



2020

INDOT, MPO, & RPO Planning Cooperative Procedures Manual (Final)

Indiana Department of Transportation

Version: November 4, 2020



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INDOT, MPO, & RPO Planning Cooperative Procedures Manual (Final)



The purpose of this INDOT-MPO Planning Cooperative Procedures Manual is to clarify the roles and responsibilities and provide guidance to INDOT, Metropolitan Planning Organizations (MPOs), and Regional Planning Organizations (RPOs) in carrying out the state’s federally mandated statewide transportation planning program and responsibilities. The Manual presents procedures, policies, guidance and timelines for the purpose of developing core MPO planning and programming products that are required by Federal and State laws, as well as the related administrative requirements MPOs and INDOT must meet.

The manual is developed and maintained by INDOT Technical Planning staff in cooperation with transportation planning agency partners, Indiana Division of the Federal Highway Administration (FHWA-IN), Federal Transit Administration Region 5 (FTA Region 5), and RTPOs. The manual standardizes, consolidates, and streamlines INDOT’s internal processes and provides reporting templates to successfully administer the state transportation planning process and address reporting requirements in the Fixing America’s Surface Transportation (FAST) Act.

This Manual is not intended to provide legal advice or interpretation of laws/regulation, circumvent federal regulations, state statutes, nor to be used as an enforcement tool for our external planning partners.

The manual is a living document. The document represents current practices that may change from time to time in order to accommodate greater efficiencies in the overall delivery of INDOT programs and projects. The INDOT Technical Planning staff will update the Manual, as necessary, to reflect changes to state or federal legislation, regulation, policies as well as internal INDOT agency structural and workflow changes. Modifications and amendments to the original adopted document will be coordinated with our external partners with signature approval from the Indiana MPO Executive Directors or Co-Chairs.

Section 1: Stewardship, Oversight, Administrative and Funding Processes



Updates & Revisions to the Planning Cooperative Procedures Manual

The Planning Cooperative Procedures Manual will be referred to the Planning Procedures Manual (PPM) throughout the remainder of the document. The PPM is a living document, meaning that INDOT anticipates making updates as necessary to reflect changes to state or federal regulations or procedures. To facilitate updating and revising the document in a timely manner, the revised document will be distributed using Microsoft Teams, SharePoint, or other cloud based software applications for direct access by MPO, RPO, federal, and INDOT district partners.

INDOT encourages suggestions for revisions and recommendations to improve the document or make it more user-friendly. Questions or suggestions can be submitted via email to the Roles and Responsibilities Working Group or via the SharePoint site comments form. Stephanie Belch, INDOT Planning liaison will be assigned and responsible for maintaining a current version of the document on SharePoint and on the INDOT website.

PPM Document Amendments

The INDOT, FHWA-IN, an MPO, or an RPO may propose amendments to this the document via email or in discussions held during MPO working group or MPO Council meetings. All draft amendments will be discussed at MPO working group meetings, MPO Council, and Indiana Association of Regional Council meetings, and distributed to the MPOs and RPOs via email. MPOs and RPOs may provide comments for INDOT consideration on the draft amendments. The minimum comment period provided to the MPOs and RPOs is two weeks. INDOT will respond in writing to all written comments received from the MPOs and RPOs. With each amendment, the selected INDOT Planning Liaison will create a summary document of the MPO and RPO written comments and INDOT’s response.

Communication Protocol



Stephanie Belch will coordinate staff assignments with all of the MPOs and RPOs in the State. MPO and RPO planners, INDOT district staff, and central office divisions should contact Stephanie Belch with questions, concerns, or for additional information. This informal contact can be in person or via telephone, email, or letter as appropriate.

As described above, INDOT assumes certain responsibilities of FHWA-IN for administering this document as well as the INDOT Planning Roles and Responsibilities document under a Stewardship and Oversight Agreement. Therefore, MPO staff should direct requests for general information and/or federal code interpretations to their respective Planning Liaison. The liaison will coordinate a response on behalf of the INDOT. As needed, INDOT will seek guidance from FHWA-IN.

INDOT uses email to communicate with the MPOs and RPOs on procedural changes until these changes are formalized via amendment to this manual. Additionally, emails such as (but not limited to) the “document update/amendment” email from the selected Planning Liaison are used to relay direction, deadlines and other information to the MPOs and RPOs and are considered formal notification.

Conflict Resolution

The INDOT, FHWA-IN, FTA Region 5, MPOs, and RPOs agree to resolve disagreements regarding the interpretation and implementation of this document PPM at the lowest possible level.

The Conflict Resolution process is initiated by an email from the MPO Planner or RPO Planning Program Manager to the assigned INDOT Planning Liaison. If a disagreement cannot be resolved at the lowest level (e.g. at the transportation planner/planning liaison level), then the Conflict Resolution process will be followed.



Table 1: Conflict Resolution Escalation

INDOT & Federal Involvement	MPOs	RPOs	Days to Respond or Move to the Next Level
Level One Involvement			
INDOT Planning Liaison	MPO Planning Liaison or desired MPO Contact	Planner or Director	5-Business Days
INDOT Project Manager or Capital Funds Manager (Select)			
Level Two Involvement			
INDOT Planning Supervisor	MPO Senior/Principle Planner, Manager, or desired MPO Contact	Director	5-Business Days
INDOT Capital Funds Managers (Select)			
FHWA-IN Planning & Environmental Specialists			
Level Three Involvement			
INDOT Planning & Impacted Directors	MPO Directors & Executive Directors	Director	3-Business Days
Impacted FHWA-IN Team Leaders			

The goal is to achieve resolution at the lowest possible level. Mediation and facilitation may be used at any level to help expedite resolution. Mediation will occur with INDOT concurrence up to and including Level Three. FHWA-IN/FTA and INDOT Director staff must concur that mediation is needed. The assigned INDOT Planning Liaison will provide documentation of all disagreements and resolutions to all involved agencies and include the documents in the agency's file at INDOT. The FHWA supports INDOT in spending Federal Aid Highway Program funds appropriately within the bounds of regulatory flexibility and will provide an explanation of the rationale and decision-making process when flexibility does NOT exist.

Stewardship & Oversight Agreements

The Stewardship and Oversight Agreement documents the extent to which the INDOT Technical Planning assumes the responsibilities of the FHWA-IN and where FHWA-IN retains responsibility for administering the Federal-Aid Highway Program (FAHP). The FAHP is a state-administered program and FHWA-IN provides oversight through a risk-based approach at the project and program levels. To ensure that the Agreement stays current, a team from INDOT and FHWA-IN will periodically review the document. Other triggers for review are:

- When significant new legislation, executive orders, or other initiatives affecting the relationship or responsibilities of one or both parties to the Stewardship and Oversight Agreement occurs.
- When leadership or leadership direction changes at the INDOT or FHWA-IN
- If priorities shift as a result of audits

The INDOT is required by the Stewardship and Oversight Agreement to prepare and submit an annual report to FHWA-IN at the end of each calendar year. The INDOT Commissioner is designated by the Governor of Indiana to act on behalf of the Governor in all matters requiring the Governor's approval under the Title 49 of the United States Code and Title 23 Code of Federal Regulations.

INDOT Agreements, Authorizations and Responsibilities to the MPOs

INDOT acts on behalf of FHWA-IN in carrying out the statewide planning process, as prescribed in the Stewardship and Oversight Agreement between the INDOT and FHWA-IN. Each MPO is assigned a Planning Liaison to serve as the initial point of the INDOT contact for the MPO. The Liaison also serves as a resource to the MPO and facilitates coordination and communication between the MPO and the different areas of the INDOT, including the District Offices. MPO Planners are encouraged contact their assigned INDOT Planning Liaison with questions or concerns and for additional information regarding agreements and the statewide planning process. This informal contact can be in person or via telephone, email, letter, or fax as appropriate.

INDOT administers its responsibilities in relation to the FHWA-IN and the MPOs in part by preparing, distributing, and enforcing the following documents or actions (which are described in the following subsections):

- Cooperative Agreement
- Notice to Proceed
- Quality Assurance Review Process
- Federal Certification of TMA MPOs
- INDOT Certification Reviews for Non-TMA MPOs

Notice to Proceed, Notice of Closure and End Date

Notice to Proceed MPO Unified Planning Work Programs:

There are four distinct actions/documents; each of which must be completed/approved and in place in order for an MPOs to seek Federal reimbursements for eligible UPWP planning activities that have been carried out through MPO's execution of its UPWP.

- The UPWP approval letter issued jointly by FHWA and FTA
- Federal funding authorization/obligation which take place through the FHWA's Financial Management Information System (FMIS). No activities shall be eligible for Federal participation (reimbursement) if said activities have taken place prior to the FMIS authorization.
- The INDOT/MPO UPWP funding Contract has been endorsed by all signatories. The Indiana Attorney General is the last signatory to the Contract.
- An INDOT Purchase Order (PO) has been issued to the MPO.

Notice to Proceed RPO Small Urban and Regional Transportation Program (SURTP) Grants:

There are five distinct actions/documents; each of which must be completed/approved and in place before a Notice to Proceed (NTP) will be issued to the SURTP grantee by the Program Administrator. No SURTP activities can begin until the SURTP recipient receives the Notice to Proceed.

- A SURTP application must be submitted and approved by INDOT.
- The SURTP must be included in an approved State Planning and Research (SPR) work program submitted by INDOT to the FHWA.
- Federal funding authorization/obligation which take place through the FHWA's Financial Management Information System (FMIS). No activities shall be eligible for Federal participation (reimbursement) if said activities have taken place prior to the FMIS authorization.

- The SURTP funding Contract has been endorsed by all signatories. The Indiana Attorney General is the last signatory to the Contract. For those MPOs that are approved for SURTP funding, the funding is included as part of their UPWP Contracts.
- An INDOT Purchase Order (PO) has been issued to the RPO.

Purchase Order Closeout:

For MPO Consolidated Planning Funds (CPF) obligated to fund MPO UPWPs, purchase order closeout will begin after:

- After the MPO has completed its work as outlined in the UPWP and expended its Purchase Order balance within the time allotted prior to the Purchase Order Project End Date (PED)
- 90 days after the Purchase Order reaches its PED
- The Purchase Order is determined to be in “inactive status.” “Inactive Status” is considered where federal funds have been requested/obligated, but no billing activity has taken place and the project/purchase order has been dormant for a period of more than 9 months. If a project reaches this “inactive status” where it has been dormant for more than 9 months, it is considered to be an improper obligation whereby a decision of the federal government can be made to remove the federal obligation. Any funds expected for reimbursement may be in jeopardy if the project falls into “inactive status.”

Quality Assurance Review

MPOs are required to submit an Annual Completion Report to INDOT and FHWA no later than ninety (90) days following the close of each fiscal year. Greater detailed information regarding content is found in the section titled, Annual Completion Report and Content which is presented later in this document. As part of INDOT’s oversight responsibilities it will conduct MPO UPWP annual quality assurance reviews relative to the MPOs delivery of the planning activities as published in its approved UPWP. The review will revolve around the MPO’s Annual Completion Report and is intended to identify and review the performance of the MPO in the delivery of its most recent UPWP program year. The Quality Assurance Review may be conducted with an on-site MPO visit or a virtual MPO meeting.

- Which planning activities the MPO successfully accomplished during the previous program year.
- Identify any planning activities that were not fully accomplished and that will continue into the next year.
- Identify any issues or problems that the MPO has experienced or is experiencing in the delivery of its planning activities. In cases where the MPO overcame obstacles or problems, INDOT will want to learn what actions or strategies the MPO employed to resolve the problem or issue. In cases where an issue or problem continues to exist, INDOT will partner with the MPO to find a strategy/solution to the problem.

- INDOT is also looking for MPO planning activities and accomplishments that can serve as “best practices” to recommend to other MPOs.
- Financial Reporting – INDOT will review and confirm with the MPO any unexpended Purchase Order balances that can continue to towards the next UPWP and any Purchase Orders that are at risk of being declared as “inactive” due to lack of claims activity or a pending project end date (PED).



New MPO Designation Process

Responsible Party: INDOT Technical Planning Section (in coordination with GIS Services Department and the Office of Road Inventory Team)

A metropolitan planning organization (MPO) shall be designated for each urbanized area with a population of more than 50,000 individuals (as determined by the Bureau of the Census).

Process:

- 1) INDOT Technical Planning Section designated Transportation Planning Liaison the urban place information provided by the U.S. Bureau of the Census.
- 2) Using GIS, INDOT’s Technical Planning Team or Road Inventory Team creates specific street boundaries for a Draft Adjusted Urban Area Boundary, maintaining administrative continuity.
- 3) A Final Adjusted Urban Area Boundary is set through a collaborative process with INDOT and local officials.
- 4) The Adjusted Urban Area Boundary (UAB) information is forwarded to largest incorporated city as named by the Bureau of the Census and other local units of government that collectively comprise at least 75% of the Urban Area population. Agreement between the Governor and units of local government that represents at least 75% of the affected population is required to authorize a new Metropolitan Planning Organization.
- 5) The new Metropolitan Planning Organization will develop a Draft Metropolitan Planning Area and in consultation with INDOT’s Technical Planning Team or Road Inventory Team seek concurrence and approval by the Governor.
- 6) Signatures of MPO/local and state officials as appropriate approving the MPA boundaries are obtained.

- 7) All required documentation is submitted to the Indiana Division FHWA Office for review and concurrence.
- 8) INDOT's designated Transportation Planner forwards approved documents to MPO.

Expected Timeline:

The new MPO's Adjusted Urban Area boundary and Metropolitan Planning Area boundary should be concluded within 1 year of the urban place information being released by the U.S. Census Bureau.

Control Document(s): § 450.310 Metropolitan planning organization designation and re-designation.

Update and Maintenance of MPO Adjusted Urban Area (UAB) Boundary

Responsible Party: Metropolitan Planning Organization in coordination with INDOT's Technical Planning Team, GIS Services, and Road Inventory Team.

Process:

- 1) Metropolitan Planning Organization reviews the urban place information provided by the U.S. Bureau of the Census.
- 2) Using GIS, the MPO creates specific boundaries for the Adjusted Urban Area.
- 3) The revised Adjusted Urban Area Boundary (UAB) information is forwarded to INDOT's Technical Planning Team and Road Inventory Team for concurrence.
- 4) Final boundary is set through a collaborative process with INDOT, MPO and FHWA officials.
- 5) All required documentation is submitted to the Indiana Division FHWA Office for review and approval.
- 6) Signatures of MPO, state and FHWA officials as appropriate approving the Adjusted Urban Area Boundary is obtained.
- 7) INDOT designated Transportation Planner forwards approved documents to MPO.

Expected Timeline:

The MPO's updated Adjusted Urban Area Boundary revision should be concluded within 2 years of the urban place information being released by the U.S. Census Bureau.

Control Document(s): 23 CFR 450.312

INDOT-MPO Planning Agreements Development Process (New and Existing)

Responsible Party: Transportation Planning Section in Coordination with the LPA Grant Administration Division

Federal legislation (23 USC 134) requires the MPO to work in cooperation with INDOT and public transportation operators in carrying out a continuing, cooperative, and comprehensive (3-C) metropolitan planning process. These agencies determine their respective and mutual roles and responsibilities and procedures governing their cooperative efforts. Federal regulations require that these relationships be specified in written agreements between the MPO, and INDOT and the public transit operators. Provisions for developing and sharing information related to the development of financial plans that support the MTP, the TIP, PBPP targets reporting, and the development of the annual listing of obligated projects shall be in the written agreement.

Process:

- 1) Designate a working group composed of MPO Executive Directors (or their designated representative), INDOT (Grants, Transit, Legal sections) and FHWA to oversee development of a boilerplate document.
- 2) Develop a single agreement for consistency between all parties involved (MPO, State, Transit, air quality authority, FHWA) to include but not limited to:
 - A) Specifications for cooperatively developing and sharing information related to financial plans that support the metropolitan transportation plan.
 - B) Specifications for developing an annual listing of obligated projects.
 - C) Develop supplementary air quality agreements as required for attainment, maintenance, and non-attainment areas by urban area boundaries.
 - D) Coordinate planning efforts for multi-state transportation planning areas.
- 3) Provide draft boilerplate to all involved agencies with a 30-day review period.
- 4) Working group committee members receive comments, suggestions, request for inclusion of additional items and draft final recommended version for MPO inclusion in individual planning agreements.
- 5) MPOs prepare new planning agreements, specific issues differing from or in addition to boilerplate reviewed by and concurred with the MPO Coordinator.
- 6) MPOs obtain required local agency signatures.
- 7) MPOs forward executed planning agreement to INDOT for review and state agency signatures
- 8) Agreements to be reviewed and updated by designated Transportation Planner and MPO Executive Director after the issuance of revised planning regulations by the United States Department of Transportation.
- 9) Governor's designee should sign on behalf of INDOT.



Expected Timeline:

The INDOT-MPO Planning Agreements should be developed over a 180-day time period.

Control Document(s): 23 CFR 450.314; also see 23 CFR 450.322; 23 CFR 450.324 and 26 CFR 450.334.

Update and Maintenance of MPO Metropolitan Planning Area (MPA) Boundary

Responsible Party: Metropolitan Planning Organization in coordination with the Technical Planning Section, GIS Services, and Road Inventory Teams.

Process:

- 1) The MPA boundaries shall be reviewed after each Census by the MPO (in cooperation with INDOT's Transportation Planning Section and public transportation operator(s)) to determine if existing MPA boundaries meet the minimum statutory requirements for new and updated urbanized area(s), and shall be adjusted as necessary
- 2) MPA boundaries shall encompass the entire existing urbanized area (as defined by the Bureau of Census and refined through cooperative agreement between the urban area and INDOT's Road Inventory and GIS Section) plus the contiguous area expected to become urbanized within a 20-year forecast period for the metropolitan transportation plan.
- 3) The MPO will determine, in consultation with INDOT whether its current MPA boundary meets the requirements of 23 CFR 450.312.
- 4) If the MPO determines that a change to the MPA boundary is needed to meet the requirements of 23 CFR 450.312, the MPO staff will make suggested changes to the MPA Boundaries, preparing a draft MPA boundary map and circulation to its Policy Board and to INDOT for review.
- 5) The MPO will obtain approval from its Policy Board for the MPA boundary.
- 6) The MPA boundary map will be circulated for signature from MPO/local and state officials as appropriate approving the MPA boundaries are obtained.
- 7) All required documentation is submitted to the Indiana Division FHWA Office for informational purposes.
- 8) INDOT designated Transportation Planner forwards approved documents to MPO.

Expected Timeline:

The MPO's updated MPA boundary review should be concluded within 3 years of the urban place information being released by the U.S. Census Bureau. Revisions, if needed, should be submitted for the Governor's approval within the same 3-year time-period.

Control Document(s): § 450.312 Metropolitan planning area boundaries.

Planning Certification Reviews

Responsible Party: For MPOs that are Transportation Management Areas (TMA), where MPA populations are 200,000 or greater, the FHWA and FTA will conduct the Planning Certification Process with consultation from INDOT. For the TMAs, the FHWA and the FTA jointly shall review and evaluate the transportation planning process for each TMA no less than once every 4 years to determine if the process meets the requirements of applicable provisions of Federal law. For the MPOs that are non-TMA, those MPOs where the urbanized area populations are less than 200,000, INDOT will be responsible for conducting the Planning Certification Review every 4 years in consultation with the FHWA and FTA.

The primary purpose of the MPO Planning Review process is to ensure that the planning requirements of 23 U.S.C. 134 and 49 U.S.C. 5303 through 5305 are being satisfactorily implemented. This process offers an opportunity to enhance the planning process and improve the quality of transportation investment decisions.

Control Document(s):

- 23 CFR 450.336(b) 40 CFR part 93

INDOT MPO Planning Certification Process For non-TMA MPOs

Background:

The purpose of a planning certification review is to examine the continuing, comprehensive, and cooperative (3-C) transportation planning process between the metropolitan planning organization (MPO), the Indiana Department of Transportation (INDOT) and the local Transit Provider(s).

In enacting 23 U.S.C. 106(c), as amended, Congress recognized the need to give the States more authority to carry out project responsibilities traditionally handled by FHWA. The Federal Highway Administration (FHWA) has in turn transferred the duty to the Indiana Department of Transportation (INDOT) to perform periodic (once every four years) planning certification reviews for the non-Transportation Management Area (TMA) metropolitan planning organizations. Non-TMA MPOs are generally defined as MPOs that have less than 200,000 in population within their urbanized area.

The Indiana non-TMA MPOs are:

Anderson:	Madison County Council of Governments
Bloomington:	Bloomington/Monroe County Metropolitan Planning Organization
Columbus:	Columbus Area Metropolitan Planning Organization
Kokomo:	Kokomo and Howard County Governmental Coordinating Council
Lafayette:	Tippecanoe County Area Plan Commission
Muncie:	Delaware-Muncie Metropolitan Planning Commission
Terre Haute:	Terre Haute Area Metropolitan Planning Organization

23 CFR 450.330(a) states;

“The FHWA and the FTA shall jointly find that each metropolitan TIP is consistent with the metropolitan transportation plan produced by the continuing and comprehensive transportation process carried on cooperatively by the MPO(s), the State(s), and the public transportation operator(s) in accordance with 23 U.S.C. 134 and 49 U.S.C. 5303. This finding shall be based on the self-certification statement submitted by the State and MPO under Sec. 450.334, a review of the metropolitan transportation plan by the FHWA and the FTA, and upon other reviews as deemed necessary by the FHWA and the FTA.”

The MPO planning certification review helps to ensure satisfactory implementation of the federal planning requirements. The review also helps USDOT to identify best practices and share these practices with other MPOs to encourage continuous process improvement.

The INDOT and MPOs are also able to utilize the documentation from planning reviews to support the self-certification statement needed by INDOT to support issuance of the Governor’s approval letter for MPO Transportation Improvement Programs (TIP).

The Planning Certification Process:

The planning certification review process will consist of the following components:

1. An internal INDOT desk review intended to verify the MPO’s timely completion, submission and compliance of documents required for to the federal planning process.
2. A field visit to the MPO by the Planning Certification Team member or virtual meeting.
3. The release of a draft report of the observations and findings concerning the status of the MPO’s transportation planning process.
4. The release of the final MPO Transportation Planning Certification Report.



The process begins with an advance notification to the MPO that INDOT will be conducting a Planning Certification Review that will outline the dates and times for the site visit and public information forum. To expedite the desk review and site visit, a questionnaire will be provided in advance to the MPO. The questionnaire and a quick response spreadsheet for the review team to employ during the review process. The spreadsheet will be incorporated into the final report as an appendix to the report.



Planning Certification Team Membership:

The Planning Review Team will consist of:

- The INDOT Division Planning Director
- The INDOT Planning Liaison assigned to the MPO
- The INDOT Supervisor of the Technical Planning Section
- A representative from the INDOT Transit Section
- A representative from INDOT finance
- A representative from the INDOT District Office

Also participating in the review will be:

- Representatives from the FHWA Indiana Division Office
- Representative from the Federal Transit Administration (FTA) Region V Office

Areas of Concentration:

The Planning Certification Review will consist of, but not be limited to the following areas of concentration:

- Compliance with prior **Corrective Actions** and/or progress on recommendation as reported in the previous Planning Certification Review
- A report from the MPO regarding the implementation of any of the recommendations from the previous Planning Certification Review
- Metropolitan Planning Organization Structure
- Metropolitan Planning Area Boundaries
- Metropolitan Planning Agreements
- Unified Planning Work Program
- Submission of claims, quarterly and final progress reports
- Metropolitan Transportation Plan
- Transportation Improvement Program
- Annual Listing of Obligated Projects
- Public Involvement and Participation Plan
- Title VI of the Civil Rights Act
- Americans with Disabilities Act
- Intelligent Transportation System Architecture and Standards
- Multimodal Activities
- Metropolitan Planning Factors
- Freight
- Safety

Financial Planning Processes



MPO Planning Funds (PL) 5303 Process

Responsible Party: There are multiple parties that contribute to the MPO (PL) (5303) Consolidate Planning Fund Process. They are:

- Finance (PL) – Local Federal Aid (FA) Program Director and INDOT Finance Director
- Transit (5303) – Transit Office Manager
- Planning – Transportation Planning Supervisor
- The MPO Council’s Finance Committee
- The MPO Council

§ 450.308 Funding for transportation planning and unified planning work programs - Planning (PL) funds are made available to MPOs to accomplish planning activities in 23 USC 134.

Process:

- 1) Each year, during the first week of December the Transportation Planning Supervisor requests the next state fiscal year’s estimates for the PL funding distribution from the Local FA Program

Director and for the Transit 5303 funding estimates from the Transit Office Manager for the next State Fiscal Year.

- 2) The Transportation Planning Supervisor then forwards the PL and 5303 funding estimates to the Co-Chairs of the MPO Council.
- 3) The Co-Chairs of the MPO Council then distribute the PL and 5303 funding estimates to the MPO PL Distribution Committee.
- 4) The MPO Council Co-Chairs/PL Distribution Committee then processes the PL and 5303 funding estimates together with any reconciled figures that resulted from the final PL and 5303 authorizations from the previous year through the agreed upon distribution formula as approved by FHWA to provide draft funding estimates to the MPO Directors.
- 5) The MPOs are then invited to apply for the “Discretionary” set-aside for special planning activities.
- 6) The full MPO Council then votes on whether to accept any of the MPO requests for special planning activity funds from the PL/5303 discretionary set-aside.
- 7) After a determination is made by the MPO Council on the “Discretionary” funding requests, the remaining discretionary balance, if any, is re-run through the funding formula to develop the final PL/5303 distribution tables for the MPOs. This activity has traditionally been completed by one or both of the MPO Council Co-Chairs who are also members of the MPO PL Distribution Committee.
- 8) A final MPO Council vote is then taken to confirm the PL/5303 distributions for the next state fiscal year that the MPOs will use as the basis to develop and fund their next UPWP cycle. These confirmed funding estimates are generally referred to as the “Funding Mark.”



Metropolitan Planning Organization (MPO) Annual Listing of Obligated Projects (ALOP)

Responsible Party: Technical Planning Section with assistance, the Funding Contracts Manager and selected MPO staff

- (a) In metropolitan planning areas, on an annual basis, no later than 90 calendar days following the end of the program year, the State, public transportation operator(s), and the MPO shall cooperatively develop a listing of projects (including investments in pedestrian walkways and bicycle transportation facilities) for which funds under 23 U.S.C. or 49 U.S.C. Chapter 53 were obligated in the preceding program year.
- (b) The listing shall be prepared in accordance with § 450.314(a) and shall include all federally funded projects authorized or revised to increase obligations in the preceding program year, and shall at a minimum include the TIP information under § 450.324(e)(1) and (4) and identify, for each project, the amount of Federal funds requested in the TIP, the Federal funding that was obligated during the preceding year, and the Federal funding remaining and available for subsequent years.

- (c) The listing shall be published or otherwise made available in accordance with the MPO's public participation criteria.

INDOT Role/Responsibility:

Technical Planning and Programming

- Establish in consultation with the MPOs an internal data query with agreed upon data fields.
- Using the data query, provide each MPO with listing of federally funded projects within the MPO metropolitan planning area boundary that have federal fund obligations during the previous State Fiscal Year. The information provided in the listing is pulled from several databases, with the amounts and "funding methods" coming from FMIS. Since the primary data source is FMIS, the listing will not include any obligations made by FTA, nor will it reflect transfers of FHWA funding to FTA as a transfer is not an obligation in FMIS. The listing is generally provided each July.
- Verify that the MPOs have published or otherwise made available the ALOP.

INDOT District Responsibility

- If the MPO requests, the Program Fund Managers or their designees will work with the MPOs to clarify and resolve discrepancies that the MPOs identify in the listing.
- If necessary, work with the MPOs to correct any coding errors in SPMS or other systems, as appropriate.

