Indiana Department of Transportation
2019 Title VI Goals and
2018 Accomplishments Report

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Prepared by:

Kimberly Radcliff, MBA
INDOT Title VI Program Manager
100 North Senate Avenue, Room N925
Indianapolis, Indiana 46204-2216
Phone: (317) 232-0924
Facsimile: (317) 2321499
Kradcliff@indot.in.gov
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INDOT’S 2019 GOALS AND 2018 ACCOMPLISHMENTS REPORT

This report should be read in light of INDOT’s Annual Title VI Implementation Plan which outlines INDOT’s Programs and Policies that it implements and adheres in order to ensure its Title VI Compliance. Part of those policies include annual program area reviews, which include data collection and analysis to identify and address discrimination if found to exist, training workshops, subrecipient compliance reviews, and INDOT’s complaint policy.

INDOT’s Title VI Program Year runs from October 1 thru September 30 annually and mirrors the federal fiscal year.

This report identifies INDOT’s accomplishments during the previous program year, in this case 2018, and establishes goals guided by and derived from data gathered in 2018 and previous years as well as agency input and input from Federal Highway Administration (FHWA). INDOT also welcomes public input on its selection of annual goals. Public input may be directed to INDOT’s Title VI Program Manager (“Program Manager”) at:

Kimberly Radcliff, MBA
INDOT Title VI Program Manager
Indiana Government Center, North Building, Room N925
100 N. Senate Avenue, Indianapolis, IN 46204
(317)232-0924
Kradcliff@indot.in.gov

The following sections identify INDOT’s 2018 Accomplishments and 2019 Goals in light of the data reviewed for each area below:

- **Program Area Reviews**
  - Program Areas Included in the Title VI Program
  - Integrated (Cross-Division) Programs Included in the Title VI Program
  - Identification of Special Emphasis Program Areas

- **Subrecipient Compliance Monitoring**
  - Contract Compliance Monitoring
  - LPA / MPO Compliance Monitoring
  - University Compliance Monitoring

- **Title VI Training**
  - Internal Nondiscrimination & Accessibility Training
  - External Nondiscrimination & Accessibility Training

- **Title VI Complaints**
PROGRAM AREA REVIEWS

GENERAL SUMMARY

The 2018 annual assessment revealed that INDOT continues to benefit from additional district-level engagement, our overhauled program website and Actionstep Case Management System implementation. In addition, the program areas analyzed and included with liaisons continue to be evaluated and expanded on an ongoing basis to include more program areas and more integrated representation within the divisions. INDOT continues to expand its internal working group and promote staff awareness and participation. In 2017, INDOT put mechanisms in place to gather data in key areas it explored in 2016 now that its subrecipient monitoring program has been fully developed and is operational. Data is being gathered for professional services contracting, real estate, environmental justice, limited English proficiency and Accessible Pedestrian Signal (“APS”).

As a result of changes made to INDOT’s Title VI Program, The Federal Highway Administration (FHWA) upon completion of its compliance review of INDOT in 2016 provided notice that INDOT had resolved its deficiencies and was in compliance with Title VI. INDOT continues to implement the changes made to ensure a fully effective and operational agency-wide Title VI program. INDOT’s program documents were again accepted in 2017 and FHWA has been invited to participate in this report.

2018 PROGRAM YEAR SUMMARY OF ACCOMPLISHMENTS

The following is a summary of the accomplishments INDOT made in FFY 2018 tied to the above FHWA and INDOT goals.

INDOT’S APPROACH TO INTERNAL COMPLIANCE REVIEWS WAS REVISED

INDOT revised its approach to internal compliance by increasing the frequency of communications between the Program Manager and Liaisons. As a result Title VI representatives within the agency actively assisted in developing procedures for the collection of statistical data (race, color, or national origin) of participants in, and beneficiaries of State highway programs, i.e., relocatees, impacted citizens and affected communities. 23 CFR 200.9 (b)(4).

The internal network was developed as a result of a review of prior practices which were evaluated as ineffective in achieving results. After two (2) years of operations with the increase communications in INDOT’s internal network which is the current approach, it has been observed that there is an increase in effectiveness demonstrated by the following:

- Increased attendance and participation during internal training opportunities.
- Increased dialogue between the Program Manager and the interdisciplinary team.
- Increase in the number of program achievements and annual goals met.
- Increased awareness of Title VI requirements by and among employees.

1All references to FFY 2017 shall refer to the federal fiscal year which is 10/1/16 – 9/30/17. INDOT’s fiscal year for 2017 is from 7/1/17 – 6/30/18.
Key program areas, such as the Local Public Agencies (LPAs) and Metropolitan Planning Organizations (MPOs) Division and the Design Division have already had teams established and tasks identified and assigned. Meeting minutes from each program area and/or district meeting are maintained by the Program Manager as compliance records.

In both FFYs 2015 and 2016, the district liaison approach was tested by the Program Manager with positive results. District and program area liaisons were responsive to the Program Manager’s requests in a timely manner. The Liaisons regularly discussed Title VI requirements during staff meetings, although minutes were not always kept for these interactions. Liaisons assisted in providing numerous Title VI training opportunities for INDOT employees and in the resolution of INDOT’s Title VI deficiencies.

The liaison approach was continued and expanded upon in FFY 2016. The Program Manager increased the numbers of visits to the districts from one per year to two and three per year, and engaged the districts in public outreach events, including State Transportation Improvement Program (STIP) meetings as well as CAWG (Community Advisory Working Group) meetings.

**INDOT CONTINUES TO DULY IMPLEMENT ITS SUBRECIPIENT MONITORING PROCEDURES**

INDOT has developed and implemented a risk-based subrecipient monitoring process for all subrecipients of federal funds, including LPAs, MPOs, contractors, consultants and universities. The process defines:

- How INDOT prioritizes conducting annual subrecipient reviews;
- What form the reviews will take (desk or onsite);
- Criterion for onsite reviews;
- The documentation from subrecipients required for review;
- Determining metrics and parameters for substantial compliance; and,
- How the reports will be distributed to subrecipients.

These subrecipient monitoring procedures are reflected in INDOT’s Title VI Implementation Plan. In FFY 2018, INDOT:

- Acquired the case management system, Actionstep, to track, analyze and run reports pertaining to Title VI and hired additional staff dedicated to subrecipient compliance monitoring;
- Included a Title VI and ADA certification in the prequalification packet for contractors and consultants;
- Provided web-based training for contractors and consultants; and
- Developed a website for each specific subrecipient audience with targeted resources and both in person and online training opportunities.
INDOT HAS REVISED AND EXPANDED ITS NONDISCRIMINATION TRAINING PROGRAM

INDOT has provided training to all of its liaisons, Program Area Representatives (PARS) and managers in key program areas since 2015, representing about 250 key staff members. In FFY 2017, INDOT continued to work closely with INDOT Talent Management to train incoming employees, participating in live onboarding training and providing ample opportunity for the balance of INDOT’s staff to receive training using the new platform procured by the Division. Additional training modules have been developed that can be integrated with our new platform and launched online. In 2018 & 2019 INDOT is exploring partnership with LTAP and other available agencies and organizations to create more virtual training opportunities as well as exploring the best available option for hosting its own virtual training.

In addition, INDOT tripled its live in-district training sessions which included an opportunity to participate remotely. INDOT is collaborating with the Title VI Coordinators’ Association to provide certification training through INDOT University in FFY 2019 as well as again hosting its Nondiscrimination and Accessibility Summit in October of 2018.

More specific information about INDOT’s training materials and those who received training can be found below in the overview of INDOT’s Title VI Policies, Practices & Procedures subsection on training. The general workshop training materials used each year will be provided upon request and will be posted online at http://www.in.gov/indot/3591.htm

GENERAL PROGRAM AREA REVIEWS

Program areas are identified and selected for Title VI program participation when it is determined that direct or significantly related Title VI Implications exist or are likely to exist within the program area. All INDOT program areas will be periodically considered and evaluated for participation in the Title VI program. The evaluation will focus on whether or not Title VI implications exist in the program area that should be monitored above and beyond general compliance oversight as part of our agency and will include a periodic review of all state agency directives for Title VI implications. When a program is evaluated for participation, the Program Manager will also ensure all employees in that program area have received basic training on INDOT’s nondiscrimination policies and practices.

