

# Alabama Department of Transportation

2023  
UPDATE



## TITLE VI IMPLEMENTATION PLAN

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*The entire content of this report is available on ALDOT's website at [www.dot.state.al.us](http://www.dot.state.al.us).*



## INTRODUCTION

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### **Alabama Department of Transportation (ALDOT)**

#### **Title VI Program**

#### **Fiscal Year 2023 Implementation Plan**

As a recipient of federal funding, the Alabama Department of Transportation (ALDOT) must comply with Title VI of the Civil Rights Act of 1964, as amended. ALDOT must also comply with all related rules and regulations. This report is submitted in response to 23 CFR Part 200.94(b) (11), which requires the State to prepare an annual Title VI Implementation Plan for the next fiscal year. This report will follow the format outlined in the Table of Contents.

The Title VI Implementation Plan is designed to assist the Compliance and Business Opportunities Bureau, in its efforts to provide oversight and ensure Title VI Compliance throughout ALDOT. This document also intends to provide guidance to Department personnel and other interested entities. The Implementation Plan is updated annually to reflect any changes in administration, law, regulations and/or policy.

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# State of Alabama

## Alabama Department of Transportation

1409 Coliseum Boulevard  
Montgomery, AL 36110

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April 8, 2011


### TITLE VI POLICY STATEMENT

The Alabama Department of Transportation (ALDOT) also referred to as "Recipient" assures that no person shall on the grounds of race, color, national origin, disability, age or sex as provided by Title VI of the Civil Rights Act of 1964, and the Civil Rights Restoration Act of 1987 be excluded from participation in, be denied the benefits of or be otherwise subjected to discrimination or retaliation under any program or activity administered by ALDOT. ALDOT further assures 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.

**Federal financial assistance** means the award or grant of money. Federal financial assistance, however, also may be in nonmonetary form such as: use or rent of Federal land or property at below market value, Federal training, a loan of Federal personnel, subsidies, and other arrangement with the intention of providing assistance.

**Recipient** means any State, political subdivision of any State, or instrumentality of any State or political subdivision, any private agency, institution, or organization, or other entity or any individual, in any State, to whom Federal Financial assistance is extended, directly or through another recipient, for any program, including any successor, assign, or transferee thereof, but such term does not include any ultimate beneficiary under any such program.

**Sub-Recipient** means any entity or person that indirectly receives Federal financial assistance in order to implement a program or activity which subjects them to Title VI compliance responsibilities. A sub-recipient may include, but is not limited to, a city county, metropolitan planning organization, college/university, contractor or sub-grantee.

  
\_\_\_\_\_  
John R. Cooper  
Transportation Director

04/08/11  
\_\_\_\_\_  
Date

**State of Alabama**  
**Alabama Department of Transportation**

1409 Coliseum Boulevard  
Montgomery, AL 36110

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April 8, 2011

**THE UNITED STATES DEPARTMENT OF TRANSPORTATION (USDOT)**  
**STANDARD TITLE VI / NON\_DISCRIMINATION ASSURANCES**  
**DOT ORDER NO. 1050.2A**

The Alabama Department of Transportation (herein referred to as the "Recipient"), HEREBY AGREES THAT, as a condition to receiving any Federal financial assistance from the U.S. Department of Transportation (DOT), through The Federal Highway Administration (FHWA), is subject to and will comply with the following:

Statutory/Regulatory Authorities

- Title VI of the Civil Rights Act of 1964 (42 U.S.C. § *et seq.*, 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin);
- 49 C.F.R. Part 21 (*entitled Non-discrimination In Federally-Assisted Programs of the Department of Transportation-Effectuation of Title VI of the Civil Rights Act of 1964*);
- 28 C.F.R. section 50.3 (U.S. Department of Justice Guidelines for Enforcement of Title VI of the Civil Rights Act of 1964);

*Modal Operating Administration may include additional Statutory/Regulatory Authorities here.*

The preceding statutory and regulatory cites hereinafter are referred to as the "Acts" and "Regulations," respectively.

General Assurances

In accordance with the Acts, the Regulations, and other pertinent directives, circulars, policy, memoranda, and/or guidance, the Recipient hereby gives assurance that it will promptly take any measures necessary to ensure that:

*"No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be defined the benefits of, or be otherwise subjected to discrimination under any program or activity, for which the Recipient receives Federal financial assistance from DOT, including the Federal Highway Administration.*

The Civil Rights Restoration Act of 1987 clarified the original intent of Congress, with respect to Title VI and other Non-discrimination requirements (The Age Discrimination Act of 1975, and Section 504 of the Rehabilitation Act of 1973), by restoring the broad, institutional-wide scope and coverage of these non-discrimination statutes and requirements to include all programs and activities of the Recipient, so long as any portion of the program is Federally assisted.



*Modal Operating Administration may include additional General Assurances in this section, or reference an addendum here.*

### Specific Assurances

More specifically, and without limiting the above general Assurance, the Recipient agrees with and gives the following Assurances with respect to its federally assisted programs:

1. The Recipient agrees that each "activity," "facility," or "program," as defined in §§21.23 (b) and 21.23 (e) of 49 C.F.R. §21 will be (with regard to an "activity") facilitated, or will be (with regard to a "facility") operated, or will be (with regard to a "program") conducted in compliance with all requirements imposed by, or pursuant to the Acts and Regulations.
2. The Recipient will insert the following notification in all solicitations for bids, Requests for Proposals for work, or material subject to the Acts and Regulations made in connection with all *Federal Highway Programs* and, in adapted form, in all proposals for negotiated agreements regardless of funding source:

*"The Alabama Department of Transportation in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252, 42 US.C§§ 2000d to 2000d-4) and the Regulations, hereby notifies all bidders that it will affirmatively ensure that any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full and fair opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award."*

3. The Recipient will insert the clauses of Appendix A and E of this Assurance in every contract or agreement subject to the Acts and the Regulations.
4. The Recipient will insert the clauses of Appendix B of this Assurance, as a covenant running with the land, in any deed from the United States effecting or recording a transfer of real property, structures, use, or improvements thereon or interest therein to a Recipient.
5. That where the Recipient receives Federal financial assistance to construct a facility, or part of a facility, the Assurance will extend to the entire facility and facilities operated in connection therewith.
6. That where the Recipient received Federal financial assistance in the form, or for the acquisition of real property or an interest in real property, the Assurance will extend to the rights to space on, over, or under such property,
7. That the Recipient will include the clauses as set forth in Appendix C and Appendix D of this Assurance as a covenant running with the land, in any future deeds, leases, licenses, permits, or similar instruments entered into by the Recipient with other parties:

- a. for the subsequent transfer of real property acquired or improved under the applicable activity, project, or program; and
  - b. for the construction or use of, or access to, space on, over, or under real property acquired or improved under the applicable activity, project, or program.
8. That this Assurance obligates the Recipient for the period during which Federal financial assistance is extended to the program, except where the Federal financial assistance is to provide, or is in the form of, personal property, or real property, or interest therein, or structures or improvements thereon, in which case the Assurance obligates the Recipient, or any transferee for the longer of the following periods:
- a. the period during which the property is used for a purpose for which the Federal financial assistance is extended, or for another purpose involving the provision of similar services or benefits; or
  - b. the period during which the Recipient retains ownership or possession of the property.
9. The Recipient will provide for such methods of administration for the program as are found by the Secretary of Transportation or the official to whom he/she delegates specific authority to give reasonable guarantee that it, other recipients, sub-recipients, sub-grantees, contractors, subcontractors, consultants, transferees, successors in interest, and other participants of Federal financial assistance under such program will comply with all requirements imposed or pursuant to the Acts, the Regulations, and this Assurances.
10. The Recipient agrees that the United States has a right to seek judicial enforcement with regard to any matter arising under the Acts, the Regulations, and this Assurance.

*Modal Operating Administration may include additional Specific Assurances in this section.*

By signing this ASSURANCE, *Alabama Department of Transportation* also agrees to comply (and require any sub-recipients, sub-grantees, contractors, successors, transferees, and/or assignees to comply) with all applicable provision governing the FHWA access to records, accounts, documents, information, facilities, and staff. You also recognize that you must comply with any program or compliance reviews, and/or complaint investigations conducted by the FHWA. You must keep records, reports, and submit the material for review upon request to *FHWA*, or its designee in a timely, complete, and accurate way. Additionally, you must comply with all other reporting, data collection, and evaluation requirements, as prescribed by lay or detailed in program guidance.

*Alabama Department of Transportation* gives this ASSURANCE in consideration of and for obtaining any Federal grants, loans, contracts, agreement, property, and/or discounts, or other Federal-aid and Federal financial assistance extended after the date hereof to the recipients by the U.S. Department of Transportation under the Federal Highway Programs. This ASSURANCE is binding on *Alabama Department of Transportation*, other recipients, sub-recipients, sub-grantees, contractors, subcontractors and their subcontractors', transferees, successors in interest, and any other participants in it programs. The person(s) signing below is authorized to sign this ASSURANCE on behalf of the Recipient.

**ALABAMA DEPARTMENT OF TRANSPORTATION**  
(Name of Recipient)

By John R. Cooper  
(Signature of Authorized Official)

DATE 9-27-2022

Attachments: Appendices A, B, C, D, and E



## APPENDIX A

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

1. Compliance with Regulations: The contractor (hereinafter includes consultants) will comply with the Acts and the Regulations relative to Non-discrimination in Federally-assisted programs of the U.S. Department of Transportation, *Federal Highway Administration*, as they may be amended from time to time, which are herein incorporated by reference and made a part of this contract.
2. Non-discrimination: The contractor, with regard to the work performed by it during the contract will not discriminate on the grounds of race, color, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor will not participate directly or indirectly in the discrimination prohibited by the Acts and the Regulations, including employment practices when the contract covers any activity, project, or program set forth in Appendix B of 49 CFR Part 21. *[include Modal Operating Administration specific program requirements.]*
3. Solicitations for Subcontracts, Including Procurements of Materials and Equipment: In all solicitations, either by competitive bidding, or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials, or leases of equipment, each potential subcontractor or supplier will be notified by the contractor of the contractor's obligations under this contract and the Acts and the Regulations relative to Non-discrimination on the grounds of race, color, or national origin. *[Include Modal Operating Administration specific program requirements.]*
4. Information and Reports: The contractor will provide all information and reports required by the Acts, the Regulations, and directives issued pursuant thereto and will permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the Recipient or the *Federal Highway Administration* to be pertinent to ascertain compliance with such Acts, Regulations, and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish the information, the contractor will so certify to the Recipient or the *Federal Highway Administration*, as appropriate, and will set forth what efforts it has made to obtain the information.
5. Sanctions for Noncompliance: In the event of a contractor's noncompliance with the Non-discrimination provisions of this contract, the Recipient will impose such contract sanctions as it or the *Federal Highway Administration* may determine to be appropriate, including but not limited to:
  - a. withholding payments to the contractor under the contract until the contractor complies; and/or
  - b. cancelling, terminating, or suspending a contract, in whole or in part.
6. Incorporation of Provisions: The contractor will include the provisions of paragraphs one through six in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Acts, the Regulations and directives issued pursuant

thereto. The contractor will take action with respect to any subcontract or procurement as the Recipient or the *Federal Highway Administration*) may direct as a means of enforcing such provisions including sanctions for noncompliance. Provided, that if the contractor becomes involved in, or is threatened with litigation by a subcontractor, or supplier because of such direction, the contractor may request the Recipient to enter into any litigation to protect the interests of the Recipient. In addition, the contractor may request the United States to enter into the litigation to protect the interests of the United States.

## APPENDIX B

## CLAUSES FOR DEEDS TRANSFERRING UNITED STATES PROPERTY

The following clauses will be included in deeds effecting or recording the transfer of real property, structures, or improvements thereon, or granting interest therein from the United States pursuant to the provisions of Assurance 4:

NOW, THEREFORE, the U.S. Department of Transportation as authorized by law and upon the condition that the *State of Alabama* will accept title to the lands and maintain the project constructed thereon in accordance with *Title 23, United States Code*, the Regulations for the Administration of *Federal Aid for Highway*, and the policies and procedures prescribed by the *Federal Highway Administration* of the U.S. Department of Transportation in accordance and in compliance with all requirements imposed by Title 49, Code of Federal Regulations, U.S. Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Non-discrimination in Federally-assisted programs of the U.S. Department of Transportation pertaining to and effectuating the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252; 42 U.S.C. § 2000d to 2000d-4), does hereby remise, release, quitclaim and convey unto the *State of Alabama* all the right, title and interest of the U.S. Department of Transportation in and to said lands described in Exhibit A attached hereto and made a part hereof.

## (HABENDUM CLAUSE)

TO HAVE AND TO HOLD said lands and interests therein unto the State of Alabama and its successors forever, subject, however, to the covenants, conditions, restrictions and reservations herein contained as follows, which will remain in effect for the period during which the real property or structures are used for a purpose for which Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits and will be binding on the *State of Alabama*, its successors and assigns.

The State of Alabama, in consideration of the conveyance of said lands and interests in lands, does hereby covenant and agree as a covenant running with the land for itself, its successors and assigns, that ( 1 ) no person will 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 with regard to any facility located wholly or in part on, over, or under such lands hereby conveyed [,] land]\* (2) that the *State of Alabama* will use the lands and interests in lands and interests in lands so conveyed, in compliance with all requirements imposed by or pursuant to Title 49, Code of Federal Regulations, U.S. Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-assisted programs of the U.S. Department of Transportation, Effectuation of Title VI of the Civil Rights Act of 1964, and as said Regulations and Acts may be amended[, and (3) that in the event of breach of any of the above-mentioned non-discrimination conditions, the Department will have a right to enter or re-enter said lands and facilities on said land, and that above described land and facilities will thereon revert to and vest in and become the absolute property of the U.S. Department of Transportation and its assigns as such interest existed prior to this instruction].\*

(\*Reverter clause and related language to be used only when it is determined that such a clause is necessary in order to make clear the purpose of Title VI.)



APPENDIX C

CLAUSES FOR TRANSFER OF REAL PROPERTY ACQUIRED OR IMPROVED UNDER  
THE ACTIVITY, FACILITY, OR PROGRAM

The following clauses will be included in deeds, licenses, leases, permits, or similar instruments entered into by the State of Alabama pursuant to the provisions of Assurance 7(a):

- A. The (grantee, lessee, permittee, etc. as appropriate) for himself/herself, his/her heirs, personal representatives, successors in interest, and assigns, as a part of the consideration hereof, does hereby covenant and agree [in the case of deeds and leases add "as a covenant running with the land"] that:
  - 1. In the event facilities are constructed, maintained, or otherwise operated on the property described in this (deed, license, lease, permit, etc.) for a purpose for which a U.S. Department of Transportation activity, facility, or program is extended or for another purpose involving the provision of similar services or benefits, the (grantee, licensee, lessee, permittee, etc.) will maintain and operate such facilities and services in compliance with all requirements imposed by the Acts and Regulations (as may be amended) such that no person on the grounds of race, color, or national origin, will be excluded from participation in, denied the benefits of, or be otherwise subjected to discrimination in the use of said facilities.
- B. With respect to licenses, leases, permits, etc., in the event of breach of any of the above Non-discrimination covenants, State of Alabama will have the right to terminate the (lease, license, permit, etc.) and to enter, re-enter, and repossess said lands and facilities thereon, and hold the same as if the (lease, license, permit, etc.) had never been made or issued.\*
- C. With respect to a deed, in the event of breach of any of the above Non-discrimination covenants, the *State of Alabama* will have the right to enter or re-enter the lands and facilities thereon, and the above described lands and facilities will there upon revert to and vest in and become the absolute property of the State and its assigns.\*

(\*Reverter clause and related language to be used only when it is determined that such a clause is necessary to make clear the purpose of Title VI.)

APPENDIX D

CLAUSES FOR CONSTRUCTION/USE/ACCESS TO REAL PROPERTY ACQUIRED  
UNDER THE ACTIVITY, FACILITY OR PROGRAM

The following clauses will be included in deeds, licenses, permits, or similar instruments/agreements entered into by the state of Alabama pursuant to the provisions of Assurance 7(b):

- A. The (grantee, licensee, permittee, etc., as appropriate) for himself/herself, his/her heirs, personal representatives, successors in interest, and assigns, as apart of the consideration hereof, does hereby covenant and agree (in the case of deeds and leases add, "as a covenant running with the land") that (1) no person on the ground of race, color, or national origin, will be excluded from participation in, denied the benefits of, or be otherwise subjected to discrimination in the use of said facilities, (2) that in the construction of any improvements on, over, or under such land, and the furnishing of services thereon, no person on the ground of race, color, or national origin, will be excluded from participation in, denied the benefits of, or otherwise be subjected to discrimination, (3) that the (grantee, licensee, lessee, permittee, etc.) will use the premises in compliance with all other requirements imposed by or pursuant to the Acts and Regulations, as amended, set forth in this Assurance.
- B. With respect to (licenses, leases, permits, etc.), in the event of breach of any of the above Nondiscrimination covenants, *State of Alabama* will have the right to terminate the (license, permit, etc., as appropriate) and to enter or re-enter and repossess said land and the facilities thereon, and hold the same as if said (license, permit, etc., as appropriate) had never been made or issued.\*
- C. With respect to deeds, in the event of breach of any of the above Non-discrimination covenants, (*Title of Recipient*) will there upon revert to and vest in and become the absolute property of (*Title of Recipient*) and its assigns.\*

(\*Reverter clause and related language to be used only when it is determined that such a clause is necessary to make clear the purpose of Title VI.)

## APPENDIX E

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the "contractor") agrees to comply with the following non-discrimination statutes and authorities; including but not limited to:

**Pertinent Non-Discrimination Authorities:**

- Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d *et seq.*, 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin); and 49 CFR Part 21.
- The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, (42 U.S.C. § 4601), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);
- Federal-Aid Highway Act of 1973, (23 U.S.C. § 324 *et seq.*), (prohibits discrimination on the basis of sex);
- Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. § 794 *et seq.*), as amended, (prohibits discrimination on the basis of disability); and 49 CFR Part 27;
- The Age Discrimination Act of 1975, as amended, (42 U.S.C. § 6101 *et seq.*), (prohibits discrimination on the basis of age);
- Airport and Airway Improvement Act of 1982, (49 USC § 471, Section 47123), as amended, (prohibits discrimination based on race, creed, color, national origin, or sex);
- The Civil Rights Restoration Act of 1987, (PL 100-209), (Broadened the scope, coverage and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms "programs or activities" to include all of the programs or activities of the Federal-aid recipients, sub-recipients and contractors, whether such programs or activities are Federally funded or not);
- Titles II and III of the Americans with Disabilities Act, which prohibit discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12131-12189) as implemented by Department of Transportation regulations at 49 C.F.R. parts 37 and 38;
- The Federal Aviation Administration's Non-discrimination statute (49 U.S.C. § 47123) (prohibits discrimination on the basis of race, color, national origin, and sex);
- Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations, which ensures discrimination against minority populations by discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental effects on minority and low-income populations;
- Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin discrimination includes discrimination because of limited English proficiency (LEP). To ensure compliance with Title VI, you must take reasonable steps to ensure that LEP persons have meaningful access to your programs (70 Fed. Reg. at 74087 to 74100);
- Title IX of the Education Amendments of 1972, as amended, which prohibits you from discriminating because of sex in education programs or activities (20 U.S.C. 1681 *et seq.*).

TITLE VI OF THE CIVIL RIGHTS ACT OF 1964  
42 U.S.C. 2000D ET SEQ.

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Title VI, 42 U.S.C. 2000d et seq., was enacted as part of the landmark Civil Rights Act of 1964. It prohibits discrimination on the basis of race, color, and national origin in programs and activities receiving federal financial assistance. As President John F. Kennedy said in 1963:

"Simple justice requires that public funds, to which all taxpayers of all races (colors and national origins) contribute, not be spent in any fashion which encourages, entrenches, subsidizes or results in racial (color or national origin) discrimination."

If a recipient of federal assistance is found to have discriminated and voluntary compliance cannot be achieved, the federal agency providing the assistance should either initiate fund termination proceedings or refer the matter to the Department of Justice for appropriate legal action. Aggrieved individuals may file administrative complaints with the federal agency that provides funds to a recipient, or the individuals may file suit for appropriate relief in federal court. Title VI itself prohibits intentional discrimination. However, most funding agencies have regulations implementing Title VI that prohibits recipient practices that have the effect of discrimination on the basis of race, color, or national origin.

## IMPACT OF THE CIVIL RIGHTS ACT OF 1987 ON FHWA PROGRAMS

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The Civil Rights Restoration Act of 1987 clarified the intent of Congress to include all programs and activities of Federal-aid recipients, sub-recipients, and contractors. This statute clarified the intent of Congress as it relates to nondiscrimination statutes.

Nondiscrimination programs require recipients, sub-recipients, and contractors to prevent discrimination and ensure nondiscrimination in all of their programs and activities, whether those programs and activities are federally funded or not. The factors prohibited from serving as a basis for action or inaction, include race, color, national origin, sex, age, and handicap/disability. The efforts to prevent discrimination must address, but not be limited to, a program's impacts, access, benefits, and opportunities, investigation of complaints, allocation of funds, prioritization of projects, and the function of right-of-way, research, and design.

Authorities for nondiscrimination include, but are not limited to:

Title VI of the Civil Rights Act of 1964,

The Age Discrimination Acts of 1967 and 1975,

Section 540 of the Rehabilitation Act of 1973,

The Americans with Disabilities Act of 1990,

Title IX of the Education Amendments of 1972, and

Title 23, United States Code, Section 124.

The Civil Rights Restoration Act of 1987 amended each of the affected statutes by adding a section defining the word "program" to make clear that discrimination is prohibited throughout an entire agency if any part of the agency receives Federal financial assistance. "If a unit of a State or local government is extended Federal aid and distributes such aid to another government entity, all of the operations of the entity which distributes the funds and all the operations of the department or agency to which the funds are distributed are covered."

## AUTHORITIES

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This section is a reference source for the applicable authorities related to Title VI. It is intended for use by both civil rights and program area personnel.

### A. Federal Law

1. 42 USC 2000d-4 Title VI – Nondiscrimination in Federally Assisted Programs (Civil Rights Act of 1964)
2. P.I. 100-259 Civil Rights Restoration Act of 1987
3. Executive Order 12250, November 2, 1990, Leadership and Coordination of Nondiscrimination Laws

### B. U.S. Department of Justice Regulations

28 CFR 42.401-415 – Coordination of Enforcement of Nondiscrimination in Federally Assisted Programs

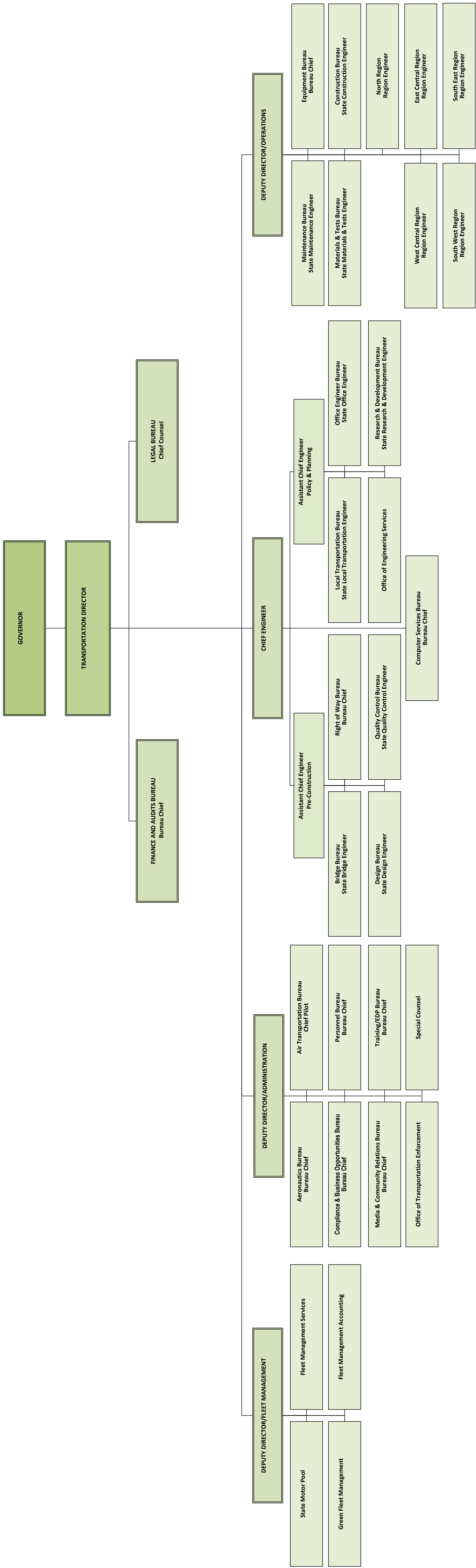
### C. U.S. Department of Transportation Regulations

49 CFR 21 – Nondiscrimination in Federally Assisted Programs of the Department of Transportation – Effectuation of Title VI of the Civil Rights Act of 1964

### D. Federal Highway Administration Regulations/Directives

1. Civil Rights
  - a. 23 USC 324, Prohibits Sex Discrimination in Federal-Aid Highway Programs
  - b. 23 CFR 200 – Title VI Program and Related Statues, Implementation and Review Procedures
2. Planning CFR Parts 420, 450, 771  
Project Development – 23 CFR Part 771 – Environment Impact and Related Procedures
3. Construction – 23 CFR Part 635
4. Consultant Contract – 23 CFR Part 172
5. Research – 23 CFR Part 420

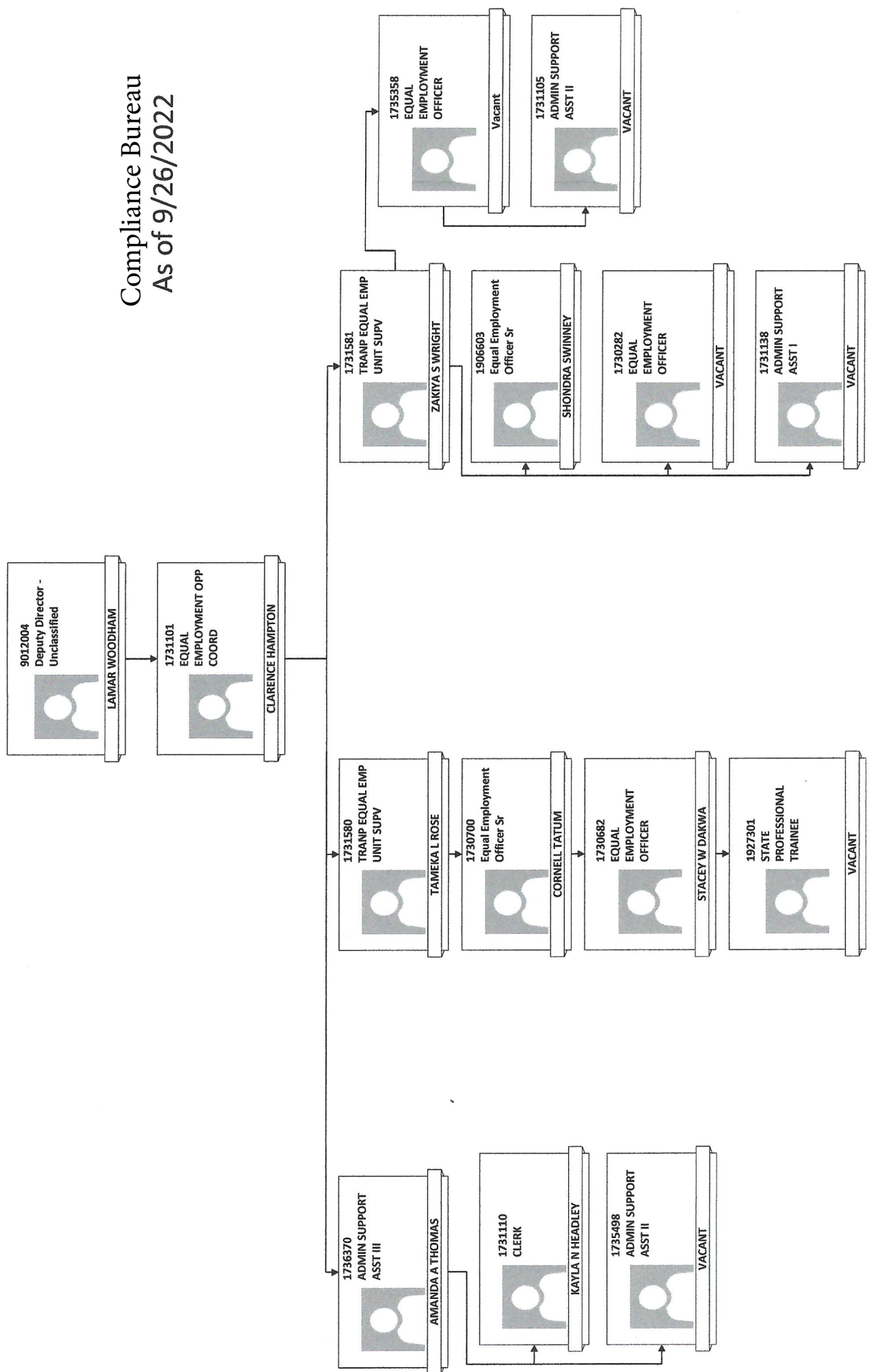
# The Alabama Department of Transportation





# Organizational Chart

Compliance Bureau  
As of 9/26/2022



## TITLE VI DESIGNEES

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The following personnel serve as the Title VI Designee for their respective Region/Bureau. The designees assist the Central Office Title VI Coordinator with coordinating the annual Title VI Reviews.

