

Integrated Transportation and Land Use Planning: Facilitating Coordination Across and Among Jurisdictions

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A GUIDE BOOK FOR PRACTITIONERS

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ABOUT THE NYU WAGNER RUDIN CENTER FOR TRANSPORTATION POLICY & MANAGEMENT

Established in 1996 at New York University's Robert F. Wagner Graduate School for Public Service, and named in September 2000 in recognition of a generous gift to NYU in support of the Center, the Rudin Center for Transportation Policy and Management is currently led by Allison L. C. de Cerreño, Ph.D., the Director of the Center.

The mission of the Center is to provide the tools for strengthening institutions and leadership within and across all modes of transportation, and for encouraging innovative thinking, discourse, and action on urban transportation policy, regionally, nationally, and internationally.

With a team of Visiting Scholars and Practitioners, drawn from both the transportation and academic communities, the Rudin Center conducts research and conferences, provides education and training, and promotes and supports key policy networks in the field of transportation policy and management. A number of publications are produced each year, based on the research, conferences, and training carried out by the Rudin Center.

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Foreword

Transportation and land use planning have traditionally been undertaken by unrelated entities, resulting in predominantly uncoordinated growth. In New York State, land use planning is the responsibility of local municipalities – its cities, towns and villages. Master planning is a local municipal prerogative, with zoning regulations established by local municipal legislation, and development proposals reviewed by local municipal planning boards. The result of this “home rule” arrangement has been a necessarily local perspective in land use planning, particularly in suburban areas.

In contrast, transportation planning is often the purview of state, regional and county governments and agencies that are responsible for large components of the transportation system. These agencies – either individually or collaboratively through regional councils – often consider the bigger picture of the transportation system as a whole in order to fulfill their responsibilities and provide services and facilities which meet the demand for travel. Thus, their planning perspective is necessarily more regional.

Lack of coordination in land use and transportation planning is problematic since transportation facilities and services are affected by land use decisions which alter the demand for transportation, while land use development is reliant on the transportation system for its viability. In short, land use and the transportation modes which serve that use are often linked, but problems arise when planning for them is not.

One of the results of less than optimal coordination between land use and transportation planning is an imperfect match between the supply of transportation services and facilities, and the demand for travel. The most visible result of this is congestion – roads choked with traffic or trains and buses filled to overflowing with passengers. Congestion is a symptom of uncoordinated planning. It is inefficient. It wastes energy. It adds to vehicular emissions of pollutants. It has an economic cost. And it reduces quality of life.

Gradually, over the past two decades, attempts have been made to better coordinate land use and transportation planning – through integrated planning studies, joint development projects, and, most recently, more integrated regional planning. These initiatives show great promise, but there are still jurisdictional and institutional barriers that must be overcome before full integration of these two planning disciplines can be achieved.

The New York Metropolitan Transportation Council has been at the forefront of several of these attempts to better coordinate planning for the benefit of the region. Our member agencies have experimented with new formats through sustainable development studies, supported educational efforts and financed other types of integrated studies which bring together State, regional, county and local interests. Most recently, our Council members have agreed on ten desired growth areas in our region where more efficient development can be focused.

This Guidebook continues our efforts in this important area, using the research capabilities of New York University’s Rudin Center. The Guidebook seeks to employ lessons learned from a representative sample of recent integrated land use and transportation planning initiatives to illuminate the remaining barriers and provide practical approaches and solutions to continue progress toward truly coordinated and integrated planning. Our hope is that this Guidebook will be yet another tool for improving and coordinating these planning processes.

Joel Ettinger
Executive Director, NYMTC

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1. Facilitating Coordination Across and Among Jurisdictions

Over a decade ago, Terry Moore and Paul Thorsnes recognized the critical relationship between transportation and land use when they noted in *The Transportation/Land Use Connection* that “no single force has had a greater impact on the pattern of land development in American cities in this century than highways.”¹ However, the relationship between transportation and land use is at once obvious and at the same time much more complex, and there is a great deal of debate revolving around how they affect each other, whether they affect each other, and how best to measure the degree of the relationship.

1.1. Defining the Relationship

In their work, transportation experts Lawrence D. Frank and Gary Pivo demonstrated that increased population density and mixed land use is positively related to increases in the proportion of shopping trips made using transit. However, a Transportation Research Board (TRB) report suggests that research to date on land use mix is “as likely to find no effect on transit choice as to find a positive effect.”² And, even when a relationship has been demonstrated, it is not always clear that there is causation as opposed to correlation between the two.

Even among those who agree that there is a direct cause and effect relationship between transportation and land use, the nature of the relationship is often questioned or viewed from one perspective – land use affecting transportation or transportation affecting land use. After a review of the current literature, van Wee concludes, for example, that there is sufficient evidence to demonstrate that land use can influence travel behavior.³ However, the interaction between transportation and land use is bi-directional.

New transportation infrastructure can shape land use by increasing accessibility and mobility, inducing growth in areas not easily reached before. This was certainly the case with the development and expansion of the Interstate highway system and resultant sprawl. Conversely, new development can affect transportation by placing increased stress on the system in place and by increasing demand for new capacity or changes in service.⁴ In parts of Long Island, for example, there are new senior communities being developed with resulting demand for transit service enhancements placed on the service provider, MTA Long Island Bus.

1.2. Policies and Actions

Among policymakers, there is broad acceptance of an important link between transportation and land use. Even as they seek to better understand the nature of this relationship, new policies and actions are developing which take aim at coordinating and integrating planning in both areas. Approaches under development include:

- Growth boundaries and regulatory controls. Such techniques constrain urban growth within certain limits to prevent sprawl and have been used successfully in Portland, OR and Minneapolis/St. Paul MN.
- Master planning and zoning. Among the oldest tools used, they can aid in increasing the mix of uses in a particular area.
- Growth moratoria and traffic ordinances. These can aid in regulating the pace of new development to ensure sufficient transportation capacity.

¹ Terry Moore and Paul Thorsnes, *The Transportation/Land Use Connection: A Framework for Practical Policy* (Chicago: American Planning Association, 1994), p. 2.

² Lawrence D. Frank and Gary Pivo, “Impacts of Mixed Use and Density on Utilization of Three Modes of Travel: Single-Occupant Vehicle, Transit, and Walking,” *Transportation Research Record 1466* (Washington, DC: TRB 2005); Transportation Research Board (TRB), *Chapter 15: Land Use and Site Design: Traveler Response to Transportation System Changes* TCRP Report 95 (Washington, DC: TRB, 2003), p. 15-10.

³ Bert van Wee, “Land Use and Transport: Research and Policy Challenges,” *Journal of Transport Geography* 10 (2002): 259.

⁴ ICF Consulting, *Handbook on Integrating Land Use Considerations Into Transportation Projects to Address Induced Growth*, Prepared for AASHTO Standing Committee on the Environment (March 2005), p. 2.

- Building codes and site level zoning requirements. These can be used, for example, to encourage or discourage on-site parking or to make setbacks for sidewalks required, resulting in more or less pedestrian use depending upon what is required.
- Transit-oriented development (TOD). TOD can encourage higher densities around transit stations, helping to discourage the need for an automobile.
- Pedestrian-friendly or traditional neighborhood developments. These can promote the use of multi-modal transportation uses as well.⁵

Whether these techniques have a measurable effect on travel response is still unclear as there are few studies tracking the results of such efforts. However, based on the research that is available, it is apparent that not every policy or action works the same in all locations. Thus, matching specific policies and actions to both the goals and the unique circumstances of a given location is important.

While matching policies and actions to goals and circumstances is technically a difficult task given the complex relationship between transportation and land use, the degree of difficulty is further increased by the fact that transportation and land use decisions made in one jurisdiction often affect jurisdictions beyond the initial boundaries of a particular project. Thus, coordinating across and among jurisdictions becomes critically important to raising the chances for successful outcomes from integrated transportation and land use planning.

1.3. Issues Related to Integrated Transportation and Land Use Planning

Areas in need of coordination between transportation and land use planning can be defined by looking at the convergence of transportation and land use activities as shown in the table below.

Table 1 - Linkages Between Transportation and Land Use Activities

<p>Transportation planning and service provision activities that may relate to land use planning and development in specific circumstances</p>	<ul style="list-style-type: none"> ▪ Regional transportation plans ▪ Parking, pedestrian and bicycle facility planning and construction ▪ Highway and street design and construction ▪ Rail and bus facility planning ▪ Access management ▪ Designation of truck routes ▪ Transit operations (routes, schedules)
<p>Land use planning and development activities that potentially relate to transportation planning and service provision</p>	<ul style="list-style-type: none"> ▪ Master planning (municipal and county) ▪ Zoning decisions ▪ Economic development ▪ Site plan reviews

However, a variety of barriers to such convergence exist as described in the following paragraphs. Though integration efforts may founder on any one of these obstacles, more commonly one finds several obstacles at work simultaneously.

- **Differing missions and goals:** Organizational missions or roles may be narrowly defined with the result that agencies do not understand the organizations they should coordinate with, do not see a need to coordinate with other agencies even when they recognize them or do not see a need to address the impact of their actions on other agencies.⁶ Thus, a planning agency may make land use plans without considering transportation impacts. Conversely, a highway agency

⁵ TRB, *Land Use and Site Design*, pp. 15-3 to 15-4.

⁶ Michael D. Meyer, Sarah Campbell, Dennis Leach, and Matt Coogan, "Collaboration: The Key to Success in Transportation," *Transportation Research Record* 1924 (Washington, DC: TRB, 2005); Bruce Schaller, *Building Effective Relationships Between Central Cities and Regional, State, and Federal Agencies*, NCHRP Synthesis 297 (Washington, DC: TRB, 2001); and David C. Rose, Jerry Gluck, Kristine Williams and Jeff Kramer, *A Guidebook for Including Access Management in Transportation Planning*, NCHRP Report 548 (Washington, DC: TRB, 2005).

may increase roadway capacity or a transit agency may adjust service levels without considering likely effects on land use along a given transportation corridor.⁷

A narrow focus can be more likely when agencies do not understand how to go about coordinating with other entities or do not perceive the benefits of coordinated action or if they believe that coordination will lead to compromises that undercut achievement of agency missions.⁸ Transportation agencies, for example, may emphasize capacity-first improvements without considering alternatives to enhancing mobility and/or reducing demand along a corridor. Local governments primarily concerned with encouraging development may not wish to consider the long-range traffic impacts of that development.⁹

Agencies may also have differing technical needs. In the development of *E-ZPass* automated toll collection systems, for example, some agencies needed entry only systems while others needed entry and exit systems; some agencies had a desire for a proven system while others preferred to use state-of-the-art technology.¹⁰

- **Jurisdictional complexity:** In corridor planning and regional planning at the county and state level, the presence of numerous local governments makes coordination difficult.¹¹ There may also be differences in laws and policies in each jurisdiction that present obstacles to joint procurement or other joint action.¹² Jurisdictional complexity is an especially important consideration for integrated transportation and land use planning because land use planning and policy making are generally the purview of local municipal governments while planning for transportation infrastructure and services often extends across multiple jurisdictions.¹³ Further, even at the local level, there are often different agencies or departments responsible for transportation and land use planning.
- **Legal authority:** Agencies that exercise land use planning and zoning powers may lack legal authority to coordinate their planning with agencies charged with planning transportation services and facilities.¹⁴ Municipal agencies may not be obligated to discuss land development proposals for properties not abutting the state highway with the DOT, irrespective of their impacts on the highway.¹⁵
- **Political climate:** The public and elected officials may be skeptical that suburban jurisdictions helping to solve problems in an urban region will necessarily benefit the individual suburban jurisdiction. Officials in both suburban and urban jurisdictions may be jealous of their autonomy and be reticent to participate, or be seen participating, with joint efforts.¹⁶
- **Resource levels/capabilities:** Insufficient funds or staff time is a major impediment to coordination, particularly in jurisdictionally complex situations as when there are many local governments along a corridor or within the focus of a comprehensive county or state plan.¹⁷

⁷ Rose, et al., *A Guidebook for Including Access Management in Transportation Planning*. Also, ICF Consulting, *Handbook on Integrating Land Use Considerations into Transportation Projects to Address Induced Growth*, p. 3.

⁸ Ibid.

⁹ Ibid., and Salila Vanka, Susan Handy, Kara M. Kockelman, "State-Local Coordination in Managing Land Use and Transportation Along State Highways," Draft, Submitted to the Journal of Urban Planning and Development, 2003.

¹⁰ Jonathan L. Gifford, Larry Yermack, and Cheryl A. Owens touch on E-ZPass implementation in "E-ZPass: Case Study of Institutional and Organizational Issues in Technology Standards Development," *Transportation Research Record* 1537 (Washington, DC: TRB, 1996).

¹¹ Schaller, *Building Effective Relationships Between Central Cities and Regional, State, and Federal Agencies*; ICF Consulting, *Handbook on Integrating Land Use Considerations into Transportation Projects to Address Induced Growth*, p. 4.

¹² Ibid.

¹³ Rose, et al., *A Guidebook for Including Access Management in Transportation Planning*; Carlson and King, "Linking Transportation and Land Use by Fostering Inter-Jurisdictional Cooperation: Enabling Legislation in Eight States."

¹⁴ Daniel Carlson and Stephen King look at legislative issues involved in transportation and land use in "Linking Transportation and Land Use by Fostering Inter-Jurisdictional Cooperation; Enabling Legislation in Eight States," Institute for Public Policy and Management, University of Washington (May 1998).

¹⁵ Vanka, et al., "State-local Coordination in Managing Land Use and Transportation Along State Highways."

¹⁶ Ibid.; Schaller, *Building Effective Relationships Between Central Cities and Regional, State, and Federal Agencies*.

¹⁷ Rose, et al., *A Guidebook for Including Access Management in Transportation Planning*; Meyer, et al., "Collaboration: The Key to Success in Transportation."

Agencies may also lack analysis capabilities to assess multi-jurisdictional and multimodal strategies, and thus shy away from multi-agency efforts.¹⁸

- **Staff relationships:** Staff from different agencies may lack trust in each other or may not understand the motivations and needs of staff in other agencies. High staff turnover may prevent the development of trusting working relationships.¹⁹ The time-consuming and frustrating process of coordination and collaboration may also discourage staff from reaching out to other agencies.²⁰

If coordination involves staff from different technical specialties, they may lack a common language or common planning or analytic processes. Unequal power or resources among potential participants may inhibit coordination or collaboration since agencies may not perceive each other as equals.²¹

Interagency coordination may also founder on a lack of internal coordination and communication within an individual agency, with the result that agency staff are unable to present an agency position that has broad internal support.²²

- **Inflexibility:** Agencies may apply standard practices to situations requiring tailored solutions. Agency staff may also evidence a reluctance to change, especially where no track record of benefits to collaboration exists.²³

¹⁸ Meyer et al., "Collaboration: The Key to Success in Transportation."

¹⁹ Ibid.

²⁰ Rose, et al., *A Guidebook for Including Access Management in Transportation Planning*.

²¹ Meyer et al., "Collaboration: The Key to Success in Transportation."

²² Rose, et al., *A Guidebook for Including Access Management in Transportation Planning*.

²³ Meyer et al., "Collaboration: The Key to Success in Transportation."

2. The Purpose of This Guide Book

Though the exact nature of the relationship is still being determined, it is clear that transportation and land use are closely linked, so integrating transportation planning and land use planning is important. To do this effectively, coordination across and among jurisdictions is critical, but many obstacles exist.

Fortunately, examples of successful coordination exist in various parts of the New York metropolitan region. Using several of these examples, and other work related to institutional and inter-agency coordination, this Guide Book will help to convey strategies and mechanisms for effective interjurisdictional coordination on transportation and land use-related studies and projects to practitioners seeking to undertake more integrated planning in these areas

While there are other tools available that address institutional coordination, and while there are studies and learning materials related to transportation and land use, there are very few, if any, materials available which bring these two areas together in a coherent fashion. Thus, this Guide Book will prove a valuable asset for practitioners seeking to integrate transportation and land use planning, and to coordinate effectively among and across jurisdictions.

2.1. Guide Book Audiences

The Guide Book is geared primarily toward the following groups of individuals:

- **Agency staff, who...**
 - Will be members of a coordinating task force or committee on a study or project relating to transportation and land use. For such individuals, this Guide Book is ideally utilized during the planning stages for the project or just as the project commences.
 - Are formulating transportation and land use planning project proposals that will be submitted for appropriate funding programs as a first step toward federal, state and /or local funding. For this group, the purpose of this Guide Book is to help agency staff develop a proposal that will lead to effective interjurisdictional coordination and integrated transportation and land use planning. If staff has several project possibilities in mind, each possibility should be considered separately in the context of the Guide Book's various activities.
- **Officials and staff members of local municipalities, who...**
 - Will be members of a coordinating task force or committee on a study or project relating to transportation and land use.
 - Are interested or involved in developing master plans, zoning codes, and/or development projects and are looking for guidance on effective interjurisdictional coordination related to the transportation and land use components of their visions.
 - Are involved in the metropolitan planning process, and in developing long-range plans for the region.