Following an initial review, a program area will:

- Be tasked with ongoing annual data collection and reporting related to Title VI implications.

For more information on program area review practices and procedures, please see INDOT’s Title VI Implementation Plan.

For FFY 2015, Special Emphasis Program Areas were determined primarily as a result of the Compliance Review of INDOT conducted by FHWA and included:

- INDOT’s LPA Division; and,
- INDOT’s Research Division and its subrecipient Universities.

In FFY 2016, Special Emphasis Program Areas included:

- INDOT’s LPA Division; and,
- Implementation of INDOT’s revised LEP Plan.
In FFY 2017, Special Emphasis Program Areas were:

- INDOT’s LPA Division; and
- INDOT’s Real Estate Division

In FFY 2018, Special Emphasis Program Areas included:

- INDOT’s LPA Division;
- INDOT’S Real Estate Division; and
- INDOT Construction.

In FFY 2019, Special Emphasis Program Areas may include:

- INDOT’s Real Estate Division;
- INDOT Construction; and
- INDOT and its relationship with Indiana MPO’s

**PROGRAM TASKS AND GOALS**

This section includes general goals for ALL program areas. These are designed to ensure basic compliance and program awareness on an agency wide basis and include program components every employee must be aware of. These goals were established based on evidence from the previous year that those programs which received the most training and who conducted regular discussions including Title VI as a topic demonstrated greater progress toward their division specific goals and more regularly approached the Program Manager with questions and issues related to their work area.

INDOT’S Program Manager continues to review INDOT’s program areas to identify liaisons as well as Program Area Representatives (PARS) who are subject matter experts and/or “front line” representative in their work area. Those program areas already identified are included in **Exhibit A** of the Title VI Implementation Plan. In so doing, INDOT will be able to ensure comprehensive Title VI program area representation and integration. This review will ensure that:

- Every INDOT facility with public access and every program area has a PAR to ensure nondiscrimination requirements are met, including the training of INDOT staff within the respective district.
- Title VI Liaisons will coordinate with the PARs in each work area to ensure appropriate nondiscrimination data is collected, and to analyze that data with the assistance of the Program Manager in order to determine what action the program area should take, if any, to improve nondiscrimination practices and to eliminate discrimination if necessary.
- Sufficient personnel are in place within the agency to accomplish annual work plans and to ensure nondiscrimination practices and policies are followed and fully integrated into the INDOT operations.
In FFY 2019, INDOT will add construction liaisons to the program to prepare for a review of sound wall installation and erosion control mechanisms in 2020.

**GENERAL 2019 GOALS FOR ALL PROGRAM AREAS:**

<table>
<thead>
<tr>
<th>Goal</th>
<th>Ownership</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Attend quarterly Title VI Program Meetings</td>
<td>Liaison</td>
<td>Ongoing - INDOT has reviewed its contract form agreements.</td>
</tr>
<tr>
<td>Conduct quarterly discussions of nondiscrimination issues relevant to the program area. (May occur as part of another program area meeting but should appear on the agenda.)</td>
<td>Liaison</td>
<td>Liaison to ensure additional nonstandard agreements are reviewed for compliance.</td>
</tr>
<tr>
<td>Receive Title VI Training</td>
<td>Liaison &amp; PARs</td>
<td></td>
</tr>
<tr>
<td>Report potential program area Title VI Implications/Potential discriminatory impacts to the Program Manager.</td>
<td>Liaison</td>
<td></td>
</tr>
<tr>
<td>Implement INDOT's revised LEP plan</td>
<td>Liaison &amp; PARs</td>
<td></td>
</tr>
<tr>
<td>Adhere to and promote all Title VI—related INDOT Policies</td>
<td>Liaison &amp; PARs</td>
<td></td>
</tr>
</tbody>
</table>

**DIVISION – SPECIFIC 2019 GOALS & 2018 ACCOMPLISHMENTS DURING THE REPORTING PERIOD**

**Legal Division**

<table>
<thead>
<tr>
<th>2019 Goals</th>
<th>Ownership</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Perform quarterly reviews of 10% of executed agency professional services agreements based on the total number of agreements executed in FFY 2019 to ensure ongoing compliance with Title VI.</td>
<td>Liaison and Program Manager</td>
<td>Ongoing - INDOT has reviewed its contract form agreements. Liaison to ensure additional nonstandard agreements are reviewed for compliance.</td>
</tr>
<tr>
<td>Review and collaborate with Legal Division regarding any litigation which raises Title VI or any discrimination under other civil rights statutes to ensure that ongoing compliance with Title VI in agency policies.</td>
<td>Liaison and Program Manager</td>
<td>Ongoing - Liaison to assist Program Manager in review of agency policies.</td>
</tr>
</tbody>
</table>

**2018 Division Accomplishments:**

In FFY 2018 the Legal Division closely collaborated with the Program Manager to ensure district participation at all program events and trainings. The Legal Division also assisted with resolution of targeted issues and complaints. Specific training is periodically provided to the Legal Division in Title VI and the attorneys who represent the districts now serve as additional program area
liaison and “feet on the ground” to ensure agency-wide compliance across the district, especially as it relates to agreements and other documents submitted to Legal Services for review.

2019 Division Goals:

In FFY 2019 INDOT’s Program Manager will work with the Contracts Administrator of Professional Services Contracts to review on a quarterly basis INDOT’s 10% of the executed professional service agreements to ensure the Title VI language is indeed being executed as required. The baseline in establishing the 10% metric is determined from the total number of professional services contracts executed in FFY 2018. The selection of these contracts will be random. In the event that it is discovered in the audit of the professional service agreements that Title VI language is not included, the Program Manager will bring this fact to the attention of the Legal Liaison and Contracts Administrator for Professional Services Contracts to provide an explanation for the exclusion of the Title VI language. The percentage of contracts reviewed will be noted and reported in the audit as either compliant or noncompliant.

In addition, the Program Manager will work with the Legal Liaison in reviewing policy manuals and will bring to the attention of the Legal Liaison when the Program Manager discovers that a specific program area’s policies could potentially impact Title VI compliance efforts and possibly lead to legal consequences for INDOT.

Real Estate Division – Special Emphasis Program Area

<table>
<thead>
<tr>
<th>2019 Goals</th>
<th>Ownership</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review all policy manuals related to relocation, buying appraising and condemnation for Title VI and other possible disparate impact and make recommendations for change</td>
<td>Program Manager</td>
<td>Ongoing</td>
</tr>
<tr>
<td>Gather data resulting from 2017 implementation of the new mechanism in Land Record System (LRS) to capture demographic data beyond the scope of relocations for this program area.</td>
<td>Liaison &amp; PARs</td>
<td>Continuing</td>
</tr>
<tr>
<td>Continue to review how opportunities to do business with INDOT in this division are promoted and made available and evaluate for discriminatory impacts.</td>
<td>Liaison Program Manager</td>
<td>Ongoing</td>
</tr>
</tbody>
</table>
Collect and review data related to approved appraisers and buyers who are not INDOT employees to evaluate for discriminatory impacts by utilizing the appraisers survey developed and approved in 2017

| Liaison Program Manager | Ongoing |

2018 Accomplishments:

The division representatives met with the Program Manager to review progress on implementation of LRS mechanisms implemented to gather demographic data similar to that gathered and reported below in LRS for other operations areas of the division (buying, condemnation etc.). In addition, the division representatives discussed the need to evaluate opportunities to do business with INDOT within the division (i.e. as an approved appraiser or buyer). Surveys were drafted and reviewed to assess how INDOT selected appraisers and buyers to do work for INDOT. These surveys will be deployed in FFY 2019. Preliminary review of data collected will be conducted in 2018/2019, utilizing our new Actionstep platform and additional program staff.

