



Federal Transit Administration
Region V
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Chicago, IL 60606-5253

U.S. Department
of Transportation

Federal Highway Administration
Indiana Division
575 N. Pennsylvania St., Rm 254
Indianapolis, IN 46204-1576

June 17, 2022

Mr. Michael Smith
Commissioner
Indiana Department of Transportation
100 N Senate Ave. N955
Indianapolis, IN 46204

SUBJECT: Indiana FY2022-2026 STIP Approval and Associated Federal Planning Finding

Dear Mr. Smith:

The Federal Highway Administration (FHWA) and the Federal Transit Administration (FTA) have completed our review of the FY2022-2026 Indiana Statewide Transportation Improvement Program (INSTIP), which was submitted by the INDOT request letter dated April 27, 2022.

Based on our review of the information provided, certifications of the Statewide and Metropolitan transportation planning processes for and within the state of Indiana, and our participation in those transportation planning processes (including planning certification reviews conducted in Transportation Management Areas), FHWA and FTA are jointly approving the FY2022-2026 STIP, including the Metropolitan Planning Organization (MPO) Transportation Improvement Programs (TIPs) directly incorporated into the STIP, subject to the corrective actions identified in the attached Federal Planning Finding (FPF) report. FHWA and FTA consider the projects in the 5th year for informational purposes only, and our approval does not exceed four years per 23 CFR 450.220(c).

FHWA and FTA are required under 23 CFR 450.220(b) to document and issue an FPF in conjunction with the approval of the FY2022-2026 STIP. At a minimum, the FPF verifies that the development of the STIP is consistent with the provisions of both the Statewide and Metropolitan transportation planning requirements. FHWA and FTA find that the Indiana FY2022-2026 STIP substantially meets the transportation planning requirements and are approving the STIP subject to the corrective actions outlined in the FPF. This approval is effective June 17, 2022, and is given with the understanding that an eligibility determination of individual projects for funding must be met, and INDOT must ensure the satisfaction of all administrative and statutory requirements, as well as address the corrective actions outlined in the attached report. FHWA and FTA will continue to partner with INDOT to ensure the previously developed action plan (attached) is implemented to address the corrective actions. If progress is not made in addressing the corrective actions, future amendments to the FY2022-2026 STIP, or adoption of the FY2024-2028 STIP, may not be approved by USDOT.

If you have questions or need additional information concerning our approval and the FPF, please contact Ms. Michelle Allen of the FHWA Indiana Division at (317) 226-7344, or by email at michelle.allen@dot.gov, or Mr. Jason Ciavarella of the FTA Region 5 Office at (312) 353-1653, or by email at jason.ciavarella@dot.gov.

Sincerely,

**KELLEY
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Kelley Brookins
Regional Administrator
FTA Region V

Sincerely,

**JERMAINE
R HANNON** Digitally signed by
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Jermaine R. Hannon
Division Administrator
FHWA Indiana Division

cc: (transmitted by e-mail)
Louis Feagans, INDOT
Roy Nunnally, INDOT
Karen Hicks, INDOT

FY 2020-2024 STIP Federal Planning Finding (November 2021) Corrective Actions

Topic/Regulations	Required Action	INDOT Proposed Action	INDOT Proposed Date of Completion
<p>Planning Agreements (23 CFR 450.314 (a) and (b))</p>	<p>1. INDOT shall coordinate with MPOs and Transit providers to update the planning agreements.</p>	<p>Develop a documented process will be developed to address how the Infrastructure Investment and Jobs Act (IIJA) will be handled. The process will be incorporated or referenced in the INDOT-MPO Planning Procedures Manual (PPM) by this due date.</p>	<p align="right">6/30/2022</p>
		<p>In coordination with FTA, INDOT Legal Team, and MPOs, Transit Operating Planning Agreements boilerplate will be developed that are general enough to allow for flexibility for MPOs to develop a new agreement now and avoid having to perform another agreement. Jay will send Jason Casteel a copy of the old agreement and new agreement. The new boilerplate as anticipated to require high level and iterative coordination. A spreadsheet checklist will also be developed to identify the regulatory requirements and how and where in the draft agreements this has been addressed. A finally schedule will be developed to ID when each MPO Transit Operator will be endorsing the new agreement and presented to their policy board. All information will be stored on and INDOT server.</p>	<p align="right">7/30/2022</p>
<p>Public Involvement and Outreach (23 CFR 450.210 (b))</p>	<p>2. The INDOT Planning Public Involvement Procedures shall provide a specified process for seeking out and considering the needs of traditionally underserved populations, and outreach to underserved populations shall be implemented in planning processes and the development of the STIP and LRTP. This shall include a process for outreach beyond those who have signed up for the INDOT listserv.</p>	<p>Underserved Outreach Action Plan. INDOT will target the following underserved population groups: low income, minority households, rural communities, Tribal groups, the disabled, and Limited English-Speaking (LEP) populations.</p>	<p align="right">5/16/2022</p>
	<p>3. INDOT shall ensure the INDOT nonmetropolitan local officials process is made available to nonmetropolitan local officials and other interested parties for a period of at least 60 calendar days at least once every 5 years, and that the coordination process outlined is fully implemented in the development of future STIPs and LRTPs.</p>	<p>Revise PPIP with Items above and put out for 60-day comment period to end by 7/19/2022. Address any comments and make additional adjustments to finalize document by 8/1/22</p>	<p align="right">8/1/2022</p>
		<p>Create a new timeline with a three- month buffer delivery date prior to the February 14, 2026, due date. Nonmetropolitan coordination will be an ongoing activity throughout our planning process.</p>	<p align="right">5/16/2022</p>

