

# Evaluation of the ADOT Small Area Transportation Studies and Planning Assistance for Rural Areas Programs



Arizona Department of Transportation Research Center



# **Evaluation of the ADOT Small Area Transportation Studies and Planning Assistance for Rural Areas Programs**

**Final Report 716**

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**Prepared by:**

Elizabeth Wemple, PE  
Daniel Wu, AICP  
Cambridge Systematics, Inc.  
555 12th Street, Suite 1600  
Oakland, California 94607

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Arizona Department of Transportation  
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Phoenix, Arizona 85007  
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16. Abstract The Planning Assistance for Rural Areas (PARA) program, sponsored by the Arizona Department of Transportation's (ADOT) Multimodal Planning Division (MPD), dedicates funding and staff to conduct multimodal transportation planning studies for local jurisdictions. This research study's goal was to evaluate and refine ADOT's PARA program to better meet the goals of both ADOT and its local jurisdictional partners. This study had four phases: database development and evaluation of PARA studies from 2002 to 2012, peer state interviews and assessment of similar programs, in-state surveys and interviews with key stakeholders, and PARA program evaluation and recommendations. The study found that overall, PARA stakeholders were satisfied with the PARA program. Stakeholders stated that PARA programs provided resources for identifying needs and addressing issues that were not otherwise readily available to small communities with budget constraints. Based on the stakeholder assessment, this study made recommendations to strengthen ADOT's ability to address diverse transportation planning issues, streamline the PARA study process, and improve MPD's interaction with PARA stakeholders.					
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## Acronyms and Abbreviations

ADOT	Arizona Department of Transportation
CAG	Central Arizona Governments
Caltrans	California Department of Transportation
CBTP	Community-Based Transportation Program
COG	Council of Governments
CTSP	Community Transportation Safety Plan
CYMPO	Central Yavapai Metropolitan Planning Organization
DOT	department of transportation
EIS	environmental impact statement
EJ	Environmental Justice grant program
FHWA	Federal Highway Administration
FMPO	Flagstaff Metropolitan Planning Organization
FTA	Federal Transit Administration
FY	fiscal year
GDOT	Georgia Department of Transportation
JPA	joint project agreement
LPA	Local Public Agency section
MAG	Maricopa Association of Governments
MAP-21	Moving Ahead for Progress in the 21st Century
MDT	Montana Department of Transportation
MEPA	Montana Environmental Policy Act
MPD	Multimodal Planning Division
MPO	Metropolitan Planning Organization
NACOG	Northern Arizona Council of Governments
NEPA	National Environmental Policy Act
PAG	Pima Association of Governments
PARA	Planning Assistance for Rural Areas
PIP	public involvement plans
PP	Partnership Planning grant program
RC	regional commission
RPO	Rural Planning Organization
RSUTPS	Rural or Small Urban Transit Planning Studies Program
RTP	regional transportation plan
SATS	Small Area Transportation Study
SEAGO	Southeastern Arizona Governments Organization
SPR	State Planning and Research
SRTS	Safe Routes to Schools
STIP	State Transportation Improvement Program
SUTPP	Statewide and Urban Transit Planning Program
TAC	technical advisory committee

TIP .....Transportation Improvement Program  
TMA.....Transportation Management Area  
UDOT .....Utah Department of Transportation  
WACOG .....Western Arizona Council of Governments  
WisDOT .....Wisconsin Department of Transportation  
YMPO .....Yuma Metropolitan Planning Organization

## **EXECUTIVE SUMMARY**

The Planning Assistance for Rural Areas (PARA) program, sponsored by the Arizona Department of Transportation's (ADOT) Multimodal Planning Division (MPD), dedicates funding and staff to conduct multimodal transportation planning studies for local jurisdictions. Eligible jurisdictions are cities, towns, counties, and tribes located outside the urbanized areas of Phoenix and Tucson, as determined by the U.S. Census Bureau. ADOT established the PARA program in 2008 as a reorganization of its previous local and tribal transportation planning program, the Small Area Transportation Study program. Through an annual competitive process, ADOT selects communities for which it studies local transportation issues and develops recommendations for future implementation. The maximum PARA study budget is \$250,000; the Federal Highway Administration's State Planning and Research program provides the funds. The community is not required to contribute local matching funds to the project.

The goal of this study was to evaluate and offer recommendations to refine ADOT's PARA program to better meet the goals of both ADOT and its local jurisdictional partners. This study had four phases: database development and evaluation, peer state interviews and assessments, in-state surveys and interviews with key stakeholders, and evaluation and recommendations. The recommendations are designed to strengthen ADOT's ability to address diverse transportation planning issues, streamline the PARA study process, and improve MPD's interaction with PARA study stakeholders.

Overall, the stakeholders, who included ADOT staff, private sector consultants, and representatives of councils of governments and local jurisdictions, were satisfied with the PARA program and study process. Local jurisdictions and tribal stakeholders found PARA project managers to be responsive and knowledgeable. Furthermore, the PARA program provided resources for identifying needs and addressing issues that were not readily available to small communities with budget constraints. For example, PARA provided local jurisdictions and tribes with access to project managers and consultants who brought planning expertise, a statewide perspective, and experience from other communities to the study process.

While the PARA program's primary objective is to help jurisdictions identify future needs and prioritize projects for implementation when funding becomes available, stakeholders noted other benefits. PARA studies provide opportunities for stakeholders to collaborate on local issues. For example, ADOT staff learns about local issues and builds relationships with local planning staff through conducting PARA studies. Similarly, PARA studies allow communities to participate in cross-jurisdictional planning to tackle common transportation issues. Local and tribal communities have used technical analyses from PARA studies in other local planning efforts, such as by creating local roadway design standards.

### **RECOMMENDATIONS AND NEXT STEPS**

While stakeholders have been satisfied overall with the PARA program, they recommend specific program enhancements that ADOT can implement in the short and long term based on the degree to which the recommendation is currently implemented, the level of effort required to implement the

recommendation, and the recommendation's potential additional value. Among the recommendations are the following.

#### **Near-Term Recommendations**

- Add safety and catastrophe prevention as an eligible PARA study topic.
- Add needs assessment as an eligible PARA study topic to assist communities in understanding existing and future transportation needs.
- Consider adding the impacts of transportation on health as a component of a PARA study.
- Involve ADOT Local Public Agency section staff in the PARA process to help advance recommendations to the implementation stage.
- Incorporate comments from ADOT technical experts in the application review and consultant selection process.
- Clarify the role of ADOT's transit program in the PARA process. MPD planners will continue to work with the transit program to clearly define how transit planning can be addressed.

#### **Midterm Recommendations**

- Conduct a follow-up survey at the end of each PARA study to understand whether the process met the goals and needs of the local communities. Follow up at future intervals to monitor the implementation of recommendations.
- Change the public involvement budget amount from a set percentage of the total study budget to an amount based on the type and frequency of public involvement tasks specific to each study.
- Take advantage of the A-Plan geographic information system as a platform for sharing information and data developed from PARA studies.

#### **Long-Term Recommendations**

- Expedite the PARA application process by allowing applicants to submit materials and reviewers to evaluate them online.
- Conduct a peer review study to identify best practices for targeted public outreach that can be applied to the PARA process.

## CHAPTER 1. INTRODUCTION

The Planning Assistance for Rural Areas (PARA) program, sponsored by the Arizona Department of Transportation's (ADOT) Multimodal Planning Division (MPD), dedicates funding and staff to conduct multimodal transportation planning studies for local jurisdictions. Eligible jurisdictions are cities, towns, counties, and tribes located outside the urbanized areas of Phoenix and Tucson, as determined by the U.S. Census Bureau. ADOT established the PARA program in 2008 as a reorganization of its local and tribal transportation planning program, the Small Area Transportation Study (SATS) program. In an annual competitive process, ADOT selects communities for which it studies community transportation issues and develops recommendations for future implementation. ADOT funds each PARA project 100 percent up to a budget of \$250,000 with Federal Highway Administration (FHWA) State Planning and Research (SPR) funds. Each PARA study has needs, stakeholders, and goals unique to its respective community.

The purpose of this study was to evaluate and make recommendations to refine ADOT's PARA program to better meet the goals of both the agency and its local jurisdictional partners (counties, cities, towns, and tribes). The main objectives of this study were to:

- Understand the degree to which the PARA program is meeting intended objectives
- Assess how local agency planning needs are being met
- Review relevant procedures and examples from similar programs in peer states
- Identify options for modifying the PARA program structure, requirements, and application process

Chapter 2 of this report describes the existing PARA program and the methodology used to create an inventory database of all SATS and PARA studies completed from 2002 through 2012. The chapter also evaluates PARA and SATS studies in the database (such as geographic distribution and percentage of implemented recommendations). Chapter 3 details the peer state review methodology and findings. Chapter 4 presents the PARA stakeholder assessment, which included an online survey and a series of telephone interviews. ADOT, local, and consultant stakeholders participated in these surveys. Chapter 5 synthesizes this study's findings and provides recommendations.



## CHAPTER 2. EXISTING PARA PROGRAM

### BACKGROUND

ADOT's PARA program funds multimodal transportation planning studies for nonmetropolitan communities. The program is administered by the ADOT MPD, which is involved in transportation planning for various modes at the local, regional, and state levels. PARA program funds can be used to study issues related to roadway, transit, and nonmotorized transportation modes, such as:

- Roadway operations and facilities planning
- Transit operations and facilities planning
- Feasibility review of public transit with intent of seeking funding
- Development of the circulation element of a local jurisdiction's general plan
- Bike and pedestrian planning
- Trail planning as a part of a multimodal system

PARA funds may not be used to design or build roads and other transportation facilities or for activities related to environmental clearances.

The PARA program was established in 2008 when ADOT reorganized its SATS program. Before 2008, the SATS program's objective was to develop long-range transportation plans for cities, towns, counties, or Native American tribes outside of the state's Transportation Management Areas, namely the Phoenix and Tucson urbanized boundaries, based on a comprehensive transportation study prototype. In contrast, the PARA program allows communities to tailor the scope of a transportation study based on local needs. Additional comparisons between the two programs are:

- The PARA program is funded by ADOT through the Federal Highway Administration's (FHWA) Statewide Planning and Research (SPR) program. Typically, SPR funds require a 20 percent match of nonfederal funds. In the PARA program, this requirement is met through in-kind contributions by ADOT; therefore, the PARA program does not require matching funds from local communities. In contrast, the SATS program required the participating local jurisdiction to contribute the required 20 percent with matching funds.
- Unlike the SATS program, PARA funds are not limited to improving local roads. State highways within the boundaries of local communities can be included in the scope of a PARA study.
- The PARA program instituted a formal application process. In the SATS program, projects were funded based on an informal request for funding.
- The SATS program allowed studies and contracts to be managed by local jurisdictions. Under PARA, the projects are managed by ADOT MPD staff. This ensures compliance with federal

regulations (in cases where jurisdictions are not self-certified) and allows communities that lack the resources to manage a planning study to benefit from the program.

- In contrast to SATS, PARA studies are not limited by jurisdictional boundaries. ADOT encourages partnership among communities when applying for the PARA program, with a lead agency identified for project management purpose.

Cities, towns, and counties located outside of the urban boundary of a Transportation Management Area (TMA), namely the Phoenix and Tucson urbanized boundaries, are eligible to apply for a PARA study. Jurisdictions that are members of both a TMA and an adjacent Council of Governments (COG) have been considered for eligibility on a case-by-case basis. Tribal governments and their subunits are also eligible. The application cycle is annual. A selection committee of ADOT MPD staff members who serve as PARA project managers reviews the applications based on each proposed study's background; purpose; need and goals; incorporation of planning elements; demonstration of community support; and benefits to the state, region, and community. Local jurisdictions awarded PARA projects in the past remain eligible to submit applications.

Once a community is selected to receive a PARA study, the study is guided by a technical advisory committee (TAC) of key stakeholders, including representatives of the appropriate local jurisdiction, neighboring jurisdictions, COG or Metropolitan Planning Organization (MPO), FHWA, other federal agencies such as the Bureau of Land Management or the U.S. National Park Service, and other state agencies such as Arizona State Parks or Arizona Game and Fish. Relevant ADOT sections, such as the MPD Public Transit Programs and Grants Section (Transit), Environmental Planning, and Engineering Districts, are typically invited to participate. TAC members assist the PARA project manager and local jurisdiction by meeting regularly to review and offer input to all study documents and by providing data and other information relevant to the study process.

The ADOT PARA project manager provides overall project management, oversees consultant selection, schedules TAC meetings, reviews and approves deliverables, and administers consultant services payment. A committee of PARA project managers selects project consultants, with consideration of input from relevant local jurisdictions. Throughout the PARA study, the local jurisdiction also provides guidance and local perspectives, reviews and approves deliverables, and assists the PARA project manager with developing public involvement materials and securing meeting space.

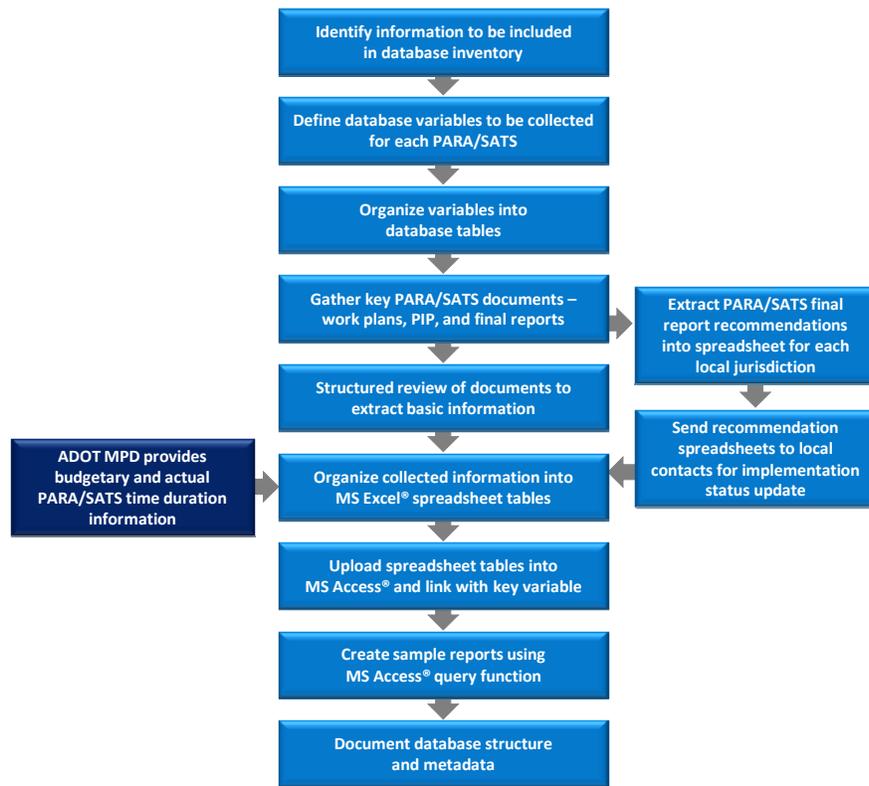
## **INVENTORY DATABASE**

To understand the performance and effectiveness of the existing PARA program, the researchers developed an inventory database that contains information about PARA and SATS projects completed from 2002 through 2012. (A list of these projects is provided in Appendix A.) The database includes a synthesis and current status of all project recommendations, the project's recommended time frame (long term versus short term), public involvement techniques and outcomes, project duration and budget, and key participant contact information.

PARA program stakeholders and planning staff can access the database information by running queries for individual projects or geographic regions (statewide, county, MPO, COG, or local jurisdiction). For example, stakeholders may request a comparison of average proposed and actual study duration for all studies conducted in a particular COG, PARA recommendation implementation status across the state, the average total budget for all studies conducted in a local jurisdiction, or the average public outreach budget for all studies conducted in a particular county.

### Methodology

To create the project inventory database, the study team first identified four information categories: general information, technical tools, recommendations, and public outreach (Figure 1). Then they defined specific variables and characteristics of those variables, including data type, data description, and variable definitions, as explained in the metadata tables in Appendix B.



**Figure 1. Inventory Database Methodology**

The study team assembled electronic and hardcopy versions of PARA and SATS work plans, final reports, and public involvement plans (PIPs) for 68 projects conducted between 2002 and early 2012 (Table 1). Documents were collected from the MPD, the ADOT Research Center online library, and various local jurisdiction websites. All project documentation was available for 23 of the 68 studies; for the remaining 45 projects, a mix of project documentation was gathered. The metadata tables in Appendix B specify the documents from which the researchers extracted information.

**Table 1. Summary of PARA and SATS Documents**

	<b>Total</b>	<b>Complete</b>	<b>Underway</b>
<b>2002-2012 Projects</b>	<b>68</b>	<b>56</b>	<b>12</b>
Complete documentation available	23	23	0
Final report and PIP available	1	1	0
Work plan and PIP available	10	3	7
Work plan and final report available	12	12	0
PIP available	4	1	3
Final report available	14	14	0
Work plan available	2	0	2
No documentation available	2	2	0

When possible, the research team assembled recommendations from each project’s final report into a single spreadsheet and separated the recommendations into two categories:

- Policy recommendations, such as development of an access management plan or pedestrian safety education program
- Infrastructure recommendation, such as intersection improvements or roadway reconstruction

Researchers contacted local agencies for the 50 PARA or SATS projects for which a final report was available. The agencies were asked to confirm the recommendations, update the implementation status for each recommendation, and comment about their experience with PARA or SATS programs.

The researchers organized available information from local contacts, ADOT MPD, and PARA and SATS documents into individual spreadsheet tables (Appendix B). The researchers imported these tables into a Microsoft Access® database, with all tables linked by the “localjurisdiction\_projectyear” field that represented local jurisdiction name and project initiation year. The team conducted quality control checks to assure that the entered information was accurate and complete. The researchers used the Microsoft Access query function to create two sample reports that demonstrate reporting functionalities on different jurisdictional levels.

**PARA and SATS Database Evaluation**

Figure 2 shows the geographic distribution of PARA and SATS studies by three study types: town or city, tribal, and county. Figures 3 through 5 summarize the geographic distribution of PARA and SATS studies

by county, COG or MPO, and engineering district, respectively. Between 2002 and 2012, jurisdictions in Pinal County conducted the most PARA studies at the county level, while Graham, Greenlee, and La Paz counties conducted the fewest studies (Figure 3). Central Arizona Governments (CAG), the COG in which Pinal County is located, conducted the most studies among COG or MPO projects, and Flagstaff MPO (FMPO) and Central Yavapai MPO (CYMPO) conducted the least (Figure 4). By engineering district, jurisdictions within the Tucson district, which encompasses most of Pinal County, conducted the most PARA or SATS studies, and Holbrook the fewest (Figure 5).

Figures 6 through 8 show the breakdown of PARA and SATS recommendation types—infrastructure and policy—by county, COG or MPO, and engineering district. On the county level, most PARA and SATS studies made infrastructure recommendations with the exception of Apache County studies (Figure 6). Recommendations of Apache County studies are approximately 60 percent policy and 40 percent infrastructure. PARA and SATS study recommendations organized by COG or MPO (Figure 7) and engineering district (Figure 8) are mostly infrastructure recommendations.

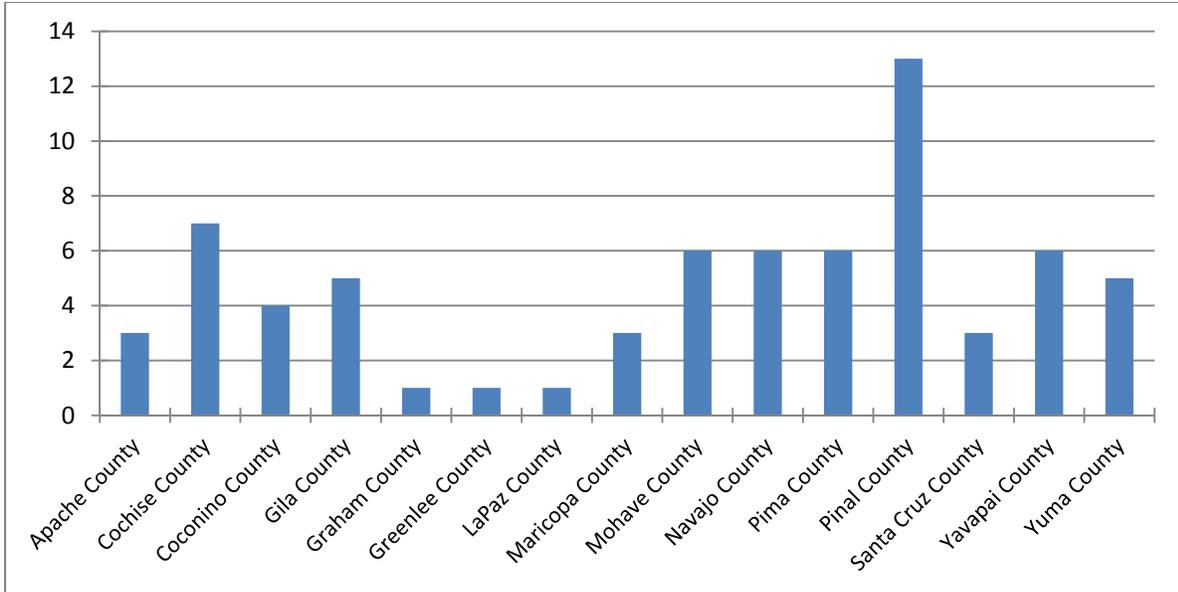
Proposed and actual study duration was available for 32 of the 68 PARA and SATS studies. Of these 32 studies, eight studies were completed on schedule, six studies were completed ahead of schedule, and 18 took longer to complete than proposed.

Figures 9 through 11 show the average PARA or SATS study budget for three geographic levels: county, MPO or COG, and engineering district. The average study budget across all geographic levels was \$160,122. Studies conducted in Apache County jurisdictions had the highest average budget, while those conducted in Pima and Graham County jurisdictions had the lowest average study budget. Studies for jurisdictions that were Maricopa Association of Governments (MAG) members—but outside MAG’s planning area or also a member of an adjacent COG—had the highest average project budget among COG or MPO projects, and FMPO had the lowest average study budget. Among engineering districts, studies conducted within the Holbrook District had the highest average study budget.

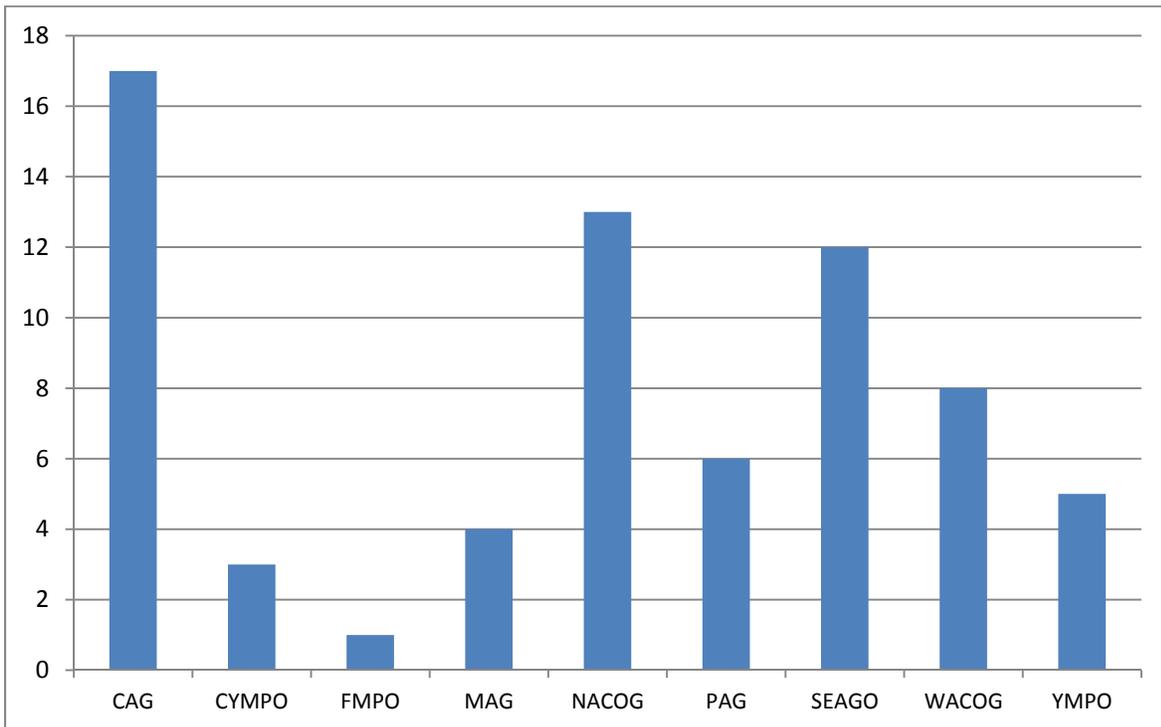
Further discussion about the results of the database analysis, including implementation of PARA and SATS recommendations, is included in Chapter 5.



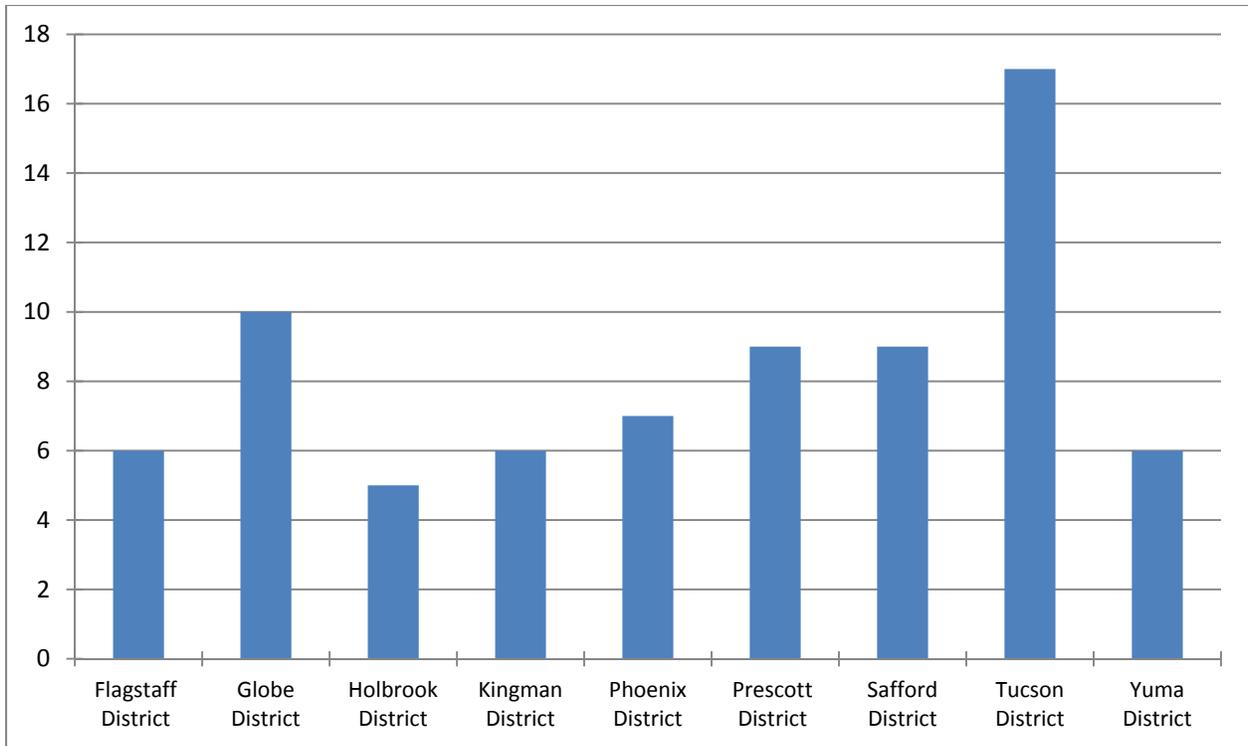
Figure 2. PARA or SATS Study Geographic Distribution (2002 to Early 2012)



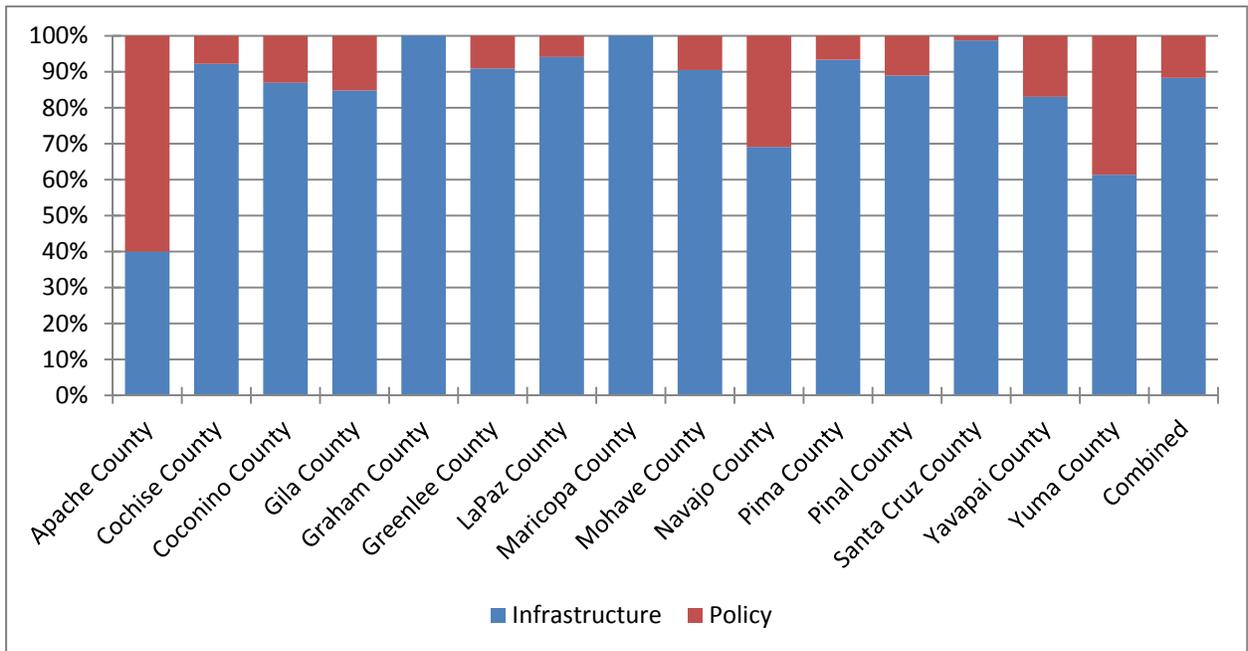
**Figure 3. PARA or SATS Study Geographic Distribution by County**



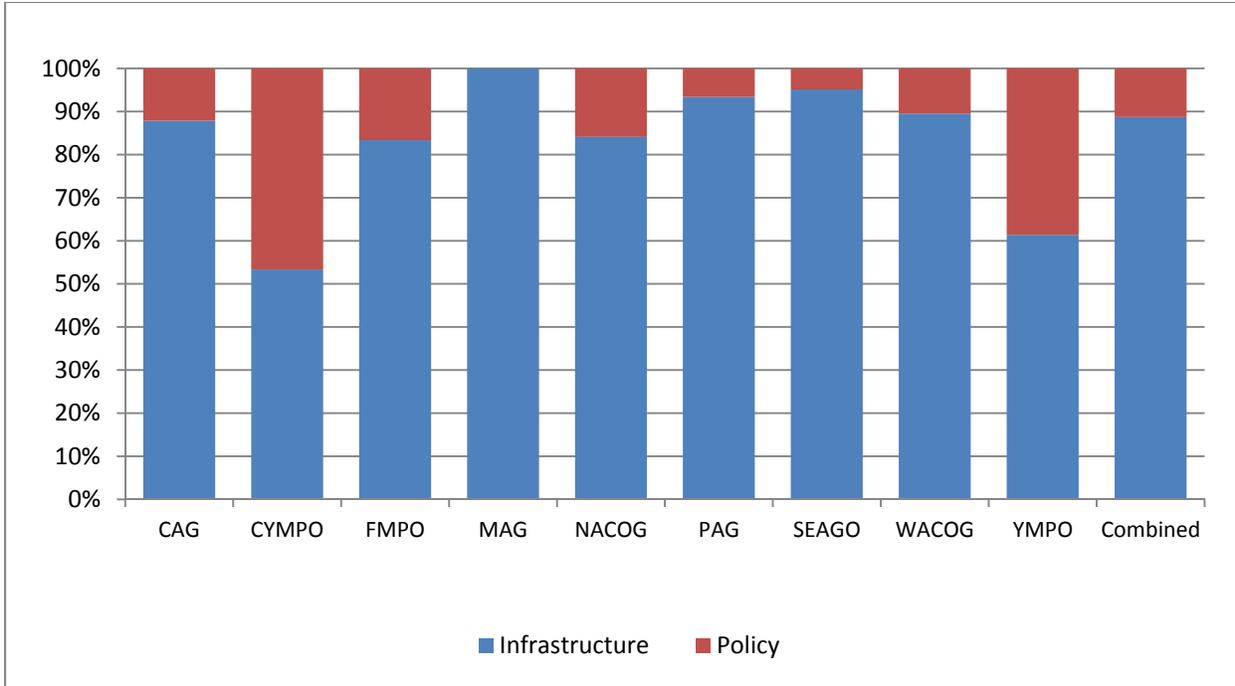
**Figure 4. PARA or SATS Study Geographic Distribution by COG or MPO**