2.2. How to Use the Guide Book

This Guide Book serves as a tool for thinking through the key issues involved with interjurisdictional coordination and integrated transportation and land use planning. It may be used by individual practitioners or as the basis for a facilitated workshop. The Guide Book provides the following information:

- Background on the topic and guidance for how to effectively use the Guide Book either individually or to facilitate a workshop session on the topic.

- Sets of questions at the end of each section that provide a starting point for thinking about the issues and developing strategies, or for discussion with workshop participants.
- Training materials – for use as one reviews the different sections of the Guide Book, or which can be handed out to and discussed with participants at a workshop.
 - Matrix A: Overview of the Case Studies
 - Matrix B: Key Success Factors for Interjurisdictional Coordination
 - Matrix C: Overview of How the Success Factors Played Out in Each Case Study
 - Matrix D: Assessment of Assets and Needs for Your Project
 - Matrix E: Success Factor Strategies, Toolbox and Examples
- Short summaries of the case studies for additional background.
- Selected readings for further exploration.

Throughout the Guide Book, time and goal parameters are provided for each section to aid anyone who chooses to use this Guide as a basis for facilitating a session on the topic. In addition, boxed notes are provided to highlight key points for individual practitioners using the Guide Book (orange), as well as for facilitators (green and orange) as they move through the material in a workshop setting.

3. Why Interjurisdictional Coordination Is Important

Goals of this section: Introduce topic and highlight the role of interjurisdictional coordination in the context of planning activities.

Duration if used in a workshop format: Approximately 1 hour

The specifics and the audience will change for each workshop. Thus, appropriate modifications to language and content will need to be made.

However, facilitators should always explicitly state the purpose of the workshop, preferably in a way that is directed at the participants (e.g., "The purpose of this workshop is to help YOU create a strategy...").

The purpose of this Guide Book is to help practitioners create a strategy for interjurisdictional coordination related to an integrated transportation and land use planning project that you are either in the process of planning, are about to undertake or in which you will otherwise participate. This Guide Book will take you step-by-step through a structured way of thinking about your approach to interjurisdictional coordination for integrated transportation and land use planning. By the time you finish this Guide Book you will have identified strategies and, more importantly, a series of specific and actionable steps that you can take to achieve effective interjurisdictional coordination for the planning project in which you will be involved.

This Guide Book focuses on interjurisdictional coordination because such coordination is often a critical challenge in carrying out projects that integrate transportation and land use planning.

3.1. Why Focus on Interjurisdictional Coordination?

1. Transportation and land use issues are inherently related, and inherently cross jurisdictional lines, and decisions made and actions taken in one locale can affect others both positively and negatively. Transportation and land use often involve some combination of the following entities:
 - Multiple levels of government (federal, state, county, local municipalities);
 - Multiple agencies (e.g., New York State Thruway Authority, Port Authority of New York & New Jersey); and,
 - Multiple agencies within the same governmental entity (e.g., Westchester County Department of Transportation and Department of Planning; US Department of Transportation Federal Highway Administration and Federal Transit Administration).

As a result, projects simply cannot be carried out without coordination among different governmental agencies and entities.

With respect to transportation and land use, what are the responsibilities and interests of your agency or municipality? Have they changed over time?

2. Governmental agencies and local municipalities have different responsibilities for and different interests in the transportation infrastructure, operation of the transportation system, and the regulation of land uses. Even where their interests coincide, coordination can be a complex challenge due to the number and diversity of agencies, municipalities, and staff involved, and the interlocking, overlapping and divergent responsibilities. Furthermore, interests often do not coincide and may even be in direct conflict with each other. Identifying and resolving these conflicting interests can be difficult, time-consuming, and costly, especially when they are not considered early in the planning phase.

3. While often a challenge, coordination also offers opportunities.

- The case studies presented throughout the Guide Book show that very often, the whole is equal to more than the sum of the parts; that is, agencies and local municipalities can better achieve their own objectives if they work with other governmental entities. For example, a state Department of Transportation may not be able to carry out roadway improvements that involve local roads without the cooperation of the county or local

government that owns and operates those roads. Similarly, local municipalities may not be able to add sidewalks or other pedestrian-friendly enhancements to main streets that are owned and operated by the State. State or local transportation agencies may not be able to provide adequate roadway capacity unless transportation plans are coordinated with changes in zoning, approval of development plans, and decisions on where vehicles will gain access from new developments into the transportation network.

What other opportunities can you think of for coordination on transportation and land use issues?

- Another set of factors involves the expertise and experience that agency staff members bring to a set of issues. A state Department of Transportation, for example, may be more expert than local traffic engineers in reviewing highway access plans, and thus be able to offer assistance in the early stages of review of development proposals. One agency may be aware of funding opportunities, or may have political support needed to obtain funding, that is lacking at another agency. Many other examples can be offered.
4. A final and critical reason for the importance of coordination is that in the areas of transportation and land use, no agency can see or understand the “whole elephant.” Agencies responsible for highways and local streets are unlikely to be able to fully understand the needs of other agencies with responsibility for bus services and zoning decisions, and vice versa. The same can be said for agencies dealing with issuing building permits and providing police, fire and sanitation services. These agencies need to work together to adequately serve the full range of public interests involved in their work.

Discussion Questions

In a facilitated session, begin by asking through a show of hands which levels and types of municipalities and agencies are represented in the room.

1. What levels of government do you expect to need to work with on your particular project or process?
2. How many agencies are at each level? One? More than one?
3. What is the mix of agencies dealing with transportation, land use and other areas?
4. At a general level, how well do you anticipate that the interests of these municipalities and/or agencies will mesh with the interests of your municipality/agency, and the goals for the project or process you are planning?

4. Considering the Context of Projects

"PROJECT" DEFINED

Projects are defined broadly here. They may be aimed at promoting a better understanding of an issue, gathering information, developing a process, or at building something or some process that will be formally deployed or implemented.

Goals of this section: Assessment of the political and interjurisdictional context of the specific project; assessment of how the project or process is positioned within this context.

Duration if used in a workshop format: Approximately 2 hours

Transportation and land use planning involving interjurisdictional coordination need to be viewed and understood within the context of previous studies, projects, and activities, and within the context of the role of these issues in the overall agenda of the public and elected officials. It is also important to understand the type of project that an agency or municipality is about to embark upon, and the types of outcomes that are expected or desired. Being clear about the context within which the agency or municipality will be working will help to productively plan an

interjurisdictional coordination strategy.

4.1. Position of a Project in the Context of Expert and Community Understanding, and Development, Approval, and Implementation of Plans and Recommendations

It is important at the outset of the discussion of interjurisdictional coordination to identify the problems, issues, and/or opportunities that will be addressed, and the types of goals served by the project. Most likely, participants will already have a good idea of the problems and issues that have motivated this project. The definition and understanding of these problems or issues will likely be refined, at least in the early stages of the project, and may in fact continue to evolve in the middle and later stages.

At a somewhat more general level, it is also important to clarify the positioning of the planning project about to be undertaken in a broader landscape. This particular project almost certainly follows other activities in this area. These other activities might have involved previous studies, public hearings, forums, newspaper editorials, requests from elected officials, etc. There may have been previous proposals and/or actions taken related to this issue area that set the context for the specific project that participants are about to undertake. Similarly, it is likely that after the conclusion of the project that is about to be undertaken, there will be further studies, hearings, recommendations and actions taken.

The position of a planning project in this broader context can be defined along four dimensions:

1. **Level of expert understanding of the issues and possible solutions.** What research, technical, and planning work has been previously done that is related to this particular project? How well do you and other professional staff understand the issues and problems that are the focus of this project? How much additional professional work needs to be done to have a full understanding of the problems, issues, and range of possible solutions? What does that professional work entail in terms of information collection and analysis, planning, etc.?

2. **Level of community understanding of the issues and possible solutions.** Professional staff may have a very good understanding of issues and solutions, while public understanding either lags or is simply different. Yet without support from the community and elected officials, results of a project face serious hurdles to adoption and implementation. A central feature of most projects addressing transportation and land use issues is to increase public understanding of issues and solutions, and to better align the way that professional staff think and talk about these issues with public perceptions – in other words, to join the conversation.

What is your level of experience with public outreach? How do you feel about the importance of joining the conversation?

Thus, a key question in assessing the position of this project in the broader context is to take a measure of current community understanding of the problems, issues and possible solutions. What are current community perceptions? How much work needs to be done to explore common ground between community and professional perceptions?

3. **Formulation of plans and gaining required approvals.** What specific plans or proposals have been developed already? Have they been thought through from a technical and administrative perspective? Have they been vetted with the various stakeholder groups? Is there substantial support for specific proposals? Are the bodies that will need to approve recommendations primed for approving likely recommendations – or far from even knowing how they may stand on these proposals?
4. **Status of implementation of recommendations.** Are the agencies that would be responsible for implementation of recommendations positioned to do so in terms of resources, expertise, interjurisdictional relationships, etc.? What steps (policy decisions, legal actions, legislation) and resources (financial, human, knowledge-based) are likely to be required when the implementation stage is reached?

It is not necessary to answer all of these questions to be able to make an assessment of the overall position of the project being planned. Some projects will be starting from square one, with no prior work to base them on. In such cases, the initial focus is often on developing an understanding of the problems and issues, both by professionals and by the community. Agency staff working on such transportation and land use planning projects often describe this stage as “consciousness raising” as both staff and stakeholders build an understanding of the relationships between transportation and land use issues, and an understanding of potential solutions and their ramifications. During these early stages, staff and stakeholders may also aim to better understand and address stakeholder concerns, and as a result, agencies may reconfigure and/or expand the scope of potential solutions. For example, in the early stages of a project, agencies may realize that they need to address economic development objectives in addition to transportation and land use.

EXAMPLE

The I-95 Corridor Coalition's Mid-Atlantic Rail Operations Study (MAROps) brought together agencies and rail freight stakeholders from 5 states. Together, they identified 71 projects to be undertaken. While only a few of these have been implemented to date, MAROps has served as an important model for a transparent process that helped reach consensus on key goals, prioritize projects, and build support for them.

It is not uncommon for planning projects to succeed in developing expert and community understanding – to do the “consciousness raising” – and not achieve adoption and/or implementation of recommendations. This is sometimes viewed as a failure of the project. However, in the experience of the case studies explored in the development of this training, agency staff and officials in local municipalities describe such projects as being successful in developing a shared vision. While these projects may or may not result in formal implementation, they still provide an important and often necessary foundation for future accomplishment. At the end of such projects, participants have usually reached consensus around a common set of goals, developed a range of potential solutions, have improved public understanding of the issues, and have identified the major substantive and political barriers to successful action. Future work in the area benefits greatly from this progress. Thus, for projects with no prior history on which to build, it is important to appreciate the value of these initial stages.

Other planning projects have the benefit of previous work that has already built a degree of understanding and identified potential solutions that may have a degree of consensus, or at least sufficient support if full consensus is not possible. While often engaging in further analysis (planning, public outreach, consensus building, etc.), such projects can more readily move into the stages

of developing solutions and gaining approval for recommendations. In a sense, these projects can pull plans “off the shelf” and, with further development and refinement, proceed into building consensus and approval.

Finally, there are some planning projects in which plans and proposals are ripe for approval and adoption. The only barriers may be agency coordination, packaging of an array of actions, funding, and bringing all the pieces together. Where this is the case, the project can benefit immensely from the opportunity to achieve visible short-term successes, using these successes to build the interjurisdictional coordination that then helps address more challenging problems and issues.

Discussion Questions

1. In terms of the project you are starting or will be participating in, how is it positioned with respect to professional and community understanding of the problems, issues, and potential solutions?
2. How important is public education in the early stages of your project or process? Why?
3. How important is education within your agency or municipality in the early stages of your project or process? Why?
4. Have plans or proposals been developed that address the issues and problems under consideration? Do they adequately address agency and community issues? Does the range of plans or proposals need to be broadened? What work needs to be done to develop recommendations that can then move to the implementation stage?
5. What are barriers to adoption of plans or proposals that have already been developed or might be developed from this project? How “primed” are approving bodies?
6. Which agencies and/or other jurisdictions will be affected either directly or indirectly? Which agencies and/or other jurisdictions will need to be responsible for part of the project?
7. Are the agencies that would be responsible for implementation of recommendations positioned to do so in terms of resources, expertise, interjurisdictional relationships, etc.? What steps and resources are likely to be required when the implementation stage is reached?

4.2. Assessment of the Political and Interjurisdictional Coordination Context

The previous section addressed describing planning projects within an overall context, from understanding to implementation. This section draws attention to two much more specific aspects of the context: the political and organizational impetus to taking up this project, and the likely mechanisms for interjurisdictional coordination. These should be considered at the outset of any transportation and land use project.

1. **Political and organizational impetus to taking up this planning project or process.** Rarely are major projects begun simply because agency staff or local municipalities have decided to work in this area – and even more rarely are projects successful when they are initiated solely by staff. In successful major projects, elected officials almost always play a key role in getting the ball rolling and providing support for the eventual recommendations and implementation. Non-governmental stakeholders, such as civic and neighborhood associations, and citizen advisory groups, can also play a key role. Elected officials and other stakeholders may also aid in formulating the issues to be examined, options, criteria for evaluation, and developing recommendations. Thus, defining and understanding the political context is essential for developing an interjurisdictional coordination strategy.
2. **Likely vehicles for interjurisdictional coordination.** It is difficult to think about interjurisdictional coordination without having an idea of the mechanisms that will be used in the coordination process. Most often, the chosen vehicle is a task force or committee, or a set of such groups. This group is composed of representatives of key agencies and, more often than not, includes non-agency representation from civic groups, advisory committees and elected officials. The task force or committee meets regularly throughout the project. It collects information, discusses the

implications of that information, develops and evaluates alternatives, and makes recommendations. In some cases, the group also implements the recommendations. The group thus becomes the mechanism for coordination among and involvement by different stakeholders.

Other mechanisms may be used in addition to or in place of a task force or committee (e.g., regularly scheduled community meetings, stakeholder meetings, meetings with elected officials). Agencies may develop formal agreements specifying how they are going to coordinate their activities. These agreements may address processes for coordination and the responsibilities of each agency. Other mechanisms that may be used include public hearings and workshops, web sites, newsletters, and presentations to elected boards.

Activity

Matrix A, on the following pages, provides an overview of issues/objectives of the projects in the case studies, the levels of government involved, project positions, political context and mechanisms used for coordination.

Review this matrix, along with the summaries of the cases provided at the end of this Guide Book. Then, complete a blank matrix that applies to your own project(s).

In a facilitated session, this may be done individually or in groups.

Discussion Questions

1. What is the political impetus for the project or process upon which you are embarking?
2. What roles have elected officials and other stakeholders played in these issues to date?
3. What are likely mechanisms for interjurisdictional coordination that have been discussed or are likely to be used?

Matrix A. Overview of the Case Studies

Context	AirTrain JFK	Route 202/35/6 Bear Mt. Pkwy Sustainable Development Study, Westchester County	Route 303 Sustainable Development Study, Rockland County	Staten Island Transportation Task Force	Sustainable East End Development Strategies (SEEDS)
Objectives	Rail access to JFK airport, broadened in the course of the project to include economic development in Jamaica, Queens around the LIRR/AirTrain JFK station.	Modification in land use policies to better manage transportation demand, and development of ways to improve traffic conditions.	To improve safety, deal with land use and zoning issues, and address aesthetic issues related to the Route 303 Corridor in Rockland County.	Address congestion problems, improve public transportation options for SI residents and better coordinate land use with transportation.	Develop traffic mitigation and land use strategies through improvements in transportation systems on the East End of Long Island.
Levels of government involved (local, state, federal)	Port Authority (bi-state agency) lead agency for the project. NYS Department of Transportation co-lead agency on parts of the project that used the Van Wyck right of way. Also involved were federal and city agencies.	Westchester County and NYMTC staff promoted the project; funding provided via NYMTC; Westchester County (Planning and Transportation) led the project, and hired and managed the consultant(s); and the Towns of Cortlandt and Yorktown, and the City of Peekskill played key roles in the effort.	NYMTC promoted the project and provided funding; Rockland County (Planning) was lead agency; and the Town of Orangetown was a vocal supporter and advocate.	Co-lead agencies were NYC Transportation and City Planning Departments. Also involved other City agencies, Mayor's office and state agencies.	East End Towns and Villages led the project, with involvement of federal, state and county transportation and planning agencies. NYMTC promoted the project and provided funding.

