NJDOT Policy and Procedures Development Study: Title VI, Environmental Justice, and LEP

Effective Practices

Prepared for:

McCormick Taylor
Philadelphia, Pennsylvania

and

New Jersey Department of Transportation
Trenton, New Jersey

Submitted by:

The Louis Berger Group, Inc.
Morristown, New Jersey

August 2008

Introduction

In 1994, Executive Order 12898 directed every Federal agency to make environmental justice part of its mission by identifying and addressing the effects of all programs, policies and activities on "minority populations and low-income populations." The Executive Order reinforced what had been law for more than three decades — Title VI of the Civil Rights Act of 1964. The Executive Order essentially reminded all government agencies receiving Federal funding that they are required to address discrimination as well as the consequences of all of their decisions or actions that might result in disproportionately high and adverse environmental and health impacts on minority and low-income communities.

In 1997, the U.S. Department of Transportation issued its *Order to Address Environmental Justice in Minority Populations and Low-Income Population (DOT Order)*. The *DOT Order* addressed the requirements of Executive Order 12898 and set forth DOT's policy to promote the principles of environmental justice in all programs, policies and activities under its jurisdiction. Since the *DOT Order* was issued, the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) have been working with their State and local transportation partners to make sure that the principles of environmental justice are integrated into every aspect of their mission.

The essence of effective environmental justice practice is summarized in three fundamental principles:

- Avoid, minimize, or mitigate disproportionately high and adverse human health and environmental effects, including social and economic effects, on minority populations and low-income populations;
- Ensure the full and fair participation by all potentially affected communities in the transportation decision-making process; and
- Prevent the denial of, reduction in, or significant delay in the receipt of benefits by minority and low-income populations.

In 2000, the U.S. Department of Justice issued its *Executive Order 13166: Improving Access to Services for Persons with Limited English Proficiency*. The Executive Order requires Federal agencies to examine the services they provide, identify any need for services to those with Limited English Proficiency (LEP), and develop and implement a system to provide those services so LEP persons can have meaningful access to them. A LEP Policy Guidance Document issued by the U.S. Department of Justice sets forth compliance standards that recipients of Federal financial assistance must follow to ensure that LEP persons are in receipt of these services.

Today, effective transportation decision-making requires understanding and addressing the unique needs of many different socioeconomic groups. Early, inclusive, and meaningful public involvement in transportation decision-making is a proven means for designing transportation facilities that fit more harmoniously into communities. The involvement of people potentially affected by transportation projects including LEP, low-income and minority populations, offers many benefits and does not impede the accomplishment of other DOT priorities such as safety and mobility. Recognition of community needs and values allows NJDOT to provide needed transportation facilities and services that are welcomed by communities.

NJDOT is undergoing a review of existing agency policies and procedures to ensure that the promise and vision as well as the obligations created by Title VI of the Civil Rights Act and the

Executive Orders on Environmental Justice and LEP are appropriately recognized with each agency activity and at each stage of transportation decision-making. The Louis Berger Group, Inc., in association with McCormick Taylor, has performed this review of effective practices conducted by transportation agencies nationwide to support the efforts of NJDOT.

The effective practices described in this report (see the accompanying summary table) include programs, projects and activities as well as data sources, analytical methods, and public involvement processes that have placed considerations of Title VI, environmental justice and LEP at the center of transportation decision making. Effective practices included in this report are grouped into one of the five categories:

- *Policies and Procedures* – The inclusion of environmental justice during policy and procedure development helps ensure that as a project moves through the various stages of transportation-decision making that the appropriate consideration is given to LEP, low-income, and minority populations.
- *Assessment* – Early utilization of data tools and analytical techniques designed to identify community characteristics and institutions and to assess project specific impacts and how they affect communities can help in the design of targeted outreach strategies during the project development phase. Potential adverse effects and whether they fall appreciably more severely or greater in magnitude on low-income and minority populations can be identified through the early and continuous assessment of project impacts. Planning studies can be similarly enhanced by consideration of the benefits and burdens; that is, the distributional consequences of investment decisions and program priorities as they relate to affected LEP, low-income, and minority populations.
- *Mapping and Database* – The mapping of LEP, low-income, and minority populations plays a critical role in understanding the human environment context where a plan is being formulated or a project is to be sited. An understanding of where such populations live and work informs public involvement plans and outreach efforts. Project specific databases allow for information sharing and greater continuity between and among different divisions and departments.
- *Outreach Activities* – The ***early and often*** approach to public involvement and outreach activities can foster greater understanding and improve relations between the sponsor agency and affected communities. This approach can play an integral role in design selection, prove cost effective for projects that face considerable challenges, and help identify mitigation measures and offsetting benefits.
- *Funding and Resource Allocation* – The allocation of agency resources to outside groups can be used to fund studies that are of significant importance to the community(s) where the study is being conducted and the agency as a whole. Resources can be set aside by an agency as a good faith effort to support community based planning efforts in LEP, low-income, and minority communities.

The examples included in this report are deemed "effective practices" because their application is consistent with the fundamental principles of Title VI of the Civil Rights Act and the Executive Orders on Environmental Justice and LEP. But they are also effective because they support and improve decision-making processes. They not only can deliver benefits to the affected LEP, low-income and minority populations, but transportation agencies also often receive other tangible and intangible benefits. Most notably, those agencies that have taken up the challenge proactively have often established more credibility with affected communities. This has led to better outcomes and broader support for projects than otherwise might have been enjoyed.

Summary of Environmental Justice, Title VI, and LEP Effective Practices Matrix

No.	Title/Effective Practice	Stage of Decision Making			Policies & Procedures	Assessment	Mapping & Database	Outreach Activities	Funding & Resource Allocation	Agency Involvement (State DOT)	Page Number
		Planning	Project Development	Operations and Maintenance							
1	Development of a Public Involvement Manual to Enhance Involvement in Non-Traditional Transportation Stakeholder Communities	X			X					Minnesota DOT	4
2	Incorporation of a Public Involvement Plan for Traditionally Underserved Populations in the Long-Range Transportation Plan	X			X					Tennessee DOT	8
3	Newtown Pike Extension Project: Designing the Appropriate Community Impact Assessment Package		X			X				Lexington-Fayette Urban County Government	12
4	Alaskan Way Viaduct Corridor and Seawall Replacement Project: Expanding Public Involvement into a Continuing Dialogue		X					X		Washington State DOT	16
5	I-70 East Corridor: Engaging Traditionally Disenfranchised Groups in Context Sensitive Solutions		X					X		Colorado DOT	19
6	I-5 Delta Park Project: Advisory Groups Input during Project Alternatives Selection	X	X					X		Oregon DOT	24
7	Identification of Performance Measures to Evaluate Socioeconomic Effects of Transportation Projects		X			X				Oregon DOT	27
8	Sociocultural Effects Handbook and Design and Implementation of Efficient Transportation Decision Making Manual	X	X		X					Florida DOT	39
9	Design and Implementation of an Environmental Screening Tool		X				X			Florida DOT	44
10	Mobility Information Needs of Limited English Proficiency Travelers in New Jersey	X				X				New Jersey DOT	48
11	Assessing and Improving the Distribution of Safe Routes to School Funding			X					X	New Jersey DOT	51
12	Transportation Planning Capacity Building, Planning Assistant		X	X		X				Federal Highway Administration	54
13	Transportation Planning Grants	X	X						X	Caltrans (CADOT)	56

Development of a Public Involvement Manual to Enhance Involvement in Non-Traditional Transportation Stakeholder Communities

Minnesota Department of Transportation

Effective Practices:

- ***Dialogue Project with Non-Traditional Stakeholders***
- ***Handbook for Planning and Project Development Manager*** on methods and approaches to enhance involvement in non-traditional transportation stakeholder communities and neighborhoods
- ***Hear Every Voice: A Guide to Public Involvement***
- ***Training and Resources for Implementing Effective Public Involvement***

Participants:

- Minnesota Department of Transportation (MnDOT) Staff - Response Team for Dialogue from numerous departments
- Steering Committee for Dialogue includes public, private, and non-profit transportation related groups
- Members of Affected Communities
- FHWA
- Consultants

Description

In response to growing population diversity in Minnesota as well as national and statewide strategic public involvement initiatives including MnDOT's *Customer Focus and Transportation Initiatives that Support Community*, MnDOT initiated a ***Non-Traditional Transportation Stakeholder Dialogue Project***. Non-traditional transportation stakeholders are defined as people of color, low-income populations and communities, neighborhood-based organizations, disabled individuals and civic and cultural groups. Several objectives were met while carrying out this year and a half long project including:[1]

- Identifying non-traditional transportation stakeholder groups in the Twin Cities metropolitan area;
- Building better relationships with non-traditional transportation stakeholders;
- Inviting these groups to become involved in MnDOT's public participation processes; and
- Creating a forum for dialogue and two-way learning so that:
    - MnDOT is better prepared to develop and facilitate effective involvement processes that reach out to non-traditional stakeholders and
    - Non-traditional stakeholders are better prepared to effectively participate in planning and project design processes.

The organizers of the project believed strongly that new collaborative outreach strategies were essential to meet the project goals. Consequently the key methodological elements of the project included the following:[2]

[1] Page 1: http://www.dot.state.mn.us/pubinvolve/pdf/nontrad20.pdf
[2] Page 3: http://www.dot.state.mn.us/pubinvolve/pdf/nontradfinalreport.pdf

- MnDOT staff would participate in the project as equal players, not as experts;
- A Steering Committee would be formed to oversee and guide the project. The Steering Committee would consist of members of affected communities and transportation professionals from MnDOT, the Metropolitan Council, and the Cities of Minneapolis and St. Paul;
- A series of dialogue meetings would be held in communities where non-traditional transportation stakeholders reside, with a commitment to follow-up after the meetings with additional information and continued contact;
- A "Mega" (large community) meeting would be held to give dialogue meeting participants an opportunity to review project findings, share ideas, prioritize issues, and make recommendations; and
- A Response Team – consisting of MnDOT and Metropolitan Council staff – would review project findings and recommendations and recommend to MnDOT's deputy staff those elements of the project that have the greatest potential to be implemented.

Eighteen dialogue meetings were held throughout the metropolitan area and resulted in several key issues raised by participants. The two most important findings included:[3]

- ***Access to the transportation planning and design process should be improved*** for nontraditional transportation stakeholders (those without histories of involvement); and
- ***Opportunities for meaningful involvement need to be improved*** so that the values of non-traditional stakeholders (both those with and without histories of involvement) can actually influence outcomes.

The Response Team developed several recommendations to present to upper management in accordance with responses to the major findings. As a result of these recommendations, MnDOT prepared a handbook to assist planning and project development managers understand how to effectively engage non-traditional stakeholders in the decision making process. The handbook discusses how to approach non-traditional stakeholders by providing guidance on how to create opportunities for influence through group facilitation methods, and suggestions for effective engagement and other techniques.

In addition, MnDOT reviewed its existing public involvement program and developed new public involvement guidelines which reflected the issues raised from the Dialogue Project as well as results from a statewide and metropolitan public opinion survey (the details of which are published in the "Omnibus Report"). This public involvement guide known as *Hear Every Voice* aligns public participation needs with the project development process. The development of the guide was overseen by a 25-member task force that met over the course of 10 months. The manual provides guidance in all areas of the project development process and includes a user-friendly table of public involvement techniques and respective levels of resources to assist managers in developing public involvement action plans. The guide also provides performance measure targets for desired public involvement outcomes.

MnDOT is currently in the process of revising their *Hear Every Voice* manual with updated guidance, tools, techniques and resources. This new manual will be an on-line resource accessible to all MnDOT staff as well as key stakeholders and includes both planning and project development activities. Training is a major implementation strategy associated with the unveiling

[3] Page 10: http://www.dot.state.mn.us/pubinvolve/pdf/nontradfinalreport.pdf

of the new manual. The training program is responsive to the complexities of each stage of decision making as well as the needs of different disciplines and hierarchical layers of management. To meet the vast range of needs across all functional areas of decision making a series of courses are being developed and include:

- Core Course: Public Participation and MnDOT (1day)
- How to determine the need for and level of participation with skill practice (3hr)
- How to design an effective participation plan (1 day)
- Participation by non-traditional groups (1-day)
- Improving Participation Meetings: Tools & Techniques
- Tools & Techniques to Improve Personal Communications (3hrs)
- Productive Advisory Groups: Tools and Techniques (3hrs)
- Participation over time and distance: Tools and Techniques (3 hrs)
- Setting Expectations with Consultants (3 hrs)
- MnDOT Communication Planning (1 day)

On-line resource tools are also being developed and include a preliminary participant identification worksheet and a scoring tool to determine the level of effort appropriate to project context. All Title VI and civil rights related concerns are being integrated into the *Hear Every Voice* update and will be available on-line in March, 2008.

Benefits

For the Agency

- ***Identified barriers of engagement*** to the full and fair participation of non-traditional stakeholders in the project development process.
- ***Developed strategies to remove barriers of participation*** and documented these in a handbook for planning and project development managers.
- ***Increased trust among non-traditional stakeholders*** as a result of the inclusive participatory nature of the Dialogue Project.
- ***Development of public involvement guidance*** applicable to planning and project development activities.
- ***Development of a public involvement training program*** to provide knowledge, skills and resources to effectively implement PI activities.

For the Community

- ***Increased ownership*** in MnDOT's approach to public participation**.**
- ***Effective strategies of engagement*** to help encourage communities to participate in planning and project development processes.
- ***Ability to influence decision making*** through tools and techniques adopted by MnDOT for meaningful, effective public outreach.

Why should NJDOT be interested?

The MnDOT example provides an approach to ***identifying unique participation barriers*** borne by protected populations in the different regions throughout New Jersey. The methodology used for the Stakeholder Dialogue could be replicated to ***identify key issues of concern from***

communities regarding their perception of decision making practices by NJDOT. These issues could provide a road map to the ***development of strategies, tools and techniques*** to meaningfully engage protected populations. Information gathering during dialogue(s) could help ensure that community input informs the development of guidelines for public involvement as well as ***identifies success measures for public involvement activities and requisite training needs***.

