

SCoQ Partnering Subcommittee Meeting Notes:
May 24th, 2002

Attendees: Ginger Murdough
 Sam Hassoun
 Judonne Greham
 Dave Comstock
 Julie Zirlin
 Mark Ford
 Megan Davis
 Joe Steinbock

Items Discussed:

- **Portland Wrap Up:**

Ginger summarized the final meeting that both she and Jeff attended.

Action Item(s):

- Team to create a List of Deliverables and request funds.

- **Video Update**

The Video Sub-committee will meet and decide what changes to make to the video. They will also establish timeframes for completion.

Action Item(s):

- Judonne to set up a separate conference call.

- **Survey Update**

Action Item(s):

Judonne will contact Joyce and request the final version of survey results.

- **Handbook Update:**

The team agreed that the Handbook should include Case Studies.

Action Item(s):

- Team will review handbook outline and determine which sections they wish to contribute information. Mark will send Construction Facts to Judonne who will then distribute to the team.

- **Misc. Discussion Items:**

- The Awards and Recognition representative Diane D. requests that anyone interested in participating in the Malcolm Baldrige Award Process contact her at 517-373-2292.

Managing Change in State Departments of Transportation

Scan 7 of 8: Innovations in Public-Public Partnering and Relationship Building in State DOTs

Prepared for:
National Cooperative Highway Research Program
Transportation Research Board
National Research Council

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This report has not been edited by TRB.

FOREWORD

Change Management in State DOTs

State departments of transportation are operating in an environment of unprecedented change. Evolving demands for transportation services, new technologies, workforce composition, stakeholders' concerns, and a constantly changing political environment create continuing demands for institutional change. To address these challenges, many state DOTs are undertaking a range of initiatives such as strategic planning, organizational restructuring, performance measurement, process engineering, and outsourcing.

Both anecdote and survey suggest that change management is now the major preoccupation of senior management. However, the rate of change is very uneven and not well-understood. Indeed, there appears to be more *innovation* than *imitation* -- since the creative approaches being introduced are not documented or widely discussed. Little "literature" on state DOT change management has been developed -- either case studies or "how to" material.

AASHTO's Strategic Interest

A 1998 AASHTO report on "The Changing State DOT" identified drivers of change and approaches being taken by state DOTs in change management. AASHTO's Year 2000 Strategic Plan activities then introduced an element concerned with facilitating institutional change. Meanwhile, a newly reorganized TRB Committee on Strategic Management, through calls for papers and annual meeting sessions, focused on studying the range of changes occurring in transportation organizations. This led to the formation of a committee to plan a special workshop on strategic management under the joint sponsorship of the Transportation Research Board Committee on Strategic Management, AASHTO Standing Committee on Quality, and the Federal Highway Administration (FHWA).

The Strategic Management Workshop

The two-day workshop (June 25-27, 2000) in Minneapolis was organized to facilitate peer-to-peer discussions among the CEOs and senior staff of the state DOTs about their experiences in managing internal and external change. This workshop focused on sharing recent experiences with managing internal and external change and lessons learned. Twenty state DOT CEOs participated in the workshop, and 35 state DOTs were represented by CEOs or senior staff. Conference dialogue dealt with three principal management challenges:

1. Strategic planning-related initiatives
2. Workforce and reorganization-related initiatives
3. Process and program delivery-related initiatives

The discussions identified a wide range of specific issues within each area that attendees felt deserve organized review via case studies, assessment of the state of the practice, and identification of promising concepts, approaches, and tools. Workshop participants used the results of these discussions to identify research that would help state DOTs lead and manage their changing organizations. Twenty-two research problem statements were crafted around the three subject areas.

TRB, at the urging of AASHTO and participating CEOs, immediately set up an NCHRP panel, chaired by Mary Peters of Arizona DOT, to develop a multiyear NCHRP research program under the 20-24 program established for special AASHTO research related to DOT administration. The panel combined and prioritized problem statements into eight strategic management issues for priority research. In view

of the lack of written material on these subjects, the panel decided to start with broad "scans" of the state of the practice in each area to provide guidance for a substantive multiyear research program. Each scan would summarize the challenges, document examples of current innovations, and recommend the appropriate initial components of a research program. The eight-month scan program -- including presentations at AASHTO Board meeting roundtables -- represented a highly unusual rapid-response approach to the priority placed on these issues by AASHTO and TRB.

Cross-Cutting Findings from the Initial Eight Scans

The eight scans produced considerable evidence of the number and breadth of change management initiatives within state DOTs. In general, these initiatives are concerned with the agencies as institutions, their mission and leadership, organization and workforce, process, and resources. The principal, common forces of change include:

1. Deliberate reorientation of strategic objectives in response to program limitations (Scan 3, operations), new technology (Scan 6, information technology), or funding (Scan 8, innovative finance)
2. Evolution of new forms of cooperation for improved service delivery with other public agencies (Scan 7, partnerships) and the private sector (Scan 2, outsourcing)
3. Workforce strategies (Scan 5) in response to downsizing, retirements, competition, and the need for new capabilities
4. The need to institutionalize and measure change management (Scan 1, strategic leadership) and improve agency image in the overall constituent context (Scan 4, positioning)

Overall, state DOTs today appear to be evolving away from single-purpose entities with standard approaches to producing a limited number of well-understood products and services. Instead, they are moving toward more flexible organizations designed to respond to constantly changing missions with ever-increasing efficiency through a shifting coalition of partners and stakeholders. Managers of these changes can clearly benefit from access to collective experience, including a better sense of the state of the practice and specific resources based on the more promising approaches. The scans identify some of the most valuable experience and provide important pointers to key issues for further dialogue and research.

Individual Scan Highlights

Scan 1 -- Innovations in Strategic Leadership and Measurement for State DOTs: Strategic planning itself is increasingly widespread in state DOTs. However, many CEOs find that the process often breaks down in the implementation stage -- creating buy-in and "institutionalization" of key change vectors. Yet some promising solutions are being found, including widespread participation of a variety of stakeholders in the process, a customer focus in terms of strategy and priorities, top management commitment to implementing the strategic agenda, ongoing communication to promote it, and "omni-directional alignment" among goals, performance measures, and budgets. Further research in each of these areas is needed to strengthen and integrate strategic management practices. *(Scan by T.H. Poister and D.M. Van Slyke of Georgia State University)*

Scan 2 -- Innovations in Private Involvement in Project Delivery: Outsourcing -- commonly employed for construction and design services to cope with lumpy demands or staff downsizing -- is spreading to other functions within the project and service delivery functions. It is increasingly important to understand the relative costs and quality of work conducted in-house versus by external private firms. Current evidence is not conclusive, as cost comparisons may not have been systematic. More research and more collaborative efforts are required by transportation organizations to identify best practices and possible standard procedures. *(Scan by Dr. D. Hancher, P.E. and R. Werkmeister, P.E., University of Kentucky)*

Scan 3 -- Innovations in Institutionalization of Operations: Systems operations and management is already considered a mission priority by many state DOTs. However, the several types of operations-related activities -- ranging from ITS to maintenance of traffic -- are stovepiped and decentralized in most state DOTs. In most cases, there appears to be no common department-wide policy framework around which to organize for efficient integration of services and sustainable funding. Some member departments are establishing performance measures by conducting customer surveys, but implementation for program management is still in the very early stages. Further case study research into promising approaches is needed to connect customer interests and performance measures to integrated operations activities. *(Scan by Philip J. Tarnoff)*

Scan 4 -- Innovations in DOT Communications, Image, and Positioning: The scan focused on states known to be addressing issues of communications, image, and positioning. Those that were most advanced focused on improving both internal communications with staff and external communications with the public, elected officials, and the media. Some innovative states are assessing their image and identifying ways in which to clarify and improve it with the public, recognizing that image enhancement and improved constituent communications may lead to an improved position for the agency, to new resources, and to a more supportive audience for the agency's work. Increasingly, states report that proactive efforts to better communicate and to position the agency positively with decision makers have led to increased public support and legislative funding for the DOTs. Additional research in communications, positioning, and marketing to various constituencies was felt to be needed. *(Scan by K. Stein and R. Sloane of Howard/Stein-Hudson Associates)*