<b>Region Designees</b>	
North Region	Cathy Dixon
East Central Region	Latanga Kennedy
West Central Region	Angela Dunstan
Southeast Region	Undrea Campbell
Southwest Region	
<ul style="list-style-type: none"> <li>• Mobile Area</li> </ul>	LaToya Herman-Mills
<ul style="list-style-type: none"> <li>• Grove Hill Area</li> </ul>	Tamaneka Westry

<b>Bureau Designees</b>	
Design	Natasha Clay
Local Transportation	Bryan Fair
Research and Development	Kidada Dixon
Right-of-Way	Jeff Jones
Construction	Jeff Benefield/ Tracy Hamil
Maintenance	Morgan Musick

# PROGRAM AREA REVIEW PROCEDURES

## TITLE VI IMPLEMENTATION PLAN

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### Title VI Program Administration Fiscal Year 2023

<u>Activities</u>	<u>Description</u>	<u>Involved Staff</u>	<u>Projected Time Line</u>
<b><u>Regions:</u> North Region, West Central Region, East Central Region, Southeast Region, and Southwest Region</b>	Conduct annual desk audit review of Title VI activities in the Regions. Title VI activities in the Regions consist of reviewing Right-of-Way, Public Involvement, and Environmental information received, and writing a report.	Title VI Coordinator	The desk audit letters to the Regions will go out August 1 <sup>st</sup> , and are expected back in the Title VI office by August 30 <sup>th</sup> .
<b><u>Bureaus:</u> Design/Safety, Right-of-Way (ROW), Construction, Research &amp; Development (R&amp;D), Maintenance and Local Transportation</b>	Review of the annual activities in these program areas. Assessment of total dollar amount, public benefits and service, statistical data, and the process used, which gives an overview of departmental compliance and accomplishments.	Title VI Coordinator	The review period for Bureaus will begin in the month of August.
<b><u>Metropolitan Planning Organizations:</u> Auburn-Opelika; Birmingham; Calhoun; Columbus-Phenix City; Decatur; Southeast Wiregrass (Dothan); Eastern Shore; Florida/Alabama; Gadsden/Etowah; Huntsville; Mobile; Montgomery; Shoals; Tuscaloosa</b>	Review of the fourteen Planning organizations that have direct responsibilities for implementing State projects. Review of staffing, Federal funds utilization, minority participation, and public involvement activities. This will include random annual on-site reviews of the MPOs.	Title VI Coordinator	The onsite review will be conducted in August. The desk audit letters will go out August 1 <sup>st</sup> , to be received back in the Title VI office by August 30 <sup>th</sup> .

<b><u>Activities</u></b>	<b><u>Description</u></b>	<b><u>Involved Staff</u></b>	<b><u>Projected Time Line</u></b>
<b><u>Public Involvement/Hearings</u></b>	Review Public Involvement documents (i.e. environmental impact, categorical exclusions, etc.). Document and make note of any Title VI issues. Attend any Public Involvement meeting that have major Title VI concerns. Title VI Brochures are available in English and Spanish.	Title VI Coordinator	The review of these documents is ongoing. The Title VI staff will attend Public Involvement meetings based on Title VI issues.
<b><u>Title VI Training</u></b>	Identify Title VI training that is needed for department personnel that have Title VI responsibilities (i.e. Right of Way, Local Transportation, Construction, Design, Maintenance, and Safety as well as any Sub-recipient that may want to participant.	Title VI Coordinator	Title VI training will be provided annually to internal staff and subrecipients.

## STRATEGIC PLAN – REGIONS

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<u>Objectives</u>	<u>Tasks/Activities</u>	<u>Responsible Employee</u>	<u>Projected Time Line</u>
<p>To review program activities in the five Regions for Title VI requirements and compliance.</p>	<p>Utilize the FHWA tool kit to review and assess compliance with Title VI requirements in all program areas.</p> <p>*Please refer to the attached questionnaires for each referenced Region.</p> <p>**The questionnaires have been approved by FHWA. The utilization of the questionnaire gives Title VI Staff adequate information on the Regions' operations.</p>	<p>Title VI Coordinator</p>	<p>Completed by September 1<sup>st</sup> (each fiscal year).</p>

## REGIONS' QUESTIONNAIRE

### **RIGHT-OF-WAY**

1. Were there any formal or informal complaints filed during this period? If yes, please explain.
2. During this reporting period, were any relocations completed? If yes, please provide Form 11.
3. Can these relocates be contacted for comment? If not, please explain.
4. How many relocations involved minorities?
5. Were there any complaints from minority relocates? If yes, please explain.
6. During this reporting period, were any relocation appeals filed? If yes, how many and what were the resolutions?
7. Were there any minority appraisers used this past reporting period? If no, please explain. If yes, please list.



## **REGIONS' QUESTIONNAIRE**

### **PRE-CONSTRUCTION**

1. Were there any formal or informal complaints during the last reporting period? If yes, please explain.
2. How many public involvement (PI) meetings were held during this reporting period? Please provide documentation of any meetings hosted.
3. Were the PI meetings adequately staffed? If not, please explain.
4. Were there any Limited English Proficiency (LEP) issues or concerns during this reporting period? If yes, please explain.
5. Were there any Title VI issues raised during this reporting period? If yes, please explain.
6. What forms of advertisement, if any, were used? Please provide documentation.

## STRATEGIC PLAN – BUREAUS

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<b><u>Objectives</u></b>	<b><u>Tasks/Activities</u></b>	<b><u>Responsible Employee</u></b>	<b><u>Projected Time Line</u></b>
<p>To review program activities in the Bureaus (referenced below) for Title VI compliance requirements.</p> <ul style="list-style-type: none"> <li>• Construction</li> <li>• Design/Safety</li> <li>• Right-of-Way</li> <li>• Local Transportation</li> <li>• Research &amp; Development</li> <li>• Maintenance</li> </ul>	<p>Utilize the FHWA tool kit to review and assess compliance with Title VI requirements in all program areas.</p> <p>*Please refer to the attached questionnaires for each referenced Bureau.</p>	<p>Title VI Coordinator</p>	<p>Completed by September 15<sup>th</sup> (each fiscal year).</p>

## CONSTRUCTION BUREAU QUESTIONNAIRE

1. Was there diversification of staff used in the monitoring/inspection of work by the State, which resulted in equal and fair treatment of protected groups? If no, please explain.
2. Were the required mitigation measures effectively implemented (e.g., safety through construction zones, air/noise impact, employment and contracting goals, etc.)?
3. Were there inspections of the mitigation measures during the construction period?
4. Was there coordination with public interest groups when necessary? Please explain.
5. Was there a survey that subcontractors used to express their concerns? Please explain.
6. How did Supportive Services assist in the meeting of contractual goals?
7. Does an assurance of uniformity exist in the approval of plan changes and supplemental agreements? Please explain.
8. How was the uniformity monitored and maintained (e.g., processing reviews, training, feedback from contractors/subcontractors, supportive services, etc.)?
9. Were there any formal or informal complaints during this reporting period? If yes, please list and indicate how each was processed and resolved.

# DESIGN BUREAU QUESTIONNAIRE

## ENVIRONMENTAL SECTION

1. Whether public involvement was adequately solicited?
  - A. Does the public involvement program fit all of the needs for a particular community?
    - I. In accordance with EO 13166, have there been steps taken to ensure the LEP communities are adequately serviced?
  - B. Does it utilize all of the forms of media necessary to be consistent with the flow of project information throughout all stages of development?
  - C. Does DOT provide for public involvement when all environmental documents are approved?
  - D. Does DOT focus outreach on appropriate communities to ensure involvement?
  - E. Does DOT use informal contact with the public versus the formal meeting to ensure the best public hearings?
    - I. (The use of an informal/formal allows for one-on-one communication.)
2. Is there an assurance that the social, economic, and environmental (SEE) impacts have been adequately addressed? If so, what is the assurance?
  - A. How are you determining the appropriate uses of the SEE impacts?
3. Is the potential for disproportionate or discriminatory impacts being addressed adequately?
4. Was there a demographic analysis that would show a profile of impacted/or not on population? (i.e., minority concentration or not)
5. Is there a history of impacts by governmental projects in the project area?
6. Are there any complaints or assertions of disproportionate impacts that are unveiled during the public involvement activities? If so, what are they and how were they resolved?
7. In the selection of consultants, what would be the process, and does it ensure compliance with Title VI? Why or why not?

## **DESIGN BUREAU QUESTIONNAIRE**

### **SAFETY SECTION**

1. How is the Highway Safety Improvement Program developed and graded (HSIP)?
2. How does the STA procedure ensure participation of all Title VI Program related populations (i.e. EJ and LEP populations) in the development of Safety environmental documentation and project plans?
3. Does Safety periodically evaluate these procedures to determine if the process and how they are being implemented are Title VI Program compliant?
4. How does Safety monitor sub-recipients that receive Federal funds for HISP?

## **RIGHT-OF-WAY BUREAU QUESTIONNAIRE**

Appraiser Review; Negotiations/Acquisition; Relocation Assistance and Payment; Property Management

### **APPRAISER REVIEW**

1. Is there diversification in the use of appraisers?
  - A. How aggressive are the outreach programs?
2. Is there an assurance that the selection or adjustment of comparable sales and rentals (properties) reflects discrimination and stereotypes?
  - A. How is the State maximizing the quality of appraisal reviews? (i.e., training, selection of fee/staff appraisers, qualified review appraisers, etc.)
  - B. How does the State ensure that appraisal activity complies with Title VI? (inclusive of compliance with EO 13166, LEP requirements)
  - C. How does the state ensure the information gathering, analysis, and reporting must be objective in nature?
3. Does the state have a measure of the consistency in the determination of severance/consequential damages?

### **NEGOTIATIONS/ACQUISITION**

4. Has every effort been made to negotiate for required property before filing condemnation?
  - A. What were the steps taken to ensure compliance with regulatory requirements prior to instituting of condemnation proceedings?
5. Were the property owners fully informed of their rights to receive just compensation for their property before any donation of such property was made?
  - A. Were provisions made for the need for the translation of the contracts and other necessary documentation, if the land owner or tenant speaks another language other than English?
  - B. What are the procedures utilized to ensure the parcel record documents the basis for donations and notification of entitlement to just compensation?
6. Was the offer made for the full amount of the appraiser's determination of compensation?
  - A. What is in place to ensure consistency in the implementation of negotiation procedures?
7. Is there a consistency in the application of the minimum payment policy?
  - A. What process ensures the policy is applied uniformly from project to project?

## **RELOCATION ASSISTANCE AND PAYMENT**

8. Was the relocation advisory assistance provided equitably and without discrimination to displace individuals?
  - A. Does the State have diversification of the relocation staff?
  - B. Does the State obtain feedback from the displaced individuals? If so, how is it monitored?
  - C. Does the State conduct a needs assessment?
  - D. Does the State conduct self-evaluations of its staff members?
  
9. Is the selection of comparable replacement housing fair, consistent, and without discrimination? What is in place to ensure that these activities remain in compliance with Title VI?
  
10. Are the standard measures of decent, safe, and sanitary inspections consistently applied?
  
11. Are there adequate personal contacts? Does the State utilize sensitivity training?

## **PROPERTY MANAGEMENT**

12. What is the measure used to determine rent? Is it applied equitably?
  
13. What is the process for the procurement of bids? Is it a process that allows for equal opportunity for all parties interested? Is there an aggressive outreach program in place? Have the barriers, if any, been removed?
  
14. Is the maintenance of rental property on projects adequately and consistently performed for all renters?
  - A. Does the State use referral services?
  - B. Does the State obtain tenant feedback?



**LOCAL TRANSPORTATION PLANNING QUESTIONNAIRE**  
Statewide Planning/MPO  
(Under SAFETEA-LU (PL-109-59§6001(135) (d)) the planning factors for  
statewide and metropolitan planning have been combined.)

What are your processes and procedures for complying with Title VI Guidelines for the following STA planning/ MPO functions?

**OVERALL STRATEGIES AND GOALS**

1. What strategies and efforts has the planning process developed for ensuring, demonstrating, and substantiating compliance with Title VI?
2. Has the planning process developed a demographic profile of the metropolitan planning area or State that includes identification of the locations of socio- economic groups, including low-income and minority populations as covered by the EO and EJ (12989) and Title VI provisions?
3. Does the process (planning) seek to identify the needs of low-income and minority populations?
  - A. Have there been provisions made to ensure compliance with EO 13166, Limited English Proficiency, within the planning process?

**SERVICES EQUITY**

1. Does the planning process have an analytical process in place for assessing the regional benefits and burdens of the transportation system investments for different socio-economic groups?
2. What strategies, if any, have been implemented to reduce participation barriers?
  - A. Is there routine coordination with Indian Tribal Governments in statewide metropolitan transportation planning?
3. Have efforts been undertaken to improve performance, especially with regard to low-income and minority populations?
4. What efforts by MPO's have been made to engage low-income and minority populations in the certification review process? What were public outreach efforts?
5. Does the public outreach effort utilize media to target the low-income and minority populations?

6. During public forums, what issues have been raised, how are their concerns documented, and how do they reflect on the performance of the planning process in relation to Title VI requirements?
7. Are the social, economic, and environmental (SEE) impacts being identified and described consistently?
8. Are there contracting opportunities for planning studies, corridor studies, or other work being provided to minorities and women? What efforts, if any? Please describe in detail.
9. Are minority and diverse language media appropriately included in all notification processes for public meetings or public review of agency documents?
10. Has there been appropriate contact with minority groups or leaders to identify information needs and planning/programming issues of concern?
11. Is technical information available in formats and in places and times conducive to review by the public? (This may require provision of information to people with visual impairments, non-English and LEP speakers, or to persons without extensive formal schooling.)
  - A. Do meeting formats encourage participation by minorities or people with disabilities?
12. Are persons traditionally underserved by transportation systems such as low-income, minorities, or LEP persons actively sought out for involvement?

## **RESEARCH AND DEVELOPMENT BUREAU QUESTIONNAIRE**

1. Was there an assurance of diversification in the selection of universities?
2. Was there an aggressive outreach plan? Please explain.
3. Were there any barriers, and was the ALDOT successful in removing those barriers? Please explain.
4. Was a proposal statement utilized for solicitation? Please explain.
5. What forms of media utilized?
6. How were contacts made with consulting colleges, and universities?
7. During this reporting period, how many universities or colleges were used for research and what dollar amount was paid to each?
8. What-minority universities or colleges were used for research, and what was the dollar amount each minority university or college received during this reporting period?
9. What was the participation level for this reporting period, and how did it compare to the participation level of the past year(s)?
10. Is there anything that you would like to see the ALDOT or FHWA do to increase participation and improve the success rate of the program?

## **MAINTENANCE BUREAU QUESTIONNAIRE**

1. What process is used to ensure that the implementation of the Maintenance Bureau is compliant with Title VI Program requirements?
2. How is a periodic review implemented of the actual process that ensures the Maintenance Bureau projects are being implemented in a non-discriminatory manner?
3. How do the Maintenance Bureau monitor sub-recipients (i.e. Local Public Agencies (LPA's) that receive Federal funds? If applicable?

## SPECIAL EMPHASIS PROGRAM AREA

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There was one (1) special emphasis area identified for the 2023 fiscal year, data collection. ALDOT's major program areas were encouraged by the Title VI Coordinator, to reference web links where data collection methods can be reviewed more extensively by the public. For example, Environmental Justice screenings (EJ) and Census data information on various projects in the environmental section can be lengthy for a report, but can be reviewed by the public at leisure on a web link. This will provide the public more transparency into the process and how this information is captured.

# SUB-RECIPIENT REVIEW PROCEDURES

STRATEGIC PLAN – METROPOLITAN PLANNING ORGANIZATIONS (MPO)

<u>Objectives</u>	<u>Tasks/Activities</u>	<u>Responsible Employee</u>	<u>Projected Time Line</u>
<p>To review fourteen (14) MPO Programs for Title VI compliance.</p> <p>To ensure a signed Title VI Assurance is in place.</p> <p>To ensure there is an active Title VI Plan that includes a Public Involvement Process.</p>	<p>Utilize the questionnaire (attached) to assess the annual activities with reference to the following areas of Title VI interest:</p> <ul style="list-style-type: none"> <li>• Monitoring implementation of projects</li> <li>• Utilization of Federal funds</li> <li>• Staffing</li> <li>• Minority Participation</li> <li>• Public involvement and outreach</li> </ul> <p>Attendance of MPO meetings that have Title VI concerns and/or issues in each of the fourteen (14) areas covered statewide.</p> <p>Conduct six (6) random on-site reviews of MPOs during current reporting period.</p>	<p>Title VI Coordinator</p>	<p>Completed by September 15<sup>th</sup> (each fiscal year).</p>



**METROPOLITAN PLANNING ORGANIZATION (MPO)  
REVIEW & EVALUATION FORM**

(Under SAFETEA-LU (PL-109-59 § 6001(135) (d)) the planning factors for statewide and metropolitan planning have been combined.)

Name of the MPO: \_\_\_\_\_ Date: \_\_\_\_\_

1. List the members of your MPO and indicate the percentage of minority representation.
2. Indicate the percentage of representation of minorities on your Technical & Citizen Committees.
3. How are the MPO members selected?
4. Are minorities and females included in this process?
5. What is the total dollar amount received from the DOT?
6. Are dollars designated for special project(s) or at the discretion of your MPO?
7. What is the total number of contracts awarded?
8. What is the process by which contractors are selected?
9. How many contracts are awarded to minorities?
10. What is the total dollar amount awarded to minorities?
11. What type of contracts were awarded?
12. Does your MPO maintain an active list of contractors? \_\_\_\_\_ If so, please list.
13. What type of programs or projects are placed on the MPO bid list?
14. What strategies and efforts has the planning process developed for ensuring, demonstrating, and substantiating compliance with Title VI?
15. Has the planning process developed a demographic profile of the metropolitan planning area or State that includes identification of the locations of socio-economic groups, including low-income and minority populations as covered by the EO on EJ (12989) and Title VI provisions?

16. Have there been provisions made to ensure compliance with EO 13166, Limited English Proficiency (LEP), within the planning process?
17. What strategies, if any, have been implemented to reduce participation barriers?
18. Is there routine coordination with Indian Tribal Governments in statewide metropolitan transportation planning?
19. What effort by the MPO has been made to engage low-income and minority populations in the certification review process?
20. What were the public outreach efforts?
21. During public forums, what issues have been raised, how are their concerns documented, and how do they reflect on the performance of the planning process in relation to Title VI requirements?
22. Are the social, economic, and environmental (SEE) impacts being identified and described consistently?
23. Are there contracting opportunities for planning studies, corridor studies, or other work being provided to minorities and women?
  - a. What efforts, if any? Describe in detail.
24. Are minority and diverse language media appropriately included in all notification processes for public meetings or public review of agency documents?
25. Is technical information available in formats and in places and times conducive to review by the public? (This may require ADA accommodations, or provision of information to people with visual impairments, non-English and LEP speakers, or to persons without extensive formal schooling.)
26. Have there been any American with Disabilities Act (ADA) updates or improvements to any facilities.
27. Do meeting formats encourage participation by minorities or people with disabilities?
28. Are persons traditionally under served by transportation systems such as low-income, minorities, or LEP persons actively sought out for involvement?
29. Does the planning process seek to utilize demographic information to examine the distributions across these groups of the benefits and burdens of the transportation investments included in the plan and TIP (or STIP)?
  - a. If imbalances are identified, how does the planning process respond?

(NOTE: Please answer questions using bold, underline or different font color.)

## CERTIFICATION

The MPO assures that no persons or disadvantaged business enterprise shall on the grounds of race, color, sex, disability, or national origin be excluded from participation, be denied the benefits of or be otherwise subjected to discrimination under the project in Federally-assisted programs. It also assures that the project, when formulated, was designed to pay particular attention to the existence, composition, and distribution of minority population groups and disadvantaged business enterprises in the project service area.

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Name of Applicant Agency

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Signature and Title of Authorized Official

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Date

## DATA COLLECTION

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ALDOT is responsible for collecting statistical data on race, color and national origin in program or service areas for beneficiaries. The Title VI Coordinator works with the Program Area Representatives to analyze this data. The following data is collected and analyzed by ALDOT:

- Data on Active Consultant Contracts - ([Design/Consultant Management](#)).
- Data on Minority Consultants - ([Design/Consultant Management](#)).
- Data on Appraisal/Relocation activities and Right-of Way Acquisition assessment through the use of Geographical Information Systems (GIS) - ([Right-of-Way Bureau](#)).
- Data is collected on 5303 Fund Allocation by Urbanized Area and the (GIS) demographic profile data is used for Planning area analysis - ([Local Transportation Bureau](#)).
- Highway Safety Improvement Plan (HSIP) data is collected on, Highway Safety Trends, Fatality/Serious Injury Rate, Number of Older Drivers and Pedestrian Fatality Rate - ([Design/Safety Section](#)).
- Road Maintenance data is collected, on Road Condition Rates and Level of Service (LOS) - ([Maintenance Bureau](#)).
- Public Involvement data includes, a community demographic profile through the use of Geographical Information Systems (GIS), On the Map Census and American Community Survey - ([Design/Environmental Section](#)).
- Limited English Proficiency data includes the use of US Census, State Demographic profile, American Community Surveys and On the Map Census - ([Design/Environmental Section](#)).
- Data is collected on MPOs Board members percentage of minority representation, Boards appointment by elections, minority and female inclusions, minority contracts, dollar amounts awarded, ADA Transition Plans, LEP Plan, Public Involvement Plan, Title VI, Complaints, Demographic Data collection, etc. - ([14 Metropolitan Planning Organizations](#)).

## TRAINING PROCEDURES

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### Title VI Coordinator

The Title VI Coordinator is responsible for providing annual training internally and externally on Title VI related issues. The training provided may be accessed individually or with the Title VI Coordinator.

### Title VI Liaison/Other Employee Training

The Title VI Coordinator will provide annual training to ALDOT's Title VI staff, Region liaisons and personnel that have specific Title VI responsibilities in the major Program areas. The training can be taken individually in a virtual setting or individuals may participate in a semi-annual virtual training with the Title VI Coordinator. After the training sessions participants take an exam that certifies their basic knowledge of Title VI requirements for 2 years. The training includes Title VI enforcement, requirements, compliance, Limited English Proficiency and Environmental Justice.

### Sub-recipients

The Title VI Coordinator works closely with the sub-recipient/stakeholders to provide and exchange Title VI information in a timely manner. In addition, the Title VI Coordinator monitors their public involvement process, provide guidance and assistance with the Title VI annual desk audit update report. ALDOT's Title VI training is always extended to Metropolitan Planning Organizations staff.

# State of Alabama

## Alabama Department of Transportation

1409 Coliseum Boulevard  
Montgomery, AL 36110

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April 8, 2011

### TITLE VI DISCRIMINATION COMPLAINT PROCEDURES

#### **General**

The Title VI discrimination complaint procedure is intended to provide aggrieved individuals a process to bring forth complaints of discrimination regarding federal financial assisted programs, activities and/or services administered by ALDOT or its sub-recipients, consultants and contractors. Title VI of the Civil Rights Act of 1964 states that: "No person in the United States shall, on the grounds of race, color, national origin, disability, age or sex, be excluded from participation in be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance."

#### **Purpose**

The purpose is to describe the procedure used by ALDOT for processing complaints of discrimination under the Title VI of the 1964 Civil Rights Act as amended, while ensuring due process for complaints. This process does not preclude ALDOT from attempting to informally resolve complaints. This process does not deny the right of a complainant to file formal complaints with other federal agencies or seek private counsel for complaints alleging discrimination.

#### **Authorities**

Title VI and Title VII of the Civil Rights Act of 1964, State EEO and Nondiscrimination Assurances required by the Federal –Aid Highway Act of 1968, Section 22, the Civil Rights Act of 1987; the Age Discrimination Act of 1975; 23 U.S.C 140, 23 CFR Part 230; 23 CFR 635.117(d) and (e); FHWA 1273; FHWA Orders 4710.8 and FHWA Notice 4720.7(g) and the Americans with Disabilities Act (ADA) of 1990.

#### **Investigation of Complaints**

ALDOT's Title VI staff will investigate Title VI complaints filed against sub-recipients, consultants, and contractors. The Compliance and Business Opportunities Bureau Chief will designate an investigator to evaluate the complaint.

Complaints in which ALDOT is named as the respondent shall be forwarded to FHWA. Complainants may also file a complaint at the Headquarters of Civil Rights Office (HCRO); Department of Justice (DOJ); or United States Department of Transportation (USDOT). The final decision of a violation or not is a Federal decision that cannot be delegated.

Complaints that do not constitute discrimination (i.e., based on race, color, national origin, sex, age or disability) or violation of environmental justice issues will be dismissed.

**Procedures**

- A. Allegations of discrimination must be based on race, color, religion, national origin, sex, age, or disability. Any persons who feel that they have been retaliated against for participating in a discrimination complaint process may also file a complaint.
- B. The complaint may be filed by the complainant or representative and must be submitted in writing no later than one-hundred eighty (180) days after the date of alleged act of discrimination; or knowledge of alleged discrimination; or where there has been a continuing course of conduct, the date on which that conduct was discontinued or the latest instance of the conduct.
- C. Title VI complaints must be submitted in writing and signed by the aggrieved person or representative. The complaint should include the complainant name, address and telephone number, basis of the complaint, the sub-recipient, consultant or contractor involved and location. Complaints may be submitted by fax, e-mail or telephone.

**Mailing Address:** Alabama Department of Transportation  
Compliance and Business Opportunities Bureau  
1409 Coliseum Boulevard, Room N-101  
Montgomery, AL 36110

**Fax Number:** 334-263-7586

**E-mail:** hamptonc@dot.state.al.us

- D. Within ten days (10) of the receipt of the complaint, ALDOT will acknowledge the receipt of the complaint by certified mail to the complainant. The notice will include the name of the investigator and advise the person of their rights under any related statutes.
- E. Within sixty days (60) of receiving the complaint, ALDOT will complete the investigation and forward a copy of the complaint, the investigative report, and ALDOT's decision to FHWA. If additional time is needed for the investigation, ALDOT can request for such time from FHWA.
- F. Upon completion of the investigation by the assigned investigator, the Compliance and Business Opportunities Bureau Chief will review the finding(s) of the report and make other requests for information if necessary. The Compliance and Business Opportunities Bureau Chief will prepare an investigation summary and present it to the Director of ALDOT. The Director of ALDOT will prepare a statement reflecting ALDOT's recommended finding(s). The Director will forward copies of its proposed disposition to FHWA for Final Agency Decision.