MPO Role/Responsibility

- Review the data listings provided by INDOT, identify any errors or discrepancies and work with the INDOT District Program Managers to make corrections.
- Publish or otherwise make available the ALOP in accordance with the MPO's public participation plan the Annual Listing of Obligated Projects within 90 days after the close of the State Fiscal Year.
- MPOs are encouraged to work with their District to make changes in SPMS and/or other systems as appropriate, based on any coding errors that they identify in the listing.
- Coordinate with any Transit Operators within their MPA to ensure that the Federal transit obligations are correct in the ALOP reporting.

Process:

The following process reflects the current state of practice regarding the ALOP reporting. It is subject to change based on personnel changes and changes to INDOT's internal data governance policies and practices regarding database design, structure and access.

Representatives from INDOT's MIS Department, the Statewide Asset Management Engineer, the Local Programs Funding Contract Manager, Technical Planning and representatives from the MPO Council participated in a year-long ALOP MPO Advisory Group process to develop and refine a suitable query that would search multiple INDOT data sources, including the "Data Warehouse" to meet the MPO's needs for project obligation information to publish their ALOP. A representative from FHWA was also invited to attend the meetings. The result was a query that produces raw obligation data for all MPO highway projects. The query does not have the ability to search any transit database.

- At the end of each State Fiscal Year (June 30th), INDOT's Technical Planning staff makes a request to INDOT's MIS Department to review, make any needed adjustments and run the ALOP query.
- MIS refines the process, initiates the initial ALOP query run and delivers the raw data to Technical Planning.
- Technical Planning then shares the initial ALOP query run results with a representative from the MPO Council who then complete a quality control check to ensure that the data will meet the needs of the MPOs for their reporting process.
- If it is determined that minor adjustments are needed, MIS will adjust the query and re-run.
- Technical Planning then refines the raw data into spreadsheets for each MPO of the projects that have been recorded as having Federal obligations during the past State Fiscal Year. It then distributes to each MPO by July 31st.
- MPOs check the ALOP data report against their own TIP records and work with their respective Districts Program Managers to clarify any discrepancies.
- The MPOs then include the Transit obligations to their listing and publish the ALOP listing in accordance with their own public involvement procedures. In nearly every case, this also results in posting the ALOP report on the MPO's webpage.

Expected Timeline:

Process operates on state fiscal year which ends on June 30th. The final listing is sent to MPOs by July 31st.

Control Document(s): 23 CFR 450.334, *Annual listing of obligated projects*

Section 2: MPO Unified Planning Work Program Processes/Statement of Work Procedural Guidance

Responsible Party: INDOT Technical Planning & Programming, Technical Planning Section (in cooperation with Budget Manager of Federal Finance, the Transit Program Manager, and the LPA and Grant Administration Funding and Contracts Manager.

INDOT's Role with UPWP/SOW

The Indiana Department of Transportation (INDOT) administers and provides oversight for the Federal Highway Administration (FHWA) Planning Funds (PL) and the Federal Transit Administration (FTA) Section 5303 funds. PL and 5303 funds are used by Indiana's Metropolitan Planning Organizations (MPOs) to fund work elements identified in their approved Unified Planning Work Programs (UPWPs) or Simplified Statements of Work (SOW). INDOT combines the available FHWA PL and the FTA 5303 funding into one category of funding known as Consolidated Planning Funds (CPF).

The UPWP and SOW are both statements of work that identify the planning priorities and activities to be carried out within a metropolitan planning area. At a minimum, a UPWP and SOW includes a description of the planning work and resulting products, who will perform the work, time frames for completing the

work, the cost of the work, and the source(s) of funds. The UPWP/SOW are documents produced by MPOs and approved by the MPO's Policy Board, INDOT, FHWA and FTA.



The due dates and deadlines as established in this guidance are designed and intended for the timely delivery of an MPO's completed Work Program with Federal (FMIS) obligation complete prior to the start of the MPO's fiscal operating year: July 1st through June 30th for most MPOs. These due dates and deadlines are intended to provide adequate and reasonable times for the development, review, and approval of the UPWP and documents necessary to efficiently administer UPWP funds. The due dates and deadlines represent current best practices consistent with the continuing, cooperative, and comprehensive metropolitan planning process mandated by 23 U.S.C. 134(c)(3).

The majority of MPOs in Indiana develop a Unified Planning Work Program (UPWP), which is a comprehensive listing of the transportation planning activities to be completed by the MPO for the coming fiscal year. The Kokomo MPO is the only MPO that is currently permitted to submit a Statement of Work (SOW), which is a simplified version of the UPWP.

Each MPO will reflect its Policy Board's local priorities in the UPWP/SOW and will be responsible for addressing the Planning Emphasis Areas (PEAs) developed in cooperation with INDOT, FHWA, FTA and the Indiana MPO Council.

For the first year of a two-year UPWP/SOW cycle, each MPO will provide the Planning Liaison, FHWA and FTA with a copy of its UPWP/SOW and Cost Allocation Plan (CAP) by April 1st. Meetings to review the UPWP/SOW proposal will be scheduled and may be conducted in person or by conference call, and must be completed by April 15th each year. Notice to proceed in the first year of the two-year UPWP/SOW will be issued no later than July 1st each year. Purchase Orders will be provided to the MPO no later than September 1st each year. (The dates above are based on a state fiscal year UPWP/SOW schedule and completion of the UPWP/SOW review process by April 15)

In the second year of the two-year UPWP/SOW, each MPO will prepare a new CAP and revise the PL amount for the second year based upon the estimate provided through the MPO Planning Dollar Distribution formula process. The two-year UPWP/SOW must also be amended to include any new Planning Emphasis Areas identified by FHWA, FTA and INDOT as and/or additional funding if available.

If an MPO operates under a fiscal year that differs from the July 1 to June 30 State Fiscal Year, the timeline will be modified to meet that MPO's fiscal year starting date as needed.

Available Federal Funds for UPWP/SOW Elements

There are four primary sources of Federal funding that MPOs generally use to fund the planning work elements identified in their respective UPWPs and SOWs. These funding sources are:



1. **Metropolitan Planning (PL) Funds**, Federal Highway Administration (FHWA) funds provided for in each federal surface transportation act, the most recent is the Fixing America's Surface Transportation (FAST) Act. PL funds are to be used to carry out the metropolitan transportation planning process as described in 23 U.S.C. 134. As such, PL funds have a wide range of uses; however, the use of these funds by the MPO must be for allowable, necessary, and reasonable purposes, as described in both Federal and State requirements.
2. **Transit 5303 funds**, Federal Transit Administration (FTA) Funds - 49 U.S.C. 5303 establishes the FTA Section 5305(d) grant to support metropolitan transportation planning. These funds are apportioned to the MPOs in accordance with the rules established in 49 U.S.C. 5305(d). **NOTE: In Indiana, PL and 5303 funds are combined into one funding category: Consolidated Planning Funds (CPF) which are distributed to the MPOs based on an agreed upon formula.**
3. **Surface Transportation Block Grant Funds (STBG)** is a Federal-aid highway flexible funding program that funds a broad range of surface transportation capital needs, including roads, transit, seaport and airport access, vanpool, bicycle and pedestrian facilities and transportation planning. A portion of Indiana's STBG funding is sub-allocated by INDOT to each of the Indiana MPOs. Per 23 U.S.C. 133, "surface transportation planning" is also an eligible use of STP funds.
 - If an MPO elects to "flex" a portion of its STBG funding allotment to surface transportation planning activities, the STBG funds must be itemized by planning element in the MPO's UPWP or SOW. Flexed STBG funding must also be included in the MPO's Transportation Improvement Program (TIP) and included by reference in the State Transportation Improvement Program (STIP). If an MPO elects to add any new STBG funding to an existing UPWP, the additional (flexed) STBG funds will require either a modification or an amendment to the existing UPWP, depending on the dollar level and intent of the change.
4. **Highway Safety Improvement Funds (HSIP)** - a core Federal-aid highway program with the primary purpose of achieving a significant reduction in fatalities and serious injuries on all public roads. Many MPOs in collaboration with INDOT's Safety Office, have successfully implemented innovative approaches to HSIP planning, implementation, and evaluation. HSIP funding may be "flexed" for use as planning funds where specific safety locations have been identified by the MPO and the use of the HSIP funding for planning activities has been determined as "eligible."
 - *Federal funding requires matching local funding. In nearly all cases, this means a twenty percent (20%) local match.

Planning (PL) and Transit (5303) Distribution Formulas

Please Note: This section is based on the approved 2005 PL/5303 Distribution Formula. The MPO Council via the PL-Distribution Fund Committee will review this formula. A new formula will be discussed and if approved by the Council and FHWA, will be added to the PPM in the next amendment.

The Indiana PL/5303 Distribution Formula:

The PL Allocation Formula is based in population and an equalizing formula. Initially, \$80,000 is held for the special projects pool and \$25,000 sustaining amount for OKI is subtracted from the total PL appropriation. MPOs with an Indiana urban population exceeding 50,000 receives a \$50,000 sustaining amount. No MPO regardless of population size can receive more than 25% of the total statewide PL appropriation. The sustaining amount (\$25,000 for OKI and \$50,000 for all other MPOs) plus \$80,000 for special projects is subtracted from the total annual PL appropriation. Seventy-five percent of the remaining PL funds are distributed to MPOs with an Indiana urban population based on their respective urban populations. Twenty-five percent is held for formula equalization distribution. Any MPO exceeding 20% of the statewide urban population and sustaining distribution may not participate in the formula equalization distribution, but receive a flat \$50,000 amount. This amount is subtracted from the 25% formula equalization funds, and the remaining amount is distributed to all MPOs that have an Indiana urban population over 50,000 and do not exceed 20% of the statewide urban population. The sustaining, 75% distribution and 25% distribution are totaled.

All MPOs are eligible to request funds from the \$80,000 special projects pool. Requests are solicited in January and the MPO PL Committee reviews the requests. MPOs are asked to make reasonable requests. The MPO PL Committee makes a recommendation to the full MPO Council on how the special projects funds should be distributed. Approval of funding requests will require a yes vote by a simple majority of the eligible MPO Directors. (Example 13 MPO's are currently eligible, which requires 7 yes votes.) Director's may send a signed proxy vote denoting their representative's authorization to vote in his or her place. Only MPO's with an Indiana population exceeding 50,000 persons may request funds from the discretionary pool of funds. Non-Indiana based MPO's exceeding the 50,000 population stipulation, may only request funds for Indiana projects. If the full \$80,000 special projects funds are not distributed, any remaining amount is returned and the distribution is rerun.



An MPO's annual PL funding is a combination of the sustaining, 75% distribution, 25% distribution and special projects funds. These funds are combined with the FTA 5303 distribution and the combined amount is available for programming.

PL Formula Sharing Agreement

The funding formula may be reviewed from time to time and can be changed provided that the following three conditions have been met:

- INDOT is in agreement with the proposed modification/change in the formula.
- The change or modification is approved by the members of the MPO Council – approval of the funding formula requires 9 yes votes out of 14 member MPOs.
- The FHWA approves the modification/change in writing.



INDOT Policy for UPWP and SOW (Two SFYs)

The purpose of this policy is to outline the two-year process for State Fiscal Years 2021 and 2022 by which INDOT will distribute Federal Metropolitan Planning Funds (PL) and Surface Transportation Block Grant Program (STBG) - formerly known as the Surface Transportation Program (STP); Highway Safety Improvement Program (HSIP) and; Congestion Mitigation and Air Quality Improvement Program (CMAQ) funding that have been flexed for transportation planning to the Indiana Metropolitan Planning Organizations for the purpose of implementing the provisions of 23 U.S.C. 134, 23 U.S.C. 150, and 49 U.S.C. 5303, as amended.

SCOPE:

This policy applies to State Fiscal Years 2021 and 2022 Federal funds availability and obligation to support the Metropolitan Planning Organization's (MPO's) eligible transportation planning activities as outlined in the MPO's Unified Planning Work Programs (UPWP) or Statements of Work (SOW).

STATEMENT OF POLICY:

Unified Planning Work Programs and Statements of Work Funding Cycles: A two-year funding cycle will apply to all MPOs where INDOT is the lead agency. The multi-state MPOs will follow the guidance from their respective lead State DOTs; this has traditionally resulted in KIPDA and OKI using a one-year funding cycle.

All MPO UPWPs and SOWs, whether they follow a two-year or one-year funding cycle, will be funded in a similar manner.

- **Two-year State Fiscal Year Funds Availability:** For those MPOs which operate on a two-year State Fiscal Year cycle, the first Fiscal Year funding will be obligated for expenditure from July 1, through June 30, the next fiscal year. The second year - Fiscal Year funding will be supplemented to the UPWP/SOW for expenditure from July 1, (2nd fiscal year) through June 30, the 3rd fiscal year.
 - For MPOs that function on the State Fiscal Year (SFY) basis, the SFY obligated funding will be available to an MPO through an approved and subsequently amended or modified UPWP until the “end-date” of June 30, 2 SFY later. For those MPOs that function on a Calendar Year (CY) basis, SFY 2020 obligated funding will be available to an MPO through an approved and subsequently amended or modified UPWP until an “end date” of December 31, (2 CY later).
 - The FY obligated funding will be available to an MPO through an approved and subsequently amended or modified UPWP until the “end-date” of June 30, 3rd SFY for MPOs that function on the State Fiscal Year and December 31, 3rd CY for the two MPOs that function on the Calendar Year.
 - MPOs are encouraged to expend all of their obligated PL, HSIP and STBG planning funds within the time frame of the UPWP or SOW that the funding was originally obligated to. However, in some cases, a UPWP or SOW funding period will come to a close without an MPO expending all of the obligated PL, HSIP and STBG funds. In those cases, funding can overlap from one MPO funding period to another until the original funding “end date” has been reached. The MPO has the option to continue to program the unexpended balances in future UPWPs or SOWs provided that the prior unexpended balance has first been accounted and has been included in an approved modification or amendment for use in a newer/current UPWP or SOW.

Table 2: PL Funding Availability

PL FUNDING AVAILABILITY					
MPOs Using State Fiscal Year	SFY 2020	SFY 2021	SFY 2022	SFY 2023	
FY2020 Funding	07/01/2019 to 06/30/2020	07/01/2020 to 06/30/2021	07/01/2021 to 06/30/2022	Project End Date is 6-30-2022 Submit all final billings by 08/31/2022	
FY 2021 Funding		07/01/2020 to 06/30/2021	07/01/2021 to 06/30/2022	07/01/2022 to 06/30/2023	Project End Date is 6-30-2023 Submit all final billings by 08/31/2023

MPOs Using Calendar Year	CY 2020	CY 2021	CY 2022	CY 2023	
CY 2020 Funding	01/01 2020 to 12/31/2020	01/01/2021 to 12/31/2021	01/01/2022 to 12/31/2022	Project End Date is 12-31-2022 Submit all final billings by 03/31/2023	
CY 2021 Funding		01/01/2021 to 12/31/2021	01/01/2022 to 12/31/2022	01/01/2023 to 12/31/2023	Project End Date is 12-31-2023 Submit all final billings by 03/31/2024

UPWP & SOW Item/Activity Definitions

- Project End Date (PED):
 - The official, final deadline date whereby MPOs can no longer expend obligated Federal Funds and those funds can no longer be reimbursed to the MPO is the Project End Date (PED) that is listed in the Federal Financial Management Information System, commonly referred to as “FMIS.” Regardless of any other PEDs listed in any other documents, including Contracts, the FMIS PED is the one that matters.
 - All UPWP/SOW Contracts will incorporate “Project End Dates.” Every effort will be made to ensure that the PED listed in the Contract is consistent with the PED listed in FMIS. As noted, the “PED” is the last date where costs can be incurred under the Contract.
 - Projects must also be completed by the PED as listed in FMIS. Any and all costs incurred after the PED are ineligible for reimbursement. Sub-contracts for third party contractors that the MPO secures to complete work under the UPWP/SOW contract shall also include “PED” that shall conform to the “PED” in the UPWP/SOW funding Contract and the FMIS date. Reimbursements for work performed up to and including the end date may be paid for a period of up to 90* days after the end date.
 - For those MPOs that utilize the State Fiscal Year this date would be September 30th and for those MPOs that utilize the Calendar Year this date would be March 31st. After which time, no claims will be honored for payment. *Caveat: For those MPOs that operate on the State Fiscal Year, the MPO should wait no longer than 60 days after the end date to submit their final billings for payment (August 31st). This is due to the time required by INDOT to process the claim. In addition, the Federal Fiscal Year ends on September 30th; FHWA tends to shut its system down in September similar to the way in which INDOT shuts its system down in June of each year. Payments that cannot be processed by the 90 day “dead-line” will not be paid and the claim will be forfeited.
 - **Note:** MPO subcontracts - In practice, the MPO should establish a PED in its subcontracts that will provide sufficient time for the MPO to receive final billing from its vendor, review

and make payment for final billing and then prepare and submit reimbursement billing to INDOT.

- The project sponsor (MPO) has the sole responsibility for tracking and managing its funding contract and taking the necessary steps to avoid a funding lapse scenario should they not expend all of their available funding by the PED listed in the FMIS.
- **DES Numbers:** One (1) DES number will be issued for each two-year UPWP funding cycle. For the multi-state MPOs that operate on a one UPWP year UPWP funding cycle, one (1) DES will be issued for each UPWP fiscal year.
- **Purchase Orders:** For each fiscal year, one (1) purchase order will be issued.
- **Flexed Funds:** If an MPO elects to flex its STBG, HSIP and CMAQ funding for planning purposes under its UPWP/SOW, it is understood that the flexed funds will generally take on all of the characteristics of the PL funding and will follow the same rules as those for the PL funds.
- **UPWP/SOW Amendment and Modification Definition (2 CFR 200.308):** A UPWP/SOW amendment will be required as well as prior approval from federal awarding agencies:
 - Whenever there is a substantive change to the overall scope of the planning activities outlined in the UPWP/SOW
 - Whenever additional unexpended funding from a previous UPWP/SOW's purchase order is to be applied to the planning elements in the current UPWP/SOW. Monetary changes that do not exceed 50% of an original work element budget and collectively, the changes do not exceed 30% of the total work program budget, are permitted as modifications.
 - Whenever there's a change in key person specified in the application of the federal award or if there's a 25% reduction in time devoted to the project.
- **Amendment Deadlines:** UPWP/SOW amendment request can be made and will generally be processed up until the close of the eighth month of the UPWP/SOW contract (February for SFY UPWPs and August for CFY UPWPs). Amendment request should be made in unforeseen and changing circumstance that demonstrate a compelling need by the MPO.
- **UPWP Modification Deadlines:** UPWP/SOW modification request can be made at any time provided that there remains sufficient time for the MPO to complete the changes prior to the close of the program year.
- **Inactive projects:**
 - "Inactive Status" is considered where federal funds have been requested/obligated, but no billing activity has taken place and the project/purchase order has been dormant for a period of more than 9 months.
 - If a project reaches this "inactive status" where it has been dormant for more than 9 months, it is considered to be an improper obligation whereby a decision of the federal government can be made to remove the federal obligation. Any funds expected for reimbursement may be in jeopardy if the project falls into "inactive status" or the project/phase date ends.
 - An obligation can and may move into "inactive status" before the project's "end date" listed in FMIS, the contract or the purchase order. The PO end date will not protect the

project if it is identified as “inactive.” The consequence of “inactive status” is the potential loss of all remaining unexpended funding under the project. To avoid “inactive status,” project sponsors must submit claims, at a minimum on a quarterly basis.

- **Active projects:** “Activity Status” is considered to be the payment of the claim voucher under the purchase order generated for the project.
- **Claims submissions:**
 - To avoid “inactive status,” claims shall be submitted by the MPO, on no less than a quarterly basis.
 - Claims shall be submitted to INDOT’s PayWise Electronic Invoice System at: CentralOfficeInvoices@indot.in.gov with a copy of the claim invoice and progress report being sent to the MPO Liaison to expedite processing.
- **Progress Reports:** No less than on a quarterly basis, MPOs shall clarify expenses on Financial Status Report sheet. Progress reports shall be submitted to INDOT as supporting documentation for claims and to identify and/or to address delays in spending status.
- **Completion Reports:** Completion reports shall be submitted annually to INDOT and FHWA for review no later than 90 days after the close of the UPWP fiscal year.
- **Project Closeout (2 CFR 200.343 thru 200.345):** Recipients are required to submit all eligible incurred costs and required performance and financial report or project records specified in the project agreement or stewardship and oversight procedures within 90 days after the agreement end date. The project should then be closed no later than one year after receipt and acceptance of all required final reports. FHWA may exercise unilateral authority to close projects in its financial management system if the recipient fails to comply with project closeout requirements. This authority must be based on a risk evaluation by the FHWA division office and advance notice provided to the award recipient.

UPWP/SOW Development

- For those MPOs submitting a two-year Unified Planning Work Program, INDOT will process a two-year Grant Agreement/Contract using one DES number for the two-year period. A separate purchase order will be issued for each year.
- There will be one single DES and for the two-year UPWP/SOW funding cycle. The one DES number and separate PO for each of the two-years will include PL funds and any other CMAQ, HSIP or STPG funds for Planning. CMAQ, HSIP and STBG funding shall be included in the MPO’s TIP. PL may be included in the MPO’s TIP at the MPO’s discretion as PL funding is not required to be listed in the TIP or STIP.
- The end date for each fiscal year of UPWP/SOW funding will be 36 months from the beginning of the fiscal year. For examples, please refer to “Table 1: Funding Availability.”
- For the second year of a two-year UPWP/SOW, the MPO will provide an update to the UPWP/SOW for INDOT and FHWA/FTA review and approve.

- Upon the approval of the second year UPWP/SOW supplement, INDOT will by Supplement #1 add the new fiscal year of funding under a new DES number and after FMIS approval and contract approvals, a new Purchase Order will be issued. To facilitate FMIS authorization, the MPO will amend any HSIP, STBG and CMAQ funding into its TIP and INDOT will include by reference in its STIP. NOTE: PL funding is not required to be included in the TIP or STIP.
- Unexpended balances will not be permitted beyond the Fiscal Year funding cycle as illustrated in Table 1: Funding Availability. Banked, reserved or carryover funding will no longer exist and any de-obligated funds will cease to be available for any future PL agreement.

Contents of a UPWP and SOW:

UPWPs and SOWs should be inclusive in its development, including input from the public; MPO member agencies and local governments; other transportation agencies in the region, including local transit agencies; freight, and non-motorized departments and INDOT. While the MPO is responsible for the document, the Work Program should reflect continuing, cooperative, and comprehensive thinking among planning partners on work priorities, and commitment of staff and budgets to this work. The Work Program should demonstrate within the narrative that the related activities of planning partners are complementary and not duplicative; allow for leveraging and economy of scale; identify work proposed for the next 1-2 year period by major activity and task in sufficient detail to indicate who will perform the work; schedule; resulting products; proposed funding by activity/task; and a summary of the total amount and sources of federal and matching funds. (23 CFR 450.308). Non-TMA MPOs may request prior approval from INDOT, FHWA, and FTA to prepare a SOW in lieu of a UPWP in cooperation with INDOT and public transportation operators.

The UPWP and SOW should be consistent with MPO's stated long term goals, strategies, and priorities as expressed in the long-range plan, and from public involvement and coordination with partners. Tasks should be prioritized and selected to achieve and produce the required products as identified in Federal transportation legislation; USDOT planning emphasis areas; and established performance measures.

UPWP Structure:

While INDOT does not dictate a specific structure for UPWPs, there are common structural elements to all UPWPs and to a smaller scale, SOWs. INDOT does however require a uniform nomenclature for six planning work elements included in all of the Indiana MPOs. Those work elements are:

- 100 Administration/Public Participation
- 200 Data Collection and Analysis
- 300 Short Range Planning and Management Systems
- 400 Long Range Planning and Air Quality
- 500 Transit and Active Transportation
- 600 Other Planning Initiatives

INDOT also asks that the MPOs include a simple table in the front of the document that itemizes what sources off Federal funds and the amounts that are being requested.

Sample Federal Funds Request Table:

Metropolitan Planning Organization SFY 2023 UPWP Funding Request					
Federal Funding	PL/5303 Funds	STBG Funds	HSIP Funds	CMAQ Funds	Total Federal Funds
Totals	\$259,523	\$123,000	\$25,000	\$50,000	\$457,523

Contents of a UPWP:

1. A cover Page & Table of Contents
2. In some cases, MPOs may wish to include an Executive Summary
3. The MPO structure, Policy Board, Advisory Committees and organizational chart
4. An introduction - The introduction should include a discussion of items such as a brief history of the MPO, the purpose of the UPWP, the agencies participating in the UPWP, the time frame(s) used in the UPWP, and generally how the UPWP was developed and unified for the entire metropolitan area. The UPWP should include a discussion in broad terms of the status of all planning in the metropolitan area, both comprehensive and transportation, and major overall issues and objectives the UPWP
5. A listing of recent and current Planning Emphasis Areas (PEAs) & Planning Factors
6. A listing of recent past accomplishments and planning tasks that are still underway, progressing forward from a previous work program. In many cases, this would be a Metropolitan Plan update which can take more time to successfully complete
7. Description of work to be accomplished and cost estimates by activity or task with the following Funding Summary Request Table:
 - a. Federal Funds Share by Funding Type
 - b. Matching Rate by Funding Type
 - c. State and/or Local Matching Share
 - d. Other State or Local Funds.
8. MPOs are encouraged to include cost estimates for transportation planning, research, development, and technology transfer related activities funded with other Federal or State and/or local funds
9. The 100 to 600 series planning work elements that describe the planning work and the resulting products, who will perform the work, the time frames for completing the work, the cost of the work, and the source(s) of funds. The planning work elements should include any active planning projects or activities that are being carried forward from prior years
10. Detailed budgets with information related to any Indirect Cost Allocation Plans (ICAPs) – the ICAP and approval
11. Certifications and resolutions

UPWP/SOW Development Phases & Timelines

DEVELOPMENT PHASE

- INDOT Transit Planning Program Manager provides MPOs with estimated Notice of Funding Availability (NOFA) for PL and 5303 funds.
- MPOs agree on the final distribution of available PL/5303 funding resulting in the funding “Mark” for each MPO.
- FHWA issues the Planning Emphasis Areas (PEAs).
- Each MPO decides whether to “flex” STBG and/or HSIP funding for planning purposes
- INDOT issue UPWP DES numbers to MPOs populated with the funding mark and any identified “flexed” or CMAQ funding.
- MPOs amend their respective TIPs and INDOT amends by reference flexed STBG, HSIP and/or CMAQ funds.
- MPOs prepare draft UPWP and submit drafts to INDOT for review and comment. The first year (SFY 20XX) will be based on the funding marks and flexed funding. The second year (SFY 2022) of the UPWP will be based solely on estimated PL and flexed funding.
- MPO Policy Board approves Draft UPWP and can authorize staff to make modifications and amendments needed.



REVIEW PHASE:

- INDOT returns comments from the draft UPWP back to MPO to be addressed.
- MPO completes UPWP revisions addressing INDOT’s comments.
- MPO Policy Board approves UPWP (If Policy Board approved Draft UPWP with permission to modify and amend, this step is not necessary)
- MPO returns the UPWP together with the Policy Board’ approval (resolution, minutes, or as your Policy Board Bylaws dictates) approval of the UPWP to INDOT.
- INDOT recommends approval from FHWA/FTA, sending a recommendation letter, the UPWP and the adoption resolution to FHWA/FTA.