Scan 5 -- Innovations in Work Force Strategies: State departments of transportation face severe challenges in recruiting and maintaining their workforces. Innovative approaches are being taken to recruitment of core competencies such as IT and senior civil engineering. Retention and succession approaches were also investigated, including mentoring and reverse mentoring. However, more case study and research are needed in defining, recruiting, and retaining the necessary workforce. *(Scan by C. Gilliland of the Texas Transportation Institute)*

Scan 6 -- Innovations in Organization Development as a Result of Information Technology: The rapidly changing environment of IT is challenging DOTs to deal with emerging opportunities and problems. This scan identified the range and types of new opportunities related to IT itself as well as related organizational development implications. Key issues include organization of the IT function, the cost-effective degree of outsourcing, and a range of management issues such as handling information overload, funding, procurement, and training. These areas suggest future research directions. *(Scan by C. Cluett and K. Baker of Battelle Seattle Research Center)*

Scan 7 -- Innovations in Public-Public Partnering and Relationship Building in State DOTs: A wide variety of partnerships among state DOTs; other state, local, and federal agencies; and public stakeholders are improving project and program delivery and increasing efficiency across agency or jurisdictional lines. Promising areas for partnering include achieving environmental streamlining, rationalizing state-local maintenance responsibilities, and joint community problem solving. Examination of successful partnerships and relationships identifies common elements of success and provides a starting point for the development of new partnering tools more applicable to longer-term, peer-to-peer relationships among DOTs; other state, local, and federal agencies; and non-governmental stakeholders. *(Scan by Mark Ford of HDR-Portland)*
This scan is the topic of this file.

Scan 8 -- Innovations in Project Financing: There is now a very rich menu of innovative revenue sources and finance techniques. New revenues are available from toll facilities, HOT lanes, value or congestion pricing, special assessments and fees, shared resource projects, and/or joint development. These revenues can be combined to leverage scarce federal aid through both debt and equity approaches, capitalizing on the new flexibility within the federal aid and some state programs. Such new approaches to project financing can also benefit from innovative project development approaches. Research is needed on promising approaches to mainstream these approaches within transportation agencies. *(Scan by A. Reno and L. Hussey of Cambridge Systematics, Inc.)*

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Table of Contents

Executive Summary	iv
CHAPTER 1. INTRODUCTION AND RESEARCH APPROACH	1
Definitions.....	1
Purpose and Approach	1
CHAPTER 2. FINDINGS.....	2
Dimensions of Public-Public Partnerships.....	2
Partnering in Project Development.....	3
Partnering in Program Delivery	5
Partnerships in Planning and Planning Related Programs	9
Long-Term Relationship Building.....	10
Common Ingredients of Successful Partnerships	11
CHAPTER 3. TOWARD A NEW PARTNERING PARADIGM.....	14
CHAPTER 4. SUGGESTED RESEARCH	15
Appendix A: References.....	16
Appendix B: List of Partnership and Partnering Relationships.....	17

List of Figures

1. Partnering in Project Development	5
2. The Partnering Triangle	11

List of Tables

1. Areas of Partnering in State DOTs	v
B1. Partnerships and Partnering Relationships Cited in this Report	17
B2. Partnerships and Partnering Relationships Noted but not Cited in this Report	21

EXECUTIVE SUMMARY

A wide variety of partnerships between state departments of transportation (DOTs) and other state, local and federal agencies and stakeholders are helping to transform the way DOTs do business. Partnering approaches are being used to improve project and program delivery in a variety of areas from environmental streamlining to road maintenance, ITS deployment and planning. DOTs are finding that partnering can solve problems, increase efficiency and implement programs that cross agency or jurisdictional lines.

The range of public sector partnering relationships is shown in Table 1. Public-public partnerships formed by DOTs tend to fall into four categories: (1) project development, (2) program delivery, (3) planning and activities arising out of the planning process, and (4) other long-term relationship building.

Area of Partnering	Purpose and Characteristics	Examples
Project Development	Speed project delivery and avoid legal challenges	Legacy Parkway Environmental Impact Statement (EIS), Utah (<i>Page 3</i>) Environmental Streamlining Agreements (<i>Page 3</i>)
Program Delivery	Coordinate, exchange tasks, or jointly implement programs	New York ITS partnerships (<i>Page 6</i>) PennDOT Agility maintenance exchange (<i>Page 8</i>)
Planning and Planning-Related	Align objectives and better ensure implementation	Maryland US301 Major Investment Study (MIS) (<i>Page 9</i>) Florida and Oregon joint agency-community problem solving (<i>Page 10</i>)
Long-Term Relationship Building	Strengthen ongoing relationships with other agencies and stakeholders	Partnering and relationship building with federal agencies (<i>Page 10</i>) New Mexico National Quality Initiative (<i>Page 11</i>)

In some of these cases DOTs are adapting the tools of construction partnering, with which they are most familiar. In most cases, however, DOTs use a variety of other *ad hoc* approaches to partnering and relationship building.

Examination of successful partnerships and relationships identified common elements of success which provide a starting point for the development of new partnering tools more applicable to relationships with other state, local and federal agencies and non-governmental stakeholders. There is clearly a need for new approaches to partnering in state DOTs. The characteristics of new partnerships and partnering relationships that require different approaches from those of traditional construction partnering are:

- Multiple participants in the process;
- Cross jurisdictional relationships;
- Peer-to-peer (as opposed to buyer-seller) relationships;

- Long-term relationships;
- Less formal frameworks including memorandums of understanding (MOU); and
- Broad differences in perspective and purpose among participants.

Various suggestions about the approaches of new processes have been made to address these characteristics:

- Increase emphasis on human skills in relationship building and communication;
- Increase emphasis on understanding of partners' perspectives;
- Develop tools for determining and building on limited shared objectives;
- Design new performance indicators for the partnering process;
- Draft model agreements;
- Create dispute resolution and consensus building tools that stress horizontal relationships as well as vertical escalation; and
- Develop tools adaptable to a variety of circumstances.

The following research opportunities were identified in response to the challenges and opportunities of public-public partnering:

Title: A Handbook for Successful Partnering with Public Sector and Non-Traditional Partners

A handbook would provide state DOTs with a single, easy-to-use source of processes and tools for ongoing public-public partnerships. Over the course of the interviews for this research, two of the most commonly identified needs for future research were (1) partnering models from outside of construction, and (2) measures of performance for public-public partnerships. These should be included in a handbook. Similar guides available for construction partnering are not adaptable to most of the public-public partnerships identified in this research.

Estimated Cost: \$75,000

Title: Case Studies in State DOT Partnering with Public Sector and Non-Traditional Partners.

The need for illustrative case studies was identified in interviews as a key need of state DOTs for more successful partnering. Partnering in environmental streamlining is of particular and immediate interest to many DOTs. Other priority areas include road maintenance, regional planning and community problem solving, public transit and safety.

Cost: \$25,000 per subject area.

Title: Best Practices in Partnering with Nontraditional Organizations.

A summary of best practices and a listing of public and non-profit organizations with partnering relationships with state DOTs would be very useful to DOTs wishing to expand public-public partnerships.

Cost: \$25,000

Title: Synthesis of Management Literature relevant to Public-Public Partnering

While partnering literature is heavily oriented to public-private relationships and to project delivery many of its concepts are relevant to ongoing public-public relationships. A synthesis report of management literature relevant to public-public partnerships and relationship building would provide useful background for DOTs wishing to improve their partnering approaches.

Cost: \$20,000

CHAPTER 1

INTRODUCTION AND RESEARCH APPROACH

The changing role of state Departments of Transportation (DOTs) has led to the creation of new relationships with public and private sector partners and stakeholders. Responsibilities for increasingly complex programs and new emphasis on both cooperation and efficiency have been driving forces, necessitating the creation of new relationships with public sector partners including state, local and federal agencies and other not-for-profit organizations.