**Dismissals**

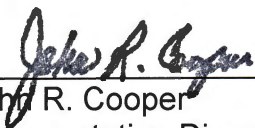
ALDOT will recommend, in writing, to FHWA the dismissal of complaints for the following reasons:

- (1) The complaint is untimely filed;
- (2) The complaint does not allege a basis covered by the statutory authorities;
- (3) The complaint does not allege any harm with regard to covered programs or statutes;
- (4) The complainant requests the withdrawal of the complaint;



- (5) The complainant fails to respond to repeated requests for additional information needed to process the complaint;
- (6) The complainant cannot be located after reasonable attempts;
- (7) The complainant has failed to accept a reasonable resolution. Note: FHWA or other appropriate federal agency determine reasonable;
- (8) The complainant has filed legal action in Federal District Court with the same basis and issue involved in the complaint;
- (9) The same complaint allegation has been filed with another Federal, State or local agency.

If additional information is needed, please feel free to contact 334-242-6659.

  
\_\_\_\_\_  
John R. Cooper  
Transportation Director

09/13/12  
\_\_\_\_\_  
Date



## DISSEMINATION OF TITLE VI INFORMATION

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ALDOT uses an interdisciplinary approach to disseminate Title VI information by way of staff in the Bureaus of Design and Right-of-Way, and EEO Officers in the Regions as well as Metropolitan Planning Organizations (MPO). The Title VI staff monitors the implementation process of all federally funded program recipients, sub-recipients and public meetings held across the State of Alabama. The Design Bureau's Environmental Section documentation of public meetings and there outcome, assists the Title VI staff in assessing, monitoring and responding to Title VI issues.

The monitoring process is outlined in the following items and considered by ALDOT's Environmental Technical Section (ETS) in planning and implementing public involvement activities:

1. Early opportunities for participation
2. Public meetings at convenient and accessible locations and times
3. Timely information on transportation issues, processes and procedures
4. Reasonable access to technical and policy information
5. Electronically accessible and available public information via the World Wide Web
6. Adequate notice for participation opportunities at key decision points
7. Methods for considering and responding to public input
8. Seeking and considering the needs of traditionally under-served groups (minorities, low income, elderly, etc.)
9. Periodic review and evaluation of the participation process
10. Pandemic precaution are used with virtual meetings, one on one appointments and use of handouts material

The Title VI staff will conduct reviews of preliminary project information, (i.e. memo or email notification of public meetings), that is received by the Title VI Coordinator from the Regions and Design Bureau personnel. The Title VI Coordinator will be concerned only with projects that have direct Title VI implications and will determine if further actions are necessary. If an investigation is warranted, the Internal Programs Supervisor and Compliance Bureau Chief will be notified in writing by the Title VI Coordinator. The Title VI Coordinator will then proceed with the investigations. The final findings will be reviewed by ALDOT's Legal Bureau. After Legal's review, the findings and recommendations will be forwarded to FHWA for final approval.

The Title VI staff will review information from the Regions, Departmental staff in the major program areas and MPO representatives, regarding Title VI issues and if necessary make on-site visits. The utilization of supplementary information (i.e. summaries, attendees' comment forms, etc.) regarding the public meetings on the specific projects will be reviewed by the Title VI staff to determine if compliance guidelines were followed.

**ALABAMA  
DEPARTMENT  
OF  
TRANSPORTATION**



**TITULO VI  
DEL ACTO DE DERECHOS  
CIVILES DE 1964**

**ALABAMA  
DEPARTMENT  
OF  
TRANSPORTATION**



**TITLE VI  
CIVIL RIGHTS ACT OF 1964**



## **TÍTULO VI**

### **DEL ACTO DE DERECHOS CIVILES DE 1964**

como fuera enmendado

“Ninguna persona en los Estados Unidos debido a su raza, color, religión, origen nacional, sexo, edad, discapacidad, o estado socio economic, sera excluída de participar o negado de recibir beneficios o sujeta a discriminación bajo cualquier programa o actividad que reciba asistencia financiera federal de Departamento de Transporte.”

El Título VI no cubre el empleo, excepto cuando las actividades del empleo puedan resultar en discriminación de los beneficiarios del un programa donde el propósito de la ayuda financiera es de proveer empleos.

### **DECLARACIÓN SOBRE LA MISIÓN**

REFERENTE AL ACTO DE DERECHOS CIVILES DE 1964

#### **TÍTULO VI**

El Departamento de Transporte de Alabama Título VI programa está diseñado para informar, asistir y supervisar las actividades de los beneficiarios de programas financiados con fondos federales, en relación con el conocimiento y la aplicación de la Ley de Título VI Derechos Civiles de 1964, modificado.

En cumplimiento con los requerimientos del Título VI, nuestro empleados esta listo a asistir de cualquier modo y como sea possible, en proveer al público con las últimas reglas y regulaciones que gobiernan este programa, también como proveer asistencia técnica, consulta, y recursos cuando sean disponibles. Estos servicios asegurará comunicación efectiva, entendimiento y confianza hacía el público.

## **TITLE VI**

### **OF THE CIVIL RIGHTS ACT OF 1964**

as amended

“No person in the United States shall, on the grounds of race, color, religion, national origin, sex, age disability, or socioeconomic status, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under a program or activity receiving federal financial assistance from the Department of Transportation.”

Title VI does not cover employment, except where employment activities may result in the discrimination of beneficiaries of a program where the purpose of the federal assistance is to provide employment.

### **MISSION STATEMENT**

ABOUT THE CIVIL RIGHTS ACT OF 1964

#### **TITLE VI**

The Alabama Department of Transportation Title VI program is designed to inform, assist and monitor the activities of recipients of federally funded programs, in their knowledge and implementation, of the Title VI Civil Rights Act of 1964 as amended.

In complying with the requirements of Title VI, our staff is ready to assist in any way possible, to provide information on the latest rules and regulations governing this program, as well as provide technical assistance, consultation and resources when available. These services ensure effective communication, understanding and trust to the public.



## SE PROHIBE LA DISCRIMINACIÓN

Hay varias formas de discriminación ilegal en base a raza, color, sexo, religión, edad, origen nacional o discapacidad, que limitan la oportunidad a las personas de bajos ingresos o en grupos minoritarios de ganar igualdad o de participar en programas o actividades financiados con fondos federales.

Algunos ejemplos son los siguientes:

- Proporcionar servicios, ayuda y beneficios diferentes a la que se proporciona a otras personas.
- Negando servicios de programas, ayuda, o beneficios a un recipiente calificado.
- Segregando o dando un trato diferente a cualquier persona en relación a la recibimiento de algún servicio, ayuda o beneficio.

## ACTIVIDADES MONITORADO

Hay varias actividades públicas y programas en ALDOT que son monitorado bajo el Título VI.

Estas actividades y programas incluyen, pero no están limitados a lo siguiente:

- |                                       |  |
|---------------------------------------|--|
| • Contratos de Consultantes           | • Construcción                               |
| • Estudios y Diseños Ambientales      | • Multi Modal                                |
| • Adquisiciones de Derecho de Caminos | • Mantenimiento                              |
| • Entrenamiento                       | • Investigación y Desarrollo                 |
| • Planificación                       | • Reuniones Públicas                         |
| • Planeamiento Metropolitano          | • Diseño                                     |
|                                       | • DBE (Empresas de Negocios con Desventajas) |

## DISCRIMINATION IS PROHIBITED

There are several forms of illegal discrimination based on race, color, sex, religion, age, national origin or disability, that limit the opportunity of low-income and minority people to have equitable access or participation in federally funded programs and activities.

Some examples are as follows:

- Providing different services, assistance and benefits that which is provided to other people.
- Denying services, assistance or benefits to a duly qualified recipient.
- Segregating or treating people separately in the receipt of services, aid or benefits.

## MONITORED ACTIVITIES

There are several public activities and programs at ALDOT that are monitored under Title VI.

These activities and programs include, but are not limited to the following:

- |                                     |  |
|-------------------------------------|--|
| • Construction                      | • Consultant Contracts                     |
| • Design                            | • DBE (Disadvantaged Business Enterprises) |
| • Environmental Studies and Designs | • Maintenance                              |
| • Metropolitan Planning             | • Multi Modal                              |
| • Public Meetings                   | • Planning                                 |
| • Right Away Acquisitions           | • Research and Development                 |
|                                     | • Training                                 |



## LEP

Como medida para mejorar el acceso a servicios para las personas con *Conocimientos Limitados del Idioma Inglés* (LEP), Orden Ejecutiva No. 13166 firmada por el presidente Clinton en agosto de 2000. LEP que pertenecen a las personas que escriben, leen y hablan otros idiomas aparte del Inglés, y no utilizar el Inglés como su idioma principal o primero. En cooperación con el Título VI, el transporte y otros beneficiarios del DOT se encargan de proporcionar servicios equitativos a los que cumplen con los requisitos LEP. Con este Orden Ejecutiva, todos los servicios de ayuda federal se debe aplicar a todas las personas de manera justa que incluya la asistencia lingüística con respecto a un tipo específico de servicio, beneficio, o reunión.

## MPO

La Organización Metropolitana de Planificación (MPO) tiene la responsabilidad, tal como fuera designado por la Administración Federal de Carreteras, a planificar, programa, y coordinar todas las inversiones en proyectos de carreteras y tránsito. Es la política de ALDOT de asegurarse de que todos los recipientes de fondos federales incluyendo la MPO estén en cumplimiento del Título VI del Acto de Derechos Civiles de 1964. Dentro de la MPO hay dos comités, el Comité de Coordinación Técnica (Technical Coordinating Committee) (TCC), y el Comité de Asesoría de Ciudadanos (Citizens Advisory Committee) (CAC). Los fondos utilizados por el MPO y aprobados por el TCC provienen de la combinación de entidades federales, estatales y locales. La MPO esta compuesta de oficiales de la comunidad y aquellos que son elegidos que hacen decisiones con respecto al sistema de tranportación a nivel regional. Estos grupos existen en areas con comunidades de 50,000 o más personas en su totalidad.

## LEP

As a measure to improve access to service for persons with Limited English Proficiency (LEP), Executive Order No.13166 was signed by President Clinton in August of 2000. LEP would pertain to those persons who write, read, and speak another language other than English as their primary, or first, language. In cooperation with Title VI, transportation and other DOT recipients are tasked with providing equitable services to those meeting LEP requirements. With this Executive Order, all federally aided services must be applied to all persons in a fair manner which would include language assistance with respect to a specific type of service, benefit, or meeting.

## MPO

A Metropolitan Planning Organizations (MPO) has the responsibility, as designated by the Federal Highway Administration, to plan, program and coordinate all federal highway and transit investments projects.

It is the policy of ALDOT for all recipients of federal funds, including the MPO and sub-recipients to ensure they are in compliance with Title VI of the Civil Rights Act of 1964.

Within the MPO, there are two committees - the Technical Coordinating Committee (TCC) and the Citizen's Advisory Committee (CAC). The funding utilized by the MPO and approved by the TCC comes from a combination of federal, state, and local entities. The MPO is made up of community and elected officials who make decisions regarding transportation on a regional level. These groups exist in community areas of 50,000 or more in total population.



## CÓMO PRESENTAR UNA QUEJA

Puede presentar una queja firmada y por escrito hasta 180 días después de la fecha de la supuesta discriminación.

La queja deberá incluir:

- Su nombre, la dirección, y número de teléfono.
- El nombre y dirección de la agencia, de la institución, o del Departamento que usted cree que la discriminó.
- Cómo, por qué, y cuando usted cree que fue discriminada. Incluya tanta información detallada como fuese posible acerca de los supuestos actos de discriminación y cualquier otra información pertinente.
- Los nombres de cualquier persona(s), si lo conoce, a quien la División de ALDOT encargada del Título VI pueda contactar para clarificación de sus alegaciones.

**Su queja debe ser firmada y fechada.**



Por favor presentar su queja a la dirección abajo señalada:

**Atención:** Title VI Coordinator  
Alabama Department of Transportation  
Compliance and Business Opportunities Bureau  
1409 Coliseum Boulevard, Room N-101  
Montgomery, Alabama 36110  
Telephone: 334-242-6658  
Fax: 334-263-7586  
Toll Free: 1-866-869-3291  
[www.dot.state.al.us](http://www.dot.state.al.us)

Revised May 2017

## HOW TO FILE A COMPLAINT

You may file a signed, written complaint 180 days from the date of the alleged discrimination.

The complaint should include:

- Your name, address, and telephone number.
- The name and address of the agency, institution, or department you believe discriminated against you.
- How, why and when you believe you were discriminated against. Include as much specific, detailed information as possible about the alleged acts of discrimination, and other relevant information.
- The names of any persons, if known, who the ALDOT Title VI Division could contact for clarity of your allegations.

**Your complaint must be signed and dated.**



Please submit complaints to the address below:

Attention: Title VI Coordinator  
Alabama Department of Transportation  
Compliance and Business Opportunities Bureau  
1409 Coliseum Boulevard, Room N-101  
Montgomery, AL 36110  
Telephone: 334-242-6658  
Toll Free: 1-866-869-3291  
Fax: 334-263-7586  
[www.dot.state.al.us](http://www.dot.state.al.us)

Brochure available in Spanish  
(también está disponible en español)

Revised March 2017

# PUBLIC INVOLVEMENT PLAN





Alabama Department of Transportation  
**PUBLIC INVOLVEMENT PLAN**  
for Statewide Transportation Planning

2021 Update





## ACKNOWLEDGMENTS

The Alabama Department of Transportation would like to thank the below agencies and organizations which helped to review and provide key feedback informing the development of this Public Involvement Plan update.

## AGENCY SURVEY AND INTERVIEW PARTICIPANTS

### ALDOT Bureaus

Bureau of Office Engineer  
Aeronautics Bureau  
Bridge Bureau  
Compliance & Business Opportunities Bureau  
Design Bureau  
Local Transportation Bureau  
Media & Community Relations Bureau  
Right-of-Way Bureau

### ALDOT Regions

East Central Region  
North Region  
Southeast Region  
Southwest Region  
West Central Region

### Metropolitan Planning Organizations

Auburn-Opelika MPO  
Birmingham MPO  
Calhoun Area MPO  
Columbus-Phenix City MPO (City of Columbus)  
Decatur MPO (City of Decatur)  
Eastern Shore MPO  
Florida-Alabama TPO  
Gadsen-Etowah MPO (City of Gasden)  
Huntsville Area MPO (City of Huntsville)  
Mobile MPO  
Montgomery MPO (City of Montgomery)  
Shoals Area MPO  
Southeast Wiregrass Area MPO (City of Dothan)  
Tuscaloosa Area MPO

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Central Alabama Reg. Planning & Dev. Commission  
East Alabama Reg. Planning & Dev. Commission  
Lee-Russell Council of Governments  
North-Central Alabama Regional Council of Governments  
Northwest Alabama Council of Local Governments  
Regional Planning Commission of Greater Birmingham  
South Alabama Regional Planning Commission  
South Central Alabama Development Commission  
Southeast Alabama Reg. Planning & Dev. Commission  
Top of Alabama Regional Council of Governments  
West Alabama Regional Commission

### Federal Highway Administration

Alabama Division

### Federal Transit Administration

Region 4

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# FOREWORD



Transportation planning and programming are the processes of defining future goals, policies, designs, and investments to support mobility throughout a region. The processes include identifying transportation needs and aligning those needs with budgets, goals, and policies to meet federal, state, and local requirements and regulations. No one entity is solely responsible for transportation planning and programming in Alabama. Rather, it is a collaborative effort among the Alabama Department of Transportation (ALDOT), Federal Highway Administration (FHWA), Federal Transit Administration (FTA), Metropolitan Planning Organizations (MPOs), Regional Planning Commissions (RPCs), Rural Planning Organizations (RPOs), transit agencies, stakeholders, and the public.

Federal guidelines require states to document their process for providing the public an opportunity to participate in statewide transportation planning, including review and comment at key decision points (23 CFR 450.210 [a]). The Moving Ahead for Progress in the 21st Century Act (MAP-21) of 2012 and the Fixing America's Surface Transportation (FAST) Act of 2015 emphasize continuous, comprehensive, and cooperative public participation in the transportation planning and programming process. Specifically, federal legislation requires agencies to engage the public when developing and amending transportation planning documents, including public involvement plans. Both the transportation planning and environmental processes adhere to the following minimum requirements:

- » Establish early and continuous opportunities for participation
- » Conduct public meetings at convenient and accessible locations and times
- » Supply timely information on transportation issues, processes, and procedures
- » Provide reasonable access to technical and policy information
- » Ensure electronic accessibility via the internet
- » Give adequate notice for participation opportunities at key decision points

- » Incorporate methods for considering and responding to public input
- » Seek and consider the needs of traditionally underserved groups (minority, low income, elderly, etc.)
- » Perform periodic review and evaluation of the participation process

Communication methods have changed significantly, and public outreach techniques and technologies used to satisfy requirements have expanded over time. Additionally, public planning agencies across the country have experienced unprecedented challenges, such as a global pandemic that prevented in-person meetings and challenged agencies to reevaluate how they engage the public. In light of these changing conditions, this Public Involvement Plan (PIP):

1. updates procedures to comply with current federal regulations,
2. addresses changes and challenges that have occurred in recent years, and
3. provides a useful tool for transportation planning organizations in Alabama.

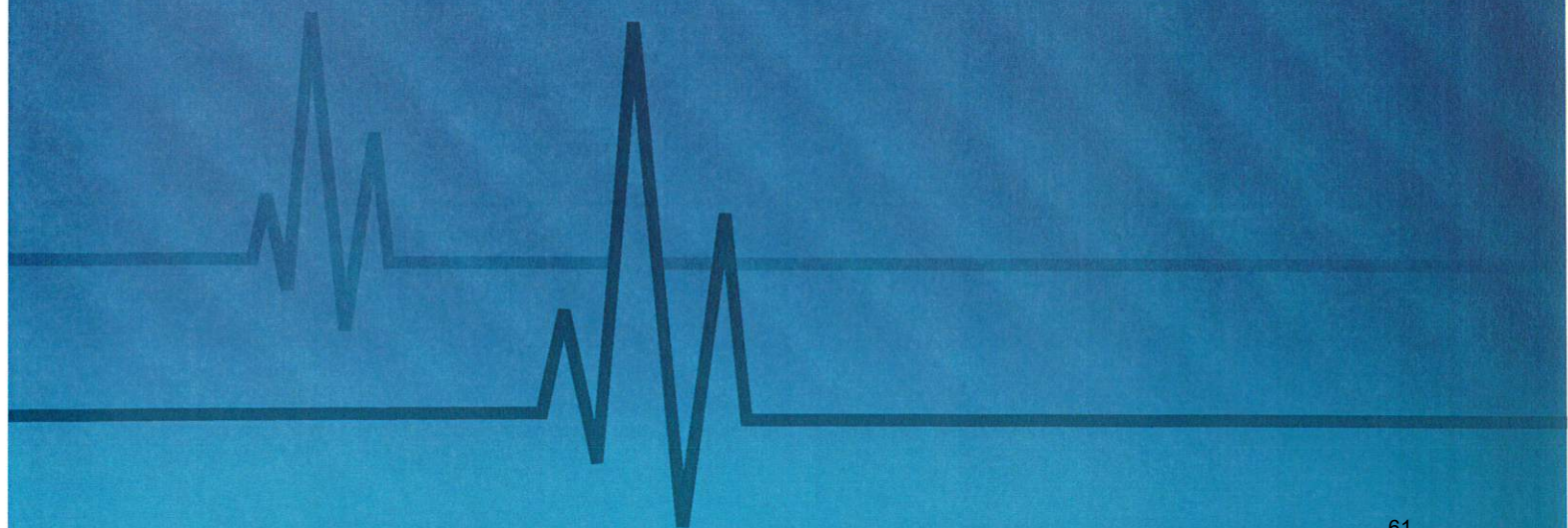
This PIP documents ALDOT's compliance process; describes the techniques it uses to achieve equitable, transparent, timely, and meaningful public involvement; and demonstrates ALDOT's commitment to achieving effective public participation in the statewide transportation planning process.

### About this PIP

Throughout this document, **bolded** references to appendices, such as **Appendix A: Glossary of Acronyms and Terms**, can be clicked to link to that appendix. In-text references to **Figures** and **Photos** will also appear **bolded**. There are also clickable [hyperlinks](#) that lead to additional information and resources throughout the PIP.



# 1 INTRODUCTION





## Purpose of the Public Involvement Plan (PIP)

The purpose of this PIP is to describe the techniques the Alabama Department of Transportation (ALDOT) uses to achieve equitable and timely public involvement in the statewide transportation planning process. Federal guidelines require states to have a documented process for providing the public an opportunity to participate in statewide transportation planning, including review and comment at key decision points (23 CFR 450.210 [a]). This resource is ALDOT's documented process to comply with federal and state regulations. This PIP demonstrates ALDOT's commitment to effective public participation and its importance to the statewide planning process. **Appendix A: Glossary of Terms and Acronyms** contains a glossary of terms and acronyms used throughout this document. Copies of federal and state regulations that govern this process are contained in **Appendix B: Federal and State Regulations**.

This PIP was developed in consultation with a broad cross-section of stakeholders, including the Federal Highway Administration (FHWA), Federal Transit Administration (FTA), ALDOT Bureaus and Regions, planning organizations, and transit agencies. Planning organizations include both Metropolitan Planning Organizations (MPOs) and Non-Metropolitan Planning Organizations (non-MPOs). MPOs are federally-mandated and funded organizations that guide regional cooperation in transportation planning and are required in urbanized areas with populations greater than 50,000. Non-MPOs include Regional Planning Commissions (RPCs), Rural Planning Organizations (RPOs), and Councils of Government (COGs), which assist ALDOT in identifying transportation needs in non-urbanized areas (i.e., areas with populations of fewer than 50,000). Both MPOs and non-MPOs maintain their own Public Participation Plans (PPP), which are consistent with this PIP. **Appendix C: Stakeholder Survey Results Summary** summarizes the input received from stakeholders, and **Appendix D: References to Other Plans** contains links to plans prepared by ALDOT, MPOs, RPCs, and RPOs.

The process for public involvement laid out in this PIP ensures that all Alabamians have the opportunity to provide

input on transportation issues, needs, and priorities and to comment on policies, guidelines, and programs that address those needs into the future. While this document serves as a guide for ALDOT, planning organizations, and other stakeholders, it is not intended to be all-inclusive of every possible outreach or method that can be used. Rather, organizations are encouraged to identify and implement outreach methodologies and tools that are most effective in reaching their targeted audiences and public involvement objectives.

The PIP identifies how and when the public must be engaged to update or amend the Alabama Long-Range Statewide Transportation Plan (SWTP) and the Statewide Transportation Improvement Program (STIP), descriptions of which can be found in **Appendix A: Glossary of Terms and Acronyms**. The SWTP assesses the current conditions, needs, and priorities of the state's transportation system network over a twenty (20)-year period, while the Statewide Transportation Improvement Program (STIP) documents the surface transportation projects (Highway, Transit) that will be implemented over a four (4)-year period. Surface transportation refers to the movement of people or goods via roads, ships, or trains. Once projects are adopted into the state's program for implementation, the public involvement process follows the procedures outlined in the [ALDOT Public Involvement Plan for the Environmental Process](#), which is described in more detail later in this chapter.

## What is the Public's Role in Transportation Planning?

Transportation planning and decision-making impact everyone. Therefore, public involvement and participation are essential to the planning process. A transportation plan, project, or program is more likely to meet success if there is an early and continuous effort to achieve community buy-in (i.e., the opportunity to provide feedback and input) from stakeholders and the public. This effort includes educating stakeholders and the public on the transportation development process, providing opportunities to be involved in the process, and ensuring equitable opportunities for public involvement among all populations, including those who have historically been underrepresented.



## About ALDOT



**HIGHWAYS &  
ROADWAYS**



**BRIDGES**



**RAIL**



**FERRY**



**AVIATION**



**BICYCLE &  
PEDESTRIAN**



**PUBLIC  
TRANSIT**

ALDOT manages the state's transportation systems, including highways and roadways, bridges, rail, ferry, aviation, bicycle and pedestrian, and public transit. Committed to excellence in transportation, ALDOT additionally promotes and maintains Alabama's transportation infrastructure through adequate

funding. The Department is divided into 24 bureaus with a collective mission of providing a safe, efficient, and environmentally-sound intermodal transportation system for all users and the taxpayers of Alabama. ALDOT relies on public involvement to help shape and facilitate the intermodal connections that enhance socioeconomic development and prosperity through the efficient movement of people and goods within the state.

### ALDOT's Organization & Responsibilities

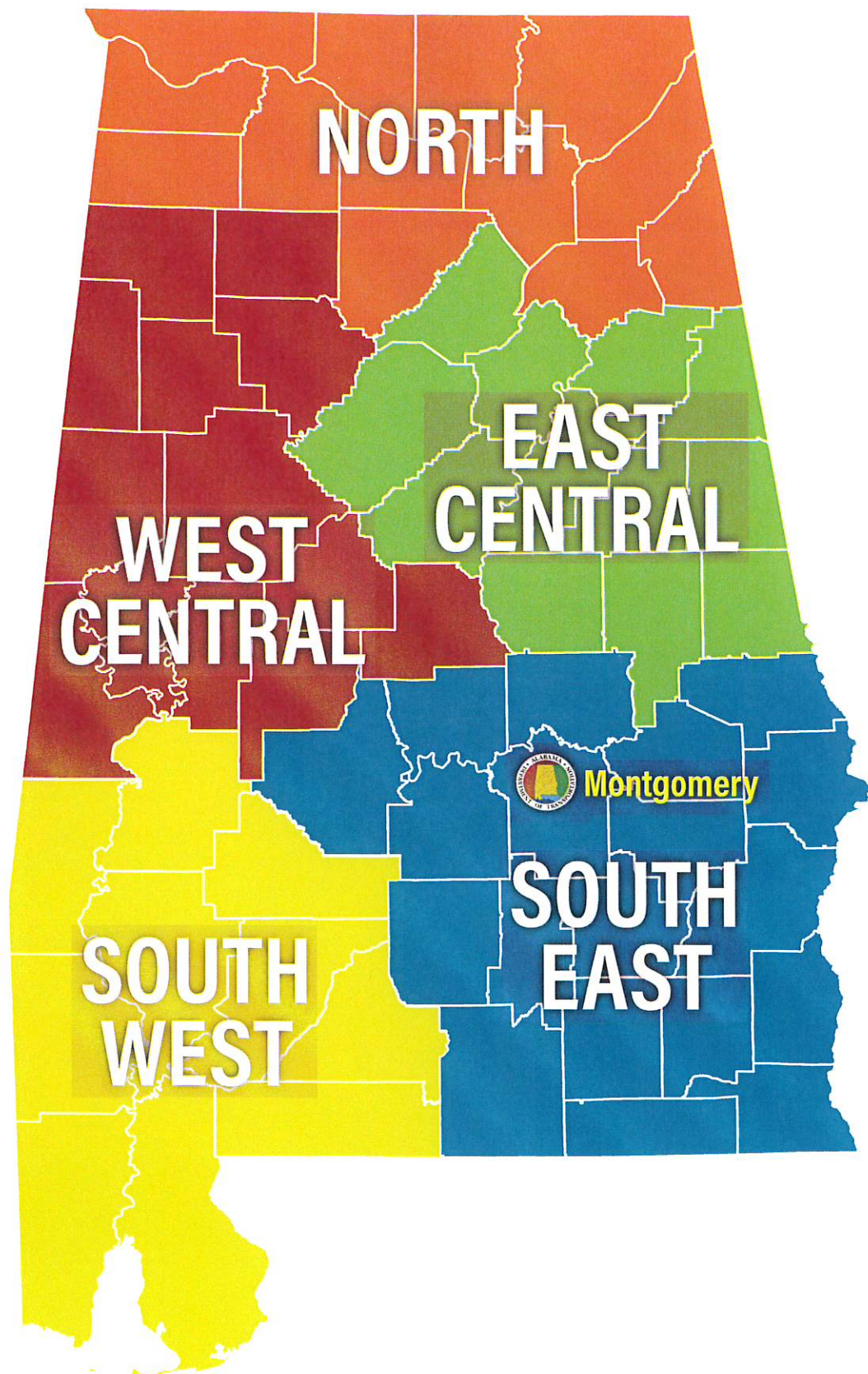
ALDOT is organized into five geographic regions, with the Central Office located in Montgomery, AL (see **Figure 1**). The Regions throughout the state serve the public through project development, implementation, and maintenance to provide a safe, efficient, and environmentally sound intermodal transportation system. The Media and Community Relations Bureau, along with each Region's Public Information Specialist, communicates various issues concerning public participation activities to reporters and the public. ALDOT Regions assist the Design Bureau - Environmental Technical Section in conducting project-specific public involvement activities. ALDOT Region Offices also assist with public outreach efforts on updates to the statewide transportation plans.