Context	AirTrain JFK	Route 202/35/6 Bear Mt. Pkwy Sustainable Development Study, Westchester County	Route 303 Sustainable Development Study, Rockland County	Staten Island Transportation Task Force	Sustainable East End Development Strategies (SEEDS)
<p>Positioning</p> <ul style="list-style-type: none"> • Previous analysis and planning/ level of expert understanding • Level of community understanding • Development of plans • Readiness of plans for implementation 	<p>20 previous studies had led to no action but highlighted for PANYNJ that key obstacles were lack of funding and community opposition arising from project impacts along the right of way (traffic, noise, dust, vibration, etc.).</p> <p>Due to previous studies of airport access, high level of understanding of needs, issues and range of solutions.</p> <p>Project needed approval from two federal agencies (FAA and FHWA).</p> <p>This major capital project required extensive staff time, expertise and institutional commitment from PANYNJ, NYSDOT, NYCDOT and MTA LIRR.</p>	<p>Discussion related to parts of the study (especially Rt 202) had been underway between the Towns for 10 years so there was a high level of understanding and shared concerns on that portion of the study. There was less of a shared vision and understanding at the outset related to Rts. 35 and 6, and the Bear Mountain Pkwy.</p> <p>There had also been a County pedestrian/bicycle Master Plan in place since 1999, and some of these features were incorporated into the Sustainable Development study. (The pedestrian/bicycle plan was completed in 2001.)</p> <p>Both Yorktown and Cortlandt had Town Master Plans and/or Comprehensive Plans.</p> <p>Yorktown has been involved in a number of multi-municipal projects over the years on various topics (not all transportation or land use).</p>	<p>In 1992 NYSDOT began to develop preliminary project plans to widen the roadway in an effort to address safety and congestion issues on Route 303. However, the Town and its community reacted negatively to the plan, believing that it was “out of scale” with the community needs and was being forced upon them. The result was an increasing degree of distrust of NYSDOT.</p> <p>On the other hand, the community fully understood and was concerned with the overall issues of safety and congestion in the corridor.</p>	<p>Individual agencies had a number of plans and proposals relating to traffic, congestion and transit on the Island. Good understanding of the traffic and transit issues and some actions could be identified and implemented quickly. Other steps required further study and identification of funding sources.</p> <p>Strong public understanding of the problem and need for a combination of traffic and transit initiatives.</p> <p>Many actions could be carried out by agencies without outside approval.</p>	<p>Need to link transportation and land use was clear to Town and Village planning staff and group composed of mayor or lead supervisor from each Town. Key citizens within the community were also ready to be educated and understand linkages and the need to deal with land use as it impacts transportation.</p> <p>Town Boards, however, tend to be focused on solving specific traffic congestion problems at specific intersections or roadway links.</p> <p>Changes to zoning need Town and Village approval. Transit enhancements need County and MTA adoption.</p>

Context	AirTrain JFK	Route 202/35/6 Bear Mt. Pkwy Sustainable Development Study, Westchester County	Route 303 Sustainable Development Study, Rockland County	Staten Island Transportation Task Force	Sustainable East End Development Strategies (SEEDS)
<p>Political context</p>	<p>Strong political and public support for airport access but disagreement over which airports should be served (JFK, LaGuardia or both) and acceptability of two-seat ride between the airport and Manhattan.</p> <p>Strong support from the Governor for the chosen alignment of JFK to Jamaica LIRR station, making it a top priority for the PA.</p> <p>Needed to address issues raised by city and borough elected officials.</p>	<p>Strong political support for overall project by the Towns of Yorktown and Cortlandt, but both disagreed on Route 6 alternatives. The City of Peekskill was solely interested in the use of the Bear Mountain Parkway by trucks during the daytime to relieve truck congestion on its Main Street (the other section of Rt 6).</p> <p>Both Towns had long-standing Supervisors (over 10 years each); Peekskill had changed Mayors three times during the same period.</p> <p>Complicating relations between Yorktown and Peekskill was a separate issue related to water treatment that occurred in the middle of the sustainable development project.</p>	<p>NYSDOT perceived negatively by the community as a result of the 1992 effort.</p> <p>Increasing interest in the area by big-box retail was of concern to residents.</p> <p>Study would take place within one Town with strong support by the Town Supervisor (who had participated with Yorktown in discussions with NYMTC about sustainable development pilots).</p> <p>Within the Town are three distinct neighborhoods with different features and issues: Tappan (largely residential); Orangeburg (residential and some commercial concentration, but primarily of services like banks and restaurants); and Bradley Pkwy/Greenbush Rd (some residential, but predominantly large commercial, corporate businesses).</p>	<p>Congestion was #1 issue on Staten Island. Broad recognition of relationship between population growth, increasing density and congestion.</p> <p>Borough President and the three Council members requested action from the City. Mayor Bloomberg announced the initiative in his 2006 State of the City address.</p> <p>Strong political and community support and involvement in the process.</p>	<p>Strong desire to address congestion issues and to avoid sprawl development and loss of open space and farmland. However, turnover on Town Boards and resistance to zoning changes designed to create dense village centers made it difficult to build broad consensus for land use changes that would provide density needed for effective transit service.</p>

Context	AirTrain JFK	Route 202/35/6 Bear Mt. Pkwy Sustainable Development Study, Westchester County	Route 303 Sustainable Development Study, Rockland County	Staten Island Transportation Task Force	Sustainable East End Development Strategies (SEEDS)
<p style="text-align: center;">Primary mechanisms used for interjurisdictional coordination</p>	<p>PANYNJ coordinated directly with NYSDOT, NYCDOT, MTA LIRR and federal agencies. PANYNJ and NYSDOT signed memorandum of understanding that committed both agencies to coordinate AirTrain JFK and NYSDOT highway work and later signed permit agreements that detailed how and on what timeline construction permits would be reviewed.</p>	<p>Initially, informal discussions between the two Towns. Once the project was formally begun, steering committees were used, but not always staffed by those who could make formal decisions.</p>	<p>Two formal groups were convened: a Technical Committee comprised of representatives from the agencies and municipalities; and a Citizens Advisory Committee. Meetings were held with these groups throughout the project.</p> <p>Other mechanisms included neighborhood meetings and “visioning charrettes,” along with the development of informational videos and a website specific to the project and the process by which it was taking place.</p>	<p>Staten Island Transportation Task Force co-chaired by NYC-DOT and DCP. Membership included Mayor’s Office of Community Assistance, city agencies (Parks, Police, Design and Construction), MTA NYCT, NYSDOT, Port Authority, congressman, borough president, council members, community boards and civic groups.</p> <p>Task Force met regularly.</p> <p>Agency staff also met to coordinate activities and prepare for Task Force presentations.</p> <p>60-day deadline by Mayor to report back.</p>	<p>Mayors and supervisors group formed East End Transportation Council (EETC) in 1996. EETC became the steering committee for the SEEDS study, which began in 2001. EETC is composed of representatives from the East End Towns and Villages, NYMTC, FHWA, NYSDOT, Suffolk County DPW Transit Division, Suffolk County Planning Dept., and MTA LIRR.</p> <p>EETC met monthly during the study.</p>

Context	AirTrain JFK	Route 202/35/6 Bear Mt. Pkwy Sustainable Development Study, Westchester County	Route 303 Sustainable Development Study, Rockland County	Staten Island Transportation Task Force	Sustainable East End Development Strategies (SEEDS)
Outcomes	<p>AirTrain JFK began construction in 1998 and was opened in 2003, connecting JFK to the Howard Beach subway station and Jamaica, Queens using the Van Wyck Expwy right of way. Travelers can connect in Jamaica to the LIRR and several subway lines.</p> <p>Work included improved circulation between AirTrain JFK, LIRR and subways; European-style LIRR train shed; LIRR command center; beautification along the Van Wyck Expressway; program for jazz in Queens on signage along the Van Wyck renovated Howard Beach station. Project also included foundation for a 10-story office building in Jamaica and led to plans for economic revitalization of the area.</p> <p>In 2006, 14% of all ground access trips to JFK used AirTrain JFK from Jamaica or Howard Beach.</p>	<p>Several proposed improvements incorporated into the Master Plans for both the Town of Cortlandt and the Town of Yorktown.</p> <p>Yorktown, Cortlandt, and Peekskill entered into an intermunicipal agreement to further coordinate and better position themselves to secure funding.</p> <p>Resolutions by the Town of Yorktown's Board to approve the 3 projects recommended for the TIP.</p> <p>Several recommendations placed on the TIP, including the Bear Mountain Pkwy extension, safety improvements and reconstruction of the interchange. Also includes reconstruction of portions of Routes 6/35/202.</p> <p>Unclear whether a truly "shared" vision has emerged, as opposed to an agreement on where each party benefits from several aspects of the recommendations.</p>	<p>The process was successful in that it brought together the key agencies and the municipality and fostered consensus on a plan for development over the next decade that would address transportation and land use within the context of the communities abutting Route 303.</p> <p>A final report was issued with short-term (2-3 years), medium-term (3-8 years), and long-term (beyond 8 years) recommendations in the areas of land use, transportation, and neighborhood area improvements.</p> <p>Several recommendations ("early-action projects") were already completed or in progress when the final report was issued in December 2002. Other short-term and medium-term projects are awaiting funding or formal designs for implementation.</p>	<p>Identified projects and key themes through "listening tour" and agency meetings.</p> <p>Developed 40+ short, medium and long-term initiatives to improve mobility and enhance public safety, including intersection-specific traffic improvements, left turn lanes and turn restrictions, pedestrian safety projects, bus service expansion, and park and ride lots, some of which were implemented immediately.</p>	<p>Developed regional vision of transportation and land use linkages among EETC members and key citizens who were involved in the process.</p> <p>Obtained short-term improvements such as bus shelter installations.</p> <p>Towns and Villages are in the process of signing onto Memorandum of Understanding that pledges them to coordinate regionally on transportation and land use issues, pursue transportation system improvements consistent with an intermodal hub system, and pursue cooperative human service, emergency service and emergency preparedness opportunities.</p> <p>EETC continues to act as coordinating forum for these purposes.</p>

5. Coordination-Related Success Factors

Goals of this section: Better understanding of the seven factors related to successful interjurisdictional coordination

Duration if used in a workshop format: Approximately 1 hour

The strategies and particular activities undertaken for interjurisdictional coordination are necessarily tailored to the specific needs and situational context of a given planning project. There is obviously no cook book for coordination. Nevertheless, the case studies conducted in the development of this Guide Book and our review of the literature on interjurisdictional coordination show that certain factors are always or virtually always present in projects that involve successful coordination. The discussion of success factors in this Guide Book is focused on planning projects involving transportation and land use, although the same factors have been identified as helpful for promoting interjurisdictional coordination in health care, human services, education and other fields.

Given the importance of interjurisdictional coordination to the effectiveness of planning projects that involve transportation and land use, it is critical at the outset of a project to think about and plan carefully to maximize the chances for successful interjurisdictional coordination. Thus, this section provides an initial review of seven key success factors and how they played out in the case studies. Through a series of exercises, you will then assess your projects in the context of these success factors. During the final segment of the Guide Book, you will identify specific strategies and activities that can be undertaken from a toolbox of proven strategies and activities in order to strengthen the interjurisdictional coordination component of your projects.

Matrix B. Key Success Factors for Interjurisdictional Coordination

Success factor	Why important
1. Political mandate/support	<ul style="list-style-type: none"> • Focuses agencies • Builds public support • Makes resources available
2. Commitment from key agencies	<ul style="list-style-type: none"> • Focuses agency staff • Makes resources available • Makes agency effective in interagency process
3. Clear need for action and value of project goals	<ul style="list-style-type: none"> • Builds agency and public perception of value of project and thus public support for finding solutions • Shows value of effort
4. Strong technical and analytical basis for planning and decision making	<ul style="list-style-type: none"> • Need strong understanding of the problems being addressed in order to identify effective solutions and build agency and public support
5. Collaborative process among agencies	<ul style="list-style-type: none"> • Builds agency support • Develops most effective solutions • Leverages strengths of agencies
6. Collaborative process with stakeholders	<ul style="list-style-type: none"> • Satisfy community expectations • Obtain buy-in which helps build support from public and elected officials
7. Momentum	<ul style="list-style-type: none"> • Obtain greater agency support when process is perceived to be productive • Likewise, obtain greater public support for productive process

Discussion Questions

1. Which items appear to be most obvious to you and why? Which, if any, had you not thought about?
2. As you review each set of factors, do they remind you of any projects with which you have been involved where such factors were either missing or were present? What were the outcomes of these projects?
3. Based on your experience, is there anything missing here? If so, characterize the factor and why it was important.

5.1. Success Factors and the Case Studies

Matrix C, on the following pages, provides an overview of how each of these seven success played out in each of the case studies developed for this Guide Book. All of the examples are useful, but you may find it more helpful to focus on those case studies that appear to be most relevant to your particular planning project. If you would like additional information and would like to see the information presented in a narrative form, see Section 6.

Discussion Questions

1. As you reviewed the case studies, what reminded you of your planning project?
2. Which challenges do you share? Which opportunities, perhaps?

In a facilitated session, you may choose to have different groups review different cases, or focus on different aspects of each of the cases.

Matrix C. Overview of How the Success Factors Played Out in Each Case Study

Success factor	Why important	HOW THE SUCCESS FACTORS PLAYED OUT				
		AirTrain JFK	Route 202/35/6 Bear Mt. Pkwy Sustainable Development Study, Westchester County	Route 303 Sustainable Development Study, Rockland County	Staten Island Transportation Task Force	Sustainable East End Development Strategies (SEEDS)
<p>Political mandate/ support</p>	<ul style="list-style-type: none"> • Focuses agencies • Builds public support • Makes resources available 	<ul style="list-style-type: none"> • Very strong mandate from Governor was critical to gaining cooperation from NYS and NYC agencies. • PANYNJ was instrumental in Congressional legislation that authorized use of passenger facility charge (PFC) for ground access projects, allocated PFC funding to the project, and used PANYNJ funds to move project forward while PFC was being approved. 	<ul style="list-style-type: none"> • The Town Supervisor in Yorktown was a long-time elected official who was very supportive of the effort and willing to work with others to move it ahead; the Town Supervisor in Cortlandt, also in office for a long period, was supportive as well. • Yorktown had originally conceived of a much smaller project, but by bringing support from Cortlandt and later Peekskill, they were able to find funding via NYMTC for a substantially larger initiative. 	<ul style="list-style-type: none"> • The Town Supervisor was very supportive of the effort. • NYMTC's interest brought NYMTC funding to the project. • There was broad support for addressing congestion and, especially, safety issues on the Corridor. 	<ul style="list-style-type: none"> • Very strong mandate from the Mayor led to good coordination among City agencies and good participation by State agencies and Port Authority. • Support from local elected officials who had asked the City for transportation improvements on Staten Island was critical to NYCDOT moving forward with controversial elements of the plan. 	<ul style="list-style-type: none"> • Support from mayors and supervisors group for examining land use and transportation. • Did not develop strong support from Town Boards who did not work as closely with the planners.

Success factor	Why important	HOW THE SUCCESS FACTORS PLAYED OUT				
		AirTrain JFK	Route 202/35/6 Bear Mt. Pkwy Sustainable Development Study, Westchester County	Route 303 Sustainable Development Study, Rockland County	Staten Island Transportation Task Force	Sustainable East End Development Strategies (SEEDS)
Commitment from key agencies	<ul style="list-style-type: none"> • Focuses staff • Makes resources available • Makes agency effective in interagency process 	<ul style="list-style-type: none"> • PANYNJ gained commitment from key agencies in part due to high profile of the project, and as importantly, because of direct benefits to the other agencies, e.g., LIRR gained new command center and a European-style train shed at Jamaica; NYSDOT saved money on Van Wyck work. 	<ul style="list-style-type: none"> • Westchester County Departments of Planning and Transportation were heavily involved as were NYMTC staff and NYSDOT. 	<ul style="list-style-type: none"> • Rockland County Department of Planning and NYSDOT were heavily involved, along with NYMTC. They brought funds and expertise. • Because NYSDOT was not the lead agency, it was easier to get beyond earlier negative interactions between the agency and municipality. 	<ul style="list-style-type: none"> • City gained commitment from key agencies due to Mayoral mandate and opportunity to benefit from synergies produced by the coordinated effort. • Some issues put off for future decision based on further study (e.g., North Shore land use and transportation study and MTA-provided bus service over the Bayonne Bridge). 	<ul style="list-style-type: none"> • Level of commitment varied; was greater from Town and Village representatives than from the Long Island Railroad, for example. • While all agencies and municipalities sent representatives to the meetings on a regular basis, not all of them had the authority to make decisions or formally contribute to the discussion.