2019 Goals:

The division’s goals for 2019 will be to:

- Review all real estate policy manuals and protocols, including relocation, buying, appraising and condemnation for assessment of any policies which could result in discriminatory treatment
- Continue to implement any additional changes in LRS necessary to collect demographic data for evaluation of program areas beyond the scope of relocations
  - Data is being collected in LRS for areas of operation beyond the scope of relocations. October 2017 will mark six months since implementation. This demographic data will be analyzed by the Program Manager and the LRS Liaison to determine if there is a risk for discrimination in the real estate program areas. The new policy to examine and assess possible discriminatory impacts under Title VI is for Buyers will collect data by providing the Title VI Request for Information form to the property owners who were not relocated and the value of their property was in excess of $100,000. Information from the completed forms will be entered into LRS system. This completion of this form is voluntary. Therefore, the accuracy of the data collected is a product of the willingness of the public to participate in the survey. In April 2018, the Program Manager and Real Estate Liaison reviewed the effectiveness and outcomes from implementing this data gathering tool and discuss whether the property value threshold should be lowered.
- Coordinate with professional services to evaluate the opportunities to do business with INDOT within the division for Title VI Implications.
  - Current assignment process is to evaluate current workload and consultant availability, geographic location, and determination of skill sets needed;
o Ensure due effort is made to distribute work among the approved, pre-qualified consultants such as appraisers. Train and meet with those staff responsible for assignments and discuss how to mitigate risks for discrimination. Recommend adoption of protocol and policies as necessary.

The following report summarizes the information gathered by the Real Estate Division during the reporting period.
VI/ADA Reporting Information

Dates: 10/01/2017 through 08/21/2018

The information is a count for each criterion below during the requested reporting period.

<table>
<thead>
<tr>
<th>Appraisers</th>
<th>APA Appraisers</th>
<th>Reviewer Appraisers</th>
<th>Field Check Reviewer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appraisers: 586</td>
<td>562</td>
<td>550</td>
<td>0</td>
</tr>
<tr>
<td>DBE Appraisers: 0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>MBE Appraisers: 0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>WBE Appraisers: 0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Current number of Appraisers on the approved appraiser list: 120
Current number of DBEs on the approved appraiser list: 8
Current number of WBEs on the approved appraiser list: 7
Current number of MBEs on the approved appraiser list: 0

Condemnations: 49
Relocations: 95
Negotiations: 585

The following information pertains to relocations.

<table>
<thead>
<tr>
<th>Sum of Count</th>
<th>Declined</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hispanics or Latinos</td>
<td>0</td>
</tr>
<tr>
<td>American Indian or Alaskan Natives</td>
<td>0</td>
</tr>
<tr>
<td>Asians</td>
<td>0</td>
</tr>
<tr>
<td>Blacks or African Americans</td>
<td>0</td>
</tr>
<tr>
<td>Native Hawaiians or Other Pacific Islanders</td>
<td>0</td>
</tr>
<tr>
<td>Whites</td>
<td>131</td>
</tr>
<tr>
<td>Females</td>
<td>55</td>
</tr>
<tr>
<td>Males</td>
<td>76</td>
</tr>
<tr>
<td>Multiracial or Other</td>
<td>0</td>
</tr>
<tr>
<td>Age Count &lt;= 21</td>
<td>27</td>
</tr>
<tr>
<td>Age Count 22-40</td>
<td>30</td>
</tr>
<tr>
<td>Age Count 41-65</td>
<td>44</td>
</tr>
<tr>
<td>Age Count &gt; 65</td>
<td>30</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low Income</td>
<td>11</td>
<td>46</td>
</tr>
<tr>
<td>Limited English Proficiency</td>
<td>0</td>
<td>60</td>
</tr>
<tr>
<td>Disability</td>
<td>7</td>
<td>52</td>
</tr>
</tbody>
</table>

Displacee chose not to respond to request for information: 60
## 2019 Goals

<table>
<thead>
<tr>
<th><strong>2019 Goals</strong></th>
<th><strong>Ownership</strong></th>
<th><strong>Status</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Improve consistency of communications regarding Title VI compliance between INDOT and its Subrecipients</td>
<td>Liaison, PARs, Program Manager</td>
<td>Ongoing - Identifying a district LPA staff liaison by Subrecipient Compliance Auditor. Collaborating with Interagency Relations and District Deputy Commissioners and Communications staff.</td>
</tr>
<tr>
<td>Develop a submission portal to replace the annual precertification survey in ITAP</td>
<td>Liaison, PARs, Program Manager</td>
<td>Continuing - INDOT is reviewing three options to serve as the LPA portal. INDOT utilizes its new case management software, Actionstep, as the behind-the-scenes location to store and manage local records, and will be selecting one of the three portal vendors as the new user interface in early 2019.</td>
</tr>
<tr>
<td>Conduct subrecipient Compliance reviews of 2018 Community Crossing Grant recipients.</td>
<td>Title VI Subrecipient Compliance Auditor, Program Manager</td>
<td>Ongoing</td>
</tr>
<tr>
<td>Continue to develop and promote new resources, training opportunities and avenues for technical assistance</td>
<td>Title VI Subrecipient Compliance Auditor &amp; Program Manager</td>
<td>Continuing/Ongoing</td>
</tr>
</tbody>
</table>

### 2017 - 2018 Accomplishments:

In FFY 2016 INDOT launched its subrecipient monitoring program for LPAs, MPO, cities, towns and other Indiana communities who receive federal funding via INDOT. This subrecipient monitoring program is detailed in our Title VI Implementation Plan and includes:

- Annual self-certification of compliance by the subrecipient.
- Desk reviews of the annual certifications by INDOT.
- Training (many in person sessions and an annual day-long summit) on the compliance requirements.
- Voluntary Compliance Agreement Plans (VCAPs) by Indiana communities who are deficient to certify their good faith efforts to resolve their deficiencies with Title VI (and ADA) requirements.
• “Tier Two” reviews of subrecipients who are likely to receive funding or have received funding based upon elevated risk criteria.

• Ongoing development of technical assistance tools, templates, and other resources to promote and facilitate compliance.

• Partnerships with other community organizations focused on improving compliance with nondiscrimination and accessibility requirements.

As a result of this implementation, in FFY 2016 INDOT performed an in-office review of 272 annual certifications of compliance made by Indiana communities in FFY 2015. An additional 12 communities requested feedback independent of this review process. As FFY 2016 was the first program year where LPAs were subjected to a compliance desk review, most communities had one or more deficiencies. INDOT submitted correspondence to every deficient community notifying them of their deficiencies and requesting they attend a training session and enter into a voluntary compliance agreement with INDOT in order to remain eligible to receive federal funding.

As of September 20, 2016, about 1/3 (32%) of those Indiana communities had entered into VCAPs with INDOT and were working to resolve their Title VI deficiencies. 76 communities were in good faith compliance with Title VI requirements, up from 14 who had some sort of nondiscrimination document that referenced Title VI in 2015.

120 communities had ADA currently completed Transition Plans verified by INDOT’s desk review. In the past, INDOT relied solely upon the representations made by the communities. The remaining communities are making good faith efforts toward compliance. 87 submitted VCAPs and are working with INDOT to demonstrate their good faith efforts to resolve deficiencies in these program areas.

In 2017 INDOT made federal funding available for sidewalk-only projects to local communities. These Indiana communities were selected for a tier-two review of their compliance efforts in FFY 2017. This process has already commenced as INDOT held a web conference with the sidewalk grant applicants to provide basic Title VI training, go over INDOT’s expectations, and to inform each community that telephone conferences would be held that fall, beginning in October, to provide specific feedback to each community regarding their program development progress and current policies and procedures.

In addition, over 400 communities applied for Community Crossing Grants, which were state funded. The application was amended to require applicants to provide contact information for both their Title VI and ADA Coordinators, as well as certification of compliance. The application window ran from July-August 2017. With over 400 applicants, reviewing these communities during the application period was challenging. While these were not federally funded grants, INDOT still ensured its programs did not result in discrimination. As such, the review of these applicants continues. As of today, the reviews are ongoing and will continue until all applicants compliance efforts are accounted for.
Current compliance data for LPAs is as follows:

<table>
<thead>
<tr>
<th></th>
<th>2016</th>
<th>2017</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>LPAs in INDOT’s System</td>
<td>320</td>
<td>291</td>
<td>459</td>
</tr>
<tr>
<td>LPAs with ADA Plans</td>
<td>120</td>
<td>165</td>
<td>177</td>
</tr>
<tr>
<td>LPAs with Title VI Plans</td>
<td>76</td>
<td>124</td>
<td>142</td>
</tr>
<tr>
<td>ADA Compliant LPAs</td>
<td>92</td>
<td>113</td>
<td>115</td>
</tr>
<tr>
<td>Title VI Compliant LPAs</td>
<td>64</td>
<td>85</td>
<td>136</td>
</tr>
<tr>
<td>LPAs deemed to be in good faith compliance</td>
<td>64</td>
<td>106</td>
<td>93</td>
</tr>
<tr>
<td>LPAs with VCAPS</td>
<td>87</td>
<td>91</td>
<td>119</td>
</tr>
</tbody>
</table>

**2019 Goals:**

In FFY 2019, INDOT will work with the LPA division to promote better and consistent communication with our subrecipients regarding program compliance. We are working to develop a submission portal with an existing or new vendor, so that the LPAs can upload their compliance documents to the portal for the Subrecipient Compliance Auditor to review and comment. This portal will replace the outdated certification survey. In FFY 2019, the compliance staff will increase the effort with those communities who have not submitted any compliance documents and have yet entered into a voluntary compliance agreement with INDOT. This feedback will be used to develop new resources and to improve existing ones. INDOT’S Director of Interagency Relations will continue to collaborate with the Program Manager to include program requirements in the guide for doing business with INDOT being developed for small communities.