DEFINITIONS

To provide an overview of partnering and relationship building, it is important to start with working definitions relevant to the public-public partnerships, which are the primary focus of this research. Throughout this research the following definitions are used:

Partnership: The pooling of effort, resources, or risk to achieve a common result. An example is the joint development of a traffic management system by a city and a state DOT.

Partnering: Building a relationship for the purpose of achieving a common result. Partnering may include the formation of a formal partnership. An example is a facilitated process to bring multiple agencies into a single process for environmental streamlining. The traditional partnering process is well defined for *public-private* relationships in construction, but not well defined for the *public-public* relationships of state DOTs.

Relationship Building: Any formal process for improving the relationship between a DOT and its stakeholders, including partnering. A DOT may engage in relationship building even when there is not yet a specific common objective. An example is setting up regular meetings with federal agencies to exchange information and views.

Some of the partnerships identified in this research included exchange of financial resources and some included private as well as public partners. Due to limitations in scope, however, the research did not pursue relationships that were primarily financial or primarily public-private.

PURPOSE AND APPROACH

The purpose of this research is to identify the range of approaches to partnering and relationship building within state DOTs in order to identify:

1. Opportunities, innovations, challenges and barriers;
2. Lessons learned to date; and
3. Opportunities for research to assist DOTs to more fully benefit from public-public partnering relationships.

This research concentrated on those projects and programs that showed the most promise in terms of understanding the state of the art and future research needs for effective partnering and relationship building. An initial review of state submissions to the CEO Workshop in Managing Change in State DOTs (June 2000), DOT websites, and other literature identified more than 150 examples of partnerships and partnering relationships. From these, approximately 20 were selected as representative of the breadth of partnering activities related to public-public partnerships. Additional information was gathered and 23 telephone interviews were conducted with 13 state DOTs. In the course of further research and interviews, additional examples were identified and are included as illustrative of partnering opportunities and issues facing state DOTs. Partnerships and partnering relationships included in this survey directly or by reference are listed in Appendix B.

CHAPTER 2 FINDINGS

The key finding of this survey of state DOT partnering and relationship building is that there is a wide variety of relationship building going on in nearly all states. Partnering approaches are being used to improve program delivery in a variety of areas. Partnerships are being pursued to solve problems, increase efficiency and implement programs that cross agency or jurisdictional lines. In some cases, the tools of construction partnering, with which DOTs are most familiar, are being adapted for development of these new relationships. However, in many cases DOTs are using a variety of other *ad hoc* approaches to partnering and relationship building.

Examination of a cross-section of public-public partnerships and relationships identified common elements of success and provided a starting point for the development of new partnering tools more applicable to longer term peer-to-peer relationships between DOTs, other state, local and federal agencies and non-governmental stakeholders.

DIMENSIONS OF PUBLIC-PUBLIC PARTNERSHIPS

Categories of Public-Public Partnerships

This research did not start with a clear perspective as to the dimensions of partnerships and relationships to be investigated. Instead, it identified and researched those partnerships that are especially instructive as to the state of the art or that appear to be particularly successful. Four partnership categories, based largely on the origins of the partnership, emerged from the research:

- Project development and those partnerships intended to improve the project development and delivery process, including environmental streamlining and efforts to bring permitting and regulatory agencies into the project development process;
- Program delivery, which includes intelligent transportation systems (ITS) partnerships, maintenance exchange agreements and other arrangements in which responsibility for program delivery is shared or traded;
- Planning and related partnerships arising out of the planning process; and
- Ongoing long-term relationships serving multiple functions.

With the exception of project-specific partnering in project development, most of these partnerships are ongoing, if not permanent, relationships. But, even in project development there appears to be an evolution from project-specific processes to ongoing relationships and agreements, such as environmental streamlining agreements.

Partnering Process and Tools

Across the range of public-public partnerships there is no consistent process or set of partnering tools in use by state DOTs. Within state DOTs, there is considerable knowledge of and experience with construction partnering, which was developed for use in public-private partnership where the overall relationship is short-term and governed by a buyer-seller contract. The typical tools of traditional construction partnering are:

- The Partnering Workshop – Usually a facilitated meeting of the key leaders on each side of the partnership. Key issues are discussed and the project’s goals, objectives, leadership roles and communications procedures are clarified.
- The Charter – A written document clarifying roles, responsibilities and communication roles and procedures.

- The Escalation Agreement – An agreement that clarifies the handling of disputes by establishing a procedure and decision path for raising issues to higher levels of the partnering organizations for resolution.
- Evaluation – A formal process in which the partners evaluate performance of the partnership as the project proceeds.

In some cases, such as partnering in project development, the basic elements of this traditional approach provided a starting point for public-public partnering activities. In other cases, one or more of these formal tools may have been brought into use, even though the entire construction partnering process was not followed.

PARTNERING IN PROJECT DEVELOPMENT

One of the most interesting developments in the area of partnering is project development. As project development becomes more demanding and deals with increasingly complex and diverse issues and interests, the partnering process, often based on the construction partnering paradigm, has been used to bring multiple stakeholders, including local governments, utilities and regulatory agencies, into the process. Ideally, partnering results in mutually agreed goals and processes for gathering input, completing work and resolving disputes. In reality, the results have varied from successful to mixed.

Legacy Parkway Environmental Impact Study, Utah

In a classic partnering process, the Utah DOT (UDOT) contracted for preliminary design and EIS services on the Legacy Parkway project, a 14-mile-long, \$369 million freeway on a new alignment. The major federal regulatory and permitting agencies were brought into a single partnering process along with the contractor. These agencies were the US Fish and Wildlife Service (FWS), the US Environmental Protection Agency (EPA), the Federal Highway Administration (FHWA) and the US Army Corps of Engineers (COE). Partnering workshops led to a single charter for the project covering UDOT, the contractor, and the federal agencies, which significantly reduced the time required to complete the EIS. The process eventually took three years to complete, but there is general consensus among the participants that it would have taken much longer without the partnering process.

In the Legacy Parkway example, environmental agencies benefited by not having to wait for formal stages of the EIS process to make their concerns known before working with UDOT on alternative approaches and mitigation. Wetlands issues, which were of particular concern to the environmental community were addressed and mitigated by the creation of a wetlands wildlife preserve. This was a direct outgrowth of the partnering process.

In spite of the apparent success of partnering during the process, there were still delays at the point of issuance of permits. Permitting agencies continued to follow their own procedures on their own timelines, responding to the concerns of their own constituent groups. Even so, permits were probably issued more quickly than they would have been without the process and, as the project advances into construction, UDOT continues to regard it as a success.

Since issuance of the Legacy Parkway Record of Decision, allowing the project to proceed, environmental and citizen groups have filed lawsuits against the project. Thus far, however, no injunctions have been issued and the project is proceeding.

Environmental Streamlining

In recent years there is no aspect of project development that has received more attention than the need to streamline environmental processes. Environmental streamlining has led to state partnerships with the Regional EPA offices and many states now have formalized ongoing

partnering arrangements with permitting and regulatory agencies. These typically spell out the decision process to be followed through each stage of project development and contain a dispute resolution process to avoid impasses that previously led to significant delays. Agencies that are typically party to these agreements are FHWA, COE, EPA, FWS, National Marine Fisheries Service (NMFS), National Park Service (NPS), and a range of state and regional agencies.

In some cases, such as Maryland's "Streamlined Environmental and Regulatory Process for Transportation Projects," these are multi-party agreements including multiple state and federal agencies in the same agreement. In other cases, such as Montana's, these may be bilateral agreements between the state DOT and a single federal agency.

Closely related to environmental streamlining is the increasingly common tool of cost sharing agreements with federal permitting agencies, including the US Forest Service (USFS), COE, FWS and EPA. In return for funding staff positions to help process permits, DOTs can set priorities on work and better manage their own project development process. This helps keep projects on schedule, improves the image of the DOT, and relieves some of the pressure on regulatory agencies, which are often understaffed and overburdened by multiple priorities. One state reported that these arrangements also result in better information sharing in general between the agencies.

