

Transportation in Connecticut: The Planning Process

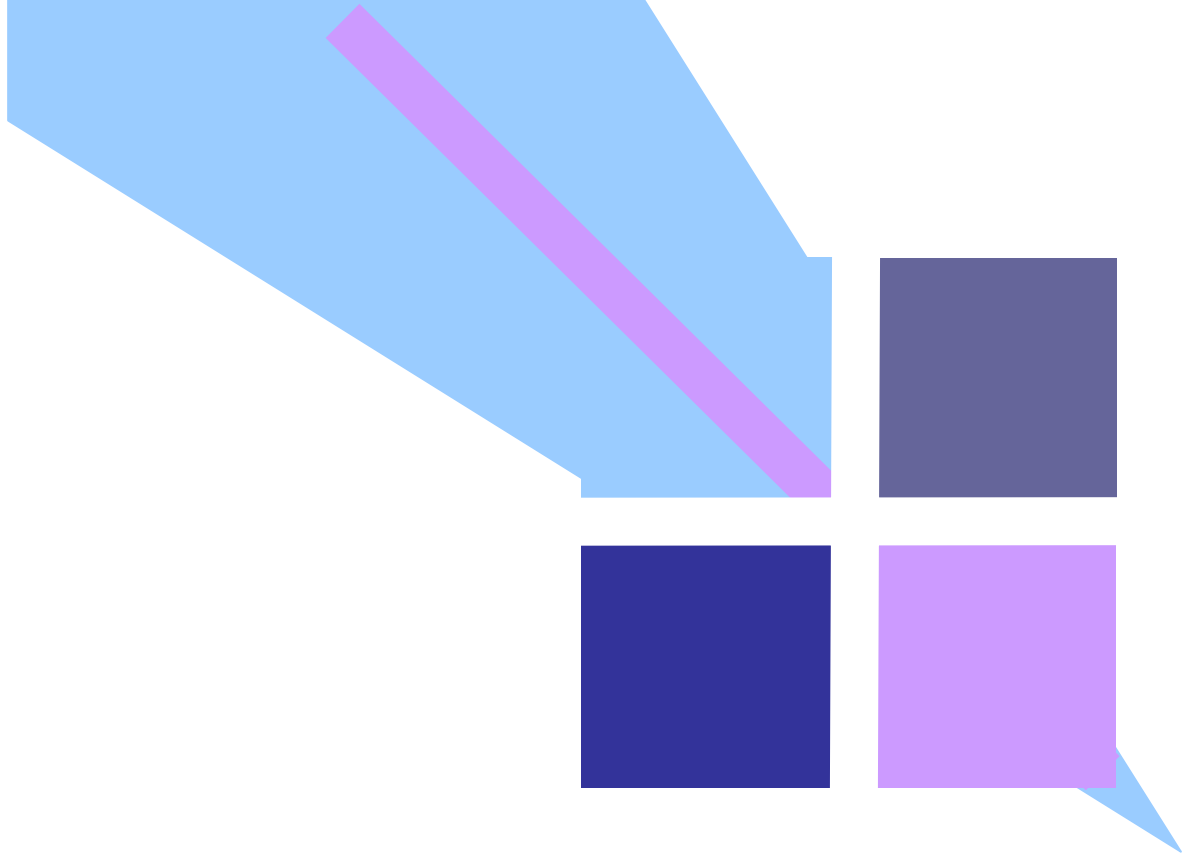
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State of Connecticut
Department of Transportation

Transportation in Connecticut: The Planning Process

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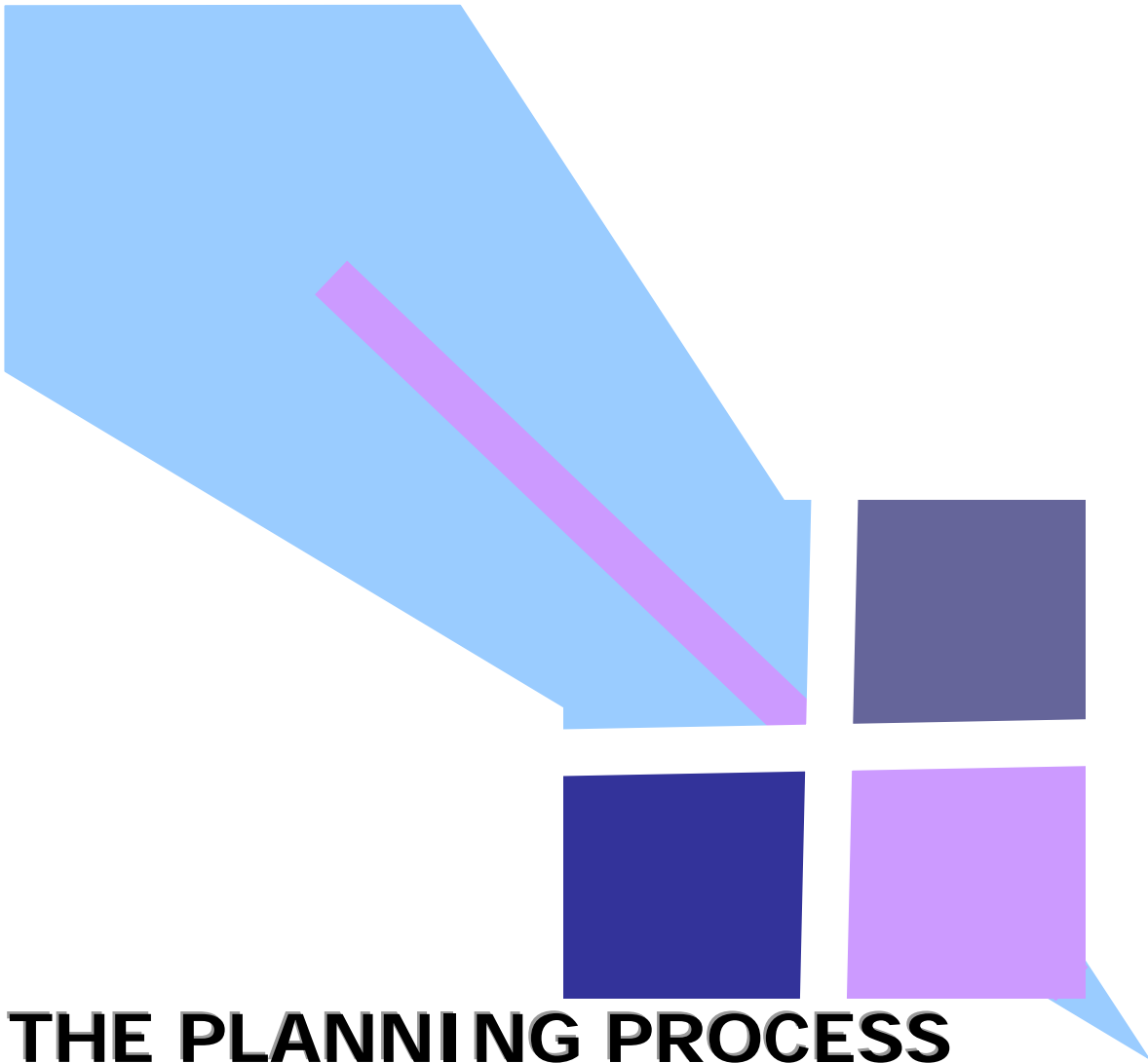
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THE PLANNING PROCESS

Decisions on how state and federal transportation funds are to be used are made through a highly structured transportation planning process. This process is structured to comply with mandates of the federal government, which requires the participation of regional entities, provides opportunities for public input, and is coordinated and led by the Connecticut Department of Transportation (ConnDOT). When implementing this process, ConnDOT and other participants must also comply with various state mandates. This document outlines and discusses the requirements, products and public participation components of a planning process that is designed to develop long-term transportation plans and advance them into specific transportation improvement and maintenance programs and projects.

A. FEDERAL MANDATES

The federal government provides more than 50 percent of the funds for transportation capital projects undertaken in Connecticut. As a recipient of federal funding, the state must comply with federal laws, regulations and executive orders that dictate and influence many facets of transportation planning. Some of the significant federal laws that dictate or affect the transportation planning and programming processes are the:

- *Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA)*
- *Transportation Equity Act for the 21st Century (TEA-21)*
- *Clean Air Act (CAA) & Clean Air Act Amendments of 1990 (CAAA)*
- *Wendell H. Ford Investment and Reform Act for the 21st Century (AIR-21)*
- *National Environmental Policy Act (NEPA)*
- *Americans with Disabilities Act (ADA)*
- *Environmental Justice Orders (Executive Order 12898, DOT Order on Environmental Justice to Address Environmental Justice in Minority Populations and Low-Income Populations (DOT Order 5610.2), and FHWA Actions to Address Environmental Justice in Minority Populations and Low-Income Populations (DOT Order 6640.23)*

ISTEA and TEA-21 amended Title 23 of the *United States Code* (USC) to include provisions that enhance the roles of local governments, formalize relationships and assign responsibilities among the state and regional planning organizations (RPOs), specify the participants in the state transportation planning process, and specify the scope of the planning process. The provisions of these acts require each state to develop transportation plans and programs for all the state and carry out a planning process that provides for consideration of projects and strategies that address specified factors. (See discussion of the Long-Range Transportation Plan for list of factors.)

In carrying out transportation planning, states must consider:

- with respect to non-metropolitan areas, the concerns of local elected officials representing units of general purpose local government;
- the concerns of Indian tribal government and federal land management agencies that have jurisdiction over land within the boundaries of the state; and
- coordination of transportation plans, programs, and planning activities with related metropolitan planning areas.

Additionally, ISTEA amended the USC to require states to demonstrate that their transportation projects would not adversely affect the state's ability to meet *Clean Air Act* standards. If Connecticut is unable to demonstrate this, the Federal Highway Administration (FHWA) will not permit ConnDOT to spend federal money on transportation projects. To comply with this requirement, ConnDOT undertakes an air quality conformity analysis as a component of the state's transportation planning process.