INDOT is still in the process of reviewing applications. Each application required the disclosure by the applicant communities, including identifying their Title VI coordinators and the certifying the existence of the Title VI plan documents. In addition, FFY 2019 will require INDOT to conduct a more intensive compliance review of communities, considering the fact the LPA Division has opened up another “call for projects” pertaining to Community Crossing Grants. The Subrecipient Compliance Auditor, along with the Program Manager, will begin the process of collecting data to ensure every community that has applied for the grant is included in the compliance review. Once we’ve collected the necessary data, will enter the information into our new case management system and run reports when needed to track our progress.

With so many new LPAs added to our database, additional training and technical assistance opportunities will be necessary to support these communities in their compliance efforts.
Contracts, Compliance and Prequalifications –

<table>
<thead>
<tr>
<th>2019 Goals</th>
<th>Ownership</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review 5% of certifying responders to determine their level of compliance.</td>
<td>Liaisons, PARs</td>
<td>Ongoing</td>
</tr>
<tr>
<td>Provide technical assistance to those contractors and consultants who reported deficiencies</td>
<td>Subrecipient Compliance Auditor</td>
<td>Ongoing - Consultants and contractors who reported deficiencies on their prequalification forms will be provided technical resources to assist in resolving their deficiencies.</td>
</tr>
</tbody>
</table>

2018 Accomplishments:

In FFY 2016, the Division coordinated with INDOT Prequalification to develop and implement a certification of compliance with Title VI to hand out as part of the prequalification packet. The certifications were randomly reviewed by the Subrecipient Compliance Auditor and monitored for accuracy.

In addition, the Title VI team discussed how to best gather and evaluate data related to professional services contracts for Title VI implications. Individuals identified a process for collecting and evaluating this data in 2018. Hundreds of certification forms have been received and are awaiting entry into our Actionstep case management system.

2019 Goals:

Division-wide training for this program area will occur in late 2018 and early 2019. Also, we will continue to review updated professional services policies for Title VI implications. Prequalification surveys will continue to be entered into Actionstep with resulting reviews commencing in 2019.
## Communications & Public Involvement

<table>
<thead>
<tr>
<th>Task</th>
<th>Ownership</th>
<th>Status</th>
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</thead>
<tbody>
<tr>
<td>Continue to identify vital documents that require translation.</td>
<td>Liaison</td>
<td>Continuing</td>
</tr>
</tbody>
</table>
| Work with the communications personnel and the Office of Public Involvement to make language services forms widely available on our internet and the Transportation Services Call Center (TSCC). The Program Manager will collaborate to ensure that the call center is compliant with Title VI Program requirements. | Liaison
Program Manager                                | Continuing                        |
| Continue to utilize the public involvement surveys; and evaluate the effectiveness of these surveys and determine if there are better alternatives for capturing demographic data. | Customer Satisfaction Manager PAR | Ongoing   |
| Continue to evaluate the level of compliance of INDOT's website and identify policy and content changes required to make the website compliant with Title VI requirements. | Website PAR Subrecipient Compliance Auditor | Ongoing   |

### 2018 Accomplishments:

The Communications and Public Involvement program area was very active in fully developing INDOT’s revised Limited English Proficiency Plan (LEP). Language services resources have been expanded and include an LEP report form, use of the “I Speak” Cards and a translation request form. Our customer service policies were improved by the development of these resources and by providing Title VI training to not only staff in this division, but to front line/reception staff at all INDOT Districts and Sub-districts. With a trained staff of “first responders” to field complaints and language issues, we can ensure that our policies regarding Title VI complaints and language services needs are being practiced at the local level.

In 2017, we increased compliance by further implementing our LEP plan. Also, in 2018 a new document translation request form was made available in key languages to request translation of vital documents, such as the External Complaint Form. This form has been placed on the website and made available at the District level. Last, our language line is up and in full operation. We
continue to receive very few translation requests or requests for language services but continue to demonstrate and verify our readiness to provide those services as they are required.

2019 Goals:

In 2019 we will continue to implement the changes to our revised LEP plan including considering which documents are vital documents and should be translated per the safe harbor provisions. We will work to ensure our translation request form is made available on line and in person as required. We will continue to ensure the staff in this division and the front line customer service staff at the District and Sub-district level are trained in Title VI. As our technical resources are revised, website content will be upgraded. INDOT’S Office of Public Involvement will continue participation in the CAWG working groups and department meetings. The Program Manager will collaborate to ensure that the new call center is compliant with Title VI and ADA program requirements.

Traffic: Engineering, Safety, Administration and Design

<table>
<thead>
<tr>
<th>2019 Goals</th>
<th>Ownership</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Continue to cooperatively work with traffic engineering in ensuring that INDOT and contractors consistently apply the criteria to determine the need for installation of Accessible Pedestrian Signal (APS)</td>
<td>Liaison and Program Manager</td>
<td>Ongoing. Recommendations regarding changes to current operating procedures manual is being reviewed by traffic engineering</td>
</tr>
<tr>
<td>Ensure copies of all APS studies are timely provided to the Program Manager</td>
<td>Liaison</td>
<td>In progress. It is now required that District Traffic Engineers provide the Program Manager with copies of all APS studies.</td>
</tr>
</tbody>
</table>

2018 Accomplishments:

In 2016 INDOT revised its APS form to allow more room to review and discuss APS denials. In 2017, a review of the APS studies conducted to date occurred jointly with FHWA. The data revealed inconsistencies in utilization of the policy. As a result, the Program Manager met with the Traffic Division and the TAC committee to begin revisions of the operations memo regarding the installation of APS and to identify strategic training and communications plans to adjust the program. Data was reviewed again in FFY 2018 and it was determined that additional adjustments are necessary.

2019 Goals:

Our 2019 goals for this program area are to monitor APS studies and installations until next September 2019, and to determine how to ensure copies of all APS studies are provided to the Program Manager. Traffic engineering will be responsible for annual training for this program area and the Program Manager will ensure that INDOT is documenting its decisions related to accessibility in a compliant and consistent manner.
2019 Goals | Ownership | Status
--- | --- | ---
Provide technical assistance to Purdue University’s Research Division as they consider how to monitor subrecipients of federal funds. | Program Manager & Liaison | In progress
Evaluate the impact of the new submission protocols put in place in 2016 | Liaison, Program Manager; Director of Interagency Relations | Ongoing

2018 Accomplishments:

In 2016 a compliance review of INDOT’s Research Division and the JTRP (Joint Transportation Research Program) with Purdue University was conducted. INDOT reviewed Purdue University’s (“Purdue”) compliance with Title VI as well as its own program for deficiencies. Training was provided to program management. INDOT’s Program Manager met with both INDOT and Purdue employees to discuss the research program area, identify deficiencies and strategize to resolve them. This was a special emphasis program area and the full report from INDOT’s review can be found in the Special Emphasis Program Area discussion on page 31.

As a result, INDOT acknowledged that Purdue is generally in compliance with Title VI, but that Purdue should develop a plan for monitoring its subrecipients of federal funds. INDOT’s research liaison worked to develop ways to expand participation in research projects and to reduce the risk of discrimination by permitting and soliciting broader participation than “by invitation only” methods historically used. Changes to the program were made to facilitate open submission of research ideas and participation in the projects by those submitting the ideas. These changes are also outlined in the report on page 31.

