

## AASHTO RAC Pooled Fund Study Questionnaire - December 2007

No	State DOT	Respondent	Decision time to participate in PFS	Specific time for participation to PFS	Source of funding for unplanned PFS
			<i>Q1) When do you make decisions regarding participation in new pooled-fund studies (e.g. upon solicitation, monthly, quarterly, yearly, etc.)? If decisions are made on a predetermined schedule, please indicate the specific time(s) of year those decisions are made.</i>		<i>Q2) How do you budget funds for new (unplanned) pooled-fund participation?</i>
1	Alabama	Ivy W. Harris	Quarterly at the State DOT Research Advisory Committee meeting	February, April, July and October of each year	Based on the need and priorities set by RAC. Participate in PFS that seemed to offer the greatest benefit to the state.
2	Alaska	Clint Adler	Upon solicitation	Upon solicitation	Created a "Rapid Research Response" project to fund PFS. Considering programming another "Pooled Fund Support" project.
3	Arizona	Frank T. Darmiento	Upon solicitation, consideration by in-house staff	Upon solicitation	A portion of each year's research budget is set aside for future (or known) pooled fund commitments. If more funds are needed they would come from contingency funds if available.
4	Arkansas	Mark Bradley	Upon solicitation	Upon solicitation	Budget each year for potential pooled projects. It may happen in the future, but, at this point, have had funds available.
5	California	Wes Lum	Upon solicitation	No predetermined schedule to decide participation in a new pooled fund study	Funds are set aside each year for Pooled Fund and other unplanned research opportunities as they are identified.

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6	Connecticut	James M. Sime	We tend to handle them in batches, but not on a fixed schedule. If a TPF Solicitation announcement catches my eye or someone contacts me individually, we may handle it individually.	No fix time, year round	
7	District of Columbia	Bill Carr	Upon solicitation, but put moratorium on new project until tracking system is done	In the future, June/July with the Research Program	Educated guess base on programming
8	Delaware	Daniel C. La Combe	Upon solicitation, ad hoc and as funds allow	No pre-determined schedule	\$50k budgeted in the past and/or surplus SPR funds
9	Florida	Richard C. Long	N/A	N/A	N/A
10	Georgia	Georgene M. Geary	Upon solicitation	Upon solicitation	Budget a yearly amount for pooled-funds (~\$225,000).

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11	Idaho	Ned Parrish	Twice a year	Spring (April) and Fall (September)	Each year we determine how much money is available for new projects after estimating our federal funds/state match and subtracting out costs for program administration, continuing research, NCHRP contribution, etc. We allocate the remaining funds through the project selection process. We generally do not commit funds for new pooled fund projects at other times. When new pooled fund project solicitations come out after we've selected projects and the deadline for committing to the project is before the next project selection meeting, we will contact the lead state and ask if we can commit to the project once the committee has met.
12	Indiana	Tommy E. Nantung	Upon solicitation	Upon solicitation	Set aside an amount, ~\$500,000 per year and assign it in the work program as "to be determined" pooled fund studies (subject to approval by INDOT budget office and the FHWA Division Office).
13	Iowa	Carol Culver	Upon solicitation	Upon solicitation	At the beginning of each fiscal year the SPR program includes about \$40,000 set aside for new pooled funds
14	Kansas	Dick McReynolds	Normally upon solicitation	Normally upon solicitation	Currently have a set-aside budget of \$700,000 annually for TPF projects
15	Kentucky	Jamie Bewley Byrd	Upon solicitation	Upon solicitation	\$100,000/year out of SPR Part II funds
16	Louisiana	Harold "Skip" Paul	Usually when federal funds are released, Oct - Dec. Then upon solicitation pending remaining funds.	Do not like this system, often can not support good studies, funds have run out. Prefer once or twice/year release of solicitations	Budget \$120,000 per year until it runs out.

