

**NCHRP 8-36, Task 45**

*Multistate Corridor Planning*

**final  
report**

*prepared for*

**National Cooperative Highway Research Program**

*prepared by*

**Cambridge Systematics, Inc.**

*with*

Regal Decisions

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Cambridge Systematics, Inc.  
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# **Executive Summary**

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# Executive Summary

This report presents findings of research into multistate corridor planning efforts. It describes the historical development of these efforts with emphasis on relevant Federal legislation and case studies of multistate and multijurisdictional organizations and alliances. Based on the patterns of previous efforts, this report describes an analytical framework for evaluating success factors in multistate corridor planning. This report concludes with a synthesis of the success factors for multistate efforts including options for federal government involvement.

One of the key pieces of Federal legislation related to multistate corridor planning was the TEA-21 inclusion of the National Corridor Planning and Development (NCPD) Program and the Coordinated Border Infrastructure (CBI) Program, commonly referred to as the Borders and Corridors program. The Borders and Corridors program was sponsored by the Federal Highway Administration (FHWA) and it funded portions of a small number of multistate corridor planning efforts during the 1990s. The program was affiliated to some successful projects, but over the years of its implementation it transformed from a discretionary program to a Congressionally-designated program and the funds became stretched between several planning efforts and improvement projects. Many observers and participants in the program felt that it did not live up to its potential in recent years. Nevertheless, the experience of the Borders and Corridors program provides insights into potential goals and roles of the Federal government related to multistate corridor planning efforts.

In 2001, the FHWA sponsored the development of a white paper and a national forum on multistate/jurisdictional transportation issues. The white paper centered around case studies of seven multijurisdictional coalitions: 1) I-95 Corridor Coalition, 2) the Latin America Trade and Transportation Study, 3) I-69, 4) Joint Working Committee/Binational Transportation Planning Study, 5) the International Mobility and Trade Corridor Project, 6) the Midwest Regional Rail Initiative, and 7) the Appalachian Regional Commission. This white paper identified a set of patterns and lessons learned that are applicable in today's environment of multistate corridor planning.

The case studies demonstrated many common themes. For example, funding issues are a major driver of these coalitions. Funding is important at the time of coalition formation, because travel expenses are often difficult to secure from individual participants at member organizations. Organizations that could defray some of these travel costs experienced high levels of attendance at these critical early meetings. Funding is also critical to the next phase for many coalitions, which is often to perform a study of the coalition's joint needs and issues. While pooled resources are often utilized to fund these studies, developing a fair allocation of costs to each of the member organizations is often politically difficult. The final phase for a coalition is project implementation. Many coalitions

were not able to implement projects that addressed their needs due to lack of funding. Therefore, the success of most coalitions was seen to depend directly on the ability of the individual members to set priorities among their projects and on the ability of the coalition to secure additional funding from Federal sources.

Another key development in multistate corridor planning was that the FHWA convened a National Forum on Multistate/Jurisdictional Transportation Issues to examine both past accomplishments and future prospects for multistate/jurisdictional efforts dealing with transportation issues. This forum was attended by 164 individuals from 33 states demonstrating the broad interest in multistate alliances. The conclusions of the forum in many ways mirrored those of the FHWA white paper. Ad hoc, loose organizational structures were cited as the most favorable for soliciting participation in multistate coalitions. Securing funding was noted as an essential element to the success of these alliances, but difficult to maintain without national and multistate leadership. In addition, participants in this forum noted that the role of multistate organizations often overlaps with the roles of other organizations such as the metropolitan planning organizations (MPOs) and existing non-transportation alliances such as economic development organizations.

This report also describes the recent work of four active multistate corridor planning efforts. The I-95 Corridor Coalition is the most active multistate coalition in the country. Therefore, its structure and activities can be used as a model and a standard to compare with other multistate planning efforts. One of the reasons for this success is that the I-95 Corridor Coalition has a geographic advantage over other coalitions. The small size of the states in the I-95 corridor results in an organic overlapping of transportation issues that is not paralleled in other corridor planning efforts. However, the I-95 Corridor Coalition has also been able to capture and maintain a momentum as a result of strong leadership and sustained membership outreach. The Coalition has been able to identify and implement a broad range of multistate corridor projects that can be studied in other regions. These projects include multimodal traveler information, coordinated electronic payment systems, and freight rail improvement studies for the Mid-Atlantic and Northeastern regions of the coalition.

More recently, the I-95 Corridor Coalition has developed a set of performance measures to provide quantitative measures for comparing project alternatives, enable tracking of projects after they are implemented, and monitor the progress of the organization as a whole. The I-95 Corridor Coalition is also in the process of developing a multimodal, GIS-based travel demand model to estimate and forecast vehicle movements along its entire corridor. This would make the I-95 Corridor Coalition the first multistate coalition to develop a travel demand model, a feature that is often lacking from multistate planning efforts. Additionally, the I-95 Corridor Coalition performs several member outreach programs, including frequent surveys of members to gather qualitative feedback on the progress and direction of the organization.

This report also included case studies of three major multistate planning efforts that were started after the 2001 FHWA White Paper: 1) the West Coast Corridor Coalition (WCCC), 2) the I-10 National Freight Corridor Partnership (the I-10 Partnership), and 3) the North America Super Corridor Coalition (NASCO). Key members of these organizations were interviewed to enquire about 11 topics, including gathering information on the reasons for participation, the organizational structure and mission statement, the purposes and outcomes, the data and analytical tools used, private sector involvement, and funding. While these coalitions were in the beginning phase, they reiterated some of the themes heard in previous multistate coalitions.

However, many new themes are also emerging for these more recent multistate planning efforts. In particular, there is a need to quantitatively demonstrate the nature of the overlapping needs within these multistate coalitions. This would indicate that additional data and analytical tools would be a useful investment for these coalitions. If these tools are synchronized at the national level, then they will also allow for an objective comparison of projects between multistate coalitions by Federal funding agencies. In addition, while securing Federal funding is a high priority for each of these organizations, there was also a significant amount of interest in innovative funding techniques in terms of the operations of the coalitions and especially for project development. These innovative funding techniques could include allowing for generating revenues on roadways not currently allowed and generating revenues across multiple jurisdictions simultaneously such as for ports along the West Coast.

Overall, these case studies illustrate that there is a continued demand for multistate planning efforts, and that these are likely to increase in the future. Because the current funding and planning paradigms currently operate through states, significant human and financial resources are needed to maximize the opportunities of multistate efforts. The I-95 Corridor Coalition provides an evolving model for the potential accomplishments of such an organization, but Federal funding is the likely lever point through which a rational and coordinated system of multistate planning efforts can be integrated into the current transportation planning and project development process.

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# **1.0 Introduction**

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# 1.0 Introduction

## 1.1 OBJECTIVES OF THIS STUDY

Increasingly, state departments of transportation (DOTs) are facing problems that transcend their boundaries and require regional solutions. A good example of this is the desire of states to coordinate technology solutions and information systems for commercial vehicle operations (CVO) programs (such as safety inspections and permitting) and intelligent transportation systems (ITS) applications in long-distance corridors. The advent of the North American Free Trade Agreement (NAFTA) also brought states together with their Canadian and Mexican counterparts to address binational transportation and facility needs. More recently, there has been an increased awareness of the need to address freight and trade corridor issues, where economic markets extend over multistate regions with multistate coalitions. But as states must continue to act within their own jurisdiction, this type of multistate planning and cooperative implementation presents significant challenges. Fortunately, there is a growing body of examples of multistate corridor planning efforts from which to learn – learning from both the mistakes made and the successes.

The objectives of this report are to: 1) review the historical development of programs on multistate corridor planning; 2) document the recent experiences of select multistate corridor coalitions; 3) develop a framework for analyzing success in multistate corridor planning; and 4) analyze multiple multistate planning efforts to identify the factors that contribute to success and that lead to pitfalls with particular emphasis on the necessary institutional mechanisms to facilitate successful multistate corridor planning in the future.

## 1.2 BACKGROUND

With the passage of Intermodal Surface Transportation Efficiency Act (ISTEA) and the Transportation Equity Act for the 21<sup>st</sup> Century (TEA-21), multistate alliances and coalitions have proliferated. To some extent, the multistate corridor coalitions of the TEA-21 era have built on the earlier efforts associated with ITS corridor deployments and CVO programs. More recently, several of these coalitions have moved beyond this initial focus. For example, the I-95 Corridor Coalition has expanded beyond its initial ITS and CVO programs to include freight planning, and most recently, regional freight rail programs in the Mid-Atlantic Rail Operations Study. This trend towards an expanded focus of multistate corridor coalitions is likely to continue in the future.

Clearly, Federal financial support has facilitated a leveraging of state and local participation in multijurisdictional efforts. The Section 1118 and 1119 programs in TEA-21 (the so-called “Corridors and Borders” program) have been a major catalyst

for multistate corridor planning in the years just prior to and immediately after their passage. The recently passed Safe, Accountable, Flexible, Efficient Transportation and Equity Act: A Legacy for Users (SAFETEA-LU) also includes provisions to encourage continued multistate trade corridor planning. As states move forward to respond to these opportunities and challenges, many questions need to be answered about what types of problems are best addressed through multistate efforts:

- What are the best organizational models?
- How can Federal funding be most effectively leveraged?
- How can individual states maintain the independence needed to exercise their implementation jurisdiction, while still effectively coordinating their actions with those of their multistate partners?

A white paper that accompanied a FHWA National Forum on the topic was prepared in 2001 and titled, *Challenges with Multistate/Jurisdictional Transportation Issues*. This paper summarized seven case studies involving multistate/jurisdictional alliances, including two highway/freight corridors (I-95 and I-69); one passenger rail corridor (the Midwest Regional Rail Initiative); and one Canadian border crossing initiative (the International Mobility and Trade Corridor Project).

Documentation of the successes and challenges of multistate transportation planning was also presented at the Forum. This forum identified multijurisdictional decision-making in all scales, ranging from an interstate bridge organization to a multistate economic area. This forum identified four challenges in regards to the operation of multistate/jurisdictional efforts: 1) the number of multistate/jurisdictional organizations competing for funds is larger than the Federal financial resources available to support such efforts; 2) the perceived degree of success of multistate/jurisdictional organizations varies depending on the group; 3) there is a potential distortion of the multistate/jurisdictional planning efforts relative to the within-state planning efforts; and 4) overlapping roles relative to existing coalitions, such as MPOs.

## 1.3 STRUCTURE OF REPORT

This report is structured into five chapters. This chapter is Chapter 1.0 – Introduction. It provides the objectives of the study and provides a general background on multistate planning. Chapter 2.0 describes the historical development of multistate and multijurisdictional planning, including a description of related Federal legislation, such as the Borders and Corridors program, the case studies documented in the FHWA white paper on Multistate/Jurisdictional Planning, and the National Forum on Multistate/Jurisdictional Planning. Chapter 3.0 lays out a theoretical framework for analyzing the factors that lead to success and failure of multistate corridor coalitions. Chapter 4.0 describes specific multistate corridor planning efforts. It begins with a description of the most recent activities of the I-95 Coalition. The I-95 Coalition is the most active multi-

state corridor alliance in the country. Chapter 4.0 also includes three formal case studies. Each case study was developed by interviewing key members of three of the most recent multistate corridor coalitions: 1) the West Coast Corridor Coalition, 2) the National I-10 Freight Corridor Partnership, and 3) the North America Super Corridor Coalition. Chapter 5.0 synthesizes the results of the case studies and compares the early experiences of the recent case studies to the framework described in Chapter 3.0. Chapter 5.0 also provides guidance on potential roles for Federal, state, and local government to participate in these coalitions.

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## **2.0 Historical Development of Multistate Planning**

## 2.0 Historical Development of Multistate Planning

Multistate corridor planning has always been a part of transportation planning. For example, in one of its earliest (and simplest) phases, multistate corridor planning was required to build transportation infrastructure between two cities in different states, such as during the initial creation of the nation's Interstate system. The Federal government took a more formal interest in multistate planning during the ISTEA era. However, the TEA-21 initiated the first of three major efforts designed to support multistate planning. First, the NCPD/CBI was established as part of TEA-21 in the mid-1990s to provide funding for major corridor planning and project development. While this program did not specifically focus on multistate corridors, several of the projects that were funded by this program cross state boundaries and, therefore, required multistate planning. Second, the FHWA developed a white paper on *Challenges with Multistate/Jurisdictional Transportation Issues*. This white paper documented the experience of seven multijurisdictional transportation projects, and developed a summary on the typical types of challenges faced with these types of efforts. Third, the FHWA followed up the white paper with a two-day forum on the same topic in which participants discussed previous experiences and developed future options for multistate/jurisdictional decision-making. This chapter discusses these early multistate planning efforts, and then describes each of the three major programs in detail and lays the foundation for the theoretical framework that was developed in this project and the case studies that were used to test the framework.

### 2.1 MULTISTATE PLANNING DURING THE ISTEA ERA

Following the passage of ISTEA, over 40 corridors have been designated in Federal transportation legislation as high-priority corridors. This designation results in these corridors being included as part of the National Highway System (NHS) along with interstates, bridges, and certain other facilities. This designation also allows NHS, Surface Transportation Program, Bridge Program, and in certain instances, Interstate Maintenance funds authorized by ISTEA to be used to fund improvements to some high-priority corridor routes. Some of the high-priority corridors are entirely within a single state, but the majority is multistate corridors.

ISTEA also included provisions related to corridors and separate provisions related to borders. These laid the foundation for what became the NCPD/CBI Program. The corridor elements of ISTEA were Section 1105. It encouraged

development of multistate transportation corridors and had several provisions, including the following:

- Encouraging the development of transportation corridors;
- Defining purposes (e.g., identifying corridors of significance, allowing states to give priority to funding these corridors);
- Enumerating 21 corridors and requiring inclusion of these corridors on the NHS;
- Encouraging long-range planning to upgrade these corridors;
- Directing about \$1.2 billion in funding to specific projects on these corridors;
- Establishing allocation rules for this funding and for corridor revolving funds; and
- Establishing an annual \$8 million discretionary program for feasibility and design studies on the designated corridors.

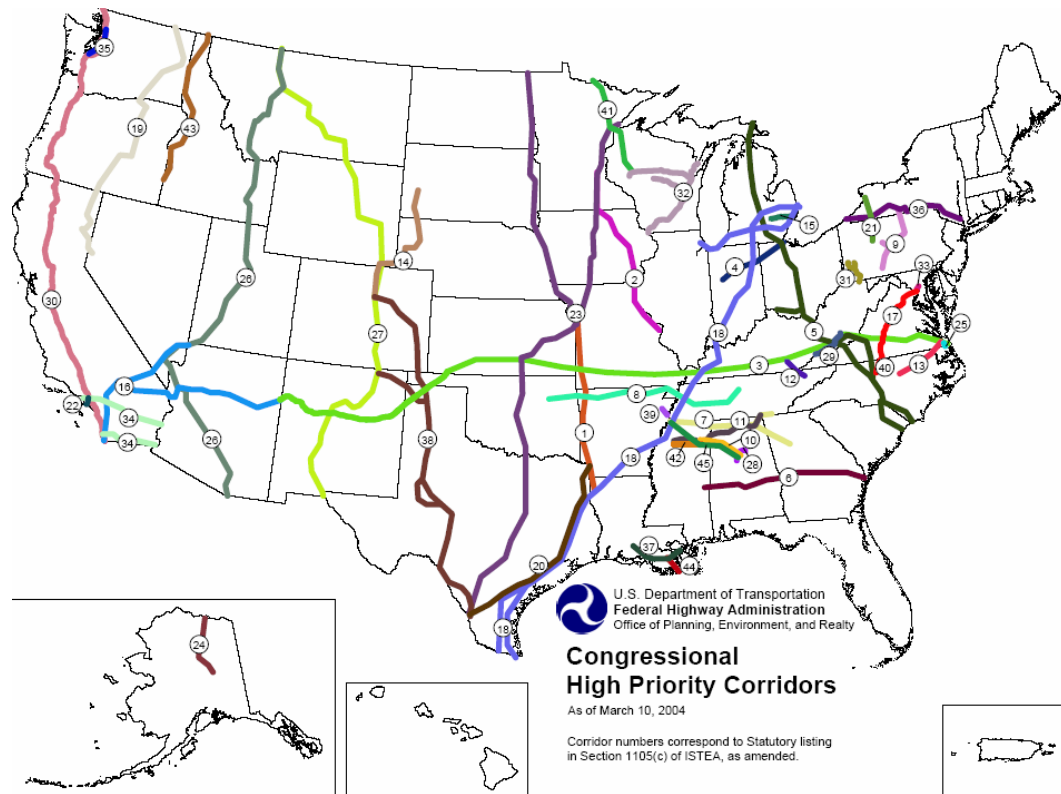
There were a number of amendments to Subsection (c) of 1105 during implementation of ISTEA. The amendments were in Appropriations Acts, as well as the NHS Designation Act of 1995. By the time of the enactment of TEA-21 in 1998, the number of high-priority corridors was increased from 29 to 45. These corridors are described in Table 2.1 and shown in Figure 2.1.

**Table 2.1 Name and Location of High Priority Corridors**

<b>No.</b>	<b>Corridor Name</b>	<b>Corridor Location by State</b>
1	North-South Corridor	Missouri, Arkansas, and Louisiana
2	Avenue of the Saints Corridor	Missouri, Iowa, and Minnesota
3	East-West Transamerica Corridor	Virginia, West Virginia, Kentucky, Illinois, Missouri, Arkansas, Kansas, Oklahoma, Texas, Colorado, New Mexico, Utah, Arizona, Nevada, and California
4	Hoosier Heartland Industrial Corridor	Indiana and Ohio
5	I-73/74 North-South Corridor	Michigan, Ohio, Kentucky, West Virginia, Virginia, North Carolina, and South Carolina
6	United States Route 80 Corridor	Mississippi, Alabama, and Georgia
7	East-West Corridor	Alabama, Georgia, Mississippi, and Tennessee
8	Highway 412 East-West Corridor	Tennessee, Arkansas, and Oklahoma
9	United States Route 220 and the Appalachian Thruway Corridor	(I-99) Pennsylvania and New York
10	Appalachian Regional Corridor	Mississippi and Alabama
11	Appalachian Regional Corridor	Mississippi, Alabama, and Tennessee
12	United States Route 25E Corridor	Kentucky, Tennessee, and Virginia
13	Raleigh-Norfolk Corridor State Route 64 and 17	North Carolina and Virginia
14	Heartland Expressway	Colorado, Nebraska, and South Dakota
15	Urban Highway Corridor-M-59	Michigan
16	Economic Lifeline Corridor	California, Arizona, and Nevada
17	Route 29 Corridor	North Carolina, Virginia, and District of Columbia
18	I-69 Corridor	Michigan, Illinois, Indiana, Kentucky, Tennessee, Mississippi, Arkansas, Louisiana, and Texas
19	United States Route 395 Corridor	Washington, Oregon, California, and Nevada
20	United States Route 59 Corridor (I-69)	Texas
21	United States Route 219 Corridor	New York and Pennsylvania

**Table 2.1 Name and Location of High Priority Corridors  
(continued)**

<b>No.</b>	<b>Corridor Name</b>	<b>Corridor Location by State</b>
22	The Alameda Transportation Corridor	California
23	The Interstate Route 35 Corridor	Texas, Oklahoma, Kansas, Missouri, Iowa, and Minnesota
24	The Dalton Highway	Alaska
25	State Route 168	Virginia
26	The CANAMEX Corridor	Arizona, Nevada, Utah, Idaho, and Montana
27	The Camino Real Corridor	Texas, Colorado, New Mexico, Wyoming, and Montana
28	The Birmingham Northern Beltline	Alabama
29	The Coalfields Expressway	West Virginia and Virginia
30	Interstate Route 5	California, Oregon, and Washington
31	The Mon-Fayette Expressway and Southern Beltway	Pennsylvania and West Virginia
32	The Wisconsin Development Corridor	Wisconsin
33	The Capital Gateway Corridor	District of Columbia and Maryland
34	The Alameda Corridor East and Southwest Passage	California
35	Everett-Tacoma FAST Corridor	Washington
36	New York and Pennsylvania State Route 17 (I-86)	New York and Pennsylvania
37	United States Route 90	Louisiana
38	The Ports-to-Plains Corridor	Texas, Oklahoma, and Colorado
39	United States Route 63	Arkansas
40	The Greensboro Corridor	Virginia and North Carolina
41	The Falls-to-Falls Corridor	Minnesota and Wisconsin
42	A portion of Corridor V of the Appalachian Development Highway System	Mississippi
43	The United States Route 95 Corridor	Idaho
44	The Louisiana Highway 1 Corridor	Louisiana
45	United States Route 78 Corridor and Corridor X of the Appalachian Development Highway System	Tennessee, Mississippi, and Alabama

**Figure 2.1 High-Priority Corridors**

This focus on high-priority corridors in the ISTEA legislation provided momentum to several pre-existing, informal multistate planning efforts. In January 1992, the FHWA met with a small working group of northeast states to explore the possibility of pursuing a cooperative multistate planning approach to managing and developing the regional transportation infrastructure. The desire was to effectively leverage the new ISTEA provisions for ITS to maximize the current and future efforts and resources of each of the state's transportation agencies. In late 1992, when the U.S. DOT first established the priority corridors, this small working group of northeast states became the I-95 Corridor Coalition. Many consider the I-95 Corridor Coalition to be the most successful example of multistate corridor planning in the country. This coalition is discussed in more detail in Chapter 4.0.

Another multistate planning effort that was formed in close connection with ISTEA legislation is the coalition that was formed around I-69. This coalition was comprised of eight transportation agencies and the FHWA to study the feasibility of a proposed route extending nearly 1,900 miles from Port Huron, Michigan to the Lower Rio Grande Valley. This corridor is actually often called Corridor 18 in reference to it being the 18<sup>th</sup> corridor of national significance to be included in the NHS. This corridor has been expanded during subsequent legislation. The NHS Designation Act of 1995 redefined Corridor 18 by including an

extension from Houston, Texas to the Lower Rio Grande Valley at the Mexican border. A major impetus for the creation of this coalition was to leverage a multistate effort to secure Federal funding for transportation improvements. Other more informal multistate coalitions were also formed based on this high priority corridor designation to attempt to solve shared transportation problems and secure additional Federal funding.

## 2.2 MULTISTATE PLANNING DURING THE TEA-21 ERA

During the last years of ISTEA, several legislative proposals were made and debated in regards to the next transportation reauthorization bill. Each of the proposals recognized the significance of multistate planning in the long-term transportation planning process for the nation. The U.S. DOT proposal, the National Economic Crossroads Transportation Efficiency Act (NEXTEA), was made public in March 1997. The Senate proposal, ISTEA-II, was passed in March 1998. The House of Representatives proposal, Building Efficient Surface Transportation and Equity Act (BESTEA), was passed in April 1998. A summary of these three proposals, as they relate to the Borders and Corridors program, is shown below in Table 2.2.

**Table 2.2 Pre-TEA-21 Legislative Proposals**

Provisions	NEXTEA	ISTEA-II	BESTEA
Corridor provisions	\$18 million over 6 years for multistate planning	\$18 million over 6 years in planning, plus portion of \$750 million capital improvement program	\$1.25 billion over 6 years for planning through construction
Border provisions	\$240 million over 6 years for border infrastructure	\$8.4 million over 6 years in planning, plus portion of \$750 million capital improvement program	\$570 million over 6 years for planning through construction
Other modifying provisions	Guaranteed at least 2 grants per year for each border	Both corridor and border projects were eligible for the capital improvement program; up to \$10 million per year could be transferred to GSA for transportation infrastructure for law enforcement	No more than 60% of border funds would go to either Canada or Mexico; up to \$125 million available for state motor vehicle inspection facilities

## 2.2.1 Overview of Borders and Corridor Program

In 1998, TEA-21 was passed. This legislation formalized two programs that led directly to an increase in the Federal support for multistate planning efforts. The NCPD and CBI Programs were setup as discretionary grant programs funded by a single funding source as part of TEA-21. These programs were designed to provide funding for planning, project development, construction, and operation of projects that serve border regions near Mexico and Canada, and high-priority corridors throughout the United States. Under the NCPD program, states and MPOs were eligible for discretionary grants for corridor feasibility, corridor planning, multistate coordination, environmental review, and construction. Under the CBI program, border states and MPOs were eligible for discretionary grants for transportation and safety infrastructure improvements, operation and regulatory improvements, and coordination and safety inspection improvements in a border region. The NCPD/CBI is also referred to as CORBOR, but more commonly known as the “Borders and Corridors.” As defined in TEA-21, the Borders and Corridors program provided \$700 million (\$140 million each year for 5 years) to fund planning through construction of corridor and border projects and to transfer funds to the U.S. General Services Administration (GSA). Table 2.3 shows the five largest project allocations for the five fiscal years between 1999 and 2003. Only two of the program allocations are multistate in nature, and both of these allocations are for studies rather than design or construction of actual projects. Nevertheless, studying the trends of the Borders and Corridors program will provide insight on how Federal funding influences project development at the multistate level.

## 2.2.2 Funding Trends of Borders and Corridors Program

The Borders and Corridors program intensified the formation and activity level of many multistate planning alliances. Between fiscal years 1999 and 2003, over \$9 billion of funding requests for Borders and Corridors projects were submitted by transportation planning agencies. Over these same years, only \$1.1 billion of awards were made in this program. While this is higher than what was planned for the full five years of ISTEA, it falls far short of the level of requests during the same time period as shown in Figure 2.2. The majority of funding requests for this program was denied, and when awards were made the awards were often significantly less than the requested amount. It is difficult to determine the percentage of these submittals that were from multistate planning alliances rather than individual state DOTs and MPOs. However, based on the intense competition for Federal funding, transportation agencies often sought to develop and foster as many partnerships as possible both within their state and across state lines. In this manner, the Borders and Corridors program encouraged multistate planning in several regions in the country, including multistate planning for funding requests that were ultimately denied.

