National Community Impact Assessment Workshop Summary

Sponsored by

U. S. Department of Transportation
Federal Highway Administration
Office of Environment and Planning

Florida Department of Transportation
Environmental Management Office

Staffed by

Center for Urban Transportation Research
University of South Florida

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Overview

In 1996, the Federal Highway Administration (FHWA), at the request of the American Association of State Highway and Transportation Officials (AASHTO), began efforts to refocus transportation professionals and enhance their expertise on addressing community impact issues through the publication of a user-friendly primer, *Community Impact Assessment: A Quick Reference for Transportation*. This primer outlines the community impact assessment (CIA) process; highlights critical issues; identifies tools and sources; and heightens awareness of the impacts of proposed transportation actions on communities, neighborhoods, and people.

In an effort to continue this initiative, this CIA workshop was planned by a Research Design Team (See Appendix A.) composed primarily of metropolitan planning organization (MPO), State Department of Transportation (DOT), and FHWA practitioners with staff support from the Center for Urban Transportation Research (CUTR) at the University of South Florida. It was co-sponsored by Florida Department of Transportation (FDOT) and FHWA. The intent was to provide an interactive forum for the development of action plans that fully implement and operationalize the CIA primer, focusing on making CIA techniques standard-operating-procedures within the transportation planning and project-development processes. Participants were actively engaged in workshop activities – sharing their experiences, learning from their peers, and addressing the following issues:

- information needed by transportation decisionmakers;
- approaches being used to change "old" practices; and
- resources available to help in current CIA efforts.

The workshop summary follows the sequence of the workshop agenda that is included in Appendix B.

Workshop Objectives

The objectives of the workshop included exploring better ways to incorporate CIA techniques throughout the project planning and development processes. The workshop was designed to provide participants opportunities to discuss these techniques, in a step-by-step manner, as described in the primer. This was accomplished through plenary sessions, brief panel presentations, moderated question-and-answer periods, and facilitated breakout sessions.

The workshop sponsors (Florida DOT and FHWA) and the Research Design Team urged participants to use the sessions to raise questions, share organizational and first-hand experiences, and make the experience meaningful. Workshop attendees are listed in Appendix C. An overriding objective of the workshop was to gather recommendations from participants that could be incorporated into an "action plan" for future training, research, and other needs. A full account of the breakout sessions is in Appendix D. Recommendations also were solicited on an evaluation form that was included in the registration package (See Appendix E.). The evaluation results are proved as a separate chapter later in this report.

CIA Research Design Team Meeting

The CIA Research Design Team convened a meeting on September 17, 1998. The agenda and strategic plan resulting from that meeting are provided in a separate report. The National CIA Strategic Plan details the short- and long-term goals of the Design Team and the actions necessary to meet those goals. Included in the plan, as appendices, are recommendations from the *Community Impact Assessment: A Quick Reference for Transportation* evaluation; action items from the January 1998 meeting of the Design Team; and recommendations from the breakout sessions of the National Workshop.

Day 1: Opening Session

Welcome and CIA History

Buddy Cunill
Project Manager
Environmental Management Office
Florida Department of Transportation (FDOT)

Mr. Cunill, Transportation Policy Administrator for the FDOT Environmental Management Office, welcomed participants to Tampa, Florida, and the first national workshop on community impact assessment (CIA). He stated that the event marked the first time in the history of the National Environmental Policy Act (NEPA) that a national forum of State CIA practitioners, policymakers, and managers had been convened to discuss community, social, and human issues related to transportation planning.

The occasion, he stated, provided opportunities for learning and generating ideas for consideration by the Federal Highway Administration (FHWA) on how to proceed, nationally, with the CIA process. For state and metropolitan planning organization (MPO) participants, the workshop would help them better understand their programs, and help participants to focus on where and how to improve their agencies' programs and processes to better address community issues.

Mr. Cunill encouraged attendees to feel at home and fully participate in all elements of the workshop. He indicated that over the course of the workshop, participants would discuss the meaning of community impact issues in relation to three important phases of planning:

- planning at the local government level (in Florida, referred to as local government comprehensive planning);
- the transportation planning process for MPOs, which also includes transportation planning considerations for rural areas within MPO boundaries; and
- the FHWA NEPA process as defined by Federal regulation 23 CFR 771.

Participants were encouraged to share their thoughts and opinions about CIA so that information and recommendations could be developed and shared among the States and FHWA.

In 1994, the Federal Transit Administration (FTA) and FHWA issued their interim policy on public involvement. The thrust of that policy is to be creative in involving the public and to focus on those citizens who have traditionally been outside the decisionmaking process. The term "disenfranchised" is often used to describe nonparticipants; such as, low-income populations, minority populations, persons with disabilities, pedestrians, bicyclists, and transit-oriented populations. The message in the FTA-FHWA interim policy is, "Be creative and reach out and touch . . . Don't wait for citizens to come to you. You go to them."

In February 1994, Executive Order 12898, "Federal Actions to Address Environmental Justice in Minority Populations and Low-income Populations," was issued by President Clinton. In 1997, the United States Department of Transportation (USDOT) issued "Department of Transportation Order to Address Environmental Justice in Minority Populations and Low-Income Populations." The focus of both Orders is ensuring that minority and low-income populations are not affected by disproportionately high and adverse impacts of transportation policies, programs, and projects. While the focus is on disproportionate adverse impacts, the message is one of nondiscrimination in decisionmaking and involvement, a reiteration of the Civil Rights Act of 1964, and related statutes.

In 1996, the American Association of State Highway and Transportation Officials (AASHTO) expressed to FHWA a great interest in community impact assessment issues, with special concern that not enough was being done to help direct States on how to address community and social issues during the project planning and NEPA phases. In response, FHWA brought together eight States to help reemphasize the importance of community impact assessment in planning and NEPA. This group of States, working closely with FHWA, put together a process framework for assessing the impacts of transporta-

tion projects on communities. The framework stressed the importance of working closely with communities to "embrace community concerns," "minimize conflict," and help "solve community problems."

The result of that effort by FHWA, in response to AASHTO, was the creation of a primer or booklet entitled, "Community Impact Assessment: A Quick Reference for Transportation." Often referred to as the "Purple Book," this booklet has been frequently requested by State DOTs and MPOs since its publication in September 1996. The booklet emphasizes understanding and incorporating community values as part of the transportation decisionmaking process.

In 1997, FHWA conducted a national survey through the University of South Florida, Center for Urban Transportation Research (CUTR), to determine the effect of the"Purple Book" on MPOs and transportation organizations. Survey findings indicate that there is a national need to discuss this important booklet. Over the past 25-plus years since NEPA, the emphasis has been on natural and physical science issues. Little or no attention has been given to social, human, and community issues. Many of the respondents asked for greater direction on how to respond to community issues in their respective processes and programs.

FHWA, in response, co-sponsored this workshop with the Florida Department of Transportation (FDOT) to promote a National dialogue on community value issues and community impact assessment across the many phases of transportation planning and project development. Good, open dialogue is needed for community impacts and community value issues to be considered at all phases of transportation decisionmaking (planning, project development and environment (PD&E), design, maintenance, and construction). The workshop also was planned to address organizational concerns on bringing about internal change to promote greater involvement with communities and the numerous citizen groups in transportation decisionmaking.

C. Leroy Irwin
Manager
Environmental Management Office
Florida Department of Transportation (FDOT)

The idea to convene a national workshop on CIA has been "simmering" since 1995. Mr. Irwin believes in being proactive. "If you're proactive, you win. If you're reactive, you lose. That is the philosophy that the Department has tried to use in Florida."

Mr. Irwin recalled reading some of the early documents regarding environmental justice and being very frightened by the way they were written. He found nothing new in the documents, no new laws, or anything else. The question was whether the goals of environmental justice were being carried out in FDOT.

A multidisciplinary task team was assembled in Florida with assistance provided by Brenda C. Kragh, FHWA Social Science Analyst. The 30-person team was charged with assessing how FDOT addressed the multitude of laws related to environmental justice and community impacts. The meetings were, at times, contentious, with comments like "We don't need to do those things."

Mr. Irwin believes that we do need to do "those things." He pointed out that Florida is the third most populous State in the Union and is projected to surpass New York in the next 5 years. (The population is very diverse with probably more nationalities than any other State in the Nation. There are at least two languages spoken in the State.) The State is unable to keep up with its transportation needs. There is a very strong natural-environmental contingency. Mr. Irwin stated that the question of people versus other elements of the environment is an ongoing debate in Florida.

He raised the questions, "How is all of this balanced? How is the natural environment balanced against the social environment?" The wetlands' agencies require permits to proceed, so wetlands receive a lot of attention, he noted. There are no permits for social impact analysis. Public acceptance or controversy is relied on to permit or not permit the project to proceed. Quite often meetings become contentious because the public knows the project's impacts.

The task team developed a report containing many initiatives for FDOT. The report was presented to FDOT senior management who endorsed it. Mr. Irwin was charged with implementing the recommendations. The recommendations, however, posed several problems. Mr. Irwin listed a few. "How are the recommendations to be implemented when many extend beyond the FDOT to the MPO and the local level?" Florida has a very strong local-government planning process, he noted, "Who was to be responsible in FDOT?"

Historically, he said, there have been little fences – one office takes the project so far. When that office is done, the project is thrown over the fence to the next office. FDOT developed the planning and environmental management process (PLEMO) to move the environmental issues – natural and social – back into the planning process. The challenge ahead, he stated, is moving NEPA into the planning process. He pointed out to participants, "NEPA is not synonymous with environmental impact statement."

Social issues are part of NEPA. FDOT has hired the Center for Urban Transportation Research (CUTR) to compile a user's handbook on social impact analysis. This handbook will answer questions regarding social impact analysis information, where information is available, and how to process and use it.

Concurrent with these activities, FDOT has had a public-involvement design team develop a public-involvement training course and related materials. Mr. Irwin stated that the goal now is to link all public involvement done during systems-planning by the MPOs as well as that done by FDOT during the project-development process to have planned, useful, and timely public involvement beginning at the MPO stage and continuing through construction and maintenance.

Mr. Irwin also advised participants on Florida's Citizen's Awareness Program (CAP), which informs citizens of construction locations. Representatives from the program office meet with citizens and businesses ***before*** the project starts. These activities start at the beginning of the plan and are continuous. In this way, FDOT can play a positive, community role.

FDOT also is trying to build partnerships. For example, he stated, when issues come up in public meetings that are beyond FDOT's jurisdiction, FDOT acts as a facilitator, making sure that the responsible agency, such as the Florida Department of Community Affairs, is aware of the problem. FDOT is part of the community.

The Department does not always know the community. Using Tampa as an example, Mr. Irwin stated that 10 blocks north of downtown is totally different from 10 blocks south. One of the few national-

landmark historic districts is located in Tampa, Ybor City. Interstate 275 runs through its middle. One of the largest public involvement, community-impact programs of the Department took place on the I-275 project. The project went through the national, landmark historic district and three other historic districts. The largest community impact and Section 106 consultations in the Nation were held on that project.

The Department went into the communities and talked with people. The City of Tampa wanted urban revitalization, but there was the historical part. How do you meld urban revitalization and historic preservation with building a huge interstate system? Through the community-involvement process, a set of urban-development guidelines was developed that integrated the project into the communities. Those urban-development guidelines came from the communities.

Mr. Irwin welcomed attendees to Florida and encouraged an informal, casual setting by advising those with ties to remove them during the break; scissors would be used on any remaining ties.

Eugene W. Cleckley
Chief
Environmental Operations Division
Office of Environment and Planning
Federal Highway Administration (FHWA)

Mr. Cleckley, following on comments of Messrs. Cunill and Irwin, provided a national perspective on the renewed emphasis in assessing community impacts. The more recent Federal initiative was traced to a 1993 Raleigh, North Carolina, meeting. The event signaled the need for behavior modification among practitioners in regard to consideration of social impacts in transportation planning and project development.

In 1995, at a meeting in Phoenix of the AASHTO Standing Committee on the Environment, committee members requested assistance from FHWA in addressing social or community impacts. FHWA sought funds to develop the "Purple Book." Research funds also were secured to evaluate the use of the "Purple Book" and related techniques. The goal is to have practical research to better tie community issues to the transportation decisionmaking process. This required introspection at several levels – professional, organizational, and personal – and personal action.

Mr. Cleckley also provided an historic look at organizational change over the years and how FHWA and its implementation of NEPA evolved. NEPA, he stated, was once viewed as compliance – a disjointed, standalone, checkoff or barrier – a hurdle to be jumped. There were location as well as design public hearings. These have since been combined, along with other efforts at streamlining the environmental process. The environment is now considered an essential part of transportation decisionmaking. The next step is giving human values and needs equal consideration to that given the natural environment in the decisionmaking process, fully integrating the human environment into transportation planning and project development.

AASHTO also is pursuing "context sensitive design" approaches, as evidenced by co-sponsoring the May 1998 "Thinking Beyond the Pavement" conference with FHWA and Maryland DOT. The idea is to mainstream context sensitive design into the MPO and State DOT transportation decisionmaking; sensitizing planners and designers to community needs, plans, impacts, and desires – the "context." There are five national pilot projects being pursued to this end. The State DOTs involved include Connecticut, Kentucky, Maryland, Minnesota, and Utah.

Session I-1: Defining the Project: Scope and Need

Moderators:

Robert Laravie
Regional Environmental Manager
New York State Department of Transportation

Judy Lindsey-Foster
NEPA, Environmental Studies, and Permits Supervisor
Maine Department of Transportation

How can you develop a purpose and need in the planning process when mostly addressing a long list of proposed projects? Public involvement is minimal at this stage. Without the major investment study (MIS) process, it is even more difficult to get the public involved early to get a "good" purpose and need.

Don West
Division Administrator
FHWA Connecticut Division

Purpose and Need

John Mettille, Jr.
Administration Branch Manager
Kentucky Transportation Cabinet
Department of Highways

Mr. Mettille challenged participants to rethink their organizations and their ways of doing business. He stated that organizations and practitioners needed to "get out of the box!" Although he does not view himself as a "Purpose and Need" expert, his experience indicates that the transportation community must change its way of doing business.

Mr. Mettille views purpose and need as a project's foundation. He stated there are seven factors that drive projects – capacity, safety, legislative mandate, economic development, modal efficiency, system linkage, and roadway deficiencies. Transportation planners traditionally lean more toward an integrated approach. This created safety issues and a focus on the natural environment because it seemed easy to develop quantifiable measures. Social issues, he pointed out, tend to be qualitative. In the 1990s, the public began holding agencies accountable. The State DOTs, from his perspective, traditionally have NOT been good listeners; they have not reflected the public's desires when building projects. More public input and involvement are needed, in his opinion. Purpose and need should be communicated to the public in terms understandable by the public. The traditional, "old" line was "reducing public opposition." The public now is viewed as the planner's customer.

In later comments Mr. Mettille added, as highway departments, practitioners are proposing new products for customers to use. Any good business would conduct market research while developing a new product. The business would identify customers, and the customers' expectations and needs for the product. For example, "What will be the customers' acceptance of the 'concept?'" By doing market analysis, the business reduces its risk of the product not being accepted by its potential customers.

Mr. Mettille asked the questions, "WHY CAN'T TRANSPORTATION DEPARTMENTS WORK MORE LIKE BUSINESSES? Shouldn't transportation departments conduct market analyses [to know what their customers want]? Is this being too simplistic about the process?"

The Kentucky Transportation Cabinet is using community advisory committees in three pilots and has developed partnering agreements with other agencies. All the partnering agencies sign the mission statement for each project. This approach, stated Mr. Mettille, allowed for a 7-month finding of no significant impact (FONSI) which usually takes 18 months.

He also mentioned a project involving two bridges where the purpose and need statement was an 80-page document – not concise! The documentation showed that there was need for an extensive public-involvement process. In summary, Mr. Mettille said that the public, design staff, and others need to work as a team.