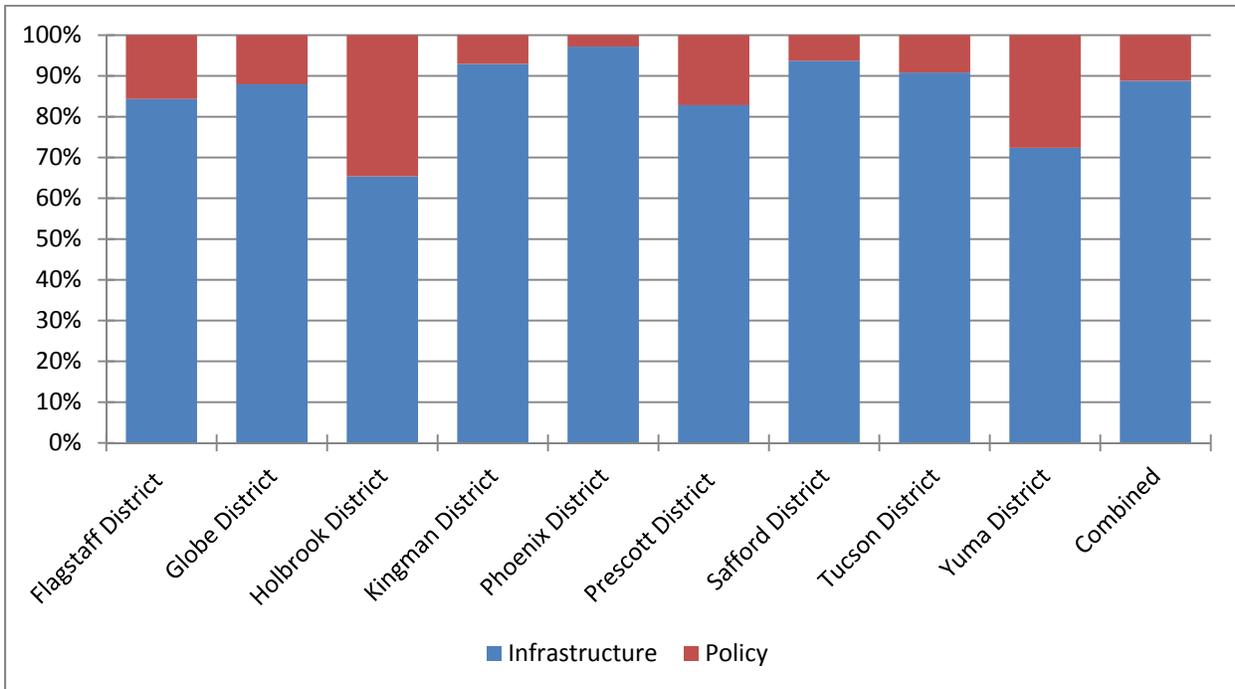
**Figure 5. PARA or SATS Study Geographic Distribution by Engineering District**



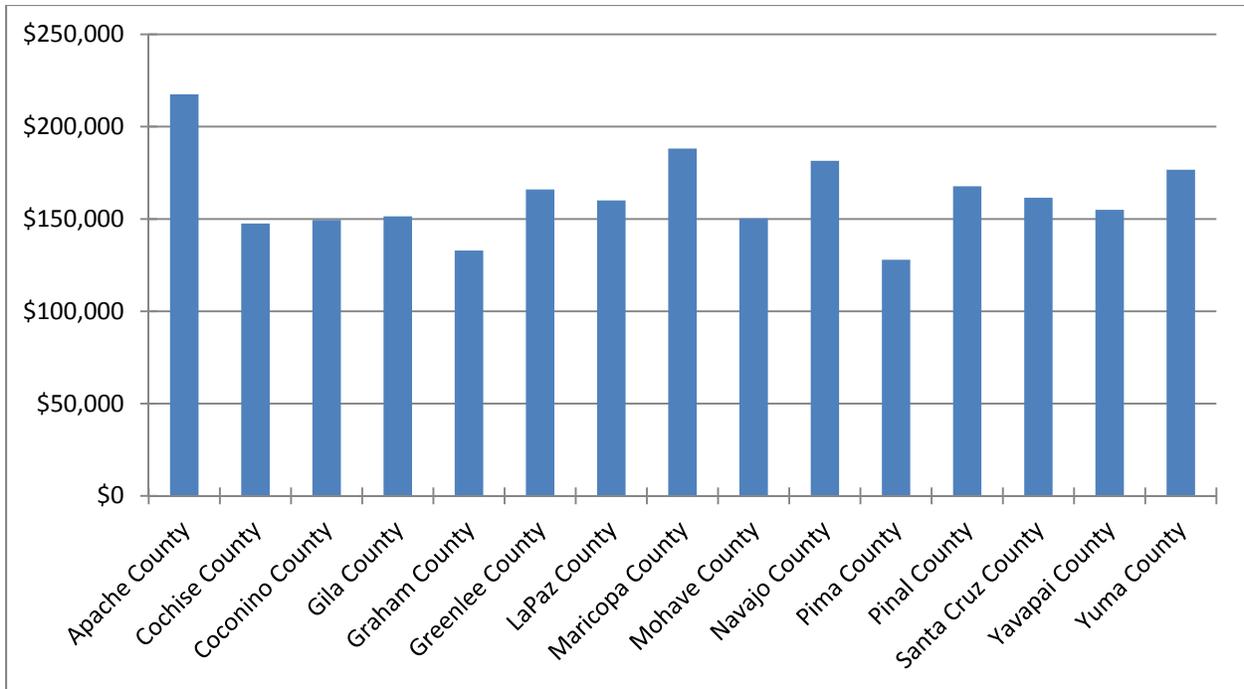
**Figure 6. PARA or SATS Study Recommendation Share by County**



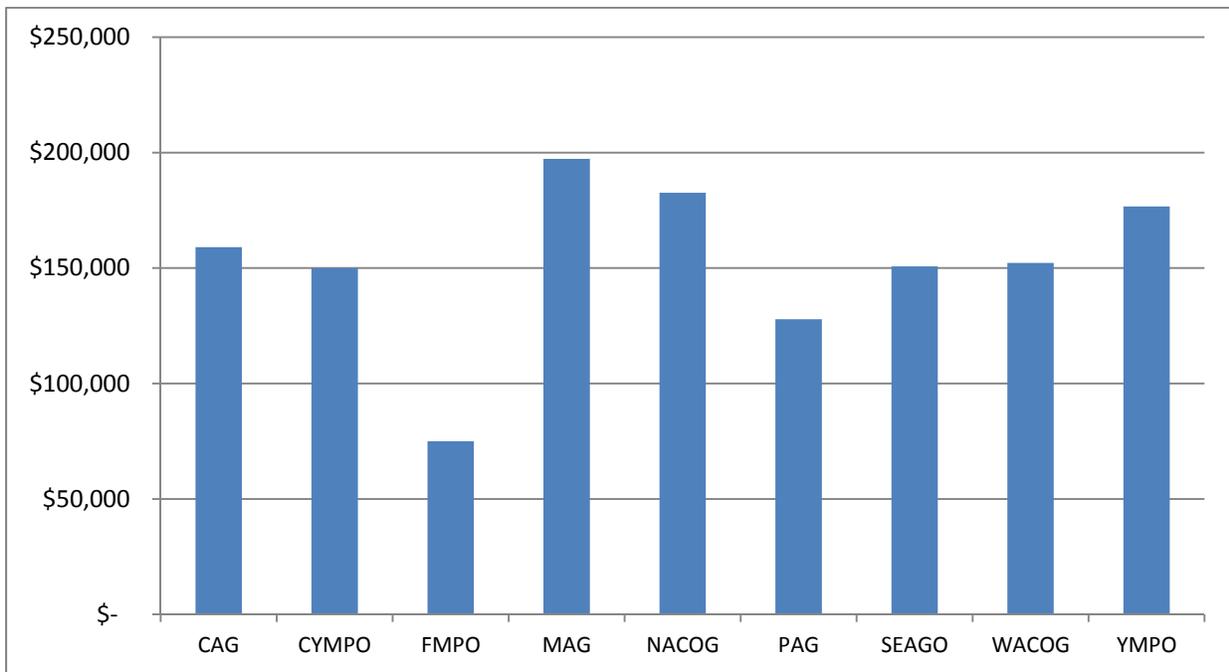
**Figure 7. PARA or SATS Study Recommendation Share by MPO or COG**



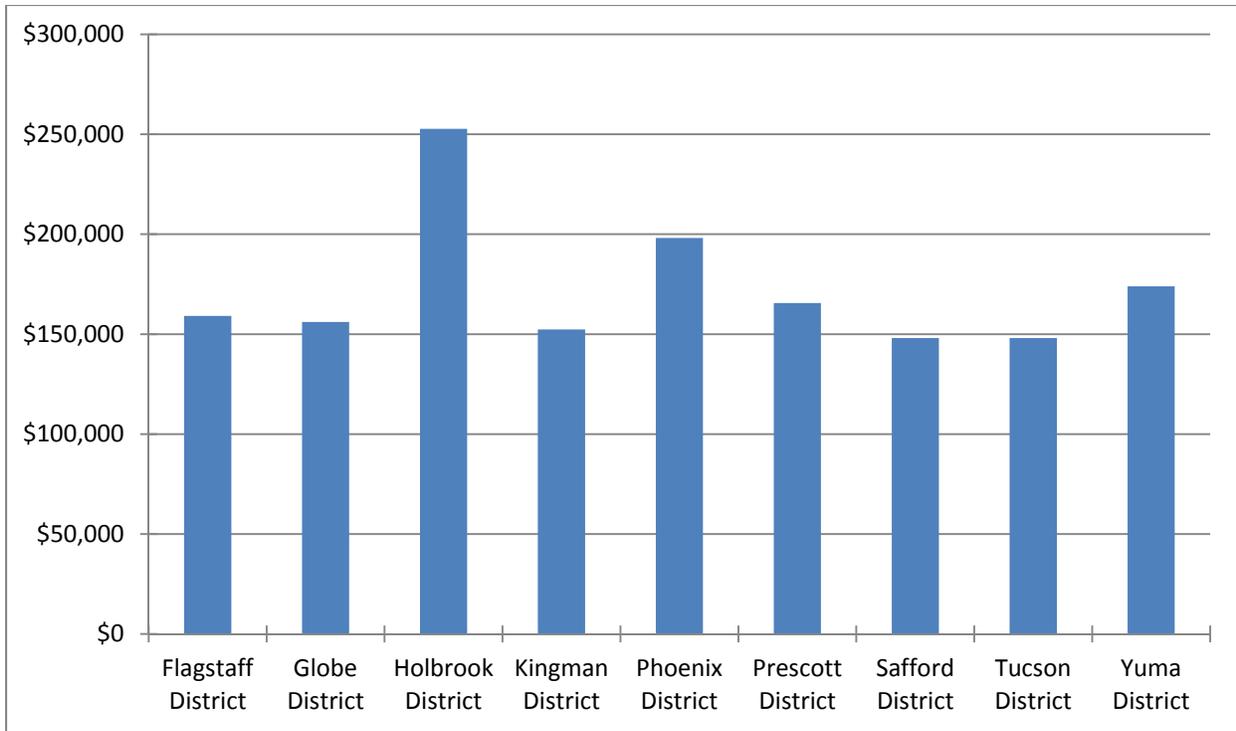
**Figure 8. PARA or SATS Study Recommendation Share by Engineering District**



**Figure 9. Average PARA or SATS Study Budget by County**



**Figure 10. Average PARA or SATS Study Budget by COG or MPO**

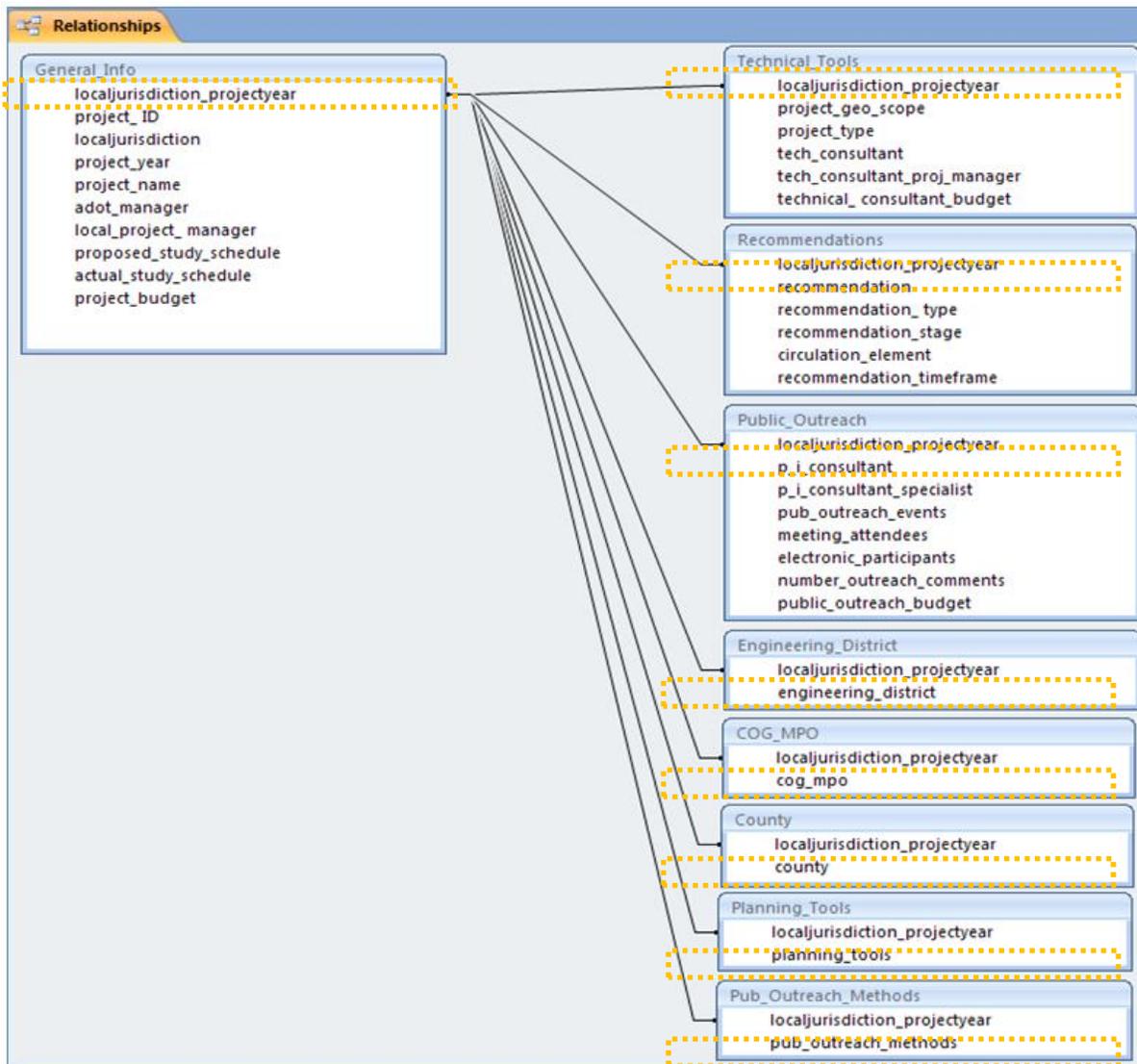


**Figure 11. Average PARA or SATS Study Budget by Engineering District**

### Description of the Inventory Database and Sample Reports

The inventory database has nine interconnected tables; the relationship of these tables is illustrated in Figure 12. The first three tables contain one record for each of the 68 PARA and SATS projects:

- General\_Info contains basic information, such as project identification number, project initiation year, ADOT project manager, local jurisdiction contact, proposed project schedule, actual project schedule, and project budget.
- Technical\_Tools contains information relevant to the technical aspects of PARA and SATS projects, such as project geographic scope; project type (e.g., long range transportation plan, corridor or multimodal study); technical consultants; and technical consultant budget.
- Public\_Outreach contains information regarding public outreach consultants, events, and event attendance.



**Figure 12. Inventory Database Table Relationships**

The research team developed six other tables with potentially more than one record for each PARA or SATS project. The first table, Recommendations, contains final report recommendations, adoption of PARA or SATS recommendations into the circulation element of the local general or comprehensive plan, recommendation implementation time frame, and recommendation implementation stage.

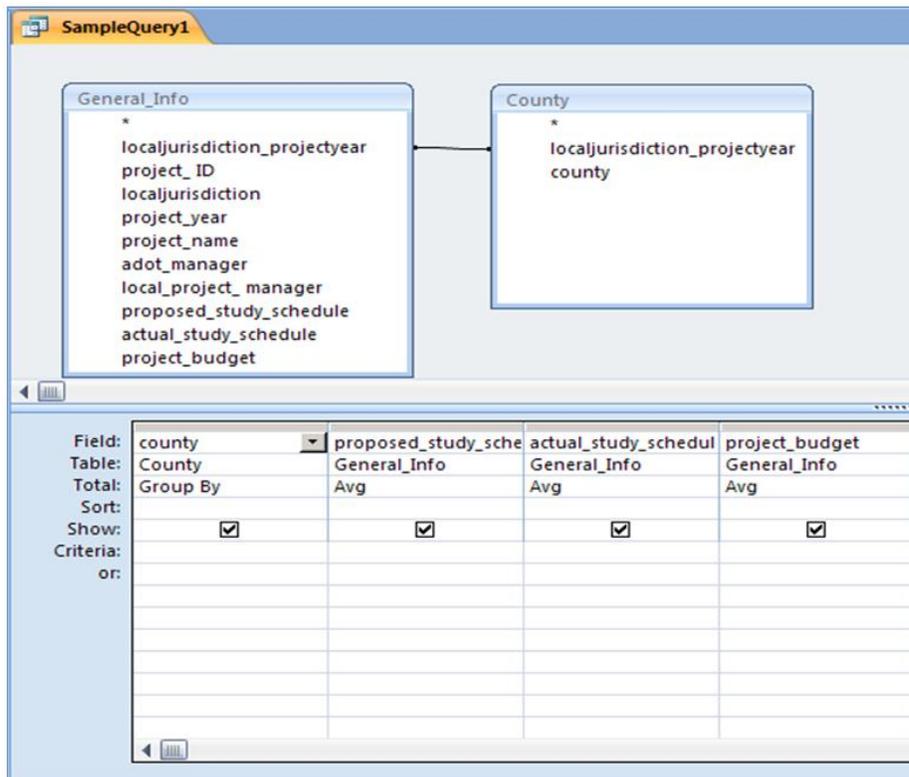
The five remaining tables—Engineering\_District, COG\_MPO, County, Planning\_Tools, and Public\_Outreach\_Methods—address project location, the types of planning tools, and public outreach used for PARA or SATS projects.

For all numeric fields in the database tables, a blank indicates that the information is not available.

## Inventory Sample Reports

The research team created two sample queries to demonstrate database reporting at different jurisdictional levels. The first sample query calculates the average project duration and budget by county. As shown in Figure 13, this query requires two tables, General\_Info and County, to be linked by the unique key localjurisdiction\_projectyear. The Total row in the query allows users to group query results by county while calculating average values for the other three fields. The query results, as shown in Figure 14, allow users to compare project budget as well as proposed and actual project schedule across the counties.

The second sample query examines project recommendation implementation in a local jurisdiction. This query also requires two tables, General\_Info and Recommendations, to be linked by the unique key localjurisdiction\_projectyear (Figure 15). The query's Total row allows users to group query results by local jurisdiction name, recommendation type, and implementation stage. Figure 16 shows the results of this query. A drop-down menu allows users to select a specific local jurisdiction. Figure 17 shows the filtered results for the City of Douglas.



**Figure 13. Sample Query 1:  
Average Project Duration and Budget by County**

county	AvgOfproposed_study_schedule	AvgOfactual_study_	AvgOfproject_budget
Apache County	13	13	217500
Cochise County	14.5	21.3333333333333	147562.426666667
Coconino County	12.75	14.25	149460.4875
Gila County	13.4	18.5	151392.394
Graham County	18	24	132856.25
Greenlee County		36	165997.4
LaPaz County	15	14	160000
Maricopa County	15	18	188163.333333333
Mohave County	14	15.2	150303.833333333
Navajo County	14	14	181497.525
Pima County	12.4	20.5	127870.913333333
Pinal County	10.8	20.1111111111111	167749.164166667
Santa Cruz County	14	14.5	161500
Yavapai County	12	14	154959.878
Yuma County	12.75	14	176677

**Figure 14. Results of Sample Query 1:  
Average Project Duration and Budget by County**

The screenshot shows a relationship diagram with two tables: **General\_Info** and **Recommendations**. Both tables have an asterisk (\*) indicating a primary key. The **General\_Info** table includes fields: localjurisdiction\_projectyear, project\_ID, localjurisdiction, project\_year, project\_name, adot\_manager, local\_project\_manager, proposed\_study\_schedule, actual\_study\_schedule, and project\_budget. The **Recommendations** table includes fields: localjurisdiction\_projectyear, recommendation, recommendation\_type, recommendation\_stage, circulation\_element, and recommendation\_timeframe. A line connects the **localjurisdiction\_projectyear** field in **General\_Info** to the same field in **Recommendations**.

Field:	localjurisdiction	recommendation_type	recommendation_stage	recommendation_stage
Table:	General_Info	Recommendations	Recommendations	Recommendations
Total:	Group By	Group By	Group By	Count
Sort:				
Show:	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Criteria:				
or:				

**Figure 15. Sample Query 2:  
Recommendation Implementation Status by Local Jurisdiction**

localjurisdiction	recommendation_type	recommendation_stage	CountOfrecomr
Ak-Chin Indian		mentation status not provided by local project sponsor/Study in progress	9
Ak-Chin Indian		mentation status not provided by local project sponsor/Study in progress	1
Bullhead City		mentation status not provided by local project sponsor/Study in progress	58
Bullhead City		mentation status not provided by local project sponsor/Study in progress	5
Chino Valley		mentation status not provided by local project sponsor/Study in progress	8
Chino Valley		mentation status not provided by local project sponsor/Study in progress	7
City of Apache Junction		ed to CIP, but no other action	7
City of Apache Junction		r (Please describe) AJ Comprehensive Transportation Study and Transit Fe	8
City of Apache Junction		r (Please describe) COAJ completed two warrant studies. Currently under	1
City of Apache Junction		r (Please describe) Currently a DCR is underway for the North-South Corrid	2
City of Apache Junction		r (Please describe) Currently under design by ADOT and be constructed in	1
City of Apache Junction		r (Please describe) Currently under design by ADOT be constructed in FY20	2
City of Apache Junction		r (Please describe) DCR for the US Route 60 Alignment Study has been com	4
City of Apache Junction		r (Please describe) Project assessment for US60/Ironwood Dr TI Improvem	1
City of Apache Junction		ing request made, but not granted to date	3
City of Apache Junction		ion	7
City of Apache Junction	Infrastructure	A. Project "open to traffic"	4
City of Apache Junction	Not Available	I. Recommendation status not provided by local project sponsor/Study in progress	1
City of Benson	Infrastructure	I. Recommendation status not provided by local project sponsor/Study in progress	53
City of Benson	Policy	I. Recommendation status not provided by local project sponsor/Study in progress	2
City of Bisbee	Infrastructure	I. Recommendation status not provided by local project sponsor/Study in progress	98
City of Bisbee	Policy	I. Recommendation status not provided by local project sponsor/Study in progress	2
City of Casa Grande	Infrastructure	I. Recommendation status not provided by local project sponsor/Study in progress	122
City of Casa Grande	Policy	I. Recommendation status not provided by local project sponsor/Study in progress	2
City of Coolidge	Infrastructure	G. Other (Please describe) 87 to Vail in CIP Other portions no action	1
City of Coolidge	Infrastructure	G. Other (Please describe) Coolidge to Central scheduled for 2015	1
City of Coolidge	Infrastructure	G. Other (Please describe) Portion (AZ Blvd to 1st Street) scheduled for constructi	1
City of Coolidge	Infrastructure	G. Other (Please describe) Portions constructed as part of Martin Valley Developm	1
City of Coolidge	Infrastructure	G. Other (Please describe) Portions of this route have been annexed by the City of	1
City of Coolidge	Infrastructure	F. No action	68
City of Coolidge	Not Available	I. Recommendation status not provided by local project sponsor/Study in progress	1
City of Coolidge	Policy	B. Implementation underway, and currently active (policy analysis and/or deliber	5
City of Coolidge	Policy	C. Implementation underway, but no longer active (policy was analyzed/deliber	1
City of Coolidge	Policy	F. Other (Please describe) Coolidge plans General Plan update in FY 2012-2013 with	1
City of Cottonwood	Infrastructure	I. Recommendation status not provided by local project sponsor/Study in progress	50
City of Douglas	Infrastructure	G. Other (Please describe) Currently working with ADOT to implement the final de	1

**Figure 16. Results of Sample Query 2:  
Recommendation Implementation Status by Local Jurisdiction**

localjurisdiction	recommendation_type	recommendation_stage	CountOfrecomr
City of Douglas	Infrastructure	G. Other (Please describe) Currently working with ADOT to implement the final design for the POE southbound traffic (installation of metering signal system)	1
City of Douglas	Infrastructure	G. Other (Please describe) Drainage improvements have been made	1
City of Douglas	Infrastructure	G. Other (Please describe) Pull-out parking on northbound side has been completed	1
City of Douglas	Infrastructure	E. Funding request made, but not granted to date	5
City of Douglas	Infrastructure	F. No action	13
City of Douglas	Infrastructure	A. Project "open to traffic"	5
City of Douglas	Policy	B. Implementation underway, and currently active (policy analysis and/or deliberation has formally begun and is currently in process)	3
City of Douglas	Policy	C. Implementation underway, but no longer active (policy was analyzed/deliberated and is still being considered, but no further action is underway or on schedule)	1
City of Douglas	Policy	D. Implementation started, but policy no longer being considered (policy was analyzed/deliberated, but formally dropped from further consideration)	2
City of Douglas	Policy	E. No action has been taken	3
City of Douglas	Policy	F. Other (Please describe) The City of Douglas is in the process of taking over the transit system for the community.	1

**Figure 17. Filtered Results of Sample Query 2:  
Recommendation Implementation Status by Local Jurisdiction**

These sample queries demonstrate how PARA planning staff and stakeholders can use information from the inventory database to assess performance at various geographic levels or for select PARA studies. ADOT could develop similar queries for internal and external needs, such as monitoring the PARA program or to track recommendation implementation in jurisdictions. The information shared externally would be a subset of the information specific to the jurisdiction or tribe, as demonstrated in the City of Douglas sample query.

## **CHAPTER 3. REVIEW OF PEER STATE PROGRAMS**

Numerous state departments of transportation (DOTs) operate transportation planning programs that address multimodal needs in rural areas. The research team in this study identified and interviewed peer states with programs that are similar to PARA. The findings, presented in this chapter, can inform possible modifications or recommendations to the ADOT PARA program.

### **IDENTIFYING AND INTERVIEWING PEER STATE PROGRAMS**

The research team conducted a peer review to identify best practices of similar state-led rural transportation programs and gain insight into potential practices that might be emulated in the PARA program. The research team identified peer review candidates based on its prior rural transportation planning work at the national and state level. The team focused on states with significant rural land area, as well as on states with similar transportation planning or governance conditions as Arizona. States on the preliminary candidate interview list were California, Colorado, Georgia, Idaho, Indiana, Iowa, Kansas, Mississippi, Montana, Nevada, Oregon, Tennessee, Utah, Washington, and Wisconsin.

The team reviewed online materials for each preliminary candidate to locate information about rural transportation programs or application processes. Researchers conducted preliminary screening interviews with the most promising candidates to assess their programs' similarities to PARA. This preliminary screening reduced the candidate list to five states: California, Georgia, Montana, Utah, and Wisconsin. These states were selected based on noteworthy practices, including multiple years of experience in managing a program for rural transportation planning (California), programs that explicitly fund multimodal transportation planning (Georgia), formally structured programs with defined objectives (Utah), and management of multiple programs to fund local transportation planning (Utah and California).

Next, the research team developed interview questions about a program's administrative format, including funding amounts, sources, application processes, and number of studies conducted annually. Additional questions addressed topics of key relevance to the PARA program, such as local match, program satisfaction, how program interest is generated from local jurisdictions, how land use and environmental issues are addressed, and the relationship of rural planning products to other statewide planning activities. The complete interview guide is presented in Appendix C.

Researchers then interviewed representatives from all five states by telephone and wrote case studies for four of the five states. During the interview with Wisconsin representatives, the researchers determined that the state's rural planning programs were actually dissimilar to ADOT's PARA program. Therefore, in lieu of full documentation, a brief summary was prepared about Wisconsin programs.

## PEER STATE INTERVIEW FINDINGS

The peer state interviews provided insight into how similar state-led transportation programs develop and maintain interest in local transportation planning and facilitate communications with communities. Table 2 summarizes the interview results. Key findings follow:

- **Clearly define program and process.** To drive interest in local transportation planning grants, California has a clearly defined program and application process with support and guidance for applicants. As part of its comprehensive process, California provides feedback to all applicants, which has led to continuous improvement in application quality.
- **Collaborate with communities that might need support.** The Utah and Montana DOTs monitor communities on an ongoing basis and listen for indications of “growing pains” that demonstrate a need for proactive planning. The DOTs support communities that do not have a planning staff to actively plan for changing conditions. For example, Utah helps emerging areas conduct initial visioning about their transportation needs.
- **Specify potential study outcomes.** DOTs must clearly communicate to communities what transportation plans will yield. Transportation planning is a process for developing an understanding of needs and providing potential solutions, but not necessarily for funding projects. Georgia DOT promotes the benefits of rural transportation planning by presenting the results of communities’ plans to municipal leaders via statewide associations.
- **Support early implementation of results.** Utah DOT has found it is critical to implement some plan elements so that communities can see results from the fairly significant local effort involved in developing transportation studies. If no results ever come out of the plans, communities will be less willing to undertake them.

Detailed summaries of the interviews with Georgia, Montana, Utah, and California follow Table 2.

**Table 2. Summary of Peer State Case Studies**

	<b>Georgia</b>	<b>Montana</b>	<b>Utah</b>	<b>California</b>
<b>Types of Programs</b>	<ul style="list-style-type: none"> <li>• County and local transportation plans</li> <li>• Regional commission (RC) transportation planning assistance</li> </ul>	<ul style="list-style-type: none"> <li>• Local transportation plans</li> <li>• Community transportation safety plans</li> <li>• Corridor planning studies</li> </ul>	<ul style="list-style-type: none"> <li>• Emerging area planning program</li> <li>• Rural Planning Organization (RPO) Program</li> </ul>	<ul style="list-style-type: none"> <li>• Community-Based Transportation Program (CBTP)</li> <li>• Environmental Justice (EJ) grant program</li> <li>• Partnership Planning (PP) grant program</li> <li>• Statewide or Urban Transit Planning Studies grant program</li> <li>• Rural or Small Urban Transit Planning Studies grant program</li> </ul>
<b>Funding Availability</b>	<ul style="list-style-type: none"> <li>• County and local transportation plans: GDOT funds or combined GDOT and local funds (on a case-specific basis)</li> <li>• RC Transportation planning assistance: \$1.5 million in SPR funds</li> </ul>	<ul style="list-style-type: none"> <li>• Local transportation plans: State share funded through SPR funds; most studies under \$200,000</li> <li>• Community transportation safety plans: SPR funds; about \$75,000</li> <li>• Corridor planning studies: SPR funds; generally under \$200,000</li> </ul>	<ul style="list-style-type: none"> <li>• Emerging area planning program: Approximately \$60,000 to \$80,000 per plan, with approximately \$100,000 in UDOT funds per year</li> <li>• RPO Program: \$110,000 in SPR funds over 5 years</li> </ul>	<ul style="list-style-type: none"> <li>• CBTP &amp; EJ: Each program funded at \$3 million per year using state highway funds; maximum grant size: \$300,000 (CBTP) and \$250,000 (EJ)</li> <li>• PP: \$1.2 million annually, funded by SPR; individual grants may not exceed \$300,000</li> <li>• Statewide or Urban Transit Planning Studies grant program: \$1.5 million annually, with Federal Transit Administration (FTA) Section 5304 funds; a cap of \$300,000 per study</li> <li>• Rural or Small Urban Transit Planning Studies grant program: \$1 million annually with FTA Section 5304 funds; individual grant limit: \$100,000 per study</li> </ul>

**Table 2. Summary of Peer State Case Studies (Continued)**

	<b>Georgia</b>	<b>Montana</b>	<b>Utah</b>	<b>California</b>
<b>Funding Match</b>	<ul style="list-style-type: none"> <li>• County and local transportation plans: varies by case</li> <li>• RC transportation planning assistance: RCs provide 20% match required of SPR funds</li> </ul>	<ul style="list-style-type: none"> <li>• Local transportation plans: No local match required; requests 50% local match</li> <li>• Community transportation safety plans: Fully funded by SPR; no local match required</li> <li>• Corridor planning studies: Fully funded by SPR</li> </ul>	<ul style="list-style-type: none"> <li>• Emerging area Planning Program: UDOT funds 100% of program</li> <li>• RPO Program: No matching required</li> </ul>	<ul style="list-style-type: none"> <li>• CBTP and EJ: At least a 10% local match; 75% percent cash, 25% in-kind</li> <li>• PP: At least a 20% match from applicants</li> <li>• Statewide or Urban Transit Planning Studies grant program: 11.47% match from applicant</li> <li>• Rural or Small Urban Transit Planning Studies grant program: No matching required</li> </ul>
<b>Program Topics</b>	<ul style="list-style-type: none"> <li>• County and local transportation plans: Multimodal, both state and local roadways (Most recommendations are highway projects.)</li> <li>• RC transportation planning assistance: Bicycle and pedestrian planning, scenic byways, Safe Routes to School, and identification and mapping of historic sites</li> </ul>	<ul style="list-style-type: none"> <li>• Local transportation plans: Comprehensive multimodal transportation plans with state and local roads</li> <li>• Community transportation safety plans: Implement state's Strategic Highway Safety Plan</li> <li>• Corridor planning studies: Corridor-specific issues, especially environmental impacts related</li> </ul>	<ul style="list-style-type: none"> <li>• Emerging area planning program: Community vision with a primary focus on transportation planning topics</li> <li>• RPO Program: Multimodal, addressing both local and state routes; bicycle/pedestrian planning desired, but not required</li> </ul>	<ul style="list-style-type: none"> <li>• CBTP: All transportation modes eligible; state and local roadways</li> <li>• EJ: Improved mobility, access, and safety while promoting economic opportunity, equity, environmental protection, and affordable housing for low-income, minority, and Native American communities</li> <li>• PP: Multiregional and statewide projects, in partnership with Caltrans</li> <li>• Statewide or Urban Transit Planning Studies grant program: Transit issues with statewide or multiregional significance to reduce congestion</li> <li>• Rural or Small Urban Transit Planning Studies grant program: Public transportation planning studies in rural or small urban areas</li> </ul>

**Table 2. Summary of Peer State Case Studies (Continued)**

	<b>Georgia</b>	<b>Montana</b>	<b>Utah</b>	<b>California</b>
<b>Program Application Process</b>	<ul style="list-style-type: none"> <li>• County and local transportation plans: No formal process</li> <li>• RC transportation planning assistance: Annual contracts with 11 RCs</li> </ul>	<ul style="list-style-type: none"> <li>• Local transportation plans: No formal process</li> <li>• Community transportation safety plans: No formal process</li> <li>• Corridor planning studies: Federal, state, regional, and local agencies solicited for recommendations. MDT evaluates corridors on controversy of solutions, corridor preservation for transportation improvements, or environmental constraints.</li> </ul>	<ul style="list-style-type: none"> <li>• Emerging area planning program: No formal process</li> <li>• RPO Program: No formal process</li> </ul>	<ul style="list-style-type: none"> <li>• Formal annual submission process includes application, scope of work, project timeline, local resolution (EJ and CBTP only), third-party in-kind valuation plan (if applicable), and project area map; formal application review process</li> </ul>
<b>Program Eligibility</b>	<ul style="list-style-type: none"> <li>• County and Local transportation plans: Local jurisdictions eligible, but focus on county or multicounty areas outside of MPOs where significant growth is occurring</li> <li>• RC transportation planning assistance: Jurisdictions outside of MPO planning areas</li> </ul>	<ul style="list-style-type: none"> <li>• Local transportation plans: Any local government entity</li> <li>• Community transportation safety plans: None</li> <li>• Corridor planning studies: None</li> </ul>	<ul style="list-style-type: none"> <li>• Emerging area planning program: None; generally, a one- or two-county region that experienced a high growth or spike in traffic</li> <li>• RPO Program: None; RPOs encouraged to plan for transportation needs for possible transitions to MPOs</li> </ul>	<ul style="list-style-type: none"> <li>• CBTP: MPOs and regional transportation planning agencies, cities, counties, transit agencies, and Native American tribal governments</li> <li>• EJ: Same as CBTP program</li> <li>• PP: None</li> <li>• Statewide or Urban Transit Planning Studies grant program: MPOs and regional transportation planning agencies holding a current Master Fund Transfer Agreement with Office of Regional and Interagency Planning</li> <li>• Rural or Small Urban Transit Planning Studies grant program: Rural or small urban areas of (transit service area population: 100,000 or less)</li> </ul>

## **Georgia's Rural Transportation Planning Programs**

Contact: Georgia Department of Transportation staff, interviewed April 13, 2012.

