

Accelerated Implementation Procedures

Revised Edition

A REPORT OF THE
TRANSPORTATION TASK FORCE
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The Urban Consortium for Technology Initiatives was formed to pursue technological solutions to pressing urban problems. The Urban Consortium is a coalition of 37 major urban governments, 28 cities and 9 counties, with populations over 500,000. These 37 governments represent over 20% of the nation's population and have a combined purchasing power of over \$25 billion.

Formed in 1974, the Urban Consortium represents a unified local government market for new technologies. The Consortium is organized to encourage public and private investment to develop new products or systems which will improve delivery of local public services and provide cost-effective solutions to urban problems. The Consortium also serves as a clearinghouse in the coordination and application of existing technology and information.

To achieve its goal, the Urban Consortium identifies the common needs of its members, establishes priorities, stimulates investment from Federal, private and other sources and then provides on-site technical assistance to assure that solutions will be applied. The work of the Consortium is focused through 10 task forces: Community and Economic Development; Criminal Justice; Environmental Services; Energy; Fire Safety and Disaster Preparedness; Health; Human Resources; Management, Finance and Personnel; Public Works and Public Utilities; and Transportation.

Public Technology, Inc. is a nonprofit, tax-exempt, public interest organization established in December 1971 as an institutional mechanism for applying available technologies to the problems of State and local governments. Sources of such technologies include Federal agencies, private industries, universities, and State and local jurisdictions themselves. PTI works in both the hardware and software fields.

Public Technology, Inc. was organized by several public interest groups representing State and local governments. Its present Board of Directors consists of Alan Beals, Executive Director, National League of Cities; Mark E. Keane, Executive Director, International City Management Association; Robert A. Kipp, City Manager, Kansas City, Missouri; and The Honorable Tom Moody, Mayor, City of Columbus, Ohio.



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January 1980

Prepared by

PUBLIC TECHNOLOGY, INC.
1140 Connecticut Avenue, N.W.
Washington, D.C. 20036

Secretariat
to the

**URBAN CONSORTIUM
FOR TECHNOLOGY INITIATIVES**



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PREFACE

This is one of nine bulletins in the third series of Information Bulletins produced by the Transportation Task Force of the Urban Consortium for Technology Initiatives. Each bulletin in this series addresses a priority transportation need identified by member jurisdictions of the Urban Consortium. The bulletins are prepared for the Transportation Task Force by the staff of Public Technology, Inc.

Five newly-identified transportation needs are covered in the third series of Information Bulletins:

- Air Quality Regulation and Measurement
- Airport Access
- Mass Transportation Energy Conservation and Contingency Planning
- Non-Federal Street and Highway Financing
- Pedestrian Movement

Four Information Bulletins covering needs identified in previous years, are being updated:

- Accelerated Implementation Procedures
- Coordination of Paratransit with Conventional Transit
- Neighborhood Traffic Controls
- Urban Goods Movement

The needs highlighted by Information Bulletins are selected in an annual process of needs identification used by the Urban Consortium. By focusing on the priority needs of member jurisdictions, the Consortium assures that resultant research and development efforts are responsive to local government problems.

Each bulletin provides a nontechnical overview, from the local government perspective, of issues and problems associated with each need. Current research efforts and approaches to the problem are identified. The bulletins are not an in-depth review of the state-of-the-art or the state-of-the-practice. Rather, they serve as an information base from which the Transportation Task Force selects topics that require a more substantial research effort.

The Information Bulletins are also useful to those, such as elected officials, for whom transportation is but one of many areas of concern.

The needs selection process used by the Urban Consortium is effective. Priority needs selections have been addressed by subsequent Transportation Task Force projects:

- A Manual for Planning and Implementing Priority Techniques for High Occupancy Vehicles (consisting of a Chief Executive's Report, Program Manager's Report, and Technical Guide) was developed to provide assistance to local governments in planning and implementing Preferential Treatment for buses and other high-occupancy vehicles.
- A National Conference on Transit Performance addressed the need for Transit System Productivity. The conference, held at Norfolk, Virginia, in September 1977, was attended by 200 government, industry, labor, and academic participants. As a follow-up to the Norfolk meeting, 5 Transit Actions regional meetings were held between January 1979 and May 1979. The product of these following meetings is a Transit Actions Workbook that features techniques currently being used to improve transit system performance and productivity.
- To facilitate the provision of Transportation for Elderly and Handicapped Persons, 6 documents were developed: one on local government approaches, a coordination guide, a planning checklist, an information sourcebook, a series of case studies, and a chief executive's summary.
- To help improve Center City Circulation two projects have been completed. A summary report on Center City Environment and Transportation: Local Government Solutions shows how seven cities used transportation and pedestrian improvements to help downtown revitalization. Another project, addressing the coordination of public transportation investments with real estate development, culminated in a national conference--The Joint

Development Marketplace, at Washington, D.C., in June 1978. The Marketplace was attended by over 600 persons, including exhibitors from 36 cities and counties and representatives of over 140 private development and financial organizations.

