Regional Cooperation in Transportation Planning

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16. Abstract

Florida has a very comprehensive metropolitan planning organization (MPO) designation process, and is in need of better cooperation and coordination among transportation planning agencies to ensure effective regional planning among various state agencies. This is a literature and statutory review of metropolitan planning organizations, regional planning, rural planning, and intermodal planning. Incentives for regional planning, methods of identifying needs, priorities, and investment decisions are also reviewed. Three searches were conducted to identify designation of MPOs as it pertains to federal law, U.S. Title 23. Researchers reviewed state statutes, administrative codes, and state department of transportation (DOT) websites to identify MPO designation process, powers/duties, and composition. Trends across the fifty states show that Florida's MPO designation process in state statutes, administrative code, and through FDOT is more comprehensive, detailed, and thorough than most states in the country. Close to half of the states define or designate MPOs in either the statutory language or administrative code, but none go to the depth of information as Florida. Incentive programs are typically not statewide, but are at the regional or local level. The only example of a statewide incentive program for regional transportation coordination remains Florida's transportation regional incentive program (TRIP); North Carolina has an incentive focused on projects in rural areas and Virginia has a broad regional incentive program that includes transportation. The relationships between FDOT districts and regional transportation entities is examined, as well as the legal basis for which the transportation planning process is prescribed by law in the state of Florida. Our research suggests modifications to the existing structure of the transportation planning system in Florida and the detail to which it is prescribed in the statutes. Improved regional cooperation in transportation is the ultimate goal of this research, and through focusing on specific goals, FDOT will be able to encourage and create incentives to spur cooperation between MPOs, FDOT districts, counties and local governments. Improved regional coordination will allow the state to pursue transportation projects and economic development initiatives that sustain Florida's advanced transportation system and promote its future development.

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Executive Summary

Summary of Final Report, BDK77 977-16
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Background

The 2060 Florida Transportation Plan (FTP) calls for a fundamental change in how and where Florida invests in transportation to make our economy more competitive, our communities more livable, and our environment more sustainable for future generations (FDOT, 2010). The FTP also observes that the large number of governmental entities responsible for transportation planning and funding decisions poses a significant challenge to implementing the 2060 FTP and calls for improved regional decision making (FDOT, 2010).

Florida has more metropolitan planning organizations (MPOs) than any other state and a relatively large number of fixed route transit system operators, airports, seaports, and toll authorities. Most of these entities operate at a county scale. Florida's economy increasingly functions at a regional scale, but few organizations are able to coordinate regional transportation priorities today. Improved regional decision making will require restructuring existing institutions and processes, including consolidation of transportation entities to reflect urbanized area growth trends, commuting patterns, funding mechanisms, and other economic relationships (FDOT, 2010).

Objectives

The objective of this research is to conduct a literature review of regional transportation practices in other states, highlighting innovative transportation planning approaches that support implementation of the key strategies identified above for regional transportation planning and cooperation included in the 2060 FTP. This review includes the following objective tasks that result in the final report:

- Develop frameworks, from scholarly and practice-based literature, for understanding regional institutions and planning.
- Review how states designate MPOs by state law, the powers and duties assigned to these MPOs by state law (i.e., beyond federal requirements) and the composition of the MPO.
- Identify examples of existing regional transportation planning efforts in Florida.
- Identify incentives established by states to encourage formation of regional planning, coordination and partnerships among MPOs, transit and other transportation agencies.
- Summarize how MPOs and other regional transportation agencies address regional transportation needs and priorities and integrate investment decisions with regional priorities, regional transit, regional land use decisions and development review – including alternatives to traditional level of service and local transportation concurrency.
- Identify examples of regional transportation planning entities that support regional cooperation and transportation investment decisions to address needs of rural areas.
- Identify examples of regional planning and coordination among seaports, airports, spaceports, railroads, and other modal partners.
- Develop recommendations for improving regional transportation planning, regional cooperation and priority setting, regional investment planning and decision making in Florida. This task will include the preparation of a final report documenting the findings of all tasks in the project.

Findings and Conclusions

Trends across the fifty states show that Florida's MPO designation process in state statutes, administrative code, and through the FDOT is more comprehensive, detailed, and thorough than most states in the country. About half of the states define or designate MPOs in either the statutory language or administrative code, but none go to the depth of prescriptive information as Florida.

Incentive programs are typically not statewide, but are at the regional-wide or local level. Also, most incentive programs are designated for one or two specific purposes. These purposes can include transit and development of multimodal transportation, smart growth, TOD, livability, community development, affordable housing, intermodal connectivity, and environmental sustainability. The only example of a statewide incentive program for regional transportation coordination remains Florida's transportation regional incentive program (TRIP). Two other states – North Carolina and Virginia – have statewide programs; North Carolina's focuses on rural regions while Virginia's program covers several areas of planning, including transportation. California and Texas are also recommended for further research about regional incentive programs because they have transportation-related regional incentive programs.

Evaluating state priorities and programs, our team noted that system preservation is a common high priority theme among all states. Some states' priorities, such as Illinois and New York, are determined more independently by the state DOT than regional entities. Some states put heavy emphasis on planning tools and performance measures, such as Georgia. Some states coordinate/partner and consult with stakeholders like MPOs, such as California, New Jersey, and Ohio. Some states, such as Colorado, review the plans of local governments, MPOs, and past studies to determine their priorities. And some states use a combination of these approaches.

Rural transportation planning across many states increased in the 1990s as a result of federal legislation and guidance. Thirty states have designated regional planning organizations (RPOs) to represent rural areas in statewide planning processes, such as in the creation of statewide transportation improvement plans, and these organizations are commonly housed within existing regional planning agencies. There are many other mechanisms that states have adopted to support rural transportation, particularly within initiatives for growth management.

Florida's regional freight planning has many aspects that are described as best practices, including data and analytical tools for the Florida Intermodal Statewide Highway Freight Model, and private sector participation for the Florida Freight Stakeholders Task Force. FDOT has included private sector participation in the leadership committees formed to draft various statewide plans – FTP, SIS, and Rail Systems Plan. Florida is identified for several best practices within a variety of areas representing components of good freight planning, and recently created the Office of Freight Planning and Logistics, intended to overall focus upon freight planning and coordinate the efforts among the modal offices (e.g., rail, seaport, aviation, and highway). States recognized for their demonstration of effective, comprehensive statewide freight planning that serve as good models include California and Washington.

Benefits

The findings of this research will be used as Florida looks to make modifications to the state's existing transportation planning structure through the Florida 2060 State Transportation Plan. The relationships between FDOT districts and regional transportation entities will be called into examination, as well as the legal basis for which the transportation planning process is prescribed by law in the state of Florida. Our research suggests modifications to the existing structure of the transportation planning system in Florida and the detail to which it is prescribed in the state legislation.

Improved regional cooperation in transportation is the ultimate goal of this research, and through focusing on specific goals, FDOT will be able to encourage and create incentives to spur greater cooperation between MPOs, FDOT districts, counties and local governments. Improved regional coordination will allow the state to pursue transportation projects and economic development initiatives that sustain our way of life and improve the quality of life for all of the citizens of the state.

This research project was conducted by Dr. Ruth Steiner, of the Department of Urban and Regional Planning at the University of Florida. For more information, contact Maria Cahill, Project Manager, at Maria.Cahill@dot.state.fl.us.

Table of Contents

Disclaimer ..... *ii*

Technical Report Documentation Page ..... *iii*

Acknowledgements ..... *iv*

Executive Summary ..... *v*

List of Figures ..... *viii*

List of Tables ..... *ix*

List of Abbreviations/Acronyms ..... *x*

Chapter One*: Introduction* *1*

Chapter Two*: Methodology* *3*

Chapter Three*: Conceptual Framework* *5*

Chapter Four*: Findings* *17*

Existing Regional Transportation Planning in Florida *17*

MPO Designation, Powers, and Duties *28*

Incentive Programs *32*

Strategies for Addressing and Prioritizing Investment Decisions with Regional Needs *36*

Regional Transportation Planning in Rural Areas *47*

Coordination with Freight Planning *49*

Coordination with Transit Planning *62*

Coordination with Seaport and Spaceport Planning *65*

Chapter Five*: Discussion* *67*

Chapter Six: *Conclusions* *73*

References Cited *74*

Appendix A*: State Information Tables* *80*

List of Figures

Figure 1 *- Overarching Framework* *8*
Figure 2 *- State Policies and Programs Framework* *9*
Figure 3 *- Regional Institutions and Planning Framework* *10*
Figure 4 *- Florida's Regional Agencies, Initiatives, and Relation to Other Levels of Government* *18*
Figure 5 *- Florida's Transportation Planning Entities, Divisions, & Transportation Planning Documents* *19*
Figure 6 *– Florida MPOs and Designated TMAs* *21*
Figure 7 *– Florida Regional Transportation Authorities* *26*
Figure 8 *– Counties in the TRIP Program* *32*
Figure 9 *- Planning Processes Used to Develop Access Ohio 2004-2030* *41*
Figure 10 *- Transportation and Comprehensive Planning Structure in Pennsylvania* *44*
Figure 11 *- Freight Railroads in the United States* *51*
Figure 12 *- California Goods Movement Action Plan Phase II Work Group Structure* *54*
Figure 13 *– Florida Rail Network 2006* *55*
Figure 14 *- Chicago Regional Policy Board* *57*
Figure 15 *– Florida's Seaport System* *66*
Figure 16 *– Spaceports in the United States* *66*

List of Tables

Table 1 *- Key Features versus Regional Integration: Focus on Metropolitan Transportation Planning..... 11*

Table 2 - *Key Features versus Regional Integration: Focus on Metropolitan Transportation Planning..... 12*

Table 3 *- Key Features versus Regional Integration: Focus on Metropolitan Transportation Planning..... 13*

Table 4*- Key Features versus Regional Integration: Focus on Metropolitan Transportation Planning..... 14*

Table 5 *- Regional Context and Capacity, Capacity Building and Evolution, Versus Regional Integration 15*

Table 6 *- State Findings for Statutes..... 30*

Table 7 *- State Findings for Administrative Code and DOT 31*

Table 8 *- Freight Transportation Offices or Programs in California 60*

Table 9 *- Freight Transportation Offices or Programs in New Jersey 60*

Table 10 *- Freight Transportation Offices or Programs in New York..... 61*

Table 11 *- Freight Transportation Offices or Programs in Maine 61*

Table 12 *- Freight Transportation Offices or Programs in Pennsylvania 61*

Table 13 *- Freight Transportation Offices or Programs in Washington..... 62*

Table A.1 *– State Information Table: Alabama - Hawaii 80*

Table A.2 *- State Information Table: Idaho – Michigan 81*

Table A.3 *- State Information Table: Minnesota - North Carolina 82*

Table A.4 *– State Information Table: North Dakota - Utah..... 83*

Table A.5 *– State Information Table: Vermont - Wyoming..... 84*

List of Abbreviations/Acronyms

AASHTO	American Association of State Highway and Transportation Officials
ACT	Area Commissions on Transportation
ADOT	Arizona Department of Transportation
AMPO	Association of Metropolitan Planning Organizations
ARC	Atlanta Regional Commission
BART	Bay Area Rapid Transit District
BRT	Bus Rapid Transit
Caltrans	California Department of Transportation
CDOT	Colorado Department of Transportation
CFRTA	Central Florida Regional Transportation Authority
COG	Council of Government
CPO	County Planning Organization
CTC	County Transportation Commission
DOT	Department of Transportation
EPA	Environmental Protection Agency
FDOT	Florida Department of Transportation
FHWA	Federal Highway Administration
FSA	Florida Statutes Annotated
FTA	Federal Transit Administration
FTC	Florida Transportation Commission
FTP	Florida Transportation Plan
GDOT	Georgia Department of Transportation
GIS	Geographic Information Systems
HUD	U.S. Department of Housing and Urban Development
IDOT	Illinois Department of Transportation
IRRS	Interregional Road System
ISTEA	Intermodal Surface Transportation Efficiency Act
ITS	Intelligent Transportation Systems
LRTP	Long-Range Transportation Plan
MDOT	Maryland Department of Transportation
MPO	Metropolitan Planning Organization
MPOAC	Metropolitan Planning Organization Advisory Council
MTC	Metropolitan Transportation Commission
NADO	National Association of Development Officials
NCHRP	National Cooperative Highway Research Program
NCDOT	North Carolina Department of Transportation
NFCA	Northwest Florida Corridor Authority
NJDOT	New Jersey Department of Transportation
NYSDOT	New York State Department of Transportation
ODOT	Oregon Department of Transportation
OhioDOT	Ohio Department of Transportation
PennDOT	Pennsylvania Department of Transportation
PFA	Priority Funding Area
RDC	Rural Development Commissions

RPC	Regional Planning Council
RPO	Regional Planning Organization
RTA	Regional Transportation Authority
RTC	Regional Transportation Commission
RTP	Regional Transportation Plan
SAFETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users
SCAG	Southern California Association of Governments
SFRTA	South Florida Regional Transportation Authority
SIS	Strategic Intermodal System
SLRTP	Statewide Long-Range Transportation Plan
STIP	State Transportation Improvement Program
STP	Surface Transportation Program
TBARTA	Tampa Bay Area Regional Transportation Authority
TEA	Transportation Enhancement Activities
TEA-21	Transportation Equity Act for the 21st Century
TIP	Transportation Improvement Program
TMA	Transportation Management Area
TND	Traditional Neighborhood Development
TOD	Transit-Oriented Development
TRB	Transportation Research Board
TRIP	Transportation Regional Incentive Program
TxDOT	Texas Department of Transportation
UDOT	Utah Department of Transportation
USDOT	United States Department of Transportation
VDOT	Virginia Department of Transportation
VMT	Vehicle Miles Traveled
WSDOT	Washington State Department of Transportation

Chapter One: Introduction

The 2060 Florida Transportation Plan (FTP) calls for a fundamental change in how and where Florida invests in transportation to make our economy more competitive, our communities more livable, and our environment more sustainable for future generations (FDOT 2010). The plan also observes that the large number of governmental entities responsible for transportation planning and funding decisions poses a significant challenge to implementing the 2060 FTP and calls for improved regional decision making (FDOT 2010).

Florida has more metropolitan planning organizations (MPOs) than any other state, and a relatively large number of fixed route transit system operators, airports, seaports, and toll authorities (FDOT 2010). Most of these entities operate at a county scale. Florida's economy increasingly functions at a regional scale, but few organizations are able to coordinate regional transportation priorities today. Improved regional decision making will require restructuring existing institutions and processes, including consolidation of transportation entities to reflect urbanized area growth trends, commuting patterns, funding mechanisms, and other economic relationships (FDOT 2010).

Key strategies of the 2060 FTP include the following (FDOT 2010):

- Transition Florida's MPO structure to focus on regional and metropolitan scale transportation issues (e.g., stronger coordination among MPOs within common urbanized areas, long term consolidation of MPOs within urbanized areas or broader regions).
- Strengthen regional transportation planning and priority setting in rural areas.
- Develop a governance structure to promote integrated regional transit throughout Florida, including potential consolidation of existing transit agencies or creation of regional transit agencies.
- Strengthen regional planning and coordination among seaports, airports, spaceports, railroads, and other modal partners.
- Provide financial incentives and technical assistance to help Florida's MPOs, transit agencies, and other entities transition to this regional model.

The 2060 FTP (FDOT 2010) also observes Florida should make its most significant transportation decisions – those involving new facilities or services, or major expansion or transformation of existing ones – in the context of long-range visions about the future growth and development of Florida's regions. Today, most regions of Florida are participating in regional visioning processes. Visioning processes in Central Florida and Tampa Bay, for example, have helped accelerate transformative investments, including plans to introduce high speed rail, commuter rail, and light rail. In addition to ongoing community visioning efforts, the plan encourages Florida to continue developing, implementing, and maintaining visions at regional and statewide levels (FDOT 2010).

Objective of Research

The objective of this research is to conduct a literature review of regional transportation practices in other states highlight innovative transportation planning approaches that support implementation of the key strategies identified above for regional transportation planning and cooperation included in the 2060 FTP.

Scope of Work and Supporting Tasks

To support implementation of the 2060 FTP, this research study includes a literature review of regional transportation practices in other states, highlighting innovative regional transportation planning approaches. This review includes the following tasks:

- *Task 1*: Develop frameworks, from scholarly and practice-based literature, for understanding regional institutions and planning.
- *Task 2*: Review how states designate MPOs by state law, the powers and duties assigned to these MPOs by state law (i.e., beyond federal requirements,) and the composition of the MPO
- *Task 3*: Identify examples of existing regional transportation planning efforts in Florida.
- *Task 4*: Identify incentives established by states to encourage formation of regional planning, coordination and partnerships among MPOs, transit and other transportation agencies.
- *Task 5*: Summarize how MPOs and other regional transportation agencies address regional transportation needs and priorities and integrate investment decisions with regional priorities, regional transit, regional land use decisions and development review – including alternatives to traditional level of service and local transportation concurrency.
- *Task 6*: Identify examples of regional transportation planning entities that support regional cooperation and transportation investment decisions to address needs of rural areas.
- *Task 7*: Identify examples of regional planning and coordination among seaports, airports, spaceports, railroads, and other modal partners.
- *Task 8*: Develop recommendations for improving regional transportation planning, regional cooperation and priority setting, regional investment planning and decision making in Florida.

Our research methodology is outlined in Chapter 2, and is based upon the combination of literature review and online research for data collection for each of the fifty states. The presentation of our study findings begins in Chapter 3 with a review of conceptual frameworks, developed from scholarly and practice-based literature, for understanding regional institutions and planning. The literature review for the remaining sections is mixed into the findings and discussion sections for each of the other topics addressed in this report. Findings of the research are presented in Chapter 4, arranged into the following categories:

- Existing Regional Transportation Planning in Florida,
- MPO Designation, Powers and Duties,
- Incentive Programs,
- Strategies for Addressing and Prioritizing Investment Decisions with Regional Needs,
- Regional Transportation Planning in Rural Areas,
- Coordination with Freight Planning,
- Coordination with Transit Planning

Discussion of findings and notable practices from states' programs and practices is found in Chapter 5, along with a discussion on relationships between transportation planning entities in Florida. Final recommendations for further study and analysis follow in Chapter 6, concluding with a look towards the future of regional cooperation in transportation planning.

Chapter Two: Methodology

In this research, the primary research methodology focuses on literature review and a review of on-line documents that are mostly found on state DOT websites. The specific steps taken in each step of the research are outlined below.

The first task – the development of a conceptual framework – used literature from scholarly and practice-based literature. Of particular interest in this section are articles that specifically address regional cooperation in transportation planning (e.g., Dempsey et al. 2000; Goldman and Deakin 2000; National Policy Consensus Institute 2006; USGAO 2009; Goetz et al. 2009; NADO and AMPO 2009). The development of this framework involves an extensive review of literature on regionalism as it applies to many areas of public policy.

In the second task – a review of state laws applicable to MPOs – we began our research process by examining state statutes and administrative code for all 50 states. A thorough review was conducted of how states designate MPOs, the powers and duties assigned to the MPOs, their composition. This was conducted through online searches of state statutes, administrative codes, DOT websites, and review of supplementary literature. The designation of an MPO typically includes a definition of the organization, its powers, and how it is constituted. Federal legislation describes general guidelines for the creation of MPOs, but it is the responsibility of the state to decide how to designate them. Forms of designation and detail of designation vary greatly, as will be described in more detail in later chapters. An example of MPO designation in a state statute is below, taken from Alaska State Statutes, Title 19, Chapter 19.20, Article 2:

> In order to coordinate transportation planning in urbanized areas and achieve the transportation planning goals of 23 U.S.C. 134 and 49 U.S.C. 5303 - 5306, a metropolitan planning organization shall be established for each metropolitan area of the state when required for participation in a federal transportation program.

The designation of MPOs can also be accomplished through state administrative code. An example of MPO designation in a state administrative code is below, taken from Connecticut Administrative Code:

> "Local planning agency" means a metropolitan planning organization, as provided in 23 U.S.C. 134, a regional planning agency, as provided in section 8-31a, a regional council of elected officials, as defined in subdivision (2) of section 4-124i or a council, as defined in subsection (f) of section 4-124c;

To understand regional transportation planning efforts in Florida, we identified online sources and literature to learn more about the various institutional arrangements and the extent of regional transportation planning in Florida. Relevant state statutes were identified as well as information about the structure of MPOs, Regional Planning Councils (RPCs), and Transportation Management Areas (TMAs) in Florida.

Our search for incentive programs became very limited due to the lack of identifiable information and descriptions of such programs. Using the Florida Transportation Regional Incentives Program (TRIP) as a model, searches for similar programs were undertaken to identify incentive programs in other states. In addition, examples of regional and statewide planning partnerships were documented for each state. However, there was very little information about the incentives for those partnerships or how they came to be.

Federal law dictates regulations for the ways that states should determine priorities, needs, and make investment decisions. Inconsistencies in the federal regulations are reflected in vagueness on state DOT

websites. Federal requirements for each state to produce a long-range state transportation plan, detailing priorities, needs, and investment decisions enabled us to identify patterns and trends in eleven representative states – Arizona, California, Colorado, Georgia, Ohio, Oregon, Pennsylvania, Texas, Utah, Virginia, and Washington. These states were chosen for their similarity to Florida in population and governance. These plans were reviewed as to how regional priorities, regional transit, regional land use decisions, and development review are made. In addition, relationships and partnerships with counties and MPOs were noted in each state plan.

The review of regional transportation planning in rural regions was completed through examination of state statutes, the website for the Association of Rural Planning Organizations, and literature on rural transportation planning by the Association of Metropolitan Planning Organizations (AMPO) and National Association of Development Officials (NADO).

Examples of regional planning and coordination among seaport, airports, spaceports, railroads and other modal partners was completed by reviewing the literature on multimodal and intermodal freight and passenger transportation. We identified several pertinent National Cooperative Highway Research Program (NCHRP) studies available through the Transportation Research Board (TRB) website. In addition, during the review of state statutes, maps of intermodal transportation system networks were identified.

Chapter Three: Conceptual Framework

Purpose of the Conceptual Framework

The objective of this research project was to gather data (from primary and secondary sources) of regional transportation practices in other states in order to identify innovative transportation planning approaches that support implementation of the key strategies for regional transportation planning and cooperation included in the 2060 FTP. To guide this project, we developed a conceptual framework, from scholarly and practice-based literature, for understanding the relationships between state policies and programs, regional institutions and planning, and the degree of regional integration achieved. This framework is general, but it can be adapted to incorporate means and purposes specific to regional transportation planning. The conceptual framework can also apply to regional coordination of any defined region, such as metropolitan area, rural area, or mega-region. This chapter first summarizes the literature concerning regional institutions and planning. The chapter then presents and explains the conceptual framework.

Literature Review of Regional Institutions and Planning

A region, as defined for governance purposes, is typically a combination of physical, social, and institutional systems. Regions defined for transportation planning include metropolitan areas, rural areas, sub-state regions (e.g., districts) or commute-sheds, transportation corridors, and mega-regions. A region may orient around a particular system, such as the transportation system, or may be more comprehensive and integrated in scope, e.g., including land use. Typically regions exist at an institutional level between local jurisdictions and state government, but they may also involve inter-state (or even international) relationships. The regional boundaries chosen depend on the particular reasons for creating regional governance.

Several reasons explain why local jurisdictions, community groups, and states identify regions and form regional governance (Walker 1987; Grossman 1995; American Planning Association 1996; Gifford and Pelletiere 2002; Hooghe and Marks 2003). Regionalism (1) provides a holistic perspective of a system for planning, inter-jurisdictional coordination, and administrative purposes; (2) achieves economies of scale by pooling resources such as revenues, technical assistance, and service delivery; (3) integrates sectors, i.e., the various special-purpose planning initiatives such as transportation and land use, and thus increases administrative efficiency; (4) provides geographic coverage and representation (political power) in decision making processes; (5) allows public participation, data gathering, and implementation of state and federal programs; and (6) enables two-way communication and conflict resolution vertically between local and state or federal governments, and horizontally across jurisdictions. The growing complexity of urban and rural systems, increasing demands for services and direct participation in decision making, advances in technology such as geographic information systems (GIS) and intelligent transportation systems (ITS), waning government budgets, and other considerations all contribute to greater interest in regionalism out of necessity (Pendleton and Sussman 1999).

The power of regional institutions varies from advisory to supervisory (regional oversight but implementation lies with local jurisdictions) to authoritative (the regional body can implement or force compliance with the regional plan) (Miller 2002). Most regional institutions are of the advisory and supervisory types (Miller 2002).

The local, state, and federal institutional forms of regionalism are many. Walker (1987) characterized seventeen institutional forms of regional government, with a focus on coordination among local governments. The following list is generally ordered in terms of increasing power and sectoral integration: informal cooperation, interlocal service contracts, joint powers agreements, extraterritorial powers, regional councils, federally encouraged single-purpose regional bodies, state planning and development

districts, contracting with private providers, local special districts, transfer of functions, annexation, regional special districts and authorities, metro multipurpose districts, reformed urban county, one-tier consolidations, two-tier restructuring, and three-tier reforms (Walker 1987). Walker's list is extensive, but there are even more recognized forms of regional governance, such as federally encouraged multi-purpose regional visioning initiatives or bodies, regional allocation agency (coordinating all federal funding at the local level), and nongovernmental/private initiatives (Downs 1994; American Planning Association 1996; Miller 2002).

Beginning in the 1990s there has been a "shift from the concept of metropolitan government as a separate entity to a focus on governance" with "growing support for organized entities that promote a return to a collective sense of civic mindedness" and foster social equity (Grigsby 1996 in Kemp 1999, 190). Frug and Barron (2008, 225) emphasized: "A regional citizenship is a worthwhile goal because it would help foster the kind of regional thinking needed to address metropolitan areas." In keeping with this perspective, regionalism may be ad hoc, where groups collaborate over particular problems or opportunities (Porter and Wallis 2002). The public choice model of regionalism takes this perspective even further by promoting "messy" governance that is diverse and builds political and civic capacity through frequent interactions (Stephens and Wikstrom 2002). Hence, "public choice advocates have wisely directed our attention away from an excessive preoccupation with formal structure and toward a focus on individual needs and preferences" (Stephens and Wikstrom 2002, 117).

In practice, a given region can have several forms of regional governance coexisting (American Planning Association 1996). "No matter how creative we become, we cannot anticipate the range of challenges or nail down the geographic scope of the region long enough to have it governed by a single structure" (Dodge 1996 in Kemp 1999, 347). Instead, Dodge (1996) recommended building a 'network' of regional decision making mechanisms – processes and structures – to address emerging challenges in each region." Downs (1994, 182) proposed: "It might be desirable to have different growth management policies run by different local and regional agencies that organized themselves in ways best suited to their individual tasks", but that they "be linked through both formal and informal coordination." As such, governance leaders should pay attention to relationships between organizations that represent different regional perspectives, between levels of government, and between government and public and private interest groups (Downs 1994; NADO and AMPO 2009). The strength of these relationships, similar to the power of regional institutions, ranges between consultation, coordination, cooperation, consensus building, and collaboration (Goldman and Deakin 2000). The weaker relationship styles are more common, because they are more politically feasible, but they are piecemeal, underfunded, and avoid conflict and tough equity issues (Sybert 1991; Downs 1994; Goldman and Deakin 2000; Miller 2002).

Even if messy governance is to be embraced, questions remain about which groups should do what tasks, and the degree to which governance should be centralized or decentralized among local, regional, state, and federal levels. The potential advantages of regionalism are given above; however, there are benefits to centralized state powers as well. States can represent the larger, statewide perspective, values, and resources; they can ensure uniform standards and consistent practices; and they can promote long-term thinking and planning as opposed to only day-to-day operational concerns (Miller 2011). Thus a debate exists about whether to structure regional governance as a confederacy (intergovernmental and cooperative), a federation (a new, distinct regional organization), or a subdivision of state government (i.e., state agency district). In the end, finding the right institutional arrangements is a dynamic and creative balancing act, and vertical and horizontal integrations are key to achieving the benefits of multiple levels of governance (Goldman and Deakin 2000; Frug and Barron 2008).

In promoting regionalism in transportation planning, scholars generally advocate some form of direct representation by counties, cities, transit agencies, community groups, etc., to foster transparency, trust, and buy-in, and to allow input, negotiation, and conflict resolution among the affected parties (Miller 2002). Sybert (1991) found, for example, that locally elected representatives were more successful than those appointed by the state. The National Policy Consensus Institute (2006) found that non-governmental

stakeholders were underrepresented in state level transportation planning. If states seek to promote regional delegation of authority, representation, and deliberation in decision making, there are legal, structural, procedural, fiscal/resource, and capacity building means to do so.

First and foremost, there must be compelling reasons for local jurisdictions, agencies, and groups to participate in regional governance. This occurs when there are problems or opportunities that cannot be adequately addressed by existing forms of governance, or when states (or the federal government) mandate and sufficiently incentivize participation (Sybert 1991; Booz Allen Hamilton 2011). A study of transportation planning across organizational boundaries found that problem saliency was a more effective motivator for collaboration than institutional relationships and formal agreements (NADO and AMPO 2009). Hartgen et al. (1996) reported a case study of repeated failed attempts at forming a regional transportation organization in the Charlotte, North Carolina, metropolitan area. They found that the region was not economically integrated enough to justify the formation of a regional institution that local jurisdictions saw as a potential threat to their autonomy. The authors hence recommended an incremental, phased model of regional organizational development, and other authors have concurred (Downs 1994; Porter and Wallis 2002; Frug and Barron 2008; McKenney and Johnson 2009).