Outside the federally designated MPO areas, state law mandates that the Georgia Department of Transportation (GDOT) lead federally funded transportation planning activities, which include county and local transportation planning in cooperation with local governments and regional commissions (RCs). GDOT has an annual standing contract with its RCs to fund planning for the state's rural transportation needs, particularly bicycle and pedestrian planning. This program receives \$1.5 million in SPR funds annually in addition to the 20 percent match from RCs that is required of these federal funds.

Specific local governments and multiple county and local jurisdictions can also request that GDOT complete transportation plans with 100 percent GDOT funds (or a combination of GDOT and local funds on a case-specific basis). Local governments frequently request updates to plans previously completed by GDOT. If local governments have not requested a plan completion or update, GDOT may proactively contact the local government to initiate plan development, particularly when a plan does not exist and the area is experiencing above-average growth, has been recently chosen as a new commercial or manufacturing facility site, or has significant population but is still below the population threshold for MPO designation. These efforts allow GDOT planners to communicate the value of transportation planning with local officials.

When a project originates from a local plan, a background analysis of the project's value usually has been conducted. While this analysis assists with project development, it does not necessarily assign a higher weight in the state's prioritization and funding processes.

### *Regional Commission Transportation Planning Assistance*

GDOT annually contracts with the 11 RCs to provide ongoing transportation planning support and coordination to jurisdictions outside of MPO planning areas. The RCs assist local governments in meeting the Georgia Planning Act's requirement of developing and adopting land-use-focused local comprehensive plans that include a transportation element. In most cases, the transportation element is more of an inventory than a formal transportation plan. However, this work provides value to GDOT by focusing on a set list of transportation planning topics defined by the state each year and ensures that GDOT's topics of interest are also studied at the local level. These topics can include bicycle and pedestrian planning (comprising up to 50 percent of the work); scenic byways; Safe Routes to School (SRTS), a federal program funded in 2005 through 2012 that promoted safe bicycling and pedestrian practices to and from schools; and preliminary identification of historic resources and mapping of potential historic sites, especially those adjacent to roadways.

Each RC contract ranges from \$50,000 to \$250,000, depending on the work GDOT determines the area needs yearly. GDOT's total annual budget of all RC contracts is \$1.5 million, which is funded annually by SPR; RCs provide the required 20 percent match. RC planners, not consultants, manage these studies. Projects typically have standard topics, but if specific activities are needed beyond the standard topics, GDOT will define additional tasks and work with the RC to estimate the additional cost. For example,

when an auto manufacturing plant was constructed, which necessitated more robust planning to address its impact on the community, a larger RC contract of \$250,000 was developed for one year.

Further partnership occurs when GDOT uses comprehensive plans that state law requires each local jurisdiction to develop and which are coordinated through the RCs. GDOT uses the comprehensive plans' current and future land use assumptions, forecasted population growth, and land use changes as inputs to its transportation planning activities outside the MPO areas.

#### *Direct Local Transportation Planning Coordination*

GDOT also funds local jurisdictions' transportation planning activities directly with SPR funds. There is no formal application process, and all local jurisdictions are eligible. Most studies focus on county or multicounty areas outside of MPO regions where significant growth is occurring. GDOT or the county may identify a need for conducting a comprehensive transportation study or updating a previously completed study.

These multimodal studies typically address existing conditions, projected travel demand, project and policy recommendations, and funding options. Jurisdictions requesting a plan or update are usually asked to provide a local match, which ranges from 30 percent to more than 50 percent of study costs, with the intent of ensuring that the local jurisdiction is engaged in the process. GDOT and the jurisdictions jointly discuss the study issues, including both state and nonstate facilities; however, when developing task orders, GDOT takes the lead in procuring and managing the consultant. County studies do not have a cost ceiling.

On average, GDOT receives two requests for local planning studies each year. Generally, GDOT does not decline study requests and will work with the requesting entity to begin work in a fiscal year (FY), provided the entity has the fiscal capacity.

The state gas tax is constitutionally limited to uses related to roads and bridges. Therefore, no studies using state gas tax funding can exclusively focus on nonhighway modes, and most recommended studies are highway projects. However, local match can be used for the required nonfederal match to avoid this limitation. Policy recommendations may include nonhighway modes; for example, the studies could recommend demand-response (nonfixed-route) transit services available outside the MPO planning areas. Generally, bicycle and pedestrian needs are handled through RC contracts, which have produced regional bike plans that can be incorporated into the local plans by reference.

#### *Development of Needs/Recommendations into Projects*

While no formal evaluations have been conducted, GDOT is satisfied with the county and local transportation plan program and the resulting products. Discussing the county and local transportation plan program with local officials allows GDOT to educate them about the value of transportation planning. In one instance, GDOT and local officials co-presented county transportation plans at the state American Planning Association conference to showcase the value of the local planning process.

Federal regulations require each state to develop a State Transportation Improvement Program (STIP) at least once every four years. A STIP contains a list of statewide transportation capital improvements. As part of GDOT's consultation requirement with local officials, GDOT engineering district staff meets at least annually, but often more frequently, with local officials in non-MPO areas to discuss the progress of ongoing and programmed STIP projects as well as other planning issues and development updates.

GDOT has started implementing innovative public involvement strategies outside of traditional public meetings and static websites for local planning studies. For example, GDOT distributed a travel study questionnaire to students of a particular school district to share with their parents. GDOT did not provide information about whether responses were greater than seen in previous surveys. GDOT is also considering expanding social media as public outreach tools in the planning process.

### **Montana's State-Supported Transportation Planning**

Contacts: Montana Department of Transportation staff, interviewed April 26, 2012.

Montana Department of Transportation (MDT) funds transportation planning outside its MPO areas through local transportation plans, Community Transportation Safety Plans (CTSPs), and corridor studies. Through these programs, MDT highlights the benefits of proactive planning, particularly to small communities that are experiencing growth but lack the staff needed to conduct planning. MDT provides modified planning program guidelines to allow communities more customization and flexibility.

Approximately \$600,000 is available each year for these three programs, representing 10 percent of Montana's SPR funds. On average, two studies in each of the three programs are completed each year. The local and corridor planning processes give communities the opportunity to prioritize and document their transportation needs, which can prove valuable when pursuing funding for implementing projects. Some communities use the local transportation plans as intended and implement their recommendations, but others do not. MDT stated that a key lesson learned is the need to clearly explain what the planning studies are intended to yield and that they will not necessarily result in funded projects.

While no formal evaluations have been conducted on local or corridor transportation plans, MDT staff stated that communities have reacted positively to the process and products.

#### *Local Transportation Plan Grant Program*

The need for a local transportation plan is usually identified by communities that experience growth and increased development. MDT district staff who work closely with local jurisdictions may become aware of emerging transportation needs and suggest that a community consider a local transportation plan with MDT's support.

The Local Transportation Plan Program has no formal application process, and any local government entity may apply for funding. Local officials request support for a local transportation plan in writing, indicating the proposed local contribution. While there is no local match requirement, MDT seeks a 50 percent local match to ensure community commitment. (The local share may be less than 50 percent

in smaller communities.) The state share is funded by SPR. The local applicant procures a consultant and manages the local transportation plan with oversight by MDT, which reimburses the consultant's costs. While there is established budget limit, most are under \$200,000.

Most communities that apply for local transportation plans pursue comprehensive multimodal transportation plans that consider both state and local roads. While population and employment forecasts are developed as inputs to the travel demand forecasts, significant land use planning is usually not conducted. Also, stand-alone bicycle or pedestrian plans are rarely funded through this program, largely because much of the bicycle use occurs on recreational trails and not as a primary means of transportation. Plan recommendations typically include both policies and projects. However, including a project in the plan recommendations does not give it priority over competing projects considered in the STIP. Tracking the implementation of plan recommendations largely falls to local government employees, who determine what has been completed or advanced when they update the plan.

#### *Community Transportation Safety Plan Grant Program*

MDT has recently begun a program to fund CTSPs as a way to implement the state Strategic Highway Safety Plan in urban areas. No formal application process exists; communities simply communicate to MDT their interest in developing a safety plan. These plans are substantially different from local transportation plans as they focus only on safety and generate policy and process recommendations, rather than recommendations for infrastructure projects. In addition, they are heavily driven by stakeholder input.

Safety studies are fully funded by MDT with SPR, requiring no local match. MDT hires and oversees the consultant. Since the program's inception in 2010, two studies have been completed and two are underway. MDT actively promotes this program to communities; however, to date a smaller number of communities have sought CTSP funding than expected.

Implementation of the plans can begin immediately after plan completion because an appropriate committee structure is established during plan development and significant additional funding is not required for several of the types of recommendations made by these plans. MDT closely monitors implementation by requiring communities to report implementation progress annually. CTSPs are generally funded at about \$75,000.

#### *Corridor Planning Studies*

MDT manages corridor planning studies funded by SPR. These studies link MDT's planning and project development processes. To initiate this linkage, MDT asks federal, state, regional, and local agencies to recommend corridors that would benefit from a planning study. MDT selects from these recommended corridors based on one or more of the following characteristics: the transportation problems' solutions are considered controversial by the community; the corridor has been identified by the community for future transportation improvements; or corridor environmental constraints might lead to an environmental impact statement (EIS) or environmental assessment. (Note: The National Environmental Policy Act (NEPA) requires agencies using federal funds to consider the environmental impacts of the

proposed actions and reasonable alternatives to those actions through a series of prescribed steps. To meet NEPA requirements, agencies must prepare a detailed EIS. Montana established additional environmental requirements unique to the state through the Montana Environmental Policy Act, or MEPA.) MDT may also select a corridor for its planned projects. MDT tends to select corridors with regionally significant or high-cost projects, and projects with many alternatives or alternatives that are not well defined.

Upon selecting to study a corridor, MDT staff forms a team of local representatives; MDT planning, environmental, and engineering staff; FHWA division office staff; and federal and/or state resource agencies with interests in the corridor (MDOT 2009). MDT's corridor planning team adapts the process that is documented in *Montana Business Process to Link Planning Studies and NEPA/MEPA Reviews* (FHWA 2011) to the corridor's unique issues. Generally, a corridor study costs under \$200,000, and approximately two studies are conducted per year.

Project development and planning in earlier corridor planning processes occurred separately and was less efficient. Engineering staff responsible for project development would identify an engineering deficiency, advance a preliminary design concept, and develop an environmental document in compliance with NEPA without considering planning level efforts or funding constraints. Environmental review of regionally significant projects would often result in a costly EIS.

Because project development and planning were conducted separately, environmental staff often repeated the data collection and analysis performed during the planning process. In addition, neither process seriously considered non-construction alternatives, such as operational improvements and enhanced maintenance plans. Consequently, the environmental review process often recommended alternatives that were not feasible and ultimately inhibited MDT from implementing solutions to the underlying transportation problems. To link the planning and environmental review processes and address transportation needs more efficiently and comprehensively, MDT's Rail, Transit, and Planning Division worked with the FHWA's Montana Division Office to develop the current, more streamlined corridor planning study process.

Even if a local community is not on a corridor study team, it can still be involved in the structured public involvement process. Local communities benefit by being given a voice early in the corridor study process and having full awareness of the process. A corridor study team may identify short-term improvements as well as major projects, so local agencies may see some proposed improvements that can be implemented relatively quickly.

MDT is currently reviewing its process for tracking implementation. Periodically, when there is a need to catalog progress, staff manually develops a list of constructed corridor projects. MDT is interested in automating this process.

## Utah's State Support of Rural Transportation Planning

Contacts: Utah Department of Transportation staff, interviewed May 16, 2012.

The Utah Department of Transportation (UDOT) operates two programs that provide transportation planning support to non-MPO areas: the Emerging Area Planning Program and the Rural Planning Organization (RPO) Program.

### *Emerging Area Planning Program*

A community develops a vision plan to better understand transportation planning issues (such as alignments and funding). UDOT generates an emerging area plan when an area experiences high growth or a spike in traffic. The agency manages the program in-house using a consultant. UDOT funds 100 percent of the program and has led one to two plans per year for the past four years. Each plan costs approximately \$60,000 to \$80,000, with UDOT spending approximately \$100,000 annually.

Generally, the study area is a one- to two-county region. Previously, UDOT conducted the program at the small city level with approximately five studies per year over four years. However, when the agency realized that conducting such planning at the regional level was more effective, it moved to a regional model.

While the community's vision for its future may focus on topics beyond transportation, such as housing, UDOT tries to ensure a primary transportation focus. If study topics become too numerous, UDOT will recommend a master plan. When appropriate, UDOT helps guide the community into the next step, a formal transportation plan.

Public and stakeholder involvement is key to a visioning plan, which documents commonalities and differences, and identifies issues that will require considerable effort to reach a compromise. A significant benefit of the emerging area planning program is that local stakeholders can document what they want their transportation system to look like. The program also offers an opportunity for regional cooperation: Stakeholders from multiple jurisdictions across a region address common issues and map out the region's future. When local stakeholders work cooperatively to identify needs and envision their transportation future, local jurisdictions start to identify the benefits of operating regionally, rather than as individual entities. According to UDOT, using a consultant as a neutral party for facilitating discussions enhances these visioning efforts.

While no formal evaluation has been conducted, UDOT is very satisfied with this program. The department is considering extending the visioning program to address all modes.

### *Rural Planning Organization Program*

In Utah, RPOs are generally formed in areas where populations are expected to reach or exceed 50,000 in the next 10 to 20 years—the level required for the formation of an MPO. UDOT encourages RPOs to plan for transportation needs for possible transitions to MPOs. The agency provides \$110,000 in SPR funds to develop a transportation plan that is required when an RPO becomes an MPO. Funding levels are \$40,000 in Year 1; \$30,000 in Year 2; \$20,000 in Year 3; and \$10,000 each in Years 4 and 5. Concurrently, a local match of \$10,000 per year (\$50,000 total) is required.

UDOT's overall program objective is to gain insight into the needs and desires of local jurisdictions in regard to the state transportation system. UDOT is able to use this information to plan and preserve right of way for potential future needs. The transportation element of a study produced under the RPO Program is multimodal (as appropriate) and includes both local and state routes. Generally, up to three RPO plans are underway at various stages along a five-year continuum at any given time. UDOT initiates an average of one new plan per year.

The RPO Program does not have a formal application process; historically, when an RPO population has approached 50,000, the RPO has contacted UDOT to inquire about opportunities for transportation planning. In most cases, a municipality or county within the RPO procures a consultant to develop the plan.

Transportation planning at the RPO level is tied to Utah's statewide long-range plan, which identifies transportation needs over a specified time frame and recommends projects to meet those needs. The state updates its long-range plan every four years, and projects identified in RPO and MPO plans are considered for inclusion. If an RPO project is ultimately included in the state long-range plan, a municipality or county in the RPO must sponsor the project and participate in its implementation.

RPO planning is also linked to NEPA, and supports the environmental review process by incorporating UDOT's planning analysis. For example, UDOT develops maps that identify statewide environmental issues as part of the long-range planning process. These maps help local governments understand the environmental concerns that may need to be considered in future project decisions. This streamlining of the environmental review process aligns with the federal transportation funding and highway authorization enacted in 2012—Moving Ahead for Progress in the 21st Century Act (MAP-21).

Although RPOs are more experienced at operating as regions than are emerging areas, the benefits of RPO transportation plans are similar to those of the regional visioning plans. An objective of the RPO program is to help regions understand the land use component of a transportation request and the need to preserve right of way for future transportation uses. For example, if transit is addressed at the local level, UDOT helps stakeholders understand that land use must be given major consideration during transit planning.

UDOT staff believes that expediency in implementing plan results is key to keeping local governments engaged in planning efforts. To help local jurisdictions begin implementing projects, UDOT operates a local government assistance program through which local jurisdictions can apply for project funding. To

be considered for funding, a jurisdiction must document that the project has been recommended and included in an approved plan. In this way, UDOT emphasizes the connection between planning and project implementation.

### **California's State-Supported Local and Regional Transportation Planning Program**

Contacts: California Department of Transportation staff, interviewed May 7, 2012.

For more than a decade, California Department of Transportation (Caltrans) has had active grant programs supporting local and regional transportation planning, which staff described as highly oversubscribed. These programs are structured, with a formal application and review process and detailed guidance for applicants, including webinars on how to apply. Caltrans provides application feedback to every program applicant, which staff stated has resulted in continuous improvement in application quality. Applications are reviewed by evaluation teams composed of Caltrans subject matter experts and other agency partners, which results in a diverse set of grantees. Authority to award the grants is delegated to the lowest possible level within the agency, which has significantly reduced grant award response time.

Caltrans funds community transportation planning through several grant programs, including the Community-Based Transportation Program (CBTP), Environmental Justice (EJ) grant program, Partnership Planning (PP) grant program, Statewide or Urban Transit Planning Studies grant program, and Rural or Small Urban Transit Planning Studies grant program.

#### *Community-Based Transportation Program*

CBTP grants are designed to support livability and sustainability projects with a transportation or mobility objective. All transportation modes are eligible, and a significant number of applications for bicycles and pedestrian projects are received. Studies address both state and local roadways. CBTP grants are funded at \$3 million annually using state highway funds, with a maximum grant size of \$300,000. Eligible applicants are MPOs and regional transportation planning agencies, cities, counties, transit agencies, and Native American tribal governments. Subapplicants may include universities; community colleges; community-based organizations; nonprofit organizations; and public entities such as state agencies, public authorities, political subdivisions, or public corporations. At least a 10 percent local match is required, of which 75 percent must be cash and 25 percent may be in-kind.

#### *Environmental Justice Grant Program*

The EJ grant program is designed to cultivate community involvement in planning for improved mobility, access and safety, while promoting economic opportunity, equity, environmental protection, and affordable housing for low-income, minority, and Native American communities. These studies include both state and local roadways.

EJ grants are funded at \$3 million per year using state highway funds, with a maximum grant of \$250,000. Eligible applicants for EJ grants are the same as for CBTP grants. At least a 10 percent local match is required, of which 75 percent must be cash and 25 percent may be in-kind.

Caltrans receives approximately 170 applications for the CBTP and EJ grants each year, with 15 to 18 grants awarded annually. Based on the need and strength of applications, funds can be shifted between the two programs in a given year.

#### *Partnership Planning Grant Program*

The PP grant program funds transportation planning studies of multiregional and statewide significance. Projects must be jointly performed with Caltrans, which often means that Caltrans is represented on the technical committee. The annual budget for PP grants is \$1.2 million, which is funded by SPR. Individual grants may not exceed \$300,000. Applicants must provide a 20 percent match, which may be composed entirely of in-kind contributions, although they are encouraged to provide a higher match. Caltrans is able to fund approximately five grants of the 15 to 20 applications received annually.

#### *Statewide or Urban Transit Planning Studies Grant Program*

The Statewide or Urban Transit Planning Studies grant program funds studies on transit issues with statewide or multiregional significance that assist in reducing congestion. Eligible agency applicants are MPOs and regional transportation planning agencies holding a current Master Fund Transfer Agreement with the Office of Regional and Interagency Planning. This agreement is between California and a city, county, or other local public agency. The agreement defines the general terms and conditions that must be met to receive funds for the Federal-aid Highway Program or for projects funded only by the state. Other agencies may be subapplicants, except in San Francisco, where transit agencies, cities, counties, and Native American groups may apply directly. The annual budget for Statewide or Urban Transit Planning Studies grants is \$1.5 million and is funded through the Federal Transit Administration (FTA) Section 5304, with a cap of \$300,000 per study. The applicant must provide an 11.47 percent match, which may be an in-kind contribution. Annually, Caltrans is able to fund five to eight grants, which is about half of the applications received.

#### *Rural or Small Urban Transit Planning Studies Grant Program*

The Rural or Small Urban Transit Planning Studies grant program funds public transportation planning studies in rural or small urban areas with a transit service area population of 100,000 or less. Funded at \$1 million annually with FTA Section 5304 funds, the program limits individual grants to \$100,000. About one-half of the applicants receive grants, with 10 to 15 grants awarded annually. Eligible applicant agencies and match are the same as those for the Statewide or Urban Transit Planning Studies grant program.

#### *Grant Application Process*

A formal annual application process has been established for all the grant programs described. Each applicant must submit the following:

- Application including identification of relevant state transportation planning goals, project description, project justification, public participation planned, and final project deliverables
- Scope of work

- Project timeline
- Local resolution (EJ and CBTP grants only)
- Third Party In-Kind Valuation Plan, if applicable (required for EJ and CBTP grants)
- Map of project area that clearly identifies the boundaries of the project area and defines the project's local context

Caltrans provides a comprehensive Grant Application Guide, including detailed guidance and samples, as well as a worksheet to help communities determine required match and a sample scope of work. Additional guidance for communities is offered through video and slide presentations about specific programs. All information is available on the Caltrans Transportation Planning Grant Program website at <http://www.dot.ca.gov/hq/tpp/grants.html>. Consultant support is procured and managed by the grantees, with costs reimbursed by Caltrans.

Project needs are generated at the regional level, and community plans must be coordinated with regional plans and priorities. For PP and Transit grants, for which an MPO must be the applicant, when a grant is awarded, the MPO is required to include it in its Unified Planning Work Program, a federally mandated report in which MPOs document planning activities, as a stand-alone work element. It would then be expected that projects resulting from state-funded studies would be programmed into MPO Transportation Improvement Programs (TIPs) and ultimately included in the STIP.

Integration of environmental concerns into these programs is challenging because of limitations on how long the funding can be used. The studies generally develop conceptual designs and conclusions that are helpful in justifying a project's advancement to the next phase of study. Transit programs have the environmental goal of reducing congestion and providing alternatives to driving with only one occupant. The CBTP grants often address issues such as jobs and housing balance and transit-oriented development with the goals of reducing demand on the transportation system and greenhouse gases.

Caltrans has not established a centralized system to track implementation of projects developed through the grant programs. During the course of a project, however, the state documents implementation through quarterly reports. If an agency seeks a second grant, its history of project implementation is evaluated.

All grant applications are formally reviewed. For example, applications submitted for EJ and CBTP grants undergo review by the Caltrans districts, the Caltrans Office of Community Planning, and a multidisciplinary review committee. District staff review all applications for content, proper documentation, consistency between the project timeline and scope of work, and overall relationship to local and regional planning efforts. For CBTP and EJ grants, 60 percent of evaluators are Caltrans subject matter experts and 40 percent are representatives of external partners, such as the governor's office, department of education, or community development office.

### *Lessons Learned*

An evaluation study of the EJ grant program and the CBTP analyzed a random sample of grants funded from program inception in FY 2001 through FY 2007. While the evaluation was very positive, staff currently overseeing the grant programs believes a better indicator of success is the oversubscription to all of the Caltrans planning grant programs, i.e., requests far exceed available funds. While some large MPOs have similar funding programs, they are at a much smaller scale and are available only to communities within their planning areas.

Caltrans staff stated that, over time, the agency has significantly improved the application process. Webinars help prospective applicants understand the application process, and staff continuously improves application guidance. Previously, multiple hard copies of applications and CDs were required; today, all submissions are received by e-mail. Applications are processed in three to four months. Caltrans also has delegated grant awarding authority to the lowest possible level within an agency, the division chief.

Caltrans is committed to providing feedback by teleconference to applicants—those who receive grants and those who do not—following grant award notification. Staff stated that this practice continuously improves application quality. In the future, program administrators would like to enable applicants to submit applications online, evaluators to review applications and comment online, and grantees to report on project progress online. This would allow real-time reporting of successes and setbacks, and would enable Caltrans to resolve problems quickly, if needed.

### **Wisconsin's Support of Community Transportation Planning**

Contacts: Wisconsin Department of Transportation staff, interviewed May 2, 2012.

Between 2001 and 2010, Wisconsin Department of Transportation (WisDOT) had in place a state comprehensive planning law that required all communities to develop a comprehensive plan by 2010 as a prerequisite of zoning or subdivision ordinance. WisDOT provided grants to fund the transportation component of these plans. This program ended in 2010, and the law has since been rescinded.

Wisconsin has nine Regional Planning Commissions that receive SPR funds for transportation planning. These planning commissions develop annual work programs that are submitted to WisDOT for endorsement. They may also fund community transportation plans.

WisDOT operates a \$4 million corridor-planning program that began in 2007 in its current form. The state made a conscious effort to centralize corridor planning to ensure consistency in study definitions and products.

## CHAPTER 4. STAKEHOLDER ASSESSMENT

PARA and SATS programs have historically addressed a diverse range of transportation planning issues for various local communities and tribes. Completing a PARA study also requires integrating perspectives from stakeholders with varying goals and objectives and developing transportation system recommendations suitable to the local context. This chapter summarizes the assessment of stakeholder experience with PARA through two sources:

- **Online surveys** were designed and conducted to understand and evaluate the experience of a broad audience ranging from ADOT and local agency staff to consultants. These surveys included open-ended and multiple-choice questions. Stakeholders answered the questions relevant to their experience.
- **Telephone interviews** were designed and conducted to solicit in-depth feedback and detailed comments from a select group of SATS and PARA stakeholders. These questions gathered insights into individual experience with the PARA program.

This chapter documents the survey and interview designs, the research team's method of implementation, and the survey and interview results. Survey and interview responses are combined according to topic areas. This synthesis of opinions informs the recommendations in Chapter 5.

### ONLINE SURVEYS

The research team designed an online survey to assess the experience and document the perspective of SATS and PARA program stakeholders: ADOT Multimodal Planning Division (MPD) staff (those serving as project managers for PARA studies), ADOT Engineering District staff, ADOT Predesign staff, ADOT SRTS management, ADOT Transportation Enhancements management, ADOT Environmental Planning staff, ADOT Programming staff, ADOT Communications staff, ADOT Contracts Administration staff, public involvement consultants, local jurisdiction staff, COG and MPO staff, and technical consultants.

The research questions were also organized into five categories or question blocks:

- **Core:** Questions address the overarching objectives of the SATS and PARA programs.
- **Technical and planning:** Questions assess the transportation planning and policy issues addressed by the SATS and PARA studies.
- **Program interaction:** Questions evaluate the degree to which the SATS and PARA studies have both informed and been informed by other state, regional, and local transportation planning, programming, and engineering activities.
- **Public involvement:** Questions examine ADOT's and the sponsoring jurisdiction's level of outreach and engagement with the public and agency stakeholders.
- **Program administrations:** Questions assess the SATS and PARA program level of funding, quality of application materials and processes, and project and program recommendations for implementation and tracking.

The research team assigned each stakeholder group to respond to specific question blocks relevant to their SATS and PARA study involvement and participation. While all stakeholder groups responded to the core questions, the survey design allowed for groups to also focus on those question blocks that pertain to their experiences. For example, the ADOT Contracts Administration staff did not respond to the technical and planning questions because these questions did not pertain to their experiences in administering the SATS and PARA studies.

As a result, there were seven versions of the survey with different mixes of question blocks. Figure 18 shows the seven versions of the survey, the question blocks, and their relevant respondents; Appendix D provides the online survey and Appendix E provides the comments given by survey respondents as part of the survey. The complete survey results are contained in Appendix I, which is available as a separate PDF document upon request from the ADOT Research Center.

### **TELEPHONE INTERVIEWS**

The research team designed and conducted telephone interviews with key stakeholders identified by ADOT. In addition to evaluating user experience, the interview questions prompted respondents to identify opportunities to enhance the existing PARA process. The key stakeholders were organized into different roles (Table 3). The number of questions each respondent answered varied from two to six; correspondingly, each interview lasted 30 to 60 minutes. Appendix F provides the complete list of interview questions.