- Two documents relating to the need for Transportation Planning and Impact Forecasting Tools have been prepared: (1) A paper describing local transportation planning issues and concerns directed to the Urban Mass Transportation Administration and (2) A management-level document for local officials describing the tools available as a result of the Urban Mass Transportation research program and how these tools can be applied by local governments.
- To facilitate the dissemination of information on local experiences in Parking Management, a technical report describing the state-of-the-art is being prepared.
- A National Transit Pricing Forum was held at Virginia Beach, Virginia, in March 1979 to address the need for more information on Innovative Fares. Much of the Forum was directed to technical advances in areas of pricing research and practice. The proceedings of this conference are available.

Task Force information dissemination and technology sharing concerns are currently addressed by a series of SMD Briefs. These one-page reports provide up-to-date information about on-going UMTA Office of Service and Methods Demonstrations projects.

The support of the U.S. Department of Transportation's Technology Sharing Division in the Office of the Secretary, Federal Highway Administration, and Urban Mass Transportation Administration has been invaluable in the work of the Transportation Task Force of the Urban Consortium and the Public Technology, Inc. staff. The guidance offered by the Task Force members will continue to insure that the work of the staff will meet the urgent needs identified by members of the Urban Consortium for Technology Initiatives.

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TABLE OF CONTENTS

<u>Chapter</u>		<u>Page</u>
1	INTRODUCTION	1
2	FEDERAL PROGRAM ADMINISTRATION	3
	Timing of Project Actions	3
	Program Flexibility	4
	Cost of Meeting Federal Requirements	7
	An Answer to These Concerns	7
3	FEDERAL-AID URBAN SYSTEM	11
	Issues and Problems	11
	Current Efforts	15
	Possible Solutions	16
4	CONTACTS	17
	Urban Mass Transportation Administration	17
	Federal Highway Administration	17
	Urban Mass Transportation Administration Organization Chart	19
	Urban Mass Transportation Administration Field Offices	20
5	ANNOTATED BIBLIOGRAPHY	21

Chapter 1

INTRODUCTION

The Transportation Task Force of the Urban Consortium this year -- for the third consecutive year -- selected Accelerated Implementation Procedures as one of the 10 highest priority needs facing the cities they represent, using criteria of commonality, magnitude and importance, community impact, and financial impact.

Although the title used for this topic may seem obscure, its meaning is not. What is meant is the "need to standardize application procedures, cut red-tape, and develop a partnership between cities and the Federal offices."¹ The topic is one of major importance to public officials in the nation's urban areas.

Another related subject is discussed in Chapter 3: The use of Federal-Aid Urban System funds. This Chapter is updated from a similar Chapter in an earlier Information Bulletin of the same title dated October 1978, which this Information Bulletin replaces.

1. Transportation Needs Summary. Transportation Task Force of the Urban Consortium. Washington, D.C.: Public Technology, Inc. 1976.

Chapter 2

FEDERAL PROGRAM ADMINISTRATION

Local governments feel they are hindered in reaching solutions to their transportation problems by increasingly burdensome procedures and controls prescribed by the U.S. Department of Transportation in the administration of the Federal-aid highway and urban mass transportation programs.

The concerns expressed by responsible local officials focus on three areas:

- Timing of project actions.
- Program flexibility.
- Costs of meeting Federal requirements.

TIMING OF PROJECT ACTIONS

The most commonly-expressed criticism among local officials is the time required for the Federal review and approval of applications for finance assistance.

The timing of the decision to go ahead with a locally-planned project is frequently critical. What is perceived to be the unwarranted delay in action at the Federal level may in itself raise questions locally about the value, priority, and urgency of a project, and about the motives of its supporters.

Of equal or greater importance is the fact that delays in executing a planned project result in increased costs due to inflation -- increases which may make a needed local improvement impossible of attainment and which, in the aggregate, may dilute the effectiveness of Federal programs.

Once the decision to move ahead with a project has been reached, the timing and sequence of events are critical and must be adhered to.

- Delays in the Federal review of plans, specifications, third-party contracts, and other documents that require revisions in the project schedule result in increased project costs.

- Delays in project execution, for whatever reason, affect government credibility, give rise to misunderstanding and disillusionment on the part of the public, and increase the inconvenience or actual hardship to those affected by the project.
- Delays may also adversely affect the scheduled sequence of project events. A classic example is the locally-caused delay in putting the Santa Monica Freeway Diamond Lanes into operation that resulted in ramp-metering being in effect before the preferential lanes were in use. This had a seriously adverse effect on public acceptance of the preferential treatment program.

PROGRAM FLEXIBILITY

The purposes for which Federal funds may be committed are governed by the statutes that authorize specific programs.

When the work to be done, or the way in which it is proposed to be done, clearly falls outside existing program structure and authority, the remedy is usually legislative rather than executive.