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17	Maine	Dale Peabody	Every 2 years during programming and budgeting.	On a two year cycle. Usually around March April.	Don't do this. If something comes up during programming off year that is supported by Maine DOT, the PFS is added to the following year funding consideration.
18	Maryland	Allison Hardt	Once a year during our annual solicitation and selection process. All offices submit problem statements (including information on pooled fund projects they would like to contribute to).	March to April.	They are considered along with all of the non-pooled fund project problem statements we receive each year. There is no set amount that we set aside specifically for pooled fund projects. For the rare occasions where we join a pooled fund study outside of our normal selection cycle, we typically take the funds from the annual Technology Transfer line in our program. That funding is set aside for all T2 activities that come up during the year. We usually set aside \$150,000 for that purpose.
19	Massachusetts	Stephen L. Pepin	Upon solicitation or request from someone in the agency who has an interest.	Upon solicitation	We assess how expenditures are evolving to see if there are funds available.
20	Minnesota	Sue Lodahl	We receive pooled fund requests from Mn/DOT offices at any time during the year. Minnesota makes decisions on these requests quarterly.	Quarterly.	At the beginning of each calendar year, we set aside a pot of dollars for pooled fund projects, single state projects, administration etc. We draw down these funds throughout the year.
21	Mississippi	Randy Battey	Annually.	Take a "snapshot" of the solicitations on the TPF website in July.	We have no set aside budget for pooled funds, they compete with 80/20 projects for our participation annually. When I prepare my annual work program, I try to leave a \$200K +/- unprogrammed balance. This balance can be utilized to program any "hot" 80/20 funded projects or a badly needed pooled fund outside of my annual cycle. Generally we program a couple of projects (most often 80/20 & not pooled fund) in the Spring with this balance.

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22	Missouri	Carissa Hutson	Upon solicitation. Also annually review continued participation in ongoing pooled fund projects.	Upon solicitation	At the beginning of the fiscal year, we set aside an agreed amount to fund unplanned pooled fund projects. When this money is committed/obligated, and participation in additional pooled fund projects is requested we require the use of state funds
23	Montana	Susan Sillick	As often as monthly	Monthly	I reserve a contingency for such items. If I have obligated all of my funds, it would have to wait until the next year. This hasn't been a problem yet
24	Nebraska	Amy Starr	In March of the previous Federal Fiscal year	In March of the previous Federal Fiscal year	We designate a contingency fund in our budget each year, the contingency funds eligible for use to fund unplanned research projects, including TPF's that are deemed to be necessity
25	Nevada	Tie He	Annually. If there is urgency or deadline for participation, it is determined upon contact on a case-by-case basis.	August each year.	We have some contingency funds reserved each year in the program for funding "middle year" projects including pooled-fund studies.
26	New Hampshire	Glenn Roberts	Throughout the year. Case-by-case from DOT bureaus for specific TPF studies they've become aware of through other avenues. As long as set-aside funds are available, we also distribute a list of open solicitations to bureau administrators on a regular (usually quarterly) basis.	Upon solicitation, case-by-case, quarterly	We generally plan to spend around \$200,000 per year for pooled fund studies. Subtracting any prior commitments (e.g. from multi-year pledges), a balance is available for joining new studies throughout the year. We remain flexible, however, and have exceeded this amount when projects come along that are especially important.

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27	New Jersey	Camille Crichton-Sumners	Annually with the selection of research topics. If funds are available and a new tiff is greatly supported by a unit and the current administration we may consider adding a tiff project mid year.	Annual solicitation typically begins in November and fund projects in January.	If an internal unit is very interested in it and we have no available funds they may choose to fund out of their budget, . otherwise we do not typically have available funds unless another project is terminated.
28	New York	Gary Frederick	Continuing basis, in most cases soon after solicitation.	Upon solicitation	I have an annual budget amount and I have to make it last all year. If I run out I can ask for more, but there has been no need for that in the last five years
29	Ohio	Monique R. Evans	Made during normal annual project selection meeting with Research Selection Committee. The majority are made upon solicitation.	Annually but majority upon solicitation	I reserve a line item in our annual work program to accommodate these requests.
30	Oklahoma	Ron F Curb	Upon solicitation. If it is deemed critical and money is available in the SPR, it can be setup quickly.	Normally, they are evaluated during the budgeting process of the SPR which is once a year.	Each pooled fund is evaluated for importance or relevance to the State Research Needs to determine whether funds will be allocated for the project. If it is deemed critical and money is available in the SPR, it can be setup quickly.
31	Oregon	Barney Jones	Select pooled fund investments on an ad hoc basis. The process is customer driven - someone in the agency outside the research unit must request participation.	Ad hoc	We generally earmark an amount when we prepare our annual work program. The amount ranges from \$100K-\$150K, including continuing commitments