The 1994 federal Executive Order 1298 on Environmental Justice was issued to address disproportionately high and adverse human health and environmental effects from government programs and policies on minority and low-income populations. This order and other environmental justice mandates—U.S. Department of Transportation (USDOT) Order 5610.2 and FHWA Order 6640.23—direct the USDOT and FHWA to incorporate environmental justice principles into all FHWA programs, policies, and activities. ConnDOT, as a recipient of the federal funds distributed by these agencies, must comply with the federal environmental justice requirements. The following are the three basic principles of environmental justice:

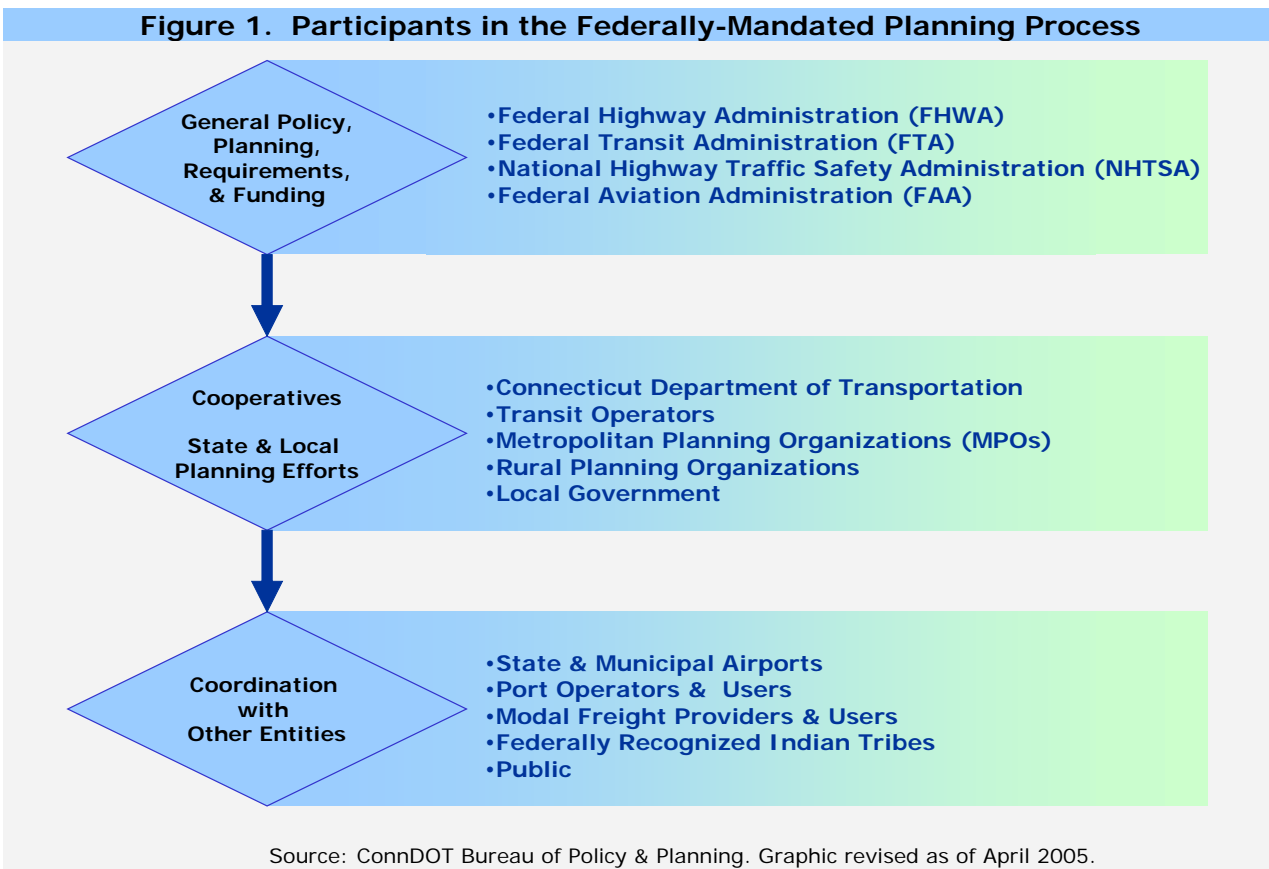
- To insure public involvement of low income and minority groups in decision making;
- To prevent disproportionately high and adverse impacts of decisions on low-income groups and minority groups; and
- To assure that low income and minority groups receive a proportionate share of benefits.

B. TRANSPORTATION PLANNING PROCESS

Federal laws, regulations, executive orders and *Connecticut General Statutes* dictate the participants in the transportation planning process, specific roles of participants, time frames for updating and submitting required transportation planning documents, modes of transportation to be considered, requirements for spending and allocating federal transportation funds, and conditions for approving projects.

1. FEDERAL REQUIREMENTS

Various agencies and groups must be involved or provided an opportunity to be involved in the federally mandated transportation planning process. These agencies and groups are shown in Figure 1.



a. Federal Agencies

At the federal level, the Federal Highway Administration (FHWA), the Federal Transit Administration (FTA) and the National Highway Traffic Safety Administration (NHTSA) within the USDOT are the primary agencies responsible for implementing the surface transportation planning-related laws passed by Congress and distributing federal transportation money to state transportation agencies such as ConnDOT. The Federal Aviation Administration (FAA) within USDOT is the primary agency responsible for implementing federal laws pertaining to air transportation. These agencies promulgate regulations to implement transportation reauthorization laws such as ISTEA, TEA-21 and AIR-21, and they distribute to states the transportation funds authorized by Congress. They are responsible for ensuring that recipients of the funding comply with the federal laws and regulations. They carry out this responsibility by overseeing, approving and/or monitoring the process, procedures, work products and activities to select, design and construct transportation projects for which federal funding is used.

The federal Environmental Protection Agency (EPA), the Army Corps of Engineers (ACOE), the U.S. Fish and Wildlife Service (FWS) within the Department of Commerce, the National Marine Fisheries (NMF) within the Department of Interior, the Federal Emergency Management Agency (FEMA), and the U.S. Coast Guard (USCG) within the USDOT are responsible for ensuring that states comply with various environmental or safety laws when programming or undertaking transportation projects.

b. State Transportation Agency

ConnDOT is the state agency in Connecticut that is designated to receive the federal transportation funds. It has the lead responsibility in the State of Connecticut for developing, implementing, and administering a transportation process and procedures that comply with the federal laws and regulations. ConnDOT is mandated to develop and submit to the FHWA and the FTA two primary transportation planning documents: a state long-range transportation plan (LRP) and a state transportation improvement program (STIP). Following are discussions of these documents. At the state level, a number of other groups and organizations have roles in the transportation planning process, including the Connecticut Department of Environmental Protection (CT DEP) and the Connecticut Department of Motor Vehicle (CT DMV).

State Long-Range Transportation Plan (LRP)

The state's LRP, required by Title 23 USC, Section 135(e) as amended by TEA-21, is the federally recognized transportation plan for the State of Connecticut. It is a policy document that is intended to present a long-term, intermodal vision of the state's transportation system and serve as a framework for preparing future, more project-specific plans such as the ConnDOT's State Transportation Improvement Program (STIP) and Master Transportation Plan (MTP). The LRP must ensure that the existing system is being adequately operated and maintained, and expanded and improved, as appropriate, over a 20-year time horizon. The plan must consider

the full range of modal choices (e.g., highway vehicles, bus, rail, bicycle, walking) and identify transportation strategies necessary to efficiently serve the mobility needs of people and the movement of freight. It also must be "fiscally constrained." This means that the plan must be consistent with the amount of funding that can reasonably be expected to be available. Section 450.214 of the *Code of Federal Regulations*, which implements Section 135 of Title 23 USC requires that this statewide, intermodal plan be periodically updated (every 3 to 5 years), cover a period of at least 20 years, and address 7 specified factors. The factors that the plan must address pertain to:

- Preserving the existing transportation system;
- Increasing efficient system management and operation;
- Supporting economic vitality;
- Increasing safety and security of the transportation system;
- Increasing accessibility and mobility options;
- Enhancing integration and connectivity of the transportation system; and
- Protecting and enhancing the environment, conserving energy, and improving the quality of life.

The seven factors and other federal requirements for developing long-range transportation plans are presented in Table 1 which lists the requirements set forth for states and regional planning organizations.

The LRP is developed by ConnDOT in consultation with governments of metropolitan and non-metropolitan areas, federally recognized Indian tribal governments and the Secretary of the Interior, transit agencies and others who have an impact on the transportation system. ConnDOT, when developing the LRP, must provide citizens, affected public agencies, representatives of transportation agency employees, freight shippers, private providers of transportation, representatives of users of public transit, providers of freight transportation services, and other interested parties with a reasonable opportunity to comment on the proposed plan.

Statewide Transportation Improvement Program (STIP)

ConnDOT's STIP is a five-year financial document that lists all projects within the state expected to be funded in those five years with federal participation. It also lists all regionally significant projects, regardless of funding source, which will be undertaken in the state within the next five years that could affect air quality. It is the means by which the goals and objectives identified in state and regional long-range transportation plans are implemented.

ConnDOT develops the STIP in accordance with Title 23 of the U.S. Code and all regulations issued pursuant thereto. Federal law requires that a STIP be developed in consultation with the Transportation Management Areas (TMAs) (metropolitan planning organizations (MPOs) with populations over 200,000), except for projects

Table 1. Federal Requirements for Developing Long-Range Transportation Plans		
	Statewide Long-Range Transportation Plans	Regional Long-Range Transportation Plans
Required by	Title 23 USC, Section 135(e), as amended by TEA-21	Title 23 USC, Section 134, as amended by TEA-21
Frequency of Update	Periodically every 3-5 years, as appropriate	At least every 3 years
Scope	Both documents must cover a minimum of 20 years	
Content	Both documents must address the following seven factors: <ul style="list-style-type: none"> • Emphasize the preservation of the existing transportation system • Promote efficient system management and operation • Support the economic vitality of the United States, the States, and metropolitan areas, especially by enabling global competitiveness, productivity, and efficiency • Increase the safety and security of the transportation system for motorized and nonmotorized users • Increase the accessibility and mobility options available to people and for freight • Enhance the integration and connectivity of the transportation system, across and between modes throughout the State, for people and freight • Protect and enhance the environment, promote energy conservation, and improve the quality of life 	
Content	Is not required to be project-specific May include a financial plan	Short-term and long-term projects need to meet future transportation demand in the region
Other	Must be "fiscally constrained" Must be submitted to FHWA & FTA State must provide for public involvement in developing LRP	Must be "fiscally constrained" Must be found to be in conformity with the State Implementation Plan (SIP) Must be submitted to and approved by FHWA & FTA in order to be able to create a Transportation Improvement Program

Source: ConnDOT Bureau of Policy & Planning. Graphic revised in May 2005.

on the National Highway System or projects funded under the Bridge or Interstate Maintenance Programs. In these categories the STIP must be developed in cooperation with the TMAs. In all other Urbanized Areas (UZAs), the STIP is developed in cooperation with the MPOs. In all of the Rural and Urban Areas under 50,000 population, the STIP is developed in cooperation with the local officials, except for projects on the NHS or projects that are funded under the Bridge and Interstate Maintenance Programs. In these categories the STIP must be developed in consultation with local officials. The federal mandates, with respect to the frequency of update, scope and content and other requirements for the STIP and Transportation Improvement Programs (TIPs) undertaken by the regions, are listed in Table 2.