Contacts/Resources

Non-Traditional Transportation Stakeholder/Dialogue Project Report
http://www.dot.state.mn.us/pubinvolve/pdf/nontradfinalreport.pdf

Methods and Approaches to Enhance Involvement in Non-Traditional Transportation Stakeholder Communities and Neighborhoods: A Handbook for MnDOT Planning and Project Development Managers
http://www.dot.state.mn.us/pubinvolve/pdf/nontrad20.pdf

Hear Every Voice: A Guide to Public Involvement at MnDOT
http://www.dot.state.mn.us/pubinvolve/pdf/sep10hev.pdf

Incorporation of a Public Involvement Plan for Traditionally Underserved Populations in the Long-Range Transportation Plan

Tennessee Department of Transportation

Effective Practices:

- State and regional committees report on how projects would impact their respective constituencies
- ***Specially designed PIP*** for each statewide or system-wide TDOT project
- All public involvement efforts include a review of demographic characteristics

Participants:

- Tennessee Department of Transportation (TDOT)
- Agencies, organizations, and businesses that represent EJ and traditionally underserved populations
- The Public

Description

In 2006, TDOT released a study entitled *Traditionally Underserved Populations Outreach and Analysis Approach* which sought to identify the efforts to be undertaken in the preparation of the Long-Range Transportation Plan (LRTP) to engage traditionally underserved populations, the techniques by which to do so, and funds that would be necessary to carry out this mission. Traditionally underserved populations include low-income, minority, elderly, disabled, low literacy, and LEP populations in addition to zero-car households. The study, which culminated in the Public Involvement Plan for Traditionally Underserved Populations (PIPTUP), became an integrated part of the larger Public Involvement Plan (PIP) for the LRTP.

TDOT has identified five levels of public involvement to establish appropriate processes for public involvement for various planning and project development activities. The establishment of such also permits a flexible public involvement program to be designed for specific projects. ***All levels of public involvement include a review of demographic characteristics of affected communities.***

The fifth level of public involvement includes all statewide or system-level efforts undertaken by TDOT, including the LRTP and STIP. The fifth level is considered the highest level of public involvement, and as such a team of TDOT staff, associated consultants, and appropriate federal agency staff is formed to determine the necessary level of public involvement. For each level five project, a separate and distinct PIP is prepared which includes potential enhancement activities.

As a level five project, public involvement efforts to engage traditionally underserved populations for the LRTP began with an analysis of 1990 and 2000 Census data, the identification of traditionally underserved populations, geographic concentrations of these populations, and trends in population growth. This information was used to design specific outreach strategies to be incorporated in the PIPTUP of the LRTP. Outreach efforts to engage traditionally underserved populations included information distributed through media publications in addition to more targeted efforts which are described below. Materials were also prepared in Braille and on CD

for use by the visually impaired. In total, there were 743 outreach efforts to engage those populations identified for inclusion in the PIPTUP.

- **Community-Based Working Groups and Committees.** City and county officials, various TDOT divisions, and representatives from each Economic Development District were asked to identify agencies, organizations, and individuals that represent traditionally underserved populations on a regional and/or statewide basis. These entities were contacted, interviewed, and asked to provide names of other agencies that play a similar role in the community. Once the list was complete, TDOT researched each group and made recommendations as to whether the entity should be part of the Statewide Steering Committee or one of the nine Regional Working Groups. These groups were formed to help design location-specific outreach efforts to be undertaken based on population characteristics.

    - **Statewide Steering Committee (SSC).** A 65-member team was formed that included 15 members who specifically represented one or more low-income, minority or other traditionally underserved populations. Member groups include but are not limited to the American Association of Retired Persons, the National Association for the Advancement of Colored People (NAACP) Tennessee Conference of Branches, the Statewide Independent Living Council, and Tennessee Association of Housing and Redevelopment Authorities. The chosen committee was designed to bring together groups with statewide interests who could provide input and guidance from the statewide perspective.

    - **Regional Working Groups (RWG).** The nine RWG's reflect the boundaries of the state's Economic Development Districts. In total, each group had between 38 and 66 members who represented traditionally underserved populations including a diverse range of local governments, business, transportation providers, local planners, and populations traditionally underserved by transportation services. Since RWG's were designed to target regional interests, each generally had a different composition of member agencies and organizations. The following identifies a few of the agencies from the Memphis-area RWG: the Center for Neighborhoods representing both low-income and minority populations; the Metropolitan Inter-Faith Association representing low-income populations; and Senior Services of Memphis representing the elderly.

      Their role was similar to that of the SSC however they were asked to provide input and guidance from a regional perspective. Groups met four times and provided information about existing conditions, specific regional needs, reviewed reports and provided feedback on how proposed programs and investments would impact the groups they represented and how projects would address their needs. The study documents the various outreach strategies that were employed in each RWG to engage traditionally underserved populations.

- **Third Party Groups.** A roster of third party groups (e.g. religious institutions and other community facilities) that connect with traditionally underserved populations was complied. Each was sent a letter asking to use their publications and e-mail lists to distribute information about the LRTP.

- **Speakers Bureau.** When requested, TDOT staff went to organizations, groups, and agencies to present on the LRTP and its process. Presentations were also available in Spanish.

- **Traveling Exhibit.** A traveling exhibit as created and displayed at conventions, conferences, and special events in addition to Wal-Marts across the state. Staff discussed the LRTP, distributed free brochures, and sought input from the public. Comment forms were distributed in both Spanish and English.

- **Telephone Hotline.** A 24 hour a day, 7 days a week toll-free hotline was set up at a nominal cost for asking questions and obtaining information.

- **Feedback and Adjustments to Public Involvement Plan.** A public involvement assessment and evaluation in the form of weekly public involvement team meetings (most members participating by telephone) to review public involvement activities of the previous week and upcoming events was initiated by TDOT's Community Relations, Planning, and Civil Rights Divisions, FHWA, and TDOT's consultants. This effort allowed TDOT to make adjustments to public involvement activities as needed. Such adjustments included the relocation of a meeting site that was not previously accessible by public transportation, the addition of the NAACP conference in Jackson as an event site for the traveling exhibit, and an additional effort to reach out to Native American populations who had originally declined invitations to participate in either or both the SSC or RWG. The study also identified the barriers for engaging people for a year long process for projects that may not be fully executed for 25 years.

Benefits and Burdens Analysis. In order to guide the planning effort, TDOT established seven Guiding Principles to help provide continuity through the development of the LRTP. These principles, which reflect planning directions from the federal government, are in line with transportation planning performed by TDOT's metropolitan partners and mirror values expressed by the public during the planning process. These principles include: the preservation and management of the existing transportation system; move a growing and diverse population; support the state economy; maximize safety and security; build partnerships for livable communities; promote stewardship of the environment; and emphasize financial responsibility.

Using the Guiding Principles as a framework, a series of goals, objectives, and performance measures were identified and will serve as the foundation for implementing the LRTP. Once the goals and objectives were identified for each of the Guiding Principles, a benefits and burdens assessment was performed for each to determine the impact each could have on traditionally underserved populations. The early identification of potential benefits and burdens will help TDOT determine public outreach efforts that should be undertaken for a specific project and further consider how each investment would positively or negatively impact traditionally underserved populations. Public involvement techniques should seek ways in which engage communities so as to capitalize on identified benefits and minimize burdens. A benefits and burdens analysis was conducted for each of the three principle components of the LRTP – the 25-Year Vision Plan, a 10-Year Strategic Investments Program, and a 3-Year Project Evaluation System.

Benefits

For the Agency

- ***Early engagement*** of traditionally underserved populations and a *benefits and burdens* analysis for the LRTP helps define concerns and efforts that may be necessary to mitigate or avoid negative impacts.

- ***Extensive public outreach*** efforts and involvement from outside agencies has the potential to aid with ***project prioritization***.
- ***Early and often involvement shows a good faith effort*** by the agency to become familiar with existing needs and helps gain community support, which would likely make it easier to work with citizens during project development and implementation.

For the Community

- ***Opportunity to become engaged and inform*** TDOT and other agencies and organizations of their most pressing concerns related to transportation and access.
- ***Citizens become more familiar with TDOT, its functions, and are able to gain trust in the agency.***

Why should NJDOT be interested?

The drafting and inclusion of the PIPTUP in the LRTP exemplifies a ***good faith effort*** by a state transportation agency to identify where traditionally underserved populations reside, are anticipated to live in the future, and ***tailor outreach efforts to help assess the benefits and burdens that may result from the components of the state plan***. This effort is further evidenced by extensive outreach efforts undertaken in the preparation of the PIPTUP to fully understand where these communities are most concentrated and their concerns. The approach embraces a ***transparent transportation planning*** process by making communities aware of agency goals, objectives, and challenges for transportation improvements in the long term. In turn, the community, having become familiar with the host agency at a previous date, has the potential to be more receptive to a proposed action and mitigation, if necessary. Furthermore, the PIPTUP establishes a ***public involvement framework*** to be followed for each region depending on the project size and demographic composition.

Contacts/Resources

Public Involvement Plan for Traditionally Underserved Populations, Long-Range Transportation Plan, 2006.
http://www.tdot.state.tn.us/plango/pdfs/tup.pdf

Newtown Pike Extension Project: Designing the Appropriate Community Impact Assessment Package

Fayette County, Kentucky

Effective Practices:

- ***Shared end-vision*** of how the planning process should evolve.
- ***Extensive research effort*** to understand the history and sensitivity of the project area.
- ***Created a dialogue*** between transportation agencies and neighborhood residents affected by the corridor construction through high levels of public involvement.

Participants:

- Lexington-Fayette Urban County Government (LFUCG)
- Kentucky Transportation Cabinet (KYTC)
- University of Kentucky
- Federal Highway Administration (FHWA)
- Third Rock Consulting
- Neighborhood associations and the public

Description

The project's purpose is to connect Newtown Pike to Broadway and the University of Kentucky (UK) with a four lane, median divided facility to the west of downtown Lexington. The intent is to improve downtown traffic congestion by rerouting through traffic outside of downtown, improve access to the UK campus, and create corridor and redevelopment plans to improve quality of life within the project area.

The Newtown Pike is a primary north-south corridor connecting Lexington, the area's central economic hub, with surrounding communities. The existing terminus of the Newtown Pike forces those visiting the UK and points south to navigate their way through downtown causing traffic problems and conflicts with goals of making the area more pedestrian and destination friendly. The proposed extension of the Newtown Pike would create a direct link to these areas and relieve the downtown area of many of the 30,000 plus cars that traverse its roads each day.

The proposed bypass would bisect the economically distressed community of Davistown, displacing low-income residential properties and thus involving substantial human environment impacts. Environmental justice concerns played an important role throughout the community impacts process. The project is anticipated to cost $69 million - $36 million for the roadway and $33 million for the redevelopment of Davistown. The corridor plan involved seven neighborhoods and identified opportunities for development.

The Newtown Pike extension project had been proposed for over 60 years, but until funding was procured in 1998 the project had languished. Uncertainty over its construction has blighted the small community of Davistown, once home to Lexington's immigrant railroad laborers. It is now a mixed neighborhood of primarily rental properties, small businesses, and light industry. Sited in the shadows of downtown Lexington's office towers, Davistown slowly declined since many property owners were reluctant to invest in the neighborhood because of the pending extension.

Potential community effects included ten relocations within the Davidson neighborhoods and impacts to Southend Park, a 4(f) property. There was considerable potential for indirect and cumulative impacts, including the erosion of residential character and intrusion of commercial uses, resulting in loss of community cohesion.

Prior to the drafting of the Environmental Impact Statement, several innovative techniques and methods were undertaken throughout the process:

- The *Newtown Pike Extension (NPE) Project: Main Street Engineering and Environmental Overview* sought to identify a road alignment that was generally acceptable to the community as well as significant environmental and property impacts. Recommendations from this ultimately came to be known as the ***citizen's alignment*** since it followed an abandoned rail spur.
- The study identified potential social, environmental justice, and economic impacts which served as the impetus for inclusion in a corridor planning study in the next phase of project development.
- The study recommended two major changes to the project design including a new terminus for the NPE and replacing the limited access freeway concept with a pedestrian-friendly, at-grade, and landscaped boulevard design with cross-streets to maintain a high level of connectivity.
- The adopted approach materialized using the framework of ***federal regulations*** to tie the highway project and a ***neighborhood corridor plan*** into one process. As such, the dual road-corridor project approach enabled the KYTC to utilize both High Priority Project and Congestion Mitigation and Air Quality money to fund the neighborhood corridor plan as part of the CIA and the EIS, a first for the FHWA. The corridor plan could be incorporated in the road design and federal funds could be used to consider and mitigate project impacts including environmental justice.
- Significantly, in 2003 the KYTC and FHWA jointly approved an increase in the project area to mitigate environmental justice related impacts, which would include ***funding for the development of an urban village*** in Davistown.

> *"The need to combine the road and the neighborhood planning processes was clear once we realized that the NPE had to embrace, not eat, the surrounding neighborhoods. To do this, project planners put themselves into the shoes of the residents and their day-to-day lives, to the point that the right and the necessary merged."*
>
> - Pam Clay Young, Attorney, KYTC District 7

The Community Impact Assessment (CIA) process for this project required a massive research effort into the history of the city, the project, the communities, and the people that make up the neighborhoods along the project corridor. Data sources ranged from the Internet for the latest Census data to library microfiche files for decades-old fire insurance maps. Research was conducted for land use, transportation, population and growth trends, income and poverty, households, housing units and costs, educational facilities and attainment, employment, manufacturing and industry, commuting patterns, recreation, crime, and historic resources. In addition, community resources were identified and drawn into the planning process. The task of the consultant was to sort through all documentation uncovered as a result of the research effort, analyze the data, and present it in a format that could be easily assimilated by citizens living along the project corridor and meet the requirements of the NEPA documentation process.

To achieve the goals of the CIA while integrating a concurrent corridor redevelopment plan, high levels of public involvement were required. Numerous public meetings were held to inform citizens of the proposed corridor plan and provide opportunities for citizen input on the proposed corridor and redevelopment plans. Door-to-door surveys were conducted throughout the residential areas. The project team also met frequently with representatives from local neighborhood associations and the UK, which are key stakeholders in the project.

Proposed mitigation and enhancement elements for the project include the creation of a 25-acre redevelopment area to provide parkland, low-income housing, infrastructure and stormwater detention.

Benefits

For the Agency

- Strong and consistent leadership from involved parties afforded planners with the opportunity to approach the project in a unique manner.
- The ***multidisciplinary team approach*** focused on breaking down the larger issues at hand and helped ensure that all relevant parties were included in the process.
- The ***pairing of the road and neighborhood planning processes*** maximized the benefits of both and saved valuable time.
- Knowledge of impacts and community desires helped design a concept plan that would be both feasible and potentially less costly than had a less direct approach been employed.

For the Community

- The project became a ***catalyst*** for both community redevelopment and stabilization by preserving housing affordability, encouraging home ownership and providing housing choice.
- ***Early and Often People- and Place-Based Public Involvement*** helped ensure that affected parties were heard and considered throughout project development.

Why should NJDOT be interested?

> *"Because we used the EIS process to prepare the Corridor Plan before we designed the road, we were able to get a better product for the community and to avoid the neighborhoods having to retroactively cope with the unintended land use and economic consequences of a new road. As a result, we created a plan that the neighbors supported, not opposed."*
>
> - Brian Cash, NPE Project Manager, American Consulting Engineers, PLC

The acknowledgement of the economic fragility of the project area led involved parties to design a road corridor and subsequent other improvements to face existing and anticipated challenges from a very early stage in the planning process. The extensive public outreach effort undertaken by involved parties exemplifies the success and benefits of an interactive and transparent planning process. ***The "early and often" approach to public involvement helped identify social, economic and environmental impacts in addition to overarching community desires.*** The planning process was successful in meeting both mobility and community-building needs and addressing affected neighborhoods perceptions of the proposed project.

