

Annual Program Development Process (APDP)

For INDOT State Projects

2015

Indiana Department of Transportation

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Annual Program Development Process (APDP)

For INDOT State Projects

Introduction

The Indiana Department of Transportation (INDOT) has prepared the **Annual Program Development Process – State (APDP)**. The APDP is a comprehensive set of procedures for project development on the INDOT state highway jurisdictional system, which includes: interstates, US Highways, and state roads. A separate Annual Program Development Process has been developed for local (non-state jurisdictional facilities) systems known as the Local Public Agency Project Development Process Guidance Document for Local Federal Aid-Projects: http://www.in.gov/indot/files/LPA_GUIDANCEDOCUMENT_073115.pdf

The APDP process provides the mechanism for identifying transportation needs and programming of major capacity projects considered for inclusion in the INDOT Future Year Transportation Need Report (Serves as the agency's Long Range Transportation Planning Document), INDOT 5-year Asset Management Construction Program, and the INDOT State Transportation Improvement Program (STIP).

The APDP consists of five stages as described as follows. Each of these stages will be discussed in more detailed in the APDP document:

- **Stage I:** Call for New State Projects and Program Revisions
- **Stage II:** Statewide Review and Program Update
- **Stage III:** Draft INDOT STIP and 5-Year Asset Management Construction Plan Document
- **Stage IV:** Document Coordination with INDOT Planning Partner's Long-Range Metropolitan Transportation Plans and Transportation Improvement Programs (TIP)
- **Stage V:** Update of State Transportation Improvement Program (STIP), 5-Year Asset Management Construction Program; and Future Year Transportation Needs Report documents (as needed)

The APDP transportation decision-making approach provides a seamless process from planning through construction and encourages open communication for making informed decisions during all stages of project development. By involving all disciplines at the earliest stages of the process, issues affecting project type, scope, preliminary engineering, design, and cost are identified in advance. Resolving these issues in the early stages minimizes project development delays, while allowing the development and review of more context appropriate alternative improvements.

Public & Stakeholder Involvement

In the transportation decision-making process, public and stakeholder involvement is a key federally required component in the ADPD process, especially for major projects (new corridors, added travel lanes, new interchanges, and projects with costs reaching over \$5 million). Public and stakeholder involvement needs to be an early and continuing part of the transportation and project development process.

Stakeholders are defined as individuals and groups who are, or may be impacted by, or have an interest in a project. In some cases, federal regulations define who stakeholders are. Typically stakeholders include: elected and appointed officials; the general public; businesses; environmental justice populations; and professional and technical staff from both INDOT and affected local governments agencies impacted by transportation decisions.

INDOT has prepared the INDOT Public Involvement Process (PIP) Manual to provide guidance to those who are engaged in providing public involvement opportunities related to INDOT decisions and actions and to let the public know what they can expect in terms of INDOT public involvement policies and practices. This manual is primarily addressed to INDOT staff and their consultants who will carry out INDOT's public involvement activities. The manual and additional details on INDOT's public involvement process and related procedures can be found on INDOT's website: <http://www.in.gov/indot/2366.htm>

Examples of Stakeholders:

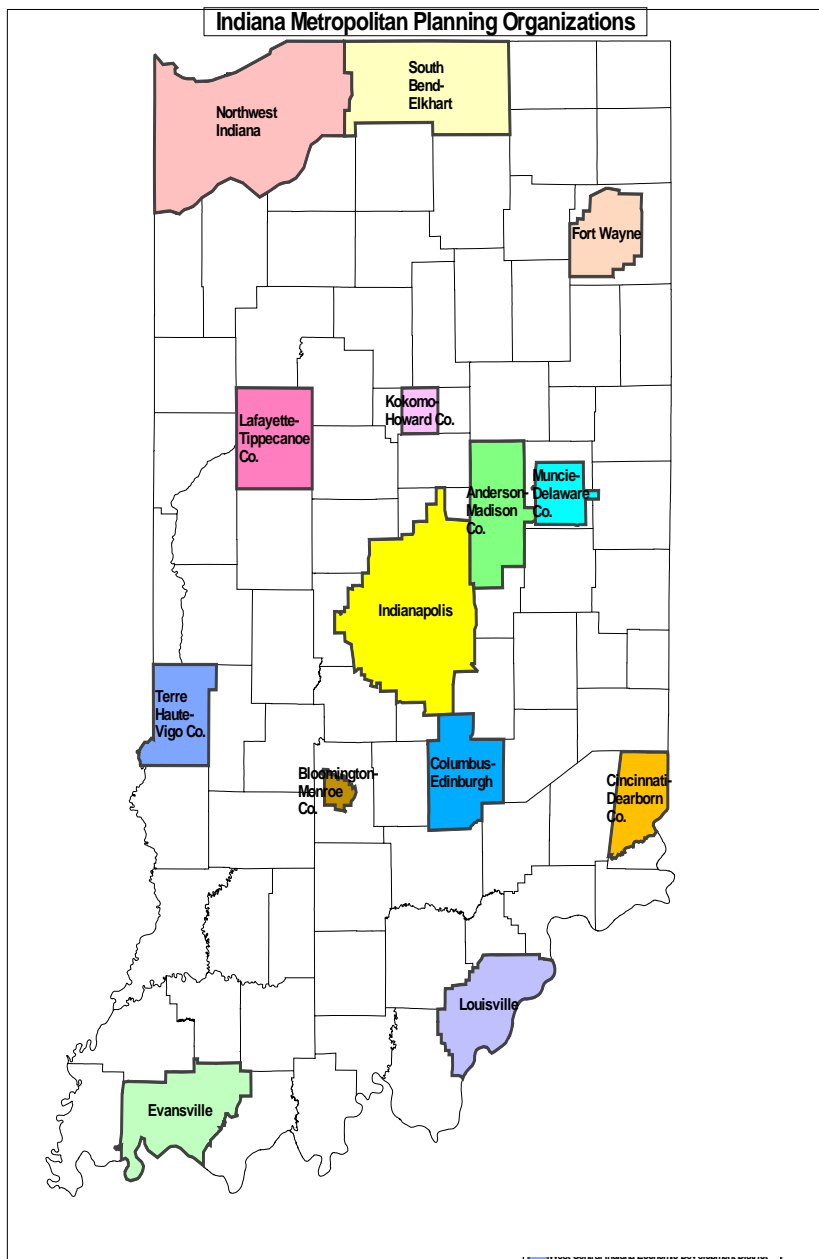
Civic & Community Associations
Department of Natural Resources
Environmental Justice Populations
Federal Highway Administration
Federal Transit Agency
Freight, Rail, & Aviation Associations
Conexus Indiana
General Public
Department of Environmental Management
Economic Development Corporations
Indiana Tourism Department
State & Local Department of Health Agencies
Local Public & Transit Agencies
Metropolitan Planning Organizations
Rural Planning Organizations (RPO)
Resource Agencies
Special Interest Groups
Environmental Protection Agency (EPA)
Many Others

INDOT Planning Partners

Federal Highway Administration (FHWA) - The FHWA oversees federal funds used for the design, right-of-way acquisition, construction, and maintenance of: Interstate Highways, U.S. Routes, State Routes, and Federal-Aid funded route facilities. FHWA's role is to ensure projects using these funds meet federal requirements in terms of project eligibility, planning, environmental, contract administration, right-of-way, and construction standards. For additional information regarding FHWA, federal regulations, and contact information, please visit the Indiana Division of FHWA website:

<http://www.fhwa.dot.gov/indiv/index.htm>.

Federal Transit Administration (FTA) – FTA provides stewardship of combined formula and discretionary programs to support a variety of locally planned, constructed, and operated public transportation systems throughout the United States. Transportation systems typically include: buses, subways, light rail, commuter rail, streetcars, monorail, passenger ferry boats, inclined railways, or people movers. For additional information regarding FTA, federal regulations, and contact information, please visit the FTA website: <http://www.fta.dot.gov> and select FTA Region 5, which represents: Illinois, Ohio, Minnesota, Wisconsin, Indiana, and Michigan.



Metropolitan Planning Organizations (MPOs) - MPOs are federally required transportation planning bodies comprised of elected and appointed officials representing local, state and federal governments or agencies having interest or responsibility in transportation planning and programming. In urbanized areas of 50,000 or more, transportation planning by the state is done in cooperation with the MPO. The MPO develops a number of federal planning documents; manages both local and state projects in their respected areas; and performs various support related transportation planning activities.

MPOs play a vital role in the planning and development of transportation projects and services throughout the urbanized areas of Indiana. Together with the INDOT District Offices, they serve as primary sources of local input and as fundamental cooperating partners in the mode-specific planning and program implementation process. Indiana’s fourteen MPOs have jurisdictional responsibility for transportation planning in urbanized areas.

For more information on Indiana’s MPOs and contact information for each MPO agency, please visit the Indiana MPO Council website: <http://www.indianampo.com>

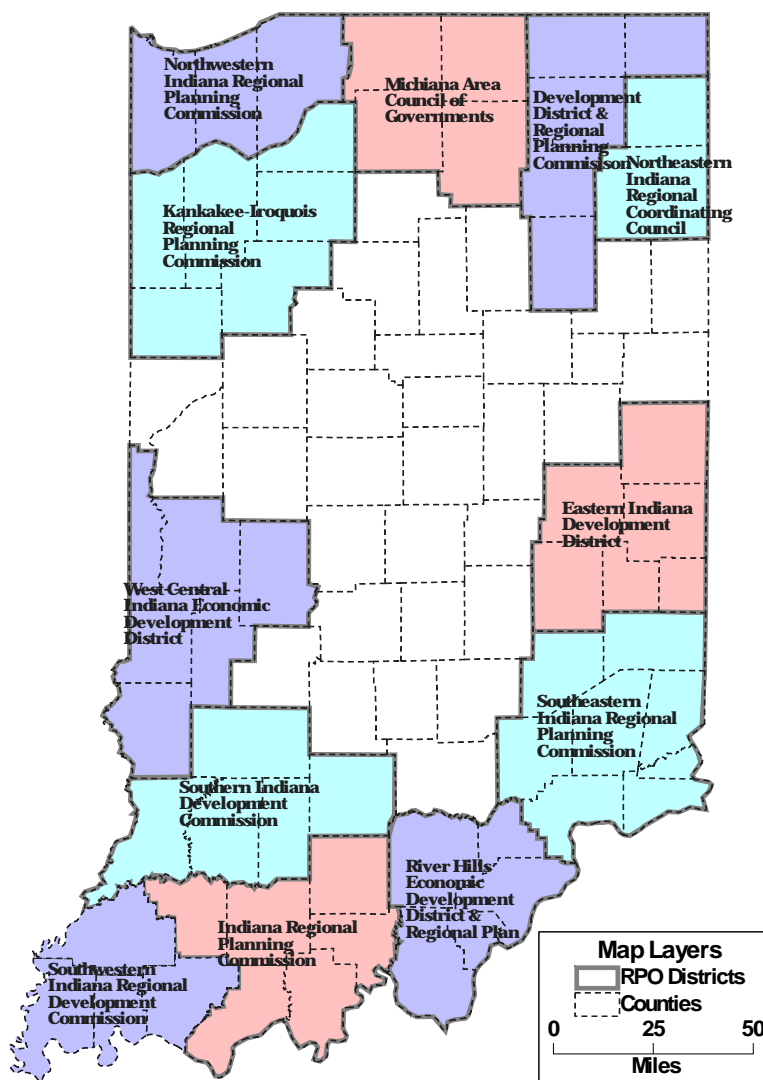
Rural Planning Organizations (RPOs) – Also known as Regional Planning Organizations, serve the transportation planning needs of small urban and rural areas of the state. RPOs perform eligible planning activities in order to provide planning support to local communities. The planning activities of RPOs are aimed at supporting INDOT Central and District Office Planning staff with public outreach, technical assistance to local officials and the collection of transportation-related data.