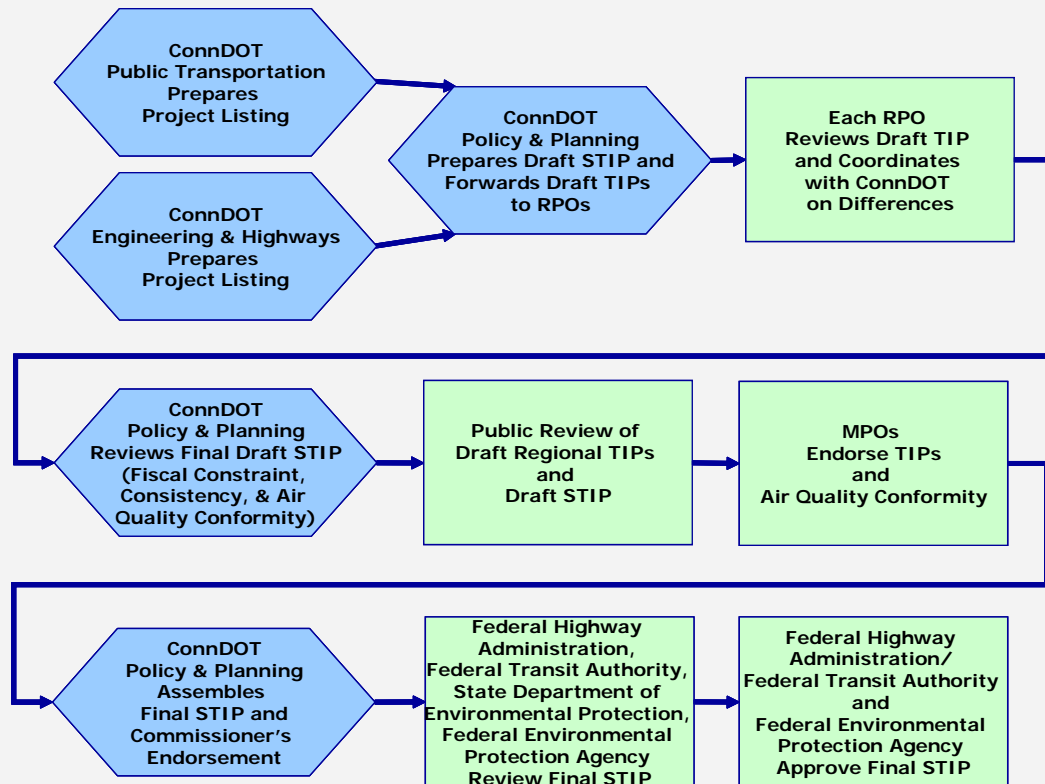
An overview of the process for developing the TIP and STIP is depicted in Figure 2. When developing the STIP and TIPs, ConnDOT's Bureau of Public Transportation and Bureau of Engineering and Highway Operations prepare draft lists of projects and submit them to ConnDOT's Bureau of Policy and Planning. The Bureau of Policy and Planning prepares and distributes to each RPO a draft list of the suggested projects for the region. The RPOs review the projects, add or delete projects, and provide to

the Department their comments on the draft TIPs. The draft TIPs and the draft STIP are completed based upon a consensus between ConnDOT and the RPOs. Refer to Appendix B for a list of the specific steps in the process of developing a STIP.

Table 2. Federal Requirements for Developing Transportation Improvement Programs		
	Statewide Transportation Improvement Program (STIP)	Regional Transportation Improvement Program (TIP)
Required By	Title 23 USC, Section 135(f) as amended by TEA-21	Title 23 USC, Section 134(h) as amended by TEA-21
Developed By	ConnDOT in cooperation with the 11 MPOs and in consultation with the 4 rural RPOs	Each MPO in cooperation with the state and public transit operators
Approved By	FHWA and FTA (joint approval)	Each MPO and by the Governor
Frequency of Update	At least every 2 years; however, amendments can be submitted at anytime	At least every 2 years
Scope	Must cover a minimum of 3 years	Must cover a minimum of 3 years
Content	<p>Must come from conforming state and regional long-range transportation plans</p> <p>Must include, directly or by reference, MPOs' TIPs, without modification, following approval by the Governor</p> <p>Must include a financial plan that demonstrates that projects can be implemented using current and anticipated revenue sources</p> <p>Must include all significant projects that could affect air quality</p> <p>Individual project entries must contain the following information:</p> <ul style="list-style-type: none"> - Project description; - Specific project budget; and - Identification of Americans with Disabilities Act implementation project elements. 	<p>Must reflect the priorities for programming and expenditures of funds</p> <p>First two years of program can include only projects or identified phases of projects for which full funding can reasonably be anticipated to be available within the time period contemplated for completion of the project</p> <p>Must include descriptions of all other regionally significant transportation projects that affect air quality, regardless of funding source</p> <p>Becomes part of the STIP</p>
Other	<p>Must be fiscally constrained by year</p> <p>Must be found to be in conformity with the State Implementation Plan (SIP)</p> <p>State must notify appropriate MPO, local jurisdictions, Indian tribal government, Federal land agency, etc., when a TIP including projects under the jurisdiction of the agency has been included in STIP</p>	<p>Must conform to air quality requirements</p> <p>RPOs must provide for public involvement when developing TIPs</p>

Source: ConnDOT Bureau of Policy & Planning. Graphic revised as of May 2005.

Figure 2. Process for Developing the TIP and the STIP

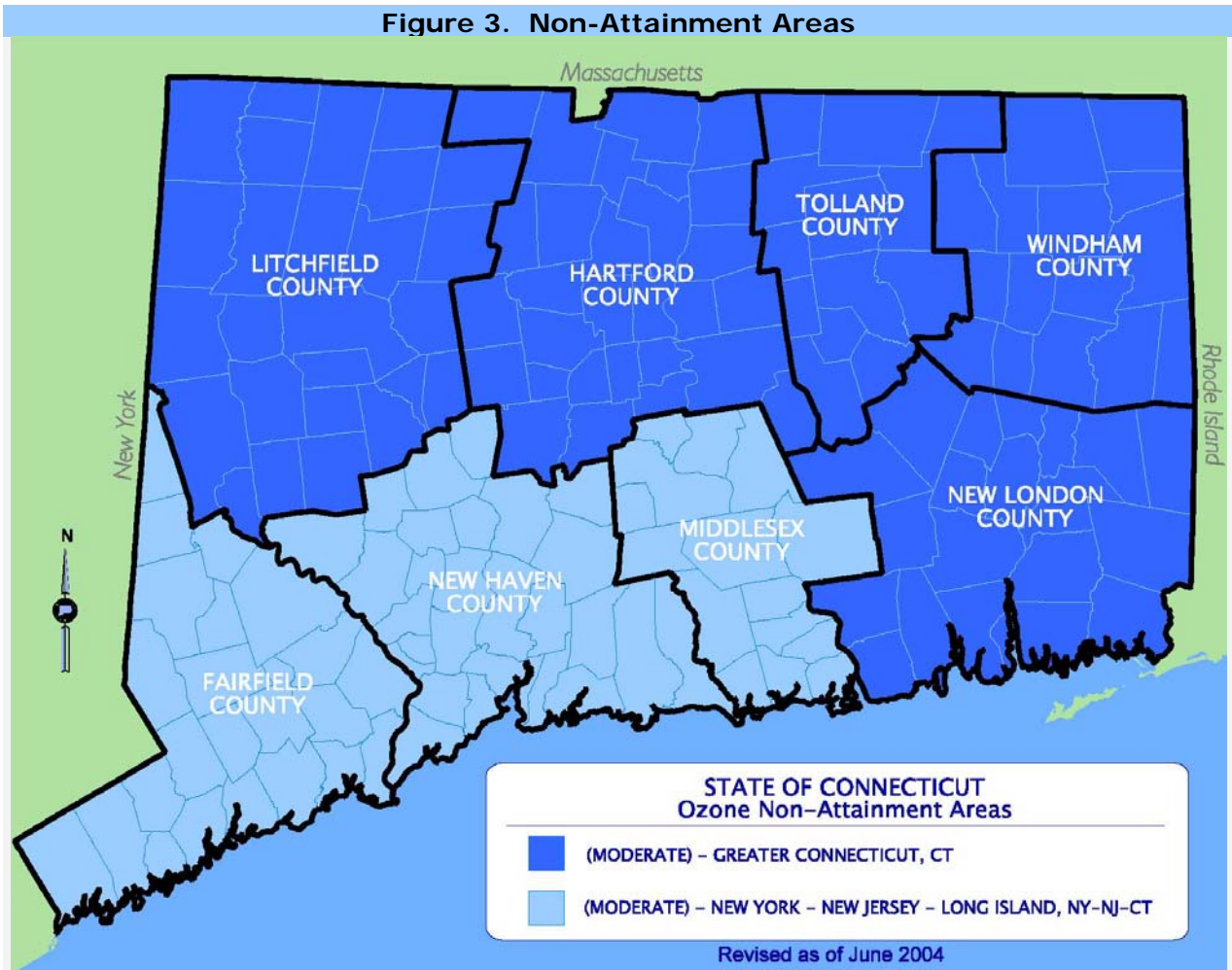


Source: ConnDOT Bureau of Policy & Planning. Graphic revised as of April 2005.

Federal regulations provide that the metropolitan TIPs be included in the STIP without modification. However, the TIPs must be approved by the MPO and the Governor prior to being included in the STIP. The four rural RPOs do not have formal approval authority for their regions' TIPs under federal law. ConnDOT, however, uses a similar review process for the rural areas to identify transportation priorities and fulfill consultation requirements. Once the RPOs have reviewed the proposed projects, the draft STIP is assembled. The draft STIP is checked for fiscal constraint, consistency with the LRPs, and conformity to air quality plans.

A conformity report is required by the federal *Clean Air Act Amendments of 1990* (CAAA). ConnDOT and the MPOs cooperatively work to develop and endorse the Air Quality Conformity Statement, which demonstrates that each TIP and the STIP conform to the requirements of the CAAA. ConnDOT analyzes all regionally significant projects identified in the LRPs and the draft TIPs prepared by the MPOs. The final results of the process are submitted to the MPOs for their evaluation and endorsement. The conformity statement certifies to the federal government that the projects in the STIP (and LRP) will "conform" to the State Air Quality Implementation Plan (SIP). The SIP, required for "non-attainment areas" where certain types of pollutants do not meet federal standards, is a plan to reduce the emissions of volatile organic compounds, nitrogen oxides, and carbon monoxide to meet the federally mandated air quality standards.

Effective June 15, 2004, Connecticut's non-attainment areas for ozone were redesignated due to the implementation of the eight-hour ozone standard. The counties in Connecticut that are designated as "non-attainment areas" are shown in Figure 3. In southern Connecticut, Fairfield, New Haven and Middlesex counties are classified as the Connecticut portion of the NY-NJ-CT "moderate" non-attainment area for ozone. The remaining counties of Litchfield, Hartford, Tolland, Windham, and New London are classified as the Greater Connecticut ozone "moderate" non-attainment area.



