



# INDOT Planning Roles & Responsibilities Manual (Final)

Indiana Department of Transportation

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# INDOT Planning Roles & Responsibilities Manual (Final)

## Planning Responsibilities Overview



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

The Federal-Aid Highway Program is a [State](#) administered program. The Governor and local elected officials in Indiana are charged with cooperatively evaluating surface transportation needs and jointly identifying an "agreed-to list of projects" to address these needs.

The purpose of this Roles and Responsibilities document is to summarize the planning requirements and describe how INDOT will coordinate with Indiana's fourteen Metropolitan Planning Organizations (MPOs), and thirteen Regional Planning Organizations (RPOs) to implement the 3-C (continuing,

cooperative, and comprehensive) planning process. This document will also serve as a cooperative agreement with MPOs and RPOs across the state. The document will be a “living document” as the website will be updated as new information becomes available (new contacts, procedures, agreements, funding tables, etc.). The Indiana MPO Council, the RPOs Indiana Association of Regional Councils, INDOT, Federal Highway Administration (FHWA), and the Federal Transit Administration (FTA) will periodically review this document and processes to ensure its compliance with State and Federal Code, Rules, Regulations, and Legislation.

**Control Documents:** 23 CFR 450; 23 CFR 500; and 49 CFR 613

## MPO Responsibilities



Federal legislation passed in the 1960's (Federal-Aid Highway Act of 1962) required the formation of a metropolitan planning organization (MPO) for any urbanized area with a population greater than 50,000. An MPO is the policy board of an organization created and designated to carry out the metropolitan transportation planning process. It is made up of elected representatives from local government and transportation authorities. MPOs were developed to ensure that existing and future Federal-aid expenditures for transportation projects and programs are based on a continuing, cooperative and comprehensive (3-C) planning process. Federal funding for transportation projects and programs are channeled through this planning process. All federally funded projects within the MPO's Metropolitan Planning Area (MPA) must be included in MPO Transportation Improvement Programs to use federal funds.

The MPO develops a number of federal planning documents; assists with the oversight for local projects; assists with the development and analysis of state jurisdictional projects in their respective areas; and performs various support related transportation planning activities. MPO requirements are part of the

U.S. Department of Transportation (USDOT) statute. Each MPO has an executive or policy board consisting mainly of local elected officials and should include representatives of transit agencies, INDOT District Deputy Commissioner or designated staff and other transportation agencies.

MPOs play a vital role in the planning and development of transportation projects and services throughout the urbanized areas of Indiana. Together with the INDOT District Offices, they serve as primary sources of local input and as fundamental cooperating partners in the multi-modal transportation planning and program implementation process. MPOs are required to:

- Ensure a continuing, cooperative, and comprehensive (3-C) transportation planning process between the MPO and INDOT through the sharing of information.
- Prepare a financially reasonable 20-year Metropolitan Transportation Plan (MTP) that serves as the basis for the selection of projects in the Transportation Improvement Program.
- Develop a minimum 4-year Transportation Improvement Program that includes a prioritized list of projects and a financial plan demonstrating how the program will be financed and updated every **two** years.
- In areas classified as non-attainment and maintenance for the national ambient air quality standard (NAQQS), develop plans and projects that demonstrate compliance with the emissions inventory budgets set for their areas and listed in the Indiana Department of Environmental Management (IDEM) air quality State Implementation Plan (SIP). INDOT, the MPOs and IDEM all work together to develop mobile source transportation control measures for the SIP.
- MPOs in Transportation Management Areas (TMAs) develop a system for monitoring and managing congestion in their metropolitan area.
- MPOs select local projects for Federal Surface Transportation Block Grant Program (STBG), Congestion Mitigation/Air Quality (CMAQ), Highway Safety Improvement Program (HSIP) and the Transportation Alternatives Program (TAP) grant applications that falls within their jurisdiction.
- Each MPO must establish a competitive process for project selection, which must involve local government jurisdictions, transit agencies, and other transportation providers and users.
- Indiana MPOs develop a Unified Planning Work Program (UPWP)/Statement of Work (SOW), which is a comprehensive listing of the transportation planning activities to be completed by the MPO for the coming fiscal year(s), including a Cost Allocation Plan and the resources to fund the UPWP.
- Annually each MPO publishes a List of Obligated Projects (Annual Listing of Obligated Projects - ALOP) for which funds under 23 U.S.C. or 49 U.S.C. Chapter 53 were obligated in the preceding program year.

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

## MPO Council

A director's council known as the Indiana MPO Council meets monthly to address the various current issues in cooperation and collaboration with state and federal planning partners. Some MPOs also represent rural counties as a Rural Planning Organization (RPO), in addition to being an MPO for urban areas.

The Indiana MPO Council is comprised of the Executive Directors of each MPO. The Indiana MPO Council meetings are coordinated with and include the participation of various INDOT staff (executive office, finance, local programs, Technical planning and Programming and Road Inventory, freight, safety, asset management, practical design, and others), Indiana Department of Environmental Management (IDEM) for air quality needs, FHWA, FTA, Conexus Indiana (freight and logistics stakeholder group), Indiana Economic Development Corporation, and others. Meetings are held monthly to address issues that come before it and to cooperatively determine the optimal solutions for transportation planning issues. The Indiana MPO Council meetings promote a 3 C planning process by seeking to enhance continuing, cooperative, and comprehensive discussions and interactions while striving to achieve those goals.

This Manual has been developed cooperatively by the Indiana MPO Council, INDOT, and the Federal Highway Administration to outline the cooperation necessary for both INDOT and the MPOs to produce the necessary work products.

## MPO Policy Boards

Although structured differently, each MPO has a governing body known as the Policy Board or Committee which is comprised of officials representing the region as defined by each MPO's bylaws. The MPO Policy Board or Committee is charged with the responsibility to assure the development and implementation of a continuous, cooperative, and comprehensive (3-C) planning process. This includes the development of the Unified Planning Work Program, Metropolitan Transportation Plan, and Transportation Improvement Program, among other duties.

MPO Policy Boards are charged with the responsibility for local project selection, justification, and limited oversight for implementation. These responsibilities require collaboration and cooperation with various MPO partners including the Indiana Department of Transportation, Federal Highway Administration, Federal Transit Administration, and other federal, state, and local agencies.

## MPO Advisory or Technical Committees

Although structured differently, each MPO is similar in that they all have advisory groups or committees, whose membership includes local public agency engineers, planning staff, community advisors, and state governmental agencies related to transportation and infrastructure. These advisory groups or committees provide the policy board or committee with a review and recommendations on pertinent business that comes before the policy board or committee.

Each MPO is required to develop and use a documented plan that defines a process for providing citizens, affected public agencies, representatives of public and private transportation, and providers of freight transportation services, with opportunities for participation. Private representatives of users of public transportation, users of pedestrian walkways and bicycle facilities, representatives of the disabled, and other interested parties must also be provided with reasonable opportunities to be involved in the metropolitan transportation planning process.

## RPO Responsibilities

Regional Planning Organizations (RPOs) are often geared toward serving their small urban and rural communities as Regional Development Organizations. INDOT launched the Small Urban and Rural Transportation Planning Program in 2001 with five regional development organizations (known locally as regional planning commissions) and four RPOs that are also metropolitan planning organizations (MPOs). Starting in 2005, the program was expanded to 11 regional and small urban planning partners, including seven RPOs, two RPOs that also serve as MPOs and two MPOs that are serving small urban and rural area.

The purpose of the Small Urban and Rural Transportation Program (SURTP) is to involve local officials in multi-modal transportation planning through structured processes to ensure quality, competence, and fairness in the transportation decision making process. RPOs are responsible for performing eligible planning activities to provide planning support to local communities. The planning activities of RPOs include traffic count program development, highway performance monitoring system data collection, and maintenance. These activities are aimed at supporting INDOT Central and District Office Planning staff with public outreach, technical assistance to local officials, data collection, and support of federal reporting of statistical data. RPOs funded through the SURTP program may also consider multi modal transportation needs for rural communities, review long and short-term transportation needs and priorities and, make recommendations to INDOT.

INDOT typically provides each planning partner between \$40,000 and \$80,000 annually, using funds from the State Planning and Research (SPR) funds that requires a 20 percent local match.

The federal surface transportation legislation Moving Ahead for Progress in the 21st Century (MAP-21), passed in 2012, included a definition of the basic structure and responsibilities of RPOs for the first time in federal statute. This statutory language describes RPOs as being voluntary institutions representing local governments. The organizations must have a lead planning agency that serves as the fiscal and administrative agent and provides planning staff support. Several required responsibilities are listed, including developing rural, regional long-range transportation plans; creating short-range transportation improvement programs; conducting public outreach; coordinating transportation with other relevant planning areas; and other tasks. The RPOs participating in INDOT's SURTP program function as RPOs.

As federally required, at least once every 5 years, INDOT will review and solicit comments from non-metropolitan local officials and other interested parties for a period of not less than 60 calendar days regarding the effectiveness of the cooperative process and any proposed changes. INDOT will direct a specific request for comments to the State association of counties, State municipal league, regional planning agencies, or directly to nonmetropolitan local officials.

More information on RPO's can be found at: <http://www.ruraltransportation.org/> and at the Indiana Association of Regional Council <http://www.iarc.cc/>.

## INDOT Planning Responsibilities



INDOT's planning responsibilities involve high level coordination between agency districts, divisions, sections, programs, and initiatives. It also requires strong coordinators with external planning partners/stakeholders, MPOs, RPOs, federal and state departments/administrations, citizens, and local officials. INDOT's Technical Planning, Asset Management, and Capital Program Management Group are responsible for asset planning and management oversight ensuring compliance with federal and state guidelines.



