Connecticut Department of Transportation

Highway Transportation Asset Management Plan

August 28, 2019

FHWA Certified

This page intentionally left blank

Message from the Commissioner

As the Commissioner of the Connecticut Department of Transportation, I am pleased to present the 2019 Highway Transportation Asset Management Plan. This plan goes beyond addressing all of the federal mandates: it includes five additional assets and expands from the National Highway System to the entire state highway system. This initiative demonstrates a strong commitment toward achieving a State of Good Repair for our transportation system.

Connecticut's transportation system is multimodal and supports the economy by enabling the efficient movement of people, goods, and services. Connecticut is a vital transportation link between northern New England and New York, New Jersey and the Mid-Atlantic states. The transportation system also links our communities; helping connect neighborhoods, towns, and cities. In order for Connecticut's economy to function properly and grow, the transportation system needs continued and consistent funding.

This document presents a plan to manage seven of Connecticut's important transportation assets, with detailed information about the processes for managing each of the assets.

Progress has been made in advancing the way the Department does business. Implementation of this plan aligns with the Department's priority to maintain and preserve the transportation system.

Joseph J. Giulietti

Commissioner

This page intentionally left blank

Connecticut Department of Transportation
Highway Transportation Asset Management Plan

Table of Contents

Appendices

This page intentionally left blank

List of Acronyms

AADT	Annual Average Daily Traffic
ARAN	Automatic Road Analyzer
ATLAS	Asset Tracking & Location System
CMAQ	Congestion Mitigation and Air Quality
CMMS	Computerized Maintenance Management System
CPD	Composite Project Database
CTDOT	Connecticut Department of Transportation
DQMP	Data Quality Management Plan
FAST	Fixing America's Surface Transportation
FHWA	Federal Highway Administration
FTA	Federal Transit Administration
GIS	Geographic Information System
GPS	Global Positioning System
HI	Health Index
HMA	Hot Mix Asphalt
HPMS	Highway Performance Monitoring System
HTF	Highway Trust Fund
IBC	Incremental Benefit Cost
IRI	International Roughness Index
ITS	Intelligent Transportation Systems
KML	Keyhole Markup Language
LCCA	Life Cycle Cost Analysis
LCP	Life Cycle Planning
LED	Light-Emitting Diode
LRS	Linear Referencing System
MAP-21	Moving Ahead for Progress in the 21st Century
MIRE	Model Inventory of Roadway Elements

MMS	Maintenance Management System
MPO	Metropolitan Planning Organization
MUTCD	Manual on Uniform Traffic Control Devices
NBE	National Bridge Element
NBI	National Bridge Inventory
NBIS	National Bridge Inspection Standards
NHPP	National Highway Performance Program
NHS	National Highway System
OBL	CTDOT's Capital Program Obligation Plan
PCI	Pavement Condition Index
PMS	Pavement Management System
RIS	Roadway Inventory System
ROW	Right-of-Way
RSR	Rehabilitation Study Report
SMS	Structure Management System
SOGR	State of Good Repair
STBG	Surface Transportation Block Grant
STF	Special Transportation Fund
STIP	Statewide Transportation Improvement Program
STP	Surface Transportation Program
STRAHNET	Strategic Highway Network
SQL	Structured Query Language
TAM	Transportation Asset Management
TAMP	Transportation Asset Management Plan
TSMP	Traffic Signal Management Plan
TED	Transportation Enterprise Database
TIR	Traffic Investigation Report
VIP	Vendor-in-Place
VMT	Vehicles Miles Traveled

Executive Summary
Highway Transportation Asset Management Plan

The Connecticut Department of Transportation (CTDOT) has developed the 2019 Highway Transportation Asset Management Plan (TAMP) to establish and document the agency's strategic and systematic process of managing its transportation assets. This Highway TAMP was also developed to meet Federal requirements of Moving Ahead for Progress in the 21st Century (MAP-21) and the Fixing America's Surface Transportation (FAST) Act. The penalty for not having a certified process results in a reduction of federal match from 80% or 90% to 65%. In Connecticut, this penalty could equate to approximately $100 million of additional State funds needed annually to utilize all federal dollars at the lower 65% federal participation rate. The 2019 TAMP builds and expands on the initial 2018 Highway TAMP, certified by the Federal Highway Administration (FHWA) on July 24, 2018. CTDOT, a multi-modal agency, also published its first Transit Transportation Asset Management Plan in September 2018 in accordance with Federal Transit Administration (FTA) requirements.

Each chapter of this Highway TAMP addresses a separate asset management process requirement and its federal legislative and regulatory context. FHWA's role is to certify the process and annually conduct a consistency review to ensure the processes are being implemented. CTDOT worked closely with staff from the FHWA Connecticut Division Office in development of these processes and this TAMP.

What's in the Plan

While Federal legislation requires reporting only on National Highway System (NHS) bridges and pavements, CTDOT has chosen to go beyond the NHS and has included all CTDOT-maintained bridges and pavements. The TAMP also includes five additional assets: traffic signals, signs, sign supports, pavement markings and highway buildings. These additional assets were selected to be included in the TAMP because of their importance to the safety and integrity of CTDOT's roadway system. CTDOT is continually working to develop and document the asset management approach for other additional assets to add in future TAMPs. Notable changes in the 2019 TAMP from the previous 2018 TAMP are included on page xi.

The TAMP development process included the following steps, for each asset:

1. Compile asset inventory and condition summaries using best available data
2. Document procedure for collecting, processing, storing and updating inventory and condition data
3. Define a State of Good Repair (SOGR)
4. Determine performance measures

5. Perform the life cycle cost analysis for various funding scenarios and determine the strategies to develop the life cycle plan
6. Review available funding and investments to develop a financial plan and investment strategies
7. Set 2-year, 4-year and 10-year performance targets.
8. Develop a risk management plan that identifies, assesses and prioritizes risks and potential mitigation strategies.
9. Identify process improvements for future implementation

For quick reference, an overview of CTDOT's Asset Management Program and asset Fact Sheets were developed as a communication tool and are available in Appendix B of the TAMP. The asset Fact Sheets, for each of the seven assets, include pertinent details in the following asset management areas: inventory and condition summaries, State of Good Repair definition, performance projections, targets and asset valuation. An indication of the data confidence level is also included.

Asset Management in Action

Building this TAMP involved educating and engaging staff throughout the Department in a coordinated effort. CTDOT formed a Transportation Asset Management (TAM) Steering Committee, staffed a TAM Group, designated asset stewards, and identified asset working groups to support this effort. Valuable input was gained from these groups through active involvement at interviews, meetings and workshops. Asset stewards were particularly instrumental in providing information and participation in the development of this TAMP.

This TAMP uses the best available data to compile asset inventory and condition data to perform life cycle analyses. This TAMP also assumes the current funding scenarios based on the funding available as of December 31, 2018.

Although CTDOT has been summarizing performance on bridges and pavements each year since 2007, with the development of TAM processes, CTDOT is able to predict future performance for all seven assets. Although not glamorous, State of Good Repair projects are necessary to maintain and sustain CTDOT's transportation system. These performance projections are proving to be useful in understanding and projecting transportation funding needs. Information from the 2018 TAMP has been instrumental in communicating transportation funding and revenue needs and answering key questions for Connecticut's Governor and Administration.

Moving Forward

At CTDOT, asset management is not just about preparing this document; it is a better way of doing business. Through the TAMP building process, CTDOT has made strides toward an enterprise asset management practice. As we strengthen the ability to employ asset management, next steps include continuing to implement key process improvements:

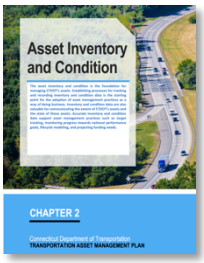
- Develop a financial plan and capital planning process that is driven by asset management principles.
- Pursue methods to enhance performance in project selection, prioritization and cross-asset allocation.
- Better understand resource and industry capacity limitations to deliver a capital program at increased funding levels.
- Continue to expand the asset management approach to other Department assets.
- Continue to improve data collection, and upgrade systems and revise procedures to monitor and track asset condition.

Timely investments and doing the right treatment at the right time, result in improved asset condition over a longer period of time at lower long-term costs. The TAMP sets the direction for enhanced business practices and a framework for effective management of Connecticut's infrastructure for both the near and long term. TAM has become an integral part in advancing the way CTDOT does business.

This page intentionally left blank

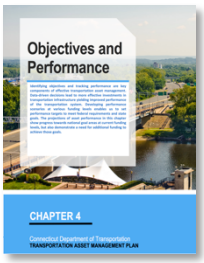
2019 TAMP Notable Changes

The following highlights the notable changes made between the initial 2018 TAMP and this 2019 TAMP.



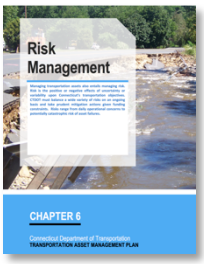
Chapter 2: Asset Inventory and Condition

- Added Highway building asset to the TAMP
- Removed lane miles coded as bridge from the pavement inventory
- Improved calculation of cracking metric for pavement



Chapter 4: Objectives and Performance

- Reran performance projections with updated conditions and treatment costs
- Added sign support performance projections

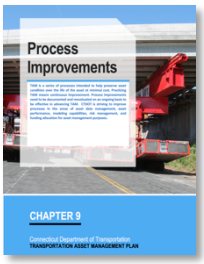


Chapter 6: Risk Management

- Updated risk registers
- Developed Mitigation plan using mitigation strategies identified for each risk
- Included Part 667 submittal

Chapter 7: Financial Plan

- Added FHWA work types
- Allocated uses by FHWA work types for each asset



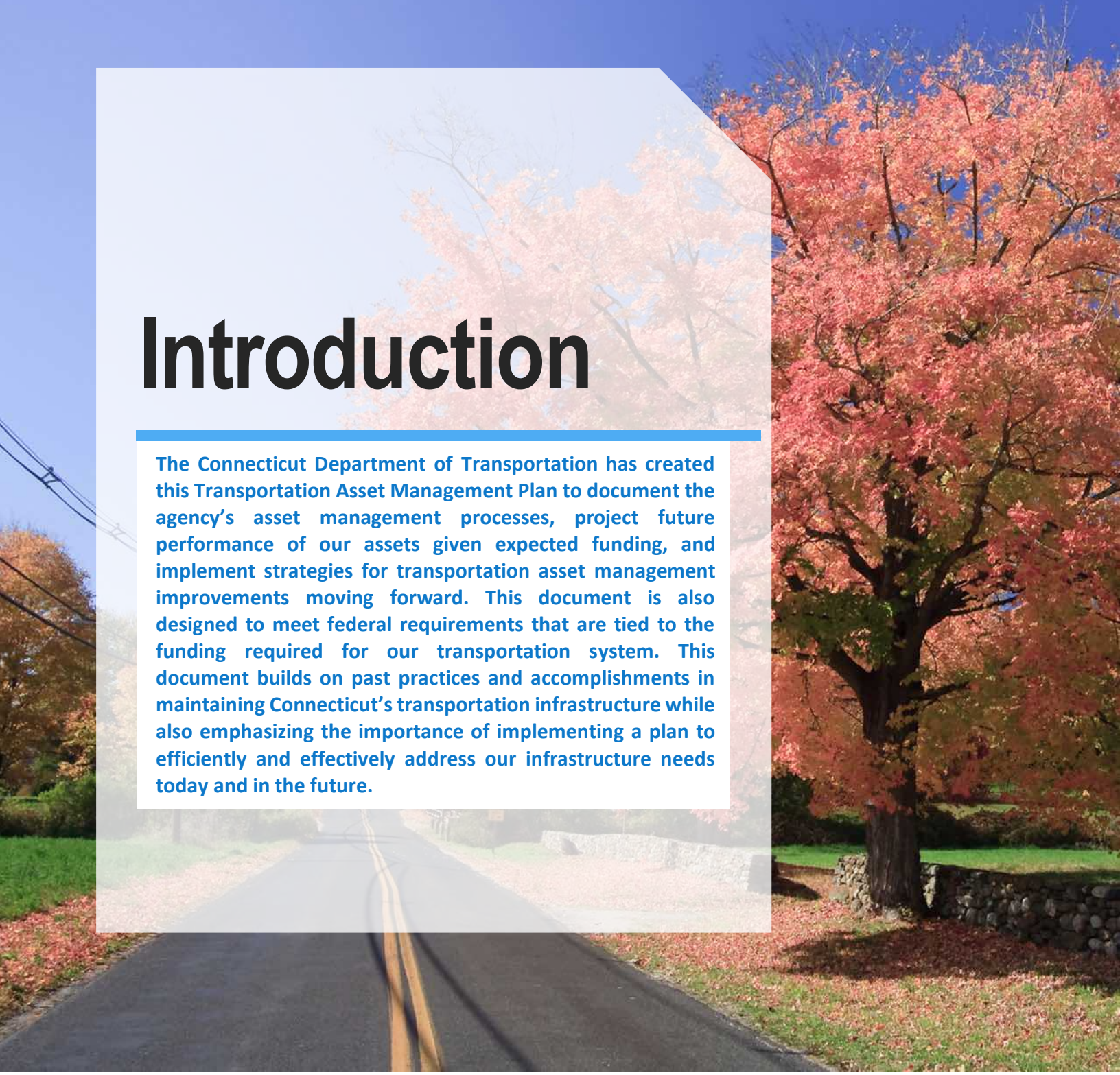
Chapter 9: Process Improvements

- Added listing of implemented process improvements
- Identified new process improvements

Asset Fact Sheets

- Updated Asset Fact Sheets with the most current data available
- Added Highway Buildings Fact Sheet

This page intentionally left blank



Introduction

The Connecticut Department of Transportation has created this Transportation Asset Management Plan to document the agency's asset management processes, project future performance of our assets given expected funding, and implement strategies for transportation asset management improvements moving forward. This document is also designed to meet federal requirements that are tied to the funding required for our transportation system. This document builds on past practices and accomplishments in maintaining Connecticut's transportation infrastructure while also emphasizing the importance of implementing a plan to efficiently and effectively address our infrastructure needs today and in the future.

CHAPTER 1

Connecticut Department of Transportation
TRANSPORTATION ASSET MANAGEMENT PLAN

Welcome

Transportation asset management (TAM) is a strategic and systematic process of taking care of our assets, with a focus on both engineering and economics and is based upon quality information and data. The TAM process identifies a structured sequence of work to better maintain assets in a State of Good Repair (SOGR) over their life cycle at a minimum cost.

In Connecticut, the practices of asset management are needed to address the condition of our infrastructure as many of our assets have aged beyond their intended life expectancy. This aging infrastructure combined with increased demands on the transportation network and limited funding strongly substantiates the need to implement asset management practices.

The Connecticut Department of Transportation (CTDOT) has created a Highway Transportation Asset Management Plan (TAMP) to layout the agency's asset management processes and begin implementing improvements for the Connecticut road network. Connecticut's commitment to use asset management practices to address the condition and aging infrastructure extends to transit assets as well. CTDOT has also developed a Public Transportation Transit Asset Management Plan, as mandated by the Federal Transit Administration (published separately).

Federal Legislative Context

Federal authorization (initially Moving Ahead for Progress in the 21st Century or *MAP-21* and more recently Fixing America's Surface Transportation or *FAST Act*) requires that each State Department of Transportation develop a risk-based TAMP to improve and preserve the condition of assets on the National Highway System (NHS), with the plan containing the following elements at a minimum:

- Summary listing of the bridge and pavement assets on the NHS in each State, including a description of the condition of those assets
- Asset management objectives and measures
- Performance gap identification
- Life cycle planning
- Risk management analysis
- Financial plan
- Investment strategies

This document provides all of these elements required for NHS bridges and pavements. The NHS is a federal designation for a system of roadways that are important to the nation's economy, strategic defense, and overall mobility and includes the following subsystems of roadways: Interstate, Other Principal Arterials, Strategic Highway Network (STRAHNET), Major Strategic Highway Network Connectors, and Intermodal Connectors. The NHS was developed by

TAMP

A Transportation Asset Management Plan is not just a document, but a better way of doing business.

FHWA Annual Consistency Determination

Inventory and condition data, performance projections, target evaluations, and risk management analysis will be updated every year and submitted to FHWA.

the US Department of Transportation in cooperation with the states, local officials and metropolitan planning organizations (MPOs).

As required in Title 23 Code of Federal Regulations Part 515, CTDOT submitted its initial TAMP on April 25, 2018 to meet the April 30, 2018 FHWA deadline. The regulations require this 2019 TAMP to be submitted by June 30, 2019 and then every four years following. FHWA will perform its annual determination of consistency no later than August 31, 2019 and not later than July 31 in each year thereafter.

Agency Overview

CTDOT owns, operates and maintains a multi-modal transportation network comprised of highway assets and transit assets. CTDOT owns and maintains the entire Interstate System in Connecticut and approximately 95% of the non-Interstate NHS. CTDOT also owns and maintains all bridges and pavements on the State Highway System. Finally, CTDOT owns or subsidizes nearly all of the Connecticut's public transportation services, including commuter rail, bus, bus rapid transit, paratransit, and ferry service.

According to the CTDOT Transportation Fast Facts 2015: 87% of Connecticut's labor force commuted to work as motorists while 5% used public transportation; 31.1 billion Vehicle Miles Traveled (VMT) on our roadways, of which 25 million miles (0.08% of the VMT) were traveled by buses. The breakdown of commuters by mode of travel is shown in Table 1-1.

Table 1-1. Connecticut Commuters by Mode

	% Use by Commuters	Number of Commuters
Motorists	87%	1,571,808
Bus	2.57%	46,432
Rail	2.43%	43,902
Other	8%	144,534

Agency Structure Regarding TAM

Organizational alignment and support for TAM is a key element for program success. The TAMP-building and updating process itself brings together the agency's stakeholders, disciplines, and business processes to work towards a common understanding of the TAM mission and objectives.

TAM Mission

CTDOT uses a risk-based, data-driven process to maximize transportation performance and user experience, to prioritize resources, and to optimize treatments and costs over the life cycle of an asset for the state's multimodal transportation system.

TAM Objectives

- Attain the best asset conditions achievable given available resources, while striving towards a State of Good Repair
- Deliver an efficient and effective program to optimize the life of our infrastructure
- Improve communication and transparency regarding decisions and outcomes
- Achieve and maintain compliance with Federal requirements regarding asset management

CTDOT is organized into five bureaus: Engineering & Construction; Finance & Administration; Highway Operations; Policy & Planning; and Public Transportation. The Bureau of Engineering & Construction leadership initiated this effort to implement TAM and develop a TAMP to improve decision-making processes throughout the agency. A memorandum from former Commissioner James Redeker on February 26, 2013 outlined the organizational framework for an Asset Management System at CTDOT in Appendix A. Note that the memo references a draft organization chart for TAM development. The original draft organization chart is now obsolete; the current organization chart is included as Figure 1-1.

As part of this effort, CTDOT designated key TAM roles, formed a TAM Steering Committee, staffed a Transportation Asset Management Group, and identified asset stewards and asset working groups.

The Agency Sponsor for TAM is the Deputy Commissioner of Transportation and Chief Operating Officer. The Agency Chairperson for TAM is the Division Chief of Facilities and Transit.

The TAM Steering Committee includes representatives from the Commissioner's Office and all five bureaus. The role of each member of this committee is to support TAM and recognize the value of TAM for CTDOT and the state. The TAM Steering Committee acts as a liaison to bureaus and divisions to ensure that each area's interests are properly represented and that each area is informed of and supports the TAMP and TAM initiatives.

The Transportation Asset Management Group operates under the new Assistant Chief Engineer position in the Bureau of Engineering and Construction. The Transportation Asset Management Group was created as a result of the CTDOT's commitment toward implementing asset management. The group includes a TAM Implementation Lead and four additional support staff to assist in developing an asset management strategy for each asset. The strategy is focused on obtaining and maintaining each asset in a SOGR. This group is responsible for:

- Developing and implementing the CTDOT's TAMP to ensure CTDOT's compliance with all Federal requirements
- Coordinating asset management activities with asset stewards
- Facilitating progress towards improving asset conditions, inventories and data sharing capabilities
- Acting as liaisons and facilitators for each Asset Working Group, in assisting the group in meeting its asset goals and objectives

An individual asset steward has been identified for each asset. The steward:

- Is a "Champion" for the Asset (defend, support and promote the asset)
- Leads the Asset Working Group
- Facilitates the exchange of information
- Supports development and implementation of the TAMP for their asset
- Serves as the asset's primary contact
- Is responsible for compiling and submitting performance measure data on the asset
- Oversees internal and external asset data needs

Asset Working Groups for each asset were convened as part of the interview and workshop processes early on in the TAMP building process. Working Group members were designated based on their function, expertise and experience with regard to a particular asset. Within each working group, membership is targeted to include strategic, operational and data oriented perspectives. These members play a vital role in providing technical guidance throughout the asset's life cycle. As the asset management process matures, it is envisioned that the working group members will support the asset stewards in achieving and maintaining a SOGR and meet regularly (quarterly or semi-annually, depending upon the asset) to address:

- State of the asset
- Inventory and condition

- Performance targets
- Best practices to meet Connecticut needs
- Advancements in knowledge in life cycle or technology

In May 2019, the Bureau of Public Transportation's Asset Management Group, which reported to the Public Transportation Transit Manager, was organizationally reassigned to the Asset Management Implementation Lead in the Bureau of Engineering and Construction.

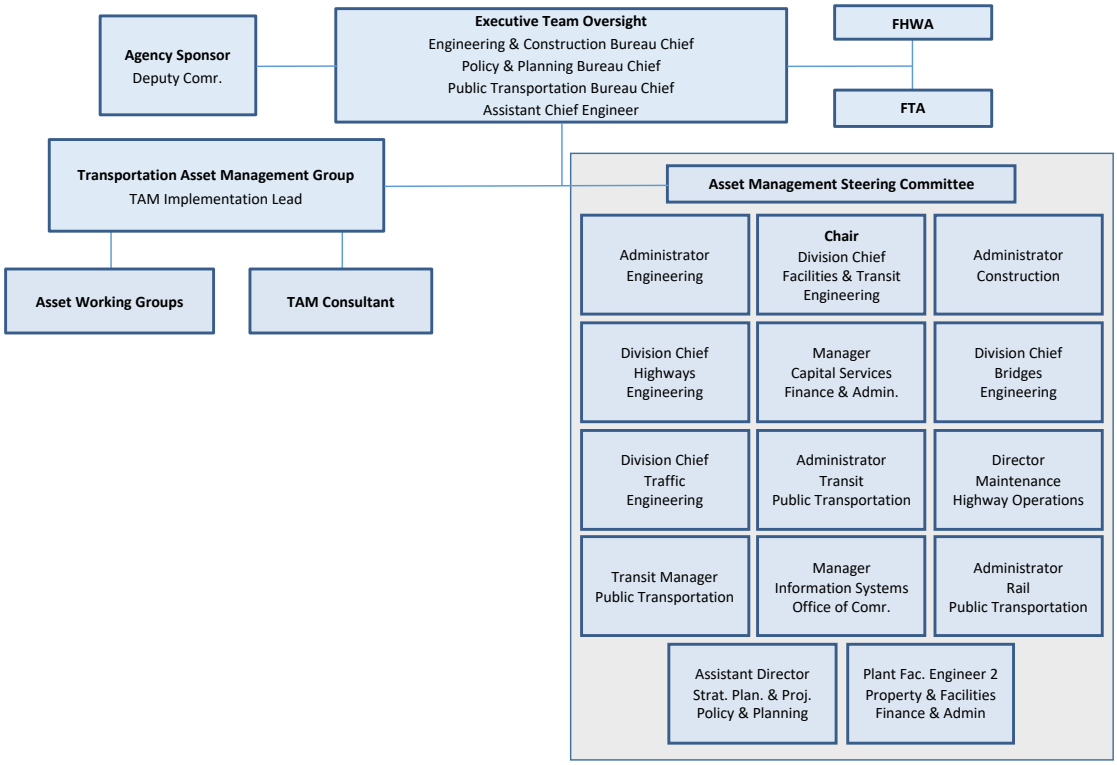


Figure 1-1. CTDOT TAM Organizational Structure

TAMP

Purpose of the TAMP

The TAMP is a federally-required document intended to document TAM practices and processes at CTDOT. A key TAM objective is making data-driven investment decisions to meet federal requirements and to make progress towards state goals. TAM will help CTDOT maintain the transportation system in a SOGR with the most efficient use of financial resources.

Scope of the TAMP

While the FHWA TAMP rules outlined in MAP-21/FAST Act require reporting on NHS bridges and pavements, Connecticut's transportation system includes other assets. For this Highway TAMP, CTDOT is including traffic signals, signs, sign supports, pavement markings, and highway buildings in addition to all of its state-maintained network of pavement and bridges. The initial four additional assets were selected to be included in the TAMP based on their function in guiding motorists on the road. Highway buildings were added new to the 2019 TAMP. Additional assets may be added in future versions of CTDOT's TAMP, for example illumination, retaining walls, intelligent transportation systems (ITS), etc. The inclusion of additional assets into CTDOT's TAMP will drive the collection and use of data for better business practices and investment decisions.

New for 2019

Highway Buildings were added as the seventh asset in the TAMP.

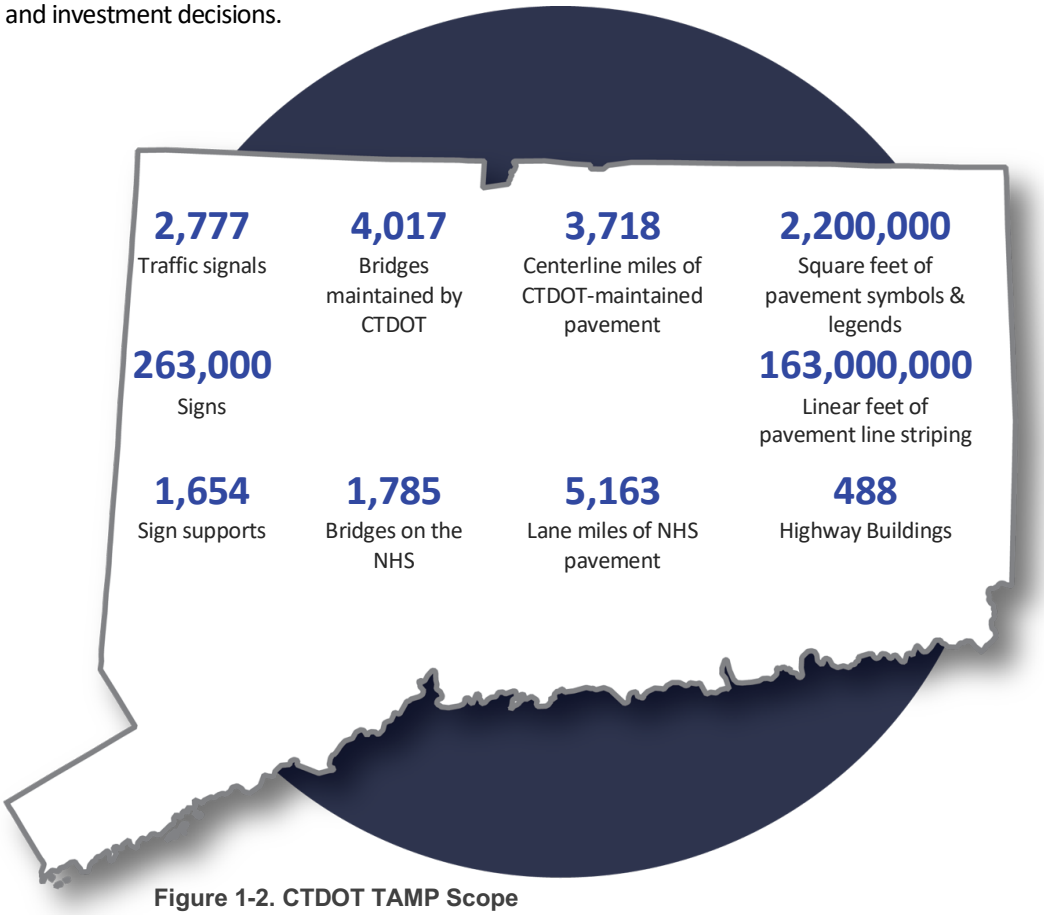


Figure 1-2. CTDOT TAMP Scope

CTDOT, a multi-modal agency, also completed its initial Public Transportation Transit Asset Management Plan in October 2018 in accordance with FTA requirements.

Awareness of other CTDOT plans, such as those listed below, is important for context and alignment with the TAMP.

Related CTDOT Plans

Transportation Infrastructure Capital Plan Report
http://www.ct.gov/dot/cwp/view.asp?a=1383&Q=454340

Statewide Transportation Improvement Program
http://www.ct.gov/dot/cwp/view.asp?a=3529&q=447186

Statewide Long-Range Transportation Plan
http://www.ct.gov/dot/cwp/view.asp?a=1383&q=259760

Strategic Highway Safety Plan
http://www.ct.gov/dot/lib/dot/documents/dsafety/shsp.pdf

State Freight Plan
http://www.ct.gov/dot/cwp/view.asp?a=4719&Q=561266

State Rail Plan
http://www.ct.gov/dot/cwp/view.asp?a=1386&q=437648

Statewide Bike & Pedestrian Plan
http://www.ct.gov/dot/cwp/view.asp?a=1390&q=259656

Public Transportation Transit Asset Management Plan
https://www.ct.gov/dot/lib/dot/documents/dplansprojectsstudies/plans/ctdot-pt-tamp-20181003-t1.pdf

CTDOT Americans with Disabilities Act (ADA) Draft Transition Plan
https://portal.ct.gov/-/media/DOT/documents/ddbe/CTDOT-ADA-Transition-Plan-Draft-2019.pdf?la=en

TAMP Building Process

A wide range of CTDOT organizational units and FHWA were involved in the development of the TAMPs. The initial TAMP building process began in April 2015. After documenting the TAM organizational framework and developing a detailed schedule of activities, the existing asset management-related business processes were documented. A strategic series of interviews were conducted at the start of the process to gain an understanding of the current state of TAM practice. This was followed by a set of interactive workshops that provided targeted input and guidance for key elements of the TAMP.

Six workshops were held in 2015 and 2016. Their subject matter was closely aligned with MAP-21 TAMP requirements. The previously completed TAMP workshop schedule is shown in Figure 1-3.

Figure 1-3. TAMP Workshops and Dates

Documents produced during the initial stages laid the foundation for the writing of the 2018 TAMP. Asset fact sheets were also developed as part of the TAMP building process to provide quick reference summaries for each asset highlighting the asset's inventory and condition, objectives and performance and life cycle planning. Fact sheets, updated in 2019, are in Appendix B.

For this 2019 TAMP, the processes developed in the 2018 TAMP were deployed and followed. Inventory and condition information has been updated with the latest available data. Life cycle analyses were rerun with the latest available condition data, cost data and refinements to treatment decisions. The risk management process was conducted again. Impact, likelihood, risk ratings and mitigation strategies were updated. The financial plan process now also includes a breakdown by work types defined by FHWA. CTDOT's TAMP Building process is depicted in Figure 1-4. This graphic was developed to guide stakeholders through the many steps involved in TAMP development and implementation.

Plan Updates

A TAMP is a living document that will be reviewed, updated, and submitted to FHWA for certification every four years.

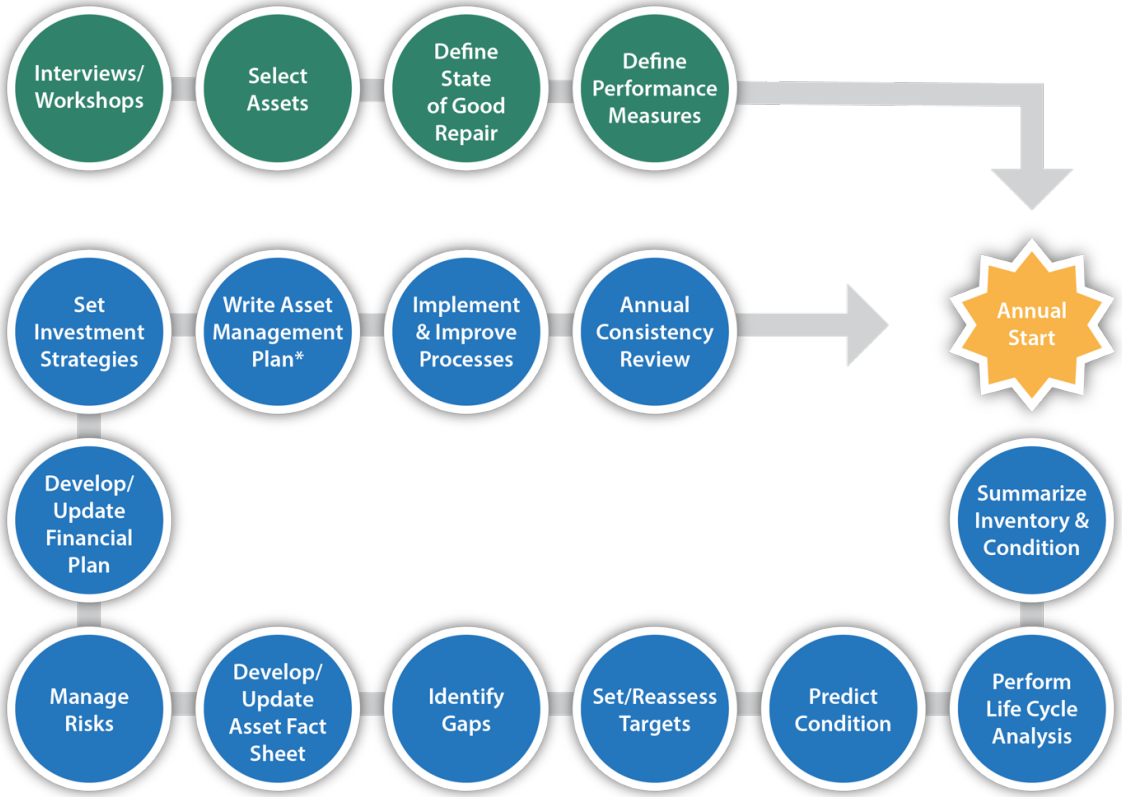
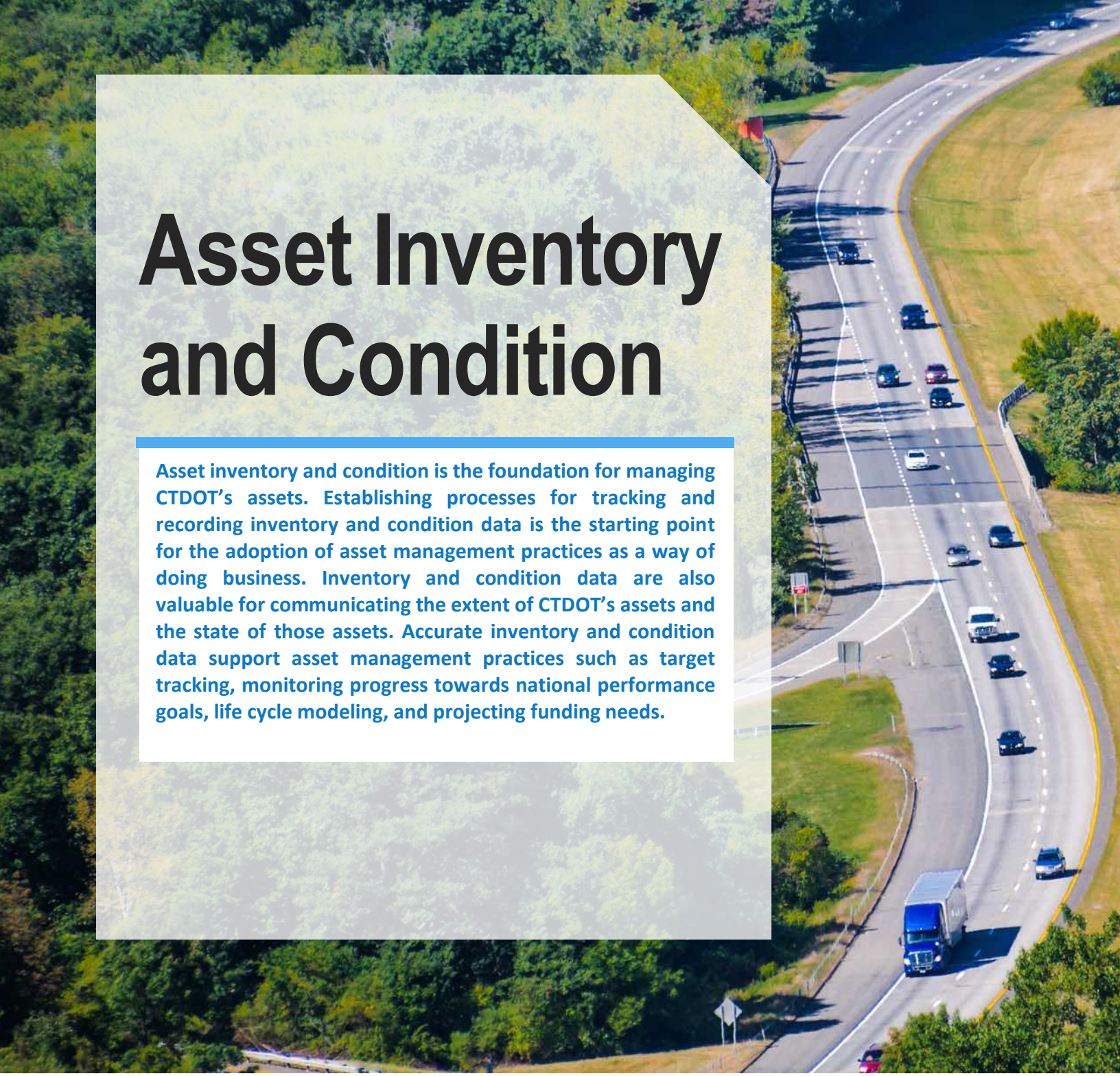


Figure 1-4. CTDOT Highway TAMP Building Process

TAM is an ongoing process. Inventory and condition data, performance projections, target evaluations, and risk management analysis will be updated annually along with the Fact Sheets to assist in compiling data for the FHWA annual consistency determination. A complete list of notable changes included in the 2019 TAMP is provided on Page xi. The TAMP is a living document that will be reviewed, updated and submitted to FHWA for certification every four years.



Asset Inventory and Condition

Asset inventory and condition is the foundation for managing CTDOT's assets. Establishing processes for tracking and recording inventory and condition data is the starting point for the adoption of asset management practices as a way of doing business. Inventory and condition data are also valuable for communicating the extent of CTDOT's assets and the state of those assets. Accurate inventory and condition data support asset management practices such as target tracking, monitoring progress towards national performance goals, life cycle modeling, and projecting funding needs.

CHAPTER 2

Connecticut Department of Transportation
TRANSPORTATION ASSET MANAGEMENT PLAN

Overview

This chapter presents summary information on asset inventory and condition. Connecticut's TAMP addresses assets on state-maintained roads, as well as bridges and pavements on the NHS maintained by CTDOT and other entities. To comply with federal requirements, bridges and pavements will be reported separately for those on the NHS.

Federal Legislative Context

FHWA requires that a state's TAMP include a summary listing of NHS pavements and bridges, including a description of asset condition. FHWA identifies NHS pavements and bridges as Interstate System pavements; NHS pavements (excluding the Interstate System); and NHS bridges on the National Bridge Inventory (NBI) carrying the NHS. Interstate pavements are part of the Interstate Highway System, a highway network which is part of the NHS.

States may include other assets or systems in their TAMP. If a state chooses to include additional assets, those assets must be included in all of the TAMP processes: inventory and condition, performance measures, targets, performance gap analysis, life cycle planning, risk management, financial planning, and investment strategies.

In addition to providing inventory and condition data, states must also have documented procedures for collecting, processing, storing, and updating inventory and condition data for NHS pavement and bridge assets. States are required to use bridge and pavement management systems that, in addition to other capabilities, collect, process, store, and update inventory and condition data.

Connecticut TAMP Assets

Connecticut's transportation system consists of a wide variety of physical assets. The most significant assets on the system (in terms of their cost and extent) are bridges and pavement. Connecticut's TAMP also includes the following CTDOT maintained assets: traffic signals, signs, sign supports, pavement markings, and highway buildings, as depicted in Figure 2-1.

Note that many other assets are needed to improve safety and support mobility. In many cases, replacement or rehabilitation of roads and bridges includes replacement or upgrades to other additional assets depicted in Figure 2-1. For instance, the cost of reconstructing or replacing a bridge includes the cost of guiderail, and pavement projects often include upgrades to associated traffic and safety assets.

National Highway System (NHS)

The NHS is a system of roadways which includes the Interstate Highway System and other roads important to the nation's economy, strategic defense and overall mobility.

The NHS was developed by the US Department of Transportation in cooperation with the states, local officials and MPOs.

Figure 2-1. Highway Assets in the CTDOT TAMP

This plan addresses assets on two overlapping highway systems: CTDOT-maintained assets and the NHS. CTDOT-maintained assets include all assets within the state highway network. The NHS is primarily composed of CTDOT-maintained roads. However, 155 lane miles (56 centerline miles) of the NHS are locally maintained. Table 2-1 summarizes the federal and state reporting included in the TAMP.

Throughout the remainder of the TAMP document, asset information is summarized in two ways: for the entire CTDOT-maintained system (portions of which are on the NHS), and for the entire NHS (which includes a portion of the state system and a portion of the local system). For bridges and pavement, this means that both federal and state performance measures and data are included. There are no federal requirements for the additional assets; therefore, only CTDOT performance measures and data are included. This approach is used to provide a complete picture of CTDOT-maintained assets, as well as to meet federal requirements for including all NHS bridges and pavement in the TAMP.

Table 2-1. Federal and State TAMP Reporting

Asset	NHS Assets Included To Meet Federal Requirements	Additional CTDOT-Maintained Assets Included
Bridges	✓	✓
Pavements	✓	✓
Traffic Signals		✓
Signs		✓
Sign Supports		✓
Pavement Markings		✓
Highway Buildings		✓

Connecticut's Transportation System Summary

The NHS in Connecticut consists of

- 1,785 bridges totaling 26,200,666 square feet of bridge deck area
- 5,163 lane miles of pavement

Note: The other assets are not broken out by their NHS designation.

For the purposes of the TAMP, the CTDOT-maintained system consists of

- 4,017* bridges
- 3,718** centerline miles of pavement
- 2,777 traffic signals
- 263,000 signs
- 1,654 sign supports
- Pavement markings
  - 163,000,000 linear feet of pavement lines
  - 2,200,000 square feet of pavement symbols
- 488 highway buildings

*Note: CTDOT-Maintained bridges include the following categories: NHS NBI, NHS Non-NBI, Non-NHS NBI, and Non-NHS Non-NBI bridges.

**Note: The CT Public Road mileage is 4,137 centerline miles which includes 419 centerline miles of public roads that are not under CTDOT's purview for pavement condition.

The inventories for all the assets are fluid and quantities fluctuate due to assets that are added or removed.

The NHS in Connecticut is shown in Figure 2-2.

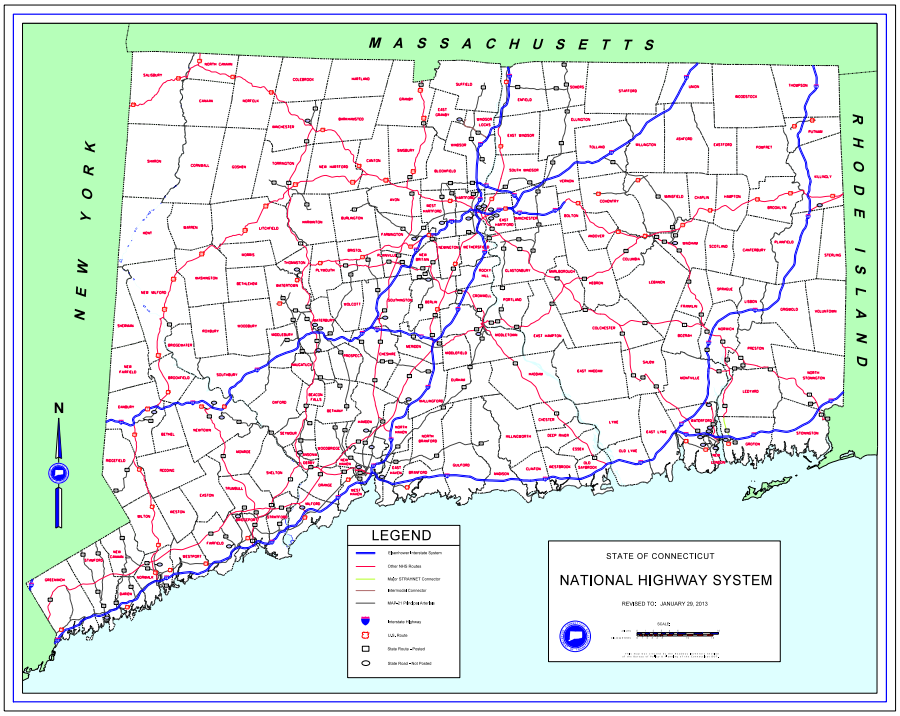


Figure 2-2. NHS in Connecticut

The State highway network is shown below in Figure 2-3.

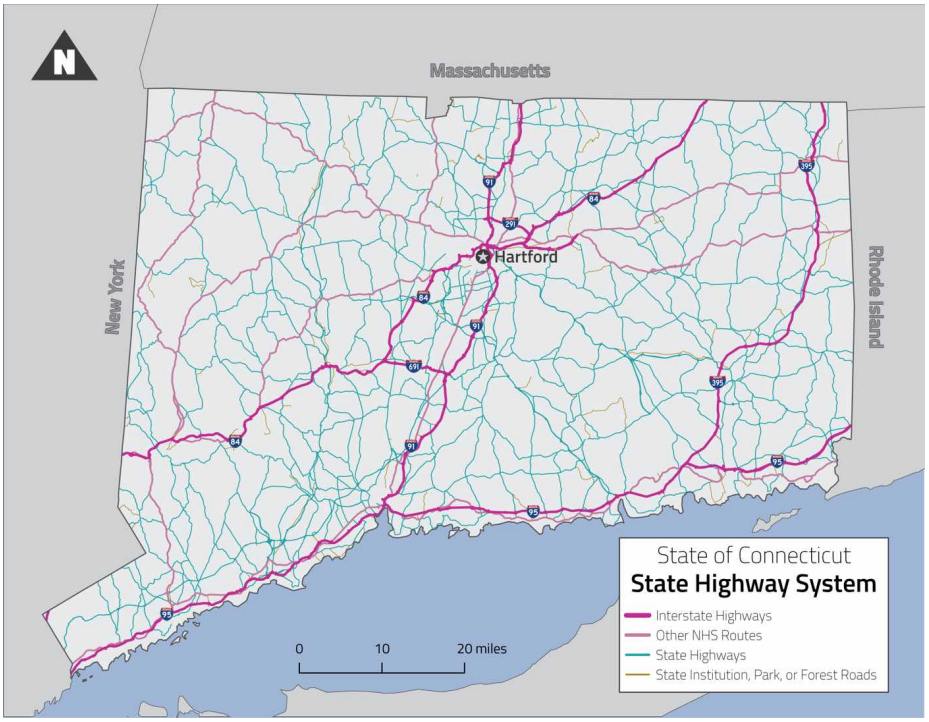


Figure 2-3. Connecticut's State Highway Network

Monitoring and measuring transportation asset conditions enables CTDOT to assess the performance of the transportation system, analyze deficiencies and predict future needs, allocate funding, and schedule projects in order to address the SOGR. Asset condition is also an important public-facing measure. Users of the transportation network notice and experience asset condition every day and recognize changes in asset condition. Further, public trust and confidence is bolstered when objective measurable results can be demonstrated from increased public investment.

For depicting NHS conditions, this TAMP uses definitions of good, fair, and poor condition developed by the FHWA and required for use in the TAMP. CTDOT also tracks state performance measures on the CTDOT-maintained system for bridges, pavement, traffic signals, signs, sign supports, pavement markings, and highway buildings. Table 2-2 summarizes the asset inventory and conditions for NHS bridges and pavements with condition ratings based on the federal performance criteria for good, fair, and poor.

Communication

The TAMP is a valuable tool to communicate needs and to advocate for resources.

Table 2-2. Inventory and Conditions for NHS Assets in the TAMP (Federal Criteria)

NHS	Inventory	Good	Fair	Poor
Bridges	26,200,666 Square feet of deck area	15.2%	70.8%	14.0%
Pavement *	5,163 Lane miles	50.4%	47.2%	2.4%

*Note: The Good, Fair, and Poor percentages were calculated using MAP-21/Fast Act. The percentages were based on 4,945 total lane miles of pavement condition data, which excludes 207 lane miles on bridges and 11 lane miles that were missing or invalid due to construction, etc. This all adds up to 5,163 NHS lane miles.

Table 2-3 summarizes CTDOT-maintained asset inventory and conditions for the seven asset classes of this TAMP using CTDOT performance criteria for good, fair and poor. Bridges follow the federal criteria for CTDOT-maintained bridges as well, pavement uses a CTDOT Pavement Condition Index defined on Page 2-14, and the remaining assets do not have federal criteria defined at this time. This TAMP uses bridge data reported by CTDOT to the NBI and NHS pavement data reported by CTDOT to the Highway Performance Management System (HPMS) for the NHS inventory and condition values.

Table 2-3. Inventory and Conditions for CTDOT-Maintained Assets in the TAMP (CTDOT Criteria)

CTDOT-Maintained	Inventory	Good	Fair	Poor
Bridges	4,017 Bridges	26.8%	68.0%	5.2%
Pavement *	3,718 Centerline miles	63.2%	34.1%	2.7%
Traffic Signals	2,777 Assets	35.3%	39.2%	25.5%
Signs (approximate inventory)	263,000 Assets	31.1%	9.5%	59.4%
Sign Supports	1,654 Assets	41.7%	56.9%	1.4%
		State of Good Repair		Poor
Pavement Markings ** (estimated by assumptions)	163,000,000 Linear feet of pavement lines	27.4%		72.6%
	2,200,000 Square feet of pavement symbols	55.1%		44.9%
Highway Buildings	488 Tier 1, 2, & 3 Buildings	79.6%		20.4%

*Note: These Good, Fair and Poor percentages were calculated based on centerline miles using CTDOT's Pavement Condition Index defined on Page 2-14. Centerline miles where data were missing or invalid are excluded from the calculations.

**Note: Pavement marking inventory and condition is simply reported in State of Good Repair and Poor based on age. Assumptions did not consider a detailed good and fair condition breakdown for this TAMP.

Bridge

The FHWA defines a bridge as a structure carrying a public roadway with at least a 20-ft span or greater to be on the NBI. In addition to the FHWA designation, CTDOT has also expanded the bridge classification to include all structures 6 feet in length or greater, including culverts. For purposes of this TAMP, all NHS bridge references and measures use the FHWA NBI bridge designation; whereas all CTDOT bridge references and measures use the expanded bridge classification.

Bridges provide road network connectivity, spanning water bodies and other natural features, rail lines, and other roadways. New bridges are designed to last at least 75 years, and in practice, many bridges remain in service for much longer. However, bridges require periodic maintenance to replace individual components (such as decks) that have a shorter life than the bridge as a whole. If preservation work on a bridge is deferred, then deterioration may accelerate to the point where

National Bridge Inventory (NBI)

The NBI is a database that includes all bridges longer than 20 feet and on a public road.

more costly repairs are needed. In some cases, deteriorated conditions may require restricting the loads the bridge can carry or closing the bridge until needed repairs are complete–which can mean extensive detours for road users. Thus, maintaining bridges in good condition pays off, resulting in the lowest long-term costs both to transportation agencies and road users. Bridges in good condition allow access to essential services and have a positive impact on the economy.

Bridge Performance Measures

FHWA has established two measures of bridge condition:

- Percentage of NHS bridges classified in good condition (weighted by deck area)
- Percentage of NHS bridges classified in poor condition (weighted by deck area)

FHWA requires that states use the above measures in their TAMPs to describe condition, set targets, and analyze performance gaps of NHS bridges. Note that if a bridge is not in good or poor condition, it is deemed to be in fair condition.

CTDOT follows FHWA NBI standards for inspecting all Connecticut bridges. Inspectors record overall ratings for a bridge's deck, superstructure and substructure on a scale from 0 (failed) to 9 (excellent). Structures classified as culverts are included in the NBI inventory if they span more than 20 feet. For these structures, a single culvert rating is recorded using the same 0-9 scale.

Bridge condition ratings are used to classify the bridge as being in good, fair or poor condition. The lowest of the three ratings for deck, superstructure and substructure (or a culvert rating for a culvert) determines the overall rating of the bridge. If this value is 7 or greater, the bridge is classified as being in good condition. If it is 5 or 6, the bridge is classified as being in fair condition, and if it is 4 or less, the bridge is classified as being in poor condition. Thus, if any major component is classified as being in poor condition, the bridge will be considered Poor. Note that the fact that a bridge is classified as Poor does not imply that the bridge is unsafe, just that deficiencies have been identified that require maintenance, rehabilitation or replacement. A graphical depiction of the three bridge components is shown in Figure 2-4.

Federal Measure

Bridge Condition: NBI Ratings and Good/Fair/Poor Classification		
9	Excellent	GOOD
8	Very Good	
7	Good	
6	Satisfactory	FAIR
5	Fair	
4	Poor	POOR
3	Serious	
2	Critical	
1	Imminent Failure	
0	Failed	

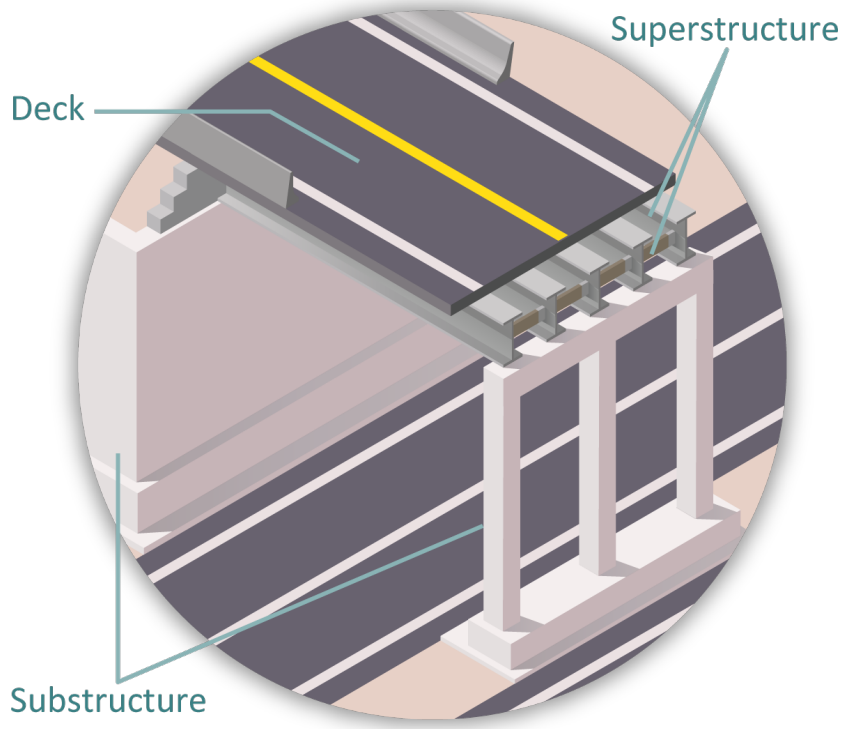


Figure 2-4. Bridge Components

In addition to the federal performance measures above, CTDOT has adopted a Good, Fair, and Poor condition rating system per structure rather than by deck area for state-maintained bridges using the same deck, superstructure, substructure, and culvert ratings described previously. CTDOT defines a bridge as a crossing of at least six feet in length, including culverts.

CTDOT's performance measure for CTDOT-maintained bridges is the percent of CTDOT-maintained bridges in a SOGR. A bridge for which the NBI rating is 5 or greater is classified by CTDOT as being in a SOGR. CTDOT's measure for 4,017 CTDOT-maintained bridges is based on the number of bridges, unlike FHWA's required measure which is based on total bridge deck area for 1,785 NHS bridges. CTDOT bases its measure by number of bridges rather than by deck area since the number of bridges is a more appropriate representation of the network condition. In Connecticut, a measure by deck area can disproportionately represent the network based on a few large sized bridges.