APPROVAL PHASE:

- FHWA/FTA issue joint letter approving the MPO’s UPWP.
- INDOT sends UPWP/SOW CONTRACT to MPO for signature and return to INDOT.
- Upon return to INDOT, the UPWP/SOW CONTRACT is circulated through the State signature process (up to 45-days).
- INDOT loads internal CapWise system in preparation of UPWP/SOW FMIS request.
- INDOT submits FMIS request through CapWise to FHWA for approval.
- FHWA approves UPWP/SOW FMIS requests.
- INDOT issues Purchase Order.

UPWP/SOW RISK FACTORS:

- A missed or delayed phase
- A delay in preparing and submitting ICAP for approval by Cognizant Agency
- Not amending “flexed” STBG, HSIP or CMAQ funding into TIPs in a timely manner to provide INDOT with sufficient time to include in its STIP by reference.
- Policy Board action approving/endorsing the “final” UPWP; or an approval that permits the MPO staff to make the necessary changes requested by INDOT, FHWA and FTA.

UPWP & SOW Development Timeline

SFY 1-2 Unified Planning Work Program/Simplified Statement of Work Development Timeline - Year 1										
PHASE	SFY 1 - 2 UPWP DEVELOPMENT MILESTONE	DEC	JAN	FEB	MAR	APR	MAY	JUNE	JULY	
UPWP Development	INDOT sends SFY 1 PL and 5303 Funding Estimates to MPO Finance Committee									
	MPO submit Indirect Cost Allocation Plans to Cognizant Agencies for Approval.									
	PL/5303 Funding Formula is used to set preliminary PL/5303 distributions. MPO Finance Committee reviews distributions with MPO Council ratifying the final funding adjustments for the SFY 2021 PL/5303 distribution funding "Marks".									
	INDOT Issues UPWP DES numbers to MPOs									
	FHWA and FTA issue the Planning Emphasis Areas (PEAs)									
	MPOs develop and submit draft UPWP to INDOT for review and comment									
	Flexed STBG, and HSIP or CMAQ funds amended into MPO TIPs and INDOT STIP									

SFY 1 - 2 Unified Planning Work Program/Simplified Statement of Work Development Timeline - Year 2									
PHASE	SFY 1 - 2 UPWP DEVELOPMENT MILESTONE	DEC	JAN	FEB	MAR	APR	MAY	JUNE	JULY
UPWP Review	INDOT provides UPWP comments back to MPOs								
	MPOs address comments and resubmit draft UPWP to INDOT								
	Final UPWP should all be approved by MPO Policy Boards by this month.								
	INDOT sends letter to FHWA/FTA recommending approval of MPO UPWP/SOW								
UPWP Approval	FHWA/FTA issue letter of approval to INDOT for final MPO UPWPs								
	INDOT send UPWP CONTRACT to MPO for signatures								
	MPO submits UPWP Contract to INDOT to begin State signature approval process								
	INDOT prepares CapWise for UPWP FMIS request							June 8th	
	INDOT submits FMIS Requests to FHWA								
	FHWA approves MPO UPWP FMIS request								
	INDOT notifies MPO that the UPWP Contract has finished signature process and Issues Purchase Order								July 1st

NOTES:

The UPWP is a two-year funding document where the first year SFY 1 follows an approved budget. The dollars listed for the second (outer) year SFY 2 are reasonable estimates.

All of the MPOs where INDOT is lead shall use the two-year UPWP format. The two MPOs where INDOT is not lead, KIPDA and OKI will follow a single, one-year UPWP format.

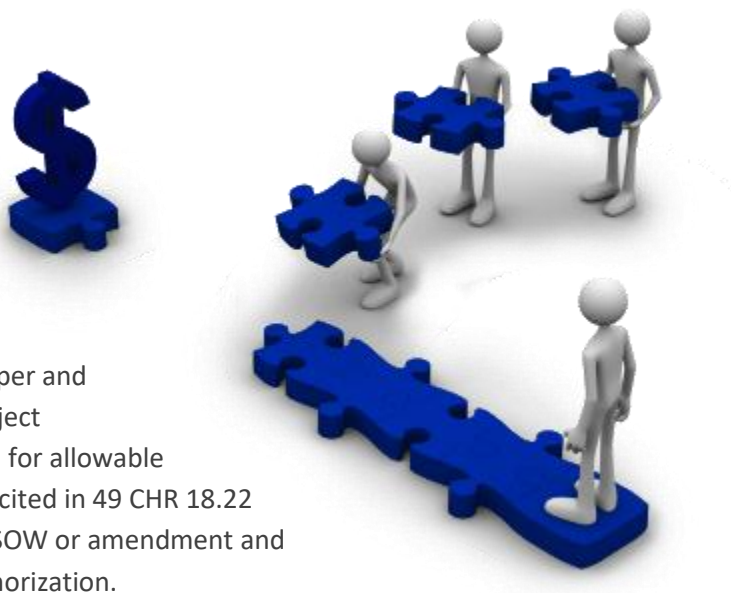
The Kokomo MPO is the only MPO that is currently permitted to submit a Simplified Statement of Work (SOW).

All MPOs will use the State Fiscal Year for their respective UPWPs. The exceptions to this rule are Columbus and Indianapolis; both of which operate on a Calendar Year basis.

Eligible Cost:

Costs will be eligible for federal participation provided the costs:

- Are for work performed for eligible metropolitan planning activities within or directly necessary to transportation planning and within the metropolitan planning area
- Are verifiable from the MPO's records
- Are necessary and reasonable for proper and efficient accomplishment of MPO project objectives and meet the other criteria for allowable costs in the applicable cost principles cited in 49 CFR 18.22
- Are included in the approved UPWP/SOW or amendment and were not incurred prior to FHWA authorization.



TIP and STIP Requirements:

- MPOs are not required to list UPWP/SOW Consolidated Planning Funds in their TIPs.
- MPOs are however required to list any flexed STBG; HSIP and CMAQ funding in the TIPs and INDOT is required to include the MPO's TIPs by reference into the STIP.

MPOs that elect to “flex” STBG and HSIP funds for planning purposes in their UPWP are required to program the funding in their Transportation Improvement Programs (TIPs) which are then included by reference into the State Transportation Improvement Program (STIP). CMAQ funding that is used for educational outreach programs are also listed in MPO UPWPs and are required to be included in the TIP and STIP.

Important Note: *The STIP must match the MPO's TIP. So, if there are any errors in the MP's TIP, those errors will be carried over into the INDOT STIP.*

UPWP/SOW Grant Agreement Contract

After the FHWA/FTA approve the MPO's UWPW/SOW, INDOT/The State of Indiana will enter into an agreement/Contract with the MPO for the delivery of the work as identified in the approved UPWP/SOW. The Contract formally sets and confirms the budget that the MPO shall be entitled to be reimbursed for the period identified for its work and performance of the UPWP/SOW.

Quarterly Progress Reports

Quarterly Progress Reports are used to monitor the implementation of the UPWP consistent with 23 C.F.R. 420.117 and FTA Circular C 8100.1C (September 1, 2008). Progress reports are to be submitted to INDOT on a quarterly basis with each MPO reimbursement claim. MPOs are permitted to submit claims on a more frequent basis – monthly or even bi-weekly. If an MPO elects to submit claims on a more frequent basis than the standard quarterly cycle, a Progress Report for the period being claimed must accompany the claim. If for any reason an MPO fails to submit a claim for reimbursement on a quarterly basis, the MPO is still required to submit the Quarterly Progress Report to INDOT.

The Quarterly Progress Report and reimbursement claims are due no later than 45 days after the close of a quarter. The accompanying progress report is to be submitted using State Form 12803 (R/ 3-16) INDOT INVOICE – METROPOLITAN PLANNING ORGANIZATION (MPO) FINANCIAL STATUS REPORT – UNIFIED PLANNING WORK PROGRAM (UPWP) FUNDING PL/FTA/STP/CMAQ/HSIP.



The Annual Completion Report and Content

MPOs are required to submit an Annual Completion Report to INDOT and FHWA no later than ninety (90) days following the close of each fiscal year. The due date is September 28 for those MPOs using the State Fiscal Year and March 31 for those MPOs using the Calendar Year. Each MPO uses its own styling for the report. This outline is provided for guidance:

1. Introduction -
 - a) A description of the MPO and its service area.
 - b) The reporting period and a brief description of the UPWP and the key accomplishments completed.
 - c) List of Policy Board members and Technical Committee members
 - d) Funding sources committed to the UPWP/SOW
2. For each of the funding elements provide a narrative of what has been accomplished – the products completed, what items are still a work in progress and the percentage of work completed. Also provide a timeline of when any unfinished work is expected to be completed. If the MPO had any activities listed in its work program that did not advance, please provide an explanation as to why the activities did not advance.
 1. Where MPOs list specific UPWP products, provide additional narrative describing those finished products and the value provided to the transportation planning process: how the project proceeded, when was it completed, how it is being used and if applicable, a link to access the product.
2. Financial Reporting
 - a) Provide a listing of all of the funds with the purchase order numbers that were available to fund the UPWP elements (PL/5303, HSIP, CMAQ, STBG etc.).
 - b) Provide a table showing the starting balances for each funding source, the claims submitted and paid and any unexpended funds balances. Example:

MPO SFY 2021 Invoice Ledger			PL/5303	HSIP	TOTAL BALANCE
PURCHASE ORDER NUMBER 002006868 ISSUED:			\$271,540.06	\$33,696.00	\$305,236.06
Invoice Number	Claim Period	Claim Amount			
1	07-01-20 to 09-30-20	\$62,098.30	\$62,098.30	\$0.00	\$243,137.76
2	10-01-20 to 12-31-20	\$64,910.74	\$47,185.24	\$17,725.50	\$178,227.02
3	01/01/21 to 03-31-21	\$59,948.07	\$52,300.05	\$7,648.02	\$118,278.95
4	04-01-21 to 06-30-21	\$69,935.67	\$69,935.67	\$0.00	\$48,343.28
TOTAL CLAIMS:		\$256,892.78	\$231,519.26	\$25,373.52	
TOTAL UNEXPENDED BALANCE:			\$40,020.80	\$8,322.48	\$48,343.28

INDOT's MPO Claims Submission Guidance

INDOT will reimburse MPOs for the federal share of eligible expenses incurred during the completion of work activities as identified in the Unified Planning Work Program (UPWP) or simplified Statement of Work (SOW). MPO expenditures being claimed for reimbursement must be eligible for FHWA participation provided that the costs:

- Are for work performed by the MPO for activities eligible under the section of Title 23, U.S.C., applicable to the class of funds used for the activities (23 U.S.C 134 or 23 U.S.C. 135)
- Are verifiable from the MPOs records and have appropriate documentation to support costs being billed for (submission of State Form 12803 (R/3-16))
- Are necessary and reasonable for proper and efficient accomplishment of project objectives and meet the other criteria for allowable costs in the applicable cost principles cited in 2 CFR Part 200
- Are included in the budget of the approved Unified Planning Work Program, as amended were not incurred prior to FHWA authorization

At a minimum, MPOs shall submit claims/invoicing for reimbursements on a quarterly basis. However, INDOT currently permits MPOs to submit claims for reimbursement on a monthly or even bi-monthly basis. There are seven “*Must Have*” items that INDOT requires in order to process an invoice. They are:

1. Invoice Number – Assigned by and unique to the MPO’s business process
2. Invoice Date
3. Total Invoice Amount
4. Service Dates – the time frame for which reimbursement is being sought
5. The Purchase Order Number against which the claim is being made
6. The DES Number
7. Remit to and address – In order for payment to be processed, this is the remit to address registered with the Auditor of State.

Detailed records and documentation for all expenses claimed shall be retained by the MPO and be available for review by INDOT, FHWA or FTA staff upon request.

All claims for reimbursement shall be submitted to INDOT using the electronic Accounts Payable Management System: “*PayWise*.” To submit claims into *PayWise*, the claim/invoice, including the supporting State Form 12803(R/3-16) which is considered to be a part of the invoice shall be submitted in pdf format to Central Office Invoices using this e-mail portal: CentralOfficeInvoices@indot.in.gov. To expedite the claims processing time, a copy should simultaneously be sent to the INDOT MPO Planning Liaison.

MPOs have traditionally submitted their claims to INDOT using a cover letter which has served the dual purpose as an invoice. This practice can continue provided that the cover letter clearly identifies the seven must have items required in order for INDOT to process invoices. If the seven “*Must Have*” elements are included in the cover letter submitted for reimbursement, the cover letter qualifies and becomes the Invoice.

MPOs may choose at their discretion to submit either one invoice per claim against one purchase order or one invoice for multiple claims against more than one purchase order. SURP claims/invoices however, may not be claimed on the same MPO invoice for UPWP reimbursements. Please see following samples.

UPWP/SOW MODIFICATIONS and AMENDMENTS

MPOs must be sensitive to changing issues and transportation priorities within their regions. These changes can necessitate modifications and amendments to UPWPs and SOW. In general, the work activities and objectives of UPWPs and SOW are relatively stable, often fairly consistent from year to year. While planning activities and studies vary in their specific focus, the activities are all designed to improve the multi-modal transportation system utilizing selected programs and projects. The objectives and scope of the transportation planning process remain fairly consistent over time in accordance with the Metropolitan Transportation Plan.

For the purpose of this section, modifications are changes to the UPWP or SOW that do not alter the planning objectives or program scope, but rather represent the reallocation of planning funds to ensure the objectives and scope are fully attainable. An amendment is an alteration that includes an addition or deletion of a planning activity; a substantial change in project focus and/or scope; or a substantial shift in planning objectives.

Modifications typically represent relatively minor shifts in planning activity budgets or final calculation in the UPWP/SOW. Modifications can also include additions, subtractions, or other corrections to UPWP/SOW narrative. The intent of modifications is to support a more thorough and comprehensive planning activity. Planning activity budgets are often developed six to eighteen months prior to initiating work. As planning activities are performed, the required and available resources become more defined, and can result in shortages or surpluses. The ability to periodically adjust budgets lends to better planning products and planning processes. Unspent PL and 5303 funds from prior fiscal years that have not surpassed their End Date, can be placed on current year activities. However, work performed must be completed before the End Date to be eligible for reimbursement from these prior year funds. In most cases, unspent funds from the immediate prior year's program are modified into the current program. The unspent amount is not known for several weeks after the prior year has ended and the current program has commenced. For many MPOs, this is the only UPWP/SOP modification needed. Monetary changes that do not exceed 50% of an original work element budget and collectively, the changes do not exceed 30% of the total work program budget, are permitted as modifications. If multiple modifications are requested within a fiscal year, the thresholds are based on cumulative comparisons to the original work element budget and total work program budget.

The primary work elements are listed below. Within each work element there are subcategories and planning activities that support the goal of the work element.

- 100 Administration/Public Participation
- 200 Data Collection and Analysis
- 300 Short Range Planning and Management Systems
- 400 Long Range Planning and Air Quality
- 500 Transit and Active Transportation
- 600 Other Planning Initiatives

Amendments are required whenever there is a significant change in the scope of work, or the desired objectives as stated in the original UPWP/SOP planning work elements. An amendment is also required when proposed monetary changes singularly or cumulatively exceed 50% of an original work element budget and/or 30% of the total work program budget.

The process for revising a UPWP/SOW is as follows:

- Early coordination - At the earliest opportunity, the MPO will notify its INDOT and FHWA Planning Liaisons of its intention/proposal to revise its work program, including the rationale/justification for the desired change. The rationale/justification must mention if the revision will result in a significant change to the scope or objective of the work program. The MPO will define the revision as a modification or amendment. Within seven business days the INDOT and FHWA Planning Liaisons will issue a joint determination of the proposed revision as a modification or amendment.

Modification Process

- The MPO will follow its internal process to develop the draft modification and secure Policy Board approval if needed.
- MPO submits the UPWP/SOW modification request to their INDOT Planning Liaison for approval. The modification request must include a modified UPWP/SOW narrative clearly showing the changes in text.
- The INDOT Planning Liaison will route the modification to the appropriate INDOT and FHWA staff. After review, the Planning Liaison will issue written concurrence on behalf of the INDOT Technical Planning and Programming Division.

NOTE: MPO requests for UPWP/SOW modifications must be submitted prior to May 1st for work programs on a SFY and November 1st for programs on a CFY.

Amendment Process

- The MPO will follow its internal process to develop the draft amendment and secure Policy Board approval if needed.
- MPO submits the amendment to their INDOT Planning Liaison. The amendment request must contain a copy of the signed MPO Policy Board concurrence, a revised/new UPWP/SOW element narrative, and the appropriate revised/new financial pages. The request must clearly describe the type of funds to be used (PL, STP, CMAQ etc.) and must be accompanied by the appropriate amended TIP pages (if funding source requires inclusion in TIP/STIP).
- INDOT Planning Liaison routes the amendment request to the appropriate INDOT for review and approval. The amendment is forwarded to FHWA and FTA staff for review and comment.
- If the amendment is approved by INDOT, INDOT Planning Liaison will forward the MPO's UPWP/SOW request to FHWA/SOW as an attachment to a letter requesting Federal approval. If

the amendment is not approved by INDOT, the planning liaison will discuss the amendment with the MPO and attempt to mediate a viable solution.

- Upon receiving the FHWA/FTA approval for the amendment, INDOT will notify the MPO and begin the FMIS request for the additional Federal funding (if applicable) and begin the Contract amendment process.
- An amended purchase order reflecting the UPWP dollar changes will be issued to the MPO after the FMIS request has been approved and the amended Contract has been endorsed by the Attorney General.
- The issuance of the amended purchase order will serve as the Notice to Proceed (NTP) for the amended UPWP/SOW.

NOTE: MPO requests for UPWP/SOW amendments will not be processed if there is insufficient time to complete the amendment process in order for the MPO to be reasonably capable of completing the desired work element changes prior to the end of the UPWP/SOW. Generally, amendments must be submitted prior to March 1st for work programs on a SFY and September 1st for programs on a CFY.

UPWP/SOW modifications and amendments must conform and meet the requirements of ***Supercircular (2 CFR 200) and 23 CFR 420 parts c and d.***

REFERENCE:

- Metropolitan Planning Funds (PL funds) are provided from the Federal Highway Trust Fund and are distributed by State Departments of Transportation (DOTs) to metropolitan planning organizations (MPOs) to conduct the planning activities required by Title 23 of the U.S. Code 134.
- §23 CFR 420.109 (a) The State DOTs shall make all PL funds authorized by 23 U.S.C. 104(f) available to the MPOs in accordance with a formula developed by the State DOT, in consultation with the MPOs, and approved by the FHWA Division Administrator.
- Title 23 U.S.C. 104(d) PL funds are distributed to States based on a ratio of urbanized-area population in individual States to the total nationwide urbanized-area population. State DOTs then distribute this funding to the MPOs in their State based on a formula, agreed to by the MPOs, and approved by their FHWA Division Office.
- §23 CFR 450.308: Funding for transportation planning and unified planning work programs.
- 2 CFR § 200-Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards Super Circular
- An MPO shall document metropolitan transportation planning activities performed with funds provided under title 23 U.S.C. and title 49 U.S.C. Chapter 53 in a unified planning work program (UPWP) or simplified statement of work in accordance with the provisions of this section and 23 CFR part 420.

Section 3: Document Development & Maintenance Processes



Planning Document Processes

Performance-based planning

- Metropolitan Planning Organizations will be required to establish and use a performance-based approach to transportation decision making and development of transportation plans.
- Each MPO will establish performance targets that address the FAST ACT surface transportation performance measures (see: [National Goals and Performance Management Measures fact sheet](https://www.fhwa.dot.gov/map21/factsheets/pm.cfm) <https://www.fhwa.dot.gov/map21/factsheets/pm.cfm>).
- The performance targets selected by an MPO will be coordinated with INDOT to ensure consistency to the maximum extent practicable.
- Performance targets selected by an MPO will be coordinated with public transportation providers, to the maximum extent practicable, to ensure consistency with sections 5326(c) and 5329(d) of title 49.

- MPOs are required to integrate into the metropolitan transportation planning process other performance-based transportation plans or processes.
- The MPOs will establish performance targets not later than 180 days after the date that the relevant State or public transportation provider establishes performance targets.
- INDOT Planning Liaison or Technical Planning Section Manager will notify MPOs in writing from the submission on performance targets to FHWA or FTA.

Metropolitan Transportation Plan (MTP)

- The Plan will include a description of the performance measures and performance targets used in assessing the performance of the transportation system.
- The Plan will also include a system performance report and subsequent updates evaluating the condition and performance of the transportation system with respect to the established performance targets.
- MPOs have the option of developing multiple scenarios for consideration during the development of the Plan. For metropolitan planning organizations that voluntarily elect to develop multiple scenarios, an analysis of how the preferred scenario has improved the conditions and performance of the transportation system and how changes in local policies and investments have impacted the costs necessary to achieve the identified performance targets.

Transportation Improvement Program (TIP)

- The TIP will include, to the maximum extent practicable, a description of the anticipated effect of the TIP toward achieving the performance targets established in the Plan, linking investment priorities to those performance targets.

Performance report

The US DOT Secretary is required to submit a report to Congress not later than 5 years after the date of enactment of FAST ACT. The report is to evaluate:

Control Documents:

23USC134(h)(2) – Performance Based Approach
49USC5303(h)(2) – Performance Based Approach
Statewide Transportation Planning
23USC135(d)(2) – Performance Based Approach
49 USC5304 (d)(2) - Performance Based Approach
23 CFR 450.324 - Development and content of the metropolitan transportation plan.

MPO Metropolitan Transportation Plan (MTP) Development & Coordination

Responsible Party: Technical Planning Section

- 1) MPO notifies designated INDOT Planning Liaison and FHWA/FTA that they are starting a new MTP update.
- 2) The designated INDOT Planning Liaison sets up early coordination plan development, consultation meeting with MPO to discuss plan development timelines, MPO vision, goals, land-use development patterns, multimodal issues/needs, financial outlook, year of expenditure assumptions, long-range roadway needs, policies, and potential strategies identified by the MPO.
- 3) MPO receives project specific information to update the state projects and an estimate of state funds available to operate, maintain and support the implementation of the MTP from the designated Transportation Planner.
- 4) The MPO reviews and updates the draft MTP, with a financial plan that demonstrates how the adopted transportation plan can be implemented and posts the plan for the required public review and comment period.
- 5) The designated INDOT Planning Liaison participates in MPO Technical Committees relative to the plan development in person or via WebEx or telecommunication for remote MPO locations if available.
- 6) The designated INDOT Planning Liaison monitors the MTP to maintain a working knowledge of the current status and coordinate with INDOT district and Grants Application Team staff as appropriate.
- 7) The MTP is submitted to INDOT, FHWA and FTA by the MPO. The designated INDOT Planning Liaison will conduct an internal review to ensure the plan was developed in a manner consistent with federal regulations; accurately identifies INDOT project costs and program fiscal constraint; and INDOT funded projects are appropriately listed and consistent with INDOT planning documents.

Expected Timeline:

MTP updates to be completed 60 days prior to the expiration date of the existing MTP in order to avoid a lapse. The MPO shall review and update the transportation plan at least every four years in air quality nonattainment and maintenance areas and at least every five years in attainment areas to confirm the transportation plan's validity and consistency with current and forecasted transportation and land use conditions and trends and to extend the forecast period to at least a 20-year planning horizon. The MPO may revise the transportation plan within these timeframes without extending the horizon year.

Control Document(s): 23 CFR 450.324; 23 CFR 134 (i)

§ 23 CFR 450.306 Scope of the metropolitan transportation planning process.

INDOT Long-Range Transportation Plan Development and Coordination

Responsible Party: INDOT Technical Planning Section (in coordination with INDOT Asset Management, Corridor Development)

Process:

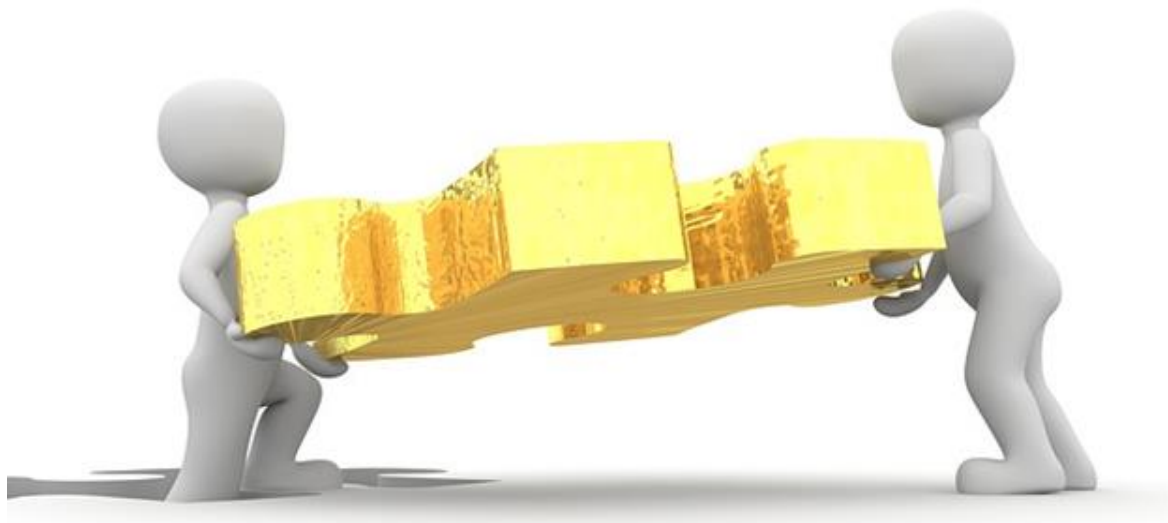
1. The Transportation Planning Section will work with INDOT leadership and stakeholders in the development of system vision statements and planning goals for the next 20-25 years.
2. The designated INDOT Planning Liaison will review completed and ongoing planning, corridor, environmental, and multimodal studies/planning documents as it relates to long-term, major capacity planning needs for their respective areas.
3. The Technical Planning Section will work with the Technical Modeling Team in identifying transportation needs via technical modeling analysis, socio-economic trend analysis, and land-use development patterns.
4. During the plan development phase, the designated INDOT Planning Liaison sets up early coordination plan development consultation meeting with MPOs, RPOs, and District Technical Services Directors and FHWA/FTA to discuss: long-range added capacity needs from INDOT technical modeling analysis, district analysis, and MPO modeling analysis; potential illustrative projects; potential need-specific context sensitive solutions/complete streets strategies, and system policy needs (planning level only). Discussion with each of the districts, MPOs, and RPOs will be summarized in meeting notes and displayed to INDOT's Plan Update website.
5. The Technical Planning Section will contact resource agencies to discuss identified statewide transportation improvement needs, agency goals, and vision statements.
6. Technical Planning Section coordinates with LPA Grants Administration Division. LPA Grants Administration provides details and concerns relative to local needs, policies, and plans that will impact INDOT projects.
7. Technical Planning Section Staff begin the development phase of the planning document verbiage. Phases of the planning document are discussed with INDOT leadership.
8. The Technical Planning Team works closely with the agency's Asset Management Teams and project managers relative to the development of the agency's 5-year construction plan.
9. The Technical Planning Section facilitates public involvement and outreach activities relative to draft transportation planning documents. Public comment period is typically 45-days as outlined in INDOT's Public Involvement Process Manual located at: <http://www.in.gov/indot/2366.htm>.
10. Indiana Resource Agencies are provided copies of the draft planning document for their review and comments.
11. The Technical Planning Section revise draft planning document based on public comments and input from executive staff, planning partners, and resource agencies. A final draft is developed for additional review, approval, and adoption. The adopted plan will be uploaded to the INDOT website.

Expected Timeline: Typically the plan update/development is performed in conjunction with the STIP update schedule. Document is updated as needed and can take between 1-2 years to develop.