## INDOT District Office General Planning Responsibilities

**Note:** *The Central Office (CO) Planning Liaisons will function as a primary MPO point of contact for general/overall planning coordination activities including: regional plan development, statewide transportation improvement program (STIP) updates, MPO work plans, congestion mitigation coordination, air quality conformity coordination, performance management reporting, environmental justice, and other related general planning functions.*

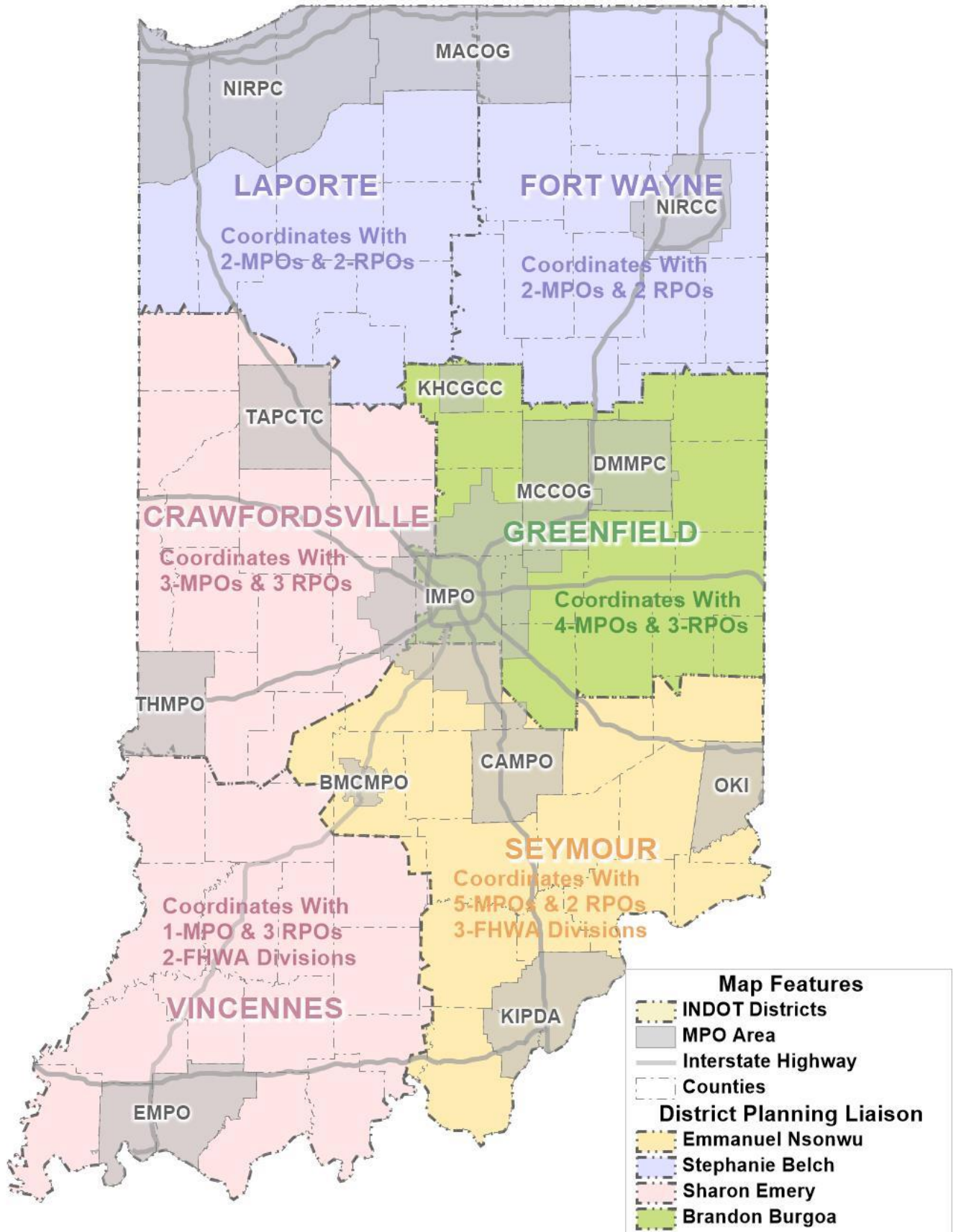
INDOT's six District Offices are responsible for short-term project planning, programming, local coordination, project management, and construction activities. The District Offices serve as INDOT's front line for interaction with the general public and local elected officials. District Office Staff participate in MPO Technical/Advisory Committee and Policy Board meetings; select public hearings; and are active members of the Asset Management Teams.

The Districts are responsible for submitting projects/needs for the annual call for projects for all assets within their respective district. The Districts and the Project Managers will also be responsible for working with the MPOs for TIP amendments activities. INDOT's Technical Planning and Programming and Statewide Technical Services Divisions provide technical support to aid in call for project submittals and coordination of TIP modifications and amendments.

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

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



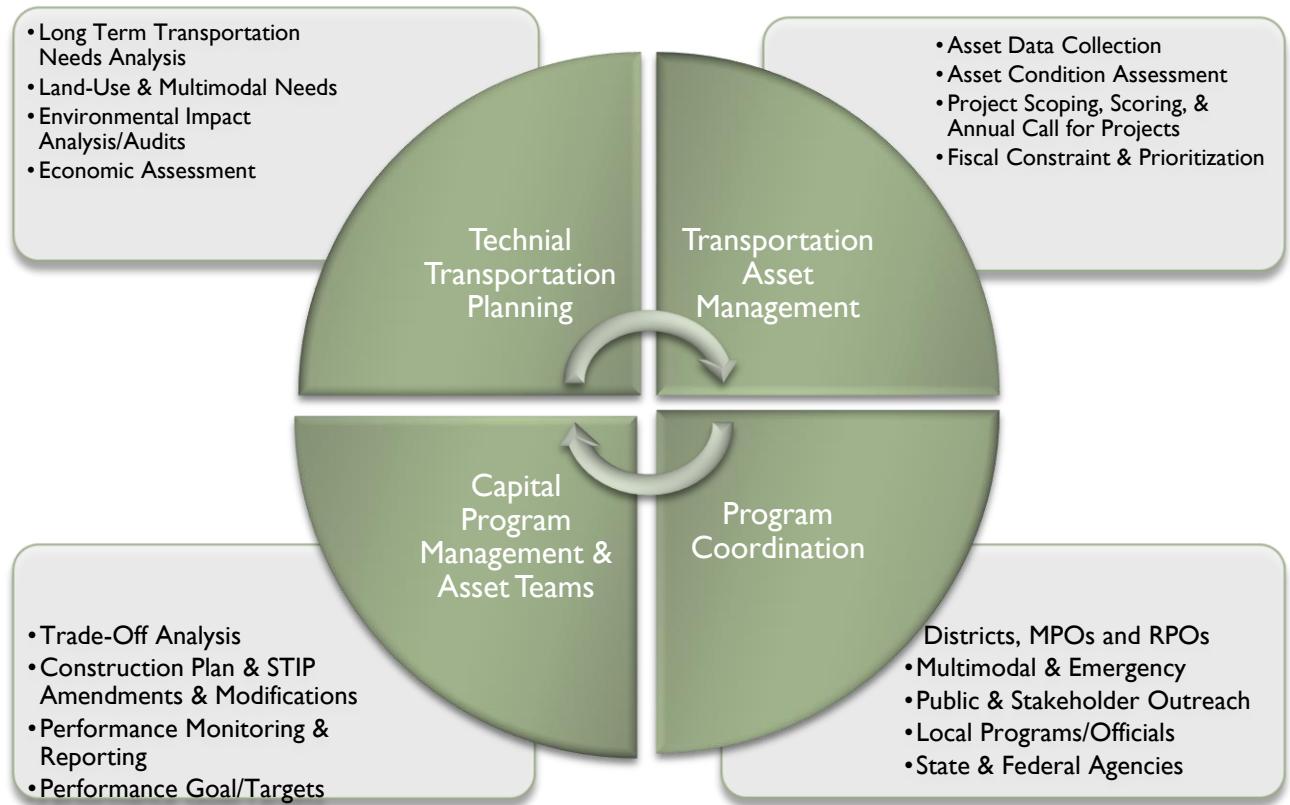


## INDOT Central Office Collective Asset Planning Responsibilities

INDOT Central Office Planning includes a team of individuals from the Technical Planning and Asset Management, Grants Administration, Statewide Technical Services, Communications, Multimodal, and Traffic Engineering Divisions. Collectively these groups are responsible for various transportation planning, asset management, and local coordination activities. The Central Office serves a supporting role to INDOT District Offices and oversee planning, asset management, program/project development processes. Central Office Planning Teams:

- Provide transportation systems level analysis to aid in project development and asset management: technical modeling (bridge, pavement, travel demand, economic, traffic forecasting, freight flows, and air quality conformity)
- Oversee, track, monitor, and report the collection of asset inventory and conditions data (traffic counts, pavement conditions, bridge conditions/inspections, safety data, and tracking of small road structures), and performance metrics as it relates to agency and national goals.
- Establish and implement agency goals, standards, and business rules
- Oversee and coordinate statewide programs and initiatives: Highway Safety Improvement Program (HSIP), transit grants, congestion mitigation air quality (CMAQ), railroad crossing program, Stellar Communities, TIGER Grants, and other programs.
- Statewide coordination: Indiana Freight Advisory Committee, Economic Development Corporations, Joint Transportation Research, Department of Natural Resources, State Department of Health, Department of Environmental Management, Local Technical Assistance Program (LTAP), and others).
- Statewide prioritization of identified transportation needs based on established funding targets, executive direction, and agency policies
- Coordinate multi-modal considerations for all modes of travel.
- Oversee the continuing, cooperative, and comprehensive (3-C) transportation planning process between INDOT, MPOs, and transit operators through information sharing.
- Performing MPO Transportation Improvement Program (TIP) reviews (e.g. ensuring compliance with federal requirements, comparison with MPO long range plans, project information/cost accuracy, and impacts to state air quality conformity goals)), TIP approvals, and administering the State Transportation Improvement Program (STIP) (e.g. STIP amendments, modifications, public outreach, MPO coordination, and MPO TIP consistency).
- Facilitating agency public involvement and outreach activities
- Provide support and awareness to designated District staff who serve as voting members on MPO Technical Committees and Policy Boards as it relates to long-range planning, TIP, STIP, air quality conformity, work program activities, and other required planning actions.





**INDOT Public Involvement General Responsibilities**

INDOT recognizes the importance of involving the public as early as possible when developing transportation solutions to best meet the state’s transportation challenges. Therefore, it is the policy of INDOT to promote public involvement opportunities in the planning and project development phases, continuing through project construction and maintenance.

INDOT’s public involvement procedures provide opportunities for early and continuing engagement of public and community stakeholders in developing transportation plans, programs, and projects. INDOT defines public involvement as a two-way communication aimed at providing information to the public and incorporating input from the public in the transportation decision-making process. The public provides input on transportation needs, community concerns, and environmental considerations. INDOT uses this input to help make decisions. By involving the public early in the planning process and throughout the development and implementation of projects, INDOT will deliver a statewide transportation system that meets the needs of, and is supported by its customers, the citizens of Indiana.

INDOT is committed to ensuring compliance of all applicable federal and state laws pertaining to public involvement and participation during all phases of the transportation decision-making process.

More Information is available at INDOT Public Involvement website:

<https://secure.in.gov/indot/2366.htm>

## INDOT Planning Involvement Responsibilities

### Asset Management Background



As defined by the American Association of State Highway and Transportation Officials (AASHTO), Subcommittee on Asset Management, asset management is a strategic and systematic process of operating, maintaining, upgrading, and expanding physical assets effectively through their life cycle. It focuses on business and engineering practices for resource allocation and utilization, with the objective of better decision making based upon quality information and well defined objectives. Through the use of management systems, engineering and economic analysis, and other tools, transportation agencies can more comprehensively view the big picture and evaluate collected data before making decisions as to how specific resources should be deployed. Asset management principles and techniques should be applied throughout the transportation planning process, from initial goal setting and long-range planning to development of a Statewide Transportation Improvement Program (STIP) and then through to operations, preservation, and maintenance.