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32	Pennsylvania	Michael Bonini	While developing an annual Research Program, try to anticipate & program the TPF projects that have been identified in advance.	Research Program is developed in April so that as the new state FY starts on July 1st, we're ready to roll with project initiation activities. However, for TPF project solicitations that arise throughout the year, PennDOT considers participation in these projects upon request of a project technical advisor and support of the PennDOT management team (bureau director, deputy secretary or district executive).	PennDOT allocates \$500,000 per year for TPF projects. Depending on the amount of funding dedicated to previous commitments dictates the amount of funding available for unplanned projects.
33	Rhode Island	Colin Franco	Upon solicitation	Upon solicitation	A contingency of \$ 75K for 2 or 3 potential PFP's
34	South Carolina	Mike Sanders	The Research and Development Executive Committee (RDEC) approves participation in pooled-fund studies.	The RDEC meets twice a year, usually in June and December, and any requests for participation in pooled-fund studies are considered at that time. Can ballot critical need projects between meetings but it is rare that pooled-fund studies are balloted in this manner.	We do not have a set amount budgeted for new (unplanned) pooled-fund studies. We try to keep some contingency funds available for unplanned projects or pooled-fund studies. Usually the closer to the end of the fiscal year, the less money there is in contingencies.
35	South Dakota	Dave Huft	Throughout the year.	Research Review Board (a governance body comprising executive managers) meets 5 times per year. At each meeting, the Board considers pooled fund study solicitations that have attracted the interest of some operational unit in the Department.	We budget our entire research program "as we go" throughout the year. That is, at the beginning of the year part of the budget is obligated for active projects, but about half is reserved but unobligated and can be allocated to new projects as they are authorized. Pooled fund studies have their own wrinkle; since they are 100% SPR and have their own obligation mechanism, they require no legislated state budget authority. They do, of course, consume whatever SPR funding they receive.
36	Texas	Charmaine Richardson	Upon solicitation	Approximately a month allowed for evaluation by the functional division.	Our oversight committee allocates a fixed amount each year of SPR funds for participation in both continuing and new PF projects. The research office manages those funds

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37	Utah	Michael Fazio	Upon solicitation, by the division financing the pool fund study	Upon solicitation, by the division financing the pool fund study	We budget a percentage of the state SPR funds and also use divisions state funds
38	Virginia	Michael Perfater	Upon solicitation.	Financial commitment PFS is annually and 1) Make a determination based on responses from VTRC and VDOT experts on the subject study as to the practicability of Virginia's participation (that is, can VDOT benefit from the research to be conducted?); and 2) availability of money in the budget to commit to the PFS in the current fiscal year.	We budget an amount each year to devote to a "pooled-fund studies" line item. This amount is budgeted around February to be included in the upcoming fiscal year budget. Since there are a number of items already in this budget that are in the carry-over mode (that is, membership in the study might be for a two or three year period) we know how much we have "left" to devote to new pooled fund study solicitations that come our way.
39	Washington	Leni Oman	Annual basis.	Spring of each year (April or May). In addition, other offices may contribute funds to a TPF project at any time and we will help them with the process. In these cases, we may forward SPR funds for the TPF project and use their program funds in house in order to maintain visibility of the TPF contribution and control of state fund expenditures.	New projects are either declined, contributions made by another office, or decisions postponed until the next funding cycle.

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40	West Virginia	Elizabeth Lilly	"As needed" or during the yearly Research Project Solicitation and Selection process	"As needed" or during the yearly Research Project Solicitation and Selection process	SPR research funds are generally used for pooled funded studies. If we know about them ahead of time they are included in the preparation of the annual SPR work program and estimate of costs. If we are requested to participate in a pooled fund study after the SPR work program and estimate of costs has been prepared and approved, we take the funds from the appropriate unobligated funds that the WVDOH might have.
41	Wyoming	Michael Patritch	Quarterly RAC Meetings	Jan, April, July, Oct	Quarterly meetings allow WYDOT to be flexible in its research funding

