

# An Empirical Model with Environmental Considerations in Highway Alignment Optimization

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## Abstract

Highway Alignment Optimization (HAO) process is a complex combinatorial optimization problem in which several conflicting factors, such as highway costs, user preferences, and environmentally sensitive factors will have to be simultaneously considered. In previous works, single level and bi-level optimization approaches have been developed to optimize three-dimensional highway alignments. One drawback of previous approaches is that environmental factors, such as vehicular emissions were not adequately considered in conjunction with other factors (such as user preferences and highway costs) in the optimization process. This paper builds upon our previous works and proposes two separate approaches for considering the environmental emissions in the highway alignment optimization process. The first approach involves a separate analysis of user's and decision maker's preferences in which a conceptual formulation of various environmental factors are presented. In the second approach, a novel tri-level optimization framework is proposed for optimizing highway alignments. At the upper level, optimization is performed using the traditional criteria of cost minimization. At the intermediate level, total systems emission is calculated. Finally, at the lower level, the user equilibrium traffic flow is optimized. The developed approaches are illustrated through case study examples. The proposed approaches will be beneficial for designing highway alignments while considering environmental emissions. Additional refinement to the formulation and sensitivity analyses can be undertaken in future works.

Key-words: highway alignment optimization, bi-level optimization, tri-level optimization, highway cost, user cost, environmental emission.

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## 27 **Introduction**

28 Road alignment optimization problem is to find the most economical road alternative connecting two  
29 given end points based on topography, soil conditions, socioeconomic factors and environmental impacts,  
30 while satisfying a set of design and operational constraints. Because of the complexity of this problem, in  
31 traditional road alignment optimization various alternatives need to be evaluated in order to determine the  
32 most promising one. Since the number of alternatives connecting two given end points is infinite, a  
33 manual method may arrive at a merely satisfactory solution rather than a near optimal one. Such road  
34 alignment optimization problems have attracted much research interest over the past three decades.

35 Many studies (Steenbrink, 1974; Trietsch, 1987; Jong et al. 2000; Fwa et al. 2002; Jong and  
36 Schonfeld 2003; Jha and Schonfeld 2004; Chen and Yang 2004; Gao et al. 2005; Cheng and Lee 2006;  
37 Kang et al 2007; Lee et al. 2009; Kang et al. 2009) have proposed various mathematical methods for  
38 solving highway network design and route optimization problems. However, most models and proposed  
39 methods found in the literature are limited to alignment optimization and geometric design of highways.  
40 Very few studies (e.g., Maji and Jha 2011, Kang et al. 2010) have considered the impact of new road on  
41 Level of Service (LOS) of the original road network. But actually, as for the new road, it is not only an  
42 isolated transportation facility, but also obviously a component of a road network. Thus, it is valuable that  
43 the effect of new road on original road network can be considered in road alignment optimization.

44 Various mathematical methods, such as dynamic programming, numerical search, and linear  
45 programming have been employed to solve network optimization in earlier literature. Most methods are  
46 devoted to optimizing either the horizontal alignment or the vertical alignment. However, along with the  
47 rapid development of computer and information technology, Geographic Information System (GIS) and  
48 digital spatial data have been widely applied recently. Many new methods based on GIS have been put  
49 forward. Jong and Schonfeld (2003) have developed an evolutionary model for simultaneously optimizing  
50 three-dimensional highway alignments. The model emphasizes the application and realization of Genetic  
51 Algorithm (GA) in highway alignment optimization. Jha (2003) developed a criteria-based decision  
52 support system based on GIS for selecting highway alignments. In addition, Jha and Schonfeld (2004)  
53 have developed an alignment optimization model based on GIS and GA. In general, the characteristics of  
54 recent studies are listed as follows: (1) The models are developed based on a GIS; (2) The models employ  
55 GA as a solution method. (3) The models emphasize to optimize simultaneously three-dimensional road  
56 alignment; (4) In the selection process, a number of factors, such as user costs (cost of vehicle operation,  
57 travel time cost, accident cost, etc.), supplier costs (earthwork cost, construction cost, etc.) and  
58 environmental costs are introduced in the model to judge the alternatives.