Contacts/Resources

Newtown Pike Extension
http://www.newtownextension.com

Alaskan Way Viaduct Corridor and Seawall Replacement Project: Expanding Public Involvement into a Continuing Dialogue

Washington State Department of Transportation

Effective Practices:

- ***Translation*** of public documents and other related materials into four languages other than English.
- Creation of a ***Leadership Group*** comprised of community stakeholders, local businesses, and other public interests.

Participants:

- Washington State Department of Transportation (WSDOT)
- City of Seattle
- Federal Highway Administration (FHWA)
- King County
- Leadership Groups

Description

The Alaskan Way Viaduct Corridor (part of State Route 99) is one of the two primary north-south arteries to and through downtown Seattle. Currently, the 2.1 mile long corridor carries approximately 110,000 vehicles a day, serves both through trips and trips accessing the downtown business district, plays a vital role in freight mobility in providing a major truck route through downtown, and provides access to the Ballard-Interbay and greater Duwamish manufacturing and industrial centers. It also offers the quickest and most convenient route to and through downtown Seattle for communities located to the northwest and southwest of downtown. Local and express bus services run along the corridor.

Along the seawall, the existing viaduct is at risk of failure from earthquakes and has exceeded its useful life. A partnership between WSDOT, FHWA, King County, and the City of Seattle was formed to design a plan for replacing the structure. The Alaskan Way Viaduct and Seawall Replacement Project has been designed to provide a transportation facility and seawall with improved earthquake resistance that maintains or improves multi-modal mobility, accessibility and safety for people and goods by correcting roadway design deficiencies, improving system linkages and accommodating pedestrian, bicycle and transit modes.

The downtown Seattle waterfront has undergone significant change in the recent past, having been transformed from its origins as a working waterfront, characterized by shipping, warehouse and industrial uses to an important area for tourism and recreation. The central waterfront now has a vibrant mix of uses which include office, retail, hotel, residential, conference center, aquarium, museum, parks, cruise ship terminal, ferry terminal, and various types of commercial and recreational moorage. Transportation changes and enhancements must be integrated with and supportive of existing activities and land use plans for the Seattle waterfront, some of which include:

- Improving pedestrian and bicycle access to and along the waterfront and recreational space;
- Viewing of Elliott Bay, the mountains and waters beyond;

- Reconnecting – both physically and visually – the waterfront to the rest of downtown; and
- Encouraging local rather than through travel.

While much of the downtown waterfront has evolved over time, some elements associated with a working waterfront still remain. Within one block of the existing viaduct there are 72 units of low-income housing and several social service agencies. There is also a homeless community that resides under the viaduct. The ability to design a plan that would be sensitive to these communities while providing the most appropriate and adequate structure possible was presented as a considerable challenge that would require innovative strategies to mitigate potential impacts. The selected alternative for the viaduct was to be grounded in the state, county, and city's recognition of, commitment to, and integration across a set a six guiding principles:

- Improve public safety;
- Provide efficient movement of people and goods;
- Maintain or improve the economies of downtown Seattle, the port, the region, and the state;
- Enhance Seattle's waterfront, downtown and adjacent neighborhoods as a place for people;
- Create solutions that are fiscally responsible; and
- Improve the health of the environment.

In addition to more traditional public outreach efforts, WSDOT and the City of Seattle asked a volunteer group of civic, business, freight, downtown and neighborhood representatives to give their ideas and input on community values with regard to retrofitting or replacing the viaduct. ***The Leadership Group*** is a sounding board comprised of neighborhood, business, freight, government, labor, and other public interests. The lead agencies meet with the Leadership Group on a regular basis to present information and receive feedback. The Leadership Group supplements ongoing public outreach. Each Leadership Group member represents a specific constituency; members serve as liaisons between their groups and the project.

WSDOT and the City of Seattle are also undertaking an extensive public outreach effort to get stakeholders' ideas for the future of the viaduct. Six series of public meetings have been held since 2001, over 175 community briefings have been made, and the project website has been maintained as a current source of information about the project and replacement alternatives. The translation of project fact sheets into several non-English languages (including Spanish, Chinese, Tagalog and Vietnamese), one-on-one interviews with social service providers, and articles in targeted publications are the primary techniques used to seek and respond to input from the minority and low-income populations within the project corridor. The Environmental Impact Statement (EIS) and related materials have been written and formatted to be "reader friendly." As the project continues to move through project development and implementation stages, public outreach efforts will shift from being part of the formal decision-making process to ensuring project compatibility with adjacent communities and land use plans for downtown Seattle. Despite extensive outreach efforts, the Preferred Alternative remains controversial.

Benefits

For the Agency

- Involvement from the Leadership Group helps ***identify areas and topics of concern during project development***.
- Translation of documents and relevant information into ***multiple languages helps ensure that affected parties are being reached by public outreach efforts***.

For the Community

- ***Reader-friendly documents*** that are available in four languages other than English offer more opportunities to engage the public in the transportation-decision making process.
- Representatives from specific constituencies are members of the Leadership Group ensuring that all affected parties concerns are heard.

Why should NJDOT be interested?

The formation of the Leadership Group and other outreach activities sought to identify ways in which to mitigate adverse impacts of project alternatives. Despite the controversial nature of the Preferred Alternative, WSDOT employed a variety of public outreach techniques that actively engaged the public and increased their awareness of the project and project impacts. ***Targeted public involvement techniques*** employed by WSDOT to engage populations of concern can be used by other transportation agencies as a reference point when designing project specific public involvement plans.

Contacts/Resources

Washington State Department of Transportation
Alec Williamson, P.E.**,** WSDOT Project Engineer
Phone: (206) 382-6366
E-mail: WilliAR@wsdot.wa.gov

Washington State Department of Transportation
Kathleen McKinny, WSDOT Environmental Services
Phone: (360) 705-7304
E-mail: mckinnk@wsdot.wa.gov

SR 99 - Alaskan Way Viaduct and Seawall Replacement Project
http://www.wsdot.wa.gov/projects/viaduct/

The Alaskan Way Viaduct and Seawall
http://www.ci.seattle.wa.us/mayor/issues/viaduct/

I-70 East Corridor: Engaging Traditionally Disenfranchised Groups in Context Sensitive Solutions

Colorado Department of Transportation

Effective Practices:

- ***A variety of innovative outreach*** programs designed to encourage and make public involvement an integral part of the planning process.
- Hiring of a ***third party*** to design and lead outreach efforts.
- ***Initial contact with neighborhoods is made by community members*** that have undergone training.

Participants:

- Colorado Department of Transportation (CDOT) and Denver's Regional Transportation District (RTD)
- Federal Highway Administration (FHWA) and Federal Transit Administration (FTA)
- Non-traditional stakeholder groups and the public
- Non-profit public outreach partner

Description

Studies and design efforts for the initial I-70 corridor began in the 1950s and were not fully realized until construction was completed in 1964. In July 2003, after almost 40 years in operation, CDOT and Denver's RTD began a joint study effort that would become the I-70 East Corridor EIS. The EIS sought to examine alternatives for improving mobility along the corridor between I-25 and Tower Road as well as rapid transit options from Downtown Denver to Denver International Airport. The highway and transit components have since been separated into two EIS's, however, given their close proximity, when combined they form the I-70 East Corridor and share a project area.

In 1964, the initial I-70 alignment included the construction of an elevated bridge bisecting two neighborhoods, Elyria and Swansea, irrevocably leaving its mark upon the life of the communities and fostering a distrust of governmental actions by area residents. Fueling this distrust, in part, were reports that some residents received eviction notices on their doors offering considerably less than the fair market value for their properties. Many of the houses that remained live in the shadow of the bridge, rarely seeing sunlight.

In the early 1990s, the Denver RTD built its first transit line along the corridor. Several freight railroad operations, industrial sites including refineries, grocery store distributors, and large manufacturing plants already dot the corridor. The area has also been beset by past industrial practices potentially detrimental to the health and safety of its residents, triggering a string of environmental cleanup battles between local residents, environmental agencies, and polluting businesses. The majority of neighborhoods in the project area either have a considerably higher population of low-income and/or minority persons than the Denver average. The presence of LEP populations, in particular those speaking Spanish, in the project area is notable.

Proposed improvements to the I-70 East Corridor coupled with government distrust associated with the construction of the 1964 I-70 alignment resulted in the need for a community-based

outreach approach that would help address and mitigate project-related community concerns. In order to undertake the extensive public outreach effort that would be required for this project, CDOT retained Neighborhood Solutions, a non-profit organization specializing in community involvement and the enhancement of traditionally disenfranchised populations throughout the various stages of transportation decision-making. Neighborhood Solutions is a member of Conference of Minority Transportation Officials (COMTO) and recently won the CDOT 2006 Innovative Environmental Process Award for its progress in the I-70 East Corridor Environmental Justice Study.

> *"One of the keys to the outreach program was to overcome the high level of governmental distrust that exists throughout the corridor and provide opportunities for meaningful public involvement to address environmental justice concerns in the corridor. Incorporating community outreach into the very fabric of the decision making process creates trust, saves dollars, and builds goodwill that can be sustained through the construction and maintenance phases."*
>
> -I-70 East Corridor, Community Outreach Program

The public outreach team conducted an assessment of existing low-income and minority populations to determine how best to customize outreach strategies for specific communities. A community impact assessment (CIA) was performed to identify community issues and concerns, develop a forum for scoping, and introduce a broad based representation of the community. Information gathered in the CIA was used as input for designing a Context Sensitive Solution (CSS) approach for engaging the project area population, previously identified as traditionally disenfranchised.

CSS principles were later incorporated into the Public Involvement Plan (PIP), which was designed to ensure meaningful involvement that would be both ***personal*** and ***extensive.*** The process was designed to begin at the ***one-on-one level*** and ***gradually expand to bring together*** the varying interests of those residing and working along the corridor. The type of outreach activities employed varied by neighborhood to ensure maximum levels of participation. Successful elements of the PIP include:

- Hiring of project area residents to help distribute project information;
- Using flyers to notify both residents and business establishments of block meetings within neighborhoods, association meetings, and business meetings. This also includes corridor-wide meetings;
- Developing working groups to address specific issues. The Highway Working Group included members of all of the highway-related working groups (community impacts, interchanges, alternatives, bike/pedestrian/open space, etc.). Meetings held by this group are open to the public;
- Implementing a proactive approach for involving the media;
- Meeting frequently with local and state officials;
- Distributing mailings and newsletters containing current project information; and
- Advertising in daily and weekly newspapers including minority and local publications.

Outreach efforts on the individual level afforded residents with the opportunity to consider I-70 enhancements and form their own opinion before being thrust into larger meetings without prior knowledge of project details. The following identifies the outreach methods employed to engage the public.

- ***Door-to-door outreach*** became the preferred approach for first contact with several neighborhoods. Outreach specialists were hired from the targeted communities to serve as

the first point of contact with neighborhoods. All persons interacting with the public were required to take part in an extensive one-day training program culminating with the passing of a test. Training included a history of the neighborhoods in the project area and role-playing exercises to create some typical situations that may arise during the outreach process. Door-to-door outreach conducted by project area residents was viewed as a powerful tool by which to leverage existing relationships and community knowledge, gain credibility and trust for the process, and engage their neighbors.

Bilingual teams were formed to visit communities. Outreach was conducted between 12:00 p.m. and 8:00 p.m. Monday through Friday and on Saturday as needed to meet schedule deadlines. Outreach specialists were expected to wear the brightly-colored, yellow I-70 East Corridor t-shirts and identification badges so that they were easily identifiable. Outreach specialists would first visit homes between 12:00 p.m. and 4:00 p.m. If no one answered the door, a leave-behind card was left with a number for the resident to call to set-up a better time for the visit or indicated that the specialist would return in a few days. Second visits were between the hours of 5:00 p.m. and 8:00 p.m. During visits, questionnaires were administered; no personal inquires were made. Residents were given pamphlets with information about the project and encouraged to attend public meetings in the future.

- ***Meetings with Formal and Informal Leaders*** were scheduled to introduce them to the EIS process and the I-70 East Corridor Project Team. The objective of these meetings was to solicit input on the outreach process, inform that outreach specialists would be going door-to-door in some neighborhoods, and conducting block, neighborhood, and corridor-wide meetings throughout the EIS process. After permission was granted, flyers were distributed and/or a speaker visited more than 20 churches in the project area.

- ***Block meetings*** were hosted by a neighbor in their backyard or an area park. Residents living within an 8-16 block radius were encouraged to attend. Attendance at these meetings was typically between 10-15 people, creating an intimate environment for informal discussions that capitalized upon the social culture of the area. Meals and translations were provided.

- ***Neighborhood meetings*** typically attracted upwards of 120 people. Flyers were distributed prior to meetings. Child care, translation, and meals were provided at these meetings to engage residents to attend. Neighborhood issues were discussed and questionnaire results were revealed.

- ***Corridor-wide meetings*** were advertised in local newspapers, including minority publications, flyers, and the I-70 Corridor newsletter. These meetings typically attracted up to 250 people which often times creates a ***dynamic joining*** of perspectives and interest groups. Meals, translation, and child care were provided.

  After the scoping phase, at both neighborhood and corridor-wide meetings, issue-specific working groups were established to encourage continued community participation. Working groups exposed participants to the ways in which engineers, planners, and scientists evaluate specific resources. Activities included attendees using noise monitors on Denver streets to get readings on traffic and light rail, developing puzzles to help participants understand the process for matching transportation elements like transit stations, technology, and alignments, conducting a car-buying exercise to help explain the alternative screening process, and having attendees serve as project planners to site a new postal facility in low-income and minority communities.

Benefits

For the Agency

- ***Context Sensitive Solutions*** help create a transparent planning process while ***gaining community trust***.
- Greater understanding of community concerns and potential impacts will help ***save time and money both in terms of mitigation and design***.
- Investment of time and money into the project ***builds goodwill beyond the life of the project.***

For the Community

- Several ***ongoing opportunities*** to become involved in the planning process.
- ***Hands-on activities lend themselves to a greater understanding of project impacts***.

Why should NJDOT be interested?

The use of CSS for such a highly controversial project has lent itself to a transparent planning process that has been able to avoid any significant public outcry. Several thousand people have been actively engaged and have meaningfully contributed to the project. Efforts to educate community members about the EIS process and technical aspects of the analysis have helped create a more rewarding dialogue between the community and the project team regarding project solutions and potential mitigation needs. The extensive effort undertaken by the community-based public outreach team, on behalf of CDOT, to ***engage and listen to the community has helped dissolve some of the government distrust issues that existed before the CSS process began***.