As with expanded partnering in other aspects of project development, these interagency and environmental partnerships appear to have achieved mixed results. They have clearly led to better relationships and some, like those with FHWA, are consistently regarded as successful. In other cases, although they have not eliminated disputes over environmental and other permitting issues and have not shortened environmental processes, they have reduced uncertainties in permitting. This is probably attributable to better information sharing, if not better relationships. An official of the Maryland DOT noted that streamlining has not reduced the time required to complete an EIS (which still takes about three years) but it has eliminated delays between planning and permitting.

Other State DOT Experience

Other states reported similar results with regard to partnering in project development. Partnering has been helpful in clarifying processes and relationships and has sometimes resulted in more efficient and faster completion of required studies. However, when participants have fundamentally different points of view it is admittedly harder to reach agreement on some issues.

Need for Additional Partnering Tools

The mixed success of expanded partnering in project development points to the need for additional partnering tools. The extension of partnering processes into project development has been based largely on the construction-partnering paradigm, attempting to vertically integrate the project development process to save money and time and reduce legal claims.

However, as illustrated in Figure 1, the new relationships that must be formed are often ongoing, long term, involve multiple partners and do not start with defined products to be delivered. In fact, many of the environmental permitting agencies and other nontraditional partners are probably more concerned with horizontal integration – land use and environmental relationships to transportation – rather than the vertical relationships required for project delivery. Some potential partners, such as environmental advocacy groups, may not even share a common perspective on the need for transportation solutions to the problems that lead to project development in the first place. For example, the lawsuits filed in the Legacy Parkway challenged the purpose and need for the project on the basis that a different land use pattern, not added transportation facilities is the solution. The key benefit of the partnership in these cases is in

clarifying the goals of each partner and providing processes for communicating and resolving disagreements.

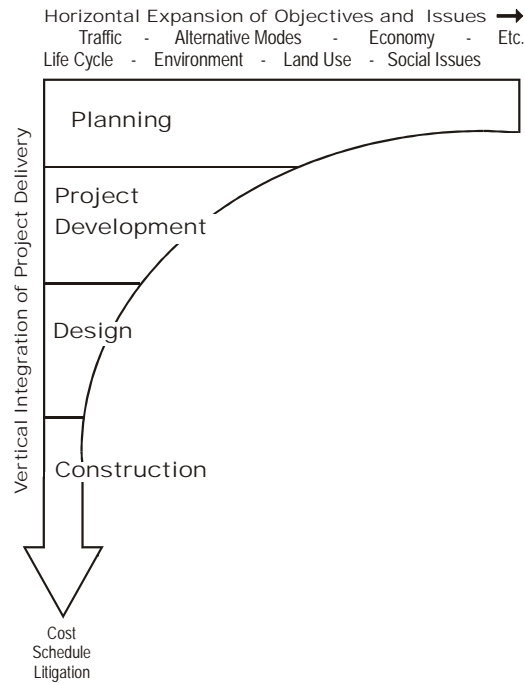


Figure 1. Partnering in Project Development In construction partnering, minimizing cost, schedule and litigation are key objectives, Vertical integration of project delivery involves new partners with expanded objectives and issues.

PARTNERING IN PROGRAM DELIVERY

There are several reasons for the increased use of partnerships for program delivery. Responsibilities of DOTs have expanded into areas such as intelligent transportation systems (ITS) and public transit, in which DOTs are just one of many important players with interrelated objectives and complementary resources. In other cases, such as road maintenance, the desire for increased efficiency and improved coordination becomes a major impetus to seeking partnerships that permit more efficient program delivery.

This research considers two particular elements, ITS and road maintenance. Preliminary literature scans identified significant partnering in other elements as well; most notably in safety programs and public transportation. Only the limitations of time and resources prevented research into these important areas as well.

ITS Partnerships

The development of ITS solutions inevitably requires that information and operational decisions cut across jurisdictional lines. By their very nature, integrated traffic management, automated toll collection, and commercial vehicle preclearance systems require the collaboration and cooperation of multiple jurisdictions to be effective.

Nearly every state contacted in this survey of partnering practices has developed partnerships for the development and operation of ITS systems. Partnerships are formed in both urban and rural areas, most often around traffic management, incident management, and traveler information. Some, like the I-95 Corridor Coalition, are multi-state partnerships. These

partnerships usually include formal written agreements, but seldom use formal partnering practices.

Given the importance of ITS deployment and the level of partnering involved, there are numerous examples and discussions of ITS partnerships in published literature, in state DOT publications and on web sites. The following examples were chosen for the insights provided to partnering and relationship building in general as well as to ITS deployment.

ITS Partnerships of the New York State DOT

The ITS partnerships of the New York State DOT (NYSDOT) with local and regional governments provide an instructive case study in the formation of partnerships. In the mid-1990s, NYSDOT developed an ITS strategic plan and established its “New York MOVES” program to implement ITS solutions. The NYSDOT had a long history of cooperation with metropolitan planning organizations (MPOs) and the extension to ITS partnerships was natural. An NYSDOT official noted that area-wide transportation management can be achieved only through the coordinated efforts of a variety of agencies. Accordingly, their ITS program places a strong emphasis on providing leadership in establishing interagency partnerships. NYSDOT was also motivated by significant fiscal and process constraints that had eliminated other implementation options.

NYSDOT followed the advice of FHWA in the process of bringing stakeholders together, and district managers quickly began forming partnerships with MPOs to implement ITS solutions. In Monroe County (Rochester), the State was able to turn over control of 50 traffic signals on the state highway system to the county, which operates a computerized traffic management system. This arrangement resulted in improved traffic operations by keeping traffic under a single management system and eliminated duplicate systems. NYSDOT Rochester Regional Office and the county are continuing to work toward implementation of a more sophisticated advanced traffic management system.

In Albany, the NYSDOT and the New York State Police (NYSP) have established a single jointly operated traffic management center in the NYSP headquarters building. This allows rapid response and coordination of incident management alongside regular traffic management. To work out the details of the agreement which made the center possible, the NYSDOT paid the salary of a State Police officer to serve as a liaison between the agencies for two years. It also paid for construction of the center, while the State Police provided the building. It has ended as a win-win partnership in which the NYSDOT now has the most effective and least-cost incident response system available, based on digital 911, while the NYSP upgraded communications and freed troopers’ time that previously went to unnecessary incident response.

In New York City, the NYSDOT reached an agreement with the City in which City Police operate incident management vehicles supplied by the State. A formal partnering process was not used, but considerable negotiation was required to reaching this landmark agreement.

The speed and effectiveness with which these partnerships were put together were attributed by NYSDOT staff to the clear central direction of the ITS Strategic Plan and to an environment in which districts were encouraged to partner with local governments. The role of the central ITS office was to set the tone for success, provide advice on best practices, approve capital expenditures, and review agreements for consistency. None of these partnerships involved formal partnering, though all have formal written agreements.

However, the NYSDOT staff have several pieces of advice for other state DOTs that reflect good partnering principles:

- Assume people will work together where they need to.
- Take a stakeholder approach from the start – it’s not just a DOT program.

- Use liaison positions and remember that giving a little is key.
- Money is an important tool; it will drive everything.

Regional and Multi-State Organizations

In some cases, the need for in-depth cooperation, coordination and communications among agencies in the planning and deployment of ITS solutions has led to the creation of new regional organizations. In some cases an existing agency may take on the role of a central agency with multiple partners. For example, in the New York-New Jersey-Connecticut area, TRANSCOM (Transportation Operations Coordinating Committee) was originally formed by 15 agencies of the tri-state area to coordinate construction and regional incident management. It later became the coordinating body for the region's ITS activities, including leading the ITS model deployment initiative.

In the case of the seven state E-Zpass Interagency Group, a new organization was created to implement a regional electronic toll collection system requiring a regional management structure. The organization now includes 16 East Coast toll agencies from West Virginia to New York. By allowing any valid transponder to be used for toll payment on any member agency's facilities, the organization has dramatically improved customer service.

