



# Transportation Enhancements

Summary of Nationwide  
Spending as of FY 2005

MAY 2006

Prepared by the  
National Transportation  
Enhancements Clearinghouse

# Acknowledgments

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# Table of Contents

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Executive Summary .....	2
Figure 1: Transportation Enhancements Financial Summary .....	3
Background and Introduction .....	4
Data Collection Process .....	6
Major Findings .....	8
Transportation Enhancements Spending Benchmarks .....	8
Table 1: State TE Program Benchmarks .....	9
Table 2: Obligation Rates: FY 1999–FY 2005 .....	12
Figure 2: TE Funds Obligated Each Fiscal Year .....	14
Figure 3: TE Obligation Trends .....	14
Table 3: TE Fund Transfers .....	16
Distribution Across Transportation Enhancement Activities .....	17
Figure 4: Distribution of Federal Funds by TE Activity .....	17
List of Twelve Eligible TE Activities .....	18
Figure 5: Distribution of Funds Across Bike and Pedestrian Subtypes .....	19
Programmed Federal Awards and Match Rates .....	20
Table 4: Programmed Federal Awards and Matching Funds .....	21
Conclusions .....	22
Appendix A: Federal-Aid Financing Terminology .....	23
Appendix B: NTEC Resources Information .....	24
Appendix C: State Program Short Descriptions .....	25
Appendix D: State DOT TE Manager Contact Information .....	30

# Executive Summary

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**T***ransportation Enhancements: FY 2005 Summary of Nationwide Spending* is a report prepared annually by the National Transportation Enhancements Clearinghouse (NTEC). This report provides an overview of how states spent Transportation Enhancements (TE) funds from fiscal year (FY) 1992 through the end of FY 2005.

These dates span the period of time since TE was established as a dedicated funding source in the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1992. Funding of TE continued in the Transportation Equity Act for the 21st Century (TEA-21), which officially ran through September 30, 2003. Funding of TE continued through a series of short-term extensions. The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) was enacted on August 10, 2005.

NTEC uses benchmark figures to assess the status of TE spending on a national as well as state-by-state basis. The report also addresses the distribution of these funds across the 12 eligible TE activities, which are detailed on page 18. This report allows NTEC to provide an assessment of how TE activities are being funded and, ultimately, implemented for the benefit of communities across the nation.

## Spending Benchmarks and Data Evaluation

There are five distinct phases, or benchmarks, of spending that NTEC uses to evaluate how states use TE funds:

**Available:** available funds are a 10 percent set aside of Surface Transportation Program (STP) funds plus funds from the Equity Bonus Program and the Revenue Aligned Budget Authority (RABA) that are distributed to the STP, less amounts transferred. This data is collected from Fiscal Management Information System (FMIS).

**Programming:** amount for selected/planned projects. NTEC collects this data from states on a voluntary basis.

**Obligations:** amount authorized to spend.

**Reimbursements:** amount paid to sponsor for completed work,

**Transfers:** amount transferred from TE to other transportation programs.

**Figure 1** on page 3 illustrates the status of four of the five benchmarks at the national level. Using data obtained from FMIS, NTEC determined that \$7.98 billion has been made available to the states for use on TE activities since 1992. Using data from NTEC's nationwide project listing, updated most recently in the spring of 2006, NTEC determined that state Departments of Transportation (DOTs) programmed 89.7 percent of available funds for more than 20,890 projects through FY 2005.

FMIS also reports that state DOTs collectively and cumulatively obligated 74.1 percent of available funds, a slight decrease from the 75.3 percent obligation rate reported at the end of FY 2004. Reimbursements through FY 2005 are at 59 percent, up from 57.4 percent in FY 2004.

Obligation and reimbursement rates are noteworthy because they are indicative of the relative progress with which projects move from selection to implementation. This also provides a measure of the lag between project selection and implementation. NTEC's research finds that there are various reasons for project delays, but none are singularly responsible for slow project delivery. The range of obligation rates reflects the differences in approaches, priorities, problems, policies, and solutions of states and sponsors to implement the program. Transfers are discussed in a later section.

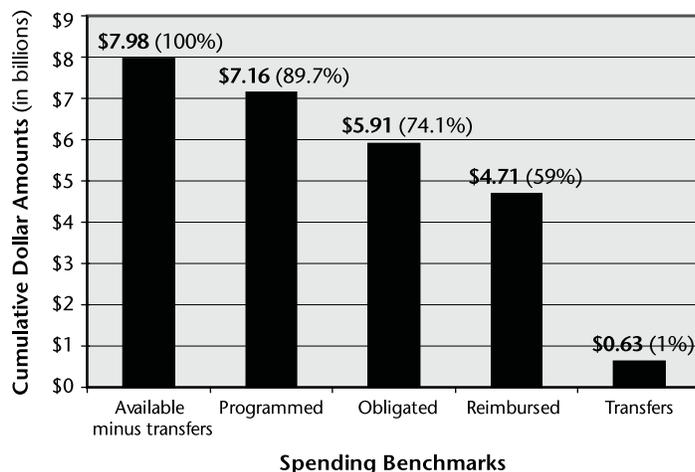
### Distribution of Funds Across the TE Activities

NTEC's national project data indicates that the distribution of funds across the 12 activities has changed only slightly since FY 1999. Bicycle and pedestrian facilities, combined with rail-trails, comprise 56.1 percent of programmed funds between FY 1992 and FY 2005. Historic preservation and preservation of historic transportation facilities received 14.9 percent of TE funds. Landscaping and scenic beautification received 16.1 percent of TE funds. Together, these five categories account for 87.1 percent of programmed federal funds.

### Conclusion

The high demand for TE funds and the variety and number of projects that have already been selected testify to the popularity of TE activities. As NTEC's project data shows, many different types of projects are being funded across the 12 eligible activities. Nationwide TE spending has shown a gradual increase over the life of the TE Program. The lower obligation and reimbursement rates, relative to other federal-aid highway programs, indicate, however, that state DOTs, FHWA divisions, and project sponsors face obstacles to actually implementing TE projects. State-specific hurdles, whether they be political support or sponsor preparedness, should be identified and remedied to more efficiently deliver TE projects to communities.

**Figure 1: Transportation Enhancements Financial Summary: Cumulative Available, Programmed, Obligated, and Reimbursed FY 1992 through FY 2005**



# Background and Introduction

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The Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) was the authorizing legislation that established a dedicated funding stream for a set of 10 newly defined TE activities under the Federal-aid Highway Program. Ten percent of the Surface Transportation Program (STP) funds, plus 10 percent of the portion of Minimum Guarantee funds and Revenue Aligned Budget Authority (RABA) that are distributed to the STP, were set aside for these activities.

The dedication of a portion of federal-aid highway funds specifically for TE demonstrated a significant shift in national transportation policy. Prior to ISTEA, only a few of these activities had been eligible for federal-aid highway funding, and they were often excluded from the normal routine of planning and building highways. Under ISTEA, Congress ensured that funding would be available for the bicycle and pedestrian modes of transportation and for the preservation and enhancement of many of the nation's scenic, historic, and environmental resources that exist in a transportation context.

In 1998, Congress reauthorized federal-aid highway programs through the Transportation Equity Act for the 21st Century (TEA-21). The 10 percent set-aside for TE continued, and funding levels increased by 40 percent. Two TE activities were expanded and two new TE activities were added to the list of eligible activities. The complete list is shown on page 18. Furthermore, TEA-21 added a requirement that TE projects must relate to surface transportation.

On August 10 2005, Congress enacted the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). Several small changes were incorporated into the statutory language of the 12 eligible activities. The list on page 18 incorporates these changes. SAFETEA-LU continued the 10 percent set-aside for TE, but it additionally requires that TE apportionments for each fiscal year meet or surpass FY 2005 funding levels.

The majority of projects that use TE funds are small-scale projects with an average federal share of \$341,921. They are initiated at the local level by city or county governments or community-based organizations, referred to as sponsors. Projects funded with TE dollars can also be initiated by state DOTs, other state agencies, federally-recognized tribal governments, or federal agencies.

## **Administration of TE Funds and Projects**

Like other components of the Federal-aid Highway Program, TE activities are federally funded and state administered. The Federal Highway Administration (FHWA) division offices provide guidance, stewardship, and oversight for the use of TE funds.

Transportation Enhancement activities are funded through a minimum 10 percent set aside of each state's (and District of Columbia's) annual STP funds (plus the Equity Bonus Program and RABA amounts distributed to the STP).<sup>1</sup> State DOTs administer apportioned TE funds. The FHWA division offices in each state determine project eligibility according to guidance developed by FHWA Headquarters, Office of Natural

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<sup>1</sup>Puerto Rico has not received funds from Federal-aid apportioned programs since 1998 (TEA-21 §1103(n) and SAFETEA-LU §1120(c)).

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and Human Environment. For a project to be eligible, federal law states that it must be included on the list of 12 eligible activities and it must relate to surface transportation. States may have additional eligibility requirements.

Federal transportation law provides flexibility to states with regard to managing and administering TE funds. State DOTs use a wide range of approaches to the various aspects of TE management, including soliciting and selecting TE projects; involving local sponsors; administering the various federal options for financing matching funds; managing project development; and construction contracting. Collectively, these approaches and procedures are now commonly referred to as TE programs. Every state publishes a document describing its unique program guidelines and policies. Detailed information about a particular state's TE program is also found on the NTEC Web site, along with contact information for each state.

### **FY 2005 Summary of Nationwide Spending**

The National Transportation Enhancements Clearinghouse (NTEC) presents this report for use by all interested in Transportation Enhancements (TE). The report provides a detailed description of the status of this funding source both at the state and national levels. This report is updated annually and allows NTEC to provide an assessment of how TE activities are being funded and implemented.

The report is structured in two main sections. The **Data Collection Process** section summarizes TE spending figures, cites sources, explains the methodology of data collection, and explores state-specific data issues. The **Major Findings** section presents an analysis of TE activities at the end of fiscal year (FY) 2005 based on the traditional benchmarks of state spending. Also covered are trends within the TE activities themselves, such as distribution of funds across the 12 eligible activities. The report also contains three appendices that provide supplemental information.

TEA-21 expired on September 30, 2003. Funding for TE continued through a series of short-term extensions, with full reauthorization of new transportation legislation, SAFETEA-LU, enacted in August 2005. This is significant to note, as the delay in reauthorization influenced the project selection process for several states during the periods of TEA-21 extensions.

While this report provides one perspective on the status of TE, readers with questions about the TE program in their state should contact their state Department of Transportation (DOT) directly. Contact information for state DOT TE managers is included in Appendix D, and on the NTEC Web site at [www.enhancements.org](http://www.enhancements.org).

#### **COMMON ABBREVIATIONS USED IN THIS REPORT:**

TE: Transportation Enhancements

FHWA: Federal Highway Administration

NTEC: National Transportation Enhancements Clearinghouse

DOT: Department of Transportation

FMIS: Fiscal Management Information System

ISTEA: Intermodal Surface Transportation Efficiency Act of 1991

TEA-21: Transportation Equity Act for the 21st Century of 1998

SAFETEA-LU: Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users

STP: Surface Transportation Program

FY: Fiscal Year

## Data Collection Process

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The information in this report is based on data collected and maintained by the National Transportation Enhancements Clearinghouse (NTEC). In 1993, Rails-to-Trails Conservancy developed a database of TE projects funded by each state. This project listing has been managed and updated by NTEC since 1998 as part of its partnership with FHWA.

New TE spending data is compiled annually by NTEC staff. Data for this report was collected between May 2005 and April 2006. State DOTs provided NTEC with programming (selected/planned project) data, including project name, TE activity type, location, and funding levels. It should be noted that some states do not report all of the projects which they have programmed (some do not have the data and others do not provide the data to NTEC). Apportionment, obligation, and reimbursement data are obtained from FHWA's Fiscal Management Information System (FMIS). FMIS provides NTEC with the cumulative and fiscal year activity for every state for funds available, obligated, and reimbursed. Every state is required to report its obligations and reimbursements through the FMIS system.

NTEC relies on the participation and cooperation of state DOT staff to provide project programming data. States are not required to provide NTEC with this information, but over the years, all states have cooperated with NTEC's request for information to varying degrees. Since NTEC's database of projects is the only existing central resource for information on TE projects nationwide, the participation of each state DOT is crucial for the accuracy and completeness of NTEC's information. During the most recent data collection, 48 states and the District of Columbia provided NTEC with programming information.

### State Participation During FY 2005

A breakdown of state participation during the FY 2005 data collection follows.

- **Submitted a complete update of older project data and submitted new project data:** Alabama, Alaska, Arizona, California, Colorado, Delaware, District of Columbia, Florida, Idaho, Indiana, Kansas, Kentucky, Louisiana, Maine, Maryland, Massachusetts, Michigan, Minnesota, Mississippi, Missouri, Montana, Nebraska, Nevada, New Hampshire, New Jersey, North Carolina, North Dakota, Ohio, Oklahoma, Oregon, Rhode Island, South Carolina, South Dakota, Tennessee, Utah, Vermont, Virginia, Washington, West Virginia, and Wyoming.
- **Submitted an update of new project data only:** Iowa
- **Updated old data, but reported no new data to submit:** Arkansas, Connecticut, Hawaii, Illinois, New York, Pennsylvania, Texas, and Wisconsin.
- **Did not participate:** Georgia and New Mexico.

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## **A Profile of the Transportation Enhancements Project List**

The national list of programmed TE projects now contains 20,914 projects selected from FY 1992 to FY 2005. NTEC's database also contains 1,579 programmed projects for *future* fiscal years, from FY 2006 to FY 2014. Altogether, the list contains 22,493 programmed TE projects. For the purposes of this report, NTEC's programming numbers and analysis are based only on the projects selected for funding through FY 2005 unless otherwise noted. The data that NTEC collects for each project in the list includes: state, project name, TE activity, TE activity subtype, year programmed, ID number, city and county location, primary use of funds, and the federal, matching, and total funding amounts. NTEC also requests and collects additional information, if available, such as project description, sponsor information, congressional district, DOT district, and implementation status. The national TE project list can be viewed on the NTEC Web site.

Several states, including Wisconsin, Massachusetts, and Alaska, have funded numerous TE-eligible projects using funding sources other than the TE set-aside. Though they are beneficial for communities, these projects are not included in this analysis.

# Major Findings

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The findings of this report are based on data obtained from the Federal Highway Administration's (FHWA) Fiscal Management Information System (FMIS) and NTEC's national list of TE projects. The data analyzed in this report is up-to-date as of September 30, 2005, and used to identify trends over the lifetime of the TE program. The following section, Major Findings, covers three areas of interest and importance to TE. The first part addresses cumulative monetary levels among the stages of funding. The second part discusses nationwide trends across and within the 12 TE activities, and the third part provides project award and match rate trends. This section concludes with an analysis of future fiscal year programming and a brief discussion of state obligation policies.

## TRANSPORTATION ENHANCEMENTS SPENDING BENCHMARKS

### Available

Available funds are the amount apportioned to the state DOTs exclusive of the amount transferred from TE to other allowable transportation programs. In FY 2005 roughly \$803 million was apportioned to the states for TE, down from \$845 million in FY 2004.<sup>2</sup> FHWA apportioned FY 2004 funds as if FY 2004 were a continuation of the existing Federal-aid Highway Program funding categories at FY 2004 levels (using the Administration's SAFETEA funding levels as a guide). As the proposed Highway Safety Improvement Program (HSIP) did not yet exist, the HSIP amounts were included in the Surface Transportation Program, thus drawing the 10 percent set aside for TE from a larger pot of money. This accounts for a larger FY 2004 apportionment.

From FY 1992 through FY 2005, the cumulative amount made available to all states was \$7.98 billion. The distribution among states is shown in **Table 1**. States are typically not authorized to obligate all apportioned funds due to annual congressionally mandated limitations on obligations, known as obligation authority.

### Programming

Each year NTEC asks state DOTs to provide information on programmed projects. Programmed projects are those approved by individual states to receive TE funding. As a result, NTEC's database now covers 14 fiscal years of TE programming. **Table 1** indicates that the cumulative level of programming for FY 1992 through FY 2005 is \$7.16 billion, which represents 89.7 percent of all available funds. Since there are two states for which NTEC does not have current programming numbers, the actual programming level is most likely higher than the amount documented in the NTEC database.

NTEC's data also shows that 19 states and the District of Columbia have selected projects for future fiscal years. The database now has 1,578 future-programmed projects worth \$615 million in federal TE funds. The future programming data suggests that there are more requests for project funding than can be accommodated each year.

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<sup>2</sup>The official apportionment is \$803.2 million reported on April 12, 2006 in FHWA Notice 4510.563. NTEC uses the figure of \$728 million, calculated from data provided by FHWA's FMIS at the end of FY 2005 in calculating programming, obligation, and reimbursement rates.

**Table 1: State TE Program Benchmarks FY 1992 through FY 2005**

State	AVAILABLE	PROGRAMMED		OBLIGATED		REIMBURSED	
	FY92-05	FY92-05	Rate	FY92-05	Rate	FY92-05	Rate
Alabama	\$159,980,400	\$155,040,698	96.9%	\$130,845,238	81.8%	\$94,656,134	59.2%
Alaska	\$119,741,403	\$118,495,231	99.0%	\$118,454,484	98.9%	\$111,165,233	92.8%
Arizona	\$144,278,904	\$137,056,750	95.0%	\$104,054,517	72.1%	\$79,123,597	54.8%
Arkansas	\$99,054,010	\$90,460,604	91.3%	\$86,536,207	87.4%	\$83,045,487	83.8%
California	\$685,868,704	\$652,638,100	95.2%	\$542,950,061	79.2%	\$421,381,483	61.4%
Colorado	\$116,564,232	\$83,900,402	72.0%	\$86,080,416	73.8%	\$74,182,728	63.6%
Connecticut	\$104,343,178	\$96,296,217	92.3%	\$92,772,594	88.9%	\$78,119,811	74.9%
Delaware	\$42,924,198	\$52,537,968	122.4%	\$35,768,672	83.3%	\$29,416,519	68.5%
District of Columbia	\$35,910,976	\$32,250,237	89.8%	\$30,361,527	84.5%	\$20,708,276	57.7%
Florida*	\$437,127,533	\$399,449,971	91.4%	\$317,456,598	72.6%	\$285,042,787	65.2%
Georgia	\$304,812,575	\$270,842,396	88.9%	\$209,075,994	68.6%	\$179,852,901	59.0%
Hawaii	\$65,978,350	\$51,257,633	77.7%	\$51,257,633	77.7%	\$33,110,955	50.2%
Idaho	\$55,749,046	\$41,210,400	73.9%	\$41,375,446	74.2%	\$33,836,506	60.7%
Illinois	\$305,798,277	\$250,223,383	81.8%	\$216,090,722	70.7%	\$174,215,274	57.0%
Indiana	\$215,164,204	\$270,087,806	125.5%	\$167,412,789	77.8%	\$141,000,403	65.5%
Iowa	\$110,310,174	\$96,777,700	87.7%	\$92,828,873	84.2%	\$75,680,292	68.6%
Kansas	\$110,215,620	\$106,462,599	96.6%	\$86,835,884	78.8%	\$70,740,728	64.2%
Kentucky	\$136,218,254	\$134,539,074	98.8%	\$128,635,535	94.4%	\$91,212,323	67.0%
Louisiana	\$120,146,877	\$97,690,286	81.3%	\$60,456,331	50.3%	\$50,640,835	42.1%
Maine	\$41,042,571	\$47,188,066	115.0%	\$28,256,686	68.8%	\$26,268,477	64.0%
Maryland	\$125,238,246	\$127,245,403	101.6%	\$96,698,860	77.2%	\$72,220,673	57.7%
Massachusetts**	\$137,190,136	\$76,342,855	55.6%	\$51,787,268	37.7%	\$28,415,386	20.7%
Michigan	\$264,213,989	\$229,065,041	86.7%	\$187,780,224	71.1%	\$149,577,078	56.6%
Minnesota***	\$155,341,407	\$137,310,822	88.4%	\$116,575,802	89.7%	\$107,338,714	82.5%
Mississippi	\$101,541,978	\$78,004,113	76.8%	\$79,587,434	78.4%	\$64,840,756	63.9%
Missouri	\$161,128,906	\$160,037,744	99.3%	\$122,904,502	76.3%	\$97,976,040	60.8%
Montana	\$73,863,632	\$52,825,537	71.5%	\$55,096,627	74.6%	\$45,984,879	62.3%
Nebraska	\$66,500,662	\$64,747,156	97.4%	\$57,380,410	86.3%	\$41,356,556	62.2%
Nevada	\$63,018,302	\$55,344,259	87.8%	\$46,227,505	73.4%	\$40,957,885	65.0%
New Hampshire	\$45,432,531	\$33,933,089	74.7%	\$39,809,290	87.6%	\$31,527,529	69.4%
New Jersey	\$168,659,869	\$139,961,989	83.0%	\$120,152,555	71.2%	\$96,238,945	57.1%
New Mexico	\$83,675,563	\$74,017,800	88.5%	\$67,017,486	80.1%	\$58,350,971	69.7%
New York	\$323,208,165	\$253,494,734	78.4%	\$231,652,205	71.7%	\$163,208,399	50.5%
North Carolina	\$239,226,946	\$219,143,651	91.6%	\$193,656,172	81.0%	\$160,385,573	67.0%
North Dakota	\$58,841,708	\$40,355,753	68.6%	\$47,743,088	81.1%	\$43,834,401	74.5%
Ohio	\$263,315,901	\$194,643,648	73.9%	\$207,553,445	78.8%	\$182,347,353	69.3%
Oklahoma	\$134,502,208	\$118,049,129	87.8%	\$115,678,853	86.0%	\$77,525,220	57.6%
Oregon	\$99,044,184	\$76,499,227	77.2%	\$59,678,246	60.3%	\$52,211,305	52.7%
Pennsylvania	\$232,634,278	\$270,306,510	116.2%	\$169,350,188	72.8%	\$111,290,504	47.8%
Rhode Island	\$40,816,278	\$33,516,026	82.1%	\$39,669,489	97.2%	\$27,889,315	68.3%
South Carolina	\$145,539,215	\$67,411,904	46.3%	\$109,717,274	75.4%	\$82,905,771	57.0%
South Dakota	\$50,249,010	\$35,768,060	71.2%	\$34,577,594	68.8%	\$33,438,588	66.5%
Tennessee	\$173,615,857	\$174,578,508	100.6%	\$121,319,586	69.9%	\$86,611,165	49.9%
Texas	\$625,433,352	\$611,736,957	97.8%	\$344,337,254	55.1%	\$288,539,011	46.1%
Utah	\$61,411,050	\$43,180,730	70.3%	\$46,008,304	74.9%	\$39,667,637	64.6%
Vermont	\$39,499,309	\$42,858,564	108.5%	\$33,264,556	84.2%	\$26,660,123	67.5%
Virginia	\$185,237,237	\$195,686,136	105.6%	\$186,363,362	100.6%	\$89,652,088	48.4%
Washington***	\$133,707,034	\$115,528,399	86.4%	\$79,249,157	71.0%	\$70,514,175	63.2%
West Virginia	\$63,786,516	\$62,700,223	98.3%	\$56,218,980	88.1%	\$41,207,938	64.6%
Wisconsin	\$190,580,949	\$134,190,727	70.4%	\$104,916,704	55.1%	\$87,079,666	45.7%
Wyoming	\$47,749,749	\$43,499,450	91.1%	\$45,882,159	96.1%	\$41,536,040	87.0%
Puerto Rico	\$15,520,839	\$15,507,118	99.9%	\$15,520,839	100.0%	\$15,519,839	100.0%
Total*	\$7,980,954,492	\$7,161,896,783	89.7%	\$5,910,881,627	74.1%	\$4,710,210,278	59.0%

