

# ARIZONA DEPARTMENT OF TRANSPORTATION CIVIL RIGHTS OFFICE

## TITLE VI NONDISCRIMINATION PROGRAM IMPLEMENTATION PLAN



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## ABOUT THE ARIZONA DEPARTMENT OF TRANSPORTATION

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The Arizona Department of Transportation (ADOT) is a multi-modal transportation agency serving one of the fastest growing areas of the country. ADOT is responsible for planning, building, and operating a complex highway system. In addition, ADOT is responsible for building and maintaining bridges and the Grand Canyon Airport. The final major component of ADOT includes the Motor Vehicle Division, which provides title, registration, and driver license services to the general public throughout the state of Arizona.

ADOT is primarily funded by the people who purchase fuel, drive or own private and commercial vehicles, or use transportation services. Individuals and businesses invest money through fuel taxes, motor carrier fees, vehicle titles vehicle registrations, and license fees, to build and operate the state's transportation systems. Additionally, ADOT is annually awarded funds by the United States Department Of Transportation (USDOT) including, Federal Highway Administration (FHWA), Federal Transit Administration (FTA), Federal Motor Carrier Safety Administration (FMCSA), and Federal Aviation Administration (FAA) to help support ADOT's agencies and programs growth.

ADOT, with the support of USDOT, is proud to have created a transportation system that creates job opportunities through planning, building, maintenance of its projects, and innovation. These projects, in turn, generate economic development and attract a varied workforce to join our community. ADOT consistently strives to successfully deliver a range of transportation projects through the efficient use of allocated funds, set by annually proposed budgets.

Although ADOT does not operate transit facilities nor does it provide transit services, FTA allocates federal funds to ADOT for the development and support of bus transportation services. ADOT 's primary responsibility is to provide fair and equitable distribution of FTA grant funding financial assistance to qualified grantees within the state of Arizona. Funding is provided to private providers, nonprofits, counties, cities, towns and Native American tribes to provide transportation services. As a recipient of federal funds through USDOT, ADOT is responsible for ensuring nondiscrimination throughout the organization; nondiscrimination policies are further described in this document. These guidelines, identified as "Title VI Nondiscrimination Implementation Program Plan" (Title VI Plan), were developed in accordance with the federal compliance guidelines. Furthermore, the Title VI Plan has been reviewed by department directors and various agency administrators who are committed to the implementation of these policies.

To request further information, please contact Felicia Beltran, Title VI Nondiscrimination Program Coordinator at (602) 712-8946.

## 1. Introduction

### Title VI Implementation Plan for FTA

This Title VI Nondiscrimination Program Implementation Plan has been adopted by the Arizona Department of Transportation and is an inclusive plan applicable to the **Federal Transit Administration**.

The Title VI Nondiscrimination Program Implementation Plan is designed to aid the Civil Rights Office to ensure Title VI compliance throughout ADOT. The document will be reviewed annually to reflect changes in law, administrators, regulations and/or policy.

A translation of this plan into alternate languages will be made available upon request. For individuals with disabilities, this document will be made available upon request in alternate formats. To obtain a copy in one of these alternate formats or for questions or concerns, please call or write:

Para obtener una copia de este documento en formatos alternativos o si tiene preguntas por favor póngase en contacto con:

Arizona Department of Transportation  
Civil Rights Title VI Program  
Attn: Title VI Nondiscrimination Program Coordinator  
206 S. 17<sup>th</sup> Avenue  
Mail Drop: 155A  
Phoenix, AZ 85007  
602-712-8946

## **TITLE VI NONDISCRIMINATION STATEMENT OF POLICY**

### **Title VI**

In compliance with Title VI and the Civil Rights Act of 1964, as amended, Section 504 of the Rehabilitation Act of 1973, and the Americans with Disabilities Act of 1990, the Arizona Department of Transportation (ADOT) assures through its policies, assurances and procedures that no person shall on the grounds of race, color, national origin or disability be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any ADOT or ADOT-sponsored program, service or activity.

### **Environmental Justice/Limited English Proficiency**

ADOT assures that every effort will be made to prevent discrimination against low-income and/or minority populations as a result of any impact of its programs or activities in accordance with Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and in Low-Income Populations. Likewise, ADOT also assures every effort will be made to provide meaningful access to persons with limited English proficiency in accordance with Executive Order 13166, improving Access to Services for Persons with Limited English Proficiency.

Questions about ADOT's Title VI Program may be directed to:

Arizona Department of Transportation  
Civil Rights Title VI Program  
Attn: Title VI Nondiscrimination Program Coordinator  
206 S. 17<sup>th</sup> Avenue  
Mail Drop: 155A  
Phoenix, AZ 85007  
602-712-8946  
Email: [civilrightsoffice@azdot.gov](mailto:civilrightsoffice@azdot.gov)

<http://www.azdot.gov/business/civil-rights/title-vi-nondiscrimination-program/title-vi-implementation>

Title VI Nondiscrimination Plan objectives:

1. To assign and clarify roles, responsibilities and procedures for ensuring compliance with Title VI of the Civil Rights Act of 1964, as amended.
2. To assure that all employees and members of the public affected by ADOT's programs and projects receive the services, benefits and opportunities to which they are entitled without regard to race, color, national origin or disability.
3. To proactively prevent discrimination and ensure nondiscrimination in all ADOT programs and activities, regardless of funding source.
4. To establish procedures to identify and eliminate discrimination when found to exist.
5. To establish procedures to review ADOT subrecipients to determine effectiveness of their Title VI related activities at all levels.
6. To provide oversight, training, and technical support for subrecipients to emphasize the importance of incorporating Title VI compliance in transportation-related programs and activities.

## **ADA/TITLE VI NONDISCRIMINATION POLICY STATEMENT**

The Arizona Department of Transportation (ADOT), as policy, assures nondiscrimination compliance on the grounds of race, color, national origin and disability as provided by Title VI of the Civil Rights Act of 1964, as amended, Section 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, 49 CFR § 21, and related authorities.

No person will be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any ADOT program or activity. Every effort will be made to ensure nondiscrimination in all of its programs and activities, whether those programs and activities are federally funded or not. ADOT's subrecipients, grant recipients, and contractors must also comply with this policy.

The ADOT Civil Rights Office and program areas will work closely to implement Title VI Nondiscrimination Program responsibilities. Therefore, each program area will take full responsibility for preventing discrimination and ensuring nondiscrimination compliance in all ADOT programs and activities.

The Director assures compliance with Title VI and delegates full authority to the Civil Rights Office to oversee and implement Title VI regulations and related nondiscrimination authorities.

By signing below, I certify that this Title VI Program Plan for FTA has been reviewed and approved by the Director of the Arizona Department of Transportation.

---

John S. Halikowski  
Director

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Date



## **2. Title VI Program Administration**

The ADOT Civil Rights Office oversees the development and implementation of Civil Rights programs for ADOT in compliance with 49 CFR Part 21 and other regulatory authorities. The administration of the Title VI programs is delegated to the Title VI Nondiscrimination Program Coordinator who is ADOT's Title VI expert. The Title VI Nondiscrimination Coordinator is assisted in the day-to-day administration of Title VI by Program Managers and Title VI Specialists.

## **3. Overview of Transit Programs**

ADOT does not operate transit facilities nor does it provide transit services. FTA funding allocated for the development and support of bus transportation is awarded to eligible grantees within the state of Arizona.

The Multimodal Planning Division within ADOT oversees FTA and state-funded transit programs. Management responsibility is designated to the Multimodal Planning Division's Transit Programs Section to administer the following programs:

- Sections 5303, 5304 and 5305: Long-term Statewide and Metropolitan Planning Grants.
- Section 5307: Urbanized Area Formula Funding Program
- Section 5310: Enhanced Mobility of Seniors and Persons with Disabilities Program (Capital, Mobility Management and Operating Awards by Region)
- Section 5311: Formula Grants for Rural Areas Program
- Section 5329 State Safety Oversight
- Section 5339: Bus and Bus Facilities

Sections 5303, 5304 and 5305 programs provide funding to support cooperative, continuous, and comprehensive planning for making transportation investment decisions in metropolitan areas and statewide.

Section 5307, The Urbanized Area Formula Funding Program makes federal resources available to urbanized areas and to governors for transit capital and operating assistance in urbanized areas and for transportation-related planning. ADOT provides funding to small urban transit programs who apply directly to FTA for these funds.

Section 5310 programs funds capital and operating expenses in each region of the state and are allocated by urban, small urban and rural apportionments.

Section 5311 programs provide administrative, capital, planning, and operating and technical assistance to support public transportation in rural areas with populations of less than 50,000 and included non-fixed route paratransit services.

Section 5329 funds the State Safety Oversight program which oversees the Light Rail and Street cars in the Greater Phoenix and Tucson areas.

Section 5339 Bus and Bus Facilities program provides capital funding to existing transit programs in the small urban and rural areas.

## **4. DISSEMINATION OF TITLE VI INFORMATION**

### **NOTICE TO THE PUBLIC**

The Arizona Department of Transportation (ADOT) provides posters, self-identification survey cards and brochures at every public hearing and meeting. These materials are available in English and Spanish. Translation into other languages is available, upon request. ADOT's Title VI Notice to the Public is posted in the front lobby of all ADOT buildings statewide and is included herein. It can also be found on ADOT's website at:

<http://www.azdot.gov/business/civil-rights/title-vi-nondiscrimination-program/title-vi-implementation>



## ADOT'S NONDISCRIMINATION NOTICE TO THE PUBLIC

The Arizona Department of Transportation (ADOT) hereby gives public notice that it is the Agency's policy to assure full compliance with Title VI of the Civil Rights Act of 1964, Title II of the Americans with Disabilities Act of 1990 (ADA), and other related authorities in all of its programs and activities.

ADOT's Title VI and ADA Programs require that no person shall, on the grounds of race, color, national origin, or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity.

Any person, who believes his/her Title VI or ADA rights have been violated, may file a complaint. Any such complaint must be in writing and filed with the ADOT Civil Rights Office within one hundred eighty (180) days following the date of the alleged discriminatory occurrence. For additional information about ADOT's Civil Rights programs and the procedures to file a complaint contact ADOT Civil Rights Office via the information listed below:

## AVISO PÚBLICO DE LA LEY DE NO-DISCRIMINACIÓN DE ADOT

El Departamento de Transporte del Estado de Arizona (ADOT) informa al público que esta agencia tiene como regla asegurar el cumplimiento total del Título VI de la Ley de los Derechos Civiles de 1964, del Título II de la Ley de ciudadanos Americanos con Discapacidades de 1990 (ADA) y otras normas relacionadas con todos sus programas y actividades.

Los programas del Título VI y ADA de ADOT exigen que a ninguna persona se le excluya de participar, se le nieguen beneficios o de ninguna otra manera sea sujeta a discriminación en ningún programa o actividad de ADOT por motivo de raza, color, país de origen, o discapacidad.

Cualquier persona que crea que se han violado sus derechos bajo el Título VI o el ADA, puede presentar una queja. Esta queja debe presentarse por escrito a la Oficina de Derechos Civiles de ADOT dentro de ciento ochenta (180) días a partir de la fecha en que se alega que ocurrió la discriminación. Para recibir más información sobre los programas de Derechos Civiles de ADOT y los procedimientos para presentar una queja, por favor póngase en contacto con la Oficina de Derechos Civiles de ADOT a través la información que aparece abajo:

**FELICIA BELTRAN**  
TITLE VI NONDISCRIMINATION  
PROGRAM COORDINATOR  
FBELTRAN@AZDOT.GOV

**KRYSTAL SMITH**  
ADA/NONDISCRIMINATION  
PROGRAM COORDINATOR  
KSMITH2@AZDOT.GOV

**ADOT Civil Rights Office**  
206 S. 17th Avenue, Mail Drop 155-A  
Phoenix, AZ 85007  
602.712.8946  
602.239.6257 FAX  
azdot.gov

## 5. LEP PLAN (LANGUAGE ACCESS PLAN)

The Arizona Department of Transportation (ADOT) will be innovative and proactive in engaging individuals from different cultures, backgrounds, and businesses throughout its programs and activities. Limited English Proficiency (LEP) is a term used to describe individuals who do not speak English as their primary language and who have a limited ability to read, speak, write, or understand English. ADOT's LEP/Language Access Plan is designed to comply with Title VI of the Civil Rights Act of 1964 and Executive Order 13166 which prohibits recipients of Federal financial assistance from discrimination based on national origin.

### Authorities

The following matrix illustrates legal and policy considerations that require ADOT to provide LEP persons with meaningful access to programs, activities, and services.

Title VI of the Civil Rights Act of 1964	Limited English Proficiency Executive Order 13166
Federal law	Federal policy
Enacted July 2, 1964	Signed August 11, 2000
Considers all persons	Considers eligible population
Contains monitoring and oversight compliance review requirements	Contains monitoring and oversight requirements
Factor criteria is required, no numerical or percentage thresholds	Factor criteria is required, no numerical or percentage thresholds
Provides protection on the basis of race, color, and national origin  Focuses on eliminating discrimination in federally- funded programs	Provides protection on the basis of national origin; focuses on providing LEP persons' federally-funded programs with meaningful access to services using factor criteria

### ROLES AND RESPONSIBILITIES

Recipients of federal financial assistance are required to take reasonable steps to provide LEP individuals with meaningful access to their programs, activities, and services (EO 13166). The following chart, although not exhaustive, illustrates activities and responsibilities that are required to adhere to LEP directives. The chart also outlines the responsibilities of the Civil Rights Office (CRO) and the various ADOT Program Areas. Each program area will be responsible for conducting a Four Factor Analysis and ensuring compliance with LEP requirements on a project by project basis.

Activity	Responsibility ADOT Division / Program	Title VI Program
1. Assessing and addressing the needs of eligible persons (Conduct a Four Factor Analysis)	X	

2. Taking reasonable steps or ensuring that responsible steps are taken to ensure meaningful access	X	
3. Developing and implementing monitoring control mechanisms to ensure delivery of service and ongoing compliance	X	X
4. Compliance, monitoring, and oversight	X	X
5. Providing technical assistance and guidance		X
6. Reporting accomplishments and goals	X	X

Program Areas will use the following LEP Four Factor Analysis.

**Factor 1:** Identify the number or proportion of LEP persons eligible to be served or likely to be encountered by an ADOT Program/Project

**Factor 2:** Identify the frequency in which LEP persons encounter the ADOT Program/Project

**Factor 3:** Identify the nature and importance of program, activity or service provided by the ADOT Program/Project

**Factor 4:** Identify available resources, including language assistance services varying from limited to wide ranging with varying costs by the ADOT Program/Project

#### AGENCY LEP FOUR-FACTOR ANALYSIS

(NOT INTENDED TO RELINQUISH EACH PROGRAM AREA'S RESPONSIBILITY TO CONDUCT THIS ANALYSIS ON A PROJECT BY PROJECT BASIS)

In developing this plan, ADOT undertook a U.S. Department of Transportation four-factor LEP analysis which considers the following:

- 1) The number or proportion of LEP persons eligible in Arizona who may be served or likely to encounter ADOT programs, activities, or services. Based on Arizona populations, Spanish and Navajo have been identified as the highest LEP languages and thus most likely to be encountered. The following chart identifies the languages by county that meet the Safe Harbor Threshold: LEP language group that constitutes 5% or 1,000, whichever is less, of the population of persons eligible to be served or likely to be affected or encountered.

State of Arizona Limited English Proficient Populations that meet the *Safe Harbor Threshold by Counties				
County	Language	Percent	Speak English less than "very well"	Total Population
Apache	Navajo	10.97%	7,289	66,467
Cochise	Spanish or Spanish Creole	8.56%	10,387	121,324
Coconino	Navajo	3.73%	4,792	128,315
Coconino	Spanish or Spanish Creole	2.04%	2,618	128,315
Gila	Spanish or Spanish Creole	2.32%	1,162	50,166
Graham	Spanish or Spanish Creole	4.05%	1,396	34,459
Greenlee	N/A	N/A	N/A	8,389

<b>La Paz</b>	Spanish or Spanish Creole	8.12%	1,575	19,403
<b>Maricopa</b>	Spanish or Spanish Creole	7.49%	280,415	3,745,433
<b>Maricopa</b>	Chinese	0.28%	10,653	3,745,433
<b>Maricopa</b>	Vietnamese	0.28%	10,582	3,745,433
<b>Maricopa</b>	Arabic	0.16%	5,890	3,745,433
<b>Maricopa</b>	Tagalog	0.13%	5,010	3,745,433
<b>Maricopa</b>	Other Asian languages	0.11%	4,225	3,745,433
<b>Maricopa</b>	African languages	0.11%	4,173	3,745,433
<b>Maricopa</b>	Korean	0.09%	3,388	3,745,433
<b>Maricopa</b>	Serbo-Croatian	0.08%	2,839	3,745,433
<b>Maricopa</b>	Other Indo-European languages	0.06%	2,367	3,745,433
<b>Maricopa</b>	Persian	0.06%	2,294	3,745,433
<b>Maricopa</b>	French	0.06%	2,137	3,745,433
<b>Maricopa</b>	Other Indic languages	0.06%	2,118	3,745,433
<b>Maricopa</b>	Other and unspecified languages	0.05%	1,932	3,745,433
<b>Maricopa</b>	Russian	0.04%	1,633	3,745,433
<b>Maricopa</b>	German	0.04%	1,624	3,745,433
<b>Maricopa</b>	Other Pacific Island languages	0.04%	1,456	3,745,433
<b>Maricopa</b>	Japanese	0.04%	1,314	3,745,433
<b>Maricopa</b>	Thai	0.03%	1,243	3,745,433
<b>Maricopa</b>	Polish	0.03%	1,124	3,745,433
<b>Maricopa</b>	Hindi	0.03%	1,124	3,745,433
<b>Maricopa</b>	Navajo	0.03%	1,116	3,745,433
<b>Mohave</b>	Spanish or Spanish Creole	3.31%	6,410	193,644
<b>Navajo</b>	Navajo	6.36%	6,340	99,646
<b>Navajo</b>	Spanish or Spanish Creole	1.55%	1,549	99,646
<b>Navajo</b>	Other Native North American languages	1.29%	1,284	99,646
<b>Pima</b>	Spanish or Spanish Creole	6.77%	63,489	938,413
<b>Pima</b>	Chinese	0.30%	2,817	938,413
<b>Pima</b>	Vietnamese	0.18%	1,688	938,413

<b>Pima</b>	Arabic	0.13%	1,175	938,413
<b>Pinal</b>	Spanish or Spanish Creole	5.42%	19,739	364,260
<b>Santa Cruz</b>	Spanish or Spanish Creole	26.54%	11,576	43,619
<b>Yavapai</b>	Spanish or Spanish Creole	3.05%	6,300	206,720
<b>Yuma</b>	Spanish or Spanish Creole	22.75%	42,727	187,835

**Source: U.S. Census Bureau (2015). Language Spoken at Home by Ability to Speak English for the population 5 years and over, 2011-2015 American Community Survey 5-Year estimates. Retrieved July 23, 2018 from [https://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=ACS\\_15\\_5YR\\_B16001&prodType=table](https://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=ACS_15_5YR_B16001&prodType=table).**

*\*Safe Harbor Threshold: LEP language group that constitutes 5% or 1,000, whichever is less, of the population of persons eligible to be served or likely to be affected or encountered.*

2) The frequency with which LEP individuals come in contact with ADOT programs and services. ADOT program areas identified to have the highest public interactions are listed below:

- Motor Vehicle Division
  - Customer Services
  - Specialty Registration and Licensing Program
  - Division Operational Support Services
- Communications
  - Community Relations
  - Public Information
- Enforcement and Compliance Division
  - Office of Inspector General
  - Enforcement Services Program
- Policy Advisor to the Director
  - Executive Hearings Office
  - Business Engagement and Compliance Office
- Business Operations
  - Civil Rights Office
  - Human Resources
- Administrative Services Division
  - Audit and Analysis
  - Procurement
  - Grand Canyon Airport
- Infrastructure Delivery and Operations Division (IDO)
  - Engineering Consultant Section
  - Construction Group

- Environmental Planning Group
  - Right of Way
- Transportation Systems Management and Operations (TSMO)
  - Maintenance
  - Emergency Preparedness and Management
- Multimodal Planning Division
  - Transit
  - Aeronautics
  - Tribal Planning and Coordination
  - Pedestrian and Bicycle Programs
  - Research
  - Studies and Programs
  - Corridor Planning
  - Long Range Planning
  - Priority Planning

3) The nature and importance of the program, activities or services provided by ADOT to the LEP population.

All of ADOT's programs are important; however, ADOT has identified those related to safety, public transit, ROW, environment, nondiscrimination, public involvement and communication are among the most important.

As such, publications and other material disseminated regarding these programs are routinely available in both English and Spanish. ADOT will strive to provide alternative but meaningful accessibility to all LEP populations. Moreover, ADOT will evaluate its programs, services and activities to ensure that persons who may be LEP are always provided with meaningful access.

4) The resources available to ADOT and overall cost to provide LEP assistance.

ADOT makes every effort to make its programs, services and activities accessible to LEP individuals. ADOT proximately displays Title VI Nondiscrimination Notices to the Public within its facilities, public rest areas, and at public meetings. Additionally, Title VI/ADA Complaint Procedures, and Title VI Informational Brochures are distributed by program areas that come into contact with the public in both English and Spanish. Nondiscrimination language in both English and Spanish is also displayed on external notices/communications to the public to request language assistance. ADOT will continue to use available resources, both internal and external, to accommodate reasonable requests for translation and interpretation services free of cost, regardless of the language, when requested within reasonable notice.



ADOT CRO has identified and proposes the following resources for LEP:

- 1) List containing direct contact information for staff who have volunteered to assist as interpreters and/or translators, if needed. Lists will be verified and updated annually for each program area by the Title VI Liaison. This list will be published on ADOTNet under the "Title VI Resources" tab for all ADOT employees to access.
- 2) Program areas that have contact with the public will use the US Census "I Speak" language cards to identify language needs in order to match them with available services. Language cards will be verified and distributed annually by the program area Title VI Liaison.
- 3) Use of web based translation and telephonic interpretation services under contract with ADOT, when required.
- 4) Each program area will maintain a list of translation services for use, when required.

ADOT CRO makes the below Title VI information, available in Spanish:

- 1) Title VI and Nondiscrimination Notice to the Public.
- 2) Complaint Procedures.
- 3) Complaint Form.
- 4) Title VI Informational Brochures.
- 5) Self-Identification Cards to obtain demographic data.
- 6) Outgoing voice message for CRO's main phone line.

## **SAFE HARBOR STIPULATION**

Federal law provides a “Safe Harbor” stipulation, based on the United States Department of Justice’s (DOJ) guidance, so that recipients such as ADOT can ensure with greater certainty that they comply with their obligations to provide written translations in languages other than English. A “safe harbor” means that if a recipient (ADOT) provides written translations in certain circumstances; such action will be considered strong evidence of compliance with the agency’s written-translation obligations under Title VI.

The failure to provide written translations under the circumstances does not mean there is noncompliance, but rather, provides a guide for recipients that would like greater certainty of compliance that can be provided by a fact-intensive, four factor analysis. For example, even if a safe harbor is not used, if written translation of a certain document(s) would be so burdensome as to defeat the legitimate objectives of its program, it is not necessary. Other ways of providing meaningful access, such as effective oral interpretation of certain vital documents, might be acceptable under such circumstances.

Strong evidence of compliance with the recipient’s written-translation obligations under ‘safe harbor’ includes providing written translations of vital documents for each eligible LEP language group that constitutes 5% or 1,000, whichever is less, of the population of persons eligible to be served or likely to be affected or encountered.

This safe harbor provision applies to the translation of written documents only. It does not affect the requirement to provide meaningful access to LEP individuals through competent oral interpreters where oral language services are needed and are reasonable.

## **CONCLUSION**

ADOT understands that language needs will change as the Arizona population changes. Further, ADOT will comply with the requirement to assess its programs and services each year and on a project by project basis to determine compliance with various nondiscrimination regulations. As such, ADOT will revisit the LEP plan each year and make appropriate changes, as needed. For questions or concerns regarding the ADOT’s commitment to nondiscrimination or to request additional information about LEP services, contact Felicia Beltran, Title VI Non-Discrimination Coordinator at [civilrightsoffice@azdot.gov](mailto:civilrightsoffice@azdot.gov), 602-712-8946.

## **LEP GUIDANCE AND RESOURCES**

The guidance document and the resources listed below are provided to assist program areas with implementing LEP requirements and may be used in conjunction with this LEP Plan.

- [The U.S. Department of Transportation Guidance to Recipients on Special Language Services to Limited English Proficient Beneficiaries, Federal Register/Vol. 66, No. 14/Monday, January 22, 2001.](#)

- [The U.S. DOJ Policy Guidance, Enforcement of Title VI of the Civil Rights Act of 1964-National Origin Discrimination Against Persons With Limited English Proficiency, Federal Register/Vol. 65, No. 159/Wednesday, August 16, 2000](#)
- [U.S. Department of Justice Clarifying Memorandum, dated October 26, 2001](#)
- [United States Census 2000 Language Identification Flashcard](#)
- [LEP.gov website](#)

## 6. NONDISCRIMINATION COMPLAINT PROCEDURES FOR FTA PROGRAMS

These procedures apply to all complaints filed under Title VI of the Civil Rights Act of 1964, as amended, Section 504 of the Rehabilitation Act of 1973, and the Americans with Disabilities Act of 1990 as they relate to any program or activity administered by ADOT or its subrecipients funded by the Federal Transit Administration. Intimidation or retaliation as a result of a complaint is prohibited by law.

In addition to these procedures, complainants reserve the right to file formal complaints with other state or federal agencies or to seek private counsel for complaints alleging discrimination. Every effort will be made to resolve complaints informally at the ADOT and subrecipient level.

### PROCEDURES

- A. Any person, specific class of persons or entity that believes they have been subjected to discrimination on the basis of race, color, national origin, or disability may file a formal complaint with ADOT's Civil Rights Office. A copy of the Complaint Form may be accessed electronically in English or Spanish at: <http://www.azdot.gov/business/civil-rights/title-vi-nondiscrimination-program/fta-subrecipient-programs>
- B. The complaint must be filed within 180 days of the alleged discrimination, and include the date the alleged discrimination became known to the complainant or the last date of the incident.
- C. The complaint must be written and signed by the complainant and shall include:
  - The Complainant(s) name, address and phone number
  - A detailed description of the alleged incident that led the complainant to believe discrimination occurred
  - The date of the alleged act of discrimination, the date when the complainant(s) became aware of the alleged discrimination, the last date of the conduct or the date or the date the conduct was discontinued
  - The names and job titles of those parties involved in the complaint
  - The facts and circumstances surrounding the alleged discrimination and the basis of the complaint (i.e., race, color, national origin or disability)
  - Names and contact information of persons whom the investigator can contact for additional information to support or clarify the allegations
  - The corrective action being sought by the complainant

- D. Complaints may be filed by one of the following methods:
- By completing and signing the Complaint Form and delivering it in person or by mail
  - By emailing or faxing the Complaint Form and sending the signed original to the CRO
  - By calling the CRO where information obtained will be used to complete the Complaint Form and, subsequently, forwarded to the complainant for review, signature and return
  - By electronically submitting and digitally signing the Complaint Form
- E. Upon receipt of a completed complaint, the CRO will determine jurisdiction, acceptability or need for additional information and, within five days, acknowledge receipt of the complaint and the intended course of action.
- F. For acceptance, a complaint must be
1. Timely filed
  2. Involve a covered basis (i.e., race, color, national origin or disability)
  3. Within ADOT's authority
- G. Complaints may be dismissed if the complainant:
1. Requests the withdrawal of the complaint
  2. Fails to respond to repeated requests for additional information
  3. Fails to cooperate in the investigation
  4. Cannot be located after reasonable attempts to reach the complainant have been made
- H. ADOT CRO will maintain a confidential log of all accepted and/or forwarded Title VI Complaints which will include:
1. Name of complainant(s)
  2. Date the complaint was received
  3. Date of the allegation
  4. Description of the alleged discrimination
  5. Other relevant information, as needed
  6. Report date
  7. Recommendations
  8. Outcome/Disposition
  9. Upon accepting a complaint, the CRO investigator will:
  10. Provide the respondent an opportunity to respond to the allegations. The respondent will have 10 calendar days from the CRO's written notification to furnish a written response
  11. Determine if more information is needed to resolve a case and may contact the complainant who will then have 10 calendar days to provide additional information
- I. Within 45 days of accepting a complaint, an ADOT Investigator will
1. Gather all relevant information in a fair and impartial manner
  2. Conduct interviews of all concerned parties
  3. Prepare a final investigative report with a recommended disposition.