The twelve-state I-95 Corridor Coalition is another example of a very effective partnership created to implement ITS solutions that cross state boundaries. Established in 1993, the Coalition has goals for developing trip planning, improving commercial vehicle productivity and safety, and promoting seamless toll collections. It is involved primarily in the identification and coordination of solutions implemented by state, regional and local government and toll authorities. The coalition is now formalized in TEA-21 legislation. While the coalition has a formal hierarchy and its own staff, it is still a voluntary association that depends on the active involvement of members for leadership and results. Accomplishments through this structure include an information sharing system that can coordinate incident response throughout the corridor and a coordinated traveler information system. The coalition is currently working toward a standard toll payment system that will bring more uniformity throughout the corridor. While this coalition did not employ formal partnering processes in its creation, it has a clear purpose, active champions in several states, and other common characteristics of successful partnerships.

Texas ITS Solutions

In the mid-1990s, the Texas DOT also entered into an extensive program of innovative institutional arrangements to implement ITS solutions. A 1996 evaluation (1) identified the common elements of successful public sector partnerships as a project champion, a lead agency, strong interagency cooperation, and new funding arrangements. Once again, these observations reinforce the value of partnering principles, even if formal processes were not used.

State-Local Maintenance Agreements

Another area of public-public partnerships at a program level is in maintenance exchange agreements between DOTs and local governments or other agencies. They are significantly different than maintenance service contracts, which are public-private contracts. Under these agreements, the partners exchange services in ways that seek to improve the efficiency of all partners. Typical examples are the Missouri DOT's agreement with Macon County in which they exchanged responsibility for particular road segments, and the Oregon DOT's partnering agreement with Jackson County for co-location of facilities and exchange of maintenance

functions such as snow plowing and road striping. The most well-known program for exchange of maintenance services is the Pennsylvania DOT (PennDOT) Agility Program.

Pennsylvania's Agility Program

The Agility Program has been underway since January 1997 and currently involves all of PennDOT's eleven engineering districts, 67 counties, and over 1,200 partnership agreements, mostly with local governments. Based on the positive result of early experimental agreements, PennDOT started a statewide program in which standard agreements could be used to exchange maintenance services of equal value. To date, combined savings for all parties involved is over \$5.3 million. Agility Maintenance Enterprises are agreements written at the district level to exchange maintenance services of equal value between PennDOT and its partners. The work done for the other jurisdiction is referred to as "redirected." A small central office of three employees provides training and monitors the agreements.

Because of the potential to redirect work away from state or local employees, PennDOT saw the potential for labor disputes. That issue was avoided by making the Association of State, County and Municipal Employees a partner in the program. Thus far, Pennsylvania's general contractors have not objected, in part because the Agility program is small (\$6.4 million over three years) compared to the \$1 billion annual construction program.

Parties. Most agreements are with cities and counties, but legislation was passed expanding authority of PennDOT districts to contract with other agencies, such as fire departments. One of the most interesting alignments of purpose and outcome is the agreement between one of the PennDOT districts and local fire departments to allow fire drills on bridges. The fire departments achieve their objectives of improving skills and testing equipment, while PennDOT gets its bridges cleaned.

Decentralized Management. One of the unique features of the Agility program is its ability to facilitate the negotiation of agreements through a decentralized management structure. The program currently operates in 40% of the State's counties and PennDOT expects to hit 50% soon. The process for expanding into a new county involves "recasting" the organization to fit the Agility model of customer responsiveness and external focus. PennDOT districts have thus far followed the practice of implementing early agreements and launching the program first, then following up by marketing throughout the county or district. The result has been a quick and effective expansion of the program.

Strategy and Organization. While other state DOTs seem to have developed their maintenance service agreements on an *ad hoc* basis in response to specific needs, the Agility program was a deliberate organizational strategy championed by the PennDOT Secretary. Its four principles are (2):

- (1) Organizing to master change and uncertainty;
- (2) Leveraging people, skills, information, and technology;
- (3) Enriching the customer; and
- (4) Cooperating in "virtual" relationships.

The Agility program fits the definition of a decentralized implementation model focusing on "mass *customization* in lieu of mass *production*." (2) Consistent with implementation as an organizational strategy, PennDOT reorganized and trained staff in new expectations and processes.

While a formal partnering process has not been a part of the Agility program, many partnering principles are met in other ways. Written agreements clarify responsibilities and expectations and results are documented by constantly monitoring each agreement. In addition, PennDOT field staff view relationship building with local partners as part of their jobs.

Advice. Advice from PennDOT staff to other states considering implementation of similar programs includes:

- Get the support of labor,
- Ask field staff how to implement; and
- Identify a champion.

PARTNERSHIPS IN PLANNING AND PLANNING RELATED PROGRAMS

While DOTs have been involved with planning partnerships for many years, their prevalence has increased significantly in the past decade. This was partly a response to ISTEA and TEA-21, but it has also been in response to the increased complexity of transportation solutions in rural as well as urban areas. It is interesting to note that rural planning areas and urban coalitions tend to refer to themselves as partnerships, while MPOs generally do not, in spite of having strong characteristics of partnerships. The cases presented here are far from a comprehensive overview due to the limited nature of this survey. Nonetheless, the following cases provide useful perspectives on the role of partnering in planning.

Maryland's Innovations in Planning Partnering

Maryland's US 301 Task Force provides an example of the use of partnering tools to bring consensus solutions to a contentious set of issues surrounding a major investment study. A detailed set of ground rules and procedural plans were developed for the Task Force at the very beginning of the project. Outside experts were used for facilitation and conflict resolution as well as for technical knowledge. The Task Force operated on a consensus basis, despite deep divisions between participants over highway capacity needs and solutions. In the end, the vote for the proposed plan was 44 to 1. A Maryland official noted that the drive for consensus meant that participants were motivated to look for solutions, not just react to proposals.

Maryland has also taken a partnering approach to local problem solving through its "Thinking Beyond the Pavements" program. Similar to context-sensitive design, this approach recognizes that in a given local area the state highway performs multiple functions besides just moving traffic. Maryland works with local communities through partnering processes to develop solutions and identify projects.

Joint Problem Solving in Florida and Oregon

At least two states are responding to local area needs within partnerships that include several state agencies working together to address local development issues. Florida's Rural Economic Development Initiatives (REDI) program is a partnership of state agencies to address development needs in rural counties. Certain areas are defined as "Areas of Critical Concern" within which partnering agencies can work out a consistent approach to assistance. In these and other cases, monthly board meetings provide the opportunity to coordinate response to new issues.

Oregon's Community Solutions Teams takes the process a step further by establishing regional teams of five state agencies including the Oregon Department of Transportation (ODOT), and the Departments of Economic and Community Development, Environmental Quality, Land Conservation and Development, and Housing Community Services. These teams meet regularly, receive requests for assistance and compare notes on issues within a given region.

Indicative of what can be accomplished through improved communication and common goals are improvements to Martin Luther King Boulevard in Portland. This urban arterial street is both an inner-city community main street and a state highway. Prior to the Community

Solutions process in 1996, efforts to revitalize the neighborhood were hindered by inability to reconfigure the street to be more neighborhood friendly, due partly to ODOT's lack of resources and partly to state highway design standards. Other agencies were reluctant to provide housing and development assistance without some change in the *status quo*. Shortly after the team started working on the issue, a solution emerged when ODOT agreed to change standards if the City would take responsibility for making the improvements. Since that time, street improvements and investments by ODOT and other agencies have helped to induce significant private investment along the street and make significant progress toward revitalizing the neighborhood. The presence of a local champion and the creation of a cooperative problem-solving environment were given credit as significant factors in the success of this partnership.

The Future of Planning Partnerships

Several states mentioned three aspects of planning relationships that will continue to increase in importance, and for which improved partnering tools would be valuable.

