

*A Report by a Panel of the*  
NATIONAL ACADEMY OF  
PUBLIC ADMINISTRATION  
*for the Federal Highway Administration of the*  
*U. S. Department of Transportation*

May 2000

# **RURAL TRANSPORTATION CONSULTATION PROCESSES**



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The views expressed in this document are those of the panel alone. They do not necessarily reflect the views of the Academy as an institution.

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## FOREWORD

Public administration is becoming increasingly collaborative. For federal grant programs, this is not a new trend. Many of them have required intergovernmental planning and decision-making for years. Federal transportation programs, in particular, have been in the forefront of intergovernmental collaboration. For metropolitan areas, intergovernmental planning requirements have been on the books since the 1960s.

The *Intermodal Surface Transportation Efficiency Act of 1991* (ISTEA), significantly strengthened collaborative decision-making with respect to metropolitan transportation plans and spending decisions. It also added requirements for intergovernmental consultations between state departments of transportation and local officials in non-metropolitan areas. When ISTEA was reauthorized in 1998 by the *Transportation Equity Act for the 21<sup>st</sup> Century* (TEA-21), non-metropolitan consultation requirements became a significant issue. Local officials felt, that TEA-21 enhanced consultation requirements modestly, but did not ensure adequate access to state decision-making. The ensuing debate ended with a mandate for the Secretary of Transportation to study the state-local consultation issue and report to Congress within two years.

The Federal Highway Administration (FHWA) sought the Academy's assistance in researching and developing findings on the consultation issue. The assignment has been challenging and at the leading edge of efforts to design new forms of collaborative management that are now emerging in many fields of public service.

The Academy panel assembled to guide this study is to be commended for pursuing a collaborative process, which involved representatives of the state and local officials at every stage of its work. In essence, the Panel wanted to mirror the same type of consultation process that was at the heart of the study. Although differences remain between state and local officials on this issue, some progress has been made and this report suggests new and promising principles for bringing the parties closer together over time.

The Academy expresses its thanks to FHWA for choosing the Academy to conduct this study and to the many federal, state, and local advisors who worked with us. We believe this report makes an important contribution to facilitating the delivery of the nation's transportation services, and offers advice worthy of consideration by public administrators in many other fields where collaborative decision-making is becoming essential to achieving success.



Robert J. O'Neill, Jr.  
President



## PANEL MESSAGE

The *Transportation Equity Act for the 21<sup>st</sup> Century* (TEA-21) requires the Secretary of Transportation to report to Congress on the effectiveness of the existing state-local consultations regarding non-metropolitan transportation plans and programs, and to make appropriate recommendations. On behalf of the Secretary, the Federal Highway Administration contracted with the Academy to research this issue and submit findings of fact that could help the Secretary develop his report and recommendations. This panel was established to oversee the Academy's work.

This study began in the midst of controversy that originated long before the study itself and is not yet fully resolved. The controversy, simply put, revolves around local government efforts to have greater influence over decision-making processes in state transportation programs that were once largely the province of state officials alone. Federal law now requires some state transportation planning, programming, and funding decisions for non-metropolitan areas to be made in "consultation" with local officials, and others to be made in "cooperation" with those officials. The continuation of this controversy is evidenced by the comment letters in Appendix D.

Local officials agree that many states now are making their decisions more openly, but insist that other states have not yet adjusted effectively to this new way of doing business. Many local officials ardently desire evaluations of the states that would identify the states that are adequately complying with this requirement and those that still need to make improvements in their state-local consultation processes. Controversy and limited resources combined to make it impossible for the Academy to evaluate the effectiveness of the existing state-local consultation processes.

Several of the states view additional federal requirements on consultation practices as an unwarranted intrusion into their established decision-making processes, with a potential for increasing the already substantial regulatory burden on them. The official position of the American Association of State Highway and Transportation Officials (AASHTO) on this issue is to oppose any further federal requirements.

Despite the wide chasm between the state and local views represented to the panel in its collaborative study process, the panel believes this report provides a basis for helping to resolve the issue using practical options. The panel made the following eight findings that it believes are supported by research and experience:

1. Consultations with local officials are crucial to making transportation delivery systems work well in the states.
2. State-local consultations can be most useful to all parties if they are conducted within 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 state departments of transportation design their consultation processes.
4. Many different state-local consultation practices exist and are being used by state departments of transportation.
5. No single practice or set of practices will meet the consultation needs of all states.
6. From various fields, 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 such principles can be used to improve the state-local consultation practices and processes of state departments of transportation.
8. Additional work would be needed to assess the effectiveness of state-local transportation consultations in each state.

A fundamental challenge in pursuing this study was that neither federal law nor federal regulations have established principles for evaluating effectiveness of the required consultations, and there was no agreement among state and local officials about such principles. The panel, therefore, concentrated its efforts on researching and seeking agreement on principles of effective consultation, which it believes are a major contribution to helping to resolve the controversy that is at the heart of the consultation issue.

The six principles of effective consultation described in this report are based on reviews of research and experience in a variety of programmatic fields, as well as on consultations with representatives of state departments of transportation and local officials. They have been tailored to the needs of transportation programs, and the panel believes that a substantial amount of state and local agreement with these principles has been achieved.

In brief, the principles suggest that consultations may be more effective to the extent that they:

1. Provide a known and understood process that includes all the key officials responsible for providing rural transportation facilities and services.
2. Assist rural local officials, who request assistance, to acquire necessary levels of transportation planning and programming knowledge and the capabilities needed to participate effectively in consultations with the state department of transportation.
3. Promote free and effective exchange of information about the rural elements of both the long-range (20-year) state transportation plan and the short-range (3-year) statewide transportation improvement program.
4. Provide timely access to state decision-makers before decisions are locked in; and timely feedback to local officials about how their input was used and what changes it caused.
5. Promote satisfaction with the consultation process among local officials.
6. Influence the response to rural transportation needs, recognizing the specific decision-making context in the state.

The remaining challenges are to gain acceptance of the principles and to choose an appropriate means of using them to help improve the effectiveness of state-local consultations on non-metropolitan transportation issues. Three options are suggested in this report, and others may be possible. The three options suggested are collaborative processes that would:

1. Assess the effectiveness of individual consultation practices and endeavor to establish the best ways to use them in the state-local transportation context.
2. Periodically assess the consultation processes in individual states, using a representative evaluation team, to help identify opportunities to improve the process.
3. Consider the principles in making the required finding by the Secretary of Transportation that the state is in substantial compliance with federal requirements before its state transportation improvement program can be approved.

The panel believes that this study represents a significant step toward improving the effectiveness of the state-local consultations in non-metropolitan areas required by TEA-21, and hopes that the federal, state, and local parties to the process will take appropriate next steps.



## **EXECUTIVE SUMMARY**

This study provides input to the Secretary of Transportation for a Congressionally required report which is due to Congress by June 9, 2000. Its objective is to examine the effectiveness of required consultations with non-metropolitan local officials in state transportation planning and programming processes.

In the 1990s, the federal government's surface transportation programs underwent a thorough make-over. These reforms began with the *Intermodal Surface Transportation Efficiency Act of 1991* (ISTEA), and carried through into the 1998 reauthorization of federal surface transportation programs by the *Transportation Equity Act for the 21st Century* (TEA-21). Prominent among the reforms were changes in metropolitan and statewide transportation planning processes. These changes included the strengthening of long-standing requirements for involving local officials in both (1) planning transportation systems, and (2) programming the use of federal-aid funds at least three years into the future for highway and transit purposes, consistent with the long-range plans.

Outside metropolitan areas, the state departments of transportation (SDOTs) are required to conduct their statewide planning and programming "in consultation with" local officials, and to make decisions about spending certain federal-aid funds "in cooperation with" local officials. No particular methods or structures are required in the law or related regulations for accomplishing these consultations and cooperative activities.

### **A CONTROVERSY**

Some local officials outside metropolitan areas are voicing dissatisfaction with their access to SDOT planning and decision-making processes. They feel that they should have a bigger role in the process. The depth of feelings on this issue between state and local officials delayed during conference committee deliberations in Congress on TEA-21, and those emotions spilled over into this study.

### **THE NATURE OF THIS STUDY**

The required study is spelled out in TEA-21, as follows:

The Secretary shall conduct a study on the effectiveness of the participation of local elected officials in transportation planning and programming. In conducting the study, the Secretary shall consider the degree of cooperation between each state, local officials in rural areas in the state, and regional planning and development organizations in the state.

In addition, the Conference Committee Report on this study requirement “provides for enhanced consultation between local officials and states when compiling the state transportation improvement program” and calls for the Secretary’s report to recognize that SDOT consultations with local officials “may occur through a variety of mechanisms, including, where appropriate, regional development organizations.”<sup>1</sup> The conference report also recognizes the use of regional development organizations as one means that SDOTs may use to meet federal public involvement requirements in their planning and programming processes.

The Federal Highway Administration (FHWA) was given responsibility for preparing the Secretary’s report to Congress. To carry out this responsibility, FHWA contracted with the National Academy of Public Administration (the Academy) to develop findings about the effectiveness of SDOT consultations with non-metropolitan local officials.

## **SOME KEY DEFINITIONS AND ASSUMPTIONS**

As the Academy began its portion of the Secretary’s study, it became necessary to clarify several definitions and assumptions. The two most essential are:

- **Consultation and Cooperation.** Under both ISTEA and TEA-21, a distinction is made between “consultation” and “cooperation.” In most cases outside metropolitan areas, the SDOTs are to prepare plans and make decisions about using their TEA-21 funds “in consultation with” local officials. That means that the SDOTs listen to and consider local-officials’ views before they make such decisions. However, decisions about the use of federal funds for projects not on the National Highway System, or not for federally funded bridges and Interstate maintenance, are to be made “in cooperation with” local officials--23 USC 135(f)(3). For these decisions, the state and local officials are to work together to arrive at decisions aimed at achieving common goals and objectives.<sup>2</sup>
- **Local-Official Consultation Versus Public Involvement.** The consultations and cooperation with non-metropolitan local officials, required by TEA-21, are separate from the Act’s public involvement requirements. These provisions in federal regulations create more of a partnership between the SDOT and local governments, in which both parties have responsibilities for providing transportation facilities and services. Relationships with the public are equally important, but less interdependent.

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<sup>1</sup> Representative Shuster, “Section 1204 of TEA-21 Makes Improvements to the Current Statewide Planning Provisions,” Congressional Record, June 3, 1998, p. H3980.

<sup>2</sup> The official definitions in the federal regulation (23 CFR Ch. 1, 450.104) are as follows: “Consultation means that one party confers with another identified party and, prior to taking action(s), considers that party’s views. Cooperation means that the parties involved in carrying out the planning, programming and management systems processes work together to achieve a common goal or objective.”



To provide a basis for evaluating the consultation processes in the states, the Academy performed a literature review of criteria for measuring the effectiveness of consultations. Every aspect of the Academy's study was done in consultation with FHWA, the Academy's study panel of four Academy Fellows with distinguished careers in relevant fields, FHWA's Steering Committee of federal agency representatives, and FHWA's Sounding Board of state and local representatives. In addition, a special workshop was held on January 9, 2000, in conjunction with the Annual Meeting of the Transportation Research Board, to explore several questions related to effectiveness in intergovernmental consultations. Thirty states were represented at this workshop, and approximately 70 people attended. Another workshop with a similar agenda was attended by 28 local government, and regional council officials on March 20, 2000 in conjunction with the Washington Policy Conference of the National Association of Regional Councils (NARC).

The Academy's study panel met five times, and invited the Steering Committee and Sounding Board members to participate in all but the first meeting. FHWA representatives participated in all of the panel's meetings. Materials to be considered at the meetings were provided in advance to all invitees, and all participants were heard to the extent they desired. The Academy's report has benefited greatly from this very rich exchange of views.

## **FINDINGS**

This study presents factual descriptions of and explores key issues related to state consultation processes and practices. It also presents eight findings based on the research performed, and the numerous consultations held with representatives of state and local officials. The study panel believes that these findings can become the basis for recommendations and/or further consultations between the representatives of state and local officials.

The eight findings follow.

1. **Consultations with local officials are crucial to making transportation delivery systems work well in the states.** It is largely through consultation processes that coordination of dispersed transportation responsibilities can be achieved and commitments to coordinated actions can be developed. Consultation also provides a means for coordinating land use, growth management, economic development, and other initiatives and governmental powers that are exercised outside of transportation agencies. In many respects, transportation programs are means to help achieve larger outcomes for society, such as economic vitality, economic and social opportunity, livability, safety and security, mobility, and an enhanced natural environment. TEA-21 requires consideration of such factors in developing statewide transportation plans. Intergovernmental consultations facilitate the links across programs that are essential to realizing these larger outcomes.

2. **Consultations can be most useful to all the parties if they are conducted using a framework of dialogues about planning, programming, and results.** Linking consultations to the three key dialogues described in Chapter 2 will provide opportunities for the consultations to effectively influence policies and resource allocations that can make a difference in the lives of people in communities.
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** (as demonstrated in Chapter 3). What may work well in one state may not work well in another. Alignment of consultation practices and processes with the financial, political, economic, and other realities in the state, is necessary to make local-official consultations as effective as possible. Arbitrarily required techniques are not a good use of time and resources, while properly aligned techniques may have great potential.
4. **Many different state-local consultation practices exist and are being used by SDOTs.** Nine major types of practices are described in Chapter 4, and there may be others now and in the future. These practices often are used in combination by SDOTs to achieve better results. Different states use different combinations of practices.
5. **No single practice or set of practices will meet the consultation needs of all states.** Flexibility is needed to choose the practices that will work best is needed to produce more effective consultations.
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.** An integrated set of six such principles is described in Chapter 5. They are based on research and experience in a variety of fields, including transportation.
7. **There are several ways the principles of effective consultation can be used to improve the state-local consultation practices and processes of SDOTs.** The three most promising options appear to be using them as guidance for: (1) assessing and improving individual consultation practices, (2) assessing and improving consultation processes in individual states, and (3) making compliance findings on statewide transportation planning processes. These options are examined in Chapter 5.
8. **Additional work would be needed to assess the effectiveness of SDOT consultations with non-metropolitan local officials in each state.** These consultation processes are not easy to measure and assess. Although principles of effective consultation have been identified in this study, applying them validly in a state requires care and understanding best acquired by being in the state. To some extent, the assessment of effectiveness is a

matter of perception, and these perceptions may differ among the diverse parties to the consultations. There can be valid roles for federal, state, and local parties each to be involved in measuring and assessing the effectiveness of consultations in a state. Assessments that are agreed on by the parties involved, including the identification of deficiencies and opportunities for improvement, are more likely to be acted on than external assessments that may miss the significance of key realities in the state.



## **CHAPTER 1**

### **BACKGROUND, SCOPE, AND STUDY LIMITATIONS**

This study provides input to the U. S. Secretary of Transportation for a Congressionally required report which is due to Congress by June 9, 2000. The objective is to examine the effectiveness of required consultations with non-metropolitan local officials in state transportation planning and programming processes. The word “rural” is sometimes used in this report instead of “non-metropolitan.” Whenever that usage occurs, unless otherwise stated, it is for convenience and does not infer a different meaning.

This chapter provides background about:

- the forces that gave rise to the requirement for the Secretary’s report
- some key definitions and assumptions guiding the study
- how this study will support the Secretary’s report to Congress
- some limitations of this study
- the scope of the study

#### **THE RISE OF LOCAL PARTICIPATION IN TRANSPORTATION PROGRAMS**

In the 1990s, the federal government’s surface transportation programs underwent a thorough make-over. These reforms began with the *Intermodal Surface Transportation Efficiency Act of 1991* (ISTEA), and carried through into the 1998 reauthorization of federal surface transportation programs by the *Transportation Equity Act for the 21st Century* (TEA-21).

Prominent among the reforms made by these two acts were changes in metropolitan and statewide transportation planning processes. These reforms included the strengthening of long-standing requirements for involving local officials in both the planning of transportation systems and programming the use of federal-aid funds at least three years into the future for highway and transit, consistent with the long-range plans. In metropolitan areas, the federally required and recognized metropolitan planning organizations (MPOs), which had been required since the 1960s, were given enhanced and explicitly structured roles for involving local officials in planning and programming. Outside the MPO areas, the state departments of transportation (SDOTs) were required to conduct their statewide planning and programming “in consultation with” local officials, and to make certain decisions about spending federal-aid funds “in cooperation with” local officials. No particular methods or structures are specified in the law or related regulations for accomplishing these consultations and cooperative activities with local officials in the non-metropolitan areas.

Another very significant change in the federal legislation that affected local officials was the restructuring of federal-aid systems which eliminated the Federal-Aid Secondary System and the dedicated federal funding that supported it. Instead, the federal funds that had been designated for urban and rural roads were combined into a single flexible Surface Transportation Program (STP) that could be used for a wider variety of road and transit projects.

In many states, the Secondary System had provided important regularized support for county roads. The existence of federally supported county road systems over many years had built up a strong intergovernmental relationship in many states that could be disrupted by this federal legislative change. In response, some states recreated a “secondary system” of their own — using state and/or federal STP funds — in an effort to maintain their long-standing relationships with local road officials. In states where that did not occur, consultations with local officials can be an important means of continuing important state-local relationships.

## **A CONTROVERSY**

Some local officials in rural areas outside the MPO’s planning areas have voiced dissatisfaction with their access to SDOT planning and decision-making processes. As their fellow officials in urban areas got enhanced access to the federal-aid transportation planning and programming processes, they felt inequitably treated. Some felt that they should have an MPO-like mechanism to help give them a bigger share of the action, although the primary local lobbyists pushed for a “meaningful” process without specifying any single arrangement.

As the reauthorization of ISTEA was being considered in Congress, some local officials caused proposals to be introduced to strengthen the state-local consultation process in non-metropolitan areas, including the use of regional planning organizations as one of the mechanisms for doing so. RPOs already are being used for this purpose in several states, without a federal requirement to do so. Although, the primary local lobbying organizations pushed hard for a “meaningful” process to strengthen the role of non-metropolitan local officials, they did not urge any single means of accomplishing it.

These locally supported proposals were strongly opposed in Congress by the American Association of State Highway and Transportation Officials. Although Congress declined to impose any single method of consultation on the states, TEA-21 added a consultation requirement to the process for developing the state transportation improvement program (STIP), acknowledged that states could appropriately use the rural regional planning organizations (RPOs) to accomplish required consultations and called for a study of the whole issue, with a report due back from the U.S. Secretary of Transportation not later than two years following the effective date of TEA-21. That

due-date is June 9, 2000. The Secretary's report is expected to contain appropriate recommendations.

The depth of feelings on this issue among state and local officials delayed the Conference Committee deliberations in Congress on TEA-21 for two days, and those emotions spilled over into this Academy study.

## **THE NATURE OF THIS STUDY**

The general nature of the required study is spelled out in the statewide transportation planning section of TEA-21, as follows:

“The Secretary shall conduct a study on the effectiveness of the participation of local elected officials in transportation planning and programming. In conducting the study, the Secretary shall consider the degree of cooperation between each state, local officials in rural areas in the state, and regional planning and development organizations in the state. Not later than 2 years after the date of enactment of this Act [June 9, 1998], the Secretary shall transmit to Congress a report containing the results of the study with any recommendations the Secretary determines appropriate as a result of the study.” (Section 1204 (i))

The following additional provisions of TEA-21 are also relevant to the required study:

- “Each State shall undertake a continuous transportation planning process which shall, at a minimum, consider...[t]he transportation needs of non-metropolitan areas through a process that includes consultation with local elected officials with jurisdiction over transportation.” (Section 1204 (c))
- “The State shall develop a transportation improvement program for all areas of the state....Projects undertaken in areas of less than 50,000 population (excluding projects undertaken on the National Highway System and pursuant to the bridge and Interstate maintenance programs) shall be selected by the State in cooperation with the affected local elected officials. Projects undertaken in such areas on the National Highway System or pursuant to the bridge and Interstate maintenance programs shall be selected by the state in consultation with affected local officials.... A transportation improvement program developed under this subsection shall be reviewed and, on a finding that the planning process through which the program was developed is consistent with [the Act's planning requirements], approved no less frequently than biennially by the Secretary.” (Section 1204 (f))
- “Not later than 1 year after the date of enactment of this sub-clause, the State shall submit to the Secretary the details of the consultative planning

process developed by the State for non-metropolitan areas... The Secretary shall not review or approve such process.” (Section 1204 (f))

The Conference Committee Report on this study requirement refers to the new provisions in TEA-21 that provide “for enhanced consultation between local officials and states when compiling the state transportation improvement program” and calls for the Secretary’s report to recognize that SDOT consultations with local officials “may occur through a variety of mechanisms, including, where appropriate, regional development organizations.” The conference report also recognizes the use of regional development organizations as one means that SDOTs may use to meet federal public involvement requirements in their planning and programming processes.

The Federal Highway Administration (FHWA) was given responsibility for the Secretary’s report to Congress. To carry out this responsibility, FHWA:

- solicited the required consultation process descriptions from the SDOTs, through FHWA Division Offices in each state
- established two committees to help guide the study, (1) a Steering Committee consisting of representatives from other DOT components, and (2) a Sounding Board consisting of representatives of national organizations representing state and local governments and transportation agencies, as well as other relevant federal agencies (See Figure 1-1 for the membership of these two committees.)
- conducted ten Rural Planning Workshops throughout the nation to solicit state and local views about SDOT consultations with local officials (See Appendix for a list of the dates and locations of the ten workshops.)
- solicited comments from local officials about SDOT consultation processes, through the national associations represented on the Sounding Board
- contracted with the National Academy of Public Administration (the Academy) to develop factual findings about the effectiveness of SDOT consultations with non-metropolitan local officials
- reserved to the Secretary of Transportation exclusive responsibility for recommendations to the Congress regarding consultation processes



**Figure 1-1  
FHWA STUDY ADVISORS**

<b>Sounding Board</b>	<b>U. S. DOT Steering Committee</b>
<ul style="list-style-type: none"> <li>• American Association of State Highway and Transportation Officials</li> <li>• American Public Transit Association</li> <li>• America Public Works Association</li> <li>• Colorado Department of Transportation</li> <li>• Community Transportation Association of America</li> <li>• Florida Department of Transportation</li> <li>• Intertribal Transportation Association</li> <li>• Michigan Department of Transportation</li> <li>• Montana Department of Transportation</li> <li>• National Association of Counties</li> <li>• National Association of County Engineers</li> <li>• National Association of Development Organizations</li> <li>• National Association of Regional Councils</li> <li>• National Association of Towns and Townships</li> <li>• National League of Cities</li> <li>• Pennsylvania Department of Transportation</li> <li>• Surface Transportation Policy Project</li> <li>• U. S. Department of Agriculture, National Rural Development Partnership</li> <li>• U. S. Department of Commerce, Economic Development Administration</li> </ul>	<ul style="list-style-type: none"> <li>• Federal Highway Administration</li> <li>• Federal Transit Administration</li> <li>• Office of the Secretary of Transportation</li> </ul>

FHWA requested the Academy to consider all of the local-official consultation requirements in TEA-21 for non-metropolitan areas, not just the **elected**-official ones referred to in Section 1204(i). These requirements apply to the long-range statewide planning process, the short-range state transportation improvement programming (STIP) process, and selection of various types of projects to be funded in non-metropolitan areas. The non-elected local officials to be consulted by the states are those “with responsibility for transportation.”

**SOME KEY DEFINITIONS AND ASSUMPTIONS**

As the Academy began its portion of this study, it became necessary to clarify several definitions and assumptions. These key points follow:

- **Non-Metropolitan Areas.** This study applies only to consultations with local officials representing jurisdictions that are not represented through the officially designated and federally recognized MPOs. It is assumed that local officials represented in an MPO are being consulted through the MPO process. In practice, two states are completely covered by MPOs (even though they contain a significant amount of “rural” land area); they are New

Jersey and Rhode Island. Therefore, those two states are not included in this study. The other 48 states contain territory that is outside MPOs, as well as some that is under the jurisdiction of those organizations. The District of Columbia and Puerto Rico also are considered states for purposes of TEA-21. However, D.C. is completely covered by an MPO and is not part of this study. Puerto Rico contains both MPO and non-MPO areas. Although the nation's non-metropolitan population is only about 38 percent of the total, the non-metropolitan land area accounts for nearly 98 percent of the nation.<sup>3</sup>

### **“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.

- **Local Officials.** Although the study requirement in Section 1204(i) of TEA-21 mentions only consultations with **elected** local officials, other sections of the act call for SDOT consultations with local officials responsible for transportation. This study addresses consultations with all the local officials named in the TEA-21 statewide planning requirements. Generally, these consultations are aimed at involving the top elected officials of city, county, and town or township governments who have broad jurisdiction over such governmental functions as public works, raising and spending of local tax dollars, control of local land use and development projects, and economic development. In some cases, however, other more specialized local officials with transportation responsibilities are also elected. For example, county engineers in Ohio, and county surveyors in Indiana, are elected. Examples of non-elected local officials with transportation responsibilities are the

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<sup>3</sup> These figures are taken from a special analysis prepared for the Academy by U.S. DOT's Bureau of Transportation Statistics in July 1999. The definition of “non-metropolitan” is the closest possible approximation of the FHWA-recognized “urbanized areas” defined for MPO jurisdictions. See Tables A-2 and A-5 in the Appendix.

members of an appointed transit board that has final decision-making authority over transit spending, facilities, and services.

- **State Department of Transportation.** Not all SDOTs have the same responsibilities. For example, some have authority over all or most modes of transportation, while others do not. Similarly, some SDOTs have broad responsibilities for transportation safety, and others do not. These differences are determined by differences in state laws that may make it more difficult in some states than in others to pursue intermodal planning and planning for other broad transportation considerations. A division of transportation responsibilities among multiple state agencies may make consultations with local officials more difficult. Partnering among the state transportation agencies within a state may be necessary to fulfill the intent of TEA-21.
- **State Transportation Planning.** “Each State shall carry out a transportation planning process that provides for consideration of projects and strategies that will—(A) support... economic vitality...; (B) increase... safety and security...; (C) increase... accessibility and mobility...; (D) ... enhance the environment, promote energy conservation, and improve quality of life; (E) enhance the integration and connectivity of the transportation system; (F) promote efficient system management and operation; and (G) emphasize the preservation of the existing transportation system.” (23 USCA 135 (c)) As part of this process, “Each State shall develop a long-range transportation plan, with a minimum 20-year forecast period, for all areas of the State, that provides for the development and implementation of the intermodal transportation system of the state.” (23 USCA 135 (e))
- **State Transportation Improvement Program.** A STIP is a federally required list of prioritized projects and spending proposals to be funded over at least the next three years to help implement the state’s approved long-range (20-year) transportation plan. The process of developing, approving, and amending the STIP is referred to frequently as “programming.”
- **Consultation and Cooperation.** Under both ISTEA and TEA-21, a distinction is made between “consultation” and “cooperation.” In most cases outside the MPO boundaries, the SDOTs are to prepare plans and make decisions about using their TEA-21 funds “in consultation with” local officials. That means that the SDOTs listen to and consider local-officials’ views before they make such decisions. However, decisions about the use of federal funds for projects not on the National Highway System, or not for federally funded bridges and Interstate maintenance, are to be made “in

cooperation with” local officials--23 USC 135(f)(3). For these decisions, the state and local officials are to work together to arrive at decisions aimed at achieving common goals and objectives.<sup>4</sup> Figure 1-2 shows how TEA-21 requires cooperation and consultation with local officials in transportation planning, programming, and project selection outside metropolitan areas (as well as inside those areas). Some states go beyond these minimum requirements now.