STIP/TIP Maintenance 23 CFR 450.218 (n); 23 CFR 450.328(a)	4. INDOT shall work with the MPOs to develop specific procedures related to TIP/STIP modifications and amendments, and a documented review process to ensure projects are not being moved forward without following the appropriate processes.	Based on DOT Scan Tours: Develop a quality check procedure with INDOT Planning Liaisons by May 30, 2022, for submission to FHWA/FTA for their review and input prior to implementation.	5/30/2022
		Setup monthly meetings with FHWA (and FTA as needed) to discuss STIP/TIP maintenance issues and updates on corrective action and draft documents from June 2022 thru December 2023. Any drafts of document and procedures are to be provided to FHWA/FTA for their comment prior to publication or distribution to MPO partners for STIP document or procedures along with schedule follow up meetings to discuss findings or concerns.	6/30/2022
		Based on DOT Scan Tours: Develop and coordinate new STIP amendment thresholds, discuss the need for standard MPO thresholds, and STIP/TIP checklists for amendments and modifications. These actions must be discussed with MPOs, PMs, CPMDs, LPA, and federal partners by May 30, 2022, and formally adopted by August 30, 2022.	8/30/2022
		Develop and agree on a standard core formatted spreadsheets to efficiently facilitate project data exchanges and comparisons between the TIPs and STIP. FHWA will receive copies of these spreadsheets as part of STIP and TIP amendments. This will involve setting up 3-meetings with MPO TIP working group, developing a SharePoint site to store templates with access by PMs, MPOs, Planning Liaisons, and FHWA. All changes must be adopted in PPM by 8/30/2022	8/30/2022
		Develop an interim plan for reconciling FMIS and NEPA project description inconsistencies and documenting the procedures by August 30, 2022. I permanent solution will not be available until a new STIP system upgrade is in place.	8/30/2022
		Determine new INDOT amendment process frequencies as well as any emergency STIP amendment protocols. INDOT will need to determine if we will continue to have monthly, bi-monthly, or quarterly STIP amendments, impacts to MPOs, PMs, and others and discuss the tradeoffs. Discussions and coordination with MPOs will need to be completed by July 30, 2022, and formally adopted by September 30, 2022, if changes to the amendment timeline are made.	9/30/2022

		<p>Move to a more centralized approach for INDOT project programing and maintenance and removing access from PM by September 30, 2022. This date is dependent on the approval. The centralization of amendments and/or modifications will begin once the draft STIP 2022-2026 document has been approved. This will need to be coordinated with stakeholders and partners. Additional staff or a shift in staff resources is needed. System automation may reduce staff resource needs.</p>	9/30/2022
		<p>INDOT Planning will revise the STIP Training Handbook and incorporate the STIP Amendment Training presented by FHWA and place online for access by planning staff and PMs and referenced in the PPM by September 30, 2022.</p>	9/30/2022
		<p>INDOT will also include a copy of the STIP amendment comment spreadsheet as well. This spreadsheet provides access to standard comments to typical STIP amendments written in a manner that satisfy language requirement for FHWA. INDOT (April, Michael, and Ryan) will setup training specific to the STIP Amendment Training and Spreadsheets to be completed by October 30, 2022.</p>	10/30/2022
		<p>Review and consider STIP & TIP automation within existing scheduling system or other home-grown forms. Automation should include easy to access dashboards on STIP version amendments, status updates on key actions, ability to attach documents to STIP amendment submittals (resolution, conformity finding, project listing spreadsheet, and others requested by our federal partners. July 2022 – November 30, 2022. This activity will require high level coordination with PMs, MPOs, and others that will occur throughout. If STIP/TIP automation is viable, incorporation, testing, training, and other coordinated activities should be occurring from Page</p>	7/30/2023
	<p>5. INDOT shall develop an action plan to prevent similar delays conducting and completing non-TMA reviews in the future or develop a different process for assessment to be implemented going forward. The existing process as outlined in the INDOT PPM (both current and previous)</p>	<p>Develop a draft plan and structure to address delays in conducting non-TMA certifications and outstanding report submittals to FHWA/FTA. Draft plan will include KSM spreadsheet adjustments, FHWA/FTA coordination points, a standard template for conduction non-TMA certifications, & milestone dates.</p>	None provided