Environmental Streamlining. First is partnering with environmental and permitting agencies for the purpose of environmental streamlining. As discussed earlier, many states now have interagency agreements on environmental issues in the planning process.

Smart Growth. A second, growing area of planning partnerships will be in smart growth and access management. The States of Arkansas and Montana each have access management programs that are jointly adopted by both the DOT and the local government that controls zoning. It is interesting to note that each also establishes and enforces access management criteria at the state level. In the case of Montana, this allows district staff to negotiate project agreements with the more contentious access management issues off the table. In the words of one Montana official, this “empowers local staff to do the right thing.”

MPO Relationships. Finally, several states mentioned the value of their MPO relationships. In the case of NYSDOT, this positive relationship was one of the factors allowing them to develop effective ITS partnerships.

LONG-TERM RELATIONSHIP BUILDING

While project and program delivery were often considerations in starting nontraditional partnerships, many have taken on a character of ongoing relationship building beyond specific projects and programs. Ongoing partnering and relationship building processes result in improved communication, faster issue resolution and improved project and program delivery.

Several states have formal, ongoing partnering agreements with federal agencies. The Arizona DOT, for instance, has made use of a formal partnering process for improving relationships and resolving issues with the USFS, Bureau of Land Management (BLM), and FHWA. Several DOTs also have cooperative agreements with other state agencies as well. These agencies tend to have joint issues across a variety of topics and their partnerships aim not so much at implementation of particular projects or programs, but communication and issue resolution.

Some DOTs have also experimented with partnering agreements with nongovernmental organizations. The Utah DOT, for instance, established a formal charter and met monthly with environmental advocacy groups such as the Sierra Club. They experienced early successes as communication improved and new design options, including high occupancy vehicle (HOV) lanes and park-and-rides, were considered in project development on a major freeway extension. However, relationships cooled after lawsuits related to the Legacy Parkway were filed.

Two other ongoing partnering relationships reported by several states were with industry groups, such as consulting engineers organizations and utility companies. For instance, the

Florida DOT meets with a monthly task force of contractors and has also worked with contracting engineers on issues needing resolution, often on an informal basis. They have held a formal partnering session, produced a charter, and established performance measures.

In a particularly innovative process, the New Mexico DOT's National Quality Initiative involves federal and local agencies, consultants, and contractors in identifying barriers and solutions and conducting process analysis with regard to construction, design, and information systems. As the partnership identifies a problem, it brings in more participants who can contribute to solutions. A champion is designated and an advocate group formed. The advocacy group then develops a proposed solution. Usually, but not always, the champion is internal. New Mexico reports that they are working to make this approach the standard mode of operation.

COMMON INGREDIENTS OF SUCCESSFUL PARTNERSHIPS

Whether or not the partnerships of state DOTs involve formal partnering and relationship building, successful partnerships usually have several common characteristics:

- An environment of trust, based on communication, integrity, having the right people at the table, and an authorizing environment;
- Commitment to the relationship, based on a common interest in agreed outcomes, and identifiable clearly perceived benefits in a win/win environment;
- Commitment to the process, including project and process champions, and an agreement (usually written).

The common ingredients of successful partnering identified in the research are summarized in Figure 2. The partnering triangle, borrowed from "Partnering Measures," (3) illustrates that processes are built on relationships, and that results are built on the processes and relationships. This survey also emphasized that an environment of trust must be present for relationships to flourish and for processes to work.

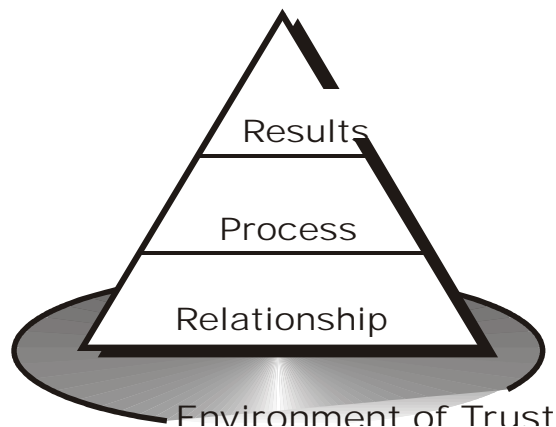


Figure 2. The Partnering Triangle. Characteristics of successful partnerships are summarized in the partnering triangle.

An Environment of Trust

An environment of trust was the most commonly mentioned element of successful partnerships. Communication, integrity, getting the right people to the table, and empowering staff were all identified as aspects of an effective partnering environment.

Communication. Timely, open communication is critical for a problem-solving process to overcome obstacles. One of the benefits of regular meetings and process review is that they create natural opportunities to communicate both achievements and problems.

It was also noted that effective communication can have different dimensions depending on geography. “Rural success is from increased involvement by district officers. In metropolitan areas, a more central approach can work – use the press to communicate. Whichever – engage and listen.”

Integrity. Honesty in communication must be followed by integrity in behavior. As one partnering expert said, “You have to do what you say, when you say.” Otherwise, lack of confidence in the other party will undermine the relationship.

The Right People – the Decision Makers – at the Table. Another important aspect of the environment of trust is having the right people at the table. One state attributed a breakdown in its partnering process with environmental agencies to the fact that the people at the table were not really the decision-makers. The state could not trust the process because it could not be confident that the people at the table really spoke for their agencies.

Authorizing Environment—Empowering Department Staff. Whether in projects, programs or ongoing relationships, DOTs need the authority and empowerment to make commitments to the partnership. Legal authority, *per se*, was not identified as a major issue in most of the partnerships reviewed. On the other hand, support or direction from the state’s chief executive, legislature, or its transportation commission is critical.

Related to the authorizing environment of the agency is the environment of trust between the central DOT administration and its field staff, which was also mentioned several times in the interviews. Both PennDOT and NYSDOT staff attributed much of their success to central direction, which is both clear and empowering. Confidence in support from the central office allows faster, more effective formation of partnerships.

Commitment to the Relationship

Commitment to the relationship depends largely on whether an environment of trust exists. But two other things also influence the degree to which participants in a partnership are willing to stay committed to the relationship: common interest in the outcomes and identifiable benefits.

Common Interest in Agreed Outcomes. The difficulty of aligning objectives and keeping the partnering relationship together has often been a problem in major planning studies and addressing environmental issues, but seldom in program level partnerships, where the association of the parties is more natural. On the other hand, the partnership between a DOT and an environmental advocacy group will not be one of vertically integrating the project delivery process, but one of working out competing objectives and searching for mutually beneficial opportunities. If these objectives are agreed in the beginning, then the outcomes can be agreed and even measurable, and the parties will be able to commit to the relationship.

Clearly Perceived Benefits to All Parties. The effort and commitment required from all participants for successful partnering can only be sustained only if there are clearly perceived benefits to the parties. Private companies often have partnership development processes that start by asking the questions, “What are the benefits to be gained from pursuing this partnership and what are the costs?” To the extent that benefits are measurable, they help to promote the program and keep it on track. Outside of construction partnering, however, few states have well-documented measures of success. While many state officials clearly perceive the benefits of public-public partnering, developing new measures that clearly communicate these benefits was a commonly identified need.

Commitment to the Process

Most of the benefits of partnering are lost when there is not commitment to the process. Among the factors that keep processes on track are champions and written agreements. Other tools used by DOTs to keep the partners with broad interests at the table include more relationship building at the front end of the process and use of a consensus process for decision-making.

The Project or Program Champion. Program partnerships especially need a proactive champion who pushes the process towards an outcome. In the case of PennDOT's Agility program, it was the Secretary of Transportation who pushed for implementation of the overall program; for local partnerships, the district managers became the champions pushing for execution of agreements in to improve the quality or efficiency of maintenance services.

The Partnering Champion. Several DOT officials made specific reference to the need for a champion to keep the partnering process on track. The role of the partnering champion is to ensure that the partners stay engaged and that the process is followed. One state requires an identified partnering champion on both sides of a partnership whenever it implements a formal partnering agreement.

