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RURAL TRANSPORTATION CONSULTATION PROCESSES

STATE-BY-STATE SUMMARIES OF THE PROCESSES USED AND LOCAL VIEWS ON THEM

NATIONAL ACADEMY OF
PUBLIC ADMINISTRATION

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PREFACE

This supplement to the Academy's panel report, *Rural Transportation Consultation Processes* (May 2000), was prepared by the Academy staff following guidelines established by agreement between the Academy panel, the Federal Highway Administration (FHWA), and the many federal, state, and local advisors involved in preparing the May 2000 report.

The supplement contains information describing the processes being used by the 50 state departments of transportation (plus Puerto Rico), the context within which these consultations take place, and local views on the processes. No analysis, findings, conclusions, or recommendations are included in this informational supplement.

The Academy wishes to thank FHWA for sponsoring this additional effort and the many cooperating state and local officials who made the compilation of this information possible.

Robert J. O'Neill, Jr.
President

TABLE OF CONTENTS

PREFACE.....iii

ACRONYMS.....vii

INTRODUCTION..... 1

PART I: METHODOLOGY FOR PRODUCING THE STATE-BY-STATE INFORMATION IN PART II..... 4

Summaries of the SDOT Consultation Processes 6
Drafting the Summaries..... 6
State Review of Summaries 9
The Context for Non-Metropolitan Consultation.....10
Importance of Unique State Characteristics 10
State Review of the Context Descriptions 14
Views of Local Officials 14
Results 15

PART II: STATE-BY-STATE INFORMATION 17

Alabama 19
Alaska.....23
Arizona 29
Arkansas 35
California 39
Colorado 45
Connecticut 51
Delaware 55
Florida 59
Georgia 65
Hawaii 71
Idaho 75
Illinois 79
Indiana 85
Iowa 91
Kansas 99
Kentucky 105
Louisiana 109
Maine 113
Maryland 119
Massachusetts 125

Michigan 131
Minnesota 139
Mississippi 147
Missouri 151
Montana 155
Nebraska 159
Nevada 165
New Hampshire 169
New Jersey 173
New Mexico 175
New York 181
North Carolina 187
North Dakota 191
Ohio 195
Oklahoma 201
Oregon 205
Pennsylvania 209
Rhode Island 213
South Carolina 215
South Dakota 219
Tennessee 225
Texas 229
Utah 235
Vermont 241
Virginia 245
Washington 251
West Virginia 257
Wisconsin 261
Wyoming 267

Puerto Rico 273

TABLE AND APPENDIX

Table 1: Some Variations in State Characteristics Affecting Non-Metropolitan Consultations 13

Appendix A: Staff 277

ACRONYMS

AASHTO	American Association of State Highway and Transportation Officials
Academy	National Academy of Public Administration
COG	Council of Governments
FHWA	Federal Highway Administration
FTA	Federal Transit Administration
ISTEA	Intermodal Surface Transportation Efficiency Act of 1991
MPO	Metropolitan Planning Organization
RPO	Rural Planning Organization
SDOT	State Department of Transportation
STIP	State Transportation Improvement Program
TEA-21	Transportation Equity Act for the Twenty-First Century
TIP	Transportation Improvement Program of an MPO
TMA	Transportation Management Area, an urbanized area of 200,000 population or more

RURAL TRANSPORTATION CONSULTATION PROCESSES

State-by-State Summaries of the Processes Used
and Local Views on Them

INTRODUCTION

The *Intermodal Surface Transportation Efficiency Act of 1991* (ISTEA) required the state departments of transportation (SDOTs) to establish a statewide transportation planning process and to consult with local officials as non-metropolitan needs are considered. These consultations are to address both the planning of transportation systems and the funding of specific projects and activities designed to maintain and improve the systems.

Within metropolitan areas there has been a systematic process for conducting such consultations with local officials for many years. But, ISTEA did not establish any standards or mechanisms for the consultations required in the non-metropolitan areas, and a wide variety of practices emerged in the states to comply with the non-metropolitan consultation requirement. The distinction between metropolitan and non-metropolitan areas is detailed in the following box.

"METROPOLITAN" AND "NON-METROPOLITAN" DEFINITIONS

The definitions of "metropolitan" and "non-metropolitan" areas for purposes of transportation planning and programming are somewhat different than the Census definitions of these terms. For these purposes:

Metropolitan Area means an "urbanized area" of 50,000 population or more as defined by the U. S. Census, plus:

- The area expected to "urbanize" over the next 20 years
- Areas that may be included in some cases because they are part of a metropolitan air-quality region

A metropolitan planning organization (MPO), established by agreement between the governor of the state and at least 75 percent of the local governments in the area, and approved by the U. S. Secretary of Transportation, has responsibility for meeting the transportation planning and programming requirements of TEA-21. The precise boundaries of the MPO jurisdiction are established by mutual agreement among federal, state, and local officials. MPO boundaries do not necessarily follow county lines to the same extent as Census metropolitan area boundaries do.

Non-Metropolitan Area means the remainder of the state, not included within the jurisdictional boundaries of a recognized MPO. These areas often are referred to as "rural" areas, even though they may include small cities and towns.

During reauthorization of ISTEA, some non-metropolitan local officials voiced concerns about their access to the SDOT planning and funding processes. Options for improving their access were explored during congressional deliberations. When reauthorization came in 1998, in the form of the *Transportation Equity Act for the 21st Century* (TEA-21), it continued the ISTEA requirement for consultation with non-metropolitan officials, and also required the Secretary of Transportation to study the effectiveness of local official participation in transportation planning and programming.

The National Academy of Public Administration (Academy) was asked to conduct a study to provide findings for the Secretary's use in making the required report to Congress. The Academy report, *Rural Transportation Consultation Processes*, was submitted to the Federal Highway Administration (FHWA) in May 2000. It included the following eight findings:

1. Consultations with local officials are crucial to making transportation delivery systems work well in the states.
2. Consultations can be most useful to all the parties if they are conducted using a framework of dialogues about planning, programming, and results.
3. The states have many different characteristics—geographically, economically, demographically, governmentally, and in the nature of their transportation systems and decision-making processes—that need to be taken into account when SDOTs design their consultation processes.
4. Many different state-local consultation practices exist and are being used by SDOTs.
5. No single practice or set of practices will meet the consultation needs of all states.
6. From various fields of research and experience, there are long-established principles of effective consultation that can be used to improve consultation processes in transportation planning and programming over time.
7. There are several ways the principles of effective consultation can be used to improve the state-local consultation practices of SDOTs.
8. Additional work would be needed to assess the effectiveness of SDOT consultations with non-metropolitan local officials in each state.

The May 2000 report did not include an assessment of the effectiveness of the existing consultation processes because: (1) neither the law nor the related federal regulations provided a definition of effectiveness, and (2) there was no agreement between state and local officials about criteria for judging effectiveness. The May 2000 report sets forth six principles of effective consultation, which were developed during the study through a consultative process. By then, however, time had run out; as Finding 8 states, additional work would be needed to assess the effectiveness of the existing consultation processes.

Following submission of the May 2000 report, FHWA requested the Academy to continue its work on the effectiveness of the SDOT consultation processes for non-metropolitan local officials. This report is a supplement to the May 2000 report; it takes another step toward understanding the effectiveness the state processes by: (1) summarizing the process being used in each state, (2) putting each process summary in the context of its state's relevant characteristics, and (3) providing views of local officials in the state on their state's process. Each of these three sets of state-by-state information was a challenge to produce, as explained below. They are provided

without analysis or comparisons across states. Still more work would be needed to produce the evaluation of effectiveness requested by the Congress.

This report contains two parts. Part I explains the methods used to produce the three sets of information for each state. Part II presents the resulting information state-by-state.

PART I

METHODOLOGY FOR PRODUCING THE STATE-BY-STATE INFORMATION IN PART II

- Summaries of SDOT Consultation Processes
- The Context for Non-Metropolitan Consultation in Each State
- Views of Local Officials

PART I
METHODOLOGY FOR PRODUCING THE STATE-BY-STATE INFORMATION IN PART II

As the original Academy study for FHWA drew to a close in the spring of 2000, the local officials involved in the study expressed concern about the omission of specific comments by local officials in each state on the SDOT consultation process being used in their own state. Representatives of state and local officials had met regularly with the Academy panel responsible for this study throughout the study period. In response to this local criticism, the Panel and those state and local representatives, developed and agreed to a methodology for preparing a supplemental study. FHWA subsequently funded this additional work.

The agreed-on methodology was designed to produce three types of information for each state:

- Summaries of the SDOT consultation processes, to be approved by each SDOT

- Summaries of the rural transportation decisionmaking environment in each state

- Comments by local officials in each state on the state-approved summary of the SDOT consultation process being used in their state

The goal was for the local comments to be "official" comments submitted by the state associations representing counties, municipalities, regional councils, transit operators, and local public works officials. However, it was not always possible to collect official statewide views from the various types of rural local officials.

In addition, although the use of a statistically valid survey design had been discussed during the period leading up to the Academy study, that approach was not chosen by FHWA. Consequently, there is no representation that the contents of this supplemental report constitute a statistically valid survey of local views about SDOT consultation processes. The supplemental study report is a compilation of the information collected using the means agreed to by the parties involved in the study. This information has not been analyzed, and no general findings are offered as a result of this supplemental work.

SUMMARIES OF THE SDOT CONSULTATION PROCESSES

A summary of the SDOT consultation process was drafted by Academy staff for each state and then sent to the SDOT for review. These two processes are described next.

Drafting the Summaries

The Academy developed summaries of each state's consultation processes in order to: (a) describe the state's process briefly and non-technically, (b) share the summaries among the states, and (c) provide this information to Congress and others in a manageable form.

The draft summaries were developed, primarily, from information submitted to FHWA by SDOTs in accordance with Section 1204(f) of TEA-21.[1] Most states submitted the information to FHWA in the summer of 1999. To be as complete as possible and relatively consistent among the states in the content covered, the Academy also incorporated information from summaries of FHWA's Rural Transportation Planning Workshops[2] in some cases. Additional information was obtained directly from state transportation officials, as needed.

The information provided by the states in response to TEA-21 differed significantly among the states in both scope and detail, as did information from the other sources. The summaries, therefore, are not completely consistent from state to state. Also, many details were left out of the summaries to keep the overall 50-state compendium brief enough to be manageable within a single volume. The general outline of the summaries is as follows:

- Overall structure and players in the state transportation planning and programming process (such as State Commission, Department of Transportation, counties, rural planning organizations (RPOs), and transit agencies). This part of the summary also includes the relationship between players, such as assistance given by the state to local officials for planning and consultation, and the transportation modes included.
- Basic parts of the planning and programming process in the state (such as the long-range plan, regional plans, short-term programs, and the state transportation improvement program (STIP)). [3]

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[1] Section 1204(f) of TEA-21 required the states "to submit to the Secretary the details of the consultative planning process developed by the state for non-metropolitan areas..." The information was to be submitted within one year of passage of TEA-21.

[2] FHWA, assisted by DYE Management Group, Inc., conducted a series of regional workshops on rural transportation planning in all parts of the country from October 1998 through July 1999.

[3] The STIP is the federally required State Transportation Improvement Program. It includes all the projects to be funded with federal aid in the coming three-year period. It is an officially adopted document. Projects not included in the STIP cannot be funded with federal funds.

- Brief description of the SDOT planning process, with a focus on how local officials are involved.
- Brief description of the programming process,[4] with a focus on how local officials are involved.
- Scope of the planning and programming processes, highlighting whether Indian and federal lands are included and how the processes consider transportation-related issues, such as land use and economic development.
- Major funding sources and distribution, with a focus on any funding allocated to sub-state entities to use at their own discretion.

At the end of the summary is a list of consultation practices identified in the summary, classified according to the nine frequently used practices identified in the Academy's May 2000 report. Actual practices vary from state to state, but in general the nine practices can be described as follows.

- **State Consultation Tours**: These are state-initiated meetings with local officials in each of the state's major jurisdictions. Traditionally called "road shows," these meetings often now cover multiple modes of transportation, not just roads. Further, as planning content improves, the agenda of these meetings is being directed, in some states, beyond the traditional project funding focus to address planning issues as well. This practice is most often used in states where transportation responsibilities have been widely decentralized. These meetings bring together the major partners who produce transportation facilities and services to help them integrate services and understand each others' priorities.
- **State Processes to Compile Transportation Needs**: SDOTs may compile an initial list of needed transportation projects in-house, using a variety of means, such as a "call for proposals" or annual needs studies. Proposals may be accepted from any source or from only certain specified sources. Once the proposed project list is compiled, needs are prioritized in a variety of ways. For example, some states use published rating criteria to score and evaluate proposals, while others rely more on a collegial approach in which a group of stakeholders evaluate and rank the proposals together.
- **State Hearings**: It is common for state transportation officials to hold hearings at several locations in the state to collect project funding proposals, information for prioritizing proposals, or comments on proposed STIPs and/or long-range plans. States vary significantly in the time and place of these hearings. State legislatures may also hold hearings. Often the public is given an opportunity to review and provide formal comments on proposals and draft plans and programs along with local officials. Because of the long

[4] The "programming process" is the process by which the STIP is developed. It involves identifying and prioritizing projects needed to implement the state's long-range transportation plan, and officially selecting the near-term projects to be funded in each of the next three years.

distances between communities in some states, mail, telephone, fax and e-mail comments are often encouraged.

- **State Processes for Interactive Exchanges of Views with Local Officials**: The arms-length relationships often inherent in formal practices, such as hearings and formal comment periods, may not be sufficiently flexible to negotiate, create innovative solutions, and resolve differences through compromise. Therefore, some states use more interactive consultation methods. For example, they hold annual planning workshops with their regional planning partners to share information and approaches. Others assemble a committee of stakeholders, which might include representatives of local governments, regional planning organizations, transit operators, and other key players, in regions or transportation districts, to help prepare the long-range plan and prioritize project funding. Still others hold open houses where project engineers talk with affected parties to consider and try to resolve their concerns before the required formal meetings are held.
- **Roles of RPOs**: Some SDOTs use RPOs to coordinate the involvement of local officials in non-metropolitan regions, a practice recognized in TEA-21. Since passage of TEA-21, several states have increased funding and responsibilities for the RPOs. Using RPOs may have several advantages. RPOs frequently can provide some transportation planning and prioritization expertise, links to local land use and economic development policies and powers, public involvement processes, and help with data collection and reporting. They also have experience in coordinating the activities of local governments within a region. SDOT contracts with RPOs sometimes directly specify the services to be provided.
- **Roles of MPOs Outside their Metropolitan Planning Boundaries**: MPOs provide local-official consultations for those governments located within federally recognized urbanized planning area boundaries. Some local governments outside, but adjacent to, metropolitan planning areas have arranged to have the MPO staff do their transportation planning, or to coordinate their own transportation planning with the MPO. In some cases, an MPO's boundaries may be fully within the boundaries of a larger multipurpose RPO, a situation in which the MPO might be viewed as the urban core of a larger rural region. Thus, if the state uses the RPO to meet the TEA-21 requirements for consultation outside metropolitan areas it may be calling on the same organization that hosts the MPO. In other cases, the MPO is a separate organization responsible for an area that overlays the boundaries of an RPO, and some of the same local elected officials may serve on both organizations' policy boards.
- **Allocation of Transportation Funds and Responsibilities**: When states distribute federal or state funds to local governments for their own use, or allocate funds to be used by the state in these jurisdictions according to the local governments' priorities, it changes the role of local officials in the consultation process. The funds allocated can be a substantial portion of the

funds, or much less, and generally are allocated by formula. Local officials may make final or preliminary decisions about how these funds will be used in their jurisdiction. In some cases, funds planned and programmed by local officials are included in the STIP, sometimes automatically and sometimes competitively. The key point is that the consultation process could be used to coordinate the use of allocated funds with the use of state-controlled funds.

- **State Policy-Making and Advisory Bodies**: One of the most traditional and widespread consultation methods is to put local government representatives on state policy-making and advisory boards. There are several different types of such bodies. Many states use official highway or transportation commissions or boards that govern all or some portion of the planning and programming process. Although these bodies do not necessarily include local officials, they usually reflect the various geographic regions of the state, and the members are accessible to local officials. Other types of bodies include statewide and regional advisory committees, rural county task forces, and intergovernmental prioritization committees.
- **Other Practices**: Many states strive to maintain open communication with local officials on a continuing basis. Several different techniques are used for this purpose. They may be reflected in written policies, but often are simply commonly used informal practices. Some are passive "listening" practices, while others are more active "engagement" practices. There is a broad range of such practices, from SDOT staff attendance at local government meetings or participation in local government association meetings, to offering toll-free phone or e-mail access to SDOT staff. Such activities can be key to strengthening mutual trust between local governments, SDOTs, and the legislature. One-on-one meetings between state and local officials are a common part of the process in many states.

State Review of Summaries

With the assistance of the American Association of State Highway and Transportation Officials (AASHTO), the draft summaries were sent, usually via e-mail, to members of AASHTO's Standing Committee on Planning in each state.[5] These officials were asked to review the process summaries and: (a) correct any factual errors, (b) assure that all the key components of the state's process were included, and (c) make any revisions necessary to reflect significant changes since mid-1999, when most of the state-supplied information was originally submitted. Officials were also asked to determine if the state's practices were correctly identified and classified.

Officials from 40 of the 50 states (plus Puerto Rico) responded to the Academy's request. Many offered refinements to the summaries, often providing updated information or correcting details. These changes were made and the summaries were

[5] Where e-mail addresses were not available, the information was faxed.

resubmitted for final state approval. In the ten states that did not respond, the summaries were included in this report as drafted by the Academy.

THE CONTEXT FOR NON-METROPOLITAN CONSULTATION

A variety of state characteristics help to shape state decision-making processes and provide the context for SDOT consultations with non-metropolitan local officials. During the course of the Academy study, state officials were concerned that any "one size fits all" requirement for consultation and cooperation could create problems because of significant differences in circumstances among the states. Representatives of AASHTO who were involved in the Academy study from beginning to end requested that information concerning key characteristics of the states be included in this report. To allow readers to put the process summaries in context for each state, therefore, the Academy also developed brief contextual descriptions.

These descriptions are based on information presented in Appendix A of the May 2000 report. The information in that report, although the best available to the Academy at the time, is not up to date.[6] The context information is, therefore, provided only to help the reader understand the state's non-metropolitan transportation situation in a general way. It is not meant to be used for research purposes or as a basis for making regulatory determinations.

Importance of Unique State Characteristics

Among the key factors that shape the priorities, formats, and interrelationships of the state transportation planning and programming processes are: demographic and economic characteristics, the relative complexity of the sub-state government structure, and the distribution of road ownership.

The overall size of a state, as well as the extent to which it is rural, measured by factors such as population density, extent of employment in rural economic sectors, portion of land owned by the federal government, and the portion of roads that are rural, clearly affect transportation planning and programming. They affect, for example, how centralized or decentralized a state's transportation systems are and how formal or informal the intergovernmental planning and programming process can be. Similarly, states with heavy concentrations of employment in predominantly rural sectors, such as agriculture or mining, have special transportation needs generated by those industries.

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[6] The information in Appendix A of the May report came from a variety of internally consistent national data bases. Key sources were the Bureau of Transportation Statistics and FHWA (DOT), Bureau of Land Management and Bureau of Indian Affairs (Department of the Interior); U.S. Census Bureau (Department of Commerce), Bureau of Labor Statistics (Department of Labor); and the National Association of Regional Councils. See the May report for more detail on context information and sources. Most of the data were from 1997 through 1999, but one table was based on data from 1992.

The relative mix of rural and non-rural land also has impacts. For example, at one extreme the land area of two states is totally included within the boundaries of federally recognized MPOs, making TEA-21 requirements for non-metropolitan consultation with local officials not applicable. At the other extreme, local officials in a predominantly rural state might expect the consultations addressed in this report to be at the heart of many important statewide decisions.

Differences in demographic factors, including racial composition, age and education of the state's population, as well as the rate of demographic and economic change, can affect the transportation priorities of state and local officials. For example, states with large welfare-to-work programs in rural areas may have different priorities for rural public transit than states with fewer people in those programs. States with rapidly growing populations may have different priorities than those with declining populations. Also, states with large Native American or foreign-born populations may need to make special provisions to accommodate diverse cultural or language traditions in their consultation processes.

The complexity and form of a state's consultation process also is directly affected by the number and type of local governments. It is necessary to consider the existing structure of these units within the state to determine whether SDOT consultation with them is as inclusive and beneficial as possible. Officials of general-purpose local governments, such as counties and small towns, usually have some transportation responsibilities. In addition, many special-purpose districts[7] have transportation responsibilities which need to be represented in the SDOT consultation process. Overall, according the 1997 Census of Governments, there are 1,686 such special purpose local governments having transportation responsibilities. Additionally, Indian tribal governments are sovereign governments and, where they exist, have transportation responsibilities and interests that help to complete the overall transportation picture in the state. The presence of regional planning organizations also varies from state to state.[8]

The question of who owns the roads and who provides the other types of transportation services is also a key to defining appropriate relationships among participants in the non-metropolitan consultation process. Overall, federal roads account for about five percent of roads nationally. Of non-federal roads, states control about 22 percent and local governments control the rest. The proportion of non-federal roads controlled by the state varies among the states from 8 to 93 percent.

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[7] Special purpose districts, as defined by the U.S. Census of Governments, are units of local government responsible under state law for performing a single function of government or a set of very limited (usually closely related) functions. Transit districts and bridge authorities are examples.

[8] The term "regional councils" is the generic name used by the National Association of Regional Councils for interlocal "regions" that serve a variety of purposes. These purposes often include transportation, land use, and economic development planning. Regional councils have a variety of different names from one state to another. "Rural Planning Organizations" designated by SDOTs for transportation planning generally are regional councils. About half the MPOs are also regional councils.

The following summary table, which was published in the May 2000 report, reveals the considerable diversity among states for each of the key characteristics included in the context summaries. This table is intended to help the reader put individual states in a national context.

Table 1: Some Variations in State Characteristics Affecting Non-Metropolitan Consultations

Characteristics of States	Low	High
Demographic and Economic Factors		
Size of the state		
Land area in square miles	1,150	587,680
Total population	480,907	32,666,550
Extent to which state is rural		
Average population density (total 1998 population per square mile)	1	1,065
% of population is non-urban[1]	14	84
% of state highway miles are rural	27	98
% land owned by the federal government	<1	83
% of land is non-urban[1]	51	>99
% employment is non-urban[1]	14	83
Racial and cultural composition of non-urban population[1]		
% Black	<1	36
% Native American	<1	20
% Asian	<1	57
% Hispanic Origin	<1	28
Demographic composition of non-urban population[1]		
% 18 or Under	25	41
% 65 or over	4	18
% below poverty income	4	26
% not high school graduate	9	26
% college graduate	10	56
Rate of demographic and economic change		
% change in total population of the state, 1990-1998	-1.5	45.4
% change in employment in the state, 1990-1999	-3.3	3.6
Governmental Factors		
Number of general local governments		
# Counties	0[2]	254
# Municipalities	1	1,288
# Townships and Towns	0[3]	1,794
Number of transportation special districts		
# for highways	0	308
# for airports	0	80
# for parking facilities	0	65
# for water transport	0	34
# for transit	0	63
# of all transportation districts	0	312
Number of other governmental bodies		
# Tribal Governments	0	104[4]
# Regional Planning Organizations	0	24
Transportation Factor		
% of state and local roads owned by the state	8	93
# miles of roads on federal land	0	41,870

[1] The term "non-urban" refers to areas outside the FHWA "urbanized areas." It is roughly equivalent to "non-metropolitan."
[2] Two states, Connecticut and Rhode Island, do not have counties. Of the states that have counties, two states each have just three counties.
[3] Only 21 states have townships or towns. They are in the northeast and midwest regions.
[4] Alaska contains 231 Native American Villages, but their governmental status is not the same as tribal governments. Thirty-two states have federally recognized tribal governments.

State Review of the Context Descriptions

The context description for each state was sent to state officials along with the Academy's request for review of the state's process summary. Although state officials were not asked to review the context descriptions, some of them suggested changes. As noted, those descriptions were based on previously published information from internally consistent national data bases, which the Academy was not in a position to update. However, some officials felt strongly that the context data should be made more current. Therefore, where requested, changes in the context descriptions were made. As a consequence, some information in the context descriptions differs from that in Appendix A of the May 2000 report, including, in some cases, the relative ranking of states in various categories.

VIEWS OF LOCAL OFFICIALS

The approved state summaries were sent to organizations in each state representing counties, towns and townships, regions, and transit officials. Throughout the study, representatives of local officials were keenly interested in having information concerning local officials' views about the states' processes included in the report. Seven national organizations representing local officials assisted the Academy in obtaining comments from their members:[9]

- American Public Works Association (APWA)
- Community Transportation Association of America (CTAA)
- National Association of County Engineers (NACE)
- National Association of Counties (NACo)
- National Association of Development Organizations (NADO)
- National Association of Towns and Townships (NATaT)
- National Association of Regional Councils (NARC)

These organizations were represented, along with several representatives of AASHTO and certain federal agencies outside DOT, on the "sounding board" committee that FHWA created to help guide the study from the beginning.[10] APWA represents local public works directors responsible for local streets, transit systems, and utilities. CTAA is a national organization that FTA contracts with to maintain data on and provide technical assistance to rural transit operators. NACE represents county engineers who have responsibilities for county roads. NACo and NATaT represent local elected officials who are responsible for governing counties, towns, and townships. NADO and NARC represent the local elected officials and executive directors of regional planning councils.

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[9] The National League of Cities was also invited to participate in this review, but did not do so.

[10] The Intertribal Transportation Association also was invited to be on the Sounding Board, but did not participate.

Academy staff met with representatives of each of these seven national organizations to develop procedures for sending the summaries and context descriptions to their state chapters[11] and to develop the questions to be posed to the local reviewers. The Academy's request for comments was accompanied by a cover memo from the applicable national organization encouraging their members to respond. The local officials were asked to review the process summaries and to indicate their views or understandings regarding (1) the accuracy and completeness of each summary, (2) whether the process was designed specifically for local officials or for the general public, (3) the experiences of local officials participating in the process, and (4) whether the process, as described, is formally documented.

As in the state review process, the summaries were usually sent via e-mail to the organizations' affiliates in the states.[12] Not all of the organizations had affiliates in all states. In total, summaries were sent to over 250 people in the 50 states and Puerto Rico.[13] After several weeks, the Academy, as well as several of the national organizations, sent follow-up requests for responses to officials who had not yet responded. In several cases, additional follow-ups were made. The period allowed for local responses extended for 12 weeks.

RESULTS

In total, 52 local officials from 38 states provided comments on the state summaries. The responses varied considerably in terms of format, length, detail, and overall level of satisfaction with the process. Some provided formal comments on their organization's letterhead; others provided less formal comments via e-mail, fax, or telephone. Where necessary, the e-mail and telephone comments were formatted by the Academy for inclusion in this report. Though not asked to do so, some local officials,

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[11] These national organizations did not all have a single statewide association or "chapter." The Academy used whatever "field" structures were available. The intent was to get for each state the "official" statewide view of each type of local official from the state affiliate of the national organization.

[12] Where there was no e-mail address, the information was faxed.

[13] Where no official statewide affiliate existed, some of the national associations nominated individual members to respond of their association in the state. The Academy sent materials for comment to the persons whose names were submitted by the national associations. No independent random selection method of respondents was employed.

like state officials, provided comments on the context descriptions. The local comments are reproduced in this report as received. They have not been analyzed or used to revise the state-authorized process summaries and context descriptions.

The three sets of information produced by the above methods are presented state-by-state in Part II of this report. They constitute a compilation of information received for use by the Secretary, members of Congress, members of the cooperating national organizations, and others.

PART II: STATE-BY-STATE INFORMATION

- **Alabama**
- **Alaska**
- **Arizona**
- **Arkansas**
- **California**
- **Colorado**
- **Connecticut**
- **Delaware**
- **Florida**
- **Georgia**
- **Hawaii**
- **Idaho**
- **Illinois**
- **Indiana**
- **Iowa**
- **Kansas**
- **Kentucky**
- **Louisiana**
- **Maine**
- **Maryland**
- **Massachusetts**
- **Michigan**
- **Minnesota**
- **Mississippi**
- **Missouri**
- **Montana**
- **Nebraska**
- **Nevada**
- **New Hampshire**
- **New Jersey**
- **New Mexico**
- **New York**
- **North Carolina**
- **North Dakota**
- **Ohio**
- **Oklahoma**
- **Oregon**
- **Pennsylvania**
- **Rhode Island**
- **South Carolina**
- **South Dakota**
- **Tennessee**
- **Texas**
- **Utah**
- **Vermont**
- **Virginia**
- **Washington**
- **West Virginia**
- **Wisconsin**
- **Wyoming**
- **Puerto Rico**

ALABAMA

CONSULTATION PROCESS SUMMARY

The Alabama Department of Transportation (ALDOT) is responsible for transportation planning in the state. A Statewide Transportation Plan Advisory Group, consisting of 40 members representing transportation stakeholders, is actively involved in developing the State Transportation Plan (20-year). ALDOT also develops a 5-Year Construction Program; the first 3-years constitute the STIP. A Joint Transportation Committee (JTC), consisting of 14 legislators (one House member and one Senator from each U.S. congressional district) approves the 5-Year Construction Program.

Alabama divides 8.9 cents of its 18 cents per gallon State tax on gasoline among the 67 counties and the municipalities within each county. ALDOT also provides $500,000 in Statewide Transportation Planning (STP) and Bridge (BR) funds to each county, and pays the majority of the county engineer's salary. The state also provides for a local option motor fuel tax. Each county can choose its local projects and implement them as long as they meet the FHWA eligibility requirements.

In Alabama, there are no formal rural transportation planning activities that are performed regionally or statewide. Projects funded with the state's share of state and federal funds are chosen by ALDOT and the JTC, the only authorities legislatively mandated to provide statewide transportation services. Citizens and transportation stakeholders have the opportunity to review and comment on the 5-year program and the STIP. The JTC also keeps ALDOT aware of constituents' concerns. Local officials also may direct comments or concerns directly to the ALDOT and the JTC.

Local officials are encouraged to, and do, express their concerns through the public involvement process, which includes several avenues for participation. The 40-member advisory group includes members from a broad range of interests throughout the state. Additionally, 9 public meetings were held throughout the state to solicit comments on the State Transportation Plan update. Approximately 225 attended. The agenda included a presentation on statewide planning, a question and answer session, and informal one-on-one discussions with ALDOT staff. The draft 5-year construction program was also presented at these meetings. Handouts were provided, comments were accepted orally and in writing. Names and addresses were collected for inclusion on a mailing list. All state legislators, mayors, and county commissioners were given personalized invitations. Notices were sent to MPOs and regional development councils and ads were placed in 79 newspapers across the state. Additionally, newsletters were also mailed to 500 people and the draft State Transportation Plan was made available for comment at 21 locations and on ALDOT's website

The STP Advisory Group included the Alabama League of Municipalities, the Association of County Commissions of Alabama, and the Alabama Association of Regional Councils. Two individual members are elected officials. The Native American tribe in Alabama (the Poarch Band of Creek Indians) and the Alabama Indian Affairs Commission, the U.S. Fish and Wildlife Service, and the Army Corps of Engineers are also represented on the STP Advisory Group.

There is no state funding for transit; however, federal funds are used for transit. ALDOT requests, through the county commission, an annual application and public hearing process for all Section 5311 sub-recipients of federal funds. Each Section 5311 provider has a steering committee comprised of representatives from human service agencies. The county commission is the designating agency for the rural transit program.

Alabama uses these practices:

- State Hearings: Plans and programs are made available for formal review and comment; public meetings are held throughout the state; the ALDOT website was established.
- Sub-allocation of Transportation Funds and Responsibilities: Gasoline tax revenue is divided by "formula" to counties and municipalities within counties; federal STP and BR funds are sub-allocated to each county.
- State Policy-Making and Advisory Bodies: Statewide Transportation Plan Advisory Group; Joint Transportation Committee.
- Other Practices: Local officials can express their concerns directly to ALDOT or JTC members.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Alabama is the 28th largest state in land area, 23rd largest in population, and 25th most densely populated. However, approximately 54 percent of Alabama's population and jobs, and 95 percent of the land, is non-urban. About 82 percent of its roads are rural. Federally owned lands amount to 3 percent of the state's land area.

Alabama is a slowly growing state, as measured by population, with a moderately growing rate of employment. The portion of the state's jobs in the uniquely rural agriculture and mining sectors is small (4 and 1 percent, respectively). Most jobs in Alabama's rural areas are in sectors also common in urban areas: construction, transportation and utilities (15 percent); manufacturing (29 percent); business and trade (23 percent); and services and government (29 percent).

Demographically, Alabama's non-urban population is predominately white and African-American (79 and 20 percent, respectively). Alabama has the 3rd highest proportion of non-urban adults who did not graduate from high school and the 7th lowest proportion

who did graduate from college. The 19 percent of Alabama's non-urban people who are poor is more than in most other states. About 42 percent of the state's non-urban population is in non-working age groups (29 percent 18 years or younger, and 13 percent 65 years or older).

Governmentally, Alabama has 67 counties, a fairly manageable number compared to many other states. The state also has 466 municipalities, but no towns or townships. It ranks about in the middle, 23rd highest, in terms of the number of sub-county governments. Alabama also has 1 federally recognized Indian tribe.

In addition, the 1997 U.S. Census of Governments identified 27 independent, special-purpose governments in Alabama that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 20 for airports, 1 for parking facilities, 3 for water transport, and 3 for transit. Alabama also has FTA funding for 27 public transit providers serving rural areas and 111 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Alabama has 12 regional councils that cover approximately 100 percent of the state, and 11 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of Alabama's 34,323 miles of roads, approximately 10 percent are state-controlled, while 3 percent are federal. Of the total miles of non-federal rural roads, 12 percent are state, 80 percent are county, none are township, and 8 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

Information provided by Buddy Sharpless, Association of County Commissions of Alabama, in a telephone call to Academy staff on January 12, 2001.

- There are other transportation revenue sources which are shared between state and local governments, including vehicle license fees. Also, most counties have local property taxes, the proceeds of which can be used for transportation.
- State law authorizes DOT to pay a portion (up to 70 percent of the starting salary) of county engineers' salaries.
- The local option motor fuel tax allowed by the state is only for municipalities. In some cases, however, counties have been given specific authority by the state legislature to levy such a tax.
- The projects chosen by each county have to meet FHWA requirements only if federal funds are used.

ALASKA

CONSULTATION PROCESS SUMMARY

The Alaska Department of Transportation and Public Facilities (DOT&PF) is responsible for transportation planning in the state. DOT&PF has 3 regional offices for general planning and STIP development; statewide and regional staff do area planning, regional staff assist with local plans and solicit and screen project nominations.

Alaska's long-range transportation plan provides policies that guide project selection and STIP development. A 24-member Policy Advisory Committee (including local elected officials) guided policy development for the plan update. Also, a 500-member self-appointed Public Review Group of citizens provided input throughout the update process. Statewide radio and television call-in programs were also hosted to reach residents in the more remote parts of the state. The draft was distributed for formal public review and comment.

As a policy plan, the statewide long-range plan is designed to be supplemented with more detailed, long-range area plans. These area plans are developed for 5 specific regions with the most complex transportation investment challenges. DOT&PF develops them through a process that intensively involves the stakeholders in each region, and builds firm community support and commitment. An advisory committee selected for each plan guides the DOT&PF staff in plan preparation. The committee usually is comprised of a number of local government and tribal leaders from the region, as well as the leaders of the appropriate Alaska regional Native corporation(s) and development organization. In developing area plans, consideration is given to the inventory of current transportation facilities linking communities, as well as issues such as population, employment, and the effectiveness of existing modes of transportation. The area plans examine a set of alternative improvements, each of which includes a set of road, ferry and or aviation improvements. Once a preferred alternative is developed, it is presented at a series of community presentations, adjusted as necessary, and then made available for formal review and comment. Changes are made as necessary and the plan is finalized. The final area plan is approved by the DOT&PF Commissioner and announced by the Governor. All area plans should be completed by 2002. Projects that are included in an area plan are given priority in the STIP.

Prior to development of each new STIP, DOT&PF conducts a public review of the project selection criteria used to prioritize projects. Following that review, DOT&PF prepares a Transportation Needs and Priorities in Alaska document, commonly known as the "Needs List," that lists all transportation and facilities needs in the state, including highways, ferries, trails, transit, airports, harbors, and buildings. The Needs List inventory is the foundation of the STIP, the Aviation Improvement Program (AIP), the Harbors Improvement Program (HIP), and the state capital budget. The Needs List is prepared by soliciting project nominations from local governments, village traditional

councils, federal and state agencies, and citizens. This list contains all the transportation projects in Alaska that the residents, elected officials, organizations, and transportation professionals have formally proposed. From the nominated projects, DOT&PF prioritizes the projects according to established scoring criteria.

There are 2 formal public reviews during development of the STIP. First, the draft Needs List is made available for comment during a 45-day public review period. Among other feedback mechanisms, meetings are held in many communities (20 in 1998). Based on information gathered during this review, the Project Evaluation Board (PEB) scores the projects not previously on the Needs List and re-scores projects which have new information. The draft STIP is then developed and circulated for a 30-day public review period. Following this second public review period, and approval by federal transportation agencies, the final STIP is released. During the public review process, individuals or communities may bring forward information not previously considered in the ranking process. The PEB is the decision-making body for the project selection process and consists of 6 senior members of the Alaska DOT&PF.

The ongoing public involvement process for transportation in Alaska, including the formal review periods, uses a variety of practices to communicate with citizens, Native groups, local governments, and other interest groups. Among these are: mailing lists, newspaper advertising, radio announcements, internet access, radio and television call-in programs, citizen advisory boards, regional transportation planning processes, workshops, open houses, public meetings, and toll-free phone and fax numbers. In addition, the Alaska DOT&PF, as part of the Unified Planning Work Program (UPWP), funds transportation planning work conducted by local communities. This work helps communities plan for their transportation needs, rather than resort to the common, but less effective, approach of developing a list of popular local projects.

Much of the Municipality of Anchorage, the only metropolitan area in Alaska, is within the Anchorage Metropolitan Area Transportation Study (AMATS). AMATS is a Metropolitan Planning Organization (MPO), and it prepares a Transportation Improvement Program (TIP) based on funding sources available to the area. Alaska DOT&PF requires that AMATS projects compete with other projects in the state. In order to determine the funding allocation, AMATS projects are scored along with projects from other communities, and the level of AMATS funding is based on how well its projects score on a statewide basis. The final TIP does not necessarily include projects as prioritized by the scoring criteria.

In Alaska, surface transportation investments are directed toward 4 broad categories of spending:

- Bringing the main surface transportation links (the National Highway System (NHS) and mainline Marine Highway routes) up to standard.
- Upgrading the state's secondary highways and local Marine Highway connections in the State Highway System (SHS) improvement program.

- Developing a Community Transportation Program (CTP) that creates partnerships with local governments to construct projects that serve local transportation needs.
- Implementing the Trails and Recreational Access for Alaska (TRAAK) program to improve recreational access and opportunities for both Alaskan residents and visitors. The TRAAK has been popular with the public and is resulting in the construction of much needed transportation trails, roadside turnouts and other transportation-related amenities.

Because of its small population, vast geographic area, and difficult terrain and environment, Alaska requires high dollar investments for basic transportation needs. The state is largely dependent on federal transportation funds; limited state funding to meet matching requirements, and local funds are also used. The selection process for projects is very competitive. The extent to which each area plan is implemented is largely dependent upon the political support for doing so within the State Legislature. One element of this support is built upon solidarity within the regional leadership (the area plan advisory committee) and the other element is built upon the perceived benefits of the plan to the region and the state. The highest priority is given to highways and major arterial roads, ferry and transit improvements, and projects that serve the entire state or a region. It is the policy of the DOF&PF that local roads be primarily the responsibility of local governments.

Other parts of our planning process not covered in this report that may be pertinent to consultation and cooperation with local officials in non-metropolitan areas are:

- Coordinated transportation planning for new community transit systems, which involve a lot of consultation with local governments
- Providing funds to local governments for planning
- Airport master plans for state-operated airports, prepared by regional DOT&PF staff in consultation with appropriate local officials

Alaska uses these practices:

- State Processes to Compile Transportation Needs: Alaska DOT&PF compiles the Needs List, with proposals from the residents, local government elected officials, transportation professionals, private organizations, Native organizations, and public agencies.
- State Hearings: There is a formal, 45-day public review of the Needs List and a formal, 30-day public review of the STIP.
- State Processes for Interactive Exchanges of Views with Local Officials: Consultation efforts include outreach to citizens, Native groups, local governments and other interest groups through workshops and public meetings. The regional planning processes led by DOT&PF rely on intensive interaction with public officials and other stakeholders in each region.

- Policy-Making and Advisory Bodies: The Policy Advisory Group guided LRP update; Public Review Group; various advisory boards.
- Other Practices: Outreach activities include mailing lists, newspaper advertising, radio announcements, Internet access, radio and television call-in programs, and toll-free phone and fax numbers; development of area plans with local advisory committees.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Alaska is the largest state in land area, 3rd smallest in population, and the least densely populated. Approximately 67 percent of Alaska's population and jobs, and almost 100 percent of the land, is non-urban. About 92 percent of Alaska's roads are rural. Federally owned lands amount to 66 percent of the state's land area.

Alaska is a moderately growing state, as measured by population, with a slowly to moderately growing rate of employment. The proportion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small (5 and 3 percent, respectively). Most jobs in Alaska's rural areas are in sectors also common in urban areas: construction, transportation and utilities (18 percent); manufacturing (7 percent); business and trade (21 percent); and services and government (46 percent).

Demographically, Alaska's non-urban population is predominately white and Native American (74 and 20 percent, respectively). The proportion of Alaska's non-urban adults who did not graduate from high school is the lowest of all states, and the proportion who did graduate from college ranks is in the middle. The 9 percent of Alaska's non-urban people who are poor is less than in most other states. About 38 percent of the state's non-urban population is in non-working age groups (34 percent 18 years or younger, and 4 percent 65 years or older).

Governmentally, Alaska has 12 counties, a fairly manageable number compared to many other states. The state also has 149 municipalities, but no towns or townships. It has the 10th lowest number of sub-county governments. However, Alaska has 231 federally recognized Native American villages.

Alaska is 1 of 6 states that do not have special-purpose districts with transportation responsibilities. However, Alaska has FTA funding for 1 public transit provider serving rural areas and 18 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Alaska has 12 regional councils that cover approximately 65 percent of the state, and 1 MPO. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of Alaska's 13,634 miles of roads, approximately 43 percent are state-controlled, while 19 percent are federal. Of the total miles of non-federal rural roads, about 55 percent are state, 22 percent are county, none are township, and 23 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

The following e-mailed information was provided by Kevin Ritchie, Executive Director, Alaska Municipal League, January 10, 2001.

The information on the State DOT planning process looks accurate.

There are several inaccuracies (and some grammar problems) in the context description:

- There are 16 (not 12) organized boroughs (regional municipalities similar to counties in regional coverage but essentially with city powers) and 1 large and sparsely populated "Unorganized Borough" administered by the state.
- There are 145 cities (a total of 161 municipalities)
- Alaska has federally recognized "tribes," not "villages"
- I am not sure what a "regional council" is unless you are referring to some kind of transportation planning area.

ARIZONA

CONSULTATION PROCESS SUMMARY

The Arizona Department of Transportation (ADOT) is responsible for transportation planning and programming, and for constructing, operating and maintaining the state system of transportation. Arizona has 4 MPOs including 2 TMAs, 4 rural Councils of Governments (COGs), 10 ADOT Engineering Districts, and 6 transportation board districts. ADOT allocates state funds to the COGs annually to fund development of Transportation Improvement Programs (TIPs), data collection, and other transportation planning duties. For rural transportation planning, COGs serve as liaison between local governments and ADOT. The engineering districts identify state highway needs, construct, operate and maintain transportation facilities within their district. The State Transportation Board has statutory authority for prioritizing state airport and highway projects.

The Priority Programming Processes (PPP) for the state and local systems are the 2 major programming processes for transportation investments in Arizona. The outcomes of these processes are the 5-Year Transportation Facilities Construction Program for the overall state system and the State Transportation Improvement Program (STIP). The STIP is essentially the federally funded projects covering the first 3-years of the 5-year plan. ADOT uses interdisciplinary and multimodal approaches that include bicycle, pedestrian, transit, rail, and aviation components.

The COGs work with local governments to develop regional TIPs. These TIPs include projects from all funding sources. They are multidisciplinary, multijurisdictional and take into account economic development and environmental concerns. COGs work with the ADOT district engineers and COG Technical Advisory Committees to establish project priorities for the state system. Local agency highway projects are selected through a cooperative process involving cities, counties, and Indian tribes. Local elected officials participate in the rural transportation planning process through the COGs. These officials often are members of the COG transportation committee that identifies and approves projects before forwarding them to the ADOT district engineer. Staff members or local officials from developing portions of MPOs may be consulted on transportation issues related to rural concerns.

The ADOT district engineers play a key role in developing the 5-year Highway Construction Improvement Program Plan. They attend monthly city and county government meetings and interact with individual supervisors and mayors. They identify candidate projects in coordination with the MPOs and COGs ensuring that local and regional needs are recognized. Through “area meetings,” ADOT attempts to consult with all local governments, Indian tribes, the public, and any other stakeholders in the selection of projects.

Other opportunities for input are also provided. A series of public hearings are held throughout the state. These hearings are held at all agency levels (COGs, MPOs, and ADOT) in the form of statewide meetings, transportation technical advisory committee meetings, State transportation board meetings, open house/public hearings, and other forums. At these meetings, the draft 5-year Program is presented and the public has an opportunity to provide input. Additionally, ADOT compiles the 3-Year STIP in cooperation with all federal agencies, rural COGs and MPOs.

ADOT also coordinates the preparation of the Transit Development Programs (TDPs) with each of the TIPs developed by the COGs, Indian tribal governments, Bureau of Indian Affairs (BIA), and National Park Service. These TDPs include an assessment of local transit needs within a 5-year "horizon," and achievable coordination and consolidation opportunities within their respective areas. To assist with development of the overall State Plan and subsequent short-range plan, ad hoc technical advisory committees were established in each of the 4 rural planning areas of the state. These committees provide ADOT additional opportunities to network with social service agencies that provide human services programs with transportation-related components. ADOT is responsible for overall administration of the Rural Public Transit Program (Section 5311 Program), and the Elderly and Persons with Disabilities Transportation Program (Section 5310 Program), which provide financial and technical assistance to rural passenger transportation programs throughout the state for planning, management, and operations.

Other participatory planning activities conducted by ADOT include: (1) facilitated "gathering" meetings, with the Arizona Department of Environmental Quality, Federal Highway Administration (FHWA), Federal Transit Administration (FTA), MPOs/COGs, transit representatives, and local elected officials, to discuss multimodal transportation and air quality/conformity issues; (2) biannual meetings with representatives of the federal land management agencies and ADOT to consult and coordinate projects for inclusion in the 5-Year Transportation Facilities Construction Program; (3) quarterly planning meetings with MPO and COG planners; and (4) planning efforts involving regional, tribal and local governments for the long-range plan, area plans and corridor plans.

Rural transportation in Arizona is funded through federal funds, state (including lottery) funds, local option excise taxes (which few counties have enacted), and other funding sources. Some funds are allocated based on population; other funds are distributed competitively. These funds support transportation project planning and programming, construction, maintenance, and operations activities of the state transportation agencies, local public bodies, Indian tribes, transit operators, and non-profit organizations.

Arizona uses these practices:

- State Consultation Tours: A series of area meetings are held throughout the state to consult with all local governments, Indian tribes, the public, and other stakeholders.
- State Hearings: Hearings are held in the form of statewide meetings, Transportation Technical Advisory Committee meetings, open house/public hearings, and others.
- State Processes for Interactive Exchanges of Views With Local Officials: ADOT holds quarterly planning meetings with COG planners.
- Roles of RPOs: COGs act as RPOs for transportation planning.
- State Policy-Making and Advisory Bodies: State Transportation Board.
- Other Practices: ADOT district engineers attend monthly city and county government meetings and interact with supervisors and mayors.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Arizona is the 6th largest state in land area, 21st largest in population, and 36th most densely populated. Approximately 30 percent of Arizona's population and jobs, and 99 percent of the land, is non-urban. About 89 percent of its roads are rural. Federally owned lands amount to 45 percent of the state's land area.

Arizona is a significantly growing state, as measured by population, with a slowly growing rate of employment. The proportion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small (5 and 2 percent, respectively). Most jobs in Arizona's rural areas are in sectors also common in urban areas: construction, transportation and utilities (16 percent); manufacturing (10 percent); business and trade (27 percent); and services and government (41 percent).

Demographically, Arizona's non-urban population is predominately white and Native American (75 and 15 percent, respectively). Twenty-four percent is Hispanic. The proportion of Arizona's non-urban adult population that did not graduate from high school ranks near the middle (19th highest) when compared to other states, and the proportion that did graduate from college is higher (15th highest) than most other states. The 20 percent of Arizona's non-urban population who are poor is among the highest of all states. About 44 percent of the state's non-urban population is in non-working age groups (30 percent 18 years or younger, and 14 percent 65 years or older).

Governmentally, Arizona has 15 counties, a fairly manageable number compared to many other states. The state also has 87 cities and towns, but no townships. It has the 5th lowest number of sub-county governments. Arizona also has 21 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 3 independent, special-purpose governments in Arizona that have transportation responsibilities. This number is lower than in most other states. These special types of local governments include 2 for

highways and 1 for transit. Arizona also has FTA funding for 12 public transit providers serving rural areas and 81 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Arizona has 4 regional councils that cover approximately 100 percent of the state, and 2 MPO's and 2 TMA's. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of Arizona's 55,969 miles of roads, approximately 11 percent are state-controlled, while 26 percent are federal. Of the total miles of non-federal rural roads, 23 percent are state, 69 percent are county, none are township, and 8 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

E-mail provided by Bill Cox, Director, Public Works and County Engineer, Navajo County, Arizona, on January 19, 2001.

The consultation process in Arizona falls short of what I believe was mandated in the Transportation Equity Act for the 21st Century. Although there are opportunities for local officials and citizens to provide input into the planning process of ADOT, the process was not designed specifically for local officials.

As you will note on the last page, bullet 3, of the PROCESS FOR CONSULTATION AND COOPERATION WITH LOCAL OFFICIALS IN NON-METROPOLITAN AREAS the "State Processes for Interactive Exchanges of Views With Local Officials: it states that "ADOT holds quarterly planning meetings with COG planners." This process needs to be strengthened to insure that local elected officials interests and needs are appropriately relayed to ADOT officials.

Of particular concern is the fact that all federal allocations of STP funds are managed by the state, and local consultation is not a consideration in the distribution. Precious little is obligated for rural roads under local jurisdiction. In competing for road dollars, ADOT can hardly be considered an ally.

Northern Arizona Council of Governments

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KENNETH J. SWEET
EXECUTIVE DIRECTOR

December 28, 2000

Mr. Bruce McDowell
National Academy of Public Administration
1120 G Street NW, Suite 850
Washington, DC 20005

Re: Review of Arizona's Process for Consultation and Cooperation with Local Officials in Non-Metropolitan Areas

Dear Mr. McDowell:

Northern Arizona Council of Governments (NACOG) is one of the four rural COGs referenced in the Academy's summary of the Arizona Consultative Process. The NACOG region is comprised of four counties, 21 cities and towns, and 8 tribal governments; and is governed by a Regional Council of elected officials with members from each of the political subdivisions mentioned above. Those four counties amount to 42% of the land base of the state of Arizona. NACOG, along with the other three rural COGs in Arizona, essentially functions as a Regional Planning Organization (RPO).