The planning of I-70 East Corridor has been highlighted as a successful practice by the American Association of State Highway and Transportation Official's (AASHTO) Center for Environmental Excellence. Lessons learned during the Colorado I-70 project can be an asset to other transportation agencies starting their own proactive public outreach (see Lessons Learned).

Lessons Learned

Several other noteworthy effective practices were undertaken by practitioners to support discussions in communities that have borne the cumulative adverse effects of past siting decisions by industry and government:

- The project office should be sited in the project area;
- Public outreach questionnaires should inquire about meeting time preference and location;
- Bilingual newsletters in advance of each round of corridor-wide meetings
- Regular visits to some 60 neighborhood and business associations to make presentations or announce meetings
- Outreach should be focused to places where people generally congregate such as religious institutions;
- Public involvement works best if it is designed to relate directly to potential impacts.

Contacts/Resources

Tony Stewart
Colorado Department of Transportation
I-70 East Corridor Project Contact
4670 N. Holly Street
Denver, CO 80216
Phone: (303) 294-9300
E-mail: tstewart@i-70east.com

I-70 Environmental Impact Statement, Community Outreach Program
http://www.i-70east.com/

I-5 Delta Park Project: Advisory Group Input during Project Alternatives Selection

Oregon Department of Transportation

Effective Practices:

- ***Proactive agency approach to engage EJ populations during Project Development.***
- ***Partnership*** between State Departments of Transportation.
- Community Enhancement Grants.

Participants:

- Oregon and Washington DOT's
- Advisory Groups comprised of business owners, residents, and other community representatives

Description

In 2001, Oregon and Washington formed a bi-state Task Force, the I-5 Partnership, to address the area's increasing congestion issues along the I-5 corridor. The process culminated in the I-5 Partnership Strategic Plan which prioritized necessary corridor improvements and implementation strategies. The area between Delta Park and Lombard Street is one of the largest chokepoints between Portland, Oregon and Vancouver and it was designated as one of the primary corridor segments in need of rehabilitation. The Delta Park Project became one of the first sections of the road to undergo construction.

Outreach efforts for the Delta Park Project have been largely led by Oregon Department of Transportation (ODOT). Between 2001 and 2005, ODOT worked with the community to develop alternatives for the Delta Park Project. Four alternatives including the No Build scenario were developed, studied, and evaluated by the project's Advisory Committees. The Advisory Committees include the following:

- ***Citizen's Advisory Committee (CAC).*** Comprised of neighborhood, business, and other community representatives, the CAC collaborated with ODOT and other stakeholders to harmonize design and construction of the proposed project with community values. The CAC made recommendations on numerous project elements including:
    - Public outreach tools and methods
    - Problem statement, purpose and need
    - Goals and objectives
    - Design alternatives
    - Evaluation criteria and measures to be evaluated in an Environmental Assessment
    - Environmental, social, and economic elements to be evaluated in an Environmental Assessment
    - Mitigation Measures
    - Environmental Assessment
    - Recommendation of a Preferred Alternative

- ***Environmental Justice Work Group (EJWG).*** The EJWG is a bi-state committee comprised of representatives of low-income and minority communities along the I-5 Partnership corridors in both Oregon and Washington states. The establishment of the group stemmed from a recommendation made in the I-5 Transportation and Trade Partnership Task Force Strategic Plan. The EJWG collaborated with ODOT and other stakeholders in the development of transportation projects along the I-5 Partnership corridor, in particular to provide input and recommendations on projects from the perspective of its potential effects on low-income and minority populations. The EJWG was tasked with helping transportation decision-makers ensure that projects are consistent with the fundamental principles of environmental justice. The fundamental principles are as follows:

    - Include full and fair participation by all potentially affected low-income and minority communities in the transportation decision-making process;
    - Avoid, minimize, mitigate disproportionately high and adverse human health and environmental, social, and economic effects on low-income and minority populations; and
    - Do not deny, reduce, or significantly delay benefits to low-income and minority communities.

  In order to carry out these responsibilities, the EJWG provided input and recommendations for the same project elements as the CAC. The CAC and the EJWG were separate groups established in January 2003 at the beginning of the I-5 Delta Park Project planning process but they worked in close coordination on environmental justice topics. Their work was completed when they made separate project design recommendations in June 2004, which were later included in the Environmental Assessment.

- ***Community Enhancement Advisory Board.*** The Community Enhancement Advisory Board was established in the fall of 2005 and concluded its work approximately one year later with recommendations for specific community enhancement projects to be funded and constructed as part of the I-5 Delta Park Project. Members of this advisory board included representatives from North Portland neighborhoods, the Columbia Slough Watershed Council, the EJWG, and the Bi-State Coordinating Committee. There were only two funding limitations imposed on those applying for community enhancement funds: 1) eligibility for receipt of state or federal transportation funding; and 2) a demonstrated relationship to the I-5 Delta Park Project area and its potential impacts. During this time, thirteen applications requesting approximately $3 million were submitted to the Advisory Board including but not limited to: improved pedestrian and bike access along a portion of the I-5 corridor, playground improvements, streetscape improvements and tree plantings, and a 24-month community environmental and workforce training program focused towards environmental sustainability, community beautification, and landscaping/grounds maintenance academic and hands-on career path training. Seven of the thirteen projects were awarded funded totaling approximately $1 million, and are anticipated to be completed by the by the end of 2008.

Benefits

For the Agency

- The active participation of committees formed to address community concerns weighed heavily in the selection of the Preferred Alternative. This ***"early and often" approach*** helped identify some of the biggest challenges that would need to be addressed. The agency

was able to save money by not having to refine road design considerably once the Preferred Alternative was selected.
- ***Early identification of impacts*** helps in the selection of the Preferred Alternative and ways in which ***adverse project impacts can be minimized or avoided***.

For the Community

- ***Community representatives were actively engaged*** in the selection of the Preferred Alternative and ***identifying measures to mitigate potential impacts***.
- ***Communities worked together to design and submit applications*** for Community Enhancement Funds. The funds were used to ***support safety enhancement, social and economic objectives, and neighborhood beautification.***

Why should NJDOT be interested?

The formation of committees with deep roots in impacted communities as part of project development helps ensure that the lead agency has been alerted to potential environmental justice hotspots that may require further consideration. The decision by the I-5 Partnership to engage community groups during project development helped in the ***early identification of potential environmental justice impacts that would result under each alternative***. Furthermore, the inclusion of these parties prior to the design phase fosters ***trust between communities and the transportation agency*** which can save the agency time and money and navigate potential political changes that may emerge over the life of the project. The "early and often" approach to civic engagement in tandem with the establishment of some type of community enhancement mechanism may prove an effective formula for ***streamlining projects and aligning the agency and the community's interests***.

Contacts/Resources

I-5 Delta Park Project History
http://www.oregon.gov/ODOT/HWY/REGION1/I-5DeltaPark/projecthistory.shtml

I-5 Partnership
http://www.i-5partnership.com.

Identification of Performance Measures to Evaluate Socioeconomic Effects of Transportation Projects

Oregon Department of Transportation

Effective Practices:

Identification and Development of Performance Measures to support an assessment of the benefits and burdens of transportation investments in accordance with social equity considerations, including:

- Transportation Cost Index (TCI)
- Percent of Travel Market-Basket Accessible by Non-Auto Modes
- Auto-Dependency Index (ADI)

Participants:

- Federal Highway Administration (FHWA)
- Oregon Department of Transportation (ODOT)
- Lane Council of Governments (LCOG)

Description

Transportation planning decisions can support various policy goals ranging from accessibility and mobility, to economic development and environmental and resource conservation. The three measures noted above touch upon five of ODOT's 12 identified transportation policy goals:

- Accessibility
- Quality of life
- Balanced Transportation System
- Land Use Compatibility
- Reduced Automobile Dependency

The three methods discussed below identify ways by which accessibility and mobility can be measured. The employment of such performance measures can be helpful during project prioritization and alternatives analyses.

Transportation Cost Index (TCI). The TCI measures the relative cost of accessing a market basket of travel destinations. It may be used to compare accessibility by trip purpose, travel mode, income group, geographic area and time period.

The primary purpose of the transportation system, from the standpoint of the individual household, is to provide affordable access to the goods, services, and daily activities that the household desires, and which often play an important role in how household members perceive their quality of life. Like the consumer price index (CPI), which may be used to indicate relative change in the cost of a market basket of goods and services, the TCI may be used to indicate changes in the costs to access goods and services. The TCI may be used to measure how transportation affordability varies across a given area, how it changes over time, and how it is affected by various land use and transportation system alternatives.

Areas having excessively high TCI's in future year scenarios are indicative of problems with land use/transport system compatibility and balance. Limited alternatives for accessing the market basket will result in reduced quality of life, with the household having to either endure higher costs or accept a more limited number of choices. Measuring the extent of such limits where they exist, will inform policy makers and allow them to address the issue.

Criteria for the Evaluation of Performance Measures

ODOT examined the feasibility of several performance measures for its transportation planning studies. Some of the key questions that were considered when assessing the usefulness of a performance measure were:

- Can the measure be quantified, ordered, or expressed in terms of relative magnitude?
- Can the measure be calculated from observed data, and also estimated for the future, using forecasted variables?
- Does it measure a plan output or outcome that is clearly correlated with the goals and policies in question?
- Does it measure how well the goal, goal component, or supporting role is met?
- Can the measure be examined within the existing capabilities of current and planned travel models and data collection efforts?

The TCI may be computed for different forms of travel demand models using the following steps outlined below.

- ***Identifying Market Areas.*** The market areas for each Traffic Analysis Zone (TAZ) were determined using destination choice model estimates of the probabilities of trips being made between each pair of TAZs in the model area. This determination was made based on *access utilities* which are a measure of the ease of travel between TAZs, and take into account: time spent traveling in vehicle; time spent walking to vehicle; time spent waiting; money cost of the trip among other things.

  The access utilities for traveling from a given originating TAZ to all other destination TAZs in the model area were computed for all travel modes and combined into a composite value called the *log sum*. The market area for a given originating TAZ is obtained using a threshold log sum value to eliminate from that TAZ's market area, any destination TAZ that falls below the cutoff.

  Access utilities for a given mode of transportation are modeled to and take into account differing trip purposes and income groups. For each TAZ in the model, 12 total market areas would be defined to account for three income groups (high, middle and low), and within each income group, four trip purposes (work, shopping, recreation and other).

- ***Quantifying Market Baskets.*** The destination choice model also generates *size terms* which measure the magnitude of trip attractors associated with a given trip purpose in each destination TAZ. Size terms tend to be a function of the number of jobs and households in a TAZ, but may also include other factors related to the trip purpose. For instance, the size term for home based recreation trips might also include the acreage of park land in a given destination TAZ.

  For each trip purpose by income group, the size of the market basket in a given TAZ is computed by summing the *size terms* for all the destination TAZs identified within its defined market area related to that trip purpose.

- ***Identifying a Reference TAZ.*** The Reference TAZ serves as a geographic reference for comparing market access costs and is generally identified as a TAZ with a great degree of access by different travel modes. The reference TAZ should be identified as the zone with the greatest market attractions within its own market area. This identification can be carried out

by expert intuition and judgment with the aid of community consensus, or the identification can alternatively be determined by using a simple analytical process outlined below.

For each trip purpose, the size term corresponding to each TAZs market area is divided by the largest recorded market area's size term related to that trip purpose in the entire model. For each TAZ, this returns a value equal to or less than one for each trip purpose and income group. Because there are four trip purposes and three income groups, the maximum overall score obtainable by aggregating every trip purpose and every income group in any given TAZ is 12. The computation of the overall score totals for each TAZ by income group and trip purpose is carried out and the TAZ with the highest overall score is selected as the reference TAZ.

Figure 1a below shows a map of the 744 TAZs that make up the Rogue Valley Metropolitan Planning Organization (RVMPO) model in Oregon. It also shows the two largest cities in the area, Medford and Ashland. The natural logarithm of the scores obtained using the analytical method outlined above are mapped in Figure 1b which identifies a location in downtown Medford as the reference TAZ. The log of overall scores are used because they better indicate the distinctions between low scoring TAZs.

For best results, this analytic method should be combined with expert judgment and community consensus in identifying the reference TAZ to act as the geographic reference for comparing market access costs. This allows for public involvement that will inform the performance measuring process.

Figure 1a: Map of Rogue Valley Metropolitan Planning Organization (RVMPO) Travel Demand Model

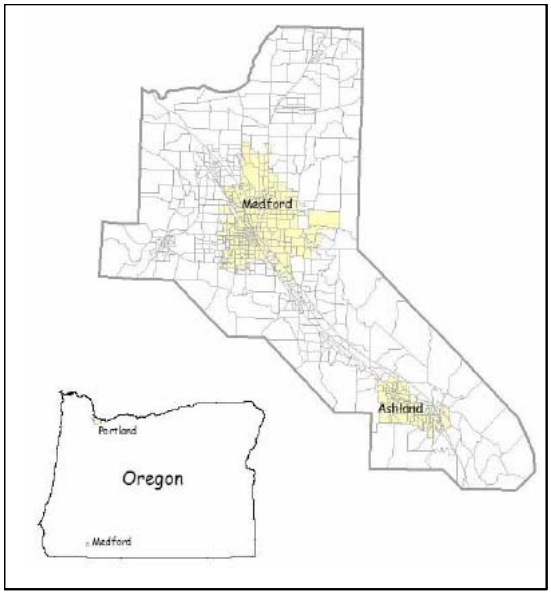
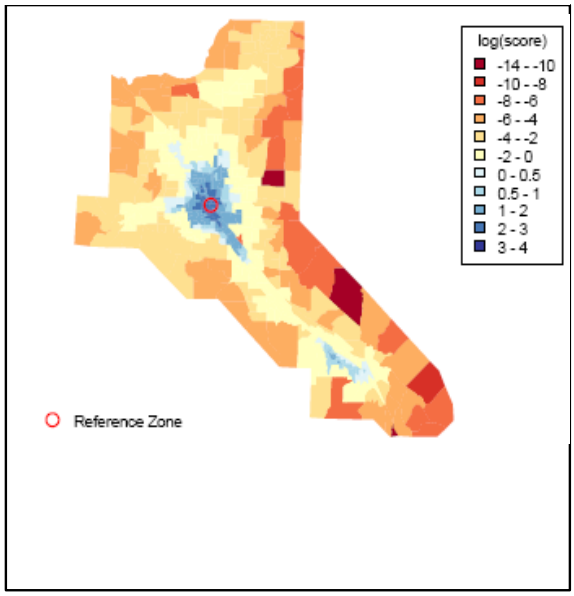


Figure 1b: Geographic Distribution of Market Attraction Scores Presented as Natural Logarithms



Source: Oregon Department of Transportation. Retrieved March 1, 2008, from, http://egov.oregon.gov/ODOT/TD/TP_RES/docs/Reports/PlanningPerformanceMeasures.pdf

Identifying a Reference Market Basket. By income group for each trip purpose. the size of the reference market basket was determined by averaging the size of market baskets from all originating TAZs in the model.