2019 Goals:

In FFY 2019, training will again be provided to Purdue program area staff. We will discuss how the new changes are working and evaluate their effectiveness in reducing risks for discrimination and/or discriminatory impacts. INDOT will continue to provide technical assistance to Purdue as it determines how to monitor its subrecipients of federal funds. We will continue to evaluate this program area to determine whether discrimination may occur. In addition, the Director of Interagency Relations, along with the Program Manager, will conduct a progress report/review to determine how effective these changes have been in addressing FHWA concerns. Additional recommendations will be made as necessary.

Talent Management

| 2019 Goals | Ownership | Status |
--- | --- | ---
Ensure Title VI training is conducted at the INDOT new employee onboarding bi-monthly sessions | Subrecipient Compliance Auditor and Talent Management Liaison | Ongoing
Ensure INDOT University is administered in a nondiscriminatory fashion. | Liaison Program Manager Director of Interagency Relations | Ongoing

Collaborate with INDOT University to provide certification training for Title VI and ADA coordinator in conjunction with the Coordinators’ association and Association of Indiana Municipalities (AIM). | Program Manager | Commencing fall 2018

2018 Accomplishments:

In FFY 2016, Talent Management coordinated with Title VI program to provide numerous training opportunities to INDOT employees and to facilitate the registration process for our external Title VI and ADA training including development of an online training course for INDOT employees developed in conjunction with Ivy Tech University. Talent Management assisted in the development of training materials and reviewed the INDOT University contract for discrimination. In addition, the Title VI program collaborated with Talent Management to ensure Title VI training was conducted during the onboarding training sessions for new employees. Each session takes place twice a month and gives an overview of both Title VI and ADA. Feedback from participants has been good; therefore, it has been determined this form of training for new employees will continue.

2019 Goals

In FFY 2019, the Talent Management division will continue to work with the Program Manager to ensure Title VI is a material part of new hire training and to support our efforts at regular training for INDOT employees. We will also continue to evaluate our external training programs for discrimination. In addition, INDOT is collaborating with the ADA Coordinator’s Association to develop certification training for Title VI coordinators at the local level. The division’s new platform may also serve as a portal to upload local documents, creating a one-stop shop for Indiana communities.

In FFY 2019, we will reevaluate with Talent Management where INDOT is in the process of implementing a new platform and whether that platform or another will be used to conduct Title VI coordinator certification programs, as well as what additional options may serve as our portal for community submissions, and may be used to conduct agency-wide Title VI training. We will continue to monitor their progress when it pertains to this particular goal, considering the fact it is vital to the compliance efforts of so many divisions within the agency. In addition, INDOT will continue to conduct live Title VI training as part of its onboarding program for new employees. INDOT plans to hire a record number of new employees this year, so this new employee training enhancement is timely.
Operations & Maintenance (includes Facilities & Fleet)

<table>
<thead>
<tr>
<th>2019 Goals</th>
<th>Ownership</th>
<th>Status</th>
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<tbody>
<tr>
<td>Evaluate maintenance practices &amp; policies for potential discrimination.</td>
<td>Liaison</td>
<td>Ongoing</td>
</tr>
<tr>
<td>Ensure adequate training of Title VI requirements</td>
<td>Liaison, jointly with Contracts Division Professional Services Liaison.</td>
<td>Ongoing</td>
</tr>
</tbody>
</table>

**2018 Accomplishments:**

In 2016 Operations and Maintenance assisted the Program Manager in providing Title VI training to our Subdistrict staff to ensure the reception and administrative staff in each subdistrict are aware of our Title VI policies and procedures. We discussed Title VI implications in this program area and determined that the contractors and consultants could be evaluated when we evaluate opportunities to do business with INDOT for discrimination.

In 2018 we continued to train the PARS and ensured that our subdistrict programs and facilities readily understood and could generally recite Title VI and ADA program basics.

**2019 Goals:**

In FFY 2019 we will continue to work to ensure each Subdistrict administrative staff is trained in Title VI and that the required resources are available at each facility. We will continue to work with the professional services division to evaluate the opportunities to do business with INDOT for discrimination.

**Design**

<table>
<thead>
<tr>
<th>2019 Goals</th>
<th>Ownership</th>
<th>Status</th>
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<tbody>
<tr>
<td>Track 10% of responses to requests for technical inquiries for adherence to the technical advice given. Continue to ensure design standards and committee decisions do not result in discrimination and adopt remediation measures if necessary.</td>
<td>Liaison, PARs</td>
<td>Ongoing</td>
</tr>
</tbody>
</table>
2018 Accomplishments:

In FFY 2016 we modified our design standards to be in line with the Pedestrian Right Of Way Accessibility Guidelines (“PROWAG”). By putting this standard in place for the first time it has revealed common design challenges to be addressed through ADA Technical Training sessions. This practice change was an effort to mitigate construction of pedestrian barriers inadvertently caused by drifting between PROWAG and Americans with Disability Act Accessibility Guidelines (“ADAAG”) in our project designs. Training was provided on these standards during Road School held March 6 through 8, 2017, and the new standard drawings and guidelines made it less likely that construction projects would be designed to the maximum threshold and therefore constructed in a manner that was noncompliant and could result in discrimination.

Training was provided in person in 2017 to the design staff on Title VI. The liaison and PARs for this program area continued to make Title VI a topic of discussion during team meetings. In addition, the Program Manager tracked at least 10% of its responses to requests for technical inquiries in FFY 2018.

2019 Goals:

Members of the Design program area team will assist the Program Manager in providing ADA Technical Training to all employees at INDOT who need to know the standards to ensure our facilities are constructed in a compliant and nondiscriminatory manner. Training will be provided in each district as we implement our new ARC GIS asset inventory and business practices around updating and managing our assets and program to ensure nondiscrimination. It will continue to be possible to virtually attend these training sessions via WebEx conference. In FFY 2019, the Program Manager will continue to track at least 10% of its responses to requests for technical inquiries and for compliance in the next construction cycle in the spring of 2019. Our first field audits of sidewalk projects by the TAC committee has commenced in September of 2018 and all district will have projects audited for compliance by January of 2019.
Environmental Services Division (includes Scoping & Planning)

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<thead>
<tr>
<th>2019 Goals</th>
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<th>Status</th>
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</thead>
<tbody>
<tr>
<td>Continue to expand the awareness and analysis of environmental justice issues</td>
<td>Liaison, PARs</td>
<td>Ongoing - EJ is being included in other</td>
</tr>
<tr>
<td>beyond the NEPA process and into the scoping and planning stages of a project</td>
<td></td>
<td>division’s trainings.</td>
</tr>
<tr>
<td>and ensure EJ awareness and monitoring continues throughout the entirety of</td>
<td></td>
<td></td>
</tr>
<tr>
<td>each project</td>
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</table>

2018 Accomplishments:

In 2016 the Environmental Services Division (INDOT-ESD) worked with the Program Manager to determine how to best maintain records of environmental studies. The best possible solution was to create a Milestones Work Product entry. Milestones is a database that INDOT-ESD uses to track various work products such as Noise Studies, NEPA documents, etc. INDOT-ESD will tracked projects that required an EJ analysis through this database by Milestones entry. Therefore, INDOT-ESD was able to provide data as needed or requested.

In addition, the Program Manager received copies of all environmental studies and participated in discussions when an EJ population was identified, provided feedback and input throughout the outreach and mitigation process. The ESD supported the Program Manager’s efforts to ensure that the scope of Environmental Justice was more broadly understood and implemented at the agency level.

As a result of this new level of engagement, the Program Manager was involved in more discussions related to specific EJ issues and analysis as they related to INDOT and local projects, such as I-69 through Martinsville and several other key projects that the Division staff participated in.

2019 Goals:

This division will continue to ensure that its staff is trained in Title VI requirements and we will continue to evaluate the effectiveness of the newly-adopted procedures to expand and monitor environmental justice issues at INDOT. Record-keeping has greatly improved and the division is poised for a review of its studies in FFY 2019.

A draft EJ policy has been developed with INDOT meeting internal in 2018-19 to discuss implementation of an effective EJ policy and plan. Annual EJ goals and accomplishments will be separately monitored moving forward as part of our agency’s EJ policy reporting process.
DISTRICT OFFICES

District offices do not have district specific tasks identified but rather participate in the agency-wide goals and program-related goals as they apply to each District’s operations. Teams have been identified and all Districts’ Liaisons and PARs have received training. The general tasks for all program areas will be applied to the Districts to ensure sufficient implementation of Title VI requirements.