NACOG staff has reviewed the Academy's summary and finds that the description of Arizona's process is largely accurate, although this may be the only such formal documentation of the long-standing processes in place. What's more is that which is not.

The Arizona Department of Transportation (ADOT) has for many years entered into contractual agreements with the rural COGs to perform a variety of tasks including data collection, project prioritization, regional TIP development, and to serve as a liaison with local governments in the region. The relationships developed over the past twenty years have created an effective means for consultation with rural local elected officials. Through the development and use of open and inclusive processes, ADOT has embraced the rural COGs as one of the most effective forums for involving local elected officials.

In addition to actively seeking the participation of the rural COGs in policy development and statewide planning efforts, ADOT views the COGs as equal partners to the state's four Metropolitan Planning Organizations (MPOs). Recently, the COGs have been included in discussions concerning the allocation of statewide resources and the development of funding estimates for the MPOs. Our involvement in this process is yet another example of how ADOT encourages input from local elected officials utilizing the rural COGs as an effective mechanism for consultation.

Thank you for the opportunity to review the summary and provide our views. If you have any questions concerning our response, please contact me.

Sincerely,

Kenneth J. Sweet
Executive Director

FOR TTY ACCESS, CALL THE ARIZONA RELAY SERVICE AT 1-800-367-8939 AND ASK FOR NACOG AT 520-774-1895

ARKANSAS

CONSULTATION PROCESS SUMMARY

The Arkansas State Highway and Transportation Department (AHTD) has primary responsibility for inter-modal transportation planning. The Arkansas Highway Commission also plays a role in highway planning. In developing both the inter-modal 20-year Statewide Long-Range Plan and the 3-year STIP, AHTD obtained input in a variety of forums. AHTD held open house "listening sessions," at various locations around the state, to receive input on developing the non-metropolitan portions of plans from citizens, local officials, planning and development districts, MPOs, the State Clearinghouse, and Chambers of Commerce. Participants were invited by letter and encouraged to attend 1 or more meetings to provide written or oral comments on the planning process and project priorities.

Additionally in 1998, the Arkansas Highway Commission conducted 16 regional meetings at various locations in the state to discuss with local officials and the public the need for highway improvements in the state, priorities for improvements, and how needed improvements may be funded. Ten of these meetings were held in rural areas. Many concerned citizens, state and local officials, representatives from planning and development districts, and other organizations attended. The Commission also hosted a 1998 Arkansas Transportation Summit.

Other mechanisms are used to obtain local input concerning transportation needs. If requested by an elected official, AHTD conducts meetings between the Highway Commission or AHTD administrators and local elected officials to discuss the status of transportation improvements in their local areas.

After the Statewide Long-Range Plan was drafted, notice of its availability for review and comments was sent to potential participants. Likewise, for the draft STIP over 2,000 letters were sent to all elected officials (state legislators, mayors and county judges) inviting their review and comment. The STIP also was posted on AHTD's Internet web site, with the opportunity to receive comments through electronic mail. Comments were considered and necessary revisions were made.

Study areas for MPOs include areas likely to be urbanized in the next 20 years. Local officials in the potentially developing portions of the region can become involved in the metropolitan planning process as voting members of the MPO Policy Committee, and may vote on the list of projects to be included in the long-range plan and Transportation Improvement Program.

Federal Transit Administration (FTA) funds are allocated by AHTD to various community service agencies for planning, purchase of transit vehicles, maintenance, and operations. Availability of applications for this program is also advertised in various

statewide media. AHTD ensures that public transportation providers coordinate with local officials in their applications.

Arkansas established the Arkansas Public Transportation Coordinating Council as an inter-agency coordination group to assure cost-effective provision of public transportation by qualified transportation operators, particularly the transportation of the disadvantaged. The Council is composed of members of AHTD staff, employees of the Department of Human Services (DHS), transportation providers, and industry representatives.

Rural transportation is supported by federal, state, and local funds. Thirty percent of state highway user funds are distributed to city and county governments and used at their discretion. Additional revenue from a 1 cent motor fuel tax is available to county governments for transportation projects under a State Aid to counties program. Cities and counties also generate revenues for transportation projects from property taxes, local sales tax and General Revenue funds. All local generated funds are spent at the discretion of the local government.

Arkansas uses these practices:

- State Consultation Tours: Open house "listening sessions" at various locations around the state.
- State Hearings: Regional meetings held at various locations in the state; opportunity for official comments provided during a comment period, including possible comments on a web site.
- State Process for Interactive Exchanges of Views with Local Officials: Annual meetings and open houses at various locations; 1998 Summit.
- Roles of RPOs: The Arkansas Highway Commission funded RPOs to assist in the planning process until recently; still consults with them.
- Allocation of Transportation Funds and Responsibilities: Cities and counties spend highway user fund allocations at their discretion.
- Other Practices: Hold meetings if requested by an elected official; mailings sent to officials to inform them of the comment period; web site comments.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Arkansas is the 27th largest state in land area, 33rd largest in population, and 35th most densely populated. Approximately 78 percent of Arkansas's population and jobs, and 99 percent of the land, is non-urban. About 92 percent of its roads is rural. Federally owned lands amount to 9 percent of the state's land area.

Arkansas is a slowly growing state, as measured by population, with a significantly growing rate of employment. The proportion of the state's jobs that are in the uniquely rural agriculture and mining sectors is fairly small (6 and less than 1 percent, respectively). Most jobs in Arkansas's rural areas are in sectors also common in urban areas: construction, transportation and utilities (14 percent); manufacturing (25 percent); business and trade (25 percent); and services and government (30 percent).

Demographically, Arkansas's non-urban population is predominately white (86 percent) with a large portion of African-Americans (13 percent). Compared to other states, Arkansas has a relatively high proportion (16th highest) of non-urban adults who did not graduate from high school and 1 of the lowest proportions (2nd lowest) who did graduate from college. The 19 percent of Arkansas's non-urban population who are poor is more than in most other states. About 44 percent of the state's non-urban population is in non-working age groups (28 percent 18 years or younger, and 16 percent 65 years or older).

Governmentally, Arkansas has 75 counties, a fairly manageable number compared to many other states. The state also has 491 municipalities, but no towns or townships. It has the 20th highest number of sub-county governments. Arkansas does not have any federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 31 independent, special-purpose governments in Arkansas that have transportation responsibilities. This number is lower than in many other states. These special types of local governments include 18 for highways, 10 for airports, 1 for parking facilities, 1 for water transport, and 1 for transit. Arkansas also has FTA funding for 8 public transit providers serving rural areas and an additional 83 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Arkansas has 8 regional councils that cover approximately 100 percent of the state, and 6 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of Arkansas's 77,162 miles of roads, approximately 21 percent are state-controlled, while 2 percent are federal. Of the total miles of non-federal rural roads, 18 percent are state, 77 percent are county, none are township, and 5 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

No responses received.

CALIFORNIA

CONSULTATION PROCESS SUMMARY

The California Department of Transportation (Caltrans) conducts multi-modal planning and programming. The State's 20-year, long-range, California Transportation Plan contains policy guidance for planning and programming decisions. Under California law, most state and federal transportation funds are programmed through the 4-year biennial State Transportation Improvement Program (STIP) and the 4-year biennial State Highway Operation and Protection Program (SHOPP), both of which are adopted by the California Transportation Commission (CTC). These, as well as several other plans, provide the building blocks for the Federal/State Transportation Improvement Program (FSTIP).

MPOs and Regional Transportation Planning Agencies (RTPAs)—similar in structure, funding, and responsibility to MPOs—are active in transportation planning. Cities, counties, transit agencies, and other organizations are members of the RTPAs and receive project funding through their RTPA. Twenty-nine RTPAs are rural. RTPAs generally cover single counties and prepare regional transportation plans and transportation improvement programs for those areas. The development of the plans is a cooperative effort between the RTPAs and Caltrans. The transportation projects proposed by a region are approved by the RTPA board, which is comprised of local elected officials and the Director of the local Caltrans district office.

Caltrans uses a variety of participation practices to obtain input in developing the long-range plan. Both a policy advisory committee, including broad statewide and issue-wide representation, and separate technical advisory boards for individual modes have been established. A web page also has been set up to accept input via e-mail, along with a database of interested parties, containing over 2,400 entities, including every city and county and various interest groups with rural interests. Generally, during development and adoption of various planning and programming documents, both drafts and finals are formally circulated and comments are solicited; hearings or public meetings are held on final drafts. The California Transportation Commission approves or rejects each regional transportation plan in its entirety. If accepted, the regional plan is included in the STIP. At the state level, opportunity for public comment of the STIP is made using the State Intergovernmental Clearing House Review Process.

Caltrans has Native American liaisons who work directly with the tribal governments and RTPAs to facilitate the consultative process from planning through construction, and some RTPAs have representation from tribal governments on their committees or through interaction on specific projects. Tribal governments also have the option to be directly involved in the transportation consultation process through the Tribal Technical Assistance Program (TTAP), which assists the tribal governments to understand and participate in the transportation planning processes.

The Federal Lands Program includes projects in the Indian Reservation Roads program, the Parkway and Park Roads program, and the Public Lands Highway program, which are selected by various federal agencies including the Central Federal Lands Highway Division in cooperation with Caltrans and local government agencies. State concurrence in these selections is required.

A large share of all Statewide Transportation Planning (STP) and other funds are sub-allocated by population to MPOs and RTPAs. As a result of state laws, regional agencies now decide how to program 75 percent of transportation funds. The state determines how the remaining 25 percent of funds are used. Decisions for other programs are guided by state law. Congestion Mitigation and Air quality (CMAQ) funds are sub-allocated to MPOs and RTPAs based on population and severity of pollution. The MPOs and RTPAs make project selections for these programs in consultation with the state and local agencies. Under state procedures relative to the Federal Highway Bridge Replacement and Rehabilitation (HBRR) and the Hazard Elimination Safety Programs, selection of projects on the State highway system is made by the State and selection of those on local systems are made by local agencies from a priority list.

In the state-administered federal transit programs, the selection of individual projects for the urban program is made by the state from those that have been selected or endorsed by MPOs or RTPAs. Selection of individual projects for the rural transit program is made by Caltrans in cooperation with MPOs or RTPAs and local transit officials. Most funds are apportioned to counties on the basis of non-urbanized area population. Up to 20 percent of the funds is made available on a statewide discretionary basis, and projects are selected by Caltrans on the basis of criteria set forth in the Program Handbook.

California uses these practices:

- State Hearings: Hearings are held on final documents; formal comments are solicited on draft plans.
- Roles of RPOs: The RTPAs serve this function.
- Allocation of Transportation Funds and Responsibilities: Funds are allocated to RTPAs and regional TIPs are incorporated into the STIP (after approval by the Commission).
- State Policy-Making and Advisory Boards: California Transportation Commission; advisory committees for Long-Range Plan.
- Other Practices: Web page for comments on Long-Range Plan.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

California is the 3rd largest state in land area, largest in population, and 12th most densely populated. However, approximately 20 percent of California's population and jobs, and 96 percent of the land, is non-urban. About 75 percent of California's roads are rural. Federally owned lands amount to 47 percent of the state's land area.

California is a moderately growing state, as measured by population, with a slowly growing rate of employment. The proportion of the state's jobs in the uniquely rural agriculture and mining sectors is moderate to small (8 and less than 1 percent, respectively). Most jobs in California's rural areas are in sectors also common in urban areas: construction, transportation and utilities (15 percent); manufacturing (12 percent); business and trade (27 percent); and services and government (37 percent).

Demographically, California's non-urban population is predominately white (82 percent). Compared to the other states, California ranks about in the middle in terms of the proportion of non-urban adults who did not graduate from high school but well above the middle for the proportion (6th highest) who did graduate from college. The 12 percent of California's non-urban people who are poor is less than in many other states. About 40 percent of the state's non-urban population is in non-working age groups (28 percent 18 years or younger, and 12 percent 65 years or older).

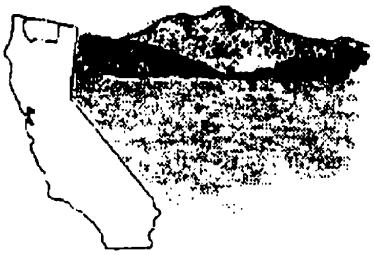
Governmentally, California has 57 counties, a fairly manageable number compared to many other states. The state also has 471 municipalities, but no towns or townships. It ranks about in the middle (21st largest) in terms of the number of sub-county governments. California also has 104 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 136 independent, special-purpose governments in California that have transportation responsibilities. This number is higher than in most other states. These special-purpose governments include 45 for highways, 16 for airports, 12 for water transport, and 63 for transit. California also has FTA funding for 120 public transit providers serving rural areas and 400 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

California has 22 regional councils that cover approximately 75 percent of the state, and 15 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of California's 168,378 miles of roads, approximately 11 percent are state-controlled, while 11 percent are federal. Of the total miles of non-federal rural roads, 16 percent are state, 77 percent are county, none are township, and 7 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS



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DAVID A. GRAVENKAMP
Director

LARRY INMAN
Deputy Director/Administration

BRIAN D. McDERMOTT
Deputy Director/Roads

December 27, 2000

National Academy of Public Administration
1120 G Street, NW, Suite 850
Washington, D. C. 20005

You have asked for our comments regarding the California Processes for Consultation and Cooperation with Local Officials in Non-Metropolitan Areas. In my opinion the summary is inaccurate with examples as follows:

- There are 28 rural RTPAs.
- The development of the RTP and the RTIP is a cooperative effort between the RTPAs, cities, counties and Caltrans.
- While the projects proposed by a region are approved by the RTPA/LTC, Caltrans really has no say as to the approval of individual projects, the RTP or the RTIP. Caltrans provides input and can make suggestions but does not have authority to approve or disapprove. The CTC can approve or disapprove the RTIP but not the RTP.
- The RTPA/LTC is comprised of appointees as laid out in the Transportation Development Act guidelines, Section 29535. The District Director of Caltrans is not a part of the "RTPA Board".
- I am unaware that a webpage has been set up nor of the data base mentioned.
- Regarding "various planning and programming documents", only the RTPA is "circulated" in draft and final form for comment. The RTIP and the Overall Work Program are not circulated although all three documents (RTP, RTIP, and OWP) are addressed in the public forum during LTC meetings.
- The CTC approves or rejects only the RTIP in its entirety. The Federal process is handled by Caltrans headquarters, therefore remains a mystery.
- Tribal governments are required by TEA21 to be involved in the RTPs and to participate in the transportation planning process.
- As to 25% of the transit funds being made available on a statewide discretionary basis, that is for Native American preference.

The process is designed for both local officials and the general public. Decisions must be made in a public forum such as LTC meetings. It appears that local officials have a fair understanding of the process.

The processes are formally documented as follows: Transportation Development Act Guidelines, RTP guidelines (revised December of 1999) pursuant to Government Code Section 14522, CTC STIP guidelines (as amended by CTC July 19, 2000) per SB45 legislation, and various Federal regulations for various Federal programs such as transportation enhancement, etc.

Not only is the section entitled "The Rural Context for Transportation Consultations" poorly worded and confusing it does contain several inaccurate inaccuracies; e.g., there are 58 counties in California and numerous towns. I do not have the ability to readily confirm the facts presented but feel they are irrelevant.

Sincerely,

D. A. Gravenkamp
Director of Public Works

DAG:sj

COLORADO

CONSULTATION PROCESS SUMMARY

The Colorado Department of Transportation (CDOT) conducts multi-modal planning through 6 regions. With approval of the Colorado Transportation Commission, it prepares and revises a 20-year long-range plan and a 4-year STIP. Colorado has 15 Transportation Planning Regions (TPRs) which are not conterminous with CDOT's regions. Planning in 5 TPRs is conducted by MPOs; 3 TPRs include both metropolitan and rural areas. The other 10 TPRs are rural, and most of them have established a Regional Planning Commission (RPC) to oversee planning. CDOT also works with various modal interests such as transit, rail, and bicycles, to coordinate modal needs in the state. These include the Colorado Association of Transit Agencies (CASTA), the Colorado Rail Advisory Committee, and Bicycle Colorado. Additionally, a Statewide Transportation Advisory Committee (STAC) was created by state law to review and comment on regional transportation plans, and to advise CDOT regarding transportation needs in the state. This committee meets with CDOT staff quarterly. Each TPR also has a representative who participates on the STAC.

Colorado state statute provides for creation of the RPCs for the purpose of developing the long-range plan. RPCs also are active in preparing the STIP. RPCs are made up of elected officials from all counties and municipalities in the TPR, and act as the formal policy body that directs the transportation planning activities within the TPR. CDOT provides federal funds to RPCs to fund planning activities. Local elected officials from the rural jurisdictions participate on the MPO and RPC boards and committees. The long-range plans have both metropolitan and rural sections. MPO Transportation Improvement Programs (TIPs) include only urban areas. Rural areas are included in the STIP through the Project Priority and Programming Process (4P).

After passage of ISTEA, the state expanded its existing county hearing process into the 4P. This process begins with meetings at the county level (if requested) to discuss project status, priorities, and proposed revisions to the STIP. These meetings involve the Transportation Commission and/or the CDOT Regional Transportation Director for that area, county and municipal officials, appropriate TPR representatives, and the public.

Whether or not meetings are held at the county level, meetings are held in each TPR to reevaluate the regional TIP, including requests for additional projects. After these meetings, as well as other project selection activities (for bridges, safety, transit, etc.), draft TIPs are developed. RPC and CDOT officials reach consensus on the TIP, which must be in accord with the state's long-range plan and fiscally constrained. This draft TIP is then made available for review and comment by STAC, local officials, and the public at another round of meetings at the TPR level. Once comments are considered,

the final regional TIP is included in the draft STIP prepared by CDOT. The draft STIP is presented, by TPR, to the Transportation Commission in an open meeting, revised as necessary, made available for public review and comment, and approved by the Transportation Commission.

In addition to the process described above, a variety of public involvement activities throughout the planning process could include local officials. Public meetings, forums, and various other mechanisms of communication are conducted. Information is sent to county and municipal offices, as well as other state agencies and modal groups to keep them abreast of the planning process.

Colorado's 2 Indian Nations, the Ute Mountain Ute and the Southern Ute, are located in an area served by 1 RPC and both have membership on that RPC. Long-range transportation plans for the Indian reservations are incorporated into the area regional transportation plan. In addition, each Indian tribe has a non-voting member appointed to STAC. Federal land management agencies are encouraged and invited to participate in regional and statewide planning. They are notified of RPC meetings and kept abreast of public involvement activities. Although the primary focus of the consultation process is transportation, CDOT prepared a guidebook for use by rural RPCs in considering the interrelationship of transportation with land use, demographics, the economy, and the environment.

Rural transportation is funded using federal, state, and local revenue. The primary source of state funds is the Highway User's Tax Fund (HUTF), including motor fuel taxes, driver's license fees, and motor vehicle registration fees. Local governments also receive a portion of the HUTF for transportation needs. The Commission takes funds "off the top" for statewide programs and a Strategic Corridors program. Remaining funds are allocated to CDOT's districts to use on projects prioritized in cooperation with MPOs and RPCs. Local governments contribute to the cost of projects, generally through matching funds. Colorado does not have state funding sources dedicated to transit. Federal transit funds are awarded through grant programs. The Commission is discussing whether to allow federal highway dollars to be used for non-highway projects when the RPC places a high priority on such a project.

Colorado uses these practices:

- State Consultation Tours: Meetings are held in each county (if requested) and TPR to review existing plans and seek proposals for change.
- State Hearings: Formal opportunity for comment is provided at several stages.
- State Process for Interactive Exchange of Views with Local Officials: Public open house hearings, meetings, forums and various other mechanisms of communication are conducted at various locations in each CDOT administrative district.
- Roles of RPOs: RPCs have functions similar to RPOs.

- State Policy-Making and Advisory Boards: Colorado Transportation Commission, STAC, etc.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Colorado is the 8th largest state in land area, 24th largest in population, and 38th most densely populated. Approximately 30 percent of Colorado's population and jobs, and 99 percent of the land, is non-urban, and 89 percent of its roads are rural. Federally owned lands amount to 36 percent of the state's land area.

Colorado is a moderately to significantly growing state, as measured by population, with a moderately growing rate of employment. The proportion of the state's jobs that are in the uniquely rural agriculture and mining sectors is fairly small (7 and 2 percent, respectively). Most jobs in Colorado's rural areas are in sectors also common in urban areas: construction, transportation and utilities (15 percent); manufacturing (11 percent); business and trade (27 percent); and services and government (38 percent).

Demographically, Colorado's non-urban population is predominately white (93 percent). The proportion of the non-urban adult population who did not graduate from high school is low (4th lowest), compared to other states, and the proportion that did graduate from college is high (8th highest). The percent of non-urban poor people in Colorado (12 percent) is roughly average compared to most other states. About 39 percent of the state's non-urban population is in non-working age groups (29 percent 18 years or younger, and 10 percent 65 years or older).

Governmentally, Colorado has 63 counties, a fairly manageable number compared to many other states. The state also has 269 municipalities but no towns or townships. It has the 18th lowest number of local governments. Colorado also has only 2 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 33 independent special-purpose governments in Colorado that have transportation responsibilities, less than most other states. These special types of local governments include 21 for highways, 10 for airports, 1 for parking facilities, and 1 for transit. Colorado has FTA funding for 14 public transit providers serving rural areas and 23 organizations that provide community transit services specifically to elderly and disabled populations in those same areas.

Colorado has 15 Transportation Planning Regions. Planning in 5 of them is done by MPOs, the other 10 are rural. Colorado also has 13 regional councils that cover approximately 90 percent of the state. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of Colorado's 78,043 miles of roads, approximately 12 percent are state-controlled, while 9 percent are federal. Of the total miles of non-federal rural roads, 13 percent are state, 81 percent are county, none are township, and 6 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS.

See following.

Colorado

REGION 9

ECONOMIC DEVELOPMENT DISTRICT
OF SOUTHWEST COLORADO

February 19, 2001

Mr. Bruce McDowell
National Academy of Public Administration
1120 G Street, NW Suite 850
Washington, DC 20005

Re: Processes for consultation and cooperation with local officials in non-Metropolitan Areas

Dear Mr. McDowell:

In regards to the above summary on Colorado's consultation process for rural local officials, we feel the summary is quite accurate in its description. However, having made that statement, we must add there are many elected officials sitting on our Southwest Regional Transportation Planning Commission (TPR), who feel the regional transportation planning process to be quite complicated and confusing.

The overall planning process is documented in the five-year update of the 20 Year Transportation plan. The process is very different for elected officials versus the general public. It would be fair to say the general public is relatively unaware of the TPR planning process.

I hope this letter helps to answer your questions. Should you need any further information, please feel free to contact me at (970) 247 9621.

Sincerely,

Ed Morlan
Executive Director

SERVING THE COUNTIES OF:

ARCHULETA
DOLORES
LA PLATA
MONTEZUMA
SAN JUAN

SOUTHERN UTE INDIAN TRIBE
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CONNECTICUT

CONSULTATION PROCESS SUMMARY

The Connecticut Department of Transportation (ConnDOT) prepares a long-range plan (LRP) and 3-year STIP. For over 20 years ConnDOT has used RPOs to support the state transportation planning and programming process. There are 5 rural and 10 urban RPOs, but no county governments in Connecticut. If an RPO is designated as a Council of Elected Officials or Council of Governments, in accordance with Connecticut General Statute, local elected officials are on the RPO's Board; if an RPO is a Regional Planning Agency, local elected officials may appoint town representatives to sit on the Board. Rural officials in metropolitan planning areas sit on the MPO Board; the highest elected official of the town or city, or a representative appointed by the governing body of the town or city, acts as a full voting member of the MPO.

ConnDOT's Office of Field Coordination serves as the liaison between ConnDOT and the RPOs, using a staff of full-time liaisons. The liaisons are assigned to deal with specific regions and can develop (1) mutually beneficial ongoing relationships with local elected officials, and (2) good working knowledge of the issues and concerns specific to each region. Planning liaison staff are in continual (day-to-day) contact with the RPOs.

The RPO Boards help ConnDOT coordinate all transportation planning, research, project selection and development, and also help to resolve intermunicipal transportation issues. Each fiscal year, ConnDOT makes state and federal funds available to the RPOs for highway and transit planning, and directs the 5 rural RPOs to develop Unified Planning Work Programs (UPWPs) that address the major transportation issues in their region and identify the planning tasks necessary to address them. The RPOs also conduct other transportation planning activities, such as transit and corridor studies, as well as technical assistance to local municipalities.

Connecticut's MPOs must update their LRPs every 3-years, and RPOs are encouraged to update the LRPs every 3 years, to ensure statewide planning coverage. As the MPOs and rural RPOs develop their LRPs, there is a continuous consultative review of the documents by ConnDOT prior to adoption.

ConnDOT drafts the STIP. Member towns may submit projects through their rural RPOs for inclusion in the STIP funded from several federal programs (STP-Other Urban, STP-Rural, STP-Enhancement, and the Scenic By-ways program). ConnDOT scopes out the proposed projects and, depending on complexity, need, and funding availability, includes them in the draft STIP. ConnDOT submits the draft STIP to the rural RPOs for review and comment on the projects listed for their area. The rural RPOs also make this document available to their member towns (elected officials and the public) for local review and discussion at public RPO meetings. Usually, there is also a review and comment period of 30 days for any Transportation Improvement Program

amendments and/or administrative actions as they arise. Any comments forwarded to ConnDOT by the RPOs are addressed, and the rural portion of the STIP is incorporated into the final STIP.

TEA-21 allows 15 percent of required STP-Rural funding to be used on roads classified as rural minor collectors. ConnDOT has decided to fund this category and also set aside funding for roads classified as rural major collectors. ConnDOT met with rural RPOs to develop guidelines for use of these funds. Funding is provided to each rural RPO based on its share of local minor and major rural collector miles. It is the rural RPO's responsibility to solicit its member towns and develop projects while staying within the funding allotted to them.

ConnDOT uses other methods to consult with rural RPOs. It holds Coordination Meetings for all the 15 RPOs 3 to 4 times a year. At these meetings, rural and urban RPOs discuss and find solutions to common problems.

In addition to federal funding, state funding for transportation is available on a project-by-project basis, usually to match federal funds. There is, however, a cooperative effort in the assignment of these funds. The state and the RPO must agree before a project can be funded. (This applies to both rural and urban regions.) Also, local funds are available, in varying degrees, from the individual towns and cities.

Connecticut uses these practices:

- State Hearings: ConnDOT gives RPOs, and local officials through RPOs, formal opportunity for review and comment on the draft STIP.
- State Process for Interactive Exchange of Views with Local Officials: ConnDOT holds coordination meetings for all 15 RPOs 3 times a year.
- Roles of RPOs: ConnDOT depends on RPOs for coordination of all their transportation planning activities, and local elected official involvement.
- Allocation of Transportation Funds and Responsibilities: Rural RPOs develop projects using their share of the allocation allowed for rural collectors (minor and major).
- Other Practices: ConnDOT has full-time staff members assigned to specific regions to serve as liaisons to the RPOs. The liaisons are in constant (day-to-day) contact with RPOs.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Connecticut is the 3rd smallest state in land area, 29th largest in population, and 4th most densely populated. However, approximately 20 percent of Connecticut's population and jobs, and 64 percent of the land, is non-urban, and 69 percent of its roads are rural. Federally owned lands amount to less than 1 percent of the state's land area.

The population in Connecticut is stable, with a moderately growing rate of employment. The proportion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small (2 and less than 1 percent, respectively). Most jobs in Connecticut's rural areas are in sectors also common in urban areas: construction, transportation and utilities (13 percent); manufacturing (21 percent); business and trade (27 percent); and services and government (36 percent).

Demographically, Connecticut's non-urban population is predominately white (97 percent). Compared to the other states, the proportion of Connecticut's non-urban adult population that did not graduate from high school is low (6th lowest) and the proportion that did graduate from college is high (3rd highest). The 4 percent of Connecticut's non-urban people that is poor is the lowest of all states. About 37 percent of the state's non-urban population is in non-working age groups (26 percent 18 years or younger, and 12 percent 65 years or older).

Governmentally, Connecticut is one of 2 states that do not have counties. However, the state has 30 municipalities and 149 towns or townships for a total of 179 sub-county divisions. It has the 11th lowest number of sub-county governments. Connecticut also has 2 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 49 independent special-purpose governments in Connecticut that have transportation responsibilities, less than many other states. These special types of local governments include 31 for highways and 18 for transit. Connecticut has FTA funding for 5 public transit providers serving rural areas and an additional 38 organizations that provide community transit services specifically to elderly and disabled populations in those same areas.

Connecticut has 15 regional councils that cover approximately 95 percent of the state, and 9 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of Connecticut's 20,280 miles of roads, approximately 20 percent are state-controlled, while less than 1 percent are federal. Of the total miles non-federal rural roads, 21 percent are state, none are county, 76 percent are township, and 3 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

Information received by mail on February 8, 2001, from Lon R. Hultgren, Director of Public Works, Town of Mansfield. The comments were in the form of a mark-up of the Connecticut consultation process summary and context description.

With respect to the process summary, Mr. Hultgren commented that "the urban regional planning organizations (RPOs) act as MPOs for transportation planning, with one exception where 2 small urban RPOs have joined together to form one MPO." Mr Hultgren also notes that the proper name of ConnDOT's office that provides liaison with the RPOs is the Office of Planning and Field Coordination.

With respect to the context description, Mr. Hultgren indicates that the "towns and townships" are considered to be municipalities, and recommends that units classificatied as towns and townships by the U.S. Census of Governments for Connecticut be combined with the number of municipalities. The combined number, he comments, should be 169 rather than the 179 listed by the latest (1997) Census of Governments. In addition to the 2 federally recognized Indian tribes in Connecticut, Mr. Hultgren suggests adding that several others have applications pending for federal recognition.

Mr. Hultgren also recommends referring to all "regional councils" in the state as "regional planning organizations," and notes that "five are rural and ten are urban." This increase by one in the number of RPOs that are listed as being urban in the Academy write-up is a result of the fact that 2 RPOs combined for transportation purposes to form a single MPO. Thus the number of MPOs remains at 9, even though they encompass 10 RPOs.

Finally, Mr. Hultgen recommends combining the percentages of non-federal rural local roads controlled by towns and municipalities to equal 79, rather than 76 and 3 percent, respectively listed in the Academy description.

DELAWARE

CONSULTATION PROCESS SUMMARY

In Delaware, transportation facilities and services, including those for rural areas, are funded by the Delaware Department of Transportation (DelDOT). A 20-year long-range plan sets forth goals, policies and actions for transportation facilities, while the Capital Improvement Program (CIP) outlines specific projects; this 6-year program is updated annually. The first 3-years of the CIP constitute the STIP. DelDOT's efforts are overseen by the Council on Transportation (COT). DelDOT is responsible for over 85 percent of all roadways in the state, ranging from interstates to subdivision streets. Also, most of the communities in the state, especially in rural areas, are small. Consequently, DelDOT is the default transportation planning agency for the unincorporated areas outside the MPOs, and for many of the smaller communities in these areas as well.

There are 2 MPOs in the state, (Dover/Kent County and the Wilmington Area), and only 3 counties. Sussex County is the only rural area. There, the Sussex County Transportation Policy Advisory Committee (TPAC) carries out regional transportation planning. TPAC members include local elected officials, town representatives, government employees, and citizens. The MPOs have wide representation of municipalities on their Technical Advisory Committees (TACs) and Public Advisory Committees (PACs). The Dover/Kent County MPO makes an extra effort to involve the rural areas by holding its PAC meetings at various locations. In Sussex County, DelDOT makes every effort to involve the local elected officials in developing the long-range transportation plans, the CIP, and project specific plans. Efforts in this regard include, but are not limited to, regular meetings with the County Council and Sussex County Association of Towns. DelDOT provides regular briefings to these and other organizations throughout the County. More generally, local elected officials are encouraged to provide their input to DelDOT on regional projects and planning at COT's public meetings.

Among key activities supporting DelDOT's development of the long-range plan, is development of regional long-range plans by the MPOs and TPAC. A variety of public participation efforts are also undertaken, including meetings with community, business, environmental, and special interest groups; public meetings in each county to discuss the plan; coordination and participation with county governments and the MPOs in their own public involvement processes; and a formal public comment period.

Development of the CIP includes several opportunities for public input. The process starts with an open meeting of the COT to review the existing CIP. Public meetings are held in each of the state's 3 counties to seek public input for updating the CIP; these meetings are preceded by public workshops. From these meetings, DelDOT accrues a list of needs and projects and prioritizes them based on 14 factors established by COT.

DelDOT then works with COT to develop a draft CIP, considering such factors as available funds and project and program schedules. The draft is then presented to the public in a series of joint COT/MPO/DelDOT meetings/workshops, one in each county. After comments are considered DelDOT presents the final draft to COT at another open meeting. Once approved by COT it must also be approved by the Governor and the State Legislature. In this process most projects first appear on the CIP in the out-years, and have been before the public for review on more than one occasion before actually being funded.

The public participation policy covers the entire transportation planning process and is multi-modal by design. Indian tribal officials and federal land management agencies are consulted as needed on planning issues. Issues such as land use and economic development are addressed in the Statewide Long-Range Transportation Plan.

DelDOT funds transportation facilities and services through its transportation trust fund, which includes both federal and state dollars. The 2 MPOs receive planning and operational funds through DelDOT. Funds are disbursed on a project basis in the following categories, in order of DelDOT priority: preservation and maintenance, management and operations, expansion, and program development. Applications are solicited annually for federal transportation enhancement projects up to $500,000. An advisory committee, consisting of DelDOT staff, local elected officials, and citizens prioritizes and recommends projects to the Secretary of Transportation who selects projects for programming. Each state representative receives $300,000 annually to distribute at their discretion, enabling some rural areas to take care of small needs.

Delaware uses these practices:

- State Consultation Tour: COT holds meetings in each county to discuss the current CIP and ideas for change.
- State Hearings: COT holds public meetings and allows opportunity for formal review and comment at various stages in preparation of the long-range plan and CIP.
- State Policy-Making Advisory Boards: Council on Transportation.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Delaware is the 2nd smallest state in land area, 6th smallest in population, and 7th most densely populated. However, approximately 36 percent of Delaware's population and jobs, and 89 percent of the land, is non-urban. About 69 percent of Delaware's roads are rural. Federally owned lands amount to 19 percent of the state's land area.

Delaware is a moderately growing state, as measured by population, with a moderately growing rate of employment. The proportion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small (4 and less than 1 percent, respectively).

Most jobs in Delaware's rural areas are in sectors also common in urban areas: construction, transportation and utilities (16 percent); manufacturing (19 percent); business and trade (28 percent); and services and government (33 percent).

Demographically, Delaware's non-urban population is predominately white (84 percent) with a large portion of African-Americans (14 percent). Compared to the other states, the proportion of Delaware's non-urban adults who did not graduate from high school is relatively high (17th highest) but the proportion that did graduate from college is well above the middle (13th highest). The 9 percent of Delaware's non-urban people who are poor is less than in most other states. About 40 percent of the state's non-urban population is in non-working age groups (26 percent 18 years or younger, and 14 percent 65 years or older).

Governmentally, Delaware has 3 counties, a small number compared to many other states. The state also has 57 municipalities, but no towns or townships. It has the 4th lowest number of sub-county governments. Delaware does not have any federally recognized Indian tribes.

Delaware is one of 6 states that do not have special-purpose districts with transportation responsibilities. However, Delaware has FTA funding for one public transit provider serving rural areas and 14 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Delaware has one regional council that covers approximately 75 percent of the state, and 2 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of Delaware's 5,524 miles of roads, approximately 89 percent are state-controlled, while less than 1 percent are federal. Of the total miles of non-federal rural roads, 93 percent are state, none are county, none are township, and 7 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

No responses received.

FLORIDA

CONSULTATION PROCESS SUMMARY

The Florida Department of Transportation (FDOT) is responsible for developing the Florida Transportation Plan and the annual STIP. Implementation of these planning and programming processes are largely decentralized in FDOT's 7 geographic districts. (An 8th district is a statewide district for turnpikes). Most highway funds are administered by the FDOT district offices. Public transportation funds are distributed to eligible transit, rail, seaport and aviation authorities. The Florida Commission for the Transportation Disadvantaged (FCTD) was created to coordinate the transportation services provided to the transportation disadvantaged. FCTD is an independent entity that prepares a statewide 5-year transportation disadvantaged plan which must be coordinated with local transit plans and local government comprehensive plans.

Florida has 11 regional planning councils that provide a regional focus for transportation and other programs and assist local governments in resolving common problems. Local elected officials are involved in the regional transportation planning process by serving on the supervisory board of their regional planning council and also on the local coordinating board of FCTD. State law provides that the board of county commissioners shall serve the functions of an MPO in those counties which are not federally recognized MPOs to assist in the development of FDOT's work program (and, therefore, the STIP) to the same extent as an MPO. Most MPOs are single-county, even in multi-county urbanized areas.

FDOT is concluding a major effort to update the Florida Transportation Plan. In part that effort was guided by 3 advisory committees and 1 steering committee. The state is increasingly using such committees in its planning activities.

In Florida, local governments are required to develop and adopt comprehensive plans, including a transportation element, to guide overall development. The FDOT districts review these plans to ensure that their transportation planning provisions are consistent with the State Comprehensive Plan and the Florida Transportation Plan. These reviews are coordinated by the districts with Florida's land planning agency, known as the Department of Community Affairs. FDOT is also a key player in the consultation process of developing a statewide strategy for increasing economic opportunities in Florida's rural communities and incorporating those strategies into the transportation planning processes. For example, FDOT participates in collaborative efforts such as the Rural Economic Development Initiative (REDI) and the Florida State Rural Development Council (FSRDC) to resolve transportation and economic development related issues at the local government level through consultation, negotiation, and provision of technical assistance. All such efforts involve coordinating and communicating with non-metropolitan local government officials. There is also a

coordinator for Transportation Enhancement and Local Agency Program projects who is available to meet on an "as needed" basis.

FDOT's districts and central office prepare a 5-year work program, the first 3-years of which are incorporated into the STIP. Local jurisdictions hold public hearings to identify and prioritize transportation needs. Project priorities are established by county commissioners in non-metropolitan areas. Each FDOT district has a liaison who meets with county commissioners and other county officials throughout the year to address transportation project priorities. Each district establishes its own consultation procedures; it may, however, include participating in technical committees, meeting periodically with county administrators and staff, or participating in county-sponsored planning exercises. Through the consultation and review process, local priorities are incorporated into district work programs. FDOT also requires a priority listing from all public transportation entities. These priorities are coordinated with other district priorities and included, as appropriate, into the centrally developed work program.

The draft work program is submitted to counties for review. A public meeting is held, usually a regular county commission meeting, where input is received. Each county commission is requested to either endorse or deny endorsement of the entire program. After all public meetings, a rural public hearing is held to solicit additional testimony and input.

Preparation of the STIP includes issues related to transportation needs of Indian tribes and federal agencies. FHWA provides FDOT with a listing of projects from the current Indian Reservation Road Transportation Improvement Program and the current Public Lands Improvement Program that are included in the STIP.

FDOT funds transportation projects in rural areas from state and federal revenue sources in consultation with the affected local governments. These state and federal funds may be used to finance appropriate transportation planning, construction, maintenance, and operation activities in rural areas. Most funding is allocated to the FDOT districts for capacity improvements and system preservation projects. Larger projects are prioritized regionally and then statewide. FDOT conducts an annual review of funds to assure that each county receives at least 80 percent of its fair share over a 10-year time frame. Counties may levy a tax of up to 11 cents on each gallon of gasoline.

A portion of State transportation revenues are provided to each district as District Dedicated Revenues (DDR). These funds may be used for transportation improvements on the state highway system and for public transportation in the specific transportation district where the tax proceeds were collected. To the maximum extent feasible, DDR funds must be used in the county from which they were generated.

Public transportation funds are distributed to eligible transit, rail, seaport, and aviation authorities. FCTD has a dedicated trust fund, the Transportation Disadvantaged Trust

Fund (TDTF), to support coordinated transportation functions in both rural and urban areas. This fund receives 15 percent of the Surface Transportation Trust Fund's Public Transit Block Grant; $1.50 of each vehicle registration fee (under 5,000 lbs.); $5.00 of every temporary disabled parking permit; and voluntary $1.00 contributions from vehicle registration fees. The fund is used to operate the statewide program, to provide grants to Community Transportation Coordinators (CTCs) using a formula based on trips, vehicle miles, population, and square miles, and for planning grants.

Florida uses these practices:

- State Process to Identify Needs: County Commissioners and regional councils identify and prioritize projects for consideration in each FDOT district work program. Transit and aviation authorities are required to submit priority project listings to FDOT. FHWA provides FDOT with lists of Indian and federal lands projects.
- State Hearings: FDOT holds public meetings, often at regular county commission meetings, and rural public hearings to solicit testimony and input on the draft work program.
- Roles of RPOs: Regional planning councils assist local governments in developing local comprehensive plans and setting priorities for transportation and transit projects.
- State Policy-Making and Advisory Bodies: The Florida Legislature; the Florida Transportation Commission; the Florida Commission for the Transportation Disadvantaged; various advisory and steering committees help guide transportation planning.
- Other Practices: Each non-metropolitan area has an FDOT liaison who meets with county commissioners and other county officials throughout the year to address transportation project priorities which were developed with community involvement. FDOT districts establish individual consultation practices; some include participating in county-sponsored planning exercises or sitting on local technical advisory committees.

CONTEXT FOR NON-METROPOLITAN CONSULTATION[1]

Florida is near average in land area, 4^{h} largest in population, and 8^{h} most densely populated. Only 15 percent of Florida's population lives in rural areas while 58 percent of its roads are rural. Federally owned lands amount to 8 percent of the state's land area.

[1] The information in this section was provided primarily by FDOT. Some was taken from Appendix A in the Academy's report to the Federal Highway Administration titled *Rural Transportation Consultation Processes* (Washington, D.C: May 2000). FDOT reviewers did not believe demographic information about the state's rural population, included in the other states' sections, is relevant to the rural transportation consultation process and requested that it be deleted.

Florida is one of the fastest growing states in the nation, as measured by population. The unemployment rate is 3.7 percent (below the national average). Agricultural jobs are 2.7 percent of all jobs and mining accounts for only 0.1 percent.

Governmentally, Florida has 67 counties, a fairly manageable number compared to many other states. The state also has 400 municipalities, but no towns or townships. It ranks in the middle, compared to other states, in terms of the number of sub-county governments. Florida has 2 resident Indian tribes plus 3 additional federally recognized tribes with significant historical and cultural ties to the state.

Florida has 11 regional planning councils and 25 MPOs. The regional planning councils assist local governments and play a role in rural transportation programs.

In addition, the 1997 U.S. Census of Governments, has identified 23 independent, special-purpose governments in Florida that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 5 for highways, 6 for airports, 6 for water transport, and 6 for transit. Florida also has FTA funding for 43 other public transit providers serving rural areas and 226 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Florida's transportation system includes 115,957 centerline miles of roadway, of which 10 percent are state-controlled (39,066 lane miles) and 1.4 percent are federally controlled. The system also includes 760 aviation facilities (128 of which are public and 19 of which have scheduled service); 23 transit systems; 14 seaports; and 2,888 miles of railways.

VIEWS OF LOCAL OFFICIALS

Information received via e-mail, January 10,2001, from Brian D. Teeple, Chairman, Florida Regional Councils Association.

Thank you for the opportunity to review the documents pertaining to Florida's state consultation process with local officials in non-metropolitan areas. The summary is thorough and we appreciate the time that went into this effort. There are 2 pieces of information, though, that are missing from the summary. The summary should note that representatives of the Florida Department of Transportation's (FDOT's) District Offices serve on Regional Planning Councils as ex-officio non-voting members. In addition, the summary should mention that the Regional Planning Councils' Strategic Regional Policy Plans (SRPPs) include a transportation element. Local Government Comprehensive Plans are required to be consistent with the SRPP, and the SRPP must be consistent with the State Comprehensive Plan.

There is also one statement in the summary that is in error. Under the subheading of "Florida Uses These Practices," the first bullet states that regional councils identify and prioritize projects for consideration in each FDOT district work program. Although Florida's Regional Planning Councils welcome the opportunity to coordinate more closely with the FDOT on their work program as is being done in other states including Kentucky, Arizona, Mississippi, Minnesota, Pennsylvania, and South Carolina, there is no formally established process in Florida which facilitates this dialog. This statement should be removed from the summary.

The process in Florida for consulting with elected officials in non-metropolitan areas is loosely structured and targets the general public as well as local elected officials. FDOT's coordination with local elected officials in non-metropolitan areas could be enhanced in Florida by using Regional Planning Councils to facilitate participation in the consultation process, as recommended in TEA-21. In it's report, Transportation: Connecting to Today's Rural America, the National Association of Development Organizations (NADO) points out that regional development organizations are ideal partners for states in the rural transportation planning process. According to NADO, as public entities created by state law or executive order, regional development organizations allow states to build on existing relationships with local governments, community leaders, and the public. Furthermore, NADO states that these organizations bring years of planning experience to the table, including extensive knowledge of economic development, land use, and environmental planning; have experience coordinating the activities of local governments within a region; and most importantly, have decades of experience as the service delivery mechanism for many federal and state programs.

We have met with officials from the FDOT on several occasions regarding the interest of Florida's Regional Planning Councils in establishing a more formal relationship with them. However, to date, the relationship is primarily governed by the coordination that exists on a project by project basis between the FDOT District Offices and the Regional Planning Councils, in response to specific regional needs.

Thank you again for the opportunity to provide comments on the summary and related documents.

GEORGIA

CONSULTATION PROCESS SUMMARY

The Georgia Department of Transportation (GDOT) conducts transportation planning under the supervision of the Transportation Board. GDOT has 7 engineering districts, 6 of which are rural. There are 16 Regional Development Centers. The centers are established by counties and municipalities in accordance with state law, and are overseen by advisory boards of local officials. Counties and cities are required to have comprehensive plans, with a transportation component. GDOT provides financial (with local matching funds) and technical support to the centers for planning.

In Georgia, the consultative process covers all areas of transportation planning, from individual transportation project development to the 6-year construction plan, the State Transportation Improvement Program (STIP), and the Statewide Transportation Plan (SWTP). It also covers all modes of transportation and requires an initial and continuing involvement of local officials and the public during the course of a planning study, as well as development of the various state plans and programs. Local officials from rural and developing portions of metropolitan planning areas have the same representation on the technical and policy committees of MPOs as officials from the more populated portions of the MPO study area.

After ISTEA, Georgia developed an action plan for public involvement. In part, the plan was a result of a statewide public involvement initiative known as T2000, which was a blue ribbon commission made up of transportation stakeholders. The commission sought advice, ideas, and opinions from the public on various issues at over 15 public forums held throughout the state.

The Statewide Transportation Plan is updated every 5-years. An advisory committee is assembled from stakeholders for each revision. The committee participates in the public involvement process and helps to ensure there is adequate representation of all stakeholders at the public meetings held in all regions of the state. Public meetings are held at the beginning of the update process to solicit ideas and recommendations. A second round of public meetings is held midway through the update process that shares findings of technical and economic trends. Comments from these meetings are considered in developing the final plan recommendations.

At the beginning of the annual STIP update process, GDOT staff meets with officials of every county and city to discuss projects in the draft STIP and solicit recommendations and/or concurrence on the proposals. Additionally, the 6 rural GDOT district offices, in cooperation with the Regional Development Centers, conduct STIP public review meetings. At these meetings, local citizens, stakeholders, and elected officials are provided with information on the purpose of the STIP and their role in its development. They are also guided through the draft STIP and given an opportunity to comment.

Based on the input from the public, stakeholders, and elected officials, GDOT develops the 6-year construction work program; the first 3 years of the program is the STIP. The STIP, including the urban TIPs, is forwarded to the State Transportation Board for approval.

GDOT established a core group of individuals and organizations known as the Family of Partners that is made up of about 2,800 stakeholders. Through newsletters and mailings GDOT keeps them informed of new developments affecting transportation programs and projects of major importance. This core group also plays a major role in assisting GDOT to obtain public input into the transportation planning process.

There are no officially designated Indian tribal lands within the state. However, representatives of indigenous Indian tribes are invited to participate in the planning process, especially when proposed transportation projects could have an impact on recognized historic or archeological Indian sites. During the STIP development process, GDOT also meets with representatives of appropriate federal land management agencies to discuss their needs within the state and to mutually select projects for funding within their domains.

Georgia funds rural transportation projects through a combination of federal highway, federal transit, state and local funding—including some competitive federal grants such as Scenic Byways, Coast Guard, and National Park Service. The majority of state transportation funding is a combination of federal funds and state gas tax. Counties and cities can also apply for Local Assistance Road Program funding, a portion of the state gas tax is used to finance this program. The program is distributed on application by a formula of road miles and population. About 30 counties have also enacted a local option sales tax for transportation.

Georgia uses these practices:

- State Consultation Tours: At the beginning of the annual STIP update process, GDOT meets with every county and city to discuss the draft STIP and obtain input and recommendations.
- State Hearings: The T2000 commission held over 15 public forums throughout the state; GDOT and the Regional Development Centers sponsor public information meetings in each of the regions and in the 6 rural GDOT districts during the STIP development process.
- Roles of RPOs: Regional development centers have a role in planning, helping to set up STIP review meetings and working with GDOT districts.
- Statewide Policy-Making and Advisory Boards: Transportation Board; the T2000 Commission; the Family of Partners.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Georgia is the 21st largest state in land area, 10th largest in population, and 18th most densely populated. However, approximately 48 percent of Georgia's population and jobs, and 95 percent of the land, is non-urban. About 83 percent of Georgia's roads are rural. Federally owned lands amount to less than 5 percent of the state's land area.

Georgia is a growing state, as measured by population, with a growing rate of employment. The proportion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small (4 and less than 1 percent, respectively). Most jobs in Georgia's rural areas are in sectors also common in urban areas: construction, transportation and utilities (15 percent); manufacturing (27 percent); business and trade (24 percent); and services and government (30 percent).

Demographically, Georgia's non-urban population is predominately white and African-American (76 and 22 percent, respectively). Georgia has the 4th highest proportion of non-urban adults who did not graduate from college and the 13th lowest proportion that did graduate from college. The 16 percent of Georgia's non-urban people who are poor is greater than in most other states. About 41 percent of the state's non-urban population is in non-working age groups (29 percent 18 years or younger, and 12 percent 65 years or older).

Governmentally, Georgia has 159 counties, a fairly large number compared to many other states. The state also has 535 municipalities but no towns or townships. It has the 18th highest number of sub-county governments. Georgia does not have any federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 22 independent, special-purpose governments in Georgia that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 19 for airports, 2 for parking facilities, and 1 for transit. Georgia also has FTA funding for 72 other public transit providers serving rural areas and an additional 32 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Georgia has 16 regional councils that cover approximately 100 percent of the state, and 10 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of Georgia's 113,893 miles of Certified Official Roads, approximately 16 percent are state-controlled. Georgia has 4,668 miles of National Highway System (NHS) roads, which represent 4 percent of the total road miles in Georgia. Of the 4,668 miles of NHS roads, 4,382 miles (94 percent) are maintained by the state. Of the total 109,225 miles of non-NHS roads, 74 percent are county roads, 12 percent are city streets and 2

percent are on other systems. There are 83,129 miles of non-NHS rural roads, 14 percent are state routes, 78 percent are county roads, and 8 percent are other systems.

