



# Transportation in Connecticut: The Planning Process – Federal and State Requirements

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# THE TRANSPORTATION PLANNING PROCESS - FEDERAL AND STATE REQUIREMENTS

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



## A. FEDERAL MANDATES

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

- Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU)
- Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA)
- Transportation Equity Act for the 21st Century (TEA-21)
- Clean Air Act (CAA) & Clean Air Act Amendments of 1990 (CAAA)
- Vision 100-The Century of Aviation Act (Vision 100)
- Wendell H. Ford Investment and Reform Act for the 21st Century (AIR-21)
- National Environmental Policy Act (NEPA)
- Americans with Disabilities Act (ADA)
- Title VI of the Civil Rights Act of 1964
- Environmental Justice Orders (Executive Order 12898, DOT Order on Environmental Justice to Address Environmental Justice in Minority Populations and Low-Income Populations (DOT Order 5610.2), and FHWA Actions to Address Environmental Justice in Minority Populations and Low-Income Populations (DOT Order 6640.23)
- Section 109(h) of Title 23 of the *United States Code*
- The Uniform Relocation Assistance and Real Property Acquisition Policies of 1970

SAFETEA-LU, ISTEA, and TEA-21 amended Title 23 of the *United States Code* (USC) to include provisions that enhance the roles of local governments, formalize relationships and assign responsibilities among the state and regional planning organizations (RPOs), specify the participants in the state transportation planning process, and specify the scope of the planning process. The provisions of these acts require each state to develop transportation plans and programs for the state and carry out a planning process that provides for consideration of projects and strategies that address specified factors. (See discussion of the Long-Range Transportation Plan for list of factors.) Federally mandated documents and amendments to them adopted after July 1, 2007, must be in full compliance with SAFETEA-LU.

In carrying out transportation planning, states must consider:

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

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

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

The following are the four basic principles of environmental justice:

- To ensure non-discrimination under Title VI of the Civil Rights Act of 1964
- To ensure public involvement of low income and minority groups in decision making;
- To prevent disproportionately high and adverse impacts of decisions on low-income groups and minority groups; and
- To assure that low income and minority groups receive a proportionate share of benefits.

SAFETEA-LU also requires the statewide/metropolitan planning process, to the maximum extent practicable, be consistent with the development of regional Intelligent Transportation Systems (ITS) architectures (*Code of Federal Regulations* Sections 450.208(f) and 450.306(f)).

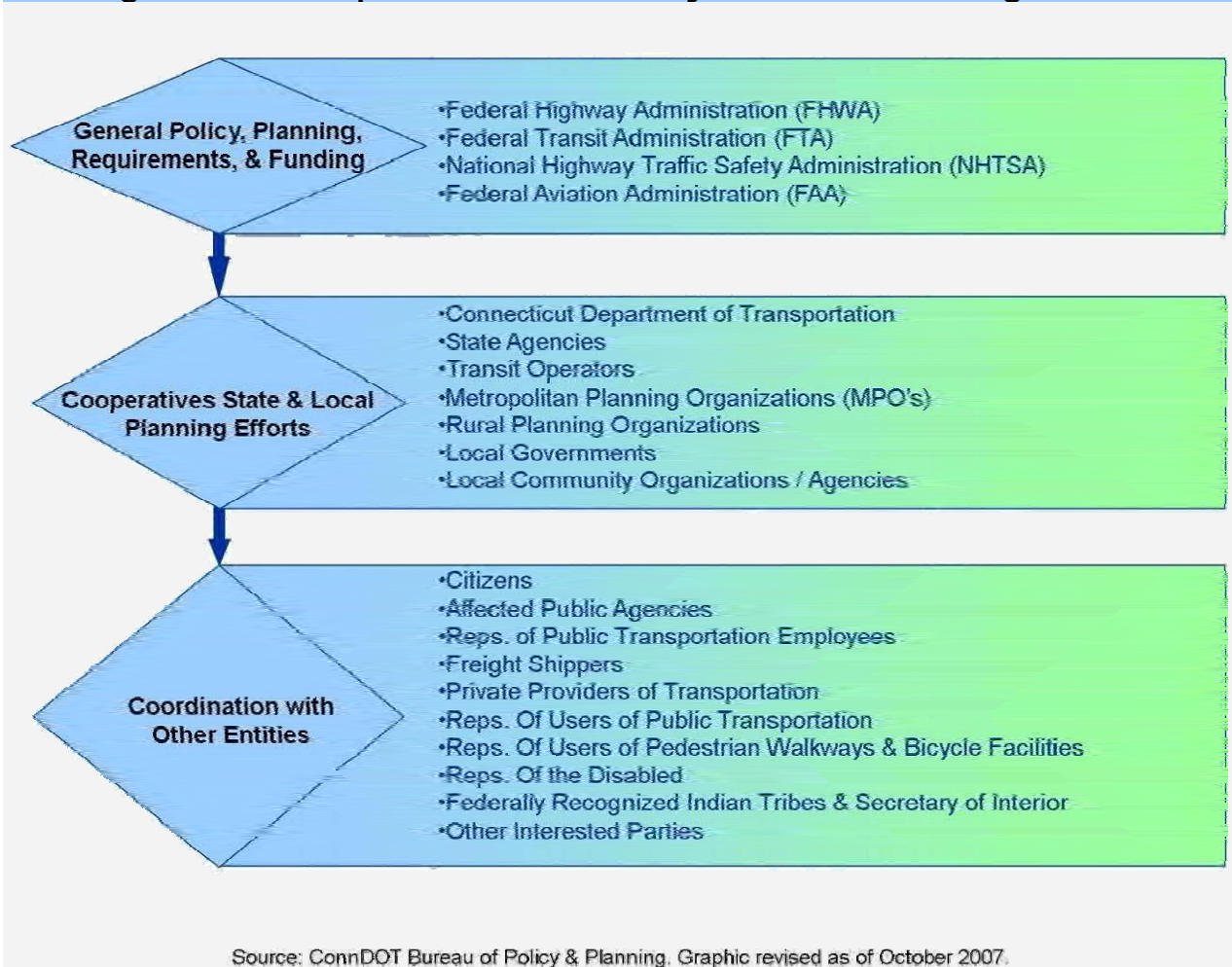
## B. TRANSPORTATION PLANNING PROCESS

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

### 1. FEDERAL REQUIREMENTS

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

**Figure 1. Participants in the Federally Mandated Planning Process**



**a. Federal Agencies**

At the federal level, the Federal Highway Administration (FHWA), the Federal Transit Administration (FTA), and the National Highway Traffic Safety Administration (NHTSA) within the USDOT are the primary agencies responsible for 1) implementing the surface transportation planning-related laws passed by Congress; and 2) distributing federal transportation money to state transportation agencies such as ConnDOT. The Federal Aviation Administration (FAA) within USDOT is the primary agency responsible for implementing federal laws pertaining to air transportation. These agencies promulgate regulations to implement transportation reauthorization laws such as SAFETEA-LU, ISTEA, TEA-21, AIR-21 and Vision 100, and they distribute to states the transportation funds authorized by Congress. They are responsible for ensuring that recipients of the funding comply with the federal laws and regulations. They carry out this responsibility by overseeing, approving and/or monitoring the process, procedures, work products and activities to select, design and construct transportation projects for which federal funding is used.

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

**b. Designated State Transportation Agency**

ConnDOT is the state agency in Connecticut that is designated to receive the federal transportation funds. It has the lead responsibility in the State of Connecticut for developing, implementing, and administering a transportation process and procedures that comply with the federal laws and regulations. ConnDOT is mandated to develop and submit to the FHWA and the FTA the following transportation planning documents: a state long-range transportation plan (LRP), a statewide transportation improvement program (STIP), a state planning work program (SPR), a strategic highway safety plan (SHSP) and a Connecticut highway safety annual report. ConnDOT must also prepare and submit to the National Highway Traffic Safety Administration a highway safety plan (HSP) and an annual safety report. These documents are discussed below in Subsection 1c, Federally Required or Encouraged State Planning Documents. At the state level, a number of other groups and organizations have roles in the transportation planning process. The roles of these bodies with respect to transportation planning are discussed in the following section and in Section 2. State Requirements.

**c. Federally Required or Encouraged State Planning Documents**

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**State Long-Range Transportation Plan (LRP)**

The state's LRP, required by Title 23 USC, Section 135(e) as amended by SAFETEA-LU and TEA-21, is the federally recognized transportation plan for the State of Connecticut. It is a policy document that is intended to present a long-term, intermodal vision of the state's transportation system and serve as a framework for preparing future, more project-specific plans such as the ConnDOT's statewide transportation improvement program (STIP) and master transportation plan (MTP). The LRP must ensure that the existing system is being adequately operated and maintained, and expanded and improved, as appropriate, over a 20-year time horizon. The plan must consider the full range of modal choices (e.g., highway vehicles, bus, rail, bicycle, walking) and identify transportation strategies necessary to efficiently serve the mobility needs of people and the movement of freight. It also must be "fiscally constrained." This means that the plan must be consistent with the amount of funding that can reasonably be expected to be available. Section 450.216 of the *Code of Federal Regulations*, which implements Section 135 of Title 23 USC, requires that this statewide, intermodal plan be periodically updated (every 3 to 5 years), cover a period of at least 20 years, and address eight specified factors. The factors that the plan must address pertain to:

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

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

The LRP is developed by ConnDOT in consultation with governments of metropolitan and non-metropolitan areas; federally recognized Indian tribal governments and the Secretary of the Interior; transit agencies; State, tribal and local agencies responsible for land use management, natural resources, environmental protection, conservation, and historic preservation; and others who have an impact on the transportation system. The consultation process includes a series of listening sessions which are held throughout the state to obtain public input prior to the development of a draft LRP. This process also involves comparison of transportation plans to State and tribal conservation plans or maps, and to inventories of natural or historic resources (if available). ConnDOT, when developing the LRP, must provide citizens, affected public agencies, representatives of transportation agency employees, freight shippers, private providers of transportation, representatives of users of public transit, providers of freight transportation services, representatives of users of pedestrian walkways and bicycle transportation facilities, the disabled, and other interested parties with a reasonable opportunity to comment on the draft LRP. The comment period must last at least 30 days. The specific steps taken by ConnDOT to involve the public are outlined in the Department's *Public Involvement Procedures* document. These steps must be documented and provided to the FHWA.

<b>Table 1. Federal Requirements for Developing Long-Range Transportation Plans</b>		
	<b>Statewide Long-Range Transportation Plan</b>	<b>Regional Long-Range Transportation Plans</b>
<b>Required by</b>	Title 23 USC, Section 135(e), as amended by SAFETEA-LU	Title 23 USC, Section 134, as amended by SAFETEA-LU
<b>Frequency of Update</b>	Periodically every 3-5 years, as appropriate	At least every 4 years (5 years in air quality attainment areas)
<b>Scope</b>	Both documents must cover a minimum of 20 years	
<b>Content</b>	Both documents must address the following eight factors: <ul style="list-style-type: none"> <li>▪ Emphasize the preservation and most efficient use of the existing transportation system, including capital, operations and management strategies, investments, procedures, and other measures</li> <li>▪ Promote efficient system management and operation</li> <li>▪ Support the economic vitality of the United States, the States, and metropolitan and non-metropolitan areas, especially by enabling global competitiveness, productivity, and efficiency</li> <li>▪ Increase the safety of the transportation system for motorized and nonmotorized users</li> <li>▪ Enhance transportation security for motorized and nonmotorized users</li> <li>▪ Increase the accessibility and mobility options available to people and for freight</li> <li>▪ Enhance the integration and connectivity of the transportation system, across and between modes throughout the State, for people and freight</li> <li>▪ Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns</li> </ul>	
<b>Content</b>	Requires a discussion of potential environmental mitigation activities along with potential sites to carry out such activities  Is not required to be project-specific  May include a financial plan*	Requires a discussion of potential environmental mitigation activities along with potential sites to carry out such activities  Short-term and long-term projects need to meet future transportation demand in the region  Must refer to goals and objectives in the State-adopted Highway Safety Strategic Plan  Should include discussion of strategies to improve the performance of existing facilities
<b>Other</b>	Must be "fiscally constrained"    Must be submitted to FHWA & FTA State must provide for public involvement in developing LRP Should be published or made available electronically, such as on the internet	Must be "fiscally constrained"  Financial plan section must be developed in cooperation with transit operators* Must be found to be in conformity with the State Implementation Plan (SIP) Must be submitted to and approved by FHWA & FTA in order to be able to create a Transportation Improvement Program Should be published or made available electronically, such as on the internet
*As of December 11, 2007, financial plans must reflect "year of expenditure" dollar estimates. Source: ConnDOT Bureau of Policy & Planning. Graphic revised in April 2007.		

## **Statewide Transportation Improvement Program (STIP)**

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

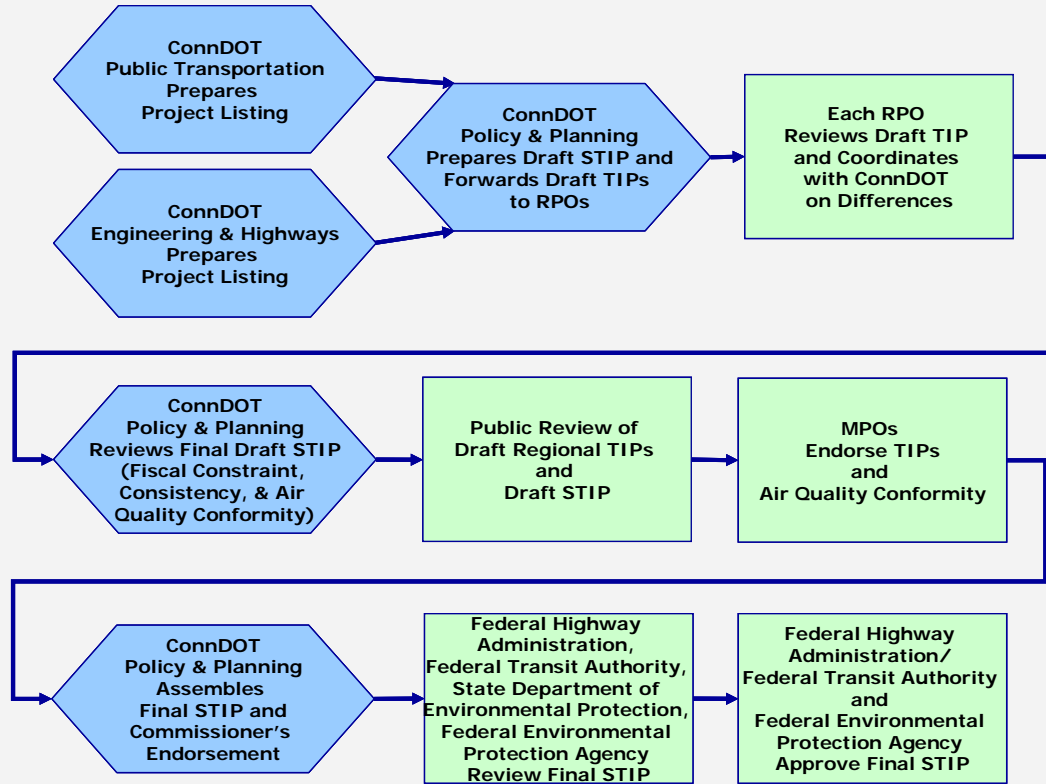
ConnDOT develops the STIP in accordance with Title 23 of the U.S. Code and all regulations issued pursuant thereto. Federal law requires that a STIP be developed in consultation with the Transportation Management Areas (TMAs) (Metropolitan Planning Organizations (MPOs) with populations over 200,000), except for projects on the National Highway System or projects funded under the Bridge or Interstate Maintenance Programs. In these categories the STIP must be developed in cooperation with the TMAs. In all other Urbanized Areas (UZAs), the STIP is developed in cooperation with the MPOs. In all of the Rural and Urban Areas with a population of under 50,000, the STIP is developed in cooperation with the local officials, except for projects on the NHS or projects that are funded under the Bridge and Interstate Maintenance Programs. In these categories the STIP must be developed in consultation with local officials. The federal mandates, with respect to the frequency of update, scope and content, and other requirements for the STIP and Transportation Improvement Programs (TIPs) undertaken by the regions, are listed in Table 2.

An overview of the process for developing the TIP and STIP is presented in Figure 2. When developing the STIP and TIPs, ConnDOT's Bureau of Public Transportation and Bureau of Engineering and Highway Operations prepare draft lists of projects and submit them to ConnDOT's Bureau of Policy and Planning. The Bureau of Policy and Planning prepares and distributes to each RPO a draft list of the suggested projects for the region. The RPOs review the projects, add or delete projects, and provide to the Department their comments on the draft TIPs. The draft TIPs and the draft STIP are completed based upon a consensus between ConnDOT and the RPOs. Refer to Appendix B for a list of the specific steps in the process of developing a STIP.



<b>Table 2. Federal Requirements for Developing Transportation Improvement Programs</b>		
	<b>Statewide Transportation Improvement Program (STIP)</b>	<b>Regional Transportation Improvement Program (TIP)</b>
<b>Required By</b>	Title 23 USC, Section 135(f) as amended by SAFETEA-LU	Title 23 USC, Section 134(h) as amended by SAFETEA-LU
<b>Developed By</b>	ConnDOT in cooperation with the 11 MPOs and in consultation with the 4 rural RPOs	Each MPO in cooperation with the state and public transit operators
<b>Approved By</b>	FHWA and FTA (joint approval)	Each MPO and by the Governor
<b>Frequency of Update</b>	At least every 4 years; however, amendments can be submitted at anytime and ConnDOT publishes an update every 2 years	At least every 4 years
<b>Scope</b>	Must cover a minimum of 4 years	Must cover a minimum of 4 years
<b>Content</b>	<p>Must come from conforming state and regional long-range transportation plans</p> <p>Must include, directly or by reference, MPOs' TIPs, without modification, following approval by the Governor</p> <p>Must demonstrate that projects can be implemented using current and anticipated revenue sources</p> <p>Must include all significant projects that could affect air quality</p> <p>Individual project entries must contain the following information:</p> <ul style="list-style-type: none"> <li>▪ Project description;</li> <li>▪ Specific project budget; and</li> <li>▪ Identification of Americans with Disabilities</li> <li>▪ Act implementation project elements.</li> </ul>	<p>Must reflect the priorities for programming and expenditures of funds</p> <p>First two years of program can include only projects or identified phases of projects for which full funding can reasonably be anticipated to be available within the time period contemplated for completion of the project</p> <p>Must include an annual list of projects for which funds have been obligated in the preceding year</p> <p>Must include descriptions of all other regionally significant transportation projects that affect air quality, regardless of funding source</p> <p>Becomes part of the STIP</p>
<b>Other</b>	<p>Must be fiscally constrained by year</p> <p>Must be found to be in conformity with the State Implementation Plan (SIP)</p> <p>State must notify appropriate MPO, local jurisdictions, Indian tribal government, Federal land agency, etc., when a TIP including projects under the jurisdiction of the agency has been included in STIP</p>	<p>Must conform to air quality requirements</p> <p>RPOs must create a stand-alone Public Participation Plan (PPP) when developing TIPs</p>
Source: ConnDOT Bureau of Policy & Planning. Graphic revised as of March 2007.		

Figure 2. Process for Developing the TIP and the STIP



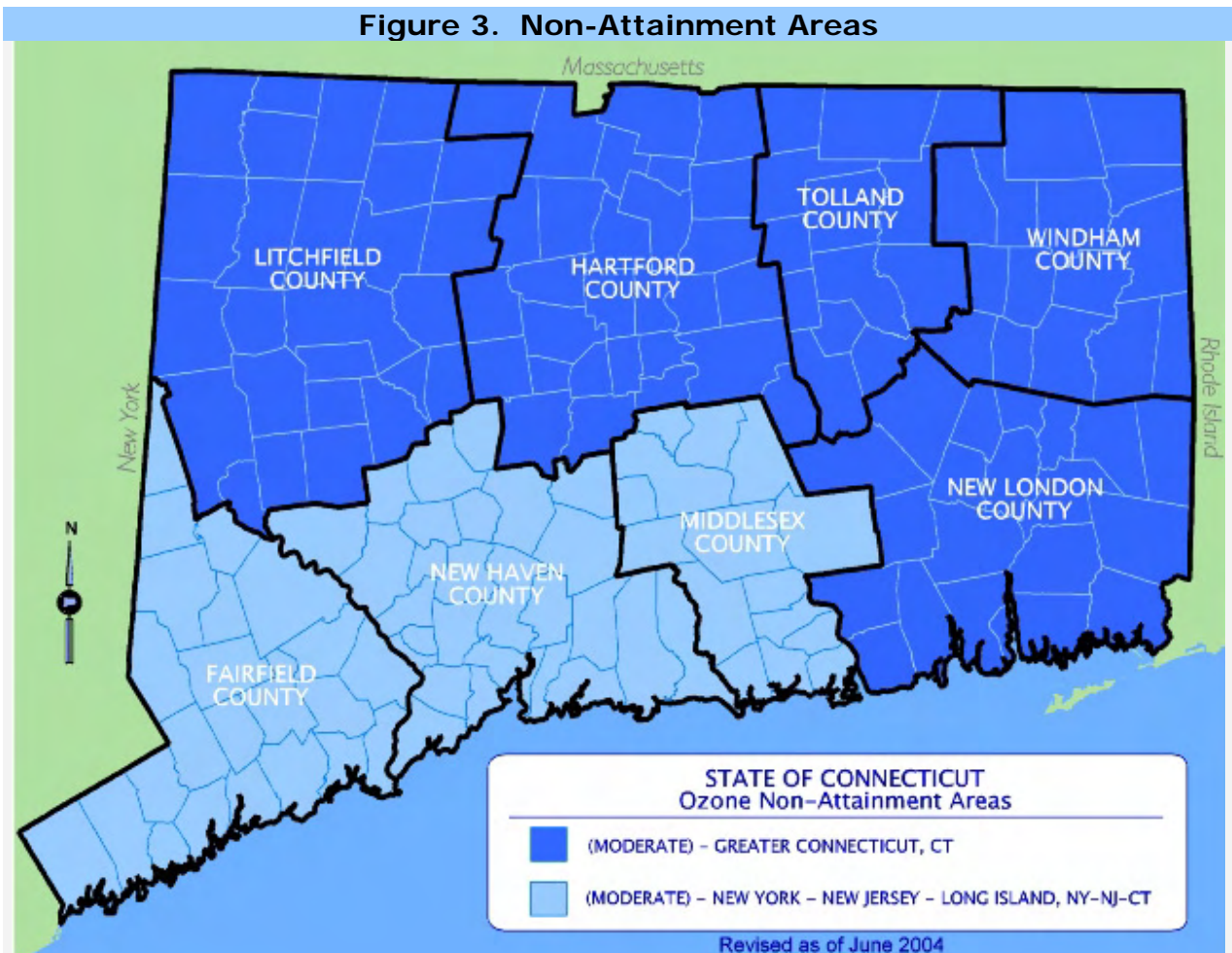
Source: ConnDOT Bureau of Policy & Planning. Graphic revised as of April 2005.

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

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

give priority to projects and programs pertaining to diesel retrofits and other cost-effective emission reduction activities, and cost effective congestion mitigation activities that provide air quality benefits.