**Figure 1-2**  
**RESPONSIBILITIES FOR SURFACE TRANSPORTATION DECISIONS**  
**23 USC 134/135 as Amended by TEA-21**

Geographic Area Process	TMA (Large MPOs)	URBANIZED (Small MPOs)	Outside MPO Areas
<b>Plans</b>	MPO responsible in <u>Cooperation</u> with State	MPO responsible in <u>Cooperation</u> with State	State responsible in <u>Consultation</u> with local officials
<b>Programs</b>	MPO responsible in <u>Cooperation</u> with State	MPO responsible in <u>Cooperation</u> with State	State responsible in <u>Consultation</u> with local officials
<b>Project Selection</b>	IM/NHS/BR State selects in <u>Cooperation</u> with MPO	IM/NHS/BR State selects in <u>Cooperation</u> with MPO	IM/NHS/BR State selects in <u>Consultation</u> with local officials
	Other projects: MPO selects in <u>Consultation</u> with State	Other projects: State selects in <u>Cooperation</u> with MPO	Other projects: State selects in <u>Cooperation</u> with local officials

- **Effectiveness of Local-Official Consultations.** There are no indications in TEA-21 or regulations about the meaning of “effectiveness” for these consultations. Therefore, this study of effectiveness will suggest how the concept can be defined.
- **Consultation Practices.** TEA-21 and existing regulations also are silent on the types of consultation practices that can or should be used to meet the

<sup>4</sup> The official definitions in the federal regulation (23 CFR Ch. 1, 450.104) are as follows: “Consultation means that one party confers with another identified party and, prior to taking action(s), considers that party’s views. Cooperation means that the parties involved in carrying out the planning, programming and management systems processes work together to achieve a common goal or objective.”

consultation requirement. Many different practices are being used for this purpose, and they are described, in general, in this report.

- **Local-Official Consultation Is Not the Same as Public Involvement.** The consultations and cooperation with non-metropolitan local officials, required by TEA-21, are separate from the Act's public involvement requirements. The consultation and cooperation provisions in federal regulations create more of a partnership between the SDOT and local governments, in which both parties have responsibilities for providing transportation facilities and services. Relationships with the public are equally important, but are different. Members of the public are users of transportation facilities and services (often thought of as "customers"), and/or persons impacted by transportation programs. The public is entitled, by law, to be heard also, but the dialogues with them are likely to be somewhat different from the dialogues with local officials. In addition, local officials have their own consultations and dialogues with the public on transportation issues.
- **Unfunded Federal Mandates.** These mandates are federal requirements that would cost state and local governments more than \$100 million per year to meet without reimbursement from the federal government. Under the *Unfunded Mandate Reform Act of 1995*, such mandates are not to be enacted by Congress without estimates of their intergovernmental costs being prepared and made available for debate before the bill containing them is voted on in Congress. If these estimated costs are more than \$100 million per year and would not be funded by the federal government, any member of Congress may call for a separate vote on the question of whether to go forward with consideration of the bill despite the unfunded burden that would be imposed on state and local governments.
- **Federalism Executive Order.** The new Executive Order on Federalism (Number 13132, signed on August 5, 1999) sets forth several "fundamental federalism principles" to guide federal agencies in formulating and implementing policies that have intergovernmental implications. The order's purpose is to avoid actions by the Executive Branch that would place burdens or requirements on the states beyond those clearly provided by law. It also establishes several policy-making criteria for federal agencies to follow, including one that says "agencies shall: (1) encourage States to develop their own policies to achieve program objectives..." This executive order resulted from a long negotiation between the Clinton Administration and representatives of the state and local governments.

## **METHODS AND LIMITATIONS OF THIS STUDY**

The Academy's contract with FHWA became effective on May 19, 1999, and was originally scheduled to provide a report by December 31, 1999. At the request of

participating SDOT and local-official representatives, the time and funding subsequently were extended to provide the report by May, 2000.

Largely because of funding limitations, the scope of work for this study did not provide for either on-site fieldwork in a sample of states or a reliable national survey that could adequately document state consultation processes and practices, and accurately measure their effectiveness from both state and local viewpoints. Therefore, from the beginning, the Academy's study was designed to make maximum use of the information collected by FHWA from state and local officials. These materials include (1) SDOT descriptions of their own consultation processes, (2) local comments on the state processes, and (3) summaries of FHWA's Rural Planning Workshops. Each of these sources has been thoroughly studied.

In place of field visits, the Academy planned a series of structured telephone interviews with both state and local officials in 12 states to obtain a balance of state and local views on the main types of state consultation processes and practices identified from state submissions and ten Rural Transportation Planning Workshops. The interviews were structured to provide state and local views in at least two states on each of the practices identified. The telephone interviews were intended to develop some insights into the relative effectiveness of the various types of practices being used.

However, AASHTO and several SDOTs objected to this approach after it was underway, and the interviewing was discontinued at the request of FHWA. The states' objections were based on the lack of agreement about criteria for judging effectiveness of the practices, inadequate sampling methods, and doubts about whether local officials would understand the questions being asked. As a result, the Academy had no practical means of independently assessing the effectiveness of the state consultation processes and practices, even on a sample basis.

To provide a basis for evaluating the consultation processes in the states, the Academy performed a literature review of criteria for measuring the effectiveness of consultations. Every aspect of the Academy's study was done in consultation with FHWA, the Academy's study panel of four Fellows of the Academy with distinguished careers in relevant fields, FHWA's Steering Committee of federal DOT representatives, and FHWA's Sounding Board representing state and local governments and other federal agencies. In addition, a special workshop was held on January 9, 2000, in conjunction with the Annual Meeting of the Transportation Research Board, to consider the question of effectiveness in intergovernmental consultations. Thirty states were represented at this workshop, and approximately 70 people attended. Another workshop with a similar agenda was attended by 28 local government and regional council officials on March 20, 2000 in conjunction with the Washington Policy Conference of the National Association of Regional Councils (NARC). Some representatives of local development districts, in town for an Appalachian Regional

Commission conference at the same time, were among those attending the workshop at the NARC conference.

The Academy's study panel met five times to help guide the study, and invited the Steering Committee and Sounding Board members to attend all but the first meeting. FHWA representatives participated in all of the panel's meetings. Draft materials were provided in advance to all invitees, and all participants were heard to the extent that they desired. The Academy's report has benefited greatly from this very rich exchange of views.

## **SCOPE AND FOCUS OF THIS STUDY**

This study explores the key issues related to state consultation processes and practices, and presents eight findings that the study panel believes can become the basis for recommendations and/or further consultations between the representatives of state and local officials willing to mediate their remaining differences. The debate in Congress over how these consultations should be conducted and monitored carried over into this study. In essence, representatives of the SDOTs want to keep the present flexibility to determine their own methods of consultation with local officials. In contrast, several of the local-official organizations, in a joint letter to FHWA, dated December 22, 1999, expressed a strong desire to have data on "the effectiveness of the participation of local government officials in [state] transportation planning and programming... on a state-by-state basis... to [bring] those states... not consulting as required... into conformity with federal law."<sup>5</sup>

### **Initial Local Comments on SDOT Consultation Processes**

Before the Academy became involved in FHWA's study, local officials were invited (through their national associations) to provide their views of the SDOT consultation processes. Substantive comments were received from 56 local officials in 32 states. From 15 of those states, only a single response was received. From the other 17 states, responses were received from 2 to 4 local officials. Most respondents were from regional planning organizations in rural areas.

Most comments were received around June 1999, and were read initially by Academy staff as background for beginning its study. Because this information was self-reported and not part of an overall methodological approach, it was not systematically tabulated. The concern was that it might not provide a sufficient basis for judging the

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<sup>5</sup> This letter was signed by the executive directors of the American Public Works Association, National Association of Counties, National Association of County Engineers, National Association of Development Organizations, and National League of Cities.

effectiveness of any given state or any particular consultation practice. At the time this information was collected by FHWA, the Academy had not yet identified the primary consultation practices being used in the states.

Subsequent analysis of these local comments indicated satisfaction with the SDOT consultation process in nearly half of the states, dissatisfaction in about one-third, and mixed views in about 18 percent. These responses seemed to confirm the existence of widely differing local views about SDOT consultation processes, both within and between states.

Illustrative local comments, both favorable and unfavorable, are listed in Appendix E to provide a flavor of the support for and concerns about the rural transportation consultation process, as viewed by local officials. The comments are not attributed to individual states in this report, and the Academy does not present them as validated evaluations of the effectiveness of the consultation process in any given state.

The Panel realizes that this study does not go as far in resolving the issue of effectiveness as many had hoped. Nevertheless, the Panel believes that this study makes significant strides toward that goal.

### **Academy's Approach to the Study**

At the beginning of this study, the Panel identified the following six key topics to be researched:

1. The nature of the state transportation planning and programming available in each state to consult local officials about
2. The organizational units and governments where decisions are made about non-metropolitan transportation facilities and services in the states
3. The methods of consultation being used by the SDOTs
4. The nature of the consultations
5. The purposes of and outcomes expected from the consultations
6. The effectiveness of consultations with non-metropolitan local officials

Each of these topics has been carefully studied, and substantial differences have been found from one state to another in each case. The results of this research are presented in the chapters that follow.

- **Chapter 2** describes a framework for dialogue based on federal requirements for consultations, and the benefits that state and local officials might expect to derive from these consultations.
- **Chapter 3** describes the widely differing demographic, governmental, and transportation contexts that are found from one state to another, and how these factors may affect SDOT consultations with local officials.



- **Chapter 4** describes the consultation practices and processes being used in state transportation planning and programming.
- **Chapter 5** considers the need to establish principles of effective consultations, discusses six such principles, and explores some ways in which the principles might be used to measure effectiveness of consultations in the states.

In this report, the Academy presents eight findings that it believes are supported by the research conducted for this study. Appropriate findings are included in the Executive Summary and in Chapters 2-5.



## CHAPTER 2

### THE NEED FOR CONSULTATIONS

There are two fundamental motivations for SDOT consultations with local officials in non-metropolitan areas. The first is to obtain help in achieving transportation goals within the state. The second is to comply with federal requirements. This chapter examines these motivations in the context of TEA-21 and other factors. In addition, it highlights the differences among states in the types of plans prepared and the context in which they are used.

### FEDERAL CONSULTATION REQUIREMENTS AS A FRAMEWORK FOR DIALOGUE

TEA-21 requires the state DOTs to consult with the local officials outside metropolitan planning organization (MPO) boundaries about two topics: (1) the statewide transportation plan, and (2) the state transportation improvement program (STIP).<sup>6</sup> In addition, the *Government Performance and Results Act of 1993* requires all federal departments and agencies to plan for and report to Congress and the American people on the customer-oriented outcomes that result from their programs. In the transportation area this requirement is intended to generate discussion about what the people are getting for the tax dollars spent through federal-aid transportation programs delivered by state and local governments and other partners.

The U. S. Department of Transportation (U.S. DOT) is a leader among federal agencies in developing outcome-oriented strategic plans, annual performance plans, and annual performance reports. FHWA and FTA have developed more specific strategic plans to help implement the department's plans. Although these federal agency plans establish a general framework for the administration of federal-aid transportation programs, TEA-21 places authority to make most planning, programming, and project selection decisions in the collaborative statewide and metropolitan planning processes. Therefore, with the exception of congressionally earmarked projects, the federal government's relationship to setting and implementing goals in the highway and transit programs is largely indirect. Its influence is limited to writing general regulations, making a limited number of discretionary grant awards for non-formula programs, research support for best-practices, and administrative oversight.

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<sup>6</sup> For purposes of this discussion, it is assumed that local officials of the communities located inside MPO boundaries are represented in the MPO planning and programming process, and are not subject to the TEA-21 requirement for direct SDOT consultations with non-metropolitan local officials. The nature of MPO planning for rural areas within their area of jurisdiction is examined in another part of this report.

Nonetheless, these federal requirements suggest that three types of dialogues could be useful features of effective consultations between the SDOTs and local officials in non-metropolitan areas:

- A. a planning dialogue
- B. a programming (project funding) dialogue
- C. a results dialogue

These dialogues are interdependent; if one is missing, the others could suffer. Each of these three dialogues is explained more fully below, and some illustrative examples of related state practices are cited.<sup>7</sup>

### **A. The Planning Dialogue**

Constructive dialogue between state and local officials about rural transportation, identifies:

1. the rural transportation needs and issues
2. state and local views of these needs and issues
3. how state and local plans to meet rural transportation needs might differ
4. how any such differences might be resolved

This dialogue is facilitated when both the state and local participants have access to planning support, as well as an ability to participate with all of the relevant players. For example, local officials who are asked to review and comment on a state-developed plan, may provide less productive responses than local officials who have their own planning processes through which they have exchanged ideas that they can share with the state. Also, local views can be more meaningful when made in a state planning process that is jointly guided by state and local officials. Likewise, in states where the legislature will make final decisions on the plan, it is beneficial to get legislative views into the planning process at early stages.

TEA-21 requires long-range statewide transportation plans to:

- address all state transportation modes, as well as interconnections among them
- consider a variety of non-transportation factors that both affect transportation and are affected by transportation (such as land use, the environment, and economic development)
- be prepared in consultation with affected parties

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<sup>7</sup> This presentation should not be considered a definitive or systematic inventory of the practices and processes currently in place in all the states. It is based on submissions of information which were not verified or supplemented by independent research. In addition, the Academy did not evaluate the effectiveness of the practices cited. They are cited for illustrative purposes only.

- establish the basis for funding projects and programs that would help to implement the plans

Federal legislation has required states to prepare long-range plans only since 1991. Although some states prepared plans in earlier years, a number still do not have their plans sufficiently developed to provide a strong basis for dialogue with local governments outside metropolitan areas. Local and regional planning often is more fully developed in metropolitan areas, where it has been required to meet federal standards since the early 1960s.

In the non-metropolitan portions of some states, dialogue often has focused largely on a long-range list of projects to be funded as a substitute for, or adjunct to, a long-range plan with greater strategy and policy content. While the “programming dialogue” discussed later requires lists of the projects to be funded over at least the next three years, some states include lists covering a longer period. For example, states that have project lists covering 5-10 years include: Alabama, Delaware, Florida, Georgia, Kansas, Kentucky, Louisiana, Maine, Nevada, New Hampshire, North Carolina, and South Carolina.

The types of state transportation plans and planning processes being developed to meet TEA-21 requirements vary significantly from one state to another, partly because of state law, and partly because of the different ways that state practices have evolved. Thus, to understand the state-local transportation planning dialogue in non-metropolitan areas, it is helpful to (1) examine the various types of plans that are being produced by the states, and their transportation content, and (2) describe the means that states are using to consider non-transportation factors. These two subjects are treated next.

### **Types and Content of Long-Range Statewide Transportation Plans**

Transportation plans differ from state to state, but generally blend some combination of the following four dimensions, each of which represents a continuum of practices that vary quite widely by:<sup>8</sup>

1. **degrees of specificity** that vary from very general and broad policies to specific transportation systems and facilities plans, and sometimes to multi-year lists of specific projects
2. **degrees of completeness** that vary from statewide systems and policies only to systems and policies that also address regional and local needs.
3. **degrees of modal integration** that vary from systems of separate transportation modes integrated to intermodal systems

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<sup>8</sup> Not all states blend elements from all four dimensions.

4. **degrees of integration among funders** that vary from state funded facilities only, or federal-aid systems only, to integrated systems that include facilities and services funded by all funding sources—federal, state, local, and private.

Each of these dimensions is described below in a conceptual way. The study methodology did not include an independent examination of statewide transportation plans; rather, it relied on characterizations of them from the summaries of discussions at the ten Rural Transportation Planning Workshops. Based on these characterizations, it appears that some plans include all four dimensions to some degree, but most are not pure examples of any single dimension. A general description of the dimensions follows, with some illustrations indicating the range of variations encountered. The characterizations of plans cited here do not represent a complete inventory of state plans; instead, they illustrate the diversity of approaches taken by some SDOTs. The Academy has not evaluated the effectiveness of these state planning processes.

1. **Policy versus Facilities Plans.** Policy plans may include:

- visions of the future
- general goals and performance standards (such as levels of service) to be met in individual modal plans or regional plans
- general priorities (or even specific formulas) for allocating future transportation resources
- identification of critical transportation corridors in the state that are to receive special study on a priority basis

Facilities plans, in contrast, include specific transportation facilities or networks of facilities. Some also include such details as pavement management systems for extending the life of existing roads. Examples of plans that are largely facilities-oriented include: Iowa, Kentucky, Mississippi, New Mexico, North Carolina, South Carolina, Tennessee, Virginia, and West Virginia.

Michigan provides an example of a policy plan supplemented with some critical multimodal corridor plans. Minnesota's policy plan, updated every three years, integrates system performance and economic efficiency standards with citizen values, as a basis for developing specific facilities plans at the regional (DOT district) level. Alaska also has a statewide policy plan supplemented by a set of intermodal regional facilities plans (which are partly completed). Wisconsin provides a hybrid example that combines a visionary policy plan, reflecting a great amount of public involvement, with specific statewide plans for individual modes. Utah's plan identifies 40 priority corridor studies that need to be done.

Some states, such as Ohio, recently have given top spending priority, in their policy plans, to the maintenance and preservation of their existing transportation systems. In

spite of significant increases in transportation funds in recent years,<sup>9</sup> this reflects the difficulty some states are having in meeting their total transportation needs.

**2. Statewide versus Regional Plans.** Some state transportation plans include only those systems that provide statewide connectivity and policies that apply statewide. Kansas provides an example. Such plans often are developed centrally by the state DOT.

Other state plans incorporate transportation systems that are developed by local governments, regional planning organizations, or state transportation district offices--through a bottom-up process. The Colorado, Kentucky, Maine, Missouri, New Hampshire, Pennsylvania, South Carolina, and Vermont plans, for example, are largely built up from regional plans. Maryland's plan is developed in close coordination with county plans.

**3. Separate Modes versus Integrated Intermodal Plans.** The degree to which the separate modes are included and integrated into the state transportation plans varies, depending in part on the degree to which the separate modes are funded through and/or owned and operated by a single SDOT, instead of being the responsibility of separate state agencies. Non-metropolitan facilities, in particular, are often the responsibility of a state transportation agency. Missouri provides an example of a multiple-mode SDOT; it handles highways, ports, airports, and transit in one department. Nebraska handles highways, rail, rail crossings, and transit in one department, but not air. Kansas' plan is still mostly highway, but is being revised to give attention to aviation, transit, and rail. Maine places a great deal of importance on airports, which provide a basic link to its small rural communities in the north. Alaska and Hawaii both place as great importance on air and water transportation as on highways, because air and water provide essential elements of connectivity that highways cannot provide, given the physical geography of those states. In South Carolina, which has had a DOT only since 1992, ports are still separate.

The degree of attention to intermodal connections also varies. For example, some states treat the rural transit program as a pass-through grant program, with little or no integration into state transportation strategies. In these cases, the local transit applicants are primarily responsible for meeting requirements and providing the matching funds. However, other states take a variety of steps to promote and integrate transit into the statewide transportation strategy and system. In addition, some states also provide part or all of the required non-federal matching funds for these programs.

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<sup>9</sup> TEA-21 provided a significant increase in federal funds for highway and mass transit capital programs. According to the latest figures, for example, total federal disbursements for highways are expected to reach \$119.9 billion in fiscal year 2000, a 17.6 percent increase over 1997. See FHWA Bulletin, "Highway Funding 1997-2000," March 3, 2000. Of the revenues collected to fund highways, in 1998 (preliminary figures), approximately 22 percent are federal, 53 percent are state, and 25 percent are local.

A few states provide more transit funds than are required to match federal transit funds as a means of encouraging a greater role for transit in meeting overall access and mobility needs.

Some steps that states are taking to integrate transportation programs on modes are described in the following list of examples:

- Louisiana has created a five-agency Inter-Agency Transportation Coordination Committee that also includes Senate and House representation from the state legislature. The state also has a special intermodal program known as the Transportation Infrastructure Model for Economic Development.
- Washington has created a Freight Mobility Strategic Investment Board to help integrate the various modes of freight transportation.
- Florida has established a Commission for Transportation Disadvantaged, plus Local Transportation Coordination Boards, and requires all transit programs to be coordinated with each other.
- Kentucky coordinates the human services transportation and public transit programs through a four-department interagency mechanism at the state level that contracts with 16 multi-county brokers to coordinate transit services of the various transit providers within their areas. Some of these brokers are public while others are private non-profits and for-profits.
- Georgia law requires all human services transportation funding to be coordinated through public transit programs.
- Texas transportation districts now each have a public transportation coordinator; all human services transportation grants must be applied for through a rural transit district, and the council of governments (COG) in each area is required to approve applications from the rural transit districts before they can be funded.
- Kansas has created 15 multi-county transit districts, each of which consolidates all applications for federal transit funding from its area.
- North Dakota's DOT coordinates 43 rural public transportation programs throughout the state, including three that are Tribal. It uses a consolidated transit grant program that is simple and flexible. The program has been adapted for use in Minnesota.



**4. State and Federal-Aid Systems versus Integrated Plans.** Some state transportation plans include just those systems for which the state is responsible, and in some cases the state applies most or all of the federal-aid funds to these systems. For example, Missouri owns about 27 percent of the roads in the state, but that includes over 95 percent of all the roads eligible for federal aid.

Five states have very large highway responsibilities compared to local governments; these states include West Virginia, Delaware, Virginia, North Carolina, and South Carolina, each of which owns 65-93 percent of all the roads in the state. Therefore, their state plans automatically include most highway facilities in the state.

Many states allocate, by various means, substantial amounts of state and/or federal funds and transportation responsibilities to local governments. In some cases when state funds alone are allocated, local governments may plan their systems separately from the state; examples include California, Oregon, Nebraska, Kansas, Alabama, Ohio, Michigan, Wisconsin, Missouri, Iowa, South Dakota, and Mississippi. This orientation toward planning separately for the use of funds from specific sources often is agreed to by state and local officials seeking the most direct and efficient way to put transportation funds where the needs are. Local needs frequently are greater than their ability to fund them without state or federal help. Allocations in which state funds are provided to local governments in lieu of federal funds are sometimes used to shield local governments from having to comply with highly expensive or burdensome federal requirements. In some cases, however, sub-allocations may limit the ability to meet overall transportation needs in the state because they lack the flexibility needed to balance statewide and local needs to ensure adequate performance of the overall transportation system.

Other states, such as Minnesota, do their transportation planning without regard to funding sources or the current assignment of transportation responsibilities, and then look for appropriate means of implementation. This approach is intended to be more performance-based and less constrained by specific funding categories and conditions. Negotiated joint-funding agreements may be used to implement projects that might not have even been considered under a more compartmentalized approach. In rural Minnesota, for example, an affordable county road upgrade project was substituted for an unattainable state freeway proposal to support local economic development proposals for a new airport and industrial park. This solution was arrived at when all the affected state and local parties got together to examine the alternatives.

#### **Means of Considering Non-Transportation Factors**

In the materials gathered at FHWA's ten Rural Planning Workshops and those submitted separately by state and local officials, there were references from a few states to coordinating state transportation plans with economic development and land use policies. Three approaches to this task appear to be emerging: (1) coordination among

state agencies, (2) contracting with regional planning organizations, and (3) reliance on local officials consultation comments.

Two lists of practices for considering these non-transportation factors are provided in Chapter 4. The first contains practices for considering economic development, and the second contains practices for considering land use. These two lists illustrate how other states might enhance their efforts to consider land use and economic development factors in their transportation planning and programming processes.

## **B. The Program Funding Dialogue**

The dialogue about how to get individual transportation projects and activities funded has seven distinct parts, each of which is of interest to local officials:

1. establishing the programming process
2. initiating funding proposals
3. prioritizing funding proposals
4. selecting proposals for the STIP
5. advancing projects from the STIP for implementation
6. reporting on the status of STIP projects
7. considering sources of additional funds

The key question for local officials is how to gain access to this seven-part dialogue and effectively participate. Does the local consultation process provide access to all seven parts of the funding dialogue? How timely is that access? How much influence does this access provide? The answers vary from one state to another, and must take into account the widely varying decision-making processes in the different states.

Some examples will help to explain these seven parts of the funding dialogue in relation to the differing state decision-making processes. The examples cited are illustrative only. They are not based on a complete and verified inventory, and their effectiveness has not been evaluated.

### **1. Establishing the Programming Process**

A dialogue between SDOT and local officials can be helpful in establishing the procedures by which project priorities and funding decisions will be made. Procedures

that are established this way are likely to be better accepted and to produce decisions that will have greater support.

## **2. Initiating Funding Proposals**

Four different approaches appear to be used to provide local governments with access to the process of building initial lists of proposed projects and programs to be funded in their jurisdictions:

- **Calls for Proposals.** These invitations to submit projects for funding take several forms. Some are individual letters to local governments, transportation special districts, and transit agencies. Others are more widely posted notices (addressing anyone having an interest, including the general public); in some cases these notices are posted on the Internet. In still other cases, hearings on needs are held at various locations around the state. The initiative for responding to these invitations is left to local officials.
- **SDOT District Initiative.** Several states rely primarily on their SDOT district offices to listen to what is going on in their jurisdictions, participate in local and regional planning processes, and maintain open-door policies that welcome local officials who wish to stay in touch. Some districts also sponsor workshops and open houses (sometimes in cooperation with local governments and regional planning organizations) to seek-out proposals. Such processes may yield either an annual “needs study” or, at least, an initial list of proposed projects for consideration in the next funding cycle.
- **Consultation Tours.** A few states have a formal annual process in which the SDOT visits each county (or other local government or a multi-government region) to discuss transportation needs and specific proposals with local officials. These systematic visits are initiated by the SDOT. In some states, more than one round of these meetings occurs each year. In other states, these meetings are less intermodal and less interactive, resembling the traditional “road show” in which individual highway projects are still the dominant topic and the conversation is more one-sided. Maryland provides an example of a highly intermodal and interactive, planning oriented version of this practice.
- **Decentralized Intergovernmental Processes.** Several states delegate responsibility for preparing TIPs for certain classes of transportation facilities or services to counties, cities, towns, COGs, and/or RPOs. In addition, the states solicit TIPs from Tribes and federal land-management agencies. Tribal and federal agency TIPs are required to be incorporated into the STIP wherever they exist to ensure that all Title 23 highway and FTA-funded projects in the Tribal and federal land-management agency

programs are included in the STIP. Some states also incorporate TIPs generated by local governments and regional organizations into the STIP, while in other states the projects in these “grass roots” TIPs must compete to get into the STIP.

### **3. Prioritizing Funding Proposals**

Once a list of proposed projects is in hand, the next task is to prioritize them. In states that invite or promote TIPs from local officials (and from Tribes and federal agencies), those TIPs not only provide a list of proposed projects, but they also prioritize them.

In other states, the SDOT does the initial prioritizing of proposed projects. Sometimes, the SDOT district takes this initial step; in other cases it is done centrally. In some cases, this is a staff function, based on some sort of “objective” scoring or rating process that applies the statewide policies and criteria found in the state transportation plan. In other cases, an advisory committee, which includes local officials in some cases, makes the first cut.

### **4. Selecting Proposals for the STIP**

Final decisions on the STIP, adopting it, are made by state legislatures in about 15 percent of the states, by state transportation commissions in about 20 percent of the states, and by the SDOT itself in the other states. These decisions are made after a review and comment period.