VIEWS OF LOCAL OFFICIALS

Information received via e-mail from Ray Southern, Director of Public Works, City of Cartersville, on December 20, 2000.

1. The summary seems accurate and complete for my district of the state.
2. The process seems to be designed for both local officials and general public; all open meetings.
3. The experience of local officials has moved into the direction of use of planning consultants in the more rapid growth areas, along with local and public input.
4. The process in place today seems to give good information and adequate planning time, especially for large projects. If there is a need, it would be for more money, shorter time frames, and less red tape to expedite smaller emergency projects.

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January 4, 2001

Mr. Bruce McDowell
National Academy of Public Administration
1120 "G" Street, NW, Suite 850
Washington, DC 20005

Re: Review of State Process for Consultation and Cooperation with Local Officials in Non-Metropolitan Areas under TEA-21

Dear Mr. McDowell:

Thank you for the opportunity to respond to your study on the performance of non-metro planning under TEA-21. The summary that was provided on the Georgia process was basically correct. While you referred to the local officials roles with the Regional Development Centers as "advisory" in nature, in fact, the local officials are the policy board of the RDC's, and therefore control their work and approve their work product.

With respect to transportation planning, our association worked closely with the Georgia Department of Transportation (GDOT) before they contracted with the RDC's to insure the county commissioners were aware of the process that their regional planning group would be undertaking.

Our officials also continue to have their direct contact with GDOT since their district engineering staff maintains close relationship with them as it has done historically. At the beginning of the process, we also participated in a fly-in into each DOT district with the Commissioner, Deputy Commissioner, Planning and Programming Director and State Aid Director to let county officials hear of the process directly from the administration of GDOT.

Quite frankly, Georgia's counties' problems are not from the programming of the federal funds, but from the fact that the additional federal dollars have required more match from state motor fuel funds leaving county projects that are not eligible for TEA-21 funds lacking.

I hope this will assist you in your review.

Sincerely,

Jerry R. Griffin
Executive Director

HAWAII

CONSULTATION PROCESS SUMMARY

The State of Hawaii Department of Transportation (Hawaii DOT) utilizes a Countywide Transportation Planning Process (CTPP) for the non-metropolitan areas of the state. (There is 1 MPO in Hawaii, Honolulu.) Each county consists of 1 or more separate islands. CTPP provides the DOT and the counties a means to ensure a continuing, cooperative, and comprehensive transportation planning process for the non-metropolitan areas. There is an agreement between the Governor and the mayors of each of the counties that outlines the general framework and understanding under which the state and counties participate in the CTPP.

As part of the CTPP, each county has a Policy Committee (PC) consisting of the directors of Hawaii DOT and the County Departments of Planning and Public Works. The PC is the official coordinating body between the state and the county that carries out the objectives of the transportation planning process. The Technical Advisory Committee (TAC) of the CTPP consists of a senior civil service staff member from each of the 3 departments that comprise the PC, and they advise the PC and provide the technical oversight in the development of various transportation planning, funding, and implementation programs. The members of the TAC participate in the development of specific transportation plans and programs.

There is also a working group, called the sub-TAC, which consists of members of other government agencies and stakeholder groups. They ensure that issues, such as land use, economic development, and environment that impact, or may be impacted by, transportation are represented.

Because public involvement is a critical element in the development of the transportation plans and programs, ad hoc Citizens Advisory Committees (CAC) as well as public information meetings/hearings and other public outreach methods and techniques are utilized.

Coordination and integration of the metropolitan and non-metropolitan planning processes occur within the Statewide Transportation Advisory Committee (STAC). The STAC is comprised of the CTPP, TAC, and the Oahu Metropolitan Planning Organization (OMPO) Resource Staff. The STAC advises the Hawaii DOT, and provides statewide oversight and consistency to the transportation planning process.

Federal funds are utilized for the various state and county transportation programs, planning, design, construction, maintenance, and operations.

Hawaii uses these practices:

- State Policy-Making and Advisory Boards: The STAC advises the Hawaii DOT and provides statewide oversight and consistency.
- Other Practices: CTPP for non-metropolitan areas; PC is the official coordinating body; TAC participates in the development of specific transportation plans and programs; the CAC is utilized for public involvement.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Hawaii is the 4th smallest state in land area, 10th smallest in population, and 13th most densely populated. However, approximately 46 percent of Hawaii's population and jobs, and 97 percent of the land, is non-urban. About 73 percent of Hawaii's roads are rural. Federally owned lands amount to roughly 17 percent of the state's land area.

Hawaii is a slowly growing state, as measured by population, with a significantly declining rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small (6 and less than 1 percent, respectively). Most jobs in Hawaii's rural areas are in sectors also common in urban areas: construction, transportation and utilities (18 percent); manufacturing (6 percent); business and trade (28 percent); and services and government (43 percent).

Demographically, Hawaii's non-urban population is divided predominately between white (38 percent) and Asian (57 percent). Hawaii ranks in the bottom quarter of states in terms of the proportion of non-urban adults who did not graduate from high school (11th lowest) and ranks 16th highest in the proportion that did graduate from college. The 9 percent of Hawaii's non-urban people who are poor is less than in most other states. About 40 percent of the state's non-urban population is in non-working age groups (30 percent 18 years or younger, and 10 percent 65 years or older).

Governmentally, Hawaii has 3 counties, a fairly small number compared to many other states. The state also has one municipality and no towns or townships. Hawaii is the only state with only 1 sub-county government. Hawaii does not have any federally recognized Indian tribes.

Hawaii is 1 of 6 states that do not have special-purpose districts that have transportation responsibilities. Hawaii has FTA funding for 3 public transit providers serving rural areas and no other organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Hawaii has 1 MPO but does not have any regional councils.

Of Hawaii's 4,106 miles of roads, approximately 25 percent are state-controlled, while less than 3 percent are federal. Of the total miles of non-federal rural roads, 32 percent are state, 66 percent are county, none are township, and 2 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

No responses received.

IDAHO

CONSULTATION PROCESS SUMMARY

The Idaho Transportation Department (ITD) is responsible for developing a 20-year long-range plan as well as the 3-year STIP. It works under the supervision of a Governor-appointed Transportation Board, and with a variety of other mode-specific commissions and committees, such as the Aeronautics Advisory Board and the Public Transportation Advisory Council (PTAC). ITD has 6 planning districts that work with a variety of transportation planning organizations and groups, including 6 regional planning and development organizations. The boundaries of the ITD districts and the 6 RPOs coincide. The regional organizations have no formal planning role, but are encouraged to participate in the STIP process.

The ITD consultative process covers all modes of transportation, programs, and issues, and occurs at all levels, from local one-on-one meetings with ITD district personnel to statewide planning committees. Each ITD district has a Senior Transportation Planner who coordinates with local governments and reports to the district engineer. For planning and consultative purposes each district Senior Transportation Planner meets quarterly with an Intermodal Working Group consisting of MPOs, local road representatives, tribal representatives, modal planners and other planning groups. Each PTAC member represents a district for public transportation planning. Consultation is also accomplished as part of Corridor Studies, which take input from stakeholders and the public, beginning at the initial stages. The stakeholders include key decision-makers within the corridor boundary, such as (but not limited to) local elected officials, agency representatives, tribal representatives, and community leaders. Increasingly, local multi-agency/jurisdictional transportation planning committees are being formed. They meet regularly with ITD district personnel to discuss and promote mutual transportation planning and project development.

Consultation with local officials is also accomplished through interaction with several associations. Many local officials are members of the Idaho Association of Counties, the Idaho Association of Cities, and/or the Idaho Association of Highway Districts, Inc. These associations are also represented on the Local Highway Technical Assistance Council (LHTAC). There are 3 MPOs in Idaho. Idaho's largest MPO now includes representation from rural officials in the developing portions of its metropolitan planning area.

The Idaho Transportation Board also plays a direct role in the consultation process. Of the 7 appointed members, 6 represent one of each of the ITD districts and will meet with the District Engineer or local constituents. The Board itself meets monthly in one of the 6 districts throughout the state. Once a year it tours each of the ITD districts reviewing new or proposed projects. The Board meets with various citizens, state and

local officials, and businesses, and regularly meets with any group of persons that wishes to discuss one or more issues with it.

ITD coordinates transportation planning and develops the STIP based on the input from the public, local jurisdictions, MPOs, the LHTAC, and federal and state agencies. Citizens, agencies, local elected officials, planning and development organizations, and local governments identify needs and make recommendations to the ITD district transportation planner. District planners submit recommendations to the central office for inclusion in the draft STIP. Headquarters develops the 3-year STIP with input from the LHTAC, Division of Environmental Quality, Enhancement Advisory Committee, and other stakeholders. The draft STIP is released for public comment via newspaper ads, news releases, open-houses, a web-site address, plus a direct mailing to local jurisdictions and interested parties. As feasible, comments and changes are incorporated into the final draft that is submitted to the Transportation Board for approval. Once a project is approved in the STIP, open houses are held to discuss project specifics with local residents and local elected officials.

Indian tribes are contacted when there is a proposed project near their reservation. Contact often involves direct meetings with the Indian tribe, but may also include phone calls, e-mail and letters. The BIA Indian Reservation Roads Program is included in the STIP. ITD also meets with Native American tribes to initiate open lines of communication and a cooperative atmosphere. Also, federal and state land management agencies are involved in the early stages of the planning process when projects are on or near their land. A Tri-Agency agreement between the Forest Service, FHWA and ITD facilitates the development of the Forest Highway Program. A tour is planned each year to review projects that might be added to the Program. The Public Transportation Interagency Working Group was established to facilitate planning and coordination between transportation providers.

Rural and city transportation needs are funded with a mixture of federal, state, and local funds. ITD selects projects for most federally funded programs on the basis of a variety of factors that include need assessment for the achievement of department goals for pavement condition, bridges, safety and congestion management, air quality and enhancement project criteria, as well as public involvement and funding eligibility. STP–Rural funds are distributed for eligible projects that are identified, prioritized, and requested by local agencies through a formal project application process (January-March). Project proposals are reviewed and ranked by LHTAC and a prioritized list of projects (based on available funding) is then presented to the Idaho Transportation Board for inclusion in the draft STIP in June. STP Local Urban funds are divided using population data, between the 3 MPOs and all other cities above 5,000 population. The MPOs recommend projects within the MPO areas. MPO projects are placed in their respective TIPs and in the STIP within the available STP local urban funding for that year. Final project approval is by the Idaho Transportation Board. For cities greater than 5,000 population projects are requested by local agencies through a formal project application process (January-March). Project proposals are reviewed and ranked by

LHTAC and a prioritized list of projects (based on available funding) is then presented to the Idaho Transportation Board for inclusion in the draft STIP in June. The above process was developed through a consultative process with local agencies and ITD will be phasing out a program that allowed some local highway districts to exchange their federal aid funds for state funds.

Through the state highway distribution account (state gas tax revenues), 38 percent of state funds go directly to local governments based on their percent of local road miles; most of the rest goes to the state. Local governments control the funds that are distributed to them from state gas tax funds and can generate additional transportation revenue through property taxes, special option registration fees, impact fees and use of limited bonding authority.

Idaho uses these practices:

- State Consultation Tours: The Board, ITD management with district personnel and affected local agencies review potential projects and modes within each district.
- State Processes to Compile Transportation Needs: Enhancement, CMAQ, STP local and Urban projects are developed based on a competitive call for projects.
- State Hearings: The STIP is made available for formal review and comment.
- State Processes for Interactive Exchanges of Views with Local Officials: ITD staff meets with intermodal committees, citizens' advisory committees, and participate in corridor studies.
- State Policy-Making and Advisory Bodies: Transportation Board, and other boards and commissions, which help shape the consultative process.
- Other Practices: ITD Senior Transportation Planners are responsible for maintaining contact with other state officials, utility companies, MPOs, the public, and officials of city and county governments; ITD works with various associations, such as the Association of Counties; the Transportation Board meets regularly with citizens and officials around the state.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Idaho is the 13th largest state in land area, 11th smallest in population, and 11th least densely populated. Approximately 73 percent of Idaho's population and jobs, and just under 100 percent of the land, is non-urban. Approximately 94 percent of Idaho's roads are rural. Federally owned lands amount to 62 percent of the state's land area.

Idaho is a quickly growing state, as measured by population, with a moderately growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture sector is fairly large (12 percent) and in the mining sector is small (1 percent). Most jobs in Idaho's rural areas are in sectors also common in urban areas:

construction, transportation and utilities (12 percent); manufacturing (15 percent); business and trade (26 percent); and services and government (34 percent).

Demographically, Idaho's non-urban population is predominately white (94 percent). Compared to the other states, the proportion of non-urban adults who did not graduate from high school is low (16th lowest), but the proportion who did graduate from college is also relatively low (9th lowest). The 14 percent of Idaho's non-urban people who are poor is greater than in many other states. About 45 percent of the state's non-urban population is in non-working age groups (33 percent 18 years or younger, and 13 percent 65 years or older).

Governmentally, Idaho has 44 counties, a fairly manageable number compared to many other states. The state also has 200 municipalities, but no towns or townships. Overall, Idaho has the 12th lowest number of sub-county governments. However, Idaho also has 5 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 66 independent, special-purpose governments in Idaho that have transportation responsibilities. This number is larger than in many other states. These special-purpose governments include 65 for highways and 1 for transit. Idaho also has FTA funding for 5 public transit providers serving rural areas and 21 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Idaho has 8 regional councils that cover approximately 100 percent of the state, and 3 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of Idaho's 58,588 miles of roads, approximately 9 percent are state-controlled, while 40 percent are federal. Of the total miles of non-federal rural roads, 14 percent are state, 44 percent are county, less than 1 percent are township, and 42 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

No responses received.

ILLINOIS

CONSULTATION PROCESS SUMMARY

The Illinois Department of Transportation (IDOT) develops the state transportation plan, as well as a 5-year transportation program and the STIP. IDOT's consultation process encompasses the entire range of transportation planning, programming and implementation activities. Although consultation in urban areas is more structured, coordination with local agencies in rural and small urban areas is continuous.

The state transportation plan—Transportation Policies and Goals for the 21st Century—sets forth the basic vision for the state. A series of statewide public forums and outreach meetings for local officials and other specifically impacted groups identified a wide array of priorities for IDOT to consider in developing this plan.

IDOT also conducts corridor-level planning and feasibility studies in those areas where state or local officials have identified a need for new or expanded state facilities. These studies are coordinated closely with local decision-makers to ensure that all relevant input is considered. Also, in rural and small urban areas adjacent to expanding urbanized areas, the IDOT promotes an interaction between those local officials and the adjacent Metropolitan Planning Organization (MPO). Rural local officials participate in the appropriate MPO committees or perform joint studies between the MPO and the rural local officials.

The 5-year Multi-year Highway Improvement Plan (MYP) is updated annually and includes all anticipated projects, constrained by available funds. Category priorities are set based on a continuous assessment of road and bridge conditions as well as traffic and accident data. Each district maintains a continuous and cooperative relationship with state and local elected officials within the district by holding regular meetings to exchange information about needed improvements on the state highway system. At these meetings, local input is sought for purposes of modifying proposed improvements, suggesting new ones, and conveying any local opposition to state proposals. As necessary, local agencies also coordinate with the district offices on projects that involve both state and local interests. In such cases, the project scope and state-local cost sharing activities are negotiated.

IDOT's 9 district offices develop, prioritize and submit candidate projects by program category, based on the needs of each district. Based on district submissions, the central IDOT office assembles the MYP and submits it to the Governor for approval. It then is submitted to the legislature for review and input. This step provides local officials another opportunity for input through their elected representatives.

All applications for transit funding—including those for rural and small urban areas—must go through a public hearing process that allows public and local official input. In

addition, all applications and grant contracts must be approved by the local governing board where the public transportation operator provides service. The rural transit assistance program provides planning, technical, and administrative assistance for rural and small urban public transportation providers to help them meet the needs of their users.

All municipalities, townships and counties develop their own local street and highway program to utilize the federal and state highway funds they receive. Often this program is supplemented with local funds. The local portion of the program is developed using locally determined needs and priorities. The federal- and state-funded portion is coordinated with IDOT to ensure that projects are eligible for the various funding sources, that applicable standards, policies and procedures are met, and that the work is coordinated with state projects.

The STIP is the final step in the surface transportation programming process. This process integrates state highways, local roads, and public transportation through a statewide public involvement process. The ongoing strategy for public involvement in the development of the STIP involves the following steps:

- A general invitation to participate is included in the introduction of the multi-year programs and in the Governor's press releases associated with these programs.
- A notification is mailed to contractors, local officials, and interested groups advising them about the opportunity to participate and review the public involvement procedures. Each group or individual is given an opportunity to submit comments to IDOT.
- IDOT sends a press release to the media statewide and places an advertisement in approximately 70 newspapers throughout the state. The ads notify the general public of the availability of the draft STIP for review and comment.
- IDOT maintains a telephone number for public inquiries into the program planning process. The public may also contact IDOT via e-mail.
- IDOT responds to telephone inquiries, letters and written comments using the Public Review and Comment form. A record of comments and responses is maintained by the Office of Public Affairs.
- In addition, IDOT responds to hundreds of letters and inquiries from the general public, legislators, congressmen and various groups annually regarding the status of projects and various transportation issues.

IDOT utilizes its Bureau of Local Roads and Streets in the Division of Highways to assist, guide, and coordinate local governmental agencies and local officials in accomplishing their transportation missions. The Bureau provides technical and administrative assistance for planning, financing, design, construction and maintenance of the local street system; integrates local agency programs into the state programming process; and serves as departmental liaison to the local agencies. IDOT also operates the

Illinois Technology Transfer Center, which provides training, technical assistance, and information services that address the needs of local agencies. Additionally federal and state planning funds have been made available to local agencies, on a case-by-case basis, to conduct transportation/traffic studies.

IDOT consults with local agencies in a variety of other ways. One key way is as an active participant in statewide conferences hosted by organizations representing local agencies, such as the Illinois Association of County Engineers, the Illinois Municipal League, the American Public Works Association, and the Township Officials of Illinois. In addition, IDOT's district offices host annual meetings with all local agencies in their area. In order to improve the coordination of all services, including public transportation in rural and small urban areas, IDOT also participates in committees and task forces established by the Illinois Department of Aging and the Illinois Department of Human Services.

Rural transportation is funded with federal, state, and local funds. Non-discretionary federal highway funds are divided among the state and local agencies by a formula negotiated between the IDOT and representatives of the local agencies (the Illinois Municipal League and the Illinois Association of County Engineers). Also, non-discretionary state highway funds are divided among the state and local agencies by a formula negotiated between the state and local agencies (including township officials) and codified by state statute. The formulas utilize criteria such as population and roadway miles. Each local agency develops its own program to utilize these funds.

The allocation of non-discretionary transit funds to the various rural and small urban transit providers is accomplished by an evaluation of population, regional distribution, ability to provide local resources, and age of rolling stock.

Illinois uses these practices:

- State Consultation Tours: IDOT district offices hold annual meetings with local agencies.
- State Hearings: A series of statewide public forums and outreach meetings for specific impacted groups were used to obtain input to the long-range plan. The STIP is made available for formal review and comment.
- Roles of MPO's Outside their Metropolitan Planning Boundaries: In rural and small urban areas adjacent to expanding urbanized areas, IDOT promotes interaction between those local officials and the adjacent MPO. These local officials participate in the appropriate MPO committees or perform joint studies between the MPO and the rural local officials.
- Allocation of Transportation Funds and Responsibilities: Some state and federal funds are allocated to localities by formula. Each local agency develops its own program to utilize these funds.

- Other Practices: IDOT's Bureau of Local Roads serves as liaison to local agencies; IDOT district offices carry on a continuous and open relationship with local officials. IDOT also operates the Illinois Technology Transfer Center and participates in conferences of organizations that represent local agencies. IDOT maintains a telephone number and e-mail address to allow public inquiries into the program planning process.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Illinois is the 23rd largest state in land area, 5th largest in population, and 11th most densely populated. However, approximately 26 percent of Illinois's population and jobs, and 94 percent of the land, is non-urban. About 73 percent of its roads are rural. Federally owned lands amount to 3 percent of the state's land area.

Illinois is a slowly growing state, as measured by population, with a moderately growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is fairly small (6 and 1 percent, respectively). Most jobs in Illinois's rural areas are in sectors also common in urban areas: construction, transportation and utilities (13 percent); manufacturing (20 percent); business and trade (26 percent); and services and government (34 percent).

Demographically, Illinois's non-urban population is predominately white (96 percent). Compared to the other states, the proportion of non-urban adults who did not graduate from high school is near the middle (23rd highest) and the proportion who did graduate from college is in the top quarter (10th highest). The 11 percent of Illinois's non-urban population who are poor is less than in most other states. About 42 percent of the state's non-urban population is in non-working age groups (27 percent 18 years or younger, and 15 percent 65 years or older).

Governmentally, Illinois is complex. The state has 102 counties, a less manageable number compared to many other states. Illinois also has 1,288 municipalities and 1,433 towns or townships for a total of 2,721 sub-county divisions. This is the highest number of sub-county governments of any state. Illinois does not have any federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 83 independent, special-purpose governments in Illinois that have transportation responsibilities. This number is higher than in many other states. These special types of local governments include 26 for highways, 31 for airports, 8 for water transport, and 18 for transit. Illinois also has FTA funding for 33 public transit providers serving rural areas and 61 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Illinois has 25 regional councils that cover approximately 75 percent of the state, and 9 MPOs. These regional units help to coordinate the other local governments.

Of Illinois's 136,402 miles of roads, approximately 13 percent are state-controlled, while less than 1 percent are federal. Of the total number of non-federal rural roads, 12 percent are state, 14 percent are county, 66 percent are township, and 8 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

Information received via e-mail, December 14, 2000, from Steve Brandau, County Engineer, Illinois Association of Country Engineers, Henry County.

1. I received Illinois report on the processes for consultation and cooperation with local official in non metropolitan areas. The report is a good and accurate summation of the processes used in Illinois. The local officials in the rural areas, outside of the MPO's, do not have much influence or discussion on the State transportation plan.

2. I believe that the process described is generally intended for the general public with local officials secondary.

3. IDOT listens to local officials, but the overall influence is questionable.

4. I believe that the process is formally documented.

Information received via e-mail, January 9, 2001, from Marianne Bailey, Executive Director, PRC-Paratransit Services, Inc.

Your narrative of the consultation process in the state of Illinois was well-written and complete. My only comment is that the process on paper seems very fluid. There really is no way to communicate the length of time involved in this painfully protracted process.

INDIANA

CONSULTATION PROCESS SUMMARY

The Indiana Department of Transportation (INDOT) conducts a consultation process with local officials in non-metropolitan areas through the primary methods of the annual state Program Development Process (PDP) and a state consultation tour process involving meetings at its 6 district offices. In addition INDOT has conducted other processes including statewide forums on statewide planning issues held periodically, a focus group on rural transportation issues, and a cooperative transportation planning program with selected, multi-county, regional planning commissions. The INDOT process prepares a 20- to 25-year Long-Range Transportation Plan, a multi-year (6- to 10-year) "production schedule" list of projects and a 3-year Indiana Statewide Transportation Improvement Program (INSTIP).

The annual state PDP is a series of cooperative program development activities including program review, a "call for new projects" and statewide program revisions resulting in the updated annual production schedule and INSTIP. In each of the 6 INDOT district offices an "early consultation meeting" is held for rural area local elected officials, local government agency representatives, special interest groups, and other key transportation stakeholders. Projects drawn from the INDOT Long-Range Transportation Plan provide input into the review of capacity expansion projects recommended for advancement into the production schedule. The INDOT districts coordinate the project identification process and submit a list of recommended projects to the INDOT Division of Program Development. A statewide priority analysis is conducted in conjunction with fiscal analysis resulting in a draft program then receiving executive level review and approval. The recommended program is then provided to the district with a request for comments. Based upon the recommended program and the review process, the draft production schedule and INSTIP are prepared.

Annually, each of INDOT's 6 districts conducts public meetings to discuss the planning, selection, and programming of current and future transportation projects. These meetings are not limited to highway projects, but include air, rail, enhancement, and transit. These meetings use an open-house format. A key part of the meetings is to present the draft INSTIP, which lists all federal-aid highway and transit projects. Participants can discuss projects in the INSTIP or local problems that still need to be addressed with new projects. At the meetings, INDOT makes copies of the draft INSTIP for each district available for review. Those not attending the meeting also can request copies.

In 1994 and 1998, Statewide Forums on transportation planning issues related to the development of the INDOT statewide long-range transportation plan were conducted in the state capital. These involved presentations by noted experts on emerging trends affecting the state's transportation system, followed by "break-out sessions" to

encourage participation by key stakeholders in the identification of future planning objectives and strategies. Also associated with the development of the statewide transportation plan, a rural transportation stakeholder focus group was conducted in 1998 to identify rural transportation planning issues.

INDOT initiated a trial planning program in the year 2000 for several regional planning commissions under the Rural and Small Metropolitan Transportation Pilot Program. Indiana contains several multi-county regional planning commissions. However, there is not complete statewide coverage of all rural areas. INDOT entered into contracts with 5 regional commissions, and 4 MPOs (that are also regional planning commissions with rural counties), to provide services related to transportation planning for rural areas. The transportation planning activities undertaken by the regional commissions are coordinated with INDOT central office and district activities to prevent duplication of efforts on state jurisdictional highways. The Rural and Small Metropolitan Transportation Pilot Program is to focus on local transportation needs and provide assistance to the development of projects on non-state jurisdictional highways maintained by local governments. The results of the trial program will be evaluated in 2001.

Funding for non-state jurisdictional highways in counties and cities is based on miles of roads. In special instances, tax districts are formed to get a particular project done. However, counties typically support their roads through general county funds. Approximately 25 percent of federal transportation funding goes to local governments, including MPOs. Local public agencies generally fund work on roads and bridges in one of 3 ways:

- Local project: Projects are initiated, designed and constructed with local funds.
- Federal funded local project: Projects on an approved federal-aid route are typically funded at 80 percent federal and 20 percent local. Local agencies can apply for the federal funding. Assistance is provided though the local assistance representatives in the INDOT district. Program administration is provided through the Local Transportation Section of the Division of Program Development.
- State project: Work is done by INDOT through its district offices on state, U.S., and interstate routes. The state selects and prioritizes these projects in a cooperative and consultative process outlined in the PDP.

Indiana uses these practices:

- State Consultation Tours: INDOT districts hold annual meetings to discuss draft INSTIP and obtain input on other projects needed.
- State Process to Compile Transportation Needs: INDOT conducts the annual state Program Development Process (PDP) to identify projects.

- State Hearings: Draft (district) INSTIP is made available for review and comment at annual district "open-house" meetings. Also statewide forums are held periodically to obtain input on statewide planning issues.
- Roles of RPOs: INDOT trial program—5 of the state's regional planning commissions have some of the responsibilities of RPOs under the pilot program.
- Allocation of Transportation Funds and Responsibilities: About 25 percent of federal funding goes to non-state jurisdictional highways maintained by local governments.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Indiana is the 13th smallest state in land area, 14th largest in population, and 16th most densely populated. However, approximately 53 percent of Indiana's population and jobs, and 96 percent of the land, is non-urban. About 85 percent of its roads are rural. Federally owned lands amount to only 2 percent of the state's land area.

Indiana is a slowly growing state, as measured by population, with a significantly growing rate of employment. The portion of the state's jobs that is in the uniquely rural agriculture and mining sectors is small (4 and less than 1 percent, respectively). Most jobs in Indiana's rural areas are in sectors also common in urban areas: construction, transportation and utilities (13 percent); manufacturing (29 percent); business and trade (24 percent); and services and government (30 percent).

Demographically, Indiana's non-urban population is predominately white (98 percent). Compared to the other states, the proportion of non-urban adults who did not graduate from high school is about in the middle, but the proportion who did graduate from college is the 14th lowest of all states. The 9 percent of Indiana's non-urban people who are poor is lower than in most other states. About 42 percent of the state's non-urban population is in non-working age groups (29 percent 18 years or younger, and 13 percent 65 years or older).

Governmentally, Indiana is complex. The state has 92 counties, a fairly large number compared to many other states. Indiana also has 569 municipalities and 1,008 towns or townships, for a total of 1,577 sub-county divisions. It has the 9th highest number of sub-county governments. However, Indiana does not have any federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 1 independent, special-purpose government in Indiana that has transportation (transit) responsibilities. This number is lower than in most other states. Indiana also has FTA funding for 19 public transit providers serving rural areas and 53 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Indiana has 11 regional councils that cover approximately 60 percent of the state, and 12 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of Indiana's 92,054 miles of roads, approximately 12 percent are state-controlled, while none are federal. Of the total miles of rural roads, 13 percent are state, 83 percent are county, none are township, and 4 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

See following.

INDIANA 15 REGIONAL PLANNING COMMISSION

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December 26, 2000

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Re: Review of Indiana Summary to FHWA of State Process for Consultation and Cooperation with Local Officials in Non-metropolitan Areas

Dear Marty:

Regarding views on the accuracy and completeness of the INDOT summary, I have the following comments: a) The updated Long-Range Transportation Plan has not been released yet in Indiana for public review and comment; b) The INSTIP district "open-house" meeting format is flexible, but therefore lacks a formal structure to present the opportunity to hear other questions and concerns and the INDOT responses, and it would seem that this flexible format would make accurate documentation of discussions and attendance at these meetings difficult; c) The INSTIP is broadly available and is forwarded to parties requesting copies as stated; d) Of the MPOs that applied for participation in the Rural and Small Metropolitan Transportation Pilot Program, only one of the four is in fact a multi-county regional planning commission, and one is a single-county council of governments; the other two are agencies or departments of city or county government; e) The Rural and Small Metropolitan Transportation Pilot Program was self-defined by the applicants with minimal administration of the program conducted by INDOT. Though the Indiana Association of Regional Councils twice requested an INDOT official to attend IARC meetings, which are held in Indianapolis, no staff were made available to discuss the program either time.

Regarding my understanding as to whether the process was designed specifically for local officials, to my knowledge notices are sent to all county and municipal governmental offices regarding the INSTIP "open-house" forums which are held through the day and into the evening hours to accommodate work hours of officials. As a side note: In years past, the Vincennes District of INDOT held county meetings in a presentation / question and comment format that was beneficial to local officials in that INDOT came to them. INDOT headquarters apparently did not count these meetings as a part of the formal INDOT meeting process, however. Therefore, due to the INDOT formal process, the extensive amount of time necessary to do county meetings, and diminishing attendance from local officials, the Vincennes District discontinued this county meeting process.

Regarding local officials' experiences and formal documentation, I have received comments from local officials that traveling to the district office for an "open-house" forum is not a beneficial use of their time other than to pick up documents. Others comment that they can select various INDOT officials with whom to discuss their projects or concerns in this kind of format. To a limited extent, INDOT recording their comments or acting on the requests at these meetings is questioned, and no formal documentation seems viable in this kind of format. I have received further comments from selected local officials in one county that INDOT frequently doesn't respond to written requests for repairs to the state highway infrastructure as it affects and relates to local, serious safety concerns. In other limited instances, INDOT headquarters officials did not respond to letters written by town officials and appointed boards regarding local highway concerns. In further instances, local officials are very pleased with the attention and response from INDOT officials to their local issues. It appears from these limited circumstances that individuals of INDOT's staff have varying degrees of responsiveness to local concerns and issues at both the district and headquarters levels.

Best regards,
INDIANA 15 REGIONAL PLANNING COMMISSION

Karen S. Dearlove

Karen S. Dearlove
Executive Director and
President of the Indiana Association of Regional Councils

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IOWA

CONSULTATION PROCESS SUMMARY

Iowa DOT, under the direction of the State Transportation Commission, conducts multi-modal transportation planning and programming. The process relies heavily on participation by Iowa's 8 MPOs and 18 non-urbanized area Regional Planning Affiliations (RPAs). In the planning and programming process, MPOs and RPAs use public participation processes designed by, and similar to those used by, the Iowa DOT in its transportation planning and development activities. MPOs and RPAs develop long-range plans and 3-year Transportation Improvement Programs (TIPs). Iowa DOT develops a 20-year long-range plan, a 5-year improvement program, and a 3-year STIP.

The RPAs were created in an effort to improve the process after passage of ISTEA. RPAs cover all rural areas of the state and have roles comparable to MPOs. Each RPA has a transportation policy committee comprised of local elected officials (representing the cities and counties in the region). Iowa DOT developed the transportation planning guidelines used by each RPA. The RPAs provide input to Iowa DOT's preparation of the long-range plan and the STIP. The RPAs have full discretion in setting project priorities and programming funds under their control for projects in their regions. Representatives of non-metropolitan areas included within a metropolitan planning area have voting representation on the MPO's policy and technical advisory committees.

The RPA transportation policy committees are responsible for, among other things, establishing policy and making decisions concerning the long-range plan and the TIP, and assuring public participation in the planning and programming process. Each RPA also has established a technical advisory committee consisting of city and county engineers, planners, public works directors, and sometimes transit managers. The technical advisory committees are responsible for providing direction to their staffs in preparing transportation planning work programs, long-range transportation plans, and TIPs, and making recommendations to their policy committees.

Iowa DOT contracted with Iowa State University's Department of Community and Regional Planning to assist the RPAs in developing their long-range transportation plans and TIPS. Iowa DOT also added more state transportation planner field positions to work with the local planners and elected officials. Ten transportation district planners are located throughout the state and serve the MPOs and RPAs. They serve as ex-officio members and participate in the RPAs' policy and technical advisory committee meetings. They also provide technical support and assist the RPAs in developing and updating their long-range plans and TIPs.

Iowa DOT developed a public participation process that outlines how the public could be involved in decision-making for state-sponsored projects. It is used in developing the statewide long-range plan, the STIP, and individual projects. During the development

of the long-range plan, Iowa DOT reached out to the public through surveys, several statewide video conference meetings, regional information meetings, and modal advisory committees. Local elected officials were co-hosts for the public information and discussion meetings, and they also assisted in hosting the video conference meetings, which had 19 interactive sites located throughout the state. In addition, individuals from rural areas serve on Iowa DOT's transportation modal advisory committees and on the State Plan Advisory Committee. The statewide long-range plan and STIP are also made available for formal public comment before being finalized.

The transportation planning that occurs in the 18 RPAs throughout Iowa includes modes in addition to highways. Each RPA does rural transit planning and includes transit projects in its TIP. Iowa DOT continually encourages the RPAs to include non-traditional interests in their transportation planning efforts, and has also worked with some RPAs in inter-modal facility planning. The RPA plan guidelines call for integrating existing local and state plans concerning land use, economic development, housing, tourism, multi-modal transportation and the environment. Each RPA has the flexibility to create a transportation plan and improvement program that meets the existing and future needs of its region.

Iowa has 1 native Indian settlement, known as the Mesquaki Indian Settlement, and its representatives are invited to meetings concerning planning issues, which either impact them or are of interest to them. There are limited federal lands in Iowa, so federal land management agencies are seldom involved in the state's transportation planning.

Transportation is funded in Iowa through federal, state, and local monies. The funds are used for planning (developing long-range transportation plans and transportation improvement programs), construction, maintenance, and operations. All of Iowa's MPOs and RPAs share STP funds, which are distributed on a per-capita basis. Significant amounts of federal dollars are directly targeted to the RPAs and MPOs; additionally, federal bridge funds go directly to cities and counties and do not go through the MPOs and RPAs.

Federal transit funds for planning, operations, and improvements are programmed through the RPAs and MPOs. Transit projects are submitted, evaluated, and prioritized by the transit agencies.

Iowa uses these practices:

- State Hearings: The long-range plan and STIP are made available for formal public comment before being finalized.
- State Processes for Interactive Exchanges With Local Elected Officials: Ten transportation district planners work closely with RPAs.
- Roles of RPOs: The RPAs serve in the capacity of RPOs for transportation planning.

- Allocation of Transportation Funds and Responsibilities: In addition to giving RPAs direct authority over some funds, counties and cities have direct authority over a portion of federal funds.
- State Policy-Making and Advisory Committees: State Transportation Commission, modal advisory committees, and the State Plan Advisory Committee.
- Other Practices: During development of the long-range plan Iowa DOT used surveys, video conferencing, and regional informational meetings.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Iowa is the 25th largest state in land area, 30th largest in population, and 33rd most densely populated. Approximately 67 percent of Iowa's population and jobs, and 99 percent of the land, is non-urban. About 91 percent of Iowa's roads are rural. Federally owned lands amount to just over 1 percent of the state's land area.

Iowa is a slowly growing state, as measured by population, with a moderately growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture sector is fairly large (11 percent) while the portion in the mining sector is small (less than 1 percent). Most jobs in Iowa's rural areas are in sectors also common in urban areas: construction, transportation and utilities (11 percent); manufacturing (18 percent); business and trade (26 percent); and services and government (33 percent).

Demographically, Iowa's non-urban population is predominately white (98 percent). Iowa has the 17th lowest proportion of non-urban adults who did not graduate from high school and the 16th lowest proportion who did graduate from college. The 11 percent of Iowa's non-urban population who are poor is lower than in many other states. About 45 percent of the state's non-urban population is in non-working age groups (28 percent 18 years or younger, and 17 percent 65 years or older).

Governmentally, Iowa has 99 counties, a fairly large number compared to many other states. The state also has 950 municipalities, but no towns or townships. It has the 15th highest number of sub-county governments. Iowa has 1 federally recognized Indian tribe.

In addition, the 1997 U.S. Census of Governments identified 13 independent, special-purpose governments in Iowa that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 14 for highways, 3 for airports, and 6 for transit. Iowa also has 35 public transit providers serving rural areas.[2]

[2] For 1999, the Community Transportation Association of America reported that 24 transit agencies in Iowa received federal aid through the Section 5311 rural public transit program and that 13 organizations in Iowa were funded through the Section 5310 program to provide specialized transit services to the elderly and disabled populations.

Iowa has 18 regional councils that cover approximately 85 percent of the state, and 8 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of Iowa's 112,586 miles of roads, approximately 9 percent are state-controlled, while less than 1 percent are federal. Of the total miles of non-federal rural roads, about 8 percent are state, 86 percent are county, none are township, and 6 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

See following.

I. C. E. A.

Iowa County Engineers Association

NATIONAL ASSOCIATION COUNTY ENGINEERS NACE

December 11, 2000

National Academy of Public Adm.
1120 G. Street, NW
Washington, DC 20005

TO WHOM IT MAY CONCERN:

I have reviewed the summary of Iowa's process for consultation and cooperation with local officials for TEA-21. I have found the report to be both accurate and complete as to how TEA-21 is handled in the State of Iowa. The process was designed to serve and assist both local officials and the general public. The public is offered the right to participate in the process which has met with varying success in the different regions. It is my understanding that the process has also been formally documented by the state.

Respectfully submitted,

Larry R. Mattusch

Larry R. Mattusch, P.E.
Iowa State Director, NACE

IARC

Iowa Association of Regional Councils

TO: BRUCE D. MCDOWELL; NAPA PROJECT MANAGER
FROM: David M. Horan; Executive Director; Northwest Iowa Planning and Development Commission (Contact number – 1.712.262.7225 Ext. 146)
DATE: January 10, 2001
RE: Iowa Section of the Summary of State Process for Consultation and Cooperation with Local Officials in Non-metropolitan Areas.

The Iowa Section of the Summary of State Process for Consultation and Cooperation with Local Officials in Non-metropolitan Areas, that was provided by the National Academy of Public Administration (NAPA) was submitted to the 16 Council of Governments (COGs) that make up the membership of IARC. In addition, these 16 COGS serve as Regional Planning Affiliations (RPAs). The 16 COGs were requested to review this summary and submit comments based upon the 4 review criteria developed by NAPA. Six of the COGs responded with information that will be used in this brief review.

Review:

The comments addressing the four review criteria developed by NAPA are as follows:

1. Accuracy and Completeness of Summary – The summary is fairly accurate, although there are some points that may want to be added or existing information expanded upon in the narrative. Examples identified are;

    a. The Iowa DOT was one of the first state DOTs that allocated funds to be programmed on a regional basis. This regional allocation makes for more detailed and focused local decision making and citizen participation in the process.
    b. In addition to the funds allocated, IDOT also provides planning funds, and advocates that these funds be matched with locally allocated STP funds, to the RPAs for the ISTEA and TEA-21 planning requirements. These funds make it possible to have staffing for the local committees and for the work involved in the development of the plan.
    c. One issue that has arisen in some areas of the state, is that the regional allocations have resulted in funds being sub-allocated to counties and small urban systems. This

makes for a more difficult time for cities under the 5,000-population threshold to tap into this funding source in these areas.

2. Is process designed for local officials versus general public – The planning process actually is designed to be a partnership between the local officials and the general public. Decision making is done by the Policy Councils, with the input of the Technical Committees, as outlined in the summary. However, this process is conducted in an open forum with all meetings being advertised in the respective regions. In addition, citizens are requested to have as much input as possible.

3. Experience of local officials participating in the process – The Technical Committees in each region are made up mainly of county and city engineers, city administrators and public work directors. Iowa has a long history of retention in these positions so that most of the people involved average over 20 plus years in experience of working with transportation projects. The Policy Councils are also made up of individuals that have a very high tenure rate as elected officials. In all, the local officials are very experienced and knowledgeable about transportation needs and issues in their given areas.

4. Both the Public Participation Process and Planning Process for all regions are formally documented in plans that were adopted in 1994 and which are constantly being updated. Right now, the RPAs are collaborating with IDOT to attempt to make more uniform the planning documents that are produced in each region, while maintaining the flexibility to address the uniqueness of the transportation system of each area. This effort is not being done as the result of any problems with past efforts, but instead, it is being done to attempt to strengthen even further an already strong statewide planning effort.

In conclusion, the process implemented by the Iowa Department of Transportation, and utilizing the existing COG structure in the state as the RPAs and MPOs, put Iowa at the forefront of the ISTEA and, now TEA – 21 planning process. Iowa was 1 of the first states to recognize the importance of local decision making and priority setting. This foresight will continue to place Iowa as a nationwide model for transportation planning.

KANSAS

CONSULTATION PROCESS SUMMARY

The Kansas Department of Transportation (KDOT) conducts multi-modal transportation planning, which produces a 20-year long-range plan. In addition to the federally required 3-year STIP, KDOT publishes a 5-year capital improvement program for scheduled improvements to the State Highway System. KDOT also works with local units of government to develop a 5-year improvement program for federal-aid projects. These documents are updated annually. In Kansas, rural public transportation is administered by 15 Coordinated Transit Districts (CTDs) that work directly with KDOT in planning.

Representatives from all jurisdictions and all modes of travel, including highway, air, rail, water and transit, are included in development of the long-range plan. In developing the long-range plan, KDOT conducted an extensive public outreach effort including surveys, public forums, and stakeholder meetings. Also, Major Investment Studies solicit input from advisory committees comprised of local officials and citizens' groups. Advanced Preliminary Engineering Studies, similar to Major Investment Studies, are used to identify key issues and concerns associated with anticipated future major improvements.

KDOT's public involvement efforts directly contribute to the State's processes for consultation and cooperation with local officials in non-metropolitan areas. KDOT adopted a Public Involvement Plan in 1997, and within the last 2 years Public Involvement staff has been hired for the headquarters and all 6 district KDOT offices. In the fall of 2000, KDOT will have in place a statewide customer service line, the KDOT Connection. The toll-free line will route the caller to the closest district office, allowing local KDOT employees to address the caller's local issues.

On a continuous basis, KDOT's Public Involvement Program seeks to accept and share input from the public on KDOT's programs, processes and projects. Local officials and the general public are encouraged to participate in any public involvement opportunity. This opportunity allows rural officials to provide ongoing input to KDOT regarding improvements to the State Highway System. The STIP is made available for public comment before being finalized. The rural areas within the planning boundary of an MPO have representation on all MPO committees and forums through both professionals and elected officials.

In addition to the formal public involvement program, KDOT offers numerous opportunities and makes many efforts to provide the public with "access to its processes." During the course of a year, the public makes thousands of contacts with KDOT employees at all levels, particularly at the Area Engineer and District Engineer levels. At headquarters in Topeka, the public's concerns are addressed daily in the form

of individual and group meetings with KDOT management, e-mail contacts, telephone calls and letters.

Several major public involvement efforts have been undertaken in previous years, including a very extensive public survey in 1997 and 1998. A second survey is currently underway to determine whether the public's attitudes have changed and to determine what kind of job the public believes the agency is doing. The results of the surveys will serve as input to the ongoing effort to update and/or change KDOT's priority formulas that are used to select highway and bridge construction projects. The survey results will also serve as important input for the Long-Range Transportation Plan update, which began, in late summer of 2000.

During 1998, a massive public involvement effort was conducted as part of the Governor's Transportation 2000 (T2000) initiative to "seek the input, advice, and dreams of Kansas citizens, communities, regions, and advocacy groups." Over 500 presentations were made to the T2000 Study Group by local officials, businesses, and private citizens concerning transportation needs, at 12 meetings, attended by more than 2,500 people, held around the state. Input from these meetings was instrumental in passage and design of the Comprehensive Transportation Program (CTP) passed by the Kansas Legislature in May 1999.

Portions of federal and state transportation funds are made available to cities and counties through programs that are to be used for road improvements under their jurisdiction. Funding for federal programs, specifically the Bridge and Surface Transportation Programs, is made available in support of projects that are programmed by cities, counties and MPOs in their own Transportation Improvement Programs. Local officials are responsible for determining priorities when submitting improvement projects for roads under their jurisdiction that use federal funds and are included in the STIP. Local officials also are encouraged to submit improvement projects annually in order to update these programs. The Bureau of Local Projects administers the portions of KDOT's local assistance program for sharing federal funds with cities and counties for street and road improvement projects. The local agency is responsible for developing the project plans and the Bureau assists with reviews, agreements, and programming of funds.

Counties, municipalities, and MPOs also apply to KDOT for project funding provided by the State Comprehensive Transportation Program. The projects are selected by well-documented, criteria-based processes. KDOT solicits project requests from local governments for City Connecting Link (CCL) geometric improvements, CCL surface preservation projects, safety projects, economic development projects, Intelligent Transportation Systems projects, and Corridor Management projects. KDOT also solicits project requests from local governments for funding from the federal Transportation Enhancements, Hazard Elimination, and Railroad/Highway Crossing programs. Projects for these programs are selected based on competitive analysis of the need for improvements using consistent and objective criteria.

Major projects on the State Highway System, specifically Substantial Maintenance and Major Modification program projects, are selected by the Pavement Management System and priority formulas, respectively. These are objective, data-driven systems that were developed at the direction of the Kansas Legislature. Over the years, literally thousands of meetings and/or presentations have been held with local governments, stakeholders, and citizens explaining these systems and processes and receiving input about them. Each system is constantly subject to minor alterations in response to changing needs, and on a less frequent basis, each is looked at for major updates as a result of changing technology, data availability, and public perceptions and desires.

In order for local agencies to have input and become knowledgeable of project program procedures, KDOT makes numerous presentations at local agency meetings and conferences throughout the year. Liaison committees with KDOT and local agency representatives discuss issues of concern. Seminars are held for programs that cover project development procedures.

Input from tribal officials is sought as part of the development of the long-range plan. Also, in 2000, KDOT began sending letters to all tribes with ties to the state, requesting comments from tribal officials on the design of federal-aid roadway improvement projects. Likewise, input from federal land management agencies is sought during the design process of roadway improvements on federal lands.

Kansas uses federal, state, and local funds to meet its transportation needs. State funding sources include motor fuel taxes, motor vehicle registration fees, state sales taxes, and other taxes, as well as bonding authority. State law provides that a portion, historically about 40 percent, of State motor fuel taxes be distributed directly to cities and counties. State law also provides for federal Rural Secondary funds (now part of STP) to be shared with counties in the same proportions as state motor fuel taxes. It is KDOT's long-standing policy that federal funds are sub-allocated to local units of government, allowing local governments to set priorities for those funds. Local agencies are also allowed, to the extent possible, to take advantage of flexible options in federal regulations. The CTDs that administer transit services receive federal, state and local funds to purchase equipment and operate services.

Kansas uses these practices:

- State Processes for Compiling Transportation Needs: Major projects on the Kansas State Highway System are selected by objective, data-driven systems that were developed at the direction of the Kansas Legislature. Each system is constantly subject to alteration.
- State Hearings: KDOT solicits input on the long-range plan at widely publicized meetings; the STIP is made available for formal public comment. KDOT conducts massive public involvement efforts for major projects, which involve complex

corridors, bridges, or interchanges. The Governor's Transportation 2000 initiative was a major statewide effort to collect information on statewide transportation needs.

- State Processes for Interactive Exchanges of Views with Local Officials: KDOT's Bureau of Local Projects has created the opportunity for interactive participation through the establishment of liaison committees with cities and counties. These committees provide direct input to KDOT for developing policies and procedures to administer Federal-aid programs for local units of government.
- Allocation of Transportation Funds and Responsibilities: Local governments set priorities for state and federal funds distributed to them.
- Other Practices: KDOT maintains an open door policy that allows local officials and the public to contact the agency about any requests or concerns. Staff in Local Projects attends and participates at annual and special local official meetings and conferences. Staff maintains daily contact with local officials to inform them of new policies and procedures and to address specific project-related questions. KDOT also uses correspondence, telephone calls and e-mail to obtain public input as well as public opinion surveys.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Kansas is the 13th largest state in land area, 32nd largest in population, and 11th least densely populated. Approximately 60 percent of Kansas's population and jobs, and 99 percent of the land, is non-urban. Approximately 92 percent of Kansas' roads are rural. Federally owned amount to less than 1 percent of the state's land area.

Kansas is a slowly growing state, as measured by population, with a moderately growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is moderate to small (9 and 1 percent, respectively). Most jobs in Kansas's rural areas are in sectors also common in urban areas: construction, transportation and utilities (13 percent); manufacturing (17 percent); business and trade (25 percent); and services and government (36 percent).

Demographically, Kansas's non-urban population is predominately white (94 percent). Compared to the other states, Kansas ranks relatively low (14thlowest) in the proportion of non-urban adults who did not graduate from high school, and in the middle in the proportion who did graduate from college. The 11 percent of Kansas's non-urban people who are poor is near the middle, compared to other states. About 44 percent of the state's non-urban population is in non-working age groups (29 percent 18 years or younger, and 15 percent 65 years or older).

Governmentally, Kansas is complex. The state has 105 counties, a fairly large number compared to many other states. The state also has 627 municipalities and 1,370 towns or townships for a total of 1,997 sub-county divisions. It has the 5th highest number of sub-county governments. Kansas also has 4 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 1 independent, special-purpose government in Kansas that has transportation (highway) responsibilities. This number is much lower than in most other states. Kansas also has FTA funding for 75 public transit providers serving rural areas and 30 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Kansas has 7 regional councils that cover approximately 50 percent of the state, and 5 MPOs. These regional units help to coordinate the other local governments.