Written Agreements. Key to alignment of objectives is the presence of a written agreement, whether a charter, an MOU or a contract. In most cases, working out the details of the agreement is a positive step in the alignment of objectives.

Success Breeds Success

The obvious benefits of successful partnering are improved project and program delivery, implementation of cooperative programs like ITS, and better planning decisions and processes. In addition, several states pointed out that relationships with the general public improved significantly when they implemented partnering programs with local agencies or citizen groups. PennDOT reported that partnerships with local authorities enhanced its reputation and visibility as a good neighbor as well as a state agency. The process also made PennDOT staff more aware and engaged in local issues. Two CEOs of state DOTs related the decision to get involved in public partnerships to agency image problems and reported that the partnering process helped significantly.

In partnering, success breeds success. Positive relationships with local interest groups and stakeholders are also needed to form effective partnerships, whether through formal partnering or less formal relationship building.

CHAPTER 3

TOWARD A NEW PARTNERING PARADIGM

There is clearly a need for new approaches to partnering in state DOTs. The case studies included in this research demonstrate the value of public-public partnerships within the changing environment of state DOTs. It is also clear that better partnering techniques can improve and significantly increase the benefits to be gained from partnering. The characteristics of new partnerships and partnering relationships that require different approaches from those of traditional construction partnering are:

- Multiple participants in the process;
- Cross-jurisdictional relationships;
- Peer-to-peer as opposed to buyer-seller relationships;
- Long-term nature of the new relationships;
- Willingness to work with informal or MOU frameworks; and
- Broad differences in perspective and purpose among participants.

New approaches are needed to address these characteristics. The following are suggested:

- Increased emphasis on human skills in relationship building and communication;
- More emphasis on understanding of partners' perspectives;
- Tools for identifying and building on limited shared objectives;
- New performance indicators for the partnering process;
- Model agreements;
- Dispute resolution and consensus-building tools that stress horizontal relationships as well as vertical dispute escalation; and
- Adaptability to a variety of circumstances.

Many of the partnerships described in this research did not use formal partnering processes. However, whether intuitively or deliberately they tended to adopt the principles of effective partnering. True partnering requires a degree of deliberateness – led by the partnering champion, if necessary – but also must be adaptable to new situations. That is the challenge: to develop new partnering tools that can be applied to the range of new partnering opportunities to build stronger relationships and improve program and project results.

CHAPTER 4

SUGGESTED RESEARCH

Title: A Handbook for Successful Partnering with Public Sector and Non-Traditional Partners

Purpose: Provide state DOTs with a single easy to use source of processes and tools for ongoing public-public partnerships.

Justification: Over the course of the interviews for this research, two of the most commonly identified needs for future research were (1) partnering models from outside of construction, and (2) measures of performance for public-public partnerships. These should be included in the handbook.

Significant research has been done on construction partnering and other public-private partnerships and several model processes have been documented. (4) In addition, NCHRP Report 433, *Guidelines for Developing and Maintaining Successful Partnerships for Multimodal Transportation Projects* (5), provides a useful guide in project development that includes public-public partnerships. Unfortunately, there is no single source that identifies processes and tools for ongoing public-public partnerships for state DOTs.

Estimated Cost: \$75,000

Title: Case Studies in State DOT Partnering with Public Sector and Non-Traditional Partners.

Purpose: The need for illustrative case studies was identified in interviews as a key need of state DOTs for more successful partnering.

Justification: Research into the state of practice in public-public partnerships for program delivery was identified in TRR Circular 501, “Strategic Management Research Needs for State DOTs.” (6 p39) Partnering in environmental streamlining is of particular and immediate interest to state DOTs. Other areas of partnering for which case studies would be helpful include road maintenance, regional planning and community problem solving, public transit and safety.

Cost: \$25,000 per subject area.

Title: Best Practices in Partnering with Nontraditional Organizations.

Purpose: A summary of best practices and a listing of public and non-profit organizations with partnering relationships with state DOTs would be very useful to DOTs wishing to expand public-public partnerships.

Justification: Partnering with non-traditional organizations including state environmental agencies, local road maintenance agencies and private non-profit organizations presents special opportunities and challenges to state DOTs. This research need was identified in TRR Circular 501 (6 p.43).

Cost: \$25,000

Title: Synthesis of Management Literature relevant to Public-Public Partnering

Purpose: A synthesis report of management literature that is relevant to public-public partnerships and relationship building would provide a useful background for state DOTs.

Justification: While partnering literature is heavily oriented to public-private relationships and to project delivery many of its concepts are relevant to ongoing public-public relationships.

Cost: \$20,000

Appendix A: References

- (1) “Intelligent Transportation Systems (ITS) Deployment in Texas C Innovative Institutional Arrangements.” Turnbull, K. F. and Weatherby, C. A. *Intelligent Transportation: Realizing the Future. Abstracts of the Third World Congress on Intelligent Transport Systems*, ITS America (1996).
- (2) “What is Agility,” PennDOT web published document, January 2000.
<www.dot.state.pa.us/agility/what-is-Agility.html>
- (3) Crane, T. G., P.J Felder, M.G. Thompson, and P.J. Thompson, “Partnering Measures.” *Journal of Management in Engineering*, Vol. 15, No. 2 (March 1999).
- (4) For example,
Warne, T.R., *Partnering for Success*, American Society of Civil Engineers (1994).
and
Stephenson, R.J., *Project Partnering for the Design and Construction Industry*, John Wiley and Sons, NY (1996).
- (5) Hauser, E., *Guidelines for Developing and Maintaining Successful Partnerships for Multimodal Transportation Projects*, NCHRP Report 433, National Academy Press (1999).
- (6) *Transportation Research Circular 501: Strategic Management Research Needs for State Departments of Transportation*, TRB/NRC (December 2000)

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AASHTO, The Changing State DOT, 1998.

DeBlasio, A. J., “What have We Learned about Cross-Cutting Institutional Issues?” Chapter 8, in What have We Learned about Intelligent Transportation Systems?, USDOT, FHWA, (December 2000).

Dent, S., “Partnering Intelligence: How to Profit from Smart Alliances.” *Journal for Quality and Participation*, Vol. 23, No. 3 (May 2000).

DeVilbiss, C. D. and P. Leonard, “Partnering is the Foundation of a Learning Organization.” *Journal of Management in Engineering*, Vol. 16, No. 4 (July 2000).

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Vollmer Associates, E-Zpass Evaluation Report, prepared for New York State Thruway Authority, (August 2000).

APPENDIX B: LIST OF PARTNERSHIPS AND PARTNERING RELATIONSHIPS

TABLE B1: List of Partnerships and Partnering Relationship Cited in Report

STATE	Partners	Purpose	Comments/Contacts
Project/Program			
ARIZONA			
	ADOT, FHWA, USFS, BLM	Formal partnering process to improve relationships on an ongoing basis	<i>Ginger Murdough, ADOT Executive Partnering Administrator</i>
ARKANSAS			
	Arkansas Highway and Transportation Department, MPOs, Cities	Joint decision-making on access management plans.	<i>Steve Teague, AHTD Assistant Chief Engineer for Planning</i>
FLORIDA			
Rural Economic Development Initiative (REDI)	FDOT, other state agencies, local governments	Coordinate state response to rural economic development needs.	Organized by the Governor <i>Glenda Hunter, FDOT REDI Coordinator</i>
MARYLAND			
Environmental Streamlining	Maryland State Highway Administration (SHA), FHWA, COE, EPA, FWS, NMFS, NPS, several state agencies	Streamline environmental regulatory process for transportation project	Contains formal partnering with dispute resolution process. <i>Neil Pedersen, SHA Deputy for Environment and Planning</i>
US 301 Transportation Study Task Force	SHA, 75 individuals and organizations	Form consensus on corridor strategy considering transportation, land use, economic development and environment.	Consensus process using facilitated meetings. <i>Neil Pedersen, SHA Deputy for Environment and Planning</i>

