LONG-RANGE TRANSPORTATION PLANNING IN UTAH: EXECUTIVE SUMMARY

A SYNTHESIS OF FINDINGS AND RECOMMENDATIONS FROM PHASE I AND PHASE II OF THE 2003 UTAH DEPARTMENT OF TRANSPORTATION (UDOT) BENCHMARK STUDY

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Long-Range Transportation Planning in Utah: Executive Summary

A Synthesis of Findings and Recommendations from Phase I and Phase II of the 2003 Utah Department of Transportation (UDOT) Benchmark Study

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I. Project Overview

This report presents findings of a two-phase research project conducted by Utah State University (USU) for the Utah Department of Transportation (UDOT). The research is a joint effort of the Institute for Outdoor Recreation and Tourism and the Natural Resource and Environmental Policy Program in the Department of Environment and Society. The purpose of the project is to provide social science data useful in the development of UDOT’s statewide 2030 Long-Range Transportation Plan and to provide baseline data for tracking trends over time.

In Phase I of the study we conducted a general population survey of Utah residents. This phase involved administering a 10-minute telephone interview covering five topics: 1) current transportation uses and concerns; 2) future preferences for transportation alternatives; 3) familiarity with UDOT; 4) past involvement in UDOT public participation; and, 5) demographic and stakeholder group characteristics. A total of 2,561 interviews were completed with a response rate of 60%. At the 95% confidence level, results are accurate to +/-2 points for the state and +/-4 points for each UDOT Region. Findings are summarized for the whole state, for each of the four UDOT Regions (see Figure 1), and for key demographic, attitudinal, and stakeholder subgroups.

In Phase II we conducted semi-structured, face-to-face interviews and focus group sessions with representatives of 40 stakeholder groups identified in cooperation with UDOT planning staff. This included people inside UDOT (17 interviews; 4 focus groups) and external to the organization (14 interviews; 5 focus groups). A total of 98 participants were involved. Internal participants included UDOT Commissioners, administrators, public information coordinators, and regional administrators and maintenance staff. External participants included regional transportation and planning organization directors, natural resource and environmental agency staff, and representatives of four key customer groups: persons with disabilities, bicyclists, environmentalists, and advocates for persons with low incomes. Questions in Phase II were designed to solicit input on UDOT’s image and public involvement and partnership efforts, the role of external groups and partnerships in transportation planning and decision making, UDOT’s organization and culture, and specific long-range planning needs.

Phase I and Phase II were designed to compliment one another since they yielded different types of data. The purpose of Phase II was to provide in-depth, detailed information from people familiar with transportation planning to supplement the broad-based overview assessment from the general public conducted under Phase I. The more easily quantified results from Phase I were analyzed statistically while the more qualitative results from Phase II were analyzed using content analysis of texts from interview and focus group transcripts. Together, these data sources provide valuable insights into the public’s and transportation community’s views on UDOT and transportation planning in the state.
II. Results and Recommendations

This summary integrates the results of both study phases around six key themes that emerged from Phase II. Each section also contains specific recommendations based on stakeholder input (italicized in the text), the assessment of the USU research team (bullet items at the end of each section), or both.

II. A. Challenges Involved in Transportation Planning in Utah

Most Utahns believe transportation is very important for quality of life. The social and political context in which transportation planning and projects occur is complex and changing rapidly. Utah is experiencing rapid growth, urban sprawl, and increasing tourism. Citizens expect both expanded system capacity and increased transportation alternatives. The picture is further complicated by the increasing legal requirements for meeting environmental and social justice concerns. Furthermore, people within the transportation community feared funding levels would not keep pace with the expanded responsibilities, and UDOT will be expected to do more with less in the coming decades.

Based on the results of the Phase I telephone survey, the general public does not see the need for a major overhaul of the UDOT mission. Utahns are generally satisfied with the transportation system, highway conditions, and the existing mix of highways versus other types of transportation. Concerns throughout the state primarily involve construction, maintenance, and safety and, in northern Utah, congestion, public transportation, and air pollution were also mentioned. Transportation costs, general environmental quality, accessibility for people with disabilities, and bicycle, pedestrian, and recreation opportunities are important concerns for specific stakeholder groups, but these are secondary concerns of the general public, especially in southern Utah (Region 4). The special stakeholder concerns cannot be discounted, however. About 7% of Utah
households have at least one family member who has special transportation needs, over 30% of all Utah adults bike or walk for transportation purposes at least once a week, and UDOT must comply with federal legal obligations to address environmental issues and the special needs of certain user groups.