There is no way, short of Congressional action amending the Urban Mass Transportation Act of 1964, that a local agency can be permitted to use funds allocated under section 5 of that Act for general street maintenance. Nor could Federal-aid highway funds be used to purchase buses until Title 23 was amended by the Congress in 1973.

It must also be recognized that, no matter how great the need, no matter how great the desire of the local official, there are some things that no legislative body at any level has yet authorized to be done or provided financial assistance for. Again the remedy for these problems, if there is to be one, is legislative rather than executive.

A somewhat less formidable obstacle arises in those situations when a proposal falls within an area where the legislative program authority is clear enough, but the program policy must be changed, or an exception be made to it, if the project is to be assisted.

Demonstration programs, such as those authorized under section 6 of the Urban Mass Transportation Act of 1964, as amended, can usually accommodate this situation, which is inherent in the type of program and the need for which is well understood by program administrators.

A more difficult problem may arise when regular program funds are sought. Local officials may have great difficulty in convincing their colleagues locally and State and Federal program administrators, if indeed they can be convinced, that a specific project that requires an

exception made to existing program policy should be supported and assisted. And, if they are persuaded, they may ask for safeguards and conditions that make it either difficult or entirely impractical to move ahead.

The reasons for this are manifold. To suggest a few:

- The proposed use of funds may appear as a diversion from uses that are considered to have higher priority.
- The proposed project may contradict established local, State, or Federal policy, or it may even be detrimental to the accomplishment of other local, State, or Federal program objectives.
- The proposed project may not enjoy the full support of the program administrator or some other officials whose support is essential.
- The legislative bodies with which the program administrator must deal, or various interest groups that generally provide program support, may not accept the proposed concept.
- The program administrator may be overly cautious about doing something new or taking a chance with something that is untested. Whether or not this caution is reasonable depends upon many complex factors.

An example of one of these constraints was the unwillingness of Federal urban mass transportation program heads from 1963 on to finance free-fare projects. This unwritten policy stemmed from the Congressional uproar which arose when an upstate New York city indicated that it was considering a project to show the effects of providing free urban transit service. Amid charges of "communism", the idea was abandoned by local officials before it reached the application stage, but for years afterwards a standard inquiry at annual appropriations hearings referred to the unwise participation of the agency in, and the dire results derived from, a wholly mythical free-fare project. Indeed, it was not until the Congress itself, in 1974, directed the agency to finance studies in this area, that the taboo was lifted.

It should be pointed out also that in some instances authority to support experimental projects may exist without concurrent authority to provide continuing support after the trial period is over. This was the situation of the Federal urban mass transportation program from 1961 to 1974. The absence of continuing support was a major barrier to the initiation by both privately-owned and publicly-owned carriers of demonstration service which, if it proved successful in meeting local needs, might have to be continued at a financial loss or be discontinued at the risk of adverse public reaction.

Within boundaries set by the basic authorizing legislation and other statutory restraints, Federal program administrators have broad discretion in prescribing program requirements and the conditions under which Federal financial assistance will be made available to local public bodies.

An important aspect of program flexibility relates to the willingness of program administrators to modify or waive these requirements when such action would provide the best -- or, at least, a suitable -- solution to a specific local need and would not adversely affect the administration of the program in other areas or defeat a major statutory objective.

What is needed is not the elimination of all requirements but the conscious and thoughtful adaptation of the existing requirements to (1) the nature of the project and (2) to the local situation in which the project is being developed and must be carried out. This flexibility could be exercised by those who assist applicants at all levels in the project development process.

In any event, there are mandatory requirements which cannot be dispensed with even though they are perceived locally to be onerous or even disruptive. These include requirements of due process and requirements imposed by the National Environmental Policy Act of 1969, section 4(f) of the Department of Transportation Act, section 13(c) of the Urban Mass Transportation Act of 1964, as amended, or the legislation authorizing the program for which assistance is being sought or appropriating program funds.²

Local officials cannot expect Federal program administrators to waive or ignore mandatory requirements over which they have no control. Nor can such requirements be ignored locally in the process of project planning and execution without danger that the project will find judicial disfavour on what may be entirely procedural grounds.

Local officials are also concerned when program administrators during application review or project execution insist on project changes of primarily local significance that ignore or contravene local commitments. The development of a locally-acceptable project is frequently a process of negotiation, compromise, giving way on little things, and making comments to individuals and groups.

2. Section 4(f) relates to the use of land from a public park, recreation area, wildlife refuge, or historic site. Section 13(c) requires perspective arrangements for employees who may be adversely affected by a project assisted under the Urban Mass Transportation Act of 1964.

The price of being able to start such a project and its continued existence is the strict observance of the local commitments, no matter how trivial they may appear to an outsider. Even a minor change in contravention of a commitment may be perceived locally as a total breach of faith. The credibility which local officials have with affected citizens and groups, now and in developing future proposals, is almost totally dependent upon their record of keeping their local commitments.

COST OF MEETING FEDERAL REQUIREMENTS

A major, and ever-increasing, concern of local officials is the cost of meeting both procedural and substantive requirements prescribed by Federal program administrators to implement statutory program authorizations.