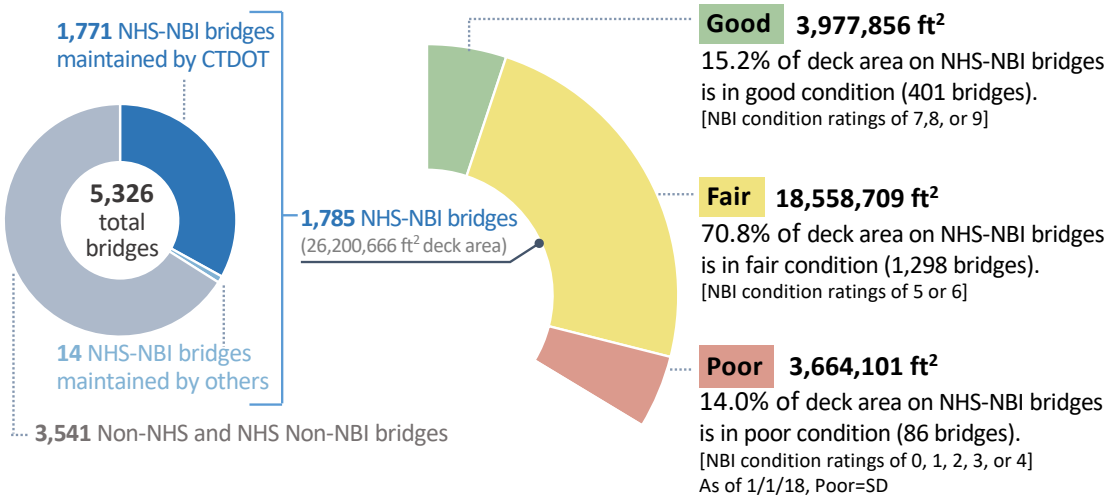
Inventory and condition data for bridges are gathered through the bridge inspection process. The data are stored in the Structure Management System (SMS) using customized InspectTech software and updated based on inspections, which happen most commonly on a biennial cycle. CTDOT reports on the condition of the NBI to FHWA on an annual basis. Asset data management is discussed in greater detail in Chapter 3.

State Measure

Bridge Condition: NBI Ratings and State of Good Repair		
9	Excellent	SOGR
8	Very Good	
7	Good	
6	Satisfactory	
5	Fair	
4	Poor	
3	Serious	
2	Critical	
1	Imminent Failure	
0	Failed	

Bridge Inventory and Conditions

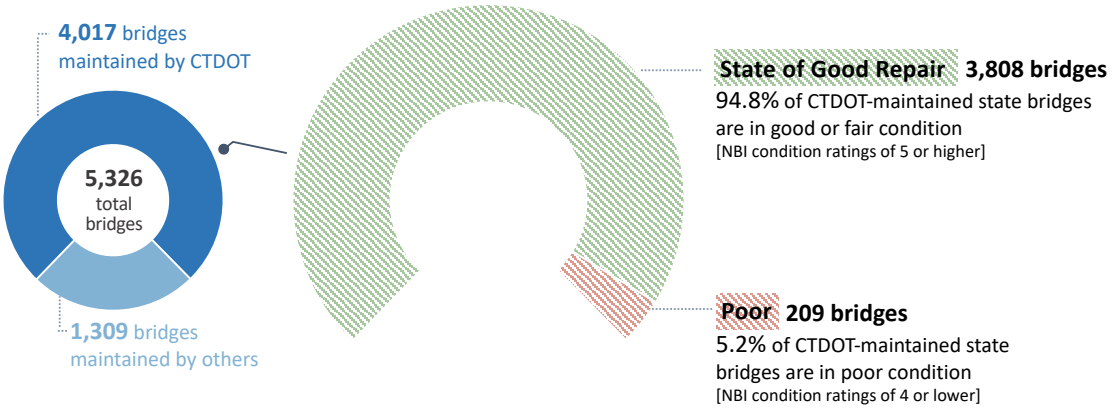
CTDOT inspects a total of 5,326 roadway bridges, including all of Connecticut's NBI bridges (20 feet or longer) and all of CTDOT's bridges (6 feet or longer). Of this total, 1,785 are NBI bridges on the NHS, and 4,017 are maintained by CTDOT. Figure 2-5 summarizes the NHS-NBI bridge inventory and its condition in Connecticut.



Based on CTDOT 3/15/18 NBI Submittal

Figure 2-5. NHS-NBI Bridge Inventory and Conditions

Figure 2-6 shows the inventory and condition of CTDOT-maintained bridges.



Based on CTDOT 3/15/18 Snapshot

Figure 2-6. CTDOT-Maintained Bridge Inventory and Conditions

Bridge Asset Valuation

For the purposes of this TAMP, the estimated value of the 4,017 CTDOT-maintained bridges is $14.9 billion. Asset valuation is discussed in further detail in Chapter 7.

Pavement

Pavement is the layered structure that forms the road. Pavements are designed to support anticipated traffic loads and provide a safe and relatively smooth driving surface. Maintaining pavements in good condition lengthens their life, enhances safety, helps reduce road users' operating costs, and reduces vehicle emissions. On the other hand, rough roads cause more wear and tear on vehicles, increasing user costs.

A typical pavement structure is shown below in Figure 2-7.

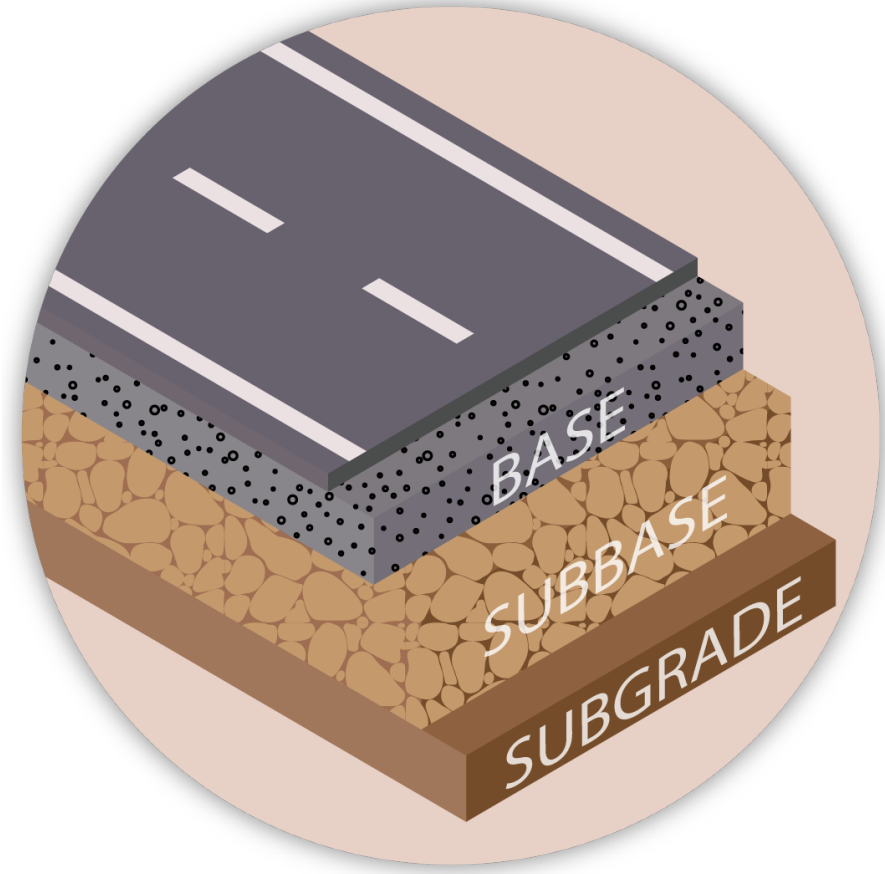


Figure 2-7. Pavement Structure

Centerline Miles vs Lane Miles

A centerline mile is a measure of the total length (in miles) of highway facility in-place or proposed, as measured along the highway centerline.

A lane-mile is a measure of the total length of traveled pavement surface.

Lane-miles equate to the center-line length (in miles) multiplied by the number of lanes.

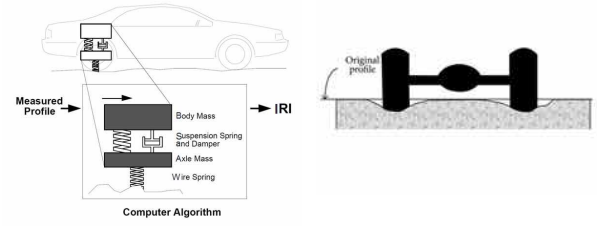
Pavement Performance Measures

CTDOT has adopted FHWA's four pavement condition performance measures for NHS pavements:

- Percentage of pavements on the Interstate System in Good condition
- Percentage of pavements on the Interstate System in Poor condition
- Percentage of pavements on the NHS (excluding the Interstate System) in Good condition
- Percentage of pavements on the NHS (excluding the Interstate System) in Poor condition

Each of the performance measures are calculated based on data reported to the HPMS.

For asphalt pavements, the following metrics are used to calculate the pavement condition performance measures:



1

International Roughness Index (IRI) is an indicator of pavement roughness experienced by road users traveling over the pavements, and is computed from a single longitudinal profile.

Rutting is quantified for asphalt pavements by measuring the depth of ruts along the wheel path. Rutting is commonly caused by a combination of high traffic volumes, heavy vehicles and the instability of the pavement mix.

Cracking is measured in terms of the percentage of cracked pavement surface. Cracks can be caused or accelerated by aging, loading, poor drainage, frost heaves or temperature changes, or construction flaws.

For concrete pavements, which are composed of a Portland Cement Concrete surface course, in addition to IRI described for asphalt pavements, faulting and cracking are used to calculate the pavement condition performance measures. Faulting is computed as the average vertical misalignment of adjacent slabs. Cracking in concrete pavements is measured as the percentage of slabs in the section that are cracked according to the HPMS Field Manual. Concrete pavements make up just 0.4% of the pavements in Connecticut.

1 The Little Book of Profiling, M. Sayers and S. Karamihas, University of Michigan, 1998

For each of the above metrics, FHWA has established thresholds for good, fair and poor condition. These thresholds are summarized in Table 2-4. The pavement condition metrics are used to calculate the FHWA performance measures for pavement condition. Conditions are assessed using these criteria for 0.1 mile long pavement sections, although shorter sections are permitted at the beginning of a route, end of a route, at bridges, or other locations where a section length of 0.1 mile is not achievable, as described in the December 2016 HPMS Field Manual. An individual section is rated as being in good overall condition if all of the metrics are rated as good, and poor when two or more are rated as poor. All other combinations are rated as fair. The lane miles in good, fair and poor condition are tabulated for all sections to determine the overall percentage of pavement in good, fair and poor condition.

Table 2-4. FHWA Pavement Condition Thresholds

Metric	Good	Fair	Poor
IRI (inches/mile)	<95	95-170	>170
Rutting (inches)	<0.20	0.20-0.40	>0.40
Cracking (%)			
- Asphalt	<5	5-20	>20
- Jointed Concrete	<5	5-15	>15
- Continuously Reinforced Concrete	<5	5-10	>10
Faulting (inches)	<0.10	0.10-0.15	>0.15

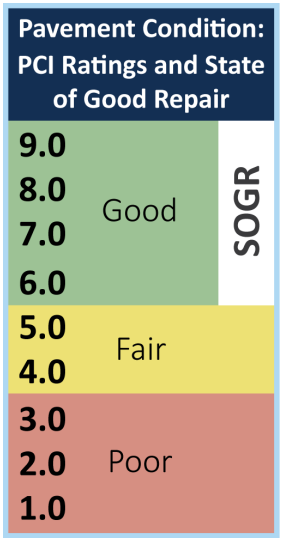
In addition to using the above federally-required measures for NHS pavements, CTDOT uses a Pavement Condition Index (PCI) to measure the condition of all CTDOT-maintained pavements. PCI is calculated for 0.1 mile sections, although smaller sections are used where 0.1 mile is not achievable.

For asphalt pavements, the PCI is based on five indices. The overall PCI is a weighted average of these indices, with each weight shown in parentheses:

- IRI (10%)
- Rutting (15%)
- Cracking (25%)
- Disintegration (30%)
- Drainage (20%)

IRI, rutting and cracking are also used for the FHWA metrics described earlier in this section; however, the IRI, cracking, and rutting indices used for calculating the PCI are handled differently than they are for determining the FHWA metrics. Disintegration is the wearing away of the pavement surface caused by the dislodging of aggregate particles and loss of asphalt binder. The disintegration index is estimated using the pavement age. Drainage refers to

State Measure



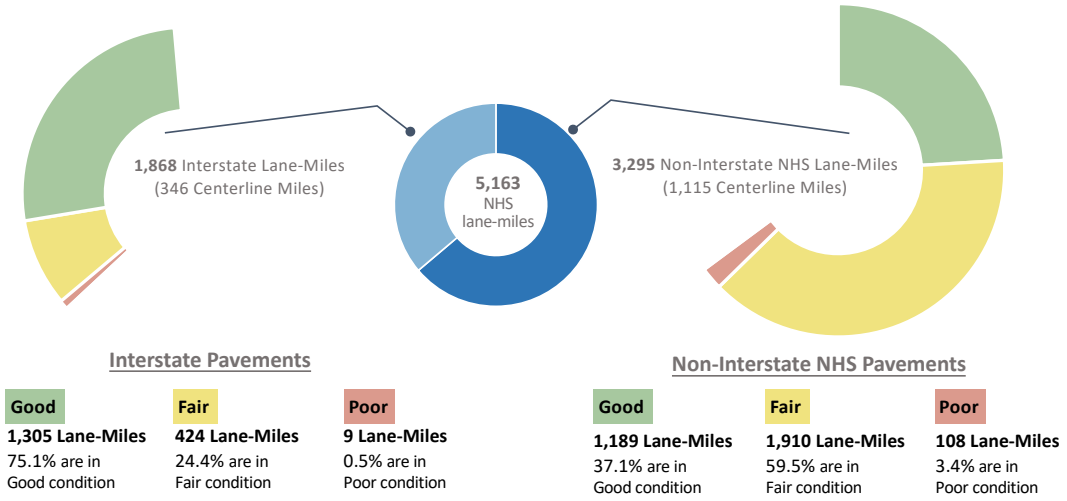
the ability of the surface of the roadway to drain and uses the collected cross slope and grade of the roadway to compute the drainage index. For concrete pavements, the PCI is based solely on the IRI index.

The PCI is scaled from 1.0 to 9.0, with 9.0 describing a pavement without defects. Within this scale, roadways with a PCI less than 4.0 are classified in "Poor" condition, those between 4.0 and less than 6.0 are in "Fair" condition, and 6.0 to than 9.0 PCI indicates "Good" condition. A pavement section for which the PCI is 6 or greater is classified as being in a SOGR. CTDOT's performance measure for CTDOT-maintained pavement is the percentage of centerline miles in a SOGR.

Changes in the December 2016 publication of the HPMS Field Manual resulted in differences in the way in which the percent cracking metric was calculated for the Federal performance measures for asphalt pavements. In addition to these changes, cracking calculations were further automated for 2017 pavement condition data using features in Fugro's Vision software that provided the capability to output cracking directly in units of area, as opposed to units of length. Previously, in order to find areas of cracking, cracks measured in length had to be multiplied by an imputed cracking distress width to determine an area. This process was especially difficult for alligator type cracking, where series of random interconnected cracks complicated the estimation of cracking distress widths to determine cracking areas. The process of outputting cracking directly in units of areas using Fugro's Vision software for 2017 pavement condition data significantly improved the accuracy of measured cracking areas compared to 2016, and ultimately improved the quality of the cracking metric for CTDOT.

Pavement Inventory and Conditions

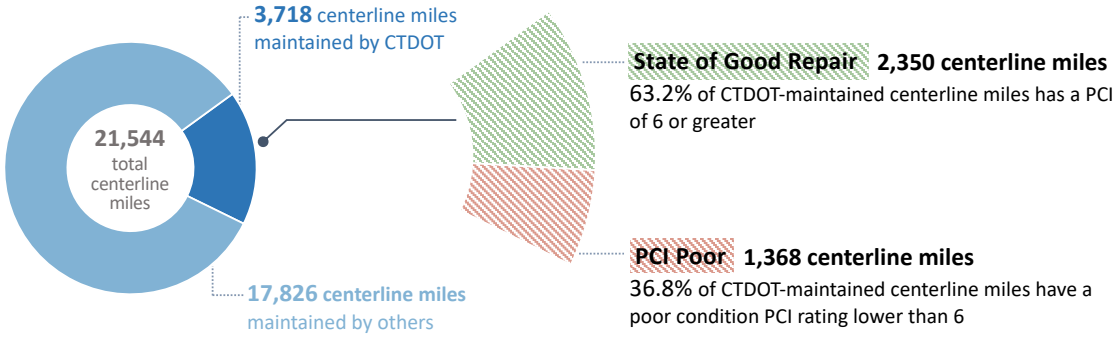
The pavement inventory is organized by system, divided into NHS and state highway network pavements. The NHS is further broken down into Interstate and Non-Interstate NHS pavements. Federal performance measures based on data reported to the HPMS exclude bridges and ramps. For consistency, bridges and ramps are also excluded from pavement condition presented in this TAMP. Figure 2-8 shows current inventory and conditions on CTDOT-maintained NHS pavements. Note that 127 Interstate lane miles are coded as bridge and 3 Interstate lane miles are missing/invalid; these 130 lane miles have no reported condition data. Note that 80 Non-Interstate NHS lane miles are coded as bridge and 8 Non-Interstate NHS lane miles are missing/invalid; these 88 lane miles have no reported condition data.



Based on CTDOT 6/15/18 HPMS Submittal

Figure 2-8. NHS Pavement Inventory and Conditions

Figure 2-9 shows current inventory and conditions of CTDOT-maintained pavements.



Based on CTDOT 6/15/18 Snapshot

Figure 2-9. CTDOT-Maintained Pavement Inventory and Conditions

Pavement Asset Valuation

For the purposes of this TAMP, the estimated value of the 3,718 centerline miles of CTDOT-maintained pavement is $9.8 billion. Asset valuation is discussed in further detail in Chapter 7.

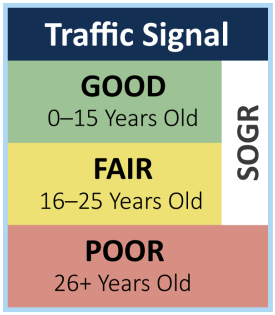
Traffic Signals

CTDOT defines a traffic signal unit as all traffic control equipment at a given intersection or location.

Traffic Signal Performance Measures

Traffic signal condition is currently approximated based on age. The life cycle for a traffic signal is estimated to be 25 years based on expectations of traffic controller and signal head life with interim component replacements at varying intervals. For the purpose of the TAMP, traffic signals between 0 and 15 years old are considered to be in good condition, traffic signals between 16 and 25 years old are considered to be in fair condition, and traffic signals older than 25 years are considered to be in poor condition. A traffic signal installed within the past 25 years is classified as being in a SOGR. CTDOT is working on developing a revised approach to managing the inventory and condition of this asset to a component based rating system.

State Measure

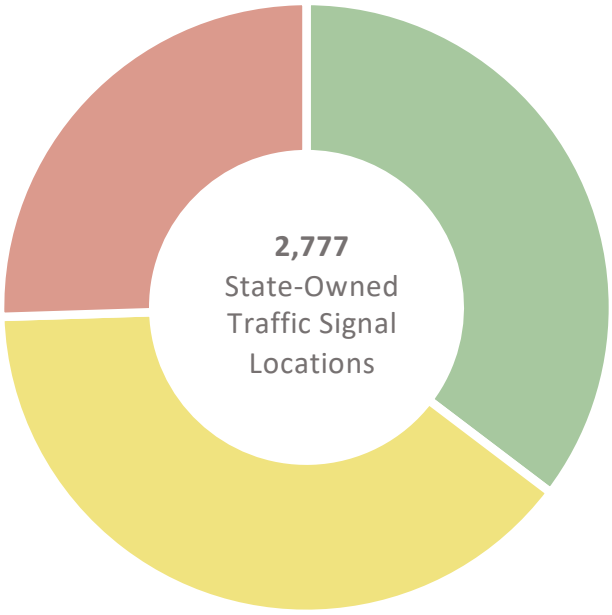


Traffic Signals Inventory and Condition

CTDOT is currently responsible for maintaining 2,777 state-maintained traffic signals:

- 2,547 traffic signals
  - 952 of the traffic signals are part of 110 computerized traffic signal systems
- 230 overhead flashing beacons
- An additional 282 signs with flashers are tracked in the traffic signal inventory. The associated signs are included under the sign asset

Figure 2-10 shows the current inventory and conditions of CTDOT-maintained traffic signals.



Good

981 Locations

35.3% are in Good condition (0-15 years old)

Fair

1,088 Locations

39.2% are in Fair condition (16-25 years old)

Poor

708 Locations

25.5% are in Poor condition (26+ years old)

Based on CTDOT 10/30/18 Snapshot

Figure 2-10. Traffic Signal Inventory and Conditions

Traffic Signal Asset Valuation

For the purposes of this TAMP, the estimated value of the 2,777 CTDOT-maintained traffic signals, including flashing beacons, is approximately $674 million. Asset valuation is discussed in further detail in Chapter 7.

Signs

CTDOT defines a sign as a panel attached to a post(s) or sign structure and a sign assembly as the combination of sign panel(s) and their post(s), support, or sign structure at a single location. For the purpose of the TAMP, the sign asset category includes all state-maintained sign panels (side-mounted and overhead) and the posts, supports and foundations for side-mounted sign panels located adjacent to a roadway. Overhead sign supports with their associated foundations are managed as a separate asset.

Signs Performance Measures

Sign condition is approximated based on age. A sign installed within the past 17 years is classified as being in a SOGR based on expectations of retroreflectivity life. Retroreflectivity is a measure of the amount of light reflected by a surface back to the source of the light.

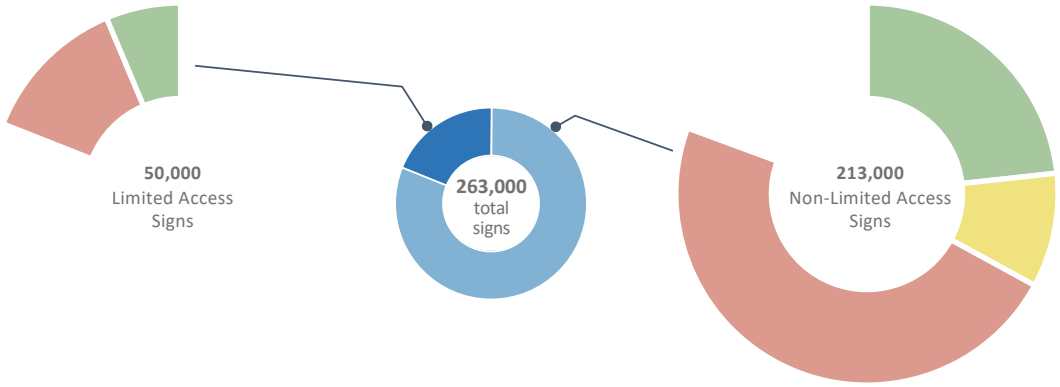
Signs between 0 and 12 years old are considered to be in good condition, signs between 13 and 17 years old are considered to be in fair condition, and signs older than 17 years are considered to be in poor condition.

State Measure

Sign Condition	
GOOD 0–12 Years Old	SOGR
FAIR 13–17 Years Old	
POOR 18+ Years Old	

Signs Inventory and Conditions

CTDOT is responsible for maintaining approximately 263,000 regulatory, warning, and guide signs that are located on state-maintained roadways. The sign asset is organized by signs located on limited access roadways and signs located on non-limited access roadways. Figure 2-11 shows the inventory and conditions of CTDOT-maintained signs.



Limited Access Signs

Good	Fair	Poor
16,667 Signs 33.3% are in Good condition (0-12 years old)	**0 Signs** 0% are in Fair condition (13-17 years old)	**33,333 Signs** 66.7% are in Poor condition (18+ years old)

Non-Limited Access Signs

Good	Fair	Poor
65,000 Signs 30.5% are in Good condition (0-12 years old)	**25,000 Signs** 11.7% are in Fair condition (13-17 years old)	**123,000 Signs** 57.8% are in Poor condition (18+ years old)

Based CTDOT 2013 Inventory

Figure 2-11. Sign Inventory and Conditions

Sign Asset Valuation

For the purposes of this TAMP, the estimated value of the 263,000 CTDOT-maintained signs is approximately $236.5 million. Asset valuation is discussed in further detail in Chapter 7.

Sign Support

CTDOT defines a sign support as the structure (horizontal member(s), post(s), vertical attachments and foundation) carrying sign panels or variable message boards at a single location. Overhead sign panels attached to the sign support are managed as part of the sign asset.

Sign Support Performance Measures

Sign support condition ratings are used to classify a sign support as being in good, fair or poor condition. The lowest of the ratings for the structure or the foundation determines the overall rating of the sign support. Sign support condition is measured using a 0-9 rating scale. If the overall rating is 7 or greater, the sign support is classified as being in good condition. If it is 5 or 6, the sign support is classified as being in fair condition, and if it is 4 or less, the sign support is classified as being in poor condition. Sign supports with an overall rating of 5 or better are classified as being in a SOGR. Sign support condition ratings are re-evaluated every 6 years for full span overhead sign supports; 4 years for cantilever or bridge mounted sign supports; and 2 years for any aluminum sign supports (regardless of type).

State Measure

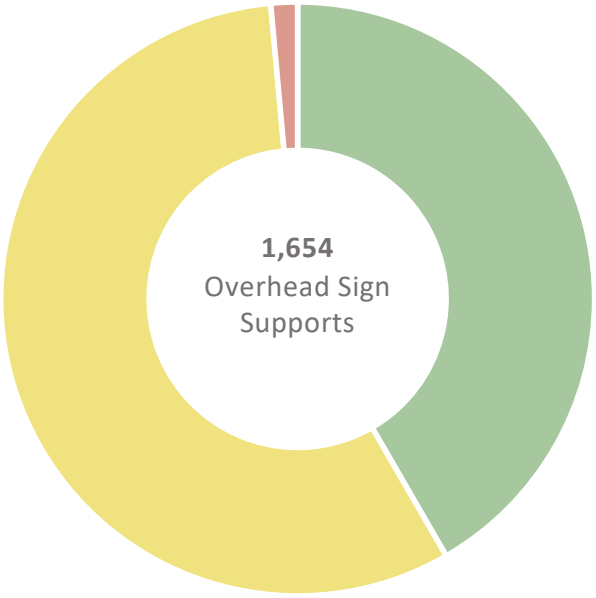
Sign Support Condition: State of Good Repair		
9	Excellent	SOGR
8	Very Good	
7	Good	
6	Satisfactory	
5	Fair	
4	Poor	
3	Serious	
2	Critical	
1	Imminent Failure	
0	Failed	

Sign Support Inventory and Conditions

CTDOT is responsible for maintaining 1,654 overhead sign supports on state-maintained roadways. The sign support inventory is made up of three categories:

- 643 Cantilevers
- 617 Full-Span
- 394 Bridge Mounted

Figure 2-12 shows the current inventory and conditions of sign supports.



Good

689 Sign Supports

41.7% are in Good condition

[Condition ratings of 7,8, or 9]

Fair

941 Sign Supports

56.9% are in Fair condition

[Condition ratings of 5 or 6]

Poor

24 Sign Supports

1.4% are in Poor condition

[Condition ratings of 0,1,2,3, or 4]

Based on CTDOT 3/15/19 Snapshot

Figure 2-12. Sign Support Inventory and Conditions

Sign Support Asset Valuation

For the purposes of this TAMP, the estimated value of the 1,654 CTDOT-maintained sign supports is approximately $264 million. Asset valuation is discussed in further detail in Chapter 7.

Pavement Markings

Pavement markings are organized into two categories: line striping, measured in linear feet; and symbols and legends (arrows, crosswalks, etc.), measured in square feet. Both categories of pavement markings can be applied as either water-based or epoxy. For line striping, a newer method of application used is in-laid epoxy markings.

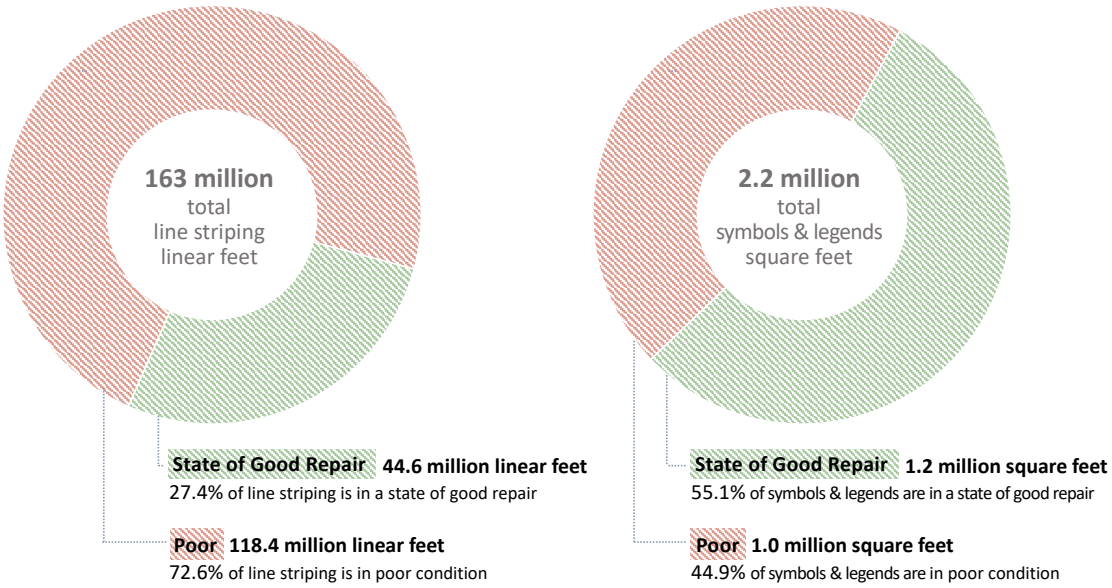
Pavement Markings Performance Measures

In-laid epoxy pavement markings installed within 6 years, epoxy pavement markings installed within the past 3 years and water-based pavement markings installed within 1 year are classified as being in a SOGR. This is based on expectations of retroreflectivity life and wear. Pavement markings older than

the years identified above are classified in a Poor condition. Due to the short life cycle of this asset, CTDOT has chosen not to include a Fair condition rating at this time.

Pavement Markings Inventory and Conditions

CTDOT is responsible for maintaining pavement markings on approximately 3,718 centerline miles of state-maintained roadways. Figure 2-13 shows the current inventory and conditions of both types of pavement markings. This inventory combines in-laid epoxy, epoxy and water-based markings.



Based on CTDOT 2017 Snapshot

Figure 2-13. Pavement Markings Inventory and Conditions

Pavement Markings Asset Valuation

For the purposes of this TAMP, the estimated value of CTDOT-maintained pavement markings is approximately $89.2 million. Asset valuation is discussed in further detail in Chapter 7.

Highway Buildings

CTDOT defines a building as a relatively permanent structure to house persons or property. Highway buildings are needed to support the overall maintenance and operation of the highway system. They vary dramatically in size, function and cost so they are grouped into tiers and sub-tiers to be managed effectively.

Highway Buildings Performance Measures

The condition of the highway buildings is based on a combination of age-based and condition-based component ratings. Components with known or industry standard life cycles, like roofs and boilers, were assigned calculated ratings based on an installation date; components without known life cycles, like interior building finishes, were assigned a rating based on a visual inspection.

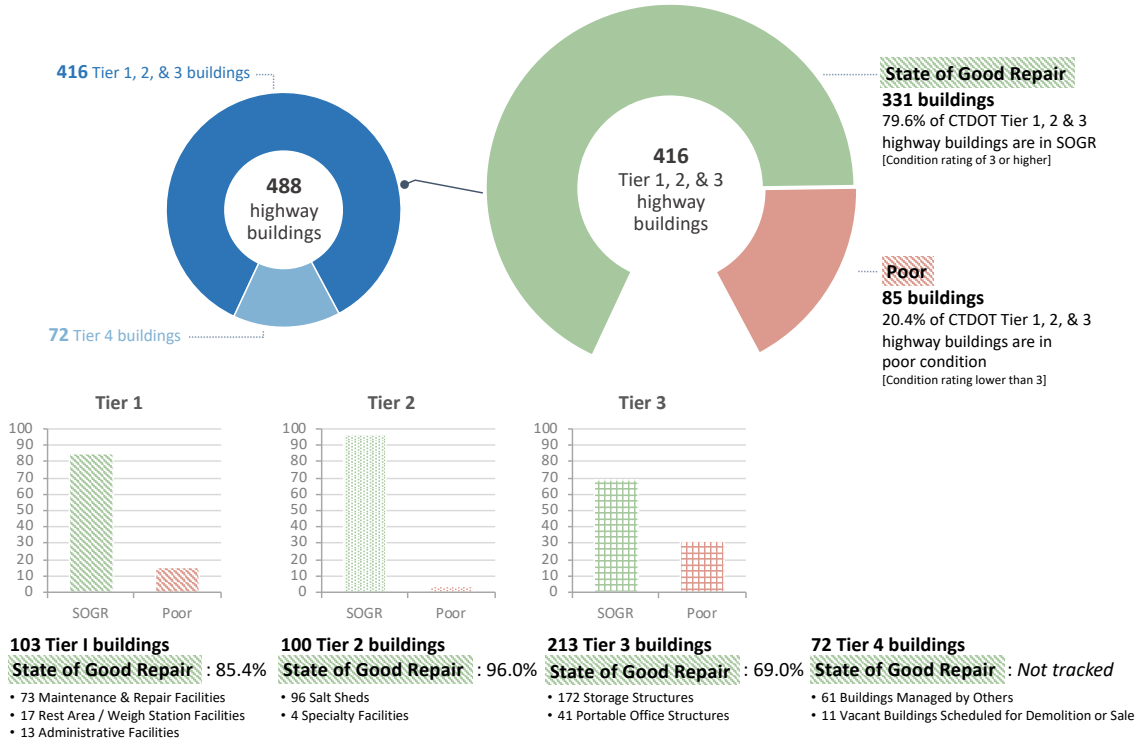
Individual component ratings were weighted and averaged to provide an overall building score.

An overall building score of 3 or higher on a scale of 1-5 is considered to be in a SOGR**,** while a building with an overall building score lower than 3 is not in a SOGR. CTDOT's performance measure for highway buildings is the percent of buildings maintained in a SOGR.

Highway Buildings Inventory and Conditions

CTDOT currently has 488 buildings on 152 Sites in the highway buildings inventory that have been grouped into tiers and sub-tiers. Tier 1 buildings are significant structures from a size, function or cost perspective that are normally occupied by employees or the public and are therefore the most critical buildings in the program. Tier 2 buildings are also significant structures from a size, function or cost perspective but these facilities are not normally occupied by employees or the public. Tier 3 buildings are typically much smaller in scale and cost than the Tier 1 and Tier 2 buildings but are vital in supporting maintenance operations from a storage and portable office function. Tier 4 buildings are tracked in the inventory as assets, but they are not included in the asset management plan. These buildings are either being managed by entities other than CTDOT Property & Facilities Services or are vacant buildings scheduled for demolition or sale. Appendix C includes a detailed list of all building types broken down by tier and sub-tier.

Figure 2-14 shows the current inventory and condition for each building type.



Based on CTDOT 4/1/19 Snapshot

Figure 2-14. Highway Buildings Inventory and Conditions

Table 2-5 shows the owner/occupant relationship for each building type.

Table 2-5. Highway Building Owners and Occupants

Building Type	Owner	Occupant
Tier 1 - Maintenance & Repair Type Facilities	P&FS	M, P&FS
Tier 1 - Rest Area Facilities	M	M
Tier 1 - Weigh Station Facilities	P&FS	CT State Police/CT DMV Truck Squad
Tier 1 - Administration Facilities	P&FS	All DOT Bureaus
Tier 2 - Salt Sheds	P&FS	M
Tier 2 - Specialty Facilities	M	M
Tier 3 - Storage Structures	P&FS	M/P&FS
Tier 3 - Portable Office Structures	P&FS	M
Tier 4 - All Buildings	Various	Various

Maintenance (M); Property and Facilities Services (P&FS); Department of Motor Vehicles (DMV)

Highway Buildings Asset Valuation

For the purposes of this TAMP, the estimated value of CTDOT-maintained highway buildings is approximately $858 million. The breakdown by tier is as follows:

- Tier 1: $675 million
- Tier 2: $168 million
- Tier 3: $15 million
- Tier 4: value not assessed

Asset valuation is discussed in further detail in Chapter 7.

Summary

CTDOT is implementing TAM not only because it is federally required, but also because CTDOT recognizes that asset management is a better way to do business. Developing systems and processes to gather, record, process, and analyze asset inventory and condition data is a key initial step towards TAM. The inventory and condition data captured in this chapter helps outline the extent and condition of the statewide system and NHS. Subsequent chapters describe performance targets, performance gaps, life cycle plans, risks, and financial details of the system.

Asset Data Management

CTDOT needs consistent, high-quality, well-organized data in order to measure, analyze, track, and report asset inventory, condition and performance. Data are used to support strategic and operational decision-making for TAM activities and project development. TAM activities are data reliant and include tracking performance, analyzing performance, and anticipating future needs. Developing and maintaining robust data management practices, processes, and systems will help CTDOT operate more efficiently and make progress towards state and national performance goals.

CHAPTER 3

Connecticut Department of Transportation
TRANSPORTATION ASSET MANAGEMENT PLAN

Overview

The TAMP reflects CTDOT's need for good asset data management in order to provide a strong foundation for transportation asset and performance management. Data management is a set of practices for specification, collection, quality assurance, standardization, integration, reporting and data accessibility to meet information needs and promote efficiency and consistency. Rather than relying on a decentralized approach in which individual units collect, store and report on data to meet their individual operational needs, CTDOT has been moving towards an enterprise approach in order to make best use of agency data for informed decision-making, as shown in Figure 3-1.

Figure 3-1. Data-Driven Decision Making

This chapter presents a summary of data management practices and processes for the seven assets in the TAMP and an overview of TAM data systems used at CTDOT.

Federal Legislative Context

FHWA requires that State DOTs use the best available data to develop their asset management plans. In addition, states must use bridge and pavement management systems to support development of the asset management plan. Management systems used by State DOTs to support the asset management plan must include documented procedures for:

- Collecting, processing, storing, and updating inventory and condition data for NHS bridges and pavement
- Forecasting deterioration for NHS bridges and pavement
- Conducting life cycle analysis of alternative strategies for NHS bridges and pavement

- Identifying short- and long-term budget needs for managing condition for NHS bridges and pavement
- Determining the optimal strategies for identifying potential projects for NHS bridges and pavement
- Recommending programs and implementation schedules to manage condition for NHS bridges and pavement

Practices and Processes

Data should be used within a well-defined set of practices and processes to maximize its value. This section summarizes asset data management practices at CTDOT such as data collection and updates.

An asset data readiness assessment was completed for each asset for the following categories and a blank sample assessment form is attached in Appendix D:

- Administrative Information
- Asset Definition and Identification
- Asset Data Requirements
- Data Ownership and Stewardship
- Asset Data Collection, Storage and Updating
- Derivative Data Set Creation and Management
- Asset Work History Tracking
- Data Access Points
- Additional Notes

Bridge Data

CTDOT Bridge Safety and Evaluation Unit perform bridge and culvert inspections in accordance with the National Bridge Inspection Standards (NBIS) as well as more detailed element-level inspections. Structures are inspected on a regular interval, typically every 24 months. Select structures in poor condition are strategically scheduled for more frequent inspections. As part of a bridge inspection, bridge inspectors rate a bridge's structural condition through careful inspection and evaluation of the three main components for a span bridge: (1) deck and wearing surface; (2) superstructure (structural supports beneath the deck); and (3) substructure (piers and abutments); or for a culvert: the structural condition. Element-level inspections supplement component inspections, providing detailed data on the condition of each structural element of a bridge. CTDOT reports on the condition of bridges that are part of the NBI to FHWA on an annual basis. CTDOT also reports element-level data for NHS bridges as part of its FHWA NBI annual submittal. Bridge inspection quality control and quality assurance procedures

National Bridge Inspection Standards

FHWA has specified data to be collected as part of a bridge inspection through the National Bridge Inspection Standards (NBIS) in accordance with 23 U.S.C. 151. The standards apply to all publicly owned highway bridges longer than twenty feet located on public roads.

are documented in Chapter 4 of the CTDOT Bridge Inspection Manual Version 2.1. Each bridge is geospatially represented by a single GPS location point within InspectTech and is represented by a polygon within ATLAS. Inspecttech and ATLAS are described later in this chapter.

Pavement Data

Data flows into the Pavement Management System (PMS) from several sources (see Figure 3-2). Pavement condition data are collected by the Bureau of Policy and Planning's Photolog Unit using specially equipped Fugro Roadware Automatic Road Analyzer (ARAN) vans. The entire CTDOT-maintained mainline and locally owned segments of the NHS are measured each year.

Starting with the 2015 data collection, the ARANs were updated to provide 3D imaging using Pavemetrics™ Laser Crack Measurement System, which includes two scanning lasers. This provides greater detail in the measurement of cracking, which will support future refinements to CTDOT's condition indices and PCI. The pavement images captured by the ARANs are processed to identify the presence of different types of pavement distress, including wheel path rutting, cracking, cross slope, and faulting. Faulting is applicable to concrete pavements only, which makes up 0.5% of CTDOT's network.

Also starting with the 2015 data collection, the ARANs were updated to include two Selcom RoLine sensors that feature laser line sensing (versus point laser sensing) located along each wheel path to collect longitudinal profiles to compute the roughness metric.

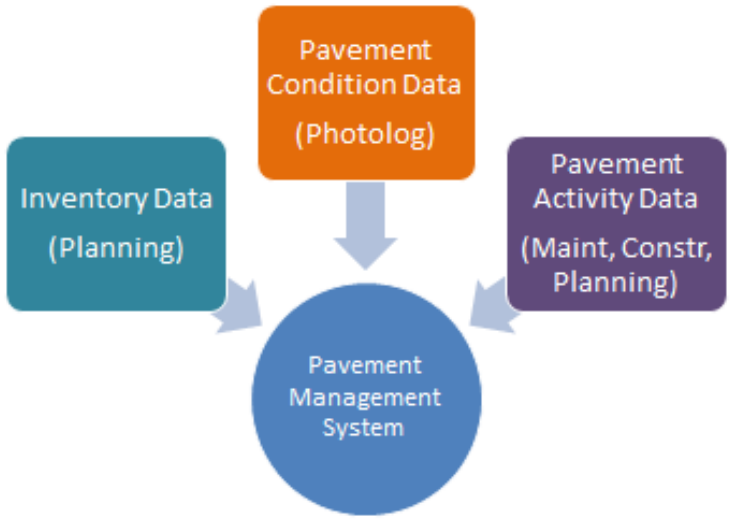
The condition data are then processed by the Pavement Management Unit to calculate IRI (roughness), rutting (distortion), cracking (structural and environmental), disintegration (age), and drainage (cross slope and grade) indices, which are in turn used to calculate the PCI. Condition data are also processed to calculate the Federal performance metrics, including Percent Cracking (for asphalt pavements), Percent Cracked Slabs (for concrete pavements), and Faulting (for concrete pavements). The Pavement Management Unit processes IRI and rutting the same way for both the Federal performance metrics and for calculating the PCI.

Condition ratings are collected every five meters, aggregated by tenth-mile sections and then by pavement analysis sections and stored in a Structured Query Language (SQL) database. Condition data are summarized by lane-miles for Federal HPMS reporting, and FHWA subsequently uses the reported data to determine the Federal PMs. Finally, condition data are summarized by centerline miles for the State performance measures.

Pavement condition data are collected according to the CTDOT Data Quality Management Plan (DQMP) that was approved by FHWA on August 22, 2018. The DQMP addresses the following critical areas:

- Data collection equipment calibration and certification;

- Certification process for persons performing manual data collection;
- Data quality control measures to be conducted before data collection begins and periodically during the data collection program;
- Data sampling, review and checking processes; and
- Error resolution procedures and data acceptance criteria.



Source: Provided by CTDOT, July 2015

Figure 3-2. Pavement Management System Data Flow Diagram

Traffic Signals Data

The traffic signal inventory contains location, ownership, maintenance, estimated energy use, pedestrian features, and other limited attributes. This database was developed years ago and was designed to meet operational rather than asset management needs. The data are stored in a SQL database with a Microsoft Access front end for data entry and viewing. The system was developed and is maintained by CTDOT's Office of Information Systems.

Signs Data

CTDOT currently has a sign inventory that was developed through a consultant contract in 2013 that involved capture of sign locations based on the CT Photolog images. CTDOT has imported that inventory into the Exor Linear Referencing System (LRS). Efforts are underway to improve the accuracy and quality of the sign inventory. Information has been assembled from maintenance work orders and construction contracts to support this process.

CTDOT has recently implemented a process within Traffic Engineering, the Sign Shop, Office of the State Traffic Administration and District Maintenance to capture changes to the sign inventory as they occur, using a module of the Maintenance Management System (MMS).

Sign Supports Data

Sign support condition data are collected during inspections by the Bridge Safety and Evaluation Unit, typically every 6 years for full span overhead sign supports; 4 years for cantilever or bridge mounted sign supports; and 2 years for any aluminum sign supports (regardless of type). Sign supports in poor condition are scheduled for more frequent inspections. As part of a sign support inspection, inspectors rate a sign support's condition through careful inspection and evaluation of the main components: (1) signs & illumination; (2) structure; (3) foundation; and (4) traffic safety features. Each sign support is geospatially represented by a single GPS location point within InspectTech.

Pavement Markings Data

Pavement markings data are based on assumptions for inventory and age. Methods to capture and track data for this asset are being explored. Baseline inventory data could be compiled using the Photolog; information on work affecting pavement markings is currently captured in the TR-8 (paper) forms by district Signs and Markings Units.

Highway Buildings Data

Highway buildings condition data was collected utilizing InspectTech through a 2017/2018 inspection program developed by CTDOT and performed by consultant inspectors. All buildings, except Tier 4, were inspected unless there was a project to renovate, replace or decommission the building.

Each highway building is represented by a single GPS location point within InspectTech. Each site has been designated by a polygon that will eventually be integrated and maintained in ATLAS.

The duration between building inspection cycles has not been determined yet. Building condition data is not currently being updated as building maintenance and repairs occur requiring a more frequent inspection interval. CTDOT is currently investigating the possibility of implementing a Facilities Management System that can issue electronic work orders and update asset condition data, which would allow CTDOT the flexibility to increase the duration between inspections to as much as 10 years.

TAM Information Management Systems

This section summarizes the key asset and project-related information systems used and the data held within them. This summary includes a description of how each type of data are collected, analyzed, managed, housed, and used within the CTDOT. Figure 3-3 shows the assets in the Connecticut TAMP and the systems used to manage those assets. The data within these systems are also used to generate annual Federal submittals for NBI and HPMS. Additional applications, such as ESRI Collector, are being used for other assets that may be included in future TAMPs.

	Bridges	Pavement	Traffic Signals	Signs	Sign Supports	Pavement Markings	Highway Buildings
InspectTech	•		-		•		•
dTims	•	•			-		
EXOR	-	-	-	•	-	-	
Traffic Signals Database			•				
Transportation Enterprise Database (TED)	•	-	•	•	-	-	-
CT ATLAS	•		•			-	-
ProjectWise (PW)	•	-	•		•		•
Composite Project Database (CPD)	•	-	•	-	-	-	-
DigitalHIWAY	•	•	•	•	•	•	
Maintenance Management System (MMS)	-	-	-	•	-	-	

- Considered for future deployment.

Figure 3-3. TAM Information Management Systems

InspectTech

TAMP Assets: Bridges, Sign Supports, Highway Buildings

Description:

CTDOT uses a customized version of InspectTech for its SMS to store and report information on CTDOTs highway bridges, sign supports, and highway buildings. The system was implemented in 2015 and consolidates a variety of structure information that was previously stored in multiple repositories. The system includes a link to ProjectWise, which is used as the repository for inspection reports.

Contents:

InspectTech includes inventory data and inspection results, with a separate directory for highway bridges, sign supports, and highway buildings and in addition to the assets in the TAMP also includes town bridges (less than 20 feet), railroad bridges, and mast arms. For highway bridges over 20 feet in length, the system stores the federally required NBI and bridge element items.

InspectTech also includes a maintenance module that is being implemented to store inspector work recommendations and structure maintenance history.

InspectTech is also being integrated with project tracking data to identify federal work types and CTDOT work codes for each asset within a project.

Bridge

Bridge inventory and condition data is collected and stored in InspectTech using the following custom inspection forms:

- Structure Inventory and Appraisal (BRI-19)
    - Identification
    - Age and Service
    - Load Rating and Posting
    - Structure Type and Materials
    - Geometric Data
    - Waterway
    - Proposed Improvements
    - Conditions and Appraisals
    - Other Features
    - Classification
    - Posted Signs and Utilities
- Inventory Route Under Bridge (BRI-25)
- Fracture Critical Data Field Inspection
    - Deck
    - Approach Condition
    - Superstructure
    - Substructure
    - Channel and Channel Protection
    - Culverts and Retaining Walls
    - Load Posting
    - Notes/Comments
- National Bridge Element (NBE)
    - Elements
- Underwater (BRI-58)
    - Underwater Report (BRI 58/59)
- Special Bridge Inspection (BRI-20)
- Fracture Critical Data Fracture Critical Data (BRI-12)
    - Fracture Critical Data Sheet
- Parapet Joint Inspection (BRI-17)
    - Joint Measurements
- Construction Punch List (BRI-9)
    - Bridge Construction Punch List
- Plan of Action (POA)
    - Scour Critical Plan of Action

Sign Supports

Sign supports inventory and condition data is collected and stored in InspectTech using the following custom inspection forms:

- Signs and Illumination
- Structure
- Foundation
- Traffic Safety Features
- Overall Condition
- Notes

Highway Buildings

Highway buildings inventory and condition data was collected for the first time during a 2017/2018 inspection program. This was the first time all CTDOT highway buildings were able to be rated and ranked in a transparent manner. Inventory and condition data was collected and stored in InspectTech using 8 customized building inspection forms:

- General Information
- Employee Health & Wellness
- Site
- Architectural & Structural
- Mechanical
- Plumbing
- Specialty Systems
- Electrical

Individual component ratings are weighted and averaged per form, values from each form are averaged together for an overall building score.

Functions/Uses:

InspectTech is the authoritative database for bridges, sign supports and highway buildings inventory and inspection data. It is used to:

- Produce individual asset inspection reports detailing inventory and condition data, inspection schedule assignments and due dates, and other information
- Produce bridge NBI and element level reports for FHWA
- Monitor asset performance
    - For bridges, InspectTech includes a dashboard view depicting bridge condition performance data (e.g. Percent Poor Bridges on the NHS), bridge status, bridges posted for load restrictions, and structural deficiency.
- Assign and track work recommendations

Data Sources:

The primary data source for InspectTech is inspections along with updates based on maintenance work performed for bridges.

Issues/Improvement Needs:

- The maintenance module of InspectTech has not yet been fully implemented for assets beyond bridges
- InspectTech is not currently intended to be used as CTDOT's network analysis system, therefore improved data transfer with bridge analysis systems is needed.
- Reliability of the InspectTech system

dTIMS

TAMP Assets: Bridges and Pavements

Description:

CTDOT uses a customized version of dTIMS to analyze and project condition of CTDOTs bridges and pavements. For bridges, the system was implemented in phases beginning in 2013 and is used solely for analysis. For pavements, the system has been used since 1998 and provides capabilities for storing, reporting, and viewing pavement inventory and condition information. For both bridges and pavements, dTIMS is capable of analyzing alternative investment scenarios and planning a program of projects.

Contents:

Bridge

The bridge portion of the application includes:

- Current NBI and element level condition data imported from InspectTech
- Treatment rules (a.k.a. decision trees) that specify what types of treatments are recommended for bridges based on their condition indices, and the condition improvements expected for each treatment type.
- Unit costs that are used to calculate costs for each of the bridge treatment types.
- Deterioration/performance curves for various bridge types are used to predict changes in bridge condition over time.
- Information on planned projects extracted from the Capital Plan.
- Budget scenarios which are used to constrain treatment selections.

Pavements

The pavement portion of the application includes:

- Pavement Inventory Data: width, number of lanes
- Road Inventory Data: Functional class, NHS designation, Overlaps (parent routes carried), Divided/Undivided Status, Administrative District, Annual Average Daily Traffic (AADT), and percent heavy trucks assigned based on functional class
- Pavement Construction History and Composition: year of original construction, pavement type and thickness, year of last resurfacing (initial data from Roadway Inventory System (RIS), updated based on completed paving work)
- Soil assessment by town
- Detailed (0.1 mile) pavement condition data: cracking (length and orientation by road zone; cross-slope, grade, roughness (IRI), rutting. Faulting is collected for the five concrete sections on the network
- Summarized pavement condition data by analysis unit – including:
    - PCI: 1-9 scale, based on IRI, rutting, cracking, disintegration, and drainage
        - 8.0-9.0 Excellent
        - 6.0-<8.0 Good
        - 4.0-<6.0 Fair
        - <4.0 Poor
    - Structural Index, Environmental Index, IRI
- Pavement Activity Data-
    - Maintenance Vendor-in-Place (VIP) Projects (Initial, monthly, and final reports– includes milling and filling depth), VIP Projects are verified using DigitalHIWAY
    - Construction Projects with greater than 300 tons of Hot Mix Asphalt (HMA) – based on SiteManager queries for HMA pay items using locations based on stationing from project plans in ProjectWise
- Rules (a.k.a. decision trees) that specify what types of treatments are recommended for pavement sections based on their condition indices
- Unit costs ($/square yard) that are used to calculate costs for each of the of pavement treatment types for unconstrained needs or scenario analysis including direct pavement costs and markup for engineering and contract administration. Deterioration/performance models used to predict changes in pavement condition over time for each pavement family. Over 100 pavement families are defined in dTIMS

according to climatic zone, pavement type, pavement thickness, traffic volume and soil condition.

- Planned or programmed pavement projects – used within scenario analysis to ensure scheduling of pipeline projects; also used to support development of resource-constrained work programs

Functions/Uses:

Bridge

For bridges, dTIMS is used to:

- Conduct strategic analysis that estimates future network bridge condition under various investment scenarios. This analysis includes a life cycle cost optimization function that selects a set of bridge treatments to maximize benefits for a given budget – where benefits are based on condition improvement relative to doing nothing
- Produce recommended bridge treatments

Pavement

For pavements, dTIMS is used to

- Store, summarize and report pavement condition data
- Conduct strategic analysis that estimates future network pavement condition (average PCI and percent of mileage in poor condition) under various investment scenarios. This analysis includes an optimization function that selects a set of pavement treatments to maximize benefits for a given budget – where benefits are based on condition improvement relative to doing nothing (based on the area under the deterioration curve), weighted by traffic volume estimates
- Produce recommended pavement treatments and inform pavement project scoping and development
- Produce projected pavement condition by tenth of a mile for federal reporting with recent software enhancements. This was performed manually for the 2018 TAMP.

Data Sources:

Bridge

InspectTech is the authoritative database for bridge condition data for dTIMS. Planned project data will be extracted from the Composite Project Database (CPD) in the near future, currently it is within a spreadsheet maintained by the Bridge Management Group.

Pavement

Primary data sources for the PMS include basic road inventory data from the Road Inventory System, pavement condition data collected each year from the photolog vans, and pavement treatment history information. In addition,

dTIMS includes soil classification information by town (poor or good) provided by the CTDOT Soils and Foundation Unit in 2007.

Issues/Improvement Needs:

Bridge

Deterioration Models: Continued efforts are needed in validating and updating the bridge deterioration models to include repairs and maintenance items.

Component Ages: The age of most bridge components is not tracked in InspectTech. Deterioration modeling needs the age of a component to forecast future condition, but without tracking actual ages, the age of most components must be estimated from the year constructed, year reconstructed, or the year that an improvement was noted in that component's condition rating. These estimates may not be accurate and may cause condition forecasts to vary by a wide margin.

Tracking Work: Most maintenance-initiated work performed on a structure, except for major reconstruction, is not tracked in a central database, making it impossible to determine the effectiveness or existence of maintenance and minor rehabilitation work.

Committed Projects: An automated method to import lists of committed bridge projects is needed. The current method of using a spreadsheet involves extensive manual data entry and reformatting.

Budgeting: Most bridge projects involve expenditures over several years. However, dTIMS is not able to handle projects which involve costs distributed over several years, with all the benefits realized in the final project year. Multi-year projects involve extensive manual adjustments of available budgets, and each schedule modification in the capital plan requires considerable manual effort.

Scenario Runs: CTDOT has capped analysis runs at 30 years for bridges due to limited server space. Additional server space is needed to run scenarios that align with an asset's life cycle.