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		Q3) Briefly describe the decision-making process for pooled-fund participation in your state, including any committees or other personnel who influence or control the decision.	Q4) Once a decision has been made to participate in a new pooled-fund study, please describe any factors that control how quickly funds can be transferred to the lead state?
1	Alabama	New pooled fund studies that have Alabama relevance are put on the agenda for quarterly RAC meetings and subject to discussion and a vote of approval or disapproval by the RAC. Prior to the RAC meeting, any pooled fund proposals are sent out to appropriate experts within our DOT for review and recommendation as to ALDOT participation. These review forms/recommendations are included in the RAC agenda.	Once participation in a pooled fund study is approved by the RAC, it is then sent to the ALDOT Transportation Director for approval. Once both approvals are obtained, funding is committed via the TPF website and our finance personnel are instructed to obligate the funding. Typically this entire process takes about 30 days from the date that the RAC approval is obtained
2	Alaska	Forward solicitations to our subject matter experts and solicit their interest. If they are interested and convince Research Chief and the Chief Engineer that they are sincere about participation (designating a technical representative) and committed to implementing results, The Research Chief will commit research funds.	Not familiar with all of the factors, but FHWA Division office appears to be somewhat unfamiliar with the recent changes to the program possibly contributing to some of the delays.
3	Arizona	A recommendation is presented by an ADOT employee to the Research Center. If budget is available for the study each proposal must have a project Sponsor (ADOT management person) and Champion (someone in Arizona who is interested in the study and is promoting it). Research Center project managers can assist with recruiting Sponsors and Champions, if necessary. The recommendation to participate is then submitted to the ADOT Research Council for evaluation. If the proposal is approved by the Research Council then participation goes forward. If Research program funds are used for the study a Research Center project manager is assigned to monitor the study.	Once a decision is made to participate the Research Center prepares a memorandum to the Federal Highway Administration (FHWA), Arizona Division. This memorandum is usually processed by ADOT within 1-2 weeks. From there, it's in the hands of FHWA.
4	Arkansas	Send to Arkansas Transportation Research Committee (upper administration) to check their interest. It is handled on a case by case basis.	Haven't experienced problems with transfer of funds.
5	California	The Division of Research and Innovation (DRI) Office of National Liaison notifies the relevant DRI Technical Representatives, Technical Advisory Panel (TAP), and Program Steering Committee (PSC). They are requested to review, evaluate, and recommend participating or not in the project. (The DRI Technical Representative is a DRI staff member with detailed knowledge in specific areas (geotechnical, pavement, etc.). The TAPs provide technical expertise and include staff from Divisions, Districts and external agencies. The PSCs develop Program-level research priorities). The TAP and DRI Technical Representative make their recommendations to the PSC. If the PSC decides to participate, they decide on the funding commitment then selects a Caltrans technical representative to provide technical and day-to-day support, and recommend the project to the Research and Deployment Steering Committee (RDSC). If the PSC decides not to participate, the process for the project has ended and we don't participate. When the PSC recommends the project to the RDSC and the RDSC approves participation, commitment to the pooled fund project can be made. The RDSCs, which consist of four Deputy Directors and six District Directors sets the Department-wide research priorities. All research problems, proposals and projects included in the research program are approved by the RDSC.	Availability of funds may postpone the placement of a project into the next AWP or amendment. Approval of the AWP or the AWP amendment, containing the new pooled fund project(s)), submitted to the FHWA for approval.

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6	Connecticut	<p>(1) RAC member screens out solicitations with no applicability to CT and responds on www.pooled.fund.org with "No Thanks", (2) Log the solicitation (obtained from www.pooledfund.org), record who will be reviewing the solicitation and assign a deadline to reply, (3) Route solicitation to affected technical area(s) within ConnDOT for their guidance on relevance, priority, nomination of TAC member from their staff, and pre-approval of the unit's chain-of-command for future travel to TAC meetings, (4) Research staff monitors reply deadlines and assembles responses into a consensus opinion and recommendation on participation, (5) AASHTO RAC member reviews recommendation and assesses soundness of justification for recommended action, (6) If recommendation is unfavorable, RAC member responds on www.pooled.fund.org with "No Thanks", (7) If recommendation is favorable, next examine financial commitment requested in solicitation. If necessary, negotiate with Lead Agency for smaller commitment, but with full participation rights, (8) Once fiscal-year commitment levels and terms of participation are established, RAC member responds on www.pooled.fund.org by entering pledge amounts, designating the TAC member and carrying out any other necessary communication with Lead Agency.</p>	<p>Subject to available federal ceiling, the routine process of obligating federal funds to a TPF project takes 30-45 days from the date of our formal internal request. Note that this is one business process that is still a paper process – they won't accept an email instructing Federal Agreements to obligate federal funds</p>
7	District of Columbia	<p>Approve if the Department technical sponsor requests it, and it looks reasonable. Have a category of funds in budget, albeit limited, that could be tapped so wouldn't need another committee/oversight action</p>	<p>Have to develop a system similar to pay the national and regional commitments.</p>
8	Delaware	<p>No formal process at this time, informally decided between research coordinator, planning director, and SPR administrator</p>	<p>Just getting the paperwork completed by our finance section</p>
9	Florida	<p>Choose not to participate in most pooled fund projects unless there is a compelling reason. The issue is that there is little if any reporting from the lead state that can provide management when status reports on funding decisions are presented. Personally, feel that RAC should create project standards that each pooled fund project must have such as quarterly reporting to more than the technical advisor perhaps along the lines of an NCHRP project where both effort and costs are tracked, an implementation plan, an tech transfer plan, etc. FDOT is going to make offices who ask to participate in pooled fund efforts, more accountable but believe this accountability should start with the lead state.</p>	<p>N/A</p>
10	Georgia	<p>The request is sent to the Office or Offices that would be most affected by the pooled-fund to gauge their interest. They must assign a person in their Office to be the technical contact for the pooled-fund to be approved.</p>	<p>To obligate the funds as soon as GDOT gets the notice from the TPF Webmaster or the lead agency</p>