The tendency of Federal programs to breed more and more paperwork is well-recognized. Keeping abreast of voluminous regulations and complex procedures; providing reports, surveys, plans, analyses, and other data well beyond those needed for local decisions or for the required statutory findings at the Federal level; supplying in writing information that is already available or could be obtained easily by a program representative visiting the site; complying with requests of regional reviewers and others for material not required by published agency procedures -- all contribute to the cost of doing business with the Federal government. All use up scarce local resources that could be devoted to more productive use locally.

An ever more serious matter to the local official is the imposition of detailed substantive, and sometimes arbitrary, requirements that leave little room for local initiative and adaptation of facilities and equipment to local needs.

These requirements often --

- Fail to reflect local needs and desires, as determined by locally-elected and locally-appointed public officials.
- Increase materially the costs of Federally-assisted projects without commensurate return either to users or to the community generally.
- Force local resource allocation so as to meet the views of Federal, rather than local officials.

AN ANSWER TO THESE CONCERNS

A number of actions can be taken administratively to answer the concerns of local officials expressed in this Information Bulletin.

- A rigorous review by disinterested persons of existing procedures and substantive regulations, with a view to --
 - eliminating requirements wherever possible
 - simplifying those that remain
- An equally rigorous and continuing process that insures that --
 - new requirements are necessary and are as simple as possible
 - additional requirements are not imposed informally at any level in the organization
- The provision of flow charts in agency procedural instructions, so that local officials can see readily all of the steps required in application development and processing, and the sequence in which these steps occur.
- The designation of a specific employee in the regional office to be the principal point of contact on routine matters between the local program director and the Federal program agency.
- A greater reliance on local certifications of the kind envisioned by section 5(j) of the Urban Mass Transportation Act of 1964, as amended which reads:
 - (1) The Secretary may discharge any of his responsibilities under this Act with respect to a project under this section upon the request of any Governor or designated recipient of the urbanized area by accepting a certificate by the Governor or his designee, or by the designated recipient of the urbanized area, if he finds that such project will be carried out in accordance with State laws, regulations, directions, and standards establishing requirements at least equivalent to those contained in, or issued pursuant to this section.
 - (2) The Secretary shall make a final inspection or review of each such project upon its completion and shall require an adequate report of its estimated and actual cost, as well as such other information as he determines to be necessary.
 - (3) The Secretary shall promulgate such guidelines and regulations as may be necessary to carry out this subsection.

(4) Acceptance by the Secretary of a certification under this section may be rescinded by the Secretary at any time, if in his opinion, it is necessary to do so.

(5) Nothing in this section shall affect or discharge any responsibility or obligation of the Secretary under any other Federal law...

- Elimination of duplicative reviews at various organizational levels and processes that involve sequential reviews, in which a Federal technician does not begin his review until an unrelated review has been completed.
- Greater reliance on the technical competence of local government staffs in project planning and design, procurement, construction contracting, and project management.

The key to program flexibility in meeting local needs and conditions is a close working relationship among project participants at all levels of government. There is a tendency in program administration for adversary relationships to develop. These are rarely the most effective relationships in terms of the attainment of program objectives, either locally or nationally.

Specifically, what this indicates is that responsible officials of the various activities and the Federal and local governmental levels involved in a particular endeavor should sit down together at an early stage in project planning, and as frequently thereafter as the nature and stage of project development require, to reach a common and mutually acceptable understanding about goals, approaches, financing, and timing. Frequent communication should become standard practice on the part of Federal and local officials, for these understandings are too important to be omitted, and too important to be arrived at through exchanges of paper. Paper is important, too, but it is best used to document the understandings, rather than as the medium through which they are developed.

Chapter 3

FEDERAL-AID URBAN SYSTEM

ISSUES AND PROBLEMS

The nation's cities have experienced a rapid increase in the funds required to keep pace with street and highway needs because of --

- Increased travel due to continued growth of urban population.
- Inflated costs of design, land acquisition, and construction.

Cities have found that the public is expecting a wider array of transportation services in addition to the traditional highway and transit modes, e.g., bikeways, pedestrian facilities, transportation for the elderly and handicapped, and paratransit service. This demand for choices, coupled with general increased demand for all types of municipal services, intensifies the need for cities to make the most of all available funds.

In view of this, it is ironic that a major source of funds for street and highway improvements, the Federal-Aid Urban System (FAUS) program, is underutilized. Since the inception of the FAUS program its obligation rate has lagged far behind the total apportionments. At the end of fiscal year 1979, approximately \$982 million of the available \$4.6 billion was unobligated. However the process of implementing FAUS funds is now almost at the point of obligating one year's apportionment within one fiscal year.

The causes of this underutilization have been the subject of much study. To date, the most significant study was submitted by the Secretary of Transportation in a report to the 95th Congress. The Urban System Study³ analyzed the functioning of the FAUS program with regard to --

- The organizational structure of the urban transportation planning process.
- The administrative responsibilities over roads on the Federal-Aid Urban System.
- The programming responsibilities under local and State laws.

