

Indiana
Department of Transportation

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State Transportation Improvement Program (STIP) Manual



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List of Acronyms

3-C's: Continuing, Cooperative, and Comprehensive

AADT: Annual Average Daily Traffic

AC: Advance Construction

ADA: Americans with Disability Act

ADT: Average Daily Traffic

ALOP: Annual Listing of Obligated Projects

AM: Asset Management

ATR: Automatic Traffic Recorder (Traffic Data in-Pavement Device)

BMCMPPO: Bloomington/Monroe County Metropolitan Planning Organization

CA: Contractual Agreements

CAMPO: Columbus Area Metropolitan Planning Organization

CAP: Cost Allocation Plan

CAPEX: Capital Expenditures

CCB: Change Control Board

CFM: Capital Funds Manager

CFR: U.S. Code of Federal Regulations

CE: Categorical Exclusion

CM: Change Management

CN: Construction

CO: Central Office

CMAQ: Congestion Mitigation and Air Quality

CPM: Capital Program Management

CPMD: Capital Program Management Director (INDOT District)

CY: Calendar Year

DEM: Designated Project Earmark

Des No.: Designation Number, unique project identifier in SPMS

DMMP: Delaware/Muncie Metropolitan Plan Commission

DOT: Department of Transportation

EA: Environmental Assessment

EDCSI: RPO consisting of Bison, Posey, Vanderburgh, Warrick

EFT: Executive Funds Team

EMPO: Evansville Metropolitan Planning Organization

EPA: U.S. Environmental Protection Agency

FAHP: Federal-Aid Highway Program



FAST Act: Fixing America's Surface Transportation Act

FHWA: Federal Highway Administration

FHWA-IN: Indiana Division of the Federal Highway Administration

FLAP: Federal Lands Access Program

FMIS: Financial Management Information System

FTA: Federal Transit Administration

FFY: Financial Fiscal Year

FY: Fiscal Year (Indiana's fiscal year is July 1 through June 30)

GIS: Geographic Information System

HPMS: Highway Performance Monitoring System

HSIP: Highway Safety Improvement Program

IAC: Indiana Administrative Code

ICG: Interagency Consultation Group

ID: Identification

IDEM: Indiana Department of Environmental Management

IMPO: Indianapolis Metropolitan Planning Organization

Indiana 15: RPO consisting of Pike, Dubois, Orange, Spencer, Perry, Crawford

INDOT: Indiana Department of Transportation

KHCGCC: Kokomo/Howard County Governmental Coordinating Council

KIPDA: Kentuckiana Regional Planning and Development Agency

KPI: Key Performance Indicator

LEP: Limited English Proficient

LPA: Local Public Agency

LRP: Long-Range Transportation Plan

MAP-21: Moving Ahead for Progress in the 21st Century Act

MACOG: Michiana Area Council of Governments

MCCOG: Madison County Council of Governments

MIRR: Modified Internal Rate of Return

MIS: Management Information System

MOA: Memorandum of Agreement

MOU: Memorandum of Understanding

MPA: Metropolitan Planning Area

MPO: Metropolitan Planning Organization

MTP: Metropolitan Transportation Plan

Multiple: Multiple Programs

MVEB: Motor Vehicle Emissions Budget

NAAQS: National Ambient Air Quality Standards



NEPA: National Environmental Policy Act
NHS: National Highway System
NHPP: National Highway System
NIRCC: Northeastern Indiana Regional Coordinating Council
NIRPC: Northwestern Indiana Regional Planning Commission
NOA: Notice of Authorization
NOC: Notice of Closure
NOFA: Notice of Funding Availability
NTP: Notice to Proceed
O&M: Operations and Maintenance
OKI: Ohio/Kentucky/Indiana Regional Council of Governments
OPEX: Operating Expenditures
PBPP: Performance-Based Planning and Programming
PCE: Programmatic Categorical Exclusion
PE: Preliminary Engineering
PEA: Planning Emphasis Area
PEL: Planning & Environmental Linkage
PI: Public Involvement
PL: Planning (MPO funds type)
PM: Project/Program Manager
PMG: Program Management Group
PO: Purchase Order
PIIP: INDOT's Planning Public Involvement Plan
PPM: Planning Procedures Manual
QAR: Quality Assurance Review
QASR: Quality Assurance Site Review
Region 3A: RPO consisting of LaGrange, Steuben, Noble, Whitley, Huntington
River Hills: RPO consisting of Washington, Scott, Clark, Floyd, Harrison
RPO: Regional Planning Organization
RSTP: Regional Surface Transportation Program
RTP: Recreational Trail Program
RW: Right of Way
SAMP: Strategic Asset Management Plan
SHPO: State Historic Preservation Office
SIDC: RPO consisting of Greene, Knox, Daviess, Martin, Lawrence
SIRPC: RPO consisting of Decatur, Franklin, Jennings, Ripley, Dearborn, Jefferson, Ohio, Switzerland
SOW: Statement of Work



SPMS: Scheduling Project Management System
SPR: State Planning & Research Project
STBG: Surface Transportation Block Grant
STIP: Statewide Transportation Improvement Program
TA: Transportation Alternatives
TAMP: Transportation Asset Management Plan
TAP: Transportation Alternatives Program
TCAPC: Tippecanoe County Area Plan Commission
TCDS: Traffic Count Database System
TCM: Transportation Control Measure
TE: Transportation Enhancements
TEA -21: Transportation Equity Act of the 21st Century
TIP: Transportation Improvement Program
TMA: Transportation Management Area
TPM: Transportation Performance Measure
TPR: Transportation Planning Region
TSS: Traffic Statistics Section
TSD: Technical Services Director (INDOT District)
UA: Urbanized Area
UAB: Urban Area Boundary
UPWP: Urban Planning Work Program
USC: United States Code
VMT: Vehicle Miles Traveled
WCIEDD: West Central Indiana Economic Development District
WIM: Weight in Motion Site (in pavement sensor to identify overweight trucks)
WMS: Work Management System
YR: Year



Purpose of the STIP Manual

Purpose and Objectives of the STIP Manual

The purpose of the State Transportation Improvement Program (STIP) Manual is to document the Indiana Department of Transportation's (INDOT's) procedures, processes, and roles and responsibilities across the STIP lifecycle – coordination, development, review, approval and amendments and modifications – and define the requirements for key stakeholder groups (e.g., Metropolitan Planning Organizations, MPOs). The STIP Manual is meant to be a knowledge management document that documents the processes around developing and maintaining the STIP. While the STIP Manual is intended to be used primarily by INDOT's STIP Administration Office, this manual may be used as a reference guide for other INDOT-internal stakeholders (e.g., Office of Technical Planning, Finance Division, District Offices, etc.).

As defined by 23 CFR 450.200, "The purpose of Statewide and Nonmetropolitan Transportation Planning and Programming is to implement provisions of 23 U.S.C. 135, 23 U.S.C. 150, and 49 U.S.C. 5304, as amended, which require each State to carry out a continuing, cooperative, and comprehensive performance-based statewide multimodal transportation planning process, including the development of a long-range transportation plan and STIP, that facilitates the safe and efficient management, operation, and development of surface transportation systems that will serve the mobility needs of people and freight...and that fosters economic growth and development within and between States and urbanized areas, and take into consideration resiliency needs while minimizing transportation-related fuel consumption and air pollution in all areas of the State, including those areas subject to the metropolitan transportation planning requirements of 23 U.S.C. 134 and 49 U.S.C. 5303."

The STIP is the state's four-year planning and construction document¹ which list projects and project phases with committed federal funds as well as state-funded projects that have been deemed Regionally

A Regionally Significant project is defined as "a transportation project (other than projects that may be grouped in the TIP and/or STIP or exempt projects as defined by the Environmental Protection Agency's (EPA) transportation conformity regulation (40 CFR part 32)) that is on a facility which serves regional transportation needs (such as access to and from the area outside the region; major activity centers in the region; major planned developments such as new retail malls, sports complexes, or employment centers; or transportation terminals) and would normally be included in the modeling of the metropolitan area's transportation network. At a minimum, this includes all principal arterial highways and all fixed guideway transit facilities that offer a significant alternative to regional highway travel." (CFR 450.104)

Significant².

Key objectives of the STIP Manual are to:

- Provide an overview of INDOT's STIP, key milestones, and timelines associated with the STIP;
- Describe key areas of responsibility and identify internal and external stakeholders in development of the STIP;

¹ FHWA and FTA only recognize and approve the first four years of the TIP. Any and all projects outside of the federally approved years are not eligible for federal funding and are listed in the fifth year as illustrative only and are, intended to inform the public of projects or project phases that are forthcoming.

² CFR 450.104



- Document INDOT's overarching process flow for the STIP process, including responsible parties;
- Document how INDOT differentiates amendments vs. modifications to the STIP;
- Describe INDOT's processes in preparing and approving amendments and modifications.
- Document the responsibilities of the MPOs in submitting requests for amendments and modifications.
- Identify data requirements for development of the STIP and amendments and modifications.
- Document a process flow for the amendments and modifications process, incorporating INDOT's portal system.
- Demonstrate that INDOT has a documented and standardized approach for developing and maintaining its STIP; and
- Serve as a knowledge management document for INDOT to aid in succession planning.

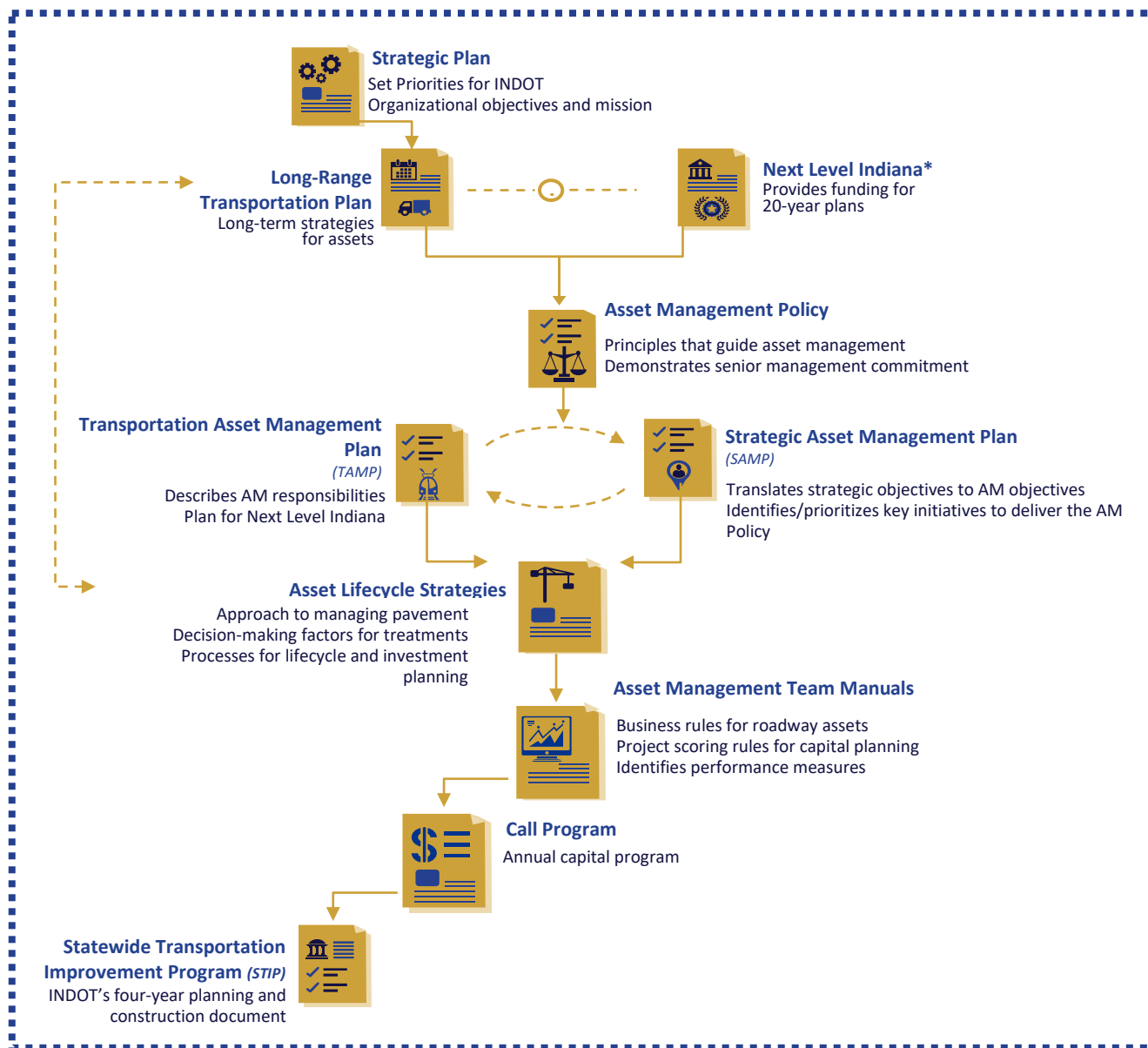
The Asset Management System

The STIP Manual is only one component of INDOT's overall "asset management system." The STIP Manual fits into this greater system-wide network, as demonstrated in the below graphic and explained on the following page. This graphic describes the various documents and inputs used to develop the STIP.

The asset management system includes all processes, policies, procedures, documents, and supporting framework that, together, help achieve INDOT's Asset Management Program.



Figure 1: The Asset Management System



* Next Level Indiana may be subject to change based on the Governor's Administration.

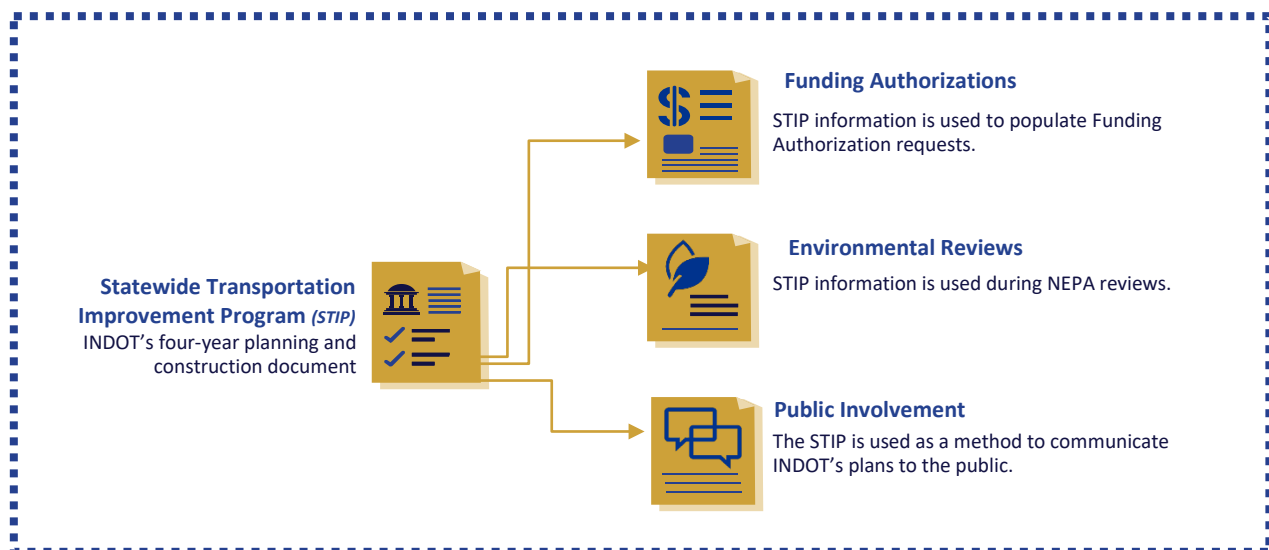
- INDOT's Strategic Plan establishes the foundation for organizational priorities and mission.
- The Long-Range Transportation Plan sets INDOT's long-term strategies for the assets.
- The Asset Management Policy outlines INDOT's guiding principles and imperatives for asset management and demonstrates leadership's commitment to asset management.
- The Strategic Asset Management Plan (SAMP) summarizes the processes to support asset management and translates INDOT's organization-wide objectives to corresponding asset management objectives.

- The TAMP describes the existing conditions of INDOT's transportation network and identifies planned enhancements within a 10-year horizon to manage the State highway system, using Next Level Indiana.
- The Asset Lifecycle Strategies describe the decision-making processes and considerations for preparing roadway strategies, providing a tactical approach to achieve the objectives and implement the plans outlined in the TAMP and SAMP and the 20-year plans.
- The Asset Management Team Manuals describe the operational policies and procedures for the departments, including the Roadway Inventory Group.
- The business rules outlined within the Asset Lifecycle Strategies are used to prioritize and select projects for the annual Call program.
- The Call Program dictates the annual capital program for INDOT and determines which projects will be funded for the upcoming fiscal year.

The STIP, in turn, is used for informational purposes to communicate INDOT's federally funded and/or 100% state funded Regionally Significant projects to internal and external stakeholders and to help inform decision-making. The graphic below visualizes the outputs of the STIP and how the STIP can be leveraged for other decision-making processes.

- STIP communicates to INDOT's stakeholders the upcoming planned projects over the four-year planning period based on inputs from both internal and external stakeholders and based on planned funding.
- The STIP informs environmental processes both internally and externally during the review period, e.g., with NEPA.
- The STIP is used for funding authorizations. INDOT's CapWise system gathers information from the STIP and populates funding authorization requests in INDOT's Financial Management Information System (FMIS). FHWA then compares the funding authorization request to the information within the STIP for accuracy prior to authorizing approval.

Figure 2: Outputs of the STIP





STIP Overview

Purpose and Overview of the STIP

The STIP document is Indiana's four-year planning and construction³ listing projects and phases that have committed federal funding over the upcoming four-year period, as well as state-funded projects over the same period that have been deemed Regionally Significant.

The STIP is a planning and programming document that is prepared in cooperation with local government entities throughout Indiana, including Metropolitan Planning Organizations (MPOs), Tribal Governments, Non-Metropolitan Local Governments, and Regional Planning Organizations (RPOs). The STIP is the culmination of INDOT's, and the MPOs' planning processes and translates the objectives set forth in INDOT's long-range transportation plans, the Transportation Asset Management Plan (TAMP) and Strategic Asset Management Plan (SAMP), asset lifecycle strategies, and Asset Teams' business rules into committed projects for the upcoming four-year period, aligned to the projects outlined in the INDOT Construction Plan.

As such, the STIP is a complete list and description of all Regionally and non-Regionally Significant projects that are funded with Federal monies to be advanced by year for the next four-year period, as well as Regionally Significant projects that are funded from other funding sources beyond Federal funds. The STIP is inclusive of both capital and transit projects or phases of project development.⁴ As further described in the STIP Development chapter of this document, the STIP is submitted to the Federal Highways Administration (FHWA) and Federal Transit Administration (FTA) on a bi-annual basis and requires an action (i.e., approval, conditional approval, non-approval) by FHWA or FTA regardless of how the projects are funded.

The STIP identifies the funding and the scheduling of transportation projects and programs by INDOT's fiscal year (July 1 through June 30). It includes all state and local transportation projects funded with federal highway and/or federal transit funding along with 100% state-funded transportation projects (including highway, passenger rail, freight, public transit, bicycle and pedestrian), and projects in the national parks) that are deemed Regionally Significant.

The STIP document is a planning and programming document that is based on the best available estimates at the time of approval. It is intended to provide the public with information on how INDOT plans to spend federal and state funds on upcoming transportation projects annually over the next four-year period. Note that only committed projects are included in the STIP, and any changes to projects must go through amendments and administrative modifications (i.e., modifications) to the STIP during the interim period between complete updates to the STIP, as further described in the Amendments and Modifications chapter of this document. Projects listed within the STIP typically originate from local and/or state-approved plans. The STIP and records of previous STIP documents are publicly available on INDOT's STIP [website](#).

Overview of Key Stakeholders

INDOT coordinates and communicates with a variety of stakeholders, both internal and external, and provides oversight of the MPOs in the development and maintenance of the STIP. In addition to the various internal stakeholders who have a role in developing the STIP, INDOT is required to develop the STIP in coordination with the Metropolitan Planning Organizations (MPOs) and in consultation with the Regional Planning Organizations (RPOs) and non-metropolitan local officials. Additionally, INDOT is required to engage the public through public involvement in the development of the STIP.

³ FHWA and FTA only recognize and approve the first four years of the TIP. Any and all projects outside of the federally approved years are not eligible for federal funding and are listed in the fifth year as "illustrative" only and are, intended to inform the public of projects or project phases that are forthcoming.

⁴ Maintenance projects are excluded from the STIP and are State-funded only.



Some key stakeholders involved in the STIP process include, but are not limited to, the following groups:

Table 1: Summary of Key Stakeholders

Stakeholder	Description
<i>Indiana Department of Transportation (INDOT)</i>	Acts on behalf of FHWA-IN in carrying out the statewide planning process, to include the STIP. Responsible for preparing and coordinating the development of the STIP with MPOs, Tribal governments, and local governments in nonmetropolitan areas, and with participation of the public and interested parties. INDOT is also responsible for oversight of the MPOs in development and maintenance of the STIP.
<i>Metropolitan Planning Organizations (MPOs)</i>	Serve transportation planning needs in large urban areas and are responsible for developing the Transportation Improvement Programs (TIPs) for their designated MPO, to be incorporated into the STIP.
<i>Regional Planning Organizations (RPOs)</i>	Responsible for economic development planning and serving transportation planning needs for INDOT's Small Urban and Rural Transportation Planning Assistance Program. RPOs are consulted during the STIP development process.
<i>Non-Metropolitan Local Governments</i>	Grouped into one of four categories based on population data from the United States Census and are consulted during the STIP development process.
<i>U.S. Federal Highway Administration (FHWA)</i>	Responsible for the review and approval of the STIP, in conjunction with FTA, for subsequent authorization and obligation of federal-aid funding for the State's transportation projects and programs.
<i>U.S. Federal Transit Administration (FTA)</i>	Responsible for the review and approval of the STIP, in conjunction with FHWA, for subsequent authorization and obligation of federal-aid funding for the State's transportation projects and programs.
<i>Interagency Consultation Group (ICG)</i>	Multi-agency group responsible for both formal and informal consultation processes to ensure metropolitan transportation plans (MTPs), TIPs, and the STIP conform to the air quality goals established by the State Implementation Plan (SIP).
<i>Public/Public Interest Groups</i>	Consulted, informed, and involved in the planning process for the STIP, as public involvement and citizen engagement is a federal requirement for projects funded with FHWA and FTA dollars.
<i>Tribal Governments</i>	Consulted during the STIP development process, as involvement with tribal governments is a federal requirement for projects funded with FHWA and FTA dollars.

Further details on the roles of each stakeholder group in the above table are described in the Roles and Responsibilities chapter of this document.

Overview of Federal Requirements for the STIP

INDOT develops the STIP in accordance with the most recent transportation legislation. The following Code of Federal Regulations, 23 CFR 450.218 lists statutory requirements surrounding the STIP. For more details on federal requirements, please refer to the Federal STIP Requirements chapter of this document.

- **23 CFR 450.218(a):** The STIP shall cover a period of no less than 4 years and shall be updated at least every 4 years, or more frequently if the Governor of the State elects a more frequent update cycle. However, if the STIP covers more than 4 years, the FHWA and the FTA will consider the projects in additional years as informational. In case of difficulties developing a portion of the STIP for a particular area (e.g., metropolitan planning area, nonattainment or maintenance area, or Indian



Tribal lands), the State may develop a partial STIP covering the rest of the State. **23 CFR 450.218(b):** In each metropolitan area in the State, the State shall develop the STIP in cooperation with the MPO designated for the metropolitan area. The State shall include each metropolitan TIP without change in the STIP, directly or by reference, after approval of the TIP by the MPO and the Governor. A metropolitan TIP in a nonattainment or maintenance area is subject to a FHWA/FTA conformity finding before inclusion in the STIP. In areas outside a metropolitan planning area but within an air quality nonattainment or maintenance area containing any part of a metropolitan area, projects must be included in the regional emissions analysis that supported the conformity determination of the associated metropolitan TIP before they are added to the STIP.

- **23 CFR 450.218(c):** For each non-metropolitan area in the State, the State shall develop the STIP in cooperation with affected non-metropolitan local officials with responsibility for transportation or, if applicable, through RTPOs described in § 450.210(d) using the State's consultation process(es) established under § 450.210(b).
- **23 CFR 450.218(d):** For each area of the State under the jurisdiction of an Indian Tribal government, the STIP shall be developed in consultation with the Tribal government and the Secretary of the Interior.
- **23 CFR 450.218(e):** Tribal Transportation Program, Federal Lands Transportation Program, and Federal Lands Access Program TIPs shall be included without change in the STIP, directly or by reference, once approved by the FHWA pursuant to 23 U.S.C. 201(c)(4).
- **23 CFR 450.218(f):** The Governor shall provide all interested parties with a reasonable opportunity to comment on the proposed STIP as required by § 450.210(a).
- **23 CFR 450.218(g):** The STIP shall include capital and non-capital surface transportation projects (or phases of projects) within the boundaries of the State proposed for funding under title 23 U.S.C. and title 49 U.S.C. Chapter 53 (including transportation alternatives and associated transit improvements; Tribal Transportation Program projects, Federal Lands Transportation Program projects, and Federal Lands Access Program projects; HSIP projects; trails projects; and accessible pedestrian walkways and bicycle facilities), except the following that may be included:
 - (1) Safety projects funded under 23 U.S.C. 402 and 49 U.S.C. 31102;
 - (2) Metropolitan planning projects funded under 23 U.S.C. 104(d) and 49 U.S.C. 5305(d);
 - (3) State planning and research projects funded under 23 U.S.C. 505 and 49 U.S.C. 5305(e);
 - (4) State planning and research projects funded with Surface Transportation Program funds;
 - (5) Emergency relief projects (except those involving substantial functional, locational, or capacity changes);
 - (6) Research, development, demonstration, and deployment projects funded under 49 U.S.C. 5312, and technical assistance and standards development projects funded under 49 U.S.C. 5314;
 - (7) Project management oversight projects funded under 49 U.S.C. 5327; and
 - (8) State safety oversight programs funded under 49 U.S.C. 5329.
- **23 CFR 450.218(h):** The STIP shall contain all regionally significant projects requiring an action by the FHWA or the FTA whether or not the projects are to be funded with 23 U.S.C. Chapters 1 and



2 or title 49 U.S.C. Chapter 53 funds (e.g., addition of an interchange to the Interstate System with State, local, and/or private funds, and congressionally designated projects not funded under title 23 U.S.C. or title 49 U.S.C. Chapter 53). For informational and conformity purposes, the STIP shall include (if appropriate and included in any TIPs) all regionally significant projects proposed to be funded with Federal funds other than those administered by the FHWA or the FTA, as well as all regionally significant projects to be funded with non-Federal funds.

- **23 CFR 450.218(i):** The STIP shall include for each project or phase (e.g., preliminary engineering, environment/NEPA, right-of-way, design, or construction) the following:
 - (1) Sufficient descriptive material (i.e., type of work, termini, and length) to identify the project or phase.
 - (2) Estimated total project cost or a project cost range, which may extend beyond the 4 years of the STIP.
 - (3) The amount of Federal funds proposed to be obligated during each program year. For the first year, this includes the proposed category of Federal funds and source(s) of non-Federal funds. For the second, third, and fourth years, this includes the likely category or possible categories of Federal funds and sources of non-Federal funds; and
 - (4) Identification of the agencies responsible for carrying out the project or phase.
- **23 CFR 450.218(j):** Projects that are not considered to be of appropriate scale for individual identification in a given program year may be grouped by function, work type, and/or geographic area using the applicable classifications under 23 CFR 771.117(c) and (d) and/or 40 CFR part 93. In nonattainment and maintenance areas, project classifications must be consistent with the “exempt project” classifications contained in the EPA’s transportation conformity regulations (40 CFR part 93, subpart A). In addition, projects proposed for funding under title 23 U.S.C. Chapter 2 that are not regionally significant may be grouped in one line item or identified individually in the STIP.
- **23 CFR 450.218(k):** Each project or project phase included in the STIP shall be consistent with the long-range statewide transportation plan developed under § 450.216 and, in metropolitan planning areas, consistent with an approved metropolitan transportation plan developed under § 450.324.
- **23 CFR 450.218(l):** The STIP may include a financial plan that demonstrates how the approved STIP can be implemented, indicates resources from public and private sources that are reasonably expected to be available to carry out the STIP, and recommends any additional financing strategies for needed projects and programs. In addition, for illustrative purposes, the financial plan may include additional projects that would be included in the adopted STIP if reasonable additional resources beyond those identified in the financial plan were to become available. The State is not required to select any project from the illustrative list for implementation, and projects on the illustrative list cannot be advanced to implementation without an action by the FHWA and the FTA on the STIP. Revenue and cost estimates for the STIP must use an inflation rate to reflect “year of expenditure dollars,” based on reasonable financial principles and information, developed cooperatively by the State, MPOs, and public transportation operators.
- **23 CFR 450.218(m):** In nonattainment and maintenance areas, projects included in the first 2 years of the STIP shall be limited to those for which funds are available or committed. Financial constraints of the STIP shall be demonstrated and maintained by year and shall include sufficient financial information to demonstrate which projects are to be implemented using current and/or reasonably available revenues, while federally supported facilities are being adequately operated and maintained. In the case of proposed funding sources, strategies for ensuring their availability shall be identified in the financial plan consistent with paragraph (l) of this section. For purposes of



transportation operations and maintenance, the STIP shall include financial information containing system-level estimates of costs and revenue sources that are reasonably expected to be available to adequately operate and maintain Federal-aid highways (as defined by 23 U.S.C. 101(a)(5)) and public transportation (as defined by title 49 U.S.C. 5302).

- **23 CFR 450.218(n):** Projects in any of the first 4 years of the STIP may be advanced in place of another project in the first 4 years of the STIP, subject to the project selection requirements of § 450.222. In addition, subject to FHWA/FTA approval (see § 450.220), the State may revise the STIP at any time under procedures agreed to by the State, MPO(s), and public transportation operators consistent with the STIP development procedures established in this section, as well as the procedures for participation by interested parties (see § 450.210(a)). Changes that affect fiscal constraint must take place by amendment of the STIP.
- **23 CFR 450.218(o):** The STIP shall include a project, or an identified phase of a project, only if full funding can reasonably be anticipated to be available for the project within the time period contemplated for completion of the project.
- **23 CFR 450.218(p):** In cases where the FHWA and the FTA find a STIP to be fiscally constrained, and a revenue source is subsequently removed or substantially reduced (i.e., by legislative or administrative actions), the FHWA and the FTA will not withdraw the original determination of fiscal constraint. However, in such cases, the FHWA and the FTA will not act on an updated or amended STIP that does not reflect the changed revenue situation.
- **23 CFR 450.218(q):** A STIP shall include, to the maximum extent practicable, a discussion of the anticipated effect of the STIP toward achieving the performance targets identified by the State in the statewide transportation plan or other State performance-based plan(s), linking investment priorities to those performance targets.

STIP Coordination

Projects for the STIP are developed in coordination with the State's various regional and local planning organizations, including Metropolitan Planning Organizations (MPOs) and Regional Planning Organizations (RPOs). The MPOs are responsible for developing individual Transportation Improvement Programs (TIPs), which, in turn, are included in the statewide STIP.

Indiana has both a decentralized and centralized programming process. Projects are submitted by the six INDOT districts and selected through an agency-wide, asset management process in coordination with MPOs, local public agencies, and transit coordinators. Stakeholder and public input are collected by the MPOs, RPOs, and INDOT throughout the STIP development process to ensure public involvement requirements are met. The STIP is approved by the FHWA and the FTA. The STIP is developed on a two-year cycle and amended approximately on a bi-monthly basis.

Public participation is incorporated throughout the process to help ensure a continuous, cooperative and comprehensive planning process as it relates to the STIP. The public is granted opportunities to comment throughout the STIP development and maintenance process, as detailed in INDOT's *Planning Public Involvement Plan (PPIP)*. Public involvement opportunities specific to the STIP include the following:

- ✓ **STIP Public Comment Period:** INDOT conducts public involvement or outreach events during the drafting process of the STIP. INDOT publishes the STIP for a 45-day public comment period in which public comments may be submitted by mail, email, or electronically. Comments and responses are documented and coordinated through the agency's Communications Division. INDOT then responds to public comment and incorporates feedback into the STIP prior to submitting to FHWA and FTA for approval.



- ✓ **MPO Policy Board Meetings:** The public also has the opportunity to attend MPO Policy Board and Technical Advisory Committee (TAC) meetings to discuss project concepts and ask questions related to new projects or changes to existing projects. These typically occur every 2-4 months, depending on the MPO.
- ✓ **INDOT Call for Projects:** The public is given the opportunity to comment during the INDOT Annual Call for projects.
- ✓ **Public Comment Period for Air Quality:** Regionally Significant (air quality non-exempt) transportation projects located in insolated rural and non-attainment or maintenance areas that are not part of a metropolitan area must undergo an air quality conformity determination before they can be added into the STIP. The air quality conformity process requires INDOT prepare the project's air quality conformity report and make the report available to the public for review and comment. INDOT has a 14-day opportunity for the public to review and submit comments on the report.

For more information on public participation in the STIP process, please refer directly to the INDOT *Planning Public Involvement Plan (PPIP)*.

The TIP portion of a STIP in a metropolitan area is developed cooperatively with the Metropolitan Planning Organizations (MPOs) and must be included wholly or by reference in the STIP. The portion of a STIP in each non-metropolitan area is developed in consultation with affected non-metropolitan officials responsible for transportation. As with INDOT, MPOs must demonstrate that public involvement processes were followed in development and maintenance of the TIPs. This includes public comment periods during the TIP development, MPO Policy Board meetings and TAC meetings during proposed amendments and modifications to the TIPs, the Call for projects, and air quality conformity public comment periods.

STIP Timeline

The STIP is updated every two years, typically during the odd year, in alignment with the Indiana Legislative Budget cycle. This also aligns with the bi-annual cycle the MPOs follow to update the individual TIPs. The process is involved and must be coordinated with various partners; entities at the local, state, and federal levels; and must adhere to INDOT's public participation/involvement policy at before approved. The updating process can take up to nine months. For more information and resources on INDOT's public involvement processes, please refer to INDOT's Public Involvement website located here: <http://www.in.gov/indot/2366.htm>.

Once a STIP is approved by FHWA and FTA, changes can be made to the STIP through an amendment or through an administrative modification (i.e., modification). For more details on the STIP amendment and modification process, please refer to the Amendments and Modifications chapter of this document.

Content within the STIP

The STIP is organized in the following four key sections:

Table 2: STIP Content

Section	Title	Description
#1	STIP Overview	Provides an introduction and overview of the STIP and the process used to develop or amend the document and the coordination efforts (MPOs, RPOs, stakeholders, and the general public).



Section	Title	Description
#2	Requirements	Describes state and federal requirements and how INDOT meets these requirements (public involvement, environmental justice, ADA, and agreements/coordination between states).
#3	Financial Information/Permits	Describes and defines funding programs, revenue history/trends, financial summaries, risk management/mitigation strategies, financial plans for major capital projects (i.e., Ohio River Bridges, I-69 corridor), tables, and related information. The STIP must be fiscally constrained.
#4	Project Listing	Projects are listed by project sponsor: state, local, transit, by county, funding, source, and phases, including Preliminary Engineering, Right of Way, and Construction

Selection of Projects for the STIP

Transportation projects begin through the identification of transportation needs, opportunities, or challenges and can be displayed in the STIP in phased development (e.g., Preliminary Engineering, Right of Way, and/or Construction). Potential projects for the STIP can come from a number of sources from regional metropolitan plans, corridor studies, environmental studies, technical asset/engineering analysis, and transit providers just to name a few.

On an annual basis, INDOT District Offices open the 6-month Call for State Projects for proposed new projects on state facilities (interstates, U.S. Highways, and State Roads)⁵ and a separate Call for Local Projects. Proposed projects from the call are not fiscally constrained. All submitted projects are presented internally, reviewed, adjusted as needed, ranked and prioritized through state and local processes designed to assure the broadest participation in meeting the state's transportation needs. As part of this process, the public is given opportunities to participate in the Call for projects and provide comment during the public involvement period, as further described in both the *Planning Public Involvement Plan (PPIP)* and the *Annual Program Development Plan for State Projects (APDP-S)*. Funding estimates are established, and the proposed projects are fiscally constrained based on their performance impacts. These new funded projects are approved by INDOT leadership and programmed into the scheduling system. Once these projects are programmed, they are added into the STIP.

The STIP is populated through the SPMS (Scheduling Project Management System), a software application internally developed by the INDOT Management Information Systems (MIS) staff with oversight from the business owner. MPO funded projects are added in the system through the 'Call for Projects' module. As described above, after a project is assigned 'call' status and it is closed, Asset Management Teams review and deliberate on projects within their respective areas to align on scores and priorities. Once scored and prioritized, projects are presented to the executive staff for approval and are moved from 'call' status to 'active' status before the STIP development process. When it is time to start the development of the STIP, SPMS is queried for any active project with funding identified in the 5-year window. Local, non-MPO funded projects are submitted to SPMS through a 'Local Call for Projects' module and are vetted and prioritized by the LPA division. After a project is awarded, they are activated in SPMS, assigned funding, and are included in the STIP query.

For more details on the selection of projects, please refer directly to INDOT's *Annual Program Development Plan for State Projects (APDP-S)*.

⁵ Transit projects for inclusion the STIP are provided directly from the INDOT's Transit division.



Changes to Existing STIP Projects

After the STIP is approved by FHWA and FTA, any changes to the STIP and the TIPs must be made through administrative modifications (i.e., modifications) or through the amendment process. INDOT Transportation Planners, Project Managers, and Engineers work closely with the MPOs and non-metropolitan local officials to address needed changes to the approved STIP before the next bi-annual development of a new STIP. Updated document and amendments to the STIP are publicly available on the INDOT STIP [website](#).

Two types of updates can be made to the STIP:

- 1. Administrative Modification (or Modification):** A minor revision to a long-range statewide or metropolitan transportation plan (MTP), TIP, or STIP that includes minor changes to project/project phase costs, minor changes to funding sources of previously included projects, and minor changes to project/project phase initiation dates. An administrative modification is a revision that does not require public review and comment, a redemonstration of fiscal constraint, or a conformity determination in nonattainment and maintenance areas (*23 CFR 450.104*).
- 2. Amendment:** A revision to a long-range statewide or MTP, TIP, or STIP that involves a major change to a project included in a metropolitan transportation plan, TIP, or STIP, including the addition or deletion of a project or a major change in project cost, project/project phase initiation dates, or a major change in design concept or design scope (e.g., changing project termini or the number of through traffic lanes or changing the number of stations in the case of fixed guideway transit projects). Changes to projects that are included only for illustrative purposes do not require an amendment. An amendment is a revision that requires public review and comment and a redemonstration of fiscal constraint. If an amendment involves “non-exempt” projects in nonattainment and maintenance areas, a conformity determination is required (*23 CFR 450.104*).

For more details on the process and key considerations when making changes to the STIP, please refer to the Amendments and Modifications chapter of this document.



Federal STIP Requirements

Statutory Requirements for Statewide and Metropolitan Transportation Planning

The STIP is a defined program within the U.S. Code of Federal Regulations, defined in 23 CFR Part 450, Highways, Chapter 1, Federal Highway Administration, Department of Transportation, Subparts A-C: Planning Assistance and Standards, Statewide and Nonmetropolitan Transportation Planning and Programming, and Metropolitan Transportation Planning and Programming, respectively.

"The purpose of Statewide and Nonmetropolitan Transportation Planning and Programming is to implement provisions of 23 U.S.C. 135, 23 U.S.C. 150, and 49 U.S.C. 5304, as amended, which require each State to carry out a continuing, cooperative, and comprehensive performance-based statewide multimodal transportation planning process, including the development of a long-range transportation plan and STIP, that facilitates the safe and efficient management, operation, and development of surface transportation systems that will serve the mobility needs of people and freight...and that fosters economic growth and development within and between States and urbanized areas, and take into consideration resiliency needs while minimizing transportation-related fuel consumption and air pollution in all areas of the State, including those areas subject to the metropolitan transportation planning requirements of 23 U.S.C. 134 and 49 U.S.C. 5303."
(23 CFR 450.200)

States' transportation planning processes must address the following key factors:

- ✓ Support economic vitality;
- ✓ Increase safety of the transportation system;
- ✓ Increase security of the transportation system;
- ✓ Increase accessibility and mobility;
- ✓ Protect and enhance the environment, promote energy conservation, improve quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns;
- ✓ Enhance integration and connectivity of the transportation system;
- ✓ Promote efficient system management and operation;
- ✓ Emphasize preservation of the existing transportation system;
- ✓ Improve resiliency and reliability of the transportation system; and
- ✓ Enhance travel and tourism.⁶

⁶ § 450.206 (a)



Requirements for Performance-Based Approach

Statewide transportation planning processes must use a performance-based approach to their decision-making, and states must establish performance targets in coordination with relevant MPOs and/or providers of public transportation to demonstrate a performance-based approach. Targets shall address how the transportation planning process will help attain critical outcomes for the State. Similarly, goals, objectives, performance measures, and targets should be integrated into the statewide transportation planning process.⁷

The CFR states that States should leverage asset management strategies and techniques in its statewide transportation planning process, including during the establishment of goals, definition of STIP priorities and assessment of investment decisions.⁸

Requirements for Coordinating Statewide Transportation Planning

Additionally, statewide transportation planning processes include the requirement to carry out a coordinated approach, collaborating relevant stakeholders, including the MPOs, transportation providers, local and elected officials, and Indian Tribal governments, where applicable. At a minimum, the State should coordinate its transportation planning with the following related planning activities and stakeholders:

- Metropolitan areas' planning activities
- Statewide trade and economic development planning activities
- Multistate planning efforts
- Federal land management agencies with jurisdiction within the State's boundaries
- Affected local elected and appointed officials with responsibilities for transportation
- RTPOs in nonmetropolitan areas, as applicable
- Indian Tribal governments with jurisdiction within the State's boundaries
- Planning activities conducted outside of metropolitan planning areas
- Planning activities conducted between States

The State should also coordinate its data collection and analyses with the MPOs and public transportation operators.⁹

Requirements for Public Involvement in Transportation Planning

States are required to have a documented public involvement process in their statewide transportation planning, including for the development of the STIP. Minimum requirements for the State's public involvement process includes the following:

⁷ § 450.206 (c)

⁸ § 450.208 (e)

⁹ § 450.208 (a)



- ✓ Establish early and continuous public involvement opportunities that provide timely information;
- ✓ Provide reasonable public access to information on the STIP;
- ✓ Provide adequate notice of public involvement activities and time for public review and comment on the STIP;
- ✓ Take measures so that public meetings are held at convenient and accessible locations and times;
- ✓ Take measures so that visuals during public meetings describe the transportation plan;
- ✓ Make public information available electronically and in accessible manner to the public;
- ✓ Demonstrate explicit consideration and response to public input during development of the STIP;
- ✓ Include a process to seek out and consider the needs of those who may be underserved by existing transportation systems; and
- ✓ Provide for periodic review of the effectiveness of the public involvement process and revise the process, when needed.

For the STIP's public involvement process, the State must allow 45 calendar days for public review and comment on the proposed process for public involvement before the State may adopt its public involvement procedures or any revisions to existing procedures. Processes for public involvement must be provided to FHWA and FTA.

In addition to the public, the State must also have a documented process for how it cooperates with nonmetropolitan local officials in development of the STIP. To document this process, the State must review and solicit comments from non-metropolitan local officials or other interested parties at least once every 5 years for at least 60 calendar days, giving them the opportunity to comment on the effectiveness of the existing process or propose changes. The State is responsible for determining if it will adopt proposed changes to the process.

The State is also required to develop the STIP in consultation with Indian Tribal governments, for areas under their jurisdiction, and the Secretary of the Interior. The State should make efforts to document this process, including roles, responsibilities, and key decision points when consulting with them for the STIP.

Requirements for Developing the STIP

The U.S. Code of Federal Regulations outlines the steps required for the development of the STIP. As stated in 23 CFR Part 450, Subpart 218:

*"The **State shall develop a statewide transportation improvement program (STIP) for all areas of the state.** The STIP shall cover a period of no less than 4 years and shall be updated at least every 4 years, or more frequently if the Governor of the State elects a more frequent update cycle. However, if the STIP covers more than 4 years, the FHWA and the FTA will consider the projects in the additional years as informational. In case of difficulties developing a portion of the STIP for a particular area (e.g., metropolitan planning area, nonattainment or maintenance area, or Indian Tribal lands), the State may develop a partial STIP covering the rest of State."*
(23 CFR 450.218)



In addition to defining the STIP, § 450.218 identifies the requirements for content within the STIP, coordination across the various stakeholders, etc., as further outlined below:

Regional Coordination:

As previously outlined as part of the State's overall statewide transportation planning process, development of the STIP must occur in cooperation with the MPO designated for the metropolitan area, and the STIP must include each metropolitan TIP after approval by the MPO and Governor.

In nonmetropolitan areas, the State must develop the STIP in cooperation with affected nonmetropolitan local officials who are responsible for transportation or, through RTPs. The State must coordinate using the State's consultation processes established under § 450.210(b).

The State must also develop the STIP in coordination with applicable Tribal governments and the Secretary of the Interior for any Indian Tribal governments under the State.

All TIPs related to the Tribal Transportation Program, Federal Lands Transportation Program, and Federal Lands Access Program must be incorporated into the STIP without change once they are approved. The State's Governor is required to provide all interested parties with the opportunity to comment on the proposed STIP prior to approval, required by § 450.210(a).¹⁰

Air Quality Conformity:

The TIP/STIP is assessed for its impact on air quality. Based on this assessment, certain areas of the state can be designated as nonattainment areas for ozone or particulate matter by the United States Environmental Protection Agency (EPA). The Clean Air Act (CAA) section 176(c) (42 U.S.C. 7506(c)) requires that federally funded or approved highway and transit activities are consistent with ("conform to") the purpose of the State Implementation Plan (SIP). Conformity to the purpose of the SIP means that transportation activities will not cause or contribute to new air quality violations, worsen existing violations, or delay timely attainment of the relevant NAAQS or any interim milestones. 42 U.S.C. 7506(c)(1). The EPA's transportation conformity rules establish the criteria and procedures for determining whether metropolitan transportation plans, transportation improvement programs (TIPs), and federally supported highway and transit projects conform to the SIP. 40 CFR Parts 51.390 and 93.¹¹

As such, in areas outside of a metropolitan planning area but within an air quality nonattainment or maintenance area containing any part of a metropolitan area, projects in the STIP must be included in the regional emissions analysis that supported the conformity determination of the associated TIP.

For an overview of transportation conformity and guidelines for state and local officials, please refer to FHWA's website, [Contents - 2017 Guide - Conformity - Air Quality - Environment - FHWA \(dot.gov\)](https://www.fhwa.gov/airquality/conformity/2017guide/).

1997 Ozone Standard and Implications for INDOT

On February 16, 2018, the U.S. Court of Appeals for the D.C. Circuit issued a decision in *South Coast Air Quality Management District v. EPA*, No. 15-1115, which struck down portions of the 2008 Ozone NAAQS SIP Requirements Rule concerning the ozone National Ambient Air Quality Standards (NAAQS). Those portions of the 2008 Ozone NAAQS SIP Requirements Rule included transportation conformity requirements associated with EPA's revocation of the 1997 ozone NAAQS. The decision addresses transportation conformity determinations for two groups of ozone areas (the "orphan" areas): 1. Areas that were maintenance areas for the 1997 ozone NAAQS at the time of revocation and are designated as attainment for the 2008 Ozone NAAQS. These areas have not been required 2020-2024 INDOT State Transportation Improvement Program Page 24 to make transportation conformity determinations for the 1997 ozone

¹⁰ § 450.218 (b-f)

¹¹ Text from https://www.in.gov/indot/files/STIP_2020-2024_full.pdf



NAAQS since that NAAQS was revoked in April 2015 by EPA's Rule. 2. Areas that were designated as nonattainment for the 1997 ozone NAAQS at the time of revocation and are designated as attainment for the 2008 Ozone NAAQS. These areas have not been required to make transportation conformity determinations for the 1997 ozone NAAQS since that NAAQS was revoked in April 2015 by EPA's Rule. The South Coast decision now affects conformity determination for the 1997 ozone NAAQS for eight Indiana MPOs: Evansville, Fort Wayne, Indianapolis, LaPorte, Louisville, KY, Muncie, South Bend, Terre Haute and two isolated rural counties: Greene and Jackson. For more information, please refer to the following [website](#).

US EPA Air Quality Designations for the 2015 Ozone National Ambient Air Quality Standards and Implications for INDOT

The 2015 ozone National Ambient Air Quality Standard (NAAQS) was published in the Federal Register on June 4, 2018. The effective date is August 3, 2018. Conformity requirements apply in areas that either do not meet or previously have not met ambient air quality standards for ozone, carbon monoxide, particulate matter, or nitrogen dioxide. These are known as "nonattainment areas" and "maintenance areas," respectively. In areas that are nonattainment or maintenance areas for one or more pollutants, conformity applies to long-range metropolitan plans, the TIPs, and transportation projects funded or approved by FHWA and FTA.

A conformity determination demonstrates that implementation of the metropolitan transportation plan, TIP, or project will not cause any new violations of the air quality standard, increase frequency or severity of violations of the standard, or delay timely attainment of the standard or any interim milestone. For the TIP conformity, the determination shows that the total emissions from the on-road travel in the area's transportation system are consistent with the goals for air quality dictated in the STIP.

Conformity determinations on the transportation plan and TIP in areas newly designated nonattainment under the 2015 ozone NAAQS are required one year after the effective date, by August 3, 2019. Project level conformity requirements for the 2015 ozone NAAQS will be required for non-exempt projects after August 3, 2019.

Conformity determinations are made by FHWA/FTA. MPO policy boards make initial conformity determinations for metropolitan transportation plans and TIPs in their areas, while INDOT makes determinations in areas without MPOs and typically conducts the analysis associated with project-level conformity. A formal interagency consultation process, managed by the Interagency Consultation Group (ICG), is required for developing SIPs, metropolitan transportation plans, and TIPs, and making conformity determinations. Conformity determinations must be made at least every four years, or more often if the TIPs are updated more frequently or amended with non-exempt projects. Project-level conformity must be determined prior to the first time a non-exempt Federal project is adopted, accepted, approved, or funded. Additionally, conformity determinations must be made within 12 months of an area being designated by the EPA as nonattainment.

The EPA designated two Indiana counties in the Louisville metropolitan area: Clark and Floyd and five townships in Lake County: Calumet, Hobart, North, Ross and St. John as nonattainment for the 2015 Ozone Standard. The official status of all conformity areas is shown in the EPA's "Green Book," located [here](#).

Requirements for Air Quality Conformity Determinations

As listed in 40 CFR Part 93, "Determining Conformity of Federal Actions to State or Federal Implementation Plans," regulatory requirements for transportation conformity include the following:

- ✓ **Interagency consultation** – Requires that Federal, State, and local transportation and air quality agencies establish formal procedures to ensure interagency coordination.
- ✓ **Public involvement** – MPOs are required to make their metropolitan transportation plans, TIPs, and conformity determination letters available to the public for review. Additionally, per 23 CFR



450.326(b), in nonattainment areas TMAs (MPO areas over 200,000 in population), the MPO shall provide at least one formal public hearing during the TIP development process. MPOs are required to respond to public comments and provide adequate notice of relevant meetings. Project sponsors must also provide opportunities for public involvement during the development process.

- ✓ **Latest planning assumptions and emissions modeling** – Conformity determinations must be based on the latest planning assumptions and latest EPA-approved emissions estimation model at the time the conformity analysis begins.
- ✓ **Regional emissions analysis and Motor Vehicle Emissions Budget (MVEB)** – A regional emissions analysis supports the demonstration that transportation investments are consistent with the air quality goals within the STIP. Additionally, the STIP accounts for emissions of each pollutant for each source type (on-road mobile, non-road mobile, stationary, and area). The MVEB is the portion of total allowable emissions in the STIP that is allocated to on-road mobile sources (e.g., cars, trucks, buses). For transportation conformity, projected emissions from highway and public transportation must be less than or equal to the budgets.¹²
- ✓ **Timely implementation of the Transportation Control Measures (TCMs)**¹³ – TCMs are measures included in the approved STIP to help reduce emissions from on-road mobile sources. Each time a conformity determination is made, the MPO must demonstrate that its transportation control measures are being implemented on schedule, as laid out in the STIP.
- ✓ **Fiscal constraint** – Metropolitan transportation plans and TIPs in nonattainment or maintenance areas must be shown to meet FHWA and FTA requirements for fiscal constraints, per 23 CFR 450.

Interagency Consultation Group (ICG) Consultation Requirements

Some TIP actions require consultation with the ICG and/or additional action by the U.S. Department of Transportation to issue a Conformity Determination Letter. Administrative modifications to the TIP do not require ICG conformity consultation. For amendments to the TIP that include only exempt projects, the conformity process may end with the ICG reviewing the initial consultation submittal. For amendments to the STIP that include an exempt project in a Donut Area,¹⁴ INDOT must coordinate with the respective MPOs before amending the STIP so that the MPOs can consult with the ICG and concur that the project is exempt. For such amendments that include exempt projects, the conformity process ends once the MPO Policy Board approves the amendment, so long as the ICG has concurred during the informal consultation process. For amendments that include both exempt and non-exempt projects, the U.S. Department of Transportation must find that the MPO's metropolitan transportation plan and TIP comply with conformity requirements before the amendments are effective and can be incorporated into the STIP via an amendment. All TIPs in conformity areas must receive a conformity determination letter before being officially recognized by FHWA and FTA and before projects in the TIP can be incorporated into the STIP. Amendments to the STIP with non-exempt projects in a Donut Area requires that INDOT first coordinate with the MPO to consult the ICG to get a conformity determination.

¹² MVEB does not apply in conformity areas that need only address conformity for the 1997 Ozone standard.

¹³ As defined in 40 CFR 93.101, TCM is any measure that is specifically identified and committed to in the applicable implementation plan, including a substitute or additional TCM that is incorporated into the applicable STIP through the process established in CAA section 176(c)(8), that is either one of those types listed in CAA section 108, or any other measure for the purpose of reducing emissions or concentrations of air pollutants from transportation sources by reducing vehicle use or changing traffic flow or congestion conditions. Notwithstanding the first sentence of this definition, vehicle technology-based, fuel-based, and maintenance-based measures which control the emissions from vehicles under fixed traffic conditions are not TCMs for the purpose of this subpart.

¹⁴ "Donut Areas" are geographic areas outside of an MPO's metropolitan planning area boundary, but inside the boundary of a nonattainment or maintenance area that contains any part of a metropolitan area. Most non-attainment and maintenance air quality conformity area boundaries coincide with an MPO's Metropolitan Planning Area (MPA), while others are larger than the MPA. That portion of a conformity area that is located outside of the MPA is called the "Donut Area".



The specific policies and procedures regarding air quality conformity is documented in the *Indiana Air Quality Conformity Interagency Consultation Group Guidance (September 2022)*.

STIP Content:

As outlined in § 450.218 (g-h), "The STIP must include capital and non-capital surface transportation projects (or phases of projects) within the boundaries of the State proposed for funding under title 23 U.S.C. and title 49 U.S.C. Chapter 53 (including transportation alternatives and associated transit improvements; Tribal Transportation Program projects, Federal Lands Transportation Program projects, and Federal Lands Access Program projects; HSIP projects; trails projects; and accessible pedestrian walkways and bicycle facilities), except the following that may be included:

- ✓ Safety projects funded under 23 U.S.C. 402 and 49 U.S.C. 31102;
- ✓ Metropolitan planning projects funded under 23 U.S.C. 104(d) and 49 U.S.C. 5305(d);
- ✓ State planning and research projects funded under 23 U.S.C. 505 and 49 U.S.C. 5305(e);
- ✓ State planning and research projects funded with Surface Transportation program funds;
- ✓ Emergency relief projects (except those involving substantial functional, locational, or capacity changes);
- ✓ Research, development, demonstration, deployment projects funded under 49 U.S.C. 5312, and technical assistance and standards development projects funded through 49 U.S.C. 5314;
- ✓ Project management oversight projects funded under 49 U.S.C. 5327; and
- ✓ State safety oversight projects funded under 49 U.S.C. 5329.

The STIP must be inclusive of all Regionally Significant projects requiring an action by the FHWA or FTA, including projects with planned Federal and non-Federal funds. As such, the STIP must include all Regionally Significant projects proposed to be funded using Federal funds other than those administered by the FHWA, as well as Regionally Significant projects funded with non-Federal funds. Projects and phases must be consistent with the long-range transportation plan required by [§ 450.216](#) and metropolitan transportation plan required by [§ 450.324](#)."