INDOT's asset management program defines performance measures, serves as a repository for asset data, and promotes standard data collection and technology applications. The program provides a platform to perform the following activities:

- Track system condition, needs, and performance
- Clearly identify costs for maintaining and preserving existing assets
- Clearly identify public expectations and desires
- Directly compare needs to available funding, including operating and maintenance costs
- Define asset conditions so that decisions can be made on how best to manage and maintain assets and the consequences of in-action
- Determine when to undertake action on an asset such as: preservation, rehabilitation, reconstruction, capacity enhancement, or replacement.
- Performing risk management assessments

### Central Office Vs. District Planning & Asset Management Roles

The role of the Central Office is to establish the standards, policies, and goals for the Asset Management Program and provide the supporting processes, tools, mechanisms, and governance framework necessary to implement asset management activities, liaising with the Districts and providing oversight activities to support the districts in achieving good practice asset management. The six District offices are responsible for managing a wide range of assets that make up Indiana's infrastructure base and manage day-to-day operations, including construction and detours, traffic signal operations, permits,

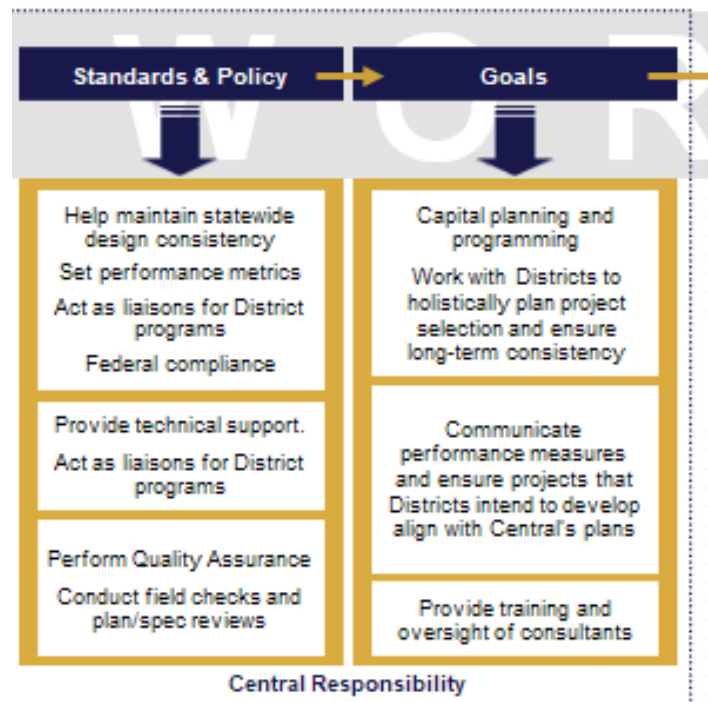
and maintenance operations, and therefore manage a wide range of assets that make up its infrastructure base. The role of the Districts is therefore to implement asset management activities, under the direction of the Central Office.

The process flow chart below delineates asset management activities between the Central Office and District-levels.

### Central Office Level Positions

Central office level positions are responsible for providing organization-wide leadership in asset management, program development, program delivery, and practices/concepts. Central office level position provides support and lead policy discussion and actions to our district teams to ensure consistency across the agency.

- Director, Pavement Asset Management
- Director, Project & Program Delivery
- Director, Asset Management
- Director, Bridge Asset Management
- Director, Traffic Engineering
- Director, Statewide Highway Maintenance
- Director, Statewide Technical Services

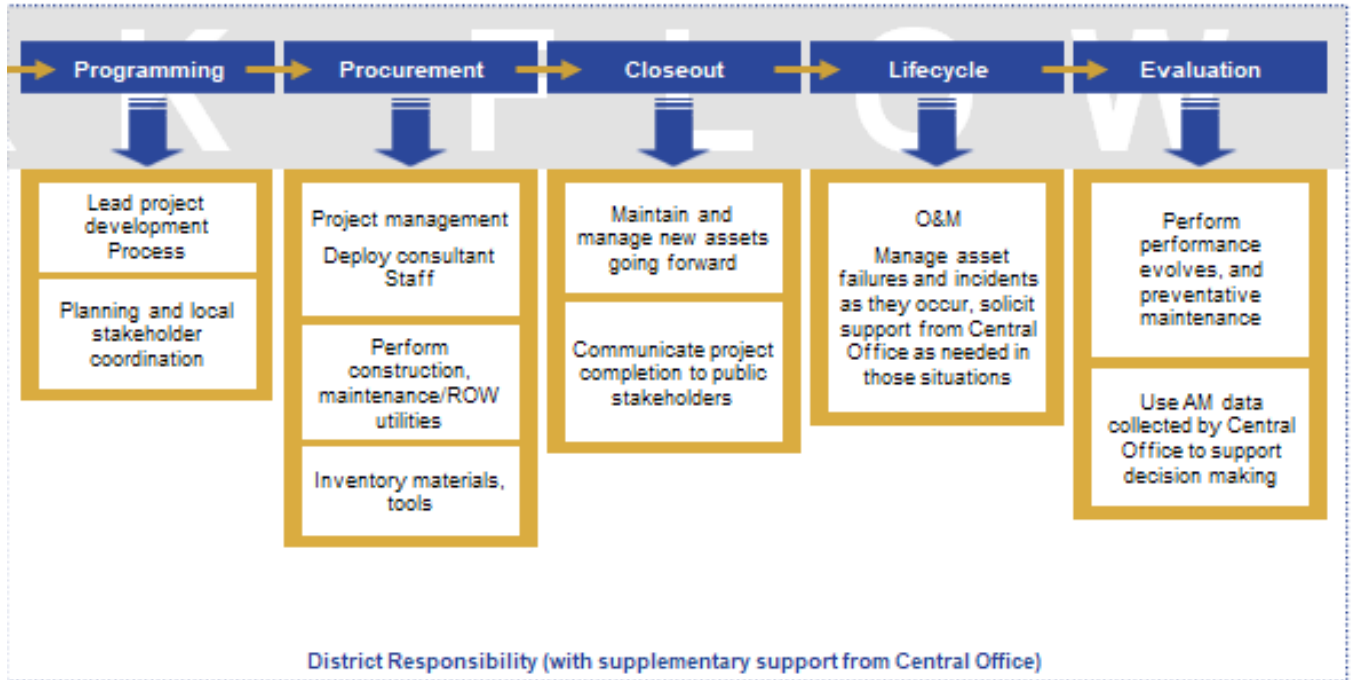


### District Office Level Positions

- **Deputy Commissioner (DC)** - Oversees all functions at the districts: planning and programming, capital programs, construction, maintenance, and administrative functions. DCs indirectly involved in the planning process, often serving as voting members on the MPO Policy Boards.
- **Technical Services Director (TSD)** - Each district has a Technical Services Director who is responsible for coordinating and overseeing a variety of asset management planning, inspections, traffic operations improvement (e.g. intersection improvements, traffic signal, and safety) and moderate to major pavement/bridge project development. District TSDs play a key role in transportation planning, serving as a district contact to MPOs, central office planning team, and major officials and stakeholders. District TSDs often participate and can be voting members on MPO Technical Advisory Committees. District TSDs directs and manages a team of staffers responsible for the annual call for projects on state facilities (safety, pavement, bridge,

and major mobility). TSDs are normally the point of contract for multiple stakeholder early involvement coordination meeting. TSDs typically function as the spear of the planning sword and now the pulse of their areas.

- **System Asset Manager (SAM)** – Manages system assessments on state facilities in their respective districts. SAMs are responsible for assessing and prioritizing the districts highway needs and preparing/submitting district capital improvement projects for bridge, pavements, permits, access management, safety, and traffic planning. SAMs can also participate in MPO Technical Advisory Meetings. SAMs are typically part of the statewide asset teams that are responsible for scoring and prioritizing asset needs.
- **Pavement Asset Manager** - Works for the SAMs in performing inspections, asset system assessments, identifying/recommending improvement strategies.
- **Traffic Engineer** – Conducts traffic engineering studies, performs system analyses, assist the central office with scoping, field checks, and traffic crash analysis.
- **Bridge & Pavement Asset Managers** – Works for the SAMs in performing inspections, asset system assessments, identifying/recommending improvement strategies.
- **Highway Maintenance Director** – Oversee the management of Highway Maintenance and Operations (e.g., roadway maintenance, bridge maintenance, winter operations, traffic, and each Sub District’s Work Program) to ensure that proper and efficient management practices are followed. You will establish a strategic operating plan that incorporates technological and regulatory changes along with identifying short and long term goals that are consistent with those of the districts and the mission of the Department.
- **Capital Program Management Director** – Once a project is activated and funded, the CPM coordinates with Project Managers and Capital Funds Managers. CPMs also oversee in-house surveying, real estate services, utilities, environmental scoping, project management, in-house designs, and consultant services. CPMs have very limited involvement with LPA projects. CPMs often participates in Technical Advisory and MPO Board Meetings as non-voting members unless directed otherwise. CPMs also may also participate in stakeholder involvement, planning level meetings with MPOs, RPOs, and local officials regarding STIPs, TIPs, long-range plans, and public involvement.
- **Capital Funds Manager** - Districts can have one or more CFMs. Capital Funds Managers are responsible for overseeing, reviewing, and processing change management. Changes from project managers on state projects are routed through the CFM in terms of SPMS amendments and STIP/TIP amendment needs.



Statewide Technical Division

Statewide Technical Services Division (Jason Lowther, PE) Director

Todd Shields, PE Office Manager

District Technical Services Coordination

Mark McMahan, Office Manager

System Assessment Modeling Coordination

System Condition Reporting

System Assessment & Field Checks

Road Inventory Team



The Statewide Technical Services Division is responsible for working cooperatively with District Technical Services Directors, System Assessment Managers, CO Asset Owners, Transportation Planners, Technical Modelers, Road Inventory, and Operations to provide technical support services for the development to of the agency’s capital program for needs on state jurisdictional facilities. The Statewide Technical Services Division is also responsible for analyzing projects, programs, and decision in terms of impacts to agency and national key performance indicators. This information will be used for incorporation into the agency’s comprehensive, risk-based, asset management plan.



## Office of Road Inventory

The Office of Road Inventory is a primary data center for the Department. Primarily tasked with tracking the physical and administrative features of the 11,140 miles of state owned/maintained roads, 65,970 miles of county owned/maintained, and 18,750 miles of city & town owned/maintained roads, the office is either directly responsible for, or has several inputs into, multiple State and Federally required reports including but not limited to: Certification of Public Road Mileage, Highway Performance and Monitoring System, and GASB 34.



In addition, the office's data is used as the backbone upon which several different corporate systems base their information. Applications such as the State Project Management System (SPMS), Work Management System (WMS), INDOT Answers application, Management Information Portal (MIP), Bridge Inspection Application Software (BIAS), the Traffic Monitoring System, the Pavement Management System, the Bridge Management System and Federal Highway Administration's Highway Performance Monitoring System (HPMS), all draw from the data such things as route, location and extent, functional classification, National Highway System status, rural or urban designation, and district.