### **5. Advancing Projects from the STIP for Implementation**

Once in the STIP, a project is on a priority list for funding. The exact starting date of the project, phases funded in a particular year, funding sources, and amounts of funding each year are decided based on factors such as when the necessary environmental decisions are made, when land acquisition is complete, when engineering designs are ready, and when final political decisions are made. Some projects that start lower on the priority lists in the STIP may be advanced more quickly when others encounter unanticipated problems.

### **6. Reporting on the Status of STIP Projects**

The need to report on the status of STIP projects was not addressed in the Rural Transportation Planning Workshops or in the materials submitted for this study by state and local officials. In addition, such reporting is not required by the federal government in non-metropolitan areas. Nevertheless, such reporting may be important to the parties in the non-metropolitan areas as they become more fully engaged in the state-local consultation process. It provides essential support to effective dialogue in

the continuing planning and programming processes by demonstrating the degree to which progress is being made toward implementing adopted plans.

## **7. Considering Sources of Additional Funds**

In many cases, both metropolitan and non-metropolitan, current transportation funding from traditional sources falls short of meeting demonstrated needs. In some rural areas, especially those with declining populations, just maintaining the existing transportation systems in good repair is difficult, and new initiatives are very difficult to get into the STIP.

These tight funding conditions have spurred revenue discussions in several states that are of direct interest to local officials. Some examples include:

- building support in the state legislature for increasing state funding of transportation
- levying taxes on growing modes of transportation, such as the railroad mileage tax in Nebraska
- increasing local responsibilities for matching the federal and state funds made available to them (with over-matching being promoted in some states as a means of “buying” additional points in project selection scoring)
- getting land developers to contribute more toward solving transportation problems
- collecting fees on facilities such as toll roads and bridges

In other words, some of the financial elements of TEA-21 plans do more than simply keep all the parties within existing financial constraints. Local officials have vital interests in being consulted about this dimension of state transportation decision-making.

### **C. The Results Dialogue**

This dialogue completes the circle when projects and programs have been implemented. Its objective is to demonstrate how the activities funded by STIPs have contributed to goals identified in state transportation plans, such as reducing congestion, improving accessibility to important locations and services, increasing safety, improving the economy, reducing pollution, and improving livability in the community. Under the *Government Performance and Results Act*, each of these outcomes is to be associated with their costs to facilitate assessments of their cost-effectiveness.

Although outcomes frequently are difficult to quantify, they are the essence of what transportation programs are trying to achieve. This dialogue, even when it is only in qualitative terms, is about the performance and efficiency of the transportation system, and the results achieved by implementing the plan. It is important for providing feedback to both state and local officials when revising the plan the next time around.

Performance measurement and program evaluation are topics that are getting more attention in federal agencies as a result of the *Government Performance and Results Act of 1993*.<sup>10</sup> Although this act does not apply directly to state and local governments, as mentioned earlier in this chapter, it does apply indirectly through federal-aid programs. As the federal agencies making grants align their planning goals, management and information systems, budgets, and strategies for dealing with Congress more closely with their GPRA strategic plans, these factors are likely to be reflected increasingly in the agencies' administration of grant programs.

Similar strategic planning and management principles also are getting attention in a number of state and local governments as a result of separate initiatives at those levels of government.<sup>11</sup> In addition, The National Cooperative Highway Research Program (NCHRP) has been studying performance-based transportation planning in eleven transportation organizations.<sup>12</sup> Thus, performance measurement and reporting are not foreign to transportation planning. One example, is the key part that the Highway Performance Monitoring System (HPMS) has played in the federal-aid highway program for about two decades. It recently has been revised and updated to make it less burdensome and more useful. However, these practices have not yet become mainstream elements of statewide transportation planning in many states.

No specific questions about the results dialogue were included in the Rural Transportation Planning Workshop agenda or in FHWA's request for its field offices to work with their respective SDOT to secure descriptions of their consultation processes. Nevertheless, "results" relating to the performance of transportation systems were mentioned occasionally.

For example, Montana reported that it is using both mail and telephone surveys to gauge the performance of all modes within its transportation system. The survey findings identified upward trends in overall citizen satisfaction with the transportation system, and downward trends in perceived system problems. The highest growth in satisfaction in the latest survey related to bike and pedestrian facilities. The state

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<sup>10</sup> National Academy of Public Administration, *Helpful Practices in Improving Government Performance* (Washington, DC: 1998).

<sup>11</sup> U. S. Advisory Commission on Intergovernmental Relations, *Intergovernmental Accountability: The Potential for Outcome-Oriented Performance Management to Improve Intergovernmental Delivery of Public Works Programs* (Washington, DC; May 1996).

<sup>12</sup> Stephen M. Pickrell, *Performance-Based Planning Manual: Final Report*, NCHRP Project 832(2), "Multimodal Transportation: Development of a Performance-Based Planning Process" (Washington, DC: Transportation Research Board, November 1999).

believes this result reflects the success of its Community Transportation Enhancement Program which allocates all of Montana's federally designated "enhancement" funds to over 100 local governments, where the majority of the projects selected are bicycle and pedestrian facilities.

In addition, many states rely on local officials and regional planning organizations to collect and report highway performance data that are combined with state data to provide a more complete picture of the results being achieved throughout the state. These data are also reported to the federal government through the long-established HPMS program. In preparation for its annual consultation meetings with local officials, the Pennsylvania DOT prepares an annual "report card" on the status of all its projects in all modes of transportation. Reporting partnerships like these can help to support the results dialogue in the state-local consultations about rural transportation.

## **BENEFITS OF CONSULTATIONS IN THE STATE TRANSPORTATION PLANNING AND PROGRAMMING PROCESS**

As this study has demonstrated, the purposes and outcomes of consultations in transportation planning and programming processes are complex, and are not viewed the same way by all the parties. Initial reactions to changes in the federal consultation requirement differ greatly between the state DOTs and local officials, with some states seeing the changes as another federal regulatory burden that could be counterproductive, and the rural officials seeing them as a new opportunity for their communities to have greater influence and get more transportation benefits than before. These are important questions, certainly, but not the only ones. Six benefits of the consultation process sometimes cited are:

- **Improved performance of transportation systems and better outcomes for people.** Feedback from local officials can help to keep track of not just performance of the transportation system itself, but also its contributions to improving outcomes in terms of mobility, accessibility, social justice and equity, livability, safety, and economic vitality and opportunity in rural America. These are the kinds of outcome goals set forth in U.S. DOT's own strategic plan. To the extent that state and local transportation programs help reach these outcomes in partnership with U.S. DOT, the more likely it will be that U.S. DOT will be able to report success to Congress.
- **Better plans and programs.** Consultations frequently identify new needs and better ways to meet needs, including ideas from outside the transportation field itself. Such ideas may be key to helping transportation programs contribute most effectively to economic development, land use, and livability.

- **Stronger support for implementing plans and projects.** Often, developing plans and programs is the easy part; getting them implemented is harder. Involvement of local officials in the planning and programming process frequently helps to improve the implementation record by demonstrating to the public and to the state legislature that there is broad support for the state transportation plan, program, and budget.
- **Local-official help in meeting transportation needs.** In most parts of the nation, locally funded streets and roads, locally funded transit systems, and other locally supported transportation facilities and services provide important parts of the overall transportation system. The more closely these local transportation systems are coordinated with state transportation systems, through effective consultations, the more likely both systems are to achieve their goals.
- **Shared responsibilities for meeting federal requirements.** As federal transportation planning requirements are reaching further into such concerns as economic development, social and economic equity, and land use. As this trend develops, coordination with local governments, and the unique governmental powers they exercise, is becoming increasingly important in developing and implementing acceptable state transportation plans. Local land use controls need to be exercised as planned if the transportation plan based on them is to succeed. Local housing, social services, and specialized transportation programs also can play an important role. Local economic development initiatives may both rely on and impact transportation facilities and services. Thus, a partnership with local governments is becoming a more important ingredient in achieving the complex customer-oriented outcomes that federal programs are coming to expect from state transportation programs. These local powers go beyond the reach of SDOT powers, but are increasingly important to SDOT success.
- **Increased trust in government.** This benefit is greatest when the consultation process is viewed as fair, open, inclusive, timely, and legitimate, so that everyone at least understands the reasons for decisions, even if they disagree with certain decisions. Such a process helps to dispel mysterious results and avoid surprising the consulted partners. It also helps to dispel generalized opposition that is not based on specific problems, complaints, or misunderstandings. Most importantly, perhaps, it strengthens the democratic process and faith in participatory government.

The effort put into the non-metropolitan consultation process is likely to be more acceptable to both state and local officials to the extent that the benefits are in keeping with the amount of effort required. To keep all officials—federal, state, and local—constructively engaged in the consultation process, they need to feel that the process is worth their effort.



## **FINDINGS**

Based on this chapter, the panel makes the following findings:

**Finding 1: Consultations with local officials are crucial to making transportation delivery systems work well in the states.** It is largely through consultation processes that coordination of dispersed transportation responsibilities can be achieved and commitments to coordinated actions can be developed. These processes also provide a means for coordinating land use, growth management, economic development, and other initiatives and powers of government that are exercised outside of agencies with transportation programs. In many respects, transportation programs are means to help achieve larger outcomes for society, such as economic vitality, economic and social opportunity, livability, safety and security, mobility, and an enhanced natural environment. TEA-21 requires consideration of such factors in developing statewide transportation plans. Intergovernmental consultations facilitate the links across programs that are essential to realizing these larger outcomes.

**Finding 2: Consultations can be most useful to all the parties if they are conducted within a framework of dialogues about planning, programming, and results.** Linking consultations to the three key dialogues described in this chapter will provide opportunities for the consultations to effectively influence policies and resource allocations that can make a difference in the lives of people in communities.



## **CHAPTER 3**

### **DIVERSITY AMONG THE STATES**

SDOT submissions describing the processes for consulting with local officials in non-metropolitan areas show that many different approaches are being used. The key questions that arise are why do different practices exist, and what impact do they have on what is discussed, who participates in the consultations, what forms the consultations take, and how the consultations can be most effective in each setting found in the states. This chapter explores the diversity of characteristics among states and how they could affect the required SDOT consultations.

#### **KEY CHARACTERISTICS OF STATES AFFECTING CONSULTATIONS**

Several characteristics of the states help to shape their decision-making processes and provide the context for SDOT consultations with non-metropolitan local officials. Taken together, these characteristics provide a rich description of each state with respect to: (1) how rural the state is and how important non-metropolitan issues are to its political process; (2) the nature of state transportation systems and the extent of state responsibilities for them; (3) the types and numbers of local governments and the extent to which non-state officials holding transportation responsibilities are included in the consultations; and (4) the population and economic characteristics of the non-metropolitan communities in the state and the means used to communicate with them.

Fifteen tables documenting these characteristics, as they vary from state to state (tables A-1 through A-15 in the appendix), have been prepared to help explain the states' diverse decision-making contexts. The appendix tables are summarized below in Table 3-1, which shows the ranges between the states with the lowest and highest numbers for each characteristic. It groups the state characteristics under three main headings: (1) demographic and economic factors, (2) governmental factors, and (3) transportation factors. A scan of Table 3-1 reveals that the states differ from each other significantly in many ways. There is also considerable diversity within the states that is not captured in these tables. Some commentary on the differences highlighted in these tables follows.

**Table 3-1: Some Variations in State Characteristics Affecting Non-Metropolitan Consultations**

<b>Characteristics of States</b>	<b>Low</b>	<b>High</b>
<b><u>Demographic and Economic Factors</u></b>		
<b>Size of the state</b>		
Land area in square miles	1,150	587,680
Total population	480,907	32,666,550
<b>Extent to which state is rural</b>		
Average population density (total 1998 population per square mile)	1	1,065
% of population is non-urban <sup>1</sup>	14	84
% of state highway miles are rural	27	98
% land owned by the federal government	<1	83
% of land is non-urban <sup>1</sup>	51	>99
% employment is non-urban <sup>1</sup>	14	83
<b>Racial and cultural composition <sup>1</sup></b>		
% Black	<1	36
% Native American	<1	20
% Asian	<1	57
% Hispanic Origin	<1	28
<b>Demographic composition</b>		
% 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
<b>Rate of demographic and economic change</b>		
% 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
<b><u>Governmental Factors</u></b>		
<b>Number of general local governments</b>		
# Counties	0 <sup>2</sup>	254
#Municipalities	1	1,288
#Townships and Towns	0 <sup>3</sup>	1,794
<b>Number of transportation special districts</b>		
# 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
<b>Number of other governmental bodies</b>		
# Tribal Governments	0	104 <sup>4</sup>
# Regional Planning Organizations	0	24
<b><u>Transportation Factor</u></b>		
<b>Extent of road system that is state owned</b>		
% of state and local roads owned by the state	8	93
# miles of roads on federal land	0	41,870

<sup>1</sup>The term “non-urban” refers to areas outside the FHWA “urbanized areas.” It is roughly equivalent to “non-metropolitan.”

<sup>2</sup>Two states, Connecticut and Rhode Island, do not have counties. Of the states that have counties, two states each have just three counties.

<sup>3</sup>Only 21 states have townships or towns. They are in the northeast and midwest regions.

<sup>4</sup>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.

## Demographic and Economic Factors

Demographic and economic factors help to explain the geographic, population, economic, and growth dynamics of the states as context for their decision-making.

**Size of State.** In square miles, the largest state (Alaska) is about 580 times as large as the smallest state (Rhode Island). In population, the largest state (California) is 68 times as large as the smallest state (Wyoming). If these two factors are put together (Table A-1), the most densely populated state (New Jersey) is found to be 1,000 times as dense as the least dense state (Alaska).

These relationships have a lot to do with how centralized or decentralized a state's transportation programs are likely to be. For example, a large, densely populated state is likely to be administratively decentralized (as California is) in order to make its programs manageable. In contrast, a large sparsely populated state likely would be centralized (as Alaska is) because it has only enough planning and technical expertise to adequately staff one decision-making process.

In terms of total population, states with small populations where a significant number of the leaders know each other (such as Alaska and North Dakota) tend to be less formal and to have more open and direct communications processes. Large densely populated states (such as California) are likely to need more formal and extensive processes and procedures to ensure that everyone has a fair opportunity to be heard.

**Extent to Which State Is Rural.** Five indicators of the extent to which a state is rural (other than overall population density) are included in Table 3-1, and can reveal the importance of non-metropolitan issues. First, the states range between 14 and 84 percent in the extent to which non-urban population makes up the total population.<sup>13</sup> Also, the percentage of state-administered roads in states that are classified as rural ranges between 27 and 98. Federally owned land in states (most of which is open) ranges between 83 percent and less than one percent. Considering all the land area in states, regardless of ownership, the non-urban portion ranges from 51 percent to more than 99 percent.

Finally, in terms of jobs, between 14 and 83 percent of states' total public and private employment is in non-urban areas. As Table A-6 shows, six states have more than 11 percent of their jobs in agriculture, while four states have less than 2.3 percent in that sector. Mining jobs, the other clearly rural sector of the economy, account for 6.6 to 9.1 percent of total employment in three states, while 28 states have less than one percent of their jobs in this sector. Clearly, the states with high agricultural or mining employment have special transportation needs generated by those industries.

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<sup>13</sup> The term "non-urban," as used in this chapter, refers to areas outside the FHWA-recognized "urbanized areas."

These indicators, measuring the extent to which states are predominantly non-urban, primarily urban, or somewhere in between, suggest the likelihood of similarities in the importance of consultations with different groups of local officials. For example, consultations with non-urban local officials may be either central to the politics of the state, or off to the side, or somewhere in the middle. At one extreme, the land area of two states is totally included within the boundaries of federally recognized MPOs, making the TEA-21 requirement for non-metropolitan consultation with local officials inapplicable there, and leaving local officials in the rural fringes of these areas to seek representation through an MPO. At the other extreme, local officials in a predominantly rural state might expect their consultations to be at the heart of some of the state's most important statewide issues and priorities. In a predominantly urban state, in contrast, SDOTs might find it difficult to give great priority to local officials' transportation needs in rural areas. The measures of rural characteristics, therefore, indicate a continuum of situations that call for a variety of responses in the consultation process.

**Demographic Composition.** To be most effective, consultations with communities need to be aligned with the prevailing cultural, language, educational, age, and income characteristics of the population. These characteristics also differ widely from state-to-state. For non-urban areas of the states, the populations vary from 1 to 36 percent Black, 1 to 20 percent Native American, 1 to 57 percent Asian, and 1 to 28 percent Hispanic. Educationally, the non-urban populations range from 9 to 26 percent of adults without high school graduation, and 10 to 56 percent with college degrees. On the basis of income, the states range from 4 to 26 percent below the poverty level. Ages range from 25 to 41 percent 18 or younger, and from 4 to 18 percent 65 or older.

These differences are likely to affect transportation priorities of local officials in the non-urban portions of the state, as well as the means of communication that may be most effective. For example, states with large welfare-to-work programs affecting a large rural population may have different priorities for rural public transit than states with fewer people in those categories. In addition, 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.

**Rates of Change.** Population and employment changes have taken place at different rates in different states over the decade of the 1990s. Although population declined in three states, it has increased in the others, reaching above 20 percent in four. The peak was over 45 percent in the relatively small state of Nevada during that period. The rate of change in employment has not been nearly so wide, but it also has spanned a significant range from negative 3.3 percent to positive 3.6 percent. A rapidly growing state is likely to have substantially different transportation pressures and priorities than one with a declining population and economy.

## **Governmental Factors**

How SDOTs are to consult with non-metropolitan local officials having transportation responsibilities to fulfill the TEA-21 requirements is not spelled out in the legislation. The numbers and responsibilities of such officials differ considerably from one state to another. Most general-purpose local governments (counties, cities, and towns or townships) have transportation responsibilities, but the numbers of these governments differ greatly from state to state. In addition, the states differ greatly in the use of special district governments to meet transportation needs, and the numbers of Tribal governments and regional planning organizations. Therefore, it is necessary to consider the existing structure of these units within the states to determine whether SDOT consultations with them is as inclusive as intended by the law, and as beneficial as possible. It is also necessary to consider the roles of federal land-management agencies such as the Bureau of Land Management, the U.S. Forest Service, the National Park Service, the U.S. Fish and Wildlife Service, and the Army Corps of Engineers.

**General-Purpose Local Governments.** All but two states have counties whose elected officials have road responsibilities; they often have responsibilities for other forms of transportation as well. But the number of counties, in the 48 states that have them, range from 3 to 254. Three is a much more manageable number than 254, and may require a different approach to consultation. Additionally, counties in a few states have elected county engineers and county surveyors with transportation responsibilities. These individuals have roles that require special recognition in the consultation process.

Similarly, elected municipal officials generally have some transportation responsibilities. The number of municipalities in a state ranges from 1 to 1,288. Many municipalities are located outside the “urbanized areas” where they would otherwise participate in consultations with the SDOT through an MPO.

The states also vary widely in the number of towns and townships—ranging from zero to 1,794. These units of government, which exist in 21 states, are often rural, and they almost always have road responsibilities, even if little else.

**Special District Governments for Transportation Purposes.** In addition to general-purpose local governments, many special-purpose districts (the fastest growing type of government in the United States) have transportation responsibilities which need to be included in the SDOT consultation process. Overall, according to the 1997 Census of Governments, there are 1,686 such districts—721 for highways, 476 for airports, 69 for parking facilities, 138 for water transport, and 282 for transit. These districts are governed by “local officials responsible for transportation” who meet the consultation definition of TEA-21. The number of transportation districts varies among the states from zero to 312.

**Other Governmental Bodies.** Indian tribal governments are sovereign governments located within state boundaries. Their special sovereign status often is established by treaties with the federal government. Of the approximately 570 federally recognized tribes, 231 are Alaskan Native American villages that do not have quite the same status as the Indian tribal governments; they are somewhat more similar to local governments. The tribal governments and native villages exist in 32 states. The number of tribal governments in the states (not including native villages) ranges from zero in 18 states to 104 in California. Where they exist, the tribal governments and native villages have transportation responsibilities and interests that help to complete the overall transportation picture in the state. The U. S. Bureau of Indian Affairs (BIA) is very involved in transportation issues for some Tribes.

Also, all but two states have multi-purpose regional councils (RCs) that serve a variety of interlocal planning and other purposes. In addition, all the states (including the two that do not have RCs) have one or more MPOs recognized by the federal government for transportation planning purposes. The RCs cover the entire area of 24 states, and cover from approximately 10 percent to 95 percent in the other states where they exist (See Table A-13).

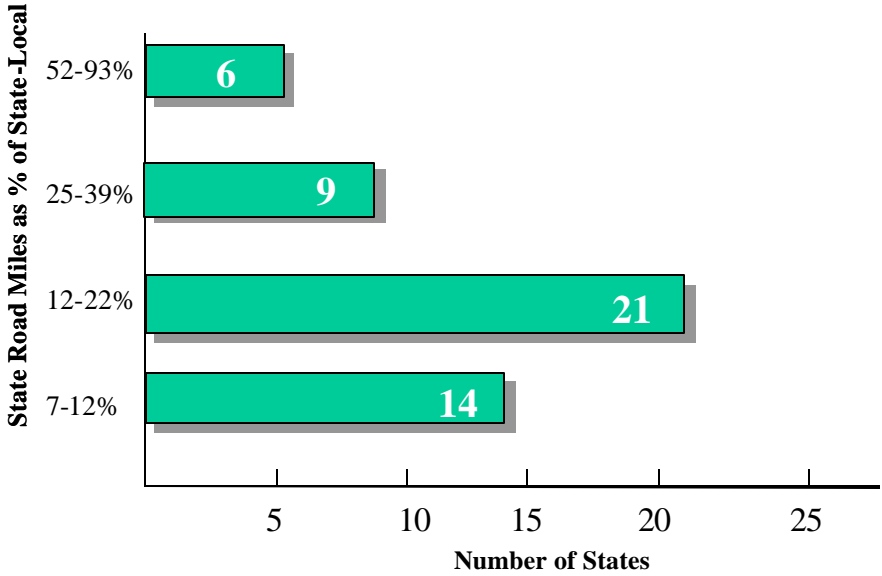
The RCs in 15 states currently provide planning, consultation, and other services to the SDOTs for non-metropolitan areas under formal contractual relationships. For these purposes, they are generally referred to as rural planning organizations (RPOs). In all 48 states where they exist, RCs involve local elected officials and provide a variety of services. In most cases, these services include economic development planning, public involvement, and other transportation-related physical development and public service programs. Even where RCs do not play major roles in transportation planning, they often are consulted in a more general way by SDOTs.

## **Transportation Factors**

The question of who owns the roads and who provides the other types of transportation services is a key to defining appropriate relationships among participants in the non-urban consultation process. The states control between 8 and 93 percent of the non-federal roads within their territory, and local officials control most of the remainder. Federal roads account for less than five percent. (Table A-14). In over two-thirds of the states, local officials are responsible for at least three-quarters of the roads, making them significant transportation decision-makers. Although many of the roads they are responsible for are not high-volume enough to be eligible for federal aid, they do perform essential roles in the overall system. These relationships are shown in Figure 3-1.



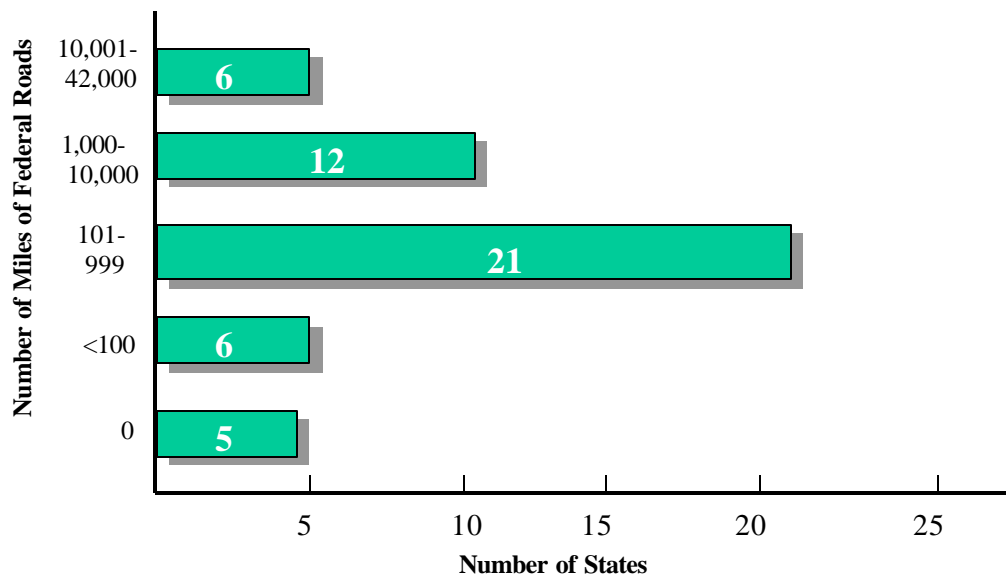
**Figure 3-1**  
**State Road Miles as a Percent of All State and Local Roads**



Of the state and local roads in rural areas, the states control, on average, about 22 percent, the counties control about 56 percent, towns and townships control about 14 percent, and municipal and other entities control about 7 percent (Table A-15).

The road miles on federal lands, not under either state or local control, varies widely among the states—from zero to nearly 42,000 miles (Figure 3-2). In seven states, federal road miles exceed road miles in the state highway system. Eighteen states have at least 1,000 miles of federal-lands roads in them. Thus, the importance of including the federal land-owning agencies in a state’s transportation planning and programming process can vary considerably.

**Figure 3-2  
Miles of Federal Roads in the States**



In addition, most rural public transit systems are operated by either local officials or private organizations. Increasing amounts of federal money are supporting rural public transportation, and are being channeled through the state DOTs. Therefore, these local and private transit providers could play important roles in the state transportation planning and programming process. The National Transit Resource Center reported in 1999 overall increases in the number of rural public transit systems, vehicles, and ridership supported by federal funds between 1994 and 1998.<sup>14</sup>

### **HOW DIFFERENT CHARACTERISTICS OF STATES CAN AFFECT LOCAL CONSULTATIONS**

It is apparent from the descriptions of local consultation processes submitted to FHWA by the SDOTs that responsibilities for transportation decisions are distributed differently within the states. Many of these differences—in the numbers of local and tribal governments, and the use of transportation districts and RPOs—have been described above. In addition, it is apparent that the role of various state organizations influences transportation decisions differently in different states. For example:

<sup>14</sup> [www.ctaa.org/nttrc/directories/intro\\_5311.shtml](http://www.ctaa.org/nttrc/directories/intro_5311.shtml) (downloaded 8/9/99)

- The state legislature's role is much greater in some states than in others.
- The SDOT and/or a state transportation commission dominates decisions in some states. However, even among the states where the SDOT is dominant, some make decisions largely at the statewide level, while others delegate decisions to district offices.
- In other states, as noted earlier, many transportation decisions are delegated to local governments or RPOs.

The nature of the state-local dialogue will be affected by these decision-making relationships as well as by the characteristics of the states described earlier. Following are some examples of how all these differences might operate in different types of states.

### **Predominantly Rural States**

Predominantly rural states may be more likely to have centralized decision processes because of the low density of population and the small size of local staffs. Issues are likely to focus on farm-to-market roads, logging roads, mining roads, maintaining existing road systems that may have been overextended, maintaining short-line railroads and under-utilized airports, coping with increasingly long freight trains that traverse small towns at grade, and rural public transit for the elderly, persons with disabilities, and people coming off welfare. These are issues in which the state legislature may have an active interest. The local officials' role in such issues may be to provide input about the needs of their communities, and to provide political support for state programs that will meet these needs. In less rural states, needs like these may have a more difficult time competing for attention.