Projects or project phases should only be included in the STIP if full funding can be reasonably anticipated to be available for the project within the estimated time period to complete the project. Projects within an air quality nonattainment or maintenance areas listed in the first 2 years of the STIP should only include those where funding is available or committed.

Each project or phase is required to include the following key data within the STIP:

- 1) **Description**, e.g., type of work, location, length
- 2) Estimated **total project cost range** over the project's duration
- 3) **Amount of Federal funds proposed** to be obligated during each program year.
- 4) **Agencies responsible** for carrying out the project or phase.

Projects that are not of the scale/size to be identified individually as their own projects can be grouped by function, work type, or geographic area, based on the classifications in 23 CFR 771.117(c) and (d) and/or 40 CFR Part 93.



Note that projects in any of the first 4 years of the STIP may be selected in place of another project within the STIP based on project selections, as outlined in § 450.222.

The STIP may also include a financial plan with the financial strategies and planned resources from public and private sources that the State expects to leverage to implement the STIP. Additionally, the STIP financial plan can, but is not required, to include a list of other projects that the State may wish to implement if additional funding becomes available, although such projects must first have an action by FHWA and FTA before implementing. All cost and revenue estimates in the financial plan and project list should include an inflation rate reflecting the given year dollars are planned for expenditure. Inflation rate calculations should be based on both financial principles and coordination with the MPOs and public transportation operators.

The STIP should also include a section describing the anticipated effect of the STIP toward achieving performance targets identified by the State in its statewide transportation plan or other State performance-based plans. The STIP should discuss how the planned projects align to meet its performance targets.

Compliance with Other Applicable Federal Requirements:

When submitting the STIP to FHWA and FTA, at least every 4 years, as well as when submitting amendments to the STIP, the State must certify that its transportation planning process is adhering to applicable Federal requirements. These include the following:

- ✓ 23 U.S.C. 134 and 139, 49 U.S.C. 5303 and 5304;
- ✓ Title VI of the Civil Rights Act of 1964, as amended and 49 CFR part 21;
- ✓ 49 U.S.C. 5332, which prohibits discrimination on the basis of color, race, creed, national origin, sex, or age in employment or business opportunity;
- ✓ Section 1101(b) of the FAST Act and 49 CFR part 26 on the involvement of disadvantaged business enterprises (DBEs);
- ✓ 23 CFR part 230 on implementation of equal opportunity programs on Federal and Federal-aid highway construction contracts;
- ✓ Americans with Disabilities Act (ADA) of 1990 and 49 CFR parts 27, 37, and 38;
- ✓ Sections 174 and 176(c) and (d) of the Clean Air Act, as amended and 40 CFR part 93, for States with nonattainment and maintenance areas;
- ✓ Older Americans Act, as amended, which prohibits discrimination on the basis of age for programs receiving Federal financial assistance;
- ✓ 23 U.S.C. 324 on prohibition of discrimination based on gender; and
- ✓ Section 504 of the Rehabilitation Act of 1973 and 49 CFR part 27 prohibiting discrimination against individuals with disabilities.¹⁵

Environmental Justice

The concept of environmental justice (EJ) refers, in the broadest sense, to the goal of identifying and avoiding disproportionate adverse impacts on minority and low-income individuals and communities. Environmental justice is not only related to community impact assessment, but the transportation planning process as well.

¹⁵ § 450.220 (a)



Environmental justice extends community impact assessment by examining communities based on characteristics such as race, ethnicity, income.¹⁶

Title VI of the federal Civil Rights Act of 1964 (Title VI), the Environmental Justice Executive Order 12898, and the Justice40 Initiative of Executive Order 14008 are a few of the many non-discrimination laws and presidential orders that apply to transportation planning. Title VI and environmental justice requirements include a careful analysis of impacts and possible mitigation factors that help avoid disproportionate impacts caused by transportation projects and services, while Justice40 aims to address underinvestment in disadvantaged communities by addressing gaps in transportation infrastructure and public services by setting the goal that 40% of the overall benefits from certain federal investments flow to disadvantaged communities that are marginalized, underserved, and overburdened by pollution.¹⁷ The Public Involvement Process Executive Order 12898 directs federal agencies to identify and address disproportionately high and adverse human health or environmental effects of their actions on minority and low-income populations to the greatest extent practicable and permissible by law. The Justice40 Initiative has led to the development of various tools to help locate disadvantaged communities, which allows public agencies to determine appropriate location-based outreach strategies to ensure participation in the planning process.¹⁸

To meet requirements pertaining to the Justice40 Initiative, INDOT has mapped low-income and minority populations using the most recently available census tracts and uses the [Department of Health and Human Services Poverty Guidelines](#) to identify low-income populations. Using these available tools, this helps ensure that communities with underserved populations are properly informed on plans such as the Long-Range Transportation Plan and STIP related public involvement opportunities and actively included in the planning process.¹⁹ Interim guidance for implementing the Justice40 initiative, including definitions of disadvantaged communities, covered programs, calculating benefits, and reporting, can be found [here](#). Additionally, the U.S. Department of Transportation has put out guidance located here: [Justice40 Initiative | US Department of Transportation](#).

Executive Order 13166 issued August 11, 2000, "Improving Access to Services for Persons with Limited English Proficiency," requires federal agencies examine the services they provide, identify any need for services to those with Limited English Proficiency, and develop and implement a system to provide those services to enable accessibility. The Executive Order also requires federal agencies work to ensure recipients of federal financial assistance provide meaningful access to their Limited English Proficiency applicants and beneficiaries.

The U.S. Department of Transportation has issued [Policy Guidance Concerning Recipients' Responsibilities to Limited English Proficient \(LEP\) Persons | US Department of Transportation](#), which outlines a four-factor framework that recipients, including INDOT, should apply to the various kinds of contracts they have with the public to assess language needs and determine what reasonable steps should be taken to ensure meaningful access for persons with Limited English Proficiency.²⁰ To meet requirements of Executive Order 13166, INDOT must take reasonable steps to ensure meaningful access to services to persons that may be entitled to language assistance.

Additionally, as a recipient of federal funds, INDOT is required to conform with Title VI of the Civil Rights Act of 1964 and all related statutes, regulations, and directives, which provide that no person shall be excluded from participation in, denied benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance from the U.S. Department of Transportation on the grounds of race, color, or national origin. INDOT uses a voluntary public involvement survey 23 CFR 200.9(b)(4) to assist

¹⁶ Text from https://www.in.gov/indot/files/STIP_2020-2024_full.pdf

¹⁷ Reference: [Justice40 Initiative - Environmental Justice - The White House](#)

¹⁸ Text from *Indiana Department of Transportation Technical Planning and Programming Division, Planning Public Involvement Plan (PPIP)*, November 2022 ([INDOT PPIP 2022.pdf](#))

¹⁹ Ibid.

²⁰ Text from *Indiana Department of Transportation Technical Planning and Programming Division, Planning Public Involvement Plan (PPIP)*, November 2022 ([INDOT PPIP 2022.pdf](#))



INDOT in gathering data to ensure programs and activities comply with Title VI of the Civil Rights Act of 1964.²¹

The U. S. Department of Transportation's Departmental Order 5610.2(a) (Actions to Address Environmental Justice in Minority Populations and Low-Income Populations), which updated the Department's original Environmental Justice Order, continues to be a key component of the U.S. Department of Transportation's overall strategy to promote the principles of environmental justice in all Departmental programs, policies, and activities. Additionally, FHWA has issued Order 6640.23A, "FHWA Actions to Address Environmental Justice in Minority Populations and Low-Income Populations." Since the passage of the National Environmental Policy Act (NEPA), the FHWA has built a framework of policies and procedures to help meet its social, economic and environmental responsibilities while accomplishing its transportation mission.

INDOT includes its Environmental Justice objectives within the STIP document. The STIP includes not only the objectives but also summarizes how INDOT is identifying transportation needs and perceptions of how well transportation services are being delivered to minority and low-income groups. Further processes outlining INDOT's efforts in terms of equity and outreach to underserved populations can be found within the INDOT Technical Planning and Programming Division's *Planning Public Involvement Plan (PPIP)*. The [INDOT: Public Involvement](#) website provides further resources.

Accessibility Requirements

Title II of the Americans with Disabilities Act applies to state and local governments. For example, the ADA requires that pedestrian facilities such as sidewalks, street crossing signals, and curb ramps are built to certain standards to allow the disabled the same opportunity to benefit or enjoy governmental services and benefits as persons who are not disabled. ADA further requires state and local governments to make accessible to the maximum extent feasible, any changes to a facility in the public right-of-way that affects, or could affect, access or use of the facility, including changes to structure, grade, or use of the facility. Examples of changes include reconstruction, major rehabilitation, road-widening, functional and structural overlays. Some of the requirements under the ADA include:

- ✓ Clearly defined pedestrian pathways with adequate clear width and height
- ✓ Curb ramps with limited cross slopes and detectible (tactile) warning surfaces to indicate the boundary between pedestrians and roadway
- ✓ Accessible pedestrian signals
- ✓ Audible/vibrotactile crossing information
- ✓ Uncomplicated street crossings and easy to understand symbols
- ✓ Information both in visual and non-visual formats
- ✓ High color contrasts in pathway designs and signage
- ✓ Application of compliant ADA standards in design and construction of all new transportation facilities and infrastructure projects; during facility alterations, such as roadway surface projects; and routine operational maintenance and construction zones

INDOT maintains an inventory of the ADA assets it constructs and improves to monitor its progress in making Indiana an accessible state for all persons.

²¹ Ibid.



The current INDOT Title VI plan submitted to FHWA in September of 2022 and was approved. Provisions set forth in this plan are applicable to all elements of the INDOT. Adherence to the provisions of this plan will be evaluated on a continuous basis to ensure full and continuous compliance with Title VI of the Civil Rights Act of 1964. All recipients of federal funds, directly or indirectly as subrecipients, are required to comply with Title VI. For consultants and contactors this includes being able to demonstrate the following:

- ✓ Identifying your Title VI Coordinator and ensuring they have received training
- ✓ Having a Title VI Nondiscrimination Policy
- ✓ Ensuring all staff are regularly trained in Title VI requirements
- ✓ Having a Title VI Complaint Policy, Complaint Form and Complaint Log (regardless of whether you have received any complaints) and notifying INDOT if/when a complaint is received.
- ✓ Having a policy for how you will monitor subrecipients of federal funds if you enter into contracts where you are paying federal funds to anyone else and ensuring the assurances of nondiscrimination are part of those contracts.
- ✓ Signing the assurances of nondiscrimination
- ✓ Posting the "It's the Law" poster at your worksites
- ✓ Monitoring how you operate to ensure discrimination does not exist (i.e., keeping records that demonstrate you advertise business opportunities broadly and make attempts to improve diversity and being able to demonstrate that those entities with whom you do business are diverse enough to not appear discriminatory.)
- ✓ Certifying the above as part of the prequalification process
- ✓ Maintaining all records related to Title VI, including training materials and attendance logs, for three (3) years from the date of last action.

INDOT is required to ensure contractors and consultants who receive federal funds are in compliance with Title VI requirements.

Further resources on INDOT's Title VI and ADA requirements can be found on its website, [INDOT: Title VI / ADA Information & Resources for Consultants & Contractors](#).

MPO Requirements for Transportation Planning

Similar to statewide transportation planning, 23 CFR Part 450 Subpart C requires that metropolitan planning organizations have a continuing, cooperative, and performance-based multimodal transportation planning process, including the development of a transportation plan and TIP.²² MPOs are required to establish and use a performance-based approach to transportation decision making by establishing performance targets that address performance measures and by tracking the MPO's progress towards attaining their critical outcomes for the region. Performance targets must be integrated into the MPOs' transportation planning progress and other applicable plans, including the State's asset management plan for the NHS and Transit Asset Management Plan; HSIP; Public Transportation Agency Safety Plan; safety and security plans and programs; Congestion Mitigation and Air Quality (CMAQ) Improvement Program performance plan;

²² § 450.300 (a)



metropolitan portions of the State Freight Plan; congestion management processes; and other State transportation plans.²³

Also similar to the statewide planning process, MPOs are required to document their participation plan for public involvement and involvement from affected public agencies, representatives of public transportation employees, public ports, freight shippers, provider of freight transportation services, private providers of transportation, representatives of users of public transportation, representatives of the disabled, representatives of pedestrian walkways and bicycle pathways, etc. MPOs should consult with not only the public, but also agencies and officials responsible for other planning activities in the MPA who are affected by transportation; Indian Tribal governments, where applicable; and Federal land management agencies, where applicable, in the development of the region's TIP. These processes should be documented, including roles and responsibilities for consulting with such agencies and entities.²⁴

Requirements for Developing the TIP

Requirements for MPOs surrounding the development and content of the TIP are similar to statewide requirements for the STIP. The TIP must demonstrate how the MPO is achieving performance targets and should include a description of the anticipated effect of the TIP to achieve such performance targets. MPOs are also required to provide opportunities for public involvement in the development of the proposed TIP.

As defined in 23 CFR Part 450, Subpart 326 (e), "Content for the TIP should be inclusive of capital and non-capital surface transportation projects or phases located within the boundaries of the MPA that are being proposed for funding through 23 U.S.C. and 49 U.S.C. Chapter 53 (including transit improvement projects; Tribal Transportation Program; Federal Lands Transportation Program and Federal Lands Access Program projects; HSIP projects; trail projects; accessible pedestrian walkways; and bicycle facilities)." INDOT also requires that the following be included in the content of the TIP:

- ✓ Safety projects funded under 23 U.S.C. 402 and 49 U.S.C. 31102;
- ✓ Metropolitan planning projects funded by 23 U.S.C. 104(d) and 49 U.S.C. 5305(d);
- ✓ State planning and research projects funded under 23 U.S.C. 505 and 49 U.S.C. 5305(e);
- ✓ Metropolitan planning projects funded with Surface Transportation Program funds;
- ✓ Emergency relief projects (except those involving substantial functional, locational, or capacity changes);
- ✓ National planning and research projects funded under 49 U.S.C. 5314; and
- ✓ Project management oversight projects funded under 49 U.S.C. 5327.

The TIP includes all Regionally Significant projects that require an action by FHWA and FTA, regardless of if they are funded by 23 U.S.C. Chapters 1-2 or 49 U.S.C. Chapter 53. TIPs include both projects with planned Federal funds administered by FHWA and FTA and Regionally Significant projects with non-Federal funds.

Each project or phase listed in the TIP is required to include the following data elements:

- 1) **Description** to identify the project/phase (i.e., type of work, termini, length);

²³ § 450.306 (a-d)

²⁴ § 450.316 (a-e)



- 2) **Estimated total project cost** throughout the project lifecycle, which may extend beyond the 4 years of the TIP;
- 3) Amount of **Federal funds proposed** to be obligated each year for the project or phase (for the first year, this includes the proposed category of Federal funds and source(s) of non-Federal funds. For the second, third, or fourth years this includes the likely category or possible categories of Federal funds and sources of non-Federal funds);
- 4) **Agencies responsible** for carrying out the project or phase;
- 5) Projects identified as **TCMs** in the SIP for nonattainment and maintenance areas;
- 6) Projects specified for **air quality analysis** in nonattainment and maintenance areas, in accordance with the EPA transportation conformity regulations set forth in 40 CFR part 93, subpart A; and
- 7) Projects that will implement plans regarding paratransit and key station plans to **comply with ADA requirements**.²⁵

As with the STIP, projects can be grouped by function, work type or geographic area. If individual projects are not of the size/scale to be identified individually. Also, like the STIP, the TIP may include a financial plan, and projects should only be included if full funding can reasonably be anticipated within the designated time period to complete the project.

When developing the TIPs, each project or phase included in the TIP must be consistent with the approved metropolitan transportation plan. MPOs may include a congestion management plan that would be integrated into the TIP.²⁶

MPOs are required to develop a prioritized and financially constrained TIP, and, as such, the TIP should also include its criteria and process to prioritize elements of the transportation plan. Additionally, to help monitor progress in the transportation plan, the TIP should list projects from the previous TIP that were implemented; list any significant delays to implementing these projects; and describe the progress to implement any required TCMs for nonattainment and maintenance areas. Projects in any of the 4 years of the TIP may be advanced in lieu of other projects based on project selection, per the requirements of §450.332.

In cases that a TIP is fiscally constrained, and a revenue source is subsequently removed or substantially reduced (by legislative or administrative actions), FHWA and FTA will not withdraw the original determination of fiscal constraint; however, FHWA and FTA will also not act on an updated or amended TIP that does not reflect the changed revenue situation. Note that procedures or agreements that distribute suballocated Surface Transportation Program funds to individual jurisdictions or modes within the MPA by pre-determined percentages or formulas are inconsistent with the provisions requiring MPOs to develop a prioritized and financially constrained TIP and are not to be used unless they clearly are shown to be based on considerations required to be addressed as part of the metropolitan's transportation planning process. As with the STIP, TIP submissions and amendments to FHWA and FTA must include a certification from the State and the MPO that the MPO is adhering to applicable Federal requirements, including the following:

- ✓ 23 U.S.C. 134 and 49 U.S.C. 5303;
- ✓ Sections 174 and 176(c) and (d) of the Clean Air Act, as amended, and 40 CFR part 93 for nonattainment and maintenance areas;

²⁵ § 450.326

²⁶ § 450.322 (h)



- ✓ Title VI of the Civil Rights Act of 1964, as amended, and 49 CFR part 21;
- ✓ 49 U.S.C. 5332, which prohibits discrimination based on race, color, creed, national origin, sex, or age in employment or business opportunities;
- ✓ Section 1101(b) of the FAST Act and 49 CFR part 26 on involving DBEs in DOT funded projects;
- ✓ 23 CFR part 230 on implementing equal opportunity programs for Federal and Federal-aid highway construction contracts;
- ✓ Americans with Disabilities Act of 1990 and 49 CFR parts 27, 37, and 38;
- ✓ Older Americans Act, as amended, prohibiting discrimination on the basis of age for programs receiving Federal financial assistance;
- ✓ Section 324 of title 23 U.S.C. prohibiting discrimination based on gender; and
- ✓ Section 504 of the Rehabilitation Act of 1973 and 49 CFR part 27 prohibiting discrimination against individuals with disabilities.²⁷

Federal Approval of the STIP

Overview

FHWA and FTA have the authority for reviewing and approving the STIP on a bi-annual basis. FHWA is actively involved with INDOT throughout the development of the STIP to enable opportunities for review and comment, as well as to identify new or critical issues to be discussed, clarified, and addressed prior to public involvement. After INDOT submits the STIP, FHWA and FTA review the STIP and provide either an approval of the STIP, conditional approval, or non-approval of the STIP document. Final approval of the STIP is made jointly by the FHWA Division Administrator and FTA Regional Administration.

STIP Review/Approval Checklist

Approval of the STIP is, in entirety or in part, based upon a joint finding between FHWA and FTA on the extent to which the STIP is based on a statewide transportation planning process that meets the requirements of 23 U.S.C. 134 and 135, 49 U.S.C. 5303 and 5304, and subparts A, B, and C.

Areas used to evaluate the STIP for approval include the following:

1. Reviewing for Governor's (or official designee's) approval
2. Reviewing for whether STIP meets requirements of 23 U.S.C. 134 and 135
3. Project selection and consistency with Metropolitan Transportation Improvement Programs, Sec. 134 Metropolitan Transportation Planning
4. Reference and consistency with required planning factors, per 23 U.S.C. 135(d), Scope of Planning Process

²⁷ § 450.336 (a)



5. Compliance with 23 CFR §450.218, Development and Content of the Statewide Transportation Improvement Program and 23 CFR 450.326 for the Development and Content of the Transportation Improvement Program
6. Compliance with Inclusion of or Reference to All Projects from TIPs Without Revision
7. Air quality conformity compliance
8. Consultation with non-metropolitan local officials in development of the STIP
9. Consultation with Tribal Governments and the Secretary of the Interior in development of the STIP
10. Inclusion in the STIP of Federal Lands Highways Projects
11. Public involvement in the development of the STIP
12. Inclusion of Federal-aid Projects in the STIP, including Federal Lands Projects
13. Inclusion of Regionally Significant projects in the STIP
14. Adequate descriptions of projects in the STIP, as described in 23 CFR 450.218 (i)
15. Consistency of STIP with Statewide Transportation Plan
16. Revenues and cost estimates are in “year of expenditure dollars”
17. Inclusion of operations and maintenance estimates to maintain Federal-aid highways
18. Adherence to amendment requirements for the STIP, per 23 CFR 450.218(n)²⁸
19. Inclusion of projects or phases where funding is reasonably anticipated to be available within the timeframe
20. Changes in revenue are reflected in the STIP/updates
21. Linkage of the STIP to performance targets.

In addition to the above criteria, the STIP cannot be approved until all STIP documentation, State, and metropolitan self-certifications have been submitted to FHWA and FTA, per the federal requirements listed below:

Table 3: Required Self-Certifications for the STIP

#	Criteria
1	23 U.S.C. 134 and 135, 49 U.S.C. 5303 and 5304, and 23 CFR Part 450
2	Title VI of the Civil Rights Act of 1964 as amended (42 USC 2000d-1) and 49 CFR part 21
3	49 USC 5332, prohibiting discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunity

²⁸ Per § 450.218(n), “Any of the first 4 years of the STIP may be advanced in place of another project in the first 4 years of the STIP, subject to the project selection requirements of [§ 450.222](#). In addition, subject to FHWA/FTA approval (see [§ 450.220](#)), the State may revise the STIP at any time under procedures agreed to by the State, MPO(s), and public transportation operators consistent with the STIP development procedures established in this section, as well as the procedures for participation by interested parties (see [§ 450.210\(a\)](#)). Changes that affect fiscal constraint must take place by amendment of the STIP.”



#	Criteria
4	Section 1101(b) of the FAST Act (Public Law 114-357) and 49 CFR part 26 regarding involvement of disadvantaged business enterprises in DOT funded projects
5	23 CFR part 230 regarding implementation of equal employment opportunity program on Federal and Federal-aid highway construction contracts
6	Provisions of the Americans with Disabilities Act of 1990 (42 USC 12101 et. Seq.) and 49 CFR parts 27, 37 and 38
7	In States containing nonattainment and maintenance areas, sections 174 and 176 (c) and (d) of the Clean Air Act as amended (42 U.S.C. 7504, 7506 c and d, and 40 CFR Part 93)
8	The Older Americans Act as amended (42 USC 6101), prohibiting discrimination on the basis of age in programs or activities receiving Federal financial assistance
9	23 CFR 324 regarding prohibition of discrimination based on gender
10	Section 504 of the Rehabilitation Act of 1973 (29 USC 794) and 49 CFR part 27 regarding discrimination against individuals with disabilities



Roles and Responsibilities

Overview of Key Stakeholders

INDOT coordinates and communicates with a variety of stakeholders, both internal and external, in the development of the STIP. In addition to the various internal stakeholders who have a role in developing the STIP, INDOT is required to develop the STIP in coordination with the Metropolitan Planning Organizations (MPOs) and in consultation with the Regional Planning Organizations (RPOs) and non-metropolitan local officials. Additionally, INDOT is required to engage the public through public involvement in the development of the STIP.

Some key stakeholders involved in the STIP process include, but are not limited to, the following groups:

Table 4: Summary of STIP Key Stakeholders

Stakeholder	Description
<i>Indiana Department of Transportation (INDOT)</i>	Acts on behalf of FWHA-IN in carrying out the statewide planning process, to include the STIP. Responsible for preparing and coordinating the development of the STIP with MPOs, Tribal governments, and local governments in nonmetropolitan areas, and with participation of the public and interested parties. INDOT is also responsible for oversight of the MPOs in development and maintenance of the STIP.
<i>Metropolitan Planning Organizations (MPOs)</i>	Serve transportation planning needs in large urban areas and are responsible for developing the TIPs for their designated MPO, to be incorporated into the STIP.
<i>Regional Planning Organizations (RPOs)</i>	Responsible for economic development planning and serve transportation planning needs for INDOT's Small Urban and Rural Transportation Planning Assistance Program. RPOs are consulted during the STIP development process.
<i>Non-Metropolitan Local Governments</i>	Grouped into one of four categories based on population data from the United States Census and are consulted during the STIP development process.
<i>U.S. Federal Highway Administration (FHWA)</i>	Responsible for the review and approval of the STIP, in conjunction with FTA, for subsequent authorization and obligation of federal-aid funding for the State's transportation projects and programs.
<i>U.S. Federal Transit Administration (FTA)</i>	Responsible for the review and approval of the STIP, in conjunction with FHWA, for subsequent authorization and obligation of federal-aid funding for the State's transportation projects and programs.
<i>Interagency Consultation Group (ICG)</i>	Multi-agency group responsible for both formal and informal consultation processes to ensure metropolitan transportation plans (MTPs), TIPs, and the STIP conform to the air quality goals established by the State Implementation Plan (SIP).
<i>Public/Public Interest Groups</i>	Consulted informed, and involved in the planning process for the STIP, as public involvement and citizen engagement is a federal requirement for projects funded with FHWA and FTA dollars.
<i>Tribal Governments</i>	Consulted during the STIP development process, as involvement with tribal governments is a federal requirement for projects funded with FHWA and FTA dollars.

Further details on the roles of each stakeholder group in the above table are described in the following sub-sections.



INDOT

INDOT is responsible for maintaining and implementing Indiana's statewide transportation planning process, including development of the STIP document. Additionally, INDOT's STIP Administration Office and Central Office of Technical Planning are responsible for the oversight of the MPOs in development and maintenance of the TIP documents. Development of the STIP requires coordination and contributions across multiple departments within INDOT, including the following:

- **STIP Administration Office:** The STIP Administration Office is both responsible and accountable for developing the STIP in cooperation with the MPOs and in consultation with the RPO and Non-Metropolitan local officials. In addition to working with external stakeholders to develop the STIP, the STIP Administration Office also coordinates with other various stakeholders within INDOT for the STIP, including the Office of Technical Planning, Local Planning Agency (LPA), Finance Department, and Grants Administration Team. The STIP Administration Office coordinates all STIP amendment requests, reviews all INDOT sponsored projects (district and state), as well as each MPO's draft TIP for inclusion in the STIP. The STIP Administration Office is also responsible for reviewing the MPOs' TIPs to ensure compliance with the requirements outlined in [23 CFR 450.326](#). When reviewing the MPOs' TIPs, the STIP Administration Office is jointly responsible with the Office of Technical Planning for confirming the project elements (e.g., project listings, phases, dollar amounts) have been incorporated into the STIP correctly prior to submitting to FHWA and FTA for review and approval. The STIP Administration Office, in coordination with the Designated Transportation Planner and STIP Program Manager, also secures the official letter of approval for the STIP from the Governor / INDOT Commissioner.
- **INDOT Central Office Technical Planning Team:** The Central Office Technical Planning Team is primarily responsible and accountable for developing INDOT's long-range transportation plan, MPO UPWP development and MPO oversight. Additionally, the Central Office Technical Planning Team works to develop strategies for operating, managing, maintaining, and financing the transportation system in such a way as to advance the area's long-term goals. Examples include coordinating capital planning efforts with MPOs, overseeing work activities and programs for RPOs, facilitating required transportation related public involvement activities, coordinating with various planning partners regarding Congestion Mitigation and Air Quality (CMAQ) eligibility activities and any projects located in Greene and Jackson Counties; the Scenic Byway Program; corridor planning; the INDOT bicycle and pedestrian program; designation of US Bicycle Routes; and Homeland Security checks for parcels obtained under the flooding mitigation program. Additionally, the Central Office Technical Planning Team is jointly responsible with the STIP Administration Office for the oversight of the MPOs' TIPs and review draft TIPs against a series of checklist items to be verified, including air quality conformity. The Technical Planning Team is also responsible for developing and participating in public involvement activities for major capacity projects (e.g., added travel lanes, new road construction, new interchange, and facility upgrades).
- **INDOT Office of Local Planning Agency (LPA):** The INDOT Office of Local Planning Agency is consulted in developing the STIP. LPA is responsible for managing and the oversight of all non-INDOT Federal and State awarded projects to local governments as well as Federally funded grant programs that conduct an annual call for projects where it accepts applications for federal funds for local rural projects. The LPA Office is also responsible the annual distribution and oversight, based on the distribution formular, of MPO Federal funds for STBG, TA, Carbon Reduction, CMAQ and HSIP funding.
- **INDOT LPA/MPO Grants Administration Division:** INDOT's LPA/MPO Grants Administration Division is also consulted in developing the STIP. MPOs submit a draft of their TIPs to the Grants Administration designated MPO Coordinator, as well as to FHWA, FTA, and INDOT's LPA Office for review and comment. All STIP and TIP amendment requests are then routed through the LPA/MPO Grants Administration to the STIP Administration Office. Amendment requests to a TIP



for projects funded by the MPO are reviewed and approved or denied by the LPA/MPO Grants Administration Division designated MPO Coordinator.

- **INDOT District Offices:** INDOT District Offices are also consulted in development of the STIP. Early in the process, the draft STIP project list is generated by the STIP Administration Office and is distributed to the MPOs, who then meet with the INDOT District Office personnel to review and agree upon the draft project listing. The agreed upon project listing then goes through a final fiscal constraint test and becomes the draft project list that is delivered to the MPO by the STIP Administration Office for inclusion in the MPO TIP and draft INDOT STIP. Later in the process, after the designated MPO Coordinator reviews the draft TIP, the MPO Coordinator distributes copies to the respective District Office personnel for review of the draft document. District Offices are also responsible for various planning, local coordination, and construction activities and serve as the main liaisons for interaction with the general public and local elected officials.
- **Asset Management Teams:** INDOT's Asset Management Teams are responsible for reviewing projects submitted through the Call process; performing quality assurance of projects; ensuring all submitted projects have the correct support data and information included; and developing and adjusting scoring mechanisms to grade and rank projects from high to low Statewide ranking and prioritizing respective assets based on submitted preliminary scoping information from the call for programming. Asset Management Teams review and prioritize projects prior to the STIP development process as part of the Call process, and active projects that plan to be funded within the 5-year window are then added to the STIP.
- **INDOT Finance Division:** INDOT's Finance Division is responsible for providing the Planning Fund levels to the MPOs and coordinating with the Capital Program Management Committee in terms of setting funding targets for inclusion in the STIP. The Finance Division also coordinates with the LPA/MPO Grants Administration Division to determine funding allocations. The Finance Division issues INDOT Funding Program Reports for each MPO, Group III, and Group IV program area (Groups are described in the Local Government Groupings sub-section of this chapter). The Funding Program Reports reflect Federal-aid apportionments for MPOs and other recipients and include the current unencumbered balance. The Reports significantly contribute to the cooperative process by assuring that each area has reasonable access to their share of Federal-aid funds over the life of any given Federal Transportation Authorization bill. The Finance Division is responsible for reviewing the STIP to confirm the STIP meets fiscal constraint guidelines²⁹ and is also responsible for reviewing the MPOs' TIPs and major projects for fiscal constraint. The Finance Division also coordinates with the STIP Administration Office to ensure that, as financial plans are updated annually, these changes are reflected in the STIP and that data within funding authorization requests match the project data within the STIP.
- **INDOT Office of Communications:** INDOT's Office of Communications is also included in the development of the STIP as part of the public involvement process of the STIP and MPOs' TIPs. The Office of Communications attends public comment meetings on the STIP and is consulted during the resolution of STIP public comments.

²⁹ Per 23 CFR 450.104, "Fiscal constraint means that the metropolitan transportation plan, TIP, and STIP includes sufficient financial information for demonstrating that projects in the metropolitan transportation plan, TIP, and STIP can be implemented using committed, available, or reasonably available revenue sources, with reasonable assurance that the federally supported transportation system is being adequately operated and maintained. For the TIP and the STIP, financial constraint/fiscal constraint applies to each program year. Additionally, projects in air quality nonattainment and maintenance areas can be included in the first 2 years of the TIP and STIP only if funds are "available" or "committed."



Metropolitan Planning Organizations (MPOs)

The establishment of a Metropolitan Planning Organization (MPO) is required by federal statute (23 CFR 450.31). MPOs are required to represent localities in all urbanized areas (UZAs) with populations over 50,000. The statute requires that an MPO be used to conduct transportation planning on behalf of the urban area. The objective of the MPO is to encourage and promote the development of transportation systems, embrace multiple modes of transportation, and minimize transportation related fuel consumption and air pollution. For a list of the current MPOs within the State of Indiana, please refer to the Appendices of this document. Additionally, for a map of the MPOs and regional locations, please refer to the Appendix of this document.

Each MPO is responsible for creating and maintaining its own TIP, which are then incorporated into the STIP. The STIP must be developed *in cooperation* with the MPOs. Therefore, the STIP includes projects from all individual TIPs, which feed directly into the STIP document.

As with the STIP, the MPOs' TIPs are developed on a four-year cycle, with a fifth illustrative year. Note that the specific four-year cycles within the MPOs' TIP do not always align with the specific four-year STIP timeline (i.e., the four fiscal years included in the TIP may be different fiscal years than the four fiscal years in the STIP). In this instance, projects that are added into the TIP and STIP from the fifth illustrative year require an amendment to be included in the four-year period. The MPOs that have differing TIP timelines are KIPDA and OKI.

Note that, as a key part of the development and maintenance of the TIPs, the MPOs are responsible for ensuring that their transportation planning documents, including metropolitan transportation plans (MTPs) and TIPs, conform to the air quality goals established within their State Implementation Plans (SIPs). In terms of "Conformity", projects should not cause new air quality violations, worsen existing violations, or delay timely attainment of the National Ambient Air Quality Standards (NAAQS). Specific to air quality conformity, the MPOs are responsible for submitting requests for ICG consultation, scheduling and hosting ICG meetings, running travel demand models (TDM), updating and amending the MTP and TIP for air quality conformity, preparing conformity demonstrations for the TIP, preparing the Conformity Report for MPO nonattainment and maintenance areas, managing public review and comment periods for amendments and modifications of the TIPs, receiving Policy Board approval of amendments to the TIPs, requesting a formal consultation process with FHWA (as needed), and coordinating emissions analyses (as required). Additionally, the MPOs are required to ensure that the public is given opportunities to review and comment on the TIPs and any proposed changes. As such, the MPOs are responsible for coordinating public involvement processes in developing and maintaining the TIPs.

Oversight of the MPOs' TIPs

INDOT's STIP Administration Office and Central Office of Technical Planning are jointly responsible for overseeing the MPOs and reviewing each MPO's TIP to ensure compliance with the requirements outlined in [23 CFR 450.326](#). Additionally, INDOT Finance is responsible for reviewing the TIPs and STIP to ensure the TIPs and STIP meet fiscal constraint requirements. After reviewing the TIPs against a set of criteria, INDOT makes a recommendation to the Governor to approve the TIPs and secures Governor's approval letters. Only after securing the Governor's approval letters are the TIPs then considered eligible for incorporation into the STIP, which must occur prior to submission of the final draft STIP document to FHWA and FTA for review and approval. Note that, without inclusion in an approved TIP and STIP, an MPO or other project is not eligible for federal funding.

During the STIP development process, INDOT reviews the following key criteria within the draft TIPs prior to submitting the final draft STIP to ensure the MPOs' compliance:



Table 5: INDOT's Review Checklist for TIPs

#	TIP Review Criteria	Responsible Party for Reviewing
1	Is the TIP a subset of the MPO's Metropolitan Transportation Plan (MTP)?	INDOT Office of Technical Planning
2	Do the INDOT projects listed in the TIP match the INDOT draft STIP listing?	INDOT Office of Technical Planning, INDOT STIP Administration Office
3	Do projects listed in the TIP show the total estimated cost?	INDOT Office of Technical Planning
4	Does the TIP adequately demonstrate fiscal constraint?	INDOT Finance Division, INDOT Office of Local Planning Agency
5	Is the MPO subject to air quality conformity?	INDOT Office of Technical Planning
6	Has the MPO completed the Conformity Determination Process and received a Conformity Determination Letter from FHWA/FTA?	INDOT Office of Technical Planning
7	Does the TIP provide a description of its effective impact towards meeting Performance Targets?	INDOT Office of Technical Planning
8	Does the MPO have a Policy Board Approval Resolution or minutes that document the MPO's Policy Board action of the TIP approval?	INDOT Office of Technical Planning
9	Has the MPO completed its MPO Transportation Planning Process Self Certifications?	INDOT Office of Technical Planning
10	Is total project cost provided?	INDOT Office of Technical Planning, INDOT Finance Division

In addition to reviewing the TIPs for compliance during the development of the STIP, INDOT is responsible for the oversight of the MPOs when changes are made to the TIPs and STIP through amendments and administrative modifications (i.e., modifications). INDOT reviews the TIPs for the following key criteria prior to submitting STIP amendments or modifications to FHWA and FTA for review and approval:

Table 6: INDOT's Review Checklist for TIP Amendments/Modifications

#	TIP Review Criteria	Responsible Party for Reviewing
1	Review proposed change for air quality conformity	INDOT Office of Technical Planning
2	Confirm regionally significant projects that are added to the TIP are also reflected in the metropolitan transportation plan	INDOT Office of Technical Planning
3	Review proposed change to ensure the change is within the fiscal constraint guidelines	INDOT STIP Administration Office
4	Confirm the proposed changes are properly listed for their Des #, project phase, and dollar amount	INDOT STIP Administration Office



Regional Planning Organizations (RPOs)

Regional Planning Organizations (RPOs) serve the transportation planning needs for small urban and rural areas and perform eligible planning activities that support local communities. RPOs also provide support to INDOT planning teams in several key areas, including public outreach, technical assistance to local officials, and transportation-related data collection.

RPOs conduct economic development planning through grants from the Economic Development Administration and the Indiana Office of Community and Rural Affairs and transportation planning as part of INDOT's Small Urban and Rural Transportation Planning Assistance Program. MPOs may have some of the same responsibilities as RPOs in some small areas, however RPOs and MPOs have different legislative authorities and requirements. Although the RPOs do not develop TIPs, INDOT is required to develop the STIP *in consultation* with RPO officials and representatives, as well as non-Metropolitan local officials.

For a detailed list of member regions and further information, please refer to the Indiana Association of Regional Councils' [website](#). Additionally, for a list of the current RPOs within the State of Indiana and a map of the RPO planning areas, please refer to the Appendix of this document.

LPAs/MPOs

Local units of government are grouped into one of following categories based on data from the United States Census. INDOT collaborates with local government groupings as part of the STIP development process.

Groups are categorized as follows:

Table 7: Local Government Groups

Category	Threshold
Group I (urbanized) Cities	Population at or greater than 200,000
Group II (urbanized) Cities	Population at or greater than 50,000, but less than 200,000
Group III (urbanized) Cities and Towns	Population over 5,000 but fewer than 50,000
Group IV (rural) Towns	Population less than 5,000
Group IV (rural) County	Any county regardless of population size ³⁰

Through the Federal-Aid Highway Program (FAHP), administered by FHWA, INDOT provides support to LPAs by sharing a portion of the federal funds apportioned to INDOT under Congressional Highway Authorization Bills each fiscal year. These federal funds are suballocated through MPOs to cities, towns, and counties within the state's larger urbanized areas (Groups I-II). For smaller and rural communities with a population less than 50,000, INDOT distributes federal funds directly to the LPA.³¹

Groups I and II receive an annual budget of Surface Transportation Block Grant Program (STBG) funds through their MPOs. Projects are selected for federal aid by the MPOs through their own established process, and INDOT does not select, nor approve, these projects. Projects are included by reference into the STIP, so that, if a project is locally sponsored in a metropolitan planning area and if the MPO awards their dedicated

³⁰ This may be subject to change.

³¹ Source: [A Local Public Agency Guide to INDOT, January 2021](#)



federal dollars, they are listed in the individual TIP's project listing, and, as such, the public and FHWA must refer to the MPO's respective TIP document for more project-level information.

Groups III and IV also have an annual budget, but it is not allocated to any particular unit of local government. For these areas, INDOT has an established application and review process. INDOT reviews and approves these projects for federal aid. Counties, cities, and towns in these groups may apply to INDOT for funding on a project-by-project basis if, and only if, applications are being accepted. Projects are listed in both the TIP and STIP project listings as their monies are overseen by the INDOT Local Planning Agency (LPA) Office.

Indiana's programs associated with local government groupings are listed in the below table, to include the program locations, whether the source of federal funds is from the MPO or INDOT, and whether the selection of projects is primarily the responsibility of the MPO or INDOT. Boundaries for local government groupings are established by the Governor and the individual MPOs within the State, in accordance with federal metropolitan planning regulations. For more details on INDOT's available funding sources for projects within the STIP, please refer to the appendix of this document.³²

Table 8: Local Government Groupings

Program	Program Location		Source of Federal Funding		Primary Project Selection Decision-Maker		Program Eligibility
	Inside MPO UA	Outside MPO UA ³³	MPO	INDOT	MPO	INDOT	
STBG Group I	✓		✓		✓		Program applies to all UA with population at or greater than 200,000
STBG Group II	✓		✓				Program applies to all UAs from 50,001 to 199,999
STBG Rural III ³⁴		✓		✓	✓	✓	Program applies to cities/towns with populations 5,001 to 49,999
STBG Group IV		✓	✓	✓	✓	✓	Program applies to all counties and cities/towns with populations under 5,000
Transportation Alternatives (TA) ³⁵	✓		✓		✓		Project selection requires validation by FHWA
		✓		✓		✓	

³² Note that specific funding programs available for the STIP may be subject to change based on the latest transportation legislation.

³³ An MPO may choose to fund a project under this program that is outside their urban area (UA) but within the Metropolitan Planning Area (MPA). If the MPO makes this decision, it will also make the project selection decision.

³⁵ TA, HSIP, and CMAQ are specific federal funding requirements that Local projects may qualify for and are vetted through those sections for INDOT Local, Safety, or Planning. Specific criteria are required for each of the three funding sources.

³⁵ TA, HSIP, and CMAQ are specific federal funding requirements that Local projects may qualify for and are vetted through those sections for INDOT Local, Safety, or Planning. Specific criteria are required for each of the three funding sources.



Highway Safety improvement Program (HSIP)	✓		✓		✓		Project selection requires validation by the State Highway Committee
		✓		✓		✓	
Congestion Mitigation and Air Quality (CMAQ)	✓		✓		✓		Project selection requires validation/eligibility determination by INDOT and FHWA
		✓		✓		✓	

Federal Highway Administration (FHWA) and Federal Transit Administration (FTA)

For the purposes of the STIP program, the role of FHWA and FTA is to review and approve the STIP for subsequent authorization and obligation of federal-aid funding for the State's transportation projects and programs. FHWA and FTA review the STIP to ensure:

- ✓ Proper coordination between the State and FHWA and FTA;
- ✓ Demonstration of adequate public involvement;
- ✓ Compliance with Clean Air Act requirements (including Interagency Consultation Group (ICG) consultation); and
- ✓ Adherence to the statewide and metropolitan planning requirements outlined in 23 USC 134 and 135.
- ✓ Monitoring and compliance and auditing of projects for federal and other applicable requirements.

FHWA and FTA actively coordinate with INDOT throughout the STIP development process to help facilitate opportunities for review and comment on the STIP document before an initial draft is prepared. Upon review of the final version of the STIP document, FHWA and FTA deliberate on whether to approve the STIP or whether revisions are required. Once FTA and FHWA concur with the document meets federal requirements, a letter of approval is prepared and signed by FHWA and FTA.

Specific to air quality conformity, FHWA is responsible for coordinating the federal review process for conformity determinations, which includes facilitating consultations, monitoring the MPOs' conformity process schedule, assisting other ICG parties in follow-up, reviewing and responding to conformity consultation within the allotted time, and issuing the U.S. Department of Transportation's conformity determination letter. FTA, as another member of the ICG, also reviews and responds to the informal and formal consultation process within the allotted time.

Public/Public Interest Groups

Public involvement and citizen engagement in the planning and development process for the STIP occur at various levels, as each MPO/RPO solicits public involvement on their respective projects per each MPO Public Participation Plan. INDOT also has a publicly advertised open public comment period for the STIP and holds public meetings at each INDOT District to meet with citizens across the state to discuss transportation issues, programmed projects, and provide time for public involvement in the development of their transportation programs.



INDOT has a 45-day STIP public comment period in which public comments may be submitted by mail, email, via [public comment form](#), or the [INDOT4U link](#). Comments and responses are documented and coordinated through the agency's Communications Division, and INDOT reviews public comments, responds to comments, and incorporates them into the STIP. The Public is invited to attend MPO policy and technical committee meetings in which INDOT Planners, Engineers, and Project Managers meet with MPO Board Members and Technical Advisory Members to discuss project concepts and answer questions from local and regional officials. Depending on the MPO, these opportunities may occur every 2-4 months. The Public is also involved in INDOT's Annual Call for Projects during the STIP development process. INDOT's public involvement process for Regionally Significant projects located in isolated rural air quality non-attainment or maintenance areas is to provide a two-week, 14-day opportunity for the public to review and submit comments on the report. The comment period is, at minimum, advertised on the INDOT website, via social media, and through strategies targeted to the local area of the project, including any underserved populations affected by the project. Draft STIP amendments are posted to the INDOT STIP Public Comment Webpage for a minimum period of 7-days. Draft amendments are posted monthly, typically during the third week of each month. Announcements are also posted onto the website public involvement calendar. For more details on the role of the public/public interest groups, please refer to the Planning Public Involvement Plan (PPIP).

Tribal Governments

Similar to the public involvement process, tribal and local governmental consultation occurs at various levels in the planning and development process for the STIP, as each MPO/RPO consults applicable tribal and local governments their respective projects per each MPO Public Participation Plan. The following resources include further details related to consulting with Federally recognized Indian tribes during public involvement initiatives and activities:

- **Executive Order 13175**, [00-29003.pdf \(govinfo.gov\)](#): Consultation and coordination with Indian Tribal Governments requires federal departments and agencies to consult with tribal governments when considering policies that would impact tribal communities.
- **USDOT's Tribal Consultation Plan**, [Tribal Consultation - Final \(transportation.gov\)](#): The USDOT seeks to foster and facilitate positive government-to-government relations between the Department and all federally recognized Indian tribes. The purpose of the Tribal Consultation Plan is to develop, improve, and maintain partnerships with Indian tribes by using agreed upon processes when the Department develops, changes, or implements policies, programs, or services with tribal implications.

For more details on tribal consultation, please refer to [PROMISING PRACTICES FOR MEANINGFUL PUBLIC INVOLVEMENT IN TRANSPORTATION DECISION-MAKING](#).

Interagency Consultation Group (ICG)

The ICG is a multi-agency group established to meet the conformity rule requirement that local transportation and air quality agencies establish formal procedures to ensure interagency coordination on critical issues. As further detailed in the *Indiana Air Quality Conformity Interagency Consultation Group Guidance*, ICG consultation is a forum for discussing key assumptions used in conformity analyses, strategies to reduce mobile source emissions, specific impacts of major projects, issues associated with travel demand and emissions modeling, and the development of motor vehicle emissions budgets (MVEBs). Processes to follow each area must be adopted as part of the SIP by the State air quality agency and must be used to develop metropolitan transportation plans (MTPs), TIPs, and the State Implementation Plan (SIP).

The ICG includes representation from across numerous agencies, including INDOT, FHWA, FTA, U.S. Environmental Protection Agency (EPA), Indiana Department of Environmental Management (IDEM), MPOs, and local air quality agencies. FHWA is responsible for coordinating the federal review process for conformity determinations and ultimately issuing a conformity determination letter, when required.



Collectively, the members of the ICG are responsible for reviewing and responding to informal consultation requests and formal consultation in all Indiana conformity areas within the allotted time.

In addition to participating in the ICG review and approval process, EPA and IDEM monitor air quality and identify areas that violate a standard. Specifically, the EPA is responsible for promulgating conformity regulations, approving the MPOs' SIP and MVEBs, and providing technical assistance and guidance on conformity. IDEM is responsible for developing in consultation with other ICG parties, creating and developing the SIPs in consultation with all other ICG parties, and developing the SIP emissions factors. Local air quality agencies provide technical guidance and advise, when needed may develop emissions factors using the appropriate emissions model.

INDOT's Responsibilities for the STIP Development

INDOT is responsible for reviewing the TIPs during the STIP development process as well as proposed changes in the form of amendments and modifications to ensure the TIPs meet the regulatory requirements outlined in 23 CFR 450.326, *Development and Content of the Transportation Improvement Program*. INDOT is accountable for ensuring the TIPs are in compliance with the regulatory requirements prior to submitting the STIP to FHWA/FTA for review. The following section summarizes INDOT's responsibilities related to the STIP development and amendments and modification processes for each of INDOT's internal stakeholders.

Table 9: INDOT STIP Development Responsibilities (Every 2-Years)

#	Activity	STIP Admin. Office	Office of Technical Planning	INDOT LPA Office	INDOT Grants	INDOT Finance	Asset Mgt. Teams	INDOT District Offices
1	✓ Provide MPOs with draft list of projects to include in MPO TIP cycles	R, A	C	C	I	I	C	I
2	✓ Provide revenue projections for STIP	C	C	C	C	R, A	C	C
3	✓ Conduct fiscal constraint analysis on the projects and generate draft STIP listing for fiscal constraints	R, A	C	C	C	R	C	C
4	✓ Provide traffic count information, HMPS VMT, and other data to the MPOs for air quality conformity.	I	R, A	I	I	I	I	I
5	✓ Submit all non-exempt and exempt projects to MPOs for inclusion in modeling and conformity demonstration.	I	R, A	I	I	I	I	I
6	✓ Review draft STIP project list period with MPOs, RPOs, and Districts	R, A	C	C	I	I	C	C
7	✓ Coordinate with MPOs over adding draft project lists to MPOs' TIPs	R, A	C	I	I	I	I	C,I
8	✓ Work with MPOs, RPOs, Districts, & Asset	R, A	C	C	I	I	C	C



#	Activity	STIP Admin. Office	Office of Technical Planning	INDOT LPA Office	INDOT Grants	INDOT Finance	Asset Mgt. Teams	INDOT District Offices
	Management Teams to finalize list of STIP projects							
9	✓ Send informal ICG conformity submittal to ICG for projects in isolated rural areas	I	R, A	I	I	I	I	I
10	✓ Review and respond to informal and formal consultation processes for air quality conformity within MPO TIPs, as a member of the ICG	I	R, A	I	I	I	I	I
11	✓ Submit initial draft STIP to FHWA for early review	R, A	I	I	I	I	I	I
12	✓ Attend STIP public comment meetings according to INDOT Public Involvement Plan (30-day public comment period)	R	R, A	R	I	I	I	I
13	✓ Request FHWA to initiate a formal conformity consultation for projects in isolated rural areas	I	R, A	I	I	I	I	I
14	✓ Review STIP for air quality conformity prior to submission of the Final Draft to FHWA	I	R, A	I	I	I	I	I
15	✓ Receive MPO TIPs. TIPs are reviewed by INDOT STIP Administration Office, Office of Technical Planning according to the criteria within the review checklist. ³⁶	R, A	R ³⁷	I	I	R	I	I
16	✓ Forward MPOs' TIPs to FHWA and FTA for draft review.	R, A						
17	✓ Compile/send back comments from FHWA/FTA for the MPOs to address	R, A						
18	✓ After all comments have been addressed by the MPOs, issue	R	R, A	I	I	I	I	I

³⁶ The TIPs are reviewed to confirm the TIP is a subset of the MPO's TMP, projects in the TIP match the STIP project listing, Projects in the TIP show the total estimated cost, whether the TIP demonstrates fiscal constraint, whether a conformity determination letter has been obtained for air quality conformity, whether the TIP provides a description of impacts towards performance targets, whether Policy Board Approval has been achieved, whether the MPO has completed the required self-certifications, and whether the total project cost was provided.

³⁷ This is a cooperative effort between the STIP Admin Office and Office of Technical Planning, and both have responsibility.



#	Activity	STIP Admin. Office	Office of Technical Planning	INDOT LPA Office	INDOT Grants	INDOT Finance	Asset Mgt. Teams	INDOT District Offices
	recommendation that MPOs' TIPs be approved							
19	✓ Secure approval letters from the Governor's Office	R, A	C	I	I	I	I	I
20	✓ Submit Final Draft of the STIP to FHWA/FTA for review and approval	R, A	C	I	I	I	I	I
21	✓ Executive approval of Final Draft STIP document	R, A	I	I	I	I	I	I
22	✓ Approved STIP Document amended bi-monthly	R, A	C	C	I	I	C	C

For general STIP amendments, INDOT is responsible for the following activities. All INDOT requests for MPO TIP and STIP amendments for state and local projects will be processed through the STIP Administration Office.

Table 10: INDOT's Responsibilities for Amendments to the STIP

#	Activity	STIP Admin. Office	Office of Technical Planning	INDOT LPA Office	INDOT Grants	INDOT Finance	Asset Mgt. Teams	INDOT District Offices
1	✓ Review and confirm project priorities against asset needs and add new project priorities, where appropriate	C	C	C	I	C	R, A	C
2	✓ INDOT's MPO Coordinator notifies the appropriate MPO and requests an amendment to their TIP, if needed, and notifies the STIP Admin. Office of the proposed amendment.	C	R, A	R			C	C
3	✓ Coordinate with Program Managers after they initiate the Amendment / Modification request and begin respective process	R, A	I	I	I	I	I	C
4	✓ Update SPMS project(s) with a note indicating an amendment is pending.	R, A	C	C			I	I
5	✓ Complete Amendment / Modification Request Form for all INDOT sponsored projects (District or State) and forward to the MPO with a copy to the Technical Planning Liaison and District Funds Manager	R, A	I	I		I		I
6	✓ INDOT STIP Admin. Office is notified of the MPO's approval of the proposed amendment and requests	R, C	R, A	R			I	I



#	Activity	STIP Admin. Office	Office of Technical Planning	INDOT LPA Office	INDOT Grants	INDOT Finance	Asset Mgt. Teams	INDOT District Offices
	any needed documentation from the MPO for an amendment to the STIP.							
7	✓ Conduct initial review of the amendment request to confirm that the proposed change is correctly identified as a modification and/or amendment, and coordinate with the MPOs if any changes are needed.	R, A	C					
8	✓ Send informal ICG conformity submittal to ICG for amendments related to projects in isolated rural areas	I	R, A	I				I
9	✓ Review and respond to informal and formal consultation processes for air quality conformity within MPO TIPs, as a member of the ICG	I	R, A	I				I
10	✓ Review STIP amendment request for air quality conformity prior to submission to FHWA	I	R, A					
11	✓ Review amendment request to confirm that any Regionally Significant projects added to the TIP are reflected in the Metropolitan Transportation Plan (MTP)	I	R, A					
12	✓ Review amendment request to confirm that proposed change meets fiscal constraint guidelines.	R, A	C			C		
13	✓ Conduct overall quality control review of the STIP Amendment request to confirm accuracy of data elements (e.g., Des #, project listing, project phase, dollar amount)	R, A	C	C		C		C
14	✓ Post proposed amendment for public comment period prior to submitting to FHWA.	R	R, A	I	I	I	I	I
15	✓ Confirm STIP Amendment request is ready to submit to FHWA.	R, A		I	I			
16	✓ Submit STIP Amendment request to FHWA.	R, A	I	I	I	I	I	I
17	✓ After FHWA approval has been received, send approval letter and copy of approved amendment to all names on the STIP Amendment Distribution List	R, A	I	I	I	I	I	I



#	Activity	STIP Admin. Office	Office of Technical Planning	INDOT LPA Office	INDOT Grants	INDOT Finance	Asset Mgt. Teams	INDOT District Offices
18	✓ Update SPMS log notes with latest TIP and STIP amendment information	R, A	I	I	I	I	I	I

For general STIP modifications, INDOT is responsible for the following. All INDOT requests for MPO TIP / STIP amendments for state and local projects will be processed through the STIP Program Manager.

Table 11: INDOT's Responsibilities for Modifications to the STIP

#	Activity	STIP Admin. Office	Office of Technical Planning	INDOT LPA Office	INDOT Grants	INDOT Finance	Asset Mgt. Teams	INDOT District Offices
1	✓ For State Projects, ³⁸ complete the Modification Request form and forward to the MPO for review and processing, as well as the Program Manager and Technical Planner.	R, A	I	I				
2	✓ Review Amendment / Modification Request Form and conduct review of the modification request to confirm the proposed change was correctly categorized as a modification. Follow-up with the MPOs if changes are needed.	R, A	I					
3	✓ Review proposed changes to ensure they are within the fiscal constraint guidelines	R, A				C		
4	✓ Conduct overall quality control review of the request to confirm accuracy of data elements (e.g., Des #, project listing, project phase, dollar amount)	R, A	C			C		
5	✓ Process modification by incorporating modification into the STIP.	R, A	I					
6	✓ Send email to all parties on the STIP Distribution list notifying that modification has been processed.	R, A	I	I	I	I	I	I
7	✓ Update SMPS log notes with the latest modification information	R, A	I					

³⁸ Note that, for Local Projects, the MPO will modify the TIP per its respective policies and procedures.