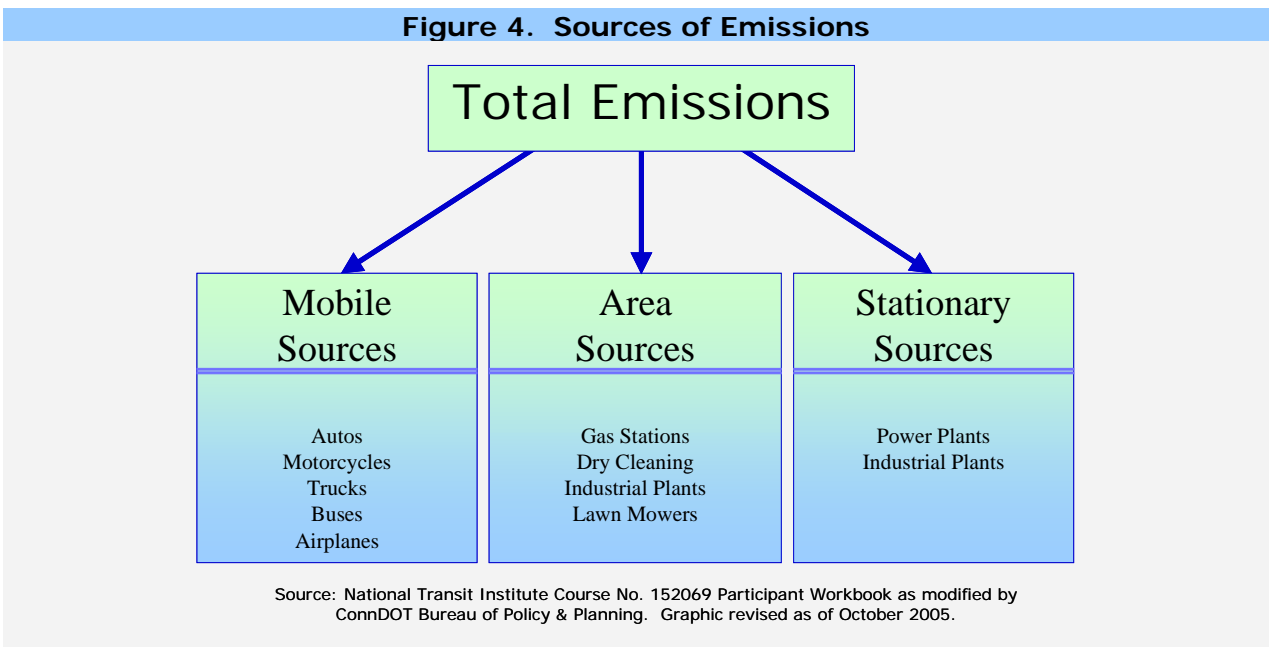
Both the draft TIPs and the draft STIP are made available to the public for review and comment. The MPOs address all comments provided by the public concerning the draft TIP, while ConnDOT addresses comments on the draft STIP. The draft STIP is open to public comment for a minimum of 30 days. After considering public comments, ConnDOT prepares a final edition of the STIP from the TIPs endorsed by the MPOs. The STIP is then submitted, along with the Commissioner's endorsement, to the FHWA, the FTA, the State Department of Environmental Protection (DEP) and the Federal Environmental Protection Agency (EPA) for review. The FHWA and the FTA must approve the final STIP in order for recipients of the federal funding to initiate projects.

State Implementation Plan (SIP)

The State Implementation Plan (SIP) is the federally-enforceable plan for each State which identifies how that State will attain and/or maintain the primary and secondary National Ambient Air Quality Standards (NAAQS) set forth in Section 109 of the Clean Air Act and 40 Code of Federal Regulations (CFR) 50.4 through 50.12. Each State is required to have a SIP which contains the control measures and strategies developed through public process, formally adopted by the State, and submitted by the Governor's designee to Environmental Protection Agency (EPA) (which EPA must formally act on) as revisions to their plan to attain and maintain the national ambient air quality standards.

The SIP is required and approved by EPA pursuant to Section 110 of the Clean Air Act (CAA). SIP requirements particular to non-attainment areas are mandated by Part D of the CAA. Section 110 and Part D describe the elements of a SIP, which contains such elements as emissions inventories, monitoring network, an air quality analysis, modeling results, attainment demonstrations, enforcement mechanism, and regulations which have been adopted by the State to attain or maintain NAAQS. Additional regulatory requirements which spell out the procedures for preparing, adopting and submitting SIPs and SIP revisions are codified in 40 CFR Part 51. This information, as well as additional information on the SIP, is published by EPA in *The On-line State Implementation Plan Processing Manual*. This manual is available on the internet at <http://newaruba.pes.com/icode/sipman/> through a guest login.

The State of Connecticut's SIP, which is prepared by the Connecticut Department of Environmental Protection, contains a set of emissions budgets for stationary, mobile and area sources in Connecticut and presents a group of strategies for attaining the federally mandated air quality standards. Figure 4 identifies the sources of emissions from stationary, mobile and area sources. Mobile sources of emissions



include automobiles, motorcycles, trucks, buses, and airplanes. Area sources of emissions include gas stations, dry cleaning, industrial plants, and lawn mowers. Stationary sources of emissions include power plants and industrial plants.

Air quality conformity provides a vital link between air quality and transportation planning. Evaluation of air quality conformity entails an analytical process to ensure that transportation plans, programs and projects meet the SIP's emissions budgets for mobile sources. The final test of air quality conformity is pass/fail. If the analysis fails, the planning process is restarted and the project listing is re-examined before the analysis is run again.

Environmental Documents

Environmental documents are prepared and processed to satisfy both federal and state requirements when a transportation project has the potential to affect the environment. Projects are brought through a process that involves:

- determination of purpose and need, including identifying deficiencies within the existing transportation system;
- consideration of a variety of alternative strategies, including the do-nothing (no-build) option;
- preparation of documentation to assess the transportation, social, economic, and environmental effects of alternatives which fit the purpose and need; and
- public involvement.

The type of documentation required is dependent upon project type and funding. The types of documents that may be prepared include:

- Federal Categorical Exclusion (CE)
- Federal Environmental Assessment (EA)
- Federal or State Findings of No Significant Impact (FONSI)
- Federal Environmental Impact Statement (EIS)
- State Environmental Impact Evaluation (EIE)

Each document must identify and describe the transportation problem(s) that the project is intended to resolve, and it must demonstrate that a need exists for the project. Environmental documents are intended to be used in deciding upon a preferred alternative which would be the best balance of meeting the identified needs, while minimizing the impacts resulting from the alternative. Documents are written for both the public and technical reviews, focusing on key transportation issues and the effects of the alternative strategies being considered. Some of the information is preliminary and, oftentimes, is not finalized until the permit preparation/final design phase of a project.

Highway Safety Strategic Plan

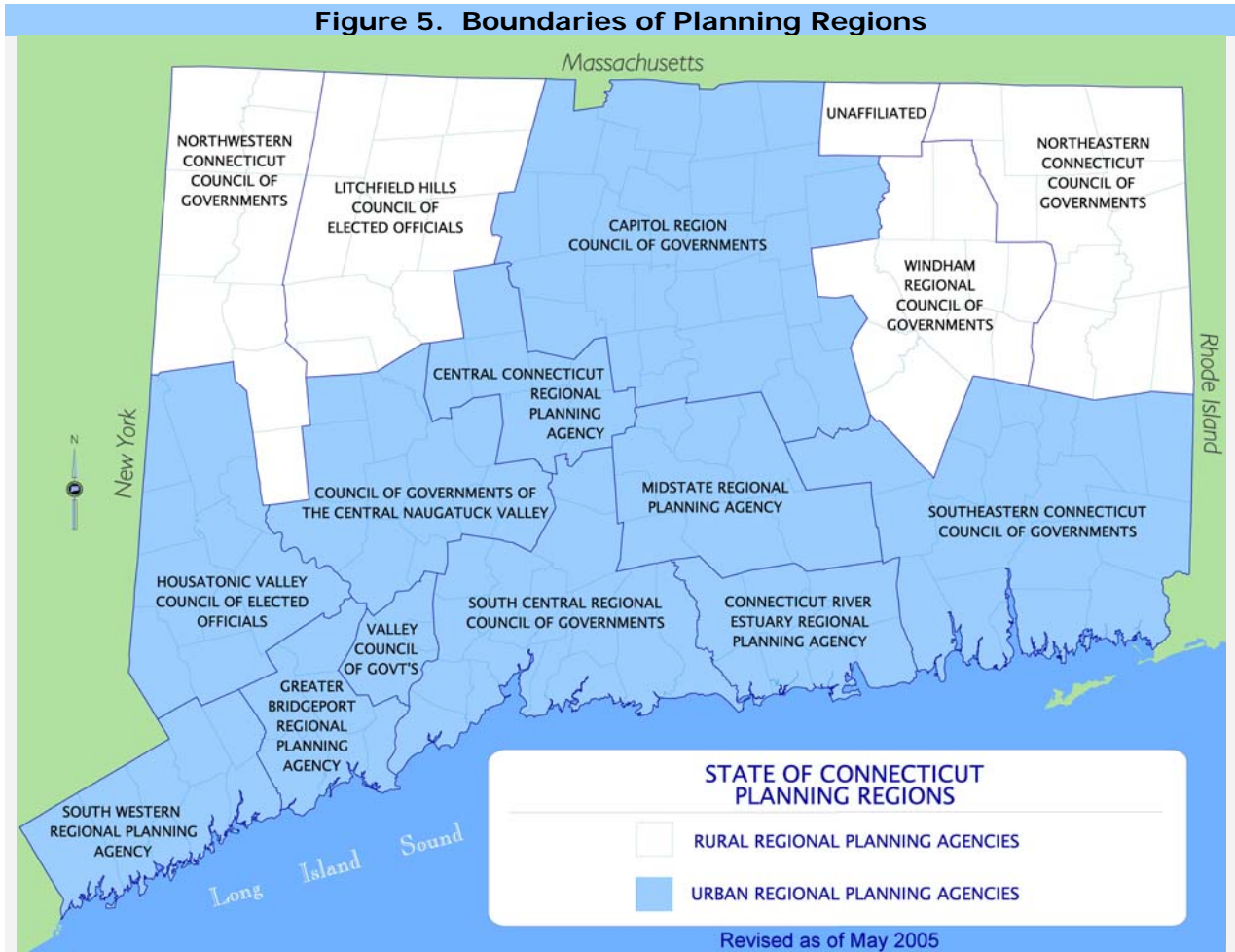
The Connecticut Department of Transportation is required by 23 USC 402 (b)1(A) to prepare and submit to the National Highway Traffic Safety Administration for approval, an annual planning document which addresses a set of identified and defined highway and traffic safety problems. This problem identification process begins early in the calendar year with an examination of crash-related data. The analysis of this data identifies both general and specific patterns of concern and, from a review of historical patterns, results in a projection of future data trends. Other problems and deficiencies are identified through programmatic review.

ConnDOT's Division of Highway Safety staff studies both the data and programmatic analysis and develops multiple countermeasures that specifically address the problem areas identified. Countermeasures typically receive funding based upon their potential to contribute to the achievement of long-range and interim goals and objectives. A major part of this process is to enlist the cooperation of organizations that can and will facilitate the implementation of these countermeasures.