The Office has many customers outside of the Department including: Department of Homeland Security, Indiana Department of Environmental Management, Indiana Department of Natural Resources, the Joint Transportation Research Board, Local Transportation Assistance Program, Purdue School of Civil Engineering, Metropolitan Planning Organizations, Regional Planning Organizations, county highway departments, cities and towns.

Collecting, verifying, coalescing, and transforming data into usable, easy to understand information, then presenting that information in a manner that is consistent with the needs of the consumer, whether that is a summary table, a chart of distributions, a graph of conditions, or a map of locations, the Office of Inventory provides a variety of services.

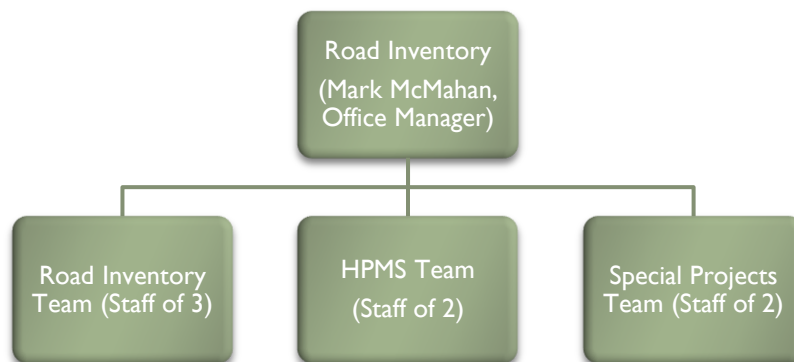
Within the Roadway Inventory and Tracking Office, there are three teams:

- **Road Inventory** - Functional classification of roads, total mileage, owner and the assets assigned to roadway sections. The section verifies, maintains, and reports mileage per owner to the State Auditor and to the Federal Highway Administration (FHWA).
- **Highway Performance Monitoring System (HPMS)** - HPMS is a national level highway information system that includes data on the extent, condition, performance, and use and operating characteristics of the nation's highways. The team maintains and runs reports on the HPMS data as required by the FHWA.

- **Special Projects** - Run intricate quality control procedures and assimilation of assets; assists with various mapping activities (spatial analysis, GIS assistance, map production, events mapping, and facilitate related training/educational seminars) and data integration. Relative to data integration, the team works to connect current data via a linear referencing system with the various other applications and departments, improving productivity and accuracy.

Other Inventory Activities:

- **Urban Area Boundaries** –FHWA requires that INDOT and the MPOs revisit the urban area boundaries for each of the MPO’s at the release of updated census information. Census Urban Area Boundaries are revised to smooth out geographic irregularities, maintain administrative continuity, and encompass fringe area having residential, commercial, industrial and/or national defense significance. The lead agency in the designation of FHWA UABs in urban areas over 50,000 population is the Metropolitan Planning Organization (MPO).
- **National Highway System (NHS)** – Coordinate with FHWA relative to National Highway System roadway, and ensure the NHS is populated correctly in the agency’s data warehouse and other data applications.
- **New Small Urban Area designation** – FHWA requires that INDOT revisit census information as updated in terms of the “Urban Clusters” which have become Small Urban Areas in accordance with FHWA’s HPMS guidance. INDOT will collaborate with Regional Planning Organizations on establishing Small Urban Area Boundaries within their respective jurisdictions.
- **Traffic Section**– Work with the Traffic Statistics Team within the Asset Planning Division to map traffic count sections to upload traffic data critical for HPMS data submissions to FHWA.
- **MPO Coordination** - Work with MPOs regarding HPMS related data collection activities, and provide training, guidance, and data repository.



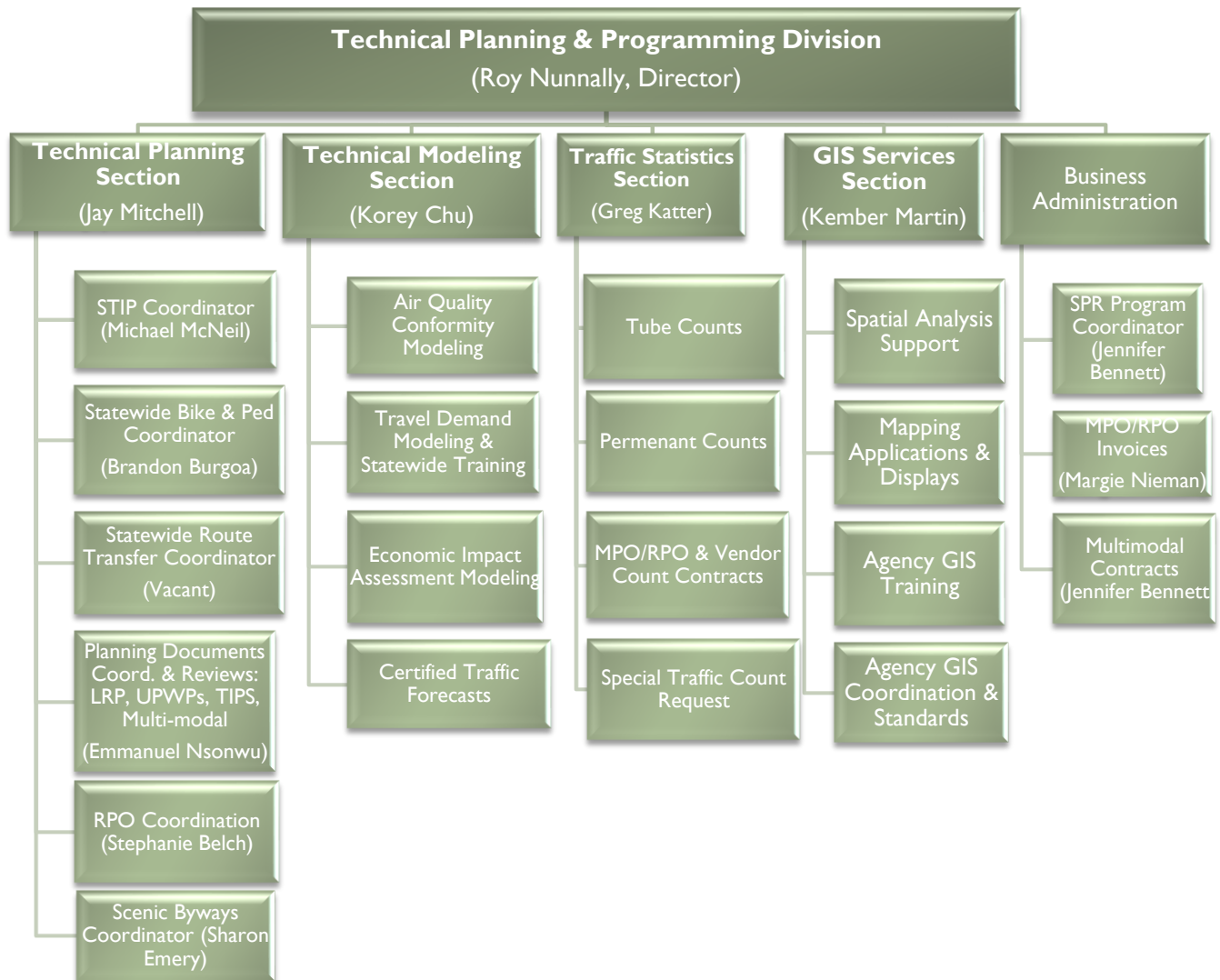
## Planning & Programming Division



### Division Overview

The Technical Planning & Programming Division is responsible for overall asset planning activities MPO planning coordination and UPWP oversight. The purpose of the Division is to combine transportation planning and asset management decision outcomes for a comprehensive capital asset program. The Technical Planning & Programming Division works cooperatively with following Asset Teams within the agency:

- Bridge – including small structures & culverts
- Roadway - pavement, geotechnical slide corrections, road modernization, and drainage
- Mobility/Congestion - added capacity, new road construction, new interchanges, interchange modification, intelligent transportation systems, sound wall barrier needs, and intersection improvements
- Safety – traffic and non-motorized roadway safety
- Statewide (handled by the Program Management Group)- Rest areas, weigh stations, utility, ROW, environmental needs, and others



**State Transportation Improvement Program (STIP)**

The STIP Coordinator is responsible for the development and implementation of Indiana’s Statewide Transportation Improvement Program (STIP) document and all subsequent modifications and amendments, development, implementation, monitoring of INDOT’s Scheduling/Project Management System (SPMS). The pages that follow contain these items:

- An organizational chart delineating roles, responsibilities and functions as they currently exist in the division. The organizational chart also serves as an overview of the responsibilities and functions assigned to the division.

- Process sheets that identify the responsibility party, process, timeline and control document for several of the activities completed by the section, particularly those associated with STIP development.
- The information that follows should provide a clear delineation of the roles and responsibilities of the Intermediate Range Planning division.

**Control document:** § 450.218 Development and content of the statewide transportation improvement program (STIP) and § 450.222 Project selection from the STIP.

## Technical Planning Section



The Technical Planning Section (TPS) within the Technical Planning & Programming Division is responsible for Long-Range Planning; Air Quality Conformity Analysis; coordination with MPOs, RPOs, and District Planning Staff regarding long-range transportation needs; and participates in public involvement activities for major capacity projects (added travel lanes, new road construction, new interchange, and facility upgrades). TPS also serves as planning support, providing technical model analysis on major

capacity improvements. Technical analysis includes travel demand modeling, benefit/cost analysis, economic benefit analysis, air quality conformity coordination, traffic forecasting, traffic counting, socio-economic trend analysis, and pre-National Environmental Protection Agency (NEPA) activities. The Section also administers the MPO planning program through oversight of the MPO's Unified Planning Work Programs and/or Statements of Work. The Section also provides oversight and administration for various MPOs and RPOs that participate in the Small Urban, Rural Planning SPR programs and activities. TPS is made up of 3-groups: Technical Planning, Technical Modeling, and Traffic Forecasting.

- INDOT, pursuant to Title 23, Section 134 of the United States Code is apportioned federal transportation funds and is the program administrator for the FHWA in the form of State Planning and Research funds (SPR). The funds available to the MPO include FTA Section 5307 funding, State Planning and Research (SPR) funds, Metropolitan Planning (PL) funds, Surface Transportation Block Grant (STBG) funds, and Federal Transit Administration (FTA) funds, and any funds provided to the MPO through INDOT for the purpose of the UPWP/SOW, as well as any other funds specifically identified for transportation planning purposes or over which INDOT has fiduciary responsibility. INDOT is authorized to allocate said funds for all MPOs, (23 U.S.C. 104(d) and 49 U.S.C. 5305), based on the approved MPO distribution formula.
- The MPO is to be the sub-recipient of Metropolitan Planning Funds (PL) authorized under 23 U.S.C. 104 (d) and 49 U.S.C. 5305 to carry out the provisions of 23 U.S.C. 134/49 U.S.C. 5303.

