

finance innovations for multimodal planning and programming, examining methods for effective transportation system performance monitoring, and assessing the land use and transportation interface. Examining the institutional constraints that inhibit multimodal planning and programming, and assessing the role of freight transportation as an integral part of multimodal planning should also be considered. Finally, the need to develop new analytical tools for planning and programming and to develop new data collection methods and data items should be explored.

These topics may be included in research projects and programs currently being funded by federal, state, and local agencies, and other groups. A more concerted effort should be considered in addressing the comprehensive requirements that have been motivated by the ISTEA and the Clean Air Act Amendments, however.

States' Adaptation to the ISTEA Requirements

Ann Mladinov, National Academy of Public Administration and Thomas Larson, Consultant



I am very happy to have the opportunity to present the results of the NCHRP project on *State Departments of Transportations' Strategy for Change* with Tom Larson. We were very lucky with the timing of this Conference, in that the report on this project was just published this week.

I would like to start by providing a brief description of the work conducted for the project. Tom will then summarize one of the case studies—The Bay Area Partnership in San Francisco.

The title of this conference, "Institutional Aspects of Metropolitan Transportation Planning" reflects a key focus of the National Academy of Public Administration (NAPA). The Academy is concerned with issues associated with institutions, processes, and the

performance capacity of institutions—not policy or all the technical aspects of issues.

The Academy is set up like the National Academy of Sciences, with Fellows located throughout the country who can be brought together to address institutional and management issues and opportunities. There are several reasons why the topic for the conference is of particular interest to NAPA. First, the Academy has also identified the region as a key level for understanding and addressing domestic challenges. In addition, many of my colleagues at the Academy view the ISTEA as an important example and really a test case for other major programs. Unlike a lot of other areas, the transportation area has established institutions and processes for working across levels of government, including MPOs. Now ISTEA gives responsibilities to MPOs in transportation planning and project selection. Similar types of agencies and responsibilities do not exist to deal with housing, welfare, and other needs.

One of the key changes that state departments of transportation have had to deal with as a result of the ISTEA relate to the increased responsibilities given to MPOs. Our study was undertaken to help identify the changes in the roles and responsibilities of the different parties involved in transportation, including the metropolitan transportation planning process and the strategies state departments of transportation could use to better respond to these new roles.

To accomplish this objective, interviews were conducted with key representatives in 13 states. Representatives from the state departments of transportation, MPOs, transit agencies, other federal, state, and local agencies, citizens groups, special interest groups, and private sector groups were interviewed in each state. The interview questionnaire was also sent to other individuals throughout the country. A total of 420 completed questionnaires were returned and analyzed.

The interview questionnaire focused on the key issues forcing changes for state DOTs. For example, the first question in the interviews addressed the key factors driving change. You will probably not be surprised at the response to this question. The factors identified most often were finances, the ISTEA, and environmental concerns.

Information was also obtained on the impacts of these changes on the state departments of transportation, how states and other agencies were dealing with these changes, and the strengths and weaknesses of the DOTs in dealing with these challenges. The responses to these questions were often very similar. For example, many respondents identified the people of the DOTs as their main strength but also identified people as the major impediment to the DOTs' ability to respond effectively to forces driving

change. Leaders and employees of the DOTs were identified as intelligent and committed, but in some cases they were not ready to change in ways the process was demanding.

The research was heavily focused on field interviews. In addition to summarizing the common themes from these interviews, we tried to capture the energy of the various individuals by including a number of direct quotes in the report. I hope you will take the time to read this part of the report, as it provides the perspective of representatives from different agencies.

Creativity can be thought of in a number of different ways. Tom has often suggested that creativity includes not just coming up with new ideas, but is also in pulling together what people are saying, combining it in a new way, and presenting it back to the same groups. This is the challenge that MPOs face. MPOs act as the forum for the presentation of ideas, issues, and concerns. To be successful, however, MPOs must act as more than just a forum for the presentation of ideas. MPOs must also bring the diverse ideas and the needs of various groups together and help reach a consensus on the future elements of the transportation system.

Sam Zimmerman from the FTA mentioned yesterday that the key to a successful metropolitan planning process is communication. To help communicate the results of this research study to the top officials within the state departments of transportation, we developed a short executive summary and a set of presentation materials especially designed for busy officials. We package them in a portfolio that was sent to each director. In addition to highlighting the main findings from the study, the executive summary contains a series of self-assessment questionnaires. These questionnaires will allow each director or key staff person to conduct a self-assessment of their agency and area.

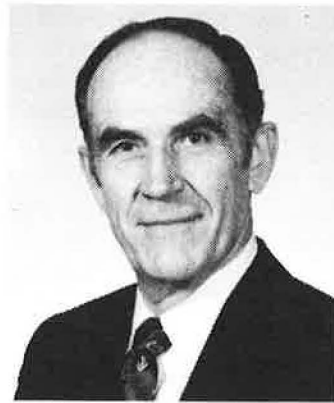
The questions in the self-assessment focus on the key challenges, the capacity to respond, these challenges, potential action steps, and possible measures for monitoring success. A series of matrices are provided, leading the individual through a consideration of each of these issues. These can be used to develop action plans for the organization.