With a focus on the state role in promoting regionalism, Sybert (1991 in Kemp 1999, 194) noted "Although it is possible for the state to determine whether a regional government is needed, and the appropriate structure, choosing whether or which approach is best for a given region may also be left to the individual areas...only after giving local governments in a region a reasonable opportunity to deal with problems should the state intervene and impose some form of regional approach on specific issues," with states setting general goals, and each region conducting specific planning to be consistent with the state goals.

Second, states must give local and regional entities the authority and support to engage in regional governance (Sybert 1991; Grigsby 1996). As observed by Stephens and Wikstrom (2002, 170), "It is beyond debate to acknowledge that the states are in the best legal and political position to alter the character of metropolitan governmental structure and governance." From the American Planning Association (1996 in Kemp 1999, 169), "As a practical matter, the formal organizational structure of a regional planning agency is less important than the powers and duties that it has, the clarity with which those powers and duties are described, how effectively those powers and duties are actually carried out, and its actual – as opposed to theoretical – relationships with the implementing local governments and special districts…In adapting these models [of regional planning agencies] to local conditions, public officials must look at the desired outcomes of planning and consider modifying the authority of existing agencies before deciding to create new ones."

Currently, state laws and administrations tend to promote competition between local jurisdictions and inhibit regionalism through granting limited local authority to enter into agreements and raise revenues, state districting, and an emphasis on the local-state relationship (versus local-local ones) (Frug and Barron 2008). The broad legal mechanisms states can use to foster or create regionalism include state constitution or enabling legislation, gubernatorial executive orders, interstate compacts, and popular referenda. Frug and Barron (2008) suggested ways of framing the debate to build support for state legislative change to enable regionalism, including simultaneously increasing local autonomy and furthering state goals rather than strictly adding another layer of government.

Last, because regionalism falls outside the dominant government regimes, local leadership and collaborative capacity are necessary to create, maintain, and evolve regional governance (National Policy Consensus Institute 2006). According to Sybert (1991 in Kemp 1999, 185), "Ultimately, the effectiveness of any regional structure will be up to the credibility and effectiveness of the leadership in each region." And the creation of new organizations and networks requires internal capacity building for clear missions, management, and technical analysis (Bay 2009; National Policy Consensus Institute 2006; Bond et al. 2011). Once established, regional planning and implementation processes can build capacity as interrelations and concerns are discovered, and relationships are built (Innes and Booher 2003). States can

have a role in supporting collaborative capacity through sharing data and information, and hosting forums (NADO and AMPO 2009).

In summary, the literature suggests a number of avenues for state policies and programs to directly and indirectly affect the formation and maintenance of regional institutions, which in turn affect the degree of regional integration that occurs for a given region or system. Regional governance is dynamic and can strengthen with positive feedback loops of capacity building through collaboration. To be most effective, states are advised to encourage multi-level government and partnerships rather than take purely top-down (hierarchical) or bottom-up (devolved) approaches. These relationships are presented and explained in the following conceptual framework, beginning with the overarching framework. The conceptual framework worked as a guide to the identification and analysis of data for the other research questions of this project.

Overarching Framework

The Overarching Framework (Figure 1) shows the multiple pathways through which state (and federal) governments can foster regional coordination. State policies and programs (brown box) *directly* influence regional institutions and planning (yellow box), such as by defining MPOs. State policies and programs can also *indirectly* influence regional institutions and planning via affecting the regional context and capacity (red box), such as by allowing intergovernmental compacts. Regional institutions and planning in turn result in outcomes of regional integration (blue box), which is the ultimate goal. Regional integration affects regional context and capacity, and this feedback loop is called *capacity building and evolution*. (Note that the state's impact on regional context, i.e., the indirect pathway, is also a form of capacity building.) The following two frameworks are expansions of the major elements shown in the overarching framework.

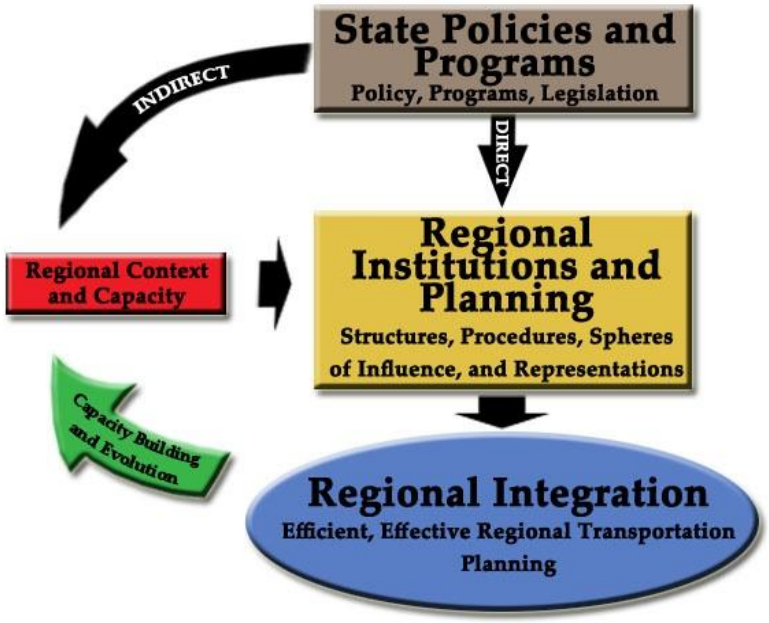


Figure 1 - Overarching Framework

State Policies and Programs Framework

The State Policies and Programs Framework (Figure 2 on the next page) characterizes state (or federal) policies and programs (brown box) along a continuum and shows how they relate to the direct and indirect influences on regional institutions and planning. State policies and programs vary according to the degree to which they are top-down or support bottom-up initiatives, and they are not necessarily mutually exclusive. Bottom-up state policies and programs (1), (2) and (3) indirectly influence regional institutions and planning, whereas top-down state policies and programs (4) and (5) have direct influence. Each of these types of policies and programs is described on the next page. The State Policies and Programs Framework will aid in the cataloging and interpretation of state statutes and other policies and programs affecting regional transportation planning.

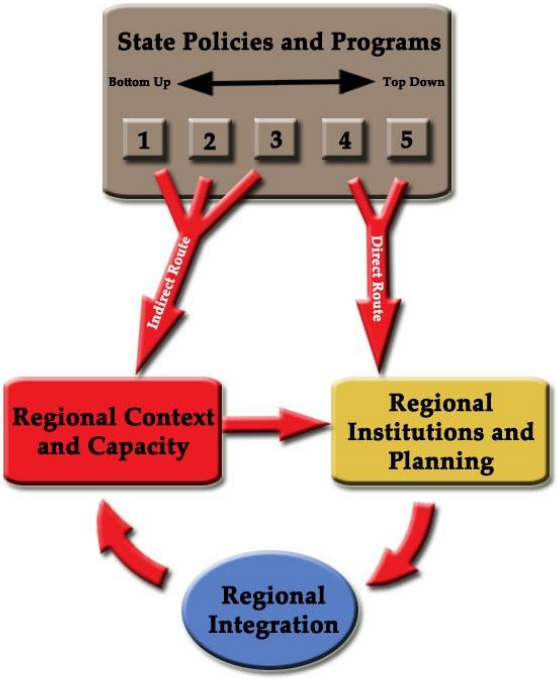


Figure 2 - State Policies and Programs Framework

(1) *Allow locally organized regional institutions (very bottom-up)*. State policies and programs remove barriers to local organization of regional institutions and planning. Local organization is likely when local jurisdictions are mismatched to regional issues or problems, and jurisdictions and other stakeholders recognize a need to coordinate and take a regional perspective.

(2) *Capacity building (combination of top-down and bottom-up)*. State policies and programs actively build local capacity to enable local organization of regional institutions and planning, such as by offering facilitators for collaboration or technical assistance for regional planning.

(3) *Strong motivation for self-organized regional institutions (combination of top-down and bottom-up)*. State policies and programs create strong incentives (positive or negative) for local organization of regional institutions and planning. For example, state government may make explicit or implicit threats of regional take-over ("if you don't do it, we will").

(4) *Direct legislative action creating regional institutions and planning (top-down)*. State policies and programs directly define or create regional institutions and planning processes.

(5) *High-level regional institutions and planning (very top-down).* State policies and programs, such as DOT districts, conduct the regional planning and provide incentives or requirements for local jurisdictions to comply.

Regional Institutions and Planning Framework

The Regional Institutions and Planning Framework (Figure 3 on the next page) presents key features of regional institutions and planning, and relates them to regional integration. The key, interrelated features of regional institutions and planning are: organizational structure, planning procedure, representations, and sphere of influence. *Organizational structure* refers to the form of regional institutions, such as whether they are informal networks or formal organizations, which explains one aspect of "how" regional planning is accomplished. Another aspect of "how" is *planning procedure* that refers to different planning approaches identified in the planning theory literature. *Representations* indicate "who" is involved in the regional institutions and planning, and whether there is state oversight. Last, *sphere of influence* relates to "what" the regional institutions and planning control and powers they possess, such as governmental authority. Each of these key features is expanded with more detail in Figure 3 and Tables 1-4. The green arrow represents "when" regional integration is strengthened as a region builds capacity and institutions and planning evolve. This framework will facilitate cataloging and interpretation of information gathered about cases of regional transportation planning, including for the specific purposes (e.g., rural, land-use).

Each of key features of regional institutions and planning (organizational structure, planning procedure, representations, and sphere of influence) can vary somewhat independently to produce different degrees of regional integration (the "why"), from weak, moderately weak, moderately strong, to strong. Table 1 headings define each of the degrees of regional integration. Tables 1-5 are matrices that describe characteristics of the key features (yellow), regional context and capacity (red), and capacity building and

evolution (green), at each of these degrees of regional integration (blue). We focus on transportation planning and illustrate some of the points by relating them to MPOs. Items highlighted in gray are noted as specifically important in several studies of effective MPOs we have reviewed (Dempsey et al. 2000; USGAO 2009; Goetz et al. 2009).

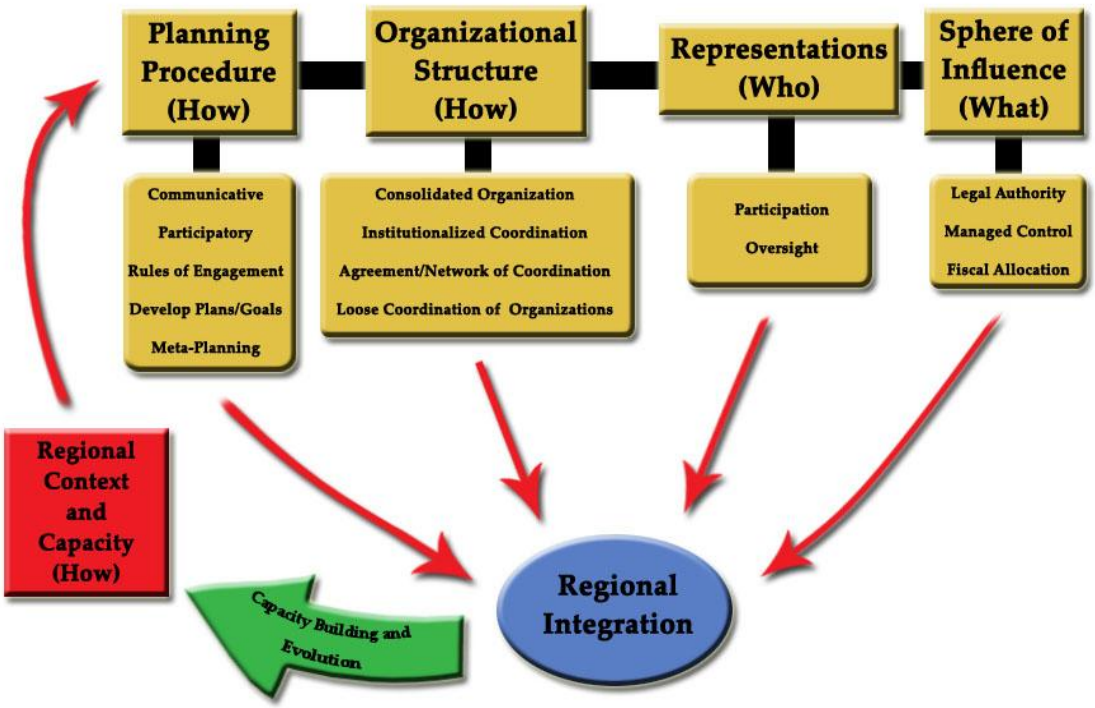


Figure 3 - Regional Institutions and Planning Framework

Table 1 - Key Features versus Regional Integration: Focus on Metropolitan Transportation Planning

Regional Integration ("why"); Apply to any region definition (e.g., metro, rural, mega-region, etc.) ("where")				
	Weak	***Moderately Weak***	***Moderately Strong***	***Strong***
Organizational Structure "How"	Little regional identity and recognition of interdependencies and inequities Competition and conflict among jurisdictions	Regional perspective taken with a single transportation mode (e.g., highways) or ad hoc transportation project	Regional transportation planning coordinated across modes, with land use, or some other single concern	"Comprehensive" planning integrated within transportation system and with planning for other systems, and across scales
Structural (formal organization or policy; can mean governmental)	No MPO Single or disconnected small number of organizations	Multiple MPOs for a region (usually aligned with city or county jurisdiction) with ad hoc structural coordination for specific project or short duration Institutional framework dictated by federal law	Truly regional transportation planning (multi-jurisdiction MPO) housed within an existing regional agency (COG, RPC, or consolidated city-county) Jurisdictions remain strong Regional vision and plan is advisory	Separate MPO or transportation planning agency within strong regional government Regional plan is binding or otherwise codified Competent, credible, and sufficient staff More institutional flexibility than allowed by federal law
Nonstructural (informal coordination; can mean nongovernmental)	Loose network, no coordination	Linked network, bridging individuals	Linked network, bridging groups for the purpose of regional planning	Linked networks, bridging groups, and high coordination between groups for the purpose of regional planning
***NOTE**: Features highlighted in gray are cited as important in regional transportation planning by Goetz, Dempsey & Larson (2009).*				

Table 2 - Key Features versus Regional Integration: Focus on Metropolitan Transportation Planning

Regional Integration				
Procedural "How"	***Weak***	***Moderately Weak***	***Moderately Strong***	***Strong***
Communicative and participatory	Little to no communication outside of agency	Some communication and coordination between agencies directly involved in specific projects	Communication and participation among select participants or powerful actors	Diverse participants; deliberative; consensus building; public reporting of conditions; decision making transparency
Analytic	Analysis of limited and specific factors relevant to individual projects	Analysis of limited factors relevant to projects that may be shared by multiple agencies	Integrated planning, especially coordination of transportation with land use planning	Regional monitoring and analysis with technical capabilities such as data mining and modeling
Rules of Engagement	Single state agency reporting directly to state executive branch	Organization or a collection of organizations reporting to a state agency	Agency governing the collection of organizations reporting to a state agency or directly to the executive branch	Streamlined and efficient processes with clarity of mission and distinction from other agencies or levels of governance
Goals	Not regional, short-term orientation only, or vague	Single regional goal (e.g., transportation, environment, economic development, etc.)	Single regional goal with limited integration of other goals (e.g., environment, etc.)	Performance based; regional sustainability and resilience; long-term orientation
Meta-planning (overall process, resources and flexibility for procedural aspects)	Few planning resources, including staff, with limited procedural flexibility	Lack of flexibility in using federal funds limits planning to few goals or modes; processes dictated by federal government	Greater access to funding facilitates more comprehensive planning; processes less dictated solely by federal government	Funding and staff to conduct planning; flexibility in planning Structured, thorough planning process with follow-through and evaluation
***NOTE**: Features highlighted in gray are cited as important in regional transportation planning by Goetz, Dempsey & Larson (2009).*				

Table 3 - Key Features versus Regional Integration: Focus on Metropolitan Transportation Planning

Regional Integration				
Representations "Who"	***Weak***	***Moderately Weak***	***Moderately Strong***	***Strong***
Participation	Single agency decision making No public outreach	Coordination between multiple agencies or levels of government No public outreach	Coordination of subset of interests, e.g., select modes, government only, private sector only Accountability to members Little public outreach except powerful organizations/actors	Combined coordination of all interests, modes, and stakeholders Cooperative relationship with state DOT Informal assistance by state and federal agencies Regional representatives or board (may be appointed by state or elected) Quality public involvement
Oversight	Project review limited to few factors (e.g. crash data, congestion)	Review is expanded to included interests of other agencies however the factors considered remain few	Process-oriented (federal) oversight (MPOs view as pro forma)	Outcomes-oriented (performance-based) oversight
***NOTE**: Features highlighted in gray are cited as important in regional transportation planning by Goetz, Dempsey & Larson (2009).*				

Table 4- Key Features versus Regional Integration: Focus on Metropolitan Transportation Planning

Regional Integration				
Sphere of Influence "What"	***Weak***	***Moderately Weak***	***Moderately Strong***	***Strong***
Legal authority and decision making powers	Informal advisory, lobbying	Formal advisory status with little power	Advisory status with strong voting or veto power, some power over decision making	Strong, broad-ranging legal powers such as land use policy, decisions about projects
Managed system	Not direct control	Not direct control	Direct control over project implementation or a single modal system(s)	Direct control over integrated multimodal system
Fiscal (funds to perform organization's functions such as: planning and research, program and project implementation, system O&M, organization's administration)	Organization receives limited funds from single type of external source (e.g., member local governments) with little control over the amount or its use	Organization receives limited funds from diverse external sources (federal, state, local, private) with little control over the amount or its use	Organization receives sufficient funds from external sources and own revenue (e.g., taxes, bonds, fees) and has moderate control over its use	Organization receives ample funds from external sources and own revenue (e.g., taxes, bonds, fees) and has substantial control over its use
***NOTE**: Features highlighted in gray are cited as important in regional transportation planning by Goetz, Dempsey & Larson (2009).*				

Table 5 - Regional Context and Capacity, Capacity Building and Evolution, Versus Regional Integration

	Regional Integration			
	Weak	***Moderately Weak***	***Moderately Strong***	***Strong***
Regional Context and Capacity "How"	No expressed support for regional governance	Support for regional governance from a few agencies or groups	Compelling reason or historical precedent for regionalism Support for regional governance from some groups including some public support	Compelling reason or historical precedent for regionalism Support for regional governance from all levels and groups External oversight and incentives Effective leadership Institutional capacity to enable Capacity for good planning maintained at all levels
Capacity Building and Evolution "When and How"	Little experience with regional governance Weak culture of planning	Some experience with regional governance on a limited scale Culture of planning limited to single projects or modes with no integration	History of regional governance and inter agency coordination Culture of planning with some integration of modes and long term goals	Regional governance evolved in place through a lot of hard work over years Culture of integrated planning; Development of a regional ethos
***NOTE**: Features highlighted in gray are cited as important in regional transportation planning by Goetz, Dempsey & Larson (2009).*				

Considerations in Interpreting the Conceptual Framework

These conceptual frameworks illuminate the various options for state government to strengthen regional institutions and planning, including for transportation coordination. By addressing "who, what, when, where, why and how", the conceptual frameworks can aid in answering strategic questions such as: To what degree should regional institutions and planning be strengthened? What are reasonable first steps and expectations? How can regional capacity be built so that institutions are self-sustaining? And, what are the best roles of state government?

It may be that "strong" regional integration is *not* the immediate (or even eventual) goal, because state and regions are not ready for this level, or because strong regional integration requires too many resources or has undesired drawbacks. In some cases, there are tradeoffs or optimizations that must be made between desired outcomes, such as between planning productivity and institutional complexities, and between regionalism and local representation. Moreover, there is a strong trend towards increased institutional specialization within government, where general-purpose governments create special-purpose governments (i.e., special districts), and a movement towards increasing privatization (e.g., toll roads). Realistically, a formal regional transportation planning organization, or a strong regional agency that conducts transportation planning, will never be completely dominant (since each jurisdiction and agency will strive to maintain its identity, mandate, and purview), so a model in which there are effective linkages with planning by other agencies/jurisdictions and at other levels is desired. Moreover, creating a strong top-down mandate or over-ambitious expectations may have the unintended consequences of decreasing local acceptance of regionalism. These are the kinds of considerations that the conceptual frameworks allow to be analyzed.

Chapter Four: Findings

Based upon the foundation of the regionalism literature, development of our conceptual framework, and our primary research, we report findings for each research question: states' involvement with MPO designation, incentive programs, regional priorities, rural needs, transit, intermodal, and freight. Before examining trends across the country, it is essential to first begin by examining Florida's existing transportation planning structure and regional/state/local entities.

Existing Regional Transportation Planning in Florida

In Florida, as in other states, federal and state laws, agencies, and programs support regional transportation planning. At the federal level, transportation, air quality, and housing and urban development agendas have created strong incentives for regional transportation planning, including the creation of MPOs and rural planning organizations.

At the state level, Florida has passed numerous laws and administrative actions to reinforce these agendas, land use planning (i.e., growth management), and the regional approach. This has resulted in various types of sub-state regional transportation planning organizations and initiatives as shown in Figure 4 and described below. Figure 5 illustrates the planning documents for which each transportation planning entity is responsible. Florida law divides the FDOT into seven semi-autonomous regional districts. Furthermore, the statutes designate other regional planning agencies with transportation planning roles and interaction with the FDOT and its districts: 26 MPOs (eighteen of which are TMAs), the metropolitan planning organization advisory council (MPOAC), five regional transportation authorities (RTAs), and eleven RPCs. And through various federal, state, and regional initiatives, regions have participated in regional visioning processes that incorporate transportation planning.

In support of vertical and horizontal governance integration, FDOT has formal procedures and organizational structures to enable public participation across all levels of transportation planning. FDOT creates public involvement plans for each update of the statewide transportation plan, and the FDOT Environmental Management Office maintains a public involvement handbook for project planning, conducts public involvement training, and recently began publishing a public involvement newsletter. The Environmental Management Office also has the Efficient Transportation Decision Making (ETDM) Process for planning projects, conducting environmental reviews, and permitting. The ETDM Process facilitates project input across state agencies. FDOT has also served on multi-agency steering committees to develop statewide plans, and the agency has worked with the state's Department of Economic Opportunity (DEO) on growth management issues and reports, and DEO's business plan and strategic plan for economic development.

Before beginning further examination of existing regional transportation planning entities and programs in Florida, a few key terms are defined.

Figure 4 - Florida's Regional Agencies, Initiatives, and Relation to Other Levels of Government

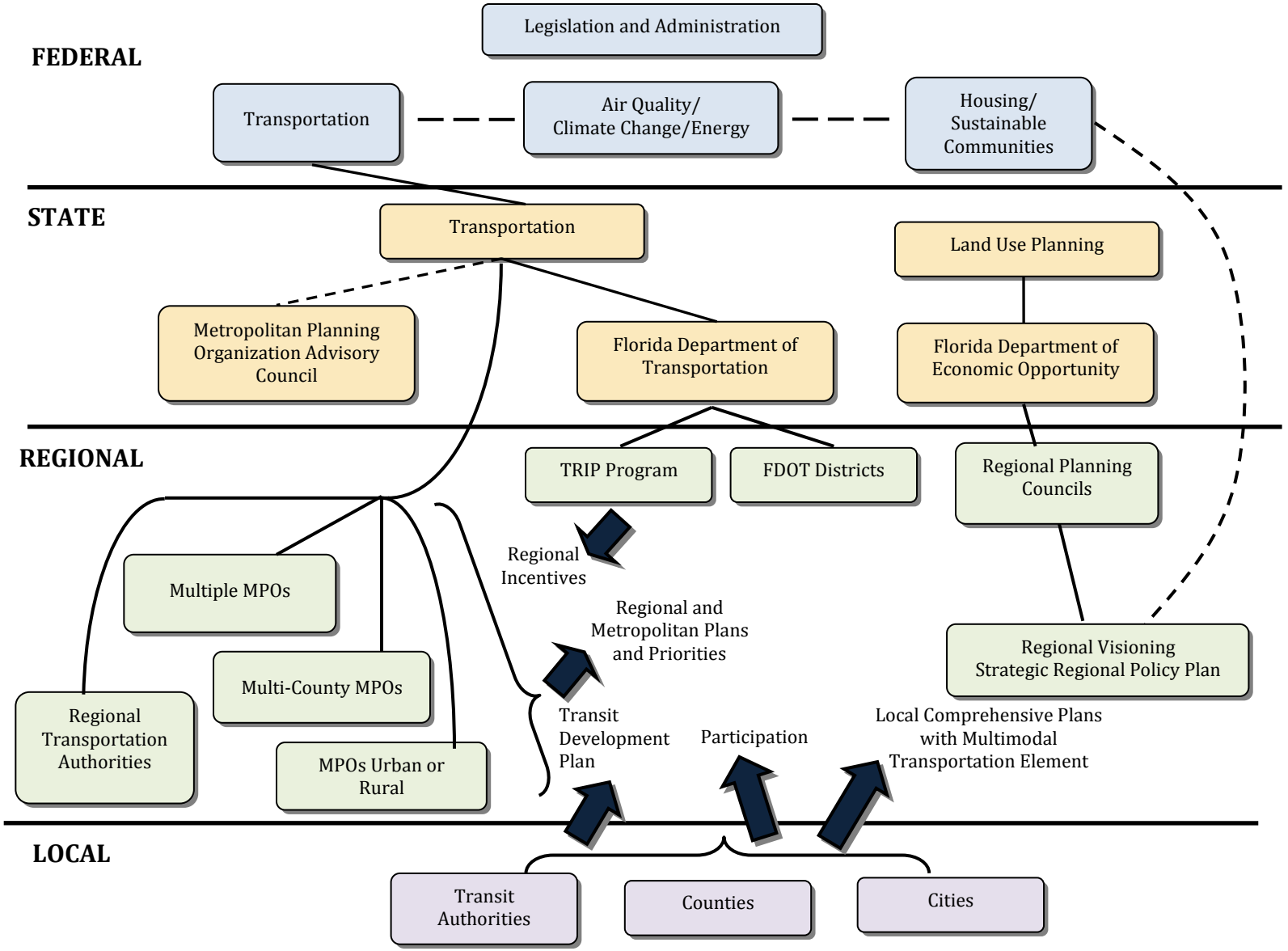
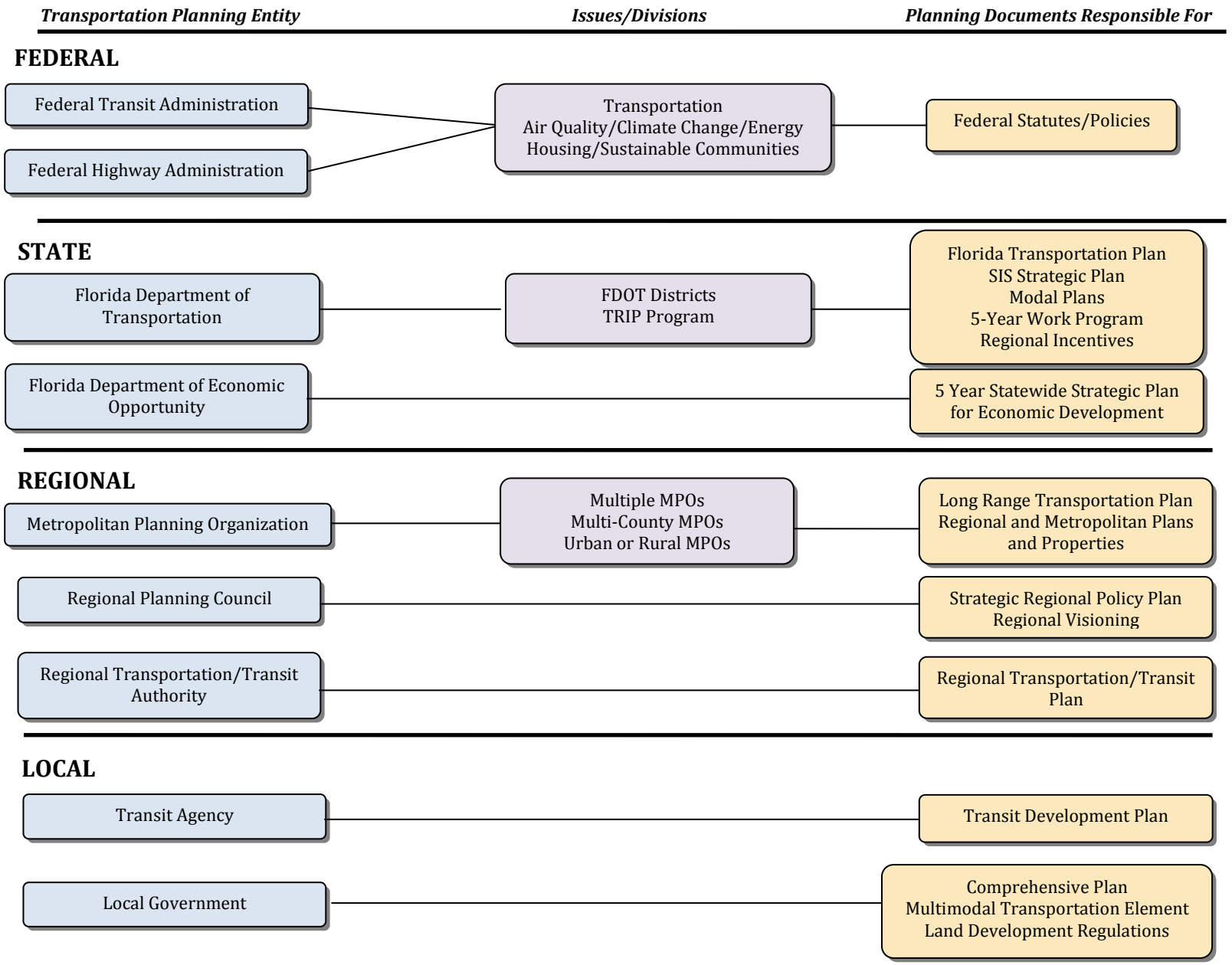


Figure 5 - Florida's Transportation Planning Entities, Divisions, and Transportation Planning Documents



Definitions

The definition of Florida's transportation organizations, their roles, responsibilities, and organizational structure, is essential to understanding and interpreting the results of this research. The following organizations are a part of Florida's transportation planning structure: FDOT and Districts, the Florida Transportation Commission (FTC), Metropolitan Planning Organizations (MPOs) and Transportation Management Areas (TMAs), the Metropolitan Transportation Planning Advisory Council (MPOAC), Regional Transportation Authorities (RTAs), and Regional Planning Councils (RPCs).