- J. Upon final determination, one of two letters will be issued to the complainant:
- A closure letter summarizing the allegations stating that there was no discrimination violation and that the case will be closed
  - A Letter of Finding summarizing the allegations and the interviews regarding the alleged incident and explaining whether any additional action, additional training of the staff or other action will occur
- K. All allegations of discrimination will be taken seriously and every effort will be made to provide a fair and unbiased determination. In instances where there is dissatisfaction with ADOT's determination, the complainant may file a complaint directly with:

**US Department of Transportation, Federal Transit Administration**  
FTA Office of Civil Rights, 1200 New Jersey Ave. SE, Washington, DC 20590

For questions or to file a complaint, please contact:

ADOT Civil Rights Office  
Felicia Beltran Title VI Non-Discrimination Coordinator  
206 S. 17<sup>th</sup> Avenue  
Phoenix, AZ 85007  
Phone: 602-712-8946

If information is needed in another language, please contact ADOT's Civil Rights Office at 602-712-8946.

Si se necesita información en Español, por favor comuníquese con la Oficina de Derechos Civiles de ADOT al 602-712-8946.

The Complaint Form in English and Spanish is included herein and a link to the Complaint Process can be found at:

<https://azdot.gov/business/civil-rights/title-vi-nondiscrimination-program/fta-funded-programs>



## Nondiscrimination Complaint Form for FTA Funded Programs

Note: *The following information is needed to assist in processing your complaint.*

### Complainant's Information:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Home Phone Number: \_\_\_\_\_ Alternate Phone Number: \_\_\_\_\_

Person discriminated against (someone other than complainant):

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Home Phone Number: \_\_\_\_\_ Alternate Phone Number: \_\_\_\_\_

Which of the following best describes the reason you believe the discrimination took place?  
Please be specific.

☐ Race \_\_\_\_\_ ☐ Color \_\_\_\_\_ ☐ National Origin \_\_\_\_\_

☐ Disability \_\_\_\_\_

On what date(s) did the alleged discrimination take place? \_\_\_\_\_

Where did the alleged discrimination take place? \_\_\_\_\_

What is the name and title of the person(s) who you believe discriminated against you (if known)?

\_\_\_\_\_  
\_\_\_\_\_

Describe the alleged discrimination. Explain what happened and who you believe was responsible. (If additional space is needed, add a sheet of paper).

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



List names and contact information of persons who may have knowledge of the alleged discrimination.

If you have filed this complaint with any other federal, state, or local agency, or with any federal or state court, check all that apply.

☐ Federal Agency   ☐ Federal Court   ☐ State Agency   ☐ State Court   ☐ Local Agency

Name: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
Phone Number: \_\_\_\_\_ Alternate Phone Number: \_\_\_\_\_

Please sign below. You may attach any written materials or other information you think is relevant to your complaint.

\_\_\_\_\_  
Complainant Signature                      \_\_\_\_\_                      Date                      Number of attachments: \_\_\_\_\_

Please email form and any additional information to:

ADOT Civil Rights Office  
[CivilRightsOffice@azdot.gov](mailto:CivilRightsOffice@azdot.gov)  
ATTN: ADA/Title VI Nondiscrimination Program Coordinator  
206 S. 17th Avenue, Maildrop 155A  
Phoenix, AZ 85007  
Phone: 602.712.8946   Fax: 602.239.6257  
[www.azdot.gov](http://www.azdot.gov)



**Forma Para Poner una Queja de discriminación bajo FTA  
(De acuerdo con ADA y Título VI)**

*Nota: La siguiente información se necesita para procesar su queja.*

**Información de la persona que está poniendo la queja:**

Nombre: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad/Estado/Código Postal: \_\_\_\_\_  
Teléfono (Casa): \_\_\_\_\_  
Teléfono (Alternativo): \_\_\_\_\_

**Persona A La Que Se Discriminó (alguien que no sea la persona que está poniendo la queja)**

Nombre: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad/Estado/Código Postal: \_\_\_\_\_  
Teléfono (Casa): \_\_\_\_\_  
Teléfono (Alternativo): \_\_\_\_\_

**¿Cuál de las siguientes razones describe por lo que usted siente que se le discriminó?**

Raza (Especifique) \_\_\_\_\_

Color (Especifique) \_\_\_\_\_

Nacionalidad (Especifique) \_\_\_\_\_

Incapacidad (Especifique) \_\_\_\_\_

**¿En qué fecha(s) sucedió la discriminación?** \_\_\_\_\_

**¿Dónde sucedió la presunta discriminación?** \_\_\_\_\_

**¿Qué es el nombre y título de la persona o personas que usted cree discriminaron contra usted?**

\_\_\_\_\_  
\_\_\_\_\_

**Describa la presunta discriminación. Explique qué sucedió y quién cree usted que fue responsable (si necesita más espacio, agregue otra hoja).**



\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Escriba una lista con los nombres de las personas que puedan tener conocimiento de la presunta discriminación y cómo contactarlas.

\_\_\_\_\_

\_\_\_\_\_

¿Ha presentado esta queja con otra agencia federal, estatal o local, o con cualquier corte federal o estatal? Marque todas las que apliquen.

Agencia Federal \_\_\_\_\_ Corte Federal \_\_\_\_\_ Agencia Estatal \_\_\_\_\_  
Corte Estatal \_\_\_\_\_ Agencia Local \_\_\_\_\_

Por favor proporcione información de la persona a la que presentó su queja en la agencia/corte.

Nombre: \_\_\_\_\_  
Dirección: \_\_\_\_\_  
Ciudad/Estado/Código Postal: \_\_\_\_\_  
Teléfono (Casa): \_\_\_\_\_  
Teléfono (Alternativo): \_\_\_\_\_

Por favor firme abajo. Puede incluir cualquier material escrito u otra información que usted crea que es importante para probar su queja.

\_\_\_\_\_

Firma de la Persona que presenta la queja      Fecha

Número de: \_\_\_\_\_

Someta la forma y cualquier información adicional a:

ADOT Civil Rights Office  
[CivilRightsOffice@azdot.gov](mailto:CivilRightsOffice@azdot.gov)  
ATTN: ADA/Title VI Nondiscrimination Program Coordinator  
206 S. 17th Avenue, Mail drop 155A  
Phoenix, AZ 85007  
Phone: 602.712.8946 Fax: 602.239.6257  
[www.azdot.gov](http://www.azdot.gov)

## 7. TITLE VI INVESTIGATIONS, COMPLAINTS AND LAWSUITS

ADOT maintains a list of any investigations, complaints or lawsuits that allege discrimination on the basis of race, color and/or national origin in transit-related activities and program. A copy of the Investigation, Complaint and Lawsuit Log is maintained by the Civil Rights Office and is available for review upon request. Below is a copy of the Investigation, Complaint and Lawsuit Log for FTA.

### LIST OF FTA RELATED INVESTIGATIONS, LAWSUITS AND COMPLAINTS 2017 – 2020

Complainant	Date (Month, Day, Year)	Basis of Complaint (Race, Color, National Origin or Disability)	Status	Action(s) Taken
<b>Investigations</b>				
None				
<b>Lawsuits</b>				
None				
<b>Complaints</b>				
1)N/A	10/17/18	National Origin (LEP)	Closed	Dismissed
2) Stefan Dahlstet	12/12/18	Race	Closed	Dismissed

## **8. TRANSPORTATION BOARDS AND COMMITTEES**

ADOT does not currently have any transit-related, non-elected planning boards, advisory councils or committees or similar committees. Should ADOT form a transit-related decision-making body, every effort would be made to encourage the participation of minorities to ensure the board, council or committee is representative of the demographics of the communities they serve. Transit related committees would be subject to ADOT's Public Meeting Policy which directs that all public meetings be conducted in accordance with Arizona's Open Meeting law, Title VI of the Civil Rights Act of 1964, Executive Order 13166 and the Americans with Disabilities Act of 1990.

## **9. ADOT TRANSIT PROGRAM AREAS**

### **MULTIMODAL PLANNING DIVISION**

ADOT's Multimodal Planning Division (MVD) oversees transit programs within ADOT and management responsibility is delegated to the Transit Programs Section which administers, distributes and oversees funding provided to ADOT by the Federal Transit Administration.

### **TRANSIT PROGRAMS SECTION**

ADOT's Transit Programs Section staff members coordinate with other divisions within ADOT to oversee and provide program specific oversight including Title VI as required by FTA. The CRO offers support to program areas to help ensure that all transit-related services and benefits are distributed in an equitable manner and to help prevent discrimination based on race, color and national origin.

Transit Programs Section staff work directly with regional transportation planning agencies statewide to solicit, review and award grant applications under the Coordinated Mobility Program. Urban areas are represented by metropolitan planning organizations (MPO) while urban areas are represented by councils of governments (COG).

## **10. STATEWIDE PLANNING**

### **FUNDING PROGRAMS**

The following information from the ADOT Transit Programs Section describes processes relative to FTA grant applications and allocation.

ADOT manages the Elderly Individuals and Disabilities (Section 5310) Program and the Formula Grants for Rural Areas Program (Section 5311) and all other FTA funds passed through to subrecipients without regard to race, color

or national origin and assures that minority populations are not being denied the benefits of or excluded participation in these programs.

**Section 5303, 5304 and 5305:** Long-term Statewide and Metropolitan Planning Grants provide funding to support cooperative, continuous, and comprehensive planning for making transportation investment decisions in metropolitan areas and statewide

**Section 5307:** Urbanized Area Formula Grants for communities with populations between 50,000 and 200,000. Section 5307 Formula Grants are provided through the state to the designated or direct recipient or each small urban area. ADOT also recaptures unused funds and awards these through a pooled grant application. As with all grant requests, requests are ranked and awarded as funds are available and within the considerations of ensuring geographic fairness, social justice, and Title VI considerations.

**Section 5310:** The FTA Section 5310 Grant Program, Enhanced Mobility of Seniors and Individuals with Disabilities, is a grant program that provides and strengthens the transportation services available to meet the mobility needs of seniors and individuals with disabilities. It is recognized that these populations have transportation needs which are often not met by conventional automobile or public transportation, and require specialized assistance in order to access services, employment, and medical care. All Section 5310 projects must provide service to seniors (65 years and over) and/or persons with disabilities of all ages.

ADOT manages the 5310 program, funding such projects as capital equipment purchases (predominately paratransit van and bus replacements); reimbursement of staffing and training costs under mobility management, reimbursement of preventative maintenance costs, and the reimbursement of operating expenses such as driver salaries, fuel and insurance. ADOT purchases capital equipment on behalf of the subrecipients in accordance with FTA and State procurement regulations.

**Section 5311:** The 5311 Grant Program supports general public transportation in rural areas. The program funds administration, operating, preventative maintenance, intercity bus, and capital needs. New agencies require a transit feasibility study to be eligible to apply for the funding.

**Section 5329: State Safety Oversight: FTA provides funds to ADOT** to oversee safety at rail transit systems. Currently Arizona has two rail transit systems: Valley Metro Light Rail in the Phoenix metropolitan area and SunLink in the Tucson Metropolitan area. ADOT is the designated state safety oversight agency for Arizona and utilizes the 5329 funding to staff the program and provide consulting services as needed.

**Section 5339:** Bus and Bus Facilities Small Urban and Rural Public Transit Grantees are eligible to request funding through a grant request. Because a small urban pool set-aside is included, these funds are kept for the small urban areas. Rural public transit agencies may apply for the statewide portion. Small urban recipients must apply directly to FTA for the funding upon award. ADOT will apply to FTA for the rural funds. All applications are ranked and

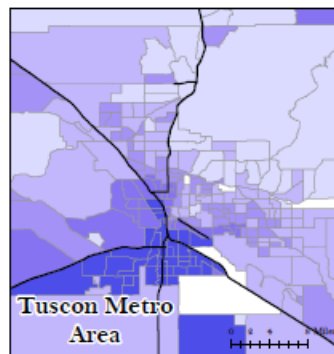
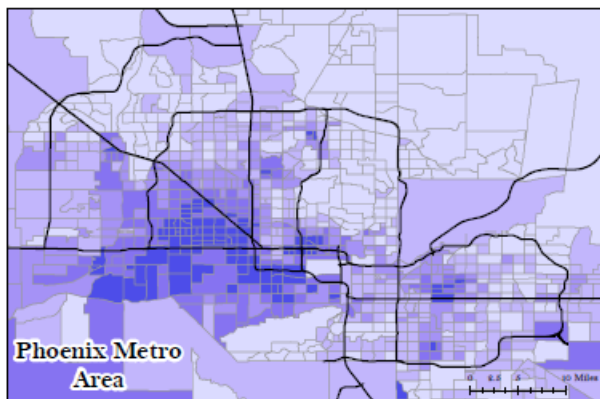
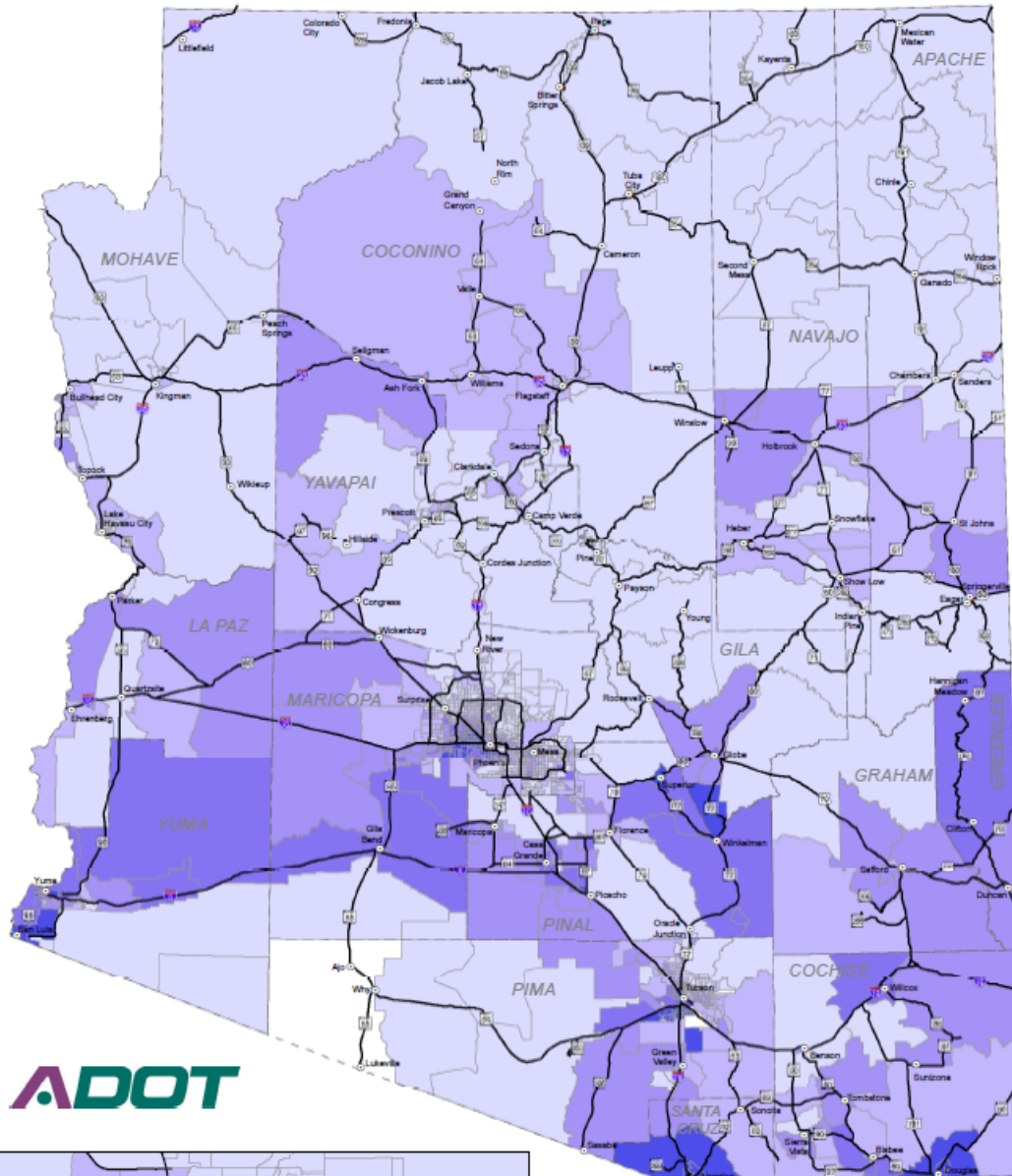
funding is considered based upon rank, and the priorities established through a consultative process including their continued compliance with their other public transit program funds.

## **DEMOGRAPHICS**

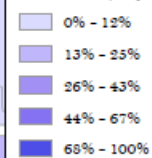
The ADOT MPD GIS Unit has developed demographic maps that overlay the percent minority and non-minority populations as identified by Census or American Community Survey data at the Census Tract level. Demographic maps for the following populations are included below.

- Hispanic
- Asian
- Black or African American
- Hawaiian and Other Pacific Islander
- Two or More Races
- American Indian and Alaska Native
- Other
- White

## Title VI: Populations - Census Tract Group Percentage

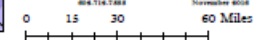


### Group Percentage: Hispanic or Latino (Any Race)

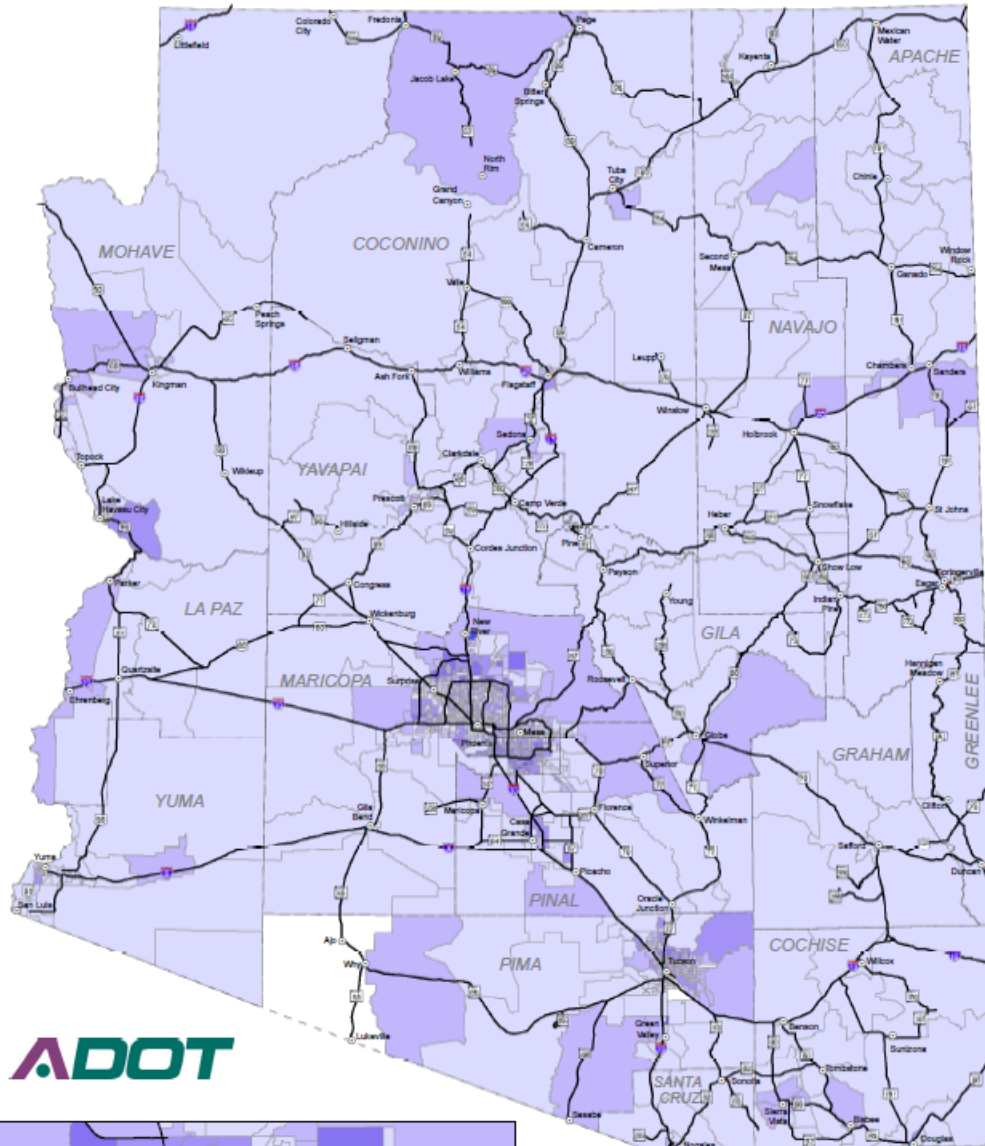


Note:  
The State of Arizona makes no claim concerning the accuracy of this map nor assumes any liability resulting from the use of the information herein.

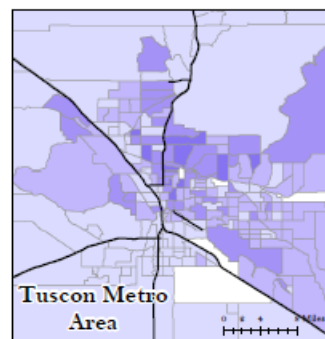
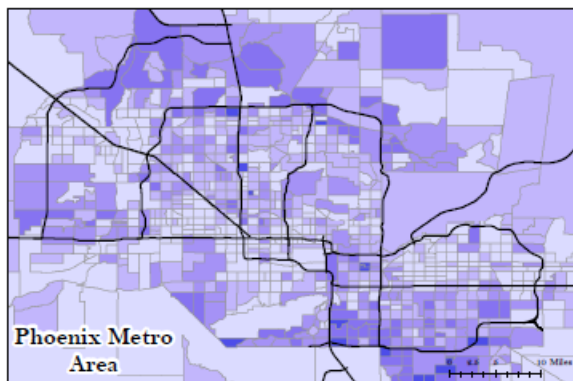
Prepared by:  
Arizona Department of Transportation  
Multimodal Planning Division  
Transportation Analysis GIS Section  
06/11/2008 November 2008



## Title VI: Populations - Census Tract Population Percentage (Race)



**ADOT**



### Race Percentage: Asian

- 0% - 2%
- 3% - 4%
- 5% - 8%
- 9% - 16%
- 17% - 40%

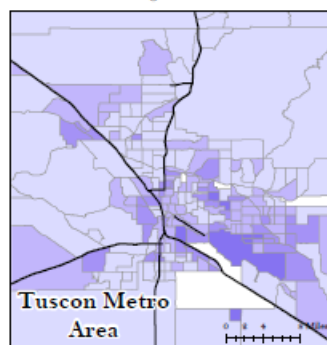
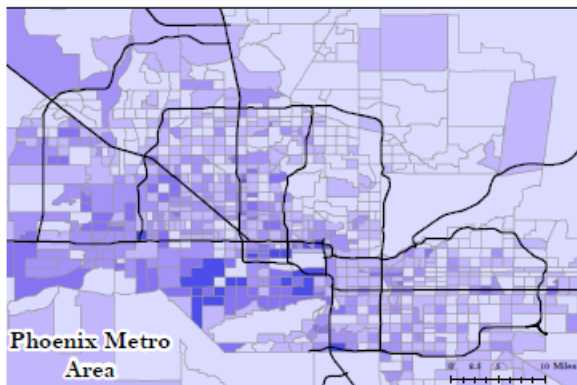
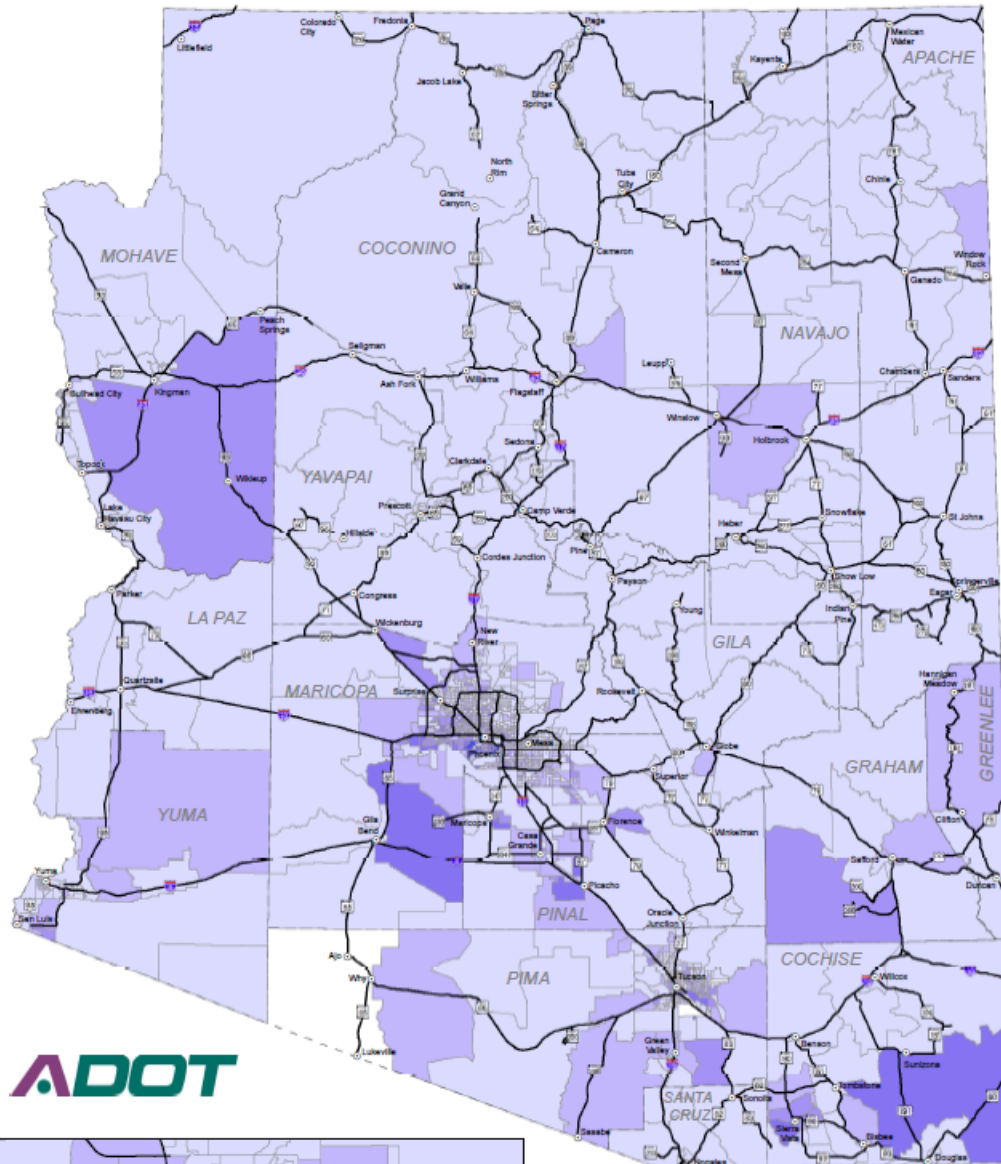
Note:  
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resulting from the use of the information herein.