Calculate Travel Costs to Access the Market Basket. The cost to access each of the 12 market baskets identified for each TAZ is computed based on the access utilities derived from the demand model. Since the utilities are calculated as a combination of different factors, they are dimensionless quantities that are not intuitively easy to understand. They can, however, be easily converted into understandable units. For this study, the access utilities are converted into dollar cost equivalents by dividing by the coefficient for operating cost. The cost coefficient of the middle income households in each TAZ is used to convert access utilities into dollar cost equivalents.

The equivalent dollar cost is used to measure each TAZs cost of accessing its own market basket. There are three different methods of cost aggregation by travel mode, each of which will lead to a different access cost:

- *Average Cost Method* which computes an access cost weighted by the modal share distribution of travel between each pair of TAZs.
- *Minimum Cost Method* which chooses the travel cost of the mode with lowest travel cost for each pair of TAZs – which typically tends to be auto modes.
- *Composite Method* which calculates the log of the sum of exponentiated utilities of all modes.

Regardless of which modal aggregation method is used, the average cost to access the reference market basket is computed for each TAZ as follows:

- A market area for the originating TAZ is identified by placing the destination TAZs in order of increasing travel cost. The sum of size terms (while in that order) is computed until the point that the cumulative size term equals that of the reference market basket already determined.
- The cost to access the market basket is computed using the weighted average of travel costs required to access each destination TAZ in the defined market area. The access costs to each destination TAZ is weighted by its relative size term.

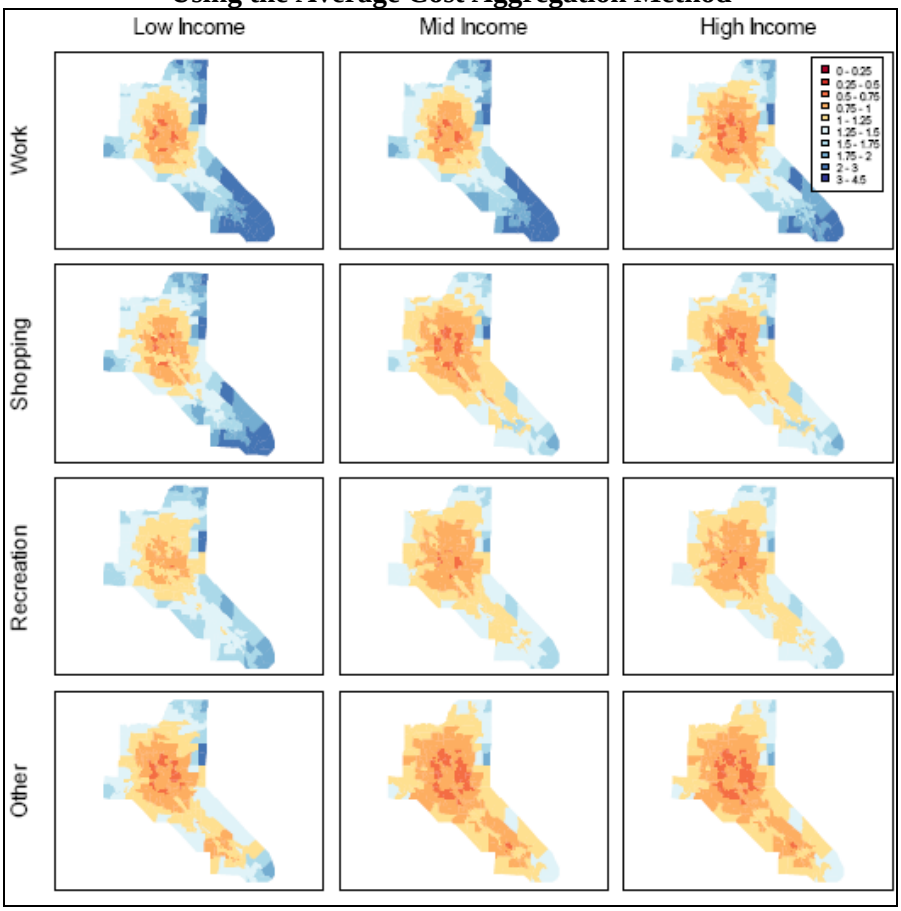
Figure 2 demonstrates the geographic distribution of market access costs using the average cost method of modal aggregation. For example, the figure suggests that low-income populations in the elongated southeastern portion of the model area experience a higher shopping access cost (seen in the darker shades of blue) than middle and high income populations in the same geographic region.

- ***Compute Travel Cost Indices.*** With market access cost values determined for each originating TAZ by income group and trip purpose, TCI values are computed by dividing the market access cost values for each TAZ, by those of the reference TAZ accessing the reference market basket. Because the reference TAZ is, by design, intended to identify the most accessible region within the model, one should be able to obtain a relative sense of any given TAZs accessibility by comparing its cost of access to that of the reference TAZ.

  TCI values can be aggregated by income group or by trip purpose, based on each TAZs composite proportion of income groups, or proportion of trips made for each purpose

respectively. Figure 3 presents the geographic distribution of TCI scores aggregated across all four trip purposes and reflecting the three methods of modal aggregation mentioned above.

Figure 2
Geographic Distribution of Market Access Cost by Income Group and Trip Purpose Using the Average Cost Aggregation Method

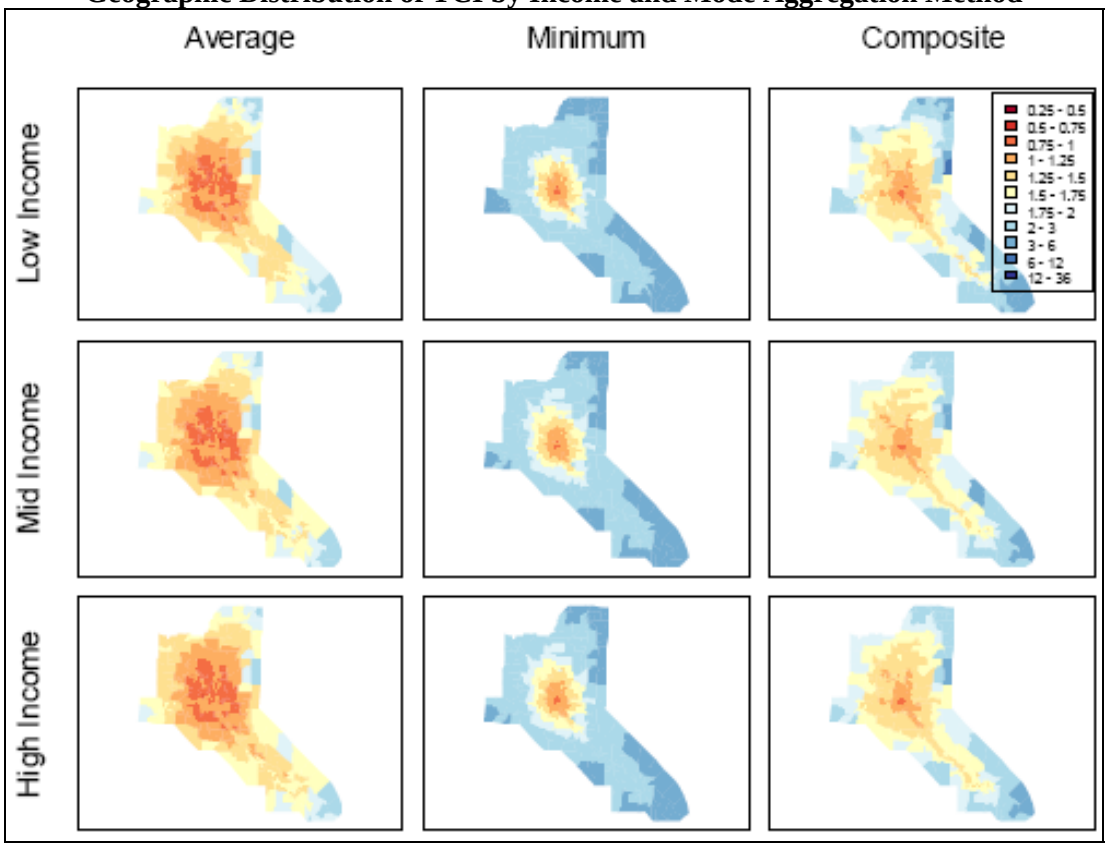


Source: Oregon Department of Transportation. Retrieved March 1, 2008, from, http://egov.oregon.gov/ODOT/TD/TP_RES/docs/Reports/PlanningPerformanceMeasures.pdf

As demonstrated in Figure 3, TCI values tend to range from 0.75 to about 12 depending on the method used for transport mode aggregation. The figure illustrates why it might be useful to have several different modal aggregation approaches to calculating the TCI; each method handles the interactions between transportation modes and land use in different ways. One result of the *average aggregation approach* is that average costs will be higher where slower, and therefore more costly, modes of travel (e.g. bus) are available. The *composite approach* decreases the overall travel cost with more travel modes – it can be thought of as consumer utility to additional travel modes and it traces out the pattern of transit accessibility as seen in Figure 3 where TCI scores close to unity (1-1.5) sketch out the existing transit system network in the region.

Depending on the intended focus of transportation policy in a region, the communication of the effects of a particular investment can be made more or less distinct based on the method of modal aggregation. One of the advantages of the average cost method is that it is more understandable and the effects of improving transportation services are more predictable.

Figure 3
Geographic Distribution of TCI by Income and Mode Aggregation Method



Source: Oregon Department of Transportation. Retrieved March 1, 2008, from, http://egov.oregon.gov/ODOT/TD/TP_RES/docs/Reports/PlanningPerformanceMeasures.pdf

Other performance measures such as the *Percent of Travel Market-Basket Accessible by Non-Auto Modes* and the *Auto Dependency Index (ADI)* can also be determined once the TCI score has been estimated. Both of these measures borrow from features created during the determination of the TCI score.

Percent of Travel Market-Basket Accessible by Non-Auto Modes. This measure identifies the proportions of the travel opportunity market baskets identified in the TCI measure for each TAZ that are determined to be accessible by non-auto travel modes. It illustrates the degree to which the transportation and land use system fosters automobile dependence by focusing on transportation choices rather than behavior.

This measure depends on thresholds for determining the practicality of getting from one TAZ to another by a non-auto mode of transportation. In this study, a non-auto mode of travel is determined to be practical if the travel time for that mode is less than 30 minutes or if the travel time for the mode is not more than 30 minutes greater than the auto travel time for the corresponding trip. Local research can provide a rational basis for thresholds. For example, household travel survey data can empirically identify maximum practical travel times for different activities.

The array of practical non-auto travel alternatives is used to calculate the percentage of the market place that is accessible by non-auto modes. The attractions in the accessible zones are

measured in the same manner as they would be for the TCI and are summed. This quantity is divided by the sum of attractions in the market area to yield the actual measure and the result of these calculations is an array of percentages for each TAZ by income group and trip purpose, which may be aggregated across income group or trip purposes using the same proportional method outlined in aggregating the TCI.

Auto-Dependence Index. The Auto Dependence Index (ADI) compares the TCIs for auto and non-auto modes to indicate the degree of auto-dependence that the land use and transportation system fosters. This differs from the *Percent of Travel Market-Basket Accessible by Non-Auto Modes* because it is affected by changes in all measures of transport costs. For example, higher fuel prices and deteriorating highway levels-of-service would increase the automobile TCI, and if that occurs in an area where the most attractive non-auto mode is not affected by fuel costs or congestion, the ADI will be higher.

The measure is calculated according to a procedure very similar to the procedure for calculating the TCI. The average cost to access the travel opportunity market basket is calculated for automobiles and for non-auto modes in the same manner except that the travel cost for non-auto modes between any pair of TAZs uses the cost of the non-auto travel mode that costs the least. As with the TCI, the average travel costs are computed for each trip purpose and income group. The results of these calculations are two arrays of average costs (auto and non-auto) by TAZ, income group and trip purpose. Dividing the non-auto cost array by the auto cost array produces the ADI values for each combination of TAZ, income and purpose. As with the other two measures, the ADI values can be aggregated by income group, purpose, and geographic area using the same methods outlined in the TCI description.

Benefits

For the Agency

- ***Identified better measures of performance*** by defining descriptive measures of performance that improved upon the existing VMT per capita measure (which does not directly address land use). This research and development effort introduced methods and measures that better evaluate socioeconomic distributional effects of regional transportation networks and investments.
- ***Integrated policy goals into performance measures*** thus allowing for better assessment of population needs, and assessments of progress associated with identified policy areas.

For the Community

- ***Potential opportunity to engage the public*** in the process of defining performance measures by soliciting their input in identifying reference areas and noting other public accessibility concerns.

Why should NJDOT be interested?

This ODOT example demonstrates the manner in which a state transportation agency has attempted to influence its associated MPOs to ***re-evaluate their current measures of transportation policy performance*** – particularly as they relate to environmental justice concerns and Title VI implementation. It is said that 'what gets measured, gets done,' and similarly, the policy goals and objectives of transportation planners are more likely to be achieved if the criteria

used to assess existing and proposed conditions, are appropriately correlated with the intended goals. ***Incorporating land use and consumer choices into the evaluation measures*** used in planning and project development allows for better identification of potential environmental justice concerns and the mobilization of possible mitigation efforts.

Even though the challenge of familiarizing the public to these performance measures exists, these efforts have the advantage of being graphically presentable to relevant consumers of this kind information – local community groups and civil rights advocates etc.

Contacts/Resources

Brian Gregor, Transportation Planning Analyst
Oregon Department of Transportation
Email: Brian.J.Gregor@odot.state.or.us
Phone: (503) 986-4120

Transportation Planning Performance Measures, Final Report, SPR 357
http://www.oregon.gov/ODOT/TD/TP_RES/docs/Reports/PlanningPerformanceMeasures.pdf

Transportation Planning Performance Measures, Final Report, SPR 357 Appendices
http://www.oregon.gov/ODOT/TD/TP_RES/docs/Reports/PMAppendices.pdf

Sociocultural Effects Handbook and Design and Implementation of Efficient Transportation Decision Making Manual

Florida Department of Transportation

Effective Practices:

- ***Consistent Guidance*** through a Practitioners Handbook that provides procedures on considering community interest and needs as part of decision making.
- ***Community Liaison Coordinator*** responsibilities in all FDOT Districts and MPOs dedicated to ensuring that the procedures outlined in the practitioners' handbook are effectively implemented through planning, programming and project development.
- ***Continuity and consistency*** with evaluating and processing community data and information from planning through to project development.

Participants:

- Florida Department of Transportation (FDOT) Central and District Offices
- Florida Metropolitan Planning Organizations (MPO's)
- Environmental Technical Assistance Team (ETAT) Members

Description

Each FDOT District and MPO has designated a ***Community Liaison Coordinator*** **(CLC)** with the responsibility for assessment of sociocultural effects for transportation projects. The CLCs utilize FDOT's ***Sociocultural Effects (SCE) Handbook*** for guidance on evaluating community effects including impacts to low-income and minority populations. The sociocultural effects assessment is part of much larger decision making framework utilized by FDOT called Efficient Transportation Decision-Making (ETDM). The ETDM process is used during the planning, programming and development of projects. The following statement was developed at one of the early ETDM working group meetings and represents the vision of the ETDM process.

> *"It is our vision to improve transportation decision making in a way that protects our natural and human environmental resources. It is our goal that we, as environmental resource and transportation agencies, establish a systematic approach that integrates land use, social, economic, environmental, and transportation considerations. This approach will include the active participation of Federal, State and Local agencies, and the public. It will lead to decisions that provide the highest quality of life and an optimal level of mobility for the public we serve."*[4]

The ETDM process seeks to balance transportation needs with human and natural environment regulatory issues as well as community quality of life considerations. Coordination with a full range of stakeholders including regulatory agencies and the public is essential to achieve the goal of the ETDM process; the sharing of data and information is essential. In order to facilitate efficient interaction, FDOT utilizes an Internet-accessible, interactive database called the

1. "Florida's ETDM Process," Florida Department of Transportation Central Environmental Management Office, brochure, (n.d.). Available: www.dot.state.fl.us/emo/pubs/ETDM_Dispute_Brochure_Web.pdf [2007, January].

Environmental Screening Tool (EST). The EST includes numerous community characteristics data layers including race, income, age, and other indicators useful when assessing efforts to prevent discrimination.

The ETDM process relies on an Environmental Technical Assistance Team (ETAT), a multi-disciplinary team representing a full range of stakeholder perspectives including community quality of life considerations. Team members remain the same through all phases of decision making which facilitates continuity and consistency between functional areas of project delivery. The roles and responsibilities of the CLCs are critical to the ETDM process and they provide input to the ETAT on sociocultural effects for long range plans, programming and development of projects.

The CLC responsibilities include performing key activities in the Sociocultural Effects Handbook and include:

- Working with the ETDM Coordinator to create public participation and input opportunities, and documenting a summary of public comments in the EST;
- Promoting awareness of the transportation planning and project development processes and the public's role in these processes;
- Coordinating with the ETDM Coordinator to develop and update Community Characteristics Inventories in the vicinity of planned projects;
- Performing project sociocultural effects evaluations;
- Acting as a communication channel for responses to transportation issues;
- Providing an outreach mechanism for timely information flow to and from the community;
- Ensuring timely information flow to their respective ETDM Coordinator;
- Continuously evaluating and modifying outreach activities to achieve effectiveness;
- Interacting with the community to ensure that identified community effects are addressed in a manner consistent with community values and desires and FDOT standards and resources; and
- Responding back to the community regarding transportation issues.

As projects move from long range plans (primary responsibility of MPO) through programming and project development there is ***continuity of activities*** because the CLC's continue to be involved with ETAT activities. When transitioning between planned projects (MPO's responsibility in urban areas) to programmed projects (FDOT's primary responsibility) the following activities are closely coordinated:

- Establish a network of community contacts
- Conduct community outreach activities
- Organize and summarize community concerns
- Review availability and accuracy of data
- Collect additional supporting data
- Develop Community Characteristics Inventories
- Consider issues inherent in SCE considerations to structure public outreach activities.

As a project advances to the Programming and Project Development Phases, the MPO's public involvement role transitions to a supporting role to the FDOT CLC.

The CLC's use the guidance and procedures outlined in the ***Sociocultural Effects Handbook*** to identify and address community quality of life considerations. As demonstrated in Table 1, these considerations have been organized into six SCE evaluation issues.[5]

Table 1
Issues Identified for Evaluation in the Sociocultural Effects Handbook

Social	Economic	Land Use	Mobility	Aesthetic	Relocation
• Quality of Life • Community • Cohesion • Community • Goals • Changes in • Demographics o Population o Employment o Income o Age/Sex o Education o Occupancy o Ethnicity	• Effect on Businesses • Regional Employment • Travel Patterns • Traffic Levels • Business Visibility • Special Needs Patrons • Tax Base	• Consistency with Future Land Use • Character of Land Use/Urban Form • Effect on Open Space • Potential for Sprawl	• Accessibility • Pedestrian/ Bicycle • Transit • Transportation Disadvantaged • Connectivity o Intermodal Facilities o Land Uses • Traffic Patterns • Public Parking • Emergency Facilities/ Evacuation • Safety	• Noise • Vibration • Viewshed • Proximity to Community Focal Point • Community Aesthetic Compatibility • Landscaping	• Residential • Business • Public Facilities

Source: Sociocultural Handbook. Retrieved March 1, 2008, from http://www.dot.state.fl.us/emo/pubs/sce/sce.htm.

The SCE Handbook provides a series of considerations for each of the six issues areas along with questions to be considered, supporting data sets, and guidance for what the analyst should be reviewing and evaluating for each SCE issue. Additionally the EST provides customized tools that provide access to the project database, the results of standardized GIS analyses, and a form to enter comments about the potential effects. The SCE Handbook includes information on data entities, classifications, and attributes for sociocultural data. The EST allows for sociocultural data to be managed and displayed in a consistent manner through planning, programming and project development.

The SCE Handbook includes a chapter devoted to Title VI/Civil Rights and cues the analyst to considerations that provide reasonable assurance that the selection of a project alternative was not a discriminatory act. The guidance in the Handbook along with the EST provides a systematic and transparent framework for decision making that can be utilized for effectively implementing and monitoring Title VI/Civil Rights policies and procedures. FDOT relies heavily on public involvement efforts to verify the accuracy and completeness of community data as well as to solicit public opinion about potential effects of a project on the community. CLC's coordinate extensively with public involvement specialists to ensure full and fair participation. In some cases the CLC and the public involvement specialist is the same person, in other cases they are different individuals. Often the CLC and/or public involvement responsibilities are contracted out by the transportation agency. It is the responsibility of the MPOs or the District Offices to provide adequate resources to fulfill the CLC and public involvement responsibilities.

FDOT has a Public Involvement Handbook which provides guidance about effective techniques to engage the public including traditionally underserved populations. FDOT utilizes a ***Project Diary*** which is accessible to the public via internet to document public involvement activities as

[5] http://www.dot.state.fl.us/emo/pubs/etdm/650-000-002_ETDM_Manual_Ch4_Combined_March06.pdf

projects move from planning to project development. Components of a project diary include the project history; the public involvement plan, description of all activities (i.e. maps, handouts, notifications, etc.); and the results of public involvement activity. The project diary creates a repository of information for the public as well as FDOT employees and other interested stakeholders. This allows for continuity and consistency among the different phases of decision making and provides invaluable information to Title VI/Civil Rights personnel charged with evaluating how well an agency is implementing Title VI/Civil Rights procedures.

Benefits

For the Agency

- ***Streamlining:*** Linking of resources from planning through to project development thereby reducing the potential for confusion as projects move through phases of project delivery and streamlining process requirements.
- ***Data Clearinghouse***: One stop shop for community data and information from planning through to project development.
- ***Assessment Guidance:*** The SCE Handbook provides a consistent, systematic approach for evaluating community effects including Title VI/Civil Rights considerations.
- ***Staff Resources*** throughout the state are dedicated to meeting the requirements of the sociocultural effects and public involvement processes to assure full and fair consideration of community issues including Title VI/Civil Rights concerns.

For the Community

- ***Transparent decision making process*** which includes access to decision making documents and data.
- ***Community considerations included*** as part of the larger decision making framework.
- ***Consistency and continuity of information*** provided by the community through planning, programming and project development. The community can see the development of project through all phases rather than piecemeal.

Why should NJDOT be interested?

The FDOT effective practice provides insight as to how data and information related to Title VI implementation strategies can be managed as part of a larger decision making framework including ***linking planning, programming and project development activities***. Currently these activities are somewhat disjointed due to different roles and responsibilities assigned to differing functional areas of work. ***The ETDM framework along with the ETAT and CLCs ensures that community considerations are included in all phases of decision making***. ***The framework helps align staff resources and provides continuity of information exchange between phases of decision making.*** The EST and project diary allows for a ***shared medium of data*** which can be viewed and utilized by a full range of stakeholders to promote transparency and ownership in decision making. Additionally the SCE Handbook helps assure that community issues including Title VI concerns are consistently and systematically addressed as part of the larger decision making framework. While it is true that FDOT has invested large sums of money to design and implement ETDM, there are pieces of this framework that can be modeled to promote better Title VI implementation strategies that do not require large financial investments such as:

- ***Establishing CLC roles*** within MPOs and each District Office that has the responsibility for ensuring that community issues are integrated into the decision making processes;
- ***Developing a Community Effects Handbook*** on how to evaluate community effects and providing associated training;
- ***Creating a repository of community data and information*** for projects available to a full range of stakeholders including internal NJDOT staff; and
- ***Developing a consistent multi-disciplinary team*** that works together at a regional level to oversee planning, programming and project development decisions.

Contacts/Resources

References to CLC responsibilities are found in the ETDM Manual which is located on the CEMO website at http://www.dot.state.fl.us/emo/pubs/etdm/etdmman.htm

Sociocultural Handbook: http://www.dot.state.fl.us/emo/pubs/sce/sce.htm

Public Involvement Handbook:
http://www.dot.state.fl.us/emo/pubs/public_involvement/pubinvolve.htm

Project Diary: http://www.dot.state.fl.us/emo/pubs/sce/SCE_Chapter_5_nov_2005.pdf

SCE Consideration list of Questions: http://www.dot.state.fl.us/emo/pubs/sce/Appendix%20A-E/Appendix%20D_SCE%20Considerations.pdf

EST Data Entities, Categories and Attributes:
http://www.dot.state.fl.us/emo/pubs/sce/SCE_Appendix_E.pdf

Chapter on Title VI/Civil Rights within the SCE Handbook:
http://www.dot.state.fl.us/emo/pubs/sce/Appendix%20A-E/Appendix%20C_Title%20VI-Civil%20Rights.pdf

FDOT Project Development Manual: Public Involvement Guidelines
http://www.dot.state.fl.us/emo/pubs/pdeman/updated/Chapter%208%20Final%20Revisions%2012-30-02.pdf

Example of Project Diary: www.cfgis.org/diary (click on any county in the region then select a project from the table, next go to the left side of the screen and click on any category of interest)

Design and Implementation of an Environmental Screening Tool

Florida Department of Transportation

Effective Practices:

- The ***Environmental Screening Tool*** acts as a clearinghouse of information which helps identify potential impacts of proposed transportation projects.
- ***Interactive*** database available for ***both agency and public use***.
- Agency participation and civic involvement ***throughout the project life cycle***.

Participants:

- Florida Department of Transportation (FDOT) Central Office
- FDOT and MPO Environmental Transportation Decision Making (ETDM) Coordinators
- Community agencies and the general public

Description

The Environmental Screening Tool (EST) is an Internet-accessible interactive database and mapping application that provides information about planned transportation projects and the surrounding environment. It is an integral part of the Efficient Transportation Decision Making (ETDM) process. The application, which is run using ArcIMS and maintained by the Florida Geographic Data Library (FGDL) at the University of Florida, supports ***agency participation and civic involvement throughout the project life cycle***.

Strengths of the EST

- *Refined over time and with input from outside sources*
- *Real-time multi-user access to maps and queries*
- *Creation and modification of project line-work*
- *Perform routine and on-the-fly GIS analysis*
- *Track time-dependent actions*
- *Enforce user roles and privileges*

The EST acts as a data repository and provides analytical and visualization tools that help synthesize and communicate information in a user-friendly fashion. User communities include FDOT district offices, state MPO's, resource agencies, and the general public. The program has been designed to help interpret potential direct and indirect effects caused by transportation projects on human and natural environments. It has proven to be a very valuable tool for helping to adjust project design to avoid or minimize adverse impacts, to consider mitigation alternatives, and to identify ways to improve project costs.

Figure 6 demonstrates how information is gathered and entered into the database and shared both within FDOT and externally. Figure 7 identifies additional inputs that can be included to gain a more comprehensive understanding of the social, economic, and environmental characteristics of potentially affected communities.

Figure 6
Data Collection and Sharing Flowchart

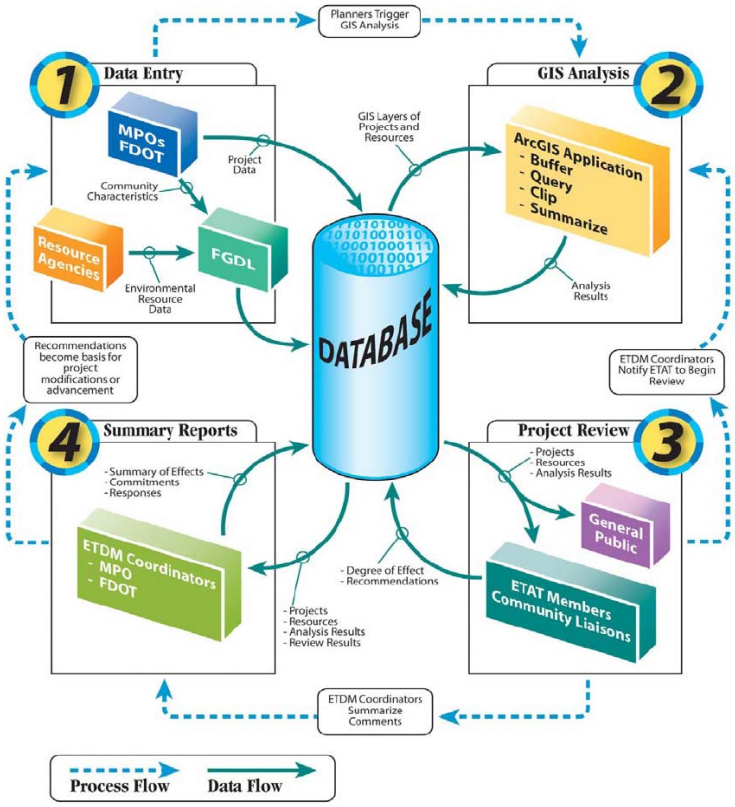


Figure 7
Community Characteristic Data

Population and Demographics	Employment Characteristics	Housing Characteristics	Physical Characteristics	Community Focal Points
▪ Population and growth trends ▪ Age distribution ▪ Predominant ethnic/ racial composition ▪ Average household income ▪ Special population groups ▪ Automobile ownership	▪ Unemployment rates and trends ▪ Employment base and type ▪ Tax base	▪ Age of structures ▪ Type of structures ▪ Condition of structures ▪ Vacancy rates ▪ Percentage of residents five years in home ▪ Type of occupancy	▪ Infrastructure ▪ Existing land use ▪ Future land use ▪ Planned and approved developments	▪ Schools ▪ Medical and health facilities ▪ Fire Stations ▪ Religious facilities ▪ Intermodal facilities ▪ Cultural Centers ▪ Law enforcement agencies ▪ Parks ▪ Community Centers ▪ Social service facilities ▪ Civic Centers /Multi-use facilities ▪ Government Buildings ▪ Cemeteries ▪ Other miscellaneous facilities

Source: Efficient Transportation Decision Making Manual, Chapter 3.