Of Kansas's 133,825 miles of roads, approximately 8 percent are state-controlled, while none are federal. Of the total miles of rural roads, 8 percent are state, 82 percent are county or township, and 10 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

See following:

Kansas County Highway Association
President – Norman Bowers, P.E./L.S., Johnson County Engineer
1800 West 56 Highway, Olathe, KS 66061 □ 913-782-2640 □ FAX 782-6952

President Elect – Ronald Karn, Jefferson County Road Superintendent
P. O. Box 322, Oskaloosa, KS 66066 □785-863-2211 □ FAX 863-3026

Secretary-Treasurer – Ron Bonjour, P.E./L.S., Montgomery County Engineer
P.O. Box 663 Independence, KS 67301 □316-330-1170 □ FAX 330-1177

14 December 2000

National Academy of Public Administration
1120 G Street, NW Suite 850
Washington, D.C. 20005
Attn: Bruce D. McDowell

Subject: Review of Summary of State Process for
Consultation and Cooperation with Local Officals
in Non-metropolitan Areas

Gentlemen:

I have reviewed the Kansas Department of Transportation (KDOT) multi-modal transportation planning and find it accuracy and complete. I believe the process was designed specifically for local officials and not necessarily for the general public. Our contact with local officials has been very positive and always accommodating. The process is formally documented and provides more than adequate information. KDOT Local Projects has always worked hard to meet the needs of local officials regarding transportation issues. Future planning is well documented and includes a substantial amount of local input.

Thank you for the opportunity to comment on this issue.

Sincerely,

Jerry L. Fowler, P.E./R.L.S.
NACE Kansas State Director

KENTUCKY

CONSULTATION PROCESS SUMMARY

The Kentucky Transportation Cabinet (KYTC) oversees the statewide planning and programming process. KYTC prepares a 20-year long-range plan, a 6-year Cabinet's Short Term Highway Element of the long-range plan (Six Year Highway Plan) and the STIP. The consultation process covers planning for highways and transit, as well as for ferry, bicycle and pedestrian facilities. Beginning in 1995, Kentucky established a statewide planning process for non-metropolitan areas. This process focuses on 15 Area Development Districts (ADDs). The ADDs work under contract with KYTC and receive state funds to support transportation planning activities. No planning funds are given to city and county governments in non-metropolitan areas.

The ADD Transportation Committees include local and county officials, representatives of other interest groups, and private citizens. These ADD committees provide input and direction for all the regional planning activities relevant to the statewide transportation planning process, including the planning and selection of highway projects for inclusion in the long-range plan, 6-year plan, and STIP. ADD activities include the formulation of regional goals and objectives by regional transportation committees, development of regional concept plans, corridor needs studies, and assistance to the KYTC on intermediate planning studies/meetings and small urban studies. The ADDs' primary activity is participation in the identification, analysis, prioritization and ranking of unscheduled needs projects.

Local officials and private citizens are involved in the planning and selection of highway projects for inclusion in the plans and programs through identification and prioritization of unscheduled needs. During update of the plans and programs, an effort is made, through the ADDs, to identify these previously unscheduled needs. Newly identified needs are submitted to the ADD (or identified by the ADD). The ADD develops a description of the project, including purpose and need; the KYTC highway district reviews the project, providing information such as estimated cost. Once this information is available, the project is prioritized at 4 levels. First, the ADD solicits a local priority from either a local official or a local committee for each project in the area. The ADD committees then assign regional priorities and rank the top 10 projects in order of importance to the region. The KYTC highway district then assigns district priorities. Finally, the KYTC's Central Cabinet Office assigns statewide priorities. While local and regional priorities do not dictate final decisions in this process, all priorities are considered at the Cabinet level and local and regional priorities are a key factor in decisions. To keep the programs fiscally constrained, priorities are set at high, medium and low at each level, with approximately one-third of the total cost in each category. Once completed, the long-range plan is made available for a 60-day public review period and the STIP for a 45-day review period.

The ADD regional planning element of the statewide transportation process is primarily aimed at highway project development, although projects in other modes, such as air, bicycle and pedestrian, rail, and ITS projects, may be submitted through the transportation committees of the ADDs. The regional ADDs also coordinate with, and often are members of, various boards and committees within their region that address other modes of transportation. Additionally, other modal or inter-modal projects may be identified or suggested by the KYTC's Intermodal Advisory Panel (IAP), which is a panel—composed of industry representatives, local and regional government representatives, university staff members, and federal and state transportation officials—that provides a vision and recommendations for intermodal transportation in Kentucky. Some ADDs are represented on this panel.

The planning process also considers issues other than transportation. The long-range plan considers such things as environmental objectives, environmental justice concerns, and state economic goals. Specific highway corridors are selected and an attempt is made to balance service to areas showing current growth and those with little growth where economic development is needed. The consultative process involves federal land management agencies, as needed, on a project-by-project basis.

The consultative process also covers all public transportation planning, including public and specialized transportation services in rural areas. The governing bodies and authorizing boards of the transit/specialized systems are comprised of local officials and citizens. Letters of support from local officials are required with each public transit grant application. Public hearings are held for all capital purchases and service modifications. Area providers and interested parties are notified of coordination meetings held annually during the application process. All FTA-funded projects are included in the STIP. The Coordinated Human Service Transportation Delivery Program brings together 4 state Cabinets (Transportation, Health Services, Families and Children, and Workforce Development) to provide human service transportation delivery services in a coordinated manner.

The ADDs adjacent to MPO areas coordinate their efforts with those of the MPOs as part of their Annual Work Programs in the statewide transportation planning process. They attend MPO meetings, review MPO materials, consider MPO plans in identifying and prioritizing needs, and providing input into the MPO process as needed. Some ADDs function as MPOs. Some rural counties adjacent to some MPOs have become members of the MPO and have representation on its policy and technical advisory committees.

Transportation is funded with federal and state funds. No federal funds are allocated to the city and county governments in non-metropolitan areas for construction, operation, and maintenance activities. Two main implementation funds are available to the counties/cities for highway improvements. The County Road Aid Program distributes a 5-cent gas tax revenue to counties, based on a formula considering population, rural road miles, rural land area, and equal shares. The Rural and Municipal Aid Program

requires an annual contract on behalf of the county judge or executive, who distributes the funds at his or her discretion. The rural public transportation program is funded through federal capital and operation grants from the Federal Transit Administration (FTA); state funding is also provided.

Kentucky uses these practices:

- State Processes to Compile Transportation Needs: As part of plan and program updates, the state makes an effort, through ADDs, to identify previously unscheduled needs.
- State Hearings: The long-range plan and STIP are made available for formal review and comment before they are finalized.
- Roles of RPOs: ADDs carry out many of the planning functions of RPOs.
- Roles of MPOs Outside their Metropolitan Planning Boundaries: ADDs adjacent to MPO areas coordinate their efforts with those of the MPOs as part of their Annual Work Programs in the statewide transportation planning process.
- State Policy-Making and Advisory Boards: Intermodal Advisory Panel.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Kentucky is the 14th smallest state in land area, 24th largest in population, and 22nd most densely populated. However, approximately 65 percent of Kentucky's population and jobs, and 98 percent of the land, is non-urban. Approximately 91 percent of Kentucky's roads are rural. Federally owned lands are 4 percent of the state's land area.

Kentucky is a slowly growing state, as measured by population, with a moderately growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is fairly small (5 and 4 percent, respectively). Most jobs in Kentucky's rural areas are in sectors also common in urban areas: construction, transportation and utilities (14 percent); manufacturing (21 percent); business and trade (24 percent); and services and government (32 percent).

Demographically, Kentucky's non-urban population is predominately white (95 percent). The proportion of Kentucky's non-urban adult population who did not graduate from high school is the highest of all states and the proportion who did graduate from college is the third lowest. The 21 percent of Kentucky's non-urban population who are poor is higher than in almost all other states. About 41 percent of the state's non-urban population is in non-working age groups (28 percent 18 years or younger, and 12 percent 65 years or older).

Governmentally, Kentucky has 120 counties, a fairly large number compared to many other states. The state also has 431 municipalities, but no towns or townships. Kentucky

ranks near the middle in terms of the number of sub-county governments. Kentucky does not have any federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 6 independent, special-purpose governments in Kentucky that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 3 for highways and 3 for transit. Kentucky also has FTA funding for 21 public transit providers serving rural areas and 19 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Kentucky has 15 regional councils that cover the whole state, and 7 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of Kentucky's 73,033 miles of roads, approximately 38 percent are state-controlled, while less than 1 percent are federal. Of the total miles of non-federal rural roads, approximately 41 percent are state, 57 percent are county, none are township, and 3 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

No responses received.

LOUISIANA

CONSULTATION PROCESS SUMMARY

The Louisiana Department of Transportation and Development (LDOTD) conducts all transportation planning, and is overseen by a joint Senate/House Committee of the legislature, rather than by a transportation commission. It is divided into 9 districts. LDOTD develops a 25-year long-range plan, and an 8-year program of improvement, of which the first 3 years make up the Statewide Transportation Improvement Program (STIP). Louisiana has 8 MPOs. The state also has various regional planning commissions and economic development councils, but these have no formal role in transportation planning.

The LDOTD central office identifies top transportation needs by district and category, and distributes the lists to the districts. The district administrators, who work directly with local governments, have significant responsibility for identifying necessary transportation projects. The districts compile a preliminary ranking of needs and projects that are used by the legislature in holding public hearings in each district.

Public involvement in planning and programming for rural areas not within an MPO boundary is achieved in accordance with published public involvement procedures established for LDOTD. Annually, LDOTD must present to the legislature an up-to-date needs study, providing information on the requirements for bringing existing roadways into compliance with current standards. The legislature is responsible for holding public hearings to review priorities for the coming year. Annually, as part of the development of the long-range highway program, the legislature holds a public hearing in each of the 9 LDOTD districts. Most of the hearing participants are local elected officials. This forum may be broadened to include an LDOTD presentation on the status of the long-range plan and STIP and to obtain oral and written comments on the drafts of these documents.

LDOTD procedures require that both the long-range plan and the STIP be made available for formal review and comment. Notice is published in the official journal of each parish[3] and in the Advocate (Baton Rouge); at least 45 days are allowed. The STIP is submitted to the legislature by LDOTD for approval. Once published, notice is given on availability of information concerning the technical and policy decisions made to prioritize projects.

Annually, public bodies submit applications to the LDOTD for section 5311 funding for rural transit programs. The applicants for Section 5311 funding are responsible for coordinating with all local government bodies, transit operators, and any other interested group or organization. During the application process, and on a day-to-day basis,

[3] A parish in Louisiana is equivalent to a county in other states.

LDOTD consults with local elected officials regarding transportation needs. LDOTD periodically hires consultants to conduct a needs study to identify unmet needs throughout the state. Additionally, the Inter-Agency Transportation Coordination Committee (IATCC), chaired by the LDOTD Secretary, coordinates programmatic requirements and recommendations among 5 state agencies that provide funding for transportation. Two other statewide bodies provide input to the LDOTD planning process concerning local transit needs: (1) the Louisiana Public Transit Association (LPTA) Executive Board, which is comprised of representatives from urban, small urban, rural and specialized providers, and (2) the Rural Technical Assistance Program (RTAP) Advisory Committee, which is comprised of representatives from rural and specialized providers.

Transportation needs are met through federal, state and local funding. State funds include a gas tax that goes into a trust fund shared between LDOTD, the state patrol, and parishes. Parishes also may levy a special local option sales tax for transportation purposes. Rural regions receive most of their project funding through the overlay program, which allocates money to each district based on vehicle miles traveled. Transit programs are supported with federal and local funds, plus a small amount of state funds used to buy vehicles. LDOTD contracts only with local public bodies (rural parishes or municipalities), that in most cases contract with private nonprofit transit service providers.

Louisiana uses these practices:

- State Processes to Compile Transportation Needs: LDOTD must present the results of an annual needs assessment to the state legislature. Consultants periodically perform needs assessments to identify unmet transit needs.
- State Hearings: The state legislature holds hearings in each LDOTD district. The long-range plan and STIP are made available for formal review and comment.
- Allocation of Transportation Funds and Responsibilities: The overlay program.
- State Policy-Making and Advisory Boards: Planning for transit programs is guided by the Joint Transportation Committee of the Legislature; also the IATCC, LPTA, and RTAP.
- Other Practices: LDOTD's districts interact with local officials on a day-to-day basis.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Louisiana is the 32nd largest state in land area, 22nd largest in population, and 23rd most densely populated. However, approximately 51 percent of Louisiana's population and jobs, and 97 percent of the land, is non-urban. About 88 percent of Louisiana's roads are rural. Federally owned lands amount to less than 4 percent of the state's land area.

Louisiana is a slowly growing state, as measured by population, with a slowly growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is fairly small (4 percent in both cases). Most jobs in Louisiana's rural areas are in sectors also common in urban areas: construction, transportation and utilities (16 percent); manufacturing (15 percent); business and trade (25 percent); and services and government (35 percent).

Demographically, Louisiana's non-urban population is predominately white and African-American (72 and 26.3 percent, respectively). Louisiana ranks in the top quarter of states (11th highest) in terms of the proportion of the non-urban adult population who did not graduate from high school and in the bottom quarter (5th lowest) in terms of the proportion who did graduate from college. The 24 percent of Louisiana's non-urban people who are poor is the 2nd highest compared to all other states. About 43 percent of the state's non-urban population is in non-working age groups (32 percent 18 years or younger, and 11 percent 65 years or older).

Governmentally, Louisiana has 60 counties, a fairly manageable number compared to many other states. The state also has 302 municipalities, but no towns or townships. It ranks in the middle (22nd lowest) in terms of the number of sub-county governments. Louisiana has 4 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 16 independent, special-purpose governments in Louisiana that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 1 for highways, 14 for water transport, and 1 for transit. Louisiana also has FTA funding for 31 other public transit providers serving rural areas and 77 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Louisiana has 8 regional councils that cover approximately 100 percent of the state, and 8 MPOs. These regional units help to coordinate the other local governments.

Of Louisiana's 58,629 miles of roads, approximately 28 percent are state-controlled, while 1 percent are federal. Of the total miles of non-federal rural roads, 32 percent are state, 63 percent are county, none are township, and 5 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

Information received via e-mail, January 23, 2001, from Carol Cranshaw, Public Transportation Administrator, Louisiana Department of Transportation and Development, Baton Rouge, Louisiana.

Views on the accuracy and completeness of the summary.

In order to clarify processes, I would recommend the following: Page 1, Paragraph 1, "…The state also has various regional planning commissions…" Regional should be changed to (local) as the Regional Planning Commission does play an active, formal role in transportation planning in Orleans and surrounding parishes. The word "highway" should be added in several places: Page 1, Paragraph 2, "The LDOTD central office identifies top (highway) transportation needs by district…" "…have significant responsibility for identifying necessary (highway) transportation projects." Page 1, Paragraph 3, "…Annually, LDOTD must present to the legislature an up-to-date (highway) needs study,…"

Page 1, last paragraph, "Annually, public bodies submit applications to the LDOTD for Section 5311 funding for rural transit programs (Section 5310 funding for elderly and persons with disabilities program and Section 3037 funding for statewide Job Access/Reverse Commute programs). The applicants for Section 5311, (Section 5310 and Section 3037) funding are responsible for coordinating with…"

Page 2, last paragraph, last sentence"…{For the Section 5311 rural transit program,} LDOTD contracts primarily with local public bodies (rural parishes or municipalities),…"

2. Whether the process was designed specifically for local officials, as opposed to general public.

The process seems to have been originally designed for state and local officials; however, all agencies have a good, well-documented public participation process.

3. Views on experience of local officials participating in process.

MPO's are extremely well-versed in the process.

4. Understanding whether process is formally documented.

Process is formally documented.

MAINE

CONSULTATION PROCESS SUMMARY

Maine's Sensible Transportation Policy Act (STPA) sets the framework for the Maine Department of Transportation's (MDOT) planning and programming. The STPA resulted from a 1991 citizen initiated referendum that mandated public participation in transportation decisions and requires analysis of alternatives before major highway investments are made. In addition to developing and updating the multi-modal long-range transportation plan, MDOT also prepares a Six-Year Transportation Improvement Plan, a Biennial Transportation Improvement Program (BTIP), and the STIP. There are 4 MPOs in Maine. The balance of the state is divided into 7 regions, some of which include MPOs. Each region has a Regional Transportation Advisory Committee (RTAC). There are also regional planning commissions that may be involved in transportation planning, in some cases by helping RTACs meet staffing and planning needs. (MDOT has also been working to develop the Integrated Transportation Decision-making (ITD) process, intended to reduce redundancy, and to integrate the planning, public involvement, environmental assessment, and alternatives analysis requirements of various statutes and regulations.)

RTACs consist of citizen volunteers from across the spectrum of transportation interests. The interests represented include local governments, local planners, environmentalists, land use, business, alternative modes, and the general public. The Maine Commissioner of Transportation appoints RTAC members. About one-third of RTAC positions are reserved for people with local interests. Although local elected officials may serve on RTACs, members representing municipal interests are usually appointed, such as managers, planners, engineers, or public works superintendents. The primary function of the RTACs is to provide input and advice to the MDOT on transportation issues during the planning process. Regional planners within MDOT provide a link among municipalities, MPOs and RTACs.

Local elected officials may also participate in transportation planning through participation in the Maine Municipal Association. The Association is a league of cities and towns. It has a Legislative Policy Council that responds to state policy initiatives and a transportation subcommittee that meets to discuss proposed MDOT funding and program policy. The subcommittee's recommendations are submitted to the full Legislative Policy Council, which votes on an official position and presents the results to MDOT and the legislature.

Two statewide advisory committees (freight transportation and passenger transportation) were created to guide MDOT in terms of these special transportation needs. These committees are staffed by MDOT personnel. Information exchange between these 2 statewide committees and the 7 regional committees occurs via MDOT staff, newsletters, annual advisory committee meetings, and sometimes by virtue of dual membership (a

member of the freight transportation advisory committee also being a member of a RTAC).

In developing the long-range plan, MDOT works with the MPOs and RTACs to develop an inventory of existing transportation systems (highways, bridges, walkways, bicycle facilities, rail, transit, air ferries and ports). MDOT identifies the nature and extent of future needs. In conjunction with MPOs and RTACs, MDOT then develops a long-range plan that sets forth policies, goals and strategies. MDOT makes the draft plan available for public review at least 20 working days before public hearings at which comments and concerns about the plan are obtained. The plan is finalized after consideration of those comments and concerns.

As the first step in developing the 6-year plan, every municipality is asked to submit candidate transportation improvement projects, indicating the priority of each request and its consistency with their locally adopted comprehensive plans. Included in this solicitation are the Indian tribal officials and county commissioners for unorganized townships. RTACs establish regional priorities, based on municipalities' preferences as well as other factors, such as regional economic importance.

Statewide priorities are then established with the assistance and cooperation of the MPOs, regional planning commissions, regional highway corridor committees, and the 7 RTACs. In the scoring system MDOT uses to set priorities, the relative scores given to projects by RTACs count 30 percent; MDOT cost-effectiveness ratings count 60 percent; and statewide importance counts 10 percent. The MDOT, with the assistance of the RTACs, presents the plan at a series of public information meetings across the state to solicit public comment and input before it is finalized. The STIP is also made available to the public for review and comment prior to becoming final.

Transportation is funded with federal, state and local funds. Maine allocates project funds to the 7 regions based on their ratio of local deficiencies to statewide deficiencies, rather than on a per capita basis. Deficiencies are referred to as the "backlog;" a principal duty of the RTAC is to prioritize their region's backlog.

Maine uses these practices:

- State Process to Compile Transportation Needs: During the development of the Six-Year Plan and the STIP, MDOT solicits candidate transportation improvement projects and priorities from municipalities, Indian tribal officials, and county commissioners for unorganized townships.
- State Hearings: MDOT and the RTACs hold a series of public information meetings across the state to solicit public comment and input prior to finalizing the Six-Year Plan, and the STIP. The draft long-range plan and draft STIP are made available for formal review and comment.

- Role of RPOs: Maine has 7 RTACs which provide input and advice to the MDOT on transportation issues.
- State Policy-Making and Advisory Bodies: Freight and passenger statewide advisory committees.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Maine is the 12th smallest state in land area, 12th smallest in population, and 14th least densely populated. Approximately 80 percent of Maine's population and jobs, and 99 percent of the land is non-urban. About 91 percent of Maine's roads are rural. Federally owned lands amount to less than 2 percent of the state's land area.

Maine is a slowly growing state, as measured by population, with a moderately growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small (3 and less than 1 percent, respectively). Most jobs in Maine's rural areas are in sectors also common in urban areas: construction, transportation and utilities (14 percent); manufacturing (21 percent); business and trade (26 percent); and services and government (36 percent).

Demographically, Maine's non-urban population is predominately white (99 percent). The proportion of Maine's non-urban adult population who did not graduate from high school ranks in the bottom half (18th lowest) compared to other states, but the proportion who did graduate from college is also in the bottom half (20th lowest). The 10 percent of Maine's non-urban population who are poor is lower than in most other states. About 40 percent of the state's non-urban population is in non-working age groups (27 percent 18 years or younger, and 13 percent 65 years or older).

Governmentally, Maine has 16 counties, a fairly manageable number compared to many other states. The state also has 22 municipalities and 467 towns or townships, for a total of 489 sub-county divisions. It ranks in the middle (21st highest) in terms of the number of sub-county governments. Maine also has 5 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 6 independent, special-purpose governments in Maine that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 1 for airports, 3 for water transport, and 2 for transit. Maine also has FTA funding for 14 public transit providers serving rural areas and 10 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Maine has 9 regional councils that cover approximately 85 percent of the state, and 4 MPOs. These regional units help to coordinate the other local governments and play a direct role in rural transportation programs.

Of Maine's 22,481 miles of roads, approximately 38 percent are state-controlled, while less than 1 percent are federal. Of the total miles of non-federal rural roads, 38 percent are state, none are county, 59 percent are township, and 3 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

See following.

Mr. Matthew Chase, Deputy Executive Director
National Association of Development Organizations
400 North Capitol Street, NW - Suite 390
Washington, DC 20001

Dear Mr. Chase:

I am please to submit this letter responding to your request for review of State of Maine's rural transportation consultation process, as prepared by the National Academy of Public Administration for the U.S. Department of Transportation.

1) Views on the accuracy and completeness of the summary:
The summary of Maine's process for consultation and cooperation with local officials in non-metropolitan areas can be considered accurate with one exception. There is very little mention of the role planners at the regional level play in the Regional Transportation Advisory Committee (RTAC) process. It is my understanding that each regional planning commission in the state contracts with the Maine Department of Transportation to provide staff assistance to the RTAC in their respective region.

2) Understanding regarding whether the process was designed specifically for rural local officials, as opposed to the general public:
Maine's Sensible Transportation Policy Act (STPA) was a citizen-initiated referendum designed, in part, to increase general public participation in the transportation decision making process. Creation of the RTAC process has resulted in increased, direct participation by rural local officials as well as the general public which improves the overall effectiveness of transportation decisions in the state. The RTACs were designed to react to or advise MDOT policy in terms of transportation initiatives, including developing regional advisory reports for MDOT to consider in developing the a long-range statewide transportation plan.

3) Views on the experience of rural local officials participating in the process
This is a good process which directly involves a limited number of local officials for up to 2 3-year terms. Statewide, the RTAC process has created the opportunity for nearly 150 people to talk with MDOT on a monthly basis. While this process has greatly improved relations between local and MDOT officials, there is common agreement that more needs to be done to increase public participation in the RTAC process.

4) Understanding of whether the process is formally documented:
The RTAC process has been formally documented and is detailed in the MDOT's RTAC Handbook, which is distributed to RTAC members at the time of appointment to service.

Thank you for the opportunity to assist you with this effort.

Sincerely,

Joan A. Walton, *AICP*
Community and Regional Transportation Planner

MARYLAND

CONSULTATION PROCESS SUMMARY

The Maryland Department of Transportation's (MDOT's) planning and programming process is multi-modal. MDOT develops a 20-year long-range plan, a 6-year Comprehensive Transportation Program (CTP) and a 3-year STIP.

Maryland's Smart Growth Policy, defined by the Governor and the State Legislature, relates transportation, land use, and economic development. This policy influences all aspects of transportation planning by guiding development to existing and planned communities. MDOT's consultative process, therefore, goes beyond the development of transportation plans and programs. It includes ongoing coordination between MDOT, the local planning agencies, and elected officials for transit and highway planning, as well as development planning.

In areas where planning or projects may impact National Parks, the U.S. Park Service is included in the consultative process. Additionally, the Governor has established the Maryland Coordinating Committee for Human Service Transportation, responsible for providing coordination among the many social service agencies and public sector transit providers. The Committee is directed by MDOT, which is a member, along with the Departments of Human Resources and of Health and Mental Hygiene, among others.

Maryland has 23 counties that are grouped into 7 State Highway Administration (SHA) construction and maintenance districts. Each district is managed by a District Engineer who maintains close contact with local elected officials and county planning and public works staffs. Within the Districts, a Resident Maintenance Engineer is also assigned to each county to assist the county with all their transportation planning and programming issues. The State Highway Administration also compiles and maintains a 20-year list of highway needs in each county. This Highway Needs Inventory of projects is developed in consultation with local elected officials and is updated every 2 years. The MDOT's Office of Planning and Capital Programming, in cooperation with the State Highway Administration, the Mass Transit Administration, the Maryland Transportation Authority, the Maryland Aviation Administration, the Motor Vehicle Administration, and the Maryland Port Administration, provides multi-modal planning and coordination in both the metropolitan and rural areas of the state. Regional planners are assigned to these areas to provide technical assistance to local and county planning staffs.

Every year, MDOT works with local and state elected officials to identify priorities and projects to include in the draft CTP, which includes all the transportation projects proposed for all modes. Once the CTP is drafted, the Secretary of Transportation and MDOT's modal administrators conduct the Annual Consolidated Transportation Program Tour. They travel to all 23 counties in the state, plus Baltimore City, to present issues and proposals, and to solicit input on the draft from local officials, state

legislators, and citizens. MDOT strives to achieve local consensus on priorities for the primary system. State and local elected officials also are encouraged to reach consensus on local priorities for the secondary highway program and to document these priorities in a Secondary Program Priority Letter to the Department of Transportation Secretary. These priorities become candidates for funding and inclusion in the CTP. The final CTP is presented to the General Assembly for approval. Elected officials in the legislature work with local elected officials to represent their constituencies.

Rural officials are represented in the transportation planning process in a variety of other ways. Rural officials are members of management committees and participate in study teams for different types of planning studies, such as feasibility studies and highway access control studies. MDOT also provides technical assistance to county and local staffs on a regular basis. Also, county and local officials participate in focus group meetings held while developing the statewide plan. In the Washington D.C. Metropolitan Area, the rural counties adjacent to the MPO participate in MPO technical functions in a non-voting capacity.

Rural transportation is funded through the Consolidated Transportation Trust Fund, and all activities of the MDOT are supported by the Trust Fund. These activities include debt service, maintenance, operations, administration, and capital projects. All sources of funds (state, federal, local, corporate income taxes, operating revenues, and bond proceeds) are deposited in the Trust Fund, and disbursements for programs and projects are made from the Trust Fund. The allocation of funds to projects and programs is made in conjunction with state and local officials.

Certain Trust Fund revenues are shared with other state agencies and local governments, based on statutory requirements. For example, the funds in the Gasoline and Motor Vehicle Revenue Account are distributed 70 percent to MDOT and 30 percent to Baltimore City, the counties, and municipalities—based on motor vehicle registrations and road miles. MDOT, SHA, and related staff select recipients of competitive grants.

Maryland uses these practices:

- State Consultation Tours: The Annual Consolidated Transportation Program Tour.
- State Processes to Compile Transportation Needs: The State Highway Administration maintains a 20-year Highway Needs Inventory. A comprehensive Maryland Transit Plan has also been developed through a cooperative process that included officials from throughout the state, including rural areas.
- Allocation of Transportation Funds and Responsibilities: Certain Trust Fund revenues are directly shared with Baltimore City, the counties, and municipalities.
- Other Practices: SHA district engineers and planning staff and Mass Transit Administration planners maintain close contact with local elected officials and county planning and public works staffs. The most effective consultation practices tend to be the less formal, ongoing communications that take place on a frequent basis.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Maryland is the 9th smallest state in land area, 19th largest in population, and 5th most densely populated. However, approximately 26 percent of Maryland's population and jobs, and 85 percent of the land, is non-urban. About 70 percent of Maryland's roads are rural. Federally owned lands amount to 8 percent of the state's land area.

Maryland is a slowly growing state, as measured by population, with a slowly growing rate of employment. The portion of the state's jobs in the uniquely rural agriculture and mining sectors is small (4 and less than 1 percent, respectively). Most jobs in Maryland's rural areas are in sectors also common in urban areas: construction, transportation and utilities (18 percent); manufacturing (13 percent); business and trade (26 percent); and services and government (40 percent).

Demographically, Maryland's non-urban population is predominately white (87 percent) and African-American (11 percent). The proportion of Maryland's non-urban adult population who did not graduate from high school is in the middle compared to other states, and the proportion who did graduate from college is relatively high (7th highest). The 7 percent of Maryland's non-urban population who are poor is the 6th lowest compared to all other states. About 38 percent of the state's non-urban population is in non-working age groups (27 percent 18 years or younger, and 11 percent 65 years or older).

Governmentally, Maryland has 23 counties, a fairly manageable number compared to many other states. The state also has 156 municipalities, but no towns or townships. This is the 10th lowest number of sub-county governments among all states. Maryland does not have any federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 5 independent, special-purpose governments in Maryland that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments are all for highways. Maryland also has FTA funding for 22 public transit providers serving rural areas and at least 47 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Maryland has 6 regional councils that cover 100 percent of the state, and 5 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of Maryland's 29,172 miles of roads, approximately 19 percent are state-controlled, while less than 2 percent are federal. Of the total miles of non-federal rural roads, 22 percent are state, 73 percent are county, none are township, and 5 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

See following.

TRI-COUNTY COUNCIL for SOUTHERN MARYLAND
Working Together to Build
One of America's Great Communities
P.O. BOX 1634 CHARLOTTE HALL, MARYLAND 20622
(301) 884-2144
(301) 870-2520
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John C. Smith, Jr., Chairman
David M. Jenkins, Executive Director

MEMORANDUM

To: Bruce D. McDowell, NAPA Project Director

From: David M. Jenkins, AICP, Executive Director, Tri-County Council for Southern Maryland

Subject: Review of Summary – State Process for Consultation/Cooperation with Local Officials in Non-metropolitan areas

Date: December 18, 2000

The following comments are offered:

1. Page 1, Paragraph 2: "slow growing state", relative term, given Maryland's size. An additional 1.5 million are projected in the state, with a concurrent increase in vehicle miles of travel (VMT).

2. Page 1, Paragraph 2: "slow growing rate of employment", again a relative term. A Towson University report, dated December 7, 2000 indicates Maryland ranked 14th in the nation in employment growth from the 2nd quarter 1999 to the 2nd quarter 2000.

3. Transportation funding in Maryland is at a critical stage, given increased population, VMT and employment growth. A critical factor is Maryland funds two transit systems – Baltimore and Washington Metro systems. This is a tremendous burden for a small state. There is then a projected shortfall for highway construction in the metropolitan areas, with even less left over for needed rural area projects.

Thank you for the opportunity to comment.

MASSACHUSETTS

CONSULTATION PROCESS SUMMARY

The Massachusetts Executive Office of Transportation and Construction (EOTC) is responsible for coordinating the activities and programs of the state transportation agencies. The Massachusetts Highway Department (MHD) is responsible for construction, maintenance, and operation of state roads and bridges. MHD also serves as the principal source of transportation planning and is responsible for the preparation of comprehensive and coordinated transportation plans and programs. Both a long-range plan and a short-term STIP are prepared.

The state has 13 Regional Planning Agencies (RPAs) with responsibilities for area-wide planning, including transportation planning. Ten of these RPAs serve areas that have MPOs; these RPAs participate in transportation planning largely through the MPOs. The other 3 RPAs serve non-metropolitan areas and, by mutual agreement and in cooperation with the RTA and state transportation agencies, provide transportation planning services similar to MPOs.

All cities and towns are represented by one of the RPAs. Local elected officials, or their designees, from member communities serve on a commission that oversees the policies, programs, and operations of each RPA. RPA transportation programs are funded primarily by federal planning funds. Massachusetts also has 15 Regional Transit Authorities (RTAs). In general, RTAs are independent public authorities that contract with private providers for transit services. Local elected officials, or their designees, from each community in the RTA service area serve on a board that oversees the RTA's policies, programs, and operations.

RPAs and RTAs carry out their transportation responsibilities largely through membership in their respective MPOs. MPOs are charged with development of regional transportation plans and programs. MPOs are comprised of at least 4 agencies: EOTC, RPA, RTA and MHD. In addition to state and regional agency representatives, local elected officials are being added to the membership of some MPOs. RPAs use a variety of strategies to foster public participation in transportation planning and programming. Each RPA has a Technical Advisory Group whose members include local elected officials. Among other things, these Groups conduct regularly scheduled meetings open to the public and sponsor periodic presentations from MPO members or state transportation officials.

The state transportation agencies use the regional public participation process to provide information and solicit public involvement in development of state policies, plans and programs. State agencies also sometimes target specific constituencies and interest groups. Additionally, several specialized statewide transportation advisory committees

have been formed, including the Freight Advisory Council, the Massachusetts Bicycle Advisory Board, and the Commercial Vehicle Operations Steering Committee.

The state's long-range transportation plan, *Accessing the Future*, was developed in the mid-1990s. It is based on Regional Transportation Plans developed by RPAs in coordination with their MPO agencies and with public input. Plan development was overseen by an Executive Steering Committee comprised of representatives of federal, state, and local agencies and authorities with transportation interests. The state used the regional public participation process to obtain input and also released the draft plan for public review and comment.

The STIP is a 6-year document (only the first 3 years are constrained) that is updated annually. Typically, the STIP is a compilation of regional TIPS. TIPs are staged, 3-year programs of capital improvements and are updated annually. The state does not allow state and federal funds to be combined and does not allow state funds to be "programmed" in the TIP. But MPOs are given an estimate of state funding that could be expected and can use the estimate as a budgetary basis for a "regional priority list for non-federal aid" in the TIP. Non-metropolitan regions are treated in essentially the same manner as MPOs. They are given funding estimates, develop TIPs, Regional Transportation Plans, and Unified Planning Work Programs. The non-metropolitan RPAs also receive state and federal planning funds to carry out the same functions as MPOs. The only difference is that formal meetings are less frequent in non-metropolitan areas.

The RPAs coordinate the TIP development, which begins with public notification of the process and solicitation of proposed projects from communities and MPO agencies. Among other things, the development process must consider environmental policy, land use, and economic development issues. Projects are reviewed to assure conformity with the regional plan and the draft TIP is reviewed by EOTC for availability of funds. The draft is also approved by the regional Technical Advisory Committee, endorsed by MPO agencies, approved by the Governor, and reviewed by federal agencies. By definition, all regional TIPs are included without modification in the STIP.

Recently the 13 RPAs, along with EOTC and MHD, developed a Memorandum of Understanding (MOU) recognizing, among other things, the need to re-commit to "define and monitor a balanced Statewide Road and Bridge Program." The MOU commits MHD to making a minimum of $400 million available annually for the Statewide Road and Bridge Program, exclusive of the Central Artery/Tunnel Project. It also sets out some key steps in the programming process for roads and bridges with respect to federal funds, state funds, and communication among the key parties. Twelve of the state's 13 MPOs (RPAs) have endorsed the MOU, which FHWA has accepted, and the state has begun implementing its provisions.

MHD will work with RPAs and other MPO agencies to cooperatively develop an annual estimate of federal funds reasonably expected to be available to support the

Statewide Road and Bridge Program. MPOs will use this estimate to assemble Regional TIPS, which ultimately are included in the STIP.

MHD also will work with RPAs and other MPO agencies to cooperatively develop an annual estimate of state funds reasonably expected to be available to support the Program. MHD will present an estimate of funding needed, for example, for emergency work and regional mega-projects. Based on these estimates of funding and need, MHD will provide a statewide estimate of funding that will serve as a basis for developing regional priority lists. MHD and other MPO agencies will then cooperatively develop the regional lists of priority projects proposed for state funding. MHD will use the priority lists as a principal source of projects to be selected for implementation. The state will retain authority to make project selections and will continue to make every reasonable effort to maintain geographical balance while addressing the overall needs of the state.

When advancing projects that are not on regional priority lists and that affect the funding estimates, MHD will notify and confer with RPAs as soon as possible. MHD will also discuss planned and advertised projects at regular meetings with RPAs and in quarterly reports to the Massachusetts Association of Regional Planning Agencies. Additionally, a standing Task Force of MHD, the RPAs and other MPO members shall be established to foster an ongoing discussion of relevant issues.

The key source of federal funding is TEA-21. State funds are bond funds approved by the state legislature. Neither RPAs nor local governments have the authority to directly program funds on a TIP. All programming decisions are made by the MPO. MassHighway has a separate funding program called Chapter 90 that distributes $100 million in state funds annually to local governments for municipal transportation projects. These funds do not have to be programmed on the TIP.

Massachusetts uses these practices:

- State Hearings: The draft of *Accessing the Future* was made available for public review and comment.
- State Processes for Interactive Exchanges of Views with Local Officials: MHD will confer with RPAs when advancing projects not on regional priority lists; MHD will regularly discuss projects with the Massachusetts Association of Regional Planning Agencies; a task force with representation from MHD, RPAs and MPO members will conduct ongoing discussions; MPOs conduct regularly scheduled meetings open to the public and sponsor periodic presentations by MPO or state transportation officials.
- Roles of RPOs: RPAs, often in conjunction with MPOs, carry out the responsibilities of RPOs.
- Allocation of Transportation Funds and Responsibilities: Chapter 90 distributes funds to local municipalities.

- State Policy-Making and Advisory Bodies: Freight Advisory Council; Massachusetts Bicycle Advisory Board; Commercial Vehicle Operations Steering Committee.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Massachusetts is the 6th smallest state in land area, 13th largest in population, and 3rd most densely populated. However, approximately 18 percent of Massachusetts's population and jobs, and 63 percent of the land, is non-urban. About 42 percent of Massachusetts's roads are rural. Federally owned lands amount to 4 percent of the state's land area.

Massachusetts is a slowly growing state, as measured by population, with a significantly growing rate of employment. The portion of the state's jobs in the uniquely rural agriculture and mining sectors is small (2 and less than 1 percent, respectively). Most jobs in Massachusetts's rural areas are in sectors also common in urban areas: construction, transportation and utilities (14 percent); manufacturing (19 percent); business and trade (28 percent); and services and government (38 percent).

Demographically, Massachusetts's non-urban population is predominately white (96.9 percent). The proportion of Massachusetts's non-urban adult population who did not graduate from high school is among the lowest of all states (7th lowest), and the proportion that did graduate from college is the highest of all states. The 6 percent of Massachusetts's non-urban people who are poor is the 3rd lowest compared to other states. About 39 percent of the state's non-urban population is in non-working age groups (26 percent 18 years or younger, and 14 percent 65 years or older).

Governmentally, Massachusetts has 12 counties, a fairly manageable number compared to many other states. The state also has 44 municipalities and 307 towns or townships for a total of 351 sub-county divisions. It ranks in the middle in terms of the number of sub-county governments. Massachusetts does not have any federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 18 independent, special-purpose governments in Massachusetts that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 1 for highways and 17 for transit. Massachusetts also has FTA funding for 12 public transit providers serving rural areas and 25 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Massachusetts has 13 regional councils that cover approximately 100 percent of the state, and 10 MPOs. These regional units help to coordinate the other local governments and play a direct role in rural transportation programs.

Of Massachusetts's 34,323 miles of roads, approximately 10 percent are state-controlled, while less than 1 percent are federal. Of the total miles of non-federal rural roads, 10 percent are state, none are county, 86 percent are township, and 4 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

No responses received.

MICHIGAN

CONSULTATION PROCESS SUMMARY

The Michigan Department of Transportation (MDOT) oversees a transportation planning process that is conducted under a policy framework established by the State Transportation Commission. MDOT develops a 20-year State Long Range Plan (SLRP), a policy-oriented document that guides transportation investment decisions and improvement strategies for both the state and transportation providers. The state is also divided into 3 sub-state areas for which Sub-State Area Plans were developed, providing more detailed information on long-term regional needs and priorities. The SLRP and Sub-State Plans guide the development of the 5-year program and the 3-year STIP. The entire transportation planning process is conducted through a consultative process.

MDOT has 7 regions and has established Transportation Service Centers throughout the state. There are 14 RPOs, some coterminous with MPOs, which receive federal and state planning funds from MDOT. All 14 RPOs have a majority of local elected officials as delegates. Additionally, MDOT has established Rural Task Forces (RTFs). RTFs are administered by MDOT and have significant responsibilities for transportation programming in non-metropolitan areas.

To assist in developing the long-range plan, MDOT established a Customer and Provider Advisory Committee, representing varied groups that use transportation as well as organizations that provide transportation services. This committee leads the effort to consider statewide transportation issues and reach a consensus on a series of statewide transportation goals, objectives, and actions to help achieve those goals. During development of the SLRP, over 100 public meetings and technical briefings were held at various locations throughout the state. Through this consultative process, system-wide transportation improvements, including inter-modal connections, were identified and prioritized. Development of the 3 sub-state area plans included extensive public involvement and interaction with county road commissions, city and township governments, public transit operators, regional airports, rail freight operations, maritime operations, and non-motorized advocates.

Programming decisions for the 5-year program and the STIP involve local officials in a variety of ways. MDOT delegates decisions to the RTFs for federal projects on the locally owned rural federal-aid road system. Federal aid is distributed to rural task forces based on a set formula. Before the task forces' annual meetings, there must be public meetings to which all local officials are invited. MDOT makes decisions on other projects. To guide those selections, MDOT regions maintain contact with local governments. MDOT regional offices and TSCs interact with county road commissioners, city and township governments, and the public regarding transportation

programs, projects, and issues, including prioritization of projects for federal and trunkline projects. MDOT is also represented at local meetings, such as township, county, and city council meetings, to respond to local issues, funding issues, and needs for coordinating state and local projects. MDOT has hosted various Transportation Summits throughout the state to serve as educational forums for its external customers while building rapport with local elected officials and introducing MDOT's 5-year Program. Local elected officials, local road agencies, and community officials are among those participating in the Summits.

The consultative process also includes transit providers, rail and bus companies, and all other transportation interests. Regional planning agencies are directly involved in coordination of regional transit systems, and are represented on the committee responsible for update of the Michigan Aviation System Plan. Indian tribal officials are involved as participants in the rural task force process. If state projects serve or adjoin tribal land, tribal officials are consulted early in project development. Consultation is also conducted on BIA-funded projects. Likewise, if state projects serve or abut federal lands, federal land management agencies are consulted early in project development. Consultation also occurs on federal discretionary-funded projects. Rural officials from developing areas within MPO boundaries are represented and involved as members of the MPO Technical and Policy Committees. In planning regions that include urban areas, the MPO is often also the regional planning agency. Rural areas outside, but adjacent to, an MPO boundary are included in the non-metropolitan regional planning process.

The consultative process also includes land use and economic development issues. Local units of government control land use in Michigan. MDOT is regularly involved in local land use and economic development decisions. The SLRP includes goals for land use coordination and economic development.

MDOT consults with local officials in a variety of other ways throughout the year. The TSCs were created to ensure continuous and cooperative participation with the community in which they are located. They are strategically located to provide easy public access; there is at least 1 center within an hour's drive from every Michigan citizen. TSC staff attend and participate in local RTF meetings in order to be made aware of local priorities and issues as well as to share information concerning MDOT projects. The RTFs have encouraged local elected officials from different disciplines to work together to improve transportation for the region and state. Additionally, the 14 RPOs assist MDOT in providing an annual update of mailing lists of persons and organizations in the region who are interested or exert some influence on transportation issues for all modes. These mailing lists have provided valuable opportunities for local elected officials and the public to be involved in the transportation planning process.

During the selection and prioritization of federal-aid projects on the locally owned systems, transit representatives, along with staff from the regional planning agencies,

local elected officials, and the public, identify and provide input concerning transit needs funded by the Surface Transportation Program (STP) and the Michigan Economic Development Fund, Category D (TEDF-D) funds. MDOT's Bureau of Urban and Public Transportation, Passenger Division, has project managers assigned by county to coordinate and oversee the federal- and state-funded transit programs and projects. Several regional planning agencies receive FTA grants to assist in cross-county transit activities.

Rural transportation is funded from federal, state and local funds. MDOT receives federal funds and uses the funds for planning, engineering, and construction of federal-aid projects in rural areas, and also passes federal funds to transit agencies, regional planning agencies, private non-profit agencies, and state universities for planning, research, and direct provision of services. Counties and cities also receive and use federal funds for engineering (occasionally) and construction of roads and for transit services. MPOs receive federal funds for urban planning. State statute requires that federal aid be split 75 percent to the state and 25 percent to local units of government. State funds for transportation are distributed by formula to the state, counties, and cities for planning, engineering, construction, maintenance, and operations of road and transit systems. State-generated taxes for transportation are allocated by formula, with 39.1 percent to the state, 39.1 percent to the counties, and 21.8 percent to the cities.

Michigan uses these practices:

- State Hearings: During the development of the SLRP, several public meetings and technical briefing meetings were held at various locations throughout the state.
- State Processes for Interactive Exchanges of Views with Local Officials: MDOT has hosted various Transportation Summits throughout the state and participates in local meetings and RTFs.
- Roles of RPOs: The regional planning agencies and the RTFs are involved in transportation planning and programming.
- Roles of MPOs Outside their Metropolitan Planning Boundaries: In planning regions that include urban areas, the MPO may also be the regional planning agency. Rural areas outside, but adjacent to, a MPO boundary are included in the regional planning process.
- Allocation of Transportation Funds and Responsibilities: Federal aid is split 75 percent to the state and 25 percent to local units of government. State-generated taxes for transportation are allocated by formula between state, counties, and cities. RTFs make federal-aid project selections for locally owned systems.
- State Policy-Making and Advisory Bodies: The Customer and Provider Advisory Committee; State Transportation Commission.
- Other Practices: TSCs were created to allow on-going contact between MDOT and local governments. MDOT is also represented at local meetings, such as

townships, county, and city council meetings, to respond to local issues, funding issues, and needs for coordinating state and local projects.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Michigan is the 22nd largest state in land area, 8th largest in population, and 14th most densely populated. However, approximately 38 percent of Michigan's population and jobs, and 95 percent of the land, is non-urban. About 79 percent of its roads are rural. Federally owned lands amount to less than 13 percent of the state's land area.

Michigan is a slowly growing state, as measured by population, with the fastest growing rate of employment. The portion of the state's jobs in the uniquely rural agriculture and mining sectors is small (4 and less than 1 percent, respectively). Most jobs in Michigan's rural areas are in sectors also common in urban areas: construction, transportation and utilities (12 percent); manufacturing (26 percent); business and trade (26 percent); and services and government (33 percent).

Demographically, Michigan's non-urban population is predominately white (97 percent). The proportion of the non-urban adults who did not graduate from high school ranks near the middle, when compared with other states, as does the proportion who did graduate from college. The 11 percent of Michigan's non-urban people who are poor is lower than many other states. About 41 percent of the state's non-urban population is in non-working age groups (29 percent 18 years or younger, and 12 percent 65 years or older).

Governmentally, Michigan is complex. The state has 83 counties, a fairly large number compared to many other states. The state also has 534 municipalities and 1,242 towns or townships for a total of 1,776 sub-county divisions. This is the 7th highest number of sub-county governments of all the states. Michigan also has 11 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 40 independent, special-purpose governments in Michigan that have transportation responsibilities. This number is higher than in most other states. These special-purpose governments include 20 for airports, 2 for water transport, and 18 for transit. Michigan also has FTA funding for 59 public transit providers serving rural areas and 39 organizations providing specialized transit services to elderly and disabled populations in those same areas.

Michigan has 14 regional councils that cover approximately 100 percent of the state, and 12 MPOs. These regional units help to coordinate the other local governments and play a direct role in rural transportation programs.

Of Michigan's 117,520 miles of roads, approximately 8 percent are state-controlled, while none are federal. Of the total miles of rural roads, 9 percent are state, 87 percent are county, none are township, and 4 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

Information received via e-mail, December 11, 2000, from Jon Rice, Engineer-Manager, Kent County Road Commission, City Road Association of Michigan.

We have reviewed the process outlined and it is an embellished phrasing on the part of MDOT, but substantial accurate, ok to use.

MICHIGAN ASSOCIATION OF REGIONS

The Michigan Association of Regions (MAR), which represents the fourteen (14) regional councils in Michigan, has had a long standing and cooperative relationship with the Michigan Department of Transportation (MDOT). For over twenty (20) years, MDOT has provided state transportation planning funds to regional councils to assist the state in addressing federal transportation planning requirements, as well as to enable regional councils to provide local technical assistance to their respective communities. The relationship between MDOT and regional councils in Michigan has been a positive one.

In the preparation of the federally required State Long Range Plan (SLRP), the Michigan Department of Transportation primarily utilizes the Customer and Provider Advisory Committee for public input; this Committee represents varied groups who use transportation as well as organizations that provide transportation services. State wide transportation issues, goals and objectives developed through this process are submitted for public review and comment from local officials through MDOT Region Offices. The Michigan Department of Transportation's consultation and cooperation with local officials in non-metropolitan areas could be strengthened through linkages with local/regional transportation issues and needs. This linkage and vehicle for enhanced consultation can be provided by regional councils, which under state law are required to have a majority of local elected officials.

Programming decisions regarding the 5-year Plan and the STIP are delegated to Rural Task Forces. Local elected officials of general purpose local governments in non-metropolitan areas would like to have a more substantive role in the programming of federal transportation funds. Also, the process could be strengthened by undertaking some transportation planning, one that links major transportation investment decisions with economic development and land use. The Michigan Association of Regions has recommended to the MDOT that regional councils could provide this valuable service

The State of Michigan has a complex local governmental structure. In the area of transportation, it is the only state to have county road commissions. The local official consultation and cooperation process in Michigan is still evolving. The Michigan Association of Regions has initiated some dialogue with MDOT with regard to ways that regional councils could assist in enhancing and improving this consultation process.

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February 5, 2001

Bruce D. McDowell, NAPA Project Director
National Academy of Public Administration
1120 G Street, NW, Suite 850
Washington, D.C. 20005

Re: Review of Summary of State (Michigan) Process for Consultation and Cooperation with Local Officials in Non-Metropolitan Areas Regarding Transportation Plans

Dear Mr. McDowell:

This letter is in response to your request dated December 1, 2000 for comments on the Michigan "Summary" which is titled "Michigan – Processes for Consultation and Cooperation with Local Officials in Non-Metropolitan Areas." The information below is the response of the Michigan Chapter's Executive Committee.

1) Our views on the accuracy and completeness of the summary.
The summary certainly seems to be a recitation of all possible public notice and input efforts of the Michigan Department of Transportation (MDOT). The summary refers to the Rural Task Forces (RTFs). The RTF process is a viable method which local communities develop and submit to MDOT a priority list of local projects; these projects are then funded by an allocation of funds which is designated for the respective RTF. However, the RTF process is only for cities with a population of less than 5,000. Non-metropolitan cities with populations of more than 5,000 are invited to submit projects to MDOT on a state-wide competitive basis. The cities of more than 5,000 population work with the county road commission and the county mass transit agencies to develop a priority list which is submitted to MDOT. The local agencies are not involved in the project selection process after that submittal.

2) Our understanding regarding whether the process was designed especially for local officials, as opposed to the general public.
Other than the RTF process, the MDOT processes are designed for input from the general public and not for the individual local officials. Cities of more than 5,000 population in non-metropolitan areas do not have a prescribed forum for planning, consultation, and cooperation. See 1) above.