In addition, local political subdivisions and state agencies are routinely and systematically encouraged to identify municipal, regional and state-level highway safety problems and to propose specific countermeasures that address these problems.

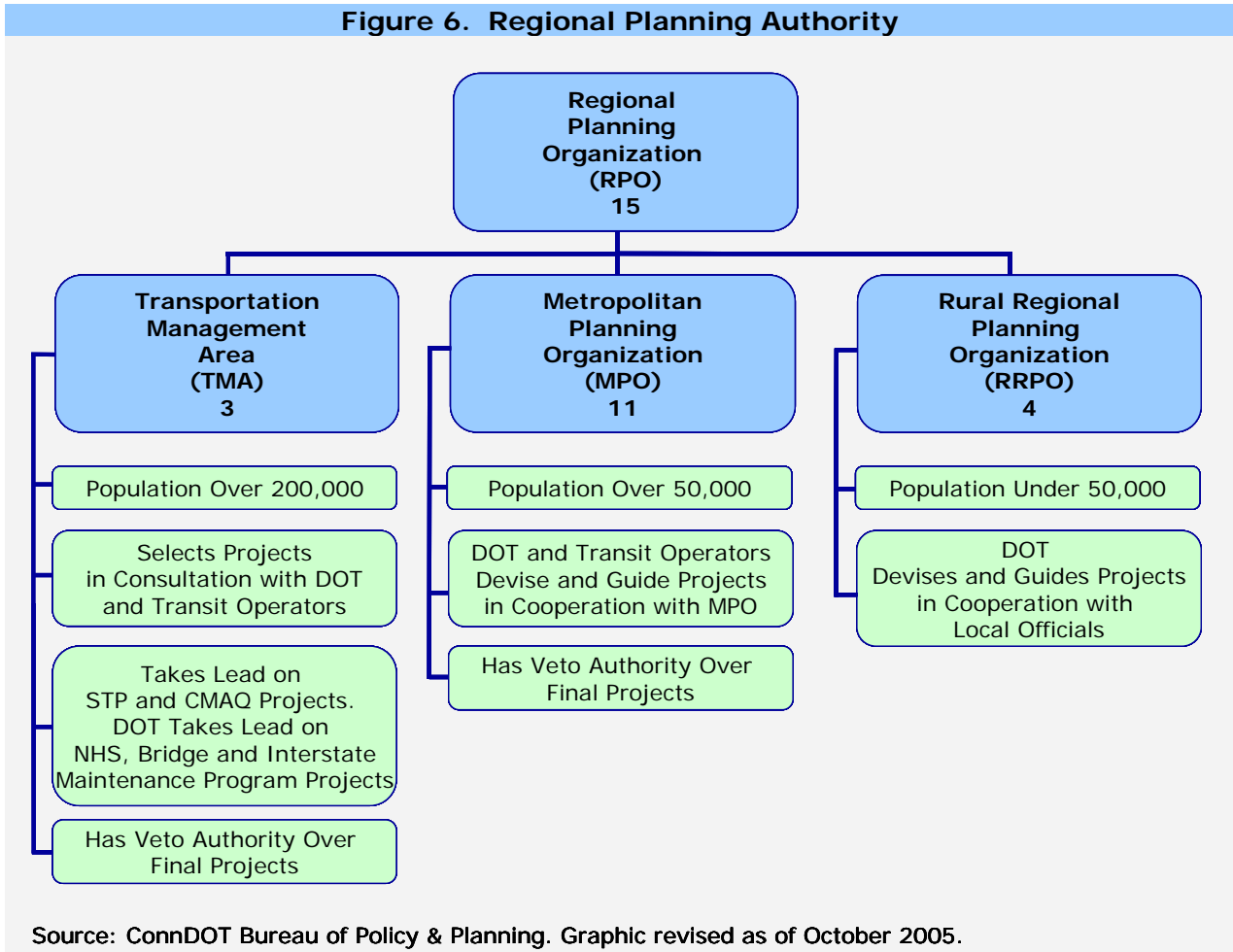
c. Regional Planning Organizations (RPOs)

In Connecticut, 15 regional entities called regional planning organizations (RPOs) conduct transportation planning activities for specific geographic areas within the state in cooperation with the Department. (One town is not affiliated with any RPO.) The boundaries of these RPOs are shown in Figure 5. Within each planning region, the municipalities have voluntarily created either a regional planning agency (RPA), a regional council of elected officials (CEO) or a regional council of governments (COG). Each RPO has an intricate part in the planning of transportation and in the development of transportation programs. In addition to conducting planning activities for their specific geographic areas within the state, they work extensively to assist municipalities with planning and administrative services and coping with the ever more complex municipal management and planning practices. RPOs also provide a forum for addressing inter-municipal concerns and representation in relating to state and federal programs.



RPOs can be further grouped into Metropolitan Planning Organizations (MPOs), large MPOs within Transportation Management Areas (TMAs), and Rural RPOs. Of the fifteen RPOs, eleven are MPOs and four are Rural RPOs. Eight of the MPOs are included in the three TMAs. The difference between these entities has to do with the population each represents and the authority the entities have in the project selection process outlined in federal laws and regulations. A TMA has a population over 200,000, it selects projects in consultation with ConnDOT and transit operators, it takes the lead on CMAQ projects, and it has veto authority over projects in the TMA that are proposed for inclusion in the STIP. An MPO has a population over 50,000, ConnDOT and transit operators devise and guide projects in cooperation with the MPO, and the MPO has veto authority over projects in the MPO that are proposed for inclusion in the STIP. A Rural RPO has a population under 50,000, and ConnDOT devises and guides projects in cooperation with local officials. These key differences are presented Figure 6.

Figure 6. Regional Planning Authority



Metropolitan Planning Organizations (MPOs)

The RPOs located in urbanized areas that have a population of more than 50,000 have been designated by the Governor to serve as Metropolitan Planning Organizations (MPOs). Eleven of Connecticut's RPOs are designated MPOs. As specified in the federal legislation, these MPOs have a specific role in conducting regional planning and programming activities. Federal laws and regulations mandate that the MPO, in cooperation with the state and with operators of publicly owned transit services, shall be responsible for carrying out the metropolitan transportation planning process. The MPO, the state, and transit operator(s) must cooperatively determine their mutual responsibilities in the conduct of the planning process, including corridor refinement studies, and cooperatively develop the following transportation planning documents: the Unified Planning Work Program (UPWP), the Regional Long-Range Transportation Plan (LRP) and the Transportation Improvement Program (TIP). An MPO has veto authority over projects in the MPO that are proposed for inclusion in the STIP.

Transportation Management Areas (TMAs)

A TMA is an MPO that has a population of over 200,000. Other distinctions between the planning entities have to do with which entity has more authority to develop and guide a project. Generally, TMAs have the ability to initiate, with ConnDOT's consent, and control projects funded under certain federal funding programs. TMAs select projects in consultation with DOT and transit operators. They take the lead on Surface Transportation Program-Urban (STP-Urban) projects and Congestion Mitigation Air Quality (CMAQ) projects. The funds under the STP-Urban are earmarked and must be spent in these regions. TMAs must plan and implement a Congestion Management System (CMS). The state DOT takes the lead in selecting National Highway System (NHS), Bridge and Interstate Maintenance Program projects. A TMA has veto authority over projects in the TMA that are proposed for inclusion in the STIP.

d. Regional Planning Organization (RPO) Documents

The transportation planning documents developed by RPOs are discussed below.

- **Unified Planning Work Program (UPWP).** Each RPO must complete a UPWP every state fiscal year. The UPWP is a statement of proposed work and estimated costs that document the activities to be undertaken with FHWA and FTA planning funds and state matching funds. The UPWP discusses the planning priorities of the metropolitan area and describes all metropolitan transportation and transportation-related air quality planning activities anticipated within the area during the fiscal year. It identifies the sources of funding, schedules and responsible agencies. The updating of a regional LRP and preparation of a TIP are among the tasks that would be included in a region's UPWP. To comply with federal environmental justice requirements, all RPOs also include an environmental justice task in their UPWPs. The UPWP is developed by the RPO in coordination with ConnDOT, the FHWA and the FTA.
- **Regional Long-Range Transportation Plans (LRPs).** Each of the state's eleven MPOs is required by Title 23 USC, Section 134 as amended by TEA-21, to prepare and submit to the FHWA and FTA a regional LRP that addresses the seven factors listed previously. These transportation plans must cover a period of at least 20 years, must list all major projects that will be undertaken with federal funds, must be fiscally constrained, and must be found to be in conformity with Connecticut's State Implementation Plan. These regional LRPs must be reviewed and updated at least every three years to confirm their validity and consistency with current and forecasted transportation, land use conditions and trends, and to extend the forecast period. These plans must also be approved by the FHWA and FTA in order for the regions to proceed with development of a Transportation Improvement Program. In the continuing, cooperative process established under ISTEA, ConnDOT considers each regional LRP in developing the statewide LRP. Projects from regional LRPs are selected for inclusion in ConnDOT's MTP.

- **Transportation Improvement Program (TIP).** The TIP is required by Title 23 USC, Section 134(h) as amended by TEA-21. This document lists the transportation projects to be implemented in a metropolitan area in the short term (at least three years). It includes all transportation projects proposed for federal funding. Additionally, it must include descriptions of all regionally significant transportation projects, regardless of funding source, that affect air quality. TIPs of MPOs in non-attainment and maintenance areas are subject to FHWA and FTA conformity findings before their inclusion in the STIP.

A TIP must reflect the priorities established for programming and expenditures of funds. The first two years of the TIP must be fiscally constrained. This means that the first two years of the program can include only projects or identified phases of projects for which full funding can reasonably be anticipated to be available within the time period in which the project is anticipated to be completed. A TIP is developed by the MPO in cooperation with the state and public transit operators and approved by each MPO. It must specify the transportation projects that will be advanced over at least a three-year time frame, using federal funding. (In Connecticut the TIPs and STIP currently cover a five-year time frame.) The documents must be updated every two years. The regional TIPs must be included in the STIP, without modification, following approval by the Governor. The federal government (FHWA and FTA) will not fund a project unless it is in the STIP.

Comparisons of federal requirements for preparing regional and statewide LRPs and TIPs are provided in Table 1 and Table 2, respectively. The MPO must approve the regional LRP and the TIP and any periodic updates to these documents. The four other RPOs, called Rural RPOs, conduct similar planning activities in cooperation with ConnDOT.

The development of regional LRPs and TIPs must be coordinated with other providers of transportation (e.g., sponsors of regional airports, maritime port operators, rail freight operators, etc.). Projects from the regional LRPs are selected by ConnDOT for inclusion in the State of Connecticut-mandated, ten-year Master Transportation Plan (MTP), in the TIP and in the Statewide Transportation Improvement Program (STIP). All of the TIPs are integrated into a STIP, along with projects located in the rural areas of the state.

The regional LRPs and the TIPs are developed by the RPOs with input from ConnDOT and the public. Some of the information the RPOs may consider includes the condition of roads and bridges as assessed by ConnDOT, congestion management reports, and other transportation planning studies generated by ConnDOT and the RPOs.