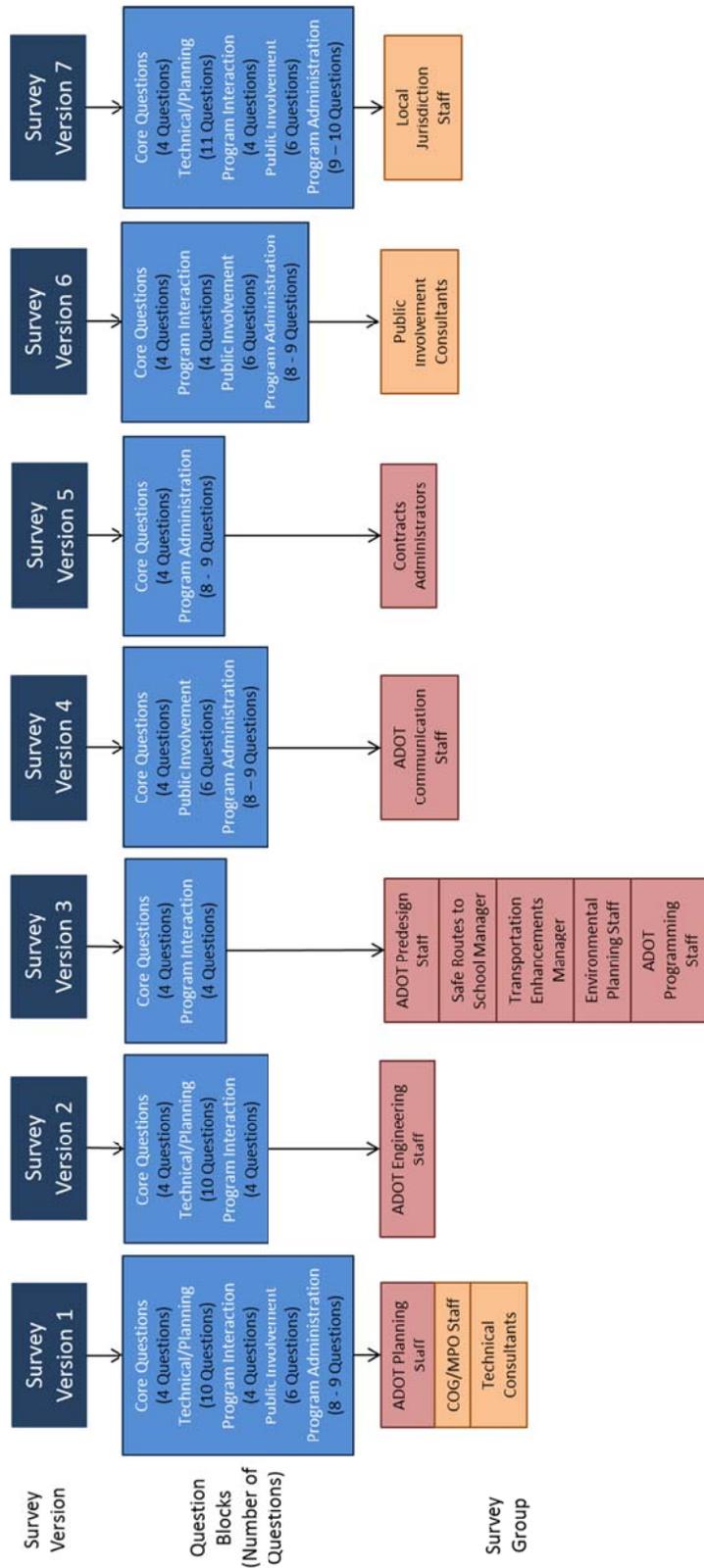


Figure 18. SATS/PARA Online Survey Stakeholder Groups Assignments

**Table 3. SATS/PARA In-Person Interview Stakeholder Role Assignments by Question**

Stakeholder Role	Questions
MPD management	1 through 6
PARA project managers	1 through 6
Technical consultants	1 through 6
ADOT Transit	1 through 6
Public involvement (ADOT and consultants)	1, 3, 4, 5, and 6
ADOT districts	1 and 6
COG and MPO staff	1 through 6
Tribal representatives	1 through 6
Local jurisdictions	1 through 6

**IMPLEMENTATION AND TIMELINE OF SURVEYS AND INTERVIEWS**

The research team distributed the online survey to 252 participants; 50 respondents completed the surveys (Table 4). Each survey version rested on a unique website accessible only to respondents from that stakeholder group. The research team also identified and interviewed 21 stakeholders in nine different interviews (Table 5). **Because the sample sizes of completed surveys and interviews are small compared to the number of PARA program stakeholders, these results are considered an anecdotal assessment of the PARA program’s effectiveness and are not statistically significant.**

**Table 4. Participant Survey Completion Status by Survey Group**

Survey Group		Survey Invitations Sent	Began Survey, but Did Not Fill in Any Response	Did Not Complete Surveys	Completed Surveys
Group 1	ADOT Planning, COG or MPO, and technical consultants	59	5	6	17
Group 2	ADOT Engineering District staff	18	0	2	6
Group 3	ADOT Predesign, SRTS, Transportation Enhancements, Environmental Planning, and Programming staff	20	6	2	5
Group 4	ADOT Communications staff	14	0	0	4
Group 5	Contracts administrator	1	1	0	0
Group 6	Public involvement consultants	14	1	0	3
Group 7	Local jurisdictions	126	4	8	15
<b>Total</b>		<b>252</b>	<b>17</b>	<b>18</b>	<b>50</b>

**Table 5. Interview Group and Number of Interviewees**

<b>Interview Group</b>	<b>Interview Invitations Sent</b>	<b>Number of Interviewees</b>
ADOT Transit	3	2
MPO or COG	4	2
ADOT Planning	7	5
Local jurisdictions	11	5
Technical consultants	4	2
ADOT MPD Management	2	1
Public involvement	3	1
Tribal	3	1
ADOT Engineering	5	2

**SYNTHESIS OF OPINIONS**

The remainder of this chapter presents the interview and survey results for the following topics:

- Participant PARA experience (online surveys)
- Eligible transportation planning (online surveys and interviews)
- Respondents and the public’s expectation for PARA (online surveys and interviews)
- PARA interactions with other programs (online surveys and interviews)
- Program administration (online surveys and interviews)
- Public involvement (online surveys and interviews)

For some topics, interview and survey results are combined to present the perceptions or opinions of both survey and interview respondents in one topic area; for other topics, information from one group only is presented. The parenthesis at the end of each line indicates whether the results presented are from the surveys, the interviews, or both processes. Also, for each topic, this report specifies the interview and survey questions that generated the results for each topic are also presented. Complete survey and interview questions are given in Appendices D and F, respectively. Appendices G and I provide the actual interview and survey responses, respectively, organized by respondent group. Appendix I is available as a separate document upon request from the ADOT Research Center.

## PARTICIPANT PARA EXPERIENCE

The online surveys asked respondents how many PARA studies they have been involved with in various roles (see Appendix D, CQ3 and CQ4). As shown in Table 6, Groups 1 and 7 respondents have the most varied number of PARA-related project roles. Groups 1 and 4 have participated in the highest number of PARA studies, and Groups 3 and 7 have participated in the lowest number of PARA studies.

**Table 6. Number of Survey Participants by Role**

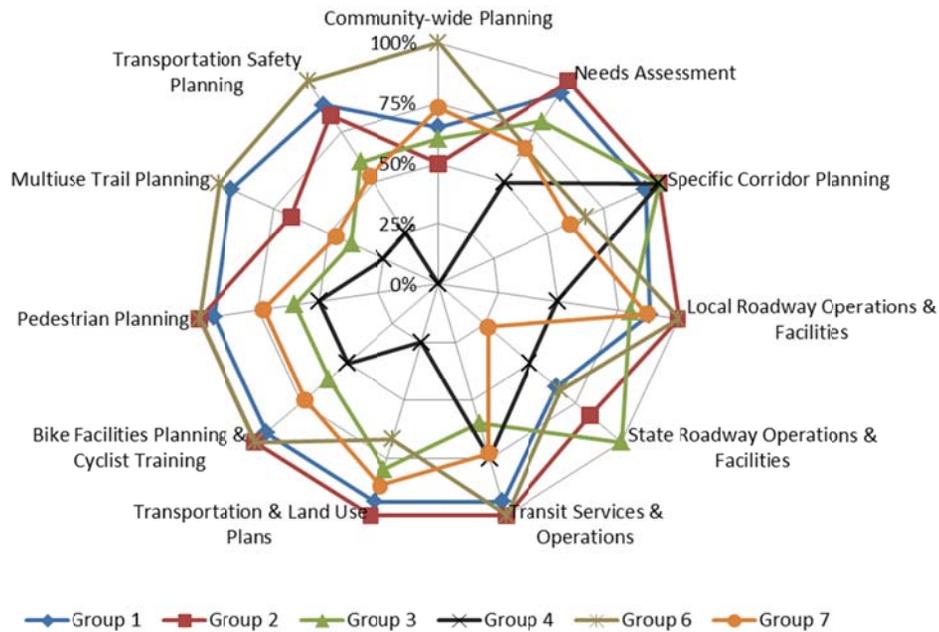
Survey Group	PARA-Related Project Role				Average Number of PARA Studies in Each Role
	Consultant	TAC Member	ADOT/Local Project Manager	Other Role	
<b>Group 1:</b> ADOT Planning, COG or MPO, and technical consultants	8	4	6	3	8.4
<b>Group 2:</b> ADOT Engineering staff	0	5	0	2	4.1
<b>Group 3:</b> ADOT Predesign, SRTS, Transportation Enhancements, Environmental Planning, and Programming staff	0	1	4	1	0.5
<b>Group 4:</b> ADOT Communications staff	0	0	4	0	10.8
<b>Group 6:</b> Public involvement consultants	3	0	0	0	7.3
<b>Group 7:</b> Local jurisdictions	2	10	5	3	1.6

## ELIGIBLE TRANSPORTATION PLANNING TOPICS

The online surveys asked all respondents to identify which of the following topics should be eligible for PARA funding (see Appendix D, CQ2): community-wide planning, specific corridor planning, local roadway operations and facilities planning, state roadway operations and facilities planning, transit services and operations and facilities planning, transportation and land use plans (e.g., regional transportation plans (RTPs) and comprehensive plan—transportation element), bicycle facilities planning and cyclists training, pedestrian planning, transportation safety planning, and multiuse trail planning.

Figure 19 shows the percentage of respondents who selected the optional eligible topics. Among ADOT survey respondents (Groups 1 through 4), specific corridor planning was the most selected eligible topic. Local roadway operations and facilities were also one of the most selected eligible topics in all groups, with the exception of Group 4. Among all groups, the respondents of Groups 1 and 2 were the most likely to select the same topics—needs assessment, specific corridor planning, transit services and operations and facilities planning, transportation and land use plans, bicycle facilities planning, and pedestrian planning. Group 6 was the only group with all respondents selecting community-wide planning. Group 3 was the only group with all respondents selecting state roadway operations and facilities planning.

Among ADOT survey respondents (Groups 1 through 4), communitywide planning was one of the least selected topics. With the exceptions of Groups 1 and 6, multiuse trail planning was one of the least selected topics among all survey groups. State roadway operations and facilities was the least selected topic for local jurisdictions (Group 7).



**Figure 19. Support for Eligible PARA Study Topics by Percentage of Survey Group Respondents**

**Group 1:** ADOT Planning, COG, MPO, and technical consultants; **Group 2:** ADOT Engineering District staff; **Group 3:** ADOT Predesign, SRTS, Transportation Enhancements, Environmental Planning, and Programming staff; **Group 4:** ADOT Communications staff; **Group 6:** public involvement consultants; and **Group 7:** local jurisdiction staff.

### STATE HIGHWAY NEEDS

Interview respondents were asked to what extent PARA studies should address state highways (Appendix F, 2c). Most interviewees agreed that state highways should be addressed by PARA studies since state highways are often a part or all of a rural community’s main street and a part of the local roadway network. Understandably, local stakeholders would have an interest in the functionality of these state routes. However, ADOT Transit and tribal interview participants thought that PARA coverage

of state highways should be limited. In particular, PARA should not just become a corridor study focused on state highway, because the program would duplicate other evaluations of state highways performed by ADOT. Technical consultants and ADOT Planning suggested that state highway design and policy guidelines be established for PARA studies to ensure that locally preferred state highway improvements are consistent with ADOT's intentions. ADOT Planning respondents noted that state highways can be transferred to local ownership and management if all relevant stakeholders agree to the transfer. ADOT has developed a potential route screening and transfer process in the *ADOT Route Transfer Handbook* (ADOT 2012a).

### **HELPING JURISDICTIONS AND TRIBES UNDERSTAND THEIR TRANSPORTATION NEEDS**

Interview respondents were asked if PARA studies should help jurisdictions and tribes understand broad transportation needs or specific improvements in their communities (Appendix F, 2d). Most interviewees agreed that a useful PARA topic would be helping jurisdictions and tribes understand their transportation needs. Only the ADOT Transit respondents disagreed and thought that local jurisdictions should be able to internally identify needs prior to applying for PARA funds. They also added that, in many instances, needs were established during the scoping of a PARA study; they believe it is unnecessary to have a separate study dedicated to understanding transportation needs.

ADOT Planning participants indicated that helping jurisdictions and tribes understand their transportation needs (e.g., connectivity, mobility, access management, visioning or goal setting) may be considered as a PARA topic in the next PARA application cycle. Local jurisdiction and technical consultants suggested a small funding program (with individual study budgets ranging from \$3000 to \$10,000) for conducting needs assessment. Of the Planning participants, MPD management suggested a checklist of planning topics for local jurisdictions to consider.

### **ADDITIONAL ELIGIBLE TOPICS AND COMMUNITIES**

Interview respondents were also asked to suggest other PARA topics (Appendix F, 2a). Most participants agreed that the existing list of topics is comprehensive. Two respondent groups—MPD management and technical consultants—expressed approval of the wider array of possible project topics that became eligible over the last two to three years. Below are suggestions for additional PARA topics:

- Mobility: how to efficiently move people (ADOT Transit)
- Regionwide studies at the COG level (COG)
- Airport interconnectivity (ADOT Planning)
- Freight planning, as required by MAP-21 (ADOT Planning)
- Rail planning (ADOT Planning)

In addition, technical consultants suggested PARA funding be available to areas within the MAG and the Pima Association of Governments (PAG) urban boundaries and adjacent to rural communities. Transportation improvements in these areas would benefit travel in the surrounding rural communities.

**PARA EFFECTIVENESS IN ADDRESSING DIFFERENT TOPICS**

Survey respondents in Group 1 (ADOT Planning, COG, MPO, and technical consultants), Group 2 (ADOT Engineering District staff), and Group 7 (local jurisdiction staff) were asked how they perceived PARA studies’ effectiveness in addressing a variety of topics [Appendix D, TP4(A) to TP4(F)]. Table 7 summarizes the respondents’ perceptions. The subsequent sections present additional details about perceived effectiveness of PARA in each topic.

**Table 7. Perception of PARA Effectiveness by Topic**

<b>Topic Area</b>	<b>Group 1</b>	<b>Group 2</b>	<b>Group 7</b>
Environmental benefits and impact	Neutral	Neutral	Effective
Mobility and accessibility for people	Effective	Effective	Effective
Mobility and accessibility for freight	Responses varied <sup>1</sup>	Neutral	Neutral/not relevant
Multimodal transportation alternatives	Effective	Effective	Effective
Economic competitiveness	Effective	Effective	Responses varied <sup>2</sup>
System performance and preservation	Effective/neutral	Neutral	Effective/neutral

<sup>1</sup>Responses were roughly divided among not relevant, ineffective, neutral, and effective.

<sup>2</sup>Responses were roughly divided among not relevant, neutral, and effective.

**Environmental Benefits and Impact**

Online survey respondents were asked how effective PARA studies were in addressing environmental benefits and impact [Appendix D, TP4(A)]. The majority of respondents from Group 1 (ADOT Planning, COG, MPO, and technical consultants) and Group 2 (ADOT Engineering District staff) selected neutral as their perception of how well PARA addressed environmental benefits and impact. Among respondents in Group 7 (local jurisdiction staff), effective was the highest rating (40 percent); however, many respondents also selected not relevant or neutral. Several respondents indicated that environmental studies have been overviews and not in-depth evaluations, although some respondents in Groups 1 and 7 noticed that environmental work has taken more prominence recently, especially with the introduction of the Planning and Environment Linkages process.

**Mobility and Accessibility for People**

Survey respondents were asked about the effectiveness of PARA studies in addressing mobility and accessibility for people [Appendix D, TP4(B)]. The majority of respondents (70 to 82 percent) rated the studies effective or very effective in addressing this topic. In general, these respondents thought that PARA studies adequately addressed linkages between modes of transportation and benefited the public. However, 20 percent of local jurisdiction staff (three out of 15 respondents) rated the studies as very

ineffective or ineffective. They said PARA studies should more thoroughly address pedestrian and accessibility issues and offer solutions for congested areas.

### **Mobility and Accessibility for Freight**

When online survey respondents were asked about PARA studies' effectiveness in addressing mobility and accessibility for freight [Appendix D, TP4(C)], most Group 2 participants selected neutral. Roughly the same number from Group 7 (local jurisdiction staff) selected neutral or not relevant. Among Group 1 participants (ADOT Planning, COG, MPO, and technical consultants), responses varied with roughly the same number of respondents selecting not relevant, ineffective, neutral, and effective. For many respondents, especially in Group 7, freight mobility and accessibility are not local issues and need not be addressed in their PARA studies. As one respondent said, "Freight is usually a regional and national issue with localities primarily interested if they have a large manufacturing sector."

### **Multimodal Transportation Alternatives**

The majority of survey respondents said PARA studies were effective or very effective in addressing multimodal transportation alternatives [Appendix D, TP4(D)]. In Group 1 (ADOT Planning, COG, MPO, and technical consultants) and Group 7 (local jurisdiction staff), 20 to 36 percent of respondents selected neutral. One-third of the respondents in Group 2 (ADOT Engineering District staff) selected ineffective. Two Group 2 respondents said PARA studies were not good at capturing data, planning, funding, or constructing for multimodal needs, particularly bicyclists and pedestrian needs, in rural areas. A Group 1 respondent said that the existing PARA program had three typical alternatives available to communities: fixed route transit, sidewalks, and bike paths; communities might not consider multimodal alternatives if they perceive that none of these alternatives is suitable for them. Group 1 and 7 respondents said some communities do not consider multimodal alternatives because of the rural nature of their area.

### **Economic Competitiveness**

Online survey respondents were asked how effective PARA studies were in addressing economic competitiveness [Appendix D, TP4(E)]. One-half of respondents from Group 1 (ADOT Planning, COG, MPO, and technical consultants) and Group 2 (ADOT Engineering District staff) said the economic competitiveness was addressed effectively or very effectively. The other respondents in these two groups were evenly distributed among ratings of not relevant, ineffective, and neutral. Responses from Group 7 (local jurisdiction staff) were evenly distributed among not relevant, neutral, and effective. While some respondents in these three particular groups thought the extent to which PARA studies addressed economic competitiveness was adequate for their needs, others thought that land use elements and the relationships between economic centers and transportation could be explored further. A Group 1 respondent noted that the FTA grant program, Job Access Reverse Commute, has added a new element of commuter planning within the multimodal planning process, and recent PARA studies have started to focus more energy on commuter planning.

## **System Performance and Preservation**

Survey respondents were asked how they perceived PARA studies' effectiveness in addressing system performance and preservation [Appendix D, TP4(F)]. Most of Group 2 respondents (ADOT Engineering District staff) selected neutral. Roughly 40 percent of Group 1 (ADOT Planning, COG, MPO, and technical consultants) and 20 percent of Group 7 (local jurisdiction staff) chose effective and neutral. Roughly one-quarter of Group 7 respondents chose not relevant. Groups 2 and 7 expressed a general sentiment that the existing studies only lightly touched on the topic and suggested this subject be more comprehensively included in a study scope. Group 1 respondents expressed a similar sentiment, noting that in the past this topic has not been a focus for small area communitywide studies.

## **RESPONDENTS AND THE PUBLIC'S EXPECTATIONS FOR PARA**

The surveys asked Group 1 (ADOT Planning, COG, MPO, and technical consultants), Group 2 (ADOT Engineering District staff), and Group 7 (local jurisdiction staff) about their affiliated organizations' expectations for the PARA program (Appendix D, TP1). All three groups expected that PARA would produce usable and targeted results for other related processes. Respondents said that PARA documents can:

- Help communities set priorities and serve as the basis for future budget planning
- Be used to apply for grant funding
- Devise targeted solutions that can be implemented
- Assist with zoning and general plan update

Groups 1 and 7 expected a flexible process with a range of eligible topics addressing local needs. Two respondents indicated the desire for local entities to take a more prominent role in leading the project.

Most respondents from Groups 1, 2, and 7 agreed that the PARA program has met their organization's expectations. Among all three groups, roughly 70 to 80 percent of respondents agreed that the program has met their expectations. PARA identified future needs and helped with local entities' and tribes' long-range transportation plans. Only one respondent said PARA did not meet expectations.

## **PARA PLANNING HORIZON YEAR**

Survey respondents were asked about the appropriate planning horizon year for PARA studies (Appendix D, CQ1). Midterm (six to 10 years) was consistently selected as the desired project horizon except Group 6 (public involvement consultants), whose respondents had no opinion about the time frame. Long term (11 to 20 years) is the second most-selected time frame, except for Group 3 (ADOT Predesign, SRTS, Transportation Enhancements, Environmental Planning, and Programming staff), and Group 4 (ADOT Communications staff).



agencies; they also said ADOT can educate local jurisdictions in identifying and prioritizing project funding.<sup>1</sup> ADOT MPD planners noted that it is currently standard practice to help local jurisdictions identify and prioritize project funding.

ADOT Planning, technical consultants, and Engineering District staff saw opportunities in engaging local jurisdictions in the PARA process. Engagement could be achieved through a local matching fee. ADOT Engineering District staff also said that focusing on short-term improvements and funding would ensure jurisdictions do not lose sight of the solutions that PARA can offer. This group believes jurisdictions are more engaged when PARA studies identify and devise solutions for problems that impact them daily.

COG planners suggested greater participation in the application process to ensure local planning efforts are consistent with the region's vision and that the COG is aware of what locals want to study and the application's quality. Currently, ADOT asks for a COG letter of support for PARA studies. Greater COG awareness could be as simple as a signature line for PARA documents throughout the study. ADOT MPD planners noted that COGs currently are represented on TACs for each study and that they routinely review working papers. Transit planners have also said that PARA studies should allow more scope flexibility to make them more unique to jurisdictions.

#### **PUBLIC EXPECTATIONS FOR TRANSPORTATION PLANNING**

The online surveys asked respondents about their perception of the public's expectations for transportation planning (Appendix D, TP3). Respondents from Group 1 (ADOT Planning, COG, MPO, and technical consultants), Group 2 (ADOT Engineering District staff), and Group 7 (local jurisdiction staff) think that the public does not have a holistic understanding of the typical long-term focus of planning projects. Rather, they believe that the public would like transportation planning to solve immediate, local issues that affect them daily. For instance, many Group 2 respondents said that the public often wants to minimize the planning process and move into project implementation as soon as possible. There is a general misconception that the local government will build any improvement that is being studied. Groups 1 and 7 said the public only wants a cost-effective, efficient, and transparent process for local government to address immediate issues. Respondents also mentioned the following transportation planning expectations: safety, congestion relief, regional connectivity, and quality highway and transit system.

#### **PUBLIC EXPECTATIONS FOR PARA**

The online survey also asked local jurisdiction respondents whether PARA met their public's expectations [Appendix D, TP3(A)]. Of the 15 local jurisdiction respondents, 11 selected yes and 4 chose no opinion.

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<sup>1</sup> ADOT has produced two new manuals for educating communities: *Local Public Agency Manual*, produced by the Local Public Agency Section (2012b) within the Intermodal Transportation Division, and *MPO and COG Guidelines and Procedures Manual*, produced by MPD (2014).

## **LOCAL JURISDICTIONS' EXPECTATIONS FOR PARA TECHNICAL ANALYSES**

Survey respondents were asked if the technical analyses conducted for PARA studies met local jurisdictions' expectations (Appendix D, TP5). Most respondents in all three survey groups responded that PARA technical analyses met local jurisdictions' expectations. Group 7 (local jurisdiction staff) had the highest number of respondents who selected yes (13 out of 15 respondents). Whereas, in Group 1 (ADOT Planning, COG, MPO, and technical consultants) 10 out of 17 respondents selected yes, and the remaining respondents split almost evenly among no, no opinion, and other comments. Group 1 respondents commented that PARA studies should ensure that the local jurisdictions and tribes get what they want out of the studies. Most communities include their objectives in their applications, and PARA are often used to verify a need or justify a project.

## **ADOT MPD'S UNDERSTANDING OF LOCAL AND REGIONAL AGENCIES' TRANSPORTATION NEEDS AND PRIORITIES**

The online surveys asked respondents whether ADOT MPD understands local and regional agencies' transportation needs and project priorities (Appendix D, AI4). About two-thirds of all respondents indicated that ADOT MPD understood local and regional transportation needs and priorities, with the exception of Group 3 (ADOT Predesign, SRTS, Transportation Enhancements, Environmental Planning, and Programming staff). Three of five Group 3 respondents selected no opinion, while the other Group 3 respondents selected yes. One Group 3 respondent said that other non-MPD ADOT expertise, such as Transit or Engineering, should be involved in the process for identifying local needs. ADOT MPD planners noted that ADOT Transit and Engineering representatives are routinely invited to participate on the TACs for PARA studies and to offer input into the study process and products.

Respondents in Group 1 (ADOT Planning, COG, MPO, and technical consultants) and Group 2 (ADOT Engineering District staff) suggested more non-MPD involvement to understand local needs. One Group 1 respondent said that MPD currently does not understand local needs and, thus, local jurisdictions should be the lead agency directly managing the study process consultant. One Group 6 respondent selected no and said that it is not the role of MPD to understand local needs, particularly outside of the state transportation network. Two respondents from Group 7 (local jurisdiction staff) said MPD's level of understanding varied between different individual staff member and projects.

## **INTERACTIONS WITH OTHER PROGRAMS**

Survey respondents were asked how well PARA results are integrated with other ADOT (non-MPD) sections' activities (Appendix D, AI1). Group 2 (ADOT Engineering District staff) and Group 7 (local jurisdiction staff) most frequently selected effective integration with other ADOT sections (47 to 67 percent). A smaller number of respondents selected neutral or ineffective. Group 7 acknowledged that efforts are made to coordinate PARA results with other non-MPD studies; however, integration between these studies is not always clear. Respondents in Group 6 (public involvement consultants) selected neutral. These respondents said they were unaware of good examples of integration with other activities, in particular, PARA's alignment with ADOT policies. Responses from Group 1 (ADOT Planning, COG, MPO, and technical consultants) and Group 3 (ADOT Predesign, SRTS, Transportation

Enhancements, Environmental Planning, and Programming staff) varied on how effective PARA studies integrate with other ADOT studies. Many Group 1 respondents acknowledged that ADOT district staff often participate and offer local insights.

### **IMPACT OF TECHNICAL ANALYSES ON OTHER LOCAL PLANNING EFFORTS**

Local jurisdictions, ADOT planning, and tribal interviewees agreed that technical analyses have been helpful in other planning efforts (Appendix F, 2b). For example, tribal interviewees said other planning efforts could use the recommendations in the transportation plan to complete their section on zoning ordinance or design standards (i.e., roadway lengths, landscaping, sight view triangles). ADOT Transit and COG respondents thought that technical analyses have not been as helpful. COG respondents stressed that COG participation could help local jurisdictions follow through with PARA results and identify project funding.

### **OTHER AGENCY (NON-ADOT) INFORMATION**

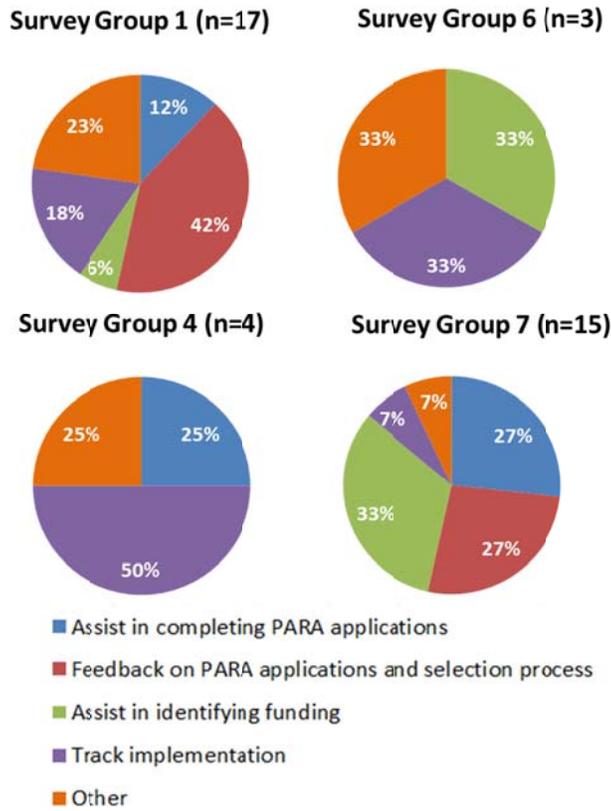
The majority of respondents in all survey groups, except for Group 3 (ADOT Predesign, SRTS, Transportation Enhancements, Environmental Planning, and Programming staff), acknowledged that PARA studies effectively involve broad-based stakeholder participation and include information from all stakeholder activities. Group 3 respondents were roughly split between neutral and effective.

### **IMPACT ON PROGRAMMING DECISIONS**

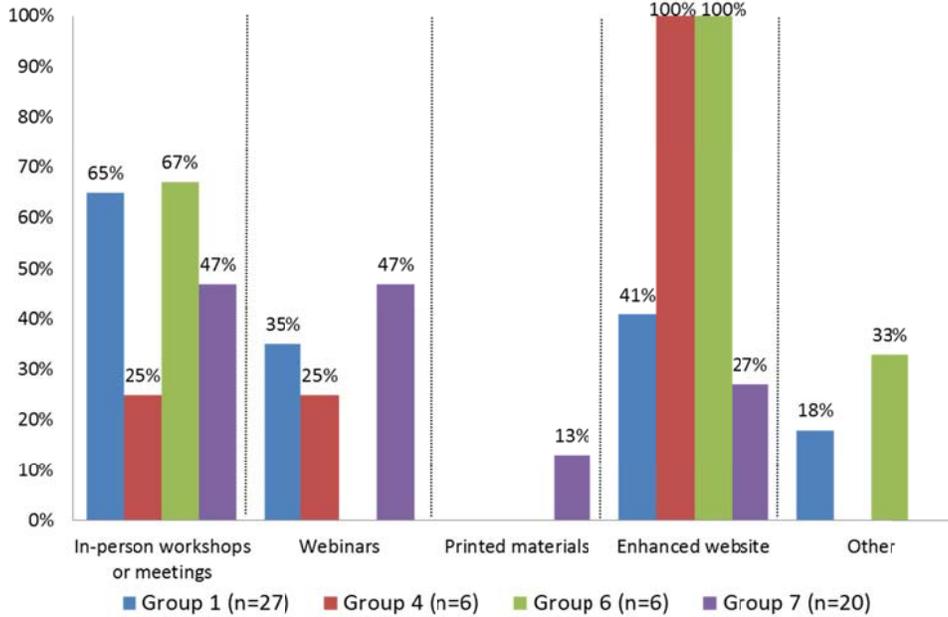
The online surveys asked respondents how well PARA studies help ADOT Engineering Districts make programming decisions. Responses from Group 1 (ADOT Planning, COG, MPO, and technical consultants), Group 2 (ADOT Engineering District staff), and Group 7 (local jurisdiction staff) were varied. Some were unaware of how PARA recommendations are used by district staff, while other respondents commended PARA studies for providing guidance on using limited funds. Some Group 2 respondents cited the lack of resources or funding that could allow the districts to make decisions on project implementation. Group 3 (ADOT Predesign, SRTS, Transportation Enhancements, Environmental Planning, and Programming staff) and Group 6 (public involvement consultants) mostly selected neutral. Many respondents were unaware of PARA's influence in ADOT district decision-making.

### **PROGRAM ADMINISTRATION**

Overall, respondents believed that PARA projects were well-managed and that ADOT staff were effective in program administration (Appendix F, 3a). The MPO and COG respondents expressed a desire for more interaction with the program. Survey respondents were similarly asked about the most effective way for ADOT to provide administrative support on the PARA study process [Appendix D, PA4(A)]. Respondents expressed an interest in more comprehensive investigation and analysis to help local jurisdictions identify and secure implementation funds (Figure 21). When asked about the most effective way for ADOT to provide additional education on the PARA study process [Appendix D, PA4(B)], online survey respondents suggested an enhanced website and in-person workshops (Figure 22).



**Figure 21. Most Effective Way for ADOT to Provide Administrative Support on the PARA Study Process** (Group 1: ADOT Planning, COG, MPO, and **technical** consultants; Group 4: ADOT Communications staff; Group 6: **public involvement** consultants; Group 7: local jurisdiction staff)

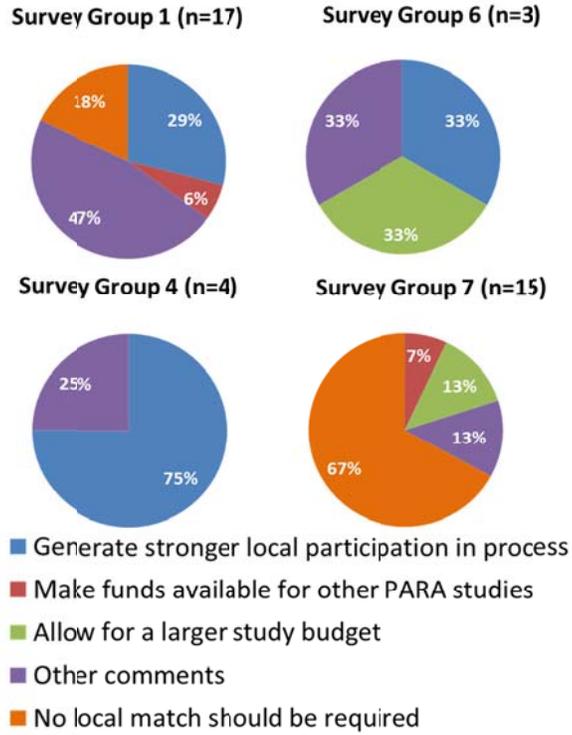


**Figure 22. Most Effective Way for ADOT to Provide Additional Education on the PARA Study Process (Group 1: ADOT Planning, COG, MPO, and technical consultants; Group 4: ADOT Communications staff; Group 6: public involvement consultants; Group 7: local jurisdiction staff)**

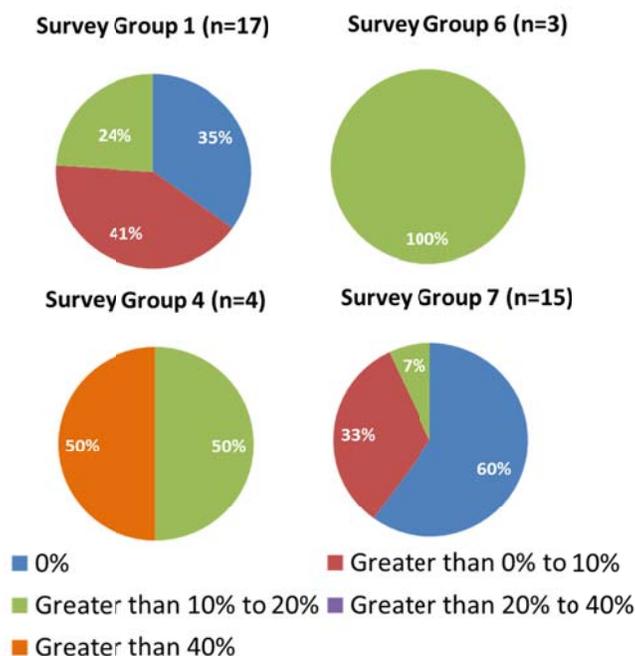
### PARA PROJECT FUNDING

Currently, the PARA program requires no funding match from local jurisdictions. Survey respondents were asked about their perception of how a local match requirement would affect the PARA process and whether the current policy should be altered (Appendix D, PA2). Respondents from Group 7 (local jurisdiction staff) were most likely to believe that no local match is a valuable part of the program (Figure 23).