External Stakeholders' Responsibilities for the STIP Development

The following section summarizes responsibilities of external stakeholders related to the STIP development and amendments and modification processes.

MPO Responsibilities

Each MPO is assigned an **INDOT Planning Liaison** to serve as the initial point of contact for the MPO. The Liaison serves as a resource to the MPO and facilitates coordination and communication between the MPO and the different areas of INDOT, including the District Offices.

The MPOs are each required to develop the TIP for inclusion in the STIP. The STIP is developed by INDOT in coordination with INDOT's STIP Program Manager, STIP Coordinator, and Technical Planning Section, as well as support from the Districts, Planning Liaisons, etc. The TIP, and all approved amendments and modifications are included by reference in the STIP.

Requirements for TIPs are listed in 23 CFR 450.326, *Development and Content of the Transportation Improvement Program*. The MPOs are responsible for developing a TIP within the metropolitan planning area that reflects the investment priorities established in the current metropolitan transportation plan for a 4-year period. The TIPs must be updated at least every four years and approved by the MPO and Governor. In nonattainment or maintenance areas subject to transportation conformity requirements, a conformity determination letter must be obtained by FHWA and FTA for the TIP or any updated or amendment TIP.

MPOs are responsible for managing the public involvement process in the development and maintenance of the TIPs and are required to provide the public with reasonable opportunity to comment on the proposed TIP. For non-attainment areas, the MPO must provide at least one formal public meeting during the TIP development process. The TIP must also be published or made available for public review. As part of its oversight role of the MPOs, INDOT is responsible for ensuring that the MPOs adhere to the public involvement process.

As per 23 CFR 450.326, the TIP should be developed to meet performance targets established under 450.306(d), and the TIP should include a description of the anticipated effect of the TIP towards achieving performance targets identified in the metropolitan transportation plan. TIPs must include capital and non-capital surface transportation projects (or phases) within the boundaries of the area proposed for funding under 23 U.S.C. and 49 U.S.C. Chapter 53, as well as safety projects funded under 23 U.S.C. 402 and 49 U.S.C. 31102; metropolitan planning projects under 23 U.S.C. 104(d) and 49 U.S.C. 5305(d); state planning and research projects under 23 U.S.C. 505 and 49 U.S.C. 5305(e); projects funded with the Surface Transportation Program funds; emergency relief projects; national planning and research projects under 49 U.S.C. 5314; and project management oversight projects under 49 U.S.C. 5327. The TIP must also include all regionally significant projects requiring an action by FHWA or FTA.

MPOs are required to include the following within the TIPs for each project or phase: sufficient descriptive material (work type, termini, length) to identify the project or phase; estimated total cost of the project; amount of Federal funds proposed to be obligated during each program year for the project or phase (for the first year, this includes the proposed category of Federal funds and source(s) of non-Federal funds. For the second, third, and fourth years, this includes the likely category or possible categories of Federal funds and non-Federal funds); agencies responsible for carrying out the project or phase. In non-attainment and maintenance areas, the TIP must identify projects as TCMs in the applicable SIP and projects should be specified in sufficient detail (design content and scope) for air quality analysis. In areas with the ADA required paratransit and key station plans, projects must be identified that will implement these plans. The MPOs may group projects by function, work type, or geographic area if projects are not considered of appropriate scale for individual identification in a given program year. The MPO is responsible for ensuring that each project or phase in the TIP is consistent with the approved metropolitan transportation plan.



Additionally, the MPOs must include within the TIP a financial plan to demonstrate how the approved TIP can be implemented, resources expected to be available to implement the TIP, and any financing strategies for projects and programs. Only projects or phases that are reasonably anticipated to be fully funded within the time period contemplated for completion of the project are included in the TIP; for nonattainment or maintenance areas, projects included in the first 2 years of the TIP are limited to those where funds are available or committed. The MPOs are responsible for demonstrating financial constraint by year within the TIP.

Further, as a management tool, the MPOs must include within the TIP the criteria and process to prioritize transportation plan elements for inclusion in the TIP and any changes in priorities from previous years; major projects from the previous TIP that were implemented and any significant delays in the planned implementation of major projects; and, for nonattainment and maintenance areas, progress towards implementing required TCMs.

For more details on the MPOs' requirements for the TIPs and its content, please refer to [23 CFR 450.326](#).

FHWA and FTA Responsibilities

The **FHWA Division** and **FTA Regional Office** are responsible for coordinating the federal approval of the STIP document. Once the review of the STIP is complete, the Planning Program Manager prepares recommendations to the **FHWA Division Administrator** and **FTA Regional Administrator** for approval, conditional approval, or non-approval on the STIP document. FTA and FHWA make a joint decision on the approval of the STIP and, once FTA and FHWA concur that the STIP meets federal requirements, issue an approval letter to INDOT.

RACI Matrix of External Responsibilities

Key activities related to the TIP/STIP development that involve FHWA, FTA, and the MPOs include the following. For each activity, the table lists whether stakeholders are responsible (R), accountable (A), consulted (C) or informed (I).

Table 12: TIP/STIP Responsibilities for External Stakeholders

#	Activity	MPOs	STIP Admin. Office	Office Tech. Planning	INDOT Finance	Asset Mgt. Teams	INDOT District Offices	FWHA & FTA	Public	RPOs	Tribal Gov'ts	ICG
1	✓ Meet with INDOT STIP Admin. Office to review the STIP development schedule and establish recurring coordination meetings	C	R, A					C		C	C	
2	✓ INDOT Finance communicate funding targets for STIP to MPOs and RPOs	I	I	I	R, A		I	I		I		
3	✓ INDOT Office of Technical Planning evaluates INDOT's plans for public involvement in the STIP development and effectiveness engaging the public and provide comments back to INDOT	I	I	R, A								



#	Activity	MPOs	STIP Admin. Office	Office Tech. Planning	INDOT Finance	Asset Mgt. Teams	INDOT District Offices	FWHA & FTA	Public	RPOs	Tribal Gov'ts	ICG
4	✓ STIP development process and timeline is published on the INDOT website; STIP template is created; and preparations are made to create initial active project reports for MPO circulation.	C, I	R, A					I	I	C, I	I	
5	✓ INDOT STIP Coordinator provides draft project listings to MPOs, to include fiscally constrained list of State projects.	I	R, A	I			I			I		
6	✓ Review draft MPO project lists and non-MPO lists with INDOT District and Program Manager and INDOT Asset Management personnel to ensure project listing consistency with TIP / STIP.	R, C	R, A			C	C			I		
7	✓ INDOT reviews current programs and projects and evaluate how well the most current schedules meet agency performance targets and how new projects address critical areas.	C				R, A						
8	✓ MPOs (or INDOT) submits informal consultation request to the ICG for air quality conformity for TIP and STIP projects	R, A	R ³⁹					I				I
9	✓ Conduct informal consultation review of projects for air quality conformity	C	C	C				C				R, A
10	✓ Conduct public involvement process for TIPs and address feedback received.	R, A	I				I	I	C	I	I	I
11	✓ Generate draft TIPs and submit to INDOT Technical Planning and Programming Division STIP Specialist, and INDOT designated Transportation Planner.	R, A	I	I			I					
12	✓ INDOT Designated Transportation Planner distributes first draft of STIP and TIP documents and coordinates with FHWA/FTA, INDOT (Transit, Finance, District Office, Project Management, others, as applicable) for an initial review.	I	C	R, A	C		C	C				

³⁹ Responsible for rural, isolated areas.



#	Activity	MPOs	STIP Admin. Office	Office Tech. Planning	INDOT Finance	Asset Mgt. Teams	INDOT District Offices	FWHA & FTA	Public	RPOs	Tribal Gov'ts	ICG
13	✓ INDOT reviews first draft STIP and TIP documents for overall requirements: INDOT Finance reviews the TIP for fiscal constraint, INDOT Office of Technical Planning reviews the TIP for air quality conformity, and INDOT STIP Administrative Office reviews the TIP for project elements.	I	R, A	R	R			I		I	I	I
14	✓ FHWA/FTA review first draft STIP and TIP documents for how well the draft meets overall planning requirements and provide initial comments back to INDOT STIP Admin. Office and Office of Technical Planning.	I	I	I				R, A				
15	✓ INDOT Planning Liaison collates comments, recommendations, feedback, etc. on TIPs and coordinates with FHWA and FTA over inputs to the TIP and provides feedback to MPOs.	C		R, A				C				
16	✓ MPOs incorporate feedback from INDOT, FHWA, and FTA into updated draft TIPs, as needed.	R, A	C					C				
17	✓ INDOT's Office of Technical Planning and STIP Admin Office evaluates Draft STIP for air quality conformity and provide comments back to INDOT and MPOs, as necessary.	R	R	R, A				C				C
18	✓ Conduct draft STIP Public Involvement District meetings, post Draft STIP to INDOT website, and conduct follow-up on public involvement meetings.	C	R	R, A	I	C	R		C	C	C	
19	✓ Public comments are received, reviewed, and responses are drafted by INDOT and summarized in the STIP.	R	R, A					I	C	C	C	
20	✓ Coordinate with INDOT STIP Program Manager and Planning Liaisons to ensure final list of STIP projects match final MPO TIP documents and make final corrections to TIPs based on feedback and/or public comments.	R	R, A	R								
21	✓ Secure MPO Policy Board adoption and approval of TIPs.	R, A	R, I					I				



#	Activity	MPOs	STIP Admin. Office	Office Tech. Planning	INDOT Finance	Asset Mgt. Teams	INDOT District Offices	FWHA & FTA	Public	RPOs	Tribal Gov'ts	ICG
22	✓ Request formal consultation process from the ICG for air quality conformity after Policy Board approval.	R, A	R, I					I				I
23	✓ Conduct formal ICG review process of projects within the TIPs and STIP	C	C					A				R
24	✓ INDOT conducts final review of STIP and TIP documents for overall requirements: INDOT Finance reviews the TIP for fiscal constraint, INDOT Office of Technical Planning reviews the TIP for air quality conformity, and INDOT STIP Administrative Office reviews the TIP for project elements.	C	R, A	R	R	C	C					
25	✓ After conducting a review of the draft STIP and TIP documents, INDOT makes a recommendation to secure Governor's approval letters for the TIPs.		R	R, A	C	C	C					
26	✓ Approval letter for the TIP processed by INDOT Designated Transportation Planner in coordination with the Technical Planning and Programming STIP Program Manager.	I	C	R, A								
27	✓ Governor letters are signed approval of MPO TIPs.	I	R, A									
28	✓ Submit Final Adopted TIPs to INDOT for incorporation into the Final Draft STIP document by reference.	R	A									
29	✓ STIP Admin. Office conducts final quality control review of the Final Draft STIP document.	C	R, A					C		C		
30	✓ INDOT STIP Admin. Office submits Final Draft STIP documents to FHWA/FTA for final review and approval.	I	R, A					I				
31	✓ Evaluate the Final STIP Document and prepare FHWA/FTA joint finding on extent to which the STIP is based on statewide transportation planning process, per 23 U.S.C. 134 and 135, 49 U.S.C. 5303 and 5304, and subparts A, B, and C.	I	C					R, A				



#	Activity	MPOs	STIP Admin. Office	Office Tech. Planning	INDOT Finance	Asset Mgt. Teams	INDOT District Offices	FWHA & FTA	Public	RPOs	Tribal Gov'ts	ICG
32	✓ Submit comments back to INDOT for revision, as needed, based on FHWA/FTA's joint finding.	I	I					R, A				
33	✓ Prepare decision letter for the STIP, to be signed by the FHWA Division Administrator and FTA Regional Administrator.	I	I					R, A				
34	✓ STIP Admin. Office posts final version of the STIP and letter of approval on INDOT's public-facing website.	I	R, A					I	I	I	I	

For amendments, all INDOT requests for MPO TIP/STIP amendments will be processed through the INDOT STIP Program Manager, in coordination with the INDOT Capital Program Management, Technical Planning Liaison, and Districts. The following are key activities for which external stakeholders are responsible in the general amendments process of the STIP/TIP:

Table 13: External Responsibilities for Amendments to the TIP/STIP

#	Activity	MPOs	INDOT	FHWA / FTA	Public	RPOs	Tribal Gov'ts	ICG
1	✓ INDOT to forward the Amendment/Modification Request Form to the MPO, Technical Planning Liaison, and District Funds Manager.	I	R, A					
2	✓ Add amendment request to the upcoming agenda for the MPO's Policy Board review, per the MPO's specific policies and procedures.	R, A	I	I		C		
3	✓ Submit informal consultation request to the ICG for air quality conformity	R, A	R ⁴⁰	I				I
4	✓ Conduct informal consultation review for air quality conformity	C	C	C				R, A
5	✓ Public comment period for amendments based on MPO's specific policies and procedures	R	I	I	C	C	C	
6	✓ Respond to public comments based on MPO's specific policies and procedures	R, A	I	I	C	C	C	
7	✓ Present at the MPO's Policy Board and receive approval, per the MPO's specific policies and procedures	R, A	I					
8	✓ Update conformity report with ICG consultation summary, public involvement comments received, resolution of public comments, and Policy Board approval document	R, A	I	I	I			I

⁴⁰ Responsible for rural, isolated areas.



#	Activity	MPOs	INDOT	FHWA / FTA	Public	RPOs	Tribal Gov'ts	ICG
9	✓ Request FHWA initiate a formal conformity consultation with the ICG, if applicable	R, A	I	I				I
10	✓ Conduct formal consultation process for air quality conformity, including conformity emissions analysis, if applicable	C	C	A				R
11	✓ Issue conformity determination letter to the ICG and other applicable parties, including the MPO	C	C	R, A				R
12	✓ Complete the Amendment/Modification Request Form and email request to INDOT's STIP email.	R, A	I					
13	✓ STIP Admin. Office reviews the TIP amendment request to ensure the request is appropriately categorized as an amendment and coordinate with the MPOs if discrepancies exist.	C	R, A					
14	✓ Conduct public involvement meeting on the STIP amendment and post for public comment	I	R, A	I	C	C	C	I
15	✓ Address public comments and feedback received	C	R, A	I	C	C	C	I
16	✓ INDOT Technical Planning reviews the amendment request to confirm that any Regionally Significant projects added to the TIP are reflected in the Metropolitan Transportation Plan (MTP).	C	R, A					
17	✓ INDOT STIP Administration Office reviews amendment request to confirm that proposed changes meet fiscal constraint guidelines.	C	R, A	C		C		
18	✓ INDOT Technical Planning reviews the amendment request for air quality conformity.	C	R, A	C		C		
19	✓ STIP Admin. Office conducts overall quality control review of the STIP amendment request to confirm accuracy of data elements (e.g., Des #, project listing, project phase, dollar amount)	C	R, A	C		C		
20	✓ INDOT posts the amendment request for public comment.	I	R, A	I	I	I	I	I
21	✓ Submit STIP amendment request to FHWA for review and approval.	I	R, A	I				
22	✓ STIP amendment reviewed / approved by FHWA, and approval letter distributed.	I	I	R, A				
23	✓ SMPS log notes updated by Project Manager with the TIP/STIP amendment information and TIP/STIP amendment is posted to the MPO's and INDOT's website.	R	R, A	I	I	I	I	



For general STIP modifications, activities include the following:

Table 14: External Responsibilities for Modifications to the TIP/STIP

#	Activity	MPOs	INDOT	FHWA / FTA	Public	RPOs	Tribal Gov'ts
1	✓ For projects in an MPO area, MPOs modify the TIP per MPOs' respective policies and procedures, including conformity requirements.	R, A	I		I	I	
2	✓ For projects in an MPO area, MPOs complete and submit the Amendment / Modification Request Form to INDOT's STIP email.	R, A	I				
3	✓ For projects outside of the MPO area, INDOT Project Manager completes the Amendment / Modification Request Form and forwards to the MPO for review and processing.	I	R, A				
4	✓ STIP Admin. Office conducts a quality control review of the modification to ensure the change was correctly classified as a modification and to confirm the accuracy of data elements (e.g., Des #, project and phase listing, dollar amount).	C	R, A	I		C	
5	✓ INDOT STIP Administration Office reviews the modification request to confirm proposed changes are within fiscal constraint guidelines.	C	R, A				
6	✓ INDOT STIP Admin. Office processes modification request.	I	R, A				
7	✓ Email sent by the INDOT STIP Admin. Officer notifying recipients that modification is processed	I	R, A				
8	✓ SMPS log notes updated by the INDOT Project Manager with the modification information and TIP/STIP amendment is posted to the MPO's and INDOT's website	I	R, A	I			
9	✓ STIP Admin. Office forwards notification of modifications and the associated website hyperlink to FHWA on approximately a bi-monthly basis.		R, A	I			

Note: MPOs in air quality non-attainment or maintenance areas are responsible for carrying out and documenting all of the air quality conformity determination requirements for projects in their respective MPA.



STIP Development Process

Overview of the STIP Development

The STIP undergoes a complete update on a bi-annual basis (i.e., every two years), typically during the odd year. The process can last upwards of nine months to one year and requires a significant level of coordination across INDOT's various departments and with external entities at the local, state, and federal levels. INDOT prepares the STIP in cooperation with the MPOs and in consultation with RPOs and non-metropolitan local officials, and INDOT is required to follow its *Planning and Public Involvement Procedures (PPIP)* and the *STIP Public Involvement Plan* as part of development of the STIP.

As such, a multi-disciplinary team of external stakeholders participates in the development of the STIP, including the MPOs and RPOs, Non-Metropolitan Local Governments, Tribal Governments, FHWA and FTA, freight advisory committees/stakeholders, transit providers, marine ports, local elected officials, and the general public/public interest groups.

Within INDOT, the STIP Administration Office is responsible and accountable for the development of the STIP.⁴¹ The STIP Administration Office coordinates internally with the Office of Technical Planning Team, Office of Local Planning Agency, LPA/MPO Grants Administration Division, District Offices, Asset Management Teams, Finance, and Office of Communications over key activities throughout the STIP development process, including establishing funding targets; identifying and prioritizing projects for inclusion in the STIP; reviewing projects for air quality conformity; and developing, executing, and adhering to INDOT's public involvement/participation policy. For more details on the specific roles and responsibilities both internally within INDOT and with external stakeholders, please refer to the Roles and Responsibilities chapter of this document.

Document Organization

The STIP document is organized into the following key sections:

1. **STIP Overview:** Provides an introduction and overview of the STIP and the process used to develop, amend, or modify the document and the coordination efforts (e.g., MPOs, RPOs, stakeholders, and the public).
2. **Requirements:** Describes state and federal requirements and how the STIP meets these requirements. Key components included in this section include:
 - a. INDOT's public involvement process
 - b. Performance-based planning, the role of asset management in development of the STIP, and anticipated effect of the STIP towards achieving its performance measure targets
 - c. INDOT's Annual Program Development Process (APDP) and relation to the STIP
 - d. Air quality requirements
 - e. Environmental Justice requirements
 - f. ADA requirements for accessible facilities
 - g. Requirements for STIP amendments and modifications

⁴¹Note that the STIP is signed by STIP Administrative Office on behalf of the INDOT Commissioner, who is ultimately accountable for the INDOT STIP. The Commissioner requests FHWA's review and approval in the submission letter when submitting the final draft STIP to FHWA/FTA.



3. **Financial Information / Permits:** Defines funding programs, revenue history and trends, financial summaries, risk management and mitigation strategies, financial plans for major capital projects (e.g., Ohio River Bridges, I-69 corridor), tables, and related information.⁴²
4. **Project Listing:** Section includes a list of projects included in the STIP. Projects are listed by project sponsor (state, local, transit, by county) and by the following phases:
 - a. **Preliminary Engineering (PE):** Engineering analysis and design work to develop specifications,⁴³ cost estimates to get a project to physical construction. PE can bring plans to 30% complete or lead to final design plans that are 100% complete.
 - b. **Right of Way (RW):** Land acquisition activities, right of way costing, and related activities.
 - c. **Construction (CN):** This will include physical building activities including approved roadway and transit construction activities and costs.

Additional content that may be incorporated in the STIP includes a record of public comments and media releases, INDOT's performance measures, and a tutorial on how to read/interpret the project listings.

Projects Included in the STIP

Per 23 CFR 240.218, the STIP is required to include the following projects over a 4-year timeframe:⁴⁴

- ✓ All capital and non-capital projects or phases of project development, which are targeted to use FHWA and/or FTA funding;
- ✓ All Regionally Significant transportation projects requiring Federal approval or permits, even if no FHWA or FTA funds are to be used during construction;
- ✓ Projects and phases must be consistent with the statewide long-range transportation plan; and
- ✓ Projects not considered of appropriate scale for individual identification in a given program year may be grouped by function, work type, and/or geographic area.

Transportation projects begin through the identification of transportation needs, opportunities, or challenges and can be displayed in the STIP in phased development (e.g., PE, RW, and/or CN). Potential projects for the STIP can come from multiple sources, including regional metropolitan plans, corridor studies, environmental studies, technical asset/engineering analysis, and transit providers.

Additionally, all State funded projects that have been deemed Regionally Significant are required to be listed within the STIP. **Regionally Significant** projects add capacity to roadways, are on a facility which serves regional transportation needs, and would normally be included in the modeling of the metropolitan area's

⁴² INDOT utilizes a cash management technique known as Advance Construction (AC) to manage the timing of cash needs against the availability of federal and state funds. These techniques provide authority to advance projects utilizing the federally accepted practice of AC codified in Title 23 U.S.C 115. AC is a fund management tool that allows INDOT to incur costs on a project and submit the full or partial amount later for federal reimbursement without having to currently obligate federal funds. This eliminates the need to set aside full obligational authority before starting a project. INDOT then typically converts the AC to an obligation to fund and reimburse. When applying AC to projects, INDOT includes the amount in AC we plan to later convert to federal obligation. This technique is critical in meeting federal inactive requirements. A project is considered inactive when federal obligation is applied and there is no expenditure within one year. INDOT typically waits to convert from AC to federal obligation until a payment is made to a contractor or consultant. Therefore, when converting, INDOT is able to request federal reimbursement quickly, allowing the 1-year window to be kept low. In addition, by converting projects needing reimbursement, INDOT is better able to manage the federal unbilled and maximize available contract authority.

⁴³ INDOT uses standard specifications for its projects; however, designers are given the discretion to follow standard specifications or develop unique specifications. If choosing to develop unique specifications, designers must provide justifications as to why this was selected.

⁴⁴ INDOT uses a 5-year timeframe, where the 5th year is illustrative.



transportation network. At a minimum, this includes all principal arterial highways and all fixed guideway transit facilities that offer a significant alternative to regional highway travel.

Note that the MPOs' projects are included in the STIP without change, and, as such, project requirements within the TIPs therefore extend to the STIP. As per 23 CFR 450.326(e): "Projects included within the TIP include capital and non-capital surface transportation projects (or phases of projects) within boundaries of the metropolitan planning area proposed for funding under 23 U.S.C. and 49 U.S.C. Chapter 53...safety projects funded under 23 U.S.C. 402 and 49 U.S.C. 31102; metropolitan planning projects funded under 23 U.S.C. 104(d) and 49 U.S.C. 5305(d); State planning and research projects funded under 23 U.S.C. 505 and 49 U.S.C. 5305(e); at the discretion of the State and MPO, metropolitan planning projects funded with Surface Transportation Program funds; emergency relief projects (except those involving substantial functional, locational, or capacity changes); national planning and research projects funded under 49 U.S.C. 5314; and project management oversight projects funded under 49 U.S.C. 5327."

The TIP also includes Regionally Significant projects requiring an action by FHWA or FTA. For conformity purposes, the TIP also includes all Regionally Significant projects with proposed Federal funds other than FHWA or FTA, as well as Regionally Significant projects funded with non-Federal funds.⁴⁵

More details on the specific requirements MPOs must adhere to regarding development and content within the TIPs can be found in the Roles and Responsibilities chapter of this document.

How Projects are Selected for the STIP

The *Annual Program Development Process - State* (APDP-S) sets forth a comprehensive set of procedures for project development on the INDOT state highway jurisdictional system, including interstates, U.S. Highways, and state roads. A separate set of procedures governs the process for local (non-state jurisdictional facilities) systems, known as the *Annual Program Development Process - Local* (APDP-L). Collectively, the APDP provides the mechanism for new projects⁴⁶ to be considered for inclusion in INDOT's *Long Range Transportation Plan, 5-Year Construction Plan, and STIP*.

Under the APDP, INDOT's planning phases include the following:

- **6-25 Year Timeframe, i.e., the Long-Range Transportation Plan:** Period when needs and proposed projects are identified based on assumptions, trends, goals, and inputs. Minimal information is available at this time, and additional planning and environmental studies and local coordination is required.
- **5-Year Timeframe, i.e., the Construction Plan:** In the 5-year outlook, needs are prioritized and fiscally constrained. More information becomes available, and the project development process is beginning. Additional coordination, public, and stakeholder outreach are ongoing.
- **1-4 Year Timeframe, i.e., the STIP:** Projects are committed and further constrained in a defined project listing. Right of Way, utilities, and construction activities are ongoing.⁴⁷
- **Project Delivery:** During this period, limited projects that have been selected are delivered based on fiscal constraints and priorities.

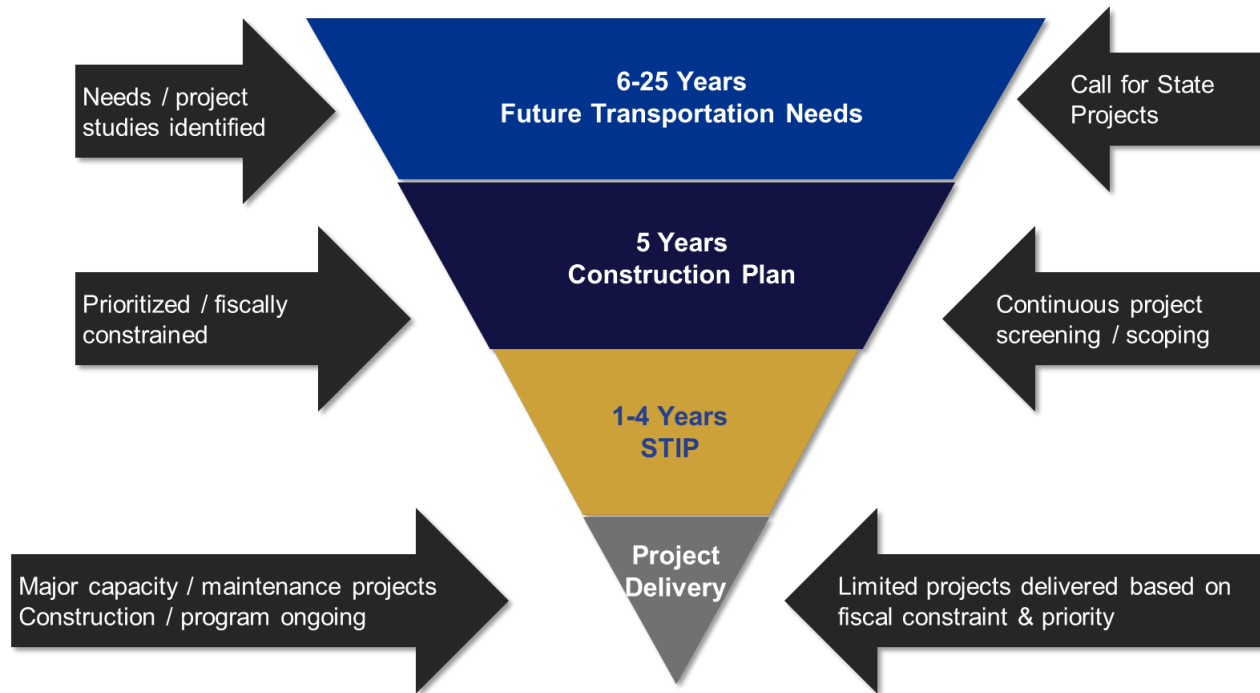
⁴⁵ 23 CFR 450.326(e-f).

⁴⁶ Note that INDOT identifies contracts as projects.

⁴⁷ The INDOT STIP has a fifth illustrative, aligning with the 5-year Construction Plan's five-year timeframe. As such, the fifth illustrative year feeds into the 1-4-year timeframe required by the STIP. The fifth illustrative year may include more grouped projects than what is committed in the 4-year STIP timeframe.



Figure 3: INDOT Planning Phase Concepts



The Long-Range Transportation Plan describes INDOT's long-term priorities and objectives in the upcoming 25-year timeframe. The 5-Year Construction Plan serves as INDOT's five-year, rolling production schedule. The STIP is required by regulation to list all federally funded projects that will require a Federal Action during a four-year time frame. However, because INDOT's STIP includes a fifth illustrative year in addition to the required four-year timeframe, projects within the STIP align with the 5-Year Construction Plan. Projects from the fifth illustrative year then feed into future years' STIPs and are included in the first four-year timeframe. Note that there may be slight changes in projects from the fifth illustrative year to projects in the four-year timeframe, as projects become committed. For instance, the fifth illustrative year may include more grouped category projects.

Under the APDP, INDOT has five key stages in its annual program development lifecycle for the above-listed planning phases:

Table 15: Annual Program Development Process Stages

Stage	Key Activity
Stage I	✓ Call for New State Projects & Program Revisions
Stage II	✓ Statewide Review and Program Update
Stage III	✓ Draft STIP and 5-Year Construction Plan Development
Stage IV	✓ STIP Development and Coordination with MPO TIPs
Stage V	✓ STIP Publication



Stage I

Every summer, INDOT District Offices open a Call for state projects covering proposed new projects on **state facilities** (i.e., interstates, U.S. Highways, and State Roads)⁴⁸ and a separate Call for **local projects**. Proposed projects for the Calls are not fiscally constrained.

For state projects, this is a District-led process. To begin, the Asset Management Division will ask the Program Management Group 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. Then the Asset Management Division 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 Division of Long-Range Planning, Modeling, and Traffic Counting. Agencies outside of INDOT will require different materials. For a summary of those materials, please refer to the Annual Program Development document.

Projects are then ranked and prioritized through state and local processes to ensure broad participation. This includes early meetings between the INDOT District Offices, MPOs, Capital Program Management Business Units, and RPOs to review proposed projects and priorities. The outcome of this stage is an agreed-upon list of existing and proposed new state projects District-wide, including those within the MPO metropolitan planning areas. Based on results of Stage I, Districts submit lists of proposed projects for statewide deliberations.

For local projects, this follows a similar process, whereby the MPO/LPA Grants Administration Division issues a call for local projects and meets with each LPA to discuss their projects to understand project objectives and to verify that projects are eligible for federal funds. Projects are also vetted through other divisions within INDOT, such as the Bridge and Pavement Asset Management Teams, to verify the need for funding and to help ensure the appropriate scope of work is proposed based on the identified need. Projects submitted for the Highway Safety Improvement Program (HSIP) are also reviewed by the Office of Traffic Safety to determine eligibility for HSIP funding. As with the process for state projects, the outcome of this stage is an agreed-upon unconstrained list of proposed projects for deliberations.

Stage II

For state projects, during this stage, INDOT’s Asset Management Teams review proposed projects and changes. Projects are then prioritized based on the Asset Management Teams’ unique business rules, developed at the asset class level. Proposed state projects are then presented for statewide priority analysis, in accordance with applicable INDOT procedures and techniques, based on need, project categories, and agency priorities. After prioritization occurs, projects are then presented to the Program Management Group (PMG) for review and approval. The PMG will then review the list and prioritize all proposed projects statewide based on the recommendations from the Asset Management Team and asset modeling to verify the projects will meet required conditions.

Local projects follow a separate process for project prioritization. INDOT scores proposed projects based upon different criteria such as average daily traffic (ADT), community support, economic impact, etc. These project scores are then ranked as a basis by which to provide funding.

As an outcome, the PMG will submit the draft Program Update Report to the Deputy Commissioner of Capital Program Management Business Unit, Long-Range Planning, Multi-modal Transportation, MPO/LPA Grant Administration, and STIP Administration Office for review and approval by members of the executive office as determined by the Deputy Commissioner 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 PMGs will revise the draft Program Update Report in accordance with the executive office action.

⁴⁸ Transit projects for inclusion in the STIP are provided to the STIP Administration Office directly by the Transit division.



For projects within an MPO's metropolitan area, projects must be included within the MPOs' metropolitan transportation plans (MTPs).

After addressing the district and MPO comments, the PMG will produce a Final Program Update Report and authorize new projects in SPMS and change the existing program accordingly to reflect the updated report. At the same time, the PMGs 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 Statewide Transportation Improvement Program (STIP).

Stage III

After programs are authorized for inclusion in SPMS, the PMG then provides Asset Management Teams with updated budget estimates of projected federal and state funding for the upcoming four years, by fiscal year. These budgets are used to establish fiscal constraint limits for all state projects. Proposed projects for the STIP are fiscally constrained based on their performance impacts, and a draft list of constrained State projects is provided to the MPOs for review.

For local projects, funding is allocated to prioritized projects based on the scores assigned during the previous stage. Total funding allocated to local projects is dependent on the funding amount available, and the Executive Funds Team reviews and approves the final list of local projects. For more details on the funding categories available for local and State projects included within the STIP, please refer to the Appendix of this document.

As an outcome, an agreed-upon list of fiscally constrained state and local projects is developed for the STIP and TIPs. Finalized projects are then added into the STIP, either via the amendment process or during the bi-annual complete update to the STIP.⁴⁹ The timing for when new projects are incorporated into the STIP depends on the date(s) of the projects' anticipated funding needs. Typically, new projects that would be funded in the first two fiscal years of the STIP are amended into the STIP during the next amendment cycle, whereas new projects that would not require funding until later fiscal years may be held off for incorporation into the STIP until the next complete bi-annual update.

Under Stage IV of the APDP, INDOT coordinates with its planning partners for updates to the Metropolitan Transportation Plans (MTPs) and TIPs. Under Stage V of the APDP, updates to the STIP occur on an as needed basis, e.g., via the amendments and administrative modifications process.

INDOT's STIP & Other Planning Documents Relationship

Recent transportation legislation requires the incorporation of Performance-Based Planning and Programming (PBPP) into the development of the *State's Long-Range Transportation Plan and STIP*. Incorporating INDOT's PBPP into the STIP contributes to the achievement of National Performance goals (required by 23 U.S.C. 150).

The Statewide and Nonmetropolitan Transportation Planning; Metropolitan Transportation Planning; Final Rule further defines that the STIP shall include, to the maximum extent practicable, a description of the anticipated effect of the STIP toward achieving the performance measure targets identified in the statewide transportation or State Performance-based plan(s), linking investment priorities to those performance targets (23 CFR 450.218(q)).

The following are **National Performance goals** (23 USC 150):

⁴⁹ Note that only after projects have been programmed into SPMS can they be included in the STIP.



- **Safety:** To achieve a significant reduction in traffic fatalities and serious injuries on all public roads.
- **Infrastructure Condition:** To maintain the highway infrastructure asset system in a state of good repair.
- **Congestion Reduction:** To achieve a significant reduction in congestion on the National Highway System.
- **System Reliability:** To improve the efficiency of the surface transportation system.
- **Freight Movement and Economic Vitality:** To improve the national freight network, strengthen the ability of rural communities to access national and international trade markets, and support regional economic development.
- **Sustainability:** To enhance the performance of the transportation system while protecting and enhancing the natural environment.
- **Reduced Project Delivery Delays:** To reduce project costs, promote jobs and the economy, and expedite the movement of people and goods by accelerating project completion through eliminating delays in the project development and delivery process, including reducing regulatory burdens and improving agencies' work practices <https://www.fhwa.dot.gov/tpm/about/goals.cfm>.

Transportation Performance Management (TPM) is an FHWA strategic approach that uses system information to make investment and policy decisions to achieve national performance goals. The TPM is applied through asset management to manage the condition of the infrastructure assets that are needed to provide for mobility and safety on the nation's transportation system.

Performance measures provide INDOT with the strategic framework to evaluate how successfully transportation goals and objectives are met. Using a performance-based approach to investment decisions provides INDOT a transportation system more in-line with identified goals of safe and reliable travel, a well-maintained system, and efficient movement of people and goods across the state. INDOT performance measures are strategically developed to align with Federal performance measures to support national transportation performance goals.⁵⁰ As an output of this development process, performance measurements are included within the STIP to demonstrate how INDOT's upcoming projects help achieve its performance measures.

As previously described, INDOT uses several planning documents and initiatives to help make decisions about transportation funding and asset management. These planning documents and initiatives are linked, as follows:

- Indiana General Assembly passed House Act 1002, as known as **Next Level Indiana**.⁵¹ The legislation funds preservation and construction projects for Indiana's transportation system over the next 20 years from the passage of Next Level Indiana. The legislation provides a basis for the financial plans outlined in the INDOT Transportation Asset Management Plan (TAMP) and Strategic Asset Management Plan (SAMP).
- **The Annual Program Development Process (APDP)** specifies the procedures for INDOT to follow during its annual program development process, the alignment of INDOT's planning documents, and the steps to follow in the development of these plans.

⁵⁰Federal performance measures became codified with the passage of the FAST Act. Since that time, the U.S. Department of Transportation has gone through a lengthy rule-making process. The safety rule measures became effective in 2016. The pavement and bridge condition and National Highway System (NHS), freight, and Congestion Mitigation and Air Quality (CMAQ) performance rules became effective in 2017.

⁵¹ Next Level Indiana may be subject to change.



- The 20-year **Long Range Transportation Plan (LRTP)** and **Multimodal Freight and Mobility Plan** set out INDOT's long-term objectives. INDOT's long-term objectives provide guidance for the overall development of the TAMP. The business rules define the decision-making process used to develop the INDOT 5-year Construction Plan. The 5-year Construction Plan projects are aligned to the projects included in the 4-year STIP timeframe plus the 5th illustrative year.
- The LRTP establishes **performance measures** that in turn support INDOT's goals and objectives. INDOT performance measures are strategically developed to align with Federal performance measures to support national transportation performance goals.
- The **INDOT Transportation Asset Management Plan (TAMP)** is a management tool that brings together all related business processes, as well as internal and external stakeholders, to achieve a common understanding and commitment to improving the state's bridges and roads over the next 10 years. The TAMP describes INDOT's current asset management practices and identifies planned enhancements. The TAMP also describes existing conditions of the transportation network and provides a 10-year plan for managing the state highway system, including goals, performance targets, funding levels, and investment strategies.
- **Asset Management Teams' business rules** at the asset class level define the decision-making processes used to identify and prioritize projects during the annual Call process.
- The **5-Year Construction Plan** is INDOT's planned schedule for projects on a 5-year rolling basis, and projects within the Construction Plan are aligned to projects included in the STIP.
- The **Statewide Transportation Improvement Program (STIP)** is a complete list and description of all Regionally Significant transportation projects requiring an action by FHWA or FTA regardless of how the projects are funded.

STIP Development Timeline

The STIP is updated in its entirety every two years and must be coordinated with various partners – entities at the local, state, and federal levels and with the public – before being approved. The following table describes the general STIP development timeline and key activities that occur in the one-year timeframe leading up to the STIP's publishing:

Table 16: STIP Development Approximate Timeline⁵²

Month	INDOT and STIP Activity	MPOs and TIP Activity
July to September	<ul style="list-style-type: none"> ✓ INDOT STIP Development Report is filled out and the new STIP development announcement is made. ✓ Review, discuss, and consider Federal Corrective Actions, Findings, and PEAS and how these are or will be addressed. ✓ Start agenda discussion of the STIP update in MPO/INDOT/FHWA monthly Finance 	<ul style="list-style-type: none"> ✓ Setup and schedule TIP working group meetings.

⁵² Note that the timeline for the annual Call for projects does not correlate with the STIP development timeline and is therefore not included in this table. This is because the bi-annual development the STIP is not dependent on the completion of the annual Call for projects and because new projects from the Call may be amended into the STIP at any point or held off until the bi-annual development of the STIP.



Month	INDOT and STIP Activity	MPOs and TIP Activity
	<p>Meetings. Discuss and document any challenges, concerns, or logistical needs.</p> <ul style="list-style-type: none"> ✓ Setup and schedule STIP working group meetings. ✓ Document and establish STIP Public Involvement Plan based on INDOT's PPIP and coordination of MPOs and their processes RPOs. Plan needs to include outreach to Tribal Groups, Federal Land management, and Underserved Populations. ✓ Document and discuss STIP development timelines and milestones with key stakeholders. ✓ Document those involved in the development, their roles and responsibilities, and get key milestones on calendars. ✓ Publish the Public Involvement Plan and key development milestones on INDOT's STIP website. 	
September to November	<ul style="list-style-type: none"> ✓ STIP Administration Office creates new STIP Template and creates initial active project reports to circulate to all MPOs. Document list version and date printed and distributed. ✓ Hold STIP working group meetings at the District office or virtually. Meeting includes: MPOs, RPOs, FHWA, FTA, District Staff, Central Office staff. Document discussions from these meetings and comments received on the project listing and any concerns or challenges expected. Ensure PMs, LPAs are made aware of key challenges or issues that impact their projects. 	<ul style="list-style-type: none"> ✓ Attend STIP working group meetings at the District office or virtually. Document discussions from these meetings and comments received on the project listing and any concerns or challenges expected. Ensure PMs, LPAs are made aware of key challenges or issues that impact their projects. ✓ RPOs and Non-Metro Areas have opportunity to comment on the project listing for their area. A GIS Map may be helpful to show key projects. Work with GIS Services Team. ✓ Verify the TIP development procedures, approach, and public engagement activities at the MPO and how this fits in with the STIP development.
December to January	<ul style="list-style-type: none"> ✓ INDOT STIP Administration & Planning Team develop new draft STIP Document outline and contents. Document is coordinated with FHWA via monthly meetings. 	<ul style="list-style-type: none"> ✓ MPOs hold project coordination meetings with their Technical Advisory Committee and Policy Board members and generate their new draft TIP for draft approval with coordination with INDOT to ensure



Month	INDOT and STIP Activity	MPOs and TIP Activity
	<ul style="list-style-type: none"> ✓ INDOT provides fiscal constraint list to MPOs. ✓ INDOT coordinates with the MPOs to ensure consistency with TIP and STIP project listings. 	<p>consistency of their TIP projects with INDOT STIP projects.</p> <ul style="list-style-type: none"> ✓ MPOs determine the schedule for the ICG informal and formal consultation process so that air quality conformity letters for the TIPs are received before July.⁵³
February to March	<ul style="list-style-type: none"> ✓ Develop Draft STIP and coordinate with partners and stakeholders (iterative process). 	<ul style="list-style-type: none"> ✓ INDOT, FHWA, FTA review and comment on MPO draft TIPs. ✓ MPOs publish their TIPs to start the public comment period and public meetings.
March to May	<ul style="list-style-type: none"> ✓ INDOT publishes draft STIP online for comment periods (30-days) ✓ Public engagement period starts (see PPIP). Ensure procedures are followed. ✓ STIP comments are processed, addressed, and documented. Comments requiring significant changes to the STIP document will require an additional comment period. 	<ul style="list-style-type: none"> ✓ MPOs submit their final adopted TIPs to INDOT and INDOT issues the Governor's Approval Letter to the MPO TIPs. Then, the approved MPO TIPs are included by reference into the draft STIP.⁵⁴
June to July	<ul style="list-style-type: none"> ✓ The final draft STIP is submitted to FHWA / FTA for approval, which includes a consolidated package, including the Governor's approval letter, financial documents, narratives, project listings, and TIPs. ✓ The STIP is reviewed and approved by FHWA / FTA, and the final STIP and associated documents are published on the INDOT website. 	<ul style="list-style-type: none"> ✓ June 30 deadline for receiving Conformity Determination letters from FHWA. The STIP cannot be approved until all letters have been provided by FHWA.⁵⁵

A timeline of the bi-annual STIP development activities are further detailed on the following page.

⁵³ It is the responsibility of the MPOs to initiate the formal consultation process and ensure that conformity letters are received prior to the June 30 deadline.

⁵⁴ Note that after the Governor's Approval Letter has been provided, the TIPs are finalized. Any subsequent changes to the TIPs must be made through an amendment or modification.

⁵⁵ MPOs are responsible for determining the appropriate timeline to submit requests to FHWA for formal consultation to ensure the June 30 deadline is met.



Figure 4: Bi-Annual STIP Development Timeline

Task	20XX						20XX						
	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul
Early Coordination Steps													
Establish the STIP Public Involvement Plan consistent with the INDOT Public Involvement Practices													
Monthly STP Development Coordination Meetings with FHWA													
STIP/TIP Development Timeline													
INDOT STIP Development Report is filled and announce the new STIP development													
Review, discuss, and consider Federal Corrective Actions, Findings, and PEAS and how these are or will be addressed													
Start agenda discussion of the STIP update in MPO/INDOT/FHWA monthly Finance Meetings													
Setup and schedule STIP and TIP working group meetings													
Establish STIP Public Involvement Plan based on INDOT's PPIP and coordination of MPOs and their processes RPOs.													
Document and discuss STIP development timelines and milestones with key stakeholders													
Document those involved in the development, their roles and responsibilities, and get key milestones on calendars.													
Publish public involvement plan and key development milestones on INDOT's STIP website.													
STIP Administration Team creates new STIP template in the creating of the initial active project reports to circulate to all MPOs.													
Hold STIP working group meetings at the district office or virtually													
Verify the TIP development procedures, approach, and public engagement activities at the MPO and how this fits in with the STIP development													
INDOT STIP Administration & Planning Team develop new draft STIP document outline and contents													
MPOs project coordination meetings with their technical and board members to generate their new draft TIP for draft approval with coordination with INDOT													
MPO determines the schedule for the ICG basis fiscal constraint list provided by INDOT													
Draft STIP development and coordination with partners and stakeholders (iterative process) including INDOT, FHWA, FTA review and comment on MPO draft TIPs													
MPOs publish their TIPs to start the public comment period and public meetings													
INDOT publishes draft STIP online for comment periods (30-days)													
MPOs submit their final adopted TIPs to INDOT and INDOT issues the Governor's Approval Letter to the MPO TIPs													
Public engagement period starts STIP comments are process, addressed, and documented. Comments requiring significant changes to the STIP document will require additional comment period.													
The final draft STIP is submitted to FHWA / FTA for approval													
June 30 deadline for receiving Conformity Determination letters from FHWA. The STIP cannot be approved until all letters have been provided by FHWA													
The STIP is reviewed and approved by FHWA / FTA, and the final STIP and associated documents are published on the INDOT website													



The following describes the general flow of the STIP development process visualized above:

- ✓ The STIP development process begins with a meeting between FHWA/FTA and INDOT to review the STIP development schedule and STIP evaluation checklist of basic elements required for inclusion in the STIP, and to establish recurring coordination meetings.
- ✓ FHWA/FTA revises the STIP evaluation checklist based on agreed-upon negotiations with INDOT, as needed.
- ✓ INDOT's STIP Administration Office publishes the STIP development process and timeline to the INDOT website after meeting with FHWA/FTA and creates the initial STIP template.
- ✓ FHWA/FTA then develops funding targets for the STIP and provides to INDOT, to include both state and federal funding, for which the Finance Division of FHWA/FTA reviews the levels and basis.
- ✓ INDOT's Finance Department provides revenue projections for the STIP, and the STIP Administration Office generates a draft STIP project listing for fiscal constraints. It is the responsibility of INDOT Finance to ensure that the STIP and TIPs demonstrate fiscal constraint.
- ✓ Early coordination meetings occur between INDOT and the MPOs and RPOs to review projects for fiscal constraint.
- ✓ The MPOs and RPOs review the draft STIP project lists with INDOT and begin to add the draft project list to the MPO TIPs. As projects are identified that are in nonattainment or maintenance areas, MPOs submit requests for informal consultation with the ICG for air quality conformity.
- ✓ The ICG reviews projects during the informal consultation process and provides feedback, as needed.
- ✓ MPOs and RPOs coordinate with INDOT's STIP Administration Office, Districts, and Asset Management Teams to confirm the finalized lists of STIP projects.
- ✓ Once finalized, INDOT's Office of Technical Planning conducts a review of the TIPs for air quality conformity.
- ✓ Following the air quality conformity review, the STIP Administration Office submits a first draft STIP to FHWA/FTA for an early review.
- ✓ FHWA/FTA review the STIP initial draft and provide feedback, as needed.
- ✓ After incorporating any feedback from FHWA/FTA, the MPOs post the TIPs for public review and comment within the districts, and the INDOT STIP Administration Office posts the STIP for public review and comment and conducts its Public Involvement meetings.
- ✓ The draft STIP and TIPs are presented at District public meetings and a 45-day review and comment period is held. Comments are addressed and/or incorporated into the STIP and TIPs.
- ✓ After the public involvement period is complete, the draft TIPs are then sent to INDOT for review.
- ✓ The STIP Administration Office, Office of Technical Planning, and Finance Division then review the draft TIPs and STIP collectively, as the parties responsible for overseeing the MPOs and responsible for reviewing each MPO's TIP to ensure compliance with the requirements outlined [23 CFR 450.326](#).



- ✓ After reviewing the draft TIPs and STIP, INDOT's STIP Administration Office sends the draft STIP to FHWA/FTA for a second-level review and comment.
- ✓ If any feedback from FHWA/FTA is provided, the INDOT STIP Administration Office, Office of Technical Planning, and Finance Department compile the comments and send them back to MPOs to address and incorporate.
- ✓ Once the MPOs incorporate any final comments into the TIPs, MPOs present the TIPs at the MPOs' Policy Boards for approval.
- ✓ After securing Policy Board approval, the MPOs submit a request to FHWA to initiate the formal consultation process with the ICG for air quality conformity. FHWA then coordinates with the ICG to conduct the formal consultation process.
- ✓ The FHWA formal consultation review period with the ICG includes a 30-calendar day-period when a conformity emissions analysis is required and 15 calendar day period in 1997 ozone-only conformity areas where no emissions analysis is required.
- ✓ After the 30-day and/or 15-day period is completed for projects requiring a conformity emissions analysis and/or projects where no emissions analysis is required, FHWA reaches out to the other ICG agencies requesting concurrence on whether a conformity determination be made. ICG agencies have another 30 calendar days to reply (or 15 calendar days in 1997 ozone-only conformity areas).
- ✓ After the ICG concurs prior to the end of formal consultation, then the U.S. Department of Transportation (FHWA) issues a conformity determination letter, demonstrating approval that the TIP complies with conformity requirements. The Final Draft of the STIP cannot be submitted to FHWA/FTA for review and approval until after all Conformity Determination Letters have been administered (by June 30).
- ✓ While the ICG review process is occurring, MPOs send the final draft TIPs to INDOT. The INDOT STIP Administration Office then incorporates the changes into a final draft version of the STIP.
- ✓ INDOT then conducts a final review of the STIP and TIP to ensure compliance with the federal regulations. Specifically, INDOT's STIP Administration Office reviews the STIP and TIPs to ensure the project listings match, and to ensure the accuracy of the project elements. INDOT's Finance Department reviews the TIPs and STIP to ensure both meet fiscal constraint requirements. INDOT's Office of Technical Planning reviews the TIPs to ensure the TIPs are a subset of the MPOs' MTPs, ensure projects match within the STIP/TIP, projects listed in the TIP show estimated total cost, air quality conformity and that Conformity Determination Letters have been provided, demonstration of how projects impact performance measurements, ensure TIPs have Policy Board Approvals, and that self-certifications have been provided.
- ✓ The INDOT STIP Administration Office then recommends approval of the MPOs' TIPs and secures the Governor's Approval Letter for the TIPs. The INDOT Commissioner signs the approval letter on behalf of the Governor.
- ✓ The INDOT STIP Administration Office then sends a consolidated package of the final draft STIP document to FHWA/FTA for final review/approval. The final draft STIP document includes the STIP narrative, financial documents, project lists, TIPs, and Governor's Approval Letter.
- ✓ The INDOT STIP Administration Office provides a notification to the MPOs that the final draft STIP was submitted to FHWA/FTA for review and approval and which version of the MPOs' TIPs were used in the final draft document.



- ✓ FWHA/FTA collectively review the final STIP document and, after approval, issue an approval letter to the INDOT Commissioner.
- ✓ After the FWHA/FTA approval letter has been secured for the STIP, the INDOT STIP Administration Office notifies the MPOs that the STIP has been approved.
- ✓ The MPOs then publish the TIPs to their websites, and the INDOT STIP Administration Office publishes the final STIP document and associated documents to the INDOT website. As amendments/modifications are made to the STIP, these are also updated on the STIP website on a continuous basis.

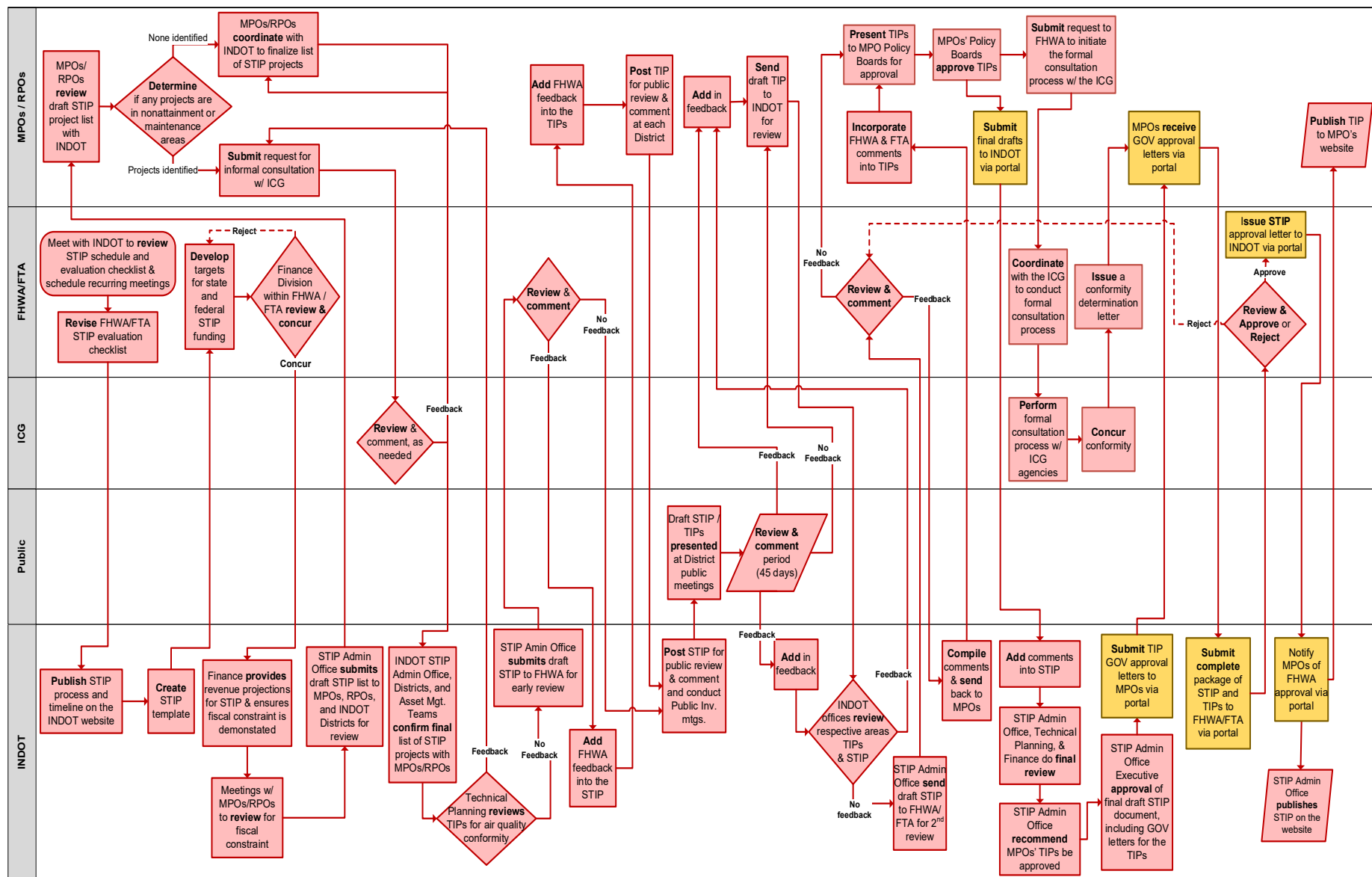
Following the publication of the STIP, information from the STIP is used to inform the funding authorization process. INDOT's CapWise system gathers information from the STIP and populates funding authorization requests in INDOT's Financial Management Information System (FMIS). FHWA then compares funding authorization request data to the information within the STIP for accuracy prior to authorizing approval.