### **States with Different Degrees of Centralization**

In states that own most of the roads, local officials' primary role may be to provide input about the needs of their communities and to advocate a fair allocation of state spending in their communities. Depending on how the state decision-making process is structured, this local advocacy effort may need to focus mostly on the SDOT district office, the SDOT headquarters, the legislature, or all three.

In decentralized states, where much of the transportation funding is sub-allocated to local officials, the consultation dialogues may be largely about coordinating state and local projects with each other, so that, together, all the projects will contribute to a well-functioning system.

It should be noted, however, that different transportation modes are treated differently in some states. For example, highway administration may be highly centralized, while transit programs may be very decentralized within the same states.

### **States with Different Rates of Growth**

The state-local dialogue in rapidly growing states is likely to be about finding enough funds to keep up with population and economic growth without letting the existing system deteriorate. Balancing funds between these two purposes may not be easy within existing revenue constraints. A search for new revenues may be an important part of the dialogue.

In contrast, states that are losing population and jobs may have a hard time maintaining their existing transportation systems. They may be losing freight rail service, seeing small towns wither away, and turning some rural roads back to unpaved status. Local officials may have important roles in making such cutbacks or in finding ways to reverse the declines through new economic development initiatives.

Some states may experience significantly different rates of growth or loss in different parts of the state.

### **States Where Political Factors Dominate Transportation Decisions**

The political process in some states tends to override orderly transportation planning by relying on frequent political decisions by the legislature, the transportation commission, or behind-the-scenes maneuvers by powerful state and local officials that displace projects based on the open and collaborative public planning process required by TEA-21. Open and inclusive planning processes may help to limit ad hoc earmarking of unplanned projects by building a visible public base of support for projects that have been objectively evaluated and vetted with the communities they are designed to serve.

## **FINDING**

Given all of these differences among the states, it is necessary to allow considerable flexibility in meeting the federal requirements in TEA-21 for consultation with local officials in non-metropolitan areas. Such flexibility might be achieved by emphasizing the effectiveness of the consultation process rather than requirements for specific procedural practices. Therefore the panel makes the following finding:

**Finding 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.** What may work well in one state may not work well in another. Alignment of consultation practices and processes with the financial, political, economic, and other realities in the state, is necessary to make local-official consultations as effective as possible.



## **CHAPTER 4**

### **STATE CONSULTATION PRACTICES**

This chapter provides a context for understanding the primary practices that SDOTs are using to consult with local officials in their non-metropolitan areas, and descriptions of those practices. It also describes practices for considering related economic development and land use issues.<sup>15</sup>

#### **BACKGROUND FOR UNDERSTANDING SDOT CONSULTATIONS**

FHWA and the Federal Transit Administration (FTA) solicited information about current SDOT consultation practices in four ways:

1. requests to the SDOTs through FHWA division offices and FTA regional offices to submit the descriptions required by TEA-21
2. invitations to groups of SDOT and local officials to participate in ten Rural Planning Workshops held across the country in late 1998 through mid-1999
3. invitations to national associations of local governments to comment on the state processes
4. two Academy workshops for state and local officials that discussed draft principles of effective consultation and existing SDOT consultation practices

To provide a framework for the SDOT submissions, FHWA and FTA posed ten questions designed to elicit information about the sources of state transportation revenues and the objectives of transportation expenditures, as well as the scope, nature of, and participants in the local-official consultations. Some states chose to structure their submissions around these questions, while others did not. To focus the Rural Planning Workshop discussions, a series of questions also were posed concerning (1) how states identify and respond to rural transportation issues, (2) who has responsibility for planning and funding transportation improvements in rural portions of the states, and (3) how state and local plans get coordinated in rural areas. At each workshop, participants were invited to present consultation success stories.

Invitations to the national associations of local governments to submit comments on local relations with SDOTs brought a little over 100 responses. Most were from individual local governments and regional planning organizations.

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<sup>15</sup> This presentation should not be considered a definitive or systematic inventory of the practices and processes currently in place in all the states. It is based on submissions of information which were not verified or supplemented by independent research. In addition, the Academy did not evaluate the effectiveness of the practices cited. They are cited for illustrative purposes only.

In addition, local officials are invited to comment on the SDOT-submitted descriptions of their processes for consulting with non-metropolitan local officials posted on the FHWA website, and the state and local officials who attended the Rural Transportation Planning Workshops were invited to review and provide factual corrections to the summaries of those meetings. Brief descriptions of each state's context for transportation decision-making and its reported process for consultation with local officials in non-metropolitan areas are being prepared, and will be made available for local-official comment during Fiscal Year 2000.

The Academy prepared a summary of SDOT consultation practices, using the above sources of information and citing illustrative examples from specific states. The Academy summary, which identified nine practices, was distributed for review, and drew considerable comment. Therefore, the Academy held a workshop on January 9, 2000 to provide an opportunity for dialogue on the nine consultation practices and draft principles for assessing the effectiveness of consultations. Four main points were made about the Academy's summary of practices:

- Most SDOTs use multiple practices; thus, to fully understand a state's consultation process, one must consider all the practices it uses collectively.
- SDOTs use additional practices not included in the original list of nine.
- Not all SDOTs were mentioned in the summary.
- Some SDOT practices cited in the summary, to illustrate the concepts, were not completely accurate.

As a result of the January workshop discussions, changes were made to the original list:

- an additional practice was added to describe a group of informal practices being used by the states
- one practice on the original list—dealing with the role of expertise in supporting consultations—was dropped from the list and treated elsewhere
- several factual corrections were made

In addition, all the SDOT submissions describing their own consultation processes have been made public by FHWA.

The revised list of practices resulting from the January workshop was discussed with 28 local officials from nine states<sup>16</sup> at a workshop convened by the Academy at NARC's March 20, 2000, Washington Policy Conference. A straw poll showed the use of RPOs and interactive exchanges of views between state and local officials to be favored by a wide margin over the other seven practices. A strong preference for using RPOs could have been predicted for this group of 20 local officials involved in RPOs, seven RPO executive directors, and a representative of a state association of RPOs.

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<sup>16</sup> The nine states were: Alabama, Colorado, Florida, Georgia, Michigan, New Mexico, New York, Texas, and Washington.



A key outcome of the above described interaction was clarification of the need to consider all the SDOT consultation practices in a state collectively. This principle is important to keep in mind when reading the following descriptions of the individual consultation practices. They are separately described for purposes of understanding the consultation practice. However, the separate descriptions do not imply that any individual state uses only a single practice.

## **FREQUENTLY USED SDOT CONSULTATION PRACTICES**

The following types of practices have been identified as methods being used frequently by SDOTs to consult with local officials in non-metropolitan areas about their plans and programs.

1. State consultation tours
2. State processes to compile transportation needs
3. State hearings
4. State processes for interactive exchanges of views with local officials
5. Roles of RPOs
6. Roles of MPOs outside their metropolitan planning boundaries
7. Sub-allocation of transportation funds and responsibilities
8. State policy-making and advisory boards
9. Other practices

The following descriptions are intended to describe the consultation concepts in general. They are not specific to any individual state; actual practices vary from state-to-state. Some of them may work better in certain states than in others for a variety of legal, cultural, and other reasons.

### **1. State Consultation Tours**

The consultation tour technique (traditionally known in some states as “road shows”) is a state-initiated set of annual meetings with local officials in each major jurisdiction of the state. One of the reasons for changing the name of this technique from “road shows” to “state consultation tours” is that multiple modes of transportation may be discussed at these meetings now, not just roads as in the past. Current practice varies widely within this technique. Some states hold multiple meetings in each jurisdiction, have broader agendas than other states, and generate more two-way communication. In Maryland, these tours provide direct interaction between local officials and the state’s Secretary of Transportation and the modal administrators for air transportation, transit, ports, highways, and motor vehicles. This allows interactions on a broad range of transportation issues.

As state planning content improves, the agenda of these meetings is being directed, in some states, increasingly beyond the traditional project funding focus, to address planning issues as well. The states using this technique tend to be those where responsibilities for transportation have been widely decentralized to local governments. Thus, these meetings regularly bring together the partners who produce transportation facilities and services to compare notes and help them meet each others' needs by working to integrate their systems better and understand each others' priorities. These partners sometimes are referred to as "co-producers" of the transportation system. Meetings of this nature encourage local officials to share with the state information from their own planning processes regarding land use, economic development goals, transportation needs, and community values.

## **2. State Processes to Compile Transportation Needs**

Several SDOTs compile their initial lists of needed transportation projects largely in-house. They do this through a "call for proposals," annual needs studies, or other similar means. Some states offer toll-free telephone numbers and e-mail access for this purpose, and may consider proposals nominated from any source. Other states limit the nomination of proposals to specified sponsors.

Once proposals are received, the prioritization of needs may follow a variety of paths. Some states stick closely to published rating criteria to score and evaluate proposals, while others place heavier emphasis on a collegial approach in which a representative body of stakeholders (variously defined by individual states) is given responsibility for evaluating the proposals.

## **3. State Hearings**

It is common for state transportation officials to hold hearings at several locations throughout the state as a means of collecting project funding proposals, prioritizing proposed funding proposals, and receiving comments on proposed state TIPs and/or long-range transportation plans. Some hearings are held in transportation districts, while others are held in individual cities and counties. Some states hold their hearings at different times in the same local area (such as afternoon and evening or week day and weekend) to accommodate different types of audiences. State hearings sometimes are co-sponsored by local governments or regional planning organizations to help improve attendance. Committees of the state legislature also hold hearings on SDOT oversight, transportation plans and programs, and the SDOT budget. Because of the long distances between communities in some states, mail, telephone, fax, and e-mail comments also are encouraged. The proposals to be commented on often are made available in public libraries and on the SDOT website.

#### **4. State Processes for Interactive Exchanges of Views with Local Officials**

The arms-length relationships often inherent in formal proposals, review-and-comment periods, and hearings may not provide the flexibility needed to negotiate, create innovative solutions, and resolve differences through compromise. Therefore, some SDOTs are using more interactive consultation methods such as workshops, open houses, and joint planning and prioritization processes. Some SDOTs hold annual planning workshops with their regional planning partners to share information and approaches. Other states assemble a committee of stakeholders in their transportation planning districts to help prepare the long-range plan and prioritize or select STIP projects for the district. Such groups may bring together representatives of local governments, regional planning organizations, transit operators, and other key players in the transportation community. Other states hold open houses where their project engineers talk with affected parties to consider any concerns they might have about potential project impacts before required formal meetings are held. Through this practice, they often are able to resolve concerns before holding the required formal hearing. Finally, some state DOTs share all their information about available funds and other relevant matters with the local governments to facilitate open and constructive dialogue.

#### **5. Roles of RPOs**

Some state DOTs use regional planning organizations to coordinate the involvement of local officials outside metropolitan areas, a practice recognized in the TEA-21 conference report. At least 14 states reported using this approach in 1999, and four more reported considering this option. Indiana began using this approach in February 2000. Some of the other states using this approach, for example, are Arizona, Colorado, Kentucky, Missouri, and Pennsylvania. Since the passage of TEA-21 several states have increased funding and responsibilities for the RPOs, with at least one state making responsibilities of the RPOs consistent with those of the MPO's.

Using RPOs may provide bonuses beyond simple compliance with federal consultation requirements. These organizations frequently can provide some transportation planning and prioritization expertise, links to local land use and economic development policies and powers, and help with data collection and reporting. As public entities established by state law or executive order in most cases, they also have experience coordinating the activities of local governments within a region. SDOT contracts with RPOs sometimes directly specify the services to be provided.

Only one state reported stopping its long-standing funding of regional organizations; this was done in order to direct more funds into the state's top priority of building and maintaining roads. Another state, whose public involvement process was expanded after a statewide ballot initiative, reported it was reevaluating its use of regional

planning organizations because of concerns about the level of representation for rural townships in the RPOs.

## **6. Roles of MPOs Outside their Metropolitan Planning Boundaries**

MPOs provide local-official consultations for those governments located within federally recognized urbanized planning area boundaries. TEA-21 requires very ambitious transportation planning by MPOs, but does not require transportation planning by local governments outside the metropolitan planning area boundaries. However, some local governments outside, but adjacent to, metropolitan planning areas boundaries have arranged to have the MPO staff do their transportation planning, or to coordinate their own transportation planning with the MPO.

Approximately half of all MPOs are organizationally located within multipurpose RPOs that frequently serve large multi-county areas. In many of these cases, the RPO region is larger than the “urbanized area” delineated by Census as the basis for the MPO. As a result, the RPO boundaries may extend beyond the metropolitan planning area boundary. Thus, many MPOs serve geographic areas that might be viewed as the urban core of a larger rural region. Such MPOs, when hosted by the larger RPO, generally have special urban-focused policy and technical committees set up within the RPO structure to accommodate the special MPO requirements within the urbanized boundaries. Thus, when a state chooses to use its RPOs to meet TEA-21’s local-official consultation requirements for areas outside the metropolitan planning area boundaries, it may be calling on the same organization that hosts the MPO. In other cases, the MPO is a separate organization that overlays a portion of the territory encompassed within the RPO, and some of the same local elected officials may serve on both organizations’ policy boards.

## **7. Allocation of Transportation Funds and Responsibilities**

When states distribute federal and/or state transportation funds to local governments for their own use, or allocate funds to be used by the state in these jurisdictions according to local government priorities, it changes the role of local officials in the consultation process. There are many variations among the states in how such sub-allocations are done. In some states, a large share of the transportation dollars are distributed by formulas based on population, road miles, and other factors; in other states the amounts are much less. Federal and state transportation funds may be combined into a single pot in some states; in others they are kept separate and earmarked for specific purposes such as preserving existing systems. Some states distribute state funds to local governments in lieu of federal funds to relieve them of the need to comply with complex federal requirements.

When local officials make decisions about the use of these allocated funds, they are making decisions about the transportation facilities and services to be delivered within

the state. These may be final decisions in some cases, or preliminary decisions in others. In some cases, transportation funds planned and programmed by non-state officials – such as counties, cities, tribes, councils of governments (COGs), and federal land-management agencies – are incorporated into the STIP. Sometimes, inclusion of these proposals is automatic; other times, it is done competitively. The key point is that the consultation process could be used to coordinate the use of allocated funds with the use of other state-controlled funds.

## **8. State Policy-Making and Advisory Bodies**

One of the most traditional and widespread methods that states use to consult with local governments is to put local government representatives on state policy-making and advisory bodies. 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 the members of these bodies do not necessarily include local officials, they generally reflect the various geographic regions of the state, and the members are accessible to local officials. Other frequently used types of bodies include statewide and regional advisory committees, rural county task forces, joint prioritization committees, and a local roads and streets council.

## **9. 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 are reflected in written policies in some cases, but often are simply commonly used informal practices. Some are passive “listening” practices, while others are more active “engagement” practices. Some of the forms this practice takes are:

- regular attendance at local government and regional planning organization meetings by SDOT personnel to make presentations, answer questions, and observe local consideration of transportation and related matters
- participation in the development and review of local master plans to ensure consistency between local and state transportation plans
- participation in local government association meetings by SDOT personnel, including meetings of the state associations of counties, municipalities, regional councils, towns, county engineers, transit operators, regional councils, and others
- an open door policy in the SDOT district offices
- accessible members of the state transportation commission
- accessible state legislators and transportation committee staff members
- SDOT websites that provide comprehensive information in a timely fashion, as well as an avenue for comments and questions

- toll-free telephone and fax hotlines to take and respond to comments and questions

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.

One specific example of these “other practices” is the decentralization process recently developed in Michigan to help MDOT build partnerships with regions and local officials, and to change its image with the public. Before MDOT was organized into regions and Transportation Service Centers, a customer might have had to travel several hours to get to the nearest MDOT office. Now, Transportation Service Centers are located throughout the regions, within an hour’s drive of every Michigan resident, and within half an hour of a high percentage of the population. It is now much easier for citizens, elected officials, or anyone with a transportation issue to make contact with MDOT, and such contacts are encouraged.

## **THE ROLE OF EXPERTISE IN SUPPORTING LOCAL-OFFICIAL CONSULTATIONS**

Consultations with local officials can be more effective if the local officials have some professional support to help them understand the relevant SDOT information and relate it to their own needs. This requires additional skills that many transportation planners, engineers, and managers may not have. As important as sound technical capabilities are to good transportation planning and programming, a need for hiring employees with professional communications skills, and/or to train and assist existing employees to improve communication with local officials, has been identified and is being addressed by a standing committee of the Transportation Research Board. Techniques used by states to provide assistance to local officials include the following:

- paying salary support for certain local professionals,
- providing planning coordinators and technical skills in SDOT field offices to work with local governments,
- staffing a local assistance office and technical assistance programs,
- offering training opportunities for local officials, and
- giving capacity-building grants to intermediary organizations such as RPOs and state transit associations.

## **THE ROLE OF CONSULTATION PRACTICES IN CONSIDERING ECONOMIC DEVELOPMENT AND LAND USE FACTORS**

One of the purposes of SDOT consultations with local officials is to help make the link between transportation and such other related factors as land use and economic development. Following are some of the ways that these developing links have been described in some states. The states cited are illustrative only, and these practices have not been evaluated for effectiveness.

### **Means for Considering Economic Development**

**At the state agency level,** two means of coordination with economic development activities are used. One is multi-agency, and the other is bilateral.

Using the multi-agency approach, the Florida, Kansas, Missouri, and Nebraska DOTs reported consulting with their state rural development council (RDC). An RDC is a multi-agency state-federal coordinating group under the auspices of the governor in 36 states, which also may have appropriate local government and regional council representation.

In the bilateral approach, which can occur simultaneously with the multi-agency and is promoted by many RDCs, an SDOT develops direct programmatic relationships with another state department or agency to achieve specific goals. Some examples of bilateral activities follow. Kansas DOT works directly with the state Department of Agriculture on grain-to-market issues. Missouri DOT works closely with the state Department of Economic Development. North Dakota DOT works with the state's agriculture and economic development departments.

In addition to working with other state agencies, several states reported efforts of their own to reflect economic development objectives in their transportation plans and programs. Some examples follow. South Carolina has made economic development a prominent consideration in prioritizing rural transportation projects; specifically, attributable job creation is one of the formal TIP rating criteria, and employment, tourism, and market access are strong factors in allocating funds under the state's Rural System Upgrade Program. The following states reported having a system of economic development highways designed to put most of the state's population within easy reach of a four-lane highway: Alabama, Georgia, Louisiana, Mississippi, Nebraska, North Carolina, and South Carolina.

**At the regional level,** several states contract with RPOs to link transportation and economic development programs. Many of these organizations already receive economic development planning funds from the federal Economic Development Administration and/or the Appalachian Regional Commission; as a result, they have a

great deal of experience they can bring to this effort. Pennsylvania, Kentucky, and Missouri are prominent examples of states that have taken this approach.

**At the local level,** WisDOT helps communities pay for road, rail, harbor, and/or airport work needed to attract employers to Wisconsin or encourage existing employers to expand within the state through WisDOT administered Transportation Economic Assistance (TEA) Grant Program. In addition, WisDOT has committed to provide \$1 million per year for grants to fund the transportation elements of locally developed comprehensive plans as part of the 1999-2001 state biennial budget.

### **Means for Considering Land Use Linkages**

Because land use regulation power is vested almost exclusively in local governments, states rely on local governments for establishing a firm link to land use. States such as Florida, Oregon, Tennessee, and Georgia require their cities and counties to prepare comprehensive plans that coordinate transportation with land use. Although Mississippi does not require its localities to prepare plans, those that choose to do so must include transportation-land use coordination in them. Kansas uses its federally supported Local Technical Assistance Program to run workshops for local elected officials and transportation planners about the importance of land use-transportation coordination. Idaho has prepared a guidebook on corridor planning that stresses the connection between land use and transportation planning. Morton County, ND uses a geographic information system tied to the Global Positioning System as the basis for an infrastructure management plan that coordinates zoning, roadway standards, and subdivision plat approvals to avoid land use-transportation conflicts. Counties in Nebraska that do not have planning and zoning regulations are authorized to adopt those of a neighboring county until they establish their own guidelines.

Some additional examples follow:

- The projects in Florida DOT's work plan and MPO TIPs are reviewed annually by the state's Department of Community Affairs to determine if they are consistent, to the maximum extent feasible, with state mandated local comprehensive plans.
- Washington has growth management legislation that creates partnerships among state agencies, regional planning organizations, and local governments to



coordinate public facilities with land use and related development factors. The state's transportation plan is tied to the growth management process.<sup>17</sup>

- Virginia is giving increased attention to land use issues, largely through contracts with the state's Planning District Commissions.
- Ohio has a state farmland preservation program that has raised awareness of sustainable development and sprawl issues. Over 50 counties are participating in this program and meeting its planning requirements.

## FINDINGS

Based on this chapter, the Panel makes the following two findings:

**Finding 4: Many different local-official consultation practices are available and are being used by SDOTs.** Nine major types of practices have been described in this chapter, and there may be others now and in the future. These practices often are used in combination by SDOTs to achieve better results. Different states are using different combinations of practices.

**Finding 5: No single practice or set of practices will meet the consultation needs of all states.** Flexibility is needed to choose the practices that will work best in each state.

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<sup>17</sup> Other states that have growth management legislation include: Florida, Georgia, Hawaii, Maine, Maryland, New Jersey, Oregon, Rhode Island, Tennessee, and Vermont. A good summary of these programs, except for Tennessee's which is the most recent, is : David L. Callies, "The Quiet Revolution Revisited: A Quarter Century of Progress," American Planning Association, *Modernizing State Planning Statutes: The Growing Ferment Working Papers*, Planning Advisory Service Report Number 462/463 (Chicago: APA, March 1996), pp. 19-26.



## **CHAPTER 5**

### **THE EFFECTIVENESS OF STATE-LOCAL CONSULTATIONS**

This chapter addresses the primary topic of study requested in TEA-21—effectiveness in state-local consultations on transportation plans and programs in non-metropolitan areas. The chapter’s four sections (1) examine the need to establish principles of effectiveness to guide evaluations of consultation practices and processes, (2) summarize the Academy’s process for developing consultation principles, (3) describe six principles supported by research and practical experience, and (4) explore potential uses of the six principles.

#### **THE NEED FOR PRINCIPLES OF EFFECTIVENESS**

Assessing effectiveness of practices and processes for state-local consultation would be ad hoc and not supportable without a set of principles or criteria on which to base them. Because TEA-21 does not set forth principles for evaluating the effectiveness of required consultations between SDOTs and non-metropolitan local officials, the Academy developed six principles of effectiveness for consideration by federal, state, and local officials. The process of developing these principles is described next.

#### **DEVELOPING PRINCIPLES OF EFFECTIVENESS**

The Academy took several steps to develop a supportable set of principles for evaluating the effectiveness of practices and processes for state-local consultation. They were: (1) examining TEA-21 requirements for consultation, (2) examining how some states currently measure effectiveness, (3) summarizing relevant research and practices for communicating with external parties, (4) preparing and distributing for comment a set of six draft principles, (5) conducting a workshop with SDOT officials to consider the draft principles and other related matters, (6) conducting a workshop for local officials similar to the one for SDOT officials, and (7) comparing workshop results to information from other sources.

#### **Examining TEA-21 Local-Official Consultation Requirements**

TEA-21 requires SDOTs to consult with local officials in non-metropolitan areas about both the state long-range plans and the state short-range lists of priority transportation investments. This establishes a broad range of topics for the state-local consultation

agenda, and the need for a process to ensure that necessary topics will be addressed in the consultations.

TEA-21 also defines the non-metropolitan local officials to be consulted as both elected officials and other local officials with responsibilities for transportation. This suggests the need for a process to ensure inclusion of necessary local officials in the consultations.

### **Examining How SDOTs Measure Effectiveness**

Specific measures of effectiveness suggested by reading the SDOT descriptions of their consultation processes and the summaries of the Rural Planning Workshops are:

- The extent to which local officials' goals and priorities for non-metropolitan transportation are addressed in the state plan and STIP. Such goals and priorities might include highway safety, rural public transit, and freight movement.
- A record of changes in the state plan and STIP made in response to consultations with local officials.
- Evaluations or estimates of the benefits derived from the changes made.
- The strength of local support for the state plan and STIP in the political process, including support in the state legislature.
- The extent to which the state plan and STIP get implemented.
- Improvements in transportation system performance traced to involvement by local officials.
- The extent to which transportation system performance contributes to the achievement of other outcome goals such as economic development, economic opportunity, livability, safety, and a clean environment.
- Periodic satisfaction surveys.

### **Reviewing Research and Practices Relating to Communication with External Parties**

For the SDOTs, consultation with local officials often is seen as being very similar to public involvement. In fact, there are enough similarities that some SDOTs use their public involvement process as a primary means to satisfy the local-official consultation requirement. Although the parties being consulted are different in these two instances, both are external to the SDOTs and the same basic concepts apply. Therefore, despite the differences between local-official consultations and public involvement discussed in Chapter 2, the Academy examined a relevant body of research on public involvement processes when developing principles for effective consultation.

Some of the research reflects broad-based efforts to enhance service through greater customer and citizen participation. Other research specifically addresses public involvement requirements in federal, state and local aid programs – including transportation. The information drawn from these other sources supports each of the six principles of effective consultation described in this study. The detailed research review and the process of refining draft principles of effective consultation are described in Appendix C.

## **PRINCIPLES OF EFFECTIVE CONSULTATION**

Following are six principles that could be considered in assessing the effectiveness of state-local consultations on rural transportation plans and programs. These proposed principles are drawn from the external communication and public involvement principles extracted from a broad range of research and management studies. However, they are specifically tailored to the requirements of TEA-21 and the needs of SDOTs and non-metropolitan local officials. They have been modified to reflect the concerns expressed by state officials, and the points of consensus reached in the January 9, 2000 workshop. They also are consistent with the feedback received from local officials at the March 20, 2000 workshop.

Consultations may be more effective to the extent that they:

1. Provide a known and understood process that includes all the key officials responsible for providing rural transportation facilities and services.
2. Assist rural local officials, who request it, to acquire necessary levels of transportation planning and programming knowledge and the capabilities needed to participate effectively in consultations with the SDOT.
3. Promote free and effective exchange of information about the rural elements of both the long-range (20-year) state transportation plan and the short-range (3-year) statewide transportation improvement program.
4. Provide timely access to state decision-makers before decisions are locked in; and timely feedback to local officials about how their input was used and what changes it caused.
5. Promote satisfaction with the consultation process among local officials.
6. Influence the response to rural transportation needs, recognizing the specific decision-making context in the state.

These principles are more fully described below.

**1. Provide well-known and understood processes that include all the key local officials.** As previously described, local officials in all states have significant transportation responsibilities. These local responsibilities are greater in some states than in others. When local officials have significant amounts of funds for local roads or other forms of transportation, the local governments often develop and prioritize project lists of their own. Usually, this is done by the local governments individually. In Ohio, however, the state association of county engineers develops the portion of the STIP that might have been termed “the secondary system” in prior years. Because of these variations, it is important to identify, in each state, the local officials holding various transportation responsibilities, and involve them in the SDOT planning and programming process. Doing so creates opportunities for coordinating state and local transportation plans and programs and sharing transportation responsibilities in an interrelated way.

In addition to their transportation responsibilities, local officials also have key roles in land use, economic development, and other public policy areas that affect the success of transportation planning and investments. The responsibilities of local officials in these realms generally are responsibilities not held by state officials (either in the SDOT or in other departments and agencies). Thus, it is important to identify the local officials holding these responsibilities and bring them into a known and understood SDOT planning and programming process. Doing so may bring their expertise and policy commitment to bear in ways that can enhance the success of transportation programs.