STATE	Partners	Purpose	Comments/Contacts
Project/Program			
MISSOURI			
	MoDOT, Macon County	Exchange of maintenance responsibilities for road segments	<i>Information on MoDOT web site at www.modot.state.mo.us</i>
MONTANA			
System Impact Process	MDT, Local Governments	To coordinate review of projects initiated outside of MDT that may permanently impact the transportation system.	Adoption of access management agreement by local government is a requirement. <i>Sandra Straehl , Director, MDT Program and Policy Analysis Bureau</i>
Cost Sharing on Permit Reviews	MDT, COE, FWS	Paying for staff and set priorities at USACE and USFWS for review MDT permits	Separate agreements with each agency. <i>Sandra Straehl , Director, MDT Program and Policy Analysis Bureau</i>
NEW MEXICO			
	NMHTD, federal and local transportation agencies, contractors and consultants	Identify barriers and solutions to construction, design and information system processes	Ongoing process with formal partnering. <i>Rhonda Faught, NMHTD Adjutant Deputy</i>

STATE	Partners	Purpose	Comments/Contacts
Project/Program			
NEW YORK STATE			
ITS Partnership	NYSDOT, NYCDOT	Incident response partnership between NYC Police and NYSDOT.	Response vehicles owned by NYSDOT, operated by NYCPD. <i>Ed Roberts, NYSDOT, ITS Program Manager</i>
ITS Partnership	NYSDOT, Monroe County	Deployment of traffic management system covering both state and local signals.	ATMS operated by Monroe County includes several state signals. <i>Ed Roberts, NYSDOT, ITS Program Manager</i>
ITS Partnership	NYSDOT Albany Region and State Policy	Upgrade and coordinate TMC and incident response.	2 year process led to collocation of jointly staffed TMC and incident response in Policy Headquarters. <i>Paul Cuerdin, Assistant Traffic Engineer, Albany Region</i>
“Best Bus” project	NYSDOT Albany Region, local transit authority, Albany, Schenectady, MPO, NY General Services Office	Coordinate traffic management and bus signal priority to improve traffic flow and on-time bus operation.	<i>Paul Cuerdin, Assistant Traffic Engineer, Albany Region</i>
TRANSCOM	15 traffic, transit and law enforcement agencies	Coordinate and lead deployment of ITS.	<i>Documented in reference (7, p.153)</i>

STATE	Partners	Purpose	Comments/Contacts
Project/Program			
OREGON			
Community Solutions Team	ODOT, Departments of Land Conservation and Development, Housing, Economic and Community Development, Environmental Quality, local communities	Assists local communities in finding solutions to growth and development issues. Uses regional team structure.	<i>Ron Schaad, ODOT and Governor's Community Development Office Liaison</i>
	ODOT, Jackson County Roads and Parks Services	Co-location of facilities and exchange of road maintenance activities.	<i>ODOT District 8, White City, OR</i>
PENNSYLVANIA			
Agility program	PennDOT, local governments	Coordinate efforts and exchange duties to improve efficiency.	Quantified and documented process and benefits. <i>Sherri Zimmerman PennDOT</i>
UTAH			
Legacy Parkway EIS	UDOT, FSW, FHWA, COE, EPA	Streamline environmental process.	<i>Byron Parker, Project Director</i>
	UDOT, Sierra Club, other advocacy groups	Build better relationship through regular meetings	Used formal partnering process including charter
E-ZPASS INTERAGENCY GROUP			
	16 toll agencies in seven states	Coordinate automated toll collection system.	<i>Documented in reference (8)</i>
I-95 CORRIDOR COALITION			
	12 States, 20 local and federal agencies (full members), private toll authorities and others	Address ITS solutions to shared transportation problems and challenges	<i>Extensive web site at www.i95coalition.org</i>

TABLE B2: List of Partnerships and Partnering Relationships Noted but not Cited in Report

STATE	Partners	Purpose	Comments/Contact
Project/Program			
CALIFORNIA			
	Caltrans, US-EPA	Improve project development and permitting activities	
	Caltrans, FHWA	Improve project development and permitting activities	
	Caltrans, San Francisco MPO, many transportation and environmental agencies, local governments	Improve response time in dealing with transportation issues and increase local influence in local transportation issues.	<i>Documented in NCHRP Report 371</i>
DELAWARE			
Churchman's Crossing Partnership	DelDOT, Wilmington Area Planning Council, New Castle County, community, local businesses	Analysis of local growth and transportation problems and creation of solutions	
FLORIDA			
	FloDOT, Universal Studios, Days Inns, VISIT FLORIDA, tourist orgs	Deliver tourist maps and services.	Saved \$181,000 annually
Community Traffic Teams Safety Coalition	FloDOT, Coalition of Community Safety Teams	Coordination of transportation safety efforts to increase efficiency	
Florida Freight Stakeholders Taskforce	FloDOT, Florida Freight Stakeholders Public / Private taskforce	Prioritize projects of statewide significance for intermodal needs	
Adopt a Highway	FloDOT, local groups, community	Ensure cleanup of transportation corridors	
	FloDOT, Traveler Info Radio Network	Delivery of real-time transit information.	\$12 million savings to state

STATE	Partners	Purpose	Comments/Contact
Project/Program			
IDAHO			
	ITD, WashDOT, Spokane Regional Transportation Council	Improve safety and efficiency of transportation through analysis of rail system changes	
	ITD, Idaho State Police, Ada County Highway District	Coordination of ITS activities and emergency response	
INDIANA			
Ohio River Bridges Project	INDOT, Kentucky Transportation Cabinet (KTC)	Research feasibility of transportation solutions for border cities	
TRIMARC- Traffic Response and Incident Management Assisting the River Cities	INDOT, KTC	ITS coordination in Louisville metro area	
ARTIMIS (Advanced Regional Traffic Interactive Management & Information System)	INDOT, OhioDOT, KTC	ITS coordination in Cincinnati area	
Adopt A Highway	INDOT, local orgs	Clean up roadway corridors	
	INDOT, North Indiana Commuter Transportation District	Provide commuter service	
Midwest Regional Rail Initiative	INDOT, ILDOT, IADOT, MIDOT, MODOT, MNDOT, OHDOT and others	Analyze benefits of expanded rail service	
KANSAS			
Local Partnership Program	KSDOT, local governments	Infrastructure and transportation system improvement	

STATE	Partners	Purpose	Comments/Contact
Project/Program			
MINNESOTA			
Community Roadside Landscaping Partnerships	MinnDOT, communities	Provides technical and financial assistance to communities to install landscaping on state highways.	200 projects worth \$5million in 2 years. Public and private sponsors.
ITS Partnerships	MinnDOT, Uof M, Private Companies	A variety of partnerships to develop ITS technology.	<i>Marthand Nookala, Assistant Director/Program Support Group, MinnDOT</i>
MISSOURI			
Missouri Resource Assessment Program	MODOT, University of Missouri, other MO government agencies	Develop, analyze, deliver info (GIS) effectively	
Casual Van-Pooling (and other programs)	MoDOT, Bi-State Development Agency, RideFinders	Expanded bus service and new commuter options	
Mid West Smart Work Zone Deployment Initiative	MoDOT, IADOT, NEDOT, KSDOT, FHWA, Mid-America Transportation Center	Testing, implementing new technologies to improve transportation	
MONTANA			
	MDT, local transportation organizations, Montana Justice Department, Western Transportation Institute at MSU	Development / implementation of ITS solutions, especially in rural areas	
Historic Bridge Adoption Program	MDT, local governments, communities	Recycle historic bridges (and save construction costs)	
VERMONT			
Rural Advanced travel Information Program (RATIS)	VDOT, NHDOT, MEDOT, private business	Delivery of attraction and real time transit info	
Urban Greenways Program	VDOT, VT youth conservation corps, FHWA, Urban Youth Corps Project	Delivery of transportation enhancement projects and education of youth	

STATE	Partners	Purpose	Comments/Contact
Project/Program			
WASHINGTON DC			
Partners in Motion	DCMPO, local agencies, local private organizations	Provide real-time, multimodal, route specific transit time info to travelers	