Control Document(s): *§23 CFR 450.216 Development and content of the long-range statewide transportation plan; 23 USC 135; and 23 CFR 450.206 Scope of the statewide and nonmetropolitan transportation planning process.*

INDOT 5-Year Asset Management/Construction Plan Development and Coordination

Responsible Party: INDOT Technical Planning and Programming (in coordination with INDOT Assessment Management, Corridor Development).



The 5-Year Transportation Asset Management Plan (TAMP) will be updated every 4-years and revised as needed in the interim. FHWA makes a consistency determination every year.

Process:

1. The designated INDOT Planning Liaison will work directly with the District Technical Services Director or system assessment managers six months prior to the annual call for projects for a listing of candidate project needs.
2. The INDOT Planning Liaison will map identified needs and perform Community Context Audits, which will include Americans with Disabilities Act (ADA) Transition Plans checks, environmental red flag analysis, and local community needs checks. Findings will be summarized in the planning package report.
3. The Asset Management Manager will develop preliminary costs for environmental mitigation, ADA transition needs, and potential community amenities. This information will be summarized in the planning package report that will be submitted with the project.

4. The INDOT Planning Liaison will participate in various assigned Asset Teams to provide planning level input in decision making; project prioritization; and to ensure federal and local planning considerations are included in the analyses.
5. Once a Call has been prioritized, fiscally constrained, and programmed into SPMS, the Transportation Planner works with the local programs in developing a 5-year list of projects by Asset. The first four years of which is the STIP.
6. The Technical Planning Team (TPT) will work with INDOT leadership, FHWA, and stakeholders in the development of vision statements and asset management goals, objectives and metrics.
7. The TPT will work with PMG, Asset Directors, and Asset Teams in incorporating statistics into the Asset Management Plan.
8. TPT will work with Public Hearings, MPOs, RPOs, Resource Agencies, Freight and Mobility Team, and others to set up district coordination meetings regarding the TAMP and will initiate a 30-day comment period and public activities.
9. The TPT will process public comments and make adjustment to the draft TAMP as needed.
10. The final draft TAMP is circulated for final review and approval.

Expected Timeline: Typically, the TAMP development is performed on an annual basis. Timeline can range between 8-10 months, depending on activities.

Control Document(s): FAST Act Asset Management/TAMP

Corridor Planning Processes

Planning Process for Non-Programmed, Major Capacity Improvements

- 1) The Corridor Development Office works closely with the INDOT Technical Planning staff for technical analysis and support.
- 2) The Transportation Planning Section is responsible for:
 - Working with the various planning partners (MPOs, RPOs, and District Offices)
 - Assisting with alternative improvement analysis using the statewide travel demand model (as needed)
 - Performing general benefit cost analysis (as needed)
 - Coordinating with the MPO for additional regional model analysis (using the MPO model) and local data assumptions (as needed)
 - Identifying preliminary Context Sensitive Solutions/complete street needs through coordination with locals and stakeholders (as applicable) and the MPOs.
 - Obtaining any additional supporting documents from local entities (as available).
- 3) If the project is recommended for programming in the 5-year construction plan, the Corridor Development Team will provide the recommendation to the appropriate Capital Asset Manager for additional analysis, scoring, and statewide prioritization.
- 4) Once scored, prioritized, and approved, the designated INDOT Planning Liaison will ensure the proper planning actions are taken (air quality conformity, Congestion Management Process,

(where applicable in TMA MPOs), TIP amendments, long-range planning document amendment, and other coordinated planning activities).

- 5) If the project is not recommended for programming, the Corridor Development Team will need to communicate their recommendation to the project sponsor or appropriate asset manager for documentation purposes and further action if needed.
- 6) If the MPO is the sponsor and the project is considered an Illustrative improvement submitted as part of the “Call for Projects” the designated INDOT Planning Liaison will be responsible for informing the MPO and providing supporting details to INDOT’s decision.

Planning Process for “Programmed” INDOT Major Capacity Improvements

- 1) For projects programmed in INDOT’s scheduling system, the Corridor Development Office works closely with designated INDOT Planning Liaison and Technical Modeling Staff (the INDOT Planning Liaison will have the lead in terms of planning activities).
- 2) Any recommended changes to the project scope or recommendations to defer the improvement resulting from the analysis are communicated directly to Executive Office and the designated INDOT Planning Liaison.
- 3) The recommended changes are forwarded to the appropriate Asset Manager for additional analysis, scoring, and statewide prioritization.
- 4) Once scored, prioritized, and approved, the designated INDOT Planning Liaison will ensure the proper planning actions are taken (air quality conformity, Congestion Management Process, (where applicable in TMA MPOs), TIP amendments, long-range planning document amendment, and other coordinated planning activities).

Control Document(s): 23 CFR 450.314.

INDOT Strategic Asset Management Plan (SAMP)

Responsible Party: Asset Management, Capital Program Management, Others will be added.

To account for INDOT’s plans for increased investments in infrastructure and ongoing changes in external environmental factors, INDOT has established a long-term approach for sustaining its infrastructure assets and effectively managing its investments. INDOT’s Strategic Asset Management Plan (SAMP) guides the processes, policies, and procedures related to INDOT’s management of roads and bridges to help the Department effectively manage its breadth of assets.

The SAMP translates INDOT’s strategic objectives, identified by stakeholder requirements and internal and external issues, into asset management initiatives and objectives. The SAMP takes into account **INDOT’s Strategic Plan** and other policies to establish a coordinated approach for developing and maintaining good practice asset management, highlighting the role of the overall “asset management system” in the delivery of asset management goals and objectives.

By creating a SAMP for INDOT’s transportation assets, this document helps ensure all stakeholders have a clear and common understanding of asset management within the INDOT organization, including asset management goals, objectives, policies, procedures, and business processes. Strategic asset management

activities will guide how and where INDOT deploys resources and are critical in helping INDOT achieve its long-term vision and goals.



Objectives of the SAMP

The SAMP serves as the principle guiding document for INDOT's asset management practices and the overall Asset Management Program. The objectives of the SAMP are to:

- Detail the role of assets, asset management, and the asset management system in supporting achievement of the Strategic Plan's objectives, and to provide clarity and direction for all organizational stakeholders, from top management to delivery teams
- Translate organizational objectives into strategic asset management objectives and reconcile these with other strategic objectives
- Guide the approach for developing the asset management plans and the asset management system, while applying the INDOT Asset Management Policy to ensure alignment
- Document the decision-making criteria that enable the definition of value realization for INDOT and its stakeholders and the coordinated approach for performance evaluation
- Present a consolidated plan at the asset portfolio level for achieving strategic asset management objectives and link to the organization's financial plans
- Present a plan for creating or improving the asset management system in order to ensure the required capabilities and resources are available to achieve the asset management objectives.

The SAMP also operates within INDOT's greater operating environment. Other documents that establish INDOT's strategic objectives and initiatives include the INDOT Strategic Plan, the Multimodal Freight & Mobility Plan, Long-Range Transportation Plan, Next Level Indiana, Federal Highway Administration (FHWA) Transportation Asset Management Plan (TAMP), and the Asset Management Policy.

SAMP Role in Asset Planning & Management

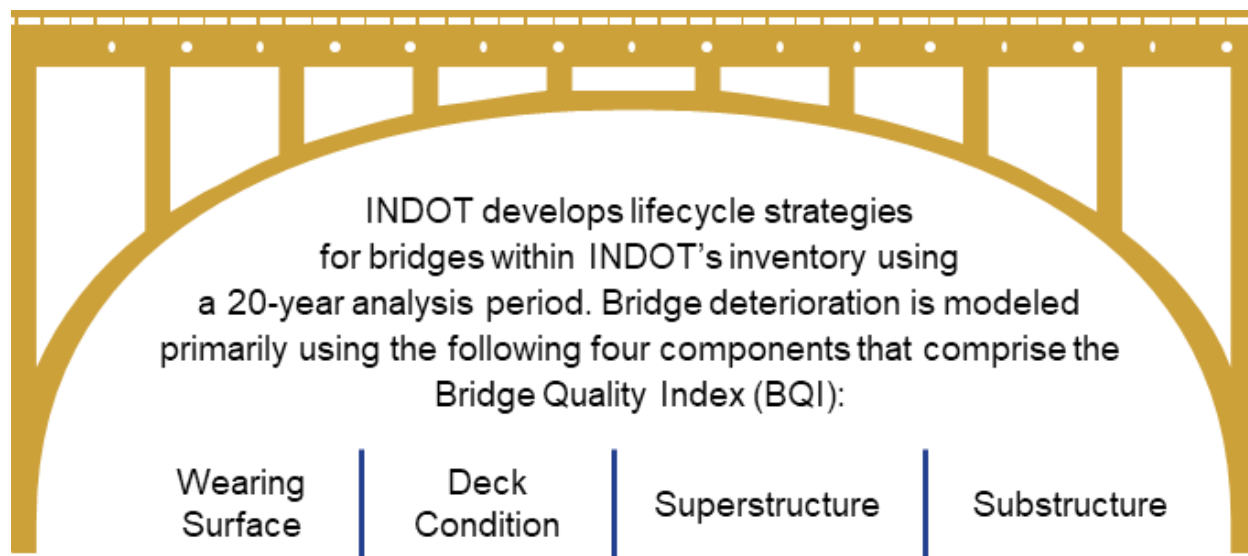
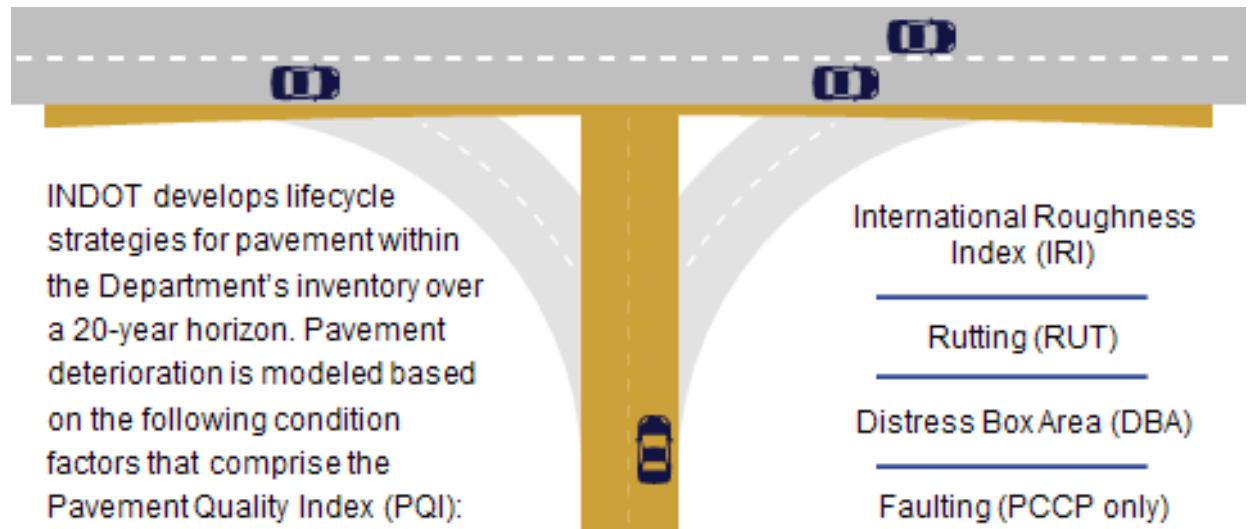
The SAMP takes a system-wide approach to managing INDOT's assets, highlighting the role of the overall "asset management system" to support the delivery of the asset management goals and objectives. The asset management system includes all business processes, policies, procedures, documents, and the supporting framework that enable the achievement of asset planning and management.

The SAMP also operates within INDOT's greater operating environment. Other documents that establish INDOT's strategic objectives and initiatives include the INDOT Strategic Plan, the Multimodal Freight & Mobility Plan, Long-Range Transportation Plan, Next Level Indiana, Federal Highway Administration (FHWA) Transportation Asset Management Plan (TAMP), and the Asset Management Policy. The Multimodal Freight and Mobility Plan and 20-Year Long Range Transportation Plan establish INDOT's long-term priorities, as well as the 20-year Next Level Indiana legislation, which provides additional funding sources to address INDOT's long-term asset needs. These planning documents feed into INDOT's TAMP and the SAMP, which provide the guiding principles and objectives for the upcoming 10-years. In turn, the TAMP and SAMP serve as the foundation for developing INDOT's 5-Year Construction Plan, which informs the programming for the upcoming Statewide Transportation Improvement Program (STIP).



20-Year Portfolio-Level Plans for Bridge and Pavement Assets

INDOT's pavement and bridge plans are developed using input from both INDOT's long-range plans and short-term delivery programs. INDOT's Multimodal Freight and Mobility Plan, Long-Range Transportation Plan, and Next Level Indiana plan identify INDOT's long-term strategies over a 20-year horizon. These strategies are the foundation for developing INDOT's shorter-term delivery programs, such as the 5-Year Construction Plan and STIP.



SAMP Coordination with External Partners

Under Construction

INDOT Transportation Asset Management Plan (TAMP) State Facilities

Responsible Party: INDOT Technical Planning, Asset Management, Capital Program Management Group (PMG), Metropolitan Planning Organizations, Rural Planning Organizations, and Locals (for non-state NHS routes)

Transportation Asset Management Plans (TAMP) act as a focal point for information about the assets, their management strategies, long-term expenditure forecasts, and business management processes. Over time the plan should be further improved and become an important tool for demonstrating how Indiana will achieve its mission in addition to sustainable asset stewardship, effective use of resources, and robust justifications for funding.

Each State DOT is required to develop a risk-based asset management plan for the National Highway System (NHS) to improve or preserve the condition of the assets and the performance of the system. (23 U.S.C. 119(e)(1), FAST ACT § 1106).

INDOT is responsible for managing the state's transportation assets, including bridges and roads. The Transportation Asset Management Plan (TAMP) is an essential 10-year management tool that brings together all related business processes, as well as internal and external stakeholders, to achieve a common understanding and commitment to improve the state's bridge and pavement performance on designated national highway system routes.

FAST Act defines asset management as a strategic and systematic process of operating, maintaining, and improving physical assets, with a focus on engineering and economic analysis based upon quality information, to identify a structured sequence of maintenance, preservation, repair, rehabilitation, and replacement actions that will achieve and sustain a desired state of good repair over the lifecycle of the assets at minimum practicable cost. (23 U.S.C. 101(a)(2), FAST ACT § 1103).

A State asset management plan shall, as a minimum, be in a form that the Secretary determines to be appropriate and include:

1. A summary listing of the pavement and bridge assets on the National Highway System in the State, including a description of the condition of those assets
2. Asset management objectives and measures
3. Performance gap identification
4. Lifecycle cost and risk management analysis
5. A financial plan and investment strategies

INDOT's TAMP, approved on August 29, 2019, outlines INDOT's asset management policies, practices, and planned enhancements. Established under 23 Code of Federal Regulations (CFR) Part 490, the TAMP describes existing conditions of the transportation network and provides a 10-year plan for managing the state highway system, including goals, performance targets, funding levels, and investment strategies.

The FHWA has reviewed INDOT's TAMP and certified that our process and TAMP development methodology meet applicable regulatory requirements. INDOT will routinely update the TAMP document, our development process, and targets every two-years, and prepare a new TAMP every four-years. INDOT's TAMP can be found at: <https://www.in.gov/indot/3231.htm>.

TAMP Coordinated Development Process

The mission of the Performance Based Planning & Programming (PBPP) Working Group is to facilitate coordination and information sharing between the MPOs, INDOT and Federal Highway regarding performance-based planning issues and the setting, monitoring, reporting and adjustments for performance targets. It includes representatives from the MPOs, INDOT and Federal Highway that meet on a monthly basis to review current performance-based updates and issues. A status update is provided after each meeting to the full MPO Council at its regularly scheduled MPO Council meeting.



Source: <http://www.fhwa.dot.gov/tpm/about>

Transportation Asset Management (TAM) program provides a decision-making framework that is guided by performance goals; draws from economics as well as engineering and considers a broad range of factors that includes physical as well as human resources, to operate, maintain, and improve transportation assets, such as roads and bridges. Transportation Asset Management is a business process that focuses upon engineering and economic analysis based upon quality information to identify a structured sequence of infrastructure maintenance, preservation, repair, rehabilitation, and replacement that will achieve and sustain the lifecycle of transportation assets at minimum practicable cost.

Transportation Asset Management helps to:

- Determine when to undertake action on an asset such as preservation, rehabilitation, reconstruction, capacity enhancement, or replacement
- Maximize transportation system performance
- Match performance goals and services to public expectation while improving customer satisfaction
- Minimize life-cycle costs or the cost of ownership of our assets
- Ensure optimal use of existing transportation assets

INDOT's Asset Management Program deeply tied with the agency short and long-range transportation planning and programming efforts. Components include:

- High level coordination of various professionals field inspectors, technicians, maintenance workers, engineers, planners, contract employees, executive leadership; planning and business partners, such as Metropolitan Planning Organizations, Regional Planning Organizations, Federal Highway Administration, Federal Transit Administration, stakeholders and industry leaders; elected officials, and the general public
- Hard Asset Inventory: Bridge, road, signage, lighting, traffic control devices, equipment, facilities, land, and other physical assets inventory and condition information
- Service Asset Inventory: Asset data, traffic and vehicle crash data, road inventory, and work management systems
- Capital Finance: Funds allocation, revenue streams, offset/trade-off analysis, and change management
- Business Structure: Work plans, business rules/scoring practices, asset teams, committee goals, and performance metrics
- Transportation Planning: MPO, RPO, and FHWA coordination, strategic planning, multimodal coordination, resource evaluation and tradeoff recommendations, project selection, Statewide Transportation Improvement Program (STIP) development, gathering system conditions
- Management Systems: Bridge, congestion, maintenance, pavement management system tools, work management system, agency scheduling programs, and the state transparency portal.

Asset Management Plans & Processes

Asset management is a strategic and systematic process of operating, maintaining, and improving physical assets, with a focus on engineering and economic analysis based upon quality information, to identify a structured sequence of maintenance, preservation, repair, rehabilitation, and replacement actions that will achieve and sustain a desired state of good repair over the lifecycle of the assets at minimum practicable cost.

In simple terms, asset management is a strategic process for managing physical assets in a state of good repair over their lifecycle at minimum practicable cost. INDOT submitted its State Asset Management Plan to FHWA in consistency with the federal regulations June 2019. INDOT's asset management plan will be updated and the agency's process will be recertified every 4-years.

FHWA Asset Management Rule: <https://www.federalregister.gov/documents/2016/10/24/2016-25117/asset-management-plans-and-periodic->

For more information on INDOT's Asset Management Program, Program Structure, Goals, and related information, please visit: <https://secure.in.gov/indot/3234.htm>.

INDOT-MPO Performance Based Transportation Planning & Reporting Process

On May 27, 2016, the final rule for statewide and metropolitan transportation planning was published, based on the 2012 Moving Ahead for Progress in the 21st Century (FAST ACT) Act and the 2015 Fixing America's Transportation System (FAST) Act. Federal law and regulations (23 USC 134(g)(2)(B), 23 USC 135((d)(2)(B), 23 CFR 450.314(h)) direct the State DOT, MPOs and public transportation providers to jointly agree upon and develop specific written provisions for cooperatively:

- Developing and sharing information related to transportation performance data
- Selecting performance targets
- Reporting performance targets
- Reporting performance used in tracking process toward attainment of critical outcomes for the Metropolitan Planning Organization (MPO) region
- Collecting data for the State asset management plan for the National Highway System (NHS)

Through the federal rulemaking process, the Federal Highway Administration (FHWA) has required states and MPOs to monitor the transportation system using specific performance measures to address the national goals and performance areas identified in FAST ACT.

Note: INDOT and the MPO Council is working on the template language for all MPOs to include in their TIPs and Plans. All MPOs are expected to include this standard language (once finalized) or a placeholder for this template language that states the language is being developed.

Various Performance Measures

Safety Performance Measures

Measures	Network	Data Source	2018 Target	2019 Target	2020 Target	Report
Rate & # of Fatalities per 100M VMT	All Public Roadways	AERIES Statewide Crash Data System	1.036	1.087	1.097	Targets must be in the MTP and TIP documents
Rate & # of Serious Injuries per 100M VMT			4.347	4.234	4.178	
# of Non-Motorized Fatalities & Serious Injuries			417.0	393.6	405.9	

Roadway Asset Performance Measures

Measures	Network	Data Source	2 YR Target (2020)	4 Year Target (2022)	Report
% Interstate Pavement in Good /Poor Condition	Interstate System	Highway Performance Monitoring System (HPMS)	NA	84.2% / 0.8%	Targets must be in the MTP and TIP documents
% Non-Interstate NHS in Good & Poor Condition	NHS Non-Interstate		78.7% / 3.1%	78.7% / 3.1%	
% of NHS Bridges by Deck Area in Good & Poor Condition	NHS		National Bridge Inventory (NBI)	48.3% / 2.6%	

System Congestion & Reliability Performance Measures

Measures	Network	Data Source	2 YR Target (2020)	4 Year Target (2022)	Report	
% of Person Miles Traveled on Interstate that are reliable	Interstate System	National Performance Management Research Data Set (NPMRDS)	93.7	92.8	Targets must be in the MTP and TIP	
% of Person Miles Traveled on Interstate that are reliable	Non-Interstate NHS System		97.0	89.8		
Truck Travel Time Reliability Index	Interstate System		1.27	1.24		
Peak Hour Excessive Delay Per Capita Chicago/Indianapolis Area	NHS		3.3 / 14.1	5.7 / 15.4		
% of Non-SOV Travel Chicago/Indianapolis Area	N/A		American Community Survey (ACS) or local travel surveys	16.3 / 31.2		16.3 / 31.9
*Total VOC/HC; NOx; and PM2.5 Emission Reduction in US EPA designated non-attainment and maintenance areas Chicago/Indianapolis Area	N/A		CMAQ Public Access System	1600 VOC 1600 NOx 200 CO 20 PM 2.5		2600 VOC 2200 NOx 400 CO 30 PM 2.5

* VOC (Volatile Organic Compound); PM (Particulate Matter); NOx (Nitrous Oxide); HC (Hydrocarbon)

Recipients of public transit funds—which can include states, local authorities, and public transportation operators—are required to establish performance targets for safety and state of good repair; to develop transit asset management and transit safety plans; and to report on their progress toward achieving

targets. Public transportation operators are directed to share information with MPOs and states so that all plans and performance reports are coordinated.

The performance measures outlined in the National Public Safety Transportation Plan, released by the Federal Transit Administration (FTA), and in the final rule for transit asset management.

Public Transportation Federal-Aid Performance Measures

Measures	System Network	Data Source	Reporting	Consultation
(Equipment Non-Revenue) % of non-revenue services vehicles meeting useful life benchmark (ULB)	All Public Transit System Assets within the MPA	National Transit Database (NTD)	Targets and progress must be reported on in the MTP and TIP on or after October 1, 2018.	MPOs receive targets from public transit operators and submit their targets to the state DOT by the target deadline.
(Rolling Stock) % of percent of revenue vehicles meeting ULB (Rolling Stock)				
(Infrastructure) % of track segments with performance restrictions				
(Facilities) % of facilities within an asset class, rated below 3 on the TERM scale				

The process outlined below was cooperatively developed to address 23 CFR 450.314 (h). Since Indiana has no areas where more than one MPO serves an urbanized area, nor does Indiana have any urbanized areas designated as TMAs which overlap adjacent MPAs serving urbanized areas that are not TMAs, no procedures have been developed for such areas. Should any such areas occur in the future, this process will provide appropriate procedures. Also, this process may change based on future rulemakings and guidance. Additional details may be outlined in the MPO UPWP, funding applications, and cooperative agreements between the MPOs, INDOT, and/or Transit Agencies.

The communication outlined in these provisions between the MPOs and INDOT will generally be through the statewide planning coordinator in the Technical Planning and Programming Division.

Transportation performance data

1. The INDOT will provide the MPOs with the statewide performance data used in developing statewide targets and will also provide the MPOs with subsets of the statewide data, based on their planning area boundaries.
2. If an MPOs chooses to develop their own target for any measure, they will provide the INDOT with any supplemental data they utilize in the target-setting process.

Selection of performance targets

- a. The INDOT will develop statewide performance targets in coordination and cooperation with the MPOs. Coordination may include in-person meetings, web meetings, conference calls, and/or email communication. The MPOs shall be provided an opportunity to comment on statewide targets before final statewide targets are adopted.
- b. If an MPOs chooses to adopt their own target for any measure, they will develop draft MPO performance targets in coordination and cooperation with the INDOT. Coordination methods will be at the discretion of the MPO, but the INDOT shall be provided an opportunity to comment on draft MPO performance targets prior to final approval.

Reporting of performance targets

- a. The INDOT performance targets will be reported to FHWA and FTA, as applicable. The MPOs will be notified when INDOT has reported final statewide targets. A copy of the report will be provided to the MPOs when submitted to FHWA and FTA.
- b. The MPOs performance targets will be reported to the INDOT. For each target, the MPO will provide the following information no later than 180 days after the date the INDOT or relevant provider of public transportation establishes performance targets, or the date specified by federal code.
 1. A determination of whether the MPO is agreeing to plan and program projects so that they contribute toward the accomplishment of the INDOT or relevant provider of public transportation performance target, or setting a quantifiable target for that performance measure for the MPO planning area.
 2. If a quantifiable target is set for the MPO planning area, the MPO will provide any supplemental data used in determining any such target.
 3. Documentation of the MPO's target or support of the statewide or relevant public transportation provider target shall be provided in the form of a resolution or meeting minutes and must have been approved by the Policy Committee unless the Policy Committee has delegated authority to accept or set different targets to a lower committee or staff as documented.



Reporting of performance to be used in tracking progress toward attainment of critical outcomes for the region of the MPO

- a. INDOT and the MPOs will work collaboratively to report on the efficacy of the performance targets within the State's Statewide Transportation Improvement Program (STIP) and Long-Range

Transportation Plan (LRTP) as well as the MPOs' Transportation Improvement Program (TIP) and Metropolitan Transportation Plan (MTP).

- b. The INDOT will include information outlined in 23 CFR 450.216 (f) in any statewide transportation plan adopted on or after May 27, 2018.
- c. MPOs will include information outlined in 23 CFR 450.324 (f) (3-4) in any metropolitan transportation plan adopted on or after May 27, 2018.
- d. The INDOT will include information outlined in 23 CFR 450.218 (q) in any State's Statewide Transportation Improvement Program (STIP) adopted on or after May 27, 2018.
- e. MPOs will include information outlined in 23 CFR 450.326 (d) in any Transportation Improvement Program (TIP) amended or adopted on or after May 27, 2018.
- f. Reporting of targets and performance by INDOT and the MPOs shall conform to 23 CFR 490, 49 CFR 625, and 49 CFR 670.

The collection of data for the State asset management plans for the NHS

- a. The INDOT will be responsible for collecting condition data for the State Asset Management Plan for the NHS, regardless of ownership. If INDOT requests the MPOs collect data for the state asset management plan, the data collection process will be determined cooperatively with the MPOs.

