

“Piedmont” (NC-SC-GA) Regional Peer Exchange on DOT Program Financial Management

April 19-20, 2018
Asheville, NC

Overview

This customized exchange will provide an opportunity for three peer states to discuss common issues, compare best practices, and engage in a facilitated dialogue about managing and strengthening key aspects of their transportation programs. The objective is to develop internal capacity by providing opportunities for interdisciplinary collaboration and learning within each DOT and sharing of best practices among the states.

Audience

- Each state will select 5-7 professionals from key DOT offices and disciplines that are in a position to positively impact operational efficiency by gaining a deeper knowledge of financial practices and programs through the exchange. While it is expected that senior personnel in finance functions will participate, the states may wish to assemble multi-disciplinary teams for the event by having representation from planning, engineering, and other functions.
- It is anticipated that each participating state will have FHWA Division Office representation at the exchange.
- The BATIC Institute will provide facilitators for the exchange. Because of the large number of participants and the variety of subject areas, the facilitators will be charged with employing certain techniques designed to move the discussions along and keep them on target.

Format

- The event will be spread over two days - starting on the morning of Day 1 and ending before noon of Day 2. Attendees will also be invited to a group dinner on the night of Day 1.
- The event will be structured as a series of facilitated discussions about specific topics within a few general focus areas:

- The first few minutes of each focus area will be used to develop and prioritize the key questions and challenges for that session, beginning with the issues identified by the participants through the pre-exchange preparatory exercise.
- The group then will delve into the top few issues / questions.
- During the group discussion, the facilitators occasionally will call upon certain participants to provide brief remarks about particular topics.
- The exchange will conclude with a discussion about institutional capacity based on questions generated by the participants. This final group discussion will focus on what follow-up or other activities would be most beneficial to help participants overcome challenges in applying best practices or lessons learned from the exchange.

Focus Areas

1. Project Planning and Prioritization (approx. 75 min)

- Identification of key questions and challenges
- Facilitated discussion of potential topics
 - Development of long-range plans and STIPs
 - Role of regional and local entities
 - Accommodating freight rail / passenger rail / intermodal / other projects
 - Use of investment analyses (rural economic development vs. urban capacity needs)
 - Implementation of Performance Management
 - Transparency and stakeholder communications
- Brief Remarks: North Carolina STI Prioritization Process

2. Procurement Approaches and Utilization of Financing Tools (approx. 105 min)

- Identification of key questions and challenges
- Facilitated discussion of potential topics
 - Use and benefits of alternative approaches (DB to P3)
 - Legal authority and industry interest (working with legislators and contractors)
 - Project bundling opportunities (including P3s without tolls)

- Federal tools (GARVEEs, SIBs, TIFIA, PABs)
- Project-level implementation issues
- Developing / managing a robust alternative delivery program
- Brief Remarks: North Carolina GARVEE Program
- Brief Remarks: South Carolina Infrastructure Bank

3. Forecasting Existing Revenues and Evaluating Potential Revenues (approx. 75 min)

- Identification of key questions and challenges
- Facilitated discussion of potential topics
 - Revenue forecasting practices (methods, models / systems, resources)
 - Dealing with federal funding uncertainty
 - Information integration across disciplines and departments
 - Comparing state funding sources
- Brief Remarks: North Carolina Transportation Analytics Center SAS Platform

4. Cash Management (including Federal Funds) and Systems (approx. 105 min)

- Identification of key questions and challenges
- Facilitated discussion of potential topics
 - Available systems for project planning, asset management, fiscal management, etc.
 - Cross-department coordination and data flow
 - Communicating federal and state funding procedures and requirements to contractors
 - Federal funds management
 - Use of Advance Construction
 - Bridge credits and toll credits
 - Inactive projects, project closeouts
 - Funding lapses, transfers, rescissions
 - FMIS issues

- Brief Remarks: Georgia's approach to budgeting and cash management

5. Institutional Capacity Assessment (approx. 90 min)

- Identification of key questions and challenges
- Facilitated discussion of potential topics
 - Organizational structures and resource challenges
 - Enhancing and maintaining "cross pollination" among offices / functions
 - Key personnel and succession planning
 - Utilizing performance measures and management systems
 - Becoming a data-driven organization (e.g., data analytics → project selection)
 - Future activities to continue collaboration and build capacity

“Piedmont” Regional Peer Exchange Agenda
 Hilton Asheville Biltmore Park

Session	Description
Day 1	Room: Pisgah B (Breakfast available at 8:00 in the room)
1	Welcome and Opening Remarks (8:30 – 8:45) Jennifer Brickett (BATIC Institute), Burt Tasaico (NCDOT), Brian Keys (SCDOT), Angela Whitworth (GDOT)
2	Overview and Introductions (8:45 – 9:00) <ul style="list-style-type: none"> The facilitators will initiate a roll call
3	Focus Area 1: Project Planning and Prioritization (9:00 – 10:15) <ul style="list-style-type: none"> Identification of Questions and Challenges Facilitated Discussion of Potential Topics <i>NC STI Prioritization Process</i>
	<i>Break (10:15 – 10:30)</i>
4	Focus Area 2: Procurement Approaches and Utilization of Financing Tools (10:30 – 12:15) <ul style="list-style-type: none"> Identification of Questions and Challenges Facilitated Discussion of Potential Topics <i>NC GARVEE Program</i> <i>SC Infrastructure Bank</i>
5	Working Lunch (12:15 – 1:45) <ul style="list-style-type: none"> Group Discussion on Making the Investment Case <i>GA Transportation Funding Act and Major Mobility Investment Program</i>
6	Focus Area 3: Forecasting Existing Revenues and Evaluating Potential Revenues (1:45 – 3:00) <ul style="list-style-type: none"> Identification of Questions and Challenges Facilitated Discussion of Potential Topics <i>NC Transportation Analytics Center SAS Platform</i>
	<i>Break (3:00 – 3:15)</i>
7	Focus Area 4: Cash Management (3:15 – 5:00) <ul style="list-style-type: none"> Identification of Questions and Challenges Facilitated Discussion of Potential Topics <i>GA Budgeting and Cash Management</i>
8	Group Dinner (6:00)
Day 2	Room: Mitchell A/B (Breakfast available at 8:00 in the room)
9	Focus Area 5: Institutional Capacity Assessment (8:30 – 10:00) <ul style="list-style-type: none"> Identification of Questions and Challenges Facilitated Discussion of Potential Topics <ul style="list-style-type: none"> Organizational structures and resources, key personnel and succession planning Utilizing performance measures and management systems
	<i>Break (10:00 – 10:15)</i>
10	Key Takeaways / Concluding Remarks: (10:15 – 11:15) <ul style="list-style-type: none"> Comments by state representatives Future activities to continue collaboration and build capacity