The Role of the STIP Portal in the STIP Development

INDOT is in the process of developing the STIP Portal. The STIP Portal will serve as a centralized platform for the MPOs to submit their TIP drafts during development of the STIP and will also be used to submit the STIP to FHWA/FTA for review/approval. The intent of the Portal is to both centralize the development of the TIPs/STIP and improve communications amongst the relevant stakeholders. The STIP Portal will also be used as the primary means to submit and process amendments and modifications to the TIPs/STIP in the future. Although the Portal is still in development, the following process map visualizes how the Portal will be used to better manage the STIP development process (i.e., by end of calendar year 2023).



Figure 6: Representative Future State STIP Development Process Map





INDOT's Role in Reviewing the STIP and TIP

As noted in the Roles and Responsibilities chapter, during the STIP development process, INDOT's STIP Administration Office, Office of Technical Planning, and Finance Division are responsible for ensuring the STIP and, by extension, the TIPs meet the requirements outlined in 23 CFR 450. INDOT reviews the following key criteria within the draft TIPs prior to submitting the Final Draft STIP to ensure the MPOs' compliance:

Table 17: INDOT's Review Checklist for TIPs

#	TIP Review Criteria	Responsible Party for Reviewing
1	Is the TIP a subset of the MPO's Metropolitan Transportation Plan (MTP)?	INDOT Office of Technical Planning
2	Do the INDOT projects listed in the TIP match the INDOT draft STIP listing?	INDOT Office of Technical Planning, INDOT STIP Administration Office
3	Do projects listed in the TIP show the total estimated cost?	INDOT Office of Technical Planning
4	Does the TIP adequately demonstrate fiscal constraint?	INDOT Finance Division, INDOT Office of Local Planning Agency
5	Is the MPO subject to air quality conformity?	INDOT Office of Technical Planning
6	Has the MPO completed the Conformity Determination Process and received a Conformity Determination Letter from FHWA/FTA?	INDOT Office of Technical Planning
7	Does the TIP provide a description of its effective impact towards meeting Performance Targets?	INDOT Office of Technical Planning
8	Does the MPO have a Policy Board Approval Resolution or minutes that document the MPO's Policy Board action of the TIP approval?	INDOT Office of Technical Planning
9	Has the MPO completed its MPO Transportation Planning Process Self Certifications?	INDOT Office of Technical Planning

In addition to the TIP checklist above, INDOT is responsible for reviewing the following key criteria for the STIP prior to submitting the Final Draft STIP to FHWA/FTA.

Table 18: Review Checklist for the STIP

#	STIP Review Criteria	Responsible Party for Reviewing
1.	Do the INDOT projects listed in the STIP match the MPOs' TIPs?	INDOT Office of Technical Planning, INDOT STIP Administration Office
2.	Do projects listed in the STIP show the total estimated cost?	INDOT Office of Technical Planning
3.	Does the STIP adequately demonstrate fiscal constraint?	INDOT Finance Division, INDOT Office of Local Planning Agency



#	STIP Review Criteria	Responsible Party for Reviewing
4.	For projects subject to air quality conformity, has the Conformity Determination Process been completed? ⁵⁶	INDOT Office of Technical Planning
5.	Does the STIP provide a description of its effective impact towards meeting Performance Targets?	INDOT Office of Technical Planning
6.	Have Self Certifications been completed and are included in the STIP document?	INDOT Office of Technical Planning
7.	Is there documentation that Tribal Coordination has taken place, that adequate advance notice was given to the Tribes, and that comments were received and addressed?	INDOT Office of Technical Planning
8.	Does the STIP document include all required elements within the narrative?	INDOT STIP Administration Office, INDOT Office of Technical Planning
9.	Does the STIP project listing include all required elements?	INDOT STIP Administration Office
10.	Does the STIP include FHWA/FTA submission letter, signed by the Commissioner? Does the Commissioner's submittal letter clearly identify the confirmed MPO TIPS to be included, either by reference or directly in the STIP?	INDOT STIP Administration Office
11.	Have the Governor's approval letters been obtained for the MPOs' TIPS, and, if so, are they included in the STIP document?	INDOT STIP Administration Office

⁵⁶ Applies to rural areas that are not part of the MPOs that have been designated as non-attainment or maintenance areas. Currently, this applies to Greene and Jackson Counties.



Amendments and Modifications

Overview of Amendments / Modifications

Changes are frequently made to the STIP and associated TIPs in the interim period between formal, complete updates to the STIP. Such updates may be required to reflect changes in projects'⁵⁷ scope, costs, year or phase implementation, etc. Once a STIP is approved by the FHWA and FTA, major changes to federally funded projects must be approved through a formal amendment process, while lesser changes or minor corrections can be accomplished through the administration modification process. As such, proposed changes consist of two categories related to updating or revising the STIP: **amendments** and **modifications**.

1. **Administrative Modification (i.e., Modification):** A minor revision to a long-range statewide or metropolitan transportation plan (MTP), TIP, or STIP that includes minor changes to project/project phase costs, minor changes to funding sources of previously included projects, and minor changes to project/project phase initiation dates. An administrative modification is a revision that does not require public review and comment, a redemonstration of fiscal constraint, or a conformity determination in nonattainment and maintenance areas (23 CFR 450.104).
2. **Amendment:** A revision to a long-range statewide or MTP, TIP, or STIP that involves a major change to a project included in a metropolitan transportation plan, TIP, or STIP, including the addition or deletion of a project or a major change in project cost, project/project phase initiation dates, or a major change in design concept or design scope (e.g., changing project termini or the number of through traffic lanes or changing the number of stations in the case of fixed guideway transit projects). Changes to projects that are included only for illustrative purposes do not require an amendment. An amendment is a revision that requires public review and comment and a redemonstration of fiscal constraint. If an amendment involves "non-exempt" projects in nonattainment and maintenance areas, a conformity determination is required (23 CFR 450.104).

Amendments require a formal process and must be approved by FHWA and FTA and the MPO's Policy Board for amendments to the TIP. Amendments include, but are not limited to, changes to phases of work, major project scope changes, project work type, or significant change in cost. Modifications typically consist of minor revisions or changes. These changes do not require approval from FHWA, FTA, or the MPO Policy Board. Examples of modifications may include, but are not limited to, project advancements or deferments without changes to the project scope or cost, splitting a project, typographical corrections, non-significant changes in cost, etc. As with amendments, differences in what defines a modification vary by MPO; however, the MPOs are required to meet the regulatory definitions at a minimum.

INDOT is responsible for the oversight of the MPOs' TIPs when changes are made to the TIPs and, by extension, the STIP through amendments and administrative modifications. Each MPO is required to submit to INDOT amendments and modifications requests to their TIPs for all proposed changes. If the proposed change is classified as an amendment, the proposed amendment must undergo a formal review and approval process from the MPO's Policy Board and/or Technical Advisory Committee (TAC) prior to submitting the amendment request and, subsequently, prior to updating the TIP and STIP. Additionally, proposed amendments are subject to air quality conformity requirements and must first undergo ICG consultation processes.

Unlike an amendment, administrative modification requests typically do not require a formal approval process from the MPO's Policy Board, nor do they require ICG consultation, before the changes are incorporated into the updated TIP and STIP.

⁵⁷ Note that INDOT identifies contracts as projects.



Prior to submitting STIP amendments or modifications to FHWA and FTA for review and approval, INDOT is responsible for reviewing the STIP and the TIP proposed changes to ensure the regulatory requirements are met per 23 CFR 450. As described in the Roles and Responsibilities chapter of this document, the Office of Technical Planning reviews the TIPs proposed changes for air quality conformity and confirms that Regionally Significant projects added to the TIP are also reflected in the Metropolitan Transportation Plan (MTP). The INDOT STIP Administration Office reviews proposed changes to ensure the change is within the fiscal constraint guidelines and confirms that the proposed change is appropriately classified as an amendment and/or modification and confirms the accuracy of the project elements within the proposed change (e.g., Des #, project phase, and dollar amount are properly listed).

Once an amendment is approved and/or once a modification is ready to be incorporated into the MPO's TIP, changes are subsequently submitted to INDOT for incorporation into the updated STIP document, while the MPO simultaneously makes changes directly in the MPO's TIP. After the STIP is updated, document revisions and amendments are made publicly available on the INDOT STIP [website](#). Updated TIP documents are then posted on the MPO's website. [website](#). Updated TIP documents are then posted on the MPO's website.

INDOT's Definitions of Amendments and Modifications

INDOT has defined thresholds and guidelines for what constitutes an amendment vs. modification. If an amendment or modification is necessary to the STIP, INDOT provides the following guidelines to determine whether the proposed change should be classified as an amendment or modification:

The following major changes to the STIP require an **Amendment (requires FHWA or FTA approval)**:

- 1) A new project is added
- 2) A new phase is added such as Preliminary Engineering, Right-of-Way, or Construction to the current STIP
- 3) Project costs have increased or decreased significantly (see Table 19)
- 4) Change in scope for a project in the current STIP
- 5) Changes to Regionally Significant projects regardless of funding source
- 6) Changes to projects impacting fiscal constraint

The following minor changes to the STIP require a **Modification (does not require FHWA or FTA approval)**:

- 7) Change of years for a project within the current STIP
- 8) Change in years of a Regionally Significant project within a current STIP
- 9) Non-Significant funding changes (see Table 19)

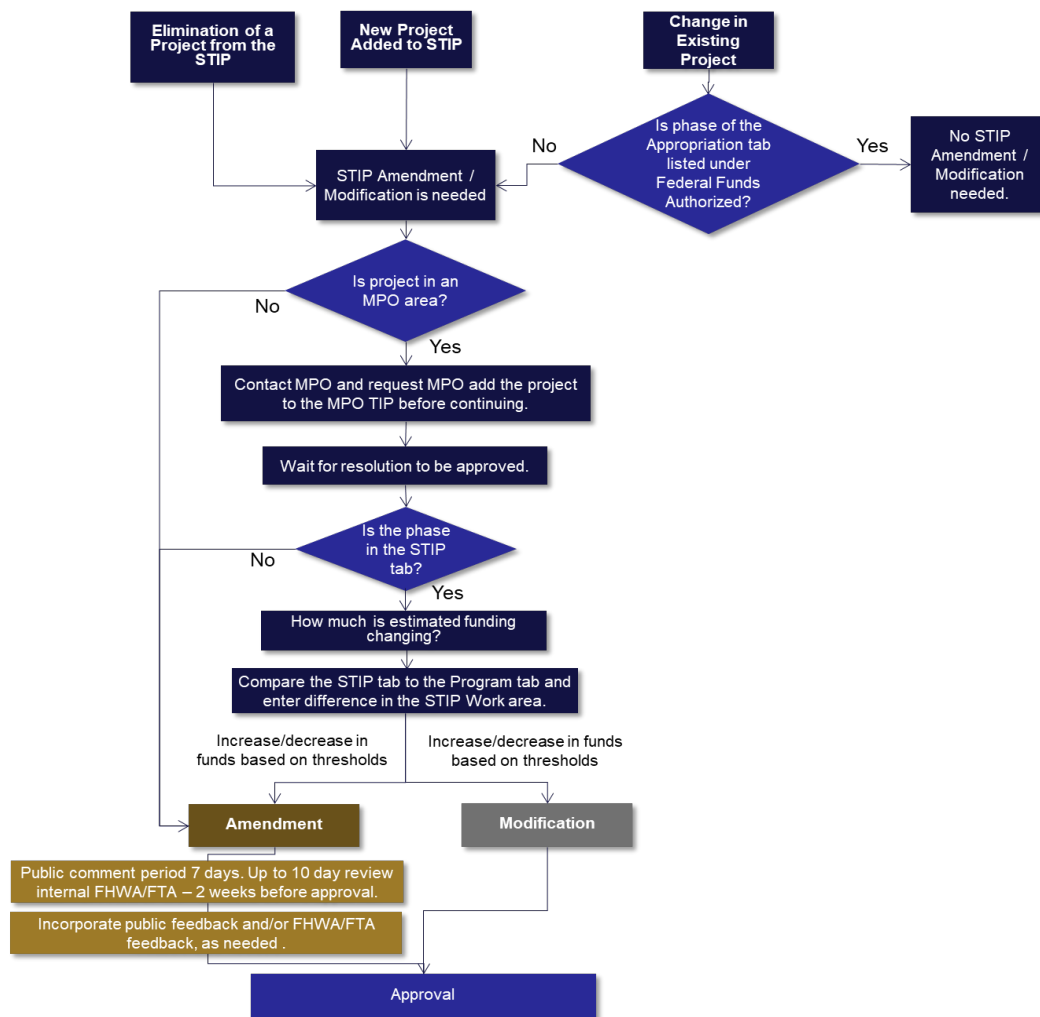
For changes to the cost of projects (excluding groupings and reductions of any amount provided project length, termini, and description remain the same), INDOT uses a sliding scale to determine whether a modification or amendment is required. All measurements for these cost changes are made from the last approved STIP/TIP amendment/modification to account for incremental changes. The table below lists INDOT's cost thresholds for determining amendments vs. modifications:

Table 19: INDOT's Thresholds for Total Project Phase Cost Changes⁵⁸

Total Programmed Funding in Approved STIP/TIP	Amendment	Modification
Up to \$2 million	Greater than 75%	Less than 75%
\$2 million to \$15 million	Greater than or equal to 50%	Less than 50%
\$15 million to \$75 million	Greater than or equal to 40%	Less than 40%
\$75 million and above	Greater than or equal to 30%	Less than 30%

Additionally, the figure below provides a flowchart for how INDOT determines whether an amendment or modification is required for a proposed change related to projects.

Figure 7: INDOT's Designation of Amendments vs. Modifications



⁵⁸ Table referenced from Memorandum of Agreement among the Federal Highway Administration Indiana Office, the Federal Transit Administration Region V, and the Indiana Department of Transportation Regarding the Definition and Need for Amendments and Administrative Modifications to the Statewide Transportation Improvement Program/Transportation Improvement Programs in the State of Indiana.



Grouped Project Categories

INDOT uses Groups within the STIP, as per 23 CFR 450.218(j), which states, “Projects that are not considered to be of appropriate scale for individual identification in a given program year may be grouped by function, work type, and/or geographic area using the applicable classifications under 23 CFR 771.117(c) and (d) and/or 40 CFR part 93. In nonattainment and maintenance areas, project classifications must be consistent with the “exempt project” classifications contained in the EPA’s transportation conformity regulations. In addition, projects proposed for funding under title 23 U.S.C. Chapter 2 that are not Regionally Significant, or impact fiscal constraint may be grouped in one line item or identified individually in the STIP.”

As with the STIP, MPOs are permitted to group projects by function, work type, and/or geographic area for the TIP if the projects are not considered of appropriate scale for individual identification in a given program year, per 23 CFR 450.326(h). Within the TIP and STIP, proposed changes to grouped categories are typically classified as administrative modifications and typically do not require formal amendments.

Within the State of Indiana, seven MPOs currently use grouped projects within their TIPs:

1. Michiana Area Council of Governments (MACOG)
2. Kentuckiana Regional Planning and Development Agency (KIPDA)
3. Kokomo/Howard County Governmental Coordination Council (KHCGCC)
4. Bloomington/Monroe County Metropolitan Planning Organization (BMCMPPO)
5. Ohio/Kentucky/Indiana Regional Council of Governments (OKI)
6. Evansville Metropolitan Planning Organization (EMPO)
7. Northeastern Indiana Regional Coordinating Commission (NIRCC)
8. Delaware/Muncie Metropolitan Plan Commission (DMMPC)

Grouped categories may include the following:

Table 20: INDOT Potential Grouped Project Categories

<ul style="list-style-type: none">• Bridge, Culvert, and Small Structure Preservation• Signing, Marking, Striping, Rumble Strips• Traffic Signal System and Lighting Improvements• Guardrail and Median Protection/Cable Barriers• Rail Crossing Protection• Bicycle/Pedestrian Facilities• Statewide and Non-Construction Activities• Air Quality Improvements• Safety Improvements• Trail Projects	<ul style="list-style-type: none">• Roadway Operational Improvements• Transportation Enhancements• Transit Improvements• Transportation Studies• Pavement Preservation• Commuter Ridesharing Programs• Operating Assistance to Transit Programs• Purchase of New Buses/Replace Vehicles• Rehabilitation of Transit Vehicles
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Note that not all MPOs use grouped categories in their TIPs, and those MPOs that do use grouped categories each have a unique set of categories that they choose to leverage. For the list of specific grouped categories used by each MPO, please refer to the figure in the following sub-section.

MPOs' Definitions for Amendments and Modifications

Although INDOT has standardized classifications for amendments and modifications, per the guidance in the above sub-section, there is variability within each MPO regarding definitions for what constitutes an amendment and modification. Variations exist in the following areas:

- 1) **Additions of new projects** to the TIP;
- 2) **Additions** of new project **phases** to the TIP;
- 3) **Deletions of projects** from the TIP;
- 4) **Deletions of phases** within projects in the TIP;
- 5) Changes in **fiscal year(s)** of projects within the TIP;
- 6) Changes in **project scope** for projects within the TIP;
- 7) Changes in **funding** for projects within the TIP;
- 8) Changes related to **grouped projects** within the TIP; and
- 9) Minor **corrections** to the TIP (e.g., correcting typographical errors, grammar, etc.).

Although each MPO currently has different thresholds when classifying its amendments or modifications, INDOT is working to standardize definitions for classifying amendments and modifications across the MPOs as a longer-term improvement initiative. For further detail on each MPOs specific procedures for the current state, please reference Appendices 16-26.

Air Quality Conformity Requirements for Amendments / Modifications

As further detailed in the *Indiana Air Quality Conformity Interagency Consultation Group Guidance*, some updates/changes to the TIP and STIP require consultation with the ICG for air quality conformity and/or require that the U.S. Department of Transportation formally issue a conformity determination letter. Consultation with the ICG and/or FHWA varies based on the action being pursued/change being proposed:

- ✓ Modifications to the STIP and TIPs do not require ICG conformity consultation.
- ✓ Amendments to the TIP and STIP that include only exempt projects require an informal consultation process with the ICG for concurrence that the project is exempt.



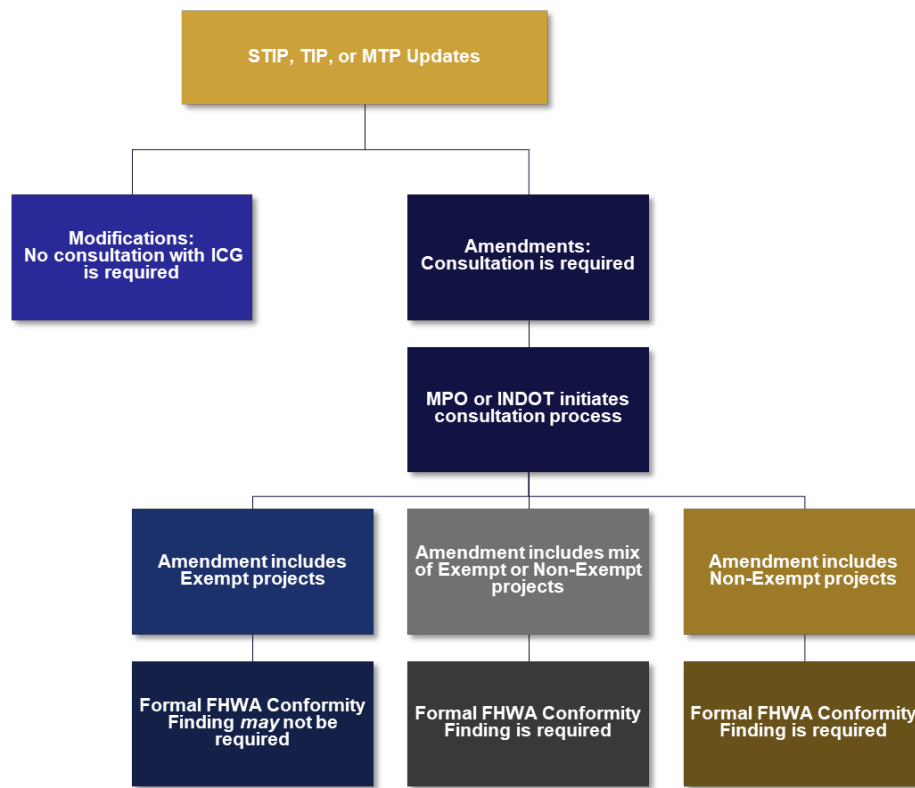
- ✓ Amendments to the STIP with an exempt project in a Donut Area⁵⁹ requires that INDOT coordinate with the respective MPO so that the MPO can consult the ICG for concurrence that the project is exempt.
- ✓ Amendments to the TIP and STIP with a non-exempt project require a formal consultation process with the U.S. Department of Transportation in addition to the informal consultation process.
- ✓ Amendments to the STIP with non-exempt projects in Donut Areas require that INDOT coordinate with the MPO to consult with the ICG and receive a formal conformity determination.
- ✓ Updates to the TIP in conformity areas must receive a conformity determination letter before they can be incorporated into the STIP.

Informal consultation is an initial step taken to initiate consultation with the ICG, while formal consultation is a subsequent step initiated by FHWA when a new conformity determination and/or conformity determination letter is required. For amendments that include projects that are non-exempt, the U.S. Department of Transportation must find that the TIP complies with conformity requirements before those amendments become effective and projects from any TIP update or amendment can be incorporated into the STIP. As an outcome of the formal consultation process, a conformity determination letter is provided that states that all planning documents (i.e., both the metropolitan transportation plan and TIP) for the particular MPO in a conformity area comply with conformity requirements.

The following flowchart demonstrates when changes constitute a formal or informal consultation process for air quality conformity. For more details on conformity requirements and considerations related to amendments to the TIP and STIP, please refer directly to the *Indiana Air Quality Conformity Interagency Consultation Group Guidance*.

⁵⁹ Geographic areas outside of an MPO's metropolitan planning area boundary, but inside the boundary of a nonattainment or maintenance area that contains any part of a metropolitan area. Most non-attainment and maintenance air quality conformity area boundaries coincide with an MPO's Metropolitan Planning Area (MPA), while others are larger than the MPA. That portion of a conformity area that is located outside of the MPA is called the "Donut Area".

Figure 8: Determination Flowchart for Formal and Information Air Quality Consultation Requirements



Timeline to Submit Amendments / Modifications

Although MPOs follow a general timeline for submitting proposed changes, the specific dates and timeline for submitting amendments and/or modifications vary by MPO. Note that the overall timeline for processing a proposed change varies based on whether the proposed change is categorized as an amendment or modification and whether the change is related to a project that is classified as an air quality conformity exempt or non-exempt project.

To submit a proposed change, project sponsors must complete INDOT's standardized Amendment / Modification Request Form and submit to INDOT for review and approval. Typically, MPOs submit their proposed TIP changes to INDOT on a monthly basis, with proposed changes due to INDOT by the 20th of the month. INDOT then reviews and submits proposed changes to FHWA/FTA for review and approval by the 30th of the month. Requests that are received after the 20th of the month are included in the following month's submission to FHWA/FTA. Although amendments are submitted to FHWA/FTA for review and approval on a monthly basis, typically INDOT notifies FHWA/FTA of modifications to the STIP on a bi-monthly basis.

For more details on the specific procedures around submitting amendments and modifications, including the timeline for submitting requests and required data within the Amendment / Modification Request Form, please refer to the Appendix of this document.

The following describes the general timeline by which *amendments that only include exempt projects* are submitted and processed:



- ✓ Typically, proposed changes are sent to respective MPOs by the project sponsors on the second to last Friday of the month. MPOs then determine whether proposed changes are amendments or modifications.
- ✓ For amendments, the MPO staff develop and submit the resolution for public review and comment, which typically lasts for a 10–15-day period.
- ✓ Per the *Indiana Air Quality Conformity Interagency Consultation Group Guidance*, if an MPO plans to amend their TIP with only exempt projects, then the conformity process is limited to informal consultation. For this, the MPO will provide the ICG with information about the amended exempt projects and is seeking concurrence that projects are exempt. The MPO (or INDOT) submits a request to the ICG and provides the ICG seven (7) calendar days to comment, which typically occurs when the MPO initiates public involvement on the TIP amendment and *prior* to MPO Policy Board Approval.⁶⁰
- ✓ The ICG is given seven (7) calendar days to review materials provided during the initial submittal of the informal consultation process. If no response is provided in the 7-day comment period, then the MPO or INDOT can assume the ICG has no comments at this time. During the 7-day period, the ICG may request a meeting with the MPO and/or INDOT to discuss and resolve any questions.
- ✓ After this meeting, if applicable, subsequent submittals with 7-day review periods may be requested by the MPO or an ICG agency.
- ✓ After the 7-day ICG review period, the informal consultation process officially ends, and the MPO can proceed with completing the public involvement process.
- ✓ The MPO staff then incorporate any public feedback received and add the updated amendment to the upcoming Technical Advisory Committee (TAC) meeting agenda by the last Wednesday of the month.⁶¹
- ✓ Once the amendment is presented at the TAC meeting, TAC members provide comment, and their feedback is incorporated.
- ✓ Following review by the TAC, the updated amendment is then presented at the MPO's Policy Board meeting, which typically occurs on the following Wednesday. The Policy Board either rejects the resolution and sends it back to the start to be reevaluated or accepts it and provides a signature of approval.
- ✓ After Policy Board approval, the MPO updates the conformity report to include ICG consultation summary, public involvement comments received, resolution of any public comments, and Policy Board approval documents.
- ✓ The MPO staff then complete the Amendment / Modification Request Form and submit it to INDOT.
- ✓ INDOT reviews the proposed amendment request to confirm the amendment is appropriately classified as an amendment; air quality conformity requirements have been met; the proposed change meets fiscal constraint guidelines; and project elements are accurately listed.
- ✓ The MPO will submit to the STIP Administration Office requests by the 20th of every month (If the 20th falls on a holiday or weekend, then requests can be submitted the next business day).

⁶⁰ For more details on the specific requirements and processes for the consultation process, please refer to the *Indiana Air Quality Conformity Interagency Consultation Group Guidance*.

⁶¹ Some MPOs hold TAC meetings monthly, such as MACOG, while others hold them bi-monthly, such as KHCGCC.



- ✓ The STIP Administration Office will review and consolidate all Modification and Amendment requests received.
- ✓ INDOT will post the amendment on INDOT's website for a period of 3 days for public comment on the 27th of every month (If the 27th falls on a holiday or weekend, then the amendment may be posted the next business day).⁶²
- ✓ Once the public comment period lapses, INDOT forwards the amendment request to FHWA for review and approval.
- ✓ FHWA reviews the amendment and either rejects it for reevaluation or accepts it and sends it back to INDOT to perform the STIP update process.
- ✓ After FHWA approval of the amendment, the amendment is then formally added to the STIP. Simultaneously, an email notification will be sent to each MPO with a copy of the master list showing which project were included on said amendment. MPO staff update the TIP project list and website to incorporate the accepted change.

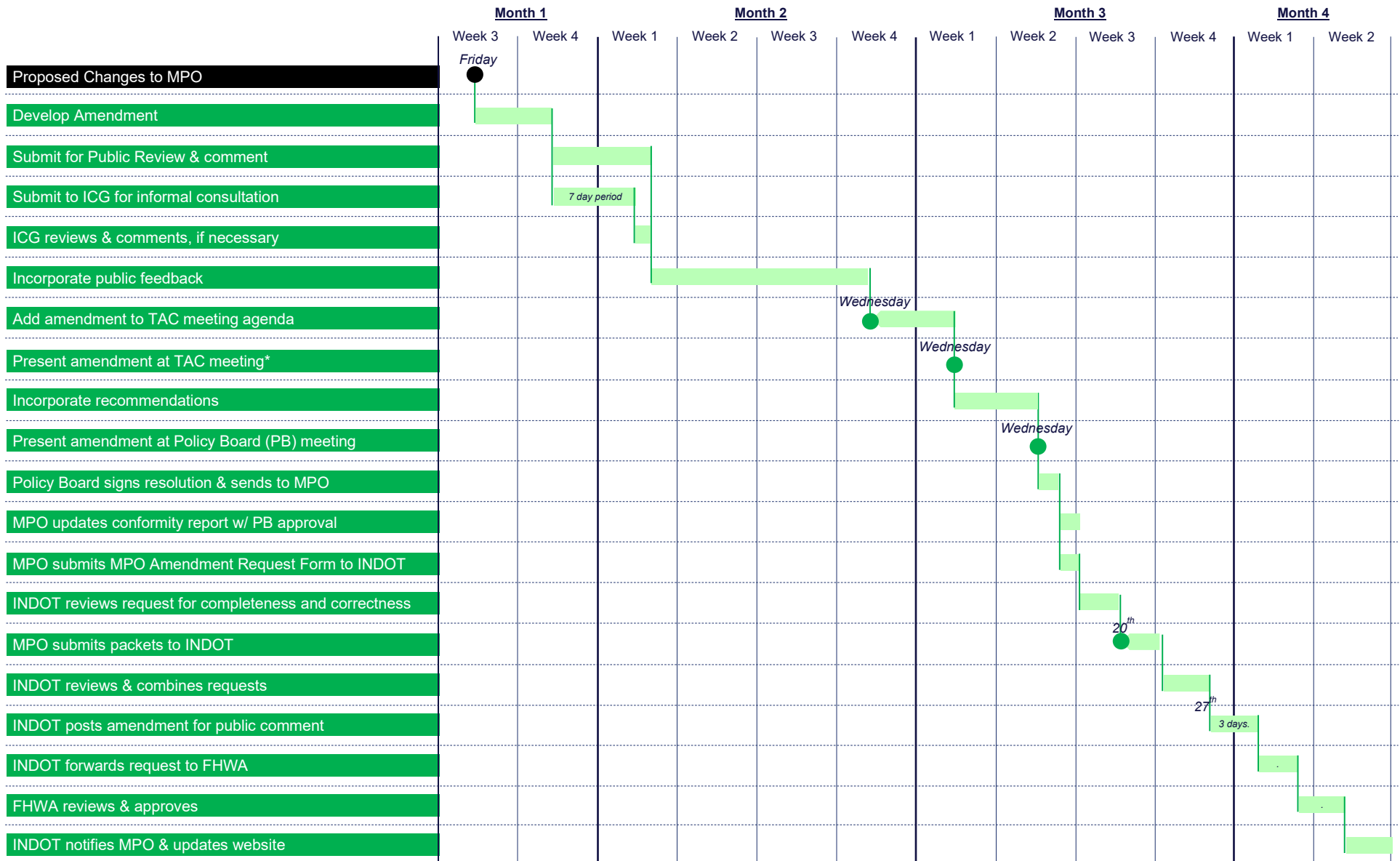
Similarly, before INDOT amends the STIP with an exempt project in a Donut Area, INDOT must coordinate with the respective MPO so the MPO can consult the ICG and seek concurrence that the project is exempt.

The below graphic captures the approximate timeline for submitting and processing **amendments for exempt projects** across the 14 MPOs.

⁶² For amendments in rural areas that fall outside of an MPO's area, the public comment period is lengthened to a 7-day period.



Figure 9: Approximate Timeline –Amendments for Exempt Projects





The following describes the general timeline by which *amendments that include any non-exempt projects* are submitted and processed:

- ✓ Proposed changes are sent to the MPOs by project sponsors on the second to last Friday of the month. MPOs then determine whether a change is an amendment or modification. MPOs must also then determine if the amendment includes projects that are exempt or non-exempt.
- ✓ For amendments that include projects that are non-exempt from air quality conformity, the proposed change must undergo a formal consultation process for air quality conformity. As with the informal consultation process, the MPO first submits its consultation request to the ICG with a seven (7) day timeline for the ICG to comment. This generally occurs when the MPO initiates public involvement on the TIP amendment and prior to MPO Policy Board approval.
- ✓ ICG agencies then have seven (7) days to send their reply or comment on the submittal. As with the informal consultation process, if no comments are provided in the 7-day period, it can be assumed that the ICG has no comments at this time but may have comments during formal consultation. The ICG may request a meeting during the period with the MPO and/or INDOT to resolve any outstanding comments or questions.
- ✓ After this meeting (if applicable), subsequent submittals with 7-day review periods may be requested by an ICG agency or the MPO.
- ✓ Simultaneously, the MPO staff submit the amendment for public review and comment.
- ✓ The MPO staff then incorporate any public feedback received and add the updated amendment to the upcoming Technical Advisory Committee (TAC) meeting agenda by the last Wednesday of the month. Some MPOs hold TAC meetings monthly, such as MACOG, while others hold them bi-monthly, such as KHCGCC.
- ✓ Once the amendment is presented at the TAC meeting, TAC members provide comment, and their feedback is incorporated.
- ✓ Following review by the TAC, the updated amendment is then presented at the Policy Board meeting, which typically occurs on the following Wednesday. The Policy Board either rejects the resolution and sends it back to the start to be reevaluated or accepts it and provides a signature of approval.
- ✓ After Policy Board approval, the MPO updates the conformity report to include ICG consultation summary, public involvement comments received, resolution of any public comments, and Policy Board approval documents.
- ✓ The MPO then requests FHWA initiate the formal conformity consultation process with the ICG because the amendment includes non-exempt projects.
- ✓ If the request is expedited and all ICG agencies gave advance correspondence, FHWA proceeds to directly issuing a conformity determination if no conformity-related comments were received during the public involvement process and the project scopes did not change. Otherwise, FHWA initiates its formal conformity consultation process.



- ✓ The FHWA formal consultation review period includes a 30-calendar day-period when a conformity emissions analysis is required and 15 calendar day period in 1997 ozone-only conformity areas where no emissions analysis is required.
- ✓ After the 30-day and/or 15-day period is completed for projects requiring a conformity emissions analysis and/or projects where no emissions analysis is required, FHWA reaches out to the other ICG agencies requesting concurrence on whether a conformity determination be made. ICG agencies have another 30 calendar days to reply (or 15 calendar days in 1997 ozone-only conformity areas).
- ✓ After the ICG concurs prior to the end of formal consultation, then the U.S. Department of Transportation (FHWA) issues the Conformity Determination Letter, demonstrating approval that the TIP complies with conformity requirements.
- ✓ The MPO staff then complete and submit the Amendment / Modification Request Form to INDOT for review.
- ✓ INDOT reviews the proposed amendment request to confirm the amendment is appropriately classified as an amendment; air quality conformity requirements have been met; the proposed change meets fiscal constraint guidelines; and project elements are accurately listed.
- ✓ The MPO will submit amendment requests to the STIP Administration Office by the 20th of every month (If the 20th falls on a holiday or weekend, then the request may be submitted the next business day).
- ✓ The STIP Administration Office will then consolidate and review all Modification and Amendment requests received.
- ✓ INDOT will post the individual amendment on INDOT's website for a period of 3 days for public comment on the 27th of every month (If the 27th falls on a holiday or weekend, then the next business day).⁶³
- ✓ Once the comment period lapses amendment request will be forwarded to FHWA for review and approval.
- ✓ FHWA reviews the amendment and either rejects it for reevaluation or accepts it and sends it back to INDOT to perform the STIP update process.
- ✓ After FHWA approval of the amendment, the amendment is then formally added to the STIP. Simultaneously, an email notification will be sent to each MPO with a copy of the master list showing which project were included on said amendment. MPO staff update the TIP project list and website to incorporate the accepted change.

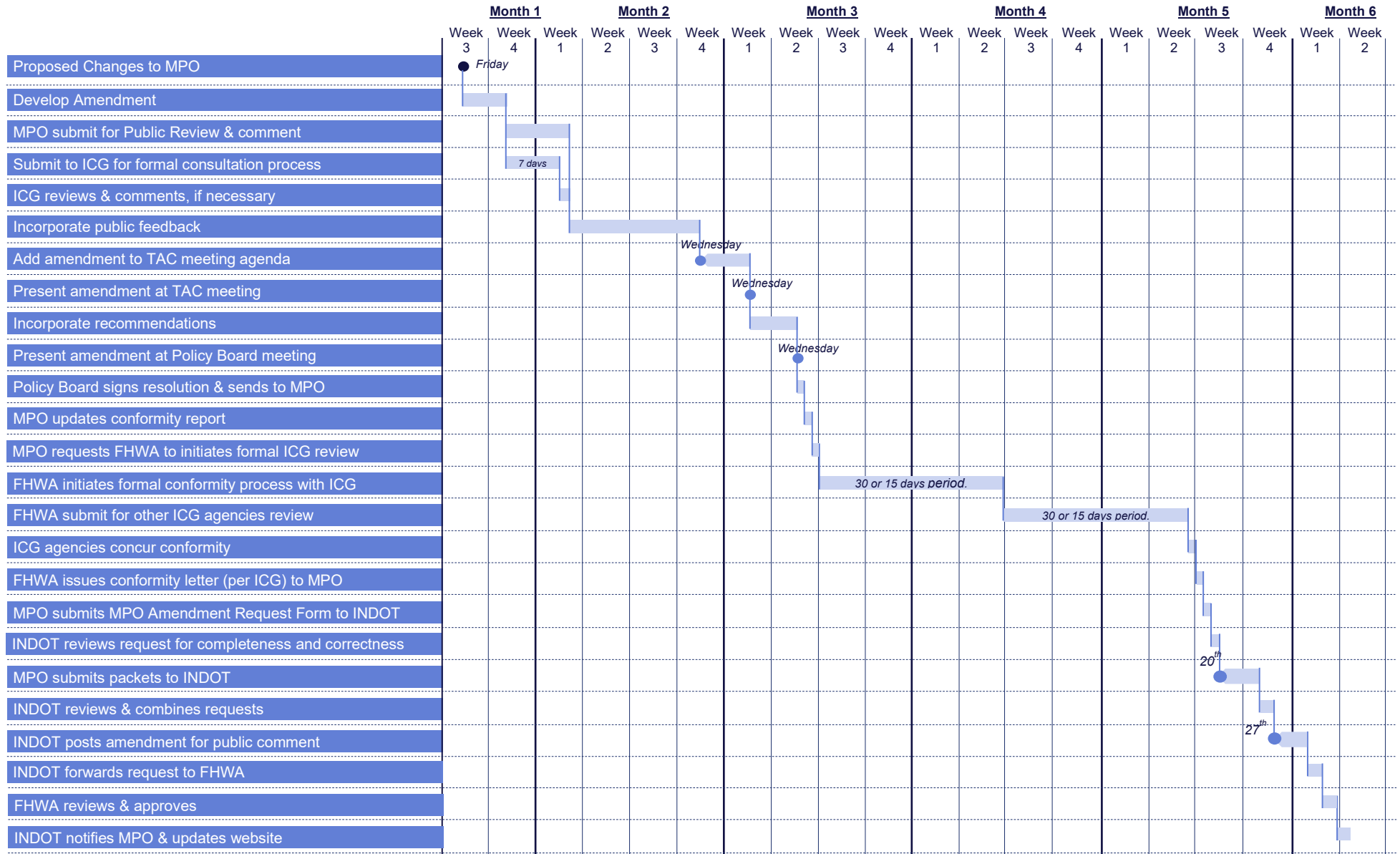
Note that amendments to the STIP with non-exempt projects in a Donut Area require that INDOT first coordinate with the MPO and consult the ICG to get a conformity determination, as well.

The timeline below captures the approximate timing of the amendment process for non-exempt projects across the 14 MPOs.

⁶³ For amendments within rural areas outside of an MPO's area, the public comment period is extended to seven days.



Figure 10: Approximate Timeline – Amendments for Non-Exempt Projects





Modifications typically do not undergo the air quality conformity processes, nor do they require an MPO's Policy Board approval. The following describes the general timeline by which **modifications** are submitted and processed:

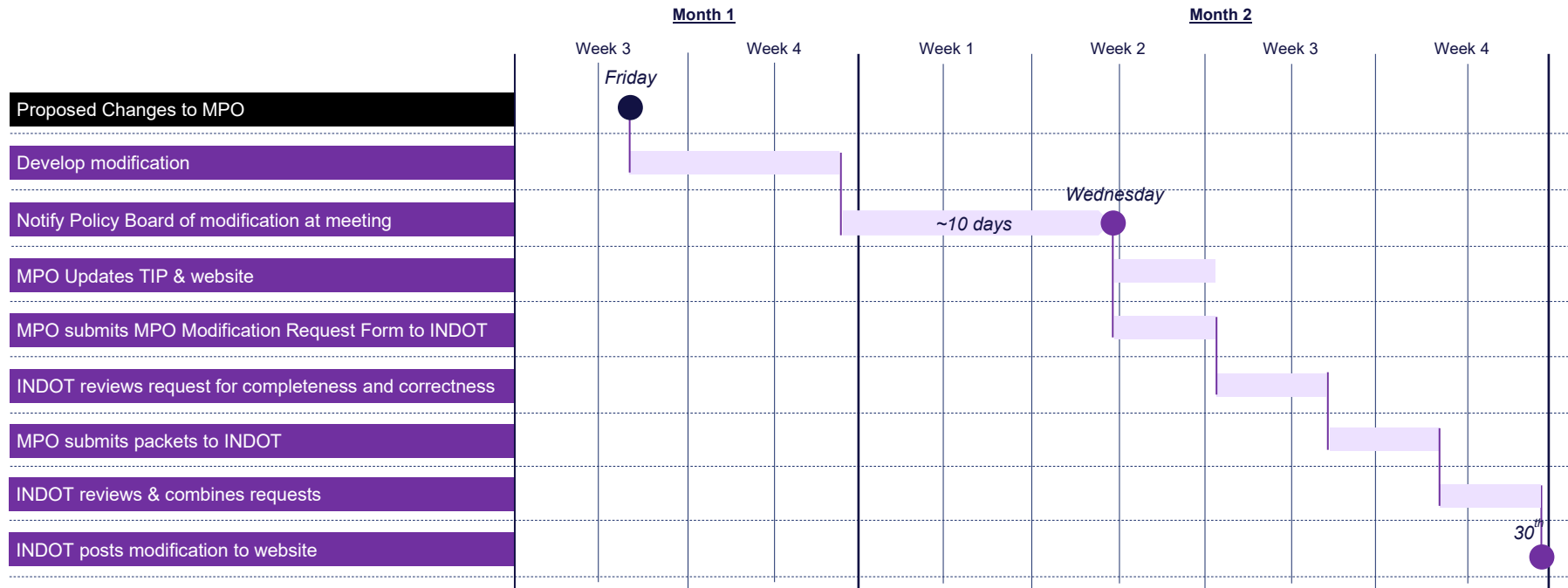
- ✓ Typically, once a modification request is developed, it is immediately presented at the first available MPO Policy Board meeting, which are typically held on the second Wednesday of the month. Modifications are presented to the Policy Board for notification only and typically do not require approval in order to proceed.
- ✓ The MPO staff then complete and submit the Amendment / Modification Request Form to INDOT.
- ✓ INDOT first reviews the modification request to confirm the proposed change is appropriately classified as a modification, project elements are accurately listed, and the proposed change is within fiscal constraint guidelines.
- ✓ The MPO will submit requests to INDOT by the 20th of every month (If the 20th falls on a holiday or weekend, then the next business day).
- ✓ The STIP Administration Office will consolidate and review all Modification and Amendment requests received.
- ✓ By the 30th of each month, INDOT will post the individual STIP modification to the STIP website.
- ✓ After submitting a modification request to INDOT, INDOT notifies the MPO staff and FHWA of the modification,⁶⁴ and the MPO staff update the TIP project list to incorporate change. The updated changes to the TIP are then posted to the MPO's website, and updates to the STIP are posted to INDOT's website.

The graphic below captures the approximate timeline for submitting and processing **modifications** across the 14 MPOs.

⁶⁴ INDOT may wait until multiple modifications have been made to the STIP before notifying FHWA of the modification(s). Typically, INDOT submits notifications of modifications to FHWA on a bi-monthly basis.



Figure 11: Approximate Timeline – Modifications





Representative Amendment / Modification Process

Project sponsors first identify proposed changes to the STIP and TIPs, develop and submit requests, and incorporate changes into the respective TIPs. In turn, INDOT processes amendments and modifications requests, submits amendments to FHWA/FTA for review and approval, and incorporates the modifications and approved amendments into the updated STIP.

MPOs first consolidate changes proposed by project sponsors⁶⁵ and then determine whether proposed changes are classified as modifications or amendments and whether the amendments include exempt or non-exempt projects. For **modifications**, the MPO develops the final list of modifications to be incorporated into the TIP and notifies first the MPO's Policy Board and then INDOT of the upcoming change to the TIP. The MPO then updates the TIP after submitting the modification request to INDOT, and INDOT simultaneously processes the changes in the STIP so that the STIP accurately reflects the updated TIP.

For **amendments**, the MPO first posts the proposed amendment for public review and comment. After, the amendment is presented first to the MPO's TAC for review and subsequently the MPO's Policy Board for approval. If the Policy Board approves and signs the amendment, the MPO submits an amendment request to INDOT and then incorporates the amendment into the TIP. INDOT then submits amendment requests to FHWA for review and approval and incorporates the approved updates into the STIP to reflect the TIP updates. In addition to the above steps, all amendments must undergo at least an informal ICG consultation process for air quality conformity, and amendments associated with non-exempt projects must undergo the formal consultation process and conformity determination from FHWA before the proposed amendment can be incorporated into the STIP.⁶⁶

The process for developing, reviewing, and incorporating amendments and modifications is depicted in the following representative process map. Note that, although each MPO can have processes which vary by MPO, the below process map is representative of the overarching process across the MPOs. Notable differences specified by the MPOs are captured in the footnotes. Unique processes for submitting modifications and amendments by MPO are further visualized in the Appendices of this document. Additionally, INDOT's specific procedures for preparing and submitting the Amendment / Modification Request Forms can be found in the Appendix of this document.

Note that the process map below includes improvements that INDOT's STIP Administrative Office is actively implementing or plans to implement in the near-term timeframe (e.g., implemented in the first half of calendar year 2023). Improvements are intended to standardize the process and communications around submitting, reviewing, and approving amendments and modifications. Improvements are specified as orange boxes within the below process map. For details on the representative preexisting process for amendments and modifications, please refer to the Appendix of this document.

⁶⁵ Project sponsors may include those within the MPO, INDOT, or FHWA.

⁶⁶ For more details on the air quality conformity process, please refer to the *Indiana Air Quality Conformity Interagency Consultation Group Guidance*.



The following describes the general process flow of amendments and modifications visualized above. The steps below include the recent improvements made or actively being implemented by INDOT's STIP Administrative Office. For a representative process map of INDOT's previous process around submitting and processing amendments and modifications, please refer to the Appendix.

- ✓ The amendment and modification process begins when the STIP Administrative Office submits a request to each of the MPOs' representatives for proposed changes.
- ✓ Project sponsors and/or representatives from the MPO, INDOT, or FHWA, can propose suggested changes to the MPO.
- ✓ The MPO representative then consolidates the proposed changes provided by the project sponsors and determines if the proposed changes classify as amendments or modifications.
- ✓ If the proposed change is determined to be an amendment, then the MPO representative additionally determines if the proposed change is associated with a project that is air quality conformity exempt or non-exempt.

If the proposed amendment is associated with a project that is air quality conformity **exempt**:

- ✓ Then the MPO develops and submit the proposed change for public review and comments. The public provide comments/feedback on the proposed change, as needed.
- ✓ The MPO incorporates feedback provided during the public comment period into the amendment.
- ✓ Simultaneously, the MPO submits a request to the ICG for the informal consultation process.
- ✓ The ICG then reviews the submittal package and determines whether a meeting is needed to review and address any feedback.
- ✓ After the review period is completed, the informal conformity consultation process officially ends, and the MPO can proceed with completing the public involvement process and submitting the request to the MPO Policy Board.
- ✓ The MPO representative then submits the updated proposed amendment to the TAC and adds the amendment as an agenda item for the upcoming TAC meeting.
- ✓ The amendment is presented at the TAC meeting, and the TAC members provide feedback, as needed.
- ✓ If feedback is provided, the MPO incorporates the TAC members' feedback and submits the updated amendment to the MPO's Policy Board for review at their next meeting.
- ✓ The amendment is presented at the Policy Board meeting and either rejected and send it back to the start of the process for reevaluation or accepted.
- ✓ After Policy Board approval, the MPO updates the conformity report to include the ICG consultation summary, public involvement comments received, resolution of comments, and Policy Board approval documentation.
- ✓ The MPO then completes and submits the Amendment / Modification Request Form Spreadsheet to the INDOT STIP Administrative Office via email. Other relevant stakeholders within INDOT may be included on the distribution email, as needed.



- ✓ INDOT's STIP Administration Office reviews the request to confirm the request is appropriately categorized as an amendment and that project elements are accurately listed. The Office of Technical Planning reviews the request to ensure air quality conformity requirements have been met, and INDOT's STIP Administration Office reviews the request to confirm the amendment adheres to fiscal constraint guidelines. INDOT follows up with the MPOs to make corrections, as needed.
- ✓ INDOT's STIP Administration Office then compiles all amendment requests across the MPOs and conducts a final QC review of the amendments prior to submission.
- ✓ INDOT will post the individual amendment on INDOT's website for a period of 3 days for public comment on the 27th of every month (If the 27th falls on a holiday or weekend, then the next business day).
- ✓ INDOT then submits a consolidated amendment request to FHWA for review and approval.
- ✓ After receiving approval from FHWA, INDOT incorporates the amendment into the STIP and notifies the MPO and other relevant stakeholders (included on the distribution list) that the amendment has been approved and incorporated into the STIP.
- ✓ INDOT then posts the updated STIP to the public-facing website.
- ✓ After receiving notification from INDOT, the MPO updates the TIP to reflect the approved change and posts the updated TIP to the MPO's public website.

If the proposed change is related to a project that is air quality **non-exempt**, in addition to the above steps:

- ✓ In addition to the above informal consultation processes, after completing the informal consultation process and after updating the conformity report and receiving Policy Board approval, the MPO submits a request to FHWA for formal conformity consultation with the ICG.
- ✓ FHWA initiates the formal consultation process with the ICG and review period. If the proposed amendment is related to a project in a 1997 ozone-only conformity area, then no conformity emissions analysis is required. Otherwise, the formal consultation process includes a conformity emissions analysis.
- ✓ FHWA then requests the other ICG agencies concur that a conformity decision be made. The ICG provides feedback on whether conformity requirements have been met and either recommends issuance of the conformity determination or sends back the request for reevaluation. The U.S. Department of Transportation will not issue a conformity determination letter until all ICG agencies respond, either with advance concurrence during the initial or formal consultation phase.
- ✓ Following concurrence, FHWA issues a conformity determination letter to the ICG. Once a conformity determination letter is issued, conformity requirements are completed, and the MPO can proceed with submitting the amendment request to INDOT.
- ✓ Prior to submitting the amendment request to FHWA for review and approval, INDOT's STIP Administration Office reviews the amendment request to confirm the request is appropriately categorized as an amendment and that project elements are accurately listed. The Office of Technical Planning reviews the request to ensure air quality conformity requirements have been met, and INDOT's STIP Administration Office reviews the request to confirm the amendment adheres to fiscal constraint guidelines. If the proposed change is related to a Regionally Significant project, INDOT's Office of Technical Planning confirms the changes are reflected within the MPO's MTP.



- ✓ After reviewing the amendment request, INDOT proceeds with consolidating the amendment requests, posting for public comment, and submitting to FHWA.

If the proposed change is a **modification**:

- ✓ The MPO representative develops the modification request and adds the modification to the Policy Board's upcoming meeting agenda.
- ✓ The modification is then presented at the Policy Board, for informational purposes only to notify the Policy Board of the upcoming change.
- ✓ The MPO then prepares the Amendment / Modification Request Form Spreadsheet and submits the form to the INDOT STIP Administration Office. Other relevant stakeholders within INDOT may be included on the distribution email, as needed.
- ✓ INDOT's STIP Administration Office and Office of Technical Planning review the modification request to confirm the proposed change is appropriately classified as a modification, the project elements are accurately listed, and fiscal constraints are met. INDOT follows up with the MPO to make any corrections, as needed.
- ✓ After reviewing the request, INDOT then incorporates the modification into the STIP and notifies the MPO and other relevant stakeholders (Included on the distribution list) that the modification has been incorporated into the STIP.
- ✓ INDOT then posts the updated STIP to the public-facing website and notifies the MPOs and FHWA of the modification.⁶⁷
- ✓ After receiving notification from INDOT, the MPO updates the TIP to reflect the change and posts the updated TIP to the MPO's public website.

After the STIP has been amended and/or modified with the approved changes, information from the STIP is used to inform the funding authorization process. INDOT's CapWise system gathers information from the STIP and populates funding authorization requests in INDOT's Financial Management Information System (FMIS). INDOT Finance refers to the STIP (available on the public-facing website) to verify the project elements populated within the funding authorization request. Similarly, FHWA compares funding authorization request data to the information within the STIP to confirm the accuracy of the data elements within the request prior to authorizing approval.

Improvements to the Amendments/Modifications Process

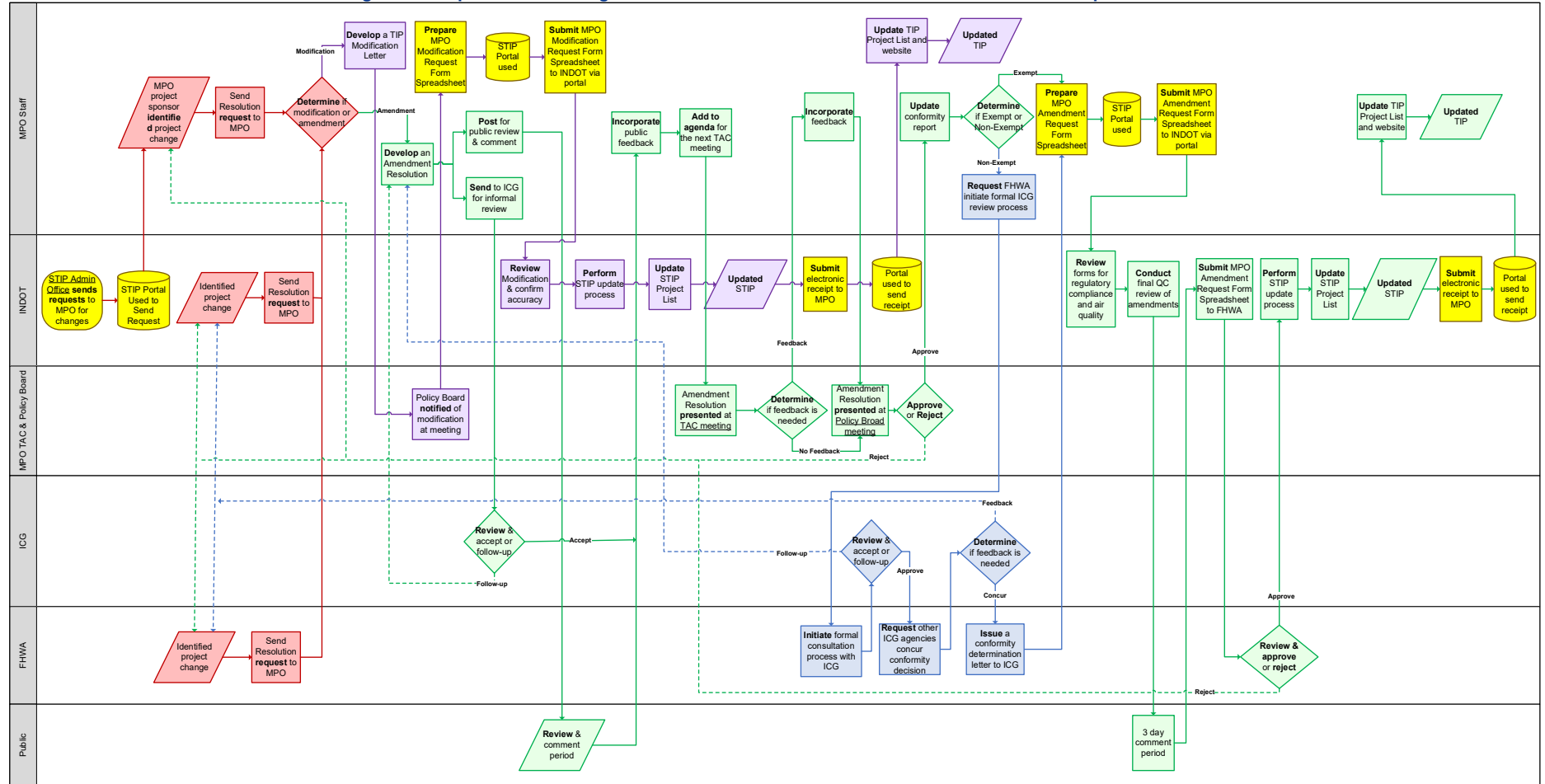
INDOT is in the process of developing a STIP Portal to serve as a centralized platform for the MPOs to submit their TIPs during development of the STIP, as well as amendment and modification requests. The intent of the Portal is to centralize how amendments and modifications are submitted, standardize the data submitted by the MPOs during the amendments and modifications process, improve communications amongst relevant stakeholders, and increase automation during the STIP and TIP updates process.