Developing Project Alternatives

Gerald Larson
Environmental Development Unit Chief
Minnesota Department of Transportation

Mr. Larson echoed the earlier theme of "rethinking the way business is done." In developing project alternatives, he stated it is necessary to open the process to communities. To do this, there must be a change in the

DOT's attitude. Development of project alternatives should be a collaborative process involving the community, other units of the practitioner's organization, and other external organizations. Throughout the process, opportunities to partner, develop memoranda of understanding (MOUs), and team with other stakeholders should be sought.

Mr. Larson noted that many of the issues regarding the natural environment that arise during transportation planning and project development are social issues. Practitioners look at the natural environment, but often fail to consider humans within the context. He used an example of a project proposed to add one lane, stating the decision had been made with no public involvement or discussion of alternatives.

Mr. Larson provided a case example that involved the community of Rockville and Trunk Highway 23, a diagonal highway in Minnesota. The highway runs through a number of smaller communities, yet traffic on the facility was building, creating traffic congestion and conflicts.

The development of project alternatives began in 1992. The environmental impact statement (EIS) was not issued until the summer of 1998. The public- and agency-involvement program was designed to invest time at the beginning of the project. The EIS contains almost six pages documenting the public-involvement process. The development of the alternatives was genuinely collaborative and interactive with the community. The district project managers undertook a "visioning" process with the community of Rockville in which everyone had an opportunity to discuss community goals and values and the role of the facility in fulfilling that vision.

Although it took a lot of time, often the same amount of time is spent on the back end of a project. The Rockville visioning process may not have saved time, but the alternatives that were developed are thought to be most reflective of the community impact assessment process in Minnesota.

A key point of Mr. Larson's presentation was that sequential passing of projects needs to stop. A more collaborative, interactive approach should be used. This includes, he stated, not just disclosure of the project to the public, but getting the public to help define the problems and figure out solutions. He concluded that time can be spent up front or on the back end, but the time spent on the front end is more conducive to consensus.

Issue Identification

Susan Fox
Landuse, Secondary Effects, GIS Specialist
Wisconsin Department of Transportation (WSDOT)

Ms. Fox provided three case examples to illustrate "Issue Identification." The first, La Crosse North-South Transportation Corridor Study, involved an environmental impact statement (EIS). La Crosse is an urbanized area in southwestern Wisconsin. A strategy team was formed to help identify issues related to the project. Traditional public information techniques were used. This approach, however, did not involve the "important publics." Focus groups were then used to involve the "uninvolved." Neighborhood coalitions also were formed. Later, a Livable Neighborhoods organization was formed from this process. The public hearing, blending open house and traditional methods, drew 240 citizens. The comments received indicated a 50-50 split, in "support" or "opposed" to the project.

The final EIS and record of decision (ROD) will be completed in 1998. The alternative supported by the business community was the selected alternative. (This alternative included 4-lane capacity expansion roadway that would also impact a marsh area that was very much part of the community. The Department of Natural Resources also expressed its concern regarding the marsh.) A decision has been made by the community to have a referendum on the issue. The Livable Neighborhoods organization continues its advocacy. The result will decide the transportation project's fate.

What was learned? While there was a strategic team that represented several groups, the people that the groups represented did not have an opportunity to participate until late in project development. The Livable Neighborhoods group was formed because of concerns about the effect of the project on their neighborhoods. A consultant on the project stated that she realized that several different "publics" were expected. The more formal public information meetings, however, did not always involve everyone. About 30 focus groups were held. By using focus groups, nontraditional participants were brought into the process and galvanized the opposition to the project. It was a surprise to the highway district office staff that anyone would be opposed to a capacity expansion project. Their focus had been on automobile safety. Pedestrian and bicycle traffic had not been considered an issue.

Many of these issues came out at the end of the EIS process. The NEPA process continues on this project. Several of the neighborhoods are now working on

neighborhood plans. Whether its planning or engineering, one positive outcome of the process was the City of Lacrosse is beginning to look at itself critically regarding planning for its future. The alternative selection became a big issue in the mayoral race in April. A binding referendum regarding the project was placed on the November 1998 ballot. Although the project's fate will be decided by referendum, several techniques were used to identify the community's issues.

The second case example was a project that involved children. A partnership between schools, WSDOT, and the City of Madison was established. Allied Drive, in Madison, travels through a minority, low-income community. Proposed changes to Allied Drive raised several issues in this community. The community is somewhat isolated. Children frequently crossed the facility to get back and forth from their homes to the middle and elementary schools. A 1-day charette was held at the middle school that brought out the alternative of bussing to a number of schools and other changes. Although 80 percent did not have transportation, 50 students developed a curriculum over a 5-week period. The students formed problem statements, used radar guns to gather information, and submitted their findings and recommendations to the DOT and the local school board. The City of Madison also conducted interviews. The recommendations included timing traffic signals so pedestrians could cross Allied Drive safely, and providing bus pullouts at the schools. The bottom line was the public, even children, can effectively get involved in transportation decisionmaking.

A final example given by Ms. Fox involved U.S. Highway 12 that connects Middleton to Sauk City. A rural capacity expansion project along this corridor was proposed. A formal scoping meeting was held in May 1992. The U.S. Department of Interior raised issues of project segmentation because of two other U.S. Highway 12 projects in July 1994. FHWA determined that segmentation was not an issue in January 1995. A draft environmental impact statement (EIS) was signed by FHWA in April 1995. In that same month, the Environmental Protection Agency (EPA) raised the issue of adequacy of secondary impact analysis. The comment period on the draft EIS was extended to January 1996.

This project taught the Department that other agencies may be stakeholders in the proposed transportation action. Early involvement or partnering may help in identifying issues. Early identification of issues may help streamline the process.

Since many decisionmakers, e.g., some engineers, tend to react more to required permitting processes, such as those related to construction permits, Section 404, among others, why not develop a similar permit process? Not necessarily under NEPA, but preferably parallel, related to social impact considerations, e.g., community cohesion, access to community facilities, etc. This could strengthen community impact considerations.

Roberto Velez
Environmental Studies Office
Puerto Rico Highway and
Transportation Authority Administrator

Screening

Reed Soper
NEPA Specialist
Utah Department of Transportation

Screening is the process whereby the essential information and data needed for the community profile is identified. Practitioners need to know the people and the issues of the area. (The practitioner's initial understanding of issues may vary significantly from the community's.) Primary issues may include safety for a nonhighway user, aesthetics, multimodal accommodations, and neighborhood boundaries. Mr. Soper provided three examples.

- State Road (SR) 165, an existing two-lane roadway was widened to a four-lane facility with shoulders and median. SR-165 passes through Nibley, Utah, a northern rural town, population roughly 1,200. The community's main concerns were maintaining a small-town atmosphere and roadside safety. The public desired to have speed limits on the rebuilt facility stay at 45 miles per hour (mph).
- Legacy Parkway was a new facility proposed north of Salt Lake City, Utah. Local community leaders preferred to have the facility placed as far west as possible. Their wishes, however, created a conflict due to greater wetland impacts and Section 404(b)(1) of the Clean Water Act guidelines.
- The SR-248 project involved facility improvement leading into the resort destination community of Park City, Utah. Community leaders preferred to have as little visual impacts as possible. The community also wanted "traffic calming" measures put in place; e. g., median planter boxes, to maintain the "feel" of the roadway.

Finally, community analysts in Utah must be aware of concerns unique to Utah. The State is very ethnically homogenous. Some identifiable minority communities exist, however, in urban areas. Issues often reach across ethnic and religious boundaries, and operate on a community level. Significant social boundaries exist with groups within the State that may not be obtainable from the usual sources. For example, the Mormon church ecclesiastical boundaries, called "wards," exist across the landscape. Further, in defining community, transportation actions that may involve the Mormon Tabernacle on Central Square in Salt Lake City might be addressed by an international community.

Session I-2: Developing a Community Profile and Collecting Data

Moderators:

Orlando Jamandre
Environmental Affairs Division
Texas Department of Transportation

Greg King
History, Architecture, and
Community Studies Branch Chief
California Department of Transportation

The Community Profile

James Klinck
Environmental Specialist
Washington State Department of Transportation

What is the Community Profile?

Mr. Klinck defined the community profile as a model for understanding the history, challenges, opportunities, and expected future for an area. A successful community profile involves the members of the community in understanding themselves, empowering them to take part in the direction of their communities. He also noted that communities constantly change, so a profile is only a snapshot in time. Because changes occur, the profile needs to be updated periodically and checked for new or different impacts.

Public involvement, he added, as an element in developing a community profile, is one of the hallmarks of NEPA. Involving the community and recognizing residents' knowledge in developing the community profile is essential for an effective community impact assessment.

What Should the Community Profile Include?

The community profile should include a definition/identification of the community. This may vary project-by-project. For example, a community may be place-based, having a geographic location. It also can be based on a cultural commonality, such as faith, ethnicity, or socio-economic conditions.

The profile should contain the history of the community. Descriptors might include what the community looked like in the past. where the forests were located, the streams, and the meadows. That is, those natural and human structures that historically are significant to the community.

In addition, the profile could detail the characteristics of the community. These could include:

- income levels;
- population growth and demographics;
- special populations;
- economic base;
- location of businesses, residences, and activity areas;
- community values;
- community focal points (e.g., churches, community centers);
- recreational areas;
- planned development;
- local land-use map and plan; and
- available housing.

Why Do a Community Profile?

The community profile, developed with the help and cooperation of the community, helps decisionmakers understand the community's needs and values ***before*** a transportation facility is designed. The community can provide valuable expertise in developing alternative transportation solutions. The community profile helps to establish the relationship and mutual understanding required in effective decisionmaking.

How to Do a Community Profile

The use of graphics helps to transcend language barriers. Color visuals may ease communication problems between different backgrounds, languages, cultures, educational levels, and ethnic groups. Geographic

information system (GIS) layers may provide a valuable and easily understood way to view the affected environment of the community.

Community Goals and Values

Blanche S. Sproul
Environmental Policy Program Manager
South Carolina Department of Transportation

Transportation decisionmaking, stated Ms. Sproul, has been conducted as if people were the most expendable part of the environment; they should get equal consideration. Community goals and values should be determined early. In the planning stage, it is necessary to identify all affected communities. Ms. Sproul suggested that the leadership of each community should also be identified early in the process. Community leaders define goals and values that can be incorporated into project planning, to the extent possible. By keeping the leadership up to date on the status of the project, information can be broadcast to the community.

In the environmental stage, use various methods to survey community residents, including public meetings, and getting out, knocking on doors. Provide examples of preliminary plans for the community. Discuss the impacts and mitigation strategies.

Public involvement has uses throughout planning and project development. Practitioners also should be prepared to listen to and review input. Comments can be incorporated into the final design. If necessary to mitigate impacts, develop strategies that mesh with community goals. (Public involvement also can be used to identify mitigation strategies.) She stated that if people are involved, they appear to accept adversity better.

Ms. Sproul had one critique of the CIA process or, rather, a critique of how some analysts use the process. In some instances, statistics are used in lieu of other sources of information. Statistics, she stated, are not the total picture. They may provide an overall community stratum, but fail to identify grassroots opinions. The community analyst needs to make contact with individual residents. This may mean knocking on doors and ***asking*** residents their opinions.

Upper-level management **must** support community impact assessment. This may include attendance at community meetings. The attendance of upper management at meetings sends a message throughout the Department and to the community of a willingness to listen, incorporate community goals, and provide mitigation, as needed.

Is it relevant to develop a profile of the roadway user? To address their needs? So often the issue is seen as the poor community versus The Big Bad State Highway Administration. But is it actually people versus people (and not always as simplistic as the Haves versus the Have-Nots)?

Unsigned

Data Sources and Primary Uses

Gary Toth
Bureau of Project Scope Development Manager
New Jersey Department of Transportation

Mr. Toth stated that data collection generally begins with census information which is used to develop community profiles and gather general demographic information. This is generally the case with an EIS, smaller-scale projects, "scoping," and fixes to existing systems. In general, community analysts may no longer get into deeper levels of science. His presentation focused on the use of qualitative data.

It is important, however, for community analysts to go in early and start working with the community to identify their needs. This is a layering process that does not involve politicians first. It is possible for municipal engineers to work with soft data.

On one $75 million project, there was major community opposition. The planners were told the project could not be done. The New Jersey Department of Transportation (NJDOT) hired a community relations specialist to conduct advanced data collection. The nature of the data, qualitative, "soft stuff," consisted primarily of key [person or] stakeholder interviews.

> *A key-person interview is a one-on-one talk about a specific topic or issue with an individual recognized or designated as a community leader. A key person might be an opinion leader, a spokesperson for the community, an elected official, the head of an organization, or a representative of local media.*
>
> *The main purpose [of the interviews] is to obtain information. While basic information is provided to set the stage for discussion, interviews are designed primarily to elicit the interviewee's reactions and suggestions. The goal is to learn about the person's views and constituency, and*

his/her perceptions of the agency, the planning or development process, and the political setting in which work is being done.
(Howard/Stein-Hudson Associates and Parsons Brinckerhoff Quade and Douglas 1996:59)

Each person interviewed was also asked to provide the names of two other persons considered to be movers and shakers in the community. The consultant advised NJDOT on building trust and helped to identify key issues and community values. While most NJDOT jobs are not at this level of funding, important lessons were learned. Most organizations usually send out an engineer who might not be as comfortable with qualitative data.

Keynote Address

> "The problems we have created cannot be solved by the same thinking that created them."
>
> ***Albert Einstein***

Introduction

Gene Cleckley

Mr. Cleckley advised that Thomas Warne, Executive Director, Utah Department of Transportation (UDOT), had come to deliver a message and that this was a fortunate opportunity. Mr. Cleckley discussed Mr. Warne's participation in the "Thinking Beyond the Pavement" workshop in Maryland, dealing with the *Flexibility in Highway Design* book, a.k.a. the "Flexibility Book". He also mentioned the Transportation Research Board (TRB) summer meeting in Utah and Mr. Warne's goal to improve decisionmaking at the UDOT. The conference theme related to integrating highways into the communities. Mr. Warne is still articulating that message in Utah. He has agreed to have an environmental leadership seminar. What that means is that his executives will be talking about how UDOT will sensitize itself to protecting the environment and assuring neighborhood and community preservation.

Mr. Cleckley and Mr. Warne also will serve on a steering committee for the context-sensitive design pilots. Utah will be a pilot State.

Mr. Cleckley told the audience that Mr. Warne "grew up" in the highway community, primarily on the design side, moving projects along. A lot of his work took place in Arizona. Mr. Warne was described as an atypical DOT Director, in a positive context. In addition, he is chair of the AASHTO Standing Committee on Highways. The committee influences what goes on in transportation agencies.

Mr. Warne was described as a change agent, believing in behavior modification. In addition to having a passion for these issues, he is also a champion. He believes in establishing partnerships. Lastly, as a leader, he believes in accountability.

Remarks

Thomas R. Warne
Executive Director
Utah Department of Transportation (UDOT)

Mr. Warne thanked Mr. Cleckley for the introduction and expressed his pleasure in having the opportunity to talk about something that he believes is really important to the industry.

He stated it is not often that we get to crossroads like where we are today; but when we start talking about communities, assessing impacts, and responding to those impacts, we are truly at a crossroads. We need to do some things to change our course as agencies.

Mr. Warne provided copies of an untraditionally-folded brochure of Utah's I-15 project to illustrate a point. He asked how many participants were engineers. (The number was about half.) UDOT produced the brochure for a $1.5-billion, design-build project that is about 36-percent complete. The Department is very pleased with the progress and the brochure was produced to **advertise** the project. Mr. Warne asked the engineers in the audience if they were bothered by the shape of the brochure.

Mr. Warne said it seemed to drive engineers crazy to look at things in a different way. He stated, "I am an engineer – so I can relate to that. It just bugs the heck out of ya, 'cause it just isn't folded right."

The challenge today is, Mr. Warne said, as stated in the brochure, "the secret to rebuilding I-15 is straightening out whatever unfolds." That statement is true on virtually every project. The secret to rebuilding a road in the community, is straightening out whatever unfolds. Then there is a nice, very attractive, rectangular thing that makes all the engineers feel good. (He unfolded the brochure.)

