OTH	6000000	2,000,000	1,600,000	15,387,316		TBD	TBD23		Bucalino, Garrett Con = 23AC23 [illegible]
304-xxxx	NHL	VARIOUS	Waterbury Branch Service Expansion - Operating	OTH	16415335	6,138,445	4,910,756	4,910,756		TBD	TBD23		Con = 23AC23 Hayes, Mark
402-xxxx	Various	VARIOUS	New Haven Bus Service Expansion - Operating	OTH	17544503	5,848,168	4,678,534	9,589,290		TBD	TBD23		Con = 23AC23 Hayes, Mark
EVxx-CMAQ			Electric Vehicle Acquisitions for State Fleet	OTH	1875000	1,250,000	1,000,000	10,589,290		TBD	TBD23		Con = 23AC23 Bucalino, Garrett
			2023 CMAQ Program			29,470,758	25,976,606						

Note: * indicates project will be covered at the monthly Project Status meeting

CONGESTION MITIGATION / AIR QUALITY - PM 2.5 ALLOCATION

08-Mar-21

Project	Route	Town	Description	Phase	Total	Federal	Cum.	FDP	DCD	SCH ACT	ADV	Proj. Manager / Comments
FFY 2021	***CMAQ 2.5***											
15-365	Washington	BRIDGEPORT	Traffic Signal System (5 locations)	CN+	472,871	378,297	378,297		11/18/20	[illegible]		Conroy, Lisa
79-241	Various	MERIDEN	Traffic Signals, Various Intersections	CN	4,765,190	2,989,250	3,367,547	12/2/20	1/6/21	[illegible]	1/21/21 a,†	Pennemeyer, Andy
* 151-325	Various	WATERBURY	Traffic Signal Upgrade, various locations (FD)	PE	186,750	186,750	3,554,297		4/21/21	[illegible]		Narwick, Brian
* 15-376	Park Avenue	BRIDGEPORT	Traffic Signals, Various Intersections	CN	3,500,000	2,686,000	6,240,297	4/7/21	5/19/21	[illegible]	6/16/21 †	Pfaffinger, Jeffrey
170-PTxx	Various	STATEWIDE	Public Trans Annual Program Placeholder	OTH	3,354,570	2,683,656	8,923,953		TBD	[illegible]		Stuts, James
			2021 CMAQ 2.5 Program		12,279,381	8,923,953						
FFY 2022	***CMAQ 2.5***											
* 151-325	Various	WATERBURY	Traffic Signal Upgrade, various locations	CN	4,324,500	2,681,250	2,681,250	10/6/21	11/3/21	[illegible]	12/1/21 †	Narwick, Brian
170-PTxx	Various	STATEWIDE	Public Trans Annual Program Placeholder	OTH	3,455,210	2,764,168	5,445,418		TBD	[illegible]		Stuts, James
			2022 CMAQ 2.5 Program		7,779,710	5,445,418						
FFY 2023	***CMAQ 2.5***											
170-PTxx	Various	STATEWIDE	Public Trans Annual Program Placeholder	OTH	3,558,870	2,847,096	2,847,096		TBD	[illegible]		Stuts, James
			2023 CMAQ 2.5 Program		3,558,870	2,847,096						

Note: * indicates project will be covered at the monthly Project Status meeting

21. Asset Management System – how is it going to help with updating our infrastructure?

Agency response:

Asset Management is a risk-based, data-driven process to maximize transportation performance and user experience, to prioritize resources, and to optimize treatments and costs over the life cycle of a transportation asset. The CTDOT transportation asset management (TAM) system helps track the condition of our infrastructure. Managing assets effectively through their lifecycle requires thorough data, information systems and financial commitment. This leads to better decision making.