Pavement

Pavement Sections: Work is required to eliminate short sections that have resulted from splitting existing sections based on maintenance project limits.

Inventory Data: Divided/undivided status in the PMS is tailored for analysis units but does not exactly match the LRS. An automated process to keep the pavement network in sync with the agency LRS has not yet been developed.

Condition Data: CTDOT collects information in both directions for all roads, but on divided roads CTDOT can only process the data in one direction in dTIMS. With the transition to 3D imaging in 2015, there is a need to ensure

consistency and continuity with prior years' condition given that the new images may reveal more deficiencies than were previously discernable.

Pavement Structure and History Data: Improvements/validation needed for information on pavement type, thickness and year of last resurfacing.

Pavement Activity: There are challenges establishing locations on the LRS for construction projects from stationing information in plans. Information on pavement work associated with smaller construction projects, and with developer (encroachment permits) and other (e.g. emergency) projects is not readily available.

Traffic Data: Current system has AADT based on functional class. Improved traffic data (potentially to include truck traffic) to be added in the future once the new Traffic Monitoring System is complete and an interface can be developed. Also, volumes, truck classifications, and loadings should be included.

Scenario Runs: CTDOT has not been able to run scenario analysis longer than 10 years for pavements due to CTDOT server space. Additional server space is needed to complete scenario runs that align closer to the asset's life cycle.

Exor

TAMP Assets: Signs

Description:

CTDOT uses Bentley's Exor, a software package for road network management that uses Oracle, for its LRS. Exor is used to maintain both spatial and attribute data for the road network, which has been expanded to cover both State and local roads. Exor includes reporting capabilities that enable aggregation of information about features stored using different sets of linear segments.

The RIS, which was originally developed as an in-house mainframe application, and was converted into an in-house Oracle-based system in 2004 is in the process of being phased out and eventually these data sets will be managed in Exor. RIS includes the official state highway mileage log, and stores data on road inventory features required for the HPMS submittal and a variety of other internal purposes.

Contents:

Exor stores information for multiple roadway features including:

- Descriptive information about route legal limits and intersections
- Basic road characteristics: facility type, number of lanes, surface width, median type
- Basic administrative characteristics: ownership, maintenance responsibility HPMS sections, functional classification, NHS status

- Other HPMS data items – for roadway full extent and sample sections
- AADT by sections (to be added soon)
- The Sign portion of the application contains data for Sign Panels and Sign Assemblies
    - Sign Assemblies contain the Sign data for sign location information, which includes the following fields:
        - Mounting Type and Number of Posts
        - Status
        - Sign Position
        - Latitude and Longitude
        - Route and Direction
    - Sign Panels contain the Sign data that make up the signs installed on the Sign Assemblies. Sign Panels include the following fields:
        - Sign Catalog Number
        - MUTCD Sign Number
        - Height and Width
        - Background and Legend Color
        - Sign Panel Thickness, Material, and Sheeting Type
        - Status
        - Sign Legend
        - Panel Direction
        - Fabricator and Fabrication Date
        - Manufacturer
        - Installation Date
- Bridge locations

Functions/Uses:

Exor enables storage and management of geospatial representations of the road network, the routes, measures and reference points that make up the LRS, and characteristics of roadways required for a wide variety of purposes including HPMS reporting, safety planning and project scoping.

EXOR also has the ability to manage assets on individual layers. This allows assets, such as Signs, to continuously reference the latest road network from the authoritative source.

An authoritative Sign layer is used to manage the sign inventory. This layer is made up of two sub-layers. The first sub-layer is for Sign Assembly, the parent sub-layer of the sign asset. The Sign Assembly sub-layer contains information related to the geospatial location of all signs as well as the type of support system the signs are installed on. The second sub-layer is for Sign Panel, the child sub-layer of the asset. Each Sign Panel is associated to a Sign Assembly

location, which creates a parent/child relationship between the two sub-layers. Each Sign Assembly contains one or more Sign Panels. The Sign Panel sub-layer contains specific information relating to the signs such as the sign legend, colors, and size.

Data Sources:

Updates to spatial and LRS information are made based on completed construction projects. Annual field data collection of data using the photolog vehicles provide a source of information for updates to roadway characteristics.

Sign information is updated by project work or service memos either manually or by a formatted spreadsheet uploader. These data are maintained by the Division of Traffic Engineering.

Issues/Improvement Needs:

- The transition of RIS data needs to be completed
- The MAVRIC field collection tool needs to be fully implemented
- Pavement characteristic fields not being carried over to EXOR need to be integrated and maintained in another database

Traffic Signals Database

TAMP Assets: Traffic Signals

Description:

The traffic signal database is a custom CTDOT application originally created to track power consumption of signals for Power Letters, letters sent to utility companies to serve as the basis for billing for power. This application is required because power for the majority of state-maintained signals is unmetered. Over time the database has been expanded to store additional information.

Contents:

The database contains inventory and power consumption information for over 2700 state-maintained traffic signals. Each signal is identified by a six-digit number in which the first three digits represent the town number (e.g., “017-201”). The database includes a record for the initial signal installation as well as a record for each change that has impacted power consumption. The database includes, but is not limited to, the following types of information:

- Location
- Traffic Signal type/description (traffic control signal, flashing beacon, etc.)

- Status (pending, active, removed)
- Maintenance responsibility
- State Maintenance Level (priority for response to service issue)
- Ownership
- Energy "paid by" (i.e. who pays the bill)
- Traffic Investigation Report (TIR)/Office of the State Traffic Administration report that ties the signal back to the original warrant approval
- Project number/Service Memo number generating the revision
- Traffic Signal Coordination type (time based, closed loop, etc.)
- Pedestrian control information
- Pre-emption (system type, method)
- Mast arm/span pole – quantity, install years
- Vehicle detection information
- Lamp type, wattages, and other information needed to calculate estimated power consumption

Functions/Uses:

The primary function of the database is to generate power letters for the utility companies. The database is available for use by signal maintenance technicians in the Office of Maintenance and Highway Operations to provide reference information needed for effective response to service calls. It is also used to scope traffic signal improvement projects and plan replacement schedules, primarily based on age of span poles and mast arms.

The database includes a reports menu that allows users to make limited queries of traffic signal information within a given town and/or route.

Data Sources:

Data are maintained by staff within the Electrical Section of the Division of Traffic Engineering. When new signals are designed, information is manually entered from the signal plans to create a new "pending" record. A semi-final inspection by Traffic Engineering of the constructed signal provides additional information to complete the record. As changes to the signal are made that impact its power consumption, the original record is set to "Removed" status and a new record is created using information from the revision.

Issues/Improvement Needs:

The database is adequately serving its initial purpose of tracking power consumption to generate Power Letters, however now that the database serves a greater function for asset management, additional details will need to be collected and added. This may necessitate the need to eventually convert to a different database that will allow for easier updating and provide better functionality for the management of the assets. Additional detail is needed for

certain traffic signal components so that tracking and managing life cycle replacement of signal components can occur, resulting in the timely replacement of major signal components.

The database also includes some information on Intelligent Transportation System (ITS) assets that consume power such as cameras and variable message signs. However, it is not currently the definitive system of record for these assets. Separate databases and different asset identifications are maintained by the Office of Maintenance and Highway Operations for these assets.

Transportation Enterprise Database

TAMP Assets: Bridges, Traffic Signals, Signs

Description:

The Transportation Enterprise Database (TED) is a SQL Server data warehouse that contains geospatial information. TED is currently under development. The vision for TED is to: "create an accessible transportation safety and asset data enterprise system where authoritative data sets are managed by data stewards and formatted for consumption and analysis in a manner that allows stakeholders to use tools that are both effective and meet their business needs."

A TED Development Group was formed and meets three times a month to provide oversight and governance for improvements to TED and related data gathering efforts. An initial priority focus of this group has been to support safety data and analysis capabilities. However, asset management needs are being considered as well. Specific responsibilities include:

- coordinate data management activities,
- oversee the development of a data business plan,
- monitor implementation tasks within the data business plan
- serve as a forum to review data issues,
- advise on data-related software procurement,
- develop an FHWA-compliant data capture plan for the Model Inventory of Roadway Elements (MIRE), and
- report and make recommendations to the CTDOT Data Governance Council.

Within the TED Development Group, work groups were established to provide a focus on different aspects of data and analysis improvements.

Contents:

TED contains the following data:

- Road Network and linear attribution

- Road inventory attributes including NHS, Functional class
- Projects, bridges, and signal control areas
- Crash
- Rights of Way, Monuments, and Geodetic Surveys
- Static reference data (districts, MPOs, towns, urbanized areas, etc.)
- Metadata

Functions/Uses:

TED is a high level linked roadway, asset, and safety data base with dashboard, reporting, and mapping capabilities that can serve the viewing, query and analytical needs of data stewards and external customers in a user-friendly manner. TED will offer the most current views and queries of resident data sets while also enabling in depth analysis of selected data attribute relationships for any defined period of time.

The geospatial information in TED can be consumed by any mapping or reporting tool that can connect to a SQL Server database, such as ESRI, QGIS, or Assetwise Publisher. Ad-hoc queries can be run against the database using query tools like SQL Server Management Studio or Bentley's Transportation Information Gateway (TIG) tool.

Data Sources:

TED data sources include:

- Exor
- ATLAS
- CPD
- InspectTech
- CAS2 – new Collision Analysis System deployed in 2015
- ESRI
- Town boundaries, legislative districts etc.
- Metadata

The authoritative data is updated nightly from the various data sources.

Issues/Improvement Needs:

- Continued alignment between TED and asset management business requirements.

ATLAS

TAMP Assets: Bridges, Traffic Signals

Description:

Asset Tracking & Location System (ATLAS) is a custom Geographic Information System (GIS) application intended to serve as the agency's GIS data integration and display platform. It is being developed incrementally using the open source MapServer/GeoMoose framework.

Contents:

ATLAS incorporates the agency's authoritative spatial data foundation including base maps, LRS, and other authoritative GIS data layers – including layers for capital projects, proposed and completed VIP paving projects, bridges, signals, traffic monitoring locations. It provides standard web feature services and web mapping services for exchanging data to use in other applications.

Functions/Uses:

ATLAS is being used at CTDOT to integrate spatial data for assets and projects. For example, a user can click on a section of roadway and view available AADT, project and asset data for that location. Users can also link to available documents pertaining to the selected projects and assets.

ATLAS is also being used to manage spatial data records for capital projects, proposed capital projects and major assets such as bridges, traffic signals and in the near future buildings and sign supports. For example, users can locate and associate polygons for bridge deck and traffic signal control areas with their respective data from their authoritative systems. Users can also draw a polygon representing a new proposed or recommended project area and complete a form with information needed to create a Proposed Project Information (PPI) record for this new project. Underlying authoritative route, milepoints, geometry, classifications and characteristics along with any underlying major asset data are automatically identified within the limits of the polygon. Additional functionality to track programmed work against the assets for each project is under development.

ATLAS is available only within the CTDOT firewall. In order to provide access to CTDOT's asset and project information to partners, ATLAS publishes data to ALIM, a web-based GIS publishing tool.

The current ATLAS framework provides the following functions:

- Access to maps from: ArcGIS, MapServer, Google, VirtualEarth
- Publishing of spatial data layers
- Configuration of multiple views of data sources

- Obtaining and filtering of data from data catalogs
- Multiple data navigation and exploration tools
- Integration with non-spatial systems

Data Sources:

Base map information and spatial data layers published to ATLAS are maintained using the open source GeoMoose tool.

Issues/Improvement Needs:

ATLAS is a useful tool for geospatial location and LRS ties for capital projects, proposed capital projects and bridges, traffic signal control areas.

Discussions of an update of the ATLAS system and internal changes to the GIS environment are underway with the intent to enhance current capabilities and add more enterprise solutions.

Progress has been made utilizing ATLAS as part of a standard workflow process for adding new assets to the inventory:

- The designer uses computer-aided design (CAD) to locate a new asset with a spatially correct polygon and exports to keyhole markup language (KML)
- The designer submits KML to the asset steward in exchange for a new asset ID
- The asset steward obtains a new asset ID in the asset's authoritative inventory and imports the KML with a new ID into ATLAS
- ATLAS business attributes are updated nightly from the authoritative sources

ProjectWise

TAMP Assets: Bridges, Traffic Signals, Sign Supports, Highway Buildings

Description:

ProjectWise is a cloud-based engineering project collaboration and content management platform. CTDOT implemented ProjectWise in 2010.

Contents:

At CTDOT, ProjectWise is the source system of record for design plans, specifications and construction project as-built plans. CTDOT also uses ProjectWise as a document management system, storing a variety of project and non-project-related asset content. CTDOT has begun to use ProjectWise to tag specific assets associated with active projects – currently bridges and traffic signals are tagged. This allows for documents associated with these assets (e.g. computations, shop drawings and reports) to be managed within ProjectWise. Select asset attributes are also pulled into ProjectWise from the

source asset management systems to provide visibility of asset information for users.

Functions/Uses:

ProjectWise stores and provides access to project and non-project-related content. It includes indexing, search, and versioning capabilities.

Data Sources:

ProjectWise is populated by a variety of internal and external CTDOT users. The system is currently managed by the CTDOT Architecture, Engineering and Construction Applications Unit within the Bureau of Engineering and Construction.

Issues/Improvement Needs:

Continued configuration and process improvements to facilitate additional asset integration with project data.

Composite Project Database

TAMP Assets: Bridges, Traffic Signals

Description:

The Composite Project Database (CPD) is a custom SQL database application that was created in 2015 to integrate data on capital projects from several different sources.

Contents:

Currently the CPD contains data for over 2,700 CTDOT projects, sourced from CTDOT's Capital Program Obligation Plan (OBL, Microsoft Access database), the State's financial management system (CORE-CT), CTDOT's construction project management system (SiteManager), and the Project Asset Form (in the CPD). CPD data are then joined with geo-located project work areas within ATLAS. Data in the CPD includes:

- Project description, schedule and budget information
- Payment and expenditure information
- Asset identification and limited work information
- Design and construction team information
- Current Project Phase (Final Design, Construction, etc…)

Functions/Uses:

CPD's purpose is to aggregate project information from several different sources into one convenient location for viewing. The CPD is located on a SQL server for internal agency use only.

Data Sources:

As previously listed, the CPD pulls in data from the OBL, CORE-CT, and SiteManager. Some information, such as asset and design team, are entered directly into a CPD form.

Issues/Improvement Needs:

Further development and build-out of the CPD to include additional asset classes and associated work to provide more thorough asset life cycle information for asset management purposes.

DigitalHIWAY

TAMP Assets: Bridges, Pavement, Traffic Signals, Signs, Sign Supports, Pavement Markings

Description:

The CTDOT DigitalHIWAY is a custom photolog application that is uploaded with images and data of the State highway system on an annual basis. CTDOT's photolog program was initiated in 1973, and DigitalHIWAY images are currently available for each year back to 1985.

Contents:

DigitalHIWAY includes:

- Forward-view Right-of-Way (ROW) images
- The corresponding set of pavement conditions, Global Positioning System (GPS), and geometric data

Engineering data include:

- Downward-facing high resolution pavement images
- Rut-depth measurements
- IRI
- GPS coordinates
- Horizontal and vertical geometry
- Pavement cross slope
- Pavement grade

Functions/Uses:

Images are used for pavement analysis, safety analysis, project scoping, derivation of HPMS sample section data values, asset inventory data updates, fulfillment of special requests, and for a variety of reference purposes. Imagery is made available to FHWA, the University of Connecticut, the Connecticut State Library, and the State Police.

Data Sources:

CTDOT uses state-of-the-art ARANs to collect high resolution images and roadway condition, geometric and position data every 16.4 feet (5-meters) for the entire state-maintained roadway network and local-maintained NHS. Roadway images are taken at equal intervals to provide the appearance of continuous video. The ramp system is also captured periodically.

Issues/Improvement Needs:

The DigitalHIWAY is being continually enhanced based on user feedback. Future improvements under consideration include integration of point cloud data from LiDAR to enable increased use of information for engineering applications.

Maintenance Management System

Description:

The Maintenance Management System (MMS) is a custom CTDOT application used to track and manage maintenance activities and tasks performed by state forces.

Contents:

MMS includes several modules for tracking work accomplishments (quantities of work completed by activity code), tracking and reporting maintenance costs (labor, equipment and materials), tracking delivery and use of winter maintenance materials (sodium and magnesium chlorides), tracking temperature, road conditions, and snow accumulation during winter snow and ice events, ordering signs from the CTDOT Sign Shop, traffic service memos and encroachment permits. Specific data includes:

- Maintenance accomplishments by activity. Work locations are recorded on trip tickets and supervisor rundown sheets but are not entered into the MMS
- Labor hours by maintenance activity by crew – regular and overtime; crew size
- Sodium and magnesium chloride amounts delivered and used by each maintenance facility
- Costs by activity, type (labor, equipment, materials) and Interstate/non-Interstate. Maintenance activity codes indicate Interstate/Non-Interstate as well as type of crew
- For storm events, temperature and precipitation type, road conditions and total amounts are collected at specific garages at given intervals throughout the event

Note: CTDOT fleet assets are managed in a separate system.

Functions/Uses:

The MMS is used to track and report on maintenance accomplishments and associated costs at each of the state's 48 maintenance garages (there are 2 maintenance sections in each of the 4 CTDOT maintenance districts, and 6 garages per section), 4 electrical and 4 signs & markings district specialty garages,6 bridge maintenance garages and 1 sign shop. This information is used for budgeting. Work is not currently planned within the MMS – crews get their daily assignments on paper trip tickets.

Material usage for snow and ice control is tracked through internal reporting. This information is used for materials inventory purposes as well as application rate validation.

The MMS also includes a module used by Traffic Engineering and District Maintenance to order signs from the Sign Shop. The sign order information is used to update the sign inventory.

Data Sources:

Maintenance accomplishments and time are logged on paper forms by crew members, provided to maintenance garage supervisors, and then entered into the MMS by clerks at the garages. During the winter, clerks track sodium and magnesium chloride inventory as well as patching materials and other associated tasks.

Issues/Improvement Needs:

Currently the MMS does not identify work done to a specific asset with the exception of the recently added Sign asset. In order to facilitate the use of the MMS for other asset management purposes, asset identification needs must be included in the tracking of work accomplished and the associated costs determined.

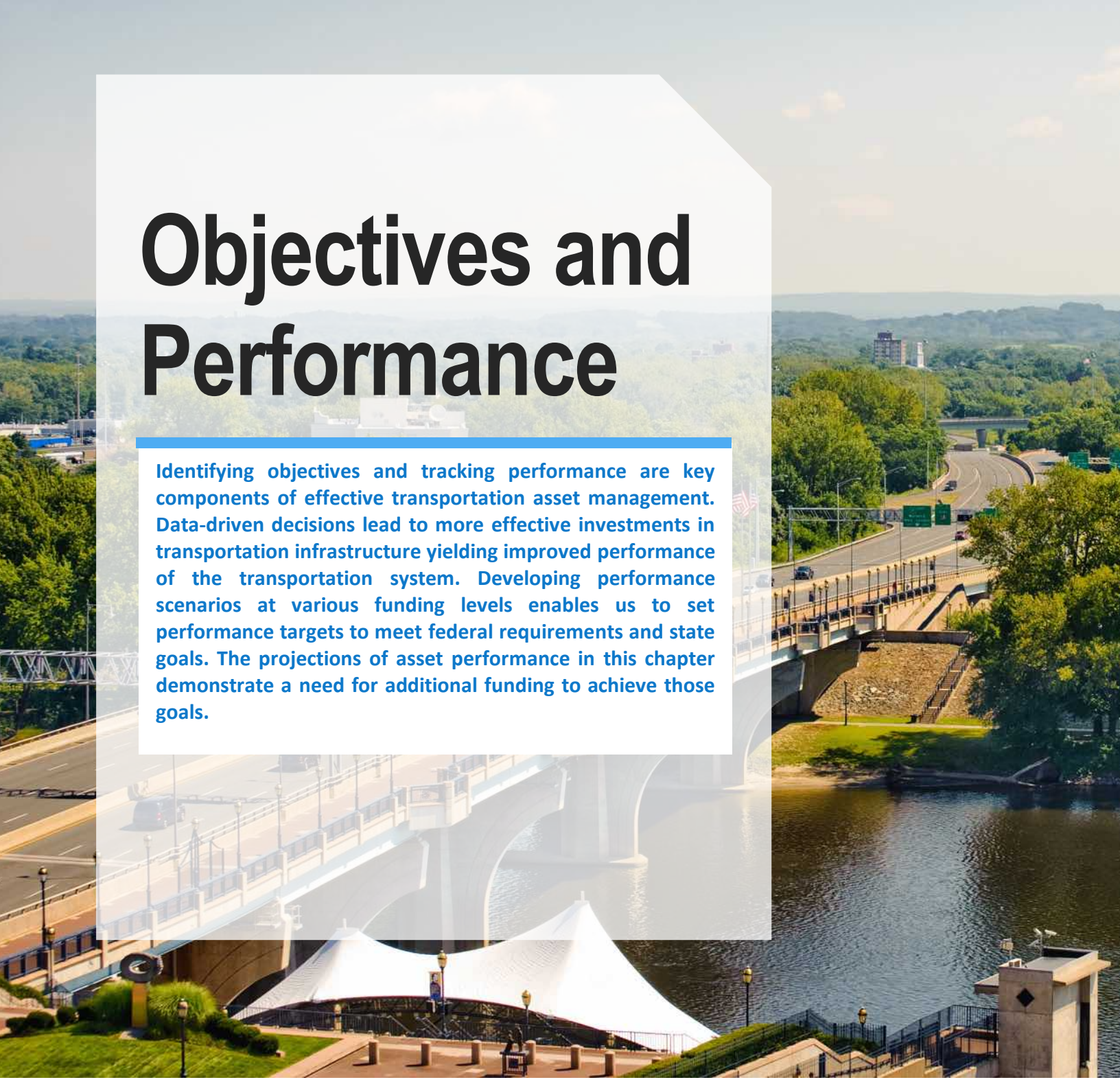
Initial requirements for a new Computerized Maintenance Management System (CMMS) were scoped to advertise a Request for Information (RFI) in 2018. Vendors presented their CMMS solutions. The next step planned is to pursue funding and a Request for Proposal (RFP). The new system will address asset tracking and condition as well as work tracking with associated costs using electronic field data collection capabilities.

Data Governance

CTDOT formed a Data Governance Council in July 2017 to build a framework of rules, policies, and procedures regarding data availability, usability, data quality and security. The Council includes representation from all 5 CTDOT Bureaus. The Data Governance Council is responsible to:

- Prioritize safety and asset data governance solutions to provide the foundational tools necessary to expand enterprise data participation across all disciplines within the agency
- Identify data being collected and maintained agency wide.
- Document data standards and coordinate development of new standards.
- Develop guidance for data dictionaries, user manuals, and training programs.
- Establish quality assurance /quality control (QA/QC) processes.
- Facilitate the integration and interoperability of information between authoritative roadway inventory databases and CTDOT's enterprise wide data system.
- Identify and inform the Executive Committee of emerging data priorities
- Report to the Executive Committee as needed to make recommendations regarding data governance challenges or technology opportunities.

The Data Governance Council, in conjunction with the TED Development Group, have prioritized data to be loaded into TED and drafted data management guidance regarding: 1) definition of data assets, 2) the assignment of asset data owners and asset data stewards as well as their roles and responsibilities, 3) metadata requirements, and 4) a process for establishing TED asset data readiness.



Objectives and Performance

Identifying objectives and tracking performance are key components of effective transportation asset management. Data-driven decisions lead to more effective investments in transportation infrastructure yielding improved performance of the transportation system. Developing performance scenarios at various funding levels enables us to set performance targets to meet federal requirements and state goals. The projections of asset performance in this chapter demonstrate a need for additional funding to achieve those goals.

CHAPTER 4

Connecticut Department of Transportation
TRANSPORTATION ASSET MANAGEMENT PLAN

Overview

Establishing targets, articulating strategies, linking agency processes to asset management and other performance strategies are all integral parts of the TAMP. The performance measures and targets included in this chapter are used to track progress towards goals.

CTDOT is quantifying inventory, measuring condition and setting performance targets for its transportation assets. The targets that have been set are aligned with federal requirements and state goals and objectives, and are based on the projected funds available for transportation. The targets will help guide CTDOT in allocating resources to projects and programs in order to ensure progress is made towards meeting set goals.

This chapter presents CTDOT's goals and objectives, TAM performance targets, performance projections over a 10-year period, and a gap assessment comparing current performance, targets, and projected future performance.

Federal Legislative Context

The FHWA requires states to include measures and targets for asset condition for NHS bridges and pavements in their TAMP as defined in 23 CFR 490.313. States may choose to include additional assets with their accompanying measures and targets.

Using the measures of condition defined by FHWA, State DOTs must specify their desired "state of good repair" for the 10-year analysis period of the TAMP consistent with state asset management objectives. The desired SOGR must also support progress in the national goal areas of safety, infrastructure condition, congestion reduction, system reliability, freight movement and economic vitality, environmental sustainability, and reduced project delivery delays.

As part of the FHWA rule on performance management, 23 CFR Part 490, states must set two and four-year asset condition performance targets. These targets are included in the TAMP and were reported as required to FHWA in October 2018. These targets will continue to be reported to FHWA every two years. As part of the performance management rule, states are also required to maintain NHS bridges and interstate pavements to meet federally-established minimum condition levels. For assets not meeting federal minimum condition levels, penalties will be applied that require the obligation of funding to those NHS assets.

Federal Minimum Condition Levels

- **Bridges**: **$Poor_{NHS}$ < 10%**
  States must maintain bridges on the NHS (greater than 20-ft in length) so that the percentage of deck area of bridges classified as poor does not exceed 10 percent of the overall deck area in a state. If FHWA determines a state DOT to be out of compliance, the state must obligate and set aside funding for eligible projects on bridges on the NHS. This funding requirement will remain in effect each year until the state is in compliance.

- **Pavements**: **$Poor_{Interstate}$ < 5%**
  States must ensure that no more than 5 percent of pavement lane miles on the Interstate system are in poor condition.
  If FHWA determines a state DOT to be out of compliance, the state must obligate funding to the National Highway Performance Program (NHPP) and transfer funds from the Surface Transportation Block Grant Program to the NHPP.

The FHWA also requires that states establish a performance gap analysis process for TAMPs. Specific requirements for the process are listed below.

Performance Gap Analysis Process Requirements

- Establish desired SOGR based on Federal requirements and State goals
- Establish state targets for asset condition
- Determine performance gaps
- Develop strategies to close or address the gaps

As part of the gap analysis, states must compare current asset performance to desired performance levels, but they may also compare desired asset performance to target performance to calculate an expected gap.

Poor vs. Structurally Deficient

As of 2018, FHWA defines structurally deficient and poor condition to be the same – a bridge that is in poor condition is also considered structurally deficient

Goals and Objectives

Vision and Mission

Connecticut strives to achieve a nationally competitive transportation system that is multi-modal, resilient, and long-lasting; addresses capacity issues; and helps the economy.

CTDOT Vision & Mission

CTDOT's vision is to lead, inspire, and motivate a progressive, responsive team, striving to exceed customer expectations.

CTDOT's mission is to provide a safe and efficient intermodal transportation network that improves the quality of life and promotes economic vitality for the State and the region.

Summary of TAM Objectives

CTDOT has adopted a set of TAM objectives that are aligned with the vision and mission of the agency. These objectives are helping to steer CTDOT as it develops, refines, and implements TAM policies, processes, and practices.

TAM Objectives

- Attain the best asset conditions achievable, given available resources
- Deliver an efficient and effective program that preserves our existing infrastructure
- Improve communication and transparency regarding decisions and outcomes
- Achieve and maintain compliance with FHWA asset management rules

Performance measures, projections, and targets are being developed to help achieve CTDOT TAM objectives. These are being linked so that CTDOT can operate more effectively and make progress towards federal requirements and state goals.

CTDOT Values

- Measurable results
- Customer service
- Quality of life
- Accountability & integrity
- Excellence

Asset Performance Measures

CTDOT has selected performance measures for this plan based on a combination of federal requirements and a desire to set performance goals for state-maintained traffic signals, signs, sign supports, pavement markings and highway buildings. These measures are helping CTDOT actively manage the performance of each asset by understanding the impact of investments on the asset's state of good repair. This allows for the establishment of funding priorities and targets that are achievable. A summary of the federal performance measures for bridges and pavements on the NHS is provided in Table 4-1.

Table 4-1. Summary of Federal Performance Measures for NHS Bridges and Pavements

Asset	Performance Measure	Measure Definition
Bridges	• Percentage of NHS bridges classified as in good condition (weighted by deck area) • Percentage of NHS bridges classified as in poor condition (weighted by deck area)	• Good and poor are defined by FHWA's rule on Performance Management
Pavements	• Percentage of pavements on the Interstate System in good condition • Percentage of pavements on the Interstate System in poor condition • Percentage of pavements on the NHS (excluding the Interstate System) in good condition • Percentage of pavements on the NHS (excluding the Interstate System) in poor condition	• Good and poor are defined by FHWA's rule on Performance Management

A summary of the State performance measures for the seven state-maintained assets in the TAMP is provided in Table 4-2. The table also shows the criteria for achieving a SOGR.

Table 4-2. Summary of State Performance Measures for CTDOT-Maintained Assets

Asset	Performance Measure	Measure Definition
Bridges	• Percentage of bridges classified as in a SOGR (by number of bridges)	• SOGR is defined by CTDOT as an NBI condition rating of 5 or higher
Pavements	• Percentage of centerline miles in a SOGR	• SOGR is defined by CTDOT as a PCI rating of 6 or higher
Traffic Signals	• Percentage of traffic signals in a SOGR	• SOGR is defined by CTDOT as an age of 25 years or less • Traffic signal condition rating is age-based with the following thresholds: 0-15 years is good, 16 – 25 years is fair, and over 25 years is poor
Signs – Limited Access	• Percentage of signs in a SOGR	• SOGR is defined by CTDOT as an age of 17 years or less • Sign condition rating is age-based with the following thresholds: 0-12 years is good, 13 – 17 years is fair, and over 17 years is poor
Signs – Non-Limited Access	• Percentage of signs in a SOGR	• SOGR is defined by CTDOT as an age of 17 years or less • Sign condition rating is age-based with the following thresholds: 0-12 years is good, 13 – 17 years is fair, and over 17 years is poor
Sign Supports	• Percentage of sign supports in a SOGR	• SOGR is defined by CTDOT as a condition rating of 5 or higher
Pavement Markings – Line Striping	• Percent of pavement markings in a SOGR	• For in-laid epoxy pavement markings, SOGR is defined by CTDOT as markings installed within six years • For epoxy pavement markings, SOGR is defined by CTDOT as markings installed within three years • For water-based pavement markings, SOGR is defined by CTDOT as markings installed within one year
Pavement Markings – Symbols & Legends	• Percent of pavement markings in a SOGR	• For epoxy pavement markings, SOGR is defined by CTDOT as markings installed within three years • For water-based pavement markings, SOGR is defined by CTDOT as markings installed within one year
Highway Buildings	• Percent of highway buildings in a SOGR	• SOGR is defined by CTDOT as a condition rating of 3 or higher on a scale of 1-5

Asset Performance Targets

Asset performance and desired projections specify the conditions CTDOT seeks to achieve and sustain over a 10-year period to meet federal requirements, support state goals, and make progress in national goal areas. Projections presented in this section reflect both desired performance and expected performance at varying funding levels. CTDOT has set targets based on the current funding level. This assumes no increase and when coupled with the age of the infrastructure, the ability to improve the condition of the assets is limited.

NHS Performance Targets

Federal regulation 23 CFR Part 490.107 requires that 2 and 4-year targets be set for bridges and pavements on the NHS. These targets are the expected performance of the assets based on the federally required measures given the funding availability and investment choices made by CTDOT.

CTDOT coordinated with MPOs in May 2018 to set the targets and reported the targets to FHWA as required on October 1, 2018. The 2-year and 4-year performance targets for Connecticut bridges and pavements on the NHS are shown in Table 4-3. Baseline performance and 2-year targets were not required for Interstate pavements for the first reporting period. Also, the current condition values are the baseline condition values from the performance report submitted to FHWA and may differ slightly from current inventory and conditions in the TAMP.

Table 4-3. NHS Asset Performance Targets, extracted from the Transportation Performance Management State Biennial Performance Report for Performance Period 2018-2021 (based on 2017 NBI and HPMS Data)

Asset (unit of measure)	Baseline Condition (2017 data)		2-Year Targets (2020)		4-Year Targets (2022)	
	Good	Poor	Good	Poor	Good	Poor
NHS Bridge (deck area)	15.2%	14.0%	14.6%	9.3%	14.0%	8.0%
Interstate Pavement (lane miles)	n/a	n/a	n/a	n/a	64.4%	2.6%
Non-Interstate NHS Pavement (lane miles)	42.9%	17.0%	36.0%	6.8%	31.9%	7.6%

FHWA Minimum Condition Level for Bridges

States must maintain bridges on the NHS so that the percentage of deck area of bridges classified as Poor does not exceed 10 percent of the overall NHS deck area in a state.

Since the target submittal, CTDOT has realized that the 2-year and 4-year targets listed were intended to be met at the end of the calendar year identified and not necessarily by the October submission date. Going forward CTDOT will make an adjustment by providing the projected information from the previous year for a specific target year.

CTDOT Performance Targets

The anticipated 2 and 4-year performance targets for CTDOT-maintained assets are shown in Table 4-4. Unlike the NHS targets that were set in October 2018 and not able to be adjusted until the mid-performance in 2020, the targets for CTDOT-maintained assets have been revised to reflect the recent projections. The table shows the percentage of the asset quantity expected to be in a SOGR in the target year.

Table 4-4. CTDOT-Maintained Asset Performance Targets

	2-Year Targets Projected Outcome (12/31/2020)	4-Year Targets (12/31/2022)
Asset (unit of measure)	**SOGR**	**SOGR**
Bridges (number of bridges)	96.1%	97.0%
Pavement (centerline miles)	66.4%	58.1%
Traffic Signals (number of signalized intersections)	70.0%	64.6%
Signs – Limited Access (number of sign panels)	42.4%	54.5%
Signs – Non-Limited Access (number of sign panels)	41.1%	43.4%
Sign Supports (number of sign supports)	96.6%	95.2%
Pavement Markings – Lines (linear feet)	34.8%	35.4%
Pavement Markings – Symbols (square feet)	71.7%	64.2%
Highway Buildings – Tier 1 (number of buildings)	84.5%	80.6%
Highway Buildings – Tier 2 (number of buildings)	95.0%	98.0%
Highway Buildings – Tier 3 (number of buildings)	50.5%	46.9%

10-Year Performance Goals

CTDOT has set long-term performance goals for both NHS assets and CTDOT-Maintained assets. In working towards these goals, CTDOT recognizes that the effort to achieve them may surpass 10 years and adjustments to these long-term goals will be needed over time as the asset management process matures and funding strategies change with future needs.

CTDOT's 10-year performance goals, based on national measures, for NHS assets are presented in Table 4-5. The table shows the desired percentage of assets in good and poor condition. The values shown in the table were determined based on review of a set of performance projections performed at varying funding levels. The resulting performance goals were established considering CTDOT's life cycle plans described in Chapter 5, and conditions achievable given a range of various funding levels. The values reflect federal requirements and state goals and, if achieved, will satisfy the minimum NHS condition levels defined by FHWA.

Table 4-5. CTDOT 10-Year Performance Goals, Based on National Measures: NHS Assets

Asset (unit of measure)	Good	Poor
NHS Bridge (deck area)	>20%	<10%
Interstate Pavement (lane miles)	75%	<5%
Non-Interstate NHS Pavement (lane miles)	50%	<8%

CTDOT also has performance projections for state-maintained bridges, pavement, traffic signals, signs, sign supports, pavement markings, and highway buildings. CTDOT's 10-year performance goals for SOGR of state-maintained assets are presented in Table 4-6.

Table 4-6. CTDOT 10-Year Performance Goals, Based on SOGR: State-Maintained Assets

Asset (unit of measure)	SOGR
Bridges (number of bridges)	95%
Pavement (centerline miles)	80%
Traffic Signals (number of signalized intersections)	80%
Signs – Limited Access (number of sign panels)	80%
Signs – Non-Limited Access (number of sign panels)	70%
Sign Supports (number of sign supports)	90%

FHWA Minimum Condition Level for Pavement

States must ensure no more than 5 percent of pavement lane miles on the Interstate System are in Poor condition.

Asset (unit of measure)	SOGR
Pavement Markings – Lines (linear feet)	75%
Pavement Markings – Symbols (square feet)	75%
Highway Buildings – Tier 1 (number of buildings)	80%
Highway Buildings – Tier 2 (number of buildings)	80%
Highway Buildings – Tier 3 (number of buildings)	50%

In addition to these measures of condition, CTDOT tracks and publishes a number of other performance measures on the CTDOT Performance Measures website, through an online dashboard. The dashboard includes 21 performance measures organized into four CTDOT goal areas:

- Safe & Secure Travel
- Preserve & Maintain Network
- Mobility, Connectivity, Accessibility
- Efficiency & Reliability

The performance measure data are updated at regular intervals. The data are presented both as an interactive dashboard and also as a printable report.

Measures are regularly reviewed by CTDOT's Performance Measures Standing Committee to determine their usefulness in helping CTDOT make strategic decisions for managing its infrastructure assets.

The performance measures outlined in this TAMP are not yet included on the CTDOT Performance Measures website but are proposed to be included in the future.

Asset Performance Projections

CTDOT manages its assets throughout their life cycle. Understanding each asset's life cycle and developing projections of future asset performance based on this understanding is key component of managing assets. Chapter 5, Life Cycle Planning, provides more information on CTDOT's life cycle planning and management practices.

Projected conditions for the seven assets in the TAMP are included at multiple funding levels for each asset. The following three funding levels were selected to be projected: No Funding, Current Funding, and Preferred Funding. In the projection Figures 4.1-4.13, red lines are used to indicate the percent of assets in poor condition while green lines are used to indicate the percent of assets in good condition according to federal performance measures; blue lines are

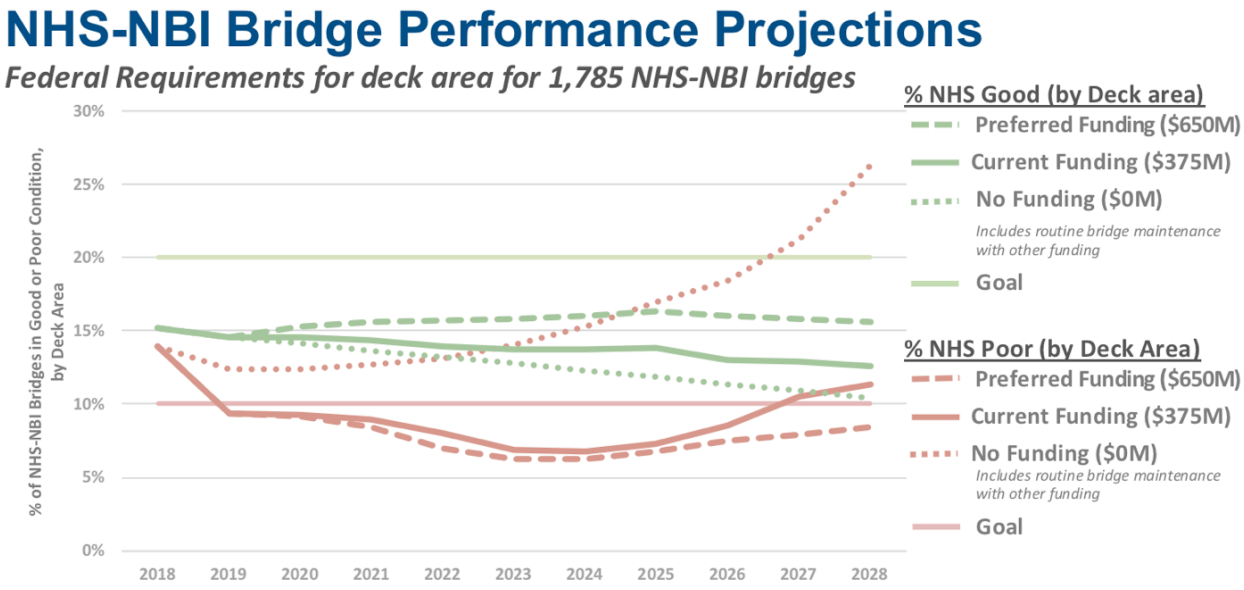
used to indicate the percent of assets in a SOGR as defined by CTDOT performance measures. A 3.5% inflation rate was applied to generate these projections. The complete performance projections are included in Appendix E.

Funding uncertainty is a real concern for every state DOT. The funding levels used for these projections reflect the best available information as of December 2018. CTDOT considers the TAMP to be a living document that will continue to be updated going forward at regular intervals.

Bridge Performance Projections

Projections of bridge performance were developed in dTIMS using a snapshot of condition data from May 2019. The bridge projection analysis is run to optimize a bridge health index. The bridge health index is comprised of condition ratings weighted as follows: 15% deck, 15% superstructure, 15% substructure, 10% structural evaluation, 5% deck geometry, 5% underclearances, 5% waterway adequacy, 4% approach alignment, 2% structure open/posted/closed, 5% paint/coating, 5% bearings, 5% girders, 5% joints and 4% wearing surface. From the results, 10-year performance projections were developed for NHS bridges and state-maintained bridges.

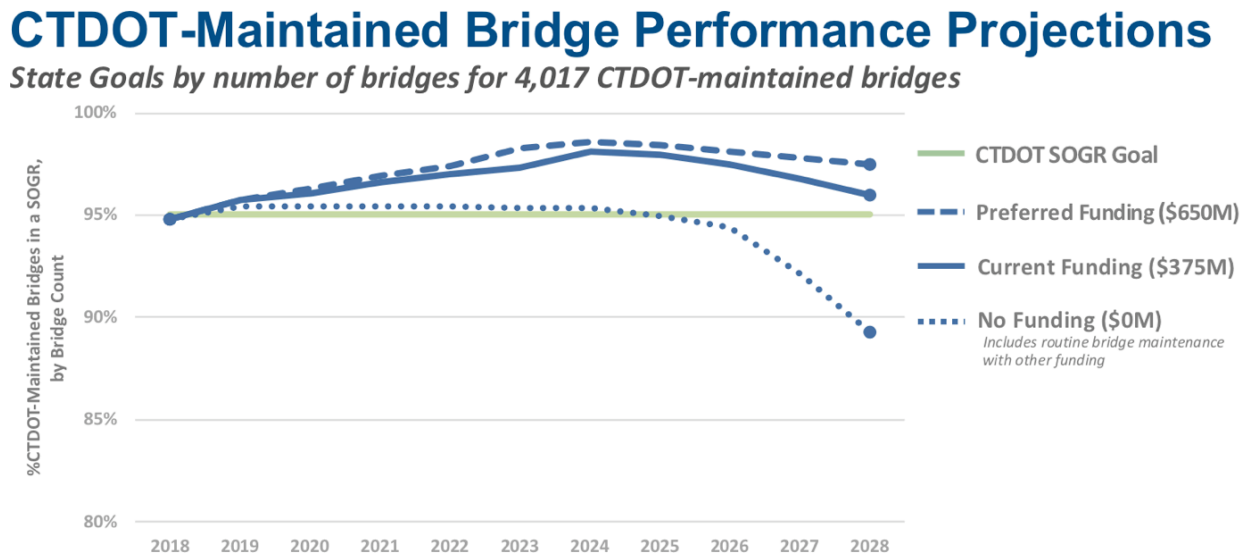
Performance projections for NHS bridges are shown in Figure 4-1. These forecasts show the direct correlation between investment and performance over a 10-year period. CTDOT expects that it will meet the minimum condition level over the next year; however, at the current funding, CTDOT is only able to predict maintaining a level below 10% poor by deck area for 6-8 years before exceeding the minimum condition level and incurring the bridge penalty again.



Based on funding as of 12/31/18

Figure 4-1. NHS-NBI Bridge Performance Projections

The performance projections for state-maintained bridges are shown in Figure 4-2. For bridge, CTDOT is expected to reach and maintain SOGR targets over the 10-year period at current funding but with a downward trend beginning in 2024.



Based on funding as of 12/31/18

Figure 4-2. CTDOT-Maintained Bridge Performance Projections

In addition to the 10-year performance projections, 30-year analyses were considered. Preliminary runs of the funding scenarios over a 30-year period indicate the value of a preferred funding investment to better maintain and sustain the minimum federal condition level. Additional work is being conducted to refine the longer-term analyses.

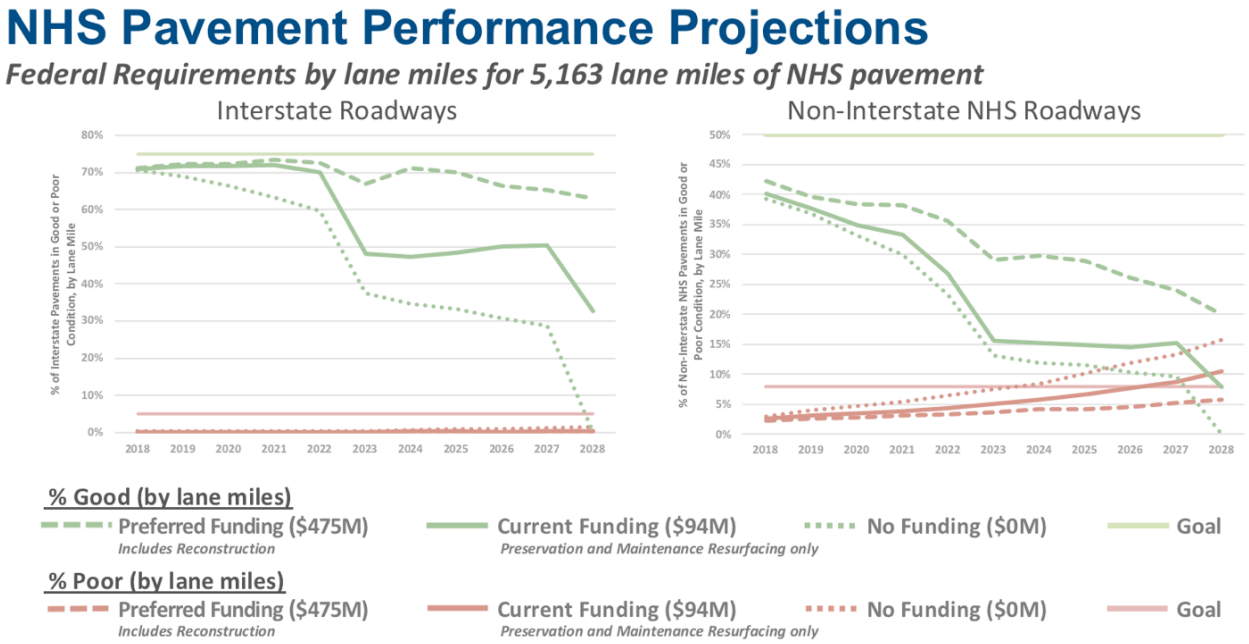
Pavement Performance Projections

Projections of pavement performance were developed in dTIMS using 2017 condition data submitted on June 15, 2018 for the HPMS. The analyses were run to optimize various budget scenarios to determine how to use funding to get the best return on investments. dTIMS was used to generate strategies based on Incremental Benefit Costs (IBC). Treatment costs were updated from historical CTDOT bid item records, and dTIMS measured benefits of strategies by comparing the PCI resulting from particular strategies to the PCI for a do nothing strategy. From the results, 10-year performance projections were developed for Interstate pavements, Non-Interstate NHS pavements and state-maintained pavements.

The performance projections for both Interstate pavements and Non-Interstate NHS pavements are shown in Figure 4-3. Even the preferred funding level is not sufficient to maintain the federal minimum condition standard for NHS pavements over the 10 years. The overall pavement conditions will decline throughout the entire 10-year period. The current funding refers to

pavement preservation and maintenance resurfacing treatments only. The preferred funding refers to all work types including reconstruction treatments.

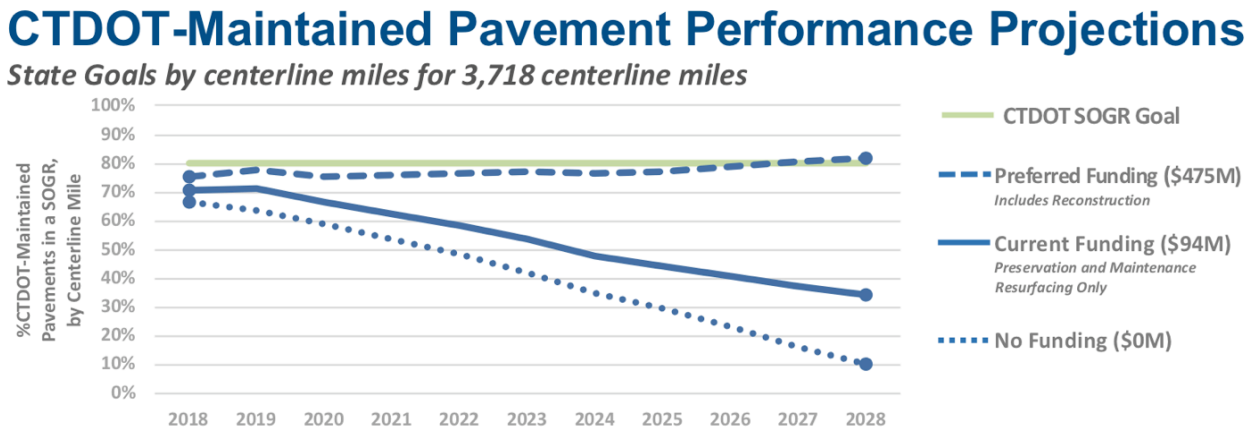
The sharp drop in good condition projected between 2022 and 2023 stems from two conditions; the first is the result of unusually large segments of pavement that date from the same paving years and which move into lower condition states in this time period; the second major source of this drop is a function of the way that condition states are defined for the national performance measures. There are only three condition states and the middle "fair" range is very broad compared to the "good" range, which is relatively stringent. It is difficult to maintain a pavement in "good" condition.



Based on funding as of 12/31/18

Figure 4-3. NHS Pavement Performance Projections

The performance projections for state-maintained pavements are shown in Figure 4-4. Although the preferred funding allows us to maintain the existing condition, it is beyond the present capacity to deliver. The current funding leads to an overall decline of state-maintained pavement condition over the 10-year period.

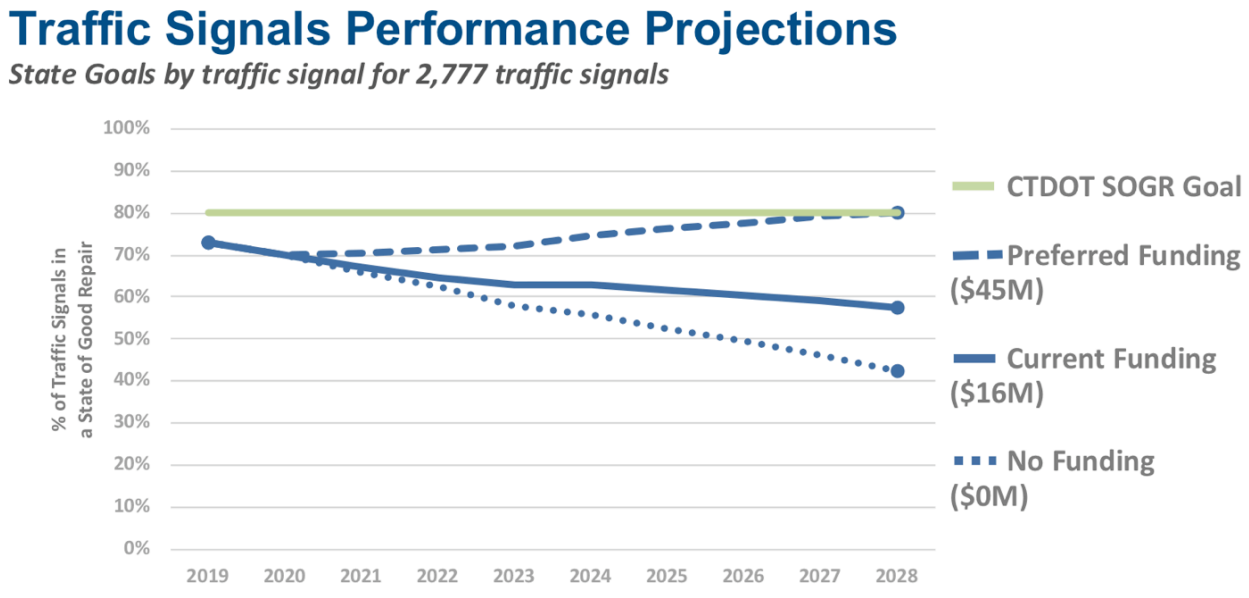


Based on funding as of 12/31/18

Figure 4-4. CTDOT-Maintained Pavement Performance Projections

Traffic Signals Performance Projections

Performance projections for traffic signals were developed based on the current process for managing this asset. Each year roughly 130 traffic signals that have exceeded their service life would need to be replaced for this asset class to achieve its performance target in future years. Currently, CTDOT replaces approximately 60 signals each year under the annual traffic signal program that have exceeded their service life. Additional traffic signals are upgraded each year under other highway projects and encroachment permits by developers. The performance projections for traffic signals are shown in Figure 4-5.



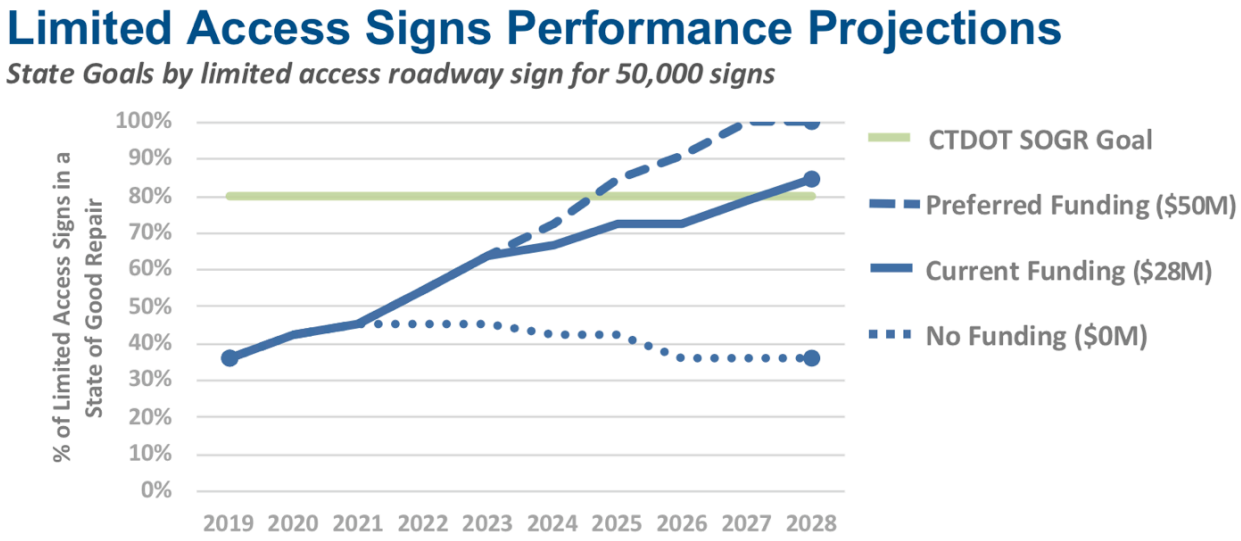
Based on funding as of 12/31/18

Figure 4-5. Traffic Signals Performance Projections

Signs

Performance projections for signs were developed based on the current process for managing this asset. Each year 15,500 signs that have exceeded their service life would need to be replaced for this asset class to achieve its performance target in future years. Currently, CTDOT replaces approximately 5,000 signs each year that have exceeded their service life. Additional signs are replaced each year under other highway projects but these have not necessarily reached their service life. Funding value includes the cost of overhead sign supports and foundations that may not be in poor condition but require replacement due to sign revisions.