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



Both the draft TIPs and the draft STIP are made available to the public for review and comment in accordance with ConnDOT's *Public Involvement Procedures* document. This comprehensive process includes the publication of the STIP on the Department's web site, publication of legal notices in major daily newspapers, news releases to media outlets, mailings to all individuals and businesses who have expressed an interest in the transportation planning process, and two informational sessions at ConnDOT headquarters. The Department is responsible for addressing comments on the draft STIP. MPOs are asked to coordinate their public review of TIPs with

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

### **Public Involvement Procedures and Public Outreach Policy Statement**

The Statewide Planning and Metropolitan Planning Regulations (23 CFR Part 450 and 500 & 49 CFR Part 613, February 14, 2007) require that ConnDOT and MPOs develop public involvement procedures. ConnDOT's procedures are outlined in the April 2007 draft publication *Connecticut Department of Transportation Public Involvement Procedures (POP)*. ConnDOT's Draft Public Outreach Policy, once approved, will be included in the Department's *Public Involvement Guidance Manual (Revision of 2007)* after the final draft has been approved. It is anticipated that a final POP and a final guidance manual will be published in early 2008.

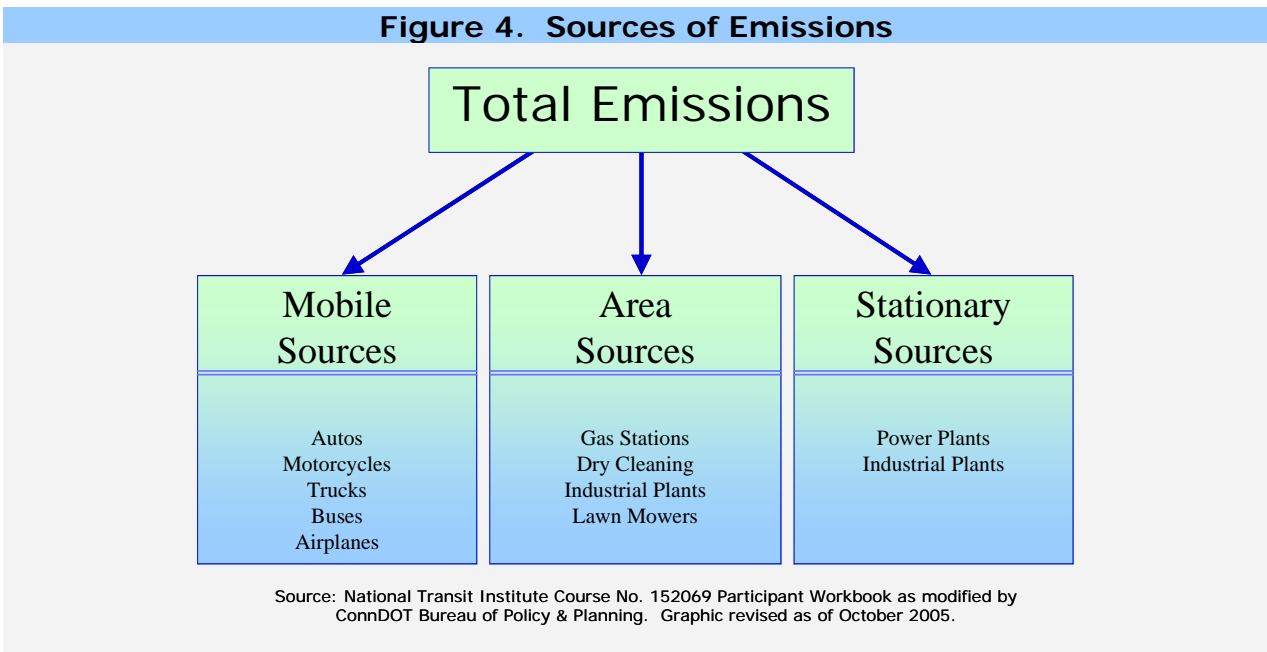
### **State Implementation Plan (SIP)**

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

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

The State of Connecticut's SIP, which is prepared by the Connecticut Department of Environmental Protection, contains a set of emissions budgets for stationary, mobile, and area sources in Connecticut and presents a group of strategies for attaining the federally mandated air quality standards. Figure 4 identifies the sources of emissions from stationary, mobile, and area sources. Mobile sources of emissions include automobiles, motorcycles, trucks, buses, and airplanes. Area sources of emissions include gas stations, dry cleaning, industrial plants, and lawn mowers. Stationary sources of emissions include power plants and industrial plants.

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



## PM 2.5

Fine particulate matter, also called PM<sub>2.5</sub>, is a mixture of microscopic solids and liquid droplets suspended in air, where the size of the particles is equal to or less than 2.5 micrometers (about one-thirtieth the diameter of a human hair). Fine particles can be emitted directly (such as smoke from a fire, or as a component of automobile exhaust) or be formed indirectly in the air from power plant, industrial and mobile source emissions of gases such as sulfur dioxide and nitrogen oxides.

In July 1997, EPA issued NAAQS for PM<sub>2.5</sub>, designed to protect the public from exposure to PM<sub>2.5</sub> at levels that may cause health problems. The standards include an annual standard set at 15 micrograms per cubic meter,

based on the three-year average of annual  $PM_{2.5}$  concentrations and a 24-hour standard of 65 micrograms per cubic meter based on the three-year average of 24-hour concentrations. In general, areas need to meet both standards to be considered to attain  $PM_{2.5}$  NAAQS.

Areas not meeting the  $PM_{2.5}$  NAAQS are called  $PM_{2.5}$  non-attainment areas. These areas have had or contributed to  $PM_{2.5}$  levels higher than allowed under the NAAQS. Non-attainment areas are subject to transportation conformity, through which local transportation and air quality officials coordinate planning efforts to ensure that transportation projects do not hinder an area's ability to reach its clean air goals. Transportation conformity requirements become effective one year after an area is designated as a non-attainment area.

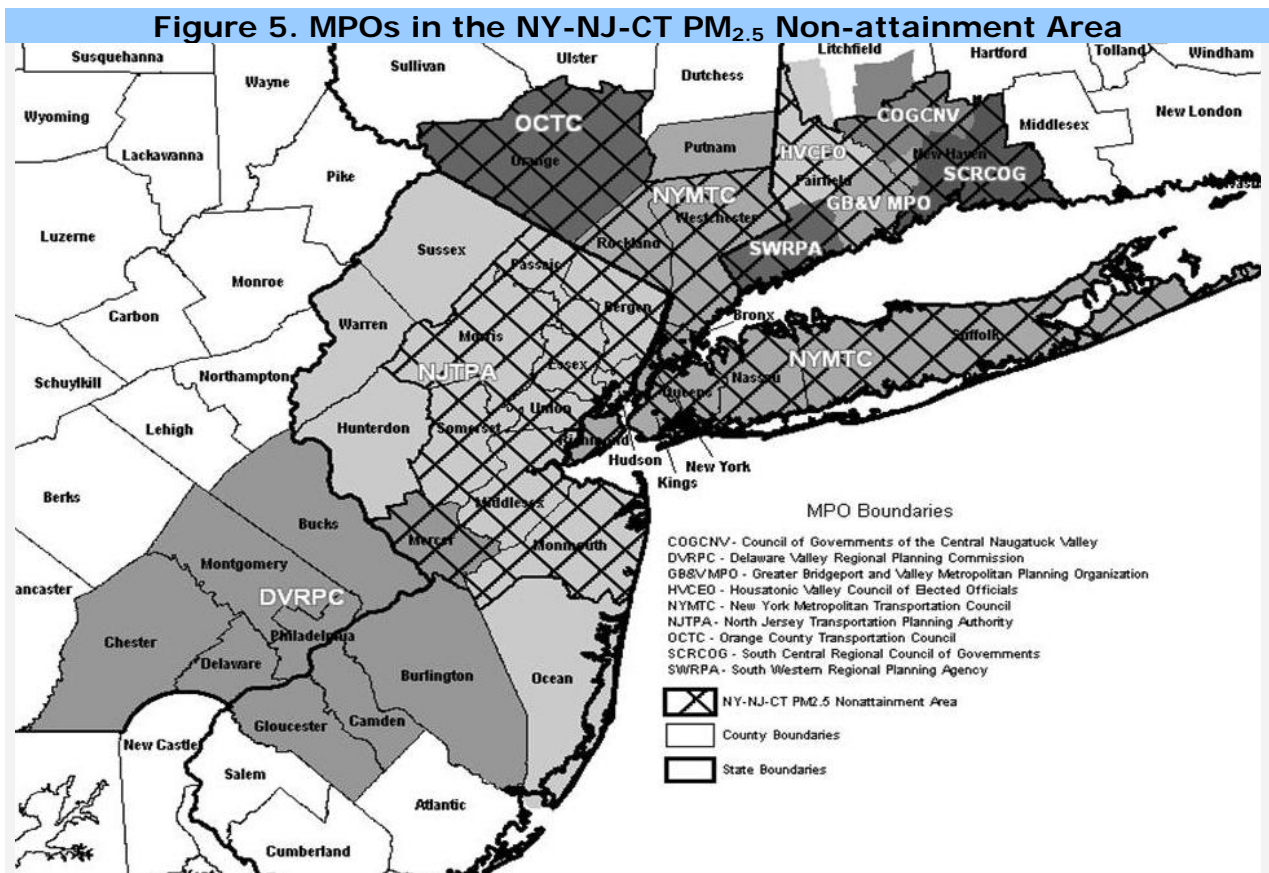
EPA issued official designations for the  $PM_{2.5}$  standard on December 17, 2004, and made modifications in April 2005. On April 5, 2005, designations under the national air quality standards for fine particle pollution or  $PM_{2.5}$  became effective. Therefore, by April 4, 2006, all  $PM_{2.5}$  non-attainment areas were required to implement transportation conformity. Under the EPA designation, non-attainment areas are required to meet the  $PM_{2.5}$  NAAQS as soon as possible, but no later than 2010. EPA may grant attainment date extensions of up to five years in areas with more severe  $PM_{2.5}$  problems and where emissions control measures are not available or feasible.

Figure 5 shows the relationship between the counties and the boundaries of the nine MPOs in the NY-NJ-CT  $PM_{2.5}$  Non-attainment Area.

EPA has determined that meeting the  $PM_{2.5}$  NAAQS nationwide will annually prevent at least 15,000 premature deaths; 75,000 cases of chronic bronchitis; 10,000 hospital admissions for respiratory and cardiovascular disease; hundreds of thousands of occurrences of aggravated asthma; and 3.1 million person-days of missed work due to symptoms related to particle pollution exposure.

States with designated  $PM_{2.5}$  non-attainment areas must submit SIPs that outline how they will meet the  $PM_{2.5}$  NAAQS. States must submit their SIPs to EPA by April 5, 2008.

Effective June 20, 2007, the 2009 motor vehicle emissions budgets in Connecticut's SIP revision were deemed adequate for transportation conformity purposes. These conformity budgets are 360 tons per year of direct  $PM_{2.5}$  and 18,279 tons per year of NOx.



### Congestion Mitigation and Air Quality Report (CMAQ)

The Department’s annual CMAQ Report is prepared in accordance with 23 USC 149 and SAFETEA-LU. It provides information on CMAQ projects that are obligated in the year being reported on. This information includes descriptions, federal dollar amounts, and emissions reduction on each project. Projects are identified by Connecticut State project numbers within USDOT-defined project categories. The Field Coordination unit within the Bureau of Policy and Planning prepares this report.

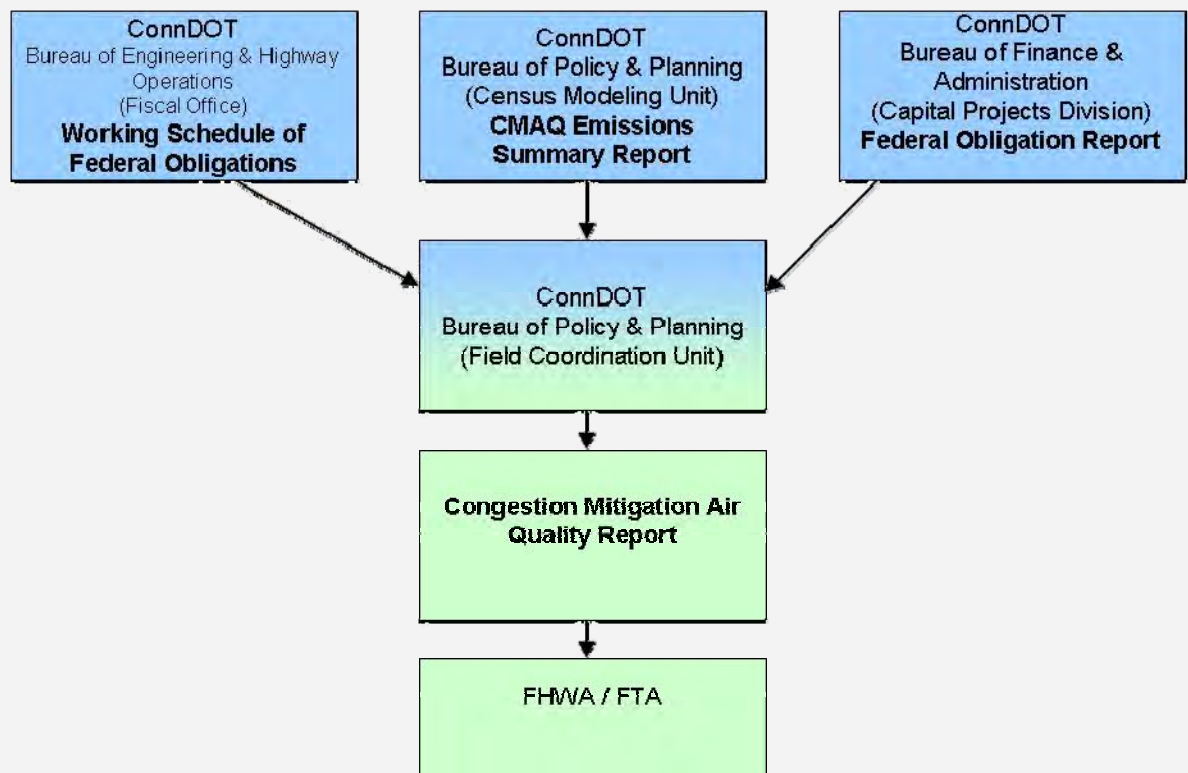
The information for ConnDOT’s CMAQ Report is gleaned from the following three documents: the Working Schedule of Federal-Aid Obligations, which is prepared by the Office of Fiscal/Special Projects section within the Bureau of Engineering and Highway Operations; the Federal Obligation Report, which is prepared by the Division of Capital Projects within the Bureau of Finance and Administration; and the CMAQ Summary Emissions report, which is prepared by the Census/Modeling unit within the Bureau of Policy and Planning. The relationships of these documents and the offices that prepare them are shown in Figure 6.

The development of ConnDOT’s CMAQ report consists of three main tasks. The first task involves compiling the list of CMAQ projects that were obligated in the year being reported on. This information is gathered using the Working Schedule of Federal-Aid Obligation report, from which project descriptions

and federal dollar amounts for each project can be found. The second task involves comparing the total dollar amount from this list to the total obligated dollars for CMAQ projects in the reporting year from the Bureau of Finance and Administration's Federal Obligation Report. This check is done to ensure that only projects that were obligated in the reporting year are listed in the Department's CMAQ Report. In addition to the newly obligated projects, a portion of the obligated dollars for the reporting period is usually used as additional funding for previously obligated projects. The emissions benefits of these projects are reported in their first year of funding and not re-reported in subsequent years. The third task involves obtaining from the Bureau of Policy and Planning's CMAQ Summary Emissions report information on the emissions reduction estimate for each project on the list.

Finally, this information is compiled and organized into a table by project categories. This table is then used to enter the project number, project description, project cost, and emission benefits data for each project into the Federal Highway Administration's CMAQ Project Tracking System.

**Figure 6. CMAQ Report: Relationship to Other Documents**



Source: ConnDOT, Bureau of Policy & Planning, Office of Policy



## **State Planning Work Program (SPR)**

The State planning work program is developed each fiscal year by ConnDOT's Bureau of Policy and Planning, in accordance with Section 6001 of SAFETEA-LU and Title 23 of the U.S. Code and all regulations issued pursuant thereto. The bureau's Fiscal/Administrative Unit develops, directs, and controls a fiscally responsible, comprehensive, and effective work program covering a period of two years that responds to the needs of the Department, FHWA, FTA, and more importantly, the traveling public. A task write-up that includes a description of work to be accomplished and cost estimates is developed for each activity/task that will be undertaken. Detailed cost summaries showing types of funds programmed are included, along with financial statements showing federal share by type of fund and matching state/local rates. The programs are forwarded to FHWA and FTA for review and final approval. Program reviews are conducted via quarterly progress reports and meetings. During these reviews, a comprehensive SPR financial statement is made available to FHWA for review and comment. The primary purpose of this statement is to ensure that all programs are in compliance with federal funding allocations.

## **Environmental Documents**

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

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

The type of documentation required is dependent upon project type and funding. The Environmental Classification Document of the Department of Transportation, which was prepared pursuant to Section 22a-1a-4 of the Regulations of Connecticut State Agencies, identifies 1) typical actions for which environmental impact evaluations will always be prepared; and 2) typical actions whose degree of impact is indeterminate but which could have significant environmental impacts. A copy of this document is included as Appendix D.

The types of documents that may be prepared include the following:

- Federal Categorical Exclusion (CE)

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

Each document must identify and describe the transportation problem(s) that the project is intended to resolve, and it must demonstrate that a need exists for the project. Environmental documents are intended to be used in deciding upon a preferred alternative which would be the best balance of meeting the identified needs, while minimizing the impacts resulting from the alternative. Documents are written for both the public and technical reviews, focusing on key transportation issues and the effects of the alternative strategies being considered. Some of the information is preliminary and, oftentimes, is not finalized until the permit preparation/final design phase of a project. The public involvement requirements mandated by the National Environmental Policy Act (NEPA) and the Connecticut Environmental Policy Act (CEPA) are identified in Appendix C. The Section 106 process (consultation under the Historic Preservation Act) is outlined in ConnDOT's *Public Involvement Procedures* document.

### **Strategic Highway Safety Plan (SHSP)**

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SAFETEA-LU, (23 USC 148) requires ConnDOT to prepare and implement a comprehensive, statewide, four- to five-year SHSP. A SHSP is a statewide-coordinated safety plan that provides a comprehensive framework, and specific goals and objectives, performance measures, and strategies and countermeasures for reducing highway fatalities and serious injuries on all public roads. The purpose of Connecticut's SHSP is to identify the state's critical safety needs and guide investment decisions to achieve significant reductions in highway fatalities and serious injuries on all public roads in Connecticut. It is a data-driven plan that integrates the 4Es - engineering, education, enforcement and emergency medical services (EMS). ConnDOT uses a collaborative process to develop this statewide plan. Statewide safety goals, objectives, and key emphasis areas are developed in consultation with Federal, State, local, and private sector safety stakeholders. Stakeholders who are involved in the process include the following:

- Governor's Highway Safety Representative
- Regional transportation planning organizations and MPOs
- Representatives of major modes of transportation
- State and local traffic law enforcement officials
- Persons responsible for administering 23 USC Section 130 at the state level
- Representatives of Operation Lifesaver
- Representatives conducting a motor carrier safety program

- Motor Vehicle Administration agencies
- Other major state and local stakeholders

To manage the complex process of developing this plan, and to achieve the level of integration necessary to meet the highest levels of safety, two key components are needed. The first is an organizational structure that will allow for the integration of the agencies involved in transportation safety. The second is a formal management process that will direct the activities of these agencies in a manner that will efficiently achieve the mission and vision. Activities associated with developing the SHSP may include the following:

- Gaining support and initiative from upper level leadership in ConnDOT and other state agencies
- Identifying a “Champion”: an individual or unit to ensure that all critical safety partners are integrated into a collaborative group
- Initiating the SHSP development process
- Gathering data
- Analyzing data
- Establishing a working group
- Bringing safety partners together
- Adopting a strategic goal
- Identifying key emphasis areas
- Forming task groups
- Identifying key emphasis area performance-based goals
- Identifying strategies and countermeasures
- Determining priorities for implementation
- Writing the SHSP

ConnDOT must evaluate this plan on a regular basis to ensure the accuracy of the data and the priority of proposed improvements. The process for developing this plan must be approved by the FHWA. The SHSP must be approved by the Governor or a responsible state agency and submitted to the FHWA. In Connecticut, the Governor or his or her designee is responsible for approving the plan.

The SHSP is prepared in cooperation and collaboration with the Highway Safety Improvement Program (HSIP) and provides the mechanism for all highway safety programs in the state to work together in a coordinated effort to maximize its resources and positions to address the State’s traffic safety challenges.

The relationship of the SHSP to the HSP and other planning documents is shown in Figure 7. The federal mandates, with respect to the frequency of

update, scope and content, and other requirements for the SHSP and highway safety plan (HSP) are listed in Table 3. Federal Requirements for Developing Highway Safety Plans.

### **Highway Safety Plan (HSP)**

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The Connecticut Department of Transportation is required by CFR Part 1200, Section 122.10(b) to prepare and submit to the National Highway Traffic Safety Administration for approval, an annual planning document which addresses a set of identified and defined highway and traffic safety problems resulting from driver behavior on state and municipal roadways in Connecticut. This problem identification process begins early in the calendar year with an examination of crash-related data. The analysis of this data identifies both general and specific patterns of concern and, from a review of historical patterns, results in a projection of future data trends. Other problems and deficiencies are identified through programmatic review.

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

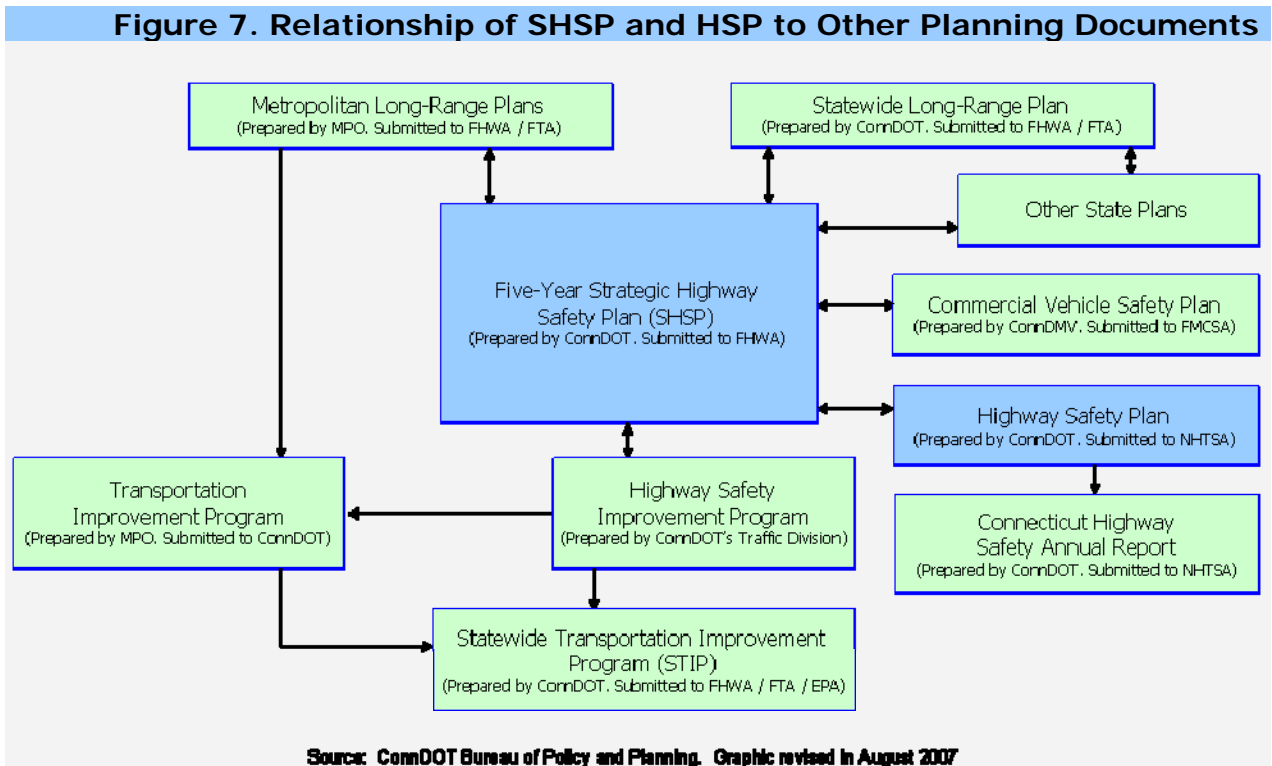
In addition, local political subdivisions and state agencies are routinely and systematically encouraged to identify municipal, regional, and state-level highway safety problems and to propose specific countermeasures that address these problems.