Success factor	Why important	HOW THE SUCCESS FACTORS PLAYED OUT				
		AirTrain JFK	Route 202/35/6 Bear Mt. Pkwy Sustainable Development Study, Westchester County	Route 303 Sustainable Development Study, Rockland County	Staten Island Transportation Task Force	Sustainable East End Development Strategies (SEEDS)
Clear need for action and value of project goals	<ul style="list-style-type: none"> Builds agency and public perception of value and benefits of the project, leading to agency, public, and political support for finding solutions Shows value of effort 	<ul style="list-style-type: none"> Broad consensus on the need for an airport rail link due to chronic congestion and repeated incidents along the Van Wyck Expwy and Belt Pkwy, which made travel to JFK unpredictable. Failure of previous proposals made elected officials willing to support a two-seat ride between JFK and Manhattan. Connecting an air rail link project to the community's economic development goals prompted community support since they perceived a tangible benefit not seen in earlier plans. 	<ul style="list-style-type: none"> There had been broad consensus for a number of years on the need to deal with traffic in the Route 202/6/35 area, but no clear agreement on how to proceed. For example, while some felt the Bear Mt. Pkwy extension was still needed, others felt that Route 202 should be widened instead. 	<ul style="list-style-type: none"> Route 303 had been identified as having a particularly high rate of traffic accidents. Increasing concern was focused on traffic congestion, truck movements, and big-box retail development. 	<ul style="list-style-type: none"> Strong perception of the need for action by the public, stakeholder groups and local elected officials. Public recognized relationship between land use and demands on the road network 	<ul style="list-style-type: none"> Clear need to address congestion and sprawl development, but less clear to some Town Board members, who did not work as closely with the planners, was how land use can solve transportation problems.

Success factor	Why important	HOW THE SUCCESS FACTORS PLAYED OUT				
		AirTrain JFK	Route 202/35/6 Bear Mt. Pkwy Sustainable Development Study, Westchester County	Route 303 Sustainable Development Study, Rockland County	Staten Island Transportation Task Force	Sustainable East End Development Strategies (SEEDS)
<p>Strong technical and analytical basis for planning and decision making</p>	<p>• Need strong understanding of the problems being addressed in order to identify effective solutions and build agency and public support</p>	<p>• PANYNJ devoted extensive resources for both PANYNJ staff and staff at other agencies such as NYSDOT, to ensure technical expertise would be available for project.</p>	<p>• This study actually began to form the technical and analytical basis for planning and decision making.</p>	<p>• Earlier work had been done by NYSDOT on the corridor. Though it had entailed widening the roadway, which was not a community-preferred choice, some basis for understanding of the challenges was already in place.</p>	<p>• SITTF used previously completed studies of traffic and transit issues, thus being able to quickly identify problems and solutions.</p>	<p>• Consultant study provided strong technical and analytic support, including visual depictions of land use plans. However, given the geographic extent of the program, the solutions presented were very general.</p>

Success factor	Why important	HOW THE SUCCESS FACTORS PLAYED OUT				
		AirTrain JFK	Route 202/35/6 Bear Mt. Pkwy Sustainable Development Study, Westchester County	Route 303 Sustainable Development Study, Rockland County	Staten Island Transportation Task Force	Sustainable East End Development Strategies (SEEDS)
Collaborative process among agencies	<ul style="list-style-type: none"> • Builds agency support • Develops most effective solutions • Leverages strengths of agencies 	<ul style="list-style-type: none"> • Strong coordination among agencies due to being priority of Governor, PANYNJ funding and interagency agreements. • Close coordination between NYSDOT and the PANYNJ allowed NYSDOT to take advantage of lane closures for the PANYNJ work to do their own work on the Van Wyck Expy. In this way, the two construction projects could be done concurrently, sparing the community the inconvenience of having two projects with similar impacts follow each other. 	<ul style="list-style-type: none"> • Strong coordination among the Towns of Cortlandt and Yorktown, the Westchester County Departments of Planning and Transportation, NYMTC, and NYSDOT. • Coordination with Peekskill was hampered to some degree by multiple mayoral changes. 	<ul style="list-style-type: none"> • With the County lead, NYSDOT was now able to work effectively with the municipality. • Strong agency coordination via the Technical Committee allowed sharing of knowledge, concerns, and experience. • However, though the planners were involved, the engineers directly involved in permitting were not, resulting in permits being granted that run counter to the goals. 	<ul style="list-style-type: none"> • Strong coordination of projects through the task force, but individual projects were largely under the purview of each agency and did not need extensive coordination (e.g., NYCT increasing service on a bus route does not require action by other agencies, although extending a bus route requires NYCDOT to establish bus stops). 	<ul style="list-style-type: none"> • Strong collaborative process at EETC, which developed a strong sense of itself as a group and provided an attractive forum to county and state agencies. • While technical staff at the agencies and in the municipalities talked, it was not always clear how well management was listening.

Success factor	Why important	HOW THE SUCCESS FACTORS PLAYED OUT				
		AirTrain JFK	Route 202/35/6 Bear Mt. Pkwy Sustainable Development Study, Westchester County	Route 303 Sustainable Development Study, Rockland County	Staten Island Transportation Task Force	Sustainable East End Development Strategies (SEEDS)
Collaborative process with stakeholders	<ul style="list-style-type: none"> • Satisfy community expectations • Obtain buy-in which helps build support from public and elected officials 	<ul style="list-style-type: none"> • PANYNJ devoted extensive resources to community outreach and communication and providing local benefits, all based on extensive process of community outreach and listening. 	<ul style="list-style-type: none"> • Extensive time and resources were devoted to community outreach and to coordination among the principal agencies and municipalities' boards. 	<ul style="list-style-type: none"> • Extensive energies were devoted to meeting with the Citizens Action Committee and also with the three distinct neighborhood areas. • In the final outcomes, specific improvements were identified for each neighborhood area. This helped to garner support since people felt their specific needs were being addressed. 	<ul style="list-style-type: none"> • Highly public process through SITTF brought in broad-based group of stakeholders and enlisted support from problem identification to implementation phases. 	<ul style="list-style-type: none"> • Strong public outreach and involvement from a group of 20-30 community activists, particularly before a subgroup became focused on improved rail service.

Success factor	Why important	HOW THE SUCCESS FACTORS PLAYED OUT				
		AirTrain JFK	Route 202/35/6 Bear Mt. Pkwy Sustainable Development Study, Westchester County	Route 303 Sustainable Development Study, Rockland County	Staten Island Transportation Task Force	Sustainable East End Development Strategies (SEEDS)
Momentum	<ul style="list-style-type: none"> • Obtain greater agency support when process is perceived to be productive • Likewise, obtain greater public support for productive process 	<ul style="list-style-type: none"> • Developed strong momentum due to support from Governor and PA's commitment to the project. • Able to show progress and responsiveness to stakeholders. 	<ul style="list-style-type: none"> • Developed stronger ties across the three municipalities. • Some difficulties in perception of time lines for action – municipalities would like to see short-term goals within 3-6 months; NYSDOT time lines even on short-term plans tend to be longer than this. 	<ul style="list-style-type: none"> • NYSDOT implemented several “early-action projects” within 8 months to 2 years of the study's completion (this time period still considered relatively long by the local municipality). • An Implementation Committee meets on a regular (roughly quarterly) basis to see that projects continue to move forward. 	<ul style="list-style-type: none"> • Gained momentum from inclusion in Mayor's State of the City speech, support from elected officials, and short-term successes. 	<ul style="list-style-type: none"> • Project start was delayed by 9/11 • Once the project work began, strong sense of moving forward with study but difficult to keep Town Boards interested.

6. Project Assessment

Goals of this section: Strategic assessment of the specific project(s) with which the participants are involved

Duration if used in a workshop format: Approximately 2 hours

The final segment of this Guide Book focuses specifically on the planning project(s) with which you are involved.

6.1. Scan of the Political and Interjurisdictional Context

The questions are provided in the accompanying presentation materials, and should be presented here either on a screen or on a board, if the facilitator prefers to write them out.

The first step in the assessment is to define in more detail the political and interjurisdictional context within which the planning project is situated. The objective is for you to be able to describe key features of this context. This is not an evaluative task; before one begins to evaluate needs and develop strategies, it is useful to agree on the “current reality.”

To do this, the following set of questions provides a useful framework:

1. What are the major issues, needs and problems to be addressed?
2. What is the goal of the planning project or process?
3. What review and decision-making processes will be involved? Include formal and informal reviews, official decisions, provision of funding.
4. Who are the stakeholders, including agencies, governmental bodies (e.g., city council or equivalent, appointed boards), private sector and non-profit organizations, and identifiable segments of the general public?
5. What are the community expectations for the agencies involved in this planning project? (“Community expectations” means the range of issues that the community expects will be addressed in the course of this project or process and level and type of attention the community expects from the agencies.)
6. What staff time is committed and readily available for this project?
7. What financial resources are committed and readily available?
8. Among agencies that will be involved in the project, where are relationships strong? Weak? Positive, negative, neutral?
9. Among stakeholders that will be involved in the project, where are relationships strong? Weak? Positive, negative, neutral?

Activity

Write down answers to each of the questions above.

In a facilitated session with participants who are, or will be, working on the same project, answers should be written on flip charts, and reviewed as a group. Guide the discussion toward a consensus on each point. Ask participants to hold for now on any evaluative statements about what is a problem, opportunity, etc.

In a facilitated session with participants who are working on different projects, or considering a range of projects in an earlier planning phase, draw out examples of each but do not take the time to be comprehensive to all participants.

6.2. Assess the Planning Project(s) Against the Success Factors

After describing in more detail the context within which the planning project(s) is situated, the next step is to determine the most critical factors that affect interjurisdictional coordination for this project in preparation for developing a coordination strategy. At this stage, it is not as important to be comprehensive or to make definitive judgments about the prospects for each success factor; instead, it is important to review them all and determine what exists already and what is missing.

Matrix D will be the primary discussion tool for this section. Each of the success factors in Matrix D is listed in the left-most column, along with a column denoting why each is important, and the questions to consider both in terms of assets and needs. Assets are those items that projects have “going for them,” and needs are those items that the project is lacking, but which are necessary to ensure that the success factor is a component of their project.

This process, by its nature, requires the participants to make best guesses about how their agency or municipality, and other agencies and municipalities, as well as stakeholders, view the planning project. It also requires the participants to guess how they and the other stakeholders are likely to respond as the project moves forward. As it moves forward, it may be valuable to revisit what is developed during this stage of the assessment since, as additional information is gathered and new issues arise as the project progresses, the specifics will likely change over time.

Activity

(A) Using the two columns to the right of Matrix D, list the assets and needs that you believe will influence achievement of the seven success factors for your specific project(s).

(B) Once you have completed the grid, review it again and place a star next to both the assets and needs that, in your view, will most affect the overall success of the project.

For a facilitated session, activities (A) and (B) may be done individually or as groups. Either way, a guided discussion should then take place regarding the assets and needs.

Notes to the Facilitator:

1. Review the assets and needs questions for at least the first few success factors before having participants begin the activity. Ask if there are any questions and if the participants fully understand the assignment. As necessary, guide participants by discussing examples in the context of their own project(s) in each success factor. Then, let them do more thinking and writing on their own before reopening the discussion.

2. This exercise may seem somewhat abstracted the way it is presented in the grid, since the workshop is designed to address a range of projects. If participants are having difficulty approaching the grid analytically, it may be productive for them to think about needs as “worries” – what most concerns them about the project as it relates to interjurisdictional coordination; and what they are glad about (assets).

3. Participants may also feel that they are being required to speculate more than they are comfortable. Yet, as they work through the matrix, they will likely find they have a good handle on assets and needs from their previous experience and general knowledge base. Remind them that their answers are for their own use and they will not have to share anything they prefer not to share.

Matrix D. Assessment of Assets and Needs for Your Project

Success factor	Why important	Questions to consider	Assets	Needs
<p>Political mandate/ support</p>	<ul style="list-style-type: none"> • Focuses agencies • Builds public support • Makes resources available 	<ul style="list-style-type: none"> • Assets: Statements, commitments, positions taken by elected officials and stakeholders; processes that are currently built into project plans, reservoirs of support that you may be able to tap, benefits from the project or process that will attract support. • Needs: Think about elected officials and stakeholders whose support is likely to be needed for the project but currently appears uncertain or unlikely; potential disadvantages of the project that may generate opposition or neutrality, etc. 		
<p>Commitment from key agencies</p>	<ul style="list-style-type: none"> • Focuses staff • Makes resources available • Makes agency effective in interagency process 	<ul style="list-style-type: none"> • Assets: What agencies are committed to the project, will offer good technical resources to the project or process, will involve key decision-makers directly in the task force or other process that leads the project, and are committed to finding solutions that other agencies and stakeholders can embrace? • Needs: Conversely, where do you see weaknesses in these areas among the agencies that will or should be participants? 		

Success factor	Why important	Questions to consider	Assets	Needs
<p>Clear need for action and value of project goals</p>	<ul style="list-style-type: none"> • Builds agency and public perception of value of project and thus public support for finding solutions • Shows value of effort 	<ul style="list-style-type: none"> • Assets: What problems, needs or opportunities are addressed by the project or process? Which of these are clear to agency staff and top officials? Which are clear to elected officials? Which are clear to community groups and other stakeholders? • Needs: What is not well defined, not clear, not understood by various groups. 		
<p>Strong technical and analytical basis for planning and decision making</p>	<ul style="list-style-type: none"> • Need strong understanding of the problems being addressed in order to identify effective solutions and build agency and public support 	<ul style="list-style-type: none"> • Assets: What is “known” from a technical and planning perspective? Think about this not only from the perspective of what the professional staff need to proceed through the analysis and planning of the project or process, but also what the elected officials, the community and other stakeholders will want to know and will want to have taken into account. What questions are you likely to be asked that you will need to be able to answer in order to build public understanding, public support and to develop an effective work product? • Needs: What is not known or only partially known from these perspectives. 		

Success factor	Why important	Questions to consider	Assets	Needs
Collaborative process among agencies	<ul style="list-style-type: none"> • Builds agency support • Develops most effective solutions • Leverages strengths of agencies 	<ul style="list-style-type: none"> • Assets: What are the incentives and benefits to agencies involved in this project or process to be involved and committed? What elements of the project or process as currently planned will foster effective agency participation? • Needs: What may hinder effective agency participation – factors specific to individual agencies and/or to collaboration on the project or process? What agencies (your own or others) may tend to migrate away from effective participation and collaboration, and why? 		

Success factor	Why important	Questions to consider	Assets	Needs
Collaborative process with stakeholders	<ul style="list-style-type: none"> • Satisfy community expectations • Obtain buy-in which helps build support from public and elected officials 	<ul style="list-style-type: none"> • Assets: What are the incentives and benefits to community groups and other stakeholders to be involved and committed to effective participation and ultimately support for this project or process? What elements of the project or process as currently planned will foster a collaborative process with stakeholders? • Needs: What may hinder effective stakeholder participation – factors specific to individual stakeholders and/or to collaboration on the project or process? What stakeholder(s) may tend to migrate away from effective participation and collaboration, and why? 		
Momentum	<ul style="list-style-type: none"> • Obtain greater agency support when process is perceived to be productive • Likewise, obtain greater public support for productive process 	<ul style="list-style-type: none"> • Assets: What will give this project or process a perception of importance and perception that it is in the best interests of agencies and stakeholders to participate in the project or process? Examples include funding commitments, political support, project/process leadership, achievement of short-term successes. • Needs: What may undercut a perception of importance and belief among agencies and stakeholders that they should “jump on board the train before it leaves.” 		

6.3. Strategy Development

Once you have identified the assets and needs that will most affect the overall success of the planning project, the participants can proceed to developing strategies and specific actions that will enhance interjurisdictional coordination related to the project, with the final goal of maximizing the overall effectiveness and success of the project. Matrix E is the primary discussion tool for this final segment of the Guide Book.

Matrix E lists each success factor, along with related strategies and specific actions to carry out the strategies. The actions include examples from the case studies.

Obviously there are many more strategies and “toolbox” actions than any one project will utilize. This matrix is, thus, a resource to aid participants in developing their own strategies and action plans that will maximize the effectiveness of interjurisdictional coordination in their projects. Participants should focus on strategies and actions that:

- Leverage the assets identified in Matrix D; and,
- Address the needs identified in Matrix D.