3. U.S. Department of Transportation. Urban System Study: Report of the Secretary of Transportation to the United States Congress. Washington, D.C.: U.S. Government Printing Office. January, 1977.

- The issues associated with the processing of FAUS projects by local governments.

The study recommended no changes, however, in legislation affecting the FAUS program. The reasons given in the Secretary's report centered around the newness of the program and its unique involvement of local and regional agencies. The report stated that the Federal Highway Administration (and the Urban Mass Transportation Administration also, because of the joint nature of the planning regulations) would consider regulatory and guideline changes.

The scope and status of the changes under consideration are not fully known. FHWA has relaxed some of the requirements that restrict local governments' involvement in the actual processing of FAUS projects. The more processing that can be done by a local government usually means the quicker a project can be approved by FHWA.

Not everyone thinks that there is a continuing problem with the FAUS program. Some of the FAUS program administrators believe that the obligation rate will increase substantially as planned projects progress into the implementation program. Although this viewpoint is held by knowledgeable persons, it is a minority viewpoint. The Secretary's report to Congress was submitted in January of 1977, and the obligation of FAUS funds is still seen as a problem by State, local, and Federal officials alike. More than half of the States are obligating funds at an annual rate less than their annual apportionments. The magnitude and sources of the problem are different in each Federal region, State, urbanized area, and city. Typical problems are discussed in the following sections.

Project Categories

Cities tend to use FAUS funds only on large projects because there is so much red tape involved that only big projects are worth the effort. However, the primary sources of red tape, particularly those created by non-transportation legislation (particularly the National Environmental Protection Act), do not apply to smaller projects that can be officially designated as non-major actions. Non-major actions can be significant improvements such as control systems for traffic signals, intersection channelization and signalization, safety improvements, and roadway rehabilitation work. FHWA-developed procedures applicable to non-major actions have been shortened to eliminate many processing delays.

Cities have generally not chosen to use FAUS funds for mass transit projects. This category of use was authorized by the 1973 Highway Act. An analysis of the reasons for the non-use is covered in a report to Congress from the General Accounting Office.⁴

4. Comptroller General of the United States. Why Urban System Funds Were Seldom Used for Mass Transit. Washington, D.C.: U.S. General Accounting Office. March, 1977.

Administrative Systems

Since 1976, Federal highway aid has been allocated for use on specific systems of roads defined by functional characteristics. There is Federal aid for primary system roads, secondary system roads, and urban system roads. This method of designation often results in systems involving more than one political or operating jurisdiction. In the case of the Federal-Aid Urban System, States, cities, and counties may have jurisdiction over roads within one urban area's system. States had jurisdiction over 22% of the FAUS mileage on June 30, 1976. These State routes received more than 58% of the money spent on FAUS projects through June 30, 1976. Each State's policies toward project selection and matching fund sources usually vary according to the jurisdictional control of the project.

Matching Policies

Many cities have problems providing the 25% matching funds for FAUS projects, and projects are often selected for implementation solely on the basis of available matching funds. States are also having problems providing matching funds because of fiscal crises caused by lower gas tax revenues and inflation. In many States, the matching requirements vary according to the jurisdictional responsibility for the project. Only 17 States provide matching funds for projects not under State jurisdiction. Conversely, cities assist in the matching requirements of projects on state-administered roads in only 10 States.

Complexity of Process

The implementation of a major FAUS project is a complex process that involves planning, programming, preliminary engineering, environmental assessments and impact analyses, several public hearings, right-of-way acquisition, and relocation of families and businesses, utility relocation, bid-letting, and construction supervision. For each step, the process involves the FHWA, the State Highway Agency (SHA), the metropolitan planning organization (MPO), and one or more local governments. Communication lines are not always clear, and information is not always evenly distributed.

As mentioned earlier, this process can be simplified when the project is defined as a non-major action, and FHWA has developed a summary of streamlined procedures for non-major actions. Many non-major actions that are geographically scattered throughout a city can be categorized as one project for processing.

But cities still wish to use FAUS funds on major projects, which is, after all, one goal of the program. Therefore, those elements of the major project process that can be streamlined need to be identified.

The ground rules for the FAUS program (and all other FHWA programs) are described in the seven-volume Federal-Aid Highway Program Manual. The fact that these volumes are not readily available to local transportation agencies

may constitute a barrier to the smooth working of the process. However, due to the voluminous content (almost 40 programs described in hundreds of pages) and difficult format (guidelines for any one program are scattered throughout the seven volumes), the availability of the manual alone may not insure an understanding of the FAUS process. Also, there are variations in the process as administered by each State, so there can be no one national complete guide to the FAUS process.