**Table 2.3 Largest Borders and Corridors Project Allocations Between 1999 and 2003**

<b>Year</b>	<b>State</b>	<b>Project Title</b>	<b>Award (in Millions)</b>
1999	Michigan	Design of an improved Ambassador Bridge gateway and reconstruction of nearby portions of I-75/I-96	\$10.6
	Arkansas	Environmental Studies for future I-69 (multistate)	\$10.0
	Washington	Construction of a number of grade separations and port access improvements in the corridor from Everett to Tacoma, generally known as the FAST corridor	\$10.0
	California	Environmental review, detailed design, and right-of-way (ROW) acquisition for SR 905	\$7.4
	Texas	Construction of freeway overpasses and connectors on FM 3464 from I-35 to the new border crossings in Laredo	\$6.2
2000	Texas	Environmental study for Corridor 18 from northeast Texas to lower Rio Grande Valley	\$13.1
	West Virginia	Construction work on the Mon/Fayette Expressway in Monongalia County	\$10.5
	Wisconsin	Reconstruction and widening along SR 29 in the vicinity of Chippewa Falls	\$10.5
	California	Environmental study, design, and ROW acquisition along SR 905 in San Diego metropolitan area	\$7.5
	Illinois	Reconstruction and rehabilitation on the Stevenson Expressway between I-90-94 and I-294 in Chicago metropolitan area	\$7.0
2001	Florida	U.S. 19, Florida	\$8.8
	West Virginia	Coalfields Expressway, West Virginia	\$8.8
	Arkansas	Environmental and Location studies for future I-69 from Sarnia and Windsor, Ontario Canada to Laredo and the Lower Rio Grande Valley (U.S./Mexico Border) (multistate project)	\$5.0
	Illinois	I-74, bridge Moline, Illinois	\$4.9
	Kentucky	I-66, Somerset to London, Kentucky	\$4.4

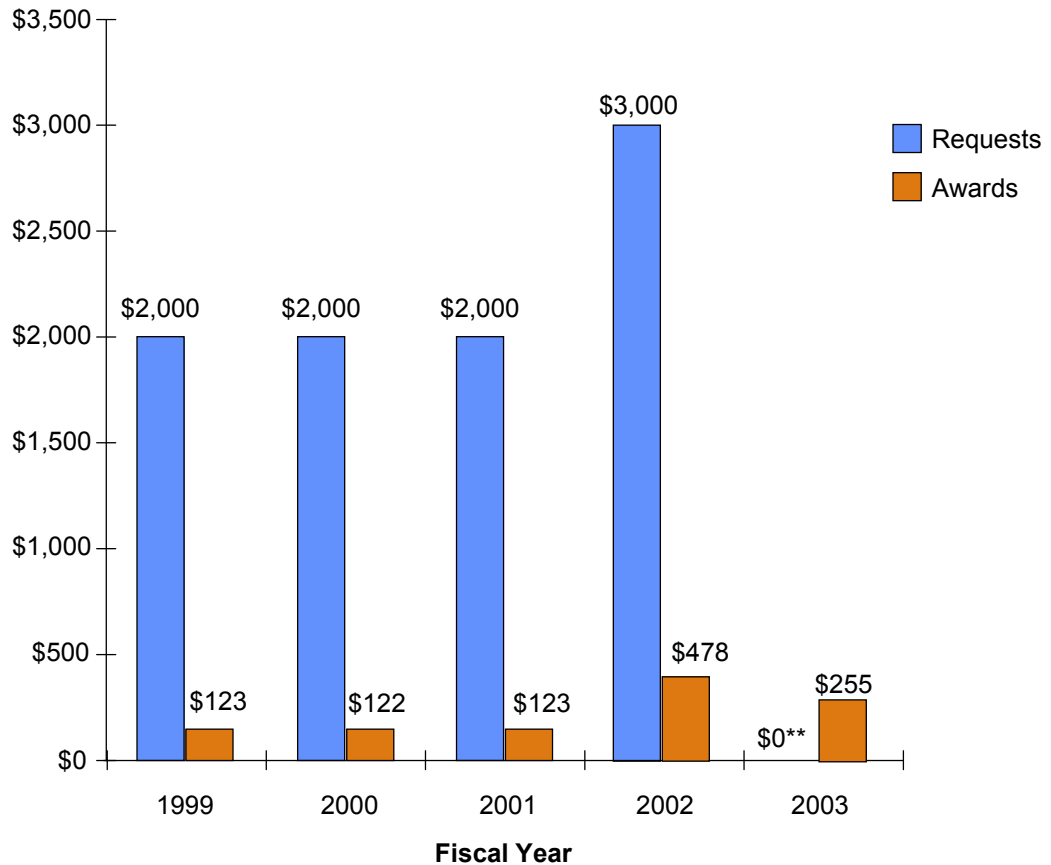
**Table 2.3 Largest Borders and Corridors Project Allocations  
Between 1999 and 2003 (continued)**

<b>Year</b>	<b>State</b>	<b>Project Title</b>	<b>Award (in Millions)</b>
2002	Florida	U.S. 19	\$24.3
	Alabama	Tuscaloosa Eastern Bypass from I-59 to Rice Mine Road	\$19.4
	Kentucky	I-66	\$19.4
	Washington	FAST Corridor project	\$19.4
	West Virginia	King Coal Highway	\$19.4
2003	Texas	SR 130 ROW Williamson Guadalupe Travis and Caldwell, Texas	\$10.0
	Alabama	Tuscaloosa Eastern Bypass, Alabama	\$10.0
	Missouri	U.S. 60 Carter & Butler Counties, Missouri	\$10.0
	West Virginia	Coalfields Expressway McDowell County, West Virginia	\$9.0
	Kentucky	Monticello Street Overpass, Kentucky	\$7.8

## Figure 2.2 Requests and Awards for Corridors and Borders Program

Fiscal Year 1999 to 2003

Total Requests Vs. Awards (in Millions of Dollars)



\*\*Not available

There was a significant amount of geographic concentration of funding for the projects funded through the Borders and Corridors program. Almost 40 percent of total allocations between Fiscal Year (FY) 1999 and FY 2003 were concentrated on five states: West Virginia, Texas, Kentucky, California, and Washington. This resulted in the other 45 states receiving only 60 percent of the funding during that time period. However, in terms of multistate planning efforts, the most significant funding trend in the Borders and Corridors program was the shift away from discretionary funding and towards funding projects specifically designated by Congress. As shown in Table 2.4, in FY 1999, all of the \$123 million were discretionary. Each year after FY 1999, Congress designated a higher percentage of the funding, so that by FY 2002 and FY 2003, Congress designated all of the projects in the Borders and Corridors program.

**Table 2.4 Discretionary and Designated Spending for Corridors and Borders Program**

<b>Fiscal Year</b>	<b>1999</b>	<b>2000</b>	<b>2001</b>	<b>2002*</b>	<b>2003</b>	<b>Total YTD</b>
Discretionary	\$123	\$62	\$42	\$0	\$0	<b>\$227</b>
Congressional Designation	\$0	\$60*	\$81	\$478	\$255	<b>\$874</b>
<b>Total</b>	<b>\$123</b>	<b>\$122</b>	<b>\$123</b>	<b>\$478</b>	<b>\$255</b>	<b>\$1,101</b>

\*In FY 2000, about \$12 million in Congressional designation was not location specific and required some discretionary judgment.

Another funding trend in the Borders and Corridors program was the shift towards corridor projects and away from border projects. The percentage of the program that goes towards border programs decreased from about 50 percent in FY 1999 to about 5 percent in FY 2003. Of the total \$1.1 billion awarded between FY 1999 and FY 2003, about 19 percent have been for projects in the border region and 81 percent have been for projects that are not within the border region (Table 2.5).

**Table 2.5 Discretionary and Designated Spending for Corridors and Borders Program**  
*in Millions*

	<b>FY 1999</b>	<b>FY 2000</b>	<b>FY 2001</b>	<b>FY 2002</b>	<b>FY 2003</b>
Corridor eligibility	\$61	\$65	\$93	\$430	\$242
Border eligibility*	\$62	\$56	\$30	\$47	\$13

\* Some awards were for projects where some elements of the project were eligible for CBI funding and some elements were only eligible for NCPD funding. These are counted as CBI eligibility in the above table.

The FHWA qualitatively assessed the five highest dollar project awards in each fiscal year to get perspective on whether projects were more focused toward mobility/safety objectives or toward economic development objectives (Table 2.6). The identification of projects as mobility/safety or economic development was based on discussions with the FHWA division offices, information from web sites, and other available sources. The criteria were straightforward and subjective, even though many of the projects have multiple benefits. For example, the Freight Action Strategies (FAST) Corridor project in Washington State was considered to have obvious benefits to economic development. However, improvements at highway/rail grade crossings will benefit mobility and safety immediately upon completion. Thus, the mobility/safety

designation was the more appropriate primary objective. For another example, the I-69 project will have the safety benefit of taking some vehicles from two-lane undivided highways to four-lane divided highways. However, the motivation of the I-69 advocates was seen to be unquestionably economic development. Notwithstanding the subjectivity of the criteria used for identification purposes, there was an obvious tendency within this sample for more emphasis on economic development after the first year of the program.

**Table 2.6 Percentage of Dollars Awarded for Mobility/Safety vs. Economic Development**

<b>Year</b>	<b>Mobility/Safety vs. Economic Development</b>
FY 1999	77% mobility/safety 23% economic development
FY 2000	30% mobility/safety 70% economic development
FY 2001	15% mobility/safety 85% economic development
FY 2002	17% mobility/safety 83% economic development
FY 2003	17% mobility/safety 83% economic development

The FHWA views the Borders and Corridors program as a way to encourage multistate project efforts. The program provides a mechanism to fund multistate efforts that do not compete with individual state Highway Trust Fund allocations. However, over the life of the program, the number of multistate awards tended to decrease. The number of such projects was 11 in both FY 1999 and FY 2000, decreasing to two in FY 2001, one in FY 2002, and two in FY 2003. The funding decreased from over \$23 million in FY 1999 to \$3 million in FY 2003 (Table 2.7).

**Table 2.7 Funding for Multistate Projects**

<b>Year</b>	<b>Total</b>	<b>Multistate</b>
FY 1999	<b>\$123,603,000</b>	\$23,100,000
FY 2000	<b>\$121,796,751</b>	\$20,006,500
FY 2001	<b>\$123,081,300</b>	\$6,318,500
FY 2002	<b>\$477,980,576</b>	\$971,000
FY 2003	<b>\$255,000,000</b>	\$3,000,000

In summary, the projects funded by the Borders and Corridors program have trended away from discretionary border projects focused on mobility and safety. The funded projects have trended towards congressionally-designated corridor projects focused on economic development. Concurrent with these trends, the share of projects that was multistate was small in FY 1999 and significantly

smaller in FY 2003 (Table 2.8). Theoretically, the shift from border to corridor projects would have increased the amount of multistate projects, since corridor projects are more likely to include multiple states than border projects. In addition, the shift from mobility and safety projects to economic development projects should have theoretically increased the amount of funding for multistate projects, since economic trade regions often cross state lines, while mobility and safety tend to be confined to specific states. Therefore, the increase in corridor and economic development projects are likely not factors in the decrease in multistate projects in the program. However, the shift from discretionary to Congressionally-designated projects is a likely factor in the decrease in multistate projects as legislators fund projects that are focused on single political jurisdictions.

### **2.2.3 Key Projects in the Borders and Corridors Program**

While many of the projects funded through the Corridors and Borders Program are in the early stages of development, there are a select number of projects that the FHWA considers to be a success. These projects include the World Trade Bridge in Texas, the Commercial Vehicle Processing Center in New York, the FAST Corridor in Washington State, and the Alameda Corridor East (ACE) in California. These projects are considered to be a success because there has been sufficient observable change in the transportation infrastructure. All of these projects were planned before the program made its first allocations, but the Borders and Corridors allocations expedited their implementation. Below, they are described in more detail.

#### *2.2.3.1 World Trade Bridge in Laredo Texas*

This project was developed as a response to the increase in Mexico-U.S. trade in the 1980s and the corresponding increase in traffic on the downtown Laredo Juarez-Lincoln Bridge. By 1990, the State of Texas, the City of Laredo, the City of Nuevo Laredo, and many others were discussing how to address this situation. In 1991, detailed coordination began for a new bridge outside the central business district that would carry commercial traffic. In 1993, projects were placed on the Texas multiyear transportation improvement program, and in 1995, a comprehensive funding agreement had been reached. The total cost of the new bridge and related improvements was about \$100 million. The Borders and Corridors program contributed about \$6 million of this total through one of the FY 1999 awards. The new bridge was opened on April 15, 2000. Downtown backups have reportedly disappeared and truck traffic was successfully diverted to the new bridge. Substantial job growth occurred in FY 2001 and seems to be closely related to the business opportunities created by the new bridge. This project is considered to be a successful example of the application of the Borders and Corridors program, because the funding for the program was used to support a project that led to a clear increase in mobility and safety in addition to increasing opportunities for economic development.

### 2.2.3.2 *Commercial Vehicle Processing Center in New York*

In the late 1990s, the Buffalo & Fort Erie Public Bridge Authority was seeking to improve the efficiency of border crossings for the traveling public and international freight transfer. To help meet this goal, the Authority developed the concept of the Commercial Vehicle Processing Center (CVPC). The CVPC would be a leading-edge border-crossing facility. It was planned to be located in Canada adjacent to the Peace Bridge that



connects Fort Erie, Ontario with Buffalo, New York. This facility would act as a staging area for unprepared U.S.-bound carriers to assemble and process their paperwork with their U.S.-based broker before approaching the Peace Bridge and their first stop, the U.S. Customs Primary Inspection.

In FY 1999, the FHWA awarded \$960,000 from Sections 1118/1119 of TEA-21 in FY 1999 for this project. The Authority used these funds for ongoing operations and to provide training by professional customs brokers for Peace Bridge Authority staff. Based on data provided by U.S. Customs, the facility is fulfilling its purpose. Prior to the opening of the CVPC, an average of 64 percent of carriers crossing into Buffalo were cleared at primary inspection, with the remaining 36 percent referred to secondary inspection. As of 2001, primary inspection line release increased to about 82 percent, with only 15 percent of the trucks requiring secondary inspection. As a result, the U.S. Plaza is a lot less congested. Not only does the CVPC have benefits for commercial carriers, it also decreases clearance time in the system for all users because fewer vehicles are held at the Customs station for secondary inspections. The success of the CVPC has also been recognized by operators of other border crossing facilities and many are looking to emulate this project.

### 2.2.2.3 *Freight Action Strategies in Washington*

In 1994, the Freight Mobility Roundtable was formed as an effort of the Puget Sound Regional Council (PSRC) and the public/private Economic Development Council of Seattle and King County. Roundtable participants included shippers and carriers (marine, rail, truck, air, and intermodal); local governments; the three ports, the Washington State DOT and state Transportation Commission, the FHWA, the Federal Transit Administration, the Federal Railroad Administration, the U.S. Maritime Administration (MARAD), and the 833<sup>rd</sup> U.S. Army Transportation Battalion which is under the Military Transportation Management Command. Late in 1994, a conference of these participants established the ongoing FAST Corridor effort, which is a collection of comple-

mentary grade separation and port access projects serving the noted ports and other important freight distribution centers along major rail and truck corridors in the Seattle region.

The FAST Corridor Agency Staff Team (CAST) completed a phased implementation plan in 1997 in consultation with the Roundtable. In 1999, the FAST Corridor received the first of a number of awards from the Borders and Corridors program. From FY 1999 through FY 2003, FAST was awarded \$32 million in funds, including funds from both U.S. DOT selection and Congressional designation. The FAST project also received funds outside the Borders and Corridors program, such as in Section 1602 of TEA-21, Section 378 of the U.S. DOT 2001 Appropriations Act, and Section 330 of the Division I of the Consolidated Appropriations Act of 2003.

The first complete grade separation project was completed in FY 2001, and as of January 2003, 10 of the 15 Phase I projects were complete or nearly complete. The remainder of the projects in the first phase is scheduled for implementation between 2003 and 2006. An additional 10 projects (FAST Phase II) were identified and prioritized in May 2002 for construction over the next 3 or 4 years. As projects have been completed, traffic backups disappeared, safety improved, and railroad efficiency has increased. Because a high percentage of jobs in the Seattle metropolitan area (as many as one in three) is tied to international trade, systematic improvement of port access is seen as vital to the economic well being of the area.

#### *2.2.3.4 Alameda Corridor East in Southern California*

The completion of the Alameda Corridor will significantly increase rail traffic through the San Gabriel Valley by an estimated 160 percent between 2000 and the year 2020. The Alameda Corridor East (ACE) program was set up to extend the Alameda Corridor improvements further to the east in Southern California. The ACE coalition includes government representatives at the local, regional, and state level, along with private-sector participation. Since the late 1990s, they have been working together to improve highway/railroad grade crossings in an east-west corridor with high railroad traffic serving the Ports of Los Angeles and Long Beach. The goal of the \$910 million ACE project is to reap the full benefit of increased trade in Southern California, while mitigating the effects of increased freight rail traffic on local cities and businesses.

Funding for ACE has been secured from the Borders and Corridors program, along with other FHWA funds, State of California congestion relief and discretionary funds, the Los Angeles County Metropolitan Transportation Authority (Metro), and five percent from the Union Pacific Railroad (UPRR). Other stakeholders include the 30 municipalities in the San Gabriel Valley Council of Governments. The ACE Corridor first received a Borders and Corridors award in FY 2000, and subsequently received awards in FY 2001, FY 2002, and FY 2003. These awards totaled \$9,019,000. The funds received from the Borders and Corridors program have been credited with jumpstarting the ACE program. The

same officials state that, in the first phase of the program, three dollars have been leveraged for every one Federal dollar.

The ACE project was planned to be completed in two phases. The first phase (1999 to 2004) includes near-term, low-cost mobility improvements that encompass safety upgrades, traffic signal controls, and roadway widening at 42 grade crossings, along with 10 projects to separate highway/railroad crossings. The second phase (2004 to 2007) includes 10 additional grade separations. Construction is currently complete on 34 “Jump Start” grade crossing safety programs at once-hazardous intersections across the San Gabriel Valley. In the City of Pomona, ACE is installing quad gate safety systems at four intersections, as well as innovative software to coordinate and control traffic at key railway intersections. The first complete projects have resulted in decreases in congestion, improvements in safety, and reduction in pollutant emissions. ACE is currently underway with the next set of congestion relief projects, constructing bridges and underpasses to separate vehicle traffic from the trains.

#### *2.2.3.5 Common Elements of Key Projects*

These four projects have been noted by the FHWA as the key successes of the Borders and Corridors program. The common element of these four projects is that the Borders and Corridors funding was allocated to projects developed by a group of stakeholders that were already working together for some time to identify issues and define projects. In addition, the Borders and Corridors funding was a relatively small portion of the total project costs, but it was considered to be important to either jumpstart the projects, streamline project implementation, or provide incentive for multiple parties to work together. This is a very efficient way to leverage the funding for the Borders and Corridors program.

None of the projects noted as successes by the FHWA are multistate projects, but two are multinational planning projects. This is in part due to the limited amount of funding devoted to multistate projects (Table 2.2). It is also because the majority of the funding for multistate projects was for planning and environmental studies rather than design and construction of actual projects. Therefore, these projects have a longer lead time before actual projects can materialize with tangible improvements in the transportation infrastructure.

### **2.2.4 State and Local Perception of Program**

Subsequent to passage of the TEA-21, the U.S. DOT initiated a series of public meetings entitled, “Listening to America.” Twenty-one meetings were held, three of which focused on the Borders and Corridors program attracting 100 to 200 people each. Roughly concurrent with these meetings, the FHWA held a series of meetings to publicize the Borders and Corridors program and highlight the FY 2000 application process in the summer and fall of 1999 in Baltimore, Maryland; Chicago, Illinois; Atlanta, Georgia; Seattle, Washington; and Phoenix, Arizona. About 170 Federal, state, local, and regional officials attended these workshops. The workshops featured case study presentations on Borders and

Corridors projects selected for funding in FY 1999, and open microphone sessions where participants could ask questions or provide comment on the program. The comments received at these meetings covered numerous issues and many opinions and counter opinions. There was, however, a substantial majority that the program should incorporate the following key actions:

- Administer the Border and Corridors programs “together” with project selection based on merit. Suballocating funds between corridors and borders was unwarranted.
- Funding should be geared towards projects that deploy advanced technology.
- Focus on key linkages and projects with multistate and international significance.
- Concentrate on ready-to-go projects with high short-term payoff rather than studies.
- Link partnerships of transportation planners.
- Encourage non-Federal funding sources.

The most often reiterated comments was a dislike of Congressional designation of funds (the first occurrence of such designation was approximately coincident with the timing of the workshops). The second most often heard comment was that grant money was being spread too thin so that the award could not actually make a difference in project implementation, improving trade, or dealing with bottlenecks.

During FY 2000 and early FY 2001, the FHWA Office of Corporate Management partnered with the FHWA Office of Planning, Environment, and Realty to review the NCPD/CBI program. The review involved structured interviews of about 70 state, regional, and local officials regarding the program. These interviews allowed follow-up questions and in-depth comments concerning the same general issues addressed in the workshops. The response was similar to that of the workshops. Overwhelmingly, the interviewees cited that the two main issues regarding the program were the shift from discretionary funding to Congressional designation and the decreasing amount of funds particularly relative to the request for funds. Additionally, many interviewees also felt that there is a need for a fixed solicitation, application, and award schedule for the Borders and Corridors program. It was also noted that the Borders and Corridors program has encouraged multistate planning, an activity that is not typically supported by the formula funding programs. Although multistate awards tapered off with Congressional designation, the Borders and Corridors program remains one of the chief sources for this kind of activity.

The implication of the feedback from these workshops, meetings, and interviews is that there are specific Federal actions that can be used to encourage the formation and activity level of multistate planning corridors. The most important

Federal action would be the use of discretionary rather than designated funds. Discretionary funds are more likely to be allocated based on gaps in the current funding formula scheme (such as multistate planning), while designated funds are more likely to be allocated within specific political jurisdictions that by their nature do not cross state lines. Second, a more formal application process with specific criteria and review cycles would be beneficial for multistate planning efforts. This would provide lead time for multistate coalitions with a specific timeline and deliverable of these organizations to move forward with funding. Third, an increase in the level of funding would be required to avoid spreading of funds too thin and allow the Federal funding to be more influential in the project selection process.

## 2.3 MULTISTATE PLANNING IN SAFETEA-LU

SAFETEA-LU established a formal multistate corridor planning program to replace the NCPD Program under Section 1118 of TEA-21. Changes to the program include narrowing eligibility, reducing the Highway Trust Fund share, and establishing a set of selection criteria. The program provides an opportunity for states and regional agencies to jointly plan for a variety of geographic areas in addition to traditional metropolitan or state areas. The principal objectives of the program are: 1) to address the gap created by formula programs which do not provide specific funds for multistate, multimodal, and multijurisdictional decision-making on corridors, and 2) to streamline the project development process.

Eligible activities would be restricted to multistate planning studies. Studies and projects must be consistent with the existing planning process required by law for metropolitan regions and for states. However, now there is a statutory emphasis on multijurisdictional efforts for multimodal planning and planning for operational alternatives that improve mobility, freight productivity, access to major marine ports, safety, and security. The total Federal share payable for a study would be limited to 80 percent, but the maximum share of funds from the Highway Trust Fund (other than the Mass Transit Account) for a study could not exceed 50 percent of the total cost of such study. This is designed to ensure a strong commitment from all parties, leverage additional funds, and facilitate implementation of multimodal plans.

Section 5204(c) has been added to SAFETEA-LU, which allows states to enter into compacts or agreements for the purpose of formal planning cooperation and coordination, since so many projects have multistate implications. A similar provision is included in existing Section 134(d)(2), Metropolitan Planning, and would be included in the metropolitan planning section in proposed Section 5203(d)(2).

With this new language in the Federal transportation legislation, there has been a clear shift in the direction of this program. The Borders and Corridors program has been replaced by multistate planning and project efforts. This will provide

support for many existing and new multistate corridor planning efforts to be active over the next five years. A look at the history of multistate/jurisdictional alliances will provide guidance on what types of successes can be generated based on this new legislation.

## 2.4 HISTORY OF MULTISTATE/JURISDICTIONAL COALITIONS

There have been several multistate coalitions that have been formed to address transportation issues. The most prominent coalitions as of 2001 were summarized in a FHWA White Paper entitled, *Challenges with Multistate/Jurisdictional Transportation Issues*. The seven coalitions summarized in the white paper are:

1. The I-95 Corridor Coalition;
2. The Latin America Trade and Transportation Study;
3. I-69 (Corridor 18);
4. The Joint Working Committee/Binational Transportation Planning Study;
5. The International Mobility and Trade Corridor (IMTC) Project;
6. The Midwest Regional Rail Initiative; and
7. The Appalachian Regional Commission

These case studies were selected based on the perception that they had achieved success regarding the objectives for which they were established. The white paper discussed each case study in terms of organizational features, decision-making, study purpose, public outreach, accomplishments, challenges, opportunities, funding, and lessons learned.

### 2.4.1 I-95 Corridor Coalition

#### 2.4.1.1 Background

In the early 1990s, the I-95 Corridor Coalition solidified informal interagency working relationships developed to improve traffic problems in the Northeast, primarily metropolitan New York City, Northern New Jersey, and Southern Connecticut. The desire was to effectively leverage current and future resources to implement electronic technology (ITS) to speed travel along the corridor. Late in 1992, the FHWA designated the I-95 Corridor as eligible to receive Priority Corridor funding, and the I-95 Coalition was able to capitalize on this unique opportunity to apply ITS across jurisdictional boundaries.

The initial members consisted of DOTs from 12 states and representatives from the FHWA; however, as interest in the Coalition grew, it became necessary to stratify membership to maintain the mission of the Coalition. An Executive Board, Steering Committee, and Program Track Committees, in addition to full-

time professional staff, carry out the Coalition objectives. Each year, a program of projects is developed by the Coalition, with a project budget, responsibility, and accountability assigned to the committees within their defined program areas. The Coalition's vision is for a transportation network in the corridor that will be safe, efficient, seamless, and intermodal; and will support economic growth in an environmentally-responsive manner.