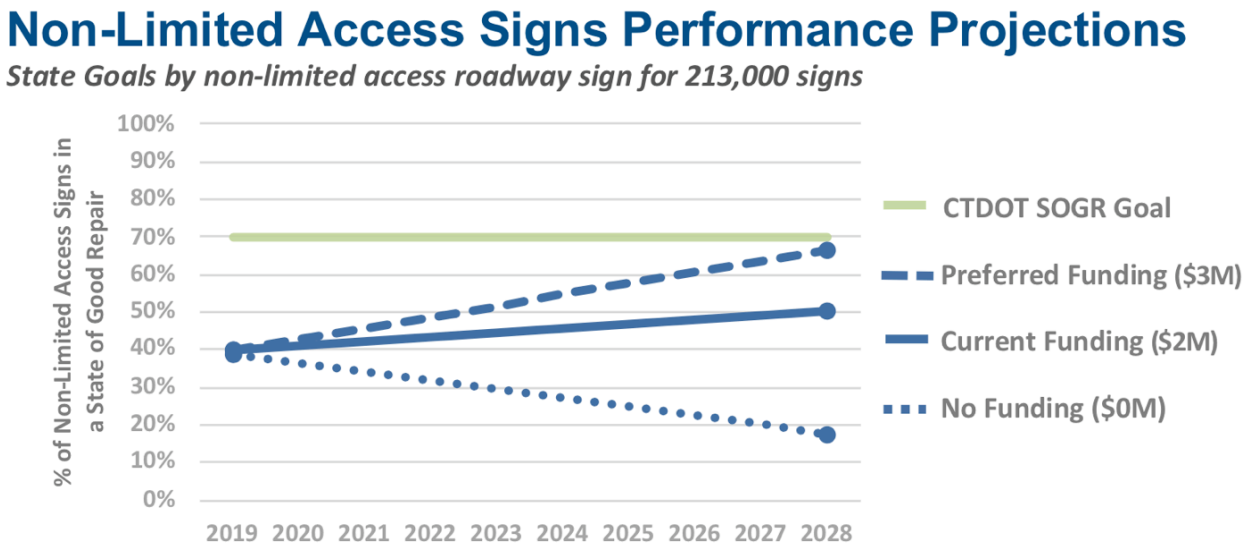
Performance projections for Limited Access signs are shown in Figure 4-6. At current funding levels, CTDOT would meet state goals for limited access signs at the end of the 10-year period of the TAMP.



Based on funding as of 12/31/18

Figure 4-6. Limited Access Signs Performance Projections

Performance projections for Non-Limited Access signs are shown in Figure 4-7. CTDOT would need to adopt the preferred funding level to meet the desired performance for non-limited access signs over the 10-year period of the TAMP. CTDOT is proposing to program an additional one million dollars to address this gap.



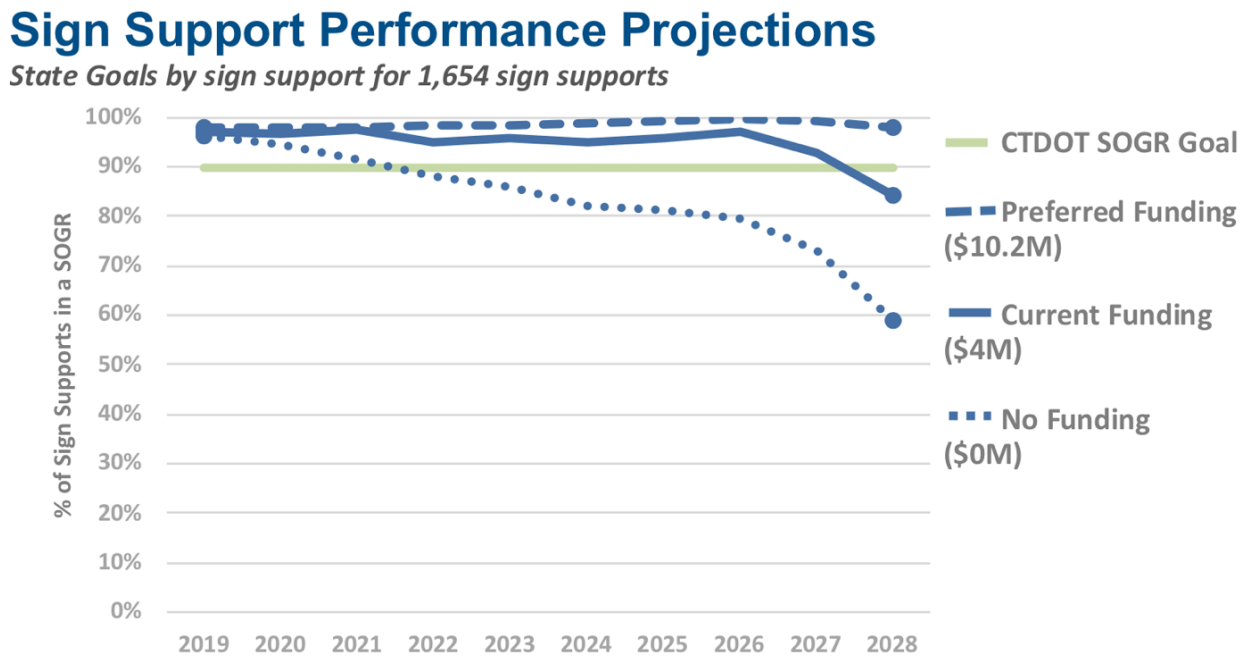
Based on funding as of 12/31/18

Figure 4-7. Non-Limited Access Signs Performance Projections

Sign Supports

Performance projections for sign supports were developed based on the current process for managing this asset. CTDOT used deterioration curves based on a 34-year service life of a sign support. The scenario assumes current funding of $4 million per year and that replacement of 40% of sign supports in poor condition will be included in other types of projects.

Performance projections for sign supports are shown in Figure 4-8. Sign supports meet SOGR goals at the preferred funding level over the 10-year period of the TAMP. The noticeable decline in performance starting in 2026 is due to the number of sign supports reaching their life expectancy at the same time.



Based on funding as of 12/31/18

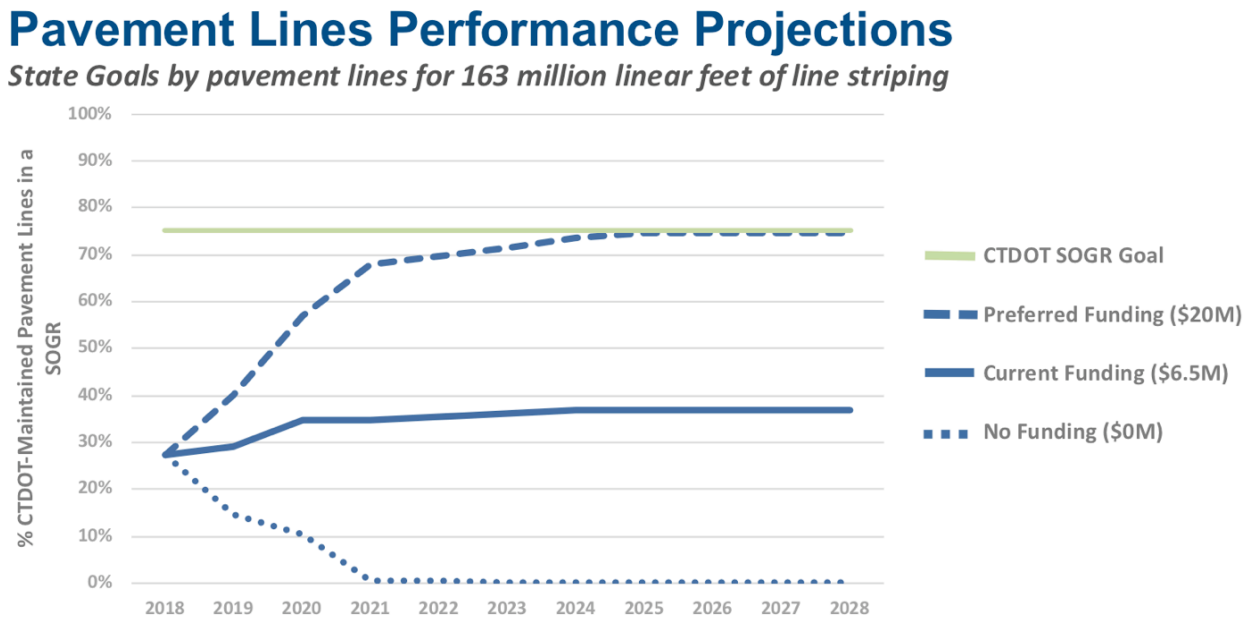
Figure 4-8. Sign Support Performance Projections

Pavement Markings

Performance projections for pavement markings were developed based on the current process for managing this asset. Pavement markings are organized into two categories determined by unit of measure: Line Striping (linear feet) and Symbols & Legends (square feet). In order to determine performance projections, the two categories are then further defined by three types: in-laid epoxy, epoxy and water-based. The distinction of the three types is important to the projection modeling since in-laid epoxy pavement markings have a six-year service life, epoxy pavement markings have a three-year service life and water-based pavement markings have a one-year service life.

Each year nearly 54 million linear feet of line striping and 735,000 square feet of symbols and legends, that have exceeded their service life, would need to be replaced for this asset class to achieve and maintain its performance target in future years. Currently, CTDOT replaces approximately 13 million linear feet of line striping and 350,000 square feet of symbols and legends each year that have exceeded their service life. Additional epoxy pavement markings are replaced each year under other highway projects but these have not necessarily reached their service life.

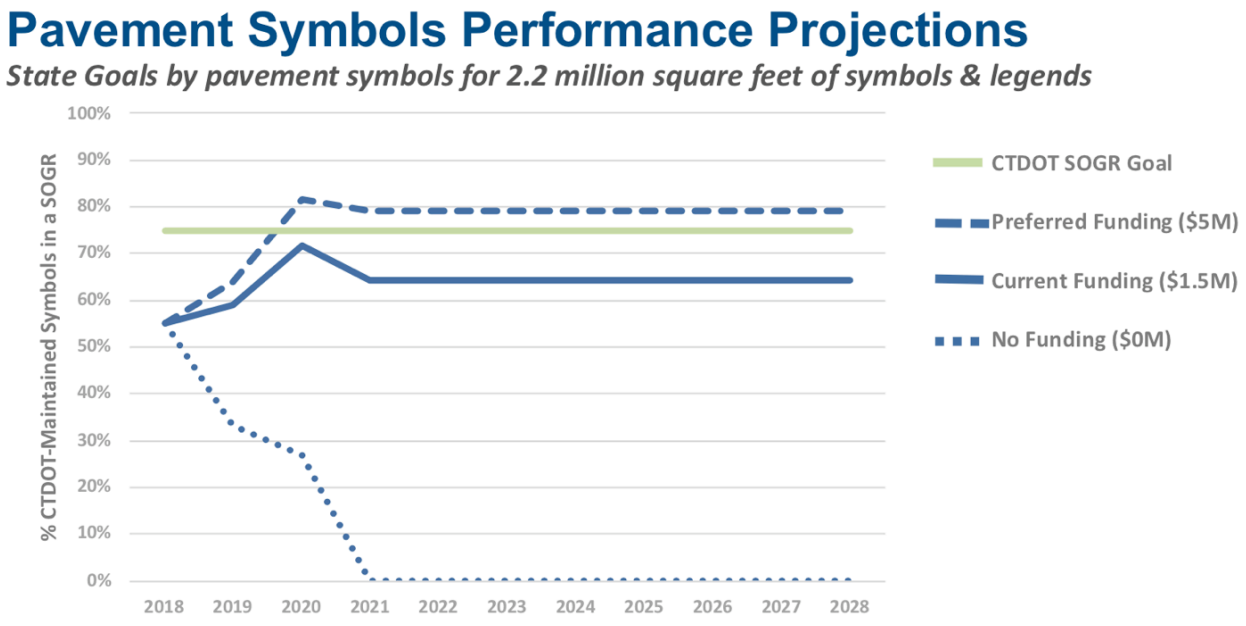
Performance projections for pavement markings are shown in Figure 4-9. CTDOT would meet SOGR goals under the preferred funding scenario, but would fall short given current funding.



Based on funding as of 12/31/18

Figure 4-9. Pavement Lines Performance Projections

Performance projections for symbols and legends are shown in Figure 4-10. CTDOT would meet SOGR goals under the preferred funding scenario, but would fall short given current funding.



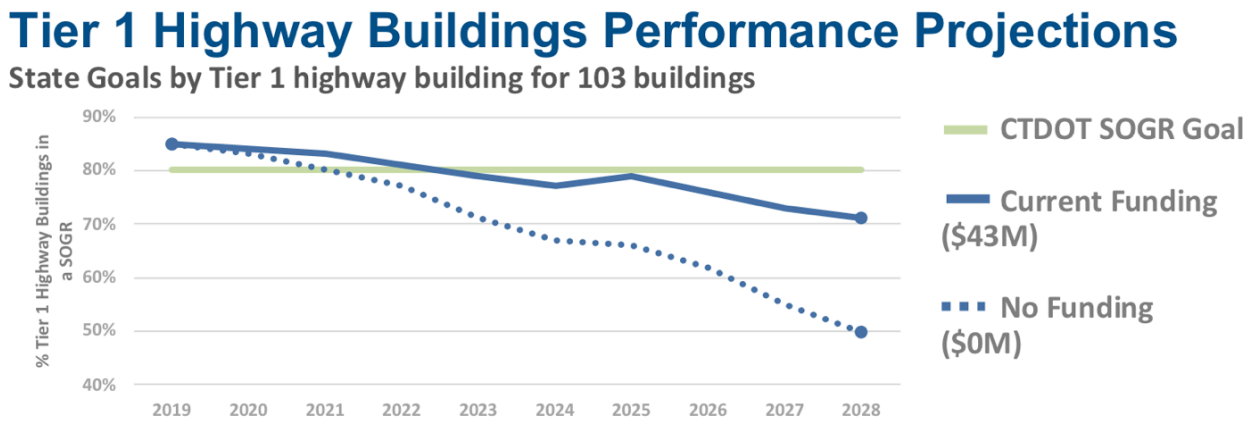
Based on funding as of 12/31/18

Figure 4-10. Pavement Symbols Performance Projections

Highway Buildings

Performance projections for highway buildings were developed for each tier based on the current process for managing this asset. Modeling capabilities for highway buildings are relatively recent at CTDOT and are in a period of constant improvement. The current funding and no funding scenarios show a steady decline in the SOGR of this asset. Future TAMPs will also include preferred funding scenarios that will meet performance goals.

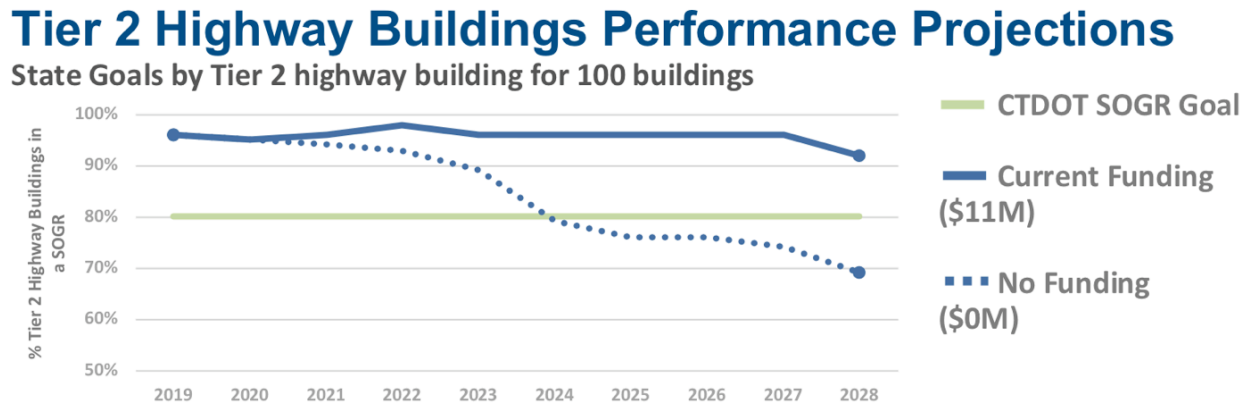
Tier 1 highway building projections are shown in Figure 4-11. At current funding levels, Tier 1 highway building condition will drop below desired SOGR over the 10-year period of the TAMP.



Based on funding as of 12/31/18

Figure 4-11. Tier 1 Highway Buildings Performance Projection

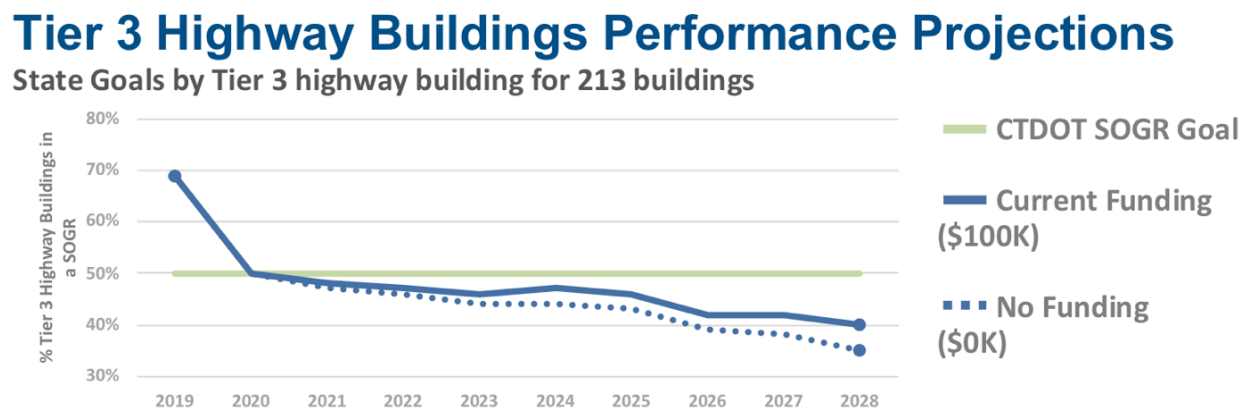
Tier 2 highway building projections are shown in Figure 4-12. At current funding levels, Tier 2 highway building condition will meet SOGR goals over the 10-year period of the TAMP.



Based on funding as of 12/31/18

Figure 4-12. Tier 2 Highway Buildings Performance Projection

Tier 3 highway building projections are shown in Figure 4-13. At current funding levels, Tier 3 highway building condition will drop below desired SOGR over the 10-year period of the TAMP.



Based on funding as of 12/31/18

Figure 4-13. Tier 3 Highway Buildings Performance Projection

Asset Performance Gap Analysis

CTDOT has established a process for conducting a gap analysis by evaluating gaps between current and desired condition and developing strategies to close those gaps. FHWA defines a performance gap as "the gaps between the current asset condition and State DOT targets for asset condition, and the gaps in system performance effectiveness that are best addressed by improving the physical assets."

Connecticut's gap analysis includes two gap calculations: current gap and projected gap.

- **Current gap** is the gap between current performance and the 10-year desired SOGR.
- **Projected gap** is the gap between the current funding 10-year performance projection and the 10-year desired SOGR.

For this TAMP, 10-year projection refers to the projected performance in 2028.

Both current and projected gaps are shown in terms of the change in performance required to meet the desired SOGR. For measures of good conditions, a gap indicates the need to increase the percent of assets in good conditions by the specified amount. For measures of poor conditions, a gap indicates the need to reduce poor conditions by the specified amount.

NHS Assets

The gap analysis for NHS bridges and pavements is shown in Table 4-7. There are current and projected gaps for both NHS bridges and pavements.

Table 4-7. Performance Gaps using Federal Performance Measures for NHS Assets using Current Budget Scenarios

Asset	Good	Gap	Poor	Gap
NHS Bridge Performance Goal	20%		10%	
Current Performance	15.2%	4.8%	14.0%	4.0%
10-Year Projected Performance	12.6%	7.4%	11.4%	1.4%
Interstate Pavement Performance Goal	75.0%		5.0%	
Current Performance	75.1%	Meets Goal	0.5%	Meets Goal
10-Year Projected Performance	32.8%	42.2%	0.3%	Meets Goal
Non-Interstate NHS Pavement Performance Goal	50.0%		8.0%	
Current Performance	37.1%	12.9%	3.4%	Meets Goal
10-Year Projected Performance	7.9%	42.1%	10.5%	2.5%

CTDOT-Maintained Assets

The gap analysis for CTDOT-maintained assets is shown in Table 4-8. Sign supports and all three tiers of highway buildings currently exceed performance goals. Bridge, limited access signs, and Tier 2 highway buildings are projected to exceed performance goals in ten years at the current funding scenario. All other state-maintained assets in the TAMP have current and projected performance gaps.

Table 4-8. Performance Gaps using CTDOT Performance Measures for CTDOT-Maintained Assets Using Current Budget Scenario

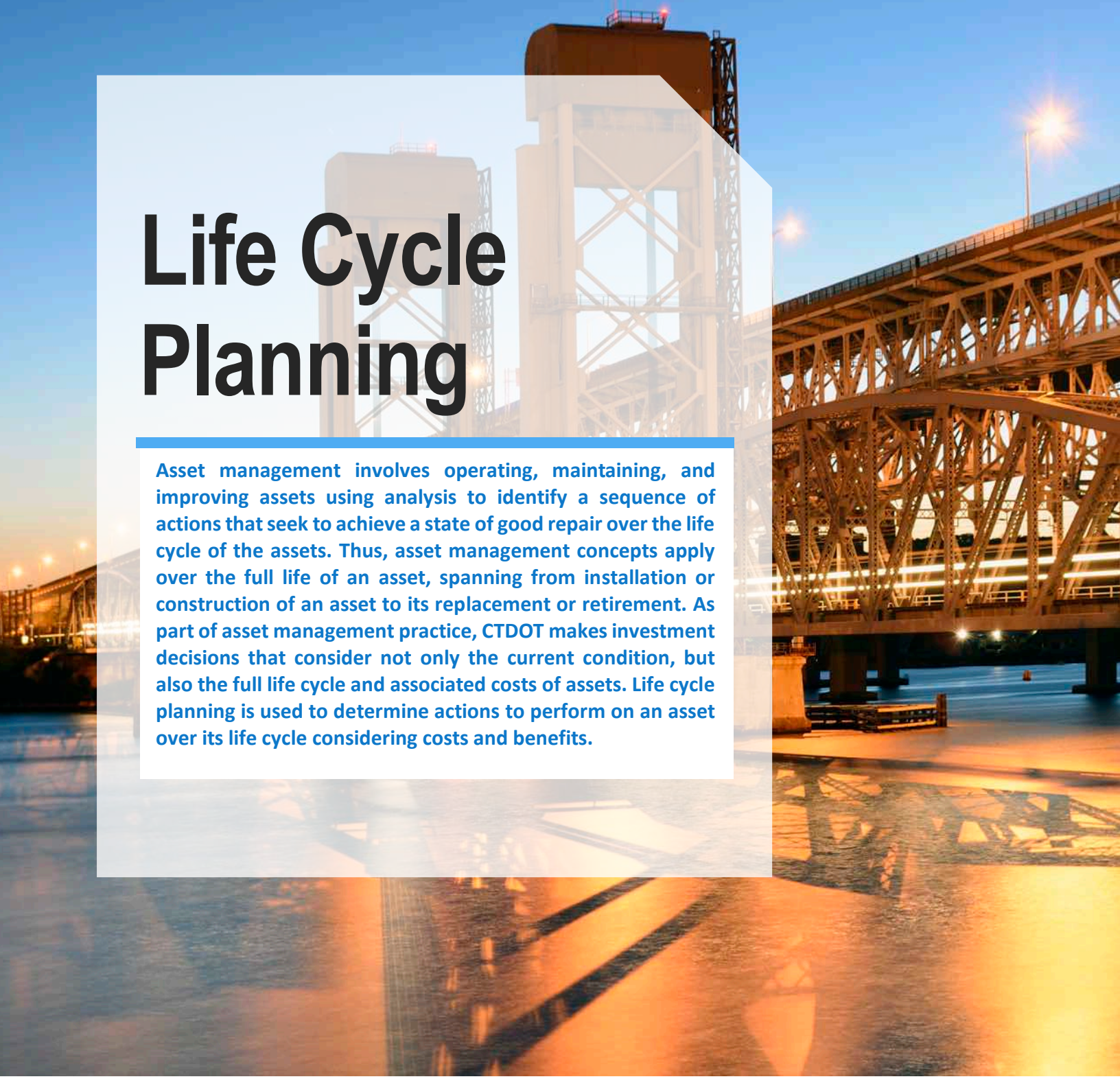
Asset	SOGR	Gap
Bridge Performance Goal	95.0%	
Current Performance	94.8%	0.2%
10-Year Projected Performance	96.0%	Meets Goal

Pavement Performance Goal	**80.0%**	
Current Performance	**63.2%**	16.8%
10-Year Projected Performance	**34.6%**	45.4%
Traffic Signals Performance Goal	**80.0%**	
Current Performance	**74.5%**	5.5%
10-Year Projected Performance	**57.4%**	22.6%
Signs – Limited Access Performance Goal	**80.0%**	
Current Performance	**33.3%**	46.7%
10-Year Projected Performance	**84.8%**	Meets Goal
Signs – Non-Limited Access Performance Goal	**70.0%**	
Current Performance	**42.2%**	27.8%
10-Year Projected Performance	**50.5%**	19.5%
Sign Supports Performance Goal	**90.0%**	
Current Performance	**98.6%**	Meets Goal
10-Year Projected Performance	**84.2%**	5.8%
Pavement Markings – Line Striping Performance Goal	**75.0%**	
Current Performance	**27.4%**	47.6%
10-Year Projected Performance	**36.7%**	38.4%
Pavement Markings – Symbols & Legends Performance Goal	**75.0%**	
Current Performance	**55.1%**	19.9%
10-Year Projected Performance	**64.2%**	10.8%
Highway Buildings – Tier 1 Performance Goal	**80.0%**	
Current Performance	**85.4%**	Meets Goal
10-Year Projected Performance	**70.6%**	9.4%
Highway Buildings – Tier 2 Performance Goal	**80.0%**	
Current Performance	**96.0%**	Meets Goal
10-Year Projected Performance	**92.0%**	Meets Goal

Highway Buildings – Tier 3 Performance Goal	**50.0%**	
Current Performance	**69.0%**	Meets Goal
10-Year Projected Performance	**39.6%**	10.4%

To close these performance gaps, CTDOT is focused on investing in assets to achieve and maintain a SOGR. CTDOT is adopting asset strategies that involve a series of treatments at optimal times to maintain assets in a SOGR to help improve asset condition over the life cycle of the asset while minimizing cost. CTDOT is also moving further towards a proactive, preservation-first approach. Using available funding, CTDOT will prioritize projects that can help close performance gaps using asset management principles and practices. For bridge projects there is an emphasis to maintain project schedules of all projects addressing poor bridges on the NHS in order to meet performance targets as projected. For pavements, most preservation treatments have been on the NHS. For performance that indicates declining conditions, additional funds or a reallocation of funds from other assets will be needed to make progress in closing the performance gaps. It is proposed that in 2021, asset management will start driving the Financial Plan. The approaches for closing these gaps, achieving state targets, and making progress towards national goals are further detailed in subsequent chapters of the TAMP, including Chapter 5 Life Cycle Planning, Chapter 7 Financial Plan, and Chapter 8 Investment Strategies.

This page intentionally left blank



Life Cycle Planning

Asset management involves operating, maintaining, and improving assets using analysis to identify a sequence of actions that seek to achieve a state of good repair over the life cycle of the assets. Thus, asset management concepts apply over the full life of an asset, spanning from installation or construction of an asset to its replacement or retirement. As part of asset management practice, CTDOT makes investment decisions that consider not only the current condition, but also the full life cycle and associated costs of assets. Life cycle planning is used to determine actions to perform on an asset over its life cycle considering costs and benefits.

CHAPTER 5

Connecticut Department of Transportation
TRANSPORTATION ASSET MANAGEMENT PLAN

Overview

This chapter describes CTDOT's life cycle planning (LCP) for its bridges, pavements, traffic signals, signs, sign supports, pavement markings, and highway buildings. FHWA defines LCP as "a process to estimate the cost of managing an asset class, or asset sub-group over its whole life with consideration for minimizing cost while preserving or improving the condition." LCP differs from life cycle cost analysis (LCCA) in that LCP is a network-level analysis to identify treatment strategies, while LCCA is a project-level analysis that compares design alternatives. LCP optimizes cost efficiency over the life of an asset and is a key element of asset management which helps extend asset life and improve performance.

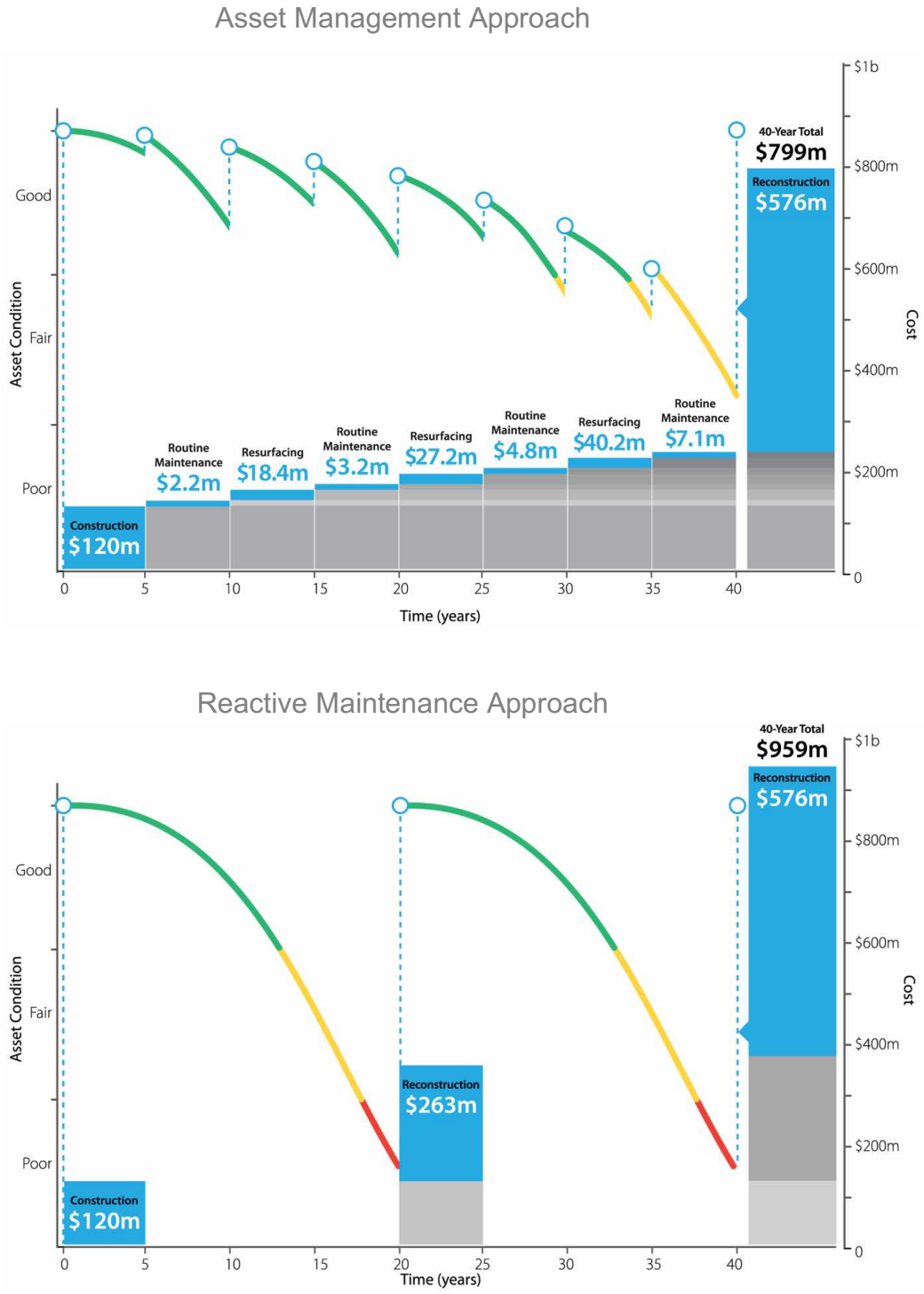
The basic principle underlying both LCP and LCCA is fundamental to asset management: **Timely investments in an asset results in improved condition over a longer time period and lower long-term cost**. Application of preventive maintenance early in an asset's life when it is still in relatively good condition can delay the need for more costly rehabilitation, replacement, or reconstruction and result in an overall lower life cycle cost. This principle is illustrated by Figure 5-1. The figure shows asset condition and costs over time for two scenarios: an asset management approach of preventive maintenance and a reactive approach. The example shows potential savings of $160 million over 40 years with assets maintained in better overall condition.

LCP links the TAMP condition data and targets to the financial plan and investment strategies by using deterioration rates and treatment options to help identify optimal asset strategies. These LCP asset strategies are defined in FHWA's interim guidance on using LCP to support asset management as "a collection of treatments that represent the entire life of an asset class or sub-group."

LCP involves development of deterioration models based on condition history data, assumption of a life expectancy for each maintenance and rehabilitation treatment, and calculating full life cycle costs associated with alternative treatment strategies.

Life Cycle Cost

The cost of managing an asset class or asset sub-group for its whole life, from initial construction to the end of its service life.



Asset management saves money: Performing preventive maintenance keeps assets in better condition – at a lower cost over the long term.

Deferring maintenance costs more: Higher-cost reconstruction or replacement is needed when assets are not maintained in a state of good repair.

Figure 5-1. Sample Representation of Proactive Maintenance vs. Reactive Maintenance

Source: Rhode Island DOT, Investing in Rhode Island's Future: A 10-Year Plan to Strengthen Our State's Transportation Systems. 2014. Based on an analysis published by TXDOT. Texas DOT, Typical Life Cycle Costs of a Highway, 2014. http://ftp.dot.state.tx.us/pub/txdot-info/tpp/2040/Life Cycle-costs-of-a- highway.pdf

CTDOT conducts LCP for the seven asset classes in the TAMP, using management systems or spreadsheets to model performance outcomes by evaluating treatments and funding levels. LCP is a tool that can help CTDOT make progress towards asset performance targets. CTDOT's data collection, performance targets, modeling approach, asset treatments, and treatment strategies are key components of LCP. Current CTDOT LCP practices are summarized in this chapter.

Federal Legislative Context

FHWA requires that State DOTs establish a process for conducting LCP at the network level for NHS pavements and bridges.

Life Cycle Planning Process Requirements

The following elements must be included in a LCP process:

- Identification of deterioration models
- Potential work types, including treatment options and unit costs
- A strategy for minimizing life cycle costs and achieving performance targets
- Asset performance targets

In addition, LCP should include future changes in traffic demand and information on current and future environmental conditions including extreme weather events, climate change and seismic activity.

CTDOT's Life Cycle Planning Approach

CTDOT's approach to life cycle planning included consideration of scenarios at various funding levels including no funding, current funding and preferred funding. For consistency throughout the assets, a 3.5% inflation rate was applied. The inflation rate was developed by CTDOT's Cost Estimating Unit and published in the CTDOT 2017 Estimating Guidelines. The discount rate was recommended by CTDOT's Office of Finance. These rates are variable and will be updated as applicable.

Life Cycle Planning for Bridges

Data Collection

Bridge data, including culverts, are collected through inspections performed to meet NBIS requirements, as well as more detailed element-level inspections. Data collection is discussed in detail in Chapter 3 Asset Data Management.

Modeling Approach

CTDOT uses dTIMS to detail its LCP strategy for bridges and to perform network-wide bridge analysis based on this strategy. CTDOT is also experimenting with AASHTOWare BrM software for deterioration modeling, but at this time, integrating inventory and condition data into the BrM system is still in development at CTDOT. CTDOT staff run deterioration models in dTIMS for the entire network, deduct the 60 designated major bridges from the dTIMS analysis, and then adds a separately prepared major bridge analysis to obtain a more accurate network-wide forecast. Engineers manually review bridge conditions and make recommendations for future projects on major bridges. Some major bridge projects can easily exceed the available budget in any given year, which will either cause the dTIMS analysis to stop or will result in no work ever being recommended on a particular major bridge because sufficient funds will never be available in any one year. Therefore, for the foreseeable future, treatments and associated costs for work on major bridges will be entered into dTIMS manually, and the budgets available for other structures will be adjusted accordingly.

The dTIMS model predicts bridge conditions using inspection data with both component and element level rating systems. Condition is measured on a scale from 0 (worst/failed) to 9 (best) for components and a scale from 1 (best) to 4 (worst) for elements. As detailed in Chapter 2, overall bridge condition is established by determining the minimum value of the deck, superstructure, or substructure for span bridges and the culvert rating for culverts. If the rating is 4 or lower, the bridge is defined to be in poor condition. If the rating is 5 or 6, the bridge is defined to be in fair condition. If the rating is 7 or higher, the bridge is defined to be in good condition. The dTIMS system also calculates a Health Index (HI) on a scale from 0.00 to 100 based on a weighted average of component and element condition ratings. The maximum item ratings used for the HI calculation are shown in Table 5-1 with the data source of the rating identified: NBI field, Element-Level field, CTDOT Bridge Inspection Form (CTDOT BRI-18) field.

Table 5-1. Bridge Health Index Components

Item	Maximum Points
Deck (NBI 58)	15
Superstructure (NBI 59)	15
Substructure (NBI 60)	15
Structural Evaluation (NBI 67)	10
Deck Geometry (NBI 68)	5
Underclearances (NBI 69)	5
Waterway Adequacy (NBI 71)	5
Approach Alignment (NBI 72)	4
Structure Open/Posted/Closed (NBI 41)	2
Paint (CTDOT BRI-18)	5
Bearings (Element-Level)	5
Girders (Element-Level)	5
Joints (Element-Level)	5
Wearing Surface (CTDOT BRI-18)	4
Total	100

Table 5-2 indicates the index value for the specified condition rating for the above components listed in Table 5-1.

Table 5-2. Bridge Health Index Weight Point Scale (May 2019)

Item	Item Rating	Weight Points
Deck (NBI 58), Superstructure (NBI 59), Substructure (NBI 60), Wearing Surface (BRI-18), Paint (BRI-18)	9	10
	8	10
	7	9
	6	7
	5	6
	4	4
	3	2
	2	0.5
	1	0
	0	0
Joints (Element-Level) Girders (Element-Level) Bearings (Element-Level)	1	5
	2	3
	3	1
	4	0

Item	Item Rating	Weight Points
Structure Open/ Posted/Closed (NBI 41)	A (open) or G (new but not open)	2
	Other than A, G, or K	1
	K (closed)	0
Structural Evaluation (NBI 67), Deck Geometry (NBI 68), Underclearances (NBI 69), Waterway Adequacy (NBI 71), Approach Alignment (NBI 72)	9	10
	8	10
	7	9
	6	7
	5	6
	4	4
	3	2
	2	0.5
	1	0
	0	0

For items with weighted points, the score is determined by taking the fraction of the total possible points that the item rating represents. For example, for a deck with a rating of 5, the Health Index deck component score would be (6 weighted points / 10 maximum points) [from Table 5-2] X 15 maximum points [from Table 5-1] = 9. Minor adjustments were made to the weighted points for five of the items from the 2018 TAMP.

dTIMS models deterioration using deterioration curves for each material, design type, and type of component, with sets of high, medium, and low curves for each modeled component or element, with a curve corresponding to each starting condition rating. The middle curve represents the performance of the typical example of a particular component; upper and lower curves are for components performing better or worse, respectively, than expected for their age. The curves were generated based on historical condition inspection data collected from 1992 through 2015, and then manually adjusted using engineering judgement to eliminate minor discrepancies related to year rebuilt data and issues identified in software coding. The curves were then run against historical data and further refined so that predictions based on historical data would replicate currently observed conditions. There are currently 2,122 deterioration curves for components, and 104 transition probability curves for elements.

A dTIMS run determines all feasible treatments for every bridge, including preservation, maintenance and replacement treatments; and calculates the costs and benefits for each possible treatment for each bridge. Multiple preservation and maintenance treatments may be recommended simultaneously. The treatment strategies are then optimized using an IBC strategy. IBC is an optimization approach using a search strategies method within the network to maximize benefits while meeting a budget cost constraint. It is calculated using a compilation analysis variable holding the

present value cost of all treatments and a compilation analysis variable holding the present value benefit (improvement in Health Index).

If replacement and rehabilitation actions are both feasible, the model chooses the treatment with the greater life cycle cost effectiveness over the analysis period (currently a 30 year analysis for bridges), with a minimum of 10 years between major treatments. The ultimate objective is to select an annual project mix which generates the greatest increase in the aggregate health index by the end of the analysis period given the available funding. As a result, it is possible that, given limited funds, dTIMS will select a less than optimum strategy for a particular structure in order to free up funds for a more beneficial project on another bridge.

Treatments

The treatments and costs used in the model are listed in Table 5-3.

Table 5-3. Bridge Model Treatments and Unit Costs (January 2019) provided by the CTDOT Bridge Management Group

Treatment	Unit	Unit Cost
Total Bridge Replacement Large	Deck Area (SF)	$370
Total Bridge Replacement - Medium	Deck Area (SF)	$425
Total Bridge Replacement -Small	Deck Area (SF)	$550
Culvert Repair	Culvert Area Repaired (SF)	$130
Culvert Replacement	Culvert Area (SF)	$245
Deck Rehabilitation	Deck Area Repaired (SF)	$130
Deck Replacement	Deck Area (SF)	$150
Superstructure Repair	Deck Area (SF)	$140
Superstructure Replacement	Deck Area (SF)	
Small (< 1,600 SF)		$360
Medium (1,600 – 11,000 SF)		$300
Large (> 11,000 SF)		$160
Substructure Repair	Deck Area (SF)	$230
Beam End Repair	Girder Quantity (LB/LF)	$5,000
Bearing Replacement	Bearing Quantity (LB/LF)	$3,000
Joint Replacement	Joint Length (LF)	$230

Treatment	Unit	Unit Cost
Paint Rehabilitation	Area Repainted (SF)	$60
Paint Replacement	Area Painted (SF)	$40
Wearing Surface Replacement	Deck Area (SF)	$8

Strategy

The specific set of treatments performed for each bridge modeled in dTIMS are determined based on the available budget and the life cycle cost-effectiveness of each treatment. Only bridges in good or fair condition are considered for preservation treatments. When a bridge has deteriorated to poor condition, the basic strategy is to either repair or replace the component driving the poor condition or replace the entire structure if that is more cost-effective. Functional adequacy is also weighed when considering repair versus replacement.

In addition to using dTIMS to forecast condition, CTDOT maintains a list of bridges that are already structurally deficient and in need of repair. A Rehabilitation Study Report (RSR) is prepared for each bridge in need of rehabilitation. The RSR considers various rehabilitation options for the individual bridge, and an analysis is performed comparing the costs and benefits of major rehabilitation (e.g. deck replacement, select girder replacement, etc.), full superstructure replacement, and complete bridge replacement. The analysis starts with an assumption of a 75-year life cycle. The RSR presents various maintenance scenarios with the associated present value costs and future treatment schedule.

A challenge in developing an effective life cycle strategy for Connecticut's bridges is determining how best to maintain bridges reaching and exceeding the end of their design life. More than half of the bridges in Connecticut are over 50 years old. When these bridges were built they were designed to last 50 years. New bridges are now typically designed to last 75 years. Preventive maintenance (replacing joints, repairing beam ends, painting, or replacing bearings) and timely rehabilitation actions can extend the life of a structure. Without routine maintenance, costly bridge replacement becomes necessary for addressing needs of a deficient bridge.

Life Cycle Planning for Pavement

Data Collection

Pavement data are collected annually using specially equipped ARAN vans as discussed in detail in Chapter 3 Asset Data Management.

Modeling Approach

LCP strategies for pavement are developed using predictive models for how pavements will deteriorate if no treatments are performed, as well as following different treatment strategies. A treatment strategy is a sequence of treatments over the analysis period. CTDOT models pavement condition and deterioration using the dTIMS PMS. dTIMS is CTDOT's primary tool for storing, managing, analyzing and reporting pavement condition information.

CTDOT uses Deighton's dTIMS to detail its LCP strategy for pavements and to perform network-wide pavement analysis based on this strategy. As part of the analysis for the 2018 TAMP, CTDOT staff attempted for the first time to model the Maintenance Resurfacing Program in dTIMS to obtain a network-wide forecast that is more aligned with actual programming practices.

This was accomplished by committing mill and fill resurfacing on a worst-first basis for the projected maintenance budget over 10 years. Planned pavement rehab projects were also committed. After these treatments were committed, analyses/budget scenarios were run so dTIMS could select preservation treatments with a projected budget for preservation over 10 years. This allowed the comparison of the outcomes achieved with actual programming practice versus the outcomes possible with a strategy that optimizes life-cycle cost.

The dTIMS model predicts future pavement condition from current conditions using individual condition indices (transformations of distress measurements) which are understood by pavement managers to reflect pavement performance and consequently enable the application of treatments and prediction of performance.

Types of distresses included in each index are shown in Table 5-4. The lower of either the Structural Index or the Environmental Index is later used as the Cracking component in the PCI.

Table 5-4. Distresses Included in dTIMS Indices

Index	Included Distresses
Structural Index	Longitudinal and transverse cracking within wheel paths, plus all alligator cracking
Environmental Index	Longitudinal and transverse cracking outside of wheel paths
IRI	Longitudinal roughness based longitudinal profile
Rutting Index	Pavement distortion within wheel paths

Although the calculation of the individual condition indices is technically possible within dTIMS, CTDOT calculates the indices outside of dTIMS during the data-reduction processing of raw, 5-meter condition data into 0.10-mile segments used at the network level. Once loaded into dTIMS, they are used as the basis for the scenario analysis, which is represented at a high-level in Figure 5-2 and described in more detail below.

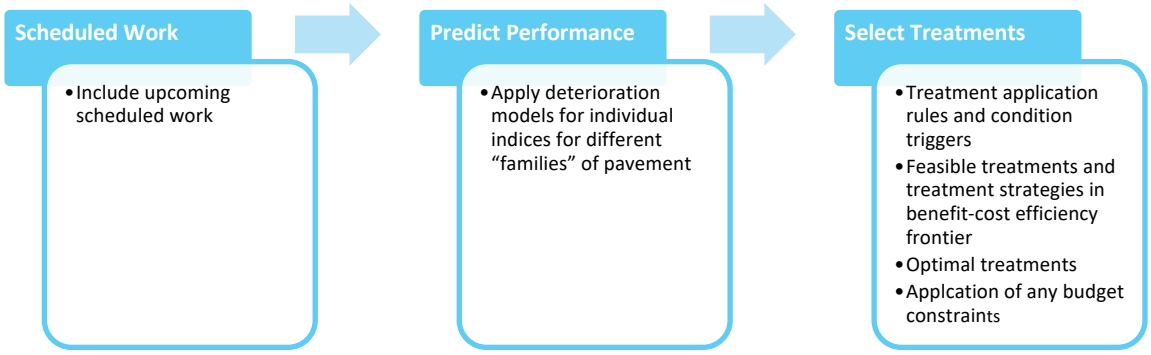


Figure 5-2. Overview of dTIMS Scenario Analysis

A composite condition index, called the PCI, is comprised of these indices plus other legacy components such as drainage and disintegration. The PCI correlates to the individual "triggering" indices and is used in the optimization (the benefit-cost analysis). The PCI is on a 1.0 to 9.0 scale, from worst to best, reflects legacy agency practice, and is well recognized within CTDOT. PCI calculation values are shown in Table 5-5.

Table 5-5. Pavement Condition Index

Component	Pavement Condition Index Weight (%)	Rating	Classification
Cracking	25	≥6	Good
		≥4 and <6	Fair
		<4	Poor
Rutting	15	≥6	Good
		≥4 and <6	Fair
		<4	Poor
Disintegration	30	≥6	Good
		≥4 and <6	Fair
		<4	Poor
Drainage	20	≥6	Good
		≥4 and <6	Fair
		<4	Poor
IRI	10	≥6	Good
		≥4 and <6	Fair
		<4	Poor
Total	100	≥6	Good
		≥4 and <6	Fair
		<4	Poor

To begin the scenario analysis, initial treatments are entered to include scheduled work for the initial year as well as projects that are in the project-development pipeline and expected to be accomplished. The dTIMS analysis then applies models for different pavement families to predict performance of those pavements and to select subsequent treatments. Feasible treatments are selected based on treatment triggers (conditions under which a treatment is feasible) that have been refined over time.

In the scenario analysis, dTIMS examines what treatments each pavement segment is eligible to receive for each year (including future years), and develops multiple strategies for each road segment representing a series of treatments over the scenario time horizon. These strategies are driven by the performance curves and the values that conditions are reset to following treatments. Each strategy calculates an incremental benefit/cost value that represents maximum benefit-to-cost ratio. The scenario analysis then compares across strategies to select an optimal set of treatments based on benefit/cost. Costs are pavement-related costs and benefits are the difference in condition between the strategy and a baseline do-nothing strategy, weighted by a function, the square root of the AADT, recognizing that benefits accrue to a larger number of users.

Treatments

CTDOT's pavement treatments and unit costs are listed in Table 5-6. Each treatment has conditions under which it is feasible to be applied, a treatment trigger, and an impact on pavement condition which resets values for each of the individual condition indices.

Table 5-6. Pavement Treatment Costs using Estimator

Treatment	Unit	Unit Cost
Ultra Thin Treatment	SY	$7.57
Mill and Fill /Maintenance Resurfacing (2 in.)	SY	$22.13
Mill and Fill (2 inches)	SY	$22.13
Mill and Fill (3 inches)	SY	$33.33
Rubblization	SY	$134.74
Structural Rehabilitation + Joint Repair	SY	$57.24
Structural Rehabilitation	SY	$56.05
Reclamation	SY	$45.73
Reconstruction (light, flexible)	SY	$82.87
Reconstruction (medium, flexible)	SY	$98.70
Reconstruction (heavy, flexible)	SY	$118.79
Reconstruction (light, composite)	SY	$91.41
Reconstruction (medium, composite)	SY	$107.67
Reconstruction (heavy, composite)	SY	$128.62
Diamond Grinding	SY	$45.32
Diamond Grinding + Joint Repair	SY	$51.30
Concrete Pavement Repairs and Structural Overlay	SY	$48.47
Rubberized Chip Seal	SY	$7.69
Thin Overlay	SY	$16.35
Microsurfacing	SY	$7.28

Strategy

The LCP strategy modeled in dTIMS is analyzed by first running an "unconstrained program" in terms of treatment scopes. The benefit-cost optimization leads to the observation that pavement preservation strategies are prioritized at all funding levels; rehabilitation and reconstruction are also selected but even more often at higher funding levels, in particular to decrease the "backlog" of pavement segments that are beyond the condition levels at which preservation is feasible.

Approximately 35% of CTDOTs pavement lane miles were constructed prior to 1950 and another 44% were constructed between 1950 and 1980. A majority of these pavements were built with a 20-year design life. Through rehabilitation and resurfacing programs, CTDOT has been working to extend the useful life of these pavements, particularly through increased use of preservation treatments. In 2010, CTDOT began a transition to a more balanced program of pavement maintenance, preservation, overlays, and rehabilitation. The intent is to move away from a "worst first" strategy which emphasizes treating pavements in poor condition. A preservation program strives to extend the life of pavements in good condition.

Recommended treatments are evaluated by CTDOT staff when determining what work to perform on a pavement section. Currently approximately 50% of the projects recommended by dTIMS are programmed for delivery. There are many reasons why some variation from the recommendations is inevitable – actual project costs vary based on funding source and delivery mechanism, actual pavement deterioration varies based on site-specific characteristics, and selection of paving locations includes multiple considerations beyond pure benefit/cost. Additionally, project limits may be altered to coordinate with another infrastructure need, to capture economies of scale in project delivery (adjacent segments in similar conditions) and other factors.

CTDOT mandates use of Superpave mix design on all pavement construction projects, with polymer-modified asphalts on all resurfacing for Interstates, Expressways (Functional Class 1 or 2), and roadways where Superpave Traffic Level 3 mixes are used. CTDOT leverages the work of the Pavement Advisory Team and the HMA Steering Committee to provide lessons learned into effective pavement design, construction and preservation techniques.

Life Cycle Planning for Traffic Signals

Data Collection

Traffic signals data are managed by the Division of Traffic Engineering in a SQL database with a Microsoft Access front end for data entry and viewing. Data collection is discussed in detail in Chapter 3 Asset Data Management.

Modeling Approach

CTDOT models traffic signals using an age-based approach. The model assumes that traffic signals should be replaced after 25 years, the age at which they are no longer considered in a SOGR.

Treatments

Typical treatments and costs are shown in Table 5-7. Replacement of the all signal equipment at an intersection and LED replacements at fixed intervals are the only treatments used for lifecycle planning for traffic signals.

Table 5-7. Traffic Signal Model Treatments and Unit Costs using Estimator®

Treatment	Unit	Unit Cost
Replace Traffic Signal	Each	$260,000
Replace Overhead Flashing Beacon	Each	$50,000

Strategy

CTDOT's life cycle strategies for traffic signals are summarized in Table 5-8. The current life cycle strategy for traffic signals in Connecticut is to replace traffic signals after 25 years. Traffic signals are also upgraded during intersection improvement projects, through encroachment permits by developers, and in response to customer complaints. CTDOT currently replaces approximately 60 signalized intersections per year under the annual traffic signal program.

Table 5-8. CTDOT's Life Cycle Strategies for Traffic Signals

Asset Management Method	Description
Age-Based Replacement	Traffic signals replacement based on expected life
Service Replacement	Traffic signal replacement based on response to customer complaints, sensor detection malfunction, etc.
Other Projects	Traffic signal upgrade, replacement, installation, or removal due to modifications to the roadway, regardless of age
Light-emitting Diode (LED) Replacements	Traffic signal LED replacements on a regular basis, based on current expected life of 8-9 years

CTDOT's intent in the future is to expand component level replacements to manage the lifecycle of traffic signal assets rather than as an entire signalized intersection. CTDOT has only begun implementing this approach for the LED component. Future life cycle strategies will include regular component level replacements of controllers, detection, span poles and mast arms.

Life Cycle Planning for Signs

Data Collection

CTDOT has a sign inventory that was captured using images from the 2013 Photolog. Data collection is discussed in detail in Chapter 3 Asset Data Management.

Modeling Approach

CTDOT models signs using an age-based approach. The model assumes that signs are replaced after 17 years, the age at which they are no longer considered in a SOGR.

Treatments

Typical treatments and costs for signs are shown in Table 5-9. Replacement is currently the only treatment for signs.

Table 5-9. Sign Model Treatment and Unit Costs using Estimator®

Treatment	Unit	Unit Cost
Replace Sheet Aluminum Sign	SF	$35
Replace Extruded Aluminum Sign		
• Sign Sheeting	SF	$30
• Sign Support Steel	CWT	$340
• Foundation (typically 2 per sign) for signs mounted on the side of the road.	EA	$4,300

Note: CWT = Hundredweight (US weight equivalent to 100 pounds)

Strategy

CTDOT's life cycle strategies for signs are summarized in Table 5-10. The current life cycle strategy for signs in Connecticut is to replace assets after 17 years. Signs may also be scheduled for replacement following visual inspections, corridor replacement of all signs by type or location, corridor replacement of signs in a project area such as Maintenance Resurfacing

projects, or for statewide safety initiatives such as school zone warning signs and ramp wrong way signs.

Table 5-10. CTDOT's Life Cycle Strategies for Signs

Management Method	Description
Age-Based Replacement	Signs are replaced based on manufacturer expected life
Nighttime Visual Inspections	Signs are replaced based on visual observation of each sign
Corridor Replacement	Signs are replaced by type or location regardless of age or condition
Safety Initiatives	Signs are removed, replaced or installed by type regardless of age or condition based on safety needs
Other Projects	Sign upgrade, replacement, installation, or removal due to modifications to the roadway, regardless of age

Life Cycle Planning for Sign Supports

Data Collection

Sign support data are collected during inspections, typically every 6 years for full span overhead sign supports; 4 years for cantilever or bridge mounted sign supports; and 2 years for any aluminum sign supports (regardless of type). Data collection is discussed in detail in Chapter 3 Asset Data Management.

Modeling Approach

CTDOT models sign supports using an age-based approach. The model assumes that sign supports should be replaced after 34 years. The 34 year life-cycle is based on the assumption that after two-cycles of sign panel replacements (17 year life-cycle) a new sign support would be needed. Although CTDOT uses a condition-based approach for inventory, SOGR and life cycle strategy, the current projection model uses an age-based approach until condition-based deterioration models can be fully developed and validated.

Treatments

Typical treatments and costs are shown in Table 5-11. Replacement is currently the only treatment for sign supports.

Table 5-11. Sign Support Model Treatments and Unit Costs provided by CTDOT Traffic Engineering

Treatment	Unit	Avg. Unit Cost
Replace Cantilever	Each	$140,000
Replace Full Span	Each	$250,000
Replace Bridge Mount	Each	$50,000

Strategy

CTDOT's life cycle strategies for sign supports are summarized in Table 5-12. The current life cycle strategy for sign supports in Connecticut is to replace assets when they fall into poor condition (overall rating less than 5). CTDOT staff review the inspection list and program assets for replacement based on condition. However, many sign supports are replaced during projects initiated for other assets (signs) or highway improvements.