2. STATE REQUIREMENTS

The transportation planning process is also defined at the state level. *Connecticut General Statutes* and state regulations dictate the participants in the transportation planning process, the specific roles of participants, time frames for updating and submitting documents, requirements for spending transportation funds, and the process and conditions for approving planning documents and projects.

a. Related Documents

State laws directly or indirectly mandate the preparation or consideration of transportation planning-related documents such as the master transportation plan (MTP), ConnDOT's capital program, and the state's conservation and development policies plan (C & D Plan). These documents are discussed in this section.

Master Transportation Plan (MTP)

Section 13b-15 of the *Connecticut General Statutes* requires the Commissioner of the Connecticut Department of Transportation to publish an MTP. This plan is intended to provide the Governor, Connecticut General Assembly, local elected officials, and the general public with an understanding of the projects and programs that ConnDOT will be pursuing over the next ten years. It contains information on ConnDOT's financial investment goals; major plan elements; programmed and planned projects (highway, bus, rail, airport, bikeway and waterway); major transportation-related issues and concerns; and transportation financing. The MTP must be revised biennially and submitted to the Governor by January 31 of each odd-numbered year. The ten-year program of projects and programs presented in ConnDOT's MTP must be consistent with the State of Connecticut's C & D Plan) and should support the strategic principles of the Transportation Strategy Board (TSB) that were adopted by the Connecticut General Assembly and set forth in *Public Act 03-4*.

ConnDOT's Capital Program

ConnDOT prepares a capital program as part of the normal state budget process involving the Governor and the General Assembly. ConnDOT's capital budget requests describe ConnDOT's capital plans for the next two-year period. Transit capital improvement estimates in ConnDOT's capital budget requests are based on ConnDOT's latest capital project management plan. This plan consists of the projects and estimated costs required to maintain the existing public transit systems in a state of good repair, and to replace rolling stock as life cycles dictate. Additional funding sources would have to be identified for any proposed new transit projects, including the operating costs of such projects.

Conservation and Development Policies Plan (C & D Plan)

The C & D Plan is developed by State of Connecticut's Office of Policy and Management in accordance with Section 16a-24 through 33 of the *Connecticut General Statutes* (CGS). It serves as a statement of the development, resource management and public investment policies for the State. It is updated every five years and submitted to the Connecticut General Assembly for review and adoption.

Section 16a-31 of the CGS requires state agencies in Connecticut to consider the C & D Plan when they prepare agency plans. In addition, agency-prepared plans, when required by state or federal law, must be submitted to the Office of Policy and Management (OPM) for a review of conformity with the State's C & D Plan. State agencies must be consistent with the plan when undertaking the following actions:

- The acquisition of real property when the acquisition costs are in excess of \$100,000;
- The development or improvement of real property when the development costs are in excess of \$100,000;
- The acquisition of public transportation equipment or facilities when the acquisition costs are in excess of \$100,000; and
- The authorization of any state grant for an amount in excess of \$100,000 for the acquisition, development, or improvement of real property or for the acquisition of public transportation equipment or facilities.

Prior to the allocation of any bond funds for any of the above actions, the Secretary of OPM submits to the State Bond Commission an advisory statement commenting on the extent to which such action conforms to the C & D Plan.

The *Conservation and Development Policies Plan for Connecticut, 2004-2009* comprises two separate, yet equally important, components—the Plan text and the Locational Guide Map. Both components include policies that guide the planning and decision-making processes of state government relative to: 1) addressing human resource needs and development; 2) balancing economic growth with environmental protection and resource conservation concerns; and 3) coordinating the functional planning activities of state agencies so as to accomplish long-term effectiveness and economies in the expenditure of public funds.

The policies contained in the C & D Plan text provide the context and direction for state agencies to implement their plans and actions in a manner consistent with the six Growth Management Principles listed in Table 3.

Municipalities and Regional Planning Organizations are also encouraged to consider these Growth Management Principles and must note any inconsistencies with the Plan when developing their own plans of conservation and development.

The Locational Guide Map has an important role in coordinating relevant state actions by providing a geographical interpretation of the state's conservation and development policies. The map comprises the best available digital, standardized, statewide data for each policies definitional criterion.

Table 3. Growth Management Principles in Conservation & Development Policies Plan

- 1 Redevelop and revitalize regional centers and areas with existing or currently planned physical infrastructure
- 2 Expand housing opportunities and design choices to accommodate a variety of household types and needs
- 3 Concentrate development around transportation nodes and along major transportation corridors to support the viability of transportation options
- 4 Conserve and restore the natural environment, cultural and historical resources, and traditional rural lands
- 5 Protect and ensure the integrity of environmental assets critical to public health and safety
- 6 Promote integrated planning across all levels of government to address issues on a statewide, regional and local basis

Table 4. Development Area Policies (In order of priority)

- 1 **Regional Centers**—Redevelop and revitalize the economic, social, and physical environment of the state’s traditional centers of industry and commerce.
- 2 **Neighborhood Conservation Areas**—Promote infill development in areas that are at least 80% built up and have existing water, sewer, and transportation infrastructure to support such development.
- 3 **Growth Areas**—Support staged urban-scale expansion in areas suitable for long-term economic growth that are currently less than 80% built up, but have existing or planned infrastructure to support future growth in the region.
- 4 **Rural Community Centers**—Promote concentration of mixed-use development such as municipal facilities, employment, shopping, and residential uses within a village center setting.

Table 5. Conservation Area Policies (In order of priority)

- 1 **Existing Preserved Open Space**—Support the permanent protection of public and quasi-public land dedicated for open space purposes.
- 2 **Preservation Areas**—Protect significant resource, heritage, recreation, and hazard-prone areas by avoiding structural development, except as directly consistent with the preservation value.
- 3 **Conservation Areas**—Plan for the long-term management of lands that contribute to the state’s need for food, water and other resources and environmental quality by ensuring that any changes in use are compatible with the identified conservation value.
- 4 **Rural Lands**—Protect the rural character of these areas by avoiding development forms and intensities that exceed on-site carrying capacity for water supply and sewage disposal, except where necessary to resolve localized public health concerns.

The C & D Plan and the Locational Guide Map are available on the Office of Policy and Management’s web site at www.opm.state.ct.us.

Environmental Documents

These documents are prepared pursuant to federal and state requirements and were, therefore, discussed previously under Section B-1-b.

b. Participants in the Process

The Connecticut General Assembly also dictates some of the participants in Connecticut's transportation planning process. It has passed legislation that has created, defined the roles, and specified the membership of the following policy and advisory bodies:

Connecticut Transportation Strategy Board (TSB)

Public Act 01-5, An Act Implementing the Recommendations of the Transportation Strategy Board, passed during the Connecticut General Assembly's June 2001 Special Session, created a 15-member, permanent Connecticut Transportation Strategy Board (TSB) composed of 5 state commissioners (ConnDOT, Department of Environmental Protection, Department of Economic and Community Development, Department of Public Health, and the Office of Policy and Management) 5 business leaders and 5 geographical representatives (appointees of the Governor and legislative leaders). The strategic principles, which represent the foundation on which the TSB's strategy is built, are outlined in Table 5.

The act directed the TSB to develop a long-term transportation strategy for the State of Connecticut and submit it to the Legislature for its approval. It also specified the factors and considerations that the TSB was to take into account in developing the strategy. It mandated that the transportation strategy be designed to stimulate sustainable economic growth and enhance the quality of life of state residents; improve the mobility of people and goods; enhance connectivity to the regional, national, and global economies; and enhance the safety and security of the transportation network. The act required the TSB to submit its initial strategy to the Legislature by January 15, 2002, and to update or revise it by December 15, 2002. The strategy must be updated at least every two years, as necessary.

Public Act 01-5 also specifies organizational structures and procedures for providing stakeholder input into the development of the TSB's strategic plan. It organizes the state into five areas called "transportation investment areas" (TIAs). Each TIA has a representative on the TSB.

Bradley Board of Directors

Public Act 01-5 created a board of directors for the Bradley International Airport (BDL). The seven-member board is comprised of the Commissioner of Transportation and the Commissioner of Economic and Community Development, a member of the Connecticut Transportation Strategy Board, a representative of the Bradley International Community Advisory Board, and three private sector members. The Board of Directors is essentially a business advisor to the airport, providing input and guidance on the marketing and development of BDL to maintain a business structure that is reflective of its customers' needs and which contributes effectively to the overall state economic base.

Table 6. Strategic Transportation Principles Outlined by the Connecticut Transportation Strategy Board	
Overall Objective	Strengthen and expand the state's transportation system over the next 20 years to enhance Connecticut's prospects for sustainable economic growth and a premier quality of life in a manner consistent with environmental standards; use evaluation techniques and metrics to support major capital investments and operating in the system; and ensure the proper integration of land use planning with transportation planning and investment decisions to support the intelligent management of the state's projected growth in population densities, commercial development, automobile usage, and freight shipments.
Economic Strategy	Ensure that the state's Transportation Investment Areas (TIAs) remain vibrant and competitive economic engines and attractive gateways to the state by leveraging existing transportation and other infrastructure assets, especially in urban centers, and by focusing appropriate resources on the mitigation and management of road congestion throughout the state with a focus in the near term on the Coastal Corridor.
Movement of People Strategy	Facilitate the movement of people in and through the state by expanding the quality and quantity of options to single-occupancy automobile trips (such as air, bicycle, bus, ferry, flex-time, rail, ridesharing, telecommuting); encouraging employer participation in demand management programs; enhancing the customer's transit experience; improving transit travel times through better integration of all transportation options; increasing capacity of roads through continued focus on information, safety, and incident management tools; and expanding targeted portions of certain roads.
Movement of Goods Strategy	Facilitate the movement of goods to and through the state by expanding and coordinating the State's air, rail, road and water infrastructure; improving the flow and safety of commercial truck traffic; and providing a broader range of competitive options to commercial trucks.
Special Funding Strategy	Implement a comprehensive and dedicated ten-year financing plan for the period from SFY2003-2004 through SFY2012-2013 to raise money exclusively to fund the recommended capital investments needed to implement the strategies.
Ongoing Funding Strategy	Ensure that the state's budget provides adequate and reliable financial support for its annual transportation capital and operating needs, including the amounts needed: (1) for its public transit system to respond in a timely and satisfactory way to evolving public need; and, (2) for greater flexibility in the transportation budget regarding the amount required to service outstanding debt.

Source: ConnDOT Bureau of Policy & Planning. Graphic revised as of April 2005.

Bradley International Community Advisory Board

Section 11 of *Public Act 01-5* establishes a Bradley International Community Advisory Board to represent the interests of the communities and the region surrounding Bradley International Airport. This advisory board consists of the chief elected officials of Windsor, Windsor Locks, East Granby and Suffield.

The community advisory board has two core purposes:

- to provide a regular communication vehicle between airport administrators and nearby towns on issues of concern to residents such as noise and traffic; and
- to advise the Bradley Board of Directors on issues of transportation, land use, planning, zoning and economic development on land surrounding the airport or in close proximity to it.