## 59 **Study Objective**

60 Although some methods perform well in certain aspects, all are limited in the factors that they consider.  
61 We find no previous model that jointly evaluates traffic and environmental impacts of the new highway as  
62 well as optimizes highway location, construction cost, and horizontal and vertical profiles. This study  
63 integrates all these factors in optimizing highway alignments. Finding new highways that best improve an  
64 existing roadway system can be described as a leader-follower game in which the system designers (i.e.,  
65 highway planners and designers) are leaders and the highway users (i.e., motorists) who can freely choose  
66 their paths are the followers. In this process the system designers can influence but not control the route  
67 choice behavior of highway users. The system designers try to find an economical path that minimizes the  
68 total construction cost, while considering geometric design and geographical constraints. However, the

69 traffic flow is determined by user decisions which can be approximated by the user equilibrium principle.  
 70 To realistically represent such characteristics in the highway route optimization process, a recent paper  
 71 (Kang et al. 2010) proposed a bi-level optimization method. In that method, the user preferences were  
 72 separated from the traditional cost minimization problem.

73 Since environmental considerations are key to planning and designing highways, this paper offers  
 74 a significant departure from previous methods of considering environmental sensitivities. In previous  
 75 methods, a user defined penalty was imposed (see for example, Jha and Schonfeld 2004) to keep the  
 76 candidate alignments from crossing through environmentally sensitive regions. The recurring  
 77 environmental pollutions, such as noise and air pollution were not comprehensively formulated and  
 78 considered in the optimization process (see for example, Jha and Kang 2009; and Jha and Kim 2006).

## 79 **Methodology**

### 80 *Separate Analysis of User and Decision Maker to Incorporate Environmental Emission in* 81 *Highway Alignment Optimization*

82 The idea of considering environmental emission due to vehicular traffic in the highway alignment  
 83 optimization process was realized by the second and third authors in some of their recent preliminary  
 84 works (see for example, Jha et al., 2011). One approach is to present a modified equilibrium traffic  
 85 assignment model which minimizes air, noise and water pollutants derived from Vehicular traffic and its  
 86 surroundings. This approach is illustrated in Figure 1.

87 The conceptual formulation of the proposed assignment model can be expressed as:

$$\begin{aligned}
 & \text{Minimize } Z \\
 & = \begin{cases} \sum_a \int_0^{x_a} t_a(x_a) dx_a & \text{for User Optimum based on Travel Time (case 1)} \\ \sum_a c_a(x_a, u_a, l_a, d_a, w_a, r_a) & \text{for Decision Maker Objective based on Cost (case 2)} \end{cases} \quad (1)
 \end{aligned}$$

88 where

89  $c_a(x_a, u_a, l_a, d_a, w_a, r_a) = \text{Air pollution} + \text{Noise pollution} + \text{Water pollution} + \text{Travel time cost}$

90  $A = \text{Arc(index)set of a given highway network; } a \in A$

91  $x_a = \text{Flow on arc } a; \mathbf{x} = (\dots, x_a, \dots)$

92  $t_a = \text{Travel time on arc } a; \mathbf{t} = (\dots, t_a, \dots)$

93  $u_a = \text{Land - use where arc } a \text{ is located; } \mathbf{u} = (\dots, u_a, \dots)$

94  $l_a = \text{Lenth of arc } a; \mathbf{l} = (\dots, l_a, \dots)$

95  $w_a = \text{Width of arc } a; \mathbf{w} = (\dots, w_a, \dots)$

96  $d_a = \text{Distance from arc } a;$

97  $p_a = \text{Rainfall intensity where arc } a \text{ is located}; \mathbf{p} = (\dots, p_a, \dots)$

98 In the above formula, the decision maker's scenario minimizes the impact of air, noise, and water  
99 pollution, in addition to user travel-time. An illustrative example is presented below to further explain the  
100 approach.