<p style="text-align: center;">INDOT Oversight of Required Planning Activities/Products 2 CFR 200.303 (a-d); 2 CFR 200.519 (b); 23 CFR 450.220(a)</p>	<p>should be employed to finalize the outstanding non-TMA reviews due 2019-2021. INDOT shall finalize all outstanding non-TMA reviews and the associated reports to provide documentation of compliance with the federal regulatory requirements reflected in the MPO self-certifications.</p>	<p>Provide FHWA/FTA dates for upcoming non-TMA certification reviews over the next 18-months. Planning Staff will use a monthly range for deliverables that will be provided to federal and MPO partners.</p>	<p>7/30/2022</p>
		<p>Review 4-DOT scans specific to compliant planning procedures, public engagement, and deliverables that considers STIP amendment thresholds, outreach activities and agreements within the agency, MPOs, and RPOs, procedures, checklists, templates, and others that can be incorporated in the INDOT Planning Process to develop a solid foundation with further enhancements later. Identified adjustments to the INDOT Planning Process resulting from the virtual scans will be coordinated and discussed with our various planning and federal partners and incorporated in the PPM if consensus dictates or as INDOT determines.</p>	<p>7/30/2022</p>
		<p>Develop a separate training program and action plan to ensure the metropolitan transportation planning process is being carried out in accordance with all applicable requirements. This training action plan will include checklists, will need to include documented discussions with MPOs, and will need to be included in the PPM.</p>	<p>8/30/2022</p>
		<p>From the -DOT scans develop training presentations and documentation that provide overview of the transportation planning requirements, roles, and responsibilities within the agency, planning public involvement requirements, conformity, and congestion mitigation requirement, and STIP amendment procedures.</p>	<p>8/30/2022</p>
	<p>6. INDOT shall develop a separate action plan and training program to ensure the metropolitan transportation planning process is being carried out in accordance with all applicable requirements.</p>	<p>Develop and implementation Field Guide to Air Quality Conformity for Compliance with TIP/STIP Amendments. This guide will be developed with input from FHWA along with checklists.</p>	<p>8/30/2022</p>
		<p>Incorporate the Field Guide to AQC into PPM and active on INDOT Website</p>	<p>9/30/2022</p>
		<p>Training action plan will need to be fully implemented and included in PPM.</p>	<p>8/30/2022</p>

		<p>INDOT Planning will be working with the INDOT Talent Management Team to develop a training program with fully developed lesson plans, objectives, and training videos that can be managed in the agency's Success Factors Training Program. The format will be self-paced training modules presented through power point slides. At the close of the training, the learning objectives will be reviewed and there will be a final knowledge evaluation quiz. Lesson plan will be developed between August 1, 2022 and will need to be in place by November 30, 2022. All Planning staff will be required to successfully complete the developed lesson plans within 30 days of the plan being active. Success Factors Application will track completion times.</p>	11/30/2022
		<p>Leverage available training from NHI/NTI and federal partners. Establish quarterly meetings/training sessions with FHWA/FTA from May 2022 – April 2023 on federal regulations, best practices, headquarter/resource center guidance, progress reporting, and new opportunities. Require All Planning Staff with the Planning & Programming Division (Roy, Jay, Emmanuel, Stephanie, Brandon, Seema, Frank, and new hires) to take the following specific to INDOT Planning Certification Standards.</p>	4/1/2023
		<p>Work with a cross-section of agency stakeholders and the MPOs to develop procedures and a reporting tool for STIP/TIP ALOP. The report will be distributed to our federal and MPO partners. Changes will be needed in the INDOT Data Warehouse System to address the format consistency issue in terms of project description between INDOT and the MPOs TIPS. For fiscal year 2023, the ALOP report will be generated using INDOT's current practice, coordinating with our Management Information Systems Team our SPMS Manager. The report will be coordinated with MPOs across the state.</p>	6/1/2023