ALDOT's Administrative Office, located at the Central Office, is instrumental in providing leadership and guidance concerning the area of transportation planning. Transportation planning and programming duties are broken into two bureaus, the Bureau of Office Engineer and the Local Transportation Bureau. The Bureau of Office Engineer is primarily responsible for Statewide Transportation Planning, and the Local Transportation Bureau provides assistance to local planning agencies, including MPOs and non-MPOs.

### Mission of ALDOT

To provide a safe, efficient, environmentally-sound intermodal transportation system for all users, especially the taxpayers of Alabama. To facilitate economic and social development and prosperity through the efficient movement of people and goods and to facilitate intermodal connections within Alabama. To demand excellence in transportation and be involved in promoting adequate funding to promote and maintain Alabama's transportation infrastructure.

**Figure 1:** The Alabama Department of Transportation is comprised of five regions with a central office in Montgomery





The Bureau of Office Engineer is the Office of Record for the Department and acts in an advisory capacity to the Transportation Director, Chief Engineer's Office, Bureau Chiefs, and Region Engineers in matters of project lettings, finance, and administration of federal funds, as well as other areas pertaining to the general function of ALDOT. The Bureau is divided into five primary subsections: Engineering (including federal aid authorizations, subletting, and labor compliance), Plans and Proposals (including contractor prequalification), Contract Preparation and Review, Planning Studies, and Project Management.

The Planning Studies Section is responsible for performing transportation planning studies as required by federal law and to support the planning and programming of resources. This includes the development and management of the SWTP, STIP, Statewide Freight Plan and Statewide Bicycle and Pedestrian Plan. Additionally, the Section coordinates transportation planning activities with the Local Transportation Bureau, other Bureaus and Regions, FHWA, and other stakeholders as directed. The Planning Studies Section also acts as a departmental resource to support the Project Management section. The Project Management Section supports ALDOT's construction program by tracking project data and status from inception to completion that includes details of project financing and project scheduling. Project Management also is responsible for developing and maintaining the Comprehensive Project Management System (CPMS), a client server-based project, program, and financial-aid management system. CPMS is the principal source for developing the STIP. Project Management also consults with the Planning Studies Section and the Local Transportation Bureau on programming matters.

The Local Transportation Bureau is responsible for the administration of FHWA, FTA, and State Road and Bridge Funds allocated to Local Public Agencies (LPAs) within the State of Alabama. These agencies include 67 counties, 14 Metropolitan Planning Organizations (MPOs), 12 Regional Planning Commissions (RPCs)/Rural Planning Organization (RPOs), municipalities, regional small urban and rural transit providers, and qualifying non-profit organizations. These funds are used for planning, design, construction, operation, and maintenance of locally owned and operated transportation facilities.

## Key Partners and Stakeholders

### Role of the MPOs and Non-MPOs

MPOs and non-MPOs play an important role in ensuring the success of the public involvement process for the update of the SWTP and the STIP. MPOs and non-MPOs may be asked to share their e-mail and mail distribution lists used for public outreach to supplement ALDOT's mailing lists, providing the state with a more complete database for distributing information to interested parties statewide. The planning organizations' mailing lists should include representatives from stakeholder groups, such as:

- » Environmental Justice (EJ) communities (e.g., elderly, minority, people with disabilities, and low income)
- » Organizations representing transportation operations (rail, truck, airport, transit, etc.)
- » Representatives of bicycle and pedestrian groups with an interest in alternative modes of transportation
- » Local development interests such as Chambers of Commerce and Economic Development Authorities
- » Other organizations with interests that relate to transportation mobility and transportation access

MPOs and non-MPOs may also be asked to identify local media outlets that can be used to reach the public. MPOs and non-MPOs may be asked to assist ALDOT in arranging and conducting meetings with local groups to discuss the plan or study, needs assessment, and findings. These planning organizations can assist with logistics for the meetings, including finding suitable and accessible locations, arranging virtual meetings as necessary, notifying the public of engagement opportunities, and soliciting input from the public on plan progress. For these meetings, ALDOT provides the presentation materials and information regarding the latest status of plan development to share with interested parties. Representatives from the local ALDOT Region may



also participate in these activities to meet with members of the community.

## General Public

The general public includes anyone who uses the roads, rail, bridges, transit, water and air throughout the state. By engaging in conversations and dialogue with the users, ALDOT can better understand how the public uses transportation infrastructure, identify deficiencies, and prioritize solutions to address needs.

## Non-Metropolitan Local Official Consultation

Per 23 CFR 450, states are required to provide non-metropolitan local officials, tribal governments, and the Department of Interior the opportunity to participate in the development of the statewide transportation plans. By law, this is a separate process from the public involvement process. ALDOT follows a separate operational directive/guideline to ensure that these organizations are provided opportunities to participate prior to any revisions or updates to statewide transportation plans (see [Appendix I: Non-Metropolitan Local Officials Cooperative Process Directive](#)). Some of the organizations that may assist in this outreach (descriptions of which can be found in [Appendix A: Glossary of Terms and Acronyms](#)) include, but are not limited to:

- » Regional and Rural Planning Organizations
- » Alabama Association of County Commissioners
- » Alabama Association of County Engineers
- » Alabama League of Municipalities
- » Alabama Indian Affairs Commission

## When is Public Involvement Applicable?

Public involvement is needed in all phases of a transportation project, plan, or study. While public involvement becomes

applicable during the initial planning and project identification phase, the key to successful and meaningful public involvement is consistent engagement. In general, engagement starts with educating the public on the overall project development process. Components of education may include posting information about the process (e.g., maps, infographics, and brochures), updating websites, hosting in-person events, or displaying informational signs along roadways. The public involvement effort should be scaled to match the magnitude of the task at hand.

## ALDOT Public Involvement Plan for the Environmental Process

Public involvement is an essential part of the environmental process. In 1969, the National Environmental Policy Act (NEPA) established policies and procedures that agencies must follow to implement proposed transportation projects that require federal funds or approval. The NEPA process requires federal agencies to assess the effects of their proposed actions on the human and natural environment prior to making decisions. While the public involvement process for projects begins with development of broader statewide transportation plans, such as the SWTP or STIP, coordination with stakeholders and the public continues throughout the environmental, design, right-of-way acquisition, and construction phases of proposed projects to ensure that local interests and needs are considered by decision-makers.

ALDOT's Design Bureau - Environmental Technical Section (ETS) maintains a separate PIP that defines the process to conduct project-specific public involvement activities to satisfy NEPA. The plan was developed in accordance with 23 CFR 771 - Environmental Impact and Related Procedures. ALDOT's Public Involvement Plan for the Environmental Process (Environmental PIP) guides the public involvement process for projects under ETS purview, including those that may be sponsored by cities and/or counties. The Environmental PIP may be updated or revised in response to changes in laws or policies, or as required to satisfy legal opinions or findings.



# 2 PLANS, PROGRAMS, AND OBJECTIVES



## What are Long-Range Transportation Planning and Programming?

Long-range transportation planning and programming are the processes of creating a blueprint for guiding statewide and regional decision-making and investments in transportation over the next 20 years. Statewide transportation planning considers all transportation modes important to the public and the statewide system. The planning process establishes goals and ranks transportation needs for the entire state. Transportation programming chooses and funds projects that meet the needs of the statewide plans and priorities.

## What is the STIP?

The Statewide Transportation Improvement Program (STIP) is a federally-mandated four-year funding and scheduling document for surface transportation projects, including roads, highways, pedestrian trails, bicycle facilities, bridge facilities, and transit projects in Alabama. The program serves as a statewide, prioritized listing of transportation projects to be implemented over the next four years. A project must be included in the STIP in order to receive federal and state funds. The STIP must be financially constrained. This means that only projects for which construction and operating funds can reasonably be expected to be available are included in the program.

The STIP is updated every four years. The STIP must be consistent with the statewide transportation plan and transportation plans developed by MPOs and non-MPOs. As a result, the process to develop the STIP is coordinated with various partners, including local, state, and federal agencies and organizations. Before the STIP can be approved, the public must be provided the opportunity to review and comment on the document.

### Amendment Process for the STIP

There are times when the STIP requires a revision between four-year cycles. There are two ways to address revisions: amendments and administrative modifications.

## What is an Amendment?

In the context of transportation planning, an amendment is a revision approved by the state in accordance with its public involvement process. [23 CFR 450.104]

STIP amendments are major revisions that require public review and comment, re-demonstration of fiscal constraint, or an updated conformity determination (for "non-exempt" projects in nonattainment and maintenance areas). Major revisions consist of:

- » The addition or deletion of a project
- » A major change in project cost
- » A major change in project initiation dates
- » A major change in design concept or design scope

Administrative modifications are minor revisions that do not require public review and comment.

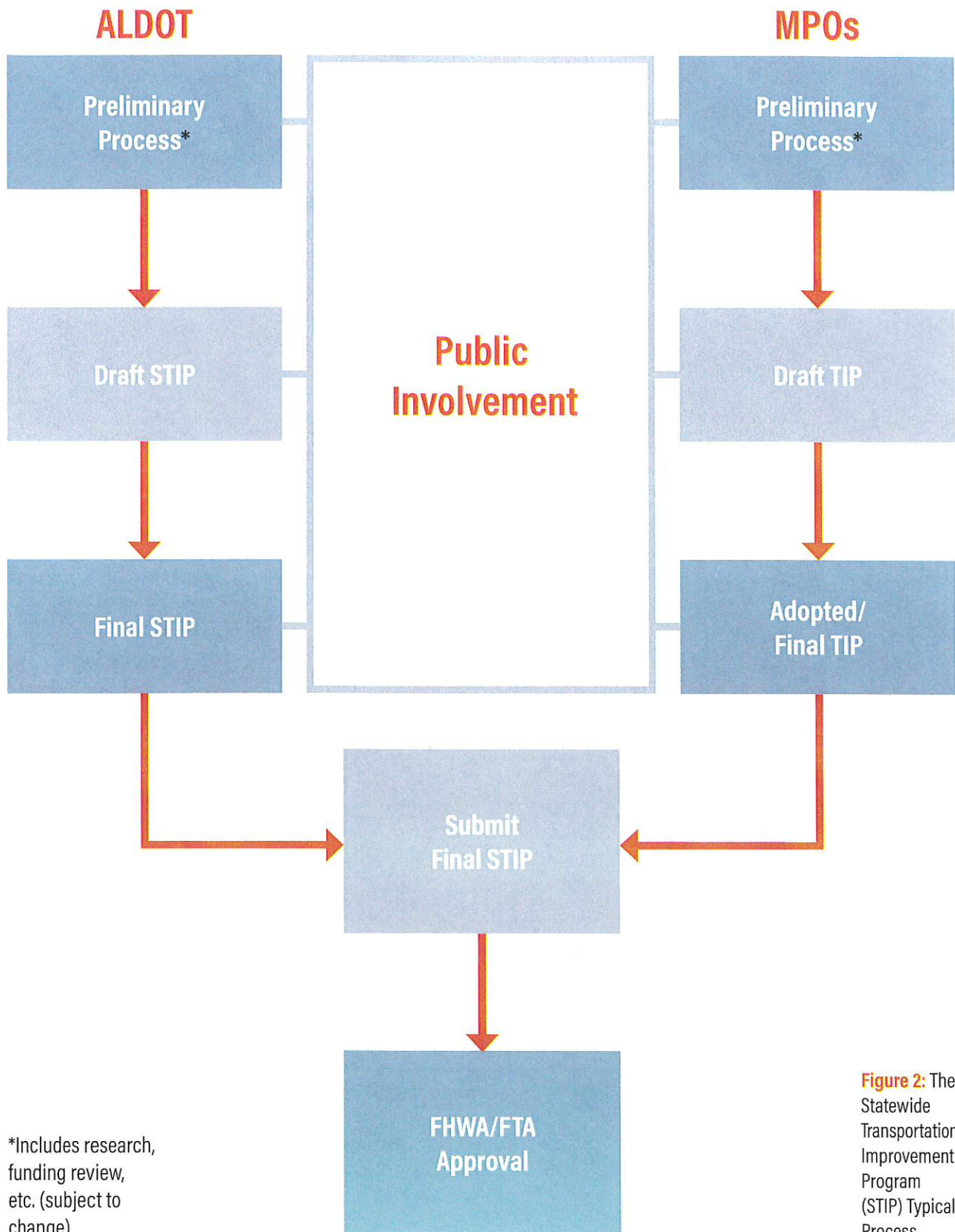
If necessary, amendments to the STIP are conducted on a bi-monthly cycle. Non-routine amendments requested by the State Transportation Director or the Joint Transportation Committee can be performed at any time. Administrative modifications are made as needed.

Highway and road projects are approved by FHWA, and transit projects are approved by FTA.

## What is an Administrative Modification?

An administrative modification is a minor revision to a transportation plan or program (i.e., project costs, funding sources, and/or project initiation dates) that does not require public review and comment.

# Statewide Transportation Improvement Program (STIP) Typical Process



\*Includes research, funding review, etc. (subject to change)

**Figure 2:** The Statewide Transportation Improvement Program (STIP) Typical Process



FHWA and FTA only authorize projects and approve grants for projects that are included in the currently approved STIP. If an MPO, non-MPO, transit agency, or ALDOT wishes to proceed with a project not programmed in the STIP, the STIP must be revised.

All revisions maintain year-to-year fiscal constraint for each of the four years of the STIP. All revisions account for when the funds will be spent (year of expenditure) and maintain the estimated total cost of the project, which may extend beyond the four years of the STIP. The arbitrary reduction of the overall cost of a project or a project phase cannot be used for the advancement of another project. In addition, amendments must be consistent with the SWTP, and when required, public involvement activities must be conducted in accordance with the Statewide PIP. Reasonable opportunities for public review and comment are provided for significant revisions to the STIP.

## What is the SWTP?

The Statewide Transportation Plan (SWTP) is a long-range, macro-level assessment of the state's transportation system network. It summarizes the system's current conditions and identifies its needs and priorities for a minimum of 20 years. It is a multimodal plan that evaluates all modes of passenger and freight transportation—roadways and bridges, transit, bicycle/pedestrian, rail, aviation, and waterways. The SWTP evaluates investments in infrastructure and maintenance and compares them to historic and anticipated funding levels.

The SWTP establishes the programs, policies, and strategies that will be the focus of the state's future transportation efforts. It does not provide a detailed assessment of transportation conditions within one specific region or for one particular mode of travel. Those activities are carried out by planning organizations across Alabama or bureaus within ALDOT. The SWTP does not include a detailed listing of short-term, prioritized projects, which is instead contained within the STIP. The SWTP is reviewed and periodically updated, usually every four years.

## Amendment Process for the SWTP

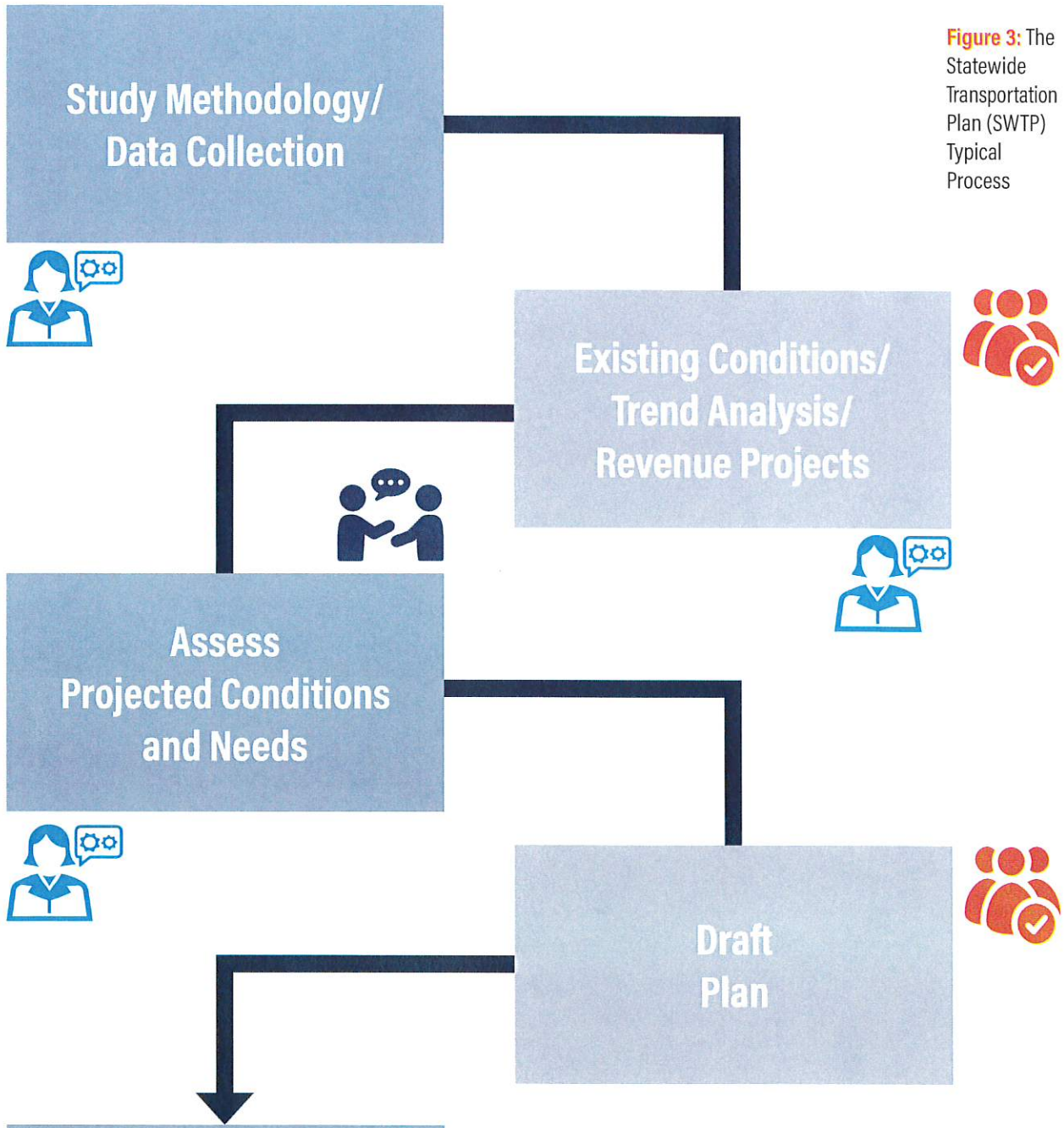
Similar to the STIP, amendments are used to make major revisions to the SWTP, and administrative modifications are used to make minor revisions.

## What is the Framework for Partner and Stakeholder Engagement during Updates to the STIP and SWTP?

Updates to the STIP and the SWTP include opportunities for partner and stakeholder engagement at key decision points in the process. However, because the two plans differ in purpose and planning horizons, the processes to update the plans vary slightly. **Figure 2** displays the typical process for updating the STIP. ALDOT engages with stakeholders throughout the entire process. At a minimum, stakeholders provide input prior to releasing the Draft STIP for public review and comment, and they assist ALDOT in addressing public comments after the review period ends, if necessary. Specifically, MPOs supply ALDOT with their Final Transportation Improvement Program (TIP) so that those projects can be included in the STIP. The STIP and any amendments are available to the MPOs. They are available online and amendments are sent by email as well. Non-MPOs are not required to maintain their own TIP, so ALDOT works with those organizations to identify projects in non-urban areas for inclusion in the STIP. MPOs and non-MPOs typically assist ALDOT in conducting public outreach activities when the STIP is in the process of being updated.

**Figure 3** displays the typical process for updating the SWTP. Two groups of stakeholders provide input throughout the update process. The Technical Advisory Committee (TAC) provides technical support, including data collection and access to relevant studies and land use and comprehensive plans. TAC members may include MPO and RPO staff members, ALDOT region engineers, and representatives from other state agencies, such as the Alabama Department of Environmental Management. Finally, the Stakeholder Advisory Group (SAG) consists of key transportation stakeholders who are invited

# Statewide Transportation Plan (SWTP) Typical Process



**Figure 3:** The Statewide Transportation Plan (SWTP) Typical Process

**Legend**

-   
 Public Involvement
-   
 Stakeholder Advisory Group
-   
 Technical Advisory Committee

Note: This process subject to change as needed.



to participate and play a more advisory role to the goals and objectives of the SWTP.

The SAG typically includes representatives from environmental agencies, transit, trucking, ports, airports, bicycle and pedestrian groups, Indian Tribes, economic development authorities, and EJ advocacy groups from across the state. The SAG's primary role is to identify transportation needs and provide feedback on findings and recommendations to fulfill those needs. Together, these three advisory groups provide input and feedback on proposed actions throughout the SWTP update process.

It should be noted that while updates to transportation plans require opportunities for public input, the length of the comment periods and levels of required public engagement vary depending on the type of document and the agency responsible for its preparation. **Appendix E: Statewide Transportation Plans and Processes Guide** presents information on transportation plans and opportunities for comment periods and public engagement.

## What Other Types of Plans or Studies are Relevant?

Some statewide plans or studies are extensions of the long-range plan and may require occasional updates. The following describes some of the additional plans that are currently in place:

### Statewide Freight Plan

The FAST Act of 2015 included a provision that requires each state that receives funding under the National Highway Freight Program to develop a State Freight Plan that provides a comprehensive plan for the immediate and long-range planning activities and investments of the state with respect to freight. The plan must meet all the required contents listed in the FAST Act. ALDOT maintains Alabama's Statewide Freight Plan that establishes freight planning and performance monitoring activities and aligns Alabama's freight policy with the most recent federal legislation and related guidance from the Office of Freight Management and Operations in FHWA.

Key plan elements include:

- » Overview of relevant policy that influences freight planning at the statewide level
- » Update of existing and projected commodity flows and freight network characteristics, which provide the baseline for identifying needs statewide
- » Identification of a National Highway Freight Network, based on criteria consistent with federal policy and input from stakeholders
- » Summary of freight improvements of statewide significance, forming the overall Freight Investment Plan
- » Initial framework for freight project prioritization and performance monitoring for ALDOT's use and refinement over the coming years

When preparing the SWTP and STIP, ALDOT considers recommendations and strategies from the Statewide Freight Plan to ensure compatibility across planning documents.

### Statewide Bicycle and Pedestrian Plan

ALDOT maintains a Statewide Bicycle and Pedestrian Plan. The purpose of the plan is to establish a vision that supports walking and bicycling as modes of transportation in Alabama. Developed by ALDOT with input from stakeholders across the state, this plan aims to guide investments in bicycle and pedestrian facilities and programs that achieve the greatest improvements with limited available funding.

The plan also serves as a tool for ensuring that projects included in the SWTP and STIP are compatible with initiatives and strategies for alternative modes of transportation identified in the Statewide Bicycle and Pedestrian Plan.



# 3 PUBLIC INVOLVEMENT PROCESS



## What are ALDOT's Public Involvement Goals and Strategies?

ALDOT's goal is to provide a proactive public involvement process that increases public awareness and understanding, offers complete information and timely public notice, supports early and continued involvement of the public and stakeholders, and provides opportunities for meaningful involvement and citizen feedback. To achieve this goal, ALDOT has established five objectives for creating and maintaining an effective public participation process, as shown in **Figure 4**.

### Incorporating Equity into the Transportation Planning Process

Equity is a vital aspect of public involvement that allows for more diverse and inclusive representation of stakeholders and the public. Equity analyses can be utilized to evaluate the success or failure of public involvement and impacts of transportation investments on environmental justice communities. FHWA has established [guidelines](#) all agencies should try to follow to incorporate equity into the transportation planning process:

- » **STEP ONE:** Consider any potential equity impacts of pricing early in the project—during the planning and design phases.
- » **STEP TWO:** Determine users potentially impacted by the proposed project as well as regional equity priorities.
- » **STEP THREE:** Evaluate equity impacts associated with a given plan, program, or project.
- » **STEP FOUR:** Consider a variety of perspectives and impacts.
- » **STEP FIVE:** Measure effects.

## What is Environmental Justice?

The U.S. Department of Transportation defines Environmental Justice (EJ) as the fair treatment and meaningful involvement of all people regardless of race, ethnicity, income, national origin, or educational level with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies.

Fair treatment means that no population, due to policy or economic disempowerment, is forced to bear a disproportionate burden of the negative human health and environmental impacts, including social and economic effects, resulting from transportation decisions, programs and policies made, implemented, and enforced at the federal, state, local, or tribal level.

Executive Order 12898 requires each federal agency to “make achieving environmental justice part of its mission by identifying and addressing, as appropriate, disproportionately high and adverse human health or environmental effects of its programs, policies, and activities on minority and low-income populations.”

Other analyses, such as refined Geographic Information Systems (GIS) mapping tools, may be used to determine the degree to which disadvantaged populations are considered and involved in planning processes.

## What is ALDOT's Public Involvement Process?

ALDOT's public involvement process is used to inform the public and stakeholders on the development of planning recommendations for strategic plans including the SWTP and



Figure 4: ALDOT Public Involvement Goals and Strategies

1



Educate the public and project staff to ensure that they have the knowledge and the tools to effectively engage in (and engage the public in) the transportation planning process.

2



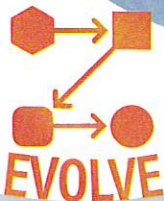
Engage with the public and statewide, regional, and local stakeholders to build trust and acceptance with both opponents and supporters regarding community needs and concerns.

3



Encourage awareness of the transportation planning process and public participation by emphasizing early and continuous public involvement.

4



Evolve the public involvement process by adopting a flexible, "living" PIP. Expanding the toolkit of mediums that can be used to engage stakeholders and the public on a perpetual basis will improve the delivery of this process.

5



Evaluate the effectiveness of public involvement through documentation by creating and monitoring performance metrics and adapting tools for engagement as needed.

### ALDOT's Public Involvement Objectives

STIP, as well as agency coordinated planning studies. While the public involvement process for the development of formal planning documents typically includes a nine-step process, it is important to note that the details and communication channels used in each step can vary depending on the specific plan or study. Regardless of the techniques used to do so, the public engagement process itself is strategically followed to ensure conclusiveness of the conducted outreach and is repeated when significant revisions are made or document amendments are proposed.

## ALDOT'S PUBLIC INVOLVEMENT STEPS

### **STEP ONE: Define study area and identify target audience.**

If the study area is not predefined by the planning recommendations or planning study scope, the boundaries should be defined. The size of this area and complexity of public outreach depends upon the type of plan, plan amendment, or study. Since different involvement techniques may be required to ensure inclusion, it is important to understand the various populations that work and live in the study area so communication methods can be tailored to their needs and preferences. Making sure that all interested stakeholders and members of the public are provided the opportunity to provide input aids in complying with federal nondiscrimination regulations, including Title VI and EJ. FHWA equity evaluation guidelines mentioned above can help to enhance representation of these and other historically disadvantaged groups in the transportation planning process.

In addition to legal requirements, the more that is known about the study area population, the more effective public involvement will be. Creating a focused distribution list is crucial to notify citizens of public involvement activities. To populate this list, organizations may perform a demographic analysis to ensure all populations within the study area are represented. Additional techniques include providing a link on the organization's website that allows individuals to submit requests to be added to distribution lists. It is important to note that the distribution list for each plan or study is dynamic and should change and/or grow as new and interested parties are identified.

### **STEP TWO: Establish public involvement timeline and outreach goals.**

Once the study area is defined and the target audience is identified, engagement coordinators can identify the specific engagement methods that will complement the needed outreach. Then, a timeline can be created. At a minimum, the timeline may include a detailed schedule, deadlines, and milestones for each step of the public engagement process. The timeline also serves as a useable tool or checklist to ensure the process stays on schedule and meets public comment period requirements. As the timeline emerges, the team can utilize data gathered (i.e., study area demographics, target audience details, and the developed timeline) to set goals. To the extent practicable, the goals for public engagement should be both qualitative and quantitative and specific to the intended tasks.