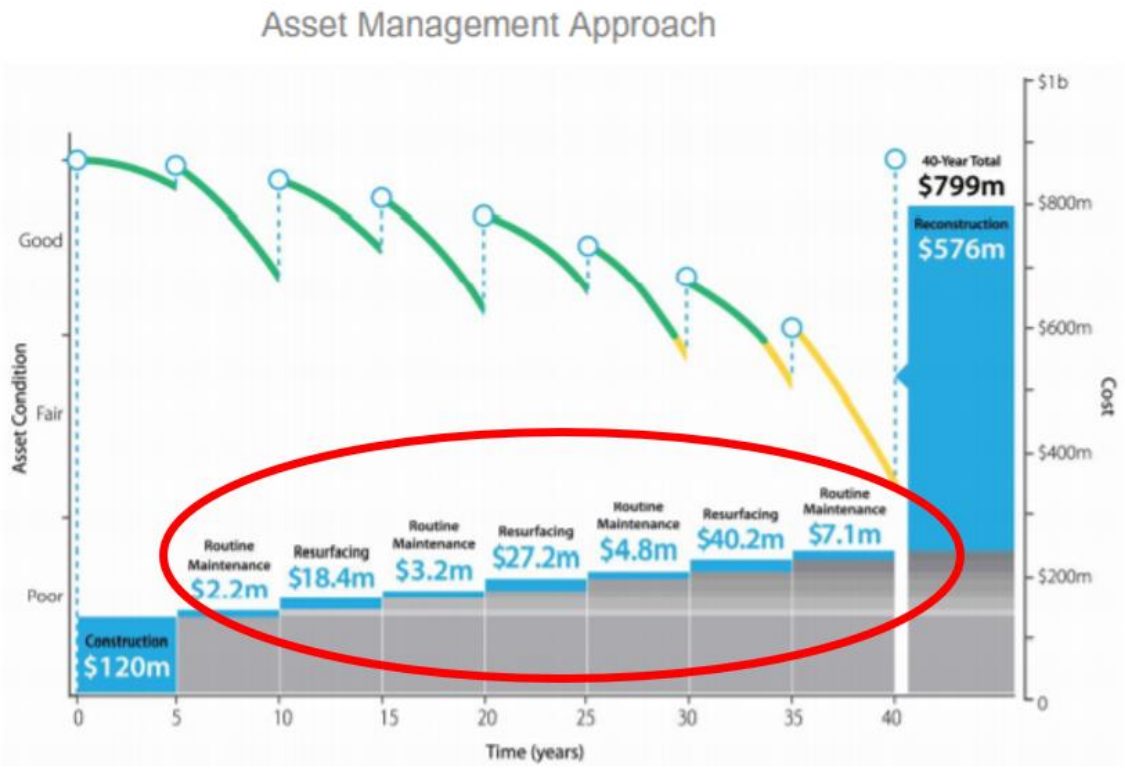
Penalty for non-compliance with FHWA (FAST-ACT) TAMP requirement reduces FHWA participation from 80% to 65% participation. To utilize all federal funding under this penalty, CT would need to establish an additional $100 million to match the reduced federal participation. FHWA supports development and implementation of the CTDOT Highway Asset Management Program but does not provide financial support for costs for maintenance, fleet or facilities and the associated information systems.

State funding is sought to address CTDOT needs for implementation of asset management that are not covered by FHWA or FTA.

The Asset Management Systems will help update our infrastructure by providing systems that will allow the CT Department of Transportation (CTDOT) to optimize its investment strategies in order to ensure the best use of federal and state funding. The ultimate goal is to improve our infrastructure, while also maintaining our existing transportation assets in a state of good repair. CTDOT continues to improve its asset inventories and condition data in order to allow for CTDOT Asset Management Systems to prioritize asset treatments, which is currently accomplished with the best information available. However, these systems could be optimized if data were available and tracked for all work performed on our asset inventory.

In order to bring CTDOT's Asset Management systems to the next level of maturity, CTDOT needs to include work performed within its asset management processes. In the graphic below, we are missing the information in the life cycle management process that operates and maintains the assets.