Metropolitan Planning Organizations

The urban transportation planning process that is usually the responsibility of the MPO is an integral part of the FAUS implementation process, and this has been a cause of controversy among local and State officials. Major projects, and many non-major projects (projects such as safety improvements are excluded) must be included in the MPO's Transportation Improvement Program (TIP), before they can be advanced for FAUS funding. The development of the TIP may take 12 months or more, and it must be demonstrably linked with the planning process. Whether or not this causes problems with implementation depends on the relationship between the local governments and the MPO. Although the MPO is usually an association of local governments, misunderstandings often develop between the MPO and its members. Many State highway agencies feel that the authority to develop the TIP is a constitutional authority of the States, and some states have filed suits to test the authority of the U.S. Department of Transportation's planning regulations that established the TIP as a function of the metropolitan planning organizations. Federal appeals courts have upheld the Department of Transportation in every case, and it seems that this arrangement is stable for the foreseeable future.

Design Standards

Many projects make it to and through the TIP phase only to become mired in disagreements over the design standards to be used. Local policies and objectives may not require, may even discourage, design features that are required by FHWA or the State highway agency. For example, if a project does not significantly improve capacity, it may be viewed by FHWA as a maintenance item and not eligible for Federal participation, unless the project is funded as a 3R (Resurfacing, Restoration, Rehabilitation) project.

Meeting the Federal design standards increases the cost for cities that perform the preliminary engineering and design functions for FAUS projects. Some cities have documented that preliminary engineering costs are double the costs of comparable non-Federal projects.

In some cases, a city will seek a waiver from FHWA for design features, and this is often granted by the FHWA field office. However, it is a time-consuming process. Local governments feel there is a need for more flexibility in design standards so that the different conditions, policies, and objectives can be reflected in the design of street and highway projects.

Overprogramming

Overprogramming is the listing of more projects in the TIP (and the statewide program of projects) than for which there are funds. It is a common practice to overprogram by 50% of the appropriated amounts to allow for inaccurate cost estimates, and to allow for the possibility of projects being dropped from consideration because of engineering or environmental problems. Since FAUS funds, like almost all other Federal aid highway programs, lapse if not obligated within a certain period, overprogramming is used to provide a cushion. In some cases, though, overprogramming dilutes the ability of local governments to set priorities, because once the TIP is submitted to the State highway agency and the FHWA, the local governments have little control over which projects get selected for implementation. When a disagreement in project selection occurs, delay is experienced while conflicts are resolved.

CURRENT EFFORTS

The Federal Highway Administration is working in several areas to accelerate the implementation of FAUS projects. Some of the efforts and accomplishments are described here.

- Technology for Non-Major Actions. The Demonstration Projects Division of FHWA (Region 15) has developed exhibits of hardware and technology that are particularly suited to FAUS projects that would constitute non-major actions. In conjunction with these exhibits, a short workshop on FAUS project eligibility and procedural requirements has been developed and is being presented in various States.
- Design Standards for Resurfacing, Restoration, and Rehabilitation (3R) of Facilities. Criteria and standards for the "3R" category of projects are being developed by FHWA. This should result in States and local governments having a clearer understanding of what is permissible under the FAUS program.
- Streamlining of Non-Major Process. FHWA has developed a summary of procedures that are applicable to non-major actions that have an estimated cost of less than \$500,000 a site. These procedures are already in the Federal-Aid Highway Program Manual, providing flexibility to divisional offices and State transportation agencies.
- Certification Acceptance. FHWA has simplified the certification acceptance process to enable qualified cities to process entire FAUS projects where an agreement is reached between the State transportation agency and the local government. New regulations have been issued that can provide capable local governments with certification acceptance for FAUS processing.

Staff from regional and divisional offices are generally available to assist local governments in all phases of processing FAUS projects.

Legislative Changes

There are no current legislative proposals by the administration or Congress that will make substantive changes in the FAUS process. There have been some changes in the manner of apportionments; States have been given the authority to apportion the funds for areas having population between 5,000 and 199,000. This change is not expected to affect the FAUS process significantly.

POSSIBLE SOLUTIONS

As the preceding section attests, much is being done by the various FAUS program participants to accelerate its implementation --

- Efforts by FHWA to cut its red tape.
- Cooperative efforts by the local governments, States, and FHWA to allow more of the program processing to be handled by the local government.
- A review of design standards for certain classes of projects.

These exemplary efforts will have a positive effect on the FAUS program. There are, doubtless, other efforts underway within the FHWA, State transportation agencies, metropolitan planning organizations, and local governments to accelerate the implementation of FAUS funds and improve their obligation rate. Although there is still a problem in obligating the funds, the situation has improved since the initial years. The Transportation Task Force has recommended that research be conducted to define successful efforts at accelerated implementation, and that this research be directed at a conference of selected FAUS program participants. Public Technology, Inc. currently has a contract with FHWA to conduct such research and to put on a conference for FHWA Region 3. If this conference is successful, similar conferences may be put on for other regions. The research and conference should provide all FAUS program participants with information on the various efforts, and would thereby stimulate the development of new efforts and procedural changes.