In 2018, the Program Manager will continue to provide more training opportunities in each district and ensure remote attendance is possible for Subdistrict employees. The Program Manager aims to visit each district at least two to three times during the year to address both Title VI and ADA program issues and to provide training and to answer questions. This will foster relationships between District staff and Central Office program staff as it relates to Title VI program goals and objectives and ensure that the districts are in compliance with Title VI program policies and practices.

INTEGRATED PROGRAMS COMPLIANCE SUMMARY

Integrated Program accomplishment discussions are appropriate for related requirements that fall under the Title VI “umbrella.” These integrated program discussions include:

- Limited English Proficiency
- Accessibility Programs
- Public Involvement

LIMITED ENGLISH PROFICIENCY AND LANGUAGE SERVICES

INDOT received several requests for language services in 2016. These requests were in relation to INDOT’s I-69 project and documents were translated into Spanish and Burmese to accommodate those requests. INDOT has trained many of its front-line individuals (those who answer phones, staff customer service areas, and sit at reception desks) in tracking and responding to requests for language services.

Only one LEP report form was completed in 2016. While INDOT receives few requests, it has revised its LEP plan to adopt the safe harbor requirements and now translates all vital documents into another language when 5% or 1,000 people in an identified community do not speak English very well and speak a specific different yet have same language in common. INDOT also maintains a documents translation request form in key identified languages to ensure that individuals who do not speak English can make effective reasonable requests for translation. This information will be posted on INDOT’s new comprehensive Title VI website in 2017. http://www.in.gov/indot/files/Translation%20Request%20Form.doc.

If INDOT identifies a translation of documents presented during public meetings will likely be needed, INDOT has already taken steps to translate those materials in advance of the meetings, even in instances where there has not been a direct request.
The Program Manager will ensure that language services or LEP training is included for the upcoming INDOT the call center or TSCC.

ACCESSIBILITY PROGRAMS

In 2015 INDOT updated its ADA Transition Plan, which for the first time included an inventory of its ADA assets, a prioritization schedule for the remediation of those assets, and a budget for the same. Over 60 employees at INDOT from many divisions were involved in completing the ADA asset inventory and prioritization schedule. 7500+ intersections were included in the inventory with 5 million dollars budgeted for ADA remediation starting in 2016. The ADA Transition Plan was submitted to FHWA in June 2015 and is posted online and made publically available.

Now that INDOT is programming ADA–specific projects, it is ensuring that these projects will be constructed appropriately by providing agency-wide ADA technical training which began in FFY 2016 and continued throughout FFY 2018. The new design standards have been put into effect and made available. Also, some web-based and in person training related to these standards has already occurred. The Program Manager regularly meets with Technical Services and Capital Program staff to monitor the progress of the implementation of our ADA Transition Plan.

The ADA Transition Plan is in the process of being updated and is pending bus stop information as of summer 2018 to be included in the updated plan for FFY 2019.
PUBLIC INVOLVEMENT

The number of public involvement surveys received for FFY 2018 was average. The number of surveys completed in FFY 2017 was 48 and in FFY 2018 it was 45. This survey is available in Spanish and Burmese.

CATEGORY REPRESENTATION

Gender: 45 male (56%); 1 female (43%)

Ethnicity: 1 Hispanic or Latino (2%)
            21 Not Hispanic or Latino (0%)

Race: 1 Black or African American (0%)
       0 Native American (0%)
       0 Asian/Pacific Islander (0%)
       0 Multi-racial (0%)
       41 White (92%)

Age: 2 - 1 - 21 years (8%)
      26 - 22-40 years (23%)
      17 - 41-65 years (31%)
      0 -- +65 years (35%)

Disability: 0 represented having a disability (0%)

Income: 0 represented income level of $0 - $12,000 (0%)
         2 represented income level of $12,001 - $24,000 (4%)
         6 represented income level of $24,001 - $36,000 (8%)
         14 represented income level of $36,001 - $48,000 (6%)
         7 represented income level of $48,001- $60,000 (18%); and
         19 represented income level at or above $60,001 (54%)
         72% reported income level.
The Office of Public Involvement reports for FFY 2017 that the number of attendees at either a public hearing or public meeting was 2365. A public hearing is a formal proceeding occurring during a project decision-making point, is held during the environmental analysis phase of a project’s development, wherein the proposed action is evaluated to determine the level of impact the action may have on the community, social-economic and natural environment. There is a formal presentation made by INDOT staff and a period for public comment and testimony. A public meeting is held at any time at INDOT’s sole discretion. It is generally held to inform the public of any facet of INDOT’s operations.

During FY 2018, 18 public information meetings/open houses and 13 public hearings were held.

July 2017
- No meetings or hearings held

August 2017
- 8/23/17 I-465 at I-69 (I-465 Clear Path) interchange modification, Marion County (public meeting and open house) 74 persons attended
- 8/23/17 SR 162 bridge rehabilitation over Straight River north of SR 64 in Dubois County (public hearing) 19 persons attended

September 2017
- 9/12/17 I-69 Section 6 (Martinsville to Indianapolis), public information meeting held Morgan County, 117 persons attended
- 9/13/17 I-69 Section 6 (Martinsville to Indianapolis), public information meeting held in Marion County, 83 persons attended
- 9/14/17 I-69 Section 6 (Martinsville to Indianapolis), public information meeting held in Greenwood, Johnson County, 77 persons attended
- 9/19/17 US 31 intersection improvement (median U-Turn / J-Turn) at SR 10, public hearing held, Town of Argos, 109 persons attended
- 9/27/17 US 31 intersection improvement (median U-Turn / J-Turn) at SR 110, public hearing held, Town of Argos, 83 persons attended
- 9/28/17 SR 25 bridge replacement over Eel River in Logansport, Cass County, public hearing held, 29 persons attended

October 2017
- 10/30/17 US 24 intersection improvement (Median U-Turn / J-Turn), public hearing held in Logansport, Cass County, 52 persons attended
November 2017
- 11/2/17 US 24 intersection improvement (Median U-Turn / J-Turn), public hearing held in Logansport, Cass County, 35 persons attended

December 2017
- 12/13/17 SR 163 bridge rehabilitation over the Wabash River in Clinton, Vermillion and Parke Counties, public hearing held, 88 persons attended

January 2018
- 1/9/18 SR 46 bridge rehabilitation over the East Fork of Tanner’s Creek in Dearborn County, public hearing held, 48 persons attended
- 1/10/18 SR 32 added travel lanes with turn lanes from SR 38 to Cicero Creek in Noblesville, Hamilton County, public hearing held, 56 persons attended

February 2018
- 2/1/18 SR 163 at US 41 (Lyford Y Intersection) near Clinton, Parke County, public information meeting held, 112 persons attended
- 2/6/18 I-69 Ohio River Crossing (Evansville, IN to Henderson, KY) public information meeting held, 87 persons attended – Henderson, KY meeting
- 2/7/18 I-69 Ohio River Crossing (Evansville, IN to Henderson, KY) public information meeting held, 129 persons attended – Evansville, IN meeting
- 2/20/18 US 421 (Project 421) Madison approach to the Milton/Madison Bridge, public hearing held, 69 persons attended
- 2/21/18 I-65 road rehabilitation from Columbus to Seymour, public information meeting held, 27 persons attended – meeting held in Seymour
- 2/28/18 SR 265 Heavy Haul Transportation Corridor in Clark County, public hearing held, 106 persons attended

March 2018
- 3/13/18 US 41 intersection improvement (median U-Turn / J-Turn) in Oaktown, Knox County, public hearing held, 83 persons attended
- 3/22/18 I-65 Northwest Indiana Expansion Project in Lake County, public information meeting held, 62 persons attended

April 2018
- No meetings / hearings held
May 2018

- 5/2/18 SR 32 bridge rehabilitation project in Montgomery County, public hearing held, 25 persons attended
- 5/18/18 SR 75 road rehabilitation project in Town of Advance, Boone County, public information meeting held, 54 persons attended
- 5/22/18 I-65 at SR 267 interchange modification project in Boone County, public information meeting held, 34 persons attended