### 101 An Illustrative Example

102 An example study area (Figure 2) is created in which a new highway is evaluated based on the combined  
103 impact of various pollutions outlined above, in conjunction with the traditional travel-time minimization  
104 objective. It is noted that residential, commercial, and business and industrial land-use areas have more  
105 impervious surfaces (i.e., paved surfaces) and therefore percolation is almost negligible resulting in higher  
106 runoff. Therefore, Water pollution is high in such areas. As far as noise impact is concerned, higher the  
107 degree of urbanization, higher the noise pollution because of sound barriers and reflection of sound  
108 waves. Also, concentration of carbon monoxide and other poisonous gases is higher in highly urbanized  
109 areas because the dissipation rate of these harmful gases into atmosphere is slower.

110 The origin-destination (O-D) matrix of the study area is shown in Table 1. We have considered a  
111 symmetric Origin – Destination Matrix for simple illustration of our approach. A genetic algorithm  
112 previously designed for the bi-level highway alignment optimization problem by the second and third  
113 authors (see, Kang et al. 2010) have been applied to find the equilibrium solution using user and decision  
114 maker's preference. The algorithm is designed to work in a GIS environment. The results of the analysis  
115 are shown in Figure 3 and Table 2.

116 In Fig. 3, there are two bars on each road link of the study area. The red bars indicate traffic volume  
117 (vehicles per hour) assigned using the traditional (shortest path based on minimum travel time) algorithm.  
118 The green bars indicate the traffic volumes assigned using the minimal pollution method (our algorithm).  
119 It can be seen that, in areas where pollution is higher, red bars are taller and in areas where pollution is  
120 lower, green bars are taller. Our algorithm assigns more traffic on links which have lower pollution costs  
121 (Table 2).

122 Figure 4 shows travel paths between specified end points resulting from separate analyses of user  
123 optimum (Case 1: minimizing travel time only) and decision maker's cost (Case 2: minimizing travel time  
124 plus environmental pollution) formula. It can be seen that while travel time is reduced in the user  
125 optimum scenario, the total pollution cost is decreased when both travel time and pollution are considered  
126 together in the analysis. The results have far reaching policy implications, especially in the areas of  
127 highway planning process, congestion pricing, and establishing varying tolling strategies based on the  
128 combined impacts of recurring pollution and traffic congestion.

### 129 ***The Tri-Level Approach***

130 In this section, we introduce a novel tri-level optimization framework by separating the environmental  
131 considerations out from the traditional cost minimization approach. The tri-level optimization approach  
132 incorporates various decision-making criteria in highway alignment optimization, such as cost  
133 minimization, emission consideration, and user equilibrium traffic flow. Table 3 below shows the key  
134 differences between the traditional network design problem and various aspects of the highway alignment

135 optimization problem. This tri-level approach is superior to a method which optimizes only highway  
136 construction costs; furthermore, it can provide a much wider scope of objectives regarding various user  
137 costs including travel time, vehicle operation, and accidents costs.

### 138 Tri-Level Formulation

139 The upper-level (i.e., first level) of the proposed tri-level approach is defined as the highway alignment  
140 optimization problem in which best highway alternatives are identified based on a specified objective  
141 function (Kang et al., 2010 and 2012). In the first level, optimal highway alignment is determined  
142 subjected to highway design, environmental and geographical constraints. In the second level, total  
143 system emission is minimized considering available speed profiles of highway alignments. In the third  
144 level, user equilibrium traffic flow is obtained by minimizing the composite cost. The tri-level model  
145 formulation is shown in Table 4. All notations are presented in Appendix-A.