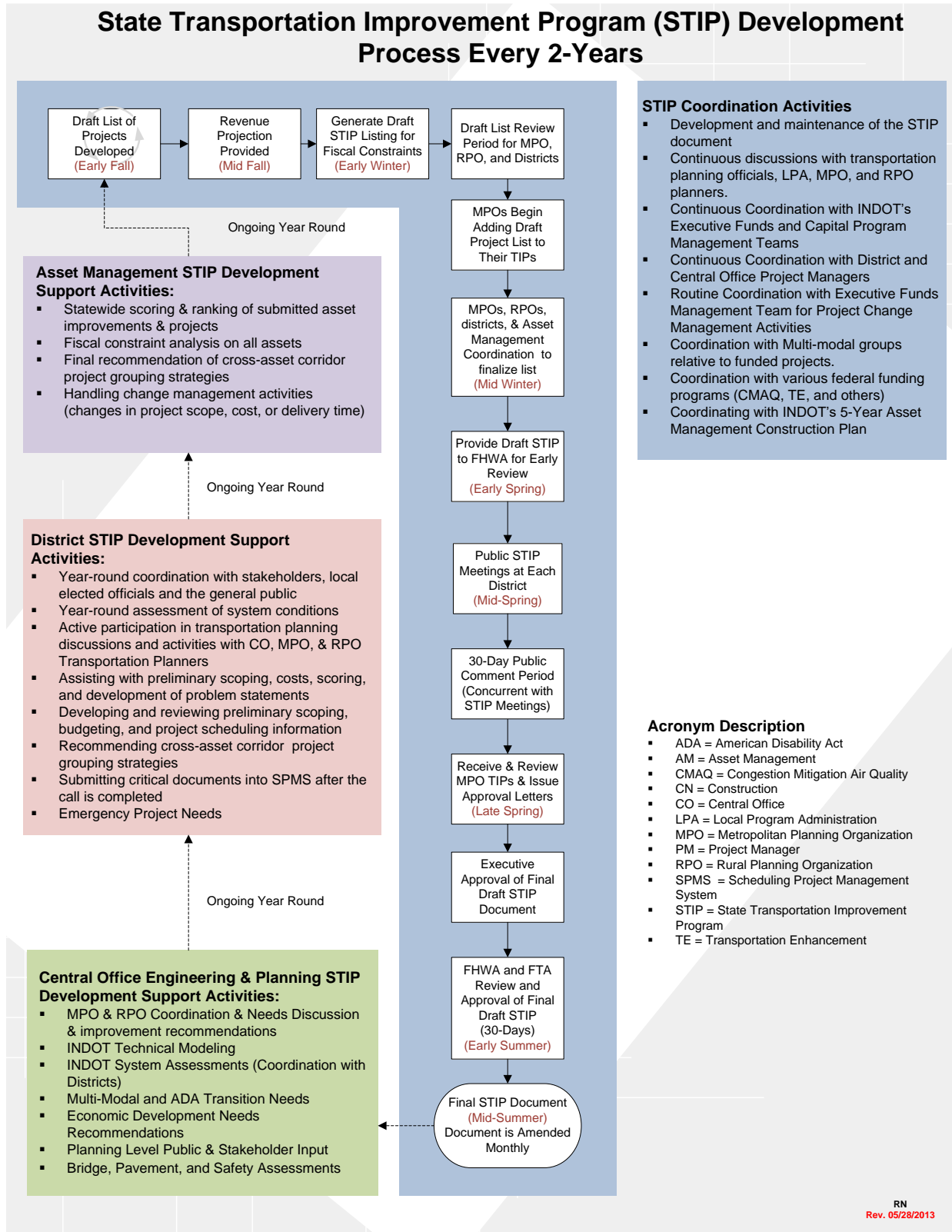
Transit Asset Management Plan

- a. The INDOT and the MPOs will work in coordination and cooperation with the **relevant public transit agencies** in establishing necessary transit performance targets. The **relevant public transit agencies** will work in consultation and cooperation with the INDOT and MPOs in establishing Transit Asset Management performance targets and share the data and any supporting records or documents on performance targets, investment strategies, and the annual condition assessment report with the INDOT and the MPOs.

Section 4: Program Development & Maintenance Processes



Statewide Transportation Improvement Program Development (STIP) & CN Plan



STIP Development Timeline:

Proposed STIP Development Timeline:

<i>DRAFT</i> The FY 2022 to FY 2026* MPO Transportation Improvement Plan and the INDOT State Transportation Improvement Plan Development Process													
TASK	2020 JUL	AUG	SEPT	OCT	NOV	DEC	2021 JAN	FEB	MAR	APR	MAY	JUN	JUL
Early Coordination Steps													
Establish the STIP Public Involvement Plan consistent with the INDOT Public Involvement Practices													
Monthly STP Development Coordination Meetings with FHWA													
STIP/TIP Development Timeline:													
INDOT STIP Development Kickoff Announcement	8/3/2020												
STIP Development process and timeline published on INDOT website. Information is also sent out through the INDOT listserv. Website will also have a mechanism for the public to submit comments.		9/1/2020											
SPMS Activity - new STIP template created in SPMS, preparations made to create initial active project reports for MPO circulation.			10/1/2020										
INDOT/MPO TIP/STIP Working Group Meetings		MPO Conference			1st		2nd	3rd	4th	5th			
INDOT Finance Plan - Initial draft to be refined later.					Continuous	Continuous	Continuous	Complete					
Provide MPOs with draft project listings					11/1/2020								
MPO Project Coordination Meetings					11/30/2020	Continues	Completed						
Quality Control: INDOT Program Manager & MPO TIP Managers Meetings to ensure project listing consistency						Continues	Continues	Completed					
MPOs generate draft TIP and submit to INDOT/FHWA/FTA for review								2/15/2021					
INDOT, FTA and FHWA return comments to MPO									3/15/2021				
Draft STIP is published on INDOT's Web Page followed by District Meetings								2/28/2021					
Conduct draft STIP Public Involvement District Meetings									Start 3-4	Complete			
Post District Meeting Public Involvement Follow-up: comment response and final correctios to document.									Begin	Complete			
MPOs make final corrections to TIPs and secure Policy Board adoption/approval.									Begin	Complete			
MPOs Submit their Final Adopted TIPs to INDOT											5/22/21		
Governor's Approval Letter is issued for MPO TIPs											5/30/2021		
The approved MPO TIPs are included by reference into the draft STIP											5/31/2021		
Final Draft STIP Submitted to FHWA/FTA for Approval												6/3/2021	
STIP Approved by FHWA/FTA. Final STIP Published on the INDOT Website													July, 2021

August 2020 - A new STIP development announcement is made.

September 2020 - STIP Development process and timeline published on INDOT website. Information is also sent out through the INDOT listserv. Website will also have a mechanism for the public to submit comments.

October 2020 - SPMS Activity - new STIP template created in SPMS, preparations made to create initial active project reports for MPO circulation. This is a list of projects to check. The MPO’s are requesting this information.

October – November 2020 - Early Coordination and STIP/TIP Working Group Meetings are held at district offices. Meeting will include MPOs, RPOs, district personnel and central office personnel.

MPO work with the districts and districts work with the Districts. Draft STIP listing is generated and complete fiscal constraint using project revenue numbers are discussed with the INDOT Finance Team. An unconstrained list of projects will be created.

February 2021

- Provide MPOs with draft list of projects to include in MPO TIP cycles.
- Meet with MPOs to review draft lists and finalize non-MPO lists with appropriate district and asset management personnel. Each of the Districts, Program and Project Managers could meet with their respective MPOs without our attendance and may do so via phone call, emails, etc. or have face to face meetings.
- Draft TIPs are forwarded to INDOT, FTA, and FHWA for their review and input.
- All projects TIP must have a DES number. Any project that does not have a DES number (i.e. TBA) or on the Illustrative will not be included in the STIP, because the STIP need to be fiscal constrained.
- Projects with “Active” status that are programmed for the 4-5 year window will be in the STIP. Projects with the status “Eliminated”, “Historical”, “Suspended”, “Local Call”, “Call”, “Shelf Ready”, or “Provisional” will not be part of the STIP. If a project does not have a DES number and needs to be tracked in the STIP then it needs to have a DES number. INDOT cannot track projects without a DES number. The tracking for the STIP is SPMS. SPMS requires a DES number. The normal processing to get a DES number could take a minimum of 45 days.)
- Project Managers and Program Managers check SPMS to make sure their projects are within the correct year and check the federal percent/match. When the new STIP is made it will check all the projects in SPMS and pull anything with the years 5-years. In the new STIP all projects will be reset with matching funds to 80/20 split.
- Project Managers and Program Managers check the new STIP to make sure items are correct. If there is an issue then contact the STIP Coordinator via email before February 28th. Corrections have to be made by March 15th because this is when the document goes public. Once the draft goes public then changes have to wait until July 1st.
 - Program Manager Check:
 - The information on the project is correct.
 - Make changes if needed to:
 - MPO area
 - Old projects maybe had a team member change.
 - location description
 - Make sure projects that should be in STIP. (IDIQ, UPWP, all active federal funded projects)
 - Make sure projects that should NOT be in STIP (i.e. Placeholders (PLC) meaning not approved for federal funded project, holding pots of money used for another DES, illustrative, eliminated, historical, suspended, local call, call, shelf-ready, or provisional).
 - The new STIP puts all projects and reset the funding to be 80/20 split. If there is a project that is (100% State funded projects and Safety 100% Federal funded projects or 90/10 split) then the Program Manager will make the federal funding percentage change.

In excel file of initial STIP. Column N is the district. It is recommended to filter only your district and Multiple Districts. And then going to column AB for Federal % and uncheck 80%. These projects are needed to be changed.

- Asset Team projects – check funding – the split that is different.
 - Interstate bridges – check funding – the split that is different.
 - For MPO Projects that in STIP need to make sure are in the MPO’s TIP.
 - Any new project created after the pull of the new STIP will not be automatically added. It can be added after the new STIP is effective on July 1. Please check and if the project is not included then the project will need to be amended.
 - Provisional – Capital Program Manager (make them active, make the pull, make them provisional?)
- Receive and review draft MPO TIPS and issue approval letters. This must be completed by 6/1 to be included in draft STIP submittal to FHWA/FTA.

March 2021 – INDOT, FHWA, and FTA complete review of the draft document. The document is published online on <http://www.in.gov/indot/3132.htm>

- INDOT Conducts district public meetings for STIP involvement
- Public comment period to satisfy public involvement process.
- Mid May – MPO are to have TIP submitted to INDOT for review. Indianapolis new TIP being approved by Policy Committee on May 24, 2017 meeting.

May-June 2021

- INDOT Planning Liaisons ensure the STIP projects match with the MPO’s TIP documents
- MPOs make final adjustments and submits their final TIPs for review and approval
- Governor letters are signed approval of MPO TIPs
- The State shall include each metropolitan TIP without change in the STIP, directly or by reference, after approval of the TIP by the MPO and the Governor
- STIP is revised and becomes the final STIP which is submitted to FHWA/FTA for review
- FHWA /FTA have 45-days to review draft STIP document.

July 2021- INDOT receives approval of STIP document from FHWA/FTA. Final approved STIP is published online.

General STIP Amendment Request Process

Responsible Party: STIP Program Manager and Multimodal Division Transit Section with coordination Technical Planning Section

ALL INDOT requests for MPO TIP/STIP amendments for state and local projects will be processed through in the STIP Program Manager.

1. For all INDOT sponsored projects (District or State), the INDOT Project Manager will complete the Amendment/Modification Spreadsheet and forward it to the MPO with a copy to The Technical Planning Liaison and the District Funds Manager. The MPO will process the request for amendment under its appropriate policies and procedures.
2. For all MPO sponsored projects, the MPO will process the request for amendment using its appropriate policies and procedures.
3. Upon completion of processing the amendment (local and/or state projects) request the MPO will complete the Amendment/Modification Spreadsheet, attach the appropriate signed

resolution(s) and forward to the designated **District Project** (State projects) with copies to the District Capital Program Manager.

4. The Designated Transportation Planner/will review and submit the Amendment/Modification Spreadsheet as a STIP request to the LPA Grants Administration Division, STIP Specialist for processing in the next STIP amendment, per the published STIP amendment schedule.
5. When FHWA approval has been received the STIP Specialist will send an email with the approval letter and copy of the approved amendment to all names on the STIP Amendment Distribution List.
6. SPMS log notes will be updated by the Project Manager with the latest TIP and STIP amendment information
7. Air Quality determinations have an effect on projects in the MTP, TIP, and STIP. Projects that are found to be non-exempt may not proceed to construction until an air quality conformity analysis has been reviewed and approved by the Interagency Consultation Group (ICG).

Expected Timeline:

Exempt and nonexempt project status is identified in the Interagency Consultation Group Guidance. Amendment process varies based on if the area has air quality sensitivity issues and the MPO's board meeting structure process. See Conformity Procedure Chart in **Appendix G-2**

Control Document(s): 23 CFR 450.324-330

INDOT's Change Management (CM) Process and 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). **Please note:** *INDOT can't change scope after authorized in FMIS.*
- Move of scheduled construction letting date
- Increase (or decrease) in cost
- 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.

General STIP Modification Request Process

Responsible Party: The STIP Program Manager

1. For local projects, the MPO will modify its TIP per its respective policy and procedures.
2. For state projects, the INDOT Project Manager will complete the Modification Spreadsheet and forward it to the MPO with a copy to the Program Manager and the Technical Planner for review and processing by the MPO. **(See Appendix H)**
3. The MPO will modify its TIP per its respective policy and procedures.
4. The MPO will notify the **Project Manager** when the modification is complete and submit the Amendment/Modification Spreadsheet.
5. The **Project Manager** reviews and forwards the Amendment/Modification spreadsheet to the STIP Program Manager.
6. When the modification is processed an email will be sent by the STIP Program Manager to all on the STIP Amendment Distribution list.
7. SPMS log notes will be updated by the Program Manager with the latest modification information

Control Document(s): 23 CFR 450.104, 23 CFR 450.216, 23 CFR 450.222, 23 CFR 450.326 and 23 CFR 450.328

Transit STIP Amendment Process

Responsible Party: STIP Program Manager and Multimodal Division Transit Section

All transit projects will be issued DES numbers for tracking purposes. All requests for MPO transit TIP/STIP amendments/modifications will be processed through the INDOT STIP Program Manager and designated Transit Section.

Process:

- 1) MPO submits a DES number request using MPO – Transit TIP/STIP Amendment/Modification Request Spreadsheet to the **Multimodal Transit Section**.
 - The INDOT Transit Office obtains DES number and returns completed spreadsheet with DES number to the **STIP Program Manager**.
 - The Transit Section returns completed request to MPO.
- 2) MPO Submits a MPO – Transit TIP/STIP Amendment/Modification Request Spreadsheet (not combined with highway projects) to **Transit Section and STIP Program Manager** for processing.
- 3) The STIP Program Manager forwards the Amendment/Modification Spreadsheet to the INDOT Transit Office for review. Following review by the Office of Transit the Amendment/Modification

Spreadsheet is transmitted to FTA for review and approval. If additional information is required for approval, the INDOT Office of Transit will contact the MPO.

- 4) When approval is received from FTA by the INDOT Office of Transit, copies of the approval document (spreadsheet & approval letter) are to be forwarded to all interested parties by the STIP Program Manager.
- 5) The STIP Program Manager also forwards copy of Transit TIP/STIP Amendment/Modification Spreadsheet and approval letter to the Transit Section for updating of project logs in SPMS, and transmittal to FHWA with administrative modifications and to MPO.

Recreational Trail Project STIP Amendment Process

Responsible Party: The LPA/MPO Grants Administrator, Michael Cales and Indiana Department of Natural Resources, Recreational Trails Projects (RTP) Coordinator (in coordination with the Technical Planning Section). All Department of Natural Resources (DNR) Recreational Trails Projects (RTP) will be issued DES numbers for tracking purposes. All requests for RTP TIP/STIP amendments/modifications will be processed through the INDOT RTP Program Manager, Mike Cales and the INDOT Project Manager.

Note: On June 29, 2020, INDOT notified FHWA of its intention to opt out of the Recreational Trails Program (RTP) program for Fiscal Year 2021. Instead, INDOT and IDNR will continue to partner and deliver a Recreational Trails Program with similar resources as in the past. The goal of the new program is to streamline the grant process using state funds to put more trail on the ground.

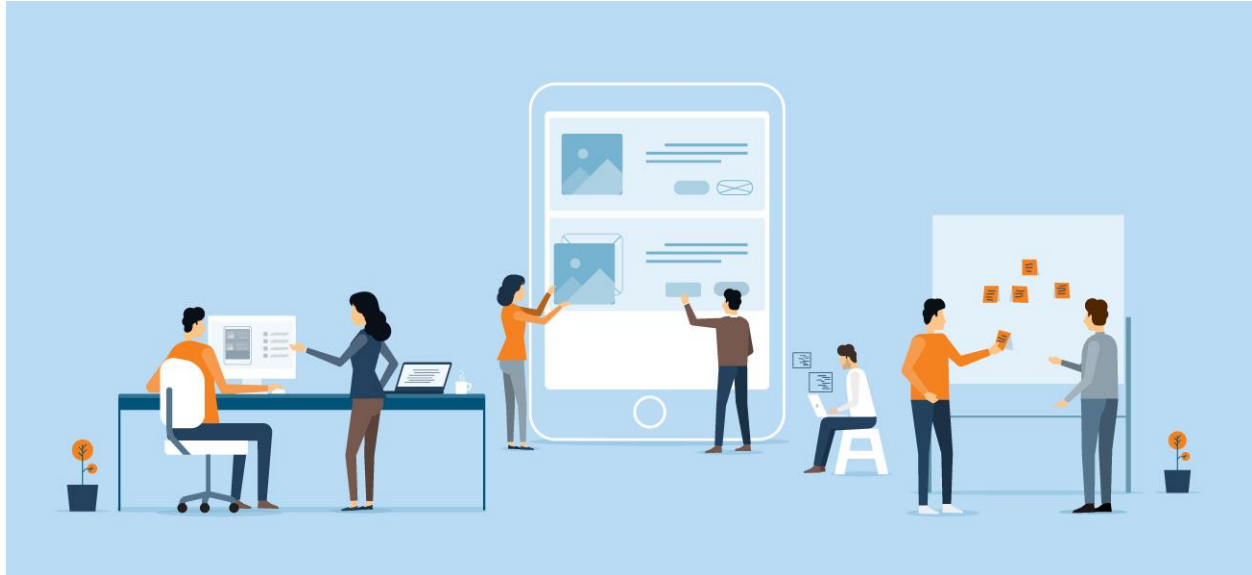
Starting in SFY 2021, DNR will replace the Recreational Trails Program (RTP). The new ITP program will be similar Indiana's existing RTP, including being administered by Department of Natural Resources Division of Outdoor Recreation. The main difference is that funds for ITP will now be state dollars rather than federal funds.

Similar to RTP, the funds for ITP will be passed from INDOT to the DNR to administer. ITP simply exchanges Indiana's normal allocation of federal RTP funds, which are based on a return of federal fuel tax for non-highway recreation, with available state funds through INDOT's Federal Fund Exchange program (Indiana Code 36-9-42.2).

For the Recreational Trails Program funded with FHWA funds through SFY 2020, the following applies:

1. DNR submits a DES# request using RTP TIP/STIP Amendment / Modification Request Spreadsheet to the designated INDOT RTP Coordinator. (NO CC COPIES ARE TO BE SENT) (**See Appendix H**)
2. The designated RTP Coordinator forwards request to STIP Specialist (Michael McNeil) for processing of TIP/STIP amendments.
3. MPO processes the amendment under the procedures described in section G (A-F, Amendment Request Process) for a state sponsored project.
4. When approval is received from FHWA by the RTP Coordinator, a copy of the spreadsheet & approval letter is forwarded to DNR by the INDOT RTP Coordinator.

MPO Transportation Improvement Programs (TIPs) Process



Responsible Party: STIP Coordinator and Multimodal Division Transit Section with coordination Technical Planning Section

Process:

- 1) INDOT STIP Coordinator sends fiscally constrained list of state projects to MPOs for their review, input, and coordination with INDOT and the MPO TIP
- 2) MPOs complete and submit copies of draft TIP to INDOT Technical Planning and Programming Division STIP Specialist, designated Transportation Planner, FHWA, FTA, and (when appropriate) the Interagency Consulting Group.
- 3) Designated Transportation Planner will distribute draft TIP with a 2-week review period. The designated Transportation Planner will coordinate with INDOT sections (Transit, Finance, District Office, Project Management, and other sections as warranted) for the review of the draft TIP.
- 4) Planning Liaison collates comments, inputs, or recommendations from INDOT sectional review. A maximum time needs to be added to INDOTs various review steps of MPO TIPs.
- 5) Planning Liaison consults with designated FHWA and FTA counterpart for any comments and/or inputs on the document.



- 6) Designated Transportation Planner communicates, discusses and resolves comments, inputs and recommendations with MPOs.
- 7) MPOs update draft TIP based on step (6) and send final TIP to Designated Transportation Planner.
- 8) The MPO Policy Board adopts a resolution and submits to INDOT, FHWA, and FTA with copies of the final TIP and requests formal conformity consultation and inclusion in STIP.
- 9) Designated Transportation Planner in coordination with the Technical Planning and Programming STIP Program Manager processes official letter of approval for MPO TIP to the Governor/INDOT Commissioner.
- 10) Designated Transportation Planner conveys Governor's approval letter of TIP to MPO
- 11) The Designated Transportation Planner communicates to the STIP Programming Manager and requests inclusion of MPO TIP into the STIP by reference.
 - a. When INDOT is not developing a new STIP: MPO resolution and TIP are submitted to FHWA as an amendment to STIP to include by reference, SPMS is updated with TIP/STIP information.
 - b. When INDOT is developing a new STIP: ALL MPO resolutions and TIPs being amended into their new STIP are submitted with the STIP for review and approval by FHWA, SPMS is updated with TIP/STIP information.
 - c. The MPO is notified of approval of TIP being incorporated into STIP by Designated Transportation Planner and/or the INDOT STIP Program Manager. In writing

Expected Timeline:

MPO TIP approval process to be completed no later than April 30th or as required to synchronize with the STIP development schedule/timeline; April 30th deadline should only be a target or goal dependent on individual MPO needs. The Indianapolis MPO doesn't generally follow INDOT's STIP development timeline.

Control Document(s): 23 CFR 450. 216; 23 *CFR* 450.324-330

The Transportation Alternatives Program (TAP)

Responsible Party: The LPA Grants Administration - Mike Cales

The Transportation Alternatives Program (TAP) was created by the Moving Ahead for Progress in the 21st Century Act (MAP-21), which was signed into law in July 2012. Under the FAST Act, TAP funding has been rolled into STBG under State Block Grant funding, including Transportation Enhancements, Recreational Trails, Safe Routes to School, and several other discretionary programs, wrapping them into a single funding source.

Eligible Project Sponsors

- Local government agencies
- Regional Transportation Authorities
- Transit agencies

- Department of Natural resource or public land agencies
- Other local or regional governmental entity with responsibility for oversight of transportation or recreational trails (other than a metropolitan planning organization or a State agency) that the State determines to be eligible, consistent with the goals of subsection (c) of section 213 of title 23.

ELIGIBLE ACTIVITIES

- Construction, planning, and design of on-road and off-road trail facilities for pedestrians, bicyclists, and other non-motorized forms of transportation.
- Construction, planning, and design of infrastructure-related projects and systems that will provide safe routes for non-drivers, including children, older adults, and individuals with disabilities to access daily needs.
- Conversion and use of abandoned railroad corridors for trails for pedestrians, bicyclists, or other non-motorized transportation users.
- Construction of turnouts, overlooks, and viewing areas.
- Community improvement activities, including inventory, control, or removal of outdoor advertising; historic preservation and rehabilitation of historic transportation facilities; vegetation management practices in transportation rights-of-way to improve roadway safety, prevent against invasive species, and provide erosion control; and archaeological activities relating to impacts from implementation of a transportation project eligible under 23 USC.
- Any environmental mitigation activity, including pollution prevention and pollution abatement activities and mitigation to address storm-water management, control, and water pollution prevention or abatement related to highway construction or due to highway runoff; or reduce vehicle-caused wildlife mortality or to restore and maintain connectivity among terrestrial or aquatic habitats.

Ineligible Activities

- General recreation and park facilities, playground equipment, sport fields, and campground picnic areas, and pavilions.
- Establishment of museums
- Routine asset maintenance and operations

Process Consideration for Transportation Alternative Program Annual Report

- TAP projects must follow the same transportation planning requirements as other Federal-aid highway program projects.
- In MPO areas, Transportation projects must be programmed in a MPO's Transportation Improvement Program (TIP) and the Statewide Transportation Improvement Program (STIP). In these areas, the MPO will be responsible for issuing a call for projects, establishing/implementing a competitive project selection process, and establishing a call project selection application form. Call schedules will vary for each MPO.
- In rural and small urban areas not covered by an MPO, INDOT's Local Program and Grants Administration Team will be responsible for issuing a call for projects, establishing/implementing a competitive project selection process, and establishing a call project selection application form. Selected projects must be included in the STIP.

Generalized Process for MPO and Non MPO (small urban and rural)

- 1) Eligible project sponsor must complete project application for submittal to the assigned LPA Grants Administration staffer (and MPO if in an MPO area) by the specified call deadline
- 2) The assigned LPA Grants Administration staffer will forward their recommendation to the assigned FHWA TAP Coordinator for final approval (after review comments and recommendation is received from MPO if project is in an MPO area.
- 3) The assigned LPA Grants Administration staffer will provide results back to the project sponsors (and MPO if in an MPO area)

Control Document(s):

- (23 U.S.C. 213(c)(4)(A))
- 23 CFR 450.104
- 23 U.S.C. 213(c)

FHWA's TAP Guidance https://www.fhwa.dot.gov/environment/transportation_alternatives/guidance

Incorporation of MPO information in Local Guidance Document

After consultation with our MPO partners, it was noted that the Local Guidance Document neglected to address any additional steps or considerations LPAs should make if they are working in an MPO area. This initiative is intended to incorporate those steps and considerations into the Local Guidance Document through a collaborative process with our MPO partners.

Lead: Brenda Fox

Quarterly Project Tracking

All MPOs are required to maintain an up-to-date record of the progress of a project through the development process until the project reaches a bid letting. MPOs should meet on a quarterly basis with their LPAs to discuss project status, resolve problems, and document changes to project timelines, phases, and costs. Included in the meetings should be a representative from INDOT District Project Management to coordinate changes in SPMS to assure project records are accurate.

As each MPO will follow a process unique to its needs, each MPO must be contacted for its specific process, schedule, forms to be submitted, ERC (Employee in Responsible Charge), and other information as required for accurate project development tracking.

Financial Project Tracking

All MPOs are responsible for monitoring the financial status of the LPA projects through the review and submission of the project status reports to INDOT Project Accounting. These reports should be consistent with the TIP. MPOs will also monitor their LPA project construction costs initiating with the construction letting through project close-out. MPOs will administer a Change Order Policy and submit updated project construction cost information to INDOT Project Accounting.



LPA Change Order Process

It is the responsibility of each Local Public Agency (LPA) to make sure that change orders have been provided to the MPO and that the MPO has signed off on the change order to assure that if additional federal funds are available to be added to the project, they can be utilized. The following procedure is a process to document the proper procedure has been followed to apply to the MPO for additional funding if available.

- At the time the LPA Project Engineer/Manager receives a change order request from the Project Manager/Contractor, the LPA shall contact the MPO to determine if federal funds are available within the amount programmed for the project in the Transportation Improvement Program (TIP). The MPO will inform the LPA if federal funds are available. If federal funds are not available, the LPA will be required to pay for the additional costs with local funds.

- The LPA will provide a completed copy of the change order form, the amount of federal funds and the amount of local matching funds being requested, to the MPO. The MPO will review, sign, and return the form to the LPA for signature of Commissioner(s), Mayor, or appropriate signature authority.
- The LPA will return the signed change order to the MPO. The MPO will forward the signed change order request with the corresponding project DES# to Project Accounting.
- It is the responsibility of the LPA to make sure the signed change orders are provided to the MPO and the MPO has signed off to assure that the needed amount of federal funds will be available for the project.
- It is the responsibility of the LPA to secure local matching funds from the local governing body as necessitated by the increase in federal funding.