Prepared by:  
Arizona Department of Transportation  
Multimodal Planning Division  
Transportation Analysis GIS Section  
608 NIA 1000 November 2010

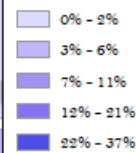
0 10 20 40 Miles



## Title VI: Populations - Census Tract Population Percentage (Race)

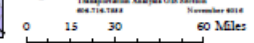


### Race Percentage: Black or African American



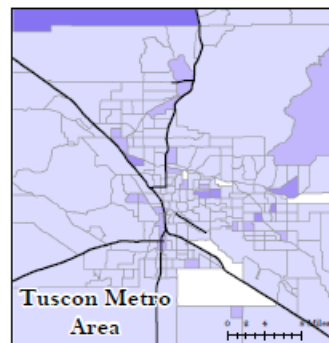
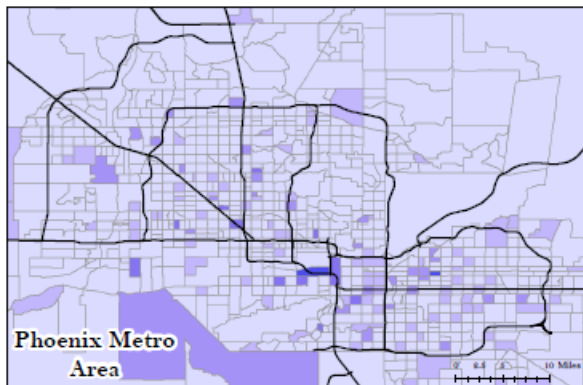
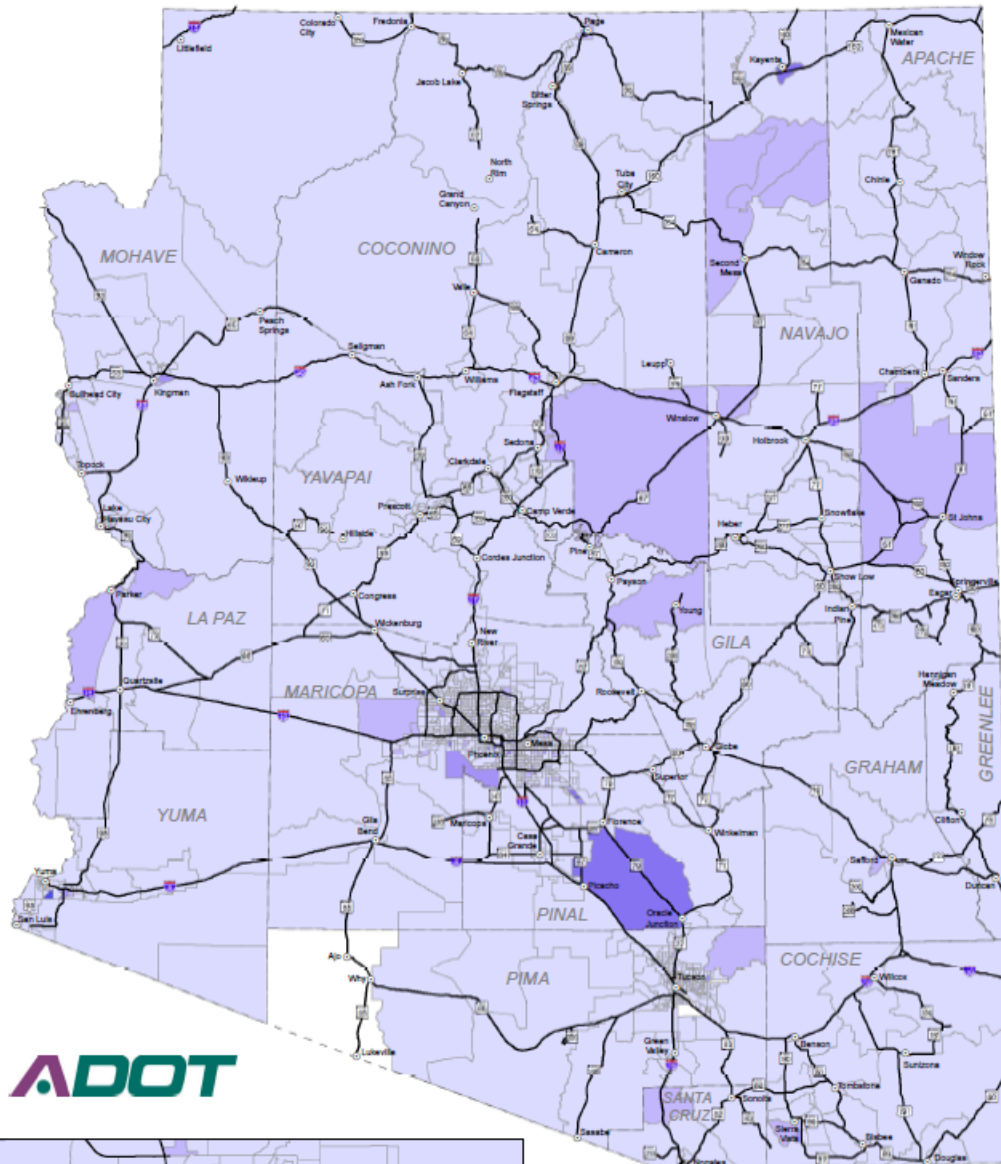
Note:  
The State of Arizona makes no claim concerning the accuracy of this map nor assumes any liability resulting from the use of the information herein.

Prepared by:  
Arizona Department of Transportation  
Multimodal Planning Division  
Transportation Analysis GIS Section  
404-714-1000  
November 2016





## Title VI: Populations - Census Tract Population Percentage (Race)



### Race Percentage: Native Hawaiian and Other Pacific Islander

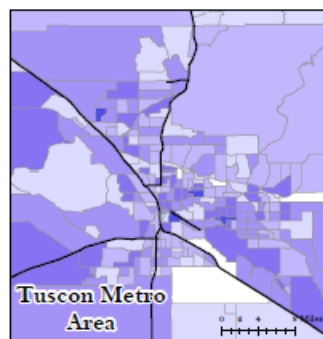
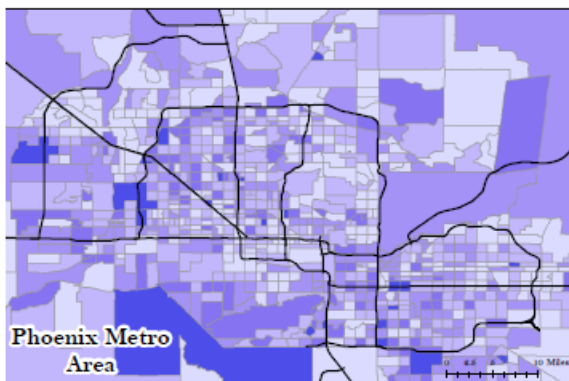
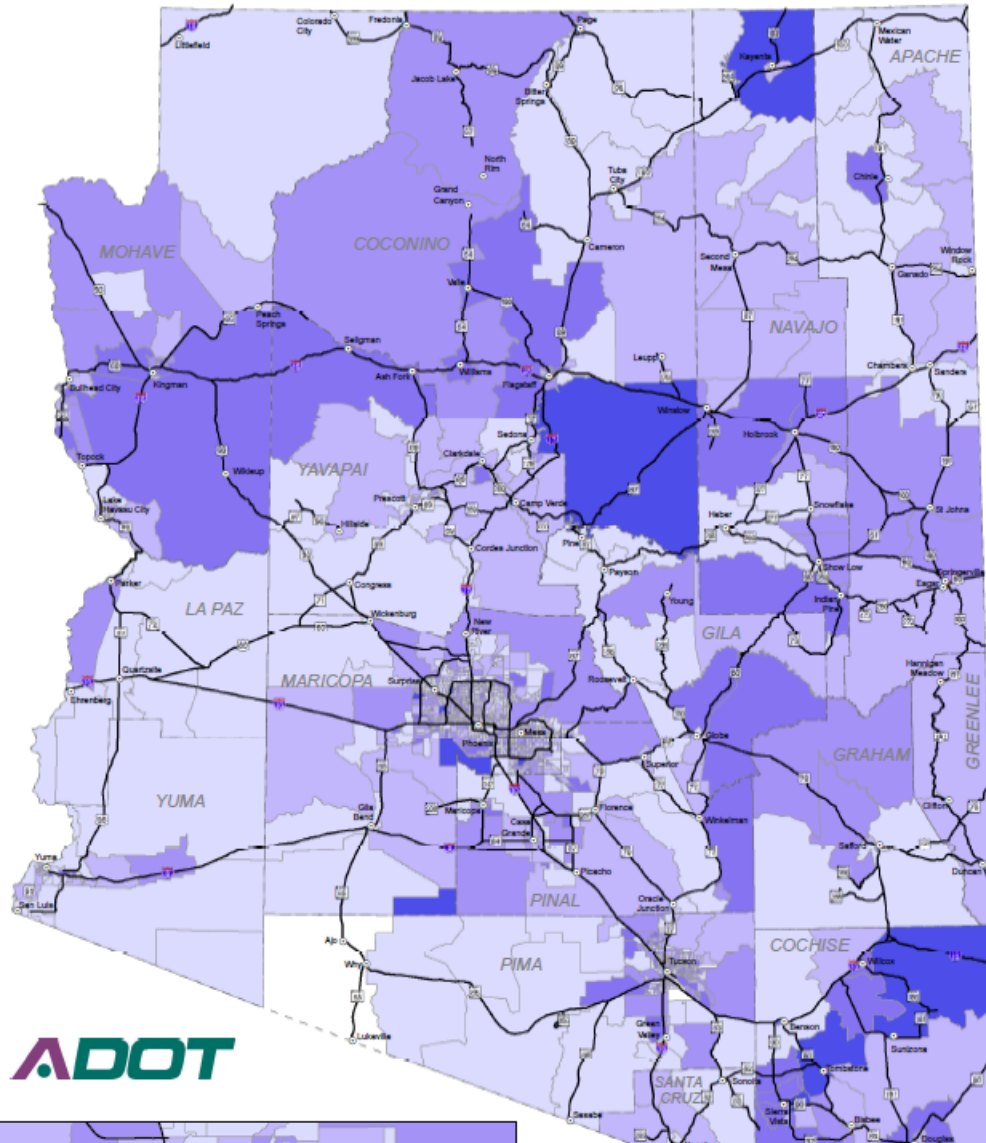
- 0%
- 1%
- 2% - 3%
- 4% - 7%
- 8% - 13%

Note:  
The State of Arizona makes no claim concerning the accuracy of this map nor assumes any liability resulting from the use of the information herein.

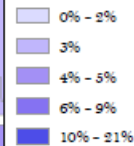
Prepared by:  
Arizona Department of Transportation  
Metropolitan Planning Division  
Transportation Analysis GIS Section  
November 2014

0 15 30 60 Miles

## Title VI: Populations - Census Tract Population Percentage (Race)

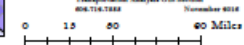


### Race Percentage: Two or More Races (Multiracial)

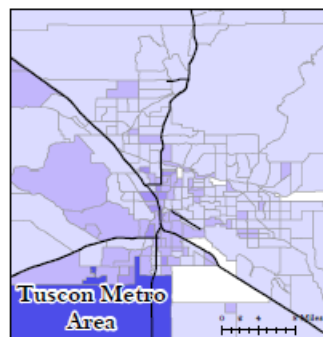
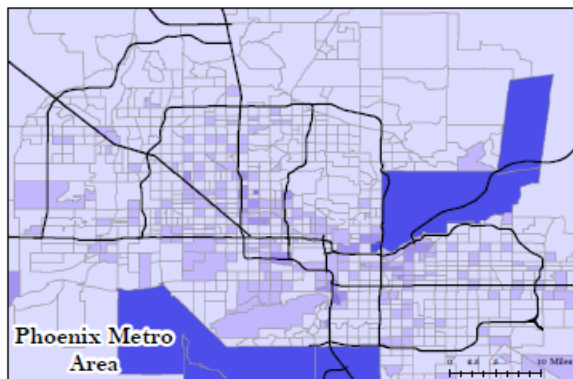
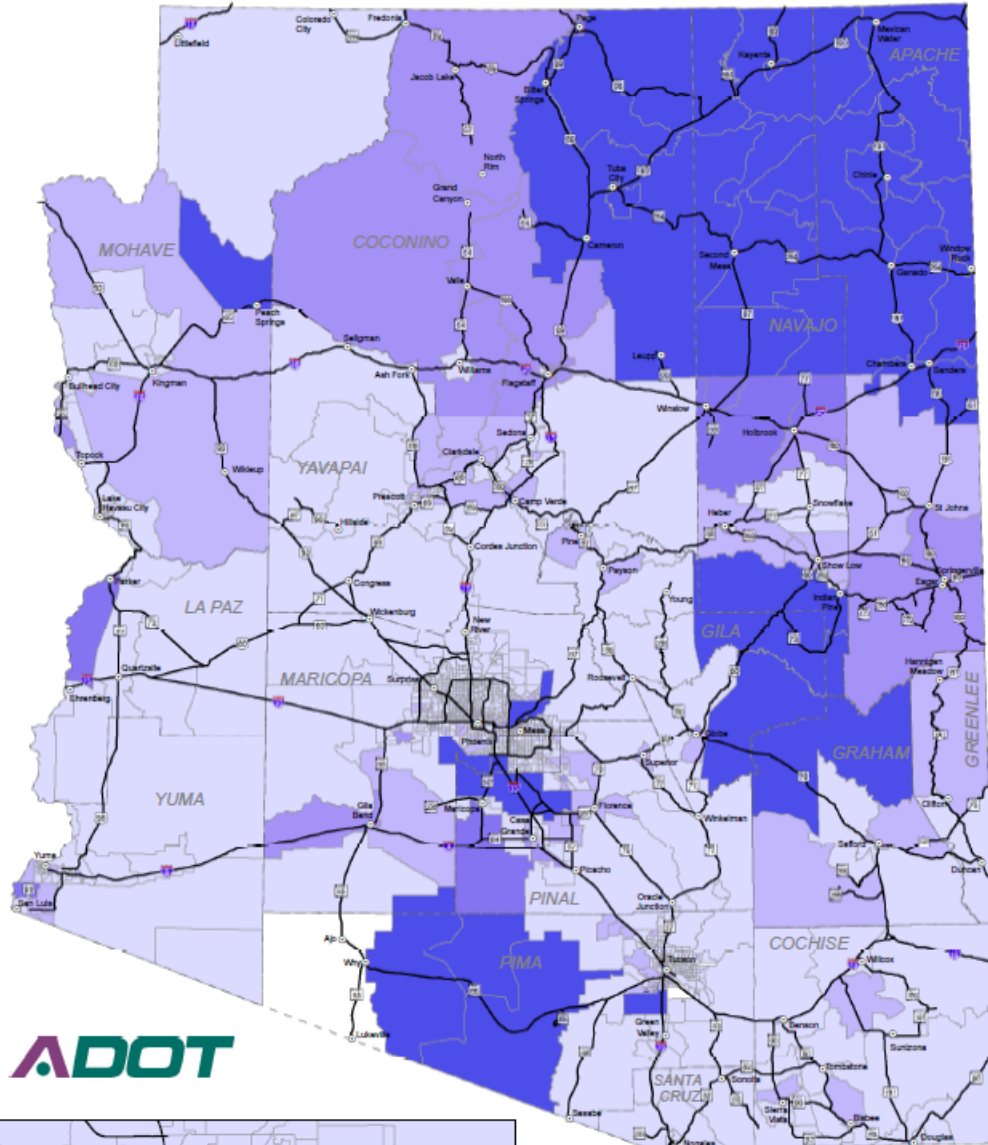


Note:  
The State of Arizona makes no claim concerning the accuracy of this map or assumes any liability resulting from the use of the information herein.

Prepared by:  
Arizona Department of Transportation  
Multimodal Planning Division  
Transportation Analysis Unit Section  
400 N. 15th Street Phoenix, AZ 85004



## Title VI: Populations - Census Tract Population Percentage (Race)



### Race Percentage: American Indian and Alaska Native

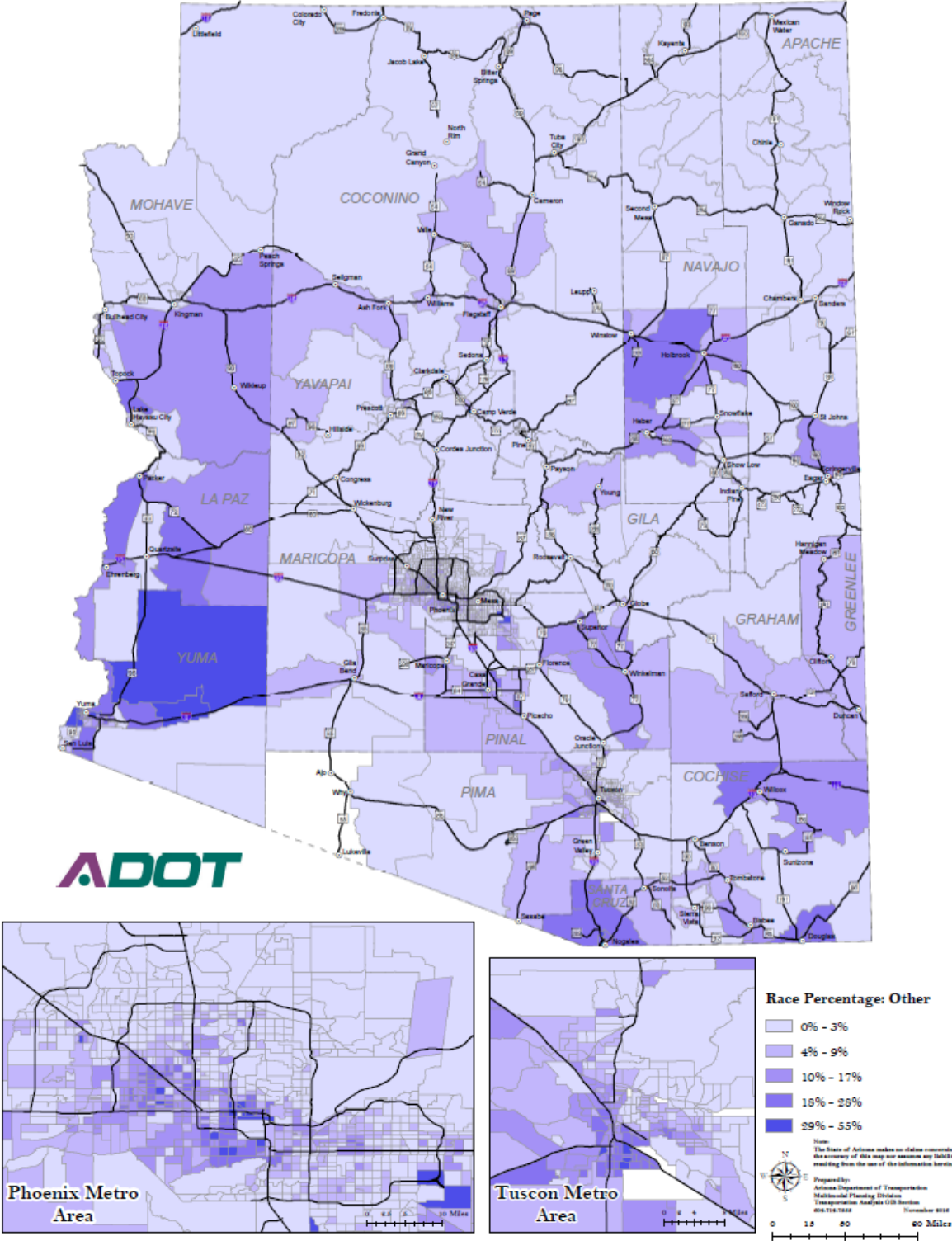
- 0% - 2%
- 3% - 7%
- 8% - 20%
- 21% - 43%
- 44% - 100%

Note:  
The State of Arizona makes no claim concerning  
the accuracy of this map nor assumes any liability  
resulting from the use of the information herein.

Prepared by:  
Arizona Department of Transportation  
Multimodal Planning Unit  
Transportation Analysis Unit Section  
408.754.1000 November 2014

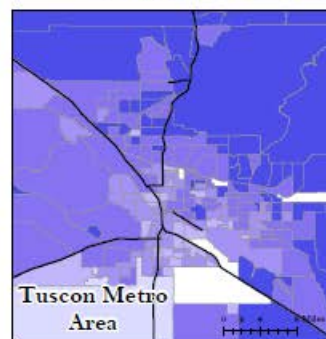
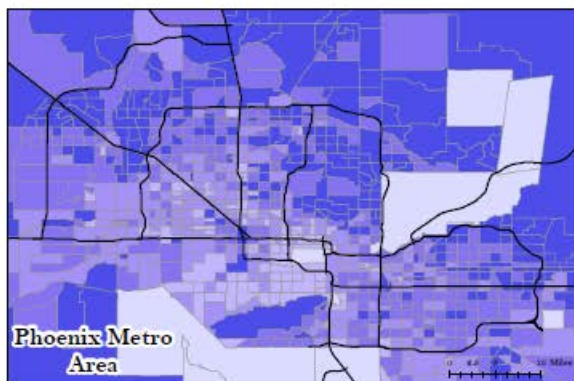
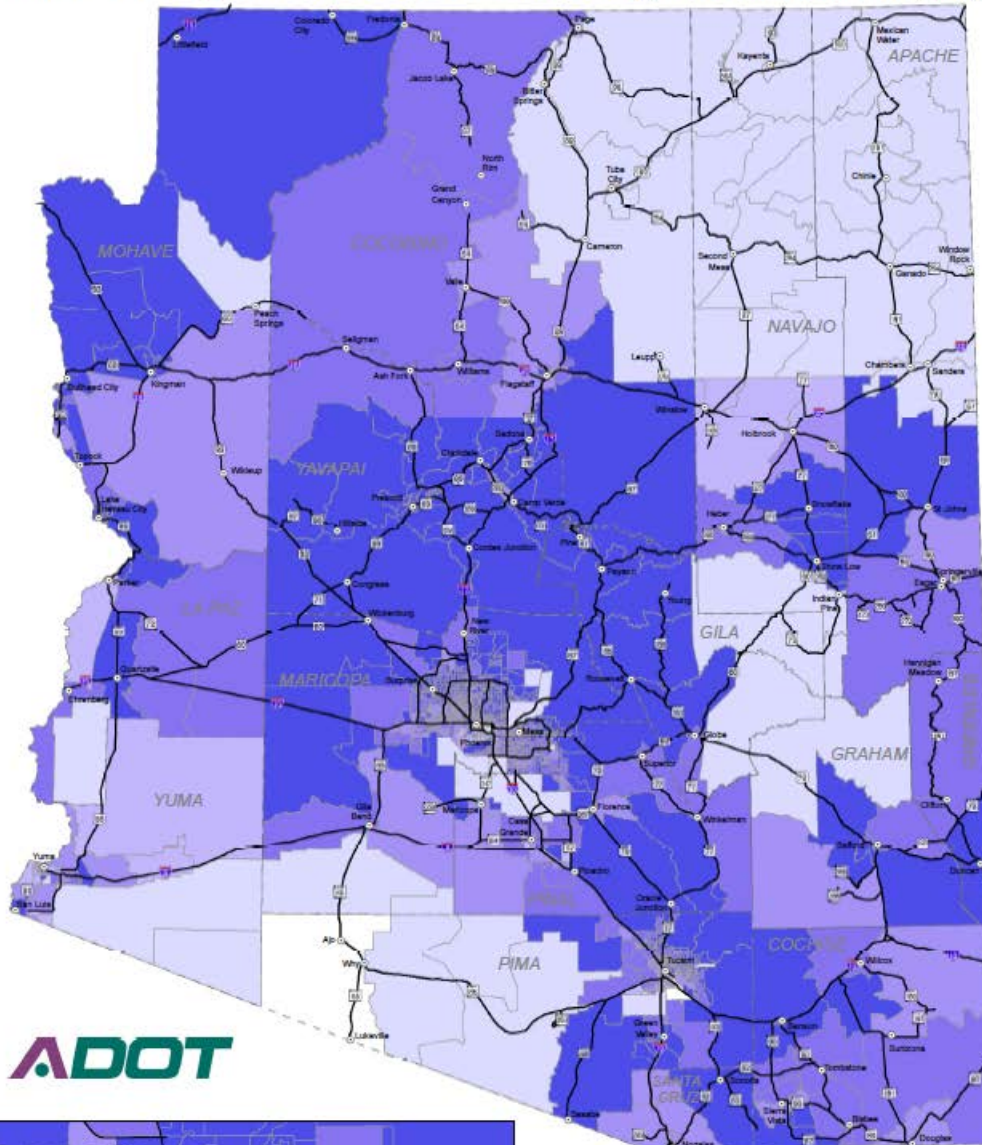
0 15 30 45 60 Miles

# Title VI: Populations - Census Tract Population Percentage (Race)

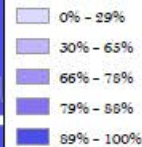




## Title VI: Populations - Census Tract Population Percentage (Race)



### Race Percentage: White



Note:  
The State of Arizona makes no claim concerning the accuracy of this map nor assumes any liability resulting from the use of the information herein.

Prepared by:  
Arizona Department of Transportation  
Metropolitan Planning Organization  
Transportation Analysis Unit  
June 2018

0 10 20 30 Miles

## DEMOGRAPHIC ANALYSIS

Based on the maps and other information provided from the U.S. Census Bureau or American Community Surveys, the transit program staff has conducted analysis that evaluate the impacts of distribution of State and Federal funds in the aggregate for public transportation purposes. These analyses are maintained by the Transit Section Programs and are available for review upon request.

The analysis is conducted at a county level with data from the 2013-2017 American Community Survey 5-Year Estimates.

Steps in the analysis process include:

1. Select Title VI Data by County
2. Compile Awards by County
3. Calculate a Weighted Average for Title VI and Protected Classes Criteria by County
4. Compare the percent of total awards given by county and region to the percent of requested dollars by minority and weighted classes average populations by county.
5. Evaluate any disparate impacts based on these areas determined by any score that exceeded the median value for the various categories.
6. Also consider individual impacts of the different Title VI and non-Title VI protected classes to ensure that no individual area was disparately impacted.

Disparate impact is a negative adverse effect for a community of people that may not receive a transportation service if an applicant's request is not funded.

For example, if the area has a higher minority, elderly, and disabled population that would be left without any suitable transportation service if the project is not funded, but the request for service does not meet the 5310 program intent, was presented poorly with inaccurate performance measures, or the applicant does not have adequate technical capacity to facilitate the project, ADOT 5310 program management staff and the regional mobility managers may meet prior to next application cycle with local stakeholders to determine the best method to meet the needs.

## PUBLIC INVOLVEMENT, OUTREACH AND TECHNICAL ASSISTANCE

**ADOT's Public Involvement Plan is included in this document as Attachment 1; the document can also be found by following the link below:**

<https://www.azdot.gov/planning/transportation-planning/public-involvement-plan>

The Statewide Transportation Plan addresses efforts to ensure that members of minority or low-income communities are provided with full opportunities to engage in the Statewide Transportation Planning process. This

includes actions to eliminate language, mobility, temporal, and other obstacles to allow these populations to participate fully in the planning process. A link to the Statewide Transportation Management Plan follows:

<https://www.azdot.gov/planning/TransitProgramsandGrants>

As documented in ADOT's State Management Plan, ADOT Section 5310 and 5311 grant programs hold annual application and implementation workshops throughout the state. Public notifications of all workshops are advertised on ADOT's website. RTAP scholarships are used to subsidize travel costs to encourage participation from individuals statewide, to include minority populations. Online options, such as go to meeting, are also utilized for application workshops and presentations to allow individuals who cannot travel to still obtain the necessary application information.

Public notification of the workshops and training is also disseminated at a regional level through the mobility management program for the Councils of Government agencies and Metropolitan Planning Organizations (COG and MPO).

COG and MPO mobility management staff post the information on their websites in English and Spanish and distribute the information to multiple programs within the COG or MPO, and their respective Advisory Committees/Councils, including Head Start, Economic Development, Aging, and Community Services. Generally they share the information with their Regional Council. The Regional Council is comprised of elected officials, county, city, towns and tribal members from communities throughout each region. Individual counties, town and city governments are also included on the distribution list.

ADOT also funds specific regional planning and mobility management positions at the COG and MPO level to provide one on one assistance as well as group meeting to assist with the application process.

Regional mobility management staff also sends public information notices by email to all human service providers, transportation providers, and public transit agencies in each region. Distribution lists also include multiple departments within the following tribes: Hopi Tribe, Navajo Nation, White Mountain Apache Tribe, Gila River Indian Community, Hualapai Tribe, San Carlos Apache Tribe and Intertribal Council of AZ.

Additionally, ADOT staff, mobility managers, and/or trained contractors assist applicants in not only applying for ADOT/FTA transit grant program funding but also to secure other funding to support their transportation programs.

Local technical advisory committees are encouraged to include representatives from minority and human service agencies. Representatives from human service agencies also sit on the coordinating councils. These councils help to determine the needs of the region and how the funds should be used most effectively in the region. These plans are used to set the transit awards (specifically Section 5310 applicants).