Florida Department of Transportation (FDOT) and districts:
: The Florida Department of Transportation (FDOT) is responsible for providing a safe transportation system that ensures the mobility of people and goods, enhances economic prosperity and preserves the quality of our environment and communities (FDOT 2009, 5). The FDOT is decentralized into seven semi-autonomous geographic districts (and the Florida's Turnpike Enterprise district).

Florida Transportation Commission (FTC):
: Provides oversight for FDOT. Members are appointed by the Governor and Legislature.

Metropolitan Planning Organization (MPO):
: An organization made up of local elected and appointed officials responsible for developing, in cooperation with the state, transportation plans and programs in metropolitan areas containing 50,000 or more residents. MPOs are responsible for the development of transportation facilities that will function as an intermodal transportation system and the coordination of transportation planning and funding decisions (FDOT 2009, 12-13).

Transportation Management Area (TMA):
: Defined by federal law as an MPO with population of 200,000 people or greater.

Florida Metropolitan Planning Organization Advisory Council (MPOAC):
: A statewide organization created by the Florida Legislature to augment the role of the individual Metropolitan Planning Organizations in the cooperative transportation planning process. The MPOAC assists the MPOs in carrying out the urbanized area transportation planning process by serving as the principal forum for collective policy decisions (FDOT 2009, 13).

Regional Transportation Authority (RTA):
: Entities created to address the commuting needs of the residents in a region that has reached a point where alternative transportation solutions needs to be considered (FCTD, 2010). Separate legislation created the Jacksonville Transportation Authority (JTA) and RTAs non-specific to location (e.g., Central Florida Regional Transportation Authority)

Regional Planning Council (RPC):
: An organization that promotes communication, coordination and collaboration among local governments, metropolitan planning organizations and other local regional authorities on a broad range of regional issues, including transportation and land use planning (FDOT 2009, 16).

Metropolitan Planning Organizations

Florida has 26 MPOs. Nineteen of the MPOs cover a single county jurisdictions or parts of a single county, while eight – Sarasota-Manatee, Metroplan (Orlando), North Florida TPO (Jacksonville), Capital Region TPA (Tallahassee), Florida-Alabama TPO (Pensacola), Okaloosa-Walton TPO, Lake-Sumter and Sarasota-Manatee – have multi-county jurisdictions, including one multi-state MPO (Figure 6 on the next page). Two of the MPOs with multi-county jurisdictions only include portions of the counties. The following eighteen MPOs have urbanized populations greater than 200,000 and are designated as TMAs: Space Coast TPO, Broward MPO, Hillsborough County MPO, Indian River County MPO, North Florida TPO, Lee County MPO, Martin MPO, Miami-Dade Urbanized Area MPO, Collier County MPO, METROPLAN Orlando, Pasco County MPO, Florida-Alabama TPO, Pinellas County MPO, Sarasota/Manatee MPO, St. Lucie TPO, Capital Region TPA, Volusia TPO, and Palm Beach MPO.

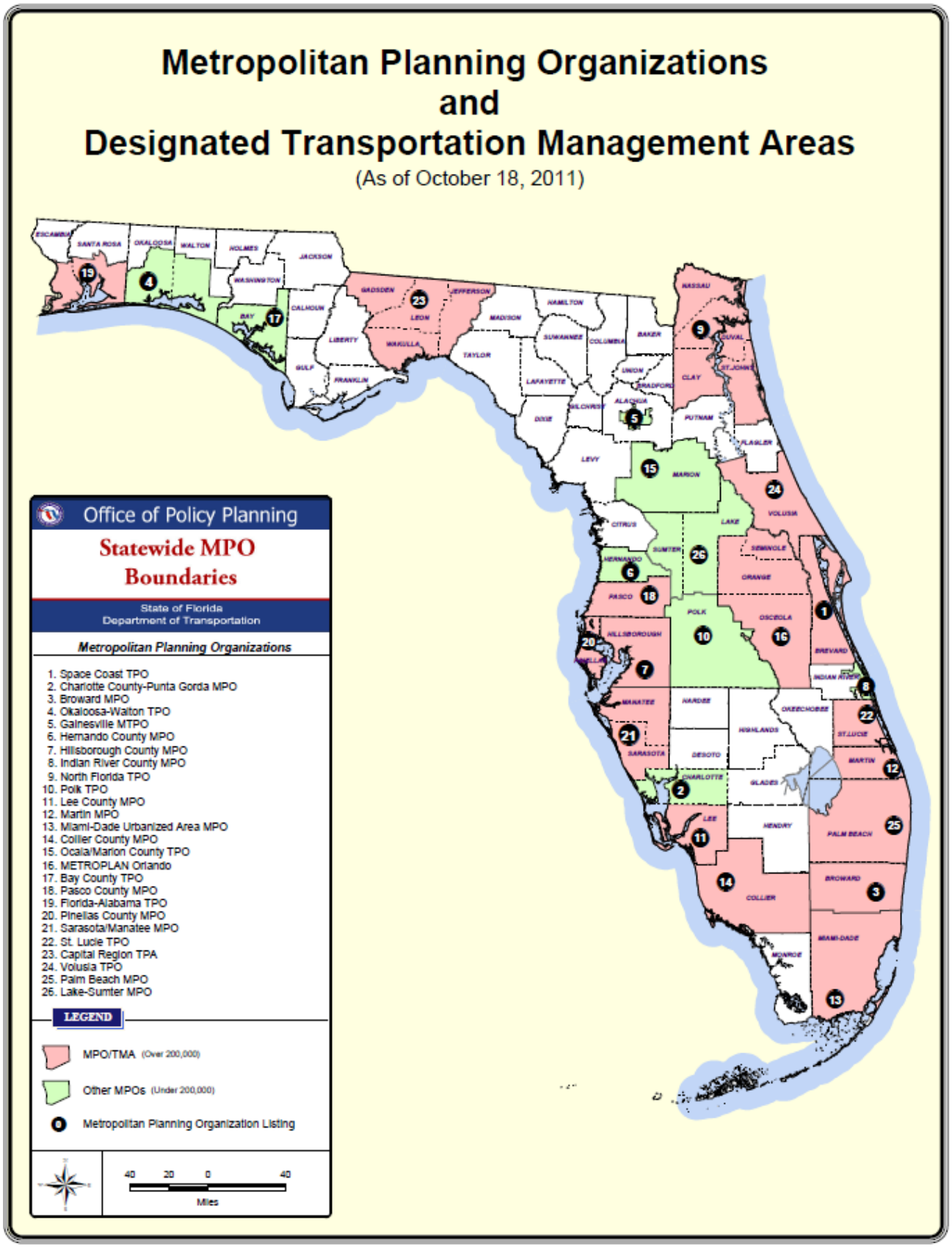


Figure 6 – Florida MPOs and Designated TMAs

Source: FDOT Office of Policy Planning

Federal Requirements

MPOs are required by federal law, U.S.C. Title 23, Section 134, to be designated in each metropolitan area, specifically in an urbanized area with a population of 50,000 individuals or more. In cooperation with the State and public transit operators, each MPO is required to develop transportation plans and programs for their respective jurisdiction.

Title 23 U.S.C 134 states the purpose of an MPO as the follow:

> "It is in the national interest to encourage and promote the safe and efficient management, operation, and development of surface transportation systems that will serve the mobility needs of people and freight and foster economic growth and development within and through urbanized areas, while minimizing transportation-related fuel consumption and air pollution."

In order to achieve a surface transportation system that serves the populations mobility needs, as well as freight, transportation plans and programs must be developed in a continuing, cooperative, and comprehensive process. The transportation plans and programs allow for the development, and integrated management and operation of transportation systems and facilities for a surface transportation system, and permit it to function as an intermodal transportation system for the metropolitan area (23 U.S.C. 134 (3-4).

Florida Statutes Annotated (FSA):
Title XXVI Public Transportation, Chapter 339 Transportation Finance and Planning

MPOs are designated in each urbanized area of the State, as defined by the United States Bureau of the Census. Florida Statutory language prescribing MPOs goes beyond federal law to state that the purpose of MPOs includes minimizing greenhouse gas emissions through metropolitan planning processes (plans and programs), and identifying facilities that serve important national, state, and regional transportation functions within the metropolitan transportation system to ensure that the process is integrated with the statewide planning process.

As directed by state law, each MPO develops a long-range transportation plan (LRTP), an annual list of project priorities and a transportation improvement program (TIP) (a list all projects planned for the next five years), and a unified planning work program (a list all planning tasks to be undertaken during the year). Each MPO's plans and programs must be consistent with the local governments' comprehensive plans, which contain transportation elements, and state law requires each MPO to have a citizens' advisory committee (or alternative mechanism to ensure citizen involvement). Each MPO submits its list of project priorities to the appropriate FDOT district each year, and the district must use these project priorities in developing its work program. At the state level, state law directs FDOT to consult with each MPO during updates to the statewide transportation plan. Federal law requires the State Transportation Improvement Program (STIP) to include each MPO TIP.

Coordination between MPOs

According to FSA 339.175 (6) (j), rapid growth in the state has resulted in the expansion of urbanized areas boundaries and has developed the need for coordination between continuous MPOs. The increase in the number of urbanized areas has resulted in transportation activity crossing into contiguous MPO jurisdictions and lead to the formation of language that permits MPOs to create a forum of coordination with each other for transportation that crosses MPO boundaries through inter-local agreements. Examples of such agreements can be observed with Southeast Florida Transportation Council, which includes Miami-Dade, Broward, and Palm Beach Counties (Southeast Florida Transportation Council 2011). Another example is the Northwest Florida Regional Transportation Planning Organization consisting of Okaloosa-Walton TPO and Florida-Alabama TPO.

Metropolitan Planning Organization Advisory Council

In addition to the designation of MPOs, the Florida Statutes (FSA 339.175 (11)) prescribe the creation of a Metropolitan Planning Organization Advisory Council (MPOAC) to ensure a cooperative transportation planning process by augmenting the role of each MPO.

Regional Transportation Authorities

Title XXVI Public Transportation (FSA 343-349)

Florida Statutes prescribes the establishment of five Regional Transportation Authorities: the South Florida Regional Transportation Authority (SFRTA), Central Florida Regional Transportation Authority (CFRTA), Northwest Florida Transportation Corridor Authority (NFCA), Tampa Bay Area Transportation Authority (TBARTA), and Jacksonville Transportation Authority (JTA). It is important to note that "each RTA must work with the MPO's and FDOT District Offices in their service area to ensure coordination of planning and inclusion of their projects" (FCTD 2010). These regional transportation authorities are illustrated in Figure 7 on page 26.

Central Florida Regional Transportation Authority (FSA 343.61-343.67)

The Central Florida Regional Transportation Authority (CFRTA) jurisdiction consists of Seminole, Orange and Osceola Counties and maintains the rights to "own, operate, maintain, and manage a public transportation" (FSA 343.64). According to the Florida Statutes, CFRTA must "consider the impact and ability to interface with other transportation modes and facilities," and "cooperate with other governmental entities and contract with other governmental agencies" (DOT, Federal Government, RPCs, counties, and municipalities) (FSA 343.64).

Jacksonville Transportation Authority (FSA 349.03- 349.22)
Title XXVI Public Transportation, Chapter 349 Jacksonville Transportation Authority

The Jacksonville Transportation Authority (JTA) maintains the right to the Jacksonville Expressway System in Duval County. The JTA has the power to develop and implement a plan for a mass transportation system, and plan, coordinate, and recommend methods and facilities that support a coordinated multimodal transportation system in the greater Jacksonville area (FSA 349.04). All public-private transportation facilities constructed must comply with federal, state, and local laws; state, regional and local comprehensive plans; rules, policies, procedures, and standards for transportation facilities set forth by the Jacksonville Transportation Authority; and should serve the best interest of the public (FSA 349.22). It is important to note that JTA has been considered an entity similar to an RTA and are required to work with "MPOs and FDOT District Offices in their service area to ensure coordination of planning" (FCTD 2010). Each of the RTAs has similar mandate to provide regional transit, they have slightly different duties, board structures and sources of funding (FCTD 2010).

Northwest Florida Corridor Authority (FSA 343.80-343.89)

The NFCA's main purposes include improving the "mobility on the U.S. 98 corridor" (FSA 343.82) across Escambia, Santa Rosa, Walton, Okaloosa, Bay, Gulf, Franklin, and Wakulla Counties, and "implementing transportation projects to address traffic congestion" (FSA 343.82), among other interests. NFCA must develop a corridor master plan that identifies areas of the corridor needing improvements in mobility and traffic safety, develop partnerships to support corridor improvements, and identify projects that will accomplish the goals and objectives of the master plan. All public-private transportation facilities constructed must comply with federal, state, and local laws; state, regional and local comprehensive plans; rules, policies, procedures, and standards for transportation facilities set forth by the NFCA; and serve the best interest of the public (FSA 343.875).

South Florida Regional Transportation Authority (FSA 343.51-343.58)

The SFRTA jurisdiction consists of Broward, Miami-Dade, and Palm Beach Counties and maintains the rights to "own, operate, maintain, and manage a transit system in the tri-county area" (FSA 343.54). SFRTA has the "authority to coordinate, develop, and operate a regional transportation system" within the jurisdiction (FSA 343.54). In doing so, SFRTA must consider the "impact and ability to interface with other transportation modes and facilities," and "cooperate with other governmental entities and contract with other governmental agencies" (DOT, Federal Government, RPCs, counties, and municipalities) (FSA 343.54).

Tampa Bay Area Regional Transportation Authority (FSA 343.90-343.976)

The main purposes of the TBARTA are to "improve the mobility and increase options for multimodal transportation for passengers and freight" (FSA 343.922) throughout Citrus, Pasco, Hernando, Pinellas, Hillsborough, Manatee, and Sarasota Counties. According to the Florida Statutes, TBARTA must develop a regional transportation master plan to provide a "vision for a regionally integrated multimodal transportation system" (FSA 343.922). While developing the regional transportation master plan, TBARTA will identify areas within the jurisdiction that need improvements in multimodal mobility, traffic safety, and freight mobility, including identifying areas that would benefit from a multimodal transportation system. TBARTA also has the capacity to prioritize projects such as the creation of express bus and bus rapid transit (BRT) services, light rail, commuter rail, heavy rail transit services, ferry services, freight services and any other services that support the critical needs of a multimodal transportation system.

All plans and projects must be coordinated with the West Central Florida MPOs (an association of 7 MPOs in West Central Florida) and TBARTA must participate in the regional MPO planning process to ensure "regional comprehension" (FSA 343.922). TBARTA is also interested in building partnerships with local governments, existing transit providers, expressway authorities, seaports, airports, and other local, state, and federal entities, among other private sector entities in support of regional multimodal transportation improvements. The Florida Statutes explicitly state that TBARTA not an eligible recipient of the Transportation Regional Incentive Program (TRIP) except through an interlocal agreement with an eligible recipient.

Expressway Authorities

Title XXVI Public Transportation (FSA 348)

Florida Statutes prescribes the establishment of five Expressway Authorities through the Florida Expressway Authority Act of 1996: the Orlando-Orange County Expressway Authority (OOCEA), the Santa Rosa Bay Bridge Authority (SRBBA), the Osceola County Expressway Authority (OCEA), and the Tampa-Hillsborough Expressway Authority (THEA). The Miami-Dade County Expressway Authority (MDX) was created before the general provisions of the Expressway Act, and still operates under the statutory language of the Act. The Expressway Act gives these Authorities powers to acquire, hold, construct, improve, maintain, operate, and own an expressway system. These expressway authorities are illustrated in Figure 7 on page 26.

Miami-Dade County Expressway Authority (FSA 348)

The MDX jurisdiction consists of Miami-Dade County, created in 1994 by the Miami-Dade County Commission, prior to the establishment of the Florida Expressway Authority Act. Purposes of MDX are to "establish local control of toll revenues and to ease traffic congestion on five major roadways in Miami-Dade County" (MDX 2011). Upon passage of the Florida Expressway Authority Act in 1996, MDX took over

operational and financial control of five of the busiest roadways in Miami-Dade County, and currently operates under all the requirements and powers of the Act (MDX 2011).

Orlando-Orange County Expressway Authority (FSA 348.751-348.765)

The OOCEA jurisdiction consists of Orange County and the City of Orlando. OOCEA maintains the rights to "construct any extensions, additions or improvements to said system or appurtenant facilities, including all necessary approaches, roads, bridges and avenues of access, with such changes, modifications or revisions of said project as shall be deemed desirable and proper" (FSA 348.754.1b). The OOCEA is currently financing authorized construction for the Northwest Beltway Part A (and realignment), Western Beltway Part C, Wekiva Parkway, and Maitland Boulevard Extension.

Osceola County Expressway Authority (FSA 348.9950-348.9961)

The OCEA jurisdiction consists of Osceola County, and maintains the rights established as those identified in the Florida Expressway Authority Act. The purpose is to "acquire, hold, construct, improve, maintain, operate, own, and lease an expressway system", as expressed in FSA 348.9951.

Santa Rosa Bay Bridge Authority (FSA 348.965-348.9781)

The SRBBA jurisdiction consists of the Santa Rosa Bay region in Pensacola, and maintains the rights to "acquire, hold, construct, improve, maintain, operate, own, and lease all or any part of the Santa Rosa Bay Bridge System" (FSA 348.968.1a). "The Garcon Point Bridge creates a regional transportation loop connecting I-10, US-98, and I-110, significantly reducing travel time between Northern Santa Rosa County, Navarre, Gulf Breeze, and Pensacola Beach" (SRBBA 2011).

Tampa-Hillsborough Expressway Authority (FSA 348.50-348.70)

The THEA jurisdiction consists of Hillsborough County and the City of Tampa, and maintains the rights to "construct, reconstruct, improve, extend, repair, maintain and operate the expressway system" (FSA 348.53). THEA has the authority to "facilitate transportation for their recreation and commerce and for the common defense" (FSA 348.53), and some of its powers include: construct, reconstruct, on improve upon facilities for gas stations, restaurants, and other facilities (FSA 348.54.4); to fix, alter, charge, establish, and collect tolls for services and facilities of the expressway system (FSA 348.54.6); and to construct telephone, telegraph, television, electric power and other wires…for such operation (FSA 348.54.12). In doing so, THEA must give consideration to "the comprehensive plans and the economic needs of the city and county and the usage for which the properties abutting thereon is best suited. In the furtherance of this purpose, the authority shall consult with the Hillsborough County City-County Planning Commission" (FSA 348.68).

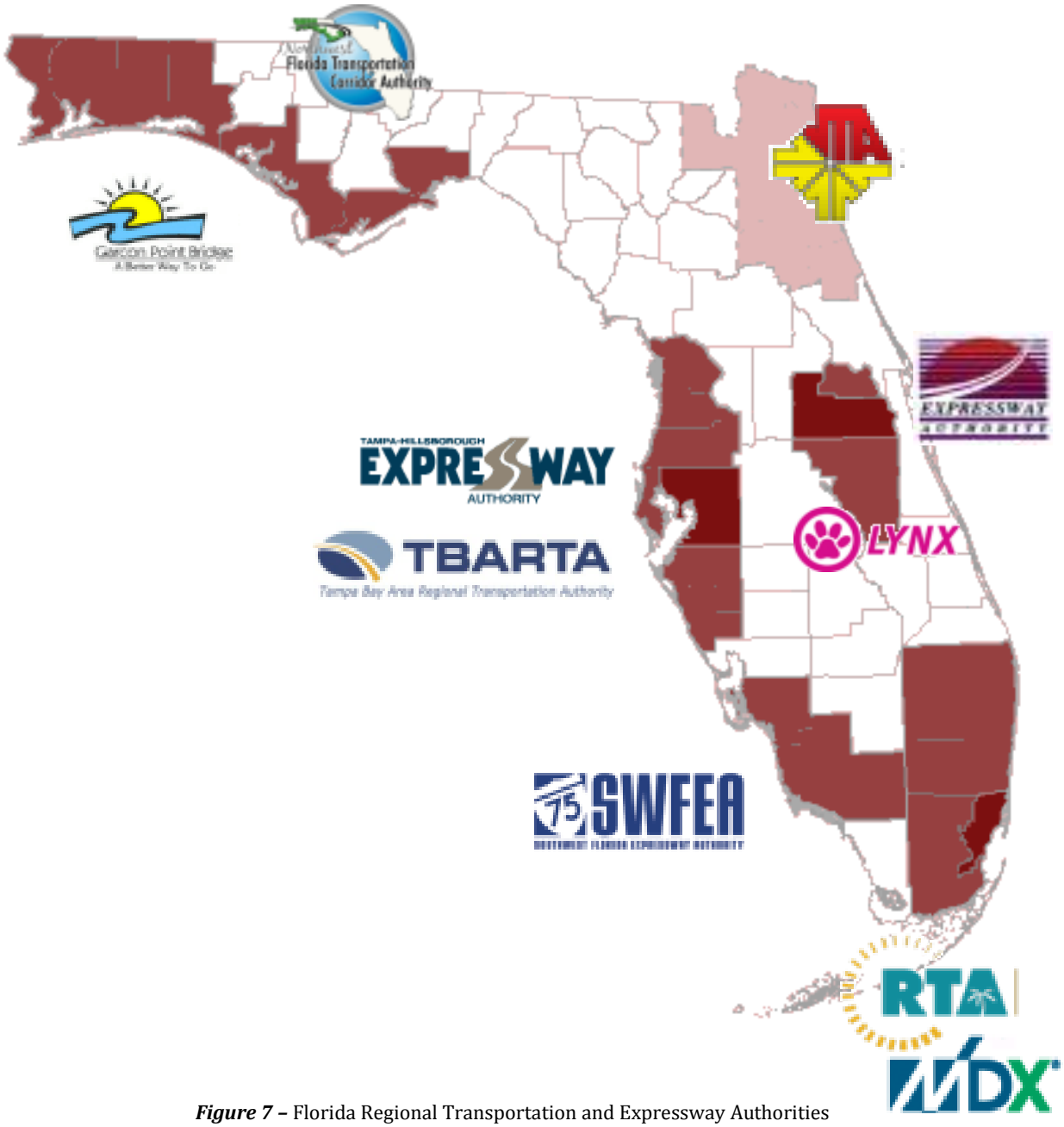


Figure 7 – Florida Regional Transportation and Expressway Authorities

Source: Florida Horizon 2060

Rural Transportation Planning

FDOT districts cover the entire state and therefore conduct rural transportation planning in the rural portions of the state (with especially large rural areas being along the Big Bend region and directly south of Lake Okeechobee). District engineers and planners maintain close contact with county public works staff (AASHTO 2003). Florida does not have Rural Planning Organizations (RPOs) per se, but it designates rural counties as MPOs for the purposes of the annual development of the five year work program, and FDOT has issued a non-metropolitan transportation planning consultative process (FDOT 2009). The RPCs also cover the entire state, although with different boundaries than the FDOT districts, and they assist rural areas with land use and transportation plans (particularly comprehensive plan updates) and conduct technical studies for FDOT. Additionally, several RPCs have regional visioning exercises, including for the major rural area south of Lake Okeechobee (the Heartland region). Other statewide policies, agencies, and programs, such as those involving growth management and economic development, interface with rural transportation planning. Last, Florida has specific rural transportation programs, such as the exceptional program to coordinate rural public transportation services.

Regional Planning Councils

Florida has eleven Regional Planning Councils (RPCs) that cover the state.

Title XIII Planning and Development, Chapter 186 State and Regional Planning

RPCs, according to the Florida Statues, shall be created in each of the several comprehensive planning districts of the state. While they serve several functions beyond transportation planning, each RPC's powers and duties (FSA 186.505) that specifically pertain to transportation planning include: coordinating land development and transportation policies that promote region-wide transportation systems, and also reviewing plans for inconsistencies among of independent transportation authorities, MPOs, and local governments. A major objective of the regional planning process is to achieve uniformity and consistency in land use information by coordinating with the state land planning agency. These coordinated efforts will be useful in the process of data collection and creation of a database that will be accessible to local governments and the private sector.

RPCs must develop strategic regional policy plans (FSA 186.507). Strategic Regional Policy Plans must be consistent with the State Comprehensive Plan, and should include regional goals and policies that address regional transportation, among other area of interests. Regional plans also must identify and address significant regional resources and facilities with the cooperation and assistance of local governments, and document trends including problems, needs and opportunity related to growth, development, and policies in a region. RPCs may also recommend "minimum density guidelines for development along designated public transportation corridors and identify investment strategies for providing transportation infrastructure where growth is desired, rather than focusing primarily on relieving congestion in areas where growth is discouraged" (FSA 186.507).

Regional Visioning

Today, most regions of Florida are participating in regional visioning processes. In 2006, the non-profit organization 1000 Friends of Florida completed the statewide "Florida 2060 Study," which used GIS to develop scenarios of what land use might look like assuming the continuation of current development patterns (i.e., "development continues to simply sprawl outward from existing urban areas at low densities" (1000 Friends 2006)). Over the last several years, visioning processes in Central Florida (Heartland 2060), Southwest Florida (Southwest Florida Regional Vision), and Tampa Bay (One Bay), for example, have helped accelerate transformative investments, including plans to introduce rapid/mass transit such as high speed rail, commuter rail, and light rail. The FTP encourages Florida to continue developing, implementing, and maintaining visions at regional and statewide levels (SWFRPC, n.d.; CFPRC).

The U.S. Department of Housing and Urban Development (HUD), in cooperation with the U.S. Department of Transportation (DOT) and U.S. Environmental Protection Agency (EPA), sponsors the Sustainable Communities Regional Planning Grant Program for metropolitan and multijurisdictional planning that support transportation efforts, among other planning initiatives, with regional significance. Three regions in Florida have been selected for the Sustainable Communities Regional Planning grant. The South Florida Regional Planning Council received the grant for the Southeast Florida Regional Partnership consisting of Monroe, Miami-Dade, Broward, Palm Beach, Martin, St. Lucie, and Indian River Counties (Southeast Florida Regional Partnership 2011). Second, the Central Florida Regional Planning Council also received the grant for the Heartland 2060 Consortium consisting of Desoto, Glades, Hardee, Hendry, Highlands, and Okeechobee counties. The East Central Florida Regional Planning Council recently learned that they will receive the grant "on behalf of the East Central Florida Sustainable Communities Consortium, a partnership of local governments, private developers, educational institutions, and non-profit agencies. The Consortium will use the grant funding to prepare for development around the future station locations for the SunRail commuter rail system" (ECFRPC 2011).

MPO Designation, Powers, and Duties

First, a search was conducted of individual state statutes to determine if the federal legislation was referenced, either specifically, through language, or some other means that implied a relationship to 23 U.S.C. 134, or 49 U.S.C. Twenty-five states, including Florida, include language in the state statutes that shows a relationship to federal legislation for designation of MPOs (Table 6). Only four of those states- Florida, Utah, Vermont, and Washington – use part of the federal designation language in the state statutes (as listed below):

Title 23 United States Code Section 134

(b) DESIGNATION OF METROPOLITAN PLANNING ORGANIZATIONS.—

(1) IN GENERAL.—To carry out the transportation planning process required by this section, a metropolitan planning organization shall be designated for each urbanized area with a population of more than 50,000 individuals—

(A) by agreement between the Governor and units of general purpose local government that together represent at least 75 percent of the affected population (including the central city or cities as defined by the Bureau of the Census);or

(B) in accordance with procedures established by applicable State or local law.

Of the states that directly reference federal legislation in their own state laws, the large majority are not as specific as Florida on the designation process, the description of MPO powers and duties, and MPO composition. The term "MPO" is mentioned in the statute for designation in twenty-eight states (as listed in Table 6), and two states (Florida and Washington) specifically mention the federal option of requiring the threshold of representatives of 75% of the population of the urbanized area agreeing to join the MPO.

MPO composition is discussed in detail by fifteen states in their statues, specifically mentioning policies on board members, voting, and membership. MPO powers and duties are discussed in state statutes by twenty states. A second search was conducted to see if any state mentioned the federal legislation in their administrative code, and twenty-eight states did so. Twenty states (Table 7) mentioned federal legislation in both their statutes and administrative code. MPO composition, powers and duties are often mentioned in the administrative code. Nineteen states mention federal legislation in just one of the statutes or administrative code, and eleven states never mention MPOs in either statutes or administrative code.

A third search was conducted of DOT information for each state to evaluate information regarding MPOs or regional planning entities. Thirty-two states provided descriptive information about MPOs or acknowledge their existence in the state through a list of links or a map (Table 7). Several states DOT websites provide a descriptive page(s) or paragraph about MPOs, and many include links to individual MPO websites and maps. Many states provide either links or reference documents that described MPOs and the transportation

planning process. Fourteen states have published informative guidebooks or manuals regarding MPOs and the transportation planning process: Anchorage Metropolitan Area Transportation Solutions, Caltrans, CDOT, Florida DOT, Indiana MPO Council, Iowa DOT, New Jersey DOT, New York DOT, North Carolina DOT, Oregon Corvallis Area MPO, Pennsylvania Lancaster County Planning Commission, Texas DOT, Virginia Department of Rail and Public Transportation, Washington State DOT. In these states, information in the guidebooks is only supplementary to statutory and administrative code designation, not the sole source of information.