3) Our views on the experience of local officials participating in the process.
Local officials involved in the RTF process are pleased with the ability plan projects in their respective areas for an allocated sum of money. Local officials in non-metropolitan cities with populations of more than 5,000 feel frustrated and disenfranchised.

4) Our understanding of whether the process, as described, is formally documented.
The RTF process is well documented and supported. The process for planning transportation projects in non-metropolitan cities with populations of more than 5,000 does not seem to be documented.

Thank you for this opportunity to present our comments.

Robert Clegg

Robert Clegg, President
Michigan Chapter - APWA

MINNESOTA

CONSULTATION PROCESS SUMMARY

The Minnesota Department of Transportation (Mn/DOT) conducts transportation planning and programming largely through its district offices. MPOs and Regional Development Commissions (RDCs) play key roles in transportation planning. Additionally, ATPs are actively involved in programming. Mn/DOT prepares a 20-year long-range statewide plan, several shorter-term project study and project work plans, and the 3-year STIP. Though these documents have traditionally been limited to highway projects, Mn/DOT is working to make them multi-modal.

Mn/DOT's Strategic Plan and long-range Statewide Transportation Plan provide vision, direction, and policy for transportation investment. The 20-year plan is fiscally constrained. Mn/DOT districts prepare individual district plans that incorporate available regional and local plans. Regional plans are developed by the MPOs and RDCs, which include local elected officials and represent the respective constituencies within cities and counties. RDCs each receive $50,000 annually to conduct transportation planning activities. MPOs receive state funds to supplement their local match for federal planning funds.

In addition to working through the RDCs, consultations take place through associations, such as the County Engineers Association. Also, the districts may conduct public meetings, use newsletters, newspaper articles, informational mailings, and press releases to obtain public input. Focus groups and market surveys may also be used at the discretion of the districts. Typically, Mn/DOT also makes the draft plan available for a formal public comment period.

Mn/DOT districts are beginning to develop a detailed multi-modal transportation plan that links land use and economic development. Indian tribal government officials are included in planning and programming activities. Mn/DOT's Office of State Aid for Local Transportation works with federal land management agencies whose input is incorporated into the overall plan.

Mn/DOT conducted an Interregional Corridors Study to identify significant statewide corridors. Direction for the study was provided by Mn/DOT's Statewide/District Plan Steering Committee. The Technical Advisory Committee for this group included RDC and MPO representatives. Many public meetings were also held in preparation of this study.

Mn/DOT uses ATPs in developing the STIP. ATPs are sub-state, multi-county, geographically based partnerships composed of representative membership from cities, counties, RDCs, MPOs, and state agencies. Counties, cities, RDCs, and MPOs

appoint representatives, many of whom are elected officials, to sit on the ATPs. The ATP process was specifically developed to bring a broader cross section of public and private interests to transportation decision-making. The ATP process and membership continue to evolve. Other methods, in addition to obtaining input from ATPs concerning content of the STIP, are used to encourage public involvement, including newsletters, newspaper articles, mailings, and press releases. In addition, the draft STIP is made available for public comment annually.

Mn/DOT uses a mechanism entitled "Target Funding" to guide the programming process. ATPs are given estimates of the amount of federal highway and state highway funding they will receive. The ATPs integrate the project priorities submitted by each partner to be included in the STIP.

Transportation is funded from federal, state, and local sources. Over one-half of the highway funds and over one-third of transit funding is from federal sources. Additional county and municipal state aid is provided by Minnesota highway users tax distribution revenue.

Minnesota uses these practices:

- State Hearings: The plan and STIP are made available for formal comment; public meetings are held.
- State Processes for Interactive Exchanges of Views with Local Officials: Open houses.
- Roles of RPOs: RDCs and ATPs serve regional programming roles.
- Allocation of Transportation Funds and Responsibilities: Target funding used by the ATPs to develop Area Transportation Improvement Programs. Target funding is an estimate of federal funding distributed to each ATP by formula.
- State Policy-Making and Advisory Bodies: Statewide/District Plan Steering Committee.
- Other Practices: Newsletters, news articles, mailings, press releases, market surveys, work with associations, participation in local government association meetings, Mn/DOT website, toll-free telephone number, and focus groups.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Minnesota is the 12th largest state in land area, 20th largest in population, and 32nd most densely populated. Approximately 47 percent of Minnesota's population and jobs, and 98 percent of the land, is non-urban. About 90 percent of its roads are rural. Federally owned lands amount to 14 percent of the state's land area.

Minnesota is a slowly growing state, as measured by population, with a moderately growing rate of employment. The portion of the state's jobs in the uniquely rural

agriculture and mining sectors is medium to small (9 and less than 1 percent, respectively). Most jobs in Minnesota's rural areas are in sectors also common in urban areas: construction, transportation and utilities (12 percent); manufacturing (19 percent); business and trade (25 percent); and services and government (35 percent).

Demographically, Minnesota's non-urban population is predominately white (98 percent). Compared to the other states, the proportion of non-urban adults who did not graduate from high school ranks in the middle, and the proportion that did graduate from college ranks near the middle. The 11 percent of Minnesota's non-urban population who are poor is less than in most other states. About 45 percent of the state's non-urban population is in non-working age groups (30 percent 18 years or younger, and 15 percent 65 years or older).

Governmentally, Minnesota is complex. The state has 87 counties, a fairly large number compared to many other states. Minnesota also has 854 municipalities and 1,794 towns or townships for a total of 2,648 sub-county divisions. This is the 2nd highest number of sub-county governments of all states. Minnesota has only one federally recognized Indian tribe.

In addition, the 1997 U.S. Census of Governments identified 9 independent, special-purpose governments in Minnesota that have transportation responsibilities. This number is lower than in many other states. These special types of local governments include 5 for airports, and 4 for transit. Minnesota also has FTA funding for 52 public transit providers serving rural areas and 155 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Minnesota has 10 regional councils that cover approximately 70 percent of the state, and 4 MPOs. These regional units help to coordinate the other local governments and play a direct role in rural transportation programs.

Of Minnesota's 129,622 miles of roads, approximately 6 percent are state-controlled, while less than 1.5 percent are federal. Of the total miles of non-federal rural roads, 10 percent are state, 38 percent are county, 46 percent are township, and 6 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

Information received via e-mail, December 14, 2000, from Annette Bair, Physical Development Director, Southwest Regional Development Commission, Slayton, Minnesota.

RESPONSE TO MINNESOTA PROCESS FOR CONSULTATION AND COOPERATION WITH LOCAL OFFICIALS IN NON-METROPOLITAN AREAS:

1) The accuracy and completeness of the summary.

The document is an accurate description of the transportation planning process in Minnesota. Most of the planning is conducted within the Districts within budgetary and other constraints outlined by the MnDOT Central Office. MnDOT works with local units of government and the Regional Development Commissions throughout the process in varying degrees. The interaction between the DOT and the local units of government varies from District to District, as well as modal office to modal office and project to project.

The centerpiece of the Minnesota transportation planning process for distribution of federal surface transportation funds is the ATPs. The primary function of the ATPs is to annually allocate federal transportation money among the eligible categories – on and off system roads and bridges, enhancements, safety, and transit capital. The ATPs are formed at the State Aid District level and are comprised of elected officials, appointed local officials, and MN/DOT employees. For example, ATP 7 and 8 are comprised of:

ATP 7	ATP 8	
2	6	Representatives of RDC's (elected)
1		County Representative (elected)
2	3	County Representatives (non-elected county engineers)
1		City Representative (elected)
1	1	City Represented (non-elected city engineer)
2	1	Transit Representatives (non-elected transit system operators)
4	4	MN/DOT staff
		RDC staff persons serve as alternates to the elected RDC representative(s)

Each position on the ATP may have an alternate.

Of the ATP members, the following is the breakdown:

ATP 7	ATP 8	
4	4	are MN/DOT staff persons (all engineers)
4	6	are elected officials
5	5	are appointed officials (3 engineers, 2 transit operators)

It is ATP 7's policy to operate by consensus – no votes are taken, ATP 8 began with consensus but found that it was better to operate with votes.

The ATPs only officially act when the use of federal money is the issue. They have no jurisdiction over the spending of state funds or overall system planning. For input into these processes, the situation is not as clear. Over the course of planning process, there are some public meetings. These vary in format from open houses to more formal presentations and hearings. Usually these meetings are more informational than participatory. Similarly public presentations on specific projects, be it for a highway improvement projects or long range plans, are informational in nature.

2) Is the process designed specifically for local officials, as opposed to the general public?

The ATP process is designed to allow input from elected officials on the spending of federal dollars. MnDOT and elected officials (as well as appointed ones), sit at the same table and talk about transportation planning, funding and programming. This process is far better than the processes that occur in many other states. However, since MnDOT serves as ATP staff; the process is often driven by MnDOT. It is more a process of sharing information by MnDOT than a process of full participation and shared decision making. As the process matures and confidence in the process is built up, the ATP should be able to make more decisions.

The ATP serves more as a programming body than a planning body. For the most part, the planning is done by MnDOT, with limited public participation, while the ATP does programming. The process to develop an area Transportation Improvement Program differs in each ATP. ATP 7 targets dollars for the eligible categories and for state, county and city projects, and each of the groups submit a prioritized list of projects form MnDOT and is asked to program them into the appropriate funding cycle. ATP 8 ranks projects by using a technical and regional rating system, as well as special consideration to the programming of transit, enhancements, off system bridges, and safety projects because it is difficult to compare them to the roads and bridges.

3) The experience of the local officials in the process.

Local officials realize that there is a greater opportunity for input than exists in many other states. There is a real effort to involve them in the process. However, local elected officials have expressed an interest in improving the amount and quality of their participation in the process.

First, local officials have expressed a desire to have a greater number of elected officials appointed to the ATP (ATP 8 recently increased their elected officials from 3 to 6). Increasing the number of elected officials on the ATP provides a better feeling of ownership in ATP decisions. Secondly, elected officials have expressed a desire to be involved in the planning process before the programming stage at which the ATP becomes involved. In this manner they can help formulate the overall goals and priorities for transportation policy within the state.

4) Is the process formally documented?

The ATP process is fully documented. MN/DOT has provided the overall rules and the individual ATPs have drawn up their own operating procedures. Other than the ATPs, the planning processes call for public information, but the amount and type of participation is not formally documented. The ATP requires that all local projects come from a local planning process. However, the amount and type of public participation varies and is, for the most part undocumented. How much and the type of elected official (and public) input, varies from ATP to ATP, plan to plan and project to project.

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Information received via e-mail December 28, 2000, from Wes Judkins, Director of Planning Development and Finance, Region Nine Development Commission, Mankato, Minnesota.

RESPONSE TO MINNESOTA PROCESS FOR CONSULTATION AND COOPERATION WITH LOCAL OFFICIALS IN NON-METROPOLITAN AREAS:

1) The accuracy and completeness of the summary.

The document is an accurate description of the transportation planning process in Minnesota. Most of the planning is conducted within the Districts within the budgetary and other constraints given by the Central Office. MN/DOT does work with local units of government and the Regional Development Commissions throughout the process. The interaction between the DOT and the local units of government varies from project to project.

The centerpiece of the Minnesota transportation planning process is the ATPs. The primary function of the ATPs is to annually allocate federal transportation money among the 7 eligible categories–state road and bridge, county road and bridge, city road and bridge, off system bridges, enhancements, safety, and transit capital. The ATPs are formed at the District level and are comprised of elected officials, appointed local officials, and MN/DOT employees. For example, ATP 7 is comprised of:

2	Representatives of RDC's (currently elected although not necessarily so)
1	County Representative (elected)
2	County Representatives (non-elected county engineers)
1	City Representative (elected)
1	City Represented (non-elected city engineer)
2	Transit Representatives (non-elected transit system operators)
4	MN/DOT employees

RDC staff persons serve as alternates to the elected RDC representative

Each position on the ATP may have an alternate.
So of the 13 members of ATP 7:

4 are MN/DOT staff persons (all engineers)
4 are elected officials
5 are appointed officials (3 engineers, 2 transit operators)

It is ATP 7's policy to operate by consensus – no votes are taken.

The ATPs only officially act when the use of federal money is the issue. They have no jurisdiction over the spending of state funds or overall system planning. For input into these processes, the situation is not as clear. Over the course of planning process there are some public meetings. These vary in format from open houses to more formal presentations and hearings. Usually these meetings are more informational than participatory. Similarly public presentations on specific projects, be it for a highway improvement projects or long range plans, are informational in nature.

2) Is the process designed specifically for local officials, as opposed to the general public.

The ATP process is designed to allow input from elected officials on the spending of federal dollars. MN/DOT and elected officials (as well as appointed ones), sit at the same table and talk about transportation planning, funding and programming. Over the years MN/DOT and the local representatives have gained in understanding and trust. This process is far better than the processes that occur in many other states. However, since MN/DOT serves as ATP staff; the chair of the ATP is a MN/DOT staff person; and no votes are taken, the process is dominated by MN/DOT. It is more a process of sharing information by MN/DOT than a process of full participation and shared decision making. As the process matures and confidence in the process is built up, the ATP should be able to make more decisions.

The ATP serves more as a programming body than a planning body. For the most part, the planning is done by MN/DOT, with limited public participation, while programming is done by the ATP. The ATP receives a prioritized listed of state projects form MN/DOT and is asked to program them into the appropriate funding cycle.

3) The experience of the local officials in the process.

Local officials realize that there is a greater opportunity for input in Minnesota than exists in most other states. There is a real effort to involve them in the process and there is an increased sense of partnership. However, local elected officials have

expressed an interest in improving the amount and quality of their participation in the process.

First, local officials have expressed a desire to have a greater number of elected officials appointed to the ATP. Four elected officials is not enough to speak for 270,000 persons and the allocation of $25 -$27 million per year in federal highway money. Increasing the number of elected officials on the ATP would provide a better feeling of their ownership in ATP decisions.

Secondly, elected officials have expressed a desire to be involved in the planning process before the programming stage at which the ATP becomes involved. In this manner they can help formulate the overall goals and priorities for transportation policy within the state.

4) Is the process formally documented.

The ATP process is fully documented. MN/DOT has provided the overall rules and the individual ATPs have drawn up their own operating procedures. The ATPs do stick to their procedures. ATP members fully know what to expect as the process unfolds over the year.

The ATP requires that all local projects come from a local planning process. However, the amount and type of public participation varies and is, for the most part, undocumented.

Other than the ATPs, the planning processes call for public participation, but the amount and type of participation is not as formally documented. Mn/DOT and District plans call for public participation. This is usually obtained through hearings or open houses. However, the amount type, and timing of input from elected officials vary from District to District, plan to plan and project to project.

MISSISSIPPI

CONSULTATION PROCESS SUMMARY

The Mississippi Department of Transportation (MDOT) conducts transportation planning under the guidance of the Mississippi Transportation Commission. MDOT has 6 districts, each with a district engineer. There are also regional planning and development districts in the state which are involved in transportation planning, but have no official responsibilities in that area. Before TEA-21, public participation in transportation planning was achieved primarily by obtaining public comments on the STIP and public hearings on specific projects. Since passage of TEA-21, the state is developing new procedures, including steps to more directly involve local elected officials.

The STIP consists of a 3-year transportation construction program. It includes transportation-related projects that the MDOT, MPOs, cities, counties, Indian tribal government and federal agencies intend to contract for during the period. Among the groups given an opportunity to provide input to the project selection process are county and city governments and planning and development districts. County supervisors determine needs at the county level in cooperation with the Office of State Aid Road Construction. MDOT develops the STIP based on input from the district engineers.

The public involvement process works essentially the same for the long-range Statewide Transportation Plan and the STIP. Typically for the STIP, notice that it is being revised is given in every newspaper in the state. The notice provides information about the STIP, the 36 review locations, and how and when suggestions or other input should be submitted. MDOT also prepares a summary brochure summarizing the proposed program. A copy of this brochure is mailed to public officials of all counties and cities in the state. MDOT considers comments received as it prepares the draft STIP and then repeats the public comment process in essentially the same way. MDOT then develops the final STIP and submits it for approval by the Transportation Commission.

The process has been changed somewhat in response to TEA-21. During the update of the STIP this year, new techniques were employed in order to improve the public involvement effort. Articles were published in the magazines of both the Mississippi Municipal League and the Mississippi Association of Supervisors. The articles were a method of reminding both county and city officials of the purpose of the STIP and also that the update was being done this year. Additionally, mail-outs were done to both county and city officials asking for their comments and input into the update. The MDOT had meetings with the executive board of the state's planning and development districts. MDOT also had personnel attend and do presentations at the annual convention of the planning and development districts. The presentations provided information on the status of the STIP.

MDOT is also considering additional changes to improve the participation of not only the local governments, but also the public, in response to TEA-21. Some of the practices being considered include:

- Providing training to public officials concerning the transportation planning process and the importance of their involvement.
- Using the planning and development districts in the state as advisory committees to coordinate input into the transportation planning process from local officials.
- Holding local town meetings to explain the importance of the planning process and to obtain input in that process.
- Using web pages and e-mail to provide information and obtain comments.
- Utilizing public opinion surveys to obtain public input into the planning process.

State gas tax revenue is divided between the state and counties. The counties receive a portion of the gasoline tax based on population, road miles, and other factors. Federal aid is distributed to counties and must be matched at the local level. Two urban and 5 rural counties in gaming areas receive funds for infrastructure improvements annually from gambling revenue; MDOT also receives funds from this source.

Mississippi uses these practices:

- Public Meetings and Hearings: Opportunities for formal public input are provided for the long-range plan and STIP; meetings, as well as hearings, are held on specific projects.
- State Policy-Making and Advisory Bodies: Mississippi Transportation Commission.
- Other Practices: Articles are published in magazines of organizations representing local officials. MDOT involved the state's planning and development districts and sent mailing to local officials asking for comments. Public input in requested by means of the STIP update notices that are run in all state newspapers.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Mississippi is the 31st largest state in land area, 31st largest in population, and 31st most densely populated. Approximately 79 percent of Mississippi's population and jobs, and 99 percent of the land, is non-urban. About 92 percent of its roads are rural. Federally owned lands amount to 5 percent of the state's land area.

Mississippi is a slowly growing state, as measured by population, with a significantly growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small (4 and 1 percent, respectively). Most jobs in Mississippi's rural areas are in sectors also common in urban areas: construction, transportation and utilities (13 percent); manufacturing (26 percent); business and trade (23 percent); and services and government (32 percent).

Demographically, Mississippi's non-urban population is predominately white (63 percent) with a significant portion of African Americans (36 percent). Compared to other states, Mississippi has the 7th highest proportion of non-urban adults who did not graduate from high school and the 4th lowest proportion who did graduate from college. The 26 percent of Mississippi's non-urban people who are poor is higher than all other states. About 44 percent of the state's non-urban population is in non-working age groups (31 percent 18 years or younger, and 13 percent 65 years or older).

Governmentally, Mississippi has 82 counties, an average number compared to other states. The state also has 295 municipalities, but no towns or townships. This ranks it about in the middle (29th highest) in terms of the number of sub-county governments. Mississippi also has one federally recognized Indian tribe.

In addition, the 1997 U.S. Census of Governments identified 8 independent, special-purpose governments in Mississippi that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 5 for airports, 2 for water transport, and 1 for transit. Mississippi also has FTA funding for 16 public transit providers serving rural areas and 19 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Mississippi has 11 regional councils that cover approximately 100 percent of the state, and 3 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of Mississippi's 72,795 miles of roads, approximately 14 percent are state-controlled, while just over 1 percent are federal. Of the total miles of non-federal rural roads, 15 percent are state, 81 percent are county, 4 percent are township, and none are municipal and other.

VIEWS OF LOCAL OFFICIALS

See following.

MISSISSIPPI ASSOCIATION OF PLANNING AND DEVELOPMENT DISTRICTS
POST OFFICE BOX 4935 • JACKSON, MS 39296 • (601) 981-1511 • FAX (601) 981-1515

November 30, 2000

Mr. Bruce McDowell
National Academy of Public Administration
1120 G Street, N.W., Suite 850
Washington, D.C. 20005-3821

Dear Mr. McDowell:

It has come to my attention that you are seeking comments regarding the rural transportation consultation process within the State of Mississippi. The Mississippi Association of Planning and Development Districts has provided the State Department of Transportation (DOT) a formal proposal whereby we would assist them in assuring that the intent of the federal law is met.

The proposal which we submitted included three (3) different levels of aid and assistance that we could provide. The minimal level would be each of the ten Mississippi Planning and Development District hosting periodic meetings with local officials in order to inform them of policies, plans and programs within their respective areas. The most in-depth concept would be to establish a "Rural MPO" within each Planning and Development District which would develop actual regional plans, as well as prioritize spending. The mid tier represented a level of participation somewhere between the other two extremes. We feel that the DOT will include us in their participation process and it is only a matter of which alternative they will select for our involvement. We also feel that the current MPO process as mandated for urban areas is an excellent model which all similar domestic assistance programs should follow.

If you have any questions or need further information, please do not hesitate to contact me.

Sincerely,

F. Clarke Holmes
Secretary-Treasurer

MISSOURI

CONSULTATION PROCESS SUMMARY

The Missouri Department of Transportation (MoDOT) conducts transportation planning and programming throughout the state under the guidance of the Missouri Highways and Transportation Commission. Since the mid-1990s, MoDOT has contracted with the state's 19 RPOs to undertake formal transportation planning. The RPOs cover most of the state, including both metropolitan and non-metropolitan areas. MoDOT maintains almost all highways, including over 17,000 miles of rural minor collectors. MoDOT develops a 20-year long-range plan and a 5-year STIP.

MoDOT contracts with the RPOs to perform such transportation planning activities as needs identification and prioritization, public education and involvement, mapping, traffic counting, assistance in Enhancement Program applications, land use plan development, planning consultation, and professional development. Rural elected officials are members of the transportation advisory committees and boards of directors of their RPOs. The public transit and human service agencies also participate in the regional planning process through committee and board memberships. Areas that do not belong to an RPO do not receive information from a formal chain of communication.

The RPOs meet regularly with local governments to determine needs and prioritize projects. Each RPO determines the form these meetings will take. This information is forwarded to MoDOT district planners. Counties also submit their 5-year transportation plans to MoDOT. MoDOT updates the 5-year STIP annually, based upon county plans and RPO input. The STIP is then approved by the highway commission and becomes part of the long-range transportation plan. RPOs and local officials have more direct impact on the use of the regional funds allocated from the STP program.

The planning and programming process includes many transportation-related issues, such as economic development, welfare to work, safety, community, and the environment. Federal land management agencies do not have a formal role in the planning process, but MoDOT coordinates with them as appropriate.

Rural transportation is funded through federal, state, local, private, and corporate funds. MoDOT, counties, cities, townships, and transportation corporations receive funding for rural transportation and use the funds in supporting planning, construction, maintenance, and operations. Missouri uses the fuel tax revenue for highways; the transportation funds are allocated as follows: 15 percent to cities, 15 percent to counties, and 70 percent to the state. Counties can also receive County Aid Road and Truck Funds. Some STP funds are distributed to counties and cities with a population over 5,000 for local use.

Missouri uses these practices:

- Roles of RPOs: MoDOT contracts with RPOs for a variety of planning activities.
- Allocation of Transportation Funds and Responsibilities: A portion of funds is allocated to regions and local governments.
- State Policy-Making and Advisory Bodies: Missouri Highways and Transportation Commission.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Missouri is the 18th largest state in land area, 16th largest in population, and 27th most densely populated. Approximately 46 percent of Missouri's population and jobs, and 98 percent of the land, is non-urban. About 95 percent of Missouri's roads are rural. Federally owned lands amount to less than 5 percent of the state's land area.

Missouri is a slowly growing state, as measured by population, with a moderately growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is fairly small (7 and less than 1 percent, respectively). Most jobs in Missouri's rural areas are in sectors also common in urban areas: construction, transportation and utilities (15 percent); manufacturing (20 percent); business and trade (25 percent); and services and government (33 percent).

Demographically, Missouri's non-urban population is predominately white (96 percent). Compared to the other states, a relatively high proportion (13th highest) of non-urban adults in Missouri did not graduate from high school and a relatively low proportion (15th lowest) did graduate from college. The 15 percent of Missouri's non-urban population who are poor is higher compared to many other states. About 43 percent of the state's non-urban population is in non-working age groups (28 percent 18 years or younger, and 15 percent 65 years or older).

Governmentally, Missouri is complex. The state has 114 counties, a fairly large number compared to many other states. The state also has 944 municipalities and 324 towns or townships, for a total of 1,268 sub-county divisions. This is the 11th highest number of sub-county governments among the states. Missouri does not have any federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 312 independent, special-purpose governments in Missouri that have transportation responsibilities. This number is higher than in many other states. These special-purpose governments include 308 for highways, 2 for airports, 1 for water transport, and 1 for transit. Missouri also has FTA funding for 31 public transit providers serving rural areas and 169 organizations

that provide specialized transit services to elderly and disabled populations in those same areas.

Missouri has 19 regional councils that cover approximately 85 percent of the state, and 6 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of Missouri's 121,424 miles of roads, approximately 27 percent are state-controlled, while less than 1 percent are federal. Of the total miles of non-federal rural roads, 29 percent are state, 66 percent are county, none are township, and 5 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

No responses received.

MONTANA

CONSULTATION PROCESS SUMMARY

The Montana Department of Transportation (MDT) conducts planning and Secondary Highway Program development through its 5 districts, in consultation with local officials. The basic elements of the process for non-metropolitan areas have been in place in Montana statutes for over 30 years. Historically, resources were allocated by county. Recently this practice was changed to allocate funds to the district level to better accommodate larger projects. MDT has a staff that works with local governments to handle federal programs. The Montana Transportation Commission has 5 members—1 from each of the districts.

The long-range statewide transportation plan sets policy goals and direction. The consultation process for this plan involves local elected officials in many ways. The methods used include: targeted mailings of the plan (including local governments and tribal governments); open houses; stakeholder focus groups; meetings with tribal governments; use of an 800 number for comment and information; a newsletter (with a distribution to over 5,000 individuals); a telephone survey of state residents; and mail distribution of the draft and final plan for comment. In addition, on-going consultation efforts include: mail surveys of stakeholder groups; telephone surveys of residents; newsletter updates and the 800 number; a web site; annual meetings with elected officials and tribal governments; and continual meetings with representatives of local government associations.

In March 1999, a state law changed the funding distribution for Secondary Highways, allocating funds at the district instead of the county level. This change was supported by the Montana Association of Counties. A new project selection process, the secondary program planning process, was also developed between the counties and the state, and has been customized to meet the needs of the counties in each district. Among other things, under the agreed on process:

- Together, the counties within a district and the state determine the emphasis areas for each district. In prioritizing projects, each county in a district has 1 vote and the state has 2 votes.
- Proposed projects are ranked at the district level based on how each district has defined its goals.
- The district secondary highway priorities are then approved by the Transportation Commission and the U.S. DOT, and moved into the STIP.

In addition, as of January 1, 2001, the state will complete taking over maintenance responsibility from the counties on all paved Secondary Highways.

As with the long-range plan, there are many avenues for public involvement concerning the STIP, most of which can include local elected officials. Those include: regionalized press releases explaining STIP content and how to comment; an annual issue of the newsletter dedicated to the STIP; mailing of the draft and final plan to all who request it; posting of the STIP on MDT's web page; annual meetings with elected local officials, federal agencies and tribal governments; cyclical meetings around the state in small rural communities with the Transportation Commission and Montana Association of Counties. The state's 3 MPOs include representatives of rural developing areas within the MPO boundaries. County commissioners are members of the decision making body within the MPOs.

Additionally, under the state's new Performance Programming Process, anyone can propose projects for any part of the system. They are ranked based on the extent to which they contribute to statewide and district performance goals, and put into the STIP. The consultative process for the STIP is on-going, as described for the long-range plan.

Transit planning is coordinated with the Montana Department of Health and Human Services. MDT assists transit agencies in developing plans, including obtaining public comment and funding.

Rural transportation is funded by federal, local and state programs. A portion of STP funding is sub-allocated at the district level for Secondary Highway Improvements based 30 percent on land area, 35 percent on rural population, 30 percent on rural road mileage and 5 percent on bridge square footage. Federal funds are matched with state, not local, funds. Thirty-five percent of federal bridge funds are allocated to off-system bridges, which are under local control. This is the maximum allowable under federal law. All TEA-21 Transportation Enhancement funds are distributed on a per-capita basis to local and tribal governments that prioritize, select and develop projects. Also, a portion of STP funds is sub-allocated to Montana's non-MPO urban areas for improving the state's designated urban routes. Local elected officials prioritize use of these funds which are distributed on a per-capita basis. The Transportation Commission approves all locally proposed projects. State fuel taxes are returned directly to counties and municipalities based on a statutory allocation. Transit programs are supported by federal funds, including a portion of the STP program that is allocated for transit. Local governments can also implement various fund raising mechanisms for transportation purposes. After both ISTEA and TEA-21 were enacted, the Montana Transportation Commission increased the state's Secondary and Urban allocations proportionally to the state's overall funding increase.

The state's public surveys show that overall satisfaction with the transportation system has increased, and perceived system problems are decreasing.

Montana uses these practices:

- State Process to Compile Needs: Under the agreed on process, the counties within each district develop a list of prioritized Secondary Highway needs. Statewide needs are identified through management system input into the Performance Programming Process.
- State Processes for Interactive Exchanges of Views with Local Officials: MDT holds open houses and conducts many meetings and focus groups with stakeholders.
- Allocation of Transportation Funds and Responsibilities: STP funds are sub-allocated by state statutory formula to the counties within each district, and the small urban areas. State fuel taxes are also distributed to the local (county and city) governments based on formula, and the entire Transportation Enhancement set-aside is distributed to local and tribal governments. Within these programs, the local governments essentially have the authority to establish funding priorities.
- State Policy-Making and Advisory Bodies: State Transportation Commission.
- Other Practices: A variety of other methods are used, including an 800 number, a web site, newsletters, telephone and mail surveys of stakeholders and the general public.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Montana is the 4th largest state in land area, 7th smallest in population, and 3rd least densely populated. Approximately 75 percent of Montana's population and jobs, and just under 100 percent of the land, is non-urban. About 98 percent of Montana's roads are rural. Federally owned lands amount to 28 percent of the state's land area.

Montana is a slowly to moderately growing state, as measured by population, with a slowly growing rate of employment. The portion of the state's jobs in the uniquely rural agriculture sector is moderate (12 percent) and in the mining sector is small (2 percent). Most jobs in Montana's rural areas are in sectors also common in urban areas: construction, transportation and utilities (13 percent); business and trade (26 percent); and services and government (39 percent), although the manufacturing sector is smaller (8 percent).

Demographically, Montana's non-urban population is predominately white (92 percent) with a significant portion of Native Americans (7 percent). The proportion of non-urban adults who did not graduate from high school is in the bottom quarter (10th lowest), compared to the other states, and the proportion who did graduate from college is in the bottom half (19th lowest). The 16 percent of Montana's non-urban population who are poor is greater than in most other states. About 44 percent of the state's non-urban population is in non-working age groups (30 percent 18 years or younger, and 14 percent 65 years or older).

Governmentally, Montana has 56 counties, a fairly manageable number compared to many other states. The state also has 129 municipalities, but no towns or townships. This is the 9th lowest number of sub-county governments among the states. Montana also has 8 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 12 independent, special-purpose governments in Montana that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 8 for airports and 4 for transit. Montana also has FTA funding for 11 public transit providers serving rural areas and 65 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Montana has 3 MPOs.

Of Montana's 69,613 centerline miles of public roads, approximately 16 percent (10,807 miles) are state-controlled, while 20 percent are federal. Of the total miles of non-federal rural roads, 14 percent are state, 83 percent are county, none are township, and 3 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

Information received via Fax from Janis Winston, CTAA State Delegate, on January 4, 2001. The change was made in the document as requested.

The attached (*Process Summary and Information Context)* material meets with the approval of the Montana Department of Transportation. We made one small numerical update on "The Rural Context for Transportation Consultations" as indicated on page 1 of that document.

NEBRASKA

CONSULTATION PROCESS SUMMARY

The Nebraska Department of Roads (NDOR) conducts project planning through its 8 district offices. Although NDOR is a single-mode agency, the director of NDOR has taken the lead in forming a Transportation Council with an aim of coordinating all transportation planning in Nebraska.

With development of a Long-Range (20 year) Transportation Plan, NDOR expanded the state highway planning process to include other modes, such as transit and rail. Public participation workshops were held to obtain input. Federal, state, local, public and private agencies/organizations participated in generating a set of issues, goals and priorities for the policy plan, which will be updated as needed. Additionally, NDOR worked with many federal agencies, such as the BIA, the Army Corps of Engineers, the U.S. Park Service and the U.S. Fish and Wildlife Service, as well as tribal officials in developing this plan.

Since 1969, Nebraska law has required the state, each county, and each town to develop a 6-year transportation plan with the first year of projects identified. Those plans, which traditionally focus on highways, roads and streets—but have started to include other modes—make up a 1- and 5-year program. The plans are submitted to the State Board of Public Roads, Classification and Standards, for acceptance.

The NDOR, along with the Highway Commission, holds annual District Transportation Planning meetings in each of the 8 districts. Presented at these meetings are the Nebraska Highway Program, the STIP, and the Long-range Transportation Plan (along with other issues). These meetings are the principal forums in which local elected officials and others can comment on past, present and future NDOR activities, including providing input on projects they would like to see in future programs. County and city officials are among about 2,400 individuals invited to attend these meetings. Officials from rural areas, in developing areas of a MPO, are also represented on technical committees and/or executive boards of the MPOs.

The NDOR's Public Participation Process includes many other opportunities for the public, including local elected officials who choose to participate, to have input into planning. Several different kinds of meetings are held, in the capital city and in the areas directly affected by projects, to inform the public about the issues and impacts of projects as early in the life of the projects as possible. These include, for example, Board of Public Roads Classification and Standards hearings, Nebraska Railway Council meetings, and Public Information/Open House meetings. Additionally, NDOR staff attend meetings of the Nebraska Association of County Officials to provide information and answer questions.

Rural transportation is funded with federal, state and local funds. A portion of the State motor fuel tax is diverted directly to the city/county road fund for local roadwork. Under state law, after deductions for certain state funds, such as the recreation road fund and the state-aid bridge fund, 46 2/3 percent of the State Highway Trust Fund is directed to cities and counties (23 1/3 percent each). The remainder is directed to the NDOR Highway Cash Fund. Federal funding and state fuel tax revenues are allocated to local jurisdictions by similar formulas, based on road miles, population, agricultural activity and several other factors.

As part of NDOR's quality initiative, the University of Nebraska conducted a telephone survey of over 1,800 residents (equally divided among rural and urban). The results showed a high degree of satisfaction with Department performance. Additionally, NDOR conducted a survey of the state legislature to measure their perception of the Department's success in addressing the needs of their constituents. Personal interviews were held with 43 (88 percent) of the state senators in 1998. Among other findings, 98 percent of the legislators indicated the NDOR is responsive to constituent concerns or questions.

Nebraska uses these practices:

- State Processes to Compile Transportation Needs: The County/City 1- and 5-year plans provide additional input at the local level.
- State Hearings: The annual District Transportation Planning meetings to present the STIP and other plans serve this purpose.
- State Policy-Making and Advisory Bodies: Nebraska Highway Commission and the State Board of Public Roads, Classification and Standards.
- Other Practices: There are a variety of meetings that encourage and facilitate participation by elected officials and transportation customers; NDOR staff attends the meetings of the Nebraska Association of County Officials.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Nebraska is the 15th largest state in land area, 14th smallest in population, and 9th least densely populated. Approximately 60 percent of Nebraska's population and jobs, and just under 100 percent of the land, is non-urban. About 97 percent of its roads are rural. Federally owned lands amount to less than 1.5 percent of the state's land area.

Nebraska is a slowly growing state, as measured by population, with a declining rate of employment. The portion of the state's jobs in the uniquely rural agriculture sector is moderate and in the mining sector it is small (14 and less than 1 percent, respectively). Most jobs in Nebraska's rural areas are in sectors also common in urban areas:

construction, transportation and utilities (13 percent); manufacturing (13 percent); business and trade (27 percent); and services and government (33 percent).

Demographically, Nebraska's non-urban population is predominately white (98 percent). Compared to the other states, the proportion of Nebraska's non-urban adults who did not graduate from high school is relatively low (15th lowest) and the proportion that did graduate from college is about in the middle (22nd lowest). The 11 percent of Nebraska's non-urban population who are poor is somewhat less than many other states. About 46 percent of the state's non-urban population is in non-working age groups (29 percent 18 years or younger, and 16 percent 65 years or older).

Governmentally, Nebraska has 93 counties, a fairly large number compared to many other states. The state also has 535 municipalities and 455 towns or townships for a total of 990 sub-county divisions. This is the 14th highest number of sub-county governments among all states. Nebraska also has 6 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 74 independent, special-purpose governments in Nebraska that have transportation responsibilities. This number is higher than in most other states. These special-purpose governments include 13 for highways, 60 for airports, and 1 for transit. Nebraska also has FTA funding for 62 public transit providers serving rural areas and 25 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Nebraska has 6 regional councils that cover approximately 65 percent of the state, and 2 MPOs. These regional units help to coordinate the large number of other local governments.

Of Nebraska's 92,686 miles of roads, approximately 11 percent are state-controlled, while less than 1 percent are federal. Of the total miles of non-federal rural roads, 11 percent are state, 69 percent are county, 16 percent are township, and 4 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

Information received e-mail on December 19, 2000, from Louis C. Violi, Executive Director,Omaha-Council Bluffs Metropolitan Area Planning Agency (MAPA), Omaha, Nebraska.

The Omaha-Council Bluffs Metropolitan Area Planning Agency (MAPA) has reviewed the State Process for Consultation and Cooperation with local Officials in Non-Metropolitan Areas.

Nebraska

On page 1 in the last paragraph, we believe that you have included SIMPCO as one of the regional councils in your description but they should then be included in the MPOs so that there would be 3 MPOs.

Other than that comment, we agree with the document.

Nebraska Association of
County Engineers
County Highway Superintendents
County Surveyors

Bruce Filipi, President
Kent Anderson, Vice President
Toby Tyler, Secretary/ Treasurer

January 11, 2001

National Academy of Public Administration
Attn: Marty Ditmeyer
1120 G Street, NW, Suite 850
Washington DC 20005-3821

Marty Ditmeyer:

My name is Ronald G. Sklenar. I am the State Director to NACE for our Nebraska Association of County Highway Superintendents, Engineers and Surveyors. I am responding to the subject: Review Summary of State Process for Consultation and Cooperation with local officials in non-metropolitan areas.

Questions:

1. Your views on the accuracy and completeness of the Summary Nebraska report are very accurate and feel that the contents within the summary is complete.

2. Your understanding regarding whether the process was designed specifically for local officials, as opposed to the general public.

   I felt that Nebraska's report was designed for both local officials and the general public with NDOR's Public Participation process.

3. Your views on the experience of local officials participating in the process.

   NDOR's District Transportation Program meetings and Public Participation Process meetings have been very instrumental for local officials and or the general public to put forth their views or concerns in the rural transportation planning process.

4. Your understanding of whether the process, as it is described, is formally documented.

   Yes I feel Nebraska's process for consultation is formally documented.

Nebraska State NACE Director

Ronald G. Sklenar

NEVADA

CONSULTATION PROCESS SUMMARY

The Nevada Department of Transportation's (NDOT) consultation process covers all modes of transportation—highway, transit, air, rail, and alternative modes. Consultation with affected entities and property owners continues through the design and construction of needed projects. Under state law, NDOT must develop balanced transportation plans consistent with the social, economic, and environmental goals of the state.

Prior to drafting the Statewide Long Range Multimodal Transportation Plan, NDOT meets with local entities to discuss needs and issues. Rural officials are requested to identify local transportation needs and issues. The MPOs incorporate rural/developing areas in their technical advisory and citizens advisory committees. Rural entities are also represented on MPO boards of directors. NDOT maintains an open dialogue with local officials concerning local transportation needs, planning and implementing projects and programs, and resolving local transportation issues. NDOT also works with local entities to conduct local transportation studies which lead to locally adopted transportation plans for highway, transit and non-motorized modes.

The locally adopted plans are used as input to the Statewide Plan, the NDOT annual work program, and the STIP. NDOT considers these locally identified needs, along with those identified by NDOT staff, for inclusion in the draft annual work program and STIP. NDOT staff conduct a "county tour" to present to each county the local portion of the STIP to obtain local input and support. The annual work program is the first year of the 3-year STIP. The STIP is part of the 10-year short-term plan, which is part of the 20-year long-range plan.

Several statewide committees advise NDOT: The Statewide Transportation Technical Advisory Committee; the Statewide Aviation Advisory Committee; the Nevada Bicycle Advisory Board; and the Transit Advisory Committee. Local communities are represented on these committees. Indian tribal governments are represented by the Intertribal Council of Nevada on the Technical Advisory Committee and the Transit Advisory Committee. Individual tribes also participate in the "county tour" process. NDOT works with the State Lands Division and with public and private entities as economic issues arise, often on a project-by-project basis. Federal land management agencies are represented on MPO transportation advisory committees and on the Statewide Transportation Technical Advisory Committee. NDOT works with the Bureau of Land Management, the U.S Forest Service, the Bureau of Reclamation, the BIA, and the U.S. Park Service in providing for transportation needs in areas under their jurisdiction.

NDOT's Planning Process Public Participation Plan (dated August 1994) requires the Statewide Transportation Technical Advisory Committee to hold formal public hearings for the draft and final versions of the Statewide Long Range Multimodal Transportation Plan and the STIP. Public hearings consist of a series of public meetings conducted in each county. Notice of the meetings is published through libraries and in newspapers. Additionally, the plan requires that each incorporated city and Indian tribe as well as elected community officials within each county be notified and given an opportunity to participate. NDOT must prepare a written summary of the disposition of all significant comments.

Rural transportation is supported by federal, state, and local funds. State gas taxes and some property taxes are allotted to counties and other local entities by formula, based on population, lane miles, and other factors, for maintenance; other funds are administered by NDOT on a project-by-project basis. County motor fuel taxes include optional taxes imposed and administered by local transportation commissions. Public transit is funded with federal and state funds. Federal transit funds are distributed based on a set-aside and population; state funds are distributed based on road miles after the cities receive 20 percent.

Nevada uses these practices:

- State Consultation Tours: NDOT conducts the "county tour" to take the draft STIP to each county.
- State Processes to Compile Transportation Needs: Before the county tours, NDOT asks for input and does local transportation studies; local transportation plans are developed.
- State Policy-Making and Advisory Bodies: Several advisory committees exist, including the Statewide Transportation Technical Advisory Committee and the Transit Advisory Committee.
- State Hearings: Public meetings are held on the draft and final long-range plan and STIP.
- Other Practices: NDOT maintains an open dialogue with local governments.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Nevada is the 7th largest in the U.S. in land area, 16th smallest in population, and 8th least densely populated. Approximately 25 percent of Nevada's population and jobs, and just under 100 percent of the land, is non-urban. About 90 percent of Nevada's roads are rural. Federally owned lands amount to just under 83 percent of the state's land area.

Nevada is a rapidly growing state, as measured by population, with a slowly growing rate of employment. The portion of the state's jobs in the uniquely rural agriculture and mining sectors is small to moderate (4 and 9 percent, respectively). Most jobs in Nevada's rural areas are in sectors also common in urban areas: construction, transportation and utilities (16 percent); manufacturing (8 percent); business and trade (22 percent); and services and government (43 percent).

Demographically, Nevada's non-urban population is predominately white (91 percent). Compared to the other states, the proportion of Nevada's non-urban adult population who did not graduate from high school is in the bottom quarter (13th lowest) while the proportion who did graduate from college is in the top quarter (12th highest). The 9 percent of Nevada's non-urban population who are poor is 9th lowest compared to other states. About 39 percent of the state's non-urban population is in non-working age groups (28 percent 18 years or younger, and 11 percent 65 years or older).

Governmentally, Nevada has 16 counties, a fairly manageable number compared to many other states. The state also has 19 municipalities, but no towns or townships. This is the 2nd lowest number of sub-county governments among all states. However, Nevada also has 20 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 11 independent, special-purpose governments in Nevada that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 9 for highways, 1 for airports, and 1 for transit. Nevada also has FTA funding for 1 public transit provider serving rural areas and 49 that provide specialized transit services to elderly and disabled populations in those same areas.

Nevada has 2 regional councils that cover approximately 10 percent of the state, and 3 MPOs. These regional units help to coordinate the other local governments.

Of Nevada's 45,657 miles of roads, approximately 12 percent are state-controlled, while 30 percent are federal. Of the total miles of non-federal rural roads, 18 percent are state, 80 percent are county, less than 1 percent are township, and 2 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

Information received via e-mail, February 6, 2001, from Mary Lou Bentley, Executive Director, Western Nevada Development District, Carson, Nevada.

The Western Nevada Development District (WNDD) is a voluntary association of local governments in the counties of Carson City, Churchill, Douglas, Lyon, Mineral, Pershing, and Storey. Our 7-county region represents the third largest population

"center" in the state and the fastest-growing counties in Nevada – outside of Clark County (Las Vegas). Carson City, a consolidated city/county, has now reached a population of approximately 55,000. The balance of the WNDD region is comprised of near-urban and rural counties and only three (3) incorporated cities.

WNDD has reviewed the Nevada Department of Transportation's (NDOT) planning documents and processes – especially as they pertain to the economic and community development needs of our region.

NDOT reports that, "Under state law, NDOT must develop balanced transportation plans consistent with the social, economic and environmental goals of the state." We have concluded that the statement is accurate. NDOT, indeed, develops its transportation plans with state goals in mind. The process appears to be designed for state officials and state staff – with little, if any, involvement from local officials or the general public.

To quote a WNDD County commissioner,

> "…They meet with us once a year, (the 'County Tour', I believe). At this time, they tell us what they intend to do in the County for the next ten years. Then they ask us what projects we see as important. On the next visit, most of the projects we identified, with the exception of maintenance, are dropped off the list and the new ones we have asked for are not even acknowledged. Most of the time the people who make these visits are not the same from year to year and have no knowledge of our previous requests…"

NDOT meets with all rural Nevada counties only once each year, and incorporated cities are not contacted at all. Our membership has been frustrated by the current process. We are developing an alternative proposal that we believe will improve the consultation process between NDOT and our WNDD local officials.

We appreciate Congress including this study in TEA-21, and we appreciate the efforts of the Federal Highway Administration to insure the study is meaningful.

NEW HAMPSHIRE

CONSULTATION PROCESS SUMMARY

Regional planning commissions play an active role in rural and metropolitan transportation planning. Since 1985, rural regional planning commissions (RPCs), similar to MPOs, have been responsible for many aspects of planning, including providing public/local input. There are 9 RPCs in the state, 4 MPOs and 5 rural RPCs. Though not required by law, the New Hampshire Department of Transportation (NHDOT) provides funding to each rural RPC for planning (RPCs must provide a 10 percent match), and NHDOT has staff available to support and coordinate with RPCs on a variety of planning activities. NHDOT develops a 20-year long-range plan; the STIP is in the first 3-years of a 10-year program that is updated every 2 years.

The Long Range Statewide Transportation Plan (LRSTP) addresses transportation demand and usage for each mode of transportation. The LRSTP is developed cooperatively with the RPCs and MPOs. NHDOT, in cooperation with RPCs, holds public meetings to solicit input to a draft long-range plan. Once drafted, the NHDOT will notify the public of a 30-day comment period and also conduct another series of public meetings, again in cooperation with the RPCs and MPOs, to obtain comments. NHDOT then adopts the plan and forwards it to FHWA and FTA for acceptance. The plan is periodically updated.

Each RPC also develops 10-year recommendations for their regions, prioritizing all transportation improvement projects for 10 years. RPCs follow local procedures for public input during this process. NHDOT will use these recommendations in preparing the statewide 10-year program, although not all recommendations will necessarily be included. During the development process, the 10-year program continually goes through financial constraint analysis as well as assessments to assure it conforms to federal requirements. Local officials, and others, have the opportunity for input concerning the draft 10-year program at a series of statewide hearings held by the Governor's Advisory Commission on Inter-modal Transportation (GACIT). Finally, input can also be given at legislative hearings on the 10-year program before it is passed through the legislature. Once the 10-year program is enacted by the legislature, the 3-year STIP is submitted to RPCs and MPOs for review of changes made at the conclusion of the legislative process, and forwarded to FHWA and FTA.

The key method by which local elected officials participate in rural transportation planning is through development of the RPC transportation plan and project priorities. Involvement by local officials is voluntary; no law or regulation requires that they be members of the planning commissions. NHDOT also maintains an open door policy and encourages the public to contact state staff concerning transportation issues.

New Hampshire relies primarily on federal funding for rural transportation.

New Hampshire uses these practices:

- State Processes for Compiling Transportation Needs: The RPCs develop prioritized lists.
- State Hearings: The Governor's Advisory Commission holds 15 hearings around the state on the draft 10-year program. Local officials and citizens are welcome to attend. In addition, the legislature takes input.
- Roles of RPO's: The RPCs serve this function.
- State Policy-Making and Advisory Bodies: The Governor's Advisory Commission, Governor and legislature.
- Other Practices: NHDOT maintains an open door policy; the public, including local officials, may present information to the state legislature before plan is passed.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

New Hampshire is the 7th smallest state in land area, 10th smallest in population, and 20th most densely populated. However, approximately 70 percent of New Hampshire's population and jobs, and 97 percent of the land, is non-urban. About 90 percent of its roads are rural. Federally owned lands amount to 13 percent of the state's land area.

New Hampshire is a slowly growing state, as measured by population, with a significantly growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small (2 and less than 1 percent, respectively). Most jobs in New Hampshire's rural areas are in sectors also common in urban areas: construction, transportation and utilities (14 percent); manufacturing (22 percent); business and trade (28 percent); and services and government (35 percent).

Demographically, New Hampshire's non-urban population is predominately white (99 percent). Compared to the other states, the proportion of New Hampshire's non-urban adult population that did not graduate from high school is relatively low (5th lowest); the proportion who did graduate from college is 18th highest among the states. The 6 percent of New Hampshire's non-urban people who are poor is 4th lowest compared to the other states. About 39 percent of the state's non-urban population is in non-working age groups (27 percent 18 years or younger, and 11 percent 65 years or older).

Governmentally, New Hampshire has 10 counties, a fairly manageable number compared to many other states. The state also has 13 municipalities and 221 towns or townships, for a total of 234 sub-county divisions. This is the 16th lowest number of sub-county governments among the states. New Hampshire does not have any federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 8 independent, special-purpose governments in New Hampshire that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 6 for highways and 2 for transit. New Hampshire also has FTA funding for 7 public transit providers serving rural areas and 23 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

New Hampshire has 9 regional councils that cover approximately 100 percent of the state, and 4 MPOs. These regional units help to coordinate the other local governments and play a direct role in rural transportation programs.

Of New Hampshire's 14,913 miles of roads, approximately 27 percent are state-controlled, while less than 1 percent are federal. Of the total miles of non-federal rural roads, 30 percent are state, none are county, 54 percent are township, and 16 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

See following.