### **Connecticut Highway Safety Annual Report**

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Section 1200.33 of Title 23 of the Code of Federal Regulations requires each state to prepare a highway safety annual report. This report must describe the State of Connecticut's progress in meeting its highway safety goals, using performance measures identified in the Performance Plan, which is a component of ConnDOT's highway safety plan. Both baseline and most current level of performance under each measure must be given for each goal. This report must also describe how the projects and activities funded during the fiscal year contributed to meeting the State's highway safety goals. Where data becomes available, the State should report progress from prior year projects that have contributed to meeting current State highway safety goals. This report is prepared by ConnDOT's Transportation Safety Section and must be submitted annually by December 1 to NHTSA's New England Region's Office.

<b>Table 3. Federal Requirements for Developing Highway Safety Plans</b>		
	<b>Strategic Highway Safety Plan (SHSP)</b>	<b>Highway Safety Plan (HSP)</b>
<b>Required By</b>	Title 23 USC, Section 148 as amended by SAFETEA-LU	Title 23 USC, Section 402 (b)1(a) 23 CFR Part 1200, Section 1200.10 (b)
<b>Developed By</b>	ConnDOT Transportation Safety Section in consultation with federal, state, local, and private sector safety stakeholders pursuant to a process approved by FHWA	ConnDOT Transportation Safety Section in consultation with federal, state, local, and private sector safety stakeholders
<b>Submitted To</b>	FHWA	NHTSA regional office, annually by September 1 preceding the fiscal year to which the document applies. (NHTSA regional office forwards to NHTSA headquarters and FHWA division office.)
<b>Approved By</b>	The Governor or the Governor's designee	NHTSA
<b>Frequency of Update</b>	At least every 5 years	Every federal fiscal year
<b>Scope</b>	Public roadways statewide	Public roadways statewide
<b>Content</b>	<p>Serves as the statewide-coordinated safety plan. Emphasis areas are:</p> <ul style="list-style-type: none"> <li>-Driver behavior</li> <li>-Traffic records and information systems</li> <li>-Roadway departures</li> <li>-Pedestrians and bicycles</li> <li>-Motorcycle safety</li> <li>-Commercial vehicles</li> <li>-Incident management</li> </ul> <p>Must provide a comprehensive framework, specific goals and objectives, performance measures, and strategies and countermeasures for reducing fatalities and serious injuries.</p> <p>Must outline an organizational structure that will allow for the integration of agencies involved in transportation safety.</p> <p>Should identify a formal management process that will direct the activities of agencies involved in transportation safety with a focus on mission and vision.</p> <p>Must include a crash data system that can perform problem identification and countermeasure analysis.</p>	<p>Describes projects and activities the State plans to implement to reach the goals identified in the HSP.</p> <p>Must, at a minimum, describe one year of Section 402 program activities. Must list specific projects, with a focus on driver behavior. Must include task descriptions and estimated costs for accomplishing tasks.</p> <p>Requires a discussion of general and specific patterns of concern, reviews of historical patterns, and projections of future data trends.</p> <p>Must identify countermeasures to specifically address a set of identified and defined highway and traffic safety problems resulting from driver behavior on all public roadways.</p> <p>Must include a brief description of the processes used by the state to identify its highway safety problems, define its highway safety goals and performance measures, and develop projects and activities to address them.</p> <p>In describing processes, must identify participants, discuss strategies for project or activity selection, and list information and data sources consulted.</p>
<b>Other</b>	<p>Document is data-driven</p> <p>SHSPs that meet requirements of 23 USC 148 may obligate Highway Safety Improvement Program (HSIP) funds for all purposes listed in Section 148. States without an SHSP will receive safety apportionments that may be used only for projects eligible under 23USC130 and 152 (rail-way-highway crossings and hazard elimination) as in effect prior to enactment of SAFETEA-LU.</p>	<p>Document is data-driven</p> <p>May include activities funded from other sources, so long as source of funding is clearly distinguished.</p> <p>Failure to meet submittal deadline may result in delayed approval and funding.</p>
Source: ConnDOT Bureau of Policy & Planning. Graphic revised in May 2007.		



### Connecticut Statewide Airport System Plan (CSASP)

Federal Law 49 USC 47102(8) defines "integrated airport system planning" as "developing for planning purposes, information, and guidance to decide the extent, kind, location, and timing of airport development needed in specific area to establish a viable, balanced, and integrated system of public use airports." The purpose of ConnDOT's *Connecticut Statewide Airport System Plan June 2006*, is to provide a comprehensive review of the current state aviation system, to support the continued operation and maintenance of Connecticut's airports, and to recommend modifications to the airport system to meet existing and projected aviation needs. The CSASP documents existing conditions at Connecticut airports and identifies what is necessary to meet current and future air transportation needs in order to establish a viable, balanced and integrated system of airports.

The CSASP provides the framework for detailed airport master planning. It is a means of providing information on Connecticut's airport system to the Federal Aviation Administration (FAA) for use in national airport system planning and the development of the National Plan of Integrated Airport Systems (NPIAS), which is prepared pursuant to the Airport and Airways Improvement Act. The NPIAS provides general forecasts of aviation activity and identifies, for a five-year period, the planned capital developments and their related costs, which will be necessary to maintain a safe and efficient air system. The information in the CSASP is also used to update individual airport master plans.

## **State Bicycle and Pedestrian Plan**

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The Connecticut Department of Transportation developed a Bicycle and Pedestrian Plan in 1999 in response to the emphasis that federal reauthorization legislation passed in 1998 and 1991 (the *Intermodal Surface Transportation Efficiency Act of 1991* and *The Transportation Equity Act for the 21<sup>st</sup> Century*) placed on accommodating bicycling and walking. The FHWA guidelines state that bicycling and walking ought to be accommodated as an element of good planning, design and operation, in all new transportation projects unless there are substantial safety or cost reasons not to do so. While there is no federal or state statutory requirement for a bicycle and pedestrian plan, the FHWA encourages the development and implementation of bicycle and pedestrian plans as part of the overall transportation planning process. FHWA further states that every statewide and metropolitan transportation plan should address bicycling and walking as an integral part of the overall transportation system, either through the development of a separate bicycle and pedestrian element or by incorporating bicycling and walking provisions throughout the long-range plan.

The Connecticut Department of Transportation is securing the services of a consultant to update its Bicycle and Pedestrian Plan and Bicycle Map. This eighteen-month initiative is expected to begin in early 2008.

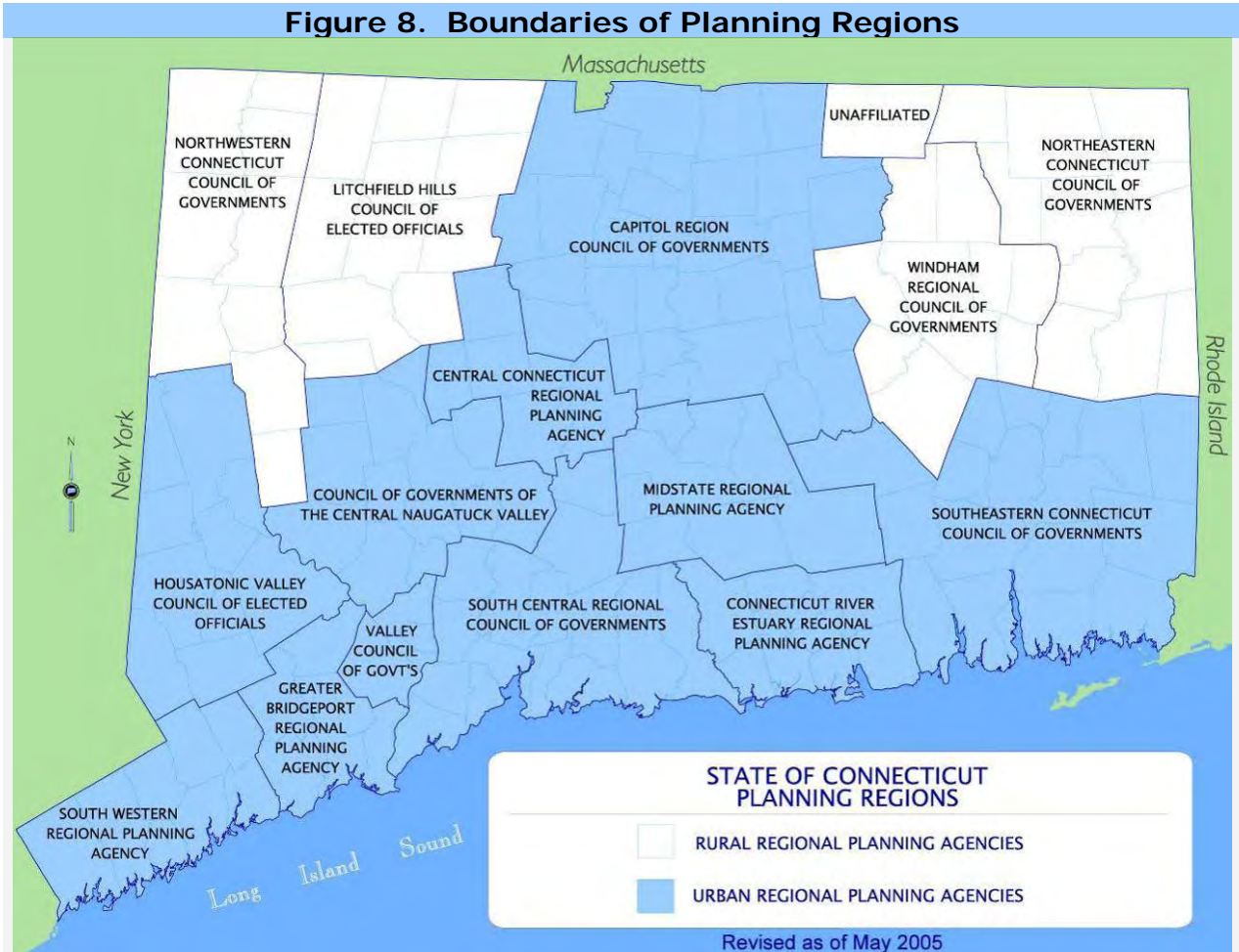
### **d. Regional Planning Organizations (RPOs)**

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In Connecticut, 15 regional entities called regional planning organizations (RPOs) conduct transportation planning activities for specific geographic areas within the state in cooperation with the Department. (One town is not affiliated with any RPO.) The boundaries of these RPOs are shown in Figure 8. Within each planning region, the municipalities have voluntarily created either a regional planning agency (RPA), a regional council of elected officials (CEO) or a regional council of governments (COG). Each RPO has an intricate part in the planning of transportation and in the development of transportation programs. In addition to conducting planning activities for their specific geographic areas within the state, they work extensively to assist municipalities with planning and administrative services and coping with the ever more complex municipal management and planning practices. RPOs also provide a forum for addressing inter-municipal concerns and representation in relating to state and federal programs.

RPOs can be further grouped into Metropolitan Planning Organizations (MPOs), large MPOs within Transportation Management Areas (TMAs), and Rural RPOs. Of the fifteen RPOs, eleven are MPOs and four are Rural RPOs. Eight of the MPOs are included in the three TMAs. The difference between these entities has to do with the population each represents and the authority the entities have in the project selection process outlined in federal laws and regulations. A TMA has a population over 200,000, it selects projects in consultation with ConnDOT and transit operators, and it has veto authority over projects in the TMA that are proposed for inclusion in the TIP.

An MPO has a population over 50,000, ConnDOT and transit operators devise and guide projects in cooperation with the MPO, and the MPO has veto authority over projects in the MPO that are proposed for inclusion in the TIP. A Rural RPO has a population under 50,000, and ConnDOT devises and guides projects in cooperation with local officials. These key differences are presented Figure 9.

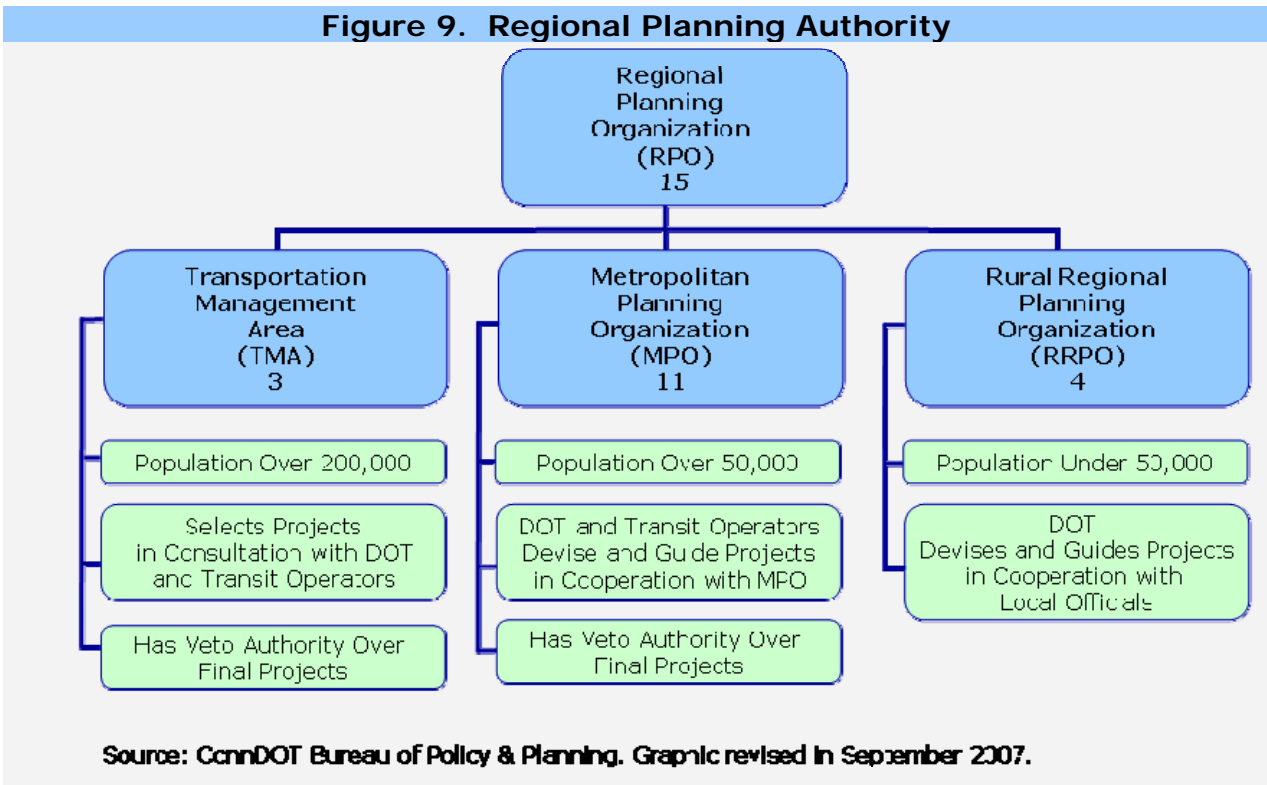


### Metropolitan Planning Organizations (MPOs)

The RPOs located in urbanized areas that have a population of more than 50,000 have been designated by the Governor to serve as Metropolitan Planning Organizations (MPOs). Eleven of Connecticut's RPOs are designated MPOs. As specified in the federal legislation, these MPOs have a specific role in conducting regional planning and programming activities. Federal laws and regulations mandate that the MPO, in cooperation with the state and with operators of publicly owned transit services, shall be responsible for carrying out the metropolitan transportation planning process. The MPO, the state, and transit operator(s) must cooperatively determine their mutual responsibilities in the conduct of the planning process, including corridor refinement studies. The MPO shall cooperatively develop the following transportation planning documents: the unified planning work program (UPWP), the regional long-range transportation plan (LRP) and the



transportation improvement program (TIP). An MPO has veto authority over projects in the MPO that are proposed for inclusion in the TIP. A state will have 30 days to reimburse an MPO for planning expenses after request from the MPO for reimbursement.



### Transportation Management Areas (TMAs)

A TMA is an area of one or more MPOs that has a population of over 200,000. Other distinctions between the planning entities have to do with which entity has more authority to develop and guide a project. Generally, TMAs have the ability to select, with ConnDOT's consent, projects funded under certain federal funding programs. TMAs select projects in consultation with DOT and transit operators. The funds under the STP-Urban are earmarked and must be spent in these regions. TMAs must plan and implement a Congestion Management Process (CMP) providing for effective management and operation to combat congestion. (After a TMA is identified, the phase-in schedule for compliance with the CMP may not be sooner than one year.) SAFETEA-LU requires that the CMP be a key element of regional long-range transportation plans, and should result in multimodal system performance measures and strategies. This is an indication that CMPs should be of greater emphasis to MPOs under SAFETEA-LU. The state DOT takes the lead in selecting National Highway System (NHS), Bridge and Interstate Maintenance Program projects. A TMA has veto authority over projects in the TMA that are proposed for inclusion in the STIP. Federal certification of TMAs must occur at least once every four years.

**e. Regional Planning Organization (RPO) Documents**

The transportation planning documents developed by RPOs are discussed below.

- **Unified Planning Work Program (UPWP).** In accordance with Title 23 CFR, Section 450.314 and Title 23 CFR, Section 420a, each MPO must complete a UPWP every state fiscal year. The UPWP is a statement of proposed work and estimated costs that document the activities to be undertaken with FHWA and FTA planning funds and state matching funds. The UPWP discusses the planning priorities of the metropolitan area and describes all metropolitan transportation and transportation-related air quality planning activities anticipated within the area during the fiscal year. It identifies the sources of funding, schedules, and responsible agencies. The updating of a regional LRP and preparation of a TIP are among the tasks that would be included in a region's UPWP. To comply with federal environmental justice requirements, all RPOs also include an environmental justice task in their UPWPs. The UPWP is developed by the RPO in coordination with ConnDOT, the FHWA, and the FTA. The MPOs submit this document to ConnDOT for review and approval. ConnDOT submits the State-approved UPWPs to the FHWA and the FTA.
- **Regional Long-Range Transportation Plans (LRPs).** Each of the state's eleven MPOs is required by Title 23 USC, Section 134 as amended by SAFETEA-LU and TEA-21, to prepare and submit to the FHWA and FTA a regional LRP that addresses the eight factors listed previously. These documents are developed with input from ConnDOT and the public. Some of the information the MPOs may consider includes the condition of roads and bridges as assessed by ConnDOT, congestion management reports, and other transportation planning studies generated by ConnDOT and the RPOs. In developing the LRPs, SAFETEA-LU requires that MPOs consult with State and local agencies responsible for land use management, natural resources, environmental protection, wildlife management, tribal government, conservation, and historic preservation. This should include a comparison of state and Tribal conservation plans or maps, and inventories of natural or historic resources (if available). In addition, MPOs, when developing LRPs, must provide citizens, affected public agencies, freight shippers, private providers of transportation, representatives of users of public transit, providers of freight transportation services, representatives of users of pedestrian walkways and bicycle transportation facilities, the disabled, and other interested parties with a reasonable opportunity to comment on the proposed plan. Such a comment period must last at least 30 days. LRPs must cover a period of at least 20 years, must list all major projects that will be undertaken with federal funds, must be fiscally constrained, and must be found to be in conformity with Connecticut's State Implementation Plan. SAFETEA-LU adds the requirements that regional LRPs must also refer to the goals and objectives outlined in the State-adopted Highway Safety

Strategic Plan, and include a textual discussion of the types of potential environmental mitigation activities and potential locations for these activities, to restore and maintain environmental functions that could be affected by the plan. In addition, the document must contain a discussion of strategies to improve the performance of existing facilities. These regional LRPs must be reviewed and updated at least every four years (five years in air quality attainment areas) to confirm their validity and consistency with current and forecasted transportation, land use conditions and trends, and to extend the forecast period. These plans must also be approved by the FHWA and FTA in order for the regions to proceed with the development of a Transportation Improvement Program. In the continuing, cooperative process established under ISTEA, ConnDOT considers each regional LRP in developing the statewide LRP. Projects from regional LRPs are selected for inclusion in ConnDOT's MTP.

- **Transportation Improvement Program (TIP).** Title 23 USC, Section 134(h), as amended by SAFETEA-LU and TEA-21, requires each Metropolitan Planning Organization (MPO) to develop a TIP. This document lists the transportation projects to be implemented in a metropolitan area in the short term (at least four years). It must include a priority list of all transportation projects and strategies proposed for federal funding and a financial plan that demonstrates how the TIP can be implemented, that identifies resources from public and private sources that can reasonably expect to be available to carry out the program, and that identifies innovative finance techniques to finance projects, programs and strategies. A TIP also includes descriptions of each project listed in the TIP. A TIP may include, for illustrative purposes, additional projects that would be included in an approved TIP if additional resources beyond those identified in the financial plan were available. Annual listings of projects must include investments in roadway, transit, pedestrian walkway, bicycle, and other transportation facilities. Additionally, a TIP must include descriptions of all regionally significant transportation projects, regardless of funding source, that affect air quality. TIPs of MPOs in non-attainment and maintenance areas are subject to FHWA and FTA conformity findings before their inclusion in the STIP.

A TIP must reflect the priorities established for programming and expenditures of funds. The first two years of the TIP must be fiscally constrained. This means that the first two years of the program can include only projects or identified phases of projects for which full funding can reasonably be anticipated to be available within the time period in which the project is anticipated to be completed. A TIP is developed by the MPO in cooperation with the state and public transit operators and approved by each MPO. It must specify the transportation projects that will be advanced over at least a four-year time frame, using federal funding. The documents must be updated every four years. The regional TIPs must be included in the STIP, without modification, following approval by the Governor. The federal government (FHWA and FTA) will

not fund a project unless it is in the STIP. A regional TIP must also be consistent with the regional long-range plan (LRP) for the metropolitan area.