#### 146 *The Upper Level Problem*

147 Three types of decision variables are used in the tri-level model structure: (i) points of intersection  
148 (PI's) of new highway alignments; (ii) amount of total systems emission, and (iii) distributed traffic flows  
149 on the network. The objective function of the upper-level problem primarily depends on these variables  
150 along with many other factors such as unit pavement cost, earthwork quantity, fuel cost, and land-use.  
151 Note that the decision variables, i.e., PI coordinates, are indirectly formulated in the upper-level objective  
152 function, similar to our previous approaches (see for example, Jong et al., 2000). To solve the upper-level  
153 problem, a genetic algorithm (GA) with customized genetic operators (Jong and Schonfeld 2003) is  
154 employed in the model. The GA aims to generate the PI's of new highways, and ultimately finds  
155 optimized ones through an evaluation procedure based on the principles of natural evolution and survival  
156 of the fittest. The formulation of the upper-level alignment optimization problem includes an objective  
157 function and two constraints associated with new highway construction. Similar to our previous work  
158 (Kang et al., 2010), the objective function ( $Z_{UL}$ ) is defined as the sum of (i) the total agency cost, (ii) the  
159 total user cost, and (iii) the "penalty cost." (Kang et al., 2010)

160 **Agency Cost:** The total agency cost consists of four major construction costs (length-dependent cost ( $C_L$ :  
161 a cost proportional to the length of a highway; e.g., pavement cost), right-of-way cost ( $C_R$ : a cost required  
162 for land acquisition), earthwork cost ( $C_E$ ), structure cost ( $C_S$ )) directly required at the initial stage of a new  
163 highway development and a maintenance cost ( $C_M$ ) occurring throughout the life of the road alignment.  
164 All of these cost components are important and sensitive to highway alignments, and should be  
165 simultaneously evaluated in the highway alignment optimization process. The basic formulation of the  
166 total agency cost can be expressed as:

$$C_{T\_Agency} = C_L + C_R + C_E + C_S + C_M \quad (11)$$

where:  $C_L$ ,  $C_R$ ,  $C_E$ ,  $C_S$ ,  $C_M$  = Length-dependent cost, right-of-way cost, earthwork cost, structures  
cost, maintenance cost, respectively.

167 The mathematical formulations of these agency cost components in Equation (11) may be found in  
168 the authors' earlier publication (Kang et al. 2007 and 2010; Kim et al. 2004; Jha and Schonfeld 2000; Jha  
169 and Schonfeld 2003; Kang 2008) and thus have been skipped in this paper.

170 **User Cost:** The user cost consists of cost of vehicle operation, travel-time delay cost, and accident cost  
 171 which are well formulated in our previous works (see, Jha et al. 2006; Kang et al. 2010). Note that the  
 172 proposed tri-level highway alignment optimization model is designed with a modular structure in which  
 173 various evaluation components can be easily replaced without changing the rest of the model structure.  
 174 Thus, any available accident prediction relations or models can be incorporated in the model for  
 175 estimating the accident frequency of new highways.

176 *The Intermediate Level Problem*

177 In the intermediate level, total system emission is computed based on traffic flow and speed obtained  
 178 from the lower level. The total emission ' $TE_e$ ' is the sum of product of traffic flow ' $x_a$ ' and emission factor  
 179 ' $ef_a(v_a)$ ' as function of average speed ' $v_a$ ' on link ' $a$ ' and length of the link ' $l_a$ '. The emission pricing  
 180 value ' $e_a$ ' for each link acts as an additional cost for a road user given by  $c_a(x_a, e_a)$  as shown in equation  
 181 (14). Thus, different values of ' $e_a$ ' lead to change in travel cost and hence variation in the flows  
 182 throughout the network. The real value variable ' $e_a$ ' is chosen such that it is within the value of 1 (i.e.  
 183 maximum increase in travel cost is 100%) and 0 (i.e. no emission pricing at all). The change in flows  
 184 because of emission further causes changes in travel time which varies the average speed on the link and  
 185 further emission factor and hence total emissions.