June 2018

- 6/7/18 SR 26 road rehabilitation project in Clinton County near Rossville, public information meeting held, 117 persons attended
- 6/13/18 Transportation Talk – INDOT Open House for Long Range Transportation Plan (LRTP) and agency business units, event held in Crawfordsville, Montgomery County, 25 persons attended
- 6/14/18 Transportation Talk – INDOT Open House for Long Range Transportation Plan (LRTP) and agency business units, event held in Terre Haute, Vigo County, 14 persons attended
- 6/20/18 Transportation Talk – INDOT Open House for Long Range Transportation Plan (LRTP) and agency business units, event held in Columbus, Bartholomew County, 45 persons attended
- 6/21/18 Transportation Talk – INDOT Open House for Long Range Transportation Plan (LRTP) and agency business units, event held in Lawrenceburg, Dearborn County, 23 persons attended
- 6/25/18 Transportation Talk – INDOT Open House for Long Range Transportation Plan (LRTP) and agency business units, event held in Indianapolis, Marion County, 49 persons attended
- 6/26/18 Transportation Talk – INDOT Open House for Long Range Transportation Plan (LRTP) and agency business units, event held in Yorktown, Delaware County, 24 persons attended

SPECIAL EMPHASIS PROGRAM AREAS

Additional information is included in this report to demonstrate the work accomplished and goals identified for INDOT’s Special Emphasis Program areas. Since the LPA division was a Special Emphasis area in at least one prior year, both goals and accomplishments will be reflected as part of this discussion. The Research Division was a Special Emphasis Program area from 2014 to 2016 and was identified as such during the FHWA review period.

Special Emphasis Program areas will include, in addition to the above tasks:

- Working with the Program Manager to develop a targeted annual action plan that addresses the objectives identified for the program area in light of the Title VI implications that make this program area an area of special emphasis. These would include:
  - Conducting discriminatory impact analysis
o Reviewing and potentially revising policies and procedures that may result in discriminatory outcomes, and

o Addressing trends or patterns of discrimination identified during a review of the program area.

- Identification and training of a sufficient number of PARs to accomplish the tasks identified in the action plan

- Work with attorneys and/or investigators, who, in addition to the Program Manager, may review policies, practices, data, or other documents to determine whether or not discrimination has occurred, or is likely to occur as a result of the program area and adopt and implement mitigation procedures designed to remedy and address all identified issues.

The goal of identifying Special Emphasis Program areas is to ensure sufficient monitoring of high-risk programs and to track those areas where there exists a material deficiency or discriminatory practice that requires resolution and reporting.

**LPA DIVISION ACTION PLAN & ACCOMPLISHMENTS**

Starting in 2015 the LPA Division received division-specific Title VI training and met on several occasions to discuss, develop and implement new subrecipient monitoring procedures to ensure compliance with Title VI requirements. These meetings resulted in the development of new subrecipient monitoring procedures included in the 2015-16 Title VI Implementation Plan. In addition, a Title VI Resource toolkit was developed to assist subrecipients with their compliance efforts and additional targeted training and outreach opportunities were identified. [http://www.in.gov/indot/files/Subrecipient_Technical_Assistance_2016_Version_2.pdf](http://www.in.gov/indot/files/Subrecipient_Technical_Assistance_2016_Version_2.pdf). This information is reflected in the training summary portion of this report at pp. 35-36.

In FFY 2016 the LPA division followed its newly implemented procedures and reviewed in-house over 300 Indiana communities. Technical assistance was provide in several forms: an all-day training summit, multiple in-person and online training opportunities, and the development of resources and templates, including a new Title VI Implementation Plan Template. [http://www.in.gov/indot/files/Title%20VI%20Implementation%20Plan%20Template.doc](http://www.in.gov/indot/files/Title%20VI%20Implementation%20Plan%20Template.doc).

INDOT surpassed its goal to conduct four “Tier Two” compliance reviews and conducted those reviews with ten sidewalk grant applicants and six current and previous Stellar Grant recipients, as well as coaching key communities impacted by the I-69 project toward compliance.

In FFY 2017 INDOT overhauled its website and developed a separate page for each type of subrecipient. All technical resources were uploaded and training opportunities, as well as office hours were made virtually available. In addition, CAWG meetings were coordinated with LPA training days and coordinator association meetings and the summit was expanded to two days. As a result hundreds of additional LPAs were connected to outreach opportunities, though the virtual office hours were never utilized and abandoned in FFY 2018.

Title VI and ADA information was included on the community crossings grant application and over 400 communities applied. Those communities were evaluated in FFY 2017 and continued to be evaluated in FFY 2018. Subrecipient data was migrated into our case management system, Actionstep, over many months in 2018 and a new front end portal for both submission and training is being created with hopes of deploying it via Talent Management’s new INDOT University Platform or another suitable location during FFY 2019.
RESEARCH DIVISION COMPLIANCE REVIEW

In 2014, a review of INDOT’s Title VI Program by FHWA identified several areas for a focused review. INDOT’s research program and the Title VI compliance of its primary research partner, Purdue University, were two of those areas identified for review. Purdue University was identified because it is a subrecipient of federal funds. Several Title VI implications were identified for review:

- INDOT is required to monitor Purdue University for Title VI Compliance as a subrecipient of federal funds.
- The research program creates opportunities to do business with INDOT / Purdue University and INDOT should review whether program participation and the solicitation for participation is broad enough to ensure discrimination does not result.
- INDOT needed to provide training to program staff and establish a liaison network within the program area to address any Title VI concerns which might arise.

The Review Process

The initial meeting to discuss the Title VI compliance review for Purdue and INDOT Research Division/Joint Transportation Research Program (JTRP) took place August 18, 2015 via teleconference with INDOT and Purdue’s representatives attending. During that meeting INDOT Title VI program management discussed INDOT’s agreement to conduct a compliance review of the program area(s) as part of its VCAP with FHWA.

Prior to meeting with individual representative for each part of the program area(s), it was determined that INDOT’s Program Manager would provide an overview of the Title VI requirements and Title VI Training to JTRP staff during a JTRP board meeting.

A follow up conference occurred on October 15, 2015, whereby it was decided INDOT’s Program Manager would present training materials and conduct a Title VI discussion during the JTRP Board meeting on November 4, 2016. During the conference INDOT Program Manager communicated the importance of Title VI being part of program area meeting agendas to afford employees the opportunity to raise and discuss Title VI concerns and ensure general awareness of Title VI requirements.

On October 9, 2015, INDOT Title VI Program management discussed Title VI requirements with Debbie Horton, the JTRP representative participating in INDOT’s review. Ms. Horton identified Alyssa Christmas-Rollock as Purdue’s Title VI Coordinator and INDOT drafted and submitted its compliance review notice to Ms. Rollock.

During the program area training session, the Program Manager discussed the requirements of Title VI compliance, specifically those related to the program which included:

- Training and awareness of all INDOT / Purdue University Title VI Policies
- Fairly extending/advertising and otherwise promoting the opportunity to do business with INDOT/Purdue University as related to the JTRP/Research Program Area.
- Monitoring any further subrecipients of federal funds.

Additionally, INDOT’s Program Manager traveled to Purdue to meet with Ms. Horton, JTRP Managing Director, to understand and evaluate the JTRP Program. During that meeting and upon
a review of the materials presented in response to INDOT's notice of compliance review by Purdue, it was determined that INDOT is primarily responsible for selection of universities and others who will conduct research and participate in research projects and, since the contracts themselves are between Purdue University and subrecipients, Purdue is primarily responsible for monitoring subrecipients for compliance with Title VI.

**Discussion and Review**

Purdue provided documentation and links to documentation as part of its response to INDOT’s notice of compliance review that demonstrated the following:

- It has a Title VI Program Coordinator identified by name who has received and conducts nondiscrimination (and accessibility training) for Purdue University employees.
- It has a nondiscrimination policy and complaint policy and forms, though no Title VI complaints have been received.
- The assurances of nondiscrimination were signed as part of the agreement between INDOT and the University (“The JTRP Executed Agreement” dated 2013)

Purdue has not monitored subrecipients of federal funds for compliance with Title VI, although the assurances themselves are part of the agreements. Typically, there are only a handful of active contracts. As part of this review it was communicated to the Purdue JTRP program staff that this is a deficiency and Purdue is responsible for monitoring subrecipients for compliance.

INDOT will continue to provide:

- Annual Title VI training opportunities specific to the JTRP program practices and policies; and
- The Program Manager and the Director of Interagency and Compliance will communicate quarterly with program area liaisons from INDOT and Purdue University regarding Title VI issues.