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

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

### **Coordinated Public Transit Human Services Transportation Plans (Coordinated Plans).**

SAFETEA-LU requires that these plans be developed in order to receive funding under Sections 5310 (Elderly Individuals and Individuals with Disabilities), 5316(g) (Job Access and Reverse Commute), or 5317(f) (New Freedom). Only the State is eligible to receive Section 5310 funding. Any designated recipient may apply for funding under Sections 5316 and 5317. The Coordinated Plan must be developed before a designated recipient can apply for funds. The designated recipient is not necessarily the entity that creates the plan. In urban areas (UZAs) of less than 200,000 and non-urbanized areas, the State is required to develop the Coordinated Plan. SAFETEA-LU does not state who needs to take the lead in developing the plan in UZAs with a population over 200,000, however, this decision must be made with state, regional, and local input. These documents are locally-developed, coordinated transportation plans that identify the transportation needs of individuals with disabilities, older adults, and people with low incomes; propose strategies for meeting those local needs; and prioritize strategies for funding and implementation. The strategy may or may not be a transportation service. Coordinated Plans should incorporate activities offered under other programs sponsored by federal, state, and local agencies to greatly strengthen their impact. These plans include the following key elements:

- An assessment of transportation needs for individuals with disabilities, older adults, and individuals with limited income
- An inventory of available services, identification of areas of redundant service, and gaps in service
- Strategies to address gaps in service, to promote the more efficient utilization of resources, and to reduce duplication of services

■ Prioritization of implementation strategies

This planning process gathers information on who is providing what types of transportation to which target populations, when, and to where; and what types of funding are used. The information is used to determine where there are gaps in transportation. Gaps can be temporal, spatial, or client-based.

The following parties should participate in the development of Coordinated Public Transit Human Services Transportation Plans:

- Transportation planning agencies
- Transit riders and potential riders
- Public, private, and non-profit transportation providers
- Human services agencies funding or supporting access for transportation services
- Government agencies that administer other support programs for target populations
- Non-profit organizations that serve the target population
- Advocacy organizations working on behalf of the target population
- Security and emergency management agencies
- Other appropriate local or state officials
- Tribes
- Employers or other members of the business community
- Community-based organizations
- Economic development agencies
- Job training and placement agencies
- Elected officials

In general, the process for drafting Locally Coordinated Public Transit Human Services Transportation Plans should be consistent with the statewide and metropolitan transportation planning processes. The Coordinated Plan can be part of the regional LRP, or it can be adopted as a separate, stand-alone document. Projects from the plan must be incorporated into the regional LRP, TIP, and STIP. In areas with a population greater than 200,000, solicitation of projects for implementation from the Coordinated Plan must be done in cooperation with the MPO. The plan should follow the update cycles for regional LRPs.

## 2. STATE REQUIREMENTS

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

### a. Relevant State Legislation and Documents

State laws directly or indirectly mandate the preparation or consideration of various transportation planning-related documents. The Transportation Strategy Board's report and recommendations, the state's conservation and development policies plan (C & D Plan), Connecticut's Climate Change Action Plan, 2005 and the *Connecticut Clean Diesel Plan* (January 2006) are state policy documents that provide a guiding framework for setting the State's transportation planning priorities. Policy direction is also provided by *Public Act 07-239, An Act Concerning Responsible Growth*. Such priorities are reflected in more project specific transportation planning documents such as ConnDOT's master transportation plan (MTP) and ConnDOT's capital program. These documents and *Public Act 07-239* are discussed in this section.

### Transportation Strategy Board Report and Recommendations

*Public Act 01-5* made permanent the Connecticut Transportation Strategy Board (TSB) and directed it to develop a long-term strategy for the State of Connecticut. The act required the TSB to submit the strategy to the Connecticut General Assembly (CGA) for approval, and to update the strategy at least every two years, as necessary. The TSB submitted its Action Plan, *Transportation: A Strategic Investment*, to the Governor and to the CGA in January 2003. The strategic principles, which represent the foundation upon which the TSB's strategy is built, are outlined in Table 4. Pursuant to *Public Act 06-136* and Section 14(j), the TSB revised the strategy and submitted it to the Governor and to the CGA in January 2007. The TSB's strategy and recommendations are set forth in the report, *Moving Forward, Connecticut's Transportation Strategy, January 2007*. As required by *Public Act 06-136*, this report includes a prioritized list of projects which the TSB, in consultation with the commissioner of transportation, has determined are necessary to implement the strategy, including the estimated capital and operating costs and time frames of such projects. Pursuant to *Public Act 07-7* passed in October 2007, the TSB report must be issued every four years and include a completion schedule for all projects.

<b>Table 4. Strategic Transportation Principles Outlined by the Connecticut Transportation Strategy Board</b>	
<b>Overall Objective</b>	Strengthen and expand the state's transportation system over the next 20 years to enhance Connecticut's prospects for sustainable economic growth and a premier quality of life in a manner consistent with environmental standards; use evaluation techniques and metrics to support major capital investments and operating in the system; and ensure the proper integration of land use planning with transportation planning and investment decisions to support the intelligent management of the state's projected growth in population densities, commercial development, automobile usage, and freight shipments.
<b>Economic Strategy</b>	Ensure that the state's Transportation Investment Areas (TIAs) remain vibrant and competitive economic engines and attractive gateways to the state by leveraging existing transportation and other infrastructure assets, especially in urban centers, and by focusing appropriate resources on the mitigation and management of road congestion throughout the state with a focus in the near term on the Coastal Corridor.
<b>Movement of People Strategy</b>	Facilitate the movement of people in and through the state by expanding the quality and quantity of options to single-occupancy automobile trips (such as air, bicycle, bus, ferry, flex-time, rail, ridesharing, telecommuting); encouraging employer participation in demand management programs; enhancing the customer's transit experience; improving transit travel times through better integration of all transportation options; increasing capacity of roads through continued focus on information, safety, and incident management tools; and expanding targeted portions of certain roads.
<b>Movement of Goods Strategy</b>	Facilitate the movement of goods to and through the state by expanding and coordinating the State's air, rail, road and water infrastructure; improving the flow and safety of commercial truck traffic; and providing a broader range of competitive options to commercial trucks.
<b>Special Funding Strategy</b>	Implement a comprehensive and dedicated ten-year financing plan for the period from SFY2003-2004 through SFY2012-2013 to raise money exclusively to fund the recommended capital investments needed to implement the strategies.
<b>Ongoing Funding Strategy</b>	Ensure that the state's budget provides adequate and reliable financial support for its annual transportation capital and operating needs, including the amounts needed: (1) for its public transit system to respond in a timely and satisfactory way to evolving public need; and, (2) for greater flexibility in the transportation budget regarding the amount required to service outstanding debt.
Source: ConnDOT Bureau of Policy & Planning. Graphic developed in April 2005.	

## **Conservation and Development Policies Plan (C & D Plan)**

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

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

- The acquisition of real property when the acquisition costs are in excess of \$200,000;
- The development or improvement of real property when the development costs are in excess of \$200,000;
- The acquisition of public transportation equipment or facilities when the acquisition costs are in excess of \$200,000; and
- The authorization of any state grant for an amount in excess of \$200,000 for the acquisition, development, or improvement of real property or for the acquisition of public transportation equipment or facilities.

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

The *Conservation and Development Policies Plan for Connecticut, 2005-2010* comprises two separate, yet equally important, components—the Plan text and the Locational Guide Map. Both components include policies that guide the planning and decision-making processes of state government relative to: 1) addressing human resource needs and development; 2) balancing economic growth with environmental protection and resource conservation concerns; and 3) coordinating the functional planning activities of state agencies so as to accomplish long-term effectiveness and economies in the expenditure of public funds.

The policies contained in the C & D Plan text provide the context and direction for state agencies to implement their plans and actions in a manner consistent with the six Growth Management Principles listed in Table 5.

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



<b>Table 5. Growth Management Principles in Conservation &amp; Development Policies Plan</b>	
<b>1</b>	Redevelop and revitalize regional centers and areas with existing or currently planned physical infrastructure
<b>2</b>	Expand housing opportunities and design choices to accommodate a variety of household types and needs
<b>3</b>	Concentrate development around transportation nodes and along major transportation corridors to support the viability of transportation options
<b>4</b>	Conserve and restore the natural environment, cultural and historical resources, and traditional rural lands
<b>5</b>	Protect and ensure the integrity of environmental assets critical to public health and safety
<b>6</b>	Promote integrated planning across all levels of government to address issues on a statewide, regional and local basis
Source: Office of Policy & Management, Conservation and Development Policies Plan for Connecticut, 2005-2010.	

<b>Table 6. Development Area Policies (In order of priority)</b>	
<b>1</b>	<b>Regional Centers</b> —Redevelop and revitalize the economic, social, and physical environment of the state’s traditional centers of industry and commerce.
<b>2</b>	<b>Neighborhood Conservation Areas</b> —Promote infill development in areas that are at least 80% built up and have existing water, sewer, and transportation infrastructure to support such development.
<b>3</b>	<b>Growth Areas</b> —Support staged urban-scale expansion in areas suitable for long-term economic growth that are currently less than 80% built up, but have existing or planned infrastructure to support future growth in the region.
<b>4</b>	<b>Rural Community Centers</b> —Promote concentration of mixed-use development such as municipal facilities, employment, shopping, and residential uses within a village center setting.
Source: Office of Policy & Management, Conservation and Development Policies Plan for Connecticut, 2005-2010.	

<b>Table 7. Conservation Area Policies (In order of priority)</b>	
<b>1</b>	<b>Existing Preserved Open Space</b> —Support the permanent protection of public and quasi-public land dedicated for open space purposes.
<b>2</b>	<b>Preservation Areas</b> —Protect significant resource, heritage, recreation, and hazard-prone areas by avoiding structural development, except as directly consistent with the preservation value.
<b>3</b>	<b>Conservation Areas</b> —Plan for the long-term management of lands that contribute to the state’s need for food, water and other resources and environmental quality by ensuring that any changes in use are compatible with the identified conservation value.
<b>4</b>	<b>Rural Lands</b> —Protect the rural character of these areas by avoiding development forms and intensities that exceed on-site carrying capacity for water supply and sewage disposal, except where necessary to resolve localized public health concerns.
Source: Office of Policy & Management, Conservation and Development Policies Plan for Connecticut, 2005-2010.	

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

The C & D Plan and the Locational Guide Map are available on the Office of Policy and Management's web site at [www.opm.state.ct.us](http://www.opm.state.ct.us).

### **Connecticut Climate Change Action Plan 2005**

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*Connecticut Climate Change Action Plan 2005* was prepared by the Governor's Steering Committee (GSC) on Climate Change in accordance with *Public Act 04-252*. It is a multi-sector, comprehensive climate change action plan that includes policies and programs needed to reach the state's 2010 and 2020 emissions goals. This plan is a key component of the state's efforts to reduce greenhouse gas (GHG) emissions and achieve regional goals set by the New England Governor's/Eastern Canadian Premiers (NEG/ECP).

The vision of the Climate Change Action Plan is to reduce GHG emissions to a level that stabilizes the earth's climate and eliminates the negative impact of climate change. The plan outlines important short-term and mid-term goals for measuring progress toward the long-term objective based on environmental needs (not feasibility). The plan also specifies nine action items the states and Canadian providences should undertake. Additional information on this plan and recommendations pertaining to the transportation and land use sector are included in Appendix E. Climate Change Action Plan 2005: Recommendations and Progress.

Starting in 2005 and continuing every five years thereafter, progress in achieving the goals will be evaluated. The goals will be adjusted, if necessary, and future emission goals may be established.

*Public Act 04-252* requires the GSC, by January 1, 2008, to develop an amended climate change plan for achieving the state's contribution towards achieving the long-term regional goal.

### **Connecticut Clean Diesel Plan (January 2006)**

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This plan was prepared by the Connecticut Department of Environmental Protection pursuant to *Special Act 05-7* and submitted to the Connecticut General Assembly in accordance with the provisions of CGS Section 11-4a. It presents a Connecticut diesel emission reduction strategy that recommends programs, policies and legislation for achieving reductions of diesel particulate matter consistent with reduction targets for diesel particulate matter indicated in the Connecticut Climate Change Action Plan 2005. *Special Act 05-7* requires the strategy to include the following:

(1) A description of the sources of diesel particulate matter emissions in the state and recommendations for maximizing diesel particulate matter emission reductions from identified sources;

(2) An implementation strategy, and an estimate regarding the cost and benefits to the state or municipalities of implementing such strategy, to reduce, not later than December 31, 2010, the level of diesel particulate matter emissions from motor buses, as defined in section 14-1 of the general statutes, that are publicly owned and funded, have an engine model year of 2006 or older, and are not less than twenty-nine feet in length, by (A) retrofitting the engines of such motor buses with diesel particulate filters in order to achieve a reduction of diesel particulate matter by not less than eighty-five per cent, or (B) using alternative fuels or alternative engine technology in order to achieve a reduction of diesel particulate matter by not less than eighty-five per cent;

(3) An implementation strategy, and an estimate regarding the cost and benefits to the state or municipalities of implementing such strategy, to maximize, not later than December 31, 2010, diesel particulate matter emission reductions from school buses and to prevent by said date diesel particulate matter engine emissions from entering the passenger cabin of the buses;

(4) An implementation strategy, to be phased in not later than July 1, 2006, on projects valued at more than five million dollars, to maximize particulate matter emissions reductions from construction equipment servicing state construction projects, and an estimate regarding the cost and benefits to the state or municipalities of implementing such strategy;

(5) Recommendations for technical assistance resources to be developed by the commissioner to support the implementation of diesel particulate matter reduction strategies by municipalities and other diesel fleet owners and operators;

(6) A strategy for securing and leveraging federal funds and funds from other sources to defray the costs of meeting the goals set forth in subdivisions (1) to (5), inclusive, of this subsection; and

(7) Recommendations for programs and policies to raise awareness about the health risks and climate impacts associated with diesel particulate matter pollution and the solutions available for reducing emissions of diesel particulate matter.

This plan has relevance to the acquisition and/or retrofitting of transit vehicles, to the emissions control requirements to be attached to transportation construction projects, and potentially to design truck rest areas and service plazas as relates to providing electrical connections which eliminate the need for trucks to idle at such facilities.

### **The Governor's Energy Plan**

In September 2006 Governor M. Jodi Rell unveiled a comprehensive energy plan for the State of Connecticut. This plan, titled *CT's Energy Vision for a Cleaner, Greener State*, outlines a vision for reducing consumption and sets out a number of comprehensive action steps in the areas of cost reduction for

consumers, the state leading by example, energy efficiency, alternative energy advancement and state coordination. The energy vision outlined in the plan is as follows:

- ♦ By 2020, 20% of all energy used and sold in the State of Connecticut will come from clean or renewable resources.
- ♦ By 2020, the state will achieve a 20% reduction in electric-peak consumption.
- ♦ By 2020, state fossil fuel consumption will be reduced by 20% and all commercial transportation fuels sold in the state will be required to include a mixture of 20% alternative fuels.
- ♦ By 2020, all residential and commercial heating oil used in this state will contain a mandatory mix of 20% alternative fuels.

This document is available on the State of Connecticut's web site.

***Public Act 07-239. An Act Concerning Responsible Growth***

*Public Act 07-239* establishes an incentive grant program to encourage the provision of municipal services on a regional basis. It requires the Office of Policy and Management (OPM) secretary to review, within available appropriations, (1) regional tax-based revenue sharing programs and (2) the establishment of regional asset districts.

The act establishes a Responsible Growth Task Force and specifies its membership. It requires the task force to (1) identify responsible growth criteria and standards to guide the state's future investment decisions and (2) study transfer of development rights laws, policies, and programs. The task force must report its recommendations to the governor by February 15, 2008. It will terminate on the day it submits the report.

The act raises the threshold of capital projects undertaken by state agencies that must be consistent with the State Plan of Conservation and Development. It imposes sanctions on municipalities that fail to amend their local plans of conservation and development every 10 years, as required by law.

The act requires the commissioner of Economic and Community Development (DECD) to prepare a state economic development strategic plan by July 1, 2009, and every five years thereafter. The commissioner must do this within available appropriations.

By law, Regional Planning Agencies (RPAs) must prepare regional plans of development every 10 years. The act requires that these plans include a finding as to whether they are consistent with the state economic development strategic plan.

The act explicitly makes transportation one of the issues that regional councils of governments must address.

The effective date of this act is July 1, 2007, except the task force and economic development plan provisions are effective upon passage and the sanctions for failing to amend local plans of conservation and development are effective July 1, 2010.

A copy of this act is included as Appendix C of this document.

### **Economic Strategic Plan for Connecticut**

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Section 4 of *Public Act 07-239* requires the Commissioner of Economic and Community Development, within available appropriations, to prepare an economic strategic plan for the state. This plan must be prepared in consultation with the Secretary of the Office of Policy and Management, the Commissioners of Environmental Protection and Transportation, the Labor Commissioner, the executive directors of the Connecticut Housing Finance Authority, the Connecticut Development Authority, the Connecticut Innovations, Inc., the Commission on Culture and Tourism and the Connecticut Health and Educational Facilities Authority, and the president of the Office of Workforce Competitiveness, or their respective designees, and any other agencies the Commissioner of Economic and Community Development deems appropriate. This plan must be submitted to Governor by July 1, 2009, and every five years thereafter. Upon approval of the plan, the Commissioner of DECD must submit the plan to specified committees of the Connecticut General Assembly. A copy of Section 4 of *Public Act 07-239*, which specifies the contents of and process for developing this strategic plan, is included as Appendix C.

### **Master Transportation Plan (MTP)**

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

### **ConnDOT's Capital Program**

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ConnDOT prepares a capital program as part of the normal state budget process involving the Governor and the General Assembly. ConnDOT's capital budget requests describe ConnDOT's capital plans for the next two-year

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

### **Environmental Documents**

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

### **b. Participants in the Process**

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

#### **Connecticut Transportation Strategy Board (TSB)**

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*Public Act 01-5, An Act Implementing the Recommendations of the Transportation Strategy Board*, passed during the Connecticut General Assembly's June 2001 Special Session, created a 15-member, permanent Connecticut Transportation Strategy Board (TSB) composed of five state commissioners (ConnDOT, Department of Environmental Protection, Department of Economic and Community Development, Department of Public Health, and the Office of Policy and Management) five business leaders and five geographical representatives (appointees of the Governor and legislative leaders).

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

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

*Public Act 06-136, An Act Concerning a Roadmap for Connecticut's Economic Future*, required the TSB to review, and if necessary, revise the state

transportation strategy by January 1, 2007, and every two years thereafter. The TSB must submit a report to the governor and General Assembly describing any revisions and the reasons for them. The TSB must also include a prioritized list of projects that they, in consultation with ConnDOT, determine are necessary to implement the recommended strategy, as well as the estimated capital and operating costs and time frames to more accurately reflect actual implementation and long-term planning as currently practiced by ConnDOT and the regional councils of governments. In addition, the act requires the TSB to take into account the need to reduce congestion by encouraging greenway initiatives, Safe Routes to School (SRTS) programs, and rideshare programs when developing or revising their strategy. The most recent update to the strategy was submitted in January 2007 in *Moving Forward: Connecticut's Transportation Strategy*.

*Public Act 07-7* amends the CGS to require the TSB to revise the state transportation strategy every four years, rather than every two years, and to include in its report to the governor a complete schedule for all projects.

### **Bradley Board of Directors**

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

### **Bradley International Community Advisory Board**

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

The community advisory board has two core purposes:

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

## **Office of Policy and Management (OPM)**

*Public Act 06-136* requires the Office of Policy and Management (OPM) secretary to (1) consult with the transportation, economic and community development, and environmental protection commissioners to ensure the coordination of state and regional transportation planning with other state planning efforts, including economic development and housing plans; (2) coordinate interagency policy and initiatives concerning transportation; (3) evaluate transportation initiatives and proposed expenditures in consultation with the transportation commissioner; and (4) coordinate staff and consultant services for the TSB. The OPM secretary, after consulting with the ConnDOT commissioner and the TSB, must submit an annual report to the governor and General Assembly on the implementation status of projects funded under this act or *Public Act 05-4* of the June special session. The report must include the financial status of each project, project schedules, and anticipated completion dates, an explanation of any obstacles to completing the projects, and any planned revisions to them. The first annual report was mandated to be submitted by OPM by December 1, 2007. The Transportation, Planning and Development, and Finance, Revenue and Bonding committees must meet during December each year with the ConnDOT and Department of Economic and Community Development (DECD) commissioners, the OPM secretary, and any others they deem appropriate to consider the project implementation status report. The OPM secretary must report to the Planning and Development Committee by January 1, 2008, regarding the development of a pilot regional "build-out" analysis and make recommendations with respect to the potential cost, schedule, methodology, and plans for doing a statewide build-out analysis.

*Executive Order 15*, issued by the Governor in October 2006, establishes an Office of Responsible Growth within the Office of Policy and Management and instructs the OPM Secretary to designate a member of his staff to serve as the State Responsible Growth Coordinator. The Office of Responsible Growth is charged with the following responsibilities:

- Chairing an Interagency Steering Council, consisting of the Commissioners of the Departments of Transportation, Economic and Community Development, Environmental Protection, Agriculture, and Public Health, as well as the Executive Directors of the Connecticut Housing Finance Authority and the Connecticut Development Authority, to coordinate policy development and capital planning in an effort to efficiently utilize state expertise and financial resources.
- Creating Regional Roundtables that will invite the ongoing participation of city and town officials and foster the development of planning agendas tailored to the specific needs of different parts of the state, starting with new transit corridors.
- Developing support and incentives for communities to engage in regional planning, to update zoning maps and ordinances, and to build the capacity of municipal staff, boards, and agencies to make complex land



use decisions. This effort will include the establishment of a new municipal training program that will be created in conjunction with regional planning organizations, the Connecticut Land Use Academy and resources that already exist at the state's colleges and universities.

- Updating the "Green Plan" for Connecticut by June 2007 to better identify sensitive ecological areas and unique features, guide acquisition and preservation efforts, support local build-out maps and assessments, and make these and other maps accessible to state agencies, regional planning agencies, local communities, and nongovernmental organizations through geographic information systems (GIS)
- Reviewing transportation policies and projects to increase opportunities to promote mass transit and roadway design that support state and local economic development while preserving and enhancing the character, as well as the "walkability," of communities.
- Expanding housing opportunities to meet the needs of all Connecticut residents and support an expanding workforce with housing that provides ready access to passenger rail and bus service.
- Reviewing all State funding that has an impact on the growth and development of Connecticut and establishing criteria that will target funds for uses that are consistent with goals that emerge for responsible growth.
- Targeting economic incentives to support development in designated responsible growth areas.
- Creating a new "Green and Growing" webpage to highlight best practices and develop a virtual toolbox and roadmap to promote responsible growth region by region and community by community.

### **Responsible Growth Task Force**

Section 1 of *Public Act 07-239* establishes a Responsible Growth Task Force. The task force shall be comprised of the following members: (1) The Commissioners of Agriculture, Economic and Community Development, Environmental Protection, Public Health and Transportation and the executive directors of the Connecticut Housing Finance Authority, Connecticut Development Authority, Connecticut Innovations, Inc. and Commission on Culture and Tourism and the president of the Office of Workforce Competitiveness, or their respective designees, (2) one member appointed by the Governor who is a current or former chief elected official or city or town manager from a municipality with a population in excess of twenty-five thousand on the date of appointment, (3) one member appointed by the Governor who is a current or former chief elected official or city or town manager from a municipality with a population of less than twenty-five thousand on the date of appointment, and (4) six members appointed as follows: One each by the speaker of the House of Representatives, the president pro tempore of the Senate, the majority leader of the Senate, the

majority leader of the House of Representatives, the minority leader of the Senate and the minority leader of the House of Representatives. The Secretary of the Office of Policy and Management, or the secretary's designee, shall be a member and the chairperson of the task force.

The task force shall identify responsible growth criteria to help guide the state's future investment decisions, study land use laws, policies and programs, including laws, policies and programs concerning the transfer of development rights.

Not later than February 15, 2008, the task force shall submit a report containing its recommendations to the Governor. The task force shall terminate on the date that it submits such report or February 15, 2008, whichever is earlier.