**2. Assist rural local officials’ capacities.** The quality of SDOT consultations with local officials is likely to depend to some degree not just on the quality of planning done by the state, but also on the quality of planning done by local and regional officials. Therefore, rural planning capacities at both the state and local levels can be viewed as important components of the consultation process. Several SDOTs are taking steps to increase these capacities, both by enhancing the technical assistance and training provided to local governments, and by enlisting the help of non-metropolitan regional planning organizations. Specific examples are cited in Chapter 4.

**3. Promote free and effective exchange of information.** Free and effective information exchange on rural transportation issues is key to this principle. In predominantly rural states, transportation issues outside the metropolitan areas are likely to be state issues that are already on the SDOT agenda. In this case, state officials can inform local officials about the needs for statewide connectivity and priorities, and local officials can inform the SDOT about related local needs and the potential impacts of state proposals. In more heavily urban states, non-metropolitan issues may be harder to get on the SDOT plan and priority list, which may be crowded already with urban priorities. Local officials may have unique insights about what is needed in this case. Their help in identifying, prioritizing, and supporting plans and programs to meet both state and local needs can be useful to the SDOT. To the extent

that state and local transportation plans recognize common goals, both may be more successful.

**4. Provide timely access and feedback.** TEA-21 provisions for local-official consultation are designed to ensure access to the state transportation planning and programming processes, including the STIP approval process. A consultation process that is aligned to the decision-making process in the state, is widely publicized and understood by all the key officials, operates in a transparent way, and is timely, can play an important part in reaching this goal. The credibility of the process also may be enhanced if it is jointly developed with and agreed to by local officials. Joint development helps local officials to feel that they are part of the process, so that it becomes real to them.

Some of the processes reported by state DOTs for complying with the consultation requirement emphasize making information about proposed plans and projects available to local officials. Others put greater or equal emphasis on opportunities for local officials to register their views about the state's proposals. A few also address the need to affirmatively seek out the views of local officials, as well as officials of Indian Tribes and federal land-management agencies. In some cases, state consultation procedures also provide for state responses to the issues raised and documentation of any changes that may result from the dialogue. Research on public involvement shows that feedback provisions such as these are important in building trust and encouraging more fruitful long-term interaction. The more timely each of these elements of consultation are, the more likely they are to be influential.

**5. Promote satisfaction with the consultation process.** Local officials want to (a) be heard and have their needs considered fairly, (b) understand the basis for state decisions, (c) help to make decisions about rural transportation—other than in the National Highway System (NHS), Bridge, and Interstate Maintenance programs—“in cooperation with” the state, and (d) understand the status of projects and programs being funded in their area. TEA-21 requires the SDOTs to select NHS, Bridge, and Interstate Maintenance projects outside the metropolitan areas “in consultation with” local officials, and to select projects funded by other categories of federal aid in these areas “in cooperation with” local officials. The distinction is between the state making the decision itself on the more heavily traveled roads after allowing local officials and others to have their say, and making decisions jointly with local officials on other roads.<sup>18</sup> In both cases, TEA-21 requires that local officials' views be given consideration.

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<sup>18</sup> The official definitions in the federal regulation (23 CFR Ch. 1, 450.104) are as follows: “Consultation means that one party confers with another identified party and, prior to taking action(s), considers that party's views. Cooperation means that the parties involved in carrying out the planning, programming and management systems processes work together to achieve a common goal or objective.”

Carefully following these procedures tends to build trust and encourages frank discussion of issues. In the process, complaints about the consultation process are likely to decrease, and local officials' satisfaction is likely to increase. These trends can be measured from year to year.

**6. Influence the response to rural needs, within the state decision-making context.**

One of the greatest incentives for non-metropolitan local officials to participate vigorously in the consultation process is the perception that they have a real possibility of influencing the SDOT's plans and programs, and can make a difference that will benefit their communities. Some of the improvements they seek to encourage include: (a) the evolution of effective regional transportation systems in place of lists of individual local projects that sometimes have little effect on overall performance, (b) fair consideration by the SDOT of increased funding to meet critical rural needs, (c) respect by the SDOT for local wishes and choices about the nature and rate of growth and development in their communities and the potential impacts of proposed state facilities and services, and (d) the performance of transportation systems serving the local and regional communities they represent. This is a wide array of outcomes, likely to be met only partially.

As in measuring satisfaction with the consultation process, measuring local influence on the performance of transportation systems needs to recognize the specific decision making context of a state or, in other words, what is really possible financially and politically. Examining whether influence by local officials is growing over time, or at least not declining, may be the best way to measure this principle. To the extent that changes in system performance are part of this effectiveness measure, it may be appropriate to measure them over a 4-5 year period, rather than annually; this would recognize the length of time it often takes to actually improve the performance of physical transportation systems. Developing consistency between state and local views over time can help to support the long-range plans and coordinated investments needed to achieve long-term improvements in system performance.

The above principles are conceived as a set, to be used together. They are drawn from research, recognize the consensus principles reached by the state officials at the January 9, 2000 workshop, and are consistent with the dialogue in the March 20, 2000 workshop with local officials. These principles reinforce and supplement each other -- reflecting the multiple dimensions of effectiveness.

**POTENTIAL USES OF CONSULTATION PRINCIPLES**

Principles such as those described above could be used in at least three ways as a foundation for guiding and improving SDOT consultations with local officials in non-metropolitan areas.



1. **Assessment of Individual Consultation Practices.** Representative peer-review teams could be assembled to assess the effectiveness of each type of consultation practice described in Chapter 4 (and others, as appropriate), and to identify what makes them effective, based on the principles.<sup>19</sup> SDOTs, then, could consider using the most effective practices for improving their consultations consistent with the decision-making context in their state. SDOTs could also consider modifying certain aspects of their own practices to bring them more in line with the principles of effectiveness.
2. **Assessment of Consultative Processes in Individual States.** Within each state, an evaluation team—consisting of representative state and local officials in the state, plus federal field representatives of FHWA and FTA who work with the state—could be assembled periodically to assess the effectiveness of the overall consultation process. This evaluation, by those who understand the state best, could consider all the practices being used within the context of the state’s unique demographic, economic, governmental, and transportation decision-making characteristics. These periodic assessments, based on the principles, could be used to help identify opportunities to improve the effectiveness of the overall process. The collective view of the team could be either binding on the SDOT, or advisory.
3. **TEA-21 Compliance Findings for Statewide Transportation Planning.** Under TEA-21, the Secretary of Transportation must make a finding that a state is complying substantially with the provisions of the act and other applicable federal requirements before approving the state’s STIP. The Secretary could use principles of effective consultation, such as those described in this study, when making this finding. In practice, the Secretary could look to the field staffs of FHWA and FTA who work most directly with the state to assess the state’s consultation process using the principles. Such assessments could be made in consultation with SDOT and local officials.

These options for using the principles of effective consultation could be used independently or together to supplement each other.<sup>20</sup> These three potential uses of the principles are collaborative and aligned with the unique characteristics of each state.

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<sup>19</sup> Such practices often are referred to as best practices, or good practices, or models. Those terms are avoided here because they sometimes carry emotional overtones that hinder their use. By using the term “effective consultation practices,” we hope to convey a more objective, measurable notion of evaluating what works wherever it has been tried. This is one way the states can learn from each others’ experiences.

<sup>20</sup> An independent assessment, made jointly by FHWA and FTA, would be similar to current practice in certifying MPOs under TEA-21. That process is described in the following report: Bruce D. McDowell, *Improving Regional Transportation Decisions: MPOs and Certification* (Washington, DC: The Brookings Institution, September 1999). In the Brookings report, and two ACIR reports prepared by the same author for FHWA, it was found that MPOs made substantial progress over time in meeting highly demanding new planning responsibilities required by federal legislation, but still had more to do to fully comply with these requirements several years after they were enacted. Major changes sometimes take substantial amounts of time to accomplish. The MPO certification process provides a periodic opportunity for outside review and recommendations for further improvement.

To facilitate use of the effectiveness principles, a practical guidebook could be developed.

## **FINDINGS**

Based on this chapter, the Panel makes the following three findings:

**Finding 6: From various fields, there are long-established principles of effective consultation that can be used to improve consultation processes over time.** The six principles described in this report each have strong underpinnings in both research and practical applications.

**Finding 7: There are several ways the principles of effective consultation can be used to improve the state-local consultation practices and processes of SDOTs.** The three most promising options appear to be using them as guidance for: (1) assessing and improving individual consultation practices, (2) assessing and improving consultation processes in individual states, and (3) making compliance findings on statewide transportation planning processes.

**Finding 8: Additional work would be needed to assess the effectiveness of SDOT consultations with non-metropolitan local officials in each state.** These consultation processes are not easy to measure and assess. Although principles of effective consultation have been identified in this study, applying them validly in a state requires care and understanding best acquired by being in the state. To some extent, the assessment of effectiveness is a matter of perception, and these perceptions may differ among the diverse parties to the consultations. There can be a valid role for federal, state, and local parties each to be involved in measuring and assessing the effectiveness of consultations in a state. Assessments that are agreed on by the parties who are involved, including the identification of deficiencies and opportunities for improvement, are more likely to be acted on than external assessments that may miss the significance of key realities in the state.

**TABLES ASSOCIATED WITH CHAPTER 3**

Table A-1	Population, Land Area, and Density of the States
Table A-2	Non-Urban Population of the States
Table A-3	State Highways: Rural and Urban
Table A-4	Comparison of Federally Owned Land with Total Acreage of States: 1994
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Table A-8	Population Change 1990-1998, by State
Table A-9	Employment Trends in the States: 1990-1999
Table A-10	Number of Counties, Municipalities, and Townships in 1997, by State
Table A-11	Transportation Districts in 1997, by State
Table A-12	Number of Tribes or Native American Villages, by State
Table A-13	Regional Planning Organizations in the States: 1999
Table A-14	State Administration of Non-Federal Highways: 1992
Table A-15	Public Road Length 1998, by Ownership

**Table A-1  
Population Density--1998**

State	State Land Area (Sq. Mi.)	Population	Population Density
Alabama	51,360	4351999	85
Alaska	587,680	614010	1
Arizona	113,618	4668631	41
Arkansas	53,363	2538303	48
California	156,343	32,666,550	208.94
Colorado	104,287	3970971	38
Connecticut	5,016	3274069	653
Delaware	2,016	743603	369
Florida	56,020	14915980	266
Georgia	58,730	7,642,207	130.12
Hawaii	6,466	1193001	185
Idaho	83,022	1228684	15
Illinois	56,233	12045326	214
Indiana	36,182	5899195	163
Iowa	55,965	2,862,447	51.15
Kansas	82,197	2629067	32
Kentucky	40,576	3936499	97
Louisiana	46,261	4368967	94
Maine	32,232	1244250	39
Maryland	10,087	5,134,808	509.07
Massachusetts	8,005	6147132	768
Michigan	57,074	9817242	172
Minnesota	84,127	4725419	56
Mississippi	47,593	2752092	58
Missouri	69,971	5,438,559	77.73
Montana	146,336	880453	6
Nebraska	77,253	1662719	22
Nevada	110,926	1746898	16
New Hampshire	9,285	1185048	128
New Jersey	7,623	8,115,011	1064.56
New Mexico	121,432	1736931	14
New York	48,495	18175301	375
North Carolina	49,088	7546493	154
North Dakota	70,640	638244	9
Ohio	41,165	11,209,493	272.31
Oklahoma	69,845	3346713	48
Oregon	95,866	3281974	34
Pennsylvania	45,156	12001451	266
Rhode Island	1,150	988480	860
South Carolina	30,952	3,835,962	123.93
South Dakota	77,227	738171	10
Tennessee	42,175	5430621	129
Texas	264,189	19759614	75
Utah	84,716	2099758	25
Vermont	9,721	590,883	60.78
Virginia	39,939	6791345	170
Washington	66,712	5689263	85
West Virginia	24,296	1811156	75
Wisconsin	55,800	5223500	94
Wyoming	97,562	480,907	4.93
<b>National Total*</b>	<b>3,591,972</b>	<b>269,775,400</b>	<b>75</b>

\*excludes the District of Columbia  
Source: BTS and Academy staff statistics

**Table A-2**  
**Non-Urban Population by State**

<b>State</b>	<b>Total State Population</b>	<b>Total Non-Urban Population</b>	<b>Percent Non-Urban Population</b>
Alabama	4,040,587	2,161,118	53.49
Alaska	550,043	367,049	66.73
Arizona	3,665,228	1,109,507	30.27
Arkansas	2,350,725	1,826,073	77.68
California	29,760,021	5,869,925	19.72
Colorado	3,294,394	972,852	29.53
Connecticut	3,287,116	663,868	20.20
Delaware	666,168	241,836	36.30
District of Columbia	606,900		
Florida	12,937,926	3,062,409	23.67
Georgia	6,478,216	3,084,159	47.61
Hawaii	1,108,229	507,844	45.82
Idaho	1,006,749	735,540	73.06
Illinois	11,430,602	2,943,117	25.75
Indiana	5,544,159	2,913,741	52.56
Iowa	2,776,755	1,862,332	67.07
Kansas	2,477,574	1,478,393	59.67
Kentucky	3,685,296	2,401,873	65.17
Louisiana	4,219,973	2,145,680	50.85
Maine	1,227,928	976,624	79.53
Maryland	4,781,468	1,243,606	26.01
Massachusetts	6,016,425	1,078,503	17.93
Michigan	9,295,297	3,493,691	37.59
Minnesota	4,375,099	2,034,656	46.51
Mississippi	2,573,216	2,035,967	79.12
Missouri	5,117,073	2,354,870	46.02
Montana	799,065	600,682	75.17
Nebraska	1,578,385	939,244	59.51
Nevada	1,201,833	294,394	24.50
New Hampshire	1,109,252	777,013	70.05
New Jersey	7,730,188	1,166,559	15.09
New Mexico	1,515,069	903,998	59.67
New York	17,990,455	3,568,885	19.84
North Carolina	6,628,637	4,162,616	62.80
North Dakota	638,800	450,826	70.57
Ohio	10,847,115	4,213,241	38.84
Oklahoma	3,145,585	1,828,863	58.14
Oregon	2,842,321	1,472,281	51.80
Pennsylvania	11,881,643	4,735,892	39.86
Rhode Island	1,003,464	136,665	13.62
South Carolina	3,486,703	2,201,725	63.15
South Dakota	696,004	542,502	77.95
Tennessee	4,877,185	2,678,517	54.92
Texas	16,986,510	5,996,968	35.30
Utah	1,722,850	473,850	27.50
Vermont	562,758	473,118	84.07
Virginia	6,187,358	2,354,239	38.05
Washington	4,866,692	1,685,599	34.64
West Virginia	1,793,477	1,455,677	81.17
Wisconsin	4,891,769	2,549,878	52.13
Wyoming	453,588	336,029	74.08
<b>National Total</b>	<b>248,709,873</b>	<b>93,564,494</b>	<b>37.62</b>

Source: Bureau of Transportation Statistics

**Table A-3**  
**State Highway Agency-Administered Public Roads - 1997**  
**Percent of Estimated Miles by Functional System**

STATE	RURAL	URBAN
Alabama	82%	18%
Alaska	92%	8%
Arizona	89%	11%
Arkansas	92%	8%
California	75%	25%
Colorado	89%	11%
Connecticut	51%	49%
Delaware	69%	31%
Dist. of Columbia	0%	100%
Florida	59%	41%
Georgia	83%	17%
Hawaii	73%	27%
Idaho	94%	6%
Illinois	73%	27%
Indiana	85%	15%
Iowa	91%	9%
Kansas	94%	6%
Kentucky	91%	9%
Louisiana	88%	12%
Maine	91%	9%
Maryland	70%	30%
Massachusetts	42%	58%
Michigan	79%	21%
Minnesota	90%	10%
Mississippi	92%	8%
Missouri	95%	5%
Montana	98%	2%
Nebraska	97%	3%
Nevada	90%	10%
New Hampshire	90%	10%
New Jersey	38%	62%
New Mexico	95%	5%
New York	73%	27%
North Carolina	88%	12%
North Dakota	97%	3%
Ohio	79%	21%
Oklahoma	92%	8%
Oregon	90%	10%
Pennsylvania	80%	20%
Rhode Island	27%	73%
South Carolina	83%	17%
South Dakota	98%	2%
Tennessee	82%	18%
Texas	87%	13%
Utah	87%	13%
Vermont	93%	7%
Virginia	85%	15%
Washington	84%	16%
West Virginia	96%	4%
Wisconsin	88%	12%
Wyoming	94%	6%
U.S. Total	86%	14%

Source: FHWA TABLE HM-80

Table A-4  
Comparison of Federally Owned Land with Total Acreage of States,  
Fiscal Year 1994\*

State	Acreage owned by the Federal Government			Acreage not owned by Federal Government	Total acreage of State/s/	Percent owned by Govern- ment/b/
	Public Domain	Acquired by other methods	Federal total			
Alabama	1,160.0	1,080,211.5	1,081,371.5	31,597,028.5	32,678,400	3.309
Alaska	242,666,942.2	128,818.7	242,795,760.9	122,685,839.1	365,481,600	66.432
Arizona	31,193,843.0	1,294,574.9	32,488,417.9	40,199,582.1	72,688,000	44.696
Arkansas	954,271.8	1,978,291.3	2,932,563.1	30,666,796.9	33,599,360	8.728
California	34,589,885.4	12,366,552.2	46,956,437.6	53,250,282.4	100,206,720	46.860
Colorado	22,720,542.8	1,419,677.6	24,140,220.4	42,345,539.6	66,485,760	36.309
Connecticut		12,358.7	12,358.7	3,123,001.9	3,135,360	.394
Delaware		241,642.0	241,642.0	1,024,278.0	1,265,920	19.088
District of Columbia	121.7	9,030.2	9,151.9	29,888.1	39,040	23.442
Florida	64,434.4	2,645,955.7	2,719,390.1	32,001,889.9	34,721,280	7.832
Georgia		1,676,945.3	1,676,945.3	35,618,414.7	37,295,360	4.496
Hawaii	181.8	687,947.4	688,139.5	3,417,470.5	4,105,600	16.761
Idaho	31,967,150.5	979,020.7	32,946,170.9	19,986,949.1	52,933,120	62.241
Illinois	997.0	1,077,213.7	1,078,210.7	34,716,989.3	35,795,200	3.012
Indiana	712.0	469,386.8	470,098.6	22,688,301.4	23,158,400	2.030
Iowa	3,337.0	414,297.0	417,634.0	35,442,846.0	35,860,480	1.165
Kansas	25,558.8	351,140.7	376,699.5	52,134,020.5	52,510,720	.717
Kentucky		1,073,672.8	1,073,673.8	24,438,647.2	25,512,320	4.208
Louisiana	1,644.0	1,009,588.7	1,011,232.7	27,856,607.3	28,867,840	3.503
Maine		329,478.8	329,478.8	19,518,201.2	19,847,680	1.660
Maryland		529,977.7	529,977.7	5,789,382.3	6,319,360	8.387
Massachusetts		201,948.6	201,947.6	4,832,932.4	5,034,880	.4011
Michigan	321,995.3	4,391,351.1	4,713,346.4	31,778,813.6	36,492,160	12.916
Minnesota	2,289,533.9	5,014,056.7	7,303,590.6	43,902,169.4	51,205,760	14.263
Mississippi	3,576.0	1,354,601.9	1,358,177.9	28,864,542.1	30,222,720	4.494
Missouri	2,172.7	2,105,707.0	2,107,879.7	42,140,440.3	44,248,320	4.764
Montana	21,608,331.9	4,351,070.7	25,959,402.3	67,311,637.4	93,271,040	27.832
Nebraska	248,719.8	451,727.0	700,446.8	48,331,233.2	49,031,680	1.429
Nevada/c/	57,874,712.9	389,815.7	58,264,528.6	11,999,791.4	70,264,320	82.922
New Hampshire		762,667.3	762,667.3	5,006,292.7	5,768,960	13.220
New Jersey	5.4	638,186.6	638,192.0	4,175,248.0	4,813,440	13.259
New Mexico	24,023,443.9	2,526,060.7	26,549,504.6	51,216,895.4	77,766,400	34.140
New York		423,121.7	423,120.7	30,257,839.3	30,680,960	1.379
North Carolina		2,447,946.7	2,447,946.7	28,954,933.3	31,402,880	7.795
North Dakota	249,404.0	1,599,521.6	1,848,925.6	42,603,554.4	44,452,480	4.159
Ohio	787.0	348,938.6	349,725.6	25,872,354.4	26,222,080	1.334
Oklahoma	133,700.8	636,090.0	769,790.8	43,317,889.2	44,087,680	1.746
Oregon	31,112,318.2	5,826,863.3	36,939,181.5	24,659,538.5	61,598,720	59.967
Pennsylvania	600.0	724,899.2	725,499.2	28,078,980.8	28,804,480	2.519
Rhode Island		17,658.9	17,658.9	659,461.1	677,120	2.668
South Carolina		791,436.9	791,436.9	18,582,643.1	19,374,080	4.085
South Dakota	1,597,685.8	1,099,932.5	2,697,618.3	46,184,301.7	48,881,920	5.519
Tennessee		1,563,946.3	1,563,946.3	25,163,733.7	26,727,680	5.851
Texas	57,292.4	2,298,930.6	2,356,223.0	165,861,377.0	168,217,600	1.401
Utah	31,686,251.6	2,151,930.3	33,838,181.9	18,858,778.1	52,696,960	64.213
Vermont		432,370.5	432,370.5	5,504,269.5	5,936,640	7.283
Virginia		3,018,081.6	3,018,082.6	22,478,238.4	25,496,320	11.837
Washington	9,625,157.6	1,831,149.5	11,456,307.5	31,237,452.9	42,693,760	26.834
West Virginia		1,092,265.2	1,092,265.2	14,318,294.8	15,410,560	7.038
Wisconsin	12,090.9	2,917,079.9	2,929,170.8	32,082,029.2	35,011,200	8.366
Wyoming	28,160,910.8	2,863,164.1	31,024,073.9	31,318,966.1	622,343,040	49.764
Total	573,199,452.3	84,057,300.9	657,256,753.2	1,614,086,586.8	2,271,343,360	28.936

\* Source: (of overall table) U. S. Department of the Interior, Bureau of Land Management, Public Land Statistics: 1994/1995, Vol. 179-180 (Washington, DC: Bureau of Land Management, September 1996), p. 6 (Table 1-3).

**Table A-5  
Non-Urban Land by State**

<b>FIPS</b>	<b>State</b>	<b>State Land Area (Sq. Mi.)</b>	<b>Urban Land Area (Sq. Mi.)</b>	<b>Percent Urban Land</b>	<b>Percent Non Urban Land</b>
1	Alabama	51,360	2,480	4.83	95.17
2	Alaska	587,680	248	0.04	99.96
4	Arizona	113,618	1,132	1.00	99.00
5	Arkansas	53,363	510	0.96	99.04
6	California	156,343	7,005	4.48	95.52
8	Colorado	104,287	1,333	1.28	98.72
9	Connecticut	5,016	1,820	36.29	63.71
10	Delaware	2,016	228	11.30	88.70
11	District of Columbia	66	66	99.99	0.00
12	Florida	56,020	5,631	10.05	89.95
13	Georgia	58,730	3,166	5.39	94.61
15	Hawaii	6,466	188	2.90	97.10
16	Idaho	83,022	224	0.27	99.73
17	Illinois	56,233	3,662	6.51	93.49
18	Indiana	36,182	1,588	4.39	95.61
19	Iowa	55,965	748	1.34	98.66
20	Kansas	82,197	682	0.83	99.17
21	Kentucky	40,576	1,004	2.47	97.53
22	Louisiana	46,261	1,586	3.43	96.57
23	Maine	32,232	307	0.95	99.05
24	Maryland	10,087	1,530	15.17	84.83
25	Massachusetts	8,005	2,992	37.38	62.62
26	Michigan	57,074	2,817	4.93	95.07
27	Minnesota	84,127	1,479	1.76	98.24
28	Mississippi	47,593	444	0.93	99.07
29	Missouri	69,971	1,701	2.43	97.57
30	Montana	146,336	139	0.09	99.91
31	Nebraska	77,253	265	0.34	99.66
32	Nevada	110,926	578	0.52	99.48
33	New Hampshire	9,285	313	3.37	96.63
34	New Jersey	7,623	2,685	35.22	64.78
35	New Mexico	121,432	758	0.62	99.38
36	New York	48,495	4,271	8.81	91.19
37	North Carolina	49,088	2,361	4.81	95.19
38	North Dakota	70,640	131	0.18	99.82
39	Ohio	41,165	3,721	9.04	90.96
40	Oklahoma	69,845	1,158	1.66	98.34
41	Oregon	95,866	568	0.59	99.41
42	Pennsylvania	45,156	3,411	7.55	92.45
44	Rhode Island	1,150	558	48.55	51.45
45	South Carolina	30,952	1,183	3.82	96.18
46	South Dakota	77,227	119	0.15	99.85
47	Tennessee	42,175	1,926	4.57	95.43
48	Texas	264,189	6,425	2.43	97.57
49	Utah	84,716	813	0.96	99.04
50	Vermont	9,721	214	2.20	97.80
51	Virginia	39,939	2,755	6.90	93.10
53	Washington	66,712	1,607	2.41	97.59
54	West Virginia	24,296	315	1.30	98.70
55	Wisconsin	55,800	1,310	2.35	97.65
56	Wyoming	97,562	197	0.20	99.80
	<b>National Total</b>	<b>3,592,038</b>	<b>82,351</b>	<b>2.29</b>	<b>97.71</b>