As seen in this next graphic, the treatment types and costs of treatments are identified (red oval). This data is needed for CTDOT to better understand the total cost of an asset over its entire lifecycle in addition to knowing the optimized timing of low cost treatments to maintain the asset in good condition (in green) over the longest period of time over the life of the asset.



The Department needs to improve on assessing asset treatment performance, but in order to do so, CTDOT first needs to track and monitor work performed to the asset over its life cycle. Currently CTDOT assumes the life expectancy of asset treatments based on engineering judgement since data on work performed through maintenance, capital projects, and work orders is not yet available. By tracking and monitoring the work performed by Maintenance forces with a Maintenance Management System (MMS), and by facility work orders performed with a Facility Management System (FMS), CTDOT can then move toward verifying treatment life expectancy through a data-driven approach and be able to analyze how condition changes and maintains with treatments. Such verification of data will provide improved asset performance projections as well as more efficiently identify routine work schedules to establish a proactive, best-practice asset management approach to preserve and maintain CTDOT assets in good condition.

CTDOT is in the beginning stages of identifying opportunities to preserve or replace asset components that can lead to maintaining the life of the entire asset over a longer period of time. For instance, CTDOT can manage bridges in good condition over a longer period of time if the optimal joint replacement cycle by joint type and joint manufacturer could be identified and scheduled in a management system. From an operational and safety point of view, the same is true for traffic signals where replacement of the signal head LEDs and other traffic signal components on a scheduled routine cycle will ensure signal functional reliability, thus improving safety.

22. Excess federal funds update (FHWA redistribution) at end of FFY 2020 and 2021.

Agency response:

HISTORY OF EXCESS FEDERAL FUNDING

The attached worksheet shows the increased amount of Obligation Limitation that the Department has received since FFY2000 during FHWA's August Redistribution process. Amounts preceding the past **10 years are** shown to demonstrate how dramatically the results have changed for CT. The benefit has been significant, specifically in the past **5 years**. This spreadsheet also includes a list of more than 20 major projects that used Advance Construction financing during the past 10 years. It is those major projects that provided the flexibility to support the application for additional Obligation Limitation at the end of each fiscal year.

OVERVIEW

When funds are distributed to each state annually, a limitation is placed on the amount of funds that can be obligated. Excess (inaccessible) funds carry forward to the next year. The carry forward funds allow some financing flexibility, since needs and costs vary between programs and projects. The August Redistribution process allows states to ask for an increased obligation limit to use funds that would otherwise carry forward to the next year. FHWA's distribution of additional Obligation Limitation allows states to advance projects that would otherwise be delayed due to funding limitations. This is an expansion of our program, with real dollars.