Allenstown ❖ Boscawen ❖ Bow ❖ Bradford ❖ Canterbury ❖ Chichester ❖ Concord ❖ Deering ❖ Dunbarton ❖

Central New Hampshire Regional Planning Commission
28 Commercial Street ❖ Concord, NH 03301
Telephone: (603) 226-6020 ❖ Fax: (603) 226-6023 ❖ www.cnhrpc.org

CNHRPC

❖ Epsom ❖ Henniker ❖ Hillsborough ❖ Hopkinton ❖ Loudon ❖ Pembroke ❖ Pittsfield ❖ Salisbury ❖ Sutton ❖ Warner ❖ Webster ❖

February 8, 2001

Mr. Bruce McDowell
NAPA Project Director
National Academy of Public Administration
1120 G Street, NW Suite 850
Washington, DC 20005

Subject: Review of Summary of State Process for Consultation and Cooperation with Local Officials in Non-Metropolitan Areas (New Hampshire)

Dear Mr. McDowell:

Thank you for the opportunity to comment on the summary of New Hampshire's state process for consultation and cooperation with local officials in non-metropolitan areas. I found the summary to be well representative of the rural transportation planning process in New Hampshire.

The process which has been designed in New Hampshire continues to strive to be as inclusive as possible. To this end, local officials as well as the general public have ample opportunity to become involved in the regional and statewide transportation planning process if they wish. I believe the process has been well received by local officials, and that the process is formally documented.

In addition, I have the following comments:

1. Under the Rural Context for Transportation Consultations, the State of New Hampshire is described as a slowly growing state. In fact, according to the recently released initial results of the 2000 U.S. Census, New Hampshire grew at a rate during the 1990s (11.4%) that was greater than each of the remaining New England states.

2. On page 2 of the Rural Context for Transportation Consultations, please refer to the RPCs as Regional Planning Commissions, not Councils.

3. In the last paragraph of the Rural Context for Transportation Consultations, use the term "town roads" instead of "township."

Please give me a call if you have any questions.

Sincerely,

Michael Tardiff
Executive Director

NEW JERSEY

CONSULTATION PROCESS SUMMARY

For the last several years, all of New Jersey's 21 counties have been included in 1 of 3 MPOs. County elected officials from all parts of the state, including rural areas, participate directly in transportation planning through participation in MPO boards and in various board committees which formulate board policy leading to specific actions. The development of each MPO's long-range plan and transportation improvement program is done in a collaborative process with the state highway and transit agencies.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

New Jersey is the 5th smallest largest state in land area, 9th largest in population, and the most densely populated. However, approximately 15 percent of New Jersey's population and jobs, and 65 percent of the land, is non-urban. About 38 percent of New Jersey's roads are rural. Federally owned lands amount to just over 13 percent of the state's land area.

New Jersey is a slowly growing state, as measured by population, with a slowly growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small (3 and less than 1 percent, respectively). Most jobs in New Jersey's rural areas are in sectors also common in urban areas: construction, transportation and utilities (16 percent); manufacturing (15 percent); business and trade (28 percent); and services and government (39 percent).

Demographically, New Jersey's non-urban population is predominately white (91 percent) with African Americans being the largest minority (6 percent). Compared to the other states, the proportion of New Jersey's non-urban adult population who did not graduate from high school is near the middle (19th lowest), but the proportion that did graduate from college is the second highest of all states. The 5 percent of New Jersey's non-urban people who are poor is 2nd lowest of all the other states. About 40 percent of the state's non-urban population is in non-working age groups (26 percent 18 years or younger, and 14 percent 65 years or older).

Governmentally, New Jersey is moderately complex. Although its 21 counties, is a fairly manageable number compared to many other states, New Jersey also has 324 municipalities and 243 towns or townships, for a total of 567 sub-county divisions. This is the 17th highest number of sub-county governments among the states. New Jersey does not have any federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 3 independent, special-purpose governments in New Jersey that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments are for highways. New Jersey also has FTA funding for 16 public transit providers serving rural areas and 136 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

New Jersey has 2 regional councils that cover approximately 50 percent of the state, and 3 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of New Jersey's 34,286 miles of roads, approximately 10 percent are state-controlled, while less than 1 percent are federal. Of the total miles of non-federal rural roads, 8 percent are state, 28 percent are county, 36 percent are township, and 28 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

No responses were received.

NEW MEXICO

CONSULTATION PROCESS SUMMARY

The New Mexico State Highway and Transportation Department (NMSHTD) develops both the Long Range Comprehensive Transportation Plan and the STIP. The New Mexico State Highway Commission oversees NMSHTD. In response to requests from public entities to participate in transportation planning, the state created RPOs, based on the MPO model. This was done several years prior to the 1991 enactment of ISTEA. RPOs solicit, evaluate, prioritize, and recommend projects; final project decisions are made by the Commission.

There are 7 RPOs, which are coterminous with COGs, and cover all non-metropolitan areas in the state. NMSHTD has contracted with 4 COGs and an association of 8 Pueblo Councils to administer their respective RPOs; the remaining 2 are staffed by NMSHTD. RPO members include local government agencies, primarily municipalities, counties and tribal governments; state agencies, including the State Land Office; federal land management agencies; and others. The RPO policy committee members are elected officials of the entities they represent. The NMSHTD Public Transportation Program Bureau uses the RPO process to coordinate rural public transit and human services transportation planning. Although the consultative process primarily addresses transportation issues, it includes project-related, non-transportation issues, such as land use, economic development, and tourism.

Rural elected officials and staff from developing portions of the MPO areas are involved in the planning process. In 1 case, the COG serves as both the MPO and RPO, with representatives of local governments, government agencies and Pueblo governments adjacent to or part of the urbanizing area included as members of the policy board. Two cities have established Extra-territorial Zoning Authorities (EZAs). MPO staffs make recommendations to the EZA on the impacts of planned and existing transportation infrastructure and programs.

The state has taken steps to increase involvement by tribal governments. As part of the Middle Rio Grande Major Transportation Study, the state sought input by all affected Pueblos. This sparked requests by other Pueblos to be involved in planning, leading to a statewide "Tribal Transportation Summit" in the fall of 1999. The goal was to focus on development of policies and processes that would lead to better working relations between tribes and the state, as well as methodologies to resolve basic programmatic transportation needs. As a result of the Summit, the department and the 23 tribes within the state signed a Memorandum of Agreement to establish "action groups" to further communication, cooperation and coordination. Additional parties to this agreement include the Governor, Attorney General, the BIA, FHWA and the U.S.

Department of Energy. An executive committee meets routinely and future summits and workshops are planned.

The long-range plan update involves local officials in several ways. For the 1999 update, the Citizen's Highway Advisory Taskforce, created in 1995, held 17 meetings around the state attended by more than 700 people, including local elected officials. NMSHTD also held informal meetings with trucking firms, transportation organizations, and economic development groups from the smaller communities to discuss transportation issues, from alternative transportation facilities to air service. Additionally NMSHTD conducted a telephone survey of a sample of residents, held 6 regional "Citizen Conferences," and solicited input from 400 members of special interest groups, local government officials, and other state and federal agencies who were requested to provide responses on various possible scenarios. Finally, copies of the draft long-range plan were provided to all 7 RPOs for review and comment. The 2003 update will include development of regional long-range plans by the 7 RPOs.

The STIP is revised annually. The 1st step is a series of RPO meetings held with all local, tribal, state and federal government entities, and other interested parties. Current program rules and transportation issues are discussed. Next, each RPO solicits project proposals, which are reviewed by the respective NMSHTD District Engineer before being formally submitted to the RPO. RPOs then prioritize projects for Regional Transportation Improvement Program Recommendations (RTIPRs). The STIP is developed by NMSHTD in coordination with each of the districts; the districts are not coterminous with RPOs. Therefore, the RPOs within each district meet to develop District RTIPRs. Public transportation projects also are reviewed and prioritized by RPOs. The NMSHTD then develops a draft STIP that is reviewed by RPOs and the districts. The STIP is then finalized and approved by the Highway Commission.

Rural transportation is supported by federal, state, and local funds. The State Road Funds and federal funds are generally used to improve and maintain the State Highway System. The Local Government Road Fund, comprised of dedicated tax revenues, provides support to counties, municipalities, school districts, and other entities for developing projects, and improving and maintaining local roads. This support is distributed to local entities by statutory formula. BIA and FHWA directly administer some rural transportation funds. Counties and municipalities receive dedicated revenues from the state legislature, some dedicated for roads and streets and some for general use.

New Mexico uses these practices:

- State Processes to Compile Transportation Needs: RPOs solicit project proposals and regional and district recommendations are developed.

- State Processes for Interactive Exchanges of Views with Local Officials: RPOs hold meetings early in the STIP process; various meetings are held in preparation of the long-range plan.
- Roles of RPOs: They cover the entire state not included in MPOs.
- State Policy-Making and Advisory Bodies: State Transportation Commission; Citizen's Highway Advisory Taskforce.
- Other Practices: State conducted telephone surveys, solicited responses to "scenarios," and circulated draft long-range plan for public comment.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

New Mexico is the 5th largest state in land area, 15th smallest in population, and 6th least densely populated. Approximately 60 percent of New Mexico's population and jobs, and 99 percent of the land, is non-urban. About 95 percent of its roads are rural. Federally owned lands amount to just over 34 percent of the state's land area.

New Mexico is a moderately growing state, as measured by population, with a slowly declining rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is fairly small (both 5 percent). Most jobs in New Mexico's rural areas are in sectors also common in urban areas: construction, transportation and utilities (15 percent); manufacturing (8 percent); business and trade (25 percent); and services and government (43 percent).

Demographically, New Mexico's non-urban population is predominately white (88 percent) and Native American (9 percent). The proportion of New Mexico's non-urban adult population who did not graduate from high school is relatively high (16th highest) and the proportion that did graduate from college is also relatively low (18th lowest). The 24 percent of New Mexico's non-urban population who are poor is 3rd highest of the states. About 44 percent of the state's non-urban population is in non-working age groups (34 percent 18 years or younger, and 11 percent 65 years or older).

Governmentally, New Mexico has 33 counties, a fairly manageable number compared to many other states. The state also has 102 municipalities, but no towns or townships. This is the 7th lowest number of sub-county governments among the states. New Mexico also has 23 federally recognized Indian tribes.

In addition, New Mexico is 1 of 6 states that do not have independent special-purpose districts with transportation responsibilities. However, New Mexico has FTA funding for 17 public transit providers serving rural areas and 53 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

New Mexico has 7 regional councils that cover approximately 100 percent of the state, and 4 MPOs. These regional units help to coordinate the other local governments and play a direct role in rural transportation programs.

Of New Mexico's 87,967 miles of roads, approximately 19 percent are state-controlled, while 7 percent are federal. Of the total miles of non-federal rural roads, 23 percent are state, 76 percent are county, none are township, and less than 1 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

See following.

South Central Regi[illegible]nning Organization

February 22, 2001

Elizabeth A. Bernal, Executive Director
Greg White, RPO Planner

Mr. Bruce McDowell
National Academy of Public Administration
1120 G Street, NW Suite 850
Washington, DC

Members

Alamo Navajo Chapter

City of Socorro

City of Truth or Consequences

City of Elephant Butte

County of Doña Ana

County of Sierra

County of Socorro

Village of Datch

Village of Magdalena

Village of Williamsburg

Officers:

Ralph Gooding - Chairman
Sierra County

Gilbert Bartlett - Vice Chairman
Village of Datch

RE: NMSHTD Transportation Consultation and Cooperation Policies

Dear Mr. McDowell:

I have just received your request for a response to the summary of New Mexico State Highway and Transportation Department's (NMSHTD) process for consultation and cooperation with local officials in non-metropolitan areas. My comments are organized to respond in sequence to each paragraph in the NMSHTD's summary.

No comment on the first paragraph.

The last two sentences of the second paragraph overstate the current situation.

A. The Department's use of the word "coordination" implies that some level of dialog exists between regions during preparatory stages of the RTIPR process: no such dialog exists. Because no dialog exists, neighboring RPOs may have projects that could be linked, but they aren't, and the State's review process is thereby flawed.

B. The consultative process provides for a justification of projects that includes non-transportation issues, but the State has not created a standard for content in the RTIPR process.

No comment on the third paragraph.

No comment on the fourth paragraph.

The RPOs that are not run by the State received copies of the "long range plan" to "review and comment" on in October or November of 2000. The "plan" is a very general statement of need, rather than a solid planning tool. The State anticipates that the 2003

Continued

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update will include development of regional long-range plans by the seven RPOs, but the State has not developed a consistent format for the RPOs to follow, and it has not established modeling standards for any surveys or other statistically based elements that should be included in or developed to support those plans. A consistently and strongly held view among the Planner's working in RPOs is that the State must adopt standard formats for the elements that RPOs will be expected to contribute to the long-range plan.

Despite the facts that RPOs represent the populations of more incorporated municipalities and a larger area than the State's MPO's do, RPO's do not have equal standing with MPOs. Where MPOs may directly place projects into the STIP, RPOs may only recommend projects for inclusion in the STIP, and the projects recommended by RPOs are subject to being blocked from placement on the STIP by the State at several points of the submittal process. The inequity is obvious to the elected officials who sit on RPO Policy Committees: participation by local governments suffers as a result of this policy.

No comment on the seventh paragraph.

On a related issue, relationships between RPOs and the NMSHTD have been historically difficult due to a lack of consistency in the State's administrative processes, and they suffered a decline when the NMSHTD's Local Government Assistance Division was eliminated. To their credit, the NMSHTD's staff are making substantial efforts to improve relationships with RPOs.

Mr. McDowell, thank you for the opportunity to contribute this brief summary.

Sincerely,

Greg White
Lead Regional Planner

CC. RPO Miscellaneous Correspondence File
Readers File

NEW YORK

CONSULTATION PROCESS SUMMARY

The New York State Department of Transportation (NYSDOT) works through its 11 regional offices to conduct transportation planning and programming. The regional offices typically work in conjunction with the state's 9 regional planning and development boards; each board has a transportation committee. Of the state's 62 counties, which include the 5 boroughs of New York City, 44 participate in a planning and development board. The process focuses on producing a safe, efficient, balanced, and environmentally sound transportation system. In addition to highways, the consultative process covers transit, air, rail, bike, and pedestrian facilities. NYSDOT develops a 20-year long-range plan, a 12-year statewide program of projects, and a 3-year STIP.

Public involvement processes are determined by each region, guided by statewide policy guidance that was developed in 1994 to meet the requirements of ISTEA. The guidance suggests tools to use, including mailing lists, press releases, public notices and other means to keep citizens current on the plan and program. Essentially, the process in each region is tailored to the needs of each community and is designed to solicit input into the long-range plan and STIP development. The public involvement process also applies to transit operation, economic development and land use planning, technical guidance, individual project development, and specialized studies.

As part of the development of the State Transportation Plan, a variety of techniques, including public question and answer sessions, toll-free phone lines, teleconferences, and focus groups, were used to gain input, and drafts of the plan were sent to officials, associations, and MPOs for comment. Two day-long focus groups were held in rural regions of the state to discuss rural concerns, and many officials attended. A stated goal of the NYSDOT master plan is for the department to work with County Farm Land Protection Boards during early project planning to ensure that all rural highway and bridge projects at new locations are sensitive to agricultural concerns. A 12-member board of Section 5310 and/or Section 5311 transit recipients gives NYSDOT guidance and information on a variety of transit issues.

State representatives meet with County Highway Superintendents frequently to discuss transportation needs and STIP projects. Also, they meet with appropriate officials on transit and air issues. The STIP is made available for public comment as it is developed every 2 years. Local officials may seek redress through the state legislature if NYSDOT is not responsive to their needs. Rural officials from developing parts of MPO counties are represented through their county, town, or transportation authority members on the MPO policy and planning committees. MPOs often share data with rural counties and local officials.

NYSDOT's regional offices conduct regional planning and programming. They gather local input to select and prioritize projects, and conduct more general consultation using a variety of approaches. Many of the NYSDOT regions have Transportation Advisory Committees (TACs). Representatives are appointed by, and may include, rural officials. TACs help to facilitate consultation with local officials. For example, 1 region issues a call letter in the summer for a program year beginning the following April; in early fall, the TAC meets to discuss the process and provides initial comments for programming decisions. The typical TAC outreach meeting includes a discussion of long-term planning concepts, goals and objectives, programming guidelines, available funding, and the recommended program projects. A county TAC representative hosts the meeting and leads a discussion session on how to improve the process in the future years. In highway planning, approaches such as TACs have also provided input on important issues, such as land use and economic development, that are not directly related to the STIP.

The regions perform intensive and extensive outreach efforts at the county level in the development of pavement needs. Regions may use other consultative approaches as well. For example, 1 has a transit regional roundtable that meets monthly to discuss planning, funding, operational issues, and other items of interest for both urban and rural areas. Another is working with a planning board to develop an overall Regional Economic Development Strategy. Another participates in County Public Works Committee meetings and local government conferences.

One NYSDOT region uses a Local Project Unit to provide administrative process supervision and technical advice to local governments to assist in the development, design, and construction of locally sponsored federal-aid highway projects. These practices are being expanded statewide.

NYSDOT also has an agreement with the Indian tribal governments, the BIA and FHWA that provides for a coordinated and streamlined process for addressing needs and project scheduling and management within the Indian nations' boundaries. On highway issues, there is consultation on project-related and planning issues affecting the Indian nations. With regard to transit, Indian governments have generally been offered the opportunity to participate but have not always chosen to do so. NYSDOT regions also consult with Indian tribal governments. One is continuing a series of meetings with the Seneca Nation that are deemed beneficial in progressing the current program of projects. The Senecas are involved in developing the road and bridge program for their nation's lands. Another holds regular meetings with the St. Regis Indian Nation. These meetings have taken on added importance with the emergence of gaming on the reservation, and the region has established a task force to plan for the effects gaming will have on the transportation system.

Only a small part of New York State is federal land. Although, decisions by federal land management agencies often are made independently, without consultation with the state, several specific consultative actions are underway. For example, NYSDOT is working with BIA on access to reservations, with Griffiss Air Force Base concerning projects that might impact it, and with FHWA and the U.S. Forest Service to establish a Forest Highway Program in the state.

Transportation is funded from federal, state and local sources. An important source of funds for highway and rail is the state's Industrial Access Program. The state also assists local governments by providing 75 percent of the local match required for Federal Highway projects and one-half of the non-federal match for transit projects. The state also leads the nation in transferring Federal Highway funds to transit projects. Some of the funds are used exclusively for state facilities, some are only for local facilities, and others are for facilities regardless of ownership. Most federal funding is distributed to the NYSDOT regions using a state-developed allocation formula. Some federal funds (STP urban) are distributed on the basis of the federal formulas. The regions meet with and solicit proposed projects from counties, MPOs and local governments through a variety of mechanisms including TACs and meetings with local officials such as county highway superintendents. Counties may represent towns and villages in this process. Projects are then made part of the region's capital program. The programming of federal funds is based on need and the merits of each individual project. Counties and municipalities must compete with state projects for funding.

New York uses these practices:

- State Hearings: NYSDOT holds public question and answer sessions; the STIP is made available for a formal comment period; the draft long-range plan was sent to various parties for comment.
- State Process for Interactive Exchanges of Views with Local Officials: Regional TACs; one region's transit regional round table; in some regions Local Project Units provide guidance to local governments on locally-sponsored federal projects.
- Roles of RPOs: Regional planning and development boards are involved in the NYSDOT process.
- Other Practices: Long-range plan development utilized a 1-800 number, teleconferencing, and focus groups. Regions may use a variety of other practices, such as press conferences, mailing lists, participating in local government meetings, and public notices.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

New York is the 30th largest state in land area, 3rd largest in population, and 6th most densely populated. However, approximately 20 percent of New York's population and jobs, and 91 percent of the land, is non-urban. About 73 percent of New York's roads are rural. Federally owned lands amount to less than 2 percent of the state's land area.

New York is one of the 5 slowest growing states, as measured by population, with a steady rate of employment. The portion of the state's jobs in the uniquely rural agriculture and mining sectors is small (4 and less than 1 percent, respectively). Most jobs in New York's rural areas are in sectors also common in urban areas: construction, transportation and utilities (13 percent); manufacturing (19 percent); business and trade (25 percent); and services and government (39 percent).

Demographically, New York's non-urban population is predominately white (96 percent). Compared to the other states, the proportion of New York's non-urban adult population who did not graduate from high school is in the middle (23rd lowest), but the portion who did graduate from college is the 5th highest of all states. The 9 percent of New York's non-urban people who are poor is less than in most other states. About 40 percent of the state's non-urban population is in non-working age groups (28 percent 18 years or younger, and 13 percent 65 years or older).

Governmentally, New York is complex. It has 57 counties, plus the 5 boroughs of New York City, a fairly manageable number compared to many other states. But it also has 615 municipalities and 929 towns or townships, for a total of 1,544 sub-county divisions. This is the 10th highest number of sub-county governments among all states. New York has 7 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 2 independent, special-purpose governments in New York that have transportation responsibilities, 1 for highways and 1 for transit. This number is lower than in many other states. New York also has FTA funding for 42 public transit providers serving rural areas and 253 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

New York has 10 regional councils that cover approximately 75 percent of the state, and 12 MPOs. These regional units help to coordinate the other local governments and play a direct role in rural transportation programs.

Of New York's 111,686 miles of roads, approximately 15 percent are state-controlled, while none are federal. Of the total miles of rural roads, 15 percent are state, 24 percent are county, 57 percent are township, and 4 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

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Robert Korba, P.E.
Commissioner of Public Works

Gary Hammond
Deputy Commissioner of Public Works

December 14, 2000

National Academy of Public Administration
1120 G Street, NW Suite 850
Washington, D.C. 20005-202/347-3190

Attn: Marty Ditmeyer

RE: NYS Local Official Comments
About Non-Metropolitan Area
Cooperation and the State Process

Dear Mr. Ditmeyer:

Attached are the comments (in bold print) in reference to the "Review of the State Process for Consultation and Cooperation with Local Officials in Non-Metropolitan Areas."

These comments represent the views of the New York State Highway Superintendents' Association after consultation with the Association Officers and presented by myself, NACE State Director and Association Legislative Committee, Chairman.

Very truly yours,

Robert S. Korba, P.E.
Commissioner of Public Works

Jb

Enclosure

Note: The enclosure provided the following additional information for the context description: Of the 57 counties, 44 are rural (populations under 200,000). New York has approximately 18,000 bridges, of which approximately half are state and half are local. The state bridges have a deficiency rate of 32 percent and improving, while the local bridges have had a fairly steady 50 percent deficiency rate for the last 20 years.

NORTH CAROLINA

CONSULTATION PROCESS SUMMARY

The North Carolina Department of Transportation (NCDOT) directly administers all rural roadway projects and provides technical assistance for rural public transportation services, which are administered locally. The consultative process between NCDOT and rural areas covers both planning and programming.

The legislature passed enabling legislation for RPOs during the 2000 session, although no state money has been appropriated to support the RPO planning functions. Under the enabling legislation, from 3 to 15 counties can request to be recognized as an RPO. The 4 mandatory functions of an RPO are to 1) cooperate with NCDOT in the development of a long-range transportation plan; 2) recommend TIP priorities to local governments and NCDOT; 3) participate with NCDOT in the public involvement process; and 4) serve as an information clearinghouse on local and state transportation issues. RPOs are formed through memoranda of understanding between NCDOT and the participating counties. MOUs can define any additional responsibilities that the parties agree to include. The participation and role of local elected officials will be determined by the MOU. It is the intent of the legislation that this be as flexible as possible to address the unique needs and interests of each individual RPO.

The Statewide Transportation Planning Committee develops the state's 20-year long-range, multi-modal transportation plan. The committee consists of NCDOT, FHWA, MPOs and other state department representatives. The long-range transportation systems planning process assistance provided by NCDOT's Statewide Planning Branch covers all modes of importance to the affected local governments. State law requires cooperative development of a street and highway systems plan to serve current and future vehicle traffic. The plan is to be mutually adopted by both the local governing boards and the state. Additionally, at their request, NCDOT will work with municipalities and counties to develop long-range system transportation plans. The level of participation of local elected officials is determined by those individuals.

The Planning Branch provides advisory assistance to local governments upon request on land use and economic development issues that impact the transportation system. Also, NCDOT has provided transportation planning services upon request to the 1 tribal government in the state. Representatives of the U.S. Forest Service, FHWA, and NCDOT meet annually to cooperatively develop the Public Lands Highway Program for North Carolina.

NCDOT provides assistance to localities on short-term public transportation plans. Each county must have a locally endorsed, NCDOT approved, transportation development plan to receive federal and state public transportation funds. NCDOT

assists in the preparation of these plans, which are usually prepared under guidance of a steering committee of transportation providers and users; a member of the county governing board and the county manager also usually serve on this committee. NCDOT also assists localities in preparation of short-term traffic operations plans.

The STIP covers 7 years and is updated biannually. Two sets of public meetings are held during this 2-year cycle. The 1st meetings are held before the development of the draft TIP as input into the draft. The 2nd round of hearings are held between the issuance of the draft and the adoption of the final TIP. All local governments are specifically invited to attend and are asked to provide comments. Also, state law requires NCDOT to notify all municipalities and counties affected by a planned transportation project over $250,000 and allow them a minimum of 45 days to comment before final state action. Projects in rural areas are selected by NCDOT using comments received through the public involvement meetings and other public input (letters, web site, customer service information calls, etc.). In addition, by law, each of the state's 14 highway divisions has a Board of Transportation member who is specifically charged with the responsibility of representing the transportation needs of his/her area in the development of the TIP. Central office and division staff meet with the Board member to solicit input and perspectives in the development of the TIP for each area.

Local elected officials may participate in the rural transportation planning process by working with the councils of governments and participating on the advisory and technical committees. Although the councils of government have no formal transportation planning role, some have created special internal groups to address these issues, to interface with NCDOT, or in some cases to form partnerships to address regional issues. Also, elected county officials from counties located within metropolitan planning areas have seats on the MPO policy board and county planning officials are members of the technical coordinating committee.

Rural transportation is funded by federal and state funds. Public transportation is funded with federal, state and local funds. State law establishes a formula for distribution of all projects (with some exceptions) funded through the Transportation Improvement Program. The formula NCDOT uses to distribute state and federal funds among 7 funding regions is based on population (50 percent), intrastate system miles (25 percent), and equal shares (25 percent).

North Carolina uses these practices:

- State Processes to Compile Transportation Needs: The state conducts studies at local request.
- State Hearings: Annual meetings present STIP and allow local officials/public opportunity to comment.

- Other Practices: State law requires that the street and highway systems plan be mutually adopted by both the local governing boards and the state. The state uses letters, a web-site, and phone contacts to obtain input.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

North Carolina is the 29th largest state in land area, 11th largest in population, and 17th most densely populated. However, approximately 63 percent of North Carolina's population and jobs, and 95 percent of the land, is non-urban. About 88 percent of North Carolina's roads are rural. Federally owned lands amount to 8 percent of the state's land area.

North Carolina's population grew by about 14 percent between 1990 and 1998. The portion of the state's jobs in the uniquely rural agriculture and mining sectors is small (4 and less than 1 percent, respectively). Most jobs in North Carolina's rural areas are in sectors also common in urban areas: construction, transportation and utilities (14 percent); manufacturing (31 percent); business and trade (23 percent); and services and government (28 percent).

Demographically, North Carolina's non-urban population is predominately white and African-American (78 and 19 percent, respectively). Compared to the other states, the proportion of North Carolina's non-urban adult population who did not graduate from high school is high (9th highest) and the proportion that did graduate from college is low (11th lowest). The 13 percent of North Carolina's non-urban people who are poor ranks near the middle compared to all other states. About 40 percent of the state's non-urban population is in non-working age groups (26 percent 18 years or younger, and 13 percent 65 years or older).

Governmentally, North Carolina is complex with 100 counties, a fairly large number compared to many other states. The state also has 527 municipalities, but no towns or townships. This ranks near the middle (19th highest) in terms of the number of sub-county governments. North Carolina has only 1 federally recognized Indian tribe.

In addition, the 1997 U.S. Census of Governments identified 18 independent, special-purpose governments in North Carolina that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 16 for airports and 2 for transit. North Carolina also has FTA funding for 38 public transit providers serving rural areas and 49 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

North Carolina has 18 regional councils that cover approximately 100 percent of the state, and 17 MPOs. These regional units help to coordinate the other local governments and will play a direct role in rural transportation programs.

Of North Carolina's 95,582 miles of roads, approximately 81 percent are state-controlled, while 2 percent are federal. Of the total miles of non-federal rural roads, 93 percent are state, none are county, none are township, and 7 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

Information received via e-mail on December 27, 2000, from J. Philip Bombardier, City Engineer, City of Gastonia, N.C.

In reference to the correspondence previously sent, the following comments are herein offered. Please note that these comments are more reflective of those from the City of Gastonia, and are not necessarily those of the NC APWA Chapter as a whole (i.e., I received very little feedback from our member cities on your original memo).

The summary put together by the National Academy of Public Administration appears to accurately describe the process that is in place for transportation planning in rural areas of N.C. However, the summary may also be somewhat "idealized;" it may not necessarily reflect how specific events play out. The process has the possibility of being dominated by NCDOT, when in fact, the local governments should play a primary role, in lieu of secondary.

With the General Assembly's passage of enabling legislation permitting the establishment of RPO(s), this will engage a process much like MPO(s). Unfortunately, when approving the legislation, the General Assembly did not appropriate monies to fund the formation of RPO(s). It may be difficult for many of the State's rural areas to finance a RPO without State assistance. It may also be of concern that rural communities find it difficult to operate within a "larger" RPO, rather than the "one-on-one" contact they presently receive from NCDOT. The other comment offered would be to suggest (in general) a higher level of communication between the NCDOT and the proposed RPO(s).

Thank-you for the opportunity to provide comments on this issue. If I may be of further assistance, please feel free to contact me at my e-mail address as shown.

NORTH DAKOTA

CONSULTATION PROCESS SUMMARY

Most rural transportation planning is conducted through the North Dakota Department of Transportation's (NDDOT's) 8 districts. The Director of NDDOT reports to the Governor; there is no transportation commission. NDDOT develops a 20-year Statewide Inter-modal Transportation Plan and a 3-year STIP, as well as other mode-specific plans.

The Statewide Inter-modal Transportation Plan was developed in 1995 with the assistance of a consultant. It identifies transportation needs for the next 20 years and sets guidelines for formation of the STIP. Input was sought from MPOs, cities, special interest groups, counties, tribal councils, and the general public. In addition to internal and external (statewide) advisory committees, the consultative process included public information forums and call-in television broadcasts in which local officials could participate, as well as meetings with tribal councils. There also is a Statewide Transportation Advisory Group. The Group's membership includes locally elected officials, Indian tribe representation, state and federal agencies, private sector transportation users and providers, and representatives of various modal interests.

The NDDOT meets periodically with economic development parties to discuss future transportation needs. In 2001, the state will begin developing a strategic planning model to use with their cities and counties for land use, economic development and transportation.

The STIP includes all urban, county, transportation enhancement, and combined railroad crossing projects, as well as projects submitted to FHWA by BIA, the U.S. Park Service and the U.S. Forest Service. NDDOT holds periodic meetings with tribal councils, and also includes federal land management agencies in the consultative process.

Until recently, the NDDOT central office prepared the STIP with input from 2 NDDOT regions as well as the districts. The district staffs evaluated needs in their area and received input from local elected officials and citizens. Districts developed draft plans, which were combined and prioritized at the NDDOT regional level. NDDOT then developed the draft STIP that was released for public comment.

Recently the state eliminated the 2 regional offices and is currently reevaluating what type and level of transportation planning and programming will be done at the district level. There currently is no plan to develop a strategic planning process for the districts. District staff will still be involved in evaluating needs in their respective areas will receive input from the public and will develop potential project lists. However,

since the regions have been eliminated, input and potential project lists will be submitted directly to the central office for consideration.

Rural elected officials are encouraged to participate in the planning process by contacting NDDOT with needs and recommendations. Rural entities are invited to attend public meetings and provide comments on the long-range plan, the STIP and the MPO plans. The STIP is made available to locally elected officials, tribal councils and other rural stakeholders. One of the main goals of the NDDOT Strategic Business Plan was to get closer to the customer, decentralizing and creating regional offices, and empowering regional and district engineers to consult with local stakeholders and decision-makers. Rural areas included in MPOs are invited to attend public meetings and comment on the MPO plan; NDDOT also can represent the needs of rural areas on the MPOs.

Monies from the Federal Highway Trust are split 75/25 between the North Dakota Department of Transportation and local governments. In addition, local funds are raised from a variety of sources, including fuel taxes, license fees and property taxes. Most counties have taxes to fund locally controlled transportation activities. NDDOT administers all federal and state funding. The revenue in the state highway distribution fund is allocated as follows: 63 percent to NDDOT, 23 percent to counties, and 14 percent to cities. NDDOT also administers federal and state transit program funds. Applications for transit funds are reviewed, ranked, and selected by a selection committee.

North Dakota uses these practices:

- State Hearings: Although not called hearings, in the process of forming the long-range plan, NDDOT holds "public information forums" in each of the 8 districts. Also there are public meetings about the STIP and MPO plans.
- Processes for Interactive Exchanges of Information with Local Officials: In forming the long-range plan, NDDOT met with tribal councils and MPOs, and held public information forums.
- State Policy-Making and Advisory Bodies: State-wide Transportation Advisory Group.
- Other Practices: NDDOT districts and central office have an "open door policy" with regard to access by local officials and others. Also, in the process of forming the long-range plan, 6 call-in television shows were held to allow public input.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

North Dakota is the 17th largest state in land area, 4th smallest in population, and 4th least densely populated. Approximately 71 percent of North Dakota's population and

jobs, and just under 100 percent of the land, is non-urban. About 97 percent of its roads are rural. Federally owned lands amount to 4 percent of the state's land area.

North Dakota is a stable state, as measured by population, with a slowly growing rate of employment. The portion of the state's jobs in the uniquely rural agriculture and mining sectors is moderate to small (17 and 2 percent, respectively). Most jobs in North Dakota's rural areas are in sectors also common in urban areas: construction, transportation and utilities (12 percent); manufacturing (6 percent); business and trade (26 percent); and services and government (38 percent).

Demographically, North Dakota's non-urban population is predominately white (94 percent). The proportion of North Dakota's non-urban adult population who did not graduate from high school is near the middle, compared to other states, as is the proportion that did graduate from college. The 15 percent of North Dakota's non-urban population who are poor is greater than in most other states. About 46 percent of the state's non-urban population is in non-working age groups (30 percent 18 years or younger, and 16 percent 65 years or older).

Governmentally, North Dakota has 53 counties, a fairly manageable number compared to many other states. The state also has 363 municipalities and 1,341 towns or townships for a total of 1,704 sub-county divisions. This is the 8th highest number of sub-county governments among the states. North Dakota also has 5 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 80 independent, special-purpose governments in North Dakota that have transportation (airport) responsibilities. This number is higher than in many other states. North Dakota also has FTA funding for 30 public transit providers serving rural areas and 11 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

North Dakota has 8 regional councils that cover approximately 100 percent of the state, and 3 MPOs. These regional units help to coordinate the other local governments.

Of North Dakota's 66,648 miles of roads, approximately 11 percent are state-controlled, while just over 1 percent are federal. Of the total miles of non-federal rural roads, 8 percent are state, 12 percent are county, 77 percent are township, and 3 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

See following.

CASS COUNTY
GOVERNMENT

Highway
Department

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County Engineer

Richard S. Sieg
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December 7, 2000

National Academy of Public Administration
1120 G Street, N.W., Suite 850
Washington, DC 20005-3821

SUBJECT: Response to Review of Summary of State Process for Consultation and Cooperation with Local Official in Non-Metropolitan Areas

Dear National Academy of Public Administration:

I'm providing this response to a November 29, 2000 request for comments on North Dakota's Process for Consultation and Cooperation with Local Official in Non-Metropolitan Areas.

(1) Question: Your views on the accuracy and completeness of the summary.
Response: The summary appears complete.

(2) Question: Your understanding regarding whether the process was designed specifically for local officials, as opposed to the general public.
Response: I'm uncertain as to if the process was designed specifically for local officials as opposed to the general public. It is my opinion that the input process used by the State of North Dakota works very well for both local officials and the general public.

(3) Question: Your views on the experience of local officials participating in the process.
Response: It is my opinion that the experience of local officials in the State Process for Consultation and Cooperation has generally been excellent.

(4) Question: Your understanding of whether the process, as it is described, is formally documented.
Response: My understanding is that the process is documented.

Sincerely,

Keith Berndt, P.E.
Cass County Engineer

cc: Tony Giancola, NACE Executive Director

OHIO

CONSULTATION PROCESS SUMMARY

The Ohio Department of Transportation (ODOT) has a decentralized planning process that relies heavily on ODOT's 12 district offices to coordinate with local officials and the public in their areas. Ohio has 88 counties, 16 MPOs, 2 rural multi-county regional planning commissions (RPCs), and 4 rural regional planning agencies (designated as Economic Development Districts). These organizations have broad planning responsibilities and focus on transportation to different degrees. ODOT develops a 6-year major new construction program; the first 4 years of that program are included in the STIP. There is also a 20-year long-range transportation plan.

ODOT's consultative process is multi-modal and includes federal land management agencies during the planning stage of any project being considered that might impact federal lands. Currently, discussions of issues such as economic development and land use are limited. However, ODOT has recently taken steps to better educate district staff about the interrelationship of these issues and their significance for transportation planning.

ODOT central office and districts develop plans and conduct the planning process on an ongoing basis. While rural officials are consulted regularly about their needs and problems, they most typically are involved with project-specific issues. Districts use a variety of formal and informal ongoing consultation processes, differing according to what works best in each area. For example, most districts hold "government days" (town meetings) with local jurisdictions; there is no set agenda and local officials can address any unique issues they choose. There are district and central office web sites and newspaper columns designed to answer questions from officials and the public. Also, district officials report a great deal of informal involvement with local officials, in most cases almost daily contact. District staff may also attend and participate in regular board meetings of local governments and rural RPOs. Although the focus of these groups is typically economic development, they also provide a forum for district staff to work with local officials on transportation issues and projects. (Elected officials in rural areas included in MPO boundaries are also invited to participate in their MPO's planning process.)

In 1995, the Transportation Review Advisory Council (TRAC) was created to provide an objective project selection process. The TRAC program is, essentially, a grant program in which local governments and MPOs from throughout the state annually compete for approximately $300 million for capacity adding projects. The TRAC has 9 appointed members and is charged with prioritizing new capacity adding projects over $5 million. As part of the TRAC annual process, all local governments are given the opportunity to apply for or submit projects for funding from TRAC funds or other

ODOT funds. Major new projects are proposed to TRAC by ODOT, MPOs, county and municipality officials, transit and port authorities, and county engineers. Rural local governments submit requests to TRAC through ODOT districts. TRAC conducts up to 6 hearings annually before prioritizing these projects

In developing the statewide plan, "Access Ohio," rural officials were included in a statewide public involvement effort in which nearly 100 public meetings were conducted. Many local officials were also involved in a series of focus groups. Local officials' ideas and opinions were included in the recommendations in this plan.

The "Statewide Transportation Improvement Program Public Involvement Procedures" (adopted March 1994) specify procedures for obtaining public input into the STIP. Essentially, public notice is given that the draft STIP, prepared by ODOT, is available for comment. Comments can be provided in writing or electronically. In addition each district office holds at least 1 public meeting during the comment period. Local elected officials may participate in any of these activities. All comments are evaluated and the final STIP is developed. If there are significant changes, another comment period is held. The final STIP is then forwarded to the U.S. DOT.

Beyond this formal process, information for drafting the STIP is obtained through all of the many ongoing consultative processes, and most districts are in regular contact with local elected officials on current or potential projects. Additionally, many of the counties and RPOs have developed their own long-range plans, often including transportation elements. ODOT decision-makers use the recommendations in these local plans for guidance as to which projects to select and fund.

Of the 22 cents per gallon state motor fuel tax, 2 cents goes to counties and 1.1 cents goes to townships for highways under their jurisdiction. Also, 1 cent goes to the Transportation Improvement Fund for local governments. In 1998, an estimated $304 million went directly to these local governments; how these funds are used is decided by local governments. Counties and municipalities also may levy local vehicle registration fees to raise additional funds to meet transportation needs. Each ODOT district is allocated funds to be spent on maintenance of the rural state highway system. An estimated $530 million was spent on rural projects in 1998. In addition, there are a variety of federally supported programs, including the County Local Bridge Program, the County STP Program, and the Highway Safety Program for which rural areas are eligible. For some of these programs, funds go through (or selection criteria are developed by) the County Engineers Association of Ohio. For transit projects, the state funds rural transit agencies with General Revenue Funds, primarily a state match to federally provided funds.

Ohio uses these practices:

- State Processes to Compile Transportation Needs: Sponsors may propose projects to TRAC to meet transportation capacity addition needs.
- State Hearings: TRAC holds up to 6 public hearings; district offices hold public meetings that could also provide comments on the draft STIP.
- Processes for Interactive Exchanges of Views with Local Officials: Some districts conduct town meetings; local officials were involved in focus groups during development of the statewide plan.
- Roles of RPOs: Regional planning commissions and regional planning agencies focus on transportation to different degrees.
- Allocation of Funds and Responsibilities: Local governments control use of some funds.
- Other Practices: These differ by district, but might include: district staff attend local government and regional planning agency meetings; district offices have an open door policy and there is frequent informal communication; there are central office and district office interactive web sites, as well a newspaper columns, which answer questions from the public.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Ohio is the 35th largest state in land area, 7th largest in population, and 8th most densely populated. However, approximately 39 percent of Ohio's population and jobs, and 91 percent of the land, is non-urban. About 79 percent of Ohio's roads are rural. Federally owned lands amount to less than 1.5 percent of the state's land area.

Ohio is a slowly growing state, as measured by population, with a moderately growing rate of employment. The portion of the state's jobs in the uniquely rural agriculture and mining sectors is small (4 and less than 1 percent, respectively). Most jobs in Ohio's rural areas are in sectors also common in urban areas: construction, transportation and utilities (12 percent); manufacturing (28 percent); business and trade (25 percent); and services and government (31 percent).

Demographically, Ohio's non-urban population is predominately white (97 percent). Compared to the other states, the proportion of Ohio's non-urban adult population who did not graduate from high school is near the middle, and the proportion who did graduate from college in is the middle. The 11 percent of Ohio's non-urban people who are poor is also about in the middle compared to other states. About 41 percent of the state's non-urban population is in non-working age groups (29 percent 18 years or younger, and 13 percent 65 years or older).

Governmentally, Ohio is complex. Although its has 88 counties, a fairly manageable number compared to many other states, Ohio also has 941 municipalities and 1,310

towns or townships, for a total of 2,251 sub-county divisions. This is the 4th highest number of sub-county governments among the states. Ohio does not have any federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 81 independent, special-purpose governments in Ohio that have transportation responsibilities. This number is higher than in many other states. These special-purpose governments include 53 for airports, 13 for water transport, and 15 for transit. Ohio also has FTA funding for 33 public transit providers serving rural areas and 311 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Ohio has 16 regional councils that cover approximately 80 percent of the state, and 13 MPOs. These regional units help to coordinate the large number of other local governments and play a direct role in rural transportation programs.

Of Ohio's 114,801 miles of Federal Aid Highways, approximately 14 percent are state-controlled, while less than 1 percent are federal. Of the total miles of non-federal rural roads, 19 percent are state, 32 percent are county, 42 percent are township, and 7 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

Information received via e-mail on January 12, 2001 from Jeffrey Spencer, Executive Director, Ohio Valley Regional Development Commission.

1. The Ohio summary leaves a misleading impression in the first section – "The Rural Context for Transportation Consultations" – that all regional councils play a direct role in transportation planning which is certainly not the case. Only Ohio's MPOs and not any of the rural regional councils have any direct role in transportation planning.

   It is true as the summary states that Ohio Department of Transportation (ODOT) relies heavily on the 12 district offices to do most of the project planning and prioritization of new construction projects. The district offices however, have no regular consultative process in place for involving the public and rural local officials. ODOT does allocate a portion of funds to the county engineers to use for priority projects. However, the county engineers have no formal consultative process either in how they prioritize and use these funds for projects in their counties.

   The only kind of regular consultation that takes place at the district level is for priority, specific new construction projects. A public meeting will be set up with a week's notice or so concerning a specific construction project when they

are trying to decide on specific route alignments. There are no other broader consultative planning meetings that take place on district priorities.

2. The only statewide formal consultative process which ODOT put in place a few years ago is the Transportation Review Advisory Committee (TRAC) made up of 9 community leaders representing different regions of the state. TRAC holds a series of annual meetings around the state, 1 in each region, to review and give priorities for major new construction projects in the state. Local communities submit potential new projects to the TRAC before the meetings and have a chance to make a short presentation on their project at the respective regional meeting. The regional meeting for Appalachia Ohio includes a very large region (29 counties) and is held during the day. The only persons generally attending are a few officials and development organizations concerned with promoting a specific project. There is no effort or attempt to schedule a larger discussion or what the transportation priorities and needs of the region for a longer period might be and the regions are frequently too large for a meaningful discussion.

   The TRAC process was designed to give a more objective review and analysis of the various possible major new construction projects, however it does not review smaller projects and other bridge, resurfacing, and other improvement needs. The TRAC process does provide a forum to bring major new projects but it was not created specifically for the purpose of involving local officials. Whether local officials are consulted about transportation priorities is left up to each ODOT district and whether they might reach out to local officials informally.

3. Rural local officials are only involved in the process to the extent that they have a major new construction project that they wish to pursue. The local officials must be proactive and take the initiative to contact ODOT staff about the project. ODOT made only 1 effort a few years ago when it was developing its long-range transportation plan to hold public hearings at several locations around the state. ODOT does not even extensively publish information to most local officials about the date and location of annual TRAC meeting and about how the system and the hearings work.

   ODOT's outreach is very limited on the annual revision of the State Transportation Improvement Program (STIP). Most local officials are at a loss about how the STIP process works and how projects are added. The draft STIP should be made more widely available to local officials and the process could be enhanced by using existing rural RPOs as partners in the STIP revision process.

4. The process for reviewing major new construction projects through the TRAC is documented and established as a process in a handbook, as well as the process

for revising the STIP which does not involve any formal consultations or hearings on the local level. All other consultation is left up to the district offices, which have no formal guidelines for consulting local officials.

OKLAHOMA

CONSULTATION PROCESS SUMMARY

In response to ISTEA, Oklahoma has revised its transportation planning process. For the first time, the Oklahoma Department of Transportation (ODOT) has developed a policy-oriented long-range plan covering all modes of transportation and providing a vision for statewide transportation for the next 25 years. Also, a Public Participation Plan was developed.

Development of the Statewide Intermodal Transportation Plan included a variety of events at which ODOT informed the public about the plan or obtained input on the plan. Each of those events specifically included local officials in the list of those notified or invited. The Oversight (steering) Committee included, among others, county agencies (Association of County Commissioners). Likewise, meetings were held around the state to obtain input from citizens on their priorities. These meetings were coordinated with transit providers, local elected officials, other organizations, and the general public. Once the draft was developed, local officials were among those specifically invited to a second round of meetings to comment on the draft.

ODOT develops the STIP and a 5-year construction program based on a needs assessment study and input from locally elected officials, tribes, and other interests lobbying ODOT's management, the Transportation Commission, and the state legislature. All of the state's 77 counties develop 5-year plans with the assistance of ODOT. There is a long-standing process for soliciting review and comment on the STIP. It includes circulating the plan to many individuals and agencies, including all county commissions, Indian tribal leaders, and the public. The plan is made available for review for 30 days at the ODOT field offices.

In addition to the STIP and long-range plan, a variety of modal plans are developed. ODOT works with the Indian tribes and appropriate federal land management agencies in transportation planning and project development. Issues such as land use and economic development are considered in transportation planning, but there is no formal integration of these issues into the plans. There are no statewide land use controls and, therefore, these types of issues are usually addressed on a project-by-project basis.

Local elected officials have several ways to affect planning decisions. They have access to ODOT's management, planning, and engineering staffs for information and expert assistance in planning, as well as a voice in planning and project decisions. They also have access to both the Transportation Commission and the state legislature. In addition, substantial interest groups have been formed—by non-metropolitan officials and groups—that also have access to ODOT, the Commission, and the legislature.

(Officials from rural areas in MPO boundaries are represented on the MPO policy and technical committees.)

Rural transportation is financed with federal, state and local funds. The Oklahoma Transportation Commission is responsible for state appropriated funds and for most federal funds. Counties, cities, and towns all receive dedicated tax revenues from the state that can be used for transportation. For example, counties receive 2 percent of fuel tax revenue for maintenance and operations. The counties' share is given to the Association of County Commissioners of Oklahoma. The Association distributes the money to the 8 transportation districts, which then allocate it to the counties.

Oklahoma uses these practices:

- State Processes for Compiling Transportation Needs: The state conducts a needs assessment; counties submit local plans to ODOT.
- State Hearings: Meetings are held around the state to obtain public input and to obtain comments on the draft plan; the draft STIP is circulated to ODOT regional offices and made available for comment by local officials, agencies, and the public.
- Processes for Interactive Exchanges of Views with Local Officials: A series of public meetings was held both before and after drafting the long-range plan to obtain public comments.
- State Policy-Making and Advisory Bodies: Oklahoma Transportation Commission.
- Allocation of Transportation Funds and Responsibilities: Counties and cities receive dedicated tax revenues that can be used for transportation.
- Other Practices: There is open access to ODOT staff and access to the Commission and legislature; interest groups represent rural interests.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Oklahoma is the 19th largest state in land area, 27th largest in population, and 34th most densely populated. Approximately 58 percent of Oklahoma's population and jobs, and 98 percent of the land, is non-urban. About 92 percent of Oklahoma's roads are rural. Federally owned lands amount to less than 2 percent of the state's land area.

Oklahoma is a slowly growing state, as measured by population, with a quickly growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is fairly small (6 and 4 percent, respectively). Most jobs in Oklahoma's rural areas are in sectors also common in urban areas: construction, transportation and utilities (14 percent); manufacturing (16 percent); business and trade (25 percent); and services and government (36 percent).

Demographically, Oklahoma's non-urban population is predominately white with a significant portion of Native Americans (84 and 11 percent, respectively). Compared to the other states, Oklahoma has the 15th highest proportion of non-urban adults who did not graduate from high school and the 10th lowest proportion who did graduate from college. The 18 percent of Oklahoma's non-urban population who are poor is higher than in most other states. About 44 percent of the state's non-urban population is in non-working age groups (28 percent 18 years or younger, and 15 percent 65 years or older).

Governmentally, Oklahoma has 77 counties, a fairly manageable number compared to many other states. Oklahoma also has 592 municipalities, but no towns or townships. This is the 16th highest number of sub-county governments among the states. Oklahoma also has 36 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 1 independent, special-purpose government in Oklahoma that has transportation (water transport) responsibilities. This number is considerably lower than in most other states. Oklahoma also has FTA funding for 16 public transit providers serving rural areas and 133 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Oklahoma has 11 regional councils that cover approximately 100 percent of the state, and 3 MPOs. These regional units help to coordinate the large number of other local governments.

Of Oklahoma's 112,432 miles of roads, approximately 12 percent are state-controlled, while less than 1 percent are federal. Of the total miles of non-federal rural roads, 12 percent are state, 87 percent are county, none are township, and 1 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

No responses received.

OREGON

CONSULTATION PROCESS SUMMARY

Oregon's rural transportation planning process is focused in the Oregon Department of Transportation (ODOT) district offices. However, with the recent introduction of Area Commissions on Transportation (ACTs), the process is undergoing change.