Although the Portal is still in development, the following process map visualizes how the Portal will be used to better manage the amendments and modifications process. Improvements represented in the process map below are intended to be implemented in the long-term timeframe (i.e., by end of calendar year 2023).

⁶⁷ INDOT may choose to notify FHWA of the change after multiple STIP modifications have occurred.



Figure 13: Representative Long-Term Future State Amendment / Modification Process Map



LEGEND	
 	Proposed Change
 	Exempt Amendment
 	Non-Exempt Amendment
 	Modification
 	Long-Term Improvement
 	Data
 	Process
 	Decision
 	Document
 	Terminator



Reviewing & Updating the STIP Manual

This section describes INDOT's current and future planned initiatives to improve the STIP process, as well as processes and procedures for reviewing and updating the STIP Manual.

Planned Initiatives for the STIP

The STIP Administration Office has identified the following planned initiatives to improve upon this manual and the overall management of the STIP process. These initiatives, if implemented successfully, should help increase the efficiency and effectiveness in the bi-annual STIP update process, process around amendments and modifications, and will further augment INDOT's overarching asset management program.

The following table lists INDOT's planned initiatives for the STIP, key stakeholders/owners of the initiative, and anticipated timeline or duration of the initiative. Note that the tasks listed below are representative only of INDOT's currently planned initiatives and are by no means exhaustive of all improvement efforts that can or should be taken. INDOT should plan for and implement supplemental initiatives as additional areas for improvement arise.

Table 21: Planned Improvements to the STIP

#	Initiative	Responsible Party	Timeline
1	STIP Portal – Development of an online portal for the MPOs to submit amendment and modification requests to the TIP, as well as the annual call program.	INDOT STIP Administration Office	In Progress
2	Amendments and Administrative Modifications – Coordination with the MPOs to standardize definitions and thresholds for how the MPOs classify amendments and administrative modifications.	INDOT STIP Administration Office	Not Started
3	Amendments and Administrative Modifications – Implementing a standardized process for what data is required when submitting an amendment and modification request.	INDOT STIP Administration Office	In Progress

Reviewing and Updating the STIP Manual

The STIP Manual is not a static document. As such, it is important that the manual and its contents be reviewed and updated on a regular basis. At a minimum, The STIP Manual should be reviewed annually to monitor existing policies and processes and document changes to processes where needed. INDOT's Planning Manager, STIP Administration Office shall be responsible for reviewing the manual and shall provide recommendations for any updates to the document and its content and appendices. The Planning Manager shall make recommendations in consultation with members of the STIP Administration Office, Office of Technical Planning, Grants Division, District Offices, and Finance Division, where necessary. The Planning Manager shall be responsible for ensuring that updates are disseminated and communicated to the appropriate stakeholders, including members of the STIP Administration Office, Asset Teams, Central Office, Districts, etc.

If any updates to the manual are associated with updates made to the overarching process for development of the STIP and/or process for submitting and reviewing/approving modifications and amendments, INDOT's



STIP Administration Office shall also be responsible for communicating updates to the MPOs and other relevant external stakeholders.

Appendix



1. List of Definitions

3C Process: Continuing, cooperative, and comprehensive planning process

A1 Category Roads: Typically, high volume, urban interstate pavement sections with Average Annual Daily Traffic (AADT) over 40,000.

A2 Category Roads: Typically, rural interstates pavement sections with AADT less than 40,000.

Administrative Modification (or Modification): Per 23 CFR 450.104, "A minor revision to a long-range statewide or metropolitan transportation plan, Transportation Improvement Program (TIP), or Statewide Transportation Improvement Program (STIP) that includes minor changes to project/project phase costs, minor changes to funding sources of previously included projects, and minor changes to project/project phase initiation dates. An administrative modification is a revision that does not require public review and comment, a redemonstration of fiscal constraint, or a conformity determination (in nonattainment and maintenance areas)."

Advance Construction (AC): The advanced authorization of the cost of a project in the TIP and STIP by the FHWA, enabling the Project segment to proceed without obligating current to 23 U.S.C. 115.

Air Quality Area: A geographic area that the EPA has designated as non-attainment for one or more of the National Ambient Air Quality Standards. The geographic areas include generally entire counties or specific townships within a county.

Amendment: Per 23 CFR 450.104, "A revision to a long-range statewide or metropolitan transportation plan, TIP, or STIP that involves a major change to a project included in a metropolitan transportation plan, TIP, or STIP, including the addition or deletion of a project or a major change in project cost, project/project phase initiation dates, or a major change in design concept or design scope (e.g., changing project termini or the number of through traffic lanes or changing the number of stations in the case of fixed guideway transit projects). Changes to projects that are included only for illustrative purposes do not require an amendment. An amendment is a revision that requires public review and comment and a redemonstration of fiscal constraint. If an amendment involves "non-exempt" projects in nonattainment and maintenance areas, a conformity determination is required."

Arterial Highway: A highway designed primarily for through traffic, usually on a continuous route

Attainment Area: Per 23 CFR 450.104, "Any geographic area in which levels of a given criteria air pollutant (e.g., ozone, carbon monoxide, PM₁₀, PM_{2.5}, and nitrogen dioxide) meet the health-based National Ambient Air Quality Standards (NAAQS) for that pollutant. An area may be an attainment area for one pollutant and a non-attainment area for others. A "maintenance area" (see definition in this section) is not considered an attainment area for transportation planning purposes." A term used for geographic areas that have not exceeded one or more of the NAAQS.

Available Funds: Per 23 CFR 450.104, "Funds derived from an existing source dedicated to or historically used for transportation purposes. For Federal funds, authorized and/or appropriated funds and the extrapolation of formula and discretionary funds at historic rates of increase are considered "available." A similar approach may be used for State and local funds that are dedicated to or historically used for transportation purposes."

Average Annual Daily Traffic (AADT): A measurement used in transportation planning and engineering, equating to the total volume of vehicle traffic on a road over one year divided by 365 days.

Average Annual Daily Truck Traffic (AADTT): A measurement used in transportation planning and engineering, equating to the total volume of truck traffic on a road over one year divided by 365 days.

B1 Category Roads: Typically, higher volume principal arterials/freeways with AADT over 5,000 per lane.

B2 Category Roads: Typically, lower volume principal arterials/freeways with AADT less than 5,000 per lane.



C1 Category Roads: Typically, arterial or collector routes in small urban areas with AADT over 5,000.

C2 Category Roads: Typically, rural, lower volume arterial or collector routes with AADT less than 5,000.

Call Program: The annual planning process for reviewing candidate investments with needs to add to the 20-year plan, five years in the future.

Capital Expenditures (CAPEX): Funds used to acquire a new asset or maintain/improve an existing asset with the intent to extend the service life of the asset.

Centerline Mile: Represents the total length of the roadway from the beginning to the end point in one direction.

Commissioner: Refers to the commissioner of the Department.

Committed Funds: Per 23 CFR 450.104, "Funds that have been dedicated or obligated for transportation purposes. For State funds that are not dedicated to transportation purposes, only those funds over which the Governor has control may be considered "committed." Approval of a TIP by the Governor is considered a commitment of those funds over which the Governor has control. For local or private sources of funds not dedicated to or historically used for transportation purposes (including donations of property), a commitment in writing (e.g., letter of intent) by the responsible official or body having control of the funds may be considered a commitment. For projects involving [49 U.S.C. 5309](#) funding, execution of a Full Funding Grant Agreement (or equivalent) or an Expedited Grant Agreement (or equivalent) with the DOT shall be considered a multiyear commitment of Federal funds."

Conformity: Per 23 CFR 450.104, "Clean Air Act ([42 U.S.C. 7506\(c\)](#)) requirement that ensures that Federal funding and approval are given to transportation plans, programs and projects that are consistent with the air quality goals established by a State Implementation Plan (SIP). Conformity to the purpose of the SIP means that transportation activities will not cause new air quality violations, worsen existing violations, or delay timely attainment of the NAAQS or any required interim emission reductions or other milestones in any nonattainment or maintenance area. The transportation conformity regulations ([40 CFR part 93, subpart A](#)) sets forth policy, criteria, and procedures for demonstrating and assuring conformity of transportation activities."

Conformity Lapse: Per 23 CFR 450.104, "Pursuant to section 176(c) of the Clean Air Act ([42 U.S.C. 7506\(c\)](#)), as amended, that the conformity determination for a metropolitan transportation plan or TIP has expired and thus there is no currently conforming metropolitan transportation plan or TIP."

Congestion Management Process: Per 23 CFR 450.104, "A systematic approach required in transportation management areas (TMAs) that provides for effective management and operation, based on a cooperatively developed and implemented metropolitan-wide strategy, of new and existing transportation facilities eligible for funding under title 23 U.S.C., and title 49 U.S.C., through the use of travel demand reduction and operational management strategies."

Construction: Project phase consisting of physical building activities, approved roadway and transit construction activities and costs.

Cooperation: Per 23 CFR 450.104, "Means that the parties involved in carrying out the transportation planning and programming processes work together to achieve a common goal or objective."

Coordination: Per 23 CFR 450.104, "Means the cooperative development of plans, programs, and schedules among agencies and entities with legal standing and adjustment of such plans, programs, and schedules to achieve general consistency, as appropriate."

County Arterial Highway System: A system of highways designated by the county highway authority as having the greatest general importance to the county and for which responsibility is assigned to the county highway authority.

County Local Highway System: The roads and streets used primarily for access to residence, business, farm, or other abutting property and for which responsibility is assigned to the county highway authority.



Department: Refers to the Indiana Department of Transportation established under the Indiana Code (IC 8-23-2-1).

Design Concept: Per 23 CFR 450.104, "The type of facility identified for a transportation improvement project (e.g., freeway, expressway, arterial highway, grade-separated highway, toll road, reserved right-of-way rail transit, mixed-traffic rail transit, or busway)."

Design Scope: Per 23 CFR 450.104, "The aspects that will affect the proposed facility's impact on the region, usually as they relate to vehicle or person carrying capacity and control (e.g., number of lanes or tracks to be constructed or added, length of project, signalization, safety features, access control including approximate number and location of interchanges, or preferential treatment for high-occupancy vehicles)."

Designated Recipient: Per 23 CFR 450.104, "Means an entity designated, in accordance with the planning process under [49 U.S.C. 5303](#) and [5304](#), by the Governor of a State, responsible local officials, and publicly owned operators of public transportation, to receive and apportion amounts under [49 U.S.C. 5336](#) that are attributable to urbanized areas of 200,000 or more in population, or a State or regional authority if the authority is responsible under the laws of a State for a capital project and for financing and directly providing public transportation."

Donut Area: Geographic areas outside of an MPO's metropolitan planning area boundary, but inside the boundary of a nonattainment or maintenance area that contains any part of a metropolitan area. Most non-attainment and maintenance air quality conformity area boundaries coincide with an MPO's Metropolitan Planning Area (MPA), while others are larger than the MPA. That portion of a conformity area that is located outside of the MPA is called the "Donut Area".

Federally Funded Non-Emergency Transportation Services: Per 23 CFR 450.104, "Transportation services provided to the general public, including those with special transport needs, by public transit, private non-profit service providers, and private third-party contractors to public agencies."

Financial Plan: Per 23 CFR 450.104, "Documentation required to be included with a metropolitan transportation plan and TIP (and optional for the long-range statewide transportation plan and STIP) that demonstrates the consistency between reasonably available and projected sources of Federal, State, local, and private revenues and the costs of implementing proposed transportation system improvements."

Financial (or Fiscal) Constraint: Per 23 CFR 450.104, "Means that the metropolitan transportation plan, TIP, and STIP includes sufficient financial information for demonstrating that projects in the metropolitan transportation plan, TIP, and STIP can be implemented using committed, available, or reasonably available revenue sources, with reasonable assurance that the federally supported transportation system is being adequately operated and maintained. For the TIP and the STIP, financial constraint/fiscal constraint applies to each program year. Additionally, projects in air quality nonattainment and maintenance areas can be included in the first 2 years of the TIP and STIP only if funds are 'available' or 'committed.'"

Highway Safety Improvement Program (HSIP): Per 23 CFR 450.104, "State safety program with the purpose to reduce fatalities and serious injuries on all public roads through the implementation of the provisions of [23 U.S.C. 130](#), [148](#), and [150](#) including the development of a Strategic Highway Safety Plan (SHSP), Railway-Highway Crossings Program, and program of highway safety improvement projects."

Highway, street, or road: Means a public way for purposes of vehicular traffic, including the entire area within the right-of-way. However, the term does not include a highway.

Interagency Consultation Group (ICG): The ICG shall include, at a minimum, the following agencies: The MPO in question; the FHWA; FTA; the EPA; the IDEM; and INDOT. The ICG may include local air agencies, where appropriate.

ICG Consultation: A formal process where the ICG makes a determination as to whether or not a transportation project is "Regionally Significant" (non-exempt) and thereof subject to an air quality conformity analysis and determination.

Illustrative Project: Per 23 CFR 450.104, "An additional transportation project that may be included in a financial plan for a metropolitan transportation plan, TIP, or STIP if reasonable additional resources were to become available."



Indian Tribal Government: Per 23 CFR 450.104, “A duly formed governing body for an Indian or Alaska Native tribe, band, nation, pueblo, village, or community that the Secretary of the Interior acknowledges to exist as an Indian Tribe pursuant to the Federally Recognized Indian Tribe List Act of 1994, Public Law 103-454.”

Interim Metropolitan Transportation Plan: Per 23 CFR 450.104, “Means a transportation plan composed of projects eligible to proceed under a conformity lapse and otherwise meeting all other applicable provisions of this part, including approval by the MPO.”

Interim Transportation Improvement Program (TIP): Per 23 CFR 450.104, “Means a TIP composed of projects eligible to proceed under a conformity lapse and otherwise meeting all other applicable provisions of this part, including approval by the MPO and the Governor.”

Interstate system: Means the part of the national system of interstate and defense highways located within Indiana as officially designated by the department and approved by the United States Secretary of Commerce under 23 U.S.C.

Lane Mile: Calculation of the centerline miles multiplied by the number of lanes.

Long Range Statewide Transportation Plan: Per 23 CFR 450.104, “The official, statewide, multimodal, transportation plan covering a period of no less than 20 years developed through the statewide transportation planning process.”

Maintenance Area: Per 23 CFR 450.104, “Any geographic region of the United States that the Environmental Protection Agency (EPA) previously designated as a nonattainment area for one or more pollutants pursuant to the Clean Air Act Amendments of 1990, and subsequently redesignated as an attainment area subject to the requirement to develop a maintenance plan under section 175A of the Clean Air Act, as amended ([42 U.S.C. 7505a](#)).”

Metropolitan Planning Agreement: Per 23 CFR 450.104, “A written agreement between the MPO, the State(s), and the providers of public transportation serving the metropolitan planning area that describes how they will work cooperatively to meet their mutual responsibilities in carrying out the metropolitan transportation planning process.”

Metropolitan Planning Area: Geographic area where projects must first be included in an MPO TIP prior to being added to the State STIP.

Metropolitan Planning Organization: Organizations that serve transportation planning needs in large urban areas, technically defined as metropolitan planning areas which the Census identifies as having over 50,000 in population and defines as an Urbanized Area plus the surrounding area expected to become urban in the next 20 years.

Metropolitan Transportation Plan: Per 23 CFR 450.104, “The official multimodal transportation plan addressing no less than a 20-year planning horizon that the MPO develops, adopts, and updates through the metropolitan transportation planning process.”

National Ambient Air Quality Standard (NAAQS): Standards established pursuant to Section 109 of the Clean Air Act (42 U.S.C. 7409).

National Highway System (NHS): Roadway network developed by the Department of Transportation in cooperation with the states, local officials, and metropolitan planning organizations (MPOs) that includes the Interstate Highway System and other roads important to the nation’s economy, defense, and mobility.

Nonattainment Area: Geographic region that the U.S. EPA designates as a nonattainment area under Section 107 of the Clean Air Act (42 U.S.C. 7407) for any pollutants for which a NAAQS exists.

Obligated Projects: Per 23 CFR 450.104, “Strategies and projects funded under title 23 U.S.C. and title 49 U.S.C. Chapter 53 for which the State or designated recipient authorized and committed the supporting Federal funds in preceding or current program years and authorized by the FHWA or awarded as a grant by the FTA.”



Operations & Maintenance (O&M): Activities used towards daily business operations or maintenance of the assets.

Operating Expenditures (OPEX): Expenses towards day-to-day or routine activities incurred to keep business operational.

Performance Measure: Defined as “Measure” in [23 CFR 490.101](#).

Performance Metric: Defined as “Metric” in [23 CFR 490.101](#).

Performance Target: Defined as “Target” in [23 CFR 490.101](#).

Preliminary Engineering: Project phase consisting of engineering analysis and design work to develop specifications, cost estimates to get a project to physical construction. PE can bring plans to 30% complete or lead to final design plans that are 100% complete.

Project Selection: Per 23 CFR 450.104, “Procedures followed by MPOs, States, and public transportation operators to advance projects from the first 4 years of an approved TIP and/or STIP to implementation.”

Regional Planning Organization: Organizations responsible for economic development planning and conduct transportation planning as part of INDOT’s Small Urban and Rural Assistance Planning Assistance Program.

Regionally Significant: Projects serving regional transportation needs and of sufficiently significant scale. Defined by 23 CFR 450.104 as, “Regionally Significant project means a transportation project (other than projects that may be grouped in the TIP and/or STIP or exempt projects as defined in EPA’s transportation conformity regulation (40 CFR part 93)) that is on a facility which serves regional transportation needs (such as access to and from the area outside the region; major activity centers in the region; major planned developments such as new retail malls, sports complexes, or employment centers; or transportation terminals) and would normally be included in the modeling of the metropolitan area’s transportation network. At a minimum, this includes all principal arterial highways and all fixed guideway transit facilities that offer a significant alternative to regional highway travel.”

Right of Way (phase): Project phase consisting of land acquisition activities, right of way costing, and related activities.

Right of Way: Also refers to the easement granted over the land for transportation purposes.

Road Category: INDOT’s methodology for categorizing the roadway network as functional classification, traffic volume, risk profile and level of service/performance.

South Coast II Court Decision: A Federal Court decision which brought back air quality conformity determination requirement for the EPA’s 1997 ozone standard.

State Highway System: The system of highways and streets that are of general economic importance to Indiana as a whole and for which responsibility is assigned to the department.

State Highway Safety Plan: Multi-year, comprehensive, data-driven plan developed by the State DOT per 23 U.S.C. 148.

State Implementation Plan (SIP): As defined in section 302(q) of the Clean Air Act (CAA) ([42 U.S.C. 7602\(q\)](#)), “the portion (or portions) of the implementation plan, or most recent revision thereof, which has been approved under section 110 of the CAA ([42 U.S.C. 7410](#)), or promulgated under section 110(c) of the CAA ([42 U.S.C. 7410\(c\)](#)), or promulgated or approved pursuant to regulations promulgated under section 301(d) of the CAA ([42 U.S.C. 7601\(d\)](#)) and which implements the relevant requirements of the CAA.” In order to improve the air quality of an area that has been designated as non-attainment to one or more of the NAAQS, states must draft a plan known as a State Implementation Plan (SIP) to improve the air quality in nonattainment areas. The SIP outlines the measures that the state will take to improve air quality.

State Transportation Block Group (STBG) Group I: Program applies to all Urbanized Areas with population at or greater than 200,000.



State Transportation Block Group (STBG) Group II: Program applies to all Urbanized Areas with population at or greater than 50,000 but less than 200,000.

State Transportation Block Group (STBG) Rural: Program applies to cities and towns with populations over 5,000 but less than 50,000.

State Transportation Block Group (STBG) Group IV: Program applies to all counties and cities and towns with populations less than 5,000.

STIP: The Statewide Transportation Improvement Program is a complete list and description of all Regionally Significant transportation projects requiring an action by FHWA or FTA regardless of how the projects are funded. Projects that are to be advanced by year for the new four-year period.

Transit Asset Management Plan: Per 23 CFR 450.104, "A Plan that includes an inventory of capital assets, a condition assessment of inventoried assets, a decision support tool, and a prioritization of investments."

Transportation Control Measure (TCM): Per 23 CFR 450.104, "Means any measure that is specifically identified and committed to in the applicable SIP, including a substitute or additional TCM that is incorporated into the applicable SIP through the process established in CAA section 176(c)(8), that is either one of the types listed in section 108 of the CAA ([42 U.S.C. 7408](#)) or any other measure for the purpose of reducing emissions or concentrations of air pollutants from transportation sources by reducing vehicle use or changing traffic flow or congestion conditions. Notwithstanding the above, vehicle technology-based, fuel-based, and maintenance-based measures that control the emissions from vehicles under fixed traffic conditions are not TCMs."

Transportation Improvement Program (TIP): A federally required, fiscally constrained prioritized list or program of transportation projects over four-years. TIPs are developed by an MPO and are required for projects to be eligible for funding by 23 U.S.C. and 49 U.S.C. Chapter 53.

Transportation Management Area (TMA): Urbanized area with a population over 200,000 per the Census and designated by the Secretary of Transportation, or any additional area where TMA designation is requested by the Governor and MPO and designated by the Secretary of Transportation.

Transportation Plan: Means a statement evaluating transportation policy objectives and projecting specific long range comprehensive actions to accomplish policy objectives.

Unified Planning Work Program (UPWP): Per 23 CFR 450.104, "A statement of work identifying the planning priorities and activities to be carried out within a metropolitan planning area. At a minimum, a UPWP includes a description of the planning work and resulting products, who will perform the work, time frames for completing the work, the cost of the work, and the source(s) of funds."

Urban Area: Refers to:

- (1) an urbanized area designated by the Bureau of the Census;
- (2) if an urbanized area lies within more than one (1) state, the part of the area that lies within the boundaries of Indiana; or
- (3) an urban place designated by the Bureau of the Census having a population of at least five thousand (5,000) that is not within an urbanized area and is within boundaries cooperatively established by the department and local officials.

Work Program: Schedule of steps to be followed in implementing a transportation plan, including the following:

- (1) A description of the sequence of steps.
- (2) The time limit within which each step is to be completed.
- (3) The product of each step.
- (4) The staff and resources required.



2. INDOT/MPO Amendment Procedure⁶⁸

INDOT/MPO Amendment Process

INDOT, with FHWA approval have developed a new, more streamlined process in how MPO amendment and modification requests will be handled. We feel this will be a benefit for the MPO's, being able to get their approvals in a timelier fashion. All projects, state and local, within an MPO area will be handled in accordance with the MPO's current approved procedures. Once approved through the policy and or technical committees the MPO will submit their approved request using the following steps below.

- MPO's will provide the attached spreadsheet containing all project information included in the amendment or modification.
 1. For TIP amendment, MPO's will populate the amendment tab of the workbook with all requested information populated (if applicable).
 2. For TIP Modifications, MPO's will populate the modification tab of the workbook in the same manner.
 3. Those MPO's who group project in their TIP's will need to designate those projects that fall under your approved grouping process so they can be separated as part of INDOT's approved STIP amendment/modification process.
- Once the spreadsheet is completed, please package in the following format; excel workbook in an excel format (not PDF) and any additional information required (Resolution, letters, updated TIP pages, etc).
- Please submit your amendment/modification packet to the following email address: STIP@indot.in.gov
- INDOT STIP Administration office will receive the individual MPO packets and will combine the spreadsheets into one master list.

The STIP Administration Office will then review for completeness and correctness, assuring all regulatory requirements have been met and assuring the meeting of Air Quality Conformity and Public Involvement

The MPO's will submit to the STIP Admin Office packets by the 20th of every month (if the 20th falls on a holiday or weekend the next business day)

- The STIP Administration Office will review and combine all Modification and Amendment requests received.
- Each Monthly Amendment or Modification will be numbered separately
- The 27th of every month if the 27th falls on a holiday or weekend the next business day) INDOT will post the individual amendment on INDOT's website for a period of 3 days for public comment.
- Once the comment period lapses amendment request will be forwarded to FHWA for review and approval.

⁶⁸ As of 3/29/23



- By the 30th of each month, INDOT will post the individual STIP modification to the STIP website.
- Once approval is received from FHWA an email notification will be sent to each MPO with a copy of the master list showing which project were included on said amendment.
- INDOT will keep an updated listings on the STIP website for all approved MPO amendments as well as all MPO modifications with individual approvals for reference.
- After receiving FHWA approval for amendments, INDOT STIP Administration will send email notification to all MPO's with FHWA's approval letter and the master list of projects included in the approved information

Amendment resolution and/or requests that are received after the 20th of every month will be processed w/the next month's amendment.



Instructions

STIP Amendment/ Administrative Modification Requests

Description of Information Required:

Column A:	Sponsor	A drop-down menu has been provided that lists STATE/FEDERAL, CITIES/TOWNS, COUNTIES or MPOs. Please select the sponsor from this list. Also, please highlight this cell as either GREEN for Amendment or YELLOW for Administrative Modification
Column B:	DES	DES number assigned to the project or Corridor ID for Major Project
Column C:	Route Number	This is the road number or name or the local road name
Column D:	Work Type	Select the work type from the drop-down menu. Work Type should be consistent with SPMS schedule.
Column E:	Location	This should include enough information to readily determine the geographic location of the project, such as termini, road names, structures, waters crossed over, etc.
Column F:	County	Select the lead county the project starts in; following the South to North and West to East convention of beginning and ending of projects
Column G:	District	Select from the drop-down list provided. This is one of the 6 INDOT Districts: (Crawfordsville, Ft. Wayne, Greenfield, LaPorte, Seymour, or Vincennes), Toll Road or Multiple Districts
Column H:	Miles	Length of project if applicable
Column I:	Federal Category	The funding for the project phase should be from one of the following programs: NHS, STP, CMAQ, TE, RTP, BR, IM, HSIP, SRTS, TCSP, SPR, ITS, FL, NSBP, NHCBP, Transit, Section 130, NCPDP or DEM. A description of each of the acronyms is located in the Federal Category Tab.
Column J:	Asset Program	All STATE projects fall within one of the following asset groups listed in the drop down menu: Bridge, Mobility, Roadway, Safety, Statewide, or District Discretionary. If local or transit project, please leave cell blank
Column K:	Phase	Select the phase from the drop-down list provided. This is one of the following: PE (Preliminary Engineering), RW (Right of Way), or CN (Construction). If a local project with CE, it should be incorporated into the CN. If a state project with CE, it should be incorporated into the PE. If Utilities are done with a consultant it should be incorporated into PE. If utilities are done by state, it should be incorporated into CN.
Column L:	Federal	Federal Dollar Amount
Column M:	Match	Match Dollar Amount,
Column N - Q	2012-2015	Total dollar amount in year project phase is programmed.
Column R:	Estimated Cost Left to Complete Project	This is the cost that may extend beyond the four years of the STIP and is a federal requirement for projects in the TIPs and the STIPs. If the construction (CN) is already included in the STIP or is currently being amended into the STIP, it is not necessary to provide this cost.



Column S:	Remarks	Additional information on projects will be incorporated into SPMS project log. This is important information not only for historical purposes but also for processing a project. For example: projects that are located in an MPO should have the current TIP listed in the remarks along with the TIP Resolution Number. This information is necessary for processing environmental documents.
Column T:	MPO	If the project phase is within an MPO jurisdiction and is in their TIP, please select the correct MPO acronym from the drop down menu. The full MPO's title is located in the "MPO Names" tab.
Column U - X	Start and End for Latitude and Longitude	Necessary for TIP amendments
Column Y	Letting Date	Current date scheduled for project letting for only those projects that are on the most current 18 month letting list.

MPO Names

<u>MPO Names</u>	<u>Acronym</u>
Madison County Council of Governments	MCCOG
Bloomington/Monroe County Metropolitan Planning Organization	BMCMPO
Ohio/Kentucky/Indiana Regional Council of Governments	OKI
Columbus Area Metropolitan Planning Organization	CAMPO
Evansville Metropolitan Planning Organization	EMPO
Northeastern Indiana Regional Coordinating Council	NIRCC
Indianapolis Metropolitan Planning Organization	IMPO
Kokomo/Howard County Governmental Coordinating Council	KHCGCC
Tippecanoe County Area Plan Commission	TCAPC
Kentuckiana Regional Planning and Development Agency	KIPDA
Delaware/Muncie Metropolitan Plan Commission	DMMPC
Northwestern Indiana Regional Planning Commission	NIRPC
Michiana Area Council of Governments	MACOG
West Central Indiana Economic Development District	WCIEDD



Amend OR Mod

Color Coding For Amendment of Administrative Modification

Color coding is used for designating a project phase as either an Amendment (GREEN) or/and Administrative Modification (YELLOW). Multiple amendments and modifications can be placed in one spreadsheet. Please remember that when moving a project into the STIP from a year outside the current STIP, an amendment is required. Several MPOs have current TIPs that include years outside of current STIP and they may handle this situation as an Administrative Modification to their TIP. However, for the STIP it will need to be processed as an amendment.

Federal Category

NHPP	National Highway System
STBG	Surface Transportation Program
CMAQ	Congestion Mitigation and Qir Quality
TAP	Transportation Enhancement
RTP	Recreational Trail Program
BR	Bridge
IM	Interstate Maintenance
HSIP	Highway Safety Improvement Program
SRTS	Safe Routes to School
TCSP	Transportation, Community and System Preservation
SPR	Statewide Planning Program
ITS	Intelligent Transportation System
FL	Federal Lands/Forest Highway
NSBP	National Scenic Byway Program
NHCBP	National Historic Covered Bridge Program
Transit	Covers all sections of Transit Funding
Section 130	Section 130 Rail
NCPDP	National Corridor Planning and Development Program
DEMO	Demonstration Project (Earmark)

Phase

PE
RW
CN
CE



Asset Program

Bridge
Safety
Roadway
Mobility
Statewide
District Discretionary

SPMS Work Types

Access Control
Added Travel Lanes
Added Travel Lanes, Composite
Added Travel Lanes, Construct Turn Lanes
Added Travel Lanes, HMA
Added Travel Lanes, PCC
Arch Reconstruction Or Repair
Asphalt Patching
Auxiliary Lanes, Accel & Decel or Turn Lanes
Auxiliary Lanes, Passing
Auxiliary Lanes, Truck Climbing Lanes
Auxiliary Lanes, Two-way Left Turn Lanes
Auxiliary Lane Construction
Auxiliary Lanes
Barrier Wall
Beautification / Wildflowers
Bike/Pedestrian Facilities
Box Culvert Replacement
Br Repl, Cast In Place Box Culvert
Br Repl, Comp. Cont. Conc. Construction
Br Repl, Comp.Cont.Precast Conc. Beam
Br Repl, Comp.Cont.Pres.Conc. I-Beam
Br Repl, Comp.Cont.Pres.Conc.Box Beam
Br Repl, Comp.Cont.Pres.Conc.Bulb T-Beam
Br Repl, Comp.Cont.Steel Beam
Br Repl, Comp.Cont.Steel Box Girder
Br Repl, Comp.Cont.Stl.Gdr(Wld Plate)
Br Repl, Comp.Steel Beam (Simple Span)
Br Repl, Comp.Stl.Gdr.(Wld Plt,Smpl.Spn)
Br Repl, Conc. Beam Construction
Br Repl, Cont, Pres. Conc. Bulb T-Beam(SMPL)
Br Repl, Cont. Pres. Conc. Box Beam



Br Repl, Cont. Rc Slab
Br Repl, Covered Bridge
Br Repl, P.T. Conc. Box Girder
Br Repl, P.T.Comp.Cont.Pres.Conc.I-Beam
Br Repl, P.T.Comp.Cont.Pres.Conc.T-Bulb
Br Repl, Pipe Arch
Br Repl, Post Tension Conc. Construction
Br Repl, Precast 3 Sided Culvert
Br Repl, Precast Box Culvert
Br Repl, Pres.Conc.Box Beam(Smpl.Span)
Br Repl, Pres.Conc.I-Beam(Simple Span)
Br Repl, Rc Box - Under Fill
Br Repl, Rc Slab - Under Fill
Br Repl, Rc Slab (Simple Span)
Br Repl, Reinforced Conc. Construction
Br Repl, Steel Deck Truss
Br Repl, Steel Girder
Br Repl, Steel Thru Truss
Br Repl, Steel Truss
Br Repl, Timber Bridge
Br Repl, Welded Girder Rigid Frame
Br Repl, Welded Steel Thru Girder
Bridge Channel Correction
Bridge Cleaning
Bridge Deck Barrier Wall
Bridge Deck Overlay
Bridge Deck Patching
Bridge Deck Reconstruction
Bridge Deck Reconstruction & Widening
Bridge Deck Replacement
Bridge Deck Replacement & Widening
Bridge Deck Sealing
Bridge Inspections
Bridge Maintenance And Repair
Bridge Painting
Bridge Rehabilitation Or Repair
Bridge Removal
Bridge Repl, Comp Steel Construction
Bridge Repl, P.T. Conc. Slab
Bridge Replacement, Concrete
Bridge Replacement, Other Construction
Bridge Replacement, Pipe Arch Or Culvert
Bridge Replacement, Special



Bridge Replacement, Steel
Bridge Widening
Brush Control
Buildings
Cable Rail Barrier Maintenance or Repair
Canals / Locks & Dams
Centerline & Edge Line Rumble Stripes Installation
Centerline Rumble Stripes Installation
Channel Clearing And Protection
Channel Realign And Reshape
Closed Loop Interconnect System
Concrete Pavement Restoration (CPR)
Construct ADA Approved Sidewalk Ramps
Construct Weigh Station
Covered Bridge Rehabilitation
Crack & Seat Composite Pavement & HMA Overlay
Crack & Seat PCCP & HMA Overlay
Crack & Seat PCCP & HMA Overlay
Crack Sealing
Culvert Clean And Repair
Curve Correction
Curve Sign and Marking Visibility Improvements
Debris Removal From Channel
Demolition
Demolition, Remove Buildings, Foundations
District Wide Bridge Maintenance
Ditch Relocation
Drainage Ditch Correction
Drainage Inspection and Cleaning
Dual Lane Existing Route
Edge Line Rumble Stripes Installation
Enhancement
Environmental Mitigation
Erosion Control
Fence Replacement Or Repair
Flashers, Modernize
Freeway Traffic Control System
Glare Screen And/Or Extensions
Guard Rail Attenuators, New Or Modernize
Guardrail, Maintenance
Guardrail, Maintenance Or Repair
Historical Site Preservation
HMA Functional Overlay on PCCP



HMA Overlay, Functional
HMA Overlay, Preventive Maintenance
HMA Overlay, Structural
Horizontal Sight Correction
Install Lighting
Install Loop Detector
Install New Cable Rail Barriers
Install New Continuous Lighting
Install New Guard Rail
Install New Small Structure
Institution & Park Road Maintenance
Intelligent Transportation Systems (Its)
Interchange Modification
Interchange Modification, Multi-Level
Intersect. Improv. W/ Added Turn Lanes
Intersect. Improv. W/ New Signals
Intersection Improvement, Roundabout
Its Communications Systems
Its Devices Maintenance Contracts
Its Operations And Maintenance Contracts
Its Program Contracted Services
Its Program Equipment
Its Traffic Management Systems
Its Traffic Monitoring Systems
Its Traveler Information's Systems
Landscaping
Lighting
Lighting Installation / Maintenance
Lighting Maintenance
Line, Paint
Line, Preformed Plastic
Line, Thermoplastic
Lower Pavement
Lower Pavement
Median Construction
Mitigate Runoff Pollution
Mod Traf Flow Detection Devices/Hardware
Modernize Continuous Lighting
Modernize Dynamic Message Sign (Dms)
Modernize Dynamic Message Sign (Har)
Modernized Communications Towers
Modernized Fiber Optic Systems
Modernized Wireless Communication System



New Barrier Wall
New Br, Cast In Place Box Culvert
New Br, Comp. Cont. Conc. Constr.
New Br, Comp. Cont.Stl.Gdr (Wld.Plate)
New Br, Comp. Steel Construction
New Br, Comp.Cont.Precast Conc.Beam
New Br, Comp.Cont.Pres.Conc.Box Beam
New Br, Comp.Cont.Pres.Conc.Bulb T-Beam
New Br, Comp.Cont.Pres.Conc.I-Beam
New Br, Comp.Cont.Steel Beam
New Br, Comp.Cont.Steel Box Girder
New Br, Comp.Steel Beam-Simple Span
New Br, Comp.Stl.Gdr.(Wld Plt,Smpl.Span)
New Br, Conc Beam Construction
New Br, Cont. Rc Slab
New Br, Cont.Pres.Conc.Box Beam
New Br, Covered Bridge
New Br, P.T. Conc.Box Girder
New Br, P.T.Comp.Cont.Pres.Conc.Bulb T
New Br, P.T.Comp.Cont.Pres.Conc.I-Beam
New Br, Pipe Arch
New Br, Pipe Arch Or Culvert
New Br, Post Tension Conc. Construction
New Br, Precast 3 Sided Culvert
New Br, Precast Box Culvert
New Br, Pres.Conc. I-Beam (Simple Span)
New Br, Pres.Conc.Box Beam-Simple Span
New Br, Rc Box - Under Fill
New Br, Rc Slab - Under Fill
New Br, Rc Slab (Simple Span)
New Br, Reinforced Concrete Construction
New Br, Special
New Br, Steel Deck Truss
New Br, Steel Girder
New Br, Steel Thru Truss
New Br, Steel Truss
New Br, Timber Bridge
New Br, Welded Girder Rigid Frame
New Br, Welded Steel Thru Girder
New Bridge Special Construction
New Bridge, Concrete Construction
New Bridge, Other
New Bridge, Other Construction



New Bridge, Steel Construction
New Communication Towers
New Dynamic Message Sign (Dms)
New Fiber Optic Systems
New Flasher Installation
New Highway Advisory Radio (Har)
New Interchange Construction
New Interchange, Multi-Level
New Road Construction
New Road Construction, Aggregate
New Road Construction, Composite
New Road Construction, HMA
New Road Construction, PCC
New Road, Aggregate Paving Only
New Road, Composite Paving Only
New Road, Grading Only
New Road, HMA Paving Only
New Road, Paving Only
New Road, PCC Paving Only
New Sign Installation
New Signal Installation
New Traf Flow Detection Devices/Hardware
New Wireless Communications Systems
Noise Abatement
Other Intersection Improvement
Other Roadside Maintenance
Other Sewer/Curb/Gutter Construction
Other Type Project (Miscellaneous)
Outdoor Advertising Control
Overhead Sign Install
Overhead Sign Repair
Parking Area Reconstruction
Partial 3-R
Patch And Rehab Bituminous Pavement
Patch And Rehab Pavement
Patch and Rehab PCC Pavement
Paved Side Ditch Installation
Paved Side Ditch Repair
Pavement Markings
Pavement Replacement
Pavement Replacement, Composite
Pavement Replacement, HMA
Pavement Replacement, New PCC



Pavement Replacement, Small Town
Pavement Replacement, Small Town, HMA
Pavement Replacement, Small Town, PCCP
Pavement, Other
PCCP Cleaning and Sealing Joints
PCCP on PCC Pavement
PCCP Patching
Pedestrian Flashing Beacons, Installed
Pipe Lining
Profiling, PCCP
Protective Buying
Pumping / Lift Stations
Radii Improvement
Railing Replace Or Repair
Railroad Crossing
Railroad Crossing Removal
Railroad Protection
Railroad Protection & Surface
Railroad Work
Raise Bridge
Raise Bridge
Raise Bridge/Lower Pavement
Raised Pavement Markings, New
Raised Pavement Markings, Refurbished
Reconstruct Weigh Station
Relinquishments/Road Transfer
Remove & Replace Beam
Remove Bridge Abutments
Repair Guard Rail
Repair Or Replace Barrier Wall
Repair Or Replace Joints
Repair Or Replace Lighting
Repair PCCP & HMA Overlay
Repairs To Approach Slab
Replace Guard Rail
Replace Superstructure
Rest Area & Parking Area Constr/Reconstr
Rest Area Construction
Rest Area Modernization
Resurface over Asphalt Pavement
Resurface PCC Pavement (Partial 3/R Standards)
Retrofit Joint Load Transfer
Road Reconstruction (3R/4R Standards)



Road Rehabilitation (3R/4R Standards)
Roadside Facilities
Roadside Maintenance
Roadside Maintenance, Herbicide Treatment
Roadside Maintenance, Mech.Sweeping
Roadside Maintenance, Mowing
Roadside Maintenance, Tree Remove/Trimming
Roadside Work, Other
Rubblize Composite & HMA Overlay
Rubblize PCCP & HMA Overlay
Safety Revisions
Scenic And Historic Highways
Scenic Easements
Scour Protection (Erosion)
Sewer / Curb / Gutter Const/Reconstr
Sewer / Curb / Gutter Construction
Shoulder Rehabilitation And Repair
Sight Distance Improvement
Sign Modernization (Series Of Units)
Sign Or Billboard Removal
Signing
Signing Installation / Repair
Signs, Lighting, Signals And Markings
Slide Correction
Slotted Drain Or Inlet Replacement
Small Structure Replacement
Software Dev And App For Dyn. Mess Sign
Software Dev And App For Traf. Flow Det.
Software Dev And App For Traf.Mess. Sys.
Software Dev And App For Wireless System
Storm Sewer Repair Or Replacement
Straighten Beam
Substructure Repair And Rehabilitation
Surface Treatment, Chip Seal
Surface Treatment, Microsurface
Surface Treatment, PM
Surface Treatment, Thin HMA Overlay
Surface Treatment, Ultrathin Bonded Wearing Course
Tower Lighting
Traffic Hardware Modernization
Traffic Management Facility Construction
Traffic Mgmt Facility Modernization
Traffic Signal Maintenance



Traffic Signal Repair
Traffic Signal Visibility Improvements
Traffic Signals
Traffic Signals Modernization
Traffic Signals, New Or Modernized
Traffic, Other
Transit - Rider Amenities (Bus Shelters, Benches etc.)
Transit Communications Equipment
Transit Commuter Rail Capital
Transit Facilities
Transit Misc. Equipment
Transit Operating
Transit Planning
Transit Preventative Maintenance
Transit Purchase Vehicles
Truck/Auxiliary Lane Construction
Truss Reconstruction Or Repair
Undersealing
Underwater Bridge Inspections
Un-Signalized Intersection Sign & Marking Visibility Imp
Utility Relocation
Vertical Sight Correction
Wedge And Level
Weigh Stations Constr./Reconstr.
Work Zone Traffic Management Systems

County

COUNTIES
Adams
Allen
Bartholomew
Benton
Blackford
Boone
Brown
Carroll
Cass
Clark
Clay
Clinton
Crawford
Daviess



Dearborn
Decatur
Dekalb
Delaware
Dubois
Elkhart
Fayette
Floyd
Fountain
Franklin
Fulton
Gibson
Grant
Greene
Hamilton
Hancock
Harrison
Hendricks
Henry
Howard
Huntington
Jackson
Jasper
Jay
Jefferson
Jennings
Johnson
Knox
Kosciusko
LaGrange
Lake
LaPorte
Lawrence
Madison
Marion
Marshall
Martin
Miami
Monroe
Montgomery
Morgan
Newton
Noble



Ohio
Orange
Owen
Parke
Perry
Pike
Porter
Posey
Pulaski
Putnam
Randolph
Ripley
Rush
St. Joseph
Scott
Shelby
Spencer
Starke
Steuben
Sullivan
Switzerland
Tippecanoe
Tipton
Union
Vanderburgh
Vermillion
Vigo
Wabash
Warren
Warrick
Washington
Wayne
Wells
White
Whitley
Various

District

Crawfordsville
Ft Wayne
Greenfield
LaPorte



Seymour
Vincennes
Toll Road
Multiple

Sponsor List

STATE/FEDERAL
INDOT
IDNR
ISBH
Federal Lands
Indpls Int'l Airport
CITIES/TOWNS
Advance
Akron
Alamo
Albany
Albion
Alexandria
Alfordsville
Alton
Altona
Ambia
Amboy
Amo
Anderson
Andrews
Angola
Arcadia
Argos
Ashley
Atlanta
Attica
Auburn
Aurora
Austin
Avilla
Avon
Bainbridge
Bargersville
Batesville
Battle Ground



Bedford
Beech Grove
Berne
Bethany
Beverly Shores
Bicknell
Birdseye
Bloomfield
Bloomington
Blountsville
Bluffton
Boonville
Boston
Boswell
Bourbon
Brazil
Bremen
Bristol
Brook
Brooklyn
Brooksborg
Brookston
Brookville
Brownsburg
Brownstown
Bruceville
Bryant
Bunker Hill
Burket
Burlington
Burnettsville
Burns Harbor
Butler
Cadiz
Cambridge City
Camden
Campbellsburg
Cannelburg
Cannelton
Carbon
Carefree
Carlisle



Carmel
Carthage
Castleton
Cayuga
Cedar Grove
Cedar Lake
Center Point
Centerville
Chalmers
Chandler
Charlestown
Chesterfield
Chesterton
Chrisney
Churubusco
Cicero
Clarks Hill
Clarksville
Clay City
Claypool
Clayton
Clear Lake
Clermont
Clifford
Clinton
Cloverdale
Coatesville
Colfax
Collegeville
Columbia City
Columbus
Connersville
Converse
Corunna
Corydon
Country Club Heights
Covington
Crandall
Crane
Crawfordsville
Cromwell
Crothersville
Crown Point



Crows Nest
Culver
Cumberland
Cynthiana
Dale
Daleville
Dana
Danville
Darlington
Darmstadt
Dayton
Decatur
Decker
Delphi
DeMotte
Denver
Dillsboro
Dublin
Dugger
Dune Acres
Dunkirk
Dunlap
Dunreith
Dupont
Dyer
Earl Park
East Chicago
East Germantown
Eaton
Economy
Edgewood
Edinburg
Edwardsport
Elberfeld
Elizabeth
Elizabethtown
Elkhart
Ellettsville
Elnora
Elwood
English
Etna Green
Evansville



Fairmount
Fairview Park
Farmersburg
Farmland
Ferdinand
Fishers
Flora
Fort Branch
Fort Wayne
Fortville
Fountain City
Fowler
Fowlerton
Francesville
Francisco
Frankfort
Franklin
Frankton
Fredericksburg
Fremont
French Lick
Fulton
Galena
Galveston
Garrett
Gary
Gas City
Gaston
Geneva
Gentryville
Georgetown
Glenwood
Goodland
Goshen
Gosport
Grabill
Grandview
Greencastle
Greendale
Greenfield
Greens Fork
Greensboro
Greensburg



Greentown
Greenville
Greenwood
Griffin
Griffith
Grissom Afb
Hagerstown
Hamilton
Hamlet
Hammond
Hanover
Hardinsburg
Harmony
Hartford City
Hartsville
Haubstadt
Hazleton
Hebron
Henryville
Highland
Hillsboro
Hobart
Holland
Holton
Homecroft
Hope
Hudson
Hudson Lake
Huntertown
Huntingburg
Huntington
Hymera
Indian Heights
Indian Village
Indiana Cities
Indianapolis
Ingalls
Jamestown
Jasonville
Jasper
Jeffersonville
Jonesboro
Jonesville



Judson
Kempton
Kendallville
Kennard
Kentland
Kewanna
Kingman
Kingsbury
Kingsford Heights
Kirklin
Knightstown
Knightsville
Knox
Kokomo
Koontz Lake
Kouts
La Crosse
La Fontaine
Laconia
Ladoga
Lafayette
Lagrange
Lagro
Lake Hart
Lake Station
Lakeville
Lanesville
Lapaz
Lapel
LaPorte
Larwill
Laurel
Lawrence
Lawrenceburg
Leavenworth
Lebanon
Leesburg
Lewisville
Liberty
Ligonier
Linden
Linton
Little York



Livonia
Lizton
Logansport
Long Beach
Loogootee
Losantville
Lowell
Lynhurst
Lynn
Lynnville
Lyons
Mackey
Macy
Madison
Marengo
Marion
Markle
Markleville
Marshall
Martinsville
Matthews
Mauckport
McCordsvillie
Mecca
Medaryville
Medora
Mellott
Mentone
Meridian Hills
Merom
Merrillville
Michiana Shores
Michigan City
Michigantown
Middlebury
Middletown
Milan
Milford
Milford
Millersburg
Millhousen
Milltown
Milton



Mishawaka
Mitchell
Modoc
Monon
Monroe
Monroe City
Monroeville
Monterey
Montezuma
Montgomery
Monticello
Montpelier
Mooreland
Moores Hill
Mooreville
Morgantown
Morocco
Morristown
Mount Auburn
Mount Ayr
Mount Carmel
Mount Etna
Mount Summit
Mount Vernon
Mulberry
Muncie
Munster
Napoleon
Nappanee
Nashville
New Albany
New Amsterdam
New Carlisle
New Castle
New Chicago
New Harmony
New Haven
New Market
New Middletown
New Palestine
New Paris
New Pekin
New Providence



New Richmond
New Ross
New Whiteland
Newberry
Newburgh
Newpoint
Newport
Newtown
Noblesville
North Crows Nest
North Grove
North Judson
North Liberty
North Manchester
North Salem
North Vernon
North Webster
Oak Park
Oakland City
Oaktown
Odon
Ogden Dunes
Oldenburg
Onward
Oolitic
Orestes
Orland
Orleans
Osceola
Osgood
Ossian
Otterbein
Owensville
Oxford
Palmyra
Paoli
Paragon
Parker City
Patoka
Patriot
Pendleton
Pennville
Perrysville



Peru
Petersburg
Pierceton
Pine Lake
Pine Village
Pittsboro
Plainfield
Plainville
Plymouth
Poneto
Portage
Porter
Portland
Poseyville
Pottawattamie Park
Princes Lakes
Princeton
Ravenswood
Redkey
Remington
Rensselaer
Reynolds
Richmond
Ridgeville
Riley
Rising Sun
River Forest
Roachdale
Roann
Roanoke
Rochester
Rockport
Rockville
Rocky Ripple
Rome City
Rosedale
Roseland
Rossville
Royal Center
Rushville
Russellville
Russiaville
Salamonia



Salem
Saltillo
Sandborn
Santa Claus
Saratoga
Schererville
Schneider
Scottsburg
Seelyville
Sellersburg
Selma
Seymour
Shamrock Lakes
Sharpsville
Shelburn
Shelbyville
Sheridan
Shipshewana
Shirley
Shoals
Sidney
Silver Lake
Simonton
Somerville
South Bend
South Haven
South Whitley
Southport
Speedway
Spencer
Spiceland
Spring Grove
Spring Hill
Spring Lake Park
Springport
Spurgeon
St Joe
St Leon
St Paul
St. John
State Line City
Staunton
Stilesville



Stinesville
Straughn
Sullivan
Sulphur Springs
Summitville
Sunman
Swayzee
Sweetser
Switz City
Syracuse
Taylorsville
Tell City
Tennyson
Terre Haute
Thorntown
Tipton
Topeka
Town Of Pines
Trafalgar
Trail Creek
Tri Lakes
Troy
Ulen
Union City
Uniondale
Universal
Upland
Utica
Valparaiso
Van Buren
Veedersburg
Vera Cruz
Vernon
Versailles
Vevay
Vincennes
Wabash
Wakarusa
Walkerton
Wallace
Walton
Wanatah
Warren



Warren Park
Warsaw
Washington
Waterloo
Waveland
Waynetown
West Baden Springs
West College Corner
West Harrison
West Lafayette
West Lebanon
West Terre Haute
Westfield
Westport
Westville
Wheatfield
Wheatland
Whiteland
Whitestown
Whitewater
Whiting
Wilkinson
Williams Creek
Williamsport
Winamac
Winchester
Windfall City
Winfield
Wingate
Winona Lake
Winslow
Wolcott
Wolcottville
Woodburn
Woodlawn Heights
Worthington
Wynnedale
Yeoman
Yorktown
Zionsville
COUNTIES
Adams
Allen



Bartholomew
Benton
Blackford
Boone
Brown
Carroll
Cass
Clark
Clay
Clinton
Crawford
Daviess
Dearborn
Decatur
Dekalb
Delaware
Dubois
Elkhart
Fayette
Floyd
Fountain
Franklin
Fulton
Gibson
Grant
Greene
Hamilton
Hancock
Harrison
Hendricks
Henry
Howard
Huntington
Jackson
Jasper
Jay
Jefferson
Jennings
Johnson
Knox
Kosciusko
LaGrange
Lake



LaPorte
Lawrence
Madison
Marion
Marshall
Martin
Miami
Monroe
Montgomery
Morgan
Newton
Noble
Ohio
Orange
Owen
Parke
Perry
Pike
Porter
Posey
Pulaski
Putnam
Randolph
Ripley
Rush
St. Joseph
Scott
Shelby
Spencer
Starke
Steuben
Sullivan
Switzerland
Tippecanoe
Tipton
Union
Vanderburgh
Vermillion
Vigo
Wabash
Warren
Warrick
Washington



Wayne
Wells
White
Whitley
Various
MPO
MCCOG
BMCMPPO
OKI
CAMPO
EMPO
NIRCC
IMPO
KHCGCC
TCAPC
KIPDA
DMMPC
NIRPC
MACOG
WCIEDD



3. Map of the State of Indiana MPOs by Region

There are currently 14 MPOS within the State of Indiana. The MPOs are as follows:

1. **Madison County Council of Governments (MCCOG):** Consists of Madison, including a small notch of western Delaware, a small notch of northern Hancock Counties and the urban area of Anderson
2. **Bloomington/Monroe County Metropolitan Planning Organization (BMCMPPO):** Consists of a large portion of Monroe County, including the urban area of Bloomington
3. **Ohio/Kentucky/Indiana Regional Council of Governments (OKI):** Includes Dearborn (IN), Boone (KY), Kenton (KY), Campbell (KY), Butler (OH), Warren (OH), Hamilton (OH), and Clermont (OH), and the urban area of Cincinnati
4. **Columbus Area Metropolitan Planning Organization (CAMPO):** Includes Bartholomew, part of Shelby and Johnson Counties and the urban area of Columbus
5. **Evansville Metropolitan Planning Organization (EMPO):** Includes Vanderburgh (IN), Warrick (IN), and Henderson (KY)
6. **Northeastern Indiana Regional Coordinating Council (NIRCC):** Includes Allen and the urban area of Fort Wayne-New Haven-Allen County Metropolitan Planning Area
7. **Indianapolis Metropolitan Planning Organization (IMPO):** Includes all of Marion County and the urbanized parts of Boone, Hendricks, Morgan, Johnson, Shelby and the urban area of Indianapolis. Indianapolis is also qualified as a Transportation Management area (TMA)⁷⁰ – an urbanized with a population over 200,000, as defined by the Bureau of the Census and designated by the Secretary of the U.S. Department of Transportation (DOT)
8. **Kokomo/Howard County Governmental Coordination Council (KHCGCC):** Includes Howard and the urban area of Kokomo
9. **Tippecanoe County Area Planning Commission (TCAPC):** Includes Tippecanoe and Lafayette
10. **Kentuckiana Regional Planning and Development Agency (KIPDA):** Includes Clark (IN), Floyd (IN), part of Harrison (IN), Bullitt (KY), Oldham (KY), Jefferson (KY), and the urban area of Louisville
11. **Delaware/Muncie Metropolitan Planning Commission (DMMPC):** Includes most of Delaware County and the urban area Muncie
12. **Northwestern Indiana Regional Planning Commission (NIRPC):** Includes Lake, Porter, LaPorte, and the urban area of Northwest Indiana

⁶⁹ Map courtesy of [Indiana MPO](#)

⁷⁰ As described in 49 U.S.C. 5303(k), and in recognition of the greater complexity of transportation issues in large urban areas, an MPO in a TMA has a stronger voice in setting priorities for implementing projects listed in the transportation improvement program and are responsible for additional planning products. The planning processes in MPOs in TMAs also must be certified by the Secretary of DOT as being in compliance with federal requirements.