When a new project begins, planners at the respective MPO and FDOT input project information into the EST. This includes an array of information both about the project and the affected environment. To aid in this effort, GIS files are uploaded and used to execute pre-defined buffer queries of natural, cultural, and community resources. Information can be continuously added to the database.

At the beginning of both the Planning and Programming Screens of project development, ETDM coordinators notify the Environmental Technical Advisory Team (ETAT) to begin their 45-day project review from data stored using the EST. The public is also informed that the review period has begun so that they may review project data and GIS analysis results. Since the EST is run using GIS, the public is allowed to visit FDOT district offices or their local MPO to use this tool if they do not have access to GIS elsewhere. During the review period, ETAT staff enter comments into the EST while the public is able to participate through a variety of public involvement strategies.

The following elements are required entries as part of the EST process:

"With the ETDM process in place transportation systems in Florida will be cleaner, smarter and cheaper. We'll be able to cost effectively address mobility and accessibility issues while protecting the environment."
- Alan Powell, U.S. EPA

- Existing transportation plans within the project area including a summary of system-wide mobility needs which helps the ETAT identify issues and desires;
- The identification of potential transportation projects within the project area required to support projected growth and development;
- The Purpose and Need statement for each project; and
- Define affected communities and developing a Community Characteristics Inventory that summarizes area social and economic trends

All information is stored in the EST and continues to be updated and referenced throughout project development and construction.

Benefits

For the Agency

- The EST acts a support mechanism by which to ***analyze, visualize, communicate, and facilitate*** the sharing of information and ideas.
- Ensures a ***continuous feedback loop*** and effectively manage expectations.
- Early identification of potential direct and indirect impacts. Data sources allow for continued refinement and examination as the project moves through the various stages of transportation-decision making.

For the Community

- Use of a ***hands-on interactive tool*** to assess neighborhood and environmental impacts**.**
- View project details and comments made by others.
- Ability to be ***involved throughout the life cycle of the project***.

Why should NJDOT be interested?

The EST allows for a ***shared data platform*** that can be viewed and utilized by a full range of stakeholders, promoting transparency and ownership in decision making. Programs modeled after the EST help strengthen a state transportation agencies ability to ***share information*** between divisions, ***decrease redundancy*** of project-related inquiries, and ensure that relevant staff is ***knowledgeable*** about impacts to low-income and minority populations, among other communities. While the implementation of such a system, and training of staff to become familiar with such a program carries significant upfront costs, the integration of such a system may prove cost effective over the longer term, yielding greater coordination and creating a workable central repository for project-related information.

Contacts/Resources

Efficient Transportation Decision Making Manual
http://www.dot.state.fl.us/emo/pubs/etdm/650-000-002_ETDM_Manual_Ch3_March06.pdf

Mobility Information Needs of Limited English Proficiency Travelers in New Jersey

New Jersey Department of Transportation

Effective Practices:

- Hiring of a third party to review existing agency practices and service needs of LEP populations.
- ***Targeted survey*** to understand needs of different Limited English Proficiency (LEP) populations.
- Review of effective practices by national and international transportation agencies.

Participants:

- New Jersey Department of Transportation (NJDOT)
- New Jersey Transit (NJ TRANSIT)
- New Jersey Institute of Technology (NJIT)
- LEP survey respondents

Description

In New Jersey, persons with Limited English Proficiency[6] (LEP) represent a larger percent of the total population than they have in the recent past. LEP persons typically represent one of the more transit-dependent populations and the expected travel growth for LEP populations is anticipated to grow at a rate faster than overall travel. This travel will result in the need for increased access to mobility information in languages other than English (e.g., primary or home languages).

NJDOT's Division of Research and Technology hired NJIT to conduct a study which examined LEP population growth and locational trends, travel patterns, overall needs, and existing best practices in order to design services that would more adequately serve LEP persons in New Jersey. The study undertaken by NJIT sought to accomplish the following:

- Provide LEP residents and travelers with the ability to gain essential access to New Jersey's transportation opportunities;
- Address the transportation agencies' need for compliance with Title VI and LEP guidelines; and
- Provide NJDOT and NJ TRANSIT with a manual to heighten sensitivity and improve services to LEP travelers.

NJIT designed a scope of work that included the following research activities:

- Preparation of a literature review covering topics such as policy and guidelines to serve LEP transit-dependent populations, language-related research in the transportation field,

[6] According to the United States Department of Transportation Guidance (U.S. DOT, 2001), LEP persons are those individuals with a primary or home language other than English who must, due to limited fluency in English, communicate in that primary or home language if they are to have an equal opportunity to participate in, or benefit from, any aids or services provided by the transportation agency.

comprehension of nonverbal information, and appropriate strategies for diverse communities. The primary guidance referenced in this review was the United States Department of Transportation's *Guidance to Recipients on Special Language Services to Limited English Proficiency Beneficiaries* that encourages its recipients to identify meaningful access programs and activities for all people regardless of race or national origin.

- Development of visual tools to locate the distribution of LEP populations. Detailed maps were prepared which identified concentrations of LEP persons by their primary or home language.
- Utilization of software programs and statistical analysis to profile economic and social characteristics not provided in the Census.
- Implementation of a questionnaire with four categories of questions including current travel choices, ability to understand information provided by transportation service providers, input to improve services for LEP populations, and economic and social characteristics. Questionnaires were distributed at 14 community college English-as-a-Second Language (ESL) courses across New Jersey. Survey respondents spoke 12 different languages. Approximately 575 surveys were completed. Additional information was gathered through eight focus groups at community centers with immigrant populations speaking languages other than English.
- Preparation of a second questionnaire for other state transportation and transit agencies. The survey sought to identify best practices, innovative strategies, methods used to communicate with LEP populations, costs of implementing different strategies, and how agencies assess the effectiveness of their strategies.
- Preparation of a similar questionnaire for select international transportation and transit agencies and internationally oriented activity centers. Agencies that were contacted were located in areas having a similarly diverse constituent base as New Jersey.
- Recommended best practices for implementation by NJDOT and NJ TRANSIT based upon on existing effective practices within the state, LEP surveys, and review of national and international transportation agencies. Recommendations included the use of multilingual publications, signs, announcements, phone lines, websites, pictograms and other visual aids, and personnel.
- Additional recommendations included regional and statewide transportation agencies collaboratively working together to identify unique travel demand or travel patterns developed within local communities, cultural sensitivity training for NJ TRANSIT and its employees, an increase in the number of multilingual personnel on the staff roster, strengthen relationships with community groups and widely publicize available resources

Benefits

For the Agency

- The hiring of a research institution to assess techniques by which to reach and improve services to LEP populations provides a cost-effective means for ***self-evaluation*** of agency practices and identification of strategies for continued growth.
- The study was intended to help NJDOT, NJ TRANSIT and other state and regional transportation agencies implement strategies that will ***effectively reach and benefit LEP populations.***

For the Community

- Survey respondents were given the ***opportunity to express their concerns*** regarding the transportation network and transportation services.

Why should NJDOT be interested?

This study was a ***proactive approach*** undertaken by NJDOT to better understand the needs of an often difficult to reach constituency. The hiring of NJIT by NJDOT to examine its LEP constituency base and their needs acknowledges that there is room for improvement when providing services for these populations. NJDOT recognized that service needs for different LEP populations can vary and that through ***in-depth and targeted research efforts*** these needs can be most appropriately identified and addressed. The identification of these needs should be a continuing or recurring commitment as immigration will likely continue and transportation systems and services will need to connect New Jersey residents and workforce to jobs and other essential institutions.

The study concluded that NJDOT, NJ TRANSIT and other state transportation agencies should develop interactive systems that the LEP population can easily comprehend and feel comfortable using. The extensive literature and effective practices review ***memorializes techniques and strategies*** that have been successful at other transportation and transit agencies with linguistically-diverse populations.

Contacts/Resources

Mobility Information Needs of Limited English Proficiency (LEP) Travelers in New Jersey, 2004. Prepared by the New Jersey Institute of Technology for New Jersey Department of Transportation.

Assessing and Improving the Distribution of Safe Routes to School Funding

New Jersey Department of Transportation

Effective Practices:

- ***Targeted, dispassionate research*** to assess the locational distribution of funds
- ***Formation of a stakeholder group*** to promote program in EJ communities

Participants:

- New Jersey Department of Transportation (NJDOT)
- Alan M. Voorhees Transportation Center, Edward J. Bloustein School of Planning and Public Policy, Rutgers University (VTC)

Description

The Federal Safe Routes to Schools (SRTS) Program was designed to encourage children to walk and ride bicycles to school. Federal funding under SAFETEA-LU has been made available for programs and projects that result in safer street crossings and promote safer pedestrian and bicycle movements. SRTS funding is determined through grant applications that are filed by a specific school and reviewed by NJDOT. The level of funding available provides for only a fraction of the need as demonstrated in the number of grant applications.

Successful grants favor the community with the resources to prepare the grant and undertake the pre-planning activities leading to the grant application. The most active community representatives and leaders must have the time and the ability to amass the resources to undertake the SRTS Travel Plan required for application. Studies suggest that since its inception, the SRTS program has been largely implemented in moderate- to higher-income suburban communities where community involvement and active civic leadership tends to be more prevalent than among traditionally disenfranchised populations.

Reviewing the distributional patterns of their initial funding cycles, program studies of the SRTS concluded that their promotional image and delivery tools were too slanted towards higher income suburban communities. As a result, further research efforts were untaken to examine existing practices and provide some remedial recommendations. Research efforts culminated in the national 2006 City-SRTS Pilot Report, which sought to address resource distribution and ensure that the program fulfill its obligation to underserved populations – populations that were not actively seeking or applying for SRTS funding or were simply unaware of the program's existence and funding opportunities.

In response to the study, NJDOT retained Voorhees Transit Center (VTC) to examine the spatial distribution of funds and the program's funding promotional tactics to determine if they were hindering traditionally underserved populations from applying. A number of different tactics to conduct this research were employed.

Urban Center Research. Evidence demonstrates that schools in communities largely comprised of low-income and minority populations typically do not have and/or receive adequate resources

to support strong educational programs. In response to this growing challenge, the New Jersey Court and Legislature sought to identify the most economically disadvantaged municipalities to receive additional financial assistance to help close the gap. In 1998, as a result of this effort, the New Jersey Supreme Court and Legislature established the Abbott school districts – named after a plaintiff involved in a series of New Jersey Supreme Court decisions on behalf of economically disadvantaged children. The designation of an Abbott school is based on educational achievement levels and concentrated poverty within the area of examination as compared to wealthier communities. With a designation, Abbott districts receive state aid to match the same per-pupil operating budget as would be found in New Jersey's wealthiest school districts. At present, there are 31 Abbott school districts of which Trenton, Newark and Camden are included.

These urban cities were chosen by VTC for further analysis regarding pedestrian safety and knowledge and/or application for SRTS funding. The research suggests that there is a continuing need to increase stakeholder involvement in these communities and that a continuing program of self-evaluation is warranted to ensure that resources are effectively delivered to critical areas. Some examples of the research efforts and initiatives undertaken by VTC to-date, on behalf of NJDOT, are described below.

- **Trenton.** Meetings with school staff and parents indicated that many Trenton public school students are driven to school due to fears of gang violence, street disrepair, and unsafe intersection crossings. Immediate needs and concerns vary from school to school. As a result of these meetings, VTC began to develop a better understanding of the critical factors limiting the ability of students to walk or bike to school in each of these cities. The meetings aided VTC and NJDOT to target the most appropriate stakeholders to be contacted for informing and/or aiding in the application of SRTS funding. However, staff and parent support for advancing SRTS within their respective schools was found to be sparse given other challenges including improving the overall quality of education, staff funding, and the need to attend to other programs for the underserved youth populations with scarce resources.

- **Newark.** A newsletter entitled *NJ Safe Routes Scoop* is distributed by VTC to promote the SRTS program and to emphasize the importance of SRTS in New Jersey's city schools. One article highlighted the continuing success of the WalkSafe Newark project focusing in pedestrian education in Newark elementary schools. The program sprung from growing concerns from the University of Medicine and Dentistry of New Jersey over the number of children hit by cars on Newark streets.

- **Camden.** In 2002, after many years of financial strain, the State of New Jersey established a 15-member Camden Economic Recovery Board to oversee the $175 million in state bonds allocated for revitalization efforts in Camden. During this time, the state also assumed responsibility for the Camden City School District. Since the city's school district is now under the auspices of the state, it is anticipated that a different process would need to be followed to receive SRTS funding. At this time, the avenues to be pursued for SRTS funding have not been reported.

Crash Data Study. Beginning in summer 2007, an ongoing study in these cities has been analyzing pedestrian crash incidents involving individuals under 15 years of age. Data provided by the New Jersey – Department of Motor Vehicles (NJ-DMV) has been utilized for evaluating the time of day, day of the week, and months when pedestrian accidents occur at the highest rate. Data demonstrates that accidents generally occurred when students were going to or from school, primarily in the late afternoon/evening. However, cities included in the case study did not

evidence a higher rate of crashes than other cities across the state, county, and New Jersey overall.

Urban Task Force. In addition to research and crash data analysis in city schools, VTC formed an *Urban Task Force* to promote SRTS in urban environments with high concentrations of low-income and minority populations. Efforts sought to better understand the function of the academic and social environment in these cities and challenges posed for engaging citizen and staff to apply for SRTS funding. Research efforts were primarily conducted through the internet and telephone interviews. This effort is ongoing.

Benefits

For the Agency

- ***Proactive agency approach***, including the employment of outside data sources, to pinpoint problem locations
- Community outreach helps identify barriers to be overcome.

For the Community

- Increased awareness of available resources will help EJ populations ***share in the benefit of the SRTS program.***
- ***Safer, more walkable streets***.

Why should NJDOT be interested?

NJDOT has properly recognized that a proactive approach will be required if funds for SRTS are to be distributed equitably. The research conducted by VTC will further help NJDOT determine where outreach efforts regarding the SRTS program are most needed. The synthesis of crash data by age and time of day identifies those streets and/or intersections posing the greatest risk for students. Efforts to understand the critical factors prohibiting students from walking to school will aid in the identification of community stakeholders that should be approached for involvement in the SRTS program.