For signing projects, the recent code changes and sign size increases have caused older sign supports to become functionally obsolete. This has required many non-condition based replacements over the past several years. Other strategies are now being implemented to reduce these types of replacements. Whenever possible, sign supports are being removed and replaced with signs mounted along the side of the road. Also, more recently, Traffic Engineering has begun reducing the sign legend spacing to maintain current sign sizes in order to retain existing sign supports in good condition.

Table 5-12. CTDOT's Life Cycle Strategies for Sign Supports

Management Method	Description
Condition-Based Replacement	Sign support replacement or repair based on poor or overstressed condition
Signing Replacement Projects	Sign support replacements driven by installation of larger sign panels on the support to meet MUTCD requirements.
Corridor Replacement	Sign supports are replaced by location regardless of condition
Other Projects	Sign upgrade, replacement, installation, or removal due to modifications to the roadway, regardless of condition

Life Cycle Planning for Pavement Markings

Data Collection

Pavement markings data are based on assumptions of current inventory and age. Data collection is discussed in Chapter 3 Asset Data Management.

Modeling Approach

CTDOT models pavement markings using an age-based approach. The model assumes that water-based pavement markings are replaced after 1 year, epoxy pavement markings are replaced after 3 years and in-laid epoxy pavement markings are replaced after 6 years.

Treatments

Typical treatments and costs for pavement markings are shown in Table 5-13. Replacement is currently the only treatment for pavement markings. At this time CTDOT is not able to easily calculate a unit cost for water-based treatments. Although a partial breakdown of costs has been obtained, the labor, equipment, and maintenance and protection of traffic costs are complex to calculate across the network.

Table 5-13. Epoxy Pavement Marking Model Treatments and Unit Costs using Estimator®

Treatment	Unit	Unit Cost
Line Striping Replacement (epoxy only)	Linear Feet	$0.50
Symbols and Legends Replacement (epoxy only)	Square Feet	$3.50
In-laid Line Striping Replacement (groove and epoxy only)	Linear Feet	$1.15

Strategy

CTDOT's life cycle strategies for pavement markings are summarized in Table 5-14. The current life cycle strategy for pavement markings in Connecticut is to replace pavement markings at the end of their expected life cycle, replace water-based pavement markings with epoxy pavement markings whenever possible and replace epoxy pavement markings on a 3-year cycle. Location and priority are often based on visual inspection, public requests, and needs designated by construction projects. Since maintenance personnel are unable to apply epoxy markings due to application constraints, maintenance's only available in-house treatment is water-based markings.

Table 5-14. CTDOT's Life Cycle Strategies for Pavement Markings

Management Method	Description
Condition-Based Replacement	Reduced retroreflectivity or level of service triggers location-specific treatments.
Age-Based Replacement	Replace pavement marking based on asset age with epoxy preferred.

CTDOT envisions moving towards a pavement marking program that would systematically replace all pavement markings based on life cycle. On select new resurfacing projects in-laid pavement markings are being installed. CTDOT is continuously researching products to find marking materials and methods that can provide a longer service life for the conditions in Connecticut.

Life Cycle Planning for Highway Buildings

Data Collection

Highway buildings condition data was collected in InspectTech through a 2017/2018 inspection program. Data collection and potential revisions to the 2017/2018 inspection program data are discussed in more detail in Chapter 3 Asset Data Management.

Modeling Approach

CTDOT currently models highway buildings using an age-based approach. Table 5-15 shows the life cycle assumptions for highway buildings, organized by tier and type.

Table 5-15. Highway Building Life Cycles

Tier	Description	Life Cycle (years)	Mid-Life SOGR Upgrade (years)
1	Maintenance & Repair Type Facilities	60	30
1	Rest Area & Weigh Stations	60	30
1	Administration Facilities	60	30
2	Salt Shed Pre 1980	20	0
2	Salt Shed 1980-1994	30	15
2	Salt Shed Post 1995	40	0
2	Salt Shed Fabric Reserve	20	10
2	Specialty Facilities	30	15
3	Storage Buildings & Sheds	30	15
3	Storage Containers	20	0

Tier	Description	Life Cycle (years)	Mid-Life SOGR Upgrade (years)
3	Jet Hangars	20	0
3	Rest Area Storage	20	0
3	Personnel Shelters	20	0
3	Office Containers	20	0
3	Office Trailers	10	0

Treatments

Typical treatments and costs for Highway Buildings are shown below in Table 5-16. An exact unit cost for the treatments listed is difficult due to the unique nature of each individual building and site. An attempt has been made to provide an average or approximate cost where possible. These costs can be tracked and updated as additional data becomes available.

Table 5-16. Highway Building Treatments and Approximate Unit Costs

Type	Treatment	Unit	Approximate Unit Cost
Rehabilitation or Reconstruction	Tier 1 - Maintenance & Repair	SF	$390
Rehabilitation or Reconstruction	Tier 1 - Rest Area	SF	$700
Rehabilitation or Reconstruction	Tier 1 - Weigh Station	SF	$175
Rehabilitation or Reconstruction	Tier 1 - Administration	SF	$300
Rehabilitation or Reconstruction	Tier 2 –Salt Shed	SF	$435
Rehabilitation or Reconstruction	Tier 2 – Specialty Facility	SF	$775
Reconstruction (Replacement)	Tier 3 – Storage Buildings	SF	$185
Reconstruction (Replacement)	Tier 3 – Storage Containers/Trailers	SF	$15
Reconstruction (Replacement)	Tier 3 – Portable Office Structures	SF	$115
Preservation	Tier 1 - Roof SOGR Upgrades	SF	$26
Preservation	Tier 2 - Roof SOGR Upgrades	SF	$32
Preservation	Tier 1 – Fuel/Storage Tank SOGR Upgrades	LS	TBD - Site layouts and tank arrangements vary too much to determine an approximate unit cost at this time

Type	Treatment	Unit	Approximate Unit Cost
Preservation	Tier 1 - Various Building SOGR Upgrades	LS	TBD - Range of treatments varies too much to determine an approximate unit cost at this time
Demolition	All Buildings	LS	TBD - Historical data for building demolitions varies too much to determine an approximate unit cost at this time

Strategy

CTDOT's life cycle strategies for highway buildings are shown below in Table 5-17. The current strategy is to perform mid-life SOGR upgrades to Tier 1 and Tier 2 buildings before a major renovation or replacement at the end of their life cycle. CTDOT has not yet determined a systematic way to quantify the impacts of preservation projects to building condition ratings but intends to address with the implementation of a Facilities Management System. Tier 3 buildings are more basic in nature and therefore receive no mid-life SOGR upgrades and are replaced or demolished at the end of their lifecycle.

Table 5-17. CTDOT's Life Cycle Strategies for Highway Building

Management Method	Description
Rehabilitation or Reconstruction	Rehabilitate or reconstruct Tier 1 & 2 buildings at end of 60-year life cycle
Reconstruction (Replacement)	Replace Tier 3 buildings at end of 10/20/30-year life cycles
Preservation - Roofs	Mid-life SOGR roof replacement for Tier 1 & 2 buildings
Preservation - Tanks	End-of-life SOGR fuel/storage tank replacement
Preservation - Various	Mid-life SOGR upgrade to Tier 1 buildings
Demolition	Demolish assets below a SOGR that are no longer needed

Summary

The LCP process helps CTDOT consider the costs of maintaining an asset throughout its life and the optimal strategies for preserving asset condition while minimizing costs. CTDOT's LCP approach for bridge and pavement assets is relatively advanced, analyzing component condition ratings using management systems and developing management strategies based on modeled treatments. LCP for traffic signals, signs, sign supports, pavement markings, and highway buildings are less mature processes. CTDOT uses age-based replacement for these assets and is starting to invest in and improve modeling capabilities. The results of the LCP processes are used to define the TAMP financial plan and investment strategies.

Risk Management

Managing transportation assets entails managing risk. Risk is the positive or negative effects of uncertainty or variability upon Connecticut's transportation objectives. The application of risk management to asset management supports the ability to plan for negative impacts and supports effective decision-making. CTDOT must balance a wide variety of risks on an ongoing basis and take prudent mitigation actions given funding constraints. Risks range from daily operational concerns to potentially catastrophic risk of asset failures.

CHAPTER 6

Overview

This chapter discusses CTDOT's risk management approach, identifies risks to the CT transportation systems, and discusses CTDOT's TAM risk assessment, evaluation, prioritization, and mitigation strategies. The objective for the TAM risks is to achieve the SOGR defined for each asset.

Considering risk is important in developing a TAMP for the simple reason that reacting to risks is more expensive than proactive management. Employing risk management strengthens asset management programs by explicitly recognizing that any objective faces uncertainty and implementing mitigation strategies to reduce that uncertainty and its effects. Being proactive rather than reactive in managing risk will help CTDOT to better utilize capital funding toward maximizing the condition of all transportation assets.

Federal Legislative Context

As defined by FHWA, "Risk is the positive or negative effects of uncertainty or variability upon agency objectives." –Ref FHWA-HIF-12-035

The Federal Rules and Regulations Part 515 Section 515.7 (c) mandates that, "A State DOT shall establish a process for developing a risk management plan." Specific requirements for the process are listed below.

Risk Management Process Requirements

- Identification of risks that can affect the condition of NHS pavements and bridges and the performance of the NHS, including risks associated with current and future environmental conditions
- Assessment of the identified risks in terms of the likelihood of their occurrence and their impact and consequence if they do occur
- Evaluation and prioritization of the identified risks
- Mitigation plan for addressing the top priority risks (required in June 2019)
- Approach for monitoring the top priority risks (required in June 2019)
- Summary, for NHS bridges and pavement, of the evaluations of facilities repeatedly damaged by emergency events (required in June 2019)

Transportation Risk

Every transportation system faces a range of general types of risks as well as risks specific to the individual system and state. Some of the broad transportation risks faced by State DOTs that are also encountered by CTDOT are listed below.

Common Transportation Agency Risks faced by State DOTs

- Insufficient State and Federal funding
- Insufficient and/or inexperienced staffing
- Construction inflation costs
- Ability to meet 2-year and 4-year targets and adhere to the TAMP financial plan due to project delay and budget constraints
- Extreme weather or climate events
- Support for asset management implementation throughout the Agency
- Changing agency priorities due to political pressures
- Availability and quality of data, information, and reliable models to allow the accurate projection of future conditions

Of particular focus at CTDOT are risks associated with resources to achieve the goals of both Asset Management and the Agency overall goals. Currently, CTDOT is monitoring risks to its budget and seeking increased revenue through the legislature to replenish the Special Transportation Fund (STF) so that investment can be made in our infrastructure.

Staffing is becoming a significant risk to CTDOT to design and deliver work. Experienced staff is a crucial resource that is being reduced through attrition. Approximately twenty percent of the employees are currently eligible to retire. The number of employees leaving state service is expected to increase up to thirty-five percent in 2022 when terms of the state employee contracts for the retirement Cost of Living Adjustment (COLA) change.

Sufficient asset inventory and condition data are fundamental to the effective practices of asset management. As such, there are inherent and numerous program risks regarding adequate collection, accuracy and completeness of asset data.

CTDOT's Risk Management Approach

Traditionally, transportation risks have been addressed during the execution of projects or as part of asset inspections and programs. For example, addressing risks to bridges has been a vital focus for CTDOT. The tragic Mianus River bridge collapse in 1983 on I-95 in Greenwich, Connecticut, drew national attention to the need to carefully inspect and maintain highway bridges. CTDOT's Bridge Safety and Evaluation Unit in the Division of Bridges is charged with ensuring the safety of the traveling public by identifying bridge deficiencies through the inspection process and ensuring that these deficiencies are quickly addressed.

CTDOT is actively engaged in improving its approach to risk management. Specific initiatives have been undertaken at the project, program and enterprise levels. The goal is to identify and plan ahead for potential project risks instead of reacting to issues that could have been avoided. Training was held for targeted groups and functions within CTDOT to expand the understanding of key components of implementing risk management.

Project Level

At the project level, the goal is to improve project execution by better managing project risks through identifying and planning for potential risks to the public, the project schedule or to the project budget. A proactive approach is accomplished by identifying project risks and creating a risk register, which is then used to evaluate projects for potential risks to the project design, scope, schedule or budget. NHI Training was conducted in Connecticut in 2016 with a specific focus on training Project Engineers on the Risk Management process. Risk registries are included in all FHWA Projects of Division Interest, which are typically projects that are larger in size or apply innovative methods. In July 2017, a Construction Directive for Project Modifications and Contingency Management was issued to address the financial risks of a project.

Program Level

TAM, addressed at the program level, has been the most significant risk management initiative to-date. CTDOT initiated development of a risk management plan for asset management as an improved business process and to address the federal rules and regulations. This federal mandate requires specific information, including the identification of risks, assessment, evaluation prioritization, and mitigation.

Enterprise Level

At the enterprise level, there has been considerable action at the executive level to identify risks and implement a risk management strategy across CTDOT. Following the productive launch at the asset management program level, an executive

seminar was conducted on October 26, 2016 to provide introductory exposure to risk management to executives and managers. The program included presentations by FHWA Connecticut Division to share their working knowledge with risk management at the agency, program and project levels. This was a valuable experience to gain a better understanding of how priorities are set. Following the seminar, initiatives were undertaken to advance risk management at the executive level, including development of an agency level risk registry with input from the executive office and bureaus. The next step is to develop guidance and structure to successfully roll out an Agency Risk Management Plan.

CTDOT TAM Risk

CTDOT introduced risk management to asset stewards and working groups for bridges, pavements and signals through training, workshops and meetings. These meetings focused on development of registers for specific asset classes. In addition, asset stewards for future TAMP assets, specifically geotechnical and hydraulic assets, were included in the training and workshop development processes so that they could better integrate risk management into their own asset management activities. An introductory, two-hour webinar was conducted for the group to introduce participants to the concepts and terminology prior to the workshop. The March 2016 full-day workshop guided participants through the initial identification and ranking of key asset risks, and to learn the risk management development process. Follow-up meetings were held to continue the risk management process for bridges, pavements and signals. Additional meetings were held to introduce and initiate the process for sign supports and pavement markings, as well as risks to the 2018 TAMP

The steps to develop the information required by FHWA as part of the Risk Management Plan for the TAMP are shown schematically in Figure 6-1. The process also includes the tracking and mitigation of risks. The arrows in the schematic demonstrate the cyclical and continuous cycle that is followed as part of effectively managing the risks.

In 2019, the asset steward for each of the original six assets was tasked with conducting the TAM Risk Process by reviewing and revising the 2018 TAMP Risk Registers. The TAM Risk process was applied to the new highway buildings asset and a risk registry was developed. Mitigation strategies and status were identified for each CTDOT TAM risk. In addition, responsibility was assigned for each mitigation strategy task by unit and person for tracking purposes. These assignments are submitted to FHWA-CT under a separate transmittal.

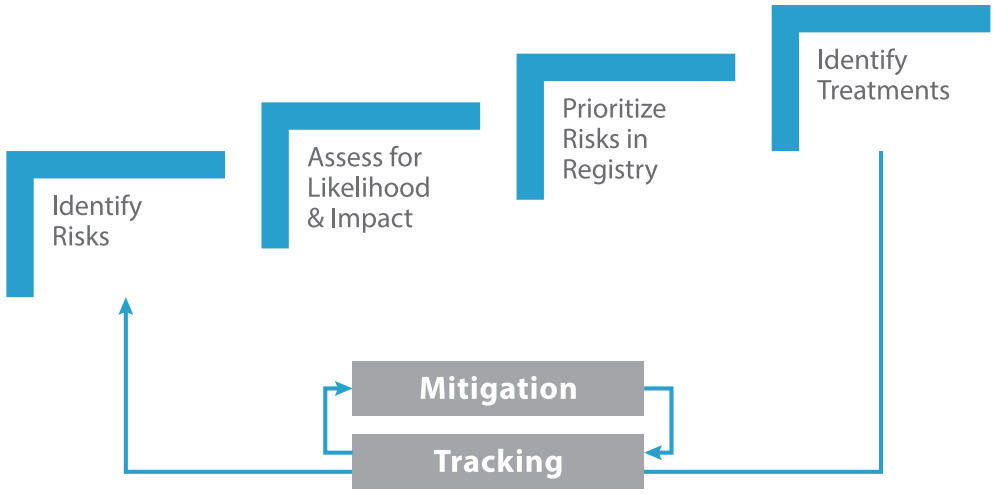


Figure 6-1. Steps to Achieving CTDOT's TAM Risk Process

Identification and Assessment

As part of its asset management initiative, CTDOT identified and assessed asset risks to achieving the objective, which in the case of the assets, is the risk to obtaining a SOGR target. SOGR targets are defined for each asset in Chapter 4 Objectives and Performance. The risk register is a simple table format or matrix that is used as a risk management tool to summarize an organization's risks, analyze the likelihood and impact, and record possible risk-response strategies.

Each risk is defined by a risk statement that consists of two elements: a description of the risk event and a summary of its potential impact. For example:

Risk Event (*if*)

- CTDOT does not have a certified TAMP in accordance with MAP-21/FAST Act

Potential Impact (*then*)

- Federal funding on projects will be reduced to 65% federal participation

In performing the assessment, CTDOT staff used the risk matrix shown in Figure 6-2 to classify the likelihood and impact of each identified risk. The matrix includes five categories for likelihood and five categories for impact. The rating of a risk is classified as "Low, Medium, High, or Very High" based on the combination of likelihood and impact.

The CTDOT risk registry includes risk registers identified for the TAM program and the seven asset classes included in the TAMP.

In developing the risk management process, the initial focus was on threats. Throughout the process, asset stewards were asked to consider and assess opportunities using the same approach. Opportunities identified through this process are included in the TAM Risk Registry in Appendix F.

Risk Matrix with Impact and Likelihood Definitions			Likelihood				
			Rare	Unlikely	Likely	Very Likely	Almost Certain
			Less than once every 10 years	Once in more than 3 but less than 10 years	Once between 1-3 years	Once a year	Several times a year
Impact	Catastrophic	Potential for multiple deaths & injuries, substantial public & private cost.	Medium	Medium	High	Very High	Very High
	Major	Potential for multiple injuries, substantial public or private cost and/or foils agency objectives.	Low	Medium	Medium	High	Very High
	Moderate	Potential for injury, property damage, increased agency cost and/or impedes agency objectives.	Low	Medium	Medium	Medium	High
	Minor	Potential for moderate agency cost and impact to agency objectives.	Low	Low	Low	Medium	Medium
	Insignificant	Potential impact low and manageable with normal agency practices.	Low	Low	Low	Low	Medium

Figure 6-2. Risk Matrix with Impact and Likelihood Definitions

Risk Prioritization and Mitigation Plan

The TAM Risk Registry serves as the framework for CTDOT's risk mitigation plan. A total of 116 risks and 4 opportunities were identified at the TAM Program Level in 2019 and are listed in the TAM Risk Registry in Appendix F. The risks are organized according to asset class. Risks are simply grouped by risk rating (very high, high, medium and low) and are not further prioritized. CTDOT asset working groups helped identify risk mitigation strategies and the current mitigation status (under consideration, in discussion, initiated, in progress/deployed, implemented/ongoing or implemented/completed). High and Very High priority risks with mitigation strategies and status are listed in the risk register in Table 6-1.

Table 6-1. High and Very High Priority Risks and Mitigation Strategies

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
Bridge	If we do not change how we address corrosion due to the use of deicing salts on our bridges, then the cost of rehabilitation will take away from maintaining bridge assets in a SOGR	Very High	• Protect the existing concrete from salt with coatings and the use of low permeability concrete on new bridge and superstructure replacements • Continue to rinse bridges	• In Progress/ Deployed • In Progress/ Deployed
Bridge	If we do not have load ratings with models that can run on current software, on all bridges, then we may not be able to quickly evaluate safe loads for deteriorated bridges discovered during inspections	High	• Leverage qualified outside resources to perform load ratings	• In Progress/ Deployed
Bridge	If we don't document institutional knowledge and existing processes, then we will spend more on design time, be less efficient at preparing quality plans, and it will result in longer project schedules.	High	• Document institutional knowledge, provide training, etc. to address attrition within CTDOT	• In Progress/ Deployed
Bridge	If there is inadequate funding, then limited work will be conducted and bridge conditions will deteriorate which may lead to limiting permit loads, having to post bridges for lighter loads or closing bridges.	High	• Prioritize our bridge projects using performance-based decisions. • Develop lower cost project delivery to repair/replace more bridges with the same funding such as design build and Variable Quantity contracting.	• In Discussion • In Progress/ Deployed
Bridge	If we don't address the continual deterioration of a bridge that occurs during the design/bid/award process, then the repairs often tend to exceed the estimated deterioration, leading to increased construction costs and project delays	High	• Use Variable Quantity Contracting to handle field changes.· • Use forensic inspections near design completion.	• In Discussion • In Discussion
Pavement	If we don't deliver the recommended projects, then pavement conditions will deteriorate and we will lose public credibility	High	• Defining a multi-year program with estimated timelines, and schedules • Providing management support and commitment • Establish reliable contract vehicles to deliver the paving program.	Initiated
Pavement	If we don't select the right projects then lifecycle costs will increase to achieve or maintain SOGR	High	• Use of flexible, responsive contracting mechanisms • Continually improve the PMS to optimize project selection • Increasing staffing to develop the capability of improved project selection in the PMS • Update the work program to incorporate the tasks and staff required to improve this capability • Tolerate some of this risk in the short-term as new technology is implemented (In particular,	In Progress/ Deployed

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
			technology to capture specific distresses at low severities that trigger preservation treatments)	
Pavement	If staffing levels are inadequate or if staff are not properly trained then program delivery will suffer	High	• Leverage qualified outside resources • Develop a multi-year work program identifying resources needed to achieve objectives • Develop and implement a succession plan	In Progress/ Deployed
Pavement	If we do not consider the complexity of implementing changes in technology, contracting etc. then opportunities that will enable us to achieve SOGR will be missed.	High	• Incorporate change/new technology into the business process • Develop and deploy effective implementation plans • Match resources to objectives	In Progress/ Deployed
Pavement	If we don't get adequate funding then pavement conditions will deteriorate and; future funding needs to achieve or maintain SOGR will increase	High	• Provide adequate funding • Initiate program to specifically address paving needs including the 'Backlog' of pavements in SOBR (State of Bad Repair)	Initiated
Traffic Signal	If traffic signal assets deteriorate to a poor condition, then the safety to the public, the efficiency of travel, and the quality of life will be affected	Very High	• Ensure adequate resources are dedicated to these assets and their related activities • Develop and implement an Asset Management Plan	• In Discussion • Initiated
Traffic Signal	If we lack asset inventories with adequate information on condition, then we can't optimize investments and set priorities	Very High	• Develop an inventory of traffic signal assets • Use new technology to inventory assets and document their age/condition • Coordinate with the Offices of Maintenance and Construction to update/maintain the inventory • Improve tracking of part service records to retire components that repeatedly break down and/or do not achieve the expected service life	• Implemented / Ongoing • Under Consideration • In Discussion • In Discussion
Traffic Signal	If there is not adequate maintenance staff who are technically skilled in signal repair, then the performance of traffic control devices will degrade and public safety will be affected	High	• Ensure appropriate and sufficient staff and provide technical training to staff • Investigate leveraging outside resources for some work if needed/possible	• In Discussion • Under Consideration
Traffic Signal	If design staffing is inadequate, then we will not be able to maintain state of good repair and upgrade to current design and safety standards of traffic signal assets	High	• Ensure adequate staff for SOGR projects • Identify possible tasks for on-call consultants for SOGR projects • Develop and implement asset management system to increase efficiency of SOGR projects.	• In Discussion • In Discussion • In Discussion
Traffic Signal	If future regulations (MUTCD, AASHTO, NESC,PURA,etc.) and requirements are revised or developed, then we could face higher costs and efforts to be compliant	High	• Staff engagement and involvement in development of future regulations, so that we have the longest time possible to anticipate future needs and so	• Under Consideration

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
			that the requirements align with CT's needs.	
Traffic Signal	If we do not coordinate between work units (Bridge Safety, Bridge Design, Office of Maintenance (including District Offices, Highway Operations, and the Signal Lab.) Office of Information Systems (GIS) and Engineering Applications), , then we will not operate as efficiently as we could	High	• Develop a coordination strategy based on the alignment of work schedules and strategic communication • Ensure appropriate offices are included in the Traffic Signal Asset Management working group • Ensure appropriate offices are involved with design reviews • Develop clearly defined roles and responsibilities for each unit	• In Discussion • In Discussion • Implemented / Ongoing • In Discussion
Sign	If regulatory signs deteriorate to poor condition, then the safety to the public, the efficiency of travel, and the quality of life will suffer.	Very High	• Look into the use of different sheeting types and overlaminate products to be added onto high risk signs (ex. Stop signs) in order to increase life expectancy of reflectivity and reduce graffiti • Effort to be put into reviewing current specifications to have Contractors and Maintenance utilize the same products • Potential for sign replacement project targeting high risk signs to maintain state of good repair	In Discussion
Sign	If warning signs deteriorate to poor condition then the safety to the public, the efficiency of travel, and the quality of life will suffer.	Very High	• Look into the use of different sheeting types and overlaminate products to be added onto high risk signs (ex. Stop signs) in order to increase life expectancy of reflectivity and reduce graffiti • Effort to be put into reviewing current specifications to have Contractors and Maintenance utilize the same products • Potential for sign replacement project targeting high risk signs to maintain state of good repair	In Progress/ Deployed
Sign	If design staff levels are inadequate then we will not be able to maintain a state of good repair for signs.	Very High	• Outsource to Consultants • Reprioritize staffing • Add staffing	Under Consideration
Sign	If staff is not trained to an adequate level then we will not operate as efficiently as we should. There will be potential duplication of efforts, wasted resources, impacts to public safety and negative public perception.	High	• Come up with a training plan for implementation	Under Consideration
Sign	If guide signs deteriorate to poor condition then the safety to the public, the efficiency of travel, and the quality of life will suffer.	High	• Look into the use of different sheeting types and overlaminate products to be added onto high risk signs (ex. Stop signs) in order to increase life expectancy of reflectivity and reduce graffiti	In Discussion

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
			• Effort to be put into reviewing current specifications to have Contractors and Maintenance utilize the same products • Potential for sign replacement project targeting high risk signs to maintain state of good repair	
Sign	If sign inventory is not complete and current then we cannot optimize investments and set priorities.	High	• Comprehensive plan to address the needs of Maintenance and Design. • Potentially reinventory.	Initiated
Sign	If there is a lack of adequate maintenance staff to fabricate, install & repair signs then the performance of sign devices will degrade and public safety will be affected.	High	• Add staffing • Upgrade fabrication equipment • Look into fabrication techniques to allow for faster fabrication such as digital printing	Under Consideration
Sign	If posted signs do not match roadway conditions then drivers may not be prepared for the roadway conditions.	High	• Program projects to address identified deficiencies	Under Consideration
Sign	If posted signs do not match approved OSTA signage requirements and MUTCD requirements then FHWA funding may be in jeopardy, potential for litigation based on incorrect signage, and potential for crashes.	High	• Complete TIR's in a timely manner • Compare authoritative databases for discrepancies	Initiated
Sign Support	If we don't have an accurate or complete inventory, then we cannot properly manage this asset	High	• Take advantage of the process developed and implemented to complete the inventory and to continually update the inventory.	Implemented
Pavement Marking	If there is insufficient staffing due to sign priorities, VIP paving, complaints, and available staff skill sets, then less work will get done and safety will be impacted.	Very High	• Address staffing issues • Address critical need for specially trained operators	• In Progress/ Deployed • In Progress/ Deployed
Pavement Marking	If funding decreases or is uncertain, then less work will get done and safety will be impacted	Very High	• Take steps to ensure necessary funding	• In Discussion
Pavement Marking	If weather conditions are not favorable for paint application (cold/rain), then less work will get done and safety will be impacted	High	• Adopt strategies to account for variability in weather	• Implemented / Ongoing
Pavement Marking	If equipment is not functioning properly and up-to-date for application needs (example painting of rumble strips, etc.), then work cannot be achieved and safety will be impacted	High	• Develop plan to address critical equipment redundancy needs;	• Implemented / Ongoing
Pavement Marking	If there is insufficient MPT (Maintenance and Protection of Traffic) staff and equipment, then work cannot be achieved and safety will be impacted	High	• Improve coordination between Signs & Markings and MPT crew schedules; availability of cone trucks for sign and marking operations	• Implemented / Ongoing

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
Highway Building	If we don't address the deteriorated Tier 3 buildings resulting from the 2017/2018 building inspections, then employees could be injured and equipment could be damaged	Very High	• Identify and prioritize Tier 3 buildings to be demolished	• Completed
			• Initiate a new mini-program to demolish any identified structure that can be removed from inventory as funding becomes available	• Completed
			• Lock all priority buildings immediately to prevent future access	• Initiated
			• Include any priority buildings whose function must remain in future capital projects that renovate a major structure on the same site within the next 3 years	• Initiated
			• Determine a means to address any priority buildings remaining after all other demolition/replacement options are exhausted	• Under Consideration
Highway Building	If we have a lack of building maintenance staff to make minor building repairs and perform minimal preventative maintenance on our buildings, then buildings will deteriorate at a faster rate than predicted	Very High	• Timely replacement of maintenance staff as they leave state service so building repairs can continue	• Under Consideration
			• Hire additional building maintenance staff to initiate a standard and reoccurring preventative maintenance program for all Tier 1 and Tier 2 buildings	• Under Consideration
Highway Building	If we do not keep our building condition data current, then we will not be able to have a data driven and transparent program	High	• Research and implement a Facilities Management System (FMS) that can issue work orders that automatically update asset condition data as work orders are completed	• Initiated
			• Develop and implement a method to get notified of minor capital repairs that impact overall building condition so condition data in InspectTech can be updated manually until an FMS can be implemented	• Under Consideration
TAM	If there is insufficient funding to support the design, construction and maintenance of assets, then the targets set in our TAMP cannot be achieved	Very High	• Identify and implement mechanisms to optimize and prioritize the use of funding towards maximum benefit in achieving SOGR	• Under Consideration
TAM	If there is insufficient staffing to support the design, construction and maintenance of assets, then the targets set in our TAMP cannot be achieved	Very High	• ·Quantify impacts to asset performance due to staffing shortages	• Under Consideration
			• Prioritize work and allocate staff based on most critical needs	• In Progress/ Deployed
			• Seek alternative means to achieve work	• In Discussion
TAM	If a significant percentage of the of the assets are beyond the expected life (age), then the	High	• Monitor relationship(s) between age and expected lifecycle/performance	• In Progress/ Deployed

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
	practical ability to achieve SOGR will be impeded		• Evaluate tradeoff to lifecycle for replacement vs rehabilitation on SOGR	• Initiated
TAM	If there is insufficient ability to collect, store, retrieve, analyze, interpret and report data, then key asset management functions, such as current and projected performance prediction, cannot be properly achieved	High	• Develop and implement an effective strategy to provide information technology support for asset management functions	• Initiated
TAM	If there is not public stakeholder understanding of preservation practices over 'worst first' practices, then there will be confusion regarding project selection, diminished credibility and lack of public support	High	• Develop a communication plan that includes information for public stakeholders	• In Discussion
TAM	If work is not programmed based on TAM methodologies, then there will be inefficient use of funding, reduction in the ability to achieve SOGR, reduced credibility to the program and potential FHWA financial penalties in bridge and pavement programs	High	• Utilize information from TAM methods to program work • Track and quantify work programmed based on TAM methodologies to analyze the effectiveness to achieving SOGR	• Under Consideration • Under Consideration
TAM	If multiple processes to handle each asset are not streamlined into a unified asset management approach, then the effectiveness of programming according to TAM methods will be reduced.	High	• Understand and accept the benefits of the asset management approach • Have mechanisms in place to facilitate unified management across functional areas (e.g. Asset Working Groups) • Accept that a percentage of work will not be done according to TAM methods • Executive support for unified approach	• In Progress/ Deployed • In Discussion • Implemented • Initiated
TAM	If there is not sufficient alignment with the CTDOT Statewide Transportation Improvement Program (STIP), then CTDOT will not pass the consistency determination assessment and penalties will be imposed.	High	• Refine a strategy to track asset management specific work • Prepare information for the consistency determination assessment	• Under Consideration • Implemented

A categorized summary of the total number and assessment of the risks identified as part of the initial TAMP is provided in Figure 6-3.

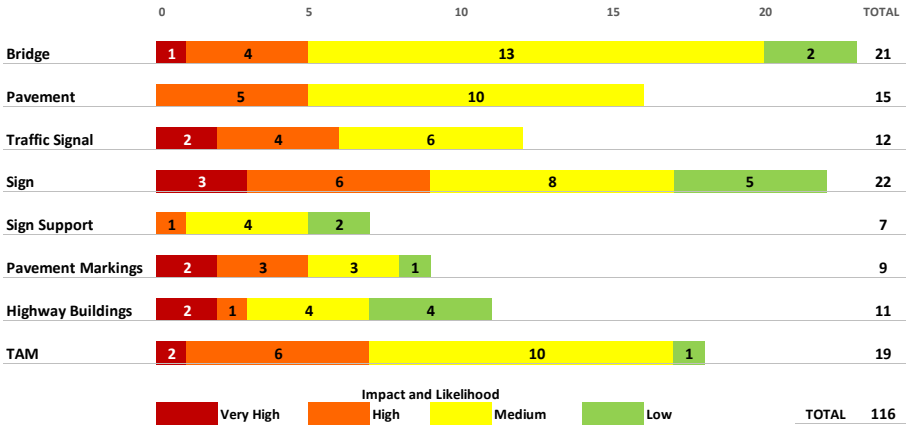


Figure 6-3. Summary of Risks by Category

From the initial summary of risks, four common topics were identified; funding, staffing, coordination and data. These common topics were also apparent at the enterprise risk level. A distribution of risk topics is presented in Figure 6-4.

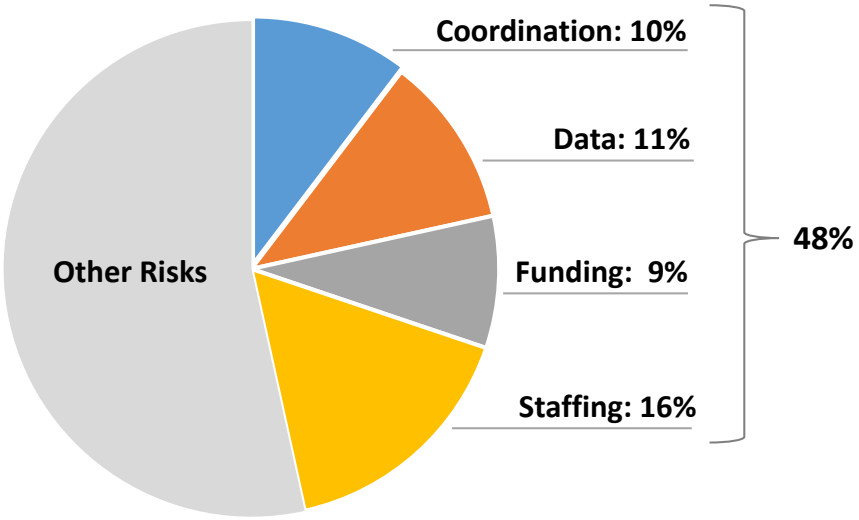


Figure 6-4. Distribution of Risk Topics

The TAM risk management reassessment cycle is anticipated to review and assess risks annually and also report with the TAMP update cycle every four years. As experience is gained, it is envisioned that more advanced analyses can be employed to include quantitative analyses of the risks and information gained.

Summary of Transportation Assets Repeatedly Damaged by Emergency Events

Overview

As part of the Federal Legislation, FHWA requires State DOT's to perform periodic evaluation of facilities repeatedly requiring repair and reconstruction due to emergency events. This requirement, commonly referred to as 'Part 667,' is the second part to the requirement for each State to develop a Risk-Based TAMP to improve and preserve the condition of assets on the NHS.

CTDOT completed a Statewide evaluation for all NHS roads, highways and bridges in the Fall of 2018. Results of the Initial Evaluation (January 1, 1997 – December 31, 2017) concluded that there were no roads, highways or bridges on the NHS that have required repair and reconstruction activities on two or more occasions due to emergency events in Connecticut.

A report was submitted to FHWA-CT in November 2018 outlining these findings in addition to information on CTDOT's initial methodology and proposed process improvements to fulfill federal requirements. A copy of this report is included in Appendix G.

Federal Legislative Context

As stated in Title 23 Code of Federal Regulations, Part 667 (dated October 24, 2016): 'Each State, acting through its Department of Transportation (State DOT), shall conduct statewide evaluations to determine if there are reasonable alternatives to roads, highway, and bridges that have required repair and reconstruction activities on two or more occasions due to emergency events. The evaluations shall be conducted in accordance with the requirements in this part.'

Part 667 Regulations

Timing of Evaluations

- Not later than November 23, 2018, the State DOT must complete the statewide evaluation for all NHS roads, highways and bridges.
- The State DOT shall update the evaluation after every emergency event to the extent needed.
- The State DOT shall review and update the entire evaluation at least every 4 years.
- In establishing its evaluation cycle, the State DOT should consider how this evaluation can best inform the State DOT's in preparation

of its asset management plan and Statewide Transportation Improvement Program (STIP).

- Beginning on November 23, 2020, for all roads, highways, and bridges not included in the evaluation prepared (11/23/18), the State DOT must prepare an evaluation that conforms with this part of the affected portion of the road, highway, or bridge prior to including any project relating to such facility in its STIP.
- The beginning date for every evaluation under this part shall be January 1, 1997. The end date must be no earlier than December 31 of the year preceding the date on which the evaluation is due for completion.

Consideration of Evaluations

- The State DOT shall consider the results of an evaluation prepared under this part when developing projects.
- The FHWA will periodically review the State DOT's compliance.
- The State DOT must make evaluations under this part available to FHWA upon request.

Definition of Emergency Event

- 'Emergency event means a natural disaster or catastrophic failure resulting in an emergency declared by the Governor of the State or an emergency or disaster declared by the President of the United States.'

Overall Strategy

The initial evaluation process involved identification of emergency events, retrieval of data and information, and interviews and meetings with key personnel throughout the Department. The exchange of information was useful in identifying current practices and facilitated the exchange of information regarding both risk and resiliency to CTDOT's assets. This exchange of information provided the framework for the process moving forward.

A Task Group will facilitate the exchange of information regarding resiliency and the Part 667 Evaluation. It is proposed that the group will meet following each emergency event to review the impact to assets, track information for the Part 667 Evaluation, and report on actions to address resiliency. Processes are being sought and developed to enhance CTDOT's ability to track transportation assets repeatedly damaged by emergency events and to fulfill the federal reporting requirements.

CTDOT's work to address resiliency includes listings of areas of known flooding, listing of NHS extreme weather locations, a Post Sandy FHWA funded Tri-State (sub-regional) Assessment, and a pilot project titled Connecticut Department of Transportation Climate Change and Extreme Weather Vulnerability Pilot Project (Dec 2014):
https://www.fhwa.dot.gov/environment/sustainability/resilience/pilots/2013-2015_pilots/connecticut/final_report/index.cfm

This page intentionally left blank

Financial Plan

The financial plan connects the transportation asset management objectives and targets to investment strategies, revenues, and project delivery programs. The financial plan summarizes current and anticipated future funding sources, outlining the financial constraints under which CTDOT operates. These constraints drive the decision-making process. The financial plan also estimates the cost of future work to implement the investment strategies and achieve progress towards targets set for federal requirements and state goals.

CHAPTER 7

Connecticut Department of Transportation
TRANSPORTATION ASSET MANAGEMENT PLAN

Overview

This chapter describes funding sources and how they are used to support TAM at CTDOT for the NHS and for the State Highway System, comprised of all state-maintained roads and supporting highway buildings, and provides a valuation of assets included in the TAMP. Transportation funding in Connecticut comes primarily from federal and state gas tax revenues. The federal gas tax is the main revenue stream for federal highway programs through the Highway Trust Fund. In recent years the Highway Trust Fund has been supported with transfers from the General Fund. Connecticut's state gas tax revenue, gross receipts tax on petroleum products, a portion of the new car sales tax revenue, and other fees are directed to a transportation-related state account, the STF, which is used to fund a wide variety of transportation programs. This includes asset management activities through the Fix-it-First legislative authorization among others. The following financial plan shows CTDOT's planned and estimated available funds for TAM and anticipated allotments by asset class over the 10-year period of the TAMP. It should be noted that the estimated allotments shown throughout this chapter do not capture all work planned in projects that contain multiple assets.

Federal Legislative Context

FHWA requires each state DOT to include a financial plan in their TAMP. FHWA defines financial plan as "a long-term plan spanning 10 years or longer, presenting a State DOT's estimates of projected available financial resources and predicted expenditures in major asset categories that can be used to achieve State DOT targets for asset condition during the plan period, and highlighting how resources are expected to be allocated based on asset strategies, needs, shortfalls, and agency policies." The plan should provide a summary of financial resources and needs for pursuing asset management objectives and achieving performance targets.

FHWA also requires that states establish a process for developing a financial plan as part of the TAMP. The process must produce the items listed below.

FHWA Financial Plan Process Requirements

- Estimated cost of expected future work to implement the investment strategies of the TAMP, by fiscal year and work type
- Estimated funding levels to address the costs of future work types, by fiscal year
- Identification of anticipated funding sources

- Asset valuation estimate for NHS bridge and pavement assets and the needed annual investment to maintain asset value

CTDOT's Financial Plan Approach

Since the Capital Program was already set for years 2018 to 2020 prior to asset projections, CTDOT used the Capital Program to develop the investment strategies incorporated in the 2018 TAMP financial plan. The Capital Program uses an allocation strategy to address perceived needs among the various asset classes and, by extension, was used to populate the asset management funding uses and sources. TAM enables CTDOT to become more data-driven. Beginning in 2021, CTDOT will increase the use and implementation of asset management strategies that target specific levels of funding towards meeting the target SOGR goal for each asset. This chapter presents a funding picture using the most current data as of December, 2018.

In 2019, CTDOT began implementing use of FHWA work types to classify planned and programmed projects. CTDOT's classification of allotments by FHWA work type were made using assumptions and may not necessarily represent actual projected work. Process improvements to fully implement the use of FHWA work types in financial planning for asset management are under development.

Operational improvement and capacity improvement designated projects may preserve or replace an asset; however, these projects are not yet included in the TAMP financial plan. There are also other programs in the Capital Program for assets not yet included in the TAMP (i.e. illumination, railroad grade crossings, guiderail, etc.); therefore these assets are not included in this financial plan. Figure 7-1 shows the portion of the $1.07 billion dollar capital program for highways and bridges that is programmed through the asset management process. The asset management program accounts for approximately $652 million or (61%) of the $1.07 billion dollar highway and bridge capital plan in this TAMP's Financial Plan. CTDOT is working towards capturing all of its highway and bridge work with respect to a specific asset class.

As the asset management process matures, the financial plan process will change with asset management needs having more impact in driving the Capital Program.

FHWA Work Types

- Initial Construction
- Maintenance
- Preservation
- Rehabilitation
- Reconstruction

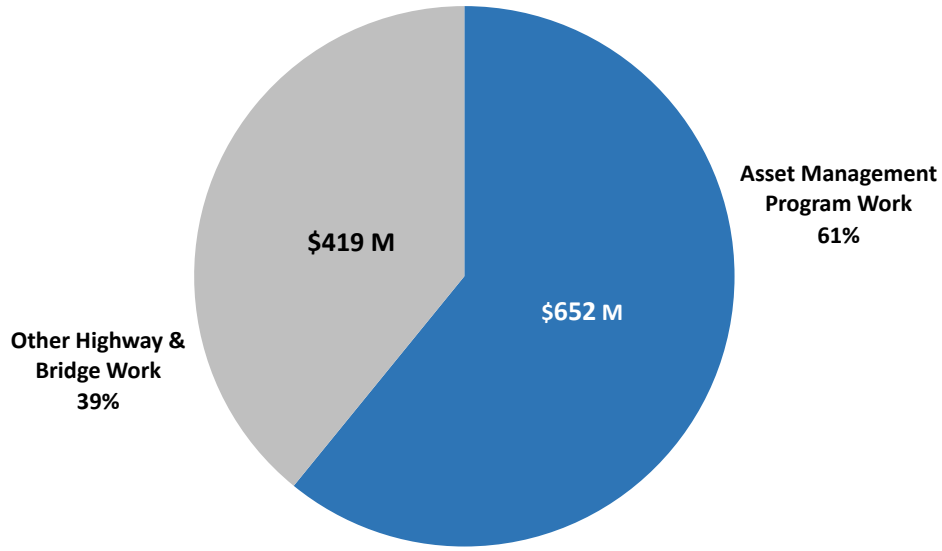


Figure 7-1. CTDOT Capital Program for Highway and Bridge

Asset Management Funding Uses

This section shows CTDOT's projected asset management allotments over the 10 year period of the TAMP, organized by asset. These amounts are further broken down by the 5 FHWA work types: initial construction, maintenance, preservation, rehabilitation and reconstruction (replacement). These values draw on the various federal and state funding sources described later in the chapter.

These funding uses only reflect projects that are initiated through the asset management programs for each asset. These values do not include highway projects that may improve the SOGR of an asset but were initiated outside of a specific asset program. CTDOT is working towards capturing this data for all projects but is in the beginning stages of implementing a tracking process.

CTDOT-Maintained TAMP Assets

A summary of estimated asset management funding uses for the seven CTDOT-maintained assets in the TAMP is shown in Table 7-1. These estimates were developed based on current funding. Tables 7-2 through 7-8 show each asset's estimated funding breakdown by FHWA work types.

Table 7-1. Summary of Estimated TAM Funding Uses for the TAMP's Seven Assets

	Value by Fiscal Year ($M) in 2018 dollars										
	Actual	Planned			Estimated						
Description	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Bridge	$472	$434	$460	$375	$375	$375	$375	$375	$375	$375	$375
Pavement*	$94	$94	$94	$94	$94	$94	$94	$94	$94	$94	$94
Traffic Signals	$20	$16	$16	$16	$16	$16	$16	$16	$16	$16	$16
Signs	$11	$39	$18	$32	$32	$32	$32	$32	$32	$32	$32
Sign Supports	$5	$1	$4	$4	$4	$4	$4	$4	$4	$4	$4
Pavement Markings	$5	$8	$8	$8	$8	$8	$8	$8	$8	$8	$8
Highway Buildings**		$60	$72	$47	$95	$44	$33	$30	$55	$55	$55
Total	**$607**	**$652**	**$672**	**$576**	**$624**	**$573**	**$562**	**$559**	**$584**	**$584**	**$584**

* Pavement funding shown includes maintenance resurfacing and pavement preservation.
** Buildings not included in 2018 TAMP.

Table 7-2 shows estimated TAM funding uses for CTDOT-maintained bridges by FHWA work type.

Table 7-2. Estimated TAM Funding Uses for CTDOT-Maintained Bridges

	Value by Fiscal Year ($M) in 2018 dollars										
	Actual	Planned			Estimated						
Description	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Bridge											
Initial Construction	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Maintenance	$17	$20	$20	$20	$20	$20	$20	$20	$20	$20	$20
Preservation	$2	$5	$5	$5	$5	$5	$5	$5	$5	$5	$5
Rehabilitation	$370	$284	$342	$280	$280	$280	$280	$280	$280	$280	$280
Reconstruction (Replacement)	$83	$125	$93	$70	$70	$70	$70	$70	$70	$70	$70
Total	**$472**	**$434**	**$460**	**$375**	**$375**	**$375**	**$375**	**$375**	**$375**	**$375**	**$375**

Table 7-3 shows estimated TAM funding uses for CTDOT-maintained pavement by FHWA work type. At this time, CTDOT only included maintenance and preservation work within the asset management program for pavements. Since rehabilitation and reconstruction projects often include work on several assets, these projects were not included in the financial plan of this TAMP but are roughly quantified in the last row of Table 7-3. CTDOT is working to better quantify the work and costs associated with each asset under a multi-asset project.

Table 7-3. Estimated TAM Funding Uses for CTDOT-Maintained Pavement

	Value by Fiscal Year ($M) in 2018 dollars										
	Actual	Planned			Estimated						
Description	**2018**	**2019**	**2020**	**2021**	**2022**	**2023**	**2024**	**2025**	**2026**	**2027**	**2028**
Pavement											
Initial Construction	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Maintenance	$76	$69	$60	$56	$51	$47	$43	$38	$34	$29	$25
Preservation	$18	$25	$34	$38	$43	$47	$51	$56	$60	$65	$69
Rehabilitation	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Reconstruction (Replacement)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Total	**$94**	**$94**	**$94**	**$94**	**$94**	**$94**	**$94**	**$94**	**$94**	**$94**	**$94**
Project work recommended outside of the pavement analysis:	$2	$83	$37	$110	$24	$31	$42	$48	$60	n/a	n/a

Table 7-4 shows estimated TAM funding uses for CTDOT-maintained traffic signals by FHWA work type.

Table 7-4. Estimated TAM Funding Uses for CTDOT-Maintained Traffic Signals

	Value by Fiscal Year ($M) in 2018 dollars										
	Actual	Planned			Estimated						
Description	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Traffic Signal											
Initial Construction	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Maintenance	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Preservation	$1	$1	$1	$1	$1	$1	$1	$1	$1	$1	$1
Rehabilitation	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Reconstruction (Replacement)	$19	$15	$15	$15	$15	$15	$15	$15	$15	$15	$15
Total	**$20**	**$16**	**$16**	**$16**	**$16**	**$16**	**$16**	**$16**	**$16**	**$16**	**$16**

Table 7-5 shows estimated TAM funding uses for CTDOT-maintained signs by FHWA work type

Table 7-5. Estimated TAM Funding Uses for CTDOT-Maintained Signs

	Value by Fiscal Year ($M) in 2018 dollars										
	Actual	Planned			Estimated						
Description	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Signs											
Initial Construction	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Maintenance	$2	$2	$2	$2	$2	$2	$2	$2	$2	$2	$2
Preservation	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Rehabilitation	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Reconstruction (Replacement)	$9	$37	$16	$30	$30	$30	$30	$30	$30	$30	$30
Total	**$11**	**$39**	**$18**	**$32**	**$32**	**$32**	**$32**	**$32**	**$32**	**$32**	**$32**

Table 7-6 shows estimated TAM funding uses for CTDOT-maintained sign supports by FHWA work type.

Table 7-6. Estimated TAM Funding Uses for CTDOT-Maintained Sign Supports

	Value by Fiscal Year ($M) in 2018 dollars										
	Actual	Planned			Estimated						
Description	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Sign Supports											
Initial Construction	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Maintenance	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Preservation	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Rehabilitation	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Reconstruction (Replacement)	$5.1	$1	$4	$4	$4	$4	$4	$4	$4	$4	$4
Total	**$5**	**$1**	**$4**	**$4**	**$4**	**$4**	**$4**	**$4**	**$4**	**$4**	**$4**

Table 7-7 shows estimated TAM funding uses for CTDOT-maintained pavement markings by FHWA work type.

Table 7-7. Estimated TAM Funding Uses for CTDOT-Maintained Pavement Markings

	Value by Fiscal Year ($M) in 2018 dollars										
	Actual	Planned			Estimated						
Description	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Pavement Markings											
Initial Construction	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Maintenance	$0.7	$1	$1	$1	$1	$1	$1	$1	$1	$1	$1
Preservation	$4	$6	$6	$6	$6	$6	$6	$6	$6	$6	$6
Rehabilitation	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Reconstruction (Replacement)	$0.4	$1	$1	$1	$1	$1	$1	$1	$1	$1	$1
Total	**$5**	**$8**	**$8**	**$8**	**$8**	**$8**	**$8**	**$8**	**$8**	**$8**	**$8**

Table 7-8 shows estimated TAM funding uses for CTDOT-maintained highway buildings by FHWA work type.

Table 7-8. Estimated TAM Funding Uses for CTDOT-Maintained Highway Buildings

	Value by Fiscal Year ($M) in 2018 dollars										
	Actual	Planned			Estimated						
Description	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Highway Buildings											
Initial Construction		$0	$0	$0.15	$0	$0	$0	$0	$0	$0	$0
Maintenance		$0.5	$0.5	$0.5	$0.5	$0.5	$0.5	$0.5	$0.5	$0.5	$0.5
Preservation		$21	$19	$20	$14	$19	$14	$15	$20	$20	$20
Rehabilitation		$20	$4	$0.1	$0.1	$1	$8	$14	$9	$9	$9
Reconstruction (Replacement)		$18	$48	$26	$80	$23	$10	$0.1	$25	$25	$25
Total		**$60**	**$72**	**$47**	**$95**	**$44**	**$33**	**$30**	**$55**	**$55**	**$55**

NHS Assets

CTDOT is in the process of implementing a method to track estimated costs by assets but the breakout for NHS assets is not yet tracked as a separate item. Funding estimates for NHS bridges were extracted from the programmed work through 2020. For years beyond 2020, funding estimates for NHS bridge work types are calculated using a percentage of each work type to the total cost on the entire CTDOT-maintained network.

For pavement, CTDOT extracted the expected funding on NHS pavements from the programmed work through 2020. For years beyond 2020, the TAMP assumes the recommended actions in dTIMS and uses those funding values as the estimated allotments.

A summary of estimated NHS asset management funding uses is shown in Table 7-9.

Table 7-9. Summary of Estimated NHS Asset Management Funding Uses

	Value by Fiscal Year ($M) in 2018 dollars										
	Actual	Planned			Estimated						
Description	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
NHS Bridge	$342	$106	$216	$189	$236	$222	$253	$158	$282	$299	$299
NHS Pavement	$57	$49	$55	$65	$59	$60	$62	$63	$65	$72	$77
Total	**$399**	**$155**	**$271**	**$254**	**$295**	**$282**	**$315**	**$221**	**$347**	**$371**	**$376**

Table 7-10 shows estimated TAM funding uses for NHS bridge by FHWA work type.

Table 7-10. Estimated TAM Funding Uses for NHS Bridge

	Value by Fiscal Year ($M) in 2018 dollars										
	Actual	Planned			Estimated						
Description	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Bridge											
Initial Construction	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Maintenance	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Preservation	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Rehabilitation	$312	$106	$193	$151	$189	$178	$202	$126	$226	$239	$239
Reconstruction (Replacement)	$30	$0	$23	$38	$47	$44	$51	$32	$56	$60	$60
Total	**$342**	**$106**	**$216**	**$189**	**$236**	**$222**	**$253**	**$158**	**$282**	**$299**	**$299**

Table 7-11 shows estimated TAM funding uses for NHS pavement by FHWA work type.

Table 7-11. Estimated TAM Funding Uses for NHS Pavement

	Value by Fiscal Year ($M) in 2018 dollars										
	Actual	Planned			Estimated						
Description	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Pavement											
Initial Construction	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Maintenance	$43	$34	$22	$29	$18	$15	$13	$23	$13	$17	$12
Preservation	$14	$15	$33	$36	$41	$45	$49	$40	$52	$55	$65
Rehabilitation	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Reconstruction (Replacement)	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Total	**$57**	**$49**	**$55**	**$65**	**$59**	**$60**	**$62**	**$63**	**$65**	**$72**	**$77**

Asset Management Funding Sources

This section shows CTDOT's projected funding for asset management purposes over the 10-year period of the TAMP, organized by source. Table 7-12 provides a high level summary of funding sources for asset management. Years 2019-2021 are based on expected funding. Years 2022-2028 are estimated values applied to each of the years.

Table 7-12. Summary of Funding Sources for the TAMP's Seven Assets

	Value by State Fiscal Year ($M) in 2018 dollars										
	Actual	Planned			Estimated						
Description	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Federal	$248	$182	$306	$223	$243	$243	$243	$243	$243	$243	$243
State	$351	$458	$340	$351	$371	$320	$309	$306	$331	$331	$331
Non Federal / Non State	$8	$12	$26	$2	$10	$10	$10	$10	$10	$10	$10
Total	**$607**	**$652**	**$672**	**$576**	**$624**	**$573**	**$562**	**$559**	**$584**	**$584**	**$584**

Federal Funds

Federal funding for transportation is provided through the Highway Trust Fund (HTF), which is funded by the federal gas tax supplemented with additional revenues other funds. For a detailed explanation of federal funding support, refer to *Funding Federal-Aid Highways*[1], a 2017 publication by FHWA.

Typically, Congress authorizes federal transportation funding in advance of the states' capital planning process. Once authorized, funds are apportioned or allocated to states through federal programs. Apportioned funds must then be obligated, or committed, to specific projects, and actually expended, before the HTF reimburses money to the state.