ADOT also provides specific outreach to the state's Native American tribes through a consultative process and coordination with the ADOT tribal liaison. ADOT holds consultative quarterly meetings with the San Carlos, Hopi, and Navajo tribes. Transit staff coordinates with the tribal liaisons. Additionally, ADOT MPD FTA Section 5310 and 5311 program management staff specifically reach out to the tribes to provide information and scholarships to

cover travel to application workshop sites and coordinate regularly with the ADOT tribal liaisons to ensure that staff is aware of upcoming deadlines so that they may personally encourage tribal representatives to attend training and put forward applications for funding.

In regard to the online system (E-Grants) requirements for the application itself, ADOT funds a helpdesk to provide immediate technical assistance.

## **PROGRAM ADMINISTRATION**

### **Grant Application Process**

ADOT follows an application process to pass through FTA financial assistance to subrecipients in a non-discriminatory manner. The application process and procedures are extensively documented and publicized in both the ADOT FTA Programs State Management Plan, as well as, specific grant program guidebooks and application instruction materials that are updated and disseminated during each application cycle (see external web links below). ADOT MPD and Civil Rights Office also provide outreach and training in various areas of state in regards to these documented procedures to explain the requirements of the grant programs and how new applicants can become eligible for potential funding. This public information provided notates all requirements for Title VI distribution of funding and applicants are notified that financial assistance is awarded in a non-discriminatory manner.

<https://azdot.gov/planning/transit-programs-and-grants/program-handbooks-applications-and-awards>  
<https://www.azdot.gov/planning/TransitProgramsandGrants>

### **Award Process and Environmental Justice Analysis**

The award process is based on a ranking of applications against pre-determined evaluation criteria in line with the goals and priorities of each grant program identified at the federal and state level. Awards are made initially based on application requests and the ability of applicants to meet these pre-determined criteria. After initial awards are determined, final award amounts are developed by considering the Title VI minority and protected classes' populations by county and region.

In most instances, the Section 5310 program highlights a potential disparate impact in the COG and MPO regions that include urban and small urban areas, such as Phoenix, Tucson, Flagstaff and Yuma. But there is substantial legitimate justification for this policy as apportionment of 5310 funding are set by FTA. ADOT manages the Tucson funds, but not the Phoenix program. The urban areas of the state are served by additional 5310 program dollars as mandated by FTA apportionment levels, which document the potential disparate impact from the analysis conducted.

For the COG and MPO areas that include the cities of Flagstaff and Yuma, those areas receive a FTA 5307 program direct allocation for public transit service that supports all protected classes, including minorities, decreasing the need for 5310 funds to be put towards this purpose. Additionally ADOT transfers STBG funding towards these regions to support the transit programs.



In regard to any award adjustments based on the evaluation of Title VI categories, for 5310, this is only done if there is not a solid, justifiable policy decision (either made at the state or federal level) that supports the reason the discrepancy between the awarded amounts of funding and the number of minorities in a given population area. An alteration of the award or reconsideration of the information and type of award to be made is completed if there is a potential adverse effect that not funding a particular project or program would cause and the application/applicant meets the baseline threshold and evaluation criteria requirements of the 5310 program.

In the 5311 applications, all agencies are ranked according to their applications by a team of reviewers separately reviewing applications. Then the scores are compiled to determine a rank order. First, Intercity projects are funded at a minimum of 15% based on the requirements of FTA. Historically, ADOT funds slightly more than the 15% to ensure the 15% expenditure threshold is met. Then, ADOT funds administration and operating project requests. ADOT considers historical expenditures, future projected expenses, and the ranking to ensure that agencies are able to continue transit operations with these project dollars.

Lastly, ADOT considers capital project requests. The subrecipients are asked in their application to rank their needs. ADOT takes those rankings into consideration and prioritizes rolling stock replacement needs first, then other capital requests until the funding runs out. This does not mean that all rolling stock requests are funded; instead, ADOT reviews the need and determines whether the project could be delayed a year or two because there is always more need than funds available. ADOT has historically considered tribal programs very carefully to ensure adequate funding levels. There is also significant consideration and discussion as to how to better meet the needs of our rural areas across the state. Program management staff recognizes that requests more often than not are minimized due to lack of local funding. Therefore, ADOT meets regularly with subrecipients to discuss ways to find and secure sources of local funding so that the needs are met on a consistent basis.

Under the 5311 grant program, for FY 2019, in review of the awards and the request levels, Apache County has one of the highest minority population, low income population, and limited English proficient persons (LEP) and is served by Navajo Transit. Navajo County is served by White Mountain Apache Tribe, Hopi Tribe, and Navajo Transit which has an extremely high low income population. Historically Navajo have been awarded close to or fully what they have requested. Due to Navajo Transit history of over requesting by almost 50% annually leaving a great deal of funding unspent we have adjusted their award to be more realistic and based on their actual historical expenditures. Previously we had to sweep nearly 50% of the operating and administrative funds from them during 2016 and 2017 as well as many capital projects that were not being procured. Navajo would have been awarded more, but they historically have not been expending funds resulting in nearly 50% of their awarded funds to be left over. Navajo Transit previously had difficulty procuring buses, but is making strides internally to address this issue through a dedicated transit staff. ADOT has regular standing meetings with Navajo to review any issues and has developed and has coordinated with FTA and New Mexico to try to provide better support. We have not provided them additional funds beyond what we know will be spent by Navajo and will continue to coordinate with them. We are well aware of the need in their region, but we are also responsible to ensure that the funds do not languish unspent. We work closely with them to ensure that they have sufficient funds to meet their transit needs.

The highest request this year was in Yavapai County and they were awarded close to what was requested as this region has an extremely high disabled person's population and senior population. La Paz County which has a high percentage of disabled persons, low income, and senior population that is served by the Town of Quartzsite transit program.

In regard to alternatives that could be employed that would have a less discriminatory impact, ADOT MPD FTA Section 5310 and 5311 program management staff work closely with the regional COGs, MPOs and Mobility Managers to assist with completing outreach to potentially affected populations, as is the case in the CAG region at this time.

After the initial awards are made according the documented evaluation criteria for each grant program, the ADOT MPD FTA Section 5310 and 5311 program management staff reviews each award according to the Title VI guidelines and determines whether there has been a disparate impact. Based on this analysis, consideration is given as to whether additional outreach or technical assistance is needed for the following year's application cycle.

## **RECORD RETENTION**

ADOT's MPD FTA Grant Program management staff maintains files and publicizes funding awards/requests by type of entity, to include private non-profit organizations, local governmental authorities, and Indian tribes. Through the analysis of county minority populations, it is documented which counties and COG and MPO regions are using their grant program funds to provide assistance to predominately minority populations.

ADOT maintains descriptive information on how the competitive selection process and annual of program of project submission process to FTA emphasizes the method used to ensure the equitable distribution of funds to subrecipients that serve predominately minority populations and the criteria for selecting entities to participate in FTA grant programs in its FTA Programs State Management Plan, as well as program specific guidebooks updated annually.

## **11. SUBRECIPIENTS AND REVIEW PROCESS**

Subrecipients of Federal-aid in Arizona include metropolitan planning organizations, councils of governments, local governments, universities, private for profit and non-profit agencies, transit grantees, airport authorities and contractors/consultants.

There are eight metropolitan planning organizations and four councils of governments in Arizona that receive financial assistance from FTA that is passed through by ADOT.

There are approximately 50 Section 5310 grantees with 120 projects per application cycle. There are 27 section 5311 grantees. All new and returning applicants apply for transit funds under a 2-Year Application cycle. 5310 and 5311 grantees' application window is scheduled in a manner in which their respective application submittals don't

overlap on the same year. Each application for financial assistance will include a certification that the new or returning applicants' programs, policies and activities comply with FTA Title VI and ADA.

The Civil Rights office oversees Title VI compliance and provides technical support and training for the Metropolitan Planning Organizations (MPO), Councils of Government (COG) and all new and reapplying Section 5310 and 5311 applicants.

The Civil Rights Office uses guidance from FTA Circular 4702.1B to ensure all FTA Title VI requirements are met by all subrecipients.

## **MPO AND COG REQUIREMENTS**

MPO and COG agencies are required to submit a Title VI Program Plan every year or as otherwise directed by FTA and to report any complaints to ADOT within 72 hours. As part of its compliance requirements, ADOT's Civil Rights Office reviews and maintains copies of MPO and COG Title VI Program Plans and provides technical support, training and monitoring of these organizations for compliance with Title VI.

ADOT and subrecipients receiving FTA financial assistance must ensure that all programs and activities are operated in a nondiscriminatory manner. ADOT documents the technical support and subrecipient monitoring activities of MPOs and COGs that are provided to:

1. Ensure compliance with Title VI.
2. Provide technical assistance in the implementation of the Title VI program.
3. Correct deficiencies when found to exist.

As part of its monitoring activities, the ADOT Civil Rights Office requires each MPO and COG to submit an annual report of its Title VI related activities including data collected, outreach methods, changes to Title VI Implementation Plans, executive management and compliance efforts for the past year and goals for the coming year. The annual reports are analyzed and categorized on a high/low risk assessment using the following criteria to create an MPO/COG onsite review schedule:

- Amount of federal financial assistance received
- Date of last review
- Complaints received
- Number of deficiencies identified in previous Title VI Plan submissions

## **MPO AND COG ONSITE REVIEW PROCESS**

### **Notification**

1. Subrecipients will be notified within 30 days of the upcoming Title VI on-site review by certified letter and/or prioritized email using DocuSign. This will include a copy of the Compliance Review Form and a list of documents and other information that should be made available for review.
2. One week prior to the onsite review, a reminder will be sent by priority email to discuss agenda, logistics and expectations of the onsite visit.

### **Onsite Review**

1. A Title VI staff member will review:
  - a. The location of the Public Notice and a sampling of meeting notices, project flyers and other similar materials used to reach minority populations and LEP individuals;
  - b. The Language Assistance Plan (LEP) and LEP efforts including a sampling of vital documents that have been translated, language assistance services offered and the number of LEP requests received;
  - c. All methods used to identify the locations of minority populations within the MPO/COG region;
  - d. Demographic maps and charts that analyze the impacts of distribution of funding for public transportation purposes;
  - e. Subrecipient means for analyzing Title VI data to identify the mobility needs of minority populations as identified within the planning process;
  - f. Procedures used to identify Title VI populations that could potentially be adversely affected by transit-related planning or projects;
  - g. Accommodations available for disabled individuals;
  - h. Compliance activities including any upcoming subrecipient reviews.
2. A description of any discrimination-related complaints received and review the subrecipient's Investigations, Complaints and Lawsuits Log.
3. During the onsite review, the Civil Rights Office Title VI representative will conduct staff interviews to determine familiarity with Title VI requirements; discuss the effectiveness of public outreach measures, as indicated by minority participation in public meetings; discuss data collection and analysis practices to ensure minority populations are included in the planning process; examine the efficiency of Title VI complaint procedures; and, make verbal recommendations toward best practices.

### **Deficiencies**

If deficiencies are found:

1. Within 30 days of the onsite review, deficiencies will be documented in a report provided to the MPO or COG Executive Director, ADOT's Multimodal Planning Division and the ADOT Civil Rights Administrator.
2. By expectation, the subrecipient should correct all deficiencies within a reasonable time period, not to exceed 90 days of receipt of the report.

3. Within 30 days of report mailing, a meeting will be scheduled to discuss possible technical assistance and an action plan towards full compliance.
4. Outstanding high priority vital items such as signed Title VI assurances will be submitted within 30 days of report mailing.
5. Subrecipient will be asked to submit a formal action plan within 45 days of report mailing.
6. Within 90 days, the subrecipient MUST be fully compliant on outstanding deficiencies.
7. If not compliant, ADOT will make a formal funding recommendation to the appropriate Multimodal Planning division responsible for oversight of the subrecipient.

### **No Deficiencies**

If no deficiencies are found:

1. A formal letter of full compliance will be provided within 30 days of the onsite review and include a report of findings.
2. The report may provide recommendations for strengthening the subrecipient's Title VI Program.

### **Follow-up Monitoring**

Title VI staff members will determine if additional monitoring is needed to ensure ongoing compliance with Title VI requirements.

## **SECTION 5310 AND 5311 GRANTEE REVIEWS**

### **Technical Assistance**

The Civil Rights Office provides technical assistance and training to new and returning Section 5310 and 5311 applicants during the application process to ensure compliance with Title VI before funding is awarded. The Civil Rights Office provides applicants with best practices, online tutorials, sample documents and a template of the FTA Implementation Plan. The sample documents and the FTA template are located at:

<https://azdot.gov/business/civil-rights/title-vi-nondiscrimination-program/fta-funded-programs>

### **Desk Review Process**

The Civil Rights Office is responsible for carrying out subrecipient/grantee Title VI FTA monitoring and oversight responsibilities and will continue the process of Title VI monitoring by conducting annual Desk Reviews of new and returning transit subrecipients/grantees.

Prior to the Desk Review, the Civil Rights Office will review the most current FTA Title VI Circular for any updates. If updates are required to ensure compliance with Title VI, new and returning grant applicants will be notified. Once the grant application is received, the Civil Rights office will begin a 30-day desk review using the [FTA Subrecipient](#)

[ADA/Title VI Program Implementation Plan Checklist](#) to determine subrecipient/grantee compliance with ADA & Title VI.

During the Desk Review, the Civil Rights Office will review each subrecipient/grantee's Implementation Plan for the following:

- Notices to the Public (English & Spanish)
- Complaint Procedures
- Complaint Form
- List of Investigations, Complaints and Lawsuits
- Public Participation Plan
- Language Assistance Plan (LEP)
- Non-elected Membership Table
- Monitoring Procedures for Subrecipient Compliance
- Title VI Equity Analysis (for new facilities only)
- Fixed Route Transit Provider Analysis (For transit providers only)
- Minutes indicating Board Approval of the subrecipient/grantee Title VI Plan
- ADA Policy

#### **Deficiencies**

1. If found to be deficient, the Civil Rights Office will send a notice to the subrecipient by DocuSign identifying the deficiencies and recommending corrective actions.
2. Within 90 days of the notice, the subrecipient must bring outstanding deficiencies into compliance.
3. The Civil Rights Office will actively provide technical support and assistance within these 90 days, if needed.
4. If the subrecipient does not become compliant within the 90-day period, the Civil Rights Office will make a formal finding recommendation to the Multimodal Planning Division Transit Program Manager.

#### **No Deficiencies**

If no deficiencies are found:

1. A formal letter of full compliance will be provided within 30 days of the completion of the desk review.

#### **Annual FTA Subrecipient ADA/Title VI Self-Certification Compliance Review Process**

On the years subrecipients are not applying for grant funding an Annual FTA Subrecipient ADA/Title VI Self-Certification Compliance Review is submitted to the CRO. ADOT's MPD will initiate the Annual FTA Subrecipient ADA/Title VI Self-Certification Compliance Review process by sending subrecipients the [Annual FTA Subrecipient ADA/Title VI Self-Certification Compliance Review](#) form. This form is intended for Subrecipients to update the CRO regarding any ADA/Title VI updates that have occurred since the last application cycle and to ensure that they are still in compliance with ADA/Title VI requirements. Subrecipients must fill this form out within a 30 day-period. During this 30-day period active communication is conducted between the CRO and applicants to ensure ADA/Title

VI compliance. At the conclusion of the 30 day review period CRO issues a formal letter of compliance or noncompliance.

During the Annual FTA Surecipient ADA/Title VI Self-Certification Compliance Review, the CRO will review each subrecipient's Self-Certification form to ensure that ADA/Title VI requirements are still being met. This review consists of questions regarding updates to the following sections:

- Complaints
- Leadership Changes
- Location of Notices to the Public
- Public Participation Plan
- Language Assistance Plan (LEP)
- Subrecipient Changes
- Title VI Equity Analysis (for new facilities only)
- ADA/Title VI Training Attended

New applicants for grant funding during the Annual FTA Subrecipient ADA/Title VI Self-Certification Compliance Review process will be required to submit a Title VI Implementation Plan, which will be reviewed and commented on by the ADOT Civil Rights Office.

### **Deficiencies**

1. If found to be deficient, the Civil Rights Office will send a notice to the subrecipient by DocuSign identifying the deficiencies and recommending corrective actions.
2. Within the 30 day review period, the subrecipient must bring outstanding deficiencies into compliance.
3. The Civil Rights Office will actively provide technical support and assistance within these 30 days, if needed.
4. If the subrecipient does not become compliant within the 30-day period, the Civil Rights Office will make a formal finding recommendation to the Multimodal Planning Division Transit Program Manager.

### **No Deficiencies**

If no deficiencies are found:

1. A formal letter of full compliance will be provided within 30 days of the completion of the Annual FTA Subrecipient ADA/Title VI Self-Certification Compliance Review.

### **Monitoring**

As part of their oversight responsibilities, ADOT MPD Transit Section Programs are required to monitor these subrecipients/grantees to help ensure compliance with Title VI in their programs and activities. The Transit Section Programs enlist consultants to conduct on-site reviews of subrecipients which include Title VI compliance using a checklist provided by the ADOT Civil Rights Office.

Upon completion of the subrecipient on-site review process, copies of the Compliance Checklist are provided to the Civil Rights Office. If a deficiency is found to exist, the Civil Rights Office will follow up with the subrecipient to provide specific technical assistance and a timeline for the subrecipient to resolve the deficiency. This timeline will not exceed 90-days.

## **12. Determination of Site or Location of Facilities**

ADOT is administering a planning study for the City of Bullhead. This project is a site selection study and is undergoing the environmental clearance process for the selected site. The study kicked off in August 2018 and is due to be finalized by March 2020. Douglas is also beginning a site selection process.



ATTACHMENT “1”

ADOT PUBLIC INVOLVEMENT PLAN

ADOT's Public Involvement Plan speaks to the requirements to engage the public on transportation planning- related activities, including targeted public involvement that complies with the following mandated federal authorities:

- ☐ Title VI of the Civil Rights Act of 1964
- ☐ Executive Order 13166 – Limited English Proficiency
- ☐ Executive Order 12989 – Environmental Justice in Minority and Low-Income Populations

PLAN TO FOLLOW.

# Arizona Department of Transportation



## Public Involvement Plan

*February 2017*

Prepared by:  
Arizona Department of Transportation, Communications Division

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## LIST OF ACRONYMS

ADOT	Arizona Department of Transportation
ADA	Americans with Disabilities Act
CEQ	Council of Environmental Quality
CFR	Code of Federal Regulations
COG	Councils of Governments
CRO	Civil Rights Office
DOT	Department of Transportation
DMS	Dynamic Message Signs
EA	Environmental Assessment
EIS	Environmental Impact Statement
EJ	Environmental Justice
EP	Environmental Planning
FAHP	Federal Aid Highway Program
FAST Act	Fixing America's Surface Transportation Act
FAQs	Frequently Asked Questions
FHWA	Federal Highway Administration
FTA	Federal Transit Administration
HOA	Homeowner Associations
IAP2	International Association for Public Participation
ISTEA	Intermodal Surface Transportation Efficiency Act
LEP	Limited English Proficiency
LPA	Local Public Agency
LRTP	Long Range Transportation Plan
MAP-21	Moving Ahead for Progress in the 21 <sup>st</sup> Century
MPO	Metropolitan Planning Organization
MPD	Multimodal Planning Division
NEPA	National Environmental Policy Act
PIO	Public Information Officer
PIP	Public Involvement Plan
SATETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users
STIP	Statewide Transportation Improvement Program
TEA-21	Transportation Equity Act for the 21 <sup>st</sup> Century
TIP	Transportation Improvement Program
VMS	Variable Message Signs

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## INTRODUCTION

The Arizona Department of Transportation (ADOT) is a multimodal transportation agency serving one of the fastest-growing areas of the country. ADOT is responsible for planning, building and operating a complex highway system; building and maintaining bridges; and operating the Grand Canyon National Park Airport, the state's Motor Vehicle Division, and the Enforcement and Compliance Division for oversight of commercial vehicles.

### ADOT'S MISSION IS TO PROVIDE A SAFE, EFFICIENT, COST-EFFECTIVE TRANSPORTATION SYSTEM

ADOT recognizes that transportation is personal. It affects everyone, yet most people probably do not think about it until there is a problem or unmet need. Because of this, it can be challenging to engage the public during the transportation decision-making process. If transportation decisions do not impact an individual's commute today, tomorrow or even in the next year, it isn't always perceived as a worthwhile investment of his or her time. Another challenge is making the public aware of their opportunities and access to the public involvement process. Conversely, transportation professionals know that every decision or action impacts someone to some degree, which is why public involvement throughout the process is critical. The public includes anyone who resides, works, has interest in, or does business in a given area potentially affected by transportation decisions, including organized groups. Active public involvement should occur at all stages of the transportation decision-making cycle, and is especially critical at the onset of the study or planning stages. Decisions regarding transportation cannot be made in a vacuum: The public is a critical source of ideas. ADOT welcomes and encourages a robust public involvement process that makes it possible for diverse groups of people to contribute to improving *their* transportation systems. Meaningful public involvement is vital to create an informed public, especially for those who do not traditionally participate in transportation planning. When effective public involvement occurs, it can establish a transparent dialogue between the agency and the public to foster a positive decision-making environment.

#### ADOT'S PUBLIC INVOLVEMENT PHILOSOPHY:

*As ADOT strives to create and maintain a transportation system for Arizona that improves the quality of life and bolsters the state's economy, we will include a diversity of voices and viewpoints from across the state that provide valuable insight to help inform the decision-making process.*

This Public Involvement Plan (PIP) is a living document that provides guidelines, techniques and examples that ADOT will use to interact with the public throughout transportation planning and during construction, operation and maintenance. The PIP will also demonstrate how ADOT will engage people of all races, cultures and income levels, including minority and low-income populations in the transportation decision-making process. The plan is intended for use by ADOT staff, ADOT consultants and any others interested in designing effective and inclusive

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PIPs. ADOT's PIP will continue to evolve in alignment with innovative and effective best practices and/or new statutes governing public involvement, and will be evaluated annually by ADOT Communications for compliance with federal requirements and best practices.

## CHAPTER 1-REQUIREMENTS FOR PUBLIC INVOLVEMENT

This chapter provides federal statutes and regulations for public involvement. Approaches to the degree of public involvement will vary with the complexity and impact of each project. ADOT will implement public involvement efforts in response to federal guidelines under Title VI of the Civil Rights Act of 1964, Environmental Justice (EJ), Limited English Proficiency (LEP), the Americans with Disabilities Act (ADA) and the National Environmental Policy Act of 1969 ([NEPA](#)).

Federal regulations do not specifically define how to perform public involvement. Project teams develop and implement public involvement plans that are relative to the needs of the project and public. This flexibility allows adoption of the following guidance, which seeks to ensure public participation by a comprehensive range of stakeholders. As an agency, project team members will be familiar with the guidance, practices and documentation required as stated in this document and especially with the federal requirements for Title VI, EJ, ADA and LEP outreach and for NEPA, if applicable. All project team members will be familiar with ADOT's PIP and use the tactics required for federal compliance for public participation. The designated ADOT Communications liaison to the ADOT Civil Rights Office (CRO) will provide training for any or all team members when public involvement is required.

### 1.1 AUTHORIZING LEGISLATION

Public involvement has long been an integral part of federal transportation legislation. The initial [Federal Highway Act \(Federal Aid Road Act of 1916\)](#) focused on expanding the highway system, but subsequent bills incorporated multimodal and public involvement elements. The [Intermodal Surface Transportation Efficiency Act \(ISTEA\) of 1991](#) represented a transformation, with an intermodal approach to funding and great emphasis on public involvement and collaborative planning. ISTEA's successor in 1998, the [Transportation Equity Act for the 21st Century \(TEA-21\)](#), expanded public involvement to include transit and freight. The [Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users \(SAFETEA-LU\)](#) was enacted in 2005 and broadened public involvement requirements. [Moving Ahead for Progress in the 21st Century \(MAP-21\)](#) was enacted in 2012 and public involvement remains a hallmark of the transportation planning process, along with 2016's [Fixing America's Surface Transportation \(FAST\) Act](#). In addition to the transportation bills, following are other federal regulations that affect how public involvement activities are planned and executed, which will be adopted and documented within ADOT's public involvement procedures.

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## 1.2 TITLE VI OF THE CIVIL RIGHTS ACT OF 1964

[Title VI of the Civil Rights Act of 1964](#) (Title VI) provides that “no person shall on the grounds of race, color or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination” under any ADOT or ADOT-sponsored program or activity. While ADOT receives funds from various sources, there is no distinction between the sources of funding.

Title VI, along with key environmental and transportation legislation, emphasizes the need for ongoing and proactive public involvement at all stages of planning and project development including early and frequent engagement of affected parties during the transportation decision-making process. Special consideration is given to reaching and involving the traditionally underserved, such as minority, low-income, disabled, LEP and other populations facing barriers to information access.

ADOT ensures that every effort will be made to include as many people as possible and to prevent discrimination through the impacts of its programs, policies and activities. ADOT’s PIP guidelines for Title VI are in concurrence with ADOT’s CRO which provides agency oversight and ensures Title VI compliance throughout ADOT. The CRO also provides updates on nondiscrimination Civil Rights programs through training, monthly notifications and technical support to ADOT employees, its sub-recipients, customers and stakeholders to ensure compliance with all internal and external nondiscrimination programs.

**Figure 1 – ADOT Standard Nondiscrimination Language**

**NONDISCRIMINATION LANGUAGE:**

Pursuant to Title VI of the Civil Rights Act of 1964, and the Americans with Disabilities Act (ADA), ADOT does not discriminate on the basis of race, color, national origin, age, sex or disability. Persons who require a reasonable accommodation based on language or disability should contact (insert Project Hotline or appropriate person’s name) at (telephone number) or (email address). Requests should be made as early as possible to ensure the state has an opportunity to address the accommodation.

De acuerdo con el título VI de la Ley de Derechos Civiles de 1964 y la Ley de Estadounidenses con Discapacidades (ADA por sus siglas en inglés), el Departamento de Transporte de Arizona (ADOT por sus siglas en inglés) no discrimina por raza, color, nacionalidad, edad, género o discapacidad. Personas que requieren asistencia (dentro de lo razonable) ya sea por el idioma o por discapacidad deben ponerse en contacto con (insert Project Hotline or appropriate person’s name) al (telephone number) o por correo electrónico al (email address). Las solicitudes deben hacerse lo más pronto posible para asegurar que el equipo encargado del proyecto tenga la oportunidad de hacer los arreglos necesarios.



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## IMPLEMENTATION

1. ADOT Communications' Title VI Liaison will review and approve each project-specific PIP with guidance as needed from ADOT's CRO.
2. At the conclusion of each stage of an outreach effort, the Communications' Title VI Liaison will provide the CRO with a Title VI summary (See Appendix A).

The subsequent sections discuss the process and tools ADOT will utilize for public involvement activities to ensure compliance with Title VI policies to identify and engage ADA, EJ and LEP communities.

The following tools can be used by ADOT Communications to ensure Title VI populations have access to transportation decision-making processes throughout the project's lifecycle:

- Develop community contacts, mailing lists and other means to initiate and continue communication.
- Conduct community interviews, including one-on-one meetings with local community groups and community leaders.
- Initiate intergovernmental collaboration.
- Display the Title VI language on all public advertisements.
- Consider the proximity to public transportation routes when selecting a meeting location.
- Share information, with permission, at religious centers and common community meeting places.
- Provide information in language(s) other than English, and in alternative formats, when appropriate based on community assessments.
- Provide information in formats that are appropriate based on community assessments.
- Schedule public meetings at the appropriate time of day based on community assessments.

### 1.3 AMERICANS WITH DISABILITIES ACT (ADA) of 1990

The [Americans with Disabilities Act of 1990](#) (ADA) stipulates that people with disabilities be involved in developing and improving public services. In highway planning, collaboration with persons with disabilities is essential for developing access points beyond those that are required. All events held for programs or projects with federal-aid funds and open to the public must be made accessible to everyone, including persons with disabilities. Special efforts are required to comply with the statutory requirements of MAP-21 and the ADA.

The following tools can be used by ADOT Communications to ensure persons with disabilities have access to transportation decision-making processes throughout the project's lifecycle:

- Develop contacts, mailing lists, and other means to initiate and continue communication with persons with disabilities.
- Conduct research through U.S. Census Bureau's "American Community Survey" for data on persons with disabilities.
- Include Title VI and ADA language (constructed at a basic literacy level) on all digital or printed material created for public dissemination for special accommodation requests.

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- Conduct community interviews, including one-on-one meetings with disability advocacy groups.
  - Collaborate with local agencies, such as the Arizona Department of Economic Security, which offers assistance and information for the aging and disabled communities.
  - Engage health care facilities, senior centers or other community facilities that may prove to be effective locations for connecting with persons otherwise unable to attend events.
  - Ensure locations where public involvement takes place are ADA compliant, accessible by ADA-compliant transportation options, and that information is accessible for persons with vision or hearing disabilities.
  - If online resources are being used to provide project information, guidance should be provided on how to use online resources and resources should be ADA accessible.
  - When notified at least seven (7) business days in advance of a person's disability, ADOT will make an effort to reasonably accommodate a person's disability to provide an equal opportunity for participation into the transportation decision-making process.

#### 1.4 Environmental Justice (EJ)

In [1994, Executive Order \(EO\) 12898 Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations](#) was issued. [Environmental justice](#) "is the fair treatment and meaningful involvement of all people, particularly minority, low-income and indigenous populations, in the environmental decision-making process." All of ADOT's planning projects that include Federal funding follow the [NEPA process](#) (Figure 2), which also includes requirements for identifying and engaging EJ communities to increase equity in transportation throughout the decision-making process.

To engage traditionally underserved communities, ADOT Communications will use the following community-engagement tools:

- Develop community contacts, mailing lists and other means to initiate and continue communication.
- Conduct community interviews, including one-on-one meetings with local community groups and community leaders.
- Initiate intergovernmental collaboration.
- Display the Title VI language on all public advertisements.
- Select meeting locations that are accessible by public transportation.
- Share information, with permission, at religious centers and common community meeting places.

#### 1.5 Limited English Proficiency (LEP)

ADOT's public involvement programs will strive to be innovative and proactive in engaging individuals from different cultures and backgrounds in the project-development process. Limited English Proficiency (LEP) is a term used to describe individuals who are not proficient in the English language. [Title VI and Executive Order 13166](#) prohibit recipients of federal financial assistance from discrimination based on national origin. Recipients

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of federal financial assistance are required to take reasonable steps to provide LEP individuals with meaningful access to their programs, activities and services. The LEP guidance included in this PIP is aligned with ADOT's [Language Access Plan](#), prepared by ADOT's CRO.

The resources listed below are some of the tools to help ADOT identify and engage impacted LEP communities, early and throughout the life of the transportation project:

- Conduct community interviews to determine LEP needs. Interview staff should have as a resource the [United States Census 2000 Language Identification Flashcard](#), if needed, during outreach efforts.
- Utilize ADOT's Foreign Language Vendor List to engage LEP communities, if needed.
- Initiate intergovernmental coordination or collaborative efforts with service groups that can help identify and engage LEP communities.
- Use the [LEP Four Factor Analysis](#) to measure and document LEP needs in relation to the impacted project area. This analysis balances the following four factors:
  - I. The number or proportion of LEP persons served or encountered in the eligible service population ("served or encountered" includes those persons who would be served or encountered by the recipient if the persons received adequate education and outreach and the recipient provided sufficient language services)
  - II. The frequency with which LEP persons come into contact with the program
  - III. The nature and importance of the program, activity or service provided by the program
  - IV. The resources available and costs to the recipient.
- Conduct research through U.S. Census Bureau's "American Community Survey" and the Environmental Protection Agency's EJ page tool, which report data on "language spoken at home" and Linguistically Isolated Households to help identify LEP persons.
- Utilize the Safe Harbor Threshold as a guide to determine when written translation of vital documents for each eligible LEP language group is necessary. Eligibility is met if the LEP language group constitutes five percent (5%) or 1,000 persons, whichever is less, of the total population of persons eligible to be served or likely to be affected or encountered, by the program or activity.
- Develop contacts, mailing lists, and other means to initiate and continue communication.
- Include Title VI language on all advertisements for the public.
- Provide Title VI brochures, poster and the voluntary Self Identification Survey cards in both English and Spanish (or other languages as identified) at all public events hosted by ADOT.
- With reasonable advance notice, provide requested translation services at all public meetings.
- Select meeting locations that are accessible by public transportation.
- Provide digital and printed materials in the language(s) of the identified LEP group(s).
- Use visual images or simulation videos, especially at public meetings, when feasible.

## 1.6 FEDERAL HIGHWAY ADMINISTRATION (FHWA)

The [Federal Highway Administration](#) (FHWA) is an agency within the U.S. Department of Transportation that supports state and local governments in the design, construction and maintenance of the nation's highway

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system and various federally and tribal-owned lands. FHWA supports state and local governments through the [Federal-Aid Highway Program](#) (FAHP) in the design and construction of roads and bridges.

In addition to the stated NEPA requirements for public involvement, the following regulation prescribes the policies and procedures of the FHWA and the Federal Transit Administration FTA (FTA) for implementing NEPA as amended and the regulation of the [Council on Environmental Quality](#) (CEQ), 40 CFR 1500-1508. This regulation sets forth all FHWA, FTA and U.S. Department of Transportation (DOT) requirements under NEPA for the processing of highway and urban mass transportation projects.

The Code of Federal Regulations (CFR) Title 23 (referring to Highways) identifies the requirements for public involvement. Pursuant to [23 CFR Section 771.111](#), ADOT is required to provide the appropriate documentation and implement the following guidance within the PIP for NEPA studies:

- Public involvement in the identification of social, community, economic and environmental impacts, as well as impacts associated with relocation of individuals, groups or institutions
- Public hearings at convenient times and places for any project that has substantial impact on right of way; layout or functions of roadways or facilities; adjacent properties; or social, community, economic, or environmental resources
- Reasonable notice of public hearings and other public meetings
- Explanation during public hearings of the project purpose and need; consistency with local plans; project alternatives and major features; social, community, economic and environmental impacts; relocation assistance and right-of-way acquisition programs; and procedures for receiving oral and written comments from the public
- Submission of a public hearing transcript to FHWA and certification that a required hearing opportunity was offered
- Public involvement opportunities in defining the purpose and need and range of alternatives to be considered in an environmental document
- Public notice and the opportunity for public review and public comment on of [Section 4\(f\) de Minimis](#) impact findings
- Public notice and the opportunity for public review and public comment on impacts to historically significant properties and other resources in accordance with the [FHWA Historic Preservation and Archeology Program](#)

FHWA requirements outlined in [23 CFR Section 450.210](#), specify that for states that are carrying out the statewide transportation planning process, including development of the Long Range Transportation Plan (LRTP) and the Statewide Transportation Improvement Program (STIP), the state shall develop and use a documented public involvement process that provides opportunities for public review and comment at key decision points. The LRTP and STIP will follow the guidance and policies for public involvement detailed within this public involvement plan.

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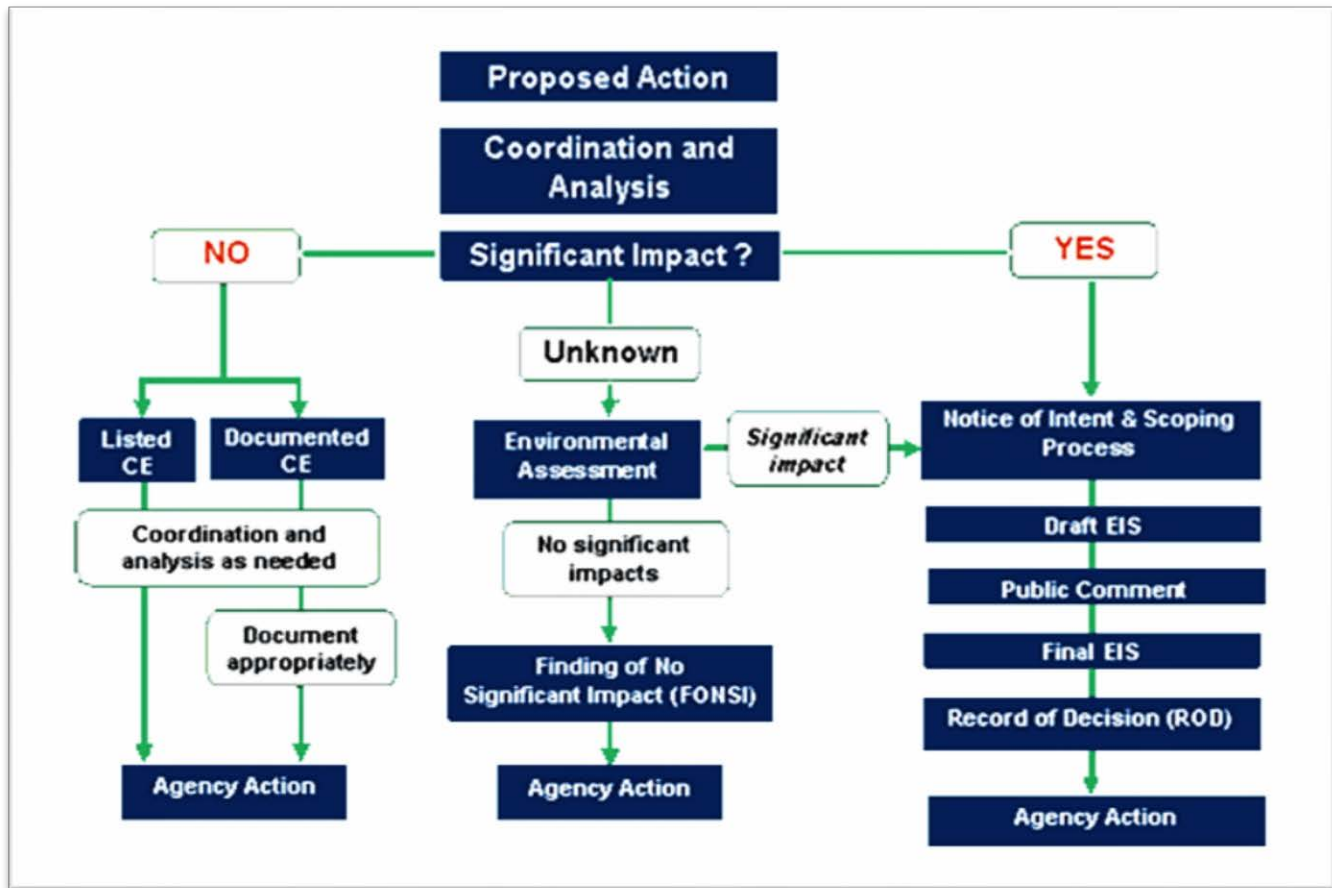
## 1.7 NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) of 1969

The NEPA process requires environmental analysis of proposed actions prior to making decisions, including constructing highways and other publicly owned facilities. The FHWA oversees the NEPA process at the federal level to guide the overall process. Using the NEPA process (Figure 2), agencies evaluate the environmental and related social and economic effects of their proposed actions. Agencies must also provide opportunities for public review and comment on those evaluations. In cooperation with FHWA, ADOT must follow the NEPA process for all federally funded projects. ADOT Environmental Planning (EP) will work closely with Communications to ensure NEPA compliance for meaningful public involvement when assessing the environmental effects of the proposed actions.

ADOT will implement the following required [public involvement guidelines](#) mandatory for all NEPA studies and ensure that disabled, LEP and EJ communities are identified and engaged:

- Use of public hearings or meetings when appropriate
- Solicitation of information from the public
- Provide reasonable access to and an explanation of where information about the NEPA process and ongoing environmental documents can be found
- Public review of environmental documents, comments received and any supporting documents
- Providing public notice of NEPA-related hearing(s), public meetings and the availability of environmental documents through direct notice to those who have requested it, publication in the Federal Register (for actions of national concerns) and the following for actions that are primarily of local concern:
  - Notice to Native American Tribes, where appropriate
  - Publication in local newspapers of general circulation
  - Notice through other local media
  - Notice to potentially interested community organizations
  - Publication in newsletters that may reach interested persons
  - Direct mailing to owners and occupants of affected property
  - Posting of notice on and off site in the area where the action is to be located

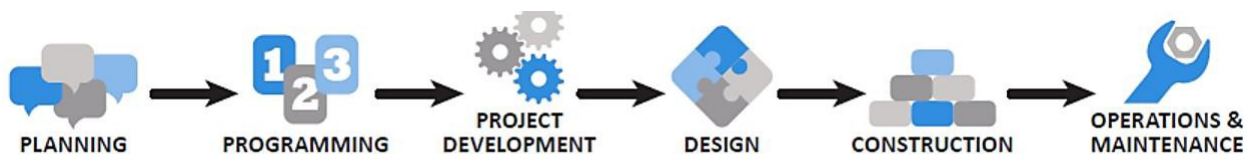
Figure 2: NEPA process



## CHAPTER 2 - PUBLIC INVOLEVMENT

The Transportation Decision-Making process (Figure 3) depicts a general overview of how projects move from planning stages to construction. The following content will address the transportation decision-making processes and the standards to be implemented to ensure ADOT or its partnering agencies implement transparent, meaningful public involvement.

Figure 3: Transportation Decision-Making Process



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## 2.1 Planning to Programming

The public participation process for statewide transportation planning and programming is authorized by the [Moving Ahead for Progress in the 21st Century law](#) (MAP-21), the Fixing America's Surface Transportation ([FAST Act](#)) and [23 Code of Federal Regulations](#) (CFR) §450.210, and are intended to complement and coordinate all planning efforts. The process is not intended to replace local (e.g., city and county-level planning) or regional public participation processes such as neighborhood and local-level transportation plans, regional corridor plans or feasibility studies. According to 23 CFR 450.210, the state shall develop and use a documented public involvement process that shall be reviewed periodically for effectiveness to ensure full and open access is provided to all interested parties.

ADOT's public involvement documentation required for both planning and programming efforts should reflect the federal guidelines followed under Title VI, such as, Environmental Justice (EJ), and Limited English Proficiency (LEP) discussed in Chapter One, as well as the Americans with Disabilities Act (ADA).

Transportation is critical to our state's economic vitality and our quality of life, which is why ADOT engages in a forward-thinking planning process that encourages community and stakeholder participation in transportation investment decisions. The first step in the transportation decision-making process includes planning. Planning consists of large corridor studies that are documented in ADOT's [Long-Range Transportation Plan](#) (LRTP). The large corridor studies from planning are then prioritized into transportation projects to be programmed through the [State Transportation Improvement Program](#) (STIP) and [Five-Year Transportation Facilities Construction Program](#). The following identifies the public involvement activities undertaken for planning and programming documents prior to finalization.

### [Long-Range Transportation Plan](#)

The LRTP identifies corridors to be studied for improvements, but also must take revenues and funding into account. This plan looks 20-25 years into the future and identifies the state's transportation needs while estimating what resources will be available to meet those needs. This is the plan that sets the overall strategic priorities that guide ADOT's investments in the future. According to Arizona law, the LRTP must be updated every five years. While the LRTP sets *priorities*, the *projects* that are actually chosen are in the STIP and Five-Year Transportation Facilities Construction Program.

Throughout corridor planning, extensive effort should be made to reach out to as many groups as possible to receive comments directly from the public who will benefit from and be impacted by the transportation project in the future, including Title VI, EJ and LEP populations. The public should receive advance notice of the availability of the document for review and comments. Notice should also be given to the public through established community outlets about when the document is final and the location of where it can be reviewed. Public comments should be addressed in all final reports through a summary.



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### ***State Transportation Improvement Program***

The STIP identifies statewide priorities for transportation projects. It is a compilation of projects utilizing various federal funding programs and includes highway projects on the cities, counties, and state highway systems, as well as projects in the National Parks, US Forest Service, and Indian Reservation Roads. This is a four-year project list developed in cooperation with the FHWA, [Federal Transit Administration](#) (FTA), [Council of Governments](#) (COGs) and the [Metropolitan Planning Organizations](#) (MPOs). ADOT's [Multimodal Planning Division](#) (MPD) develops and produces the STIP through a list of projects compiled by the Planning and Programming Section.

Projects in the STIP must be consistent with the statewide LRTP and metropolitan [Transportation Improvement Programs](#) (TIPs). Funding priorities should be determined by an inclusive, transparent and impartial planning process.

There is extensive public involvement through public hearings and other public involvement tactics, as described in Chapter Five that follows. A minimum of 30 days for public comment of the STIP is provided. All comments collected and reviewed, and receive an appropriate response. Once the STIP is approved by FHWA and FTA, the final printed version is made available to the public and also is posted on the ADOT website. Amendments to the STIP are on-going and are updated on the ADOT [website](#).

Working with the COGs, MPOs and other organizations, compliance with Title VI requirements, including outreach to EJ and LEP populations, is emphasized and documented as part of the outreach process.

### ***Five-Year Transportation Facilities Construction Program***

ADOT's Five-Year Transportation Facilities Construction Program (program) is a lineup of projects that is revised annually. It serves as a blueprint for future projects and designates how much local, state and federal funding is allocated for those projects. It begins with a long-range visioning process, moves into a more realistic 20-year plan and finally yields each program. The program is developed by working closely with local planning organizations and community leaders to identify ready-to-construct or design projects.

In compliance with federal regulations, ADOT takes reasonable steps to make the "draft" program available for public review and comment. To comply with this requirement, ADOT holds public hearings throughout the state. Meeting attendees are given the opportunity to address the State Transportation Board on any item in the "draft" program. ADOT also provides a webpage, a project email address and a project telephone hotline to accept public comments on the program, and has developed a "how to read it" guide as a public resource. The State Transportation Board considers all public comments before voting on the program.

## **2.2 PUBLIC INVOLVEMENT DURING PROJECT DEVELOPMENT**

ADOT undertakes most of its public involvement activities during the project development phase for projects that generally require an environmental review under the NEPA process. Different public involvement activities are developed to meet federal and state requirements to ensure public participation by a broad range of stakeholders. Key activities might include the following based on project scope, and such strategies should be documented in a project-specific public involvement plan (PIP) (see Chapter 4):



- 
- Formal scoping meetings
  - Public information meetings
  - Alternatives meetings and/or workshops
  - Public meetings and hearings at a convenient and accessible location and time
  - Transcript of the public hearings available for public review
  - Reasonable access to project information

During the NEPA process, the project team often holds several public meetings, including scoping meetings; information meetings and workshops; and public hearings. Other public-involvement outreach techniques include but are not limited to newsletters, brochures and websites. The scope of public involvement differs with each project-development study and is adapted to the complexity of the project.

## 2.3 ELEMENTS OF PUBLIC INVOLVEMENT IN PROJECT DEVELOPMENT

Public involvement during the project-development phase might include the following activities (although not all are applicable to every project) and will be documented in a PIP:

- Elected Officials / Agency Kickoff Meeting
- Public Kickoff Meeting
- Scoping Meeting
- Corridor Public Meetings
- Alternatives Public Meetings
- Meetings with local agencies (MPO, city, town, county)
- Meetings with special-interest groups (businesses and homeowner associations)
- Tribal meetings
- Public Hearings
- Newsletters
- Project Website

If a PIP is generated during project development, this starts the first of three “chapters” of the overall project-specific PIP. At the conclusion of the project-development study, any commitments made to, and recommendations made by, the public will be documented in the environmental document and carried forward into the design phase. All public comments and responses by the project team during project development will be available to the public.

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## 2.4 PUBLIC INVOLVEMENT DURING DESIGN

Projects such as highway and bridge rehabilitation projects and transportation alternative projects generally do not go through an extensive NEPA process. Public involvement for these projects is generally limited to the project scoping conducted by ADOT Environmental Planning (EP) under NEPA guidelines for scoping projects with categorical exclusions.

If the project went through the project development phase, the design team should collect useful information such as mailing lists and stakeholder databases; issues that arose during the public meetings; community interviews and stakeholder assessments; and commitments made during project development. For projects and public involvement activities that require a PIP during the design phase, ADOT Communications will initiate a reassessment of the stakeholders and community makeup.

## 2.5 ELEMENTS OF PUBLIC INVOLVEMENT IN DESIGN PHASE

Public involvement during the design phase may include the following activities, although not all are applicable to every project:

- Elected Officials / Agency Kickoff Meeting
- Meetings with local agencies (MPO, city, town, county)
- Meetings with special-interest groups (businesses and homeowner associations)
- Meetings with tribal communities
- Public information meetings (typically at 60 percent design)
- Newsletters
- Project website

## 2.6 PUBLIC INVOLVEMENT DURING CONSTRUCTION

During construction, public involvement transitions to public information. ADOT Communications provides the public with information about lane closures, median changes, business-access impacts, work hours and work zones, detours, milestones and ultimately completion of the project. Public involvement activities in the construction phase should begin with a reassessment of the stakeholders and community makeup from the design phase, and a new “chapter” for construction should be added to the overall project-specific PIP from design. At this stage, the project-specific PIP should contain three “chapters” associated with the life of the project: Development, Design and Construction.

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At the construction stage, ADOT is responsible for engaging with the public to provide up-to-date information and address concerns to minimize the disruption to residents, businesses and the community while work is underway. LEP and ADA considerations should remain at the forefront for this phase of outreach, and should be fully documented.

## 2.7 ELEMENTS OF PUBLIC INVOLVEMENT IN CONSTRUCTION PHASE

Public involvement during the construction phase may include the following activities, although not all are applicable to every project:

- Elected Officials / Agency Kickoff Meeting;
- Meetings with emergency service providers (Transportation System Management meetings);
- Meetings with local agencies (MPO, city, town, county);
- Meetings with special interest groups (businesses, professional associations and homeowner associations).
- Meetings with tribal communities
- Public information meetings
- Newsletters
- Travel alerts
- Project website

## 2.8 PUBLIC INVOLVEMENT DURING OPERATIONS / MAINTENANCE

Like construction, public involvement during the operations and maintenance phase is typically focused on informing people about lane closures, work zones, detours and temporary access impacts, if any.

Examples of operations activities include improvements to traffic signals, pavement markings and signage. Example maintenance activities are roadside mowing/landscaping, pavement repairs and drainage-system upkeep. Public involvement during operations and maintenance activities may be limited to the use of Variable Message Signs (VMS), Dynamic Message Signs (DMS) and traffic alerts. However, there may be times when public meetings are necessary to address the concerns of adjacent property owners or neighborhoods.

The operations and maintenance stage of the project could occur years after the construction phase. The community profile data contained in the project-specific PIP should be updated to serve as a tool for ADOT or its contractors to engage the public. Title VI, EJ, LEP and ADA considerations should remain at the forefront for this phase of outreach, and should be fully documented.

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## 2.9 PUBLIC INVOLVEMENT FOR LOCAL PUBLIC AGENCY (LPA) PROJECTS

The LPA section serves to support the [Federal-Aid Highway Program](#) (FAHP) in Arizona, primarily working with local public agencies and development technical groups. Federally funded LPA programs are a focus area for the FHWA Arizona Division and as well as nationally. This type of program is modeled throughout the country. NEPA approval is a critical step in project development and required for every project with federal funding. Project design must not advance too far without NEPA approval in order to remain compliant with FHWA regulations. ADOT will provide guidance to LPA and development technical groups to ensure that public involvement goals and strategies align with ADOT expectations. It is recommended that local jurisdictions work closely with ADOT EP and Communications, and utilize ADOT's PIP as a guide to implement inclusive and impactful public involvement throughout the project-development process.

## CHAPTER 3 - INTRODUCTION TO PROJECT-SPECIFIC PUBLIC INVOLVEMENT PLANS

This chapter will focus on the development of, and content for, public involvement plans generated for each project and updated at each milestone of the transportation decision-making process.

### 3.1 DESIGN OF PROJECT - SPECIFIC PUBLIC INVOLVEMENT PLAN (PIP)

A comprehensive and community-tailored, project-specific PIP is crucial to the success of any public involvement effort, regardless of whether it is a highway or transit project (See Appendix C). The purpose of the project-specific PIP is to develop, implement and document methods used to reach the public who may be affected by or are interested in a proposed project. As mentioned in the previous chapter, a project-specific PIP is typically used as a "roadmap" that guides public involvement at each stage of the transportation decision-making process. It will generally consist of three chapters: Project Development, Design, and Construction. The project-specific PIP should state the following, as appropriate to the scale of the project at the onset of each chapter:

- Project background, and the purpose and need for the project
- Public involvement goals and how those goals will be measured
- A description of the community (including demographics, history and background)
- A list of community concerns (past and present)
- Title VI
- Research and documentation of EJ, ADA and LEP communities within the project area
- Public involvement activities that should be implemented to achieve public involvement goals
- Documentation and evaluation of public involvement activities
- Public Involvement summaries completed at each stage of the transportation decision-making process (to be provided to the ADOT CRO).

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The ultimate goal is to incorporate all people into the decision-making process, adjust to the community's needs and solicit input throughout the life of a project. The project-specific PIP should also demonstrate how adjustments or accommodations were made to involve the public at each stage of the transportation-decision making process.

## CHAPTER 4 - PUBLIC INVOLVEMENT ROLES AND RESPONSIBILITIES

Public involvement, depending upon the complexity of the project, can require a large team of professionals. All project team members should be familiar with the guidance and practices stated in this document and especially with the federal requirements for Title VI, EJ, ADA and LEP outreach and for NEPA, if applicable. For compliance purposes, group or individual training will be provided by the designated Communications Civil Rights Office liaison with coordination from an ADOT Civil Rights Office representative, prior to any team member working on a project that may require public outreach.

ADOT has identified the following participants as core team members: FHWA, other project-specific stakeholders, the ADOT Communications Division, the ADOT Multimodal Planning Division, ADOT Environmental Planning, ADOT Project Management, the ADOT Civil Rights Office, appropriate ADOT districts and professional consultants. (See Appendix B – Example of a Public Involvement Responsibilities Matrix.)

**Other Project-Specific Stakeholders** – Includes Metropolitan Planning Organizations (MPO), Councils of Governments (COG), Local Public Agency (LPA), tribes and other state and federal agencies.

**Communications Division** – The Communications Division includes several strategic areas to manage ADOT's communication services. Communications strives to:

- implement public involvement strategies that engage external stakeholders and provide ADOT with guidance regarding what is important and acceptable to the community while working to integrate public input when possible to enhance ADOT efforts.
- inform and involve Arizona's elected officials and staff at the local, state and federal levels in ADOT's activities affecting their constituencies.
- identify key constituent contacts, provide timely resolution to their requests and monitor trends of constituent inquiries.
- produce multimedia communication materials that illustrate ADOT's activities and accomplishments, promote public awareness of issues and create avenues for dialogue.

**Multimodal Planning Division** – The Multimodal Planning Division manages long-term planning of projects prior to the project-development phase. A key aspect of MPD's work is assessing projects before they are included in the STIP.

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**Environmental Planning** –Environmental Planning consists of multidisciplinary professionals. The focus of the EP is to:

- serve as the liaison between ADOT Communications and FHWA for NEPA compliance.
- ensure proper consideration of natural resources, the human environment, socioeconomic issues and cultural resources during all engineering design and construction projects.
- provide assistance to ensure that each project complies with the NEPA and all applicable environmental laws to meet the requirements of the Federal Aid Highway Program (FAHP).

**Project Management** –Project Management is comprised of engineering professionals who provide quality project management services and management support for the timely and cost-effective implementation of the ADOT construction program, regional transportation plans and federal-aid transportation programs.

**Civil Rights Office** – The [Civil Rights Office](#) works to ensure ADOT’s compliance with federal and state laws governing affirmative action, accessibility under the ADA, equal opportunity in employment, business participation and services to the public. The CRO also provides guidance and technical assistance regarding Civil Rights nondiscrimination program matters to ADOT employees, its sub-recipients, customers and stakeholders. Frequent communications between the CRO and the designated Communications Civil Rights Office liaison is required to ensure compliance in all PIP efforts.

**Districts** – The ADOT Districts are located in seven areas throughout the state and have development, construction, environmental, permitting, maintenance and traffic engineering components within them.

**Professional Consultants** – Consultants can be utilized to supplement the study or project team. Depending on the study or project, consultants may assist with technical planning, engineering and construction, or public involvement activities.

## CHAPTER 5 – PUBLIC INVOLVEMENT TOOLS AND TECHNIQUES

This chapter focuses on methods for sharing project information and promoting public involvement activities.

### 5.1 WORKING WITH THE MEDIA

Utilizing multi-lingual media outlets is an effective way to inform the public on transportation projects and generate public involvement at key decision-making milestones. ADOT’s Public Information Office (PIO) serves as the lead for all media campaigns, contacts and inquiries. All media engagement should be documented and activities summarized within the project-specific PIP. Effective media campaigns should target the media outlets the impacted public regularly accesses; therefore, advance research conducted by the project team is needed to tailor media efforts. For large-scale projects, media kits can be disseminated through the PIO office for projects.