The 1998 Business Plan identified various "program tracks" as the focus for Coalition activity. The tracks were selected because of their relevance to the member agencies' ITS programs, applicability to the Coalition's strategic goals, and their potential to provide improved service to Corridor travelers. The six program tracks are:

1. Program Management;
2. Interregional Multimodal Travel Information;
3. Coordinated Incident Management;
4. Commercial Vehicle Operations;
5. Intermodal Transfer of People and Goods; and
6. Electronic Payment Services.

#### *2.4.1.2 Coalition Accomplishments (Through 2001)*

As a result of the investment of Federal ITS Program funds, state funds, and the volunteer efforts of personnel representing transportation service providers in the Northeast United States, the Coalition was instrumental in the following projects that have directly benefited travelers and transportation agency personnel throughout the region:

- **The Information Exchange Network (IEN)** - This is a wide area network connecting transportation management centers throughout the region. When a major incident occurs, information is entered into the system and automatically shared with operators in other centers. Operators can then take appropriate action to inform travelers approaching the incident by message posting on dynamic message signs and highway advisory radio systems.
- **Traveler Information Dissemination** - The Coalition is supporting the institution of traveler information systems in regions throughout the Corridor. These regions include urban areas such as Baltimore; rural areas in the Shenandoah Valley of Virginia; and the tri-state area of Maine, New Hampshire, and Vermont in the New England region. The Coalition has also embarked upon development of an intermodal Traveler Information System that, when completed, will allow travelers to obtain estimated travel time and fare information on any trip, on any mode, or combination of modes between major origins and destinations within the Corridor. The Coalition publishes a biannual Traveler Alert Map that displays seasonal information on

construction activity, upcoming events, closures, and bottlenecks throughout the Northeast.

- **Improved Operations** – The Coalition is supporting a number of smaller efforts involving multiple operating agencies and jurisdictions designed to improve operations. Examples include planning for the replacement of the Woodrow Wilson Bridge (a critical link along I-95 connecting Maryland and Virginia) and expansion of the number of transportation and emergency service provider agencies in the New York metropolitan region that are able to communicate with each other over common radio systems.
- **Commercial Vehicle Safety and Productivity** – The Coalition is contributing to improving commercial vehicle safety and reducing the cost of commercial vehicle travel through a project aimed at developing a regional oversize/overweight vehicle permitting system, and one project aimed at developing an efficient way for qualified operators to obtain state credentials.
- **Electronic Payment** – The Coalition is supporting efforts to develop a convenient and standard way for people to pay for travel and other services electronically. Such a system would accommodate electronic toll payments, as well as payments on rail and transit modes of transportation using proximity and smart cards.

#### 2.4.1.2 Coalition Challenges

The challenge for developing a responsive program has remained the same since the beginning of the Coalition. The 12-state area is a corridor of many regions, many modes, and many needs. Progress is at different stages across the Corridor, and it remains a challenge to develop a program that has something of value for everyone and is consistent with national goals. Program assessment and regular strategic planning that is focused on outcomes are critical to accomplish this, along with continued reassessment and adjustment of structure and processes. Setting priorities and providing guidance at the executive level must continue.

Funding remains a constant challenge. Modest amounts of money have gone a long way, and continued Federal support has been commensurate with the progress of the Coalition. The Coalition's Chairman has characterized the organization as the glue that binds together Northeast transportation leaders as they use new technological approaches to improve mobility and safety within the regions. The primer that has allowed that to happen is the Federal support of the programs.

It is likely that, if the technology available today had been at that same stage in 1992, the Coalition and its member agencies would have made different decisions about their programs. That will always be the case with technology advancement, and is one of the reasons that the Coalition has an ongoing effort focused on emerging issues. The impact of Internet and wireless communication on how the public seeks information has changed the business approach to

providing traveler information. Staying up with the technology curve is critical for the Coalition to have a viable program for its members.

## **2.4.2 Latin America Trade and Transportation Study**

### *2.4.2.1 Background*

At the urging of many individuals including the Lt. Governor of Florida, the Executive Director of the Mississippi DOT, and the FHWA Region 4 Administrator, a special meeting of the Southeastern Association of State Highway Transportation Officials (SASHTO) Board of Directors was held in May 1996. All members were represented by their Chief Administrative Officer or their deputy. Rodney Slater, then FHWA Administrator, also attended as did other FHWA and state transportation officials. Discussions centered on the need to have information that would help the states prepare for the expected growth in trade with Latin America. At another special meeting of the SASHTO Board of Directors in June 1996, each state made a financial commitment of \$100,000 each and the FHWA committed \$200,000 (later increased to \$400,000). The FHWA Pooled Fund system was selected as the funding mechanism. All states committed State Planning and Research (SPR) funds, except Kentucky, which committed state funds. In recognition of its prominent role as a lead transportation gateway for trade with Mexico, Texas was invited to join the Alliance. They accepted and committed SPR funds in support of the undertaking. In December 1997, the Commonwealth of Puerto Rico requested (and was accepted) to join the Alliance in February 1998 also using SPR funds. The Mississippi DOT accepted the responsibility of lead state and has been the administrative agency for all contractual and similar activities.

The Southeastern Transportation Alliance was formed "...to assess infrastructure development required to capitalize on international trade stimulated by increased trade with Latin America." The purpose of the Alliance in undertaking the Latin American Trade and Transportation study (LATIS) was to enhance economic development in the Alliance States, collectively and individually, by taking advantage of the accelerating economic development opportunities for trade with Latin America and provide more jobs, increased wage earnings, and additional prosperity for the Region's people.

### *2.4.2.2 Coalition Accomplishments*

The study assembled trade information which was directly related to the transportation investment strategies that were also developed in the study. The study itself confirmed that the Southeastern Transportation Alliance was justified in believing that there is a high likelihood that trade will grow substantially by 2020, and that additional demands will be placed on the transportation system. The "Base Case" forecasts indicate that the Latin American component of total international trade is expected to triple during this time span. The "Base Case" scenario will result in 1.39 million additional jobs.

The study also estimated costs for infrastructure improvements for each mode. A total of 42 marine ports within the Alliance region was included in this LATTTS Strategic Transportation Systems. Needs to the Year 2020 for these ports total \$22 billion. Of this total, some 57 percent are attributable to Latin American trade flows. The LATTTS Strategic Transportation System included 48 airports with air cargo needs at these airports amounting to \$3.3 billion. Over 12 percent of this total are due to Latin American trade flows. Some 22,285 miles of railroads were included in the LATTTS Strategic Transportation System. Needs on the railroads are not a direct public sector responsibility despite the important roles they play in Latin American trade flows. The LATTTS Strategic Transportation System includes 22,859 miles of mainline highways and 123 individual intermodal connectors. Mainline highway needs total \$67 billion up to Year 2020. Only 8 percent of these needs are directly attributable to trade with Latin America. Nevertheless, these highways play a significant role regarding these trade flows.

Based upon the LATTTS findings, a long list of strategies were formulated to guide future investment decisions. These strategies ranged from infrastructure strategies (such as addition of physical infrastructure) to operating strategies (such as information integration, ITS applications, and improved clearance processes at gateways).

Another successful outcome of this study was the formation of a new Institute for Trade and Transportation Studies (ITTS) that most Alliance states have already committed to funding for the next two Federal fiscal years. ITTS has already chosen a Director and formed a Board, and is designed to serve as a resource and research clearinghouse on freight-related activities for all member states.

#### *2.4.2.3 Coalition Challenges*

LATTTS developed newsletters and a web site to reach a wide audience. Additional outreach reports were undertaken regarding certain organizations whose missions are strongly aligned with the focus of LATTTS. Despite the effort expanded in public outreach activities, the volume of responses was disappointing. There were few contacts as a result of the newsletters, the number of hits on the web site was not great, and only a few casual responses were received as a result of the targeted contacts with interest groups. While the study has included development of 14 reports which specifically address transportation needs in individual states, the analyses are at a systems scale and do not address individual transportation problems. Therefore, there is no way that the general public in particular, and interest groups to a lesser degree, can associate study findings with things which they perceive to be a specific interest to them.

LATTTS took an approach which attempted to avoid identification of winners and losers (i.e., entities that would receive greater or lesser benefits from the study). Illustrative of this approach was the study decision to base projections of future trade flows upon the current distributional patterns. The Alliance also adopted a position that every state would have at least one port, one airport, and five

designated facilities that would be included in the LATTs Strategic Transportation System, regardless of whether or not these facilities play a significant role in trade with Latin America. While this fostered inclusion for all study participants, it failed to accurately focus on specific improvements needed to handle future growth.

One reason for the success thus far of LATTs is the willingness of states to commit funding, as well as the generosity of the FHWA in providing discretionary funds. These funds have been used to defray meeting attendance expenses, as well as consultant costs. If, for whatever reason, LATTs is unable to continue the approach of defraying travel expenses, this could have a detrimental impact on meeting attendance. Even more of a concern is the fact that new funding must be obtained if LATTs is to move forward. The approach used in the initial stage largely was a combination of SPR funds and discretionary funds. The willingness of each Alliance member to make a further financial commitment certainly is a goal, but achievement of it can not be guaranteed at this stage.

With 15 members (14 states/commonwealths plus the FHWA), the Southwestern Transportation Alliance involves the participation of a sizeable group of committee members. Some of the coalition members felt that scheduling of meetings has not been as easy as if the Alliance was a smaller organization. Meetings were scheduled well in advance to maximize attendance. Meetings have been well attended despite the scheduling complication. Reviews of interim and draft study products are somewhat complicated because of the number of organizations and persons that are involved. Sometimes it is not convenient for every Alliance member to fit such reviews into their other agency activities. Also, some involved in the coalition felt that comments from one Alliance member sometimes conflicted with comments from another member. It will also be a challenge to the state transportation agencies to persuade contrary interests within their states that the coordinated regional approach has greater benefits than more parochial investments and policies.

### **2.4.3 I-69 (Corridor 18)**

A coalition of eight state transportation agencies and the FHWA has undertaken a series of planning studies regarding a proposed route extending from Port Huron, Michigan to the Lower Rio Grande Valley (1,890 miles). The project is sometimes referred to as Corridor 18, because it was the 18<sup>th</sup> corridor in the list of congressionally-designated, high-priority corridors contained in ISTEA (1991). It is also referred to as I-69, initially because it connected to the existing I-69 extending from Indianapolis, Indiana to Port Huron, Michigan/Sarnia, Ontario, Canada. I-69 has since been extended from the Canadian border at Port Huron, Michigan to Indianapolis, Indiana. TEA-21, signed into law on June 9, 1998, again redefined Corridor 18 and officially designated it as Interstate 69.

Private citizens in Indiana were early proponents of the I-69 project. Seeing the need for a multistate coalition, they initiated efforts to recruit influential civic and elected officials from other states in the region. This led to the formation of

the I-69 Mid-Continent Highway Coalition which was incorporated in 1993. The Coalition is well organized and has been actively engaged in activities which support construction of I-69. In 1992, private citizens who were promoting the I-69 project invited representatives of eight state transportation agencies to attend a meeting in Memphis, Tennessee. This meeting resulted in the formation of the Corridor 18 Steering Committee. Each of the eight state transportation agencies in the committee plus the FHWA has designated representatives to the Steering Committee. The FHWA is a nonvoting member of the Steering Committee. Nevertheless, the FHWA has a considerable influence on activities and decisions made by the group. In part, this reflects the key role that the FHWA plays as a source of funding for the I-69 project. The Coalition derives much of its funding from contributions of its members.

The Steering Committee adopted this statement of overall purpose for the I-69 project: “To improve international and interstate trade in accordance with national and state goals; to facilitate economic development in accordance with state, regional, and local policies, plans, and surface transportation consistent with national, state, regional, and local needs and with the Congressional designation of the corridor.”

#### *2.4.3.3 Coalition Accomplishments*

There have been four studies thus far for the I-69 Corridor: 1) a feasibility study, 2) a special issues study completed in June 1997, 3) a special environmental study, and 4) an environmental and engineering assessments were undertaken which identified 32 Sections of Independent Utility (SIU). Work is now progressing on many of the SIUs utilizing Border/Corridor grant funds and other revenue sources. For the existing section of I-69, improvement and expansion projects are being undertaken. In furtherance of these activities, three distributions of Borders and Corridors grant funds have been received by the I-69 project: 1) FY 1999 - \$10 million, 2) FY 2000 - \$8 million, and 3) FY 2001 - \$5 million. These funds have been allocated in proportion to the application amounts for each state.

There are varying degrees of project implementation along the corridor. In Michigan, multiyear projects to add capacity, plus maintenance type projects, are being undertaken for the existing I-69 facility in Michigan. In 1997, Indiana designated \$30 million for the I-69 project, indicative of the more advanced status of the project in Indiana than in other parts of the corridor. In September 1997, engineering contracts were awarded for preliminary engineering and design work on the Evansville to Bloomington segment. However, this work subsequently was halted due to difficulties concerning the environmental impact study (EIS) process. Indiana has withdrawn an earlier draft EIS which covered the segment from Bloomington to Evansville. The State now is proceeding with a new draft EIS for the longer section from Indianapolis to Evansville. Kentucky and Indiana have entered into an interstate agreement to prepare a preliminary

engineering and EIS necessary for determining the alignment around Evansville, Indiana and Henderson, Kentucky, and crossing the Ohio River.

Environmental study documentation is being prepared for one SIU, and Tennessee has made independent application for NCPD funds for development of other SIUs. One SIU extends into Kentucky and another extends into Mississippi, requiring coordination with the respective state transportation agencies. In Mississippi, construction is underway on one SIU, and alignment studies are being undertaken for other portions of the route. In Arkansas, a Record of Decision for the Great River Bridge (across the Mississippi) was signed May 3, 2000, and proposals have been received from design consultants. Corridor and alignment studies are being undertaken for the Southeast Arkansas I-69 Connector. Texas will act as project manager with Louisiana's cooperation on an SIU crossing the state borders. Environmental study documentation is being prepared for all Texas SIUs.

#### *2.4.2.3 Coalition Challenges*

The very scale of the I-69 project is both an asset and a liability that affect implementation. For example, the 1,430-mile long facility has a construction cost estimate of \$7.2 billion (1997 estimate), a large amount for a single project. On the other hand, it has the collective support of eight states, something that will enhance its funding opportunities.

The most significant challenge to the implementation of I-69 is its funding. If the public funding requirement is to be met by current revenue sources of the corridor states, then the I-69 project will have to compete with other funding needs confronting the states, including preservation of existing infrastructure and other committed capital projects. Thus far, the Coalition has had some success in obtaining the FHWA grants of discretionary funding. However, these grants have been of a scale sufficient for planning studies and some preliminary engineering and environmental assessments. The grants do not begin to approach the scale required to eventually build such an ambitious project. There have been some instances when priorities were altered, primarily because of circumstances which reflected the different priorities of state and Federal agencies. For the Federal government, there are many things that can affect priorities, some of which have to do with transportation legislation enacted by Congress. The amount of discretionary funds controlled by the FHWA is greatly impacted by funding reauthorization legislation. The consequence may well be that the FHWA will have limited opportunity to provide the level of funding that is needed for construction of the I-69 project. Compared with the limited financing capacity of the states, this could have serious impacts upon project implementation, despite the overwhelming evidence of the project's worthiness.

Additionally, each agency funds salary and related costs for its staff to participate in I-69 activities. Also, each agency is responsible for the meeting attendance travel expenses of its staff. In some states, out-of-state travel is subject to more restrictive conditions than is the case in other states. Policies regarding

out-of-state travel have had, on occasion, a detrimental impact upon attendance at Steering Committee meetings. As a consequence, there have been occasions when a state was not represented at a meeting at which significant decisions were taken.

## **2.4.4 Joint Working Committee/Binational Transportation Planning Study**

### *2.4.4.1 Background*

The United States and Mexico have recognized the need for a well-coordinated transportation planning process along the border, especially in light of the further development of economic and commercial relations associated with the NAFTA. Accordingly, the two nations entered into a “Memorandum of Understanding (MOU) on the Planning Process for Land Transport on Each Side of the Border” on April 29, 1994. The 1994 MOU established a Joint Working Committee (JWC) consisting of representatives of the Federal and border state governments of both countries (as described more completely later in this discussion). The JWC primarily provided study oversight while the Binational Planning and Programming Study was underway. As discussed subsequently, it now has transitioned into an entity responsible for the continuing planning and programming process regarding the transportation system serving the U.S.-Mexico border area.

### *2.4.4.2 Coalition Accomplishments*

An early undertaking was the conduct of the Binational Planning and Programming Study. The purpose of the study was to investigate current state and national planning processes in both the U.S. and Mexico, to review available data on border transportation infrastructure and goods movement, and to recommend an ongoing, binational planning and programming process. The study was intended to establish a continuous, joint, binational process to improve the efficiency of the existing binational policy-making planning procedures and funding criteria. A series of study products was developed that inventoried existing facilities, analyzed current and future trade and passenger flow data, and developed methodologies for estimating costs and benefits associated with binational trade. The Binational Study had a \$2.5 million budget, 50 percent of which was financed by each of the two nations.

The JWC does not make decisions or direct transportation planning, programming, operations, or any other aspect currently performed by U.S. and Mexican Federal, state, and local government agencies. Instead, the role of the JWC is described as follows:

- Facilitate the communication among the groups responsible for border transportation planning within state, local, and Federal governments in Mexico and the United States;

- Serve as a forum for the coordination of border transportation planning and programming activities, while respecting the differing transportation planning processes and requirements that exist in both countries; and
- Be available as a forum for discussing other binational border area transportation issues.

Funding protocols initially provided for 50-50 U.S.-Mexican funding. This arrangement has been relaxed in recent times and now reflects the particular interest of the participating agencies in the smaller and more focused activities which characterize the current work program. Some funding is provided by the respective Federal governments, while other funding comes from the participating states. The specific budget for each year depends, in part, on the eligibility of projects for various types of funds.

The JWC has enjoyed a fair amount of success. Perhaps one of the most significant has been its ability to reduce the discontinuities on the two sides of the border. Indeed, this type of coordination has proven to be beneficial regarding plans for facilities outside the immediate border area, but which may be influenced by border traffic and developments. The spirit of mutual cooperation is exemplified by California providing a full-time traffic engineer to address border issues. Included in the traffic engineer's activities have been technical advice to Mexican counterparts and the provision of used equipment to the Mexican agencies either free or at a bargain rate. The JWC also has sponsored Technology Transfer Center activities that include training courses for Mexican government staff.

#### *2.4.4.3 Coalition Challenges*

One challenge of this coalition is the difference between Federal roles and responsibilities between the U.S. and Mexico. In the U.S., state transportation agencies are the ultimate agencies for undertaking transportation projects in the U.S. Therefore, the JWC has respected the significant role of the state agencies. In Mexico, the Secretariat de Comunicaciones y Transportes (SCT) is the dominant agency, and the SCT prefers to deal directly with the FHWA rather than the state transportation agencies. This places a burden on the FHWA to have high-level officials attend meetings and broker deals between states in the U.S. and Mexico. This is compounded by the fact that each nation takes turns hosting JWC meetings, and sometimes the meeting location may be in a place that is difficult to reach and requires considerable travel time.

There are also cultural differences between how difficult issues are addressed in the U.S. relative to Mexico. In the U.S., it is not unusual for a lively debate to occur at meetings, while the Mexican government greatly prefers that discussions of this nature occur in an informal setting outside of the meetings themselves. Partly as a consequence of this cultural difference, JWC meetings often are used to inform attendees regarding current activities and issues and to coordinate on such matters. The JWC also deliberately seeks not to set up any

outcomes that create possible losers. Instead, a win-win approach is sought, and this often involves a fair amount of compromise. On occasion, this has required special arrangements since each JWC member has different circumstances and operates in its own particular demographic, social, cultural, political, and economic environment.

The Binational Study has also created a significant database, primarily comprising existing sources. Within the scope of that study, it was not possible to convert the various databases to achieve a database consistent in format and definitions. Instead, equivalent definitions were utilized where this was feasible. A volunteer group currently is attempting to do something concerning these databases, but there is no assurance about how successful this effort will be or whether this will lead to a sustained and continuing activity.

### **2.4.5 International Mobility and Trade Corridor Project**

The IMTC project commenced in 1997. It is a binational public-private partnership that provides a forum and process for addressing cross-border mobility issues in the Cascade Gateway and its four Ports-of-Entry system. Widespread regional concerns about cross-border mobility have been especially prevalent since 1990. It was around this time that cross-border travel demand began to significantly overwhelm system capacity of the ports of entry in the Cascade Gateway. Staffing levels of U.S. border inspection agencies have gone down significantly on the northern border.

In February 1997, at a meeting attended by U.S. Senator Patty Murray regarding the GSA comprehensive plan, representatives from agencies on both sides of the border agreed to meet again. In subsequent weeks, a Terms of Reference was drafted and signed by regional stakeholders from the U.S. and Canada that acknowledged the goals of improving mobility and safety for the region's border crossings and resolved to cooperatively pursue solutions. In the next several weeks, these agencies met and laid the groundwork for the IMTC project and the coalition structure. The Whatcom Council of Governments (WCOG) was designated as the lead agency for IMTC. Initial funding was provided by the Washington State DOT; the Port of Bellingham, Washington; and the GSA. This funding sustained WCOG's administration of the IMTC project for over a year. Over this time, the coalition developed 11 project applications for the FHWA's then forthcoming TEA-21 CBI Program. From the 11 submissions, three were funded by the FHWA. The first of the three was five years of funding for the IMTC project - Coordination of Binational Planning.

The purpose of IMTC is to facilitate trade, transportation, and tourism through the application of innovative improvements to infrastructure, operations, and technology. In pursuit of this goal, IMTC is:

- A forum that facilitates collaboration between border stakeholders from business, government, transportation, and inspection agencies;

- A binational coalition that identifies and prioritizes needs that transportation and border management agencies can act on from both sides of the border; and
- A successful response to the U.S. DOT's Border Program, positioning both Washington State and British Columbia for financial partnerships aimed at mobility improvements.

IMTC is a U.S.-Canadian coalition of business and government entities. Over 80 binational public and private organizations participate in IMTC activities, including transportation agencies, inspection agencies, border municipalities, economic development organizations, representatives of consulates in the U.S. and Canada, non-governmental organizations, and private industry.

#### 2.4.4.3 Coalition Accomplishments

At the formative stages of IMTC, participants formed a list of objectives for the coalition. This list of objectives or goals has been the source of subsequently proposed projects - many which are now funded and underway. This list has been periodically revised by IMTC. The current list falls into four general categories: 1) planning/studies and data; 2) operations, policy, and staffing; 3) infrastructure; and 4) project identification and coordination. The following is a somewhat chronological list of milestones that range from broad to specific. These are not milestones which were necessarily targeted from the beginning, but for some, as challenges arose, solutions could rightly be called milestones.

- **Terms of Reference** - While not a legal document, this document was a hugely important symbol of the binational, public, and private sectors' willingness to actively participate in an effort to craft solutions.
- **Seed Funding** - Incremental support from Washington State DOT and the Port of Bellingham enabled IMTC to maintain its momentum and make a well researched and coordinated application to the CBI program that had support from both sides of the border.
- **FHWA Funding from the CBI Program** - FY 1999 funding of the IMTC project, as well as two other IMTC-endorsed projects, was a key milestone for the Coalition. While one of the unfunded project submissions included match from the Province of British Columbia, the regional success of IMTC in gaining this support raised the profile of the Cascade Gateway and greatly emphasized the potential value of cross-border partnerships. Subsequent applications to the CBI program for the Cascade Gateway have included significant and aggressive levels of match funding commitments from a variety of Canadian government sources (Federal, provincial, and local).
- **Solutions that Do Not Cost Money** - IMTC has also provided the forum which has enabled solutions to long-standing operational problems at the border. An example of this is an operational change by U.S. Customs, in cooperation with other IMTC participants, the British Columbia Ministry of

Transportation and Highways, and the British Columbia Trucking Association, to enable 24-hour processing of less-than truckload (LTL) shipments at the Pacific Highway port of entry in Blaine.

- **Implementation of Binational Projects** - Along with funding for coordination of binational planning through IMTC, projects identified and pursued by IMTC have been truly binational. The FY 1999 Cross-Border Travel Demand Study, funded by the FHWA and Washington State DOT, looks equally at both sides of the border as it analyzes origins, destinations, commodity flows, trip-purpose, and other characteristics of Cascade Gateway traffic. The consulting team performing the work is also composed of both U.S. and Canadian firms.
- **Implementation of Binationally-Funded Projects** - British Columbia made funding commitments for the first round of CBI project applications (the project was not selected for funding). The second and third rounds of project applications and subsequently-funded projects have seen a significant portion of Canadian partnership from a variety of sources.

As discussed above, fully endorsed projects are only one form of the actions that result from coordination through IMTC. Operational improvements and other solutions resulting from good communication and cooperation can and do take place between only the agencies that need to jointly respond. As for larger project recommendations, the methods of project implementation have varied. So far, all major projects have included a large component of U.S. Federal funds awarded to WCOG. Depending on the planned scope of work, where the work is to take place (U.S., Canada, or both), and what agencies are most involved in the work product, different arrangements have been made to administer and manage the project, coordinate project financing, and perform the work. The following current projects are examples:

- **IMTC (Coordination of Binational Planning)** - Federal funds awarded to WCOG and matched with Washington State DOT funding. WCOG manages the project.
- **Cross-Border Travel Study** - Federal funds awarded to WCOG and matched with Washington State DOT funding. U.S. consulting firm was hired as prime. Prime consultant hired Canadian firms as subconsultants.
- **ITS CVO Phase II** - Federal funds awarded to WCOG and matched with funds from Canada, British Columbia, and Wisconsin State DOT. Project management performed by Wisconsin DOT's Advance Technology Branch. Canadian funding spent directly on Canadian components of the system.