Statewide Incident Management Task Force

In 2004, a permanent Statewide Incident Management Task Force (SIMTF) was created by the Connecticut Transportation Strategy Board (TSB) to provide an ongoing forum to promote the implementation of incident management policies, programs and projects. This task force comprises fire chiefs, police chiefs, State Police, the ConnDOT, representatives of towing and recovery services, Emergency Medical Services (EMS) and the Connecticut Department of Environmental Protection. It has provided a forum to overcome institutional issues and to develop coordinated policies and procedures for managing incidents and highway closures. Through this task force, regional Incident Management Steering Committees have been organized.

Connecticut Public Transportation Commission

The Connecticut Public Transportation Commission is an advisory body whose purpose, as set forth in Section 13b-11a(b) of the CGS, is to advise and assist the Commissioner, the Governor and the Transportation Committee of the Connecticut General Assembly in the performance of their functions and duties relating to the planning, development and maintenance of adequate rail, bus motor carrier facilities and rail, bus and other public transportation services in the state, including the adequacy of such services for elderly and disabled users in the state, and any other matters affecting the quality of public transportation facilities and services in the state. At least once each year, the commission must hold public hearings in each of the metropolitan areas, as determined by the commission, within the state for the purpose of evaluating the adequacy of such rail, bus, motor carrier and other public transportation facilities.

On or before January 1 of each year, the Commission submits an annual report to the Transportation Committee of the General Assembly containing a list of the recommendations for projects, policies and legislation which would enhance the efficient and effective delivery of public transportation services in Connecticut. By statute, the Commissioner of Transportation must provide written responses to the recommendations by February 1 of each year.

In addition to its annual report, the Commission also serves in its advisory role during the course of the year through letters and resolutions on current issues, through testimony it provides at various forums, and through facilitating contacts between parties in order to resolve issues, enhance services or obtain information.

The Commission comprises 11 gubernatorial appointees and 8 members appointed by the Legislative leadership. In addition to the 19 appointed members, the Departments of Transportation and Environmental Protection and the Office of Policy and Management are represented on the Commission.

Connecticut Rail Commuter Council

Section 13b-212b of the *Connecticut General Statutes* established the Metro North New Haven Rail Commuter Council, presently referred to as the Connecticut Rail Commuter Council. The council consists of 15 members, all of whom are commuters who regularly use the transportation services of:

- the New Haven commuter railroad line which includes the New Canaan, Danbury and Waterbury branches of such line and
- the Shoreline East railroad line.

Members serve for a term of four years and are appointed as follows:

- the Governor appoints four members,
- the president pro tempore of the Senate appoints three members,
- the speaker of the House of Representatives appoints three members,
- the minority leader of the Senate appoints one member,
- the minority leader of the House of Representatives appoints one member,
- the chairmen of the joint standing committee of the General Assembly having cognizance of matters relating to transportation appoints one member and the ranking members of this same committee jointly appoint one member.

The council is required to meet at least once during each calendar quarter but typically meets monthly except during the summer. In addition to advising the legislature regarding commuter issues, the council acts as a liaison between transit system users, ConnDOT, Metro-North, and Shore Line East railroads.

Connecticut Maritime Commission

Section 22 of *Public Act 04-143* created a 15-member Connecticut Maritime Commission as a successor agency to the Connecticut Port Authority. The stated purpose of this commission is to:

- advise the Commissioner of Transportation, the Governor and the General Assembly concerning the state's maritime policy and operations;
- develop and recommend to the Governor and the General Assembly a maritime policy for the state;
- support the development of Connecticut's maritime commerce and industries, including its deep water ports;

- recommend investments and actions, including dredging, required in order to preserve and enhance maritime commerce and industries;
- conduct studies and present recommendations concerning maritime issues;
- support the development of Connecticut's ports, including identifying new opportunities for the ports, analyzing the potential for and encouraging private investment in the ports, and recommending policies which support port operations.

The commission must hold a public hearing at least once a year for the purpose of evaluating the adequacy of the state's maritime policy, facilities, and support for maritime commerce and industry. On or before January 1, annually, the commission must submit, in writing, to the Commissioner of Transportation, the Governor and the Transportation Strategy Board: 1) a list of projects which, if undertaken by the state, would support the state's maritime policy and encourage maritime commerce and industry; 2) recommendations for improvements to existing maritime policies, programs and facilities; and 3) such other recommendations as it considers appropriate. Copies of the report must be submitted to the Connecticut General Assembly pursuant to Section 11-4a of the *Connecticut General Statutes*.

The commission consists of the following members: 1) The Commissioners of Transportation, Economic and Community Development and Environmental Protection, the Secretary of the Office of Policy and Management, the chairman of the Transportation Strategy Board Development, or their respective designees; 2) four members appointed by the Governor; and 3) six members appointed by legislative leaders.

3. RELATIONSHIP OF THE PLANNING PRODUCTS

In Connecticut, transportation planning results in at least four major overlapping documents that are created in response to various federal and state mandates. Figure 7 illustrates this dynamic process from long-term planning to project development. The figure depicts the interaction between federal guidelines mandating regional input, state requirements for a long-term plan, the contribution of the state budget process, and the short-term implementation plan requiring federal approval.

Generally, the planning process begins with the Long-Range Plan (LRP). Both ConnDOT and the regions develop their own LRPs. ConnDOT's plan is intended to provide overall policy direction for the entire state. Regional LRPs are coordinated with the state's plan by ConnDOT's Bureau of Policy and Planning. Projects from the regional LRPs are selected for inclusion in the state-mandated, 10-year Master Transportation Plan.

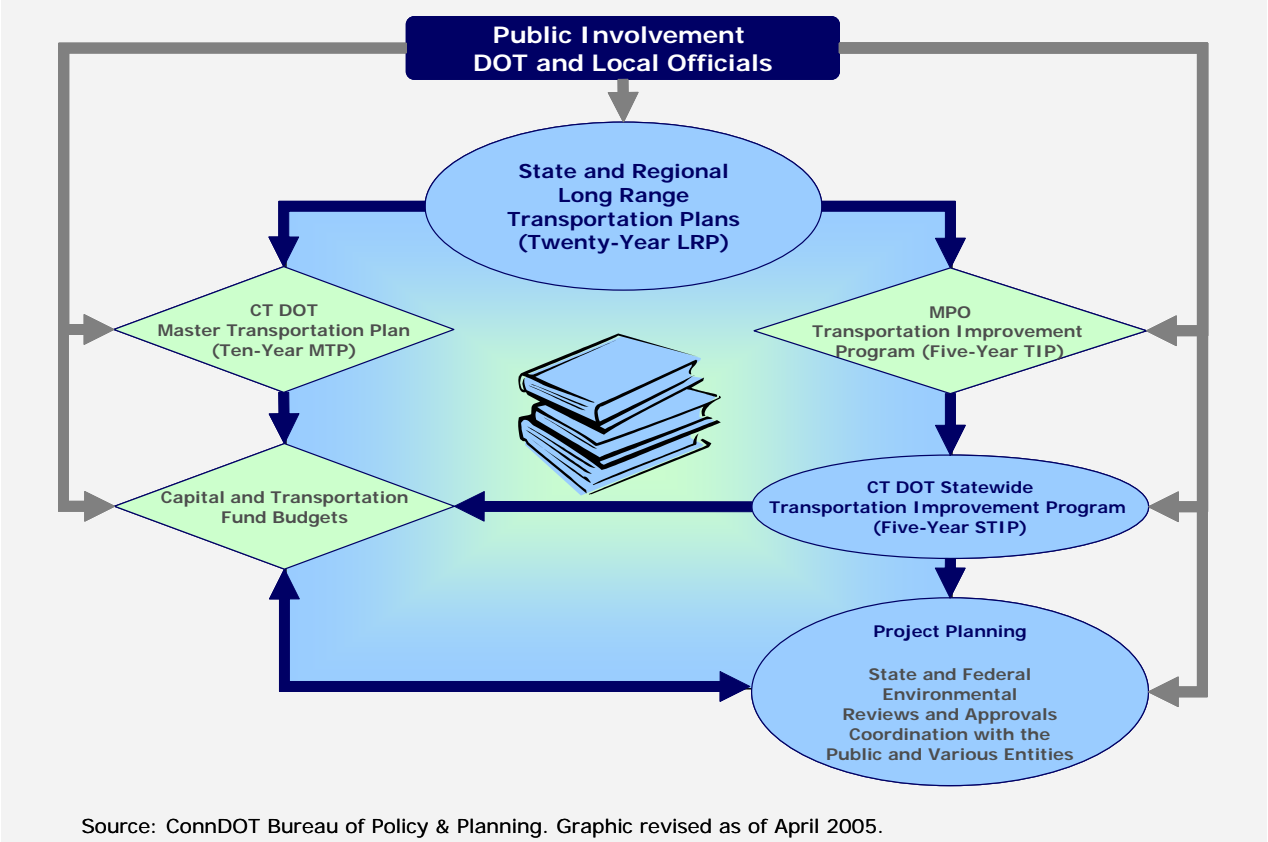
Projects can be proposed by any number of entities, including the state, a region, a municipality, or a designated Federal Transit Administration recipient. There are two general approaches to how the process begins:

- A need or deficiency is identified, studied, and a project is developed; or
- New projects are solicited for specific funding programs. This approach is evident in certain STP programs (Urban and Enhancement), the local road accident reduction program, and the Local Bridge Program.

Needs are identified in a number of ways and with varying degrees of involvement by the planning regions. Depending on the funding source and the type of funding, any number of entities within and outside the Department can be involved. However, at some point in each of the processes, the RPOs must be involved because an RPO's approval is required for the federal government to grant authorization to spend federal transportation money in the region.

Because the federal government requires that all plans be fiscally constrained—that is planning must be based on an estimate of the funding that can reasonably be expected—ConnDOT provides to the planning regions an estimate of anticipated funds. This estimate is used by the RPOs to develop their 20-year regional LRPs.

Figure 7. Transportation Planning and Programming Process in Connecticut



C. PUBLIC PARTICIPATION

TEA-21 mandates and emphasizes public participation in the transportation planning process. It is ConnDOT's responsibility to provide government agencies, citizens, affected public agencies, private providers of transportation, and other parties (collectively identified as stakeholders) information and the opportunity to participate in the development of transportation actions. ConnDOT meets this responsibility through its public outreach efforts.

The process through which transportation projects are defined is extremely complex. It begins with the identification of a need or problem. This is done through various project and program planning and environmental activities. The problem or need is then scoped into a project and addressed in a design and engineering phase, a project construction phase, and ultimately, an operations and maintenance phase. The goal is to achieve consensus through the myriad issues, viewpoints, regulatory requirements, funding considerations and practicability determinations. Public outreach is an interactive process used to share information and offer the opportunity to participate in all aspects of project development. Such aspects of project development include determining transportation deficiencies; identifying and analyzing alternative improvement strategies, determining ways to avoid, minimize, or mitigate any undesirable social and environmental effects; selecting a transportation action; developing design details and addressing construction concerns. In this process, the emphasis is on developing transportation decisions as a product of partners' collaborative efforts.