186  
 187 The emission function  $ef_a(v_a)$  typically has a polynomial form with an average link speed ' $v_a$ ' as the  
 188 dependent variable and is given as

$$ef_a(v_a) = b_1 v_a^2 + b_2 v_a + b_3 \quad (12)$$

189 where:  $b_1$ ,  $b_2$ , and  $b_3$  are the coefficients to be calibrated from the observed vehicular emission data. In  
 190 this paper we consider the pollutant as CO<sub>2</sub>, a major green house gas (GHG) and adopt a polynomial  
 191 function from El-Shawarby et. al. (2005). The reason for considering only one pollutant is present focus  
 192 of agencies and policy makers on minimizing the GHGs from vehicles.

193  
 194  
 195 *The Lower-Level Problem*

196 The lower level problem is a traffic assignment process used to evaluate impact caused if a new  
 197 highway is added to an existing road network. Alternatively, the lower level is an optimization process  
 198 that allows highway users to adjust their travel paths by minimizing total travel cost (Kang et al., 2010).  
 199 In the tri-level model structure the lower-level represents a static (or deterministic) user equilibrium  
 200 assignment. The result of the user equilibrium assignment is distribution of traffic flows and travel times  
 201 in the highway network. The resulted output from the lower level serves as input to the upper and  
 202 intermediate level formula to evaluate the total emission and user costs.

203 The lower level of the tri-level formulation assigns the trip matrix into the network using the  
 204 route choice algorithm. A user equilibrium assignment based on Wardrop's first principle is proposed,  
 205 which denotes that "no user can experience a lower travel time by unilaterally changing routes" (Wardrop  
 206 1952). In simple terms the equilibrium is achieved when the travel cost on all used paths is equal. The  
 207 travel time function  $t_a(\cdot)$  is specific to a given link ' $a$ ' and the most widely used model is Bureau of Public  
 208 Roads (BPR) function given by

209

$$t_a(x_a) = t_o \left( 1 + \alpha_a \left( \frac{x_a}{C_a} \right)^{\beta_a} \right) \quad (13)$$

210 where  $t_a(\cdot)$  is free flow time on link 'a', and  $\alpha_a$  and  $\beta_a$  are link specific constants, normally calibrated  
 211 using the observed field data. The BPR function is a monotonically increasing convex function. The  
 212 emission price variable  $e_a$  changes to travel time into travel cost such that  $\varphi$  is value of time in monetary  
 213 terms (\$/hr).

$$c_a(x_a, e_a) = \varphi (1 + e_a) t_a(x_a) = \varphi (1 + e_a) t_o \left( 1 + \alpha_a \left( \frac{x_a}{C_a} \right)^{\beta_a} \right) \quad (14)$$

214 The constraint shown in Table 4 for lower level is for flow conservation, which states that the flow on all  
 215 paths connecting each O-D pair has to be equal to the O-D trip rate. In other words, all trips have to be  
 216 assigned to the network. The next constraint is a definitional constraint relating the link flows ' $x_a$ ' and  
 217 path flows ' $f_k^{rs}$ '. The remaining two constraints are non-negativity conditions that are required to ensure  
 218 that the solutions are physically meaningful.

219

#### 220 *Determination of Traffic Re-assignment*

221 It should be noted that the tri-level optimization approach may not be efficient in cases when the  
 222 assignment results for the networks updated with different highway alternatives are very similar. In such a  
 223 case, the traffic re-assignment is wasteful. Thus, a preprocessed traffic assignment procedure developed  
 224 by Kang et al., (2010) is adapted here to determine whether the tri-level optimization feature is needed  
 225 during the alignment search process. "The preprocessed traffic assignment is intended to accelerate the  
 226 alignment evaluation procedure, and enhance the model's computational efficiency accordingly." (Kang  
 227 et al., 2010)

#### 228 **Example Problem for the Tri-Level Approach**

229 This section presents an example study to demonstrate the performance of the proposed tri-level  
 230 highway alignment optimization method. It is an extension of a similar example performed by the second  
 231 and third authors to test a bi-level approach for highway alignment optimization that has been previously  
 232 published (see, Kang et al. 2010). Therefore, except the environmental emission all test case data are the  
 233 same as those presented in Kang et al. (2010). Figure 5 shows the land-use of the study area in which  
 234 construction of a new highway is being considered for relieving the congestion in the existing highway  
 235 system. Land-use information and existing traffic condition of the study area are briefly described in the  
 236 next section. Table 5 shows the key input parameters.