#### 2.4.4.3 Coalition Challenges

The IMTC project has faced and overcome several challenges. During the first year of IMTC, solidification of Canadian Federal and provincial participation required, at a high level, clarification that ongoing participation in IMTC did not

imply any loss of prerogative with regard to findings the IMTC coalition might make. This type of coalition structure was intended from the beginning, but clarification that IMTC was a forum and not a binding conference was valuable.

Another issue that came up early was lobbying. At an early IMTC Core Group meeting, a participant from the private sector suggested circulating a letter to be signed by all and sent to U.S. legislators. IMTC participants from both U.S. and Canadian government agencies were quick to note their need to be distanced from attempts to influence legislation. In response to this set of needs, IMTC adopted a no-lobbying policy. IMTC will not lobby as a group nor will individual participants lobby as a “member of IMTC.”

Initially, the IMTC group attracted a small contingent with a variety of interests aimed at using IMTC as either a funding source or a source of employment for their services. This included individuals with a range of roles exemplified by consultants and those using membership in fringe organizations as entrée to the process. Some clearly stated, early on, their intent to seek personal or organizational funding, while others were not so forthcoming. Some of these participants actually did contribute in some way to the process, while others were clearly there only for the purpose of seeking funding or paid work. To preserve the credibility of the project, these interests were discouraged from further participation in IMTC.

Funding is a substantial challenge for stakeholder groups such as the IMTC project. Generally, grassroots organizations cannot survive without a recurring revenue source. It is, therefore, vital to obtain front-end funding, staff the endeavor, exercise great care in conserving operational funds, and participate at the project level in funded projects. Many disparate sources of funding exist. The effort and time expenditure to capture project-specific funds are significant. Without those projects, however, the life of an ad hoc organization is automatically limited. Participants tire of the same old discussions with no respite in sight. Funding to complete projects is vital to the long-term viability of IMTC.

## **2.4.6 Midwest Regional Rail Initiative**

### *2.4.6.1 Background*

The Midwest Regional Rail Initiative (MWRRI) began in 1996 as a series of service concepts. The goals are to increase operating speeds, train frequencies, system connectivity, and service reliability to create a 21<sup>st</sup> Century regional passenger rail system. The plan is to connect population centers using 3,000 miles of existing freight and commuter rail lines in a 9-state region that includes Illinois, Indiana, Iowa, Michigan, Minnesota, Missouri, Nebraska, Ohio, and Wisconsin. By encompassing a multistate region, the service was found to be economically feasible due to higher equipment utilization, more efficient crew and employee utilization, and multistate rolling stock procurement. The sponsors of the MWRRI are the 9-state DOTs and Amtrak, which form the MWRRI Steering Committee.

Although the MWRRRI began in 1996, studies of high-speed rail systems in the Midwest had begun at least 10 years earlier. It was soon realized that Chicago was the hub for all these efforts. Through the American Association of State Highway & Transportation Officials (AASHTO), specifically the Mississippi Valley Conference, the States of Indiana, Iowa, Missouri, Nebraska, and Ohio were recruited into the effort by adding corridors between Chicago and Cleveland, Cincinnati, Omaha, and Kansas City. Adding these additional states increased the potential ridership, created greater operating savings through economies of scale, and generated more political clout for this effort. In August of 1998, the Midwest Regional Rail System Plan was published. This plan was further refined and enhanced; and in February 2000, the Midwest Regional Rail System Executive Report was published.

Funding for the 1998 Midwest Regional Rail System (MWRRS) Plan and the 2000 Midwest Regional Rail System Executive Report was provided by the states, Amtrak, and the FRA. The money was pooled and Wisconsin DOT was the administrative agent. State contributions ranged from \$10,000 to \$50,000 for these efforts, with the source of the funds varying between states. Wisconsin used state planning money that had been designated for multimodal studies. Missouri combined state money with MPO money.

“The primary purpose of the MWRRS is to meet future regional travel needs through significant improvements to the level and quality of regional passenger rail service.” (MWRRS Executive Report, February 2000).

#### *2.4.6.2 Coalition Accomplishments*

The MWRRS plan successfully outlined an improved rail system for the region. The rail system will require \$4.1 billion (1998 dollars) in capital costs and, once all lines are fully operational in 2010, approximately \$400 million annually in operating and maintenance costs. The economic analysis contained in the Executive Report showed a benefit-cost ratio of 1.7 by the year 2030.

The MWRRS capital improvement program will spread the \$4.1 billion costs over a 10-year period. The funding plan consists of a mix of funding sources, including Federal loans and grants, state funding, general funds, and capital and revenue generated from system-related activities (such as joint development proceeds). Federal funding will be the primary source of capital funds; with both transportation and non-transportation programs expected to cover 80 percent of the infrastructure costs. Some of the states are already using Federal funds to implement MWRRS components, such as highway/railroad grade crossing safety improvements. It is assumed that Federal Full Funding Agreements, Grant Anticipation Notes, and Transportation Infrastructure Finance and Innovation Act (TIFIA) loans will be used to ensure a steady flow of Federal funds and keep implementation on schedule.

An effort at the Federal level to provide a funding source for high-speed rail is underway. The High-Speed Rail Investment Act of 2001 is a \$12 billion bill

supported by Senators Trent Lott (R-MS) and Tom Daschel (D-SD). This bill seems to have support in the Senate, but may face a difficult time in the House and with President Bush. A similar bill, the \$10 billion High-Speed Rail Investment Act of 2000, was defeated. Most of the 20 percent provided by the states will be used to purchase trains. Where feasible, private sector financing will be solicited to augment public sector investment.

A TIFIA loan is the recommended mechanism to cover these initial operating losses. The load will be paid back over a 35-year period using future system revenues. The plan calls for a 10-year phased implementation of the MWRRS with various states performing different activities during the same year. An implementation schedule has been developed for each corridor, showing starting and ending times for project development, preliminary engineering and design, construction, and start of revenue service.

#### *2.4.6.3 Coalition Challenges*

The primary challenges related to implementation of the MWRRS are financing, for both capital investments and initial operating expenses, and construction scheduling. The MWRRS Executive Report lists several mechanisms for obtaining funding for this high-speed rail system. It recommends that 80 percent of the funding come from Federal sources. This creates a real challenge since the Federal government currently has no programs for funding passenger rail, except Amtrak. If the \$12 billion High-Speed Rail Investment Act of 2001 fails to obtain approval, the burden of financing this effort will fall to the states. Congress' efforts to eliminate funding for Amtrak are well known. Had Amtrak viewed the MWRRS as competition for scarce Federal funds, this could have turned into a very contentious issue. By joining forces, Amtrak and the nine states have gained lobbying strength and approach Congress with a united voice.

An additional challenge is the freight railroads. These railroads own most of the track necessary for implementation of the MWRRS. Obtaining the support of the freight railroads will be a challenge. Mixing 110 mph passenger trains with slower moving freight trains creates safety concerns and requires additional maintenance burdens and expenditures. With the exception of safety, the biggest concern of the freight railroads is that high-speed rail will force the slower moving freight trains to spend more time in passing sidings, thus, reducing capacity on an already constrained freight system. The Norfolk Southern line to Toledo and Cleveland, for example, already has serious capacity issues. Station capacity is also an issue at places such as Chicago Union Station. This area in particular is one in which the MWRRS feels that a win-win situation is possible. Using Federal funds to reduce highway/railroad grade crossings, improve signaling and communications, and increase the amount of continuously welded track (all necessary for high-speed rail) can greatly improve freight rail capacity and service. These enhancements could more than offset the reduction in capacity from mixing freight and high-speed passenger trains.

Retaining the active support of all nine states and Amtrak through the projected 2010 implementation will also be challenging. Both Ohio and Indiana are reported to be re-evaluating the benefits of the MWRRS to their respective states. The original three corridors (Chicago-Detroit, Chicago-St. Louis, and Chicago-Milwaukee) are projected for completion by the middle of year five. Chicago-Cleveland and Chicago-Cincinnati, which also provide service to Indiana, are scheduled for service in the middle to latter part of year six. The MWRRRI must remain united and provide continuous funding if the currently envisioned system is to be developed.

An open issue is who will be responsible for the operation and system oversight once the MWRRS is completed. Suggestions range from broadening the role of the MWRRRI Steering Committee, creating ad hoc multistate committees, establishing committees by multistate agreements, or creating a JPA through legislative authority.

## **2.4.7 Appalachian Regional Commission**

### *2.4.7.1 Background*

In the mid-1960s, at the urging of two U.S. presidents, Congress created legislation to address the persistent poverty and growing economic despair of the Appalachian Region. The Region's long downslide, aggravated by the decline of its economic mainstays, coal mining, basic manufacturing, and agriculture, had reached crisis proportions by the mid-1960s. In 1963, a special task force, the President's Appalachian Regional Commission (PARC), was created by President John F. Kennedy to examine Appalachia's special problems and to recommend solutions. Today, the Appalachian Regional Commission (ARC) is a regional economic development agency representing a unique partnership of Federal, state, and local government. Established by an act of Congress in 1965, the Commission is composed of the governors of the 13 Appalachian states and a Federal co-chairman, who is appointed by the President. Grassroots participation is provided through 71 multicounty local development districts (LDDs) with boards made up of elected officials, business representatives, and other local leaders. Each year, Congress appropriates funds which ARC allocates among its member states. The Appalachian governors, consulting with local development districts, draw up annual Appalachian development plans and recommend for ARC approval projects to implement. The broad objective of these programs is to support development in Appalachia's human and community infrastructure and to provide a climate for the growth of business and industry that will create jobs. ARC-funded programs include construction of an interstate-quality highway system, education and job training, health care, water and sewer systems, and other essentials of comprehensive economic development.

#### 2.4.7.2 *Coalition Accomplishments*

The base for ARC's economic development achievements, the Appalachian Development Highway System, is now 82 percent complete or under construction. Hundreds of thousands of new jobs have been created in counties with access to the new highways. Other ARC contributions to the Region's gains include the completion of thousands of industrial and commercial water, sewer, and waste disposal projects; construction or equipping of more than 700 vocational and technical facilities serving more than 50,000 students a year; rehabilitation of more than 14,000 housing units; and loan funds for small businesses.

Dramatic improvement in the Region since ARC's establishment is reflected in a reduction in poverty, a rise in per capita income, and a reduction in out-migration. In 1960, one in three people in Appalachia lived in poverty, compared with one in five in the nation as a whole. By the 1990s, Appalachia's poverty rate had been cut in half, while the nation's poverty rate had dropped by 40 percent. Since 1965, per capita income had risen by 6 percentage points to 84 percent of the national average in the 1990s. In the 1950s, over 2 million Appalachians, some 13 percent of the population, left the region in search of jobs and a better way of life. As the economy has improved with the help of ARC, emigration has been reversed to immigration and growth in all, but a few counties.

#### 2.4.7.3 *Coalition Challenges*

Course corrections have been made to ARC programs throughout the years, but more drastic ones came in fiscal year 1983 when the ARC finish-up program began. The launching of the finish-up program was preceded by a period of crisis for ARC. In trimming the Federal budget, the new administration in 1981 included termination of the ARC area development program and of the Commission itself. The highway program would continue, but would be cut and funded by the DOT from the Highway Trust Fund.

The Appalachian governors, meeting in February 1981, agreed to accept fair-share cuts of ARC funds, but unanimously agreed, in a bipartisan resolution, that the Commission should not be abruptly terminated. After negotiation with Congress and consultations throughout the Region, the governors responded to a congressional request for recommendations as to how the highway program might be completed and the area development program phased out over three to five years. The December 1981 gubernatorial response, entitled "A Report to Congress from the Appalachian Governors Concerning the Appalachian Regional Commission," was a bipartisan compromise. Among the 13 governors, some argued that the ARC program is so effective that it should not be terminated at all. Others, while praising the program, wanted to reflect the administration's fiscal concerns.

## 2.4.8 Lessons Learned from Early Efforts in Multistate/ Jurisdictional Transportation Alliances

The white paper notes several lessons learned from the case studies. These lessons learned are summarized below in four different categories:

### 1. *Formation*

- Multijurisdictional coalitions have their origins in a transportation need, which transcend jurisdictional boundaries and which cannot be addressed easily using traditional approaches;
- In recognition of such needs, some agencies typically take the initiative regarding organizing activities and often become the champion for the coalition; and
- Formation of such coalitions is facilitated when the participants have had previous experience working in another organizational setup (such as SASHTO).

### 2. *Organizational Structure*

- The degree of formality of a coalition can vary significantly ranging from a formal MOU to a Terms of Reference Agreement;
- Ensuring win-win outcomes is important to maintain participation of all members, even if one member is perceived to be a bigger winner than another member;
- The improved understanding and communication fostered from coalitions often extend to matters outside the original framework of the coalition;
- It is helpful for a public sector coalition to have the support of a well-organized and active private sector advocacy group with similar objectives;
- A proactive outreach program to generate public participation can have both beneficial and detrimental impacts on achievement of a coalition's mission; and
- Coalitions often must retain consultant services to undertake studies and/or other activities because they involve staff resource commitments which cannot be made by alliance members.

### 3. *Decision-Making*

- Major decisions often are resolved outside of formal meetings, and such decisions are then formally ratified at the meetings themselves. Coalitions tend to find a consensus while avoiding a contentious vote.
- Coalitions tend to operate on a volunteer basis in the pursuit of shared interests. Participants do not relinquish any of their prerogatives with regard to findings and decisions of the Alliance.

- Coalitions experience somewhat lengthy timetables for decisions and actions. The larger the membership, the more extended the timetable.

#### 4. *Funding*

- For coalition members, participation involves funding of staff involvement and, in most cases, travel expenses for meeting attendance.
- Funding for coalition activities and implementation of its proposals can be the deciding factor in the success of a coalition.
- A pooled fund approach is generally the most efficient funding procedure, particularly in attracting Federal funding.
- The Federal government typically plays a disproportionately significant role in these alliances due to the importance of funding.
- The level of resources needed grows with each phase of the coalition effort to the point that the coalition itself cannot support the funding needs and has to reach outside for funding. The costs associated with formation are minimal (typically thousands of dollars) financed by the members. Costs associated with needs identification typically range from hundreds of thousands to several million dollars and are funded through a variety of sources, including Federal grants, state dollars, and MPO funding. The implementation phase consists of big-ticket projects and can range from hundreds of million of dollars to billions of dollars.
- Coalition projects must compete with other funding needs of the members. Therefore, securing funding for implementation of projects depends on the ability of the individual members to prioritize these projects among other projects in their separate jurisdictions and on the ability of the coalition to secure external funding.
- The continued success of this approach is largely dependent on the development of new and innovative funding mechanisms directed at multistate/jurisdictional coalitions.

## 2.5 NATIONAL FORUM ON CHALLENGES WITH MULTISTATE/JURISDICTIONAL TRANSPORTATION ISSUES

### 2.5.1 Background on the Forum

In June of 2001, the National Forum on Challenges with Multistate/Jurisdictional Transportation Issues was convened by the FHWA, the I-95 Corridor Coalition, the Transportation Research Board (TRB), and AASHTO. The purpose of the forum was for participants to examine both past accomplishments and future prospects for multistate/jurisdictional efforts dealing with transportation issues.

Forum attendance and representation of the diversity of stakeholders demonstrates intense interest in subject of multistate/jurisdictional organizations.

The forum was held over two days to permit the presentation of ideas from individuals with diverse backgrounds, including Federal agencies; the private sector; and representatives from regional commissions, coalitions, multistate studies, state agencies, regional planning agencies or MPOs. A total of 164 individuals from the transportation community attended the forum in Crystal City. Attendees came from a total of 33 states (including the District of Columbia) and one province of Canada to discuss the potential for multistate and multijurisdictional approaches to solving transportation problems. The percentage of participants in various categories included 27 percent Federal agencies, 30 percent private organizations, 9 percent local agencies, and 34 percent state agencies.

Breakout groups of participants on both days of the forum were facilitated. These groups were assigned on Day 1 to review existing efforts of multistate/jurisdictional organizations and determine existing successes and issues. On Day 2, groups discussed the future for multistate/jurisdictional decision-making.

The FHWA white paper on challenges with multistate/jurisdictional transportation was used as source material for the conference. There were many comments from conference participants that mirrored those found in the white paper. However, conference participants provided much more detailed information regarding multijurisdictional planning that was not described in the paper. This section describes this supplemental information.

## **2.5.2 New Issues Identified in Forum**

Conference participants identified challenges in four categories: 1) organizational, 2) continuity, 3) process, and 4) communication. Many of the organizational challenges echoed those that were described in the FHWA white paper. However, an added challenge related to continuity was identified as the problem of agreeing to establish a set of measures by which success can be determined, so that progress can be demonstrated. It was noted that the performance measures could be vastly different for different coalitions, depending on their reason for formation. For example, successes of multistate/jurisdictional organizations can be demonstrated in a variety of settings, such as improvements to regional highway corridors, traffic information sharing, freight pickup and delivery efficiencies, economic improvement, addressing border crossing issues, or increasing rail service areas.

There were several new process challenges that were identified in this Forum. Many participants explicitly described the importance of freight in performing multijurisdictional planning. This is of particular relevance because a disproportionately higher percentage of freight trips tend to cross jurisdictional boundaries relative to passenger car trips. Specifically, conference participants stated that increasing support for multijurisdictional planning is one method for providing more support for freight-related projects and programs. An additional

process change was the desire to include economic development more explicitly as a goal for multijurisdictional organizations. There was also concern about the ability of these organizations to examine network impacts of improvements to subsectors of the transportation network. Finally there was the challenge of establishing standards for technological development and deployment, and increasing the focus on performance measurements.

Multistate/jurisdictional organizations might focus on systems and regions, not just modes and corridors. An example is the planning that incorporated the interaction between rail and roadway freight systems with the national need for continued economic development. Joining transportation improvements and other public investment in infrastructure may be a means to promote this form of economic development. In several of the groups discussed in this forum, economic development for a multistate region, as opposed to development of a national transportation system that serves the region, has been viewed as the major purpose of organizations' efforts. Several multistate/jurisdictional organizations have been encouraged to think about benefits derived from improvements in systems and regions, not corridors.

### **2.5.3 Government Involvement**

During the conference, there was a significant amount of discussion regarding the efficient role of Federal, state, local, and MPO government in multijurisdictional organizations. This feature of the conference provided detailed information that was not described in the FHWA white paper. Most of the breakout groups disapproved of creating a Federally-mandated method of forming multistate/jurisdictional organizations. Such a mandate would be contrary to the current flexible structure of most multijurisdictional organizations. Conference participants stated that the private sector in particular would not respond well to this proposal, although it is noted that the private sector was not present in significant numbers for this discussion. Conference participants were also concerned about Federal participation resulting in an unfunded mandate within programs where money is already in short supply.

#### *2.5.3.1 Potential Federal Roles*

As described in the conference proceedings, the groups identified the following three major Federal roles as shown below and several specific activities for Federal government involvement:

1. The Federal government should articulate the rationale for a multistate/jurisdictional organization.
  - a. Describe a compelling national imperative or need (e.g., international commerce);
  - b. Establish a basic national policy statement regarding multistate/jurisdictional organizations;

- c. Set out potential multistate/jurisdictional organizations of interest to states or regions – defined by state or regions; and
  - d. Help address challenges not met by existing entities and processes.
2. The Federal government should support the formation and maintenance of multistate/jurisdictional organizations.
    - a. Determine which multistate/jurisdictional organizations support needs are in the national interest;
    - b. Share best practices and lessons learned to incubate and encourage development of multistate/jurisdictional organizations;
    - c. Facilitate debate within and among multistate/jurisdictional organizations;
    - d. Assure results in performance of multistate/jurisdictional organizations; and
    - e. Research performance measures for multistate/jurisdictional organizations.
  3. The Federal government should assist groups with supplemental funding.
    - a. Establish criteria for which endeavors might be funded with seed money;
    - b. Provide seed money for efforts that satisfy criteria;
    - c. Increase flexibility of state and local funding to make groups easier to support; and
    - d. Continue earmarking of funding, as needed.

### 2.5.3.2 *Federal Financial Support*

Comments during the forum reinforced the importance of Federal funding in multijurisdictional organizations. Federal funding sources are seen as the best source of seed money, and transportation funding tends to drive the issue of group formation. Since economic development is frequently one of the issues in a multistate/jurisdictional organization, non-transportation Federal agencies may also be able to assist with funding.

Participants agreed that Federal funds for multistate/jurisdictional organizations should not be taken from state obligation authority. Across-the-board funding should be provided above the Federal obligation. One group suggested that national efforts to encourage multistate/jurisdictional organizations should be very carefully crafted and should be structured to avoid opportunistic formation of multistate/jurisdictional organizations. Participants suggested that Federal funding assistance might be tied to the structure of a multistate/jurisdictional organization. In short, the scope, structure, and constituency of a multistate/jurisdictional organization may determine the funding requirements and guide requests for Federal funding assistance. One participant asked if it would be

feasible to find funding for a multistate/jurisdictional organization in other Federal programs (e.g., programs supporting economic development).

### *2.5.3.3 Other Types of Federal Support*

As described in the conference proceedings, many groups noted that Federal funds are not absolutely necessary for a multistate/jurisdictional organization. A memorandum of agreement or understanding can be initiated without Federal funding, but Federal assistance is desirable for sponsorship and sustainability of the organization. Other means of Federal support are helpful, such as national and/or regional data collection and assistance with analyses. Federal involvement might include descriptions of best practices in formation and operation of multistate/jurisdictional organizations. Instead of guidelines or regulations, examples may highlight appropriate or potentially successful approaches, as well as the benefits that accrue to membership in such groups.

Most groups agreed that the Federal government could play a major role in data gathering. In any national policy scenario, a nationwide database system could be developed for collection and analysis of regional data. Staff would be required to carry forward such a data management program on a consistent basis and perhaps to conduct planning studies.

### *2.5.3.4 State and Local Government Involvement*

During the conference, there was a lot of discussion about how increased state involvement in multistate coalitions would impact their current role within the state. For example, a state DOT may be pressured to put money into a multistate/jurisdictional project that otherwise would be a low priority for that state. This possibility suggests that giving too much power to multistate/jurisdictional organizations could become a threat to state DOTs and MPOs, and lead to increased competition for limited Federal funding. Concerns were expressed about creating winners and losers among the participants in a multistate/jurisdictional organization. For example, if the need for an improvement is regional in nature, but the needed action takes place within a single jurisdiction of a multistate/jurisdictional organization, who should pay? Some participants suggested that the creation of infrastructure banks could help in these situations.

### *2.5.3.5 MPO Involvement*

MPOs are multijurisdictional coalitions by their nature. Generally, they have not been significantly involved in interregional coalition formation, even though they are a major mechanism for planning and funding transportation improvements. MPO regions are the origin and destination of a large proportion of multijurisdictional freight and passenger trips, and can be major choke points for freight and passenger traffic flows. During the conference, one difficulty in identifying the role of MPOs is that their boundaries tend to be based on population patterns rather than economic patterns. This can be contrasted with the economic regions which are the focal point for the freight portion of most

multijurisdictional coalitions. Within an economic region, MPOs may not cover sufficient territory. One potential approach discussed at the conference may be to get MPOs to think about and fund projects jointly with other MPOs. For multijurisdictional regions, MPO-level planning could be supplemented by planning at a larger regional level that would include additional jurisdictions.

Many conference attendees felt that MPOs will need to become more involved in multistate/jurisdictional organizations. Several factors are thought to determine the success of MPOs gaining such involvement. MPOs would need to work beyond its traditional parochial concerns. MPOs may want to be involved in specific corridor work, but not larger regional issues. Rural areas may not see benefits in joining an organization serving a metropolitan region. Some MPOs may be less inclined from exploring issues and topics outside of those normally handled by MPOs.

Conference participants also identified that there is a likely MPO issue in funding multistate/jurisdictional organizations, if they take Federal funding away from existing resources available to MPOs. Without such a conflict, MPOs might support such organizations to a greater extent. On a project decision-making level, MPOs should be involved because of their role in the Transportation Improvement Process and because they are potential resources in a region.

#### *2.5.3.6 Private Sector Involvement*

Forum participants, who did not include large numbers of representatives of the private sector, suggested that the ad hoc nature of multistate/jurisdictional organizations may be preferred by the private sector. If private sector needs are already being met by a multistate/jurisdictional organization they may not become heavily involved. On the other hand, a request for development of a multistate/jurisdictional organization may be led by the private sector. A public sector champion of such a group remains important, and the private sector may be encouraged to join as sponsors. In this way, the private sector would have a stake in the success of the organization without requiring equal participation as that of transportation planning agencies.

### **2.5.4 A National Vision for Coalitions**

Another unique activity that occurred at the forum was the attempt to generate a national vision for multistate jurisdictional coalitions. Conference participants identified aspects of multistate/jurisdictional organizations that could form the basis for such a national vision. Many of these statements are consistent with the FHWA white paper. However, these statements were organized in a systematic manner that can be used as the genesis of a unified vision for multistate/jurisdictional planning. As noted in the conference proceedings, these statements are as follows:

- Multistate/jurisdictional organizations are formed by compelling needs and shared interests among organizations. A customer focus is essential to assure that the principal benefits are designed to help clients of the member organizations – the end users of their services and facilities.
- Multistate/jurisdictional organizations should not compete with member functions, and should foster examination of systems and regions, not just modes and corridors. The Federal government transportation agencies can encourage a national awareness of regional issues and a bigger regional picture.
- Partnerships are the principal requirement of a multistate/jurisdictional organization. The strengths of the organization are based on championing ideas and actions that have broad political and grassroots support.
- Agreement can extend across jurisdictions and borders, among varying levels of government and between public and private sectors, and for metropolitan areas and economic regions. Multistate/jurisdictional organizations should encourage implementation by individual agencies that are coordinated with organization goals. Groups should come to an early determination that members should avoid detrimental competition with each other.
- To the extent possible, transportation services should be offered through horizontal integration of providers, which would be based on coordination across companies, modes, and geographic areas. To a large degree, this involves working with partners to address problems that extend across jurisdictions, and defining what elements multijurisdictional planning should include.
- Multistate/jurisdictional organizations should cooperate in establishing strategic goals and objectives for each organization. Activities of groups should encourage joint promotion for a local project that benefits a larger region. They should give extra effort toward initiating and funding regional studies that are intermodal in both freight and passenger transportation activities.
- Multistate/jurisdictional organizations need to find ways to measure results of coalition activities, perhaps by looking at the costs and benefits of such groups to a region and to individual agencies. Intergovernmental agreement is essential to promote continuity of efforts by these organizations; non-government agencies may also need to become parties to agreements.
- Multistate/jurisdictional organizations should integrate large-scale planning with other activities of their members. Members may need assistance to enhance organizational culture changes within DOTs and in transportation planning. Multistate/jurisdictional organizations can help transportation agencies throughout the country to examine and encourage thinking and acting on regional issues.
- The Federal government is a major factor in providing communications and data about the activities of multistate/jurisdictional organizations, their

successes and opportunities, and lessons from present experience from corridor programs. Federal funding for multistate/jurisdictional organizations should be continuous and flexible to empower these organizations toward innovation and change. Funding mechanisms should encourage state, regional, and local leveraging for additional funding or services.