Activity

Participants should begin by reading through Matrix E and circling strategies and actions that might be effective in addressing the assets and needs previously identified. Then return through the matrix and, on a separate piece of paper, compile a list of strategies and specific actions for each of the success factors.

Notes to the Instructor:

Provide time to complete this exercise and then lead participants through a discussion.

If all participants are embarking on the same project, use the ensuing discussion to formulate agreed-upon strategies and an action plan for the project.

If there are separate projects involved, then participants should compile their own plans and report back on major elements.

Matrix E. Success Factor Strategies, Toolbox and Examples

Success factor	Strategies	Toolbox and Examples
Political mandate/ support	<ul style="list-style-type: none"> Maintain dialogue throughout process to inform, educate and get feedback as to officials' concerns and issues 	<ul style="list-style-type: none"> Regular reporting back of status and progress – e.g., agencies reported progress at regular meetings of SITTF that were attended by elected officials and local newspaper. Briefings on findings and alternatives – e.g., Visioning charrettes were held in the Rt. 303 Sustainable Development study to help the community and officials better understand options and what they might look like if implemented in the corridor. “Show” rather than “tell” key officials – e.g., PANYNJ took delegation to Vancouver to experience low noise levels of elevated AGT to allay concerns about AirTrain JFK noise impacts on the community.
	<ul style="list-style-type: none"> Involve stakeholders and potential stakeholders who are likely to be supportive Draw on supporters from among stakeholders and advocacy groups 	<ul style="list-style-type: none"> Task force includes key local groups – e.g., SITTF included members of community boards, chamber of commerce and economic development corporation, who saw borough-wide benefits from controversial program elements. Task force includes influential citizens – e.g., SEEDS' Stakeholders Committee was composed of private citizens who were active in the community and influential with Town Boards, and who provided a public voice representing local residents, business owners and elected officials. Obtain support from other organizations – e.g., PANYNJ found support for the proposed AirTrain JFK once it connected the project to broader community goals for economic development.
	<ul style="list-style-type: none"> Obtain public commitment from elected officials 	<ul style="list-style-type: none"> Public statements of support from elected officials – e.g., Staten Island elected officials voiced support for SITTF goals at the outset of the task force and asked agencies to recommend an effective program even if elements were controversial. Council resolution of commitment at start of process – e.g., SEEDS process was endorsed by council of mayors and supervisors for the 5 East End Towns.
	<ul style="list-style-type: none"> Create a comprehensive program in which overall benefits for stakeholders outweigh elements that they do not support. 	<ul style="list-style-type: none"> Create comprehensive program of elements – e.g., support from elected officials and other stakeholders helped overcome opposition from some community boards to parts of SITTF program.
	<ul style="list-style-type: none"> Build on previous efforts 	<ul style="list-style-type: none"> Act on the lessons of those failures – e.g., PANYNJ focused on obtaining funding and building community support for AirTrain JFK because these were the primary reasons previous plans had foundered. Institutionalize the process when possible – e.g., the Rt. 202/35/6/Bear Mt. Pkwy Sustainable Development Study resulted in an Intermunicipal Agreement that can help continue a process for and commitment to coordination among Yorktown, Cortlandt, and Peekskill beyond the current Supervisors and Mayor.
Commitment from key agencies	<ul style="list-style-type: none"> Ensure that all relevant agencies are involved in task force or committee 	<ul style="list-style-type: none"> Identify agency stakeholders – many examples. Enlist high-level commitment. Involve agencies at start of process – e.g., the Rt. 303 and 202/35/6/Bear Mt. Pkwy involved all the key agencies and municipalities from the beginning of the initiatives. Obtain formal commitments for coordination – e.g., the AirTrain JFK EIS provided that the PANYNJ would coordinate work on the Van Wyck with NYSDOT in order to consolidate the work, thus making formal the Port Authority's commitment to coordination. Continued involvement of top elected officials – e.g., representative of mayor's office attended SITTF meetings, which helped keep all agencies involved in the process.

Success factor	Strategies	Toolbox and Examples
Commitment from key agencies (continued)	<ul style="list-style-type: none"> • Ensure that key people who can make decisions are directly involved in interjurisdictional coordination 	<ul style="list-style-type: none"> • Assign staff with technical expertise and decision making to interjurisdictional duties – e.g., PANYNJ program managers worked directly with other agencies and the public and could make decisions that they had the authority to implement. • Make sure that key staff who have decision making responsibilities are not inadvertently excluded – e.g., in Rockland County, the planners were involved, but the permitting engineers were not; as a result, permits have been granted for curb cuts that run counter to the agreed upon goals and objectives. • Ensure that at key meetings (especially the first one which demonstrates commitment, and at sessions where decisions must be made) are attended by the principals charged with decision making – e.g., at some of the interagency meetings with Rt. 202/35/6/Bear Mt. Pkwy Sustainability Study, not all the City and Town Supervisors and Mayor attended which left open to question whether key components of the discussion would truly be supported; similarly at some of the SEEDS meetings, representatives from the agencies and municipalities (notably MTA LIRR) did not have the authority to make decisions.
	<ul style="list-style-type: none"> • Assign key person to intra-agency coordination 	<ul style="list-style-type: none"> • Designate senior level person as internal coordinator – e.g., NYCDOT’s SI borough commissioner focused on getting different parts of NYCDOT to work together on SITTF issues
	<ul style="list-style-type: none"> • Assign key point of contact for external (non-agency) stakeholders 	<ul style="list-style-type: none"> • Designate a formal Public Relations/Public Information person who is directly involved in the process and can field questions from non-agency stakeholders – e.g., the PANYNJ identified a specific person to be involved with community outreach.
	<ul style="list-style-type: none"> • Flexibility in adapting standard practices to the needs of this project 	<ul style="list-style-type: none"> • Substitute alternatives that achieve the same goal – e.g., NYSDOT had always had a direct contractual relationship with construction contractors prior to AirTrain JFK, but in using the PANYNJ contractor, it exercised control through signing off on plans and permit approvals. • Be flexible on timing – e.g., NYSDOT and MTA LIRR advanced capital projects for Jamaica Station and the Van Wyck Expressway to consolidate those projects with AirTrain JFK construction; NYSDOT was able to move relatively quickly on the “early-action projects,” identified for Route 303.
Clear need for action and value of project goals	<ul style="list-style-type: none"> • Highlight the problem 	<ul style="list-style-type: none"> • Conduct inventory showing scope of problem. • Use media – e.g., Routes 303 and 202/35/6/Bear Mt. Pkwy Sustainability Studies both had a number of media articles related to the work being done, which helped reach a wide audience. • Create a website – e.g., Routes 303 and 202/35/6/Bear Mt. Pkwy Sustainability Studies both created websites devoted entirely to the projects so agencies, stakeholders, and others could easily access information. • Involve non-governmental groups in initial outreach (but be careful of special interests)
	<ul style="list-style-type: none"> • Formulate project in a way that addresses visible problems 	<ul style="list-style-type: none"> • Conduct public forums before project scope is defined – e.g., SITTF held “listening sessions” in the community to identify transportation problems.
	<ul style="list-style-type: none"> • Formulate project to address key stakeholder interests 	<ul style="list-style-type: none"> • Identify specific community or neighborhood concerns – e.g., Route 303 study identified key differences in three communities along Route 303 and developed specific improvements that were tailored to their concerns but still fit within the broader land use and transportation goals; Air Train JFK found support once linked to community economic development goals.
	<ul style="list-style-type: none"> • Package series of location-specific problems as an area-wide problem 	<ul style="list-style-type: none"> • Create comprehensive program of elements – e.g., support from elected officials and other stakeholders helped overcome opposition from some community boards to parts of SITTF program; What began as interest in Routes 6 and 202 was expanded to Route 35 and the Bear Mt. Pkwy so that all three municipalities in the Sustainable Development Study saw some benefit in participating.

Success factor	Strategies	Toolbox and Examples
Strong technical and analytical basis for planning and decision making	• Form internal group dedicated to the project	• Create unit that is dedicated to the project – e.g., the PANYNJ created the Priority Capital Project group for AirTrain JFK planning and construction.
	• Assign/hire staff with the right combination of skills for project	• Recognize full range of professional skills needed to get the job done – e.g., PANYNJ outreach team included staff with political skills, planning skills and a person respected by the local community.
	• Harvest lessons from previous work on the same issues	• Review literature – e.g., PANYNJ staff reviewed published articles on similar projects to compile a list of best practices that could be applied to AirTrain JFK community outreach.
	• Hire experienced consultant(s) and ensure that their efforts are specific and coordinated	• Numerous projects hired consultant(s) to bring specialized expertise and dedicated staff time to their project. However, in some cases, there were concerns that the information they brought to visioning sessions was not specific enough to the particular case at hand. This made it more difficult to build support. In other cases, where more than one consultant was used, local municipalities found themselves in confusing situations with repeated contacts made by different consultants about the same project.
Collaborative process among agencies	• Attract participation by creating group as useful forum	• Regular meetings of task force, coordinating group – e.g., this was done in both the Rt. 303 and Rt. 202/35/6/Bear Mt. Sustainability studies; part of EETC meetings were used to conduct business on “day to day” issues, creating a forum where county and state agencies could meet with all the localities together. • Develop synergies – e.g., NYSDOT obtained cooperation it needed from NYCDOT, NYCPD and MTA to carry through with highway-related projects (park and ride lot, management of local and express traffic on S.I. Expressway) which NYSDOT wanted to implement. • Improve information flow
	• Keep the heat on	• Set a deadline – e.g., Mayor asked SITTF to report back with projects in 60 days. • Regular reporting back of status and progress – e.g., quarterly meetings of SITTF helped keep agencies focused and on schedule. • Identify short-term actions – e.g., The Town Supervisor on the Rt. 303 Study pressed for the “early-action projects.”
	• Share credit	• Share credit between agencies – e.g., NYC Transit got visibility for bus and SI railroad improvements through SITTF process.
	• Identify complementary skills and resources	• Share the work load and financial components when appropriate – see box below for examples.
	• Identify direct benefits to participating agencies	• Achieve dollar savings – e.g., NYSDOT costs for highway improvements and bridge project on Van Wyck Expressway were reduced because they used PANYNJ maintenance of traffic plan put in place for AirTrain JFK construction. • Provide political cover – e.g., NYSDOT needed to devote less time to community outreach on AirTrain JFK and SITTF projects because PANYNJ and NYC agencies took lead role on community outreach.
	• Build on existing relationships	• SEEDS built on existing EETC group.
Collaborative	• Incorporate previously separate plans of participating agencies	• Broaden scope of project – e.g., office space and LIRR control center were included in AirTrain JFK project; Rt. 202/35/6/Bear Mt. Pkwy was expanded to include all of these routes and the Parkway improvements and extension.

Success factor	Strategies	Toolbox and Examples
<p>process among agencies</p> <p>(continued)</p>	<ul style="list-style-type: none"> • Build group process and group understanding of issues and needs. 	<ul style="list-style-type: none"> • Form interagency team – e.g., NYSDOT had full-time project manager on AirTrain JFK project who, through close day-to-day working on project, saw himself as part of the AirTrain JFK group. • Increase understanding of impact of agency actions on operations of other agencies – e.g., NYCDOT better understood role of bus service on street network and benefits from better moving traffic on major corridors during SITTF process; City Planning better understood impacts of development on transportation. • Change meeting place – e.g., EETC met on Shelter Island (at times) to help all members see the natural and peaceful environment that the project aimed to preserve and provide a retreat atmosphere for meetings. • Have frequent on-site interaction – e.g., AirTrain JFK construction managers from PANYNJ and NYSDOT met daily at the work site and so interacted first-hand with actual conditions in front of them.
	<ul style="list-style-type: none"> • Formalize relationships and processes 	<ul style="list-style-type: none"> • Use approval processes to ensure collaboration – e.g., NYSDOT issued permits valid for short periods for AirTrain JFK work along the Van Wyck Expressway. • Formally define the obligations of parties – e.g., detailed expectations for NYSDOT and PANYNJ coordination were written into an interagency agreement between these agencies.
	<ul style="list-style-type: none"> • Make project advancement and/or funding contingent on coordination 	<ul style="list-style-type: none"> • Use funding as lever – e.g., NYSDOT regional director made state transportation funding contingent on EETC reaching consensus on spending priorities. • Use permit approvals as lever – e.g., NYSDOT used construction permit approval process to ensure NYSDOT issues were addressed during AirTrain JFK construction.
	<ul style="list-style-type: none"> • Commit financial resources as necessary to enable interagency coordination 	<ul style="list-style-type: none"> • Fund project staff in other agencies – e.g., PANYNJ funded NYSDOT project manager for 3-4 years, enabling him to devote full-time attention to AirTrain JFK project.
	<ul style="list-style-type: none"> • Spin off related coordinating mechanisms 	<ul style="list-style-type: none"> • Create ongoing forum for agency coordination – e.g., NYC Departments of City Planning, Transportation, Buildings, Parks and Fire Departments now meet biweekly to discuss development proposals, a process that allows agencies to understand each others' perspectives and identify issues upfront.
<p>Collaborative process with stakeholders</p>	<ul style="list-style-type: none"> • Create multitude of ways for public participation • Implement program of proactive communication 	<ul style="list-style-type: none"> • Website created for SEEDS project posted monthly updates that were available to all participants and provided “chat room” where people could voice comments, ask questions and get answers. Similar websites were created for the Rt. 303 and Rt. 202/35/6/Bear Mt. Pkwy Sustainable Development studies. • Establish local presence – e.g., PANYNJ set up office in Jamaica for local residents to see AirTrain JFK model, ask questions, get info, etc. • Hold small meetings with residents – e.g., PANYNJ held over 30 meetings with residents in 3-block areas at a time to determine their concerns; small groups composed of neighbors was a comfortable environment for residents, including many seniors living in the area, to speak their concerns. Results served as basis for outreach plan; SITTF met with community board transportation committees to identify problem locations. • Conduct survey – e.g., SI Advance conducted mail-back survey of SI residents about transportation problems at start of SITTF process. • Establish a central point of contact – e.g., PANYNJ had a specific person in charge of community outreach.
	<ul style="list-style-type: none"> • Let each jurisdiction take its turn making decisions 	<ul style="list-style-type: none"> • Use formal approval processes – e.g., NYSDOT and NYCDOT issued a series of permits during AirTrain JFK construction.

Success factor	Strategies	Toolbox and Examples
	<ul style="list-style-type: none"> Understand and respond to community expectations 	<ul style="list-style-type: none"> Go beyond what the agency is formally responsible for – e.g., AirTrain JFK project included tow trucks stationed nearby to clear breakdowns on Van Wyck during construction, highway beautification plantings, and jazz heritage programs that acknowledges Queens as gateway to NYC.
Momentum	<ul style="list-style-type: none"> Achieve and build on short-term successes 	<ul style="list-style-type: none"> Identify and solve problems with noncontroversial solution that requires coordination. Show success – e.g., SITTF built credibility and goodwill with stakeholders by implementing short-term measures. Fit project achievements to election cycle – e.g., To the degree that priority or short-term projects can happen within the two-year municipal cycles, additional support can be garnered. This was done in the case of the Rt. 303 project, where the “early-action projects” were put in place within 8 months to two years. Celebrate short-term successes – e.g., The Town Supervisor in the Rt. 303 project pressed for several projects to be completed or at least begun even before the study was finalized.
	<ul style="list-style-type: none"> Enrich the project financially 	<ul style="list-style-type: none"> Seek out other sources of funding – With the Rt. 202/35/6/Bear Mt. Pkwy, the Town of Yorktown initially envisioned a much smaller project, but after approaching NYMTC, found that the agency would be able to help it find a substantially larger funding pool.
	<ul style="list-style-type: none"> Keep the project moving 	<ul style="list-style-type: none"> Take financial risk – e.g., PANYNJ funded AirTrain JFK studies while the passenger facility charge was in the approval process but before PFC funds were committed. Institute an Implementation Committee to monitor progress – e.g., the Route 303 project established such a committee, which meets quarterly.
	<ul style="list-style-type: none"> Show sincerity of effort and reasonableness of rate of progress 	<ul style="list-style-type: none"> Open the process – e.g., SITTF met in open quarterly meetings, in which stakeholders could see seriousness of agency purpose and understand better the amount of work required to move forward on specific measures.