In theory, an interconnected, multi-modal transportation system can be designed to meet the needs of the public and special stakeholder groups, but the challenges to developing and building such a system are profound. Blending statewide needs with local political and economic realities is perhaps the greatest of the challenges facing UDOT. The transportation system is a basic infrastructure aspect of land-use planning, and ideally it should be systematically designed before development occurs. This would increase efficiency and available options, and reduce long-term costs and inconvenience for both state and local levels of government. This rarely happens, however. Protecting transportation corridors is fraught with political controversy and economic development pressures. There is little coordination between state agencies and local entities involved in zoning, land-use permitting, and infrastructure development. “Turf” battles between UDOT and “sister” transportation and planning agencies are not uncommon. Local and regional officials claim that UDOT is not fully responsive to local needs, and UDOT officials claim they are often caught off guard by local land-use decisions. In the past, cooperation between transportation providers and other governmental, private sector, and non-profit entities has been uneven at best.

**Recommendations**

Addressing these challenges will be difficult and perhaps frustrating, and it is apparent there is no “magic bullet.” In general, there needs to be a paradigm shift to create a multi-modal transportation system in Utah. This will require funding and staffing, which may further deplete resources in the short run but should save time and money in the long run. Many of the UDOT leadership changes of the last three years appear to be positive for providing leadership on these issues. Other recommendations include:

- More emphasis should be placed on long-range planning and planning tools that help predict future needs and provide opportunities to share information with other agencies involved in transportation planning, transportation stakeholder groups, and the general public.

- Transportation planning needs to be more flexible so it can respond and adapt to unexpected changes that are results of the rapidly changing context within which it occurs.

- Greater coordination between transportation planning, land use planning, and natural resource planning needs to occur. More emphasis can be placed on processes for working together in partnerships with other agencies, local cities and counties, and private organizations.

- Predictability and transparency need to be the hallmark of planning and the
II. B. Coordination and Leadership in Transportation Planning

Nearly all of the Phase II participants felt there is a need for an interconnected and multi-modal transportation system in Utah. The coordination of transportation providers was recognized as the most critical element for providing a system that integrates various forms of transportation, meets the needs of diverse users and stakeholders, and uses limited resources efficiently and equitably. Opinions varied, however, on how this coordination should be facilitated and who should exercise leadership. Regarding leadership, most people said UDOT should be at least a key player. Some people suggested UDOT should be the leader, others thought another (new) state agency should take on this function, and a few people thought UDOT’s powers should be expanded by increasing its funding flexibility and zoning power, and having it assume some of the transportation-related functions of other entities.

Most people, however, especially those outside UDOT, were cautious about centralizing transportation planning and preferred various functions to remain decentralized because this was perceived as the way to best stay in touch with local needs. But this would require much better coordination and collaboration among transportation providers and stakeholders. People thought UDOT’s coordination role could be achieved through better communication, partnership arrangements, and cost sharing agreements. A few participants thought coordination could best be achieved with a general Transportation Commission that oversaw all of the transportation agencies, which would remain independent.

In general, UDOT was lauded for recent coordination efforts. Examples cited were the UDOT and Utah Transit Authority’s (UTA) collaboration on TRAX and the 2002 Winter Olympics effort, and the Joint Transportation Planning Committee that includes UDOT, UTA, the Wasatch Front Regional Commission, and the Mountainland Association of Governments. However, a few participants cautioned that the sense of cooperation may be slipping, and building and expanding on these recent successes is important.

Recommendations

Coordinating the various entities involved in developing and operating different parts of Utah’s transportation system is the most critical element in meeting future needs and making a paradigm shift toward a multi-modal transportation system. We can only make some general recommendations in this regard:

- UDOT is in an excellent position to exercise leadership of an inter-agency coordination effort because of its resources and state-wide presence, but it must overcome mistrust that still lingers among some customer groups as a result of past actions. This means that UDOT must be collaborative in terms of its external relationships with other entities in the transportation community, and major decisions that would affect the current structure of transportation functions should
be reached through consensus.