### **STEP THREE: Initiate organized advisory group if applicable.**

Advisory groups may be comprised of ALDOT region engineers, the MPOs and non-MPOs, FHWA, representatives of state agencies, private sector modal, economic development, advocacy organizations, and other interested individuals. Advisory groups provide input to ALDOT on transportation issues and assist in communicating with citizens and stakeholder communities throughout the state. Depending on the complexity of the plan or study and the level of engagement needed from such stakeholders, advisory groups can meet regularly at scheduled times, receive detailed updates/revisions digitally and provide feedback, or a combination of all.

### **STEP FOUR: Provide adequate public notice of public involvement activities.**

Making information available to the public is a process that is initiated early and continues throughout the entire planning or study process. Recipients of public notifications reflect a wide range of participants. A wide variety of methods to providing adequate public notice can be used. These methods may include publishing formal public notices/





advertisements in newspapers, press releases to tv and radio media, mailing information to a distribution list comprised of individuals and organized stakeholders interested in transportation issues, circulating newsletters, publishing information on websites, sharing links to websites, surveys, and other information on local social media outlets, and providing multiple ways for citizens to ask questions and provide comments (i.e., in-person, written comment forms, telephone, and/or online). Special emphasis is placed on identifying and notifying EJ communities.

Notices are disseminated through available media outlets, where available, and/or postings at locations within the EJ community. Places of worship, schools, recreation facilities, and/or other locations where community members regularly gather are examples of locations that are typically effective in reaching underserved populations. The materials distributed are geared to the public and provide summary information in layman's terms. Public notices identify a person to contact at least one week prior to a meeting with requests for special accommodations for persons with disabilities, including the deaf or blind. They also indicate how comments can be submitted and the deadline for providing comments.

### **STEP FIVE: Hold regional public input meetings.**

Required meetings are held as appropriate throughout the planning process to receive public input. The meetings may follow an informal "open house" format, whereby ALDOT staff and other team members, as applicable, are available to answer questions and receive comments. All meeting locations meet Americans with Disabilities Act (ADA) accessibility standards, Center of Disease Control (CDC) requirements, and, where possible, are accessible by public transportation. To the extent practicable, video and call-in communication channels may also be made available at the same time as the in-person public input meetings. Individuals participating virtually or via call-in should be given a paralleled experience where they receive the same information and opportunity to provide input.

Upon request and to the extent possible, ALDOT staff or their designee may also meet with small groups or community

leaders to discuss activities and issues related to the SWTP, STIP, or planning study. These one-on-one meetings are held on an informal basis and conducted at mutually agreed upon locations and times. These meetings are documented and incorporated, as appropriate, into the draft plan documents.

### **STEP SIX: Distribute draft documents for review and provide adequate public notice.**

Draft documents are made available for a public review and comment period (see **Appendix E** for comment period) prior to submittal to FHWA and FTA for approval. Notification of document availability is accomplished through official public notices in newspapers and ALDOT's website, mailers to citizens on the comprehensive mailing and distribution list, announcements in newsletters, and/or other channels, as appropriate. Efforts to include notifications to locations within minority communities, including the use of minority media outlets, to the extent practicable, are conducted. Electronic copies of the documents are distributed to ALDOT Region Offices, MPOs, non-MPOs, and other entities as appropriate. Printed copies are limited and are available by request only. The draft documents are also posted on ALDOT's website.

### **STEP SEVEN: Respond to public comments and publish input.**

Comments received before, during, and after public meetings are collected, summarized, and distributed to appropriate ALDOT staff for response. A published summary of public comments and responses is made available to the public via ALDOT's website or included in the plan when the plan is distributed for public review.

### **STEP EIGHT: Publish and distribute the final document.**

After review, the final documents are made available on ALDOT's website. Electronic copies of the documents are distributed to ALDOT Region Offices, MPOs, non-MPOs, and other entities, as appropriate. Printed copies are limited and are available by request only.



## **STEP NINE: Evaluate and document the conducted public involvement and the public involvement process.**

ALDOT evaluates public involvement activities on a regular basis. To the extent practicable, the evaluation refers back to the goals established in Step 2 of the public involvement process and includes a review of both quantitative and qualitative indicators to gauge the overall effectiveness of the public involvement program. After each goal is measured and noted accordingly, it is also important to gauge the effectiveness of the process itself. Necessary revisions to the established public involvement process should be noted accordingly, amended as needed in the PIP, and followed during the next organized public involvement occurrence.

Formal changes to the PIP are circulated for a 45-day public review period to receive public comments on proposed revisions prior to adoption of an updated PIP. When the methods of measuring success are finalized, the entirety of the recently conducted public involvement/outreach process should be packaged up and filed accordingly. Public meeting announcements, agendas, summaries, recordings, educational materials, audience demographic data, process final reports, and any other relevant documentation are collectively gathered and organized.

## **What Public Engagement Techniques are Used by ALDOT?**

ALDOT utilizes a variety of techniques to engage the public. Various techniques are selected for each outreach occurrence based on the type of document under development and the target audience ALDOT needs to reach. No two public outreach campaigns are the same. Many different factors can come into play as a scheduled public involvement process emerges. Therefore, having a variety of different communication channels available and understanding the benefits of each can greatly contribute to the success of an agency's public involvement efforts. ALDOT utilizes a combination of the following techniques during their various public involvement occurrences.

## **CONTACT DISTRIBUTION LIST**

In addition to a broad-based involvement process, a conclusive list of key individuals, local officials, organized stakeholder groups, individuals interested in transportation issues, chambers of commerce, transportation providers, and public agencies throughout the state is developed with assistance from LPAs and planning organizations. In addition, contacts with minority associations, community organizations and recreation centers, places of worship, and housing authorities aid in helping to share information within underserved communities.

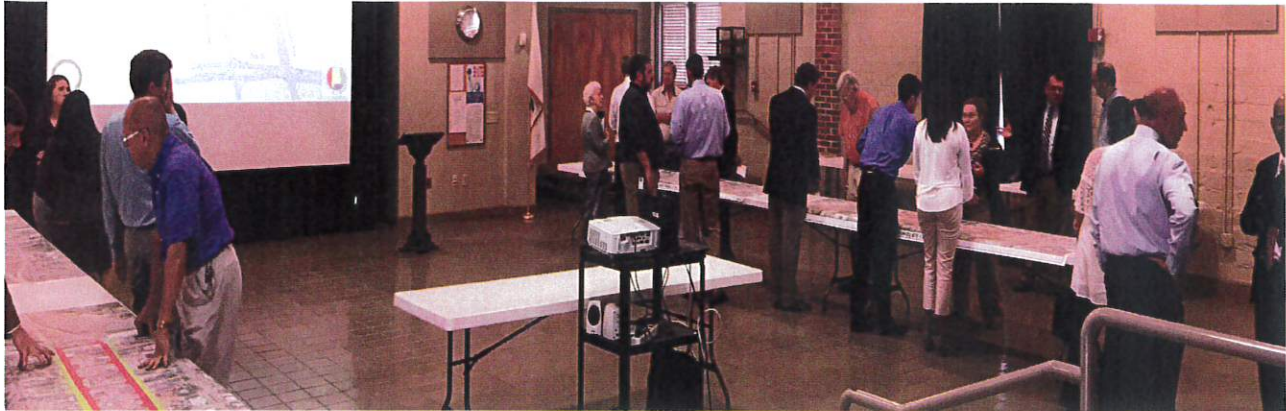
Just as the public involvement process evolves with each engagement occurrence, the distribution list should actively be increased and/or adjusted to ensure accuracy and broadness, obtaining as many contacts as possible. As interested parties are identified, they are added to this distribution list. It is ALDOT's goal to continuously communicate with this group of contacts, whether it be via educational newsletters, agency updates, or calls for action (i.e., public engagement opportunities, online survey activities, or other interactive feedback techniques). People on the list are asked to review or disseminate information, as well as provide and/or seek comments from their constituencies. The distribution list may also include physical mailing addresses for those willing to provide it, in addition to email addresses. Physical mailing addresses may become useful to visualize the overall geographic reach of your contact list or if a specific engagement occurrence involves reaching a particular demographic via postage.

## **ADVISORY GROUPS**

Advisory groups are a way for ALDOT to coordinate a committee of transportation stakeholders to reflect the diverse transportation concerns of a population, especially groups or individuals representing traditionally underserved areas. A Stakeholder Advisory Group (SAG) is an example of a committee coordinated by ALDOT. Past SAGs have included planning organizations, state agencies representing environmental development, and other programs impacted by transportation. It may also include modal representatives from transit, trucking, ports, airports, bicycle and pedestrian



**Photo 1:** Image of a public involvement meeting for the Lurleen B. Wallace Boulevard project in Tuscaloosa, Alabama



groups, environmental groups, tribal communities, economic development interests, and EJ groups.

## **SOCIAL MEDIA**

As technology emerges, social media is more useful than ever in communicating a message to a targeted group of people. Social media analytics provide a quantitative means to measure the reach and interaction of a posted message. These tools can be useful during the public engagement process, allowing organizations to adjust messaging to make sure the right message reaches the right audience. The various available social media channels (e.g., Facebook, Twitter, and Instagram) possess different qualities that can be beneficial to the public engagement process. Although promoted discussion on social media should be documented to the extent practicable, it can be difficult to capture public feedback via social media. Therefore, it is important to focus social media efforts on educational messaging and announcements while utilizing other methods to obtain and respond to public comments.

ALDOT does not currently have access to ongoing social media sites. As a result, ALDOT may rely on MPOs, non-MPOs, and other organizations to post information about transportation plans, proposed updates, and opportunities for public comment on their social media sites.

## **SURVEYS**

Distributed surveys offer an organized way to obtain public feedback. User-friendly, online survey platforms (e.g., Survey Monkey, Survey123, Microsoft Forms) provide an easy way

for citizens to engage in transportation planning efforts. Surveys can be published digitally or distributed by hard copy, making the feedback method universal to the needs of participants. In the event a virtual engagement occurrence complements an in-person engagement activity, the same survey can be used uniformly to gather easily documented feedback. Surveys can also be used to find out demographic information from your engagement participants or contact list members to aid in further defining the audience.

## **PUBLIC MEETINGS**

Public meetings are held in locations that are convenient and accessible to the communities within the study area. These meetings are organized with the assistance of the non-MPOs, MPOs, and ALDOT region offices, as appropriate. Meeting locations are chosen to provide access to the broadest sector of citizens and, where possible, are accessible by transit. Public meetings can utilize live video streaming and/or virtual meeting platforms to complement in-person meetings and increase audience reach and participation. There may also be times when virtual meetings are used in lieu of public meetings.

## **MEDIA OUTREACH**

To ensure the widest possible public participation, project activities, findings and conclusions, and meeting schedules may be disseminated through the general media across the state. Potential media outlets include television, radio, newspapers, available media outlets, and/or the internet. Dissemination methods include formal notices, press releases, newsworthy events, public service announcements,



mailings, e-mail, and/or advertisements. Establishing a relationship with various local media representatives and understanding their processes is useful in confirming consistent media strategies and communicating intended messages. Developing these relationships allows media representatives to know who to contact directly if they need an expert opinion on the issue or talking points for a story. Many times, local media representatives are willing to share distribution lists and provide advertising analytics to complement audience demographic research. ALDOT's Media and Community Relations Bureau and public information officers, along with the MPOs and non-MPOs, can work together to reach the public. **Appendix F: ALDOT Media Relations and Communication Contacts** provides contact information for these individuals.

## PUBLIC INFORMATION MATERIALS

Public information materials are a key component of the public involvement process. These materials are geared to the public and summarize the planning process in layman's terms. Materials are sent to individuals on the distribution list and/or made available at public meetings and online. Materials may include, but are not limited to, brochures, fact sheets, PowerPoint slides, summary reports, videos, display boards, mapping, and comment forms. In addition, when trying to reach targeted areas, project signs, enhanced flyers, and community-specific mailings/postcards are effective ways to generate public interest. Materials should be written in simple, easy-to-read language and be translated into multiple languages, if applicable. Published materials should, at a minimum, include a description of the plan or project, the purpose of the plan or project, notable coordination with other state, regional, and local plans, as appropriate, the status of projects, and opportunities for public engagement.

## ALDOT WEBSITE

ALDOT's website includes information on formal planning documents. Visitors can submit comments and questions online, see upcoming public involvement meetings, view public meeting information/materials, and request to be added to mailing lists at [www.ALDOTInvolved.com](http://www.ALDOTInvolved.com) for projects being evaluated as part of ALDOT's environmental process and at the [STIP webpage](#) for STIP projects. In addition,

ALDOT's website contains publications and public feedback summaries. ALDOT monitors the number of individuals who visit the website and updates it with new information as necessary.

## Public Involvement Toolbox

Over the last two decades, the use of technology to communicate with the public has increased significantly. People rely heavily on their cell phones and computers to receive and share information. As a result, techniques to engage the public have evolved. Additionally, there is a need for organizations to be able to host meetings using virtual tools in lieu of, or in addition to, in-person meetings.

In accordance with 23 CFR 450.316, the public must be given:

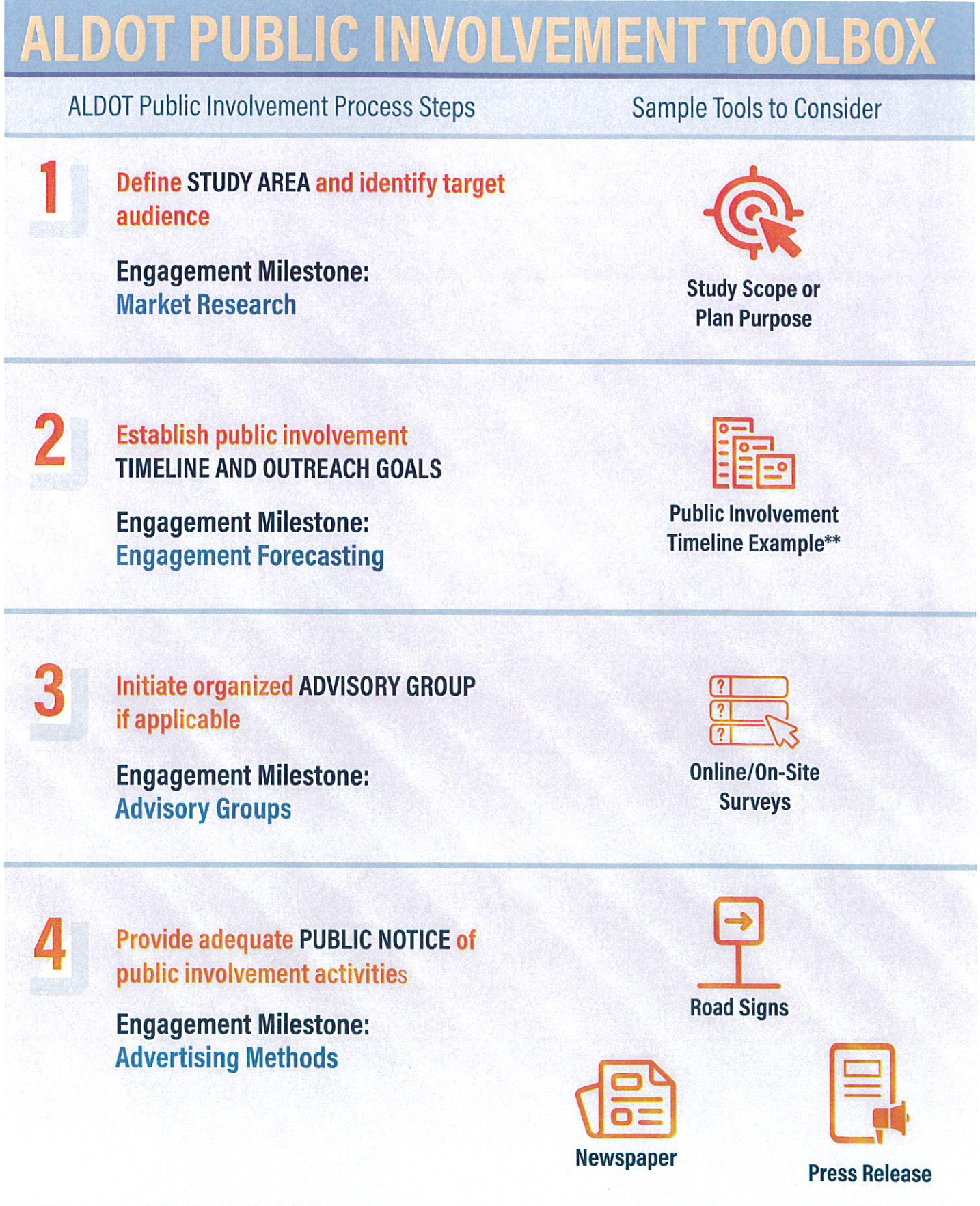
- » Adequate public notice of public participation activities
- » Opportunities to review and comment at key decision points
- » Multiple, accessible participation formats, including electronic and in-person

Public outreach is not a "one-size-fits-all" strategy. As a result, tools to reach and engage the public should be identified based on the target audience and the goals of public involvement. Organizations are encouraged to evaluate what is effective and what is not effective and adjust accordingly (see **Chapter 4: Documenting and Measuring the Effectiveness of Public Involvement**).

The toolbox shown in **Figure 5** (which spans the next four pages) contains a list of outreach techniques and tools that may be used. This list is not intended to be all-inclusive, but rather to identify primary tools that have been used effectively and successfully throughout the state. The toolbox also includes tools that may be considered for use in future public involvement activities. This list will continue to evolve and be updated as appropriate. Examples of documents referenced in the toolbox are included in **Appendix G: Sample Forms and Other Document Examples**.



Figure 5: ALDOT Public Involvement Toolbox—Sample Tools to Consider for Each Step of the ALDOT Public Involvement Process



\*\*Appendix G: Sample Forms and Other Document Examples contains examples and templates referenced in this toolbox



## Sample Tools to Consider



[U.S. Census Data](#)



**Geographic Information Systems (GIS) Tools**



**Target Audience List\***



**Engagement Goals Evaluation Template\*\***



**Local Events for Outreach**



**Virtual Meeting Platforms**

### Example Virtual Meeting Platforms (Will Differ By Agency)

[Zoom](#)

[GoToMeeting](#)

[Microsoft Teams](#)

[WebEx](#)



**Informational Materials**



**Direct Mail Letter Notices (Target Audience List)**



**TV\***



**Website**



**Local Social Media**



**Radio\***



**E-mail (On-Going)**

\*Where Feasible



# ALDOT PUBLIC INVOLVEMENT TOOLBOX

ALDOT Public Involvement Process Steps

Sample Tools to Consider

## 5 Hold regional PUBLIC INPUT MEETINGS

Engagement Milestone:  
In-Person, Virtual, and Hybrid  
(Combination) Meetings



Public Meeting  
Agenda and  
Sign-In Sheet  
Template\*\*



Powerpoint  
Presentation



Virtual Meeting  
Platforms

## 6 Distribute DRAFT DOCUMENT for review and provide adequate public notice

Engagement Milestone:  
Distribution Methods for Accessible  
Public Review



Website



E-mail

## 7 Collect PUBLIC COMMENTS for incorporation into final plan

Engagement Milestone:  
Methods for Gathering Public Input

Public comments can be recorded\*\*

## 8 Publish and distribute the FINAL DOCUMENT

Engagement Milestone:  
Distribution Methods



Website



E-mail

## 9 EVALUATE and document the CONDUCTED PUBLIC INVOLVEMENT and the public involvement process




Engagement Milestone:  
Prepare Public Involvement Summary Report

\*\*Appendix G: Sample Forms and Other Document Examples contains examples and templates referenced in this toolbox





## Sample Tools to Consider

						
Online/On-Site Surveys	Live Recordings	Informational Materials	Feedback/Comment Form Template**	Outdoor Meetings	Drive-In Meetings	Individual Meetings
				Future consideration by ALDOT		
	Poster Session					

			Translation may be available
Link via Local Social Media	Phone Call Request for Physical Copies	MPO, RPO, ALDOT Offices and Other Physical Locations*	

		
E-mail	Telephone	Direct Mail

			
Link via Local Social Media	Telephone	MPO, RPO, and ALDOT Offices*	Physical Locations in Community*

	
Engagement Goals Evaluation Template**	Summary Report Checklist

\*Where Feasible



## How Can the Public Engage in the Transportation Planning Process?

### Statewide

ALDOT is committed to providing accessible opportunities for the public to engage and provide input during the transportation planning process. ALDOT is federally required to maintain a public participation/involvement plan that details how the public can engage and provide feedback. There are a variety of opportunities readily available for Alabamians to engage in transportation planning. Some of these opportunities include online surveys, attendance at public open houses, contacting statewide planning coordinators, and staying informed on ALDOT's engagement and planning efforts.

Often, issues arise that lead to a lack in public participation. Issues can include lack of transportation access to in-person events or the lack of reliable access to a computer, smartphone, or the internet. Public agencies have identified useful communication channels to ensure that every citizen that would like to be heard can be. As technology has emerged and social trends have allowed for messaging and collaboration via the internet and call-in communications, agencies are not only able to provide a variety of ways for community members to provide feedback, but it has also allowed state agencies to get more meaningful input from a wider variety of state residents.

### Local Level

At the local level, community members engage in transportation planning through their designated MPO, RPC, or RPO (see [Figure 6](#)). Contact information for these organizations can be found in [Appendix H: Contact Information for MPOs, RPCs, and RPOs](#). Every MPO is federally required to maintain a public participation/involvement plan that details how the public can engage and provide feedback on local transportation projects. RPCs and RPOs often rely on the statewide PIP to guide and conduct public outreach activities.

Several avenues exist in which the public can engage in local level transportation planning. First, members of the public

who have interest in engaging at the local level can start by staying educated and aware of local planning efforts. Many MPOs' coordination consists of communication with their community members, public officials, and area groups through an organized distribution list where they can make announcements, distribute surveys and newsletters, and/or educate the public on planning practices and upcoming projects. Depending on the project, MPOs may utilize diverse types of engagement opportunities for the public to provide feedback. Typically, these practices can include in-person meetings with video or call-in capabilities, online surveys, and pop-up engagement events, among others. The local Citizen Advisory Committees' and Technical Advisory Committees' meetings are open to the public, to ensure that they are informed and their feedback is incorporated into the transportation planning process. The groups also serve as an advisory to the MPO Policy Board meetings where the decisions are made.

## How Can Citizens Gain Assistance in Getting Involved in Public Engagement?

### ALDOT Accommodation Procedures: Title VI, Limited English Proficiency (LEP), Environmental Justice (EJ), and ADA

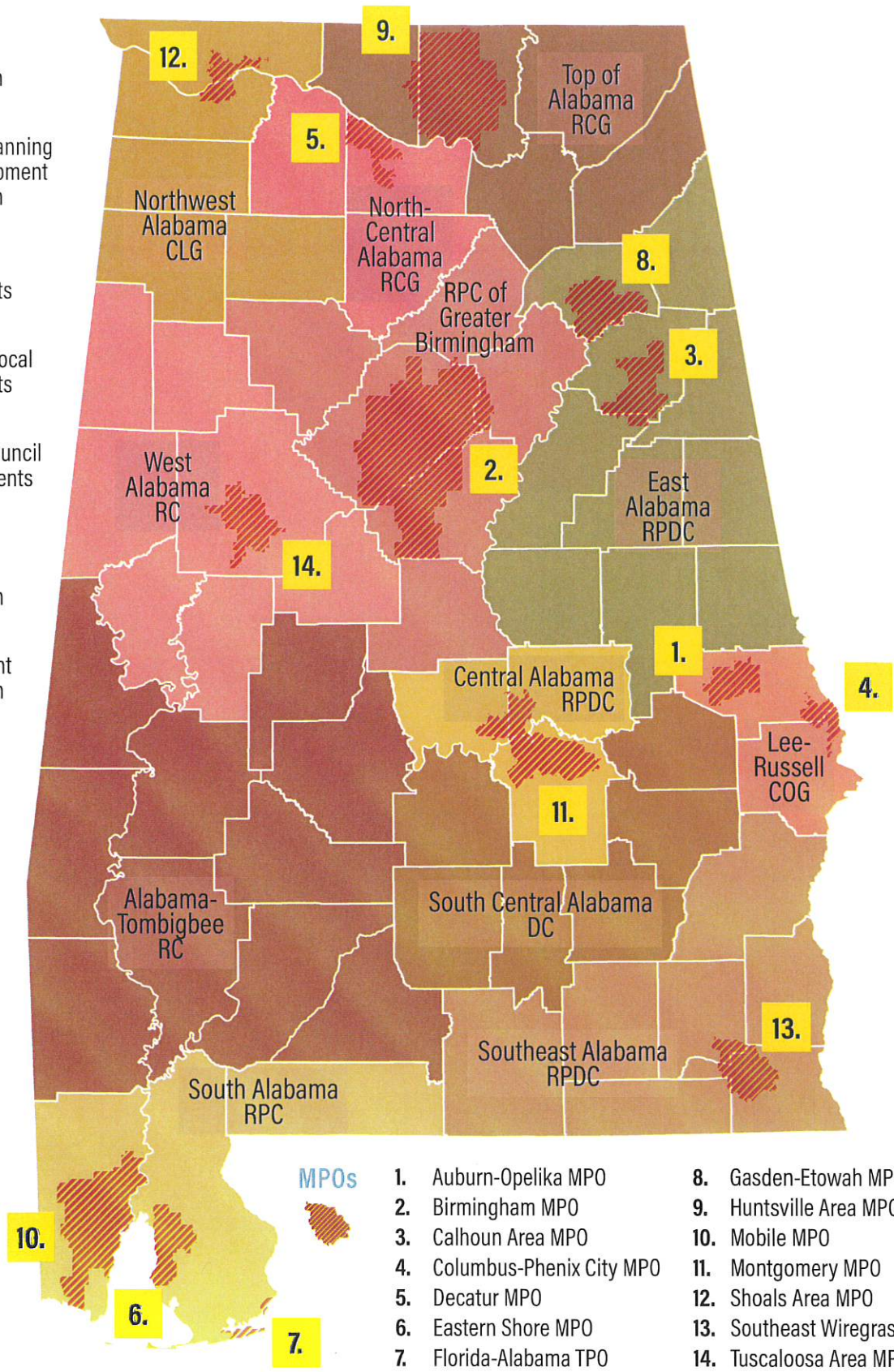
As a recipient of federal funding, ALDOT is required by Title VI of the Civil Rights Act of 1964—which prohibits discrimination on the basis of race, color, religion, sex, or national origin—to provide meaningful access to federal funded programs for individuals with limited English proficiency (LEP); address environmental justice concerns in low-income and minority communities (EJ); and ensure equal opportunity for persons with disabilities (ADA). ALDOT relies on various federal regulations and statutes from FHWA and FTA to help guide its public participation activities.

For more information on the Title VI services and resources offered by ALDOT's Title VI Program, please refer to the 2020 Update to ALDOT's [Title VI Goals and Accomplishments Report](#) and the 2021 Update to ALDOT's [Title VI Implementation Plan](#), as well as [Appendix B: Federal and State Regulations](#).



Figure 6: Map of Alabama's 14 MPOs and 12 RPCs/RPOs

- RC**  
Regional Commission
- RPDC**  
Regional Planning and Development Commission
- COG**  
Council of Governments
- CLG**  
Council of Local Governments
- RCG**  
Regional Council of Governments
- RPC**  
Regional Planning Commission
- DC**  
Development Commission





## Federal Requirements for Public Involvement in the Transportation Planning Process

### **Title VI of the Civil Rights Act of 1964**

Enacted as part of the national Civil Rights Act of 1964. Prohibits the exclusion from participation in, denial of the benefits of, or discrimination on the basis of race, color, national origin, sex, disability, or religion in programs and activities receiving federal financial assistance. The statute guarantees that monetary and nonmonetary forms of federal remuneration are not to be used to support racial discrimination, indirectly or directly.

### **Americans with Disabilities Act of 1990 (ADA)**

(42 U.S.C. §12101 et seq.)

The American with Disabilities Act of 1990, which was updated in 2010, requires coordinating with disabled communities and providing access to sites where public involvement activities occur as well as the information presented.

Prohibits the exclusion from participation in, denial of the benefits of, or discrimination against individuals with disabilities in employment, public accommodations, transportation, state and local government services, and telecommunications. ADA, the “equal opportunity” law, defines a disability as a physical or mental impairment that substantially limits one or more major life activities, a person who has a history or record of such an impairment, or a person who is perceived by others as having such an impairment. Guarantees that recipients of federal-aid funding will be ensured nondiscrimination in and improved access to all federal programs and activities despite disability of recipient.

### **Age Discrimination Act of 1975**

(42 U.S.C. §6101-6107 et seq.)

Prohibits the exclusion from participation in, denial of the benefits of, or discrimination on the basis of age in programs and activities receiving federal financial assistance. Modeled on the regulations issued under Title VI of the Civil Rights Act, the Act was introduced as part of the amendments to the Older Americans Act of 1965 and by 1975 had expanded to apply to people of all ages. Guarantees that recipients of federal funding, despite their age, are ensured non-discrimination in and improved access to all federal programs and activities.

### **Executive Order 12898: Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations**

The purpose of this executive order is to focus federal attention on the environmental and human health effects of federal actions on minority and low-income populations with the goal of achieving environmental protection for all communities. Each federal agency is required to develop an agency-wide EJ strategy (including public involvement) that identifies and addresses disproportionately high and adverse human health or environmental effects of its programs, policies, and activities on minority and low-income populations. The strategy must include details of how public participation (including notices, hearings, and public documents) are promoted, accessed, and/or disseminated.



## Federal Requirements for Public Involvement in the Transportation Planning Process

### Executive Order 13166: Improving Access to Service for Persons with Limited English Proficiency

Details federal actions to improve access to services for persons with limited English proficiency (LEP). Requires federal agencies to examine the services they provide, identify any need for services to those with LEP, and develop and implement a system to provide those services so that LEP persons can have meaningful access to them. Each federal agency is required to develop plans and provide access and services to LEP applicants and beneficiaries in their federally-assisted programs and activities. This includes

requiring recipients of federal funding to also provide "meaningful access." Meaningful access is defined by the Department of Justice through a series of factors. These include:

- » The number or proportion of LEP persons in the eligible service population
- » The frequency with which LEP individuals come in contact with the program
- » The importance of the service provided by the program, and the resources available to the recipient



**Photo 2:** ALDOT's recently-completed interchange project at I-59/I-20 and Red Mountain Expressway in Birmingham



# 4 DOCUMENTING ENGAGEMENT AND MEASURING SUCCESS



## How is the Effectiveness of Public Engagement Measured?

To ensure the public involvement process remains current and effective, each organized public process should be evaluated. 23 CFR 450 and 49 US 5304 outlines federal expectations for statewide and metropolitan planning agencies to effectively engage the public. As part of this joint planning regulation between FHWA and FTA, planning agencies are required to evaluate the effectiveness of public involvement strategies and, where necessary, improve processes to remove barriers to participation and Environmental Justice communities in the transportation decision-making process. By implementing effective public engagement techniques, planning agencies can understand the conclusive needs of a community or region and develop transportation plans to address those needs. Effective or meaningful public engagement does not necessarily mean that every issue or concern will or must be resolved by the planning agency. Rather, it means that the agency is engaging in meaningful conversations with the community it represents and incorporates the public's input in the transportation decision-making process where practicable.

There are many ways in which planning agencies can track and measure the effectiveness of their engagement techniques. First and foremost, planning agencies should establish goals for public involvement prior to kickstarting any outreach campaign. The more specific the goals and milestones, the more forthcoming the evaluation of each strategy will be. It is important that agencies set clear expectations for the public's level of involvement and tailor materials and methods for engagement accordingly.

Practitioners recognize the importance of establishing goals for public involvement at the outset of an outreach campaign—the more specific the established goals and milestones, the more revealing the evaluation. Data is key to showing the effectiveness of selected public involvement methods. By tracking and analyzing these metrics, agencies can determine historical trends to help inform whether public involvement goals have been met and if a change is required to enhance engagement moving forward. Beyond external outreach, it is also recommended that planning agencies

create opportunities for self-evaluation, an example of which would be circulating a survey tool to garner internal feedback after a public outreach campaign. An example survey tool that may be used to assist in documenting and measuring effectiveness of public outreach is described below.

### Survey Tools

A National Cooperative Highway Research Program (NCHRP) example<sup>1</sup> of a survey tool for use both with the public and with the transportation agency asks respondents to rate a series of questions divided across several areas—including six indicators of effective public involvement—according to a five-point scale ranging from strongly disagree to strongly agree. Typically, the first several questions are multiple-choice and pertain to demographics, which can later be compared to U.S. Census demographics.

Other topic areas of the survey include:

- » **Influence and impact** of public feedback on project decisions, not just eliciting feedback to “check the box.”
  - Example: “I understood how my input and engagement would be used.”
- » **Transparency and clarity** to measure whether trust of government agencies has increased or improved based on public involvement processes.
  - Example: “I understood the benefits of the options/alternatives under consideration.”
- » **Timing** to evaluate whether public involvement started early enough and was sufficient in length and frequency to be valuable.
  - Example: “Project information was shared with the public well in advance of project decisions.”

1 National Academies of Sciences, Engineering, and Medicine 2019. Measuring the Effectiveness of Public Involvement in Transportation Planning and Project Development. Washington, DC: The National Academies Press. <https://doi.org/10.17226/25447>.



- » **Inclusion** to measure the extent to which public involvement was inclusive and representative of all targeted, affected populations.
  - Example: "Public involvement activities were held at transit-accessible locations."
- » **Targeted engagement** to measure the extent to which the public involvement included locations relevant to the targeted and affected populations.
  - Example: "Opportunities for participation other than in-person meetings were offered."
- » **Accessibility** to measure the extent to which the public involvement activities used multiple methods for participation.
  - Example: "Public involvement activities were held on a variety of days and times to accommodate people with different schedules."
- » **Open-ended questions** to ask for more detail regarding improvements to public involvement methods.
  - Example: "What are the top three (3) ways public involvement could have been improved?"
- » **Public involvement experience** to ask which types of public involvement the respondent participated in for the project.
  - Example: "What types of public involvement activities did you participate in for the project?"
- » **Agency-specific items** that are not asked of the public but ask the agency to provide documentation/evidence to substantiate their rating of internal survey questions.
  - Example: "The public understood when they could provide input to potentially influence project decisions."

Creating a quantitative scale that corresponds to these qualitative responses allows for easy development of data-based metrics via a survey scoring tool (i.e., an Excel spreadsheet). **Figure 7** shows an example of how to use Excel as a measuring tool.

Another component of self-evaluation is using metrics to quantify public outreach. Specific metrics that are useful in measuring the effectiveness of public involvement include, but are not limited to:

- » Social media insights and/or analytics
- » Number of clicks and/or comments on a social media post or website page
- » Readership/circulation data (i.e., how many people received the public meeting notice?)
- » Participant list demographics
- » Number of attendees
- » Number of comments received
- » Number of website visitors
- » Number of completed surveys

Additional details that agencies may consider important to track and measure include, but are not limited to:

- » Techniques or subject matter in which participants tend to show more interest
- » Meeting locations that work better than others and why
- » Communication channels that encourage/discourage participation more than others

These examples of continuous data collection efforts can be observed and measured throughout the public involvement process and can help identify which tools are working to engage the public.

**Figure 7:** An NCHRP example survey tool, prepared in Microsoft Excel, can help to measure the success of public engagement

Codebook			Public Scores		
Indicator	Item (Survey Questions)	Item Label	Item Scores	Indicator Scores	Overall Index Score
Influence and Impact	10a. I understood how my input and engagement would be used	10a. Input	3.6	2.7	3.2
	10b. It was clear which decisions could and could not be influenced by public input	10b. Could influence	MISSING		
	10c. I understood when I could provide input to potentially influence project decisions	10c. When Influence	2.0		
	10d. Project decisions reflected public input	10d. Reflected Input	3.0		
	10e. If public input was not incorporated into a project decision, I understood the reasons why	10e. Understood Reasons	3.2		
	10f. I understood the purpose of the public involvement	10f. Purpose	2.3		
	10g. I understood how project decisions were made	10g. Decisions	2.5		
Transparency and Clarity	11a. I understood the <u>benefits</u> of the options/alternatives under consideration	11a. Benefits	5.0	2.9	
	11b. I understood the <u>financial costs</u> of the option/alternatives under consideration	11b. Financial Costs	3.9		
	11c. I understood the <u>negative impacts</u> of the options/alternatives under consideration	11c. Negative Impacts	1.7		

## How is Public Involvement Documented?

It is important that all comments and observations shared by the public be documented consistently. Documentation includes information about the meeting, such as date, time, and location, as well as the number of attendees, topics discussed, comments received, and results. The documentation and timeframe for submitting documentation should be established at the onset of the engagement process and should be consistent with the goals of the public involvement activity. This means that the details included in the documentation can and will vary depending on the type of activity that is conducted.

Incorporating documentation of public involvement activities and results into a final report is critical to showing how

Federal regulations have been met. It is also necessary to ensure the public involvement process remains effective and current.

Successful documentation includes:

- ✓ A summary of the outreach activities
- ✓ Pre-meeting activities (team meetings, room layouts/diagrams, etc.)
- ✓ Copies of materials created for public involvement activity (advertisements, maps, signs, handouts, comment form(s), presentation, website content, etc.)
- ✓ Comments submitted via e-mail, in-person, and/or through the website



- ✓ Transcript of chat from virtual meeting platform, if applicable
- ✓ Transcript of verbal comments received, including voicemails, if applicable
- ✓ Records of telephone conversations, including participants' names, telephone number, date, and summary of discussion, if applicable
- ✓ Recording of virtual meeting, if applicable
- ✓ Summaries of in-person meetings, if applicable
- ✓ An evaluation of the goals established at the onset of the engagement

- ✓ A summary of lessons learned to apply to future public engagement campaigns
- ✓ An overall assessment of the effectiveness of the outreach

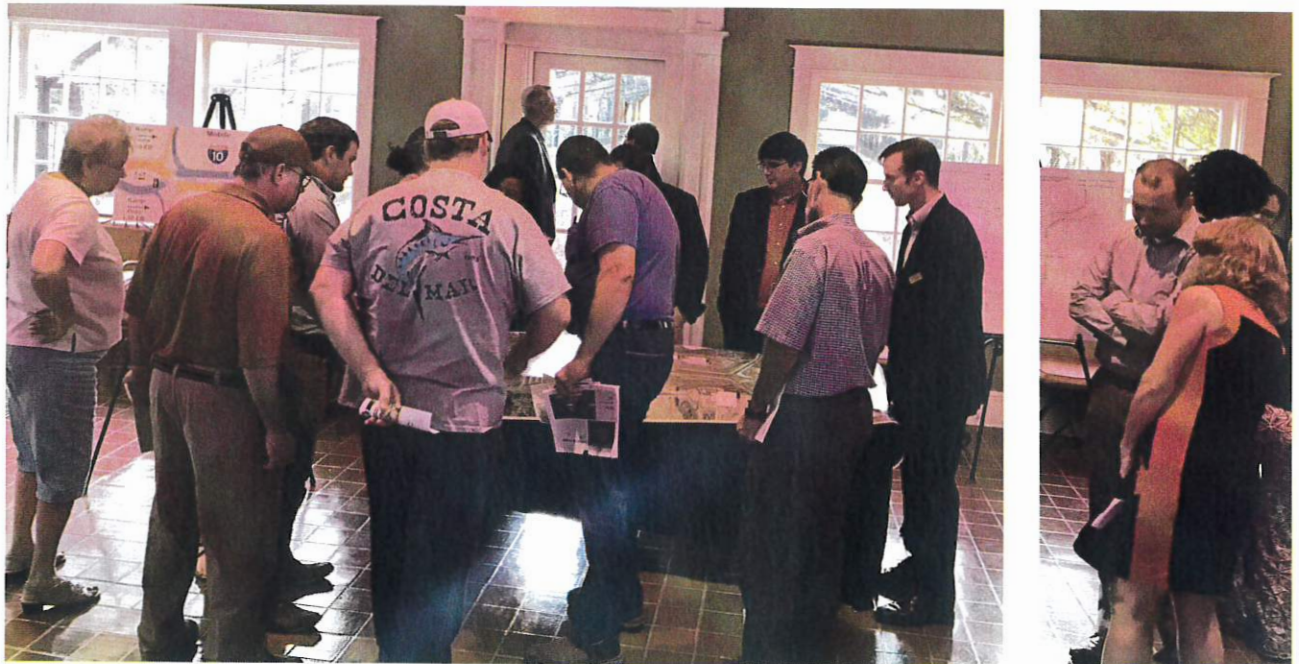
Documenting public involvement materials and outcomes in a final report and gauging the effectiveness of engagement activities helps planning agencies continue to evolve in a transparent and organized fashion. When the PIP needs to be updated or other engagement activities need to be employed, information about the effectiveness of past engagement tools and methods will be readily available. Documenting past public efforts also assists planning agencies in tracking how public involvement processes have evolved and allows them to adapt as new technologies emerge, public input gathering and social trends change, and department policies evolve.

**Photo 3:** Image of a public involvement meeting for a proposed Diverging Diamond Intersection in Mobile, Alabama





**Photo 4:** Image of a public involvement meeting for a proposed Restricted Crossing U-Turn (RCUT) in Faunsdale, Alabama



**Photo 5:** Image of people gathered around a table of maps and other informational materials at a public meeting in Mobile, Alabama





# APPENDIX A

## GLOSSARY OF ACRONYMS AND TERMS



## Glossary of Acronyms

### **ADA**

Americans with Disabilities Act of 1990

### **ALDOT**

Alabama Department of Transportation

### **CLG**

Council of Local Governments

### **COG**

Council of Governments

### **DC**

Development Commission

### **DOT**

Department of Transportation

### **FHWA**

Federal Highway Administration

### **FTA**

Federal Transit Administration

### **LEP**

Limited English Proficiency

### **L RTP**

Long-Range Transportation Plan

### **NEPA**

National Environmental Policy Act of 1969

### **PIP**

Public Involvement Plan

### **PPP**

Public Participation Plan

### **RC**

Regional Commission

### **RCG**

Regional Council of Governments

### **RPC**

Regional Planning Commission

### **RPO**

Rural Planning Organization

### **RPDC**

Regional Planning and Development Commission

### **SAG**

Stakeholder Advisory Group

### **TPO**

Transportation Planning Organization



## Glossary of Terms

### **Alabama Indian Affairs Commission (AIAC)**

The AIAC represents more than 38,000 American Indian families who are residents of the State of Alabama. The AIAC serves as a liaison between the various government departments and tribal communities of Alabama. As an advocate for Indian citizens in Alabama, the AIAC works with state agencies, including ALDOT, to ensure Indian tribes receive equitable consideration in the allocation of resources to address needs within tribal communities.

### **Alabama League of Municipalities**

The Alabama League of Municipalities is a non-partisan association of nearly 450 incorporated cities and towns in the state. The League serves as the primary legislative advocate for Alabama's municipalities. The League's Standing Committee on Transportation, Infrastructure, and Communication reviews and recommends policies on transportation and infrastructure programs throughout the state, including transportation revenue sources and allocations, which are identified in the SWTP and STIP.

### **Association of County Commissions of Alabama (ACCA)**

The ACCA was formed in 1929 to serve as an educational, technical, legal, legislative, and public policy resource for all 67 counties in Alabama. Every county commission in the state is a member of the ACCA. The ACCA includes five affiliate organizations comprised of county employees. These affiliate organizations include the Association of County Engineers (ACEA). The roles of the ACEA include promoting sound road and bridge infrastructure on county roads throughout Alabama and fostering cooperation between the counties and ALDOT. ALDOT works closely with the ACCA and ACEA to identify transportation needs and allocate resources to address those needs as part of the transportation planning process.

### **Association of County Engineers of Alabama**

The ACEA was established to promote sound road and bridge infrastructure along county roads across Alabama through an exchange of ideas among engineering professionals and by maintaining cooperation between the Alabama counties and ALDOT. The ACEA is comprised of County Engineers and Assistant County Engineers from all of Alabama's 67 counties.

### **Environmental Justice (EJ)**

The U.S. Department of Transportation defines environmental justice (EJ) as the fair treatment and meaningful involvement of all people regardless of race, ethnicity, income, national origin, or educational level with respect to the development, implementation, and enforcement of environmental laws, regulations, and policies. Fair treatment means that no population, due to policy or economic disempowerment, is forced to bear a disproportionate burden of the negative human health and environmental impacts, including social and economic effects, resulting from transportation decisions, programs and policies made, implemented, and enforced at the federal, state, local, or tribal level.

### **Local Planning Agencies (LPAs)**

LPAs include Metropolitan Planning Organizations (MPOs), which are federally-mandated and funded organizations that guide regional cooperation in transportation planning and are required in urbanized areas with populations greater than 50,000. LPAs also include Non-Metropolitan Planning Organizations (non-MPOs), consisting of Regional Planning Commissions (RPCs), Rural Planning Organizations (RPOs), and Councils of Government (COGs), which assist ALDOT in identifying transportation needs in non-urbanized areas (i.e., areas with populations of fewer than 50,000).

### **Long-Range Statewide Transportation Plan (SWTP)**

The SWTP is a long-range, macro-level assessment of the state's transportation system network. It summarizes the system's current conditions and identifies its needs and priorities for a minimum of 20 years. It is a multimodal plan that evaluates all modes of passenger and freight transportation—roadways and bridges, transit, bicycle/pedestrian, rail, aviation, and waterways. It considers the extent of modal coverage and connectivity across the entire state and between modes.

### **Metropolitan Planning Organizations (MPOs)**

Alabama's 14 MPOs are responsible for preparing long-range and short-term transportation plans for urbanized areas (populations of 50,000 or more) and coordinating with ALDOT to ensure these plans are included in statewide planning documents. MPOs work with other LPAs (i.e., counties, municipalities, and transit providers) to identify, prioritize, and fund transportation needs in urban areas.

### **Non-Metropolitan Planning Organizations (Non-MPOs)**

Responsible for working with local governments, elected officials, and citizens in non-urbanized areas to identify region-wide transportation needs and coordinate with ALDOT to incorporate projects into statewide transportation plans. Non-MPOs may include Regional Planning Commissions (RPCs), Rural Planning Organizations (RPOs), and/or Councils of Governments (COGs). Non-MPOs work with other LPAs (i.e., counties, towns, and rural transit providers) to identify, prioritize, and fund transportation projects in rural areas.

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

The STIP is a federally mandated four-year funding and scheduling document for surface transportation projects, including roads, highways, pedestrian trails, bicycle facilities, bridge facilities, and transit projects in Alabama. The program serves as a statewide, prioritized listing of transportation projects to be implemented over the next four years. A project must be included in the STIP in order to receive federal and state funds. The STIP must be consistent with the statewide transportation plan and transportation plans developed by MPOs, RPOs, and RPCs.

### **Statewide Transportation Planning**

Statewide transportation planning and programming considers all transportation modes important to the public and the statewide system. The planning process establishes goals and ranks transportation needs for the entire state.

### **Transportation Programming**

Transportation programming chooses and funds projects that meet the needs of the statewide plans and priorities.

### **Transportation Stakeholders**

A broad group of transportation related entities including public transportation employees, public ports operators, freight shippers, private providers of transportation (including intercity bus operators), users of public transportation, users of pedestrian walkways, users of bicycle transportation facilities, providers of freight transportation services, representatives of individuals with disabilities, federally-recognized Tribes with ancestral ties to Alabama, and other interested parties.



# APPENDIX B

## FEDERAL AND STATE REGULATIONS



The Alabama Department of Transportation follows and upholds the federal and state regulations contained in this appendix, which ensure non-discriminatory practices are utilized while helping to determine when and how to include public involvement in the planning process. The following federal and state regulations are briefly summarized with additional links provided for readers to obtain a more complete understanding of the laws associated with public involvement.

For more information, please refer to the overview of relevant **Federal Requirements for Public Involvement in the Transportation Planning Process** (on pages 29-30 of this document).

## Federal Environmental and Non-discriminatory Statutes

- » National Historic Preservation Act of 1966
  - FHWA: <http://www.fhwa.dot.gov/federal-aidessentials/catmod.cfm?id=62>.
- » NEPA of 1970
  - Citizen's Guide to NEPA: [https://ceq.doe.gov/docs/get-involved/Citizens\\_Guide\\_Dec07.pdf](https://ceq.doe.gov/docs/get-involved/Citizens_Guide_Dec07.pdf)
  - ALDOT: <https://www.dot.state.al.us/dsweb/divped/EnvironmentalCoordination/index.html>
- » Clean Air Act of 1970
  - EPA: <https://www.epa.gov/laws-regulations/summary-clean-air-act>
- » Clean Water Act of 1972
  - EPA: <https://www.epa.gov/cwa-404/overview-clean-water-act-section-404>
- » Age Discrimination Act of 1975
  - U.S. Department of Labor: <https://www.dol.gov/agencies/oasam/regulatory/statutes/age-discrimination-act>
- » Americans with Disabilities Act (ADA) of 1990
  - U.S. Department of Justice, Civil Rights Division: [http://www.ada.gov/ada\\_intro.htm](http://www.ada.gov/ada_intro.htm)
- » Title VI of the Civil Rights Act of 1964
  - U.S. Department of Justice: <https://www.justice.gov/crt/fcs/TitleVI-Overview>
  - ALDOT Title VI Administration: <https://www.dot.state.al.us/cboweb/ExternalProgramsSection.html>
- » Civil Rights Restoration Act of 1987
  - U.S. Congress: <https://www.congress.gov/bill/100th-congress/senate-bill/557>

## Federal Transportation Statutes

### Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005 | (Public Law 109-59)

SAFETEA-LU promotes more efficient and effective federal surface transportation programs by focusing on transportation issues of national significance, while giving state and local transportation decision makers more flexibility for solving transportation problems in their communities. Areas of focus include improving safety, reducing traffic congestion, improving efficiency in freight movement, increasing intermodal connectivity, protecting the environment, and laying the groundwork for addressing future challenges. An MPO is required to develop a participation plan in coordination with interested parties as a way for all parties to comment. The participation plan will be carried out through public meetings. These meetings must be conducted at convenient and accessible locations at convenient times; employ visualization techniques to describe plans; and make public information available in an electronically accessible format. The participation plan is to be published and made available electronically. Users of multimodal transportation systems and disabled individuals are to be included in public participation and the planning process.

For more information, follow [this link](#) to FHWA website.



## Moving Ahead for Progress in the 21st Century Act (MAP-21) of 2012 | (Public Law 112-141)

MAP-21 creates a streamlined and performance-based surface transportation program and builds on many of the federal highway, transit, bicycle, and pedestrian programs and policies. MAP-21 is the first long-term highway authorization enacted since 2005. The Act provides needed funds and transforms the policy and programmatic framework for investments to guide the growth and development of the country's transportation infrastructure and challenges faced by the transportation system. These challenges include improving safety, maintaining infrastructure condition, reducing traffic congestion, improving efficiency of the system and freight movement, protecting the environment, and reducing delays in project delivery.

MAP-21 ensures public involvement remains a hallmark of the transportation planning process. MAP-21 requires that interested parties be given a reasonable opportunity to comment on the proposed project plans, public meetings are held at convenient and accessible locations and times, and public information is available in a variety of accessible formats and means.

For more information, follow [this link](#) to FHWA website.

## Fixing America's Surface Transportation (FAST) Act of 2015 | (Public Law 114-94)

The FAST Act is the first federal law in the last decade to provide long-term funding for surface transportation infrastructure planning and investment. This includes funding for highway and motor vehicle safety, public transportation, motor carrier safety, hazardous materials safety, rail, research, technology, statistics programs, and freight projects. The FAST Act includes provisions from MAP-21 and both supports and enhances these reforms, including making public involvement a hallmark of the planning process.

For more information, follow [this link](#) to FHWA website.

## Federal Regulations

### FHWA

#### Title 23 Code of Sections 109, 129, 134, 135

These sections outline the role of highways as defined in the United States Code. Specific focus includes federal aid highways, other highways, general provisions, highway safety, research/technology/education, and infrastructure finance.

**Section 109(h):** Ensures that possible adverse human and natural effects relating to any federally-aided system or project be considered and final decisions be made in the best overall public interest.

**Section 128:** Any state transportation department submitting plans for a federally-aided project or system is required to hold public hearings and to certify that those public hearings have been held. The focus of the public hearings should be to consider the economic and social effects of location, the impact on the environment, and consistency with the goals/objectives of the planning efforts (as defined earlier in the project development process) and the community.

**Section 134:** Requires public participation by interested parties in the development of statewide and metropolitan transportation planning.

**Section 135:** Requires public participation by interested parties in the development of statewide and nonmetropolitan transportation planning.

For more information, follow [this link](#) to FHWA website.

#### Title 23 Code of Section 450

This section outlines the current regulations of the National Highway Traffic Safety Administration and FHWA, USDOT issued under the CFR. Specific focus includes general management and administration, payment procedures, civil rights, national highway institute, planning and research, transportation infrastructure management, engineering and traffic operations, right-of-way and environment, public

transportation, highway safety, federal land highways, procedures and guidelines for state highway safety programs, transfer and sanction programs, incentive grant criteria (various), and various procedures for participating in and receiving information from the National Highway Traffic Safety Administration.

**Section 450.324:** In carrying out the statewide transportation planning process, including development of the LRTP and the STIP, the state shall develop and use a documented public involvement process that provides opportunities for public review and comment at key decision points.

## FTA

### 49 USC 5303 – Metropolitan Planning & 49 USC 5304 – Statewide Planning

This section provides funding and procedural requirements for multimodal transportation planning in metropolitan areas and states. Planning needs to be cooperative, continuous, and comprehensive, resulting in long-range plans and short-range programs reflecting transportation investment priorities. Federal planning funds are first apportioned to state DOTs. State DOTs then allocate planning funding to MPOs.

For more information, follow [this link](#) to FTA website.

## ALDOT Policies and Regulations

### Alabama Open Meetings Act | AL Code § 36-25A-1 (2016)

The new Open Meetings Act, which replaces the old "Sunshine Law," provides the public with greater access to their Alabama state and local government. This law guarantees that Alabama's citizens have open access to agencies, boards, commissions, and other governmental bodies which conduct the people's business.

State of Alabama: <https://www.openmeetings.alabama.gov/generalpublic/publicdefault.aspx>

(a) It is the policy of this state that the deliberative process of governmental bodies shall be open to the public during meetings as defined in Section 36-25A-2(6). Except for executive sessions permitted in Section 36-25A-7(a) or as otherwise expressly provided by other federal or state laws or statutes, all meetings of a governmental body shall be open to the public and no meetings of a governmental body may be held without providing notice pursuant to the requirements of Section 36-25A-3. No executive sessions are required by this chapter to be held under any circumstances. Serial meetings or electronic communications shall not be utilized to circumvent any of the provisions of this chapter. (b) This chapter shall be known and may be cited as the "Alabama Open Meetings Act."

ALDOT Open Records Request Form: <https://www.dot.state.al.us/pdf/AlabamaOpenRecordsRequestForm.pdf>





# APPENDIX C

# STAKEHOLDER SURVEY RESULTS SUMMARY



## Overview

A stakeholder outreach survey was conducted to understand how stakeholders throughout the State of Alabama utilize the ALDOT Public Involvement Plan. Thirty-eight (38) stakeholders responded to the survey, representing all fourteen (14) MPOs, all twelve (12) RPOs/RPCs, all five (5) ALDOT Regions, and two (2) FHWA staff.

The results from the stakeholder outreach survey are summarized below.

### What approaches (i.e., local social media, virtual public engagement, newsletters, etc.) have you used to conduct public outreach, both before and throughout the current pandemic situation?

Public notices are disseminated through newspaper ads, local social media, newsletters, direct e-mail, letters, flyers, roadway signs, television, radio, and postcard campaigns for public outreach both before & throughout the current pandemic situation. Virtual public meetings (i.e. Zoom and Microsoft Teams) and interactive online maps were added (to the above list) and used throughout the current pandemic situation.

### Do you maintain a social media page?

Most of the respondents have a Facebook page. Some use Twitter and Instagram.

Social Media Platform	Number of Mentions
Facebook	20
Twitter	10
Website	5
Instagram	4
Zoom	2
LinkedIn	1
WebEx	1
None	10

### What problems have you experienced with public involvement (including within your organization)?

The number one problem for all of the respondents was lack of participation.

### Do you have documented guidance on how to conduct your public involvement meetings? When and/or how often does the documented guidance get updated?

All of the respondents have either a Public Involvement Plan (PIP) or a Public Participation Plan (PPP). However, many of the plans have not been updated recently, while a few are updated on an annual basis.

### What key interest groups must be included in the stakeholder database (i.e., low income, minority groups, environmental, health & human service organizations, municipal associations, local officials, business leaders, research professionals, transportation planners, community leaders, etc.)?

The majority of respondents that conduct public outreach agreed that all of the key interest groups should be included in the stakeholder database.

### How do you measure successful public involvement or evaluate the public involvement process?

Some of the respondents had a very good evaluation process, while others had no evaluation process. A suggestion was made to set goals in public outreach and then track those goals. This can be different for each project.

### Do you have documented guidance on how to conduct your public involvement?



## Does your organization maintain a list of accessible meeting locations for your area? Have you used non-traditional meeting places and events?

Twenty (20) respondents said they have documented guidance on how to conduct public involvement and use either guidance from the ALDOT website, the ALDOT PIP, the PIP for the Environmental Process, or the MPO/RPO's own public participation plan.

Most respondents did not maintain a list of accessible meeting locations, some use local municipal governments which are always ADA compliant, and a few maintained lists of accessible meeting locations either in a personal database or in the MPO/RPO's public participation plan. Non-traditional meeting places mentioned by respondents include:

- ◆ Museums
- ◆ Town halls
- ◆ Virtual meetings
- ◆ Botanical gardens
- ◆ Bass Pro Shops meeting rooms
- ◆ Banks
- ◆ Five Rivers Resource Center
- ◆ Festivals
- ◆ Transit hubs
- ◆ Parks
- ◆ Fire stations
- ◆ Parking lots
- ◆ Utility services facilities
- ◆ Places of worship
- ◆ Schools
- ◆ Libraries

- ◆ Socially-distanced and outside
- ◆ Hybrid (virtual/in-person) meetings

## What problems have you experienced with public involvement (including within your organization)? How would you like to see these problems addressed? How can the public involvement process be improved?

Most respondents (19) cited lack of interest from the public as the number one problem experienced with public involvement. Since switching to virtual meetings, however, some respondents have turned to technology as a means to help the public involvement process occur "early and often," hoping it will attract and engage more people to participate in public meetings and provide input. Online social media and virtual public meeting platforms were cited seven (7) times as the ideal path forward to improve public involvement. One MPO mentioned that since the pandemic began, and they have switched to virtual public meetings, participation levels have increased.

As for problems to address, three (3) respondents cited issues related to the need for additional training to ensure that staff and personnel have the proper information to give the public when the need arises. Staff should also understand when to properly defer information requests to a higher authority or later date when more detailed information is available. Three (3) respondents cited issues with having consistent, adequate, ADA accessible meeting spaces with enough signage to properly direct visitors to the physical meeting location. Additionally, lack of a central location large enough for all necessary public meetings was deemed problematic since the constant moving of meeting locations causes confusion and inconsistent attendance.

## Please provide any additional comments you may have.

- ◆ There needs to be a more well-defined process for advertising and marketing an upcoming public involvement meeting. Options for gathering

public involvement should include online public involvement that doesn't require the public to attend an in-person event. There should be a written process for securing paid advertising for an upcoming public involvement (who purchases the ads, what should be included in the ad, and how to pay for the ads).

- ◆ ALDOT Transit needs to adopt new processes to reach out to the public and to conduct meetings that are current with today's media outlets.
- ◆ Sharing experiences, ideas, and methods throughout ALDOT regions could help in the improvement process for public involvement.
- ◆ Since 2019, and due to recent hiring changes, our RPO is re-examining how processes have been handled in the past and are seeking examples of more efficient and forward-thinking ways to handle these same processes in order to provide the maximum benefit of our services to our region.
- ◆ We are striving to make our information easier to understand for the general public. We have to remember that even our board members are not as familiar with our terminology as we are.
- ◆ This is slightly off topic. If an MPO is unable to meet for reasons beyond the MPO's control, what are the consequences for the items that would be adopted at that meeting? If a UPWP is unable to be adopted, can planning funds still be spent until the next meeting? If a Long-Range Plan is unable to be adopted, can projects still be added to the TIP until the next meeting? If a TIP resolution is unable to be adopted, can that project still make a letting? The answer might be different for a pandemic vs. a lack of quorum. Finally, does the MPO have to re-advertise if a meeting has to be canceled for any reason? These are questions that we would like to have access to when needed.



# APPENDIX D

## REFERENCES TO OTHER PLANS



## ALDOT Resources and Plans

1. [Long-Range Statewide Transportation Plan \(SWTP\) Fact Sheet](#)
2. [Statewide Transportation Improvement Program \(STIP\) Brochure](#)
3. [Title VI Goals & Accomplishment Report](#)
4. [Title VI Implementation Plan](#)
5. [Transit Section's State Management Plan](#)
6. [Public Involvement Plan for the Environmental Process](#)

## MPO & RPC/RPO PIPs

1. [Birmingham MPO \(Regional Planning Commission of Greater Birmingham\) 2014 Public Participation Plan](#)
2. [Calhoun Area MPO \(East Alabama RPDC\) 2019 Public Participation Plan for Transportation Planning](#)
3. [Columbus-Phenix City 2019-2022 Public Participation Plan](#)
4. [Eastern Shore MPO 2018 Public Participation Plan](#)
5. [Southeast Wiregrass Area MPO 2013 Public Participation Plan](#)
6. [Gadsden/Etowah MPO 2013 Public Participation Plan](#)
7. [Florida-Alabama TPO 2020 Public Participation Plan](#)
8. [Huntsville Metropolitan MPO 2018 Public Participation Plan](#)
9. [Mobile MPO \(South Alabama RPC\) 2021 Public Participation Plan](#)
10. [Montgomery MPO 2013 Public Participation Plan](#)
11. [Shoals Area MPO \(Northwest Alabama Council of Governments\) 2019 Public Participation Plan](#)

12. [Tuscaloosa Area MPO 2018 Public Involvement Plan](#)
13. [Auburn-Opelika MPO FY2020-2023 Public Participation Plan](#)
14. [Lee and Russell County RPO 2016 Public Involvement Plan](#)
15. [Southeast Alabama RPO 2008 Public Involvement Plan](#)
16. [North-Central Alabama RPO 2016 Public Participation Plan](#)





# APPENDIX E

# STATEWIDE TRANSPORTATION PLANS AND PROCESSES GUIDE



PLAN	LONG-RANGE STATEWIDE TRANSPORTATION PLAN (SWTP)		STATEWIDE TRANSPORTATION IMPROVEMENT PROGRAM (STIP) / TRANSPORTATION IMPROVEMENT PROGRAM (TIP)		PUBLIC INVOLVEMENT PLAN (PIP) / PUBLIC PARTICIPATION PLAN (PPP)	
	ALDOT	MPO	ALDOT	MPO	ALDOT	MPO
<b>Purpose</b>	Establish long term vision, goals, and objectives		List transportation projects that are financially constrained		Identify public outreach goals and strategies, and evaluation metrics	
<b>Update Frequency</b>	Updated every 4 years/ amendments as necessary		Updated every 4 years/ amendments as necessary		Updated as necessary	
<b>Engage Audience at Key Decision Points*</b>	Stakeholders & General Public		Stakeholders & General Public		Stakeholders & General Public	
<b>COMMENT PERIODS</b>						
<b>Full Update/ Amendments</b>	21-day period to provide comments (online services only)	As specified in each MPO's PPP	21-day period to provide comments (online services only)	As specified in each MPO's PPP	45-day public review (as required by federal law)	
<b>Applicable Federal Laws Reference</b>	23 CFR 450.210 (State); 49 USC 5304 (State) 23 CFR 450.316 (MPO); 49 USC 5303 (MPO)					

\*Stakeholder and general public engagement requirements are subject to change. Specific key decision points requiring stakeholder engagement may vary depending on the plan, type of update or revision, and current federal regulations.





# APPENDIX F

# ALDOT MEDIA RELATIONS AND COMMUNICATION CONTACTS



## Media and Community Relations Bureau

**Central Office: 1409 Coliseum Boulevard,  
Montgomery, Alabama 36110**

### **Tony Harris**

Bureau Chief and Government Relations Manager  
334.242.6552  
[harrist@dot.state.al.us](mailto:harrist@dot.state.al.us)

### **Allison Green**

Marketing and Communication Specialist, Drive Safe Alabama  
Coordinator  
334.353.6534  
[greena@dot.state.al.us](mailto:greena@dot.state.al.us)

### **Haley Ansley**

Public Information Officer  
334.242.6729  
[ansleyh@dot.state.al.us](mailto:ansleyh@dot.state.al.us)

### **Josh Philips**

Public Information Officer  
334.242.6730  
[phillipsjo@dot.state.al.us](mailto:phillipsjo@dot.state.al.us)

### **Amanda Deem**

Public Information Officer  
334.242.6963  
[deema@dot.state.al.us](mailto:deema@dot.state.al.us)

## Regional Public Information Officers

**North Region: 1525 Perimeter Parkway  
Huntsville, Alabama 35086**

### **Seth Burkett**

Public Information Officer  
256.505.4964  
[burketts@dot.state.al.us](mailto:burketts@dot.state.al.us)

**Southwest Region: 1701 I-65 West Service  
Road North Mobile, Alabama 36618**

### **Katelyn Turner**

Public Information Officer  
251.470.8375  
[turnerke@dot.state.al.us](mailto:turnerke@dot.state.al.us)

**West Central Region: 100 Marina Drive  
Tuscaloosa, Alabama 35406**

### **John McWilliams**

Public Information Officer  
205.562.3115  
[mcwilliamsj@dot.state.al.us](mailto:mcwilliamsj@dot.state.al.us)

**Southeast Region: 100 Capitol Commerce  
Boulevard, Building B, Suite 210,  
Montgomery, Alabama 36117**

### **Brantley Kirk**

Public Information Officer  
334.353.6862  
[kirkb@dot.state.al.us](mailto:kirkb@dot.state.al.us)

**East Central Region: 100 Corporate  
Parkway, Suite 450, Hoover, Alabama 35242**

### **Linda Crockett**

Public Information Officer  
205.327.4973  
[crockettl@dot.state.al.us](mailto:crockettl@dot.state.al.us)



# APPENDIX G

## SAMPLE FORMS AND OTHER DOCUMENT EXAMPLES



## Sample Public Notice

# ALABAMA 2040 STATEWIDE TRANSPORTATION PLAN

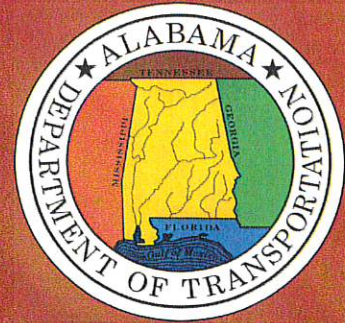
## PUBLIC & STAKEHOLDER MEETINGS

The Alabama Department of Transportation (ALDOT) is holding the second round of public and stakeholder meetings for the Statewide Transportation Plan (SWTP) update. The SWTP summarizes the current conditions of Alabama's transportation system and its needs and priorities for the next 25 years. It addresses all modes of travel for passengers and freight—roadways and bridges, transit, bicycle/pedestrian, rail, aviation, and waterways. It identifies system needs, evaluates investments in infrastructure and maintenance, and compares historic and anticipated funding levels against needs. The resulting plan establishes the programs, policies, and strategies that will be the focus of the State's efforts through 2040.

**Learn about the assessments and share your thoughts on Alabama's transportation priorities through 2040.**

**Open House 5:00-6:30 pm; Presentation at 5:30 pm**

- Mobile**      **Tuesday, April 4, 2017**  
ALDOT Southwest Region Office  
1701 I-65 W Service Rd N, Bldg T, Mobile 36618
- Montgomery**      **Tuesday, April 4, 2017**  
ALDOT Southeast Region Montgomery Office  
1525 Coliseum Blvd, Montgomery 36110
- Hoover**      **Thursday, April 6, 2017**  
ALDOT East Central Region Office  
100 Corporate Pkwy, Ste 450, Hoover 35242
- Huntsville**      **Thursday, April 13, 2017**  
Top of Alabama Regional Council of Gov't  
5075 Research Drive NW, Huntsville 35805
- Tuscaloosa**      **Tuesday, April 18, 2016**  
ALDOT West Central Region Training Center  
(Old Fire College)  
2015 McFarland Blvd East, Tuscaloosa 35404



**Meeting materials  
will present  
DRAFT policy  
recommendations  
and modal  
strategies, along  
with key findings  
from the needs  
assessment and  
funding analysis.**

**Come share your  
thoughts about  
Alabama's  
transportation  
priorities!**

**FOR MORE INFORMATION,  
PLEASE CONTACT:**

**ALDOT**

**(334) 242-6500 or**

**aldotstatewideplanning@  
dot.state.al.us**



## Sample Public Notice

### NOTICE OF PUBLIC MEETING

#### ALABAMA DEPARTMENT OF TRANSPORTATION

#### *DRAFT*

#### STATEWIDE TRANSPORTATION IMPROVEMENT PROGRAM – STIP

The Alabama Department of Transportation (ALDOT) will hold public meetings to gather input regarding the Statewide Transportation Improvement Program (STIP). The meetings is scheduled for:

**Wednesday, June 17, 2015  
East Central Region – Birmingham Area Office  
1020 Bankhead Highway – West  
Birmingham, Alabama 35204  
5:00pm to 7:00pm**

The ALDOT is seeking public comments on the proposed STIP, which includes a listing of specific transportation projects that will be funded during the next four years.

Each meeting will be held in an open house format. Displays and information, along with a short presentation, will be included to explain the requirements to have a STIP. ALDOT staff will be available to discuss planning efforts and answer questions.

Persons with disabilities should contact Birmingham Area Office, (205) 581-5725 (Mrs. Sandra F. P. Bonner) to request special assistance. Please make this request at least one week prior to the meeting and specify the type of assistance needed.

The *DRAFT* STIP 2016 – 2019 will be available for review at the Birmingham Area Office, and the District Offices in Oneonta and Calera.

Comments will be accepted until July 21, 2015, and should be forwarded to:

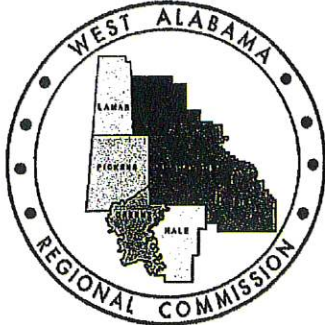
State Office Engineer  
Alabama Department of Transportation  
1409 Coliseum Blvd.  
Montgomery, Alabama 36110

OR:

Submit your comments electronically by going to ALDOT's web page: [www.dot.state.al.us](http://www.dot.state.al.us)

Click on: *DRAFT 2016-2019 Statewide Transportation Improvement Program*

# Sample News Release



## NEWS RELEASE

For Additional Information Contact:

Robert B. Lake, Executive Director  
West Alabama Regional Commission  
4200 Highway 69 North, Suite 1  
Northport, AL 35473  
(205) 333-2990 \* FAX (205) 333-2713

December 18, 2014

The West Alabama Rural Planning Organization (RPO) will hold six public meetings for the *Draft West Alabama Rural Planning Organization Public Involvement Plan (2015)*. The public meetings will be held at the following locations, dates, and times:

- A. Bibb County – January 26, 2015, 6:00 p.m. - Brent City Hall, 22 1st Street, Brent, AL
- B. Fayette County – January 20, 2015, 5:00 p.m. - Fayette County Commission Chamber, 103 1<sup>st</sup> Avenue NW, Fayette, AL
- C. Greene County – January 29, 2015, 2:00 p.m. - James C. Poole Library, 219 Prairie Avenue, Eutaw, AL
- D. Hale County – January 27, 2015, 5:00 p.m. - Bank of Moundville, 319 Market Street, Moundville, AL
- E. Lamar County - January 22, 2015, 6:00 p.m. - Lamar County Commission Chamber, 44690 Highway 17, Vernon, AL
- F. Pickens County – January 29, 2015, 9:00 a.m. - Pickens County Commission Chamber, 20 Phoenix Avenue, Carrollton, AL

The draft plan will be available for review from December 18, 2014 through February 8, 2015 at the West Alabama Regional Commission (WARC), 4200 Highway 69 North, Northport and at the WARC website (<http://warc.info/transportation-planning/west-alabama-rpo/documents>). Paper copies are also available by request.

The public meeting will include a formal review of the plan by the RPO staff and a question and answer session. Meeting attendees will be given an opportunity to complete comment forms.

The RPO is scheduled to adopt the plan at their February 13, 2015 meeting. Prior to adopting the plan, the RPO will review all comments from the public and make changes to the plan if warranted. If major revisions are required, the public will be given another opportunity to inspect the plan.

Comments can be submitted by postal mail (PIP 2010, West Alabama Regional Commission, P.O. Box 509, Northport, AL 35476), email ([david.norris@westal.org](mailto:david.norris@westal.org)), and FAX (205-333-2713). Comments will be accepted until February 8, 2015.

Anyone requiring special assistance to attend the meetings should contact the WARC no later than 48 hours prior to the meeting. For **special assistance** call the WARC at 333-2990, ext. 213.

-End-

C-2



# Sample Comment Form



Public and Stakeholder Meeting  
Information Sheet  
Alabama 2040 Statewide Transportation Plan (SWTP)  
April 2017

Welcome! Thank you for coming to the second round of SWTP meetings this evening. Please take your time viewing the displays placed around the room. Study Team members are available to answer your questions or provide additional information. A brief presentation will begin at 5:30 PM. A comment form is included in the handout materials. You may leave your completed form with a Study Team member tonight or submit it via email to the address noted on the form.

## **What is the Statewide Transportation Plan (SWTP)?**

*The SWTP is a long-range, macro-level assessment of the state's transportation system network. It:*

- Summarizes current transportation system conditions, and identifies needs and priorities for the next 25 years.
- Assesses all modes of passenger and freight transportation—roadways and bridges, transit, bicycle/pedestrian, rail, aviation, and waterways.
- Considers which modes are in place and where, as well as how they connect across the state and with each other.
- Reviews investments in infrastructure and maintenance, and compares them to historical and anticipated funding levels.

*The SWTP establishes the programs, policies, and strategies that will be the focus of the State's efforts through 2040.*

- It *does not* provide a detailed assessment of transportation conditions within one specific region or for one particular mode of travel. Those activities are carried out by urban and rural area regional organizations across the state or other bureaus within ALDOT.
- It also *does not* include a detailed listing of projects. The short-term State Transportation Improvement Program (STIP) provides a prioritized list of projects; it has a four-year horizon and is updated annually. *More information on the STIP can be found online at:*  
<https://cpmsapps.dot.state.al.us/OfficeEngineer/Plan/Statewide>.

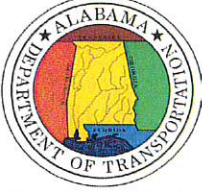
## **How and when can I review the Draft Plan document?**

*The draft Final Report for the SWTP will be available in May for public review and comment.* It will be posted under the "Information and Deliverables" section of the SWTP webpage at:

<http://www.dot.state.al.us/oeweb/statewideTransportationPlan.html>.

*If you provided your email address on the sign-in sheet tonight, you will be notified by email when the Draft Plan has been posted and is available for review.* If you do not have or use email, please feel free to provide your mailing address and we will send notification by US Mail.

# Sample Comment Form



Public and Stakeholder Meeting

Comment Form

Alabama 2040 Statewide Transportation Plan (SWTP)

April 2017

***Are there any topics you wanted to hear more information about?***

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***What programs, policies, and/or initiatives are of particular importance to you?***

*NOTE: The SWTP does not provide a listing of projects. Any project-specific comments will be forwarded to the appropriate ALDOT or local staff.*

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***Do you have any other comments, suggestions or guidance for us?***

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**Please give this form to any Study Team member present at today's meeting.**

*Forms and additional comments can also be submitted via email to:*

[aldotstatewideplanning@dot.state.al.us](mailto:aldotstatewideplanning@dot.state.al.us)

*View SWTP materials (and the Draft Plan when available) at:*

<http://www.dot.state.al.us/oeweb/statewideTransportationPlan.html>

**For more information, please contact:**

**ALDOT Office Engineer, Planning Studies at (334) 242-6500**





# Sample Newsletter

Spring 2020 Edition



## ROUNABOUTS

THE RPCGB QUARTERLY  
NEWSLETTER

### Welcome to the new RPCGB "Regional Roundabouts" newsletter!

Regional Roundabouts is a new quarterly e-newsletter from the Regional Planning Commission of Greater Birmingham (RPCGB). It is our way to share what we are doing for the member municipalities in the Greater Birmingham Region. In each newsletter we will highlight some of the exciting projects and initiatives the

RPCGB is currently conducting, and let you know how you can take advantage of the many services that the RPCGB can offer!

## Economic Development

### RPCGB Annual Meeting is Postponed

Due to the COVID-19 outbreak and CDC guidelines, the RPCGB Annual Meeting that was scheduled for April 18 at Vulcan Park has been postponed. We will advertise a new date when it is safe to hold larger gatherings. Please follow the [news](#) section of our website to stay up to date, and if you have questions please contact Jesslan Wilson at [jwilson@rpcgb.org](mailto:jwilson@rpcgb.org) or 205-264-8417.

### RPCGB writes successful grant for Birmingham-Jefferson Port Authority

RPCGB's Economic Development department assisted the Birmingham-Jefferson County Port Authority (BJCPA) pursue and write an Inland Port Grant from the Alabama Department of Economic and Community Affairs (ADECA). The awarded project will consist of constructing a 10,000-square-foot warehouse to increase storage capacity at the Lynn Port Terminal on the Black Warrior River. The \$840,000 grant was announced February 24<sup>th</sup>. Click [here](#) to view the full announcement.

### Current grant and funding opportunities

#### Economic Development Administration:

- *Public Works & Economic Adjustment Assistance Programs*- Due Date: Ongoing
- *Disaster Supplemental Assistance*- Due Date: Ongoing
- *Planning & Technical Assistance Programs*- Due Date: Ongoing

#### Alabama Department of Economic & Community Affairs:

- *Community Development Block Grants (CDBG)*- Due Date: June 12<sup>th</sup>, 2020

#### U.S. Department of Agriculture-Rural Development:

- *Community Facilities Technical Assistance and Training Program*- Due Date: April 30<sup>th</sup>, 2020

### Does your community or organization need grant assistance?

If your community or organization needs grant writing or application assistance, RPCGB is here to help. For questions about funding application assistance, please contact Jesslan Wilson, Economic Development Specialist, at [jwilson@rpcgb.org](mailto:jwilson@rpcgb.org) or 205-264-8417.

## Community Planning

The RPCGB Community Planning department provides community planning services for the member governments within the following counties: Blount, Chilton, Jefferson, Shelby, St. Clair and Walker Counties. The Community Planning department develops long-range plans to direct growth and



# Sample Newsletter



## TRANSPORTATION QUARTERLY



Volume 23 Issue 2

A publication of the Metropolitan Planning Organization (MPO)

Spring 2018

### News & Notes: MPO Commuter Study and Public Review

#### What is a Commuter Study?

At the March MPO meeting, the Board approved funding for a Regional Commuter Study. How are Commuter Studies done? What type of Commuter Study will the Huntsville-Area MPO choose? Commuter studies identify existing and future commuter travel patterns. The Journey to Work numbers currently used in many MPO planning documents do not include federal employees. One out of every five workers in the MPO Study Area are federal employees.



Photo courtesy of Jeronimo Nisa and DecaturDaily.com

Anonymous cell phone data, like what's used to measure traffic congestion on Google Maps, might be used to more accurately visualize where our regional commuters are going and where they're coming from. The MPO's commuter study will inform an update to the MPO's Congestion Management Process, as well as the upcoming 2020-2023 TIP and the Year 2045 Transportation Plan. No new funding was necessary for this study. ALDOT informed the MPO that \$51,800 of rollover planning funds were available from FY 2016 that could be used to fund such a study. The MPO approved this funding strategy and an RFP will go out this summer.

#### Public Review Needed!

The MPO's Public Participation Plan (PPP) will be open for public comment for 45 days: **April 11th through May 29th**. To see a physical copy of this plan, here's where to find it in the wild:

1. **Huntsville Planning Department**, City Hall, 2nd Floor, 308 Fountain Circle, Huntsville, AL 35801
2. **Huntsville-Madison County Public Library, Main Branch**, Second Floor Information Desk, 915 Monroe Street, Huntsville, AL 35801.

Of course, you can also find the plan on the MPO's website: [www.huntsvillempo.org](http://www.huntsvillempo.org)

You can also request your own copy to review by calling 256-427-5188.

**Huntsville Area  
Metropolitan Planning  
Organization**

**Huntsville Area  
Metropolitan Planning  
Organization**

⇒ Bridges: replacements and new additions

⇒ **Bicycle Lanes, Bicycle Plans, Bicycle options**

⇒ **Intersections: Plus additional lanes**

⇒ **Greenways: Plus more pedestrian options**

⇒ Road Maintenance and Beautification

⇒ **Interstates: Lane additions, on/off ramps**

⇒ **Public Transit: TRAM, Handi-ride and Shuttle**

⇒ **Redstone Arsenal and Research Park**



# Sample Public Involvement Summary Report

## Public Involvement Report

for the

### Statewide Transportation Improvement Program (STIP) Fiscal Years 2020-2023

### West Alabama Rural Planning Organization (WARPO)

This document is posted at  
<https://www.warc.info/rpo-documents>

For information regarding this document, please contact  
David A. Norris, Transportation Planning Director  
West Alabama Regional Commission  
4200 Highway 69 North  
P.O. Box 509  
Northport, AL 35476-0509  
Telephone: 205-333-2990  
FAX: 205-333-2713  
Email: [david.norris@westal.org](mailto:david.norris@westal.org)

Date compiled: July 2019

For language assistance email [david.norris@westal.org](mailto:david.norris@westal.org), subject line: "Interpreter".  
Por idioma asistencia email [david.norris@westal.org](mailto:david.norris@westal.org), línea de asunto: "Interpreter".

This document was financed in part by the US Department of Transportation, Federal Highway Administration, Federal Transit Administration, Alabama Department of Transportation, and local governments, and prepared for the WARPO by the West Alabama Regional Commission, in partial fulfillment of Task 3 of the WARPO Work Program - Fiscal Year 2019 and requirements set forth in 23 USC 134 and 135 (as amended by the FAST Act, Sections 1201 and 1202, December 4, 2015

i

Note: A full template for the Sample Public Involvement Summary Report is available upon request.

# Sample Public Involvement Summary Report

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- Appendix C – Newspaper Articles and Notices ..... 47

Note: A full template for the Sample Public Involvement Summary Report is available upon request.





# Sample Public Involvement Summary Report

## 3.0 Attendance and Information Distribution

### 3.1 Summary

A total of 81 people attended the eight public meetings held in the West Alabama RPO (WARPO) planning area. The total includes local residents, elected officials, and government employees. The sign-in sheets for the meetings are provided in Appendix B.

Date	County	City/Town	Total	Local Attendance	ALDOT Staff	WARPO Staff
May 13, 2019	Bibb	Brent	12	9	2	1
May 14, 2019	Hale	Moundville	8	5	2	1
May 15, 2019	Pickens	Carrollton	7	4	2	1
May 15, 2019	Greene	Eutaw	7	4	2	1
May 16, 2019	Lamar	Vernon	10	7	2	1
May 28, 2019	Fayette	Fayette	6	3	2	1
May 30, 2019	Tuscaloosa	Northport	17	14	1	2
May 31, 2019	Tuscaloosa	Northport	14	10	2	2
<b>Totals</b>			<b>81</b>	<b>56</b>	<b>15</b>	<b>10</b>

The meetings followed the same format. At the start of each meeting, the staff from the ALDOT Office Engineer Bureau, the Local Transportation Bureau, or the West Central Region described the STIP and the STIP development process. The second part of the meetings included a detailed review of the projects by the ALDOT West Central Region staff. Each meeting ended with a question and answer session, and a chance to complete the provided comment forms. The WARPO staff did not receive any comment forms during or after the public meetings.