RPOs are also responsible for transportation planning funds in the form of a matching grant to regional planning commissions.

Non-MPO Areas –Include small towns and cities not included in an MPO area. INDOT’s non-metropolitan local official consultation process is based off 23 CFR 450.210(b); which states:

The State shall provide for non-metropolitan local official participation in the development of the long-range statewide transportation plan and the STIP. The State shall have a documented process(es) for consulting with non-metropolitan local officials representing units of general purpose local government and/or local officials with responsibility for transportation that is separate and discrete from the public involvement process and provides an opportunity for their participation in the development of the long-range statewide transportation plan and the STIP. Although the FHWA and the FTA shall not review or approve this consultation process(es), copies of the process documents(s) shall be provided to the FHWA and the FTA for informational purposes.

Regional Planning Organizations



In non-metropolitan areas, INDOT District Offices conduct transportation planning and develop partial lists of specific projects to be advanced in the STIP. INDOT consults with the Regional and/or Rural Planning Organizations (RPOs), rural area local elected officials, local government agency representatives, special interest groups, and other key transportation stakeholders.

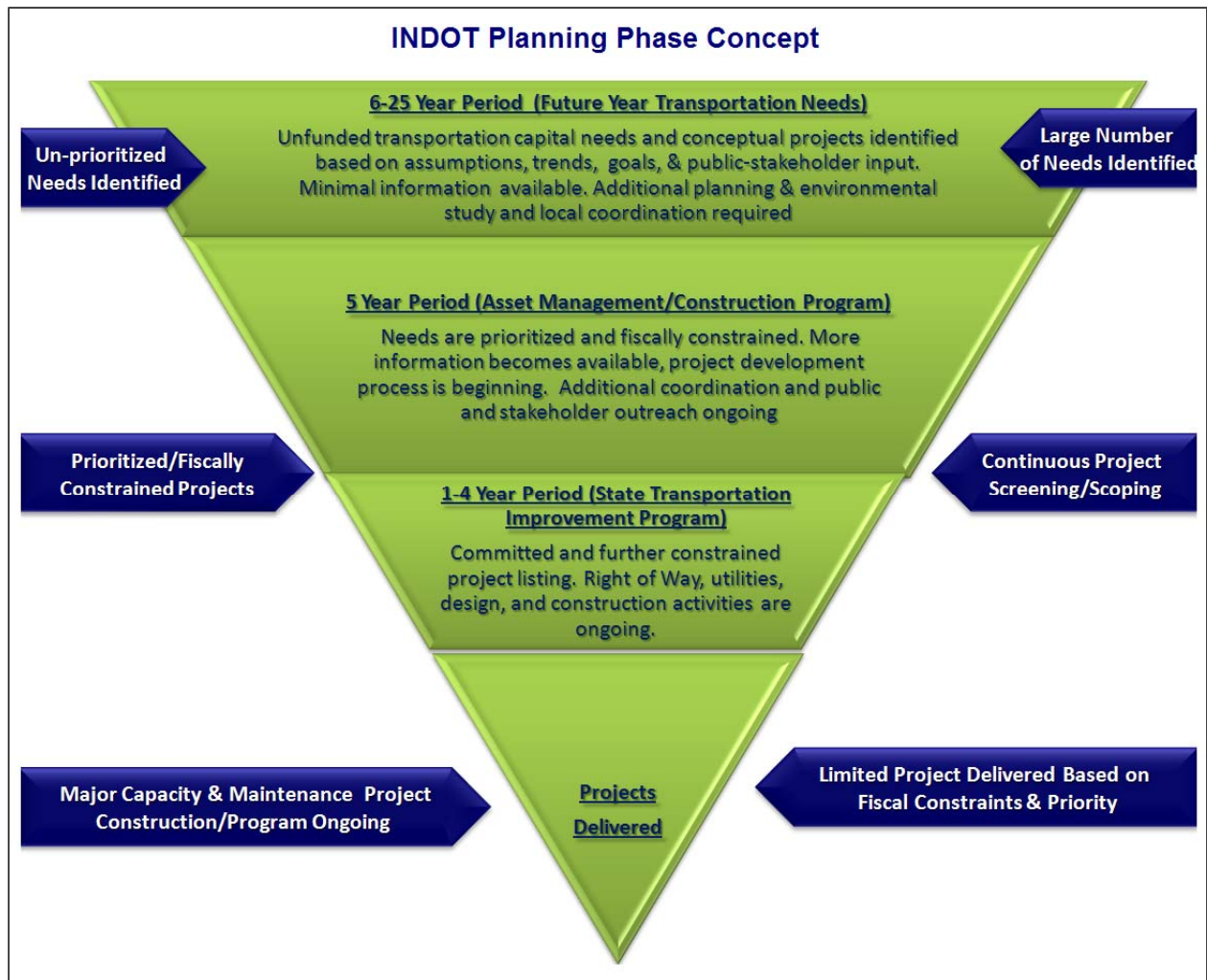
Resource Agencies – Resource agencies include a number of government agencies that with regulatory authority over an environmental resource and have some sort of stake in transportation related improvements. Partnering with our resource agencies provides for streamlined environmental processes and reduces duplication of efforts from planning study activities and environmental study activities. It is critical to get the resource agencies involved for transportation decision-making early to ensure potential issues are resolved and documented. Resource agencies are coordinated early to review and provide input into INDOT planning and programming process as well as input into specific projects. Listed below are examples of Resource Agencies:

- IDNR Indiana Department of Natural Resources
- SHPO State Historic Preservation Officer
- IDEM..... Indiana Department of Environmental Management
- ISDA..... Indiana Department of Agriculture
- USFWS..... U.S. Fish and Wildlife Service
- USACE..... U.S. Army Corps of Engineers
- USCG U.S. Coast Guard
- USCB..... U.S. Census Bureau
- USEPA..... U.S. Environmental Protection Agency
- FTA Federal Transit Administration
- NPS..... National Park Service
- NRCS..... Natural Resources Conservation Service



Planning Documents and Programs

Transportation planning recognizes the critical links between transportation and other societal goals. The planning process is more than merely listing major capital projects. It requires developing strategies for operating, managing, maintaining, and financing the area’s transportation system in such a way as to advance the area’s long-term goals. Transportation planning balances the needs of access mobility and safety with environmental economic and social equity concerns. The performance of the system affects public policy concerns like air quality, environmental resource consumption, social equity, land use, urban growth, economic development, safety, and security.



Future Year Planning (6-20 Years)

Future-year Transportation planning involves identifying current and future transportation deficiencies, trends, and issues how they should be handled to meet long-term goals.

The Technical Planning Section provides cooperative interaction between the public, transportation professionals, stakeholders, and decision makers. The Technical Planning Section performs the following activities:

- Monitors current transportation conditions, socio-economic trends, and forecast future transportation needs
- Develop, update, and maintain the INDOT Future-Year Transportation Report/Plan document and transportation needs
- Propose preliminary transportation improvement strategies to address state level transportation needs
- Coordinate capital investment planning activities with Metropolitan Planning Organizations (MPOs) and non-metropolitan officials.
- Perform economic impact analysis on specific major new projects and construction programs
- Long-term statewide mobility corridor planning
- Oversee work activities and programs for Rural Planning Organizations (RPOs) and MPOs
- Review local transportation plans and MPO work programs
- Perform statewide bike and pedestrian transportation planning and local coordination
- Develop/manage various systems level transportation planning studies
- Support the development of transportation policies and goals
- Facilitates required transportation planning related public involvement and outreach activities
- Serve as a technical resource for the Executive Office, INDOT Asset Management, and Project Management Teams for project need and planning level evaluations
- Participate in air quality conformity, interagency consultations with various transportation partners and perform air quality conformity reviews
- Support federal initiatives such as: travel surveys, community surveys, Census Transportation Planning Package Analysis

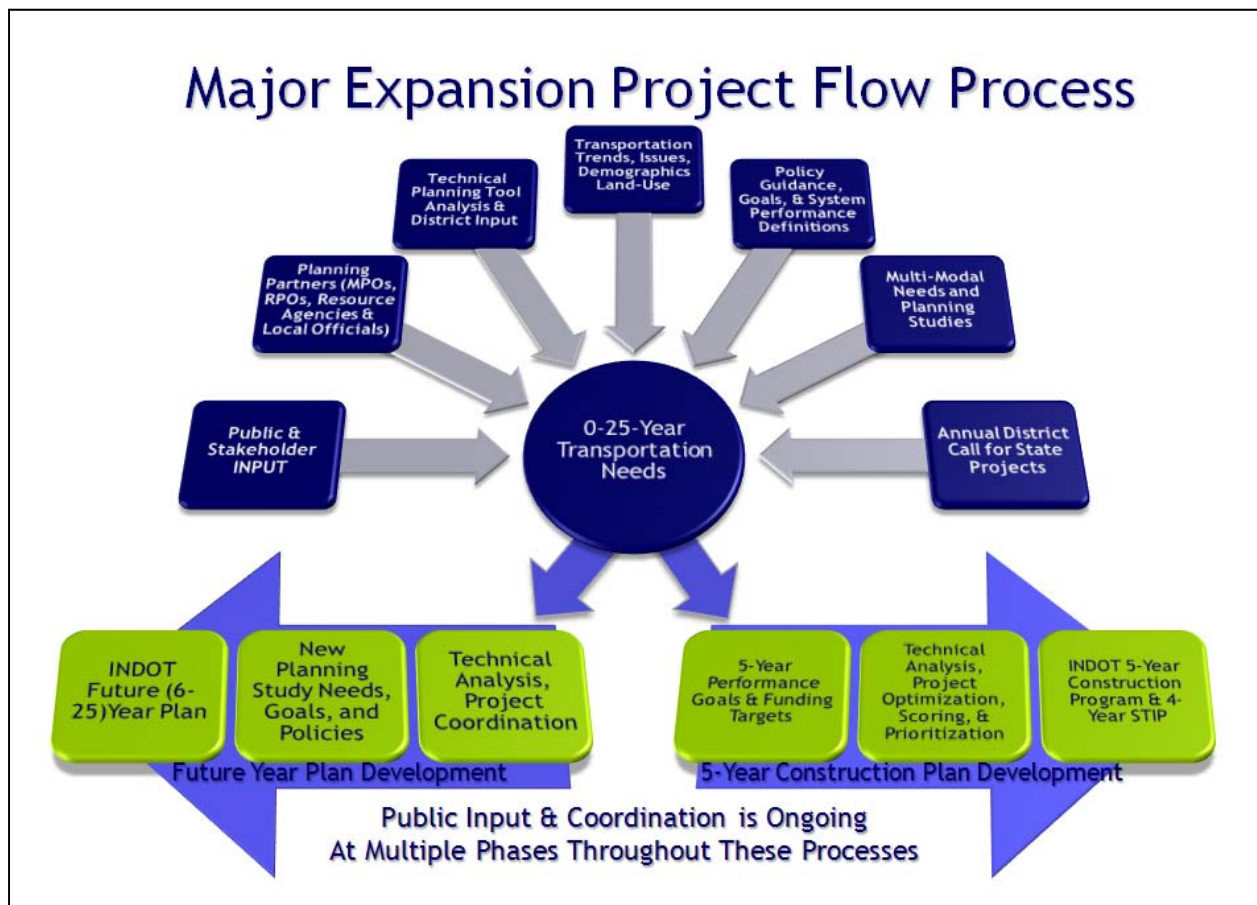
INDOT's Future-Year Transportation Needs Report provides a vision for future system developments and needs on state jurisdictional transportation systems. This document builds upon a number of earlier planning studies and regional comprehensive transportation plans to address transportation policy needs, system development, and future infrastructure investment needs.