- 13. Michiana Area Council of Governments (MACOG):** Includes St. Joseph, Elkhart, and the urban area South Bend-Elkhart
- 14. Terre Haute Area Metropolitan Planning Organization (THAMPO):** Includes Vigo, the northern third of Clay, and the urban area Terre Haute

Figure 14: Indiana Map of MPOs





4. RPO Planning Areas

Within the State of Indiana, there are a total of 14 RPOs, including RPOs and combined RPOs and MPOs. The RPOs are as follows:

1. **Eastern Indiana Development District**
2. **Indiana 15 Regional Planning Commission:** Includes Pike, Dubois, Orange, Spencer, Perry, and Crawford
3. **Kankakee-Iroquois Regional Planning Commission (KIRPC):** Includes Newton, Jasper, Starke, Pulaski, White, Benton, and Carroll
4. **Economic Development Coalition of Southwest Indiana (EDCSI):** Includes Gibson, Posey, Vanderburgh, and Warrick
5. **Region 3A Economic Development District and Regional Planning Commission:** Includes LaGrange, Steuben, Noble, Whitley, and Huntington
6. **River Hills Economic Development District and Regional Planning Commission: Includes** Washington, Scott, Clark, Floyd, Harrison
7. **Southeastern Indiana Regional Planning Commission (SIRPC):** Includes Decatur, Franklin, Jennings, Ripley, Dearborn, Jefferson, Ohio, and Switzerland
8. **Southern Indiana Development Commission**
9. **Southwestern Indiana Regional Development Commission**

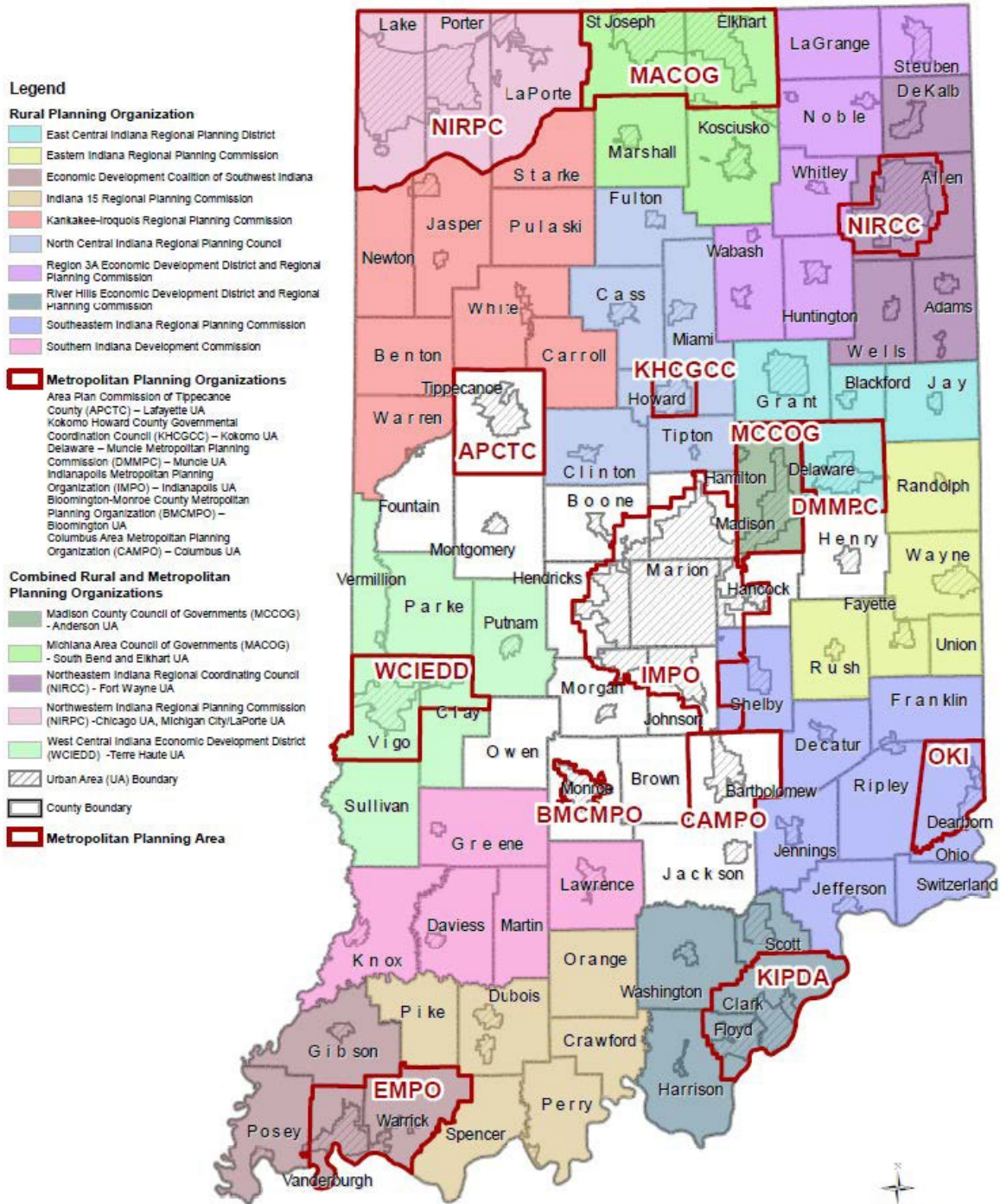
Combined RPOs and MPOs are as follows:

10. **Madison County Council of Governments (MCCOG) –** Anderson urban area
11. **Michiana Area Council of Governments (MACOG) –** South Bend and Elkhart urban areas
12. **Northeastern Indiana Regional Coordinating Council (NIRCC) –** Fort Wayne urban area
13. **Northwestern Indiana Regional Planning Commission (NIRPC) –** Chicago urban area, Michigan City/LaPorte urban area
14. **West Central Indiana Economic Development District (WCIEDD) –** Terre Haute urban area

⁷¹ Map courtesy of INDOT, MPO, & RPO Planning Cooperative Procedures Manual



Figure 15: Indiana Map of RPO Planning Area





5. MPO Work Product Checklist

This list summarizes the work products of the MPOs. Please note that not every item may be required/undertaken. Unless otherwise specified, work products are submitted to the assigned INDOT Planning Liaison.

Monthly

- Coordinate with INDOT Planning Liaison
- Record hours worked per task identified in Unified Planning Work Program (UPWP) – use timesheets

Quarterly (or 2-3 months)

- Prepare and submit Reimbursement Packet (cover letter, invoice, quarterly report and all supporting documentation) to INDOT Planning Liaison
- Prepare and submit Unified Planning Work Program amendment to INDOT Planning Liaison, as needed, for approval by FHWA-IN and FTA Region 5
- Participate in MPO meetings
- Prepare and distribute meeting minutes (MPO meeting host only)
- Prepare and submit draft Transportation Improvement Program amendment to INDOT, for approval by INDOT, FHWA-IN and FTA Region 5

Annually

- Prepare and submit Annual Performance and Expenditure Report to INDOT Planning Liaison, provided to FHWA-IN and FTA Region 5 for informational purposes only
- Prepare and submit Annual Listing of Obligated Projects to the public on the MPO's website per federal regulation FHWA-IN and FTA Region 5
- Review Notice to Proceed received from INDOT
- Participate in joint meeting with INDOT and RPOs
- Collect and submit traffic counts to INDOT
- Issue calls for projects (e.g., TAP, Regional Plans, other discretionary funds)
- Participate in Quality Assurance Reviews (QARs)

⁷² Map courtesy of INDOT, MPO, & RPO Planning Cooperative Procedures Manual



- Adopt Safety (Performance Measure 1) targets, submit documentation and update MTP
- Prepare and submit annual Title VI Report to INDOT Title VI Coordinator, due October 1

Every 2 Years

- Prepare and submit final two-year UPWP and budget to INDOT Planning Liaison, for approval by INDOT, FHWA-IN and FTA Region 5
- Prepare and submit Transportation Improvement Program (TIP) to INDOT, for approval by INDOT, FHWA-IN and FTA Region 5
- Participate in Statewide Transportation Improvement Program (STIP) development by INDOT

Every 3 Years

- Prepare documentation and participate in FTA Region 5 review for approval by FTA
- Review Title VI Plan and update as necessary

Every 4 Years

- Prepare and submit Public Participation Plan, provided to FHWA-IN and FTA Region 5 for informational purposes only, for areas with nonattainment or maintenance designations for air quality
- Prepare and submit Metropolitan Transportation Plan (MTP), for approval by FHWA-IN and FTA Region 5, for areas with nonattainment or maintenance designations for air quality
- Review and coordinate as necessary with INDOT to update Cooperative Agreement with INDOT
- Participate with FHWA-IN/FTA Region 5/INDOT in Federal Certification process, for approval by FHWA-IN and FTA Region 5 (MRMPO and EPMPO)
- Prepare and submit Metropolitan Transportation Plan Amendments, for approval by FHWA-IN and FTA Region 5
- Prepare and submit letters about Policy Board member changes
- Adopt Pavement and Bridge Condition (Performance Measure 2), System Performance/Freight/CMAQ (Performance Measure 3), and Transit Asset Management targets, submit documentation and update MTP

Every 5 Years

- Prepare and submit Metropolitan Transportation Plan (MTP), for approval by FHWA-IN and FTA Region 5 (within 5 years of adoption, unless MPO has nonattainment or maintenance designation for air quality)
- Review and update as necessary the Public Participation Plan (PPP), provided to FHWA-IN and FTA Region 5 for informational purposes only. PPP should be reviewed, at a minimum, prior to each



MTP update (at least every 5 years, unless MPO has nonattainment or maintenance designation for air quality)

Ongoing and Other

- Meet with INDOT Planning Liaison to discuss progress on the UPWP (as needed)
- Review and update as necessary with member governments, submit to INDOT Planning Liaison
- Functional classification if required other than after new census data
- Review and update as necessary bylaws



6. Indiana Field Guide to Air Quality Conformity Compliance for the STIP Amendment Process

Requirement: Any STIP amendment for a project that falls within (and sometimes near*) an area that has been designated by the Environmental Protection Agency (EPA) as a nonattainment or maintenance for the National Ambient Air Quality Standards – (commonly referred to as an air quality area) shall require an air quality complete date.

To effectively amend a project into the STIP that falls within an air quality area, the Program Manager must include one of these two approved phrases in the STIP comment section for any project in an air quality area:

- AQC Exempt Date 00/00/00 or,
- AQ Finding Date 00/00/00 – A copy of the FHWA Air Quality Conformity Letter is required if the is the selection.

When to use the phrase AQC Exempt Date 00/00/00 and when to use the phrase AQ Finding Date 00/00/00.

AQC Exempt Date 00/00/00 – This is the phrase that will be used most often by Program Managers for STIP amendments in air quality areas. It is to be used whenever MPO TIP amendments or INDOT Greene and Jackson County amendments contain **only air quality exempt** projects. Exempt projects are generally those projects that do not add capacity to the roadway such as resurfacing, reconstruction, bridge deck replacements. The AQC date is determined to be the date on the 7th day after the MPO or INDOT initiates air quality consultation with the ICG. ICG stands for Interagency Consultation Group, which is made up of representatives from EPA, IDEM, FHWA, FTA and INDOT. The MPO is responsible for and initiates the air quality conformity process. The MPO should provide the AQC exempt date to the Program Managers to include in the STIP amendment notes on the STIP tab.

AQ Finding Date 00/00/00 - This phrase and accompanying letter are to be used in two circumstances:

1. Whenever an MPO amends a non-exempt (Regionally Significant) air quality project into its TIP, this phrase must be used. The date is the date on the air quality conformity letter that is issued by FHWA/FTA for the amendment. Please note that this process takes considerably longer than the 7-day process for exempt projects. FHWA/FTA cannot issue the letter until the MPO has completed the TIP amendment, prepared proper documentation, and requested a formal air quality determination from FHWA/FTA. This process can take as much as 45-days to complete. However, in most cases it takes far less time.
2. Whenever an MPO completes a TIP administrative modification under its rules that later becomes a STIP amendment under INDOT rules, this phrase and the accompanying letter must be included in the STIP amendment. What INDOT is doing in these cases is documenting that the air quality conformity for the MPO's TIP has properly taken place in the past, at the time that the project was initially added to the MPO's TIP.

The following table lists the **current** MPO TIP Air Quality Conformity Finding Dates for the MPO TIPs.⁷³

Table 22: MPO TIP Air Quality Conformity Finding Dates, FY22-26

MPO	Air Quality Conformity Finding Date
Anderson MCOG	June 12, 2021

⁷³ Dated from the FY22-26 cycle.



MPO	Air Quality Conformity Finding Date
Cincinnati OKI	February 16, 2022
Evansville EMPO	May 24, 2022
Fort Wayne NIRCC	May 18, 2021
Indianapolis IMPO	July 7, 2022
Louisville KIPDA	December 1, 2021
Muncie DMMPC	August 21, 2019
Northwest Indiana NIRPC	June 16, 2021
South Bend MACOG	May 5, 2021
Terre Haute THAMPO	July 14, 2019

Instructions: Use this table when an MPO TIP modification becomes a STIP amendment for INDOT. You will need to provide the Air Quality Conformity Finding Date from the table and a copy of the Air Quality Conformity Finding Letter associated with the MPO.

The dates on this table will be updated every time an MPO is issued a new air quality conformity letter from FHWA.

What are the areas in Indiana that are subject to the air quality conformity requirements?

The following table lists the counties that are subject to air quality conformity and the associated MPOs. When an air quality area is located within an MPO, as most of them are, it is the MPO's responsibility to complete the air quality conformity requirements. Greene and Jackson Counties are not part of any MPO. Air quality conformity for Greene and Jackson Counties is performed by INDOT.

Table 23: Air Quality Counties

Counties Subject to Air Quality	MPO
Lake	NIRPC
Porter	
LaPorte	
St. Joseph	MACGO
Elkhart	
Allen	NIRCC
Delaware	DMMPC
Madison and a notch in western Delaware and a notch in Northern Hancock	MCCOG
Boone	IMPO
Hamilton	
Hancock	
Hendrick	
Marion	
Morgan	
Johnson	
Shelby	
Vigo	THAMPO
Greene	No MPO – INDOT
Jackson	No MPO – INDOT



Counties Subject to Air Quality	MPO
Dearborn	OKI
Vanderburgh	EMPO
Warrick	
Floyd	KIPDA
Clark	

Donut Areas - What are “donut” areas and what does that mean?

“Donut areas” are geographic areas outside of an MPO’s metropolitan planning area boundary, but inside the boundary of a nonattainment or maintenance area that contains any part of a metropolitan area. Most non-attainment and maintenance air quality conformity area boundaries coincide with an MPO’s Metropolitan Planning Area (MPA), while others are larger than the MPA. That portion of a conformity area that is located outside of the MPA is called the “Donut Area”.

There are two geographic “Donut” areas in Indiana to be aware of:

- 1. Allan County:** The Fort Wayne MPO (NIRCC’s) planning area does not encompass all of Allen County. Any project that is located within or touches the Allen County line must first be forwarded to NIRCC who will complete the air quality conformity checks and requirements.
- 2. The nine counties surrounding the Indianapolis MPO’s planning area:** Hamilton, Boone, Hendricks, Morgan, Johnson, Shelby, Hancock, and Madison, Marion. Any projects that are located within or touches the “donut area” for these counties must first be forwarded to the Indianapolis MPO (IMPO) who will complete the air quality conformity checks and requirements.

* What is meant by... “and sometimes near” and why might it matter?

What does this mean? There are a few instances when a major expansion project (such as a new terrain roadway or an added travel lanes project) is not located within an MPO’s air quality planning area, but the project is close enough that it would have a significant impact to travel patterns within the air quality area. The project is thus determined to be considered as

“Regionally Significant” to the MPO’s transportation network. That is, its construction would have a measurable impact on the travel patterns within the MPO’s area. In these cases, the project may require inclusion in the MPO’s Metropolitan Transportation Plan and possibly the TIP. The project would also require an air quality conformity determination before it could be programmed into the STIP.

Who is responsible for completing the air quality conformity requirements?

MPOs are responsible for completing the air quality conformity for projects located within their counties.

INDOT is responsible for completing the air quality conformity for projects in rural counties that have been designated as non-attainment or maintenance for air quality (Greene and Jackson Counties).

Background Information – What is Air Quality Conformity?

Air quality conformity is a process intended to ensure that Federal FHWA funding goes to transportation activities that are consistent with the air quality goals set forth in the Clean Air Act. FHWA must demonstrate that every action that it undertakes, approves, permits or supports will conform to the appropriate state implementation plan for air quality.

The U.S. Environmental Protection Agency (EPA) is the Federal Agency that is responsible for enforcing the Clean Air Act. It works in tandem with other Federal agencies such as the U.S. Department of Transportation’s Federal Highway Administration and the Federal Transit Administration.

EPA is the Federal agency that Congress has charged with its duty to establish and enforce the National Ambient Air Quality Standards (NAAQS) for certain air pollutants that if present in larger quantities in ambient air are known to cause health problems in human beings, thus harming the environment. To



accomplish this duty, EPA routinely measures the ambient air quality of an area to determine if a defined unit of air contains greater numbers than are acceptable for the identified NAAQS pollutants. If an area exceeds the acceptable levels of ambient air pollutants over an identified period of time, the EPA will then formally designate the area as being in **non-attainment** for the identified pollutant.

The NAAQS pollutants are: Carbon Monoxide (CO); Lead (Pb); Nitrogen Oxide (NO_x); Ozone (O₃); Particle Pollution (PM) and; Sulfur Dioxide (SO₂).

It is that EPA **non-attainment designation** that starts the whole process where the MPOs and INDOT then become responsible for completing the air quality conformity determination process for MPO Long-Range Transportation Plans, TIPs and the INDOT STIP.

Essentially, Transportation Conformity is a process whereby the MPOs and State DOTs demonstrate **(Prove)** that planned and programmed transportation projects will not increase the existing frequency or severity of the identified (non-attainment or maintenance) violations of the NAAQS. Transportation Conformity ensures that planned and programmed projects conform to the requirements (budgets) of the State's Air Quality Implementation Plan (SIP). Transportation Conformity is required by the EPA and FHWA as a condition for Federal funding for projects located in and sometimes near, geographic areas that have been designated by the EPA as nonattainment or maintenance for the NAAQS.

Glossary of Air Quality Terms:

Air quality area - An air quality area is a geographic area that the EPA has designated as non- attainment for one or more of the National Ambient Air Quality Standards. The geographic areas designated area generally entire counties or specific townships within a county.

Attainment – A term used for those geographic areas that **have not exceeded** one or more of the NAAQS.

Conformity- The documented process whereby an MPO or INDOT had demonstrated (proved) that planned and programmed transportation projects will not increase the existing frequency or severity of the identified (non-attainment or maintenance) violations of the NAAQS.

EPA – Environmental Protection Agency

FHWA – Federal Highway Administration

FTA – Federal Transit Administration

ICG - Interagency Consultation Group. The ICG shall include at a minimum, the following agencies: The MPO in question; the FHWA; the FTA; the EPA; the IDEM and INDOT. The ICG may include local air agencies, where appropriate.

ICG Consultation – The formal process where the ICG makes a determination as to whether or not a transportation project is "Regionally Significant" (non-exempt) and therefor, subject to an air quality conformity analysis and determination.

IDEM – Indiana Department of Environmental Management

Maintenance – A term applied by the EPA for a designated nonattainment area that now meets the standards and additional redesignation requirements in the CAA [Section 107(d)(3)(E)], EPA will designate the area as a "maintenance area." After a non-attainment area has been designated as "maintenance" it mut continue to conduct air quality conformity determinations for an additional period of twenty years.

NAAQS – National Ambient Air Quality Standards

Non-Attainment – A formal designation issued by the EPA for a geographic area that has exceeded one or more of the NAAQS.

South Coast II Court Decision – A Federal Court decision which brought back air quality conformity determination requirement for the EPA’s 1997 ozone standard.

State Implementation Plan (SIP) – In order to improve the air quality of an area that has been designated as non-attainment to one or more of the NAAQS, states must draft a plan known as a State Implementation Plan (SIP) to improve the air quality in nonattainment areas. The SIP outlines the measures that the state will take to improve air quality.

Figure 16: Indiana Counties Subject to Air Quality Conformity

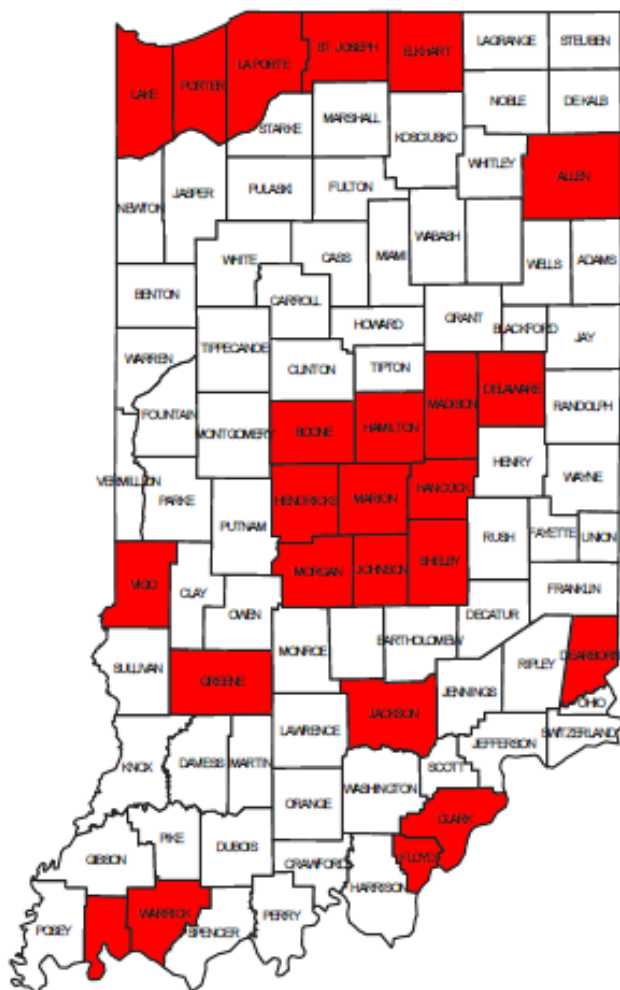
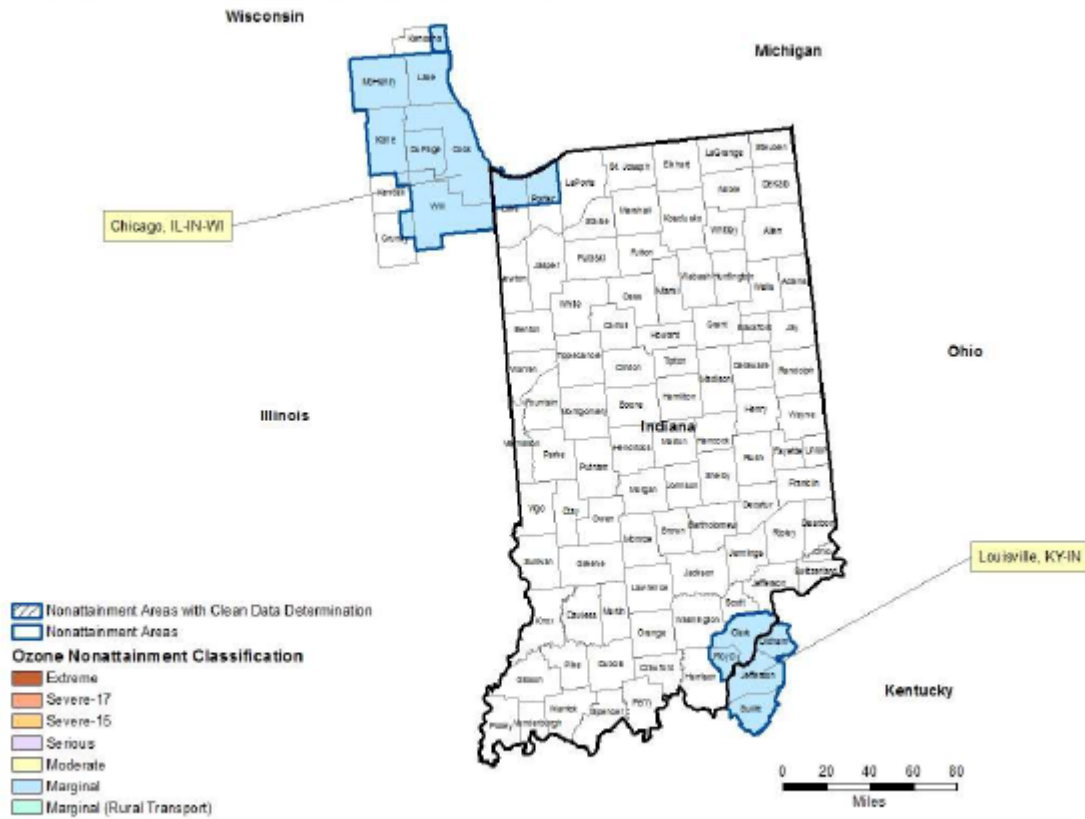


Figure 17: Indiana Counties and Townships Subject to 2015 Ozone Air Quality Determinations*

Indiana 8-hour Ozone Nonattainment Areas (2015 Standard)

05/31/2022



*Note: These counties and townships overlap the 1997 Indiana ozone counties.



7. South Coast Decision

South Coast Air Quality Mgmt. District v. EPA (“*South Coast II*,” 882 F.3d 1138)

United States Court of Appeals
FOR THE DISTRICT OF COLUMBIA CIRCUIT

Decided February 16, 2018

The court issued its decision, *South Coast Air Quality Management District v. EPA*. This case involved a challenge to EPA’s final rule for implementing the 2008 ozone NAAQS, referred to as the 2008 ozone NAAQS SIP Requirements Rule. The court vacated portions of EPA’s 2008 ozone NAAQS SIP Requirements Rule, but upheld EPA’s revocation of the 1997 ozone NAAQS.

Listing of the Indiana Counties Affected:

- Allen
- Boone
- Clark
- Dearborn (Lawrenceburg Township only)
- Delaware
- Elkhart
- Floyd
- Greene
- Hamilton
- Hancock
- Hendricks
- Jackson
- Johnson
- Lake
- LaPorte
- Madison
- Marion
- Morgan
- Porter
- St. Joseph
- Shelby
- Vanderburgh
- Vigo
- Warrick



MPO Metropolitan Transportation Plans

For the MPOs subject to the South Coast II Decision

- Conformity is required for an MTP adoption or an amendment – the EPA guidance is to be followed using the templates provided.
- No regional emissions analysis is required and there is no requirement to use the latest emissions model or use either the emission budget test or interim emissions test.
- All other requirements such as ICG coordination, public notice and involvement are still required.

MPO TIP Amendments

All MPO Transportation Improvement Program (TIP) updates and amendments will require some degree of conformity work. This must be completed prior to Policy Board action.

- MPOs are to separate TIP amendments into two groups: exempt projects and non-exempt projects and process these amendments separately, but they can be processed concurrently. The advantage is that the solely exempt TIP amendments can follow a streamlined, fast track approach.
- Exempt Project TIP Amendments:
 - MPO prepares a TIP amendment, listing only exempt projects.
 - MPO distributes the proposed exempt TIP amendment to the ICG for coordination, seeking comments and allowing a seven-day response time noting that if no response is received, it will be considered as concurrence with the MPO's exempt status determinations.
 - After seven days have passed, if the members of the ICG concur with the MPO, then the process is complete. The MPO documents the ICG coordination process and proceeds with the TIP amendment.

TIP Amendments Continued for Non-exempt

For Non-exempt TIP amendments or TIP amendments that also contain non-exempt projects, the process is longer and more involved.

- The MPO prepares its TIP amendment and an initial conformity document following the EPA guidance and using EPA's templates.
- The MPO distributes the amendment request and conformity documents to the ICG for coordination (review and comment and if requested, an early consultation call).
- The MPO follows its public involvement process
- MPO Policy Board acts on the proposed TIP amendment.
- The MPO then seeks a formal conformity determination from FHWA submitting all documentation, including ICG coordination and Policy Board action (the resolution and minutes documenting approval by the Board).

FHWA and FTA Formal Conformity Determination



- For those TIP amendments that require the formal FHWA/FTA conformity determination, the TIP amendment process is not fully complete until after the MPO has received its Conformity Finding letter from FHWA/FTA.
- While the timeline has been streamlined, the formal conformity consultation process may take up to 40 days to complete, however it can take 20 days or less to complete.
- For non-exempt TIP amendments, the STIP cannot be amended until after the FHWA/FTA issues the conformity finding letter for the amendment

Areas that are outside of the MPA but are still within the designated Maintenance Area

There are four MPO where this applies:

- The Fort Wayne MPO – Allen County
- The Indianapolis MPO – Boone, Hamilton, Hendricks, Hancock, Morgan, Johnson and Shelby Counties.
- The Anderson MPO – small notches of Delaware and Hancock Counties.
- The Muncie MPO – Delaware County.

Protocol for these four MPOs

- For The Fort Wayne MPO, INDOT Project Managers and/or Funds Managers will provide a listing of all Allen County proposed STIP amendments to the MPO for inclusion in the MPO's ICG coordination for its TIP amendments.
- For the Muncie MPO, INDOT Project Managers and/or Funds Managers will provide a listing of all Delaware County proposed STIP amendments to the MPO for inclusion in the MPO's ICG coordination for its TIP amendments.
- For the Anderson MPO, MCCOG will follow IMPO's amendment process and will coordinate with the Muncie MPO for the "Delaware Notch Projects."
- For the Indianapolis MPO, because of the complexity, INDOT Central Office will take the lead to coordinate with IMPO for exempt projects located outside of the MPA.

The Isolated Rural Orphan Maintenance Areas for Greene and Jackson Counties Subject to the South Coast II Decision

INDOT Central Office is responsible for the ICG Conformity Coordination for Greene and Jackson Counties.

INDOT processes STIP amendments separately for exempt and non-exempt projects in these two counties.

Key Takeaways:

- All amendments to the TIP must first be processed through ICG coordination.



- TIP amendments containing only exempt projects can proceed through a streamlined, fast track 7-day ICG coordination process.
- TIP amendments containing non-exempt projects will take longer. The EPA Guidance and templates should be used.
- The initial ICG coordination for TIP amendment must take place prior to action taken by MPO Policy Boards.
- Air quality conformity is not fully complete for TIP amendments containing “non-exempt” projects until after FHWA/FTA have completed the formal conformity consultation and issued the conformity finding letter.
- The STIP cannot be amended for areas subject to the South Coast II Decision until the Conformity process has been completed
- Keep records – document, document, document.
- The ICG is made up with representatives from:
 - The United States Environmental Protection Agency – EPA
 - The Indiana Department of Environmental Management – IDEM
 - The Federal Highway Administration – FHWA
 - The Federal Transit Administration – FTA
 - The Indiana Department of Transportation – INDOT
 - The MPO may also have a representative from a local or regional air quality agencies.

Interagency Consultation Member Contacts

US EPA – Region 5	FHWA – Indiana	FTA	IDEM
Anthony Maietta	Robert Dirks	Cecilia Grenshaw	Shawn Seals
(312) 353-8777	317-226-7492	312-705-1268	(317) 233-0425
maietta.anthony@epa.gov SSeals@idem.IN.gov	robert.dirks@dot.gov	cecilia.crenshaw@dot.gov	

INDOT

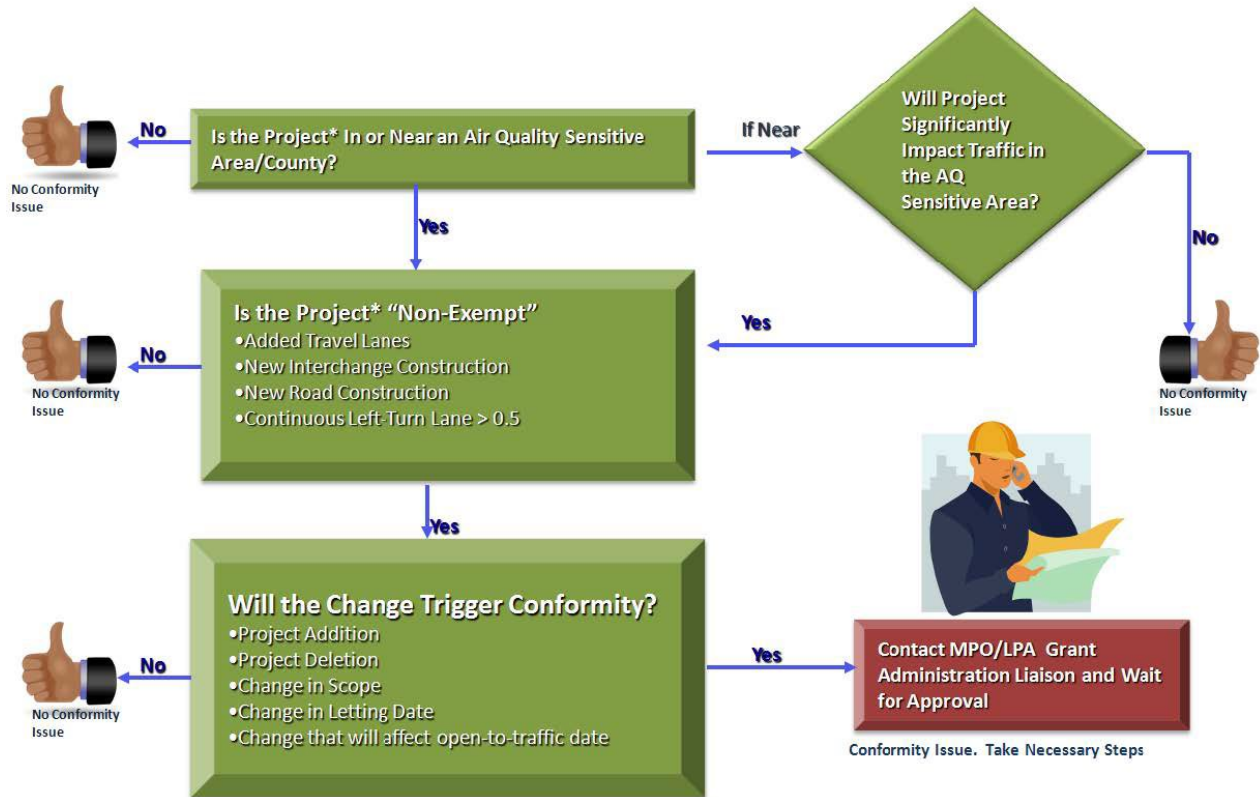
Jay Mitchell

(317) 233-4713

jaymitchell@indot.in.gov

8. Air Quality Conformity Checklist Flow Chart

Figure 18: Indiana Air Quality Conformity Chart



*The "Project" in the above statements includes all projects regardless of funding source or sponsor



9. Requested Information for Air Quality Conformity Consultation Submittals

Requested Information for the Informal Consultation Request Email

The following checklist provides a list of requested information the MPO (or INDOT for isolated rural areas) should include in the email when requesting informal consultation from the ICG for a proposed amendment to the TIP or changes to the MTP. For the specific templates and detailed requirements, please refer to the *Indiana Air Quality Conformity Interagency Consultation Group Guidance*.

1. **Reason for Consultation** – Reason for ICG consultation, e.g., whether the request originates from a TIP update or TIP amendment or MTP update. If the reason is a TIP amendment (or STIP amendment in isolated rural areas), indicate if any are non-exempt projects.
2. **Public Involvement** – Describe when public involvement will occur on the update or amendment. ICG reviews during informal consultation may occur concurrently with public involvement.
3. **Policy Board Approval** – Identify the date of the anticipated MPO Policy Board approval of the update or amendment.
4. **Planning Documents** – Attach a draft of the update or amendment. Project descriptions must adequately describe the planned scope, include termini, and identify each project as exempt or non-exempt.
5. **Conformity Report** – For non-exempt projects, attach a draft Conformity Report describing conformity requirements and compliance with them. If a conformity area is classified as nonattainment or maintenance for any other pollutant beyond ozone, then a conformity analysis is required, which must include the MTP horizon year, conformity test methodology and analysis years, MVEB in applicable SIPs, TCMs, and TDM and approved travel demand and emissions modeling parameters as provided in FHWA available guidance and any other applicable Latest Planning Assumptions.
6. **Non-Exempt Projects** – If applicable, attach a cumulative list of all planned non-exempt projects in the conformity area. MTP projects that are also in the TIP should be identified. New or removed projects in a MTP or TIP amendment should be identified, as well. The list must include any regionally significant (non-exempt) projects regardless of funding source. The list must separately list any projects in any Donut Area. If there are multiple MPAs in a conformity area, then the list must include a separate list from each MPO's MPA.

Note that the narrative portions of the TIP updates should be reviewed by INDOT and FHWA per the Planning Cooperative Procedures Manual (PPM) prior to public involvement. FHWA and FTA does not issue a conformity determination letter until identified comments on the complete TIP update have been addressed.

Requested Information for the Formal Consultation Request Email

The following checklist provides a list of requested information the MPO (or INDOT for rural areas not adjacent to MPAs) should include in the email when requesting that FHWA initiate a formal consultation process from the ICG for a proposed amendment to the TIP or changes to the MTP. For the specific templates and detailed requirements, please refer to the *Indiana Air Quality Conformity Interagency Consultation Group Guidance*.



1. **Reason for Formal Consultation** – The reason for ICG formal consultation, e.g., whether this originates from an MTP or TIP update or TIP amendment (or STIP amendment in isolated rural areas) involving non-exempt projects.
2. **Public Involvement** – Time period that public involvement occurred. Indicate if conformity-related comments were received and how they were addressed.
3. **Policy Board Approval** – The date the Policy Board approved the TIP update or amendment.
4. **Planning Documents** – Attach the final TIP update or amendment.
5. **Non-Exempt Projects** – Attach the most current cumulative list of all non-exempt projects in the conformity area. The project list should be the same list that was provided by the MPO during informal consultation with any revisions that resulted from the ICG informal consultation process.
6. **Conformity Report** – Attach the updated Conformity Report describing the conformity requirements and compliance with them. The report should be the same that was provided during information consultation, except for the addition of an ICG consultation summary, public comments/responses and Policy Board approval document.



10. MPO Conformity Certification Schedule

MPOs are required to undergo an air quality conformity certification every four (4) years. INDOT Planning is responsible for conducting the certification reviews for MPOs in a non-Transportation Metropolitan Area (TMA), and FHWA conducts the certification reviews for TMA MPOs. The following provides a schedule of the planning certification review timeline for the MPOs, including the date of last certification and next planning certification review date (as of February 2023).

Table 24: Schedule for INDOT's MPO Planning Certification Review

Non-TMA MPOs Reviewed by INDOT	Last Completed Planning Certification Review	Next Planning Certification Review Date
Anderson MCOG	4/8/19	4/8/23
Bloomington BMCMP	11/30/22	11/30/26
Columbus CAMPO	6/20/22	6/20/26
Kokomo KHCGCC	1/20/23	1/20/27
Lafayette TPAPC	3/22/21	3/22/25
Muncie DMMPC	2/27/17	3/31/23
Terre Haute THAMPO	5/21/21	5/21/25

Table 25: Schedule for FHWA's MPO Planning Certification Review

TMA MPOs Reviewed by FHWA/FTA	Last Completed Planning Certification Review	Next Planning Certification Review Date
Cincinnati OKI	11/18/22	11/18/26
Evansville EMPO	4/26/21	4/26/25
Fort Wayne NIRCC	May 2021	May 2025
Indianapolis IMPO	10/7/22	10/7/26
Louisville KIPDA	6/27/22	6/27/26
Northwest Indiana NIRPC	12/17/21	12/17/25
South Bend MACOG	9/24/20	9/24/24



11. INDOT Planning Liaison Work Product Checklist

This list summarizes the work products of the INDOT Technical Planning Section. Note that not every item may be required/undertaken.

Monthly Checklist

- Record hours worked per task identified in Unified Planning Work Program (UPWP)
- Coordinate with MPOs/RPOs
- Attend or participate MPO and RPO committee and board meetings, as scheduled (some RPOs meet quarterly, or bi-monthly). Meetings can be attended using tele and video conferencing technologies

Quarterly Checklist

- INDOT Planning Liaisons meet with their assigned MPO/RPO to discuss progress on the Unified Planning Work Program (UPWP) or Statement of Work (SOW), if needed
- As needed, compile and submit UPWP quarterly amendments to FHWA-IN/FTA Region 5 for approval
- Review/approve MPO/RPO Reimbursement Packets (quarterly reports and invoices) and communicate approval/revisions
- As needed, review/approve MPO UPWP or SOW amendments
- As needed, review/approve RPO RWP amendments

Annual Checklist

- Request obligation of Planning funds (PL and SPR)
- Prepare and distribute Notices to Proceed to MPO/RPOs
- Conduct Quality Assurance Reviews Review
- Annual Performance and Expenditure Reports from MPOs/RPOs
- Review Annual Lists of Obligated Projects from MPOs
- CMAQ reporting for non-mandatory funds
- Solicit functional classification system updates from MPOs and RPOs, and capture new road construction, to submit as a packet to FHWA-IN



- Adopt Safety (Performance Measure 1) targets and submits via Annual HSIP Report provided by INDOT Safety Team.
- Work with INDOT Title VI Coordinator to provide the INDOT Planning Team updates on accomplishments related to INDOT's Title VI Implementation Plan

Every 2 Years

- Issue Notice of Closure letters to MPOs/RPOs and close out MPO/RPO projects according to federal requirements⁴¹; work INDOT Financial Team to close out Purchase Order
- Prepare draft PWP and budget and discuss with FHWA-IN, MPOs, and RPOs Compile and submit final PWP and budget to FHWA-IN for approval
- Assist MPO/RPOs with drafting new UPWPs/RWPs

Every 4 Years

- Monitor and review Metropolitan Transportation Plan (MTP) updates; submit to FHWA-IN and Governor (or designee) for informational purposes
- Review and update as necessary Cooperative Agreements with MPOs/RPOs; provide FHWA-IN the opportunity to review and comment prior to finalization
- Participate with FHWA-IN/FTA Region 5 in Federal Certification process of MPOs
- Update Statewide Travel Demand Model (as needed, but every four years at a minimum)

Every 5 Years

- Prepare and submit Long Range Transportation Plan (LRP) to FHWA-IN and FTA Region 5 for informational purposes (approximately every 3 years or as needed). Updates are due by April 1st.
- Review and update as necessary the Public Involvement Plan (at a minimum, in conjunction with update of LRP and/or when new federal transportation legislation is enacted); submit to FHWA-IN and FTA Region 6 for informational purposes (approximately every 3 years)
- Review Metropolitan Transportation Plan (MTP) updates (, which must update its MTP every 4 years); submit to FHWA-IN and Governor (or designee) for informational purposes
- Review/approve Regional Transportation Plan (RTP) updates; submit to FHWA-IN and FTA Region 5 for informational purposes (approximately every 5 years)
- Solicit comments from non-metropolitan local officials and other interested parties (for at least a 60-day period) regarding effectiveness of non-metropolitan local officials' consultation procedure; submit documentation to FHWA-IN and FTA Region 5 for informational purposes
- Prepare and submit a State Freight Plan to FHWA-IN (though this generally happens in coordination with the development and submittal of the LRP every 5 years)



Every 10 Years

- Conduct statewide functional classification system evaluation and update, after receiving updated population information from the Decennial Census (approximately every 10 years, halfway between the Decennial Census), to reflect significant changes in development and/or travel patterns
- Oversee, review, and approve urban area boundary “smoothing” adjustments to urban areas that elect to make changes following each Decennial Census, submit to Governor for approval (for changes that impact MPO boundaries only), and submit to FHWA-IN for concurrence
- Update Statewide Travel Demand Model (urban area boundaries, functional classification, traffic analysis zones, population, National Highway System)
- Review and revise Planning Distribution formulas with MPOs and FHWA-IN/FTA Region 5, submit to FHWA-IN and FTA Region 5 for approval
- Work with FHWA-IN to identify new transportation management areas

As Needed

- Participate in the update of the INDOT Title VI Plan
- Compile functional classification changes
- Review MPO Planning Area boundary changes, submit to Governor for approval, FHWA-IN for informational purposes
- Review and update as necessary Cooperative Agreements with MPOs/RPOs
- Review and update the Planning Procedures Manual; maintain current version on INDOT website
- Update Stewardship and Oversight Agreement with FHWA-IN
- Prepare documentation for FHWA-IN- and FTA Region 5-initiated audits and risk assessments for approval by FHWA-IN and FTA Region 5
- Conduct project closeouts
- Organize and participate in joint meetings with MPOs/RPOs



12. UPWP/SOW Review Checklist (INDOT)

The following checklist can assist INDOT Planning Liaisons as they review draft UPWPs. MPOs may also use the list as desired when drafting their UPWPs. The list is illustrative, not inclusive. It may be used in conjunction with the UPWP Template, also included in the PCPM Appendix C.

The Content of the UPWP/SOW Should:

- Demonstrate the scope and schedule of major tasks.
- Respond to planning priorities, including the FAST Act (or current federal legislation) Planning Factors.
- Comply with state and federal planning/administration program requirements and policies.
- Contain the MPOs annual certification and assurances. The MPO planning process should address the major issues facing the region and should be conducted in accordance with all applicable laws.
- Reflect how the MPO will address the Performance-Based Planning and Programming (PBPP) requirements
- Respond to INDOT concerns, regional transportation issues, regional transportation planning activities and transportation problems and needs facing the region.
- Reflect the progress made by the MPO in carrying out the previous year's program and its performance capabilities. All anticipated continuing activities should be clearly identified.
- Show non-planning sources for all project work in the UPWP, e.g., transit marketing, ride matching, transportation engineering and Transportation Development Act (TDA) required activities, etc.
- Respond to Air Quality and Conformity issues if needed (please see 40 CFR 93 for Conformity requirements).
- If an MPO has any indirect costs associated with the UPWP they must submit an Indirect Cost Plan (ICAP) or, if using the de minimis cost rate, provide a letter of approval from their federal cognizant agency.

The Financial Information in the UPWP Should:

- Reflect the fund source, type and amount for each work element. Also, show the same source, type and amount in the Financial Summary.
- Include and identify the correct local match for each federal fund source and type.
- Show consistency between the fund amounts identified within the work element/work task discussion and the fund amounts in the Financial Summary.



- Identify any carry-forward funds from prior years by fund source, type, amount and fiscal year within work elements and the Financial Summary.
- Ensure compliance with 2 CFR 200.

The Work Elements in the UPWP Should:

- Illustrate an organized and logical flow of work element tasks and activities from project inception to project completion.
- Contains task statements which include enough detail that the work product is easily identifiable, and eligibility can be easily determined.
- Work elements/work tasks which will be completed over multiple years should have a schedule that details and identified significant milestones to be accomplished throughout the term of the planning grant.
- Identify all planning consultant contracts in both the task and budget statements.
- All tasks and products listed are eligible uses of Federal Funds.



13. INDOT Annual MPO Quality Assurance Review Checklist/Report Template

Figure 19: INDOT Annual Quality Assurance Reviews Checklist & Report for MPOs & RPOs

MPO Name:	Person(s) Interviewed:
INDOT Liaison:	Review Date:
Reviewed/Approved By:	Approval Date:
<i>Follow-up Review Date:</i>	

1. Summarize results of agency audit (Provide context for any quotes, indicating the audit section in which the finding is found.), including any findings for the year end, including issues/findings and follow up needed as well as timelines for the MPO/RPO to address any findings. Provide context for any quotes, indicating the audit section in which the finding is found.

General Summary:
Concerns/Issues:
Best Practices:
Follow-Up Items:
<i>Follow-Up Item Notes:</i>

2. Planning Products – are the following current, on file and posted to the website?

Planning Product	Current	On-File	On-Website
Unified Work Plan or Statement of Work			
Transportation Improvement Plan (TIP)			
Metropolitan/Regional Transportation Plan			
Public Participation Plan (Updated Every 5-years)			
Title VI Plan with Contact Person Identified (Updated Every 5-years)			
Annual Performance & Expenditure Report			
Other Plans: List other plans.			

General Summary:
Concerns/Issues:
Best Practices:
Follow-Up Items:
<i>Follow-Up Item Notes:</i>

3. Boards/Committees - are the following current, on file and posted to the website?

Boards/Committees Items & Activities	Current	On-File	On-Website
Members, including Chair & Vice Chair			
Schedule of Meetings			
Agendas (Posted on website 48-hours Prior to Meetings)			
Meeting Minutes Available			



General Summary:
Concerns/Issues:
Best Practices:
Follow-Up Items:
<i>Follow-Up Item Notes:</i>

4. Financials - Reporting and Documentation

- ☐ Reimbursement Packets consistently submitted in a timely, complete, and accurate fashion?
- ☐ Reimbursement Packets include cover letters, Quarterly Reports, Budget Reports, Expenditure Summary, Invoices and supporting documentation? Are these provided with the Reimbursement Packets and maintained on file? Does the agency charge allocated costs consistently with what is included in the UPWP or SOW Budget?
 - i. Budget Report: track expenditures by line item as defined by task in the UPWP/SOW budget
 - ii. Expenditure Summary: provide a summary of federal funds expended plus local match paid, by quarter
- ☐ Is the documentation on file, well-organized, and accessible?
 - i. Security: what measures does the agency take to ensure their IT systems are secure? (explain below)

General Summary:
Concerns/Issues:
Best Practices:
Follow-Up Items:
<i>Follow-Up Item Notes:</i>

5. **Timesheets and Timesheet Summary** - All staff who charge time to a federally funded task are required to maintain internal, accurate, and current time records using database and spreadsheets comparable to the agency Time Tracking workbook provided in the Planning Procedures Manual. Liaison must randomly test a week to ensure the timesheets are on file and that they match what was included in that reimbursement packet.
- ☐ Is the agency able to provide access to timesheets?
 - ☐ Is the amount of time spent on duties and billed to FHWA funds clearly indicated?

General Summary:
Concerns/Issues:
Best Practices:
Follow-Up Items:
<i>Follow-Up Item Notes:</i>

6. Contracts Awards

- ☐ No Contract Awards during the time period covered by this QAR or Published Notice in Newspaper for Invitation for Bid or Request for Proposals (RFP) (advertisement), copy of ad
- ☐ Bidder's list at bid opening-Company(s) and quotation sheet(s); or copies of proposals received
- ☐ Award Letter, "NOTICE OF AWARD"/"NOTICE TO PROCEED" Forms
- ☐ All subsequent notices: starts, suspends, resumes, and completions
- ☐ Copy of fully executed Contract on file
- ☐ All invoicing (copies) for contractors, vendors, suppliers



General Summary:
Concerns/Issues:
Best Practices:
Follow-Up Items:
<i>Follow-Up Item Notes:</i>

7. Inventory of capital assets acquired with Federal Aid Highway Program funds valued at \$5,000 and greater

- ☐ Not applicable
- ☐ There are there property records that include a description of the property, serial or other identification number, source of property, who holds title, acquisition date, cost of property, percentage of Federal participation, location, use and condition of property and ultimate disposition data including date of disposal and sale price?
- ☐ Is there a physical inventory of the property with results reconciled with property records (at least once every 2 years)?
- ☐ Is there a control system developed to ensure adequate safeguards to prevent loss, damage or theft of property? If there was an occurrence did INDOT investigate and what were the results of that investigation?
- ☐ Are there adequate maintenance procedures developed to keep property in good condition?
- ☐ No Contract Awards during the time period covered by this QAR or Published Notice in

Note: Disposition of items of equipment at current, per-unit, fair market value in excess of \$5,000 may be retained or sold and the awarding agency (FHWA) has the right to an amount calculated by multiplying the current market value or proceeds from sale by awarding agency's share of the equipment.

General Summary:
Concerns/Issues:
Best Practices:
Follow-Up Items:
<i>Follow-Up Item Notes:</i>

8. Structure/Intergovernmental & Other Agreements

- ☐ Cooperative Agreement is on file with INDOT Technical Planning Section?
- ☐ MOA establishing the MPO is current and on file?

General Summary:
Concerns/Issues:
Best Practices:
Follow-Up Items:
<i>Follow-Up Item Notes:</i>

9. Traffic Count & Other Roadway Data

- ☐ MPO/RPO Traffic Count Program Aligned with INDOT
- ☐ MPO has worked with INDOT to maintain functional class and NHS designation

General Summary:
Concerns/Issues:
Best Practices:
Follow-Up Items:
<i>Follow-Up Item Notes:</i>

10. Public Involvement & Outreach/Environmental Justice/Title VI

- ☐ MPO/RPO has a compliant Public Involvement Plan
- ☐ Public attendance at meetings is encouraged and tracked



- ☐ Public input received is documented and addressed
- ☐ Agency performs outreach in Environmental Justice areas/communities and documentation
- ☐ Environmental Justice and Title VI complaints are documented, addressed, and tracked
- ☐ INDOT Planning Liaison is informed of all complaints and resolutions in a timely manner
- ☐ Meetings comply with Indiana Open Meeting Policies

General Summary:
Concerns/Issues:
Best Practices:
Follow-Up Items:
<i>Follow-Up Item Notes:</i>

I 1. Performance Measures (PM) & Performance-Based Planning & Programming (PBPP)

- ☐ MPO has adopted targets for PM 1 – Safety in this performance period due and have the resolution on file
- ☐ MPO adopted targets for PM 2 – Pavement and Bridge Condition in this performance period (due every four years, at a minimum, starting May 20, 2018) and have the resolution on file
- ☐ MPO adopted targets for PM 3 – System Performance, Freight, Congestion and Air Quality in this performance period (due every four years, at a minimum, starting May 20, 2018) and have the resolution on file?
- ☐ MPO include its targets for PM 1, PM 2, and PM 3 in their MTP (if adopted after May 27, 2018)?
- ☐ MPO have a self-certification included with every new TIP (adopted after May 27, 2018), indicating how the program of projects contributes to achieving the MPO's performance targets in the MTP?

General Summary:
Concerns/Issues:
Follow-Up Items:
<i>Follow-Up Item Notes:</i>

I 2. Explain How the MPO is Tracking All TIP Projects.