Summary

Trends across the fifty states show that Florida's MPO designation process in state statutes, administrative code, and through FDOT is more comprehensive, detailed, and thorough than most states in the country. About half of the states define or designate MPOs in either the statutory language or administrative code, but none go to the depth of prescriptive information as Florida.

	Is the whole state covered by regional planning organizations (MPOs, RPOs, or some combination)?	Is 23 U.S.C. (etc./forms of) or 49 U.S.C specifically mentioned? (in state statutes)	Is part of the designation language of 23 (etc.) used? (in state statutes)	Is part A/B mentioned (specifically 75% of the affected urbanized area) in State Statutes?	Is the term "MPO" (or metropolitan planning organization) specifically mentioned in State Statutes?	MPO Composition (in statutes) (yes/no)	MPO powers/ duties (in statutes) (yes/no)
Number	**25**	**25**	**4**	**2**	**28**	**15**	**20**
State List	Alabama	Alaska	Florida	Florida (A)	Alaska	Alaska	California
	Arizona	Arkansas	Utah	Washington (A)	Arkansas	California	Colorado
	Arkansas	California	Vermont		Colorado	Florida	Florida
	California	Colorado	Washington		Delaware	Hawaii	Hawaii
	Colorado	Delaware			Florida	Iowa	Iowa
	Connecticut	Florida			Hawaii	Kansas	Kansas
	Florida	Hawaii			Illinois	Maine	Maine
	Georgia	Illinois			Indiana	Massachusetts	Massachusetts
	Iowa	Indiana			Maine	Michigan	Michigan
	Kentucky	Maine			Massachusetts	North Carolina	Nevada
	Maryland	Minnesota			Michigan	Oregon	New Hampshire
	Massachusetts	Missouri			Nebraska	Pennsylvania	New York
	Michigan	Montana			Nevada	Vermont	North Carolina
	Minnesota	Nebraska			New Hampshire	Washington	North Dakota
	Missouri	Nevada			New Mexico	West Virginia	Oregon
	New Hampshire	New Hampshire			New York		Pennsylvania
	New Jersey	North Carolina			North Carolina		Vermont
	New Mexico	Ohio			North Dakota		Virginia
	North Carolina	**Oregon***			Ohio		Washington
	Pennsylvania	Texas			Oregon		West Virginia
	South Carolina	Utah			Pennsylvania		
	Tennessee	Vermont			Tennessee		
	Vermont	Virginia			Texas		
	Virginia	Washington			Utah		
	Washington	Wisconsin			Vermont		
					Virginia		
					Washington		
					Wisconsin		

Table 6 - State Findings for Statutes

	Search 2: Administrative Code/Law/Rule (23 USC 134 or language)	Search 3: Does DOT website mention MPOs? (Description, Map, Guidebook/ Manuals)	States with MPO Language in Both Statutes & Administrative Code	States With MPO Language in Either Statutes or Administrative Code	States With No Reference to MPOs in Statutes or Administrative Code
Number	**28**	**32**	**20**	**19**	**11**
State List	Alaska	Alabama	Alaska	Arizona	Alabama
	Arizona	Alaska	Arkansas	Delaware	Connecticut
	Arkansas	Arizona	California	Hawaii	Georgia
	California	Arkansas	Colorado	Idaho	Kansas
	Colorado	California	Florida	Indiana	Louisiana
	Florida	Colorado	Illinois	Kentucky	Mississippi
	Idaho	Florida	Iowa	Maryland	Missouri
	Illinois	Idaho	Maine	Massachusetts	Rhode Island
	Iowa	Illinois	Michigan	Minnesota	South Dakota
	Kentucky	Indiana	New Hampshire	Montana	West Virginia
	Maine	Iowa	New Jersey	Nebraska	Wyoming
	Maryland	Kansas	New Mexico	Nevada	
	Michigan	Kentucky	New York	North Carolina	
	Minnesota	Louisiana	Ohio	North Dakota	
	Montana	Maine	Oregon	Oklahoma	
	New Hampshire	Massachusetts	Pennsylvania	South Carolina	
	New Jersey	Michigan	Texas	Tennessee	
	New Mexico	Minnesota	Utah	Virginia	
	New York	Missouri	Vermont	Wisconsin	
	Ohio	New Jersey	Washington		
	Oklahoma	New York			
	Oregon	North Carolina			
	Pennsylvania	Ohio			
	South Carolina	Oregon			
	Texas	Pennsylvania			
	Utah	South Carolina			
	Vermont	Tennessee			
	Washington	Texas			
		Utah			
		Vermont			
		Washington			
		West Virginia			

Table 7 - State Findings for Administrative Code and DOT

Incentive Programs

FDOT established the Transportation Regional Incentive Program (TRIP) in 2005, to create incentives for regional coordination through partnerships between MPOs, transit, and other transportation agencies. TRIP was created as part of Florida Growth Management legislation enacted through Senate Bill 360 (2005). The purpose of the program is to encourage regional planning by providing state matching funds for improvements to regionally significant transportation facilities (FDOT 2010). Eligible partners for the TRIP program include: two or more contiguous MPOs, one or more MPOs and one or more contiguous counties that are not members of a MPO, a multi-county RTA, two or more contiguous counties that are not members of an MPO, and MPOs comprised of three or more counties (FDOT 2010) Counties in the TRIP program are illustrated below in Figure 8.

FDOT gives priority to projects that provide connectivity to the Strategic Intermodal System (SIS), support economic development and goods movement in rural areas of critical economic concern, are subject to local ordinances that establish corridor management techniques, and improve connectivity between military installations and the Strategic Highway Network or the Strategic Rail Corridor Network (FDOT 2010).

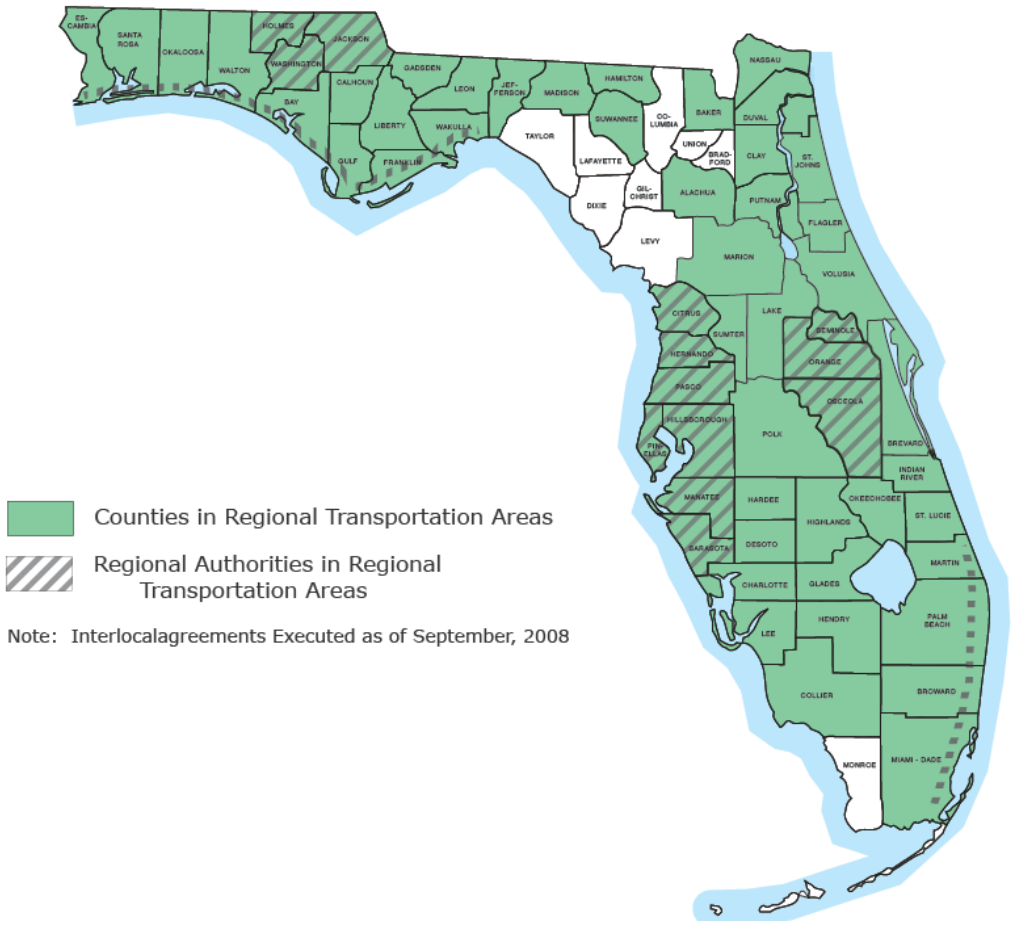


Figure 8 – Counties in the TRIP Program

Source: Florida Geographic Data Library 2011

Looking at other states across the country through the compilation of state profiles and narratives, there was limited information for similar incentive programs that encouraged regional planning, coordination, and partnerships. A general search for incentive programs such as Florida's TRIP program was conducted, and resulted in a diverse list of programs as described below.

The Oregon Department of Transportation and Growth Management (TGM) – Oregon Department of Transportation (ODOT) provides TGM Grants statewide for local governments for planning projects that lead to more livable, economically vital, transportation-efficient, sustainable, pedestrian-friendly communities (CDTC 2011, ODOT 2011). Category 1 Grants are for Transportation System Planning "to give Oregonians a range of transportation choices and meet requirements of the Oregon Transportation Planning Rule" (ODOT 2011). Category 2 Grants are for Integrated Land Use & Transportation Planning, "to promote compact, mixed-use development supported by improved pedestrian, bicycle, transit, and multimodal street facilities" (CDTC 2011, ODOT 2011).

The North Carolina Mobility Fund provides a stable source of revenue for projects of statewide or regional significance, and is established through the North Carolina Department of Transportation (NCDOT). Rural areas will be addressed, and the fund will be used to relieve logistical bottlenecks, enhance the movement of freight and improve connectivity in rural areas (CDTC 2011, NCDOT 2010). This program does not provide incentives, but rather will fund large transportation projects of statewide or regional significance, to free up traditional transportation dollars to address other critical needs (CDTC 2011, NCDOT 2010).

The Virginia Municipal League (an association of municipal governments in Virginia) cites "Regional Incentives" that are given to regions for a variety of projects involving transportation (CDTC 2011, Virginia Municipal League 2010). Incentives are as listed: "preferential treatment in funding formulas to consolidated activities such as social services, transportation, and waste water treatment; removal of barriers (such as referendum requirements) to revenue sharing among localities to encourage joint development of infrastructure, sites, and facilities; provision of counties access to the same revenue authority as municipalities; authorization of regional taxing authority and tolling authority to localities working in concert on transportation improvements and meeting certain requirements" (CDTC 2011, Virginia Municipal League 2010).

Atlanta Regional Commission (ARC) "Livable Centers Initiative" provides funding for investment studies and transportation projects located in activity and town centers in the Atlanta region (ARC 2011, CDTC 2011). The focus of the program is to encourage increased residential development, mixed uses, and connectivity in activity and town centers (ARC 2011, CDTC 2011). Projects are awarded to local governments and non-profit sponsors, such as Transportation Management Associations (TMAs), for producing plans to define future center development strategies. Study areas given priority include: transit station areas, commuter rail locations, town centers, existing activity centers (ARC 2011, CDTC 2011).

The San Francisco Bay Area Metropolitan Transportation Commission's Transportation for Livable Communities Program provides funding for community design and planning processes to retrofit existing neighborhoods, downtowns, commercial cores, and transit station areas and stops in order to create pedestrian, bicycle, and transit-friendly environments (CDTC 2011, MTC 2011). Funding is given to local governments, transportation agencies, and community-based nonprofit organizations, and is allocated from the Transportation Development Act (TDA) or Surface Transportation Program (STP) (CDTC 2011, MTC 2011). The purpose is simultaneously promoting transportation/land use integration while expanding transportation options by providing direct financial incentives for cities and counties for support community development and redevelopment projects that encourage pedestrian, transit, and/or bicycle trips, and spur the development of housing, downtowns, and regional activity centers (CDTC 2011, MTC 2011).

City/County Association of Governments (C/CAG) of San Mateo County Transit-Oriented Development (TOD) Incentive Program provides financial incentives for land use agencies (twenty constituent cities and the

county) to develop housing near transit stations (CDTC 2011, Smart Growth in Action 2011). Jurisdictions receive incentive funds from the STIP, based on the number of bedrooms in the housing units. The success of C/CAG's TOD Incentive Program has encouraged other jurisdictions to implement similar programs – the San Francisco MPO – The Metropolitan Transportation Commission – adopted a Housing Incentive Program based on this model. Legislation for similar programs is also being considered at the state level (CDTC 2011, Smart Growth in Action 2011).

The Sacramento Area Council of Government's (SACOG) Community Design Grant Program provides financial incentives to cities and counties with specific projects that conform to SACOG's seven smart growth principles: transportation choices, housing diversity, mixed land uses, existing assets, natural resource conservation, and quality design (CDTC 2011, SACOG 2011). The Metropolitan Transportation Plan for 2050 sets aside $500 million in federal funds for Community Design over a 23-year period (CDTC 2011, SACOG 2011).

The San Diego Area Council of Governments (SANDAG) Transportation Enhancement Activities (TEA) Program provides funds to cities and communities that follow the principles of the Regional Comprehensive Plan and underlying planning philosophy (CDTC 2011, SANDAG 2011). SANDAG (2011) allocates federal funds from The Transportation Equity Act for the 21st Century (TEA-21) for the San Diego region and transportation-related projects that enhance the quality of life in or around transportation facilities.

City of Austin Smart Growth Incentive Program provides several different forms of incentives to promote smart growth in Austin: Smart Growth Zone specific incentives, Smart Growth Matrix incentives, Primary Employer incentives, SMART Housing incentives, and Revised Water and Wastewater Reimbursement Policies (CDTC 2011). These incentives promote goals of residential living, improved quality of life, and enhanced tax base through smart growth. The program also supports both Traditional Neighborhood Development (TND) and Transit-Oriented Development (TOD) in various Austin neighborhoods (CDTC 2011).

Partnerships

Throughout the country, there were no incentive programs identified with the purpose of creating regional partnerships, either exclusively or in combination with other purposes. However, we did identify the existence of larger partnerships within each state, such as Associations of Regional Councils, Associations of MPOs, and other partnerships with transportation agencies or Departments of Transportation. The following states have a statewide MPO Association or Voluntary Statewide Transportation Planning Association: Florida, Georgia, Illinois, Indiana, Michigan, New York, North Carolina, Oregon, and Texas.

Typically, larger states with greater populations and more MPOs had regional partnerships. Smaller states with less development have a lesser need for inter-region cooperation and partnership, and typically their MPOs work individually. The Indiana Association of Regional Councils (IARC), which is a statewide association of 12 regional planning entities that provide comprehensive, regional planning services coordinated with local, municipal, and county governments, provide an example of such a regional partnership. In addition, another partnership, the Indiana Regional Transportation Council, participates in review of both state and regional transportation decisions.

In addition to regional planning partnerships, we also identified transportation partnerships, such as the existence of regional transit authorities, transportation advisory councils, and other modes such as freight or waterways. The list below, taken directly from *Regional Organizational Models for Public Transportation* (Transit Cooperative Research Program 2011, 4-5), summarizes five main governance models in the United States dealing with transit cooperation. These five models are useful in viewing partnerships across state, county, and local entity lines in regards to transportation.

1. *State transit agency* – A transit agency created by a state government, with transit operations owned, funded and managed by the state. Examples include New Jersey Transit (NJT), Massachusetts Bay Transportation Authority (MBTA), Rhode Island Public Transit Authority (RIPTA), and the Maryland Transit Administration (MTA).

2. *General purpose transit authority or district* – A transit authority, usually with an accompanying funding mechanism, created through the joint approval of leaders and voters in multiple local jurisdictions under state law. In this case, the state law allows the establishment of a "general purpose" authority, separate from local government, by local action. Examples include the Public Transit Benefit Areas of Washington State; the Ohio transit authorities in Cleveland, Akron, Toledo, Columbus and Cincinnati; the individual county transit districts in Florida; and the recently-created New Mexico general purpose regional transit authorities (which have enabled Regional Transit Districts in the North Central New Mexico, Albuquerque, and Las Cruces regions).

3. *Special purpose regional transit authority or district* – Created by a special act of the state legislature, and applying only to a specific, single region of the state. Examples include the Washington Metropolitan Area Transportation Authority (WMATA, which required actions by two state legislatures, Congress and the District of Columbia), the Bay Area Rapid Transit District (BART), the Regional Transit District (RTD) in Denver, the Regional Transportation Authority (RTA) for the Chicago region, including the "service boards" for the Chicago Transit Authority (CTA), Metra and Pace, and TransLink in Vancouver, British Columbia. This is the most common transit governance model for larger urban areas.

4. *Municipal transit agency* – Assumption of transit services by an existing local government, without special state legislation, as one part of its municipal functions. Examples include Honolulu, Santa Fe, Charlotte, and the many municipal operators in the Los Angeles and Phoenix regions. This is the most common governance model, particularly among small transit agencies and in small and mid-sized urban areas.

5. *Joint exercise of powers or joint powers authority* – Agreements between two or more existing local governments to create a new transit agency by jointly exercising the powers they each have to build or operate transit. Examples include Caltrain, the commuter rail operator created by Santa Clara, San Mateo and San Francisco Counties; the construction and operation of Trinity Railway Express (TRE) by two Texas transit authorities, Dallas Area Rapid Transit (DART) and Fort Worth Transit; and the operation of Virginia Railway Express (VRE) commuter rail, a joint project of the Northern Virginia Transportation Commission and the Potomac and Rappahannock Transportation Commission.

An example state with many of these types of transportation partnerships is Oregon, partially due to their statewide focus upon "smart" transportation and alternative modes of transportation. Oregon has designated through their government code the establishment of Mass Transit Districts, Transportation Districts, Mass Transportation projects, Freight Advisory Committee, and a Multimodal Transportation Fund. In addition, ODOT has established Transit, Freight, Bicycle, and Pedestrian Advisory Committees both regionally and statewide.

The number and characteristics of transportation partnerships vary according to state characteristics, however larger states with more expansive transportation networks tend to have higher numbers of transportation partnerships. For further examination, designating state legislation and descriptions of these transportation partnerships are listed in detail by state in Appendix C.

Other types of partnerships include those of data partnering, as described further in the case of Illinois in "Data Partnering between Transportation Agencies fur Mutual Benefit." The Illinois Department of

Transportation (IDOT) has taken an active role in finding and implementing data partnering relationships in which state agencies, local agencies, and MPOs can share data in three critical areas: rail-highway crossings, traffic, and structures. In this case, IDOT has partnered with MPOs, Toll Highway Authorities, and business organizations such as the Illinois Commerce Commission. Partnerships such as these were not identified elsewhere in the United States at a formal level, but exist informally across states. (Hall et al. 2004)

Transit Initiatives and Partnerships

The Federal Transit Administration (FTA) has been providing financial assistance to transit agencies for close to fifty years through grant programs, which typically cover 80% of capital project expenses, leaving the remaining 20% matched by the state or local entities. Though not a direct incentive for regional coordination, these grants have enabled regional cooperation on transit programs. Further study of transit funding and incentive programs can be found in AASHTO's *Survey of State Funding for Public Transportation* (AASHTO 2007), *NCHRP Report 569: Comparative Review and Analysis of State Transit Funding Programs* (NCHRP 2006), and *TCRP Report 129: Local and Regional Funding Mechanisms for Public Transportation* (NCHRP 2011).

Summary

Throughout the country, our research showed that incentive programs are typically not statewide, but are at the regional-wide or local level. In addition, most incentive programs are designated for one or two specific purposes. These purposes can include transit and development of multimodal transportation, smart growth, TOD, livability, community development, affordable housing, intermodal connectivity, and environmental sustainability.

The only example of a statewide incentive program for regional transportation coordination remains Florida's TRIP program. North Carolina has a rural incentive program and Virginia includes transportation planning in a broader regional incentive program. California and Texas are recommended for further research about incentive programs, since they house most of the regional incentive programs as previously detailed. California, as described above, has many regional coordination incentives that specifically target climate change and environmental emission initiatives. In summary, our research illustrates that MPOs and local jurisdictions tend not to coordinate or cooperate for the sake of cooperation alone, but for the requirements of a state/federal sponsored initiative or program.

Strategies for Addressing and Prioritizing Investment Decisions with Regional Needs

State statutes, codes, and transportation agency websites do not contain much information about how MPOs and regional agencies prioritize investments and coordinate with other planning processes. We looked to state-level government, particularly at state DOTs and state level transportation plans to examine how MPOs and other transportation agencies address regional needs and priorities. Almost all states recognize the need to encourage or explore regional coordination and partnerships. Some go beyond encouragement by implementing strategies to enhance coordination and prioritize investment decisions.

Federal legislation requires each state DOT to produce a long-range state transportation plan that details priorities, needs, and investment decisions (USDOT 2007). The LRTPs of eleven states were reviewed in order to understand the state's process for determining regional needs, transit, land use decisions, and development review. This enabled us to identify patterns and trends. In addition, relationships and partnerships with counties and MPOs were noted in each state plan.

The strategies used by states to prioritize projects vary. Some states determine their needs on a more independent level that focuses solely on their state-owned facilities. Some states develop technical

planning tools and performance measures in order to assess their priorities. Other states place emphasis on the regional needs of the state by engaging stakeholders in the planning process, or basing the state needs on the regional by incorporating MPO plans, or other methods for prioritizing.

The types of stakeholder identified in the planning process can influence how regional needs are prioritized.

> Most states include MPOs, elected officials, private citizens, special interest groups, and some specifically identified community or business leaders. MPOs have their own public involvement requirements, and states can benefit from that process in the statewide planning efforts… It is unclear whether the MPO representatives included in the statewide planning process were professional staff or citizen representatives. Many states, such as Alabama, Georgia and Colorado, specifically include summaries of the key points in the MPO plans and the comments received during the formation of these plans in the statewide plan…. Indiana sends liaisons to attend MPO meetings and incorporates information from this contact into the statewide planning process. Other states, such as Arizona, include official representatives from MPOs in their advisory committees to provide metropolitan perspectives (FHWA & USDOT 2002).

Other planning organizations that are sometimes included in regional partnerships are "regional transportation planning Associations (RTPAs), Regional Planning Commissions or Organizations (RPCs or RPOs), Area Development Districts (ADDs), and Rural Development Commissions (RDCs)" (FHWA & USDOT 2002). Elected officials who participate in prioritization of projects can be members of the state legislature, members of the state's congressional delegation, mayors, judges, or officials from cities, counties and towns. They may also serve on MPO boards. Special interest groups might represent minority or "traditionally underserved" populations, environmental concerns, or a broad range of other issues. Community or business leaders range across a wide spectrum, but include representatives from Chambers of Commerce, hotels, farming, agriculture, or other industry leaders. Additionally, transportation providers and other government agencies are often mentioned as stakeholders in the process. These more specific stakeholder groups are often given individual briefings to gain buy-in on the direction of the plan (FHWA & USDOT 2002).

The diversity of participants in the planning process results in a variety of processes to prioritize projects, yet some trends, such as devolvement and interest in multimodal tradeoff, can be identified. Multimodal tradeoff analysis is potentially applicable to a range of activities at the state DOT or MPO level. Recent trends in Performance Based Planning and Asset Management have expanded the practice of analyzing options and tradeoffs to help agencies prioritize expenditures at various steps along the way from long-range planning to project implementation. (Cambridge Systematics 2007, 1) In a study of multimodal planning, Cambridge Systematics (2007) suggest that Florida's SIS, Virginia's Statewide Multimodal Corridors, and other examples illustrate an approach towards prioritization that attempts to help focus state resources on those parts of the multimodal system, regardless of ownership, that by definition have greater benefit to the State than other investment opportunities…. However, the fact remains that while several states have applied some form of comparative analysis, often using subjective scoring schemes to set priorities, none appear to have developed processes or tools for conducting quantitative analysis between modes to support project-specific tradeoff decisions" (Cambridge Systematics 2007, 10). In addition,

> "Trends seem to favor devolvement of prioritization to district offices or regional planning organizations, making it less likely that final project funding selection will be based on direct quantitative comparison of possible alternatives. With the exception of those cases involving larger MPOs with more sophisticated processes, much of the project prioritization that occurs at lower levels of government does not involve extensive prioritization methodologies" (Cambridge Systematics 2007, 10).

The most often cited reason to prioritize projects is "to maximize the benefits obtained from a given level of investment" (ODOT 2007, 8). A diversity of approaches to prioritizing investment decisions to address regional needs was found in the literature and the review of state plans in Arizona, California, Colorado, Georgia, Michigan, Ohio, Oregon, Pennsylvania, Texas, Utah, Virginia and Washington.

Arizona

Arizona has a performance based state plan. The state uses a variety of performance measures to prioritize projects and program and the issues that they address (safety, accessibility, resource conservation, preservation) including (ADOT 2010):

- Average bike suitability
- Improvement in vehicle-to-capacity (V/C) ratio (weighted average by Person Miles Traveled)
- Reduction in hours of delay
- Connectivity
- Ability to pass in major two-lane corridors
- Travel time improvement on ADOT high-priority corridors
- Safety
    - Improvement in crash rate (crashes per 100 million Vehicle Miles Traveled (VMT))
    - Reduction in injuries - Preservation
- Reconstruction for older roads
- Reliability - Reduction in hours of incident-related delay
- Accessibility
    - Improvement in bike suitability (from bicycle/pedestrian plan)
    - Added bus turnouts
- Resource conservation
- Reduction in mobile source emissions
- Reduction in fuel consumption
- Added sound walls
- Project consistency with local plans

California

The Caltrans Office of Regional & Interagency Planning (ORIP) actively engages in the regional transportation planning process with California's Metropolitan Planning Organizations (MPOs), Regional Transportation Planning Agencies (RTPAs), Federal, State and Local government agencies (Caltrans 2011a). The office also administers funding, such as the Consolidated Planning Grant, advocates Caltrans regional interests, provides legislative comment, and works to incorporate interested parties, such as Native American Tribal Governments, and advocacy groups in the transportation planning process (Caltrans 2011a). Participation in programs such as the California Regional Blueprint Planning Program are collaborative planning efforts undertaken by ORIP (Caltrans 2011a).

California also has several partnerships that promote coordination, including the tri-agency partnership and the Merced partnership for integrated planning. The Tri-Agency Partnership is interagency partnership collaborative planning efforts a foundational documents for the Tri-Agency Partnership illustrates the integration of parallel planning processes at the State, regional, and local levels with the engagement of all stakeholders in sharing data and incorporating environmental considerations in all plans. The next full update of the California Transportation Plan (CTP) will address policies and strategies that continue to support these collaborative planning concepts (Caltrans 2007, 18). Merced Partnership for Integrated Planning is a multiagency regional planning model (Caltrans 2007, 24)

Coordination is a high priority in California. In order to meet the 1998 Plan goals for the state highways, one of the strategies is to "coordinate operational plans, improvements and strategies with regional agencies, the goods movement industry, and other modal and intermodal owners and operators (e.g., airports, seaports, freight rail, and intermodal transfer and distribution centers)." California is also distinct in that they have statutes that guide the planning process. Some of the programs and statutes that guide the planning process are as follows:

- Continuing, Cooperative, and Comprehensive Planning - Caltrans and metropolitan and regional agencies share responsibilities for the ongoing planning process. (23 USC, Section 134 and 135; GC Section 14529.12)
- Congestion Management Programs - Regional and local congestion management (Chapter 2.6 Congestion Management, Government Code Sections 65088.1-65089.10)
- Regional Transportation Plans - To include goods movement and ISTEA planning factors. (GC Section 65080)
- SB 391 is a state statute that requires the state to identify the statewide integrated multimodal transportation system in order to reduce greenhouse gas emissions. The plan will be updated every 5 years.
- California Interregional Blueprint (CIB) – a planning process that is being developed by the California Department of Transportation (Caltrans) and their partners to create an innovative planning process designed to respond to SB 391. It will integrate statewide modal plans
- SB 375 helps to guide the state priorities by requiring the Air Resources Board and MPOs to identify sustainable communities' strategies (SCS) and alternative planning strategies (APS) (California Department of Transportation 2007).

California has the intent to develop the CTP by December 31, 2015. This plan will identify the integrated, multimodal system needed to achieve the maximum feasible greenhouse gas emission reductions. California has a similar system to Florida's SIS, in that it has an Interregional Road System (IRRS) that was identified in statute in 1989. The IRRS serves interregional people and goods movement (Caltrans 2011b).

Colorado

The Colorado Department of Transportation (CDOT) works extensively with the 15 Transportation Planning Regions (TPRs), local elected officials and the public to ensure that everyone has a voice in the statewide and regional planning processes (CDOT 2011). The Department also coordinates planning efforts for Colorado's 15 TPRs. There are ten rural TPRs and five urban TPRs, also called Metropolitan Planning Organizations (MPOs) (CDOT 2011). These regional transportation plans, along with the Freight Infrastructure Study and other transportation plans for metropolitan regions are intended to be the sources of projects ultimately included in the STIP. Colorado's statewide transportation plan includes appendices that contain lists of all proposed projects, both financially constrained and unconstrained. The freight needs are considered in depth, both from the statewide and regional perspectives. The result is a more comprehensive and coordinated overall plan" (FHWA & USDOT 2002).