The expected federal funding for asset management at CTDOT by source is summarized in Table 7-12. CTDOT receives federal highway funding for asset management, with the exception of highway buildings, which are not federally eligible. The two primary programs for highway federal funds are the National Highway Performance Program (NHPP) and the Surface Transportation Block Grant (STBG). The NHPP represents the single largest category of federal revenues for Connecticut and the majority of funding for the state's highway and bridge assets. The NHPP was created to provide support for the NHS and to ensure that federal-aid highway investments help support progress towards NHS performance targets.

The Surface Transportation Program (STP) was renamed the STBG program by the FAST Act. This program provides flexible funding for state and local transportation improvements and preservation. Portions of the STBG fall within the statewide discretion of CTDOT and therefore are considered eligible for asset management spending. In addition to the NHPP and the STBG, CTDOT uses other federal sources such as Congestion Mitigation and Air Quality (CMAQ) that are directed to asset management activities and are represented in Table 7-13 as Other Federal Programs. In addition to the federal funding sources shown in Table 7-13, CTDOT also typically receives redistribution of additional obligational authority after fully obligating its federal program.

National Highway Performance Program (NHPP)

The NHPP provides funding to support the condition and performance of the NHS and to support progress towards federal requirements and state goals.

1 FHWA, "Funding Federal-Aid Highways", January 2017, https://www.fhwa.dot.gov/policy/olsp/fundingfederalaid/FFAH_2017.pdf

Table 7-13. Summary of Federal Funding Sources for the TAMP's Six Federally Eligible Assets

	Value by Fiscal Year ($M) in 2018 dollars.										
	Actual	Planned			Estimated						
Description	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
NHPP	$58	$31	$56	$96	$48	$48	$48	$48	$48	$48	$48
STBG	$67	$35	$117	$48	$72	$72	$72	$72	$72	$72	$72
Other Federal Programs	$123	$116	$133	$79	$123	$123	$123	$123	$123	$123	$123
Total	**$248**	**$182**	**$306**	**$223**	**$243**	**$243**	**$243**	**$243**	**$243**	**$243**	**$243**

State Funds

State funding for transportation is provided through the STF, which is primarily funded with state gas taxes, new car sales tax, sales and use tax, driver license fees, and motor vehicle registration fees. Connecticut sells bonds to finance transportation projects and pays the debt service using revenue from the STF.

The expected state funding for asset management by funding program is summarized in Table 7-14. Prior to 2008, State Funds were traditionally used to match federal funds and pay for CTDOT's maintenance program and other non-federally eligible programs. CTDOT moved to a constrained state funding program in 2008 and readjusted the allocation of state funding to now include SOGR work specific to asset classes. CTDOT has been successful in demonstrating the need for state match to the federal program that supports preservation, but in recent years new programs have provided additional funding for SOGR work.

Fix-it-First is a 100% state program comprising two sub-programs: one for bridges and one for roads. Fix-it-First, established in July 2007, has increased TAM funding available for preserving Connecticut's transportation infrastructure.

Table 7-14. Summary of State Funding Sources for the TAMP's Seven Assets

	Value by Fiscal Year ($M) in 2018 dollars										
	Actual	Planned			Estimated						
Description	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
State Funds	$250	$329	$163	$209	$233	$182	$171	$168	$193	$193	$193
Fix It First *(Bridge/Road)*	$101	$129	$177	$142	$138	$138	$138	$138	$138	$138	$138
Total	**$351**	**$458**	**$340**	**$351**	**$371**	**$320**	**$309**	**$306**	**$331**	**$331**	**$331**

Asset Management Funding Needs

The financial plan in this TAMP only includes the currently available annual funding for the seven assets. In order to reach and maintain the State of Good Repair goals set for each asset, the annual funding needed is over $1.3 billion, an increase of $790 million. Table 7-15 shows the breakdown of funding needs by each of the seven TAMP assets. A rough estimate of an additional $135 million is needed for additional assets that have not yet been included in the TAMP bringing the total estimated annual SOGR Goal funding needed to approximately $1.5 billion.

Table 7-15. State of Good Repair Funding Needs (Highway Only)

Value by Fiscal Year ($M) in 2018 dollars		
Asset	Current Average Annual Funding	Estimated Annual Funded Needed to Achieve SOGR Goal
Bridge	$375	$650
Pavement	$94	$475
Traffic Signals	$16	$45
Signs	$30	$53
Sign Supports	$4	$10
Pavement Markings	$8	$25
Highway Buildings	$55	$110*
2019 TAMP Assets Subtotal	$582	$1,368

Value by Fiscal Year ($M) in 2018 dollars		
Asset	**Current Average Annual Funding**	**Estimated Annual Funded Needed to Achieve SOGR Goal**
Additional Assets**	—	$135
Total	**$582**	**$1,503*** **

*Rough estimate – projections have not been completed
**Additional assets include lighting & illumination, guiderail, retaining walls, fleet, ITS, drainage, sidewalks, curb ramps, and noise walls.
***Highway only. Public Transportation assets require another $500 million, bringing the total funding need to $2 billion annually to achieve SOGR for Highway and Public Transportation assets.

Asset Valuation

FHWA requires state DOTs to include an estimate of asset value for NHS pavements and bridges. The financial plan process must also calculate the investment needed to maintain asset value. FHWA has acknowledged that there are many ways to estimate asset value and are leaving it to State DOT's to select their methodology. FHWA has suggested that GASB 34 can be utilized for the asset valuation. At CTDOT, GASB 34 calculates the value of its road and bridge infrastructure to be approximately 8.3 billion dollars. This total value does not appear to be a good representation of the value of our infrastructure when considering that the cost for reconstructing one major interstate interchange is estimated to be nearly 4 billion dollars.

For purposes of this TAMP, CTDOT chose to take a replacement value approach to calculate asset valuation. The asset valuation uses the asset inventory unit multiplied by the unit replacement cost and the non-asset related project cost factor that results in the replacement value. At this time, non-asset related construction costs assume a 1.0 factor; however, it is expected that this factor will be refined for each asset in future TAMPs to account for costs related to design, rights of way, project administration, utilities, maintenance and protection of traffic, etc. The asset values for all NHS bridges and pavements is summarized in Table 7-16. The replacement value is equal to the asset valuation for the asset. Unfortunately, this method of asset valuation does not reflect changes in asset condition. CTDOT is using this asset valuation data as a means to fulfill federal requirements and communicate the importance of investment relative to the magnitude of the value of the assets.

Table 7-16. NHS Asset Valuation Estimate

Asset	Inventory (unit)	Unit Replacement Cost	Non-Asset Related Project Cost Factor (Under Review)	Asset Valuation (Replacement Value)
NHS Bridge	26,200,666 Square Feet	$430	1.0	$11,266,286,380
NHS Pavement	48,296,000 Square Yards	$99	1.0	$4,781,304,000

The asset values for all CTDOT-maintained assets included in the TAMP is summarized in Table 7-17.

Table 7-17. CTDOT-Maintained Asset Valuation Estimate

Asset	Inventory (unit)	Unit Replacement Cost	Non-Asset Related Project Cost Factor (Under Review)	Asset Valuation (Replacement Value)
Bridge (Includes NHS)	34,553,193 Square Feet	$430	1.0	$14,857,872,990
Pavement (Includes NHS)	99,000,000 Square Yards	$99	1.0	$9,801,000,000
Signals				$673,720,000
Traffic Signals	2,547 Each	$260,000	1.0	$662,220,000
Overhead Flashing Beacons	230 Each	$50,000	1.0	$11,500,000
Signs				$236,500,000
Sheet Aluminum	1,582,857 SF	$35	1.0	$55,400,000
Extruded Aluminum	50,000 Each	Total of Component Unit Costs	1.0	$181,100,000
Sign Supports				$263,970,000
Cantilever	643 Each	$140,000	1.0	$90,020,000
Full Span	617 Each	$250,000	1.0	$154,250,000
Bridge Mount	394 Each	$50,000	1.0	$19,700,000
Pavement Markings				$89,200,000
Lines	163,000,000 Linear Feet	$0.50 (epoxy)	1.0	$81,500,000
Symbols	2,200,000 Square Feet	$3.50 (epoxy)	1.0	$7,700,000

Asset	Inventory (unit)	Unit Replacement Cost	Non-Asset Related Project Cost Factor (Under Review)	Asset Valuation (Replacement Value)
Highway Buildings				$858,000,000
Tier 1	103 Each	$6,550,000 (average cost)	1.0	$675,000,000
Tier 2	100 Each	$1,680,000 (average cost)	1.0	$168,000,000
Tier 3	213 Each	$70,400 (average cost)	1.0	$15,000,000
TOTAL VALUATION				$26,780,262,990

The TAMP financial plan paints a picture of available funding for asset management, expected allotments on asset management, and the value of the assets included in the TAMP. CTDOT currently receives funding for asset management activities in nearly equal proportions from state and federal sources. CTDOT has programmed work for the seven assets in the TAMP and has a plan to fund asset management activities over the 10-year period of the TAMP. It is envisioned that these funds will be allotted according to the maturing asset management practices and investment strategies at CTDOT.

This page intentionally left blank

Investment Strategies

Asset management investment strategies communicate CTDOT's investment approach to achieve asset performance targets and make progress towards federal requirements and state goals given available funding levels. These investment strategies reflect CTDOT's TAM priorities.

CHAPTER 8

Connecticut Department of Transportation
TRANSPORTATION ASSET MANAGEMENT PLAN

Overview

CTDOT's mission for transportation is to provide a safe and efficient intermodal transportation network that improves the quality of life and promotes economic vitality for the State and the region. Asset management is a process that CTDOT is embracing to help fulfill this mission. The TAMP is documenting asset management practices and serves as a tool to aid investment decision-making.

The investment strategies represent an approach to applying the resources described in the Chapter 7 Financial Plan, using the treatment strategies described in Chapter 5 Life Cycle Planning, managing the risks presented in Chapter 6 Risk Management, and closing the performance gaps detailed in Chapter 4 Objectives and Performance. The strategies in this TAMP represent CTDOT's asset management investment philosophy, showing investment priorities.

Federal Legislative Context

FHWA requires that states include investment strategies as part of their TAMP. FHWA defines investment strategies as "a set of strategies that results from evaluating various levels of funding to achieve State DOT targets for asset condition and system performance effectiveness at a minimum practicable cost while managing risks." The TAMP must discuss how the investment strategies make progress towards achieving a desired SOGR over the life cycle of the assets in the plan, improving or preserving asset condition, achieving 2- and 4-year state DOT targets for NHS asset condition and performance, and achieving national performance goals. "Desired SOGR" means the desired asset condition over the 10-year period of the TAMP, also referred to as 10-year desired SOGR in this plan.

FHWA also requires that states establish a process for developing investment strategies as part of the TAMP. Specific requirements for the process are listed below.

Investment Strategies Process Requirements

The process must describe how investment strategies are influenced, at a minimum, by:

- Performance gap analysis (Chapter 4)
- Life cycle planning (Chapter 5)
- Risk management analysis (Chapter 6)
- Anticipated available funding and estimated cost of future work (Chapter 7)

Overall Strategy

The asset management processes support and contribute to the investment strategies that guide resource allocation. Investment strategies are what make the technical details meaningful at a transportation network level and help communicate Connecticut's message of maintaining a SOGR and making progress towards federal requirements and state goals. CTDOT follows a series of investment strategies that guide resource allocation, including an investment philosophy of maintaining a SOGR, a focus on safety, and developing Complete Streets.

The investment strategies are driven by performance targets and projections, life cycle planning, risk management analysis, and anticipated funding and cost of future work described in other chapters of the TAMP. The performance gap analysis, enabled by life cycle planning, helps define the investment needs of the system. Life cycle plans use the estimated cost of future work to establish network level strategies for managing assets. Available funding is a constraint for performance modeling, allowing Connecticut to more accurately predict future scenarios. Risk management adds to the analysis, adjusting potential outcomes based on positive and negative risks. These asset management processes are required in the TAMP and contribute to the investment strategies.

CTDOT's primary investment strategy for TAM is to invest in assets to maintain a SOGR. This strategy focuses on using a statewide approach to preserve and maintain CTDOT's transportation assets in such a manner that sustains the asset condition in a SOGR and extends the asset life until replacement is warranted. CTDOT is moving towards a proactive, preservation-first strategy. As CTDOT continues to transition towards this strategy, the financial demand to address reactive, worst-first needs is expected to decrease; however, it is

recognized that there will still be situations when a worst-first response is appropriate.

CTDOT anticipates two challenges to a SOGR asset management investment strategy. The first is that in order to most effectively maintain SOGR for assets in the TAMP, CTDOT must implement cross-asset optimization. As CTDOT strives to meet minimum federal requirements and make progress towards state goals, cross-asset optimization will be vital to ensure that all asset categories receive due attention. This involves balancing and prioritizing spending across all assets, including bus and rail Public Transportation assets. The second challenge is that CTDOT must ensure that there is adequate, skilled staff to maintain all of CTDOT's assets.

Asset-Specific Strategies

CTDOT strives to run a balanced transportation network with investments occurring where needed for preservation and for safe operation of its transportation network. The investment strategies for the assets included in the TAMP are developed at a statewide level.

Bridge

CTDOT has been contending with the combination of aging infrastructure and resource constraints. Recent improvements in network-level bridge condition can be attributed to the following bridge-specific investment strategies.

Bridge-Specific Investment Strategies

- Focus on maintenance activities that directly improve asset performance
- Focus on planning and programming future work on major bridges
- Focus on programming NHS bridges in poor condition
- Constructing low maintenance bridges (i.e. jointless bridges, better materials)

In 2010, CTDOT began to focus on maintenance activities and SOGR operations to reduce a growing backlog of bridge maintenance needs identified during the biennial inspection program. In 2014, CTDOT took a forward-looking approach to the 60 major bridges and setup individual rehabilitation or replacement schedules for each of the major bridges for the next 10 years with the intent to update these schedules by the end of the year. Additionally, for all state-maintained bridges, CTDOT's Bridge Management Group has been

programming work since its inception in 2011 through quarterly coordination meetings with engineering and maintenance staff to determine if a capital project is needed or if deficiencies can be addressed through Bridge Maintenance in the Office of Maintenance Operations. In 2015, following the proposed federal bridge performance measures, CTDOT began to focus on designating and prioritizing bridge projects addressing NHS bridges in poor condition in the Capital Program to safeguard their schedules from delays. CTDOT is pursuing technological advancements that promise to extend the life of the bridge and reduce maintenance. CTDOT seeks to design low maintenance bridges by reducing the number of joints or by designing a bridge with no joints, and by utilizing corrosion resistant materials and durable concrete. In the Fall of 2018, CTDOT introduced a penetrating sealer protective spray compound to reduce deterioration and extend the life of parapets. Additionally, just recently, low permeability concrete is now a standard for bridge decks and parapets on all future construction projects.

Pavement

CTDOT has several pavement-specific investment strategies listed below.

Pavement-Specific Investment Strategies

- Continue efforts towards a single pavement management system for modeling and programming treatments
- Increase systematic preservation of good condition pavements
- Incorporate additional preservation treatment options
- Increase rehabilitation and reconstruction of pavement sections

Management and investment in pavement assets is increasingly being guided by the CTDOT PMS in addition to existing methods and engineering judgment. Maintenance is now using the condition data provided by Pavement Management to aid in selection of their resurfacing projects. For the first time, CTDOT has been able to model the maintenance resurfacing treatment in dTIMS allowing future analyses to better select treatments that will most likely increase systematic preservation. The pavement preservation program can expand further as additional preservation treatment options are incorporated. An increase of rehabilitation and reconstruction of pavement sections will gradually eliminate the backlog of this type of work, leading to the subsequent preservation of these pavements in the future.

Traffic Signals

CTDOT's traffic signal-specific investment strategies are listed below.

Traffic Signal-Specific Investment Strategies

- Continue efforts to develop and implement a Traffic Signal Management Plan (TSMP)
- Continue planning traffic signal replacement projects based on projected age
- Continue efforts to develop traffic signal component based life cycle planning
- Seek to improve traffic operations through enhanced signal control systems

Development of a TSMP will help guide investment in traffic signal asset needs in the areas of design, maintenance and operations to improve safety, mobility, state of good repair and efficiency. In the meantime, CTDOT will primarily continue to replace traffic signals based on age until a component based life cycle approach is developed and implemented.

Signs

CTDOT's sign-specific investment strategies are listed below.

Sign-Specific Investment Strategies

- Continue planning sign replacement projects based on projected age
- Continue efforts towards replacing signs deemed poor based on nighttime visual inspections.

CTDOT strives to maintain investment in the sign asset. Under budget constraints in the past, there was often a tendency to defer sign replacement projects. Currently, sign replacement projects are based on either projected age or nighttime visual inspections.

Sign Supports

CTDOT's sign support-specific investment strategies are listed below.

Sign Support-Specific Investment Strategies

- Continue programming sign support projects based on poor or overstressed conditions
- Continue efforts to reduce the number of sign supports whenever possible by removing and replacing with signs mounted along the side of the road.
- Increase efforts to maintain sign panel sizes, by reducing the legend spacing, on sign supports in good condition in order to minimize the number of unnecessary replacements.
- Overdesign sign supports with a larger factor of safety to accommodate larger sign panel requirements anticipated in future Manual on Uniform Traffic Control Devices (MUTCD) in order to minimize the number of unnecessary replacements.

CTDOT continues to invest in sign support replacement projects determined using asset condition. In 2010, CTDOT began making a conscious effort to remove Bridge mounted sign supports where possible and replace them with side mounted or other overhead mounted structures during sign replacement projects to reduce loading on bridges and to allow for easier inspection of the supports and bridges. This provided reduced inspection costs and additional safety benefits. In 2017, in an effort to reduce the number of sign supports in good condition that were being replaced due to increased panel needs, CTDOT received approval to reduce the legend spacing on sign panels to be able to continue to utilize existing sign supports in good condition. In 2018, in an additional effort to reduce the number of sign supports in good condition needing replacement due to increased sign panels, CTDOT began overdesigning sign supports with a slightly larger factor of safety to accommodate for larger sign panel requirements anticipated in future Manual on Uniform Traffic Control Devices (MUTCD).

Pavement Markings

CTDOT's pavement marking-specific investment strategies are listed below.

Pavement Marking-Specific Investment Strategies

- Continue efforts towards developing a pavement markings replacement program to obtain a State of Good Repair across the network
- Continue to invest in epoxy pavement markings
- Consider increasing investments in grooved epoxy markings where applicable

CTDOT strives to maintain investment in pavement markings through the development of a pavement markings program that maintains this asset in a State of Good Repair. Pavement markings have a very short life cycle with 1 year for water-based markings, 3 years for traditional epoxy markings, and up to 6 years for grooved epoxy markings; therefore, this short life requires a timely and continuous replacement program. Investment in epoxy and grooved epoxy pavement marking programs is important to maintain a SOGR.

Highway Buildings

CTDOT's highway buildings-specific investment strategies are listed below.

Highway Buildings-Specific Investment Strategies

- Demolish obsolete highway buildings to eliminate safety hazards
- Meet regulatory requirements associated with petroleum and chloride storage tanks
- Focus on maintenance activities that directly improve asset performance
- Focus on SOGR preservation projects to extend asset life cycle
- Continue to refine the Highway Building program in order to achieve and maintain a SOGR across all building tiers
- Acquire a Facilities Management System software

CTDOT invests in its Highway Buildings through several programs:

- The Facilities Design Unit within the Bureau of Engineering and Construction manages the Department's major capital program and is

responsible for constructing, preserving, rehabilitating and reconstructing highway buildings.

- The Environmental Compliance Unit within the Bureau of Engineering and Construction jointly manages the underground storage tank and Salt Shed Program with Facilities Design.
- The Office of Property and Facilities Services within the Bureau of Finance and Administration manages the minor capital program which addresses routine maintenance and emergency repairs.

Coordination meetings are held annually with Department stakeholders and Engineering Management to discuss building priorities based on the above investment strategies. Historically, CTDOT has focused investments on maintenance facilities and salt sheds. With the implementation of an asset management strategy for buildings, CTDOT has come to realize that all building tiers require a level of investment in order to achieve and maintain a State of Good Repair. As such, rest areas/weigh stations, specialty buildings, and storage and portable office structures have become an added focus of the major building capital program.

Summary

CTDOT's overarching investment strategy for TAM is to invest in assets to maintain a SOGR. More narrowly, CTDOT follows a number of asset-specific investment strategies that guide resource allocation. These strategies are driven by the asset management processes detailed in this TAMP, including life cycle planning, performance management, risk management, and financial planning.

This page intentionally left blank

Process Improvements

TAM is a series of processes intended to help preserve asset condition over the life of the asset at minimal cost. Practicing TAM means continuous improvement. Process improvements need to be documented and reevaluated on an ongoing basis to be effective in advancing TAM. CTDOT is striving to improve processes in the areas of asset data management, asset performance, modeling capabilities, risk management, and funding allocation for asset management purposes.

CHAPTER 9

Connecticut Department of Transportation
TRANSPORTATION ASSET MANAGEMENT PLAN

Overview

This chapter supplements the discussion of current asset management practices in Connecticut with identifying key process improvements that will serve as a guide to advance CTDOT TAM practices. The TAMP is a living document that will evolve to reflect changing TAM practices and processes at CTDOT.

Federal Legislative Context

FHWA recommends that state DOTs conduct periodic self-assessments of asset management capabilities. As written in the TAMP Final Rule, "based on the results of the self- assessment, the State DOT should conduct a gap analysis to determine which areas of its asset management process require improvement."

TAM Process Improvements

Throughout the TAMP development, process improvements were identified. The improvements suggested in this chapter include key ideas generated by participants throughout the Department. These represent CTDOT's next steps in its implementation of TAM.

Asset Management Group

Lead – TAM Implementation Lead

- Apply the asset management development process for additional assets to incorporate into future TAMPs.
- Establish a Standard Operating Procedure for all asset modeling with specified scenario funding levels, time periods based on asset life cycle and consistent inputs for inflation and discount rates with defined scheduling.
- Establish a Standard Operating Procedure for the calculation of asset valuation. Also improve the process by developing and incorporating a depreciation methodology based on condition and age into the asset valuation for each asset.
- Complete development of the Project Asset Form initiative to identify and confirm assets, work types, work codes and costs by asset throughout the project milestones.
- Correlate project selection process with network performance by asset.
- Explore and implement methodologies using cross asset allocation to improve project selection and prioritization.
- Continue to formalize and improve the risk management process.
    - Review and assess TAM Program risks annually

    - Further develop methods to track mitigation strategies
    - Identify key data needed to better assess risk
- Continue development of processes for compliance with 'Part 667,' Summary of Transportation Assets Repeatedly Damaged by Emergency Events.'
    - Develop geospatial tracking of assets damaged by emergency events to assist in reporting of requirements for Part 667.
- Identify opportunities for alignment of TAMP with other CTDOT plans as applicable.
    - An initial area of emphasis will be to develop a unified plan for highway and transit assets.
- Consider other national goal areas, in particular freight, in regards to the TAMP investment strategies.
- Develop and issue CTDOT Policy Statement on Asset Management.
- Formalize TAM Steering Committee into a CTDOT Standing Committee.
- Continue to improve data collection, and upgrade systems and revise procedures to monitor and track asset condition.
- Consider aligning the TAMP with the Americans with Disabilities Act (ADA) Transition Plan for the following assets/asset components: pedestrian buttons (Traffic Signals asset), sidewalks and curb ramps (Highway Buildings, Sidewalk, and Curb Ramp assets)
- Develop a standardized template to collect annual asset management data updates from asset stewards.
- Develop an action plan to assign, track and monitor process improvements identified in this chapter.

All Assets

Lead –Asset Stewards

- Coordinate implementation of Data Quality Standards.
- Continue to refine models and proposed treatment options.
- Verify field performance of treatment life expectancies to incorporate into models in order to improve forecasting of asset deterioration.
- Track planned and completed work by FHWA work types and CTDOT work codes along with associated costs to support the TAMP financial plan and investment strategies.

Bridges

Lead – Bridges Asset Steward

- Review and program feasible treatments recommended by the bridge analysis model to prioritize work and improve network performance.

- Implement proactive preservation programs for painting, joint replacement, and rinsing of bridges.
- Develop and implement a process to address deteriorated elements in addition to the Capital Project process.
- Continue to refine analysis modeling abilities.
- Use more durable materials and protect older elements to slow deterioration.

Pavements

Lead – Pavements Asset Steward

- Develop a comprehensive and consolidated 3-year program identifying Preservation and Maintenance Resurfacing projects by year, to be updated annually.
- Develop a 10-year Reconstruction and Rehabilitation program identifying projects by year, to be updated annually.
- Implement Pavement Action Plan recommendations pertinent to asset management including:
    - Refine pavement analysis methodology
    - Improve tracking of paving work
    - Sync pavement sections with LRS
- Continue to refine analysis modeling abilities.

Traffic Signals

Lead – Traffic Signals Asset Steward

- Complete development and implement a component and condition based approach to managing traffic signals.
- Improve capability of Traffic Signals Database to include an additional level of detail for signal component installation years as required for tracking and managing life cycle replacement of signal components for asset management purposes.
- Complete development and implement CTDOT's TSMP.

Signs

Lead – Signs Asset Steward

- Consistently capture date and sign attributes at Construction and Maintenance installations.
- Update initial 2013 sign data to reflect current inventory.
- Implement CAD to GIS solution upon successful completion of pilots.

Sign Supports

Lead – Sign Supports Asset Steward

- Maintain inspection cycle.
- Complete development of condition-based deterioration modeling
- Complete process in the CPD to allow for tagging of sign supports as an asset in projects.

Pavement Markings

Lead – Pavement Markings Asset Steward

- Develop a consistent network investment program cycle
- Improve methods to track and maintain pavement marking data utilizing mobile devices for better lifecycle management.
- Seek alternative contracting methods including performance based.
- Investigate impacts of carbide snow plow blades on the life expectancy of pavement markings.

Highway Buildings

Lead – Highway Buildings Asset Steward

- Refine the overall building scores that were derived from the 2017/2018 Building Inspection Program to more accurately reflect building condition SOGR ratings by:
    - Reevaluating the impact the Site forms have on Tier 3 building scores since Tier 3 projects don't receive site improvements like Tier 1 and Tier 2 projects
    - Reevaluating the impact the weight factor has on Tier 2 and Tier 3 building ratings since Tier 2 & 3 buildings only have a small portion of the components that Tier 1 buildings have
    - Revaluating overall building scores as they appear slightly higher than anticipated, but still provide an accurate SOGR ranking of the inventory
- Refine the building inspection report formats for specific building types to include only the pertinent data fields for greater efficiency
- Implement a Facilities Management System that can track and update asset inventory and condition; issue and track electronic work orders, and forecast performance and treatments using deterioration modeling.

Engineering

- Integrate asset management in capital planning and programming.
- Implement asset data updates associated with capital projects through the CAD to GIS initiative and the Project Asset Form initiative to

identify and confirm assets, work types, work codes and costs by asset throughout the project milestones.

- Implement new technology methods, which extend asset life cycles.

Construction

- Relate work items to asset identification in SiteManager where appropriate to update inventory and condition and capture needed costs for asset life cycle management.

Maintenance

- Relate work items to asset identification in a MMS where appropriate to update inventory and condition and capture needed costs for asset life cycle management.
- Implement Asset Management positions responsible for maintaining the asset inventories at each district for all work accomplished through Maintenance and also under encroachment permit projects.

Finance

- Coordinate financial management of capital planning with asset management priorities.

Planning

- Support locating assets on the LRS.
- Coordination of performance measures with MPOs.

Technology Services

- Provide necessary resources (hardware, software, communications, technical) to support a data-driven asset management approach to our transportation system.
- Provide server capabilities to run deterioration modeling and life cycle analyses.
- Continue to support and implement the TED to meet the needs of asset management.

Improved Processes

The following process improvements identified in the 2018 TAMP have been integrated into the TAM process:

- Developed risk mitigation and tracking plans for all assets.
- Developed performance forecasting capabilities for sign supports.

- Updated sign support inventory with backlog of sign support installations and removals.

Progress has been made on implementing asset management processes for these additional assets:

- Lighting & Illumination has been progressing through the steps of the TAMP building process detailed in Figure 1-4 of Chapter 1 and is currently on the Asset Fact Sheet step.
- Retaining Walls and ITS asset stewards have proposed SOGR definitions and summarized the asset inventory and conditions as the first steps in the process.
- Fleet, Guiderail, Drainage, Noise Walls, Sidewalks and Curb Ramps are getting started with defining a SOGR.

This page intentionally left blank

Appendix A. Asset Management System Memorandum from Commissioner dated February 26, 2013

STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION

subject: **Asset Management System**

m e m o r a n d u m

date: February 26, 2013

to: Mr. Thomas Harley
Mr. Michael Lonergan
Mr. Thomas Maziarz
Mr. Eugene Colonese
Mr. Michael Sanders
Mr. Robert Card

from: James Redeker
Commissioner

I am committing this agency to develop and implement an Asset Management System involving all modes of our transportation network.

Certain foundational elements of an Asset Management System such as performance metrics and condition data collection have been in use and under development for a number of years. However with the passage of federal funding legislation (Map21) in 2012, Asset Management programs have been mandated to remain eligible for federal transportation monies.

Attached is an initial outline of our Transportation Asset Management System (TAMS) Development Project establishing Deputy Commissioner Anna M. Barry as Agency Sponsor. It also identifies a Management Steering Committee, and a Development Project lead. Jennifer Trio has been assigned this task full time.

Every bureau in the agency will have roles to play in this significant and critically important undertaking. Moving forward, we will face deadlines for implementation established by our federal partners and you will need to ensure that appropriate resources are deployed to meet those challenges. Deputy Commissioner Barry will schedule the agency kick-off meeting as soon as possible. However, other Project activities may precede it.

Attachment

cc: Comr. Redeker – Dep. Comr. Barry
Cheryl Malerba - John Krewalk
Pamela Sucato
Judd Everhart – Kevin Nursick
Randal Davis
Denise Rodosevich

Connecticut Department of Transportation
Transportation Asset Management System Development Project (TAMS)
Initial Implementation Approach
February 26, 2013

As a multi-modal transportation agency the Connecticut Department of Transportation (Department) has unique challenges in the implementation of federal requirements for asset management and performance indicators. This memorandum defines the initial approach the Department will take to structure an agency-wide program.

Federal Highway Administration Asset Management

MAP-21 requires each State to develop a risk-based asset management plan for the National Highway System (NHS) to improve or preserve the condition of the assets and the performance of the system.

States are required to have developed and implemented an NHS asset management plan the second fiscal year after USDOT issues regulations for asset management plan development. The CTDOT secretary is required to issue a regulation within 18 months of the enactment of MAP 21, or no later than April 1, 2014. The latest date for plan implementation would be October 1, 2015.

The Highway Plan must include at least the following:

- Summary list, including condition, of the State's NHS pavements and bridges.
- Asset management objectives and measures.
- Performance gap identification.
- Lifecycle cost and risk management analysis.
- Financial plan.
- Investment strategies.

If a State has not developed and implemented an asset management plan consistent with the requirements by the beginning of the 2nd fiscal year after the establishment of the process, the Federal share for National Highway Performance Program projects in that fiscal year is reduced to 65%.

Federal Transit Administration Asset Management

MAP-21 also establishes new requirements for transit asset management by FTA's grantees. These include new reporting requirements to promote accountability. The goal of improved transit asset management is to implement a strategic approach for assessing needs and

prioritizing investments for bringing the nation's public transit systems into a state of good repair.

Through regulation, FTA will establish a National Transit Asset Management System by October 1st, 2013. The regulation will:

- Define "state of good repair;"
- Set objective standards for measuring the condition of capital assets, including equipment, rolling stock, infrastructure and facilities; and
- Establish performance measures and targets for state of good repair.

Transit asset management plans must include capital asset inventories and condition assessments and investment prioritization. Agencies will be required to report on condition system and changes in it, performance measure targets and progress reports.

Milestone	**Date**
Through regulation, FTA will establish a National Transit Asset Management System	Tuesday, October 01, 2013
Agency must establish performance targets in relation to the definition of state of good repair established by FTA.	Wednesday, January 01, 2014
USDOT is required to issue a regulation for FHWA within 18 months of the enactment of MAP 21	Tuesday, April 01, 2014
The latest date for Highway Plan Implementation would be October 1, 2015	Thursday, October 01, 2015

Connecticut DOT Approach

The purpose of this memorandum is to present and explain the approach that the Senior Management Team recommends for the initial development phase of the Department is TAMS. The team developed the general framework during a working session at the November FHWA training program on asset management. Attached is the Draft Organization Chart for the initial development process. (Note: position and committee titles are proposed and may be changed.)

Governing Principles

1. The Development Team structure should promote management and staff support for the development process.
2. The structure should be adjusted as needed to optimize management and staff support for the implementation and operational phases.

3. Senior Management must oversee and provide appropriate support for each phase of the program, and ensure broad agency policy interests are accommodated.
4. The structure should promote maximum efficiencies where they make sense and allow for individualized solutions where needed.
5. Each bureau must own its part of the program, especially where maintenance and/or operations functions may reside elsewhere.

General Structure

1. The TAMS Program may address the following areas, as law requires or need arises:

    a. Bridges
    b. Equipment
    c. Facilities
    d. Pavement
    e. Rail
    f. Safety
    g. Technology
    h. Traffic
    i. Transit

2. The Deputy Commissioner will be the Agency Sponsor.
.
3. The bureau chiefs and other executive team members will provide guidance, oversight and resources to the TAMS Management Steering Committee.

4. The TAMS Management Steering Committee will act as the liaison to the Bureaus and key divisions to ensure that each area's interests are represented properly and to ensure each area is supporting the project appropriately. The Steering Committee will oversee and support the efforts of the TAMS Implementation Lead.

5. The TAMS Management Steering Committee will consist of:

    a. Representatives from Engineering & Construction

        i. Division Chief, Design Services (Chair)
        ii. Division Chief, Bridges and Structures
        iii. Division Chief, Highways
        iv. Division Chief, Traffic

    b. Director of Technology Services

    c. Finance & Administration

i. Capital Programs
ii. Assistant Director, Strategic Planning and Projects
iii. Facilities

d. Highway Maintenance & Operations

i. Maintenance Director Highway Operations

e. Public Transportation

i. Rail Administrator
ii. Transit Administrator

f. Policy & Planning

i. Assistant Director Strategic Planning and Projects

6. A TAMS Implementation Lead will be assigned full-time to the development of the TAMS. With the support of the Steering Committee, the coordinator will develop the initial assessments and internal and external scopes of services required for initial implementation steps.

7. The Transportation Assistant Planning Director and Transportation Division Chief will act as program mentors to the Implementation Lead, to provide necessary management and technical support and to ensure proper linkage to the Performance Metrics and Standards. The TAMS Lead will interact with the Program Sponsor. However, direction will be provided by the Transportation Division Chief (Chair).

8. The Policy & Planning Transportation Assistant Planning Director will ensure that the Performance Metrics and Standards requirements are properly integrated with the Asset Management Systems.

9. The structure and representation will be adjusted as the needs of the system evolve.

10. Next steps:

a. Present to executive team at staff meeting

b. Confirm Steering Committee members and back-up designees

c. Initial meeting of executive team with Steering Committee

    i. Project scope and mission
    ii. Communications protocol

d. Implementation Lead and Steering Committee develop:

    i. Inventory of existing systems
    ii. Vision of future State
    iii. Initial implementation plan
    iv. Gap analysis
    v. Financial requirements and resources

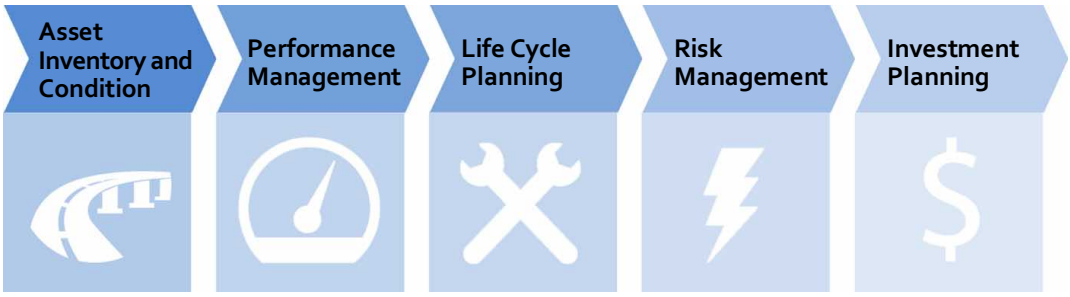
Note: the memo references a draft organization chart for TAM development. The original draft organization chart is now obsolete; the current organization chart is included as Figure 1-1.

This page intentionally left blank

Appendix B. Asset Fact Sheets

This page intentionally left blank

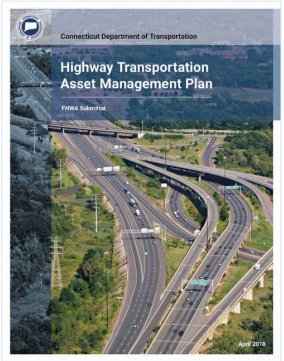
CTDOT's Asset Management Program



Asset management at CTDOT is a risk-based, data-driven process to maximize transportation performance and user experience, to prioritize resources, and to optimize treatments and costs over the life cycle of an asset for the state's multimodal transportation system. In Connecticut, the implementation of transportation asset management (TAM) is needed to address the condition of infrastructure as many assets have aged beyond their intended life expectancy while demands on the transportation network have increased.

The Connecticut Transportation Asset Management Plans

CTDOT has created its first Transportation Asset Management Plans (TAMPs) in accordance with federal mandates to establish and document the agency's strategic and systematic process of managing its transportation assets.



Asset Inventory and Condition. CTDOT owns, operates and maintains a multimodal transportation network comprised of highway and transit assets. In terms of their cost and extent, the most significant assets on the system are bridges and pavement. CTDOT owns and maintains the entire Interstate Highway System in Connecticut and approximately 95% of the non-Interstate National Highway System (NHS). CTDOT also owns and maintains all bridges, pavements, traffic signals, signs, sign supports, and pavement markings on the State Highway System. CTDOT also owns or subsidizes nearly all of Connecticut's public transportation services, including commuter rail, bus, bus rapid transit, paratransit, and ferry service.

Performance Management. Monitoring and measuring transportation asset condition enables CTDOT to assess the performance of the transportation system, predict future needs, allocate funding, and schedule projects in an effort to achieve a state of good repair. Asset condition is also an important public-facing measure. Users of the transportation network experience asset condition every day.

Life Cycle Planning. Life cycle planning (LCP) is used to determine what actions to perform on an asset over its life cycle considering these costs. The basic principle underlying LCP is fundamental to asset management: Timely investments by CTDOT in an asset results in improved condition over a longer time period and lower long-term costs. Application of preventive maintenance early in an asset's life when it is still in relatively good condition can delay the need for more costly rehabilitation, replacement, or reconstruction and result in an overall lower life cycle cost.

Risk Management. Managing transportation assets also entails managing risk. CTDOT must balance a wide variety of risks on an ongoing basis and take prudent mitigation actions given funding constraints. Risks range from daily operational concerns to potentially catastrophic risk of asset failures. Being proactive in managing risk helps CTDOT to better utilize capital funding towards maximizing the condition of transportation assets.

Investment Planning. Asset management investment strategies reflect CTDOT's TAM priorities and communicate CTDOT's investment approach to achieve asset performance targets given available funding levels. A TAM financial plan connects the TAM objectives and targets to investment strategies, revenues, and project delivery programs.

Asset management is the process of balancing performance, cost, and risk. Achieving this balance involves a strategic and systematic process of operating, maintaining, upgrading and expanding physical assets effectively through their lifecycle with better decision-making based on quality information and well-defined objectives. It requires business processes, data, information systems, financial commitment and an agency culture capable of implementing asset management.

Asset Management Process Improvements

TAM is a series of processes intended to help preserve asset condition over the life of the asset at minimal cost. Practicing TAM means continuous improvement.

These TAM principles shape the vision that CTDOT has for delivering added value to Connecticut travelers. In recent years, CTDOT created an asset management office and has advanced TAM practices. These advancements include improved understanding of assets and their condition; the relationship between financial investment and longer term performance; implications of risk; and integrating all of these factors into CTDOT's funding allocation process.

The improvements in business practices of better data, better processes, and better tools are leading to CTDOT's ability to answer the following questions:

- What are CTDOT's physical assets; where are these assets; what condition are they in; how well are they performing?
- What work has been performed on the assets and when, how much did it cost, and what was the outcome?
- How much will it cost to reach and maintain performance targets?
- What work should be performed with the money available; what work is already funded and scheduled?
- Where are the biggest risks?

CTDOT continues to make progress in implementing an overall asset management program that results in getting the most performance for the resources available. This includes striving for efficient collection of data, timely updates of business-critical information, improved life cycle planning, and analysis of asset performance in projects and programs to enable CTDOT to deliver programs and projects that improves the assets.

CTDOT's asset management program will :

- **Reduce life cycle costs of asset maintenance** by better tracking asset costs and performance, and making decisions that minimize costs over time to deliver the best value for every public tax dollar;
- **Focus staff resources on tasks that will add the greatest value** through business processes and tools that deliver efficiency and effectiveness;
- **Enhance CTDOT's credibility and accountability** to the Governor, legislature, and customers with investment decisions based on understanding CTDOT's asset needs, priorities, and available funds.

To complement the Connecticut TAMP, CTDOT developed a series of quick reference Fact Sheets providing at-a-glance summaries of asset inventory and condition, State of Good Repair, performance projections and targets. The Fact Sheets use simplified graphs and other information displays with supporting contextual detail to document CTDOT's TAM approach.

Connecticut Transportation Asset Management Plan

Bridge

Data Confidence High

Description

- CTDOT inspects 5,326 roadway bridges, 1,785 of which are National Bridge Inventory (NBI) structures on the National Highway System (NHS).
- 4,017 of these bridges are state maintained; the remaining 1,309 are maintained locally or under another jurisdiction
- CTDOT defines a bridge as a crossing of at least six feet in length, including culverts. The Federal Highway Administration (FHWA) defines an NBI bridge as a structure measuring more than 20 feet in length.
- CTDOT has a distinct Major Bridge Program for large or expensive-to-replace bridges. 60 structures are currently categorized as Major Bridges.

State of Good Repair (SOGR)

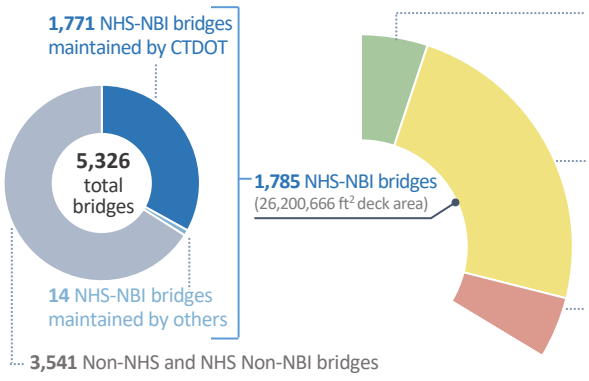
A bridge for which the condition rating for each of the three major components for a span bridge (Substructure, Deck, and Superstructure) or the structural condition of a culvert is rated at least a 5 on a 0-9 condition scale is classified as being in a SOGR.

Bridge Age

The average NHS-NBI bridge in Connecticut is 53 years old, which is 11 years older than the national average of 42 years. The state has a high percentage of Poor bridges (by deck area) compared to the national average.

NHS-NBI Inventory and Condition

Federal Requirements



Good **3,977,856 ft²**
15.2% of deck area on NHS-NBI bridges is in good condition (401 bridges).
[NBI condition ratings of 7,8, or 9]

Fair **18,558,709 ft²**
70.8% of deck area on NHS-NBI bridges is in fair condition (1,298 bridges).
[NBI condition ratings of 5 or 6]

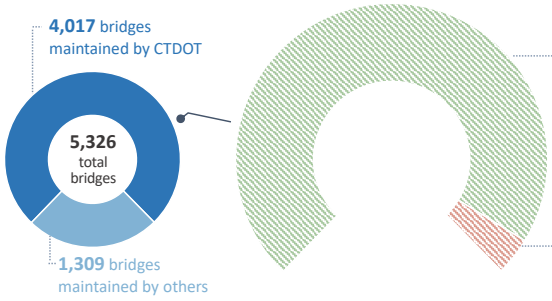
Poor **3,664,101 ft²**
14.0% of deck area on NHS-NBI bridges is in poor condition (86 bridges).
[NBI condition ratings of 0, 1, 2, 3, or 4]
As of 1/1/18, Poor=SD

Good-Fair-Poor defined by MAP-21/FAST Act

Based on CTDOT 3/15/18 NBI Submittal

CTDOT-Maintained Inventory and Condition

State Goals



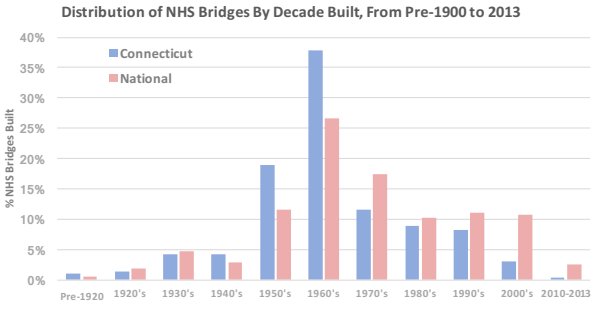
State of Good Repair **3,808 bridges**
94.8% of CTDOT-maintained state bridges are in good or fair condition
[NBI condition ratings of 5 or higher]

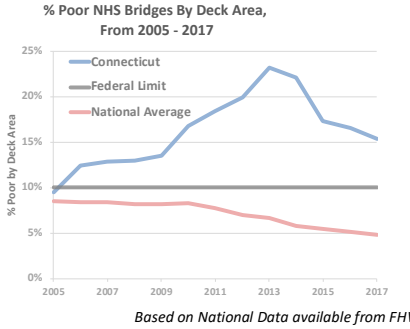
Poor **209 bridges**
5.2% of CTDOT-maintained state bridges are in poor condition
[NBI condition ratings of 4 or lower]

SOGR defined by CTDOT

Based on CTDOT 3/15/18 Snapshot

History





Based on National Data available from FHWA

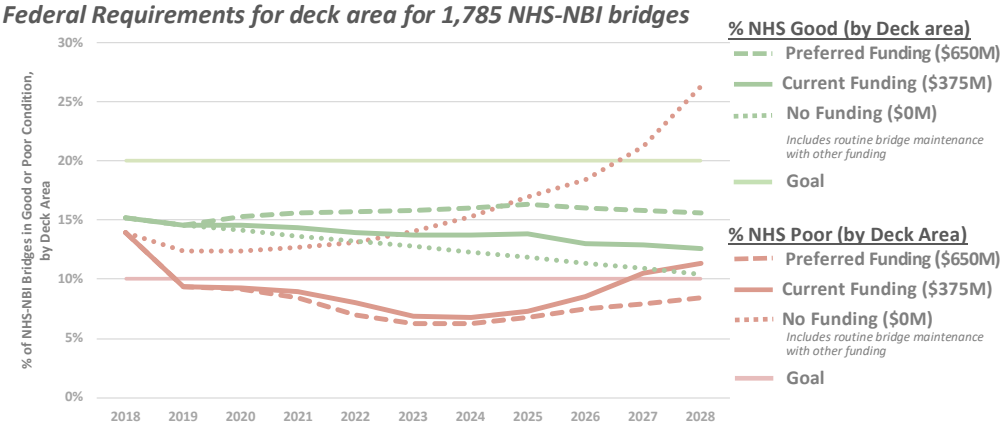
Connecticut Transportation Asset Management Plan

Bridge



NHS-NBI Bridge Performance Projections

Federal Requirements for deck area for 1,785 NHS-NBI bridges



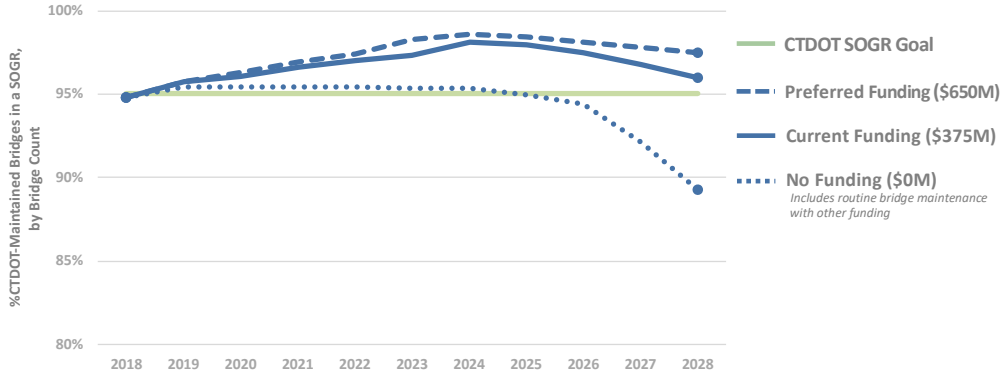
Based on funding as of 12/31/18

Performance Projections at Current Funding Level ($375M Budget)

Year	2018	2019	2020	2021	2022	Goal
NHS Good (by deck area)	15.2%	14.6%	14.6%	14.4%	14.0%	>20.0%
NHS Poor (by deck area)	14.0%	9.4%	9.3%	9.0%	8.0%	<10.0%

CTDOT-Maintained Bridge Performance Projections

State Goals by number of bridges for 4,017 CTDOT-maintained bridges



Based on funding as of 12/31/18

Performance Projections at Current Funding Level ($375M Budget)

Year	2018	2019	2020	2021	2022	Goal
SOGR	94.8%	95.7%	96.1%	96.6%	97.0%	95.0%

Performance Projections

The chart on the left depicts bridge condition for various funding scenarios. These were developed through an analysis program using CTDOT bridge condition data, as of May 2019.

Asset Valuation

$14,857,872,990

Asset value is estimated using the replacement value. For bridges, replacement value is the product of deck area and unit construction cost. For 4,017 bridges: 34,553,193 sqft * $430/sqft = $14.9 billion.

Measures and Targets

CTDOT has set the following bridge condition goals:

Federal Requirements:

- 10% or less Poor by deck area on NHS-NBI bridges (Federal minimum is less than 10% Poor)
- 20% or more Good by deck area on NHS-NBI bridges

State Goal:

- 95% or more of State-Maintained bridges in a SOGR (State target)

Connecticut Transportation Asset Management Plan

Pavement

Data Confidence High

Description

- There are 3,718 centerline miles of state-maintained routes and roads in Connecticut, 1,406 of which are on the National Highway System (NHS), including 346 Interstate miles.
- There are another 17,826 centerline miles of town maintained roads, 56 of which are on the NHS.
- 70.9% of CTDOT maintained roadways are flexible (asphalt) pavements, 28.7% are composite pavements (asphalt over concrete), and 0.4% are rigid (concrete) pavements.

State of Good Repair (SOGR)

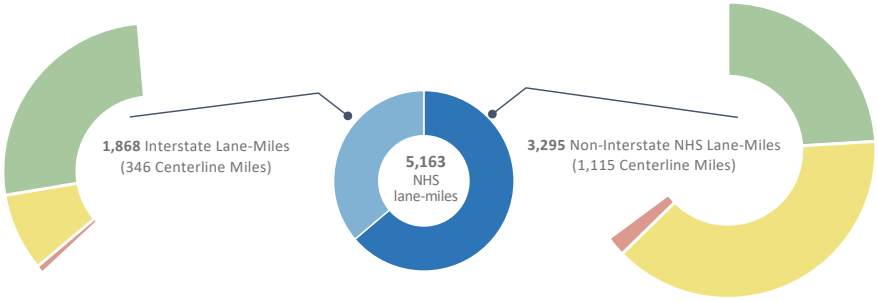
A pavement section for which the Pavement Condition Index (PCI) is 6 or greater is classified as being in a State of Good Repair (SOGR). The PCI is based on cracking, rutting, drainage disintegration, and ride. FHWA uses a different condition measure for NHS pavements.

Pavement Age

The average Connecticut NHS pavement structure was constructed 47 years ago, and the average surface age is 7.4 years old.

NHS Roadways Inventory and Condition

Federal Requirements



Good-Fair-Poor defined by MAP-21/FAST Act

Interstate Pavements

Good	Fair	Poor
1,305 Lane-Miles	**424 Lane-Miles**	**9 Lane-Miles**
75.1% are in Good condition	24.4% are in Fair condition	0.5% are in Poor condition

Non-Interstate NHS Pavements

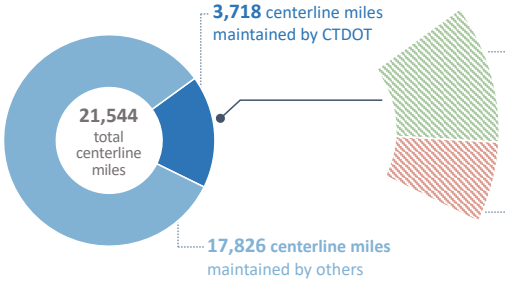
Good	Fair	Poor
1,189 Lane-Miles	**1,910 Lane-Miles**	**108 Lane-Miles**
37.1% are in Good condition	59.5% are in Fair condition	3.4% are in Poor condition

Note on Interstate: 127 lane miles coded as bridge and 3 lane miles missing/invalid have no condition data
Note on Non-Interstate NHS: 80 lane miles coded as bridge and 8 lane miles missing/invalid have no condition data

Based on CTDOT 6/15/18 HPMS Submittal

CTDOT-Maintained Roadways Inventory and Condition

State Goals



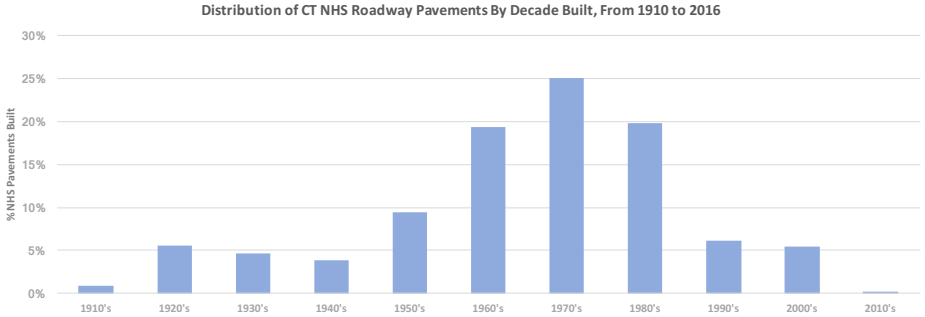
State of Good Repair **2,350 centerline miles**
63.2% of CTDOT-maintained centerline miles has a PCI of 6 or greater

PCI Poor **1,368 centerline miles**
36.8% of CTDOT-maintained centerline miles have a poor condition PCI rating lower than 6

SOGR defined by CTDOT

Based on CTDOT 6/15/18 Snapshot

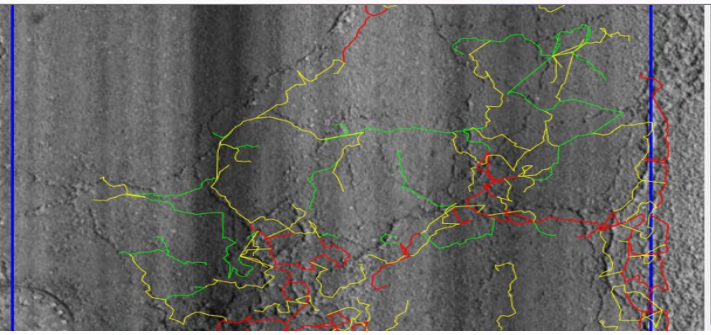
History

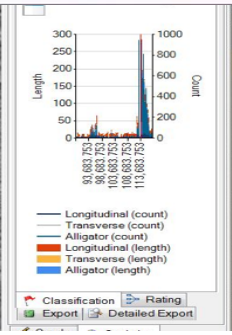


Based on National Data available from FHWA

Connecticut Transportation Asset Management Plan

Pavement

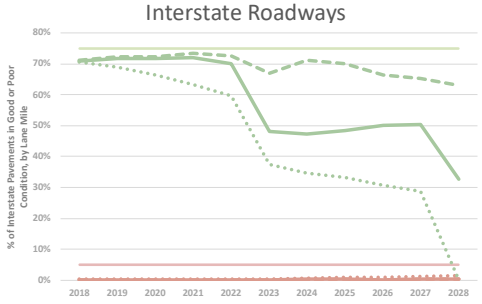




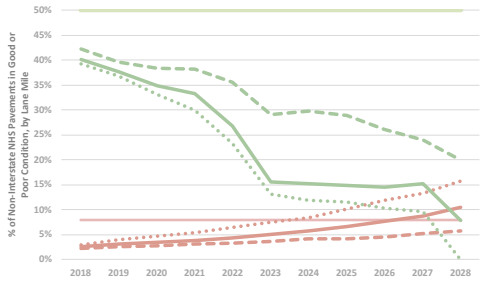
NHS Pavement Performance Projections

Federal Requirements by lane miles for 5,163 lane miles of NHS pavement

Interstate Roadways



Non-Interstate NHS Roadways



% Good (by lane miles)

Preferred Funding ($475M) — *Includes Reconstruction*

Current Funding ($94M) — *Preservation and Maintenance Resurfacing only*

No Funding ($0M)

Goal

% Poor (by lane miles)

Preferred Funding ($475M) — *Includes Reconstruction*

Current Funding ($94M) — *Preservation and Maintenance Resurfacing only*

No Funding ($0M)

Goal

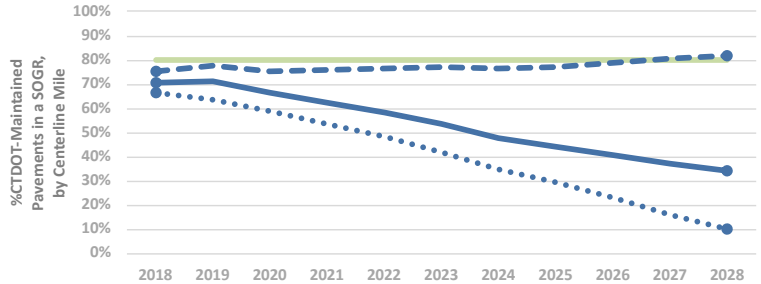
Based on funding as of 12/31/18

Performance Projections at Current Funding Level ($94M Budget)

Year	2018	2019	2020	2021	2022	Goal
Interstate Good	70.9%	71.8%	71.6%	72.1%	70.0%	75.0%
Interstate Poor	0.2%	0.1%	0.1%	0.1%	0.1%	<5.0%
Non-Int NHS Good	40.1%	37.7%	34.9%	33.3%	26.8%	50.0%
Non-Int NHS Poor	2.5%	3.1%	3.4%	3.9%	4.4%	<8.0%

CTDOT-Maintained Pavement Performance Projections

State Goals by centerline miles for 3,718 centerline miles



Based on funding as of 12/31/18

Performance Projections at Current Funding Level ($94M Budget)

Year	2018	2019	2020	2021	2022	Goal
SOGR	70.8%	71.1%	66.4%	62.7%	58.1%	80.0%

Performance Projections

The charts on the left depicts pavement condition for various funding scenarios. These were developed through an analysis program using CTDOT pavement deterioration curves as of August 2017.