Contacts/Resources

Leigh Ann Von Hagen
Voorhees Transportation Center
33 Livingston Ave
New Brunswick, NJ 08901
Phone: (732) 932-6812 ext. 700
E-mail: lavh@rci.rutgers.edu

NDJOT, Safe Routes to School
http://www.nj.gov/transportation/community/srts

Transportation Planning Capacity Building, Planning Assistant

Federal Highway Administration

Effective Practices:

- The use of the Planning Assistant by those involved in transportation-decision making can ***help identify public outreach techniques*** that would be helpful for specific projects.

Participants:

- Federal Highway Administration (FHWA)
- Any and all Department of Transportation staff

Description

The Planning Assistant was designed to help ensure that appropriate public involvement techniques are employed for the duration of a project. The tool is useful for both staff unfamiliar with public involvement and seasoned veterans. The program, which is free and available online, first asks what role one will play in the activity and what type of activity is being performed (e.g. transportation plan, transportation study, or project development). Additional questions include:

- How large an area will be affected?
- What type of environmental review is required?
- For what phase of the project are you designing a public involvement plan?
- Are real estate acquisitions required? How many people, both directly and indirectly, are estimated to be affected by these actions?
- Who holds strong interest/value in the outcome of the project (e.g. residential, businesses, interest groups, special populations)?
- What are the goals of public involvement activities (e.g. keep the public informed, identify key issues, selection of a preferred alternative)?
- What is the level of public awareness of the project?
- What percent of the project budget has been set aside for public involvement?

After completing the questionnaire section of the Planning Assistant, a Public Involvement Summary Profile is generated which includes a list of suggested techniques and considerations to take into account. The Assistant does not recommend specific methods or techniques for public involvement but rather ranks a number of techniques identifying the methods that would be the most appropriate to incorporate for each specific project. This tool can be used as a guide for designing project-specific public involvement strategies and a means for identifying potential impacts and communities of concern. Categories of techniques and considerations for which recommendations are made include outreach to traditionally underserved populations, informing people through outreach and organization, involving people through face-to-face meetings, getting feedback from participants, and using special techniques to enhance participation. For each category, there are a number of activities that can be conducted and a brief summary of how to perform each. The report can be saved and modified in the future as design becomes more refined or changed.

Benefits

For the Agency

- The use of the Planning Assistant during project development and any subsequent stage of transportation-decision making can ***help provide a framework for the type of public outreach activities*** that should be conducted for a specific project.
- The ***program allows for modification*** as the project is changed, refined, or moves from project development to implementation.

For the Community

- The use of this tool by individuals, community groups, and other public interest groups can ***help inform the transportation agency of techniques*** that would be beneficial throughout the various stages of transportation-decision making.

Why NJDOT should be interested?

The Planning Assistant is ***easy, free, and available for use by anyone***. Since the tool has the capability to save project information, it can be ***revised and shared between staff*** as a project is refined. While it does not design public involvement plans, the Planning Assistant can ***serve as a guide for transportation agencies when identifying the appropriate public outreach effort*** that should be undertaken on a project specific basis.

Resources

Transportation Planning Capacity Building, Planning Assistant
http://www.planning.dot.gov/PublicInvolvement/pi_tool/getting-started.asp#bullet1

Transportation Planning Grants Programs
California Department of Transportation

Effective Practices:
- ***Targeted grant program*** to foster collaborative planning between communities and local government agencies.
- ***Engage*** communities, in particular traditionally underserved populations, in transportation planning.

Participants:
- California Department of Transportation (Caltrans) Central and District Offices
- California Metropolitan Planning Organization's, Regional Transportation Planning Authorities**,** Cities, Counties, Transit Agencies, and federally recognized Native American Tribal Governments
- The public

Description

Environmental Justice: Context-Sensitive Planning and Community-Based Transportation Planning Grants are available as part of the ***Transportation Planning Grant Programs*** funded through Caltrans. The grant program, which began in FY 2001-2002, is largely a good faith effort to support healthier relationships between transportation planning and land use. The majority of projects are *not* located on or along Caltrans corridors therefore the agency primarily acts as the financial donor paying grantees as progress reports and invoices are submitted. Funding is determined by a number of different factors, one of the most important being the recommendation of the district from which the grant was submitted since districts are often times more familiar with existing issues and challenges within their jurisdiction.

These grants are funded by the State Highway Account however there are four other types of Transportation Planning Grants that have a different funding source. The two grants mentioned above are the most relevant for Environmental Justice. Several types of agencies and organizations are eligible for funding, including: Metropolitan Planning Organizations (MPOs), Regional Transportation Planning Agencies (RTPAs), Cities, Counties, Transit Agencies, and federally recognized Native American Tribal Governments, universities and Community Colleges, Community-Based Organizations, Non-Profit Organizations (501.C.3), and Public Entities. Table 2 summarizes monetary resources available, the purpose, applicant types, and available local monetary matches for each grant type.

Grant applicants must clearly demonstrate how their proposed planning project promotes one or more of the following statewide transportation planning goals:

- Smart or strategic land use and opportunities for affordable housing and jobs
- Congestion relief
- Efficient movement of people, goods, and services
- Safe and healthy communities
- Pedestrian, bicycle, and transit mobility and access

Table 2
Caltrans Transportation Planning Grants Purpose and Funding Requirements, FY 2008-2009

Grant	Fund Source	Purpose	Who May Apply	Local Match
Environmental Justice: Context-Sensitive Planning	State Highway Account **Budget** $3 million **Grant Cap** $250,000	Promote community involvement in planning to improve mobility, access, and safety while promoting economic opportunity, equity, environmental protection, and affordable housing for low-income, minority, and Native American communities.	The following may apply **directly or as a sub-recipient**: • Metropolitan Planning Organizations and Regional Transportation Planning Agencies • Cities and Counties • Transit Agencies • Native American Tribal Governments The following may apply only as a **sub-recipient**: • Universities and Community Colleges • Community-Based Organizations • Non-Profit Organizations (501.C.3) • Public Entities**	10% of the grant total (non-State and non-federal funds). Up to half of the 10% match can be in-kind*. Refer to sample match calculation on Page 11.
Community-Based Transportation Planning	State Highway Account **Budget** $3 million **Grant Cap** $300,000	Fund coordinated transportation and land use planning that promotes public engagement, livable communities, and a sustainable transportation system which includes mobility, access, and safety.		20% of grant total (non-State and non-federal funds). Up to half of the 20% match can be in-kind*. Refer to sample match calculation on Page 20.

Source: Caltrans Transportation Planning Grants. Retrieved March 1, 2008 from, http://www.dot.ca.gov/hq/tpp/grants.html.
Note:
* In-kind contribution can include a quantifiable amount of equipment, supplies, or other tangible resources, space, or staff time.
** Public entity includes the State, the Regents of the University of California, a county, city, district, public authority, public agency, and any other political subdivision or public corporation in the State. (Government Code Section 811.2)

- Public and stakeholder participation
- Measures to reduce air pollution and greenhouse gas emissions
- Conservation of energy and other natural resources
- Protection of sensitive habitat and farmland

Environmental Justice: Context-Sensitive Planning Grants. These grants are allocated to promote public involvement in diverse and under-served communities in planning for transportation projects. It further attempts to prevent or mitigate disproportionate, adverse impacts of plans and projects while improving mobility, access, equity, and quality of life for low-income, minority, and Native American populations.

Programs for which funds have been requested must be completed within 3 years. Since its inception, approximately $3 million have been awarded per year. In FY 2007-2008 approximately $3.02 million was awarded to support 21 different initiatives across the state. Table 3 below identifies some of the types of projects that have received funding in the past.

An evaluation committee comprised of approximately 30 people – from within Caltrans, other government agencies with similar programs such as the EPA, and legislators – award funding based on the proposed projects attempt to meet certain criteria as identified on the grant application, and the potential for the project to receive additional funding through capital programs.

Case Studies

Fruitvale Alive! Fruitvale District Community Transportation Plan. The City of Oakland and Unity Council received $170,100 during FY 2002-2003 to develop a master plan that would increase ridership while reducing traffic and pollution. The plan sought ways to engage the community by identifying community-oriented transportation strategies to solve long-standing transportation inequities in the district. Design elements were to identify the means by which to improve safety for pedestrians, bikes, and transit users while adopting traffic calming measures and the improvement of inadequate parking facilities in a predominately Hispanic, low-income, and transit-dependent community. The plan has been extremely successful in incorporating the expressed needs of area residents: a child care center has been sited within immediate proximity to the Bay Area Rapid Transit (BART) station, and the building of mixed-income housing, 114,000 sf of community facility space and office space for the Unity Council's headquarters. The success of this project has received much acclaim and is particularly significant since the neighborhoods around the BART station had long opposed the siting of the station in their community.

Table 3
Types of Projects Receiving Environmental Justice: Context-Sensitive Planning Grants

Social/Economic	Economic	Mobility	Agency Involvement	Aesthetic
• Identify/Involve under-represented groups • Improve socioeconomic analysis to identify emerging communities • Develop guidelines for EJ component of the General Plan • Bilingual services • Develop designs with community health/safety benefits	• Plan transportation improvements that support economic revitalization	• Improve access and safety for pedestrians/bicyclists for the low-income and minority communities • Promote application of intelligent transportation systems (ITS) • Assess goods movement, air quality, greenhouse gases, and energy efficiency and effects on EJ populations	• Coordination between public agencies and communities • Private Sector partnerships and foundation investment	• Community-based design and public art associated with transportation facilities and right of way.

Source: Caltrans Transportation Planning Grants. Retrieved March 1, 2008 from, http://www.dot.ca.gov/hq/tpp/grants.html.

Table 4
Types of Projects Receiving Community-Based Transportation Planning Grants

Social	Economic	Mobility	Aesthetic
• Context sensitive community development planning	• Long-term sustainable community/economic development growth studies or plans • Jobs and affordable housing proximity studies or plans	• Comprehensive mobility studies or plans • Safe, innovative, and complete pedestrian/bicycle/transit linkage studies or plans • Transit Oriented/Adjacent Development or "transit village" studies or plans	• Community design guideline planning • Context sensitive streetscapes or town center studies or plans

Source: Caltrans Transportation Planning Grants. Retrieved March 1, 2008 from, http://www.dot.ca.gov/hq/tpp/grants.html.

Traffic Calming and Safety Enhancements in the Hoopa Valley Indian Reservation. Prior to the 2002-2003 funding cycle, the Hoopa Valley Indian Reservation formed a partnership with the Local Government Commission with the impetus of involving tribal community and local stakeholders to address traffic, safety, and accessibility in addition to redevelopment opportunities. An extensive design charity process that included meetings, design fairs, and walking tours of the study area were conducted to introduce residents to the proposed project and create a central way in which ideas, concerns, and suggestions could be accumulated. The study area, which includes a ½-mile section of Highway 96, bisects Hoopa Valley Tribal lands and has fallen victim to a significant number of accidents over the past ten years due to inadequate sidewalks, turning lanes, and lighting. In previous town meetings these concerns had been voiced. Final recommendations for the project included crosswalk improvements, traffic calming, a gateway entrance to the town, a village and cultural center, and village grid. Caltrans received an award for the success of the project and it has been recognized as a model nationally for improving relations between state DOT's and tribal communities.

Community-Based Transportation Planning Grants. This grant was designed in part as a response to the growing challenges of sprawl, congestion, and air quality and has been used to foster collaborative relationships between residents and civic leaders and promote denser city cores. Projects must support livable/sustainable community concepts, with a transportation or mobility objective and promote community identity and quality of life. Every final product delivered under the Program is expected to be a documented study, plan, or concept that can be used by the applicant to further smart growth and a community's sustainability.

Project proposals should include conceptual-level plans or study activities that encourage community-based stakeholder collaboration and consensus building through active public engagement. Each proposal should display a transportation/land use benefit that will likely induce additional benefits. Competitive project proposals should describe how the project will be implemented.

The application and receipt of monies for the Community-Based Transportation Planning grants are similar to that of other Transportation Planning Grants. The committee reviewing grant applications is comprised of representatives from a number of different agencies that have a strong interest in community-based planning such as the EPA, HUD, FHWA as well as other Divisions within Caltrans. Both Caltrans district offices and headquarters review grant applications. Recommendations are made to the review committee that ultimately selects projects for funding. During FY 2007-2008, 13 grants were awarded ranging between $36,000 and $300,000. The case study below and Table 4 demonstrate some of the project types that have been funded through this program.

Case Study

Tulare County Redevelopment Agency (TCRA) and Local Government Commission (LGC) Culter and Orosi State Route 63 Design Charrette. This project organized a design charrette to improve the safety for a variety of modes at an intersection on State Route 63 intersecting two rural communities with high concentrations of Latino workers. Community-based organizations were contacted to promote the event to ensure that low-income and minority populations would attend. To attract participants, a festive evening with mariachis and free food and beverages was held. Focus group locations were carefully chosen to maximize participation from Latino residents; one event was held at the community hall of a multi-family housing project with many current and former farm workers. Events were conducted in both English and Spanish. Leaders of religious institutions were asked to make announcements about the event. Advisory committee members made individual phone calls to community/political leaders. Portable road signs were

placed along the road announcing the event and bilingual fliers were distributed to students, religious institutions, and community groups.

Benefits

For the Agency

- ***Demonstrated Good Faith*** effort to support healthy relationships between transportation planning and land uses on the local level.
- Caltrans District's recommendations weigh heavily in funding allocation

For the Community

- ***Public Involvement*** plays in integral role in both the award and use of grant funds.
- ***Context Sensitive Solutions*** ensure that outreach efforts reach all interested parties.
- ***Community considerations included*** as part of the larger decision making framework.

Why should NJDOT be interested?

The ***Transportation Planning Grants Program*** affords communities an opportunity to express their concerns and play an ***active role in achieving desired outcomes***. The allocation of funds through this program ***encourages bottom-up planning*** as opposed to top-down. Communities and the sponsor agency work together to design a plan most appropriately suited for the area. The program has encouraged a ***transparent planning process with its roots in public involvement*** and community interests. ***The success of each grant comes from the ability to mobilize the community.*** The adoption of a grants-type program targeted to benefit often overlooked low-income and minority populations would help these select communities design plans that support local development and redevelopment, create more livable communities by supporting transit-oriented development and improved accessibility for pedestrians and vehicles, and fit within the state's smart growth plans.

Contacts/Resources

Transportation Planning Grants Application, Fiscal Year 2007-2008 (includes contact information for each program type in each of the Caltrans District Offices)
http://www.dot.ca.gov/hq/tpp/grant_files/0809/grant_application_0809.doc

Title VI Program Annual Element Update Federal Fiscal Year 2001-2002
http://www.dot.ca.gov/hq/bep/title_vi/documents/2001-02_ANNL_REPT.doc

Caltrans Transportation Planning Grants
http://www.dot.ca.gov/hq/tpp/grants.html

The Unity Council, Fruitvale Village
http://www.unitycouncil.org/fruitvale/index.htm