Highway Safety Improvement Program (HSIP) Process



Responsible Party: INDOT Traffic Safety Office (in coordination with MPOs, locals, law enforcement agencies, and FHWA) and Transportation Planning Section.

- The HSIP is a "core" funding program under the federal transportation funding legislation FAST ACT. The HSIP is designed to fund projects that reduce the number and severity of highway-related crashes and to decrease the potential for crashes on all highways.
- Each MPO shall submit project(s) for HSIP funding to the designated Transportation Planner HSIP Safety Committee for review and approval following the guidance contained in the Highway Safety Improvement Program Local Project Selection Guidance.
- **Expected Timeline:** *Under development*

- **Control Document(s):** 23 CFR 148; 23 CFR Part 924 (*Highway Safety Improvement Program*); 49 U.S.C. § 202 (*Railroad Crossing Safety*); Per 23 U.S.C. § 402 (*Highway Safety Plan*); 49 CFR 350 (*Commercial Vehicle Enforcement*)
- The current guide for is HSIP Local Program Selection is located at: <http://www.in.gov/indot/files/LocalHSIPProjectSelectionGuidance.pdf>.

INDOT Congestion Mitigation & Air Quality (CMAQ) Program

Responsible Party: Technical Planning (in coordination with LPA Grants Administration), INDOT Transit Manager, MPOs, and applicable RPOs.

CMAQ Eligibility Process

The Congestion Mitigation and Air Quality (CMAQ) Program was created to support two important goals: improving air quality and relieving congestion. Fixing America's Surface Transportation Act (FAST ACT) establishes priority consideration be given to cost effective emission reduction and congestion mitigation activities. To meet these goals and federal requirements, the following process is used by INDOT, our MPO, and RPO planning partners.

INDOT, MPOs, and RPOs agree to coordinate the review of proposed CMAQ projects and programs with Federal Highway Administration (FHWA), Federal Transit Administration (FTA), Indiana Department of Environmental Management (IDEM), and United State Environmental Protection Agency (EPA).

MACOG, on behalf of the Indiana MPO Council will be the gatekeepers of CMAQ eligible activity needs. They will provide/maintain an FTP site, standard forms, and contact information/ databases; they will also house completed applications and facilitate various stages of the eligibility review process. Each stakeholder will review the information provided and provide written comments to ensure projects meet requirements for CMAQ funds.

The project selection processes are to be transparent, in writing, and publicly available. Processes should identify the agencies involved in rating proposed projects, clarify how projects are rated, and name the committee or group responsible for making the final recommendation to the MPO board or other approving body. The basis for rating projects including emissions benefits, cost effectiveness, and project readiness, should also be included. INDOT and MPOs will post their CMAQ Project Selection Process on their respective websites so the application process is transparent to applicants and the public.

To be considered, each MPO and RPO will submit three elements for their CMAQ programs:

1. A project application (for CMAQ Application Form and supporting forms for Diesel Retrofit and Repower, Fuel Station, and Hybrid and Electric Vehicle projects) for each project that is proposed to use CMAQ funding (these forms were developed by the Indiana MPO Council)
2. A project selection process used by the MPO to rank CMAQ projects (INDOT Technical Planning Staff can assist applicable RPOs in the effort as needed)
3. A list of CMAQ funded projects currently in the Transportation Improvement Program (TIP)

Process:

1. INDOT, the MPO Council, & applicable RPO Directors will agree annually upon a schedule for CMAQ Project Coordination for the upcoming year or TIP/Statewide Transportation Improvement Program (STIP) cycle. Each agency is responsible for providing an updated e-mail contact address for this process by September 1st each year. The updated e-mail contact addressee should be sent to macogdir@macog.com SUBJECT LINE: CMAQ Contact E-mail Address Your Agency (Example: CMAQ Contact E-mail Address for Evansville MPO).
2. MACOG, will send an e-mail notice to the agencies (INDOT, IDEM, FHWA, FTA, and EPA) to notify them of the agreed upon schedule.
3. Each MPO and INDOT will post their proposed CMAQ project applications, current CMAQ Project Selection Processes, and CMAQ Projects in Current TIP on the MPO Council FTP site at ftp.indianampo.com. MACOG will provide usernames and passwords.
4. If a procurement process does not currently exist to implement a proposed project, then the project application will not be approved for CMAQ funds.
5. If an MPO or RPO proposes to use “In-Kind Match,” this must be detailed in the project application and approved as part of the project review process.
6. The project sponsor must be a local public agency (LPA) with transportation responsibility in accordance with *Indiana Code (IC 36-9-2)*.
7. MACOG will send an e-mail notice to the agencies that the CMAQ application deadline has expired. The notice will list the CMAQ Applications, by MPO area, that have been posted for agency review and comment and list the following summary information:

#	MPO Area	Project Description	CMAQ Amount	Fiscal Year	VOC \$/kg (day)	CO \$/kg (day)	NOx \$/kg (day)	PM2.5 \$/kg (year)	NOx \$/kg (year)
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- a. Agencies will have 10 business days to access the Indiana MPO Council FTP site and complete their reviews. The review should focus on both eligibility and cost-effectiveness.
- b. Each agency will forward their comments to everyone on the distribution list with the SUBJECT LINE: MPO Name - CMAQ Comments – Agency Name (Example: Evansville MPO CMAQ Comments – R-5 EPA) by a given deadline.
- c. Each MPO (or INDOT if the comment is directed at an INDOT CMAQ application) will “reply to all” and respond to agency comments with a SUBJECT LINE: MPO Name – Responses to CMAQ Comments that relate to their projects by a given deadline.
- d. If an agency requests an updated CMAQ application it must do so by e-mail to the MPO with SUBJECT LINE: MPO Name – Re-file CMAQ Application within the comment timeframe listed above (item 3). The MPO (or INDOT if INDOT CMAQ Application) will post the updated CMAQ application on the MPO Council FTP site if changes or clarifications are needed.

- e. Each individual MPO will be responsible for sending a broadcast e-mail to all agencies once the updated CMAQ project is Re-filed with the SUBJECT LINE: MPO Name – Re-filed CMAQ Project Name Posted.
8. A CMAQ Eligibility Conference Call will be held within 25 days of the start of the review process (if needed). Each MPO will be given an estimated time for their review and will be responsible for signing into the call. During the conference call, each MPO (or INDOT if INDOT CMAQ proposal) will step down through each of their CMAQ applications to address agency concern. Each MPO will also be responsible for taking accurate minutes of their portion of the meeting.
9. Each federal and state agency will have 5 days after the conference call to provide written comment to each MPO for inclusion with the minutes. If an agency has concerns, they must be addressed, then the MPO will clearly document that in the minutes. These minutes must be forwarded to all agencies within 10 business days of the conference call with SUBJECT LINE: MPO Name – Draft CMAQ Minutes. If comments from agencies are not received, this will be highlighted in the draft minutes. Projects will not be advanced without written concurrence from each federal and state agency.
10. Each MPO will send a final version of their portion of the meeting to all agencies with the SUBJECT LINE: MPO Name – Final Month Year CMAQ Minutes. A copy will also be sent to the MACOG at macogdir@macog.com.
11. For each MPO area, if everything is in order, the INDOT Central Office CMAQ Coordinator or their appointed support designee will submit a letter to FHWA requesting a formal CMAQ eligibility finding. The MPO and the INDOT District LPA Coordinator will be copied on the letter.
12. If everything is in order, the appropriate FHWA planning/environmental specialist will initiate the formal CMAQ eligibility determination with FTA. Once the eligibility letter is signed by both FTA and FHWA, then the FHWA planning/environmental specialist will notify the INDOT and MPO of the eligibility finding. Copies will be distributed electronically to INDOT Central Office and the appropriate District within 10 days. This letter will be provided to the MPO and all parties via e-mail with the SUBJECT LINE: MPO Name CMAQ Month Year Review Letter. Once the letter from FHWA is received, a project can be programmed in the TIP and STIP for CMAQ dollars. FHWA will also post the eligibility finding letter on the MPO FTP website.
13. On an annual basis, the CMAQ report will be completed as detailed in Appendix 2 to this process.

Expected Timeline:

This process is to be completed every 6-months. Annual coordination schedules and timelines will be developed in agreement with MPO and RPOs.

Control Document(s): *Indiana Code (IC 36-9-2).*

Annual CMAQ Program Reporting Process

INDOT Technical Planning Section participates in the Interagency Air Quality Conformity Consultation Group along with IDEM, EPA, FHWA and the MPO. The group also participates in the congestion

mitigation and identifying of CMAQ improvements. INDOT will coordinate the development and quality assurance of the Annual CMAQ Report that must be submitted on-line to FHWA and be approved by the Indiana Division by March 1st each year, to report emissions from all CMAQ projects that were authorized in the previous Fiscal Year.

Process:

NOTE – This process is under review. The likely process will be that the Technical Planning Section will work with the FHWA Division to compile the data and complete the entry for the annual report. The MPO will participate in quality control, helping to verify that their projects have been accounted for and that the appropriate emissions rates are submitted into the system.

1. INDOT CMAQ Coordinator will provide a list of all CMAQ projects that were authorized in FMIS during the previous Federal FY at the November MPO Air Quality Group Meeting. The INDOT Transit Manager will likewise provide a list of all CMAQ projects where FHWA transferred funds for grant management during the previous Federal FY at the November MPO Air Quality Group Meeting.
2. When there are new MPO staff submitting data, the MPO will confirm the name of the MPO staff that will need access rights to the FHWA Information System. The FHWA Air Quality/Environmental Specialist will work with these individuals to establish their User Profile and Access Control System (UPACS) user-id and password. The FHWA Air Quality/Environmental Specialist will host a conference call with these contracts to walk them through how to input the requisite information in the UPACS system during December.
3. Each MPO will be responsible for inputting the CMAQ emissions data for the projects in their respective MPO area by the end of January. INDOT CMAQ Coordinator will review the data and assure that the data is reasonable and complete and notify FHWA that the data has been entered and is ready for FHWA approval by mid-February.
4. FHWA will review the data in UPACS and if everything is in order, approve the data by March 1st.

Route Relinquishment Program - Road Transfer Process

Prior to 1976 INDOT abandoned roads to LPA's when new higher-level roads were constructed to take the place of old roadbeds. Since 1976, I.C. 8-23-4-2, 10, 11 and 12 has governed decisions and the process for the transfer of roads between highway systems. Indiana Law allows for only 12,000 miles of road in INDOT's system, so as new roads are built to supersede existing roads are continually analyzing possible transfers. LPA's may wish to improve a road to a different standard than INDOT might be planning and propose to take over or swap roads.

A road transfer may be proposed by either INDOT or an LPA; however, the law requires an Agreement between parties prior to transfer. Decisions regarding jurisdiction over roads may be based on:

- The relative importance of each highway to the State, County, City or Town and to our taxpayers to complete maintenance/improvements on these facilities to ensure safety and efficient movement of goods.

- Existing or future development and land use.
- The development of natural resources, industry, and agriculture.
- The safety, convenience, and efficiency movement of highway users.
- The financial capacity of the state to reconstruct, construct, and maintain the highways selected to desirable standards.

Road Transfer Types

There are four major road transfer types that INDOT might consider for proposal or require before new projects are approved for construction:

- Transfer of a superseded facility when a new alignment is constructed
- Transfer of an older state facility (i.e. low volume, no longer functions for state travel)
- Newly constructed local access, frontage, or connector road to be constructed in conjunction with a state construction project (these must be pre-negotiated in an agreement before letting a state project.)

Road Transfer Process

Responsible Party: District Technical Directors/INDOT Central Office Staff/LPA

In an effort to make the process equitable and consistent the following process must be followed for all road considered to transfer into or out of INDOT's system:

1. Transfer is identified in a project being developed or at the request of another party.
2. The District Director or designee must present a Road Transfer Proposal which lays out the idea or plan for transfer. The proposal must be pre-reviewed/discussed with the INDOT Executives and approved prior to formally moving forward.
3. The District may then begin their transfer analysis which involves identifying the limits of the transfer and all assets within those limits (bridges, signals etc.). District will work with central office planning primary contract for planning level/system connectivity impacts and coordination with locals and MPO partners as needed.
4. Financial Analysis is then prepared to reflect a 10-year cost to INDOT for improvement to the assets within those limits should it retain the road. This includes reviewing what is already programmed in SPMS and those items not in SPMS that would be funded within the 10-year period. These costs are then programmed into the financial analysis spreadsheet.
5. Central Office Finance/Capital Funds Management will provide for 10% Modified Internal Rate of Return (MIRR) (and possibly two other levels of MIRR on the spreadsheet); toll road credits for LPA projects already programmed in SPMS will be proposed as part of the transfer plan before any cash offer is determined.
6. This information will then be returned (with approval from INDOT Executives) for review by the Office of the Chief Financial Officer for final approval of a set of financial negotiating parameters.

7. Only the Commissioner or a designee of the commissioner has the authority to approve the negotiating parameters of a transfer or modification thereto and the authority to execute a transfer agreement on behalf of INDOT.
8. All approval information will be returned to the District Director and Technical Services Director to begin negotiation
9. INDOT District Deputy Commissioner or authorized staff negotiates the road transfer agreement with the local government agency.
10. Once terms are negotiated with the LPA, the District will provide all transfer information to include road, jurisdiction, limits (RP's and general description) and all terms agreed to by the parties. An Exhibit or plan sheets should be prepared for a visual of the transfer limits. Agreement will provide for an end date that SMFR funds must be used by for those projects already programmed by the LPA in SPMS and any other payment terms making date clear. This agreement should also provide that INDOT will send a certified letter with the date and time of transfer (depends on immediate date or date when future work is to be complete).
11. District will obtain signatures from the LPA and return the agreement to Contract Administration for state execution, recording and filing. A copy of the agreement should be sent to the LPA when received from Contract Administration
12. District will monitor to see that all terms of the agreement including projects and/or payments are complete. (NOTE: a road may transfer before some terms are completed except when the transfer results from a future INDOT project.)
13. Transfer is only formal when a District Director signs a transfer letter providing a date and time of transfer to the LPA. This letter should provide at least a two week notice of transfer to the accepting agency such that signs and inventories may be updated at both the state and LPA levels.
14. A copy of this transfer letter should be sent to Records and Director of Central Office Primary Planning Contact to ensure that all systems, maps and staff are notified to cease work on the transferred roads as of the date of transfer.

Expected Timeline: Road Transfers are performed as identified or proposed. The timeline for the processing varies depending on size, scope, number of municipalities involved and negotiation issues.

Control Document(s): *Indiana Code 8-23-4-2, 10, 11 & 12, occasionally surrenders management and maintenance of state highway facilities through our Road Transfer Process by Agreement.*

Note: *Existing local roads merely improved at their junction with an INDOT project do not require transfer but rather revert to the LPA when INDOT work is complete.*

All highway right of way is public right-of-way, maintenance and improvement jurisdiction are determined by who claims the road in inventory for MVH and LRS funds—not by who holds title to the r/w. Right-of-way determined to be no longer needed by a highway agency for future improvement and wishing to be sold must first be approved by the original purchasing agency for sale, then surveyed and appraised. Federal funds (if used for original purchase) must be paid back to a federal funding pot for re-use on a federal project.

Section 6: Data Collection & Technical Analysis Coordination



Certified Traffic Forecasting Process

Responsible Party: Asset Planning, Transportation Planning Section Engineer and MPO Forecast Technician with occasional support from consultant contracts for complex traffic forecasting and traffic balancing requests.

Certified Traffic Forecasting involves the following key elements:

1. Districts and Central Office Project Managers/Engineers (requestors) submit traffic forecast requests of INDOT's proposed projects by accessing the INDOT Technical Application Pathway (ITAP) through INDOT's intranet homepage <https://itap.indot.in.gov/>.
2. Traffic forecast requests and project map locations are reviewed to determine type of the traffic forecast request. Traffic forecast requests are classified as "Minor", "ESAL", or "Special" based on the type-of-work of the project improvement.
3. In order to develop traffic forecasts, count station reports and the Annual Averaged Daily Traffic (AADT) must be obtained from the Traffic Statistics Section, and if the location is in an MPA Regional Planning Area, the respective MPO and RPA.
4. Division Engineer develops "Special" traffic forecast requests which includes balancing and forecasting turning movements at intersections. These activities are conducted in consultation with the MPO and RPO where applicable.

5. Outside consultants may be contacted, if deemed necessary, to balance turning movements at major and multiple intersections, forecast traffic at each intersection, and develop forecasting reports.
6. The modeling assistant develops the following traffic forecasts for “Minor” and “ESAL” requests:
 - AADT for base-year, construction year, intermediate year, and design year
 - Design Hour Volume (DHV) Percentage
 - AADT Commercial Percentage
 - Design hour Commercial Percentage
 - Peak Hour
 - Positive Directional Distribution Percentage
 - Averaged per-year growth (PYG) rate.
7. Based on the location of the project on a corridor in an MPO or RPO area, if a developed averaged PYG is determined to be inaccurate, the forecast engineer and/or assistant modeler will coordinate efforts with the MPO and/or INDOT Modeling personnel to determine the correct traffic growth rate.
8. Complete traffic forecasts are uploaded into the Oracle database and transferred to ITAP.
9. Requestors receive an automated e-mail notification of the submitted traffic forecasts from INDOT’s ERMS administration.

Expected Timeline: Traffic forecasts are developed on as-needed basis. Each forecast takes approximately ½ to 1 hour to complete depending on the type and complexity of the request.

Control Document(s): No control documents at this point.

INDOT/MPO Air Quality Conformity Analysis Coordination Process

Responsible Party: The Technical Planning and the Technical Modeling Sections

Process:

For MPO Non-Attainment and Maintenance Areas

1. The INDOT Planning Liaison, Technical Modeling staff, LPA and District staff participate in the Interagency Air Quality Conformity Consultation Group (ICG) along with IDEM, EPA, FHWA, FTA, transit operator and MPO.
2. INDOT Planning Liaison reviews the MPO’s list of regional significant projects for air quality analysis and compares with the fiscally constrained capital program major added capacity projects.

3. The Planning Liaison coordinates with INDOT’s Asset Management and Program Development Teams for consideration of any potential changes to state jurisdiction improvements in the designated non-attainment or maintenance area.
4. The Planning Liaison communicates; discusses and resolves issues; and comments on behalf of INDOT.
5. The Planning Liaison coordinates with the appropriate MPO and LPA, & Grants Administration Team providing technical assistance as needed. MPO-specific compliance requirements such as congestion mitigation process, public participation plan, and board approval may impose additional timeline requirements depending on complexity and MPO setup.
6. The Planning Liaison will provide necessary technical support to MPO partners as needed.

For Rural, Non-MPO Non-Attainment or Maintenance Areas

1. The INDOT Technical Planning Section’s Planning Liaison and Technical Modeling staff participates in the Interagency Air Quality Conformity Consultation Group along with IDEM, EPA, FHWA and the RPO.
2. INDOT Planning Liaison reviews the list of regional significant projects for air quality analysis and compares with the fiscally constrained capital program major added capacity projects.
3. The Technical Modeling Team coordinates with INDOT’s Asset Management and Project Development Teams for consideration of any potential changes to state jurisdiction improvements.
4. The Planning Liaison coordinates with the appropriate RPO providing technical assistance as needed.
5. The Technical Modeling Team coordinates with interagency groups providing project information and performs all emissions analysis for review and comment.
6. Once the emission analysis is approved, the technical modeling team coordinates with the designated Technical Planner. The Technical Planner will be responsible for contacting the project manager to continue moving forward with the project development activities.

In November, 2018 the Environmental Protection Agency (EPA) published Transportation Conformity Guidance for the South Coast II Court Decision. In its decision, the court discussed transportation conformity-related aspects of its decision for “orphan” nonattainment and maintenance areas for the 1997 ozone NAAQS as follows:

- *Orphan maintenance areas* were defined in the court decision as areas that were maintenance areas for the 1997 ozone NAAQS at the time of its revocation (80 FR 12264, March 6, 2015) and were designated attainment for the 2008 ozone NAAQS in EPA’s original designations for this NAAQS (77 FR 30160, May 21, 2012). Table 2-1 lists the 63 complete orphan maintenance areas.
- *Orphan nonattainment areas* were defined in the court decision as areas that were designated as nonattainment for the 1997 ozone NAAQS at the time of its revocation (80 FR 12264, March 6, 2015) and were designated attainment for the 2008 ozone NAAQS in EPA’s original designations rule for this NAAQS (77 FR 30160, May 21, 2012). Table 2-2 lists the 9 complete orphan nonattainment areas.

Transportation conformity for the 1997 ozone NAAQS will again apply in orphan areas as of February 16, 2019.

Beginning February 16, 2019, a transportation conformity determination for the 1997 ozone NAAQS will be needed in orphan areas for the following transportation activities:

- a new or amended metropolitan transportation plan or TIP (per 40 CFR 93.104(b) and (c));¹⁰
- a new non-exempt Federal Highway Administration/Federal Transit Administration (FHWA/FTA) project (per 40 CFR 93.104(d));¹¹
- a non-exempt FHWA/FTA project where conformity needs to be redetermined as described in 40 CFR 93.104(d), e.g., as a result of a significant change in the project's design concept and scope.

While conformity continues to apply, no regional emissions analysis is required in orphan areas, there is no requirement to use the latest emissions model (40 CFR 93.111), or use either the emissions budget test or interim emissions test (40 CFR 93.118 and 93.119).

There are twenty-four Indiana Counties that are subject to the South Coast II Decision.

Expected Timeline:

MPO Air Quality Conformity Analysis Coordination process is conducted periodically throughout the year as determined by transportation plan updates, plan/TIP amendments, and changes to the State Implementation Plan (SIP) budgets. MPO air quality conformity analysis may require public involvement, congestion mitigation process analysis, and approval from the Policy Board. Analysis and final approval can range between 30-180 days, depending on complexity and setup. Analysis for rural areas can take between 30-45 days on average.

Control Document(s): *40 CFR 93 of the Clean Air Act and per the ICG Consultation Guidance issued August 23, 2007.*

Traffic Data Collection Program

Coverage Count Program Process

Responsible Party: INDOT Traffic Statistics Field Technicians; MPO and RPO traffic counting partners; contracted consultants; and INDOT Traffic Statistics Data Processors

The coverage count program consists of counts spread across a three-year counting cycle. Each traffic count is of a 48-hour duration and is repeated once every three years. INDOT uses the service of internal staff; select MPOs, select RPOs, and consultants to carry out this program. The INDOT Traffic Statistics Section is responsible for ensuring all traffic count technicians (INDOT staff, MPOs, RPOs, and contracted consultants) that are collecting data for routes and equipment are certified annually.

Annual Training and Certification Procedures

The objective of a traffic monitoring program is to provide good quality traffic information to support the future decisions of an agency. The information obtained from the traffic monitoring program is only as good as the quality assurance of the personnel, the equipment, and the traffic count data. The documenting of methodology and procedures of the various components of the traffic monitoring program can provide an avenue for facilitating training, reviewing performance, and identifying opportunities that can lead to corrective action when necessary.

INDOT Traffic Statistics Section provides certification training to all parties annually. Training will be held in 3-areas (northern, central, and southern regions) of the state from late February to March. The Traffic Statistics Section provides certification training year-round as needed for new hires. This involves safety and equipment training, count deployment, written tests, and hands-on observation test. There are two certification tracks:

- Full Certification – 2-day training that will expose the technician to the traffic monitoring program, federal requirements, safety training, equipment training, traffic count deployment scenarios/methods, a written test, followed by a hands-on observation test.
- Re-Certification – ½ day refresher course that will discuss in general new technology, methods, and safety. There's a written and hands-on observation testing. Every 3-4 years, all technicians will have to take the full certification.

Annual Equipment Calibration/Certification Procedures

Traffic monitoring equipment is another critical component of a successful program. All equipment must be properly functioning and personnel must have a good working knowledge of the equipment to ensure valid data. Performance standards should be established to address factors such as equipment tolerances and failure rates and equipment down time durations to assist in determining availability and scheduling of equipment. Testing schedules should be established to ensure all equipment is operating properly.

INDOT's TSS Team is responsible for ensuring all count equipment used for the coverage count program is certified annually. The TSS Team calibrates all INDOT equipment and ensure count equipment from our count partners are calibrated and certified. Traffic count partners are required to submit to INDOT their equipment calibration procedures; a listing of count devices that have been certified/calibrated; and



must keep on file calibration and certification reports from each of the devices to be submitted upon request from INDOT or FHWA audits.

Equipment Calibration Standards:

- Within ± 10 percent of a portable (road tube) automatic count
- Within ± 2 percent of a permanent (inductive loop sensor) automatic count
- Within ± 10 percent of a vehicle classifier automatic count
- Within ± 15 percent of a weigh-in-motion GVW automatic count.

General Data Collection Procedures (Still Under Development)

1. The TSS will work with our count partners to determine a 3-year count program for state and non-state owned routes. By March of each year, the TSS will provide count partners the location of counts to be collected for the entire count season.
2. Count technicians must plan counts to their agency for the month as directed.
3. Count Technicians are responsible for following their agency's safety and traffic control policy for traffic data collection. INDOT has a traffic control handbook, with specific language for traffic counting activities that must be adhered to. This book can be found on INDOT employee safety website: <http://intranet.indot.state.in.us/safety/>. These guidebooks follow OSHA and other DOT safety standards.
4. Traffic count devices are to be set Monday to Wednesday and retrieved after noon Wednesday-Friday.
5. Counts downloaded from retrieved devices are to be uploaded the INDOT Traffic Count Database Server each week. Counts can also be uploaded while in the field daily if equipment is available.
6. Submitted data will be QC/QA automatically. Immediate feedback will be provided to the submitter to determine if the data meets all checks. If data does not meet all checks the technician will be responsible for correcting the issue and resubmitting data
7. Any recounts from the consultant need to be coordinated with INDOT TSS Supervisor with a reasonable explanation. Recounts will be tracked.

Continuous Count Program Process

Responsible Party: INDOT Traffic Statistics Central Office Data Processors and Traffic Management Center.

The continuous count program consists of stations which are being counted hourly every day of the year. The INDOT Traffic Management Center (TMC) is responsible for the maintenance and upkeep of these devices. INDOT Traffic Statistics CO Data Processors are responsible for polling these devices weekly to upload and process incoming traffic data. The data is then checked for errors, processed, and used for monthly and annual submittals to FHWA

Permanent Site Polling Process:

1. TSS assigned Data Processor will poll each continuous site location weekly using an overnight routine.
2. The DP will review the uploaded data and check errors, missing data, non-reporting sites. If all sites report satisfactory, go to **process #5**
3. The DP will assess problem devices and perform routine troubleshooting skills. If deemed a problem that have not been corrected the DP will need to contact the TMC to have the site reset or a field visit by the electrical technician for repairs
4. If the site cannot be fixed within 1-week, the TMC will notify the DP of further action and timelines.
5. If the site is down for more than 2-weeks, the DP will be notified and the site will not be used for the current month VMT report

Only correctly working sites will be used to develop monthly reports **Monthly Report Process** (Under Development)

The TSS is responsible for the development of monthly TSS reports that are submitted to FHWA as part of federal requirements. The TSS reports are also forwarded internally to Executive Office, Traffic Management Staff, Division Directors, and Finance. Reports are to be supplied by the 15th of each month.

Adjustment Factor Process (Under Development)

Data from the continuous count devices are used to develop adjustment factors that are then used to develop annual AADT, ADT, and seasonal variation adjustment factors by functional classification. This activity occurs annually. However, INDOT TSS is implementing new technology and applications that will allow a rolling adjustment factor process.