237 The situation description presents a hypothetical scenario of a new highway construction to alleviate  
 238 traffic congestion in the study area. Currently, **HW-1** is the only access control link connecting east-west  
 239 traffic of the study area, and is operating at or near capacity during peak periods, causing severe traffic  
 240 congestion. Furthermore, the number of trips within the study area is expected to increase in the near  
 241 future due to new community developments. Thus, a local government is planning to construct a new  
 242 highway for improving the level of service of the existing road, **HW-1**, as well as for reducing users travel  
 243 time between traffic endpoints (i.e., Centroids represented by red dots in Figure 5).

244 Key input parameters and the base year traffic information used for this case study are presented in  
 245 Table 5. The baseline design standards of the new highway are a four-lane undivided highway with a 20  
 246 meter cross-section (3.6 meter for lanes and 2.8 meter for shoulders), a 90 kph design speed, 6%  
 247 maximum allowable gradient, 6% maximum superelevation. 289 (=17×17) O/D trip pairs operate in the  
 248 existing road network, and demand between east and west traffic endpoints (shaded in Table 5) is much

249 higher than north-south traffic demand. The annual traffic growth rate is assumed to be 3%. The new  
250 highway should be constructed in an environmentally responsible way since various socio-economic and  
251 environmentally sensitive areas (e.g., residential area, commercial area, historic district, and wildlife  
252 refuge) are mixed in the study area. With all these considerations, the objective of the local government to  
253 the new highway project can be as follows:

- 254 • The new highway should connect the existing and planned development areas and must be an  
255 economical path that minimizes the highway agency cost.
  - 256 • It should relieve congestion on existing highways in the study area (i.e., minimize total user cost).
  - 257 • It should minimize environmental impact.
  - 258 • It should minimize socio-economic impact. (Kang et al., 2010)
  - 259 • It should minimize environmental emissions.
- 260

## 261 **Analysis Results**

262 Eight highway alternatives are selected after the optimization model completes the optimization  
263 process. Each of them is the best-obtained solution for a given pair of start and end points. Figure 5 shows  
264 horizontal profiles of the selected highway alternatives. As shown in the figure, all of them fully avoid the  
265 restricted areas (e.g., wildlife refuge, residential area, and public cemetery) located in the middle of study  
266 area, and thus do not have any environmental and socio-economic impacts (i.e., no penalty cost).

267 Among the alternatives, **Alt-2**, **Alt-6**, and **Alt-8** would be ruled out by highway designers if the  
268 project budget is limited to \$45 million. **Alt-8** is the worst option among the selected alternatives since it  
269 requires almost the entire highest agency cost and saves less user cost compared to other alternatives. **Alt-**  
270 **4** requires the least agency cost, and thus it would be the best alternative if the user cost is not included in  
271 the evaluation criteria. However, it is also ruled out since it does not significantly improve the existing  
272 traffic operation (i.e., the least user cost saving). Thus, **Alt-1**, **Alt-3**, **Alt-5**, and **Alt-7** are preferable  
273 options since their agency costs are within the project budget and their user costs are significantly lower  
274 than for the other alternatives. Table 6 shows the equilibrium link flows operated on the existing and new  
275 highways before and after the new highways implementation. The results demonstrate that the  
276 equilibrium link flows can be greatly affected by the highway alignment, particularly in terms of distance  
277 and intersection points (i.e., whether it connects within the network). The table also shows that **Alt-1** and  
278 **Alt-3** should be excluded from the preferable alternative set (i.e., **Alt-1**, **Alt-3**, **Alt-5**, and **Alt-7**), since  
279 some existing highways (e.g., *HW-3*, *HW-4*, and *HW-5*) may operate slightly over the capacity if these  
280 alternatives are implemented.