The online surveys asked respondents about their opinion of local funding that should be considered if PARA required a local match (Appendix D, PA3). As shown in Figure 24, most survey respondents would consider a local match of less than 20 percent if PARA requires a local match. Respondents were also asked whether it would be appropriate to require a higher matching requirement, if, as a result, a local jurisdiction could have more say in PARA programs administration (Appendix F, 3b). The respondents perceived that the local jurisdictions have ample opportunity for contributing to the PARA project in their community and that consultant selection was not a factor in whether or not local staff was actively engaged in the project.



**Figure 23. Effect of a Local Match Requirement on the PARA Process**  
 (Group 1: ADOT Planning, COG, MPO, and technical consultants;  
 Group 4: ADOT Communications staff; Group 6: public involvement  
 consultants; Group 7: local jurisdiction staff)



**Figure 24. Local Match Funding Level**

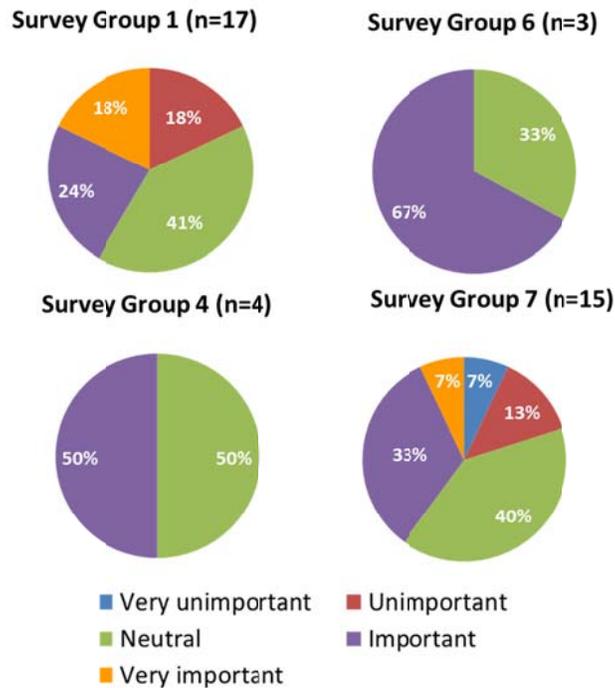
(Group 1: ADOT Planning, COG, MPO, and technical consultants;  
 Group 4: ADOT Communications staff; Group 6: public  
 involvement consultants; Group 7: local jurisdiction staff)

While respondents see a need for more local agency engagement in the projects, they did not support requiring a local match. Different groups recognized different challenges of the local match, including the drawn-out process of establishing a joint project agreement (JPA) (ADOT Planning) and the availability of funds (technical consultants, MPO and COG, and local jurisdictions).

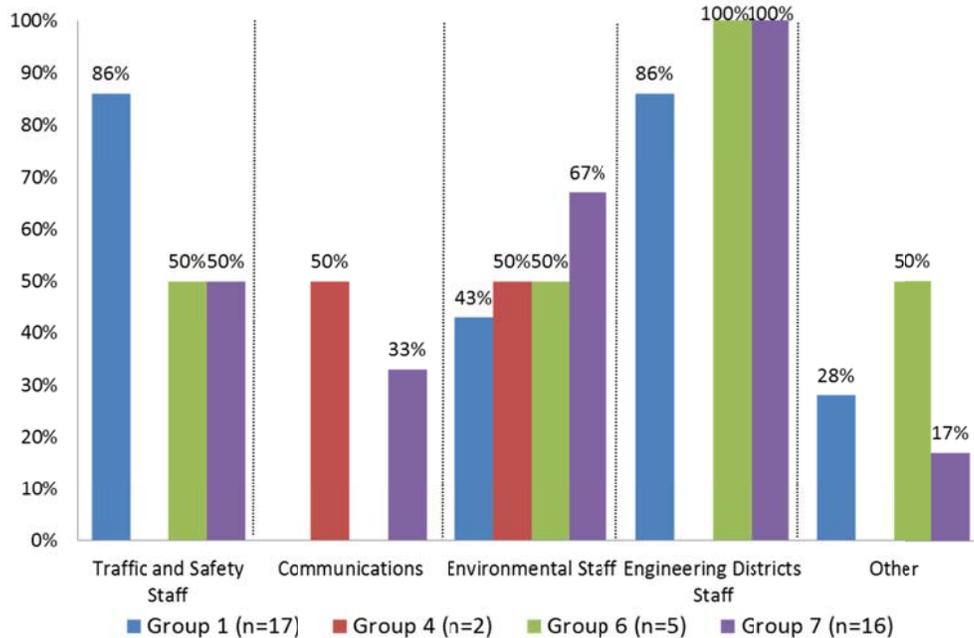
Interview respondents were asked whether there should be a stated limit to funding PARA studies (Appendix F, 3b). Respondents agreed that there should be a limit to the amount of funding that the PARA program contributes for any project. There was general agreement that \$250,000 was the appropriate amount. If a study needs more than \$250,000, interview respondents generally agreed that the opportunity should exist for the local jurisdiction to provide the additional funding. ADOT MPD management stated that more than this amount of funding might suggest the study's focus is regional, i.e., reflects a larger geographic study area or broader array of concerns than those addressed by a community-based study. Also, the MPO and COG respondents suggested that local jurisdictions may need assistance in identifying the amount of funding needed for a project.

## PARA APPLICATION PROCESS

Currently, ADOT planning staff is responsible for reviewing PARA applications. Survey and interview respondents were asked if other ADOT employees should be involved in the application review (Appendix D, PA1; Appendix F, 3c). ADOT MPD, COG, ADOT Transit, technical consultants, and local jurisdictions suggested district engineers be involved in the PARA applications review process (Figure 25 and Figure 26). Others also suggested that if a project includes a particular specialty, then ADOT



**Figure 25. Involving Other ADOT Employees in PARA Study Applications Review**  
 (Group 1: ADOT Planning, COG, MPO, and **technical consultants**; Group 4: ADOT **Communications staff**; Group 6: **public involvement consultants**;  
 Group 7: local jurisdiction staff)



**Figure 26. Other ADOT Employees to Include in PARA Application Review**

(Group 1: ADOT Planning, COG, MPO, and technical consultants;  
 Group 4: ADOT Communications staff; Group 6: public involvement consultants; Group 7: local jurisdiction staff)

representatives of that specialty should be included in the review process. Respondents also suggested that some sort of application review rotation be set up to include other stakeholders, such as representatives from the appropriate MPOs and COGs as well.

The research team also asked interview respondents if the current application selection process is easy to understand or if it could be clarified (Appendix F, 3c). Interview respondent’ opinions varied. The tribal interviewees said the process is very easy to understand, while other groups felt it was moderately transparent (ADOT Planning) to not at all transparent (MPO and COG).

Interview respondents were also asked whether the existing criteria for PARA applications are appropriate (Appendix F, 3c). There was no consensus on this question. Some interview participants felt the criteria were fine while others thought the criteria should emphasize local community support. One respondent suggested that linkage to the appropriate RTP could be a new criterion. Another said “overall project considerations” criteria were unclear and as such may be overweighted.

When asked whether PARA applications should be focused on a different transportation planning theme each year, such as safety or sustainability (Appendix F, 3c), most interview respondents said no. Some reasons given: a low likelihood that the PARA theme and the community need are the same at the same time, and the additional challenge of the local communities to anticipate and plan for the PARA theme.

The research team asked interviewees what would attract new applicants to the PARA program (Appendix F, 3c). Respondents recommended continued and expanded outreach and education to attract new applicants to the PARA program; involving MPOs and COGs in outreach to local jurisdictions because of the regional organizations' knowledge of local issues; and periodic (every other year) PARA summits or conferences where local and ADOT staff could share concerns, successes, and lessons learned.

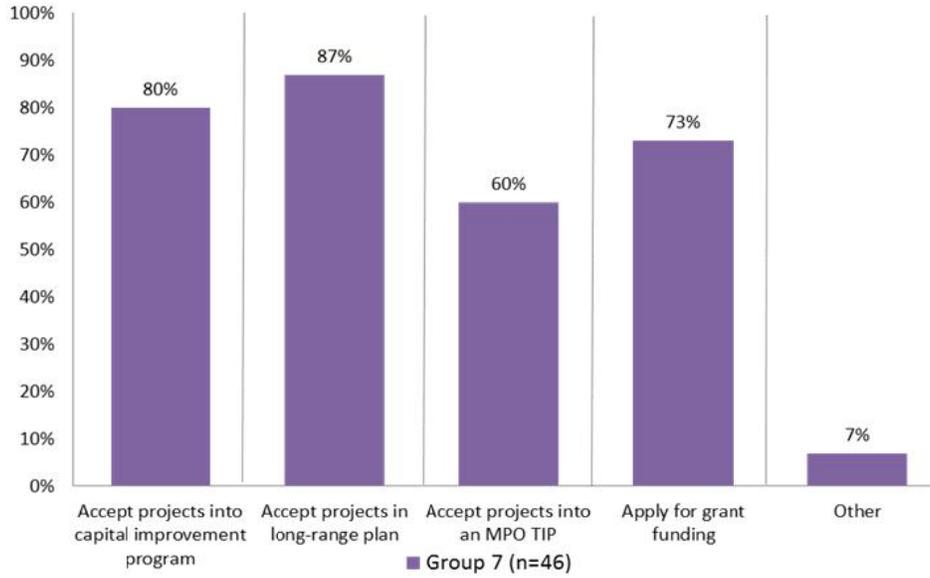
Interview respondents were asked if they thought past implementation status should factor into the PARA application review process (Appendix F, 3c). Most of the interview respondents said past implementation status could be a very important piece of information if not an evaluation factor. The respondents did, however, also recognize that implementation is sensitive to funding availability, project priority within the community, MPO, or COG, or product timeline (e.g., a general plan update will have a long timeline for implementation).

### **CONSULTANT SELECTION**

The research team asked interviewees whether consultants selected by ADOT have been effective in understanding communities' needs and in developing project recommendations (Appendix F, 4a). The interviewees expressed mixed responses and acknowledged that one challenge was in selecting consultants with appropriate experience or other preparation for working in the rural context, particularly when considering the role of stakeholder and public outreach. The respondents also said one project was challenged by having the scope finalized before the consultant was on board, so it was difficult to manage the project once was underway. Interviewees from local jurisdictions also said they had sufficient access to consultants during the PARA study process (Appendix F, 4b), but that it is equally important for the consultants to have access to the local jurisdiction staff.

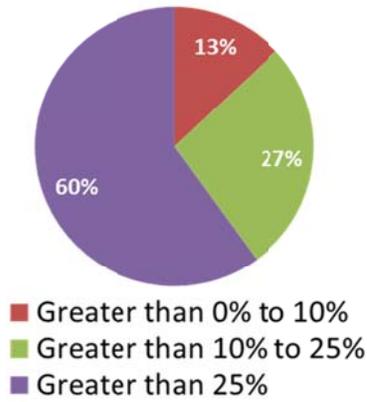
### **RECOMMENDATION IMPLEMENTATION**

Survey respondents in Group 7 (local jurisdiction staff) were asked about steps taken by a local jurisdiction to promote implementation of PARA recommended projects and policies (Appendix D, PA5). As shown in Figure 27, the majority of local respondents have applied for grant funding and accepted projects into the long-range plan, the capital improvement program, and an MPO's TIP. Survey respondents were also asked about the percentage of implemented study project recommendations (Appendix D, PA6). The majority of these respondents indicated having implemented greater than 25 percent of PARA study recommendations over the long term (Figure 28).



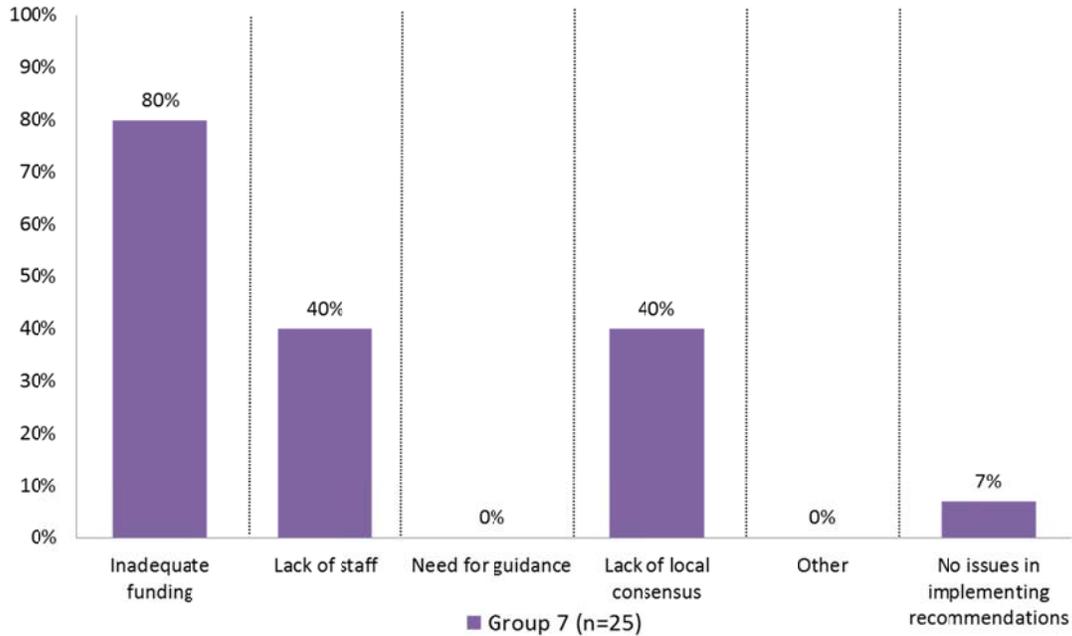
**Figure 27. Steps Taken by Local Jurisdiction to Promote the Implementation of Recommended Projects and Policies**

**Survey Group 7 (n = 15)**



**Figure 28. Percentage of Study Project Recommendations Implemented Locally Over the Long Term**

The majority of online survey respondents indicated funding and staffing resources as the top challenges to implementing recommendations (Appendix D, PA7) (Figure 29). Some respondents also indicated that securing public and elected official support was challenging.



**Figure 29. Difficulties Implementing Recommendations**

The surveys asked local jurisdiction respondents to describe how their jurisdiction tracks project recommendation implementation after study completion (Appendix D, PA8). Most survey local jurisdiction respondents (Group 7) indicated that the project results are integrated into the appropriate capital improvement program (CIP or TIP) and implemented when possible. One respondent indicated that, once constructed, the projects are integrated into the asset management system.

The research team also asked interviewees if it would be valuable to track the status of the implementation of PARA recommendations at local jurisdictions (Appendix D, PA7-8). Many interview respondents said it would be a good idea, although they suspected it may involve additional and potentially complex work for ADOT. One respondent suggested that follow-up interviews with local jurisdictions could be useful in learning detailed information about opportunities and barriers associated with implementing the results of the PARA project.



emphasized the importance of customizing outreach to the target audience. Technical consultants were confused about recent changes in ADOT's process for public involvement. COG interviewees said public outreach has been weak.

### **ELEMENTS OF THE PUBLIC INVOLVEMENT PROCESS TO IMPROVE**

The research team asked interviewees which element of the public involvement process could be improved (Appendix F, 6b). Interview respondents said the public involvement process could increase engagement through targeted notifications and interesting questions on issues that affects the public daily, instead of issues on a "40-year horizon." ADOT MPD planners noted that the role of PARA is not to address issues on a 40-year horizon. This process should also give the public more context on how federal mandates interact with local-, regional-, and state-level planning. Respondents also indicated that the process should provide feedback to the public about how their concerns were addressed.

Interviewees also thought that the public involvement budget should not be based on a straight 10 percent formula of the technical budget, but should vary by the number of rounds of public involvement. Technical consultants suggested a more creative public outreach approach (e.g., roving event bus at a grocery store) instead of traditional public meetings.

### **INCORPORATING OUTREACH INPUT INTO PARA STUDIES**

The majority of survey respondents from Group 1 (ADOT Planning, COG, MPO, and technical consultants), Group 6 (public involvement consultants), and Group 7 (local jurisdiction staff) said outreach input has been incorporated into PARA studies (Appendix D, PI4). A Group 1 respondent said public comments might at times conflict with each other and that in these cases, comments should simply be documented. Group 4 respondents (ADOT Communications staff) were divided between yes and no opinion.

Interviewees were also asked whether outreach input was incorporated into PARA studies (Appendix F, 6c). Among the interviewees, ADOT Transit, ADOT Planning staff, technical consultants, and tribal respondents said feedback was reflected in PARA studies. ADOT district engineers said the public often does not get the bigger planning picture or take a stance for its self-interest. When reviewing public comments, it is necessary to consider these biases. The district engineers and the ADOT public involvement staff stressed that it is important to acknowledge public input. The public involvement staff pointed out that jurisdictions might still go ahead with a project even if the public voiced opposition.

### **OUTREACH EVENTS AND NOTIFICATION TECHNIQUES**

When asked to choose the most effective outreach event (Appendix D, PI2), Group 1 survey respondents (ADOT Planning, COG, MPO, and technical consultants) said focus groups and Group 7 survey respondents said open houses. Survey respondents from Groups 4 and 6 did not show a strong preference for a particular event type.

Interviewees were also asked about effective outreach events (Appendix F, 6d). Among interviewees, there was a general concern that outreach events should vary and cater to the local context and target

audience. For example, COG and tribal interviewees suggested combining PARA outreach events with existing community, council, or tribal elder meetings to harness existing civic participation. Interviewees from local jurisdictions suggested taking a more innovative outreach approach. One jurisdiction mentioned an event where participants moved around a scaled intersection and interacted with model vehicles simulating turn movements in the intersection.

When asked about the most effective types of notification techniques (Appendix D, PI3), survey respondents from Groups 7 and 4 said press releases and inserts/mailers, respectively. Group 6 suggested direct mailers or notifications targeted toward a particular audience. Group 1 did not show a strong preference for any technique.

The research team also asked survey respondents if there are other strategies they would like to see applied in the public involvement outreach process (Appendix D, PI5). The majority of Group 1 respondents (ADOT Planning, COG, MPO, and technical consultants) selected more customization of outreach activities to each study. Group 7 respondents (local jurisdiction staff) selected no opinion or more customization of outreach activities to each study. Group 4 (ADOT Communications staff) and Group 6 (public involvement consultants) did not show a strong preference for other strategies.

#### **FACILITATING THE PUBLIC INVOLVEMENT PROCESS IN LOCAL JURISDICTIONS**

The interview respondents were asked how public outreach consultants have facilitated the public involvement process for local jurisdictions (Appendix F, 6e). According to interviewees, consultants set up the public meetings (including securing rental space and providing insurance), distribute meeting notifications, and maintain stakeholder outreach through surveys and websites.

Many interviewees also stressed the importance of the public outreach consultants being context-sensitive. For example, in a tribal setting it has been useful for the consultant to find a local representative who the Native American community trusts; this representative would serve as the community's liaison in the public involvement process. In some cases, consultants might need to bring in staff with skills that cater to a jurisdiction's needs. For example, the public outreach consultant in a Flagstaff PARA study partnered with a subconsultant who specialized in a decision theater technique.



## CHAPTER 5. STUDY FINDINGS AND RECOMMENDATIONS

Recommendations for the PARA program were based on the key PARA program strengths and areas of opportunities identified through the online surveys and interviews, and on the successful practices of peer states. The recommendations are organized by three implementation time frames: near term, midterm, and long term.

### STUDY FINDINGS

The stakeholder assessment in Chapter 4 identified the following PARA program strengths:

- Local jurisdictions and tribal stakeholders find PARA program managers to be responsive and knowledgeable.
- The PARA program provides resources for identifying needs and addressing issues that were not readily available to small communities with budget constraints.
- The PARA program gives local jurisdictions and tribes access to planning expertise and project managers that bring a statewide perspective.
- ADOT staff learns about local issues and builds relationships with local planning staff through conducting PARA studies.
- PARA studies allow communities to participate in cross-jurisdictional planning to tackle common transportation issues.
- The PARA program helps jurisdictions identify future needs and prioritize projects for implementation when funding becomes available.
- Local and tribal communities apply technical analyses from PARA studies in other local planning efforts, such as when creating local roadway design standards.

The stakeholder assessment also identified the following PARA program opportunities and weaknesses:

- ADOT MPD has provided limited education to local jurisdictions about completing a PARA application, identifying funding for projects, or implementing policy recommendations.
- At the time of this study, a program to link long-range and environmental planning was not fully established.
- Topic areas eligible for PARA funds are limited.
- Public involvement budgets have been based on set percentages of overall study budgets rather than tied to specific outreach tasks customized for any particular study.
- The role of transit in PARA studies has not been fully considered and established.

## RECOMMENDATIONS

Based on the findings and key PARA program strengths, this study has identified specific recommendations that ADOT can implemented to enhance the program. The following sections describe each recommendation in detail and present the positive and negative effects of implementation.

### Near-Term Recommendations

The following top-tier recommendations are partially or currently underway, or require minimal coordination and few structural changes to the PARA program.

- **Add safety and catastrophe prevention as an eligible PARA study topic.** An additional eligible study topic for local jurisdictions is safety and catastrophe prevention. Catastrophe planning does not have to be a separate PARA topic, but it can be incorporated in a comprehensive local safety plan. Presenting a catastrophe planning element in the context of other local transportation topics could be beneficial. For example, corridor alignment options and roadway design could include wildfire evacuation routes as a consideration in alternatives development or selection. Catastrophe planning is a specialized field that would likely require specific subject experts on the PARA project teams.

Safety can be integrated into transportation planning either through studies focused primarily on safety, such as a pedestrian or bicycle safety plan, or by making safety a criterion for project recommendation in a more general transportation plan. In either case, many tools and methods are available for analyzing existing and future safety conditions, including road safety audits, crash modification factors or the predictive methods from the *Highway Safety Manual* (AASHTO 2010). Note that a PARA study should not be considered a replacement for a road safety audit but a means for integrating safety considerations into the planning process.

- **Continue conducting PARA studies that address freight planning.** These studies can address freight traffic on the local level and are beneficial to communities that experience high freight traffic volume to and through the community. Freight studies do not need to stand alone but could be part of an overall corridor study. Currently, ADOT has conducted corridor studies that examine the proportion of truck traffic or the need for freight access to business, such as the business corridor study for the Town of Camp Verde; that study considered accessibility to businesses by trucks, in addition to an analysis of the effect that proposed roundabouts may have on large truck movements at key intersections (ADOT 2013b). While freight has not been a major component of the PARA program to date, PARA studies should continue to incorporate freight planning, such that they are aligned with the MAP-21 freight emphasis and state- and national-level freight plans.
- **Add needs assessment as an eligible PARA study topic to help communities understand existing and future transportation needs.** Needs assessment studies could help local jurisdictions understand their planning goals and project needs without preparing a full PARA

study. While conducting a needs assessment, local communities could identify additional topics they want to investigate through a separate PARA study. ADOT has developed a draft corridor needs assessment outline that is under consideration for near-term implementation (Appendix H). This outline helps communities identify planning goals and project needs for the corridor, and develop proposed actions and their intended purpose. As with any new topic added to the PARA program, ADOT planning staff would need to balance internal resources to ensure the program's success is not diluted with needs assessment studies.

- **Consider adding the impacts of transportation on health as a component of PARA study.** This topic can help communities evaluate the link between transportation planning and health in a community. For example, in a health impact assessment, communities identify and evaluate the health impacts of transportation decision-making to determine solutions that mitigate these impacts.
- **Involve ADOT Local Public Agency section (LPA) staff in the PARA process to advance recommendations to the implementation stage.** ADOT LPA staff can work with ADOT MPD and local jurisdictions to ensure that federally funded projects on local roads are implemented in the year they are assigned in the STIP. Involving LPA staff in the PARA program, either as technical advisory committee members on PARA studies or in a different capacity, could enable ADOT to better educate and guide local jurisdictions as they consider implementing projects recommended by PARA studies.
- **Incorporate comments from ADOT technical experts in the application review and consultant selection process.** ADOT internal subject area (such as safety and environmental) experts can offer their technical perspectives to strengthen the application review and consultant selection process. PARA program planners can solicit application comments and feedback from the appropriate subject area experts before ADOT Planning staff score and select winning applications. Depending on the number of additional comments solicited, this could potentially extend the application review period and consultant selection process.
- **Encourage jurisdictions to seek COG and MPO review of their applications before submitting to ADOT.** This review can enhance collaboration and coordination between local communities and COGs or MPOs. The COG or MPO could provide input to enhance the application, guidance based on experience with other communities in the region, or recommendations for project funding opportunities after the study is complete.
- **Continue conducting and improving the public involvement process for PARA studies; whenever possible, tie outreach to local scheduled events.** While all PARA projects include public outreach and stakeholder involvement, the perception remains that the outreach is somehow not fully connected or integrated within the local context. PARA can leverage local community events that are already widely attended by community members as venues to discuss PARA study progress and address questions and concerns. PARA outreach at these

events can be a brief presentation integrated with other event activities, or project team members could staff a table and provide project information during the event.

- **Encourage ADOT staff members who work directly or indirectly with tribes in conducting PARA studies to complete the online course, “ADOT Tribal Transportation Consulting Training.”** Offered on ADOT’s intranet site, this five-part course provides an overview of tribal demographics, setting the foundation for intergovernmental relations with tribal governments, effective tribal consultation and coordination, and ADOT tribal coordination and other tribal-focused organizations.
- **Continue documenting and providing feedback to the public about concerns addressed during the public outreach process.** Documenting public comments and providing feedback to the public is already being implemented in studies such as the corridor study done for the City of Prescott (ADOT 2013a). During that study, ADOT documented all comments received in writing, orally, and via e-mail as part of the public meeting summary. While ADOT did not immediately respond to each individual comment, this documentation acknowledged the public’s feedback. To make the PARA process even more transparent to stakeholders, ADOT can explain at outreach events (and in the final PARA report) how previous public comments were incorporated in the study. Information about how public feedback is addressed could also be kept in a PARA inventory database. In some cases, ADOT might not be able to address all the issues or public comments, and might simply have to acknowledge the feedback without proposing further actions.
- **Enhance the ADOT’s PARA program website to guide applicants through the PARA application process.** Maintain and enhance the PARA website to include example project scopes of work and project costs or possible study topics. This practice could help streamline the application process by helping local jurisdictions determine the appropriate funding amount and ensuring that the application focuses on eligible topics. However, guidance and examples should be applicable to multiple jurisdictions and topic types.
- **Continue to present information about the PARA program at the Arizona Rural Transportation Summit to highlight recent PARA studies and educate potential applicants about the PARA process.** PARA project managers can present program information, project examples, and/or best practices periodically at state and regional conferences. ADOT can add a PARA program track at the Arizona Rural Transportation Summit, the annual statewide rural planning conference. These activities remind local jurisdictions about the PARA process, showcase the value of the local planning process, and may help to attract conference attendees.
- **Clarify transit’s role in the PARA process.** The role of transit in the PARA process has not been fully developed in the past. ADOT MPD planners will continue to work with ADOT Transit to set a clear role of how transit planning can be addressed.

## Midterm Recommendations

The recommendations in this section require a moderate level of stakeholder coordination or few changes to the PARA program's structure.

- **Organize a conference dedicated to the PARA program to generate the interest of potential applicants.** ADOT can host an annual PARA conference for stakeholders and potential applicants with varying levels of knowledge and participation in the PARA program. Conference sessions could introduce potential applicants to the PARA process, provide PARA best practices, and present recent studies and success stories. Other conference sessions could explore specific study topics with experienced jurisdictions and encourage them to share their implementation experience as well as funding opportunities and barriers.
- **To further encourage alignment of regional and local priorities, revise the PARA application process by adding an evaluation criterion that considers the potential study's linkage to the appropriate Regional Transportation Plan RTP.** The PARA program can add an additional criterion that scores applications on the extent to which they reflect the objectives of the appropriate RTP. Currently, COGs are not required to develop RTPs in Arizona, so this criterion would be limited to jurisdictions that are members of the MPOs. ADOT Planning staff has reiterated to COGs that PARA funds may be used to conduct RTPs, as long as a local jurisdiction, and not the COG itself, submits the PARA application.
- **Conduct a follow-up survey at the end of each PARA study to understand whether the process met the goals and needs of the local communities.** ADOT could conduct a follow-up survey after the completion of a PARA study to evaluate whether it has met the satisfaction and needs of the local jurisdiction. Local jurisdictions could provide ADOT information about planned implementation strategies. ADOT staff could follow up with information about potential implementation, funding opportunities, and constraints. Conducting the survey would involve ADOT resources to develop, implement, and evaluate results. ADOT will also have to carefully select jurisdictions to include agencies with positive and negative experiences.
- **Change the public involvement budget amount from a set percentage of the total study budget to an amount based on the type and frequency of public involvement tasks specific to each study.** Currently, public involvement budgets are set at 10 and 15 percent of the total study budget for local and tribal projects, respectively. Removing the set budget would allow public involvement to vary by project needs, study type, and location. One potential drawback is that removing this set budget could potentially extend the public involvement effort beyond what is deemed reasonable, if it is perceived that there are no budgetary constraints. ADOT would need to work with local jurisdictions to determine the appropriate budget amount at the beginning of each PARA study.
- **Take advantage of the GIS-based A-Plan as a platform for sharing information and data developed from PARA studies.** The A-Plan is an information site developed by ADOT that allows

staff to view spatial datasets. Information developed from PARA studies can also be stored in A-Plan, giving ADOT practitioners access to the most recent information.

- **Implement the PARA Study Database to document PARA-related information.** The PARA database described in Chapter 2 should be deployed and enhanced over time. The database currently contains information such as study duration, cost, and recommendations. To remain useful, it requires periodic updating, particularly recommendation implementation status. Information could be shared internally for ADOT’s monitoring of the program, or externally for jurisdictions to track recommendation implementation. The information shared externally would be jurisdiction-specific only. Enhancing the database would allow for ease of use and maintenance by staff without extensive database experience.

### Long-Term Recommendations

The following recommendations require a high level of stakeholder coordination or substantial changes to the PARA program’s structure.

- **Identify and share analysis, data, and issues between PARA studies and related National Environmental Policy Act NEPA processes as appropriate.** Environmental issues identified as part of a PARA study can inform the NEPA environmental scoping and review process. Similarly, typical NEPA environmental considerations should be considered and documented in PARA projects. This effort could require more staffing resources and coordination to support active PARA studies.
- **Expedite the PARA application process by allowing applicants to submit materials and reviewers to evaluate applications online.** Currently, applicants are required to submit an electronic version of the PARA application by email. ADOT should consider developing an online application process. With an online system, applicants would be able to load their application and supporting documents to a PARA application web page on ADOT’s website. Application reviewers would also be able to review, comment, and communicate any necessary edits with applicants via the website. This would expedite the PARA application review process and if properly structured, information could also directly feed into the PARA inventory database. Resources, including skilled staff, would be needed to create and maintain this web page. ADOT would need to accommodate applicants who are not able to submit applications electronically.
- **Educate local jurisdictions on how the PARA process relates to the COG, MPO, federal, and state planning and programming processes to provide them with more context on how their studies relate to other planning processes and eventual implementation.** ADOT should place more emphasis on relating typical PARA studies to the COG, MPO, state, and federal processes. For example, ADOT can help local jurisdictions understand the process of how PARA study recommendations can be programmed in a COG’s regional TIP or different funding programs within the DOT that might fund project recommendations. This allows potential applicants and communities with existing PARA studies to understand how they can align their studies with regional, state, and federal transportation goals. Information could be provided in a high-level,

simple, general context guide with external links to more specific information for those interested. A seminar at the Arizona Rural Transportation Summit could also educate communities on these relationships.

- **Periodically evaluate certain communities, such as those that are growing in population and/or land area and/or are located near the borders of planning regions, about their geographic eligibility to participate in the PARA program.** Currently, geographic eligibility for PARA funding is based on FHWA's urbanized boundaries, which are adjusted every 10 years according to U.S. Census information. Any community not within the Phoenix or Tucson urbanized boundaries can apply for a PARA study. In areas with rapid population increases or decreases, ADOT could conduct an interim boundary review to evaluate whether a community qualifies for the PARA program. In these cases, ADOT will have to determine the intermittent intervals of evaluating eligibility and appropriate criteria. Planning staff will have to communicate these criteria to potential applicants.
- **Conduct a peer review study to identify best practices for targeted public outreach that can be applied to the PARA process.** ADOT could conduct a study of best rural and tribal planning outreach strategies. This study would review strategies implemented by Arizona state agencies or peer state DOTs. This could be a comprehensive research study, or ADOT could conduct a simple survey of existing practice by working with the FHWA's Rural and Small Community Planning staff to identify contacts at peer DOTs. A research project would require partnership with the ADOT Research Center and the Communications Division to establish project scope, potential strategies to evaluate, and strategy implementation feasibility.