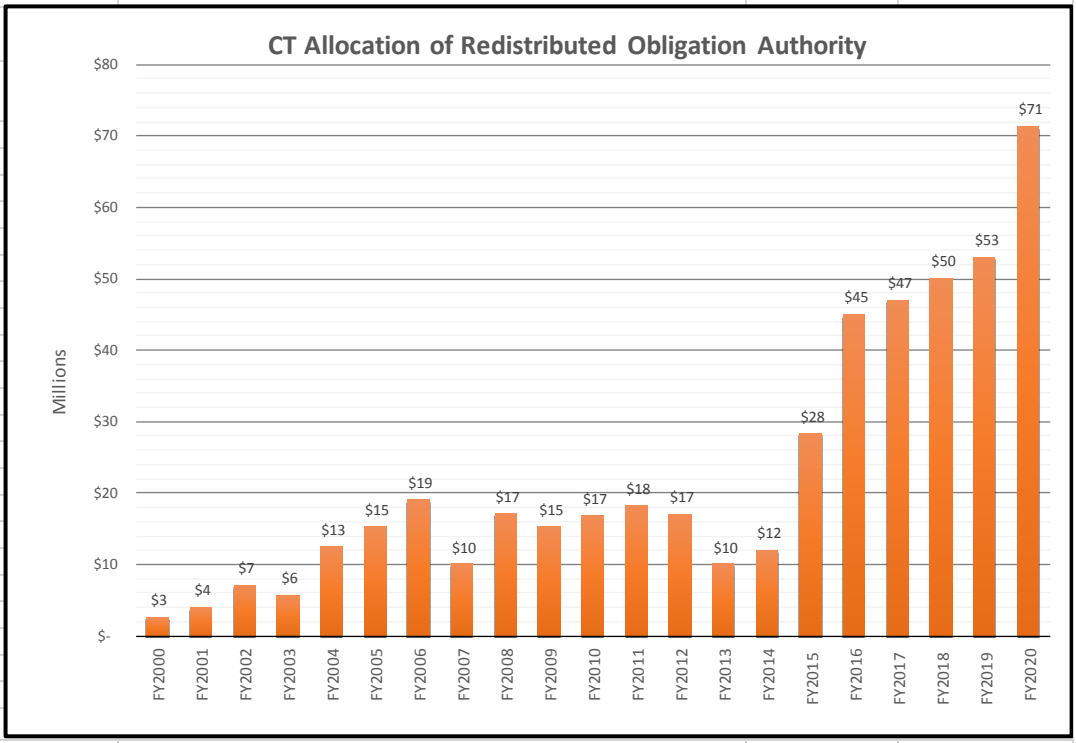
The Advance Construction mechanism (AC) allows projects to advance to construction with only partial federal funding in place. This process is very similar to obtaining a line of credit, selectively drawing funds when needed over time.

The AC is converted to funding through the obligation process. Funds are converted to keep budgets above spending projections. With large AC balances, CT can demonstrate the ability to use large amounts of additional Obligation Limitation for ongoing projects (with carry forward funding). This accelerates the planned financing on those projects. When the funding for a large initiative is accelerated, it allows smaller projects to fill in behind it. Those projects are harder to identify, since schedules and costs are dynamic within the 5-year Capital Plan for over five hundred projects. In CT, projects are financed as they are ready to advance. Very few projects experience delays. Flexible financing options are used routinely.

CTDOT - HISTORY OF "EXCESS" FHWA FUNDING

Additional federal spending authority received by year

Year	Amount
FY2000	$ 2,715,727
FY2001	$ 4,017,367
FY2002	$ 7,187,359
FY2003	$ 5,676,888
FY2004	$ 12,512,769
FY2005	$ 15,248,495
FY2006	$ 19,000,000
FY2007	$ 10,000,000
FY2008	$ 17,139,038
FY2009	$ 15,266,462
FY2010	$ 16,813,495
FY2011	$ 18,248,875
FY2012	$ 16,998,000
FY2013	$ 10,000,000
FY2014	$ 12,000,000
FY2015	$ 28,280,780
FY2016	$ 45,000,000
FY2017	$ 47,000,000
FY2018	$ 50,000,000
FY2019	$ 52,949,800
FY2020	$ 71,297,615
20 year total	**$ 477,352,670**
last 10 years =	**$ 351,775,070**



Note: August Redistribution is the process that FHWA employs to allow states to apply for awards of additional obligation authority to use with available funds. CT DOT intends to request $20 million annually, but through the use of flexible financing and other techniques, CT DOT has been able to substantiate much larger requests. Actual awards from FHWA are dependant on the total amount available and other applications nationwide.

Last 10 years: Projects that have used flexible financing throughout the construction duration to allow other (smaller) projects to advance