The production of the INDOT Future Year Transportation Needs Report is a continuous, cooperative, and comprehensive process. The process involves public and stakeholder input examining critical trends, issues, and transportation needs. This process leads to recommended context-appropriate projects, mode-specific improvement consideration, and large-scale expansion projects such as: new roads,

interchanges, or the addition of travel lanes on a roadway to address identified transportation needs in INDOT 5-Year Construction Plan.

These projects are typically not exempted from rendering a determination about their effects on air quality. Recommended improvements are further evaluated and prioritized based on statewide funding targets and system performance. The timeframe for future-year planning is typically six to twenty years into the future. In urbanized areas of 50,000 or more, planning by the state is done in cooperation with metropolitan planning organizations (MPOs).

The INDOT future-year plan draws from and provides direction to the many mode-specific and specialty plans, as well as studies developed by INDOT and its partners: Federal Highway Administration (FHWA), Federal Transit Administration (FTA), Metropolitan Planning Organizations (MPOs), Rural Planning Organization (RPOs), and other numerous planning partners.



Federal Planning Factors Requirements

Each State shall carry out a statewide transportation planning process that provides for consideration and implementation of projects, strategies, and services that will:

- Support the economic vitality of the United States, the States, nonmetropolitan areas, and metropolitan areas, especially by enabling global competitiveness, productivity, and efficiency
- Increase the safety of the transportation system for motorized and non-motorized users
- Increase the accessibility and mobility of people and freight
- Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns
- Enhance the integration and connectivity of the transportation system, across and between modes throughout the State, for people and freight
- Promote efficient system management and operation
- Emphasize the preservation of the existing transportation system

Statewide Transportation Plan Document Requirements

An important part of the plan development process is guided by state and federal regulations and statutes. The most recent federal transportation authorization bill; Moving Ahead for Progress in the 21st Century Act (MAP-21) as signed into law on July 6, 2012 [23 USC 135(c)] requires states to develop and periodically update statewide transportation plans with a minimum 20-year planning horizon. MAP-21 prescribes a series of factors that each state planning process should consider as well as the identification of basic plan components. Listed below are a few additional statewide transportation plan document requirement:

- Developed with consultation with various governments: MPOs, RPOs, non-metropolitan officials, resource agencies (federal, state, wildlife, land management, and regulatory agencies), and Indian Tribal areas (Indiana does not have designated tribal areas)
- Participation by interested parties: citizens, affected public agencies, representatives of public transportation employees, freight shippers, private providers of transportation, representatives of users of public transportation, representatives of users of pedestrian walkways and bicycle transportation facilities, representatives of the disabled, providers of freight transportation services, and other interested parties with a reasonable opportunity to comment on the proposed plan
- Include discussion of potential environmental mitigation activities, including activities that may have the greatest potential to restore and maintain the environmental functions affected by the plan
- Reference, summarize, or contain applicable short-range studies relevant to the long-range statewide transportation plan

- Shall be published or made available in electronically accessible formats, such as the World Wide Web, as appropriate to afford reasonable opportunity for consideration of public

For more information on INDOT's Future-Year Transportation Plan, please visit our website at: <http://www.in.gov/indot/2666.htm>.

INDOT 5-Year Asset Management Construction Plan (1-5 Years)

Rather than anticipating needs in the long term, programming identifies those that are occurring, or will occur, in the very near future. Engineers, bridge inspectors, local officials and even motorists identify problems that should be addressed in the next few years, or sooner. The management systems (bridge, pavement, safety, and mobility) of the Indiana Department of Transportation (INDOT) also contribute to our understanding of current conditions, and what needs to be done.

This process leads to system preservation projects such as: intersection improvements, road resurfacing, bridge replacement or rehabilitation, railroad crossing work, signal and sign work, etc. The time frame to construction for these types of projects is typically three to five years from date of approval.

New state jurisdictional projects are proposed during an annual call for new project proposals. They are entered as proposals directly into the Scheduling and Project Management System (SPMS) and then reviewed by special committees known as Program Management Groups (PMGs).

The 5-year program synchronizes multiple projects, thereby minimizing disruptions to the traveling public. The construction program will be updated annually and will provide guidance to the development of various INDOT transportation improvement projects. Selected improvements will be optimized and prioritized based on statewide needs analysis and available funding.

INDOT Statewide Transportation Improvement Program (1-4 Years)

The Statewide Transportation Improvement Program (STIP) is a four-year planning document that lists all projects expected to be funded in those four years. The STIP is required to include all regionally significant projects, regardless of funding. The INDOT Capital Program Management, Intermediate Planning Division develops this document in cooperation with the Metropolitan Planning Organizations (MPOs) and in consultation with the Rural Planning Organizations (RPOs).

The STIP includes investments in various modes such as: transit, highways, and bicycle facilities. The STIP is the means of implementing the goals and objectives identified in long-range state and metropolitan transportation plans. Only those projects for which construction and operating funds can reasonably be expected to be available are included. Without TIP/STIP inclusion, a project is not eligible for federal funding.

The STIP has been developed in accordance with the terms and provisions of the Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) and the Clean Air Act Amendments of 1990 (23 CFR450.216(h)) and all regulations issued pursuant thereto. According to these regulations, a STIP:

1. Must be updated once every 4-years
2. Must cover a period of not less than 4-years
3. Must list projects by fiscal year
4. Must be financially constrained by year using current and anticipated revenue sources
5. Must include all regionally significant projects that could affect air quality
6. Must be consistent with long-range state and metropolitan transportation plans
7. Must be found to meet air quality conformity requirements found within the State Implementation Plan (SIP)

At this stage, it is usually too late to submit a new major capacity improvement. However, existing projects may be deleted or deferred. Other changes or adjustments might be changes to the fiscal picture of the project, or its schedule of activities.

Transportation Improvement Programs (TIP) are elements to the STIP and are developed by MPOs, with approval by INDOT via STIP amendment. TIP documents are required to cover a period not less than 4-years. It is these documents from state departments of transportation and metropolitan planning organizations (MPOs) that show how available resources have been paired with projects. Because the costs of proposed projects in INDOT's project scheduling system usually exceed available funds, the prioritization of projects is especially important for this time period. State and MPO TIPs address this problem by listing only those project for which funding is estimated to be reasonably available.

For more information about the STIP and to review copies of the STIP document and related project listing, please visit INDOT's website: <http://www.in.gov/indot/2926.htm>.

Asset Management

The concept and the application of Asset Management principles is a practice that is being used by many State Departments of Transportation. The process is intended to provide a solid foundation to optimize the performance and cost effectiveness of transportation facilities. This is true for INDOT, which has recently taken steps to develop and implement a new Asset Management/Capital Program Management process for project selection, ranking and capital program portfolio development.

The five core principles of Asset Management are:*

- **Policy-driven**—Resource allocation decisions are based on a well-defined set of policy goals and objectives.
- **Performance-based**—Policy objectives are translated into system performance measures that are used for both day-to-day and strategic management.
- **Analysis of Options and Tradeoffs**—Decisions on how to allocate funds within and across different types of investments (e.g., preventive maintenance versus rehabilitation, pavements versus bridges) are based on an analysis of how different allocations will impact achievement of relevant policy objectives.

- **Decisions Based on Quality Information**—the merits of different options with respect to an agency's policy goals are evaluated using credible and current data.
- **Monitoring Provides Clear Accountability and Feedback**—Performance results are monitored and reported for both impacts and effectiveness.

**Adapted from NCHRP Report 551, Performance Measures and Targets for Transportation Asset Management, Vol. I, Research Report, 2006, p. ii*

The new INDOT Asset Management/Capital Program Management process is intended to deliver with reliability and sustainability, a program with maximum value for its customers/citizens. INDOT's first four capital asset management teams have been inaugurated and are up and running; they consist of Bridge, Mobility, Roadway, and Traffic Safety Programs. INDOT's plans are to eventually expand the total number of fully functional asset management teams to a total of six. The six teams as currently envisioned are the four listed plus:

- Local Program Asset Management Team
- Multi-Modal Asset Management Team

The asset management teams have been charged with defining a clear and appropriate set of performance measures to support this new management process. The purpose of the team is to aid and support INDOT's capacity to make rational, well informed decisions regarding the transportation system's future performance. Each asset management team has been given latitude to develop its own set of business rules and related project scoring factors to be used for project ranking. The scoring factors were intended to capture those attributes that are specific to each team's assets. In general, the goal was to develop a system of 4-8 scoring factors with weights which favor equally between the project need and the solution. Each asset management team is responsible for scoring its own current set of projects. As the process matures, the teams will also score proposed new projects related to their asset. Sets of proposed projects will be generated from routine "calls for projects."

The overall vision for the Asset Management/ Program Management Process is that all state "Capital" type projects (Bridge, Mobility, Roadway, and Traffic Safety) would be under one process at the same time. The other core asset management areas (local programs, multi-modal, maintenance, buildings and fleet management) will have their own independent selection process based on what best fits their development and budget cycles.

The project scores for the four asset management teams are to be forwarded to the Program Management Group (PMG) for review. The PMG will perform statistical analysis intended to align all of the asset group's project scores into one common scale. Once asset performance goals are determined, each asset manager in Engineering & Asset Management Business Unit will provide a recommendation of an expenditure target per fiscal year based on the asset short and long-term performance. Targets will be fiscally constrained and once established PMG will make their recommendations as to which projects provide the highest value within the portfolio of projects. The PMG in turn reviews those recommendations and then ultimately, makes the project recommendations to the INDOT Executive Office and Funds Team.

Annual Program Development Process 5-Stages

The APDP is a comprehensive set of procedures for program development on the INDOT state highway jurisdictional system. The APDP process provides the mechanism for new projects to be considered for inclusion in the INDOT Transportation, 5-Year Construction Plan, and STIP documents. The APDP consists of six stages described in this section.

Stage I: Call for New State Projects & Program Revisions

Purpose: To start the process by which proposals for new state projects, regardless of source, can be presented, reviewed, prioritized and, if approved, programmed. In addition, the call will provide opportunities for agencies outside of INDOT to comment on the existing program. Although changes to the existing projects can occur at any time, proposals for new projects can be submitted only in response to a call for new projects.

A. Get Budget Estimates

The Program Management Group (PMG) will ask the Capital Program Funds Management (CPFM) Team to provide budget estimates of projected federal and state revenue for the next five years. This will be a statewide budget by individual fiscal year.

B. Issue Call for New Projects

The PMG will issue a formal “call for new projects” to all INDOT district offices, (including the Toll Road and Intelligent Transportation Systems (ITS), all MPOs, the Division of Multi-Modal, and the Technical Planning Section. A copy of the Call for New Project form is located in Appendix E of this document.

For agencies outside of INDOT, this call will consist of the following materials.

To Metropolitan Planning Organizations (MPOs):

- A summary of all state projects under development in the schedule within the county boundaries of the MPO’s metropolitan planning area (MPA).
- Project Proposal Forms by which they can propose new projects to an INDOT District Office.