General Summary:
Concerns/Issues:
Best Practices:
Follow-Up Items:
<i>Follow-Up Item Notes:</i>

I 3. Non-Conformance Issues During the Time Period Since the Last QAR

- ☐ MPO/RPO follows the federal regulations and guidance from the INDOT-MPO Planning Cooperative Procedures Manual
- ☐ Any Corrective Actions Active

General Summary:
Concerns/Issues:
Follow-Up Items:
<i>Follow-Up Item Notes:</i>

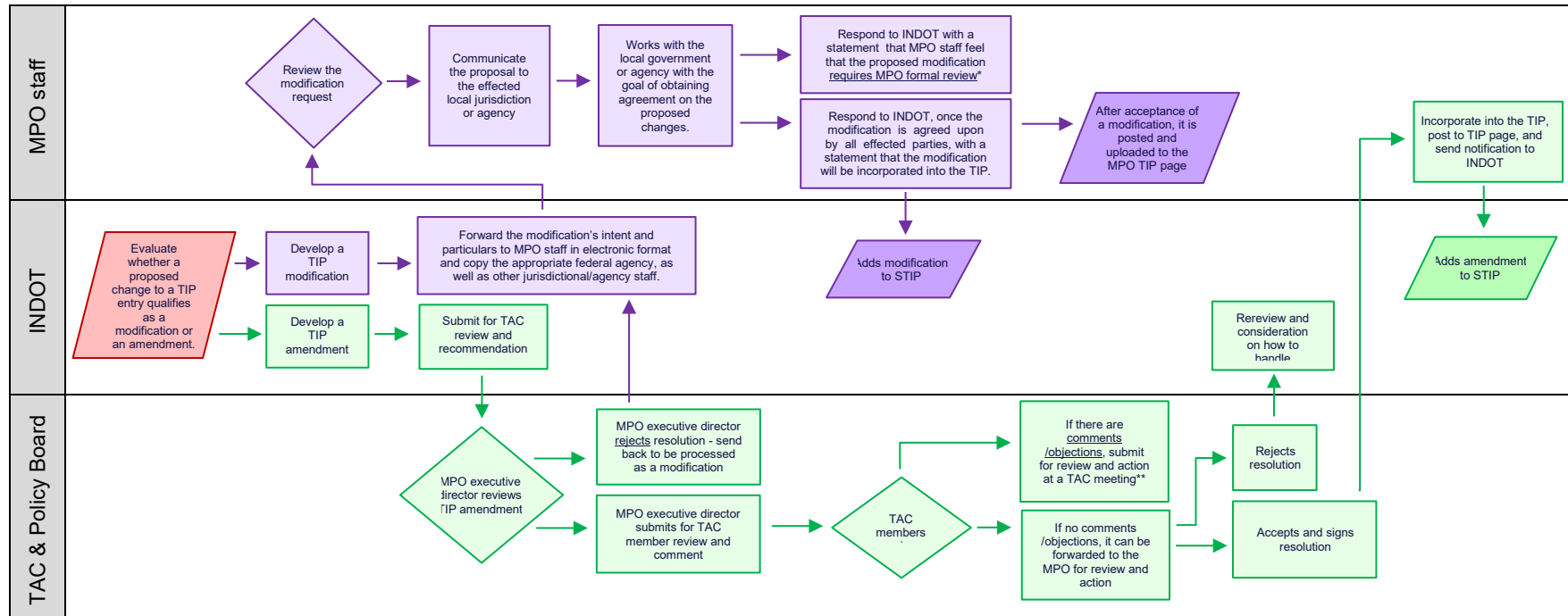
I 4. Additional Notes and Comments

General Summary:
Concerns/Issues:
<i>Follow-Up Item Notes:</i>



15.MPO Representative Process Maps for Amendments & Modifications

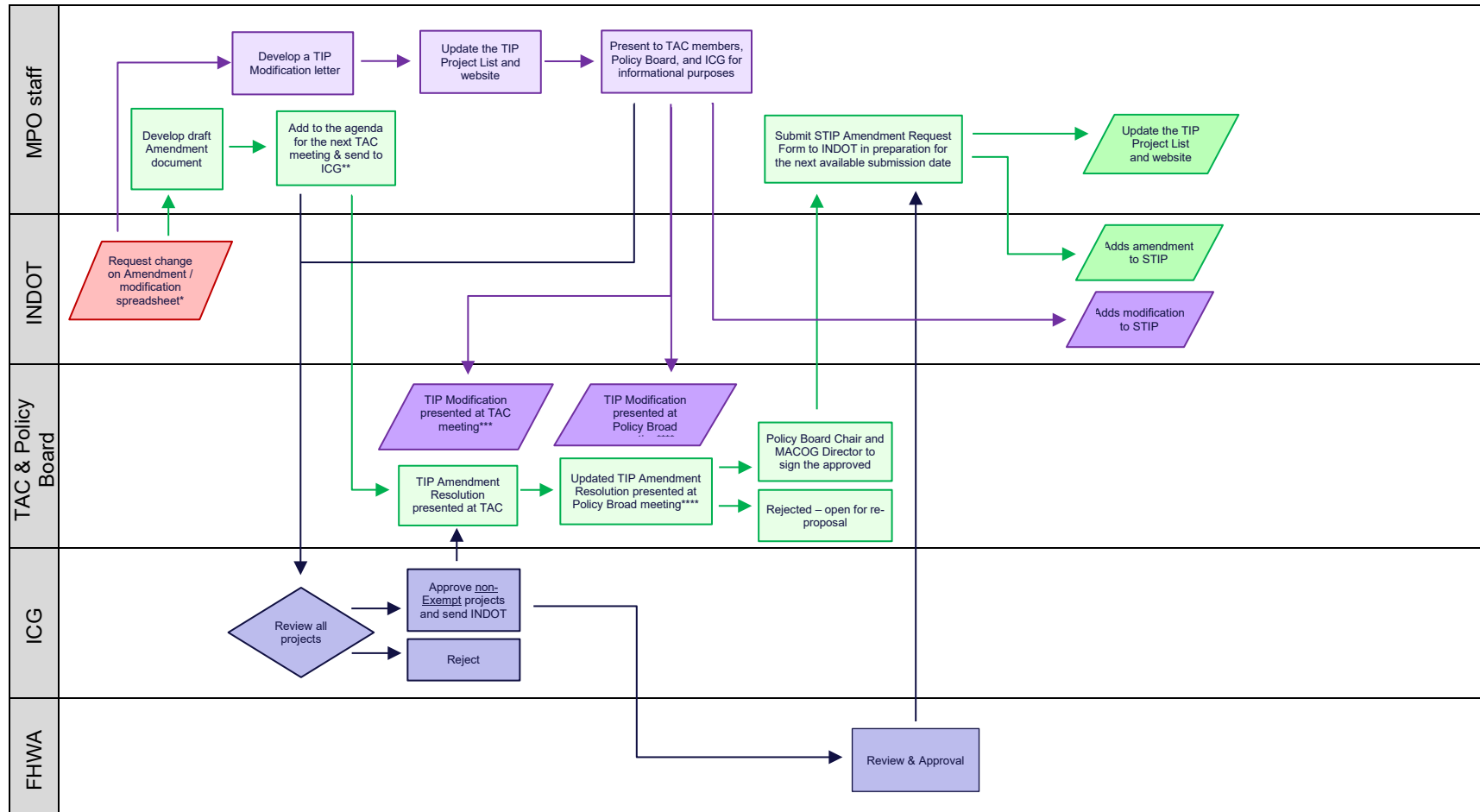
Figure 21: KHCGCC MPO TIP Amendments & Modifications Process Flow



S	Modification	As need basis	*Occurs very rarely
	Amendment	2-5 – Bi-monthly	**Amendment review must be completed and received by MPO staff at least three days prior to the scheduled MPO agenda mail out



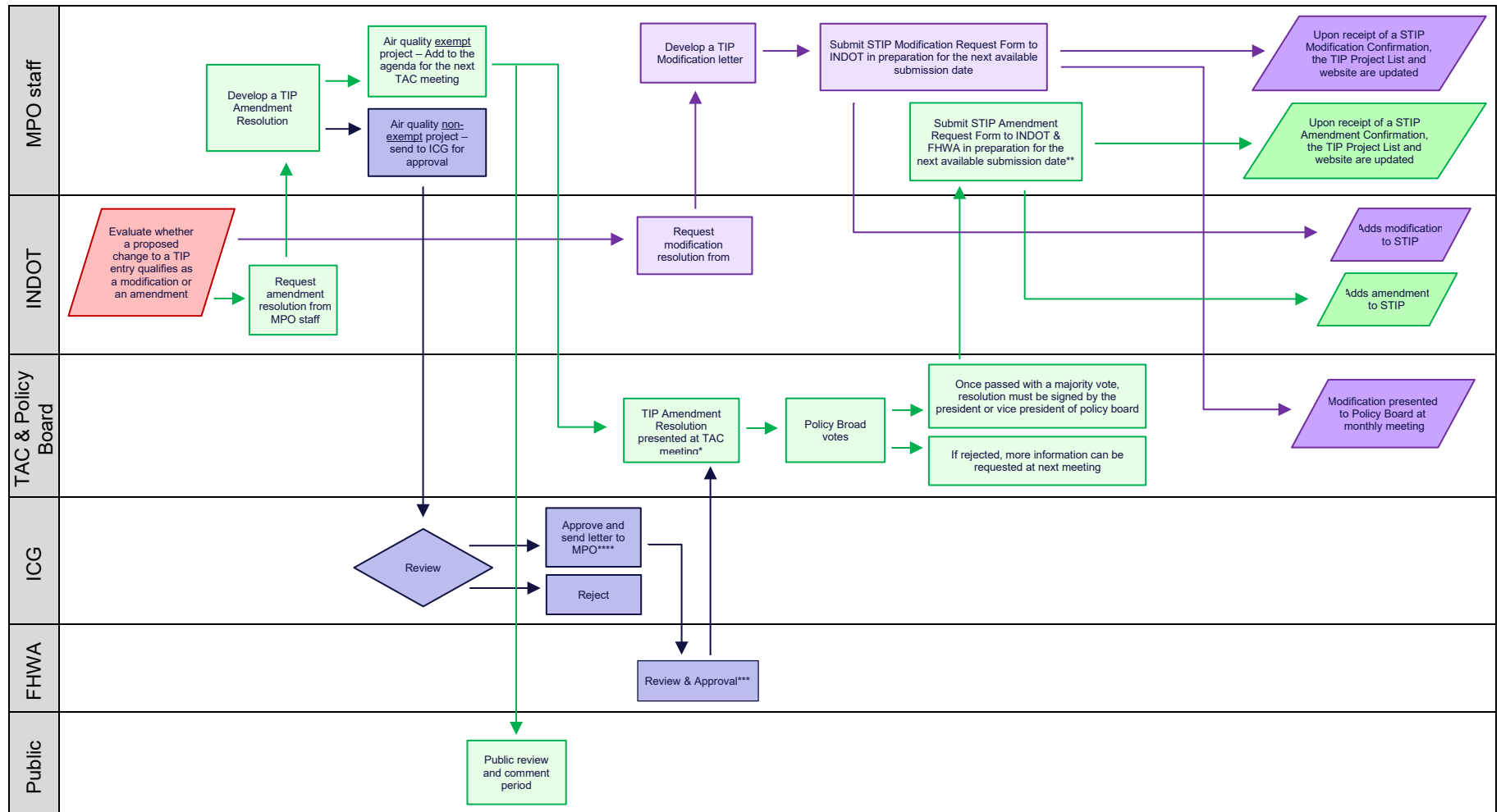
Figure 22: MACOG MPO TIP Amendments & Modifications Process Flow



Modification	Monthly	*Due to MACOG on the Friday before the Last Wednesday of the month		
Amendment	1 combined – Monthly	**Last Wednesday of the month	***First Wednesday of the month	****Second Wednesday of the month
Air Quality Conformity Non-Exempt				



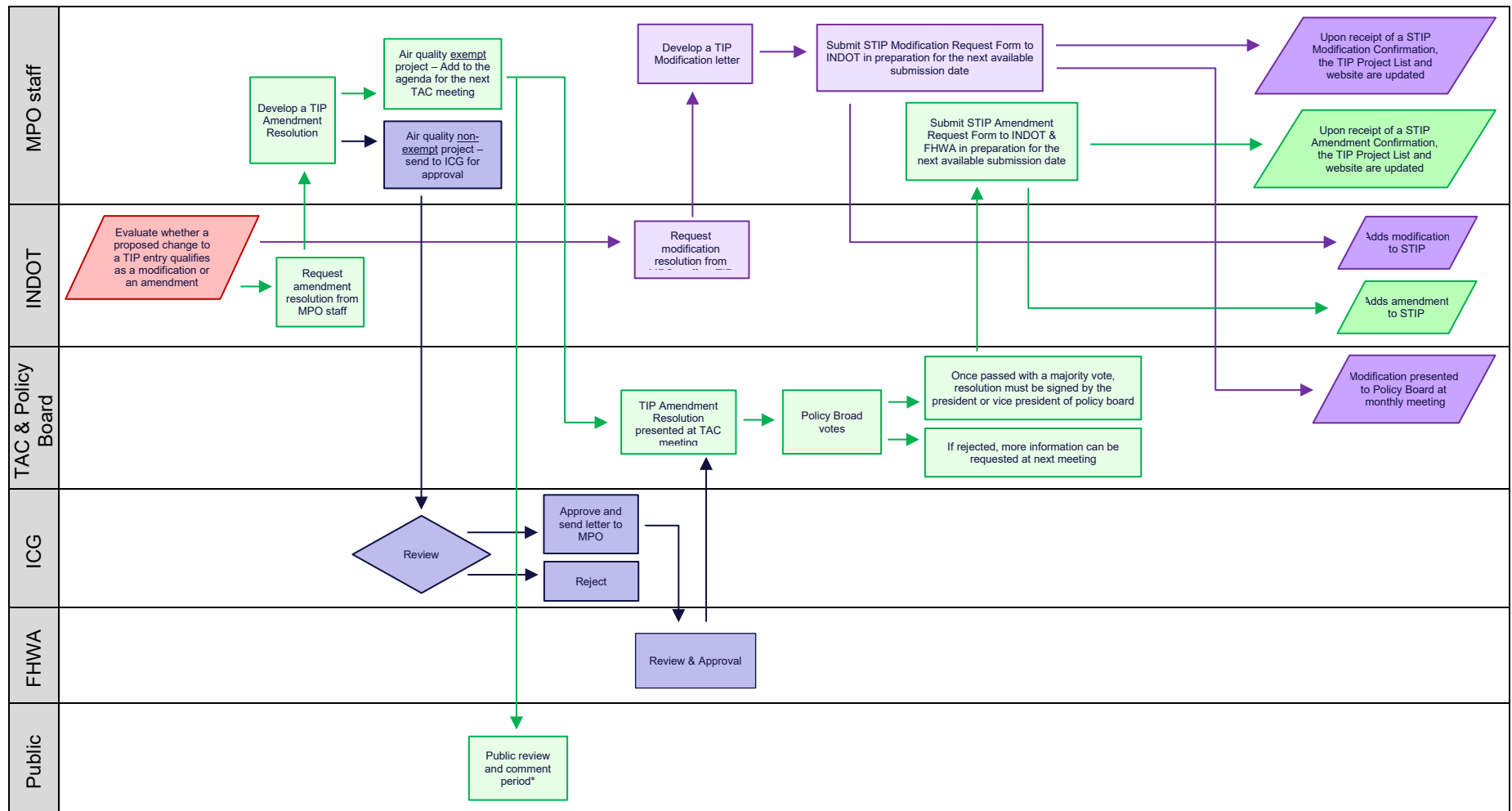
Figure 23: MCOG MPO TIP Amendments & Modifications Process Flow



Modification	1-2 – Annually		
Amendment	~1 – Monthly	*TAC meetings held bi-monthly	**Set date once per month
Air Quality Conformity Non-Exempt		***Needs to be sent 7 days prior to TAC meeting	****14 days to approve



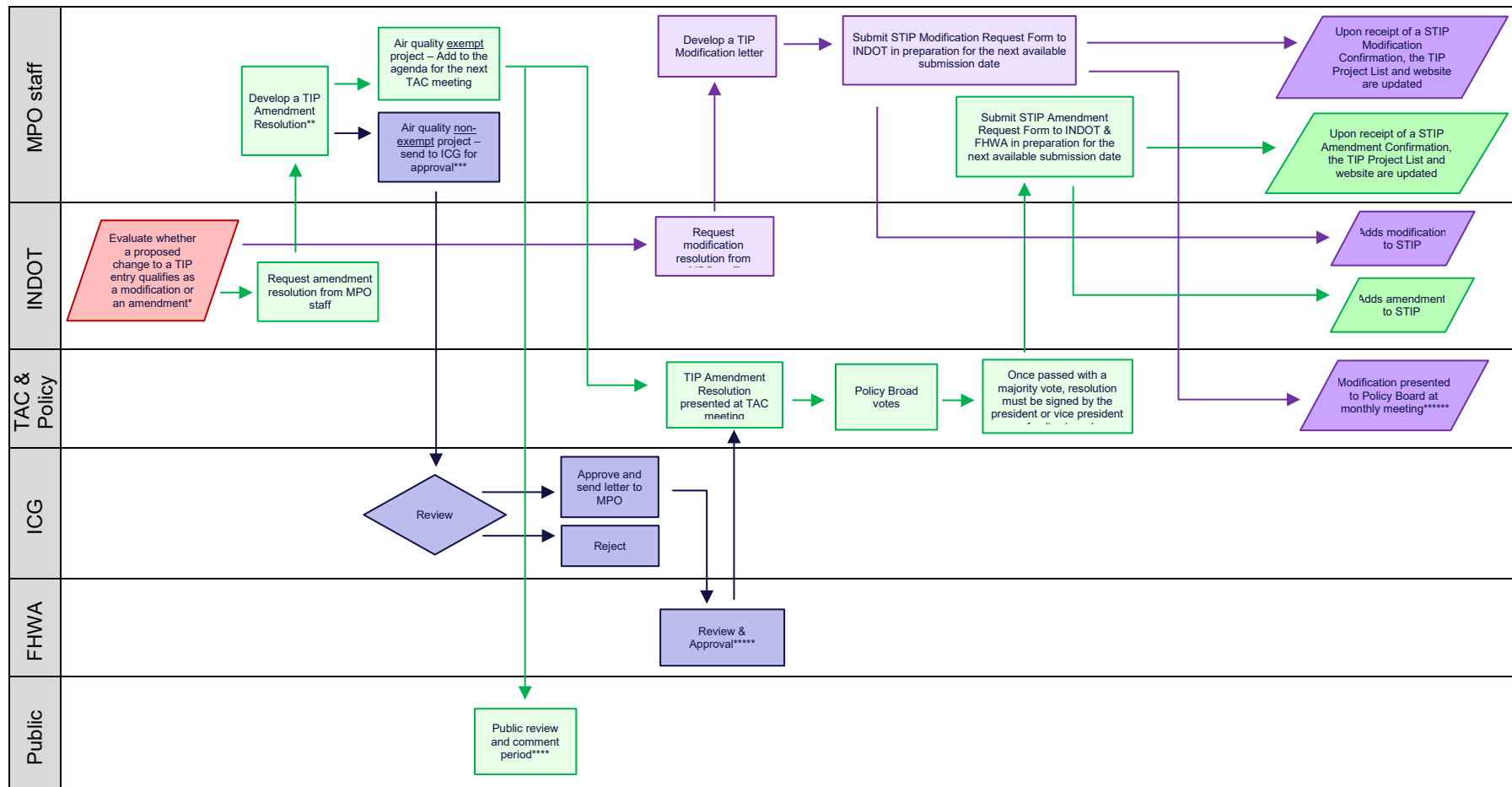
Figure 24: INDY MPO TIP Amendments & Modifications Process Flow



Modification	1-2 – Monthly	
Amendment	Bi-monthly	*10 days
Air Quality Conformity Non-Exempt		



Figure 25: KIPDA MPO TIP Amendments & Modifications Process Flow



Modification	1-2 – Monthly	*5-15 days to submit project changes	*****10 days prior to meeting
Amendment	~3 – Annually	**15-30 days for staff to review	****15 days
Air Quality Conformity Non-Exempt		***30-60 days for air quality analysis process	*****60+ days for Federal/state review



16. Amendment & Modification Classifications by MPO

Figure 26: Amendment Classifications by MPO

LEGEND														
X	MPO does NOT classify category as an amendment													
✓	MPO does classify category as an amendment													
	No information provided													

Criteria	MACOG	MCCOG ⁷⁴	IMPO	KIPDA ⁷⁵	KHCGCC	BMCMPPO	OKI	CAMPO	EMPO	NIRCC	TCAPC	DMMPFC	NIRPC	THAMPO
Additions														
Adding a new project														
All new projects	X	✓	✓	X	✓	✓	X	✓	✓	X ⁷⁶	✓	✓	✓	✓
New local projects	✓	✓	✓	X	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Federally funded, Regionally Significant	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		✓	✓	✓
Air Quality Conformity Non-Exempt project	✓	✓	✓	✓ ⁷⁷	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Project not consistent with current MTP		✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Controversial/receiving significant negative public comment		✓	✓		✓	✓	✓	✓		✓	✓	✓	✓	
Adding a new phase of a project														
All new phases	X	✓	✓	X	✓	✓	✓	✓	X	X	✓	✓	✓	X
New phases of local projects	✓	✓	✓	X	✓	✓	✓	✓	X	✓	✓	✓	✓	X
Federally funded, Regionally Significant	✓	✓	✓	X	✓	✓	✓	✓	X	✓	✓	✓	✓	X
Deletions														
Deleting a project or phase														
All projects or phases	X	✓	✓	X ⁷⁸	✓	X	✓	✓	✓	✓	✓	X	✓	✓
Federally funded, Regionally Significant	✓	✓	✓	X	✓	X	✓	✓	✓	✓	✓	X	✓	✓
Fiscal Year														
Change in year														
Fiscal year for any project	X	✓	X	X	✓	✓	✓	X	X	X ⁷⁹	✓	X	X	
Fiscal year for local projects	X	✓	X	X	✓	✓	✓		X	X	✓	X	X	
Moving any project from the 5th illustrative year into the TIP	X	✓ ⁸⁰	✓	X ⁸¹	✓	✓	X			✓	✓	✓	✓	✓
Moving a local project from the 5th illustrative year into the TIP	✓ ⁸²	✓	✓	X	✓	✓	X			✓	✓	✓	✓	✓
Scope														
Change in scope														
Any change to original project intent	✓	✓	X	X	✓	✓		X		✓	✓	X	✓	
"Significant"/"substantive" change to original project intent	✓	✓	✓	✓ ⁸³	✓	✓	X	✓	✓	✓	✓	✓	✓	✓
Impacting air quality conformity	✓	✓	✓	✓	✓	✓	X	✓		✓		✓	✓	✓
Impacting the design concept	✓	✓	✓	✓	✓	✓	X	✓		✓	✓	✓	✓ ⁸⁴	
Reduction of an existing project scope	✓	X	X ⁸⁵	✓	✓	✓	X			✓	✓	X	X	
Change in project length														

⁷⁴ Policies are subject to change in the future.

⁷⁵ For more in-depth classification of KIPDA Amendments vs. Modifications, visit Appendix I – KIPDA TIP Change Flow Chart.

⁷⁶ Adding new projects or phases would be an amendment, except for "Exempt" projects (group projects)

⁷⁷ Air Quality Conformity Exempt projects that do not fit KIPDA's Group Projects Cost Thresholds are processed as amendments (see KIPDA's Group Project Policy for more detail on the project cost threshold for each category)

⁷⁸ If all of the phases of a project are deleted then KIPDA processes it as an amendment, however if one or many phases only are deleted, then KIPDA will not process it as an amendment.

⁷⁹ If within first four (4) years of the TIP – applies to following item as well.

⁸⁰ Moving any project from an expiring Transportation Bill into a New Transportation Bill

⁸¹ See KIPDA rules for further detail on new projects being added to the TIP.

⁸² Also, moving a local project in the TIP to the 5th illustrative year.

⁸³ For the following change in scope items, note that KIPDA will only process them as amendments for Non-Exempt Projects and Exempt Projects that are NOT Group Projects

⁸⁴ "Significant" change

⁸⁵ Reduction of existing project scope would likely not be an amendment but would depend on the significance of the original project intent.



Criteria	MACOG	MCCOG ⁷⁴	IMPO	KIPDA ⁷⁵	KHCGCC	BMCMP	OKI	CAMPO	EMPO	NIRCC	TCAPC	DMMP	NIRP	THAMPO
Any change in project length	X	✓		✓	✓					X ⁸⁶	✓	X	X	
by 0.5 mile or greater	✓	✓		✓	✓					✓	✓	✓	✓ ⁸⁷	
Funding / Costs														
Increase or decrease in total funding														
Any change in funding	X	X ⁸⁸	X	X	✓	X	X	X	X	X	X	X	X	
by 10% or greater than total project cost	X	X	X	X	✓	X	X	X	X	X	✓	X	X	
by 20% or greater than total project cost	X	X	X	X	✓	X	✓ ⁸⁹	✓ ⁹⁰	X	X	✓	X	X	
by 30% or greater than total project cost	✓	X	X	X	✓	X	✓ ⁹¹	✓	✓ ⁹²	✓ ⁹³	✓	X	X	
by 40% or greater than total project cost	✓	X	X	X	✓	X	✓	✓	✓ ⁹⁴	✓ ⁹⁵	✓	X	X	
by 50% or greater than total project cost	✓	X	✓	X	✓	✓ ⁹⁶	✓ ⁹⁷	✓	✓ ⁹⁸	✓ ⁹⁹	✓	✓	✓	✓
by 75% or greater than total project cost	✓	X	✓	X	✓	✓	✓	✓ ¹⁰⁰	✓ ¹⁰¹	✓	✓	✓	✓	✓
by \$100,000 or greater		X	✓	X	✓	X	X	X	X	X	X	X	X	
by \$300,000 or greater		X	✓	X	✓	X	✓ ¹⁰²	X	X	X	X	X	X	
by \$1.5m or greater		X	✓	X	✓	X	✓ ¹⁰³	X	X	X	X	X	X	
Triggers a new fiscal constraint determination		X		✓	✓	✓				✓		✓	✓	✓
Requires any local matching		X		X	✓	X		X		X		X	X	
Requires local matching more than \$50,000 (local projects)		X		X	✓	X		✓		X		X	X	
Requires local matching more than \$250,000 (INDOT projects)		X		X	✓	✓		✓		X		X	X	
Redistribution of funding to new phases		X		X	✓	X				X	X	X	X	

Figure 27: Modification Classifications by MPO

LEGEND	
X	MPO does NOT classify category as a modification
✓	MPO does classify category as a modification
	No information provided

Criteria	MACOG	MCCOG	IMPO	KIPDA	KHCGCC	BMCMP	OKI	CAMPO	EMPO	NIRCC	TCAPC	DMMP	NIRP	THAMPO
Additions														
Adding "grouped projects"														
Uses "grouped projects"	✓	X	X	✓ ¹⁰⁴	X	✓	✓	X	✓	✓	X	✓	X	✓
Bridge, Culvert and Small Structure Preservation	✓	X	X	✓	X	✓	✓	X	✓	✓	X		X	✓
Signing, Marking, Striping and Rumble Strips	✓	X	X	✓	X	X	✓	X	✓	✓	X		X	✓
Traffic Signal System and Lighting improvements	✓	X	X	✓	X	✓	✓	X	✓	✓	X		X	✓
Guardrail and Median Protection/Cable Barriers	✓	X	X	✓	X	X	✓	X	✓	✓	X		X	✓
Rail crossing protection	✓	X	X	✓	X	✓	✓	X	✓	✓	X		X	✓

⁸⁶ If it impacts the project scope, then it will be an Amendment.

⁸⁷ By 0.25 miles or greater

⁸⁸ All increases in funding are amendments however, any decreases in funding are considered a modification. Additionally, any change in funding split will be considered an amendment.

⁸⁹ For FHWA projects of \$10m or greater. For FTA projects of \$5m or greater.

⁹⁰ For local projects of \$100,000 or greater. For INDOT projects of \$500,000 or greater.

⁹¹ For FHWA projects between \$5m - \$10m. For FTA projects between \$1m - \$5m.

⁹² For projects greater than \$25m.

⁹³ For projects greater than \$25,000,000

⁹⁴ For projects between \$10m - \$25m.

⁹⁵ For projects between \$10,000,000 - \$24,999,999.

⁹⁶ For LPA projects excluding transit.

⁹⁷ For FHWA projects between \$3 - \$5m. For FTA projects between \$600,000 - \$1m.

⁹⁸ For projects between \$2m - \$10m.

⁹⁹ For projects between \$2,000,000 - \$9,999,999m.

¹⁰⁰ For projects less than \$2m.

¹⁰¹ For projects less than \$2,000,000.

¹⁰² For FTA projects less than \$600,000.

¹⁰³ For FHWA projects less than \$3m.

¹⁰⁴ Air Quality Conformity Exempt projects that fit KIPDA's Group Projects Cost Thresholds (see [KIPDA's Group Project Policy](#) for more detail on the project cost threshold for each category)



Criteria	MACOG	MCCOG	IMPO	KIPDA	KHCGCC	BMCMP	OKI	CAMPO	EMPO	NIRCC	TCAPC	DMMP	NIRPC	THAMPO
<i>Bicycle/Pedestrian Facilities identified in ADA plans</i>	X	X	X	✓	X	✓	✓	X	✓	X	X		X	✓
<i>Statewide and Non-Construction Activities</i>	✓	X	X	✓	X	X	✓	X	✓	✓	X		X	✓
<i>Air Quality Improvements</i>	X	X	X	✓	X	X		X	X	X	X		X	✓
<i>Safety Improvements</i>	X	X	X	✓	X	✓		X	X	X	X		X	✓
<i>Roadway Operational Improvements</i>	X	X	X	✓	X	X		X	X	X	X		X	✓
<i>Transportation Enhancements</i>	X	X	X	✓	X	✓		X	X	X	X		X	✓
<i>Transit Improvements</i>	X	X	X	✓	X	X		X	X	X	X		X	✓
<i>Transportation Studies</i>	X	X	X	✓	X	X		X	X	X	X		X	✓
<i>Pavement preservation</i>	X	X	X	✓	X	X	✓	X	✓	✓	X		X	✓
<i>Commuter ridesharing programs</i>	X	X	X	✓	X	X		X	✓	X	X		X	✓
<i>Operating assistance to transit agencies</i>	X	X	X	✓	X	✓		X	✓	X	X		X	✓
<i>Purchase of new buses to replace existing vehicles</i>	X	X	X	✓	X	✓		X	✓	X	X		X	✓
<i>Rehabilitation of transit vehicles</i>	X	X	X	✓	X	✓		X	✓	X	X		X	✓
<i>Trail Projects</i>	X	X	X	✓	X	✓		X	X	X	X		X	✓
Adding a new project														
<i>All projects considered minor in nature</i>		X	X	✓	X	X		X		X	X	X	X	X
<i>State projects considered minor in nature</i>		X	X	✓	✓	X		X		X	X	X	X	X
<i>Phases to construction projects</i>		X	X	✓		X	X	X	✓	X	X	X	X	✓
<i>All safety concern related projects</i>		X	X	✓	X	✓		X		X	X	X	X	
<i>Safety concern related State projects</i>		X	X	✓	X	✓		X		X	X	X	X	
<i>Projects that share utilities</i>		X	X	✓		✓		X		X	X	X	X	
<i>Project or phase consistent with the current MTP</i>		X	X	✓	X	✓		X	✓	X	X	X	X	
<i>Non-controversial projects, i.e., will not go out for public comment</i>		X	X	✓	X	X		X		X	X	X	X	
<i>Air quality neutral project "Exempt" projects</i>		X	X	✓	X	X		X		X	X	X	X	
Deletions														
Deleting a project or phase														
<i>All projects or phases</i>	X	X	X	X ¹⁰⁵	X	✓	X	X	X	X	X	✓	X	✓
Fiscal Year														
Change in year														
<i>Fiscal year of any project</i>	✓	X ¹⁰⁶	✓	✓	X	X	X	X	X	✓	✓	✓	✓	✓
<i>Fiscal year for a phase in any project</i>	✓	X	✓	✓	X	X	X	X	X	✓	✓	✓	✓	✓
<i>within the TIP</i>	✓	X	✓	✓	X		✓	X	✓	✓		✓	✓	
<i>Fiscal year of a State project or phase</i>	✓	X	✓	✓	✓	✓	✓		✓	✓	✓	✓	✓	✓
<i>Fiscal year with no impact to fiscal constraint</i>		X	✓	✓	✓	X	✓		✓	✓	X	✓	✓	✓
<i>Designation Number (Des. #)</i>		X			X	X			✓ ¹⁰⁷	✓	X	✓	✓	✓
Scope														
Change in scope														
<i>Splitting/combining projects</i>	✓	X		✓ ¹⁰⁸	X	✓	✓		✓	✓	✓	✓ ¹⁰⁹	X	✓
<i>Project description</i>	✓	X		✓ ¹¹⁰	X	X	✓		X	✓	✓	✓	✓ ¹¹¹	✓
<i>Reduction in project scope</i>	X	✓			X	X	✓			X	✓	✓	✓	✓
<i>Revision to "grouped projects"</i>	✓	X	X		X	X	✓			✓		✓	✓	✓
<i>w/o impact to original project intent or air quality</i>	✓	X	✓	✓	X	✓	✓	✓	✓	✓		✓	X	✓
Change in project length														
<i>by less than 0.5 mi</i>	✓	X			X	X	✓			✓ ¹¹²	✓	✓	✓ ¹¹³	
<i>w/o impact to original project intent or air quality</i>	✓	X	✓		X		✓			✓		✓	✓	
Funding / Costs														
Change in funding														

¹⁰⁵ Deleting all phases of a project is an amendment not a modification, however one or many phases being deleted is a modification.

¹⁰⁶ Only a modification if it is in the current transportation bill.

¹⁰⁷ Adding a des # to a project/contract is an amendment only if it impacts the fiscal constraint. Otherwise, no amendment/modification is required to make the change

¹⁰⁸ Splitting/combining projects Air Quality Conformity Exempt projects that fit KIPDA's Group Projects Cost Thresholds are modifications (see [KIPDA's Group Project Policy](#) for more detail on the project cost threshold for each category

¹⁰⁹ If it impacts the project scope, then Amendment – same goes for following item.

¹¹⁰ Assuming it is non-exempt and does not change the scope

¹¹¹ Clarifications

¹¹² If it impacts the project scope, then Amendment

¹¹³ By less than 0.25 mi



Criteria	MACOG	MCCOG	IMPO	KIPDA	KHCGCC	BMCMP	OKI	CAMPO	EMPO	NIRCC	TCAPC	DMMP	NIRPC	THAMPO
<i>Funding category</i>	✓	X ¹¹⁴	✓	✓	X	✓	✓ ¹¹⁵		X	✓		✓	✓	✓
<i>with no impact to fiscal constraint</i>	✓	X		✓	X	✓			✓	✓	✓	✓	✓	✓
<i>by 20% or less than total local project cost</i>	✓	X	X	✓	X	X		✓	X	✓	✓	✓	✓	✓
<i>by 30% or less than total project cost</i>	✓	X	X	✓	X	X		X	✓ ¹¹⁶	X ¹¹⁷	✓	✓	✓	✓
<i>by 40% or less than total project cost</i>	X	X	X	✓	X	X		X	✓ ¹¹⁸	X ¹¹⁹	✓	✓	✓	✓
<i>by 50% or less than total project cost</i>	X	X	✓ ¹²⁰	✓	X	✓		X	✓ ¹²¹	X ¹²²	✓	✓	X	X
<i>by 75% or less (total project cost of less than \$2m)</i>	X	X	X	✓	X	X		X	✓ ¹²³	X ¹²⁴	✓	X	X	X
<i>by less than \$100,000</i>		X	✓	✓	X	X		X	X	X	✓	✓	✓	
<i>State funding only – no local match required</i>		X	X	✓	✓	✓		✓		X	✓	✓		
<i>from federal to state or local</i>		X	X	✓	X	✓			✓	X		✓	✓	
<i>Requires local matching less than \$50,000 (local projects)</i>		X	X	✓	X	X		✓		X		✓		
<i>Requires local matching less more than \$250,000 (INDOT projects)</i>		X	X	✓	X	X		✓		X		✓		
<i>Allocation changes for a phase of existing project in the TIP</i>		X	X	✓	X	✓				X	✓	✓		
Corrections														
Minor corrections														
<i>Data entry errors</i>	✓	X	✓	✓	✓	X	✓	✓	X	✓	✓	✓	✓	✓
<i>Typographical errors</i>	✓	X	✓	✓	✓	X	✓	✓	X	✓	✓	✓	✓	✓

¹¹⁴ Reduction in any awarded funds would be a modification.

¹¹⁵ Revision to TIP Fund Type of FY within TIP period.

¹¹⁶ For projects greater than \$25m.

¹¹⁷ For projects greater than \$25m.

¹¹⁸ For projects between \$10m – \$25m.

¹¹⁹ For projects between \$10m – \$25m.

¹²⁰ Total project cost of less than \$100,000.

¹²¹ For projects between \$2m – \$10m.

¹²² For projects between \$2m – \$10m.

¹²³ For projects less than \$2m.

¹²⁴ For projects less than \$2m.



17. MACOG Amendment & Modification Classification

Table 26: MACOG Administrative Modification vs Amendment Process Classification¹²⁵

If the Action is:	Administrative Modification	Amendment
ADDITION		
Adding a new project to TIP.		X
Adding a new phase for a project to TIP.		X
Adding “grouped projects”**	X	
DELETION		
Deleting a project to TIP.		X
Deleting a phase for a project to TIP.		X
FISCAL YEARS		
Move a project to another fiscal year in the TIP.	X	
Moving any identified project phase programmed for a previous year into a new TIP.	X	
SCOPE		
Increasing/Decreasing project length by ½ mile or more.		X
Increasing/Decreasing project length by less than a ½ mile.	X	
Splitting or combining projects without modifying the original project intent.	X	
Changing or clarifying elements of a project description with no change in funding and without altering original project intent.	X	
FUNDING		
Moving a project from one funding category to another, with no impact to fiscal constraint.	X	
Increasing/Decreasing project funding by 30% or more.		X

¹²⁵ Table courtesy of MACOG MPO – Modification Process



Increasing/Decreasing project funding by less than 30%, with no impact to fiscal constraint.	X	
CORRECTIONS		
Correcting minor data entry and typographical errors.	X	

Group Project Category	Total Project Costs		
	2017	2018	2019
Bridge, Culvert and Small Structure Preservation			
Signing, Marking, Striping and Rumble Strips			
Traffic Signal System and Lighting improvements			
Median guardrail/cable projects with no change to access			
Rail crossing protection			

Federal Regulations permit projects that are not considered to be of appropriate scale for individual listing to be combined or Grouped under a single listing. Such listings are grouped by function, work type, or geographical area and must be consistent with the exempt project classification contained in EPA's Transportation Conformity Regulations (40 CFR part 93). Individual projects from the grouped project categories will be incorporated into the TIP by Administrative Modification as they are defined (in terms of project description, scope and cost) and approved.

Table 27: MACOG Group Project Categories¹²⁶

Example Work Types that may be used for projects in the identified Group Project categories.
Bridge, Culvert and Small Structure Preservation: Includes BCPI, bridge painting, inspections, scour, deck overlay, pipe lining/replacements
Bridge Rehabilitation Or Repair
Bridge Deck Overlay
Bridge Deck Patching
Bridge Deck Sealing
Bridge Deck Barrier Wall
Bridge Thin Deck Overlay
Lower Pavement
Lower Pavement
Bridge Painting
Substructure Repair And Rehabilitation
Bridge Maintenance And Repair
Repair Or Replace Joints
Straighten Beam

¹²⁶ Table courtesy of MACOG MPO – Updated Version of Grouped Projects with Work Types



Railing Replace Or Repair
Repairs To Approach Slab
Bridge Cleaning
Arch Reconstruction Or Repair
Repair/Replace Cathodic Protection
Bridge Channel Correction
Debris Removal From Channel
Channel Clearing And Protection
Scour Protection (Erosion)
Bridge Rehab-Pipe Lining
District Wide Bridge Maintenance
Small Structures & Drains Construction
Small Structure Replacement
Culvert Clean And Repair
Box Culvert Replacement
Small Structure Pipe Lining
Small Structure Paved Invert
Small Structure Maint and Repair
Paved Side Ditch Repair
Slotted Drain Or Inlet Replacement
Storm Sewer Repair Or Replacement
Other Sewer/Curb/Gutter Construction
Remove Bridge Abutments
Bridge Inspections
Underwater Bridge Inspections
Single Location Bridge Inspection

Pavement Preservation: Includes PPI projects, 1 & 2 lay overlays,
Patch And Rehab Pavement
Patch And Rehab Bituminous Pavement
Asphalt Patching
Crack Sealing
Drainage Inspection and Cleaning
Patch and Rehab PCC Pavement
PCCP Patching
Profiling, PCCP
PCCP Cleaning and Sealing Joints
Undersealing
Retrofit Joint Load Transfer
Resurface over Asphalt Pavement
HMA Overlay, Preventive Maintenance
Surface Treatment, PM
Surface Treatment, Thin HMA Overlay



Surface Treatment, Chip Seal
Surface Treatment, Microsurface
Surface Treatment, Ultrathin Bonded Wearing Course
Resurface PCC Pavement (Partial 3/R Standards)
Crack & Seat PCCP & HMA Overlay
Concrete Pavement Restoration (CPR)
Crack & Seat Composite Pavement & HMA Overlay
Crack & Seat PCCP & HMA Overlay
Repair PCCP & HMA Overlay
Rubblize PCCP & HMA Overlay
PCCP on PCC Pavement
Rubblize Composite & HMA Overlay
Wedge And Level
Shoulder Rehabilitation And Repair
Institution & Park Road Maintenance

Guardrail and Median Protection/Cable Barriers
Install New Guard Rail
Guardrail, Maintenance Or Repair
Guardrail, Maintenance
Replace Guard Rail
Repair Guard Rail
Guard Rail Attenuators, New Or Modernize
Barrier Wall
Repair Or Replace Barrier Wall
Glare Screen And/Or Extensions
Install New Cable Rail Barriers
Cable Rail Barrier Maintenance or Repair

Traffic Signal and Lighting System Improvements
Signs, Lighting, Signals And Markings
Lighting
Lighting Installation / Maintenance
Install New Continuous Lighting
Modernize Continuous Lighting
Install Lighting
Repair Or Replace Lighting
Lighting Maintenance
Tower Lighting
Traffic Signals
Traffic Signals, New Or Modernized
New Signal Installation
Traffic Signals Modernization



Install Loop Detector
Closed Loop Interconnect System
Freeway Traffic Control System
New Flasher Installation
Flashers, Modernize
Traffic Signal Maintenance
Traffic Signal Repair
Pedestrian Flashing Beacons, Installed
Traffic Signal Visibility Improvements
Traffic Hardware Modernization
Traffic, Other
Intelligent Transportation Systems (ITS)
ITS Traveler Information Systems
New Dynamic Message Sign (Dms)
Modernize Dynamic Message Sign (Dms)
New Highway Advisory Radio (Har)
Modernize Dynamic Message Sign (Har)
Software Dev And App For Dyn. Mess Sign
ITS Traffic Management Systems
Work Zone Traffic Management Systems
Software Dev And App For Traf.Mess. Sys.
ITS Traffic Monitoring Systems
New Traf Flow Detection Devices/Hardware
Mod Traf Flow Detection Devices/Hardware
Software Dev And App For Traf. Flow Det.
ITS Communications Systems
New Communication Towers
Modernized Communications Towers
New Fiber Optic Systems
Modernized Fiber Optic Systems
New Wireless Communications Systems
Modernized Wireless Communication System
Software Dev And App For Wireless System
ITS Operations And Maintenance Contracts
ITS Devices Maintenance Contracts
ITS Program Contracted Services
ITS Program Equipment

Signing, Marking, Striping and Rumble Strips
Signing
Signing Installation / Repair
New Sign Installation
Sign Modernization (Series Of Units)



Overhead Sign Install
Overhead Sign Repair
Un-Signalized Intersection Sign & Marking Visibility Imp
Curve Sign and Marking Visibility Improvements
Pavement Markings
Line, Paint
Line, Thermoplastic
Raised Pavement Markings, New
Raised Pavement Markings, Refurbished
Line, Preformed Plastic
Centerline & Edge Line Rumble Stripes Installation
Centerline Rumble Stripes Installation
Edge Line Rumble Stripes Installation

Rail Crossing Protection
Railroad Work
Railroad Protection
Railroad Protection & Surface

Bicycle/Pedestrian Facilities (identified in local or state Transition Plans to meet requirements of ADA)
Construct ADA Approved Sidewalk Ramps
Small Community Sidewalk

Statewide and Non-Construction Activities
Maintenance: Tree trimming, mowing, fence replacement/repair
Purchases: Drones, survey equipment, data, software,/licensing/ fees, etc.
State Police Patrols
Bridge Inspection
Statewide consultant/contract services: Plan Review, Testing, Utility coordination, Dispatch Operations, HELPERS, etc.



18. MCCOG Amendment & Modification Classification

RESOLUTION 09 2013

RESOLUTION CHARACTERIZING AMENDMENTS OR MODIFICATIONS TO THE TRANSPORTATION IMPROVEMENT PROGRAM¹²⁷

WHEREAS, each urbanized area participating in the programs of the Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) must assure that funded transportation projects are included in the local Transportation Improvement Program (TIP), as well as the Indiana State Transportation Improvement Program (INSTIP), and

WHEREAS, the Madison County Council of Governments (MCCOG) is the agency designated by the Governor as the Metropolitan Planning Organization (MPO) to maintain the Transportation Improvement Program (TIP) for the Anderson/Madison County Metropolitan Planning Area, and

WHEREAS, MCCOG has defined the TIP as the original TIP Document in its entirety and has defined the TIP Project List as the list of projects as included in the original TIP Document that has been amended and modified with changes and corrections identified by the Indiana Department of Transportation (INDOT), FHWA, or the Local Planning Agency (LPA) as processed by MCCOG as an Amendment into the INSTIP, and

WHEREAS, MCCOG has defined that TIP Amendments and TIP Modifications are processes by which changes are made to the TIP Project List and subsequently amended into the INSTIP, and

WHEREAS, INDOT has defined that a STIP Amendment is the process by which changes are made to the STIP Project List, and

WHEREAS, MCCOG has defined that a TIP Amendment must be processed when the following occurs: (1) any new project or new project phase that has not yet been Amended into the TIP, (2) expansion or redefinition of a project scope, (3) change in the INDOT Designation Number (Des. #), (4) increase in funding award, (5) additional funding award, (6) any redistribution of a currently listed funding award to new project phases (i.e. PE, RW, CN), (7) change in funding split or required local matching funds, (8) project is deleted from the TIP, or (9) change in funding year that moves the project from an expiring Transportation Bill into a new Transportation Bill, and

WHEREAS, MCCOG has defined that a TIP Modification must be processed when the following occurs: (1) reduction in awarded funds, (2) change in funding year within the current Transportation Bill, (3) reduction of an existing project scope, or (4) division or segmentation of a the alignment of an existing project scope (phasing), and

WHEREAS, MCCOG has identified that no TIP Amendment or TIP Modification is required when the following occurs: (1) minor change in project description, (2) grammatical changes, (3) additional information added, or (4) change in letting date within same State Fiscal Year, and

¹²⁷ Resolution provided courtesy of MCCOG MPO – Anderson Amendment-Modification Policy - 8-1-13 signed.pdf



WHEREAS, MCCOG has identified that Changes in Project Estimates do not require a TIP Amendment or TIP Modification unless the change initiates an additional award of funding, which will require a TIP Amendment, and

WHEREAS, MCCOG has identified that Change Orders (CO) to projects under construction, whether monetary, (2) schedule, or (3) scope change; may require a TIP Amendment or TIP Modification, and

WHEREAS, MCCOG has developed the following process for intermittent changes and corrections to the TIP Project List:

- I. At such time when a TIP addition, change, or correction is requested, MCCOG staff will review the request to determine whether a TIP Amendment or TIP Modification is necessary, and
- II. If request must be included as a TIP Amendment:
 - a. MCCOG Staff will develop a TIP Amendment Resolution and add to the agenda for the next regularly-scheduled Anderson MPO Technical Advisory Committee (TAC) meeting held bi-monthly, and
 - b. MCCOG Staff will present the TIP Amendment Resolution and call for individual votes from the Anderson MPO Policy Committee and Anderson MPO TAC, and
 - c. If passed with a majority vote, the Resolution must be signed by the president or vice president of the Anderson MPO Policy Committee, and
 - d. MCCOG Staff will complete a STIP Amendment Request Form in preparation for the next available submission date (set date once per month), and
 - e. Upon receipt of a STIP Amendment Confirmation Document, MCCOG Staff will update the TIP Project List and update the digital copy on the MCCOG website .
- III. If request must be included as a TIP Modification:
 - a. MCCOG Staff will develop a TIP Modification Letter and present to the MPO Director for review and signature, and
 - b. MCCOG Staff will complete a STIP Modification Request Form in preparation for the next available submission date offered (set date once per month), and
 - c. Upon receipt of a STIP Modification Confirmation Document, MCCOG Staff will update the TIP Project List and update the digital copy on the MCCOG website , and
 - d. At the next regularly-scheduled TAC Meeting, MCCOG Staff will provide a copy of the TIP Modification Letter.

WHEREAS, MCCOG has identified that there are specific instances where an Emergency TIP Amendment or TIP Modification may be requested by either the MPO, an LPA, INDOT District, or INDOT Central Office, and

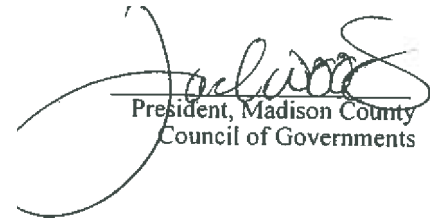
WHEREAS, MCCOG has identified the following criteria that may initiate an Emergency TIP Amendment or an Emergency TIP Modification: (1) without a change in the TIP, no further construction can occur on a project, (2) without a correction in the TIP , no contracts can be formally executed, or (3) special circumstances on additional funding made available to INDOT, the State, another State Agency, the MPO, or the LPA and recommended by MCCOG Staff, and



WHEREAS, MCCOG has identified that while an Emergency TIP Amendment or an Emergency TIP Modification may be requested by the MPO, it is not the decision of the MPO, but rather INDOT Central Office, as any Amendment or Modification processed by an MPO is not fully executed until it has been amended into the INSTIP, and

THEREFORE, BE IT RESOLVED THAT the Madison County Council of Governments hereby certifies the aforementioned TIP Amendment-TIP Modification Process as a Policy and Standard to be adhered by all LPA 's and other potential Funding Recipients within the Anderson/Madison County Metropolitan Planning Area and is hereby endorsed and approved.

ADOPTED by the Madison County Council of Governments Policy Committee, this day of August.2013.


President, Madison County
Council of Governments



19. IMPO Amendment & Modification Classification¹²⁸

Formal Amendment

Formal amendments are changes to the IRTIP that require an opportunity for public review and comment and require approval by the TPC at a public hearing. Formal amendments include, but are not limited to:

- The addition or deletion of a significant project, project phase other than PE regardless of funding source
- A significant change in project scope or design that changes the intent or the significance of project impacts.
- A significant change in cost, usually in excess of \$100,000 or 50% increase from the project's original cost estimate, especially if using competitive MPO funds.

Administrative Modification

Administrative modifications are minor changes to projects or the IRTIP that do not require TPC approval and do not require public review. These modifications are minor or technical in nature and do not significantly impact the overall program. Administrative modifications will be considered when the following apply:

- The project is air quality neutral (does not involve land acquisition or construction phases of a non-exempt project);
- The project is consistent with the current Metropolitan Transportation Plan;
- The project is not considered controversial in nature and has not received significant negative public comment.
- The project is considered minor in nature (bridge painting, signage, lighting, etc...) or safety related (guardrails, railroad crossing upgrade, etc...).

Administrative Modifications include, but are not limited to:

- General editorial or data entry corrections;
- Moving a project from one federal funding category to another provided that no eligibility finding is required;
- Currently programmed projects or project phases requesting a change in fiscal year only;
- Minor change in project cost (i.e. increase in funding by less than \$100,000 or 50% of the project's original total cost if less than \$100,000);

¹²⁸ Reference provided courtesy of IMPO – TIP Policies & Procedures document



- Minor scope modification that does not change overall impact of project on capacity or air quality or overall intent of project and does not trigger a project rescore.



20. KIPDA Amendment & Modification Classification

Chapter 2 – TIP PROCESSES¹²⁹

AMENDMENTS

The process of amending the TIP is much more onerous and time-consuming than the process for administrative modifications. There are three primary reasons for this: the first is that changes deemed as regionally significant must be presented to the general public along with an opportunity for them to provide comments. Additionally, these regionally significant changes must be presented and formally approved by the TPC, KIPDA's policymaking body. Finally, any project that affects air quality (i.e. non-exempt), such as widening a surface street or interstate, must be analyzed further to ensure conformity with the national air quality standards set by EPA. More specifically, the amendment process applies to projects that meet any of the following conditions:

- Adding or removing a Federally funded project or project phase(s) that is regionally significant and is not eligible for an administrative modification
- Substantive change in design concept or scope of the project
- Change in project costs that triggers a new fiscal constraint determination
- Change to a project that affects air quality conformity determination

ADMINISTRATIVE MODIFICATIONS

For those minor project changes, it is possible to process an administrative modification to the TIP. Administrative modifications do not need to be presented to the general public nor are they approved by KIPDA's committees. However, KIPDA staff must present them to the TPC for informational purposes.

The following project changes may be considered an administrative modification:

- Correcting obvious minor data entry errors
- Splitting or combining projects without modifying the original project intent
- Changing or clarifying elements of a project description without modifying the original project intent
- Moving a project from one funding category to another
- Shifting the schedule of a project or phase within the years covered by the TIP as long as there is no impact on fiscal constraint
- Adding Planning, Design (D), Preliminary Engineering (PE), Right-of-Way (R), or Utilities (U) phases to a construction project that is already in the TIP/STIP

¹²⁹ Excerpt courtesy of KIPDA MPO – FY 2020 - FY 2025 TRANSPORTATION IMPROVEMENT PROGRAM, Chapter 2



- Moving any identified project phase programmed for a previous year into a new TIP (rollover provision)
- Updating project cost estimates (within the original project scope and intent) that do not impact fiscal constraint
- Adding projects that fall under one of the “group project” categories that do not require public review, redemonstrations of fiscal constraint or an air quality conformity determination

In addition to minor project changes, new projects may be added to the TIP if they qualify through KIPDA's Group Projects Policy.

GROUP PROJECT CATEGORIES FOR THE MTP AND TIP¹³⁰

The primary intent of including Group Projects in the Metropolitan Transportation Plan (MTP) and Transportation Improvement Program (TIP) is to be able to identify and recognize the collective contributions of relatively small scale transportation projects to the region's transportation system. The Group Project concept also serves as a means to more efficiently advance projects through the transportation planning process.

MTP

The Group Project categories will be included in the MTP in order to provide for financial accountability of relatively small scale projects and studies that may not be listed individually in the MTP.

The Group Project Categories in the MTP are considered Financial Place Holders.

All Group Project categories will be based on mode or purpose and are not subject to subdivision based on local jurisdiction or project sponsor. Within each state, Group Categories are available for all jurisdictions and sponsors.

TIP

With appropriate demonstration of fiscal constraint, Group Project categories are eligible for inclusion in the TIP. Group Project categories allow for possible administrative modification of the TIP to include eligible new projects.

Without exception, Group Project categories in the TIP must be the same as those in the MTP.

For a project to be considered for administrative modification based on a Group Category, the following are required:

- The proposed project or program meets the eligibility requirement of a Group Project
- The proposed project or program meets the guidelines and standards for being added to the TIP through the applicable Administrative Modification process

KIPDA Performance Management Plan

The anticipated performance-based contributions of projects and programs that meet eligibility requirements of a Group Project category (and are added to the TIP through amendment or administrative modification)

¹³⁰ Documentation courtesy of KIPDA MPO – GROUP PROJECT CATEGORIES FOR THE MTP AND TIP



will be accounted for by way of the KIPDA Performance Management Process, and will be documented in updates of the performance Management plan.

Group Categories

Air Quality Improvements

Projects and programs in the Air Quality Improvements Group are intended to provide for a healthier region by reducing mobile source air pollutants.

Examples of Air Quality Improvements include, but are not limited to:

- Ridesharing and vanpooling
- Park and ride facilities
- Traffic flow improvement programs that demonstrate emissions reductions
- Programs for improved public transit
- Bicycle and pedestrian improvements (not including the rehabilitation of existing facilities)
- Employer-based transportation management plans, including incentives

For projects and programs to be considered for the Air Quality Improvements Group, the projects and programs:

- Must contribute to improving air quality and meet any of the project and program criteria as defined in Section 108(f) of the Clean Air Act of 1990
- Must contribute to meeting KIPDA Performance Targets
- May not have a total project cost in excess of \$1,000,000
- May not be considered regionally significant as defined in 23 CFR 450.104
- May contribute to a reduction in vehicle miles travelled
- Must be categorized as an Air Quality Exempt project as defined in 40 CFR 93.126 and 93.127

Bicycle and Pedestrian Improvements

Projects and programs in the Bicycle and Pedestrian Improvements Group are intended to enhance connectivity for functional trips undertaken by cyclists and pedestrians.

Examples of Bicycle and Pedestrian Improvements include, but are not limited to:

- Sidewalks
- Bicycle lanes
- Shared-use paths



- Crosswalks and cross signals
- Pedestrian islands
- Rehabilitation of existing pedestrian and bicycle facilities
- Curb ramps
- Signage

For projects and programs to be considered for the Bicycle and Pedestrian Improvements Group, the projects and programs:

- Must improve modal connectivity for cyclists and pedestrians completing functional trips
- May not have a total project cost in excess of \$1,000,000
- Must contribute to meeting KIPDA Performance Targets
- May not be considered regionally significant as defined in 23 CFR 450.104
- Must be categorized as an Air Quality Exempt project as defined in 40 CFR 93.126 and 93.127
- Must meet ADA accessibility requirements as defined by 28 CFR 35.151
- Are encouraged to:
 - Support the KIPDA Bicycle and Pedestrian planning process
 - Improve bicycle and pedestrian connectivity with transit
 - Reduce automotive trips, trip length, and mobile source emissions
 - Rehabilitate existing bicycle and pedestrian facilities that have deteriorated
 - Assist with meeting ADA requirements

Roadway and Bridge Preservation and Rehabilitation

Projects in the Roadway and Bridge Preservation and Rehabilitation Group are intended to protect and maintain the transportation infrastructure in an efficient manner.

Examples of Roadway and Bridge Rehabilitation include, but are not limited to:

- Pavement resurfacing
- Roadway and bridge rehabilitation
- Preventative maintenance
- Bridge replacement
- Bridge painting



- Bridge inspection

For projects to be considered for the Roadway and Bridge Preservation and Rehabilitation Group, the projects:

- Must preserve the existing roadways and or bridges, retard their future deterioration, and/or contribute to a more safe travelling experience,
- May not have a total project cost in excess of \$15,000,000
- Must contribute to meeting KIPDA Performance Targets
- May not be considered regionally significant as defined in 23 CFR 450.104
- Must be categorized as an Air Quality Exempt project as defined in 40 CFR 93.126 and 93.127

Roadway Operational Improvements

Projects and programs in the Roadway Operational Improvements Group are generally considered low-cost traffic improvements that do not add either capacity for single occupant vehicles or additional roadway miles.

Examples of Roadway Operational Improvements include, but are not limited to:

- Signal timing optimization
- Turning lanes
- Pavement striping
- Lane assignment changes
- Signage and lighting

For projects and programs to be considered for the Roadway Operational Improvements Group, the projects and programs:

- Must improve the flow of traffic
- May not have a total project cost in excess of \$1,000,000
- Must contribute to meeting KIPDA Performance Targets
- May not be considered regionally significant as defined in 23 CFR 450.104
- Must be categorized as an Air Quality Exempt project as defined in 40 CFR 93.126 and 93.127

Safety Improvements

Projects and programs in the Safety Improvements Group are intended to reduce crashes on all public roadways and transit.