CDOT amended their 2035 plan to be consistent with MPO RTPs, even though they were not required (CDOT 2008, 3). Land Use and Zoning Study - The Northwest Colorado Council of Governments and the I-70 Coalition are identifying land use planning and zoning issues that are essential for incorporating a potential fixed-guideway transit system from Denver International Airport westward along the I-70 corridor (CDOT 2008, 26). In the CDOT Rail Governance Study, the CDOT is analyzed governance structure options that could be used to implement future statewide, regional transit or passenger rail services that would span multiple jurisdictions (CDOT 2008, 26).

Georgia

Georgia's Office of Intermodal Programs is conducting a study assessing how to better coordinate Georgia Department of Transportation (GDOT) and Georgia Department of Human Resources (GDHR) transportation programs. The Coastal Georgia Rural Development Commission is conducting a pilot project to merge GDOT and GDHR transportation services. Services can cross jurisdictional boundaries if there is coordination among the jurisdictions involved. GDOT's Office of Intermodal Programs is working with private intercity bus providers to address the abandoned route issue. An extensive program of commuter, intercity and interstate rail has been defined and is included in the Build/Financially Unconstrained Program. (GDOT 2006, 2-24).

Michigan

Michigan's recently updated long-range plan applied a corridor-level approach to identify several multimodal "corridors of highest significance" based upon their importance to the State's mobility, connectivity, and economic activity (Cambridge Systematics 2007). Prioritized projects in these corridors of state, national, or international significance include highway, rail, air, and marine modal projects to improve freight and passenger flows (Cambridge Systematics 2007). While there (apparently) was no explicit comparative analysis of tradeoffs between competing modal projects, the process did result in identification of multimodal capacity improvement packages as highest priority for implementation. Final implementation decisions will involve not only Michigan DOT but numerous MPOs and RPAs to complete the programming and funding processes" (Cambridge Systematics 2007, 10).

Maryland

As a part of its Smart Growth legislation, the State of Maryland passed the 1997 Priority Funding Areas Act, which capitalizes on the influence of State expenditures on economic growth and development in areas such as highways, sewer and water construction, economic development assistance, and State leases or construction of new office facilities (MDOT 2009). This legislation directs state agency spending to Priority Funding Areas (PFA). The following areas qualify as PFAs: every municipality, as they existed in 1997, areas inside the Washington, DC Beltway and the Baltimore Beltway; areas designated as enterprise zones, neighborhood revitalization areas, heritage areas, and existing industrial land are existing communities and places where local governments want State investment to support future growth (MDOT 2009). Beginning October 1, 1998, the State of Maryland directed funding for projects that support growth to PFAs. Funding for projects in municipalities, other existing communities, industrial areas, and planned growth areas designated by counties receive Priority State funding over other projects (MDOT 2009). PFAs are locations where the State and local governments want to target their efforts to encourage and support economic development and new growth (MDOT 2009).

Ohio

The Ohio Department of Transportation (OhioDOT) developed the "Access Ohio 2004-2030, Statewide Transportation Plan." Ohio demonstrates a higher level of coordination with regional needs by developing the statewide long-range transportation plan (LRTP) with the full involvement of Ohio's transportation providers, local and regional government agencies, including Ohio's 17 MPOs, numerous public interest groups, and Ohio's citizens. (OhioDOT 2004, Foreword-1)

Page 2-8 has a section on MPO Goals and Objectives, stating "Seventeen Metropolitan Planning Organizations have been designated in Ohio.. The MPOs cover 30 of Ohio's 88 counties and 77.4 percent of Ohio's population, as well as portions of West Virginia and Michigan. According to the 2000 U.S. Census, 14 percent, or 3,558,000 of Ohio's 26,381,670 acres, are defined as urban. Sixteen of Ohio's MPOs have established goals, objectives, regional priorities, and a financially constrained long-range plan for the use of transportation funds within their respective regional areas (OhioDOT 2004). The Erie Regional Planning

Commission based in Sandusky is Ohio's newest MPO and continues to finalize its long-range plan goals and objectives. As part of the process for developing the goals for this plan, the MPOs plans were reviewed and their goals and objectives identified." (OhioDOT 2004, 2-8)

Figure 9 portrays the relationships between OhioDOT, MPO, and ACCESS OHIO 2004-2030 planning processes. "The OhioDOT *Business Plan and Strategic Initiatives* set OhioDOT's short-term focus for 2004 and 2005. Governor Taft's *Jobs and Progress Plan* helped set goals through 2015. It, in turn, identified projects needed for the first 12 years of *ACCESS OHIO 2004-2030*. Underlying them all is the Organizational Performance Index, which serves as OhioDOT's "dashboard" to lead the department to support the mission, values, goals, and strategic initiatives each day." (OhioDOT 2004, 2-11)

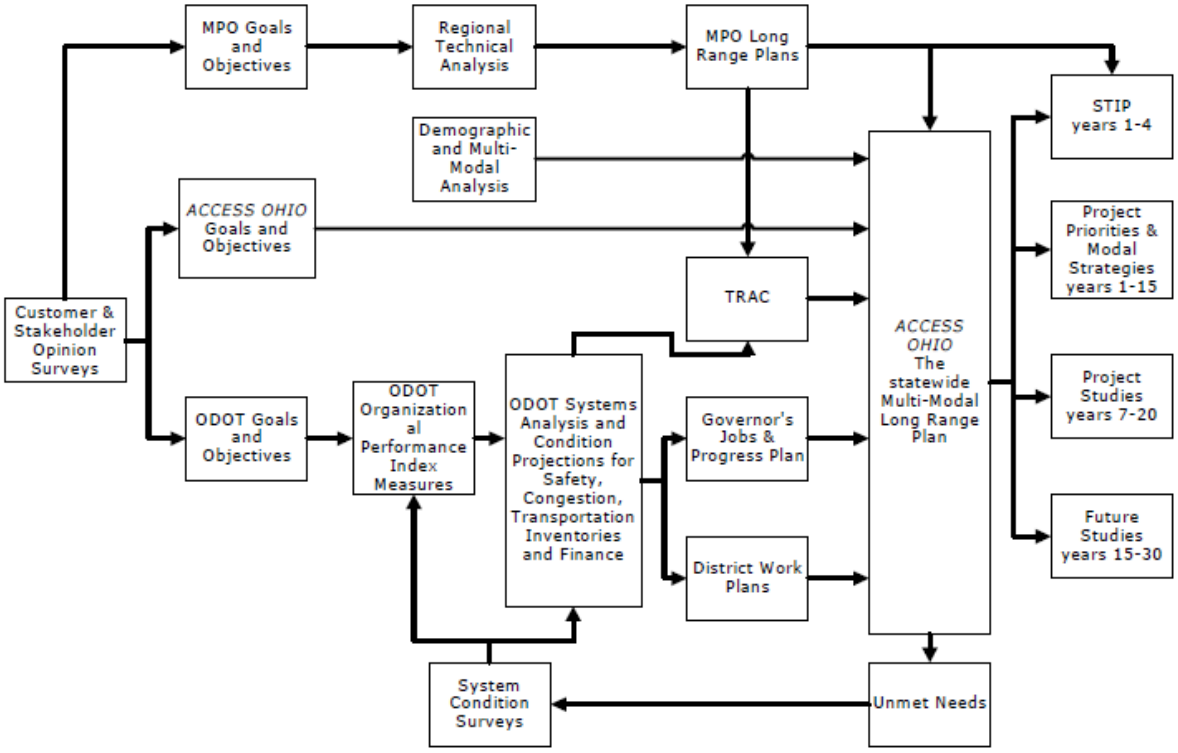


Figure 9 **-** Planning Processes Used to Develop *Access Ohio 2004-2030*

Source: OhioDOT 2004, 2-11

For Ohio, the State Rural Highway System plan specifically incorporates the input of focus groups in each of the state's twelve planning districts (FHWA & USDOT 2002). This regional and modal input is compiled to approximate costs for new projects. The analysis estimates the costs of both the fiscally constrained and fiscally unconstrained new capacity projects for transit and highway contained within the MPO plans. The MPO plans are compiled for individual modal plans, which in turn aggregate into a system-wide plan. Within each modal discussion, the plan addresses costs and available revenues. The plan also analyzes potential additional funding sources, beginning with a broad range of options that are decreased to a few most feasible options," (FHWA & USDOT 2002).

Ohio is looking into changing the role of the state turnpike commission in order to better serve the state's transportation needs through partnerships with other transportation agencies. The Ohio 21 Century Task Force envisions a larger role for the Ohio Turnpike Commission (OTC): *the state should transform the OTC into a statewide Ohio Transportation Finance Commission (OTFC).*The new OTFC would serve as the state's tolling and finance authority and a partner with other agencies and entities, including but not limited to OhioDOT and the Ohio Rail Development Commission (Ohio's 21st Century Transportation Priorities Task

Force 2009, 50). "With the new OTFC serving as the financing agency for all revenue-generating transportation projects in the state, it would be possible to use excess revenue from one project to support others that may not be self-sustaining, such as a start-up facility. For example, if ODOT wanted to construct a road, it could work with the OTFC to create a tolling plan (e.g., needed funding, pricing, term and the like) for the facility. OTFC would finance the construction of the road, collect the tolls to pay for debt service and possible maintenance costs and potentially distribute revenues to another agency such as ODOT or a local government as prescribed by the previously negotiated agreement" (Ohio's 21st Century Transportation Priorities Task Force 2009, 51).

Oregon

The Oregon Transportation Plan (OTP) is the state's long-range 25 year multimodal transportation plan. "State, regional and local organizations are collaborating on difficult transportation issues. These include Area Commissions on Transportation (ACTs), MPOs, the Oregon Aviation Board, and the Oregon Bicycle/Pedestrian, Freight, Public Transportation, and Rail Advisory Committees. Interagency teams are developing strategies for addressing sustainability, global warming, environmental issues and economic revitalization." (ODOT 2006, 5)

The OTP Steering Committee lists coordination goals under Initiative D (ODOT 2006):

D. Integrate the transportation system across jurisdictions, ownerships and modes.

- Manage the transportation system efficiently across transportation modes and jurisdictions. Work with transportation providers, including federal and state agencies, cities, counties, transit districts and the private sector, to create a strategic plan more efficiently and effectively manage and develop the transportation system. With public support, consolidate and streamline transportation system management where appropriate.
- Develop a coordinated system for maximizing federal funding for transportation improvements across jurisdictions and modes. Involve interests across modes, regional and local governments, business and community leaders and the Northwest Congressional delegations in developing the coordinated system and resolve competing interests before making requests.

The Oregon Transportation Plan consists of input from the following 6 sources: Transportation Planning Rule, Federal Planning Regulations SAFETEA-LU, State Agency Coordination Program, Mode/Topic/Facility Plans, Multimodal Plans, and MPO/Local Transportation System Plans (ODOT 2006, 36).

"Oregon has a history of planning coordination and public participation at all levels of decision-making. These are key aspects of Oregon's success in building viable communities and the transportation networks that serve them. Each governmental level is responsible for system elements:

- The state must provide leadership in the development of strategies to reinforce the goals of the OTP. ODOT must define and advocate for a safe transportation system of statewide significance that accommodates international, interstate and intercity movements of goods and passengers into and through urban and rural areas. When highway or transit projects have such a magnitude that they require leadership and consolidated authority to move them forward, the Oregon Transportation Commission or other appropriate entities may require singular authority for decision-making on such projects.
- MPOs are responsible for transportation planning for their areas under federal law. Both MPOs and local counties outside of MPOs must define and advocate for transportation systems of regional significance adequate to meet needs for the safe movement of people and goods between and through communities and to regional destinations.
- Local governments must define and advocate for systems adequate to meet needs for the safe movement of people and goods within their jurisdictions." (ODOT 2006, 73)

Pennsylvania

Pennsylvania Department of Transportation (PennDOT) has spearheaded the state's goal of integrating transportation and land use by providing guidance on municipal comprehensive plan (PennDOT 2009). This enhances the state's method in determining regional priorities by guiding local governments who are experiencing transportation issues. "PennDOT has prepared this guidance in close coordination with similar guidance on the preparation of MPO/RPO LRTPs. Municipalities and counties using this guidance will therefore be completing comprehensive plans that can effectively be incorporated into the LRTP. This will expedite the process whereby project proposals are included in an MPO/RPO TIP and the STIP. While there is no guarantee that following this guidance will result in accepted, funded projects, use of this handbook can help reduce the time between plan conception and project implementation," (PennDOT 2009, 7). One of the recommended methods for creating the plan include coordination efforts with stakeholders like county and municipal partners, MPOs, RPOs, school districts and special interest groups. This handbook includes guidance on the federal and state requirements, the public participation process, how to access land use and data, scenario building and tools for implementation of transportation solutions (PennDOT 2009).

"Municipal, multi-municipal, and county comprehensive plans represent only a portion of the overall planning structure in Pennsylvania. This is especially true in terms of transportation planning and project development where municipal and county comprehensive plans are the central points of a complicated planning structure that includes statewide and regional transportation plans and a number of related infrastructure and land use studies." (PennDOT 2009, 14)

Pennsylvania goes beyond the federal requirement of state and MPO LRTPs by requiring RPOs to develop an LRTP. In other words, federal funds cannot be used during design and construction if a transportation system improvement proposal is not in the LRTP and contained in a regional TIP, STIP, and Twelve-Year Program (TYP). The regulatory framework for the federally-mandated plans and programs is described in the next subsection. The overall planning structure as it relates to transportation in Pennsylvania is depicted in Figure 10 on the next page.

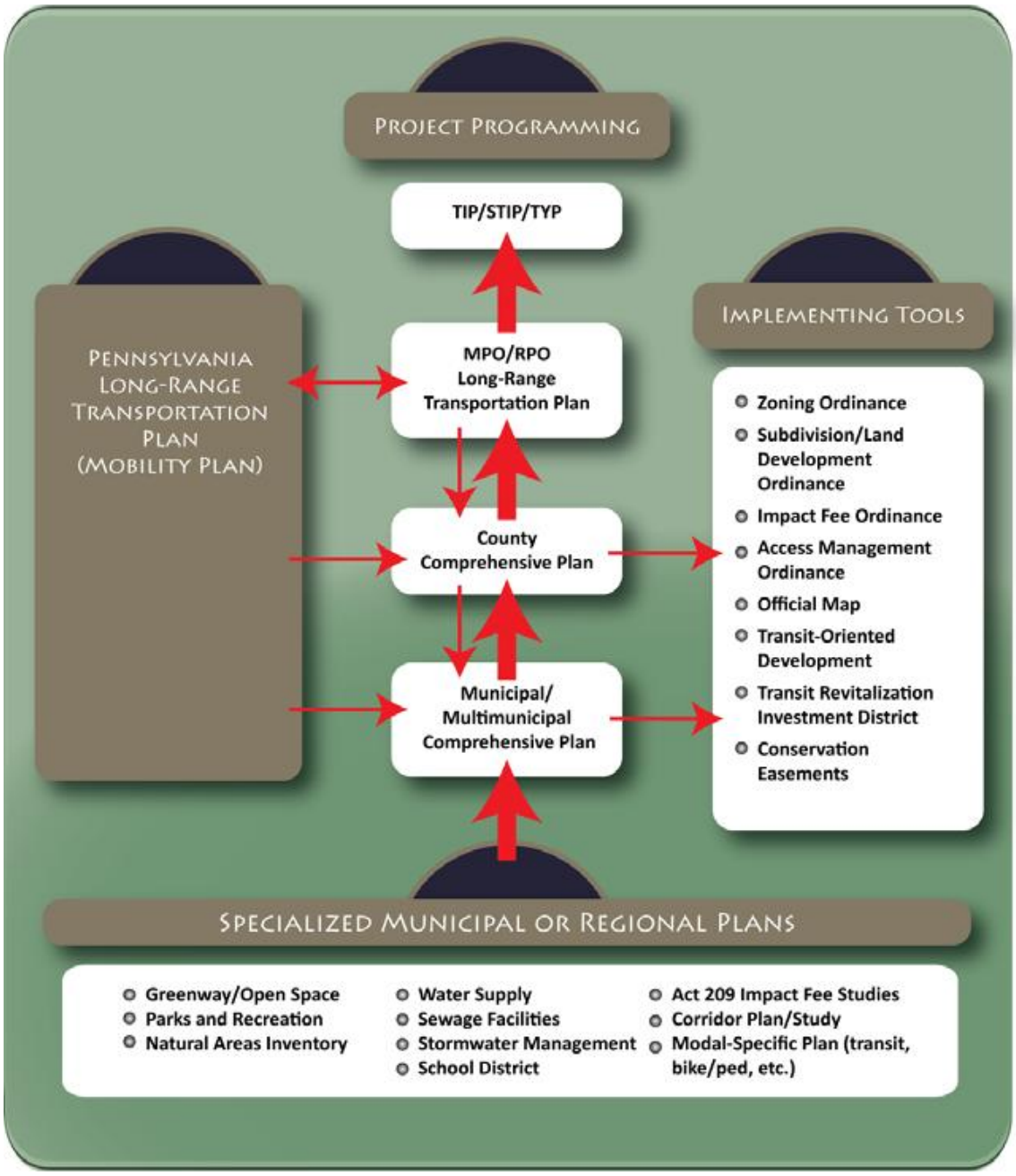


Figure 10 - Transportation and Comprehensive Planning Structure in Pennsylvania

Source: PennDOT 2009, 15.

PennDOT develops specialized municipal or regional plans that can be modal-specific. From there, the plan is coordinated with Municipal Comprehensive Plans, County Comprehensive Plans, and a MPO/RPO LRTP. From the MPO Plan, the next step is TIP/STIP/TYP and then project programming.

"The Core PA Transportation System is the first effort to consider the transportation system as a single interconnected entity, rather than discrete modes" (PennDOT 2007, 31). In order to implement the Core PA Transportation System, PennDOT will…

> "in cooperation with our 23 regional planning partners, incrementally incorporate the core system concept into transportation planning activities. This process will include airports, transit operators, railroads, water ports, and others. The core system of facilities of

statewide significance may ultimately be complemented by core regional facilities. Phase in the core system concept as a focus for developing the Department's various modal programs. Lead collaboration among the various modes that make up the core system to advance system-oriented thinking and problem-solving. This would include operations, infrastructure, technology, and user information. Monitor and publicly report the performance of the Core PA Transportation System as a whole" (PennDOT 2007, 31).

Texas

Texas released their 24-year Statewide LRTP 2035 to guide to collaborative efforts between Texas Department of Transportation (TxDOT), local and regional decision-makers and all transportation stakeholders to reach a consensus on transportation needs. The Statewide LRTP has a very detailed goals and performance measures section and includes a list of Texas MPOs (TxDOT 2011, 28-31).

In *Innovative Connectivity in Texas*, published by TxDOT in 2009, state law passed in the previous six years had provided tools of finance, enhanced regional decision making, and increased partnership opportunities. It states, "TxDOT may now authorize a governmental or private entity to build or operate any part of a corridor-related project, and may enter into Comprehensive Development Agreements (CDAs) in order to deliver highway and rail components. New finance laws allow TxDOT to issue bonds, charge tolls and fees, as well as to exercise traditional finance options" In relation to cooperation, TxDOT also states that "it is the ability to partner with both the public and private sectors that helps us to define and develop solutions that meet statewide and regional needs, and to implement and accelerate those solutions…" (TxDOT 2009, 9)

Utah

Utah Department of Transportation (UDOT) developed the State 2011-2040 LRTP, stating, "Utah has a thirty-year plan for state transportation facilities in urban and rural areas. In rural areas, UDOT prepares the LRTP. In urban areas (50,000 or more inhabitants), the MPOs prepare the Regional Transportation Plans (RTPs). The LRTP and RTPs are lists of improvement projects, developed in accordance with federal regulations, updated every four years to provide for the state's transportation needs of the future. When the UDOT LRP projects are approved for funding by the State Transportation Commission, they are moved into the STIP for design and construction." (UDOT 2011)

Virginia

Virginia Department of Transportation (VDOT) 2035 State Highway Plan incorporates recommendations from existing corridor studies, county thoroughfare plans, rural long-range plans (RLRPs), small urban area studies , MPO's constrained long-range plans, the Strategically Targeted Affordable Roadway Solutions program

VDOT has a very thorough prioritization procedure, described in "Prioritizing the State Highway Plan." It examines Level of Service, Day Volume to Capacity Ratio, Passenger Car Equivalents, Crash Rate, Heavy Truck Volumes, Unemployment Rate, Environmental Issues, Right of Way Limits, Inclusion of other Modes of Travel, Bridge Sufficiency Index, Cost per Daily VMT, Support of SMMTP. "VDOT's Transportation and Mobility Planning Division collects data associated with each prioritization measure and conducts a technical analysis to assign scores." (VDOT 2008)

Washington

Washington 2007-2026 Transportation Plan was prepared by both the Washington State Transportation Commission and the Washington State Department of Transportation (WSDOT). Under Plan Framework, US Code Title 23 is mentioned "Each State shall develop a long-range transportation plan, with a minimum

20-year forecast period, for all areas of the State that provides for the development and implementation of the intermodal transportation system of the State. Washington State Statute, RCW 47.06.030 Transportation policy plan, provides the state requirements for this document: The commission shall develop a state transportation policy plan that (1) establishes a vision and goals for the development of the statewide transportation system consistent with the state's growth management goals, (2) identifies significant statewide transportation policy issues, and (3) recommends statewide transportation policies and strategies to the legislature to fulfill the requirements" (WSDOT 2006).

The Puget Sound Regional Council (PSRC), the MPO for the Seattle metropolitan area has been developing a "least cost planning" methodology that will be multimodal in capability and apply benefit/cost analysis to system expansion projects. "The process is not intended to select a specific project over benefits/cost and other factors" (Cambridge Systematics 2007, 11).

Summary

Several themes emerge in the attempts to prioritize transportation projects – multimodal comparisons, devolution and system preservation. Some state plans have outlined detailed or reference studies that detail the state needs for freight, intermodal travel, land use planning and coordination. States have several ways of determining their priorities. Some states priorities are determined more by the state DOT than regional entities. The Illinois DOT factors policy level priorities established by the Governor and needs presented by the General Assembly based on constituent input. This guidance is reflected in the appropriation of state funds for transportation programs that sets program investment levels as well as modal priorities. The New York State DOT (NYSDOT) determined preliminary corridors of high priority but this work has not been finished. NYSDOT has an independent approach in determining their priorities but they are in the process of changing that. This effort is being let by the Commissioner of Transportation as part of the larger effort to integrate transportation. The commissioner will direct and coordinate the corridor designation process which will allow input from stakeholders. The State of Maryland has designated PFA, which determine areas, including existing municipalities as of 1997, the Baltimore and Washington, DC Beltways, and other areas already designated as enterprise zones, neighborhood revitalization areas, heritage areas and existing industrial land.

Some states put heavy emphasis on planning tools and performance measures. Georgia uses a combination of statewide travel demand modeling tools (like the four step model), FHWA highway tools, a GDOT multimodal transportation planning tool, GDOT TPro Database. The priorities are also influenced by the Atlanta Regional Commission Aspirations Plan, MPO and other local plans. For regional priorities, the GDOT has developed separate LRTPs for small groups of counties in different regions. GDOT funds these LRTPs. The performance measures used by the GDOT are roadway Level of service and crash data. Alabama uses more traditional automobile based performance measures to determine their priorities like average congested roadway speed, average travel time, crash rates, truck traffic volumes, pavement condition, age of buses, bridge safety, vehicle miles traveled, miles of sidewalks, miles of bike trails, highway beautification programs, and volume to capacity ratio. Arizona uses a more holistic set of performance measures to determine whether a project is a priority. Each has a different weight and covers many aspects of a transportation system: Mobility, Reliability, Connectivity, Accessibility, Safety, Preservation, and Resource conservation.

Some states coordinate/partner and consult with stakeholders like MPOs. California uses a collaborative approach in determining their priorities. The state's LRTP process includes a variety of partnerships like the Tri-Agency Partnership and the Merced Partnership for Integrated Planning, and the department's Office of Regional & Interagency Planning. The Office of Regional and Interagency Planning actively engages in the regional transportation planning process with California's Metropolitan Planning Organizations (MPOs), Regional Transportation Planning Agencies (RTPAs), and Federal, State and Local government agencies. California had a unique way of developing performance measures; these measures are based on the input of several stakeholders throughout the state. New Jersey Department of

Transportation (NJDOT) has a noteworthy partnership with the New Jersey Department of Transit. This partnership results in strong priorities favoring smart growth, particularly for transit. Development of the state transportation plan's priorities included discussions with the state's MPOs and the other state and bi-state transportation agencies that participated on the Study Advisory Committee. Ohio has a collaborative approach with transportation providers, local and regional government agencies, including Ohio's 17 MPOs, numerous public interest groups, and citizens.

Some states review the plans of local governments, MPOs, and past studies to determine their priorities. Colorado incorporates statewide priorities from the MPO regional transportation plans and from past studies as well as input from stakeholders and the public. The plan distinguishes the eight transportation concerns in terms of their importance to each of three geographic regions of the state.

Some states use a combination of approaches. Arizona's Major Capital Project identification involves project submittals from several sources, including Arizona Department of Transportation (ADOT) studies, regional, local, or tribal studies, district engineer recommendations, and communities. District engineers typically help identify major corridor and spot projects in their districts in consultation with local and regional officials and the public (ADOT 2004, 9-5). They are then scoped, ranked on performance measures that represent safety, mobility and strategic planning for roadways (ADOT 2004, 9-5).

Regional Transportation Planning in Rural Areas

Rural areas are defined for transportation planning purposes as any lands outside of a metropolitan area with a population of 50,000 or more (AASHTO 2003). In other words, rural areas are not metropolitan areas. Rural areas, strictly speaking, were not addressed by the federal legislation requiring metropolitan level planning processes since the 1970s and creating metropolitan planning organizations (MPOs) for transportation decision making. As such, MPOs have had a greater role in statewide transportation planning, and transportation planning in rural areas has not been significantly comprehensive or participatory (AASHTO 2003; NADO 2005). There are many reasons to conduct more thorough transportation planning for rural areas, including integration of transportation decision making with initiatives for economic development, social equity (such as public transit-dependent populations), land use, environmental protection, and intermodal facilities. Transportation planning in rural areas, however, has historically focused on highways for statewide mobility and economic development (AASHTO 2003).

Federal attention to rural transportation planning increased beginning with the 1991 Intermodal Surface Transportation Efficiency Act (ISTEA) and was reinforced through the 1998 TEA-21 (NADO 2005). The legislation encouraged, but did not require, state transportation planners to consult with local officials in rural areas, including via existing regional planning and development organizations (RPOs) (NADO 2005). In 1999, the U.S. Department of Transportation launched the Rural Transportation Initiative to better link rural areas with the agency's programs and resources (FHWA & FTA 2001). Indeed, NADO (2005, 4) characterized rural transportation planning as a "'gateway' for accessing federal surface transportation funds." In 2003, the Federal Highway Administration (FHWA) and FTA issued a rule to guide the consultation process between state DOTs and rural areas (NADO 2005). The 2005 Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) encouraged RPOs, as they develop rural area transportation priorities and plans, to seek the input of freight, business, and natural resources organizations (NADO 2005). In 2006, NADO established the Rural Planning Associations of America to provide resources to rural transportation planning professionals, policymakers, and stakeholders, and to advise the National Association of Development Organizations (NADO) on rural transportation planning matters (ruraltransportation.org). And in 2007, federal rules issued by FHWA and FTA (Code of Federal Regulations Part 450.210(b) and 450.214(g)) require states to provide for non-metropolitan local official participation in the development of the long-range statewide transportation plan and the STIP, and the documentation of such consultation processes (Florida issued its guidance document in 2009 (FDOT 2009)).

The federal policies have led states to create frameworks for enhancing rural transportation planning. They vary along a number of related dimensions, including the institutional structure, the kind of transportation systems and goals addressed, and the degree of local/regional voice in decision making.

In our research, we observed three main, potentially coexisting, models of state-sponsored institutional structure for rural transportation planning. First, states may follow the federal guidance and formalize rural transportation planning among existing regional planning organizations (RPOs), establish rural transportation-focused RPOs (here, the acronym represents "rural [transportation] planning organization", which is the rural counterpart to "metropolitan planning organization") (e.g., Colorado and North Carolina), or give rural counties MPO status (e.g., Florida and Missouri). North Carolina statutes, for instance, require each transportation-oriented RPO to include a minimum of three counties and have a population over 50,000, and the duties are identical to those of MPOs; most of the RPOs are housed within existing regional planning agencies (AASHTO 2003). Pennsylvania has a similar arrangement (NADO 2005).

Formalization of RPOs or counties in statewide transportation planning gives them greater voice in the identification and prioritization of transportation projects for inclusion in the statewide transportation improvement plan (STIP), and it may encourage or require the creation of rural area transportation plans. States may help build local capacity by creating a supportive statewide agency/commission (possibly with local representation) and issuing transportation planning guidance tailored to rural regions (e.g., Colorado). AASHTO (2003) pointed out the need for this when they found that some RPOs had insufficient funding and staff knowledge. As with regional planning organizations, transportation-focused RPOs in combination with MPOs may or may not cover the entire state (e.g., Florida arguably has two in the northwest corner of the state). And similar to MPOs, transportation-focused RPOs may be housed within existing regional planning agencies, and this is often the case (NADO and AMPO 2009). Another variant is that RPO and MPO boundaries may be combined or overlap, which raises questions of political representation, since metropolitan areas have the potential of dominating the transportation agenda. If RPO and MPO boundaries are kept separate, there is rationale for cross-organizational coordination to address the relationship between rural and urban areas (Goldman & Deakin 2000).