For Rural Planning Organizations (RPOs):

- A summary of all state projects under development in the schedule within the county boundaries of the RPO’s planning area.
- Project Proposal Forms by which they can propose new projects to an INDOT District Office.

For Rural Area Local Elected Officials:

- They will be notified by the appropriate INDOT District Office that the call for new state projects is in progress.
- They will be instructed to contact their INDOT district offices and MPO/RPO (if any) to provide their suggestions concerning state highways. The District Office will provide Project Proposal Forms, if requested.

C. Proposals for New Projects

The Call for Projects is a district led process. All recipients of the call for new projects will have the opportunity to comment on INDOT's existing program of projects and/or prepare proposals for new projects for submittal to the District Office. Such proposals would be in addition to those new projects proposed by the District.

Whereas the District Office can propose projects directly into SPMS, others (MPOs, RPOs, and Elected Officials) cannot. They must complete the INDOT Project Proposal Form (FA-S) and submit them to the district. If approved, the district will then propose the project into SPMS. Copies of these forms are forwarded to INDOT's Asset Management Teams. The original forms are retained by the district.

Any proposal, however submitted, must include sufficient descriptive information such as type of work, termini, length, design concept, scope, cost, and location. In addition, all new project proposals must be submitted with justification. This can include, but not be limited to, a needs assessment of what problem this project solves, level of support from the public, environmental justice issues, and any planning documents relevant to the proposal.

Participants may also provide any comments they have concerning the existing program. This might be recommendations to delete, advance, or change the scope of work of existing projects. Although recommendations and project proposals can be provided to the District Office in any number ways, one primary meeting will be held to discuss the existing and proposed program of projects.

D. District Area/MPO/LPA Early Consultation Meeting Process

The District Offices will work with Engineering & Asset Management Business Unit (Technical Planning, Bridge, Pavement, Traffic Engineering Teams), and the MPO/LPA Grant Administration Division (State Transportation Improvement Program (STIP) coordinator) to arrange and host meetings in each district to discuss proposed projects, the INDOT Future Year Transportation Report/Plan needs, STIP, and other transportation issues that may arise. The District Offices will lead the process of establishing needed contacts, arranging meeting particulars, and act as hosts.

Although a District may hold any number of meetings throughout the year, there will be one primary and distinct meeting in each District focusing on consultation with local elected officials and rural planning organizations (RPOs). It will include the District Office, MPOs, and representatives from other INDOT Divisions, as warranted.

Please note that the elected officials within an MPO area are usually represented by the MPO. For communities outside an MPO, input from elected officials is sought. This can be a mayor, town manager, or county commissioner. It will be the responsibility of the elected officials of these "rural" area communities (outside the jurisdiction of an MPO), to be aware of those issues important to their constituents, and to encourage their attendance.

The primary meeting will be set at a time and place agreeable to the majority of participants. Minutes of the meeting will be taken.

The purpose of the meeting is to reach agreement between all parties, through consultation, coordination and cooperation, on the following:

- Proposed new state projects (if any)
- Changes (if any) to the existing program of state and local projects
- The relative priorities of recommended state projects within and across project categories
- Review of INDOT and MPO technical outputs (travel demand model analysis, congestion mitigation analysis, economic analysis, corridor analysis, land-use assumptions, and traffic forecasts benefit cost analysis)
- Discuss existing and potential local policies and programs (complete streets, American Disability Act (ADA) Transition needs, parking restrictions, bike & pedestrian plans, transit expansion, freight/logistics development programs, economic development, and others)
- Land-use development patterns and zoning permits
- Short and long-range transportation system development goals and needs
- MPO and RPO public involvement input relative to INDOT facilities and transportation needs
- Community audit results for select areas and projects (as completed)

The goal of these meetings is to produce an "agreed-to list" of existing and proposed new state projects district-wide including those in MPO and RPO planning areas.

E. Final Recommendations Submitted

Based on the results of the consultation meeting(s), each district will then submit its prioritized list of proposed district area projects to the asset management team. This list will include projects proposed by others and for which agreement has been reached. Minutes of the consultation meeting will also be submitted by each district office and Technical Planning Liaison to the asset management team along with a short report describing how priorities were set.

Stage II: Statewide Review and Program Update

Purpose: To review recommendations to validate needs and costs, prioritize projects statewide and add new projects to the program. The process is one in which the district priorities and project recommendations are assembled into a statewide program.

A. Asset Management Team Reviews

Asset management teams will review project proposals and changes. Asset management teams are organized based on the type of project, and includes both Central Office and District representation. They will check to ensure estimated costs for recommended projects are in accordance with the latest official cost estimating techniques, and perform any other cost validation duties, as necessary.

The Asset Management Teams will also validate project justification. For example, the Technical Planning Section will work within the appropriate asset management teams to determine if any proposed expansion projects have the needed support from the Future Year Transportation Needs Report/Plan, MPO long-range plans, and local through-fare documents. If a project does not prove to have the needed justification and planning support from these plans, the Technical Planning Section will coordinate the analysis with the district and project submitter to reach a determination about the future need of the project.

Each Asset Management Team will then produce a prioritized list statewide for the type of project under its review. This prioritized list of projects with clear justification and planning support will be forwarded to the statewide priority analysis stage.

B. Statewide Priority Analysis

The PMG will then prioritize all proposed projects statewide based on the recommendations from the Asset Management Teams. This statewide prioritization will be conducted in accordance within applicable INDOT procedures and techniques. These will be appropriate to the project type. This process will be based on need, project categories, and agency priorities rather than past funding patterns. In other words, the budget will support current and projected improvement needs, instead of projects being programmed solely to fit a budget based on historical funding patterns.

C. Draft Program Update Report

A draft Program Update Report will summarize new project proposals and show how the new state projects will appear in INDOT's schedule of programmed projects. The report will also illustrate the effects of the new projects on the program and the budget, and set accepted levels of over-programming. The report will also include a list of projects to be deleted from the schedule, or placed on hold, etc., if any.

D. Executive Review and Approval of Report

The PMG will submit the draft Program Update Report to the Deputy Commissioners of Engineering & Asset Management; Capital Program Management; and Operations Business Units for review and approval by members of the executive office as determined by the Deputy Commissioner of the Engineering & Asset Management in consultation with the Commissioner. The Deputy Commissioner will transmit any executive office comments and official notice of approval to the divisions as expeditiously as practicable, including any specific direction or amendments required. The PMG will facilitate revisions of the draft Program Update Report in accordance with the executive office action.

E. External Consultation

The PMG will provide the revised draft Program Update Report to the districts and the MPOs and request comments. At this point, the MPOs may seek public comments via their established procedures. Any concerns must be documented in writing.

F. Final Program Update Report

The PMG will address the district and MPO comments, if any, and produce a Final Program Update Report. The PMG will determine if comments are sufficiently substantive to require further approval by the Deputy Commissioner before the report becomes final.

G. Program Update and Budget Confirmation

The CPFM will then authorize new projects in SPMS and change the existing program to reflect the Final Program Update Report. This involves authorizing those proposed projects that have been approved, or directing changes to existing projects in the program. In other words, actions recommended as a result of the call for projects and the district early coordination meetings will now be reflected in the program of state projects as shown in the production schedule.

At the same time, the PMG will also provide the Asset Management Teams with updated budget estimates of projected federal and state funding for the next 5-years by fiscal year. These budget projections are the projections against which fiscal constraint limits are established for all state projects in the next Indiana STIP.

Stage III: Draft STIP and 5-Year Construction Plan Development

A. Draft Constrained List of State Projects

Purpose: To produce a program document reflecting a fiscally constrained forecast of INDOT statewide projects for federal aid obligations during the next four federal fiscal years.

The State Transportation Improvement Plan (STIP) Office will develop a fiscally constrained program of INDOT highway projects. The product of this process is a draft; constrained list of projects to be used as a basis for developing that portion of the next STIP devoted to INDOT sponsored projects. This draft constrained list will include not only projects seeking federal aid, but all regionally significant projects, regardless of funding source.

B. Internal INDOT Review & Draft Constrained List

The State Transportation Improvement Plan (STIP) Office will deliver the draft fiscally constrained list of INDOT projects to the Chief of Staff and Deputy Commissioner of Engineering & Asset Management and Capital Program Management, the PMG, Asset Management Teams, Intelligent Transportation Systems Division Heads, and Executive Office for review and comment. This review is to ascertain the effects of fiscal constraint in terms of obligations and potential conflicts. Comments will then be provided to the appropriate individuals for response.

Stage IV: STIP Development and Coordination with MPO TIPs

Purpose: To coordinate the content of the draft STIP with the draft TIPs from the MPOs.

A. MPO Consultation on Draft Constrained List

The State Transportation Improvement Plan (STIP) Office will provide the draft, constrained list to the MPOs for review and comment to ascertain the effects of fiscal constraint in terms of obligations and project conflicts. This list will show the first four years of the STIP, plus a fifth year to be included in the 5-Year Construction Plan. Comments will then be returned to the State Transportation Improvement Plan (STIP) Office.

B. Agreed-To Project List Prepared

Based on comments received, the State Transportation Improvement Plan (STIP) Office will modify the draft constrained list as appropriate or necessary, and it will become the final fiscally-constrained “agreed-to list” of INDOT projects of the next STIP and construction plan.

C. List to MPOs for TIP Development

The State Transportation Improvement Plan (STIP) Office will then send to all MPOs the “final fiscally-constrained agreed-to list of state highway projects”. They will also request that the MPOs include in the development of their draft Transportation Improvement Programs (TIPs), those state projects from the list that are located in their respective metropolitan planning areas. These lists will cover a period of at least four, but no more than five, fiscal years. Draft MPO TIPs will then undergo further development by the MPOs. Their procedures will include an opportunity for public review and comment. The product of these activities is a fiscally constrained program of state projects in each MPO TIP.

D. MPO Submittal of TIPs to INDOT, FHWA, AND FTA

When an MPO completes development of its draft TIP, the MPO will send a copy of the draft to: FHWA, FTA, their MPO, LPA, and Grants Administration Division designated MPO Coordinator for review and comment. The designated MPO Coordinator, in turn, will distribute copies to the Inter-Modal Division, Technical Planning Section, Finance Team, and appropriate District Office personnel for the review of the draft document. The MPO Coordinator will collate comments, inputs, or recommendations from INDOT sectional reviews and will consult with designated FHWA and FTA counterpart for additional comments and input. Each TIP must have been adopted by its policy board and include a copy of the resolution approving the document. For MPOs designated as maintenance or non-attainment for air quality, the MPO must send a draft TIP to the reviewing agencies for conformity consultation purposes.

E. MPO TIP Review and STIP/TIP Project Compatibility Check

The purpose of this step is to compare the draft INDOT STIP to the draft MPO TIP. This is to ensure that both reflect the fiscally constrained agreed-to list of state transportation projects in their metropolitan planning areas. The draft TIPs will also be reviewed for conformance with public involvement, air quality, long range plan and other requirements. The STIP Coordinator will ensure that state highway projects in approved MPO TIPs are included in the STIP without modification. The INDOT Transit Section will ensure that transit projects in approved MPO TIPs are included in the STIP without modification. The document is then forwarded to INDOT's Budget & Project Accounting for review of funding items.

F. INDOT Notification of TIP Reviews

MPOs designated as maintenance or non-attainment for air quality, the MPO must first send the final TIP to the reviewing agencies for conformity consultation purposes and a conformity finding by FHWA and FTA before it can be approved by the Governor, or designee.