- In accordance with 49 CFR 18.40 INDOT shall monitor all activities performed by MPO staff or sub-recipients of FHWA and FTA funds to assure that the work is being managed and performed satisfactorily and time schedules are being met.
- INDOT has primary responsibility for administering FHWA and FTA funds allocated to the MPO's and ensuring that such funds are expended for eligible costs, purposes, and activities in accordance with 23 CFR 420, that are allowable per 2 CFR 225, and that are within the MPO's planning boundaries,
- 23 CFR 450.314 requires that INDOT and each MPO enter into an agreement clearly identifying the responsibilities for cooperatively carrying out the Metropolitan Planning process and accomplishing the transportation planning requirements of state and federal law.
- INDOT will incorporate each MPO's Transportation Improvement Program (TIP) into its Statewide Transportation Improvement Program (STIP) in its entirety after approval by the MPO Policy Board and the Governor **§ 450.216(b)**.



Transportation Planning Section  
(Jay Mitchell, Supervisor)

Statewide Bike & Pedestrian Coordinator  
(Brandon Burgoa)

State Transportation Improvement Program  
(Michael McNiel)

Route Transfer Program & RPO Program  
(Vacant)  
(Stephanie Belch)

Transportation Planning (UPWP, TIP, LRP Coord. & Reviews)  
(Emmanuel N.)

**Transportation Planning Team**

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

**Technical Transportation Planners (Detailed Duties)**

**(Jay Mitchell, Supervisor)**

Backup Planner, NEPA, & CMAQ Reviews

**Stephanie Belch**

- Primary Planner for Fort Wayne and LaPorte Districts and respective MPOs & RPOs
- Statewide RPO Program Coordinator
- Statewide LRP Coordination
- STIP/TIP Coordination
- Special Initiative: Secondary Route Transfer Coordinator
- Bridge Asset Team Participant

**Brandon Burgoa**

- Primary for Greenfield District and respective MPOs and RPOs
- State Bike and Pedestrian Coordinator
- Special Initiative : Statewide Bike, Pedestrian, and Active Transportation Planning
- Primary Statewide Multi-modal coordination
- Mobility Asset Team Participant

**Emmanuel Nsonwu**

- Primary Planner for Seymour District and respective MPOs & RPOs
- Statewide Coordinator for TIPs, UPWPs, and MPO Contract Invoices. Assists with the Coordination of UPWP Approvals
- Special Initiative: - CMAQ Reviewer
- HSIP Coordinator & Safety Asset Team Participant
- Annual Listing of Obligated Projects (ALOP)

**Sharon Emery**

- Primary Planner for Crawfordsville and Vincennes Districts and respective MPOs & RPOs
- STIP/TIP Coordination
- Special Initiative: Scenic Byway Program
- Secondary statewide TIP and UPWP Coordinator
- Secondary Statewide Multimodal Coordination
- Traffic Statistics Section Contract Administration

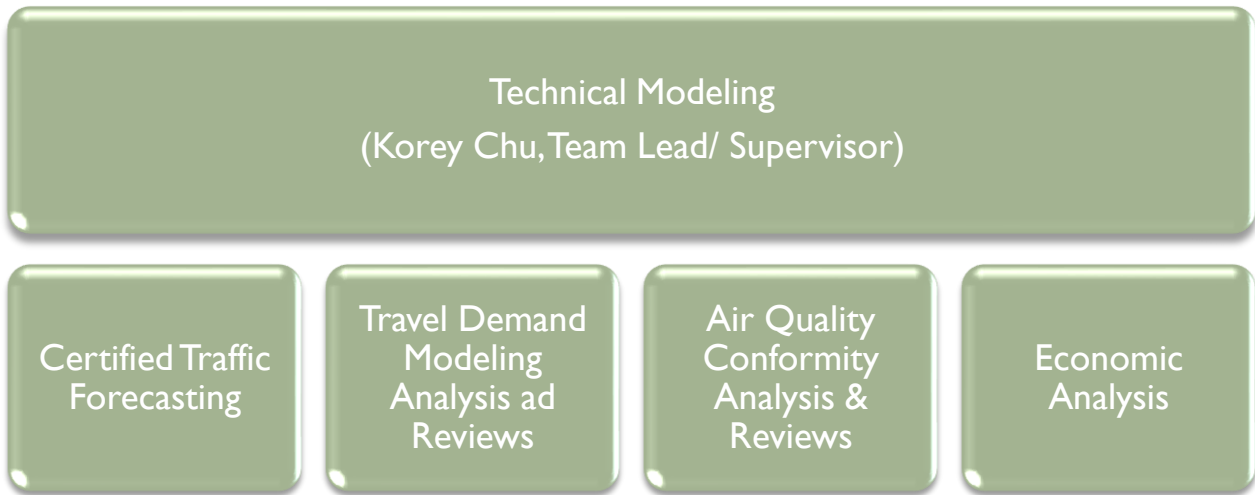


The TPS perform the following:

- Administration and oversight of the MPO planning process as outlined in the UPWPs/SOWs and other planning documents (such as TIPs, MTPs, public involvement plans, etc.).
- Develop and update comprehensive capital program construction and asset management plans based on coordination with districts, asset teams, STIP Specialist, funds committee, and Executive Office.
- Develop, update, and maintain the INDOT Long Range/Future Year Transportation Plan.
- Coordinate Metropolitan Planning Organizations (MPO) capital planning with INDOT capital planning activities.
- Oversee work activities and programs for Regional Planning Organizations (RPO).
- Coordinate with various planning partners regarding Congestion Mitigation and Air Quality (CMAQ) eligibility activities.
- Monitor current transportation conditions and socio-economic trends; and forecast future needs.
- Participate in various planning and corridor study activities.
- Evaluate the impacts of proposed capital improvements projects.
- Support the development of transportation policies and goals.
- Facilitate required transportation related public involvement activities.
- Maintain the Annual Program Development Document (APDP) and Roles and Responsibilities document.
- Perform community context audits that assess local complete street policies, community needs, American with Disabilities Act (ADA) transition plans reviews, and consideration of local multimodal needs.



## Technical Modeling Team (TMT)



The TMT is responsible for developing and providing model assigned traffic forecasts, improvement needs modeling, and air quality analysis for designated non-attainment rural areas. The section provides technical support and guidance to the fourteen Metropolitan Planning Organizations (MPOs), six district planning offices, state Regional Planning Organizations, and various sections within the INDOT Central Office. The TMT provides cooperative interaction between the public, transportation professionals, and decision makers. The TPS performs the following:

- Technical modeling activities for districts to support the annual call for project submittals and corridor needs analysis.
- Technical analysis to support project scoring and ranking for the Traffic Engineering and Congestion/Mobility asset teams.

Other services available:

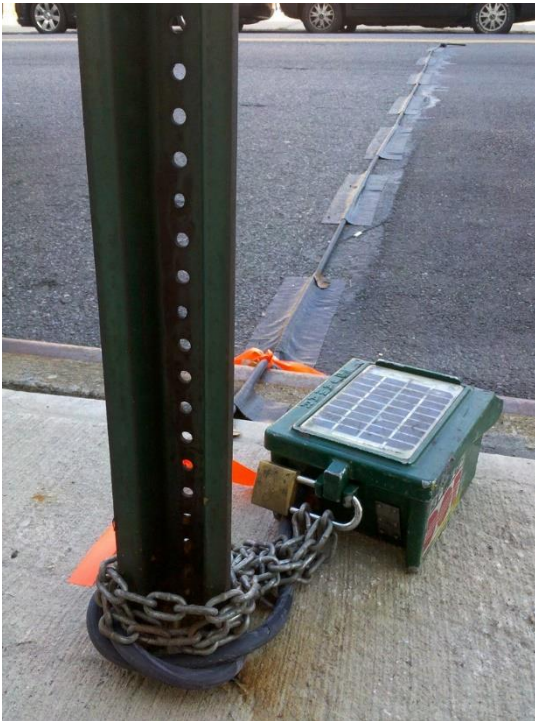
- **Travel Demand Modeling** –INDOT has an Indiana Statewide Travel Demand Model (ISTDM) in which the section is responsible for maintaining, modeling scenarios at the request of modeling studies, MPOs, District Staff, and others. The section not only performs statewide modeling functions, but also coordinates with MPOs regarding urban modeling activities. Travel Demand Models (TDM) are sets of computer programs assembled to forecast traffic flows on the transportation system and for long range forecasts: 20 to 30 years that identify possible future year transportation system deficiencies that may not exist today, and also evaluate the impacts of alternative transportation solutions for development of long range transportation plans and provide input into other models such as emissions models.
- **Planning Level Benefit Cost Analysis** – The Technical Modeling and Forecasting Sections use the Highway Economic Requirement System (HERS) model which is a FHWA asset management tool to provide project specific benefit cost analysis and highway related transportation needs. The

section also uses NET B/C which is a network level benefit cost analysis tool that provides aggregate systems level benefit/cost analysis for the various major capital construction programs and plans (Long-Range Transportation Plans and 10-Year Major Capital Plans).

- **Air Quality Conformity** – Air quality conformity applies to long-range transportation plans, shorter-term transportation improvement programs (TIPs) and transportation projects funded or approved by the Federal Highway Administration (FHWA) or the Federal Transit Administration (FTA). Conformity requirements apply in areas that either do not meet or previously have not met certain air quality standards. The TMT is responsible for conducting emissions analysis for rural areas not covered by an MPO that are designated as non-attainment areas and/or maintenance areas by the Environmental Protection Agency (EPA). The section works closely with the Indiana Department of Environmental Management (IDEM), EPA, and county officials to determine air quality conformity budgets and test proposed transportation improvements. The section also runs emissions analysis to determine various levels of ozone and particulate matter produced by the transportation system. The MPOs are responsible for carrying out air quality conformity testing for their regions and developing plans and programs to assure that they remain within their air quality budgets.
- **Certified Traffic Forecasts** - INDOT's Certified Traffic Forecasts provides base and projected year traffic and average growth rates for corridors and intersections. The traffic forecasts are used for preliminary studies, engineering reports, and design in the project developmental stage.
- **Economic Modeling** – INDOT uses a variety of econometric modeling tools to evaluate direct and secondary economic impacts of major capital decisions: job attractions, business operations savings, gross regional product, real personal income impacts, reduced crashes/delays, and environmental impacts. For the bulk of the economic modeling, the TMT use the Major Corridor Investment Analysis Tool, which is a simplified spreadsheet tool that can report these impacts in general categories. Output from this model is used as a performance measure for project scoring. INDOT also uses a statewide level Regional Economic Modeling Inc. (REMI) input-output econometric model that can provide more refined economic impact analysis broken out by industry sector that can also take into account impacts of transportation policies, multimodal facilities and improved accessibility to these facilities. The TMT is increasing their analysis capability by reviewing various off the shelf applications and working with Conexus Indiana, Indiana Economic Development Corporation, Purdue University, and others in testing transportation policies and complex infrastructure investment concepts.