Change is part of what is being done. Doing things in a different way, does not mean yesterday's solutions were wrong. The impression is that somehow things were done wrong in the past. But there is a different set of problems today and the solutions from yesterday will not work on today's problems.

The comments that Mr. Warne heard during the morning sessions reminded him of a particular commission meeting in Utah. The transportation commission was meeting in Bryce Canyon, a beautiful part of southern Utah. There was a presentation from one of the local communities, Tropic, 8 miles south of Henryville and 30 miles from Escalante. At the meeting, Hal Clyde, a commissioner and former contractor, told a story. Mr. Clyde's father helped build State Route 12 to

Tropic. While the road was being built, a cowboy sat on his horse, watching day in and day out. Finally, the foreman, who happened to be Hal's father, talked to the cowboy.

The cowboy asked, "What are you doing?" And our commissioner's father said, "Well, we are building the road to Tropic." The cowboy sat hunched over his horse. He said, "Heck, we don't need a road to Tropic, we need a road out of Tropic."

Mr. Warne thought this was an apt assessment of the way transportation planning and project development is done in many instances. Tropic is given what the analysts think the town needs, but that is not what the people of Tropic really want or need. In this case, they need a road out of Tropic.

Using a slide of East River Drive in Manhattan, Mr. Warne pointed out the importance of the thorough fare as people travel in and around New York City. He stated that context-sensitive design has been done as part of transportation projects, but it has not been an over whelming initiative within the agencies. East River Drive is thought to be one of the early examples. According to news articles about the project, the public works director visited each home along the river and personally looked at where to replant trees. As he went along, he worked with the people in the community.

When looking at East River Drive and thinking of context-sensitive design, many practitioners act as if it is a new subject. There have been inspirational projects, but context-sensitive design does not happen in every project.

Mr. Warne spent 12 years in Arizona as a project engineer. Project work included building Interstate 10 through downtown Phoenix, through the Kennlework and Roosevelt historic districts. One lesson learned in work ing with the community was that residents had a signifi cant affinity for palm trees. Every palm tree in the path of the freeway was removed, put into a nursery, watered, and kept alive for several years.

It became Tom Warne's responsibility, as the project engineer, to replant the trees with the construction crews in front of people's homes. A significant part of the lesson learned, while it was very popular to take the trees out and save them, they were not numbered or otherwise identifiable. The same tree was not replanted in the spot it was taken from. The Department was criticized because fat, short trees were planted where there had been tall, skinny ones before and so forth. So even the best efforts, sometimes, result in some interesting reactions from the public.

FDR (East River) Drive, New York City, October 1997.

The interstate system was started in the 1950s. As the building of the interstate evolved, the focus primarily was on building efficient, safe roads; mobility was the order of the day. Mr. Warne stated the United States has done an incredible job of building the best interstate system in the world, and Americans should be very proud. The order of the day has been mobility, efficiency, and safety. Often the notion of context-sensitive design, however, was not taken into account. He stated that it was easy to build through poorer neighborhoods. Offering the statement not as a justification, but a suggestion that in some places it was easier. It also was easier to build through farm land. The easy route was taken on many things that perhaps were not in the best interest of the community as a whole. Often, not only did residential neighborhoods suffer, but agricultural activity, historic buildings, and other things adjacent to these facilities suffered in the process.

The primary focus of the 1937 AASHTO "Green Book" was safety. During the course of development of the "Green Book," however, it has become an accepted guideline. The industry mentality is that a project is not acceptable if it does not follow the "Green Book." In fact, the "Green Book" provides guidelines to help design roads that are safe and efficient, but they are not standards that are inviolate. They did not come down from the mountain with the Ten Commandments. The "Green Book" is not printed on any tablets. It is printed by AASHTO.

The "Green Book" seems to be held up for more than it is. Mr. Warne stated that it certainly is an important guideline, but it is viewed by many, in error, to be a standard. He pointed out that if all projects follow the "Green Book" – letter for letter, word for word – there is no need for engineers.

The U.S. is experiencing what Mr. Warne characterized as an "asphalt rebellion." Communities are

asking the Departments of Transportation to do something besides think about pavement. Hence, the "Thinking Beyond the Pavement" workshop. The mission was to get the engineers and the others who are involved in the process of delivering a product to think about something besides the pavement's surface. The impetuses for this are the 1991 Intermodal Surface Transportation Efficiency Act (ISTEA) and the 1995 National Highway Designation Act. Both give very strong encouragement and direction to USDOT, the Federal Highway Administration, and to practitioners, to do something about addressing other values within communities.

On the one side, safety, mobility, efficiency, and uniformity, are the words of the day out of the "Green Book." On the other side, there are cultural values, concerns about environmental issues, and community values. What is sought is a balance through the planning, design, engineering, and the construction processes. Mr. Warne stated that there should be concern with safety and mobility, both very important issues. But those issues cannot be addressed to the complete abandonment of other issues. The balance works the other way, too. Cultural and environmental issues cannot be addressed at the exclusion of other mobility and safety issues.

The "Thinking Beyond the Pavement" workshop was held in May 1998 and gathered more than 300 people from all walks of the industry. It was put on by a steering committee, comprising bicycle planners, regulatory interests, safety, scenic, historic preservation, and other groups. They came together to try to launch the effort to change the way of doing business. Thinking beyond the process. The Departments, according to Mr. Warne, go through a process. As long as there is a public hearing, 1,000 mailings, and allowance for the exact number of days for the public comment, everyone feels good about the process and thinks the job is done. What is now being advocated is more than just a process. It is about the product and about the ultimate decisions out of that process. But if process is not done right, if there is not more than the basic "we gotta fulfill this requirement" mentality, the product that is needed will not be developed.

Mr. Warne stated that a lot of "Thinking Beyond the Pavement" is changing the process, arriving at decisions that go from the first notion of a project, to the concept, engineering, design, and finally to construction and the delivery of the product to the public.

Mr. Warne referenced FHWA's *Flexibility in Highway Design*, a.k.a. "Flexibility Book," advising attendees to read it. He said it was one of those publications that must be read because it gives a good sense of where the industry is going. A lot of engineers, he said, will say "We have the 'Green Book', we don't need this book." He challenged anyone in the business to find something that is somehow contrary to anything in the "Green Book." The "Flexibility Book" advocates the goals of the Community Impact Assessment (CIA) Workshop – going through and looking at the community and looking at the projects. He found great examples of projects in the "Flexibility Book."


Construction crew removing trees in Phoenix, Arizona.

The engineering mission, stated Mr. Warne, can be fulfilled in such a way that takes into account the impacts of the proposed action on the community and the context of the community. FHWA has done a lot to promote community impact assessment and context-sensitive design.

UDOT conducted a survey of all the State DOTs to determine how others deal with context-sensitive design. The results were a mixed bag. Some States, it seemed, were doing virtually nothing or maybe that was just the thinking of whoever filled out the survey. Mr. Warne suggested that context-sensitive design is not getting broad coverage in agencies. There are a few radicals, he said, who are doing it already and workshop participants were probably in that group. The survey responses indicated that some landscape architects are making an effort toward context-sensitive design. Also, a few designers and environmentalists, but largely, it is not a very strong initiative within the agencies. The agencies speak of public involvement, but ultimately choices regarding these alternatives and context-sensitive design issues are left to designers. A lot of agencies have policies that essentially prohibit or discourage the efforts.

Attention was drawn to some of the documents available for those trying to launch a particular initiative in their States. These included Minnesota's *Aesthetic Designs for Bridge Design* and *3-D Visualization*. Caltrans's

document used in their Aesthetic Training Workshops was another example. Arizona DOT's *Landscape Value Analysis Report*, and Washington DOT's *Roadside Classification Plan* also were mentioned.

What was once called "design excellence," is now context-sensitive design. Mr. Warne stated that the concept goes way beyond hardcore engineering. It starts with the very idea of having a project and what is needed to deliver an excellent product. The term, context-sensitive design, is the phraseology used to carry the initiative forward. It speaks to the balance between safety, mobility, and uniformity; ***and*** the environment, cultural values, and other community values. It speaks to that balance throughout the process.

As part of the context-sensitive design initiative, training is being developed. A context-sensitive design steering committee met in early September 1998 in Washington, DC. There are five pilot States; Connecticut, Kentucky, Maryland, Minnesota, and Utah. The group is focused on having a training product by Spring 1999. The training will address topics such as public involvement. Public involvement should be accepted as a process that helps provide a better product.

There are a few projects, he stated, where there is no problem getting people to public hearings – the really exciting projects where there is a lot of public interest. In Utah, at one particular project hearing there were about 30 UDOT and various consultant types. Five citizens showed up – a six-to-one ratio. When there is that type of response, the process needs to be fixed.

One of the challenges is to get people involved and not just before the project begins. The public involvement process, he said, goes on through the life of the project. On one of the segments on I-15, the contractor had a barbeque with one of the neighborhoods. It brought together all the citizens and UDOT folks – sitting at picnic tables eating hotdogs. That simple process did more to build goodwill than anything else.

One of the other things that Mr. Warne said is needed is research. Bob Skinner at the Transportation Research Board (TRB), is part of the context-sensitive design committee. There is a lot of research on the hard sciences, but there is not a lot of research on the soft issues. One research question would be to ask if more time is spent on the tail end of projects when people are not involved in the process at the beginning? Mr. Warne stated that the industry would be embarrassed by how much time is spent on public involvement at the back end of the projects.

Mr. Warne chairs the Subcommittee on Design of the AASHTO Standing Committee on Highways. He said that

Palm trees replanted in Phoenix.

not a lot of tears had been shed over the "Flexibility Book" by the Design Subcommittee. Ken Warren, Committee on Highways Chair and Mississippi DOT Director, however, is promoting the document throughout the national organization, as an important tool. Mr. Warren's Committee is going to write a bridging document between the "Green Book" and the "Flexibility Book" that addresses three or four specific issues relating to liability, safety, and other issues.

Another issue Mr. Warne wants to see addressed is educational needs. He asked if any participants had taken a class on community impact assessment in college. Two participants raised their hands, stating they had taken classes at the State University of New York in Syracuse. Mr. Warne stated they were the first two that had ever raised their hands. (He had asked the question several times at other events.) Another participant stated that she took a class in community design and development, where the *Community Impact Assessment: A Quick Reference for Transportation*, a.k.a. the "CIA Book" was used. She said that the professor said the process was an excellent one, similar to that used in the real world.

The challenge, however, according to Mr. Warne, is that most engineers have no exposure to the CIA process. Employees are coming into agencies without that background. They have had their one requisite highway design class and then they are hired. They are put through whatever training programs are available, but they have not had any background or foundation in the subject. One of the things that he believes is needed is to provide the "Thinking Beyond the Pavement" training for new and current engineers, designers, and planners.

More work with the academic community and a better understanding of their role in educating students on CIA is needed. He attended Brigham Young University 25 years ago where he said the same curriculum is being offered today. To add a class like CIA to the curriculum,

he mused, may be tough. Maybe the highway design class only needs modifying. Either way, he stated, there is a need to get CIA into the academic world.

Other strategies by AASHTO include incorporating the principles of "Thinking Beyond the Pavement" into the organization's strategic plan. This idea will be presented and adopted at the AASHTO annual meeting.

If there is one statement that captures the essence of what is to be accomplished, Mr. Warne believes, it is a statement by Parker Williams. (See the box on page 23.) Attendees were advised to take the statement and use it as the vision of what is to be accomplished. It is more than just building a road, it is more than just having uniform standards, it is more than following the "Green Book" guidelines. It is balancing all of the issues out there – safety, mobility, efficiency, and uniformity – with the community values, cultural values, the environment, and all of these other things, and creating that balance within the organizations.

The hardest part of change, said Mr. Warne, is our culture. People are going to find that the old way of doing business is not acceptable anymore. It will not serve our customers. Customers, he said, are demanding the opportunity for input. A lot of them do not know how to be involved in the process. However, they want to be there and they want to be involved.

One of the challenges, he stated, is that often the radical fringe comes out. The rank and file are needed – Joe Neighbor – at public hearings so that they can be a part of the decisionmaking process. The challenge is to get them there to provide more balanced input. It is a huge mission. Mr. Warne called the workshop attendees the "leaven." Adding, "a lot of bread can be leavened with just a little bit of yeast." Participants were told to:

> *Get out there and get in the dough. That is where Gene [Cleckley] and Federal Highway come in, as the dough ("$$," little double entendre). Leaven the bread and do not get discouraged. There will be a great product. There will be some discouraging times, but the end result of what is done will be well worth the effort.*

I challenge you to help define a process that will lead to excellence which produces a project that is carefully, imaginatively designed, serves traffic demand adequately, provides safety for our customers, respects the natural environment [including humans], is viewed as an asset by those who use it, and whose design had the input of professionals and customers alike.

Parker Williams
Administrator
Maryland State Highway Administration
"Thinking Beyond the Pavement" Conference

Question and Answer

Audience Member

A member of the audience stated that having read the "Flexibility Book" twice – once to learn what was in it and the second time to try and react to the negativity about it. The observation was made, there was nothing negative about it in that AASHTO is flexible enough in the design variance and design exceptance processes. Some changes can be made in the design criteria. The participant challenged everyone to read the book and take it for what it is worth as a thought process. A second comment concerned the I-15 handout, "I bet you had a consultant fold that for you."

Tom Warne

Mr. Warne stated the comment about the [Flexibility] book was interesting. One of the main concerns was liability. If UDOT does something different, then liability is a problem. That has been the experience in Utah; the DOT gets sued regularly. As a new Director, he stated, that is how you know that they finally recognize who you are, because your name is on all the law suits. What UDOT has found is that where there is documentation and projects have gone through the exceptance process, the Department has done some amazing things that are outside the guidelines of the "Green Book." The Department loses suits when it does not go through the process. Mr. Warne stated that it is really a documentation issue, not a flexibility issue.

Sessions I-3 & 4: Facilitated Breakout Groups Summaries

Participants were divided into five groups to discuss the following questions in a "Think-Pair-Share" exercise. In the exercise, each participant "thinks" about the questions and makes notes. Participants then "pair" and compare their notes. This is followed by facilitated discussion where participants "share" their notes. Each group was given the same set of questions, but in a different order. Not all groups had an opportunity to discuss all questions. More detail of the groups' comments is in Appendix D.

1. **Where and when does community impact assessment (CIA) begin?**
2. **What issues need be evaluated?**
3. **What are the roles of the MPOs, local governments, DOTs, FHWA, and others in the CIA Process?**
4. **What are the Scoping Process and the role of cooperating agencies?**

Orange Group: Peter Lupia, Research Associate, CUTR - *Facilitator*

There was agreement that "scoping" has a different meaning depending on the stage of involvement – planning, design, etc.

It appears FHWA guidance "encourages" a disconnect between planning, project development, and NEPA. There also appears to be a disconnect between legislation and the agencies charged with carrying out the mandates.

Participants suggested that planning and environmental regulations be rewritten to support working together throughout the process. All agency policies regarding project development also need to be consistent. The Transportation Equity Act for the 21st Century (TEA-21) implementation process was suggested as an opportunity to clarify guidelines.

It was also suggested that an assessment be conducted of the involvement of structural relationships between agencies and legislation. These elements need to **mesh**. The group called for clarity – a uniform scoping process.

In regard to agency roles, the group felt that cooperating agencies need to take responsibility or ownership of their regulatory mandates. Agencies also should identify nontraditional participants and focus on participants. To be effective, there is a need to make sure the agencies involved have adequate resources, especially staff. Throughout the process, regularly scheduled meetings should be held with all involved parties. The group also felt it appropriate to adjust decisionmaking to the amount of information available.

Green Group: Kristine Williams, Senior Research Associate, CUTR - *Facilitator*

The group stated that the role of the various agencies included identifying the goals and values of the community through community involvement. This process seemed necessary to determine how to maintain the goals with respect to the project. There was a desire to have equal involvement of communities, neighborhoods, and people.