Plans for specific geographic areas of the state are developed through consultation with and review by the affected local governments. Under state law, counties and cities develop comprehensive, local transportation system plans. Also, as of mid-1999, 3 ACTs had been formed. These advisory commissions represent a specific geographic area and are made up of local transit officials, elected officials, and representatives of businesses and tribal governments. ACTs were created to provide local officials and others a means of direct access to the members to the Oregon Transportation Commission, which oversees ODOT. They serve as sounding boards for the local plans in their area, but do not supplant local government approval; local governments must directly approve or adopt plans affecting their jurisdictional boundaries. Regions with ACTS also submit regional TIPs to ODOT.

ODOT officials meet regularly with ODOT district staff and ACTs (COGs are also invited) to discuss transportation issues. Local elected officials are encouraged to participate through them; areas without these groups can provide direct input to ODOT. ACTs can also communicate directly with the State Transportation Coordinating Commission. ODOT's Stakeholder Involvement Handbook states that involvement should be accessible, continuous, responsive and responsible.

ODOT district offices develop geographic plans based on the input from ACTs and COGs, as well as from regions without ACTs. ODOT has recently reengineered the project selection process. A Community Solutions Team has been formed with representatives from 5 state agencies—Housing, Economic Development, Land Conservation and Development, Environmental Quality, and Transportation—with a goal of more effectively focusing state agency efforts on solving problems in partnership with local communities. Also, solution teams, consisting of stakeholders and technical people, have been created to develop solutions to identified problems, especially on the highway system. Citizen advisory committees, comprised mostly of people who are directly impacted by a project, provide input to the solution teams.

ODOT updates the STIP every 2-years. The STIP includes prefunded projects, strategic projects and unfunded projects. It is part of the 6-year corridor-based Oregon Highway Plan. As a result of various initiatives, including the Oregon Livability Initiative, the state is taking steps to better coordinate transportation planning with other areas. The Departments of Human Services, Housing, Corrections, Education,

Veterans, and Transportation are working together to develop a coordination model for transportation. Federal land management agencies are included in the consultative process when federal lands are affected.

Rural roads are financed primarily through state highway funds and the federal gasoline tax. One half of State Highway Fund revenue goes to local (city and county) governments for transportation maintenance and improvement projects, planning activities, and operations. Counties may have new development fees or local gasoline taxes to supplement transportation funding. Rural transit is funded though a mix of state funds and funds from FHWA and FTA.

Oregon uses these practices:

- State Processes to Compile Transportation Needs: ODOT prepares a list of projects based on input from locals (ACTs, COGs, and "advisory" groups).
- State Processes for Interactive Exchanges of Views with Local Officials: ODOT officials meet regularly with ODOT district staff and ACTs (COGs invited) to discuss needs and issues. Also, solutions teams and citizens advisory committees appear to be less formal, more interactive, than other methods.
- Roles of RPOs: ACTs perform some functions common to RPOs.
- State Policy-Making and Advisory Bodies: Oregon Transportation Commission.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Oregon is the 10th largest state in land area, 28th largest in population, and 12th most densely populated. However, approximately 52 percent of Oregon's population and jobs, and 99 percent of the land, is non-urban. About 90 percent of Oregon's roads are rural. Federally owned lands amounts to 60 percent of the state's land area.

Oregon is a moderately growing state, as measured by population, and has slow growth in employment. The portion of the state's jobs in the uniquely rural agriculture and mining sectors is moderate to small (8 and less than 1 percent, respectively). Most of Oregon's rural employment is within sectors also common in urban areas: construction, transportation, and utilities (12 percent); manufacturing (20 percent); business and trade (26 percent); and services and government (34 percent).

Demographically, Oregon's non-urban population is predominately white (95 percent). Compared to the other states, the proportion of Oregon's non-urban adult population who did not graduate from high school is about in the middle (20th lowest), as is the proportion who did graduate from college (22nd highest). The 13 percent of Oregon's non-urban population who are poor ranks near the middle compared to other states.

About 43 percent of the state's non-urban population is in non-working age groups (28 percent 18 years or younger and 15 percent 65 years or older).

Governmentally, Oregon has 36 counties, a fairly manageable compared to many other states. Oregon also has 240 municipalities, but no towns or townships. This ranks as the 17th smallest number of sub-county governments. There are 9 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 104 independent, special-purpose governments in Oregon that have transportation responsibilities. This number is higher than in most other states. These special-purpose governments include 86 for highways, 9 for water transport, and 9 for transit. Oregon also has FTA funding for 27 public transit providers serving rural areas and 23 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Oregon has 10 regional councils that cover approximately 50 percent of the state and 4 MPOs. These regional units help to coordinate other local governments.

Oregon has a total of 95,237 miles of roads, of which 12 percent are state-controlled and 44 percent are federal, the highest in the nation. Of the total miles of non-federal rural roads, 15 percent are state, 71 percent are county, none are township and 4 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

See following.

LOCAL GOVERNMENT CENTER 1201 COURT STREET N.E. P.O. BOX 12729 SALEM OREGON 97309-0729 (503) 585-8351

January 16, 2001

Bruce McDowell
National Academy of Public Administration
1120 "G" Street, NW, Suite 850
Washington, DC 20005

Dear Mr. McDowell:

We have reviewed the summary of the OREGON STATE PROCESSES FOR CONSULTATION AND COOPERATION WITH LOCAL OFFICIALS IN NON-METROPOLITAN AREAS.

The summary is essentially accurate. The development of the Area Commissions on Transportation (ACTS) has continued since the draft summary was written. There are now nine ACTS covering most of rural Oregon.

The Oregon Department of Transportation meets monthly with the Local Officials Advisory Committee. This committee consists of city and county officials whom comment on developing policies to the department and to the Oregon Transportation Commission.

The Oregon STIP process, using the ACTS, was designed to gather effective input from BOTH local officials and the general public.

Most local agencies have the opportunity to participate in the STIP development process. Many do. The process requires local agencies and the private members of an ACT to develop a consensus of their highest priority project. If they don't, the project will not receive the priority or attention of a project from an ACT that has a developed a consensus.

The STIP process has not been formally documented yet. Details of the process vary around the state. The Oregon Department of Transportation is just beginning a process to develop clear documentation of the process.

Yours truly,

Bob Cantine, Executive Director
Association of Oregon Counties

PENNSYLVANIA

CONSULTATION PROCESS SUMMARY

For many years Pennsylvania's 6 Local Development Districts (LDDs) have had transportation planning responsibilities.[1] The Pennsylvania Department of Transpportation (PennDOT) has recently reengineered its statewide, metropolitan and rural transportation planning and programming processes. The LDDs and the remaining rural independent counties are under contract to PennDOT, and they function similar to MPOs. PennDOT provides the LDDs and the rural independent counties with state and federal planning funds (which require a local match) to enable their participation in the intergovernmental transportation planning and programming processes in all consultation/decision-making.

Each LDD/independent county is charged with developing a transportation planning work program that includes: developing a long-range transportation plan; prioritizing capital projects; developing and helping to implement the county/regional transportation improvement program (TIP); identifying and developing proposed projects; collecting and analyzing data; and promoting system maintenance and preservation. When applicable situations, the LDD/independent county and PennDOT will consult and coordinate with federal land management and resource agencies on planning issues and individual projects that may affect federal lands or resources or the policies of federal land management or resource agencies.

Each LDD/independent county has a transportation policy/advisory committee. The state encourages local elected officials to participate in planning through both voting and non-voting representation on their LDD/independent county committee. The transportation policy/advisory committees address all modes of transportation in the LDD or independent county and also consider economic development, land use, environmental and other issues. Policy/advisory committee members include: a county commissioner from each represented county; each county's planning director; a representative from PennDOT central office and another from the PennDOT engineering district(s); a representative of the LDD/independent county staff agency; a citizen advisor; and a representative from each applicable mode of transportation (e.g., rail, air, transit). Each member has 1 vote. Rural officials are responsible for bringing a prioritized list of projects from their respective counties to their LDD transportation planning committee for possible inclusion in the TIP.

[1] These LDDs were originally organized as part of the work of the Appalachian Regional Commission. There are a few counties not included in an LDD. Currently PennDOT works with 15 MPOs, 6 LDDs, 2 Independent Counties under contract to PennDOT, and 3 non-affiliated counties. In the future, PennDOT hopes to have all non-affiliated counties under contract for transportation planning and programming.

The reengineered transportation planning and programming process in Pennsylvania has changed the way programs (prioritized, financially constrained lists of projects) are developed. All guidance (general/procedural, financial and schedules) are jointly developed and approved by all metro and rural partners before a program update cycle begins. Each rural county/region develops its multi-modal, 4-year TIP collaboratively between PennDOT, the policy/advisory committee, local elected officials and the general public. Each LDD and independent county has its own unique process to locally review and prioritize candidate projects for possible inclusion in the draft TIP. The draft TIP is finalized via a series of working meetings with the policy/advisory committee and PennDOT. These individually-approved TIPs are submitted to the state and rolled up without changes to form the STIP, which is then approved by U.S. DOT. This process also helps to satisfy the state mandate to develop a 12-Year Transportation Program.

The State Transportation Commission (STC) is responsible for developing the 12-Year Transportation Program. This process and the schedule for updating the program are integrated within the update process for developing the STIP. Consequently, the STC allows for additional consultation with rural elected officials and the general public as the update process begins. The update cycle in Pennsylvania occurs every 2 years; however, the Commission also holds quarterly meetings at which time program adjustments are made in coordination with the state's planning partners (PennDOT, MPOs, LDDs, and independent counties).

Pennsylvania's long-range transportation plan is called *PennPlan MOVES*. It was cooperatively developed with the LDDs and independent counties and in consultation with rural local officials and the general public, as well as with the MPOs. The long-range plans of the LDDs and independent counties were integrated into the state's long-range plan. Both *PennPlan MOVES* and the county/regional plans serve as the "gate keepers" for short-range programming decisions.

Transportation funds—from TEA-21 as well as from state and county sources not earmarked for specific purposes—are designated by a number of formulas for use in MPO, LDD, and independent county areas. These formulas are mutually agreed upon by all partners before a program update cycle begins. The process for developing the financial guidance allows the opportunity for input from rural local officials and the general public.

Pennsylvania uses these practices:

- State Hearings: The STC routinely holds a series of public hearings on priorities for the 12-Year Transportation Program. These STC hearings receive a large volume of testimony from rural areas of the state.

- Processes for Interactive Exchanges of Views with Local Officials: PennDOT (central and engineering districts) is represented on each LDD/independent county transportation policy/advisory committee.
- Roles of RPOs: The LDDs/independent counties serve a similar role as the MPOs in Pennsylvania.
- State Policy-Making and Advisory Bodies: The STC in consultation with PennDOT.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Pennsylvania is the 33rd largest state in land area, 6th largest in population, and 10th most densely populated. However, approximately 40 percent of Pennsylvania's population and jobs, and 92 percent of the land, is non-urban. Approximately 71 percent of Pennsylvania's roads are located in rural areas. Federally owned lands amount to less than 3 percent of the state's land area.

Pennsylvania is a slowly growing state with a slowly growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small (3 and 1 percent, respectively). Most jobs in Pennsylvania's rural areas are in sectors also common in urban areas: construction, transportation and utilities (14 percent); manufacturing (25 percent); business and trade (25 percent); and services and government (32 percent).

Demographically, Pennsylvania's non-urban population is predominately white (98 percent). Compared to the other states, the proportion of Pennsylvania's non-urban adults who did not graduate from high school is near the middle (18th highest), as is the proportion who did graduate from college (23rd highest). The 10 percent of Pennsylvania's non-urban people who are poor is lower than in most other states. About 40 percent of the state's non-urban population is in non-working age groups (26 percent 18 years or younger, and 15 percent 65 years or older).

Governmentally, Pennsylvania is diverse. It has 67 counties, 56 cities, 963 boroughs, 1,548 townships and 1 town, for a total of 2,655 general-purpose local governments. This is among the highest number of local governments in any state. Pennsylvania does not have any federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 148 independent, special-purpose governments in Pennsylvania that have transportation responsibilities. This number is larger than in many other states. These special-purpose governments include 7 for highways, 35 for airports, 65 for parking facilities, 3 for water transport, and 38 for transit. Pennsylvania also has FTA funding for 21 public transit providers serving rural areas and 74 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Pennsylvania has 10 regional councils (including the 6 LDDs described above) that cover approximately 85 percent of the state, and 15 MPOs, including the Hagerstown Eastern Panhandle MPO which only includes a very small portion of Pennsylvania. These regional units help to coordinate the large number of other local governments and play a direct role in rural transportation programs.

Of Pennsylvania's 119,381 miles of roads, approximately 37 percent are state-controlled, while less than 1 percent are federal.

VIEWS OF LOCAL OFFICIALS

Information received via e-mail, January 5, 2001, from Terri Houck, Director of Government Relations, County Commissioners Association of Pennsylvania.

I apologize for the lateness of this report that you sought from us; however, with the holiday and end of the year county budgets, I did not receive responses from members in a timely fashion. Although these comments are brief, they sum up the responses I received from members in mostly rural Pennsylvania counties.

Overall, county commissioners representing Pennsylvania's rural counties give our state Department of Transportation an 8 out of 10 rating (10 being the highest) in terms of cooperative working arrangements with counties.

Specifically, commissioners have no problem with receiving payment from the commonwealth; however, the main problem is that improper information has been given to county officials on how to handle situations such as the liquid fuels money. There is a perception among county commissioners that PennDOT appears to be unsure who has responsibility for addressing questions directed their way by counties.

The bottom-line perception is that although overall pleased with the state transportation department, county officials think that better communication and more information sharing on funds would benefit all involved in transportation issues.

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Information received via e-mail, January 5, 2001, from Martha Pierce, Executive Director, Pennsylvania Public Transportation Association.

The information about Pennsylvania is correct.

RHODE ISLAND

CONSULTATION PROCESS SUMMARY

One MPO covers the entire state. It includes 39 cities and towns; there are no county governments. Local officials' participation in transportation planning is primarily through the MPO. Local officials are represented on the Rhode Island State Planning Council, which has been designated as the MPO, and the MPO's Technical Committee and Transportation Advisory Committee. The development of the MPO's TIP, which is also the STIP, is done through a set of adopted state procedures, including submissions by local governments of prioritized transportation project requests and public hearings.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Rhode Island is the smallest state in land area, 8th smallest in population, and 2nd most densely populated. However, approximately 14 percent of Rhode Island's population and jobs, and 51 percent of the land, is non-urban. About 27 percent of Rhode Island's roads are rural. Federally owned lands amount to less than 3 percent of the state's land area.

Rhode Island is a slowly decreasing state, as measured by population, but with a significantly growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small (3 and less than 1 percent, respectively). Most jobs in Rhode Island's rural areas are in sectors also common in urban areas: construction, transportation and utilities (13 percent); manufacturing (19 percent); business and trade (27 percent); and services and government (39 percent).

Demographically, Rhode Island's non-urban population is predominately white (97 percent). The portion of Rhode Island's non-urban adult population who did not graduate from high school is low (8th lowest), relative to other states, and the proportion that did graduate from college is relatively high (4th highest). The 6 percent of Rhode Island's non-urban people who are poor is the 5th lowest among all states. About 38 percent of the state's non-urban population is in non-working age groups (26 percent 18 years or younger, and 12 percent 65 years or older).

Governmentally, Rhode Island does not have counties, but it has 39 sub-county divisions, 8 municipalities and 31 towns or townships. This is the 4th lowest number of sub-county governments. Rhode Island also has 1 federally recognized Indian tribe.

Rhode Island is 1 of 6 states that do not have special-purpose districts with transportation responsibilities. Rhode Island has FTA funding for 1 public transit

provider serving rural areas and 1 additional organization that provides specialized transit services to elderly and disabled populations in those same areas.

Rhode Island does not have regional councils, but does have 1 MPO. The MPO helps to coordinate other local governments and plays a direct role in rural transportation programs.

Of Rhode Island's 6,055 miles of roads, approximately 19 percent are state-controlled, while less than 1 percent are federal. Of the total miles of non-federal rural roads, 25 percent are state, none are county, 76 percent are township, and none are municipal and other.

VIEWS OF LOCAL OFFICIALS

No responses received.

SOUTH CAROLINA

CONSULTATION PROCESS SUMMARY

In response to ISTEA, the South Carolina Department of Transportation (SCDOT) gave transportation planning responsibilities to the 10 existing COGs. The COGs have representation from all 46 South Carolina counties. The SCDOT provides funds to the COGs for planning and also has staff to assist them. The SCDOT develops a 5-year STIP and a 20-year long-range transportation plan. SCDOT is primarily responsible for highway planning, but coordinates to an extent with other modes. It plans for funding bridges, interstate highways, and pavement and reconstruction separately from the regional process.

The process and procedures for prioritizing the highway needs statewide were developed jointly by the SCDOT and the COGs, and were first used for the 1999 STIP. The SCDOT develops a preliminary list of projects for each COG region, based on staff knowledge, safety information and congestion. The COGs then hold discussions, focused on the SCDOT list, with local elected officials, economic development groups and members of the legislative delegation. Additional projects may be identified during this initial COG review. Local elected officials may participate in the rural transportation planning process by developing plans for their local jurisdiction and by participating in their COGs.

A COG committee reviews the list and ranks the projects based on a rural project ranking formula provided by SCDOT and other regionally developed criteria. The formula considers, among other things: congestion, safety, and factors that impact on economic development and employment. The SCDOT provides data to evaluate the projects on several of the formula's criteria; the COGs also use their Geographic Information System database to evaluate other formula factors. The COG board reviews and approves the ranking. This prioritized list becomes the COG recommendation to the SCDOT. The SCDOT then develops the STIP, which presents the priorities by COG region. Next, the State Transportation Commission reviews the plan, gives tentative approval, and returns it to the COGs for a public review period. Finally, the Transportation Commission reviews the comments, approves the plan, and forwards it to the U.S. DOT.

The rural system upgrade program, which is essentially the federal-aid construction program for non-metropolitan areas, is allocated to regions on the basis of rural population. South Carolina combines NHS, STP and the minimum allocation funding and then allocates it. SCDOT also shares a portion (2.66 cents) of the state gas tax with counties. Transportation commissioners also have $25 million available to allocate to inter-regional projects. Counties also may levy special taxes for transportation, but

only 3 have done so. A maximum of one-quarter of 1 percent of the gasoline tax is allocated to transit.

South Carolina uses these practices:

- State Processes to Compile Transportation Needs: The State develops a preliminary list based on travel, knowledge, safety and congestion, then the COGs can add to the list, based on local information.
- State Hearings: STIP is made available for a formal public review period.
- Roles of RPOs: COGs serve that function for transportation planning and project prioritization.
- Allocation of Transportation Funds and Responsibilities: SCDOT allocates construction funds on the basis of rural population to COG areas for priority recommendation by the COGs.
- State Policy-Making and Advisory Bodies: Transportation Commission represents geographic areas.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

South Carolina is the 11th smallest state in land area, 26th largest in population, and 21st most densely populated. However, approximately 63 percent of South Carolina's population and jobs, and 96 percent of the land, is non-urban. About 83 percent of its roads are rural. Federally owned lands amount to just over 4 percent of the state's land area.

South Carolina is a moderately growing state, as measured by population, with a slowly growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small (3 and less than 1 percent, respectively). Most jobs in South Carolina's rural areas are in sectors also common in urban areas: construction, transportation and utilities (14 percent); manufacturing (30 percent); business and trade (23 percent); and services and government (29 percent).

Demographically, South Carolina's non-urban population is predominately white and African-American (68 and 31 percent, respectively). The proportion of South Carolina's non-urban adult population who did not graduate from college is relatively high (10th highest), and the proportion who did graduate from college is relatively low (8th lowest). The 16 percent of South Carolina's non-urban population who are poor is higher than in most other states. About 41 percent of the state's non-urban population is in non-working age groups (29 percent 18 years or younger, and 12 percent 65 years or older).

Governmentally, South Carolina has 46 counties, a fairly manageable number compared to many other states. The state also has 269 municipalities, but no towns or townships. It ranks below the middle (18th lowest) in terms of the number of sub-county governments among all states. South Carolina also has 1 federally recognized Indian tribe.

In addition, the 1997 U.S. Census of Governments identified 11 independent, special-purpose governments in South Carolina that have transportation responsibilities. This number is lower than in many other states. These special types of local governments include 2 for highways, 4 for airports, and 5 for transit. South Carolina also has FTA funding for 10 public transit providers serving rural areas and 38 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

South Carolina has 10 regional councils that cover approximately 100 percent of the state, and 10 MPOs. These regional units help to coordinate the other local governments and play a direct role in rural transportation programs.

Of South Carolina's 64,129 miles of roads, approximately 65 percent are state-controlled, while less than 1 percent are federal. Of the total miles of non-federal rural roads, 65 percent are state, 34 percent are county, none are township, and 1 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

No responses received.

SOUTH DAKOTA

CONSULTATION PROCESS SUMMARY

Transportation planning by the South Dakota Department of Transportation (SDDOT) is overseen by the State Transportation Commission. The state is divided into 4 transportation regions, with representatives from each region on the Commission. SDDOT prepares a Statewide Intermodal Long Range Plan, a 5-year STIP, and other corridor and modal plans. Planning for the long-range plan and the STIP is conducted together through a variety of formal and informal methods. Only minor changes had to be made to the old planning process to conform to ISTEA requirements.

Early in the yearly planning process, SDDOT receives input from many sources, including special meetings with transportation stakeholders. These stakeholders include, but are not limited to, local governments and elected officials, MPOs, BIA and tribes, and federal agencies. Additionally, many stakeholders receive invitations to SDDOT's planning meetings, again including local elected officials as well as representatives of the Association of South Dakota Counties and the Municipal League, airport providers, rail interests, transit providers, and tribes. During this process, opportunities, problems and issues are identified for action. As part of the yearly budget process, local elected officials provide SDDOT with a list of transportation needs and projects for systems under their jurisdiction. Planners or funds from SDDOT often assist counties and non-MPO municipalities to develop transportation plans; most local governments cannot afford to hire transportation planners.

Additionally, SDDOT meets with the 5 planning districts or COGs that include much of the state. (Elected officials from rural areas within MPO boundaries serve on the MPO policy and advisory committees and participate in MPO meetings.) SDDOT also participates in the South Dakota Coordinated Transportation Initiative Task Force, which is the coordination group for state agencies dealing with transit. Coordination and communication with local governments are also conducted on an on-going, ad-hoc basis around specific issues.

After the various meetings and several other analyses (e.g. statewide interstate inspection and the staff review of resurfacing needs), SDDOT reviews funding availability and develops a tentative list of projects. This list is multi-modal and includes all projects to be implemented, assuming expected funding is obtained. The priorities on the state system are developed with the aid of a computer program that considers several factors in evaluating need. The local governments develop their priorities for projects under their jurisdiction. The order of the priorities can only be changed by the Transportation Commission, which must approve the tentative list.

After many informal meetings have occurred, formal public meetings are held to allow review and to receive comments on the project list. These meetings are held in each of the state's 4 transportation regions and again major stakeholders are invited, including local and tribal governments, planning districts, MPOs, airport providers, rail interests, transit agencies, and public and private agencies. Once the public comment period is closed, the Transportation Commission meets to consider the comments, make changes, and approve the final project list.

The Statewide Intermodal Long Range Transportation Plan guides this process and approximately every 5 years the plan is drafted, goes through public review, and is approved along with the STIP. The plan is also updated when there has been sufficient change in the transportation system to warrant an update. Among other things, the long-range plan explains the coordination process for the modal plans, including air, rail, and transit. Throughout the process, land development and economic issues, especially highway access, are considered. SDDOT coordinates with local development corporations, chambers of commerce and booster groups. However, the state does not have jurisdiction over land use planning issues. Local governments control land use.

Rural transportation is financed through federal, state and local funds. A portion of STP funds, as well as bridge funds, is shared with the cities and counties and programmed by these local entities. The counties' share is based on a formula that includes land acreage, population, and road miles. Of the STP funds, counties receive about 20 percent. In addition, the State sub-allocates 50 percent of its federal bridge funds to local governments. SDDOT replaces federal funds with state funds at a 90 percent exchange rate, at local government request, to make funding more flexible for local jurisdictions. Transportation fund sharing among governments is carefully studied and balanced by the state legislature.

South Dakota uses these practices:

- State Processes to Compile Transportation Needs: Initial meetings with stakeholders seem to meet this definition. Also, local governments provide needs lists to SDDOT.
- State Hearings: Five meetings are held statewide to obtain comments on the draft STIP and also on the existing long-range plan.
- State Processes for Interactive Exchanges of Views with Local Officials: Coordination on specific issues is ongoing; the initial meetings may be informal enough to meet this criterion also.
- Allocation of Transportation Funds and Responsibilities: Twenty percent of STP funds and 50 percent of the bridge funds are programmed at the county and city level.

- State Policy-Making and Advisory Bodies: South Dakota Transportation Commission; South Dakota Coordinated Transportation Initiative Task Force, South Dakota State Railroad Board, South Dakota Aeronautics Commission.
- Other Practices: Coordination and communication is ongoing around specific issues; stakeholders are invited to SDDOT planning meetings.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

South Dakota is the 16th largest state in land area, 5th smallest in population, and 5th least densely populated. Approximately 78 percent of South Dakota's population and jobs, and just under 100 percent of the land, is non-urban. About 98 percent of South Dakota's roads are rural. Federally owned lands amount to 6 percent of the state's land area.

South Dakota is a slowly growing state, as measured by population, with a moderately growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture sector is more than most other states (16 percent) while the portion in the mining sector is small (1 percent). Most jobs in South Dakota's rural areas are in sectors also common in urban areas: construction, transportation and utilities (11 percent); manufacturing (10 percent); business and trade (25 percent); and services and government (37 percent).

Demographically, South Dakota's non-urban population is predominately white (90 percent) and Native American (8 percent). The proportion of South Dakota's non-urban adult population who did not graduate from high school ranks in the middle, compared to other states, while the proportion that did graduate from college is the 12th lowest. The 17 percent of South Dakota's non-urban population who are poor is larger than in most other states. About 46 percent of the state's non-urban population is in non-working age groups (31 percent 18 years or younger, and 16 percent 65 years or older).

Governmentally, South Dakota is complex. Although the state has 66 counties, a fairly manageable number compared to many other states, it also has 309 municipalities and 956 towns or townships, for a total of 1,265 sub-county divisions. This is the 11th highest number of sub-county governments among all states. South Dakota also has 9 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 25 independent, special-purpose governments in South Dakota that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 24 for highways and 1 for airports. South Dakota also has FTA funding for 17 transit providers serving rural areas and 8 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

South Dakota has 5 regional councils that cover approximately 70 percent of the state, and 2 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Of South Dakota's 83,299 miles of roads, approximately 10 percent are state-controlled, while less than 3 percent are federal. Of the total miles of non-federal rural roads, 10 percent are state, 45 percent are county, 43 percent are township, and 2 percent are municipal and other. Although South Dakota's state controlled roads amount to 10 percent of the road mileage, these state roads carry 70 percent of the state's traffic.

VIEWS OF LOCAL OFFICIALS

See following.

South Dakota Association of County Highway Superintendents

P.O. Box 704 • Sioux Falls, SD 57101 • 605-367-4316

January 3, 2001

Bruce D. McDowell, NAPA Project Director
National Academy of Public Administration
1120 G Street, NW Suite 850
Washington, DC 20005

RE: Response to Summary of South Dakota's Process for Consultation and Cooperation with Local Officials in Non-metropolitan Areas

Dear Mr. McDowell:

In response to the South Dakota summary for the state's process for consultation and cooperation with local officials in non-metropolitan areas, I have the following comments on the four questions you referred to in your letter to the NACE State Directors.

My views on the accuracy and completeness of the summary are quite simple. I believe the summary to be a thorough and accurate summation of how the process works in SD.

My understanding regarding whether the process was designed specifically for local officials, as opposed to the general public is somewhat hard to answer. I don't feel the process was designed for one or the other, but was designed to compliment both areas. The public's input is always necessary, but the local officials are the decision makers, therefore a complete understanding by them is very necessary.

My views on the experience of local officials participating in the process are in full agreement with the summary. Local officials have ample opportunities to share their ideas and opinions with the State before and while projects are being completed.

I cannot comment on whether South Dakota's process, as it is described , is formally documented. It has been the only process that I know of for the thirty years that I have been involved with State/County government and has worked quite well. I continue to believe in the phrase--"If it aint broke, don't fix it" I believe the process works well in SD.

Respectfully Yours,

Raymond K. Roggow

Raymond K. Roggow
SD NACE State Director

TENNESSEE

CONSULTATION PROCESS SUMMARY

Rural transportation planning is conducted primarily through the Tennessee Department of Transportation (TnDOT) Planning Division's Small Urban Area Planning Unit. TnDOT is entirely responsible for planning, designing, constructing, operating and maintaining interstate, state, and state park roads. The department is also responsible for providing financial assistance and technical assistance to local governments for planning, construction, and operation of facilities under their authority, including local roads, airports, transit systems, railroads, and water ports. However, under a strategic planning process begun in 1996, TnDOT is developing a systematic multi-modal transportation planning and programming process for non-urbanized areas centered on the state's 9 development districts.

TnDOT has prepared small area plans for over 30 years. Studies are conducted to define the needs and to develop project concepts and improvement costs for use in establishing the annual budget and STIP. Advanced planning is also done using forceasted traffic usage data to investigate the feasibility of future projects. Planning in rural and small urban areas is not as formally structured as in the metropolitan areas. Through the Small Urban Planning Unit, incorporated towns and cities with a population of 5,000 to 50,000 are provided technical assistance in determining local highway and street needs. Consultation and coordination with local officials and planning agencies are routine. Local elected officials may recommend projects to TnDOT for the STIP; they may also influence planning by approaching the Transportation Commission or their state legislators. The rural portions of MPOs are represented by their local elected officials, who serve on the MPO policy committee. A consultative process is maintained with various federal land management agencies, including the U.S. Forest Service. Forest Highway System projects are included in the STIP.

A non-metropolitan planning process is being developed as part of TnDOT's Strategic Plan for 1999-2000. The new planning process will be multi-modal and cover all aspects of planning. Under the prototype approach, a long-range needs assessment identifies, analyzes, and documents the existing multi-modal transportation network within each of the state's 9 development districts. Several transportation committees consisting of local citizens and public officials are invited to take an active role by offering their views and comments on anticipated needs and problem areas in the district. The existing transportation system and its functional characteristics form the basis for a plan for the development district.

The draft STIP is distributed to the state's 9 development districts for review and comment. The 9 district plans will provide the framework for a 20-year district plan

and a long-range plan for the state. As part of the TnDOT Strategic Plan, a plan for stakeholder involvement and improving planning coordination with other agencies will be formulated.

A recent state law establishes a comprehensive growth policy for Tennessee that has the objective of minimizing urban sprawl and closely matching the timing of development and the provision of public services.

Funds are distributed by TnDOT and the legislature on a project basis. A small portion of state transportation funds is distributed to counties. Funds for the STP and bridge programs are allocated at the state level. Transit funding decisions are based on an annual application process that includes public hearings.

Tennessee uses these practices:

- State Processes to Compile Transportation Needs: TnDOT conducts local studies to identify needs and develop cost information; transportation committees in different areas are requested to identify needs.
- State Hearing: The draft STIP is distributed to development districts for review and comment; public review and comment are requested through the media.
- State Policy-Making and Advisory Bodies: State Transportation Commission.
- Other Practices: TnDOT staff routinely consult with local officials and planning agencies.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Tennessee is the 34th largest state in land area, 17th largest in population, and 19th most densely populated. However, approximately 55 percent of Tennessee's population and jobs, and 95 percent of the land, is non-urban. About 82 percent of Tennessee's roads are rural. Federally owned lands amount to about 6 percent of the land in Tennessee.

Tennessee is a slowly growing state, as measured by population, and has moderate growth in employment. The portion of the state's jobs in the uniquely rural agriculture and mining sectors is small (3 and less than 1 percent, respectively). Most of the state's non-urban employment is in sectors also common in urban areas: manufacturing (31 percent), services and government (28 percent), business and trade (23 percent), and construction, transportation and utilities (14 percent).

Demographically, Tennessee's non-urban population is largely white (92 percent) and African-American (7 percent). Compared to the other states, the proportion of Tennessee's non-urban adult population who did not graduate from high school is the 2nd highest, and the proportion who did graduate from college is the 6th lowest. The 16

percent of Tennessee's non-urban population who are poor is greater than most other states. About 40 percent of the state's non-urban population is in non-working age groups (27 percent 18 years or younger, and 13 percent 65 years or older).

Governmentally, Tennessee has 93 counties, the 10th largest number among the states. The state has 343 municipalities, but no towns or townships. Tennessee ranks in the middle in terms of the number of sub-county governments (24th lowest). Tennessee does not have any recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 24 independent, special-purpose governments in Tennessee that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 23 for airports and 1 for water transport. Tennessee also has FTA funding for 11 public transit providers serving rural areas and 92 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

There are 9 regional councils within Tennessee that cover 100 percent of the state, and 9 MPOs. These regional units help to coordinate the other local governments and play a role in rural transportation programs.

Tennessee has a total of 85,144 miles of roads of which approximately 17 percent are state-controlled and less than 1 percent are federal. Of the total miles of non-federal rural roads, 16 percent are state, 78 percent are county, none are township, and 6 percent are municipal or other.

VIEWS OF LOCAL OFFICIALS

See following.

Tennessee County Services Association

Representing Tennessee's County Executives, County Highway Officials and County Commissioners since 1954

Bob Wormsley
Executive Director

226 Capitol Boulevard, Suite 700, Nashville, Tennessee 37219
Phone 615/532-3767 Fax: 615/532-3769
www.tncounties.org

Pat Mitchell
Executive Secretary

December 14, 2000

Mr. Bruce McDowell
National Academy of Public Administration
1120 "G" Street, NW
Suite 850
Washington, D.C. 20005

Dear Mr. McDowell:

This will respond to your request for our comments regarding the State Process for Consultation and Cooperation with Local Officials in Non-metropolitan Areas in Tennessee. Our response to the four (4) specific points you requested us to address will be in the order presented in your memorandum.

The summary for Tennessee is written in vague and general terms and is generally inaccurate, incomplete and non-specific. For example, the summary cites providing financial and technical assistance to local governments. TDOT may, in some limited instances such as industrial access roads, provide assistance on a request basis. However, on the major county government road and bridge programs, TDOT's technical and financial assistance is very limited and is paid for out of state-aid funds appropriated to counties annually by the Tennessee General Assembly.

Input to TDOT is so limited that it does not accommodate either local officials or the general public. Ordinarily, input from the general public is after-the-fact at public hearings.

To our knowledge, there is no organized effort outside the MPO's to receive input from local officials.

This organization is not aware of any formal documentation of the process described in the summary provided. We are aware of the fact that selected individual county officials may have input through the political process. However, as the officially recognized statewide organization representing the elected officials responsible for the construction and maintenance of the county road system in Tennessee's 95 counties, we have been excluded from the process.

TCSA feels that TDOT has not complied with the Congressional spirit and intent of TEA-21 with respect to providing more authority and enhanced consultation for non-metropolitan local officials to participate in the formulation of the Statewide Transportation Improvement Program.

We appreciate this opportunity to offer these comments on behalf of Tennessee's 95 county governments.

Sincerely,

Bob Wormsley

Bob Wormsley

BW:pm

TEXAS

CONSULTATION PROCESS SUMMARY

Rural transportation planning is conducted through the Texas Department of Transportation (TxDOT) engineering districts. The planning and programming system is decentralized for all projects except those on the National Highway System; these are prioritized statewide. The 25 district offices, along with rural counties/cities and transit providers, cover the full range of planning, including long-range planning, feasibility studies, TIP, and transit planning support. Preparing the 3-year STIP, the 10-year Unified Transportation Program, and a 3-year financial plan are the basic processes in developing projects for the inter-modal transportation network in Texas. There is also a 20-year long-range plan.

The district offices are in constant communication with county and local officials. Maintaining open and friendly relations with those officials has been and is a stated priority in the TxDOT Strategic Plan. Local elected officials may participate in rural transportation planning through involvement and collaboration with the TxDOT district engineers and the COGs. The Texas Administrative Code requires that district offices have a public involvement policy for development of the rural TIP; this policy must include public meetings, which local elected officials may attend. The STIP is made available for comment at the district level annually. Members of the Texas Transportation Commission visit district offices and meet with local officials. Additionally, local delegations can make appearances before the regularly scheduled Commission meetings to discuss problems. Also, the TXDOT Executive Director is accessible by mail, phone, e-mail or in person.

In those districts where tribal governments exist, the district offices ensure that they are included in planning. The district offices also include federal land management agencies as appropriate. Although the district offices are willing to discuss issues such as land management and economic development, TxDOT may not have any authority to affect those issues. (The MPO public involvement process requires MPOs to notify rural areas within the MPO borders as part of the TIP development process. TxDOT also presents the needs of those rural areas to the MPO.)

Rural transportation is funded with federal, state and local funds. The district offices are responsible for balancing rural and metropolitan needs for the various categories of funding. Local matching funds are required for various funding categories. There is a state program for economically disadvantaged counties under which the state pays a portion of the required local match. The State Infrastructure Bank has funds available for those rural counties/cities that wish to apply. Local elected officials have no independent discretion over any transportation funds, although they may assist in finding additional funding for projects.

Texas uses these practices:

- State Hearings: The TIP development process requires public meetings at the district level; the STIP is made available for public comment at the district level.
- State Processes for Interactive Exchanges of Views with Local Officials: Transportation Commission members visit district offices and meet with local officials.
- State Policy-Making and Advisory Bodies: Texas State Transportation Commission.
- Other Practices: The district offices have ongoing communication with local officials; the TxDot Executive Director is accessible by phone, e-mail, etc.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Texas is the 2nd largest state in land area, 2nd largest in population, and 28th most densely populated. Approximately 35 percent of Texas's population and jobs, and 98 percent of the land, is non-urban. Approximately 83 percent of its roads are rural. Federally owned lands amount to less than 1.5 percent of the state's land area.

Texas is a quickly growing state, as measured by population; however, the growth in employment is minimal. The portion of the state's jobs that are in the uniquely rural agricultural and mining sectors is small (6 and 3 percent, respectively). Most jobs in the state's rural areas are in sectors also common in urban areas: services and government (35 percent), business and trade (26 percent), manufacturing (15 percent), and construction, transportation and utilities (15 percent).

Demographically, the state's non-urban population is slightly more diverse than some states, with the majority being white (82 percent), followed by other (9 percent) and African-American (8 percent). Compared to the other states, the proportion of the non-urban adult population who did not graduate from high school is in the top quarter (12th highest), and the proportion that did graduate from college is in the middle (24th highest). The 19 percent of Texas's non-urban people who are poor ranks in the top quarter of states. About 44 percent of the state's non-urban population is in non-working age groups (31 percent 18 years or younger, and 13 percent 65 years or older).

Governmentally, Texas has 254 counties, the most of any state. Texas also has 1,205 incorporated cities, but no towns or townships. This is in the top quarter in terms of the number of sub-county governments among all states. Texas has 3 recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 29 independent, special-purpose governments in Texas that have transportation responsibilities. This number is

larger than in many other states. These special-purpose governments include 23 for water transport, 5 for transit utility, and 1 for airports. Texas also has FTA funding for 40 non-governmental public transit providers serving rural areas and 336 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

There are 24 regional councils in Texas that cover 100 percent of the state, and 25 MPOs. These regional units help to coordinate the large number of other local governments.

Texas has a total of 300,424 miles of roads of which approximately 26 percent are on the state system. This includes 6,421 miles of frontage roads. Of the total miles of non-federal roads (i.e. not interstate highways or United States numbered highways), 22 percent are state highways, 50 percent are county roads, and 27 percent are city streets. An additional 625 miles are off-system-non-county maintained roads and 149 miles are designated on the state system, but maintained locally.

VIEWS OF LOCAL OFFICIALS

See following.

THE TEXAS ASSOCIATION OF
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Bee County
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December 13, 2000

SUBJECT; Texas Practices - Consultation and Cooperation With Local Officials in Non-Metropolitan Areas

To make sure that this response reflects more than my own experiences with TXDOT, copies of the "Processes" were forwarded to seven members of our Board of Directors, who were asked to provide comments to me.

A result of these responses is that the description provided is quite accurate. I did not receive a negative response from any of the Board Members, who were, for the most part, quite positive. One minor criticism is that the rural project public hearings were generally held at only one location within the District. It is thought that greater public participation at these meetings would be obtained if they were conducted in each of the counties within the District.

Should you have any questions please contact me.

Sincerely,

RICHARD E. MACCHI P.E.
County Engineer

N.A.C.E. Texas State Director

Capital Area Planning Council
2512 IH 35 South, Suite 220
Austin, Texas 78704
512.443.7653 (fax) 512.443.7658

Betty Voights
Executive Director

January 3, 2001

Mr. Bruce McDowall
Project Director
National Academy of Public Administration
1120 G. Street, N.W. Suite 850
Washington, DC 20005

RE: Response to Summary of the Local Consultation Process for Texas

Dear Mr. McDowall:

The Texas Department of Transportation's Summary of Processes for Consultation with Local Officials was discussed by the Executive Board of the Capital Area Planning Council (CAPCO) on December 20, 2000, The Executive Board is composed entirely of elected officials from counties and cities in the 10-county region served by CAPCO.

The general consensus of these officials was:

TxDOT's process for coordinating with local elected officials has largely been reactive; the agency's district offices try to respond to requests from local officials to address existing transportation problems. The interaction between local officials and DOT representatives is predominantly on a case-by-case basis. TxDOT's summary clearly states that local elected officials may participate in the public involvement process or public meetings; there has been no indication that a process has been designed specifically for local officials.

Elected officials representing areas outside the MPO are frustrated by the lack of adequate planning assistance for their communities, and the lack of a voice in how TxDOT undertakes statewide planning. There is little effort made by TxDOT to proactively pursue input from local officials about future residential, commercial, and industrial development prior to developing their short or long-range plans. It is understood, however, that TxDOT's hesitancy to proactively plan transportation for tomorrow results from the lack of funds to address the problems of today.

Elected officials represented through CAPCO agreed that TxDOT's lack of planning with local officials may be shortsighted; communities could often prevent the development of conditions that TxDOT must later fix such as dangerous intersections, no turning lanes to support new retail centers, inappropriate egress, and so on. Please contact me if additional information is needed.

Sincerely,

Betty Voights
Executive Director

Bastrop • Blanco • Burnet • Caldwell • Fayette • Hays • Lee • Llano • Travis • Williamson Counties

BRAZOS TRANSIT DISTRICT
A Political Subdivision of the Great State of Texas

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Providing Rural & Urban Public Transportation to Texans in a 21 County Region

February 2, 2001

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Dear Mr. McDowell,

Please accept my apologies in the delay in getting the Texas response to you. Unfortunately, I did not receive the material until the 12th of January. Having reviewed the material and consulting with the Executive Director of the Texas Transit Association and Key transit leaders in Texas, I find the processes as described are accurate and complete.

The process, as is interpreted in the rural communities of Texas, is designed for public officials with appropriate opportunities for public participation in both the planning and comment phases. Input from all stakeholders is important in both the short and long range planning phases. Participation by local officials ranges from extremely active to passive dependent upon various factors. Road and bridge projects have active participation by virtually all-public officials while the participation of local officials in the projects is varied. Such participation is dependent upon the activity of the rural transit provider and their continuous contact with the stakeholders of that community. The documentation process is formally documented during all phases as a normal course of business. TX Dot has mandated and implemented outstanding participatory process where all interested parties can comment in a formal setting that is clearly documented.

In closing, overall the Processes For Consultation and Cooperation with Local Officials in Non-Metropolitan Areas has be an open consistent and participatory process that actively involves all stakeholders.

Kindest regards,

Lyle M. Nelson – Assistant General Manager
CTAA State Delegate - Texas

Serving Central & East Texas Since 1974

UTAH

CONSULTATION PROCESS SUMMARY

The Utah Department of Transportation (UDOT) has 4 regions, which conduct much of the rural transportation planning. The Statewide Transportation Planning Process provides a coordinated, multi-modal plan for improvement to, and improvement strategies for, the State's Transportation System. It uses data collected from a series of management systems (e.g. pavement management and bridge management), various studies, and several sources of public input. The STIP includes highway and transit projects and is designed to implement the Long Range Highway and Transit Plans. It also is designed to meet short-range needs and provide for the preservation of existing systems within the state.

In the early stages of planning, input is obtained through several types of public meetings. The UDOT Local Governments Project Engineer meets yearly with UDOT regional staff and officials from each county and local government to discuss funding programs available and current project status. These workshops have been held at the county level. Regional staff hold a series of public workshops to help set STIP priorities at which they get comments from many groups, including public officials. The workshops are a combination of meetings held at the regional offices and additional meetings held in the more remote areas of the state. Also local officials are among those invited to 12 public open houses held annually by the UDOT Statewide Planning staff. At each of these meetings local officials and others can discuss long-range transportation needs and issues, and have an opportunity to comment on the draft STIP. These open houses are held at rotating locations such that every county is visited at least every 3 years. UDOT recently completed an evaluation of its planning process and will be implementing changes aimed at strengthening planning and increasing regional and local input. Implementation studies have begun. It is expected that some changes will be phased in and that full implementation plans will be in place by February 2002.

The Utah Transportation Commission meets annually with UDOT central and regional staff to review existing highway conditions and to assign funding levels to various elements of the system, such as pavement preservation, traffic operations, and congestion mitigation. Following this guidance, the regional staffs set priorities for the regions based on input from the various public meetings as well as on information obtained through ongoing dialogue with local officials at the regional and district levels. UDOT then drafts the STIP and submits it for approval by the Transportation Commission. The draft STIP is advertised as available for public comment for about 30 days; open houses are also held to discuss the draft. Finally, the Transportation Commission considers the comments, makes revisions as necessary, approves the final

STIP, and forwards it to the U.S. DOT. The regional offices hold project-specific open houses once the project concept has been developed to that point.

Local officials can participate in any of the public meetings; they are invited to all and are specifically targeted for some. Local officials also have access to the Transportation Commission members, both individually and at the monthly commission meetings—several of these are held at locations throughout the state each year and to the state legislature. Additionally, UDOT, in cooperation with local government officials represented by the Joint Highway Committee (JHC), has developed a policy and procedure to implement a long-range planning process through which needs are identified and prioritized in local rural and small urban areas. The JHC has 30 members selected jointly by the Association of Counties and the League of Cities and Towns. Federal STP funds used in non-urban areas are programmed by the JHC acting as an advisory committee to the Transportation Commission. (Local officials from developing areas within MPO boundaries serve on the MPO transportation coordinating committees and have technical representatives on the technical advisory committees.)

The STIP includes projects on tribal and federal lands. Special effort is made to contact and invite Native American government representatives to the scheduled open houses, workshops and planning meetings. UDOT staff attend the annual Native American Transportation meetings and the Engineer for Statewide Planning is a member of the State Native American Coordinating Board which meets quarterly. Also, UDOT staff meet periodically with representatives of federal land management agencies to coordinate projects and applications for federal funds; these agencies are also invited to attend the various public meetings and open-houses. UDOT has initiated coordination meetings with the U.S. Park Service; this is being expanded to other federal land management agencies. More generally, issues such as land management and economic development are discussed during the planning process, but these issues are locally controlled and the state does not have any jurisdiction over them.

The UDOT Transit Team participates in transit feasibility studies for the federally funded state planning and research program. These studies may result in project development and tie to the statewide plan. Municipalities, counties, associations of government (AOGs), and other interested groups are involved. Selection of other federally funded projects also includes AOGs in the selection and evaluation process.

Rural transportation is funded with federal, state and local funds. The Transportation Commission is responsible for programming state and most federal funds. Twenty-five percent of the state transportation fund goes directly to cities, towns and counties based upon a set formula. Local funds are available for transportation through property taxes or other local taxes. UDOT is conducting a pilot program to allow local authorities to exchange federal funds that are programmed for a local project for state construction funds. Transportation enhancement funding is available by application through a

citizen advisory committee that advises the Transportation Commission on project selection.

Utah uses these practices:

- State Consultation Tours: The Local Governments Projects Engineer meets annually with each county and local government to discuss available funding and project status.
- State Hearings: The draft STIP is made available for comment at public meetings.
- State Processes for Interactive Exchanges of Views with Local Officials: Various workshops and open houses are held around the state by central and regional staffs.
- Allocation of Transportation Funds and Responsibilities: Twenty-five percent of state transportation funds go directly to cities, towns, and counties.
- State Policy-Making and Advisory Bodies: The JHC membership represents non-urban areas and makes recommendations on programming for transportation funds in non-urban areas as well as having a role in long-range planning. Utah Transportation Commission.
- Other Practices: UDOT regional staff maintain a continuing dialogue with local officials; local officials have direct access to members of the Transportation Commission and to the state legislature; UDOT staff attend the Native American Transportation meetings and the State Native American Coordinating Board meetings.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Utah is the 11th largest state in land area, 34th largest in population, and 10th least densely populated. Approximately 28 percent of Utah's population and jobs, and 99 percent of the land, is non-urban. About 87 percent of Utah's roads are rural. Federally owned lands amount to over 64 percent of the state's land area.

Utah is a quickly growing state, as measured by population, but has minimal growth in employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small (6 and 3 percent, respectively). Most jobs in Utah's rural areas are in sectors also common in urban areas: construction, transportation and utilities (14 percent); manufacturing (15 percent); business and trade (24 percent); and services and government (38 percent).

Demographically, Utah's non-urban population is predominately white (95 percent). Compared to other states, the proportion of Utah's non-urban adult population who did not graduate from high school is low (2nd lowest), and the proportion that did graduate from college is the 17th highest. The 12 percent of Utah's non-urban people who are poor is in the middle (25th highest). Utah has the highest percentage of non-urban

population 18 years of age or under but second lowest percentage 65 years of age or over (41 and 10 percent, respectively).

Governmentally, Utah has 29 counties, a fairly manageable number compared to many other states. Utah has 230 municipalities, but no towns or townships, giving it the 12th lowest number of sub-county governments among the states. Utah also has 7 recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 16 independent, special-purpose governments in Utah that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 15 for highways and 1 for transit. Utah also has FTA funding for 3 public transit providers serving rural areas and 18 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Utah has 8 regional councils that cover approximately 100 percent of the state and 2 MPOs. These regional units help to coordinate the large number of other local governments.

Of Utah's 43,270 miles of roads, approximately 13 percent are state-controlled, while 22 percent are federal. Of the total miles of non-federal rural roads, 17 percent are state, 74 percent are county, and 9 percent are municipal and other. There are no townships in the state.

VIEWS OF LOCAL OFFICIALS

See following.

MOUNTAINLAND
ASSOCIATION OF GOVERNMENTS
Serving Summit, Utah and Wasatch Cities & Counties

February 16, 2001

Mr. Bruce McDowell
National Academy of Public Administration
1120 G. Street, NW Suite 850
Washington, D.C. 20005

Dear Mr. McDowell:

This letter is in response to your request for information regarding "Utah's consultation process for rural local officials."

Mountainland is a three-county Association of Governments (AOG), one urban county, which is designated as an MPO, and two rural counties that are covered by the process in question. The Mayors and Commissioners from the three counties constitute our Board of Directors and they have an opportunity to observe the differences of how decisions are made in the urban county versus the rural counties.

The contacts the elected officials see are as follows:

1. State Consultation Tours – In the rural counties, the UDOT Local Governments Projects Engineer meets annually with the cities and counties. In the urban county, this contact is at least monthly.