7. Conclusions (in a Workshop Setting)

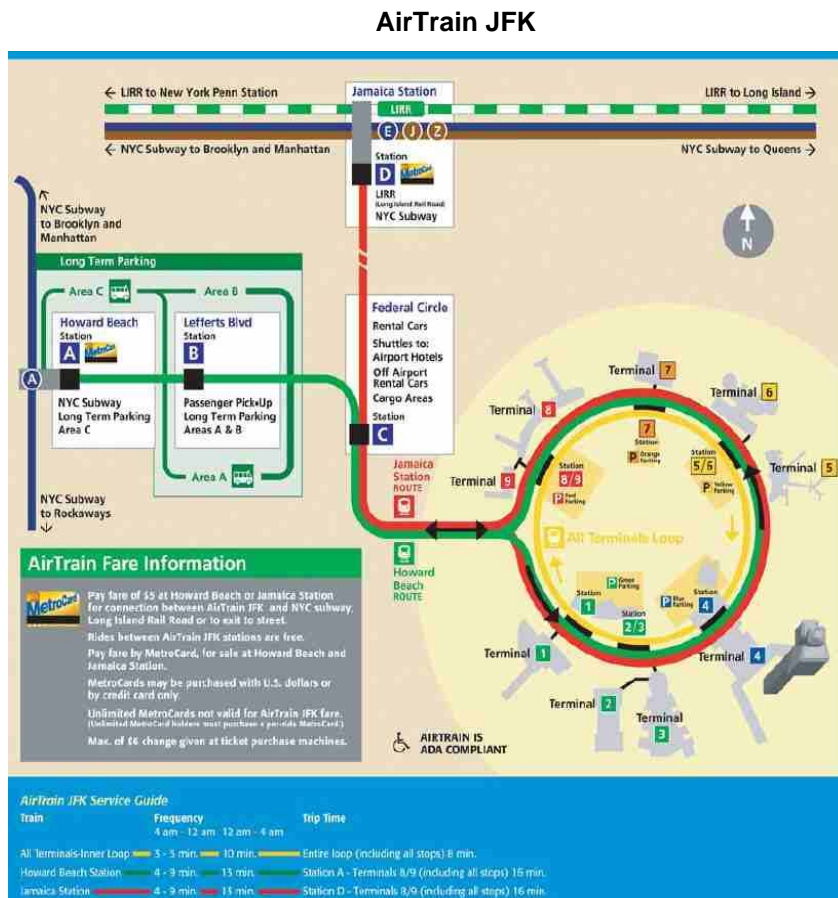
Because planning projects differ in key characteristics and because interjurisdictional coordination on transportation and land use can present significant challenges, participants should be asked for feedback. At the end of the session, participants should be asked about the value of the workshop, and whether they have any suggestions for improving the workshop. They should also be given information for follow up so that as they revisit the information from Matrices D and E during their project(s), they can make later suggestions for additions and/or modifications, and perhaps add new cases as appropriate.

8. Case Studies

The following pages provide detailed summaries in a narrative form of the cases studied during the work that resulted in the production of this Guide Book.

8.1. Air Train JFK

After more than three decades and 20 separate studies aiming at providing transit access to John F. Kennedy International Airport (JFK) as a means for helping address the congested conditions on the Van Wyck Expressway, AirTrain JFK was officially opened for service on December 17, 2003. Built, managed, and maintained by the Port Authority of New York & New Jersey (PANYNJ), AirTrain JFK is an 8.1-mile light rail airport access system that links JFK to Jamaica station (where customers can transfer to or from the E, J, and Z subway lines and the Metropolitan Transportation Authority Long Island Rail Road (LIRR)), and the Howard Beach subway station (where passengers can connect to the A line and several buses).



From: AirTrain JFK at a Glance, 0H<http://www.panynj.gov/airtrain/> (accessed 8/27/07)

Station serves more than 255,000 commuters daily as they move between JFK, three subway lines, 31 bus lines, and the LIRR.²⁴ Begun in 2001, after initial construction began on AirTrain JFK, the Jamaica station renovation project became the first in a series of projects aimed at redeveloping the area and creating better access to Jamaica Station, to AirTrain JFK, and the areas immediately adjacent.

Summary of the Process

Given the tremendous numbers of vehicles flowing along the roadways to and from the three major airports within the New York metropolitan region (La Guardia, Newark Liberty International, and JFK), the need for rapid transit links to these facilities has long been recognized. For over 30 years, proposals had been made and studies conducted on ways to address this challenge, but nothing had moved forward.

²⁴ Greater Jamaica Development Corporation, "Infrastructure," <http://www.jfkcorporatesquare.com/ops/infrast.html> (accessed 8/27/07).

The obstacles ranged from funding issues, to a lengthy regulatory process, to opposition from various stakeholders. For example, in 1992 the Port Authority proposed the construction of an automated guideway transit (AGT) system that would integrate various modes of travel, linking JFK to La Guardia and the Manhattan end of the Queensboro Bridge. The funding for the project would be derived from a Passenger Facility Charge (PFC), in essence a fee that would be levied by airport operators on enplaning passengers. However, the Port Authority eventually dismissed its plans as the estimated costs, which were initially forecasted at \$1.5 billion, soon rose to more than \$5 billion.²⁵

Three years later, in 1995, the Port Authority proposed a more modest plan that still incorporated the funding mechanism of the PFC, and connected the existing rail lines with JFK. The Record of Decision on the Final Environmental Impact Statement was issued in July 1997, and approval for the implementation of the PFC was given by the Federal Aviation Administration in 1998. To coordinate the work that would be done on the Van Wyck Expressway, the Port Authority and the New York State Department of Transportation (NYSDOT) signed a memorandum of understanding that committed both agencies to this coordination, later signing more specific agreements detailing how and on what timeline construction permits would be reviewed. Helping in the political arena was Governor Pataki's strong support for the chosen alignment linking JFK to the Jamaica LIRR station. In June 1999, the project was given a much-needed local boost when the New York City Council voted to proceed by 47 to 3.²⁶

Coordination with the region's transit agencies was also essential to the successful implementation of the project. Because construction for the AirTrain would take place adjacent to and over existing MTA tracks and platforms, the Port Authority had to coordinate closely with MTA New York City Transit (NYCT) and the LIRR. Coordination with the transit agencies was also necessary to create similar fare systems so that passengers could use one card to access both the subway and AirTrain JFK.

Because a significant portion of the construction would take place on and near an active roadway and adjacent residences, the Port Authority also coordinated closely on the sequencing of construction with the New York City Department of Transportation (NYCDOT) as well as with NYSDOT. Among the challenges facing the construction of AirTrain JFK were interest group opposition and community concerns. Indeed, the project met with resistance from multiple groups, including the airlines and several transportation advocacy groups. Interestingly, the airline industry supported improved access, but was opposed the use of PFC to fund the project and instead argued that the responsibility for access should be left to the state and local governments. The industry eventually filed suit; however, two Federal Appeals Courts ruled in favor of the FAA-approved PFC funding technique.²⁷

To address community concerns, outreach with the surrounding communities was incorporated into the project, and took many forms. A full-time Outreach Manager was hired and the Port Authority hired a member of the community to help the agency interact with and respond to community concerns. In addition, a general 800 number and website were established to provide information, meetings were held on a regular basis, and newsletters and other updates were available.²⁸ As a result of the interaction with the community, the Port Authority committed to a beautification program in the area and incorporated concepts for landscaping and lighting into the project.²⁹ Recognizing the concerns on the part of residents related to construction noise, property values, and the other long-term effects on their neighborhood, the Port Authority developed a guide way design that would minimize AirTrain's visual impact and reduce noise.³⁰

Current Status of the Effort

The goal of providing better accessibility through a transit link to JFK has been achieved. According to the Port Authority, AirTrain ridership increased by 15 percent in 2006, to nearly 4 million riders.³¹ In addition to the increased accessibility to JFK, the project helped promote economic development in Jamaica's downtown area. Several redevelopment projects have already been completed, including the JFK

²⁵ Frances Fiorino, "Missing Links," *Aviation Week and Space Technology* (June 12, 1995).

²⁶ Frank Lombardi, "Council OKs 1.5B JFK Airport Rail Link," *Daily News* (June 8, 1999).

²⁷ *Ibid.*

²⁸ Anthony G. Cracchiolo, "Overcoming the Challenges of Implementing AirTrain JFK," *New York Transportation Journal* 7, 1 (Fall/Winter 2003): 3.

²⁹ *Ibid.*, p. 14.

³⁰ *Ibid.*

³¹ Chuck Bennett, "AirTrain: A Boon, Not a Boondoggle," *Newsday* (January 18, 2007): A20.

Corporate Square, and additional efforts are underway. Indeed, in September 2006, Mayor Michael Bloomberg, the Port Authority, and the Airport Community Advisory Board issued a joint announcement of a \$39.5 million package of capital projects for Queens, which included further access improvements to AirTrain JFK.³²

Success Factors

A number of factors were important to the successful project development and implementation of AirTrain JFK, including the existence of a strong political mandate and the Port Authority's focus on effective outreach to the community. These and several others are described in the following paragraphs.

Political Mandate/Support

- The project had a very strong mandate from the Governor that proved critical to gaining cooperation from New York State and New York City agencies. Indeed, as one former NYSDOT representative explained, ***“Everyone was motivated to make things work. No one wanted to be the bad guy in terms of stopping the project.”***
- The Port Authority was instrumental in the Congressional legislation that authorized the use of PFC for ground access projects, and was able to allocate PFC funding to the project, using Port Authority monies to move the project forward while PFC was being approved. In the words of one Port Authority representative, ***“There were 21 prior proposals [for airport access] – 20 of which had failed. We looked at why they had failed and it came down to two things: community opposition or funding. So we realized that if we came to the table with funding and could keep community opposition under control, we could do something.”***

Commitment from Key Agencies

- The Port Authority gained commitment from key agencies, in part due to the high profile of the project, and just as importantly, because of the direct benefits that would be gained by the other agencies. For example, the LIRR gained a new command center and a European-style train shed at Jamaica and NYSDOT was able to share the costs of much-needed improvements on the Van Wyck Expressway.

Clear Need for Action and Value of Project Goals

- There was long-standing and broad consensus on the need for an airport passenger rail link. The failure of previous proposals that focused on a one-seat ride to JFK made elected officials willing to support a two-seat ride between JFK and Manhattan.
- Previous proposals also failed to clearly demonstrate a benefit for the community (as opposed to travelers). By linking the AirTrain JFK project with community economic development goals, the community perceived a clear and tangible benefit that led them to be more willing to support the effort, despite the inconvenience of the construction that would take place.

Strong Technical and Analytical Basis for Planning and Decision-making

- The Port Authority devoted extensive resources for both its staff and staff at other agencies, such as NYSDOT, to ensure technical expertise would be available for the project.

Collaborative Process among Agencies

- While the Governor's support set the stage for coordination, the Port Authority and the other agencies followed up with interagency agreements and processes to ensure an effective collaborative process. As one former NYSDOT representative noted, coordination between the Port Authority and NYSDOT succeeded because ***“we defined the obligations of the parties. We agreed to a framework and map as to how we would deal with each other, in essence, the ‘rules of engagement.’”***
- Strong coordination between the Port Authority and NYSDOT on construction plans allowed NYSDOT to make use of lane closures for the Port Authority's work to begin their own work. This allowed NYSDOT to do their work concurrently, shortening the overall amount of time that the community would need to deal with negative impacts from construction.

³² “Mayor Bloomberg, Port Authority of NY and NJ and Airport Community Advisory Board Announce First Phase of Queens Capital Projects” *State News Service*, September 13, 2006.

Collaborative Process with Stakeholders

- The Port Authority devoted extensive resources to community outreach and communication, and to providing local benefits, all based on an extensive process of community outreach and listening. As several Port Authority representatives explained, ***“We learned how to be good neighbors [which was new because the Port Authority was] not accustomed to working off airport,”*** and, ***“Patty Clark developed a [outreach] program that responded in a real personal way to the residents of Queens. That was real critical to the program’s success.”***

Momentum

- With the Port Authority’s lead, the Governor’s support, and ongoing coordination with multiple agencies and other stakeholders, the project was able to gather momentum.
- The Port Authority was able to demonstrate progress and was responsive to the community and other stakeholders. As one Port Authority representative noted, ***“The electeds roasted us on a regular basis. But over time during construction, the electeds had the satisfaction that they were not hearing about problems, because the Port Authority had dealt with them.”***

8.2. Route 202/35/6 Bear Mt. Pkwy Sustainable Development Study, Westchester County

The Route 202/35/6 Bear Mountain Sustainable Development Study resulted from a joint effort undertaken by the City of Peekskill, the Town of Cortlandt, the Town of Yorktown, Westchester County, the New York Metropolitan Transportation Council (NYMTC), the New York State Department of Transportation (NYSDOT), and the Federal Highway Administration (FHWA). The primary goal was “to obtain consensus on future land use and transportation recommendations designed to enhance and improve the intended function(s) of the corridors.”³³ The stakeholders sought to reach agreement on an approach that would “balance quality of life, economic development and natural resource protection with recommended land use and transportation improvements required to accommodate desired future development.”³⁴

The study area consists of three major east-west corridors – Route 6, Route 202, Route 35 – and the Bear Mountain Parkway, all of which traverse the City of Peekskill and the Towns of Cortlandt and Yorktown in Northern Westchester, NY. Encompassing 40 square miles, the area is home to 91,000 residents, one of the key east-west roadway links across the county, and the Croton Watershed.³⁵

Summary of the Process

The issues of congestion, access management, and land use had been of concern to the Towns of Cortlandt and Yorktown for at least a decade prior to the beginning of the Sustainable Development Study. In the 1980s, several studies were undertaken to identify ways in which the area’s transportation network could be improved, but these efforts tended to assume that land use patterns would remain constant and were thus insufficient to address the current circumstances. Indeed, there has been a tremendous amount of both residential and commercial growth along Routes 6, 35, and 202 in recent years.

Prior to the Sustainable Development Study in 1995, development proposals for three different major shopping centers were being advanced concurrently – the Cortlandt Town Center (on Route 6 in Cortlandt), the Homart Community Center (on Route 202 near the Taconic Parkway in Yorktown) and the Baldwin Place Regional Mall (on Route 6 in Somers, just east of Yorktown). A series of intermunicipal discussions began soon after the Westchester County Department of Planning finished its study on the proposals, concluding that the area could not support three large malls at that time, though two were possible (in particular, the Baldwin Place Regional Mall and the Cortlandt Town Center). During these discussions, the towns voiced concerns about the “competition,” and the potential area-wide traffic

³³ Westchester County, *Request for Proposal: Routes 202/35/6 Bear Mountain Parkway Sustainable Development Study*, August 1999, p. 3

³⁴ *Ibid.*

³⁵ Edwards and Kelcey, *Route 202/35/6 Bear Mountain Parkway Sustainable Development Plan: Linking Land Use and Transportation Decisions*, March 2004, p. 2-4; Westchester Weekly Desk, “In Brief: Strategic Land Plans,” *New York Times*, March 19, 2000.

impacts associated with the development of these malls. On this second point, the County Department of Planning urged the towns to figure out how the new land uses would affect transportation in each of the communities and beyond.

In 1996, the Mid-Hudson South Transportation Coordinating Committee (TCC) of the New York Metropolitan Transportation Council, established a Land Use and Transportation Subcommittee in an attempt to bring municipal land use planners into the transportation planning process. This group developed a proposal to initiate pilot “Land Use and Access Management Studies” (LUAM) in specific corridors around the New York metropolitan region. As noted above, the Town Supervisors of the Towns of Cortlandt and Yorktown had been speaking with each other about traffic patterns and congestion on Route 202 for some time, and in 1996 the County Planning Department suggested to Yorktown that the Route 202 corridor might be appropriate for the pilot study. With the possibility of substantially more financial and institutional support than initially anticipated for a northwest Westchester County study, it made sense for Yorktown to broaden the study area to include Cortlandt (and later Peekskill) and add Routes 6, 35, and the Bear Mountain Parkway since traffic patterns on these roadways are very much related to each other. With this in mind, the Yorktown Supervisor reached out to the neighboring communities to determine whether they could work together on a regional plan.

In May 2000, a joint study was formally initiated by the City of Peekskill, the Town of Cortlandt, the Town of Yorktown, Westchester County, NYMTC central staff, NYSDOT, and FHWA.³⁶ Funding for the project was provided through the Unified Planning Work Program approved by NYMTC (with a local County match), but the process and consultant were overseen by the County, an important point in building trust among the municipalities and their constituencies. Public participation was integral to the study and took several forms. A Steering Committee was established, made up of representatives from the municipalities and agencies directly involved in the study. A Community Stakeholders Committee ensured that neighborhoods, local business owners, land developers, local planning boards, and town boards were represented. Finally, formal public meetings were held throughout the study and a website was created to disseminate information and updates on the project. (The website has since been shut down.)