Traffic Data Collection General Data Processing

Responsible Party: INDOT Traffic Statistics Section (TSS) Central Office Data Processors

The INDOT TSS is responsible for processing all collected traffic count data. This process includes QC/QA checks based on AASHTO and FHWA standards and is ongoing year-round. Once data passes all QC/QA checks, the data is available for use and distribution. The data is stored in INDOT's Traffic Count Database System (TCDS). The data is available online with detailed access for internal staff, MPOs, and RPOs, and limited access for the general public. The TSS will be responsible for the collection of all traffic count data: vehicle counts; turning movement counts, bike/non-motorized vehicles; and others.

Flow Map Procedures (Under Development)

On a regular basis, INDOT TSS develops a flow map based on an interactive, online application. The flow map provides traffic flow AADT for corridors throughout the state. Currently, flow map only shows data

on state jurisdictional facilities. The TSS is working with our MPO and RPO count partners to begin including non-state routes in the interactive flow maps. Map layers from the flow map can be downloaded into a standard ESRI shapefile format. Files are available from 2006-current. The flow map and downloadable files are available to the general public.

The Traffic Statistics Section makes vast amounts of data available to INDOT and the public through the Interactive Traffic Data Map. This web-based map tool allows users to view the traffic flow on Indiana roads, get additional details about the road or a traffic count and download detailed reports. The data displayed on the map is a GIS representation of the HPMS report. It is prepared by the Traffic Statistics Section and transmitted to the Management Information Systems section (MIS) for integration into the Web-based map. The traffic Statistics Section also prepares and transmits to MIS the detailed count reports that are available for download via the map. Traffic Statistics Section and MIS work together to identify and implement needed revisions and improvements to the map.

Traffic Count Database System (TCDS)

The TSS is responsible for maintaining the TCDS. Midwestern Software Solutions is the background application used as the basis for the TCDS. This TCDS is provided as an online web portal for direct data submittal from INDOT and our various count partners. The application is capable of receiving counts from various count devices including all short-term count devices and various permanent count devices (ATRS, WIMS, PCS, Radar, and modernized traffic signals). The software provides a one-stop shop for all traffic count data. INDOT TSS is working on incorporating a module to house all turning movement count data as well. For the process, please see the traffic data collection process listed in previous sections.

Online web portal for direct data submittal from INDOT and our many count partner staff from various counting equipment, variant collection methods, and software application is planned. No manipulation or tedious pre-processing procedures or external applications will be required to submit data to INDOT.

Economies of scale – MPOs, RPOs, districts, and consultants will no longer have to pre-process data, which allows them to focus on data collection only, therefore collecting more data. The data will be linked to the agency's data warehouse that will supply updated count information to various asset management and maintenance-operation systems; planning modeling tools; agency dashboards.

Section 7: State Planning & Research Program (SPR)

The Fixing America's Surface Transportation (FAST ACT) requires that States set aside 2 percent of the apportionments they receive from the Interstate Maintenance, National Highway System, Surface Transportation, Highway Bridge, Congestion Mitigation and Air Quality Improvement, and Equity Bonus programs for State planning and research activities. Of this amount, States must allocate 25 percent for research, development, and technology. These activities involve research on new areas of knowledge; adapting findings to practical applications by developing new technologies; and the transfer of these technologies, including the process of dissemination, demonstration, training, and adoption of innovations by users.

The State Planning and Research (SP&R) Program is intended to solve problems identified by state transportation agencies. State departments of transportation are encouraged to develop, establish, and implement research, development, and technology (RD&T) programs that anticipate and address transportation concerns before they become critical problems. Each State must develop, establish, and implement a program that ensures effective use of available SP&R funds for RD&T activities on a statewide basis, and each State is permitted to tailor its RD&T program to meet local needs. High priority is given to applied research on State or regional problems, transfer of technology from researcher to user, and research for setting standards and specifications. Major RD&T areas include infrastructure renewal (including pavement, structures, and asset management); activities relating to safety, operations, and management; environmental and real estate planning; and policy analysis and systems monitoring.

State departments of transportation are encouraged to include development and technology transfer programs to share the results of their own research efforts and promote the use of new technology. To promote effective use of available resources, State departments of transportation also are encouraged to cooperate with other States, the Federal Highway Administration, and other appropriate agencies to achieve RD&T objectives established at the national level and to develop a technology transfer program to promote and use those results. States are encouraged to pool their funds in cooperative research efforts as a means of addressing national and regional issues and as a means of leveraging funds. This includes contributing to cooperative RD&T programs such as the National Cooperative Highway Research Program, the Transportation Research Board, and transportation pooled fund studies

Currently, the Asset Management Division is responsible for only Part 1 of the work program. The division will continue to oversee the funding of business activities including enhancing geographic information systems, metropolitan and statewide planning, transportation data collection and traffic monitoring, air quality and Mobility Plan model development, as well as NEPA. The Department has developed some very important priorities which include the oversight of Inventory Data Collection, leverage models to support project assessment and strategic planning in project selection and long-range planning.

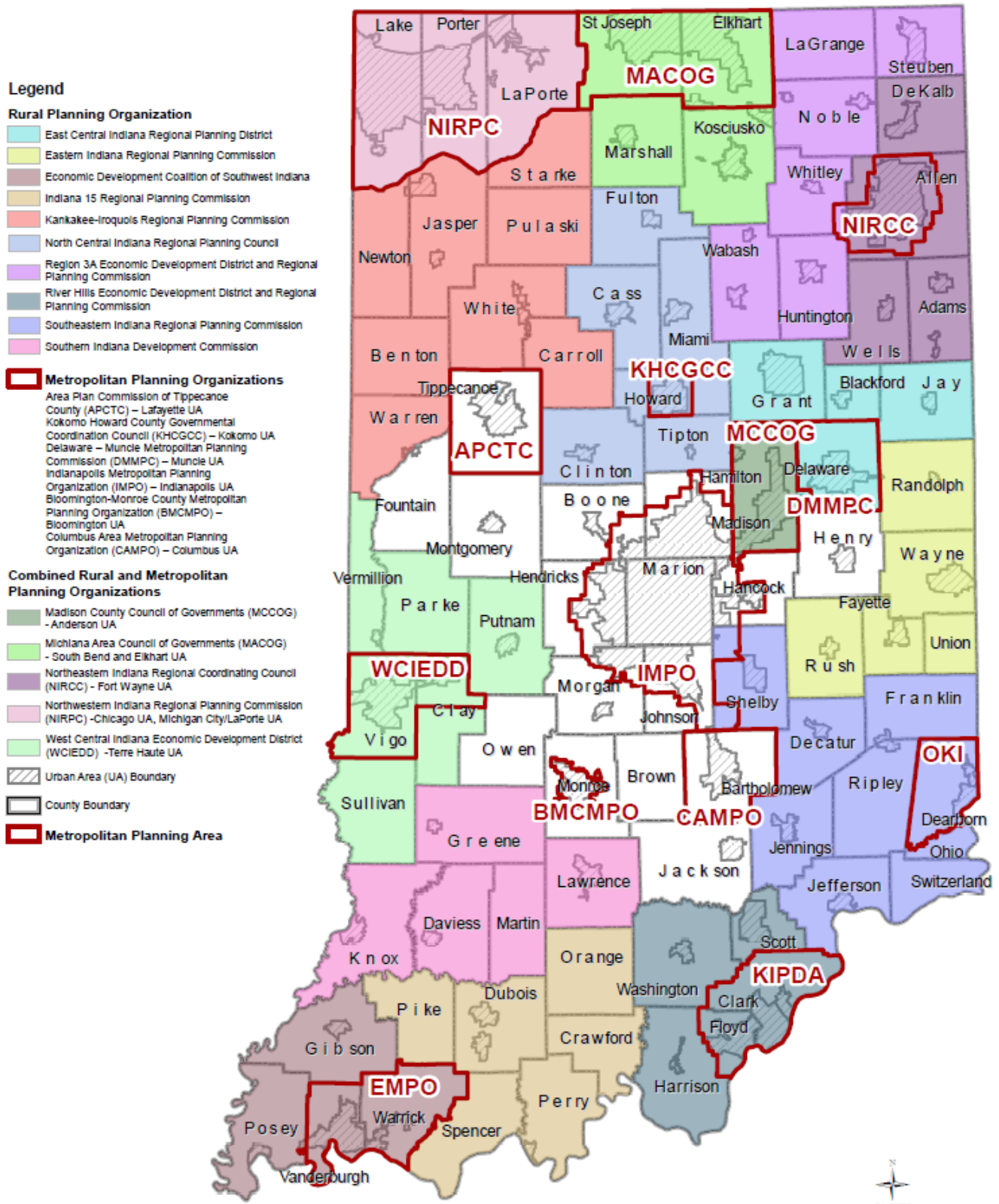
Control document: *23 CFR 420.*

Appendix A: Acronyms

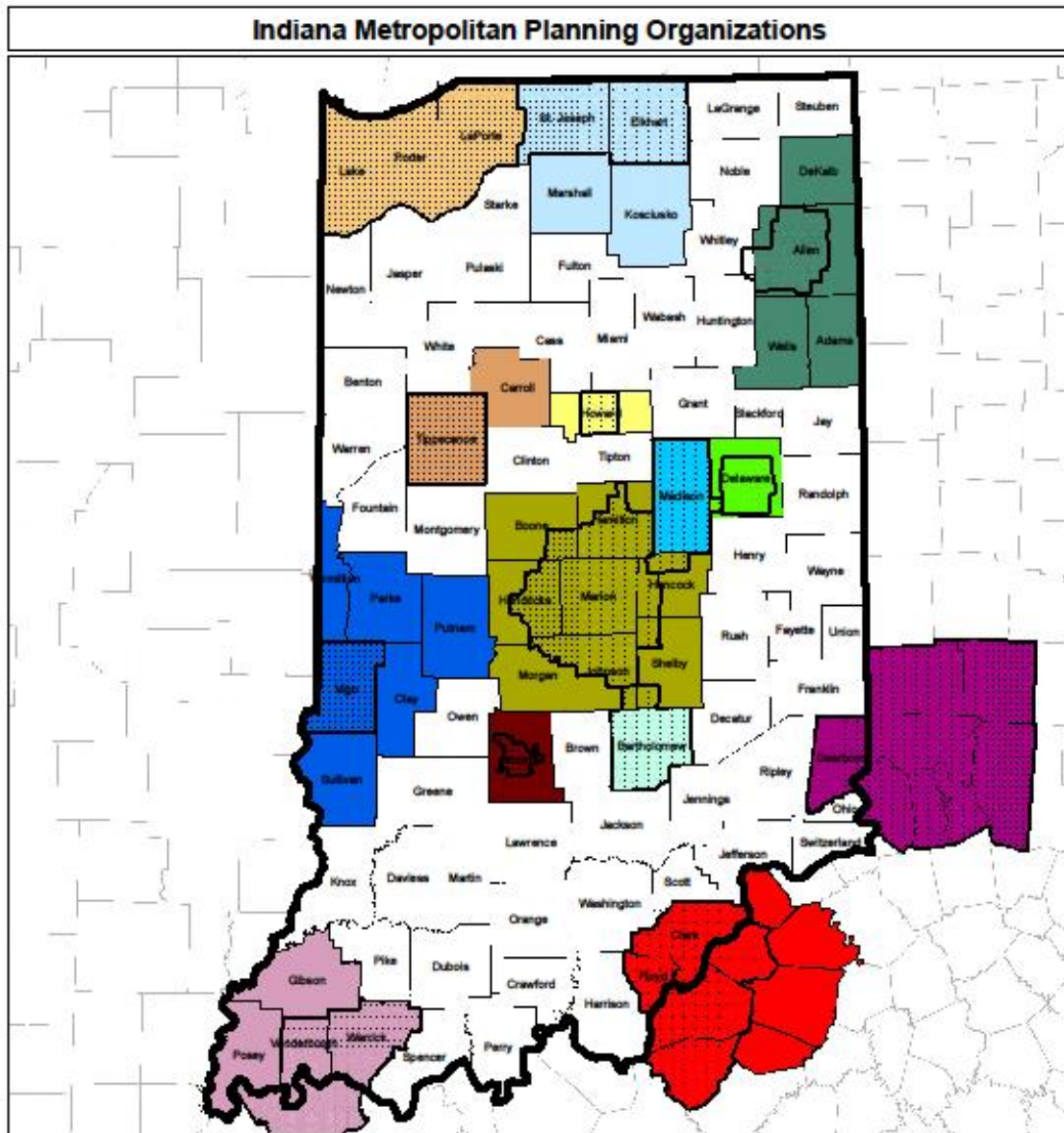
- 3-C's – Continuing, Cooperative, and Comprehensive
- AADT – Annual Average Daily Traffic
- ADA – Americans with Disabilities Act
- ADT – Average Daily Traffic
- ALOP – Annual Listing of Obligated Projects
- AM – Asset Management
- ATR -Automatic Traffic Recorder (Traffic Data in-Pavement Device)
- CO – Central Office (INDOT)
- CA – Contractual Agreements
- CAP – Cost Allocation Plan
- CFM – Capital Funds Manager
- CFR – Code of Federal Register
- CMAQ – Congestion Mitigation and Air Quality
- CPM – Cooperative Procedures Manual
- CPMD – Capital Program Management Director (INDOT District)
- CY – Calendar Year
- FAHP – Federal-Aid Highway Program
- FAST Act – Fixing America's Surface Transportation Act
- FFY – Financial Fiscal Year
- FY – Fiscal Year
- FHWA – Federal Highway Administration
- FMIS – Financial Management Information System
- FTA – Federal Transit Administration
- HPMS – Highway Performance Monitoring System
- HSIP – Highway Safety Improvement Program
- INDOT – Indiana Department of Transportation
- LPA – Local Public Agency
- LRP – Long Range Plan (Usually the State Plan)
- MAP-21 – Moving Ahead for Progress in the 21st Century Act
- MIRR - Modified Internal Rate of Return
- MIS – Management Information System (INDOT Information of Technology)
- MPO – Metropolitan Planning Organization
- MTP – Metropolitan Transportation Plan
- MPA – Metropolitan Planning Area
- MOA – Memorandum of Agreement
- NEPA -National Environmental Policy Act
- NOC – Notice of Closure
- NTP – Notice to Proceed

- PEA – Planning Emphasis Area
- PEL – Planning & Environmental Linkage
- PL – Planning (MPO funds type)
- PM - Project/Program Manager
- PO – Purchase Order
- PPM – Planning Procedures Manual
- QAR - Quality Assurance Review
- QASR – Quality Assurance Site Review
- RPO - Rural Planning Organization
- RTP – Regional Transportation Plan
- SAMP – Strategic Asset Management Plan (INDOT Strategic Plan)
- SPMS – Scheduling Project Management System
- SPR – State Planning & Research Project
- SOW – Statement of Work
- STBG – Surface Transportation Block Grant (Funding)
- STIP – State Transportation Improvement Program
- TAMP – Transportation Asset Management Plan
- TAP – Transportation Alternatives Program
- TCDS – Traffic Count Database System
- TE – Transportation Enhancements
- TEA -21 – Transportation Equity Act of the 21st Century
- TIP – Transportation Improvement Program
- TMA - Transportation Management Area
- TSS – Traffic Statistics Section
- TSD – Technical Services Director (INDOT District)
- UAB – Urban Area Boundary
- UPWP – Unified Planning Work Program (MPO)
- USC – United States Code
- VMT – Vehicle Miles Traveled
- WIM – Weight in Motion Site (in pavement sensor to identify overweight trucks)

Appendix B: RPO Planning Area



Appendix C: MPO Planning Area



This map shows the current MPOs and the counties represented.
 The white counties are counties where there is not an MPO.



Legend

Metropolitan Planning Area

MPOs & City

BMCMP - Bloomington	MACOG - South Bend/Elkhart
CAMPO - Columbus	MCOG - Anderson
DMMPC - Muncie	NIRPC - Northwest
EMPO - Evansville	NIRCC - Fort Wayne
KHCGCC - Kokomo	OKI - Cincinnati
KIPDA - Louisville	TCAPC - Lafayette
IMPO - Indianapolis	WCIEDD - Terre Haute

Appendix C-2: MPO Work Product Checklist

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

Monthly

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

Quarterly (or 2-3 months)

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

Annually

- Prepare and submit Annual Performance and Expenditure Report to INDOT Planning Liaison, provided to FHWA-IN and FTA Region 5 for informational purposes only
- Prepare and submit Annual Listing of Obligated Projects to the public on the MPO's website per federal regulation FHWA-IN and FTA Region 5
- Review Notice to Proceed received from INDOT
- Participate in joint meeting with INDOT and RPOs
- Collect and submit traffic counts to INDOT
- Issue calls for projects (e.g. TAP, Regional Plans, other discretionary funds)
- Participate in Quality Assurance Reviews (QARs)
- Adopt Safety (Performance Measure 1) targets, submit documentation and update MTP
- Prepare and submit annual Title VI Report to INDOT Title VI Coordinator, due October 1

Every 2 Years

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

Every 3 Years

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

Every 4 Years

- Prepare and submit Public Participation Plan, provided to FHWA-IN and FTA Region 5 for informational purposes only, for areas with nonattainment or maintenance designations for air quality
- Prepare and submit Metropolitan Transportation Plan (MTP), for approval by FHWA-IN and FTA Region 5, for areas with nonattainment or maintenance designations for air quality

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

Every 5 Years

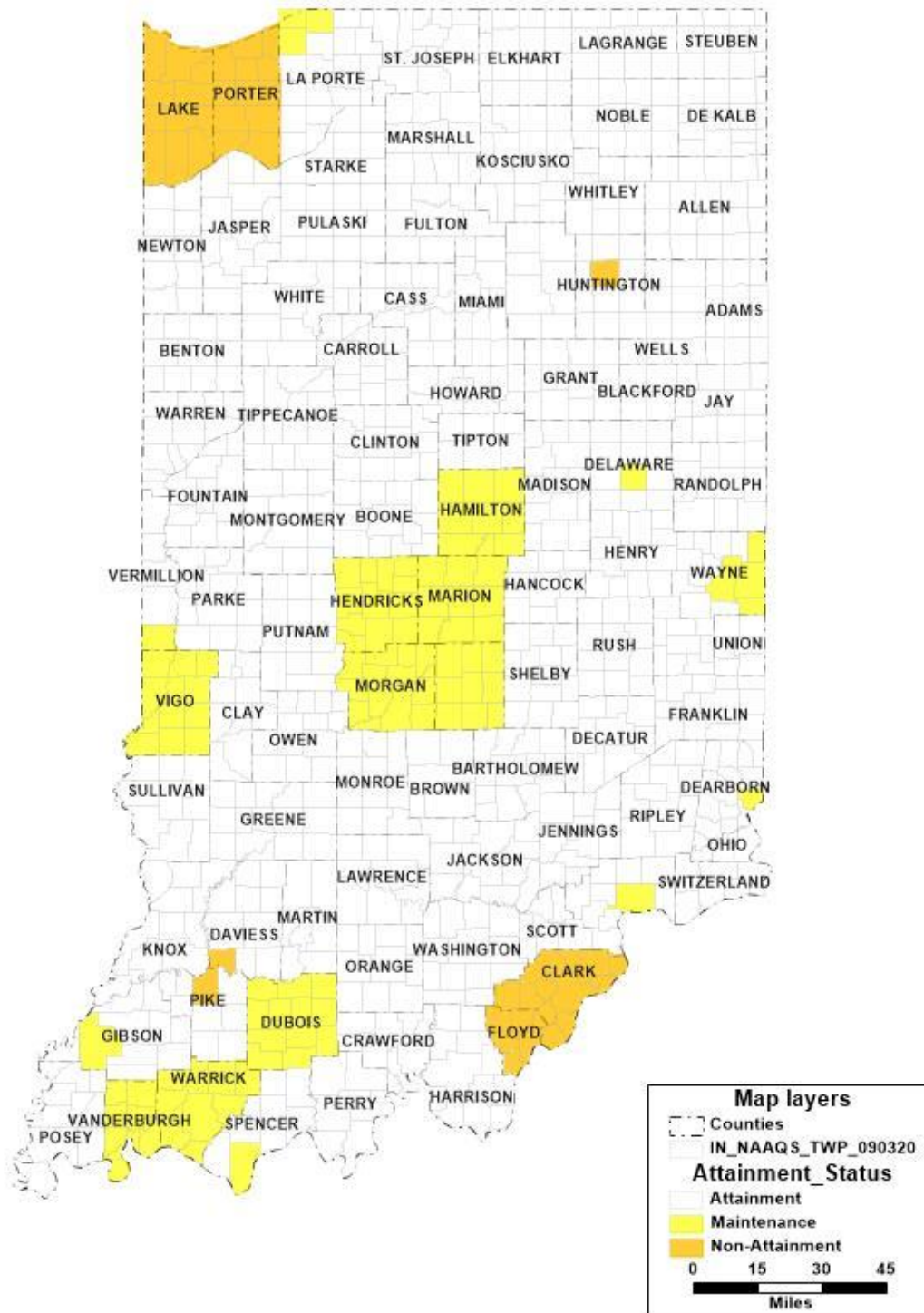
- Prepare and submit Metropolitan Transportation Plan (MTP), for approval by FHWA-IN and FTA Region 5 (within 5 years of adoption, unless MPO has nonattainment or maintenance designation for air quality)
- Review and update as necessary the Public Participation Plan (PPP), provided to FHWA-IN and FTA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

Ongoing and Other

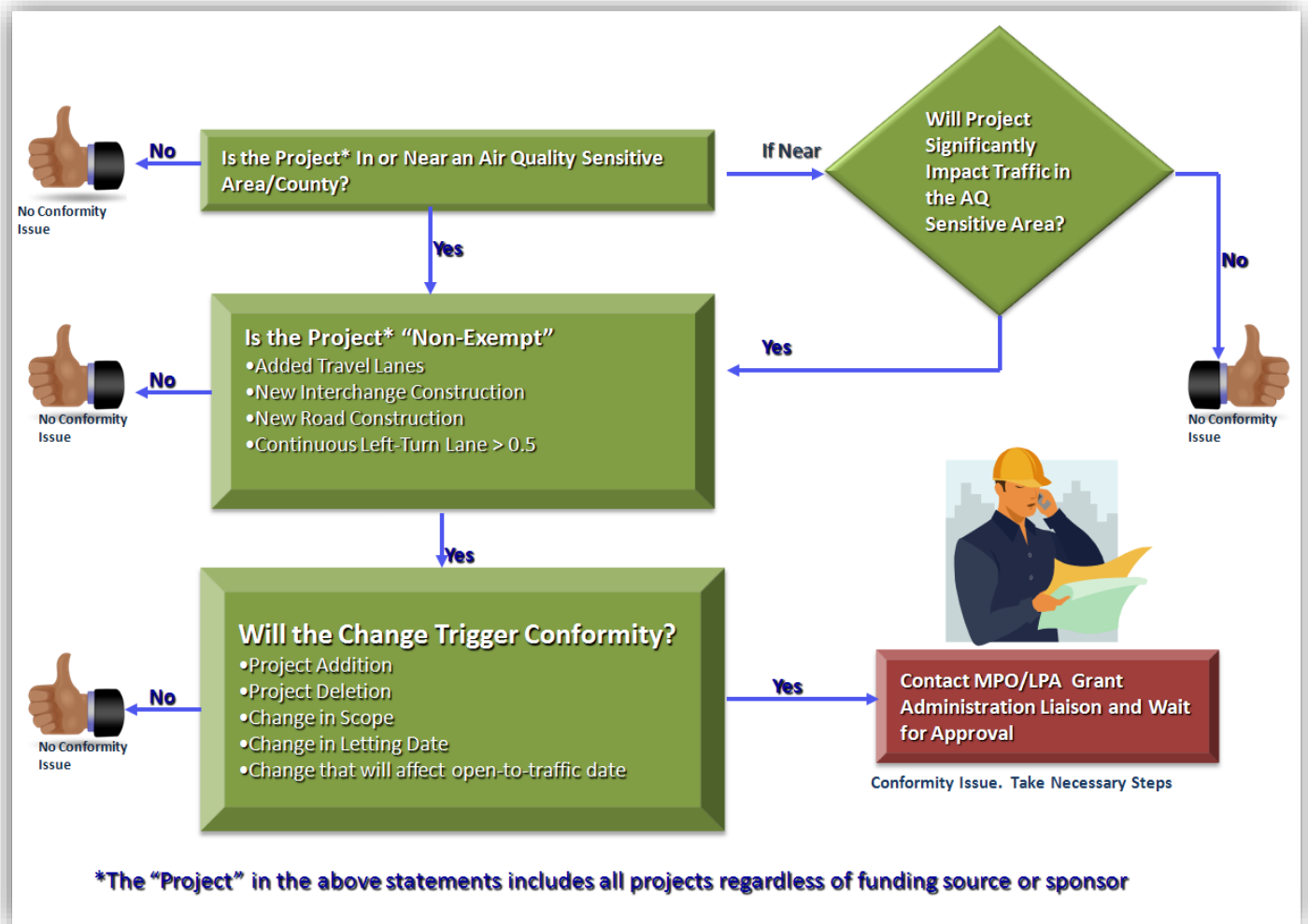
- Meet with INDOT Planning Liaison to discuss progress on the UPWP (as needed)
- Review and update as necessary with member governments, submit to INDOT Planning Liaison
- Functional classification if required other than after new census data
- Review and update as necessary bylaws

Appendix C-3: Indiana Air Quality Sensitive Area Map

Indiana Air Quality Sensitive Areas



APPENDIX C-4: Air Quality Conformity Checklist Flow Chart



Appendix C-5 INDOT Planning Liaison Work Product Checklist

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

Monthly Checklist

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

Quarterly Checklist

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

Annual Checklist

- Request obligation of Planning funds (PL and SPR)
- Prepare and distribute Notices to Proceed to MPO/RPOs
- Conduct Quality Assurance Reviews
- Review Annual Performance and Expenditure Reports from MPOs/RPOs
- Review Annual Lists of Obligated Projects from MPOs
- CMAQ reporting for non-mandatory funds
- Solicit functional classification system updates from MPOs and RPOs, and capture new road construction, to submit as a packet to FHWA-IN
- Adopt Safety (Performance Measure 1) targets and submit via Annual HSIP Report provided by INDOT Safety Team.
- Work with INDOT Title VI Coordinator to provide the INDOT Planning Team updates on accomplishments related to INDOT's Title VI Implementation Plan

Every 2 Years

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

Every 4 Years

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

Every 5 Years

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

Every 10 Years

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

As Needed

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

Appendix C-6: UPWP/SOW Review Checklist (INDOT)

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

The Content of the UPWP/SOW Should:

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

The Financial Information in the UPWP Should:

- Reflect the fund source, type and amount for each work element. Also, show the same source, type and amount in the Financial Summary.
- Include and identify the correct local match for each federal fund source and type.
- Show consistency between the fund amounts identified within the work element/work task discussion and the fund amounts in the Financial Summary.
- Identify any carry-forward funds from prior years by fund source, type, amount and fiscal year within work elements and the Financial Summary.
- Ensure compliance with 2 CFR 200.

The Work Elements in the UPWP Should:

- Illustrate an organized and logical flow of work element tasks and activities from project inception to project completion.
- Contains task statements which include enough detail that the work product is easily identifiable and eligibility can be easily determined.

- Work elements/work tasks which will be completed over multiple years should have a schedule that details and identified significant milestones to be accomplished throughout the term of the planning grant.
- Identify all planning consultant contracts in both the task and budget statements.
- All tasks and products listed are eligible uses of Federal Funds.

INDOT Annual MPO Quality Assurance Review Checklist/Report Template

INDOT Annual Quality Assurance Reviews Checklist & Report for MPOs & RPOs

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

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

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

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

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

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

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

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

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

4. Financials - Reporting and Documentation

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

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

5. Timesheets and Timesheet Summary - All staff who charge time to a federally funded task are required to maintain internal, accurate, and current time records using database and spreadsheets comparable to the agency Time Tracking workbook provided in the Planning Procedures Manual. Liaison must randomly test a week to ensure the timesheets are on file and that they match what was included in that reimbursement packet.