281 Equilibrium link flows on the existing highway and new highways are presented in Figure 6. The  
282 results show that the highway alignments have significant impact on the equilibrium flows. *HW-5* and  
283 *HW-1* have the highest and lowest flow, respectively among all alternatives. Alternative 1 and 3 should  
284 not be considered preferable because some existing highways such as *HW-3*, *HW-4*, and *HW-5* may  
285 operate over capacity. **Alt-5** appears to be the best alternative as it provides reasonable volume with least  
286 objective function.

287 Figure 7 shows the emission levels on the existing highway and new highways. Emission is shown in  
288 grams per hour for all alternatives and corresponding links. *HW-5* has the highest emissions for all  
289 alternatives compared. Similarly, *HW-1* has the least emission. From emission viewpoint, **Alt-5** appears  
290 to be the best as it provides least objective function value. Among the alternatives, **Alt-3** produces highest



291 emission and may not be considered as preferable. This observation is consistent with the flow estimates.  
292 The proposed tri-level model provides insights to emission estimates at link level for highway alignment  
293 optimization. Such a tool can be beneficial for decision making by simultaneously analyzing optimal  
294 design, traffic equilibrium, and emission objectives. A desktop PC (Intel dual core processor, 3.2 GHz  
295 with 4-GB RAM) is used for executing the alignment optimization model, and about 6 hours are taken to  
296 complete 300 generations of search. Please note that these six hours are established after multiple initial  
297 attempts to finalize a model which was used in the paper. A minimum of 50 initial attempts are made to  
298 reach a model with reasonable results. To solve the upper- and intermediate level problems, the model  
299 employs customized GAs for highway alignment optimization by Jong and Schonfeld (2003). The lower  
300 level problem is solved using a modified Frank-Wolf algorithm. About 40 alternative alignments are  
301 generated in each generation of the upper level, and they are sent to the lower level to find equilibrium  
302 traffic flow of the network. The total emission is then the computed based on the result from the lower  
303 level. Every generation, the individual alternative alignments compete with each other to reproduce  
304 offspring based on their “fitness” (i.e., the total cost including agency, user, and emission costs). After  
305 enough generations, the fittest individuals should survive, whereas poor solutions get discarded, and the  
306 population will finally converge to an optimized solution (Kang et al. 2012). The proposed tri-level  
307 optimization model is programmed in C. A termination criterion of  $10^{-4}$  is used in the tri-level  
308 optimization problem, which means if there is no significant improvement in the objective function value  
309 during a certain number of generations; the alignment optimization process is terminated.

310

## 311 **Conclusions and Future Works**

312 Emissions modeling along with selection of new highways including their geometric design, cost-  
313 benefit analysis, and analysis of their impacts to the existing land-use system is a very complex and  
314 challenging problem because of the large number of conflicting factors that must be resolved, the great  
315 amount and variety of information that must be compiled and processed, and the numerous evaluations  
316 that must be performed. The process of evaluating even one candidate alternative with existing methods is  
317 so expensive and time consuming, that typical studies can only afford to evaluate very few alternative  
318 alignments.

319 This paper proposes a method to consider environmental emissions in the highway alignment  
320 optimization process, called tri-level highway alignment optimization. In the tri-level model structure, the  
321 upper-level problem represents a decision making process of system designers, in which possible highway  
322 alternatives are generated and evaluated. In the intermediate level, emission on the networks is estimated.  
323 The lower-level problem represents highway users’ route choice behavior under the designer’s decision.  
324 The model optimizes the location of a new highway, including its intersection points with existing roads,  
325 and searches the best trade-off between the various highway cost components. An equilibrium traffic  
326 assignment is incorporated in the tri-level model framework to realistically reflect the traffic impact of the  
327 new highway in the alternative evaluation process. The performance of the tri-level optimization model is  
328 demonstrated with a case study.