Within their roles, all collaborative partners should work to solve problems through consensus. Specifically, FHWA and the State DOT roles were defined as leaders of the CIA process, coordinating with the other agencies, maintaining continuity, consistency, and building links. The process was viewed as **not just compliance**, but also incorporating all reasonable concerns – a guarantee.

Yellow Group: Ed Mierzejewski, Deputy Director for Engineering, CUTR - *Facilitator*

The group stated that CIA should begin before the project is identified, before an alternative or solution has a constituency. The need to get top management to understand the payoff of CIA up front versus at the end was stated as a critical issue. Participants stated that CIA saves time and resources. At issue was the need to educate top management.

The education of top management was seen as part of a greater issue, agency attitude. Beyond top management, education was needed throughout the DOTs on CIA benefits. Skills at assessing community impacts also were lacking. Other needs included time and funding for education. It was suggested that training take place at the State level (versus regional or national workshops). Specific training needs were also identified for middle management. The group desired FHWA Headquarters and Divisions to provide leadership.

Overall, participants thought that community analysts need to do a better job. There seems to be a need for accountability and follow-up. More effort seems needed in incorporating public involvement into the decisionmaking process. Demonstrate the use of public involvement throughout projects. CIA needs to be timely. At all levels, practitioners need training on communication skills.

Agencies' roles, generally, were seen to include balancing community values when they conflict with other aspects of the environment. Agencies also should facilitate consensus building and set parameters.

Red Group: Phil Winters, Program Director for Transportation Demand Management, CUTR - *Facilitator*

The group stated that better identification of stakeholders was needed. Strategies included:

- asking the community for input throughout the process;
- developing memoranda of understanding (MOUs) with stakeholder agencies; and
- identifying organizations, asking them "Who else?"

Motivation for CIA was needed at the management level. This could be accomplished through peer-to-peer networks, AASHTO, and chief accountable officer (CAO)-to-CAO. Other resources included developing an AASHTO task force; Transportation Research Board (TRB) taskforce. Technology transfer mechanisms suggested including reports to CAOs, not the Internet. MPO input and networks also are needed.

Participants stated they often felt pressure from DOT management to expedite the entire process. Change is needed in the process from "use it or lose it." One solution suggested was to create project development teams that manage projects from "cradle to grave."

CIA should start early, before the start of project development. For example, develop basic community profiles ahead of time using geographic information systems (GIS). Start in the planning stage. A research question: does CIA slow process versus the need to redo the process?

Training of State DOTs on the value and techniques of CIA also was identified as a need. This training was to be split into two segments, leadership and the rank and file.

Some group members felt that community analysts do not know how to involve the community. Solutions included:

- go to community leaders on their turf;
- read FHWA book on community involvement;
- get public involvement training (FTA provides a **free** course through the National Transit Institute (NTI) at Rutgers. FHWA provides a **fee** course through the National Highway Institute (NHI)); and
- designate community outreach person at the State DOT or on the local level, as appropriate.

Finally, the group suggested training the next generation of community analysts.

Blue Group: Eric Hill, Senior Research Associate, CUTR - *Facilitator*

Outstanding issues for the group included the need to match transportation planning with land use. Guidance on reconciling conflicting issues specifically was identified as a training need. There was considerable discussion regarding the need to incorporate consideration of CIA in the early planning phase, particularly the transportation improvement program (TIP), in this group. As one participant pointed out, "The MPO also works through project planning."

There also was a lengthy discussion of the iterative nature of the CIA process. For example, problem definition involves refinement and modification. Finally, the group focused on incorporating CIA into local land-use planning.

Day 2: Opening Session

Summary of Day I

Beverly Ward
Deputy Director for Ethnography and Transportation Systems (ETS)
Center for Urban Transportation Research
University of South Florida

Ms. Ward provided a brief synopsis of the panels and facilitated-group discussions. The themes of the first day's sessions included rethinking how transportation planning and project development are done; focusing on communities and their values; developing new partnerships; and "meshing it all together."

She noted that Don Arkle, Alabama, stated that someone in his group had alluded to the nation's capacity to put a person on the moon. Paraphrasing, professor and author Christopher Edley, Jr., she stated, "Well, community impact assessment (CIA) is not rocket science. It's harder."

Ms. Ward stated that there was no consensus, no cookie cutter. There are lots of tools. There are lots of partners. Participants challenged each other to take ownership of the process. Thinking. Educating. Housekeeping and housecleaning. Partnering. She noted that one of the goals of the workshop, networking, had begun because the workshop attendees formed a community of practitioners. The charge for the second day – continue to mesh.

FHWA Community Impact Mitigation: Case Studies

Eugene Cleckley, Chief
Environmental Operations Division
Office of Environment and Planning
Federal Highway Administration

Mr. Cleckley began with a discussion of the National Environmental Policy Act (NEPA), advising that NEPA is written for Federal agencies, specifically FHWA. (After almost 30 years, he said, it appears that some practitioners do not understand that point.)

> ". . .each person should enjoy a healthful environment and . . . each person has a responsibility to contribute to the preservation and enhancement of the environment."
>
> **National Environmental Protection Act (NEPA)**
> **42 USC § 4331(c)**

The FHWA NEPA Process

There are some fundamental principles of NEPA. First, there has to be an environmental ethic in the ACT that means that the ethic should be in FHWA. Second, as action is taken, FHWA must assure that provisions are made for productive harmony. As FHWA buys off on infrastructure that State Departments of Transportation (DOTs) or local governments sponsor, the USDOT must make sure that the decisions it makes assure that there is productive harmony for the future. This includes environment and communities. The third fundamental is balancing social, economic, and environmental concerns. A lot of practitioners who have been involved in the process have lost sight of that fundamental. Section 101 of NEPA details FHWA's responsibility in infrastructure planning and decisionmaking, emphasizing that this fundamental be ingrained in the process.

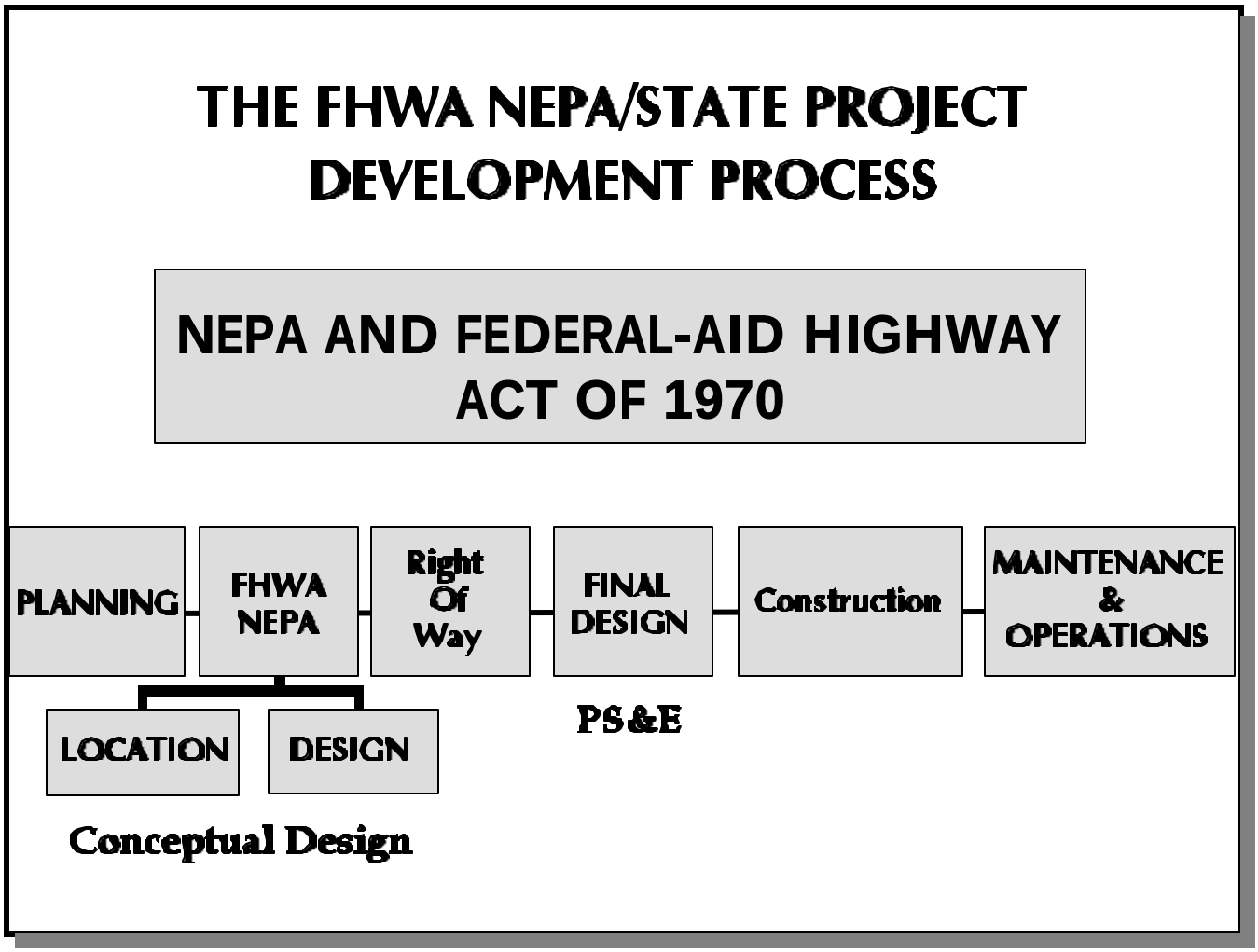
Mr. Cleckley stated that one of the first things that happens – it occurred during workshop discussions – is that practitioners see NEPA, directly proceed to §102, and other sections are forgotten. The phenomenon that NEPA applies to FHWA gets lost. The States' responsibility is unclear.

Before NEPA, there were location study reports, location public hearings, and project approval. There also were design study reports, design public hearings, and design approval. Some States still follow this procedure of disjointed project planning and development.

NEPA and the Federal-aid Highway Act of 1970 established a project-development process. This includes:

- planning;
- FHWA NEPA;
- right of way;
- final design (plans, specifications, and estimates (PS&E));
- construction; and
- maintenance and operations.

Under NEPA, location approval and design approval – design authorization, 30 percent design – became part of the FHWA process. Many people are not aware of this and need to understand the connection between location and design approvals.



In many State DOT offices, the process also includes planning, location, design, and right-of-way. However, in most State organizations, an environmental section has been created that has NEPA and other responsibilities, but it is not part of the mainstream of the State's process. What has evolved in some States is a coupling of NEPA, location, and environmental issues.

The bottom line, however, is the FHWA NEPA process includes location ***and*** design – conceptual design. This is the conceptual process that should occur in community impact assessment and context-sensitive design. A lot of practitioners in FHWA and State DOTs do not understand this process. When considering context-sensitive design, the link should be made that design issues begin in the NEPA process.

Several issues as well as Federal, State, and local laws, are to be addressed in the FHWA NEPA process, including community impacts, civil rights, environmental justice, etc. The *Flexibility in Highway Design* book discusses a similar process. The factors considered by the design community are similar to those considered in the NEPA process. The challenge is to bring the two processes together. When considering the FHWA case studies, reflect on these issues and try to project into the future how the processes should work. Mr. Cleckley then asked participants to refer to the FHWA publication, *Community Impact Mitigation: Case Studies*. In his discussion of the case studies, he attempted to bring together community impact and design issues.

Community Impact Mitigation: Case Studies

The case studies covered in the FHWA publication are about decisionmaking – not regulations, grandiose reports, and not necessarily about NEPA documents. The NEPA process had taken place and documents had been written, but members of the community said, "We're challenging these projects." The projects were put on

hold. The tenor of those sentiments is found in the case studies.

Community Mitigation and Enhancement: Durham, North Carolina

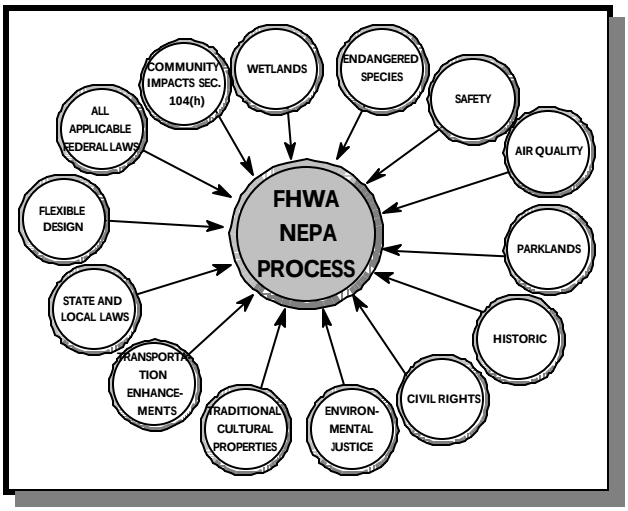
Each of the case studies profiles the community, discusses the impacts that were identified, and the alternatives that were considered. In Durham, this included avoidance, minimization, and enhancement alternatives. The case studies also identify key players. One thing to keep in mind is that the environmental impact statement (EIS) had been written, the State DOT, and FHWA had to "go back and do [the] stuff." Not only had the EIS document been written, there was tremendous controversy. No one was talking to anyone. People were trying to figure out what affinity group they associated with. The State DOT and FHWA had to backup and retrofit the process. It was most challenging, but most rewarding.

Reviewing the Durham case, shows a community description, elements of social cohesion are discussed, and there is a discussion of the project. The project chronology gives a sequence of events, breaking down the project, not because of regulatory issues, but because the community did not want the project as it was proposed. The decisionmakers and planners had to "get engaged" with the community to talk about the benefits, the impacts, and what could be done to enhance the community.

The players, when the project was revisited, represented all levels of government. The State DOT and FHWA shared a joint lead position. A key player was the community – the people who had to suffer from the project or receive the benefits of the project. NCDOT and FHWA had to facilitate bringing other programs together to solve the community's problems.

The first reaction to some of the mitigation and enhancement opportunities were "Why should we do this?" "We shouldn't do this." "We can't do this." (Some of these questions and statements were heard during the workshop and in the breakout sessions.) The relocation-assistance program was touted as the appropriate mitigation. When reviewing the study, however, the relocation program was a small element. Other alternative alignments were also used.

One of the alternative alignments included moving more than 1,000 gravesites. Mr. Cleckley stated that if there is a community that does not want a project, but reaches agreement to move 1,000 gravesites, something happened that was significant. The entire community was



revitalized. The alternative alignment, at the outset, was to displace the entire community. The final alternative was to rebuild the community, leaving it intact with the transportation facility fitting into the community, harmoniously. This is context-sensitive design.

Community Cohesion: Oak Park (Detroit), Michigan

Oak Park is a largely Orthodox Jewish community. The project chronology outlines a sequence of events similar to Durham. Documents were prepared, the planners thought they were doing a good job, but the community said, "No, we don't want this project." The planners had to go back to address community-profile issues, such as who is in the community? Why are they there? What are the connections? What are the interrelationships with the infrastructure? The community was totally engaged. Numerous players at different levels of government were involved. The State DOT, working with FHWA, took the lead retroactively to make the project work. Several mitigation measures were used to maintain the integrity and cohesiveness of the community.

Community Preservation: (Chinatown) Philadelphia, Pennsylvania

Once again in going through the NEPA process, documents had been written. The community said, "No, we don't agree with the documents. We need to work together to figure what's good for Chinatown." The urban-design concept was eventually applied. The scenario as to the chronology of events, the players, and the concerted effort that needed to be pursued in order to provide mitigation and enhancement opportunities was

similar to the two earlier case studies. The State DOT and FHWA decisionmakers initially thought that they could not participate in the activities.