PROJECT	ROUTE	TOWN	DESCRIPTION	Total Co	Years financed
92- 532	I-95	NEW HAVEN	Q Bridge - Contract B	$ 524,901,224	09/10/11/12/13/14
151- 273	I-84	WATERBURY	Upgrade Expressway - Phase 3	$ 342,093,957	14/15/16/17/18/19
92- 531	I-91/I-95	NEW HAVEN	Reconstruction - Contract E	$ 334,752,274	10/11/12/13/14/15
138- 221	I-95	STRATFORD	Replace Br 00135, Moses Wheeler	$ 241,744,934	11/12/13/14/15
92- 522	I-95	NEW HAVEN	Rehab Br 00163A o/ West River	$ 174,630,666	13/14/15/16/17
151- 326	I-84/CT 8	WATERBURY	NHS - Rehab 8 Bridges, 03190 A, B, C, D, E, F & 03191 D, E	$ 146,108,159	18/19/20/21
158- 211	CT 15	Westport/Fairfield	Resurf/Safety, CT 33 Westport to Morehouse Hwy Fairfield (4.6 miles)	$ 82,522,757	16/17/18/19/20
135- 270	CT 15	STAMFORD	Resurf/Safety, Stamford to New Canaan	$ 69,921,527	13/14/15
159- 191	I-91	Wethersfield/Htfd	Resurfacing, Bridge & Safety Improvements on I-91, M.P. 33.45-36.58	$ 64,505,854	18/19/20
63- 699	I-84	HARTFORD	NHS - Rehab Bridges 03160A-D, 03301 & 03303 - Hartford Viaduct	$ 61,961,167	16/17/18/19/20
151- 312	I-84 EB	WATERBURY	NHS - Rehab Br 03191A o/ I-84 WB, CT 8 & Naugatuck River	$ 52,627,966	18/19
102- 368	CT 15	Norwalk/Westport	Resurfacing, Bridge & Safety Improvs., Main Ave to Newtown Tpk	$ 43,708,449	20/21
96- 200	I-84	NEWTOWN	Resurfacing, Bridge and Safety Improvements	$ 42,762,582	18/19
151- 313	I-84 WB	WATERBURY	NHS - Rehab Br 03191B o/ I-84 WB, CT 8 & Naugatuck River	$ 42,293,925	18/19
138- 248	I-95	STRATFORD	Full interchange at Interchange 33 w/ new SB off-ramp & new NB on-ramp	$ 37,458,486	19/20/21
126- 170	CT 8	SHELTON	NHS - Full painting and steel rehab of Br 00571, CT 8 o/ Rt 110 & Housatonic Rv	$ 35,652,437	16/17/18
17- 182	US 6	BRISTOL	Widening, Carol Drive to Peggy Lane	$ 28,198,387	16/17/18/19
92- 657	Grand Ave.	NEW HAVEN	Rehab Br 03810 o/ Quinnipiac River	$ 27,929,200	19/20
63- 708	I-84	HARTFORD	NHS - Rehab Bridges 03399A-D, 03400A-C, 03401A-B, 03402A-B; vic. Sisson Ave	$ 23,842,727	18/19
14- 185	I-95	BRANFORD	NHS - Replace Br 00196 o/ US 1	$ 22,706,365	18/19
109- 172	I-84	PLAINVILLE	Rehab Bridges 03311, 03312, 03313, 03320, 03322	$ 21,483,041	15/16
118- 169	CT 160	ROCKY HILL	Replace Bridges 03163 & 03164 o/ I-91	$ 14,973,226	17/18
34- 347	SR 806	DANBURY	Improvements: Old Newtown to Plumtrees and Eagle to Industrial Plaza Rds	$ 12,418,857	19/20
106- 128	CT 15	ORANGE	Interchange 58 Improvements at CT 34	$ 10,537,437	19/20
63- 707	I-84/US44	HARTFORD	Rehab Br 01686A I-84 o/ Market St & Br 06048 US44 o/ I-91	$ 9,637,978	17/18
80- 131	Benson Rd	MIDDLEBURY	Rehab Br 01160 o/ I-84	$ 9,042,680	20/21
63- 654	I-84 TR825	HARTFORD	NHS - Rehab Br 01686B o/US 44 & Columbus Blvd	$ 8,941,540	20/21
120- 90	CT 82	SALEM	Replace Br 01140 & 05401 o/ Eight Mile River	$ 6,890,865	20/21
				$ 2,494,248,667	