Based on input from the committees and the discussion at the public outreach meetings, four areas of concern related to transportation in the study area were quickly identified: (1) traffic congestion in areas of high commercial use; (2) adverse impacts of goods movement through the area (this was of particular interest to the City of Peekskill); (3) transit service improvements; and, (4) the need for a pedestrian and bicycle-friendly environment.³⁷ With respect to land use, it became clear that the municipalities shared a broad consensus on wanting to maintain their rural appeal and desiring the creation of more consistent aesthetics throughout the study area, highlighting the desire to minimize negative environmental impacts resulting from new development projects as well as roadway infrastructure.³⁸

Within these broad shared concerns, several specific issues were raised by the three municipalities, with varying focus by each municipality on each. Peekskill was most concerned about the revitalization of its historic downtown and the need to reduce truck traffic – especially on Main Street (Route 6), which forms the primary link for commercial traffic moving between the north/south Route 9, bordering the Hudson River on the west side of Peekskill, and the malls and big-box retail stores located on Route 6 east of the city. As a consequence, Peekskill was most interested in plans for completing the Bear Mountain Parkway Extension and allowing commercial vehicles to the existing section of the Parkway as a means for bypassing the downtown area. The Town of Cortlandt, on the other hand, was more interested in mitigating congestion on Route 6, since traffic flowing between Peekskill and Yorktown and the Taconic Parkway would also back up on the main roads and then overflow onto nearby local roads. Finally, the Town of Yorktown focused more on environmental preservation and business district enhancement than the others, in part because of its location within the watershed. The agencies also had their specific goals. NYSDOT was most interested in the seeing the municipalities agree on land use patterns which the transportation system could reasonably accommodate. Westchester County was interested in the development of a vision that would ensure sustainable development patterns and foster the understanding that land use and transportation decisions made in one municipality also affect neighboring communities.

³⁶ Edwards and Kelcey, op. cit., p. 1.

³⁷ Ibid., pp. 7-10.

³⁸ Ibid., pp. 10-11.

After examining the existing conditions of the study area, the Steering Committee identified approximately 50 short-term action projects that could be easily implemented, including traffic control, signage, transit, pedestrian and bicycle facilities, and streetscapes.³⁹ The Consultant, working with the Steering and Stakeholder Committees, and informed by public comment, then identified five alternative land use patterns (ranging from a full build-out of the area to limited development), and five related alternative transportation system configurations (including widening of certain routes and extension or bypasses on others).⁴⁰

The study eventually made recommendations in five interrelated but distinct categories – major road construction; intersection reconstruction and access management; enhanced transportation services; land use management; and, increased regional coordination. To implement the recommendations, the consultant recommended the formation of an implementation committee and the development of intermunicipal agreements to cooperatively obtain funding and implement the proposed plans.

Current Status of the Project

In March 2004, the results of the effort were formally published. This was followed, in spring 2005, by the signing of intermunicipal agreements by the Towns of Yorktown and Cortlandt and the City of Peekskill. While implementation of the recommendations resulting from the process has been slower than some had hoped, NYSDOT has programmed the majority of them. Nevertheless, not all the recommendations have been agreed upon formally. The Town of Yorktown has moved (via formal Board resolutions) to implement the key recommendations concerning Routes 6 (specifically, reconstruction of the interchange) and 202, and allowance of trucks on the Bear Mountain Parkway during day-time hours. It has also incorporated the majority of the study recommendations into its own Master Plan. The City of Peekskill has also passed Board resolutions on the key recommendations. Finally, though the Town of Cortlandt has incorporated some of the findings into its Master Plan, it has yet to approve a resolution on truck traffic on the Bear Mountain Parkway.

Success Factors

The Sustainable Development Study was successful in terms of fostering a shared belief that the transportation challenges in the study area need to be addressed through both land use changes and coordinated efforts. However, as one representative noted, ***“It’s not really clear it’s a shared vision as opposed to several separate visions where each group gets something out of it.”*** Regardless, the challenge of implementation remains. The following paragraphs highlight the key success factors and ongoing challenges.

Political Mandate/Support

- The Town Supervisor in Yorktown was a long-time elected official who was very supportive of the effort and willing to work with others to move it ahead, even as the Yorktown Town Board kept changing every two years. The Town Supervisor in Cortlandt was also a long-time elected official who added continuity to the process. Nevertheless, at many of the sessions, not all the principals participated, which may have undermined this mandate at times.
- Yorktown had originally conceived of a much smaller project, but with the addition of Cortlandt and Peekskill, and the support of the County, a case was made for a regional pilot with political and financial support from NYMTC.

Commitment from Key Agencies

- Westchester County Departments of Planning and Transportation were heavily involved as were NYMTC staff and NYSDOT.

Clear Need for Action and Value of Project Goals

- There had been broad consensus for a number of years on the need to deal with traffic in the Route 202/6/35 area, but there was no agreed upon solution for doing this prior to the plan.
- As noted above, however, the views remained somewhat parochial even at the end of the process, with each town and the city more focused on their own primary concerns.

³⁹ Edwards and Kelcey, op. cit., p. 51.

⁴⁰ Ibid., pp. 65-67.

Strong Technical and Analytical Basis for Planning and Decision-making

- While several earlier studies had been conducted, this study actually began to form the technical and analytical basis for planning and decision making linking land use and transportation in the area.
- The study was convincing in showing the communities and residents that the traffic on their roads was “them” and not others traveling through the region.

Collaborative Process among Agencies

- There was strong coordination among the Towns of Cortlandt and Yorktown, the Westchester County Departments of Planning and Transportation, NYMTC central staff, and NYSDOT.
- Coordination with Peekskill was hampered to some degree by multiple mayoral changes during the study period.

Collaborative Process with Stakeholders

- Extensive time and resources were devoted to community outreach and to coordination among the principal agencies and municipalities' boards.

Momentum

- There were difficulties here, particularly in the perception of time lines for action – the municipalities, for which elections are held every two years, would like to have seen more short-term goals implemented, and defined short-term as 3-6 months. NYSDOT, on the other hand, has longer time lines, with short-term plans generally thought of in terms of 2-3 (or more) years.

8.3. Route 303 Sustainable Development Study, Rockland County

The Route 303 Sustainable Development Study area is located in the suburban Town of Orangetown, New York, in Rockland County, bordering New Jersey. The corridor is characterized by multiple land uses, which generally correspond to three identifiable areas along the corridor:

- Tappan, which is predominantly retail;
- Orangeburg/Blauvelt, which has mixed land use and residents scattered throughout; and,
- Greenbush/Bradley Parkway, which is characterized by larger retail.

With good accessibility to the Tappan Zee Bridge, the Palisades Interstate Parkway, and Interstates 87 and 287, and with the opening of the Palisades Center Mall along Route 303 in West Nyack, traffic (and particularly truck traffic) had become a serious challenge for the corridor, and safety was a key concern. Beyond the issues shared across the corridor, each of the neighborhood areas raised different specific issues related to their section of the Route 303 Corridor. Residents in the Tappan area, for example, were most concerned with cut-through traffic on residential streets and the condition of retail properties in the neighborhood. Residents in the Greenbush/Bradley Parkway area were most concerned with trucks unloading on the right-of-way, traffic speeds, the lack of sufficient pedestrian and bicycle paths, and safety issues related to the change in roadway configuration from divided to undivided. Finally, those in the Orangeburg/Blauvelt area focused on several difficult turns, sight distance problems, and conflicts between through traffic and local traffic.⁴¹

In 1992, the New York State Department of Transportation (NYSDOT) approached the Town of Orangetown to discuss modifications on the roadway to increase safety and reduce congestion. However, the agency was perceived by the community as not being as attentive to the community's needs and concerns regarding aesthetics and land use concerns as the residents and business-owners would have liked. Indeed, many felt that the changes were beyond the scale of what was needed and did not enhance the neighborhood aesthetically. More importantly, perhaps, many in the community felt that NYSDOT was forcing its ideas on the town, which created a sense of distrust and animosity. The result was that even though there was general agreement on the need to address congestion and safety, the development of a

⁴¹ Wilbur Smith Associates, et al., *Route 303 Sustainable Development Study*, Prepared for NYSDOT, NYMTC, Rockland County, and the Town of Orangetown (December 2002), Executive Summary.

project to address these issues was suspended because a consensus on project scope could not be reached.

Several years later, as part of a broader effort, the New York Metropolitan Transportation Council began exploring the possibility of conducting several sustainable development studies throughout the region. Orangetown's Town Supervisor was interested in applying such concepts in his town and welcomed the potential for the funding that would be needed. Together with a colleague from the Town of Yorktown (who was also looking at implementing a study in Westchester), he visited NYMTC to propose conducting such a study on Route 303. The project was initially envisioned as extending from the New Jersey border to Clarkstown, but the latter was not interested, so the decision was made to narrow the area scope to end at the Orangetown border.

Summary of the Process

The Route 303 Sustainable Development Study formally began in 1999, with funding from NYMTC, which saw this as an opportunity to restart a consensus-building process while avoiding the confrontational experience of the previous project. The lead agency was Rockland County's Department of Planning, and NYMTC and the Town of Orangetown were vocal and active supporters of the effort. Wilbur Smith Associates was the lead consultant on the project. The overarching goal for the project was to improve safety, balancing it with accessibility, mobility, and land use goals along the 5-mile Corridor. More specific objectives of the study were to: (1) develop a shared vision of the community's future; (2) coordinate transportation improvements with land use plans and development options; (3) maintain broad-based community support; and, (4) meet present and future transportation needs by implementing recommendations.⁴²

Shortly after the study began, a Technical Committee (TC) and a Citizen's Advisory Committee (CAC) were formed. The TC was tasked with coordinating the activities of the study's sponsoring agencies, while the CAC's primary role was to serve as an interface between the study members and the public. Public participation was a crucial component of the effort, and between October 1999 and September 2001, nine CAC meetings involving a diverse group of roughly 150 residents, business and property owners and local public officials were conducted.⁴³ During that same period, a project website was developed to further disseminate information about the effort as well as to obtain input from the community.⁴⁴

For analysis of the potential transportation and land use alternatives along Route 303, the Corridor's three neighborhoods areas – Tappan, Blauvelt/Orangeburg, and Bradley Parkway, were reviewed separately and more narrow concerns and concept plans were identified for each area through the public outreach meetings and visioning charrettes. In addition, the study team collected as much quantitative data as possible, including demographic data; traffic data; existing transit operations; and information on bicycle and pedestrian facilities.⁴⁵

Through the combination of information gained from the public outreach and comment, and the data collection efforts, four broad themes were eventually developed to guide the remainder of the study and model potential land use and transportation plans in each of the neighborhoods and more broadly along the full Corridor:

1. Continuation of Current Trends. This was used as a base theme, where no major changes in land use regulations and/or transportation infrastructure would take place.
2. Open Space Emphasis. This theme emphasized the preservation of open space.
3. Neighborhood Area Emphasis. This theme focused on the development of a cluster of retail and residential land use to encourage alternative modes of transportation.
4. Business Emphasis. This theme continued the building of large, non-residential development with frontage and access to/from Route 303.⁴⁶

⁴² Wilbur Smith Associates, *Route 303 Sustainable Development Study*, Presentation Slides, Undated, Slide #4.

⁴³ Wilbur Smith Associates, et al., *Route 303 Sustainable Development Study*, pp. 7 and 38.

⁴⁴ *Ibid.*, p. 8.

⁴⁵ *Ibid.*, pp. 10-15.

⁴⁶ *Ibid.*, pp. 5-6.

The various themes were then analyzed through modeling. Based on additional public input, the study team then generated 37 recommendations, which were broken down into corridor-wide land use and corridor-wide transportation recommendations, and more specific recommendations for each of the three neighborhoods. Furthermore, the recommendations distinguished among early action (immediate), short-term (2003-2005), mid-term (2005-2010), and long-term (post-2010) improvements. Early action improvements were geared toward demonstrating rapid results from the study, and included signage and signal improvements, pavement striping, and newly marked pedestrian crossings. The early action recommendations also included development of a Route 303 Overlay Zone District, to restrict the size of retail use in several locations along the Corridor. Short-term improvements focused on amendments to the zoning regulations, land acquisition, and more detailed studies, including for example, establishment of a Business Improvement District, and transportation and transit demand management strategies. Mid-term and long-term transportation improvements generally focused on implementation of the plans that would be further developed in the short-term.⁴⁷

Current Status of the Project

On January 19, 2002, the Town of Orangetown instituted its new Overlay Zone based on the study's recommendations. By restricting the size of new retail development to 65,000 square feet, the Zone prevents the location of any new "big-box" retail development in the study area.⁴⁸ Other features of the Overlay Zone include requirements for pedestrian buffers, increased trees and vegetation, and specification of the amount of parking space allowed in the front yards of new retail development (35 percent of the total parking spaces).⁴⁹

In December 2002, the Final Report for the study was released, detailing the remaining recommendations. Beyond the Overlay Zone, many of the early action items were already completed or in progress when the report was released, and several short-term recommendations had begun. The mid-term and long-term recommendations have begun making their way to the region's Transportation Improvement Program (TIP), an important step to realizing them. In 2004, Orangetown received the *Creativity in Planning* award from the New York Chapter of the American Planning Association.

Success Factors

Overall, the Route 303 Sustainable Development Study is deemed a success by many. The process resulted in the development of a series of recommendations for transportation and land use, both corridor-wide and neighborhood-specific. Furthermore, a number of the recommendations have either been implemented or are in the process of being further studied, planned or implemented. Nevertheless, some challenges and frustrations remain. The key issues are detailed below.

Political Mandate/Support

- The study area was situated within one town which simplified the jurisdictional context.
- The Town Supervisor, Thom Kleiner was particularly supportive of the effort.
- There was broad support for addressing congestion and safety issues along the corridor.
- However, one representative noted that ***"Once the study ended, there was a sense that the money did not follow the study; it is not clear that the [recommended] projects have moved up on the schedule because we went through the process."***

Commitment from Key Agencies

- Rockland County Department of Planning, NYMTC, NYSDOT, and the Town were all very supportive of the project.
- Because NYSDOT was not the lead agency, it was easier to move beyond earlier negative interactions the agency and municipality.
- Nevertheless, it is important to point out that at least one representative noted that ***"while NYSDOT was involved, some of the policy goals are not trickling down to the [permit people in the] regional offices."*** Thus, those responsible for permits continue to issue permits that, at times, run counter to the study goals. It is also important to note that another

⁴⁷Wilbur Smith Associates, et al., *Route 303 Sustainable Development Study*, pp. 85-100.

⁴⁸Town of Orangetown, *Local Law No. 1, 2002: A Local Law Amending Local Law No. 4, 1969 (Chapter 43 of the Code of the Town of Orangetown Entitled "Zoning")*, January 29, 2002; Thom Kleiner, "Route 303 Overlay Zone," *Rockland Review*, January 25, 2002.

⁴⁹Ibid.

representative suggested that the Town itself sometimes allows for variances that run counter to the goals.

Clear Need for Action and Value of Project Goals

- Route 303 had been identified many years prior to the study as having a particularly high number of traffic crashes and incidents.
- Increasing concern was focused on traffic congestion, truck movements, and big-box retail development.

Strong Technical and Analytical Basis for Planning and Decision-making

- Earlier studies had been done by NYSDOT in preparation for the work they had wanted to do on the corridor in the early 1990s. Thus, some basis for understanding of the challenges was already in place.

Collaborative Process among Agencies

- Strong agency coordination via the TC allowed sharing of knowledge, concerns, and experience.

Collaborative Process with Stakeholders

- Extensive energies were devoted to meeting with the CAC and the three neighborhood areas.
- Multiple means were used to connect with the public, including the CAC meetings, neighborhood meetings, visioning sessions, and a website. In addition, information was given to the local papers and news media for additional dissemination.
- By identifying both corridor-wide and neighborhood-specific issues and addressing them all in the final recommendations, all stakeholders had a sense that their needs and concerns were addressed.

Momentum

- NYSDOT implemented several “early-action projects” within 8 months to 2 years of the study’s completion. However, it is important to note that this time period was still considered relatively long by the local municipality.
- An Implementation Committee has been meeting, roughly quarterly, to ensure that the implementation of projects continues to move forward.

8.4. Staten Island Transportation Task Force

Staten Island has the highest car ownership rate in New York City, with 548 cars per 1,000 people.⁵⁰ In addition, the Island has an under-built and inadequately-connected highway and roadway system, limited transit options, and limited options for expanding its transportation network within Staten Island and for connections beyond the Island. The combination of these challenges results in Staten Islanders having the second longest commute times in the City, with an average travel time to work of 41.3 minutes (second only to Queens).⁵¹ (New York City as a whole averages 38.3 minutes.)