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Typical media kits include these project-related tools:

- Fact Sheets
- Talking Points
- Press Releases
- Maps

Despite the effectiveness of media relations in promoting ADOT projects, activities or initiatives, it cannot replace on-the-ground community relations and public involvement efforts.

## 5.2 SOCIAL MEDIA

Social media has become a cornerstone of effective communication in the past decade. Social media is not a replacement for other forms of outreach, but it can help broaden outreach, increase awareness and education and provide engagement opportunities to the public who traditionally do not participate. Social media should not stand alone and does not supplement the need for customary outreach tools such as public meetings, workshops, local outreach and hard-copy information materials such as factsheets.

Facebook pages and Twitter feeds are examples of digital project communication. ADOT has its own Twitter ([twitter.com/ArizonaDOT](https://twitter.com/ArizonaDOT)), Facebook ([facebook.com/AZDOT](https://facebook.com/AZDOT)), Blog ([azdot.gov/blog](https://azdot.gov/blog)) and YouTube ([youtube.com/ArizonaDOT](https://youtube.com/ArizonaDOT)) accounts, and places notifications about project events and activities on these outlets. Social media accounts are generally not created for individual projects in an effort to maximize audience engagement and exposure.

## 5.3 WEBSITES

Websites are an effective method of communication that provide a central, consistent source of information and updates about the project. Websites are also useful for keeping track of public interest through website traffic tracking and analysis tools. Websites must meet ADA accessibility requirements. ADOT often conducts surveys and polls through the project website at critical milestones to efficiently gauge public opinion of the decision-making process. Automation tools allow for ADOT websites to be translated into the user's choice of dozens of languages.

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## 5.4 COMMUNITY OUTREACH

Public involvement aims to involve the largest possible segment of the population. Yet traditional methods such as meetings and hearings might be attended by only a small group of people compared to the number who are interested or impacted.

To maximize public engagement, ADOT attends public events or identifies public places to disseminate information pertinent to the project, either by distributing fliers or by setting up kiosks/booths to discuss details of the project. Following are examples of nontraditional places where grassroots outreach can be used:

- Distributing information about a project or upcoming opportunities for public involvement at transportation hubs, transfer stations or heavily used transit stops; this is especially beneficial for transit projects.
- Setting up a booth at community fairs or events to increase exposure for a project plan and distribute fliers or other information
- Sharing posters or project information at shopping centers, where the project team can reach a large number of people from diverse backgrounds, and at community centers or other common community gathering places (the latter can be highly effective when reaching Native American communities, e.g., coordinating with chapter houses and other locations where other community information is regularly shared)
- Hosting community meetings
- Meeting with members of a community to seek their assistance with distributing information and/or collecting feedback

## 5.5 ADDITIONAL PUBLIC INVOLVEMENT TOOLS AND TECHNIQUES

In addition to the public involvement tools and techniques discussed earlier, ADOT implements many tools and techniques from the widely accepted International Association for Public Participation (IAP2) public participation toolbox. The goal of the various public involvement tools is to maximize community engagement, especially for communities traditionally underserved. These materials should be concise and contain visuals when possible. Many of these tools and techniques have been sourced from the IAP2 public participation toolbox:

### **Printed public information materials:**

- Fact Sheets
- Newsletters
- Brochures
- Display boards
- Fliers



- 
- Notices
  - Social Media Posts
  - Webpage
  - Project business cards

**Frequently asked questions (FAQs):**

- A list of common or anticipated study or project-related questions, accompanied by answers

**Online public meetings and hearings:**

- Project materials are shared online allowing participation to occur at the leisure of the participant

**Information Repositories:**

- Libraries, city halls, distribution centers, schools and other public facilities are effective locations for providing project-related information, with prior authorization

**Technical reports:**

- Technical documents reporting research or policy findings

**Advertisements:**

- Paid advertisements in newspapers and magazines

**Newspaper inserts:**

- A “fact sheet” within the local newspaper

**Feature stories:**

- Focused stories on general project-related issues

**Bill stuffer:**

- Information flier included with monthly utility bill

**Information centers and field offices:**

- Offices established with prescribed hours to distribute information and respond to inquiries

**Briefings:**

- Use regular meetings of social and civic clubs and organizations to provide an opportunity to inform and educate. Groups such as these often need speakers. Examples of target audiences: Rotary Club, Lions Clubs, Elks Clubs, Kiwanis, etc. This is also an effective technique for elected officials.

**Information hotline/information line:**

- Identify a separate line for public access to prerecorded project information or to reach project team members who can answer questions and garner input, with accommodation for LEP audiences

**Interviews:**

- One-on-one meetings with members of the public to gain information for developing or refining public involvement and consensus-building programs

**Response sheets:**

- Mail-in forms often included in fact sheets and other project mailings to gain information on public concerns and preferences

**Internet surveys:**

- Web-based response surveys

**Tours:**

- Provide tours for key stakeholders, elected officials and the media

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**Computer-facilitated workshop:**

- Any sized meeting when participants use interactive computer technology to register opinions

## CHAPTER 6 – STAKEHOLDER ASSESSMENT

Public involvement activities must be accessible to anyone who has an interest in the project, regardless of race, national origin, sex, age, income level or disability. Making sure that all interested members of the public are provided the opportunity to have input helps ADOT comply with federal nondiscrimination regulations, including Title VI, ADA, EJ and LEP. In addition to legal requirements for public involvement, the more that is known about the study area population, the more effective the public involvement will be. ADOT conducts stakeholder assessments as needed to comply with federal regulations and for projects that will be high impact and/or will impact densely populated areas, businesses or other commercial/industrial areas. This chapter provides guidance on how to conduct stakeholder assessments. (See Appendix D).

Stakeholder assessments are also a method to empower people by gaining their assistance in identifying engagement strategies that might be most effective within their own communities. In-person stakeholder assessments are ideal; however, phone, email or survey methods may appeal to a larger majority. The following factors/demographics should be documented and addressed in a PIP:

- Race
- Age
- Sex
- Income levels
- Home ownership and occupancy
- Disability
- Language spoken at home
- Vehicles available/use of transit
- Employment

### 6.1 STAKEHOLDER INTERVIEWS

If the area of proposed improvements encompasses a large region, a representative sample of the stakeholders listed below should be consulted, especially in the EJ areas if applicable, or other groups that might be difficult to reach:

- Community leaders
- Teachers
- Law Enforcement

- 
- Health care practitioners
  - Social services
  - Clergy
  - Residents
  - Businesses

Below are sample interview questions to assist with stakeholder assessments as seen in Appendix D. These questions should be tailored with specific information related to the project's purpose and need. Stakeholder assessments should be conducted and reevaluated at each stage of the project development process, but are most critical at the early stages of project planning.

#### **SAMPLE INTERVIEW QUESTIONS:**

- 1. How do you view the current situation?**
  - a. What issues are involved in the decision?*
  - b. How important are these issues to you?*
  - c. What are your main interests in this project or decision?*
  - d. What information and sources of information are available to you now?*
  - e. What other information would be helpful?*
- 2. Who's affected?**
  - a. Who else should I be speaking to?*
  - b. Whose support is crucial to implementing the decision?*
  - c. Who has the ability to block implementation of the decision?*
  - d. What are the important relationships among stakeholders in this community?*
- 3. How would you like to be involved?**
  - a. What role would you like to play or do you feel the community would like to play in decision making?*
  - b. What are the best forums for your involvement?*
  - c. How would you like to receive information and what are the sources of information that you use and trust?*
- 4. What's next?**
  - a. What types of things could be done to help make this a meaningful process for your community?*

## **CHAPTER 7 – PUBLIC INFORMATION MEETINGS**

Public meetings can take the form of advisory committees, workshops, focus groups, forums, open houses and charrettes. The overall goal of any public meeting is to share information and continue dialogue. This chapter discusses different meeting formats, tools and techniques for effective meetings.

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## 7.1 PUBLIC MEETING PLANNING

Before scheduling a public meeting, it is important to define objectives and determine the specific purpose of conducting the meeting. What information does ADOT want to collect from the public or communicate to the public? To assist in designing the format for any public event, collaboration with the project team should first be conducted to determine the project goals and desired outcome of the meeting. ADOT Communications utilizes the public meeting checklist (See Appendix E).

## 7.2 MEETING FORMAT

The most conventional format for public meetings is a setup that allows the audience to review project information, typically through visual displays (e.g. posters boards or roll plots), prior to a formal presentation and discussion occurs with the project team both before and after the formal presentation.

Public information meetings do not require a formal presentation; instead, information can be presented through display boards, a looping video or looping presentation with project team staff available to answer questions and engage public attendees.

It is important that the selected meeting format allows for the public to provide comments and staff to adequately document comments received for reporting purposes.

## 7.3 MEETING LOCATION

Public meeting locations should typically be convenient to attend and within or near the project area. Ideal locations include schools, government facilities, community centers, libraries and other neutral sites. It is important that the facility complies with the requirements of the ADA (section 1.3 found on page 8) and is accessible to EJ communities. Community contacts obtained through the Stakeholder Assessment or Community Interviews discussed in Chapter 6 can also provide insight into a neutral or accessible meeting location.

Before confirming a meeting location, schedule an appointment to visit the facility to ensure the space allows the meeting goals to be met. Take pictures of the room, check the audio/visual equipment, electrical outlets and furniture options for the desired setup. Consider the following items when selecting the meeting location:

- Can people walk easily from transit?
- Is there sufficient free public parking?
- Is there a place for signage directing people to the correct room?
- Is the parking lot well-lit for an evening meeting?
- If a sound system is needed, does the facility provide such equipment?
- Is the facility ADA compliant?

- 
- Are other events or meetings scheduled there on the same date and time and, if so, could they conflict with or disrupt your event?

“Piggybacking” on other meetings is an alternative with equal benefits to ADOT hosting its own public meeting. Today, many people are already engaged or committed to attending local community events and may not have time to attend a separate meeting. This type of meeting integration could lend itself to increased public feedback, reach broader audiences, and directly engage with ADA, LEP, EJ, and other members of the impacted project area who might not traditionally participate in the transportation decision-making process. When “piggybacking” on another meeting, however, it is important for the ADOT representative(s) to clarify when the meeting is being utilized to share project-specific information vs. the remainder of the meeting which is not related to ADOT or the project.

## 7.4 MEETING ROOM LAYOUT

The meeting room layout should be arranged to accommodate the number of people expected and the elements according to the purpose of the meeting. Ideally, a layout of the room will be drafted before the meeting is set up. Additionally, the room should be ADA compliant and outfitted to accommodate any LEP requests made prior to the meeting.

## 7.5 MEETING TIME AND DATE

Knowledge about the community is critical to determining the right date and time to host a meeting. For example, if the project study area includes a large population of retirees, it may be beneficial to hold the meetings during the morning or afternoon. Similarly, if the community or audience includes individuals with regular working hours (8 a.m. to 5 p.m.), holding meetings at night or on weekends may better fit their schedules. Data collected from Stakeholder Assessments and Community Interviews can also serve as a resource to select the best meeting time. Most ADOT public meetings are held in the late afternoon/early evening to provide convenience for the most people.

When selecting the meeting date, it is important to consider potential conflicts, including:

- Local government meetings
- COG/MPO meetings
- Local special events
- Holidays
- Known religious services
- Local Chamber of Commerce meetings/events

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## 7.6 PUBLIC INFORMATION MEETING NOTIFICATION

With the audience in mind and input received from the Stakeholder Analysis and Community Interviews, the modes required for a meeting notification should be clear. For the traditionally underserved for example, bringing information directly into their communities via flier deliveries will increase their awareness of public meetings. For communities where English is not the primary language, translation of meeting notifications will also improve awareness and attendance.

Information regarding the meeting purpose, date, time and place should be clearly conveyed to the intended participants. The minimum requirements for meeting notifications that also comply with Title VI and NEPA are:

- Publishing an advertisement in a newspaper with local circulation in the project area; at least one advertisement is suggested prior to the meeting (Appendix F) and should include the following:
  - Date (month, day and year), start and stop time of event
  - Identify specific presentation time near top of advertisement
  - Name and complete address of facility, including ZIP code
  - Map of meeting venue and immediate surrounding area with north directional arrow
  - Brief scope and purpose and need for the project
  - Identify the project location, e.g. with a map when feasible
  - Describe the format of the meeting (presentation, open house, combination format, etc.)
  - Comment due date
  - Special accommodation wording/Title VI language (See figure 1 on page 7)
  - Project information line
  - Project email address
  - Project mailing address
  - Project website address
  - The type of comments being solicited
  - The dates of the public comment period
  - Include ADOT project name, project number and federal ID number, if applicable
- Posting a memo to ADOT department heads and the advertisement on the ADOT bulletin board located in the ADOT Administrative Building, 206 South 17th Avenue, Phoenix 85007 at least seven (7) business days prior to the meeting (Appendix G)
- Issuing a news release at least seven (7) business days prior to the meeting
- Providing notification to elected officials within the affected area.

**ADOT's Standard Nondiscrimination language as seen on page 7 of this document must be included on all notifications for ADOT meetings, events or other opportunities for public input.**

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## 7.7 PUBLIC INFORMATION MEETING STAFFING

As previously mentioned, all project staff should be familiar with the ADOT's PIP prior to any public outreach activity. When selecting staff for public information meetings, it is important to consider the following:

- **Qualifications:** Utilize staff members who have been working on the project or are familiar with the types of issues to be addressed at the event.
- **Personality:** Not everybody has the skills necessary to work with the public, which is why it is important to assign roles to those best suited to their personality type.
- **Roles:** For outreach activities that require more than three staff members, the event will run more smoothly and everybody involved will feel more useful if specific roles are assigned. Examples of roles for a typical public meeting, open house or forum are:
  - *Greeter/sign-in table:* Assign friendly staff to this task since they provide the first impression and are often the first to encounter individuals with concerns (See Appendix H).
  - *Circulators:* These people have the most knowledge about the project, can answer questions or know where to get the answers (project managers or subject-matter experts, e.g. the project manager; representatives from ADOT Environmental Planning or their designated consultant; and project engineers
  - *Media Relations:* If a member of the Office of Public Information is not in attendance, one individual should be assigned to coordinate with the media, preferably someone with ADOT.
  - *Government Relations:* One individual, preferably from ADOT Government Relations, should be assigned to coordinate with elected officials.
  - *Moderator/Facilitator:* Depending on the meeting format, a moderator can be useful in keeping the flow of comments moving in an equitable fashion and maintaining the meeting schedule. Typically the moderator/facilitator will be from the Office of Community Relations.
  - Assignments may also be needed for scribes and photographers-videographers.

The appropriate number of staff working the public meeting should be based on the number of anticipated attendees, as well as the meeting room layout and goals of the public meeting. If the attendee turnout is lower than anticipated, extraneous staff should be excused.

## 7.8 PUBLIC INFORMATION MEETING STAFF BRIEFINGS

During every stage of planning a public involvement activity, it is important to keep every all project team members updated. Briefing meetings should take place before attending a meeting with the public. These meetings will ensure that members of the project team are well versed on the information being presented and able to answer questions anticipated from the public.

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Additional discussion and preparation can focus on the following:

- Who will attend
- Review handouts and display materials
- Review/rehearsal of presentation
- Develop internal talking points to be used by team members as a resource
- Agreement regarding roles and responsibilities of ADOT staff and consultant staff
- Determine room setup: direction of flow, where to enter, where displays are located, sign-in table, etc., and identify locations for specialized information stations such as video, comment stations and placement of staff members.

## 7.9 PUBLIC MEETING DOCUMENTATION AND EVALUATION

When public meetings occur, it is critical that public feedback and input be captured. Not every member of the public will feel comfortable speaking into a microphone. However, providing opportunities to speak into a microphone should be carefully considered since some cultures may have oral traditions. In most cases, it is recommended to hand out question cards (Appendix I) for people to write down questions, and for the moderator to read them aloud. To capture all input, it is important to assign note-takers at stations/displays to document input from the public through interaction with the project team. In addition, providing comment cards enables the project team to obtain input in a less formal manner. If appropriate, a court transcriber may be used to document all public comments.

Meeting evaluation forms are useful to continually improve outreach efforts. You might ask how the public heard about the meeting, whether they found the time and location convenient, and solicit contact information for a project distribution list.

It is also beneficial for the project team to ‘debrief’ after the meeting. Each project team member should participate in the debriefing with comments captured by the public and provide his or her unique perspective on how to improve future meetings. A representative from ADOT Communications will prepare a written summary of the debriefing meeting and comments collected to be sent to the project team within seven (7) working days.

## CHAPTER 8 – PUBLIC HEARINGS

This chapter discusses typical public hearing requirements for federally funded and non-federally funded projects. Public hearings are required for federally funded major transportation improvements, generally prior to a decision point. All Environmental Impact Statements (EISs) require public hearings. A public hearing or an opportunity for a public hearing is required for Environmental Assessments (EAs) (see figure 2 on page 13).

The primary difference between a public meeting and a public hearing is the flexibility that public meetings can employ vs. the scripted nature and set standards of a public hearing. Public hearings have specific timeframes



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associated with notice and advertising and comment due dates and also require an official transcription of comments becomes a formal part of the public record. Public hearings are, in most cases, held to comply with regulatory requirements, such as NEPA, and occur at pivotal points within the decision-making process. Public meetings are often scheduled at intervals throughout the decision-making process.

## 8.1 PUBLIC HEARING NOTIFICATION

ADOT's notifications for public meetings and hearings are similar as to comply with both NEPA and Title VI. ADOT will provide notification of a public hearing by placing a display advertisement at least 15 business days, but no more than 30 business days before the hearing. The advertisement must include the following information at minimum: (See Appendix J):

- The purpose of the public hearing
- Explanation of the format for the public hearing
- Project description (use of location map)
- Date, time and location of the public hearing
- Map of public hearing venue and immediate surrounding area with north directional arrow
- The recommended action (alternative)
- List of locations and other sources (such as web sites) where the environmental documents and other materials are available for public review
- List project information line
- List project email address
- List project mailing address
- List website address
- Include ADOT project number and federal ID number, if applicable
- Comment due date

**ADOT's Standard Nondiscrimination language as seen on page 7 of this document must be included on all advertisements or other notifications for public hearings or other opportunities for public input.**

## CHAPTER 9 – PUBLIC INVOLVEMENT DOCUMENTATION

Documentation of public involvement activities is critical to measure successes and demonstrate federal and state compliance for public involvement. Appropriate and complete documentation of public involvement activities, especially public feedback involves not only ADOT Communications' staff but the entire project team who had public interaction. Public involvement documentation provides a history and record of commitments made as a result of the outreach activities throughout each stage of the transportation decision-making process. This documentation should be used for Environmental and Title VI documentation and included as a chapter in

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the project-specific PIP. The public should also have access to such documentation to confirm their input was heard or otherwise received and considered.

This chapter will provide guidance on how to keep a record of public involvement efforts. Proper documentation includes compiling all materials related to the public involvement activity, summarizing and analyzing comments and describing how the comments are being addressed. This can be done in a public involvement summary.

## 9.1 PUBLIC INVOLVEMENT SUMMARY

The public involvement summary should contain all project components completed in their respective transportation-planning stages and how and when each was presented to the public, local agencies, elected officials and other stakeholders. It should follow a consistent flow of information as seen in Appendix K. This summary should be a concluding chapter in a project-specific PIP at the appropriate stage of the transportation decision-making process.

## 9.2 MANAGING PUBLIC COMMENTS

The public, in any one area or jurisdiction, may hold a diverse array of views and concerns on issues pertaining to their own specific transportation needs. Conducting meaningful public involvement involves seeking public input at specific and key points in the transportation decision-making process. The most common way for the public to provide input is through verbal and written methods. It is not only critical to obtain public input but it is even more important to demonstrate to the public that their comments have been heard or otherwise received and truly influenced the decision or set of actions.

To ensure public comments are included as part of the decision-making process and properly documented, a protocol is needed to collect and respond to comments. These comments can be collected at any time during the decision-making process using a variety of tools such as:

- Mail
- Telephone
- Email
- Project website
- ADOT social media sites
- Public meetings or hearings
- In-person interviews

It is suggested that public comments be logged with the following information, at a minimum:

- **Date** – This is important for documenting the evolution of the project. It also establishes a benchmark for a timely response.

- **Comment** – It is important to document the comment so a sufficient response can be developed and to understand potential trends that could emerge. All comments provided by members of the public should be documented as such (e.g., provided by a member of the public).
- **Name, address, telephone number and email address** – This information is optional and is often redacted within reports or summaries but is valuable information to obtain for the life of the project.
- **Nature of comment** – This data will allow for easy categorization of comments to be submitted for NEPA or Title VI documentation, and to capture and summarize trends.

ADOT documents comments in a comment log (See Appendix L). ADOT has also developed redundancy procedures on how comments are collected by telephone and email to minimize instances of comments not being included in the environmental documents or public involvement summaries (See Appendix M).

## CHAPTER 10 - CONCLUSION

Public input offers ADOT an opportunity to understand a community's values so it can better seek to avoid, minimize or mitigate impacts from agency decisions. This PIP addresses ADOT's public involvement practices during decision-making and program implementation activities. The fundamental premise of this plan is that, in all of its programs, ADOT recognizes that it is vital to provide for meaningful public involvement. Openness to the public furthers the ADOT mission by increasing ADOT's credibility and improving agency decision-making.

The guidelines and tactics outlined in this PIP will be implemented in the project-specific PIPs discussed in Chapter Four.

This document also provides guidance and tools to comply with federal statutes and regulations under Title VI, such as EJ, LEP, the ADA and NEPA. ADOT's willingness to remain open to new ideas from stakeholders, and to incorporate them where appropriate, is essential to achieving the agency Mission of providing a safe, efficient, cost effective transportation system.

## REFERENCES AND RESOURCES

### CHAPTER 1 – Requirements for Public Involvement

1. Federal Highway Act (Federal Aid Road Act) of 1916 -  
<http://www.fhwa.dot.gov/publications/publicroads/96summer/p96su2.cfm>
2. Intermodal surface Transportation Efficiency Act (ISTEA) of 1991 –  
<http://www.fhwa.dot.gov/publications/publicroads/01novdec/istea.cfm>
3. Transportation Equity Act for the 21<sup>st</sup> Century (TEA-21) of 1998 –  
<http://www.fhwa.dot.gov/tea21/factsheets/index.htm>
4. Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005 –  
<http://fhwa.dot.gov/safetealu/factsheets.htm>

- 
5. Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) of 2012 – <http://www.fhwa.dot.gov/map21/factsheets/>
  6. The Fixing America's Surface Transportation (FAST) Act of 2015 – <https://www.transportation.gov/fastact>
  7. Title 23 of the Code of Federal Regulations (CFR), Part 450.210 - [http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title23/23cfr450\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title23/23cfr450_main_02.tpl)
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  9. National Environmental Policy Act (NEPA) of 1969 - <http://www.epa.gov/Compliance/basics/nepa.html>
  10. Title 40 of the Code of Federal Regulations (CFR), Part 1506.6 - <http://www.gpo.gov/fdsys/granule/CFR-2010-title40-vol32/CFR-2010-title40-vol32-sec1506-6/content-detail.html>
  11. Americans with Disabilities Act (ADA) of 1990 – <http://www.ada.gov/>
  12. Title VI of the Civil Rights Act of 1964 – <http://www.justice.gov/crt/about/cor/coord/titlevistat.php>
  13. FHWA's [Public Involvement Techniques for Transportation Decision Making 2015 Update](#)
  14. National Cooperative Highway Research Program: [Practical Approaches for Involving Traditionally Underserved Populations in Transportation Decisionmaking](#)
  15. FHWA's Section 4(f) Tutorial – [https://www.environment.fhwa.dot.gov/section4f/use\\_deminimis.aspx](https://www.environment.fhwa.dot.gov/section4f/use_deminimis.aspx)
  16. FHWA's Environmental Review Kit - Historic Preservation Program – <https://www.environment.fhwa.dot.gov/histpres/index.asp>

## **CHAPTER 2 – Public Involvement Overview**

1. Public Involvement - [http://www.fhwa.dot.gov/planning/public\\_involvement/index.cfm](http://www.fhwa.dot.gov/planning/public_involvement/index.cfm)
2. International Association for Public Participation (IAP2), Core Values - <http://www.iap2.org/>

## **CHAPTER 3 – Public Involvement during Decision-Making Process**

1. Transportation Decision-Making Process - [http://www.dot.state.fl.us/emo/pubs/public\\_involvement/PI%20Handbook\\_December%2011%202014%20\(2\).pdf](http://www.dot.state.fl.us/emo/pubs/public_involvement/PI%20Handbook_December%2011%202014%20(2).pdf)

## **CHAPTER 5 – Public Involvement Tools and Techniques**

1. International Association for Public Participation (IAP2), Public Participation Toolbox (techniques for sharing information) - <http://www.iap2.org/>

## APPENDIX A: EXAMPLE OF A TITLE VI SUMMARY



### TITLE VI MEETING SUMMARY FOR *(Insert Project Name Here)*

**TO:** *Name of ADOT Title VI Representative*

**FROM:** *Name of appropriate ADOT Communications Staff*

**DATE:**

- **Name of Meeting:**
- **Meeting Date, Time and Location:**
- **Total number of attendees who signed in at the meeting:**
- **ADA Accommodation Requests (please specify the type of accommodation requested):**
- **ADA Accommodations Made:**
- **Language Interpreter Requests (please specify language requested):**
- **Language Interpreter Requests Made:**
- **Cost of interpreter services:**
- **Demographic Information of Attendees:**

Race/Hispanic Origin	Number
White alone, not Hispanic or Latino	
Hispanic or Latino	
American Indian and Alaska Native	
Asian	
Black or African American	
Native Hawaiian and Other Pacific Islander	
Female	
Male	

- **Number of Self-Identification Surveys Returned:**

*Note: attach a copy of any advertisements and mailers used to publicize this meeting and a photo of the Title VI display.*

## APPENDIX B: EXAMPLE OF A RESPONSIBILITIES MATRIX

	TASK/ACTIVITY	Communications	EPG	PM	FHWA	DISTRICT
I	Agency and public scoping letters <sup>1</sup>	Review (verify contacts)	Prepare	Review	Review	Review
II	Agency/ public scoping meetings <sup>2</sup>					
	Team prep meeting	Participate	Lead project team/schedule prep meetings	Participate	Participate	Participate
	Meeting location(s)	Identify/ schedule	Review	Review	Review	Review
	Newspaper ads	Prepare/ submit	Review	Review	Review	Review
	Meeting signs	Provide	N/A	N/A	N/A	N/A
	Moderator	Lead	N/A	Assist	N/A	N/A
	Tech presentation	Review	Prepare	Prepare	Review	Review
	Respond to questions	Lead	Assist	Assist	Assist	Assist
	Scoping report	Prepare/distribute	Review	Review	Review	Review
III	Public meetings/ workshops/ hearing <sup>3</sup>					
	Team prep meetings	Participate	Lead project team/schedule prep meetings	Participate	Participate	Participate
	Meeting location(s)	Identify/ schedule	Review	Review	Review	Review
	Newspaper ads	Prepare/ submit	Review	Review	Review	Review
	Meeting fliers	Prepare/ distribute	Review	Review	Review	Review
	Court reporter	Identify/ schedule	N/A	N/A	N/A	N/A
	Meeting signs	Provide	N/A	N/A	N/A	N/A
	Moderator	Lead	N/A	Assist	N/A	N/A
	Tech presentation	Review	Prepare	Prepare	Review	Review
	Respond to questions	Lead	Assist	Assist	Assist	Assist
	Comment summary	Prepare	Review	Review	Review	Review
	Transcript	Receive/ distribute	Review	Review	Review	Review
IV	Miscellaneous					
	Newsletters	Prepare draft; distribute after team review	Review	Review	Review	Review
	Mailing list	Compile list of government/media contacts; maintain overall list; provide regular updates to study team	Review	Review	Review	Review
	Surveys/ questionnaires	Prepare draft; distribute after team review	Review	Review	Review	Review
	Stakeholder interviews:	Schedule/emcee	Participate	Participate	Participate	Participate
V	Project website:					
	Project information	Prepare/post	Review	Review	Review	Review
	Comment response	Draft response	Review	Review	Review	Review
VI	Media coordination:					
	News releases	Prepare /submit	Review	Review	Review	Review
	Media briefs	Lead	Technical assistance	Technical assistance	Review	Review
	Respond to questions	Receive/ prepare/ distribute	Review	Review	Review	Review

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## APPENDIX C: EXAMPLE OF A PUBLIC INVOLVEMENT PLAN (PROJECT-SPECIFIC)

### **(Project Title Here)**

#### Public Outreach and Involvement Plan

Month/Year Prepared

by

Arizona Department of Transportation 206

S. 17th Ave.

Phoenix, AZ 85007 In

cooperation with

U.S. Department of Transportation

Federal Highway Administration

### **CHAPTER 1 – SCOPING**

The first step in developing a public involvement plan is to provide a clear project description to establish the foundation for a successful and achievable public participation process within the timeline, geographic area, staff and budget limitations of the overall project. This information will be used to explain the project to those persons subsequently engaged in public participation activities of the plan. This will also help communicate the boundaries of public participation in planning, program development or decision processes.