- A national strategy could help coordinate efforts and determine how multi-state/jurisdictional organizations might fit strategically at the national level. Federal agencies could play a major role in data gathering. National leadership could help establish a set of measures by which coalition success can be determined.

### **2.5.5 Evaluating Options for Multistate/Jurisdictional Organizations**

The forum participants discussed many potential improvements to multistate/jurisdictional organizations. Although there was a plurality of opinions, the discussion identified a potential option in formation of these organizations. As noted in the conference proceedings, the current ad hoc approach to forming these organizations, while good for relatively fast implementation of programs and projects, was not seen as a sufficient basis for strategic planning. This approach was seen as analogous to a “card table with shaky legs.” At the same time, breakout groups tended to disapprove of the “highly structured”, Federally-guided model of forming multistate/jurisdictional organizations. These organizations are thought to be more difficult to establish, more difficult to change focus once established, and more difficult to sunset. There was discussion of a middle path that could lead to a “steering authority” role for multistate jurisdictions. This option would provide for a more powerful national planning role, in which AASHTO, U.S. DOT, and the governors would jointly develop a national strategic approach to transportation issues. This national policy then could set a context for subregional efforts. For example, a national freight policy could become a focal point of national strategy, giving guidance to specific improvements within corridors. Policy could be developed by a study commission. Seed money grants could be based on this policy and used to create a forum for a multistate/jurisdictional organization. The money could be based on, potentially, a multistate/jurisdictional TIP. A Federal effort that supports multi-state/jurisdictional organizations toward creating a forum for common interests was considered to be a good idea. This would be a national forum of outreach to regions.

### **2.5.6 Potential Follow-up to the Conference**

Participants in the forum discussed activities that the Federal government might pursue on behalf of coalition formation and support. These can be included for consideration as potential options for moving forward with a national vision on multistate/jurisdictional coalitions. Potential actions for the Federal government are shown below.

- Include freight considerations in support of multistate/jurisdictional coalition efforts.
- Examine bifurcations in Federal regulations that inhibit multimodal planning.
- Use public funding in support of private efforts on behalf of coalitions.
- Encourage looking at interregional issues in planning regulations.
- Find ways to measure results of coalition activities, perhaps by the costs and benefits of coalitions to a region and individual agencies.
- Establish specifications for better data to help coalitions.
- Examine and encourage thinking and acting on regional issues in transportation agencies throughout the country.
- Act as a champion for a coalition; find partners and build grassroots and political support for coalition activities.
- Base coalition activities on strategic planning for the coalition and its members.
- Promote and fund regional studies that are intermodal.
- Accelerate the pace of program implementation for freight movement.

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## **3.0 Analytical Framework for Evaluating Success Factors in Multistate Corridor Planning Efforts**

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## 3.0 Analytical Framework for Evaluating Success Factors in Multistate Corridor Planning Efforts

This chapter describes a theoretical framework for analyzing multistate corridor planning. This framework is developed based on four primary sources: 1) the evolution of provisions encouraging multistate planning in the Federal transportation legislation; 2) the early multistate/jurisdictional alliances discussed in the FHWA white paper; 3) documented feedback by state and local transportation officials, such as at the National Forum and the “Listening to America” series; and 4) experiences of the consultant team in performing and tracking multistate corridor planning efforts. In Chapter 4.0, this theoretical framework will be tested by recent examples of multistate planning efforts focused specifically on corridors.

A framework for analyzing multistate planning efforts can be divided into six categories:

1. Formation of the multistate planning effort;
2. Organization of the multistate planning effort;
3. Legal authorities;
4. Funding of the multistate planning effort;
5. Data and analytical tools needed; and
6. Stakeholder involvement.

This section describes the key issues that influence success or failure of a multistate corridor planning program across each of these six dimensions.

### 3.1 FORMATION OF THE COALITION

The case studies illustrate that multijurisdictional planning efforts can be initiated for several reasons. As part of the Borders and Corridors program, they categorized projects loosely into either mobility or economic development projects. Similarly, this can be done for multistate alliances with the understanding that often mobility-based alliances will also expand the economy in the alliance’s region, and economic development-based alliances often seek to improve mobility to make the flow of goods and people more efficient (Table 3.1). In either

case, the initial reason for the formation of the coalition is the key aspect. For example, the I-95 Corridor Coalition was initiated to deal with congestion issues not to bring more jobs or economic output to the areas along the I-95 Corridor. This can be contrasted with LATTs which was formed specifically to support economic activity in the region. Each of the coalition's participants was interested in maximizing the amount of economic activity that could be generated in their specific region. The border alliances are more complicated in that they focused on key facilities for international trade. However, these are considered to be mobility projects, because the key motivator for the alliances was congestion at the border crossing facilities, not the desire to increase economic trade on either side of the border.

**Table 3.1 Reason for Formation of Multistate Coalitions**

<b>Coalition</b>	<b>General Category</b>	<b>Specific Reason for Formation</b>
I-95 Corridor Coalition	Mobility	Increase efficiency of moving passengers and freight in an already congested corridor
LATTs	Economic development	Identify future transportation requirements needed to support increasing trade with Latin America
I-69 (Corridor 18)	Economic development	Improve economic attractiveness of congested areas along the corridor and develop a NAFTA Corridor
Binational Border Transportation Planning and Programming Study	Mobility	Improve efficiency of border crossing locations between the U.S. and Mexico
IMTC	Mobility	Improve efficiency of cross-border travel in the ports of entry for the Cascade Gateway
MWRRI	Mobility	Study the feasibility of developing high-speed passenger rail connecting major cities in the Midwest
ARC – Development Highway System	Economic development	Develop over 3,000 miles of roadway to connect the Appalachia with the nation's economic mainstream

All coalitions must deal with internal tensions regarding which jurisdictions receive funding and how projects are prioritized within the coalition. Economic development coalitions are complicated by the fact that often entities within the coalition compete with each other as much as the coalition competes with external regions. LATTs is a good example of this complexity. States were unable to agree on future growth patterns in the region, because the ports within the alliance states are involved in stiff competition with each other to capture that growth. For the I-69 Corridor, this complexity was simplified, because the coalition was already focused on a single corridor rather than a sprawling region. For the ARC Highway System, these competitive forces were sublimated by the larger commission, which had a long history of dealing with the economic development of the entire region.

Coalitions that are focused on mobility rather than economic development benefit from being focused on a more easily quantifiable task that is impacted by a smaller range of variables, many of which can be strongly influenced by the Coalition members. For example, it is relatively straightforward to determine the performance of a corridor in terms of mobility. Traditional performance measures, such as travel speed, volume-to-capacity (V/C) ratios, travel times, and number of accidents, can be used in this process. These can be tracked over time to determine the need for a mobility-focused planning effort, and also to determine how well the effort has come to achieving its goals. However, economic development in a region is significantly impacted by macroeconomic forces outside of the control of a multistate coalition. There are also several microeconomic forces within the coalition region that will significantly impact the economy that are not at all related to the transportation infrastructure, such as education of the work force, availability of raw materials, and demographic changes. It becomes difficult to determine the extent to which the multistate corridor planning effort impacted the economic conditions of the area. Therefore, it is difficult to determine the level of success of multistate coalition's focused on economic development. Economies with ample transportation systems can sometimes sputter, while economies with significant transportation issues can thrive for relatively long periods of time.

The overriding consideration is that to be successful coalitions should be formed to address issues that are specific, measurable, and actually under the jurisdiction of the coalition members. This focuses the energy of the coalition into a specific set of activities that can be tracked over time and compared back to initial goals. Mobility is a specific enough goal to enable this process to occur naturally. Mobility is also purely a result of the transportation system's ability to handle the travel demand, so it is fully under the jurisdiction of transportation agencies that typify multistate coalitions. If the goal of a coalition is economic development, then the coalition should take some time to determine specifically what transportation infrastructure it is attempting to improve (such as the I-69 Corridor), or it should be strongly linked with a larger economic development entity that can deal with the full range of economic development needs of a region (such as the ARC).

## 3.2 ORGANIZATION OF THE COALITION

Membership in coalitions can be grouped into three broad categories: 1) executive-level decision-makers (both public and private sectors); 2) program managers and policy-makers; and 3) technical specialists in a broad range of specialties (e.g., pavement management, planning, logistics, IT, warehousing, economic development, environmental assessment, tourism, etc.). All three levels are essential for a successful coalition, with each level understanding its expected participation and role.

In the absence of direct executive-level involvement, initiatives are moved upward through organizations, generally without a strategic vision articulated by executive-level authority. In this case, coalitions may make incremental improvements, generally based on specific program objectives, but the progress may be slow, interrupted, and face variable direction and support. Executive-level involvement guarantees resources to carry out coalition functions and increases accountability for the coalition. Without resources and accountability, initiatives generally cannot be carried out effectively. Worse, the coalition will become heavily process laden which is the absolute kiss of death for an effective public/private coalition.

In the absence of technical specialists defining options and specific strategies, the coalition's progress will be hollow, potentially consisting of photo opportunities and news releases without an administrative or implementation strategy to carry out the executive vision. A coalition driven solely by executive-level support generally fails with a change in executive leadership, as priorities and interests of new leadership may change. In the worst case, the coalition continues meeting out of force of habit with little chance of advancement and without an executive champion.

In the absence of program managers and policy specialists to link the technical analysis to executive decision-making, technically-defined solutions will have no path to reach executive-level decision-making authority, and executive accountability will be decoupled from actual program execution. Program managers and policy specialists tend to understand organizational and institutional issues very clearly, having significant experience navigating the structural institutions of their respective transportation agencies. With their involvement, technical approaches can be molded to fit strategic goals and objectives. Without their involvement, solutions and objectives seldom meet, and the coalition, while active, may not achieve the effectiveness desired.

The case studies in the FHWA white paper were chosen because they were perceived to be successful examples of multistate/jurisdictional planning. In terms of organizational structure, they were all successful in garnering support and participation from the three required levels: 1) executive-level decision-makers, 2) program managers and policy-makers, and 3) technical specialists. There were two distinctly observable paths to reaching this level of participation. The majority of the coalitions was formed from the top down. These were formed

when executives of agencies realized a multistate need; rallied executives in other organizations; and directed managers, policy-makers, and technical specialists to work in the coalition. Examples of organizations that were formed in a top-down fashion include ARC, LATTs, and the Binational Border Transportation Planning and Program Process. These coalitions benefit from high levels of support, but tend to be larger in nature in terms of the number of agencies involved in the coalition. Organizations that form from the top-down are often formed to leverage Federal funding opportunities in legislation.

Organizations that were formed in a more bottom-up fashion include the I-95 Corridor Coalition, the IMTC, and the I-69 Corridor. These coalitions were formed as technical specialists and program managers met on an informal basis over a long period of time to work on smaller issues. As the issues became larger in nature, these informal groups became the focal point for more formal organizations at the direction of executives and policy-makers. The I-69 coalition actually was initiated by private-sector interests (roughly equivalent of technical specialists) who eventually caught the interest of several MPOs and state DOTs along the I-69 corridor, many of which were already working on separate improvement projects on the corridor. For the IMTC project, several public agency, business, and nongovernmental entities started responding to border congestion and regional impacts of increasing cross-border travel demand. This informal partnership was given increased prominence as NAFTA and the Canada-U.S. partnership were enacted and formalized, while ISTEA was underway. Organizations that form from the bottom up tend to become formal entities as provisions in Federal funding, and legislation provides benefits to structured organizations over informal alliances.

### 3.3 LEGAL AUTHORITIES

The degree of formality of a coalition can vary significantly ranging from a formal MOU to a Terms of Reference Agreement. The FAST Corridor is an example of a coalition that was successful in developing a formal MOU. Through this MOU, coalition members agreed to fund the projects proposed by the coalition until funding for all of the projects was raised. The coalition members also agreed to the project prioritization process that was developed by the FAST Coalition. While this project was not a multistate planning effort, it does provide an example of a legal authority that can be considered to streamline participation and funding of a multijurisdictional planning process from project study through project implementation.

The multistate coalitions described in the FHWA white paper tended to operate on a volunteer basis in the pursuit of shared interests. Individual members did not relinquish any of their prerogatives with regard to findings and decisions of the coalitions. Because this is the predominant organizational structure of these organizations, it is crucial to develop not just win-win outcomes, but outcomes where each of the members win in relative proportion to their level of

participation and funding in the coalition. This can result in non-optimal project identification and prioritization in a coalition. For example, in LATTs, several projects and facilities were included in the project recommendations list because each of the states in the organization was required to have at least one of its port projects and five state-selected projects included in the final list. More time spent upfront formalizing the nature of the coalition can be used to avoid such non-optimal project prioritization results.

### 3.4 FUNDING OF THE COALITION

The FHWA white paper described three phases of a coalition: 1) formation, 2) planning, and 3) implementation. Funding is an essential element of each phase of funding. During the coalition formation process, potential coalition members require funding to travel and attend meetings. Many multistate coalitions have suffered due to the large amount of money required for setting up meetings in the initial phases of coalition formation. For example, the Binational Border Transportation Planning and Programming Study alternated meeting locations between Mexico and the U.S. For coalition members that were traveling across national borders, meetings often were very expensive, often slowing the meeting formation and creating hesitancy in coalition members to continue actively supporting the coalition. LATTs adopted the practice of defraying travel expenses for coalition members, thereby, eliminating this funding restriction. Transportation agencies that are interested in participating in multistate coalitions should develop travel policies with adequate funding to support the formation stage of the coalition which can often take several months.

During the planning phase of a coalition, funds are often required to perform several activities, including collecting and analyzing data, study issues, meeting to develop consensus, and developing a report. The most common source of these funds for state DOT is State Pooled Research (SPR) funds. LATTs was funded initially with \$100,000 from each of the state DOTs' SPR funds (except Kentucky which used general state funds). The FHWA then committed \$200,000, later increased to \$400,000, and the coalition utilized the FHWA pooled fund system as its funding mechanism. This pooled funding was cited as one of the primary reasons for the success in implementing the study and maintaining the strength of the coalition through the planning process.

The implementation phase of multistate coalitions is the most expensive as projects must move through the environmental, design and construction processes. The FHWA white paper cited funding as the most significant challenge to the implementation of the project recommendations. Preliminary cost estimates indicate that the I-69 project would consume a significant proportion of state-wide funds available for construction. Thus far, I-69 had some success in obtaining the FHWA grants of discretionary funding, but these grants have only been of a sufficient scale to perform planning studies, as well as preliminary

engineering and environmental assessments. The funds have been far from what is needed to build this ambitious project.

The IMTC was successful in securing funding for project implementation. All of the IMTC projects have included a large component of U.S. Federal funds. For the IMTC Coordination of Binational Planning, Federal funds were awarded to WCOG, and these funds were matched by the Washington State DOT. This funding was repeated for the IMTC Cross Border Travel Study with the difference that a U.S. consulting firm was hired as a prime consultant to assist with the work, and the prime consultant hired Canadian subconsultants to assist with the work. For the ITS CVO Phase II implementation, U.S. Federal funds were matched with funds from Canada, British Columbia, and the Wisconsin DOT.

The ARC has been successful in raising a significant amount of funding for project implementation. In passing TEA-21, the Appalachian Development Highway System was authorized for \$2.25 billion through FY 2003 from the Federal Highway Trust Fund. Funding levels for ARC were roughly \$400 million from TEA-21 with an additional \$200 million annually in congressional earmarks. States matched Federal grants under an 80/20 ratio, with states providing 20 percent. This was a significant funding accomplishment for the ARC Highway Development System, and was due primarily to the long-standing recognition by several influential political leaders that ARC was a priority for economic development in the country. The ARC funding model is likely not an easy funding model to replicate for other multistate coalitions. In general, the pooled fund approach is recommended for the implementation phase as well. It is generally the most efficient funding procedure for sharing funding responsibility for a multistate coalition, and it is particularly useful in attracting Federal funding.

### 3.5 DATA AND ANALYTICAL TOOLS

Data and analytical tools are used by multistate planning efforts for several purposes. The multistate coalitions use data to convince members and potential members that participation in the coalition is important. The coalitions also use data to convince funding partners to contribute to both the planning effort and the project implementation. Additionally, project identification and prioritization within each coalition are direct results of what the coalition members believe in terms of current usage and forecasted growth of the multistate corridor. Therefore, generating consensus on these data elements is a crucial part of the multistate coalition planning process.

Relevant data on current levels of activity are collected on a regular basis as part of state departments of labor/economics and state DOTs. These data tend to include automobile and truck counts, employment levels at the substate level for different industries, and economic output for various industries at the state or substate level. These data are often collected routinely (such as the count data required by the FHWA Highway Performance Monitoring System (HPMS)), or

they are extracted from samples of data in a straightforward, non-controversial fashion.

However, methods of forecasting population growth, economic growth, and transportation demand can vary significantly in each state. This is particularly true for forecasts that are done at the substate or corridor-specific level. This variation can be a result of differing assumptions about macroeconomic growth in regional, national, or international transportation demand. It can also be a result of the level of sophistication incorporated into each of the tools in terms of the variables that are considered to generate the forecast. In cases where unbiased forecast data are unavailable, the selection of an analytical tool and methodology to generate these forecasts often becomes a politicized decision. This was the case for LATTs, where the distribution of trade to each of the Southeastern states in future scenarios was assumed to be the same as in the base year. This simplistic forecast was politically expedient, but it does not accurately reflect the realities of different growth rates of different commodities, growth differences between states, or capacity considerations for international gateways and their connectors to the highway system. The methodology of the LATTs forecast also casts doubt upon the projects identified as critical by the study and the need for funding for the entire LATTs funding.

The LATTs forecast can be contrasted with the forecast methodology used for the IMTC project in which a binational consortium of officials and consultants teamed to generate specific forecasts based on forecasted employment and economic growth at the substate level in the U.S. and the subprovince level in Canada. This methodology more accurately predicted which of the border crossing locations were going to grow the fastest, thereby, providing valuable information for project development and fundraising purposes. The I-95 Corridor Coalition did not have a formalized travel demand model in its first 10 years, but for projects such as the Mid-Atlantic Rail Operations Study, a sophisticated subregional model was developed using information from public- and private-sector sources to determine which bottlenecks were critical for improving rail operations in this multistate region. This reinforces the connection between having an unbiased analytical tool to provide accurate data, and ultimately inform the project selection and funding processes.

### 3.6 STAKEHOLDER INVOLVEMENT

There were several different combinations of stakeholders involved in each of the multistate/jurisdictional coalitions in the FHWA white paper (Table 3.2). Some coalitions reserved involvement for only Federal transportation agencies and state DOTs. Examples of this include LATTs, the Binational Border Transportation Study, and MWRRI. Other coalitions, such as I-95 and the IMTC, had involvement from a broad range of stakeholders, including MPOs, ports, and the private sector. It is interesting to note that these two organizations (along with ARC) were the organizations that progressed the furthest in terms of

implementing projects. The indication is that state and Federal agencies can progress as far as studying issues, but in terms of implementation, other agencies such as MPOs, ports, and the private sector must eventually become involved to ensure that projects match with the needs of all relevant stakeholders in the coalition's region.

**Table 3.2 Stakeholder Involvement in Early Multistate/  
Jurisdictional Coalitions**

<b>Coalition</b>	<b>FHWA</b>	<b>State DOTs</b>	<b>MPOs</b>	<b>Ports</b>	<b>Private Sector</b>	<b>Other</b>
I-95	X	X	X	X	X	Toll agencies, Amtrak
LATTS	X	X				
I-69		X			X	Civic and elected officials
Binational Border Transportation	X	X				Mexico DOT equivalent
IMTC	X	X	X	X	X	Inspection agencies, border municipalities, NGOs
MWRRRI		X				FRA, Amtrak
ARC						406 counties in 13 states

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## **4.0 Case Studies in Multistate Corridor Planning**

## 4.0 Case Studies in Multistate Corridor Planning

The chapter provides four case studies focused specifically on multistate corridor planning. These case studies will be compared to the analytical framework proposed in Chapter 3.0 to measure the ability of the framework to capture the key elements of success for multistate corridor coalitions. The first case study is an update of the I-95 Corridor Coalition. This coalition was been very active since it was described in the 2001 FHWA white paper on the early efforts in multi-state/jurisdictional challenges. Information on the I-95 Corridor Coalition was compiled primarily based on the newsletter that is available on its web site and the consultant team familiarity with the ongoing Coalition efforts. The other three case studies described in this chapter are multistate corridor coalitions that were formed after the FHWA white paper was developed. These three coalitions are the West Coast Corridor Coalition, the National I-10 Freight Corridor, and the North America Super Corridor Coalition. Information on these coalitions was compiled primarily through interviews of key stakeholders for each organization. Information was also gathered from coalition web sites and press articles about coalition activities.

Note that there are several other corridor coalitions which could have been included in the case studies, such as the I-81 Coalition and the Continental 1 Corridor Coalition. However, it was decided to utilize the resources of this study to provide depth to four coalitions rather than spread the resources across all existing corridor coalitions.

### 4.1 I-95 CORRIDOR COALITION UPDATE

A general description of the I-95 Corridor Coalition is provided in Chapter 2.0, based on their activities up through 2000 as documented in the FHWA white paper. This section provides an update of the coalition activities. The I-95 Corridor Coalition is structured into regional and program components. The five regions are New England, New York, Delaware Valley, the Potomac Region, and the Southern Region. This section updates activities for each of the following six program track committees of the coalition:

1. Program Management Committee;
2. Interregional Multimodal Travel Information;
3. Coordinated Incident Management;
4. Commercial Vehicle Operations;

5. Intermodal Transfer of People and Goods; and
6. Electronic Payment Services.

These are the same program tracks that were described in the FHWA white paper. However, they have been very active since the white paper was produced.

#### **4.1.1 Program Management**

The I-95 Corridor Coalition recently formed a Safety Task Force within the Program Management Track Committee. The Task Force was created in response to a combination of internal and external input, including Executive Board guidance, the results of a Corridor-wide survey addressing priorities, and information gathered at a Safety Exchange Forum at the Corridor-wide Annual Meeting held in December of 2004. Consistently, safety-related issues were raised throughout this process, highlighting the need to formally address them in this forum. The Safety Task Force will be cross-cutting over all I-95 Coalition Program Tracks and have two components: 1) operations and 2) policy/planning.

The Program Management Track also has a Performance Measurement Task Force. This task force was created in response to the Executive Board's charge to develop recommendations on performance measures which could be used to assess the effectiveness of Coalition programs. The Task Force held a one-half-day brainstorming workshop in March of 2005. Task Force members reviewed a snapshot of current practices in transportation performance measurement and how those relate to the Coalition's goals and activities. They also discussed a framework that relates the vision, mission, and strategies of the Coalition to Program Track Committees, which carry out the Coalition's projects and programs, and in turn to performance measures that could express results in terms of mobility, safety and security, and economic vitality. After the release of the spring 2005 newsletter, this Task Force completed its final report on Performance Measures.

This program track also has been managing the Information Systems Network (ISN) project, which is developing an architecture that will support real-time data sharing throughout the Corridor. The vision is that all related systems throughout the Corridor will be able to connect to the ISN to provide information that is relevant to other systems. Traveler information systems, such as 511 services, will have access to information about major events and incidents in adjacent regions. Also, individual traffic management systems will have real-time access to information about major incidents, disasters, or emergencies up to several states away. This project leverages the large number of urban and regional systems for collecting incident and event data; for supporting incident and emergency management; and for providing traveler information. This project will share real-time information both within and across regional boundaries.

This program track is also developing a geographic information system (GIS)-based transportation network for the 16 state I-95 Corridor Coalition region and a linked database with information about the region's roads, traffic volumes, and travel patterns. This new tool is called the Integrated Corridor Analysis Tool (ICAT), and will help Coalition members coordinate multistate transportation planning, investment, and operations planning. A GIS-based transportation network map for the region has been obtained and a geographic linear referencing system tool has been developed. This tool makes it possible to accurately match transportation data from different sources to locations on the ICAT network map. The Coalition will be able to develop corridor-level automobile and truck trip tables. Future ICAT applications may include identification of multimodal bottlenecks along the corridor, development and pilot-testing of multistate evacuation and emergency plans, and development of companion corridor-level rail and transit networks.

#### **4.1.2 Interregional Multimodal Travel Information (IMTI)**

This program track worked in cooperation with the FHWA Peer-to-Peer Program and under the auspices of the 511 Support Project on two successful peer-to-peer sessions that were held in Atlanta, Georgia and Philadelphia, Pennsylvania in February and March of 2005, respectively. In all more than 50 Coalition members and their guests representing more than one-half the Corridor states found out what it is like to begin, operate, and maintain a 511 system. Peers from Virginia, New Hampshire, Utah, Kansas, Washington State, and the U.S. DOT were on hand to present their experiences and lessons learned. Topics covered included how to negotiate with the telecoms, whether to use a premise-based or hosted system, maintaining intellectual property rights during contract transitions, call transfers at service borders, and how to involve the public in the 511. The day after this meeting, the IMTI Program Track met at the TMC in Atlanta, Georgia to discuss telecommunications issues related to 511.

The Multimodal Travelers Information System (MMTIS) will include the implementation of a technology to derive traffic information by using data obtained from cell phone companies. The contract establishes a truly public-private partnership with the New England Thruway contributing the majority of the funding supplemented by Federal funding and funding from the I-95 Corridor Coalition. Maryland's Chesapeake Highway Advisories Routing Traffic (CHART) program will receive the data from the project, at no additional charge beyond the initial investment of Federal funds, to support the program's operational needs. CHART will be able to use the traffic speed and travel time data to better manage incident response, analyze incident impacts, evaluate alternate routes, and provide improved traveler alerts. A test corridor has been selected and preliminary data is being received and analyzed. The schedule calls for full deployment of the system in the Baltimore region by the end of 2005.

### **4.1.3 Coordinated Incident Management**

The Incident Management Program Track Committee (IMPTC) established a new regional Highway Operations Group – the Southern HOGs. The states that comprise the region are North Carolina, South Carolina, Georgia, and Florida. The Southern HOGs will be working with fellow regional HOGs counterparts in New England, New York City Metro, the Delaware Valley, and the Potomac Regions to coordinate corridor-wide activities and interests. The Coalition will also be providing an Advanced Traffic Incident Management Operations Training Program. This training course is specifically designed for experienced Police, Fire, DOT, Towing, and other key Freeway and Roadway Response Personnel; and includes a detailed review of the best procedures, laws, policies, interagency agreements, on-scene coordination methods, and clearance techniques available. The establishment of the Southern HOGs better positions the Coalition to impact the advancement of coordinated incident management in the Corridor from Maine to Florida. The program also aspires to serve as a successful role model for the nation.

### **4.1.4 Commercial Vehicle Operations**

The I-95 Corridor Coalition’s held its first annual meeting last fall. During the annual meeting, the Security Information Exchange Session and combined CVO and Intermodal Freight Program Track Meeting presented and discussed project ideas for both program tracks. The simultaneous Program Track Meetings produced comprehensive work plans for submission, while allowing members the opportunity to attend both meetings and providing support of cross-cutting projects. In addition to developing the work plan, the CVO Program Track focused on:

- Revisiting current Committee efforts;
- Promoting information exchange and open dialogue; and
- Refocusing of CVO Committee priorities and next steps in direct response to the broadened focus for CVO and freight, and the need to reassess implications of security and freight activities beyond Commercial Vehicle Information Systems and Networks.

Project updates were offered by project managers including the advancement of technical assistance efforts through the subcommittees in the areas of credentials information exchange and screening initiatives, interest in resubmitting the previous HDD project concept to the Federal Motor Carrier Safety Administration for renewed support, and continued support for the In-bond Container Security project.

### **4.1.5 Intermodal Transfer of People and Goods**

The Intermodal Program Track Committee (IMPTC) met in March of 2005. More than 30 members were on site to help develop the IMPTC’s proposed Year 13

Work Plan. Members selected projects which would address issues of concern to multiple Coalition tracks, and those that would impact both freight and passenger movements throughout the corridor. This meeting also included an update on current track projects, including Phase II of the Mid-Atlantic Rail Operations Study, the Northeast Rail Operations Study, several initiatives under the Intermodal ATIS project, and the short-sea and coastal shipping project. Next steps for these projects were identified and will be moved forward during the next few months.

The IMPTC's Northeast Rail Operations (NEROps) Study is well underway with the first gathering of public and private stakeholders taking place in Worcester, Massachusetts. Steering Committee members and invited stakeholders met to discuss their role in this coalition study of rail operations in the northeast, and the issues facing freight and passenger movements throughout the region. Although modeled after the Mid-Atlantic Rail Operation's (MAROps) Study, the NEROps study approach has been modified to reflect the unique rail environment of the Northeast region. At the meeting, participants agreed that the NEROps study must take a consensus approach to identifying regional choke-points. Three types of issues were identified as potential causes of these choke-points, including 1) transportation issues, such as congestion, infrastructure, productivity, and competitiveness; 2) industry issues, such as a changing industry base or increasing use of intermodal services; and 3) policy issues, such as limitations of rail improvement financing. The NEROps stakeholders' project has grown to include Canadian interests, such as Quebec Ministry of Transportation and Canadian Pacific Railroad. Next steps of this project include additional outreach to potential stakeholders by Coalition staff and the Steering Committee members, an update of the Draft Technical Memorandum 1 (NEROps Regional Profile), and scheduling of subregional information and outreach meetings. Stakeholders will be asked to assist the project team with identification of the chokepoints in their state, as well as foreseeable obstacles to rail efficiency throughout the Northeast region.

#### **4.1.6 Electronic Payment Services**

The Electronic Payment Services (EPS) Program Track Committee (PTC) met jointly with the IMTI Program Track Committee-Passenger Subcommittee in December of 2004 during the Coalition's Annual Meeting. The audience was updated on the Intermodal ATIS Project, the Newark AirTrain Project, and the Northern Shenandoah Valley Mobility Smart Card Project, plus the Regional Interoperability Standard (RIS). Cutting-edge information about member activities was shared, including the Washington Metropolitan Area Transit Authority Smart Card Project, as well as New Payment Strategies for Transit, plus the Baltimore Multimodal Traveler Information System and TRIPS 123 Transit Advisor Enhancements.

The EPS PTC held its first 2005 meeting on February 23<sup>rd</sup> in Washington, D.C. The Director of Innovative Finance and Revenue Operations at the Virginia DOT

updated the group about Virginia DOT's recent conversion to E-ZPass for electronic toll collection, and Corridor-wide representatives, and then discussed and finalized Year 13 EPS project recommendations. The next meeting of the EPS Program Track was held in June of 2005, in Portland, Maine, with a special focus on the Maine Turnpike's recent conversion to E-ZPass. A fall meeting of the track is also being planned for a southern location.

#### **4.1.7 Outreach Surveys**

The I-95 Corridor Coalition has completed numerous surveys of its members to understand the wants and needs of Coalition member agencies. The goal of the surveys is to determine the most effective programs and processes to support member agencies' goals and needs and to advance the services provided by the Coalition. In 2001, the Coalition conducted a survey of member agency executives to identify priorities among existing and potential topics and activities, and to reinforce broad regional interaction and sharing. This executive survey identified several new focus areas that the coalition should pursue, including freight, public safety, and coordinated customer service. In 2003, the I-95 Coalition conducted the Growth and Change Study to identify things that should stay constant and things that needed to change as the Coalition continued to expand its membership and topic areas covered. This study resulted in seven recommendations, including the development of an annual meeting and increasing technology options for participating in Task Force and Program Track meetings. In the spring of 2004, the I-95 Corridor Coalition conducted another survey to identify key multistate issues. The key finding of this survey was that there was a need to conduct a freight flow analysis, analyze corridor-wide bottlenecks, and support the creation of a multistate travel information network.

Another I-95 outreach survey was conducted in the fall of 2004. This survey included 43 current and previous members across each of the six program tracks. The goal of the surveys was to listen to members and identify the best ways to recruit and retain participants in committee activities. The four major areas of inquiry were: 1) participation in the Coalition, 2) who should be involved, 3) recruiting and retaining participants, and 4) assessments of different methods for people to be involved. This survey found that the major reason to participate in the Coalition includes contacts and networking, learning and sharing information, and access to resources and solutions. The survey respondents also noted that the membership should be as broad as possible and include all types of transportation agencies, different levels within the transportation agencies, and other related public and private sector agencies in all regions along the corridor. The survey found that useful retention measures include person-to-person invitations, regular communication with agency leaders, site visits, and more use of task forces. In-person participation in meetings was thought to be the best way to continue interaction, while the potential for regional meetings was seen as an alternative to reduce participants travel costs.

The next steps from this most recent survey will be for PTC Leadership to review these suggestions as part of the development of the PTC's outreach plan that will renew and refresh their membership; stay in touch with participants' goals and needs; and develop lively, engaging, and productive programs.

#### **4.1.8 Summary Observations about I-95 Corridor Coalition**

The I-95 Corridor Coalition has managed to stay vibrant and relevant for corridor planning by replicating past successes, aggressively staying in touch with membership needs and perceptions of the coalition, and adjusting the coalition to address the changing needs of its members. Replication of past successes has been evident in the creation of the NEROPs to attempt to improve freight rail operations in the northern portion of the corridor similar to how MAROPs improved freight rail operations in the middle portions of the corridor. Discussions have already begun on the possibility of doing a similar study for the southern portion of the corridor. Replication is also evident in the continued focus on ITS and standardization solutions throughout the corridor, such as the ISN and the EPS programs.

The coalition also spends a fair amount of resources on self-assessments. It performed surveys and studies in 2001, 2003, and 2004 to determine whether or not its organizational structure matched with its members needs. As mentioned above, the surveys of executives in 2001 determined that safety is an important issue for coalition members. Based on this feedback, several activities have occurred recently. The IMPTC established a new regional Highway Operations Group – the Southern HOGs. The Southern Highway Operations Group (HOGs) was established by the IMPTC with the goal of working with fellow regional HOGs counterparts in New England, New York City Metro, the Delaware Valley, and the Potomac Regions to coordinate corridor-wide activities and interests. The states that comprise the Southern HOGs are North Carolina, South Carolina, Georgia, and Florida. The I-95 Corridor Coalition also provides training on Advanced Traffic Incident Management Operations Systems throughout the corridor. Also, the I-95 Corridor Coalition recently formed a Safety Task Force within the Program Management Track Committee. All of these activities keep the coalition responsive to member needs and a key player for transportation planning along the I-95 corridor.

## **4.2 WEST COAST CORRIDOR COALITION**

### **4.2.1 Background on Coalition**

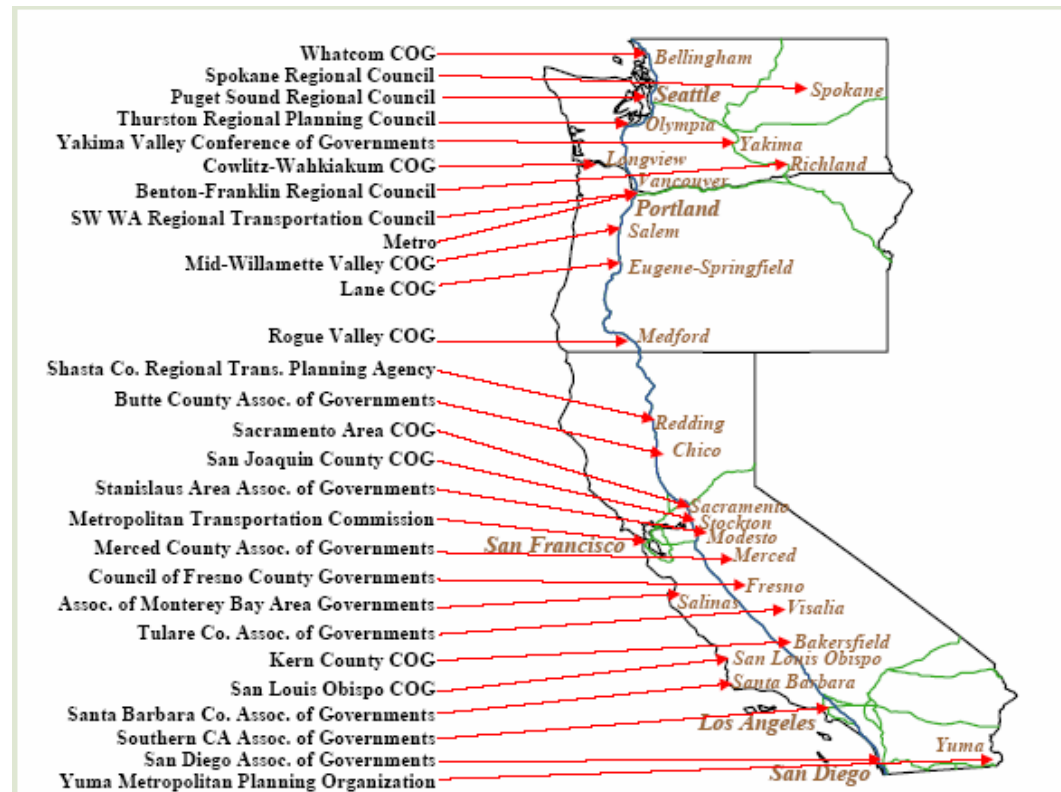
The West Coast Corridor Coalition (WCCC) was officially launched in November 2001. The coalition began as an idea from officials at the Whatcom Council of Governments (WCOG) and the Cascadia Center of the Discovery Institute. WCOG is the MPO for Bellingham, Washington, a metropolitan region that lies near to the U.S.-Canada border. The Cascadia Center is a grassroots organization

of public- and private-sector organizations focused on the development of the transportation system for people and goods in central Puget Sound and the greater Cascadia region of Washington, British Columbia, and Oregon.

Initially, the coalition was developed in response to the need for infrastructure investments along the I-5 corridor and at major ports in Washington, Oregon, and California. I-5 is a north-south interstate traversing the western U.S. that connects the U.S. with both Canada and Mexico. The primary initial membership was composed of MPOs along the I-5 Corridor (Figure 4.1) and the original name for this coalition was the I-5 Corridor Coalition. Later in the coalition formation process, state DOTs and ports were invited to participate in the coalition. Because the interests of these newer participants also included transportation infrastructure that are auxiliary to the I-5 corridor, the focus of the coalition was expanded beyond I-5 itself, and the name was changed to the West Coast Corridor Coalition.

I-5 is an important corridor in the West Coast. It links the United States with Canada and Mexico – two of the top four U.S. trading partners moving \$1.5 billion per day in international trade. I-5 is also within a two-hour drive of all of the ports on the West Coast, so portions of the I-5 corridor are used to link the Pacific port gateways to points further east in the United States. Half the container cargo in the country moves through West Coast ports – over 15 million 20-foot equivalent units (TEUs) worth over \$300 billion annually, and the current volume of trade is expected to double or triple. Therefore, the movement of goods and ensuring the free flow of trade are thought to be important services provided by this corridor.

The WCCC currently includes a broad range of public and private entities, including the DOTs for California, Washington, Oregon, and Alaska; several ports on the West Coast; MPOs; Regional Transportation Planning Organizations (RTPOs – a state regional planning designation that is often different than MPOs), elected officials, and the private sector. A 20-member executive committee was formed to vote on all WCCC decisions. Five representatives were included for each state. Discussions are currently underway to expand the executive committee to include additional members, such as private consultants to the coalition and non-governmental organizations.

**Figure 4.1 Metropolitan Areas Within the I-5 Corridor**

#### 4.2.2 Reasons for the Coalition's Formation

According to some of the early participants in the coalition, there were four primary reasons for the formation of this coalition.

1. The perception that there would be expanded Federal programs for corridor planning in SAFETEA-LU and that funding eligibility would require multi-state coordination;
2. To share best practices on how to gain full value from infrastructure investments;
3. To set priorities at the system level rather than the project level in order to gain synergy and save money; and
4. To develop a shared message to make a national case for the need to invest in the corridor.

There was a consensus by WCCC members that extraordinary costs are required to maintain gateway and corridor capacity borne by West Coast states and regions, while the majority of freight traffic is serving states outside of the West Coast. One participant mentioned that 60 percent of the international goods that reach the Chicago and St. Louis areas are handled in the Ports of Seattle and

Tacoma. Without investments being made to increase capacity to meet higher demand, many feel that the region will face service quality decline and will probably lose its competitive edge in the future. At the very time when trade is becoming a vital factor in the economy, WCCC members feel the capabilities of critical cargo handling facilities and intermodal links are being stretched beyond capacity. The WCCC was formed to solicit national support to enhance the West Coast Corridor as a national economic and security asset.

Securing a funding commitment as part of the Federal reauthorization process was a major reason for forming the WCCC. Today, the cost of infrastructure investment required to maintain the goods movement system is borne largely by gateway communities and regions. Despite the national benefits of trade, a disproportionate burden has fallen on geographic locales that site critical facilities. Equity issues aside, requiring regional sources to fund facilities of national benefit virtually ensures shortfalls in capacity.

One WCCC member pointed out that the importance of maritime commerce to the U.S. economy was dramatically illustrated by the shutdown of West Coast ports in September and October of 2002. Ten days of non-operation along the coast led to a 23-day backlog of disrupted trade valued at nearly \$10 billion. Since the shutdown, labor and management have come together on a forward-looking strategy. Future disruptions are unlikely to be due to disputes on the docks. However, bottlenecks at terminals and intermodal centers on highways or rail lines can have similar effects. The resulting delays and congestion add costs to the economy and environment in reduced mobility, disrupted schedules, higher product prices, and greater pollution.

According to another member of the WCCC, the primary policy initiative at the time was to influence TEA-21 reauthorization to redirect 1) more dollars to freight; and 2) more of those dollars to the West Coast. The emerging shape of reauthorization was seen to be insufficient in this regard, given the relatively low (\$284 billion) funding proposal of the administration, the lack of any new dedicated freight revenues, and the inclination of Congressional members to pursue any big freight projects via earmarking. The WCCC is seen as a means to maximize the positioning of the West Coast states in terms of participating in the Federal transportation process. However, several coalition members have been encouraging a longer-term, broader focus for the coalition beyond reauthorization to help define and nurture a basis for mutual West Coast freight policy.

One coalition member felt that the West Coast is not able to effectively compete for freight funds at the national level. To this member, the coalition's primary purpose was to build the case for additional Federal money for freight planning and investments. Another member felt that the coalition was important for addressing a specific issue, freight issues. As the region becomes more concerned with freight planning, this member is more interested in collectively identifying the most pressing freight needs (planning, policies, operations, and investments) at the regional level. Another member believes that in light of the

growing awareness for congestion, freight planning should be given higher visibility in transportation planning.

### 4.2.3 Organizational Structure

For the WCCC, the executive committee was established first and comprised five members from each state. Each state was given the flexibility to determine the composition of its membership, and state DOTs were asked to coordinate the process. Each state had one representative from each of the following organization types: DOT, MPO, port authority, the governor's office, and the private sector (trucking or rail). The WCCC was intended to be structured for maximum participation from the full range of transportation agencies on the West Coast. Decisions are reached by consensus. Each member of the executive committee has veto power over the actions of the larger organization. Currently, the coalition includes program managers and policy-makers. These are the deputy directors of various agencies.

The executive committee created seven committees that focus on areas that require effort at the coalition level and support actions that enable all parts of the corridor to function better. The following were the new committees:

1. Bylaws Committee;
2. Federal Funding and Policy Committee;
3. Transportation Finance Committee;
4. West Coast Railroad Committee;
5. ITS System Operations Committee;
6. Environment, Health, Safety, and Security Committee; and
7. Data and Communications Committee.

Members of the WCCC like the decentralized structure of the WCCC, because it does not interfere with statewide, regional, and local decision-making processes. The purpose of the WCCC could then focus on coordinating and identifying strategic projects that would move the region forward and improve freight movement, to, from, and within the West Coast states.

There have been some challenges in developing the organizational structure of this coalition. One of the state DOTs was reluctant to join due to lack of clarity on what the benefit of the coalition would be. This was augmented by pre-existing conflicts between the DOT and the MPOs in the state. The structure was also complicated by the focus of the coalition not built around a corridor (as is the case with the I-95 coalition), but rather on a multitude of infrastructure facilities that serve the West Coast needs in moving freight. The organizational structure was also impacted by the amount of centralized decision-making within each state. For example, in California, MPOs have significant power in the transportation decision-making process relative to the California DOT (Caltrans). As such, they had to be included in the list of coalition members.

The position of the WCCC is that the Federal government should develop a funding structure that would support the regional scope of multistate coalitions. The current funding allocation process is state focused and does not translate well into multistate coalition planning. A funding structure that allows for multistate planning would be one that allowed states to mingle funds amongst each other, or it would create a specific funding mechanism at the Federal level for multistate planning efforts. Many of the MPO members of the WCCC feel that state agencies should be willing to develop multijurisdictional alliances and coalitions, which include MPOs, cities, commissions, authorities, and non-profit organizations in order to plan for the region's transportation future. A working group (with no voting power) includes representatives from major retail stores in the region, developers, railroads, and shipping lines. The executive committee seeks input from the working group prior to voting on issues.

The decision to include states in the coalition was impacted by several political concerns. Also, the fact that Alaska is a major source of energy for the United States has been cited as a reason for including Alaska in the coalition. However, its addition to the coalition was also likely impacted by the influence that Alaska's elected representatives have on transportation funding decisions made at the national level. The decision to include Washington, Oregon, and California was primarily based on the need to address freight movement along the West Coast. However, the differences in terms of the relative size of each of these states and their current level of influence at the national level also complicate the consensus-building process of the WCCC. Transportation agencies that are interested in generating funds for a specific project along the I-5 corridor must consider whether the most efficient method to generate these funds is to work as an independent agency, develop a coalition within a single state, or utilize the multistate WCCC. Developing coalitions outside of its agency has the benefit of being able to show broad support for specific projects, but it also usually requires the agency to support other projects that may not otherwise be a high priority. California already has a significant amount of political influence at the national level, making it possible that a statewide coalition is more efficient than using the WCCC for many projects on the corridor.

#### **4.2.4 Mission Statement/Charter**

After three and one-half years of active but informal effort, the WCCC held its first formal organizational meeting on June 9, 2004. The goal of this meeting was to adopt mission and goals, ratify each state's executive committee roster, and establish a scope of work for the coalition. Four days prior to the meeting, the WCCC mission statement was refined during a WCCC First General Session in Sacramento, California. Prior to establishing a mission statement, WCCC founders contacted public and private stakeholders in Alaska, Washington, Oregon, and California to test and confirm the level of interest in joint effort by transportation policy leaders, system operators, and system users. High-ranking officials of various transportation agencies and members of state legislatures were involved in the mission statement discussion. Initially, representatives from

Oregon were reluctant to join the coalition because of what was perceived as interference in the state's decision-making process. They were concerned that the voting power of the MPOs in the coalition would alter the state's role in funding projects within its state. The mission statement was drafted to ascertain that decisions are reached through consensus only. In addition, the charter states that members are free to withdraw from the coalition at any time. Input from non-executive committee members and non-members as well were welcomed through the process.

The Coalition's goal was decided as extending corridor cooperation between Washington, Oregon, California, and Alaska. The focus is currently on enhancing coordination among all members in order to make the case for additional Federal funding and sharing best practices on corridor management and funding strategies. Through negotiations, it was decided that the coalition would include MPOs and ports, along with DOTs. This process allowed state DOTs their own approach to designating the executive committee members from its state. This was very important in giving the state DOTs a pre-eminent role without writing the other stakeholders out of the process. It was also decided to broaden the scope of the coalition to include new policies initiatives that would look for state funding opportunities. The final mission statement reads as follows:

*The WCCC mission is to identify and implement strategies to improve the movement of freight and goods through, from, and within the West Coast in order to support our regional and national economies. The WCCC will be concerned with significant north-south and east-west freight routes in California, Oregon, Washington, and Alaska.*

*The WCCC focus includes Movement by ship, rail, truck, air, and pipelines, and the transportation systems they utilize; safety and security; jobs preservation and creation; environmental protection and enhancement; domestic and international trade; operational improvements that minimize system and consumer costs; collateral benefits for personal mobility; and increased Federal support for the West Coast infrastructure system.*

#### **4.2.5 Purposes and Outcomes**

Expected outcomes were established in a three-phase process:

1. Phase 1 focused on building the coalition;
2. Phase 2 is devoted to research, education, and communication; and
3. Phase 3 is related to the implementation of big-ticket projects.

This is identical to the three-phase process identified by the FHWA White Paper on Multijurisdictional Planning. The WCCC is currently in Phase 2 of its development, so there are no specific projects or planning efforts that have been conducted. However, the Coalition's expected outcomes are to improve coordination among all members; to assist in building a common regional vision; and to

encourage agencies and stakeholders to share best practices in terms of corridor management and funding strategies (local, regionally integrated, and Federal). Stakeholders from more than 70 public and private entities were involved in identifying near-term expected outcomes. Over the next five years, outcomes are expected to focus more on funding strategies in time for the next transportation reauthorization act.

As part of Phase 2, a public outreach initiative was launched to gather input on multistate coalitions in general and WCCC in particular. This initiative queried stakeholders of the WCCC, including state DOTs, governors' offices, MPOs and RTPOs, service providers, system users, engineering, and logistics consultants. The results of this initiative are not yet complete.

A major component of Phase 3 will be to receive Federal funding to support the implementation of big-ticket projects. This is seen as a significant motivation for coalition members to participate in the first two phases of the coalition.

#### **4.2.6 Data/Analytical Tools**

As mentioned previously, the WCCC established a Data and Communications Committee during the early development phases of the coalition to address data needs and sharing. The founder of the WCCC started collecting data on origin-destination travel patterns in California two years ago. In addition, the coalition has utilized data from state DOTs on freight and passenger movement. The preliminary thoughts by this committee are that data on origin-destination trip patterns are required to make the case for investment needs to improve mobility, and also to identify high-priority projects along the I-5 corridor. This will also develop a stronger understanding of what the true vehicle movements are for freight on the West Coast.

The formal data collection effort for the WCCC has yet to start. However, conceptually data collection has been categorized into short-term and long-term efforts. On a short-term basis, the collected data should:

- Demonstrate the internal and external benefits of domestic and foreign trade flows, including modeling the economic impacts of backups and slowdowns in moving trade goods from the West Coast. Develop a “base case” of doing nothing and compare with the benefit of specific investments. Develop the freight message equivalents of “economy, environment, equity” – the same categories that are used to “make the sale” in personal mobility investments.
- Build a common record of best practices in West Coast states that benefit freight movement and transportation generally. Build the Federal/state/MPO/private case for the increased investment that is essential to improve performance in the West Coast goods movement system.

On a long-term basis, the collected data should:

- Combine projections of commodity flows, container volumes, and market share;

- Develop and integrate technical forecasts of demand and relate them to capacity requirements over a 20- to 30-year period.
- Compare these with an assessment of current capacity to determine required levels of future investment.
- Do a supply chain analysis to determine where intervention for enhanced capacity and robustness may be most needed.

The WCCC coalition recognizes that there is a library of information that can be leveraged to highlight consistent themes and to identify primary bottlenecks. The coalition is looking into building a consolidated model based on the “lowest common denominator” of information currently collected in the corridor. The focus will be on utilizing existing data before constructing new models and tools. It is thought that pooled-fund studies and the National Cooperative Highway Research Program (NCHRP) funds could be used to collect new data and develop new tools, when needed.

#### **4.2.7 Transportation System Users**

The term transportation system users refers to stakeholders that utilize the transportation infrastructure for business, leisure, or personal trips. Primarily, this includes the carriers of goods, such as trucking firms and railroads. However, it also includes the shippers and receivers of goods and the general public. Since the coalition is based on consensus building, the mission statement and the set of expected outcomes were adopted only after input and review of trucking and railroad associations. These stakeholders are also participants on the executive committee, so they have veto power over coalition decisions. The trucking firms and railroads were involved in the development of the mission statement and the set of expected outcomes. It is also expected that these companies will support the coalition in providing data on goods movement. The private sector is also crucial in soliciting the Federal government for funding support and guidance. This private sector involvement is largely driven by the state DOTs. The coalition also received input provided by the general public.

#### **4.2.8 Funding**

The WCCC has received \$500,000 in Federal grants for funding and staffing the coalition. The WCCC relies on the private sector to lobby for additional Federal money to fund-specific projects. High-priority projects will also be funded through state, local, and private-sector company matches. The WCCC also established a committee on Federal Funding and Policy Committee and a committee on Transportation Finance. These committees are seen as critical, because many of the member organizations are participating in the WCCC to increase the amount of funding available to perform transportation projects. Thus far, the roles of the Federal Funding and Policy Committee and the Transportation Finance Committee have been divided into short- and long-term goals.

The short-term goals of the Federal Funding and Policy Committee are to:

1. Review and analyze the recently passes transportation reauthorization bill and determine the impacts of the bill on WCCC activities.
2. Work with other members to document the impact of the West Coast freight system on the entire county.
3. Develop a roster of projects of corridor significance within the four states that merit and require Federal funding. To serve the national and West Coast freight and goods movement system, the committee will research and propose a detailed structure supporting the Coalition’s organization. One specific issue the Committee will review is whether to propose maintaining an executive structure based on co-chairs, or to provide for an order of succession with a chair and first and second vice-chairs.

The long-term goals of the committee are to:

1. Identify potential coalition proposals for Federal funding and positions on policy initiatives in the next Federal transportation reauthorization legislation (financing instruments, eligibility, distribution formulas, freight factors, and other budget provisions that could affect the level and form of national support for the West Coast System).
2. Build support for selected projects among coalition members and supporters outside the coalition.

The short-term roles of the Transportation Finance Committee are to urge Congress to allow states the flexibility for exploring tolling and value pricing on interstate highways as sources of revenue and capacity management tools. The long-term role of the committee is to:

1. Identify new ideas for the next round of Federal reauthorization on how to leverage existing programs into more effective mechanisms by addressing the question, “How can we finance smarter and more flexibly?”
2. Identify ways to benefit from the presence of Chinese and other international investors that can add value to financing options.
3. Explore possible ideas for fee financing, such as a “lock box” that ensures the use of revenues will benefit those who pay.
4. One possibility: transform the existing \$100 per container Harbor Maintenance Tax into a port infrastructure fund.
5. Also explore the use of financial incentives to encourage implementation of best practices (for example, Los Angeles/Long Beach “Pier Pass system”).

#### **4.2.9 Lessons Learned**

The WCCC has been successful in developing a mission statement and a set of expected outcomes. The coalition also created seven committees to address specific areas that are of interest to coalition members, and would help the WCCC

move forward in the effort of raising awareness on the need for additional investment in freight along the West Coast. One member in particular noted that to date, the WCCC was successful in setting up key objectives and benchmarks. The largest success of this coalition is being able to maintain its broad array of membership for along period of time. As noted in the earlier multistate efforts, at the time of implementation, the cooperation of state DOTs, MPOs, ports, the FHWA, and private-sector interests are all critical components.

However, the WCCC has struggled to find a unifying issue for its coalition. Specific issues that have been mentioned at various times include fostering trade and freight rail efficiency, but consensus has not been reached by all members that these are the issues for the organization to tackle. The WCCC cast a very wide net to build membership support for the coalition, and they understand that the Coalition's near-term future is dependent on addressing issues that are important to all of its members. Focusing on international trade may not be of interest to the RTPAs of the San Joaquin Valley in California, Eastern Oregon, and Eastern Washington. The ITS focus that was so important in unifying the I-95 Corridor Coalition may not have the same appeal along the west coast, because its not clear that there are that many long-haul north-south trips that would require multistate coordination for ITS and other information systems.

The issue of equity among members has also been a key consideration for the WCCC. The huge infrastructure needs of Southern California and the potential that these projects will get the most national attention have made several of the other members wonder if this is the best process to highlight their corridor needs. There is a general sense among many of the participants who have stayed the course that there are a number of common problems that all of the major participants are facing and that can be faced together with equity. Pacific Rim trade is probably not one of these issues, because it is clearly a bigger issue of more national significance in Los Angeles than it is elsewhere on the West Coast. The capacity constraints described in the case study are being felt mostly in the ports in Los Angeles and Long Beach, along with Seattle and Tacoma, but not in Oakland and Portland. Land use and freight issues may be a more unifying issue throughout the Coalition's region.

Data and analytical tools could be very helpful in developing a unifying vision. Each of the states has done some significant things on their own to characterize freight movements in their respective states, but there is not currently much information on multistate markets and system usage by mode. A strong analytical component to the program could start to build more convincing pictures of the true multistate issues.

Funding shortfalls can be a powerful motivator in forming multistate coalitions, but they may not result in longevity of the coalition without real results. One of the motivating factors driving the WCCC was a common perception that all of the states and many of the MPOs (and ports) were generating major national benefits, but bearing a disproportionate burden for mitigating problems and that they were not getting fair share of Federal funding to deal with the problems.

However, even if the agencies in the WCCC region were successful in obtaining more Federal funds, if it is not specifically designated for large-scale freight projects, it will likely be allocated to meeting other unfunded needs that are more important politically in each of the respective communities.

## 4.3 NATIONAL I-10 FREIGHT CORRIDOR



### 4.3.1 Background on Coalition

I-10 is a major interstate highway that stretches coast to coast across the southern United States. The corridor spans eight states: California, Arizona, New Mexico, Texas, Louisiana, Mississippi, Alabama, and Florida. The National I-10 Partnership is an outgrowth of the National I-10 Freight Corridor Study that the eight state DOTs conducted. The study area included all eight states along the corridor, all 15 major urban areas along the corridor, the entire I-10 facility including I-710, SR 60 and I-12, relevant portions of major National Highway System facilities connecting to I-10, relevant portions of the urban freeways connecting to I-10, and all intermodal facilities influencing I-10 (ports, airports, rail, etc.).

The purpose of the study was to do a comprehensive evaluation of the overall I-10 corridor system, including to:

1. Assess the importance of freight moving on I-10 to the economy of the corridor states and to the rest of the nation;
2. Identify current and future traffic operations and safety problems along the I-10 corridor which impede freight flow; and
3. Identify and evaluate strategies, including multimodal strategies, needed to facilitate freight flow within the corridor.

The study had seven key findings that were instrumental in the development of the I-10 Partnership:

1. Freight transportation is central to the performance of the U.S. economy and a key contributor to U.S. competitiveness in the global marketplace;
2. The continued trend toward a service economy, where reliability is essential, will increase the volume of freight traffic on highways at a projected pace nearly twice that of automotive traffic by 2025;
3. Highways are essential to the efficiency of other freight transportation system elements, including ports, inland waterways, and railroads;
4. Increasing capacity in high-volume corridors is the best single method for lowering highway congestion;
5. Increased funding is essential to guaranteeing that freight continues moving on highways as efficiently and productively as possible;
6. Issues related to the demand for freight transportation transcend urban and state jurisdictions; and
7. The decision process for funding improvements should be based, in part, on a system of strategic gateways and corridors that facilitate the movement of freight and people, with recognition of jurisdictions that bridge high-volume transportation corridors.

The study also outlined the role of the I-10 Partnership into five categories:

1. Highlight the role of transportation in economic prosperity and expansion;
2. Make the case for increased nationwide investment in transportation across all modes;
3. Develop and implement a consensus ITS architecture, integrated with improvement efforts on other corridors;
4. Help shape the Future Strategic Highway Research Program (FSHRP) agenda by working for inclusion of strategies to improve truck traffic flows; and
5. Play a role in coordinating investments along the I-10 Corridor with an increased emphasis on jurisdictions that bridge the corridor.

These five roles have been the impetus for the most recent planning efforts along the I-10 corridor.

#### **4.3.2 Reasons for Participation in the Coalition**

Many of the states joined the I-10 Partnership for different reasons. Florida was interested in implementing new ITS technologies in order to improve highway operation along I-10. California was interested in making the case for additional investments to run freight more efficiently and effectively, since a large portion of goods handled locally serves the rest of the United States. Many states were interested in sharing best practices, as well as identifying new ITS deployment

technologies. Members were also interested in making the case for additional Federal funds that would benefit the eight-state members. The most common reason to participate in a multistate planning effort was the common problem of congestion along I-10 in the 15 urban areas in the corridor. However, intercity freight congestion is also increasingly an issue for long-term planning in the corridor. For example, in Arizona, over 40 percent of the vehicles on I-10 between Phoenix and Tucson are trucks.

### **4.3.3 Organizational Structure**

Each state has a representative on the I-10 Partnership Steering Committee. Each representative has equal voting power. Any state has the right to veto decisions made by the larger coalition. Therefore, decisions are reached through consensus. Twelve additional members formed a broad group of experts in technical areas. These experts are solicited for input and advice prior to making final decisions. Input from local jurisdictions has been solicited at several stakeholder meetings throughout member states. The organizational structure is very different than the WCCC model. MPOs and ports do not have voting power at this time. This has been justified for the I-10 Partnership, because the coalition is focusing on interstate and interregional priorities at this time.

Since the initial focus of the Partnership was to conduct a pooled funds planning study, selecting the appropriate contracting process for the study was a major obstacle facing the coalition (each state had a different contracting process). Through consensus, it was decided that the Texas DOT contracting process would be adopted for this coalition.

Members of this coalition felt that state agencies should be open to the idea of coordinating with other state agencies in terms of sharing data, best practices, and adopting regional strategies for identifying needs and priorities, as well as forming a unified front to requesting additional Federal funding. Members of the I-10 Partnership believe that the Federal government should support multistate coalitions that have an integrated planning and funding strategy by allocating money to regionally-identified, high-priority projects, providing guidance on best practice ITS deployment and innovative financing strategies. The Federal government should support multistate coalitions by contributing additional funds through special earmarks to help states improve their mobility needs, meet their travel demand, and compete economically.

### **4.3.4 Mission Statement/Charter**

The mission statement of the I-10 Partnership is to:

- Highlight the role of transportation in economic prosperity and expansion;
- Make the case for increased nationwide investment in transportation across all modes;

- Develop and implement a consensus ITS architecture, integrated with improvement efforts on other corridors;
- Help shape the FSHRP agenda by working for inclusion of strategies to improve truck traffic flows; and
- Play a role in coordinating investments along the I-10 Corridor with an increased emphasis on jurisdictions that bridge the corridor.

The I-10 Partnership mission statement was drafted by consultants working with the Technical Committee. It was subsequently revised based on comments from the Executive Committee and later approved by the Steering Committee. The mission statement was fairly general in its language, and not constraining for its members in terms of overlapping with DOT responsibilities within their state.

### **4.3.5 Purposes and Outcomes**

Thus far, the primary outcome of the I-10 Partnership is the National I-10 Freight Study. As mentioned earlier, the study analyzed the performance of the I-10 corridor, developed a set of key recommendations, and examined the following seven project alternatives that have formed the context for the I-10 Partnership:

1. Additional capacity;
2. Deployment of Corridor ITS Vision;
3. Separation of trucks and autos;
4. Increasing use of intermodal rail;
5. Increasing use of barge in the Gulf Coast;
6. Development of truck bypasses; and
7. Increased truck size and weight limits.

The study determined that adding capacity and deploying ITS improvements were by far the most promising project alternatives to relieve future congestion and improve economic conditions in the corridor.

The I-10 Partnership has also succeeded in sharing information with regards to best practices in highway operations and ITS deployment. The next step for the I-10 Partnership is to perform an ITS study for the corridor which would have the goal of streamlining the permitting required for trucks that use the corridor, providing information on road conditions to truck drivers, and optimizing the operation of the entire I-10 corridor.

### **4.3.6 Data/Analytical Tools**

The primary data used for the National I-10 Freight Corridor Study was the FHWA HPMS data and the FHWA Freight Analysis Framework (FAF) data. The HPMS data were used to estimate current conditions, and the FAF data were used to estimate forecast rates of growth for the corridor. These data were used

to produce information, such as the current estimated level of service on the corridor and forecasts of the level of service of the corridor (Figure 4.2).

One member of the Partnership felt that the freight flow data (current and forecast) utilized in the National I-10 Freight Corridor Study could be improved. This member suggested that future phases of work might include a purchase of Global Insights' TRANSEARCH freight flow database and forecast, and also use of the Journal of Commerce Port Import/Export Reporting System data on marine flows. Overall, data would help identify transportation needs and priorities and make the case for additional Federal funding.

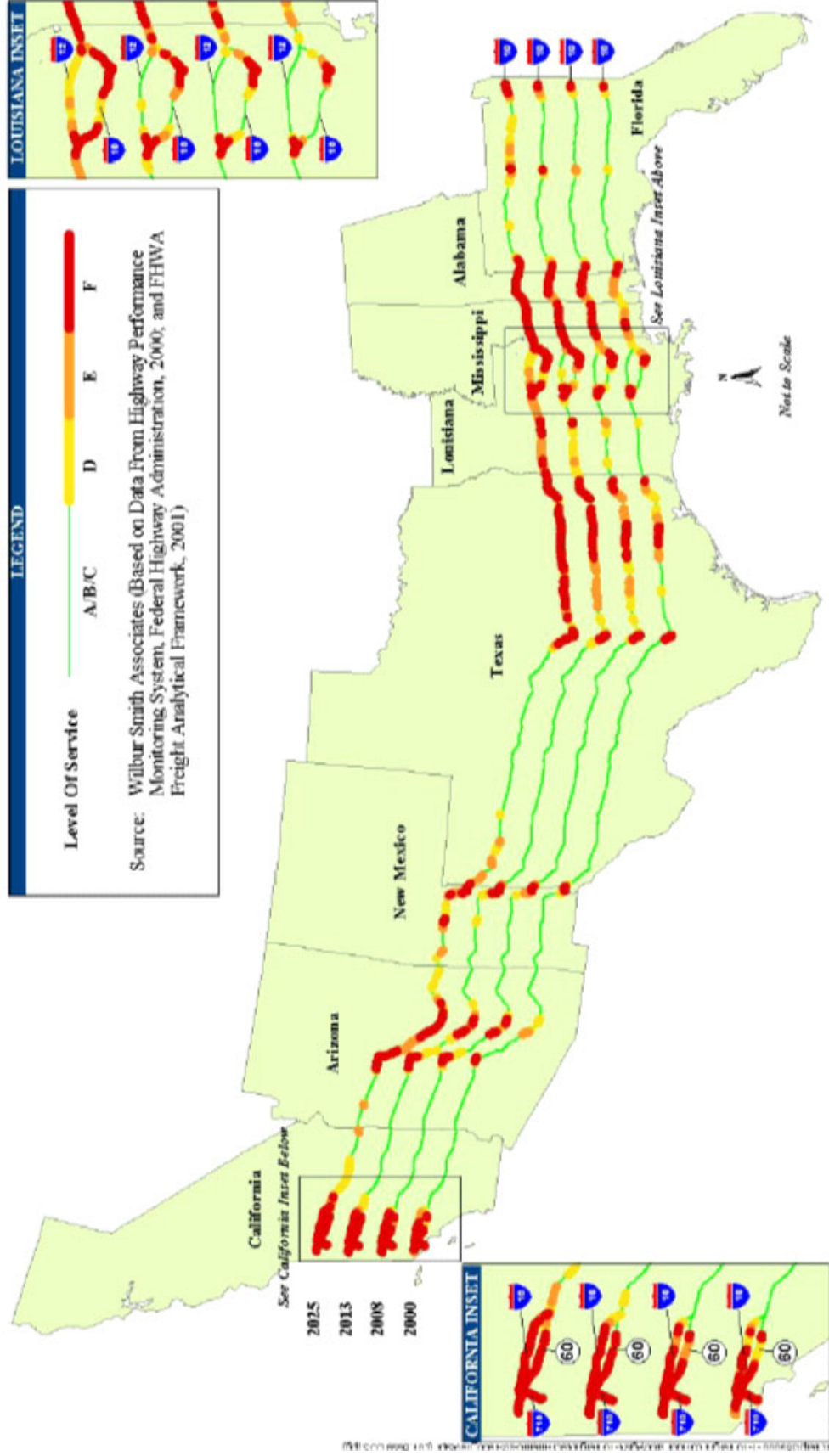
### **4.3.7 Consideration of Transportation System Users**

Early in the I-10 study, a series of meetings were conducted with several stakeholders. The private-sector transportation companies and the general public were invited to these meetings. In addition, there was some input from trucking firms and the railroad industry when developing the mission statements and expected outcomes for the I-10 Partnership. In the future, the members of the I-10 Partnership hope that the private sector will be utilized to gather additional data on goods movement.

### **4.3.8 Funding**

Funding for the National I-10 Freight Corridor Study was generated based on I-10 mileage within each state. One of the smaller states was not able to meet its financial obligation, so it was allowed to contribute less. Funding for subsequent studies has not yet been decided.

Figure 4.2 Level of Service in I-10 Corridor



### 4.3.9 Lessons Learned

Members of the I-10 Partnership noted that it was successful in bringing all partners to join this effort. By focusing the organization on state DOTs, the I-10 Partnership was able to take advantage of existing relationships through WASHTO and SASHTO to build their organization over time. The coalition was also successful in conveying the need for a multistate approach to improving freight movement from coast to coast, and in convincing members of the need to share information regarding new transportation demand management strategies, as well as integrated funding strategies. This was in part facilitated by data from the HPMS and FAF to help demonstrate the extent of interstate freight flows among the states to build the initial case for the coalition.

Members also noted the importance of dedicated leadership in the success experienced by this coalition. Another member noted that the fact that decisions are reached through consensus is the single most critical factor that contributed to the success of the coalition thus far. Another member felt that the primary role of multistate coalitions is to build consensus between members. Some coalition members felt that it remained to be seen whether the efforts undertaken thus far would ultimately improve the transportation experience of the I-10 corridor users.

While the I-10 study was successful in quantifying many of the corridor problems, it did not go into detail about specific origin-destination combinations in the corridor. While there is a natural relationship between California, Arizona, New Mexico, and Texas regarding NAFTA-related issues and a pre-existing natural relationship between Texas, Louisiana, Mississippi, Alabama, and Florida regarding Gulf Coast issues, there was not any data put forth that showed a unified theme for the entire I-10 corridor. This could have helped to amplify trade regions for the corridor, and also demonstrate how bottlenecks in one location impact trade between other regions. For example, how much freight moves between Florida and California, and how is this freight impacted by bottlenecks in Phoenix? Answering questions like this strongly reinforce the need to form a coast-to-coast, multistate coalition. In this example, it would help stakeholders in California and Florida understand why they should be concerned with the transportation infrastructure in Arizona.

This case study also reiterates the use of multistate coalitions in implementing ITS solutions. There was an early interest in ITS in the I-10 corridor, and earlier work had already shown that there were long-haul trucking activities that crossed state lines where ITS traveler information could be useful and coordination of CVO programs could be useful.

## 4.4 NORTH AMERICA SUPER CORRIDOR COALITION

### 4.4.1 Background on Coalition

The North America Super Corridor Coalition (NASCO) was created to maximize economic opportunity and investment in the North American International trade corridor (I-35, I-29, I-80/I-94, and Highway 75 in Canada) through development and advocacy of an efficient, seamless, intermodal trade, and transportation system. Currently, members include those participants that benefit from transportation-related economic and investment opportunities along the international trade corridor. These include the States of Texas, Oklahoma, Kansas, Missouri, Iowa, and South Dakota; the Province of Manitoba in Canada; Chambers of Commerce along the corridor; transportation facility providers (such as the Kansas Turnpike Authority and Ambassador Bridge in Detroit, Michigan); and nationally-recognized manufacturers and distributors. Input from members that are not on the executive committee is requested prior to voting on issues.

Historically, NASCO is a continuation of the I-69 Corridor which was discussed in the FHWA white paper *Challenges with Multistate/Jurisdictional Transportation Issues*. The I-69 Corridor is discussed in more detail in Chapter 2.0. Of particular note is that the activity of the I-69 decreased subsequent to 2000, and has recently been revitalized under the banner NASCO.

### 4.4.2 Reasons for Participation in the Coalition

According to the current Executive Director, there are several reasons behind the development of NASCO. These include the following:

- The need for additional Federal funding for corridor-related projects. Future commercial travel and related business along this network is expected to grow exponentially. Such expansion requires the right kind of investments to prevent bottlenecks from reducing the growth that businesses and communities along the corridor can enjoy over the next few years, as well as enhancing the strategic ability to maintain safe and secure cross-border trade.
- The need for improved commercial transportation efficiency. NASCO works with public and private agencies, as well as international organizations on how to use new and proven technologies for moving people and freight efficiently and safely along the corridor.
- The need for improved air quality along the corridor.

### 4.4.3 Organizational Structure and Funding

Membership to NASCO is open to all that are interested. However, there are different levels of membership and accompanying roles and responsibilities with each level. Members who are on the board of directors are eligible to vote. The fees to be on the board are \$10,000 per year. The cost of membership in NASCO

varies depending upon the type of organization members represent and the level of support services and benefits they desire. The lowest cost membership option is \$2,500 per year. Currently, the coalition includes planners, engineers and technicians, elected officials, and representatives from private industries. No ports or MPOs are currently members, although they are welcome to join. Input from members that are not on the executive committee is requested prior to voting on issues. This organizational structure has worked thus far, because NASCO has primarily been focused on lobbying without needing to implement projects.

According to the Executive Director of NASCO, there were no problematic obstacles to forming the coalition. Members are genuinely interested in working together to identify the needs that would benefit all parties, share expertise, and build a homogenous front in requesting additional Federal funding for transportation investments along the corridor. The coalition understands the differences that may exist between different agencies, and works on bridging the gap between all members by encouraging the sharing of technologies and best practices.

Members of NASCO believe that the Federal government should support coalitions financially wherever and whenever feasible and needed. The Federal government should also provide advice and guidance in terms of financial and operational best practices.

### **3.4.4 Mission Statement/Charter**

NASCO's mission statement was developed by the board of directors. Prior to establishing the mission statement, input was solicited from other members as well. The mission statement was supported by all members of the coalition as it is thought to be broad enough not to limit the jurisdiction of agencies which are being recruited by the coalition. The mission statement encourages members to coordinate on operational and funding strategies and to think regionally and identify projects that help the region meet future freight travel demand challenges.

### **4.4.5 Purposes and Outcomes**

The primary activities of NASCO are organizing lobbying efforts to raise money for the national corridor that they envision. This has proven to be effective for rallying a large amount of private-sector interests in the coalition and to maintaining a fair amount of public sector support as well. The Executive Committee of NASCO developed expected outcomes after the mission statement was crafted. The expected outcomes include improving coordination among all members; to assist in building a common regional vision; and encouraging agencies and stakeholders to share best practices in terms of corridor management and funding strategies (local, regionally integrated, and Federal). Coordination has started to build among members. The coalition succeeds in obtaining Federal funding for a project on identifying new CVOs for the corridor.

#### **4.4.6 Data/Analytical Tools**

As part of this recently-funded ITS project, NASCO collected data on ITS deployment for new technologies particularly in the area of CVO. Other data used by NASCO includes automobile and truck volume data from state DOTs and information on rail cargo statistics. These data have helped the coalition identify high-priority projects along the trade corridor. The coalition is aware of the inconsistencies that result from collecting data from different agencies. The coalition is hoping to receive funding and to hire consultants to identify ways to collect more accurate and consistent data across all agencies. The coalition would also like to receive more up-to-date data on highway traffic, air cargo, and drayage statistics.

#### **4.4.7 Lessons Learned**

To date, NASCO has been successful in setting up key objectives and benchmarks for the member agencies. The most critical factor that contributed to this early success of the coalition is the high level of coordination and the shared vision on the goals and objectives among all members. Another factor was strong leadership by the Executive Director. Members have noted a significant increase in coalition activities since the current Executive Director was re-established in her position. Based on their experience in NASCO, members generally think that multistate coalitions are useful for corridor management initiatives, such as ITS deployment, intermodal connectivity issues, and regional integrated funding strategies. NASCO has also played a crucial role in building consensus, and encouraging coordination and the sharing of best practices between coalition members.

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## **5.0 Synthesis and Conclusions**

# 5.0 Synthesis and Conclusions

This chapter presents a synthesis of the lessons learned on multistate corridor planning. The analytical framework developed in Chapter 3.0 is re-examined with reference to the case studies presented in Chapter 4.0 and the historical development of multistate/jurisdictional planning discussed in Chapter 2.0.

## 5.1 FORMATION OF THE COALITION

### 5.1.1 Economic Development vs. Mobility

The case studies in Chapter 4.0 continued the theme of coalitions being formed to address either economic development or mobility challenges. The I-10 Coalition was developed to address primarily mobility issues along the corridor. The specific issue that catalyzed this organization is the prospect of long stretches of interstate operating under congested conditions in future years. The state DOTs that became members of this organization became members to address these mobility issues, not necessarily to increase the economic activity in their states. This focus on mobility has allowed I-10 to focus its efforts in a streamline fashion to examine the performance of the corridor under various demand and supply conditions. NASCO is an organization that was developed primarily for the purposes of economic development. The organization is largely driven by the private-sector efforts to develop a NAFTA corridor from Canada to Mexico. Typically, organizations focused on economic development tend to have more problems focusing and implementing the vision of their organization. However, because NASCO is focused on a singular corridor, it has been able to coalesce several important stakeholders in the region. The WCCC is oriented more towards mobility, since it focuses on alleviating bottlenecks along the West Coast. While the WCCC is focused on mobility which tends to focus the activities of coalitions, because it extends beyond the geographic boundaries of the I-5, it has not developed the typical corridor-specific focus of other such coalitions which seems to have slowed the progress of the organization.