### **Connecticut Geospatial Council**

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Section 84 of *Public Act 05-3* established a Geospatial Information Systems Council to coordinate a uniform geospatial information system capacity for municipalities, regional planning agencies, the state and others, as needed. The purpose of the system is to provide guidance or assistance to municipal and state officials in the areas of land use planning, transportation, economic development, environmental, cultural and natural resources management, the delivery of public services and other areas, as necessary. Such system capacity must include provisions for (1) creation, maintenance and dissemination of geographic information or imagery that may be used to (A) precisely identify certain locations or areas, or (B) create maps or information profiles in graphic or electronic form about particular locations or areas, and (2) promotion of a forum in which geospatial information may be centralized and distributed. In establishing such capacity, the council must consult with municipalities, regional planning agencies, state agencies and other users of geospatial information system technology.

The council consists of the following members, or their designees: (1) The Secretary of the Office of Policy and Management; (2) the Commissioners of Environmental Protection, Economic and Community Development, Transportation, Public Safety, Public Health, Public Works, Agriculture, Emergency Management and Homeland Security and Social Services; (3) the Chief Information Officer of the Department of Information Technology; (4) the Chancellor of the Connecticut State University system; (5) the president of The University of Connecticut; (6) the Executive Director of the Connecticut Siting Council; (7) one member who is a user of geospatial information systems appointed by the president pro tempore of the Senate representing a municipality with a population of more than sixty thousand; (8) one member who is a user of geospatial information systems appointed by the minority leader of the Senate representing a regional planning agency; (9) one member who is a user of geospatial information systems appointed by the Governor representing a municipality with a population of less than sixty thousand but more than thirty thousand; (10) one member

who is a user of geospatial information systems appointed by the speaker of the House of Representatives representing a municipality with a population of less than thirty thousand; (11) one member appointed by the minority leader of the House of Representatives who is a user of geospatial information systems; (12) the chairperson of the Public Utility Control Authority; (13) the Adjutant General of the Military Department; and (14) any other persons the council deems necessary appointed by the council.

*Public Act 05-3* directs the council, within available appropriations, to administer a program of technical assistance to municipalities and regional planning agencies to develop geospatial information systems and to periodically recommend improvements to the geospatial information system.

On or before January 1, 2006, and annually thereafter, the council must submit annually, by January 1, to the joint standing committee of the General Assembly having cognizance of matters relating to planning and development, a report on its activities.

### **Connecticut Department of Economic and Community Development (DECD)**

Section 4 of *Public Act 07-239, An Act Concerning Responsible Growth*, requires the Commissioner of DECD, within available appropriations, to prepare an economic strategic plan for the state. This plan must be submitted to Governor by July 1, 2009, and every five years thereafter. Refer to "Economic Strategic Plan" in Section B2a and Appendix C of this document for additional information about this plan.

### **Connecticut Department of Public Works (DPW)**

Section 1 of *Public Act 07-70* requires the Commissioner of DPW to consider the proximity of state facilities to railroads or motor bus routes when leasing, purchasing or contracting for the purchase of a state facility. The Commissioner must also consult with the Department of Transportation, transit districts or regional planning agencies on the current and future status of railroad and motor bus routes prior to leasing, purchasing or contracting for the purchase of a state facility. As used in this section, "state facility" means buildings and real property owned or leased by the state.

### **Statewide Incident Management Task Force**

In 2004, a permanent Statewide Incident Management Task Force (SIMTF) was created by the Connecticut Transportation Strategy Board (TSB) to provide an ongoing forum to promote the implementation of incident management policies, programs and projects. This task force comprises fire chiefs, police chiefs, State Police, the ConnDOT, representatives of towing and recovery services, Emergency Medical Services (EMS), the Connecticut Department of Environmental Protection, and members of regional incident management committees. It has provided a forum to overcome institutional issues and to develop coordinated policies and procedures for managing incidents and highway closures. As of April 2007, eleven of the panel's

recommendations had been implemented or fully considered. With funds provided by ConnDOT and FHWA, the task force is in the process of developing a Unified Response Manual designed as a standard to be adopted by all agencies responding to an incident.

### **Connecticut Public Transportation Commission**

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

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

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

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

### **Connecticut Rail Commuter Council**

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Section 13b-212b of the *Connecticut General Statutes* established the Metro North New Haven Rail Commuter Council, presently referred to as the Connecticut Rail Commuter Council. As defined in CGS 13b-212c, the duties of the council are to study and investigate all aspects of the daily operation of the New Haven commuter railroad line, monitor its performance and recommend changes to improve the efficiency and the quality of service of

the operation of such line. The council consists of 15 members, all of whom are commuters who regularly use the transportation services of:

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

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

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

The council is required to meet at least once during each calendar quarter but typically meets monthly except during the summer. In addition to advising the legislature regarding commuter issues, the council acts as a liaison between transit system users, ConnDOT, Metro-North, and Shore Line East railroads. The council must report its findings and recommendations annually by January 15, to the Governor, the Commissioner of Transportation, the Connecticut Public Transportation Commission, the General Assembly, the Metro North Rail Commuter Council located in New York and the management advisory board of the office of the inspector general of the Metropolitan Transportation Authority located in New York.

### **Connecticut Maritime Commission**

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

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

- conduct studies and present recommendations concerning maritime issues;
- support the development of Connecticut's ports, including identifying new opportunities for the ports, analyzing the potential for and encouraging private investment in the ports, and recommending policies which support port operations.

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

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

### **Route 11 Greenway Authority Commission**

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The Route 11 Greenway Authority Commission consists of eight members whose purpose is to develop and plan the design, construction, maintenance, and management of the Route 11 Greenway and intermodal transportation access system. The membership of the commission includes the Commissioners of the ConnDEP and ConnDOT, a permanent and alternate member from the towns of East Lyme, Montville, Salem, and Waterford; appointed by the first selectman of said towns, and a permanent and alternate member representing the Southeastern Connecticut Council of Governments.

Specifically, the commission is charged with identifying, prioritizing, and acquiring lands that will help facilitate completion of the greenway, as well as, recommend land uses in the effected area. The commission is established as an autonomous body within ConnDOT for administrative purposes only and has the authority to expend appropriated and received funds to employ outside experts as it sees necessary. The commission is responsible for reporting annually to the General Assembly on its activities and finances for the preceding year. Such a report shall be issued on or before February 15.

On September 22, 2005, the Commission adopted a *Route 11 Greenway Development Plan* which can be viewed at <http://www.seccog.org/documents.htm>.

### **Child Poverty and Prevention Council**

ConnDOT is a member of the Child Poverty and Prevention Council which was established by Section 4-67x of the *Connecticut General Statutes* to (1) develop and promote the implementation of a ten-year plan, beginning June 8, 2004, to reduce the number of children living in poverty in the state by 50 percent, and (2) within available appropriations, establish prevention goals and recommendations and measure prevention service outcomes in order to promote the health and well-being of children and families.

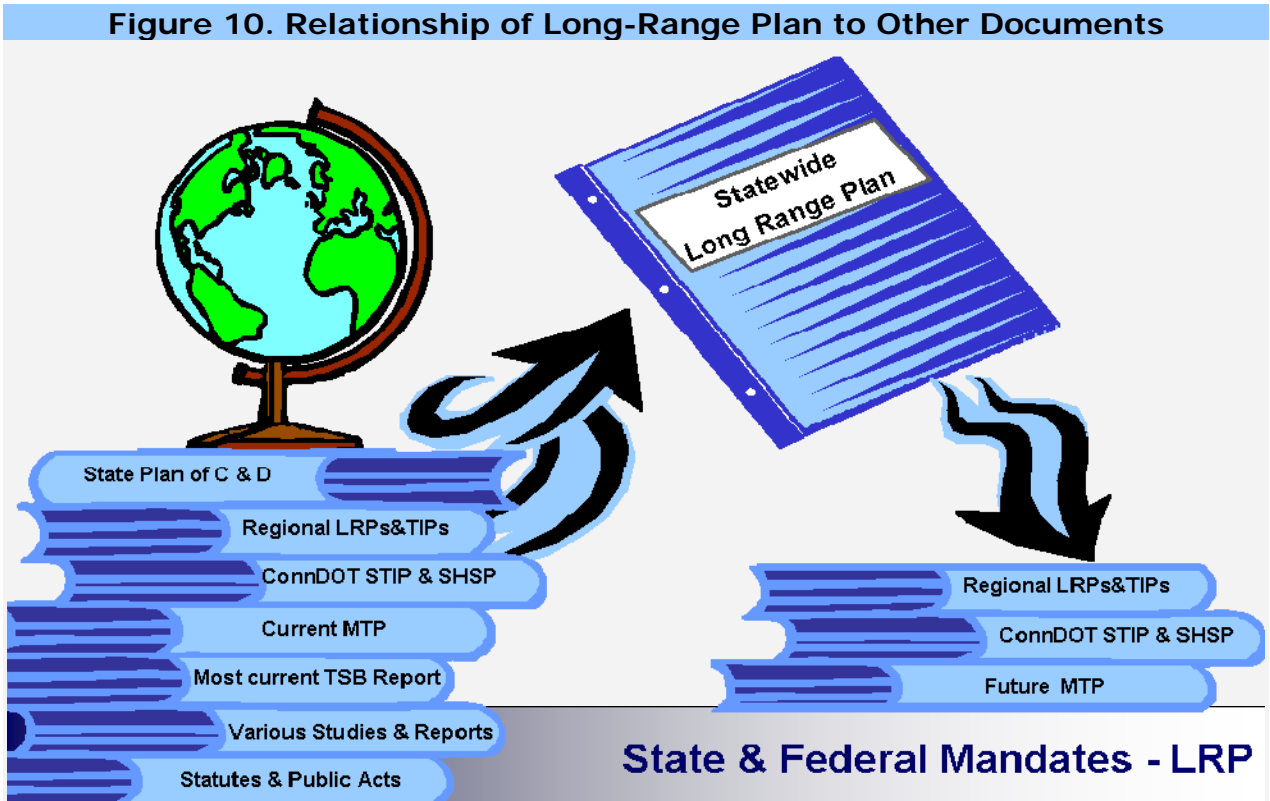
The council must report to the Connecticut General Assembly (CGA) by January 1, until January 1, 2015, on the progress made toward meeting these goals and the extent to which state actions are in conformity with the plan. By January 1, 2007, the council was required to report to the Governor and specified CGA committees on the state's progress in prioritizing expenditures in budgeted state agencies with membership on the council in order to fund prevention services. The *State of Connecticut Agency Prevention Report: A Report to the Child Poverty and Prevention Council* was published in November 2006.

The council consists of the following members or their designees: The Secretary of the Office of Policy and Management (OPM) the president pro tempore of the Senate, the speaker of the House of Representatives, the minority leader of the Senate and the minority leader of the House of Representatives, the Commissioners of Children and Families, Social Services, Correction, Mental Retardation, Mental Health and Addiction Services, Transportation, Public Health, Education, Economic and Community Development and Health Care Access, the Labor Commissioner, the Chief Court Administrator, the Chairman of the Board of Governors for Higher Education, the Child Advocate, the chairperson of the Children's Trust Fund and the executive directors of the Commission on Children and the Commission on Human Rights and Opportunities. The Secretary of OPM, or the secretary's designee, is designated to be the chairperson of the council. The council shall terminate on June 30, 2015.

## **3. RELATIONSHIPS OF THE PLANNING PRODUCTS**

In Connecticut, transportation planning results in at least four major overlapping documents that are created in response to various federal and state mandates. Figure 11 and Figure 12 illustrate this dynamic process from long-term planning to project development. The figure depicts the interaction between federal guidelines mandating regional input, state requirements for a long-term plan, the contribution of the state budget process, and the short-term implementation plan requiring federal approval.

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



Projects listed in regional LRPs are not necessarily guaranteed to be included in TIPs. As mandated by SAFETEA-LU, ConnDOT and the RPOs must also refer to the goals and objectives identified in the State's strategic highway safety plan (SHSP) when developing and updating their LRPs. This relationship is illustrated in Figure 7. Relationship of SHSP and HSP to Other Planning Documents in Section B-1-c of this document and in Figure 10. Relationship of Long-Range Plan to Other Documents.

Projects can be proposed by any number of entities, including the state, a region, a municipality, or a designated Federal Transit Administration recipient. Private sector entities may also propose projects to a municipality or region for state and/or federal funding. These projects follow the same path as those proposed by public sector entities. Regardless of the entity that proposes a project for state and/or federal funding, ConnDOT is ultimately the initiation authority for such projects.

There are two general approaches to how the process begins:

- A need or deficiency is identified, studied, and a project is developed; or



- New projects are solicited for specific funding programs. This approach is evident in certain STP programs (the Urban Program and the Enhancement Program), the Local Road Accident Reduction Program, and the Local Bridge Program.

Needs are identified in a number of ways and with varying degrees of involvement by the planning regions. Depending on the funding source, the type of funding, and the location and size of a project, any number of entities within and outside the Department can be involved. For example, federal funding for streetscape enhancements, facilities for bicyclists, etc. may be available under the federal Transportation Enhancement Program and roadway resurfacing needs may be addressed using federal Urban Program funds. With respect to the location and size of a project, Section 14-311 of the *Connecticut General Statutes* requires that developments of at least 100,000 square feet in size and/or that will have more than 200 parking spaces be reviewed by the State Traffic Commission for traffic impacts. Further, any work on State roadways that is not part of a State construction project requires an Encroachment Permit from the Special Services Office in the ConnDOT district in which the project would be undertaken. However, at some point in each of the processes, the RPOs must be involved because an RPO's approval is required for the federal government to grant authorization to spend federal transportation money in the region. In some cases, ConnDOT periodically solicits projects for federal programs through RPOs and the regions, in turn, solicit projects from municipalities.

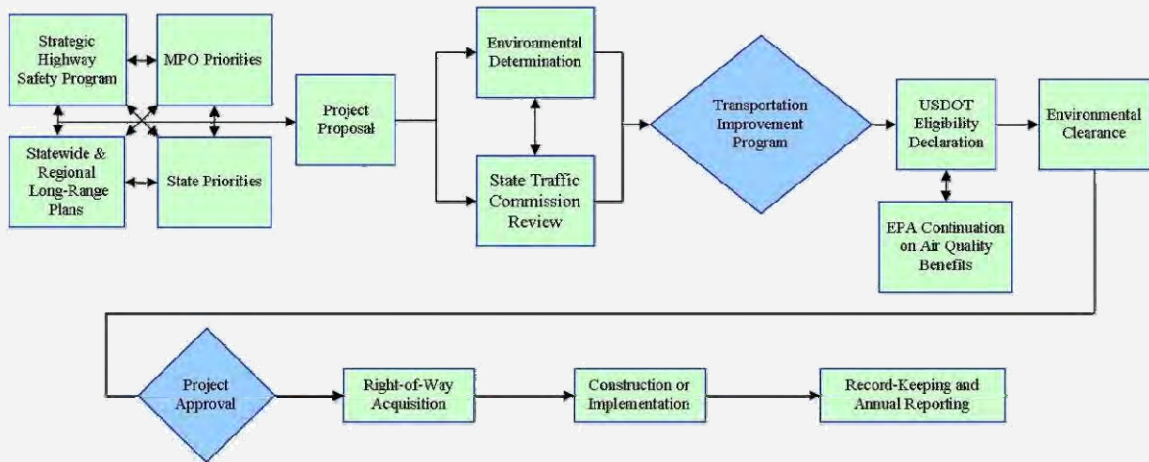
Because the federal government requires that all plans be fiscally constrained—meaning planning must be based on an estimate of the funding that can reasonably be expected—ConnDOT provides to the planning regions an estimate of anticipated funds. This estimate is used by the RPOs to develop their 20-year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

RPOs must also be involved in the process when a project to be funded with State funds is proposed. The RPOs generally set priorities for all of the suggested projects for their regions and submit their highest priorities to ConnDOT for consideration for funding. Projects for which State funding is used must be in compliance with the State Conservation and Development Policies Plan (C & D Plan). Public investment communities, designated distressed municipalities, and towns that are classified as “regional centers” in the current C & D Plan automatically qualify for Urban Action funds. Further, towns can receive Urban Action funds for a project that meets statutory criteria. Such criteria include revitalizing an urban area’s economic base, revitalizing urban neighborhoods, protecting or increasing jobs for inner city residents, or revitalizing the quality of urban life.

Each region, in cooperation with ConnDOT and public transit operators, develops a TIP reflecting the priorities for programming and expenditures of funds. Each TIP must be developed in accordance with the federally mandated content and public outreach requirements discussed in Sections B-1-b and C-1 of this document, and submitted first to the MPO’s policy board

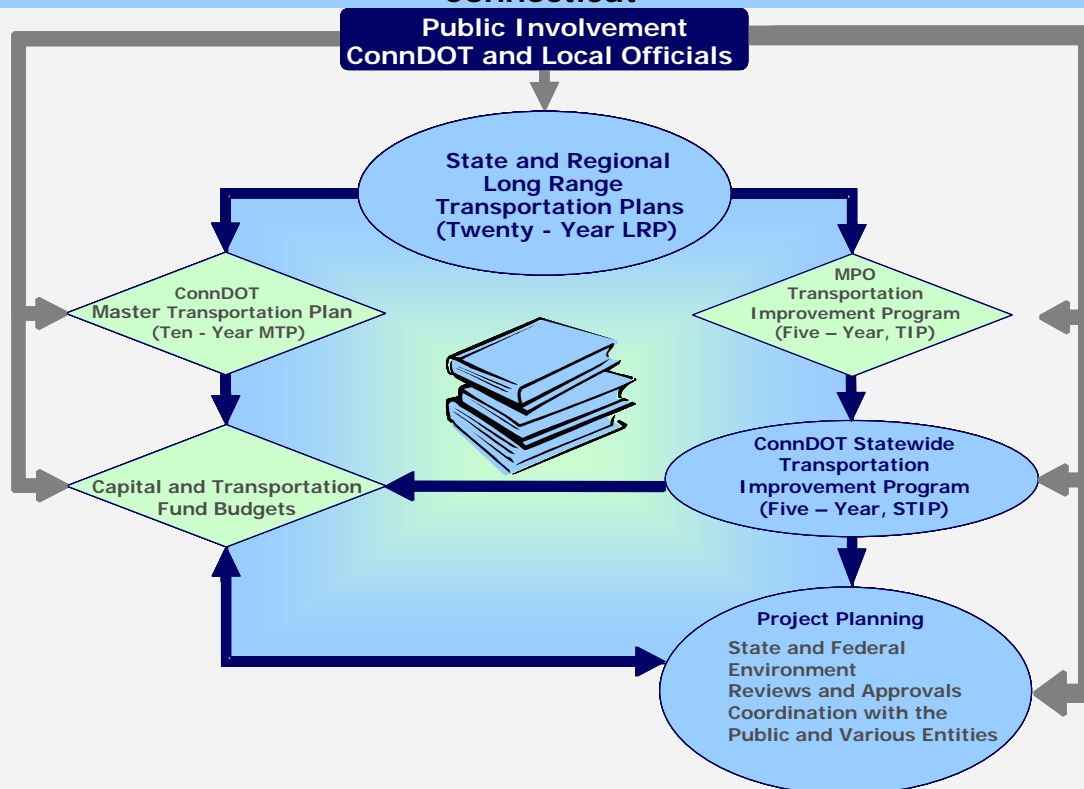
for approval and then to the Governor for approval. After an MPO's TIP is approved by the Governor, the projects in the approved TIP are incorporated into the STIP. The planning process then advances to the development of the STIP, which is discussed in Section B-1 of this document and illustrated in Figure 2. The specific steps taken to develop a STIP are outlined in Appendix B. Projects in the State's approved STIP are included in the Project Appendix of the ConnDOT's master transportation plan which is discussed in Section B2a of this document.

**Figure 11. Typical Project Development Process**



Source: ConnDOT Bureau of Policy and Planning. Graphic revised as of May 2007

**Figure 12. Transportation Planning and Programming Process in Connecticut**



Source: ConnDOT Bureau of Policy & Planning. Graphic revised as of October 2007.

## 4. SAFETEA-LU PROGRAMS

SAFETEA-LU adds several new programs which relate to the planning process. They are discussed below:

### **Congestion Mitigation and Air Quality Improvement Program (CMAQ)**

This program's objective is to provide funding for projects and programs in air quality non-attainment and maintenance areas for ozone, carbon monoxide, and particulate matter, which reduce transportation-related emissions. States and MPOs must give priority to projects involving diesel retrofits and other cost-effective emission reduction activities, and cost-effective congestion mitigation activities that provide air quality benefits. The Department prepares an annual Congestion Mitigation Air Quality Report (discussed in Section B1c) that provides information on CMAQ projects that are obligated in the year being reported on. This information includes descriptions, federal dollar amounts, and emissions reduction on each project.

### **New Freedom Initiative (NF)**

This program, found in SAFETEA-LU Section 3019 and 49 USC Section 5317, offers funding to go beyond the basic mandates of the Americans with Disabilities Act (ADA). Funding may be used for projects which provide new public transportation services and alternatives for disabled persons commuting to and from jobs, and employment support services.

### **New Starts**

This program is the federal government's primary financial resource for supporting locally planned, implemented, and operated major transit capital investments. The New Starts program funds new and extensions to existing fixed guideway transit systems in every area of the country. These projects include commuter rail, light rail, heavy rail, bus rapid transit, streetcars, and ferries. As required by SAFETEA-LU, which amends 49 USC Section 5309(d)(5)(B), the FTA assigns ratings of "high," "medium-high," "medium," "medium-low," or "low" throughout the development process for each project. The criteria for application and selection of New Starts projects are alternatives analysis, justification of project, local financial commitment, economic development potential, and reliability of ridership and cost forecasts.

### **Safe Routes to School Program (SRTS)**

This initiative, established by SAFETEA-LU Section(s) 1101(a)(17) and 1404, was launched to encourage children, including those with disabilities, to walk and bicycle to school; to make walking and bicycling to school safe and more appealing; and to facilitate the planning, development, and implementation of projects that will improve safety and reduce traffic, fuel consumption, and air pollution in the vicinity of schools. The program makes available \$612

million in federal funds over five fiscal years. Each State will receive a portion of the funds based on its percentage of the national total of school-aged children in grades K – 8, but not less than \$1 million each year. Funds may be used for infrastructure-related projects, including the planning, design, and construction of projects that will substantially improve the ability of students to walk and bike to school. These include sidewalk improvements, traffic calming and speed reduction improvements, pedestrian and bicycle crossing improvements, on-street bicycle facilities, secure bike parking, and traffic diversion improvements in the vicinity (within approximately two miles) of schools. Such projects may be carried out on any public road or any bicycle or pedestrian pathway or trail in the vicinity of schools. As part of the application process, eligible schools are required to have a pre-existing documented SRTS plan. The project selection process will be driven by the following elements referred to as the *Five Es*, in the SRTS plan:

- *Engineering.* Identifying operational and physical improvements to the infrastructure surrounding schools and reducing speeds and potential conflicts with motor vehicle traffic, and establishing safer and fully accessible crosswalks, walkways, and bikeways.
- *Education.* Teaching children about the broad range of transportation choices, instructing them in important lifelong bicycling and walking safety skills, and launching driver safety campaigns in the vicinity of schools.
- *Enforcement.* Partnering with local law enforcement agencies to ensure that traffic laws are obeyed in the vicinity of schools (including enforcement speeds, yielding to pedestrians in crosswalks, and proper walking and bicycling behaviors and practices).
- *Encouragement.* Events and activities to promote walking and bicycling (bike rodeos, walk to school days, etc.).
- *Evaluation.* Monitoring and documenting outcomes and trends through the collection of data both before and after the intervention.