**Example:** *This project will focus on the creation of a Design Concept Report and Environmental Assessment for the US 60 (Grand Avenue) and Bell Road Interchange. Due to the compressed timeline, there will be a minimum of two public meetings – scoping and alternative selection and a public hearing. In addition, due to the high community interest in this project, a number of informational booths and a business forum will be held. If a Build Alternative is selected, ADOT, in cooperation with MAG and the city of Surprise, will create an urban design group that will work with the project team on landscaping and aesthetics. This plan will help guide ADOT Communications and the project team to obtain meaningful input from the community (elected officials, agencies, public, businesses and stakeholders). The public involvement process embraces innovation, commitment, transparency and trustworthiness in working with all project stakeholders and strives to create an environment that provides and promotes meaningful dialogue and opportunities for individuals with disabilities or language challenges to participate. This plan outlines the process objectives and describes the techniques to be used.*

#### **Study Description**

Insert description of the projects purpose and need (non-technical) as well as a graphic of the study area.

#### **Project Timeline**

Insert key phases of the public involvement plan as well as the purpose of each phase here. Also include other project delivery milestones.

#### **Stakeholders**

Be as specific as possible. Capture stakeholder information and the preferred contact method. Use the Checklist of Possible Stakeholders and Potentially Affected Parties (attached to the end of this template) to help identify the complete list relevant to your project, and then complete the Stakeholder Assessment. Remember to update both as your plans are revised and/or new information becomes available.

- 
- Summarize any prior, related public involvement efforts in the project area. (Sources include past public involvement efforts, and/or agency history. Information to capture includes commitments, issues, stakeholders, etc.)
  - Who is affected by the project—who must receive the message? Typically, essential involvement is with:
    - Affected property owners
    - The trucking industry
    - Title VI/Environmental Justice audiences
  - Who else do we want to communicate with? Differing group/stakeholders may need different messages at different times/frequencies.

### **Stakeholders' Level of Concern**

To determine the appropriate level of public participation, it is important to assess the degree to which the public considers the issue significant. The public will become involved according to its perception of the seriousness of the issue. Therefore, it is important to anticipate the public's level of interest or concern regarding a project or program. The Assessment Worksheet will help you think about questions you might ask to gauge the level of public interest or concern. The results of this worksheet can give you a general sense of the level of public participation recommended for the project. You may have additional questions that are important to the community to include in this assessment. In addition, a minimum level of public participation may be prescribed by regulation or federal requirements, in which case this worksheet might be useful in determining whether the minimum level is sufficient or a higher level should be considered. As you assess public interest or concern, be aware that the minimum level of participation will be public information and education. If any marks register at the "very high" level, careful evaluation should be given to the level of public participation even if the average score was otherwise low.

You may wish to complete this assessment with all members of the project team at the table and should consider doing one for each of the identified stakeholder groups. Use this area to summarize the identified level of concern for each of the stakeholder groups (matrix follows on next page):



Assessment Questions	Very Low Level 1	Low Level 2	Moderate Level 3	High Level 4	Very High Level 5
1. What is the anticipated level of conflict, concern controversy, or opportunity on this or related issues?					
2. How significant are the potential impacts to the public?					
3. How much do the major stakeholders care about this issue, project or program?					
4. What degree of involvement does the public appear to desire?					
5. What is the potential for public impact on the potential decision or project?					
6. How significant are the possible benefits of involving the public?					
7. How serious are the potential ramifications of NOT involving the public?					
8. What level of public participation does the Board of Supervisors desire or expect?					
9. What is the possibility that the media will become interested?					
10. What is the probable level of difficulty in solving the problem or advancing the project?					
<i>Count number of checks in each column</i>	0	0	0	0	0
<i>Multiply number of checks by level number</i>	0	0	0	0	0
<i>Total all 5 columns</i>	0				

### Level of Public Participation

After assessing the level of public interest or concern, it will be easier to plan for the appropriate level of public participation and establish effective goals. The IAP2 Public Participation Spectrum below illustrates the five levels of public participation: Inform, Consult, Involve, Collaborate and Empower. Each of these levels serves a different purpose with a different outcome. A public participation plan will almost always require more than one level of participation.

Based on your results from the assessment worksheet, use the “Public Participation Spectrum” below to identify the appropriate level of public participation for your project. Note that each level has a different obligation and outcome.

- Enter the average score from the Assessment Worksheet in Step #2: \_\_\_\_
- Identify the public participation level using the Public Participation Spectrum on the page that follows:

## IAP2'S PUBLIC PARTICIPATION SPECTRUM



The IAP2 Federation has developed the Spectrum to help groups define the public's role in any public participation process. The IAP2 Spectrum is quickly becoming an international standard.

INCREASING IMPACT ON THE DECISION 					
	INFORM	CONSULT	INVOLVE	COLLABORATE	EMPOWER
PUBLIC PARTICIPATION GOAL	To provide the public with balanced and objective information to assist them in understanding the problem, alternatives, opportunities and/or solutions.	To obtain public feedback on analysis, alternatives and/or decisions.	To work directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered.	To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.	To place final decision making in the hands of the public.
PROMISE TO THE PUBLIC	We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and aspirations, and provide feedback on how public input influenced the decision. We will seek your feedback on drafts and proposals.	We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.	We will work together with you to formulate solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.

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### Identify Public Participation Goals

After determining the appropriate level of public participation for the project, the next step is to define your goals for inviting the public to participate. Refer to the "Promise to the Public" list in the Public Participation Spectrum as you refine your goals. You may also combine different levels of participation, along with media and other public outreach components, in your goals.

Here are questions to consider as you develop your goals:

Could this be an opportunity to:

- Create a better project?
- Incorporate other community goals into the project?
- Benefit from public input, involvement or support regarding the project?
- Collaborate with community members or organizations in overlapping areas?
- Raise visibility of ADOT in the local community?
- Enhance specific project milestones or decision processes?
- Promote good news, programs or projects?
- Strengthen or repair public trust?

*Example goals:*

- *Engaging stakeholders to help ensure the final report incorporates agency and public input*
- *Providing clear and accurate information that encourages informed public participation and input*
- *Providing multiple, convenient ways for interested parties to provide comment*
- *Providing multiple means through which the public can learn about the project*

---

## **Tactics/Tools**

Different public participation goals typically require different tools and approaches. Carefully considering public participation goals for the project can also provide guidance on whether a combination of activities will help you reach the desired outcome.

*Example:*

*If your public participation level is Involve (work directly with the public throughout the process to ensure that issues, aspirations, and concerns are consistently understood and considered and provide feedback on how public input influenced decisions about the project), you would check that level in the toolkit and see which types of activities are suggested, then choose the activity or activities that fit your budget, timeline, goals, staff resources, etc.*

*Tools/activities:*

- *Kick off meeting*
- *Public workshop to analyze existing conditions and generate ideas for what elements should be included in the plan including small group discussion*
- *Provide opportunity online for ideas about the plan*
- *Based on information gathered through analysis and public feedback, preliminary plan is prepared and presented for review and comments to various stakeholder groups*
- *Based on feedback gained through draft plan public review, final plan will be drafted and presented to for final review and comments*

## **Schedule**

Any public participation plan should include a detailed timeline of the planning, program development or decision-making processes and the public participation activities within that process. Public information and input need to be timed early enough to provide the public adequate opportunity to influence the decision.

## **Identify Roles and Responsibilities**

Identify everyone who has a role and/or responsibility in the planning, program development or decision-making processes. Most importantly, identify an overall public participation manager responsible for tracking progress and completing each activity. Clearly identify who your “ultimate decision makers” are for the project. This will be very helpful to have before beginning the development of public information materials and making presentations to stakeholders, who will want to know how, when and by whom the decision is going to be made.

## **Potential Appendices**

As you create the plan, there may be a need to add appendices, such as:

- Business Outreach Plan
- Contacts
- Public Meeting Overview
- Key Messages

## **CHAPTER 2 – DESIGN**

The next step in developing a public participation plan is to update the project description to lay the foundation for the next phase of a successful and achievable public participation process within the timeline, geographic area, staff and budget limitations of the overall project. This information will be used to explain the project to those persons subsequently engaged in public participation activities of the Plan. This will also help communicate the boundaries of public participation in planning, program development or decision processes.

---

## **Study Description**

Insert an updated description of the project as well as a new graphic of the recommended alternative.

## **Project Timeline**

Insert key phases of the PIP and the purpose of each phase here. Include other project delivery milestones as well.

## **Stakeholders**

Use this section to update information from the project's previous Checklist of Possible Stakeholders and Potentially Affected Parties. This would include the list of stakeholders and any outstanding issues they may have from the scoping phase.

## **Identify Public Participation Goals**

Define your goals for public participation in this phase.

*Example goals:*

- *Engaging stakeholders to keep them aware of the final design of the project*
- *Providing clear and accurate information that answers key questions*
- *Providing multiple, convenient ways for interested parties to get information*

## **Tools**

Different public participation goals typically require different tools and approaches. Carefully considering public participation goals for the project can also provide guidance on whether a combination of activities will help you reach the desired outcome.

## **Schedule**

Any public involvement plan should include a detailed timeline of the planning, program development or decision-making processes as well as the public participation activities within that process. Public information and input need to be timed early enough to provide the public adequate opportunity to influence the decision.

## **Identify Roles and Responsibilities**

Identify everyone who has a role and/or responsibility in the planning, program-development or decision-making processes. Most importantly, identify an overall public participation manager responsible for tracking progress and completing each activity. Clearly identify who your "ultimate decision makers" are with regard to the project. This will be very helpful to have before beginning the development of public information materials and making presentations to stakeholders, who will want to know how, when and by whom the decision is going to be made.

## **Potential Appendices**

As you create the plan, there may be a need to add appendices, such as:

- Business Outreach Plan
- Contacts
- Public Meeting Overview Sheet
- Key Messages

## **CHAPTER 3 – CONSTRUCTION**

For this step, you will want to identify the traffic management plan as well as a description of the ultimate configuration.

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## **Project Timeline**

Insert key phases of the public involvement plan as well as the purpose of each phase here. Include other project delivery milestones as well.

## **Stakeholders**

Use this section to update information from the project's previous Checklist of Possible Stakeholders and Potentially Affected Parties. This would include the list of stakeholders and any outstanding issues from the Design phase.

## **Identify Public Participation Goals**

Define your goals for public participation in this phase.

*Example goals:*

- *Keeping the public aware of restrictions and closures*
- *Providing clear and accurate information that answers key questions*
- *Providing multiple, convenient ways for interested parties to get information*

## **Tools**

Different public participation goals typically require different tools and approaches. Carefully considering public participation goals for the project can also provide guidance on whether a combination of activities will help you reach the desired outcome.

## **Schedule**

Any public participation plan should include a detailed timeline of the planning, program-development or decision-making processes as well as the public participation activities within that process. Public information and input need to be timed early enough to provide the public adequate opportunity to influence the decision.

## **Identify Roles and Responsibilities**

Identify everyone who has a role and/or responsibility in the planning, program-development or decision-making processes. Most importantly, identify an overall public participation manager responsible for tracking progress and completing each activity. Clearly identify who your "ultimate decision makers" are for the project. This will be very helpful to have before beginning the development of public information materials and making presentations to stakeholders, who will want to know how, when and by whom the decision is going to be made.

## **Potential Appendices**

As you create the plan, there may be a need to add appendices, such as:

- Business Outreach Plan
- Contacts
- Key Messages

## **TITLE VI/ENVIRONMENTAL JUSTICE**

Title VI of the Civil Rights Act of 1964 and related statutes assure that all individuals are not excluded from participation in, denied the benefit of, or subjected to discrimination on the basis of race, color, national origin, sex, and disability. Executive Order 12898 on Environmental Justice directs that programs, policies, and activities not have a disproportionately high and adverse human health and environmental effect on minority and low-income populations. The implementation of the PIP should ensure that these protected populations are given the opportunity to participate. Text should read:

Pursuant to Title VI of the Civil Rights Act of 1964, and the Americans with Disabilities Act (ADA), ADOT does not discriminate on the basis of race, color, national origin, age, sex or disability. Persons who require a reasonable

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accommodation based on language or disability should contact (insert Project Hotline or appropriate person's name) at (telephone number) or (email address). Requests should be made as early as possible to ensure the state has an opportunity to address the accommodation.

De acuerdo con el título VI de la Ley de Derechos Civiles de 1964 y la Ley de Estadounidenses con Discapacidades (ADA por sus siglas en inglés), el Departamento de Transporte de Arizona (ADOT por sus siglas en inglés) no discrimina por raza, color, nacionalidad, edad, género o discapacidad. Personas que requieren asistencia (dentro de lo razonable) ya sea por el idioma o por discapacidad deben ponerse en contacto con (insert Project Hotline or appropriate person's name) al (telephone number) o por correo electrónico al (email address). Las solicitudes deben hacerse lo más pronto posible para asegurar que el equipo encargado del proyecto tenga la oportunidad de hacer los arreglos necesarios.

#### EXAMPLE OF WORKBACK PLAN & OUTREACH SCHEDULE:

DUE DATE	DELIVERABLE/ACTION	RESPONSIBLE PARTY	STATUS

#### EXAMPLES OF STAKEHOLDER ANALYSIS:

Stakeholders can greatly influence the intended outcome and success of a project. Their involvement can take place during any stage of the project; however, performing a stakeholder analysis during the planning stage can greatly influence the development of an effective project strategy.

Many organizations express support of stakeholder involvement by promising participation, but gaining stakeholder involvement is not always easy. Careful and thorough planning is essential to identify the right stakeholders and to ensure stakeholders participate in appropriate and effective ways.

Stakeholders can help make a project successful by:

- Providing valuable information regarding needs, resources, realistic objectives and practical considerations for a project.
- Recognizing hidden items that might not be obvious in the planning stage.
- Identifying points of opposition and prevent problems during implementation.
- Encouraging a sense of ownership in the project and involvement during the implementation stage.
- Ensuring the focus remains on the people, community or region it is meant to support and serve.

## STEP 1: IDENTIFY THE STAKEHOLDERS

Stakeholders are individuals, groups or institutions likely to be affected by a proposed project (either negatively or positively), or those who can affect the outcome of the project. They are persons who might be involved or be impacted by the project. The stakeholder population can be broad, so narrowing the field to key stakeholders is a main objective of conducting a stakeholder analysis. Remember, the more involved stakeholders are in the project, the more likely a project will be successful.

- Who are the stakeholders?
  - a. Those in immediate area
  - b. Those who use the corridor

## STEP 2: EXAMPLES OF PRE-SCOPING ANALYSIS SURVEY QUESTIONS

ADOT is studying potential improvements at the intersection of US 60 (Grand Avenue) and Bell Road. ADOT has recently contracted with an engineering consulting firm to prepare engineering and environmental studies of a variety of preliminary alternative improvements that could potentially be built to improve safety and traffic operations at this intersection. Public input is a critical component to the study and we would appreciate your assistance in developing the public outreach plan.

1. What are your thoughts on the intersection as it exists today? (try to gather their expectations for this intersection)
2. How involved do you anticipate being in the public process?
3. As your involvement is important, what are some ways we can gather your input?
4. If there was an online process for getting information and submitting comments, would you be likely to use it?
5. We are looking at holding public meetings later this year or early next year, what is your preference? Why?

Stakeholder	Category	Project Concerns/expectations	Level of Participation (low, medium, high)	Best communication methods	Meeting Preference
	Quasi-governmental	Traffic impacts on mail delivery; Improved flow of intersection	Medium/high	Online/email	Early next year
	Restaurant Franchise	Traffic delays, issues with the train, concern with emergency vehicles	High	In person; email preferred; online tool	Early next year after holidays
	National Retailer	Very busy, which is good for business; concerned about access	Up to corporate office; would share information with employees locally	In store visits; online tool	Early next year after holidays
	Restaurant Chain	Access and not driven by	Up to corporate office	Fliers for staff	Early next year after holidays
	Service	Access	Low	Fliers for staff; online tool	No preference
	Service	Access	Unknown	Online tool	No preference
	Service	Access	Low	Online tool	No preference

### Example Checklist of Possible Stakeholders and Potentially Affected Parties

(Not a definitive list; tailor to meet needs of each specific project)

#### Internal Partners

- ☐ Maintenance District
- ☐ MPD
- ☐ TOC
- ☐ Program Managers (e.g., Bridge)
- ☐ DMV
- ☐ Rail Division
- ☐ PIO

#### Jurisdictional Partners

- ☐ City/county agency staff
- ☐ Tribes
- ☐ MPOs/ COGs
- ☐ Federal regulatory and lands agencies
- ☐ FHWA
- ☐ Transit districts
- ☐ Other State agencies

#### Shipping/Freight Industry; Commodity Haulers

- ☐ Trucking industry
  - ☐ Trucking Associations
  - ☐ Heavy-haul trucking companies
- ☐ Annual permit holders
- ☐ Ports
- ☐ Railroads
- ☐ Agriculture

#### Special Interest Groups

- ☐ Bicycle/pedestrian associations
- ☐ AAA
- ☐ Sierra Club
- ☐ Other

#### Other Affected Community Agencies/ Emergency Services Providers

- ☐ State/City Police/County Sheriffs
- ☐ Fire districts
- ☐ Hospitals/ambulance services
- ☐ 911 dispatch/Emergency Operations
- ☐ Hazardous Materials responders
- ☐ School Districts, schools and school bus managers
- ☐ Irrigation Districts/other public utilities
- ☐ Water/sewer/fire protection districts
- ☐ Parks
- ☐ Area attractions/entertainment venues/fairgrounds/festival organizers

#### Environmental Justice

- ☐ Low-income communities
- ☐ Minority communities
- ☐ Spanish/other translations needed (LEP)

#### Property Owners

- ☐ Directly affected by project (e.g., within "footprint")
- ☐ Adjacent to project (e.g., access, noise)
- ☐ Other property owners near right of way

#### Community Residents

- ☐ People living in the neighborhood
- ☐ People living in the vicinity
- ☐ People living in the same city
- ☐ People living along the highway corridor

#### Elected Officials/City, County and Regional Governments/Commissions

- ☐ Mayor/city council
- ☐ County commissions
- ☐ Council of Governments
- ☐ Metropolitan Planning Organizations
- ☐ Regional Economic Revitalization Teams (i.e., Governor's rep, other state agencies)
- ☐ State representatives
- ☐ State senators
- ☐ U.S. Senator
- ☐ U.S. Representative

#### Local industrial and commercial Businesses

- ☐ Businesses affected by the project (e.g., "footprint" and/or access), top priority
- ☐ Businesses in the neighborhood
- ☐ Businesses in the vicinity
- ☐ Businesses along the highway corridor
- ☐ Commercial Business Areas
- ☐ Industrial Parks



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## EXAMPLES OF PUBLIC INVOLVEMENT TOOLS:

### Ways to Involve the Public

- Person to Person
- Open Houses
- Informal/impromptu gatherings (ex: "Coffee with ADOT" near project site)
- Focus Groups (facilitation/mediation)
- Workshops/charrettes/brainstorming
- Advisory Teams
- Use existing organizations (civic groups, clubs, schools, transportation advisory groups, etc.)
- Ask stakeholders how they want to be involved
- Extend membership on project teams (e.g., local agency staff, district staff)
- Establish a project Website, include interactive elements
- Follow up, let stakeholders know their feedback has been received, and the results

### Ways for the Public to Get Information to You

- Provide your contact information on printed materials and on your Web site
- Develop hardcopy and electronic comment forms, and make them readily available
- Hearings (in person or online)
- Surveys (paper or electronic)

### Ways for You to Get Information to the Public

#### *Printed Communications*

- Fact sheets
- Fliers
- FAQs
- Postcards
- Brochures
- Posters / Billboards
- Newsletters/project updates
  - Weekly
  - Monthly
  - Quarterly
  - As needed
- Table-toppers
- Hotlines

#### *Electronic Information Distribution*

- Email messages
- Project Website
- Update ADOT's Highway Condition Reporting System
- Website

#### *Media*

- One-on-one visits with reporters
- News releases
- Editorial board visits
- Media kits
- News conferences
- News media site visit

#### *Paid Advertising*

- Newspaper display ads
- Radio production spot ads
- Television production spot ads
- Local public access programming

- Billboards
- Bus placards
- Websites

#### **Events**

- Ground breaking
- Block parties
- On-site progress tours
- Dedications/ribbon cuttings/opening celebrations
- Participation in local community events

#### **Legislators/Local Governments/Federal delegation**

- In-person briefing
- Reports to or briefings with ADOT legislative affairs staff
- Electronic updates (e-mail or fax)

#### **Other**

- Project-specific tactics

## APPENDIX D: EXAMPLE OF STAKEHOLDER ASSESSMENT

Stakeholder Assessment Spreadsheet								
Description of Project:								
Project Number:								
Stakeholder Group	Issues Identified S=Stakeholder A=ADOT	Stakeholders Level of concern N= None L= Low M=Moderate H=High	Geographic Frame of reference	Stakeholder Contact Information (email)	Stakeholder Contact Information (Phone)	ADOT Level of Impact N= None L= Low M=Moderate H=High	Strategic approach	Roles & Responsibilities


## APPENDIX E: EXAMPLE OF PUBLIC MEETING CHECKLIST

### Public Meeting Checklist

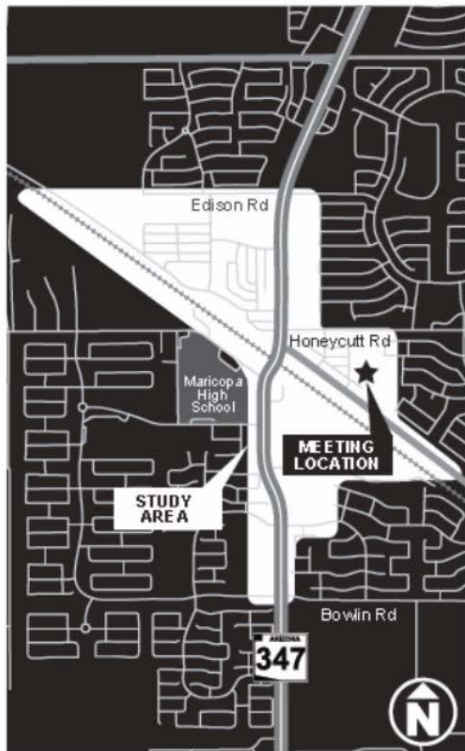


Project Name: \_\_\_\_\_

Done	Public Meeting Checklist	Notes
	Consult Public Involvement Plan and project team to confirm the purpose and goals of the meeting.	
	Meeting date(s) and time(s)	
	Determine meeting layout	
	Location(s): Insurance and fees? Meeting sites should be located within the project boundaries, unless otherwise requested. Site visits required.	
	Attendees: determine all stakeholders outside of project team that need to attend e.g. ROW, Public Affairs, city representatives, etc.	
	Send meeting appointment to all attendees.	
	Place ads in necessary media outlets.	
	Refreshments	
	Reserve vehicle(s)	
	Facilitator(s)	
	Presenter(s)	
	Note taker(s) for meeting	
	Set up meetings with Creative Services, Public Affairs, if project will require more collateral for political awareness than standard meetings to discuss deliverables.	
	Brief all meeting participants on day of roles and meeting format.	
	Send Communications Memo.	
Done	Advertisement and Collateral:	Notes
	Create project team approved text to be used for all collateral.	
	Publications (online or print): if required publish in local Spanish outlets. Four to three weeks advance notice should be given and done in multiple local listings.	
	Create or update ADOT web page for project with upcoming meeting information.	
	Social Media, Creative Services, Blog	
	Agenda for public meeting	
	Project Fact Sheet	
	PowerPoint presentation: to be drafted by technical staff and reviewed by Community Relations staff.	
	Press Release: Public Information Office	
	Meeting Notice (Mail or Postcard): to be mailed or delivered to stakeholders.	
	Gov. Delivery: compose and send at various stages to advertise upcoming meeting, coordinate with press releases if applicable.	
	Directional signage for A-frames: Creative Services	
	Sign-in sheet	
	Media Packets, if needed	
Done	Materials:	Notes
	Project board(s)	
	Ba se s	
	A-frames	
	Title VI board and brochures	
	Comment forms	
	Q&A cards	
	Name tags	
	Project fact sheets	
	Pens	
	Extra paper clips, tape, staples, etc.	
	Clip boards with notepads	
	Camera	
	Laptop and/or projector	



## State Route 347 at Union Pacific Railroad



### Public Scoping Meeting

The Arizona Department of Transportation, in conjunction with the Federal Highway Administration and the City of Maricopa, is initiating a study to evaluate alternatives and identify improvements that will improve safety, access, capacity and traffic operations through 2040. The study will evaluate a future grade separation to replace the existing at-grade intersection of SR 347 at the Union Pacific Railroad tracks.


**Tuesday, July 10, 2012**  
**6:00 pm – 7:30 pm** (presentation will begin at 6:25 pm)  
**Maricopa Unified School District**  
**Administration Building**  
**44150 W. Maricopa-Casa Grande Highway**  
**Maricopa, AZ 85138**


**Your Input Is Important!**


- ▶ Participate in the public meeting
- ▶ Provide your comments
- ▶ Visit the project website:  
[azdot.gov/347GS](http://azdot.gov/347GS)

If you require special assistance in order to participate in the public meeting, please contact [projects@azdot.gov](mailto:projects@azdot.gov) or 855.712.8530. Requests should be made as soon as possible to allow time to arrange the accommodation.

Si usted necesita ayuda especial para poder participar en la reunión pública, póngase en contacto con [projects@azdot.gov](mailto:projects@azdot.gov) o 855.712.8530. Las solicitudes deben hacerse lo más pronto posible para dar tiempo a organizar el alojamiento.







h2-160

ADOT Project Number: 347-PN-172-H7007-011 • Federal Aid No. 347-A(204)A

## APPENDIX G: EXAMPLE OF PUBLIC MEETING/ HEARING MEMO



Communications

### MEMORANDUM

**TO:** Jennifer Toth, State Engineer  
Rob Samour, Deputy State Engineer  
Scott Omer, Multimodal Planning Division  
Brent Cain, State Engineer's Office  
Paula Gibson, Right-Of-Way Group  
Annette Riley, Roadway Group Manager  
Rod Lane, Tucson District Engineer

Paul O'Brien, Environmental Planning Group  
Richard L. Rice, Chief Counsel, Transportation  
Matthew Burdick, Communications  
Brock Barnhart, Communications  
Tim Tait, Communications  
Kevin Biesty, Policy and Government Affairs  
Julie Kliever, Phoenix Construction District

**FROM:** Jennifer Grentz, Communications

**CC:** Victor Flores, chairman, State Transportation Board  
Kelly Anderson, Board Member Pinal County  
Toni Towne, Department of Administration  
Rebecca Yedlin, FHWA  
David Cremer, FHWA

**DATE:** June 4, 2013

**RE:** Alternatives Overview Public Information Meeting (SR347 at Union Pacific Railroad)  
ADOT Project Number: 347 PN 172 H7007 01L | Federal ID Number: 347-A(204)A

The Arizona Department of Transportation, in conjunction with the Federal Highway Administration and the City of Maricopa, has initiated a study to evaluate alternatives and identify improvements that will improve access, capacity and traffic operations through 2040. The study is evaluating a future grade separation to replace the existing at-grade intersection of SR 347 at the Union Pacific Railroad (UPRR) track.

You are invited to learn more about the alternatives developed for a future grade separation at the intersection for SR 347 at the Union Pacific Railroad tracks. At the meeting, you will have the opportunity to:

- review the study's purpose and need.
- provide an overview of considered alternatives.
- discuss the evaluation criteria.
- present the alternatives being recommended to move forward as the study progresses.

The public meeting is scheduled on:

Thursday, June 6, 2013

6:00 p.m. - 7:30 p.m. (presentation will begin at 6:25 p.m.)