**Control Document(s):** *23 CFR 450.216(f) and 40 CFR 93 of the Clean Air Act*

## Traffic Statistics Section



The measurement of traffic composition and volumes is one of the most basic functions of highway planning and asset management. Transportation planning and asset management at all levels requires understanding of historic, actual, and forecasted conditions. This involves determination of vehicle volumes, vehicle types, speeds, weights, as well as more detailed information such as trip length, trip purpose and trip frequency. The first group of data dealing with the characteristics of vehicle or people movement is obtained by undertaking traffic counts. Traffic count information is the most common measure of roadway use and influences various transportation decisions.

- **Engineering** – highway geometry, pavement design, structural design
- **Traffic Operations** – Signal timings, intersection and interchange modification needs, lane closure policies and,

- identification of congested areas
- **Transportation Safety** – Traffic control systems, accidents rates, bridge posting, and speed zones
- **Systems Planning** – transportation needs analysis, transportation policies such as: air quality, environmental resource consumption, social equity, land use urban growth, economic development, safety, and security
- **Funds Apportionment** –federal transportation funding apportionment, and VMT estimates to estimate fuel tax revenue that support agency operation decisions
- **Traffic Modeling** - supports travel demand, economic, and emissions modeling development and maintenance activities
- **Interstate Lane Closure Policy Waiver Request** – provides detailed hourly classified reports of Interstate traffic to support queue length modeling in support of waiver requests

The Traffic Counting and Monitoring Section is responsible for:

- Collecting, analyzing, and reporting traffic data for all functional classifications in the State of Indiana. Data include: volume, vehicle classification, weight, and speeds.
- Developing and maintaining state-wide count databases and interactive traffic count flow maps for agency and public use, including downloadable geographic information system (GIS) map files that date back to 2006. This includes all state-owned and non-state-owned facilities that are federal-aid routes.
- Monitoring over 140-permanent count stations throughout the state.

- Performing counts on nearly 1/3 of the state's 24,000 count locations each year. The locations are on both State Owned and Non-State-Owned Routes that are eligible for Federal Aid as part of the coverage count program. While FHWA only requires collection on certain Non-State-Owned Routes at a six-year frequency, INDOT collects at all non-interstate locations at a three-year frequency and interstates at a two-year frequency.
- Coordinating with MPO, RPO, District, and consultant count activities and programs. We currently have contracts with four (4) Metropolitan Planning Organizations and three (3) Regional Planning Organizations. Ensuring certification of count equipment and staff for all counting partners using federal aid/funds as part of the count program and Highway Performance Monitoring System (HPMS) reporting.
- Implementing mandates regarding traffic data monitoring as part of the federal Highway Performance Monitoring System (HPMS) program, ensuring certification of all state count equipment and staff used for traffic data collection on Indiana federal-aid routes. This includes MPOs, RPOs, and contracted consultants.
- Providing the Annual Adjustment Factors in April by month and functional classification.
- Providing MPOs and RPOs access to traffic count data in the most user-friendly format for air quality, modeling, and planning needs.
- Coordinating with INDOT Road Inventory Office and supplying traffic count data (including counts from our various counting partners) for processing of the HPMS submittal to FHWA annually.
- Submitting required monthly reports to FHWA regarding VMT trends on a county basis.
- Providing certified traffic forecasts for developing projects. This information is used in preliminary engineering reports to aid in project decision making. The purpose of traffic forecasting is to produce future estimates of average daily traffic (ADT), design hour volumes (DHV) and truck percentages for use in design and planning activities.

**Control Document(s):**

- *23 CFR 500.203 requires all the requirements as identified in the HPMS Field Manual to be met.*
- *FHWA Traffic Monitoring Guide*
- *HPMS Field Manual*
- *AASHTO Guidelines for Traffic Data Programs*

The Traffic Statistics Section uses a variety of traffic count equipment and methods to collect Indiana's traffic data. Traffic data is collected in two primary forms:

- Short-Term Counts – Portable devices that are deployed across the state for a period between 24-48 hours.
- Continuous Counts - Permanently installed devices within the roadway right-of-way that collect volume daily. Collected data is uploaded to a server daily and reviewed for quality. The data is used to develop monthly and annual VMT reports that are submitted to FHWA. The collected data is also used to develop seasonal and annual factors by roadway functional class to adjust short-term counts into annual and average daily counts.

The bulk of the count equipment used throughout the state is considered intrusive technology, meaning the equipment is used within the roadway. There are risks associated with using this technology as the technician usually works within the roadway with live traffic to install or repair the device; the device is left unattended for 24-48 hours within the right-of-way; and traffic loops and tubes are installed on the roadway surface. For select high volume and multi-lane locations some form of traffic control is required to minimize risks. Intrusive Technology includes:

- **Tube Traffic Counter** – Traffic counters frequently use rubber road tubes to sense and record the number of axles at a count location. When a vehicle’s wheels cross the road tube, pulses of air are recorded and processed by the traffic counter. The road tube is extended across the desired lanes or directions that need to be counted, and depending on the type of count needed, one of several different road tube configurations may be placed in the roadway.
- **Automatic Traffic Recorders** - These devices utilize permanent sensors, such as induction loop detectors, which are installed directly into each lane of pavement at a count location. An inductive-loop detector senses the presence of a metal object by inducing currents in the object. These types of counters collect counts daily, year-round and require traffic control for installation and maintenance.
- **Weigh-in-Motion Devices** – These devices can determine the weight of a moving vehicle, in addition to recording vehicle classification and volume. These devices utilize permanent sensors (such as bending plates) or temporary sensors (such as piezoelectric strips) that monitor each lane of travel at a count location.

INDOT also uses non-intrusive technologies that eliminate the need for traffic control and minimizes risks and delays to motorist and the traffic count technician. INDOT uses the following devices:

- **Video Traffic Counters** – These devices record vehicle movements on roadways and intersections. The video data is processed using proprietary software. Video counters are often used in complex location where traditional count methods are unsuccessful. These devices are capable of capturing turning movement counts, roundabout movements, pedestrian, and bicycle counts. Deployment of the cameras does not require entry into the travel way but does require technicians within the right-of-way and exposed to traffic.
- **Radar Traffic Counters** – Use microwave signals to capture vehicle speeds. Vehicles are classified by length, not by axle. At this time INDOT uses these devices for roadway speed and flow.
- **Other New Technology** – (Under Construction)

## Multi-Modal (Aviation, Freight, Rail, & Transit) Division



### Multi-Modal Overview

The Multi-Modal Division is responsible for:

- Managing the Public Transit Section and Administrative Staff that manage all the transit grants
- Coordinating the development, approval, and authorization of the Statewide Planning and Research (SPR) Work Program part 1. and MPO Unified Planning Work Programs (UPWPs). The Manager is also responsible for the associated Agreements, Purchase Orders (POs), billings, audits, closeout of old POs/Federal-aid Projects, and tracking MPO PL balances.
- Coordinating with the MPOs and Transit Operators to develop the transit element of the UPWPs and STIP. This staffs also administer the associated FTA grants (MPO planning grant and rural transit grants).
- Other functions and specialty areas within the Multi-Modal Division are available to MPOs for reviewing plans and providing guidance within their areas of expertise. These include: Rail (Freight and Passenger), Aviation (Commercial and Recreation), and Freight Mobility (All modes to include trucking, rail, water, and air).

### Aviation Office

The Indiana Department of Transportation (INDOT) [Office of Aviation](#) is charged by Indiana Code (IC) 8-21-1, with developing and continuously updating a state airport system plan that will best serve the interests of the state and its political subdivisions, and be coordinated with the national airport system plan prepared by the Federal Aviation Administration (FAA). Indiana is home to 117 public-use aviation facilities.

The INDOT Office of Aviation is responsible for reviewing airport capital improvement programs, reviewing airport pavement maintenance/management programs, and performing airport pavement inspections.

## Freight Mobility

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Freight mobility depends on the seamless integration of transportation infrastructure. As much as one-third of the freight on Indiana's transportation network passes through the state without stopping, which makes through carriers a significant stakeholder in the state's freight system. Our goal is to partner with others to provide an integrated freight transportation and logistics system that ensures the efficient, reliable, safe and secure movement of goods, materials and services, which supports the state's economic growth and competitive access to markets.

The Freight Mobility Team is responsible for the development and maintenance of the State Freight Plan and working with the Indiana State Police, Commercial Vehicle Enforcement Division; and Indiana Department of Revenue Motor Carrier Division for processing oversize/overweight permit requests.

The Freight Mobility Team also work directly with the INDOT Technical Planning and Modeling Team, MPOs, RPOs, Ports of Indiana, Indiana Motor Trucking Association, Indiana Freight Advisory Committee, and Federal Agencies to identify freight bottlenecks, road restrictions for oversize/overweight vehicles, and final permit rules.

## Transit Office

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INDOT's [Office of Transit](#) provides financial and technical assistance to 66 public transit systems across the state, which results in support for more than 36.6 million passenger trips annually. INDOT additionally provides financial assistance to specialized transportation providers around the state. INDOT's role in the state's public transit system is mainly financial – administering millions of dollars in state and federal funds through grant programs.

The Office of Transit works directly with transit providers, MPOs, RPOs, FTA, and INDOT Transportation Planning and Programming Team. The Team oversee programs that provides enhanced mobility of senior citizens and individuals with disabilities and rural transit programs.

The Transit Office is responsible for publishing Indiana Public Transit Annual Reports, State Transit Management and Public Transportation Safety Plans.

#### Rail and Passenger Rail Office

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INDOT's [Rail Office](#) is dedicated to preserving and developing freight and passenger corridors throughout Indiana. This is done through financial assistance to railroads and port authorities, participation in regional planning groups, and monitoring rail industry developments.

The Rail Office oversee the Indiana State Legislature established the Railroad Grade Crossing Fund (RRGCF) (I.C. 8-6-7.7-6.1) to provide funding for railroad-highway crossing improvement projects throughout Indiana. The INDOT Rail Office manages the RRGCF program as a cost reimbursement grant. Local Public Agencies, such as cities, towns, and counties, are eligible to apply, as are Class II and Class III Railroads and Port Authorities. The Rail Office also oversee the Industrial Rail Service Fund (I.C. 8-3-1.7) was established to assist in funding for the rehabilitation of the smaller railroads' infrastructure. Eligible railroads are Class II & III Freight Railroads and Railroad Port Authorities.

The Rail Office works closely with INDOT Traffic Safety, Planning & Programming, MPO, RPO, FRA, FHWA, and Transit Providers in the development and maintenance of the State Rail Plan, Passenger Rail Infrastructure Plan, and Rail to Trails program.