- A detailed study of the pros and cons of other state transportation decision-making processes and organizational structures would be useful for providing examples of alternative ways to facilitate coordination between transportation agencies. An independent group should conduct this study on behalf of all transportation entities in Utah that would jointly define the scope of the review. This would enhance the acceptability and usefulness of its findings.

II. C. Engaging Citizens in Transportation Planning and Project Implementation

As an indicator of the importance of transportation in Utah, the phone survey found that 70% of all Utah adults feel they are familiar with UDOT, and over one-fifth have participated in public involvement activities related to UDOT. Despite these numbers, UDOT officials told us during Phase I of the project that their biggest public involvement challenge is actually getting people to participate; most meetings attract very few participants or are dominated by a few vocal participants. External participants questioned whether UDOT was sincere in its public involvement efforts, whether it actually uses the results, and whether it tries to avoid controversy. While this was a dominant theme in customer focus groups, the perception is not universal. In the telephone survey, we found two-thirds of public involvement participants were satisfied that their input was actually used. Taken together, the results suggest UDOT reaches a lot of people with its outreach efforts, but that public participation is sometimes viewed as selective and the effectiveness of UDOT’s public involvement is variable. Getting representative input is a major concern of UDOT personnel, while having a real impact was the major concern of external customers, planners, and resource agency representatives.

Public involvement recommendations offered during the Phase II meetings were varied but they reflect the published literature. Public input needs to be early, frequent, representative, and taken seriously. To engage citizens more effectively, their input needs to be solicited in ways that facilitate two-way communication and provide real opportunities to influence decisions. Specific suggestions included: use of multiple methods; use of small, personal types of public forums (e.g., small group meetings and workshops) instead of formal hearings; UDOT staff participating in meetings held by other groups; greater use of new technologies and electronic forms of communication (especially the Internet); and, being more proactive in contacting the general public and soliciting people’s opinions (e.g., surveys; door-to-door contact; extending personal invitations). Most of our personal contacts, both inside and outside the agency, said that UDOT has been increasing its public involvement efforts in recent years, but that more effort is needed.

Most stakeholders, both internal and external to the agency, also thought public involvement was important for educational purposes, but they differed on the reasons for educational efforts. Internal participants thought the public and state legislators needed to be educated about challenges UDOT confronts and the need for funding and political
support for its efforts. External participants thought the public needed to be educated in order to provide more enlightened input, and that UDOT needed to be educated about the needs of various constituencies and more innovative ways to do things.

During the Phase I telephone survey, participants who were not satisfied that their input was being used gave reasons that were not just related to the decision outcomes, but also to the public involvement procedures that were used. We also found that, in addition to mass media, people would like to receive information about UDOT from newsletters and the Internet, and provide input via mail questionnaires, the Internet, and telephone. Public meetings (the most common form of public involvement) and even personal meetings, ranked quite low as preferred ways to receive and provide information.

**Recommendations**

The study participants feel there should be more public involvement, and many of their specific recommendations reflect the literature, that public involvement should be early, often, have real impact, etc. However in addition to their recommendations, we also recommend that:

- The different results from Phase I versus Phase II concerning satisfaction with public involvement effort suggests that more targeted, focused, and on-going public involvement efforts should be conducted with clearly identified and involved transportation stakeholder groups. While broad-based public involvement remains important, dealing more directly with the concerns, needs, and conflicts that certain transportation stakeholders bring forward would be a productive and efficient way to target more intensive public involvement efforts.

- Greater emphasis should be placed on “shared learning,” where the public, the Department staff, and other political entities are exposed to, use, and respond to the opinions and values of other stakeholders.

- The results reflect the literature on “procedural justice.” Most agencies focus on soliciting ideas or hearing the opinions of the public, but the specific procedures used to obtain the input can be even more important. To meet procedural justice concerns, an agency must show it is listening, it must respond to comments and explain how and why specific input was or was not used and, most importantly, people must feel they were treated fairly.

- Most people are not activists and prefer convenient and often impersonal ways to provide input (e.g., questionnaires and the Internet).