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11	Idaho	New pooled fund projects are considered when we pick other new research projects. If department staff are interested in having us commit to a pooled fund project, they fill out a project request form and submit it for consideration with other proposed projects. Proposals are reviewed by our Research Advisory Council which includes the Deputy Director, the Research Program Manager, representatives of various department divisions and districts, a local highway agency representative, and an FHWA representative.	Generally, once the Research Advisory Council selects a project, we can commit resources to a project right a way. However, when they are making decisions about the use of funds for the upcoming fiscal year, we will not allocate funds until the year begins and the new funding is received. When the feds do not finalize a budget and are operating under a continuing resolution, it also limits our ability to commit funds.
12	Indiana	The current rule is to have at least 2 Managers/Directors of INDOT Offices or Divisions to support to participate. However, the final decision comes from the Director of Office of Research and Development to participate, based on the budget, transportation area of the study, benefits to the department, and the proposed outcomes of the study (no conflicting interest, etc.). Once a decision has been made to participate.	Immediately upon notification, the transfer time depends on the FHWA Division Office
13	Iowa	Appropriate offices and work experts review each solicitation to see if it fits the needs and goals of the department. A decision to participate must be supported by the Research Director, the Engineering Director, the Statewide Operations Director and the Chief Engineer.	Iowa does not normally transfer any pooled funds until spring at the request of our Program Management office.
14	Kansas	The solicitation is normally forwarded by e-mail from the Engineer of Research (RAC Member) to the Chief of the Bureau(s)) that would implement or use the findings of the study. They are asked to respond with their interest in participating (or not) and if interested at what funding level would they recommend. If interest is expressed and funds remain in the set-aside budget, then the Engineer of Research obtains (by e-mail) the concurrence of the Chief of Materials and Research, Chief of Transportation Planning and Assistant Secretary of Transportation and State Transportation Engineer to commit the funds. The Engineer of Research then enters the commitment into the TPF website. This normally takes less than a week.	We normally obligate the funds in the FY of the commitment after enough SPR funds are posted and available for that year. The obligation forms (or now transfer letters) for that federal fiscal year's commitments are usually sent to the FHWA Division Office at the same time--usually during February or March each year. Obligations are completed as received on the new projects approved later in that fiscal year that have same year commitments.
15	Kentucky	Once a request has been submitted by an employee from KYTC, the request will come to the Research Coordinator. Then, the information will be sent to the State Highway Engineer and he/she will make a final commitment depending on the amount of available funding. We will designate someone from KYTC to be involved and the contact person for the pooled fund.	The research coordinator will work with Program Mgt and FHWA to make sure that the funding is submitted.
16	Louisiana	Solicitations are passed to my research managers who advise me. With no in house expertise I send to section heads for comment. I finalize the slate.	I commit funds and obligate when they are available. FHWA transfers funds to host state

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17	Maine	I filter pooled fund solicitations that come in. If it's obvious that Maine DOT would not be interested I do not forward to the appropriate unit within DOT. An example might be earthquake - infrastructure studies. The solicitation is forwarded to unit with expertise. If they show a moderate to high level of interest in participating I add to the list of pooled fund studies to be considered for funding by my Research Advisory Committee. RAC considers pooled fund studies only after new SPR problem statements are selected for funding.	A study might be approved for funding in March-April. However, programming is completed for July 1st (our fiscal year begin) and enough funds are available for pooled funds in October, once the new federal fiscal year starts.
18	Maryland	Our Research Advisory Board reviews all the requests that we receive and prioritizes them based on their link to the Administration's Business Plan, ability to implement the results in MD, and the merit of the project. Final decisions are which projects will be funded are made in June or July. On rare occasions we will join a pooled fund project outside of this cycle but it has to be something that absolutely cannot wait and that our Administrator and appropriate Deputy Administrator believe that our participation is critical. Our Research Advisory Board is the group that ultimately decides which pooled fund studies we participate in based on the criteria mentioned in #1. Because we do not receive an overwhelming number of requests to participate in pooled fund studies each year, we usually join most, if not all of them.	The only factor that controls how quickly this happens is the approval of our program from FHWA. We typically are able to do this in October/November. This year however, there has been some confusion between our Finance office and the FHWA Division Office due to the new process.
19	Massachusetts	Research Manager and Acting Deputy Secretary of Transportation after discussion with others as needed.	Research Program/work priorities.
20	Minnesota	An office director must submit a memo of support and a funding request letter to the Research Office if they would like to participate in a pooled fund project. When requests come in from this level in the organization and there are funds available we almost always approve participation.	We have an agreement with Minnesota's FHWA division office that we will transfer funds to lead states quarterly.
21	Mississippi	Distribute them within the Department and have the "subject matter" experts score them for our potential participation. The highest scored solicitations are programmed for our participation in our annual work program which coincides with the Federal FY. All proposals, both pooled fund and 80/20 funded are reviewed by subject matter experts within the Department and scored. Highest scored proposals are presented to our Departmental RAC for inclusion in our annual work program.	Assuming Q56, L56, H56 (whatever highway bill we are operating under) funds are available (i.e., no partial year continuing resolutions) funds are usually transferred to the lead agency early in the calendar year. Remember we commit our participation in 95% +/- of our pooled funds on October 1st. However, I have been questioned by my FHWA Division Office in the past as to why I want to commit more money to a pooled fund study when the FMIS system has shown no account activity on that study for the previous 12 months. Hopefully the "new pooled fund financial procedures" will alleviate the confusion associated with project funding.

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22	Missouri	An annual review of ongoing pooled funds is completed with District and Division Managers within MoDOT. Prioritization is given to each research and/or pooled fund project, and the funds to be distributed are finally decided upon based on this list of prioritized projects.	The decision to participate in a pooled fund study normally occurs during the solicitation phase. The only factor that repeatedly plays a role in how quickly funds are transferred to the lead state is the time it takes for the project to complete the solicitation phase and become an active project. We do not transfer funds for projects while they are still in solicitation phase due to the chance of project withdrawal or cancellation.
23	Montana	I send the announcement to the managers in that area asking them if they are interested in participating. If they are, they make the pitch to our high level Research Review Committee (RRC) . The RRC makes the decision to fund or not. Research staff then makes the commitment online.	As soon as a TPF is cleared and ready for obligation of funds a memo is sent to our financial people. Usually, the obligation is made within a month of when the TPF is cleared.
24	Nebraska	The NDOR Research Advisory Committee (RAC) meets annually to determine which projects will be funded under the research program. The NDOR RAC consists of a representative portion of the Division Heads and District Engineers. Nebraska's pooled fund project participation competes for funding with research projects which will be conducted within Nebraska, from the same research program budget.	Once the annual decision is made in late March, we typically place our commitment on the TPF website and obligate the funds in FMIS after July 1 of the previous Federal Fiscal Year (July 1 is when our state Fiscal Year begins). I am not sure how the new procedures to provide our funds, or permission to use our federal funds directly to TPF lead states will impact our ability to obligate that early in the year...but lead state will know our intentions to participate or not participate by July of the previous FFY.
25	Nevada	Upon receiving solicitation, NDOT Research Division forwards it to NDOT affected divisions for evaluation. If there is an interest from a division, it is considered as a qualified proposal for further evaluation in NDOT established research selection process. In August each year, the pooled fund proposals are further prioritized along with other research proposals by NDOT Research Advisory Committee (consisting of NDOT Division Heads). A list of recommended new projects including pooled fund studies are then submitted to NDOT Research Management Committee (consisting of NDOT deputy and assistant directors) for final approval. After that, approved projects are programmed for funding.	It depends on 1) if the pooled fund study has been approved by FHWA for using SPR funds; 2) if the SPR funds from FHWA is available for use for the fiscal year; and 3) how cooperative or responsive the lead state is.
26	New Hampshire	Decision-making rests primarily with the Research office based on the availability of funds, other commitments, and our understanding of the value (and likelihood of success) of a proposed project to the Department. Recommendations from bureau administrators are carefully considered and we make every attempt to accommodate projects receiving a particularly high endorsement, especially if participation on a project panel is vital. Final approval to participate in any pooled-fund project is obtained from our executive office; however, decisions by the Research office have heretofore been sustained.	Following the new process, funds can essentially be transferred when the lead agency requests them