Asset Valuation

$9,801,000,000

Asset value is estimated using the replacement value. For pavements, replacement value is the product of pavement area (SY) and unit construction cost. For 3,718 centerline miles of pavement: 99 million SY

* $99/SY = $9.8 Billion

Measures and Targets

CTDOT has set the following pavement condition goals:

Federal Requirements:

- Interstate: 75% good condition and less than 5% poor condition (Federal minimum is less than 5% poor)
- Non-Interstate: 50% good condition and less than 8% poor condition

State Goal:

- 80% or more of State-maintained pavements in a SOGR (State)

Connecticut Transportation Asset Management Plan

Traffic Signals

Data Confidence
Medium

Description

- CTDOT is currently responsible for maintaining 2,777 State owned traffic signals:
  - 2,547 Traditional Traffic signals
  - 230 Overhead flashing beacons
- Of the 2,547 traditional traffic signals, 952 are part of 110 computerized traffic signal systems
- CTDOT defines a traffic signal unit as all traffic control equipment at a given intersection or location
- There are an additional 282 independent signs with flashers that are managed as part of the sign asset

State of Good Repair (SOGR)

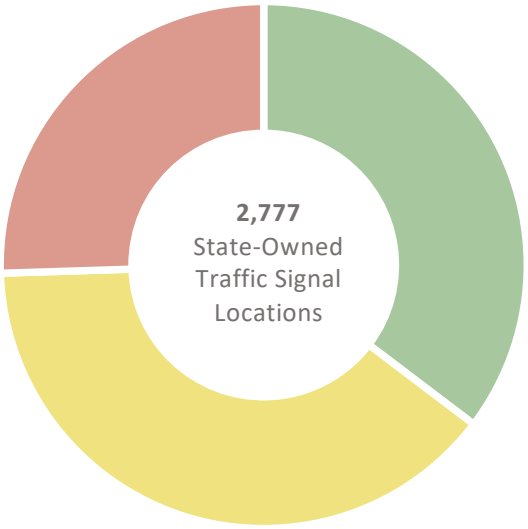
The State of Good Repair for traffic signals is determined to be 25 years of life. This is based on expectations of controller and signal head life with interim component replacements that are required at varying intervals.

Traffic Signal Age

- 25.5% of traffic signals are older than 25 years
- 1.5% of traffic signals are older than 50 years

Traffic Signal Inventory and Condition

State Goals



Good

981 Locations

35.3% are in Good condition (0-15 years old)

Fair

1,088 Locations

39.2% are in Fair condition (16-25 years old)

Poor

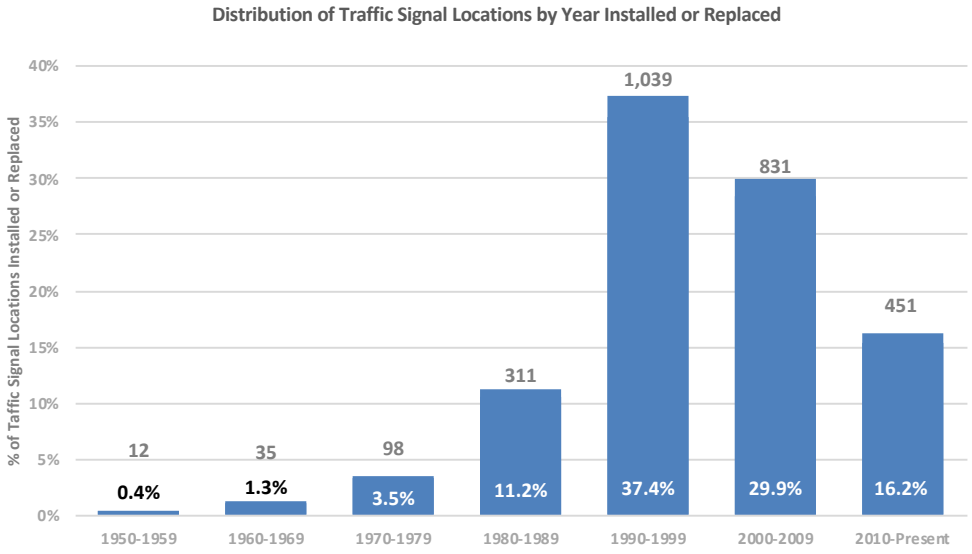
708 Locations

25.5% are in Poor condition (26+ years old)

Good-Fair-Poor and SOGR defined by CTDOT

Based on CTDOT 10/30/18 Snapshot

History



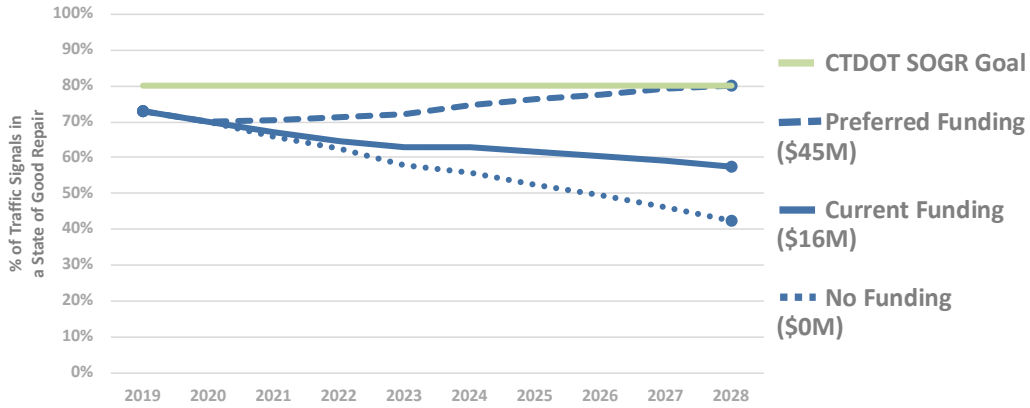
Based on CTDOT 2018 Snapshot

Connecticut Transportation Asset Management Plan

Traffic Signals

Traffic Signals Performance Projections

State Goals by traffic signal for 2,777 traffic signals



Based on funding as of 12/31/18

Projected Performance at Current Funding Level ($16M Budget thru 2021, $26M after)

Year	2019	2020	2021	2022	2023	Goal
SOGR	73.1%	70.0%	67.0%	64.6%	62.9%	80.0%

Note: $10M of budget in 2022 and 2023 is designated for safety upgrades to existing equipment

Performance Projections

In order to maintain a State of Good Repair, roughly 130 traffic signals need replacement each year. Currently, approximately 45-60 traffic signals are replaced each year under the traffic signal replacement program. Additionally, 10-15 traffic signals are replaced under other state projects each year.

Asset Valuation

$673,720,000

Asset value is estimated using the replacement value. For traffic signals, replacement value is the product of traffic signal and unit construction cost.
For 2,547 traffic signals : 2,547 * $260,000 = $662,220,000
For 230 Overhead flashing beacons: 230 * $50,000 = $11,500,000

Measures and Targets

There are no Federal requirements at this time. CTDOT has set the following traffic signal condition goal:

State Goal:

- 80% or more of state owned traffic signals in a SOGR

Connecticut Transportation Asset Management Plan

Signs

Data Confidence Low

Description

- CTDOT is responsible for maintaining approximately 263,000 signs (regulatory, warning, and guide) that are located on State owned and maintained roadways
- CTDOT defines a sign as a panel attached to a post(s) or sign structure and a sign assembly as the combination of sign panel(s) and their post(s), support, or sign structure at a single location.
- Overhead sign supports and foundations are managed as a separate asset

State of Good Repair (SOGR)

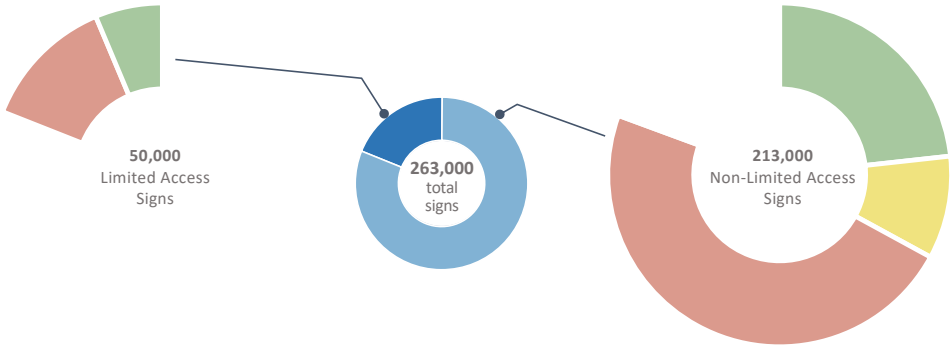
A sign installed within 17 years is classified as being in a State of Good Repair. This is based on expectations of retroreflectivity life. Retroreflectivity is a measure of the amount of light reflected by a surface back to the source of the light.

Sign Age

- Nearly 60% of all signs have exceeded their expected sign life or effective service life
- 21% of signs on limited access roadways are older than 25 years

Sign Inventory and Condition

State Goals



Good-Fair-Poor and SOGR defined by CTDOT

Limited Access Signs

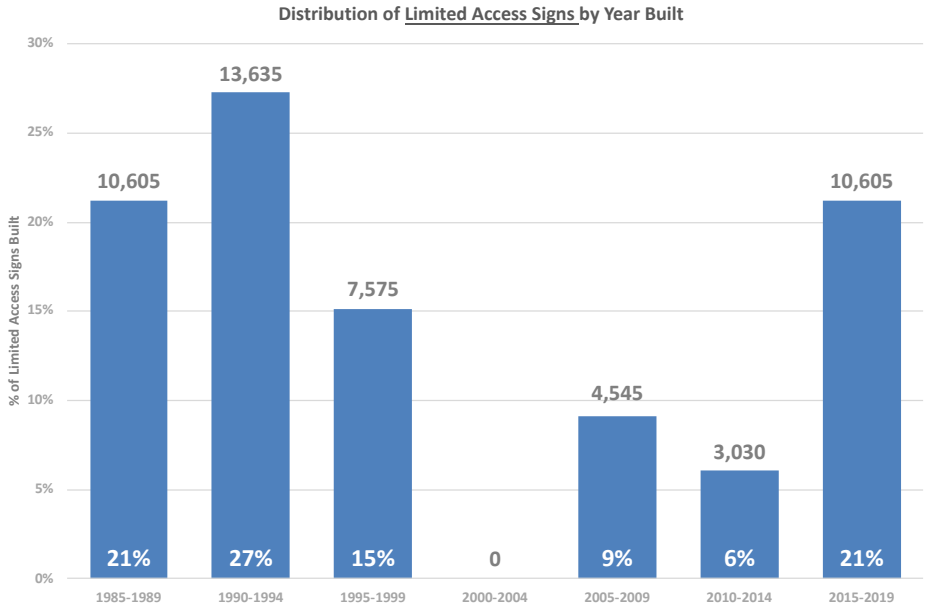
Good	Fair	Poor
16,667 Signs	**0 Signs**	**33,333 Signs**
33.3% are in Good condition (0-12 years old)	0% are in Fair condition (13-17 years old)	66.7% are in Poor condition (18+ years old)

Non-Limited Access Signs

Good	Fair	Poor
65,000 Signs	**25,000 Signs**	**123,000 Signs**
30.5% are in Good condition (0-12 years old)	11.7% are in Fair condition (13-17 years old)	57.8% are in Poor condition (18+ years old)

Based on CTDOT 2013 inventory

History



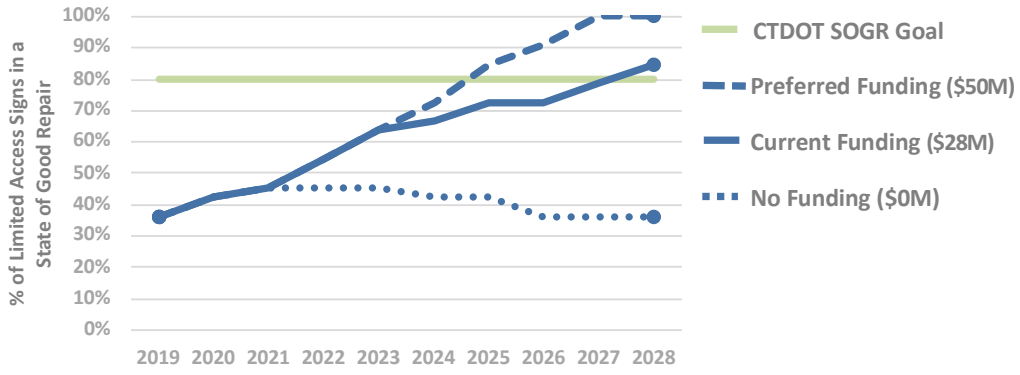
Based on CTDOT 2019 Snapshot

Connecticut Transportation Asset Management Plan

Signs

Limited Access Signs Performance Projections

State Goals by limited access roadway sign for 50,000 signs



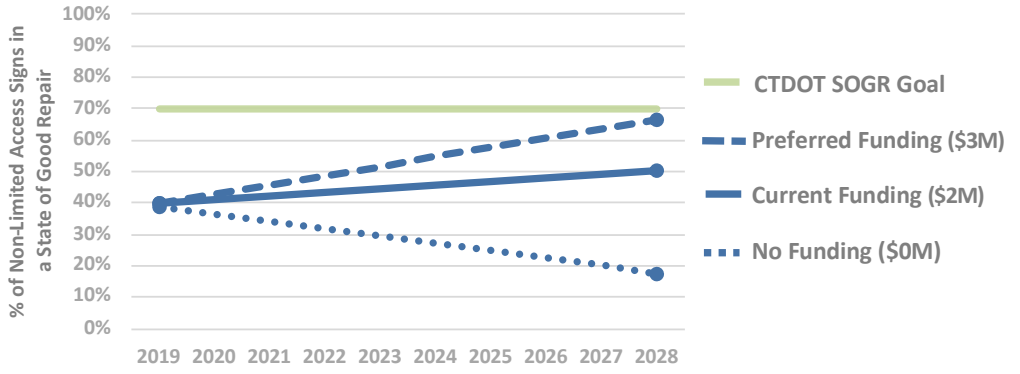
Based on funding as of 12/31/18

Projected Performance at Current Funding Level ($28M Budget)

Year	2019	2020	2021	2022	2023	Goal
SOGR	36.4%	42.4%	45.5%	54.5%	63.6%	80.0%

Non-Limited Access Signs Performance Projections

State Goals by non-limited access roadway sign for 213,000 signs



Based on funding as of 12/31/18

Projected Performance at Current Funding Level ($2M Budget)

Year	2019	2020	2021	2022	2023	Goal
SOGR	39.9%	41.1%	42.3%	43.4%	44.6%	70.0%

Performance Projections

In order to maintain a State of Good Repair, nearly 15,500 signs need replacement each year. Currently, approximately 5,000 signs are replaced each year.

Asset Valuation

$236,500,000

Asset value is estimated using the replacement value. For signs, replacement value is the product of square footage and unit construction cost.

Note: This value does not include the cost of overhead sign supports and foundations.

Measures and Targets

There are no Federal requirements at this time. CTDOT has set the following sign condition goals:

State Goals:

- 80% or more of signs on limited access roadways in a SOGR
- 70% or more of signs on non-limited access roadways in a SOGR

Connecticut Transportation Asset Management Plan

Sign Supports

Data Confidence
Low

Description

- CTDOT is responsible for maintaining about 1,654 overhead sign supports on state maintained roadways
- Sign supports are made up of three categories:
  - 643 Cantilevers
  - 617 Full-Span
  - 394 Bridge Mounted
- CTDOT defines a sign support as the structure (horizontal member(s), post(s) and foundation) carrying sign panels or variable message boards at a single location
- Sign panels attached to the sign support are managed as a separate asset

State of Good Repair (SOGR)

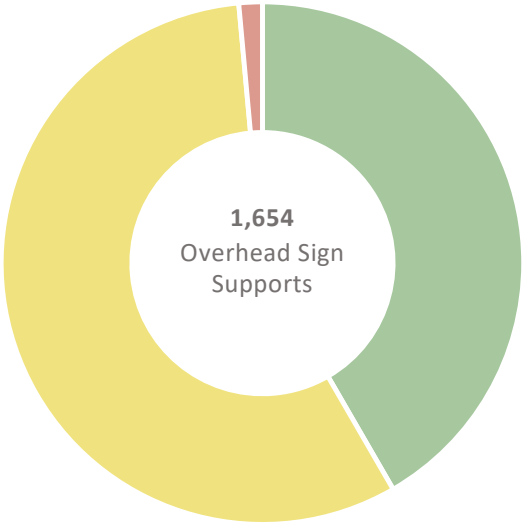
Sign supports with an overall rating of at least a 5 on a 0-9 condition scale are classified as being in a State of Good Repair.

Support Age

- Overhead sign supports have an estimated 34-year life expectancy
- 7.5% of sign supports are older than 34 years

Sign Support Inventory and Condition

State Goals



Good

689 Sign Supports

41.7% are in Good condition
[Condition ratings of 7,8, or 9]

Fair

941 Sign Supports

56.9% are in Fair condition
[Condition ratings of 5 or 6]

Poor

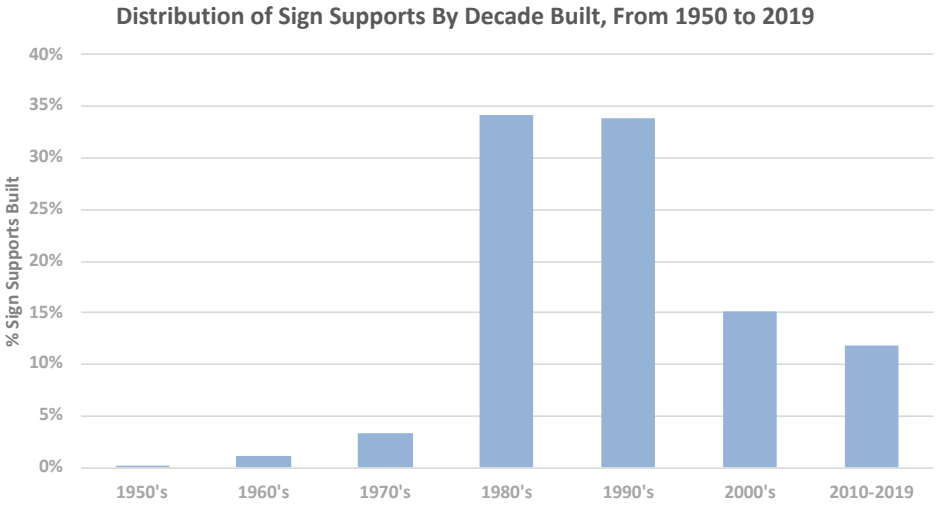
24 Sign Supports

1.4% are in Poor condition
[Condition ratings of 0,1,2,3, or 4]

Good-Fair-Poor and SOGR defined by CTDOT

Based on CTDOT 3/15/19 Snapshot

History



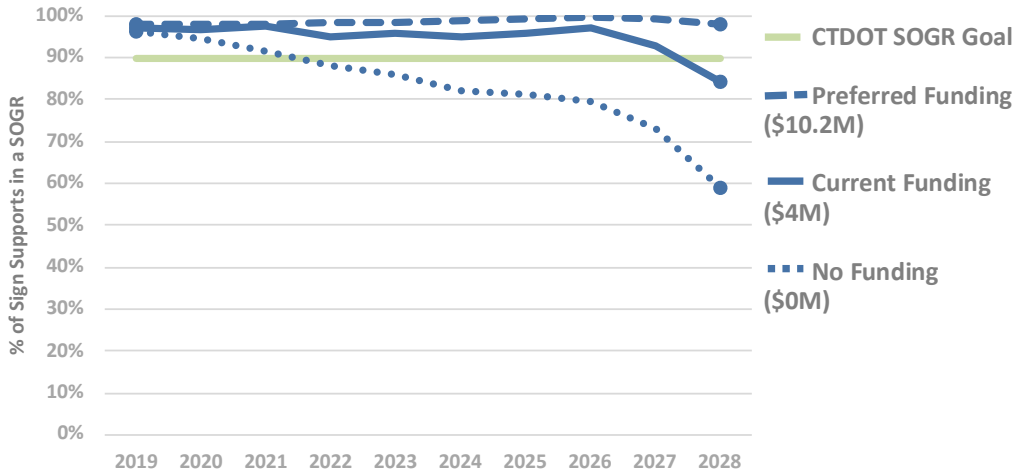
Based on CTDOT 3/15/19 Snapshot

Connecticut Transportation Asset Management Plan

Sign Supports

Sign Support Performance Projections

State Goals by sign support for 1,654 sign supports



Based on funding as of 12/31/18

Projected Performance at Current Funding Level ($4M Budget)

Year	2018	2019	2020	2021	2022	Goal
SOGR	98.6%	97.0%	96.6%	97.4%	95.2%	90.0%

Performance Projections

Sign support projections use deterioration curves for the overall structure condition rating. These curves are based on the 34 year service life expectancy of sign supports.

Asset Valuation

$263,970,000

Asset value is estimated using the replacement value. For sign supports, replacement value is based on the average unit construction cost by type:
Cantilever $140,000 * 643 = $90,020,000
Full Span $250,000 * 617 = $154,250,000
Bridge Mount $50,000 * 394 = $19,700,000

Note: This value does not include the cost of the sign panels.

Measures and Targets

There are no Federal requirements at this time. CTDOT has set the following sign support condition goal:

State Goal:

- 90% or more of sign supports in a SOGR

Connecticut Transportation Asset Management Plan

Pavement Markings

Data Confidence
Very Low

Description

- CTDOT is responsible for maintaining pavement markings on approximately 3,718 centerline miles of on State maintained roadways
- Pavement Markings include:
  - Line Striping
  - Symbols & Legends (arrows, crosswalks, etc.)
- CTDOT pavement marking applications are either water-based by State forces and Epoxy by Contractor

State of Good Repair (SOGR)

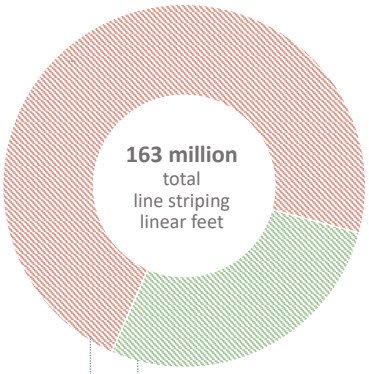
In-laid epoxy pavement markings installed within 6 years, epoxy pavement markings installed within the past 3 years and water-based pavement markings installed within 1 year are classified as being in a SOGR. This is based on expectations of retroreflectivity life and wear. Retroreflectivity is a measure of the amount of light reflected by a surface back to the source of the light.

Marking Age

- Nearly 73% of all line striping and 45% of all symbol and legend pavement markings have exceeded their expected service life.

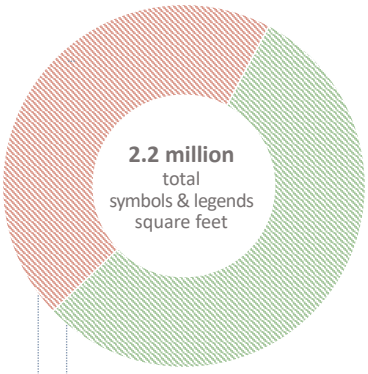
Pavement Markings Inventory and Condition: Line Striping and Symbols & Legends

State Goals



State of Good Repair **44.6 million linear feet**
27.4% of line striping is in a state of good repair

Poor **118.4 million linear feet**
72.6% of line striping is in poor condition



State of Good Repair **1.2 million square feet**
55.1% of symbols & legends are in a state of good repair

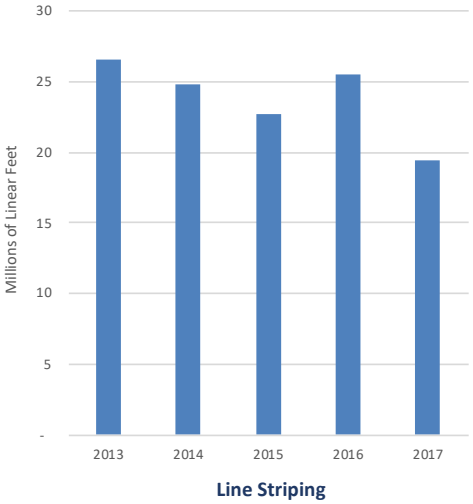
Poor **1.0 million square feet**
44.9% of symbols & legends are in poor condition

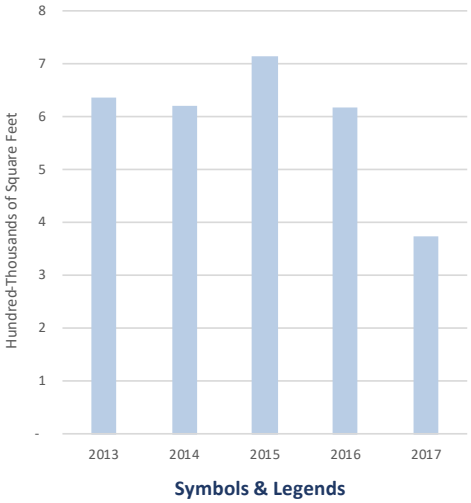
SOGR defined by CTDOT

Based on CTDOT 2018 Snapshot

History

Line Striping and Symbols & Legends Installed Annually
2013 – 2017





Based on CTDOT 2018 Snapshot

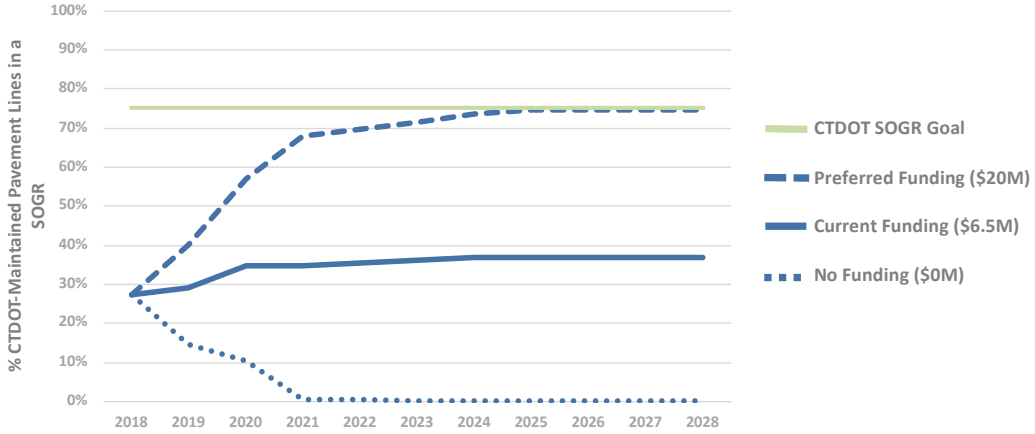
Connecticut Transportation Asset Management Plan

Pavement Markings



Pavement Markings Performance Projections

State Goals by pavement lines for 163 million linear feet of line striping

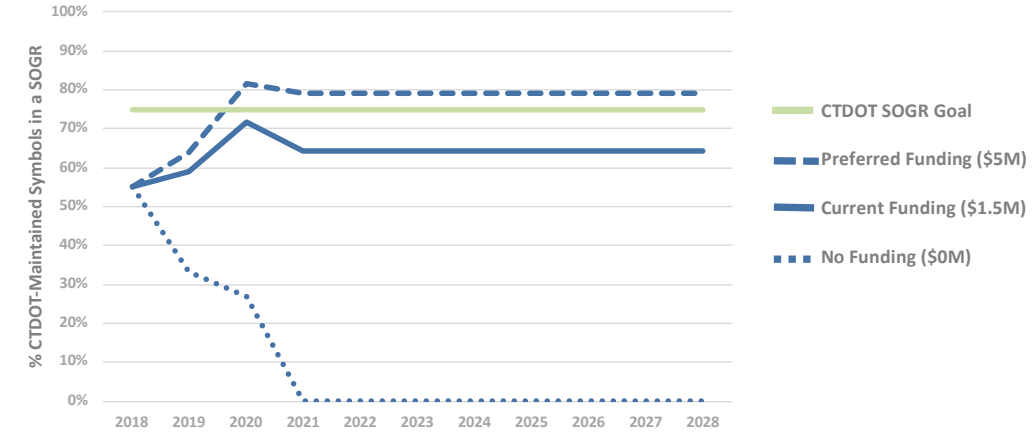


Based on funding as of 12/31/18

Performance Projections at Current Funding Level ($6.5M Budget)

Year	2018	2019	2020	2021	2022	Goal
SOGR	27.4%	29.2%	34.8%	34.8%	35.4%	75.0%

State Goals by pavement symbols for 2.2 million square feet of symbols & legends



Based on funding as of 12/31/18

Performance Projections at Current Funding Level ($1.5M Budget)

Year	2018	2019	2020	2021	2022	Goal
SOGR	55.1%	58.9%	71.7%	64.2%	64.2%	75.0%

Performance Projections

In order to maintain a State of Good Repair, nearly 54 million linear feet of line striping and 735,000 square feet of symbols & legends epoxy pavement markings need to be remarked each year. Currently, approximately 13 million linear feet and 350,000 square feet are remarked each year.

Asset Valuation

$89,200,000

Asset value is estimated using the replacement value method. For pavement markings, replacement value is the product of square footage and unit construction cost considering epoxy only.
Line striping: 163 million LF * $0.50/LF = $81,500,000
Symbols: 2.2 million SF * $3.50/SF = $7,700,000

Measures and Targets

There are no Federal requirements at this time. CTDOT has set the following pavement marking condition goals:

State Goals:

- 75% or more of line striping pavement markings in a SOGR
- 75% or more of symbols & legends pavement markings in a SOGR

Connecticut Transportation Asset Management Plan

Highway Buildings

Data Confidence **Medium**

Description

- CTDOT defines a highway building as a relatively permanent structure to house persons or property
- CTDOT owns 488 highway buildings classified into four Tiers:
  - Tier 1 – significant structures normally occupied by employees or the public
  - Tier 2 – significant structures not normally occupied by employees or the public
  - Tier 3 – storage and portable office type structures
  - Tier 4 - no asset management plan; buildings managed by other entities or scheduled for demolition or sale

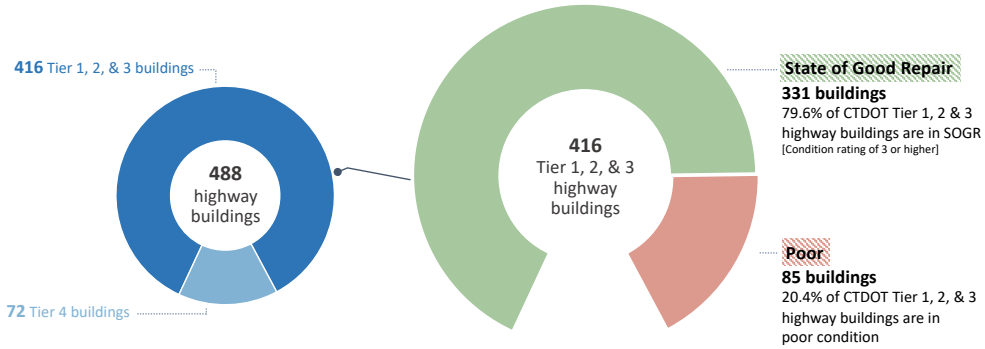
State of Good Repair (SOGR)

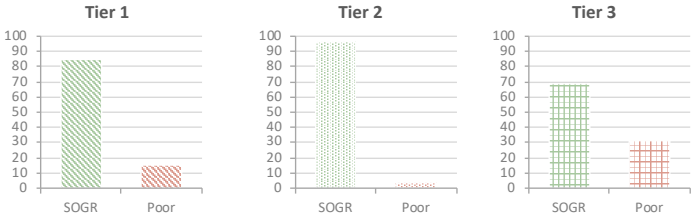
- Buildings with an overall rating of 3 or better on a scale of 1-5 are classified as being in a SOGR
- Building ratings are a combination of age-based and condition-based component ratings

Building Age

- Building age is based on the date CTDOT acquired the asset or the date of the last (like new) renovation
- Tier 1 buildings have a 60-year life cycle with a 30-year mid-life SOGR upgrade
- Life cycles and the need for mid-life SOGR upgrades vary for Tier 2 & 3 buildings

CTDOT-Maintained Inventory and Condition





103 Tier I buildings
State of Good Repair : 85.4%
- 73 Maintenance & Repair Facilities
- 17 Rest Area / Weigh Station Facilities
- 13 Administrative Facilities

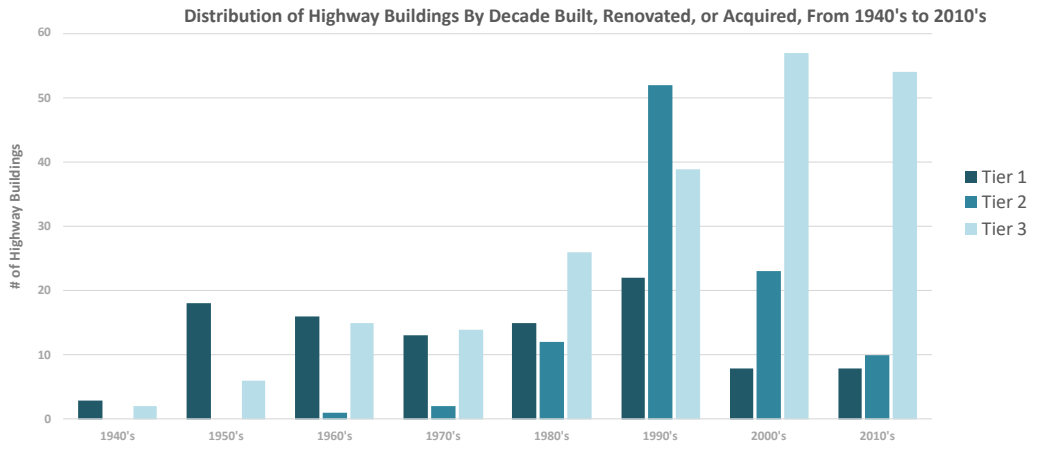
100 Tier 2 buildings
State of Good Repair : 96.0%
- 96 Salt Sheds
- 4 Specialty Facilities

213 Tier 3 buildings
State of Good Repair : 69.0%
- 172 Storage Structures
- 41 Portable Office Structures

72 Tier 4 buildings
State of Good Repair : *Not tracked*
- 61 Buildings Managed by Others
- 11 Vacant Buildings Scheduled for Demolition or Sale

Based on CTDOT 4/1/19 Snapshot

History



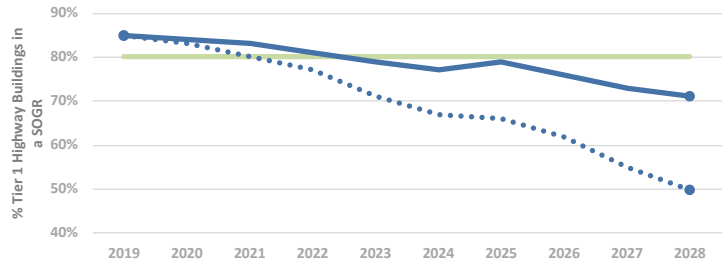
Based on CTDOT 4/1/19 Snapshot

Connecticut Transportation Asset Management Plan

Highway Buildings


Highway Buildings Performance Projections

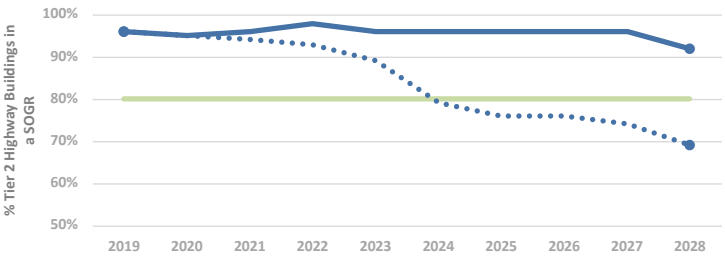
State Goals by Tier 1 highway building for 103 buildings



Tier 1 Performance Projections at Current Funding Level ($43M Average Budget)

Year	2019	2020	2021	2022	2023	Goal
SOGR	85.4%	84.5%	82.5%	80.6%	78.6%	80.0%

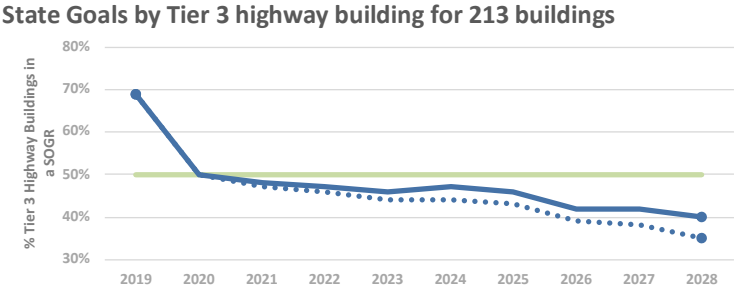
State Goals by Tier 2 highway building for 100 buildings



Tier 2 Performance Projections at Current Funding Level ($11M Average Budget)

Year	2019	2020	2021	2022	2023	Goal
SOGR	96.0%	95.0%	96.0%	98.0%	96.0%	80.0%

State Goals by Tier 3 highway building for 213 buildings



Tier 3 Performance Projections at Current Funding Level ($100K Average Budget)

Year	2019	2020	2021	2022	2023	Goal
SOGR	69.0%	50.5%	47.9%	46.9%	46.3%	50.0%

Tier 1, 2, and 3 projections based on funding as of 12/31/18

Performance Projections

Performance projection funding levels are based on the replacement value and include a 1.6 factor to account for non-building related project administration costs for engineering, rights-of-way, and construction incidentals and contingencies.

Asset Valuation

$858,000,000

- Tier 1 Buildings: $675M
- Tier 2 Buildings: $168M
- Tier 3 Buildings: $15M

Asset valuation is the replacement cost of the asset in current year dollars. For buildings, the replacement costs includes any site work necessary for the building to function such as water and sewer systems, generators, and fuel stations as applicable, etc.

Measures and Targets

Federal targets for buildings have not yet been established. The following State Goals have been set:

- Tier 1 Buildings: Maintain 80% in a SOGR
- Tier 2 Buildings: Maintain 80% in a SOGR
- Tier 3 Buildings: Maintain 50% in a SOGR

Appendix C. List of Highway Buildings, as of June 4, 2019

Table C-1. List of Highway Buildings

103 Tier 1 Highway Buildings:

73	Maintenance & Repair Type Facilities:	
	46	Maintenance Garages
	6	Maintenance & Repair Garage
	5	Repair Garages
	3	Bridge Facilities
	1	Bridge /Maintenance Garage
	1	District 2 Garage
	1	Electrical & Bridge Facility
	1	Repair & Electrical Facility
	1	Maintenance & Electrical Facility
	1	P&FS Maintenance Garage
	1	Property & Facilities Region 3
	1	Region 1 Office and Garage
	1	Sign Shop
	1	Sign / Maintenance Garage
	1	Signs & Markings Facility
	1	Signs & Markings / Bridge Facility
	1	Storage Warehouse & Office
17	Rest Area / Weigh Station Facilities:	
	8	Weigh Stations
	8	Rest Areas (rest area in Westbrook currently closed to the public)
	1	Pavilion - Open Air (currently closed to the public)
13	Administrative Facilities	

100 Tier 2 Highway Buildings:

96	Salt Sheds	
4	Specialty Facilities:	
	1	Adriens Landing Pump Station
	1	Berlin Pump Station
	1	Electronics Communications Facility
	1	Water Equipment Storage

213 Tier 3 Highway Buildings:

172	Storage Structures:		
	165	Highway Maintenance & Repair Related Storage Structures:	
		72	Storage Buildings / Sheds
		71	Storage Containers / Trailers
		22	Jet Hangers
	7	Rest Area / Weigh Station Relate Storage Structures	
41	Portable Office Structures:		
	25	Personnel Shelters	
	9	Personnel Office Containers	
	4	Mobile Rest Break Trailers	
	3	Mobile Office Trailers	

72 Tier 4 Highway Buildings:

61	Buildings Managed By Others:	
	47	Service Plazas and Support Structures *(managed by vendor contract until 2044 with option to extend to 2054; contract requires buildings be in a SOGR)*
	5	Radio Towers/Shack
	3	Buildings Leased to Others (Middletown/Stratford/Wilton)
	2	Buildings Managed by Bridge (1 Generator Building & 1 Storage Shed for Haddam Swing Bridge)

	2	Buildings Managed by Highway Operations (1 Office/Warehouse Building & 1 Groundwater Treatment Facility for Q Bridge project)
	2	Buildings Managed by Construction (1 Office/Warehouse Building & 1 Groundwater Treatment Facility for Q Bridge project)
11	Vacant Buildings Scheduled for Demolition or Sale:	
	5	Buildings in Lisbon (All 5 buildings on site - sell/transfer to town)
	2	Buildings in Haddam (1 Maintenance and 1 Repair Garage - sell/transfer to town)
	2	Buildings in North Haven (1 Maintenance Garage and 1 Salt Shed - vacant)
	2	Buildings in Portland (1 Machine Shop and 1 Generator Building - vacant)

This page intentionally left blank

Appendix D. CTDOT Asset Data Readiness Assessment Blank Sample

Readiness Form Sections

Using the Data Readiness Assessment Form

This form was developed to assist CTDOT Asset Stewards plan, document and share information about how asset data will be collected, updated, stored, and accessed. It is intended to be used both for assets that have established data programs as well as for assets that are in the beginning stages of the data planning process:

- For assets that do not yet have an established inventory or condition assessment process, the form provides a checklist of items that should be considered before moving forward with data collection. For example, is there a plan in place for how the data will be updated? Have potential data users been identified and involved in planning what attributes should be gathered?
- For established assets, the form helps the asset steward to document the current data program and consider future improvements. For example, can the asset data updating process be made more efficient by tapping into information included in CAD files? Should additional data access points be considered?

The process for completing and updating this form is as follows:

1. The asset steward meets with Asset Management and AEC representatives to walk through the form. This initial meeting provides a good opportunity to share information about current practices and potential future improvements. This will typically require a 1-2 hour session, and will result in an initial draft of the form plus a list of follow up questions that require further investigation or discussion.
2. The asset steward or their designee follows up as needed to complete the draft form.
3. The asset steward convenes a meeting of the asset work group to review the initial version, provide a common understanding of current practice and future needs, and discuss any concerns or ideas for improvement.
4. The asset steward updates the form as needed following the work group meeting, and transmits a copy to Asset Management.

Note that this form is intended to supplement rather than replace metadata creation for CTDOT GIS data layers and other data sets.

Administrative Information	
Asset Name	Click or tap here to enter text.
Asset Steward Name and Position	Click or tap here to enter text.
Person Completing this Form (if different)	Click or tap here to enter text.
Date of Update	

Asset Definition and Identification	
Asset Definition	Click or tap here to enter text.
Unit of Measure (list all – e.g. “each” and “linear feet”)	Click or tap here to enter text.
Has Components? • If “Yes”, list components	Choose an item. Click or tap here to enter text.
Unique Asset ID *(Name of Data Element)*	Click or tap here to enter text.

Asset Data Requirements	
Data Users and Uses	
Primary CTDOT users of the data (current or anticipated) – list business unit names	Click or tap here to enter text.
Will some or all of the asset data be shared externally?	Choose an item.
If yes, who are the anticipated external data recipients or users	Click or tap here to enter text.
Is the data necessary to meet a Federal or State Requirement? *(describe as necessary)*	Choose an item. Click or tap here to enter text.
What business decisions will be made based on the data?	Click or tap here to enter text.
Data Needs	
Type(s) of data that **currently** exist for this asset *(check all that apply)*	☐ **Inventory (quantity/extent, type, etc.)** ☐ **Individual Asset Location** ☐ **Asset Condition** ☐ **Asset Condition History** ☐ **Work History** ☐ **Other** **Additional Notes:** Click or tap here to enter text.

Asset Data Requirements	
Type(s) of data that are being considered for **future** collection for this asset *(check all that apply)*	☐ **Individual Asset Location** ☐ **Inventory (quantity/extent, type, etc.)** ☐ **Asset Condition** ☐ **Asset Condition History** ☐ **Work History** ☐ **Other** **Additional Notes:** Click or tap here to enter text.
If/when additional asset data are collected, what will CTDOT be able to do that it cannot do now?	Click or tap here to enter text.
Geographic Scope of Asset Data • If "Other", describe	Choose an item. **Additional Notes:** Click or tap here to enter text.
Data Dictionary	
Has a Data Dictionary Been Defined? • If Yes, include link or document reference	Choose an item. Click or tap here to enter text.
Electronic Data Dictionary Submitted to Asset Management (Y/N)? • Include inventory ***and*** condition data elements as needed *(describe as necessary)*	Choose an item. Click or tap here to enter text.
Was the Data Dictionary Reviewed? *(check types of review criteria used)*	☐ **Check for Coverage of Important Attributes of Interest to Multiple Stakeholders?** ☐ **Check for Future Maintainability/Sustainability of Information?** ☐ **Check for Consistency with Location Referencing Standards?** ☐ **Check for Duplication with other Data Sets?** ☐ **Check for Integration Needs with Existing Data Sets?**

Asset Data Requirements	
• Have potentially sensitive data elements been identified? *(describe as necessary)*	Choose an item. Click or tap here to enter text.

Data Ownership and Stewardship	
Individual authorized to approve changes to data structure *(e.g. new attributes, changes to attribute coding)*	☐ **Asset Steward** ☐ **Others:** Click or tap here to enter text.
Individual authorized to grant access to data	☐ **Asset Steward** ☐ **Others:** Click or tap here to enter text.
Technical contact for questions about data meaning, derivation or quality	☐ **Asset Steward** ☐ **Others:** Click or tap here to enter text.

Asset Data Collection, Storage and Updating	
Data Collection	
Business Units responsible for asset inventory/condition data collection planning, oversight, QA, and data acceptance (list all units involved)	Click or tap here to enter text.
Data Collection Method (current or proposed)	Click or tap here to enter text.
Is a data QA/QC Plan in place? • If "Yes", provide reference to plan	Choose an item. Click or tap here to enter text.
Asset Location Identification and Management	
GIS Feature Type(s) for this Asset *(describe as necessary)*	☐ **Point:** Click or tap here to enter text. ☐ **Linear (Continuous):** Click or tap here to enter text. ☐ **Polygon (Area):** Click or tap here to enter text. **Additional Notes:** Click or tap here to enter text.

Asset Data Collection, Storage and Updating	
Type of Location Referencing and Workflow for Assignment *(describe as necessary)* ***Note:*** ***X/Y*** *- location definition independent of LRS* ***Linear Referencing*** *– relies on LRS definition (e.g. Route + Milepoint) for location*	To Be Determined **How is the asset location determined, when, and by whom?** Click or tap here to enter text.
Business Unit(s) with responsibility for asset location data updating	☐ **Asset Steward** ☐ **Others:** Click or tap here to enter text.
Method for synchronizing asset location with the official LRS to reflect periodic road changes.	Click or tap here to enter text.
Data Storage	
Authoritative system for current asset attribute data	Click or tap here to enter text.
Business Unit(s) responsible for loading data into the authoritative system	Click or tap here to enter text.
Data Updating	
Is data for this asset updated via periodic inventory/inspections that refresh data for the entire inventory?	☐ **Yes – periodic refresh is currently used** ☐ **Yes – this is the intended future method for data updating** ☐ **NA/Not in place or planned** **If in place or planned, what is the refresh cycle (# years)?** Click or tap here to enter text.

Asset Data Collection, Storage and Updating	
Is there a plan or interest in updating asset data based on capital project plans?	☐ **Yes – currently in place** ☐ **Yes – currently under investigation** ☐ **Would like to explore for future implementation** ☐ **NA/Not in place or planned** **What attributes can be updated based on capital project information?** Click or tap here to enter text.
Is there a plan or interest in updating asset data based on maintenance service memos?	☐ **Yes – currently in place** ☐ **Yes – currently under investigation** ☐ **Would like to explore for future implementation** ☐ **NA/Not in place or planned** **What attributes can be updated based on maintenance service memos?** Click or tap here to enter text.
Is there a plan or interest in updating asset data based on encroachment permits?	☐ **Yes – currently in place** ☐ **Yes – currently under investigation** ☐ **Would like to explore for future implementation** ☐ **NA/Not in place or planned** **What attributes can be updated based on encroachment permits?** Click or tap here to enter text.
What asset data elements can be derived from project plans or other project data sources but are difficult to observe in the field for this asset? (e.g. quantities, material types, buried features, administrative classifications)?	**Describe:** Click or tap here to enter text.
Contract Requirements for Data Provision	
Are there any applicable contract requirements for data provision for this asset? *(please describe)*	Choose an item. Click or tap here to enter text.
• If Yes or Under Development, are data elements and format standards in place? *(please describe)*	Choose an item. Click or tap here to enter text.

Asset Data Collection, Storage and Updating

Technology Solutions

Is a mobile application for field data collection currently available for this asset? *(please describe)*	Choose an item. Click or tap here to enter text.
• If Yes, please describe platform and provide reference to further information on attributes collected.	**Current Mobile Application Description:** Click or tap here to enter text.
• If No, would a mobile application for field data collection be of potential value? *(please describe how it might be used)*	Choose an item. **Potential Uses:** Click or tap here to enter text.
Please describe any other technology solutions or improvements which would benefit data collection and maintenance for this asset	Click or tap here to enter text.

Derivative Data Set Creation and Management

Provide information for spatial data layers, enterprise data (TED), and other specialized derivative data sets created from the authoritative source of asset inventory and condition data. These derivative data sets may contain subsets of data elements from the source, or transformations of data elements to facilitate particular uses.

Derivative Data Set #1

Type of Derivative Data Set *(Provide data set name and description)*	NA Click or tap here to enter text.
Data Update Methodology	Choose an item. **Describe:** Click or tap here to enter text.
Data Refresh Cycle (e.g. continuous – as data changes; nightly; annual; no set cycle)	**Cycle:** Click or tap here to enter text.
Business Unit responsible for performing or managing the data update	Click or tap here to enter text.

Derivative Data Set Creation and Management	
Is a Data Dictionary available for this data set? • If Yes, include link or document reference	Choose an item. Click or tap here to enter text.
Derivative Data Set #2	
Type of Derivative Data Set *(Provide data set name and description)*	NA Click or tap here to enter text.
Data Update Methodology	Choose an item. **Describe:** Click or tap here to enter text.
Data Refresh Cycle (e.g. continuous – as data changes; nightly; annual; no set cycle)	**Cycle:** Click or tap here to enter text.
Business Unit responsible for performing or managing the data update	Click or tap here to enter text.
Is a Data Dictionary available for this data set? • If Yes, include link or document reference	Choose an item. Click or tap here to enter text.
Derivative Data Set #3	
Type of Derivative Data Set *(Provide data set name and description)*	NA Click or tap here to enter text.
Data Update Methodology	Choose an item. **Describe:** Click or tap here to enter text.
Data Refresh Cycle (e.g. continuous – as data changes; nightly; annual; no set cycle)	**Cycle:** Click or tap here to enter text.
Business Unit responsible for performing or managing the data update	Click or tap here to enter text.
Is a Data Dictionary available for this data set? • If Yes, include link or document reference	Choose an item. Click or tap here to enter text.

Derivative Data Set Creation and Management	
Derivative Data Set #4	
Type of Derivative Data Set *(Provide data set name and description)*	NA Click or tap here to enter text.
Data Update Methodology	Choose an item. **Describe:** Click or tap here to enter text.
Data Refresh Cycle (e.g. continuous – as data changes; nightly; annual; no set cycle)	**Cycle:** Click or tap here to enter text.
Business Unit responsible for performing or managing the data update	Click or tap here to enter text.
Is a Data Dictionary available for this data set? • If Yes, include link or document reference	Choose an item. Click or tap here to enter text.

Asset Work History Tracking	
Do you currently track work that impacts the inventory or condition of this asset?	Choose an item.
If yes, what sources do you use? *(describe as appropriate)*	☐ **Capital Project Plans:** Click or tap here to enter text. ☐ **Maintenance Service Memos:** Click or tap here to enter text. ☐ **Encroachment Permits:** Click or tap here to enter text. ☐ **Other (Describe):** Click or tap here to enter text.

Asset Work History Tracking	
What data do you currently track? *(describe as appropriate)*	☐ **Asset ID or Route Location(s) treated:** Click or tap here to enter text. ☐ **Type of work activity:** Click or tap here to enter text. ☐ **Date of last replacement/repair:** Click or tap here to enter text. ☐ **Specific components of assets treated:** Click or tap here to enter text. ☐ **Quantity of assets treated:** Click or tap here to enter text. ☐ **Cost of work on specific assets:** Click or tap here to enter text. ☐ **Other:** Click or tap here to enter text.
What data would you like to track? *(describe as appropriate)*	☐ **Asset ID or Location(s) treated:** Click or tap here to enter text. ☐ **Type of work activity:** Click or tap here to enter text. ☐ **Specific components of assets treated:** Click or tap here to enter text. ☐ **Date of last replacement/repair:** Click or tap here to enter text. ☐ **Quantity of assets treated:** Click or tap here to enter text. ☐ **Cost of work on specific assets:** Click or tap here to enter text. ☐ **Other:** Click or tap here to enter text.
Authoritative system available for tracking **asset specific** work history? *(describe as necessary)*	**System:** Click or tap here to enter text. Click or tap here to enter text.

Data Access Points	
How will the asset inventory and condition data be made accessible to potential users within CTDOT?	**Asset Stewards/Managers:** Click or tap here to enter text. **General Data Users:** Click or tap here to enter text.
How will the asset inventory and condition data be made accessible to potential users external to CTDOT?	Click or tap here to enter text.

Additional Notes
Please provide any additional information which may be useful to the management of the asset:
Click or tap here to enter text.

Glossary

Asset Condition History. Changes in condition over time for the asset - for development of deterioration curves or service life estimates.

Authoritative System. The single source system of record for a particular type of data. This is the data repository where the data is maintained.

Contract Requirements. Contract language that requires provision of asset inventory and/or work accomplishment data elements in a specified format following completion of a project.

Data Access Points. Where users go to obtain data – this may be a desktop application, a web portal, or a data service/API.