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## APPENDIX A: PARA AND SATS INVENTORY OF STUDIES, 2002-2012

Local Jurisdiction	Project Initiation Year	Study Name	Study Budget
City of Prescott	2012	City of Prescott: Sundog Connector Corridor Study	\$150,000
Yuma County Intergovernmental Public Transportation Authority	2011	Yuma Regional Transit Study	\$250,000
Town of Dewey-Humboldt	2011	Town of Dewey-Humboldt PARA Transportation Study	\$200,000
Navajo Nation	2011	Chinle-Many Farms and St. Michaels-Window Rock-Fort Defiance Multimodal Long Range Transportation Study	\$250,000
City of Coolidge	2011	City of Coolidge Comprehensive Transportation Feasibility Study	N/A
City of Prescott	2011	Willow Creek Road Realignment	\$150,000
City of Tombstone	2011	City of Tombstone State Route 80 Alternate Route Study	\$175,000
City of Globe	2011	Cobre Valley Comprehensive Transportation Planning Study	\$250,000
Fort McDowell Yavapai Nation	2011	Fort McDowell Yavapai Nation Multimodal Long Range Transportation Study	\$165,000
Town of Queen Creek	2011	Germann Road Corridor Improvement Study	\$224,600
Kayenta Township	2011	Kayenta Township 2012 Multimodal Transportation Study	\$187,000
Town of Sahuarita	2011	Town of Sahuarita El Toro Road Corridor Study	\$250,000
Town of Wickenburg	2011	Wickenburg Trails Connectivity and Transportation Study	\$200,000
Yuma County	2011	Transportation Needs for the Foothills and Mesa Del Sol Areas	\$200,000
City of Kingman	2010	Kingman Area Transportation Study Update	\$199,998
Town of Wellton	2010	Wellton Transportation Long-Range PARA Study	\$175,000
City of Sierra Vista	2010	2010 Safe Bicycle and Pedestrian Routes Plan	\$65,000
Coconino County	2010	2010 Doney Park Multi-modal Transportation Plan	\$200,000
City of Nogales	2010	City of Nogales PARA Pedestrian Circulation at Port of Entries	\$143,000
San Carlos Apache Tribe	2010	San Carlos Tribe Transit Feasibility Study	\$100,000
Town of Snowflake/Taylor	2010	Snowflake/Taylor Multijurisdictional Transportation Plan	\$80,000
City of Bisbee	2010	City of Bisbee Comprehensive Transportation Plan	\$200,000
Colorado City	2010	Town of Colorado City Transportation Study	\$147,700
Ak-Chin Indian	2010	Ak-Chin Indian Community Transit and Nonmotorized Study	\$100,000
City of Apache Junction	2010	Apache Junction Comprehensive Transportation Study	\$200,000
City of Winslow	2010	City of Winslow North-South Transportation Study	\$200,000
Towns of Eagar and Springerville	2010	Round Valley Multimodal Transportation Study	\$185,000
Tohono O'odham Nation	2010	Tohono O'odham School Bus Routes Transportation Study	\$150,000
Cochise County	2009	Northwest Coshise County Transportation Plan	\$160,000
Bullhead City	2009	Bullhead City Transportation Study	\$200,000
Town of Clarkdale	2009	Clarkdale Transportation Study	\$125,000
Coconino County	2009	Kachina Village Multimodal Transportation Study	\$75,000
La Paz County	2009	La Paz Transportation Planning Study	\$160,000

<b>Local Jurisdiction</b>	<b>Project Initiation Year</b>	<b>Study Name</b>	<b>Study Budget</b>
Town of Payson	2009	Payson Transportation Study	\$175,000
San Xavier District	2009	San Xavier Pedestrian Access and Safety Study	\$100,000
Lake Havasu City	2009	North Havasu Area Transportation Study	\$150,000
City of Nogales/ Santa Cruz County	2009	Unified Nogales Santa Cruz County Transportation Plan	\$180,000
Salt River Pima-Maricopa Indian Community (SRPMIC)	2009	Transportation Planning Study Work Plan	\$199,490
Town of Pinetop-Lakeside	2009	Pinetop-Lakeside Pedestrian Safety and Transportation Study	\$85,000
Southern Greenlee County	2009	Southern Greenlee County Small Area Transportation Study	\$165,997
Town of Sahuarita	2009	Town of Sahuarita, Arizona Small Area Transportation Study	\$200,000
Graham County	2009	Graham County/Safford/Thatcher/Pima Small Area Transportation Study	\$132,856
Navajo County	2009	Navajo County Regional Transportation Study	\$373,990
Town of Superior	2008	Town of Superior Small Area Transportation Study (SATS)	\$122,031
City of Coolidge	2008	Coolidge-Florence Regional Transportation Plan	\$250,000
Town of Florence	2008	Coolidge-Florence Regional Transportation Plan	\$149,994
San Carlos Apache Tribe	2008	San Carlos Long Range Transportation Planning Study	\$138,532
Navajo Nation	2008	2009 Navajo Nation Long Range Transportation Plan Update	N/A
City of Benson	2007	City of Benson Small Area Transportation Study	\$129,125
City of Casa Grande	2007	City of Casa Grande Small Area Transportation Study	\$156,250
Pima County	2007	I-19 Frontage Roads Study	\$4,939
City of San Luis	2007	City of San Luis Small Area Transportation Study	\$156,250
Pasqua Yaqui Tribe	2007	Pasqua Yaqui Tribe Small Area Transportation Study	\$62,286
Chino Valley	2007	Town of Chino Valley Small Area Transportation Study	\$149,799
City of Douglas	2007	City of Douglas Small Area Transportation Study	\$156,250
City of Page	2007	City of Page Small Area Transportation Study	\$122,842
Town of Queen Creek	2007	Queen Creek Small Area Transportation Study	\$137,660
City of Nogales	2007	Nogales Railroad Small Area Transportation Study	N/A
City of Eloy	2006	City of Eloy Small Area Transportation Study	\$156,250
Gila County	2006	Gila County Small Area Transportation Study	\$93,430
Pinal County	2006	Pinal County Small Area Transportation Study	\$312,500
City of Somerton	2006	City of Somerton Small Area Transportation Study	\$102,135
Lake Havasu City	2005	Lake Havasu City Small Area Transportation Study Update	\$84,125
City of Maricopa	2005	City of Maricopa Small Area Transportation Study	\$107,705
City of Apache Junction	2004	City of Apache Junction, Arizona Small Area Transportation Study	\$96,000
City of Kingman	2004	Kingman Area Transportation Study	\$120,000
City of Sierra Vista	2003	Sierra Vista Small Area Transportation Study	N/A
City of Cottonwood	2002	Cottonwood Area Transportation Plan	N/A

N/A = Not available

## APPENDIX B: METADATA OF INVENTORY DATABASE TABLES

**Table 8. “General\_Info” Database Table**

<b>Field Name</b>	<b>Data Type</b>	<b>Field Description</b>	<b>Source of Information</b>
localjurisdiction_projectyear	Text	Local jurisdiction name and year of project initiation (unique key for linking between different tables)	Work plan and final report
project_ID	Text	Project identification	Work plan and final report
localjurisdiction	Text	Local jurisdiction name	Work plan and final report
project_year	Number	Year of project initiation	Work plan and final report
project_name	Text	Full name of project/study	Work plan and final report
adot_manager	Text	Last name and first name of ADOT manager delimited by underscore (i.e., Doe_John)	Work plan and final report
local_project_manager	Text	Last name and first name of local manager delimited by underscore (i.e., Doe_John)	Work plan and final report
proposed_study_schedule	Number	Study duration in months per project schedule or work plan; blank indicates information is unavailable	Schedule/work plan
actual_study_schedule	Number	Actual study duration in months; blank indicates information is unavailable	ADOT MPD
project_budget	Number	Project budget in dollars; blank indicates information is unavailable	ADOT

**Table 9. “Technical\_Tools” Database Table**

<b>Field Name</b>	<b>Data Type</b>	<b>Field Description</b>	<b>Source of Information</b>
localjurisdiction_projectyear	Text	Local jurisdiction name and year of project initiation (unique key for linking between different tables)	Work plan and final report
project_geo_scope	Text	Geographic scope of project: 1. Municipal 2. Multiple cities or subcounty area 3. County 4. Multiple counties 5. Tribal	Work plan and final report
project_type	Number	Type of project/study: 1. Area transportation plan 2. Corridor study 3. Transit 4. Pedestrian or bikes 5. Long-range transportation plan 6. Multimodal study 7. Other type	Work plan and final report
tech_consultant	Text	Name of technical consultant firm	Work plan and final report
tech_consultant_proj_manager	Text	Last name and first name of technical consultant project manager delimited by underscore(i.e., Doe_John)	Work plan and final report
technical_consultant_budget	Number	Technical consultant budget	ADOT

**Table 10. “Recommendations” Database Table**

<b>Field Name</b>	<b>Data Type</b>	<b>Field Description</b>	<b>Source of Information</b>
localjurisdiction_projectyear	Text	Local jurisdiction name and year of project initiation (unique key for linking between different tables)	Work plan and final report
Recommendations	Text	Project recommendations per final report	Final report
recommendation_type	Text	Type of recommendation: 1. Infrastructure 2. Policy	Final report
recommendation_stage	Text	Stage of recommendation implementation (verified by local jurisdictions): Infrastructure recommendations: A. Project open to traffic B. Under construction C. ROW and/or PS&E completed D. Added to CIP, but no other action E. Funding request made, but not granted to date F. No action G. Other (local agency specified details on other implementation stage) N. No recommendations I. Recommendation status not provided by local agency, or project still in progress	Local jurisdiction
	Text	Policy recommendations: A Fully implemented (municipality adopted ordinance; guidance document developed, etc.) B Implementation underway, and currently active (policy analysis and/or deliberation has formally begun and is currently in process) C. Implementation underway, but no longer active (policy was analyzed/deliberated and is still being considered, but no further action is underway or on schedule) D Implementation started, but policy no longer being considered (policy was analyzed/deliberated, but formally dropped from further consideration) E. No action has been taken F. Other (local agency specified details on other implementation stage) N. No recommendations I. Recommendation status not provided by local agency, or project still in progress	Local jurisdiction
circulation_element	Text	Status of recommendation incorporation into general plan or comprehensive plan	Local jurisdiction

**Table 10. “Recommendations” Database Table (Continued)**

Field Name	Data Type	Field Description	Source of Information
recommendation_timeframe	Text	<ol style="list-style-type: none"> <li>1. Short term (projects to be implemented between 0-5 years)</li> <li>2. Midterm (projects to be implemented between 5-10 years)</li> <li>3. Long term (projects to be implemented beyond 10 years)</li> <li>4. No time frame indicated by report</li> <li>5. Study is in progress</li> </ol>	Final report

**Table 11. “Public Outreach” Database Table**

Field Name	Data Type	Field Description	Source of Information
localjurisdiction_projectyear	Text	Local jurisdiction name and year of project initiation (unique key for linking between different tables)	Work plan and final report
p_i_consultant	Text	Name of public involvement consultant firm	Public involvement report
p_i_consultant_specialist	Number	Last name and first name of public involvement consultant specialist delimited by underscore (i.e., Doe_John)	Public involvement report
pub_outreach_events	Number	Number of public outreach events; blank indicates information is unavailable	Public involvement plan
meeting_attendees	Number	Number of meeting attendees (for all open house and public meetings); blank indicates information is unavailable	Public involvement report
electronic_participants	Number	Number of electronic participants (for online outreach methods); blank indicates information is unavailable	Public involvement report
number_outreach_comments	Number	Number of comments (for all outreach methods); blank indicates information is unavailable	Public involvement report
pub_outreach_costs	Number	Project public outreach costs; blank indicates information is unavailable	ADOT

**Table 12. “Engineering\_District” Database Table**

Field	Data Type	Field Description	Source of Information
localjurisdiction_projectyear	Text	Local jurisdiction name and year of project initiation (unique key for linking between different tables)	Work plan and final report
engineering_district	Text	ADOT Engineering District where project is located	Work plan and final report

**Table 13. “COG\_MPO” Database Table**

<b>Field</b>	<b>Data Type</b>	<b>Field Description</b>	<b>Source of Information</b>
localjurisdiction_projectyear	Text	Local jurisdiction name and year of project initiation (unique key for linking between different tables)	Work plan and final report
cog_mpo	Text	Arizona COG or MPO where project is located	Work plan and final report

**Table 14. “County” Database Table**

<b>Field</b>	<b>Data Type</b>	<b>Field Description</b>	<b>Source of Information</b>
localjurisdiction_projectyear	Text	Local jurisdiction name and year of project initiation (unique key for linking between different tables)	Work plan and final report
county	Text	Arizona county where project is located	Work plan and final report

**Table 15. “Planning\_Tools” Database Table**

<b>Field</b>	<b>Data Type</b>	<b>Field Description</b>	<b>Source of Information</b>
localjurisdiction_projectyear	Text	Local jurisdiction name and year of project initiation (unique key for linking between different tables)	Work plan and final report
planning_tools	Text	Types of technical planning tools deployed for study: 1. Travel demand model 2. Travel survey 3. GIS/mapping 4. Traffic counts 5. PEL questionnaire	Work plan and final report

**Table 16. “Public\_Outreach\_Methods” Database Table**

<b>Field</b>	<b>Data Type</b>	<b>Field Description</b>	<b>Source of Information</b>
localjurisdiction_projectyear	Text	Local jurisdiction name and year of project initiation (unique key for linking between different tables)	Work plan and final report
pub_outreach_methods	Text	Types of public outreach method: 1. Open house/public meeting 2. Survey 3. E-mail outreach 4. Press release 5. Media broadcast 6. Inserts/mailers 7. Online community/user participation 8. All other types of outreach	Work plan and final report



## APPENDIX C: INTERVIEW GUIDE FOR PEER STATE REVIEW

### Program Administration Questions

- Please briefly describe your program for providing support to regional/local agencies or governments for transportation planning.
- What are the state’s objectives for the program?
- What agencies are eligible to apply for planning funding?
- Does your agency draw a line on funding eligibility somewhere within the “urban” or MPO category? Arizona Transportation Management Areas (TMAs) are not eligible, but other MPOs are; rural towns that are members of TMAs but not within the TMAs planning area are eligible.
- Is there a way for other agencies to have a study funded (e.g., pass thru from an eligible agency; partner with an eligible agency)?
- What is the application process?
- Does the DOT directly manage the studies? (Alternatively, does the DOT make grants to the recipients?)
- What funding source(s) does the DOT use for this program?
- Is a local match required? If so, how much?
- What is the annual amount of funding available for the program?
- Is there a funding limit for individual studies?
- How many study funding requests are received annually?
- How many studies are funded annually?

### Study Administration Questions

- What type of projects/studies can be funded through the program? (Are studies of transit, bicycle, pedestrian, and/or other modes eligible for inclusion in your program [as part of a multimodal plan or as stand-alone studies]?)
- How do you track recommendations from each study? (Is there a tracking mechanism to determine project implementation after study completion?)
- How do these studies interact with your statewide planning process?

- Are regional transportation plans conducted outside of MPOs (either by the DOT or a regional entity)? If so, do the needs identified in the regional plan become the basis for the studies funded through this program?
- In what other ways are study topics determined? (Is this left up to the local jurisdiction, or is it more top-down, from the state?)
- Do these studies address only nonstate facilities, or do they also make recommendations on state facilities within the study area?
- Is your statewide plan project specific?
- Do study recommendations get preference for inclusion in the statewide plan, STIP, or construction work program?
- Describe how your program addresses integration of environmental concerns into transportation planning.
- Describe how your program addresses integration of land use and transportation planning.

#### **Program Effectiveness Questions**

- Have any evaluations been conducted of the program? If “yes,” what were the major findings?
- Have any changes been made to the program in the past five years?
- What changes were made?
- Why were the changes made?
- Have the changes achieved the desired outcome?
- What benefits do communities receive from participating in the program?
- Are they satisfied with this program and the products that result from it?
- Is the overall program meeting the DOT’s objectives?
- What are the most successful aspects of your program?
- What would you like to improve?

## APPENDIX D: ONLINE SURVEY INTRODUCTION AND QUESTIONS

For more than 20 years, ADOT has partnered with Arizona cities, towns, tribes, and counties to conduct transportation planning studies through its Planning Assistance for Rural Areas (PARA) and, formerly, Small Area Transportation Studies (SATS) programs. These programs have been used by ADOT to fund transportation planning studies that have identified multimodal transportation needs, defined local and regional project recommendations, and provided input into statewide transportation programming.

The purpose of this online survey is to solicit and obtain critical stakeholder feedback that supports ADOT's research goals and objectives, and to assess how well the SATS and PARA programs have met the objectives of ADOT and your local or regional agency. The results of this survey will be used in combination with other research tasks to refine ADOT's PARA program.

You have been selected to participate in this survey due to your previous involvement with SATS and/or PARA program. Your opinions are highly valued by ADOT. Your responses will be kept confidential and will be used to develop recommendations to enhance the current program. It is anticipated that this survey will take 20 minutes of your time to complete and submit. Please follow the online directions to complete this survey. Thank you.

**Core Questions (CQ) – Part I.** The first part of the Core questions is designed to address the overarching objectives of the SATS and PARA programs. Part II of the Core questions is provided in the last section of this survey. All stakeholder groups should respond to the Core questions in Parts I and II.

CQ1. PARA studies are developed to analyze existing transportation conditions and have been used to assess a wide variety of future conditions. On which future horizon year should PARA studies focus?

(Select all that apply.)

- Short term (1 - 5 years)
- Midterm (6 - 10 years)
- Long term (11 - 20 years)
- Longer term (> 20 years)
- No opinion
- Other topics (Please specify.) \_\_\_\_\_

CQ2. Of the broad range of transportation planning topics addressed by PARA, which of the following should be eligible for funding? (Select all that apply.)

- Community-wide planning
- Needs assessment
- Specific corridor planning
- Local roadway operations and facilities planning
- State roadway operations and facilities planning
- Transit services and operations and facilities planning
- Transportation and land use plans (e.g., regional transportation plans and comprehensive plan—transportation element)

- Bicycle facilities planning and cyclists training
- Pedestrian planning
- Multiuse trail planning
- Transportation safety planning
- Other topics (Please specify.) \_\_\_\_\_

**Technical/Planning (TP).** The Technical/Planning questions are designed to assess the transportation planning and policy issues addressed by the SATS and PARA studies. The ADOT Planning staff, ADOT Engineering Districts, local jurisdiction staff, COG or MPO staff, and technical consultants stakeholder groups should respond to the Technical/Planning questions.

TP1. What expectations does your organization have for PARA program? (Please specify.)

\_\_\_\_\_

TP2. Has the PARA program met your organization’s expectations? (Select one.)

- Yes
- No
- No opinion
- Other comments (Please specify.) \_\_\_\_\_

[For respondents who selected “yes” or “no”] Additional comments (if desired):

TP3. What expectations do you believe the public has for transportation planning? (Please specify.)

\_\_\_\_\_

TP3(A). [Survey Version 7] For jurisdictions that have conducted a PARA study: Did the PARA study meet your public’s expectations? (Select one.)

- Yes
- No
- No opinion
- Other comments (Please specify.) \_\_\_\_\_

[For respondents who selected “yes” or “no”] Additional comments (if desired):

TP4. How well have the PARA studies you have been involved with addressed the following transportation planning topics:

TP4(A). Environmental benefits and impacts (e.g., wildlife crossings, cultural resources)? (Select one.)

- Very effective
- Effective
- Neutral
- Ineffective
- Very ineffective
- Not relevant

Explain your answer (optional): \_\_\_\_\_

TP4(B). Mobility and accessibility for people? (Select one.)

- Very effective
- Effective
- Neutral
- Ineffective
- Very ineffective
- Not relevant

Explain your answer (optional): \_\_\_\_\_

TP4(C). Mobility and accessibility for freight? (Select one.)

- Very effective
- Effective
- Neutral
- Ineffective
- Very ineffective
- Not relevant

Explain your answer (optional): \_\_\_\_\_

TP4(D). Multimodal transportation alternatives (e.g., nonmotorized, transit, trails)? (Select one.)

- Very effective
- Effective
- Neutral
- Ineffective
- Very ineffective
- Not relevant

Explain your answer (optional): \_\_\_\_\_

TP4(E). Economic competitiveness (e.g., transportation access to employment centers, jobs)? (Select one.)

- Very effective
- Effective
- Neutral
- Ineffective
- Very ineffective
- Not relevant

Explain your answer (optional): \_\_\_\_\_

TP4(F). System performance and preservation (e.g., pavement quality, bridge ratings)? (Select one.)

- Very effective
- Effective
- Neutral
- Ineffective
- Very ineffective
- Not relevant

Explain your answer (optional): \_\_\_\_\_

TP5. Are the technical analyses conducted for PARA studies meeting expectations of the local jurisdiction? (Select one.)

- Yes
- No
- No opinion
- Other comments (Please specify.) \_\_\_\_\_

[For respondents who selected "yes" or "no"] Additional comments (if desired):

**Program Interaction (AI).** Program Interaction questions are designed to evaluate the degree to which the SATS and PARA programs and associated studies have both informed and been informed by other state, regional, and local transportation planning, programming, and engineering activities. The ADOT Planning staff (PARA project manager), ADOT Engineering Districts, ADOT Predesign staff, (ADOT) Safe Routes to Schools manager, (ADOT) Transportation Enhancements manager, (ADOT) Environmental Planning staff, ADOT Programming staff, local jurisdiction staff, COG or MPO staff, and technical consultants stakeholder groups should respond to the Program Interaction questions.

AI1. How well do the results of PARA studies integrate with other ADOT sections' (beyond the Multimodal Planning Division) activities? (Select one.)

- Very effective
- Effective
- Neutral
- Ineffective
- Very ineffective
- Not relevant

Explain your answer (optional): \_\_\_\_\_

AI2. How well is information from other agencies' (not ADOT) activities incorporated into PARA studies? (Select one.)

- Very effective
- Effective
- Neutral
- Ineffective
- Very ineffective
- Not relevant

Explain your answer (optional): \_\_\_\_\_

AI3. How well do PARA studies help ADOT districts make programming decisions? (Select one.)

- Very effective
- Effective
- Neutral
- Ineffective
- Very ineffective
- Not relevant

Explain your answer (optional): \_\_\_\_\_

AI4. Does ADOT MPD understand local and regional agencies' transportation needs and project priorities? (Select one.)

- Yes
- No
- No opinion
- Other comments (please specify) \_\_\_\_\_

[For respondents who selected "yes" or "no"] Additional comments (if desired):

**Public Involvement (PI).** Public Involvement questions are designed to examine ADOT's and the sponsor jurisdiction's level of outreach and engagement with the public and agency stakeholders. The ADOT Planning staff, ADOT Communications staff, public involvement consultants, local jurisdiction staff, COG or MPO staff, and technical consultants stakeholder groups should respond to the Public Involvement questions.

PI1. How effective are outreach events in obtaining public and stakeholder input for PARA studies? (Select one.)

- Very effective
- Effective
- Neutral
- Ineffective
- Very ineffective

PI2. What type of outreach events offer the most effective opportunities for obtaining public and stakeholder input for PARA studies? (Select one.)

- Open houses
- Regional forums
- Focus groups
- Media broadcasts
- Online community/user participation (e.g., surveys)
- Other types of outreach (Please specify.) \_\_\_\_\_

PI3. What type of outreach notification techniques are most effective opportunities for obtaining public and stakeholder input for PARA studies? (Select one.)

- E-mail
- Press releases
- Insets/mailers (e.g., newspaper or mail)
- Social media
- Other types of outreach notification techniques (Please specify.) \_\_\_\_\_

PI4. Is the feedback obtained from public outreach activities reflected and used effectively in the development of project recommendations in the PARA studies? (Select one.)

- Yes
- No
- No opinion
- Other comments (Please specify.) \_\_\_\_\_

[For respondents who selected “yes” or “no”] Additional comments (if desired):

PI5. Are there other strategies you would like to see applied in the public outreach process for the PARA studies? (Select one.)

- More customization of outreach activities for each study
- Define how public input will be incorporated into PARA recommendations
- Conduct visioning and goal-setting activities at the beginning of the study
- Conduct outreach at community events
- Newsletters or media summarizing outcomes of public events
- No opinion
- Other strategies (Please specify.) \_\_\_\_\_

Explain your answer (optional): \_\_\_\_\_

PI6. How do you define successful public involvement? (Please specify.)

\_\_\_\_\_

**Program Administration (PA).** Program Administration questions are designed to assess the SATS and PARA program level of funding, quality of application materials and processes, and project and program recommendations for implementation and tracking. The ADOT Planning staff, ADOT Communications staff, Contracts administrators, public involvement consultants, local jurisdiction staff, COG or MPO staff, and technical consultants stakeholder groups should respond to the Program Administration questions.

PA1. Currently, ADOT Planning staff are responsible for reviewing PARA applications. How important would it be to involve other ADOT employees in PARA study application reviews? (Select one.)

- Very important
- Important
- Neutral
- Unimportant
- Very unimportant

PA1(A). [For respondents who selected very important or important to PA2] If other ADOT employees should be involved in reviewing PARA applications, who are they? (Select all that apply.)

- Traffic and Safety staff
- Communications staff
- Environmental staff
- Engineering Districts staff
- Other (Please specify.) \_\_\_\_\_

PA2. Currently, the PARA program requires no funding match from local jurisdictions. How do you think a local match requirement would affect the PARA process? (Select the most important.)

- Generate stronger local participation in the process
- Make funds available for other PARA studies
- Allow for a larger study budget
- Other comments (Please specify.) \_\_\_\_\_
- No local match should be required

PA3. If PARA requires local match, what level of local funding match for PARA studies should be considered? (Select one.)

- 0%
- Greater than 0% to 10%
- Greater than 10% to 20%
- Greater than 20% to 40%
- Greater than 40%

PA4(A). What is the most effective way for ADOT to provide additional education on the PARA study process? (Select up to two.)

- In-person workshops or meetings
- Webinars
- Printed material
- Enhanced website
- Other \_\_\_\_\_

PA4(B). What is the most effective way for ADOT to provide administrative support on the PARA study process? (Select one.)

- Assistance completing PARA applications
- Providing feedback on PARA applications and the selection process
- Help local jurisdictions identify possible project funding sources
- Track implementation of projects recommended by PARA studies
- Other \_\_\_\_\_

PA5. Following the completion of a PARA study, what steps does a local jurisdiction take to promote the implementation of recommended projects and policies? (Check all that apply.)

- Accept projects into a capital improvement program
- Accept projects into a long-range plan
- Accept projects into an MPO Transportation Improvement Program
- Apply for grant funding (e.g., MAP-21 Transportation Alternatives Fund)
- Other \_\_\_\_\_

PA6. What is the overall percentage of PARA study project recommendations that are implemented locally over the long term?

- 0%
- Greater than 0% to 10%
- Greater than 10% to 25%
- Greater than 25%

PA7. Have you experienced any of the following issues in implementing PARA study project recommendations? (Check all that apply.)

- Inadequate funding
- Lack of staff
- Need for guidance
- Lack of local consensus
- Other issues \_\_\_\_\_
- No issues in implementing recommendations

PA8. [Survey Version 7] Describe how your agency/jurisdiction tracks the implementation of project recommendations after PARA study completion. (Please specify.) \_\_\_\_\_

**Core Questions (CQ) - Part II.** The second part of the Core questions is designed to address the overarching objectives of the SATS and PARA programs. All stakeholder groups should respond to the Core questions in Part II.

CQ3. What is your current organization? (Select one.)

- ADOT (Please specify department) \_\_\_\_\_
- Other Arizona state agency
- Transportation planning consultant
- Public involvement consultant
- County
- City/town
- MPO
- COG
- Native American tribe
- Other local jurisdiction (Please specify.) \_\_\_\_\_

CQ4. How many PARA and/or SATS studies have you been involved with as consultant, TAC member, project sponsor, or ADOT/local project manager? (Select all that apply.)

- Consultant [Please specify number of studies: \_\_\_\_\_]
- TAC member [Please specify number of studies: \_\_\_\_\_]
- ADOT/local project manager [Please specify number of studies: \_\_\_\_\_]
- Other role (Please specify.) \_\_\_\_\_  
[Please specify number of studies: \_\_\_\_\_]

## **APPENDIX E: LOCAL JURISDICTION COMMENTS REGARDING PARA AND SATS**

Note: These comments are transcribed verbatim from the online surveys collected between May 15, 2013, and May 25, 2013.

### **Yuma County Intergovernmental Public Transportation Authority (YCIPTA), Yuma Regional Transit Study (2011)**

Attached are my responses. If you want to call me to discuss YCIPTA's opinion of the document, I am happy to share. To say the least, we are not pleased with the way it was developed and the recommendations proposed. We believe that the consultant was not a team player or collaborator in developing a plan that made sense for this area nor taking into account operational issues. It was also difficult to provide insight into the plan under the project manager's guidance since the project manager generally sided with the consultant.

The end result—only 25 percent of the plan was implemented. We had to make serious modifications to gear towards the riding demographic of the community.

### **Cochise County, Northwest Cochise County Transportation Plan (2009)**

We had two PARA studies at the same time; the other one was for setting up a countywide transportation model. That particular study, although it did not have specific action items like the Northwest Area Plan, has been of immense help and has been used multiple times since it was developed. It was used, in fact, for the Northwest Area study, and in several PARA studies since that time as well as in the ongoing DCR project for the I-10/I19 to SR90 study. I do want to acknowledge that PARA study's value to us, and I think to the state as well, as a highly technical base of work that we have been able to use in multiple ways.

One of those ways is the development of the first Cochise County Long-Range Transportation Plan. I refer to this several times in my comments. We also pulled over information, recommendations, and strategies developed with the Northwest Area Plan into the long-range planning effort. The county has not had a specific, detailed circulation plan developed and adopted. The closest to that has been a narrative nod to circulation policies and strategies in the comprehensive plan, in need of updating as the last version was in 2006 prior to the Census 2010 results that triggered the next level of elements to be included. The intent of the county is to take the results of the Northwest Area plan forward in three distinct ways: one, is a Northwest Area Alternative Route Map, which has been drafted and through upper management review but now pending results from the more robust DCR for that area to be finalized; second, through inclusion and expansion into a full Cochise County Long-Range Transportation Plan, which is about 80 percent completed with draft mapping, strategies, and recommendations under staff review; and third, those two documents then brought into an adopted comprehensive plan with an expanded circulation element incorporating longer-range recommendations. It is anticipated that priorities will be established for projects as funding then becomes available.

A final note: Since the completion of the Northwest Plan (besides the unanticipated disaster of the J-Six/Mescal Bridge burning down and having to grab this plan to attempt to figure out the traffic implications for detours and any possible alternative routes) the county has done some repaving on J-Six Mescal Road and on surrounding neighborhood roads and have worked specifically with several developers out in the area to identify their possible roadway connections in line with the Northwest Area Plan results. We have also had discussions with property owners about potential future right-of-way needs related to the “frontage” road alignment on the north side of the Interstate. We have one pathway project in the St. David area, referenced in this plan, going to construction, we hope, this summer.

Studies, without implementation funding, can be hard to analyze as to their ultimate impact. We have kept both the two PARA studies I have worked with directly (the modeling grant, which was formally a SATS grant, and the Northwest Plan) active in our work activities. Neither one is a shelved document. Although the lack of implementation funding can be frustrating, it is not as frustrating as a lack of any plan in the first place leaving a rural jurisdiction with no priorities to be able to pull out when a funding opportunity does show up.

#### **City of Coolidge, Coolidge SATS, 2008**

On another note, while I applaud the decision to evaluate the effectiveness of the program, I’m not sure that these are the right (or, more accurately, sufficient) questions. Concerns I have heard raised about SATS and PARA have more to do with the process, especially the consultant selection process. There seems to be a general feeling that municipalities do not necessarily get the greatest possible return on investment, with only the select cadre of ADOT anointed consultants guaranteed to get these contracts. There are other transp consulting firms, some with a much better grasp of the specific issues facing our communities that don’t seem to have much a shot in the process. To be fair, it is ADOT’s investment much more than the local community’s but, nevertheless, I’d like to see the selection process opened up. It’s not that I’m casting aspersions on the quality of specific consultant firms we have worked with (I have been very impressed with Wilson’s work in the current PARA study, for example), I’d just like to see a more players at the table.

#### **Lake Havasu City, Lake Havasu City SATS (2005)**

[Lake Havasu City (LHC)] has found the PARA/SATS process/program to be an awesome resource for the community. We have utilized SATS on many occasions, beginning with the 1991 SATS study for Lake Havasu City. Due to our growth and transportation needs, we also did updates in 1997 and 2005. We then participated in the first PARA group with the North Havasu Area Study. The change to allowing for more specific areas was also a benefit which we are also taking advantage with the current study.

The 2005 study was included in the LHC general plan. The North Havasu study was not incorporated officially yet in the update which was due in 2012 but due to budgetary concerns, has been postponed as allowed by state law.

## APPENDIX F: IN-PERSON INTERVIEW INTRODUCTION AND QUESTIONS

This research project evaluates the effectiveness of the Arizona Department of Transportation (ADOT) PARA and SATS Programs. Cambridge Systematics is conducting two surveys to gather information from PARA/SATS stakeholders. As you are aware, one of the surveys is a comprehensive online survey and the second survey is this in-person interview.

The purpose of this interview is to discuss your experience with and perspectives about the SATS and PARA programs, including such topics as the application process, study process, public involvement, and coordination with other planning activities. We are interviewing you to understand your experience as a (customize to stakeholder role shown in Table 17).

We assume you are familiar with the PARA and SATS program; do you want us to provide you with a brief description? (If respondent requests for a description, use the description below.)

### **ADOT PARA and SATS Description**

The Arizona Department of Transportation (ADOT) Planning Assistance for Rural Areas (PARA) program provides funds for ADOT to conduct transportation planning for nonmetropolitan communities. The program is administered by the ADOT Multimodal Planning Division (MPD). PARA program funds can be used to study issues related to roadway, transit, and nonmotorized transportation modes. PARA funds may not be used for the design and construction of transportation facilities. The PARA program was established in 2008 as a reorganization of the Small Area Transportation Study (SATS) program.

We have xx questions and do not anticipate this to take more than an hour of your time. (The number of questions would vary by stakeholder. See Table 17.)