### 5.1.2 Issues Addressed

The issues addressed by the multistate coalitions tended to fall into one of four categories:

1. Lobbying for Federal funding of projects;
2. Planning for transportation impacts of multistate traffic;
3. Developing compatible technology for streamlined infrastructure operations;  
and
4. Congestion on trade corridors.

The recent multistate corridor coalition efforts studied in this research all emphasized the need to lobby the Federal government to increase the amount of projects earmarked for their coalition's region. In many cases this was a major reason for the members joining the coalition. This is consistent with the case studies that were done in the FHWA white paper on multistate planning in 2002. The importance of Federal funding in this process provides a strong lever for the Federal government to influence the number, structure, and activities of multistate coalitions. This will be discussed in detail in the section Federal funding.

Another issue that was common to multistate coalitions was traffic crossing state lines and impacting multiple transportation infrastructures. Multistate traffic is primarily an issue in terms of road maintenance. This ties the multistate traffic issue to Federal funding, because this is often used as the rationale for why the Federal government should provide the multistate coalition with funding for planning and project programming. For the WCCC, the importance of the West Coast ports for the national economy is highlighted. For NASCO, the importance of NAFTA and U.S.-Mexico and U.S.-Canada trade is emphasized. For the I-10 Partnership, the "national" nature of the corridor is emphasized, including the length of the corridor and the amount of truck traffic with multistate origin-destination pairs is emphasized.

Developing compatible technology solutions for infrastructure operations is a common issue tackled in multistate planning. Both NASCO and the I-10 Partnership are in the process of studying or implementing technology solutions to improve the permitting and operations of trucks on their corridors. This is similar to the I-95 Coalition, which has implemented many ITS solutions along its corridor. Technology compatibility provides a quick win for coalition members, in which all parties can benefit from group cooperation.

Supporting the operation of trade corridors is also a motivating force for some members to join multistate coalitions. The primary issue relating to the operation of these corridors is urban congestion. Trade corridors are generally aligned through major cities, so urban congestion has a negative impact on the operation of the trade corridor, thereby, negatively impacting the economic trade utilizing the corridor. This provides the rationale for members in some multistate coalitions to argue for Federal funding to improve urban congestion to improve the national economy. All three case studies in this report highlight urban congestion as an issue to be addressed in the multistate coalition.

### 5.1.3 Geography

Geography is another important issue to consider during coalition formation. Generally, the larger the geographic area, the longer the trade corridor, the more fragmented the political and social culture of the affiliated parties, the more difficult is the challenge of finding a "heartbeat" for the coalition. This is particularly true if the coalition initiates efforts by forcing a vision without fully considering the realities of transportation served by the corridor or the needs and interests of all groups intended to be eventually included in the coalition. There has been an

inherent tradeoff faced by coalitions. Coalitions can maintain a small membership and risk having the coalition not rise to national prominence (which is important for Federal funding), and also risk that their recommendations are not endorsed by all parties needed to ensure implementation can occur. Alternatively, a coalition can cast a wide net and include a multitude of members. The risk in this case is that the differing perspectives of the organization could slow the progress of the organization. The WCCC cast a wide net and has struggled somewhat to find a singular driving issue for the coalition. The I-10 Partnership extended from the Pacific Ocean to the Atlantic Ocean. While the geography covered was immense, because the coalition limited itself to state DOTs, it was able to agree upon and perform a study of the I-10 corridor.

Thus far, all of the multistate corridor coalitions have focused on contiguous states. One issue to consider is that multistate planning needs do not have to be corridor based, which tends to tie it to a contiguous geographic region. There are several natural issues or market affinities that can benefit from the information sharing, best practices, and advocating for special program funding to address common concerns. For example, states with major marine port facilities have a natural basis for multistate coalitions, even though they may not be geographically contiguous. Alternatively, major metropolitan areas such as Chicago and Los Angeles that have freight markets and patterns in common and infrastructure links by rail and highway that indicate that joint planning efforts would be beneficial. Along these lines, there are several metropolitan areas that are experiencing a combination of gentrification of older, urban industrial zones, and increasing populations limiting the expansion of freight facilities in their metropolitan areas leading to longer freight trips. MPOs could benefit from joint planning and information sharing to address these issues.

#### **5.1.4 Conclusions on Coalition Formation**

The ideal model for multistate corridor coalition formation was that experienced by the I-95 Corridor Coalition. A small, informal group of transportation planners gather to discuss shared issues based on the understanding of the existence of transportation problems that are shared by all participants. This informal working group would be able to demonstrate through the use of actual data, or the implementation of shared best practices that the coalition is beneficial. The coalition would then be able to identify a set of specific issues, geography, and expected outcomes from a more formal, structured organization. At this point, Federal funding could be leveraged to jumpstart the organization's activities, and to enable the key learning of this coalition to be easily translatable to other multistate coalitions in the country.

Organizations that are formed with the explicit or implicit goal of seeking Federal funding as the primary rationale circumvent the spirit of multistate planning in transportation legislation, including SAFETEA-LU. This legislation indicates that the program is designed to support multistate planning efforts for which the formula-driven, single-state planning efforts are insufficient. This

would not be applicable to regions that merely share a corridor with a series of unrelated bottlenecks in contiguous states. One possible solution is for the multistate planning awards in SAFETEA-LU to be applicable only to coalitions that can demonstrate the interrelationship of issues for its members. This can be done either through the use of data on origins, destinations, and bottlenecks in the coalition's region; or through some preliminary demonstration that other coalition-wide solutions are best applied in a multistate setting rather than a single-state setting. Additionally, preference can be given to organizations that have been working together for a longer amount of time and able to demonstrate previous successes in the multistate planning environment.

## 5.2 ORGANIZATION OF THE COALITION

As mentioned in the theoretical framework, membership in coalitions can be grouped into three broad categories: 1) executive-level public and private sector decision-makers; 2) program managers and policy-makers; and 3) technical specialists in a broad range of specialties (e.g., pavement management, planning, logistics, IT, warehousing, economic development, environmental assessment, tourism, etc.). All three levels are essential for a successful coalition, with each level understanding its expected participation and role.

The WCCC illustrated that the membership of each of these three levels is inter-related. The WCCC developed in a bottom-up fashion beginning with an MPO and a regional economic development organization. The organization spent a considerable amount of time building its membership at the MPO level before expanding to the executives at state DOTs, and then bringing in managers and technical experts from all of the organizations. Securing executive-level participation from the State of Washington was actually a critical turning point in the development of the WCCC.

On the other hand, NASCO seems to have a significant amount of executive-level participation from the private sector, but less participation from managers and technical experts. NASCO has an experienced coalition executive director to organize its activities. However, the lack of managers and technical experts in the organization has resulted in a lower level of tangible proof of the importance of this organization. For example, there has not yet been a study of the trade flows in the region, or have there been corridor-wide forecasts of demand for the NASCO corridor. Managers and technical experts will also be critical to implementing the recommendations that have been developed by this organization. Overall, the I-10 coalition had a good mix of all three levels from the outset. This organization was built from the top down, so the executives were assembled first, and then they recruited managers and technical experts from within their organizations to help study options for corridor development.

Another factor that is important in the organizational structure is the role of MPOs and ports relative to the state DOTs. Because each state has its own pre-existing relationships between these entities, coalition members are reluctant to

join organizations that decrease their influence relative to the other entities. Some states, such as California, are more decentralized giving the MPOs a significant amount of power and requiring that they are involved in multistate coalitions to be successful. In other states, the DOTs have a considerable amount of power and would not want to participate in an organization in which MPO membership was on the same par as their membership. To avoid these conflicts, many multistate organizations are formed purely from state DOTs with some Federal government representation. Examples of these organizations include the I-10 Partnership, LATTs, and the MWRRI. However, MPOs and ports have a significant stake in the outcomes of multistate corridor planning efforts, and the National Forum highlighted the fact these entities wanted a greater role in these efforts. In this regard, the I-95 Corridor Coalition is a good example of a coalition that has struck a good balance between participation at the state DOT level and the participation of other organizations. This has occurred because of the breadth of activities that are occurring within the coalition. Organizations can then gravitate towards the group within the coalition that is most relevant. For example, the I-95 Corridor Coalition has a subcommittee called Southern HOGs, which focuses on state DOT incident management activities. It also has rail improvement projects, which are likely to be of more interests to ports. Bottleneck identification and relief are likely to be of greatest interest to MPOs. Coalitions should seek to find a role for each of the interested agencies in its region. In this fashion, the viewpoints of as many members can be taken into account without slowing the consensus-building process.

### **5.3 LEGAL AUTHORITIES**

There was a minimum level of legal authorities that were utilized for the three multistate corridor coalitions described in Chapter 4.0. This is consistent with the case studies described in the FHWA white paper. Mission statements and associated legal structures of multistate coalitions are typically stated in highly generalized terms to ensure flexibility. This flexibility allows for the coalition to evolve in a fairly organic process. It also insures that no agency loses power as a result of participation in the coalition. Each member remains free to participate or withdraw from the coalition, based on individual circumstances about the benefit of the organization. Multistate coalitions will be short-lived if stakeholders feel that further involvement would either 1) not result in added and meaningful outcomes, or 2) possibly commit their jurisdiction to work efforts or decisions that might not be perceived to be in their best interest.

### **5.4 FUNDING OF THE COALITION**

Funding is a critical issue in every step of the multistate planning effort. Various funding streams are used for coalitions; and include congressional earmarks, program-specific grants, SPR funds, and pooled funding with an identified lead state or organization. Generally, a single source of funding facilitates the

operation of a coalition, since different sources may require differing administrative mechanisms with differing procurement regulations and procedures. With funding constrained for many Federal and state agencies, organizations are increasingly demanding shared funding for coalitions, similar to the grants requirements widely used in the 1950s and 1960s.

A common thread in all of the multistate/jurisdictional case studies was the desire by coalition participants to use the coalition as a platform to lobby for Federal funding for projects of interest. Many of the case study interviewees described the importance of Federal support in terms of creating and operating multistate coalitions and also for project delivery. This gives the Federal government a strong lever for influencing the number, structure, and operations of multistate coalitions. However, with Federal funding shrinking relative to transportation needs, there will be increased competition amongst multistate coalitions and between multistate coalitions and traditional transportation planning agencies such as DOTs, MPOs, and ports. Also, the effort to secure Federal funding has the potential to distract multistate coalitions from pursuing other innovative finance techniques that could be used to implement multistate projects.

Many of the interviewees in the case studies also mentioned the need for fewer restrictions on Federal requirements regarding the use of transportation dollars. This would create opportunities for multistate coalitions to explore innovative funding options. For example, a multistate coalition could be used to rally support for collecting fees on goods moving in and out of all ports along an entire coast. These revenues could be used to fund multistate transportation infrastructure improvements for supporting corridors throughout the entire coast. This funding strategy would be more politically feasible than a transportation agency seeking to impose a fee on a single port in its jurisdiction, because a systemwide fee would not disrupt the competitive balance between each of the ports. Alternatively, if a multistate coalition identified a key bottleneck in a single state that impacted all of the agencies in the coalition, then the states could be given the flexibility to direct transportation funds to that bottleneck, even though the bottleneck is not in the legal jurisdiction of many of the coalition members. This is similar to the bottleneck in Phoenix impeding California to Florida trade along the I-10 corridor. If this scenario was quantitatively characterized, then it would be rational for California and Florida to spend transportation dollars in Phoenix, since it would improve trade for firms based in California and Florida. A relaxing of the rules regarding the collection and use of transportation dollars would likely generate additional innovative funding opportunities for multistate coalitions that would not involve an increase in expenditure at the Federal level. The continued success of multistate corridor planning is largely dependent on the development of new and innovative funding mechanisms directed at these coalitions.

Coalition projects must compete with other funding needs of the members. Therefore, securing funding for implementation of projects depends on the

ability of the individual members to prioritize these projects among other projects in their separate jurisdictions and on the ability of the coalition to secure external funding. Even when Federal funding support is utilized, it often comes with the requirement of state and local matches. Therefore, it is imperative that the requesting agencies successfully raise a significant amount of support for coalition projects within their jurisdictions.

Securing ongoing funding to support coalition efforts can be facilitated by a clear and compelling mission statement and clear articulation of the value proposition of the coalition. This applies to coalitions that rely on annual voluntary contributions from multiple public agency sources, as well as coalitions that rely on earmarks or other directed funding sources. A periodic program review and validation from related, but uninvolved stakeholders can be invaluable in proving the value proposition, as well as securing ongoing funding for coalition activities. Coalitions that consistently prove their worth through program review to funding agencies and transportation end users, or related stakeholders, tend to be successful in the long term. This has been one of the reasons for the ongoing success of the I-95 Corridor Coalition.

At the National Forum on multistate/jurisdictional challenges, many participants stated their desire to have a more objective process be used for allocating funds that were associated with the Borders and Corridors program. The program shifted from discretionary to congressionally earmarked between FY 1999 and FY 2003. This shift to earmarks has been linked to a decrease in the amount of funding available for multistate planning efforts as earmarked projects tend to be allocated to single political jurisdictions. The National Forum participants preferred a program that was administered by the U.S. DOT, where funds were allocated based on specific criteria in a transparent process. Such a process would also be beneficial for several elements of multistate corridor planning efforts as described in SAFETEA-LU. Since obtaining Federal funding is a key motivating factor for forming and operating multistate coalition, this type of structured process could lay out specific requirements for multistate coalitions that must be met in order to be considered for Federal funding. This could include requirements of inclusion of different types of coalition members (e.g., MPOs and ports). It could also include requirements to demonstrate a regional need for multistate planning such as using data or technology transfer/training issues. The multistate projects funded in the Borders and Corridors program were all planning projects. It would also be beneficial for Federal funding that is used to support multistate efforts also allocate some money towards project implementation as well.

## 5.5 DATA AND ANALYTICAL TOOLS

Regardless of the specific issues addressed, there must be a clear and measurable relationship among parties to establish the bonds for a coalition. This bond can best be established through the assemblage of data on usage characteristics of the

corridor or region augmented by private sector validation. The need for the coalition applied to a specific corridor can then be strengthened by overlaying forecasts of passenger and freight movement, and conducting a preliminary assessment of current and future potential bottlenecks. This assemblage of data and preliminary analysis satisfies two requirements: 1) the visual and analytical communication of shared interest, and 2) the identification of current and potential chokepoints that might threaten the efficiency and security of the facility or region.

The data and analytical tools utilized by the multistate coalition case studies in this report are quite limited. Most of the data cited by these coalitions were basic vehicle counts, generalized growth rates, and regional economic data. These data are utilized because they are readily available from existing sources. However, the assertions of many of the multistate coalitions can be justified (or refuted) based on improved data and application of more sophisticated analytical tools. For example, the extent to which traffic in a region is based on internal, internal-external, or through traffic can be estimated through a number of different methods, including origin-destination surveys at cordon points, analysis of freight flow databases, or application of a regional travel demand model.

The I-10 Partnership has come the furthest in terms of analyzing data. They have developed forecasts of transportation demand under various scenarios and compared this to alternative transportation supply options to determine the location and extent of bottlenecks in the region. This is more information than is currently provided for NASCO and the WCCC. However, what is missing in this analysis is a description of specific origins and destination combinations in the coalition regions. For example, for the I-10 corridor, it is difficult to tell how much of the bottleneck in the Houston metropolitan area is the result of local vehicle trips and how much of the congestion is the result of external-internal traffic and how much is the result of through traffic. For trips with external destinations, what are the specific markets that are attempting to use the Houston infrastructure? An even more sophisticated analysis would attempt to estimate the extent to which this traffic is accessing the Houston transportation infrastructure during peak versus off-peak conditions. For the WCCC, similar questions could be posed regarding the impact of Portland congestion on Washington-to-California trade. Similarly, for NASCO, the trade flows along the corridor have not been specified.

This contrast between the goals of the multistate coalitions and the data used to quantify and estimate the issues faced by these coalitions indicates that there is a need to improve the data that support multistate planning. This can be accomplished in one of two fashions. First, more substate detail can be provided in Federal data sets that have applicability to multistate planning, such as the Bureau of Transportation Statistics Commodity Flow Survey (CFS), the FHWA FAF data, and the Census Bureau Vehicle Inventory and Use Survey (VIUS). The CFS provides pre-defined tables for select metropolitan areas in the country. An increase in the number of metropolitan areas covered in the CFS along with an

increase in the amount of data available would improve data available for multi-state planning. For example, this would enable the identification of trading partners by commodity and, therefore, indicate corridors that are used by trucks in the metropolitan region and their relative importance to the economy. The FAF and VIUS data are provided at the state level. However, disaggregating the data to a finer level of detail would also improve multistate planning efforts, because most corridors serve only a portion of states and not entire states.

Another option to improve the data available for multistate planning is for the coalitions to collect and analyze supplemental data as part of their planning process. Supplemental data and analysis could include roadside origin-destination surveys at key intercity locations and cordon points, development or purchase of regional commodity flow databases, and the development of corridor-wide travel demand models. State DOTs could be encouraged by the Federal government to perform multistate data collection efforts, particularly if they are seeking Federal funding for planning or project purposes.

An alternative to collecting more data is to use an analytical tool to map existing regional data to specific corridors. Regional data currently exist in many forms, including FAF and CFS data sources. These could be disaggregated to substate regions using substate economic data (potentially in combination with the CFS data), and then mapped to national highway and rail networks to determine vehicle flows on specific infrastructure. Growth rates also exist in the FAF data that can be applied to forecast transportation demand for various corridors. However, recently, the FHWA has suggested that FAF data were not intended to be used for this type of analysis, so it cannot endorse these types of methodologies. Nevertheless, the development of an analytical tool that is acceptable to the FHWA and also to multistate coalition members would go a long way towards demonstrating the need of these coalitions. Multistate analytical tools would also be very beneficial for project selection and performance measurement for multistate projects. The I-95 Corridor Coalition is currently working on a corridor-wide, GIS-based travel demand model. This model has the potential to serve as a standard for understanding vehicle movements in multistate corridors.

## 5.6 STAKEHOLDER INVOLVEMENT

The three case studies in Chapter 4.0 have very different stakeholder involvement processes. The I-10 Partnership was formed with a core group of state DOTs along the I-10 corridor. At the other end of the spectrum is the WCCC, which has involvement of state DOTs, MPOs, RTPOs, ports, and private-sector involvement. As mentioned previously, there is an inherent tradeoff between a coalition being a small coalition of stakeholders with similar perspectives that can act quickly and nimbly as opposed to being a broad coalition of stakeholders with a wide range of perspectives that moves more slowly, but once mobilized has already built-in consensus from all required stakeholders. These two case studies have been good examples of this tradeoff. The I-10 Partnership was able

to move quickly through the study process, but has not yet implemented any project improvements in the corridor. The WCCC has focused a lot of energy on recruiting membership, and has not yet performed a formal study of its corridor's transportation issues.

Private-sector involvement is a particular concern for multistate coalitions. With rare exception, private-sector participation can be ensured for a limited time only, based on the productivity and perceived value-added contribution of the coalition, and that value calculation is near term, without exception. The stronger the near-term value proposition and measurement of coalition outputs and outcomes, the stronger is the degree of private-sector participation, and the higher the level of private-sector participant. The three case studies examined in this study all had different approaches to private-sector involvement. The I-10 Partnership allowed for limited private-sector participation, but the private sector was not invited to serve on the Executive Committee or to participate in the Partnership in an ongoing basis. The WCCC has included private-sector involvement since it was formally established in June of 2003, including a private-sector stakeholder from each of the four states that it covers on the WCCC Executive Committee. Private-sector stakeholders have the option to join NASCO at different levels depending on the contribution it makes to the overall organization.

In general for multistate coalitions, private-sector participation tends to be one of two types: 1) executives who are personally and firmly committed to the goals and objectives of the coalition (or else participate because of their company's prominent public position) such as with NASCO; or 2) facility operators and logisticians such as the WCCC. Both are vital for a coalition's success. Executives provide the guidance, support, and demand accountability from coalitions. Successful coalitions tend to seek to understand the expectations of both private- and public-sector executives, and to work diligently to meet and exceed those expectations. Day-to-day private-sector operatives and logisticians can help define and evaluate the initiatives required to meet executive expectations. When paired with public-sector technical experts, logisticians can define and validate key points of leverage for improvement of the geographic area addressed by the coalition. Logisticians deal with day-to-day issues. Executives seek to improve the overall system. Both are vital in a coalition. Private-sector technical participants tend to focus on near-term fixable problems. Public-sector technical participants organize those fixable problems into systematic improvement plans for the corridor or region. In this manner, the interests of the private sector to fix the "worst first" can be matched with the public agencies' concerns to approach large-scale problems in a systematic fashion that mirror the philosophy of traditional transportation improvement programs. This is the true partnership of public and private interests within a coalition framework.

## 5.7 SUMMARY CONCLUSIONS ON MULTISTATE CORRIDOR PLANNING

### 5.7.1 Guidance for Multistate Coalitions

In terms of the formation of multistate coalitions, the model which seems to have had the most success is to focus on the issues that are driving the multistate effort. Initial, informal meetings can help to determine what these issues are and set the stage for more formal examinations. After the issues have been formulated, determining the coalition membership is the next step. This step should flow fairly organically with key stakeholders being identified based on the issues of the coalition. This would form the core of the multistate coalition. Other stakeholders are then brought in strategically, such as to provide geographic continuity or to obtain perspectives on system users. In summary, in the initial coalition formation process, the focus should be on recruiting relevant stakeholders to match the issues being addressed by the coalition rather than on forming a political bloc geared towards securing Federal funding. Coalitions that focus too much effort on obtaining Federal funding may develop a set of coalition members that are not ideal for examining and addressing the issues, thereby, stalling development of the coalition.

Multistate corridor coalitions also seem to have not fully leveraged data and analytical tools. Many of the coalitions were able to state qualitatively that there is a relationship between the members in the organization. Others were able to overlay economic data, such as regional trade volumes with the relevant corridor(s) for the multistate planning effort. However, these relationships have not been quantified in terms of understanding specific origin-destination patterns within the coalition study area and between the member jurisdictions. For freight transportation in particular, the relationship between the transportation infrastructure and the economy was not quantified in the vast majority of multistate planning efforts. This relationship can be quantified by first identifying the commodities moved in a corridor, determining which industries produce and consume those commodities, the locations of the producers and the consumers, and the importance of transportation in the cost structure of those industries. Over the past five years, there has been significant work done to understand the relationship between freight and the economy. Multistate coalitions could use some of this recent work to quantify the relationship between their trade corridors and the regional and national economies that are served by the corridors.

Additionally, multistate coalitions should not shy away from compiling data from existing sources, such as CFS, FAF, and state and local survey efforts, to assist in determining trade and passenger flows along the multistate corridors. Where these are insufficient, additional data collection efforts can be initiated by the coalition. A successful coalition could be one that simply collects data on a corridor, and makes that data available for coalition members in future planning efforts sponsored by individual members. Another potential role for multistate

coalitions is the development of an analytical tool that can be used by all of the coalition members to perform analysis of the corridor in a consistent, unified fashion. The I-95 Corridor Coalition is taking the first step in this direction by initiating the development of their travel demand model for the entire I-95 corridor. If the I-95 multistate corridor tool is successfully developed, regional and statewide travel demand models along the corridor should strive to make their travel demand models consistent with the I-95 tool. Additionally, this project should be monitored closely to determine if it can be used as a model for other multistate corridor planning efforts.

Another advantage of improving the data and analytical tools available to multistate corridor planning coalitions is that it will improve the ability of project sponsors to evaluate the relative merits of projects and strategies within a coalition and across multiple coalitions. This type of objective approach would also be useful in lobbying for Federal funds of multistate coalition projects.

### **5.7.2 Involvement of the Federal Government**

Funding is consistently a primary driving force for multistate coalitions. It is important in each of the three phases of the coalition. This was found to be true in the FHWA white paper, the National Forum, and the three case studies reviewed for this report. This is clearly the strongest lever that the Federal government has to influence multistate coalitions. In reference to the items listed above, the Federal government could mandate that multistate coalitions provide trade flow and passenger flow data to support their funding requests. Obviously, these types of levers can only be utilized if the multistate planning funding support suggested in SAFETEA-LU is allocated in a discretionary, transparent process rather than being congressionally earmarked. With funding sources becoming scarcer, coalitions are now increasingly investigating innovative funding techniques to fund projects. Often, these techniques are constrained by restrictions on how funding can be collected and allocated for different types of agencies. The Federal government should work with multistate corridor coalitions to determine if and when some of these restrictions can be relaxed.

### **5.7.3 Conclusion**

Overall, coalitions are essential in addressing the complexities and needs of large-scale security problems; long-distance trade corridors, particularly binational corridors; and fiscally-constrained budgets. Unlike traditional transportation planning initiatives, where standards and procedures are well established and subject to incremental changes, coalitions are writing the rules as they proceed. The multijurisdictional aspect of coalitions and the blend of public and private perspectives present challenges and opportunities that place a premium on focus, delivery, and accountability. With continued emphasis on devolution of public sector decision-making and the disparity between transportation system needs and available resources, coalitions will become increasingly important elements in sustaining a national and regional perspective on transportation,

security, and economic development. To the extent that they support the goals and concerns of individual states and the extent that they remain flexible and responsive to the changing needs of the private sector, coalitions can and will play a larger role in transportation policy and delivery. They are a growing experiment in governance, bridging the needs of Federal, state, and local agencies, and supporting our larger vision for secure and efficient transportation for our collective wellbeing.