329 The results show that the model can find optimized solutions within reasonable computation times,  
330 and that locations of new highways are sensitive to traffic distributed to the road network besides their  
331 construction costs. This confirms that all relevant highway cost components should be simultaneously

332 evaluated for an effective highway alignment optimization although most highway agencies in the field  
 333 tend to ignore the user cost items in the planning phase of new highways. The proposed model can  
 334 optimize highway alignments, emission, and route choice simultaneously. The robustness of the proposed  
 335 tri-level model is examined with the case study, and the framework can be used to solve medium to large  
 336 scale city networks. Although only CO<sub>2</sub> has been studied in this paper as it being a GHG and pollutant of  
 337 immediate concern, the proposed models are generalizable and applicable for various other pollutants.  
 338 Various sensitivity analyses can be undertaken in future works.

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 342 example. This study was jointly conducted at the Center for Advanced Transportation and Infrastructure  
 343 Engineering Research-Morgan State University, University of Memphis, and the University of South  
 344 Alabama.

345 **Appendix-A**

346 Table A1. Notations and their Explanation

Notation	Explanation
$Z_{UL}$	: Sum of the total agency cost, the total user cost, and the penalty cost.
$C_{T\ agency}$	: Agency cost
$C_{T\ user}$	: User Cost
$C_P$	: Penalty associated with environmental and socio-economic areas
$TE$	: Total Systems Emission
$x_a$	: vector equilibrium link flows
$ef_a(v_a)$	: the speed dependent emission factor for link “a” (gm/miles) where $v_a$ is link speed.
$v_a$	: Link speed
$l_a$	: is the length of link a
$C_L$	: Length-dependent cost
$C_R$	: right-of-way cost
$C_E$	: earthwork cost
$C_S$	: structures cost
$C_M$	: maintenance cost
$C_{HM}$	: Maintenance cost for highway basic segments
$C_{BO}$	: Bridge operating cost
$L_n$	: Total length of a new highway alignment
$l_{BG}$	: Bridge length
$n_{BG}$	: Number of highway bridges
$K_{AM}$	: Annual maintenance cost per unit length
$\rho$	: Assumed interest rate (decimal fraction)
$n_y$	: Analysis period (\$/yr)
$C_{AB}$	: Annual bridge operation cost (\$/yr)
$C_{T\ User}^0$	: total user costs before new highway construction
$C_{T\ User}^I$	: total user costs after new highway construction
$C_T$	: Travel time cost
$C_V$	: vehicle operating cost
$x_a$	: Average traffic volume
$t_a$	: Travel time on arc a
$A$	: A set of arcs in the highway network
$v$	: A vector of unit travel time values for auto and truck users

$T$	:	Traffic composition vector
$o$	:	A vector of average vehicle occupancy for auto and truck
$\bullet$	:	Inner (dot) product
$T_{Truck}$	:	Fraction of trucks
$uf_a$	:	A vector of unit vehicle operating cost for auto and truck on arc a
$L_a$	:	Length of arc a in the highway network
$P_{Auto}, P_{Truck}$	:	Fuel prices of auto and truck, respectively
$f_{a\_Auto}, f_{a\_Truck}$	:	Fuel consumption of auto and truck, and can be estimated with their average travel speed on arc a
$m_{Auto}, m_{Truck}$	:	Maintenance cost of auto and truck, respectively
$C_p$	:	Penalty associated with environmental and/or socio-economic areas
$A_k$	:	Area of $k^{th}$ land parcel affected by highway alignment
$A_k^T$	:	Total area of the $k^{th}$ land parcel
$MaxA_k$	:	Maximum allowable area of $k^{th}$ land parcel for the alignment; $0 \leq Max A_k \leq A_k^T$
$I_k^{ES}$	:	Vector representation of dummy variables indicating whether
$p_a$	:	Rainfall intensity where arc a is located; $p = (\dots, p_a, \dots)$
$d_a$	:	Distance from arc a
$u_a$	:	Land-use where arc a is located; $u = (\dots, u_a, \dots)$

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