- Since public meetings are often required by law, these results indicate a need to diversify outreach efforts and go beyond the minimum legal requirements or highly stylized (or “cookbook”) approaches to public involvement.

- These recommendations, taken as a whole, suggest that public involvement
should be iterative, responsive to public input, and tailored to meet the needs of varied constituents. A variety of approaches need to be used.

II. D. Public Image and UDOT’s Relationships with other Entities

While the general public’s image of UDOT and the state’s transportation system is fairly positive, their perceptions of trust and agency responsiveness are mixed. The phone survey found that about 70% of Utahns have a “moderate” level of trust in UDOT to develop fair transportation plans, and a similar percentage rated UDOT’s responsiveness to the public as “fair” or “good,” which is not bad but suggests there is room for improvement.

Most Phase II participants said UDOT’s public image and its relationships with other entities have improved in recent years. UDOT is implementing new thinking, creating a different atmosphere internally, and exhibiting a greater openness and sensitivity externally. These changes were attributed, in part, to administrative changes, hiring public involvement coordinators, the Olympic experience, and the “Context Sensitive Solutions” initiative. Some external stakeholder group participants were less positive about the perceived changes in UDOT’s image, and gave credit for these changes to lawsuits and scrutiny from the courts and Federal Highway Commission.

During Phase II we found a number of image concerns the agency needs to address. UDOT must still deal with its history of being perceived by others as an “engineer-dominated organization” focused solely on road-building and characterized by a “narrow, expert-oriented perspective.” Some participants, both inside and outside the agency, said UDOT is still perceived as a “highways department” and noted it will be hard for UDOT to evolve organizationally and incorporate multi-modal perspectives. Another image problem we found is that most citizens probably do not know the difference between UDOT and UTA. Interview participants also noted that the quality of external relationships is variable and dependent upon particular individuals, specific projects, or the administrative level within UDOT. Relationship building seems to be better at higher administrative or policy levels of the Department, but it does not always filter down. Stakeholder groups also discussed their concerns with UDOT contractors. They suggest contractors need more oversight because they think these contractors are more interested in completing construction projects and less interested in designing to meet longer-term planning needs or complying with federal laws like the Americans with Disabilities Act (ADA) and the National Environmental Policy Act (NEPA).

The results also illustrate there are significant differences in the views of internal and external participants regarding UDOT’s image. Insiders have a more favorable image, special interest stakeholders have negative opinions, and the opinion of the general public and most outside agency professionals is mixed. There are also significant differences of opinion regarding the availability and flexibility of transportation funding. Outside planning and agency representatives, including some who have experience working for UDOT, believe there is more flexibility for using funding for collaboration and implementing more innovative transportation approaches than UDOT officials suggest.
The perception exists that constraints on UDOT’s use of funding are not just legal, but that there are also internal agency barriers that are more discretionary. This was most evident in discussions about the Legacy Highway planning effort. Insiders thought Legacy Highway planning had been done well within the highway decision space that UDOT operates in, while many outsiders were quite critical that alternative transportation options were not fully considered. Many people we spoke with outside the agency felt decisions were predetermined and that creative options were eliminated without real consideration. These factors negatively impact the agency’s image and reduce the likelihood of future collaborations—outside entities may first look for alternative political routes to accomplish their goals rather than partnering with UDOT.

Participants’ suggestions on ways to continue fostering positive relationships with other entities included: more information sharing; consistent follow-through when UDOT employees interact with external entities and the public; and more coordination on resource utilization, particularly funding. They noted that open and honest communication, sincerity, and trust are key factors.

**Recommendations**

- Increase public involvement or outreach staff and provide additional training for other UDOT employees to increase the general public relations skills of the entire UDOT workforce. External stakeholders form opinions of UDOT based upon each and every interaction they may have with someone from the Department.

- When possible, provide for greater consistency in external relationships by providing for better staff transitions internally, in order to better “hand-off” situational responsibility between staff.

- Conduct periodic independently-administered surveys and interviews to assess UDOT’s effectiveness and progress in transportation planning, coordination with other transportation entities, and public involvement efforts.

- Develop and disseminate information regarding project funding availability, uses, and constraints. Coordinate the development of these materials with other transportation agencies and stakeholders.