A second major model for conducting rural transportation planning is substate regionalization through state DOT districts (e.g., Florida and Ohio). This represents a more top-down approach, with an emphasis on state-local communication rather than local-local negotiation. In Florida, for example, district engineers and planners maintain close contact with county public works staff, but the "districts retain considerable authority in creating the project lists" (AASHTO 2003, 7). AASHTO (2003, i) observed: "Assigning new responsibilities to RPOs can potentially lead to institutional conflicts with state DOT districts…[And furthermore,] most states have a mismatch between RPO and DOT district boundaries, and this adds an additional hurdle to involving RPOs in project prioritization, especially when RPOs lie in multiple DOT districts." Barring institutional realignment or full delegation, this presents an opportunity for cross-organizational collaboration (Goldman & Deakin 2000).

The third model for state-sponsored rural transportation planning is not regional *per se* but instead focused on rural needs, such as rural public transit or intercity bus service, economic development, growth management, and environmental protection. Attention to these needs is inconsistent across the states with systematic statewide planning for some needs being represented by only a few states. For example, Florida has a state agency dedicated to rural transit service coordination, but most states are weak in this area (AASHTO 2003). Florida has also created the Rural Economic Development Initiative that designates economically depressed multi-county regions for which FDOT will prioritize projects and reduce requirements for local matching funds (AASHTO 2003). States known for exemplar growth management programs, such as Oregon and Maryland, are also typically strong in linking transportation and land use planning, including in rural areas (AASHTO 2003). Oregon, for example, has explicitly recognized rural transportation planning in its Statewide Planning Goals, and it has worked to make these goals actionable at the local level and to better coordinate various sectors during transportation project implementation (AASHTO 2003). Growth management states, such as Florida, that require each city and county to have a

comprehensive plan with a transportation element ensure local attention to transportation planning, but integration with statewide planning requires additional attention, e.g., requirements for plan updates and conformance. The same is true for regional planning organizations created for growth management objectives. Oregon, for example, developed Quality Development Objectives that links to STIP prioritization criteria, the Transportation Growth Management Program, and Special Transportation Areas, all of which apply to rural and urban areas (AASHTO 2003).

During the 2000s, researchers produced many studies that detail states' approaches rural transportation planning. A report by the National Academy of Public Administration (2001), for example, profiles rural transportation planning initiatives in all fifty states, and the Rural Planning Associations of America also maintains descriptions of the thirty states with RPOs. AASHTO (2003) found that in all eight states they examined, rural communities felt that the state DOT was generally listening to and addressing their needs. In states that had formalized a role for RPOs in transportation planning, both rural officials and state DOT staffs agreed that this had a positive impact on rural planning, particularly in states with transparent and consistent systems for setting project priorities (AASHTO 2003). The AASHTO study also noted that comprehensive state coverage by RPOs ensured consistent local representation in statewide transportation planning. AASHTO specifically researched the degree of rural public participation in transportation planning and found Colorado to be exemplar. Colorado provided the RPOs with guidance on public outreach and evaluated success, particularly in the ability to reach low-income and minority rural residents. In general, RPOs are an effective means of engaging the public and businesses, and integrating with other planning sectors (AASHTO 2003).

Summary

In summary, federal and state initiatives for rural transportation planning are primarily designed to give representation and resources to areas not covered by MPOs. These initiatives are increasingly recognizing the unique needs of rural areas and integrating transportation planning with planning for other goals and sectors. There are a variety of institutional and programmatic ways that state agencies can support rural planning and integrate it with statewide transportation planning. Generally, the more attention and diversity of programs a state devotes to the issue, the better the outcomes.

Coordination with Freight Planning

In the late 1970s and early 1980s, the "deregulation of the freight transportation industry", which lifted "modal and jurisdictional barriers," resulted in substantial increases in carrier productivity (Cambridge Systematics 2003). The improvements in freight productivity due to the deregulation of the freight transportation industry prompted Congressional interest in developing "a cost-efficient and competitive transportation system" with hope of increasing national freight productivity (Cambridge Systematics 2003). Since the deregulation of the freight transportation the following Federal legislation was developed, and has influenced the emergence and development of the intermodal and multimodal transportation systems available today:

ISTEA was enacted in 1991 to develop a national intermodal surface transportation system that "shall consist of all forms of transportation in a unified, interconnected manner," that is, "economically efficient and environmentally sound." The intent of ISTEA is to provide the "foundation for the Nation to compete in the global economy, and will move people and goods in an energy efficient manner" (ISTEA, 1991).

The Transportation Efficiency Act for the 21st Century (TEA-21), enacted in 1998, supplements initiatives established in ISTEA. Similar to ISTEA, TEA-21 also encourages the consideration of freight movement, especially freight issues at federal, state, and MPO levels (Cambridge Systematics 2003) .

"TEA-21 continued ISTEA's emphasis on statewide and metropolitan planning factors but reduced the number of factors to seven at the state level and seven at the metropolitan level. Compared with ISTEA,

freight's importance was proportionally greater in planning factors for TEA-21. Of the latter's planning factors, 2 of 7 referred to freight or goods movement, compared to 2 of 20 at the state level and 2 of 15 at the metropolitan level in ISTEA" (Kale 2003, 69). "TEA-21 further expanded opportunities for the freight community to participate in statewide and metropolitan processes by specifying that freight shippers and providers of freight transportation services shall be provided with reasonable notice of opportunities to comment on state and metropolitan LRTP and project programming documents. Other TEA-21 provisions in support of freight policy, planning, and programming included programs for congestion mitigation and air quality improvement (also in ISTEA), national corridor planning and development, coordinated border infrastructure, transportation and community and system preservation, high-priority projects, light-density rail line pilot projects, and railroad rehabilitation and improvement financing," (Kale 2003, 70).

SAFETEA-LU was enacted in 2005 to address transportation challenges such as reducing traffic congestion, improving efficiency in freight movement, and increasing intermodal connectivity among other challenges facing the transportation system (FHWA 2005). This section explores examples of coordination in the movement of freight and passengers. The movement of freight and passengers are both important because they often use the same transportation facilities. The facilities vary from airports, seaports, highways, waterways, and rail. The connections that link these modes of transportation are intermodal facilities that together make up a multimodal transportation system.

Multimodal planning is distinguished as being "focused on system choices", while intermodal planning emphasizes the most efficient movement from "point-to-point within the system" (Goetz 2006, 6). Multimodal planning with respect to freight can be best thought of as the existence and availability of the different modes (e.g., truck, rail, ship, aircraft, and spacecraft) that connect various locations in the system (e.g., seaport to business). Intermodal planning can then be best explained by the ability to use and transfer among different modes (e.g., transfer of goods from ship to rail to truck) within available multimodal systems in order to move point-to-point in the most efficient manner. Public-private partnerships, freight movement studies, performance improvement, and development of intermodal management systems have been identified as integral elements that support efficient intermodal system (Goetz et al. 2006).

Freight Movement

Freight planning occurs on several different levels and involves coordination and cooperation among several different types of stakeholders. According to Ed Strocko, "from a federal perspective, freight does not respect state boundaries, MPO boundaries, or any political boundaries" (Ed Strocko, personal communications, October 2011). Freight planning occurs at the national level to establish corridors of national regional significance, which usually involves corridors that depending on length may require several states to be involved. The involvement of state DOTs is crucial to the success of national or intrastate regional corridors because they are generally the owners of the infrastructure responsible for building and maintenance, and receive the bulk of the funding for infrastructure improvements (Ed Strocko, personal communications, October 2011).

Multijurisdictional coordination among state DOTs and a continuous source of "funding with annual earmarks that provide funding for staff to actually do projects" has been cited as major factor that contributes to the success of a corridor (Ed Strocko, personal communications, October 2011). At the state level, planning involves freight studies, programs, and plans are used to facilitate statewide freight movement that connects freight traffic to other states in the national network or throughout the state. At the regional level, freight planning involves input from regional agencies, such as MPOs and non-metropolitan regional organizations. When considering freight issues and corridors, "all the issues with the corridors occur in the urban areas. Rural areas do not have the congestion issues that urban areas have" regarding freight movement (Ed Strocko, personal communications, October 2011).

The primary stakeholders identified in freight planning are the 52 State DOTs (the 50 states plus DC and Puerto Rico), private providers of freight services, and MPOs. Private-public partnerships (3P) are an important element of freight planning because of the major role taken by private and quasi-private partners (e.g., ports, railroads, airports) in providing freight services. A map of freight railroads in the United States is included below in Figure 11.

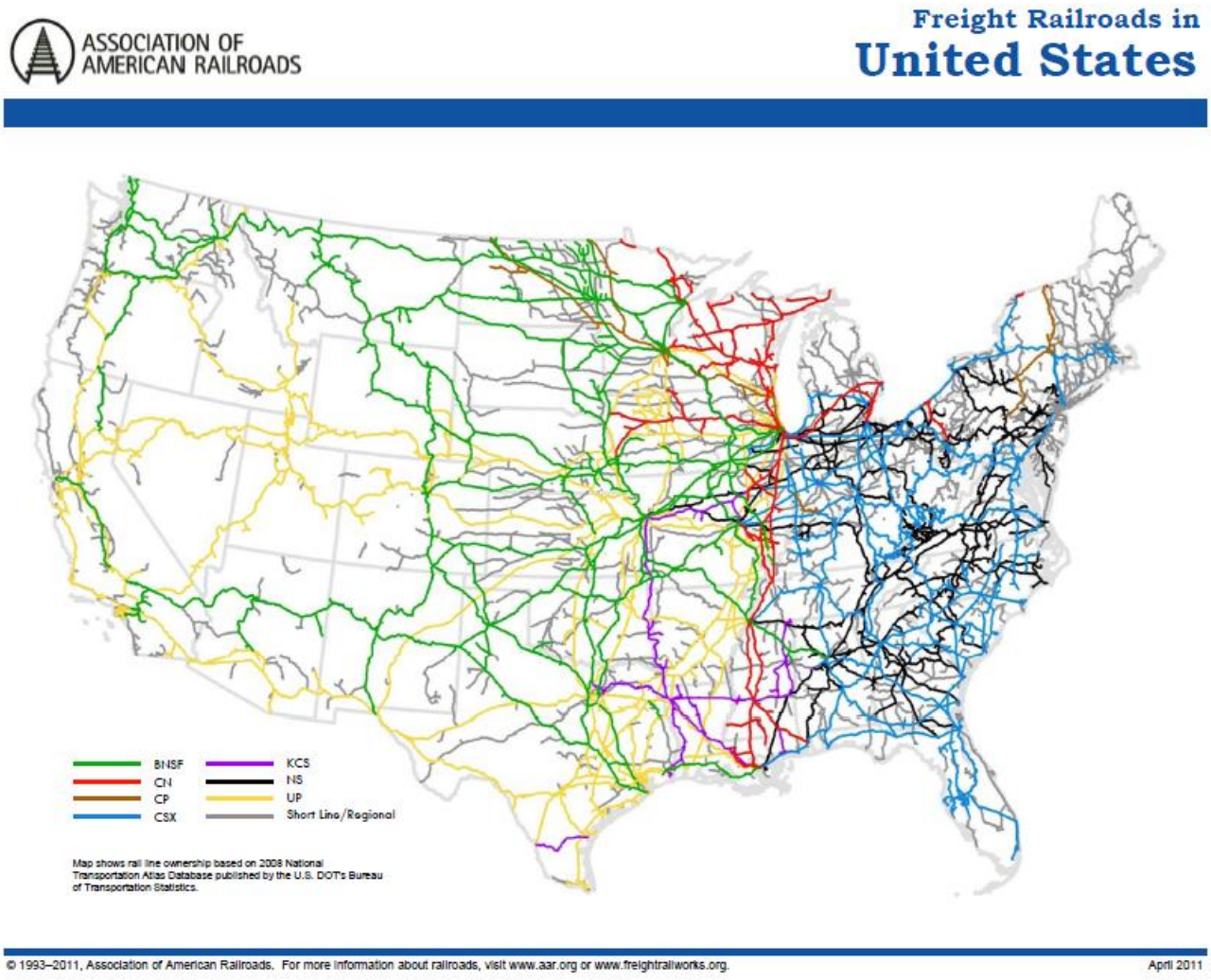


Figure 11 - Freight Railroads in the United States

Source: Association of American Railroads 1993-2011

National Trends in Freight Agency Structure

Several programs shown in the table are primarily rail freight programs with an additional emphasis on one or more other activities (e.g., economic development) or modes (e.g., marine). A number of other states have rail offices that include freight specialists and program activities (Kale 2003). A few states (e.g., Colorado, Ohio, and Oregon) have multimodal freight specialists but no formal freight office or freight program (Kale 2003). States on the east or west coast, particularly those adjacent to Mexico and Canada, tend to have freight office that include freight activities within a broader set of intermodal and multimodal transportation policy, planning, and programming. In some of the more populated states, district or regional offices have freight or intermodal specialists (Kale 2003, 74).

In Washington, freight office personnel report to the agency chief of staff, while personnel for a freight funding program (Freight Mobility Strategic Investment Board) work closely with state transportation agency staff but report to a board appointed by the state's governor (Kale 2003, 74).

State freight offices and programs generally have fewer than 10 management and program staff; most have fewer than 5 (Kale 2003). Three offices or programs have between 10 and 20 management and program staff; two of these are offices or programs with a strong rail planners, analysts, modal specialists, engineers or engineering technicians, and office administrative and support staff (Kale 2003, 74).

Best Practices

"Intermodal freight improvement projects typically are complex projects involving several agencies. Interlocking requirements governing coordination, permit approvals, hearings, etc., can significantly expand the time required to plan and implement projects, driving up the cost of a project significantly" (Cambridge Systematics 2003, 12). Note that interagency coordination is not one of Cambridge Systematics (2003) categories for freight planning, but is mentioned as a component of organizational structure.

Best practices in freight planning can be measured based upon the comprehensiveness of the plans prepared by the state DOT, good cooperation and coordination with a variety of stakeholders, including regional partners, performance improvements, long-range freight planning, organizational structure of State DOTs, data and analytical tools used to understand freight travel patterns, private sector participation (e.g., creation of freight advisory committees) and partnerships , and multi-jurisdictional coordination with other state agencies, other levels of government, and state DOTs (e.g., multi-jurisdictional coalitions) (Cambridge Systematics 2003).

Cambridge Systematics (2003) identifies long-range planning processes, freight planning organizational structure within state DOTs, use of data and analytical tools, private sector participation and multi-jurisdictional coordination as the different freight planning categories. The criteria for successful freight planning within the long-range planning process is to conduct freight studies and incorporate results into the general transportation process, identify freight improvement projects, include freight issues in long-range plans., and new policy, legislation, or funding programs should be studied for results (Cambridge Systematics 2003, 14). The criteria for successful freight planning within the organizational structure category identify that freight issues managed by a single division/ section and an organizational structure that bolsters consideration of freight issues among modes determine success (Cambridge Systematics 2003, 14). The criteria for successful freight planning using data and analytical tools for developing commodity flow/state freight profiles, development of freight models or other forms of analytical tools, and utilizing the tools and profiles to aid with the transportation planning process (Cambridge Systematics 2003, 14). For the private sector participation category, criteria to determine success includes the formation of a private sector advisory group that meets together regularly, and allowing private sector stakeholders to submit project ideas and identify specific freight improvement projects (Cambridge Systematics 2003, 15). The criteria that determine successful freight planning within the multi-jurisdictional coordination planning category identifies that states active participation in multi-

jurisdictional coalitions and involvement in regional freight planning or studies completed are components that determine success (Cambridge Systematics 2003, 15).

Several states were identified as having best practices in statewide freight planning. Cambridge Systematics (2003) identifies Washington and California as states with best practices in statewide freight planning overall. Maine is noted for this private sector partnerships that link freight transportation and economic development and the organizational structure of the Maine Office of Freight Transportation (Cambridge Systematics 2003). Minnesota is noted for this private sector participation in the Minnesota Freight Advisory Committee (Cambridge Systematics 2003). Montana and Oregon are noted for their data and analytical tools in statewide freight studies. Ohio is recognized for its freight studies along roadways (Cambridge Systematics 2003). Goetz (et al. 2006) found that Arizona had best practices in cooperation between the State DOT and MPOs and rural planning organizations. Florida was identified as having good data and analytical tools, private sector participation (Cambridge Systematics 2003), cooperation between State DOTs and MPOs (Goetz et al. 2006) and multimodal freight funding programs (Kale 2003). Several other states – Illinois, Colorado, Maryland, New Jersey and Texas – were identified through review of state plans or an interview with Ed Strocko of the FHWA Freight Office.

California

California is identified as an example of an effective statewide freight planning program managed by the Office of Goods Movement in Transportation Planning Division for their efforts in partnership building, strategic planning, project analysis, data development and training (Cambridge Systematics 2003, 67). The Office of Goods Movements development of the Global Gateways Development Program, monitoring of freight issues and projects, and coordination efforts with Caltrans, MPOs, and RTPAs has been identified as processes that enhance California's statewide freight planning (Cambridge Systematics 2003, 67-9). California has also been identified as a state with the best practice for the direct integration of freight planning into long-range planning process within Statewide Transportation plans (Cambridge Systematics 2003). The planning process is aided through legislation requiring Caltrans to develop a program and funding strategies helped focus stakeholder's efforts in a bottom-up process (Cambridge Systematics 2003). Ongoing communication between Caltrans, MPOs, and the various stakeholders (e.g., economic development organizations, the Alameda Corridor program's active consultants, port representatives, and academics) has helped collect information related to freight issues that has helped facilitate the freight planning process by creating a Global Gateways Ad-Hoc Advisory group (Cambridge Systematics 2003). The Southern California Association of Governments (SCAG), the Los Angeles MPO, the San Pedro Bay Ports, the Alameda Corridor (coordination between ports, class 1 rail carriers, the Los Angeles County Metropolitan Transportation Authority, local cities, and SCAG), San Diego stakeholders, and the eight county Central Valley regional transportation planning agencies, and San Francisco Bay Area regional MPO (particularly the Port of Oakland) have been identified as key stakeholders engaged in collecting data pertaining to regional freight issues and planning that has aided Caltrans efforts (Cambridge Systematics 2003, 25). Particularly efforts in coordination among international airports, international ports of entry, seaports, major intermodal transfer facilities and goods distribution centers, and trade corridors have been identified as criteria for successful planning (Cambridge Systematics 2003). Cambridge Systematics (2003) does not comment specifically on multimodal or intermodal planning efforts other than speaking broadly about coordination among modes for freight planning, which may refer to strong efforts in intermodal planning but does not address the extent of efforts in multimodal planning.

The state of California demonstrates best practices by coordination of freight and intermodal facilities through the many departments, partnerships, statutes, and regional freight plans established within the state. The state recognizes the need to plan freight at a state level. California has identified their IRRS in statute in 1989. The IRRS serves interregional people and goods movement similar to the FDOT's SIS System. The state has also identified "Intermodal Corridors of Economic Significance" or ICES facilities, which are an interconnected network of freight distribution corridors (CDOT 1998). One of the strategies in the state's Interregional Transportation Strategic Plan is to "[c]oordinate operational plans,

improvements and strategies with regional agencies, the goods movement industry, and other modal and intermodal owners and operators (e.g., airports, seaports, freight rail, and intermodal transfer and distribution centers)" (Caltrans 1998).

In addition to the identification of critical facilities and the interregional transportation strategic plan, the state has adopted a goods moment plan in order to meet the 1998 Plan goals for the state highways. The goods movement plan includes a comprehensive inventory of existing and proposed goods movement infrastructure projects. The listing includes previously identified projects and needs in various Regional Transportation Plans (RTPs) and Regional Transportation Improvement Programs (RTIPs) prepared by MPOs, RTPAs, and CTCs. In addition, the listings include a wide range of outlined projects underway or under consideration by the ports, railroads, and other third parties (Caltrans 2007, I-1).

The organization structure for the California goods movement plan was created in such a way to address environmental mitigation, safety, security, community impact mitigation, economic development, funding and infrastructure concerns in one plan. This unique collaboration is what helps to make this plan effective. Figure 12 shows the work group structure of the phase II portion of the goods movement plan. The Cabinet of Work Group for the goods movement plan worked with stakeholders from industry, environmental groups, community groups, technical experts and others (Caltrans 2007). "An ad hoc work group was also established to inventory advanced technologies that may have future deployment potential" (Caltrans 2007, II-5).

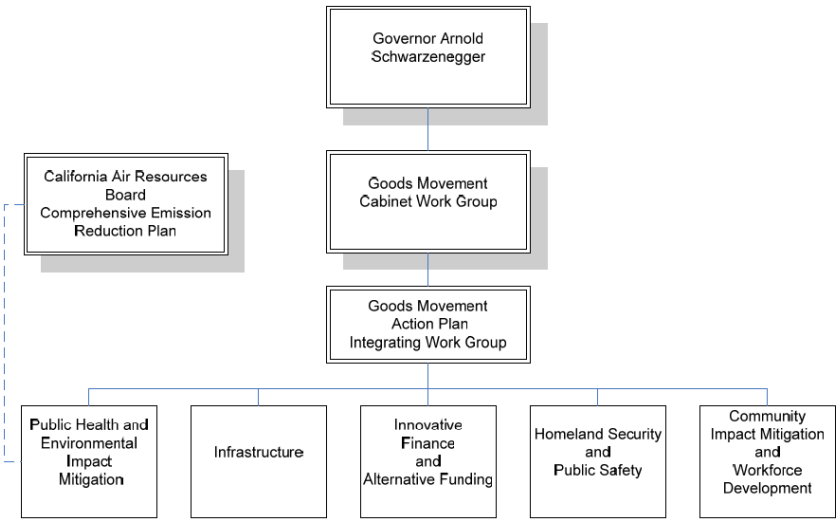


Figure 12 - California Goods Movement Action Plan Phase II Work Group Structure

Source: Caltrans 2007, II-5

Colorado

Colorado presents a good example of best practices in freight planning initiatives. The Colorado LRTP discusses the status of the freight transportation modes; the anticipated needs for each mode based on the identified concerns; and the steps that would be needed to address the anticipated needs. Major shippers in each freight line are identified in the plan, along with major commodities shipped. The plan also distinguishes these concerns in terms of their importance to each of three geographic regions of the state. CDOT is currently in the early stages of developing a Statewide Bicycle and Pedestrian Plan, a Statewide Transit Plan, and a State Freight and Passenger Rail Plan. The next update will integrate these plans into a comprehensive, multimodal Statewide Transportation Plan (CDOT 2008, 8). The Colorado Freight Planning Initiatives (CDOT 2008, 20) involves several components: a series of Freight Advisory Council meetings; planning for improvements in the high priority freight corridors; rail relocation; planning for additional intermodal facilities accommodating the movement between air, rail and truck services; and conducting research on how to better collect and maintain freight data bases and on how to incorporate these data into

the planning process (CDOT 2008, 20). While the central focus of the Colorado Rail Relocation Implementation Study is to identify an alignment and construction costs of developing a freight rail bypass on the Eastern Plains - primarily to address a more efficient movement of coal traffic along the Front Range - there would also be an ancillary transit benefit in freeing up rail capacity on the Front Range that could be used for passenger rail service (CDOT 2008)

Colorado's freight planning efforts have been coordinated with the regional planning organizations. For example, the draft Freight Infrastructure Study results were provided to the Transportation Planning Regions in time to be incorporated into their regional plans. The statewide plan incorporates the findings from the all plans including the regional transportation plans. The Plan Amendment (2011) continues its regional coordination process by including an overview of key changes by MPO 2035 RTPs (CDOT 2011, 1) The CDOT Rail Governance Study – CDOT is analyzing governance structure options that could be used to implement future statewide, regional transit or passenger rail services that would span multiple jurisdictions (CDOT 2008, 26). The state has identified a statewide system of state significant rail corridors for both freight and passenger service (CDOT 2008, 26). For the Freight Infrastructure Study, the state conducts interviews with stakeholders such as shippers, carriers, haulers, quasi-governmental agencies and other freight representatives. Based on these stakeholder interviews, the state identifies an initial list of potential projects. Similar stakeholder information was collected for the Western Transportation Trade Study and the Rail Needs Study.

Florida

Several components of Florida's freight planning activities have been identified as best practices in freight planning by a variety of sources. Cambridge Systematics (2003) cites the data and analytical tools used by the Florida Intermodal Statewide Highway Freight Model and the private sector participation by the Florida Freight Stakeholders Task Force. Goetz (2006) identifies the cooperation between the FDOT and MPOs as an example of best practices. Florida is one of only two states that have established multimodal freight funding programs to help build projects and implement (Kale 2003, 73). FDOT has recently created a freight office to coordinate activities across other modal offices. Below in Figure 13 is a map of freight routes and stations in Florida.

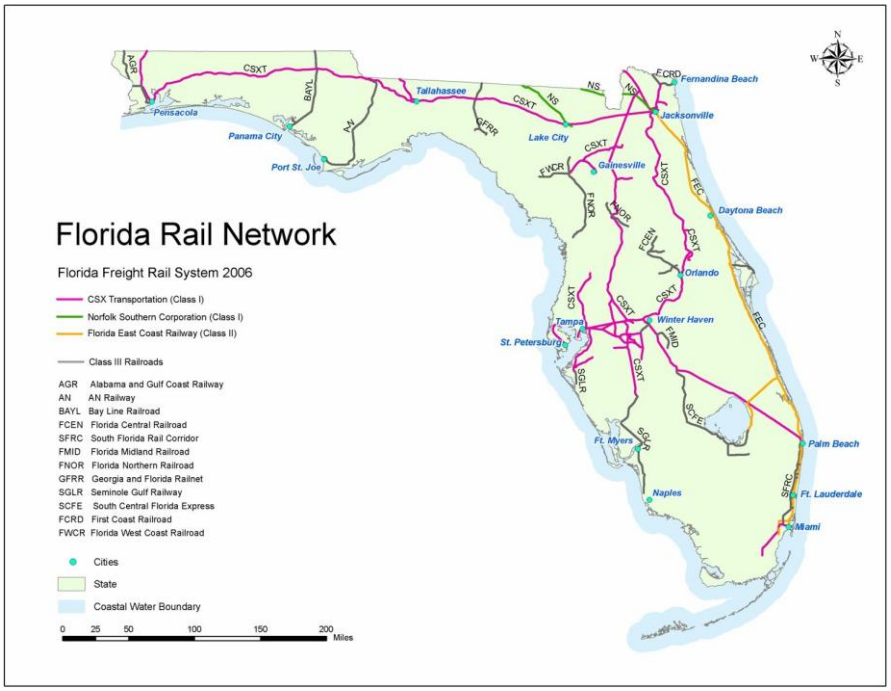


Figure 13 – Florida Rail Network 2006

Source: Florida Geographic Data Library, and Strategic Intermodal System Database

Illinois

The State of Illinois and the City of Chicago present a great example of best practices in rail freight. This is not surprising given the location of Chicago as a hub of rail traffic in the center of the United States.

> The Rail Freight Program is an IDOT-sponsored program to provide capital assistance to communities, railroads, and shippers to preserve and improve rail freight service in Illinois. The Rail Freight Program's primary goal is to facilitate investments in rail service and infrastructure by serving as a link between interested parties and channeling government funds to projects that achieve statewide economic development," (IDOT 2007, 8)

The freight rail program includes transportation partnerships provides an example that provides services such as combining modes, warehousing, transfer terminals, computer and telecom systems as a means to expand services to other countries and constituents. An example of this is a freight logistics company that owns and operates rail freight, trucking, air freight operations combined. "Future service and investment will focus more on integrating the individual modes into one multimodal network combining. .... [T]he key to implementing intermodal transportation is strategic location of transfer facilities...(IDOT 2005, 14).

Chicago Region Environmental and Transportation Efficiency Program (CREATE) is a public private partnership between the state of Illinois and the city of Chicago and the passenger and major freight railroads serving the Chicago region. The CREATE program "recognized that rail capacity improvements within the Chicago metropolitan area are necessary for local and national economic growth and environmental improvements" (IDOT 2007, 8). The CREATE program recognizes the importance of state coordination with regional partners. The Chicago Metropolis Study suggests that "[t]he Chicago metropolitan area needs government organizations with the authority and capacity to prepare and coordinate freight plans and make effective freight transportation decisions. Currently, there is a hodge-podge of separate agencies addressing parts of the problem." Further, the leadership in the Chicago region suggests, "[a]t the State level, a single point of responsibility is needed for developing and implementing statewide freight plans and policies. Responsibility is currently divided among several agencies" (Chicago Metropolis 2003, 17). The Chicago Metropolis 2020 recommends that following:

- "Create a Regional Policy Board (RPB) – a single, accountable transportation and development planning agency that is responsive to the needs of communities across the region. Legislation creating the RPB would merge the Chicago Area Transportation Study (CATS) and the Northeastern Illinois Planning Commission (NIPC) to connect transportation and land-use plans and investments (Figure 14). The RPB would prepare and coordinate implementation of a comprehensive regional freight plan that integrates rail, road and other types of transportation with economic development and sound land use plans and policies. It would develop a comprehensive financial plan to assure adequate, stable and equitable funding for freight and other surface transportation infrastructure. It should be given powers similar to those of California's Alameda Corridor Transportation Authority to issue bonds, charge fees to pay for improvements, and coordinate public and private actions to plan and build needed freight facilities (Chicago Metropolis 2003, 18).
- "Create County Planning Organizations (CPOs), governed by equal partnerships of county and municipal officials, to coordinate transportation and development plans and policies within each suburban county. Legislation would authorize CPO's to develop, fund and coordinate implementation of countywide freight plans and designate an efficient system of truck routes. CPO's should be given authority to influence transportation spending by state and regional transportation agencies within the county. Coordination between counties and municipalities can assure facilities are in place to support convenient, efficient and safe movement of people and goods" (Chicago Metropolis 2003, 19).
- Designate IDOT as the State agency responsible for coordinating statewide freight policies and programs. Merge the rail functions of the Illinois Commerce Commission into IDOT. IDOT should also serve as a central clearinghouse of information regarding local and state truck routes and regulations" (Chicago Metropolis 2003, 19).

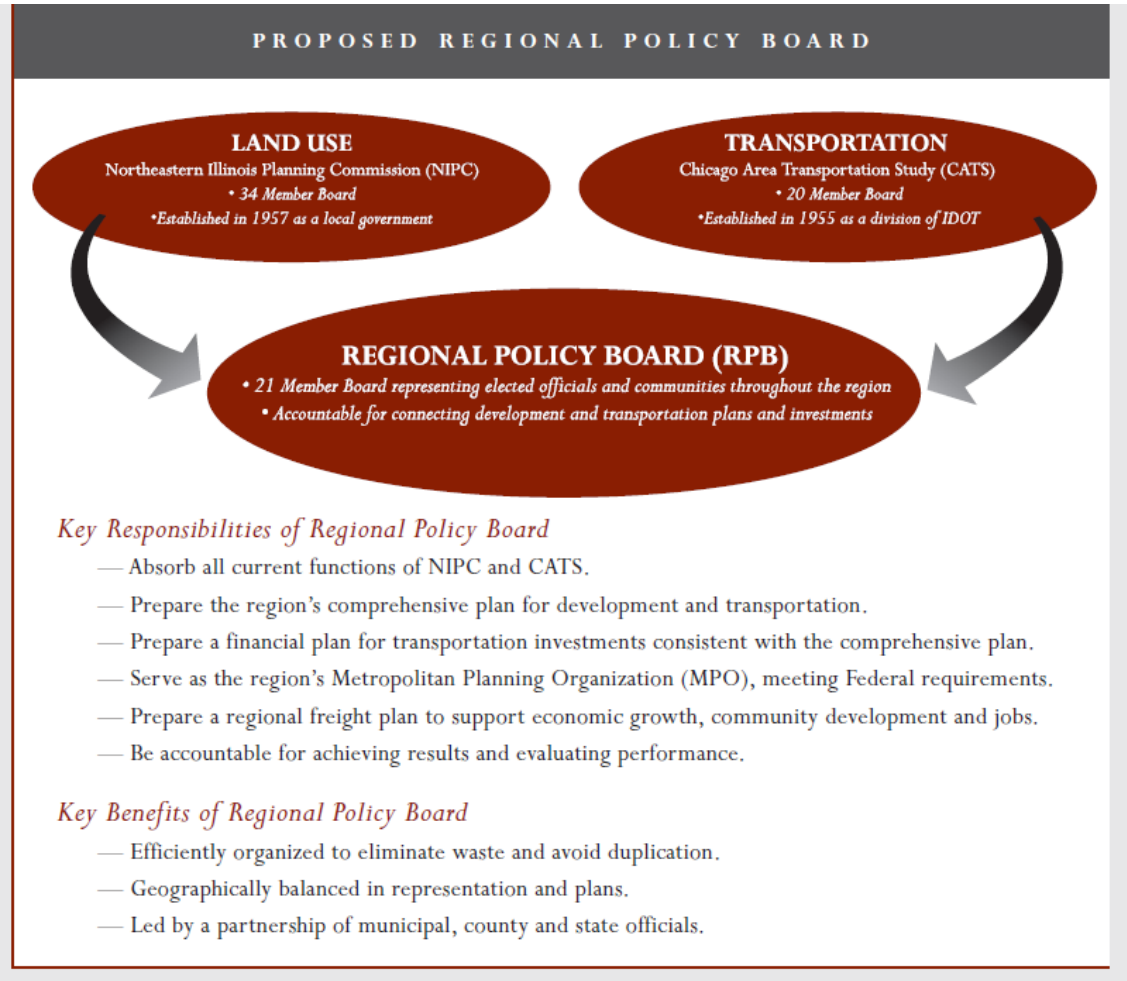


Figure 14 - Chicago Regional Policy Board

Source: Chicago Metropolis 2003, 18

Maryland

The Maryland Department of Transportation (MDOT) is involved with the I-95 Corridor Coalition to evaluate truck and rail capacity chokepoints and to identify solutions for efficiently moving freight in this key Corridor. The State is working with railroads, Federal, and State partners to eliminate rail chokepoints in Maryland, such as the Howard Street Rail Tunnel, a critical rail link for shippers in Maryland and across the Eastern U.S. MDOT is developing a comprehensive Statewide Freight Plan. The Freight Plan will identify candidate "Freight Projects of Regional and National Significance" to compete for Federal funding (MDOT 2009, 8).

The Maryland Port Administration (MPA) encouraged the City of Baltimore to develop the Maritime Industrial Zoning Overlay District to reduce conflicts between maritime shipping and mixed-use development by prohibiting mixed-use and planned unit developments near deep-water industrial areas. (MDOT 2009, 25) MDOT and MPA work with the Federal Railroad Administration and Class I railroads CSX and Norfolk Southern to improve freight rail access to the Port of Baltimore and to address major freight rail chokepoints, such as the Howard Street Tunnel (MDOT 2009, 30). The MPA is developing automated shipping information and operating systems to facilitate shipping through the Port of Baltimore (MDOT 2009, 16). MDOT also works with private freight rail carriers and trucking companies on freight planning in the State to help ensure the efficient movement of goods (MDOT 2009, 17).

New Jersey

New Jersey has been identified as a state with the best practice for the direct integration of freight planning into long-range planning process within Statewide Transportation plans (Cambridge Systematics 2003). Utilization of public data sources such as the Bureau of Transportation Statistics Commodity Flow Survey, U.S. Army Corps of Engineers Waterborne Commerce Statistics, Association of American Railroads State Rail Profiles, and NJDOTs resources (e.g., major truck routes and travel restrictions, air cargo data) combined with private sector outreach through the development of private/public focus groups pertaining to freight industry, especially initiatives in northern and central New Jersey, helped facilitate the development of the freight plan(Cambridge Systematics 2003). Private sector outreach on freight initiatives in northern and central New Jersey and the institutionalization of freight planning within the state DOT with the establishment of the Bureau of Freight Planning and Intermodal Coordination has been identified as successful components in the planning process (Cambridge Systematics 2003). The Bureau of Freight Planning and Intermodal Coordination was established to ensure consideration of freight planning and private sector participation in an ongoing planning process (Cambridge Systematics 2003).

New Jersey has been identified as a state with the best practice for the direct integration of freight planning into long-range planning process within Statewide Transportation plans and private sector participation (Cambridge Systematics 2003). Private sector outreach on freight initiatives in northern and central New Jersey and the institutionalization of freight planning within the state DOT with the establishment of the Bureau of Freight Planning and Intermodal Coordination has been identified as successful components in the planning process (Cambridge Systematics 2003).

NJDOT, in partnership with the private sector, is starting to take advantage of the less congested periods for freight (NJDOT 2008, 14). The New Jersey DOT has continued investment in "facilities to move more freight by rail and policies that support moving freight during non-rush hours" (NJDOT 2008, 14). NJDOT also supports advancing certain rail initiatives, deepening key waterways, and creating a Logistics Economic Development Program to attract and retain warehouses and distribution centers On a system wide level, NJDOT is calling for the establishment of a senior-level logistics body, extensive outreach and education about the role of freight (NJDOT 2008, 14). NJDOT has supported a variety of other freight initiatives that improve the efficiency and effectiveness of their private sector partners:

- Promote the adoption of extended hours of operation or appoint systems throughout the logistics supply chain and at New Jersey's ports
- Maintain and enhance waterway corridors
- Coordinate selected channel deepening projects
- Support maintenance dredging
- Improve primary freight corridors and hubs
- Advance Portway Extension recommendations to improve New Jersey's port access in the north
- Conduct highway corridor assessments on priority freight corridors
- Advance the vision, mission and goals of the Liberty Corridor
- Advance priority rail projects, including the Class I Rail Improvement projects defined by the North Jersey Development Plan and the Mid Atlantic Rail Operations Program
- Explore freight movements in southern New Jersey and develop initiatives to enhance port access;
- Advance integration and adoption of ITS for freight and other technologies
- Support Commercial Vehicle Information System Network (CVISN)
- Implement education, outreach and programs for local technical assistance related to freight movement
- Explore ways to better integrate freight into local planning
- Work with county and local officials on the review, monitoring, and enforcement of large truck regulations
- Advance large truck monitoring program to gauge the effectiveness of new large truck regulations on a state and corridor level (NJDOT 2008, 37)

Texas

Texas has been identified as a state with the best practice for the direct integration of freight planning into long-range planning process within Statewide Transportation plans (Cambridge Systematics 2003). The critical success factors in freight planning are the coordination efforts with seaports and corridors using detailed commodity flow data to identify shipment characteristics of port traffic and forecasts, private sector outreach with seaports aid in the identification of choke points and issues associated with modal connectivity (Cambridge Systematics 2003). Detailed commodity flow data and forecasts enabled Texas to "assess the way in which freight vehicles are using the State's transportation system, define corridors and identify freight chokepoints, and develop long-range strategies to address these issues" (Cambridge Systematics 2003).

Washington

Washington has been identified as a best practice for development of statewide freight plans (Cambridge Systematics 2003), best practice in multimodal/intermodal planning methods (as cited in Goetz et. al., 2006), and is one of only two states that has established multimodal freight funding programs to help build projects and implement next steps, action plans, strategies, or recommendations (Florida is the other) (Kale 2003, 73). A decentralized, consensus-based approach that encourages cooperation among the different offices and divisions within WSDOT that address freight needs through various programs and plans that represent the different components of freight planning (Cambridge Systematics 2003).

> In Washington State, the Freight Mobility Strategic Investment Board reviews, prioritizes, and recommends freight mobility projects of strategic importance. This includes creating a comprehensive and coordinated program to facilitate freight movement between and among local, national, and international markets and finding solutions that lessen the impact of freight movements on local communities (Kale 2003, 74).

WSDOT Office of Freight Policy and Strategy identify the following offices and divisions as critical to addressing freight needs presented in their respective plans and programs: planning and capital program management division, engineering and regional operations division, public transportation and rail office, urban corridors office, aviation division, transportation economic partnership division, Washington State ferries, and the transportation research office. The plan, which was produced because the Transportation Commission mandated its development and to satisfy the state governments interest in freight, ensures stakeholders support and input into the freight planning process by dealing with specific projects and programs. WSDOT Office of Freight Policy and Strategy ensures coordination and cooperation among operating division and the review of the programs and plans pertaining to planning and capital program management, engineering and regional operations, public transportation and rail, urban corridors, airports, transportation economic partnerships, ferries, and transportation research into a comprehensive freight planning process (Cambridge Systematics 2003).

> One of the most innovative efforts is Washington's freight implementation plan, which identifies who within WSDOT is working on freight-related issues, what they are doing and when they are going to do it, and how it fits with existing plans and budgets," (Kale 2003, 74).

Balloffet and Associates (1995) reports that in a review panel including state DOT representatives, FHWA staff, and FTA staff Washington was identified as best practice is comprehensive freight planning (as cited in Goetz et al., 2006, 9). Through a process of interviews and review of data within "an extensive bibliographic database" TransManagement, Inc. (1998) identified WSDOT as an innovative approach for organizing to promote multimodal decision-making with innovative methods in multimodal planning and programing for the efforts involved with the Eastern Washington Intermodal Transportation Study (as cited in Goetz et al., 2006, 13). Cambridge Systematic (2003) names Washington as an example of an effective statewide freight planning due to the reason aforementioned: stakeholder participation, inter-

agency coordination, and freight development and programming (Cambridge Systematics 2003, 69). Tables 8 through 13 describe the structure of various state offices and programs for freight planning, for California, New Jersey, New York, Maine, Pennsylvania, and Washington.

State	*Freight Office or Program*	*Roles and Responsibilities*	*Staff*
California	• Office of Goods Movement • Division of Transportation Planning • Planning and Modal Programs California Department of Transportation	• Develop strategies, policies and methodologies to improve the freight transportation system in California • Conduct analysis of freight transportation system performance and future trends • Recommend improvements through system planning, regional planning, intergovernmental review, and other activities	6: office chief and staff specialists for: • Freight rail • Trucking • Seaports • Air cargo • Corridors and • borders • GIS and ITS • Caltrans district • Liaisons

Table 8 - Freight Transportation Offices or Programs in California

Source: Kale 2003, 75

State	*Freight Office or Program*	*Roles and Responsibilities*	*Staff*
New Jersey	• Bureau of Freight Services • Division of Transportation Services • New Jersey Department of Transportation • Bureau of Intermodal Planning and Coordination – Portway Unit and Intermodal Coordination Unit • Division of Systems Planning and Research	• Develop and maintain data support for decision-making. • Provide for public safety through programs ensuring the safe and efficient movement of goods. • Administer regulatory and enforcement programs which enhance public safety. • Assure maximum funding eligibility for safety programs. • Provide DOT Management with a voice in executive decision making on all motor carrier issues. • Develop comprehensive statewide freight plan • Provide administrative and staff support to implement a series of projects that will strengthen access to and among the Newark-Elizabeth air and seaport complex, intermodal rail facilities, trucking and warehouse facilities, and the region's highway system.	12: Manager, supervisor, secretary, 2 administrative analyst, 2 environmental compliance investigators, 2 planners, 1 engineer, 1 research analyst, 1 transportation analyst 6: managers and staff specializing in intermodal coordination, freight services, mobile strategies, policy advice, project management, and project scoping.

Table 9 - Freight Transportation Offices or Programs in New Jersey

Source: Kale 2003, 75

State	*Freight Office or Program*	*Roles and Responsibilities*	*Staff*
New York	• Freight and Economic Development Division • Office of Freight and Passenger Transportation • New York State Department of Transportation	Has responsibility for: • Broad range of policy development, planning, and program management for the movement of freight by rail, water, and/or truck. • Development of transportation-related economic development projects. • The expansion and improvement of intercity rail passenger service, including the development of high-speed passenger rail.	16: 4 managers, 3 intermodal specialists, 3 rail specialists, 3 economic development specialists, 1 railroad corridor manager, 1 GIS coordinator, 1 Web content coordinator.

Table 10 - Freight Transportation Offices or Programs in New York

Source: Kale 2003, 75

State	*Freight Office or Program*	*Roles and Responsibilities*	*Staff*
Maine	• Office of Freight Transportation • Deputy Commissioner of Policy and Administration • Maine Department of Transportation	Has responsibility for: • Formulate policy, programs, and projects that use Maine's freight transportation network.	7: director, secretary, and 1 staff specialist for each of the following: • Freight rail • Ports and marine • Commercial vehicle operations • Air freight and finance • Borders, Canadian relations, and small harbors.

Table 11 - Freight Transportation Offices or Programs in Maine

Source: Kale 2003, 75

State	*Freight Office or Program*	*Roles and Responsibilities*	*Staff*
Pennsylvania	• Bureau of Rail Freight, Ports, and Waterways • Deputy Secretary for Aviation, Rail, Freight, and Ports • Pennsylvania Department of Transportation	• Preserve and improve rail freight infrastructure and service • Promote economic development through the rail freight properties directory and the grant programs • Provide financial and technical assistance to railroads and businesses • Facilitate the integration of rail freight movement with other modes of transportation. • Facilitate the resolution of issues between the railroads and the public.	10: director, civil engineer manager, 2 railroad civil engineers, railroad construction specialist, transportation planning manager, 2 freight analysts, administrative officer, administrative assistant

Table 12 - Freight Transportation Offices or Programs in Pennsylvania

Source: Kale 2003, 75

State	*Freight Office or Program*	*Roles and Responsibilities*	*Staff*
Washington	• Office of Freight Strategy and Policy • Chief of Staff • Washington State Department of Transportation	• Provide leadership for freight issues and serve as a principal point of contact for those issues • Participate in planning and budgeting efforts to make sure that freight capacity needs are addressed	3: Program manager, freight strategies specialist, and secretary
	• Freight Mobility Strategic Investment Board (Governor appointed board)	• Optimize freight mobility by reducing barriers on Washington's strategic freight corridors • Take leadership role informing the public regarding freight mobility transportation needs and issues • Cooperate and coordinate with the public and private transportation partners to work together cost effectively	2: Executive director and secretary
	• Freight Action Strategy (FAST) Program • WSDOT Planning and Policy Office and Puget Sound Regional Council	• Understand and resolve freight mobility needs within and through the central Puget Sound area	1: Program manager (WSDOT)

Table 13 - Freight Transportation Offices or Programs in Washington

Source: Kale 2003, 77

Coordination with Transit Planning

Key findings in the role of transit agencies in the regional transportation planning process include:

- Regional planning and transit agency executives are eager to improve regional transportation planning and recognize that, in most areas of the United States, improvements are needed.
- The governance and institutional characteristics of regional planning and transit agencies vary considerably from region to region.
- Regional planning and transit agencies that have had the greatest success in developing and implementing effective regional transit programs have clear missions, effective leaders, and strong technical capacity (Bay 2009, 2).

One of the challenges for regional transit planning is that "land use planning and zoning have traditionally been conducted by local governments and in most states local government rights are strongly held. Coordination of land use and transportation planning is important in all transportation planning, but particularly important to transit planning, because transit ridership is affected by land use density, street networks, relationships of buildings to streets, amount and location of parking, pedestrian accessibility to transit stops and other factors" (Bay 2009, 2).

The most successful regional transportation planning agencies (i.e., MPOs) have a broad and compelling statement of purpose, going far beyond meeting stated federal planning requirements. Recent conferences and workshops on the role of MPOs stress the need for MPOs to articulate a strategic regional vision and state that MPOs that narrowly define their role are less effective in developing and implementing regional plans (Bay 2009, 8). Some MPOs have expanded their role through leadership initiatives from executives or

policy boards. Some MPOs have been challenged to take a larger role by visionary political or business leaders who then supported them, as the MPO rose to challenges and assumed broader responsibilities. Bay (2009) examined several innovative governance structures for regional planning and transit agencies, including the following:

Combined MPO and Transit Agency

- Twin Cities – The Metropolitan Council, which is the regional planning agency, shares responsibility with another policy board for the MPO function and also owns and acts as the policy board for Metro Transit, the major transit operator in the region.
- San Diego – San Diego Association of Governments (SANDAG) is the regional planning agency, MPO, and coordinator of state transit funding and by statute, must perform all transit project development, including design and construction. However, SANDAG does not oversee transit operations, which is left to other agencies.
- Las Vegas and Reno – A Regional Transportation Commission (RTC) is the statutory MPO and the transit agency board in each city. The Las Vegas RTC also oversees roadway operations and the airport, providing true multimodal coordination.
- Charlotte – The City owns and operates the regional transit agency and also staffs the MPO (which has a policy board separate from City Council).
- Indianapolis – The City-County Council of Marion County also acts as the MPO. The Council also appoints the board of the publicly-owned corporation that acts as the transit operator.

Statutory Regional Planning Agency/MPO

- Twin Cities – The Met Council is a quasi-state agency, with a board appointed by the governor and serving at the governor's pleasure and is responsible for transportation and land use planning, plus parks and solid waste management as well as transit operations.
- Portland, Oregon – Metro (which is a regional government agency with a directly elected board), operates the zoo and certain regional entertainment and convention facilities; manages solid waste and some regional parks; has significant land use and growth management controls; and performs regional transportation, land use and environmental planning.
- San Francisco – Metropolitan Transportation Commission is a statutory MPO, with significant funding powers and authority, allowing purse string control of transportation planning. However, there are three other regional planning agencies responsible for comprehensive and land use planning, air quality planning, and bay conservation and development planning. A joint policy committee works to coordinate planning across all four agencies.
- San Diego – SANDAG, which has statutory authority as the MPO, serves as the comprehensive planning agency and the implementing agency for transit capital programs.

Regional Transportation Agency Separate from MPO, COG or Transit Operators

- Chicago – Regional Transportation Authority (RTA) is the statutory regional planning and coordinating agency for transit that oversees the budgets of Chicago Transit Authority (CTA), Metra Rail, and Pace bus service, but is a separate agency from the MPO (which was recently combined with the regional planning agency to form CMAP, a joint transportation/land use planning agency).
- Atlanta – The state legislature created the Georgia Regional Transportation Authority (GRTA) with transportation planning responsibilities separate from Atlanta Regional Commission and from Metropolitan Atlanta Rapid Transit Authority (MARTA).
- Indianapolis – The state legislature recently created the Central Indiana Regional Transportation Authority (CIRTA) to act as the planning and development agency for a nine-county region, including Indianapolis. CIRTA works closely with the MPO, which is the City-County Council of Indianapolis-Marion County. (Bay 2009, 7)

These three governance structures need to be considered within the broader context of the five types of transit partnerships that were identified earlier in this report: state transit agency, the general purpose transit authority or district, the special purpose regional transit authority or district, the municipal transit agency, and the joint exercise of powers or joint powers authority. "The oldest and perhaps the most effective of these organizations include the RTA in Chicago, MTC in San Francisco, the Met Council in the Twin Cities, and Metro in Portland, Oregon. However, each one of the regions, perhaps with the exception of those in Portland and Las Vegas, is currently facing challenges in regional transit planning," (Goetz et. al. 2006, 8).

New Jersey

The New Jersey DOT provides an example of best practices in state coordination with transit agencies because of its strong partnership with NJTransit in determining the state needs for mobility. Because of this, transit was discussed a lot as a priority to make it competitive with the automobile. LRTP and past studies by the NJDOT were used as an opportunity for local governments and the public to understand the issues and multimodal solutions as a part of Smart Growth initiatives. This effort developed an approach to improve director – level coordination of the various transportation agencies in New Jersey through annual or bi-annual Transportation Coordinating Committee meetings. It also includes the identification of a Corridor Management approach to efficiently manage the multimodal transportation facilities within a given geographical area or corridor. Both approaches grew out of an investigation into the possible benefits of a strategic transportation system for New Jersey (NJDOT 2008, 4-5).

NJ TRANSIT and NJDOT will work together to improve bus service through 2030 and beyond using the following strategies:

- Implement a Bus Rapid Transit (BRT) system in the US Route 1 corridor.
- Work with state and local traffic engineers to enable buses to compete with autos by traveling at posted speed limits at all times. Provide preferential treatments for buses on state and local roads to permit them to bypass congestion. Begin work early on short pieces of roads in urban areas where buses now get stuck in local traffic. Work with counties and municipalities to seek other opportunities to provide improved bus services, including possible implementation of BRT systems.
- Create additional multimodal park-and-ride lots, and expand capacity at existing lots. Improve pedestrian and bicycle access to stations.
- Work closely with the state's Transportation Management Associations to complement NJ TRANSIT's bus and rail services with locally supported and managed services (NJDOT, 2008, 9).
- NJDOT and NJ TRANSIT work closely with the eight Transportation Management Associations (TMAs) in the state to reduce travel demand on the roadways," (NJDOT 2008, 21).

Many of the actions set forth require partnerships with the state's municipalities, elected officials, citizens and the private sector to be successful (NJDOT 2008, 30).

Summary

If state DOTs are to become true departments of transportation, then they will also have to cooperate and coordinate with a variety of stakeholders, especially MPOs for both intermodal freight and passenger travel. In this regard there were mixed responses across the states. In Colorado and Mississippi, there were a number of comments about the lack of coordination and cooperation between the state DOT and the MPOs/rural planning groups. In Arizona and Florida, by contrast, were cited for the strengths of their cooperation among these groups. Arizona received very high marks in these categories, mostly as a result of their Casa Grande accords of 1999 which created an effective framework for cooperation" (Goetz et. al. 2006, 33).

Respondents to Goetz's survey consisted of two thirds of the state transportation departments. The lack of sufficient and inexpensive data was the most commonly identified gap. This included data to help demonstrate freight's importance to economic well-being, general freight as well as specific commodity flow data, travel demand modeling data, and performance indicator data. Respondents also identified the need for research on better ways to

- Generate consistent private-sector participation in public-sector freight planning,
- Incorporate an intermodal perspective,
- Educate the public on the importance of freight, and
- Understand the role of freight transportation in the process for making business location decisions.

Survey respondents believed that filling these gaps would help them better justify the need for freight improvements, work with and gain more participation from the private sector, and make better choices when spending limited financial resources," (Kale 2003, 77).

The most positive responses occurred for states in which the policy and planning staff worked closely with programming staff. Even in states where the linkages were strongest, the general perception was that they could be better. Ways to improve these linkages included devoting more staff resources to coordinating freight policy, planning, and programming; identifying funding to provide more staff resources; and generating more awareness of the value of establishing and maintaining the linkages. Several respondents noted the need to obtain feedback on system or program effectiveness through surveys of private- and public sector customers (Kale 2003, 77).

Best practices in coordinated transit planning are less well-defined in the literature than regional freight planning. At the regional level, transit agencies can be governed as a combined MPO and transit agency, as the statutory regional planning agency/MPO or as a regional transportation agency separate from MPO, COG or transit operators. The governance structure of regional transit needs to be considered within the context of the types of regional partnerships that exist for transit agencies: the general purpose transit authority or district, the special purpose regional transit authority or district, and the joint exercise of powers or joint powers authority. NJDOT and NJTRANSIT present an example of a state partnership that facilitates transit partnerships and coordination between transit and land use.

Coordination with Seaport and Spaceport Planning

As a state surrounded by water, Florida is one of the nation's leaders in seaport planning. FDOT assists in the development of Florida's deep-water seaports through statewide strategic planning and a Seaport Office (FDOT 2011). FDOT is responsible for statewide seaport system planning, project management, coordinating seaport projects with Strategic Intermodal System (SIS) planning and implementation and coordinating with the Florida Seaport Transportation and Economic Development (FSTED) Council (FDOT 2011). Figure 15, on the next page, illustrates Florida's Seaport System.

Florida also home to the headquarters of the nation's space and aerospace industries, with Kennedy Space Center in East Central Florida. In addition, FSA 331 created Space Florida, an Independent Special District, for the purposes of fostering the growth and development of a sustainable and world-leading space industry in Florida (Space Florida 2011). Space Florida works with the Florida Department of Economic Opportunity, Workforce Florida, Enterprise Florida, FEDC, and the Florida Chamber of Commerce. Figure 16 on the next page illustrates the spaceport system in the United States, with red representing federal spaceports, and blue representing commercial spaceports.

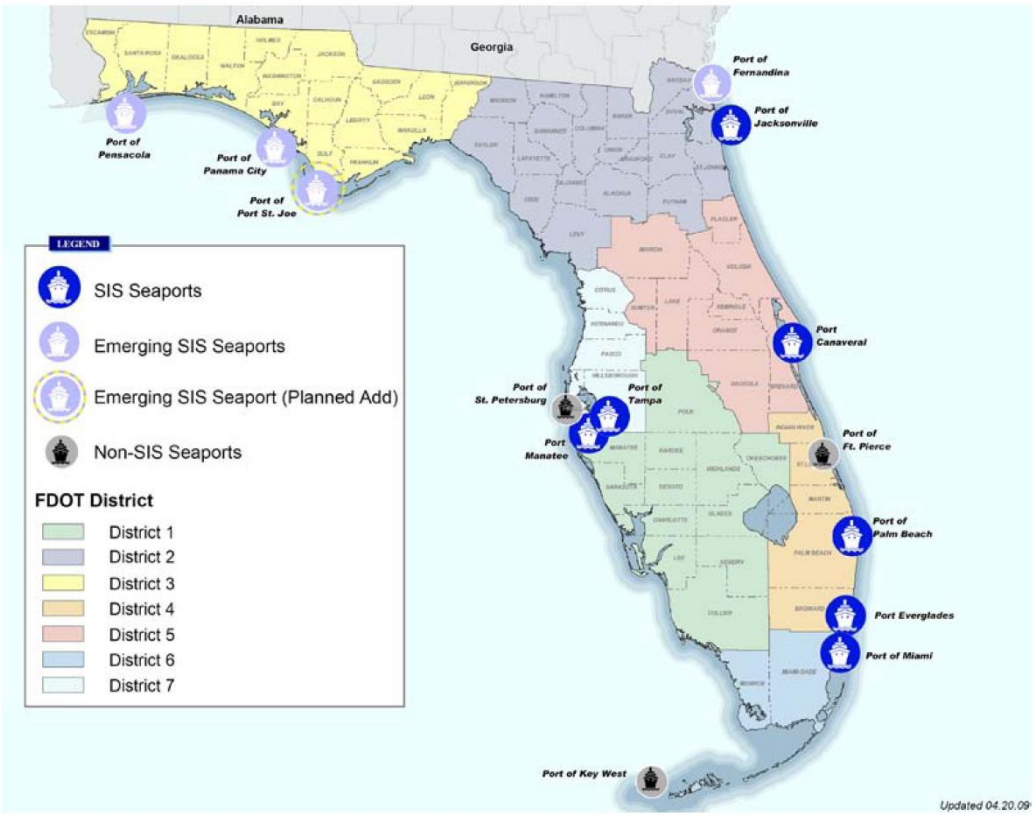


Figure 15 – Florida's Seaport System

Source: Strategic Intermodal System, p. 3-2 of Florida's Seaport System Plan

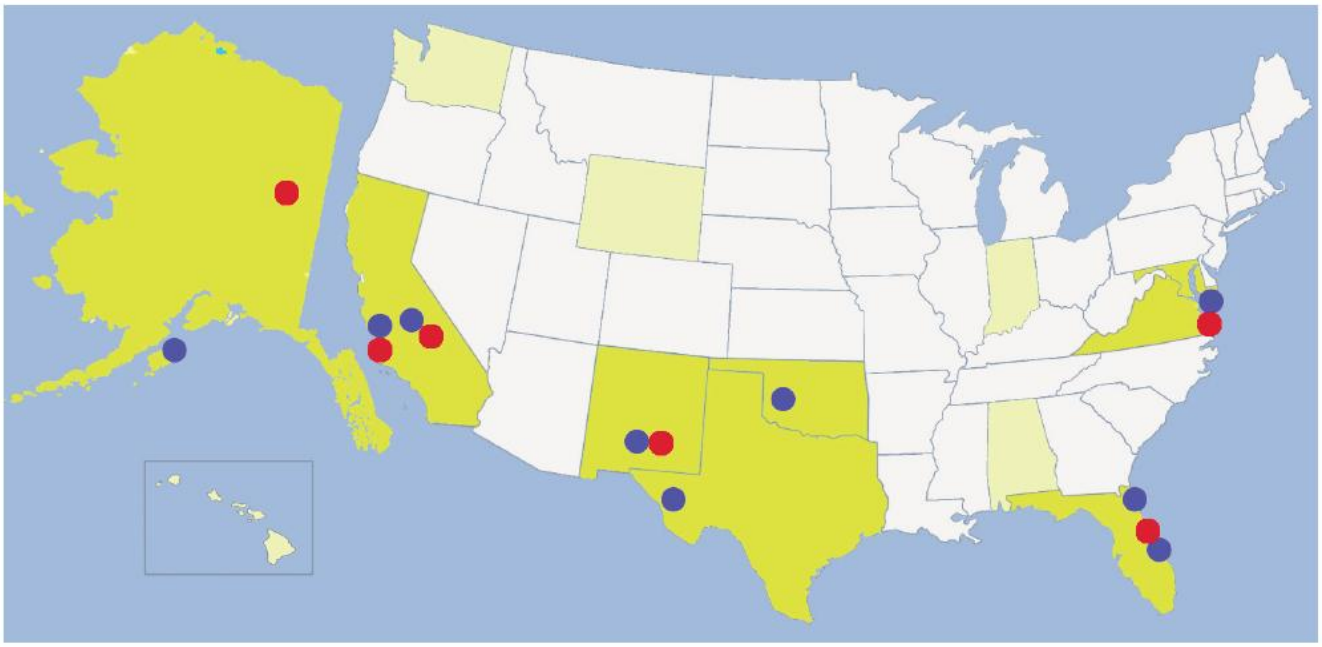


Figure 16 – Spaceports in the United States

Source: 2010 Federal Aviation Administration Data and FDOT Research BDL13 977-02

Chapter Five: Discussion

In this discussion, we review the justification and practice of regionalism, describe some highlights of the states' approaches to regional transportation planning, review Florida's approach, and provide recommendations for Florida to strengthen transportation planning at the regional level that is also integrated with planning for other sectors.

Justification and Practice of Regionalism

The growth of cities into larger metropolitan regions, the diversification of public services and interests, and the growing recognition of the needs of rural areas, necessitate coordinated, networked, and representational governance with flexibility for adapting to new challenges and information. Much of this needed coordination occurs at the regional level. Since local and state governments were not designed with regional governance in mind, and governmental bodies are inherently slow to evolve, increasing the approach requires a concerted effort. In order to create regional governance, actions and support at both the local and state levels are necessary. Fortunately, the benefits of regional governance, such more efficient and effective planning, accrue to both local and state governments. There are, however, significant barriers to regional planning that occur at the local and state levels. This research project identified many innovations that states have used to overcome the barriers to strengthen regional planning, and the first step is for local and state governments to trust that regionalism will provide multiple benefits that outweigh any risks to local voice, agency missions, or state oversight. Good institutional design, such as local representation and public participation in regional initiatives, and other approaches to regionalism and multilevel governance can balance considerations so the governance system is acceptable to all major interests. In general, mechanisms to enable regionalism are diverse, incorporating seemingly dichotomous elements of formality and informality, and top-down and bottom-up.

The role of the state in multilevel governance is to establish goals, and provide resources, incentives, and authority, for local jurisdictions and regional governance to act upon, with action details determined at the lowest possible level to ensure workability and compatibility with the local conditions. For goals and systems of highest state concern, state attention and oversight would be greatest, but the efforts remain balanced and integrated with local and regional needs and priorities. For such multilevel, performance-based governance, there is respect for governance functional diversity, change is embraced, collaboration is a critical process, and groups are resourceful in leveraging resources across organizational boundaries. The governance system is primarily organized around cooperation rather than competition, although there remains a healthy role for the latter. In moving toward such a governance system, an incremental, phased approach is best, and state proponents of regionalism can take advantage of opportunities for policy innovation, such pilot projects with receptive partners (champions) or in response to a compelling problem.

States' Support of Regional Transportation Planning

This research project examined state and locally-based initiatives for regional governance for a range of tasks: MPO designation, powers and duties; incentive programs; rural transportation planning; and coordination of specific sectors such as multimodal and intermodal freight and transit.

About half of the states define or designate MPOs in either the statutory language or administrative code, but none go to the depth of prescriptive information as Florida. On average, most states include a reference to Title 23 and a short description of an MPO and its functions. The lack of specificity might allow for flexibility in action at local and regional levels, however this flexibility could also enable some MPOs to take little action at all and negate regional coordination.

Incentive programs are typically not statewide, but are at the regional-wide or local level. Also, most incentive programs are designated for one or two specific purposes. These purposes can include: transit and development of multimodal transportation, smart growth, TOD, livability, community development, affordable housing, intermodal connectivity, and environmental sustainability. The only example of a statewide incentive program for regional transportation coordination remains Florida's TRIP. Two other states – North Carolina and Virginia – have statewide programs; North Carolina's focuses on rural regions while Virginia's program covers several areas of planning including transportation. California and Texas are also recommended for further research about regional incentive programs because they have transportation-related regional incentive programs.

Several themes emerge in the attempts to prioritize transportation projects – multimodal comparisons, devolution and system preservation. Some states' priorities are determined more independently by the state DOT, such as Illinois and New York. Some states put heavy emphasis on planning tools and performance measures, such as Georgia. Some states coordinate/partner and consult with stakeholders like MPOs, such as California, New Jersey, and Ohio. Some states review the plans of local governments, MPOs, and past studies to determine their priorities, such as Colorado. And some states use a combination of these approaches. Maryland's PFAs program is one such approach. This legislation directs state agency spending to PFAs, which includes: every municipality, as they existed in 1997, areas inside the Washington, DC Beltway and the Baltimore Beltway; areas designated as enterprise zones, neighborhood revitalization areas, heritage areas, and existing industrial land.

Rural transportation planning across many states increased in the 1990s as a result of federal legislation and guidance. Thirty states have designated RPOs to represent rural areas in statewide planning processes, such as in the creation of statewide transportation improvement plans, and these organizations are commonly housed within existing regional planning agencies. There are many other mechanisms that states have adopted to support rural transportation, particularly within initiatives for smart growth/growth management.

Intermodal and multimodal freight and transit planning has received increasing emphasis since the passage of ISTEA in 1991. Best practices in freight planning can be measured based upon the comprehensiveness of the plans prepared by the state DOT, good cooperation and coordination with a variety of stakeholders, including regional partners, performance improvements, long-range freight planning, organizational structure of State DOTs, data and analytical tools used to understand freight travel patterns, private sector participation (e.g., creation of freight advisory committees) and partnerships , and multi-jurisdictional coordination with other state agencies, other levels of government, and state DOTs (e.g., multi-jurisdictional coalitions). Washington and California are recognized for the comprehensiveness of their freight planning but many states have been actively engaged in freight planning. Regional transit planning is quite diverse in the governance structure – combined MPO and transit agency, statutory regional planning agency/MPO, and regional transit agency separate from MPO, COG or transit operators – and regional transit partnerships - the general purpose transit authority or district, the special purpose regional transit authority or district, and the joint exercise of powers or joint powers authority. The oldest and perhaps the most effective of these organizations include the RTA in Chicago, MTC in San Francisco, the Met Council in the Twin Cities, and Metro in Portland, Oregon. However, each one of the regions, perhaps with the exception Portland and Las Vegas, is currently facing challenges in regional transit planning.

Florida's Support of Regional Transportation Planning

Florida has made significant advances towards supporting regional, integrated transportation planning beyond the federal requirements. FDOT has districts that are active in establishing district plans and project priorities, and communicating with local jurisdictions (most commonly public utilities). There are also statewide initiatives that have regional orientations, such as the Strategic Intermodal System (SIS) and the program for coordinating rural transit. In terms of regional transportation planning organizations, state statutes specify MPO composition, powers and duties, created the Florida Metropolitan Planning

Organization Advisory Council, created regional transportation authorities (RTAs) for transit coordination, authorize and encourage inter-organizational coordination (across MPOs, between MPOs and RTAs, and between FDOT districts and regional entities), and formed the TRIP. Furthermore, the state has given rural counties MPO status. Our review of the states for all the tasks, showed that Florida statutes were the most extensive in specifying regional transportation planning institutions and processes, and the TRIP is unique in all the country. The legislation, however, does not ensure adequate funding or implementation, and the strongest voice in statewide transportation planning, remains with the state districts and central office. Hence, there are missed opportunities for local vetting and support of statewide projects, and interlocal coordination.

The relationship between DOT Districts and regional transportation planning entities in Florida is a complex one. The boundaries of DOT districts were historically determined and are outlined by counties. They are not organized around geographic regional boundaries. In regions such as Tampa and Orlando, some MPOs straddle two different districts and for that matter, some counties can be classified as being partially in the Orlando and partially in the Tampa region. Some of the confusion and complexity of regional coordination between these "contested" areas could be due to the lack of consistency in boundaries. The locations of district offices in their respective districts was designed to be in the geographic center of the district, and can often times be in seemingly random cities as opposed to more dense population and economic centers. Compared with the locations and organization of MPOs, which arise in direct relation to the population size and transportation needs of a region, the DOT districts are much more hindered and not in as close of a relationship with the current needs of a region as the MPOs.

Florida has established mechanisms for coordination across between transportation planning and planning for other sectors, such as land use. The state has growth management policies, state agency, and RPCs dating back decades, although these are currently in flux with lessening of the state role and more emphasis placed on economic development. Growth management policies have linked with transportation planning most strongly with the requirements for local comprehensive plans to have a multimodal transportation element and for new development to have "transportation concurrency" – the requirement that development maintain adequate transportation capacity at the adopted level of service standard. Under recent changes in the law, transportation concurrency is only required if locally desired. Additionally, FDOT has partnered with the RPCs to perform some planning-related studies, and RPCs have led regional visioning initiatives that incorporate transportation concerns. Transportation and land use planning, however, remain largely disconnected, and the diminishing state support for growth management suggests new challenges, but at the same time new opportunities for connection of the two sectors in the development of the multimodal transportation elements.

The reasons for Florida's historical emphasis on top-down government for transportation and growth management planning, and its penchant for legislative rules, reflects deep-seated political tensions between urban and rural areas, between long-time Florida residents and newcomers, and the rapid growth of the state. This political, social, and institutional context of Florida will be an important consideration in designing complementary or new approaches to regional and integrated transportation planning.

Recommendations for Florida

Our recommendations for strengthening regional transportation planning in Florida are based on the literature on regional best practices, examples from other states, and our understanding of Florida. The following recommendations are organized as (1) cross-cutting, i.e., they affect any effort to promote regionalism and integrated planning, (2) specific to integrated and participatory transportation planning, (3) specific to integration across planning sectors, and (4) future research to inform further development of the substantive recommendations. In particular, Florida should prioritize strategies and build upon existing strengths and capacities, such as the Transportation Regional Incentives Program (TRIP), and ensure continued support for current regional coordination.

General principles exist to guide regionalism, as gleaned from the literature review presented in this report. Successful regionalism depends on support at all governance levels, from local to state to federal. Regionalism is a framework that flexibly responds to different and dynamic needs, and hence regionalism takes many forms, varying in geographic and institutional scopes. To promote *regionalism and integrated planning throughout the state*, through vertical and horizontal planning, the FDOT should consider the following "cross-cutting" recommendations*:*

- Complement state statutory approach to mandating or encouraging regional coordination to other forms of support, incentives, and leadership. Give localities and regions the foundation, information, and tools for regionalism.
- Specifically, strengthen local capacity for coordination and negotiation via state leadership in support of regionalism (value statements), training, forums, incentives, and relax restrictions on local autonomy. Moreover, give state backing to regionally derived solutions whenever possible. Moreover, give state backing to regionally-derived solutions, whenever possible.
- Provide forums for diverse participants to engage in meaningful communication, idea generation, negotiation, and consensus building around regional issues and solutions.
- Emphasize objectives and provide funding (follow the money), and the regional coordination will follow.
- Ensure state goals are actionable at the local level by working out the specific implementation mechanisms, while retaining local flexibility; establish performance-based standards.
- Align boundaries and clarify roles.
- Look to other states for general approaches and specific programs and practices.
- Pilot new test practices in the regions that are most ready to use them, and share lessons learned with other regions.

Government institutions are traditionally divided by sectors, such as transportation planning, land use planning, or environmental protection. Within a given sector, there are various departments, agencies, and organizations focused on specific places or functions. For regionalism to be flexible and responsive, as discussed above, coordination and collaboration is needed across entities within a sector. To promote integrated and participatory transportation planning *within Florida transportation agencies,* the FDOT should consider the following recommendations*:*

- Align metropolitan planning with metropolitan areas by creating new combined MPOs or formal structures across multiple MPOs in a metro area.
- Align FDOT district boundaries with major metropolitan areas or design streamlined mechanism for transportation planning in areas covered by multiple districts.
- Coordinate across FDOT districts.
- Maintain existing regional transportation planning incentives and capacity, especially in the face of potential federal and state legislative changes that would remove requirements for MPOs in metropolitan areas with less than 200,000 people (which would affect MPOs for cities having 50,000 to 100,000 people).
- Task the Florida Metropolitan Planning Organization Advisory Council to build local capacity for cross-MPO coordination.
- Inform MPOs and RPOs of the overall statewide approach to transportation planning rather than limit understanding to decision making processes with which MPOs and RPOs are directly involved. Pay particular attention to funding strategies (e.g., see NCHRP July 2007, ES-4-ES-6).
- Create RPOs for rural transportation planning using existing RPCs where possible.
- Strengthen the TRIP incentive program by setting clear goals and requirements (such as incentives for TOD and intermodal connectivity), targeting specific regions (like Maryland's PFAs) based on transparent criteria to match program goals, and possibly increasing funding or other means of incentive (e.g., technical support or greater authority). California and Texas are the best states to look toward for other models of regional incentive programs.

- Continue to coordinate with regions on intermodal and multimodal freight and transit. Work with regions to define strategic regional corridor that work with the statewide SIS corridors to achieve both regional movement and congestion relief along the SIS corridors.

One of the main benefits of taking a regional perspective is the ability to holistically view and govern linked systems, since no sector truly operates in a vacuum. Several commonly recognized linkages are the coordination of transportation with: land use planning, environmental protection, and economic development. Although these linkages, and others, are recognized, to achieve stronger coordination in practice, specific attention to institutional and procedural designs is needed. To promote integrated planning *with other related sectors,* the FDOT should consider the recommendations are listed below*:*

- Form strong partnership between FDOT, Florida Department of Economic Opportunity, and Florida Department of Environmental Protection to guide and implement regional planning initiatives. A model is the Sustainable Communities Regional Planning Grant Program partnership between federal housing, transportation, and environmental protection agencies. A few other models of integrated regional partnerships exist, including in California and Oregon.
- Specifically connect transportation planning with planning for economic development, land use, environmental protection by creating statewide planning goals and integrated programs (e.g., as in Oregon).
- FDOT encourage renewed state support for local and regional planning, including for land use, but with better approaches (e.g., correct problems associated with transportation concurrency or develop a system that replaces its purpose of coordinating land development with transportation investment).
- FDOT formally partner with RPCs and other regional initiatives to provide more local and regional voice, and integration with other sectors, e.g., house MPOs and RPOs in RPCs where possible.
- Expand participation in regional transportation planning (MPOs and RPOs) beyond local jurisdictions to include all relevant agencies and interest groups.
- FDOT should hire more planners to strengthen support for planning and public participation.

An AASHTO study by ICF International looked at case studies and literature in support of integrating land use and transportation, and developed a recommended list of best practices that illustrate successful innovations in integration of land use and transportation policies to be transferred to other locations. As listed below, the team identified an analysis of notable practices among case studies from Utah, Denver, Florida, Chicago, and Virginia: (ICF International 2009)

- Local communities will not always resist state DOT involvement in land use planning
- Land use and transportation planning and decision making activities occur whether DOTs or other agencies seek to integrate them.
- Collaborative and integrated solutions are achievable, especially if agencies start with a blank slate.
- The integration of land use and transportation can happen in any organizational structure or level and apply to a wide variety of transportation contexts.
- State legislation can provide the structure necessary to support land use and transportation integration.
- Giving travelers more options is one of the most common solutions.
- Any worthwhile process will take time, but is incredibly valuable over the long term.
- Transportation agencies have the tools necessary to succeed at integrating transportation and land use.

It is essential that as Florida looks to the future, it must determine what the “big issues” are for its metro regions –economic development (particularly as it relates to the creative class and promoting an innovation economy), alternative transportation, environmental sustainability, or smart growth. Following those goals, the state should begin to clearly push programs that encourage transportation planning entities to cooperate for those purposes.

Without a clear picture of Florida's future, there is bound to be confusion and lack of coordination amongst Florida's MPOs, RPCs, and DOT districts. Without statewide vision or region-specific visions, smaller regional entities will lack a comprehensive vision and have no understanding of how their region's future fits into the puzzle.

To further research and identify Florida's regional planning needs, *recommendations for future research*, including the following:

- Identify specific barriers to regional cooperation in Florida's policies and programs, such as barriers to coordination across horizontal (e.g., across multiple MPO coordination or merging) or vertical (FDOT central office and districts) dimensions and make recommendations on how to remove such barriers;
- Identify financial disincentives for regional cooperation or budgetary structures;
- Evaluate of Florida's TRIP, and suggest improvements to improve regional cooperation;
- Identify targeted case studies of states effective at multilevel governance, balancing and aligning local, regional, and state goals and planning and develop recommendations for Florida;
- Identify targeted case studies of promising regional programs and practices from other states, particularly:
    - Regional transit provision, in connection with the Florida SunRail and other regional passenger rail services, and transit-oriented developments, and
    - Regional freight provision; and
- Design of an integrated approach to strengthen regional transportation planning in Florida.

Chapter Six: Conclusions

The development of the 2060 FTP represents an important opportunity to improve regional cooperation for transportation planning in the state. This regional agenda comes at a critical time when regional planning for some communities and issues is in flux and possibly decline. The research presented in this report supports the desires by FDOT to complement and restructure existing institutions and processes to enhance planning across jurisdictions and sectors, and to give greater voice to underrepresented populations and groups.

Fortunately, Florida has for a long time been a leader in recognizing the role of state legislation and agencies in connecting with local jurisdictions and regions, and ultimately reaching societal goals. The state has taken a number of strong steps in support of regional planning, including the creation of active FDOT districts and RPCs to support coordinated land use and transportation planning. There are missing elements to the system, however, as is apparent by the dominance of the state voice in transportation planning and the erosion of the state role in growth management. This is indeed a time of concern for regional planning, but also one of opportunity that comes with change and fresh ideas.

The state of Florida is not alone in the quest to further societal goals such as economic development, social equity, and environmental protection through effective and efficient governance and planning. Other states have also traveled down this road and can offer innovative ideas and the wisdom of experience as Florida designs a new phase of regional and integrated planning for the state. This report presented diverse examples of state-led initiatives, from legislation to administrative structures to incentive programs, to strengthen regional planning for many aspects of transportation planning: metropolitan planning organizations, rural areas, freight, transit, intermodal systems, and integration with other sectors such as economic development and land use planning. The diversity of choices can be overwhelming, but the philosophy of performance-based, multilevel governance, combined with Florida's sense of its strengths and potentials, serve as guiding forces for the design of the future of Florida governance. Movement towards change is based in relationships, and champions of change can join together. As summarized by the Transit Cooperative Research Program (2011, 17):

> "Every region is unique and precise governance choices for public transportation must fit the region. It is important to recognize and capitalize on windows of opportunity for governance change. Governance and financing for public transportation are so closely inter-related, they must be addressed together. Governance change takes time and is never static. Leadership and champions are critical to change in public transportation governance. Advocacy groups and individuals can be extremely helpful. Good working relationships with other public agencies are critical to successful organizational transformation in public transportation."

The upcoming federal MPO re-designation process, based upon the 2010 Census, will present an opportunity to improve regional partnerships and alliances in Florida. This re-designation process has the potential to move Florida toward regional governance models, as described in the conceptual framework. This research will inform the federal MPO re-designation process, and has potential to be expanded with further research recommendations and a need to revisit Florida's MPO statutory framework. This upcoming re-designation process presents a "window of opportunity" that should be taken advantage of by transportation agencies in Florida to reexamine and redefine how transportation planning functions and operates at a regional scale in Florida.

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Appendix A: State Information Tables

State	Is the whole state covered by regional planning organizations (MPOs, RPOs, or some combination)?	Is 23 U.S.C. (etc./forms of) or 49 U.S.C specifically mentioned? (in state statutes)	Is part of the designation language of 23 (etc.) used? (in state statutes)	Is part A/B mentioned (specifically 75% of the affected urbanized area) in State Statutes?	Is the term "MPO" (or metropolitan planning organization) specifically mentioned in State Statutes?	MPO Composition (in statutes) (yes/no)	MPO powers/ duties (in statutes) (yes/no)	Search 2: Administrative Code/Law/Rule (23 USC 134 or language)	Search 3: Does DOT website mention MPOs? (Description, Map, Guidebook/ Manuals)
Alabama	Yes	No	No	No	No	No	No	No	Yes (Description)
Alaska	No	Yes	No	No	Yes	Yes	No	Yes (Definition)	Yes (Map)
Arizona	Yes	No	No	No	No	No	No	Yes (Definition)	Yes (Map)
Arkansas	Yes	Yes	No	No	Yes	No	No	Yes (Powers & Duties)	Yes (Description & Map)
California	Yes	Yes	No	No	No	Yes	Yes	Yes	Yes (Description & Map)
Colorado	Yes	Yes	No	No	Yes	No	Yes	Yes (Definition)	Yes (Description & Map)
Connecticut	Yes	No	No	N/A	No	No	No	(Not accessible)	No
Delaware	No	Yes	No	No	Yes	No	No	No	No
Florida	Yes	Yes	Yes	Yes, (A)	Yes	Yes	Yes	Yes (Definition)	No
Georgia	Yes	No	No	No	No	No	No	No	No
Hawaii	No	Yes	No	No	Yes	Yes	Yes	No	No

Table A.1 – State Information Table: Alabama - Hawaii

Source: State statutes, administrative code, and DOT websites

Source: State statutes, administrative code, and DOT websites **State**	**Is the whole state covered by regional planning organizations (MPOs, RPOs, or some combination)?**	**Is 23 U.S.C. (etc./forms of) or 49 U.S.C specifically mentioned? (in state statutes)**	**Is part of the designation language of 23 (etc.) used? (in state statutes)**	**Is part A/B mentioned (specifically 75% of the affected urbanized area) in State Statutes?**	**Is the term "MPO" (or metropolitan planning organization) specifically mentioned in State Statutes?**	**MPO Composition (in statutes) (yes/no)**	**MPO powers/ duties (in statutes) (yes/no)**	**Search 2: Administrative Code/Law/Rule (23 USC 134 or language)**	**Search 3: Does DOT website mention MPOs? (Description, Map, Guidebook/ Manuals)**
Idaho	No	No	No	N/A	No	No	No	Yes (Definition)	Yes (Description)
Illinois	No	Yes	No	No	Yes	No	No	Yes (Definition)	Yes (Description)
Indiana	No	Yes (Definition)	No	No	Yes	No	No	No	Yes (Description)
Iowa	Yes	No	No	N/A	No	Yes	Yes	Yes (Definition)	Yes (Description)
Kansas	No	No	No	N/A	No	Yes	Yes	No	Yes (Description)
Kentucky	Yes	No	No	N/A	No	No	No	Yes	Yes (Description)
Louisiana	No	No	No	N/A	No	No	No	No	Yes (Description)
Maine	No	Yes	No	No	Yes	Yes	Yes	Yes	Yes (Description)
Maryland	Yes	No	No	N/A	No	No	No	Yes (Definition)	No
Massachusetts	Yes	No	No	N/A	Yes	Yes	Yes	No	Yes (Map)
Michigan	Yes	No	No	N/A	Yes	Yes	Yes	Yes	Yes (Links)

Table A.2 - State Information Table: Idaho – Michigan

Source: State statutes, administrative code, and DOT websites

State	Is the whole state covered by regional planning organizations (MPOs, RPOs, or some combination)?	Is 23 U.S.C. (etc./forms of) or 49 U.S.C specifically mentioned? (in state statutes)	Is part of the designation language of 23 (etc.) used? (in state statutes)	Is part A/B mentioned (specifically 75% of the affected urbanized area) in State Statutes?	Is the term "MPO" (or metropolitan planning organization) specifically mentioned in State Statutes?	MPO Composition (in statutes) (yes/no)	MPO powers/ duties (in statutes) (yes/no)	Search 2: Administrative Code/Law/Rule (23 USC 134 or language)	Search 3: Does DOT website mention MPOs? (Description, Map, Guidebook/ Manuals)
Minnesota	Yes	Yes	No	No	No	No	No	Yes (Definition)	Yes (Description)
Mississippi	No	couldn't access	N/A	N/A	N/A	No	No	No	No
Missouri	Yes	Yes	No	No	No	No	No	No	Yes (Description)
Montana	No	Yes	No	No	No	No	No	Yes (Definition)	No
Nebraska	No	Yes	No	No	Yes	No	No	No	No
Nevada	No	Yes	No	No	Yes	No	Yes	No	No
New Hampshire	Yes	Yes	No	No	Yes	No	Yes	Yes (Definition)	No
New Jersey	Yes	No	No	N/A	N/A	No	No	Yes	Yes (Links)
New Mexico	Yes	No	No	N/A	Yes	No	No	Yes (Definition)	No
New York	No	No	No	N/A	Yes	No	Yes	Yes	Yes (Links)
North Carolina	Yes	Yes	No	No	Yes	Yes	Yes	No	Yes (Description)

Table A.3 - State Information Table: Minnesota - North Carolina

Source: State statutes, administrative code, and DOT websites

State	Is the whole state covered by regional planning organizations (MPOs, RPOs, or some combination)?	Is 23 U.S.C. (etc./forms of) or 49 U.S.C specifically mentioned? (in state statutes)	Is part of the designation language of 23 (etc.) used? (in state statutes)	Is part A/B mentioned (specifically 75% of the affected urbanized area) in State Statutes?	Is the term "MPO" (or metropolitan planning organization) specifically mentioned in State Statutes?	MPO Composition (in statutes) (yes/no)	MPO powers/ duties (in statutes) (yes/no)	Search 2: Administrative Code/Law/Rule (23 USC 134 or language)	Search 3: Does DOT website mention MPOs? (Description, Map, Guidebook/ Manuals)
North Dakota	No	No	No	N/A	Yes	No	Yes	No	No
Ohio	No	Yes	No	No	Yes	No	No	Yes (Definition)	Yes (Description)
Oklahoma	No	No	No	N/A	No	No	No	Yes	No
Oregon	No	Yes	No	No	Yes	Yes	Yes	Yes	Yes (Description)
Pennsylvania	Yes	No	No	N/A	Yes	Yes	Yes	Yes (Definition)	Yes (Description)
Rhode Island	No	No	No	N/A	No	No	No	No	No
South Carolina	Yes	No	No	N/A	No	No	No	Yes (Definition)	Yes (Description)
South Dakota	No	No	No	N/A	No	No	No	No	No
Tennessee	Yes.	No	No	N/A	Yes	No	No	No	Yes (Description)
Texas	No	Yes	No	No	Yes	No	No	Yes	Yes (Description)
Utah	No	Yes	Yes	No	Yes	No	No	Yes (Definition)	Yes (Description)

Table A.4 – State Information Table: North Dakota - Utah

Source: State statutes, administrative code, and DOT websites

State	Is the whole state covered by regional planning organizations (MPOs, RPOs, or some combination)?	Is 23 U.S.C. (etc./forms of) or 49 U.S.C specifically mentioned? (in state statutes)	Is part of the designation language of 23 (etc.) used? (in state statutes)	Is part A/B mentioned (specifically 75% of the affected urbanized area) in State Statutes?	Is the term "MPO" (or metropolitan planning organization) specifically mentioned in State Statutes?	MPO Composition (in statutes) (yes/no)	MPO powers/ duties (in statutes) (yes/no)	Search 2: Administrative Code/Law/Rule (23 USC 134 or language)	Search 3: Does DOT website mention MPOs? (Description, Map, Guidebook/ Manuals)
Vermont	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes	Yes (Description)
Virginia	Yes	Yes	No	No	Yes	No	Yes	No	No
Washington	Yes	Yes	Yes	Yes, (A)	Yes	Yes	Yes	Yes	Yes (Description & Map)
West Virginia	No	No	No	N/A	No	Yes	Yes	No	Yes (Description)
Wisconsin	No	Yes (Definition)	No	No	Yes	No	No	No	No
Wyoming	No	No	No	N/A	No	No	No	No	No

Table A.5 – State Information Table: Vermont - Wyoming

Source: State statutes, administrative code, and DOT websites