\* Florida's reported programmed figures result from their unique FY system, which begins and ends in June rather than September.

\*\* Due to a temporary miscategorization of funds, Massachusetts programming totals are currently missing the Fort Point Channel Restoration, which was awarded \$7,833,296 in TE funds. \*\*\* Minnesota and Washington figures have been adjusted for STP Pilot.

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Along with annual apportionments, Congress gives the Federal-aid Highway Program a limitation on obligations for that year to control annual federal expenditures. Obligation authority is then distributed among the states. Within the overall limitation, each state has flexibility to choose how to use funds among the various highway programs as long as the total obligations do not exceed the set limit. Therefore, while it may appear that states are not obligating all of their apportionment, not all of these funds may be accessible in a given year. For example, in FY 2003 Congress imposed an overall obligation limitation such that approximately 86 percent of total apportionments could be obligated.

Limitations on obligations should be kept in mind, as this report discusses TE obligation rates. These rates are calculated based on available funds (apportionment minus transfers) without considering obligation limitations.

**Table 1**, page 9, shows that as of September 30, 2005, 74.1 percent of all available TE funds (cumulative FY 1992 through FY 2005) had been obligated. This is a slight decrease from last year, when for the first time since the inception of the program, the cumulative national obligation rate met and slightly surpassed FHWA's stated goal of 75 percent. Even though the cumulative nationwide obligation rate has descended below this benchmark in FY 2005, the change is slight and most likely does not signify significant long term decline in obligations.

The amount of money states obligated during FY 2005 continued to decrease from the year before, as shown in **Figure 2** on page 14. This decrease may have resulted from uncertainty due to the continuing reauthorization process after TEA-21 expired on September 30, 2003. Uncertainty regarding the status of TE continued until Congress passed the new transportation act, SAFETEA-LU, on August 10, 2005. In addition, the amount of money obligated may have fallen slightly due to a drop in funds available for FY 2005 compared with FY 2004.

**Figure 3**, on page 14, provides a graphic representation of the cumulative amounts of TE funds made available relative to funds obligated through FY 2005.

In recent years, many states have made great strides in moving their programmed projects to completion and have developed more effective methods for obligating TE funds. Twenty four states have increased their obligation rates by more than 10 percentage points since FY 1999, as shown in **Table 2**, on page 12. The most dramatic increases have been in Arkansas, Missouri, Rhode Island, and Virginia, each with increases of more than 30 percentage points. Arizona, California, Iowa, Louisiana, Pennsylvania and Wisconsin have increased obligation rates by more than 20 percentage points.

Virginia attributes the increase not only to the efforts of its staff, but also to a change in accounting methodology. Previously, Virginia would obligate each project in phases. Now the entire project is obligated at the start. Rhode Island reports prioritized and concentrated efforts to get TE projects accomplished as the key to their increased obligations.

Other possible contributing factors to continued increases in obligations include the maturation of the TE program, the movement of older projects to the implementation stage, and a streamlining of project selection and management.

There are some important issues to note regarding programming data. While NTEC makes every effort possible to accurately reflect state project selection, it is likely that some errors occur because of data problems. For example, for 12 states, NTEC's program-

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ming figures are lower than actual obligations. The reasons for this could include:

- Older project data was not completely reviewed or updated (some states report an inability to track older, ISTEA-era projects);
- The project data provided to NTEC did not include all selected projects;
- Differences in methodology for tracking projects.

Another issue to note is that 8 states have programming totals that are higher than apportionments. Possible reasons for this include:

- States program more than their apportionments with the expectation that some projects may be dropped;
- Older project data was not updated, so projects that have been dropped or had their funding levels changed are not accounted for;
- Years assigned to projects may be incorrect, and some future-year programmed projects are included with past projects; and
- States may combine a TE project with other federal or state funds, but not differentiate these in their data submission to NTEC.

Every year as NTEC collects data, efforts are made to increase the accuracy of the database. Unfortunately, without a full review and reconciliation at the state level, discrepancies in programming figures will continue to exist. Nonetheless, the database and programming figures are still useful tools for the purposes of this report, and provide a centralized, national source of information about programmed projects that does not exist elsewhere.

### **Obligations: Background and Current Trends**

An obligation is a commitment by the federal government to reimburse states for the federal share of a project's cost. Obligation occurs when a formal project agreement is executed between the federal government and the state. Obligated funds are then committed to a particular project. State DOTs are required to report obligations to FMIS. NTEC obtains obligation figures from FMIS for each state at the close of the fiscal year.

The financing of federal-aid highway programs, such as TE, is a complex process. Part of the financing process is a budgetary control measure placed on obligations, referred to as limitations. A limitation on obligations is an upper limit placed on the sum of all obligations that can be made within a fiscal year for the entire Federal-aid Highway Program.

### **Obligations: Issues**

Obligation rates can be used to track the status of TE spending. They do not necessarily provide a clear picture of an individual state's TE Program. It is not NTEC's intention to rate or grade state programs. There are states that have demonstrated a clear commitment to TE projects and yet have lower obligation rates. Additionally, there are many TE-eligible projects being funded from sources other than TE. While trends can be outlined at the national level, obligation rates are best explained in terms of state-specific policies and procedures for implementing TE projects. In the past, NTEC solicited

**Table 2: Obligation Rates** Cumulative Obligation Rate by Fiscal Years 1999–2005

State	FY99	FY00	FY01	FY02	FY03	FY04	FY05	Change FY99–FY04
Alabama	70.5%	67.8%	74.7%	74.9%	75.6%	79.0%	81.8%	11.28 points
Alaska	100.0%	100.0%	100.0%	98.6%	99.3%	95.7%	98.9%	-1.07 points
Arizona	49.6%	55.3%	55.7%	56.1%	60.3%	67.3%	72.1%	22.52 points
Arkansas	56.4%	60.1%	72.9%	80.5%	93.2%	88.0%	87.4%	30.96 points
California	53.8%	66.3%	72.0%	77.0%	74.9%	79.7%	79.2%	25.36 points
Colorado	77.3%	76.3%	75.6%	74.1%	77.9%	75.3%	73.8%	-3.45 points
Connecticut	95.6%	93.2%	87.6%	84.0%	84.0%	87.8%	88.9%	-6.68 points
Delaware	68.9%	74.3%	68.1%	76.7%	76.5%	78.2%	83.3%	14.42 points
District of Columbia	84.8%	93.9%	90.0%	87.8%	100.0%	89.0%	84.5%	-0.25 points
Florida	99.9%	95.1%	89.5%	87.3%	81.9%	72.4%	72.6%	-27.27 points
Georgia	68.4%	71.2%	76.2%	75.4%	84.3%	75.8%	68.6%	0.19 points
Hawaii	69.3%	74.0%	76.0%	68.7%	84.1%	80.6%	77.7%	8.38 points
Idaho	55.7%	60.5%	62.1%	63.5%	66.9%	76.2%	74.2%	18.51 points
Illinois	63.5%	68.8%	68.3%	65.0%	65.5%	70.1%	70.7%	7.16 points
Indiana	63.8%	68.8%	76.7%	75.9%	78.9%	82.0%	77.8%	14.00 points
Iowa	57.3%	60.8%	59.1%	65.3%	75.3%	76.5%	84.2%	26.85 points
Kansas	74.0%	74.6%	80.8%	93.2%	83.0%	74.4%	78.8%	4.78 points
Kentucky	75.5%	80.4%	84.7%	84.4%	87.7%	90.4%	94.4%	18.93 points
Louisiana	30.3%	45.1%	43.9%	47.3%	49.4%	49.8%	50.3%	20.01 points
Maine	70.1%	69.6%	67.1%	67.0%	65.8%	70.7%	68.8%	-1.25 points
Maryland	73.3%	67.6%	76.5%	82.1%	79.1%	78.5%	77.2%	3.91 points
Massachusetts	47.2%	41.5%	38.6%	36.4%	37.0%	40.4%	37.7%	-9.45 points
Michigan	56.5%	60.4%	62.0%	64.2%	70.6%	71.4%	71.1%	14.57 points
Minnesota	75.7%	99.1%	100.0%	98.1%	98.5%	96.0%	75.0%	13.95 points
Mississippi	64.2%	74.5%	65.4%	70.6%	78.1%	79.4%	78.4%	14.17 points
Missouri	41.3%	46.1%	52.4%	65.0%	72.6%	80.3%	76.3%	34.97 points
Montana	78.0%	77.9%	80.9%	80.4%	78.7%	76.7%	74.6%	-3.41 points
Nebraska	71.6%	74.0%	70.7%	70.7%	71.9%	79.5%	86.3%	14.69 points
Nevada	69.4%	65.5%	61.9%	66.8%	70.4%	69.2%	73.4%	3.96 points
New Hampshire	75.6%	79.3%	79.6%	83.4%	85.2%	87.1%	87.6%	12.02 points
New Jersey	82.9%	79.3%	78.7%	76.3%	78.8%	76.8%	71.2%	-11.66 points
New Mexico	91.0%	83.5%	83.7%	81.2%	79.7%	77.0%	80.1%	-10.91 points
New York	75.0%	84.3%	83.3%	81.3%	87.5%	76.8%	71.7%	-3.33 points
North Carolina	70.3%	73.2%	76.9%	81.9%	83.8%	84.0%	81.0%	10.65 points
North Dakota	75.6%	79.3%	78.0%	82.0%	83.2%	80.8%	81.1%	5.54 points
Ohio	70.8%	67.6%	68.6%	67.5%	69.6%	80.7%	78.8%	8.02 points
Oklahoma	74.5%	78.4%	81.8%	84.7%	90.2%	88.4%	86.0%	11.51 points
Oregon	65.4%	59.3%	58.3%	59.9%	60.2%	61.3%	60.3%	-5.15 points
Pennsylvania	51.1%	51.5%	53.0%	53.8%	59.3%	64.2%	72.8%	21.69 points
Puerto Rico	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	0 points
Rhode Island	52.3%	50.7%	57.5%	64.6%	81.7%	92.6%	97.2%	44.89 points
South Carolina	66.7%	66.5%	67.2%	72.2%	76.6%	78.1%	75.4%	8.69 points
South Dakota	63.9%	59.3%	53.8%	55.1%	58.7%	60.3%	68.8%	4.91 points
Tennessee	62.8%	58.3%	54.4%	63.6%	70.4%	72.0%	69.9%	7.08 points
Texas	37.3%	39.2%	48.3%	52.5%	54.2%	58.3%	55.1%	17.76 points
Utah	74.6%	77.2%	72.5%	73.9%	71.4%	69.6%	74.9%	0.32 points
Vermont	85.2%	92.7%	89.3%	89.4%	85.2%	84.1%	84.2%	-0.984 points
Virginia	43.3%	47.6%	48.4%	80.9%	80.6%	95.1%	100.6%	57.31 points
Washington	98.5%	83.0%	83.6%	85.2%	83.3%	80.2%	59.3%	-39.236 points
West Virginia	75.4%	75.0%	84.3%	83.8%	87.4%	87.5%	88.1%	12.74 points
Wisconsin	25.8%	33.0%	44.1%	46.7%	52.3%	54.1%	55.1%	29.25 points
Wyoming	99.1%	99.3%	99.8%	99.6%	99.8%	96.7%	96.1%	-3.01 points
<b>TOTAL</b>	<b>65.5%</b>	<b>67.9%</b>	<b>69.8%</b>	<b>72.2%</b>	<b>74.4%</b>	<b>75.3%</b>	<b>74.5%</b>	<b>9.00 points</b>

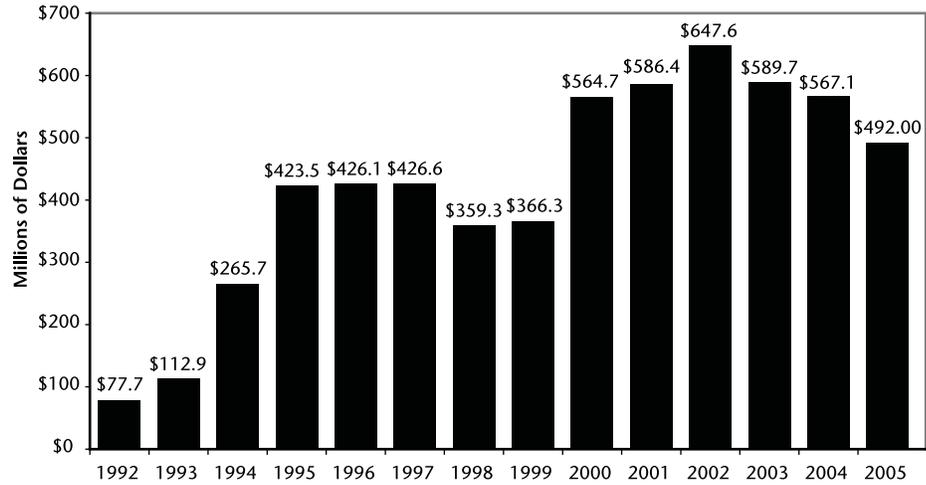
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feedback from all state TE managers in order to better understand the reasons why state obligation rates vary considerably. Insightful information on some of the problems states face in obligating TE funds reveals some of the factors that contribute to low obligation rates. Frequently mentioned were:

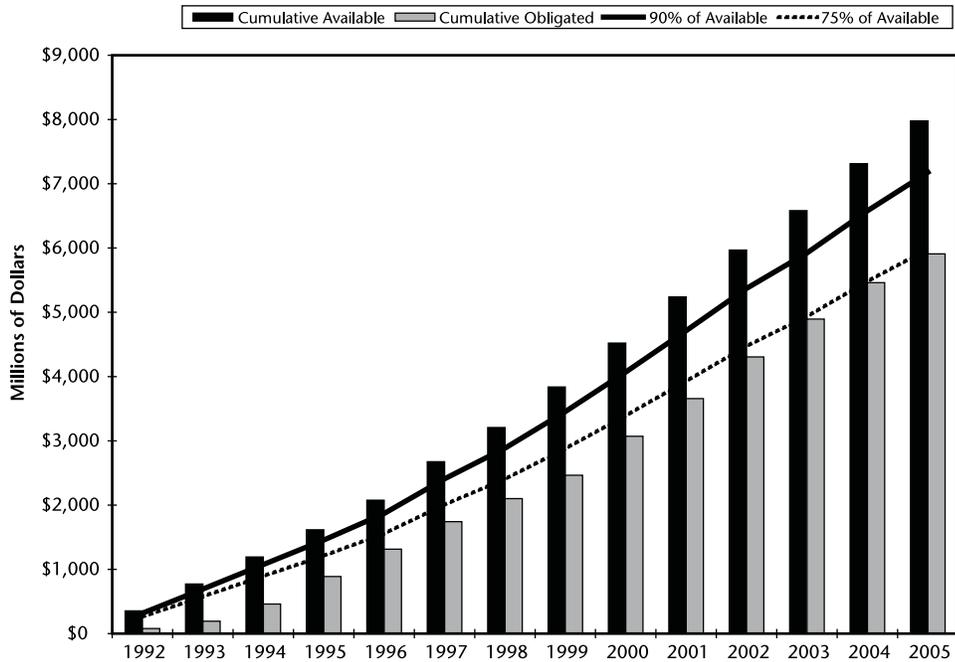
- **Inexperienced sponsors.** Problems in the project development process that have led to significant project delay are often the result of inexperienced project sponsors that lack the preparation and support to implement projects in a timely manner. Delays have resulted from inaccurate cost estimates, the inability to raise matching funds, an unfamiliarity with environmental and historic preservation review requirements, and the use of inappropriate design standards. Some states have effectively dealt with this problem by providing more support to project sponsors during the application process as well as during implementation by developing training programs, increasing staff resources, and hiring consultants.
- **Level of design detail and environmental review.** Some DOTs reportedly treat TE projects as if they were highways, requiring a level of design detail and environmental review that can be at odds with the small-scale nature of most TE projects and at odds with federal guidance that encourages a streamlined approach. Such strict requirements slow down the implementation of projects, thus creating a lag between the programming and obligation stages.
- **Right-of-way acquisition.** Some states have faced costly legal actions due to right-of-way issues and have subsequently adopted stringent requirements. To combat this problem, some states require applicants to obtain a written right-of-way agreement prior to project selection.
- **Accounting practices.** State procedures for obligating projects and varying accounting practices impact the obligation rate. Some states obligate project funds in stages as they are ready to proceed. Some states pay for only the construction phase of TE projects and release full obligation authority once construction is ready to occur. States with lower obligation rates often use one of these methods. States that release full project obligation for all stages earlier in the process tend to have higher obligation rates.
- **Obligation limitation.** FHWA sets the annual obligation limitation for the overall amount of federal-aid highway funds apportioned to each state based on the annual appropriations act. State DOTs have the authority to set priorities and choose which programs absorb the obligation limitation. Some state DOTs evenly distribute the limitation across all programs, while other DOTs place lower limitations on some programs at the expense of others considered to be of lower priority. A few state TE managers have reported that in their state TE is considered lower priority.

There is no simple explanation for low obligation rates, just as there is no single way of moving a project through the implementation process that will work in every state or for every project. The national obligation rate is the result of the many factors involved in using federal-aid highway funds managed by state DOTs and implemented by localities. Low obligations are an indication that there can be significant delays to moving projects forward and getting the funds into the communities that request them.