Source: Bureau of Transportation Statistics



Table A-6  
Non-Urban Employment by Industry Sector

State	Total Statewide Employment	Non-Urban Employment	Non-Urban Employment by Industry Sector						Percent Non-Urban Employment by Industry Sector					
			Agriculture	Mining	Construction, Transportation & Utilities	Manufacturing	Business & Trade	Services & Government	Agriculture	Mining	Construction, Transportation & Utilities	Manufacturing	Business & Trade	Services & Government
Alabama	1,741,794	907,319	31,524	8,734	136,812	265,858	204,297	260,094	3.47	0.96	15.08	29.30	22.52	28.67
Alaska	245,379	156,163	7,374	5,166	27,476	11,255	33,418	71,474	4.72	3.31	17.59	7.21	21.40	45.77
Arizona	1,603,896	403,142	19,411	9,595	62,369	39,730	106,635	165,402	4.81	2.38	15.47	9.86	26.45	41.03
Arkansas	994,289	749,414	45,615	3,379	101,871	185,086	185,466	227,997	6.09	0.45	13.59	24.70	24.75	30.42
California	13,996,309	2,547,772	213,850	13,208	375,908	315,329	677,440	952,037	8.39	0.52	14.75	12.38	26.59	37.37
Colorado	1,633,281	466,047	32,872	8,590	69,422	53,178	124,122	177,863	7.05	1.84	14.90	11.41	26.63	38.16
Connecticut	1,692,874	350,960	7,247	482	46,532	73,585	95,633	127,481	2.06	0.14	13.26	20.97	27.25	36.32
Delaware	335,147	116,375	5,046	114	18,333	21,863	32,266	38,753	4.34	0.10	15.75	18.79	27.73	33.30
District of Columbia	303,994													
Florida	5,810,467	1,258,492	80,838	5,962	207,104	135,878	363,464	465,246	6.42	0.47	16.46	10.80	28.88	36.97
Georgia	3,090,276	1,373,959	55,647	7,080	206,330	366,103	324,570	414,229	4.05	0.52	15.02	26.65	23.62	30.15
Hawaii	529,059	232,902	13,175	114	41,014	14,350	64,988	99,261	5.66	0.05	17.61	6.16	27.90	42.62
Idaho	443,703	310,616	37,291	3,416	37,958	47,068	79,317	105,566	12.01	1.10	12.22	15.15	25.54	33.99
Illinois	5,417,967	1,335,289	80,213	16,949	173,786	268,950	343,893	451,498	6.01	1.27	13.01	20.14	25.75	33.81
Indiana	2,628,695	1,372,635	56,603	7,107	171,634	396,705	336,105	404,481	4.12	0.52	12.50	28.90	24.49	29.47
Iowa	1,340,242	877,277	99,142	1,513	97,486	159,646	226,600	292,890	11.30	0.17	11.11	18.20	25.83	33.39
Kansas	1,172,214	671,681	56,884	9,658	85,316	111,258	166,685	241,880	8.47	1.44	12.70	16.56	24.82	36.01
Kentucky	1,563,960	954,890	51,128	35,795	131,104	200,218	231,364	305,281	5.35	3.75	13.73	20.97	24.23	31.97
Louisiana	1,641,614	775,927	33,001	31,804	122,575	118,990	195,485	274,072	4.25	4.10	15.80	15.34	25.19	35.32
Maine	571,842	447,177	14,344	468	60,340	94,505	117,122	160,398	3.21	0.10	13.49	21.13	26.19	35.87
Maryland	2,481,342	629,225	23,666	2,119	113,532	78,987	160,471	250,450	3.76	0.34	18.04	12.55	25.50	39.80
Massachusetts	3,027,950	535,217	11,168	661	72,474	99,119	148,024	203,771	2.09	0.12	13.54	18.52	27.66	38.07
Michigan	4,166,196	1,546,509	53,320	9,379	177,872	406,535	395,049	504,354	3.45	0.61	11.50	26.29	25.54	32.61
Minnesota	2,192,417	931,598	82,796	7,053	111,108	172,208	236,805	321,628	8.89	0.76	11.93	18.49	25.42	34.52
Mississippi	1,028,773	796,318	34,099	9,572	103,894	208,591	184,121	256,041	4.28	1.20	13.05	26.19	23.12	32.15
Missouri	2,367,395	1,013,004	68,734	4,432	146,931	206,962	253,916	332,029	6.79	0.44	14.50	20.43	25.07	32.78
Montana	350,723	260,319	31,737	5,082	34,792	20,667	67,183	100,858	12.19	1.95	13.37	7.94	25.81	38.74
Nebraska	772,813	445,716	61,200	1,577	59,236	59,251	118,348	146,104	13.73	0.35	13.29	13.29	26.55	32.78
Nevada	607,437	139,418	5,288	11,938	21,727	11,115	30,120	59,230	3.79	8.56	15.58	7.97	21.60	42.48
New Hampshire	574,237	399,156	6,894	485	53,682	86,677	110,000	141,418	1.73	0.12	13.45	21.72	27.56	35.43
New Jersey	3,868,698	556,313	13,707	1,228	90,079	82,326	153,515	215,458	2.46	0.22	16.19	14.80	27.60	38.73
New Mexico	629,272	338,176	16,668	15,047	50,701	25,856	85,632	144,272	4.93	4.45	14.99	7.65	25.32	42.66
New York	8,370,718	1,619,444	60,677	4,117	213,767	311,312	397,804	631,767	3.75	0.25	13.20	19.22	24.56	39.01
North Carolina	3,238,414	2,010,684	77,368	4,198	278,517	622,444	460,380	567,777	3.85	0.21	13.85	30.96	22.90	28.24
North Dakota	287,558	188,806	32,306	4,177	21,892	11,428	48,162	70,841	17.11	2.21	11.59	6.05	25.51	37.52
Ohio	4,931,357	1,866,735	66,253	15,612	230,920	516,930	458,888	578,132	3.55	0.84	12.37	27.69	24.58	30.97
Oklahoma	1,369,138	741,520	44,370	28,952	100,922	114,971	182,391	269,914	5.98	3.90	13.61	15.50	24.60	36.40
Oregon	1,319,960	637,764	53,015	1,729	77,925	124,324	165,112	215,659	8.31	0.27	12.22	19.49	25.89	33.81
Pennsylvania	5,434,532	2,141,621	72,439	25,813	304,329	523,830	540,192	675,018	3.38	1.21	14.21	24.46	25.22	31.52
Rhode Island	487,913	68,866	1,859	71	8,599	13,059	18,394	26,884	2.70	0.10	12.49	18.96	26.71	39.04
South Carolina	1,603,425	996,838	28,892	1,778	141,945	302,936	233,682	287,605	2.90	0.18	14.24	30.39	23.44	28.85
South Dakota	321,891	242,490	38,089	2,638	26,496	23,941	60,636	90,690	15.71	1.09	10.93	9.87	25.01	37.40
Tennessee	2,250,842	1,202,267	40,358	6,292	165,804	368,763	280,152	340,898	3.36	0.52	13.79	30.67	23.30	28.35
Texas	7,634,279	2,446,816	151,490	70,791	369,090	370,824	627,154	857,467	6.19	2.89	15.08	15.16	25.63	35.04
Utah	736,059	184,623	10,558	5,635	25,666	28,049	44,696	70,019	5.72	3.05	13.90	15.19	24.21	37.93
Vermont	283,146	234,409	11,340	761	31,725	37,904	61,862	90,817	4.84	0.32	13.53	16.17	26.39	38.74
Virginia	3,028,362	1,106,379	44,007	16,182	169,642	248,420	259,185	368,943	3.98	1.46	15.33	22.45	23.43	33.35
Washington	2,293,961	715,381	59,823	2,416	101,302	117,204	182,555	252,081	8.36	0.34	14.16	16.38	25.52	35.24
West Virginia	671,085	529,449	11,745	34,962	82,722	77,418	133,324	189,278	2.22	6.60	15.62	14.62	25.18	35.75
Wisconsin	2,386,439	1,233,062	100,719	1,848	139,971	318,882	306,011	365,631	8.17	0.15	11.35	25.86	24.82	29.65
Wyoming	207,868	154,954	12,045	14,112	23,979	9,543	36,198	59,077	7.77	9.11	15.47	6.16	23.36	38.13
<b>National Total</b>	<b>115,681,202</b>	<b>41,221,114</b>	<b>2,267,835</b>	<b>479,791</b>	<b>5,724,611</b>	<b>8,480,031</b>	<b>10,348,832</b>	<b>13,920,014</b>	<b>5.50</b>	<b>1.16</b>	<b>13.89</b>	<b>20.57</b>	<b>25.11</b>	<b>33.77</b>

Source: Bureau of Transportation Statistics

Table A-7  
Demographics of Non-Urban Population, by State

State	Non-Urban Population	Percent by Ethnicity					Percent Hispanic Origin	Percent by Age			Percent below Poverty	Percent by Education			
		White	Black	Native American	Asian	Other		18 or Under	19 to 64	65 or Over		Did not Complete High School	High School Graduate	Some College	College Graduate
Alabama	2,161,118	78.91	20.09	0.62	0.25	0.11	0.47	28.51	58.23	13.26	18.71	24.78	19.98	9.03	13.55
Alaska	367,049	74.16	2.34	19.85	2.76	0.88	2.68	33.72	62.10	4.19	9.25	8.75	17.49	15.37	19.24
Arizona	1,109,507	75.04	1.71	15.02	0.80	7.43	18.86	30.39	55.79	13.82	20.36	17.10	17.60	14.21	24.20
Arkansas	1,826,073	85.46	13.36	0.60	0.32	0.26	0.79	28.13	56.42	15.45	19.35	23.23	21.70	9.82	10.47
California	5,869,925	81.46	2.73	1.48	3.81	10.52	20.23	28.03	60.12	11.85	11.65	14.67	15.61	15.12	39.20
Colorado	972,852	93.41	0.79	1.08	0.69	4.03	11.49	28.99	60.61	10.40	11.56	10.92	18.78	14.56	34.40
Connecticut	663,868	97.26	1.00	0.24	0.97	0.52	1.62	25.77	62.58	11.66	4.00	11.05	19.63	11.29	52.68
Delaware	241,836	84.39	13.55	0.52	0.96	0.58	1.53	26.38	60.13	13.49	9.22	17.61	23.11	10.11	24.72
District of Columbia															
Florida	3,062,409	86.49	10.68	0.49	0.60	1.74	7.46	24.89	57.01	18.10	13.13	19.87	22.35	12.44	28.57
Georgia	3,084,159	76.39	22.43	0.24	0.40	0.54	1.14	29.22	59.22	11.56	16.28	23.41	20.19	8.26	15.39
Hawaii	507,844	38.42	2.09	0.58	56.92	1.99	8.61	29.81	60.35	9.84	9.07	12.71	18.24	12.87	24.17
Idaho	735,540	93.89	0.27	1.68	0.74	3.42	5.84	32.72	54.68	12.60	14.00	13.54	19.07	13.68	14.96
Illinois	2,943,117	95.58	2.99	0.21	0.61	0.61	1.38	27.22	57.69	15.08	11.08	15.81	24.07	11.52	28.43
Indiana	2,913,741	97.92	1.24	0.26	0.33	0.25	0.77	28.72	58.53	12.75	8.74	15.90	26.68	9.61	15.44
Iowa	1,862,332	98.44	0.51	0.21	0.55	0.29	0.74	27.84	55.45	16.71	10.77	13.71	26.48	10.50	16.31
Kansas	1,478,393	93.69	2.69	0.90	0.85	1.87	3.37	28.51	56.11	15.38	11.37	13.09	22.61	13.53	17.91
Kentucky	2,401,873	95.16	4.23	0.19	0.30	0.13	0.44	28.23	59.01	12.76	21.43	25.72	20.49	8.05	11.10
Louisiana	2,145,680	72.23	26.33	0.63	0.52	0.29	1.39	32.22	57.05	10.74	24.24	21.72	20.49	8.55	12.62
Maine	976,624	98.53	0.35	0.55	0.46	0.11	0.54	27.38	59.58	13.04	10.21	13.92	24.85	10.32	17.17
Maryland	1,243,606	87.42	11.07	0.32	0.91	0.28	1.02	27.33	61.97	10.70	6.51	14.79	21.88	11.64	38.82
Massachusetts	1,078,503	96.93	1.18	0.26	0.81	0.81	1.38	25.85	60.64	13.51	5.86	11.33	20.50	11.68	55.58
Michigan	3,493,691	96.62	1.43	0.91	0.42	0.62	1.49	29.00	58.84	12.16	10.58	14.25	23.50	12.19	20.52
Minnesota	2,034,656	97.78	0.19	1.21	0.49	0.33	0.75	29.84	55.17	14.99	11.25	14.79	23.64	10.25	20.14
Mississippi	2,035,967	63.43	35.76	0.39	0.32	0.10	0.48	31.16	55.85	12.99	25.97	23.14	16.77	9.36	11.74
Missouri	2,354,870	96.19	2.73	0.50	0.36	0.21	0.69	27.97	56.73	15.30	15.09	20.10	24.00	9.95	15.97
Montana	600,682	92.32	0.10	6.80	0.43	0.34	1.25	29.97	56.52	13.51	15.97	12.61	21.62	13.69	17.09
Nebraska	939,244	97.46	0.39	0.91	0.41	0.83	2.01	29.38	54.29	16.33	11.12	13.26	24.46	12.49	17.43
Nevada	294,394	90.67	1.41	3.66	1.08	3.18	7.96	27.87	61.17	10.95	8.88	12.93	21.35	16.95	25.09
New Hampshire	777,013	98.70	0.37	0.21	0.59	0.13	0.69	27.36	61.43	11.22	5.90	11.04	20.75	11.44	23.28
New Jersey	1,166,559	90.78	6.39	0.29	1.55	0.99	2.87	25.95	60.38	13.67	5.07	13.97	22.38	10.86	53.12
New Mexico	903,998	73.22	1.73	13.17	0.62	11.26	37.59	33.55	55.95	10.50	23.96	17.75	17.79	11.68	16.59
New York	3,568,885	95.82	2.47	0.49	0.62	0.61	1.87	27.49	59.72	12.79	9.45	14.57	22.31	10.02	44.71
North Carolina	4,162,616	78.36	19.28	1.72	0.34	0.30	0.76	26.39	60.55	13.06	13.27	22.64	20.43	9.77	15.30
North Dakota	450,826	93.76	0.62	4.98	0.35	0.29	0.72	30.09	54.00	15.91	14.64	16.88	18.59	12.42	17.25
Ohio	4,213,241	96.91	2.10	0.21	0.39	0.39	0.90	28.64	58.81	12.55	11.33	16.22	26.81	9.14	17.73
Oklahoma	1,828,863	83.64	4.15	10.68	0.46	1.07	2.10	28.37	56.36	15.27	18.28	19.29	21.15	11.80	15.02
Oregon	1,472,281	94.71	0.31	1.80	1.13	2.05	4.37	28.01	57.34	14.65	13.03	13.98	20.82	15.22	20.07
Pennsylvania	4,735,892	98.18	1.05	0.14	0.41	0.23	0.72	26.34	59.08	14.58	9.72	17.53	28.70	7.34	19.78
Rhode Island	136,665	97.41	0.62	0.79	1.08	0.11	0.70	25.98	62.21	11.81	5.96	12.02	18.76	10.79	52.50
South Carolina	2,201,725	68.37	30.80	0.27	0.35	0.21	0.65	29.05	59.34	11.61	15.89	22.06	19.43	8.70	14.55
South Dakota	542,502	90.72	0.34	8.28	0.39	0.27	0.71	30.59	53.80	15.60	16.82	15.27	21.03	11.16	15.31
Tennessee	2,678,517	92.37	6.90	0.26	0.33	0.14	0.54	26.77	59.97	13.26	15.55	25.25	20.92	9.07	13.28
Texas	5,996,968	82.30	7.80	0.43	0.51	8.96	21.88	30.64	56.59	12.77	19.48	20.38	18.00	11.75	19.65
Utah	473,850	94.50	0.15	3.03	0.78	1.54	3.60	41.05	49.18	9.77	11.79	8.84	16.12	13.65	23.50
Vermont	473,118	98.80	0.28	0.41	0.41	0.10	0.59	27.67	59.96	12.37	9.34	12.86	22.94	9.39	20.68
Virginia	2,354,239	84.28	14.74	0.21	0.56	0.21	0.75	25.91	61.29	12.80	11.93	23.00	19.80	9.79	24.50
Washington	1,685,599	91.24	0.95	2.50	1.53	3.78	5.85	29.60	58.06	12.34	12.06	12.52	19.44	15.11	25.35
West Virginia	1,455,677	96.89	2.50	0.18	0.36	0.08	0.44	27.16	58.59	14.25	20.11	23.35	24.12	7.89	10.31
Wisconsin	2,549,878	98.01	0.34	0.95	0.43	0.26	0.74	28.85	57.19	13.95	8.69	14.44	25.88	9.65	17.69
Wyoming	336,029	94.65	0.23	2.63	0.51	1.98	4.78	31.96	57.77	10.27	11.67	10.70	21.04	14.08	16.38

Source: Bureau of Transportation Statistics

Table A-8  
Population Change 1990-1998

State	July 1998 Population (Estimate)	May 1990 Population (Census)	Numerical Change	Percent Change
Alabama	4,351,999	4,040,389	311,610	8
Alaska	614,010	550,043	63,967	12
Arizona	4,668,631	3,665,339	1,003,292	27
Arkansas	2,538,303	2,350,624	187,679	8
California	32,666,550	29,785,857	2,880,693	10
Colorado	3,970,971	3,294,473	676,498	21
Connecticut	3,274,069	3,287,116	-13,047	0
Delaware	743,603	666,168	77,435	12
District	523,124	606,900	-83,776	-14
Florida	14,915,980	12,938,071	1,977,909	15
Georgia	7,642,207	6,478,149	1,164,058	18
Hawaii	1,193,001	1,108,229	84,772	8
Idaho	1,228,684	1,006,734	221,950	22
Illinois	12,045,326	11,430,602	614,724	5
Indiana	5,899,195	5,544,156	355,039	6
Iowa	2,862,447	2,776,831	85,616	3
Kansas	2,629,067	2,477,588	151,479	6
Kentucky	3,936,499	3,686,892	249,607	7
Louisiana	4,368,967	4,221,826	147,141	4
Maine	1,244,250	1,227,928	16,322	1
Maryland	5,134,808	4,780,753	354,055	7
Massachusetts	6,147,132	6,016,425	130,707	2
Michigan	9,817,242	9,295,287	521,955	6
Minnesota	4,725,419	4,375,665	349,754	8
Mississippi	2,752,092	2,575,475	176,617	7
Missouri	5,438,559	5,116,901	321,658	6
Montana	880,453	799,065	81,388	10
Nebraska	1,662,719	1,578,417	84,302	5
Nevada	1,746,898	1,201,675	545,223	45
New Hampshire	1,185,048	1,109,252	75,796	7
New Jersey	8,115,011	7,747,750	367,261	5
New Mexico	1,736,931	1,515,069	221,862	15
New York	18,175,301	17,990,778	184,523	1
North Carolina	7,546,493	6,632,448	914,045	14
North Dakota	638,244	638,800	-556	0
Ohio	11,209,493	10,847,115	362,378	3
Oklahoma	3,346,713	3,145,576	201,137	6
Oregon	3,281,974	2,842,337	439,637	16
Pennsylvania	12,001,451	11,882,842	118,609	1
Rhode Island	988,480	1,003,464	-14,984	-2
South Carolina	3,835,962	3,486,310	349,652	10
South Dakota	738,171	696,004	42,167	6
Tennessee	5,430,621	4,877,203	553,418	11
Texas	19,759,614	16,986,335	2,773,279	16
Utah	2,099,758	1,722,850	376,908	22
Vermont	590,883	562,758	28,125	5
Virginia	6,791,345	6,189,197	602,148	10
Washington	5,689,263	4,866,669	822,594	17
West Virginia	1,811,156	1,793,477	17,679	1
Wisconsin	5,223,500	4,891,769	331,731	7
Wyoming	480,907	453,589	27,318	6

Source: US Census Bureau

**Table A-9**  
**Employment Trends in the States: 1990-1999**

State	Employment		% Change in Employment Rate * 1990-99
	1990	June, 1999	
ALABAMA	1,759,239	2,075,993	1.5
ALASKA	251,257	306,369	1
ARIZONA	1,701,079	2,302,728	0.8
ARKANSAS	1,047,784	1,217,499	2.3
CALIFORNIA	14,319,192	15,711,981	0.5
COLORADO	1,675,122	2,218,812	1.2
CONNECTICUT	1,738,695	1,683,888	1.6
DELAWARE	340,244	385,958	1.4
DISTRICT OF COLUMBIA	307,369	259,418	-0.3
FLORIDA	6,077,713	7,224,397	1.9
GEORGIA	3,118,253	3,928,816	1.4
HAWAII	533,521	563,308	-3.3
IDAHO	463,484	636,064	1.2
ILLINOIS	5,547,939	6,136,220	1.5
INDIANA	2,645,422	3,055,515	2.4
IOWA	1,386,271	1,572,509	1.7
KANSAS	1,218,863	1,422,534	1.1
KENTUCKY	1,662,154	1,905,030	1.3
LOUISIANA	1,720,561	1,979,763	1
MAINE	601,778	654,455	1.1
MARYLAND	2,487,117	2,734,213	0.7
MASSACHUSETTS	3,032,863	3,219,427	2.9
MICHIGAN	4,248,022	4,949,147	3.6
MINNESOTA	2,268,780	2,680,927	1.9
MISSISSIPPI	1,093,506	1,217,533	2.1
MISSOURI	2,443,231	2,841,536	1.9
MONTANA	377,213	455,855	1.2
NEBRASKA	796,352	917,233	-0.6
NEVADA	632,487	919,252	0.2
NEW HAMPSHIRE	592,073	662,788	3.1
NEW JERSEY	3,860,673	4,086,737	0.2
NEW MEXICO	661,540	786,988	-0.8
NEW YORK	8,375,118	8,512,422	0.3
NORTH CAROLINA	3,323,957	3,761,370	1.2
NORTH DAKOTA	305,272	344,810	1
OHIO	5,099,214	5,637,114	1.2
OKLAHOMA	1,427,883	1,612,693	2
OREGON	1,407,413	1,677,386	0.1
PENNSYLVANIA	5,475,923	5,790,403	1.1
RHODE ISLAND	483,704	486,928	3.3
SOUTH CAROLINA	1,655,894	1,951,833	0.5
SOUTH DAKOTA	333,831	399,946	1.4
TENNESSEE	2,261,453	2,729,758	1.7
TEXAS	8,071,312	9,909,137	0.9
UTAH	781,018	1,077,431	0.4
VERMONT	289,205	330,095	2.3
VIRGINIA	3,098,145	3,528,497	1.1
WASHINGTON	2,412,815	2,969,867	0.3
WEST VIRGINIA	696,762	773,969	2.2
WISCONSIN	2,466,597	2,929,088	1.3
WYOMING	222,951	255,700	1
<b>NATL AVERAGE</b>	<b>2,335,405</b>	<b>2,659,819</b>	<b>1.2</b>

\* Employment rates for 1990 and 1999 were determined by dividing the employed population by the labor force for those years. The base data for these calculations are not shown on this table.

Source: BLS estimates

**Table A-10**  
**Number of Counties, Municipalities and Townships--1997**

Geographic area	County <sup>1</sup>	Subcounty		
		Municipal	Town or Township	Total
United States	3,043	19,372	16,629	36,001
Alabama	67	446	-	446
Alaska	12	149	-	149
Arizona	15	87	-	87
Arkansas	75	491	-	491
California	57	471	-	471
Colorado	62	269	-	269
Connecticut	-	30	149	179
Delaware	3	57	-	57
District of Columbia	-	1	-	1
Florida	66	394	-	394
Georgia	156	535	-	535
Hawaii	3	1	-	1
Idaho	44	200	-	200
Illinois	102	1,288	1,433	2,721
Indiana	91	569	1,008	1,577
Iowa	99	950	-	950
Kansas	105	627	1,370	1,997
Kentucky	119	434	-	434
Louisiana	60	302	-	302
Maine	16	22	467	489
Maryland	23	156	-	156
Massachusetts	12	44	307	351
Michigan	83	534	1,242	1,776
Minnesota	87	854	1,794	2,648
Mississippi	82	295	-	295
Missouri	114	944	324	1,268
Montana	54	128	-	128
Nebraska	93	535	455	990
Nevada	16	19	-	19
New Hampshire	10	13	221	234
New Jersey	21	324	243	567
New Mexico	33	99	-	99
New York	57	615	929	1,544
North Carolina	100	527	-	527
North Dakota	53	363	1,341	1,704
Ohio	88	941	1,310	2,251
Oklahoma	77	592	-	592
Oregon	36	240	-	240
Pennsylvania	66	1,023	1,546	2,569
Rhode Island	-	8	31	39
South Carolina	46	269	-	269
South Dakota	66	309	956	1,265
Tennessee	93	343	-	343
Texas	254	1,177	-	1,177
Utah	29	230	-	230
Vermont	14	49	237	286
Virginia	95	231	-	231
Washington	39	275	-	275
West Virginia	55	232	-	232
Wisconsin	72	583	1,266	1,849
Wyoming	23	97	-	97

<sup>1</sup> Excludes areas corresponding to counties but having no organized county governments

**Table A-11**  
**Transportation Districts in 1997**

STATE	Highways	Airports	Parking facilities	Water transport	Transit utility	Total
Alabama		20	1	3	3	27
Alaska						0
Arizona	2				1	3
Arkansas	18	10	1	1	1	31
California	45	16		12	63	136
Colorado	21	10	1		1	33
Connecticut	31				18	49
Delaware						0
Dis. of Columbia					1	1
Florida	5	6		6	6	23
Georgia		19	1		2	22
Hawaii						0
Idaho	65			1		66
Illinois	26	31		8	18	83
Indiana					1	1
Iowa	4	3			6	13
Kansas	1					1
Kentucky	3				3	6
Louisiana	1			14	1	16
Maine		1		3	2	6
Maryland	5					5
Massachusetts	1				17	18
Michigan		20		2	18	40
Minnesota		5			4	9
Mississippi		5		2	1	8
Missouri	308	2		1	1	312
Montana		8			4	12
Nebraska	13	60			1	74
Nevada	9	1			1	11
New Hampshire	6				2	8
New Jersey	3					3
New Mexico						0
New York	1			1		2
North Carolina		16			2	18
North Dakota		80				80
Ohio		53		13	15	81
Oklahoma				1		1
Oregon	86			9	9	104
Pennsylvania	7	35	65	3	38	148
Rhode Island						0
South Carolina	2	4			5	11
South Dakota	24	1				25
Tennessee		23		1		24
Texas		1		23	5	29
Utah	15				1	16
Vermont					2	2
Virginia	3	24			6	33
Washington	1	5		34	13	53
West Virginia		6			10	16
Wisconsin						0
Wyoming	15	11				26
<b>TOTAL</b>	<b>721</b>	<b>476</b>	<b>69</b>	<b>138</b>	<b>282</b>	<b>1,686</b>

**Table A-12**  
**Number of Tribes or Native American Villages**

STATE	Number of Tribes/Villages
Alabama	1
Alaska	231
Arizona	23
<i>Arkansas<sup>1</sup></i>	
California	104
Colorado	2
Connecticut	2
<i>Delaware</i>	
Florida	2
<i>Georgia</i>	
<i>Hawaii</i>	
Idaho	5
<i>Illinois</i>	
Indiana	
Iowa	1
Kansas	4
Kentucky	
Louisiana	4
Maine	5
<i>Maryland</i>	
<i>Massachusetts</i>	
Michigan	11
Minnesota	1
Mississippi	1
<i>Missouri</i>	
Montana	8
Nebraska	6
Nevada	20
<i>New Hampshire</i>	
<i>New Jersey</i>	
New Mexico	25
New York	7
North Carolina	1
North Dakota	5
<i>Ohio</i>	
Oklahoma	36
Oregon	9
<i>Pennsylvania</i>	
Rhode Island	1
South Carolina	1
South Dakota	8
<i>Tennessee</i>	
Texas	3
Utah	7
<i>Vermont</i>	
<i>Virginia</i>	
Washington	27
<i>West Virginia</i>	
Wisconsin	11
Wyoming	2
<b>TOTAL</b>	<b>574</b>

<sup>1</sup> All italicized states have no recognized tribes or villages

Source: BIA

**Table A-13**  
**Regional Councils in the States<sup>1</sup>**

State	# Regional Councils	Approx. % of State Covered	Presence of State Assoc. of Regional Councils	#MPOs <sup>2</sup>
Alabama	12	100%	X	11
Alaska	12	65%	-	1
Arizona	6	100%	-	4
Arkansas	12	100%	X	5
California	22	75%	X	15
Colorado	13	90%	X	5
Connecticut	15	95%	X	8
Delaware	1	75%	-	2
Florida	11	100%	X	26
Georgia	16	100%	X	10
Hawaii	-	-	-	1
Idaho	8	100%	X	3
Illinois	25	75%	X	9
Indiana	11	60%	X	11
Iowa	16	85%	X	6
Kansas	7	50%	X	3
Kentucky	16	100%	X	3
Louisiana	8	100%	X	8
Maine	9	85%	X	4
Maryland	6	100%	-	4
Massachusetts	13	100%	X	10
Michigan	14	100%	X	12
Minnesota	10	70%	X	4
Mississippi	11	100%	X	3
Missouri	19	85%	X	6
Montana	6	30%	-	3
Nebraska	6	65%	X	2
Nevada	2	10%	-	3
New Hampshire	9	100%	X	4
New Jersey	2	50%	-	3
New Mexico	7	100%	X	3
New York	10	75%	X	12
North Carolina	18	100%	X	18
North Dakota	8	100%	X	3
Ohio	18	80%	X	13
Oklahoma	11	100%	X	3
Oregon	10	50%	X	4
Pennsylvania	10	85%	X	14
Rhode Island	-	-	-	1
South Carolina	10	100%	X	10
South Dakota	6	70%	-	2
Tennessee	9	100%	X	9
Texas	24	100%	X	25
Utah	8	100%	-	2
Vermont	13	100%	X	1
Virginia	21	100%	X	9
Washington	14	60%	X	8
West Virginia	11	100%	X	4
Wisconsin	9	85%	X	10
Wyoming	2	15%	-	2
Number of States	48	24 <sup>3</sup>	38	50

<sup>1</sup> The term "Regional Councils" is the generic name used by the National Association of Regional Councils (NARC) for interlocal "regions" that serve a variety of purposes, which often include transportation, land use, and economic development planning. These organizations have a variety of different names from one state to another. "Rural Planning Organizations" (RPOs) designated by SDOTs for transportation planning generally are regional councils. About half of the MPOs also are regional councils.