## AASHTO RAC Pooled Fund Study Questionnaire - December 2007

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27	New Jersey	All research problem statements and pool fund projects are rated by the Research Users Committee (comprised of 23 Directors and an Assist. Commissioner, Senior leaders from throughout the agency). They are given a description of the problem/study and asked to score each project. They are then funded in the order in which they were ranked.	factors include the type of funding and its availability, Oct 1 or July 1 are when funds are available, several people are involved in getting the funds transferred. Typically we use SPR funds so the Federal Aid coordinator and then the Capital Program Coordination group actually sends the letter to FHWA to transfer the funds. We wait to negotiate the budgets on the research studies so that if we need additional funds to make up the budget on a project or we have unprogrammed money from the research studies, this can impact the number of pooled fund projects in which we participate.
28	New York	When a solicitation is posted we forward that information to the program area manager responsible for the subject material. If they are interested in participating they need to assign staff to participate in, and track, the performance of the project. They fill out a form and submit a justification to me for the files. A Bureau Director or higher is required to support the project. If I am satisfied with the information supplied we commit funds to the project through the TPF web site.	When we are notified that a project has been assigned a number we send an e-mail to our Budget Bureau asking them to obligate the funds to the project. We are out of the loop at that point. Budget sends the letter to FHWA, (about a week) FHWA does what ever they do and send to Washington DC (about two weeks) and DC sends to the lead state (unknown) .
29	Ohio	Solicitations that don't come in right before our annual selection meeting are forwarded to subject matter experts to determine interest and potential application in Ohio. Support must be provided by the SME, their Office Administrator and Deputy Director before we commit funds. An e-mail documenting their support is all we require	As there is a line item in our budget to accommodate these requests, funds will be accessible throughout the year. ODOT will wait until the lead state sends us a request to transfer the funds. Once that request is received we will process a transfer request immediately. This transfer request will then have to go to the Columbus FHWA office for authorization and then be forwarded on to Washington for the actual transfer. We expect this process to take a few weeks.
30	Oklahoma	Currently, the decision rests with the Planning & Research Division staff with input from topic specialists (i.e. Bridge Engineer, Materials Engineer, etc). Unless the proposal comes from the OTC.	Availability of SPR funds. Normally, all SPR funds are already allocated at the beginning of the FFY.
31	Oregon	Customer expresses an interest in a pooled fund investment and contacts me with a request. I review the request for compliance with our internal pooled fund policy. To be considered, a pooled fund request must include a comprehensive work plan. For this reason we sometimes join a project late. We also do not invest in pooled funds for which the over-riding motivation is travel. If the project meets my internal criteria, I forward the request to our agency's Research Advisory Committee. This is the same body that prioritizes our SPR research program. If a majority of the RAC approves, we proceed to commit and obligate funds.	Generally we obligate funds for continuing projects at the beginning of the new Federal fiscal year. For new projects we generally obligate funds as soon as the decision is made to go forward. Once I notify our Funds and Grants office, the obligation process generally takes only a few days. However, between July 1 and October 1 of each year, our cupboard is generally bare while we wait for the new Federal fiscal year.