The Connecticut Safe Routes to School Program coordinates statewide public outreach on SRTS initiatives, administers an infrastructure grant program, and offers related training activities and technical assistance. Additional information on the initiative can be found on the internet at [www.ctsaferoutes.org](http://www.ctsaferoutes.org).

### **Work Zone Safety and Mobility**

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Several provisions in SAFETEA-LU address safety in highway construction work zones. Section 1409 establishes a Work Zone Safety Grants program through which grants are made available to nonprofit and not-for-profit organizations to provide training to prevent and reduce work zone injuries and fatalities. Grants may be used for construction worker training, development of guidelines to prevent work zone accidents, and training for State and local governments, transportation agencies, and other groups

implementing such guidelines. Section 1410 creates a National Work Zone Safety Clearinghouse, tasked with assembling and disseminating information relating to the improvement of work zone safety. Section 1110 requires that proper temporary traffic control devices be utilized to improve safety in work zones on projects on Federal-aid highways or under the Federal Lands Highway Program.

In September 2004, the Federal Highway Administration (FHWA) published updates to the Work Zone regulations contained in 23 CFR 630 Subpart J. The updated rule is referred to as the Work Zone Safety and Mobility Rule (Rule) and applies to all state and local governments that have received Federal-aid highway funding. Transportation agencies are required to comply with the provisions of the Rule by October 12, 2007. The Department has adopted a "Policy on Systematic Consideration and Management of Work Zone Impacts" in conformance with the Rule. The policy defines which Department projects are subject to the Rule and allows an exception for unplanned emergency operations. An implementation plan identifies responsibilities for compliance, beginning with planning, through engineering design, construction and maintenance.

## C. PUBLIC PARTICIPATION

Various federal laws, regulations and executive orders mandate and emphasize public participation in the transportation planning process. The Statewide Planning and Metropolitan Planning Regulations (23 CFR Part 450 & 49 CFR Part 613, October 28, 1993) require that the Department and Metropolitan Planning Organizations (MPOs) develop public involvement procedures. These regulations require that the State carry out a continuing, comprehensive, and intermodal statewide transportation planning process to involve agencies and the public in efforts to define the design, concept and scope of major transportation investments.

Title VI and the Environmental Justice Executive Order emphasize and require the integration of public involvement in planning and design when minority, low-income, and tribal communities may be affected by a federally funded action. A systematic and consistent approach to engaging those impacted (representing diverse cultural and economic backgrounds) is required by the tenets of environmental justice. Federal requirements for meeting these standards obligate recipients of federal funds to collect data about beneficiaries, to analyze that data, eliminate discrimination when it is found, and to take affirmative measures to ensure nondiscrimination (see 49CFR21.5(b)(7), 21.9(b) and 23CFR200.9(b)(4) and 200.9(b)(14)).

Limited English Proficiency (LEP) regulations mandate that recipients of federal funds provide meaningful access to the population relative to what is provided to proficient populations. Presidential Executive Order 13166, "Improving Access to Services for Persons with Limited English Proficiency," requires federal agencies, or those receiving federal funds, to examine the

services they provide, identify any need for services to those with limited English proficiency, and develop and implement a system to provide those services so LEP individuals can have meaningful access to them. It is expected that agency plans will provide for such meaningful access consistent with, and without unduly burdening, the fundamental mission of the agency. The Executive Order also requires federal agencies to work to ensure that recipients of federal financial assistance provide meaningful access to their LEP applicants and beneficiaries. Federal regulations define "LEP" persons as individuals with a primary or home language other than English who must, due to limited fluency in English, communicate in that primary or home language if the individuals are to have an equal opportunity to participate effectively in or benefit from any aid, service or benefit in federally funded programs and activities.

The regulations involving Air Quality Conformity (40 CFR Part 51, November 24, 1993) and the Management and Monitoring Systems (23 CFR 500, December 1, 1993) mandate that the public involvement process for planning serve as the vehicle for public input to air-quality conformity determinations and the results of the management systems.

Section 6001 of P.L. 109 – 59 (SAFETEA-LU), which amended Sections 134 and 135 of Title 23 U.S.C., includes the requirements that pertain to the opportunity for comment by the public on both long-range transportation plans and transportation improvement programs. Section 6002 of P.L. 109 – 59, which amended Section 139 of Title 23, U.S.C., requires opportunities for public involvement during development of the purpose and need for a project as well as for the Alternatives Analysis during the environmental review process.

ConnDOT's public involvement procedures must also be consistent with the Council on Environmental Quality's (CEQ) regulations for implementing the National Environmental Policy Act (NEPA) (40 CFR, Parts 1500-1508) and the Federal Highway Administration (FHWA) internal operating procedure required by NEPA (23 CFR 771, "Environmental Impact and Related Procedures").

Additional public involvement requirements are set forth in the following federal executive orders and regulations: 23 U.S.C. 128, Executive Orders 12898, 11988, and 11990, 36 CFR 800, 49 CFR 622, 33 CFR 115.60 and 33 CRF 325 and 327.

In general, ConnDOT must provide intermodal transportation representatives, environmental organizations, academic advisors, economic development interests, representatives of other state agencies (ConnDEP, OPM, etc.), federal and local officials, pre-existing special interest or advocacy groups (Sierra Club, Commuter Rail Council, etc.), ad hoc groups created for a specific project, abutting or nearby property owners, civic associations, and any other interested parties (collectively identified as

stakeholders) with information and the opportunity to participate in the development of transportation actions of the Department.

The Department's public involvement efforts are guided by the following objectives:

- ◆ Early and continuing public involvement opportunities throughout the planning and programming processes
- ◆ Timely information about transportation issues and processes to the community affected by transportation plans, programs, and projects
- ◆ Reasonable public access to information used in the development of plans and projects
- ◆ Adequate public notice of outreach activities and an opportunity for public review and comment at key decision points
- ◆ Ensuring a process for demonstrating explicit consideration and response to public input
- ◆ Providing a process for seeking out and considering the needs of those traditionally underserved by existing transportation systems, such as low income and minority households
- ◆ Periodic review of the effectiveness of the public involvement process

Public meetings must be conducted at convenient and accessible locations at convenient times and employ visualization techniques to describe plans; and information must be made available in an electronic format, such as on the internet.

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

ConnDOT's public outreach efforts are outlined in *Public Involvement Procedures* which was published by ConnDOT in April 2007. The various mandates that must be met at various stages of the transportation planning, implementation and operation processes are presented in *Public Involvement*

*Procedures*; they are also included in Appendix D. Project Development and Implementation: Overview of Public Involvement Requirements.

ConnDOT has established a proactive public involvement process and developed procedures that provide complete information, timely public notice, full public access to key decisions, and support early and continuing involvement of the public in developing plans and transportation improvement programs.

## 1. PUBLIC OUTREACH PROGRAMS

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

The goals of the public outreach program are as follows:

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

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

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



In November 1995, ConnDOT published a *Guide for Public Outreach* (Guide). The guide was prepared for use by ConnDOT and is intended to provide a tool box for implementing an effective process for informing the public and facilitating community participation throughout the development of transportation actions (study, program or project), and during the Planning, Facility Design/Rights-of-Way/Program Development, and Construction/Implementation/Maintenance phases. A revised and updated document, now known as the *Public Involvement Guidance Manual*, is expected to be completed in 2008. A copy of this updated document will be sent to the 15 regional planning agencies and to the main public library in each town.

An effective metropolitan planning process must incorporate input from both local and state jurisdictions, as well as from the public. ConnDOT relies on MPOs to include public involvement in the development of their regional LRPs and TIPs. SAFETEA-LU requires that the metropolitan transportation planning process include a stand-alone, written Public Participation Plan (PPP), also referred to by some as "Public Outreach Procedures" or "Public Outreach Program," which provides a mechanism for providing citizens, affected public agencies, representatives of public transportation employees, freight shippers, providers of freight transportation services, private providers of transportation, representatives of users of public transportation, representatives of users of pedestrian walkways and bicycle transportation facilities, representatives of the disabled, and other interested parties with reasonable opportunities to be involved in the process. This document lays out the process for collecting public input on MPO documents.

The following are requirements for the PPP:

- The document should be developed in consultation with all interested parties.
- There should be a minimum 45-day comment period on the PPP.
- LRPs and TIPs should be made available for public viewing in advance of board meetings where documents will be adopted.
- Meetings should be held to provide an opportunity for the public to enter commentary. These sessions should be scheduled at convenient and accessible locations and times.
- Visualization techniques should be used. These techniques may vary, but can include maps, transportation models, and animations. If the agency will be using visual tools, it must be stated in the PPP.
- Electronic copies of LRPs and TIPs should be made available by means such as the internet.

When substantial written and oral comments are received on the draft regional LRP or TIP as a result of the public involvement process or the interagency consultation process, or are required by conformity regulations, a summary, analysis, and report on the disposition of comments shall be

made part of the draft regional LRP and TIP. ConnDOT will assist MPOs in responding to comments and questions. The MPO will include the responses in the final regional LRP and TIP.

## 2. CONTEXT-SENSITIVE SOLUTIONS (CSS)

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

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

SAFETEA-LU authorizes the federal Secretary of Transportation to consider the FHWA report, *Flexibility in Highway Design* and the national context sensitive solutions workshop document, *Eight Characteristics of Process to Yield Excellence and the Seven Qualities of Excellence in Transportation Design* in establishing standards to be used on the National Highway System.

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**APPENDIX A**  
**LIST OF ACRONYMS**

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## APPENDIX A. LIST OF ACRONYMS

<b>A-B</b>	
ADA	Americans with Disabilities Act
AIR 21	Wendall H. Ford Aviation Investment and Reform Act for the 21 <sup>st</sup> Century
ACOE	Army Corps of Engineers
BDL	Bradley International Airport
<b>C</b>	
C & D Plan	Conservation and Development Policies Plan
CAA	Clean Air Act
CAAA	Clean Air Act Amendments
CE	Federal Categorical Exclusion
CEO	Council of Elected Officials
CEPA	Connecticut Environmental Policy Act
CFR	Code of Federal Regulations
CGS	Connecticut General Statutes
CMAQ	Congestion Mitigation and Air Quality
CMP	Congestion Management Process
COG	Council of Governments
ConnDEP	Connecticut Department of Environmental Protection
ConnDOT	Connecticut Department of Transportation
CSS	Context-Sensitive Solutions
CT DMV	Connecticut Department of Motor Vehicles
<b>D-G</b>	
DOT	Department of Transportation
EA/FONSI	Environmental Assessment/State Finding of No Significant Impact
EIE	State Environmental Impact Statement
EIS	Environmental Impact Statement
EMS	Emergency Medical Services
EPA	US Environmental Protection Agency
FAA	Federal Aviation Administration
FEMA	Federal Emergency Management System
FHWA	Federal Highway Administration
FMCSA	Federal Motor Carrier Safety Administration
FTA	Federal Transit Administration
FWS	U.S. Fish and Wildlife Service
<b>H-L</b>	
HSIP	Highway Safety Improvement Plan
HSSP	Highway Safety Strategic Plan
ISTEA	Intermodal Surface Transportation Efficiency Act of 1991
ITS	Intelligent Transportation Systems
LRP	Long-Range Transportation Plan
LEP	Limited English Proficiency

## Transportation in Connecticut: The Planning Process

<b>M-O</b>	
MPO MTP	Metropolitan Planning Organization Master Transportation Plan
NAAQS NEPA NF NHS NHTSA NMF	National Ambient Air Quality Standards National Environmental Policy Act New Freedom National Highway System National Highway Traffic Safety Administration National Marine Fisheries
OPM	Office of Policy and Management
<b>P-S</b>	
PPP RPA RPO RRPO	Public Participation Plan Regional Planning Agency Regional Planning Organization Rural Regional Planning Organization
SAFETEA-LU  SFY SHSP SIP SIMTF SPR SRTS STIP STP STP-Urban	Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users  State Fiscal Year Strategic Highway Safety Plan State Implementation Plan Statewide Incident Management Task Force State Planning Work Program Safe Routes to School Statewide Transportation Improvement Program Surface Transportation Program Surface Transportation Program - Urban
<b>T-Z</b>	
TEA-21 TIAs TIPs TMA TSB	Transportation Equity Act for the 21 <sup>st</sup> Century Transportation Investment Areas Transportation Improvement Programs Transportation Management Area Transportation Strategy Board
UPWP USC USCG USDOT UZAs	Unified Planning Work Program United States Code U.S. Coast Guard U.S. Department of Transportation Urbanized Areas

**APPENDIX B**  
**STIP DEVELOPMENT STEPS**



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## **APPENDIX B. *STIP DEVELOPMENT STEPS***

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### HOW IS A STATEWIDE TRANSPORTATION IMPROVEMENT PROGRAM (STIP) DEVELOPED?

The STIP must be developed according to Title 23 of the United States Code (USC).

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

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

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

1. ConnDOT's Office of Policy (in the Bureau of Policy and Planning) prepares an e-mail requesting the assistance of ConnDOT's Bureau of Public Transportation and Bureau of Engineering and Highway Operations in the preparation of the STIP.
2. The Bureau of Public Transportation prepares a draft list of projects to be initiated in the next four-year period. The list is generated from the Bureau's 20-year Capital Program and must be fiscally constrained to the Federal Authorization level. The draft listing is forwarded to the Office of Policy.
3. The Bureau of Engineering and Highway Operations prepares a draft list of projects to be initiated in the next four-year period. The list is generated from the Bureau's current Working Schedule of Federal Aid Obligation and must be fiscally constrained to the Federal Authorization level. The draft list is forwarded to the Office of Policy.
4. The Office of Policy receives the draft lists from the Bureau of Public Transportation and the Bureau of Engineering and Highway Operations, and reviews the program for consistency with long-range plans. The Office of Policy develops a draft STIP, which includes statewide projects, district-wide projects, and other multi-regional projects. Next, the Office

- of Policy checks the program for fiscal constraint, sorts the program by Planning Region, and then transmits to each Planning Region its portion of the program.
5. Planning Regions review the draft list of projects sent by ConnDOT, and prepare comments. At this time, any differences in proposed projects between the Planning Regions and ConnDOT are resolved. This mutually agreed to list is then forwarded to ConnDOT.
  6. Annual "Interagency Consultation Meetings" are held in each of the non-attainment areas. Each meeting provides an opportunity to discuss air quality modeling procedures and project selection criteria.
  7. ConnDOT reviews draft lists of projects received from Planning Regions and assembles the STIP, checks for fiscal constraint, and produces the DRAFT STIP.
  8. The Office of Policy provides the Office of Inventory and Forecasting with the DRAFT STIP. The Office of Inventory and Forecasting conducts an air quality assessment and prepares a conformity report.
  9. The Office of Policy provides to the Office of Inventory and Forecasting a list of STIP CMAQ projects. The Office of Inventory and Forecasting conducts a CMAQ project analysis and prepares a CMAQ Project Summary Report.
  10. Final STIP fiscal constraint issues, if any, are resolved.
  11. The Office of Policy assembles the DRAFT STIP, all projects and the narrative are combined into a complete document, printed, and published.
  12. Draft Planning Region TIPs and Conformity Report are made available for public review and comment.
  13. Draft STIP and Conformity Report are made available for public review and comment for no fewer than 30 days, as outlined in ConnDOT's *Public Involvement Procedures* document.
  14. RPOs address all comments provided by the public concerning the regional TIP and Conformity Report.
  15. ConnDOT addresses all comments provided by the public concerning the Statewide TIP and Conformity Report.
  16. MPO technical committees meet to discuss draft TIP and Conformity Report, and make recommendation to MPO board.
  17. MPO boards review draft TIP, Conformity Report and technical committee recommendation. MPO takes action to endorse TIP and Conformity Report, and make an Air Quality Statement.
  18. MPOs submit endorsed TIP and Air Quality Statement to ConnDOT's Office of Policy for processing.

19. The Office of Policy reviews endorsed TIP against agreed to list of projects. If in agreement, it reassembles STIP and develops fiscal constraint tables.
20. Commissioner endorses STIP.
21. The Office of Policy transmits to FHWA and FTA (EPA through FHWA), the final STIP and copies of each MPO-endorsed TIP and requests Federal approval of program.
22. The Office of Policy sends to ConnDEP the STIP and Conformity Report for evaluation of conformity.
23. EPA reviews STIP for conformity, provides comments to FHWA.
  1. FHWA, FTA and EPA approve or disapprove the STIP and the Conformity Report.
  2. The Office of Policy publishes the final STIP.
24. The Office of Policy distributes a copy of the final STIP to interested parties.
25. ConnDOT begins the obligation of funds for projects.
26. ConnDOT begins the project initiation process.

Source: *CONNECTICUT DEPARTMENT OF TRANSPORTATION 2007 STATEWIDE TRANSPORTATION IMPROVEMENT PROGRAM*

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**APPENDIX C**

**PUBLIC ACT 07-239**

**AN ACT CONCERNING RESPONSIBLE GROWTH**

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## **APPENDIX C. *Public Act 07-239, AN ACT CONCERNING RESPONSIBLE GROWTH***

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Substitute House Bill No. 7090

Public Act No. 07-239

AN ACT CONCERNING RESPONSIBLE GROWTH.

Be it enacted by the Senate and House of Representatives in General Assembly convened:

Section 1. (*Effective from passage*) There is established a Responsible Growth Task Force. The task force shall be comprised of the following members: (1) The Commissioners of Agriculture, Economic and Community Development, Environmental Protection, Public Health and Transportation and the executive directors of the Connecticut Housing Finance Authority, Connecticut Development Authority, Connecticut Innovations, Inc. and Commission on Culture and Tourism and the president of the Office of Workforce Competitiveness, or their respective designees, (2) one member appointed by the Governor who is a current or former chief elected official or city or town manager from a municipality with a population in excess of twenty-five thousand on the date of appointment, (3) one member appointed by the Governor who is a current or former chief elected official or city or town manager from a municipality with a population of less than twenty-five thousand on the date of appointment, and (4) six members appointed as follows: One each by the speaker of the House of Representatives, the president pro tempore of the Senate, the majority leader of the Senate, the majority leader of the House of Representatives, the minority leader of the Senate and the minority leader of the House of Representatives. The Secretary of the Office of Policy and Management, or the secretary's designee, shall be a member and the chairperson of the task force.

(b) The task force shall identify responsible growth criteria to help guide the state's future investment decisions, study land use laws, policies and programs, including laws, policies and programs concerning the transfer of development rights.

(c) Not later than February 15, 2008, the task force shall submit a report containing its recommendations to the Governor. The task force shall



terminate on the date that it submits such report or February 15, 2008, whichever is earlier.

Sec. 2. Subsection (a) of section 16a-31 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective July 1, 2007*):

(a) The following actions when undertaken by any state agency, with state or federal funds, shall be consistent with the plan:

(1) The acquisition of real property when the acquisition costs are in excess of ~~[one]~~ two hundred thousand dollars;

(2) The development or improvement of real property when the development costs are in excess of ~~[one]~~ two hundred thousand dollars;

(3) The acquisition of public transportation equipment or facilities when the acquisition costs are in excess of ~~[one]~~ two hundred thousand dollars; and

(4) The authorization of each state grant, any application for which is not pending on July 1, 1991, for an amount in excess of ~~[one]~~ two hundred thousand dollars, for the acquisition or development or improvement of real property or for the acquisition of public transportation equipment or facilities.

Sec. 3. Section 8-23 of the general statutes is repealed and the following is substituted in lieu thereof (*Effective July 1, 2010*):

(a) (1) At least once every ten years, the commission shall prepare or amend and shall adopt a plan of conservation and development for the municipality. Following adoption, the commission shall regularly review and maintain such plan. The commission may adopt such geographical, functional or other amendments to the plan or parts of the plan, in accordance with the provisions of this section, as it deems necessary. The commission may, at any time, prepare, amend and adopt plans for the redevelopment and improvement of districts or neighborhoods which, in its judgment, contain special problems or opportunities or show a trend toward lower land values.

(2) If a plan is not amended decennially, the chief elected official of the municipality shall submit a letter to the Secretary of the Office of Policy and Management and the Commissioners of Transportation, Environmental Protection and Economic and Community Development that explains why such plan was not amended. A copy of such letter shall be included in each application by the municipality for discretionary funding submitted to any state agency.

~~(b)~~ Until the plan is amended in accordance with this subsection [, a copy of such letter shall be included in each application by the municipality for funding for the conservation or development of real property submitted to said secretary or commissioners] the municipality shall be ineligible for discretionary state funding unless such prohibition is expressly waived by the secretary.

~~[(b)]~~ (c) In the preparation of such plan, the commission may appoint one or more special committees to develop and make recommendations for the

plan. The membership of any special committee may include: Residents of the municipality and representatives of local boards dealing with zoning, inland wetlands, conservation, recreation, education, public works, finance, redevelopment, general government and other municipal functions. In performing its duties under this section, the commission or any special committee may accept information from any source or solicit input from any organization or individual. The commission or any special committee may hold public informational meetings or organize other activities to inform residents about the process of preparing the plan.

[(c)] (d) In preparing such plan, the commission or any special committee shall consider the following: (1) The community development action plan of the municipality, if any, (2) the need for affordable housing, (3) the need for protection of existing and potential public surface and ground drinking water supplies, (4) the use of cluster development and other development patterns to the extent consistent with soil types, terrain and infrastructure capacity within the municipality, (5) the state plan of conservation and development adopted pursuant to chapter 297, (6) the regional plan of development adopted pursuant to section 8-35a, (7) physical, social, economic and governmental conditions and trends, (8) the needs of the municipality including, but not limited to, human resources, education, health, housing, recreation, social services, public utilities, public protection, transportation and circulation and cultural and interpersonal communications, (9) the objectives of energy-efficient patterns of development, the use of solar and other renewable forms of energy and energy conservation, and (10) protection and preservation of agriculture.

[(d)] (e) (1) Such plan of conservation and development shall (A) be a statement of policies, goals and standards for the physical and economic development of the municipality, (B) provide for a system of principal thoroughfares, parkways, bridges, streets, sidewalks, multipurpose trails and other public ways as appropriate, (C) be designed to promote, with the greatest efficiency and economy, the coordinated development of the municipality and the general welfare and prosperity of its people and identify areas where it is feasible and prudent (i) to have compact, transit accessible, pedestrian-oriented mixed use development patterns and land reuse, and (ii) to promote such development patterns and land reuse, (D) recommend the most desirable use of land within the municipality for residential, recreational, commercial, industrial, conservation and other purposes and include a map showing such proposed land uses, (E) recommend the most desirable density of population in the several parts of the municipality, (F) note any inconsistencies with the following growth management principles: (i) Redevelopment and revitalization of commercial centers and areas of mixed land uses with existing or planned physical infrastructure; (ii) expansion of housing opportunities and design choices to accommodate a variety of household types and needs; (iii) concentration of development around transportation nodes and along major transportation corridors to support the viability of transportation options and land reuse; (iv)

conservation and restoration of the natural environment, cultural and historical resources and existing farmlands; (v) protection of environmental assets critical to public health and safety; and (vi) integration of planning across all levels of government to address issues on a local, regional and state-wide basis, (G) make provision for the development of housing opportunities, including opportunities for multifamily dwellings, consistent with soil types, terrain and infrastructure capacity, for all residents of the municipality and the planning region in which the municipality is located, as designated by the Secretary of the Office of Policy and Management under section 16a-4a, (H) promote housing choice and economic diversity in housing, including housing for both low and moderate income households, and encourage the development of housing which will meet the housing needs identified in the housing plan prepared pursuant to section 8-37t and in the housing component and the other components of the state plan of conservation and development prepared pursuant to chapter 297. In preparing such plan the commission shall consider focusing development and revitalization in areas with existing or planned physical infrastructure.