If the TIP is already approved, a letter of approval signed by the Governor, or designee, will be sent to the MPO, FHWA, and FTA to begin the amendment process. FHWA and FTA will then issue a conformity finding after the Governor's approval letter.

Stage V: STIP PUBLICATION

Purpose: To prepare a final STIP for federal review and approval.

A. STIP Preparation

The State Transportation Improvement Plan (STIP) Office will then prepare the final STIP document for a period of no less than four fiscal years, using the final fiscally constrained agreed-to list of transportation projects.

B. Public Review and Comment Period of STIP

The final STIP will be presented for public review and comment via INDOT sponsored annual meetings at each of its districts. These meetings are developed and conducted under the leadership of the State Transportation Improvement Plan (STIP) Office. Comments from the public and local elected officials will be reviewed and addressed. The team will contact the MPOs and districts for comments on any significant changes resulting from these reviews. The product of this activity will be a draft final STIP with public review and input. Any comments received at the STIP meetings will be summarized in the STIP document accompanied with responses to comments.

C. FHWA and FTA Review of STIP

The State Transportation Improvement Plan (STIP) Office will submit the final draft STIP to FHWA and the FTA for review, final action, and approval. Once approved, a letter from both federal agencies will be issued and sent to INDOT. Transportation projects in the approved STIP will be considered committed projects.

D. Publication and Distribution of Final STIP

The State Transportation Improvement Plan (STIP) Office will then publish the approved STIP. Copies will then be distributed to the MPOs, the districts, the State Library, INDOT Executive Office, FHWA, FTA, and those INDOT divisions requesting the STIP, as the budget allows. Copies of the STIP will also be sent to local public agencies and private corporations by request. INDOT will maintain an electronic version of the STIP document accessible to the general public. The process then is repeated for the next year.

STIP Program Support Functions and Amendments - Overview

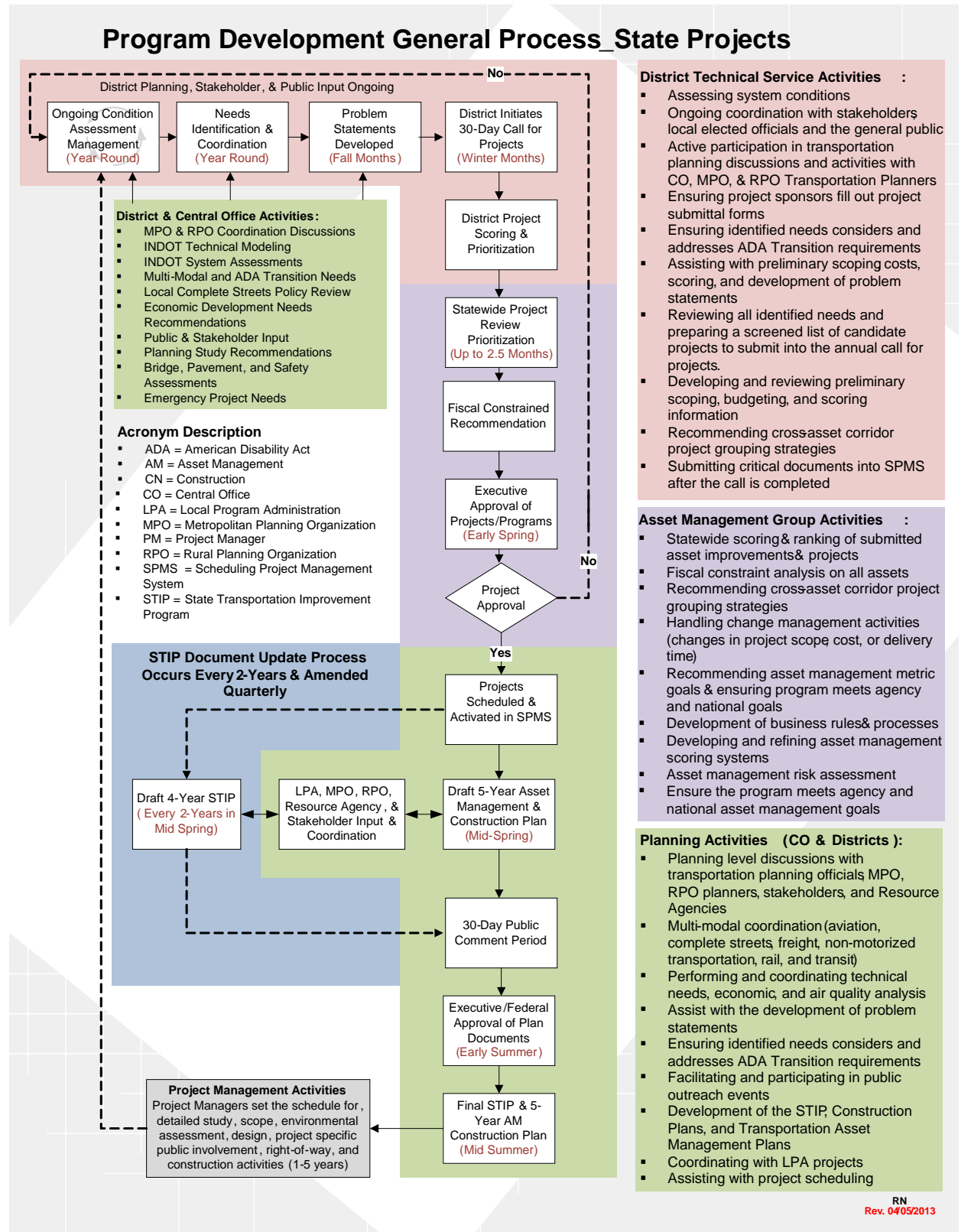
During the period between approval of one STIP and the next, procedures will be in place to assure that:

- The fiscally constrained program of committed projects is reflected in funding obligations.
- STIP changes and amendments are properly coordinated within INDOT and, if needed, with MPOs.

Support Functions. Details of these support functions are provided in the Intermediate-Range Planning procedures entitled “Program Support Functions. For purposes of this process, the support functions provide for the following.

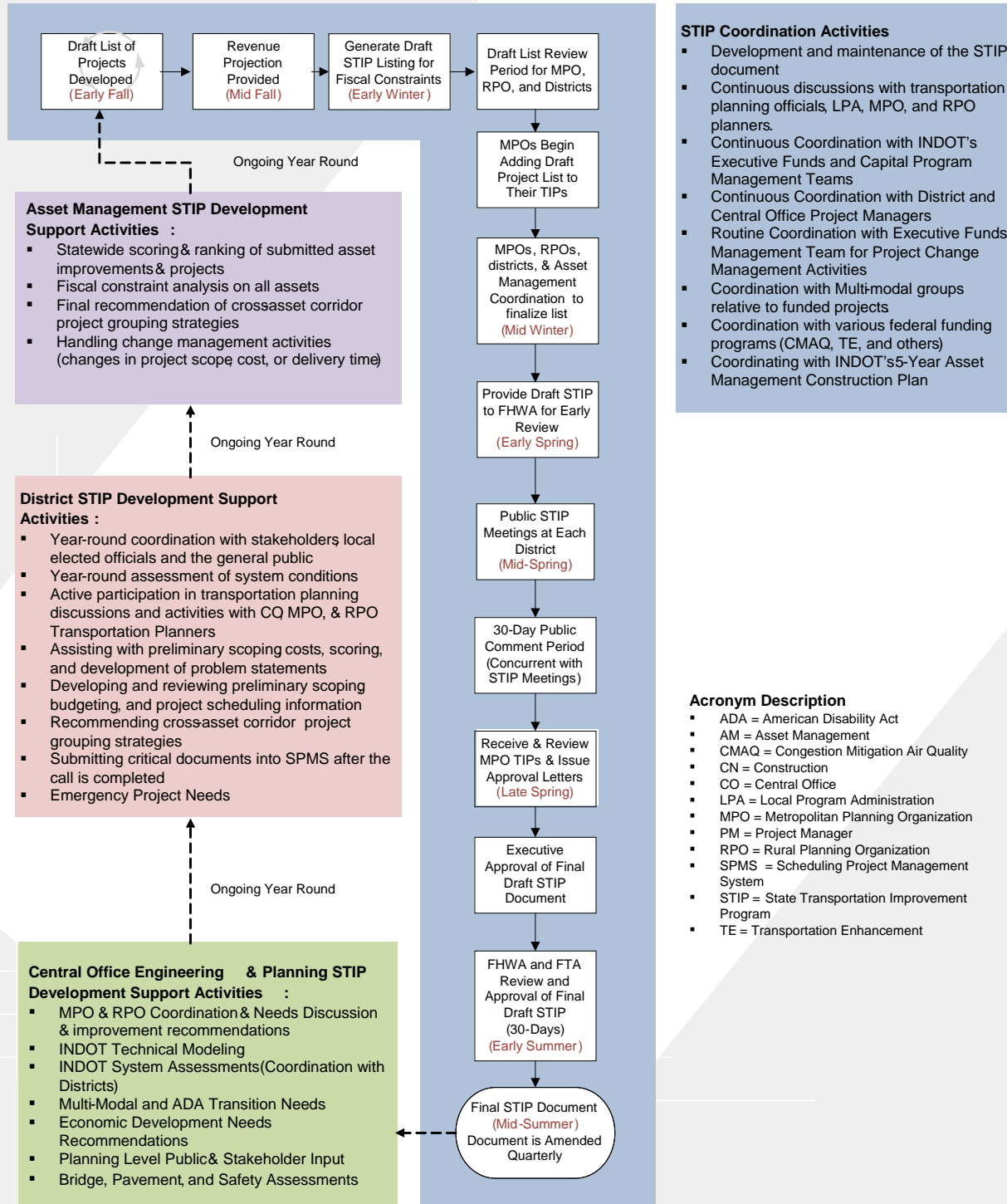
- All committed projects from the INDOT/MPO agreed to list must be programmed in both the STIP and the respective MPO TIP for federal obligations to occur.
- The STIP may be amended per a process agreeable to INDOT, the MPOs, FHWA and FTA. The rules governing amendments are shown in the INDOT/FHWA/FTA STIP Amendment and Notification Criteria.
- The INDOT Executive Office, the Engineering & Asset Management Business Unit, the Division of Multi-Modal Transportation, the Division of Budget and Fiscal Management, the Division of Technical Planning & Programming, and the District Offices will work together to support procedures outlined in the STIP program.
- The APDP and its support functions are open for review and modification, as needed.

Appendix A: PDP- Process (State Highway Projects Only)



Appendix B: STIP Development Process (Every 2-Years)

State Transportation Improvement Program (STIP) Development Process Every 2-Years



RN
Rev. 04/05/2013

Appendix C: STIP AMENDMENT: NOTIFICATION CRITERIA

I. PURPOSE

The following describes the amendment process between the Indiana Department of Transportation (INDOT), the Federal Highway Administration (FHWA), the Federal Transit Administration (FTA) and Metropolitan Planning Organizations (MPOs) for the approved Indiana Statewide Transportation Improvement Program (STIP) and Transportation Improvement Programs (TIPs). It does **not** address the development of a **new** STIP or TIP. Changes in agency priorities, funding availability, project scope of work, project deletions and additions may necessitate a change in project information shown in the STIP.

Because a project may also be listed in the TIP, some of these modifications may require an amendment to the statewide STIP, or to both the STIP and the respective MPO TIP. This is because the project listings in the STIP and an MPO's TIP must agree.