1. PUBLIC OUTREACH PROGRAMS

Public outreach programs are, by necessity, strongly individualistic and tailored to not only statewide, but also regional and local needs and circumstances. Generalization of public outreach efforts and the development of standardized procedures are difficult. Multiple approaches may be required to solicit the involvement of different stakeholders. In public outreach efforts, emphasis is placed on transportation actions that can directly affect neighborhoods and communities for the long term.

The goals of the public outreach program are as follows:

- Provide adequate notice to the general public and targeted audiences.
- Allow public input to take place early enough in the planning process that it can be assimilated.
- Provide sufficient information to the public to allow their input to be informed.
- Respond to the public's input, explaining why it was either accepted or rejected.

At ConnDOT, public outreach is incorporated into each phase of the transportation development process, from the early planning phase to design and construction, and is geared to bring all people into the consultative project development process. Through this participation, no person is excluded, denied benefits or subject to discrimination under any departmental activity. ConnDOT seeks to ensure that equal opportunity to participate in the transportation planning process is given to all of the state's citizens.

ConnDOT often uses newsletters, the internet (web sites), as well as public meetings to give stakeholders the opportunity to receive information regarding a program or project and to obtain information from the public regarding their concerns. Public meeting forums can include open and informal informational sessions, formal presentation sessions, charrettes, visioning, advisory or steering committees, transportation fairs/major special events, focus groups, and collaborative task forces/"Blue Ribbon" commissions.

In November 1995, ConnDOT published a "Guide for Public Outreach" (Guide). The guide was prepared for use by ConnDOT and is intended to provide a menu for implementing an effective process for informing the public and facilitating community participation throughout the development of transportation actions (study, program or project), and during the Planning, Facility Design/Rights-of-Way/Program Development, and Construction/Implementation/Maintenance phases. A copy of the guide was sent to the 15 regional planning agencies and the main public library in each town. A revised and updated version of this manual is expected to be completed in 2006.

ISTEA and TEA-21 also require that the metropolitan transportation planning process includes a proactive public involvement process. This process must provide complete information, timely public notice, full public access to key decisions, support early and continuing involvement of the public in developing plans and TIPs, and meet the requirements as specified in 450.316(b). Each MPO has developed its own public involvement process consistent with the federal legislation.

2. CONTEXT-SENSITIVE SOLUTIONS (CSS)

CSS, a highway design process that is responsive to communities' needs and desires, is one component of the public outreach process. CSS is a collaborative, interdisciplinary approach that involves all stakeholders to develop a transportation facility that fits its physical setting and preserves environmental, scenic, aesthetic, and historic resources while maintaining safety and mobility. It involves taking into consideration the land use and environment adjacent to the roadway when planning and designing a project to make the improvement compatible with the surrounding community.

ConnDOT uses a CSS approach when designing highway projects and has shared its experiences and knowledge with others to encourage them to use this approach. Under an agreement with FHWA, ConnDOT conducted a pilot training program on CSS to encourage innovation in highway design, and to foster timely and meaningful public involvement with careful consideration given to the human and natural environments in order to develop a context-sensitive solution.

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APPENDIX A
LIST OF ACRONYMS

APPENDIX A. LIST OF ACRONYMS

A-B

ADA	Americans with Disabilities Act
AIR 21	Wendall H. Ford Aviation Investment and Reform Act for the 21 st Century
ACOE	Army Corps of Engineers
BDL	Bradley International Airport

C

C & D Plan	Conservation and Development Policies Plan
CAA	Clean Air Act
CAAA	Clean Air Act Amendments
CE	Federal Categorical Exclusion
CEO	Council of Elected Officials
CFR	Code of Federal Regulations
CGS	Connecticut General Statutes
CMAQ	Congestion Mitigation and Air Quality
CMS	Congestion Management System
COG	Council of Governments
ConnDEP	Connecticut Department of Environmental Protection
ConnDOT	Connecticut Department of Transportation
CSS	Context-Sensitive Solutions
CT DEP	Connecticut Department of Environmental Protection
CT DMV	Connecticut Department of Motor Vehicles

D-G

DEP	Connecticut Department of Environmental Protection
DOT	Department of Transportation
EA/FONSI	Environmental Assessment/State Finding of No Significant Impact
EIE	State Environmental Impact Statement
EIS	Environmental Impact Statement
EMS	Emergency Medical Services
EPA	US Environmental Protection Agency
FAA	Federal Aviation Administration
FEMA	Federal Emergency Management System
FHWA	Federal Highway Administration
FTA	Federal Transit Administration
FWS	U.S. Fish and Wildlife Service

H-L

ISTEA	Intermodal Surface Transportation Efficiency Act of 1991
LRP	Long-Range Transportation Plan

M-O

MPO	Metropolitan Planning Organization
MTP	Master Transportation Plan
NAAQS	National Ambient Air Quality Standards
NEPA	National Environmental Policy Act
NHS	National Highway System
NHTSA	National Highway Traffic Safety Administration
NMF	National Marine Fisheries
OPM	Office of Policy and Management

P-S

RPA	Regional Planning Agency
RPO	Regional Planning Organization
RRPO	Rural Regional Planning Organization
SFY	State Fiscal Year
SIP	State Implementation Plan
SIMTF	Statewide Incident Management Task Force
STIP	Statewide Transportation Improvement Program
STP	Surface Transportation Program
STP-Urban	Surface Transportation Program - Urban

T-Z

TEA-21	Transportation Equity Act for the 21 st Century
TIAs	Transportation Investment Areas
TIPs	Transportation Improvement Programs
TMA	Transportation Management Area
TSB	Transportation Strategy Board
UPWP	Unified Planning Work Program
USC	United States Code
USCG	U.S. Coast Guard
USDOT	U.S. Department of Transportation
UZAs	Urbanized Areas

APPENDIX B

STIP DEVELOPMENT STEPS

APPENDIX B. STIP DEVELOPMENT STEPS

HOW IS A STATE TRANSPORTATION IMPROVEMENT PROGRAM (STIP) DEVELOPED?

The STIP must be developed according to Title 23 of the United States Code (USC). Section 135 of Title 23 USC requires that a STIP be developed in **consultation** with the Transportation Management Areas (TMAs), except for projects on the National Highway System (NHS) or funded under the Bridge or Interstate Maintenance Programs. In these categories the STIP must be developed in **cooperation** with the TMAs.

In all other Urbanized Areas (UZAs), the STIP is developed in **cooperation** with the MPOs. In all of the Rural and Urban Areas under 50,000 population, the STIP is developed in **cooperation** with the local officials, except for projects on the NHS or for projects that are funded under the Bridge and Interstate Maintenance Programs. In these categories the STIP must be developed in **consultation** with local officials.

Following are the specific steps in the process that the ConnDOT uses to develop a new STIP:

1. ConnDOT's Office of Policy (in the Bureau of Policy and Planning) prepares a memo requesting the assistance of ConnDOT's Bureau of Public Transportation and Bureau of Engineering and Highway Operations in the preparation of the STIP.
2. The Bureau of Public Transportation prepares a draft list of projects to be initiated in the next five-year period. The list is generated from the Bureau's Twenty-year Capital Program and must be fiscally constrained to the Federal Authorization level. The draft listing is forwarded to the Office of Policy.
3. The Bureau of Engineering and Highway Operations prepares a draft list of projects to be initiated in the next five-year period. The list is generated from the Bureau's current Working Schedule of Federal Aid Obligation and must be fiscally constrained to the Federal Authorization level. The draft list is forwarded to the Office of Policy.
4. The Office of Policy receives the draft lists from the Bureau of Public Transportation and the Bureau of Engineering and Highway Operations, and reviews the program for consistency with long-range plans. The Office of Policy develops a draft STIP, which includes statewide projects, district-wide projects and other multi-regional projects. Next, the Office of Policy checks the program for fiscal constraint, sorts the program by Planning Region and then transmits to each Planning Region its portion of the program.
5. Planning Regions review the draft list of projects sent by ConnDOT, and prepare comments. At this time, any differences in proposed projects between the Planning Regions and ConnDOT are resolved. This mutually agreed to list is then forwarded to ConnDOT.
6. Annual "Interagency Consultation Meetings" are held in each of the non-attainment areas. Each meeting provides an opportunity to discuss air quality

- modeling procedures and project selection criteria (see attach draft regulations).
7. ConnDOT reviews draft lists of projects received from Planning Regions and re-assembles the STIP, checks for fiscal constraint and produces the DRAFT STIP.
 8. The Office of Policy provides the Office of Inventory and Forecasting with the DRAFT STIP. The Office of Inventory and Forecasting conducts an air quality assessment and prepares a conformity report.
 9. The Office of Policy provides to the Office of Inventory and Forecasting a list of STIP CMAQ projects. The Office of Inventory and Forecasting conducts a CMAQ project analysis and prepares a CMAQ Project Summary Report.
 10. Final STIP fiscal constraint issues, if any, are resolved.
 11. The Office of Policy assembles the DRAFT STIP, all projects and the narrative are combined into a complete document, printed and published.
 12. Draft Planning Region TIPs and Conformity Report are made available for public review and comment.
 13. Draft STIP and Conformity Report are made available for public review and comment.
 14. RPOs address all comments provided by the public concerning the regional TIP and Conformity Report.
 15. ConnDOT addresses all comments provided by the public concerning the Statewide TIP and Conformity Report.
 16. MPO technical committees meet to discuss draft TIP and Conformity Report, and make recommendation to MPO board.
 17. MPO boards review draft TIP, Conformity Report and technical committee recommendation. MPO takes action to endorse TIP and Conformity Report, and make an Air Quality Statement.
 18. MPOs submit endorsed TIP and Air Quality Statement to ConnDOT's Office of Policy for processing.
 19. The Office of Policy reviews endorsed TIP against agreed to list of projects. If in agreement, it reassembles STIP and develops fiscal constraint tables.
 20. Commissioner endorses STIP.
 21. The Office of Policy transmits to FHWA and FTA (EPA through FHWA), the final STIP and copies of each MPO-endorsed TIP and requests federal approval of program.
 22. The Office of Policy sends STIP and Conformity Report to ConnDEP for evaluation of conformity.
 23. EPA reviews STIP for conformity, provides comments to FHWA.
 24. FHWA, FTA and EPA approve or disapprove the STIP and the Conformity Report.
 25. The Office of Policy publishes the final STIP.
 26. The Office of Policy distributes a copy of the final STIP to interested parties.

27. ConnDOT begins the obligation of funds for projects.
28. ConnDOT begins the project initiation process.

Source: *CONNECTICUT DEPARTMENT OF TRANSPORTATION 2005 STATEWIDE TRANSPORTATION IMPROVEMENT PROGRAM*

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**State of Connecticut
Department of Transportation**



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