Chapter 4

CONTACTS

URBAN MASS TRANSPORTATION ADMINISTRATION

The UMTA budget justification for FY 1981 will indicate for the first time a request to set aside a portion of section 3 funds under provisions of section 4(i) for financing of exemplary and innovative demonstration projects. These funds will provide additional Federal support for testing new ideas and techniques and represent an expansion of the funding for exemplary projects which currently exists under section 6.

Contact: Ronald J. Fisher, Director
Office of Service and Methods Demonstrations,
UPM-30
Urban Mass Transportation Administration
400 7th Street, S.W.
Washington, D.C. 20590
202/426-4995

The Urban Mass Transportation Administration has no specific contact for the subject of Chapter 2 of this bulletin. Depending upon the specific question, the appropriate UMTA regional office or one of the offices of the five Associate Administrators should serve as an initial contact. An UMTA organization chart and a list of the regional offices are included which show the names and phone numbers of the Associate Administrators and Regional Administrators.

FEDERAL HIGHWAY ADMINISTRATION

For Chapter 3, there are four contacts at the Washington, D.C. offices of the Federal Highway Administration. The regional and division offices of FHWA are also contacts for questions about specific projects. The four Washington contacts and their offices are:

- Federal-Aid Division
For general information on policies related to FAUS processing requirements.

Contact: Morris Reinhardt, Chief
Federal-Aid Division, HNG-10
400 7th Street, S.W.
Washington, D.C. 20590
202/426-0442

- Highway Design Division
For information about proposed design standards for urban projects.

Contact: Seppo Sillan
Highway Engineer
Highway Design Division, HNG-21
400 7th Street, S.W.
Washington, D.C. 20590
202/426-0320

- Urban Planning Division
For information about planning requirements related to FAUS projects and metropolitan planning organizations.

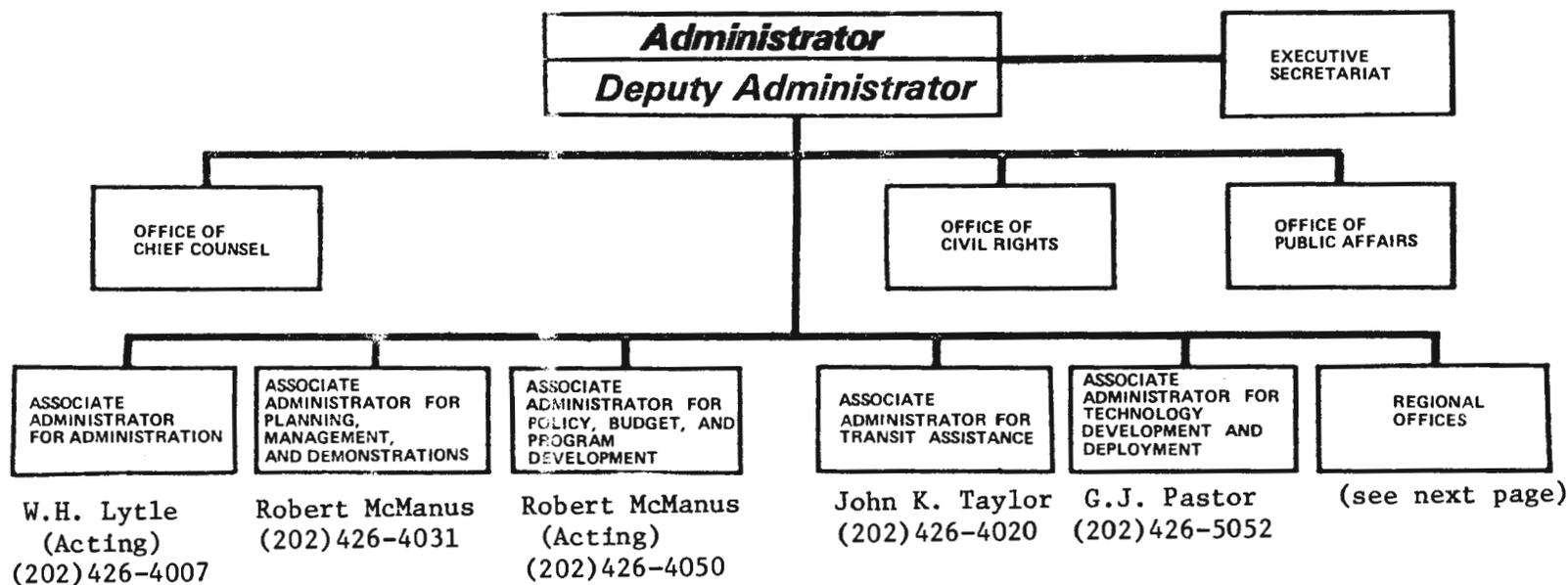
Contact: Sam W. P. Rea, Jr.
Intergency Review Branch, HHP-21
400 7th Street, S.W.
Washington, D.C. 20590
202/426-2961

- Region 15 (Demonstration)
For information about FHWA's Demonstration projects and technological developments appropriate for FAUS projects.