<sup>2</sup> About half of the "metropolitan planning organizations" (MPOs) recognized by the federal government for transportation planning are regional councils. Many of the other MPOs overlap the urban core portion of larger regions served by a regional council.

<sup>3</sup> Twenty-four states are completely covered by RPOs

Source: National Association of Regional Councils, Directory of Regional Councils: 1999 (Washington, DC: NARC, July 1999)



## APPENDIX A

Table A-14  
State Administration of Non-Federal Highways\*

State*	State-Controlled Mileage	Total Mileage	Less Federal	Net State-Local	Ratio of State-Controlled Mileage to Net State-Local
West Virginia	31,858	34,919	650	34,269	92.96%
Delaware	4,887	5,524	3	5,521	88.52%
Virginia	56,441	68,429	2,026	66,403	85.00%
North Carolina	77,774	95,582	2,026	93,556	83.13%
South Carolina	41,638	64,129	602	63,527	65.54%
Alaska	5,849	13,634	2,588	11,046	52.95%
Kentucky	27,584	71,765	491	71,274	38.70%
Pennsylvania	44,421	116,788	992	115,796	38.36%
Maine	8,545	22,481	170	22,311	38.30%
Louisiana	16,647	58,629	626	58,003	28.70%
New Hampshire	4,027	14,913	136	14,777	27.25%
Missouri	32,357	121,424	563	120,861	26.77%
Texas	76,843	293,317	953	292,364	26.28%
Washington	18,880	79,413	7,204	72,209	26.15%
Hawaii	1,027	4,106	105	4,001	25.67%
Arkansas	16,208	77,162	1,628	75,534	21.46%
Oregon	11,273	95,237	41,870	53,367	21.12%
New Mexico	11,636	61,195	4,450	56,745	20.51%
Vermont	2,835	14,145	80	14,065	20.16%
Connecticut	3,972	20,280	4	20,276	19.59%
Wyoming	6,661	39,022	4,116	34,906	19.08%
Maryland	5,423	29,172	435	28,737	18.87%
Rhode Island	1,136	6,120		6,120	18.56%
Ohio	20,527	113,823	32	113,791	18.04%
Utah	5,799	43,270	9,729	33,541	17.29%
Tennessee	14,516	85,144	572	84,572	17.16%
Nevada	5,298	45,657	13,832	31,825	16.65%
Georgia	17,838	110,790	1,097	109,693	16.26%
Arizona	6,130	55,969	14,461	41,508	14.77%
New York	16,404	111,686		111,686	14.69%
Mississippi	10,468	72,795	779	72,016	14.54%
Idaho	5,122	58,588	23,121	35,467	14.44%
Colorado	9,244	78,043	7,123	70,920	13.03%
Illinois	17,369	136,402	172	136,230	12.75%
California	18,450	168,378	18,524	149,854	12.31%
Indiana	11,294	92,054		92,054	12.27%
Oklahoma	13,049	112,432	88	112,344	11.62%
Wisconsin	12,445	110,371	962	109,409	11.37%
North Dakota	7,399	66,648	831	65,817	11.24%
Nebraska	10,256	92,686	137	92,549	11.08%
Montana	6,200	70,357	14,248	56,109	11.05%
Florida	11,870	110,640	106	110,534	10.74%
Alabama	3,563	34,323	941	33,382	10.67%
Minnesota	7,904	129,622	1,627	127,995	10.43%
Massachusetts	3,563	34,323	117	34,206	10.42%
South Dakota	7,904	83,299	1,969	81,330	9.72%
New Jersey	3,247	34,286	41	34,245	9.48%
Iowa	10,105	112,586	121	112,465	8.99%
Michigan	9,632	117,520		117,520	8.20%
Kansas	10,672	133,655		133,655	7.98%
U.S. Average	800,237	3,901,715	182,412	3,719,303	21.52%

\*States are listed in descending order of ratio of state-controlled mileage to net state-local mileage.

\* Source: FHWA, Highway Statistics, 1992 (Table 3).

Table A-15

**PUBLIC ROAD LENGTH - 1998**  
**KILOMETERS BY OWNERSHIP 1/**

OCTOBER 1999

TABLE HM-10M

STATE	RURAL						URBAN						TOTAL
	STATE HIGHWAY AGENCY	COUNTY ROADS	TOWN AND TOWNSHIP ROADS	OTHER JURIS-DICTIONS 2/	UNDER FEDERAL CONTROL 3/	TOTAL	STATE HIGHWAY AGENCY	COUNTY ROADS	TOWN AND TOWNSHIP ROADS	OTHER JURIS-DICTIONS 2/	UNDER FEDERAL CONTROL 3/	TOTAL	
Alabama	14,384	93,834	3	9,053	1,170	118,444	3,101	446	-	29,638	16	33,201	161,645
Alaska	8,285	3,378	-	3,502	2,329	17,494	737	2,136	-	37	2	2,912	20,406
Arizona	9,400	27,433	-	3,162	16,987	56,982	1,238	3,043	-	23,509	82	27,872	86,854
Arkansas	24,124	102,106	-	7,324	3,438	136,992	2,144	798	-	13,131	-	16,073	153,065
California	18,348	86,224	-	7,656	20,405	132,633	6,127	19,780	-	108,521	11	134,439	267,072
Colorado	12,975	83,982	-	6,544	11,199	114,700	1,646	5,325	-	15,561	-	22,532	137,232
Connecticut	3,063	-	11,011	380	6	14,460	2,918	-	15,941	39	-	18,898	33,358
Delaware	5,623	-	-	399	11	6,033	2,512	-	-	679	-	3,191	9,224
Dist. of Columbia	-	-	-	-	-	-	2,211	-	-	18	58	2,287	2,287
Florida	11,264	93,728	-	311	2,651	107,954	7,955	5,201	-	64,634	-	77,790	185,744
Georgia	23,897	106,384	6,169	504	1,745	138,699	4,783	23,149	15,435	613	66	44,046	182,745
Hawaii	1,154	2,374	-	86	163	3,776	415	2,557	-	14	27	3,013	6,789
Idaho	7,508	23,158	55	22,410	14,769	67,900	478	171	2,280	3,375	19	6,303	74,203
Illinois	19,198	23,612	108,808	372	12,255	164,245	7,234	2,876	6,462	41,170	42	57,784	222,029
Indiana	15,389	97,732	-	5,140	-	118,261	2,792	9,125	-	20,044	-	31,961	150,222
Iowa	14,159	142,255	-	9,722	183	166,319	1,419	1,382	-	12,424	6	15,231	181,550
Kansas	15,731	178,705	-	4,525	187	199,148	982	-	-	15,242	-	16,224	215,372
Kentucky	40,301	56,251	-	2,832	1,378	100,762	3,864	4,950	-	8,990	237	17,741	118,503
Louisiana	23,590	46,603	-	4,150	1,003	75,346	3,265	5,362	-	13,786	3	22,416	97,762
Maine	12,257	-	18,684	988	272	32,201	1,242	-	13	2,971	6	4,232	36,433
Maryland	5,763	18,649	-	1,201	63	25,676	2,490	13,493	-	6,291	636	22,910	48,586
Massachusetts	1,942	-	16,818	715	145	19,620	2,698	8	21,902	12,480	34	37,112	56,732
Michigan	12,450	126,210	-	5,638	3,352	147,650	3,256	17,247	-	27,354	-	47,857	196,507
Minnesota	17,407	69,871	84,994	10,845	2,665	185,782	1,841	3,077	230	20,194	-	25,342	211,124
Mississippi	15,770	83,908	4,142	48	1,336	105,204	1,371	1,587	9,749	10	35	12,762	117,956
Missouri	49,320	111,297	3	9,236	1,506	171,362	2,824	2,892	11	20,612	-	26,339	197,701
Montana	12,263	71,432	-	2,515	22,267	108,477	257	837	-	2,905	-	3,999	112,476
Nebraska	15,529	97,377	21,895	5,842	256	140,999	529	764	8	6,957	-	8,258	149,257
Nevada	7,875	34,953	60	1,077	3,864	47,829	929	3,172	-	5,024	35	9,160	56,989
New Hampshire	5,702	-	10,556	3,146	220	19,624	655	-	293	3,767	-	4,715	24,339
New Jersey	1,408	5,348	6,848	5,197	43	18,844	2,326	6,746	2,184	27,708	3	38,965	57,809
New Mexico	17,473	56,409	-	489	12,162	86,533	954	5,647	-	3,286	-	9,887	96,420
New York	17,719	27,074	65,967	4,588	43	115,391	6,457	5,683	26,181	27,315	63	65,699	181,090
North Carolina	110,676	-	-	7,767	3,092	121,535	14,861	-	-	21,885	415	37,161	158,696
North Dakota	11,544	16,261	103,936	3,813	867	136,421	330	246	-	2,377	-	2,953	139,374
Ohio	24,586	43,174	55,870	9,508	42	133,182	6,476	3,814	9,246	34,311	8	53,855	187,037
Oklahoma	18,207	139,606	-	2,071	31	159,915	1,548	518	-	19,106	3	21,175	181,090
Oregon	11,087	50,852	-	9,931	21,136	93,006	1,228	3,584	-	12,339	53	17,204	110,210
Pennsylvania	51,995	21	407	83,021	1,590	137,024	12,849	1,621	-	40,237	-	54,940	191,984
Rhode Island	523	-	1,627	-	14	2,164	1,437	-	6,119	16	-	7,572	9,736
South Carolina	55,704	28,999	-	1,067	1,595	87,365	11,140	3,357	-	2,575	-	17,072	104,437
South Dakota	12,250	58,036	54,586	2,990	3,190	131,062	303	193	130	2,559	2	3,187	134,239
Tennessee	18,231	85,548	-	6,624	660	111,063	3,914	3,766	-	20,622	11	28,313	139,376
Texas	110,189	211,445	-	21,771	1,469	344,874	17,088	10,615	-	104,678	45	132,426	477,300
Utah	8,161	35,193	-	3,983	7,532	54,869	1,242	1,914	-	8,486	24	11,666	66,535
Vermont	3,949	-	16,090	552	138	20,729	285	-	209	1,674	39	2,207	22,936
Virginia	78,378	45	-	904	2,800	82,127	13,918	2,464	-	13,514	406	30,302	112,429
Washington	9,548	56,762	-	22,671	11,724	100,705	1,791	8,409	-	18,207	-	28,407	129,112
West Virginia	50,332	-	-	1,104	1,090	52,526	2,242	-	-	2,895	-	5,137	57,663
Wisconsin	16,807	31,601	96,538	7,232	2,070	154,048	2,317	1,362	2,776	19,666	-	26,121	180,169
Wyoming	10,282	22,798	961	4,823	3,269	42,133	645	435	-	2,585	2	3,667	45,800
U.S. Total	1,063,512	2,650,628	686,128	341,311	190,499	4,932,078	177,054	188,318	121,016	865,729	2,389	1,354,506	6,286,584
Puerto Rico	3,172	-	-	9,094	-	12,266	2,160	-	-	9,191	-	11,351	23,617
Grand Total	1,066,684	2,650,628	686,128	350,405	190,499	4,944,344	179,214	188,318	121,016	874,920	2,389	1,365,857	6,310,201

1/ Due to conversion from English to metric units and to rounding, individual cell values may not agree with corresponding mileage table cell values.

2/ Includes State park, State toll and other State agency roadways. Includes roadways not identified

by ownership. Contains mainly municipal roadways for urban summaries.

3/ Roadways in Federal parks, forests, and reservations that are not part of the State and local highway systems.

**ACRONYMS**

AASHTO	American Association of State Highway and Transportation Officials
ARC	Appalachian Regional Commission
ATP	Area Transportation Partnership
AWPA	American Public Works Association
CTAA	Community Transportation Association of America
EDA	Economic Development Administration
EDD	Economic Development District (funded by EDA)
FHWA	Federal Highway Administration
HPMS	Highway Performance Monitoring System
ITA	Intertribal Transportation Association
LDD	Local Development District (funded by ARC)
MPO	Metropolitan Planning Organization
NACo	National Association of Counties
NACE	National Association of County Engineers
NADO	National Association of Development Organizations
NARC	National Association of Regional Councils
NATaT	National Association of Towns and Townships
NCSL	National Conference of State Legislators
NGA	National Governors Association
NHS	National Highway System
NLC	National League of Cities
RC	Regional Council
RDC	Rural Development Council
RPO	Regional Planning Organization
SCOP	Standing Committee on Planning (AASHTO)
SDOTs	State Departments of Transportation
STIP	State Transportation Improvement Program
TEA-21	Transportation Equity Act for the Twenty-First Century
TRB	Transportation Research Board



## **DERIVING PRINCIPLES OF EFFECTIVE CONSULTATION FOR STATE TRANSPORTATION PLANNING AND PROGRAMMING**

The principles of effective consultations for state transportation planning and programming, which are described in this study, were derived from two sources. The first source was a review of research and practices, in a variety of public and private fields, relating to communications with external parties. The second source was a process of working with representatives of SDOTs and local officials to tailor a specific set of principles to the transportation field. Both sources are documented in this appendix.

### **REVIEWING RESEARCH AND PRACTICES RELATING TO COMMUNICATION WITH EXTERNAL PARTIES**

For the SDOTs, consultation with local officials often is seen as being very similar to public involvement. In fact, there are enough similarities that some SDOTs use their public involvement process to satisfy the local-official consultation requirement. Although the parties being consulted are different, both are external to the SDOTs and the same basic principles of consultation apply. Therefore, despite the differences between local-official consultations and public involvement discussed earlier in this study, the Academy examined the following relevant research on public involvement processes when developing principles for effective consultation.

Some of the research reflects broad-based efforts to enhance service through greater customer and citizen participation. Other research specifically address public involvement requirements in federal, state and local aid programs – including transportation.

### **The Quality Management Movement**

Ever since the book *In Search of Excellence*<sup>21</sup> was published, corporations and governments have been seeking ways to get “close to their customers.” This quest is part of a larger effort to improve quality in products, services, and management.<sup>22</sup> The international standard for quality management (ISO 9000) addresses external communications needs; similar features are included in the Malcolm Baldrige National Quality Award for businesses in the United States, the President’s Quality Award (for federal agencies), and similar awards in other countries.

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<sup>21</sup> Thomas Peters and Robert H. Waterman, *In Search of Excellence*, reissue edition (New York: Warner Books, 1988).

<sup>22</sup> H. James Harrington, with James S. Harrington, *Total Improvement Management: The Next Generation in Performance Improvement* (New York: McGraw-Hill, 1995).

The standards for excellence in external communications extend to customers, suppliers, and partners. The increasing outsourcing of tasks throughout business and government makes such communications a growing necessity for success. This practice is similar in many ways to the partner relationships found in federal-aid programs where the actual services and facilities financed with federal dollars are provided by state and local governments, private companies, and non-profit organizations. Success, increasingly, comes to those who can work together most smoothly and productively with their counterparts in the total enterprise.

In the civic sector, as well, good external communication is taken as a sign of excellence. The civic index, used to help judge candidates for the All-America City Award, is heavy on inter-group communications and the ability to work together. The Index contains ten sections that evaluate “the social and political fabric of a community: how decisions are made, how citizens interact with one another and government, and how challenges to the community are met.”<sup>23</sup> The ten sections in the index are:

1. Citizen participation
2. Community leadership
3. Government performance
4. Volunteerism and Philanthropy
5. Intergroup and intragroup relations
6. Civic education
7. Community information sharing
8. Capacity for cooperation and consensus building
9. Community vision and pride
10. Regional cooperation

### **ACIR Studies**

Public involvement requirements in federal-aid programs, as well as in state and local programs, have a long history. An exhaustive study of these requirements in a wide variety of federal, state, and local programs was prepared and adopted by the U.S. Advisory Commission on Intergovernmental Relations (ACIR) in 1979. It found that these requirements have a wide variety of purposes and are implemented using a wide variety of techniques.<sup>24</sup> The ACIR report listed eight main purposes of citizen participation as follows:<sup>25</sup>

- Give information to citizens

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<sup>23</sup> National Civic League, *All-America City Award 2000: Application and Instructions*, pp. 8-11.

<sup>24</sup> U.S. Advisory Commission on Intergovernmental Relations, *Citizen Participation in the American Federal System* (Washington, DC: U.S. Government Printing Office, 1980).

<sup>25</sup> ACIR, *Citizen Participation*, p. 72.

- Get information from or about citizens
- Improve public decisions and programs
- Enhance acceptance of public decisions and programs
- Supplement public agency work
- Alter political power patterns and resource allocations
- Protect individual and minority group rights and interests
- Delay or avoid difficult public decisions

For each of these purposes, ACIR found multiple forms of participation being used. About 50 techniques were identified.<sup>26</sup> However, after reviewing a number of studies on the effectiveness of these participation activities, the Commission came to two conclusions:

First, many Americans expect a great deal of participation in governmental affairs to be open to them, even though they may not always take advantage of available opportunities.

Second, there is a substantial gap between the amount of influence which many participants expect their involvement to have, and the actual effects of participation. This gap, some believe, arises largely from deficiencies in the present citizen participation processes and causes substantial dissatisfaction. While the legal opportunities for citizen participation—whether or not they are exercised in any given instance—may have a substantial indirect effect on the actions of public officials, direct effects often are limited because:

- Citizen participation opportunities are not provided until the latter stages of decision-making (as, for example, providing for public hearings just before a decision actually is made).
- Opportunities for participation are frequently limited to a small advisory committee and an open public hearing at the end of the process.
- The opportunities provided are too passive (leaving to citizens' own devices the initiative and the development of capabilities to participate constructively in very complex governmental processes).
- Citizens don't have the time, information, or experience to participate in a meaningful way.<sup>27</sup>

The Commission also recognized, however, that an elaborate participation program could be expensive. Therefore, it cautioned governments not to require more

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<sup>26</sup> More recently, an inventory of public involvement techniques prepared for FHWA and FTA found a similar number of techniques in use in the transportation field. See Howard/Stein-Hudson Associates, Inc., and Parsons, Brinkerhoff, Quade & Douglas, *Public Involvement Techniques for Transportation Decision-Making*, Prepared for the Federal Highway Administration and the Federal Transit Administration (Washington, DC: U.S. Department of Transportation, 1996).

<sup>27</sup> ACIR, *Citizen Participation*, p. 12.

participation than required to meet the purposes of a program. Recognizing that the state and local governments have many participation requirements of their own, the Commission recommended the following components of a cost-effective participation policy for federal-aid programs:

- Establish clear objectives for citizen participation in federal aid programs.
- Enunciate performance standards that encourage the use of timely, effective, and efficient citizen participation methods tailored to diverse situations.
- Prohibit detailed federal specification of exact techniques and procedures to be followed by state and local recipients of federal aid.
- Rely, through a certification process, upon citizen participation provisions of state and local law and established practices thereunder, to the maximum extent consistent with objectives established [by the federal government].
- Authorize the use of federal research, technical assistance, and training resources for the support of citizen participation objectives in federal aid programs.<sup>28</sup>

Although couched in terms of citizen participation, these components or principles of a public participation process also could be applied appropriately to SDOT consultations with local officials.

In a more recent study of collaborative intergovernmental decision-making, focusing on water resources programs, ACIR emphasized the need to:

- Analyze the applicable historical, legal, and political contexts for planning in the area to be covered, including needed changes.
- Identify the key organizations, decision-makers, and other stakeholders, and involve them in constructive interactions that get them to see each other's viewpoints.
- Get separate governments and agencies to see how their responsibilities interrelate.
- Assist non-technical citizens and elected officials to understand the key facts.
- Develop plans and necessary implementation elements through an open and visible involvement process.
- Get the key decision-makers to take responsibility for needed actions.<sup>29</sup>

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<sup>28</sup> ACIR, *Citizen Participation*, pp. 14-15.

<sup>29</sup> ACIR, *Planning to Govern* (Washington, DC: ACIR, September 1994), pp. iii-iv. The points cited here are condensed and paraphrased.



### Measures for Assessing Effective Involvement in Transportation Decision-Making

A 1996 study of public involvement techniques for transportation decision-making found a wide variety of techniques being used for statewide and metropolitan planning, and for project planning. The study recommended that effective public involvement programs be based on the following five fundamental guidelines, which the study describes in greater detail:<sup>30</sup>

1. Acting in accord with basic democratic principles
2. Continuous contact between agency and non-agency people throughout transportation decision-making
3. Use of a variety of public involvement techniques
4. Active outreach
5. Focusing participation on decisions

Again, this study is focused on the full range of participants outside the agency, but its advice is also applicable to consultations with local officials.

In 1999, the TRB Committee on Public Involvement issued a draft self-assessment tool for use by transportation agencies in assessing the effectiveness of their project-based public involvement processes.<sup>31</sup> This tool was developed over a substantial period of time by public involvement professionals, and has been peer-reviewed. It includes 14 indicators of effectiveness, each supported by several quantitative measures. The 14 indicators are:

- Accessibility to the decision-making process
- Diversity of views represented
- Opportunities for participation
- Integration of concerns
- Information exchange
- Project efficiency
- Project/decision acceptability
- Mutual learning
- Mutual respect
- Cost avoidance
- Indirect cost of time
- Indirect opportunity costs
- Indirect costs associated with authority and influence
- Indirect costs associated with emotional issues

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<sup>30</sup> Howard/Stein-Hudson, et al, *op. cit.*, p. iii.

<sup>31</sup> Committee on Public Involvement in Transportation, The Transportation Research Board, *Assessing the Effectiveness of Project-Based Public Involvement Processes: A Self-Assessment Tool for Practitioners* ([www.ch2m.com/trb\\_pi](http://www.ch2m.com/trb_pi)).

This self-assessment tool provides instructions and a scorecard to facilitate its use.

Another 1999 study by TRB specifically addresses effective methods of working with elected officials.<sup>32</sup> It suggests keeping the following principles in mind when working with elected officials:

- They do not like to be surprised.
- They do not like to be backed into a corner.
- Help them with intermediate decisions.
- Be sensitive to election cycles.
- Be sensitive to budgeting cycles.
- Bring newcomers up to speed.
- Be cognizant of established positions.
- Elected officials need information that takes only a short time to absorb and is simple to understand.
- Develop good communication linkages with elected official aides.
- Work with the town, city, or county clerks to understand their basic procedures for notification, and when information needs to be submitted for placement on their agendas.

### **Summary**

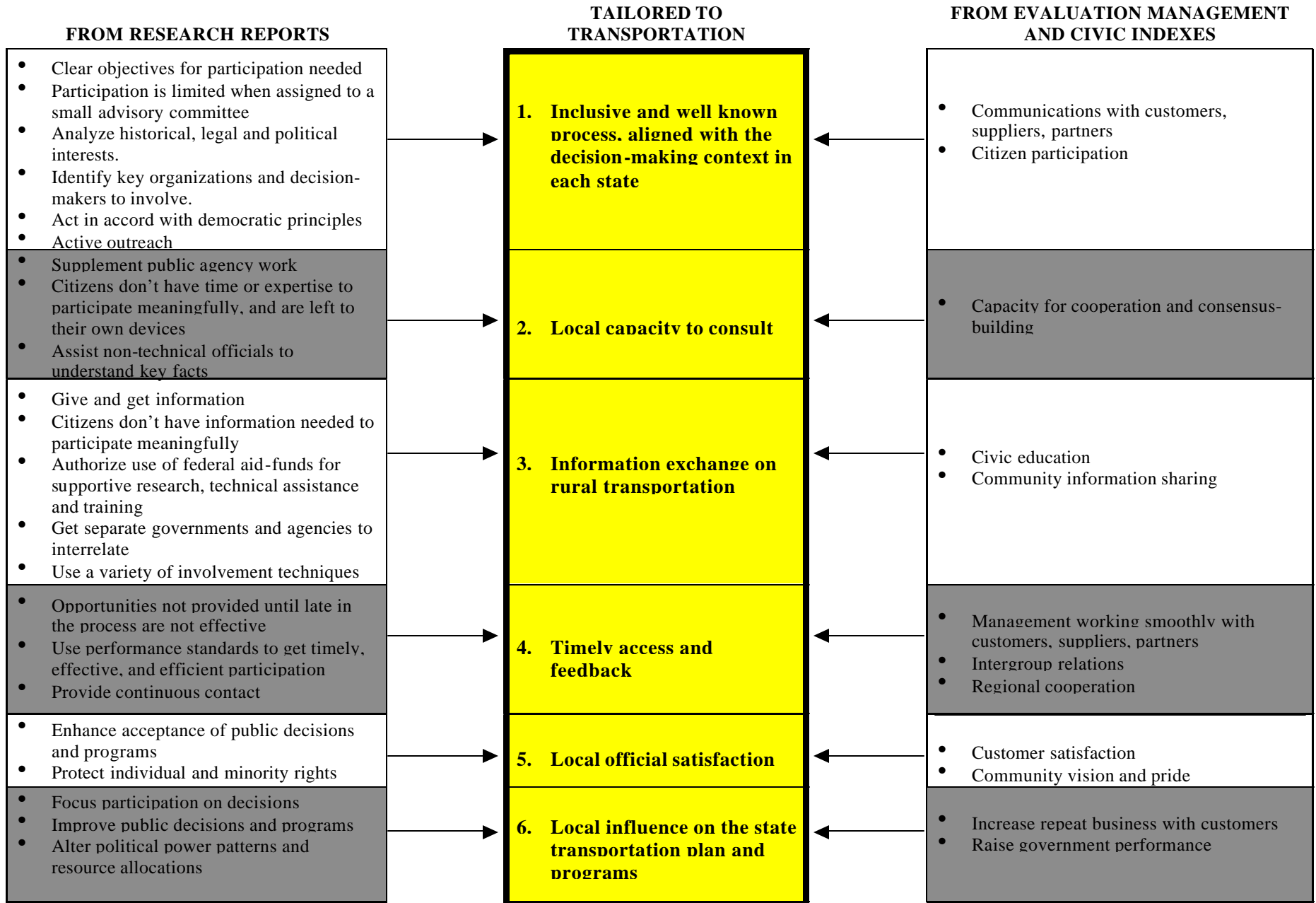
The results of this review of research and practices relating to communication with external parties are summarized in Figure C-1. This figure shows that each of the six

principles of effective consultation described in this study for use in transportation planning and programming processes have strong underpinnings in both research and practice.