Maricopa Unified School District | 44150 W. Maricopa-Casa Grande Highway, Maricopa, AZ 85138

Attachment: Advertisement

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ARIZONA DEPARTMENT OF TRANSPORTATION  
206 S. 17th Ave. | Phoenix, AZ 85007 | azdot.gov

## APPENDIX H: EXAMPLE OF MEETING SIGN-IN SHEETS

**Type the meeting or project name here**

WEEKDAY, MON. DAY, YEAR • START TIME P.M.-END TIME P.M.

LOCATION NAME • 206 S. 17TH AVE. • PHOENIX, AZ 85007

Completion of this sign-in sheet is completely voluntary and helps the project team keep an accurate record of meeting attendees. Under state law, any identifying information provided below will become part of the public record and, as such, must be released to any individual upon request. Please print clearly.

NAME	TITLE	COMPANY	ADDRESS	PHONE	EMAIL



[Other agency logo(s)]

FOR MORE INFORMATION;  
[azdot.gov](http://azdot.gov)

## APPENDIX I: EXAMPLE OF QUESTION CARDS

### Question Card

If you have a question(s) that you would like answered at the end of the presentation, please write your question(s) on this card and pass it to an ADOT project representative. We have limited the time for questions and answers to allow you time to speak directly with project staff. If we do not get to your question, we encourage you to speak with a project representative. Thank you for printing legibly.

12-161

**ADOT**

azdot.gov

### Tarjeta de preguntas

Si tiene preguntas que le gustaría que contestaran al final de la presentación, escríbalas en esta tarjeta y pásela al representante del proyecto de ADOT. Hemos limitado el tiempo para preguntas y respuestas para darle tiempo de que hable directamente con el personal del proyecto. Si no alcanzamos a contestar su pregunta, le aconsejamos que hable con un representante del proyecto. Gracias por imprimir legiblemente.

12-161

**ADOT**

azdot.gov



## APPENDIX J: EXAMPLE OF PUBLIC HEARING ADVERTISEMENT

**LOOP  
202**

# You're invited!

## LOOP 202 SOUTH MOUNTAIN FREEWAY STUDY

### Draft Environmental Impact Statement Available for Public Review and Comment

On April 26, 2013, the Arizona Department of Transportation in conjunction with the Federal Highway Administration published the Draft Environmental Impact Statement for the Loop 202 South Mountain Freeway Study. The Draft EIS is available for review on the study website at [azdot.gov/SouthMountainFreeway](http://azdot.gov/SouthMountainFreeway). Copies of the Draft EIS are also available for review during business hours at the following locations:

- ▶ Phoenix Public Library – Ironwood Branch  
4333 East Chandler Boulevard  
Phoenix, AZ 85048 | 602.262.4636
- ▶ Phoenix Public Library – Burton Barr Central Library  
1221 North Central Avenue  
Phoenix, AZ 85004 | 602.262.4636
- ▶ FedEx Office Print and Ship Center  
4940 East Ray Road  
Phoenix, AZ 85044 | 480.895.0700
- ▶ Sam Garcia Western Avenue Library  
495 East Western Avenue  
Avondale, AZ 85328 | 623.333.2665
- ▶ Tolleson Public Library  
9555 West Van Buren Street  
Tolleson, AZ 85353 | 623.936.2746
- ▶ ADOT Environmental Planning Group  
1611 West Jackson Street  
Phoenix, AZ 85007 | 602.712.7767  
Call for an appointment

#### Recommended Alternative



**Attend the Public Hearing - Tuesday, May 21, 2013 | 10am-8pm**

**Phoenix Convention Center – North Ballroom**  
100 North 3rd Street, Phoenix, AZ 85004

LOOP 202

**South Mountain Freeway Study**

#### Attend the Public Hearing

As part of the Draft EIS review process, ADOT will hold one public hearing on the Draft EIS and accept formal public comments. Comments can be provided via comment form, verbal comments to a court reporter, and through three-minute verbal comments in front of a panel of study team members. The public hearing is the only opportunity where three-minute verbal comments can be given in front of the panel. This portion of the hearing will be held for the purpose of receiving comments. It is not intended to be a question-and-answer session. Although the hearing takes place over a 10-hour period, the same information and opportunity for comment will be available no matter what time you attend.

#### Pre-Register to Speak

You can pre-register to speak at the hearing by calling (602) 712-7006 or by registering at the public hearing. Phone registration will end at noon, Monday, May 20. After you pre-register, you can see the schedule of speakers online at [azdot.gov/SouthMountainFreeway](http://azdot.gov/SouthMountainFreeway). Each speaker will be allocated up to 3 minutes to present his or her comments. Pre-registered speakers will be listed online prior to the hearing and at the public hearing.

#### Comment on the Draft EIS

Public comments on the Draft EIS and its findings will be accepted during a 90-day public comment period. Comments can be provided in the following methods:

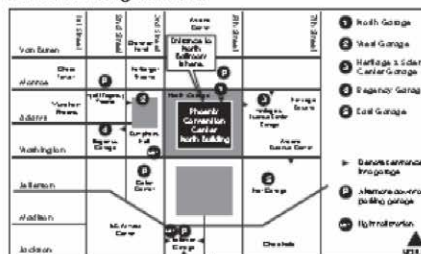
- ▶ At the public hearing
- ▶ In writing:  
ADOT  
Loop 202 South Mountain Freeway Study  
1655 West Jackson Street,  
MD 126F  
Phoenix, AZ 85007
- ▶ Through the study website and online public hearing:  
[azdot.gov/SouthMountainFreeway](http://azdot.gov/SouthMountainFreeway)
- ▶ Email: [projects@azdot.gov](mailto:projects@azdot.gov)
- ▶ Phone: 602.712.7006

All comment methods are considered equal. The Draft EIS public comment period will close on July 24, 2013. All comments received during the 90-day public comment period will be documented and responded to in the Final EIS.

*Personas que requieren asistencia o una adaptación razonable por habilidad limitada en inglés o discapacidad deben ponerse en contacto con ADOT al [projects@azdot.gov](mailto:projects@azdot.gov) o 602.712.7006. Los solicitantes deben hacer esto tan pronto como sea posible para asegurar que el estudio tiene la oportunidad de abordar el alojamiento.*

**ADOT** Arizona Department of Transportation  
**Federal Highway Administration**

#### Public Hearing Location



*Validated parking and transit vouchers will be provided.*

#### Free Shuttle Bus Service to the Public Hearing

Need a ride to the public hearing? ADOT is offering FREE shuttle bus service to and from the Public Hearing at the Phoenix Convention Center from six Valley locations:

- ▶ To Bisco
- ▶ Bisco Village
- ▶ Camelback Village
- ▶ Glendale Village Community (2 locations)
- ▶ Arrowette Village

Service will be provided several times throughout the day on May 21, 2013. For more information, please call 602.712.7006.



*Persons that require a reasonable accommodation based on language or disability should contact ADOT at [projects@azdot.gov](mailto:projects@azdot.gov) or 602.712.7006. Requests should be made as early as possible to ensure the state has an opportunity to address the accommodation.*

**FOR MORE INFORMATION:**

[azdot.gov/SouthMountainFreeway](http://azdot.gov/SouthMountainFreeway)

Project No. 202 L/NR 034 H784 01L • Revision: NH-202-DIA 01



## United States Route 60 (US 60) and Bell Road (US 60 milepost 143)

**March 2013**

Prepared by

Arizona Department of Transportation

206 S. 17th Ave.

Phoenix, AZ 85007 In

cooperation with

U.S. Department of Transportation

Federal Highway Administration

### Contents

#### Introduction

The Arizona Department of Transportation (ADOT) in conjunction with the Federal Highway Administration (FHWA) is studying potential improvements at the intersection of US 60 (Grand Avenue) and Bell Road (see figure 1 for map of study area). This project will evaluate alternatives that would improve safety and traffic flow, meet current design standards and minimize right-of-way and business impacts.

**Figure Caption 1: Study Area**



The ADOT Draft US 60 Improvements Feasibility Report; US 60, Grand Avenue (SR 303L to SR 101L) (2008) identified three intersection projects that included the Grand Avenue and Bell Road Traffic Interchange. The feasibility report identified the

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need for capacity enhancements and recommended that a Design Concept Report (DCR) and environmental document be prepared to study alternatives for the potential implementation of a new overpass or interchange at this location. The Arizona Department of Transportation is considering improvements at the intersection of US 60 and Bell Road. This project is part of the Maricopa Association of Government's (MAG) Regional Transportation Plan (RTP) and the project area is located within the City of Surprise in Maricopa County, Arizona. It is anticipated that this project would construct a new traffic interchange (TI) to improve traffic operations at this location.

The purpose of this phase of the project is to prepare an Alternatives Selection Report with an Environmental Overview, a DCR and Environmental Assessment (EA) to evaluate options and select a preferred alternative that will meet the goals of the RTP, satisfy the requirements of the National Environmental Policy Act (NEPA), and obtain public support.

As part of the environmental review process, a public scoping meeting was held to obtain public and stakeholder input and to comply with environmental regulations. This Scoping Report documents the agency and public scoping process that occurred, including the public scoping meeting that was held to solicit public comments. This report also provides a summary of all comments received by March 13, 2013.

### **Scoping Purpose and Process**

Scoping is generally defined as “early public consultation,” and is one of the first steps of the NEPA environmental review processes. The purpose of scoping is to involve the public, stakeholders, and other interested agencies early on in the environmental compliance process to help determine the range of alternatives, the environmental effects, and the mitigation measures to be considered in an environmental document. The results of scoping help to guide an agency’s environmental review of a project.

As part of the scoping process, agencies often conduct public meetings. Scoping is not limited to public meetings; however, public meetings allow interested persons to listen to information about a proposed project or action and express their concerns and viewpoints to the implementing agencies. During scoping meetings, the lead agency generally outlines the proposed project, defines the area of analysis, identifies issues to be addressed in the environmental compliance document, and solicits public comments. Agencies also establish a scoping comment period to accept scoping comments submitted in writing.

Scoping comments are considered by the agencies during the formulation of alternatives and are used to determine the scope of the environmental issues to be addressed in the environmental document.

### **Alternatives Introduced at Scoping**

Eight potential alternatives were presented at the scoping meetings and are summarized in Appendix A. Input received during the scoping process, including comments related to these preliminary alternatives, will be considered by ADOT and FHWA in determining the characteristics and the range of alternatives to be addressed in the EA.

## **Agency Scoping**

The purpose of the Agency Scoping Meeting is to introduce and provide an overview of the project to stakeholder agencies and project partners. A review of preliminary findings from the preliminary data collection process, discussion of key project issues and challenges, schedule, and communication/outreach issues are presented. In addition to providing background and other pertinent information to the stakeholder agencies and project partners, the Agency Scoping Meeting is also designed to assist the study team in having the stakeholders identify any issues, concerns and opportunities they feel need to be addressed during the course of the study.

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### Agency Notification

The study team prepared and distributed a scoping letter to agency representatives who may have an interest in the study. The letters were mailed on Monday, October 22, 2012 to 17 agencies. View the agency scoping letter and list of agencies (Appendix B).

### Agency Scoping Meeting

ADOT held an agency scoping meeting on November 14, 2012, at the ADOT Urban Project Management Large Conference Room, 1611 W. Jackson Street, Phoenix, Arizona 85007. The purpose of this meeting was to provide agency representatives with preliminary study information and to receive input regarding any issues that they feel should be evaluated. Individuals representing the following agencies attended this meeting:

- AECOM
- ADOT
- City of Surprise
- FHWA
- MAG

The agency scoping meeting began at 10:00 a.m. and included an overview of the project followed by a discussion session. The overview included study purpose and objectives, engineering and environmental elements, study schedule and process, as well as an overview of the existing study area.

During the discussion session, agency representatives were able to comment on the study and the information presented. In addition, contact information was provided for agency representatives to continue providing input.

### Agency Scoping Meeting Discussion Session

Following the presentation, each agency representative was asked for input on the study during the discussion session. The comments and responses are documented below in Table 1.

The agency scoping meeting began at 10:00 a.m. and included an overview of the project followed by a discussion session. The overview included study purpose and objectives, engineering and environmental elements, study schedule and process, as well as an overview of the existing study area.

During the discussion session, agency representatives were able to comment on the study and the information presented. In addition, contact information was provided for agency representatives to continue providing input.

**Table 1: Agency Comments**

Agency	Comment
Name	I have reviewed the packet that was sent to me by Mr. Anthony Horne reference the US 60 Improvements Feasibility Report; US 60 Grand Avenue project. I viewed the figures and I don't see any design concerns, from a police department perspective. Thank you for giving us the chance to be part of the process. (email received Nov. 14, 2012)
Name	I was unable to attend the meeting however, I think option 5 is best and I think we should keep into consideration future widening of Grand. (email received Nov. 14, 2012)
Name	Letter included in Appendix C
Name	Letter included in Appendix C

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## Public Scoping

ADOT and FHWA held a public scoping meeting on January 29, 2012. Additional outreach included hosting tables at community events, participating in HOA meetings and business outreach. This section represents a summary of this outreach.

### Community Events

The project team participated in 14 community events and HOA meetings. The goal of these events was to increase awareness of the study and provide information on how to participate and provide comments. Events included:

- Sun Village Community Center
- Sun Village Community and Condos Association
- Surprise City Council
- Sun City Home Owners Association
- Sun City Expo
- Sun City West Foundation
- RH Johnson Library
- Surprise Regional Library
- Royal Ranch Annual Christmas Party
- Rio Lifelong Learning Center
- Surprise Party
- Sun Village Community Craft Fair
- Sun City West Property Owners and Residents Association
- Surprise Chamber of Commerce Breakfast

### Business Outreach

The study team developed a business outreach plan designed to foster engagement and build relationships between the Surprise business community and ADOT regarding the US 60 (Grand Avenue) and Bell Road interchange, and proactively share project details with the Surprise Business Community.

A business database was established with contact information for businesses within 1/2 mile of the traffic interchange and any other businesses identified by the City or Chamber. A schedule of topics and email blast dates was created to ensure businesses receive regular communication from the ADOT Communications team, including invitations to meetings, reminders about comment deadlines, etc.

A postcard was mailed to businesses in the study area the week of November 28, 2012, and hand delivered via a business walk on December 3, 2012. This postcard introduced the project and invited businesses to the upcoming forum on December 12, 2012. A copy of the postcard is included in Appendix D.

### Business Forums

During the comment period, two business forums were held to provide business owners and employees the opportunity to learn more about the project.

- Wednesday, December 12, 2012 (9 a.m. to 10 a.m.)
- Tuesday, February 19, 2013 (2 p.m. to 3 p.m.)

### Public Scoping Meeting Notification

The study team prepared and distributed an informational newsletter introducing the study and inviting the public to provide comments. The newsletter was mailed the week of December 31, 2012 to # property owners, occupants and businesses within the study area. A copy of the informational newsletter (Appendix E) is included.

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### **Newspaper Advertisements**

Newspaper advertisements providing the date and location of the scoping meeting were published in the following newspapers:

- Surprise Independent (Jan. 9 and Jan. 16)
- Sun City Independent (Jan. 9 and Jan. 16)
- Surprise Today (Jan. 16 and Jan. 23)
- Daily Sun News (Jan. 15 and Jan. 22)

Copies of the advertisement can be found in Appendix F.

### **Postcard Notification**

A postcard was mailed to all residents in the original town site to inform them of the project and the public scoping meeting. A copy of the postcard can be found in Appendix G.

### **Public Scoping Meeting**

The purpose of the public scoping meeting was to provide an introduction to the study and preliminary information regarding the study process, as well as provide the opportunity for attendees to ask questions and submit comments. A total of 272 people attended the public scoping meeting.

The meeting was held on January 29, 2013 from 4:00 p.m. to 7:30 p.m. at the Hampton Inn and Suites, 14783 W. Grand Avenue, Surprise, AZ 85374. The meeting included display boards providing an overview of the study area, study background, engineering elements, environmental elements, previously studied alternatives, alternatives currently being studied, and the study process and schedule. At 4:30 and 6:00 p.m. the project team gave a presentation about the study. There was also an area for meeting attendees to submit comments. A copy of the display boards (Appendix H) and presentation (Appendix I) is attached.

### **Website**

The project website was developed and the web address was published on all informational materials. Public meeting information and project details were provided on the website: [azdot.gov/347GS](http://azdot.gov/347GS).

### **Additional Collateral**

In order to provide the public and stakeholders with information about the project, the project team developed the following handouts and provided them at all community events and the public scoping meeting:

- Frequently Asked Questions
- Alternatives Overview
- Renderings of concepts #5 and #7

Copies of the collateral can be found in Appendix J.

## **Public Scoping Meeting Format**

The scoping meetings began with registration at the door, where attendees were asked to sign in and were provided various handouts. The sign-in sheets were created solely for the purpose of updating the mailing list. An open house then began, where attendees were encouraged to walk around the various stations, view the displays, and ask questions of project staff. A formal presentation was then provided by the lead agency. After the presentation, attendees were given the opportunity to ask questions as well as revisit the stations.

### **Meeting Materials**

A variety of meeting materials were made available to the public at the scoping meeting. These meeting materials included:

- A copy of the visual (i.e., PowerPoint) presentation

- 
- A Frequently Asked Questions Handout
  - A comment form
  - A question card

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A copy of all meeting materials provided at the scoping meeting can be found in Appendix # of this report.

### **Open House Stations**

A display board was created for each of several topics considered to be of interest to the public. The boards provided at the meeting covered the following topics:

- Study Area
- Current Concepts for the US 60/Bell Road Intersection
- Renderings of Concept #5 and Concept #7
- Study Goals and Objectives
- Study Schedule
- Concept Evaluation Criteria
- Grade Separation Definition
- Public Input Process
- Concepts that had been previously considered

A copy of the display boards provided at the scoping meeting can be found in Appendix # of this report.

### **Presentation**

A presentation was given to attendees at 4:30 p.m. and 6:00 p.m. The presentation can be found in Appendix # and covered the following topics:

- Meeting purpose and format
- Study Area
- Project Goals and Objectives
- Environmental Considerations
- Previous Studies
- Where We are Today
- Feasible Concepts
- Project Schedule
- How to Participate
- Q&A

## **Public Comment Summary**

This section presents a summary of the comments received during the scoping period. The comments received ranged from issues associated with traffic management and business access, to suggestions for alternatives and concerns with overall costs. Many similar comments were received from multiple commenters. Duplicate comments are summarized here as one comment. Comments were classified into the following categories:

- Business Access
- Economics
- Environmental Concerns
- No Build Preferred
- Safety Concerns
- Traffic Management
- Underpass Concept

All comments received were reviewed for the specific issues or recommendations raised by the commenter. During the scoping comment period, comments could be submitted in a variety of ways, by mail, telephone, e-mail, and online. A total of 204 comments were received as of March 13, 2013.





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## Summary of Comments

A quantification of comments by issue is provided in Figure 3 on the page that follows:

### Comments received by topic

Category	Comments Received for this Category*
Business Access	32
Economics	23
Environmental Concerns	8
Miscellaneous	83
No Build Option	32
Safety Concerns	1
Traffic Management	88
Underpass Concept	33

\*Responses may have included more than one issue

### Business Access

There were several comments related to business access, both during and after construction. A sample of the comments included:

- *Business and traffic in the area will be so severely impacted. The chance of business surviving will be slim. I can tell you I would abandon the area until complete.*
- *What will happen to the stores there? Will any have to close or move?*
- *The alternatives that add more traffic or take traffic through the shopping center parking lots near Wal-Mart are terrible. Traffic in that lot is already a nightmare.*
- *Although this [grade separation] could have effect on nearby business during construction, the long term outlook is good for business as well as people living in Surprise. I am sure that merchants will be very upset if shoppers have limited access.*

### Economics

Comments were received from several individuals in regards to the cost of the project. A sample of the comments included:

- *A bridge is not worth the cost and construction delay.*
- *Overall I think #5 is the best. Looks like it would take less time to achieve and less cost.*
- *I favor concept number 5, because I believe it would be less expensive.*
- *I do not see why any changes need to be made especially spending 45 million dollars.*
- *Money would be better spent on expanding the Park and Ride and Commuter Rail along Grand Ave.*

### Environmental Concerns

Comments were received from several individuals in regards to the cost of the project. A sample of the comments included:

- *Elevated roadways create increased noise levels and are difficult to suppress. Vehicles (trucks and cars) deceleration from the elevated roadway to turn offs and stop signs will cause increased noise levels.*

- *This area is getting more and more polluted and we continue to destroy the environment, the air we breathe, and the planet. Trains and buses will do away with a lot of the traffic congestion and I believe it will become a great source of income for the city/state.*
- *Any noise remediation that can be added would be greatly appreciated by the residents of West Pointe. i.e. sound walls of some sort. There is already a lot of traffic noise from Bell/Grand, in addition to the train noise. I would hope this overpass would not add to noise levels in our community.*

### **Miscellaneous**

Comments in this category focused on support of the project, alternate concepts and general comments. A sample of the comments included:

- *I think the 1st diagram is the best for our neighborhood.*
- *Thanks for keeping us informed.*
- *I suggest that you construct 3D models of Concepts 3, 5 and 6.*
- *The bridge is definitely needed but it should be built to go over Bell road instead.*
- *#5 is the best concept.*
- *Of the existing seven concepts, I like Concept 7.*

### **No Build**

There were several comments related to the No Build option. A sample of the comments included:

- *No build is my first choice.*
- *Do not do this project. Your priorities are in wrong places. Cut spending now. Lots of other things need attention before this. Much too expensive. It's not necessary. Most people feel the same as I do.*
- *Leave it like it is! SCW does not need any more traffic from Grand cutting through on RH Johnson, going over the speed limit and wrecking our streets, for which we need to pay more taxes to repair.*
- *This is to request that you reconsider your pursuit of this project and see that it is cancelled as soon as possible. Building an overpass at Grand Ave. and Bell Road will cause irreparable harm to businesses in the area and to citizens who use these roads.*

### **Safety Concerns**

One of the comments received mentioned safety concerns. A sample of the comment is below:

- *I am very concerned, as are many of my friends and neighbors about this increase in traffic, much of it at higher speeds, by drivers not aware of, or concerned about our typically slower speeds, golf carts and many senior, less capable drivers. I have had several narrow miss encounters with fast moving traffic in recent years!*

### **Traffic Management**

A majority of the comments related to traffic management. A sample of the comments included:

- *The holdup at bell and grand is the left turns. By using Michigan lefts, traffic will move faster.*
- *We wish to formally submit the Right Turn, Metered Ramp interim solution as one to be designed and implemented quickly in or der to alleviate some of the Afternoon Rush Hour Bottlenecks occurring at this time during completion of other needed pieces to be implemented to complete the project.*
- *Consider a deluxe roundabout (raised/double lane extra wide (trucks). Get tons of complaints but one operating it moves people.*
- *Traffic signals defeat the purpose of a grade separation interchange. The idea is to have light-less, continuous flow traffic thru the ramps from one road to the other. A successful example of this is the US-23 interchange with I-270 in Worthington, OH.*
- *Change to "lagging" left turn lights.*
- *At the present time the signalization on Grand Ave impedes traffic much more than the Bell & Grand intersection. Please note that Bell Rd has even more congestion on the portion between 92nd Ave and the 101. The plan for Bell & Grand is secondary to improving the overall flow on Grand Ave between Bell Rd and the 101.*
- *Traffic detours during construction are a big concern.*

## Underpass Options

Comments in this category focused on an underpass concept for Bell Road, Grand Avenue or the BNSF railroad. A sample of the comments included:

- *Why can't the railroad tunnel under instead of a bridge going over?*
- *I recommend that Grand Ave be tunneled under Bell road; this will eliminate the stop and go signal issues between the two roads. This was done at Grand and Glendale Avenue a few years ago. This process will also reduce the noise level of stop and go traffic as it is below the street level and allows Grand Ave traffic to flow throughout this busy intersection unimpeded.*
- *Grand Avenue under Bell Road*
- *No consideration made in the presentations from ADOT which included an under Grand Ave. tunnel of any kind before proceeding further such concepts must be presented to the public.*
- *I would hope that the State will be placing Grand Ave under Bell as they did at Glendale Ave with Grand Going under. Dysart and Litchfield can be access roads between Bell and Grand.*

## APPENDIX L: EXAMPLE OF COMMENT LOG

#	Comment Type	First Name	Last Name	Comment
1	Email			Kudos for the very thorough presentation on the SR 347 - Union Pacific Railroad Crossing Upgrade Project in Maricopa on Dec 3, 2014. We agree that plan H is the best of the options presented. However, I saw no reference to other projects targeting the problems of projected traffic increases on SR 347 (present-2040). Intersections of SR 347 at the Fry's Plaza entrance, at Edison and at Smith-Enke Road will become excessively overloaded. The SR 347 - Union Pacific Railroad Crossing Upgrade Project should reference any projects (approved or anticipated) to bypass SR 347 problem intersections. I understand that there is a project to connect the SR 238 to Casa Grande Highway. I would hope the two projects would have some synergy.
2	Mail			I am opposed to the recommended St RT 347 plan. These are my opposition reasons: 1) This plan requires destruction or interference with more than ten businesses, landmark buildings (including Maricopa Baptist Church) 2) It would require land purchases and rerouting of both Edwards Street- Honeycutt Road and Honeycutt Avenue to Maricopa-Casa Grande Hwy. Honeycutt road is overloaded as is. I suggests that the money budgeted be spent building a highway from Murphy Road to I-10 with these suggestions. 1) They should move the AM station to the old gin property owned by the city and used for railroad changes now. It takes 15-20 minutes to change crews already, so this would require no traffic disruption. 2) There are only twelve freight crossings during the day for 3-5 minutes apiece. 3) This plan would relieve state highway 347/ union pacific congestion without the cost. As a tax paying resident of Maricopa for fifty-five years I believe the State route 347/union pacific railroad crossing should not be planned.
3	Mail			All and well to get this done. BUT!! What about 347 from Maricopa to I-10? When are they going to do something about that! The traffic is horrible when people are going to work. Now with all the nesters that are coming to Maricopa it's even worse. If you don't live here or travel the road you guys have no concept of the traffic with one way on and out. You should all check into this problem before none of us will be able to travel without homes on the road/something have to be done.
4	Mail			This overpass is so needed for our community. It will improve traffic flow especially during rush hour hours the school buses will benefit. It will reduce accidents t will improve business development in the community. It will certainly help emergency vehicles to be added to move through that area. There are businesses that will be temporally impacted in a negative way however in the long run they should benefit too. The town service is appreciated and it is hoped perhaps expanding.

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## APPENDIX M: EXAMPLE OF COMMENT PROCEDURES

### NEPA COMMENT PROCESSING PROCEDURES

#### **Phone: (without a consultant)** (855.712.8530)

Hotline is checked by ADOT staff periodically throughout the work day. A contact record is completed, documenting the caller's message.

#### **Phone: (with a consultant)** (create hotline number)

Hotline is checked by consultant periodically throughout the work day. A contact record is completed, documenting the caller's message.

#### **Email: (with or without consultant)**

1). Project/study specific email addresses will be created for all NEPA studies (e.g.: [SR347@azdot.gov](mailto:SR347@azdot.gov)). This replaces the catch all inbox of [projects@azdot.gov](mailto:projects@azdot.gov) previously used for NEPA studies and all ADOT projects.

2). A rule is then created within Outlook to auto-forward email comments coming in through the project/study specific email address to the technical consultant and/or public involvement consultant administering the study on behalf of ADOT.

3). For purposes of redundancy, two members of the consultant team (individual assigned to the inbox and technical project manager or communication lead) and the ADOT team (individual assigned to the inbox [Communications] and communication lead) will cross-check the email inbox. ADOT and consultant assigned to the inbox will compare email comments bi-weekly. Independent of the review above, the ADOT Communication lead and the consultant lead or technical project manager also will compare email comments that have come in through the project/ study specific email inbox bi-weekly as a cross-checking measure. This cross-checking system will remain in effect until the NEPA process has concluded with a decision (Categorical Exclusion, Finding of No Significant Impact [FONSI] or Record of Decision [ROD]).

#### **Letter: (with/ without PI consultant)** (1655 W Jackson Street, MD 126F, Phoenix, AZ 85007)

1). Comments by mail are sent to the ADOT address (above), collected and given to the technical consultant for inclusion in the environmental document. ADOT maintains a log of the mail collected, which is used as a cross- check measure when making the exchange with the technical consultant or PI consultant.