Contact: Thomas Edick
Regional Engineer
Region 15
1000 North Glebe Road
Arlington, VA 22201
703/557-0522

URBAN MASS TRANSPORTATION ADMINISTRATION

19



UMTA FIELD OFFICES

ADDRESS

Region I Peter N. Stowell, Regional Director, Transportation Systems Center, Kendall Square, 55 Broadway, Cambridge, MA 02142, Tel: (617) 494-2055; FTS 837-2055.

Region II Hiram Walter, Regional Director, Suite 14-130, 26 Federal Plaza, New York, NY 10007, Tel: (212) 264-8162; FTS 264-8162.

Region III Franz K. Gimmler, Regional Director, Suite 1010, 434 Walnut Street, Philadelphia, PA 19106, Tel: (215) 597-8098; FTS 597-8098.

Region IV Carl Richardson, Acting Regional Director, Suite 400, 1720 Peachtree Road, N.W., Atlanta, GA 30309; Tel: (404) 881-3948; FTS 257-3948.

Region V Theodore Weigle, Regional Director, Suite 1740, 300 S. Wacker Drive, Chicago, IL 60606, Tel: (312) 353-2789; FTS 353-2789.

Region VI Glen Ford, Regional Director, Suite 9A32, 819 Taylor Street, Fort Worth, TX 76102, Tel: (807) 334-3787; FTS 334-3787.

Region VII Lee Waddleton, Regional Director, Suite 303, 6301 Rock Hill Road, Kansas City, MO 64131, Tel: (816) 926-5053; FTS 926-5053.

Region VIII Lou Mraz, Regional Director, Suite 1822, Prudential Plaza, 1050 17th Street, Denver, CO 80265, Tel: (303) 837-3242; FTS 327-3242.

Region IX Dee Jacobs, Regional Director, Suite 620, Two Embarcadero Center, San Francisco, CA 94111, Tel: (415) 556-2884; FTS 556-2884.

Region X Aubrey Davis, Regional Director, Suite 3142, Federal Building, 915 Second Avenue, Seattle, WA 98174, Tel: (206) 442-4210; FTS 399-4210.

TTC Transportation Test Center, Gunars Spons, UMTA Programs Director, Pueblo, CO 81001, Tel: (303) 545-5660; FTS 326-9111.

Chapter 5

ANNOTATED BIBLIOGRAPHY

The sources referred to in this bibliography were selected to provide an overview of the various aspects of the Federal-Aid Highway Program (Chapter 3). There are no sources listed for the subject of Chapter 2, Mass Transportation Assistance.

Bennett, Nancy. Financing Federal-Aid Highways. Washington, D.C.: U.S. Department of Transportation, Federal Highway Administration. May, 1979.

This is an exposition of the financing of the Federal-Aid Highway Program, explaining congressional procedures and the distinctions among obligations, appropriations, and appointments. The Highway Trust Fund's composition, interprogram transfers, and appropriation deductions are all covered in this report.

Transportation Advisory Board. A Guide to Processing Federal Aid Urban Projects for Transportation Facilities in the Minneapolis/St. Paul Metropolitan Area. Minneapolis-St. Paul, Minnesota. Metropolitan Council of the Twin Cities Area, October, 1974.

This is an excellent example of a guide to processing FAUS projects. It describes the State and regional policies that are superimposed on the FHWA guidelines.

U.S. Department of Transportation. America on the Move. Federal Highway Administration. Washington, D.C.: 1977.

This is a general brochure that includes a background discussion on the Federal-Aid Highway Program and on the Federal-State relationship.

U.S. Department of Transportation. TSM and Federal Aid Highway Funds for Transportation Improvements. Washington, D.C.: 1977.

This pamphlet describes the funding programs available for projects that are part of the Transportation System Management (TSM) plans.

U.S. Department of Transportation. Your Guide to Programs of the Federal Highway Administration. Washington, D.C.: Federal Highway Administration, 1977.

This 32-page document describes each major FHWA program of assistance. It is written for a general audience and lists the authority, purpose, limitations, and eligibility characteristics of each program. A glossary of terms is included. The brochure is tailored for each of the ten Federal regions by the inclusion of a directory of FHWA, State highway agency, and metropolitan planning organizations in the region. The document is available from FHWA Regional Administrators.

U.S. General Accounting Office, Comptroller General. Communication and Management Problems Hinder the Planning Process for Major Mass Transit Projects. Washington, D.C.: U.S. General Accounting Office, 1979. (CED-79-82, June 5, 1979).

Discusses alternatives analysis requirements of the Urban Mass Transportation Administration. Cites management weaknesses in the program, including lack of written guidance, ineffective communication, and decisions inconsistent with Federal policy. Includes case histories of applications for funds for fixed rail systems.

Wheeler, Porter K. Highway Assistance Programs: A Historical Perspective. Washington, D.C.: Congressional Budget Office, February, 1978.

This is a detailed history and status of the Federal-Aid Highway Program. It was prepared at the request of the Senate Budget Committee, and focuses on legislation since the 1956 act that established the Highway Trust Fund.