Community Reconstruction: Seattle, Washington

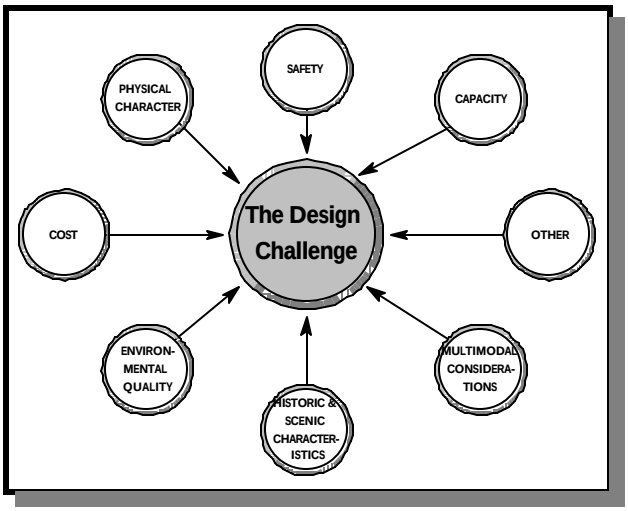
The photo on *Community Impact Assessment: A Quick Reference from Transportation* is a shot of the Mount Baker community in Seattle that was impacted by the Interstate 90 project. Interstate 90 also impacted the neighborhoods of Judkins Park and South Atlantic Street. The project began slightly before NEPA. The controversy around the project necessitated the involvement of FHWA, Washington DOT, and local government. FHWA facilitated the resolution. The scenario is similar to others in terms of project chronology, the players, and the mitigation opportunities. The initial reaction was, "We can't do this." It has been done. Mitigation strategies included providing bicycle facilities and replacing a jointly used, community school.

Community Revitalization: Prichard, Alabama

At the time this project was being developed, the City of Mobile challenged the project, but in the project path, there was a small, Alabama town that needed to be revitalized. This project provided an opportunity to revitalize that small town. It provides an example of how transportation infrastructure can be the livelihood of a town. The mitigation strategies included the enhancement of downtown Prichard, Alabama, and the construction of new public facilities.

Community Impact Assessment, Environmental Justice, and Context-Sensitive Design

When FHWA set out to develop the case studies, the consultants hired by FHWA believed that there were a lot of examples. FHWA advised that there might be 15 potential sites and was interested in learning of others. There were not a lot of examples. One striking feature of the case studies book is that all the communities fit under Title VI of the Civil Rights Act or they have significant low-income populations. The consultants were not advised to find minority communities. The book was written not from a Title VI perspective, but from a



community perspective, assessing impacts and mitigation. But, it fits with the phenomenon of environmental justice and Title VI.

An environmental justice primer has been proposed, but it will be based on these two purple documents, *Community Impact Assessment: A Quick Reference for Transportation* and *Community Impact Mitigation: Case Studies*. Only, Mr. Cleckley stated, because there is a mindset that feels comfortable when looking at a particular book.

The case studies provide examples of the types of actions that can result from community impact assessment. Mr. Cleckley stated that a lot of the examples relate to context-sensitive design. The two aspects must come together. It is about how decisions are made, he stated, not about regulations. The regulations have been around for years. The last recommendation from the group to FHWA should be about changing regulations. The experience has been that the right regulations do not assure compliance.

The CIA and context-sensitive design discussions, he stated, should be about changing hearts to do the right thing, such as working with communities. There are a lot of things within practitioners' realm that can be done. Recommendations regarding changes in the regulations should be secondary or tertiary.

Session II-1: Analyzing Community Impacts

> We should not pretend to understand the world only by the intellect; we apprehend it just as much by feeling. Therefore the judgment of the intellect is, at best, only the half of truth, and must, if it be honest, also come to an understanding of its inadequacy.
>
> **C. J. Jung**

Moderators:

John F. Isom
Socioeconomic Specialist
Arkansas State
Highway and Transportation Department

Donald Sparklin
Project Environmental Manager
Maryland Department of Transportation
State Highway Administration

Evaluating Impacts

Charles Howard
Transportation Planning Manager
Washington State Department of Transportation

The planning process, Mr. Howard said, is where CIA starts and the "letting date" concept is okay. States need to embrace the goals of transportation systems. State DOTs, he said, are land-use agencies for the State. There are often multiple goal sets that compete for available community resources.

Mr. Howard stated Washington DOT gets consent for proposed transportation actions, not consensus. The impact evaluation criteria should reflect community needs and have "concurrence points" for screening criteria. This type of community-based planning may lead to overall consensus. The DOT should respect decisions made at the local level. Washington's Growth Management Act provides the State's top priority and guides its master transportation plan.

Evaluating Disproportionate Impacts

Leigh Lane
Project Planning Engineer
North Carolina Department of Transportation

Ms. Lane warned participants that her presentation provided more questions than answers. Executive Order 12898; "Federal Actions to Address Environmental Justice in Minority Populations and Low-income Populations," discusses "disproportionately high and adverse human and environmental effects, particularly as related to minority and low-income populations." The Department of Transportation Order to Address Environmental Justice in Minority Populations and Low-Income Populations states:

> a disproportionately high and adverse effect on minority and low-income populations is **predominantly** [emphasis added] borne by a minority population and/or low-income population, or will be suffered by the minority population and/or low-income population and is **appreciably** [emphasis added] more severe or greater in magnitude than the adverse effect that will be suffered by the nonminority population and/or non-low-income population.

"What?" she asked. Proportional, as defined by the *American Heritage Dictionary*, stated Ms. Lane, means "properly related in size or other measurable characteristic."

Perhaps one starting point for evaluating disproportionate acts is with reference to the population development of the study area. Looking at census data, what proportion of the total population comprises minority or low-income groups? This information can be analyzed using a geographic information system (GIS). Layers can be built up using different impact scenarios. What percentage of target groups will be affected by relocations, noise impacts, or air quality impacts?

Consideration should also be given to economic and social impacts, such as business and access disruptions. This is a complex process of evaluating subjective opinions and supplying limited objective analysis. Throughout the CIA process opportunities should be sought to mitigate impacts.

"How do you determine if impacts are disproportionate or not?" she asked. "Public involvement, public involvement, public involvement,...

NC DOT went through some introspection and came up with a need for "active listening." Quantitative analysis also is useful for screening impacts. Research is needed on qualitative analysis. Ms. Leigh suggested that analysts "accommodate" community values and needs where possible and facilitate issues for the community with the appropriate agencies on water or sewer needs, for example.

The outstanding questions, issues, and limitations include trying to measure the net effect of transportation actions. There also is a problem with juxtaposing percentages versus real numbers. The census data is outdated. Many analysts and others want quantifiable data when only qualitative is available. Also, there are limited resources – financial, staff, time, etc.

Selecting Analysis Tools

Nancy Ledbetter
Principal Planner
Austin Metropolitan Planning Organization

There are two ways of analyzing data and selecting analysis tools: at the MPO regional-planning level, analyzing regional effects; and, at the State-DOT project-development process level, analyzing the impacts of the proposed project. The presentation focused more on tools used during the project-development process.

In selecting analysis tools, some methods may be more applicable than others depending on the topic; and they may range from simple methods to more complex methods that yield detailed, precise estimates. In selection of methodologies, one should take into account:

- relevancy;
- accuracy and completeness;
- acceptability and credibility;
- flexibility;
- data requirements; and
- costs.

Also, in selecting analysis tools, it is important to remember that sophisticated analyses are often not well received by decisionmakers, especially if they do not understand the methodologies used. Sometimes, conclusions derived from sophisticated methodologies do not always hold up well because of variables; such as cost, interest-group pressure, or what decisionmakers "know" is right for their constituents. This is especially true for socio-economic impact analysis, where it relies more on informed judgment and experience than on quantitative, analytical methods.

Quantitative methods certainly have their place with socio-economic analysis as they are heavily used for forecasting. The analysis tools discussed are for the following topics:

- public Involvement,
- economic impact analysis,
- social impact analysis,
- land use,
- trends analysis, and
- geographic information systems (GIS).

Public Involvement

Find out at the beginning of a study what some of the concerns are from the public and agencies, and what they will expect in the environmental document. This is the best way to define your scope of work. Often analysts learn of issues that need to be addressed early on. A worst-case scenario is going to the public hearing on a draft environmental impact statement (DEIS) and finding out about a concern not addressed in the document. Go out and talk to the folks early and throughout the project-development process. Midway through the project, go back and show the public what you have so far and ask what they think. It is a type of check and balance, and the best way to avoid surprises at the public-hearing stage.

Economic Impact Analysis

Removal of residences and businesses results in an initial loss of property and sales-tax revenue. If the project facilitates a substantial amount of growth, then property, and other tax revenues may increase – offsetting any revenue losses associated with relocation.

If most residences and businesses will be relocated in the community, any tax loss would be minor and temporary, and need not be calculated.

When considering bypass impacts, determine if the downtown businesses serve primarily local customers or if they are dependent on through traffic. Look at the nature of the local economic base, type and location of businesses, percent of traffic-dependent retail, average daily traffic, origin/destination of traffic, and distance to other cities and towns.

Typically, traffic-dependent businesses include restaurants, lounges, gas stations, ice cream stores, and roadside vegetable stands.

Secondary or indirect impacts have direct and indirect effects from a project. Both are "caused by an action." Direct effects occur at the same time and place, while indirect effects are later in time or farther removed in distance, but are still reasonably foreseeable. Techniques in predicting indirect or secondary effects include published research results, observations from other like-projects, and professional judgment supported by education and experience.

Social Impact Analysis

Often, the social costs of transportation projects are borne by those communities and areas lying near the highway corridor, while the benefits are shared by a larger population at the city or regional level. Therefore, analysis of social impacts is generally directed at the neighborhood level, where the majority of negative impacts are to be felt. It is important also to describe the regional social benefits of the project.

Analytical components may include community cohesion (physical or psychological barriers), identification of neighborhood boundaries, developing stability indices (tenure) (these are rough indicators that may not capture renters who generally move around for economic and social reasons), and direct observation.

Land Use

Identify the current development trends and the State or local government plans and policies on land use and growth in the area that will be impacted by the proposed project. Assess the consistency of the alternatives with the comprehensive development plans adopted for the area and any other applicable plans used in the development of the metropolitan transportation plan.

The secondary social, economic, and environmental impacts of any substantial, foreseeable, induced development should be presented for each alternative, including adverse effects on existing communities. Where possible, the distinction between planned and unplanned growth should be identified.

Trends Analysis

These tools are used to assess the status of a resource, system, and human community over time. They also address accumulations over time. A lot of data in relevant systems is needed. Examples of trends data to consider analyzing over time, if time permits and depending on the study, include: population and employment growth; location of new employment; vehicle and transit trips per capita; vehicle miles traveled (VMT); trip length; vehicles per capita and vehicle occupancy; transit use; alternative mode use, including telecommuting; traffic volumes; and cost and availability of transportation fuels, including alternative fuels.

Geographic information systems (GIS) or mapping provide excellent visual aids to illustrate natural resources, such as rivers, wetlands, floodplains, etc., and human structures, e.g., public service facilities, schools, and residential areas. GIS incorporates spatial data to create a map image that can be used to address spatial patterns and proximity of effects. It is limited, however, to effects based on location.

Summary

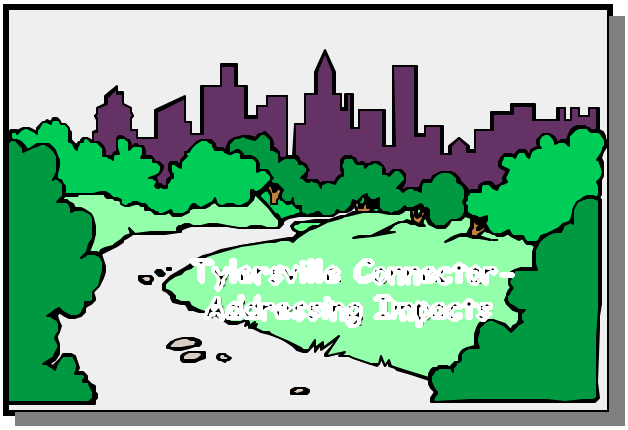
There are a number of analytical tools. The size of the proposed action, complexity, and community may help determine the particular tool that is relevant. The goal is to gather accurate and complete information. Tools are selected that will aid in providing an acceptable and credible assessment. There is flexibility, however; every tool is not needed for every assessment. The use of some tools for some assessment is also constrained by data requirements and costs.

Session II-2: Identifying Solutions

Moderator:
Terrence A. Taylor
Miami-Dade
Metropolitan Planning Organization Secretariat

Addressing Impacts

Timothy Hill
Environmental Administrator
Ohio Department of Transportation



The Tylersville Connector Project was used by Mr. Hill to illustrate how impacts may be addressed. The project involved 2.3 miles of widening on an existing facility from three lanes to five lanes for three-fourths of the project. The remainder of the project was off-line. The project had been in the long-range plans since 1968.

The study area was mixed use, commercial, and industry. In addition, there were:

- 3 schools;
- 1 church;
- 1 nursing home;
- 1 major condominium development of 50 units; and
- 5 major residential developments ranging from mid- to upper-level income.

What were the problems? What were the impacts? No relocations were required and no right-of-way (ROW) was to be acquired. All developments built since 1968 left open areas dedicated to the new highway. All future homeowners were informed of the highway when purchasing their homes. (Homes backed the future corridor and were approximately 100-feet away.)

The project included a stream crossing, requiring a National permit. There were no wetlands or cultural resource impacts.

How were the issues resolved? Mr. Hill, stated there really were no issues! The community, however, raised several. First, protection of school children . . . The three schools were built with the knowledge of the proposed widening of the highway. (It had been considered a plus.) The DOT offered the solution of decorative fences, lighting, crosswalks, bike paths, and screening to direct the children along a safe path.

Next were environmental impacts. There really were no hard impacts – no wetlands, no § 106, no hazards, no relocations, no deforestation, etc. How were their issues resolved? There really were no issues!

Then followed increased traffic and truck traffic through the community. The alignment already existed, however, the proposed project would make it safer. The area is 75-percent built out. There is room for 100 or more homes that are currently planned and being built. The highway will not introduce **more** traffic to the area. It is already there.

The next issue was that the area was not signed for hazardous cargo. The solution was to place positive separators between the bike trail and highway, and between the sidewalk and highway.

What lessons were learned? The community's comments were really "not in my backyard (NIMBY)." The solutions proposed were really improvements. It is safer around the schools, and bike paths were added. More than $750,000 in landscaping was added to help screen the neighborhoods from the highway. Hazardous cargo cannot travel through the community.

Avoid/Minimize/Mitigate/Enhance

Joe Bearrentine
Environmental Specialist
Alabama Department of Transportation

Mr. Bearrentine used several examples to illustrate how the Alabama Department of Transportation (ALDOT) avoided, minimized, or mitigated community impacts or used transportation projects to enhance communities.

The Bear Creek Ridge replacement project planned for Marion County, Alabama, would have replaced a 1926 concrete-arch bridge on a new alignment. The bridge is considered eligible for the National Historic Register for

its architecture and engineering. It is an open-spandrel, concrete-arch bridge. Bear Creek is very steep and is quite picturesque at this location. Because the bridge was identified as historic, plans were developed to build the new bridge on a new alignment. The county will be given ownership of the old bridge once the new one is complete.

An ALDOT project proposed to add two lanes to the existing two lanes of SR-21 from the community of Prices to the town of Piedmont in Calhoun County, Alabama. The proposed action covers a distance of approximately 10 kilometers. Improvements are planned along the existing alignment of SR-2, requiring the acquisition of additional ROW. This additional ROW would impact the Chief LadigaTrail, a rail abandonment that was acquired by Calhoun County and the City of Piedmont with land and water conservation fund (LWCF) assistance.