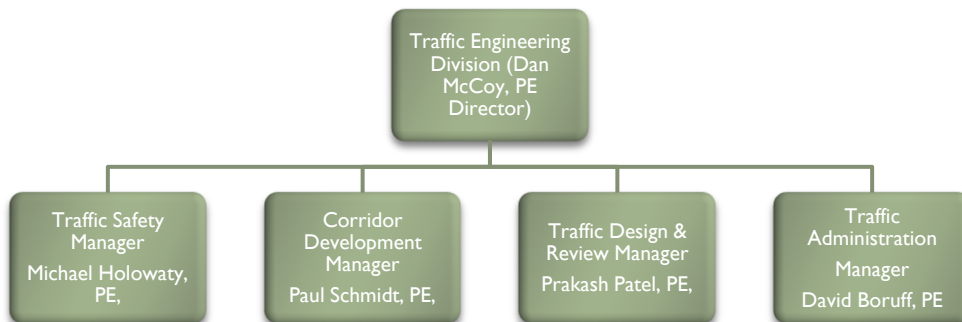
## Traffic Engineering (Mobility & Safety) Division



### Division Overview

The Traffic Engineering Division is tasked with the administration and design of traffic control devices as well as preliminary engineering of safety and mobility projects for the State of Indiana.

- Mobility improvements are produced through analysis and evaluation of congestion sites or segments on the State roadway network.
- Safety improvements are produced through both network screening and systemic evaluation of the State roadway network.



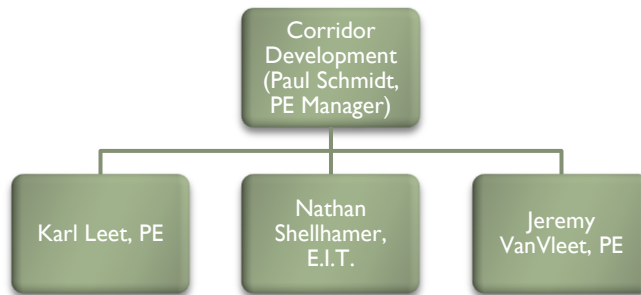
### Corridor Development Office

The overall function of the Corridor Development Office is to provide engineering analysis for complex proposed and programmed major capacity corridor improvements (e.g. new interchanges, new corridors, multi-lane added travel lanes improvements, and large-scale interchange modifications) and potential INDOT economic development projects. Responsibilities include:

- Verifying major transportation capacity needs and performance issues
- Generating alternative treatments, analyzing, and identifying merits of those options (including impacts, benefits, and preliminary costs)
- Making recommendations, and documenting the assessment (reporting)
- Participates in the Planning & Environmental Linkage (PEL) activities

- Mobility improvements are produced through analysis and evaluation of congestion sites or segments on the State roadway network.
- Safety improvements are produced through both network screening and systemic evaluation of the State roadway network.

The Corridor Development Office also performs and manages selected programmatic traffic mobility initiatives (e.g. identification and definition of initial project intent of candidate railroad grade separation sites), and currently oversees, guides the INDOT Asset Mobility Team for congestion and mobility projects. Proposed projects are provided via many sources: the annual call for projects; 5-year construction program; or through executive directive.



**Traffic Safety Office Responsibilities**

The Traffic Safety Office is responsible for developing and implementing programming designed to reduce the number of people injured or killed each year on Indiana's roadways. The office administers state funds and federal dollars awarded to Indiana from the National Highway Traffic Safety Administration (NHTSA), U.S. Department of Transportation, Federal Highway Administration, and the Federal Motor Carrier Safety Administration. In this role, the Traffic Safety Office conducts grant management, organizes media campaigns, produces educational/informational materials, and coordinates special enforcement efforts with state and local law enforcement agencies

The Office is responsible for developing and maintaining the federally required Strategic Highway Safety Plan (SHSP) in order to utilize Highway Safety Improvement Program (HSIP) funds. The SHSP uses a process that is data driven, comprehensive, and includes consultation with other key safety stakeholders in the State.





**INDOT Asset Management & Capital Programs (State Facilities)**



**Asset Management Teams**

The Asset Management teams are a critical component to the asset management process. Each asset team committee is typically made up of a chair, vice-chair, and a systems assessment and/or district representatives from each INDOT district. They are responsible for:

- Looking at the merit of the projects submitted through the call, performing quality assurance of projects
- Ensuring all submitted projects have the correct support data and information included
- 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

INDOT Asset Team Chairs (Subject to Change):

- Bridge – Adam Post
- Mobility – Paul Schmidt
- Roadway/Pavement - Autumn Young
- Safety – Mike Holowaty
- Statewide — Managed by the Capital Program Management Group (PMG) collectively

Team Meetings varies depending on the individual asset team. Some meet monthly, quarterly, or as needed.

These asset teams include System Assessment Managers (SAM) or representative from each of the INDOT districts to develop and maintain performance metrics measures and the ranking of projects. The division assists in the development and incorporation performance measures and standards ensuring federal 21 requirements are met. Each group is responsible for tracking relative performance of service for their assigned physical asset and developing/implementing strategic investments to ensure the best use of resources and other functions. The overall focus is on long-run performance relative to highway transportation investment through systematic application of rational, integrated asset management practices.



<b>Bridge Asset Team</b>	<ul style="list-style-type: none"> <li>•Bridge Structures &amp; Bridge Maintenance</li> <li>•Large Culverts</li> <li>•Small Culverts (including Select Drainage Pipes)</li> </ul>
<b>Mobility Asset Team</b>	<ul style="list-style-type: none"> <li>•Intelligent Transportation Systems (ITS)</li> <li>•Added Capacity &amp; Operational Improvements (intersections, turning lanes, and other)</li> </ul>
<b>Roadway Asset Team</b>	<ul style="list-style-type: none"> <li>•Pavement Management</li> <li>•Road Reconstruction &amp; Resurfacing</li> <li>•Geotechnical Road Slides</li> </ul>
<b>Safety Asset Team</b>	<ul style="list-style-type: none"> <li>•Systemic Safety Improvements</li> <li>•Rail-Highway Crossing improvements</li> </ul>
<b>Statewide Asset Team</b>	<ul style="list-style-type: none"> <li>•Rest areas</li> <li>•Stand Alone ADA Transition Needs</li> <li>•INDOT Buildings</li> </ul>

Several formal reports are produced within the Asset Teams. Many of which are federal requirements, while others are for the purpose of understanding and communicating the condition/performance of each of the transportation functional assets and consequences of various program investment strategies. Several transportation management applications are maintained and operated by each asset team. The Division serves to deliver outstanding stewardship in managing INDOT's transportation infrastructure.

### Capital Program Management Group (PMG) Responsibilities

The Program Management Group (PMG) is made up of experts ranging from senior managers to technical individuals whose mission is to oversee the work of Asset Management Teams and ensure all parts of the asset management process are balanced and functioning together as a unit.

The PMG oversees the call for "call for projects" state and the project selection process. The PMG provides the asset management team guidance that creates prioritized lists of highest value projects through the asset management teams and then looks at fiscal constraints versus asset performance. It also reviews and recommends approval of changes to the program both in terms of fiscal constraints and individual project changes. The team is scheduled to meet every two weeks for review of changes with a meeting each month to discuss asset management issues, coordinated activities, schedules, and staff updates; and asset team meetings every eight weeks.

### Program Management Group (PMG) Purpose

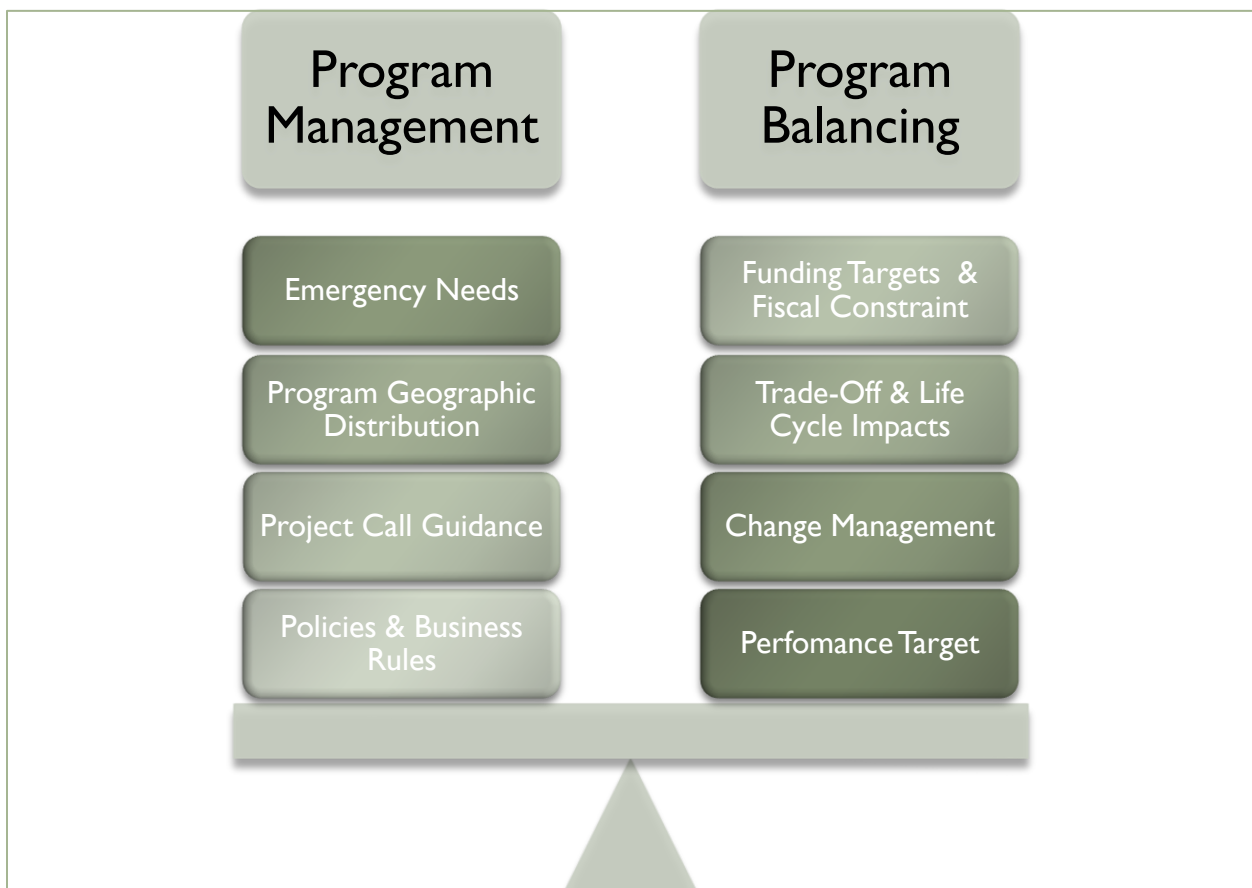
INDOT's Program Management Group (PMG) is made up of four members: Managing Director of Strategic Planning, Director of Project Finance, Managing Director of Asset Management, and Managing Director of Project Delivery. Structurally in the context of the agency's capital program development, the PMG reports directly to the Executive Funds Team (EFT), whereas the four capital program asset teams—Traffic Safety, Traffic Mobility, Bridge, and Roadway/Pavement—report to the PMG.