2. State Hearings – In rural counties the draft STIP is made available for comment at public hearings. In the urban county the MPO is granted concurrent approval authority of the STIP.

3. State Process for Interactive Exchange of Views with Local Officials – In rural counties an open house is held within any given county every three years. In the urban county, the MPO and UDOT cosponsor a similar open house, including all of the cities, every year.

4. Allocation of Transportation Funds and Responsibilities – Reference is made to 25% of state transportation funds going directly to cities, towns and counties. This is the local share of the state gasoline tax. These are the only dollars that rural cities and counties control. In the urban county, federal dollars (STP, PL, CMAQ) are also directly controlled by local elected officials.

5. State Policy Making and Advisory Bodies – Utah has 236 cities and towns, and 29 counties. The Joint Highway Commission includes 15 city and 15 county representatives, some of which are elected officials. The other 235 local jurisdictions are not represented in any way. In the urban county every city is represented as well as the county.

6. Other Practices – In rural areas, UDOT region staff tries to maintain contact with communities where specific projects are involved. In the urban county the communities have a monthly forum, through the MPO, for dialogue with the UDOT region.

The contrasts identified above make the elected officials from the rural counties ask why they can't have the same type of involvement in the decision making process that the urban county officials enjoy. Other states have adopted the RPO concept for rural official involvement as a means of narrowing the gap. The local elected officials of Mountainland Association of Governments wholeheartedly support the RPO concept.

Sincerely,

Darrell L. Cook
Executive Director

VERMONT

CONSULTATION PROCESS SUMMARY

In 1992, the state developed a consultative planning process, the Vermont Transportation Planning Initiative, for its non-metropolitan areas; —there is only 1 county designated as a metropolitan planning area. One goal of the initiative was to provide a direct connection for local officials to transportation planning. The process centers on the state's 11 regional planning commissions, which receive annual grants of state planning and research funds from the Vermont Agency of Transportation (VTrans).

Regional commission responsibilities include organizing regional transportation advisory committees (TACs), composed of community officials, public transportation providers, interest groups, and individual citizens. The commissions conduct special transportation studies, prepare regional long-range plans, and identify and prioritize proposed projects. They also facilitate (1) communication between the state and communities, and (2) public participation in planning.

Local elected officials participate in transportation planning through participation in the regional TACs. Involvement by local officials is voluntary; regional commission input to VTrans is advisory. VTrans also depends upon local elected officials to make the STIP available for review and comment at publicly held meetings, where local officials can represent community interests directly related to the STIP. (Rural officials in the developing portions of the MPO area have membership in the MPO.)

Because the regional planning commissions—originally established for economic development and land use planning—are central to the process, transportation planning is closely tied to other issues, including land use planning and economic development. Federal land management agencies are also included.

Rural transportation is supported primarily by federal and state funds, with some local funds.

Vermont uses these practices:

- State Processes to Compile Transportation Needs: Regional planning commissions develop plans that are advisory to VTrans.
- Roles of RPOs: Regional planning commissions serve some of the functions of RPOs.
- Other Practices: Local elected officials make the STIP available for review and comment at publicly held meetings.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Vermont is the 8th smallest state in land area, 2nd smallest in population, and 30th most densely populated. Approximately 84 percent of Vermont's population and jobs, and 98 percent of the land, is non-urban. About 93 percent of its roads are rural. Federally owned lands amount to roughly 7 percent of the state's land area.

Vermont is a slowly growing state, as measured by population, with a significantly growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small (5 and less than 1 percent, respectively). Most jobs in Vermont's rural areas are in sectors also common in urban areas: construction, transportation and utilities (14 percent); manufacturing (16 percent); business and trade (26 percent); and services and government (39 percent).

Demographically, Vermont's non-urban population is predominately white (99 percent). The proportion of Vermont's non-urban adult population who did not graduate from high school is in the bottom quarter (12th lowest), and the proportion that did graduate from college is near the middle (19th highest). The 9 percent of Vermont's non-urban population who are poor is less than in most other states. About 40 percent of the state's non-urban population is in non-working age groups (28 percent 18 years or younger, and 12 percent 65 years or older).

Governmentally, Vermont has 14 counties, a fairly manageable number compared to many other states. The state also has 49 municipalities and 237 towns or townships, for a total of 286 sub-county divisions. It ranks about in the middle in terms of the number of sub-county governments compared to other states. Vermont does not have any federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 2 independent, special-purpose governments in Vermont that have transportation (transit) responsibilities. This number is significantly lower than in most other states. Vermont also has FTA funding for 12 public transit providers serving rural areas and 18 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Vermont has 13 regional councils that cover approximately 100 percent of the state, and 1 MPO. These regional units help to coordinate the other local governments and play a direct role in rural transportation programs.

Of Vermont's 14,145 miles of roads, approximately 20 percent are state-controlled, while less than 1 percent are federal. Of the total miles of non-federal rural roads, 19

percent are state, none are county, 78 percent are township, and 3 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

No responses received.

VIRGINIA

CONSULTATION PROCESS SUMMARY

Most rural transportation planning is done at the state level with input from localities and the state's regional planning districts. In addition to state-led activities, localities and planning districts also initiate planning efforts. Many regional planning district commissions (PDCs) have policy and technical committees for transportation; representatives of state transportation agencies usually serve on those committees. Also, many of the 98 counties have their own planning departments.

The Virginia Department of Transportation (VDOT) contracts with 20 of the state's regional PDCs to assist with rural transportation planning. VDOT allocates federal transportation planning funds to the rural districts (the district must provide matching funds), and districts may compete for additional transportation planning funds under a rural planning grant program. Rural PDCs each receive the same amount of funding, regardless of population, vehicle miles traveled or any other factor. Under VDOT contract, regional PDCs may be responsible for, among other things, serving as liaison with local governments, advising local elected and appointed officials on transportation program options, assisting local governments with specific program proposals, or reviewing citizen and local government comments on transportation issues. They also initiate and conduct their own planning studies. The PDCs are required to prepare a scope of work, to reflect the needs of the local officials, that must be approved by VDOT. (Jurisdictions partially within and partially outside an MPO area are provided full membership on the MPO policy and technical committees. For developing jurisdictions not currently part of an MPO, formal representation is not provided until inclusion in the MPO process becomes a reality.)

The state's transportation planning process is multi-modal. VDOT develops the highway element of the 20-year Statewide Transportation Plan. In addition there is a statewide airport plan and a statewide port improvement plan. Federal land management agencies that have a significant presence in an area are involved in the consultative process. Land use and related economic development issues, as well as many others, are being given increased emphasis in planning.

Virginia's Statewide Transportation Plan is under development. The public involvement process for Virginia's Statewide Multimodal Transportation Policy Plan Update will be an intensive effort. VDOT will be closely coordinating the development of the Plan Update and its public review by Virginia's MPOs, PDCs, and VDOT district offices. Each of the organizations will be surveyed for its committee setup to allow additional opportunities for plan review. Such committees may include Elderly and Disabled Committees, Rural Planning Committees and Citizen Advisory Committees. Input will also be received via the VDOT Internet web site. In addition, minority and low

income areas will be targeted for public input. VDOT is in the process of developing a public involvement process for elected officials in non-MPO areas that may be applied statewide.

The state constructs and maintains most of the roads in Virginia, except those in independent cities and on towns with populations exceeding 3,500. For rural primary and interstate routes and roadway improvements in small cities and towns, state law requires public input on the selection of improvements through pre-allocation and allocation public hearings. The Commonwealth Transportation Board (CTB) holds public hearings concerning prioritization of needs; the CTB then decides on the prioritization and those projects are put into the Virginia Transportation Development Plan (VDTP), formerly called the 6-year improvement program—and 3-year STIP—as funding permits. Also, VDOT sponsors studies of small cities and towns that maintain their own street systems. These small urban area studies are multi-modal and involve local officials and citizens in the development of recommendations. Those recommendations can be selected for inclusion in VDOT's VDTP and STIP. In most MPOs throughout Virginia, the planning district's staff act as staff for the MPO. These PDCs are directly involved in developing their TIP, which is incorporated into the STIP. PDCs that are not included in MPOs do not have this level of involvement. They have the opportunity to comment on the STIP at the annual pre-allocation hearings or the financial planning and programming meeting.

For secondary roads, however, state law requires that local county boards of supervisors select improvement projects, which are implemented by VDOT. Each county holds at least 1 public hearing annually for input into secondary road project selection. The county board prioritizes the needs with the assistance of the VDOT resident engineer; the projects are established and included in each county's secondary roadway 6-year improvement program as funding permits. The Statewide Secondary 6-year Improvement Plan is formed by combining the secondary roadway 6-year plan from all the counties.

Applicants for federal transit program funds are required to notify and solicit comments from the region's PDC as part of the application process conducted by the Virginia Department of Rail and Public Transportation (VDRPT). VDRPT works directly with local governments in promoting, establishing, and expanding public transportation at the local area level.

Rural transportation planning and improvements are funded through federal and state programs. Funds are distributed within the state through a variety of competitive and formula grants. Formula distributions for highway construction funds are based on factors such as lane miles, vehicle miles traveled, and need factors. Public transit is also funded by both federal and state funds.

Virginia uses these practices:

- State Hearings: The Commonwealth Transportation Board holds hearings annually; the counties hold hearings on projects prioritized at that level.
- Roles of RPOs: The regional PDCs are actively involved in transportation planning and serve some of the functions of RPOs for transportation planning.
- Allocation of Transportation Funds and Responsibilities: For secondary roads, local county boards of supervisors select improvement projects implemented by VDOT.
- State Policy-Making and Advisory Bodies: Commonwealth Transportation Board.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Virginia is the 34th largest state in land area, 15th largest in population and 15th most densely populated. However, approximately 38 percent of Virginia's population and jobs, and 93 percent of the land, is non-urban. About 85 percent of Virginia's roads are rural. Federally owned lands amount to approximately 12 percent of the land in the state.

Virginia is a moderately growing state, as measured by population, and has moderate growth in employment. The portion of the state's jobs that are in the uniquely agriculture and mining sectors is small (4 and 1 percent, respectively). Most jobs in Virginia's rural areas are in sectors also common in urban areas: construction, transportation and utilities (15 percent); manufacturing (23 percent); business and trade (23 percent); and services and government (33 percent).

Demographically, Virginia's non-urban population is largely white (84 percent) and African-American (15 percent). Although the proportion of Virginia's non-urban adult population who did not graduate from high school is the 8th highest among the states, the proportion who did graduate from college is the 14th highest. The 12 percent of Virginia's non-urban population who are poor ranks about in the middle compared to other states. About 39 percent of the state's non-urban population is in non-working age groups (26 percent 18 years or younger and 13 percent 65 years or older).

Governmentally, Virginia is fairly complex with 95 counties. The state also has 231 municipalities, and about 180 towns. It ranks about in the middle among states in terms of the number of sub-county governments. Virginia does not have any recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 33 independent, special-purpose governments in Virginia that have transportation responsibilities. This number is near the middle compared to other states. These special-purpose governments include 3 for highways, 24 for airports, and 6 for transit. Virginia also has FTA funding for 17 public transit providers serving rural areas and 27 organizations that

provide specialized transit services to elderly and disabled populations in those same areas.

Virginia has 21 regional councils that cover 100 percent of the state and 11 MPOs. These regional units help to coordinate the large number of other local governments and play a direct role in rural transportation programs.

Of Virginia's 68,429 miles of roads, approximately 82 percent are state-controlled, while less than 3 percent are federal. Of the total miles of non-federal rural roads, 99 percent are state, less than 1 percent are county, none are township, and 1 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

See following.

Roanoke Valley Alleghany Regional Commission

Serving Alleghany County, Botetourt County, Clifton Forge, Covington, Craig County, Roanoke City, Roanoke County, Salem, and the Town of Vinton

313 Luck Avenue, SW / P.O. Box 2569 / Roanoke, Virginia 24010

Phone: 540 343.4417 / Fax: 540 343.4416

E mail: planfive@roanoke.infi.net / www.roanoke.infi.net/~planfive

December 29, 2000

Aliceann Wohlbruck, Executive Director
National Association of Development Organizations
400 North Capital Street, NW, Suite 390
Washington, DC 20001

Dear Ms. Wohlbruck:

In response to your November 29, 2000 letter regarding a review of the summary of Virginia's process for consultation and cooperation with local officials in non-metropolitan areas, I offer the following:

1. In terms of accuracy and completeness, some points need to be made about this summary.
   - This summary primarily describes VDOT's consultation and cooperation process; it fails to mention the other state transportation agencies and what their consultation and cooperation processes are. To help clarify this statement, readers of this summary need to know that VDOT is essentially a highway department; there are other agencies within the state that look at other modes of transportation.
   - The summary states that Virginia's transportation planning process is multi-modal. A multi-modal planning process is one in which all modes are evaluated in developing an integrated transportation plan. The different state transportation agencies develop their own plans with very little, if any, consultation with other state transportation planning agencies. VDOT's Planning Division is in the process of developing a statewide transportation policy plan as prescribed by ISTEA and then TEA-21; however, I do not know if this will be a truly multi-modal (integrated) effort or just a VDOT plan.

2. First of all, there is not one single process to speak of in Virginia. Each state transportation agency has its own consultation and cooperation process, as does each Planning District Commission. Some of these processes were established solely for the purpose of engaging local elected officials (eg.: secondary road improvement program), whereas others are more of a general public involvement process.

3. Because of the confusing configuration of VDOT and the other transportation agencies in Virginia very few of the local elected officials that we deal with understand the transportation planning/programming process. This leads to decreased relevant consultation and cooperation among the states transportation agencies, PDC's, and local governments.

4. To my understating, there is not a formally documented consultation and cooperative process in Virginia.

Sincerely,

Michael W. Gray

Michael W. Gray
Chief of Transportation

VIRGINIA ASSOCIATION OF COUNTIES

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Executive Director
James D. Campbell, CAE

General Counsel
C. Flippo Hicks

January 19, 2001

Mr. Marty Ditmeyer
National Academy of Public Administration
1120 G Street, NW
Suite 850
Washington, D.C. 20005

Dear Mr. Ditmeyer:

The Virginia Association of Counties has reviewed the summary describing the processes for consultation and cooperation between VDOT and officials in non-metropolitan areas of Virginia.

The only error we could identify in this summary relates to the number of counties in Virginia. The summary states there are ninety-eight counties, while there are actually ninety-five. Other than that one error we believe the information in the summary is accurate.

Please feel free to contact me at 804/343-2504 to discuss this matter with me further. You may also email me at Lland@vaco.org.

Sincerely,

Larry Land, CAE
Director of
Policy Development

Cc: James D. Campbell, CAE

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WASHINGTON

CONSULTATION PROCESS SUMMARY

The Washington State Department of Transportation (WSDOT) has developed a comprehensive, multi-modal transportation planning process in which voluntary Regional Transportation Planning Organizations (RTPOs) play lead roles. RTPOs receive state funding for planning, and provide a forum, similar to an MPO, for discussion of transportation issues in consultation with WSDOT and other agencies. RTPOs consist of member counties, cities and other transportation stakeholders. Each RTPO has a policy board consisting of local elected officials, administrators, major employers, and transit agencies; some have agricultural interests and school board official involved. There are 14 RTPOs; only 1 county in the state does not participate in the RTPO process.

Under the state's new Program for Agency Coordinated Transportation, planning follows a 2-tiered process. At the state level, the Agency Council on Coordinated Transportation (ACCT) is a forum for guiding development of coordinated transportation services and for resolving identified barriers. This statewide council includes state agencies, service providers and consumers. It develops guidelines for local planning and establishes minimum standards for safety, training, vehicles, and technology. At the local level, counties convene stakeholder forums—in which the RTPOs participate—to obtain input for preparing local plans for coordinated transportation systems. ACCT will provide funds for the local planning efforts; implementation will be phased in over 8 years.

The consultative process, through the RTPOs, is multi-modal and covers issues beyond transportation. Transportation planning, both long-range and short-term, cover all modes, including air, marine, transit, rail, non-motorized modes and highways. Economic development, a key issue in rural areas, and land use, a concern in the more developed rural areas, are open topics for discussion at all RTPO meetings. Washington State's Growth Management Act requires the coordination of transportation and land use. Tribal governments are encouraged to become members of RTPOs; so far 75 percent of tribes have participated in the RTPO process. Federal land management agencies are included in the consultation process during project programming.

WSDOT is updated of the statewide long-range transportation plan (WTP). RTPOs and MPOs are playing a major role in this process, which is being led by the Washington State Transportation Commission (WSTC). The first step was a customer satisfaction survey of state residents. Also, WSTC members have been meeting with the RTPOs and MPOs at least annually. Likewise, WSDOT has undertaken a major consultative effort with all of the RTPOs and MPOs and other stakeholders, including, among

others, tribal governments, and state and local transportation agencies. Meetings were held to determine the needs of elected officials and other stakeholders in an effort to balance statewide, regional, and local issues. The 20-year WTP is published for review and comment, and then is adopted by the transportation commission.

Under state law, most cities and counties are required to develop comprehensive plans. The RTPOs may establish planning guidelines for the transportation element of those local plans. Cities and counties must have 6-year TIPs, which are submitted to the RTPO. State law requires each RTPO to develop a regional TIP, similar to the process for MPOs. Where an RTPO includes a metropolitan planning area, the organization must be the same for both to assure all issues are coordinated and discussed by RTPO and MPO members. (RTPOs assemble a prioritized list of federally funded and regionally significant projects from the local TIPs. WSDOT compiles the 3-year statewide TIP (STIP) from the regional TIPs and distributes it to each of the 6 WSDOT regions for public comment.)

Rural transportation is supported by federal, state and local funds. Federal funds are distributed to regions. Most state funds, from a variety of sources and programs, are distributed by 2 organizations, the County Road Administration Board and the Transportation Improvement Board. In addition to programs administered through grants, almost half of the gas tax revenues are distributed directly back to cities and counties for roadway programs. Counties, cities, and transit agencies also receive a share of the state motor vehicle excise tax revenues. Counties and cities can also pass a variety of local option taxes to fund transportation projects.

Washington uses these practices:

- State Processes to Compile Transportation Needs: The RTPOs develop prioritized TIPs.
- State Processes for Interactive Exchanges of Views with Local Officials: WSTC and WSDOT meet with RTPOs and other stakeholders.
- Roles of RPOs: RTPOs have responsibilities similar to MPOs.
- State Policy-Making and Advisory Bodies: WSTC, County Road Administration Board, and Transportation Improvement Board.
- Other Practices: Survey of residents as early step to revising the WTP.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Washington is the 20th largest state in land area, 15th largest in population, and 26th most densely populated. However, approximately 35 percent of Washington's population and jobs, and 98 percent of the land, is non-urban. About 84 percent of Washington's

roads are rural. Federally owned lands amount to over 26 percent of the state's land area.

Washington is a moderately growing state, as measured by population, with a slowly growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is moderate to small (8 and less than 1 percent, respectively). Most jobs in Washington's rural areas are in sectors also common in urban areas: construction, transportation and utilities (14 percent); manufacturing (16 percent); business and trade (26 percent); and services and government (35 percent).

Demographically, Washington's non-urban population is predominately white (91 percent). The proportion of Washington's non-urban adult population who did not graduate from high school is in the bottom quarter (9th lowest) compared to all states, and the proportion who did graduate from college is in the top quarter (11th highest). The 12 percent of Washington's non-urban population who are poor ranks in the middle compared with other states. About 42 percent of the state's non-urban population is in non-working age groups (30 percent 18 years or younger, and 12 percent 65 years or older).

Governmentally, Washington has 39 counties, a fairly manageable number compared to many other states. The state also has 275 municipalities, but no towns or townships. This is the 20th lowest number of sub-county governments among the states. Washington also has 27 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 53 independent, special-purpose governments in Washington that have transportation responsibilities. This number is about average when compared to the other states. These special-purpose governments include 1 for highways, 5 for airports, 34 for water transport and 13 for transit. Washington also has FTA funding for 13 public transit providers serving rural areas and 13 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Washington has 14 Regional Transportation Planning Organizations, covering 38 of the 39 counties. In addition, Washington has 14 regional councils and 8 MPOs. These regional units help to coordinate the other local governments and play a direct role in rural transportation programs.

Of Washington's 79,413 miles of roads, approximately 24 percent are state-controlled, while 9 percent are federal. Of the total miles of non-federal rural roads, 11 percent are state, 64 percent are county, none are township, and 25 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

See following.

Benton-Franklin Council Of Governments

1622 Terminal Drive
Phone: (509) 943-9185

P.O. Box 217
FAX: (509) 943-6756

Richland, WA 99352
E-Mail: bfrc@3-cities.com

December 19, 2000

Mr. Bruce McDowell
National Academy of Public Administration
1120 G Street, NW, Suite 850
Washington, DC 20005

Re: Review of Summary of State Process for Consultation and Cooperation with Local Officials in Non-Metropolitan Areas

1) WSDOT's summary of the RTPO process in Washington is pretty accurate. The only item no longer true is the comment on the state motor vehicle excise tax (MVET) revenues. The MVET was repealed by initiative in 1999. Although it has since been found unconstitutional and thrown out, the state legislature repealed it in response to taxpayer wishes.

2) Our understanding is that the process was developed to benefit both elected officials and the general public; however, it is more useful to the elected officials.

3) At the onset, the experience of local officials was extremely limited. It has been an ongoing process on the part of RTPO staff to education those officials. They are becoming quite savvy in their understanding of the process and the problems.

4) The process in Washington State is documented as part of the Growth Management Act. Rural counties had the option of fulfilling the requirements or opting out of the planning process. Most counties have opted in. Detailed guidelines and manuals are available from the state to guide the process.

Sincerely,

Gwen Rasmussen
Executive Director

WEST VIRGINIA

CONSULTATION PROCESS SUMMARY

The West Virginia Department of Transportation (WVDOT) is responsible for all public highway mileage in the state, except that in some municipalities, and also oversees transit planning. WVDOT prepares the STIP.

Although local officials have no responsibility for transportation, WVDOT maintains an ongoing consultative process. The usual means of interacting with the public is the informal public workshop or meeting. Hearings are much more formal and are held when specifically requested or when required by law or policy. They might typically occur once or twice in the development of a major project or regional study. As funding allows, WVDOT staff work with selected counties and groups of counties on their transportation plans. Additionally, WVDOT and the West Virginia Development Office have, in the recent past, sponsored Transportation/Economic Development Summits, covering all regions of the state. All rural officials are invited to these summits and comments are considered during the development of the Statewide Transportation Policy Plan, the STIP, and other policy and program documents. Public review of the STIP is accomplished with the assistance of the Regional Planning and Development Councils, which make it available to the public and other parties for comments.

The consultation process covers all modes of transportation, and also includes federal land management agencies, as appropriate. Input from local officials, and from the general public and other transportation stakeholders, is also considered during the planning and development of all WVDOT projects.

WVDOT's Division of Public Transit publishes a planning notification, which notifies local officials, private and public transportation providers, and possible new applicants about the opportunity to comment on the development of local transportation plans and programs. Applicants for grants must also provide notice and allow comment on their applications. Applications also undergo review by either the Local Intergovernmental Council (Regional Planning and Development Councils) or the MPO. Both organizations consist of local elected officials or their appointees.

Rural transportation is funded through federal and state funds. Rural transit is funded primarily with federal funds, with local matches (sometimes funded by the state) where required.

West Virginia uses these practices:

- State Processes to Compile Transportation Needs: State Highway Districts develop local priorities and forward them to central office for consideration and further handling.
- State Hearings: Hearings are held when specifically requested or when required by law or policy. In transit and highway planning, the public is provided notice of opportunity to comment concerning the development of local transportation plans and programs. Transit applicants must provide opportunity for public comment.
- State Processes for Interactive Exchanges of Views with Local Officials: A variety of meetings and workshops are held in the ongoing consultative process.
- Other Practices: The Local Intergovernmental Council reviews applications for transit funds. The Secretary of Transportation accompanies the Governor on tours throughout the State to hear directly about local needs. A multitude of meetings with local groups and authorities are held on a scheduled basis, and on a requested or as needed basis.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

West Virginia is the 10th smallest state in land area, 17th smallest in population, and 29th most densely populated. Approximately 81 percent of West Virginia's population and jobs, and 99 percent of the land, is non-urban. About 96 percent of West Virginia's roads are rural. Federally owned lands amount to just over 7 percent of the state's land area.

West Virginia is a slowly growing state, as measured by population, with a significantly growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is small to moderate (2 and 7 percent, respectively). Most jobs in West Virginia's rural areas are in sectors also common in urban areas: construction, transportation and utilities (16 percent); manufacturing (15percent); business and trade (25 percent); and services and government (36 percent).

Demographically, West Virginia's non-urban population is predominately white (97 percent). Compared to the other states, the proportion of West Virginia's non-urban adult population who did not graduate from high school is high (5th highest), and the proportion who did gradate from college is the lowest of any state. The 20 percent of West Virginia's non-urban people who are poor is greater than in all but 5 other states. About 42 percent of the state's non-urban population is in non-working age groups (27 percent 18 years or younger, and 14 percent 65 years or older).

Governmentally, West Virginia has 55 counties, a fairly manageable number compared to many other states. The state also has 232 municipalities, but no towns or townships.

West Virginia has the 15th lowest number of sub-county governments among all states. West Virginia does not have any federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 16 independent, special-purpose governments in West Virginia that have transportation responsibilities. This number is lower than in many other states. These special-purpose governments include 6 for airports and 10 for transit. West Virginia also has FTA funding for 10 public transit providers serving rural areas and 83 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

West Virginia has 11 regional councils that cover approximately 100 percent of the state, and 6 MPOs. These regional units help to coordinate the other local governments.

Of West Virginia's 34,919 miles of roads, approximately 91 percent are state-controlled, while less than 2 percent are federal. Of the total miles of non-federal rural roads, 98 percent are state, none are county or township, and 2 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

See following.

REGION 9
Serving Morgan, Berkeley and Jefferson Counties

EASTERN PANHANDLE REGIONAL
PLANNING AND DEVELOPMENT COUNCIL
121 West King St., Martinsburg, WV 25401
Phone 304-263-1743 • Fax 304-263-7156

December 15, 2000

To: Bruce McDowell, NAPA Project Director

FROM: Kenneth E. Green, Executive Director

SUBJECT: Review of Summary of State Process for Consultation and Cooperation with Local Officials in Non-metropolitan Areas

We have completed our review of the "Summary of West Virginia DOT's Process." Our response to the specific review items you requested is as follows:

1) The description of the process is accurate.
2) The design seems to be more for local officials, however there are some efforts to solicit (via advertisements) participation from the general public.
3) Local officials seem to be familiar with the process and use it when/if a project constitutes a local issue or "political opportunity."
4) We are relatively certain that such a document exists somewhere. We do not have a copy of the formal process, but we do have a copy of the policy plan and a flow chart.

WISCONSIN

CONSULTATION PROCESS SUMMARY

Transportation planning is conducted by the Wisconsin Department of Transportation (WisDOT) central and 8 district offices in conjunction with the state's 9 Regional Planning Commissions (RPCs) and local governments. Five RPCs also serve as MPOs. RPCs and MPOs serving areas with populations of 200,000 or less are advisory only. WisDOT prepares a long-range multi-modal plan, individual mode system plans, and a 6-year Highway Improvement Program, a 6-year Airport Program, and a 3-year STIP.

WisDOT provides technical and financial assistance to RPCs; this cooperative effort is designed to assist in RPC efforts to provide planning assistance on regional issues and possible assistance to local governments. WisDOT's partnerships with local officials also represent a long-established consultative process in both planning and programming. Recognizing the link between community and transportation development, enhancing local development goals has been 1 of the main focal points of the WisDOT local planning and investment partnerships. The partnerships involve several different stakeholder groups, such as local planning commissions, local officials, real estate developers, and lending institutions. This ongoing consultation is supplemented by multiple plan-specific processes. Additionally, local officials with responsibility for transportation may influence decisions through contact with their state legislators.

In 1994, WisDOT developed a 25-year long-range plan, Translinks21, which provided a broad framework for developing statewide system-level (modal) plans. Modal plans have been, or are being, developed for bicycle, pedestrian, highway, air, passenger and freight rail, local roads, and transit. The public involvement process used in these planning efforts includes 8 main components.

- Advisory groups provide a broad range of feedback to help guide the planning process. These groups consist of diverse stakeholders, including local officials responsible for transportation (such as Wisconsin's Town's Association), tribal governments, and environmental and business interests.
- WisDOT staff regularly attend stakeholder meetings, with groups such as chambers of commerce, RPCs, and tribal governments, to provide information and to obtain feedback.
- WisDOT staff hold informational meetings in the 8 WisDOT transportation districts to discuss transportation alternatives and obtain input to help clarify plan goals and key issues for the modal plans.

- Draft plans are submitted to the advisory group, stakeholders and, upon request, the public. Informational meetings, in every WisDOT transportation district, are held to obtain feedback and comments.
- Final plans are again made available for public comment. Final public hearings are held after the 30-day comment period.
- Legislative briefings are conducted to inform the state legislators of current planning efforts and obtain their feedback into the process.
- Listening sessions are conducted early in the process, within each transportation district, as part of the scoping process.
- Focus groups are conducted at various stages of the plan development process to ensure feedback is received from groups that are traditionally under-represented at public meetings.

In Wisconsin, all projects on local roads are selected based on local decisions. WisDOT administers the programs, and provides technical assistance to identify needs within communities. Project selection decisions by local communities are discussed at board meetings, council meetings, and budget hearings, all of which are open to the public and attended regularly by WisDOT staff. Thus, project requests are local decisions. Project selection, accomplished at the state level, is based on a statewide entitlement calculation which ensures that those localities which have not had projects recently (and have built up the highest entitlements) will be funded first.

Local projects for some transportation programs, such as the Statewide Multi-modal Program, are selected for funding at the state level after review and ranking of local applications. It is up to the locality to decide what projects to apply for; selection is made by a variety of state processes. Program selection for the Congestion Mitigation Air Quality program is done in part by the non-attainment area MPOs and in part at the state level.

Similarly, local communities and tribal governments can apply for funding under several transit programs. Again, WisDOT staff provide technical assistance to develop transit services, analyze potential costs and identify funding sources. But the selection of projects for which to apply is a local decision. For these transit programs, public involvement is conducted at the community level.

WisDOT also prepares a 6-year state Highway Improvement Program, a schedule of proposed projects for the State Trunk Highway System. Project selection is based on a comprehensive process of identifying, ranking and applying funding to meet the needs of the system. Again, public involvement takes many forms. To identify local community needs and priorities, WisDOT staff attend local town meetings and hold formal meetings with local officials responsible for transportation, primarily county highway commissioners. The major focus of these meetings is to present the draft 6-year program and elicit feedback. Staff also make themselves available to all

stakeholders throughout the year to discuss issues and priorities. WisDOT staff also hold public meetings to obtain input on the draft program.

The STIP is updated annually and generally includes local and state projects funded in part with federal dollars that are scheduled over a 3 year period. Selection of state and local highway and transit projects to be included in the STIP is based primarily on planning and prioritization by WisDOT, MPOs, RPCs, and local governments. Projects are included from the 6-year Highway Improvement Program, local highway and bridge improvement programs, transit programs, and other programs, such as the Congestion Mitigation Air Quality Program. Federal land management agencies also provide lists of projects that are included in the STIP. Selection of state projects for the plan results from requests from local officials and through needs identified and evaluated through the process for developing the 6-year program, and the long-range plans. In contrast, for local projects, local governments propose projects based on their transportation priorities which then are included in the STIP depending on funding availability. WisDOT staff assist local units of government developing requests for funding for local highway and transit projects.

The STIP development process includes additional public involvement opportunities. These include: a 30-day written comment period on the plan, and ongoing local government hearings on transit and highway projects. Hearings on the overall STIP are held, if requested.

Rural transportation is supported by federal, state, and local funds. State and federal funds are distributed to localities by competitive grants or by a statewide entitlement calculation. Transit programs are distributed primarily by formula. For the 6-year Highway Improvement Program, WisDOT establishes program guidelines that set the dollar level and number of state highway miles to be improved in each of its 8 districts. The state also provides economic assistance grants aimed at creating more economic development in rural areas through the Transportation Economic Assistance grant program.

Wisconsin uses these practices:

- State Processes to Compile Transportation Needs: To identify local community needs, WisDOT staff attend local town meetings, contact county highway commissioners, and hold public meetings.
- State Hearings: Local government hearings on transit and highway projects in the STIP; hearings on the overall STIP, if requested; opportunity to submit written comments on the long-range plan and the STIP.
- State Processes for Interactive Exchanges of Views with Local Officials: WisDOT staff hold focus groups, listening sessions, and informational meetings during each stage in developing each long-range plan. WisDOT staff meet with local officials

responsible for transportation decisions, transit operators, and members of the public when developing the 6-Year Highway Improvement Program.

- Roles of RPOs: RPCs assist local governments in transportation planning and decision-making.
- State Policy-Making and Advisory Bodies: Advisory committees are established for development of each long-range plan. In a separate effort, the Local Roads and Streets Council, an advisory board comprised of local elected officials, RPCs, and WisDOT staff was established to look at issues relevant to state and local policies.
- Allocation of Transportation Funds and Responsibilities: Local governments set priorities for use of allotted funds for local projects.
- Other Practices: WisDOT staff have an ongoing relationship with stakeholders through local investment partnerships. WisDOT participates as a member of the Transportation Projects Commission; WisDOT staff regularly attend meetings of local agencies, including RPCs and chambers of commerce. WisDOT also holds annual spring and fall meetings with the county highway commissioners to discuss specific issues and concerns for each county. Additionally, local officials have direct access to their legislators. Also, the state budget process determines funding for urban and rural needs, funding splits between highway and transit, as well as the split between formula grant funding and competitive grants.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Wisconsin is the 26th largest state in land area, 18th largest in population, and 24th most densely populated. However, approximately 52 percent of Wisconsin's population and jobs, and 98 percent of the land, is non-urban. About 88 percent of Wisconsin's roads are rural. Federally owned lands amount to just over 8 percent of the state's land area.

Wisconsin is a slowly growing state, as measured by population, with a slowly growing rate of employment. The portion of the state's jobs that are in the uniquely agriculture and mining sectors is moderate to small (8 to less than 1 percent, respectively). Most jobs in Wisconsin's rural areas are in sectors also common in urban areas: construction, transportation and utilities (11 percent); manufacturing (26 percent); business and trade (25 percent); and services and government (28 percent).

Demographically, Wisconsin's non-urban population is predominately white (98 percent). Compared to the other states, the proportion of Wisconsin's non-urban adult population who did not graduate from high school is the 22nd lowest, and the proportion who did graduate from college is the 23rd lowest. The 9 percent of Wisconsin's non-urban people who are poor is lower than in most other states. About 43 percent of the state's non-urban population is in non-working age groups (29 percent 18 years or younger, and 14 percent 65 years or older).

Governmentally, Wisconsin is complex. The state has 72 counties, an average number compared to many other states. Wisconsin also has 583 municipalities and 1,266 towns or townships, for a total of 1,849 sub-county divisions. This is the 6th highest number of sub-county governments among the states. Wisconsin also has 11 federally recognized Indian tribes.

Wisconsin is 1 of 6 states that do not have any special-purpose districts with transportation responsibilities. Wisconsin has FTA funding for 40 public transit providers serving rural areas and 53 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Wisconsin has 9 regional councils that cover approximately 85 percent of the state, and 10 MPOs. These regional units help to coordinate the other local governments and play a direct role in rural transportation programs.

Of Wisconsin's 110,371 miles of roads, approximately 11 percent are state-controlled, while less than 1 percent are federal. Of the total miles of non-federal rural roads, 11 percent are state, 21 percent are county, 63 percent are township, and 5 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

See following.

CORPO

WISCONSIN COUNCIL OF REGIONAL PLANNING ORGANIZATIONS

MEMORANDUM

TO: National Academy of Public Administration
From: Harlan P. Kiesow, CORPO Director
Subject: Rural Transportation Planning
Date: December 27, 2000

This response is on behalf of the Wisconsin Council of Regional Planning Organizations (CORPO) that represents the 9 regional planning commissions within the State of Wisconsin. CORPO has reviewed the description of the Wisconsin *Processes For Consultation And Cooperation With Local Officials In Non-Metropolitan Areas* as provided by the National Association of Development Organizations.

CORPO feels the description of the Wisconsin process adequately reflects the current practices used by the Wisconsin Department of Transportation (WDOT). Wisconsin's Translinks21 program provides the framework for transportation system planning on a statewide basis. The Translinks public involvement process used by the WDOT provided significant opportunities for citizen and local official information and input. Additional WDOT consultation with local officials occurs in the project phase through the various individual transportation program delivery mechanisms. However, sometimes it is difficult for local officials to determine the relationship between programs and the overall impact on their community. Regional Planning Commissions (RPC's) are consulted and involved in most of these programs. The RPC's have become increasingly involved with rural transportation planning since the initiation of ISTEA. The WDOT has been utilizing the RPC's for developing the land use/transportation linkages and also for promoting greater local consultation and involvement.

In the last few years the WDOT has been improving local government consultation along with the citizen participation process. Highway corridor planning on a regional basis is an example. However, a RPO type transportation planning process for rural areas could provide a good transition from Translinks to specific program facilities plans by concentrating these programs into 1 coordinated mechanism for local government review and input. RPC's are 1 method of accomplishing this; a state level initiative is another. Be this process at the RPC or state level, it would support TEA21 objectives and recent State of Wisconsin initiatives to promote greater intergovernmental cooperation and coordination.

WYOMING

CONSULTATION PROCESS SUMMARY

The Wyoming Department of Transportation (WyDOT) conducts transportation planning, and is overseen by the Wyoming Transportation Commission. Rural transportation planning activities include the State Long Range Plan, corridor studies, public transit programs, the State Aeronautics Plan, the STIP, and special studies.

The consultative process covers all planning activities, from the long-range plan to special studies. It involves local elected officials in a variety of ways, such as public meetings, newsletters, surveys, special presentations, and advisory committees. WyDOT has an open-door policy in which local government officials may communicate concerns directly to resident and district engineers, the agency director, or even the Governor. Local officials have access to (1) WyDOT's management, planning and engineering staff—via phone, e-mail, or the department's web site—for information and consultation; (2) the Transportation Commission, and (3) the legislature. Additionally, WyDOT staff are represented at various stakeholder meetings, including the Wyoming Association of Municipalities and the Wyoming Association of County Officials. WyDOT also has a Local Government Coordinator to provide assistance and liaison for local official input. (In the state's 2 MPOs, rural developing areas are represented by a county commissioner, who serves on the policy committee, as well as county staff who serve on the technical committee.)

Consultation and cooperation with local officials are required by state law in the project development process, as well as for all bypass projects and deletions or abandonments from the state highway system. WyDOT assists local officials with rural road, bridge, public transit, and enhancement projects. WyDOT has limited responsibility concerning rail transportation. The plans for transit and aeronautics also use additional special input processes. WyDOT coordinates with a transit support group to implement transit elements identified through the planning and consultative process. The individual transit planning process varies widely depending on the size, funding source, and scope of the transit program.

The Wyoming state legislature has established the Road Construction Fund, which allocates money directly to the counties for road construction. The fund is distributed to the counties based on road mileage, population, and other factors. Counties apply for enhancement programs funds; WyDOT district engineers select off-system projects and a 5-member WyDOT committee selects on-system projects. WyDOT district engineers coordinate plans and assist in development of the 6-year STIP. WyDOT's district engineers and Local Government Coordinator assist WyDOT in holding public hearings and soliciting input into STIP. The transportation commission makes policy for the

long-range plan, which guides the STIP, and makes final project decisions for, and gives final approval to, the STIP.

The planning process considers economic development and land use issues. However, there is no formal integration; land use planning is conducted at the municipal and county levels. The Indian tribal government is included in planning and project development, though it has shown little interest in long-range planning. The state is involved a Public Lands Highway Program project with the tribal government and hopes this will lead to its greater long-term participation. Federal land management agencies are also involved in transportation planning. WyDOT holds annual work sessions with appropriate federal agencies to discuss environmental concerns, construction practices and planning activities. Also, WyDOT meets annually with FHWA and the U.S. Forest Service to discus the Public Lands Highway Program.

Rural transportation is supported by a combination of federal, state and local funds. Counties, cities and towns receive a portion of state gas tax revenues for transportation maintenance, and a portion of property taxes for roads and bridges; they also share in federal mineral royalty moneys that are returned to the state. The state legislature also has created special funding accounts within the State Highway Fund to assist local entities in meeting transportation needs. Counties may also apply for enhancement funds and federal funds. When funds come directly to local entities, local officials are not required to consult with the state. Consultation, however, is required if the funds come from the state. Rural transit is funded through federal and state funding as well as, in some cases, funds from localities, local entities and public agencies. Counties can also initiate a variety of local taxes to support transportation needs.

Wyoming uses these practices:

- State Hearings: Hearings are not required by state statutes, but WyDOT follows federal guidelines concerning public notification and comment requirements. Hearings are, however, held as required in project environmental assessment.
- State Policy-Making and Advisory Bodies: The Wyoming Transportation Commission.
- Other Practices: WyDOT has an open door policy allowing direct access to engineers, the agency director, or even the Governor. WyDOT statff attend stakeholder meetings; the Local Government Coordinator serves as ongoing liaison; WyDOT staff are accessible through e-mail, phone or web site; WyDOT uses newsletters, surveys, advisory committees, and special presentations to communicate with local governments; and local governments have access to the transportation commission and state legislature.

CONTEXT FOR NON-METROPOLITAN CONSULTATION

Wyoming is the 9th largest state in land area, smallest in population, and 2nd least densely populated. Approximately 74 percent of Wyoming's population and jobs, and just under 100 percent of the land, is non-urban. About 94 percent of Wyoming's roads are rural. Federally owned lands amount to roughly 50 percent of the state's land area.

Wyoming is a slowly growing state, as measured by population, with a slowly growing rate of employment. The portion of the state's jobs that are in the uniquely rural agriculture and mining sectors is larger than in many states (8 and 9 percent, respectively). The manufacturing sector is also small (6 percent). Most jobs in Wyoming's rural areas are in sectors also common in urban areas: construction, transportation and utilities (16 percent); business and trade (24 percent); and services and government (38 percent).

Demographically, Wyoming's non-urban population is predominately white (95 percent). The proportion of Wyoming's non-urban adult population who did not graduate from high school is low, compared to other states (3rd lowest); the proportion who did graduate from college is also relatively low (17th lowest). The 12 percent of Wyoming's non-urban people who are poor ranks in the middle compared to other states. About 42 percent of the state's non-urban population is in non-working age groups (32 percent 18 years or younger, and 10 percent 65 years or older).

Governmentally, Wyoming has 23 counties, a fairly manageable number compared to many other states. The state also has 97 municipalities, but no towns or townships. This is the 6th lowest number of sub-county governments among the states. Wyoming also has 2 federally recognized Indian tribes.

In addition, the 1997 U.S. Census of Governments identified 26 independent, special-purpose governments in Wyoming that have transportation responsibilities. This number is lower than in most other states. These special-purpose governments include 15 for highways and 11 for airports. Wyoming also has FTA funding for 3 public transit providers serving rural areas and 14 organizations that provide specialized transit services to elderly and disabled populations in those same areas.

Wyoming has 2 regional councils that cover approximately 15 percent of the state, and 2 MPOs. These regional units help to coordinate the other local governments.

Of Wyoming's 39,022 miles of roads, approximately 17 percent are state-controlled, while 11 percent are federal. Of the total miles of non-federal rural roads, 27 percent are state, 59 are county, 2 percent are township, and 12 percent are municipal and other.

VIEWS OF LOCAL OFFICIALS

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December 4, 2000

National Academy of Public Administration
1120 'G' Street, NW, Suite 850
Washington, D.C. 20005-3821
Attn: Ruth Ann Heck

Dear Ruth Ann:

Thank you for the opportunity to review and comment on the NAPA'a findings for the State of Wyoming. As you know, rural and non-urban transit is an 'essential' service. WRTA service area is over 9152 square miles of service area which includes a very large and poverty stricken Wind River Indian Reservation. Wyoming's low population does not qualify to be included in some areas of data collection. I have reviewed the document for Wyoming. Although your data is verified according to the statistical study by the Division of Economic Analysis , there is a lack of information and the conflicting definitions of non-urban and rural are skewing the data. This lack of information prevents me from making a comment of value. The information on high school is not correct. We have about a 24% drop out rate. Couple that with a high teen pregnancy rate and it becomes a case multiple families living in single dwellings.

Wyoming has two counties which have a joint powers board. Each is comprised of the mayors of all the municipalities and towns and one County commissioner. This type of governing body receives funding from the Federal Government (PILT money). This subsistence is payment in lieu of taxes, and the county uses it to prioritize needed infrastructure projects for the small towns and municipalities.

There are 46 entities that provide some public transit mixed with client specific activities, but there are six operations that provide full open door public transit.
Wyoming is unique in many ways and having a sparse population probably places us at a disadvantage when dealing with classifications based upon population.
Anyway, I hope I have addressed your concerns. If I can help in any other way, please do not hesitate to call me.

Sincerely,

Sean F. Solan

Sean F. Solan, WRTA
Transportation Manager

Information received via e-mail, January 10, 2001, from Joe Evans, Executive Director, Wyoming County Commissioners Association.

The Wyoming County Commissioners' Association would like to submit the following comments:

1) The report is generally accurate and complete. The report does indicate Wyoming has 97 municipalities but no towns or townships. Technically we have 18 first class cities and 79 towns, as defined by Wyoming Statutes. The report may be using a federal definition.

After stating that Wyoming has no townships, which is accurate, it then states that 2 percent of the non-federal rural roads are controlled by townships.

The accessibility of the DOT staff, including the director, is outstanding. The report does not mention that the counties and the DOT disagree on many projects, but the ability to discuss them usually allows for acceptable resolution.

2) I believe the local consultation process designed by the DOT is effective. There has only been 1 instance I can recall in which the DOT failed to consult local government prior to designing a program.

3) The experience of local officials would generally be positive about the participation process. I believe most complaints would deal with personalities and individuals, not the process.

4) I am not familiar with the documentation process of the DOT.

PUERTO RICO

CONSULTATION PROCESS SUMMARY

Transportation planning is the responsibility of the Department of Transportation and Public Works (DTPW). DTPW develops a 20-year long-range plan, which is updated at no less than 5-year intervals, and a 3-year STIP, which is updated annually. DTPW has 6 regions, in which many planning activities occur.

Puerto Rico is moving towards multi-modal and inter-modal networks that will both meet transportation demands and be sensitive to environmental and land use concerns. In order to promote consensus building on transportation issues, DTPW has established a system for public participation in planning, development, and programming of those transportation projects that use federal funds. The "public" includes local officials, private operators, agencies and institutions providing transportation, and the general public.

Puerto Rico has 1 MPO that includes all 9 urbanized areas in the commonwealth. DTPW has been designated as the MPO. The Secretary of DTPW, as president of the MPO, carries out transportation planning for the MPO. The MPO TIP, which is incorporated into the STIP, is developed under prescribed procedures.

There are also procedures established for transportation planning for rural and small urban areas not included in the MPO. DTPW staff coordinate visits with officials and others from non-urban areas, including representatives from the Manufacturing Association, municipal communities, area federal agencies, and local officials. DTPW maintains an open door policy, encouraging the public, including local officials, to contact the staff concerning transportation matters. Staff are available through phone calls and for individual meetings to answer questions, etc. Consultation also occurs on a project-specific basis, for example, advisory committees may be established, and an opportunity to review environmental studies is provided.

The existing 20-year Statewide Transportation Plan includes the results of input and recommendations from non-metropolitan areas obtained through the planning process. That process includes meetings, held by the MPO transportation advisory committee, that are attended by transportation-related government agencies and the general public who represent the interests of both metropolitan and non-metropolitan areas. At least 3 meetings, covering the planning process and assumptions, the preliminary draft plan, and the draft incorporating comments, are held in 6 regions. The plan is also made available for a 15-day public comment period. The plan is then approved by the Secretary and the Governor.

The STIP is a compilation of the MPO TIP and highway and transportation programs for non-urbanized areas. STIP development parallels that of the TIP. Early in the process, regional meetings are held with rural municipalities and entities to discuss such things as the planning and programming process and funding availability. Mayors are among the officials specifically invited to these meetings. Then, through notification in the newspapers, proposals for transportation projects are requested; technical assistance is provided, if requested. The DPTW reviews projects submitted from non-urban areas and develops the draft STIP, incorporating selected non-urban and TIP projects. The draft is made available for a 15-day public comment period. DTPW will hold hearings if they are deemed necessary, based on the comments received. The revised draft is then made available for a comment period, revised if necessary, and then sent to the U.S. DOT for approval.

Puerto Rico uses these practices:

- State Processes to Compile Transportation Needs: Project proposals are solicited.
- State Hearings: Regional meetings are held on the draft long-range plan; hearings are held on the draft STIP if comments indicate they are necessary; draft plans are made available for public comment periods.
- State Processes for Interactive Exchanges of Views with Local Officials: Informal orientation meetings are held with local officials and others.
- Other Practices: DTPW maintains an open door policy; staff members are available by phone or for individual meetings.

CONTEXT FOR NON-METROPOLITAN CONSULTATION[2]

Compared to the 50 states, Puerto Rico ranks 3rd smallest in land area, and 26th largest in population, and is the most densely populated. Approximately 71 percent of Puerto Rico's population is urban while only 29 percent is rural. Land use within Puerto Rico is divided among arable (4 percent), crops (5 percent), pastures (26 percent), forest (16 percent), and other (49 percent).

Puerto Rico's population is growing rapidly, but its rate of employment is declining. About 42 percent of the state's non-urban population is in non-working age groups (32 percent 19 years or younger, and 10 percent 65 years or older). The unemployment rate is high compared to the 50 states (14 percent). The state's labor force is predominately

[2] Puerto Rico was not originally included in the scope of this project. Therefore, it was not included in the research and documentation presented in the Academy's May 2000 report to FHWA. Efforts made to obtain comparable information had to draw on different sources than the original research. The information in this section is drawn from census information and a website titled "Welcome to Puerto Rico," Available www.welcome.topuertorico.org/ [Retrieved July 14, 2000].

in sectors common in urban areas, including: government (19 percent), manufacturing (13 percent), trade (17 percent), construction (5 percent) and other (32 percent).

Demographically, Puerto Rico's non-urban population is predominately white (80 percent). Compared to the other states, the education level of Puerto Rico's total population is at the top of the range for adults with college degrees. The literacy rate for Puerto Rico's population is just under 90 percent.

Governmentally, Puerto Rico has no counties and 78 municipalities. This ranks with it in the bottom 6 states in the number of local governments.

Of Puerto Rico's 14,666 miles of roads, approximately 23 percent are state-controlled, while none are federal. About 58 percent of roads are rural. Of total rural roads, 26 percent are state, the remaining 74 percent are municipal.

VIEWS OF LOCAL OFFICIALS

No responses received.

STAFF

J. William Gadsby—*Director of Management Studies.* Project director on several recent Academy studies. Former Senior Executive Service; Director, Government Business Operations Issues, Federal Management Issues and Intergovernmental Issues, General Accounting Office

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Consultant, National Academy of Public Administration. Former Assistant Director, Health, Education and Human Services Division, United States General Accounting Office.

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Program Associate, Management Studies Program, National Academy of Public Administration. Masters degree, Graduate School of Management and Technology at the University of Maryland. Former Staff Geologist, Schnabel Engineering Associates, Inc.

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