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<sup>32</sup> Steven A Smith, *Guidebook for Transportation Corridor Studies: A Process for Effective Decision-Making*, NCHRP Report 435 (Washington, DC: Transportation Research Board, 1999), pp. 5-19.

**Figure C-1**  
**Principles Of Effective Consultation With Outside Parties**



## **TAILORING PRINCIPLES OF EFFECTIVE CONSULTATION TO THE FIELD OF STATE TRANSPORTATION PLANNING AND PROGRAMMING**

Based on the review of research and practices for external communication, the Academy (1) drafted a set of principles for effective consultation in the transportation field, (2) reviewed them with representatives of SDOTs and local officials, and (3) refined them to create the set of six principles described in this report. The process of deriving these six principles is described next.

### **Draft Academy Principles of Effective Consultation**

In September 1999, Academy staff distributed six preliminary “criteria of effectiveness” for review and comment by the study panel, federal agencies, and a range of state and local associations represented through the FHWA Sounding Board for this project. These criteria suggested that the required consultations should:

1. Address rural elements of both the long-range (20-year) state transportation plan and the short-range (3-year) state transportation improvement program (STIP)
2. Include all the “co-producers” of rural transportation facilities and services.<sup>33</sup>
3. Provide timely access to state decision-makers before decisions are locked in; and feedback to local officials about how their input was used and what changes it caused.
4. Assist rural local officials in acquiring at least minimum levels of transportation planning and programming capabilities to enable them to participate effectively in consultations with SDOT.
5. Produce satisfaction among local officials that they: (a) are being heard and their needs are being considered fairly, (b) understand the basis for state decisions (c) are making decision about rural transportation—other than those funded by the National Highway System (NHS), Bridge and Interstate Maintenance programs—“in cooperation with” the state, and (d) understand the status of projects and programs being funded in the area.
6. Make a difference in identifying and responding to rural transportation needs, including: (a) regional systems which are evolving versus just individual local projects, (b) increased funding to

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<sup>33</sup> “Co-producers” of rural transportation facilities and services were defined as all of the state and local agencies, plus private businesses and non-profit organizations, that fund and/or manage highways, roads, transit, shared-ride, trails, goods movement, and other modes of transportation in the rural areas of the state.

meeting critical rural needs is fairly considered, and (c) local wishes and choices are respected.

Although these preliminary criteria were favorably received by local government groups, they drew considerable criticism from AASHTO<sup>34</sup> and some individual SDOTs. The state criticisms focused primarily on the notions that SDOTs (1) might be expected to provide assistance to local officials to enhance their ability to participate in state transportation planning and programming processes, and (2) might be judged by local officials' overall satisfaction. In addition, AASHTO expressed concern that a single set of criteria might be applied to all states, regardless of their diverse circumstances. AASHTO requested additional time to review and comment on the proposed criteria, and opportunities to help develop a flexible and acceptable set of criteria, before any use would be made of them.

### **Refining the Consultation Principles**

As a result of these concerns and at the request of FHWA, the Academy revised its research plan, reformulated its original list of six preliminary criteria of effectiveness into draft principles of effectiveness for state-level consultations, and conducted two workshops on state-local consultation practices and the draft principles for assessing effectiveness of those practices. The workshops were held in Washington, DC on January 9, 2000, in conjunction with TRB's annual meeting, and on March 20, 2000 in conjunction with NARC's Washington Policy Conference.

At the January workshop, the draft principles of effectiveness were discussed in both plenary and breakout sessions. Although the group (which numbered approximately 70 people representing 30 states) had limited time to complete its work, the following five principles were agreed upon.

“The consultation process for rural transportation planning and programming should strive to:

- Be well known and understood by the participants
- Promote free and effective exchange of information
- Provide opportunities to influence decisions
- Reflect the unique decision-making context in each state
- Provide feedback to local officials so they can understand why the state made the decisions the way it did.”

Table C-1 shows how these five state-consensus workshop principles relate to the Academy's draft principles. Although one or more of the six breakout groups favored something related to each of the Academy's principles, a consensus developed on only

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<sup>34</sup> Letter from Thomas R. Warne, President of AASHTO, to Cindy Burbank, FHWA's program manager for planning and environment, November 23, 1999.

## APPENDIX C

three of them during the brief time devoted to this topic at the workshop. The consensus reached in this brief session did not include: (a) involvement of all the local officials required by TEA-21, (b) assisting local officials to consult more effectively, and (c) producing satisfaction among local officials.

The last two of these non-consensus points are the same two about which AASHTO expressed the greatest concern to FHWA. AASHTO's rationale for objecting to assisting local officials was cost; its rationale for shunning satisfaction as a goal of consultation was that SDOTs cannot be expected to satisfy all local officials all of the time, especially with limited funding. One state, for example, expressed this concern as follows:

It is important that local officials understand the process and feel like their needs are considered. In reality, however, few will feel satisfied unless their projects are selected for funding. Given limited funding, many will be dissatisfied.

One local representative on FHWA's Sounding Board reinforces this point, but the others felt it was possible to separate satisfaction with the consultation process from satisfaction with the approval of individual projects.

**Table C-1**  
**Comparison of Consultative Principles Drafted by NAPA with those Agreed to at the January 9, 2000 Workshop**

Academy's Effectiveness Principles <sup>1</sup>	Workshop Breakout Groups: Results						
	Group 1	Group 2	Group 3	Group 4	Group 5	Group 6	Consensus <sup>2</sup>
1. Address Rural Concerns	Informing locals about statewide needs	Clear, effective issue information	Common state and local goals		Understand statewide context, and local needs	OK	1. Information is exchanged
2. Include "Co-Producers"				Process is open (to all stakeholders)		OK	
3. Timely Access and Feedback	Joint agreement on process	Known & understandable process; clear feedback	Locals feel they are part of the process; it's REAL to them.	Process is transparent and understandable, timely. Process is tailored to the state.	Accessible. Understand process, and basis for decisions.	OK	2. Process is known. 3. Reflects the unique context in each state. 3. Feedback loop is provided.
4. Assist Local Officials to Participate Effectively						OK	
5. Produce Satisfaction			Reduce complaints about the process.			Build trust and frank communication.	
6. Make a Difference	Outcomes based; system performance	Opportunity to influence outcomes	Local support for State Plans and Programs. Consistent local answers over time.		Able to affect the process.	Measure outcomes over time (4-5 years).	5. Influence is possible.

<sup>1</sup> The numbers of the principles in the column are the ones assigned to the first draft criteria of effectiveness.

<sup>2</sup> The numbers of the principles in this column are the ones assigned at the January 9, 2000 workshop.

The Academy believes that the three non-consensus points deserve continued consideration. First, consultation with all local officials having transportation responsibilities is required by law, and can be useful in coordinating investments and in building support for state plans and programs. Second, assisting local officials to participate in the process more effectively, even though it costs something, need not be excessively expensive and can pay dividends. Third, building satisfaction with the consultation process, not necessarily satisfaction with funding levels for transportation improvements, is part of the trust-building needed to develop mutual support between state and local transportation programs and officials. Although overall satisfaction with relations between SDOTs and local officials is likely to be higher when more local transportation needs are met, it is possible to evaluate the effectiveness of the consultation process apart from the performance of the transportation system and the amount of dollars spent in a particular area. Most representatives of local officials consulted by the Academy in the course of this study agreed with this point.

At the workshop of local officials convened March 20, 2000 in connection with the NARC conference, the 28 officials from nine states<sup>35</sup> who attended generally supported the six draft principles of effective consultation as revised following the state workshop. The group consisted of 20 local elected officials, seven regional council executive directors, and a representative of a state association of regional councils.

These officials also felt that their SDOTs would say they support them; however, the most frequently stated local view was that the state support for these principles would not represent solid commitment to the process. The most prominently stated view was that some SDOTs go through the consultation process largely because they have to. Many of the local officials felt that the process does not have much impact on the final results.

In addition, most of these local officials said they got little or no feedback on their consultations. They also wished their SDOT had an objective scoring system for judging the merits of proposed projects, and incentives for good performance, so that they could feel that they were getting a fair share of available funds.

The local workshop attendees viewed “relationships” with the SDOTs as more important than the process itself. One local official who had a good relationship with the SDOT had a much more positive view of the process than others from the same state. In the view, of most local officials partnership would be better than consultation. Although many one-on-one relationships at the working level are pretty good, access to upper level officials was reported to be not readily available to local officials when needed. These local officials were not aware of local involvement in setting-up the consultation process, and felt that it had been imposed largely top-down. In addition, the consultations they had been in were almost exclusively about projects, not plans and policies.

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<sup>35</sup> The states represented were: Alabama, Colorado, Florida, Georgia, Michigan, New Mexico, New York, Texas, and Washington.



Asked to name the most needed improvements in the current system, the local officials focused on federal mandates to change the way the SDOT conducts the consultations, but not requiring any single technique. They also favored measuring the effectiveness of the consultation process, but wanted to talk with the assessment teams separately from SDOT officials. The feeling was that, if they told the truth about the process, it would damage their chances for future funding.

It is noted that none of the measures of effectiveness for consultations are all-or-nothing. For example, complete satisfaction of local officials probably will never be possible. However, a relatively high level of satisfaction, or greater satisfaction this year than last, may be indicators that the effectiveness of consultations is improving. All of these measures can be thought of in terms of “the extent to which” their goals are being met; it’s a matter of degree and of seeing trends move in the desired direction.



**COMMENT LETTERS**

1. American Association of State Highway and Transportation Officials
2. Joint Letter from the  
American Public Works Association  
National Association of Counties  
National Association of County Engineers  
National Association of Development Officials  
National Association of Regional Councils  
National League of Cities



American Association of  
State Highway and  
Transportation Officials

Thomas R. Warne, President  
Executive Director  
Chief Administrative Officer  
Utah Department of Transportation

John Horsley  
Executive Director

April 27, 2000

Cindy Burbank  
Program Manager  
Planning and Environment  
Federal Highway Administration  
400 7<sup>th</sup> Street, SW  
Washington, D.C. 20590

Dear Ms. Burbank,

During the April 12 panel meeting on the study of Rural Transportation Consultation Processes, the panel determined that the study would include an appendix containing alternative perspectives on these processes and on the study itself. This letter and its attachments is being submitted to the project director at the National Academy of Public Administration (NAPA) to respond to this request. However, we are also asking FHWA to give these comments careful consideration as your office develops the report to Congress on local official consultative processes of which the NAPA study is only one element.

First of all, let me express our appreciation for allowing AASHTO to comment throughout the course of the study. In addition, we recognize and appreciate the fact that several of the concerns expressed by AASHTO have led to changes in the draft study that have been positive from our perspective.

However, overall, as the study has progressed our concerns have grown. Simply stated, our principal concern is that the study and activities surrounding it are being used as a forum to advocate for increasing Federal requirements on how States and their local officials relate, and for changing the relative balance of authority between these governmental units regarding transportation decisions.

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Telephone (202) 624-5800 Telefax (202) 624-5806 www.aashto.org



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Because this concern is central to our view of the NAPA study and FHWA's future report to Congress we ask that the following AASHTO perspectives be included in the study and the FHWA's report.

- **POSITIVE WORKING RELATIONSHIPS WITH LOCAL OFFICIALS ARE IMPORTANT TO AASHTO MEMBER DEPARTMENTS.**

AASHTO does not agree with language and tone in the report that implies States do not care about the local officials within their borders. This is a serious misrepresentation. It also completely misses the fundamental truth that State governments, as well as, political subdivisions, represent and are responsible to citizens within a State. In fact, any State agency that fails to respond to its citizens and local officials will undoubtedly face pressures and repercussions from their legislators, governors, mayors, county commissioners, local government associations and others. In addition, if there are processes which are egregious to local officials, FHWA has substantive administrative authority to compel a State to modify its process.

In addition to these linkages, the success of any State's transportation program hinges on whether it meets the social and economic needs of its citizens. States already have ample reason to maintain positive working relationships with local officials and to include them as important stakeholders in the success of the transportation planning process.

- **EXISTING PROCESSES ARE APPROPRIATE.**

AASHTO appreciates the details recently added to the study pointing out the vast differences between States and the great variability in how local officials participate within the various States' transportation planning processes.

However, this variability underscores a point which to date has not been made within the study and which AASHTO feels must be acknowledged. Specifically, the existing consultative processes for transportation planning and programming are flexible enough so that the scale and complexity of any individual process can be designed and adapted to fit the transportation needs within any individual State. AASHTO urges FHWA to do nothing which would undermine the ability of States to work with local officials to develop customized processes which are deemed appropriate by those participating and which fit the scale of the transportation issues being addressed.

Further, it should be noted that a "one size fits all" solution fails to recognize that State Legislatures have specified many of the requirements for State agencies to deal with local units of government. A move to standardize the decision-making process between the State and locals would usurp the authority of State Legislatures to determine appropriate relationships between the State and its local units of government.

During the debates preceding passage of TEA-21, Congress heard many arguments to change the balance of authority for transportation decision-making, which was initiated in ISTEA. Congress decided to preserve the ISTEA balance. The NAPA study, the

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FHWA report to Congress, or the upcoming proposed update to the planning regulations should in no way be used to second-guess Congressional intent on this issue.

We ask FHWA to give full consideration to AASHTO policy resolution PR-14-99 as amended by the Standing Committee on Planning on March 24, 2000 (attached). AASHTO especially urges FHWA in its report to Congress and within the upcoming planning regulations to respect the relationships between individual States and their local officials and to not prescribe additional layers of process or advocate changes in the State/Local authority relationships.

- **CONSULTATION VERSUS COOPERATION IS NOT SIMPLY A QUESTION OF SEMANTICS**

On more than one occasion during the development of the NAPA study, it was suggested that outside of the largest cities (transportation management areas over 200,000 population) there are no differences in Federal requirements for transportation planning and programming processes for rural versus metropolitan areas (MPOs) over 50,000 in population. This is inaccurate. There are important distinctions tied to specific Federal statutory language regarding responsibility and decision-making authority for transportation within metropolitan areas over 50,000 versus rural areas. A summary of these differences is shown in the attached process matrix, which should be included within the NAPA study to ensure that any confusion on this topic is eliminated.

Under 23 USC 135(f)(3)(A) States currently have a "cooperative" relationship with local governments in the selection of non-bridge projects located off the National Highway (NHS) and Interstate (I) Systems. Typically, non-NHS and non-Interstate projects serve more local transportation needs, so this level of local government participation and authority in the selection of transportation projects is both appropriate and substantial.

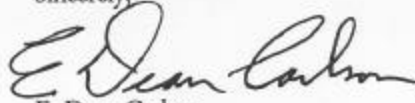
However, it is also appropriate that State transportation departments have greater authority over the programs for the Interstate, the National Highway System and for the Bridge Program within rural areas and that greater authority is unambiguously provided in 23 USC 135(f)(3)(B). These systems serve national connectivity and inter-regional mobility. These issues are more appropriately handled by State transportation agencies that have the incentive and ability to assess tradeoffs among various regions of the State. Any effort to further shift the authority for selecting projects on these systems such as, changing "consultation" to "cooperation" for areas of less than 50,000 population, will make it more difficult for States to plan and deliver the Interstate and National Highway System improvement programs. Such a change would balkanize decision-making over programs with Interstate and Statewide implications. It would empower political subdivisions with respect to issues affecting citizens outside of those political subdivisions. And, it may introduce an undesirable bias against mobility and connectivity within the nation's transportation programs.

In conclusion, please note that the States are deeply committed to reaching agreement on transportation solutions with our citizens, stakeholders and local governments. The Nation's transportation system serves many needs and everyone has a stake in its success.

Cindy Burbank  
Page 4 of 4  
April 27, 2000

The current transportation planning process has moved us forward, and its balance and integrity should be preserved.

Sincerely,

A handwritten signature in black ink that reads "E. Dean Carlson". The signature is written in a cursive style with a large, prominent "E" and "C".

E. Dean Carlson  
Vice President

Attachments

cc: Bruce McDowell, NAPA, with attachments

PR-14-99

**FHWA's Local Elected Officials' Involvement Study**

(Adopted October 3, 1999 and amended by Standing Committee on Planning March 24, 2000)

WHEREAS, TEA-21 section 1204(i) requires that the Secretary of Transportation study and report to Congress within two years on the effectiveness of local elected officials' participation in transportation planning and programming; and

WHEREAS, TEA-21 section 1204(f) requires that each state document its process for consultation with local elected officials within one year of enactment; and

WHEREAS, the Federal Highway Administration has contracted with the National Association of Public Administration to conduct the section 1204(i) study; and

WHEREAS, the Federal Highway Administration has conducted a series of information gathering rural transportation workshops to gather data for the study; and

WHEREAS, states have indicated that the draft information from the workshops made available to review is incomplete and inaccurate; and

WHEREAS, how local officials participate within the various states' transportation planning processes is a function of the significant differences between the states including: demographics, form of governance, state statutory authority, state funding structures, responsibility over various modes, and state administrative structures; and

WHEREAS, given this great variability, there is no "one size fits all" effectiveness criteria; rather, the effectiveness of a given state's process can only be considered within context of each state; and

WHEREAS, this study will frame future discussions about how rural planning will be conducted under TEA-21.

NOW, THEREFORE, BE IT RESOLVED that the member states of the American Association of State Highway and Transportation Officials encourage FHWA to ensure the validity of the data used in the study by engaging in accuracy checks of the data received to date; and

BE IT FURTHER RESOLVED that states should be given the full recognition in the study and any subsequent report for rural planning processes that they conduct that are not required by federal law that still build state/local partnership; and

BE IT FURTHER RESOLVED that AASHTO expresses its concern that there has been little dialogue on how the states' effectiveness will be evaluated and requests that such dialogue be continued through the Standing Committee on Planning; and

BE IT FURTHER RESOLVED that in its report to Congress and within the updated planning regulations relative to 23 USC 135, FHWA should respect the relationships between individual states and their local officials and in no way prescribe additional process or advocate for new set-asides or directed funding from the Federal-aid highway program.



**Process Matrix**  
**23 USC 134/135 as Amended by TEA-21**  
 (Note: no change from balance in ISTEA)

Geographic Area Process	TMA (MPO)	URBANIZED (MPO)	Outside Urban Areas
Plans	MPO responsible in <u>Cooperation</u> with State	MPO responsible in <u>Cooperation</u> with State	State responsible in <u>Consultation</u> with local officials
	MPO responsible in <u>Cooperation</u> with State	MPO responsible in <u>Cooperation</u> with State	State responsible in <u>Consultation</u> with local officials
Programs	IM/NHS/BR State selects in <u>Cooperation</u> with MPO	IM/NHS/BR State selects in <u>Cooperation</u> with MPO	IM/NHS/BR State selects in <u>Consultation</u> with local officials
	Other projects: MPO selects in <u>Consultation</u> with State	Other projects: State selects in <u>Cooperation</u> with MPO	Other projects: State selects in <u>Cooperation</u> with local officials
Project Selection			



**American Public Works Association  
National Association of Counties  
National Association of County Engineers  
National Association of Development Officials  
National Association of Regional Councils  
National League of Cities**

May 12, 2000

Ms. Cindy Burbank  
Program Manager, Planning and Environment  
Federal Highway Administration  
400 Seventh Street, SW  
Washington, DC 20590

Dear Ms. Burbank:

All of the above named local government associations appreciate being included in the Advisory Panel on Rural Transportation Consultation.

We believe that there is some useful information in the report. However, the report fails to fulfill the requirements of the provision in TEA-21 calling for, "a study on the effectiveness of the participation of local elected officials in transportation planning and programming." This report includes no information that describes the "effectiveness of participation of local elected officials"; neither does it speak to the "degree of cooperation," as required in TEA-21. It also fails to outline that the impetus for the study was that some states neglect to provide adequate Surface Transportation Program funds to rural local governments.

While information was collected from the states concerning the consultative planning process for nonmetropolitan areas, no effort was made to verify this information to its accuracy or to its effectiveness as a method for participation by local elected officials in each state. As you might imagine, no state Department of Transportation in a submission to the Federal Highway Administration is going to suggest that it doesn't have a means to effectively provide for participation by local elected officials.

Local government associations suggested again and again that obtaining the local government perspective on the effectiveness of this participation, the goal of the study, could be accomplished by contacting those state associations representing local officials, such as associations of counties, municipal leagues, and representatives from regional planning organizations. Because the state Departments of Transportation objected to almost all attempts to obtain reliable information, the Academy of Public Administration states in the report that, "...the Academy had no practical means of independently assessing the effectiveness of the state consultation processes and practices, even on a

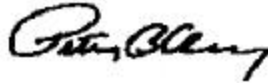
Page Two  
May 12, 2000

sample basis." We agree. This study is a report on what some states do; not whether it is "effective." Only the testimony of local officials can measure whether the state process works for them and provide a basis for assessing "the degree of cooperation."

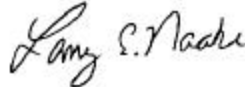
The organization of the study moved from a survey of determining the effectiveness of the participation of local elected officials in each state, to a twelve-state sample, to holding two workshops. Local government associations stated their objections to the workshop format in a letter to you on December 22, 1999. Our objections were ignored. The resulting workshops provided anecdotal information and no verifiable or comprehensive data on the subject of the study.

Congress asked for a study on the effectiveness of local government participation. We urge you, once again, to fulfill that requirement. We stand ready to assist you in any way.

Sincerely,



Peter King  
Executive Director  
American Public Works Association



Larry Naake  
Executive Director  
National Association of Counties



Tony Giancola  
Executive Director  
National Association of  
County Engineers



Donald Borut  
Executive Director  
National League of Cities



Aliceann Wohlbruck  
Executive Director  
National Association of Development  
Organizations



William Dodge  
Executive Director  
National Association of Regional  
Councils

## COMMENTS BY RURAL LOCAL OFFICIALS ON SDOT CONSULTATION PROCESSES

The following comments reflect the common themes that recurred in 56 responses to questions asked by FHWA of local officials involved in transportation programs. The questions were distributed through several national associations. Most of the responses came from members of the National Association of Regional Councils and the National Association of Development Organizations.

The local official comments listed below are divided into three groups relating to: (1) the degree and methods of local official involvement, (2) the balance between state and local officials in the process, and (3) transit coordination. The comments in **bold type** were mentioned from 5 to 18 times. Other comments were mentioned less than five times.

### Degree and Methods of Local-Official Involvement

- **Local officials are fully involved in the transportation planning and programming process.**
- **The consultative process covers all transportation planning, programs, and issues.**
- **Consultation covers only highway programs.**
- **Consultation covers only the STIP.**
- There is no consultation in developing the STIP. Comments may be made on the STIP after it has been developed by the state.
- The process allows local officials to decide on spending about 50 percent of Enhancement and STP funds.
- Projects are based on a joint planning process.
- **Local officials are involved in statewide planning through RPOs.**
- **Consultation with local officials is informal. There are no formal mechanisms in place for regular consultation.**
- State officials meet with local officials on request.
- The state holds one public hearing annually in the region.
- The state has decentralized planning to its districts.
- **The state does not consult with local officials throughout the planning process. Public input meetings are held instead. Local officials are considered part of the public, and are involved through the public involvement process.**
- More coordination with local officials is needed.
- **Rural officials generally are not involved.**

- **There is no rural transportation planning for our area.**
- Rural transportation planning is performed by the state and its consultants.
- State contacts with local officials are non-existent.

#### **Balance Between State and Local Officials in the Consultation Process**

- **The state's consultation process is balanced between state and local officials.**
- **The consultation process has no balance. It is skewed toward the state. The state's planning process is top-down.**
- The SDOT regional offices have total authority.
- There is no balance in funding between metropolitan and non-metropolitan areas. The metropolitan areas have most of the population, and get most of the money.

#### **Transit Coordination**

- **Mechanisms are in place for coordinating public transit and human services transportation.**
- Mechanisms are emerging for coordinating public transit and human services transportation.
- The committees that consider transit are separate. There is no formal procedure for intermodal coordination.
- **There are no mechanisms for coordinating public transit and human services transportation.**

## PANEL AND STAFF

## PANEL

All members of this panel are Fellows of the Academy.

**Thomas D. Larson**—*Panel Chair*. Member of the National Academy of Engineering. Professor Emeritus of Business and Engineering, Pennsylvania State University. Principal architect of the Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA), and winner of the Secretary's Gold Medal at the U. S. Department of Transportation. Consultant. Former Administrator, Federal Highway Administration, U.S. Department of Transportation; Professor of Government and Management, Pennsylvania State University; Secretary of Transportation, Commonwealth of Pennsylvania.

**Enid Beaumont**—Senior Fellow, Washington, DC, Institute of Public Administration; Fellow, Center for the Study of American Government, Johns Hopkins University. Former Chief of Party, Macedonia Project, Institute of Public Administration; Director, Academy for State and Local Government; Vice-President, National Academy of Public Administration; Executive Director, National Institute of Public Affairs; Director, Public Administration Program, New York University; Assistant Administrator, Human Resources Administration, New York City; Personnel Administrator, Agency for International Development; Manager, The Port Authority of New York and New Jersey; Personnel Administrator, State of Hawaii.

**Gail C. Christopher**— Executive Director of the Innovations In American Government Awards Program of Harvard's John F. Kennedy School of Government. She also serves as Co-Chair of the Alliance for Redesigning Government, a program of the National Academy of Public Administration. She and has held numerous executive leadership positions. Among these are former director of the Alliance for Redesigning Government, Executive Director of the Family Resource Coalition of America, Director of the Americans All National Education Program and Director of the Reclaim Our Youth, National Violence Prevention Initiative. Her Washington, DC based consulting firm provides organizational development, training and technical assistance services for nonprofit, corporate and government clients, including, the National Governor's Association, Strategos Inc., Howard University, the U.S. Department of Health and Human Services, and more than twenty state and local government jurisdictions.

**William Clinger, Jr.**—Senior Fellow, Center for the Study of American Government, Johns Hopkins University. Former Fellow, Institute of Politics, JFK School of Government, Harvard University. Former positions with the U.S. House of Representatives: Representative; Chairman, Government Reform and Oversight Committee; Vice Chairman, Public Works and Transportation Committee; Ranking Member, Banking, Currency, and Monetary Affairs Subcommittee; Ranking Member, Aviation Subcommittee; Ranking Member, Oversight and Investigations Subcommittee; Ranking Member, Economic Development Subcommittee. Former Chief Counsel, Economic Development Administration, U.S. Department of Commerce; Attorney, Harper, Clinger & Eberly.

**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

**Bruce D. McDowell**—*Project Director.* Consultant, Management Studies Program. Former Director of Government Policy Research and Assistant to the Executive Director, U.S. Advisory Commission on Intergovernmental Relations; Director of Governmental Studies, National Council on Public Works Improvement. Fellow of the Academy.

**Laurie Baxter**—*Research Associate.* Program Associate, Management Studies Program. Former Personnel Management Officer, active and reserve components, U. S. Army; Family Advocacy Case Management Team Member, U. S. Army; Trainer, Commercial Banking.

**Martha S. Ditmeyer**—*Project Assistant.* Program Assistant, National Academy of Public Administration, Management Studies Program. Former staff member at the Massachusetts Institute of Technology and the Communications Satellite Corporation.

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\* The following consultants contributed to the report on an intermittent basis: Elaine Orr, Rebecca Wallace, and Bill Shields. Bren George was detailed to the project from FHWA beginning in April 2000.





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