**II. E. Changing Organizational Structure, Culture, and Leadership**

People internal to UDOT said positive changes had occurred in the Department’s structure and functioning in the last three years, but they noted there is still a need for more internal integration, effective and timely communication, and balance between centralization and decentralization within the Department. In particular, some UDOT employees thought the Planning Division needed to be better integrated with other divisions, and that the construction and maintenance portions of the Department need to work more closely together. Others noted that regional and state offices need to coordinate better, but regional offices should be the main liaisons with local entities.
because they better understand local needs and concerns. Most internal participants were well aware of their own history, of how UDOT is perceived by people outside the Department (as a road engineering agency), and of the internal changes that are occurring. They often commented that change will not be easy or fast because it involves a deeply ingrained agency culture that has generational aspects to it, but improving communication with both internal and external stakeholders and taking meaningful actions that effect change are key elements.

Interview participants indicated UDOT’s main organizational challenges relate to the highway system reaching capacity, maintaining existing infrastructure while growing the system, being stretched thin financially and in terms of employee responsibilities and work loads, and losing well-trained employees to the private sector. Of special concern for employees was the fairness of status and pay differentials for construction versus maintenance work, and of training and advancement, especially related to academic training versus the acquisition and enhancement of practical, job-related skills. Many people think there is a disconnect between the types of training the Department requires for salary increases and promotion, and the actual job requirements. While there is no perfect system, fairness and predictability are important. External participants identified personnel turnover (not knowing who to contact, getting mixed messages, and the like) and the lack of environmental expertise as key organizational problems. Employee training will become even more important as the agency moves toward a more integrated transportation system, more diverse job responsibilities, and the use of more advanced technology.

In general, UDOT employees expressed great pride in their work as well as frustration with inadequate resources, such as time and money, which sometimes limit their capabilities. The new leadership is perceived quite positively and is thought to have the capability to institute change and tackle many of the Department’s challenges.

Recommendations

Many of the concerns expressed by UDOT employees were related to the need for predictability, fairness, and training. In times of organizational change, special attention needs to be paid to the effects of that change on staff so that they can be part of the change and not end up resisting it. Paying attention to the opinions and concerns of UDOT staff and to internal modes of functioning is as important as responding to the influence of external stakeholders and economic and political factors. Some specific suggestions include:

- Coordination and collaboration need to be the hallmarks of relationships within UDOT, especially in regards to the interaction between the main office and the regional offices and in regards to employees conducting different functions within the Department.

- Recognize the contribution that all employees make to fulfilling the Department’s mission and combat the tendency for non-engineering jobs to be perceived as
having lower status than engineering jobs.

- Offer a diversity of job tracks and provide clear and unambiguous guidelines related to educational and training requirements and promotion and reimbursement potential in the different job tracks. Expand and clarify the role of technical training and educational opportunities for job advancement.

- Recognize that predictability and change also have psychological effects on people, and consider various ways to institute change in a positive and effective ways in order to reduce stress and anxiety that it may cause for employees. Offer health and counseling programs to help staff adjust to change when and if necessary.

- Conduct a study or assessment on the need for improving organizational learning and internal communications, learning and working in teams, and other work redesign issues and use appropriate consultant expertise to help effect changes as needed.

**II. F. Needs of Long-Range Transportation Plan**

Most people who participated in the Phase II interviews feel the process used to develop the plan is as important as the content of the plan. Many feel the plan should be a document that can provide strategic direction but at the same time be “out ahead of development.” The plan needs to be flexible over time with frequent reviews and updates. Participants also thought the plan should pay close attention to the role of alternative forms of transportation, should take into account land-use and transportation planning perspectives, and should be integrated with the planning efforts undertaken by other transportation providers and by land management agencies. In particular, integrating UDOT, UTA, and Metropolitan Planning Organization (MPO) plans was mentioned quite often, as was the need to coordinate long-term planning with the need for shorter-term flexibility. The sequencing of corridor acquisition, environmental impact assessments, and NEPA analyses were noted as other important issues that need to be addressed. The importance of increasing the use of innovative transportation planning programs, such as the Corridor Preservation Program, was noted by participants with regional planning responsibilities.