**Figure 2: TE Funds Obligated Each Fiscal Year FY 1992 through FY 2005**



**Figure 3: TE Obligation Trends FY 1992 through FY 2005**



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## Reimbursements

The final stage of TE project funding is reimbursement for work completed. **Table 1**, on page 9, shows that the cumulative national reimbursement rate (as a percentage of apportioned funds) at the end of FY 2005. The reimbursement rate was 59 percent, an increase of 1.6 percentage points over the reimbursement rate at the end of FY 2004. Reimbursement rates range among states from a low of 20.7 percent in Massachusetts to a high of 92.8 percent in Alaska.

The reimbursement rate will always be lower than the obligation rate, since work cannot be reimbursed if it has not occurred. It is likely that the reimbursement rate will continue to increase in future fiscal years as authorized work on TE projects is completed. Nonetheless, reimbursements represent completed work, and at 59 percent after 14 years, the reimbursement rate indicates how slowly TE projects move from selection to completion.

## Transfers

The Uniform Transferability Provision (23 U.S.C. 126) limits the amounts of funds that can be transferred from TE to other federal-aid highway programs in a given year. States can transfer up to 25 percent of the portion of the annual TE funding that is above the state's FY 1997 TE apportionment level. States are also permitted to transfer TE funds to the Federal Transit Administration (FTA) under the requirements of Chapter 53 of title 49 U.S.C. There is no limit on the amount that can be transferred to FTA; however, the transferred funds must be used for TE-eligible activities.

In FY 2005, six states transferred a total of \$4.7 million out of TE and into other programs as allowed by Uniform Transferability Provision. This is a significant decrease from the \$13.9 million transferred in FY 2004. Of the \$4.7 million total, \$4.5 million was transferred to FTA for TE-eligible activities. **Table 3**, on page 16, provides a comparison of transfers from TE since FY 1999. In FY 2005, the largest sum transferred was by California to the FTA, as shown in the table. The majority of all funds transferred since FY 1999, \$41.9 million, have gone to the FTA.

The amount of money transferred is small in comparison to the total funds available for TE projects during FY 2005. The amount transferred to date, \$63.5 million, accounts for less than one percent (0.8 percent) of cumulative available funds. Transfers are thus a very small percentage of available funds and do not significantly detract from the funding of TE activities. Furthermore TE funds transferred to the FTA are used for TE-eligible projects.

Table 3: Transfers of TE Funds (to Federal Transit Administration, National Highway Program, and Recreational Trails Program)

STATE	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	Total TE Funds Transferred FY1999-2004
CALIFORNIA		\$84,7000 (FTA)	\$1,966,265 (FTA)	\$257,292 (FTA)	\$7,883,000 (FTA)	\$4,561,000 (FTA)	\$3,425,500 (FTA)	\$21,359,765
COLORADO				\$168,000 (FTA)	\$325,000 (FTA)	\$28,000 (FTA)	\$226,872 (FTA)	\$837,164
FLORIDA							\$500,000 (FTA)	\$668,000
ILLINOIS			\$88,000 (FTA)					\$88,000
IOWA			\$72,000 (FTA)		\$16,800 (FTA)			\$88,800
MICHIGAN			\$155,000 (FTA)	\$28,000 (FTA)	\$185,840 (FTA)			\$368,840
MISSOURI (also Missouri)	\$1,062,624 (NHS)	\$2,699,243 (NHS)	\$1,136,805 (FTA)	\$294,790 (FTA)	\$1,562,800 (FTA)			\$10,225,428
			\$1,341,721 (NHS)	\$1,340,060 (NHS)	\$787,385 (NHS)			
MONTANA			\$45,513 (FTA)					\$45,513
NEW JERSEY			\$2,000,000 (FTA)		\$1,000,000 (FTA)	\$1,000,000 (FTA)		\$4,000,000
NEW YORK					\$980,000 (FTA)			\$980,000
OHIO			\$183,750 (FTA)	\$196,000 (FTA)		\$184,800 (FTA)	\$325,600 (FTA)	\$890,150
PENNSYLVANIA						\$640,150 (FTA)	\$40,024 (FTA)	\$680,174
RHODE ISLAND			\$64,000 (FTA)		\$88,800 (FTA)			\$152,800
TENNESSEE		\$448,112 (RTP)	\$661,701 (RTP)	\$790,617 (RTP)	\$225,547 (RTP)			\$2,125,977
TEXAS (also Texas)				\$2,752,320 (FTA)		\$1,804,741 (FTA)	\$179,650 (NHS)	\$10,433,975
						\$5,697,264 (NHS)		
VERMONT					\$310,684 (FTA)			\$310,684
VIRGINIA			\$17,914 (FTA)	\$6,350,686 (NHS)				\$6,368,600
WASHINGTON			2,615,000 (FTA)	\$1,232,333 (FTA)				\$3,847,333
<b>SUBTOTALS</b>								
to FTA		\$1,162,000	\$8,074,047	\$7,763,575	\$12,150,284	\$8,218,691	\$4,517,996	\$41,886,593
to NHS	\$1,062,624	\$2,699,243	\$1,341,721	\$7,690,746	\$787,385	\$5,697,264	\$179,650	\$19,458,633
to Rec Trails		\$448,112	\$661,701	\$790,617	\$225,547			\$2,125,977
<b>TOTAL</b>	<b>\$1,062,624</b>	<b>\$4,309,355</b>	<b>\$10,077,469</b>	<b>\$16,244,938</b>	<b>\$13,163,216</b>	<b>\$13,915,955</b>	<b>\$4,697,646</b>	<b>\$63,471,203</b>

## DISTRIBUTION ACROSS THE 12 TRANSPORTATION ENHANCEMENT ACTIVITIES

One of the most important uses of NTEC's national TE project list is interpreting how TE funds are being spent across the 12 eligible activities. The funding levels represented in this database are *programming* numbers, not obligations. In order to more fully understand the programming data results, it is important to note that programming numbers are obtained through a voluntary survey of state DOTs.

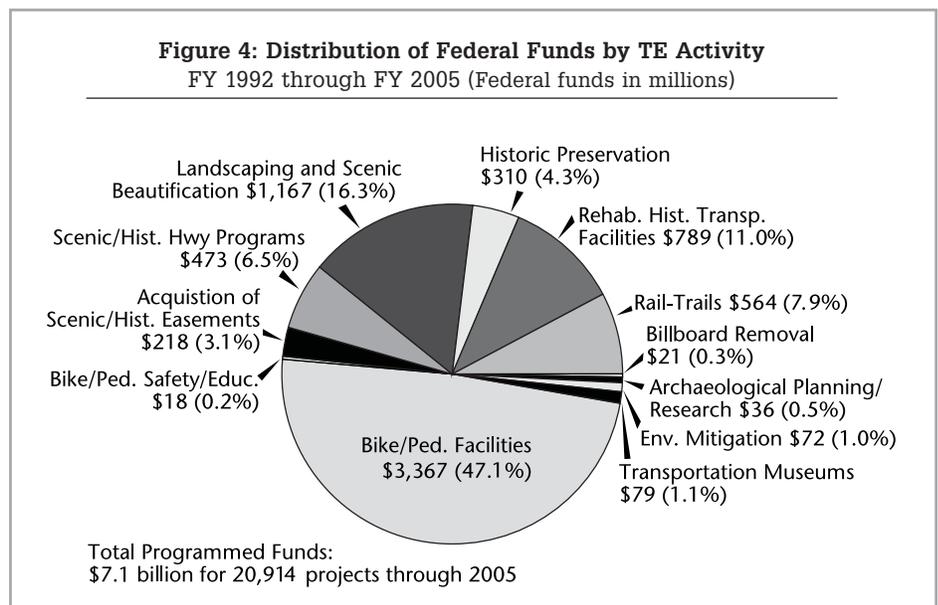
### Data Results by Transportation Enhancement Activity

**Figure 4** illustrates the distribution of funds across all 12 activities for FY 2005. Overall, the percentages have shifted only slightly from previous years. Bicycle and pedestrian facilities (Activity 1) received almost half of all programmed funds at 47.1 percent.

Activities 4, 5, 6 and 7 (grouped together) account for the second largest percentages of funding. Activity 5, landscaping and scenic beautification, accounts for 16.3 percent of TE funds. The majority of projects in the landscaping and scenic beautification category involve landscaping along highways and at interchanges, including native wildflower planting. Streetscape projects are also popular in this category, and their numbers have been increasing. The average Activity 5 project funding award is \$279,335, lower than for the average project (\$341,712) as discussed later in this report. Landscaping and scenic beautification projects generally require less preliminary engineering, right-of-way acquisition, and permitting than other types of TE projects and generally can be completed more quickly.

Average funding for Activity 4 projects, scenic or historic highway programs, was \$490,384, higher than the average TE project. Over one third of these projects are visitor centers. Many also pertain to restoration of historic highway facilities such as gas stations, stagecoach inns, ferry landings or other highway related infrastructure.

Activities 6 and 7, historic preservation and rehabilitation of historic transportation facilities together account for 15.3 percent of funding. This percentage has decreased since FY 2000. Historic preservation and rehabilitation projects are generally more complex, require more engineering and design, and take longer to



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# The 12 Types of Transportation Enhancement Activities

The term Transportation Enhancement Activity means any of the following as they relate to surface transportation.

- 1 **Pedestrians and bicycle Facilities:** New or reconstructed sidewalks, walkways, curb ramps, bike striping, paved shoulders, bike parking, bus racks, off-road trails, bike and pedestrian bridges and underpasses.
- 2 **Safety and educational activities for pedestrians and bicyclists:** Programs designed to encourage walking and bicycling by providing potential users with education and safety instruction through classes, pamphlets, and signage.
- 3 **Acquisition of scenic easements and scenic or historic sites, including historic battlefields:** Acquisition of scenic land easements, vistas, and landscapes, including historic battlefields; purchase of buildings in historic districts or historic properties.
- 4 **Scenic or historic highway programs including tourist and welcome center facilities:** Construction of turnouts, overlooks, visitor centers, and viewing areas, designation signs, and markers.
- 5 **Landscaping and other scenic beautification:** Street furniture, lighting, public art, and landscaping along streets, highways, trails, waterfronts, and gateways.
- 6 **Historic preservation:** Preservation of buildings and facades in historic districts; restoration and reuse of historic buildings for transportation-related purposes; access improvements to historic sites and buildings.
- 7 **Rehabilitation and operation of historic transportation buildings, structures, or facilities:** Restoration of historic railroad depots, bus stations, canals, and lighthouses; rehabilitation of rail trestles, tunnels, and bridges.
- 8 **Preservation of abandoned railway corridors and the conversion and use of the corridors for pedestrian or bicycle trails:** Acquiring railroad rights-of-way; planning, designing and constructing multi-use trails; developing rail-with-trail projects; purchasing unused railroad property for reuse as trails.
- 9 **Inventory, control, and removal of outdoor advertising:** Billboard inventories or removal of nonconforming billboards.
- 10 **Archaeological planning and research:** Research, preservation planning and interpretation; developing interpretive signs, exhibits, guides, inventories, and surveys.
- 11 **Environmental mitigation to address water pollution due to highway runoff or to reduce vehicle-caused wildlife mortality while maintaining habitat connectivity:** Runoff pollution mitigation, soil erosion controls, detention and sediment basins, river clean-ups, and wildlife crossings.
- 12 **Establishment of transportation museums:** Construction of transportation museums, including the conversion of railroad stations or historic properties to museums with transportation themes and exhibits or the purchase of transportation related artifacts.

The examples in this list are not comprehensive. Although the federal government provides guidance and ensures compliance, states are responsible for selecting projects.

complete than landscaping projects which could account for their declining share of TE funds. Railroad depot renovations account for the majority of funds in these two categories. Historic bridge rehabilitations also account for a large share of these funds. The average project size in these categories is \$372,683, higher than the average TE project.

The cumulative amount of TE funds devoted to rail-trails has dropped from 14 percent in FY 1999 to 7.9 percent in FY 2005. The average rail-trail project received \$462,353 in TE funds. This figure is larger than funding for the average TE project. Rail-trail projects are often considered more complex and take longer to realize than other types of TE projects which may contribute to their declining numbers.

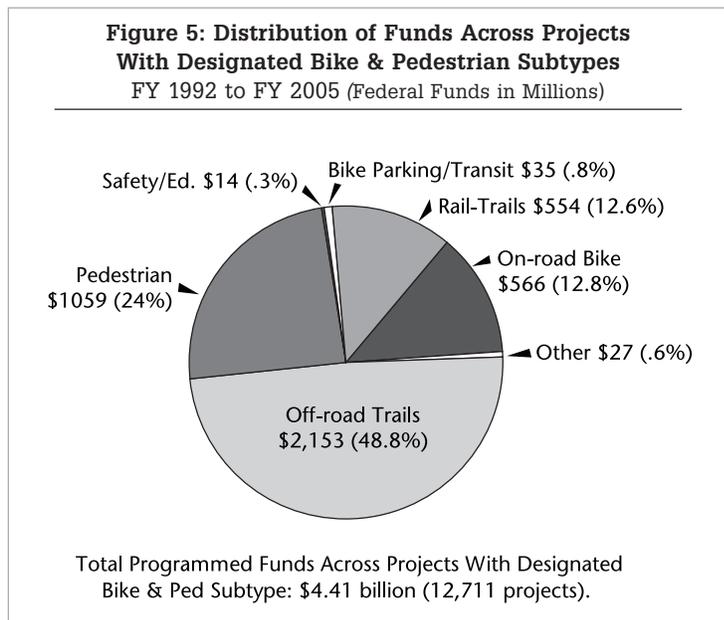
### Bicycle and Pedestrian Project Subtypes

Historically, bicycle and pedestrian facilities have had the largest percentage shares of programmed TE funds. NTEC tracks the distribution of funds within these activities as “subtypes” of the activities. State DOTs provide information on the subtype for each bicycle and pedestrian project in the project listing. **Figure 5** presents the distribution of federal programmed funds to TE project categories with a strong bicycle and pedestrian component (primarily, but not limited to, TE Activities 1, 2, 5, and 8). As shown below, off-road trails comprise the majority of projects in these categories. Within this category, Pedestrian and Bicycle facilities (primarily Activities 1, 2, 5, and 8), projects that focus on pedestrian facilities account for the second largest share of programmed TE funds, while respectively, on-road bicycle facilities and rail-trails comprise the next largest shares.

### Future Programming

Sixteen states programmed 1,578 projects for future years (beyond 2005). Bicycle and pedestrian facilities account for 55.2 percent of future programmed funds, and landscaping projects will receive 24.3 percent. The percentage of funds programmed for rehabilitation of transportation facilities, historic preservation and scenic acquisition are all slightly lower than their current cumulative programming levels.

While these figures show a shift across TE activities, they should not be interpreted as a prediction of where TE funds will be programmed by all states in future fiscal years since not all states programmed projects for future years. These numbers only provide an interesting glimpse into any future funds that have been committed.



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## PROGRAMMED FEDERAL AWARDS AND MATCH RATES

The national project list provides funding information on a project-by-project basis. These data allow NTEC to analyze the average project award in each state. **Table 4** illustrates that in FY 2005 the average federal project award was \$341,921 nationwide. Average awards by state varied from \$100,812 in Montana to \$1,385,341 in Hawaii.

The Federal-aid Highway Program requires that federal highway funds be matched with funds from other sources. These funds are commonly referred to as the non-federal share of project costs even though the match can come from another federal agency. In general, projects receive a maximum 80 percent federal share and minimum 20 percent non-federal share. However, states with large federal land holdings receive more than an 80 percent federal share on a sliding scale. Statutory provisions allow the ratios to vary on a project-by-project basis provided that for a given fiscal year, the program as a whole reflects an average 20 percent non-federal share, subject to the sliding scale.

Each state DOT establishes its own guidelines and requirements for providing the non-federal share of project costs. States require local sponsors to provide a share of project costs. The amount required varies by state.

- Arizona, for example, with its large federal land holdings and higher federal share, passes along the “savings” in non-federal share by requiring only a 5.7 percent match of total project costs by project sponsors.
- Maryland, on the other hand, requires a 50 percent match by project sponsors in order to spread the available federal funds across more projects.
- Some states (e.g. Florida, New Jersey, and Pennsylvania) use toll credits to supplement sponsor contributions and meet non-federal share requirements.

All states are allowed by law to count the value of donations (e.g. cash, land, materials, or services) towards the non-federal share. Some states recognize these in-kind donations as part of the non-federal share, others do not. An overview of state-specific policies can be found on the NTEC Web site.

States report non-federal share information to NTEC in different ways. Some states report the entire non-federal share of projects costs, while others (e.g. Florida) report only the portion of the non-federal share that the sponsor actually pays, and not the portion supplied by toll credits. Some states report the value of in-kind donations, others do not. **Table 4** provides information on matching fund levels reported by each state.

In FY 2005, the average national match rate was 28.5 percent. As in previous years, this rate surpassed the Federal Share required under 23 U.S.C., 120. **Table 4** shows that 36 states had a match rate higher than 20 percent, and 13 of these states had a rate higher than the national average of 28.5 percent. Overall, this higher national match rate is attributable to state policies that encourage or require a higher non-federal share, project sponsors voluntarily providing more funds than required, or the state choosing not to use federally-approved procedures for reducing or eliminating the required non-federal share.

**Table 4: Programmed Federal Awards and Matching Funds FY 1992 through FY 2005**

State	Project Count	Federal Awards	Avg. Federal Award	Matching Funds	Match Rate*
Alabama	696	\$155,040,698	\$222,760	\$38,297,042	19.8%
Alaska	251	\$118,495,230	\$472,093	\$14,153,535	10.7%
Arizona	364	\$137,056,750	\$376,530	\$37,272,370	21.4%
Arkansas	422	\$90,460,604	\$214,362	\$28,224,296	23.8%
California	1007	\$652,638,100	\$648,101	\$349,259,000	34.9%
Colorado	442	\$83,900,402	\$189,820	\$28,621,633	25.4%
Connecticut	156	\$96,296,217	\$617,283	\$23,971,516	19.9%
Delaware	149	\$52,537,968	\$352,604	\$45,581,418	46.5%
District of Columbia	62	\$32,250,237	\$520,165	\$6,039,761	15.8%
Florida*	1103	\$399,449,971	\$362,149	\$18,864,367	4.5%
Georgia	588	\$270,842,396	\$460,616	\$66,581,334	19.7%
Hawaii	37	\$51,257,633	\$1,385,341	\$18,883,572	26.9%
Idaho	126	\$41,210,400	\$327,067	\$10,195,100	19.8%
Illinois	365	\$250,223,383	\$685,544	\$64,529,768	20.5%
Indiana	496	\$270,087,806	\$544,532	\$98,528,839	26.7%
Iowa	508	\$92,544,965	\$182,175	\$86,797,989	48.4%
Kansas	229	\$106,462,599	\$464,902	\$21,882,483	17.0%
Kentucky	611	\$134,539,074	\$220,195	\$43,822,009	24.6%
Louisiana	343	\$97,690,286	\$284,811	\$20,344,630	17.2%
Maine	247	\$47,188,066	\$191,045	\$14,369,337	23.3%
Maryland	212	\$127,245,403	\$600,214	\$190,746,608	60.0%
Massachusetts	243	\$76,342,855	\$314,168	\$20,991,408	21.6%
Michigan	1123	\$229,065,041	\$203,976	\$101,324,735	30.7%
Minnesota	381	\$137,310,822	\$360,396	\$76,320,469	35.7%
Mississippi	161	\$78,004,113	\$484,498	\$26,487,767	25.3%
Missouri	634	\$160,037,744	\$252,425	\$79,495,739	33.2%
Montana	524	\$52,825,537	\$100,812	\$23,772,935	31.0%
Nebraska	557	\$64,747,156	\$116,243	\$21,436,203	24.9%
Nevada	110	\$55,344,259	\$503,130	\$14,889,923	21.2%
New Hampshire	135	\$33,933,089	\$251,356	\$8,558,294	20.1%
New Jersey*	364	\$139,961,989	\$384,511	\$79,983,305	36.4%
New Mexico	261	\$74,017,800	\$283,593	\$24,681,100	25.0%
New York	423	\$253,494,734	\$599,278	\$122,843,614	32.6%
North Carolina	827	\$219,543,651	\$265,470	\$60,347,880	21.6%
North Dakota	174	\$40,355,753	\$231,930	\$12,515,873	23.7%
Ohio	471	\$194,643,648	\$413,256	\$47,320,282	19.6%
Oklahoma	313	\$118,049,129	\$377,154	\$29,715,131	20.1%
Oregon	167	\$76,499,227	\$458,079	\$27,525,295	26.5%
Pennsylvania*	668	\$270,306,510	\$404,650	\$63,839,896	19.1%
Rhode Island	148	\$33,516,026	\$226,460	\$6,161,183	15.5%
South Carolina	487	\$67,411,904	\$138,423	\$32,657,618	32.6%
South Dakota	180	\$35,768,060	\$198,711	\$20,340,013	36.3%
Tennessee	481	\$174,578,508	\$362,949	\$41,439,034	19.2%
Texas	532	\$611,736,957	\$1,149,881	\$144,931,249	19.2%
Utah	113	\$43,359,130	\$383,709	\$15,964,088	26.9%
Vermont	261	\$42,858,564	\$164,209	\$12,194,128	22.1%
Virginia	1039	\$195,686,136	\$188,341	\$382,808,902	66.2%
Washington	527	\$115,528,399	\$219,219	\$63,186,487	35.4%
West Virginia	357	\$62,700,223	\$175,631	\$15,675,066	20.0%
Wisconsin	533	\$134,190,727	\$251,765	\$37,854,865	22.0%
Wyoming	282	\$43,499,450	\$154,253	\$8,513,951	16.4%
<b>TOTAL</b>	<b>20890</b>	<b>\$7,142,735,330</b>	<b>\$341,921</b>	<b>\$2,850,743,041</b>	<b>28.5%</b>

\*Most match figures above do not account for the value of toll credits or "soft match"

## Conclusions

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**T**ransportation Enhancement funds are in high demand. The number of requests for projects exceeds available funding and sponsors are providing larger than required non-federal share of project costs. Despite the uncertainties before the enactment of SAFETEA-LU, states selected projects for FY 2005 and even selected projects for future fiscal years.

The 12 TE activities were funded at similar percentages as in past years with some minor adjustments. Activity 1, bicycle and pedestrian related facilities, continues to be the highest funded activity type. The percentage of historic preservation rehabilitation projects and rail-trails declined slightly while the number of landscaping and scenic beautification projects increased.

FHWA's stated goal for the national cumulative obligation rate of the TE program is at least 75%. This goal was met and surpassed for the first time since the inception of the TE program in FY 2004. This year however, the cumulative national obligation rate has declined slightly to 74.1%. TE obligation rates consistently remain lower than other federal-aid highway programs. Data once again indicates that there is a lag between selection and implementation of TE projects as indicated by lower than optimal obligation and reimbursement rates. Cumulative obligation rates help indicate how effectively projects move from vision to reality.

The delay between project selection and obligation yields lower obligation figures. Delays may be caused by: lengthy review processes; unprepared and inexperienced project sponsors; and state priorities and procedures for obligating TE projects. Of these, state priorities may be the most important as indicated by the higher obligation rates in nearly every other federal-aid highway spending category. States have the flexibility to prioritize and distribute obligation limitation among the various programs. This discretion has had an impact on the overall spending of TE funds.

Nationwide, there has been an overall trend towards increasing obligation rates over the life of the program. This in part reflects the time needed to obligate funds. Many state DOTs have also worked hard to reexamine their administration of TE funds and projects to remove obstacles and streamline project implementation. Unobligated funds, however, mean unrealized TE projects. These unrealized projects could bring social and economic benefits to communities. More work can be done to make the timely delivery of TE projects a greater priority and bring the obligation rate to the level of other federal-aid highway programs.

## Appendix A: Federal-Aid Financing Terminology

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**Apportionments** are the funds distributed among the states as prescribed by statutory formula. Transportation Enhancements funds represent a minimum 10 percent set aside of each state's Surface Transportation Program (STP) funds, plus 10 percent of the portion of Equity Bonus Program distributed to the STP.

**Programming** is the first step in the formal transportation spending process. *Programmed* projects are those that have been approved at the state level by the appropriate jurisdiction, ruling body, or official. This may be the TE advisory committee, state transportation commission, legislature, state Secretary of Transportation, or Governor. Upon approval TE projects are listed in the Statewide Transportation Improvement Program (STIP) and, if appropriate, in a metropolitan area TIP as well. The figures presented in this report as *programmed* are cumulative totals beginning with the first fiscal year of ISTEA, 1992. As states make revised funding levels available for projects programmed in earlier years, these changes are reflected in the NTEC database.

**Obligations** represent a second step in the spending process. An obligation is the formal commitment of a specified amount of funding for a particular project. Technically speaking, it is an obligation of the FHWA to reimburse a state for costs incurred. It represents a high level of commitment on the part of both the state DOT and the FHWA to fund a project. Obligations are typically made when a project or discrete project phase is ready to have consultants or contractors begin billable work. Obligations are tracked in the FHWA financial accounting system known as the Fiscal Management Information System (FMIS). In this report, the obligation figures used are also cumulative for FY 1992 through FY 2005. It should be noted that obligation figures by definition include a mix of both completed and soon-to-be completed work.

**Reimbursements** are the amount of funds FHWA has reimbursed to the states for completed work on TE projects, regardless of whether the project is only partially or fully complete. Reimbursement is essentially the last step in the spending process. While it is not necessarily the most accurate measure of completed projects, it is the only measure readily available on a nationwide basis.

**Transfers** indicate the amounts of money transferred from the TE program to other transportation programs. The Uniform Transferability Provision (23 U.S.C. 126) limits the amounts of funds that can be transferred from TE to other federal-aid highway programs in a given year. States can transfer up to 25 percent of the portion of the annual TE funding that is above the state's FY 1997 TE apportionment level. States are also permitted to transfer TE funds to the Federal Transit Administration (FTA) under the requirements of Chapter 53 of title 49, U.S.C. There is no limit on the amount that can be transferred to FTA; however, the transferred funds must be used for TE-eligible activities. Transfers are tracked by FMIS.

**STP Pilot Program Transfers:** During ISTEA, Washington and Minnesota were part of a test pilot program with FHWA for transferring STP funds, including TE, to a special streamlined account. The DOTs still spent these funds on the STP programs from which the funds originated (i.e., transferred TE funds still were spent on TE projects). The test account was closed with the passage of TEA-21, so no other transfers occurred. NTEC includes the value of Washington and Minnesota's special account transfers into these states' obligation rates, since the funds were obligated for TE projects. Overall, Washington transferred and spent \$18,258,375 on TE projects through this special account, and Minnesota transferred and spent \$25,309,910 on TE projects through this special account.

## Appendix B: NTEC Resources

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### National Transportation Enhancements Clearinghouse (NTEC)

The National Transportation Enhancements Clearinghouse (NTEC) is funded by the Federal Highway Administration and exists to increase knowledge of the Transportation Enhancements program. The Clearinghouse provide free services to professionals, policy makers, agencies, and the media.

#### Available Resources and Expertise:

- **Web site** with project examples, searchable project database, contact information for professionals in each state, and downloadable documents:  
**www.enhancements.org**
- **State Transportation Enhancements Program Profiles** outlining project nomination, selection, and funding procedures for each state.
- **Connections**, a free quarterly newsletter featuring TE news, policies, administration, and projects.
- **Documents** (including this report), guidebooks, reports, and manuals related to Transportation Enhancements.

These publications provide examples of successful TE projects as well as information on applying for TE funds and implementing TE projects.

All publications are on the NTEC Web site ([www.enhancements.org](http://www.enhancements.org)) or can be obtained by calling **888-388-NTEC (6838)**.

## Appendix C: State Program Short Descriptions

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*The following section includes short descriptions from states who voluntarily provided more information regarding their Transportation Enhancements program. These descriptions are intended to give more context to the numbers presented in this report for an individual state. This section was open for submissions from all states. Details on state TE program profiles are available on NTEC's Web site: [www.enhancements.org](http://www.enhancements.org).*

### **ARIZONA** Updated May 2005

Since 1992, the Arizona Department of Transportation (ADOT) has been administering the Transportation Enhancements (TE) Program. Each year, after removing \$1 million from their 10% STP allotment for state highway projects already in development, ADOT, divides the balance in half and creates a fund for local TE projects and a fund for state TE projects.

Virtually anyone can apply for Transportation Enhancement funding through ADOT. However, to receive consideration and be awarded funding, the project must be sponsored by a government or local government agency like a city, tribe, or federal land management agency. Project conceptions must first be submitted to their local Metropolitan Planning Organization (MPO) or council of government (COG) representative. The MPO/COG will evaluate the concept and provide advice to assist the applicant in the process. The MPO/COGs submit project applications to ADOT once a year.

Upon receipt of the state and local project applications, ADOT staff sorts the applications for distribution to the Transportation Enhancement Review Committee (TERC) and conducts field reviews. Both local and state projects are then ranked, funding as many of those projects as possible based on available dollars.

Following approval, a workshop is held to explain the federal aid development process to all project sponsors. Typical project development time is 3 years.

### **DELAWARE** Updated May 2005

The Delaware Department of Transportation (DelDOT) TE Program builds on the federal program in two very important ways. First, DelDOT uses greater than 10 percent of its STP funds and adds a significant amount of state funds to support the Program. Second, although all projects funded under the Program must fall into one or more of the above-referenced activities, DelDOT focuses on projects that support local economic development efforts and increase the quality of Delawareans' lives. Applications are accepted on a continuous basis and individual TE projects may be funded up to \$1,000,000. Although the FHWA requires a 20 percent match, DelDOT adopted a graduated scale that enables smaller communities to benefit from the Program (see the table to the right). DelDOT then makes up for the difference to meet the FHWA requirement.

Project Cost Estimate	Required Match
≤\$1,000,000	20%
≤\$900,000	18%
≤\$800,000	16%
≤\$700,000	14%
≤\$600,000	12%
≤\$500,000	10%
≤\$400,000	8%
≤\$300,000	6%
≤\$200,000	4%
≤\$100,000	2%

### **DISTRICT OF COLUMBIA** Updated May 2006

The District Department of Transportation (DDOT) accepts applications for enhancement funding roughly from June until about mid-August. At that time, DDOT notifies the panel (including representatives from other District Departments such as Arts and Humanities, Planning, Parks and Recreation, and Housing and Community Develop-

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ment) of the applications. A panel meeting is convened in September, after the panel has reviewed the applications.

The panel reviews applications looking for linkages to the Mayor's Strategic Plan, the Transportation Vision Plan, and Strategic Neighborhood Action Plans (SNAPs). Priority will be placed on those projects that have been included in other previous initiatives or plans. Reviewers will also ask how the community benefits from the project. Other determining factors include: Could this project be implemented when another adjacent or related project is implemented? Does the project treat a symptom of a larger problem or is it a self-contained project that enhances the existing infrastructure? Is enhancement funding the best type of funding to use in implementing the project? How will the community contribute to the implementation or maintenance of the project? Has the applicant organization partnered with other organizations? Finally, acceptance letters are sent out in late September/early October for funding in that fiscal year.

**IOWA** *Updated May 2006*

The intent of the program in Iowa is to fund enhancement or preservation activities of transportation related projects. Applications are divided into one of the following categories:

- Trails and bikeways;
- Historic and archaeological; and/or
- Scenic and environmental.

Public agencies and private non-profit organizations and/or individuals are eligible to apply. Private sponsorship will require a public agency co-sponsor.

A minimum 30 percent local match is required for statewide enhancements; 20 percent or more local match is required for regional enhancement projects as determined by Regional Planning Agency (RPA) or MPO policies. Enhancements must have a direct relationship to the existing or planned surface transportation facilities. Projects or areas served by enhancement activities must fit one or more of the TE categories.

Depending on regional or statewide impact of the project, applications can be submitted to either the Iowa Department of Transportation or the appropriate RPA or MPO.

Statewide projects require filing of an application on a form provided by the Iowa DOT. Regional projects are filed with a form from the appropriate RPA/MPO. Minimum total project size for statewide enhancements is normally approximately \$100,000. RPAs and MPOs may have different guidelines for regional/metropolitan applications.

Approximately \$4.5 million is available for statewide projects and \$4.5 million is available for regional projects. Statewide projects are those that go beyond regional or metropolitan boundaries and enhance the state transportation system, benefit state tourism, or are consistent with statewide planning.

**ILLINOIS** *Updated May 2005*

The goal of the Illinois Transportation Enhancement Program (ITEP) is to allocate resources to well-planned projects that 1) provide and support alternate modes of transportation, 2) enhance the transportation system through preservation of visual and cultural resources, and 3) improve the quality of life for members of the communities.

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The ITEP proved to be a highly competitive program; during ISTEA we received approximately four times the amount in application dollars than we had available for the program. We funded 247 projects for a program total of \$139 million; project applications were solicited in three separate rounds during the six year life of the bill.

During TEA-21, project applications were solicited in two separate rounds. For this period we received approximately four times the amount in application dollars than we had available; we funded 137 projects for a program total of \$151 million. Also during TEA-21, half of the selected projects funded were for bike/pedestrian facilities and related categories. Subsequently, about half of the funds available went towards these categories.

Historic rehabilitation and preservation was the next most popular category with approximately \$50.5 million going towards 25 selected projects. Landscaping and streetscape projects were funded at about \$16 million. Scenic/Historic Highways and Transportation Museums had 16 projects funded at approximately \$5.7 million. All project applications were reviewed by an interagency committee and project selection was based on a number of factors including: project merit, funding availability, and geographic distribution. All funds have been allocated to existing projects and we will solicit for new project applications after the new transportation bill is signed into law. Public outreach and coordination will be conducted prior to solicitation of projects under the new transportation bill.

#### **LOUISIANA** *Updated May 2005*

Louisiana started programming projects in 1991; however, construction progressed at a slow pace. In 2001, a new program manager was assigned and the process was reviewed and revamped. It has taken some time, but Louisiana shows progress in moving projects to construction.

The total available federal funds for LADOTD are divided among the different federal programs each year according to the Department's priorities. The TEP has been allocated approximately \$8 million per fiscal year. Though more funds are obligated than can be spent, we also realize that some projects drop out for various problems over time. We are not allowed to gain that money back as we are set for each year.

Each year new projects are added to the program based on the application process in place. Projects are prepared by the project sponsor's consultants in accordance with the Louisiana Department of Transportation and Development (LADOTD) guidelines. These consultants are paid for by the sponsor and are not under contract to LADOTD. Projects are scheduled for letting on a first come, first serve basis. Once the plans, cost estimate, and technical specifications are ready, LADOTD prepares the final bid documents, advertises and bids the project on behalf of the sponsor. Sponsors enter into contract with the lowest acceptable bidder and are responsible for the construction inspection for the project. LADOTD provides a construction coordinator to shepherd the project's paperwork during construction.

#### **MICHIGAN** *Updated May 2005*

Applications move through a series of reviews with decision points at each stage, as follows: concept approval, technical approval, program approval, conditional funding commitment, and award. Concept approval means the proposed project meets eligibility

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requirements, is fundable, and is approved to enter the application pool. To decide technical approval, MDOT uses professional staff with professional expertise in each of the TE activity areas to review and develop a technical score for each application by applying evaluation criteria specific to each activity area. Program approval results from TE program staff consideration of factors like funding priorities, initiatives, impacts, funding timing and availability, geographic and category balance, and coordination with related projects. Conditional funding commitments are issued to applicants whose projects clear the concept, technical, and program reviews. Conditions include certification of right of way, commitment of match, and completion of design plans. When the conditions are met, funding is awarded with the expectation that the project will be constructed in the next available construction season. MDOT's Director has final approval of the projects recommended by staff for funding.

In 2004-2005, the Michigan Department of Transportation (MDOT) instituted a new process for selecting projects. The new process is designed to award TE funds much closer to actual project implementation in order to ensure more timely expenditure of TE funds. In addition, applications are accepted and approved on a continuous basis throughout the year.

**MISSISSIPPI** *Updated May 2006*

Mississippi's Transportation Enhancement (TE) Program operates at the discretion of the Mississippi Transportation Commission (MTC). The MTC consists of three elected members, one from each of the three Supreme Court districts of the state. At the reauthorization of each new transportation bill, the MTC determines the percentage of funds to set aside for TE projects within the Mississippi Department of Transportation (MDOT) and the percentage of funds to make available to local public agencies (LPA) through a competitive application process. For TEA-21, approximately 70% of TE funds were made available to LPAs. A 20% local match is required on all TE projects. The project selection cycle is limited to only one cycle for the entire life of a transportation bill. The next call for project applications will be in early 2006. There are a couple of exceptions to the award of funding for new projects between project selection cycles. At the discretion of the MTC, new projects or additional funding for existing projects may be awarded based on the availability of funds. Another exception for the award of funds for new projects is through our annual Urban Youth Corps (UYC) Program. This program was established during TEA-21, and is a part-time summer work program for youth ages 16-25. The youth are employed by a municipality to work on small TE projects. The UYC program is funded by TE funds set aside by the MTC each year. The average amount set aside for this program each year is \$350,000. Through a competitive application process, any Mississippi city with a 2000 Census population of 10,000 or more may receive a maximum of \$35,000 in TE funds for an Urban Youth Corps Project. A committee appointed by the MDOT Executive Director reviews all applications and makes recommendations for funding to the MTC. The MTC then makes the TE awards to the cities.

**OHIO** *Updated May 2005*

The Ohio Department of Transportation (ODOT) Enhancement Program provides funds to local governments outside of Metropolitan Planning Organizations (MPOs) for projects that enhance the transportation experience by improving the cultural, historic, aesthetic and environmental aspects of transportation infrastructure. ODOT encourages

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adding enhancements to planned transportation projects rather than stand-alone projects. Jurisdictions within small MPOs (those MPOs with less than 200,000 population) that have elected to join the statewide program are also eligible. Citizen groups or other private organizations may sponsor a project by coordinating with and making application through the local government having jurisdiction over the transportation facility involved. Applicants must commit to a 20% cash match for construction, and the match must be currently available and readily accessible.

The application process is two-fold. It begins with a simple Letter of Interest (LOI) form which addresses eligibility issues. If the proposed project is determined to be eligible, the sponsor is supplied with an application packet. Approximate due dates are as follows:

January 1	Release LOI
February 1	LOI due to districts
March 1	Application packet to eligible project sponsors
May 1	Application to districts
August	Award announcements and letters to applicants

#### **WISCONSIN** *Updated May 2005*

Wisconsin undertakes requests for Transportation Enhancements projects in even numbered calendar years. Two years worth of funds are distributed over the following three fiscal years (FYs). For example, in 2004 we awarded projects that will be scheduled in FYs 2005-2007, with most of the funds scheduled in 2006 and 2007. We try to accommodate design and engineering work in the first year if needed so that projects are ready for construction the following year. In practice, projects often fall behind and any given year may include projects from the past two to three funding cycles.

Bicycle and pedestrian projects tend to dominate the requests with two-thirds to three-fourths of the requests generally falling into categories related to bike/ped projects. Historic and streetscaping/landscaping projects make up most of the rest of the requests, with railway depot restorations and Main Street type projects the most typical. All projects compete statewide. There are no sub-allocations by geographical area or project category. A committee reviews and ranks the projects. Members include persons with expertise and interest in the various major project categories. We do highlight the urbanized area projects by presenting the projects in the priority order assigned by the local Metropolitan Planning Organization (MPO). We emphasize the importance of the MPO's priorities, but members are free to rank projects as they see fit. We generally follow the committee's priority rankings, though WisDOT reserves the right to make some adjustments.

Projects are capped at the federal amount requested, usually 80% of the initial project estimate. We generally do not give extra credit for overmatch and rarely reduce the amount of the award from that requested.

There is no ceiling on the amount that can be requested, though we generally caution against requests for over \$1 million in federal funds. We fund all project phases (design, real estate and construction). We do warn applicants that real estate acquisition is a major source of delay, particularly if it involves railroads. Most of the projects are Local Let Contracts. We provide a Sponsor's Guide that informs local government sponsors about federal and state project administration requirements.

## Appendix D: State DOT TE Manager Contact (Updated May 2006)

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NTEC's Web site—[www.enhancements.org](http://www.enhancements.org)—features complete and current contact information for these and other TE-related government offices.

<b>ALABAMA</b> Robert Kratzer 334-353-6405 kratzerr@dot.state.al.us	<b>FLORIDA</b> Bob Crim 850-414-5269 Bob.Crim@dot.state.fl.us	<b>LOUISIANA</b> Val Horton 225-379-1585 vhorton@dotd.state.la.us
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