Data Dictionary. Data element names, descriptions, types, sizes. May include domain information such as sample values or lists of values.

Derivative Data Set. A data set that is derived from one or more authoritative data sources - e.g. a GIS layer showing basic bridge characteristics - with data pulled from the bridge management system.

Electronic Data Dictionary. Electronic means in a digital, tabular format (e.g. spreadsheet or database table.)

Sensitive Data. Private data such as personally identifying information or other data that should have restricted access for security reasons.

Synchronizing Asset Location. For example, a highway realignment to straighten a curve would shorten a route. A sign that had been located at milepoint 3.0 might now be located at milepoint 2.9. Synchronization would correct milepoint locations in historical data.

***Tip**: use Alt+← to return to the original hyperlink location.*

This page intentionally left blank

Appendix E. Performance Projections

Bridge

Table E-1. % NHS Good, by Deck Area

Funding	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Preferred ($650M)	15.2%	14.6%	15.3%	15.6%	15.8%	15.8%	16.1%	16.3%	16.0%	15.8%	15.6%
Current ($375M)	15.2%	14.6%	14.6%	14.4%	14.0%	13.7%	13.8%	13.8%	13.0%	12.9%	12.6%
No Funding ($0M)	15.2%	14.6%	14.1%	13.7%	13.2%	12.8%	12.3%	11.8%	11.4%	10.9%	10.5%

Table E-2. % NHS Poor, by Deck Area

Funding	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Preferred ($650M)	14.0%	9.4%	9.2%	8.4%	7.0%	6.3%	6.3%	6.7%	7.5%	8.0%	8.4%
Current ($375M)	14.0%	9.4%	9.3%	9.0%	8.0%	6.9%	6.8%	7.3%	8.5%	10.5%	11.4%
No Funding ($0M)	14.0%	12.3%	12.4%	12.7%	13.2%	14.1%	15.3%	17.0%	18.4%	21.2%	26.3%

Table E-3. % CTDOT-Maintained SOGR, by Number of Bridges

Funding	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Preferred ($650M)	94.8%	95.8%	96.3%	96.9%	97.4%	98.3%	98.6%	98.4%	98.1%	97.8%	97.5%
Current ($375M)	94.8%	95.7%	96.1%	96.6%	97.0%	97.3%	98.1%	97.9%	97.5%	96.8%	96.0%
No Funding ($0M)	94.8%	95.4%	95.4%	95.4%	95.4%	95.4%	95.4%	94.9%	94.4%	92.1%	89.3%

Pavement

Table E-4. % Interstate Good, by lane miles

Funding	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Preferred ($475M)	71.2%	72.2%	72.2%	73.5%	72.7%	66.9%	71.1%	70.1%	66.4%	65.3%	63.0%
Current ($94M)	70.9%	71.8%	71.6%	72.1%	70.0%	48.2%	47.3%	48.4%	50.1%	50.3%	32.8%
No Funding ($0M)	70.5%	68.9%	66.5%	63.2%	59.6%	37.4%	34.5%	33.2%	30.8%	28.7%	0.0%

Table E-5. % Interstate Poor, by lane miles

Funding	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Preferred ($475M)	0.2%	0.1%	0.1%	0.1%	0.1%	0.1%	0.2%	0.3%	0.2%	0.3%	0.2%
Current ($94M)	0.2%	0.1%	0.1%	0.1%	0.1%	0.1%	0.2%	0.3%	0.2%	0.3%	0.3%
No Funding ($0M)	0.3%	0.4%	0.4%	0.4%	0.5%	0.5%	0.7%	0.9%	1.0%	1.2%	1.4%

Table E-6. % Non-Interstate NHS Good, by lane miles

Funding	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Preferred ($475M)	42.3%	39.6%	38.5%	38.2%	35.7%	29.0%	29.8%	29.0%	26.2%	24.1%	19.9%
Current ($94M)	40.1%	37.7%	34.9%	33.3%	26.8%	15.6%	15.2%	15.0%	14.6%	15.2%	7.9%
No Funding ($0M)	39.4%	36.8%	33.2%	30.0%	23.4%	13.1%	11.9%	11.6%	10.4%	9.6%	0.0%

Table E-7. % Non-Interstate NHS Poor, by lane miles

Funding	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Preferred ($475M)	2.3%	2.6%	2.8%	3.1%	3.3%	3.6%	4.2%	4.2%	4.5%	5.2%	5.7%
Current ($94M)	2.5%	3.1%	3.4%	3.9%	4.4%	5.1%	5.8%	6.6%	7.7%	8.8%	10.5%
No Funding ($0M)	3.0%	3.9%	4.7%	5.4%	6.4%	7.6%	8.5%	10.1%	11.9%	13.4%	15.8%

Table E-8. % CTDOT-maintained SOGR, by centerline miles

Funding	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Preferred ($475M)	75.2%	77.6%	75.5%	76.2%	76.8%	77.1%	76.3%	77.1%	79.1%	80.8%	81.6%
Current ($94M)	70.8%	71.1%	66.4%	62.7%	58.1%	53.6%	47.9%	44.6%	40.5%	37.4%	34.6%
No Funding ($0M)	66.8%	63.7%	58.9%	53.6%	48.2%	41.8%	34.7%	29.4%	23.4%	16.4%	10.1%

Traffic Signal

Table E-9. % SOGR, by traffic signal

Funding	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Preferred ($45M)	73.1%	70.0%	70.4%	71.4%	72.1%	74.6%	76.1%	77.7%	79.2%	80.1%
Current ($16M)	73.1%	70.0%	67.0%	64.6%	62.9%	62.7%	61.5%	60.5%	59.2%	57.4%
No Funding ($0M)	73.1%	70.0%	65.7%	62.0%	58.0%	55.8%	52.6%	49.5%	46.3%	42.5%

Sign

Table E-10. % Limited Access Roadway Signs SOGR

Funding	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Preferred ($50M)	36.4%	42.4%	45.5%	54.5%	63.6%	72.7%	84.8%	90.9%	100.0%	100.0%
Current ($28M)	36.4%	42.4%	45.5%	54.5%	63.6%	66.7%	72.7%	72.7%	78.8%	84.8%
No Funding ($0M)	36.4%	42.4%	45.5%	45.5%	45.5%	42.4%	42.4%	36.4%	36.4%	36.4%

Table E-11. % Non-Limited Access Roadway Signs SOGR

Funding	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Preferred ($3M)	39.9%	42.8%	45.8%	48.7%	51.6%	54.6%	57.5%	60.4%	63.4%	66.3%
Current ($2M)	39.9%	41.1%	42.3%	43.4%	44.6%	45.8%	46.9%	48.1%	49.3%	50.5%
No Funding ($0M)	38.7%	36.4%	34.0%	31.7%	29.3%	27.0%	24.6%	22.3%	20.0%	17.6%

Sign Support

Table E-12. % Sign Support SOGR, by sign support

Funding	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Preferred ($10.2M)	97.9%	98.0%	97.9%	98.4%	98.4%	98.9%	99.1%	99.7%	99.5%	98.0%
Current ($4M)	97.0%	96.6%	97.4%	95.2%	95.8%	95.1%	95.9%	97.0%	93.0%	84.2%
No Funding ($0M)	96.1%	94.5%	91.7%	88.1%	86.0%	82.3%	81.1%	79.7%	73.3%	59.0%

Pavement Marking

Table E-13. % Line Striping SOGR, by linear foot

Funding	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Preferred ($20M)	40.2%	56.9%	67.9%	69.7%	71.6%	73.4%	74.6%	74.6%	74.6%	74.6%
Current ($6.5M)	29.2%	34.8%	34.8%	35.4%	36.0%	36.7%	36.7%	36.7%	36.7%	36.7%
No Funding ($0M)	14.6%	10.4%	0.6%	0.6%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%

Table E-14. % Symbols SOGR, by square foot

Funding	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Preferred ($5M)	63.8%	81.6%	79.0%	79.0%	79.0%	79.0%	79.0%	79.0%	79.0%	79.0%
Current ($1.5M)	58.9%	71.7%	64.2%	64.2%	64.2%	64.2%	64.2%	64.2%	64.2%	64.2%
No Funding ($0M)	33.1%	26.7%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%

Highway Building

Table E-15. % Tier 1 Highway Buildings SOGR, by building

Funding	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Current ($43M)	85.4%	84.5%	82.5%	80.6%	78.6%	76.7%	78.6%	76.5%	72.5%	70.6%
No Funding ($0M)	85.4%	82.5%	79.6%	76.7%	70.9%	67.0%	66.0%	62.1%	55.3%	49.5%

Table E-16. % Tier 2 Highway Buildings SOGR, by building

Funding	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Current ($11M)	96.0%	95.0%	96.0%	98.0%	96.0%	96.0%	96.0%	96.0%	95.9%	91.8%
No Funding ($0M)	96.0%	95.0%	94.0%	93.0%	89.0%	79.0%	76.0%	76.0%	74.0%	69.0%

Table E-17. % Tier 3 Highway Buildings SOGR, by building

Funding	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028
Current ($0.1M)	69.0%	50.5%	47.9%	46.9%	46.3%	46.7%	46.5%	42.3%	41.8%	39.6%
No Funding ($0M)	69.0%	50.2%	47.4%	46.0%	44.1%	43.7%	43.2%	39.0%	37.6%	35.2%

This page intentionally left blank

Appendix F. TAM Risk Registry

Table F-1. List of Risks Identified

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
Bridge	If we do not change how we address corrosion due to the use of deicing salts on our bridges, then the cost of rehabilitation will take away from maintaining bridge assets in a SOGR	Very High	• Protect the existing concrete from salt with coatings and the use of low permeability concrete on new bridge and superstructure replacements • Continue to rinse bridges	• In Progress/ Deployed • In Progress/ Deployed
Bridge	If we do not have load ratings with models that can run on current software, on all bridges, then we may not be able to quickly evaluate safe loads for deteriorated bridges discovered during inspections	High	• Leverage qualified outside resources to perform load ratings	• In Progress/ Deployed
Bridge	If we don't document institutional knowledge and existing processes, then we will spend more on design time, be less efficient at preparing quality plans, and it will result in longer project schedules.	High	• Document institutional knowledge, provide training, etc. to address attrition within CTDOT	• In Progress/ Deployed
Bridge	If there is inadequate funding, then limited work will be conducted and bridge conditions will deteriorate which may lead to limiting permit loads, having to post bridges for lighter loads or closing bridges.	High	• Prioritize our bridge projects using performance-based decisions. • Develop lower cost project delivery to repair/replace more bridges with the same funding such as design build and Variable Quantity contracting.	• In Discussion • In Progress/ Deployed
Bridge	If we don't address the continual deterioration of a bridge that occurs during the design/bid/award process, then the repairs often tend to exceed the estimated deterioration, leading to increased construction costs and project delays	High	• Use Variable Quantity Contracting to handle field changes.· • Use forensic inspections near design completion.	• In Discussion • In Discussion
Bridge	If we have a lack of bridge maintenance staff and don't continue to maintain our bridges, then bridges will continue to deteriorate leading to more serious bridge conditions requiring a more costly capital project to repair or replace bridges earlier than necessary	Medium	• Share resources by having the Office of Construction (construction inspectors) and the Office of Maintenance Operations / Transportation Maintenance (maintenance district staff) coordinate on bridge maintenance needs thru Bridge Repair Unit (BRU) contracts, administered by the Office of Construction • Hire more bridge maintenance staff to initiate a bridge painting program in the future • Address repairs with Capital Program Funding using Variable	• In Discussion • In Progress/ Deployed • In Discussion

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
			Quantity Contracts and bid the work	
Bridge	If the rate of bridge deterioration increases faster than predicted as bridges age, then the percent of Poor bridges (by deck area) will increase	Medium	• Make necessary adjustments to the deterioration modeling and recommended treatments in the dTIMS software	• Implemented
Bridge	If we don't achieve Poor (by deck area) below 10% by the end of 2019, then FHWA will continue to levy the bridge penalty and there may not be enough eligible NHS-NBI bridge projects available to use the bridge penalty funding, therefore we will lose federal money	Medium	• Develop priorities for Design and Construction to repair and then inspect the NHS-NBI bridge projects with structural deficient components	• In Discussion
Bridge	If we have a lack of design engineering staff, then we won't gain knowledge in the new methods to design more durable bridges and possibly not maximize our federal funds	Medium	• Convince the legislature to increase staff. • Leverage qualified outside resources to help with the bridge design program.	• In Progress/ Deployed • Completed
Bridge	If we have a lack of engineering consultant management staff, then we can't oversee consultants adequately	Medium	• Use in-house design staff to oversee consultants.	• Completed
Bridge	If we do not coordinate with future highway design planning, then we may not pick the most cost-effective solution to rehabilitate or replace our bridges in highway lead projects.	Medium	• Continue to facilitate communication between the Division of Bridge's Bridge Management Group and the Division of Highway Design's Highway Management Unit.	• Implemented
Bridge	If we don't provide correct scope and cost estimates at the initiation of the PPI (Proposed Project Information), then it will impact initial schedules and change costs which may impact the capital plan	Medium	• Update the scope and cost estimates after RSR approvals and subsequent design phases (60%, 90%, etc).	• Implemented
Bridge	If we don't have reliable deterioration modeling, then we won't program appropriate treatments efficiently or cost effectively	Medium	• Take advantage of dTIMS' ability to modify and adjust the deterioration modeling with updated historical information.	• Implemented
Bridge	If we do not predict and prepare accurate schedules at design approval, then it can lead to schedule delays and impacts to the financial program	Medium	• Take advantage of using and maintaining project scheduling programs (Microsoft Project) to generate, mitigate, and track project schedules.	• In Progress/ Deployed
Bridge	If we have a lack of trained staff or equipment for bridge safety inspection (State and Consultants), then we do not discover bridge deficiencies in a timely manner and will not meet the FHWA NBIS Oversight Program	Medium	• Retain staff and maintain equipment. • Hire and train to address the needs.	• Implemented • Implemented
Bridge	If the load on the bridge exceeds the load rating of the bridge,	Medium	• Identify locations that this is frequently occurring.	• In Progress/ Deployed • In Progress/ Deployed

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
	then the bridge may not achieve its expected life		• Coordinate with freight enforcement and regulations to develop a plan to understand and address impacts of loadings to the bridges. • Obtain better information of loadings via the use of technology.	• Initiated
Bridge	If we don't have the ability to permit at preliminary design ("conditional permits") for design-build bridge projects, then we cannot do: a) design/build projects that require permits efficiently ; b) we may eliminate possible design-build project candidates which would save Connecticut money and time	Medium	• Develop performance based permitting to focus upon best practices and limits. • Develop new, improved processes	• In Progress/ Deployed • In Progress/ Deployed
Bridge	If maintenance forces are reduced and repairs of damage or other deterioration are needed that could be repaired in-house, then repairs would need to be accomplished under the Capital Program or done under an Emergency Declaration, costing Connecticut more money to repair	Medium	• Maintain or increase bridge maintenance staff.	• Initiated
Bridge	If we cannot expediently execute the bridge analysis software, then we cannot run scenarios for TAMP performance projections or deliver treatment program recommendations	Medium	• Upgrade software versions outside of TAMP submittal window. • Provide sufficient processing to allow for multiple asset users and longer analysis periods.	• In Discussion • In Discussion
Bridge	If we don't embrace new materials and technologies to reduce future maintenance costs, then we cannot increase investment in capital improvements	Low	• Use other state's knowledge and experiences and CTDOT research for low maintenance materials.	• In Progress/ Deployed
Bridge	If we have inadequate or late public involvement and controversy arises, then it can lead to schedule delays, and we may have to re-scope projects, and experience increased costs	Low	• Early public outreach. • Reinvent new ways to reach stakeholders.	• In Discussion • In Discussion
Pavement	If we don't deliver the recommended projects, then pavement conditions will deteriorate and we will lose public credibility	High	• Defining a multi-year program with estimated timelines, and schedules • Providing management support and commitment • Establish reliable contract vehicles to deliver the paving program.	Initiated
Pavement	If we don't select the right projects then lifecycle costs will increase to achieve or maintain SOGR	High	• Use of flexible, responsive contracting mechanisms • Continually improve the PMS to optimize project selection	In Progress/ Deployed

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
			• Increasing staffing to develop the capability of improved project selection in the PMS • Update the work program to incorporate the tasks and staff required to improve this capability • Tolerate some of this risk in the short-term as new technology is implemented (In particular, technology to capture specific distresses at low severities that trigger preservation treatments)	
Pavement	If staffing levels are inadequate or if staff are not properly trained then program delivery will suffer	High	• Leverage qualified outside resources • Develop a multi-year work program identifying resources needed to achieve objectives • Develop and implement a succession plan	In Progress/ Deployed
Pavement	If we do not consider the complexity of implementing changes in technology, contracting etc. then opportunities that will enable us to achieve SOGR will be missed.	High	• Incorporate change/new technology into the business process • Develop and deploy effective implementation plans • Match resources to objectives	In Progress/ Deployed
Pavement	If we don't get adequate funding then pavement conditions will deteriorate and; future funding needs to achieve or maintain SOGR will increase	High	• Provide adequate funding • Initiate program to specifically address paving needs including the 'Backlog' of pavements in SOBR (State of Bad Repair)	Initiated
Pavement	If construction costs increase then we cannot deliver the recommended program	Medium	• Express paving program needs in terms of lane-miles instead of current costs • Provide flexible funding options	Under Consideration
Pavement	If the materials are of poor quality then performance will be shortened and costs will increase	Medium	• Continue to review specifications and controls to address changes in materials	In Progress/ Deployed
Pavement	If the construction is of poor quality then performance will be shortened, costs will increase, and public perception will be impacted negatively	Medium	• Continue implementation of statistically based specifications that support more consistent and higher quality of construction	In Progress/ Deployed
Pavement	If pavement data are incomplete or of poor quality for the program level then we can't identify correct treatments and costs	Medium	• Implement the QMP (Quality Management Plan) • Develop a QMP for all other data inputs	In Progress/ Deployed
Pavement	If we do not embrace pavement preservation then costs will increase and conditions will decrease (worsen.)	Medium	• Educate and promote pavement preservation practices inside and outside of the Agency • Conduct public outreach to understand preservation project selection • Collaborate with (CT) LTAP for local agency education	Implemented / Ongoing
Pavement	If construction industry can't handle the capacity then pavement conditions will	Medium	• Establish a multi-year plan so that the industry can plan for the program requirements.	In Discussion

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
	deteriorate, maintenance and construction will decline in quality, costs will increase, and some treatments won't be available			
Pavement	If don't routinely address longitudinal paving joints, cracks and potholes then we will shorten the life of the asphalt paving surfaces, particularly at high value roadways and creates a safety issue	Medium	• Institute Crack Fill/Seal Program • Investigate preventative maintenance techniques • Allocate appropriate resources	In Progress/ Deployed
Pavement	If we don't consider the age of the network then we could have unexpected performance and changed field conditions in projects	Medium	• Understanding the impacts of the aging network • Use of nondestructive and forensic techniques to minimize uncertainty	Implemented / Ongoing
Pavement	If there are computer hardware, software, or network issues that result in excessively slow pavement condition processing speeds then pavement condition data will not be delivered in a timely manner in order to produce quality data to submit to FHWA as part of the annual HPMS program, and to run analyses to deliver a data-driven construction program.	Medium	• Implement a pavement data action plan developed during a November 2018 LEAN Event to streamline pavement data processing and work flow.	In Progress/ Deployed
Pavement	If the pavement analysis model is inaccurate then funding could be inadequate, needed projects won't be identified and constructed, and we can't identify correct treatments and cost	Medium	• Review and continuously update analysis inputs: specifically, deterioration models, treatment triggers and costs • Allocate appropriate resources to achieve	In Progress/ Deployed
Traffic Signal	If traffic signal assets deteriorate to a poor condition, then the safety to the public, the efficiency of travel, and the quality of life will be affected	Very High	• Ensure adequate resources are dedicated to these assets and their related activities • Develop and implement an Asset Management Plan	• In Discussion • Initiated
Traffic Signal	If we lack asset inventories with adequate information on condition, then we can't optimize investments and set priorities	Very High	• Develop an inventory of traffic signal assets • Use new technology to inventory assets and document their age/condition • Coordinate with the Offices of Maintenance and Construction to update/maintain the inventory • Improve tracking of part service records to retire components that repeatedly break down and/or do not achieve the expected service life	• Implemented / Ongoing • Under Consideration • In Discussion • In Discussion
Traffic Signal	If there is not adequate maintenance staff who are technically skilled in signal repair, then the performance of traffic	High	• Ensure appropriate and sufficient staff and provide technical training to staff	• In Discussion • Under Consideration

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
	control devices will degrade and public safety will be affected		• Investigate leveraging outside resources for some work if needed/possible	
Traffic Signal	If design staffing is inadequate, then we will not be able to maintain state of good repair and upgrade to current design and safety standards of traffic signal assets	High	• Ensure adequate staff for SOGR projects • Identify possible tasks for on-call consultants for SOGR projects • Develop and implement asset management system to increase efficiency of SOGR projects.	• In Discussion • In Discussion • In Discussion
Traffic Signal	If future regulations (MUTCD, AASHTO, NESC,PURA,etc.) and requirements are revised or developed, then we could face higher costs and efforts to be compliant	High	• Staff engagement and involvement in development of future regulations, so that we have the longest time possible to anticipate future needs and so that the requirements align with CT's needs.	• Under Consideration
Traffic Signal	If we do not coordinate between work units (Bridge Safety, Bridge Design, Office of Maintenance (including District Offices, Highway Operations, and the Signal Lab.) Office of Information Systems (GIS) and Engineering Applications), , then we will not operate as efficiently as we could	High	• Develop a coordination strategy based on the alignment of work schedules and strategic communication • Ensure appropriate offices are included in the Traffic Signal Asset Management working group • Ensure appropriate offices are involved with design reviews • Develop clearly defined roles and responsibilities for each unit	• In Discussion • In Discussion • Implemented / Ongoing • In Discussion
Traffic Signal	If there is not adequate technology, design tools and training, then we cannot meet project deadlines, there will be duplication of work, we will not be able to maintain a state of good repair and upgrade to current design and safety standards and the quality of life will be impacted.	Medium	• Support efforts to update technology, design tools and training	• In Discussion
Traffic Signal	If vehicle and pedestrian detector systems are not functioning properly, then the signal will not run efficiently, safety, congestion, and quality of life will be impacted	Medium	• Identify and implement a method to systematically check and track if detection is functioning properly • Develop a mechanism for on-demand repair	• In Discussion • Under Consideration
Traffic Signal	If politics drives our traffic decisions, then we may install unwarranted traffic signals which could cause issues, or a location could be programmed for an equipment upgrade when there may be a location with a greater need	Medium	• Provide education of the disadvantage of unwarranted traffic signals in coordination with the municipalities • Implement a data driven selection process for locations for equipment upgrades • Evaluate more appropriate traffic control for the intersection (including removal, roundabout, etc.)	• Under Consideration • In Discussion • Initiated
Traffic Signal	If we experience reductions in funding, then the performance of our traffic signal assets will suffer	Medium	• Seek needed funding using data and support information to clearly define the need and consequences of no action	• Under Consideration

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
			• Employ a traffic signal asset system to optimize the use of resources over the life cycle of the assets • Establish dedicated funding for signal maintenance activities	• In Discussion • In Discussion
Traffic Signal	If we do not coordinate between work units within the Division of Traffic Engineering (Operations, Safety, Project Design), then we will not operate as efficiently as we could	Medium	• Develop and employ a prescribed plan to communicate and coordinate work being conducted between units in the Division of Traffic Engineering • Ensure each office has a representative in the Asset Management Working Group • Create dedicated signal asset management section	• Initiated • Initiated • In Discussion
Traffic Signal	If we continue to use the Department's current signal controller requirements, then future upgrades to meet new MUTCD requirements will be more difficult and costly to implement	Medium	• Develop program for continually upgrading requirements for traffic signal equipment to ensure compatibility with current national best practices for optimal flexibility to accommodate future changes	• In Discussion
Sign	If regulatory signs deteriorate to poor condition, then the safety to the public, the efficiency of travel, and the quality of life will suffer.	Very High	• Look into the use of different sheeting types and overlaminate products to be added onto high risk signs (ex. Stop signs) in order to increase life expectancy of reflectivity and reduce graffiti • Effort to be put into reviewing current specifications to have Contractors and Maintenance utilize the same products • Potential for sign replacement project targeting high risk signs to maintain state of good repair	In Discussion
Sign	If warning signs deteriorate to poor condition then the safety to the public, the efficiency of travel, and the quality of life will suffer.	Very High	• Look into the use of different sheeting types and overlaminate products to be added onto high risk signs (ex. Stop signs) in order to increase life expectancy of reflectivity and reduce graffiti • Effort to be put into reviewing current specifications to have Contractors and Maintenance utilize the same products • Potential for sign replacement project targeting high risk signs to maintain state of good repair	In Progress/ Deployed
Sign	If design staff levels are inadequate then we will not be able to maintain a state of good repair for signs.	Very High	• Outsource to Consultants • Reprioritize staffing • Add staffing	Under Consideration
Sign	If staff is not trained to an adequate level then we will not operate as efficiently as we should. There will be potential duplication of efforts, wasted	High	• Come up with a training plan for implementation	Under Consideration

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
	resources, impacts to public safety and negative public perception.			
Sign	If guide signs deteriorate to poor condition then the safety to the public, the efficiency of travel, and the quality of life will suffer.	High	• Look into the use of different sheeting types and overlaminate products to be added onto high risk signs (ex. Stop signs) in order to increase life expectancy of reflectivity and reduce graffiti • Effort to be put into reviewing current specifications to have Contractors and Maintenance utilize the same products • Potential for sign replacement project targeting high risk signs to maintain state of good repair	In Discussion
Sign	If sign inventory is not complete and current then we cannot optimize investments and set priorities.	High	• Comprehensive plan to address the needs of Maintenance and Design. • Potentially reinventory.	Initiated
Sign	If there is a lack of adequate maintenance staff to fabricate, install & repair signs then the performance of sign devices will degrade and public safety will be affected.	High	• Add staffing • Upgrade fabrication equipment • Look into fabrication techniques to allow for faster fabrication such as digital printing	Under Consideration
Sign	If posted signs do not match roadway conditions then drivers may not be prepared for the roadway conditions.	High	• Program projects to address identified deficiencies	Under Consideration
Sign	If posted signs do not match approved OSTA signage requirements and MUTCD requirements then FHWA funding may be in jeopardy, potential for litigation based on incorrect signage, and potential for crashes.	High	• Complete TIR's in a timely manner • Compare authoritative databases for discrepancies	Initiated
Sign	If there is not adequate coordination with the Division of Bridges then we cannot meet project deadlines and we will not be able to maintain a state of good repair and the efficiency of travel will be impacted.	Medium	• Improve coordination. • See if Bridge Design can create a plan to utilize On-Call staff more efficiently. • Standardize structure types to reduce in-house design time.	In Progress/ Deployed
Sign	If sign posts are not installed properly then sign visibility and sign post breakaway safety features may be minimized.	Medium	• As signs are replaced, replace the post with a proper breakaway post. • Maintain quality control on the specifications.	Implemented
Sign	If there is a lack of support staff (clerical, planning, OEP, Environmental Compliance) for project delivery then we cannot meet project deadlines and we will not be able to maintain a state of good repair and overall efficiency.	Medium	• Add staffing • Streamline required procedures	Implemented
Sign	If signing decisions are determined by public acts set	Medium	• Use signs only where justified by engineering judgment or studies.	Under Consideration

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
	forth by the legislature then we will install signs that cause confusion, clutter, violate federal standards, and detract resources.			
Sign	If there is not adequate technology, design tools and training then we cannot meet project deadlines, there will be duplication of work, we will not be able to maintain a state of good repair and the efficiency of travel and quality of life will be impacted.	Medium	• Make purchases • Develop plan to stay current and effective.	In Progress/ Deployed
Sign	If funding is inadequate then the performance of the signs will suffer.	Medium	• Accept the risk	Under consideration
Sign	If future regulations and requirements are instituted then we could face higher costs, greater efforts to remain compliant, greater demands on limited resources, and negative initial public perception.	Medium	• Accept the risk	Under consideration
Sign	If new technologies are not implemented at the sign shop or for sheeting materials then retroreflective properties of the signing will degrade requiring more frequent replacement.	Medium	• Continue coordination with sheeting manufacturers • Make purchases as necessary • Receive training on new equipment	Under Consideration
Sign	If the Department's sign catalog, associated database, and sign details are not current and accurate then Department staff and Consultants can't request proper signage; the Sign Shop will receive orders for obsolete signs; and signage being installed will not meet current MUTCD requirements.	Low	• Update all sign details • Update the sign catalog • Update the associated database	Completed
Sign	If there is not adequate coordination within the Division of Traffic then we will not operate as efficiently as we should. There will be wasted resources, duplication of efforts, and negative public perception.	Low	• Improve coordination • Potential for Lean or reorganization to eliminate gaps	In Progress/ Deployed
Sign	If there is not adequate coordination with the Office of Maintenance then we will not operate as efficiently as we should. There will be potential duplication of efforts, wasted resources, impacts to public safety and negative public perception.	Low	• Continue coordination as necessary • Create opportunities to improve technology for the signing crews	In Progress/ Deployed
Sign	If there are not adequate sign shop supplies and equipment then Maintenance staff will not	Low	• Make purchases • Try to maintain current technologies	Under Consideration

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
	be able to replace and repair signs.			
Sign	If new technologies are not implemented for designers then quality and quantity of signing projects will not be able to be improved.	Low	• Continue to implementing and utilizing new technology as it becomes available	In Progress/ Deployed
Sign Support	If we don't have an accurate or complete inventory, then we cannot properly manage this asset	High	• Take advantage of the process developed and implemented to complete the inventory and to continually update the inventory.	Implemented
Sign Support	If standards change (for signs or sign supports), then existing good sign supports may need to be replaced	Medium	• Use safety factors for the design of new signs. • Explore the real need to upgrade existing signs.	In Progress/ Deployed
Sign Support	If sign supports are not inspected regularly, then there is the potential for failure	Medium	• Return to inspecting regularly and adjusting the inspection cycle to every 6 years for sign supports in a State of Good Repair.	Implemented
Sign Support	If we have a lack of Bridge Safety & Evaluation staff for inspection due to insufficient funding, then it impedes the management of the sign support asset due to lack of current condition information	Medium	• Increase the funding to cover the inspection cost.	Under Consideration
Sign Support	If there is insufficient funding for sign support replacements, then there is the potential for failure and will create a backlog of asset needs	Medium	• Seek funding as needed. • Give these projects a higher priority in the obligation plan, during the project prioritizations.	In Progress/ Deployed
Sign Support	If new and altered sign supports are not properly accounted for, then we will not have a complete inventory which can lead to possible duplication of inspections or overlooked inspection cycle	Low	• Assign central point of contact between Traffic and Bridge Safety. • Bridge Safety & Evaluation Point of Contact attends weekly Traffic status meetings.	Implemented
Sign Support	If there is not adequate coordination between the Division of Highway Design and the Division of Traffic Engineering for guiderail design to protect the sign support, then project schedules need to be adjusted and appropriate design features may not be included which would lead to change orders in construction.	Low	• Improve coordination. • See if Highway Design can create a plan to utilize On-Call staff more efficiently. • See if there is a way to incorporate a design/build spec into projects for guiderail	Under Consideration
Pavement Marking	If there is insufficient staffing due to sign priorities, VIP paving, complaints, and available staff skill sets, then less work will get done and safety will be impacted.	Very High	• Address staffing issues • Address critical need for specially trained operators	• In Progress/ Deployed • In Progress/ Deployed
Pavement Marking	If funding decreases or is uncertain, then less work will get done and safety will be impacted	Very High	• Take steps to ensure necessary funding	• In Discussion

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
Pavement Marking	If weather conditions are not favorable for paint application (cold/rain), then less work will get done and safety will be impacted	High	• Adopt strategies to account for variability in weather	• Implemented / Ongoing
Pavement Marking	If equipment is not functioning properly and up-to-date for application needs (example painting of rumble strips, etc.), then work cannot be achieved and safety will be impacted	High	• Develop plan to address critical equipment redundancy needs;	• Implemented / Ongoing
Pavement Marking	If there is insufficient MPT (Maintenance and Protection of Traffic) staff and equipment, then work cannot be achieved and safety will be impacted	High	• Improve coordination between Signs & Markings and MPT crew schedules; availability of cone trucks for sign and marking operations	• Implemented / Ongoing
Pavement Marking	If the carbide plow blades are damaging the lane striping, then the lane striping will not perform as intended	Medium	• Seek to install grooved centerline pavement markings	• Implemented / Ongoing
Pavement Marking	If the quality of paint is poor but meets specifications, then 1) the longevity of the markings are reduced and 2) in some cases impacts ability to apply, clogs equipment, decreases productivity	Medium	• Review the specifications and what materials meet the specifications under the contract. Consider reducing length of contract to reduce the impact of poor quality paints that meet the specifications but do not perform well. • Address National performance standards through cooperation with NTPEP testing.	• In Discussion • In Discussion
Pavement Marking	If the public drives over wet paint, then claims will increase	Medium	• Seek operational improvements that allow for additional painting without the concern of impacting the travelling public. Extra effort already being done by using additional cones and no longer painting both white and yellow lines. • Seek out improving drying times and operational options - continue to cooperate with AASHTO testing at NTPEP.	• Implemented / Ongoing • Implemented / Ongoing
Pavement Marking	If MUTCD standards change, then more work is required	Low	• Anticipate changes to MUTCD and develop strategy to effectively transition to new standards	• In Discussion
Highway Building	If we don't address the deteriorated Tier 3 buildings resulting from the 2017/2018 building inspections, then employees could be injured and equipment could be damaged	Very High	• Identify and prioritize Tier 3 buildings to be demolished • Initiate a new mini-program to demolish any identified structure that can be removed from inventory as funding becomes available • Lock all priority buildings immediately to prevent future access • Include any priority buildings whose function must remain in future capital projects that	• Completed • Completed • Initiated • Initiated

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
			renovate a major structure on the same site within the next 3 years	
			• Determine a means to address any priority buildings remaining after all other demolition/replacement options are exhausted	• Under Consideration
Highway Building	If we have a lack of building maintenance staff to make minor building repairs and perform minimal preventative maintenance on our buildings, then buildings will deteriorate at a faster rate than predicted	Very High	• Timely replacement of maintenance staff as they leave state service so building repairs can continue	• Under Consideration
			• Hire additional building maintenance staff to initiate a standard and reoccurring preventative maintenance program for all Tier 1 and Tier 2 buildings	• Under Consideration
Highway Building	If we do not keep our building condition data current, then we will not be able to have a data driven and transparent program	High	• Research and implement a Facilities Management System (FMS) that can issue work orders that automatically update asset condition data as work orders are completed	• Initiated
			• Develop and implement a method to get notified of minor capital repairs that impact overall building condition so condition data in InspectTech can be updated manually until an FMS can be implemented	• Under Consideration
Highway Building	If we do not get the necessary funding, then the capital program will be reduced and building conditions will drop below a SOGR	Medium	• Use asset management data to support current financial strategies and justify increased financial needs in the future	• Implemented / Ongoing
Highway Building	If we don't deliver the recommended projects, then building conditions will deteriorate below desired thresholds	Medium	• Use Microsoft Project to monitor and track design schedules	• Implemented / Ongoing
			• Monitor and track project funding to confirm the necessary funding is in place at the required time	• Implemented / Ongoing
Highway Building	If staffing levels are inadequate or if staff are not properly trained, then program delivery will suffer	Medium	• Continue to leverage qualified outside Consultant resources	• Implemented / Ongoing
			• Resource load the program to determine the minimum and optimal staffing levels required to deliver the program	• Under Consideration
			• Develop a succession plan	• Under Consideration
Highway Building	If the rate of building deterioration increases faster than anticipated as buildings age, then the percent of buildings in a SOGR will decrease	Medium	• Refine deterioration modeling and building life-cycles	• In Discussion
			• Increase the number of SOGR upgrades buildings receive between major renovations or replacements	• In Discussion
			• Refine the proposed 10-year cycle between building condition inspections	• In Discussion

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
			• Seek and justify additional funding if necessary	• Implemented / Ongoing
Highway Building	If we do not increase the size and operational capacity of our maintenance and repair facilities as the fleet increases in size, then we will be unable to maintain and store the fleet inside making the buildings functionally obsolete	Low	• Coordinate with Maintenance to determine future fleet changes • Request a list of functionally obsolete buildings from Maintenance to ensure those buildings are included in the process to determine the future capital program	• Implemented / Ongoing • Under Consideration
Highway Building	If we do not research and implement new technologies, then the functionality and energy efficiency of our buildings will decrease and life cycle costs for parts and repairs will increase as the industry phases out old technologies	Low	• Have Design Engineers research new products coming into the industry • Attend Vendor/Building Code seminars • Meet with Sales Representatives of the major building components to stay informed of future industry and technological advancements	• Implemented / Ongoing • Implemented / Ongoing • Implemented / Ongoing
Highway Building	If we do not follow documented design standards and processes, then we will spend more time on design efforts and have buildings that are not standardized which will increase life cycle costs	Low	• Continue to document institutional knowledge, provide training, etc. to address attrition within CTDOT • Update the Facilities Design Manual as design standards and processes change	• Implemented / Ongoing • Implemented / Ongoing
Highway Building	If we don't select the right projects, then life cycle costs to achieve or maintain a SOGR will increase	Low	• Continually improve the project selection process • Begin to transition from a manual project selection process to a data driven transparent process	• Implemented / Ongoing • In Discussion
TAM	If there is insufficient funding to support the design, construction and maintenance of assets, then the targets set in our TAMP cannot be achieved	Very High	• Identify and implement mechanisms to optimize and prioritize the use of funding towards maximum benefit in achieving SOGR	• Under Consideration
TAM	If there is insufficient staffing to support the design, construction and maintenance of assets, then the targets set in our TAMP cannot be achieved	Very High	• ·Quantify impacts to asset performance due to staffing shortages • Prioritize work and allocate staff based on most critical needs • Seek alternative means to achieve work	• Under Consideration • In Progress/ Deployed • In Discussion
TAM	If a significant percentage of the of the assets are beyond the expected life (age), then the practical ability to achieve SOGR will be impeded	High	• Monitor relationship(s) between age and expected lifecycle/performance • Evaluate tradeoff to lifecycle for replacement vs rehabilitation on SOGR	• In Progress/ Deployed • Initiated
TAM	If there is insufficient ability to collect, store, retrieve, analyze, interpret and report data, then key asset management functions, such as current and projected performance prediction, cannot be properly achieved	High	• Develop and implement an effective strategy to provide information technology support for asset management functions	• Initiated

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
TAM	If there is not public stakeholder understanding of preservation practices over 'worst first' practices, then there will be confusion regarding project selection, diminished credibility and lack of public support	High	• Develop a communication plan that includes information for public stakeholders	• In Discussion
TAM	If work is not programmed based on TAM methodologies, then there will be inefficient use of funding, reduction in the ability to achieve SOGR, reduced credibility to the program and potential FHWA financial penalties in bridge and pavement programs	High	• Utilize information from TAM methods to program work • Track and quantify work programmed based on TAM methodologies to analyze the effectiveness to achieving SOGR	• Under Consideration • Under Consideration
TAM	If multiple processes to handle each asset are not streamlined into a unified asset management approach, then the effectiveness of programming according to TAM methods will be reduced.	High	• Understand and accept the benefits of the asset management approach • Have mechanisms in place to facilitate unified management across functional areas (e.g. Asset Working Groups) • Accept that a percentage of work will not be done according to TAM methods • Executive support for unified approach	• In Progress/ Deployed • In Discussion • Implemented • Initiated
TAM	If there is not sufficient alignment with the STIP CTDOT Statewide Transportation Improvement Program (STIP), then CTDOT will not pass the consistency determination assessment and penalties will be imposed.	High	• Refine a strategy to track asset management specific work • Prepare information for the consistency determination assessment	• Under Consideration • Implemented
TAM	If there are not processes in-place to systematically manage and maintain additional assets, specifically those not yet included in the TAMP, then these additional assets will deteriorate and the SOGR will be impacted	Medium	• Identify and prioritize additional assets • Develop plans to address SOGR of these additional assets • Include in future TAMPs	• Initiated • Initiated • Initiated
TAM	If there is not adequate understanding, acceptance and support at the executive and management levels, then the objectives of the TAMP will not be achieved	Medium	• Efforts should be conducted to sustain engagement, including: 1) reaching out to new executives and managers; 2) continue communication to steering committee	• Implemented
TAM	If there is not adequate understanding, acceptance and support at the working level, then the objectives of the TAMP will not be achieved	Medium	• Support of asset working groups • Disseminate information and set clear expectations • Provide training	• Under Consideration • Initiated • Under Consideration
TAM	If key knowledgeable staff involved in the TAM lifecycle are not retained, then progress towards implementation of TAM will be stagnated	Medium	• Train multiple staff to be less dependent upon the expert knowledge of one/few people • Provide career opportunities and favorable working conditions to retain experienced staff	• Under Consideration • Under Consideration

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
			• Document procedures to address turn-over	• Under Consideration
TAM	If there are not adequate (electronic, user-friendly, accurate, and timely) asset management collection and storage systems, then we do not have the foundational data needed for effective TAM practices	Medium	• Improved mechanisms to adopt and contract technological advancements • Provide training to users • Own data in non-proprietary formats to allow for integration with newer data management systems	• Under Consideration • Under Consideration • Under Consideration
TAM	If there are not processes in-place to systematically manage and maintain additional assets included in the TAMP other than bridge and pavement, then these additional assets will deteriorate and the SOGR will be impacted	Medium	• Continue to manage these assets • Develop plans to address SOGR of these additional assets	• Under Consideration • Initiated
TAM	If we do not have a FHWA certified TAMP in accordance with the deadlines set forth by legislation, then the Department is penalized with a reduction in Federal participation from 80/90% to 65%, resulting in an additional $100 Million in State funds needed to maximize Federal dollars.	Medium	• Continue efforts to support and meet applicable TAM requirements including those for the FHWA Annual Consistency Determination.	• Implemented
TAM	If there is not coordination with other plans (such as CTDOT Statewide Transportation Improvement Program (STIP), CT Strategic Highway Safety Plan, CTDOT Freight Plan, CTDOT Long Range Plan, etc.), then: 1) the benefits of the TAM will not be fully realized; 2) there is potential for wasting resources as well as overlap/redundancy; 3) the credibility of the Department and program will be impacted.	Medium	• Strategically improve coordination as the plans are developed and evolve along with the ability to quantify and project performance.	• Under Consideration
TAM	If there is not the ability to easily adapt organizationally or technologically, then CTDOT will not be able to integrate new processes and improvements that will enable the cost effective and timely management of assets.	Medium	• Explore agile contracting and delivery that allows the organization to adapt technology in a timely manner • Seek improved methods of implementing improved processes.	• Initiated • Under Consideration
TAM	If we do not make the minimum condition requirements for pavement and bridge, then we lose flexibility to move funding between asset needs and restricts our financial planning.	Medium	• Concentrated effort to address minimum condition requirements.	• In Progress/ Deployed
TAM	If best practices for security and back-up of asset data are not employed, then the data needed	Low	• Design and employ data management best practices including security and back-ups	• In Progress/ Deployed

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
	to employ TAM will not be readily available, extensive work and cost will be required to rebuild asset data, if at all possible.			

Table F-2. List of Opportunities Identified

Asset	Risk Statement	Risk Rating	Mitigation Strategies	Mitigation Status
Traffic Signal	If we have accurate inventory and condition information, then we will be able to more efficiently address deployment of future regulations and requirements	Medium	• Tie traffic signal inventory into future Maintenance Management System (currently at RFP stage;) develop electronic MAINT-88 forms	• In Discussion
Sign	If new sign sheeting technologies are implemented then sign replacement needs may be reduced.	Medium	• Research and implement new sign sheeting technologies	• Under Consideration
Sign	If new design technologies are implemented then the associated design man hours can be reduced.	Medium	• Research and implement design technologies associated with geospatial CAD initiatives and CAD to GIS/authoritative database capabilities	• In Progress/ Deployed
Sign	If a new sign catalog, associated database, and sign details are created then the format of the information can be revised to a more user friendly form.	Low	• The Division of Traffic Engineering completed a new sign catalog, associated database, and sign details on 12/31/18. • Continue to update the documents as details are created or revised.	• Completed

Appendix G. Summary of Part 667 Evaluation (November 21, 2018)

Attachment
bcc: Comr. Redeker – Dep Comr. Barry – Pam Sucato
Mark D. Rolfe – Scott A. Hill – James A. Fallon – Karen M. Riemer
Thomas Maziarz – Colleen Kissane – Edgardo Block
Paul Rizzo
Robert Card
Richard Andreski
Judd Everhart – Kevin Nursick

STATE OF CONNECTICUT
DEPARTMENT OF TRANSPORTATION

2800 BERLIN TURNPIKE, P.O. BOX 317546
NEWINGTON, CONNECTICUT 06131-7546
Phone: (860) 594-2931

November 21, 2018

Ms. Amy Jackson-Grove
Division Administrator
Federal Highway Administration
628-2 Hebron Avenue, Suite 303
Glastonbury, Connecticut 06033

Dear Ms. Jackson-Grove:

Subject: Connecticut DOT's Periodic Evaluation of Facilities Repeatedly Requiring Repair and Reconstruction due to Emergency Events

Attached is Connecticut DOT's process with which we evaluated Facilities Repeatedly Requiring Repair and Reconstruction due to Emergency Events for your review. This evaluation has been prepared in accordance with U.S. Code Title 23, Part 667. The evaluation concluded that there were no roads, highways or bridges on the NHS that have required repair and reconstruction activities on two or more occasions due to emergency events in Connecticut.

Please contact Karen Riemer at (860) 594-3177 if you have any questions.

Very truly yours,

Mark D. Rolfe
Chief Engineer
Bureau of Engineering and Construction

CTDOT FHWA Part 667 Evaluation Report – November 2018

The Connecticut Department of Transportation (CTDOT) has conducted an evaluation to identify if there are roads, highway and bridges that have required repairs and reconstruction due to emergency events in accordance with Federal Rules and Regulations (MAP-21/FAST-Act.) This requirement, commonly referred to as 'Part 667,' is the second part to the requirement for each State to develop a Risk-Based Transportation Asset Management Plan (TAMP) to improve and preserve the condition of assets on the National Highway System (NHS.) CTDOT's initial TAMP was certified by FHWA in July 2018 and is available on link: https://www.ct.gov/dot/lib/dot/documents/dplansprojectsstudies/plans/ctdot-tamp-fhwa-certified-20180724.pdf

This report provides information on federal legislative context, Connecticut's initial evaluation methodology, results from of initial evaluation, future federal evaluation requirements and proposed process improvements to address the process of tracking for the future requirements.

Federal Legislative Context

As stated in Title 23 Code of Federal Regulations, Part 667 (dated October 24, 2016): 'Each State, acting through its Department of Transportation (State DOT), shall conduct statewide evaluations to determine if there are reasonable alternatives to roads, highway, and bridges that have required repair and reconstruction activities on two or more occasions due to emergency events. The evaluations shall be conducted in accordance with the requirements in this part.'

Regulations include:

- Timing of Evaluations

  Not later than November 23, 2018, the State DOT must complete the statewide evaluation for all NHS roads, highways and bridges. The beginning date for every evaluation under this part shall be January 1, 1997. The end date must be no earlier than December 31 of the year preceding the date on which the evaluation is due for completion.

- Definition of Emergency Event
  '*Emergency event* means a natural disaster or catastrophic failure resulting in an emergency declared by the Governor of the State or an emergency or disaster declared by the President of the United States.'

Initial Evaluation Methodology

Reasonable efforts were conducted to the evaluation process involved identification of the emergency events, internal interviews, retrieval of data and information, and meetings with key personnel.

Emergency events, according to the Part 667 definition, were identified for the time period January 1, 1997 – December 31, 2017 in Connecticut using information from the FEMA website. The summary of events is listed in Table 1.

Table 1: Emergency Events in Connecticut (January 1, 1997 – December 31, 2017)*

	Connecticut	Emergency Declaration Date	Incident Period	
			Start	End
1	Snowstorm	3/11/2003	2/17/2003	2/18/2003
2	Snow	1/15/2004	12/5/2003	12/7/2003
3	Hurricane Katrina Evacuation	9/13/2005	8/29/2005	10/1/2005
4	Snow	5/2/2006	2/11/2006	2/12/2006
5	Hurricane Irene	8/27/2011	8/26/2011	9/1/2011
6	Severe Storm	10/31/2011	10/29/2011	10/30/2011
7	Hurricane Sandy	10/28/2012	10/27/2012	11/8/2012
8	Severe Winter Storm	2/10/2013	2/8/2013	2/11/2013

*Source: https://www.fema.gov/disasters/

Initial meetings and interviews were conducted beginning in 2016 with key personnel in the Offices of Highway Operations and Maintenance, Policy and Planning, Hydraulics and Drainage, and Bridge. Experience was cited with various assets and additional information was sought on the specific nature of repairs and funding. Discussions included identification of efforts that have been taken to assess and address resiliency of assets. An inquiry was made to the FHWA-CT staff to determine if their records could provide information to address this evaluation. In addition, inquiries were made with asset owners during the TAMP Building processes, and in particular during the risk registry development to identify assets requiring repairs from emergency related events.

In 2018, meetings were held with staff from Financial Services to review their available data for tracking FHWA Emergency Relief (ER) funding. Additional meetings were held to identify other sources of federal funding for emergency events such as FEMA's Disaster Relief Fund (DRF) and HUD Capitol Fund Emergency/Natural Disaster Fund.

ER and HUD documentation included information that was retained electronically and included specific asset locations. FEMA documentation was retained in paper file format and did not include asset specific information.

To conclude the evaluation process, a meeting was held in October 2018 with key staff whose roles involve asset resiliency. Representation included the Offices of Asset Management, Environmental Planning, Hydraulics and Drainage, Highway Operations and Maintenance, Financial Services and FHWA-

CT. During this meeting the 667 Evaluation process was presented. Participants were asked to conduct additional reviews.

Results of Initial Evaluation (January 1, 1997 – December 31, 2017)

The meetings and reviews regarding Part 667 concluded:

There were no roads, highways or bridges on the NHS that have required repair and reconstruction activities on two or more occasions due to emergency events in Connecticut.

Future Evaluation Requirements

The State DOT shall update the evaluation after every emergency event to the extent needed to add any roads, highway or bridges affected by the event. The State DOT shall review and update the entire evaluation at least every 4 years. In establishing its evaluation cycle, the State DOT should consider how this evaluation can best inform the State DOT's in preparation of its asset management plan and STIP.

Beginning on November 23, 2020, for all roads, highway, and bridges not included in the evaluation under part (a) of the regulation, the State DOT must prepare an evaluation that conforms with this part for the affected portion of the road, highway, or bridge prior to including any project relating to such facility in its STIP.

Process Improvements

A Task Group will be formed based on participants of the October 2018 meeting, with the purpose of facilitating exchange of information regarding resiliency and the Part 667 Evaluation.

In addition, it is proposed that this group will meet one-month following each potential emergency event to review the impact to assets, track information for the 667 Evaluation, and report on actions to address resiliency.

The process of financial tracking of FHWA Emergency Relief (ER) funds will continue. Tracking of other Federal funds for emergency events will be improved, with a focus on recording asset specific information.

CTDOT will review and update the evaluation at least every four years and seek to consider the evaluation plan in preparation of the asset management plan and STIP processes.

PART 667—PERIODIC EVALUATION OF FACILITIES REPEATEDLY REQUIRING REPAIR AND RECONSTRUCTION DUE TO EMERGENCY EVENTS

Sec.
667.1 Statewide evaluation.
667.3 Definitions.
667.5 Data time period, availability, and sources.
667.7 Timing of evaluations.
667.9 Consideration of evaluations.

Authority: Sec. 1315(b) of Pub. L. 112–141, 126 Stat. 405; 23 U.S.C. 109, 144, and 315; 49 CFR 1.85.

§ 667.1 Statewide evaluation.

Each State, acting through its department of transportation (State DOT), shall conduct statewide evaluations to determine if there are reasonable alternatives to roads, highways, and bridges that have required repair and reconstruction activities on two or more occasions due to emergency events. The evaluations shall be conducted in accordance with the requirements in this part.

§ 667.3 Definitions.

For purposes of this part:

Catastrophic failure means the sudden failure of a major element or segment of a road, highway, or bridge due to an external cause. The failure must not be primarily attributable to gradual and progressive deterioration or lack of proper maintenance.

Evaluation means an analysis that includes identification and consideration of any alternative that will mitigate, or partially or fully resolve, the root cause of the recurring damage, the costs of achieving the solution, and the likely duration of the solution. The evaluations shall consider the risk of recurring damage and cost of future repair under current and future environmental conditions. These considerations typically are a part of the planning and project development process.

Emergency event means a natural disaster or catastrophic failure resulting in an emergency declared by the Governor of the State or an emergency or disaster declared by the President of the United States.

Reasonable alternatives include options that could partially or fully achieve the following:

(1) Reduce the need for Federal funds to be expended on emergency repair and reconstruction activities;

(2) Better protect public safety and health and the human and natural environment; and

(3) Meet transportation needs as described in the relevant and applicable Federal, State, local, and tribal plans and programs. Relevant and applicable plans and programs include the Long-Range Statewide Transportation Plan, Statewide Transportation Improvement Plan (STIP), Metropolitan Transportation Plan(s), and Transportation Improvement Program(s) (TIP) that are developed under part 450 of this title.

Repair and reconstruction means work on a road, highway, or bridge that has one or more reconstruction elements. The term includes permanent repairs such as restoring pavement surfaces, reconstructing damaged bridges and culverts, and replacing highway appurtenances, but excludes emergency repairs as defined in 23 CFR 668.103.

Roads, highways, and bridges means a highway, as defined in 23 U.S.C. 101(a)(11), that is open to the public and eligible for financial assistance under title 23, U.S.C.; but excludes tribally owned and federally owned roads, highways, and bridges.

§ 667.5 Data time period, availability, and sources.

(a) The beginning date for every evaluation under this part shall be January 1, 1997. The end date must be no earlier than December 31 of the year preceding the date on which the evaluation is due for completion. Evaluations should cover a longer period if useful data is reasonably available. Subject to the timing provisions in § 667.7, evaluations must include any road, highway, or bridge that, on or after January 1, 1997, required repair and reconstruction on two or more occasions due to emergency events.

(b) State DOTs must use reasonable efforts to obtain the data needed for the evaluation. If the State DOT determines the necessary data for the evaluation is unavailable, the State DOT must document in the evaluation the lack of available data for that facility.

(c) A State DOT may use whatever sources and types of data it determines are useful to the evaluation. Available data sources include reports or other information required to receive emergency repair funds under title 23, other sources used to apply for Federal or nonfederal funding, and State or local records pertaining to damage sustained and/or funding sought.

§ 667.7 Timing of evaluations.

(a) Not later than November 23, 2018, the State DOT must complete the statewide evaluation for all NHS roads, highways and bridges. The State DOT shall update the evaluation after every emergency event to the extent needed to add any roads, highways, or bridges subject to this paragraph that were affected by the event. The State DOT shall review and update the entire evaluation at least every 4 years. In establishing its evaluation cycle, the State DOT should consider how the evaluation can best inform the State DOT's preparation of its asset management plan and STIP.

(b) Beginning on November 23, 2020, for all roads, highways, and bridges not included in the evaluation prepared under paragraph (a) of this section, the State DOT must prepare an evaluation that conforms with this part for the affected portion of the road, highway, or bridge prior to including any project relating to such facility in its STIP.

§ 667.9 Consideration of evaluations.

(a) The State DOT shall consider the results of an evaluation prepared under this part when developing projects. State DOTs and metropolitan planning organizations are encouraged to include consideration of the evaluations during the development of transportation plans and programs, including TIPs and STIPs, and during the environmental review process under part 771 of this title. Nothing in this section prohibits State DOTs from proceeding with emergency repairs to restore functionality of the system, or from receiving emergency repair funding under part 668 of this title.

(b) The FHWA will periodically review the State DOT's compliance under this part, including evaluation performance, consideration of evaluation results during project development, and overall results achieved. Nothing in this paragraph limits FHWA's ability to consider the results of the evaluations when relevant to an FHWA decision, including when making a planning finding under 23 U.S.C. 134(g)(8), making decisions during the environmental review process under part 771 of this title, or when approving funding. The State DOT must make evaluations required under this part available to FHWA upon request.

Dated: October 11, 2016.

Gregory G. Nadeau,

Federal Highway Administrator.

[FR Doc. 2016–25117 Filed 10–21–16; 8:45 am]

BILLING CODE 4910–22–P