The PMG's primary role is to apportion annual capital project funding across the four main asset areas as part of the annual call for projects. (There are other, specialized capital categories.) That essential funding distribution is based on evident need, targets/objectives, and mandates. Those earmarks are then applied to prioritized candidate project inventories built by the asset teams through the project call process to form the rolling 5<sup>th</sup> year capital program (e.g., in the spring of 2021 the fiscal year 2026 program will be produced).

The PMG's focus is at the overall program level, though periodically attends to specific project matters, notably large-scale (high-cost) or prominent actions. The four members confer continually throughout the year, but the core activity occurs late-winter and early spring each year to generate the 5<sup>th</sup>-year-out program of capital projects.

Other responsibilities of the PMG include the following:

- Set the schedule for the annual project call process (opening and closing of call, timeframe for asset teams’ deliberations, distribution of capital funds, informing the EFT of final selections)
- Distribute, announce new project selections for purpose of formal programming (to start project development)
- Oversee asset team business (scoring) methods
- Administer non-routine capital program activities such as mid-cycle (mid-year) adjustments due to added or reduced funding, new agency priorities, etc.
- Establish roles & responsibilities of individuals/positions involved in forming INDOT’s capital program, and general processes across the multiple supporting parties and method
- Maintain awareness of status of the agency’s physical and service assets relative to performance targets, and continually calibrate their relationship
- Manage specialized capital programs and events
- Advise and carry out directives of executive leadership



## INDOT Change Management Change Control Board (CCB)

INDOT's Change Management (CM) business process and associated Change Control Board (CCB) address INDOT project-level modifications arising in the period after establishment of the capital program and before contract/construction letting. The CCB is made up of three members: Director of Project Finance, Managing Director of Asset Management, and Managing Director of Project Delivery.

The requirement for (a) CM application, (b) approval by parties conducting interim reviews, and finally (c) approval by the CCB is to protect the integrity of the agency's capital program in screening and adopting inevitable changes over the course of (design) development to a minor share of mostly previously programmed, active projects. The CCB and CM process are related to other facets of INDOT's capital program formation and execution but are unique in their focus on adjustments to an existing project or previously established five-year capital program.

The following events prompt a Change Management request:

- Alteration in project's essential scope of work (i.e., need & purpose, location/extent, fundamental treatment, intensity),
- Move of scheduled construction letting date,
- Increase (or decrease) in cost, or
- Outright elimination or addition of a project.

The CM workflow is fully contained within SPMS, the regular project tracking application. The request/application typically originates from the project manager (PM) or district program manager (supported by analysis and content from other staff), is checked through attending district technical services and capital programs areas, routes to pertinent central office asset team chair (Traffic Safety, Traffic Mobility, Bridge, Roadway/Pavement), then advances to the CCB for final review and ultimate approval.

## Capital Funds Program Management

Provides data management reporting to INDOT Executive Office Team regarding the asset management program and recommendations by asset type. Group supports scoring, scheduling, and provides statewide program management services.

### Control Documents

In July 2012, the Federal Highway bill, Moving Ahead for Progress in the 21st Century (MAP-21), codified asset management principles into law. This legislation establishes a performance-based highway program with the goal of improving how Federal transportation funds are allocated.

MAP-21 identifies national goal areas with thresholds on pavement conditions on interstates and bridge conditions on all National Highway Systems. State Departments of Transportation and locals must target in response of the national goals within 12 months of established national measures. MPOs must



establish their targets six months after the state establishes its target. All targets and measures must be incorporated into planning processes. State report on progress towards target must be reported within four years of enactment and biennially thereafter. Insufficient progress towards national performance measures and HSIP targets can result in corrective actions taken against the state's federal funds.

**Control Document(s):** 23 CFR 515.7 – 23 CFR 515.9 - 23 CFR 514.13(b) - (23 U.S.C. 101(a)(2), MAP-21 §1103)

## Public Involvement & Communications

INDOT Public Involvement Office strives to diligently provide opportunities for early and continuing involvement of the public in developing transportation plans, programs, projects, and provide complete public information, timely public notice, and public access to key decisions.

Public Involvement Procedures Manual (jointly approved by FHWA and INDOT Commissioner), Public involvement plan development for transportation improvement projects.

Process:

1. INDOT develops the public involvement policy and procedures for projects (State and LPA) receiving federal aid as part of overall funding. Public involvement processes span from planning through construction.
2. Determine public involvement thresholds that satisfy NEPA requirements for environmental documents approval.
3. INDOT certifies public involvement requirements for all state and LPA projects which meet the minimum thresholds for NEPA required public involvement.
4. Implement and/or coordinate public involvement activities as required per INDOT Public Involvement Procedures.
5. Implement and coordinate proactive project specific public outreach in accordance with public involvement plan development.



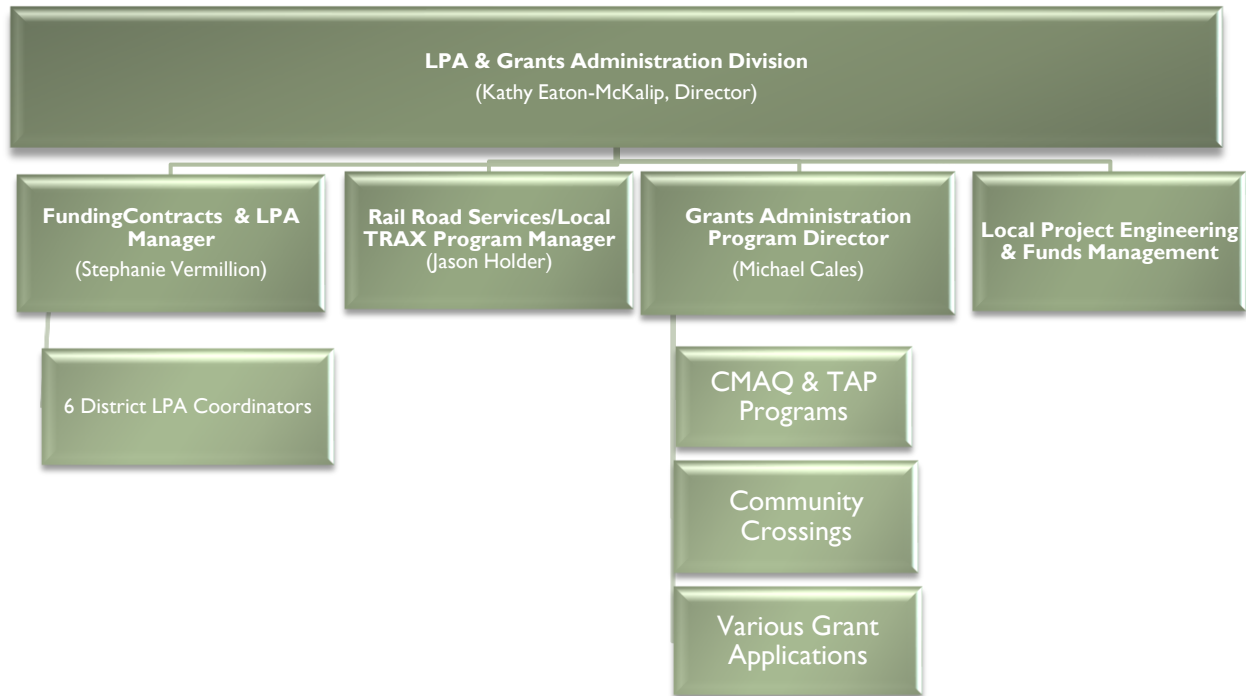
### Expected Update:

INDOT's most recent (approved) Public Involvement Procedures document was last executed August 2012. INDOT is updating the document and expects to have an approved new document by January 30, 2021. INDOT has decentralized the public involvement process. District Project Managers will have a direct role executing public involvement to satisfy NEPA requirements. District Technical Services will also play a key role in coordinating with the INDOT Transportation Planning Section on corridor development, visioning, short and long-term planning, and early outreach.

**Control Document(s):** 23 CFR, Section 771.111(h) (1); 23 CFR 450.210 (a) (7); [23 USC 134(i)(5)(B)]; 23 C.F.R. 450.316(a); 23 C.F.R. 450.324(b) [INDOT's Public Involvement Web-page](#)

## LPA & Grants Administration Division

The LPA Grants Administration section is responsible for the development, implementation and oversight of the LPA Federal-Aid Program, grant-based funding sources, and coordination of local programs.



### LPA and Grants Administration Division – Responsible for:

- The distribution of federal funds to local public agencies (LPA). The following funds are distributed as grants: “Surface Transportation Block Grant” (STBG funds), Hazard Elimination/Safety (HSIP funds), and the Bridge Program (BR funds), and Congestion Mitigation and Air Quality (CMAQ) funds, where applicable.
- Maintaining the local Program Development Process (PDP-L) which can be found at: [http://www.in.gov/indot/files/PDP\\_L\(1\).pdf](http://www.in.gov/indot/files/PDP_L(1).pdf).

Included in the LPA Grants Administration section of the document are the following items:

- An organizational chart delineating roles, responsibilities and functions as they currently exist in the section. The organizational chart also serves as an overview of the responsibilities and functions assigned to the section.
- Process sheets that identify the responsible party, process, timeline, and control document for several of the activities completed by the section, particularly those associated with MPOs.

The information that follows should provide a clear delineation of the roles and responsibilities of the LPA Grants Administration Division as well as the processes for completing several required tasks.

## LPA Grants Administration Division Special Initiatives



### Local Guidance Document Update

After being in effect for 18 months, several lessons have been learned in the local process as established under the Local Guidance Document. The purpose of this initiative is to work with our stakeholders, both internal and external, to update the document.

Lead: Brenda Fox

### INDOT LPA Program Standard Operating

#### Procedures

In order to ensure that INDOT effectively implements the Guidance Document, a set of internal Standard Operating procedures will be developed. The purpose of the Standard Operating Procedures will not only be to ensure proper implementation of the guidance document, but also to provide as consistent process as possible across all six districts. In addition, the expected outcome from the project is more efficient and effective customer service for all stakeholders.

Lead: Brenda Fox

#### LPA Program Applications, Guides, etc. update/re-write

After review of the various program applications (Group III, IV, TAP, Bridge, etc.), it was noted that information was scattered, confusing and out of date in the materials that were provided to those LPAs wishing to apply for federal funds. The purpose of this initiative is to develop program guidelines that are up to date, have a consistent look across programs, implement the first stages of accountability and transparency, and provide a reliable product for use by LPAs in the application process.

Lead: Mike Cales

Finance Division



Project Finance & Accounting

Responsible for providing the Planning Fund levels to the MPOs. Group is also responsible for coordinating with the Capital Program Management Committee in terms of setting funding targets.

The office issues INDOT Funding Program Reports for each MPO, Group 3, and Group 4 program area. The INDOT Funding Program Report reflects Federal-aid apportionments for MPOs and other recipients, and the reports include the current unencumbered balance. These 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.

If there are disagreements, the reports provide a mechanism for resolving issues as they arise. Each MPO has established a policy for MPO participation in project overruns over TIP programmed amounts and change orders during construction, and these reports provide a mechanism for assuring that these policies are implemented.