In July 2003, Mayor Michael Bloomberg established the Staten Island Growth Management Task Force, charged with the responsibility of examining overbuilding and development issues on Staten Island in an effort to find ways for improving Staten Island’s quality of life. Roughly two and one-half years later, during his State of the City Address on January 26, 2006, the Mayor asked then-Transportation Commissioner Iris Weinshall and City Planning Chair Amanda Burden to report back to the Growth Management Task Force within 60 days with a package of initiatives aimed at addressing Staten Island’s growing traffic congestion challenges.⁵²

⁵⁰ SITTF, “Staten Island Transportation Task Force Presentation,” 3/13/06, Slide 11, <http://www.nyc.gov/html/gmtf/html/presentations.html> (accessed 4/5/07).

⁵¹ Ibid., Slide 39.

⁵² “Mayor Michael Bloomberg’s 2006 State of the City Address,” *Gotham Gazette* (January 26, 2006), <http://www.gothamgazette.com/article/searchlight/20060126/203/1738> (accessed 9/17/07).

As part of this effort, the Staten Island Transportation Task Force (SITTF) was created, consisting of elected officials, and representatives from City and State agencies, community boards, and the Staten Island Chamber of Commerce. The primary goals of the SITTF are to: (1) mitigate congestion; (2) improve travel times by adding transit capacity; (3) reach a full “state of good repair” on infrastructure; and, (4) better coordinate land use with transportation.⁵³

Summary of the Process

Co-chaired by the New York City Department of Transportation (NYCDOT) and the Department of City Planning (NYCDCP), the SITTF's membership also includes the Staten Island Borough President, several City Council members, and members from the following agencies and groups: the Mayor's Office of Community Assistance, the New York City Police Department, the City Department of Parks and Recreation, and the City's Office of Emergency Management, the Metropolitan Transportation Authority (MTA), New York State Department of Transportation (NYSDOT), the Port Authority of New York and New Jersey (PANYNJ), and Community Boards, 1, 2, and 3.

Once the SITTF was established, the process began with of a “listening tour” with elected officials, community boards and other stakeholders to better understand the key concerns and to develop some guiding themes. The guiding themes developed included:

- A proactive approach to traffic improvements;
- A concerted effort to push forward city capital projects;
- Improved coordination among city agencies;
- Working with regional transportation partners to help facilitate projects; and,
- The Task Force as the catalyst for the ongoing process.

The Task Force also held meetings with regional transportation partners to develop potential projects aimed at addressing the various concerns. After projects were identified, a public forum was held to discuss them. The result of the process was the development of a list of 44 action initiatives, divided into short-, medium-, and long-term efforts (Table 1). An additional five projects were identified for further consideration.

⁵³ SITTF, “About the Transportation Task Force,” http://www.nyc.gov/html/gmf/html/about_transp.html (accessed 9/17/07).

SITTF Summary of Recommendations, as of June 26, 2006

Project	Time Frame
High Priority Intersection Focus	short-term
Increasing Intersection Capacity - Daylighting Initiative	short-term
Increasing Intersection Capacity - Right Turn on Red Initiative	short-term
Hylan Boulevard Left Turn Improvement Study	short-term
Safety Initiatives	short-term
Inter-Agency Coordination: Builders' Pavement Plans	short-term
Provide Cross-Easements between Commercial Parking Lots	short-term
Capital Projects: Intersection Improvements	short-term
Inter-Agency Coordination: Capital Project Process	short-term
Charleston Area Improvements	short-term
Enhanced NYPD Role	short-term
Rail Reactivation for Freight Use	short-term
Increased South Shore Bus Service	short-term
Limited Stop Bus Service to St. George and Brooklyn	short-term
Assessment of Potential for Service to New Jersey	short-term
Enhanced Staten Island Railway Train Schedules	short-term
Improved Access to Staten Island Railroad	short-term
Public Education	short-term
Capital Projects: Intersection Improvements	med-term
Cross Borough Access Projects (CBA)	med-term
CBA - Richmond Hill Road @ Richmond Road	med-term
CBA - Forest Hill Road	med-term
CBA - Rockland Ave	med-term
CBA - Arthur Kill Road	med-term
Project	Time Frame
Hylan Boulevard Contra Flow Study	med-term
Bus Rapid Transit (BRT) Enhancements: Hylan Blvd/Richmond Ave	med-term
Intelligent Traffic System Pilot: Victory Blvd	med-term
Charleston Bus Facility	med-term
Complete Implementation of Intelligent Transportation Systems (ITS)	med-term

Staten Island Expressway Improvements	med-term
Fresh Kills Road Connections	med-term
West Shore Expressway Corridor Improvements	med-term
SI Rail Station and Security Improvements	med-term
North Shore Land Use & Transportation Study	med-term
Construct SI Greenway	med-term
Implementation of Connection Between Staten Island and Hudson Bergen Light Rail via Bayonne Bridge	med-term
Capital Projects: Roadway Improvements	longer-term
Build Out Englewood Avenue	longer-term
Charleston Area Improvements	longer-term
Build Ramp at Terminus of Korean War Veterans Parkway	longer-term
Goethals Bridge Replacement Draft EIS	longer-term
Fully Utilize new Bus Facilities	longer-term
New Fleet of SI Rail Trains	longer-term
South Shore Fast Ferry Service	longer-term

Source: "Summary of Projects, 6/26/06," http://www.nyc.gov/html/gmtf/pdf/060626_summary_projects.xls.

Current Status of the Effort

Since the development of the list of projects, Task Force meetings have continued on a regular basis to monitor the progress being made on each of them. Indeed, a number of the short-term projects have already been completed (e.g., several short-term intersection improvements) or are nearing completion (e.g., the report on the right-turn on red initiative is expected in early Fall 2007). Progress has also been made on several medium-term projects. Hylan Boulevard was selected as one of the Bus Rapid Transit (BRT) routes, the Draft Environmental Impact Study (DEIS) for the Fresh Kills Road Connections is expected in Spring 2008, and a Request for Proposals (RFP) was already issued for the North Shore Land Use & Transportation Study.⁵⁴

Specifically, Year 1 accomplishments include the following list of short-term achievements.

- High Priority Intersections – Improvements made at nine key intersections;
- Increasing Intersection Capacity: Daylighting Initiative – Daylighting completed at 108 intersections;
- Increasing Intersection Capacity: Right Turn on Red Initiative – study in progress;
- Hylan Boulevard Left Turn Improvement Study – Left turns prohibited at 33 intersections, Dedicated left turn bays added at 12 intersections; Striped left turn bays at two intersections;
- Safety Projects – Safe-Routes-to School study completed and most recommendations implemented;
- Interagency Coordination: Builders' Pavement Plans – 280 pavement plans reviewed;
- Charleston Area Improvements – Roadway infrastructure and other proposed plans are underway;
- Enhanced NYPD Role – Enacted zero tolerance policy in school zones;
- Rail Reactivation for Freight Use – Construction completed and infrastructure ready to support operations;
- Increased South Shore Bus Service – Implementation planned for Fall 2007;
- Expansion of Limited Bus Stop Service to St. George and Brooklyn –New service in effect since September 5, 2006;
- Assessment of Potential for Service to NJ – Currently evaluating feasibility of service options;
- Enhanced Staten Island Railway Schedules – New schedules implemented on July 17, 2006;
- Improved Access to SIR – Great Kills Park and Ride constructed and operated three months ahead of schedule;
- Public Education/Outreach –Task Force has responded to 600 suggestions from the public and a CommuterLink Outreach Campaign began.⁵⁵

Success Factors

A number of factors have contributed to the success of the SITTF, both with respect to the ability to effectively coordinate across jurisdictions to reach a consensus on an approach and list of projects, and with respect to being able to implement the agreed-upon projects. They are briefly described in the following paragraphs.

Political Mandate/Support

- A very strong mandate from the Mayor led to good coordination among City agencies and good participation by State agencies and the Port Authority. Indeed, according to one State Department of Transportation representative, because of the Mayor's imprimatur, **“Word was out: let's look for opportunities.”**
- Support from local elected officials who had asked the City for transportation improvements on Staten Island was critical to City DOT's ability to move forward with controversial elements of the plan.
- By making the Task Force borough-wide instead of focusing on specific local-level issues, more support was available since **“recommendations were taken out of the local light and put in a borough-wide light.”**

Commitment from Key Agencies

⁵⁴ SITTF, “Staten Island Transportation Task Force Presentation,” 5/14/07, <http://www.nyc.gov/html/gmtf/html/presentations.html> (accessed 9/17/07).

⁵⁵ SITTF, “Staten Island Transportation Task Force Update Presentation,” 1/23/07, <http://www.nyc.gov/html/gmtf/html/presentations.html> (accessed 4/20/07).

- The City gained the needed commitment from key agencies due to the Mayoral mandate and opportunity to benefit from synergies produced by the coordinated effort.
- Some issues were put off for future decision, based on further study (e.g., North Shore land use and transportation study and MTA-provided bus service over the Bayonne Bridge).

Clear Need for Action and Value of Project Goals

- There was a strong perception of the need for action by the public, stakeholder groups, and local elected officials.
- The public recognized the relationship between land use and traffic demands on the road network.

Strong Technical and Analytical Basis for Planning and Decision-making

- SITTF used previously completed studies of traffic and transit issues, and were thus able to quickly identify problems and potential solutions.

Collaborative Process among Agencies

- There was strong coordination of the process via the SITTF, but individual projects largely remained under the purview of each agency.

Collaborative Process with Stakeholders

- Creation of the SITTF helped in providing a single point of access to the process and the various projects which developed. In fact, as one New York State Department of Transportation representative noted, ***“The task force provided the opportunity for input and feedback and greater visibility, all of which kept us more focused on [keeping to] schedule.”***
- The process was highly public as SITTF brought in a broad-based group of stakeholders and enlisted support at all stages, from problem identification to implementation.

Momentum

- The effort gained momentum from inclusion in the Mayor's State of the City speech, as well as from support from elected officials.
- Short-term successes showed that progress was being made.

8.5. Sustainable East End Development Strategies (SEEDS)

Sustainable East End Development Strategies (SEEDS) was formed to address land use and transportation issues in Long Island's East End region, an area consisting of 360 square miles that includes the five towns of East Hampton, Riverhead, Shelter Island, Southampton, and Southold. It also includes the ten villages of Dering Harbor, East Hampton, Greenport, North Haven, Quogue, Sag Harbor, Sagaponack, Southampton, Westhampton Beach, and Westhampton Dunes. The area contains the largest amalgamation of farmland within the largest grossing agricultural region of New York State. A popular spot for the wealthy who own second homes and/or vacation there, the East End also has a number of year-round residents for whom housing affordability and sustainable transportation are key issues.

The purpose of SEEDS was to evaluate and study the East End of Long Island's transportation system and land use policies and practices. By examining potential scenarios through 2025, the study team would be better able to plan future development and transportation networks in a sustainable fashion. The two primary goals of the SEEDS process were to: “(1) create a balanced and sustainable approach to improving transportation in coordination with land development; and (2) establish a consensus to pursue land use policies consistent with regional goals and to guide regional transportation investment.”⁵⁶

Summary of the Process

Officially begun in Spring 2001, SEEDS traces its roots to the mid 1990s, when the East End Supervisors' and Mayors' Association (EESMA), a confederation of municipal officials in the area, began to work more closely together after observing limited success in handling transportation and land use initiatives

⁵⁶ *Sustainable East End Strategies: Summary Report* (June 2006), p. 1-4.

individually. The EESMA created the East End Transportation Council (EETC) in 1996 to serve as a technical task force in negotiating with the MTA Long Island Railroad. After some early successes, the EETC was more formally institutionalized to help with transportation and land use issues. However, EESMA and the EETC quickly realized that to achieve wide-spread regional consensus on how to collectively address some of the fundamental land use and transportation issues facing multiple jurisdictions on the East End, they would need more funding and expertise than they had at the time.⁵⁷

During that same period, the New York Metropolitan Transportation Council (NYMTC) was looking to pilot several federally-funded sustainable development studies around the New York metropolitan region, and approached EEMSA. EEMSA and its EETC believed that the East End of Long Island would prove a worthy area for such a pilot, and in 2000, they began working with NYMTC to make this a reality.

Emphasizing the need for public engagement and involvement, SEEDS instituted several mechanisms to ensure successful outreach and participation. The process began with a press conference and a kickoff meeting with the EETC, followed by a continuous set of meetings throughout the next five years. Visioning sessions were held in 2001, followed by several planning workshops in 2002. In 2003 and 2004, SEEDS moved to scenario modeling and evaluation meetings, and in 2005 a consensus-building workshop was held, with the process culminating in a regional summit in December of that year.⁵⁸

Throughout the process, the EETC served as the Steering Committee for SEEDS and a SEEDS Coordinator was selected to liaise between the Steering Committee and the communities. To further integrate the communities, the project established a Stakeholders Committee (SC), comprised of local business owners, citizens who lived/worked on the East End, and local elected officials. The SC was very helpful in conveying citizens' concerns to the Steering Committee, and helping with outreach and dissemination from the Steering Committee to the public. Finally, SEEDS developed a website to help disseminate information about the effort, the results, and general publications related to transportation and land use.

Current Status of the Project

The SEEDS process has been successful in several ways. First, it helped foster stronger and more regular coordination and cooperation among the towns and villages involved. Indeed, four towns and eight villages have signed Memoranda of Understanding that pledge them to coordinate regionally on transportation and land use issues, pursue transportation system improvements consistent with an intermodal hub system, and pursue cooperative human service, emergency service and emergency preparedness opportunities. EETC continues to act as coordinating forum for these purposes.⁵⁹

Second, SEEDS was able to develop consensus around several guiding principles in pursuing the two primary goals:

Community Principles:

- Preserve and upgrade the historic villages and hamlets of the East End.
- Create an assortment of housing options for residents that allows them to have choices and helps enhance economic diversity.
- Redevelop land before moving onto undeveloped parcels.
- Protect agricultural and open areas.

Transportation Principles:

- Improve public transportation options to discourage the use of automobiles.
- Create both short and long term goals to alleviate congestion.
- Minimize congestion from diverted traffic
- Enhance the visual character of the roadways.

Environmental Principles:

⁵⁷ Ibid., p. 1-1.

⁵⁸ Ibid., section 4.

⁵⁹ NYMTC, "SEEDS Recognized by Vision LI," *NYMTC-Notes!* 9, 25 (May 30, 2007), p. 2.

- Protect important natural resources.
- Improve environmental quality through sustainable methods.

Success Factors

The SEEDS project benefits from a number of factors which helped make it more successful. The following discussion outlines these factors, as well as several challenges that were faced along the way.

Political Mandate/Support

- The project benefited from the support of multiple mayors and supervisors and from EEMSA.
- Notably, some Town Boards have been reluctant to participate fully, in part because of the high rates of turnover and in part because of concern over potential zoning changes.

Commitment from Key Agencies

- The level of commitment varied among the agencies involved. While all the agencies and municipalities sent representatives to the meetings, not all of them had the authority to participate or make decisions. In particular, the MTA LIRR representatives, while responsive to comments, did not have the authority to fully participate.

Clear Need for Action and Value of Project Goals

- There was a widely-shared belief that there was a need to address congestion and sprawl. As one Town Supervisor explained, ***“We met on Shelter Island, a peaceful bit of heaven. I would say [to everyone], ‘this is what we’re trying to maintain. We need your help to do that.’ [This was a] very powerful [picture and message].”***
- However, the links between land use and transportation, and how transportation challenges could be addressed through changing land use patterns, was less understood by many members of the Town Boards.

Strong Technical and Analytical Basis for Planning and Decision-making

- A consultant-led study provided strong technical and analytic support, including visual depictions of land use plans.

Collaborative Process among Agencies

- There was a strong collaborative process among members of the EETC, which helped the members develop a strong sense of themselves as a group, rather than individual agencies and municipalities.

Collaborative Process with Stakeholders

- Public outreach was central to this effort and much time was spent on ensuring community participation. This public involvement also helped in working with the agencies. As one town representative noted, ***“SEEDS and the EETC helped hold agencies accountable to the public because SEEDS brought the public into discussions.”***

Momentum

- The project start was delayed by the events of September 11, 2001, but once the project work began, there was focus on maintaining a perception of moving forward. This was done through the various meetings and outreach initiatives and by highlighting progress being made.
- At each meeting, there was an emphasis on getting things done and moving forward. As one individual noted, ***“SEEDS met monthly and became known as a place that everyone was at. And we held the meetings to two hours with a specific agenda and got work done.”***

9. Selected Readings

The following sources provide additional information on interjurisdictional coordination and key success factors. In some cases, the readings are specific to transportation and/or land use; in others, they draw off public sector experiences in other areas, such as health and education.

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