In cases where changes do not require an amendment, notification will be made to the affected organization(s) via email to maintain intergovernmental cooperation. The criteria and procedures for amendments and for notifications follow.

II. DEFINITIONS:

Programmed: A project is "programmed" when it is shown in the INDOT Scheduling Project Management System (SPMS) as approved and authorized for funding. Not all authorized projects are listed in the STIP or a TIP, which cover a period not less than four years.

Listed: A listed project is one that is authorized (or programmed) in SPMS and is shown in the STIP and, if inside the metropolitan planning area of an MPO, in the respective MPO's TIP. All listed projects are programmed unless they are clearly being shown for planning and information purposes, only.

Administrative Modification: Include minor changes to the project listings, and/or funding tables in an existing TIP or STIP. Examples of minor changes: revision to project description without significant change to project scope or conflict with environmental documents; minor revision to project funding phases; changes to the source of funds; or changes to the lead agency. Such minor changes do not affect air quality conformity determination, impact financial constraint, require formal approval, or public involvement; provided required inter-agency consultation and coordination has been accomplished and documented.

Amendment: An amendment is any change to the project listings, and/or funding tables in an existing TIP or STIP of a type shown in the criteria listed below that are not "Administrative Modifications".

These require formal approval from an agency other than the one making the request and are needed to obtain, or maintain, federal funding. They also require public involvement. The agencies that do these reviews are shown as follows.

- Amendments to the STIP are reviewed, and approved or denied by FHWA / FTA.
- Amendment to TIPs requested by INDOT are reviewed, and approved or denied by the respective MPO.
- Amendment requests to a TIP by the MPO for projects funded by the MPO are reviewed, and approved or denied by the MPO, LPA, and Grants Administration Division designated MPO Coordinator.
- Amendment requests by the MPO on behalf of a jurisdiction using funds administered by INDOT are reviewed, and approved or denied by appropriate Program Management Committee (PMC).
- Amendment requests by the MPO on behalf of a transit agency(s) in an MPO area using funds administered by INDOT are reviewed, and approved or denied by the Multi-Modal Division at INDOT.

Note: *If the change were to a project in a year outside those years covered by an approved STIP/TIP, the change would be accounted for in the annual update of the STIP and TIPs. Therefore, an amendment would not be necessary.*

Notifications: In order to maintain inter-governmental cooperation and to preclude potential problems, affected agencies may be notified of any changes to the project listings, and/or funding tables in a TIP and/or STIP, even if an amendment is not required or needed. Notifications do not require, but are not precluded from, public involvement.

III. CRITERIA for STIP/TIP AMENDMENTS

A. Changes Requiring an Amendment: State and Local Jurisdiction Highway Projects-Any Location

1. Deletion of a programmed project from the first year of the current approved STIP/TIP.
2. Addition of any phase of a project into the first year of the STIP or TIP if the project is (A) not currently in the STIP or TIP, and (B) currently programmed in SPMS.
3. Addition of any phase of a *new* project into the first year of the STIP or TIP if the project is *not* currently authorized in SPMS.
4. Substantial change in the scope of work to a project shown in the first year of the STIP or TIP. This includes changes in project termini other than minor adjustments.
5. A change in funding sources across *modes* for existing projects in the STIP or TIP; e.g., the funding for a project changes from transit to STP or vice versa.
6. Movement of a project from an illustrative (information only) list to an STIP or TIP project list.
7. A change in scope that results in a project becoming non-exempt for air quality. **Applies only to projects in non-attainment areas, regardless of funding type.**
8. A change that renders a project out of conformance with a long-range plan, including across analysis years.

9. A change that causes a grant amendment versus a budget revision (transit).

NOTE: *Cost increases for state projects do not require an amendment, regardless of funding source. This is required of only local jurisdiction projects as explained of items “B” and “C”, below.*

B. Additional Change Requiring an Amendment: Local Jurisdiction Highway Projects *outside* MPO Areas, and/or Not funded by an MPO

An amendment is required for an increase in cost above the amount allowable (per the INDOT *Local Sharing Arrangement*) by the funding agency. This may require re-submittal of an application. Any actions taken will be coordinated with the Local Transportation Section and the District Local Assistance Coordinators.

C. Additional Change Requiring an Amendment: Local Jurisdiction Highway Projects *inside* MPO Areas, but *not* funded by an MPO

In addition, an amendment is required for an increase in cost above the amount allowable (per the INDOT *Local Sharing Arrangement*) by the funding agency. This may require re-submittal of application. Any actions taken will be coordinated with the Local Transportation Section and the District Local Assistance Coordinators.

D. Changes Requiring an Amendment: Local Jurisdiction Highway Projects *inside* MPO Areas funded by an MPO

These projects are funded by an MPO from budgets administered at INDOT by the Project Accounting, Budget, & Procurement. Project identification, prioritization and selection for these projects are at the discretion of the MPO within federal and state guidelines. The State Transportation Improvement Plan (STIP) Office insures that *new* projects of this type are listed in an approved *new* MPO TIP and are programmed into the schedule via a project data sheet completed by the MPO. Otherwise, the Intermediate-Range Planning Division processes any changes or amendments directly with the MPO with involvement from MPO/LPA Grant Administration Division.

E. Changes Requiring an Amendment: Transit Projects:

The State Transportation Improvement Plan (STIP) Office does not handle the programming of these projects. These projects are the responsibility of the Multi-Modal Division which will work directly with the State Transportation Improvement Plan (STIP) Office and the MPOs. They will check any additions or changes for compliance with federal and state guidelines as well as for fiscal constraint.

IV. AMENDMENT PROCEDURES/RESPONSIBILITIES

A. MPO, LPA, & Grants Administration & State Transportation Improvement Plan (STIP) Office

The MPO, LPA, & Grants Administration & State Transportation Improvement Plan (STIP) Office will be responsible for state projects and for cost increases to local jurisdiction projects not funded by an MPO.

It will process these changes as follows.

1. The MPO, LPA, and Grants Administration Division designated (INDOT MPO Coordinator) will notify the appropriate MPO, if needed, and request an amendment to their TIP.
2. The MPO, LPA, and Grants Administration Division designated MPO Coordinator will notify the Intermediate-Range Planning Division who will authorize or delete the subject project from SPMS with a note indicating an amendment to an MPO TIP is pending.
3. The MPO will notify the designated INDOT MPO Coordinator of their approval, or disapproval, of the proposed amendment.
4. The INDOT MPO Coordinator will then notify the State Transportation Improvement Plan (STIP) Office of this action and provide any needed documentation for amendment to the STIP.
5. If an MPO based amendment **is** needed, the State Transportation Improvement Plan (STIP) Office will then amend the STIP as appropriate with supporting MPO documentation as provided.
6. If an MPO based amendment is **not** needed, the State Transportation Improvement Plan (STIP) Office will program the project and amend the STIP.

Note: Any changes to the STIP or TIPs that are needed to support requests to obligate federal funds are the collective responsibility of the State Transportation Improvement Plan (STIP) Office and MPO/LPA Grant Administration Division.

For cost increases to local jurisdictional projects funded by and MPO

1. The MPO, LPA, and Grants Administration Division designated (INDOT MPO Coordinator) will notify the appropriate MPO, if needed, and request an amendment to their TIP.
2. The State Transportation Improvement Plan (STIP) Office will then amend the STIP as appropriate with supporting MPO documentation as provided.
3. If an MPO based amendment is **not** needed, The State Transportation Improvement Plan (STIP) Office will program the project and amend the STIP as appropriate.

B. Multi-Modal Division, Transit Section

The Public Transit Section, Multi-Modal Division, will notify the MPO and/or the urban transit systems of the date of the approved INSITP or STIP transit related amendment, and the STIP's page number upon which that transit system's projects are listed. Transit agencies are required to report those items when submitting their annual federal grants.

VI. CRITERIA for NOTIFICATIONS-STIP/TIPs (for Administrative Modifications)

A. Any Jurisdiction Highway Projects:

1. A change from state funds to federal funds for a listed project.
2. A change from federal funds to state funds for a listed project.
3. Movement of listed project phase from one year to another in STIP or TIP
4. Substantial change in costs for listed state highway projects
5. Change in cost within allowable limits for local federal aid projects. Otherwise, see part III, sections B, C, or D and process accordingly.
6. Break out of smaller projects as components of a project already in the program. This includes the addition of amenities such as landscaping, lighting, etc.

VI. NOTIFICATION PROCEDURES AND RESPONSIBILITIES

A. MPO, LPA, & Grants Administration

The MPO, LPA, & Grants Administration designated MPO Coordinator will be responsible for notification action items 1, 2, 3, 4, 5 and 6, listed above in “**A. Any Jurisdiction Highway Projects**” and will notify FHWA, the State Transportation Improvement Plan (STIP) Office, and any affected MPOs, as appropriate.

Appendix D: STIP Amendment Request Process

All STIP and TIP amendment requests are to be routed through the Technical Planning & Programming Division State Transportation Improvement Plan (STIP) Coordinator. Listed below are two distinct STIP amendment processes for projects in an MPO or Rural area.

A. Projects Not Located Within an MPO Planning Area

1. Requested amendment must be entered into the STIP Amendment Excel Spreadsheet.
 - a. District Managed Projects – complete the spreadsheet and submit to appropriate District Funds Manager. The District Funds Manager will then submit the excel spreadsheet to the appropriate Central Office Transportation Planning Liaison.
 - b. All Other Managed Projects – The Project Manager will complete the excel spreadsheet and will submit to the appropriate MPO/LPA Grant Administration Liaison.
2. The Central Office Transportation Planning Liaison will coordinate with the appropriate MPO staff, gather additional information and forward the request and Excel Spreadsheet to appropriate staff and District Funds Manager (for non-district managed projects).
3. The requested project or phase amendment will be included in the next available STIP amendment for FHWA approval.
4. Once the FHWA approval has been received, an email with the approval letter will be sent to the appropriate, MPOs, Funds Manager, and/or Project Manager.
5. The Schedule Performance Monitoring System (SPMS) log notes will be updated by Central Office Transportation Planning Liaison or STIP Coordinator with the latest amendment information.