(2) For any municipality that is contiguous to Long Island Sound, such plan shall be (A) consistent with the municipal coastal program requirements of sections 22a-101 to 22a-104, inclusive, (B) made with reasonable consideration for restoration and protection of the ecosystem and habitat of Long Island Sound, and (C) designed to reduce hypoxia, pathogens, toxic contaminants and floatable debris in Long Island Sound.

[(e)] (f) Such plan may show the commission's and any special committee's recommendation for (1) conservation and preservation of trap rock and other ridgelines, (2) airports, parks, playgrounds and other public grounds, (3) the general location, relocation and improvement of schools and other public buildings, (4) the general location and extent of public utilities and terminals, whether publicly or privately owned, for water, sewerage, light, power, transit and other purposes, (5) the extent and location of public housing projects, (6) programs for the implementation of the plan, including (A) a schedule, (B) a budget for public capital projects, (C) a program for enactment and enforcement of zoning and subdivision controls, building and housing codes and safety regulations, (D) plans for implementation of affordable housing, (E) plans for open space acquisition and greenways protection and development, and (F) plans for corridor management areas along limited access highways or rail lines, designated under section 16a-27, (7) proposed priority funding areas, and (8) any other recommendations as will, in the commission's or any special committee's judgment, be beneficial to the municipality. The plan may include any necessary and related maps, explanatory material, photographs, charts or other pertinent data and information relative to the past, present and future trends of the municipality.

[(f)] (g) (1) A plan of conservation and development or any part thereof or amendment thereto prepared by the commission or any special committee

shall be reviewed, and may be amended, by the commission prior to scheduling at least one public hearing on adoption.

(2) At least sixty-five days prior to the public hearing on adoption, the commission shall submit a copy of such plan or part thereof or amendment thereto for review and comment to the legislative body or, in the case of a municipality for which the legislative body of the municipality is a town meeting or representative town meeting, to the board of selectmen. The legislative body or board of selectmen, as the case may be, may hold one or more public hearings on the plan and shall endorse or reject such entire plan or part thereof or amendment and may submit comments and recommended changes to the commission. The commission may render a decision on the plan without the report of such body or board.

(3) At least thirty-five days prior to the public hearing on adoption, the commission shall post the plan on the Internet web site of the municipality, if any.

(4) At least sixty-five days prior to the public hearing on adoption, the commission shall submit a copy of such plan or part thereof or amendment thereto to the regional planning agency for review and comment. The regional planning agency shall submit an advisory report along with its comments to the commission at or before the hearing. Such comments shall include a finding on the consistency of the plan with (A) the regional plan of development, adopted under section 8-35a, (B) the state plan of conservation and development, adopted pursuant to chapter 297, and (C) the plans of conservation and development of other municipalities in the area of operation of the regional planning agency. The commission may render a decision on the plan without the report of the regional planning agency.

(5) At least thirty-five days prior to the public hearing on adoption, the commission shall file in the office of the town clerk a copy of such plan or part thereof or amendment thereto but, in the case of a district commission, such commission shall file such information in the offices of both the district clerk and the town clerk.

(6) The commission shall cause to be published in a newspaper having a general circulation in the municipality, at least twice at intervals of not less than two days, the first not more than fifteen days, or less than ten days, and the last not less than two days prior to the date of each such hearing, notice of the time and place of any such public hearing. Such notice shall make reference to the filing of such draft plan in the office of the town clerk, or both the district clerk and the town clerk, as the case may be.

[(g)] (h) (1) After completion of the public hearing, the commission may revise the plan and may adopt the plan or any part thereof or amendment thereto by a single resolution or may, by successive resolutions, adopt parts of the plan and amendments thereto.

(2) Any plan, section of a plan or recommendation in the plan that is not endorsed in the report of the legislative body or, in the case of a municipality

for which the legislative body is a town meeting or representative town meeting, by the board of selectmen, of the municipality may only be adopted by the commission by a vote of not less than two-thirds of all the members of the commission.

(3) Upon adoption by the commission, any plan or part thereof or amendment thereto shall become effective at a time established by the commission, provided notice thereof shall be published in a newspaper having a general circulation in the municipality prior to such effective date.

(4) Not more than thirty days after adoption, any plan or part thereof or amendment thereto shall be posted on the Internet web site of the municipality, if any, and shall be filed in the office of the town clerk, except that, if it is a district plan or amendment, it shall be filed in the offices of both the district and town clerks.

(5) Not more than sixty days after adoption of the plan, the commission shall submit a copy of the plan to the Secretary of the Office of Policy and Management and shall include with such copy a description of any inconsistency between the plan adopted by the commission and the state plan of conservation and development and the reasons therefor.

~~[(h)]~~ (i) Any owner or tenant, or authorized agent of such owner or tenant, of real property or buildings thereon located in the municipality may submit a proposal to the commission requesting a change to the plan of conservation and development. Such proposal shall be submitted in writing and on a form prescribed by the commission. Notwithstanding the provisions of subsection (a) of section 8-7d, the commission shall review and may approve, modify and approve or reject the proposal in accordance with the provisions of subsection ~~[(f)]~~ (g) of this section.

Sec. 4. (NEW) (*Effective from passage*) (a) On or before July 1, 2009, and every five years thereafter, the Commissioner of Economic and Community Development, within available appropriations, shall prepare an economic strategic plan for the state in consultation with the Secretary of the Office of Policy and Management, the Commissioners of Environmental Protection and Transportation, the Labor Commissioner, the executive directors of the Connecticut Housing Finance Authority, the Connecticut Development Authority, the Connecticut Innovations, Inc. , the Commission on Culture and Tourism and the Connecticut Health and Educational Facilities Authority, and the president of the Office of Workforce Competitiveness, or their respective designees, and any other agencies the Commissioner of Economic and Community Development deems appropriate.

(b) In developing the plan, the Commissioner of Economic and Community Development shall:

(1) Ensure that the plan is consistent with (A) the text and locational guide map of the state plan of conservation and development, adopted pursuant to chapter 297 of the general statutes, (B) the long-range state housing plan, adopted pursuant to section 8-37t of the general statutes, and (C) the

transportation strategy adopted pursuant to section 13b-57g of the general statutes;

(2) Consult regional councils of governments, regional planning organizations, regional economic development agencies, interested state and local officials, entities involved in economic and community development, stakeholders and business, economic, labor, community and housing organizations;

(3) Consider (A) regional economic, community and housing development plans, and (B) applicable state and local workforce investment strategies;

(4) Assess and evaluate the economic development challenges and opportunities of the state and against the economic development competitiveness of other states and regions; and

(5) Host regional forums to provide for public involvement in the planning process.

(c) The strategic plan required under this section shall include, but not be limited to, the following:

(1) A review and evaluation of the economy of the state. Such review and evaluation shall include, but not be limited to, a sectoral analysis, housing market and housing affordability analysis, labor market and labor quality analysis, demographic analysis and include historic trend analysis and projections;

(2) A review and analysis of factors, issues and forces that impact or impede economic development and responsible growth in Connecticut and its constituent regions. Such factors, issues or forces shall include, but not be limited to, transportation, including, but not limited to, commuter transit, rail and barge freight, technology transfer, brownfield remediation and development, health care delivery and costs, early education, primary education, secondary and post secondary education systems and student performance, business regulation, labor force quality and sustainability, social services costs and delivery systems, affordable and workforce housing cost and availability, land use policy, emergency preparedness, taxation, availability of capital and energy costs and supply;

(3) Identification and analysis of economic clusters that are growing or declining within the state;

(4) An analysis of targeted industry sectors in the state that (A) identifies those industry sectors that are of current or future importance to the growth of the state's economy and to its global competitive position, (B) identifies what those industry sectors need for continued growth, and (C) identifies those industry sectors current and potential impediments to growth;

(5) A review and evaluation of the economic development structure in the state, including, but not limited to, (A) a review and analysis of the past and current economic, community and housing development structures, budgets

and policies, efforts and responsibilities of its constituent parts in Connecticut; and (B) an analysis of the performance of the current economic, community and housing development structure, and its individual constituent parts, in meeting its statutory obligations, responsibilities and mandates and their impact on economic development and responsible growth in Connecticut;

(6) Establishment and articulation of a vision for Connecticut that identifies where the state should be in five, ten, fifteen and twenty years;

(7) Establishment of clear and measurable goals and objectives for the state and regions, to meet the short and long-term goals established under this section and provide clear steps and strategies to achieve said goals and objectives, including, but not limited to, the following: (A) The promotion of economic development and opportunity, (B) the fostering of effective transportation access and choice including the use of airports and ports for economic development, (C) enhancement and protection of the environment, (D) maximization of the effective development and use of the workforce consistent with applicable state or local workforce investment strategy, (E) promotion of the use of technology in economic development, including access to high-speed telecommunications, and (F) the balance of resources through sound management of physical development;

(8) Prioritization of goals and objectives established under this section;

(9) Establishment of relevant measures that clearly identify and quantify (A) whether a goal and objective is being met at the state, regional, local and private sector level, and (B) cause and effect relationships, and provides a clear and replicable measurement methodology;

(10) Recommendations on how the state can best achieve goals under the strategic plan and provide cost estimates for implementation of the plan and the projected return on investment for those areas; and

(11) Any other responsible growth information that the commissioner deems appropriate.

(d) On or before July 1, 2009, and every five years thereafter, the Commissioner of Economic and Community Development shall submit an economic development strategic plan for the state to the Governor for approval. The Governor shall review and approve or disapprove such plan not more than sixty days after submission. The plan shall be effective upon approval by the Governor or sixty days after the date of submission.

(e) Upon approval, the commissioner shall submit the economic development strategic plan to the joint standing committees of the General Assembly having cognizance of matters relating to commerce, planning and development, appropriations and the budgets of state agencies and finance, revenue and bonding. Not later than thirty days after such submission, the commissioner shall post the plan on the web site of the Department of Economic and Community Development.

(f) The commissioner from time to time, may revise and update the strategic plan upon approval of the Governor. The commissioner shall post any such revisions on the web site of the Department of Economic and Community Development.

Sec. 5. Section 4-124d of the general statutes is repealed and the following is substituted in lieu thereof (*Effective July 1, 2007*):

The council shall consider such matters of a public nature common to two or more members of the council as it deems appropriate, including matters affecting transportation and the health, safety, welfare, education and economic conditions of the area comprised by its members. The council shall promote cooperative arrangements and coordinate action among its members and make recommendations therefor to the members and such other public agencies as exist or perform functions within the region or regions.

Sec. 6. Section 8-35a of the general statutes is repealed and the following is substituted in lieu thereof (*Effective July 1, 2007*):

(a) At least once every ten years, each regional planning agency shall make a plan of development for its area of operation, showing its recommendations for the general use of the area including land use, housing, principal highways and freeways, bridges, airports, parks, playgrounds, recreational areas, schools, public institutions, public utilities, agriculture and such other matters as, in the opinion of the agency, will be beneficial to the area. Any regional plan so developed shall be based on studies of physical, social, economic and governmental conditions and trends and shall be designed to promote with the greatest efficiency and economy the coordinated development of its area of operation and the general welfare and prosperity of its people. Such plan may encourage energy-efficient patterns of development, the use of solar and other renewable forms of energy, and energy conservation. Such plan shall be designed to promote abatement of the pollution of the waters and air of the region. The regional plan shall identify areas where it is feasible and prudent (1) to have compact, transit accessible, pedestrian-oriented mixed use development patterns and land reuse, and (2) to promote such development patterns and land reuse and shall note any inconsistencies with the following growth management principles: (A) Redevelopment and revitalization of regional centers and areas of mixed land uses with existing or planned physical infrastructure; (B) expansion of housing opportunities and design choices to accommodate a variety of household types and needs; (C) concentration of development around transportation nodes and along major transportation corridors to support the viability of transportation options and land reuse; (D) conservation and restoration of the natural environment, cultural and historical resources and traditional rural lands; (E) protection of environmental assets critical to public health and safety; and (F) integration of planning across all levels of government to address issues on a local, regional and state-wide basis. The plan of each region contiguous to Long



Island Sound shall be designed to reduce hypoxia, pathogens, toxic contaminants and floatable debris in Long Island Sound.

(b) Before adopting the regional plan of development or any part thereof or amendment thereto the agency shall hold at least one public hearing thereon, notice of the time, place and subject of which shall be given in writing to the chief executive officer and planning commission, where one exists, of each member town, city or borough. Notice of the time, place and subject of such hearing shall be published once in a newspaper having a substantial circulation in the region. At least sixty-five days before the public hearing the regional planning agency shall post the plan on the Internet web site of the agency, if any, and submit the plan to the Secretary of the Office of Policy and Management for findings in the form of comments and recommendations. Such findings shall include a review of the plan to determine if the proposed regional plan of development is not inconsistent with the state plan of conservation and development and the state economic strategic plan. Such notices shall be given not more than twenty days nor less than ten days before such hearing. The regional planning agency shall note on the record any inconsistency with the state plan of conservation and development and the reasons for such inconsistency. Adoption of the plan or part thereof or amendment thereto shall be made by the affirmative vote of not less than a majority of the representatives on the agency. The plan shall be posted on the Internet web site of the agency, if any, and a copy of the plan or of any amendments thereto, signed by the chairman of the agency, shall be transmitted to the chief executive officers, the town, city or borough clerks, as the case may be, and to planning commissions, if any, in member towns, cities or boroughs, and to the Secretary of the Office of Policy and Management, or his designee. The regional planning agency shall notify the Secretary of the Office of Policy and Management of any inconsistency with the state plan of conservation and development and the reasons therefor.

(c) The regional planning agency shall revise the plan of development not more than three years after July 1, 2005.

(d) The regional planning agency shall assist municipalities within its region and state agencies and may assist other public and private agencies in developing and carrying out any regional plan or plans of such regional planning agency. The regional planning agency may provide administrative, management, technical or planning assistance to municipalities within its region and other public agencies under such terms as it may determine, provided, prior to entering into an agreement for assistance to any municipality or other public agency, the regional planning agency shall have adopted a policy governing such assistance. The regional planning agency may be compensated by the municipality or other public agency with which an agreement for assistance has been made for all or part of the cost of such assistance.

Sec. 7. (NEW) (*Effective July 1, 2007*) (a) The Secretary of the Office of Policy and Management shall, within available appropriations, conduct a

review of (1) regional tax-based revenue sharing programs, and (2) the establishment of regional asset districts. The review under subdivision (1) of this subsection shall include, but not be limited to, a study of any available models of such revenue sharing programs, the adaptations that may be needed in such programs for use in this state, the effect on property taxes and on a town's grand list, and other possible effects on both municipal and regional finances. The review under subdivision (2) of this subsection shall include, but not be limited to, a study of any available models of regional asset districts, the adaptations that may be needed in such programs for use in this state and other possible effects on both municipal and regional finances.

(b) Not later than July 1, 2009, the secretary shall submit a report, in accordance with the provisions of section 11-4a of the general statutes, to the joint standing committees of the General Assembly having cognizance of matters relating to planning and development, and finance, revenue and bonding, with the results of the review undertaken pursuant to subsection (a) of this section, and with recommendations relating to the institution of revenue sharing programs and establishment of regional asset districts.

Sec. 8. (NEW) (*Effective July 1, 2007*) (a) For purposes of this section, (1) "regional council of governments" means any such council organized under the provisions of sections 4-124i to 4-124p, inclusive, of the general statutes, (2) "regional council of elected officials" means any such council organized under the provisions of sections 4-124c to 4-124h, inclusive, of the general statutes, and (3) "regional planning agency" means an agency defined in chapter 127 of the general statutes.

(b) There is established a regional performance incentive program that shall be administered by the Secretary of the Office of Policy and Management. On or before December 1, 2007, and annually thereafter, any regional planning agency, any regional council of elected officials, any regional council of governments, or any combination thereof, may submit to said secretary a proposal for joint provision of a service or services that are currently provided by municipalities within the region of such agency or council or contiguous thereto, but not currently provided on a regional basis. The proposal shall include such service or services which may increase the participating municipalities' purchasing power or provide a cost savings initiative resulting in a decrease in participating municipalities' expenses and lower property taxes. A copy of said proposal shall be sent to the legislators representing said participating municipalities.

(c) The proposal shall (1) describe at least one service currently provided by a municipality or municipalities within the region of the agency or council or contiguous thereto, but not currently provided on a regional basis, (2) provide a description of how such service would be delivered on a regional basis, including consideration of what entity would be responsible for such service, and how the population would continue to be served, (3) describe the amount and the manner in which the service will achieve economies of

scale and the amount and manner in which each municipality will reduce its mill rate as a result of the savings realized by changing the municipal service to a regional service, (4) include a cost benefit analysis for the provision of such service by the municipality and by the council or agency, (5) set out a plan of implementation for such regional service, (6) estimate the savings that will be realized by each municipality, and (7) any other items requested by said secretary. Each proposal shall have attached to it (A) a resolution by the legislative body of each municipality affected by the proposal endorsing such proposal; and (B) certification by each such municipality that there are no legal obstacles to provision of services in the manner specified in the proposal including, but not limited to, binding arbitration. The proposal shall be submitted on a form prescribed by said secretary. Said secretary shall review all such proposals, and award grants to those that the secretary determines best meet the requirements of this subsection. In making such grants the secretary shall give priority to proposals presented by regional councils of government which include participation of at least fifty per cent of the member municipalities of such council.

(d) Not later than February 1, 2008, and annually thereafter, the secretary shall submit to the Governor and the joint standing committee of the General Assembly having cognizance of matters relating to finance, revenue and bonding a report on the grants provided pursuant to this section. Each such report shall include information on the amount of each grant, and the potential of each grant for leveraging other public and private investments.

Approved July 11, 2007

**APPENDIX D**

**ENVIRONMENTAL CLASSIFICATION DOCUMENT OF THE  
DEPARTMENT OF TRANSPORTATION**

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# **APPENDIX D. *Environmental Classification Document of the Department of Transportation***

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Office of Policy and Management

## **Environmental Classification Document**

Department of Transportation

Environmental Classification Document of  
**The Department of Transportation**  
Prepared Pursuant to Section 22a-1a-4  
of the Regulations of Connecticut State Agencies

I. Typical actions for which environmental impact evaluations will always be prepared:

New expressway

New rail facility

New exclusive bus facility

New airport

II. Typical actions whose degree of impact is indeterminate but which could have significant environmental impacts. For each of these actions, when one is proposed, an environmental assessment shall be undertaken to determine whether an environmental impact evaluation or a finding of no significant impact shall be prepared:

Construction of, addition to or major alteration involving a change in use of a State leased/purchased or owned facility involving 25,000 sq. ft. or more of floor space. A facility is defined as one or more concurrently planned or envisioned structures on a site, the sum total of which would equal or exceed 25,000 sq. ft.

Construction of new paved roads or lane additions to existing roads at any state facility, the cost of which would equal or exceed \$250,000.

Construction of new State leased/purchased or owned parking lots, garages or additions, thereto, which provide for a capacity of 200 vehicles or more.

Construction of new State-owned dams or dam changes resulting in a permanent change in water level.

Construction of new or expanded sewage treatment plants, hazardous waste or low level radioactive disposal facilities and coal fired heating plants at State facilities.

### Transportation in Connecticut: The Planning Process

Demolition or major alteration of any building listed on the State Register of Historic Places unless certification is obtained from the State Historical Commission that there will be either no significant adverse historical impact or no feasible or prudent alternative to the proposed action.

Actions which have no environmental impact and for which environmental assessments are not required, except as noted in f above, include repairs and renovations of state facilities, replacements of a structure's architectural features, interior construction and/or renovations, additions and/or renovations to lighting, fire alarm, heating/cooling and mechanical systems, roof repairs, chimney repairs, etc.

The following list includes those types of capital projects of the Department of Transportation for which grants are made to others or are implemented by the Department:

1. Upgrade expressway
2. Construct new expressway interchange
3. Revise or modernize expressway interchange
4. Highway widening
5. Upgrade airport landing facilities
6. New marine freight storage facility
7. New marine passenger terminal
8. New or expanded DOT maintenance or storage facilities
9. New expressway rest areas
10. Partial expressway
11. Relocation of major highway (non-expressway)
12. New major highway

Other more minor projects or proposals (for example, safety improvements, highway alignment improvements, bus repair or storage facilities, grade crossing improvements, or aircraft storage or maintenance improvements) are also examined to determine if substantial impact would be involved. If so indicated, formal environmental assessment procedures would be undertaken on these projects.

Any other action which may significantly affect the environment in an adverse manner. The significance of a likely consequence should be assessed by the agency in connection with its setting, its probability of occurring, its duration, its irreversibility, its controllability, its geographic scope and its magnitude.