The Department's preliminary efforts to implement the project hit a snag when it was discovered during an onsite inspection of the area that the improvements would directly impact the Trail. Section 6(f)(3) of the LWCF Act prohibits the conversion of a LWCF-assisted site to any use other than outdoor recreation without approval of the Secretary of the U.S. Department of Interior. Likewise, Section4(f) of the Department of Transportation Act of 1966 prohibits the use of publicly-owned recreational areas without proving that there is no prudent and feasible alternative to using the land; and that the project includes all possible planning to minimize harm to the recreation area resulting from such use. As a result, work to find who had jurisdictional authority over the 6(f) resource began. During research of Section files, a response to ALDOT's prior early coordination efforts identified the Alabama Department of Economic and Community Affairs (ADECA) as the State agency with authority acting on behalf of the National Park Service (NPS). A meeting was scheduled to discuss some of the specifics of the project and to develop the best plan of action to avoid adversely impacting the Trail.

"My father always told me, find a job you love and you'll never have to work a day in your life."

Jim Fox

Highlights of the meeting included:

- a property acquired with LWCF assistance must be used for recreational purposes only; any conversion to another use other than that intended must be replaced with land of equal size and value;
- the Section 4(f) process must be completed and approved by FHWA prior to beginning action. NPS and ADECA also needed to approve; and
- the City of Piedmont expressed approval of the project.

Continued coordination between ALDOT, ADECA, and the NPS resulted in mitigating measures that were favorable to all parties. These included:

- constructing a parking area for Trail users, and
- providing an access road to the Trail for emergency vehicles.

The Department's wetland mitigation banking program not only satisfies current Federal regulations, but also provides many public benefits. The Ashville Bank, St. Clair County, contains approximately 100 acres of land inside the Ashville city limits. The area, before purchase, was used for hay production. Now the area is in the early stages of becoming a forested wetland. The area also has two ponds, created by ALDOT, that provide fisheries benefits. It is open, by request, to any school or organization that would like to use the area for studies or nonconsumptive recreation. No hunting or vehicular traffic, including all-terrain vehicles, is permitted. Fishing is allowed by request. ALDOT also allows the area to be used by local pest-control companies to release captured "nuisance" wildlife; e.g., racoons and opossums.

Sessions II-3 & 4: Facilitated Breakout Groups Summaries

Participants were divided into five groups to discuss the following questions in a "Think-Pair-Share" exercise. In the exercise, each participant "thinks" about the questions and makes notes. Participants then "pair" and compare their notes. This is followed by facilitated discussion where participants "share" their notes. Each group was given the same set of questions, but in a different order. Not all groups had an opportunity to discuss all questions. More detail of the groups' comments is in Appendix D.

1. **What is the role of Public Involvement?**
2. **How do you effectuate organizational change for CIA purposes?**
3. **How do you incorporate CIA techniques into the decisionmaking process?**
4. **What future actions are needed fully to integrate CIA?**

Orange Group: Kristine Williams, Senior Research Associate, CUTR - *Facilitator*

To improve continuity in decisionmaking, planning, and project development, the group emphasized working in project-management teams. Suggesting that as the project advances, its composition may change, but the staff should be maintained for continuity. Other suggestions included providing workshops, training, and retreats. Methods for tracking issues and commitments are also needed. Continuing, periodic meetings with the community throughout the process was also mentioned.

The group stated that decisionmaking should focus on results in "the spirit of NEPA." This could be facilitated by inter- and intragency cross training, "best practices" publications, and education. It was suggested that the Council on Environmental Quality (CEQ) encourage "rediscovering NEPA," that is, promote more than an EIS.

Recommendations for organizational change included cross-training, executive leadership training on CIA, and training consultants. Examples of suggested training strategies included: pairing public involvement specialists with socio-economic analysts — pairing across the disciplines, information sharing among State DOTs, and educating other resource or regulatory agencies. Industry-wide training or information sharing also was recommended.

> A large part of history is replete with the struggle for human rights, an eternal struggle in which a final victory can never be won. But to tire in that struggle would mean the ruin of society.
>
> **Albert Einstein**

There was mention of the need for clarification of the role of CIA in decisionmaking. FHWA training modules could be used to get it [clarification] out to the State DOTs, MPOs, and local governments. It was also suggested that FHWA define the decisionmaking process in a circular or a summary report. And finally, establish long-term relationships with all parties involved.

Green Group: Jennifer Hardin, Research Associate, CUTR - *Facilitator*

The group emphasized the need for "buy-in" and communication with upper management as one future action to integrate CIA fully. More intra-departmental communication and increased leadership from FHWA also were suggested. This group also recommended a team process to solve problems as they arise and keep the CIA process moving. Strategies included "Educate, educated, education"; making greater efforts toward public awareness; acknowledging and demonstrating the need for CIA; and individually assuming a leadership role to make it happen.

Public involvement was described as the cornerstone of a successful CIA that should be incorporated throughout the process. Benefits included reducing the rework and providing guidance, and helping identify problems and possible solutions. Technical advisory committees and community leaders were resources mentioned that help bring issues to the forefront.

Organizational changes in the departments were thought to be a turf issue. It was suggested that attitudinal change rather than organizational change was needed. To accomplish this, recommendations included personalization of the CIA process; consciousness-raising, "It's the right thing to do"; defining the roles and stages in the CIA process; and providing environmental leadership seminars. The group's priorities:

- JUST DO IT! Personal responsibility for CIA;
- peer-to-peer review;
- use TEA-21 enhancement funds to supplement or coordinate the process;
- incorporate CIA into standardized decisionmaking process (planning, NEPA, design, etc.);
- environmental leadership, including upper management buy-in and increased FHWA leadership; and
- institute team approach to CIA.

Yellow Group: Eric Hill, Senior Research Associate, CUTR - *Facilitator*

This group defined the role of public involvement as early and effective communication, dialogue. This included public involvement in decisions and public education on issues; i.e., public involvement in every stage of the project development. It is also continuous information sharing; getting information from the public on needs, goals, values, and concerns; and building credibility and trust.

Organizational change could be accomplished through education of decisionmakers on the effect of CIA. Tools included demonstrating streamlining of project management, positive behavior and results, and how CIA speeds up the process. Buy-in by top management was mentioned as a need.

To incorporate CIA techniques into the decisionmaking process, participants suggested introducing techniques early in the process, attaching techniques to a critical path, and linking findings to decisionmaking as another tool of analysis.

This group also recommended the Nike® approach, "Just do it," to integrate CIA practices fully. Implementation strategies included providing examples of best practices in a variety of projects, guidance, education, and training.

The top concerns were:

- continuous information sharing;
- demonstrating positive behavior, results, and education of decisionmakers so CIA affects the bottom line; and
- providing training, awareness, and accountability.

Red Group: Laura Lachance, Research Associate, CUTR - *Facilitator*

Recommended future actions to integrate CIA practices included written policies developed within the State DOTs fully that outline the process; more training for everyone, including upper management; and inform the public on how they can get involved. The group also thought that more buy-in by the FHWA Divisions was needed.

Public involvement was thought to have many roles in the CIA process. The overriding themes were ways to identify quality of life issues and opportunities to hearing and practice active listening to customers.

To effectuate organizational change, the group thought it necessary to make agencies comfortable with the CIA process. Two methods were suggested: university courses to cover CIA; and, an FHWA memorandum (not mandate) to State DOTs to "beef-up" CIA sections.

CIA techniques could be incorporated into decisionmaking through more involvement from all interest groups. This would include putting decisionmakers face-to-face with the public, involving MPOs more in planning and decisions, and putting together examples of successful cases.

Blue Group: Ed Mierzejewski, Deputy Director for Engineering, CUTR - *Facilitator*

Incorporating CIA into the decisionmaking process should include focusing on results, not just the process. The group suggested that practitioners go beyond documentation to meet the spirit and intent of NEPA. This would include evaluating long-term effects, monitoring, and re-evaluating actual effects. The need for continuity in the decisionmaking process between planners, project developers, and on down the line was also discussed. Integration of local land-use plans into broader transportation plans and process was another significant element.

Effectuating organization change should include educating practitioners. Top management "buy-in" and attitudinal change were also discussed. The group also mentioned that CIA skills and knowledge should be reflected in personnel recruitment packages and job descriptions.

To integrate CIA fully, comprehensive planning was recommended as a strategy. (It was mentioned that some States use this approach.) This might provide rules or regulations that support planners in light of politics. Participants also suggested that CIA be integrated into the MIS, NEPA, and MPO processes.

The role of public involvement was viewed as essential, "like a good breakfast!!" The group also described it as a two-way process, providing feedback and new ideas. It was recommended that public involvement programs be well planned.

Closing Session

Summary of Day II and Future Actions Based on Recommendations

Beverly Ward
Deputy Director for ETS
Center for Urban Transportation Research
University of South Florida

Ms. Ward abbreviated remarks regarding the day's sessions. Participants were advised that the CIA Research Design Team would meet on September 17, 1998 to review preliminary recommendations and the evaluation results. One outcome of the Design Team's meeting would be a National CIA Strategic Plan. Ms. Ward also advised that CUTR would be working with FDOT to develop a clearinghouse on CIA issues.

The clearinghouse is proposed to provide a database of State transportation agency and metropolitan planning organization community analysts; copies of statutes, regulations, State manuals; and other materials. Other activities to be carried out include developing and distributing circulars on CIA issues; examining and synthesizing; providing short-term technical support and other technology transfer; and providing outreach through presentations on community impact assessment at National, State, and local workshops and conferences. (This model is built on the short-term technical support service provided by CUTR through its annual base-operating funds and the Florida Transportation Demand Management (TDM) Clearinghouse operated by CUTR.)

Florida Overview

Mr. Cunill's presentation was preceded by comments from Ms. Sally S. Patrenos, Administrator of Inter-governmental Programs, Office of Policy Planning, FDOT. Ms. Patrenos gave an overview of FDOT's Public Involvement Program and introduced Ms. Louise Fragala of Powell, Fragala, and Associates, Inc. Powell, Fragala, and Associates under contract with Carter and Burgess, Incorporated, are the consulting firms that worked with FDOT to develop an intensive, 4-day public-involvement training module. Ms. Fragala gave an overview of the training components.

> What came first, the people (community) or plan for building transportation systems? Why not reverse the order of involvement, the community first, then the public officials, environmental planners, and engineers? Is termination of a project ever a ***real*** option or alternative? How can we make it so?
>
> **Unsigned**

Community Impact Assessment: The Florida Approach

Buddy Cunill
Project Manager
Environmental Management Office
Florida Department of Transportation

FDOT established a task team in August 1996 to review how the Department evaluates socio-economic impacts in all phases of transportation planning through project development. This included FDOT's public - involvement processes, relocation, community impact assessment, civil rights issues, and environmental justice. The team also was charged with making recommendations for improving and enhancing programs, processes, procedures, and practices, if needed. Buddy Cunill chaired the task team. The team's final report was published May 1997.

This was the beginning of the State's CIA Team. The impetuses for the team included:

1. FHWA/FTA's Interim Policy Guidance on Public Involvement;
2. Presidential Executive Order 12898, "Federal Actions to Address Environmental Justice in Minority Populations and Low-income Populations"; and
3. FHWA's renewed emphasis on community impact assessments.

FHWA's emphasis was on the transportation decisionmaking process. Specifically, community groups having access to decisionmakers and participating in decisionmaking. Special notice was to be given to communities and groups that are low income, minority, disabled, and traditionally viewed by others or by themselves as underserved or under-represented in the decisionmaking process.

The CIA Team comprised 30 members whose backgrounds and disciplines were broad in range. The Team's first assignment was the review of existing laws,

rules, regulations, policy papers, guidance, procedures, FDOT operating manual, executive orders, etc. Five professionally facilitated meetings of the Team were held. The Team was subdivided into four subteams with assigned readings.

The subteams identified explicit and implied requirements; provided opinions of how these requirements should be interpreted from the Department's perspective; and provided opinions on how the Department met the intent of these laws, rules, regulations, etc.

Findings of the CIA Team:

1. Nothing new was proposed by Executive Order 12898.
2. Existing Federal regulations, guidance, and Civil Rights legislation amply cover the discriminatory and disproportionate impact concerns.
3. FDOT does a fairly good job in addressing many of these issues. (This reaffirmed many FDOT processes.)
4. Social and community issues must be given the same level of consideration as natural or physical issues.
5. Greater emphasis should be placed on understanding community issues and problem-solving.
6. Greater emphasis should be placed on inclusion and decisionmaking.

The Team also advised that FDOT's programs and processes should be more open, proactive, positive, and inclusive to be more effective.

There were three levels of recommendations:

- Tier 1 - Guidance Principles and Policy Initiatives,
- Tier 2 - Program and Organizational, and
- Tier 3 - Procedural.

Tier 1 Recommendations

- Community Impact Assessment
- Community Participation / Public Involvement
- Partnering / Coordination
- Training

Under Community Impact Assessment, the Department was encouraged to:

1. Promote openness and inclusiveness in decisionmaking;
2. Promote collaborative problem-solving and decisionmaking;
3. Promote a comprehensive and balanced approach to problem-solving that gives full consideration in decisionmaking to addressing community issues; and
4. Establish a Commitment Compliance Program for community issues.

Community Participation/Public Involvement: Establish a public involvement program that is continuous from the MPO phase through maintenance.

Partnering/Coordination recommendations included:

1. Promote partnering with local governments and MPOs,
2. Establish processes for better internal and external coordination in identifying and addressing community issues, and
3. Promote networking with local agencies and citizens to establish two-way communication better.

Training recommendations included:

1. Establish a broad curriculum of training courses available to in-house personnel, involved in local government coordination, public involvement, community impact assessment, and related subject areas;
2. Establish a Task Team to implement CIA Team recommendations;
3. Establish Community Outreach Programs; and
4. Establish a Community Impact Research Program.

Community impact assessment was recognized to link three critical processes: local government comprehensive planning, urban transportation planning (MPOs), and NEPA (in Florida, the project development and environment (PD&E)).

Efforts now underway (1998):

1. Coordination with Public Involvement Design Team;
2. Coordination with Planning-Environmental Management (PLEMO) Team;
3. FDOT-sponsored research in CIA methodologies and development of a handbook through the Center for Urban Transportation Research (CUTR);
4. Development of CIA Training Course as part of CUTR research project;
5. Cross-functional Quality Assurance Review and Fact Finding on CIA;
6. Emphasizing importance of CIA at Annual EMO Meeting;

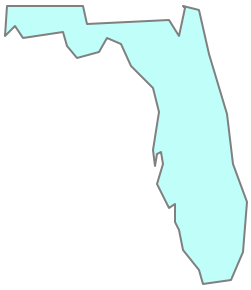
7. State Budget – General Consultant to improve CIA Program;
8. Establishment of National Panel to Guide Phases 1 and 2 of FHWA Research;
9. FHWA-sponsored Research Phase 1: Evaluation of CIA: A Quick Reference for Transportation;
10. FHWA-sponsored Phase 2: National CIA Workshop for Practitioners; and
11. Establish a CIA Steering Committee to implement the Report.

Yet to be undertaken is a review of the MPO instruments. These include: the Florida Statutes; the MPO Advisory Council (MPOAC) Strategic Plan; agreements; the MPO Manual and scope of services; the long-range transportation plan (LRTP); unified planning work program (UPWP); public-involvement procedures; local- government comprehensive planning (LGCP) instruments; and Florida Administrative Code Rule 9J-5. (Rule Chapter 9J-5 F.A.C. establishes an "indicator of the extent or degree of service (level of service) provided by, or proposed to be provided by a facility based on and related to the operational characteristics of the facility.") Also to be undertaken or established are:

- agreements with local governments,
- LGCP Review Procedures,
- PD&E Instruments,
- PD&E Manual,
- Right-of-way Manual,
- Minority Programs/Title VI Procedures, and
- Plans Preparation Manual.

The Department also is exploring CIA Program opportunities. The primary goal in all proposed transportation actions is to have early and continuous coordination with communities. There also is the need to link the three planning processes with community values and decisionmaking and to ensure documentation. Additional opportunities also will be sought to undertake collaborative problem-solving and to partner.

The Department wants to foster an open decisionmaking process and provide accessibility to decisionmakers. Through early, continuous, and proactive public involvement these goals can be accomplished. This process will substantially contribute to improving the quality of life in communities.