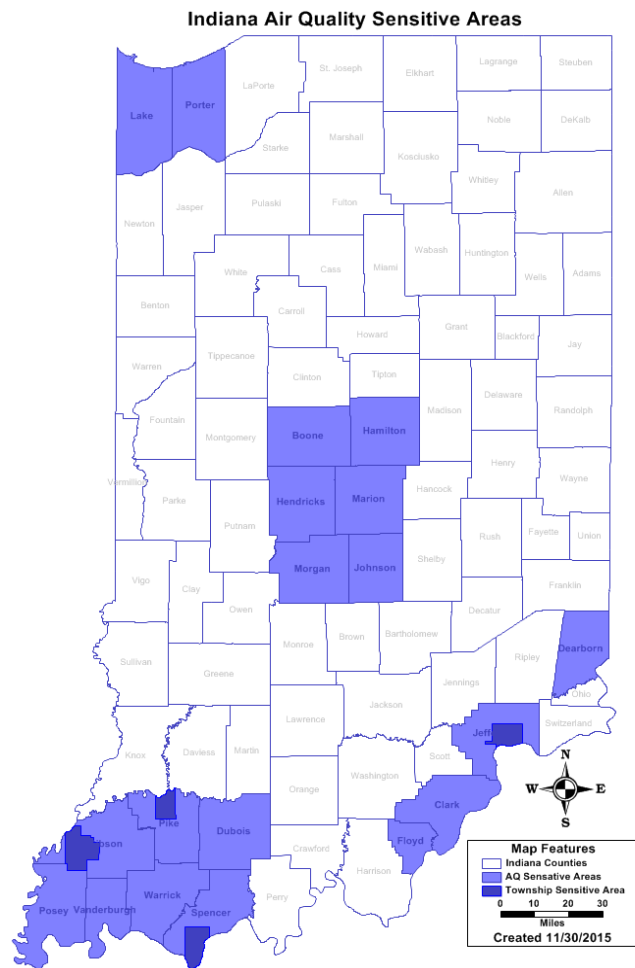
B. Projects Located within an MPO (Non Air Quality Sensitive) Area but Not in a Current TIP:

1. Requestor will need to complete the STIP Amendment Excel Spreadsheet and forward to the appropriate Central Office Transportation Planning Liaison for processing to MPO. (Copying the requestor and district on the correspondence).
2. When the MPO has amended the project into their TIP, the project will then be amended into the next available STIP amendment (the TIP amendment will occur based on the MPOs amendment timeline. The MPO will forward the amendment excel spreadsheet along with the TIP amendment documentation to Central Office Transportation Planning Liaison for processing. (Copying the requestor and district on the correspondence).
3. Central Office Transportation Planning Liaison will send the amendment spreadsheet and TIP documentation to the STIP Coordinator to process the STIP amendment. (Copying the requestor and district on the correspondence).
4. When FHWA approval has been received an email with the approval letter will be sent to the appropriate MPO, District Funds Manager, and Project Manager

5. The Schedule Performance Monitoring System (SPMS) log notes will be updated by The State Transportation Improvement Plan (STIP) Office with the latest TIP and STIP amendment information.

C. Projects Located within an MPO (Non- Air Quality Sensitive) area, but is in the Current TIP:

1. The MPO will complete the amendment excel spreadsheet and provide documentation of the project listing in the current MPO TIP and forward both to the appropriate Central Office Transportation Planning Liaison for STIP amendment with a copy to the appropriate District Funds Manager.
2. The Central Office Transportation Planning Liaison will coordinate with the appropriate MPO staff, gather additional information and forward the request and Excel Spreadsheet to the State Transportation Improvement Plan (STIP) Office. The Central Office Transportation Planning Liaison will notify the STIP Coordinator of STIP Amendment request, with copy to the district and original requestor.
3. The requested project or phase amendment will be included in the next available STIP amendment for FHWA approval.
4. Once the FHWA approval has been received, an email with the approval letter will be sent to the appropriate, MPOs, Funds Manager, and/or Project Manager.
5. The Schedule Performance Monitoring System (SPMS) log notes will be updated by the State Transportation Improvement Plan (STIP) Office with the latest amendment information.



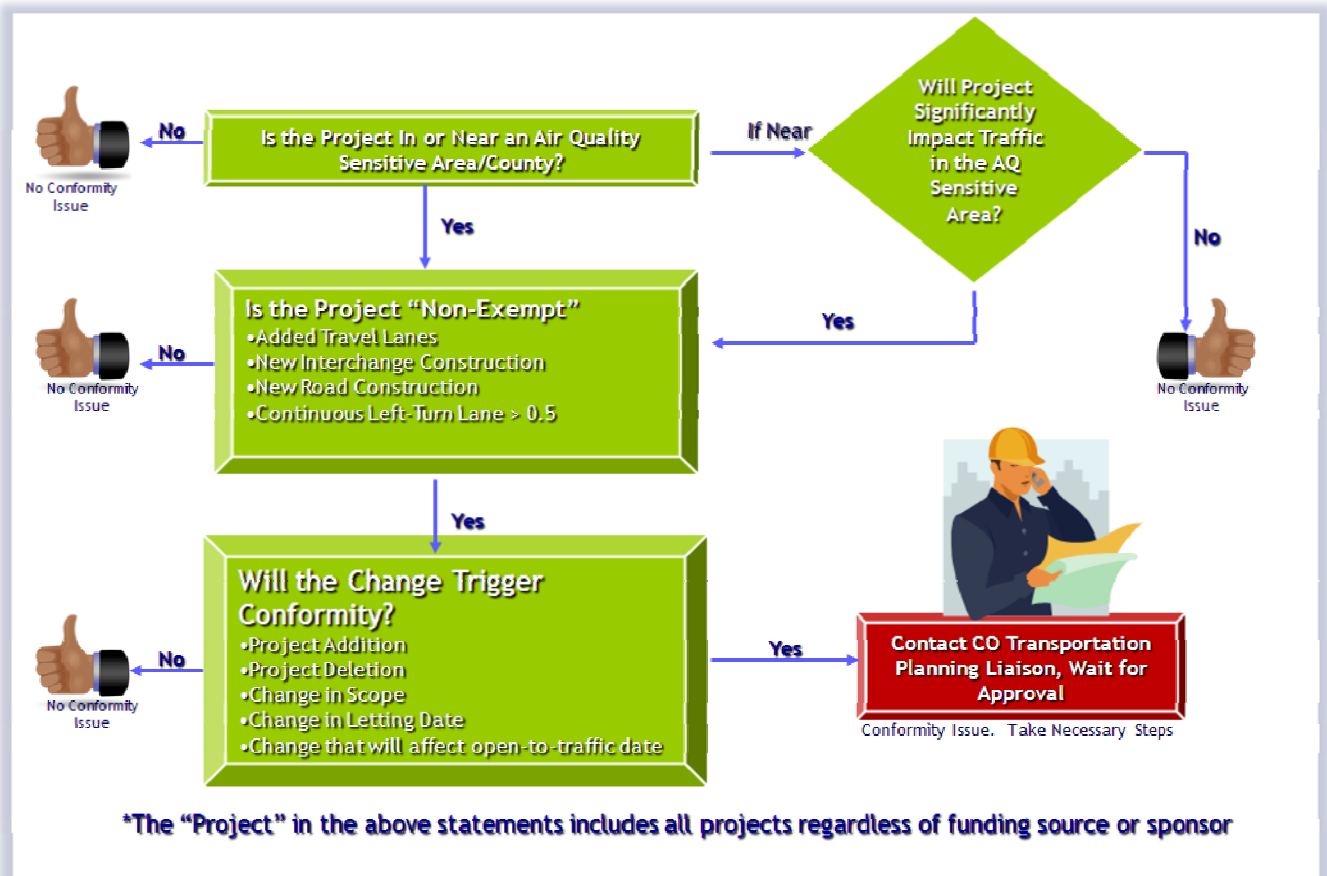
C. Projects Located Within an MPO in an Air Quality Sensitive Area (See Sensitive Area Map):

- The Central Office Transportation Planning Liaison will determine if the project:
 - Is “Non-Exempt” = Added Travel Lanes, New Interchange, New Road, Continuous Left Turn Lane >0.5 mile.

- Will it trigger conformity = Project Addition, Project Deletion, Change in Scope. Change in Letting Date, Change that will affect Open-to-Traffic date.

Note: If a project does trigger conformity, it may take up to a year to get the project amended accordingly. TIP Amendment steps as previously noted for non-air quality area will be completed, but air quality conformity will have to be done prior to any amendment being official.

Air Quality Conformity Check List



Appendix D: INDOT Division Structure

INDOT District Offices

INDOT District Offices – The District Offices serve as the front line for interaction with the general public and local elected officials. They are responsible for:

- Roadway Maintenance activities: snow plowing, roadway infrastructure repairs, mowing, roadway resurfacing, and other related items
- Various transportation planning and local coordination
- Overseeing various construction activities
- Participating in MPO Policy Board meetings, public hearings, and are active members of the Asset Management Teams.
- Issuing the Call for Projects for their respected regions

For maps and contact information regarding the INDOT District Offices, please visit our website:

<http://dotmaps.indot.in.gov/apps/districtmaps/>

District Public Involvement Activities

District Public Involvement Assignments:

INDOT Procedure	Public Involvement Activities
Update of INDOT Future Year Transportation Needs Report/Plan	<ul style="list-style-type: none"> ▪ Reliance on MPOs' public involvement processes for the Metropolitan Transportation Plan (MTP). MTP projects are coordinated with the INDOT Long Range Plan ▪ District-wide APDP Early Coordination Meetings ▪ District Public Meetings ▪ Publication, distribution, and website posting of INDOT Future Needs Report/Plan ▪ Website feedback link
STIP, including draft STIP and amendments to the STIP	<ul style="list-style-type: none"> ▪ Public participation through appropriate MPO ▪ Reliance on MPOs' public involvement processes for the MPO TIP. TIP projects are coordinated with the STIP. ▪ District-wide Early Coordination Meetings with affected non-metropolitan local officials with transportation responsibilities. ▪ District Public Meetings – presentation of draft STIP for public review and comment ▪ Publication of draft STIP and ultimately final STIP ▪ Availability of STIP and amendments thereto on INDOT's Website
Update of APDP Consultation Process (done every 5 years)	<ul style="list-style-type: none"> ▪ District Public Meetings ▪ Minimum of 60-day public comment period on effectiveness of existing consultation process and proposed modifications

District Technical Services PDP Support Activities

District Technical Services Activities:

- Assessing transportation system conditions
- Reviewing sponsored project information and ensuring project sponsors fill out project submittal forms
- Ensuring identified needs considers and addresses the American with Disability Act (ADA) Transition requirements
- Assisting with and developing preliminary scoping, costs, scoring, budgeting, and the development of problem statements for various projects
- Reviewing all identified needs and preparing a screened list of candidate projects to submit into the annual call for projects.
- Recommending cross-asset corridor project grouping strategies

District Capital Program Management PDP Support Activities

District Capital Program Management Activities:

- Ongoing coordination with stakeholders, local elected officials and the general public
- Active participation in transportation planning discussions and activities with CO, MPO, & RPO Transportation Planners
- Project Management

INDOT Engineering & Asset Management Business Unit PDP Support Activities

- **Technical Planning & Programming Division**
 - Development and Maintenance of Future Year Planning and Transportation Asset Management Plans
 - Performing Air Quality Conformity Analysis in rural areas
 - Participation in Inter-Agency Air Quality Conformity Discussions with MPOs, US EPA, Department of Environmental Management (IDEM), FHWA, and others
 - Coordination with MPO, RPO, and District Planning Staff regarding future year transportation needs
 - Multi-Modal Coordination (freight, rail, aviation, and transit infrastructure investment needs)
 - Bike and Pedestrian Planning Coordination
 - Coordination with local policies and programs (e.g. Complete Streets and ADA Transition Plans)
 - Participating in public involvement activities for major capacity projects (added travel lanes, new road construction, new interchange, and freeway upgrades).