In addition, discussions with INDOT/JTRP Research Program staff resulted in an expansion of the opportunities to do business with INDOT by further opening the door to and promoting a broader spectrum of participation in INDOT Research activities.

INDOT’s Research Program, prior to 2016 changes, conducted business primarily as follows:

- Research needs and/or ideas could be submitted by anyone (INDOT, a university, or member of the public) but this was not as broadly advertised as it is now with a submission link on INDOT’s website.
- INDOT is responsible for identifying research needs (or acknowledging a submitted research idea as fitting a need). As part of this process, brainstorming groups were invited by INDOT. Now INDOT has moved toward a peer group approach whereby liaisons are created for the purposes of needs identification and anyone can submit an idea and participate in the process. INDOT retains the responsibility of prioritizing research needs
- Once a need is identified, a principal investigator is identified, which is often the source of the idea, who would then submit a proposal to the JTRP Executive Committee. If a need is identified by an institution or individual without sufficient expertise or resources, a co-principal investigator may be identified, which would allow the institution submitting the need or idea to remain a principal investigator and participate in the research. INDOT, Purdue and FHWA work together as part
of this process. A Study Advisory Committee (SAC) is often formed to help flesh out the ideas submitted as proposals.

The following changes have already been implemented to promote broader (less “by invitation only” participation opportunities) and, where invitations to participate are warranted, the invitations themselves have been expanded. INDOT will continue to monitor how the following changes impact Title VI program objectives during the FFY 2018.

The following are the recent Title VI-related changes to the INDOT /JTRP Research Program INDOT has implemented in calendar year 2016:

- INDOT extended broader invitations to the “poster sessions”:
  - A poster session is an opportunity for students, staff and faculty from a number of educational institutions to engage directly with INDOT personnel from across the state on a wide variety of transportation-related topics.
  - For the February Poster Session, INDOT invited 8 university civil engineering department heads from a broader spectrum of Indiana universities and 5 universities ultimately participated.

- INDOT’s Research Division worked together with INDOT’s Office of Communications to:
  - Post peer group liaison contact information or a designated contact for submission of research ideas /needs on INDOT website; and
  - Post identified research needs and contact person on the INDOT website for accredited Indiana colleges and university faculty to broaden program awareness and/or potential involvement for those with subject matter expertise.

  ▪ These changes make it easier for anyone with interest to contact INDOT's Research Division directly. Several conference calls have already occurred resulting in program participation from a broader spectrum of qualified participants.

  ▪ These changes benefit the research program by broadening the scope and thus, the potential, for submission of research proposals. A link for “Submission of Research Ideas” has been added to INDOT’s webpage: https://app.smartsheet.com/b/form?EQBCT=35c82d4533f6458c8877c2ba03dedc5.

  ▪ The link also supports identification of innovation and research needs and ideas. This allows external faculty and others to view identified research needs and their status. The project information will be updated periodically. Interested researchers can contact the Research Division for follow-up information about a project or potential participation.

- The annual revision of the program areas’ user’s manual will incorporate these processes and include Title VI information

- Title VI continues to be an agenda item at JTRP board meetings and INDOT’s Program Manager will continue to attend at least one meeting annually to address Title VI issues and provide training to board members.
Outcomes

As a result of its Title VI review of the INDOT/JTRP Research Program, as well as a review of Purdue University’s Title VI compliance as it relates to the aforementioned program areas, INDOT was able to determine the following:

- Sufficient modifications to the program are in place to ensure INDOT does not discriminate in its selection of research program participants.
- Sufficient training and Title VI awareness protocols are in place to ensure Purdue and INDOT staff receive Title VI training annually and are made aware of Title VI policies and requirements, as well as regularly afforded the opportunity to discuss Title VI issues and/or concerns.
- Purdue/JTRP are generally in compliance with Title VI requirements, deficient only in that they have not engaged in subrecipient monitoring as it relates to JTRP contracts. The JTRP program is working to resolve this deficiency in moving forward as it determines how best to engage in subrecipient monitoring. INDOT will follow up with the program liaisons in FFY2016 to ensure good faith efforts are being made to address this deficiency.

In FFY 2019 INDOT will follow up to evaluate how well the new processes are achieving Title VI goals.

SUBRECIPIENT COMPLIANCE MONITORING

This program area was part of the Special Emphasis Program area in 2015-16. New processes were implemented to greatly improve our subrecipient compliance monitoring efforts. The results are detailed on pages 13-15 of this report and summarized in this section.

Contractor compliance reviews:

In FFY 2018, Title VI certification was made part of the prequalification process. Hundreds of contractors and consultants responded and over a hundred took part in virtual training opportunities. A website was created for contractor compliance and INDOT is in process of entering into Actionstep and reviewing the certifications received for compliance in FFY 2019.

LPA compliance reviews:

Nearly 400 Indiana Communities who are or who are likely to become subrecipients of federal funds have been reviewed to determine the level of compliance with Title VI requirements. Common deficiencies include failure to include Title VI information on the LPAs website or make it otherwise publically available and failure to develop a Title VI implementation plan. More than half of these LPAs have now entered into Voluntary Compliance Agreement Plans (VCAP) with INDOT or are in the process of entering into agreements to resolve their deficiencies.

During FFY 2018, INDOT is following up with those communities who have not adequately responded to our requests to resolve deficiencies. We are also conducting second-tier reviews of those communities who have specifically applied for sidewalk funding or were awarded a Community Crossing Grant.

Most LPAs now have a Title VI Implementation Plan, nondiscrimination assurances, complaint policy and log. Based upon the preliminary results, most of the LPAs reviewed have already received and responded to our notice for deficiency in one or more program areas. However, we
are still in the process of identifying communities which are still noncompliant when it comes to having a Title VI Implementation Plan. In FFY 2019, our main objective will be to focus on helping those communities with numerous deficiencies come into compliance.

Additional day-long training summits, online training opportunities, and shorter in person seminars are being implemented in FFY 2019 to continue coaching our Indiana communities toward compliance and meeting our own subrecipient monitoring objectives.

### TITLE VI TRAINING

INDOT scheduled and presented over thirty (30) audience-specific nondiscrimination and accessibility training sessions during 2017 (up from 10 sessions in FFY 2016 and 8 in FFY 2015). During each of these training sessions, a separate workshop was held for contractors and consultants, LPAs, MPOs, and INDOT employees. In FFY 2018, INDOT traveled to each District at least two times during the year to provide training and technical assistance to our District and Subdistrict staff related to Title VI compliance. In addition, INDOT Title VI training occurred twice a month for new employees during onboarding and new training opportunities was launched in collaboration with Talent Management.

Within the past three (3) years INDOT has held twenty-five (25) program-area specific workshops for INDOT employees in the following program areas: LPA Division, Contracts, Design, Technical Services, Environmental, Appraising, Buying, Operations & Maintenance, Legal, Construction, Research, INDOT Subdistricts, and the Economic Opportunity Division (who piloted an online training module developed for INDOT staff).

The following numbers of individuals received nondiscrimination and accessibility training and/or technical assistance since 2014 is:

- **INDOT Employees:** ≥777
- **INDOT Subrecipients:**
  - LPAs / MPOs: ≥800
  - Contractors: ≥280

In FFY 2019 it remains INDOT’s goal to train majority of its employees not recently trained in Title VI compliance. This training may be in person during a peer group meeting, conference and other learning opportunities, or may occur through use of INDOT’s online employee training module.

INDOT plans to continue to hold additional Title VI training sessions in FFY 2019 (specific dates will be posted online at [https://secure.in.gov/indot/2365.htm](https://secure.in.gov/indot/2365.htm) when they are scheduled). INDOT will repeat its Nondiscrimination and Accessibility Summit in the fall of 2018. INDOT will provide staff training opportunities in each District and in Central Office and provide a virtual attendance option where practical.

### COMPLAINTS OF DISCRIMINATION

INDOT will submit all complaints to FHWA within ten (10) days. INDOT’s complaint process provides a procedure for appeal of all unsubstantiated claims of discrimination. INDOT maintains a complaint log for three (3) years of all complaints received.
INDOT did not receive any Title VI complaints during the reporting period of FFY 2018. INDOT will continue to gather complaint as they are submitted and forward them over to FHWA within the ten (10) day time frame allotted.