More specific matrices were also developed for the five specific functional areas of planning, highway administration and engineering, human resources, finance and administration, and multimodal and transit. These are intended for use by the managers responsible for these functional areas. The matrices are provided in hard copies and on computer diskettes.

I would like to close with a story that was used at a community-building seminar in Chicago last year. The story involves a community that was wracked with conflict

and natural disasters. The town leaders asked a wise woman from the adjacent community to give them advice on what to do. After talking with everyone in the area she told the leaders that she could not give them any advice. Rather, she told them they needed to listen to each other and the solutions to their problems would emerge. "Everything you need to know you know already?" This was not an easy answer for the community to hear, but it was the right answer. That's what we found in our state DOTs project, and it also applies to the MPO process. MPOs have to listen to all the parties interested in transportation and regional and local development plans, identify what they know and what they care about, and develop from those parties and their observations the solutions they need.

Thomas Larson, Consultant



I am pleased to be here and to have the opportunity to participate. It is appropriate that this conference is in Williamsburg. Some 30 years ago a conference was held here to discuss the creation of an entity that could help coordinate transportation planning in metropolitan areas. The roles and responsibilities of MPOs have evolved over time. The ISTEA represents the most recent, and the most far reaching, enhancement to the responsibilities of MPOs. Questions being discussed at this conference focus on how MPOs are responding to their new roles and to the opportunities generated by the ISTEA.

The case study I would like to discuss this morning—The Bay Area Partnership—provides an example of an innovative approach being used in the San Francisco-Oakland metropolitan area. The Partnership included representatives from the MPO, other regional agencies, local governments, state and federal agencies, and other groups. Currently, there are some 32 active members. The purpose of the Partnership, established in

1991, is to improve mobility, accessibility, and air quality in the nine county metropolitan area.

Although California is a unique in many respects, there are a number of features of the Partnership that can serve as a model for other areas. California has been a national leader in many transportation components including the development of an extensive freeway system, the anti-freeway movement, high-occupancy vehicle (HOV) lanes, and air quality concerns. California also influenced the ISTEA, in that a number of influential congressmen were from the state.

The Joint Urban Mobility Program (JUMP) represents one of the initial efforts of the Partnership. This program included a number of "doable" projects focused on improving mobility in the area.

In addition to Jump Start, the Partnership has accomplished a number of important objectives. First, it provides a forum for the dissemination of issues among the various agencies and groups involved. This has greatly enhanced the flow of information among agencies and has helped facilitate innovative approaches to addressing critical transportation problems. Second, the Partnership continues to be instrumental in developing and implementing specific projects and programs aimed at improving mobility in the area.

The benefits from the Partnership did not come immediately, however. One of the lessons from this case study is that building strong working relationships among diverse agencies does not happen overnight. It takes time to build a level of trust and to establish open communication links. It is also important to remember that the Partnership is a voluntary organization and that it has not diminished the responsibilities of the individual agencies and groups.

Funding for transportation in the Bay area has also helped support the Partnership. Local governments are now providing over half of the funding for the transportation system, with the state accounting for only 12 percent. This is a significant change from the historic approach to transportation funding which relied more heavily on federal and state funds.

An interesting approach is also being taken in California to enhance coordination between land use and transportation planning. As more funds are provided by local governments, which are responsible for land use controls, they become more accountable for land use and transportation decisions as they will have been to live with the results.

As noted by the title of this presentation, now is the time for MPOs and state departments of transportation to learn to manage new roles. The ISTEA provides the opportunity to boldly move forward to advance metropolitan transportation planning and operations. I

hope each of you will accept this challenge and help manage change in metropolitan areas throughout the country.

Institutional Barriers to Intermodal Transportation Policies and Planning in Metropolitan Areas

Alan B. Winn, Crain and Associates



It is a pleasure to have the opportunity to discuss TCRP Project H-4C, which focuses on the institutional issues related to the intermodal transportation policies and planning activities associated with the ISTEA. Having spent 16 years of my career working at a transit agency, I think I bring an interesting perspective to the project. Although the problem statement for this project is to examine the institutional barriers to intermodal planning and policy making, the study design expands this focus. The project is also considering how intermodal projects can be advanced given existing institutional arrangements, identifying what improvements are needed and what changes will make the biggest difference, developing strategies to overcome the identified barriers, and identifying projects to field test these strategies. An interim report, documenting the barriers, potential improvements to the planning process, and specific strategies has been completed. The final stage of the project will be to field test these strategies at selected MPOs throughout the country.

A number of different activities have been completed as part of the study. First, 33 in-depth interviews were conducted with key stakeholders from MPOs, state departments of transportation, and transit agencies throughout the country. A typology of barriers was developed based on the results of these interviews. A nationwide survey was then conducted of the same three organizations—MPOs, state departments of transportation, and transit agencies—using an analytical tool called Net