III. Any and all joint federal/state actions for which environmental impact documents are prepared pursuant to the National Environmental Policy Act shall be recognized as meeting CEPA Requirements. **For Further Information, Contact:** Jeff Smith, (860) 418-6395 ; [Jeff.Smith@po.state.ct.us](mailto:Jeff.Smith@po.state.ct.us) Intergovernmental Policy Division

**APPENDIX E**  
**CLIMATE CHANGE**



## Transportation in Connecticut: The Planning Process

## **APPENDIX E. *Climate Change Action Plan 2005: Recommendations and Progress***

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**Table ES.1. List of Recommendations Connecticut Climate Change Action Plan 2005**

### **List of Recommendations**

#### **Transportation Sector**

1. California LEV II standards\*
2. Greenhouse gas (GHG) Feebate Program \*\*
3. Fleet vehicle incentives and initiatives\*
4. Tailpipe GHG standards \*\*
5. Public education initiative\*
6. Hydrogen infrastructure research and demonstration program \*\*
7. Transit, smart growth, and vehicle miles traveled (VMT) reduction package\*
8. Multi-state intermodal freight initiative\*
9. Clean diesel and black carbon\*

#### **Residential, Commercial, Industrial Sector**

10. Appliance standards\*
11. Appliance-swapping program\*
12. Heat pump water heater replacement program\*
13. Bulk purchasing of appliances\*
14. Upgrade residential and commercial building energy codes\*
15. Promote energy efficient and energy improvement mortgages \*\*
16. Revise Energy Conservation Loan Program \*\*
17. Weatherization Assistance program\*
18. Energy Star Homes program\*
19. High-performance buildings: schools and other State-funded buildings\*
20. High-performance buildings: privately funded projects \*\*
21. Shared savings program for government agencies\*

22. Training of building operators\*
23. Green campus initiative\*
24. Energy benchmarking, measurement, and tracking program for municipal buildings\*
25. Pilot fuel-switching projects\*
26. Remove barriers to third-party load-management techniques\*
27. State procurement of environmentally preferable services and products\*
28. Review of New England Regional Demand Response Initiative (NEDRI) recommendations\*
29. Promote voluntary programs and actions\*
30. Encourage clean combined heat and power \*\*
31. Restore conservation and load management fund \*\*
32. Create Heating oil conservation fund \*\*
33. Create Natural gas conservation fund \*\*
34. Identify measures to reduce high-global warming-potential gases \*\*

### **Agriculture, Forestry, Waste Sectors**

35. Install centralized manure digesters \*\*
36. Reduce nonfarm fertilizer use\*
37. Buy local produce\*
38. Forest management and forest carbon offsets\*
39. Urban tree planting program\*
40. Forest and agricultural land preservation\*
41. Promote use of durable wood products over other construction materials\*
42. Support economically viable landfill gas-to-energy projects\*
43. Increase recycling, source reduction to 40 percent\*
44. Voluntary carbon offset program \*\*

## **Electricity Generation Sector**

- 45. Renewable energy strategy (RES) \*\*
- 46. Renewable portfolio standard (RPS) \*\*
- 47. Government green power purchase\*
- 48. Production tax credit\*
- 49. Clean Energy Choice (Green power option)\*
- 50. Renewable Energy Certificates (Green tags)\*
- 51. Restore Clean Energy Fund \*\*
- 52. Energy efficiency and combined heat and power \*\*
- 53. Regional cap-and-trade program\*

## **Education and Outreach**

- 54. Public Education Initiative\*

## **Greenhouse Gas Reporting**

- 55. Emissions Inventory and Registry\*

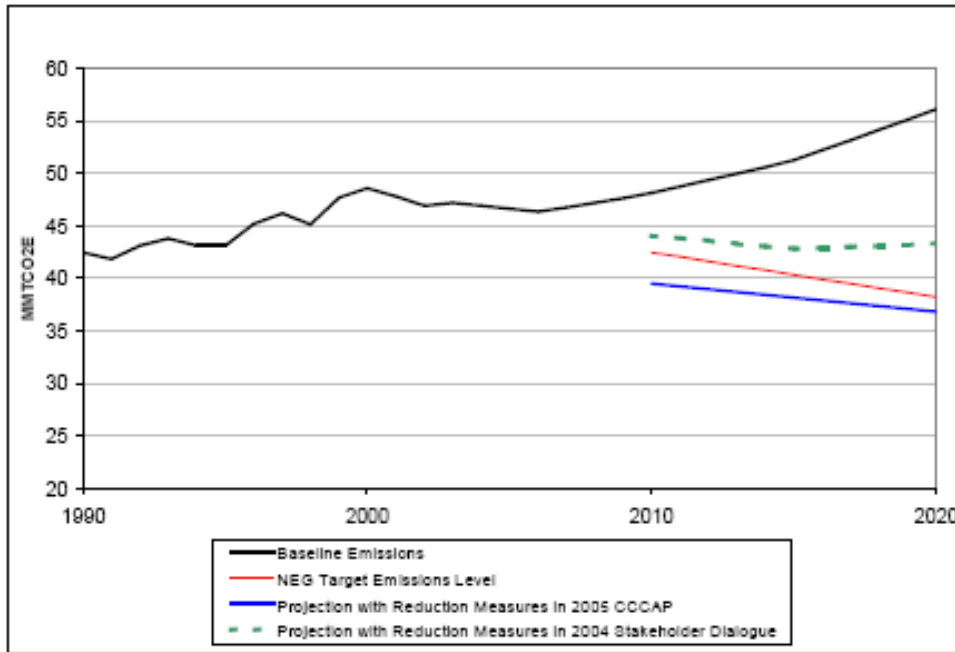
\* Action item has been designated by the Governor and Governor's Steering Committee for immediate implementation \*\* Action item has been designated by the Governor and Governor's Steering Committee for further analysis, identification of appropriate implementation pathway, and implementation following 2005.

## **PROGRESS TOWARD MEETING STATUTORY (NEG/ECP) TARGETS**

When the Connecticut Climate Change Stakeholder Dialogue was released in January 2004, the projected GHG emission reductions were not on target to meet the NEG/ECP goals of 1990 emission levels by 2010 and 10% below 1990 levels by 2020. Based on the Recommended Actions quantified for the Stakeholder Dialogue, it appeared that Connecticut was on a path to achieve 70.9% of the necessary reductions in 2010 and 71.3% of the necessary reductions in 2020.

New analyses conducted in 2004 now show that Connecticut can be on a path to meet and exceed the NEG/ECP targets (see graph below). These analyses were based on new information, realistic assumptions and correction of prior analyses and resulted in total net gains of 4.59 MMTCO<sub>2e</sub> of reductions in 2010 and 6.50 MMTCO<sub>2e</sub> in 2020.

**Figure ES.1 Baseline, Target, and Estimated Progress with Recommendations Graph 1990-2020**



A progress table summarizing the new total projected reductions by sector follows. The new and revised analyses completed in 2004 include:

Cap and Trade: 0.95 MMTCO<sub>2</sub>e in 2010 and 2.26 MMTCO<sub>2</sub>e in 2020

Restore the CCEF: 0.31 MMTCO<sub>2</sub>e in 2010 and 0.41 MMTCO<sub>2</sub>e in 2020

Feebate Program: 0.04 MMTCO<sub>2</sub>e in 2010 and 0.11 MMTCO<sub>2</sub>e in 2020

GHG Tailpipe Standards: 0.05 MMTCO<sub>2</sub>e in 2010 and 2.63 MMTCO<sub>2</sub>e in 2020

Heating Oil Conservation Fund: 1.02 MMTCO<sub>2</sub>e in 2010 and 1.89 MMTCO<sub>2</sub>e in 2020

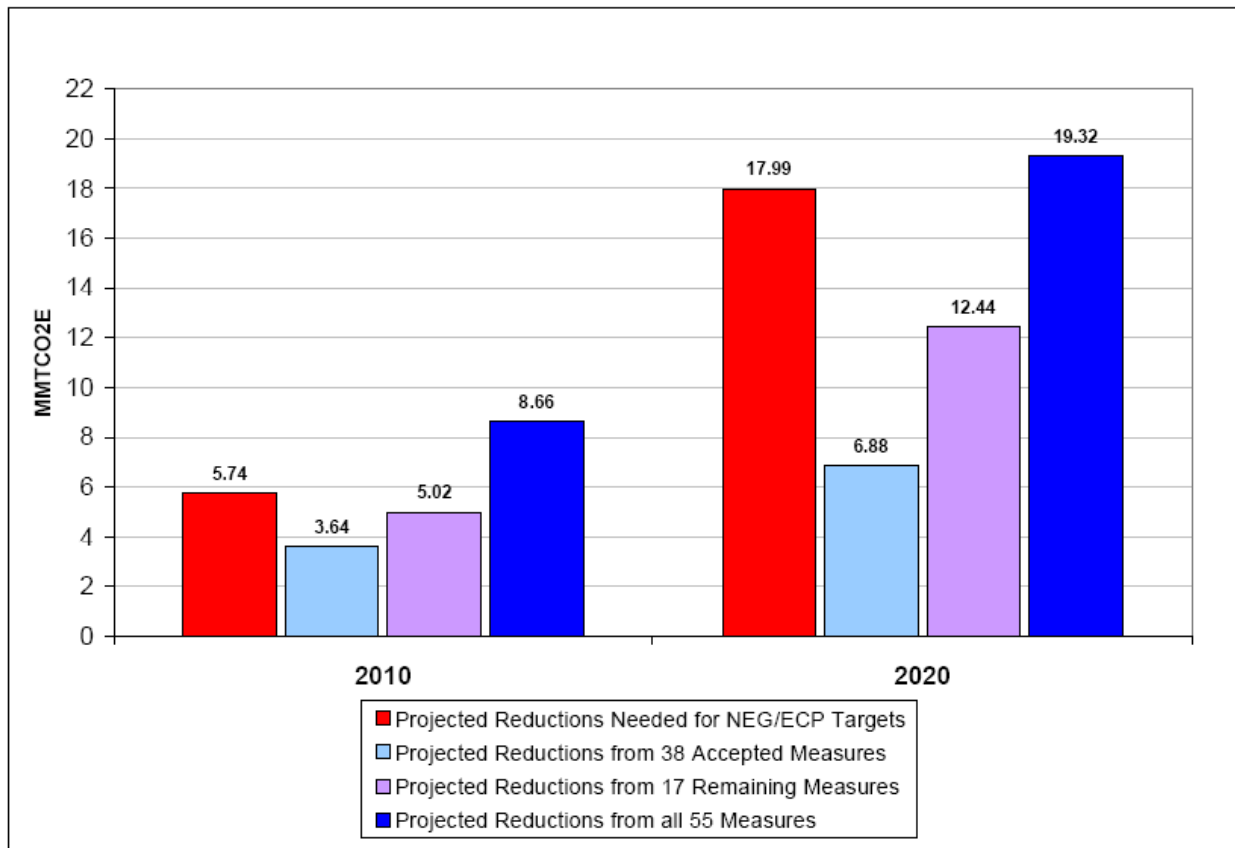
Natural Gas Conservation Fund: 1.44 MMTCO<sub>2</sub>e in 2010 and 2.07 MMTCO<sub>2</sub>e in 2020

Renewable Portfolio Standards: 1.30 MMTCO<sub>2</sub>e in 2010 and 3.20 MMTCO<sub>2</sub>e in 2020

**Table ES.2 Summary of Connecticut GHG Reductions with Recommendations (without black carbon) MMTCO<sub>2</sub>e**

	<b>2010</b>	<b>2020</b>
<b>Future Baseline</b> (CCAP projections from fuel use)	48.14	56.15
<b>NEG/ECP Targets</b> (1990 in 2010, 10% below in 2020)	42.40	38.16
<b>Reductions Needed to Meet NEG/ECP Targets</b>	5.74	17.99
<b>Projected Reductions By Sector</b>		
Transportation	0.35	3.84
Residential, Commercial, Industrial	4.03	7.29
Agriculture, Forestry, Waste	1.21	1.30
Electricity	3.07	6.89
<b>2005 CCCAP Total Reductions</b>	<b>8.66</b>	<b>19.32</b>
2003 CT Stakeholder Report Total Reductions	4.07	12.82
<b>Total NEW or REVISED Reductions</b>	<b>4.59</b>	<b>6.50</b>

**Figure ES.2 GHG Reductions Needed to Achieve Targets by 38 Accepted and 17 Remaining Recommended Actions**



**Table ES.3 Summary of Connecticut Climate Change Recommendations**

Policy Action	Status
<b>Transportation and Land Use</b>	
<p><b>1. California LEV II Standards</b>                      The California Low Emission Vehicle II (LEV II) program establishes strict emission standards for all new cars sold in California as well as for any other state that adopts the program. These standards address non-methane organic gas (NMOG), oxides of nitrogen (NO<sub>x</sub>), and carbon monoxide (CO).</p>	<p><b>Progress - Implemented</b>                      DEP adopted regulations in December 2004 that require compliant vehicles commencing with the 2008 model year.</p> <p><b>Expected Greenhouse Gas (GHG) Reduction</b></p> <ul style="list-style-type: none"> <li>• 2010 = 0.04 MMTCO<sub>2</sub>e</li> <li>• 2020 = 0.47 MMTCO<sub>2</sub>e</li> </ul> <p><b>Expected Cost per Ton GHG</b>                      Baseline LEV II vehicles are currently being sold at the same price as their non-LEV II certified counterparts, and manufacturers' costs for compliance are less than \$100 per vehicle. A consumer premium of approximately \$3,000 currently exists for hybrid vehicles. California Air Resources Board (CARB) has estimated the following incremental costs for advanced technology partial zero-emission vehicles (AT-PZEVs):</p> <ul style="list-style-type: none"> <li>• Stage I (2003-2005) \$3,300</li> <li>• Stage II (2006-2008) \$1,500</li> <li>• Stage III (2009-2011) \$700.</li> </ul> <p><b>Estimated Co-Benefits</b>                      Adoption of LEV II standards in Connecticut is calculated to reduce toxic pollutants (acetaldehyde, 1,3-butadiene, formaldehyde, and benzene) by 104 tons in 2020.</p>
<p><b>2. GHG Feebate Program</b>                      Under a feebate system, purchasers of high CO<sub>2</sub>-emitting vehicles would pay a fee, whereas purchasers of low-CO<sub>2</sub>-emitting vehicles would receive a rebate. The cutoff threshold can be designed to be revenue neutral so that total fees are equal to total rebates. The levels of fees and rebates for vehicles should be designed to maximize influence on consumer demand for low-emission vehicles.</p> <p>A feebate system could be implemented regionally to strengthen the market signal to vehicle manufacturers and prevent adverse economic impacts in the State.</p>	<p><b>Progress - In Process</b>                      Further analysis has been done to quantify co-benefits using the REMI regional economic analysis model. Positive economy-wide benefits have been determined. Implementation actions are pending.</p> <p><b>Expected GHG Reductions</b></p> <ul style="list-style-type: none"> <li>• 2010 = 0.036 MMTCO<sub>2</sub>e</li> <li>• 2020 = 0.109 MMTCO<sub>2</sub>e</li> </ul> <p><b>Expected Cost per Ton GHG</b></p> <ul style="list-style-type: none"> <li>• 2010 = -\$166.70 \$/ton CO<sub>2</sub>e</li> <li>• 2020 = -\$171.50 \$/ton CO<sub>2</sub>e</li> </ul> <p><b>Estimated Co-Benefits</b>                      Positive economy-wide benefits including jobs, output, gross state product, and disposable personal income.</p> <p>(see write-up for summary)</p>



**Table ES.3  
Summary of Connecticut Climate Change Recommendations**

Policy Action	Status
<p><b>3. Fleet Vehicle Incentives and Initiatives</b> Establish incentives and initiatives to encourage acquisition of low-GHG vehicles in public, private, and State fleets.</p> <p>Partner with other northeastern states, local governments, and private fleets to develop bulk-purchasing proposals for low-GHG vehicles.</p>	<p><b>Progress – In Progress</b> The State presently leases hybrid vehicles as a portion of its daily fleet. DAS has released a new RFP for Alternative fuel and gasoline-hybrid electric light duty vehicles.</p> <p>Legislation passed to give tax exemption for purchase of any hybrid rated at 40 mpg or greater and extends exemption for alternative fuel vehicles and equipment (An Act Concerning Clean and Alternative Fuel Vehicles, PA 04-231)</p> <p><b>Expected GHG Reductions</b> Reflected in GHG tailpipe standards below.</p> <p><b>Expected Costs per Ton GHG</b> Costs have not been estimated.</p>
<p><b>4. Tailpipe GHG Standards</b> Amend LEV II regulations to include GHG standards.</p> <p>Under these standards, new motor vehicles will be required to emit 30 percent fewer GHGs than would have been emitted without the program. The program establishes two fleet average standards for GHG emissions: one for cars, light trucks, and small sport utility vehicles (SUVs) and another for heavier trucks and large SUVs. The standards will be phased in between the years 2009 and 2016.</p>	<p><b>Progress - Action Pending</b> CT DEP plans to adopt regulations in 2005.</p> <p><b>Expected GHG Reductions</b></p> <ul style="list-style-type: none"> <li>• 2010 = 0.05 MMTCO<sub>2</sub>e</li> <li>• 2020 = 2.63 MMTCO<sub>2</sub>e</li> </ul> <p><b>Expected Cost per Ton GHG</b></p> <ul style="list-style-type: none"> <li>• 2010 = -\$136 \$/ton CO<sub>2</sub>e</li> <li>• 2020 = -\$99 \$/ton CO<sub>2</sub>e</li> </ul> <p><b>Estimated Co-Benefits</b> The overall effect of the regulation will be an increase in personal income and, as a result, an increase in employment and sales activity.</p>
<p><b>5. Public Education Initiative on Transportation</b> Raise public awareness about the benefits of low-GHG vehicles, including the available incentives and potential maintenance options.</p>	<p><b>Progress - In Process</b> Low-GHG vehicles are now available through state contract. The DAS has been making state and municipal purchasers aware of this and of the environmental benefits of low GHG vehicles at the CT Shops event held by DAS in 2004 and through other methods.</p> <p><b>Expected GHG Reductions</b> These are reflected in GHG tailpipe standards above.</p> <p><b>Expected Cost per Ton GHG</b> Costs have not been estimated.</p> <p><b>Estimated Co-Benefits</b> Co-benefits have not been estimated.</p>

**Table ES.3**  
**Summary of Connecticut Climate Change Recommendations**

Policy Action	Status
<p><b>6. Hydrogen Infrastructure Research and Development (R&amp;D) Program</b>                      Support research on low-GHG vehicle technology, such as fuel cells, and assess how best to facilitate the development of alternative fuel infrastructure and refueling networks through measures such as pilot projects, R&amp;D, and incentives.</p>	<p><b>Progress – Action Pending</b>                      Further macroeconomic studies are to be conducted through REMI regional economic analysis modeling.</p> <p><b>Expected GHG Reductions</b>                      This effort will not result in any GHG benefits by 2020 (potential long-term benefits of up to 22 MMTCO<sub>2</sub>e in Connecticut). Long-term GHG reductions assume the availability of low-emissions hydrogen (i.e., hydrogen produced from gasification of fossil fuels), together with carbon capture and sequestration, achieving roughly 90% improvement in GHG emissions, or renewable energy sources.</p> <p><b>Expected Cost per Ton GHG</b>                      Costs have not been estimated.</p> <p><b>Estimated Co-Benefits</b>                      Significant job creation potential.</p>
<p><b>7. Transit, Smart Growth and Vehicle Miles Traveled (VMT) Reduction Package</b>                      Increase availability of low-GHG travel choices in Connecticut, such as transit (rail and bus), vanpools, walking, and biking. Provide complementary land-use policies and incentives to improve the attractiveness of low-GHG travel choices.</p> <p>Implement a package of transit improvements and land-use policies and incentives to achieve a 3% reduction in VMT below the 2020 baseline. The package consists of six complementary elements:</p> <ol style="list-style-type: none"> <li>1. Double transit ridership by 2020.</li> <li>2. Consider potential funding mechanisms for new transit investments, such as road pricing and the Connecticut Transportation Strategy Board’s fuel tax recommendation.</li> <li>3. Establish a coordinated interagency program to promote smart growth in Connecticut using regulatory, financial, and planning tools.</li> <li>4. Redirect at least 25% of new development (forecast population and employment) to growth-appropriate locations, as indicated by the State Plan of Conservation and Development.</li> <li>5. Study a potential road-pricing pilot project, prepare a feasibility design study by 2006, and implement the pilot project if it is shown to be effective. Study the potential impact on equity and sprawl and consider broader implementation of road pricing in the long term.</li> <li>6. Consider complementary VMT reduction incentives, such as commuter choices, location-efficient mortgages, and mileage-based insurance.</li> </ol>	<p><b>Progress - In Process / Action Pending</b>                      Work continuing on design and implementation of New Britain – Hartford Bus Rapid Transit (BRT); studies are concluding on Hartford East BRT and New Haven-Hartford-Springfield Rail. About \$100 million committed for the project at this time. The total project cost is \$338 million.</p> <p><b>Expected GHG Reductions</b></p> <ul style="list-style-type: none"> <li>• 2010 = 0.22 MMTCO<sub>2</sub>e</li> <li>• 2020 = 0.49 MMTCO<sub>2</sub>e</li> </ul> <p><b>Expected Cost per Ton GHG</b>                      Annualized smart growth and transit costs over 17 years yield a marginal cost of \$602/MTCO<sub>2</sub> in 2020. This assumes a 7% discount rate. When other savings from avoided costs are included (infrastructure cost savings, health costs savings, and consumer fuel cost savings) the marginal cost is calculated to be \$280/MTCO<sub>2</sub> in 2020.</p> <p><b>Estimated Total Costs</b>                      Estimated annual transit capital and operating costs are \$295 million. Estimated annual savings from avoided infrastructure costs, avoided health care costs, and avoided household expenditures are \$158 million. Total costs minus savings are estimated to be \$137 million per year.</p> <p><b>Estimated Co-Benefits</b>                      Benefits of this program include reducing criteria and hazardous pollutants, increasing travel choices, helping to relieve traffic congestion, bolstering economic development and urban revitalization, reducing water pollution from runoff, and minimizing habitat fragmentation.</p>

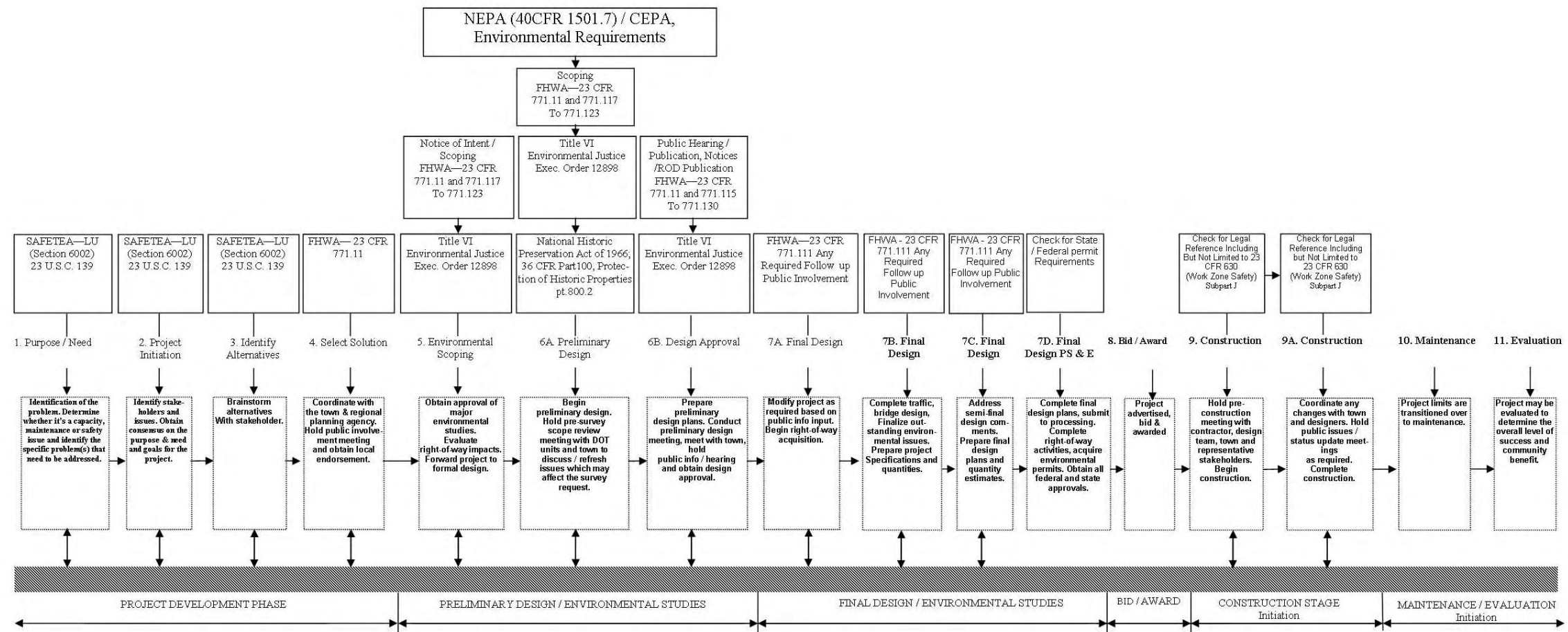
**Table ES.3**  
**Summary of Connecticut Climate Change Recommendations**

Policy Action	Status
	<p>Estimated annual capital and operating costs range from \$13 million to \$30 million. Estimated savings from avoided health care costs due to reduced exposure to particulate matter are not included.</p> <p><b>Estimated Co-Benefits</b> Health benefits due to reductions in PM emissions are not included in the cost estimate above.</p>

**APPENDIX F**

**ENVIRONMENTAL CLASSIFICATION DOCUMENT OF THE  
DEPARTMENT OF TRANSPORTATION**

# APPENDIX F. Development & Implementation: Overview of Public Involvement Requirements



## Transportation in Connecticut: The Planning Process

State of Connecticut  
Department of Transportation



This publication is part of a series of reference documents entitled "Transportation in Connecticut." It is available on the Department's web site at:  
[www.ct.gov/dot](http://www.ct.gov/dot) under the categories "Publications" "Other"

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