Examples of Safety Improvements include, but are not limited to:



- Guardrails
- Signage
- Lighting improvements
- Pedestrian crosswalks and crossing signals
- Intersection improvements
- Access to transit stops
- Transit boarding and alighting
- Education and awareness programs
- Railroad / Roadway Crossing Improvements

For projects and programs to be considered for the Safety Improvements Group, the projects and programs:

- Must contribute to reducing crashes, including those that involve bicyclists or pedestrians; or enhance public transportation safety
- May not have a total project cost in excess of \$2,000,000
- Must contribute to meeting KIPDA Performance Targets
- May not be considered regionally significant as defined in 23 CFR 450.104
- Must be categorized as an Air Quality Exempt project as defined in 40 CFR 93.126 and 93.127
- Are encouraged to:
 - Address safety concerns found at the KIPDA High Crash Locations
 - Consider the FHWA Proven Safety Countermeasures
 - Consider HSIP Eligible projects criteria as defined in 23 USC 148(a)(4)(B)
 - Support the National Public Transportation Safety Plan
 - Support the Public Transportation Agency Safety Plan as defined in 49 CFR Part 673

Transit Improvements

Projects and programs in the Transit Improvements Group are intended to enhance the operation of public transit and to contribute to maintaining, and when possible increasing, its utilization.

Examples of Transit Improvements include, but are not limited to:

- Bus stop improvements
- On-board transit amenities



- Facility improvements
- Bicycle and pedestrian facilities that improve non-motorized access to transit
- Park and ride facilities
- Transit education and awareness programs
- Rolling stock purchases, updates, and modifications

For projects and programs to be considered for the Transit Improvements Group, the projects and programs:

- Must contribute to enhancing the operation of public transit and contribute to maintaining, and when possible, increasing its utilization
- May not have a total project cost in excess of \$1,000,000
- Must contribute to meeting KIPDA Performance Targets
- May not be considered regionally significant as defined in 23 CFR 450.104
- Must be categorized as an Air Quality Exempt project as defined in 40 CFR 93.126 and 93.127

Transportation Enhancements

Projects and programs in the Transportation Enhancement Group are intended to provide for transportation related environmental mitigation and beautification to the transportation system.

Examples of Transportation Enhancements include, but are not limited to:

- Streetscapes
- Landscaping
- Storm water management
- Pedestrian and cyclist amenities such as benches and bicycle racks
- Inventory control or removal of outdoor advertising
- Preservation and rehabilitation of historic transportation facilities

For projects and programs to be considered for the Transportation Enhancements Group, the projects and programs:

- Must contribute to enhancing the transportation system
- May not have a total project cost in excess of \$1,000,000
- May not be considered regionally significant as defined in 23 CFR 450.104
- Must be categorized as an Air Quality Exempt project as defined in 40 CFR 93.126 and 93.127



Transportation Studies

The Transportation Studies Group is intended to facilitate the research, review, and consideration of solutions to various transportation issues and enhancements.

Examples of Transportation Studies include, but are not limited to:

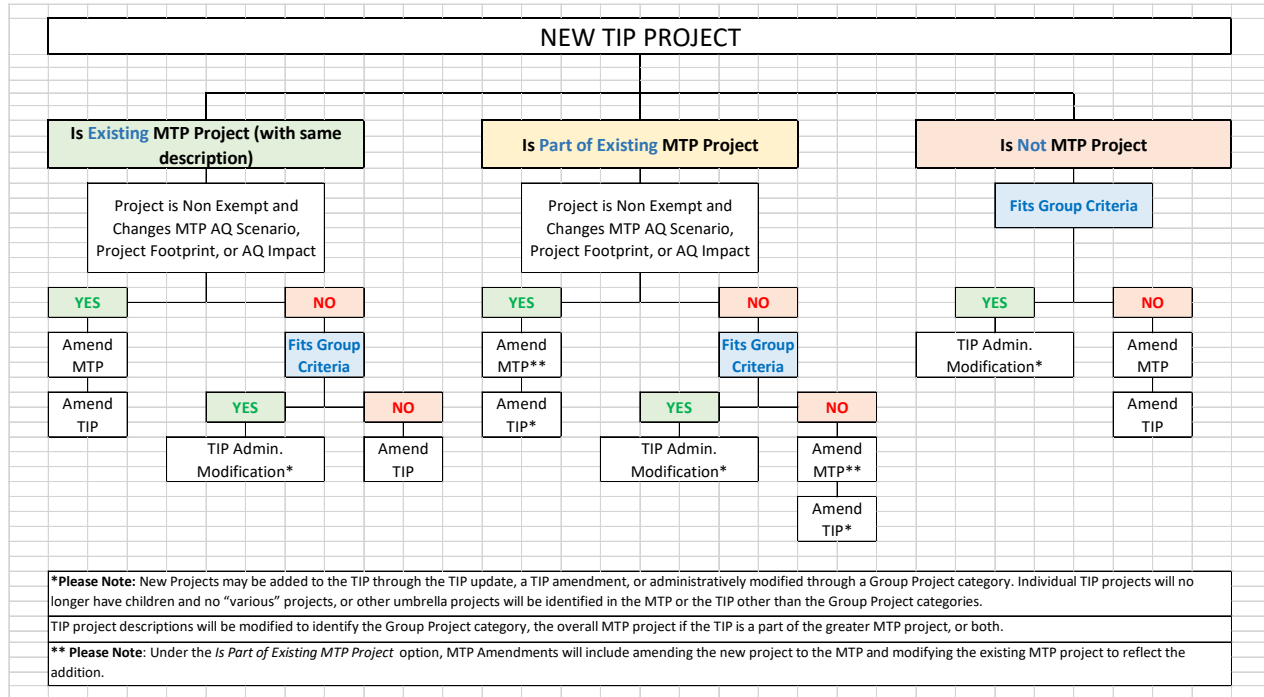
- Corridor studies
- Transit studies
- Bicycle facilities studies
- Pedestrian facilities studies
- Anticipated demographic changes and Transportation Demand Management

For studies to be considered for the Transportation Studies Group, the studies:

- Must contribute to a more informed decision-making process, as well as more efficient and expeditious project and program development and advancement
- May not have a total project cost in excess of \$1,000,000
- Must demonstrate consideration of contributing to achieving KIPDA Performance Targets
- When applicable, are encouraged to:
 - Include consideration of various modal opportunities
 - Include consideration of TSMO strategies (including ITS and TDM)
 - Include a well-rounded community engagement process, including early and continuous involvement
 - Include consideration of KIPDA's Congestion Management Process
 - Include consideration of KIPDA's Environmental Justice Resource Document



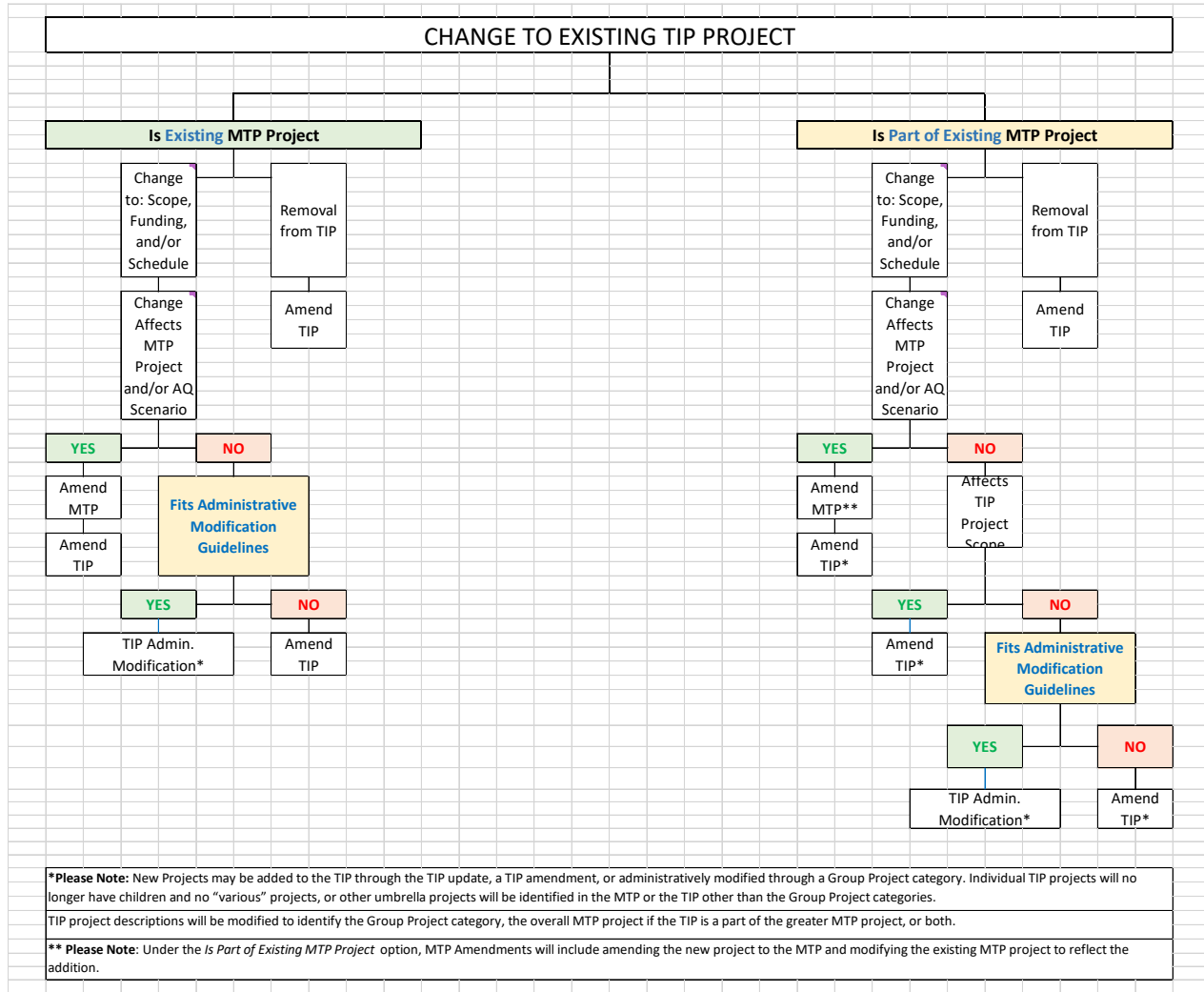
Figure 28: KIPDA New TIP Project Change Flow Chart¹³¹



¹³¹ Flow chart courtesy of KIPDA MPO – TIP CH



Figure 29: KIPDA Change to Existing TIP Project Change Flow Chart





21. KHCGCC Amendment & Modification Classification

KHCGCC/Kokomo MPO TIP Resolution Guidelines¹³²

Approved by MPO:

Revised: August 7, 2013

I. Transportation Improvement Program (TIP) Amendments

These Guidelines agreed to by INDOT and the KHCGCC/Kokomo MPO provide expedited procedures for MPO staff-level TIP amendments (hereinafter referred to as TIP adjustments). The intent of the adjustment process is to streamline the TIP amendment review and approval process by identifying those TIP amendments that can be approved by MPO staff and those which require MPO review and action.

A. TIP Adjustments

1. Eligible Adjustments

- a. Adjustments encompass changes to the allocation/obligation funding amounts or fiscal years for the PE, RW and CN phases of existing entries within the TIP. Funding for an existing project within the TIP may be advanced from later fiscal years or moved from prior fiscal years to the current fiscal year.
- b. Adjustments will also encompass minor description or termini changes. Minor changes are defined as changes which do not impact travel demand models, Long Range Transportation Plan recommendations, or air quality conformity.
- c. Adjustments may include splitting an entry already in the TIP, or breaking out another project or phase from the original entry. Examples of project and phase breakouts include advance rights-of-way acquisition; building demolitions; advance utility relocations, originally included as “in-plan” during the construction phase; wetland mitigation projects; sound wall projects; bridge and structure projects; etc. The intent of these adjustments is not to add a new project that is inconsistent with the will of the MPO, as evidenced by the original TIP entry, but to facilitate the implementation of the original TIP entry.
- d. Adjustments may include the addition of funds to be shown as obligated or scheduled for obligation as long as the project is part of the financially constrained TIP (e.g., projects with funds shown as previously obligated but without actual and/or scheduled obligated funds shown).
- e. New projects that do not require air quality conformity analysis or public review can be added to the TIP by staff adjustment action. Such new

¹³² Documentation courtesy of KHCGCC MPO – TIP Resolution Guidelines



projects are defined under Section 450.324(i) of the federal MPO planning regulations as follows:

(i) Projects proposed for FHWA and/or FTA funding that are not considered by the State and MPO to be of appropriate scale for individual identification in a given program year may be grouped by function, geographic area, and work type using applicable classifications under 23 CFR 771.117 (c) and (d). In nonattainment and maintenance areas, classifications must be consistent with the exempt project classifications contained in the U.S. EPA conformity requirements (40 CFR Part 51)

- f. These adjustments do not trigger the MPO's public involvement process, and will not require an official MPO resolution.

2. Stipulations for TIP Adjustments

- a. This agreement does not impact the MPO's ability to add or remove projects to the TIP through the full amendment process.
- b. The MPO has the ability to allocate CMAQ and RSTP funding for projects, and this proposal does not impact that ability.
- c. MPO staff retains the ability to take to TAC or the MPO Board any proposed changes to the TIP that in MPO staff opinion requires the MPO's formal endorsement or review.
- d. Non-INDOT initiated adjustments (i.e., from locally or agency administered projects) require INDOT approval prior to being used as the basis of a STIP amendment.
- e. This agreement does not impact the current Memorandum of Agreement between KHCGCC, INDOT, FHWA, and FTA.
- f. MPO staff must communicate proposed adjustments to all Local Public Agencies within Howard County who are currently engaged in a federally funded project through the MPO. The MPO must have all LPA's concurrence on the proposed changes prior to indicating to INDOT that the adjustment will be incorporated into the TIP.

3. Process for Implementing TIP Adjustments

INDOT Transportation Planning staff, in consultation with INDOT Programming Division, evaluate whether a proposed change to a TIP entry qualifies as either a TIP adjustment or a TIP amendment. If the proposed revision is classified as a TIP adjustment:

- a. INDOT Greenfield District Transportation Planning staff develops a TIP adjustment and forwards the adjustment's intent and particulars to MPO staff in electronic format. The transmission is identified as a TIP adjustment and the appropriate federal agency is copied, as appropriate, as well as other VDOT and jurisdictional/agency staff.
- b. MPO staff reviews the adjustment request and communicates the proposal to the effected local jurisdiction or agency. Staff works with the



local government or agency with the goal of obtaining agreement on the proposed changes.

- c. Once the adjustment is agreed upon by all effected parties, MPO staff will respond with acknowledgement of receipt of the proposed adjustment, including a statement of concurrence that the adjustment will be incorporated into the TIP, or that MPO staff feel that the proposed adjustment requires MPO formal review.

B. MPO Approved TIP Amendments

1. TIP Amendment Review and Action

Projects submitted for TIP entry that are not eligible for consideration under TIP adjustment procedures shall be considered as TIP amendments requiring TAC review and consideration (or action if appropriate) and MPO review and action. MPO staff may also submit proposed projects eligible for TIP adjustment at staff's discretion for TIP amendment review and consideration. Proposed TIP amendments are to be submitted for TAC review and recommendation and for MPO action. The TAC chairman may determine that a proposed TIP amendment can be submitted for TAC review and comment, and if there are no comments or objections from any TAC members, it can be forwarded to the MPO for review and action without being reviewed and acted upon at a TAC meeting.

2. TIP Amendment Submission Procedures

In order for staff to have sufficient time to review and place a proposed amendment on the MPO agenda, the amendment review must be completed and received by MPO staff at least three days prior to the scheduled MPO agenda mail out. MPO members may also request additions to the MPO agenda at the meeting as per Article VI, Section 4 of the MPO bylaws which reads as follows:

The agenda for each MPO meeting shall be prepared jointly by the Chairman and the RRPDC staff liaison. The agenda shall be mailed seven (7) working days prior to the next meeting. Agenda items may be requested up to nine (9) working days before the meeting. Additions to this agenda shall be made at the beginning of the meeting by a two-thirds vote of those present at the MPO meeting. A simple majority vote of those present can add an item to the agenda for the next MPO meeting.

II. **Regional Surface Transportation Program (RSTP) and Congestion Mitigation and Air Quality Improvement Program (CMAQ) Allocation Transfers**

The following procedures will end when the new competitive RSTP and CMAQ project review and selection process starts in Fiscal Year 2008 (i.e., when TAC is advised by MPO staff to prepare applications for submission of proposed RSTP and CMAQ projects under the new project review and selection process for TAC review and recommendation).

A. Shifting RSTP/CMAQ Funds between Existing Projects

Transfers of RSTP and CMAQ funds among existing project will be handled by MPO staff as an administrative function not requiring TAC or MPO action. Administrative changes relating to RSTP and CMAQ fund transfers will first be analyzed by staff in consultation with VDOT and local government staffs. If a proposed transfer is found to be viable, the transfers will be recorded in the MPO's official RSTP and CMAQ tracking sheets



and the revisions will be submitted to VDOT for record-keeping purposes and for inclusion in the Six Year Improvement Program.

B. Shifting RSTP/CMAQ Funds to New Projects

These procedures apply to shifts made with RSTP and/or CMAQ funds resulting in new projects that are not shown in the TIP.

1. MPO staff to review and submit request along with staff comments and recommendation to TAC.
2. TAC to meet and provide comments (if appropriate) and recommendation for MPO review and action.
3. Request, along with staff and TAC comments and recommendations for MPO action, submitted to MPO.



22. OKI Amendment & Modification Classification

CHAPTER 5: AMENDMENTS/MODIFICATION GUIDELINES¹³³

TIP Amendments/Administrative Modifications

Occasionally, TIP amendments will be needed when project information currently listed in the document needs to be changed or projects need to be added or deleted. Project sponsors, such as the Departments of Transportation, local communities or transit agencies will inform OKI when such changes are needed to reflect current conditions for transportation projects. Any capacity adding project must already be listed in the OKI Regional Transportation Plan before inclusion in the TIP. These amendments are presented in resolution form to the ICC and the Board of Directors/Executive Committee for approval.

Some changes to a transportation project are minor and only require an administrative correction to show the change in the TIP. Typically, these minor changes involve a movement of a particular phase of a project from one fiscal year to another, within the four-year planning horizon of the TIP, or a minor change in the funding amount. The addition or deletion of a project or project phase, or a significant change in funding amounts or scope would require a TIP amendment.

The following guidelines are used to determine if a change may be made using an administrative modification. If the change falls within these guidelines, an administrative modification may be used; changes that exceed these guidelines require an amendment. These guidelines are based on recommendations from ODOT and were approved by the OKI Executive Committee in November 2021.

Table 28: OKI Guidelines for Amendments and Modifications

Highway (FHWA Projects)	Transit (FTA Projects)
Revision to projects in TIP Grouped Project	Revision to projects in TIP Grouped Project
Phase funding revision within threshold (see below)	Project funding revision within threshold (see below)
Revision to TIP Fund Type or FY within TIP period	Revision to TIP Fund Type of FY within TIP period
Minor termini, scope, design, description, project name change (does not add/remove transportation feature)	Addition/removal/revision of FTA Activity Line Item (ALI) code
Sponsoring Agency revision	Quantity revision
Combining/Splitting of project/phase	Minor revision to project name or description (no scope added or removed)
All other minor changes to projects, groups, and/or TIP document	All other minor changes to projects, groups and or TIP document and/or TIP document
Unobligated projects/phases included in the TIP carried forward as part of next TIP update	Unobligated projects/phases included in the TIP carried forward as part of next TIP update

¹³³ Documentation courtesy of OKI – Amendment and Modification Guidelines, Chapter 5



Revise the project phase funding amount in the TIP within the following thresholds for Highway (FHWA Projects):		Revise the project phase funding amount in the TIP within the following thresholds for Transit (FTA projects):	
Current Project Phase Cost	Amendment Needed if Project Phase Cost Changes More Than:	Current Project Phase Cost	Amendment Needed if Project Phase Cost Changes More Than:
\$1 to \$3,000,000	\$1,500,000	\$1 to \$600,000	\$300,000
\$3,000,000 to \$5,000,000	50%	\$600,000 to \$1,000,000	50%
\$5,000,000 to \$10,000,000	30%	\$1,000,000 to \$5,000,000	30%
\$10,000,000 or greater	20%	\$5,000,000	20%

Table 29: Funding Thresholds for OKI



23. CAMPO Amendment & Modification Classification

CHAPTER 5: Document Modifications¹³⁴

5.0 Amendments & Administrative Modifications

FHWA defines changes to the TIP, MTP or SOW as Amendments or Administrative Modifications (23 CFR 450.104). Administrative Modifications are minor changes that do not require public review and comment. Amendments are major changes and do require public review and comment opportunity. Changes that are defined as amendments are:

- A new project or project phase
- The deletion of a project
- Major change in design concept or scope (project termini or # of thru lanes)
- Major change in project cost
- Major change in project date
- Major change in funding source

All other changes would be considered an Administrative Modification

- Minor change in project cost
- Minor change in project date
- Minor change in funding source

5.1 Thresholds for Amendments & Administrative Modifications

The following are CAMPO's criteria Amendments; changes that do not meet these criteria are considered Administrative Modifications.

- Major change in project cost:** A change of 20% in the total listed cost of but not less than: \$100,000 for a local project, and \$500,000 for an INDOT project.
- Major change in project date:** A change of more than 1 year.
- Major change in funding source:** When the change increases the local match (due to a change in match percentage) by more than: \$50,000 for local projects, and \$250,000 for INDOT projects.

5.2 Administrative Modification Procedures

¹³⁴ Excerpt courtesy of CAMPO – Columbus Area Metropolitan Planning Organization Operational Bylaws, Chapter 5



In the case of administrative modifications as defined in section 5.1, the following procedures shall be followed:

- A. **Notice of Administrative Modifications:** The staff shall put the particular Administrative Modification in a memo describing the specific modification sufficiently and the reason for it.
- B. **Notification Process:** This document will be sent to Policy Board members for information only. Changes to the appropriate document will be made by staff. These memos and corresponding document changes will be provided to the public at the next Policy Board meeting.

5.3 Emergency Amendments

In some cases, a project is not in the TIP, or is not in the TIP correctly and the correction meets the Amendment criteria in section 5.1, thus, the project cannot move forward without an Amendment to the TIP. Further (1) the public will be harmed by delaying the project because of safety, fiscal prudence, road condition, or other public disbenefits, and (2) a Policy Board meeting is not soon, or cannot be immediately organized.

- A. A memo of describing the project and reasons for its urgency and corresponding Resolution will be distributed to the CAMPO Policy Board members via email. Member must respond with a vote. No response is considered an abstain. The Amendment must pass by majority of the membership and the Resolution signed before it can be implemented into the TIP. These memos and corresponding document changes will be provided to the public at the next Policy Board meeting.



24. EMPO Amendment & Modification Classification

TIP Program Maintenance¹³⁵

TIP Amendments and Administrative Modifications

Schedule and funding adjustments are an inevitable part of the project development process. To remain a continuously updated and current planning document, Amendments and Administrative Modifications provide an instrument of change to the adopted document. The TIP may be revised at any time consistent with the procedures established for its development and approval. The following summarizes the amendment/modification process.

TIP Amendment

Representing a major change to the approved TIP, amendments are made in the following situations:

- Significant change in scope of work; or
- Adding a project to, or removing a project from, the TIP; or
- A significant change in project or program cost, as shown in the below table.

Table 30: Funding Thresholds for EMPO

Total Project Cost	Amendment	Administrative Modification
< \$2,000,000	≥ 75%	< 75%
\$2,000,000-\$9,999,999	≥ 50%	< 50%
\$10,000,000-\$24,999,999	≥ 40%	< 40%
> \$25,000,000	≥ 30%	< 30%

TIP amendment public participation standards, established in the adopted Evansville MPO Public Participation Plan, are as follows:

Public Comment Period: 15-day comment period¹³⁶.

Public Notification: TIP amendments will be publicized by way of press releases, and an announcement on the MPO website 15 days prior to the meeting.

Public Comment Summary Memo: Presented to Policy and Technical Committees prior to adoption. Public comments received will be included in an appendix to the document.

Policy and Technical Committee Meetings: TIP amendments will be presented at the Technical Committee meeting and adopted at the Policy Committee meeting. Both meetings are open to the public.

¹³⁵ Excerpt courtesy of EMPO – Amend vs Modify

¹³⁶ Whenever possible, the full comment period will be observed. Certain circumstances may preclude the provision of the established comment period.



Administrative Modification

The TIP may also be modified by way of an administrative modification. No public involvement is required for administrative modifications.

Representing a minor change to the adopted TIP, the following actions are eligible as administrative modifications:

- Adding Preliminary Engineering (PE), Right of Way (RW) or Utilities (U) phases to a construction project already in the TIP.
- Splitting or combining projects without modifying the original project intent.
- Updating project cost estimates (within the original scope and intent) that do not impact fiscal constraint.
- Moving a project from federal funding to state or local funding.
- Shifting the schedule of a project or phase within the years covered by the TIP.
- Adding projects that are considered “grouped projects” that do not require public review, re-demonstration of fiscal constraint, or a conformity determination. Grouped project categories are listed in Table 4.5 and 4.6 for Kentucky and Indiana respectively.
- Moving any identified project phase programmed for a previous year into a new TIP (rollover provision)¹³⁷.

Changes that do not require a TIP Modification include:

- Correcting obvious minor data entry/typographical errors and /or clerical edits
- Changing or clarifying elements of a project description without altering original project intent.
- Adding a designation number or project identification number to a project in the TIP that has no impact on fiscal constraint.
- Adding or changing a federal funding source to reflect project funding eligibility on a project in the TIP that has no impact on fiscal constraint.

Table 31: Evansville MPO Amendment & Modification

Category	Amendments	Modifications	Does not require action
Additions	<i>Adding a new project (contract)</i>	<i>Phases (PE, RW, UT, RR) added to a project with CN already in the TIP; Moving a project or project phase from previous TIP to new TIP (roll over provision); Splitting or combining projects without modifying the original project intent;</i>	<i>Adding a des # to a project/contract that does not result in a significant change in cost or scope</i>

¹³⁷ The rollover provision allows projects which were expected to be obligated by the time a new TIP is in effect (and therefore would not be included in the new document) to be brought forward into the new TIP if the project or phase is delayed.



Grouped Categories		<i>Uses “grouped projects”:</i> <i>-Bridge, Culvert and Small Structure Preservation;</i> <i>-Pavement preservation;</i> <i>-Signing, marking, striping and rumble strips;</i> <i>-Traffic signal system improvements and lighting;</i> <i>-Median guardrail/cable projects with no change to access;</i> <i>-Rail crossing protection;</i> <i>-Bicycle/pedestrian facilities identified in local or state Transition Plans to meet requirements of the Americans with Disabilities Act;</i> <i>-Commuter ridesharing programs;</i> <i>-Statewide and non-construction activities;</i> <i>-Operating assistance to transit agencies;</i> <i>-Purchase of new buses to replace existing vehicles;</i> <i>-Rehabilitation of transit vehicles;</i>	
Deletions	<i>Removing a project (contract)</i>		
Fiscal Year		<i>Shifting the schedule of a project or phase within the years covered by the TIP;</i>	
Scope	<i>Significant change in scope of work</i>		<i>Changing or clarifying elements of a project description without altering original project intent.</i>
Funding / Costs	<i>Significant change in project (contract level) or program cost as shown in the table below.</i>	<i>Updating project cost estimates as per the table below;</i> <i>Change in funding from federal to state or local;</i>	<i>Adding or changing federal funding source to reflect project funding eligibility;</i>
Corrections			<i>Correcting minor data entry, typos, or clerical edits;</i>

Total Project Cost (all phases)	Amendment	Administrative Modification
< \$2,000,000	≥ 75%	<75%
\$2,000,000-\$9,999,999	≥ 50%	<50%
\$10,000,000-\$24,999,999	≥ 40%	<40%
> \$25,000,000	≥ 30%	<30%



25. NIRCC Amendment & Modification Classification

Table 32: NIRCC Grouped Project Categories and Work Elements¹³⁸

Example Work Types that may be used for projects in the identified Group Project categories.
1. Pavement Preservation: Includes PPI projects, 1 & 2 overlays
Asphalt Patching
Concrete Pavement Restoration (CPR)
Crack & Seat Composite Pavement & HMA Overlay
Crack & Seat PCCP & HMA Overlay
Crack Sealing
Drainage Inspection and Cleaning
HMA Overlay, Preventive Maintenance
Institution & Park Road Maintenance
Patch And Rehab Bituminous Pavement
Patch And Rehab Pavement
Patch and Rehab PCC Pavement
PCCP Cleaning and Sealing Joints
PCCP on PCC Pavement
PCCP Patching
Profiling, PCCP
Repair PCCP & HMA Overlay
Resurface over Asphalt Pavement
Resurface PCC Pavement (Partial 3/R Standards)
Retrofit Joint Load Transfer
Rubblize Composite & HMA Overlay
Rubblize PCCP & HMA Overlay
Shoulder Rehabilitation And Repair
Surface Treatment, Chip Seal
Surface Treatment, Microsurface
Surface Treatment, PM
Surface Treatment, Thin HMA Overlay
Surface Treatment, Ultrathin Bonded Wearing Course
Undersealing
Wedge And Level
2. Bridge, Culvert and Small Structure Preservation: Includes BCPI, bridge painting, inspections, scour, deck overlay, pipe lining/replacements
Arch Reconstruction Or Repair

¹³⁸ Table courtesy of NIRCC MPO – NIRCC Grouped Project Categories and Work Elements 8-5-2020



Box Culvert Replacement
Bridge Channel Correction
Bridge Cleaning
Bridge Deck Barrier Wall
Bridge Deck Overlay
Bridge Deck Patching
Bridge Deck Sealing
Bridge Inspections
Bridge Maintenance And Repair
Bridge Painting
2. Bridge, Culvert and Small Structure Preservation - continued
Bridge Rehabilitation Or Repair
Bridge Rehab-Pipe Lining
Bridge Thin Deck Overlay
Channel Clearing And Protection
Culvert Clean And Repair
Debris Removal From Channel
District Wide Bridge Maintenance
Lower Pavement
Other Sewer/Curb/Gutter Construction
Paved Side Ditch Repair
Railing Replace Or Repair
Remove Bridge Abutments
Repair Or Replace Joints
Repair/Replace Cathodic Protection
Repairs To Approach Slab
Scour Protection (Erosion)
Single Location Bridge Inspection
Slotted Drain Or Inlet Replacement
Small Structure Maint and Repair
Small Structure Paved Invert
Small Structure Pipe Lining
Small Structure Replacement
Small Structures & Drains Construction
Storm Sewer Repair Or Replacement
Straighten Beam
Substructure Repair And Rehabilitation
Underwater Bridge Inspections
3. Signing, Marking, Striping and Rumble Strips
Centerline & Edge Line Rumble Stripes Installation
Centerline Rumble Stripes Installation
Curve Sign and Marking Visibility Improvements



Edge Line Rumble Stripes Installation
Line, Paint
Line, Preformed Plastic
Line, Thermoplastic
New Sign Installation
Overhead Sign Install
Overhead Sign Repair
Pavement Markings
Raised Pavement Markings, New
Raised Pavement Markings, Refurbished
Signing
Signing Installation / Repair
Un-Signalized Intersection Sign & Marking Visibility Imp
4. Traffic Signal and Lighting System Improvements
Closed Loop Interconnect System
Flashers, Modernize
Freeway Traffic Control System
Install Lighting
Install Loop Detector
Install New Continuous Lighting
Lighting
Lighting Installation / Maintenance
Lighting Maintenance
Modernize Continuous Lighting
New Flasher Installation
New Signal Installation
Repair Or Replace Lighting
Signs, Lighting, Signals And Markings
Tower Lighting
Traffic Signal Maintenance
Traffic Signal Repair
Traffic Signals
Traffic Signals Modernization
Traffic Signals, New Or Modernized
Intelligent Transportation Systems (ITS)
ITS Communications Systems
ITS Devices Maintenance Contracts
ITS Operations And Maintenance Contracts
ITS Program Contracted Services
ITS Program Equipment
ITS Traffic Management Systems
ITS Traffic Monitoring Systems



ITS Traveler Information Systems
Mod Traf Flow Detection Devices/Hardware
Modernize Dynamic Message Sign (Dms)
Modernize Dynamic Message Sign (Har)
Modernized Communications Towers
Modernized Fiber Optic Systems
Modernized Wireless Communication System
New Communication Towers
New Dynamic Message Sign (Dms)
New Fiber Optic Systems
New Highway Advisory Radio (Har)
New Traf Flow Detection Devices/Hardware
New Wireless Communications Systems
Pedestrian Flashing Beacons, Installed
Software Dev And App For Dyn. Mess Sign
Software Dev And App For Traf. Flow Det.
4. Traffic Signal and Lighting System Improvements - continued
Software Dev And App For Traf.Mess. Sys.
Software Dev And App For Wireless System
Traffic Hardware Modernization
Traffic Signal Visibility Improvements
Traffic, Other
Work Zone Traffic Management Systems
5. Guardrail and Median Protection/Cable Barriers
Barrier Wall
Cable Rail Barrier Maintenance or Repair
Glare Screen And/Or Extensions
Guard Rail Attenuators, New Or Modernize
Guardrail, Maintenance
Guardrail, Maintenance Or Repair
Install New Cable Rail Barriers
Install New Guard Rail
Repair Guard Rail
Repair Or Replace Barrier Wall
Replace Guard Rail
6. Rail Crossing Protection
Railroad Work
Railroad Protection
Railroad Protection & Surface
7. Bicycle/Pedestrian Facilities <i>(identified in local or state Transition Plans to meet requirements of ADA)</i>
Construct ADA Approved Sidewalk Ramps
Small Community Sidewalk



8. Statewide and Non-Construction Activities
Bridge Inspection
Maintenance: Tree trimming, mowing, fence replacement/repair
Purchases: Drones, survey equipment, data, software/licensing/fees, etc.
State Police Patrols
Statewide consultant/contract services: Plan Review, Testing, Utility Coordination, Dispatch Operations, HELPERS, etc.



26. NIRPC Amendment & Modification Classification

Amendment and Modification Procedures¹³⁹

Amendment:

1. any phase of any project is added or construction phase or transit project deleted;
 2. any addition of funds over \$100,000;
 3. change to an air quality non-exempt project;
 4. project scope change that alters original intent of project;
 5. change to policy or programming rules.
- Interagency Consultation Group review on all TIP amendments and a redetermination of fiscal constraint is required. Twenty-one-day comment period required.
 - Must be approved by Commission or Executive Board. Public comment opportunity is available at the meeting.

Modification:

1. project moving year to year (but not out of the TIP, which is an amendment);
 2. project fund source change;
 3. project is split into multiple construction segments;
 4. addition of funds under \$100,000 (TIP and UPWP); or
 5. typographical changes.
- Modifications are made by NIRPC staff at the request of project sponsor subject to regulation and funding availability.
 - A redetermination of fiscal constraint is required.

Technical Amendment:

- Changes to technical information that does impact policy or programmed projects, i.e.: performance targets, data updates, asset information.
- Must be approved by Commission or Executive Board. Public comment opportunity is available at the meeting.

¹³⁹ Excerpt courtesy of NIRPC MPO – Northwestern Indiana Regional Planning Commission's Public Participation Plan, Chapter Amendment and Modification Procedures



Emergency Amendment:

- NIRPC Executive Director authorizes a TIP amendment without public process or Commission if:
 1. public well-being or safety is at risk; or
 2. lapse or loss of federal funds is at risk.
- redetermination of fiscal constraint is required.



26. STIP Public Comment Form

Public involvement is a key component of the state's transportation planning processes. There are multiple opportunities along the way for the public and stakeholders to be involved in the STIP process, including:

- ✓ Attending annual district public meetings,
- ✓ Contacting INDOT District Office representatives regarding transportation facility needs,
- ✓ Contacting the MPO or RPO Office representatives,
- ✓ Participating in regional meetings in your area of interest, or
- ✓ Participating in the STIP public comment period.

The form should be used to inform INDOT of any roadway transportation improvements the public believes is needed on Indiana's interstates, U.S. highways, or state highways. For amendments and modifications, after a draft of the amendment is posted on the INDOT STIP website for public comment, the public comment period is seven days after the reported created date. Public comments can either be submitted by completing the form via the [STIP Comment Form](#) online, by submitting comments via [email](#), or by writing to:

Indiana Department of Transportation
Attn: Cat Seely
100 N. Senate Ave., IGCN N758-Transportation Planning

Figure 30: INDOT STIP Public Comment Form

INDOT STIP Comment

Prefix	First Name *	Middle Initial	Last Name *
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Address *

<input type="text"/>		
<input type="text"/>		
<input type="text"/>	<input type="text"/>	<input type="text"/>

Phone (including area code) *

<input type="text"/>

Email *

<input type="text"/>

Comments (limit 400 characters): *

<div></div>

Save and Exit

Submit



27. Amendments and Modifications Procedures for INDOT

Amendments and modifications will only show the dollar amount and fiscal year of the change that is being made.

STIP Comment Language for Amendment or Modification:

- Enter the type of change
- List Des number included with the project
- Reference whether an MPO is affected
- List attached documentation
- List air quality conformity (AQC) information

Examples:

- Add new project PE FY 23, RW 24. Includes des 180001, 180002.180003. EMPO involved. Resolution 22-15 attached. AQC 6/14/22.
- Move RW from FY23 to FY24. Includes des 2101251. CAMPO involved. Resolution 22-01 included. AQC N/A.
- Add new project PE FY24 and CN 25. No MPO involved. AQC N/A.
- Move CN from FY22 to FY23. No MPO involved. AQC N/A.



28. 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 Group (PMG).
- 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
4. currently authorized in SPMS.
5. 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.
6. 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.
7. Movement of a project from an illustrative (information only) list to an STIP or TIP project list.
8. 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.
9. A change that renders a project out of conformance with a long-range plan, including across analysis years.
10. 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 STIP Administration 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 STIP Administration Office 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 STIP Administration 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 STIP Administration 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 & STIP Administration Offices

The MPO, LPA, & Grants Administration & STIP Administration 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 STIP Administration Office 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 STIP Administration Office of this action and provide any needed documentation for amendment to the STIP.
5. If an MPO based amendment is needed, the STIP Administration Office will then amend the STIP as appropriate with supporting MPO documentation as provided.
6. If an MPO based amendment is not needed, the STIP Administration 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 STIP Administration 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 STIP Administration Office will then amend the STIP as appropriate with supporting MPO documentation as provided.
3. If an MPO based amendment is not needed, the STIP Administration 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.

V. 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 STIP Administration Office, and any affected MPOs, as appropriate.



29. STIP Amendment Request Process

All STIP and TIP amendment requests are to be routed through the MPO/LPA Grant Administration Division to the STIP Administration Office. 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 MPO/LPA Grant Administration 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 MPO/LPA Grant Administration Liaison will coordinate with the appropriate MPO staff, gather additional information and forward the request and Excel Spreadsheet to the STIP Administration Office and the appropriate 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 STIP Administration Office with the latest amendment information.

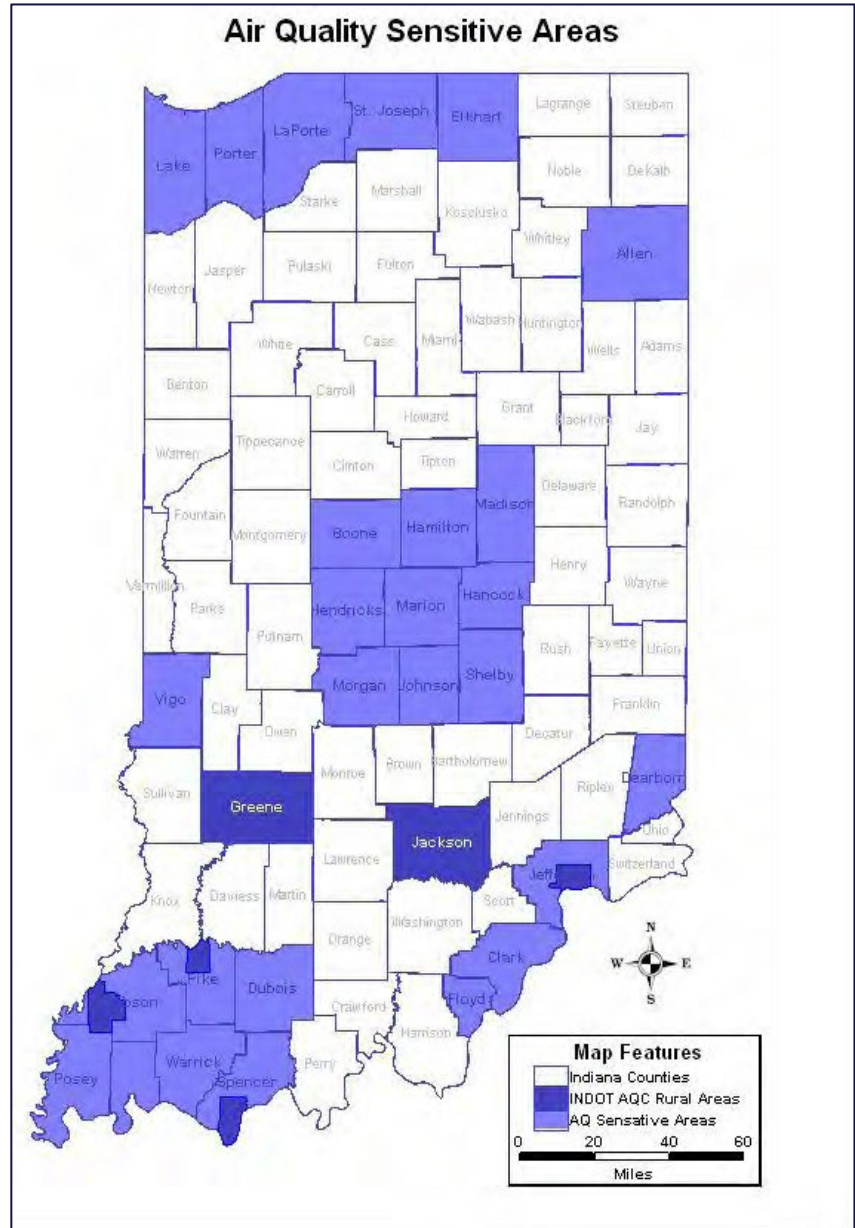
B. Projects Located within an MPO (Non Air Quality Sensitive) Area but Not is a Current TIP:

1. Requestor will need to complete the STIP Amendment Excel Spreadsheet and forward to the appropriate MPO/LPA Grant Administration Liaison for processing to MPO. (Copying the requestor and district on the correspondence).
2. When the MPO has amended into their TIP, 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 MPO/LPA Grant Administration Liaison for processing. (Copying the requestor and district on the correspondence).
3. MPO/LPA Grant Administration Liaison will send the amendment spreadsheet and TIP documentation to STIP Administration Office 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 STIP Administration 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 MPO/LPA Grant Administration Liaison for STIP amendment with a copy to the appropriate District Funds Manager.
2. The MPO/LPA Grant Administration Liaison will coordinate with the appropriate MPO staff, gather additional information and forward the request and Excel Spreadsheet to the STIP Administration Office. The MPO/LPA Grant Administration Liaison will notify the Long-Range Planning Liaison 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 STIP Administration Office with the latest amendment information.

Figure 31: Air Quality Sensitive Areas



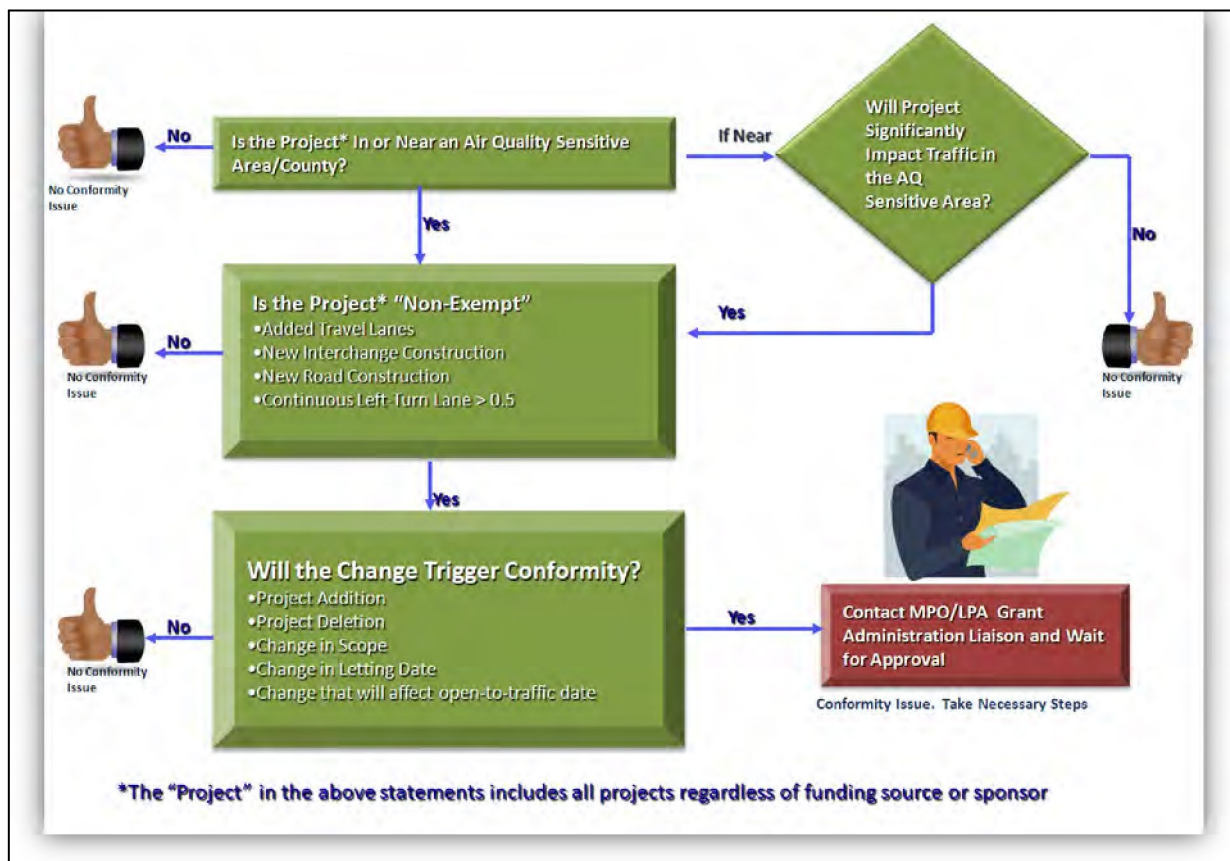
D. Projects Located Within an MPO in an Air Quality Sensitive Area (See Sensitive Area Map):

- The MPO/LPA Grant Administration Office will coordinate with the central office planning contacts and the requestor to 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

Figure 32: Air Quality Conformity Check List





30. STIP Funding Programs

The following describes both Federal and INDOT funding programs that are used to fund projects within the STIP.

Surface Transportation Block Grant Program (STBG)

The STBG program provides flexible funding that may be used by States and localities for projects to preserve and improve conditions and performance on any Federal-aid highway, bridge, and tunnel projects on any public road, pedestrian and bicycle infrastructure, and transit capital projects, including intercity bus terminals. STBG funds are distributed to areas based on populations. The remainder net of suballocated amounts may be used in any area of the State.

Transportation Alternatives

The Transportation Alternatives (TA) Set-Aside from the Surface Transportation Block Grant (STBG) Program provides funding for smaller-scale transportation projects. The TA program sets aside a portion of each state's STBG apportionment, proportionately disbursed to states. TA projects are any activity related to surface transportation that are eligible under the Recreational Trails Program (RTP) and Safe Route to School (SRTS) program or that fit one or more of the following eligible categories: pedestrian and bicycle facilities; safe routes for non-drivers; conversion of abandoned railway corridors to trails; scenic turnouts and overlooks; outdoor advertising management; historic preservation and rehabilitation of historic transportation facilities; vegetation management; archaeological activities; stormwater mitigation; and wildlife management. For more details, please refer to [Basics of Transportation Alternatives | Rails-to-Trails Conservancy \(railstotrails.org\)](http://railstotrails.org).

Highway Safety Improvement Program (HSIP)

The Highway Safety Improvement Program (HSIP) is a core Federal-aid program aimed to achieve a significant reduction in traffic fatalities and serious injuries on all public roads through the implementation of infrastructure related highway safety improvements. Details on qualifying projects and federal funding shares are defined in Section 148 of Title 23, United States Code (23 USC 148). For more details on the federal regulations and guidance related to highway safety, please refer to [Policy and Guidance - Safety | Federal Highway Administration \(dot.gov\)](https://www.fhwa.dot.gov/safety/policy/).

For MPO and LPA participation in HSIP, candidate projects must demonstrate eligibility to receive HSIP funding. INDOT requires that projects submitted for funding address a highway safety problem identified as an infrastructure emphasis area in Indiana's Strategic Highway Safety Plan (SHSP). All project documentation is subject to review and eligibility determination by the multi-agency Highway Safety Advisory Committee (HSAC). For more details on INDOT's project selection process for the HSIP, please refer to [Highway Safety Improvement Program Local Project Selection Guidance \(in.gov\)](https://www.in.gov/hsip/).

Congestion Mitigation Air Quality (CMAQ) Program

The Congestion Mitigation Air Quality Program (CMAQ) was created as a funding program to support the U.S. Department of Transportation's goals to improve air quality and relieve congestion. The purpose of the CMAQ program is 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. The CMAQ program provides funding for tools to accomplish these goals. Latest legislation has kept the previous transportation bill's provision that establishes priority consideration be given to cost effective emission and reduction and congestion mitigation activities. In addition, Section 176(c) of the Clean Air Act (CAA) requires that the FHWA and FTA ensure timely implementation of transportation



control measures (TCMs) in applicable SIPs. These and other CMAQ-eligible projects identified in approved SIPs should receive funding priority.

To be considered for funding through the CMAQ program, each MPO must submit a project application for the CMAQ program, the project selection process used by the MPO to rank CMAQ projects, and a list of CMAQ funded projects currently in the MPO's TIP. Project selection processes must be transparent, in writing, and publicly available. The selection process should also clearly identify agencies involved in rating proposed projects, clarifying how projects are rated, and identify the committee responsible for making the final recommendation to the MPO's Policy Board. Factors contributing to project selection include emissions benefits, cost effectiveness, and project readiness.

For more details on the CMAQ program, please refer to the FHWA's website [Policy And Guidance - CMAQ - Air Quality - Environment - FHWA \(dot.gov\)](#) or INDOT's *Indiana Department of Transportation 2017 CMAQ Eligibility Determination Process (effective 2016)*.

Federal Transit Administration Programs

The STIP includes the following transit-related programs, funded through FTA:

- ✓ *Section 5307, Urbanized Area Formula:* Provides grants to Urbanized Areas (UZA) for public transportation capital, planning, job access, and reverse commute projects, as well as operating expenses in certain circumstances.
- ✓ *Section 5309, Fixed Guideway Capital Investment:* Provides grants for new and expanded rail, bus rapid transit, and ferry systems that reflect local priorities to improve transportation options in key corridors.
- ✓ *Section 5310, Enhanced Mobility of Seniors and Individuals with Disabilities:* Intended to enhance mobility for seniors and persons with disabilities by providing funds for programs to serve the special needs of transit-dependent populations beyond traditional public transportation services and ADA complementary paratransit services.
- ✓ *Section 5311, Formula Grants for Rural Areas:* Provides capital, planning, and operating assistance to states to support public transportation in rural areas with populations less than 50,000.
- ✓ *Section 5337, State of Good Repair:* Formula-based State of Good Repair program to repair and upgrade the nation's rail transit systems along with high-intensity motor bus systems that use high-occupancy vehicle lanes, including bus rapid transit (BRT).
- ✓ *Section 5339, Bus and Bus Facilities:* Provides capital funding to replace, rehabilitate, and purchase buses and related equipment to construct bus-related facilities.

Note that any changes to the STIP and TIPs that include FTA funds require FTA's review of the amendment and/or modification prior to approval.

National Highway Performance Program (NHPP)

The enhanced National Highway System (NHS) is composed of approximately 220,000 miles of rural and urban roads serving major population centers, international border crossings, intermodal transportation facilities, and major travel destinations. It includes the Interstate System, all principal arterials (including some not previously designated as part of the NHS) and border crossings on those routes, highways that provide motor vehicle access between the NHS and major intermodal transportation facilities, and the network of highways important to U.S. strategic defense (STRAHNET) and its connectors to major military installations. The NHPP is authorized to support the condition and performance of the NHS, for the



construction of new facilities on the NHS, and to ensure that investments of Federal-aid funds for highway construction are directed to support progress toward the achievement of performance targets established in an Asset Management Plan of a State for the NHS.

Federal Lands Access Program (FLAP)

Recognizing the need for all public Federal and tribal transportation facilities to be treated under uniform policies similar to the policies that apply to Federal-aid highways and other public transportation facilities, the FLAP provides a unified program for Federal lands transportation facilities, Federal lands access transportation facilities, and tribal transportation facilities. The majority of funding is allocated to the National Park Service, U.S. Fish and Wildlife Service and the U.S. Forest Service. Other entities receiving funding allocations are the Bureau of Land Management, U.S. Army Corps of Engineers, and The Bureau of Reclamation and independent Federal agencies with natural resource and land management responsibilities.

Bipartisan Infrastructure Law (BIL) Programs

The 2021 Infrastructure Investment and Jobs Act (H.R. 3684), also known as the Bipartisan Infrastructure Law (BIL), allocates roughly \$1 trillion over five years to upgrade transportation infrastructure, help close the digital divide, improve the electric grid, and make communities healthier and more resilient. Some example opportunities include:

- ✓ *Carbon Reduction Program (CRP)*: Provides funds for projects designed to reduce transportation emissions, defined as carbon dioxide (CO₂) emissions from on-road highway sources.
- ✓ *Congestion Mitigation and Air Quality (CMAQ) Improvement Program*: Provides a flexible funding source to State and local governments for transportation projects and programs to help meet the requirements of the Clean Air Act. Funding is available to reduce congestion and improve air quality for areas that do not meet the National Ambient Air Quality Standards for ozone, carbon monoxide, or particulate matter (nonattainment areas) and for former nonattainment areas that are now in compliance (maintenance areas).
- ✓ *Advanced Transportation Technologies and Innovation (ATTAIN) Program*: Provides competitive grants to deploy, install, and operate advanced transportation technologies to improve safety, mobility, efficiency, system performance, intermodal connectivity, and infrastructure return on investment.

For more details on the BIL funding program opportunities, please refer to the Bipartisan Infrastructure Law website, [Bipartisan Infrastructure Law | US Department of Transportation](#), for more information.

State of Indiana Transportation Funding Programs

In addition to the above-listed Federally funded programs, projects may be funded through state-funded programs, including the below:

- ✓ *District Maintenance Program*: Projects scheduled for routine and preventive maintenance for the existing roadway system under INDOT jurisdiction
- ✓ *Department of Natural Resources Institutions Trail Program*: Department of Natural Resources and other state institutions for maintenance work.
- ✓ *Statewide Transit Administration and Improvements Program*: Program through INDOT's Office of Transit to provide financial and technical assistance throughout the state for transit systems.



- ✓ *State of Indiana Programs:* State funds used to match federal funds.
- ✓ *State of Indiana Public Mass Transportation Fund:* Fund authorized by State legislature to receive revenue from the State's General Fund. These funds are allocated on a calendar year basis using a performance-based formula to eligible municipal corporations (defined by I.C. 36-1-2-10).
- ✓ *Commuter Rail Service Fund:* Currently, all funds go to the Northern Indiana Commuter Transportation District (NICTD) as the only eligible entity for these funds.
- ✓ *Electric Rail Service Fund:* A state fund generated from property tax on a railroad company's distributable property that provides service with a commuter transportation district established under I.C. 8-5-15. Funds are only available to commuter transportation districts that have substantially all of their service performed by electrically powered railroads. Currently, all funds go to NICTD.
- ✓ *Crossroads Fund:* Raised Vehicle license fees to do additional bonding for INDOT's projects
- ✓ *Debt Services:* The repayment of principal and interest for the Bonds, to be paid off in 2029.
- ✓ *Local Highway Funds:* Funds LPAs are required to provide to INDOT to "match" Federal-aid FHWA funds provided by INDOT for construction on eligible Federal-aid routes. INDOT lets the Contracts.
- ✓ *Operating Budget:* Funds utilized to operate the Agency, including salaries, building and grounds, equipment, planning and research, and maintenance work program.
- ✓ *Toll Road Lease Proceeds:* Authorize the Lease of the Indiana Toll Road.



Contact info

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