National Community Impact Assessment Workshop Evaluation Results

The evaluation forms were distributed during the Opening Session on September 15, 1998. A copy of the form is included in Appendix E.

Attendees: 81
Number of respondents: 43
Response rate: 53 percent

What Participants Hoped to Gain

- Better samples.
- To learn how better to involve the public; to learn how to get public involved at the earliest planning stages -NEPA stage is sometimes too late.
- Better information, i.e., examples, on how others have been successful in getting community involvement – getting beyond the "anti-development" forces to a working relationship with groups that want to improve transportation and the communities.
- I hope to learn how CIA can help us do a better job of serving our customers and meld environmental justice (EJ) in consideration in project development.
- I hope to learn ways to get CIA away from the "good intentions" and "that's a good idea" stage and into an integral part of the project-development process.
- I want to learn useful methods for implementing CIA studies into the WVDOT project-development process.
- Practitioners' assistance and knowledge.
- An insight as to what other States are doing for CIA information exchange.
- Best practices.
- Information on performing CIA techniques for analysis.
- Where does CIA begin? How do we get the public involved early? What are other States doing? Where are we going with CIA? Creative solutions to project processing problem.
- Better understanding of CIA issues, increased awareness of other States' processes and ways of doing business.
- A better understanding of how best to accomplish community impact assessments and to use that information in decisionmaking.
- A better understanding of CIA activities. Insight into what other States are doing. Knowledge on how I can make our projects better.
- Nationwide understanding of CIA.
- What exactly is CIA? How does it fit in with NEPA and other processes?
- Better understanding of what's involved. Plan for implementing the process at home.
- Find out how other DOTs conduct CIA in their respective States. How do they work with local and regional governments? How to expand the influence of practitioners within the Department?
- I hope to understand the new direction that CIA is taking and how I can introduce it to my State highway administration (SHA).
- Give me a roadmap and fill my tank.
- Understand how the CIA process really is implemented.
- (1) Greater understanding of the safety focus of planners, engineers, and environmental professionals as they engage in the planning and environmental processes. (2) Ideas about processes to

bridge public outreach for safety and that for planning and environment.

- A process in a timely framework to effectuate the CIA so it becomes effective for the community and the DOT in the planning and project development phase.

- How to integrate community needs related to bicyclists, pedestrians, transit, beyond current emphasis on highways.

- I hope to learn how to integrate CIA into the planning process, begin to acquire skills for reviewing environmental or other planning documents for assessing community impacts.

- Hope to enhance my perspective of where other FHWA, State and MPO practitioners are in regard to CIA, conceptually and practically.

- Hear the experiences of other seasoned practitioners concerning CIA. Gather knowledge to help my organization effectuate CIA.

- (1) I hope to get an understanding of CIA sufficient to incorporate the practice within the project planning and development process. In particular, I'm looking for information on how we can integrate transportation and land use planning. Work with communities to develop regional goals and how that project relates to project objectives. (2) Understand where 771/ TEA-21 are going with respect to environmental review in planning.

- A working knowledge of some best practices from around the Nation and an opportunity to learn new techniques.

- I expect to learn more about the methods to evaluate community impacts, beginning with identification of these. Also, I wish to find ways to encourage decisionmakers to consider community impacts more. Sometimes one has the tools, but one does not know it.

- How other States are doing this. How is CIA different from similar categories of analysis that would be in an EIS?

- How to improve our public outreach program. To encourage participation of public. In most cases, those who oppose a project are most vocal, yet they may not represent the views of the community.

- What other people are doing in the area of CIA. Also, ability to meet other people who do what I do and be able to share and compare experiences.

- An understanding of where other States are with CIA. An understanding of how it is being implemented. An understanding of how FHWA plans to use the results of this meeting.

- An understanding of Community Involvement vs. Community Impacts.

- An insight into an approach to CIA. How to involve community. How to analyze community impacts.

- A better understanding of community impact assessment and knowledge and how others are implementing.

- How better to reconcile the major investment studies (MIS) and NEPA processes; How to do MIS-like processes in all projects, over a shorter timeframe and get design engineers involved early on.

- Exchange of information. Learn techniques for successful CIA. Recommendations for change in FHWA, transportation policy for combining planning and environmental.

- Ideas, alternate processes used by others States in working with communities.

- A better insight into possible improvements of our public involvement process to gain more input into design development. To see what other States' views, processes, and changes are evolving.

The workshop met or exceeded expectations:

80 percent stated the workshop met or exceeded expectations.

Selected Expectations Comments:

- It's easy to see the progress being made with regard to getting the word out as to what we hope to achieve with CIA — more early, more effective decisionmaking.

- The sharing of problems, ideas, and solutions between States is critical to improving our processes. CIA has a role through the life of a project. Team-building is critical to the project-development process.

- Clear idea of CIA. More important, its role in decisionmaking. Through State initiatives, we are already practicing much of CIA, especially in regard to public involvement; e.g., Maine Sensible Transportation Policy Act (STPA).

- My understanding has increased. I have new ideas about public involvement and as a bonus, I now know how safety, environmental, design and planning specialists can work together in project development.

- Found that mutual discussions can provide help for the group. Different opinions produce consensus.

- It went beyond merely rehashing the booklet, but was action-oriented.

- Excellent networking, tremendous experience base, affirmation and validation was refueling and inspirational.

- Leroy Irwin opened the workshop by sharing his initial thoughts upon hearing about CIA, "This is nothing new." Greg King (CA) also pointed out that they were not thinking of this (CIA) as a method to, or a need to, produce another document. He said that most of us were still in the business of writing EISs, etc. In other words, our normal process, if done correctly, should cover all this. All the laws and regulations currently in place would in theory support this process.

  But, the problem, as I see it, is that EISs are rarely integrated, holistic documents, analytical tools. They tend to be segmented; i.e., do a cultural resource survey, write up that section. Do a traffic study, write up that section. Hold a public meeting, write up that section.

  I think that for this to work, there has to be an over-arching commitment to integration of the many components into one unified approach. We will need a specific set of goals and objectives that we hope to reach through our processes. A plan. A research design specific to CIA that pulls together numerous categories of analysis.

  For example, Blanche Sproul said that CIA was about giving people equal consideration as natural resources. She seemed to set up a separation of nature versus people. I disagree. Natural resources may very well be a part of the valued resources within that community. In other words, I would think that a proper community impact assessment would need to incorporate our biological and cultural resource studies into the overall analysis. Is that correct? Or no?

  I wrote this evaluation at the beginning of the second day. Some of my questions were answered during the course of the day. Some comments I made were also made by others (e.g., Buddy, in his summation of Florida's CIA process, reiterated the "nothing new here" concept) . . .

  I think Gene failed to hear the trend of opinion behind the frequent requests for more FHWA and Council on Environmental Quality (CEQ) involvement. There is a real issue of power inequity for "environmental planners" within the organizational structure of many State DOTs. Many of us, however, inspired to be "movers and shakers" on this issue will find significant resistance from some in our organizations. There is managerial fear of additional environmental requirements and a fear of backlash if we, the environmentalists, push too hard for innovation.

  I was inspired by Leroy's pep-talk on "bringing upper management along" with the CIA initiative, but I can tell you Florida is different from New Mexico. A million dollars in research programs!! I don't even know how to respond to that. We can't ever keep people on staff because of the extremely low pay, frustrations with our organizational culture, etc. Congratulations to Florida.

  I will tell you that I certainly hope to be the champion of this cause in my department, but we don't have one tenth of Florida's resources and we are years behind in establishing ourselves (and here I'm talking about the Environmental Section) as a power house within the project-development process.

I certainly don't mean to sound too strident. Just keep a few of these realities (as I perceive them) in mind please. Thanks for a great opportunity to hear good information and to meet others in my field. Looking forward to future encounters.

Selected Factors Comments:

- (1) Breakout groups' sessions should have had more time. (2) Needed more planning and MPO representatives.
- Summary: good topic, good group of people. This effort could benefit greatly from a community relations consultant, a specialist. We're relying too much on the "do it yourself" approach and need "how to" advice from a professional. I'd be happy to talk to you about this more and offer examples, if you'd like.
- Some panel members could have used a few more minutes allotted to them. The discussions were lively in breakout groups. The mix of planners and engineers, State, FHWA, and MPOs was great. Liked idea of panels in morning and breakout sessions in afternoon.
- Majority were environmental specialists. Need mixture of planning and design people as well.

Additional Comments or "Action Items" for Future CIA Research, Technology Transfer, or Training

- Getting AASHTO support for this process. Explaining different levels of CIA process, e.g., low, bridge replacement projects; medium, two-lane widening; high, EIS projects.
- I believe the encouragement of sharing actual project experiences and problems among the various DOTs and MPOs would be helpful. For example, time could be set aside for each represented DOT to read aloud a problem relating to CIA that they're currently experiencing. The group could then respond and brainstorm in an open format that would facilitate the exchange of ideas and experiences.

Average Evaluation Responses

Factor	Average Rating (Four-Point Scale)
Application to your job	3.45
Length of workshop	3.16
Panels	3.22
Breakout groups	3.07
Facility	3.21
Audience	3.44
Overall	**3.50/4.00**

- The conference was too rushed. Not enough time was allowed to present the information, nor the important question and clarification interaction that was supposed to be an integral part of this week. I felt talked at rather than an active participant. The participants, or a large majority, were managers not practitioners. There were portions of the time I felt we were in the box without any desire to change the way we do things to ensure that CIA is seriously integrated into the planning and project-development process. For the future we need to conduct training or workshops for the practitioners! I spoke with individuals that are new to CIA and were here to obtain guidance. I feel we failed them on this level. We spent more time on how to involve community in public involvement rather than actual CIA.
- Ideas incorporated onto "fact sheet" and CIA websites would be good. Great job and thank you for hosting!
- We need to develop a plan for putting recommendations into action and for getting concept to top management. A great idea is to put a CIA person to work at the same time GIS and photo reconnaissance is being done by planning division.
- Tools are needed other than continuous public involvement. Bring together the ideas explored these 2 days and what the consensus was.

- More research on qualitative issues and effects needs to be initiated to help DOTs with CIAs.

- With respect to the future of CIA research, it is suggested the additional training be geared toward strategies and techniques for coordinating the transportation-related CIA with the localities own land-use comprehensive planning. Specifically, the research should investigate how such additional training would need to be tailored to States without strong comprehensive planning requirements.

  Additional related questions might include: (1) How should State DOTs be organized for such a mission; i.e., one establishment of ongoing relationships with community planning boards)? (2) What staffing partners or relationships would be necessary?

- GENERAL OBSERVATIONS: (1) CIA has program applications. The meeting participants should have included a better balance of transportation engineers, planners, and environmentalist. In the absence of that balance too much responsibility is placed on the environmentalist for CIA implementation.

  (2) Many of the participants appeared to believe that they are outside the mainstream of the transportation process. They are not team members. If true, this makes it difficult to introduce Federal concepts, requirements, or new processes.

  (3) Some participants even indicated that environmental personnel have an adversarial relationship with others within their agency. If these people are really battling to serve, they are probably not effective as change agents.

  (4) The flow charts used by Gene Cleckley Wednesday morning were excellent. They put the project-development process in context. I wonder how many Chief Engineers across the country know that FHWA views this as the proper sequence of events?

  (5) CIA and environmental justice should be applicable to all Federal agencies. Has FHWA reached an agreement with the EPA and other Federal agencies on the value to be given to CIA results when considering impacts to wetlands, historic sites, etc.? There should be Fed-to-Fed consultation on the application of Federal requirements. In the absence of that consultation process at the Washington level the States are cast in the role of having to educate Federal agencies. The solution occurred most recently with the MIS requirement, CORPS Personnel at the District Office level still don't understand the FHWA MIS regulation.

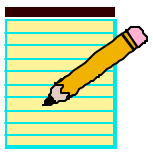
  (6) It seems to me that several of the case studies in the community impact mitigation publication should have been subject to section 4(f) requirements.

  I would like to thank Mr. Leroy Irwin for his leadership and hard work in planning and implementing this meeting. The arrangements and participant support were outstanding. I thank Leroy, Buddy, and the entire Florida DOT staff for a great job!

- (1) FTA and EPA should be involved in this process. Planning process is common to both FHWA and FTA; EPA (and others) are involved in NEPA. (2) To make this work, Feds need to encourage, require, guide, etc., to achieve buy-in from State DOT upper management, designers, and local officials. Those attending this workshop tended to be pretty far down the food chain in their organizations.

- Provide for an action plan that will follow-up and include provisions to implement recommendations from the workshop. I hope to see proactive change as a result of this workshop.

- Provide list of names, affiliations, and addresses of attendees for continued networking and information sharing. Prepare a research study to see if costs and time benefits are defined and compared to "current" rework process to "the right thing to do" argument.



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Appendix B: National CIA Workshop Agenda

Tuesday, September 15, 1998

7:30 a.m. REGISTRATION *Foyer*

8:30 a.m. OPENING SESSION *Bayshore East/Central*

Eugene W. Cleckley, Chief
Environmental Operations Division
Office of Environment and Planning
Federal Highway Administration

C. Leroy Irwin, Manager
Environmental Management Office
Florida Department of Transportation

9:00 a.m. SESSION I-1 DEFINING THE PROJECT: SCOPE AND NEED *Bayshore East/Central*

"Community impact analysts should take a strong role in defining the project in the early phases of project development" CIA: Quick Reference, page 12.

Panelists will briefly discuss the subtopics. During their discussions, please note questions on the cards provided. The cards will be collected by the moderators who will facilitate the question and answer session.

Purpose and Need

John Mettille, Jr., Administration Branch Manager
Kentucky Transportation Cabinet Department of Highways

Developing Project Alternatives

Gerald Larson, Environmental Development Unit Chief
Minnesota Department of Transportation

Issue Identification

Susan Fox, Land Use, Secondary Effects, GIS Specialist
Wisconsin Department of Transportation

Screening

Reed Soper, NEPA Specialist
Utah Department of Transportation

Tuesday, September 15, 1998 *(continued)*

9:00 a.m. SESSION I-1 DEFINING THE PROJECT: SCOPE AND NEED *(continued)*

Moderators: **Robert Laravie, Regional Environmental Manager**
New York State Department of Transportation

Judy Lindsey-Foster, NEPA, Environmental Studies, and Permits Supervisor
Maine Department of Transportation

Question and Answer Period

10:00 a.m. BREAK ***Foyer***

10:15 a.m. SESSION I-2: DEVELOPING A COMMUNITY PROFILE AND COLLECTING DATA
Bayshore East/Central

"A community profile is a summary of the history, present conditions, and anticipated future of an area. It provides an overview or series of snapshots of the area and is used as a basis for identifying potential impacts of a proposed transportation action" CIA: Quick Reference, page 14.

Panelists will briefly discuss the subtopics. During their discussions, please note questions on the cards provided. The cards will be collected by the moderators who will facilitate the question and answer session.

The Community Profile
James Klinck, Environmental Specialist
Washington State Department of Transportation

Community Goals and Values
Blanche S. Sproul, Environmental Policy Program Manager
South Carolina Department of Transportation

Data Sources and Primary Uses
Gary Toth, Bureau of Project Scope Development Manager
New Jersey Department of Transportation

Tuesday, September 15, 1998 *(continued)*

10:15 a.m. SESSION I-2: DEVELOPING A COMMUNITY PROFILE AND COLLECTING DATA *(continued)*

Moderators: **Orlando Jamandre, Environmental Affairs Division**
Texas Department of Transportation

Greg King, History, Architecture, and Community Studies Branch Chief
California Department of Transportation

Question and Answer Period

11:30 a.m. LUNCH ***The Riverview Room***

Keynote Speaker

Thomas R. Warne, Executive Director
Utah Department of Transportation

1:00 p.m. PLENARY SESSION ***The Riverview Room***

Buddy Cunill, Project Manager
Environmental Management Office
Florida Department of Transportation

1:15 p.m. SESSION I-3: FACILITATED BREAKOUTS

Participants will report to breakout sessions as assigned at registration. The session exercises and discussions will be facilitated. Each breakout group should select one person to present a summary of the group's discussion at the Plenary Session following the breakouts. Try to develop recommendations for future CIA research, technology transfer, and training.