- Providing planning level technical model analysis on major capacity improvements. Technical analysis includes: travel demand modeling, benefit/cost analysis, economic benefit analysis, air quality conformity coordination, traffic forecasting.
- Pre-National Environmental Protection Agency (NEPA) activities.
- Traffic data collection (traffic counts and turning movement counts)
- Road Inventory Data Collection (pavement conditions, roadway attributes, and mileage)
- Assisting Asset Teams (Bridge, Pavement, and Mobility)

- **Bridge Division**
 - Oversee statewide bridge and small structure inspection and maintenance activities
 - Oversee statewide bridge management system assessments and activities
 - Development of bridge and small structure improvement projects for recommendation and consideration into the annual call for projects
 - Review and recommend for approval bridge and small structure change management requests and applications
 - Overseeing and performing bridge design and construction activities

- **Traffic Engineering Division**
 - Oversee Safety Projects Statewide
 - Develop and maintain federally required Highway Safety Improvement Program (HSIP) in coordination with MPOs Safety Programs
 - Perform feasibility analysis for major new capacity projects statewide and assists with the evaluation of major new capacity needs (added travel lanes, new road construction, new interchanges, and freeway upgrades)
 - Recommends major new capacity improvements for further development
 - Works directly with the Planning and Asset Management Division for evaluation of current and future year roadway infrastructure needs

- **Roadway and Pavement Division**
 - Oversee Statewide Pavement and Culvert Projects
 - Recommends pavement projects based on pavement life-cycle-cost-analysis
 - Reviews Roadway and Pavement Change Management Requests

LPA Grant Administration Division

- **LPA & Grant Administration Division**

- The distribution of federal funds to local public agencies (LPA). The following funds are distributed as grants: “surface transportation program” (STP funds), Hazard Elimination/Safety (HES funds), transportation enhancement (TE funds), minimum guarantee (MG funds) and the bridge program (BR funds).
- Congestion Mitigation/Air Quality (CMAQ) Program - The division is responsible for issuing the call for CMAQ projects and determining CMAQ eligibility. The CMAQ program is designed to fund transportation projects or programs that will contribute to attainment or maintenance of the national ambient air quality standards (NAAQS) for ozone, carbon monoxide (CO), and particulate matter (PM). The CMAQ program supports two important goals of the Department of Transportation: improving air quality and relieving congestion. The Division Liaison/Contact will be responsible for coordinating with the Central Office Transportation Planning Liaison in accessing eligibility.
- Transportation Alternative Program (TAP) - TAP provides funding for programs and projects defined as transportation alternatives, including on- and off-road pedestrian and bicycle facilities, infrastructure projects for improving non-driver access to public transportation and enhanced mobility, community improvement activities, and environmental mitigation; recreational trail program projects; safe routes to school projects; and projects for planning, designing, or constructing boulevards and other roadways largely in the right-of-way of former Interstate System routes or other divided highways.
- Maintaining the local Program Development Process (PDP-L) which can be found at: [http://www.in.gov/indot/files/PDP_L\(1\).pdf](http://www.in.gov/indot/files/PDP_L(1).pdf).

INDOT Finance Business Unit

- **Capital Funds Program Management** - Provides data management reporting to INDOT Executive Office Team regarding the asset management program and recommendations by asset type. Group supports scoring, scheduling, and provides statewide project management services.
- **Project Accounting, Budget, & Procurement** – Responsible for providing the Planning Funds to MPOs and other planning activities. Group is also responsible for coordinating with the Capital Program Management Committee in terms of setting funding targets.

Appendix E: Call for Projects Application Form (Mini-Scope)

Call Application Report Project (Mini Scope)									
FORM VERSION: 7/6/2015					FORM VERSION BY: Andrew Fitzgerald, PTOE, PE				
Date:					District:				
DES:					Sub-District:				
Proposed FY:					Asset Group:				
Work Type:					Work Category:				
Project Location									
Route:	City/Town:	County 1			County 2				
RP Start:	Latitude Start:			Longitude Start:					
RP End:	Latitude End:			Longitude End:					
AAADT FY:	AAADT:	% Trucks:							
Length:	# Lanes:	Lane Mi:							
Func. Class:	Area:			NHS:					
Str. #	NBI #:	Bridge / Culvert: Length (FT) / Width (FT):			Bridge Area (SFT):		Year Built:		
Location Description:									
SEE IT: WHAT IS THE CURRENT AND PROJECTED CONDITION AND WHY IS THIS A PROBLEM (FOCUS ON THE PROBLEM)									
<div style="border: 1px solid black; height: 150px;"></div>					INSERT ONE OR TWO PICTURES OF PRIMARY PROBLEM:				
					<div style="border: 1px solid black; height: 150px;"></div>				
DATE AND TYPE OF LAST MAJOR TREATMENT:									
PROJECT CONDITION RATINGS					LOS:		Crash Rate:		DATE:
Wearing Surface:			Deck:		Bridge/Culvert Super:		Substructure (Bridge/ Culvert):		
Type I Culverts/ pipes:				Bridge Scour:		Bridge Paint:		Culvert:	
IRI:		PCR:		RUT:		Friction #:		Other:	
INTENT/ PURPOSE OF PROJECT (INITIAL STATEMENT OF ESSENTIAL PROJECT PURPOSE:									
Completed FULL SCOPE			KPI Delta:		KPI UNITS:				
OWN IT: Alternatives									
PRELIMINARY ALTERNATIVES THAT ARE CONTEMPLATED (ANALYSED) WITH COSTS:									

CONSEQUENCES IF NO ACTION IS TAKEN (DO NOTHING ALTERNATIVE IS SELECTED):

SECONDARY CONSIDERATIONS OR GOALS WITH COSTS:

Attach extra sheets as necessary to fully describe the alternatives.

Will Further Analysis/Assessment be required beyond this form?

SOLVE IT: Project Recommendations and Costs

QUANTIFIABLE PRIMARY GOAL(S) OF PROJECT (WHAT ARE WE PURCHASING SUCH AS CONDITION, SERVICE LIFE, LOS, OR CRP):

Estimated Total Project Costs:		\$0.00	COMMENTS	
Right of Way Purchase (RW1):		COST:	\$0.00	
Right of Way Services (RW2):		COST:	\$0.00	
Preliminary Engineering 1 (PE1):		COST:	\$0.00	
Preliminary Engineering 2 (PE2):		COST:	\$0.00	
Maintenance of Traffic:		COST:	\$0.00	
Railroad PE (RR1):		COST:	\$0.00	
Railroad PE (RR2):		COST:	\$0.00	
Environmental Study:		COST:	\$0.00	
Utilities PE (UT1):		COST:	\$0.00	
Utilities CN (UT2):		COST:	\$0.00	
Construction (CN):		COST:	\$0.00	
Construction Engineering (CE):		COST:	\$0.00	
Relinquishment Payment (RQP):		COST:	\$0.00	
Other Considerations:		COST:	\$0.00	
Other Projects within Limits				
DES:	FY:	Work Type:	Location:	
DES:	FY:	Work Type:	Location:	
DES:	FY:	Work Type:	Location:	
Miscellaneous Notes				
ANTICIPATED NUMBER OF CONSTRUCTION SEASONS TO COMPLETE(1, 2 or 3 seasons):				
ANTICIPATED NUMBER OF YEARS TO COMPLETE DESIGN (1, 2 or 3 fiscal years):				
CALL HISTORY:				
Attachments				
Pictures:		Asset Team Scoring Sheet:		Mobility History:
Spreadsheets (calcs):		Engineer Assessment:		
Solution Schematic:		Bridge/Culvert Inspection Report:		
Cost Calculations:		Accident History:		
Location Map:		Pathway Data:		
Additional Comments				
Other items relevant to the project not specifically listed elsewhere.				
NOTE: Appropriate environmental and assessment process need to be followed.				
Report Prepared By and Approved By				
Report Prepared By and Approved By		Title:	Signature	
Prepared by:		District Asset Engineer		
Prepared by:		District Scoping Engineer		
Reviewed by:		Systems Assessment		
Approval by:		Technical Services		APPROVED ON:
NOTE: Any changes require a re-submittal of Call Application Report.				
FORM VERSION: 7/6/2015		FORM VERSION BY: Andrew Fitzgerald, PTOE, PE		

Appendix F: Community Context Audit Form

Community Audit Forms are linked to INDOT’s Survey Monkey Site and will be accessible and performed by INDOT, MPO, and RPO staff. INDOT is working on linkages for local government access.

Community Context Audits will be filled out for Major Roadway Construction Projects Only (added capacity, new road construction, new interchange, intersection improvements, road reconstruction, or projects where the community have expressed a desire for bike lanes, road diet, traffic calming, road-side parking, or other related amenities. Community Context Audits

INDOT Community Context Audit

1. INDOT DES Number:

2. Project Location (Town or City, and County):

3. Project Type:

- Road Reconstruction
- Resurfacing, Restoration, Rehabilitation (3R)
- Added Travel Lanes
- New Road Construction
- Intersection Improvements
- Interchange Modification
- New Interchange
- New Bridge
- Other

4. Project Limits:

Route

From

To

5. Reason for Project:

6. Local Jurisdiction:

7. Local "Expert(s)":

8. Individual Completing Audit:

Next

INDOT Community Context Audit

Major and Minor Projects Community Context Audit

Review the Community Context Audit based on the transportation, environmental, and community research. Then, contact the local expert(s) to complete the Community Context Audit.

Answer the following questions using a broad project area that includes project limits, adjacent development, and any other parts of the community where access will be impacted by the project.

Existing Community Characteristics

9. Describe the project area's existing land use (i.e. residential, commercial, agricultural, mixed use):

10. Existing Community Characteristics

	Yes*	No	Not Sure	N/A
Does the project area have multi-modal (vehicle, pedestrian, bicycle, rail, etc) features?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Are there important Cultural (settlement patterns, customs, civic/religious buildings, institutions) features or events near the project area?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Are there important Social or Community (natural/physical boundaries, social interaction, shared spaces) features near the project area?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Are there important Scenic, Natural, or Recreational (landscape elements, parks) features near the project area?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Are there important Environmental (environmental, historical, archeological, architectural, Red Flag results) features near the project area?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
When compared with Indiana demographics, are there unique census characteristics for this community?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*If answering Yes above, please describe

11. Community Planning

	Yes*	No	Not Sure	N/A
Does the area have a comprehensive plan?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Is this project in conflict with comprehensive plan?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Are there any special studies associated with this project?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Are there other planned projects that may tie into this project?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*If answering Yes above, please describe

12. Economic Development

	Yes*	No	Not Sure	N/A
Is there any known new development or redevelopment near the project area?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Is the local economy supported by historic, natural, cultural and entertainment resources or events?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*If answering Yes above, please describe

13. Infrastructure

	Yes*	No	Not Sure	N/A
ADA compliance concerns	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Benches/seating, trash containers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Bike facilities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Landscaping, street trees	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sidewalks, crosswalks	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Street or pedestrian lighting	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Traffic controls (signals, stops, roundabouts)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Transit stops/shelters	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Wayfinding, gateway, other signage	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
On-street parking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other infrastructure	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*If answering Yes above, please describe

14. Other

	Yes*	No	Not Sure	N/A
Are there perceived traffic safety issues?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Have any commitments been made related to this project?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Are there partnership opportunities related to this project?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Are there any other major concerns/issues of the community?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Are there major community activities or events impacting the project that we should be aware of?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*If answering Yes above, please describe

15. Public Involvement

	Yes*	No	Not Sure	N/A
Does a public opinion already exist regarding the project?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Are right-of-way acquisitions anticipated?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*If answering Yes above, please describe

16. Stakeholder Involvement - Are there any Potential Stakeholders that fall in the categories below:

	Yes*	No	Not Sure	N/A
Governmental Agencies (federal, state, local, regional, MPO, emergency management)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Non-governmental organizations (environmental, health, citizen, neighborhood, civic, historic, schools)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Environmental justice communities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Residents/Businesses in immediate area	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Economic interest in project outcome	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Roadway Users (local, commuters, tourists, trucking, agricultural)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other stakeholders	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

*If answering Yes above, please describe

17. What is the community expectation for the transportation project?

18. Additional Comments:

Prev Done