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32	Pennsylvania	For the TPF projects included in the annual Research Program, those projects are reviewed by the "sponsoring" deputy secretary prior to a formal program presentation for approval. For the projects that come mid-stream, once we receive support from a project champion [technical advisor], we ensure that participation in the project is supported by the executive managers before committing funds.	As soon as the TPF website changes the status to "cleared," PennDOT works to obligate the funds. It takes about a week to get the necessary approvals internally before we hand the project off to the FHWA Division Office.
33	Rhode Island	I send out the solicitation to the various sections and if the response is positive we discuss the merits of the same and decide jointly.	We commit and follow up with the PR2 form
34	South Carolina	Pooled-fund project solicitations are forwarded to appropriate individuals in the area(s)) with expertise in the subject matter. Those individuals make a recommendation to the Research Unit, including the amount if they recommend participation. Recommended projects are then included on the agenda for the next RDEC meeting for consideration.	Once a pooled-fund study is approved by the RDEC, the funds can be put in the project immediately. The only time involved is preparing and processing the PR 2. On occasion, we obtain approval for participation in a pooled-fund study though funds are not available at the time. In those cases, we contact the lead agency to let them know the situation and commit funds accordingly.
35	South Dakota	Operational offices in the Department usually promote participation in studies that interest them. At the Research Review Board's meeting, a proponent gives a brief explanation of why the study would be beneficial to SDDOT, and asks the Board to authorize funding. If the Board approves, the Office of Research works with the Finance office to obligate the funding. Generally, only studies with clear benefits are brought forward to the Board.	There really aren't any major obstacles. It is simply a matter of the Office of Research asking the Finance office to obligate funding, which is generally accomplished within a couple of days.
36	Texas	The functional division over the area makes the call, unless they want to defer to one of the Research Management Committees. Solicitation is sent to the Division Director, and evaluated by whatever division staff the Director feels is needed. This is a relatively new process in Texas - maybe 2 years old. I don't believe a division has deferred to one of the committees on a new solicitation since we started this process.	We will transfer funds for the initial year committed, as soon as we can confirm that the project has been approved for 100% SPR funding. For commitments for following years, we will transfer funds only when we can see progress on the project. This review and evaluation of progress on continuing projects is done once a year - in October or November, or when contacted by the lead state.

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37	Utah	<p>Commonly, when managers requests to participate in a pool fund study, we verify we have sufficient funding available and if senior leadership approves the spending for the project. If we do not have sufficient funding available, the managers can still participate in the pool fund study, if they provide funding from their own source.</p>	<p>Once the funds are obligated, the funds are transferred directly to the lead state.</p>
38	Virginia	<p>See answer 1</p>	<p>There are no particular impediments to transferring funds to the lead state - provided the committed funds are available in our budget. We follow the FWHA-prescribed processes for the funds transfer.</p>
39	Washington	<p>We set aside \$300,000 per biennium for TPF contributions from the SPR Part 2 funds and plan to split this between the two fiscal years of the biennium. In the spring of each year, Research Managers request information on TPF projects needing continued funding, TPF projects that the agency wants to initiate, or projects led by others that we would like to contribute to. A list of responses is compiled using the guidance below. The list is forward to the four agency Research Advisory Committees for review and suggested modifications. A final recommendation for projects to be funded by SP&amp;R funds through the ORLS is forwarded to the Director and the Research Executive Committee for the next Federal Fiscal Year (FFY). Priority projects for ORLS Funding are:</p> <ol style="list-style-type: none"> <li>1. Ongoing and new TPF projects led by WSDOT.</li> <li>2. Ongoing and new TPF projects led by other organizations. These projects will receive a maximum of \$20,000 per year for no more than three years.</li> </ol> <p>A new project in FFY 07 will receive no more than three years of funding. A continuing project will receive no more than three additional years of funding. In addition, any office may fund a TPF project, either as a lead agency or a contributing state agency, as long as it aligns with WSDOT research priorities. Because of the limited funding available from ORLS, Offices requesting funds are encouraged to use other sources of funding if they are available.</p>	<p>Factors that affect the speed at which we can transfer funds to others: is there enough funding in our federal appropriation. If so, it moves quickly. If we're working off of continuing resolutions, it can slow down the decision to spend funds. If we are the lead entity, we need to have adequate state authority to spend federal funds. We request a higher federal authority than our appropriation calls for in order to have some "room" to receive federal funds. When that authority is all allocated to projects, we can request additional authority from the Washington Office of Financial Management (a separate agency). This step can take a month to several months (as OFM does not take requests during legislative session thus we can be delayed).</p>

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40	West Virginia	Participation in pooled fund studies is generally decided by upper management, i.e. Secretary of Transportation or Assistant Secretary of Transportation. Sometimes a WVDOH Division Director or the Research Manager will request the WVDOH participation.	A major factor is whether is the pooled fund study is an existing study or a new study. Since there are new FHWA procedures for transferring funds we have found that the new procedures are very time consuming. I should also relate that we have only participated in one new pooled fund study utilizing the new procedures
41	Wyoming	WYDOT's Research Advisory Committee (RAC) makes the decision, upon presentation by a WYDOT Rep who is interested in the pooled fund. FHWA and WYDOT's Executive are then sent letters requesting funding authority. This is pretty much a rubber stamp approval.	The research office, (me) sends a letter to our Federal Aid office to obligate the funds, generally within 48 hours of funding approval. Along with the request to obligate the funds, I also send copies of the approval letters from FHWA and Exec Staff. Our Federal Aid office at WYDOT has the capability to input the funds directly into FMIS.