- Is the agency able to provide access to timesheets?
- Is the amount of time spent on duties and billed to FHWA funds clearly indicated?

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

6. Contracts Awards

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

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

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

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

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

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

8. Structure/Intergovernmental & Other Agreements

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

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

9. Traffic Count & Other Roadway Data

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

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

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

- MPO/RPO has a compliant Public Involvement Plan
- Public attendance at meetings is encouraged and tracked
- Public input received is documented and addressed
- Agency performs outreach in Environmental Justice areas/communities and documentation
- Environmental Justice and Title VI complaints are documented, addressed, and tracked
- INDOT Planning Liaison is informed of all complaints and resolutions in a timely manner
- Meetings comply with Indiana Open Meeting Polices

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

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

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

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

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

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

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

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

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

I 4. Additional Notes and Comments

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

Appendix D: Sample Cost Allocation Plan Approval Letter

SAMPLE of COST ALLOCATION PLAN Approval LETTER

Date of Letter

MPO Director

MPO Name

MPO Address

Dear MPO Director;

INDOT has reviewed the FY 20XX Cost Allocation Plan presented by XXX MPO for the period of July 1, 20XX through June 30, 20XX.

In accordance 2 CFR 200.331, the Indiana Department of Transportation (INDOT), acting as the pass-through entity for the Federal Highway Administration (FHWA) approved the following indirect and fringe rates which will be monitored with respect to your Unified Planning Work Program Grant. Please include a copy of this letter in your UPWP for future reference. Should the indirect rates change during the FY 2020 grant period, please provide the revised information for re-approval and inclusion of the new rate letter as modification/inclusion in your UPWP Appendix. The approved rates are as follows:

Fringe	00.0%
Indirect	00.0%

Please feel free to contact me if you have any questions or concerns regarding these rates.

Sincerely,

Transportation Planning Liaison Name Here
 Technical Planning & Programming Division
 Indiana Department of Transportation
 Phone Number on letterhead

APPENDIX D-2: Financial Status Report Example

Reset Form



**INDOT INVOICE - METROPOLITAN PLANNING ORGANIZATION (MPO)
 FINANCIAL STATUS REPORT - UNIFIED PLANNING WORK PROGRAM (UPWP)
 FUNDING PL/FTA/STP/CMAQ/HSIP**
 State Form 12803 (R / 3-16)
 INDIANA DEPARTMENT OF TRANSPORTATION

MPO:							
Fringe Rate % 0.00%	Indirect Rate: % 0.00%	Bill Dates: (month, day, year)					
(1)	(2)	FROM	(4)	TO	(6)	(7)	(8)
Fiscal Year - Element Number Invoice Number	Element Description and Costs	Total Cost All Grants	Planning Funds/Federal Transit Administration (PL/ FTA)	Statewide Transportation Program (STP)	Congestion Mitigation Air Quality (CMAQ)	Highway Safety Improvement Program (HSIP)	Other
17-100-1							
	2. Direct Labor						
	3. Direct Fringe						
	4. Indirect Cost						
	5. Other Direct						
	6. Period Total						
	7. LESS Local Match						
	8. Claim for Period						
	9. Prior Claims						
	10. Claimed to Date						
	11. Budget Amount						
	12. % Budget Spent	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
	13. % Work Complete	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Progress Report/Expenditure Justification:							
Signature				Date signed (month, day, year)			

NOTE: THE attached are list for drop downs in this form

Element

- 1. - 100 - Admin/Public Participation
- 1. - 200 - Data Collection/Analysis
- 1. - 300 - Short Range Planning/Mgmt Systems
- 1. - 400 - Long Range Planning
- 1. - 500 - Transit/Active Transportation
- 1. - 600 - Other Planning Initiatives/Special Studies

MPO

BMCMPPO	(Bloomington / Monroe MPO)
CAMPO	(Columbus MPO)
DMMPC	(Delaware -Muncie MPO)
EMPO	(Evansville MPO)
IMPO	(Indianapolis MPO)
KIPDA	(Kentuckiana MPO)
KHCGCC	(Kokomo/Howard County MPO)
MACOG	(Michiana Area MPO)
MCCOG	(Anderson Area MPO)
NIRCC	(Northeastern Indiana MPO)
NIRPC	(Northwestern Indiana MPO)
OKI	(Ohio-Kentucky-Indiana Region MPO)
TCAPC	(Tippecanoe County MPO)
WCIEDD	(West Central Indiana MPO)

APPENDIX E: Sample Billing Invoice Letter

MPO NAME & ADDRESS INFORMATION

Date:
TO:
XXX Technical Planner
Technical Planning & Programming Division
Indiana Department of Transportation
100 N. Senate Ave. RM N625
Indianapolis, IN 46204

Attention Technical Planner,

RE: 1st Quarter SFY 2012 Progress Report & Request for Reimbursement

Please find enclosed our report, financial statement, and request for reimbursement for activities performed under the fiscal year 2012 agreement for use of funds:

STP	P.O. 1122334455	Amount Requested \$ XX,XXX.OO
PL	P.O. 1122334466	Amount Requested \$ XX,XXX.OO
CMAQ	P.O. 0022334455	Amount Requested \$ XX,XXX.OO

Payment Information:

Electronic Payment	or	Remit to;
Bank Name:		City/County Agency
Routing Number:		Address
Bank Account Number		

Should you have any questions, please feel free to contact me at PHONE NUMBER/Email

Signature

APPENDIX F: Sample MPO Progress Report & Completion Report

**XXX MPO
PROGRESS REPORT
JANUARY THRU MARCH 20XX
&
ANNUAL COMPLETION REPORT
FORMAT
SFY 20XX**

Activity 1-20XX Planning Coordination

Conducted Technical Committee and Policy Board meetings, prepared and distributed meeting notes for 3 meetings of each committee

Performed the routine administrative, personnel, fiscal, contractual and management activities, and tasks necessary to maintain and support a viable metropolitan transportation planning process.

65% Complete

Activity 2-20XX Transportation Improvement Program (TIP) and Transportation Management

Staff assisted LPAs with local projects and various project related issues, change orders, and other miscellaneous tasks.

85% Complete

Activity 3-20XX Corridor Studies

No activity this quarter

40% Complete

Activity 4-20XX Transportation Data Collection

During this quarter, requests were received for traffic information for the region via telephone, E-mail and fax.

The travel time data collection for congestion management planning is on-going. This includes going to designated locations and performing travel time runs on a regular basis.

30% Complete

(The above is a sample of the type of description for each for each activity in the Work Plan to be included in both the Progress Reports and Annual Completion Report.

APPENDIX G: Conformity Timetable for Full TIP/Plan Update or Amendment

Conformity Procedure Timetable for a full update or extensive amendment

	Days - 0	30	60	90	120	150	180	210	240	270	300
1	Initial ICG Meeting	x									
2	Distribute Final Project List to ICG after 14-Day Consultation Period										
3	Travel Demand Modeling										
4	Emissions Analysis										
5	Develop Draft Air Quality Conformity Analysis and Distribute Draft to ICG										
6	Public Comment Period										
7	Provide Summary/Disposition of Comments										
8	MPO Policy Board Resolution Approval										
9	MPO requests FHWA Formal Conformity Consultation / Distribute to ICG										
10	FHWA Letter to ICG/Formal Conformity Consultation										
11	Formal Comment letters from ICG										
12	USDOT Conformity Determination Letter										

Bars indicate number of day's activity is expected to take
 X's indicate steps in process



APPENDIX G-2: Conformity Timetable for Minor Amendments

Conformity Procedure Timetable for a minor amendment

	Days - 0	30	60	90	120	150	180
1	Initial ICG Meeting	x					
2	Distribute Final Project List to ICG after 14-Day Consultation Period						
3	Travel Demand Modeling						
4	Emissions Analysis						
5	Develop Draft Air Quality Conformity Analysis and Distribute Draft to ICG						
6	Public Comment Period						
7	Provide Summary/Disposition of Comments				x		
8	MPO Policy Board Resolution Approval				x		
9	MPO requests FHWA Formal Conformity Consultation / Distribute to ICG					x	
10	FHWA Letter to ICG / Formal Conformity Consultation					x	
11	Formal Comment letters from ICG					x	
12	USDOT Conformity Determination Letter						

*Bars indicate number of day's activity is expected to take
X's indicate steps in process*



APPENDIX I: STIP Transit Amendment/Modification Request Form

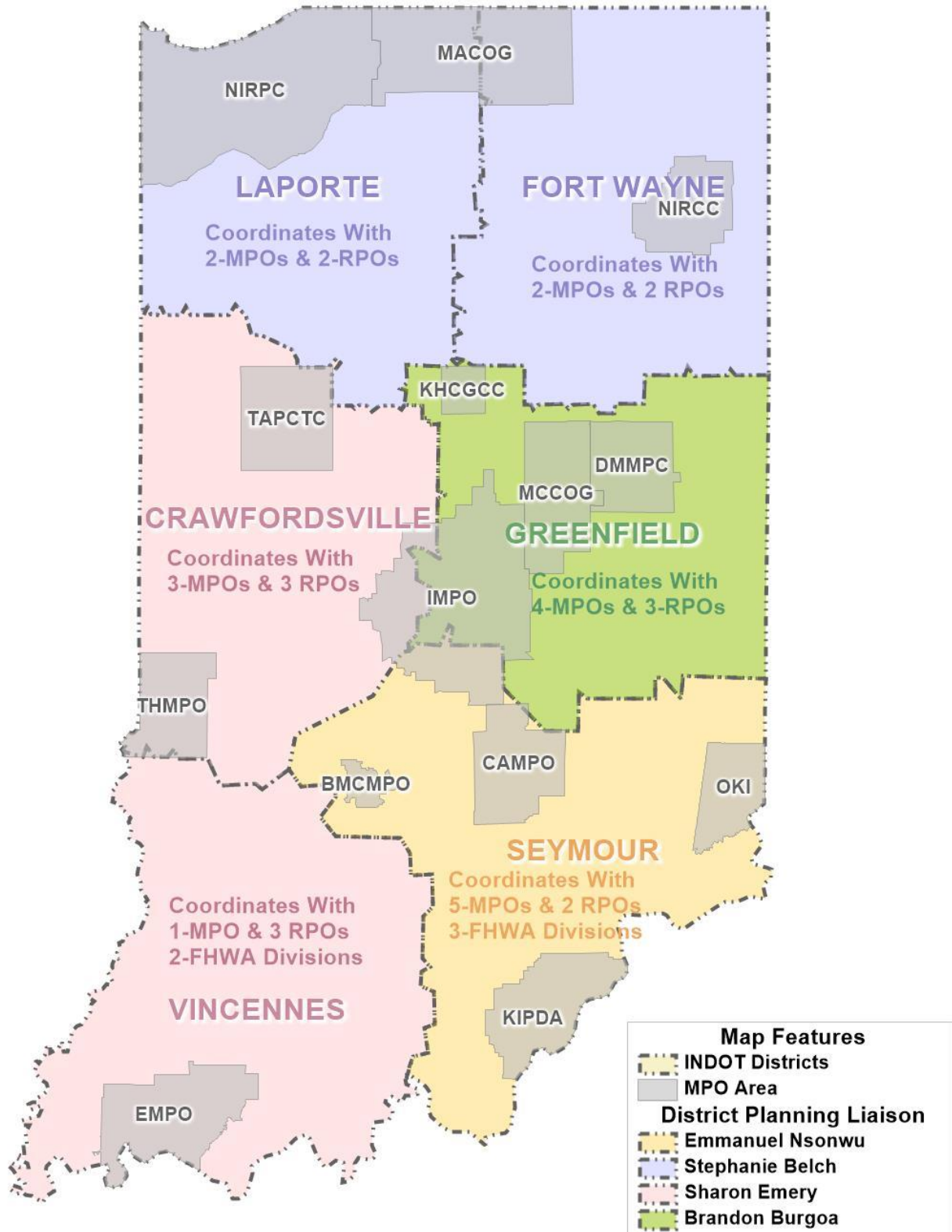
STIP TRANSIT AMENDMENT and/or MODIFICATION REQUEST

Date: _____
 Requestor: _____

Sponsor	DES	Route	Work Type	Location	County	District	Miles	FTA Fund Category	Asset Program - (State Projects Only)	Phase	Federal	Match	2012
		N/A					N/A		N/A	N/A			

2013	2014	2015	Estimated Cost Left to Complete Project	Remarks	Letting Date	MPO	Start Lat	Start Long	End Lat	End Long
			N/A				N/A	N/A	N/A	N/A

APPENDIX J: Technical Planning District Assignment Map



Memorandum of Understanding (MOU) Boiler Plate

MEMORANDUM OF AGREEMENT

By and Between

“Insert MPO name”

THE INDIANA DEPARTMENT OF TRANSPORTATION

“Insert Transit Property name if MPO has a transit property in its area”

This Memorandum of Agreement (MOA) is made by and between the “insert MPO name” here in after referred to as (insert MPO acronym), the Indiana Department of Transportation (herein after referred to as INDOT), and the “insert transit property name and also common acronym”,

WHEREAS, Fixing America’s Surface Transportation Act (FAST Act), Moving Ahead for Progress in the 21st Century (MAP-21) and its previous sister legislative acts the Safe, Accountable, Flexible, & Efficient Transportation Equity Act: A Legacy For Users (SAFETEA-LU), the 1998 Transportation Efficiency Act for the 21st Century (TEA-21) and the 1991 Intermodal Surface Transportation Efficiency Act (ISTEA) require the establishment of Agreements among certain agencies involved in the transportation planning process, and

WHEREAS, the transportation planning process for the “insert MPO name” includes the following agencies:

- “Insert MPO name with acronym following”
- Indiana Department of Transportation (INDOT)
- “Insert Transit Property name with acronym following”

NOW THEREFORE the agencies mutually agree as follows:

WHEREAS, FAST ACT requires the establishment of agreements between the State, the Metropolitan Planning Organization (MPO) and the public transportation operator(s), and

WHEREAS, the “insert MPO acronym here” is the designated MPO for the “insert MPO communities here” and includes its regional member Counties of “insert counties here” in Indiana, and

WHEREAS, “Insert Transit Property Acronym here” is the designated recipient for Section 5307 in the “insert name” of Urbanized Area,

WHEREAS, the “insert MPO acronym here” has established various advisory groups, which provide input and direction, as well as assist and advise it on transportation planning and programming

considerations. Membership in these technical, advisory, and citizens groups include persons representing “list communities here” and public and private transportation providers, and others not listed in this agreement.

The “list acronym for MPO”, INDOT, and “list acronym for transit property” mutually agree as follows:

RESPONSIBILITIES OF THE “List name of MPO here”:

Structure

1. The MPO organizational structure consists of a Transportation Technical Committee (TTC), Transit Planning Committee (“if one exists use acronym here”), the MPO Policy Committee (“list acronym here for MPO”), and various advisory committees and subcommittees.

The Policy Committee includes the following voting members:

“List of members inserted here”

The Transportation Technical Committee includes the following voting members:

“List of members inserted here”

2. The MPO has several Advisory Committees, which include members from the general public, transit consumers, bicycle groups, various technical staff, and other interested parties who sit on the Transit Planning Committee, Transportation Technical Committee, etc.
3. The Policy Committee and the Transportation Technical Committee generally meet on the “insert meeting times, such as monthly, bi-monthly, quarterly”. The other committees meet on an as needed basis.
4. The MPO will concur with the planning regulations for Self Certification to INDOT and the FHWA regarding the MPO's ability and intention to provide and fulfill the transportation planning requirement for the Metropolitan Planning Area (MPA). This will be made available as part of the Transportation Improvement Program (TIP) process.

Transportation Plan

5. The MPO will develop and maintain a Transportation Plan (TP) and corresponding Conformity Analysis (“if required”) in cooperation with INDOT, its transit provider and other agency partners at least every 4 years as required by law.

6. The MPO will utilize the FAST ACT planning factors in the development of the Transportation Plan.
7. The MPO is responsible for developing a financially reasonable Transportation Plan in consultation with INDOT, its area public transit providers and the FHWA in compliance with current federal planning regulations.
8. The MPO will include a financial plan that demonstrates the consistency of the TIP and Transportation Plan with available and projected sources of revenue.
9. The MPO approves the Transportation Plan and its periodic updates.
10. All proposed TP or TIP amendments must include a project description, project cost, phase, ready for letting (RFL) date, federal, state, local and total dollar amount. There are three types of amendments. An administrative modification, an amendment, or a transportation plan or major amendment requiring a conformity analysis revision. "Some MPOs also offer administrative amendments so this option can be added to the list".
 - Administrative Modification: a change or revision to include project cost increase(s) or decrease(s) (regardless of amount) Des number changes or modifications, changes in the year or scope of non-regionally significant projects.
 - Amendments: new project added, new project phase, change in year or scope of a non-regionally significant project.
 - Plan or Major Amendment: new project added, new project phase, change in year or scope of a regionally significant project.
 - Administrative Amendment (where being used with description).
11. All federal aid funding projects, regardless of funding category, will be included in the fiscally constrained TIP.
12. A Conformity Determination shall be completed for each Transportation Improvement Program (TIP) and Transportation Plan developed by the MPO, which indicates that the plans maintain the area's air quality standard as identified by the Interagency consultation Group Procedures.

Public Participation and Involvement

13. The MPO will maintain a Participation Plan that is adopted by the Policy Committee or Board. The plan will include coordination with the INDOT participation process. This process is followed during the development of the Transportation Plan and the Transportation Improvement

Program. The “insert MPO acronym here” TIP participation process will serve to meet the “insert transit property’s acronym here” public participation requirements.

14. The MPO will comply with all appropriate federal assurances, civil rights and DBE requirements, Title VI guidance, ADA requirements, and procurement activities guidelines.

Transportation Improvement Program (TIP)

15. The MPO will complete a Transportation Improvement Program, as needed, in cooperation and coordination with the partners identified in this agreement. The MPO will submit an approved Transportation Improvement Program to INDOT in a timely manner.
16. The MPO is responsible for developing a fiscally constrained TIP.
17. The Policy Committee or Board of the MPO approves the TIP followed with approval by the INDOT Commissioner on behalf of the Governor, and it is included in the State Transportation Improvement Program (STIP) by reference or amendment. The STIP is approved by the Federal Highway Administration along with the new TIP and any amendments. (For TIP modification and amendments see item 19.)
18. During the TIP update the MPO will conduct a call for projects. The MPO will solicit and review requests for new project funding and current project cost increases, using its project selection process. Using its participation process, the MPO will solicit comment. The comments received from the participation process will be considered, addressed, responded to and documented. After reviewing the public comment, the MPO will make a decision regarding the TIP update.
19. The MPO will process TIP amendments following Policy Committee or Board approval if the amendment is "air quality exempt" or does not require a new air quality conformity determination and is received from the local communities, transit property (“insert Acronym”) or INDOT. Any major change to the TIP document made after the public comment period and before the Policy Committee or Board approval that adds highway capacity or changes the conformity status may require a new comment period and will require an extended amendment approval process.
20. All TIP modifications and amendments will be processed in accordance with the Interagency Consultation Group (ICG) and approved air quality conformity procedures.
21. The MPO will provide and maintain a website that provides TIP and associated amendments for interested parties, public and agency consumption.

22. The Congestion Management Process (CMP) will be used in identifying and selecting projects during TP and TIP updates.

Travel Demand Forecasting

23. The MPO is responsible for developing and maintaining a travel demand forecasting model for the “insert MPO name here with acronym” Metropolitan Planning Area (MPA).

Unified Planning Work Program

24. A Unified Planning Work Program (UPWP) will be prepared by the MPO in cooperation and consultation with INDOT, FHWA, FTA and the transit operator.
25. The MPO will consider, and where feasible, include the planning emphasis areas (PEA’s) identified by FHWA and FTA in the preparation of the UPWP. Emphasis areas must be received prior to January 31st, to receive proper consideration.
26. Where needed a Conformity Determination shall be completed for each Transportation Improvement Program (TIP) and Transportation Plan developed by the MPO, which indicates that the plans maintain the area's air quality standard.
27. The development of a financial plan that demonstrates the consistency of the TIP and Transportation Plan with available and projected sources of revenue.
28. The MPO will complete its Cost Allocation Plan and UPWP draft by March 15 each year. Note: the MPO's ability to meet this date is contingent upon INDOT providing timely PL Distribution numbers.
29. The MPO will submit to INDOT Central Office Planning Office a final Unified Planning Program in a timely manner.

Management Systems

30. The development and implementation of a congestion management process (CMP), where needed, for the “insert MPO and acronym here” Metropolitan Planning Area will be the responsibility of the MPO in cooperation with INDOT, FTA and FHWA.
31. The MPO will work cooperatively with INDOT and other relevant public agencies in the development of the other specified management systems as appropriate.

32. The MPO will maintain a Congestion Management Process in cooperation with INDOT. The Congestion Management Process shall be coordinated with the development of the Transportation Plan.
33. The MPO will comply with all appropriate federal assurances, civil rights and DBE requirements, Title VI submittals, ADA, and procurement activities guidelines. "Insert MPO name and acronym here" will complete a Title VI analysis for the urbanized area.

Transit Planning

34. The MPO will sponsor and participate on committees related to the provision and coordination of transit and para-transit services including but not limited to the Transit Planning Committee.
35. The MPO will serve as the lead agency for the development of the "Coordinated Public Transit Human Services Transportation Plan".

RESPONSIBILITIES OF THE INDIANA DEPARTMENT OF TRANSPORTATION (In cooperation with "insert MPO acronym here", and the public transit provider (insert transit provider acronym here")):

1. INDOT will provide staff liaisons to coordinate with the MPO's. Said staff will regularly attend the MPO Council meetings, which are held in Indianapolis. INDOT will regularly send staff liaisons to the MPO Technical Transportation or Policy Committee meetings.

Transportation Plan and TIP

2. The Statewide Transportation Plan shall be developed in cooperation with the "insert MPO acronym here" Transportation Plan.
3. The INDOT Central Office Technical Planning & Programming Division will develop a list of planned improvements on State jurisdiction highways developed in conjunction and in cooperation with the MPO for the Metropolitan Planning Area of the MPO. These projects will be consistent with the INDOT Technical Planning & Programming Process. This is necessary in order to provide the data the MPO needs to develop a Transportation Plan that is consistent with available funding sources and project revenues.
4. The INDOT Central Office Project Finance Division will provide the MPO in a timely manner with estimates of available federal and state funding as necessary for the development of the financial plans demonstrating the fiscal constraint of the MPO's Transportation Plan and TIP.

5. The INDOT Central Office LPA and Grants Administration Division will develop the Indiana Statewide Transportation Improvement Program in cooperation with the MPO's transportation planning process and incorporate the MPO approved TIP by reference or amendment in its entirety.
6. The INDOT Central Office LPA and Grant Administration Division in cooperation with the Technical Planning & Programming Division and District staff for the area that includes the MPO will provide timely lists of INDOT projects within the MPO's jurisdiction in sufficient detail and accuracy to allow for the development of a TIP for the MPO's region.
7. INDOT Central Office LPA and Grant Administration Division will develop a Statewide Transportation Improvement Program (STIP) that includes the review and written approval of the "insert MPO acronym here" TIP in a timely manner. This will be done in cooperation with the Technical Planning & Programming Division.
8. INDOT Central Office Technical Planning & Programming Division working with the LPA and Grant Administration Division will provide in a timely manner lists of projects (including investments in pedestrian walkways and bicycle transportation facilities) for which funds under 23 U.S.C. or 49 U.S.C., Chapter 53 were obligated in the preceding program year. This will allow the MPO to develop an Annual List of Obligated Projects (ALOP).
9. INDOT will provide Central and District Office coordination for the MPO on all matters including the TP and TIP. The Technical Planning & Programming Division will be the lead coupled with the LPA and Grant Administration Division and the District Office(s).
10. INDOT Central and District Offices will collect and share transportation system information with the MPO to facilitate a cooperative transportation planning process and will conduct training sessions and workshops on pertinent topics. The Technical Planning & Programming Division will be the lead in this effort.

UPWP Coordination Activities

11. INDOT will provide a staff liaison from the Technical Planning & Programming Division to participate in transportation planning activities and to assist with coordination in the emphasis areas that are cooperatively agreed to.
12. INDOT Central Office Technical Planning & Programming Division will provide updated consolidated PL figures based on the current PL Distribution formula approved by the FHWA,

INDOT and the MPO Council. INDOT will provide these figures in a timely manner each year to allow for development of the UPWP.

13. "Insert MPO acronym here" will prepare a UPWP for the Fiscal Year starting on July 1st of the same year. (Could also be January 1st for those MPOs that function with the calendar year as their fiscal year.)
14. INDOT Central Office Technical Planning & Programming Division in cooperation with the Project Finance Division and the Transit Office will provide updated and consolidated planning figures to the MPO Council.
15. INDOT Central Office Technical Planning & Programming Division will review and provide approval of the UPWP and concurrence with the Cost Allocation Plan in a timely manner, and begin development of the required contracts and purchase orders. INDOT will strive for a timely notice-to-proceed, a signed contract and a purchase order.
16. INDOT Central Office Technical Planning & Programming Division will review progress reports and provide reimbursement of invoices pursuant to applicable Federal Regulations and Indiana Code 5-17-5, Public Purchases,

RESPONSIBILITIES OF THE "Insert Transit Property Name Here and Acronym":

1. "Transit Acronym" will provide data, including financial planning information, upon request and participate in the development of the Transportation Plan update.
2. "Transit Acronym" will provide copies of its Transportation Development Plan, as updated.
3. "Transit Acronym" will provide a staff liaison to attend the Transit Planning Committee meetings.
4. "Transit Acronym" will participate on the Transportation Technical Committee.
5. "Transit Acronym" will participate in the development of the "Coordinated Public Transit Human Services Transportation Plan".
6. "Transit Acronym" will provide a Financial Capacity Analysis showing a 5-year Financial Plan as part of the TIP development process.
7. "Transit Acronym" will provide a four- year capital project and operating plan (program of projects) for inclusion in the TIP to the MPO. The capital and operating plan will be updated annually and submitted with the Financial Capacity Analysis.

8. "Transit Acronym" will provide amendment requests to the MPO in a timely manner prior to the next scheduled meeting of the Transportation Technical Committee. All amendment requests will be in writing.
9. "Transit Acronym" will provide a copy (PDF file preferred) to the MPO of each final grant request to the Federal Transit Administration and provide a copy of each grant award acceptance.
10. "Transit Acronym" will provide by December 1st of each year a list of transit projects for which funds under 23 U.S.C. or 49 U.S.C., Chapter 53 were obligated in the preceding program year.
11. "Transit Acronym" will be responsible for its Capital Improvement Plan and its ADA Compliance Plan and other activities directly related to the operation of public transit services in the "insert MPO Acronym here" Urbanized Area.
12. "Transit Acronym" as the designated recipient of federal transit funds, will be required to provide the necessary local matching funds (unless otherwise agreed to) and will be responsible for maintaining all necessary records in support of the expenditure of those funds.
13. "Transit Acronym" agrees that it will be in compliance with all required federal objectives,

In witness thereof, the undersigned executive staff members of "MPO Acronym", "Transit Acronym" and INDOT have executed this Memorandum of Agreement on the dates indicated.

"Transit Property Acronym"

_____ Date _____
 "General Manager or Like Title"

Indiana Department of Transportation

_____ Date _____
 "Chief of Staff or Deputy Commissioner"

"Name of MPO not Acronym"

_____ Date _____
 "Executive Director or Like Title"