### 3.2 Items Provided

Attendees of the meetings received a package of material and a comment form. The package included a description of the STIP, a key to the highway project list, the highway project list for the ALDOT West Central Region, a key to the transit project list, the transit project list for the ALDOT West Central Region, a summary of the ALDOT performance measures, and the memorandum of understanding for STIP revisions.

Two display maps were also provided. One map was produced by the ALDOT Office Engineer Bureau and showed the location of the ALDOT sponsored STIP projects in the entire state. The WARPO staff presented a second map that displayed the location of all projects in the WARPO planning area.

# Sample Public Involvement Effectiveness Form



## Public Meeting Evaluation Questionnaire

To ensure better engagement of the communities in the transportation planning process, staff is requesting feedback on outreach efforts. Please provide insight for improving engagement efforts by completing the following questionnaire.

1. Do you feel the meeting was held at a convenient time?

Yes                       No

If no, what would be a more convenient time to hold a meeting?

\_\_\_\_\_

2. Do you feel the meeting was held in a convenient location?

Yes                       No

If no, what where is a more convenient location to hold a meeting?

\_\_\_\_\_

3. Were the techniques used for obtaining input valuable?

Yes                       No

If no, what would be a more valuable way of obtaining input?

\_\_\_\_\_

4. Were the techniques used for conveying project information valuable?

Yes                       No

If no, what would be a more valuable way of conveying project information?

\_\_\_\_\_

5. Would you like to receive meeting notifications and updates regarding transportation?

Yes                       No

If yes, please provide your email: \_\_\_\_\_

**Thank you for your input!**



# APPENDIX H

## CONTACT INFORMATION FOR MPOS, RPCS, AND RPOS





## Metropolitan Planning Organizations (MPOs)

<b>Auburn-Opelika MPO</b>		<b>Florida-Alabama TPO</b>	
Executive Director:	Lisa Sandt	Executive Director:	Austin Mount
E-mail:	lsandt@lrcog.com	E-mail:	austin.mount@wfrpc.org
Contact Person:	Daniel Wyatt	Contact Person:	Mary Beth Washnock
E-mail:	dwyatt@lrcog.com	E-mail:	marybeth.washnock@wfrpc.org
Phone:	334-528-9214 / 334-549-5223	Phone:	850-332-7976 / 800-226-8914
<b>Birmingham MPO</b>		<b>Gadsden-Etowah MPO</b>	
Executive Director:	Charles Ball	Director of Planning:	Steve Partridge
E-mail:	cball@rpcgb.org	E-mail:	spartridgel@cityofgadsden.com
Contact Person:	Scott Tillman	Contact Person:	Steve Partridge
E-mail:	stillman@rpcgb.org	E-mail:	spartridge@cityofgadsden.com
Phone:	205-264-8420 / 205-264-8441	Phone:	256-549-4520 / 256-549-4519
<b>Calhoun Area MPO</b>		<b>Huntsville Area MPO</b>	
Executive Director:	Lori Corley	MPO Coordinator:	Dennis Madsen
E-mail:	lori.corley@earpdc.org	E-mail:	dennis.madsen@huntsvilleal.gov
Contact Person:	Elizabeth (Libby) Messick	Contact Person:	Shontrill Lowe
E-mail:	elizabeth.messick@earpdc.org	E-mail:	shontrill.lowe@huntsvilleal.gov
Phone:	256-237-6741	Phone:	256-427-5100 / 256-427-5117
<b>Columbus-Phenix City MPO</b>		<b>Mobile MPO</b>	
Director of Planning:	Rick Jones	Executive Director:	John F. (Rickey) Rhodes
E-mail:	rjones@columbusga.org	E-mail:	rrhodes@sarpc.org
Contact Person:	Lynda Temples	Contact Person:	Kevin Harrison
E-mail:	ltemples@columbusga.org	E-mail:	kharrison@sarpc.org
Phone:	706-653-4421	Phone:	251-433-6541 / 251-706-4667
<b>Decatur MPO</b>		<b>Montgomery MPO</b>	
Director of Transp. Planning:	Dewayne Hellums	Director of Planning:	Robert Smith
E-mail:	dhellums@decatur-al.gov	E-mail:	rsmith@montgomeryal.gov
Contact Person:	Lee Terry	Contact Person:	Kindell Anderson
E-mail:	jlterry@decatur-al.gov	E-mail:	kanderson@montgomeryal.gov
Phone:	256-341-4716	Phone:	334-241-2712 / 334-241-2249
<b>Eastern Shore MPO</b>		<b>Shoals Area MPO</b>	
MPO Coordinator:	Sarah Hart Sislak	Director:	Keith Jones
E-mail:	shart@baldwincountyal.gov	E-mail:	kjones@nwsc.edu
Contact Person:	Sarah Hart Sislak	Contact Person:	Joseph Holt
E-mail:	shart@baldwincountyal.gov	E-mail:	jholt@nacolg.org
Phone:	251-990-4640	Phone:	256-389-0513



<b>Southeast Wiregrass Area MPO</b>		<b>Tuscaloosa Area MPO</b>	
Director of Planning & Dev.:	Todd McDonald	Executive Director:	Dennis Stripling
E-mail:	tmcDonald@dothan.org	E-mail:	dennis.stripling@westal.org
Contact Person:	Reginald Franklin	Contact Person:	Zane Davis
E-mail:	rbfranklin@dothan.org	E-mail:	zane.davis@westal.org
Phone:	334-615-4414	Phone:	205-333-2290, ext. 227

## Regional/Rural Planning Commissions/Organizations (RPCs/RPOs)

<b>Alabama-Tombigbee Regional Commission</b>		<b>North-Central Alabama Regional Council of Governments</b>	
Executive Director:	John Clyde Riggs	Executive Director:	Robby Cantrell
E-mail:	jcriggs50@gmail.com	E-mail:	robbycantrell@adss.alabama.gov
Contact Person:	Bain Henderson	Contact Person:	Daniel Yurcaba
E-mail:	bain.henderson@atrc.net	E-mail:	danielyurcaba@adss.alabama.gov
Phone:	334-682-4234	Phone:	256-355-4515
<b>Central Alabama Reg. Planning &amp; Dev. Commission</b>		<b>Northwest Alabama Council of Local Governments</b>	
Executive Director:	Greg Clark	Executive Director:	Keith Jones
E-mail:	gclark@carpdc.com	E-mail:	kjones@nacolg.org
Contact Person:	Marshall Anderson	Contact Person:	Joseph Holt
E-mail:	manderson@carpdc.com	E-mail:	jholt@nacolg.org
Phone:	334-262-4300	Phone:	256-389-0513
<b>East Alabama Reg. Planning &amp; Dev. Commission</b>		<b>Regional Planning Commission of Greater Birmingham</b>	
Executive Director:	Lori Corley	Executive Director:	Charles Ball
E-mail:	lori.corley@earpdc.org	E-mail:	cball@rpcgb.org
Contact Person:	Lattisha Royal	Contact Person:	Scott Tillman
E-mail:	lattisha.royal@earpdc.org	E-mail:	stillman@rpcgb.org
Phone:	256-237-6741	Phone:	205-264-8420 / 205-264-8441
<b>Lee-Russell Council of Governments</b>		<b>South Alabama Regional Planning Commission</b>	
Executive Director:	Lisa Sandt	Executive Director:	John F. (Rickey) Rhodes
E-mail:	lsandt@lrcog.com	E-mail:	rrhodes@sarpc.org
Contact Person:	Daniel Wyatt	Contact Person:	Tom Piper
E-mail:	dwyatt@lrcog.com	E-mail:	tpiper@sarpc.org
Phone:	334-749-5264	Phone:	251-706-4676
<b>South Central Alabama Development Commission</b>		<b>Top of Alabama Regional Council of Governments</b>	
Executive Director:	Tyson Howard	Executive Director:	Michelle Jordan
E-mail:	tyson.howard@adss.alabama.gov	E-mail:	michelle.jordan@tarcog.us
Contact Person:	Tracy Delaney	Contact Person:	Sara James

E-mail:	dcs@roadrunner.com	E-mail:	sara.james@tarcog.us
Phone:	334-244-6903 / 334-590-0655	Phone:	256-830-0818 / 256-716-2485
<b>Southeast Alabama Reg. Planning &amp; Dev. Commission</b>		<b>West Alabama Regional Commission</b>	
Executive Director:	Scott Farmer	Executive Director:	Dennis Stripling
E-mail:	sfarmer@searpdc.org	E-mail:	dennis.stripling@westal.org
Contact Person:	Andrew Windham	Contact Person:	Zane Davis
E-mail:	awindham@searpdc.org	E-mail:	zane.davis@westal.org
Phone:	334-794-4093, ext. 1409	Phone:	205-333-2290, ext. 227





# APPENDIX I

# NON-METROPOLITAN LOCAL OFFICIALS COOPERATIVE PROCESS DIRECTIVE



**GUIDELINES FOR OPERATION**

**SUBJECT: STATEWIDE PLANNING CONSULTATION PROCESS**

In accordance with 23 CFR 450 as amended and applicable Federal Highway Administration/ Federal Transit Administration (FHWA/FTA) planning guidelines, the Alabama Department of Transportation (ALDOT) adopts the following to provide for cooperative planning with Non-Metropolitan local officials and consulting planning with the Tribal Governments and the Department of Interior in the Alabama Statewide Transportation Planning Process (ASTPP), including the initial development of the Long-Range Statewide Transportation Plan (LRSTP) and the Statewide Transportation Improvement Program (STIP):

1. Prior to the periodic development, review, and/or revisions to the LRSTP and STIP, ALDOT's Bureau of Office Engineer (BOE) will provide notification of the proposed action and request comments/suggestions.
  - a. The notification process to Non-Metropolitan local officials will consist of, at a minimum, that the BOE will provide information regarding the proposed action to the Rural Planning Organizations (RPOs). The RPOs will then distribute the information to their members and coordinate responses for submission to ALDOT. In addition, ALDOT will provide notification to the following organizations: Association of County Commissioners/Engineers of Alabama, Alabama League of Municipalities, and the Alabama Association of Regional Council. These agencies will be requested to advise their membership of the proposed action, coordinate their constituents' response, and return to ALDOT within the requested time period.
  - b. The notification process to Tribal Governments will consist of, at a minimum, that the BOE will provide information regarding the proposed action to the Alabama Indian Affairs Commission. This agency will be asked to coordinate their constituents' response and return to ALDOT within the requested time period. In addition, ALDOT will provide notification to all Native American Tribes recognized by the State.
  - c. The notification process to the Department of Interior will consist of, at a minimum, that the BOE will provide information regarding the proposed action to this agency for their participation in LRSTP/STIP updates.
2. ALDOT will review and consider the comments/suggestions received before developing the draft LRSTP/STIP and commencing with the public involvement process.
3. After the adoption of the LRSTP and STIP, ALDOT will advise those agencies listed in the above item #1 of the comments received and the resultant actions. For any proposed modification not adopted, ALDOT will provide its reasoning.
4. ALDOT will, as required by 23 CFR 450 or applicable FHWA/FTA planning regulations, solicit comments regarding the effectiveness of this cooperative process for notification to Non-Metropolitan local officials.

RECOMMENDED FOR APPROVAL: \_\_\_\_\_  
*Joe H. Denton Jr.*  
BUREAU CHIEF

APPROVAL: \_\_\_\_\_  
*William N. ...*  
CHIEF ENGINEER

APPROVAL: \_\_\_\_\_  
*James R. ...*  
TRANSPORTATION DIRECTOR

May 7, 2021  
DATE



**This Public Involvement Plan update was prepared for the Alabama Department of Transportation by Michael Baker International and Shumer Consulting.**





## REVIEW OF STATE DIRECTIVES

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The procedure for reviewing State Directives (in coordination with the major program areas representatives) includes the review of Title VI and related requirements. Examples of compliance with this requirement is the review of directives, contracts and the language therein to ensure that the appropriate nondiscrimination terminology is included in each contract.

Directives and procedures that may be reviewed include, but are not limited to:

- Procedures for dissemination of information on opportunities of inclusion to participate in bidding of contract for minorities
- Procedures for prequalification of minority contractors and contractor selection
- Procedures for selection of University research contracts
- Procedures for consultant selection and the monitoring of Title VI compliance
- Procedures for advertising, identifying and selection of fee appraiser/attorneys for nondiscrimination.

When the Title VI Coordinator recognizes a failure to meet the requirements of Title VI and/or other related statutes, the respective program area administrator is notified of the deficiency and provided recommendations that will ensure Title VI compliance.



## COMPLIANCE AND ENFORCEMENT PROCEDURES

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The Title VI Program is required to conduct compliance reviews of Department programs and its sub-recipients. The purpose of the compliance review process is to determine if the Department's Emphasis Programs and Other Services Programs and sub-recipients are meeting Title VI compliance requirements.

The Corrective Action regulations 23 CFR 200.9 (4) (b) (15); 23 CFR 200.11; 49 CFR 21.13 states that a proactive compliance of Title VI requires the Department to take prompt action to achieve voluntary compliance.

When the Department program or sub-recipients is found in non-compliance, the Department has three remedies.

1. When voluntary acknowledgment of non-compliance is determined, an agreement to acquire assistance is initiated.
2. When voluntary compliance efforts are unsuccessful, a refusal to grant or continue the assistance is initiated.
3. When voluntary compliance efforts are unsuccessful, the violation is referred to FHWA and FTA, who will forward the violation(s) to the U.S. Department of Justice for judicial recommendation.

When entering into contract with ALDOT, if an applicant fails to file an adequate assurance or exhibits a breach in contract, notice should be given on the nature of non-compliance area and identify the possible harm and an immediate action made to secure voluntary corrections.

# APPENDIX



## Departamento de Transporte de Alabama

### Declaración de Política del Título VI

El Departamento de Transporte de Alabama (Alabama Department of Transportation, ALDOT), también conocido como “Destinatario”, garantiza que por motivos de raza, color, país de origen, discapacidad, edad o sexo, ninguna persona quedará excluida de participar en, ni se le negarán los beneficios de, ni será objeto de ninguna manera de discriminación ni represalias de conformidad con cualquier programa o actividad administrada por el ALDOT, tal como se establece en el Título VI de la Ley de Derechos Civiles de 1964 y la Ley de Restablecimiento de los Derechos Civiles de 1987. El ALDOT se asegura además de que se hará todo lo posible por garantizar la no discriminación en todos sus programas y actividades, independientemente de si tienen financiamiento federal o no.

**Asistencia financiera federal** significa la subvención o subsidio de dinero. Sin embargo, la asistencia financiera federal también puede ser de una manera no monetaria, por ejemplo: uso o alquiler de terrenos o bienes federales por debajo del valor del mercado, capacitación federal, préstamo de personal federal, subsidios y otros acuerdos con la intención de brindar asistencia.

**Destinatario** significa cualquier estado, subdivisión política de cualquier estado, instrumento de cualquier estado o subdivisión política, cualquier agencia privada, institución u organización, u otro ente o cualquier persona, en cualquier estado, a quien se otorga asistencia financiera federal, directamente o a través de otro destinatario, por cualquier programa, incluido cualquier sucesor, designado o cesionario de dicha persona, pero dicho término no incluye algún beneficiario final de conformidad con cualquiera de esos programas.

**Subdestinatario** significa cualquier ente o persona que recibe de manera indirecta asistencia financiera federal con el fin de implementar algún programa o actividad que los somete a las obligaciones de cumplimiento del Título VI. Un subdestinatario puede ser, entre otros, algún condado municipal, organización de planificación metropolitana, instituto universitario o universidad, contratista o subadjudicatario.

[Firma ilegible]  
John R. Cooper  
Director de Transporte

08 abr 2011  
Fecha

# Estado de Alabama

## Departamento de Transporte de Alabama

1409 Coliseum Boulevard  
Montgomery, AL 36110

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8 de abril de 2011

### PROCEDIMIENTOS DE QUEJA CONTRA DISCRIMINACIÓN DEL TÍTULO VI

#### **General**

El procedimiento de queja contra discriminación del Título VI tiene el propósito de brindar a las personas agraviadas un proceso para presentar quejas de discriminación relacionadas con los programas, actividades o servicios con asistencia financiera federal administrados por el Departamento de Transporte de Alabama (Alabama Department of Transportation, ALDOT) o sus subdestinatarios, asesores y contratistas. El Título VI de la Ley de Derechos Civiles de 1964 establece que: "Ninguna persona en los Estados Unidos, por motivo de raza, color, origen nacional, discapacidad, edad o sexo, quedará excluida de participar en, ni le negarán los beneficios de, ni será objeto de discriminación a través de ningún programa o actividad que reciba asistencia financiera federal".

#### **Propósito**

El propósito es describir el procedimiento utilizado por el ALDOT para tramitar quejas de discriminación de conformidad con el Título VI de la Ley de Derechos Civiles de 1964, en su forma enmendada, a la vez que garantiza el debido proceso para las quejas. Este proceso no le impide al ALDOT intentar resolver las quejas de manera informal. Este proceso no niega el derecho del reclamante para presentar quejas formales ante otras agencias federales o a contratar un abogado particular por quejas que alegan discriminación.

#### **Autoridades**

El Título VI y el Título VII de la Ley de Derechos Civiles de 1964, la Oficina de Igualdad Laboral (Equal Employment Office, EEO) estatal y Garantías de no discriminación exigidas por la Ley Federal de Ayuda en las Carreteras de 1968, Sección 22, la Ley de Derechos Civiles de 1987; la Ley de Discriminación por Edad de 1975; 23 Código de Estados Unidos (United States Code, USC) 140, 23 Código de Reglamentos Federales (Code of Federal Regulations, CFR) Parte 230; 23 CFR 635.117(d) y (e); la Administración Federal de Carreteras (Federal Highway Administration, FHWA) 1273; las órdenes 4710.8 de la FHWA y la Notificación 4720.7(g) de la FHWA, así como la Ley de Estadounidenses con Discapacidades (Americans with Disabilities Act, ADA) de 1990.

#### **Investigación de quejas**

El personal del Título VI de ALDOT investigará las quejas del Título VI presentadas contra los subdestinatarios, asesores y contratistas. El Jefe de la Oficina de Cumplimiento y Oportunidades Comerciales designará a un investigador para evaluar la queja.



Las quejas en las que se nombre al ALDOT como el demandado deberán enviarse a la FHWA. Los demandantes también pueden presentar una queja en la Oficina Central de Derechos Civiles (Headquarters of Civil Rights Office, HCRO), el Departamento de Justicia (Department of Justice, DOJ), o el Departamento de Transporte de Estados Unidos (United States Department of Transportation, USDOT). La decisión definitiva sobre algún incumplimiento o no es una decisión federal que no puede ser delegada.

Las quejas que no constituyan alguna discriminación (es decir, de raza, color, origen nacional, sexo, edad o discapacidad) o incumplimiento de asuntos de justicia ambiental serán rechazadas.

### **Procedimientos**

- A.** Los alegatos de discriminación deben basarse en la raza, color, religión, origen nacional, sexo, edad o discapacidad. Cualquier persona que considere que ha sido objeto de represalias por participar en un proceso de queja por discriminación también puede presentar una queja.
- B.** El demandante o representante pueden presentar la queja y debe entregarse por escrito a más tardar ciento ochenta (180) días después de la fecha del presunto acto de discriminación, o conocimiento de la presunta discriminación, o donde se ha producido una línea continua de conducta, la fecha en la que cesó esa conducta o el caso más reciente de la conducta.
- C.** Las quejas del Título VI deben entregarse por escrito y llevar la firma de la persona agraviada o su representante. La queja debe incluir el nombre, dirección y número telefónico del demandante, así como el motivo de la queja, el subdestinatario, asesor o contratista implicado y el lugar. Las quejas pueden ser enviadas por fax, correo electrónico o vía telefónica.

**Dirección postal:** Alabama Department of Transportation  
Compliance and Business Opportunities Bureau  
1409 Coliseum Boulevard, Room N-101  
Montgomery, AL 36110

**Número de fax:** 334-263-7586

**Correo electrónico:** hamptonc@dot.state.al.us

- D.** En un plazo de diez (10) días después de recibir la queja, el ALDOT acusará el recibo de dicha queja al enviar un correo certificado al demandante. La notificación incluirá el nombre del investigador y le informará a la persona sobre sus derechos de conformidad con cualquier estatuto relacionado.
- E.** En un plazo de sesenta (60) días después de recibir la queja, el ALDOT llevará a cabo la investigación y enviará una copia de la queja, el informe de la investigación y la decisión del ALDOT a la FHWA. Si se necesita más tiempo para la investigación, el ALDOT puede solicitarlo a la FHWA.

F. Después de que el investigador designado finalice la investigación, el Jefe de la Oficina de Cumplimiento y Oportunidades Comerciales evaluará el(los) resultado(s) del informe solicitará información adicional, si es necesario. El Jefe de la Oficina de Cumplimiento y Oportunidades Comerciales elaborará un resumen de la investigación y lo presentará ante el Director del ALDOT. El Director del ALDOT elaborará una declaración que muestre el(los) resultado(s) recomendado(s) del ALDOT. El Director enviará copias de su decisión propuesta a la FHWA para la decisión definitiva de la agencia.

### **Rechazos**

El ALDOT recomendará, por escrito, a la FHWA el rechazo de las quejas por los siguientes motivos:

- (1) Se presenta la queja a destiempo;
- (2) La queja no alega un motivo cubierto por las autoridades legales;
- (3) La queja no alega ningún perjuicio con respecto a los programas o estatutos cubiertos;
- (4) El demandante solicita el retiro de la queja;
- (5) El demandante no responde a las solicitudes reiteradas de información adicional necesaria para tramitar la queja;
- (6) No es posible localizar al demandante después de realizar intentos razonables;
- (7) El demandante no acepta una solución razonable. Nota: la FHWA u otra agencia federal adecuada determinan lo que es razonable;
- (8) El demandante emprendió medidas legales en algún Tribunal Federal de Distrito con el mismo fundamento y asunto implicados en la queja;
- (9) El mismo alegato de queja fue presentado ante otra agencia federal, estatal o local.

Si se necesita información adicional, no dude en comunicarse a través del 334-242-6659.

[Firma ilegible]

13 sep 2012

John R. Cooper

Fecha

Director de Transporte



# Alabama Department of Transportation Title VI Complaint Form

**Available in the following locations:**

- Agency website;
- Hard copy in the Central office and Region offices;
- Available in appropriate language for LEP populations, meeting the Safe Harbor Threshold.

<b>Section I:</b>		
Name:		
Address:		
Telephone (Home):	Telephone (Work):	
Email Address:		
<b>Section II:</b>		
Are you filing this complaint on your own behalf?	Yes*	No
*If you answered "yes" to this question, go to Section III.		
If not, please supply the name and relationship of the person for whom you are complaining:		
Please explain why you have filed for a third party:		
Please confirm that you have obtained the permission of the aggrieved party if you are filing on behalf of a third party.	Yes	No
<b>Section III:</b>		
I believe the discrimination I experienced was based on (check all that apply):		
<input type="checkbox"/> Race <input type="checkbox"/> Color <input type="checkbox"/> National Origin <input type="checkbox"/> Other _____		
Date of Alleged Discrimination (Month, Day, Year): _____		
Explain as clearly as possible what happened and why you believe you were discriminated against. Describe all persons who were involved. Include the name and contact information of the person(s) who discriminated against you (if known) as well as names and contact information of any witnesses. If more space is needed, please use the back of this form.		
<b>Section IV</b>		
Have you previously filed a Title VI complaint with this agency?	Yes	No
<b>Section V</b>		
Have you filed this complaint with any other Federal, State, or local agency, or with any Federal or State court?		
<input type="checkbox"/> Yes <input type="checkbox"/> No		
If yes, check all that apply:		
<input type="checkbox"/> Federal Agency: _____		
<input type="checkbox"/> Federal Court _____	<input type="checkbox"/> State Agency _____	
<input type="checkbox"/> State Court _____	<input type="checkbox"/> Local Agency _____	

Please provide information about a contact person at the agency/court where the complaint was filed.
Name:
Title:
Agency:
Address:
Telephone:
<b>Section VI</b>
Name of person, company or agency the complaint is against:
Contact person:
Title:
Telephone number:

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

Signature and date required below:

\_\_\_\_\_  
Signature Date

Please submit this form to address below, or email this form to:

**Attn: Title VI Coordinator**  
**Alabama Department of Transportation**  
**Compliance and Business Opportunities Bureau**  
**1409 Coliseum Blvd.**  
**Montgomery, Alabama 36011**  
[hamptonc@dot.state.al.us](mailto:hamptonc@dot.state.al.us)



**Departamento de Transporte de Alabama**  
**Formulario de Queja del Título VI**

**Disponible en los siguientes lugares:**

- Sitio web de la agencia;
- Copia impresa en la oficina central y las oficinas regionales;
- Disponible en el idioma adecuado para las poblaciones con nivel limitado de inglés (Limited English Proficiency, LEP), cumpliendo con el Umbral de Puerto Seguro.

<b>Sección I:</b>		
Nombre:		
Dirección:		
Teléfono (hogar):	Teléfono (oficina):	
Dirección de correo electrónico:		
<b>Sección II:</b>		
¿Usted presenta esta queja por su cuenta?	Sí*	No
*Si respondió de manera afirmativa esta pregunta, vaya a la Sección III.		
En caso negativo, suministre el nombre y la relación de la persona sobre quien presenta la queja:		
Explique por qué presenta la queja en representación de un tercero:		
Confirme que obtuvo autorización de la parte agraviada si está presentando la queja en representación de un tercero.	Sí	No
<b>Sección III:</b>		
Creo que la discriminación de la que fui objeto se basó en (marque todas las opciones que correspondan):		
<input type="checkbox"/> Raza <input type="checkbox"/> Color <input type="checkbox"/> Origen nacional <input type="checkbox"/> Otro: _____		
Fecha de la presunta discriminación (mes, día, año): _____		
Explique con la mayor claridad posible lo que sucedió y por qué cree que fue objeto de discriminación. Describa a todas las personas implicadas. Incluya el nombre y la información de contacto de la(s) persona(s) que lo discriminaron (si los conoce), así como los nombres e información de contacto de cualquier testigo. Si necesita más espacio, use el dorso del presente formulario.		
<b>Sección IV:</b>		
¿Ha presentado anteriormente una queja del Título VI ante esta agencia?	Sí	No

<b>Sección V:</b>	
¿Presentó esta queja ante cualquier otra agencia federal, estatal o local, o ante cualquier tribunal federal o estatal?	
<input type="checkbox"/> Sí	<input type="checkbox"/> No
En caso afirmativo, marque todas las opciones que correspondan:	
<input type="checkbox"/> Agencia federal: _____	<input type="checkbox"/> Agencia estatal: _____
<input type="checkbox"/> Tribunal federal: _____	<input type="checkbox"/> Agencia local: _____
<input type="checkbox"/> Tribunal estatal: _____	<input type="checkbox"/> Agencia local: _____
Suministre información sobre la persona de contacto en la agencia/tribunal donde presentó la queja.	
Nombre:	
Cargo:	
Agencia:	
Dirección:	
Teléfono:	
<b>Sección VI:</b>	
Nombre de la persona, empresa o agencia objeto de la queja:	
Persona de contacto:	
Cargo:	
Número telefónico:	

Usted puede adjuntar cualquier documento u otra información que considere pertinente para su queja.

Firma y fecha obligatorias a continuación:

\_\_\_\_\_

Firma Fecha

Entregue este formulario a la dirección a continuación o envíelo por correo electrónico a:

**Attn: Title VI Coordinator**  
**Alabama Department of Transportation**  
**Compliance and Business Opportunities Bureau**  
**1409 Coliseum Blvd.**  
**Montgomery, Alabama 36011**  
[hamptonc@dot.state.al.us](mailto:hamptonc@dot.state.al.us)