Where and when does community impact assessment begin?
What issues need to be evaluated?
What are the roles of the MPOs, local governments, DOTs, FHWA, and others in CIA Process?
What are the Scoping Process and the role of cooperating agencies?

SESSION I-3 A (Orange) ***Bayshore Central***

SESSION I-3 B (Green) ***Bayshore West***

SESSION I-3 C (Yellow) ***Ashley Board Room***

Tuesday, September 15, 1998 *(continued)*

1:15 p.m. **SESSION I-3: FACILITATED BREAKOUTS *(continued)***

SESSION I-3 E (Red) ***Bayshore East***

SESSION I-3 F (Light Blue) ***Bayshore East***

Facilitators: **Eric Hill, Research Associate**
Peter Lupia, Research Associate
Ed Mierzejewski, Deputy Director for Engineering
Kristine Williams, Senior Research Associate
Phil Winters, Program Director for Transportation Demand Management
Center for Urban Transportation Research
University of South Florida

3:15 p.m. **BREAK** ***Foyer***

3:30 p.m. **SESSION I-4: REPORTS FROM SESSION I-3** ***Bayshore East/Central***

A representative from each breakout group will provide a ***brief*** *summary of the group's discussion, including recommendations for future CIA research, technology transfer, and training.*

4:30 p.m. **ADJOURN DAY ONE**

(*While dinner is on your own, we encourage you to take this opportunity to meet other participants. Please complete your evaluation form.*)

Wednesday, September 16, 1998

7:30 a.m. REGISTRATION *Foyer*

8:30 a.m. OPENING SESSION *Bayshore East/Central*

Summary of Day I

Beverly Ward, Deputy Director for Ethnography and Transportation Systems (ETS)
Center for Urban Transportation Research
University of South Florida

FHWA Community Impact Mitigation: Case Studies

Eugene Cleckley, Chief
Environmental Operations Division
Office of Environment and Planning
Federal Highway Administration

9:00 a.m. SESSION II-1: ANALYZING COMMUNITY IMPACTS *Bayshore East/Central*

"After the transportation alternatives and a preliminary community profile have been defined, the analyst examines the relationship between the proposed transportation action and community life" CIA: Quick Reference, page 21.

Panelists will briefly discuss the subtopics. During their discussions, please note questions on the cards provided. The cards will be collected by the moderators who will facilitate the question and answer session.

Evaluating Impacts

Charles Howard, Transportation Planning Manager
Washington State Department of Transportation

Evaluating Disproportionate Impacts

Leigh Lane, Project Planning Engineer
North Carolina Department of Transportation

Selecting Analysis Tools

Nancy Ledbetter, Principal Planner
Austin Metropolitan Planning Organization

Moderators: **John F. Isom, Socioeconomic Specialist**
Arkansas State Highway and Transportation Department

Donald Sparklin, Project Environmental Manager
Maryland Department of Transportation, State Highway Department

Wednesday, September 16, 1998 *(continued)*

9:00 a.m. SESSION II-1: ANALYZING COMMUNITY IMPACTS *(continued)*

Question and Answer Period

10:00 a.m. BREAK ***Foyer***

10:15 a.m. SESSION II-2: IDENTIFYING SOLUTIONS ***Bayshore East/Central***

"When adverse impacts are identified, analysts should identify potential methods to address them. This step in the community impact assessment process involves problem-solving and generating solutions" CIA: Quick Reference, page 30.

Panelists will briefly discuss the subtopics. During their discussions, please note questions on the cards provided. The cards will be collected by the moderators who will facilitate the question and answer session.

Addressing Impacts

Timothy Hill, Environmental Administrator
Ohio Department of Transportation

Avoid/Minimize/Mitigate/Enhance

Joe Bearrentine, Environmental Specialist
Alabama Department of Transportation

Moderator: **Terrence A. Taylor**
Miami-Dade Metropolitan Planning Organization Secretariat

Question and Answer Period

11:30 a.m. BUFFET LUNCH ***The Riverview Room***

(*Don't forget to complete your evaluation form.*)

Wednesday, September 16, 1998 *(continued)*

1:00 p.m. **PLENARY SESSION** ***The Riverview Room***

Buddy Cunill, Project Manager
Environmental Management Office
Florida Department of Transportation

1:15 p.m. **SESSION II-3: FACILITATED BREAKOUTS**

Participants will report to breakout sessions as assigned at registration. The session exercises and discussions will be facilitated. Each breakout group should select one person to present a summary of the group's discussion at the Plenary Session following the breakouts. Try to develop recommendations for future CIA research, technology transfer, and training.

What is the role of Public Involvement?
How do you effectuate organizational change for CIA purposes?
How do you incorporate CIA techniques into the decisionmaking process?
What future actions are needed fully to integrate CIA?

SESSION II-3 A (Orange)	***Bayshore Central***
SESSION II-3 B (Green)	***Bayshore West***
SESSION II-3 C (Yellow)	***Ashley Board Room***
SESSION II-3 E (Red)	***Bayshore East***
SESSION II-3 F (Light Blue)	***Bayshore East***

Facilitators: **Jennifer Hardin, Research Associate**
Eric Hill, Research Associate
Laura Lachance, Research Associate
Ed Mierzejewski, Deputy Director for Engineering
Kristine Williams, Senior Research Associate
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3:15 p.m. **BREAK** ***Foyer***

Wednesday, September 16, 1998 *(continued)*

3:30 p.m. SESSION II-4: REPORTS FROM SESSION II-3 ***Bayshore East/Central***

A representative from each breakout group will provide a ***brief*** *summary of the group's discussion, including recommendations for future CIA research, technology transfer, and training.*

4:30 p.m. CLOSING SESSION ***Bayshore East/Central***

Florida Overview

Buddy Cunill, Project Manager
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Summary of Day II

Beverly Ward, Deputy Director for ETS
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Future Actions Based on Recommendations

5:00 p.m. WORKSHOP ENDS

Please leave evaluation forms at the registration table. Thank you!

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Appendix D: National Community Impact Assessment Workshop Breakout Sessions Recommendations

National CIA Workshop Breakout Sessions Recommendations: Session I-3

Where and when does community impact assessment begin?	**What issues need to be evaluated?**	**What are the roles of the MPOs, local governments, DOTs, FHWA, and others in the CIA process?**	**What are the Scoping process and the role of cooperating agencies?**
· As early as possible, in "planning" · Long range or systems planning · Project planning · When planning begins · With the agency that's scoping out the project · With the agency in a leadership role and/or visionary role · When it is identified by the public or press: it is a common problem · As early as possible	· Whatever is important to community · Difference between community participation and community impact assessment · Need social science skills (science practical) · Community cohesion schools, districts · Before the transportation improvement program (TIP) or state implementation plan (SIP) or long range transportation plan (LRTP) · Planning Phases Vary · At the "problem identification" stage · "What does the community value?"	· Implement projects · Funneling of information · Role of State - be a good listener and remain open-minded · MPO - visionary role · DOT - visionary and project · Cannot push responsibility on locals and take it back if we don't like what's said	· Scoping has a different meaning depending on stage of involvement: clarify a uniform scoping process
· At the need identification stage · At the MPO planning stage: Purpose versus Need	· Community regional issues, goals, stakeholders issues, and resolving disparity · How to reconcile conflicting issues · Community-based issues (public involvement with community) · Identified transportation problems (congestion and mobility) · Alternative mode · Existing and future conditions safety issues · Public administration issues versus political issues	· To identify goals and values of community through community involvement, and determine how to maintain goals with respect to project, local MPO · Equal involvement of community, neighborhood, people and not just agencies · All government agencies, officials need to share and play leadership roles in bringing people together · Educate the public about public process and technical criteria · Remove "us and them" attitude – "WE" · Locals should effectively communicate what they want	Cooperating agencies need to take responsibility/ownership: 1. Regulatory 2. Participating agencies · Identify nontraditional participants · Give focus to designated participants · Make sure agencies involved have adequate resources, staff · Regularly scheduled meetings with all involved · Adjust decision making to amount of information available · Involve in training and decisionmaking (outside, community participants)
· Early in programming and planning · As soon as project identification · As soon as a need is identified · As a part of MPO process · MPO/Statewide system plan · Local/State/MPO…all levels · Identify community goals before project or specific needs · As soon as the project objects are identified · System planning · Considering of a impact that effects a community. · During an environmental process. · When feasible advance planning.		· To improve prioritization process and better educate public about it · All collaborative partners that should work to solve problems through consensus · State Department of Transportation role is to lead the CIA process and coordinate the other agencies. Maintain continuity, consistency, and build links · Not just compliance, but also incorporation all reasonable concerns (guarantee) · Improve representation of the community (local) · Various agencies need to accept responsibility · FHWA/ STATE roles defined	

Where and when does community impact assessment begin?	What issues need to be evaluated?	What are the roles of the MPOs, local governments, DOTs, FHWA, and others in the CIA process?	What are the Scoping process and the role of cooperating agencies?
· Before any decisions are made · Thinking stage (ideas) · Early on when the projects' needs being decided. · Start at intake phase at MPO · PRIORITIZATION · Do your homework community profiles · Begin with FHWA · Occurs during NEPA · Initiated by the State DOT			· Cooperating agencies need to take responsibility · Information sharing is limited between agencies · Not enough clarity in understanding process · Design, declare, defend · Develop project prior to environmental issues · Early NEPA scoping to cover environmental and other issues · Cooperating agencies have narrow jurisdiction · Community involvement is too late in process · Internally mainly · Agreement allows priorities · "May" lead to some projects being side lined · Allows participation that is more focused · Not an agency with authority in CIA · Project authorization process restricts comprehensive scoping · Scoping meetings are regularly held, involves all · What scoping are we talking about (NEPA required)?
			· Small scale development team with community input · NEPA not integrated in planning · Decisions are already made · Partners aren't owners · Techniques for getting input and response early in process · How to get and keep people interested over long term

National CIA Workshop Breakout Sessions Recommendations: Session II-3

What is the role of Public Involvement?	How do you effectuate organizational change for CIA purposes?	How do you incorporate CIA techniques into the decisionmaking process?	What future actions are needed to fully integrated CIA?
@ Hearing/active listening to your customers (not passive but doing) @ Defines what real problems are @ Ways to identify quality of life issues @ Consider different alternatives suggested by public @ Leads you to mitigation strategies @ Make sure it is not just a hurdle @ Way to measure intensity of public about issues @ Help define purpose and need @ Vehicle for information exchange @ Find out what they(Public) /we really want instead of what they're/we're asking for	@ Education of decisionmakers to affect CIA Demonstrate positive behavior and results @ Buy-in by top management @ Changes in streamlining project management @ Demonstrate how it speeds up the process @ Grass-root support @ Time and resources @ Attitude changes	@ Put decisionmakers face-to-face with people affected (the public) @ Public involvement process. @ To gather data @ Ongoing meetings to keep people informed @ MPOs need to do planning and make some decisions @ Is there an impact? @ Recognize that we are decision-makers not just management. @ Need to put together entire case with successful cases and it will sell itself @ Need to involve all interest groups.	@ Get agency to accept concept of CIA @ Written policy developed within State DOT that outlines process for CIA @ Comfortable and accepted @ Buy-in by agency @ This conference needs to define what CIA is…What is included. @ More training in CIA for everyone including upper management @ Train public on how they can get involved
@ Continuous information sharing @ Identify solutions. @ Building credibility and trust. @ Getting information from the public on needs, goals, values and concerns. @ Public involvement in the decisions. @ Dialogue @ Public education on issues @ Get public inputs in purpose and needs and impact. @ Communication (early and effective) @ Public involvement in every stage of the project development. @ Gain support for projects.	@ Must make agency comfortable with process @ FHWA should send memorandum (not mandate) to State DOT to "beef-up" CIA sections @ Believe it yourself @ Knowing that there is flexibility in what can be done in the process for: mitigation, communicating this to the public @ Get engineers to take ownership @ Need university courses to cover CIA	@ Conducted early in the process. @ Link it to decisionmaking @ Build the technique to a critical path. @ Another tool of analysis @ Be creative	@ Just do it! @ Do better job of public involvement @ Descriptions in job (of person doing CIA) about CIA @ Structure for financing mitigation techniques. @ Changing thinking by engineers that public meetings are just hurdles that need to be cleared…need ownership by engineers. @ Buy-in by FHWA Divisions
@ Essential [like good breakfast!!] @ Part of CIA @ Two-way process @ Scope problem and solution @ No " ivory- tower" solutions @ Feedback @ New ideas @ Public involvement program needs to be well-planned	@ Educate practitioners on what to look for @ Top management " buy-in" / support show savings in time/ cash (repeat message) @ (NIKE® "swoosh" sign) "Just do it" @ Attitudinal change @ Cooperation - top management CIA team @ Reflect in "procedures" to institutionalize @ Reflect in personnel—recruitment, job descriptions @ Don't fear mistakes @ Can't focus on future "court" action defense	@ Incorporate CIA into standardized decision making process related to NEPA entire process (where applicable) @ Change attitudes in the department to minimize turf issues attitude not organization @ Personalize the CIA process @ Cross-train and educate @ Consciousness-raising, "it's the right think to do." @ Defining the roles and stages in the CIA process @ Leadership from FHWA @ Have States go through environmental leadership seminars	@ Just do it @ Best practices in variety of projects @ Guidance and education @ Continuous information sharing @ Demonstrate positive behavior, results and education of decisionmakers so as CIA affects the bottom line @ Training, awareness, and accountability
@ Cornerstone of a successful CIA. @ Equal standing in process. @ Provides qualitative piece of CIA @ Reduce the rework and provide guidance @ Give and take @ Helps to identify problem and possible solutions @ Test effectiveness of CIA @ Technical advisory committees and community leaders help bring issues to forefront @ Educate peers about need, benefits and outcomes.	@ JUST DO IT! Personal responsibility for CIA @ Peer to peer review @ Use TEA-21 enhancement funds to supplement the process, coordinate process @ Incorporate CIA into standardized decision-making process (planing, NEPA, design), policy change, team work @ Environmental leadership/upper management buy-in/ increased FHWA leadership @ Right thing to do @ Examples of successes @ Talk to them [public, management, peers] @ Champion the cause @ Institute team approach to CIA @ Include internal and external customers @ Show personal benefits of working together @ Define and refine individual roles.		@ Buy-in, upper management, communication @ More communication, intra-department @ Educate decisionmakers @ Greater efforts in public awareness @ Acknowledge and demonstrate need for CIA @ Educate, educated, education @ Team process to solve problems as they arise and keep process moving @ Change attitudes with department (Pro-CIA) @ Assume leadership role to make it happen, proponent of CIA. @ Increased leadership, FHWA

Appendix E: National Community Impact Assessment Workshop Evaluation Form

Name (optional) _____
Position Title (optional) _____
Organization (optional) _____

Before the workshop begins, please write a few sentences on what **you** hope to gain.

_____
_____
_____

At the conclusion of the workshop, please answer the following:

Did the workshop meet or exceed your expectations? _____ Yes _____ No

Please Explain _____
_____

Please rate the following factors by checking the appropriate blank:

Factor	**Excellent**	**Good**	**Fair**	**Poor**	**N/A**
Application to your job	_____	_____	_____	_____	_____
Length of workshop	_____	_____	_____	_____	_____
Panels	_____	_____	_____	_____	_____
Breakout groups	_____	_____	_____	_____	_____
Facility	_____	_____	_____	_____	_____
Audience	_____	_____	_____	_____	_____

If you rated any factors "Poor," please explain _____
_____
_____

Circle the number that indicates your overall evaluation of the workshop.

Excellent	**Good**	**Fair**	**Poor**	**N/A**
4	3	2	1	0

Please any additional comments about items that should be included in an "action plan" for future CIA research, technology transfer, or training on the back of this form. Thank you!

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