**Table 17. SATS/PARA In-Person Interview Stakeholder Role Assignments by Question**

<b>Stakeholder Role</b>	<b>Questions</b>
MPD management	1 through 6
PARA project managers and Thor Anderson	1 through 6
Technical consultants	1 through 6
ADOT Transit	1 through 6
Public involvement (ADOT and consultants)	1, 3, 4, 5, and 6
ADOT districts	1 and 6
COG and MPO staff	1 through 6
Tribal representatives	1 through 6
Local jurisdictions	1 through 6

- 1) **General questions.** These questions are designed to examine overall PARA program goals and stakeholder understanding of ADOT's transportation policies and vision. All interviewees answer these questions.
  - a) In your opinion, what makes the PARA program valuable?
    - i) Prompt if necessary: What type of PARA project analyses seem particularly valuable: those on local roads? Those that identify specific infrastructure or policy outcomes?
  - b) Do you see ways that PARA studies could be improved?
    - i) Prompts if necessary: Administration, implementation, schedule improvements, scope of work, and local ownership (buy-in).
- 2) **Technical/planning.** These questions provide insights into the breadth of transportation planning topics and the applicability of technical analyses to other planning efforts. MPD management, PARA project managers, ADOT Transit, local jurisdiction staff, tribal representatives, COG or MPO staff, and technical consultants answer these questions.
  - a) Are PARA studies addressing all the transportation planning topics of interest for your community? If not, what other topic areas would you suggest?
  - b) Have the technical analyses conducted for PARA been helpful in other local planning efforts? If so, describe.
    - i) Prompt if necessary: Prioritize planning needs and projects for the communities, create an opportunity for dialogue about planning needs, incorporation of projects into the circulation element of a comprehensive plan.
  - c) The PARA program is intended to address local needs. To what extent should state highways be addressed by PARA studies?
  - d) Currently, PARA applications ask local jurisdictions to identify needs that a planning study could address. Would it be helpful for needs assessment to be an eligible topic for a PARA study?
- 3) **Project administration.** These questions evaluate the PARA application process and possible PARA funding schemes. MPD management, PARA project managers, ADOT Transit, local jurisdiction staff, tribal representatives, COG or MPO staff, public involvement and technical consultants answer these questions.
  - a) How satisfied are you with project management provided by ADOT?
  - b) **Funding**—In the online survey, we asked you about local match requirement and offered a range of match requirement options:
    - i) Do you think that the current policy of no local match should be altered? If so, do you have a suggestion? Why?
      - (1) Prompt if necessary: For example, a sliding scale (first PARA is free, second one requires a certain local matching requirement).
    - ii) If a local jurisdiction could have more say in PARA programs administration (i.e., consultant selection, project funding) but would also be required to have a higher matching requirement, would that be appropriate?
      - (1) If so, what do you think is the appropriate level of matching?
    - iii) Currently, there's a \$250,000 limit to PARA project funding. Do you think there should be a stated limit? If so, what is a reasonable limit to PARA project funding?

- iv) If the cost of a PARA study is greater than the \$250,000, should a local match be considered to fill in the gap?
- c) **Application review**—Currently, ADOT PARA project managers are on the PARA application selection committee:
- i) Should other ADOT staff be involved in the application selection? If so, who are they?
  - ii) Is the current application selection process easy to understand? If not, how could it be clarified?
  - iii) The existing criteria for PARA applications are:
    - Overall project considerations: 0-20 points
    - Demonstration of need for study: 0-25 points
    - Incorporation of planning elements: 0-15 points
    - Demonstration of community support: 0-15 points
    - Benefits the state, region, and/or community: 0-25 points

In your opinion, are these criteria appropriate? Would you rank/weigh these criteria differently? Would you add or remove evaluation criteria?
  - iv) Do you think past implementation status should factor into the PARA application review process?
  - v) Should PARA applications be focused on a different transportation planning theme each year; for example, setting aside a percentage for sustainability or safety, etc.?
  - vi) In your opinion, what would attract new applicants to apply for the PARA program?
    - (1) Prompt if necessary: additional information about the PARA program and greater participation in the consultant selection process?
- 4) **Consultant selection.** These questions examine the consultant selection process and local jurisdictions' experience and interaction with consultants. MPD management, PARA project managers, ADOT Transit, local jurisdiction staff, tribal representatives, COG or MPO staff, and technical consultants answer these questions.
- a) (For local jurisdictions) Have the consultants selected by ADOT been effective in understanding your community's needs and in developing project recommendations?
    - i) Prompt if necessary: Have consultants conducted analyses that you feel are helpful to the community?
  - b) (For local jurisdictions) Do you have access to the consultants during the period of the PARA study?
- 5) **Recommendations implementation.** These questions are designed to examine recommendation implementation and prompt suggestions for tracking implementation. MPD management, PARA project managers, ADOT Transit, local jurisdiction staff, tribal representatives, COG or MPO staff, and technical consultants answer these questions.
- a) What are some difficulties to implementing recommendations?
  - b) Would it be useful for ADOT to track the status of local jurisdictions' recommendation implementation? If so, how could the information be useful?

- 6) **Public involvement.** These questions examine the effectiveness of the existing public outreach process and prompt respondents for public involvement suggestions. All interviewees answer these questions.
- a) How does the public outreach process contribute to the ADOT PARA studies?
    - i) Prompt if necessary: greater understanding of local needs, and identify possible alternatives.
  - b) Which elements of the process could be improved?
  - c) In your opinion, is outreach input appropriately incorporated into PARA studies? If not, what could help improve this?
  - d) Which types of public outreach events are effective? Which types of public outreach events are not effective?
  - e) How have public outreach consultants facilitated the public involvement process for local jurisdictions?
  - f) Before we conclude the interview, do you have any questions or final thoughts?

## **APPENDIX G: INTERVIEW SUMMARY MATRIX**

These interview responses are transcribed verbatim from interviews conducted between March 19, 2013, and April 1, 2013.



<b>Topic: General Question</b>	
<b>Question: a) In your opinion, what makes the PARA program valuable?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	The program's focus is on rural areas. Planning is the first phase of local programs, it's important that ADOT be able to provide this initial planning effort. This is important for local agencies that might not necessarily have access to some of the planning expertise. PARA provides access to program managers who have statewide perspectives, and this improves the professionalism for planning in the state.
MPO/COG	Identifying specific areas of need rather than assumptions. For instance, sometimes local gov't are in their crisis mode and really need to do something this intersections. While they assume, the overall study identify the needs of the program. Many of our smaller communities don't have the abilities and the resources to address these issues.
ADOT Planning	<p>A lot of the local jurisdictions don't have the general funds that they wouldn't be able to fund otherwise. PARA studies examine a wide variety of subject areas, and are it's flexible to local needs. Pretty good deal, 100 percent funded by ADOT. Regional planner keeps the process moving, make sure the process is moving along and quality of work acceptable. Part of their role is to give us the insight they have because we're located in phoenix. We walk them through the process and help them identify projects to program/fund at the different time period (5-10 years, 20 years).</p> <ul style="list-style-type: none"> <li>•In smaller jurisdictions, one person is working as the city manager and planning, often time don't have the internal resources to implement a planning study like this. Very important that we hire these technical experts that otherwise they wouldn't have access to. Caliber of consultant on-call list deliver very high quality product.</li> <li>•Tribes have limited funding. They're limited to \$25,000 on planning and this is supplemental to what they have available.</li> <li>•Similar to local jurisdiction, it's our role to consult and converse with tribes. We're able to establish relationships and learn about each other's cultures and organizations.</li> </ul>
Local Jurisdictions	Make planning available to small communities and help support the money that's been programmed from the YMPO.
Technical Consultants	Provides a local dialogue on regional matters of importance. Rural areas don't often have the opportunity to bring in expertise and explore special topics that might not be the highest priorities due to limited budgets, transportation, bike pad issues, advance specialized projects.
ADOT MPD Management	To me one of the most valuable part is providing transportation planning services to rural Arizona. In tough economic times, a lot of communities don't have funding to invest in Transportation planning. They're reacting to whatever pops up. They might not be using planning as a tool to help the local and regions out. PARA/SATS are the only tools. To me, it's been very beneficial to hear back that we're able to help them. My goal is to continuously improve all the programs, making sure that we put together a product that meets our customers' needs.

<b>Topic: General Question</b>	
<b>Question: a) In your opinion, what makes the PARA program valuable?</b>	
ADOT Public Involvement	Provide municipalities the option to do the study if they don't have the resource
Tribal	Small communities, rural don't have funds available to do a long range transportation planning, or transportation planning study. ADOT is really good about letting us voice our needs while giving us directions and guidance. They didn't force any of their agenda, it is whatever we needed.
ADOT Division Staff	<p>From the two teams that I've sat on, it's been valuable to me, I interacted with the local staff that I haven't interacted before. I usually deal with public work directors and get to know the communities very well. This is better than the old SATS study, PARA is more adapt at dealing with traffic issues across multiple jurisdictions. In terms of the PARA recipients, the results and the process of getting together, let them talk about issues that overlap, identifying relationship, forming synergy/joint activities. Find that very refreshing.</p> <p>I'm recalling that SATS was geared towards serving a single agency and operations of the state system. They did not take into account very well the operations of the local roadways/streets. The public doesn't care who operates the roadways.</p>

<b>Topic: General Question</b>	
<b>Question: b) Do you see ways that PARA studies could be improved?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	The PARA studies are pretty formulaic. Scope seems to follow the same formula. A lot of the program managers are following the same planning methodology. We should have some scope options, steps that you can omit and add to a scope.
MPO/COG	<ul style="list-style-type: none"> <li>• Having all PARA apps go through the COGs as a requirement. This will ensure that the transportation planning throughout the region is consistent with the TACs vision. It will also help the COG/MPO planner understand their region better.</li> <li>• PARA applications should go through the COG. One of our tribes went through without COG and it was poorly put together (thereby setting a precedent for poor applications). Without the technical assistance, it will not be funded, got it. It's important for COG planners to know who's going on, and know which communities applied for what. It should be a requirement. Application should at least go through the COG signature line or at least during the PARA process. More regional input issues plays out on a regional basis.</li> </ul>
ADOT Planning	<ul style="list-style-type: none"> <li>• They do have limited staff internally. I find it difficult to keep our locals engaged. This is their study and not an ADOT study. They understand that we need their participation throughout the study. I have to keep reminding them about reviews and drafts. This is tiring for me as a project manager. Maybe if there's a fee, a match, so they have some skin in the game. That's a double edge sword in itself.</li> <li>• How studies can be integrated into the other processes such as the 5 yrs. construction program and the STIP process.</li> <li>• Even participation with local COG and MPOs, you're not always working with the technical advisory person of the region. Making sure there's an education component as to what are your next steps.</li> <li>• Some jurisdictions have done their studies over and over again. Also new consultants, I had to go through and help them understand what's expected to come out of the study. Maybe consultant training to streamline the process.</li> <li>• We have a lot of problems releasing out RFP and assignments with one person who gets bogged very quickly. We don't have enough procurement staff get studies wrapped out 9-12 months ideally. We might want to get additional staff.</li> </ul>
Local Jurisdictions	<ul style="list-style-type: none"> <li>• Educate the PARA recipients on the product and what opportunities the program can provide.</li> <li>• Economic development is a focus. If there's a way (i.e., freight study, that can show roadway linking port of entries and industries).</li> <li>• The RTP is a more global product, PARA is something more focused. We don't have the funding to implement recommendations, PARA could help us identify funding.</li> </ul>

<b>Topic: General Question</b>	
<b>Question: b) Do you see ways that PARA studies could be improved?</b>	
Technical Consultants	<ul style="list-style-type: none"> <li>• Some issues that you don't get a lot of attention. If a local jurisdiction wins the PARA grant, local support might not be great, public works might be asking why? There is no broad-based commitment to the study. If during the project selection process, there is a way to gauge their broad-based engagement. Help us get their data, and produce better end products.</li> </ul> <p>Small jurisdictions are so focused on everything (Many times, the planner is also the town architect, and public works director), there is no staff dedicated to getting data.</p> <ul style="list-style-type: none"> <li>• Perception that it's free money, they might not have bought into the money. Jurisdictions might try to hide behind ADOT if it's a somewhat controversial issue. How do we get the locals to become more engaged. Speak up, take ownership. The local jurisdictions have no skin in the game.</li> </ul>
ADOT MPD Management	Listening to our customers' needs, so we don't miss them. Sometimes people ask stuff that we can't deliver. We have requests in the past that came in for capital purchasing and equipment, the intention of transportation planning isn't to meet these needs. We rarely turn down applications.
ADOT Public Involvement	I don't have enough experience with entire process from an evaluation or selection process standpoint.
Tribal	I didn't have anything. No
ADOT Division Staff	<p>ADOT and county/city staff find the process useful, but local agencies and officials don't know what to do with it. When findings are presented to local agency staff, some agencies are better than that others at using as a planning tool. Especially when multiple local agencies are collaborating on a product, the elected officials do not know what's going on (a lot of the times staff is spread thin) with smaller communities when they get pulled into the study. It might be the town clerk who does everything and there's no safety engineer. It might be the city superintendents who might not know certain knowledge. Expect to do a little bit of handholding, and perhaps a primer on basic transportation planning should be part of the presentation of findings. So that elected officials know what's being presented.</p> <p>Some of the issues that were identified were not as realistic. Ideas that are way out in the future or will never happen. Maybe we shouldn't go so far out that we lose public interest; focus more on the short term improvements. Maybe identify some funding sources and prioritize these strategies.</p>

<b>Topic: Technical/Planning</b>	
<b>Question: a) Are PARA studies addressing all the transportation planning topics of interest for your community? If not, what other topic areas would you suggest?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	They cover most and almost all of the planning topics. The biggest issue is to involve the district in the writing of study scope because they would include things that we don't know about in the central office. A topic area we don't currently study is mobility or how to efficiently move people from one place to another.
MPO/COG	<ul style="list-style-type: none"> <li>• Specific areas such as safety, pedestrian-safety, bike safety; cross-walks, and transit coordination in connection with road and street safety – among other things. The list of PARA eligible projects is pretty comprehensive.</li> <li>• Allowing the COGs to use the PARA study to do a region wide study. They are not required to do transportation studies like the MPOs, nor do they have planning funds to do a study. A region-wide study on specific regional needs would be fantastic.</li> </ul>
ADOT Planning	<ul style="list-style-type: none"> <li>• Airports. I was told that we should focus on interconnectivity with airport and not actual airport planning.</li> <li>• I like to see a little bit more rail. AZ is not a heavy rail state. We offer that, but we have limited rail network.</li> <li>• MAP-21 requires us to do a freight plan. Direct our locals to start thinking about. We rarely turn PARA applications down based on the topic. We usually turn down PARA apps because their scope isn't well developed.</li> <li>• I've been emphasizing safety more than usual in local jurisdictions. Focus in on a specific area or concerns get the local jurisdictions more focus.</li> </ul>
Local Jurisdictions	It's been powerful. Where we run into a problem is ADOT PARA being such as oversight program. We're just one contact. Having that technical assistance, we needed a little bit more mentoring and translate that into a document that could be sent to the supervisors (with nice graphic piece). How are able to go through the process of assessing existing needs, brainstorm alternatives, and come up with engineering solution?
Technical Consultants	<ul style="list-style-type: none"> <li>• Land use and transportation are so tied together. In some cases, it might be more beneficial for the studies to venture little bit into land use planning. This study can be a platform for recognizing the alternatives (i.e., a roadway alignment might be pivoting off the land use). I do like how ADOT has broadened the range of topics within the past 2 to 3 years. Broaden to corridor studies, it's been a beneficial expansion in scope.</li> <li>• ADOT restrictions of directing PARA towards rural areas. There are Issues with state highways that serve as main streets in the Tucson the region that are beneficial for ADOT or local jurisdictions. It would be beneficial for somewhere like Oro Valley (which is not eligible because they're in PAG), if they can do a multimodal specific plan. This could also be done with a non-MPD study that perhaps isn't focused on rural planning.</li> </ul>

<b>Topic: Technical/Planning</b>	
<b>Question: a) Are PARA studies addressing all the transportation planning topics of interest for your community? If not, what other topic areas would you suggest?</b>	
ADOT MPD Management	Are communities asking for the right kind of topics? I believe they are. We were traditionally getting corridor /small area type of request. That was fine, but that's not necessarily everything that the communities wanted. It's grown to a multimodal study, transit, pedestrian or bike heavy study. My impression is we're doing the right thing. When general plans are due, some communities don't have money to complete them, we've helped out with their transportation elements. When local communities see the values they're getting, they will look into other topics.
ADOT Public Involvement	Respondents did not answer this question.
Tribal	I think the PARA was good; it addressed everything.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Technical/Planning</b>	
<b>Question: c) The PARA program is intended to address local needs. To what extent should state highways be addressed by PARA studies?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	I do, state highways are main streets. It should be included. They're arteries for our local rural communities. It should be in context, I don't want to do corridor studies under the PARA program, but they should be analyzed as a part of a transportation needs study.
MPO/COG	The District Engineers should ALWAYS be involved. Their roads run into and out of each local road.
ADOT Planning	<ul style="list-style-type: none"> <li>• They are often main streets for communities...locals will have issues on the state routes (especially in the public involvement portion). You can't do area wide studies without looking at the state route. It's a functional system no matters who owns it.</li> <li>• We're in the business of moving traffic. We recognize our highways as significant routes through the areas. We don't necessarily support putting driveways and stop lights on those freeways. Cities might want businesses, additional access. It's difficult to create a plan that will be the city's, but it's hard, because it contradicts what ADOT is trying to achieve internally. We need to be very clear with them (maybe with a disclaimer?) if their design policy doesn't meet out criteria. State routes are ADOT's responsibility. Whatever recommendations come out of there will have to comply with ADOT's requirement.</li> <li>• Route transfer study to see if the route meets the transfer criteria. We would rather get rid of those routes. Transfer them back to the locals. When there's a state route involved have that in the dialogue.</li> </ul>
Local Jurisdictions	<ul style="list-style-type: none"> <li>•Yes, state highways should be addressed. They are often the rural traffic main corridor is, if it doesn't include these roadways, then the study is not effective. •How do you manage the issues of identifying needed improvements on the state facilities? Or that needs are different to state policies?</li> <li>•We're working with the ADOT district. Payson had an RSA on our state highway intersections.</li> <li>•When you're aligning study, local entities should make sure that comments from PARA/SATS studies are incorporated the 5-year RTP program. For one of my PARA studies, 68% of the traffic are moving between state and county roads.</li> </ul>
Technical Consultants	State highways are key from corridor and behavioral land use, specific plans for one two miles stretch of the roadways; if PARA can come up with some design guidelines, and key policies, that could be useful. If you'd get applications like that and they're ranked with other issues, chances are these roadway specific plans would rise to the top.
ADOT MPD Management	In Arizona, you can't avoid it. State highways are often the main street. PARA studies support the state transportation system and the community as well. The communities should have a voice on how the facility works, as the local arterials often run into US highways.
ADOT Public Involvement	Respondents did not answer this question.

<b>Topic: Technical/Planning</b>	
<b>Question: c) The PARA program is intended to address local needs. To what extent should state highways be addressed by PARA studies?</b>	
Tribal	To the extent that the community feels it's necessary. We have state highways going through our reservations. ADOT obviously do their own studies, I don't think we need to duplicate effort so much. Don't need to spend that much money that we get on the PARA grant on something that ADOT already studied. However, we can also request that if that's a concern. For instance, we have a lot of safety/high crash segment located next to the state highways in our area. We now have information on area and could show to the state that it's an area of concern.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Technical/Planning</b>	
<b>Question: d) Currently, PARA applications ask local jurisdictions to identify needs that a planning study could address. Would it be helpful for needs assessment to be an eligible topic for a PARA study?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	Most of our studies are small and the communities have a pretty good idea of what they need. The most successful studies are the ones where needs are identified internally. This is different question – needs assessment to study - we don't have much money to do that. Communities should aware of topic areas they're interested in. If not, they're not really ready to do a PARA. We kind of do that in the scope development for a PARA project when we customize the study to topics they're interested in.
MPO/COG	If they don't know their needs assessment, they definitely need a needs assessment. Absolutely, it would be really good for some of these small communities, have someone bring it up. Sometimes they don't have the resources to think about these needs.
ADOT Planning	That's one thing we're trying to implement in the next PARA round. Thor Anderson developed a draft feasibility study. Basically we can develop the purpose and needs up front, and identify a corridor.
Local Jurisdictions	Maybe this could be a separate mini needs assessment grant (\$3-\$4 k) to bring in a consultant to let us know possible topic areas.
Technical Consultants	Most of the PARA studies are pretty broad and not focused to begin with. Would that be a separate study? I think if you did, it might be a \$10,000 on call assignment. I wouldn't think it would be a full PARA per se. It would help them know what to apply for.
ADOT MPD Management	It probably would. I'd be cautious...I don't want to be dictating what the local communities' needs are. For instance, RSA is a needs analysis of safety improvements. Maybe PARA program can have a check list that they can consider. It shouldn't be a state DOT or consultant coming in with a check list. Local choices are personal. We can help them conduct a system health check. What can make the system healthy?
ADOT Public Involvement	Respondents did not answer this question.
Tribal	I think that'd be useful. We didn't have a long range transportation plan, so it was clear to me that we needed that. Now that it's in place for a few more years, if needs assessment is part of a PARA, I can see where it could be useful.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Project Administration</b>	
<b>Question: a) How satisfied are you with project management provided by ADOT?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	They do a good job.
MPO/COG	<ul style="list-style-type: none"> <li>•There could be more interest in working with the COGs on each PARA award. Justin does a great job in managing the relationship between ADOT, local gov't and consultants. When I do go to the TAC meeting, depending on the consultant, it might be the consultant leading the direction, instead of what the locals want. Sometimes, it's out of Justin's hand, and the local jurisdictions or consultants might not want to send the COGs participation.</li> <li>•Quality of the studies is less than desired. Quite often, no funding identified, use ADOT general funding. Lacking in what's your next steps. PARA studies should include a timeline and accountability for local areas. ADOT should say what your progress needs to be. If the PARA study says a recommendation is going to cost more money and the local can afford it, local jurisdictions should identify next steps. If not the locals just need to write a report that they can't do it. It shows that they've looked at it.</li> </ul>
ADOT Planning	We're going to skip this one.
Local Jurisdictions	<ul style="list-style-type: none"> <li>• Average.</li> <li>• Karen had a really good working relationship with Mark Hoffman.</li> <li>• We appreciate the administrative assistance.</li> </ul>
Technical Consultants	I'm satisfied. I don't think any of the management issues are ADOT's doing. The challenging part is keeping local participants engaged.
ADOT MPD Management	I'm very proud of the program and the project managers (their professionalism). You see their passion when they know they're making a difference in the local communities. We've also made a lot of changes to the program. Internal changes to make the program as more effective. I beat my people up about getting our transportation planning money out there, get as many projects out and running, stretch our bounds. We can always do better.
ADOT Public Involvement	I've had great experience, they're committed.
Tribal	It's great! We had Misty Dayzie, she's on top of it, doesn't let things fall between the cracks.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Project Administration</b>	
<b>Question: b) i) Do you think that the current policy of no local match should be altered? If so, do you have a suggestion? Why?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	No opinion. It is fine that as already is. If there is local match, I wouldn't make it too big. A couple of jurisdictions keep applying through the PARA program and would do it regardless of PARA match requirement. We should make it a point that the same jurisdictions don't win every single time. They'll be studying the same issues to death... We should Incentivize these communities to close their project, and spread the resource to other topics or communities. For instance, consider excluding a jurisdiction if it has an ongoing project.
MPO/COG	<ul style="list-style-type: none"> <li>• Probably won't have the same level of participation.</li> <li>• Possible: Right now it is an ADOT project (or consultant project). Often the community doesn't really feel it is their study. If the LG provides a match, perhaps they will have the opportunity to participate in it as a local study, rather than an ADOT study. Could be weighed in-kind in some way.</li> <li>• Most rural agencies may not have the match funds in this economy. Especially if nothing comes of the study. Having a study for the sake of a study has been the norm.</li> </ul>
ADOT Planning	<ul style="list-style-type: none"> <li>• Idea and concept are good. The logistics of it might be messy. Local match has to do a JPA and that process takes 6 months. We haven't found a way to make it doable to get it on schedule.</li> <li>• SATS studies used to have to be JPA. It was almost impossible to get JPAs with tribes. It's big hindrance for tribes to apply. Adding this is something that's outside of our control. We should be focusing our schedule within 12 months. We need the locals to have some skin in the game.</li> <li>• People just show up...it feels like it's my meeting...a lot of times the local just wants to melt into the background. We should figure out how to put them more in a project management role.</li> </ul>
Local Jurisdictions	No required match, local jurisdictions probably won't participate.
Technical Consultants	<ul style="list-style-type: none"> <li>• I do not think it should be altered. It's important to the local jurisdictions. Local communities often don't have many resources, and too many other priorities.</li> <li>• The only case I can see it being altered is involving tangible products such as software (pavement management software or GIS software). Generally speaking I'd say no. Local match introduces complexity with JPA, that could slow down the process.</li> <li>• There are other ways to get their skin in the game such as requiring a council resolution or signature of the planning director as part of the application process, or etc.</li> </ul>
ADOT MPD Management	I'm continuously looking at ways to improve the program and the processes. Funding is an issue I've given a lot of thoughts to. I'm weary about requiring match. You get into a situation of have's or have's not. Communities who do not have means, might not be able to provide the match. We might not be able to get to those in needs or get the most applicants.

<b>Topic: Project Administration</b>	
<b>Question: b) i) Do you think that the current policy of no local match should be altered? If so, do you have a suggestion? Why?</b>	
ADOT Public Involvement	I don't see necessary the need to match, the program is focused on providing funding for cities that otherwise they won't be able to do. Asking them to participate is contradictory to the program. If they have money, that could influence the selection process.
Tribal	I think it's always nice. If commitment were an issue, matching might weed out the folks who might otherwise drop out. If we are required to provide a match, we do have minimal funds from the BIA and we could chip in some. Hopefully, it's like a lower, would they do something like a non-federal share like 5.7% for AZ. Hopefully, it'd be small enough that these rural communities can afford it.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Project Administration</b>	
<b>Question: b) ii) If a local jurisdiction could have more say in PARA programs administration (i.e., consultant selection, project funding), but would also be required to have higher matching requirement, would that be appropriate?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	We are getting a lot of feedback from local jurisdictions. For example, if communities don't like a consultant, we don't choose this consultant. They have a say in it. I don't have a problem.
MPO/COG	Respondents did not answer this question.
ADOT Planning	<ul style="list-style-type: none"> <li>• They have all the say they want. When I manage a tribal Para study, I defer a lot of the major decisions to the tribal person. If I'm sensing that it's not going to be done in a timeline manner, then I do a little bit of probing. If they're passive and we allow them to take lead, they might never get done. Some SATS stagnate for years.</li> <li>• When it comes to selecting Tribal studies (individual releases/rap) tribes are more allowed in the selection process. For non-tribal studies, we'll release them in groups (for example circulation studies), so we don't allow local jurisdictions to sit in in the consultant panel. We allow them to fill out scoring criteria and they voice their opinions. They're not allowed to attend the meeting.</li> </ul>
Local Jurisdictions	Local involvement shouldn't have to be matched with local funds. It's technically costing money for the county for me to participate in the PARA process. If it's matching fund in kind, we might be able to go through the MPO.
Technical Consultants	I find it odd that locals don't have as much say might be why they're not as engaged. If they're actually in the proposal review and ADOT can help them see they're a partner in this process, maybe ADOT will get better results.
ADOT MPD Management	See answer to previous question.
ADOT Public Involvement	See answer to previous question.
Tribal	Well we didn't have the issue. We were part of the consultant selection team, so I don't have a problem with that.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Project Administration</b>	
<b>Question: b) ii) 1) If so, what do you think is the appropriate level of matching?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	I would limit higher match ratio and have it depend on size of jurisdictions. If population under 10k, no match ratio, since these jurisdictions don't have much staff or resources. Additional thresholds could be: 10k-40k, 50k (transit threshold small urban/rural), 50k-200k (these are the communities that keep coming back). 20% is probably a good number (since that is also the amount for federal matching funds).
MPO/COG	<ul style="list-style-type: none"> <li>• I would prefer there be no match, but 5.7% is good. This is the same amount for all our road/street funding levels. Smaller communities are more financially constrained. I'd prefer not to see any match at all.</li> </ul>
ADOT Planning	<ul style="list-style-type: none"> <li>• I've heard from the NACOG region that they'd like do a regional study that tie all their previous PARA studies. 20 some odd jurisdictions. It'd be more than \$250k. We've never made it clear whether they could put local money on top of the \$250k. We could create a way to supplement our fund.</li> <li>• Whenever we raise the limit, the locals just go for the largest amount without consideration for their scope and budget.</li> <li>• We need to have some kind of outline on the studies that can be done with certain amount of money. Depending on size of communities, I think their should be some kind of guideline. this is what you'd get out of for with this particular type of money. (Direct them to the website for reference). PM often ask how much to ask for? We don't advertise our budget to the consultant.</li> <li>• They need to know how much of the public involvement portion come out of the total. Be aware that x % will go to public involvement.</li> </ul>
Local Jurisdictions	See answer to last question.
Technical Consultants	See answer to last question.
ADOT MPD Management	See answer to last question.
ADOT Public Involvement	I would rather be they're more hands on and take on more ownership. From a funding stand point, if they have money behind it, that might influence that more.
Tribal	See answer to last question.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Project Administration</b>	
<b>Question: b) iii) Currently, there's a \$250k limit to PARA project funding. Do you think there should be a stated limit? If so, what is a reasonable limit to PARA project funding?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	That's a big project budget. It's great.
MPO/COG	<ul style="list-style-type: none"> <li>• Yes, there should be a limit to each study, and the amount should remain the same. Once the application is completed, and the scope is finalized, then the amount can be determined. Some studies will be much less than \$250K.</li> <li>• If a needed study within the state is identified, and all agree, award it more than \$250K.</li> </ul>
ADOT Planning	See answer to last question.
Local Jurisdictions	The \$250 k limit seems reasonable. It keeps funding available for a wider range of studies. The amount would probably be right for regional transportation plans. Probably too high if the focus is to small focuses study. I'm surprised they raised it!
Technical Consultants	With the number of applicants, It seems to be a good number, the funding of the program is stable and consistent. They're dealing out a pretty good number of projects, last cycle PARA had 22 applicants. If you increase it by too much, they might be interpreted as favoritism for certain jurisdictions. Who's to say one town's issues are more important than another town's?
ADOT MPD Management	I'm comfortable with the 250k\$, someone could come in with a \$1 million regional issue. Something of that magnitude should be a regional issue solved at the MPO level. I thought the limit should go down. Scope can expand to reach that \$250k and max out at \$250k. For awhile, it seems all the project applications did. At one point, we probably want to sit down and talk to people about what's the appropriate funding amount.
ADOT Public Involvement	It's not one size fits all some jurisdictions might have more detailed work that requires more than a set limit.
Tribal	I thought that was appropriate, the amount provided for everything we needed in the PARA study.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Project Administration</b>	
<b>Question: b) iv) If the cost of a PARA study is greater than the \$250k, should local match be considered to fill in the gap?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	Yes, if they want a bigger budget, they should pay on top of it. There's one community that I know of that keeps on adding things to the work scope. In this case PARA did have local match for the rest above the awarded amount. I'd call it "excess" funds.
MPO/COG	No more than the 5.7%, unless the community can actually afford it. Although, we should determine if there is really a need for that.
ADOT Planning	See answer to last question.
Local Jurisdictions	Agree with the previous answer, I wouldn't change anything.
Technical Consultants	Case by case basis. I know one case where that did happen. There were additional scope not in the original application, and the locals did fill in the gap.
ADOT MPD Management	That's border lining on a MPO issue, maybe they should kick in...
ADOT Public Involvement	Yes, I think if we're determined 250k is the limit. Now id the locals want to delve in further local match should be contributed.
Tribal	Yes, definitely, if the community wants to do more than that.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Project Administration</b>	
<b>Question: c) i) Should other ADOT staff be involved in the application selection? If so, who are they?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	Yes, we should have input of the district engineer that might be affected.
MPO/COG	<ul style="list-style-type: none"> <li>• District engineer should be involved. It depends on the study. If a transit study is considered, an ADOT transit rep probably should be there. The same for other very specific studies.</li> <li>• I would like to see a COG/MPOs representative on the panel. We could rotate.</li> </ul>
ADOT Planning	Transit planners should be involved if transit is part of the study. Maybe someone from predesign. Thor will sit in this year. Environmental person should sit in.
Local Jurisdictions	District staff or someone who's familiar with the area.
Technical Consultants	District engineers (for state highways). Maybe one seat that rotates internally within ADOT, on a rational basis. Someone from MPD goes into the state engineering group evaluation panel and so on.
ADOT MPD Management	<ul style="list-style-type: none"> <li>• I'm ok with it. If I were to change anything, it would be to include the operations/district engineer folks. They're the face to the local communities. I would consider district engineering staff or their designees.</li> <li>• Not sure about Local representatives? The reason it hasn't been done in the past...is to keep it untainted. Someone who is eligible to sit on the panel, they might be biased.</li> </ul>
ADOT Public Involvement	I think so, Public involvement should. There might be some political sensitiveness around things and we can help that a bit. We know the politics behind jurisdictions' needs for studying a project and provide some insight into it.
Tribal	It depends on what they're applying for, for example Safety, they might want the local maintenance district or some ADOT safety folks. For us, it'd be the Phoenix maintenance district. We were doing a transportation planning, so the planners were fine. It depends on what they're applying for. It's probably up to the ADOT project manager, but it should be based on what the community's applying for.
ADOT Division Staff	It depends on what they're applying for, for example Safety, they might want the local maintenance district or some ADOT safety folks. For us, it'd be the Phoenix maintenance district. We were doing a transportation planning, so the planners were fine. It depends on what they're applying for. It's probably up to the ADOT project manager, but it should be based on what the community's applying for.

<b>Topic: Project Administration</b>	
<b>Question: c) ii) Is the current application selection process easy to understand? If not, how could it be clarified?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	Not applicable. No opinion.
MPO/COG	The project selection IS NOT transparent. I have no idea how ADOT chooses the projects, or why. With some of our ADOT project, it involves some MPO/COG planner. Maybe COG planner can be on a review planner, and we can alternate from one year to the next. COG and MPOs can give a local jurisdiction regional perspectives.
ADOT Planning	<ul style="list-style-type: none"> <li>•I think it's getting easier...it's certainly not a cut and dry process.</li> <li>•It would be helpful to have a group discussion of scoring to see what exactly is meant by that. So people get a good sense of project scoring.</li> </ul>
Local Jurisdictions	<ul style="list-style-type: none"> <li>•There could be example of studies, or topic/project examples. LTAP could offer some examples.</li> <li>•ADOT have some sort of PARA webinar. Perhaps there needs to be a more detailed timeline for the PARA process.</li> </ul>
Technical Consultants	Not applicable.
ADOT MPD Management	I'm not the right person to answer the question.
ADOT Public Involvement	I just don't know a lot about the application process....
Tribal	It was pretty easy.
ADOT Division Staff	Respondents did not answer this question.

<p><b>Topic: Project Administration</b></p> <p><b>Question: c) iii) The existing criteria for PARA applications are:</b></p> <p>●Overall Project Considerations: 0-20 points; ●Demonstration of Need for Study: 0-25 points;</p> <p>●Incorporation of Planning Elements: 0-15 points; ●Demonstration of Community Support: 0-15 points;</p> <p>●Benefits the State, Region, and/or Community: 0-25 points.</p> <p><b>In your opinion, are these criteria appropriate? Would you rank/weigh these criteria differently? Would you add or remove evaluation criteria?</b></p>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	Currently it feels like what gets a lot of weight is if the project manager thinks it's a fun study to do. There should be weight for smaller communities, since larger communities should have more funding.
MPO/COG	The criteria is good, but there is nothing about the quality of the grant. One of our tribes submitted a grant. One of our other grants, written perfectly. This is important, as many are awarded based upon need, yet provided a very incomplete or badly written grant. This tells those who write a sloppy grant that they will get funded anyway. A very bad policy. There should be submittal guidelines.
ADOT Planning	<ul style="list-style-type: none"> <li>•Planning element is 15 points. When I read through the application sometimes, they don't even mention it is 0. Maybe we increase that to 25 points. If they have letter of support from communities, stakeholders might see this as a benefit (5th criteria).</li> <li>•Possible way of framing planning element: How does this plan meet...instead of giving them this is what the element is? Check list of element. With one sentence line...does this or does this not address the element?</li> </ul>
Local Jurisdictions	<ul style="list-style-type: none"> <li>•Maybe the benefits to state, region, and/or community can be weighted individually with less emphasis on the state aspect of it (To the state 0-5 points).</li> <li>•Demonstration of community support (not sure how important it is). It seems inherent in planning work that garnering tons of local support might be premature. For instance, we can have local support and then if your PARA doesn't go through, the community might be left with expectations. Maybe reduce demonstration of community support.</li> <li>• Possible new criteria: Relevant linkage to RTP, comp plan or general plan.</li> <li>• Demonstration for need and apply could be 10- 15 at most. hah</li> </ul>
Technical Consultants	<ul style="list-style-type: none"> <li>•Demonstration of community support should be a little bit higher. When you have more solidarity in community support, chamber of commerce, main street, the points and weight should be more. This should probably be rephrased as demonstration of sponsoring town/agency for supporting/undertaking the effort.</li> <li>•Overall project considerations: that seems a bit murky and it's worth 20 point?</li> </ul>
ADOT MPD Management	I'm not the right person to answer the question.
ADOT Public Involvement	I think they're weighted appropriately. There could be more emphasis on working towards business case perspective. That might require more weight. Also community support, do they have input from their communities, is this what their communities want?

**Topic: Project Administration**

**Question: c) iii) The existing criteria for PARA applications are:**

- **Overall Project Considerations: 0-20 points;**
- **Demonstration of Need for Study: 0-25 points;**
- **Incorporation of Planning Elements: 0-15 points;**
- **Demonstration of Community Support: 0-15 points;**
- **Benefits the State, Region, and/or Community: 0-25 points.**

**In your opinion, are these criteria appropriate? Would you rank/weigh these criteria differently? Would you add or remove evaluation criteria?**

Tribal	I think the criteria are fine.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Project Administration</b>	
<b>Question: c) iv) Do you think past implementation status should factor into the PARA application review process?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	Yes
MPO/COG	<ul style="list-style-type: none"> <li>• Subjective, if they identify needs, but they don't have the resource to implement them. Do you punish them? That should be weighted.</li> <li>• YES. Many PARAs or SATS simply sat on the shelf, with no action to implement any part of the study. These studies need to be followed through.</li> </ul>
ADOT Planning	I think it's very helpful. I learn a lot about the cities' dedication to utilizing the plan. Another thing that can be used to justify existence of this program to the FHWA, if we can show to them this is an effective program.
Local Jurisdictions	Implementation is more of an indicator for funding availability and typically there's not much money to implement recommendations. Since recommendation implementation takes on a more incremental process/planning, PARA should look to see if studies are reiterating the same conclusions or delving into specific areas and providing more implementation recommendations.
Technical Consultants	It depends on what the last study focused on what they've done it. If it's the same transportation planning topic that was done a few years ago, then yes you need to look at their implementation status. Otherwise, if it's a general plan update that should take place every 10 years, then no.
ADOT MPD Management	This would be a good internal ADOT measurement/information, and gather quality of the product that we're providing. However, it but shouldn't be the factor. For a small community, Somerton, the only opportunity is to go through their MPO. They might not necessarily have the opportunity to fund those recommendations. This might have unintended consequences.
ADOT Public Involvement	I would agree with that. If there's no advancement, why should we focus on the communities that aren't moving the dial? It's also difficult for jurisdictions to find the funding for implementation.
Tribal	No, because people change, and communities change. So maybe they've had something done before, but they just didn't get to that point yet. Elected officials, council, and priorities change. Might also be changes in external things and staff. They might not be at the level to implement the recommendations. There are circumstances where that's hard to do, maybe the desire's still there. I don't think so.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Project Administration</b>	
<b>Question: c) v) Should PARA applications be focused on a different transportation planning theme each year; for example, setting aside a percentage for sustainability or safety, etc.?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	No themes for each year. That's a waste. It's become arbitrary and not about needs. Then it becomes what ADOT wants to plan.
MPO/COG	<ul style="list-style-type: none"> <li>•Maybe: But it might be years before a particular planning theme gets around to what is needed in a particular local government.</li> <li>•I think it's a good idea. Transportation enhancements did that. I think it'd be worth looking into.</li> </ul>
ADOT Planning	Respondents did not answer this question.
Local Jurisdictions	No, then you reduce the flexibility in applying the money to different issues. Also, how can local jurisdictions plan for the theme of the year? We often have needs or issues lined up that we want to drill down to our ideas. There's just too much uncertainty.
Technical Consultants	No, the issues don't come up that way. Themes are developed organically by the communities. Instead, there should be a clearer definition into eligible problem types. For example, sustainability and safety could broaden the net of eligibility.
ADOT MPD Management	No it's hard to match theme with community needs. We don't want to dictate to the communities what to focus on. The benefit of the program is that it morphs into their needs.
ADOT Public Involvement	It wouldn't be a bad idea. It could provide more opportunities for projects to be accepted for PARA program.
Tribal	No. That should be up to the community needs. Every local jurisdiction is different and it should be what's useful. It should be geared towards locals.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Project Administration</b>	
<b>Question: c) vi) In your opinion, what would attract new applicants to apply for the PARA program?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	For smaller communities, it's hard for them to get going on it. There's a need at the COG level to mentor communities in this. If the communities knew it's not the same people always applying. We get a lot of applicants, so if we limit it to new applicants. A lot of outreach of COG, GOVs delivery system (ADOT mass email system – listservs ), and a flyer that goes to all city manager. Highlight the fact that we want communities that haven't applied in the last year. We could ask our graphics, marketing, and communications people to help us with the outreach. Transit does workshop for example. Perhaps, there could PARA application workshop that walk new applicants through the process?
MPO/COG	The COG/MPOs need to know their region and what the needs are. The only way local governments will apply is if the COG/MPOs help them determine what type of study they need, and what to do with it after they get the study. Transportation planners talk about them with the local communities, start my conversation with them in December when the applications are due in June. COG Planners would spend more time talking about PARA studies, if COG were involved.
ADOT Planning	<ul style="list-style-type: none"> <li>•Giving presentations on the program and the application process will be, and what activities will be eligible. I think we're doing on a good job already. A lot of local jurisdictions know about them. We could have a PARA summit.</li> <li>•Now it's become we've had more applications than funding. We need more planners. Our program is extremely popular, we can't do all the studies. It remains competitive...the local and tribal have that no match, they have to do their best to demonstrate their needs.</li> </ul>
Local Jurisdictions	Just knowing what the opportunities the program can provide. Program managers can go to different jurisdictions and COGs, small groups and discussions,
Technical Consultants	<ul style="list-style-type: none"> <li>•Broaden the eligibility to some fringe areas that aren't currently eligible: (i.e., Catalina, ore valley) where the state highway system runs through.</li> <li>•Broaden the project type and expand the realm of topics. Transportation issues that focus on interaction between regional and local areas (although, might be more of a Tucson issue).</li> </ul>
ADOT MPD Management	See answer to previous question.
ADOT Public Involvement	More flexibility... I'm not sure if I have an answer.
Tribal	Explaining different types of projects that fall into the PARA program. My first priority is done, long range plan is done...so knowing what the PARA grants can be used for, so it might flow back to your needs assessment question.... These are the things that PARA can do for you.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Consultant Selection</b>	
<b>Question: a) (For local jurisdictions) Have the consultants selected by ADOT been effective in understanding your community's needs and in developing project recommendations?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	Respondents did not answer this question.
MPO/COG	Respondents did not answer this question.
ADOT Planning	Respondents did not answer this question.
Local Jurisdictions	<ul style="list-style-type: none"> <li>•One good experience and bad experience. Urban outreach is very different from rural outreach and we need to give directions to the consultant on interaction and attires with the locals. For Yuma County, they did a good job.</li> <li>•The only problem is identifying the scope. We weren't satisfied with the results. We didn't have the consultant on board and there was a bit of scope creep regarding the direction of the project, that was a challenge for the consultant and funding.</li> </ul>
Technical Consultants	Respondents did not answer this question.
ADOT MPD Management	Respondents did not answer this question.
ADOT Public Involvement	Respondents did not answer this question.
Tribal	Respondents did not answer this question.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Consultant Selection</b>	
<b>Question: b) (For local jurisdictions) Do you have access to the consultants during the period of the PARA study?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	Respondents did not answer this question.
MPO/COG	Respondents did not answer this question.
ADOT Planning	Respondents did not answer this question.
Local Jurisdictions	Yes, it is Important to have access. Another relevant question is whether the consultants feel like they're working for the state versus working for the local jurisdictions?
Technical Consultants	Respondents did not answer this question.
ADOT MPD Management	Respondents did not answer this question.
ADOT Public Involvement	Respondents did not answer this question.
Tribal	Respondents did not answer this question.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Recommendations Implementation</b>	
<b>Question: a) What are some difficulties to implementing recommendations?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	<p>It depends on how recommendations are packaged. Some of it is their experience in doing it. In Wickenburg, we had maps that had recommendations of what to do and outline of these recommendations. They took this information and put them on all grants applications. There were local determinedness and champion. The community told us which projects they wanted and we could package them accordingly.</p> <p>Funding is always an issue. In Wickenburg, they were 100% focused on their economic development side of it, we have focused on chamber of commerce. In this case, business and transportation needs coincided and the community wants these changes to happen. Community cohesiveness is not something that ADOT gets to influence to strongly. As we do outreach to business, it is important to get their buy in.</p>
MPO/COG	<ul style="list-style-type: none"> <li>• Funding</li> <li>• Not determining the clear needs of the area (well I can do that in the HSIP money).</li> <li>• Changing of elected officials or managers in the communities (their priorities and determination change)</li> <li>• Change in staff. Some hold a need higher than others. COG needs to pick up the phone to continue the conversation.</li> <li>• Studies should provide a clear outline of the need, then determine reasonable funding avenues (if not then why are you studying it?), along with implementation timelines. Need to identify the next steps.</li> </ul>
ADOT Planning	<p>I think it's local resources. We vet the project timeline with them, here's your 5 yr., 10 yr, and your 20 yrs. We try to identify the funding sources that would be available to them. . I think it's all about money. Sometime, council change out, and they don't champion some of the recommendations.</p>
Local Jurisdictions	<p>Funding, community support, right of way to implement recommendations. Also, our in-house staffing capacity (for example, interns).</p>
Technical Consultants	<ul style="list-style-type: none"> <li>•Constrained local funding.</li> <li>•Staffing unfamiliarity with pursuing grant applications.</li> <li>•Possible PARA topic – support for grants implementation/application. Support for Next Steps for applicants who have just completed the PARA.</li> </ul>
ADOT MPD Management	<p>Sufficient resources or staff. Abilities to procure the right resource. Sometimes the recommendations require the technical expertise to implement it.</p>
ADOT Public Involvement	<p>Funding, public acceptance, in some cases, we've e studied something and the cities clearly don't want it. Yuma project comes to mind. Proposed future corridor that's been identified and highly opposed in the Yuma area. The feedback has been we don't want it, why are you looking at it?</p>
Tribal	<p>Elected officials and staffing and stuff like that.</p>

**Topic: Recommendations Implementation**

**Question: a) What are some difficulties to implementing recommendations?**

ADOT Division  
Staff

Respondents did not answer this question.

<b>Topic: Recommendations Implementation</b>	
<b>Question: b) Would it be useful for ADOT to track the status of local jurisdictions' recommendation implementation? If so, how could the information be useful?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	Yes, it would be useful. ADOT has happily gone along and done all these planning. It would be helpful to send out a survey, check in on their progress on implementation. Ask the locals why has this not be implemented? It would be good for PARA planners to know that this is not an option, quit using that approach "gives us feedback." For instance, we could send out a notification such as "At end of the PARA process, we have recommended xxx, we would like to follow up for the next five –ten years. Did you implement these recommendations? if not, how did you modify it? Each year, we would send the notification out.
MPO/COG	Yes, ADOT needs to follow it and the locals need to show accountability.
ADOT Planning	There will be value, but we'd have to hire more staff. It could serve as a performance measure and be an opportunity for the jurisdictions to share information about how one's been done to implement.
Local Jurisdictions	<ul style="list-style-type: none"> <li>•Not really sure what the value is. Would this be tracking the repetition of recommendations?</li> <li>•Although implementation status could be used to track trends of certain implementation or see where needs might be in a community (for instance if we need additional staffing, like a mapper).</li> <li>•It could also be used to justify the PARA program, go to the state and Washington with the proven benefits.</li> </ul>
Technical Consultants	Sounds like an administrative nightmare, might be too much like a "big brother." So many variables that influence local decisions why something's implemented over something else. From a local perspective, there are so many factors that it perhaps neutralizes the point of keeping track of projects.
ADOT MPD Management	Maybe the Cambridge team should recommend a recommendation implementation steps, process, and schedule.
ADOT Public Involvement	I think it would demonstrate the purpose of the studies. Yes, I think ADOT should track that.
Tribal	I don't see where that would be useful. Maybe they can do follow ups, hey is everything ok? Are there any barriers? I don't think they should keep track. That seems a little bit like "big brothers."
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Public Involvement</b>	
<b>Question: a) How does the public outreach process contribute to the ADOT PARA studies?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	Makes a big difference. They give us a better idea of specific needs of the community and how to meet those needs. The outreach events I've attended had 30 or 40 people, and they gave us very specific feedback/ideas.
MPO/COG	Extremely weak. Consultants put on a great show for 3 people.
ADOT Planning	<ul style="list-style-type: none"> <li>• I've been trying to get the TAC to think of innovative ways to use survey monkey and ways to move forward other than traditional meetings. Online stuff is often better depending on the audience. What do you guys want? What's your demographics (how can we reach out to them better).</li> <li>• Most successful meetings have been with our corridor study. We send adjacent property owners notifications about road constructions. I'd rather have a turnout. Other than mailer or flyer on utility bills weren't particularly effective and we got three people in the meeting. Direct mailing is expensive, and requires freeing your consultant up on other matters, so they have money for that mailing. Approach to advertising for the meeting is critical.</li> </ul>
Local Jurisdictions	<ul style="list-style-type: none"> <li>• If it's a very technical case, In kind-assistance from local government should be required. Otherwise it would fail in my county (Cochise). I've had better success when the consultant themselves were doing the outreach. It seems the ADOT in-house outreach was inefficient and there were gaps.</li> <li>• Public outreach could gauge public support, and gather different ideas.</li> </ul>
Technical Consultants	<ul style="list-style-type: none"> <li>• Most of the consultants are utterly confused about where ADOT is headed with public involvements.</li> <li>• PARA project manager called me up and didn't know what's going on and all the public outreach money has been spent on one particular consultant who just prints stuff. It might be isolated to these one or two studies that got into the mix of this transition process.</li> <li>• I'm helping ADOT going through a transition. They're still trying to figure out too. Short end of the process.</li> </ul>
ADOT MPD Management	Public involvement is one of those issues that is evolving as well. If we're really doing public involvement to just check off FHWA's requirement, we've miss the boat. You're not getting the true feel. We need to have more targeted outreach on the end-users of the system, and future end users. We need to be reaching out and touching the right people, and not just setting up a meeting.
ADOT Public Involvement	The public acceptance part of it either supports your project or gives you a basis of understanding of whether you have a good project.

<b>Topic: Public Involvement</b>	
<b>Question: a) How does the public outreach process contribute to the ADOT PARA studies?</b>	
Tribal	It was huge. It was very useful. We were trying to do what the community needs and solve problems in the community. It's vital to get their input. We spent a lot of time on public outreach. We did a lot of that internally, because we didn't want to spend too much of the grant money on that. Misty Dayzie was always there, supporting, on ADOT's . We picked and choose when to use the consultants, since we didn't want to spend all the grants money. We used a lot of internal money to do a lot of it. We had to go to meetings that already have good attendance. They have breakfast meetings for the elders. It's vital.
ADOT Division Staff	We've had a hard time getting the public interested. The public is more concerned about what's happening right now, and they're not really looking out that far. Generally when you have a public meeting, a bunch of retirees show up and they're not going to be there by the time projects are finished. Younger people are apathetic. I found also that an area of interest to developers, property owners want to be developers...they find these studies interesting, want to see something that favors them. You sift through and realize what they're after. They want to have governments underwrite improvements that benefit them so you have to weight that out. Some developments are phased. If those elements are incorporated into the PARA reports, source of these info should be included in the PARA. It should be noted so that the public isn't subsidizing the developers.

<b>Topic: Public Involvement</b>	
<b>Question: b) Which elements of the process could be improved?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	Outreach is only successful if we make questions interesting enough that people want to participate. When we ask about long term development (i.e., 40 yrs from now), it's hard to make it reachable to the public. We also need to make outreach "Mind Meld" online, water bills. We should also ask a community how they reach out to people. There is no one size fits all.
MPO/COG	Use the LG/ COG/MPOs to help schedule the public outreach.
ADOT Planning	Getting people engaged. It might even be through notifications.
Local Jurisdictions	<ul style="list-style-type: none"> <li>•Feedback to the public about how their concerns were addressed. Projects should be brought before my board of supervisors.</li> <li>•This might on a case by case basis. In one case, the supervisors were not happy to waste money on a consultants coming into their meeting to update them on the project status.</li> </ul>
Technical Consultants	<ul style="list-style-type: none"> <li>•Limitations to our public outreach creativity. In a recent project, we participated in a roving workshop that coincided with other local events, other than your standard open house. Park the bus at the grocery store. Purely electronic improvements – metric quest tool survey monkey.</li> <li>•I find it challenging that PI budget is based on straight 10 percent of technical fees. Set the budget based on the number of rounds of public involvement based on just the flat 10 percent.</li> <li>•Also now, ADOT Communications is taking some portion of the PI budget, although that means they're doing more in-house, this is causing some confusion.</li> </ul>
ADOT MPD Management	See answer to previous question.
ADOT Public Involvement	In my opinion, they used to be a kind of check a box kind of exercise, give all the studies a public involvement consultant and send them off. For me, it's like a study, you need to understand your audience, understand how to communicate with them and engage them.
Tribal	At the beginning, at the data collection phase, and at the end, we had recommendations. We had a lot of people comment on that. In the beginning, why are you here? In the end, why didn't you involve us sooner? People want to comment on something, and then later on, they say why didn't you involve us? It's kind of funny. Especially, when the council says it. I don't know if there's a solution for that.
ADOT Division Staff	<p>Corridor studies, PARA, DCR...Pick some sort of growth rate between population, infill growth, traffic analysis. More than once, we've been caught off guard. Our assumptions have been resting on past patterns, and if a big developer or growth comes in, LOS could drop faster than we expected. If economy goes up, then. Everyone knows that intuitively, but I don't think we do a good job presenting that a range might occur.</p> <p>Public gets bombarded with meetings, state, county, corridors, decry... they don't understand how they work together. We can probably do a better job of explaining the relationship and how FED mandates play int. I've heard from several folks, that we've had too many meetings and they don't understand how there are different elements to our work.</p>

<b>Topic: Public Involvement</b>	
<b>Question: c) In your opinion, is outreach input appropriately incorporated into PARA studies? If not, what could help improve this?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	My consultant project manager is good at listening and adjusting it. We really tried to go over unique things we've learned at the outreach.
MPO/COG	I feel the public outreach is there to fulfill a requirement. What do YOU want out of the public outreach? Most of the time only two or three people show up. The only people that think about them are the business members. Reaching people that are unreachable is a waste of energy. However, there's a major disconnect, when you actually build the recommendations, they come out of the woodwork.
ADOT Planning	<ul style="list-style-type: none"> <li>• Mine has been, everything has been captured in one document.</li> <li>• Create a Comment/resolution matrix is a summary of all changes.</li> <li>• Public involvement consultant, didn't get the newspaper ads. That's all tie back to how much funding they can get through the public involvement process. It's part of the federal process.</li> </ul>
Local Jurisdictions	It could be incorporated through the consultant you're working with. In a rural context, it's good to have working copies, informal documents, diagrams or maps that people can draw on and be interactive. It is also important to provide feedback to the public on how their comments were incorporated. If not, why not?
Technical Consultants	Yes, the firms try to a good job, more inputs usually try incorporate them. We tailor the outreach to individual needs.
ADOT MPD Management	Go to the users where the users are at. Recently, we've been setting out a booth and talking to people. Go to the community and speak to the end users of a facility to get their answers. It's expensive to go out there, but this is better than just speaking to the public works.
ADOT Public Involvement	Is the public perception acceptance even being considered or are we just simply going through the process? We have to turn that question to the local jurisdictions, are you even going to turn to the public? Folks have the opportunity to give feedback. Are they doing it? Are the feedback being considered? Do the jurisdictions even care what the public input is? For example, in the Yuma case are they still going the do it even if the public doesn't support the project?

<b>Topic: Public Involvement</b>	
<b>Question: b) Which elements of the process could be improved?</b>	
Tribal	<p>I think it was...it was because I made sure. Sometimes you listen to people's input and you know where you're headed, whether that gets incorporated or not it's since, you're just following template. We try really hard to do things or not do things based on what the communities said. We had a public relations subconsultant. They were awesome, they took great notes. We're an Indian reservation, and a lot of people try to cut through our community, so they didn't have to deal with out the outside traffic. We try to implement the message from the community that we didn't want cut-through traffic. We did a multimodal transportation plan that included pedestrians and transit. We do a transit demand service. People thought that the demand service was broken, and we incorporated the comments. The tribe also didn't want trails connect to the outside. When you have your TAC from Scottsdale and ADOT says you should include all that...but that's not what the residents wanted. I really try to incorporate what the residents wanted.</p>
ADOT Division Staff	<p>Many of the times, we've interfaced with the public. They tend to aggregate for or against (polarized for an item) focused as opposed to the big picture. Certain groups have their interest in..."we don't want people in, or please build on my farm, so I can retire." It's unfair to expect non-transportation professional, they sometime don't grasp the bigger picture without assistance. Bottom line is that comments that we've received, you have to take them with a grain of salt. During the NEPA process....you have to consider that a lot of opinions aren't reflected in the comments.</p> <p>Also, a lot of times, community members supply a comment, but they don't get a feedback. Every comment deserves a response. If we can't incorporate them, we should let them know and should give them a reason.</p>

<b>Topic: Public Involvement</b>	
<b>Question: d) Which types of public outreach events are effective? Which types of public outreach events are not effective?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	Depends on the community. Public hearing is useful meeting to talk to people. If a community did a good job reaching out to the different stakeholders, there are motivations to be involved. But we can't just have a public meeting, we've also sent out online surveys sent out through. We had a cool PARA project, from the perspective of community participation. The community did a good job exciting. The Community laid a lot of groundwork before they came to us (they dealt with BLM prior).
MPO/COG	I would suggest you combine it with another community meeting, other than a council meeting? Small rural communities would be interested to engage unless they're directly impacted by the subject. There's no one size fits all. Have key community planners and stakeholders identify the most appropriate outreach method. Getting the information out there and seeing if we get any comments back. We can involve the local cities and chamber of commerce in this, if we get enough comments then put on a full-fledged planning meeting.
ADOT Planning	Develop the public involvement plan based on activities happening in their community. Traditional open house one isn't particularly effective.
Local Jurisdictions	<ul style="list-style-type: none"> <li>•Surveys didn't work out. Sometime during the public meetings public outreach consultants talk too much and don't listen enough. Maybe not enough interaction with the public and offer them an opportunity to speak. Long presentations, with q and a, then it just becomes the consultant talking to the public.</li> <li>•Control the space that you're in. For instance, break up the formal presentation style and make participants move around.</li> <li>•In one successful event, we got rid of the chairs, had a scaled intersection, with a model vehicle with oversize operating with cars doing turns.</li> </ul>
Technical Consultants	Function of the nature of the study and the size of jurisdictions. When it comes to tribe, you need to be more receptive to traditions (i.e., Having meals, or door hangers) and be culturally appropriate.
ADOT MPD Management	Not applicable to my case.
ADOT Public Involvement	It's not one size fits all. You have to understand your public's needs, audience, the study and look for opportunities for them to engage. Going to them and not having them come to you and really assess who your audience is. Basic public meeting isn't always the answer.
Tribal	The established ones are effective – monthly elders meeting, earth day events vendor tables. The ones not so effective were the ones we scheduled just for the transportation plan. We only got a handful of people, the ones we've scheduled exclusively for our transportation planning meeting. We try to go to established ones, for example, piggy backing off council meetings.

**Topic: Public Involvement**

**Question: d) Which types of public outreach events are effective? Which types of public outreach events are not effective?**

ADOT Division Staff	The ones that have a clear defined purpose will get a more attendance, than the ones that seem nebulous, not so much. Specific issue gets those that are affected by the issue. If it's just a meeting to talk about transportation, then people might get more empathetic. Evening at the library meetings might net a certain kind of participants. We should be prepared to take comments via Facebook, twitter or the internet. Keep a public period comment time open after a meeting lets people think about the issue and get back to you.
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<b>Topic: Public Involvement</b>	
<b>Question: e) How have public outreach consultants facilitated the public involvement process for local jurisdictions?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	They set up meetings, send out notifications, they do graphics. All that kind of detailed stuff. We kind of struggle with them in terms of what is – 2 different firms. The process is not as much seamless because public involvement goes through a partnership, as opposed to prime contracts. You could use an internal one or approved ADOT one.
MPO/COG	<ul style="list-style-type: none"> <li>• Not very well. With that said, and in their defense, they put on a good show, but very few come.</li> <li>• There is not enough advertisement or articles about what is happening.</li> </ul>
ADOT Planning	<ul style="list-style-type: none"> <li>• My first PARA study was with one of the public involvement consultant who really facilitated discussions at the meeting. She really got engaged with the technical consultant, she had a planning background and could draw on that.</li> <li>• In some of my studies, there might be only one public involvement consultant at the public meetings. If you have only one person it's hard to make sure everything's captured and trying to keep the meeting going at the same time.</li> </ul>
Local Jurisdictions	Public meetings and mainlining. Online surveys with stakeholders. Websites.
Technical Consultants	In the past, they assisted ADOT with securing rental space and provides for the insurance. ADOT was contractually limited in their ability to do that. Also, they help ADOT secure newspaper ads. Generally provide presentation, presentation boards, and feedback to the primary consultants. Helping get the worlds out to the community. They do a summary report of the process.
ADOT MPD Management	Not applicable to my case.
ADOT Public Involvement	It's my understanding that they would take the lead. For example, in Flagstaff, they wanted more bells and whistles and introduced the ASU decision theater concept. Sometime local jurisdiction might want specific tools. They have different surveys and online approaches, and require us to seek different tools. It was primarily our consultant, but they also had a sub who specialized in stuff.
Tribal	They were great. COCA helped us. She did a great job. They were good facilitators and kept people on task. Took great notes. They didn't get so much involved. We directed where we wanted to go, and I found out which meetings they should attend. For Indian community, sometimes they don't want to talk to outside people so much. For Indian community, they want someone from the community helping them. We had a local staff member take that role. . Consultant could hire on or find a local representative. We had a staff member that played the role for public outreach...

**Topic: Public Involvement**

**Question: e) How have public outreach consultants facilitated the public involvement process for local jurisdictions?**

ADOT Division Staff

Speaking for the project that I was on, they were professional and cordial. I think they were excellent. This is also depends on the setting. In the big city context, people are relatively anonymous to the public, professional facilitation is more important. Smaller communities where ADOT is a big fish in a small fish bowl. Neighbors all know each other and they're somewhat of a distrust of people who show up in a suit from out of town. Most of our consultants realize that, so they know how you dress and how you interact with them. Be Context sensitive. Be prepared to go one way to another. People appreciate having their voices heard and being acknowledged, and that their opinions are taken seriously. Same goes with the technical staff, they're no different.

<b>Topic: Conclusion</b>	
<b>Question: Before we conclude the interview, do you have any questions or final thoughts?</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	One other thing that would be useful, think of complete street. Who is involved in this after we're finished? District engineer? Local jurisdictions? How can we involve them in the front end? So that ultimately it can be implemented. How are people moving and how can we take on a multimodal approach?
MPO/COG	Respondents did not answer this question.
ADOT Planning	Respondents did not answer this question.
Local Jurisdictions	Respondents did not answer this question.
Technical Consultants	Locals do appreciate the program. The ADOT program managers are all very engaged. They've done a very good job. Justin, Charka, and Mark have been good to work with.
ADOT MPD Management	Respondents did not answer this question.
ADOT Public Involvement	Respondents did not answer this question.
Tribal	We use our transportation planning. We wouldn't have been able to complete a study like this with the planning money from the BIA.
ADOT Division Staff	Respondents did not answer this question.

<b>Topic: Additional Comments</b>	
<b>Responding Group</b>	<b>Responses</b>
ADOT Transit	Respondents did not answer this question.
MPO/COG	Respondents did not answer this question.
ADOT Planning	Respondents did not answer this question.
Local Jurisdictions	Respondents did not answer this question.
Technical Consultants	Respondents did not answer this question.
ADOT MPD Management	Respondents did not answer this question.
ADOT Public Involvement	What drove the decision to bring PI in-house? We have ample staff, public affairs, media team; we have the staff and need to utilize and grow our staff. We go into PARA wanting to understand local municipalities and their expectations for PI. If they want consultant expertise that we don't have, we can bring it in.
Tribal	Respondents did not answer this question.
ADOT Division Staff	Respondents did not answer this question.



## **APPENDIX H: PARA PROGRAM NEEDS ASSESSMENT FOR CORRIDORS OUTLINE**

### **Project Background**

1. Overview of need
2. General corridor or study area location
3. Technical Advisory Committee

### **Planning Goals**

1. General mode(s) identified in planning documents
2. Relevant federal and state legislation (if applicable)
3. Relevant statewide or regional transportation plans
4. Local and regional planned and programmed improvements
5. Planning horizon (design year)
6. Environmental considerations
  - a. Wildlife connectivity needs (high wildlife accidents, etc.)
  - b. Air quality nonattainment area (reduce emissions via congestion relief)
7. Freight movement
  - a. Designated freight corridor
  - b. High volume of local truck traffic
  - c. Distribution facilities located near corridor
8. Economic development
  - a. Designated freight corridor
  - b. Corridor vicinity is expected to have high growth centers
  - c. Corridor connects large and important economic activity centers
  - d. Development and potential development along the corridor

### **Project Need**

1. Regional growth
  - a. Population data
  - b. Employment data
  - c. Land use and development patterns (regional plans)
2. Congestion
  - a. Existing traffic volumes and level of service
  - b. Future no-build traffic volumes and projected level of service
3. Safety
  - a. Crash incidents and causes
  - b. Infrastructure sufficiency ratings
  - c. Pedestrian, bike, rail, and transit conflict points
  - d. Intersection and uncontrolled access conflict points
4. Existing facility and operational deficiencies

- a. Conflict points (intersections, uncontrolled access, need for turn lanes, etc.)
  - b. Site distance
  - c. Curvature
  - d. Grade
  - e. Shoulders, clear, and recovery zones
  - f. Pedestrian and bike facilities
  - g. Lighting, signing, signals, and striping
  - h. ADA compliant
  - i. Median sufficiency
  - j. Pavement, drainage, and infrastructure condition
5. Summary of project need
  6. Projected timeline for project need (may extrapolated beyond the design year)

**Public Involvement/Agency Scoping**

1. Agency scoping
2. Mechanism for getting public input
3. Summary of public and agency input

**Project Purpose**

1. Based on goals, needs, public, and agency input provide a clear statement of the primary objective that the proposed action is intended to achieve
2. Identify the secondary objective(s) the proposed action is intended to achieve

## **APPENDIX I: ONLINE SURVEY RESULTS BY SURVEY GROUP**

These results are available as a separate PDF document upon request from the ADOT Research Center.