As noted in the “Challenges” section above (II. A.), the general public does not see a need for a major overhaul of UDOT’s mission, but demands for expanding capacity and increasing diversity and flexibility are occurring simultaneously. Public demands are such that the quality and service that UDOT has delivered in the past and diversifying the transportation system and the options it provides will both be expected in the future. Funding, however, is likely to remain relatively constant. The plan will need to help lay the groundwork for increasing innovative transportation solutions through organizational change, and it should lay the foundation for more flexibility and fairness in funding options and greater transparency and collaboration with customers and
partners than has occurred previously in UDOT’s history. We have one general suggestion to make about the plan:

- The Long-Range Transportation Plan should not appear to be solely an engineering document or a comprehensive list of transportation projects. The plan needs to incorporate elements that address the process by which UDOT intends to coordinate with other transportation entities and with the general public to provide more transportation options and build a more inter-modal transportation system. The Long-Range Transportation Plan is a chance for UDOT to exercise leadership through articulating a future vision and committing itself to certain actions that will help fulfill that vision.

III. Conclusions

No public mandate exists for UDOT to drastically change its current mission or general course of action. There are, however, expanding preferences, increasing demands, and an increasing number of federal and state mandates to which UDOT needs to be responsive. A strong perception exists among special interest groups and agency collaborators that UDOT needs to focus less on highways and more on being a partner in developing a multi-modal transportation system.

No consensus emerged on what big-picture organizational changes are needed for the future. At a minimum, better coordination, cooperation, information sharing, and planning between transportation providers, collaborators, and the public are needed to transition Utah’s transportation system to be more multi-modal and interconnected. At some level, there must be more centralization of transportation planning and operations, but the actual structure of that centralization is likely to be very contentious. Due to its size, funding, image, political clout, and engineering and operations expertise, UDOT will most likely play a key role in determining the transportation organization structure of the future. But ironically, for all the same reasons, UDOT is also viewed skeptically by some stakeholders outside the agency. The centralization of transportation organizations and functions within UDOT would be controversial, and conversely, dividing up UDOT functions among other agencies would likely decrease efficiency and increase costs. So, the form of coordination among transportation providers is a key issue for the next 20 years.

To complicate matters further, diversity among the UDOT Regions suggests flexibility will be needed. Region 2 is a highly urban region with a relatively concentrated population and expanding development. Region 4 is a very large, dispersed, and generally rural region that is heavily influenced by periodic and seasonal recreational travel. Regions 1 and 3 are a combination of urban and rural, with suburban and exurban development expanding the influence of the more urbanized areas. Transportation planning needs to be sensitive to this very diverse and rapidly changing population pattern. Clear and unambiguous principles for project prioritization and for agency flexibility and innovation will be needed in the future.
There were a couple of recommendations most study participants agreed upon to help move the agency toward the future. Increased use of partnerships, collaboration, and public involvement were all common themes. Much improvement seems to have occurred in the last three or four years, but most observers feel even more emphasis on these modes of operation will be needed in the future. Other areas where there has been less improvement involve the need for greater flexibility in the use of funding (to meet both transit and highway needs) and reducing political and economic barriers to transportation infrastructure development that is out ahead of growth and development. UDOT, county and local political entities, planning organizations, and the State Legislature all must share some of the blame for coordination problems in the past. Federal mandates have also muddied the waters, but these now seem to provide some of the impetus for moving ahead. Perhaps a review of the transportation organizations and policies in states that have similar challenges and experiences as Utah would provide some valuable insights.

UDOT is at an organizational crossroad; how the agency responds to the challenges before it in the next 10 to 20 years will have a significant effect on its image and effectiveness, and on the quality of life for both UDOT employees and the citizens of Utah. The 2002 Olympic experience and the development of TRAX have provided some positive momentum; now it is up to Utah transportation providers to continue and expand the coordination and partnership experiences to help move the system into the 21st Century. According to most observers, both inside and outside the Department, the current UDOT leadership has made positive strides in these areas, but the journey has just begun.

IV. Acknowledgments

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V. Full Reports

The Executive Summary and Final Reports from Phases I and Phase II of this project may be found on the websites for the Utah Department of Transportation (www.udot.utah.gov), USU’s Institute for Outdoor Recreation and Tourism (www.cnr.usu.edu/iort), and USU’s Natural Resource and Environmental Policy Program (www.cnr.usu.edu/policy). The report titles are:
