



MPO COUNCIL

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Cooperative Operations Manual

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Indiana MPO Council:

CHAPTER 1 - INDIANA METROPOLITAN PLANNING

Transportation planning in metropolitan areas is a collaborative process, led by the Metropolitan Planning Organization (MPO) and other key stakeholders in the regional transportation system. The process is designed to foster involvement by all interested parties, such as the business community, community groups, environmental organizations, and the general public through a proactive public participation process conducted by the MPO in coordination with the state department of transportation and transit operators, leading to the development and operation of an integrated intermodal transportation system that facilitates the efficient and economic movement of people and goods as well as supports metropolitan community development and social goals.

This INDOT-MPO Cooperative Operations Manual (Manual) has been developed in cooperation with the Indiana MPO Council to establish the cooperation necessary for both Indiana Department of Transportation (INDOT) and the MPOs to produce the necessary work products; including but not limited to, the Metropolitan Transportation Plan (MTP), the Transportation Improvement Program (TIP), and the Unified Planning Work Program (UPWP)

A. BACKGROUND

1. Federal law requires that there be designated Metropolitan Planning Organizations in areas with urban populations of 50,000 or greater.
2. MPOs are organized by agreement among local officials and are designated by the Governor.
3. There are fourteen MPOs' in the State of Indiana:
 - **Madison County Council of Governments - Anderson (MCCOG)**
 - **Bloomington/Monroe County Metropolitan Planning Organization (BMCMPPO)**
 - **Ohio-Kentucky-Indiana Regional Council of Governments - Cincinnati (OKI) Dearborn County Indiana**
 - **Columbus Area Metropolitan Planning Organization (CAMPO)**
 - **Evansville Metropolitan Planning Organization (EMPO)**
 - **Northeastern Indiana Regional Coordinating Council - Fort Wayne (NIRCC)**
 - **Indianapolis Metropolitan Planning Organization (IMPO) –**

Marion, Hamilton, Hendricks, Shelby, Hancock, Boone, Morgan, and Johnson Counties

- **Kokomo-Howard County Governmental Coordinating Council (KHCGCC)**
- **Tippecanoe County Area Plan Commission - Lafayette (TCAPC)**
- **Kentuckiana Regional Planning and Development Agency - Louisville (KIPDA) - Clark and Floyd Counties Indiana**
- **Delaware-Muncie Metropolitan Plan Commission (DMMPC)**
- **Northwestern Indiana Regional Planning Commission – Lake, Porter and LaPorte Counties (NIRPC)**
- **Michiana Area Council of Governments South Bend-Elkhart/Goshen (MACOG)**
- **West Central Indiana Economic Development District - Terre Haute (WCIEDD)**

(Appendix 1A, 1B, & 1C list the complete address and planning areas of each MPO.)

4. MPOs with urban populations greater than 200,000 as of the 2000 census (NIRPC, MACOG, NIRCC, IMPO, EMPO, OKI, KIPDA) are designated as Transportation Management Areas (TMAs) and have expanded responsibilities under the Safe, Accountable, Flexible, Efficient, Transportation Equity Act – A Legacy for Users (**SAFETEA-LU**).
5. Each MPO has an executive or policy board consisting mainly of local elected officials and shall include representatives of transit agencies and INDOT.

B. MPO RESPONSIBILITIES

1. MPO requirements are part of the federal planning and programming statute, published by the U.S. Department of Transportation (USDOT) and its agencies.
2. MPOs are required to:
 - A. Ensure a continuing, cooperative, and comprehensive (3C) transportation planning process between the MPO and INDOT through the sharing of information.

- B. Prepare a financially reasonable 20-year Metropolitan Transportation Plan that serves as the basis for the selection of projects in the Transportation Improvement Program. (see [Chapter 5](#))
- C. Develop a 4-year Transportation Improvement Program that includes a prioritized list of projects and a financial plan demonstrating how the program will be financed and updated at least every four years. (see [Chapter 6](#))
- D. In areas classified as maintenance and above for the national ambient air quality standard (NAQQS), develop plans and projects that demonstrate compliance with the emissions inventory budgets set for their areas and listed in the air quality State Implementation Plan (SIP) and work with their regional clean air authorities to develop transportation control measures for the SIP.
- E. In Transportation Management Areas develop a system for monitoring and managing congestion in their metropolitan area.
- F. Select local projects for Federal Surface Transportation Program (STP), Congestion Mitigation/Air Quality (CMAQ), Highway Safety Improvement Program (HSIP), and Transportation Enhancement (TE) funding.
- G. Each MPO must establish a process for project selection, which must involve local government jurisdictions, transit agencies, and other transportation providers and users.
- H. Indiana MPOs develop a Unified Planning Work Program (UPWP)/Statement of Work (SOW), which is a comprehensive listing of the transportation planning activities to be completed by the MPO for the coming fiscal year(s), including a Cost Allocation Plan and the resources to fund the UPWP. (see [Chapter 4](#))
- I. Annually each MPO publishes a List of Obligated Projects (Annual List of Obligated Projects - ALOP) which has had federal funds obligated in the preceding program year. (see [Chapter 6](#))

C. INDOT RESPONSIBILITIES

1. Ensure a continuing, cooperative, and comprehensive (3C) transportation planning process between INDOT, MPO, and the transit operators, through sharing of information.
2. INDOT, the State Transportation Agency pursuant to **Title 23, Section 134** of the United States Code that is apportioned federal transportation funds, is the administrator of the Federal Highway Administration (FHWA) Planning and Research funds. These include Transportation Funds, State Planning and Research (SPR) funds, Metropolitan Planning funds (PL), Surface Transportation Program funds, and Federal Transit Administration (FTA) funds, and any funds provided to the MPO through INDOT for the purpose of the UPWP, as well as any other funds specifically identified for transportation planning purposes or over which INDOT has fiduciary responsibility.
3. INDOT is authorized to allocate said funds for all MPOs. (**49 U.S.C. 5305**), based on the approved MPO distribution formula.
4. The MPO is to be the sub-recipient of Metropolitan Planning Funds (PL) authorized under **23 U.S.C. 104 (f) (3)** and **49 U.S.C. 5305** to carry out the provisions of **23 U.S.C. 134/49 U.S.C. 5303**.
5. In accordance with **49 CFR 18.40** INDOT shall monitor all activities performed by MPO staff or sub-recipients of FHWA and FTA funds to assure that the work is being managed and performed satisfactorily and time schedules are being met.
6. INDOT has primary responsibility for administering FHWA and FTA funds allocated to the MPO's and ensuring that such funds are expended for eligible costs, purposes, and activities in accordance with **23 CFR 420.113**, that are allowable per **2 CFR 225**, and that are within the MPO's planning boundaries,
7. **23 CFR 450.314** requires that INDOT and each MPO enter into an agreement clearly identifying the responsibilities for cooperatively carrying out the Metropolitan Planning process and accomplishing the transportation planning requirements of state and federal law.
8. INDOT will incorporate each MPO's Transportation Improvement Program (TIP) into its Statewide Transportation Improvement Program (STIP) in its entirety.
9. INDOT will be represented on the Technical Committees and Policy Boards of each MPO, as appropriate for each MPO's composition.

D. AUTHORITY

- **US CODE (USC) Title 23 Chapter 1 Section 134**
- **US CODE (USC) Title 23 Chapter 1 Section 135**
- **Code of Federal Regulations (CFR) Title Part 420**
- **Code of Federal Regulations (CFR) Title Part 450**

E. EVALUATION

The Indiana MPO Council and INDOT will periodically review The MPO – INDOT Cooperative Operations Manual (Manual) to assure its compliance with State and Federal Code, Rules, Regulations, and Legislation, as well as monitoring the effectiveness of the procedures outlined in this Manual. Following the review of the Manual the Indiana MPO Council and INDOT may revise these procedures to comply with revisions to the State and Federal Code, Rules, Regulations, and Legislation.

Additionally a review of the Manual will automatically be prompted by the passing/revision of any state or federal legislation that has an impact on the contents of this Manual.

CHAPTER 2 - INDIANA MPO COUNCIL

The State of Indiana currently has fourteen (14) Metropolitan Planning Organizations (MPOs), which represent 39 counties. A director's council known as the Indiana MPO Council meets monthly to address the various current issues in cooperation & collaboration with state & federal planning partners. Some MPOs also represent rural counties as a Rural Planning Organization (RPO), in addition to being an MPO for urban areas.

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

The MPO Policy Board or committee is comprised of officials representing the region as defined by each MPO's bylaws. The MPO Policy Board or committee is charged with the responsibility to assure the development and implementation of a continuous, cooperative, and comprehensive (3C) planning process. This includes the development of the **Unified Planning Work Program**, **Metropolitan Transportation Plan**, and **Transportation Improvement Program**, among other duties. (See Chapters 4, 5, & 6)

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

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

When developing Metropolitan Transportation Plans and TIPs, the MPO should consult with agencies and officials responsible for other planning activities within the Metropolitan Planning Area (MPA) that are affected by transportation (including state and local planned growth, economic development,

environmental protection, airport operations, and freight movements), and coordinate its planning process (to the maximum extent practicable) with such planning activities.

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

A. FUNDING

INDOT through its Office of Project Accounting, Budget, & Procurement (INDOT Project Accounting) annually publishes a Local Sharing Agreement see [Appendix 2A](#) that outlines the category of funds and the traditional split of federal funds between the state (75%) and local public agencies (LPAs) (25%). The Sharing Agreement balances the various federal funding categories adjusting the balance to achieve the split. A narrative, outlining the funding rules is discussed and reviewed annually at a meeting organized by INDOT Project Accounting in cooperation with representatives of the MPOs, and members of Indiana Association of Cities and Towns (IACT), Association of Indiana Counties (AIC), Local Technical Assistance Program (LTAP) and Indiana Association of County Commissioners (IACC).

The Indiana MPOs use the sharing agreement numbers for the development of their TIPs and the PL Distribution process. This data is critical to the timely development of the TIP and STIP.

Funds are apportioned based on the Sharing Agreement formula, which has been developed cooperatively with the state's MPOs, IACT, IAC, and other interested Local Public Agency partners.

B. COORDINATION: INDIANA MPO COUNCIL – INDOT AND FHWA

The Indiana MPO Council is comprised of the Executive Directors of each MPO. The Indiana MPO Council meetings are coordinated with and include the participation of various INDOT, Indiana Department of Environmental Management (IDEM) and FHWA staff. Meetings are held monthly to address issues that come before it and to cooperatively determine the optimal solutions for transportation planning issues. The Indiana MPO Council meetings promote a 3 C planning process by seeking to enhance continuing, cooperative, and comprehensive discussions and interactions while striving to achieve those goals.

CHAPTER 3 - MPO PLANNING FUNDS DISTRIBUTION PROCESS

The Planning Fund (PL) estimate is identified within the Sharing Agreement under the planning category and is the responsibility of INDOT Project Accounting. Planning funds are not subject to obligation authority.

The Indiana MPO Council developed a PL funding formula, which has been agreed to and signed off by INDOT and FHWA. The formula provides the method and calculations process for MPO PL Distribution and is found in [Appendix 3A](#) of this document. The MPOs have cooperatively developed their funding distribution formula since 1984.

A. PROCESS

1. At the end of the second year of the 2 year UPWP any unspent PL funds for each MPO will be used as carryover funding after a 1 year audit period for those MPO's with an unspent balance. (Ex: 2011-2012 UPWP carryover funds will be available for fiscal year 2014 as amended of the 2013-2014 UPWP).
2. INDOT provides 100% obligation to the MPO's for Planning Dollar (PL) funding.
3. The MPO Planning Billing Coordinator will provide to the MPO PL Liaison the final verified carryover numbers to be used for the new fiscal year UPWP/SOW (as defined above). The MPO PL Liaison will provide the verified carryover numbers and the planning fund estimate provided by INDOT Project Accounting, to the Indiana MPO Council PL Distribution Committee by November of each year.
4. No later than December 1st of each year, the Project Accounting will provide:
 - All PL final adjustments for the previous fiscal year(s) (funding appropriation(s) plus or minus) and provide to the MPO/LPA and Grants Director and the MPO PL Liaison a copy of the estimates.
 - The sharing Agreement and PL funding category amount.
 - The total of the two will be the amount available for distribution to the MPOs.
5. The MPO PL Liaison will meet with the MPO PL Distribution Committee and provide the total PL funding estimate by January 1st of each year.
6. The MPO PL Distribution Committee will review and concur or not in

writing to the MPO PL Liaison no later than January 10th each year. If concurrence is not received the MPO PL Liaison, MPO PL Distribution Committee, and INDOT Finance Division will review and resolve issues to develop concurrence.

7. The MPO PL Liaison will distribute the preliminary MPO PL, to each MPO, for the new fiscal year by January 15th.
8. The Indiana MPO Council will conduct its Discretionary Pool of Funding process at its February meeting, or as soon as possible after the delivery of the planning estimates from the MPO PL Liaison.
9. The MPO PL Distribution Committee will forward the signed and documented final PL Distribution numbers by MPO to the MPO PL Liaison 5 business days after the February Indiana MPO Council meeting as well as to the INDOT Finance Specialist.
10. Balances and files will be maintained by the INDOT MPO PL Liaison and the INDOT MPO Billing Coordinator in concurrence and cooperation with the Indiana MPO Council PL Distribution Committee.
11. The above process time line is based on MPOs with a fiscal year commencing July 1. If an MPO commences a fiscal year at another date, the time line will be modified to meet the MPO's fiscal year starting date as needed.

B. FISCAL YEAR

In Indiana, the MPO's, State, and Federal Highway Administration use several different fiscal years for their operational functions. These fiscal year formats are listed below, and it is recommended that each respective agency be contacted for clarification of the dates used. In all cases dates shown in this document are based on the state fiscal year of July 1 to June 30. The time frames referenced will be automatically adjusted when necessary and appropriate.

For reference, the date periods are listed below.

1. State Fiscal Year: July 1 to June 30
2. Federal Fiscal Year: October 1 to September 30
3. Calendar Year: January 1 to December 31

CHAPTER 4 - WORK PROGRAM

A. PLANNING EMPHASIS AREA COORDINATION

Annually in November of each year, but no later than December 1st, INDOT and FHWA will work cooperatively with the MPOs to develop Planning Emphasis Areas (PEAs) for the new fiscal year. Performance measures will be established for each PEA and the use and examination of national best practices will be encouraged.

Process

1. Planning Emphasis Areas will be available by December 1 each year. Performance measures will also be established.
2. Each MPO will incorporate the PEAs as identified into its fiscal year UPWP/SOW.
3. Each MPO will be responsible for the PEAs cooperatively agreed to as part of the UPWP/SOW submittals and deliverables.

B. UNIFIED PLANNING WORK PROGRAM / STATEMENT OF WORK

Most 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 smallest of the MPOs may develop 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 developed in cooperation with INDOT, FHWA, and the Indiana MPO Council.

For the first year of a two-year UPWP/SOW cycle, each MPO will provide the assigned INDOT MPO Coordinator 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 listed

under Section 2 of this Chapter. The two-year UPWP/SOW must also be amended to include any new PEAs identified by FHWA and INDOT as described above and/or additional funding if available.

If an MPO fiscal year is other than July 1 to June 30 the time line will be modified to meet the MPO's fiscal year starting date as needed.

C. UPWP/SOW AMENDMENT/MODIFICATION

Amendment

An amendment is required when funds are added to or reduced from a UPWP/SOW, which will affect the Purchase Order and/or contract associated with the UPWP/SOW.

An amendment request containing a copy of the signed MPO Policy Board Resolution, a revised/new UPWP/SOW element narrative, as well as revised/new financial pages must be forwarded to the INDOT MPO Coordinator. The request must clearly describe the type of funds to be used (PL, STP, CMAQ etc.) and must be accompanied by the appropriate TIP amended pages (if the funding source requires it).

Once received by the INDOT MPO Coordinator, copies of the amendment request will be routed to the appropriate INDOT and FHWA staff for concurrence. Upon review and a determination of concurrence, a letter approving the amendment will be provided to the MPO. Simultaneously, the INDOT MPO Coordinator will process the contract and PO amendments through the INDOT appropriate process and provide written notice to proceed with the amendment.

Modification

A UPWP/SOW may be modified by adding, subtracting, correcting narrative, or final calculation in the UPWP/SOW that does not impact the total funding amount related to the PO or contract associated with the UPWP/SOW.

A modification is accomplished by providing a written description of the changes, clearly stating that there are no funding changes associated with the modification request. The request must also include an amended UPWP/SOW narrative clearly showing the changes in text to the UPWP/SOW narrative. Once received by the INDOT MPO Coordinator, copies of the modification will be reviewed and shall receive concurrence in writing by the INDOT MPO Coordinator. Copies of the UPWP/SOW modification(s) will be provided to appropriate INDOT and FHWA staff.

D. UPWP/SOW REVIEW AND APPROVAL:

New UPWP/SOW Approval

1. The MPO submits its draft version of UPWP/SOW to the INDOT MPO Coordinator.
2. The INDOT MPO Coordinator solicits review comments/concurrence from Federal Highway Administration, Federal Transit Administration, Transit, Long Range Plan, Freight, and District(s), to assure the scope of work meets known needs.
3. Concurrently with the review process the MPO may initiate/complete passage of its resolution to adopt the UPWP/SOW.
4. After review and resolution of comments/questions/issues, the MPO submits its final version of the UPWP/SOW.
5. INDOT drafts a letter to FHWA recommending approval of the UPWP/SOW.
6. On receipt of the FHWA letter of approval, INDOT sends the letter notifying the MPO that the UPWP/SOW has been approved.
7. Following receipt of the approval letter from FHWA, INDOT MPO Coordinator prepares the Contract, Request for Federal Funds and Purchase Order(s) as needed.

E. FUNDING PROCESS:

Based on a 2-year UPWP/SOW cycle the steps below may be completed concurrently with, before or after completion of the review process as appropriate.

1. Upon approval of the UPWP/SOW by INDOT letter to the MPO, the INDOT MPO Coordinator completes the contract for funding:
 - In the year a new UPWP/SOW is drafted the full contract including all sections is used, funding is shown as Exhibit A in the contract.
 - If an amendment is being processed only heading pages, section 7, and funding shown as Exhibit B, C, D, (as necessary) are included to document the funding being requested.
2. INDOT MPO Coordinator forwards the completed contract with non-collusion affidavit to MPO for signature by director and return of original signed copy.

3. Upon receipt of the MPO signed Non-Collusion Affidavit, the contract is submitted for INDOT signatures and then to the Attorney General for review and approval. (If an amendment, the original contract is also submitted for review by the Attorney General).
4. INDOT MPO Coordinator prepares Request(s) for Federal Funds showing total funds, federal percentage, and local share total cost in a separate request for each fund category.
5. After receipt of the INDOT signed contract and Request for Federal Funds the INDOT MPO Coordinator processes the required documents to have Purchase Order(s) issued.

F. CARRYOVER PROJECTS

If an MPO does not complete a project within the fiscal year as expected, the project may be carried over to the following year's UPWP/SOW. To assure that projects that are underway continue to be funded the project must be clearly identified in the pending/new UPWP/SOW as a Carryover Project. A special section at the end of the pending/new UPWP/SOW called Carryover Projects will list each Carryover Project by work element. The INDOT MPO Coordinator and MPO Billing Coordinator will make all required Purchase Order (PO) adjustments to assure that carryover projects are extended and correctly accounted for in the INDOT fiscal system. When billing for work performed on a Carryover Project, the prior FY PO number will continue to be used unless otherwise notified by the MPO Billing Coordinator. Carryover Projects do not include tasks performed every year as an ongoing work item.

G. PURCHASE ORDER CLOSEOUT

Each MPO will be responsible for complete drawdown of the funding in the PO issued for the first year of the UPWP/SOW until the PO has a zero dollar balance. The drawdown of the funding in the designated PO issued for the second year of the UPWP/SOW funding will be started after the first year PO has been zeroed out. At the conclusion of the second year of the two-year UPWP/SOW, the MPOs will terminate spending funds from the PO for funds expended after June 30th (projects completed as of June 30th are eligible to be billed and processed in the following fiscal year against the prior year PO). As of June 30th, any carryover projects from the UPWP/SOW may be carried forward as described in the Carryover Projects process above.

If an MPO fiscal year is other than July 1st to June 30th, the time line will be modified to meet the MPO's fiscal year starting date as needed.

H. COST ALLOCATION PLAN – CAP

As part of the development process for both the two year UPWP/SOW and the annual amendment to the UPWP/SOW each MPO will develop a Cost Allocation Plan (CAP) which will identify and set the direct and indirect reimbursement rates for the year. The CAP will be developed using the most recent **2 CFR Part 225 or 230** as applicable (**OMB Circular A87**). By developing a CAP each year the MPO is required to adjust rates annually to allow for direct & indirect cost changes.

Each MPO shall submit a CAP plan which will identify the required information (see above paragraph) and such calculations as necessary to document the rates. INDOT will review the final calculation table, request clarification or correction on any discrepancies noticed and issue a letter of concurrence based on the information provided. (See **Appendix 4A**)

I. FINANCIAL STATUS REPORT

The Financial Status Report shall be submitted with each Billing Invoice Letter documenting the funding status of each activity contained in the UPWP/SOW as of the end of the billing period. A separate entry for each activity is to be completed showing the activity number, and activity name, a breakdown of the components of the cost, the calculations to determine the amount being claimed and year to date totals. (See **Appendix 4B**)

J. BILLING INVOICE LETTER

The invoice is the requesting document for payment to be processed by INDOT and credited to the MPO. The invoice should be addressed to the MPO Coordinator, contain a reference to the type of funding, Purchase Order Number(s), billing period, fiscal year funding requested, work element(s), expenditure by element and share being billed for. Multiple purchase orders may be billed on an invoice letter. (See **Appendix 4C**)

K. PROGRESS REPORTS

Each billing submitted for reimbursement must be accompanied by a Progress Report covering the period for the requested reimbursement. Each Progress Report must contain a concise description of the element activity for the billing period and follow the suggested format. (See **Appendix 4D**)

L. ANNUAL COMPLETION REPORT (ACR)

An Annual Completion Report describing the activities completed for the year will be completed and submitted to the INDOT MPO Coordinator and cc'd to FHWA and FTA by September 30th each year. An ACR will be completed for each year of a 2 year UPWP, using a PDF & CD/DVD searchable format when possible. (See [Appendix 4D](#))

The ACR deliverables (not carried over) will be provided to the INDOT MPO Coordinator by September 30 of each year.

If an MPO fiscal year is other than July 1st to June 30th, the time line will be modified to meet the MPO's fiscal year starting date as needed.

M. PROJECT TRACKING

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 constructing 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.

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.

CHAPTER 5 - THE METROPOLITAN TRANSPORTATION PLAN

Transportation Planning recognizes the critical links between transportation and other goals of society. Recognizing developing strategies for operating, managing, maintaining, and financing, and advancing an area's long term goals of access, mobility and safety with environmental, economic, social concerns, land use, urban growth, and economic development, as well as other issues of local importance.

- A. The Metropolitan Transportation Plan (MTP) is a financially reasonable plan addressing a planning horizon of no less than 20 years from the effective date of the plan. In non-attainment and maintenance areas the effective date shall be the date of the conformity determination issued by the Federal Highway Administration.
- B. In areas designated by the U.S, EPA as non-attainment or maintenance for mobile source pollutants under the Clean Air Act, the MPO shall secure agreements with the Local, State, and Federal air quality agencies describing respective roles and responsibilities for addressing transportation related air quality planning in the performance of overall transportation planning and programming. This agreement must address conformity of the MPO Metropolitan Transportation Plan and Transportation Improvement Program in accordance with the U.S. Environmental Protection Agency Conformity Rule, **40 CFR Parts 51 and 93**. Procedures for making conformity determinations are contained in the Interagency Consultation Group Conformity Consultation Guidance adopted by the MPOs and interagency consultant group parties (i.e. INDOT, IDEM, EPA, FHWA, etc.) in August 2007. (See *Inter-Agency Consultation Guidance located at:* <http://www.indianampo.com/PDF/ConformityConsultationGuidance.pdf>)
- C. The MTP shall include but is not limited to:
 1. The projected transportation demand for goods and services in the planning area.
 2. Existing and proposed transportation facilities.
 3. Operation and management strategies for the transportation system.
 4. Consideration of the Congestion Management Process in TMAs.
 5. Strategies to preserve the existing and proposed future transportation infrastructure.
 6. Requirements of **23 CFR 450.322**.

- D. Each MTP shall contain a financial plan showing system level estimates of costs and revenue sources that are reasonably expected to be available to operate and maintain the system. Prior to publishing the MTP a draft shall be reviewed by INDOT for concurrence in financial projections.
- E. When developing the MTP each MPO will coordinate with INDOT Long Range Planning, Modeling and Forecasting, Capital Asset Management Sections, through the INDOT MPO Coordinator in the Office of LPA/MPO and Grants Administration, as appropriate.
- F. Each MPO has an established Public Involvement Procedure which it will follow for the review and approval of the MTP.

CHAPTER 6 - TRANSPORTATION IMPROVEMENT PROGRAM (TIP)

A. LEGAL REQUIREMENTS

As part of the federally prescribed 3C planning process, MPOs must develop a fiscally constrained Transportation Improvement Program (TIP). The TIP is a prioritized listing/program of all federal-aid and local multimodal transportation projects programmed to be carried out in the metropolitan planning area over a specified 4-year period. The TIP also shall contain all regionally significant projects requiring action by FHWA or FTA whether or not the projects are to be funded under **Title 23 U.S.C. Chapters 1 and 2** or **Title 49 U.S.C. Chapter 53**. For public information and conformity purposes and approval, the TIP must also include all regionally significant projects proposed to be funded with federal funds other than those administered by FHWA or FTA, as well as all regionally significant projects to be funded with non-federal funds. The TIP must be approved by the MPO Policy Board or Committee and the Governor, and it must be consistent with the adopted MTP.

B. UPDATE SCHEDULE

Beginning in September of each year, INDOT will notify the MPOs of its decision to update the Statewide Transportation Improvement Program (STIP). If INDOT selects or is required to complete an update to the STIP, the districts will develop a listing of their proposed projects for the next four years and will set dates and times for early coordination meetings with each MPO.

INDOT through its Office of Project Accounting will annually publish a local sharing agreement, by November 15th each year. The local sharing agreement which has been cooperatively developed by INDOT and the MPOs will estimate the funds by category to be used by each MPO in developing its annual TIP. It should be noted by all parties that the listing is only an estimate of anticipated funding and adjustments to the funding available will be made when final federal allocations are provided. Refer to **Appendix 6A**.

C. INDOT/MPO TIP REVIEW PROCESS

1. MPO submits the draft TIP to its INDOT MPO Coordinator, FHWA, FTA, and Interagency Consulting Group (ICG) when appropriate.
2. A two week review process starts by notifying and soliciting comments from planning partners for:
 - Long Range Planning
 - Transit
 - Finance
 - Office of Intermediate Planning
 - FHWA
 - FTA
3. Review of comments/concerns by either email or phone conference as appropriate.
4. 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.
5. The TIP is approved after review and approval by the Governor via INDOT.
6. Signed letter is forwarded by the INDOT MPO Coordinator to the MPO approving its TIP.
7. FHWA initiates conformity review period (30 day) after receiving the MPO's signed resolution and resolution number and issues a letter of acceptance at the conclusion of their review period. (when required)
8. INDOT process to incorporate a TIP into the STIP
 - 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.
 - 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.
9. MPO is notified of approval of TIP being incorporated into STIP by Office of Intermediate Planning and INDOT MPO Coordinator.

D. PUBLIC INVOLVEMENT

INDOT and the MPOs are required to develop and use a documented public participation plan. [23 USC 134(i)(5)(B); 23 C.F.R. 450.316(a)]. The participation plan defines the process for public input into the TIP. The MPO shall provide all interested parties reasonable opportunity to comment on the TIP as required in 23 C.F.R. 450.324(b). (*Link to [INDOT Public Involvement Web-page](#) for most current INDOT Public Involvement Manual*)

In Transportation Management Areas (TMAs), the MPO shall provide at least one formal public meeting during the TIP development process, which should be addressed through the participation plan and include interested parties, citizens, and affected public agencies, as defined in 23 C.F.R. 450.316(a).

E. AMENDMENT DEFINITIONS

MPOs are responsible for modifying and amending their Transportation Improvement Programs. Amendments to the TIP/STIP may require state review and federal approval.

1. An amendment is a revision to a TIP or STIP that involves: a major change to a project in a TIP or STIP, including addition or deletion of a project, or a major change in project cost, project/project phase initiation dates, or a major change in design concept or design scope (i.e., changing project termini, or the number of thru-traffic lanes) [23 CFR 450.104]. An amendment may require public review and comment, re-demonstration of financial constraint, or a conformity determination, if applicable.
2. An administrative modification is a minor revision to a TIP or STIP that includes minor changes to project/project phase costs, minor changes to funding sources of previously included projects and minor changes to project/project phase initiation dates. An administrative modification does not require public review and comment, remonstrations of fiscal constraint, or a conformity determination, if applicable [23 CFR 450.104].

All TIP amendment requests will be reviewed/approved by the Offices of LPA/MPO & Grants Administration, Transit, & Intermediate Planning as appropriate and on behalf of the Governor to ensure they are accurate and complete prior to submittal to FHWA and/or FTA for their review and approval. TIPs/STIP will require formal amendments when one or more of the following criteria are met:

- The change adds new individual projects or phases
- The change adversely impacts financial constraint
- The change may result in major scope changes
- The change deletes an individually listed project from the TIP/STIP

F. AIR QUALITY AGREEMENTS (Inter-Agency Consultation)

See [Chapter 5, Page 19, B](#) for this process.

G. AMENDMENT REQUEST PROCESS

- A. ALL INDOT requests for MPO TIP/STIP amendments will be processed through the INDOT MPO Coordinator in the office of LPA/MPO and Grants Administration.
 - 1. For all INDOT sponsored projects (District or State), the INDOT Project Manager will complete the Amendment/Modification Spreadsheet and forward it to the INDOT MPO Coordinator in the office of LPA/MPO and Grants Administration in the Central Office who will review the request and forward it to the MPO with a copy to 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.
- B. Upon completion of processing the amendment (local &/or state projects) request the MPO will complete the Amendment/Modification Spreadsheet, attach the appropriate signed resolution(s) and forward to the INDOT MPO Coordinator with copies to the District Funds Manager.
- C. The INDOT MPO Coordinator will review and submit the Amendment/Modification Spreadsheet as a STIP request to the Office of Intermediate Range Planning for processing in the next STIP amendment, per the published STIP amendment schedule.
- D. When FHWA approval has been received the Office of Intermediate Planning will send an email with the approval letter and copy of the approved amendment to all names on the STIP Amendment Distribution List.
- E. SPMS log notes will be updated by the Office of Intermediate Planning with the latest TIP and STIP amendment information
- F. 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).

Exempt and nonexempt project status is identified in the Interagency Consultation Group Guidance (See ICG link in [Chapter 5](#))

See *Conformity Procedure Charts* in [Appendix 6A-1](#) and [6A-2](#) that indicates in days the length updates and amendments may take.

H. MODIFICATION REQUEST PROCESS

- A. For local projects, the MPO will modify its TIP per its respective policy and procedures.
- B. For state projects, the INDOT Project Manager will complete the Modification Spreadsheet and forward it to the INDOT MPO Coordinator for review and processing to the MPO. (See [Appendix 6C-1](#))
- C. The MPO will modify its TIP per its respective policy and procedures.
- D. The MPO will notify its INDOT MPO Coordinator when the modification is complete and submit the Amendment/Modification Spreadsheet.
- E. The INDOT MPO Coordinator reviews and forwards the Amendment/Modification spreadsheet to the Office of Intermediate Planning-Central Office for a STIP modification.
- F. When the modification is processed an email will be sent by the Office of Intermediate Planning to all on the STIP Amendment Distribution list.
- G. SPMS log notes will be updated by Intermediate Planning with the latest modification information

I. TRANSIT AMENDMENT PROCESS

Effective with the 2012-2015 STIP, 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 MPO Coordinator in the office of LPA/MPO and Grants Administration.

- A. MPO submits a DES# request using MPO – Transit TIP/STIP Amendment/Modification Request Spreadsheet to the Central Office INDOT MPO Coordinator. **(NO CC COPIES ARE TO BE SENT)** (See [Appendix 6C-2](#))
 - 1. Central Office INDOT MPO Coordinator forwards the request for DES# to Transit Office, specifying the actions requested.
 - 2. Transit Office obtains DES# and returns completed spreadsheet with DES# to Central Office INDOT MPO Coordinator.
 - 3. Central Office INDOT MPO Coordinator returns completed request to MPO.

- B. MPO Submits a MPO – Transit TIP/STIP Amendment/Modification Request Spreadsheet (not combined with highway projects) to Central Office INDOT MPO Coordinator for processing.
- C. Central Office INDOT MPO Coordinator forwards the Amendment/Modification Spreadsheet to the 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, Office of Transit will contact the MPO.
- D. When approval is received from FTA by Office of Transit, Office of Transit forwards copies (spreadsheet & approval letter) to Central Office INDOT MPO Coordinator.
- E. Central Office INDOT MPO Coordinator forwards copy of Transit TIP/STIP Amendment/Modification Spreadsheet and approval letter to STIP Specialist for updating of project logs in SPMS, and transmittal to FHWA with administrative modifications and to MPO.

J. ANNUAL LIST OF OBLIGATED PROJECTS.

Metropolitan planning areas, on an annual basis, no later than 90 calendar days following the end of the program year (June 30) shall develop a list of projects for which funds were obligated in the preceding program year. The list is to be developed cooperatively with the state and public transportation operators. INDOT will provide its list to the MPO's within 30 calendar days of the close of the program year.

The listing shall include all federally funded projects authorized or revised to increase funding obligations in the preceding program year, and shall at a minimum include the following identifying TIP information for each project:

- a. Federal funds obligated in the year
- b. Dollar amount of unobligated TIP balance remaining per project
- c. Project description

K. INDOT MPO COORDINATOR CONTACTS:

INDOT Central Office and Districts will assign individuals to be principle contacts with the MPOs and coordinate activities within their areas of MPO administration and planning. (*See Appendix 6D*).

APPENDIX 1A

INDIANA METROPOLITAN PLANNING ORGANIZATIONS (MPOs)

www.indianampo.com

ANDERSON (MCCOG)

Madison County Council of Governments

Jerrold Bridges, Executive Director

County Government Center

16 East 9th Street, Room 100

Anderson, IN 46016

(765) 641-9482 FAX: (765) 641-9486

Email: jbridges@mccog.net

Website: www.mccog.net

Urbanized area: Anderson, IN; Counties: MADISON, Parts of DELAWARE, HANCOCK, HAMILTON

BLOOMINGTON (BMCMPPO)

Bloomington/Monroe County Metropolitan Planning Organization

Josh Desmond, MPO Director;

City of Bloomington Planning Department

P.O. Box 100

Bloomington, IN 47402-0100

(812) 349-3423 FAX: (812) 349-3535

E-mail address: desmondj@bloomington.in.gov

Website: www.bloomington.in.gov/planning/mpo.php

Urbanized area: Bloomington, IN; County: MONROE

CINCINNATI (OKI)

Ohio-Kentucky-Indiana Regional Council of Governments

Mark Policinski, Executive Director

720 East Pete Rose Way, Suite 420

Cincinnati, OH 45202

(513) 621-6300 or (513) 621-7060 FAX: (513) 621-9325

E-mail: mpolicinski@oki.org

Website: www.oki.org

Urbanized area: Cincinnati, OH-KY-IN; IN County: DEARBORN

COLUMBUS (CAMPO)

Columbus Area Metropolitan Planning Organization

Laurence Brown, Director

123 Washington Street

Columbus, IN 47201

(812) 376-2502 FAX: (812) 376-2643

E-mail address: lbrown@campo.in.gov

Website: www.campo.in.gov

Urbanized area: Columbus, IN; County: BARTHOLOMEW, Blue River Township in Johnson County, and Jackson Township in Shelby County

EVANSVILLE MPO

Evansville Metropolitan Planning Organization

Brad Mills, Executive Director

1 Northwest Martin Luther King Boulevard.

Civic Center Complex, Room 316

Evansville, IN 47708

(812) 436-7833 FAX: (812) 436-7834

E-mail: bmills@eutsmpo.com

Website: www.eutsmpo.com

Urbanized area: Evansville, IN-KY; IN Counties: POSEY, VANDERBURGH, WARRICK

FORT WAYNE (NIRCC)

Northeastern Indiana Regional Coordinating Council

Dan Avery, Executive Director

200 E. Berry St, Suite 230

Fort Wayne, IN 46802

(260) 449-7309 FAX: (260) 449-8652

E-mail: dan.avery@co.allen.in.us

Website: www.NIRCC.com

Urbanized area: Fort Wayne, IN; Counties: ADAMS, ALLEN, DE KALB, WELLS

INDIANAPOLIS (IMPO)

Indianapolis Metropolitan Planning Organization

Anna Tyszkiewicz, Executive Director

Suite 1922, City County Building

200 East Washington Street

Indianapolis, IN 46204-3310

Anna Tyszkiewicz - (317) 327-5487

E-mail: Anna.Tyszkiewicz@indy.gov

Website: www.indympo.org

Urbanized area: Indianapolis, IN; Counties: BOONE, HAMILTON, HANCOCK, HENDRICKS, JOHNSON, MARION, MORGAN, SHELBY

KOKOMO (KHCGCC)

Kokomo and Howard County Governmental Coordinating Council

Larry Ives, Director

209 South Union St.

Kokomo, IN 46901

(765) 456-2336 FAX: (765) 459-9185

E-mail: khcgcc@aol.com

Website: www.kokomompo.com

Urbanized area: Kokomo, IN; County: HOWARD

LAFAYETTE (APCTC)

Area Plan Commission of Tippecanoe County

Sallie Dell Fahey, Executive Director

20 North Third Street

Lafayette, IN 47901-1209

(765) 423-9242 FAX: (765) 423-9154

E-mail: sfahey@tippecanoe.in.gov

Website: www.tippecanoe.in.gov/apc/

Urbanized area: Lafayette, IN; County: TIPPECANOE

LOUISVILLE (KIPDA)

Kentuckiana Regional Planning and Development Agency

Jack Couch, Executive Director

11520 Commonwealth Drive

Louisville, KY 40299

(502) 266-6084 FAX: (502) 266-5047

E-mail: Jack.Couch@ky.gov

Website: www.kipda.org

Urbanized area: Louisville, KY-IN; Indiana Counties: CLARK, FLOYD, 1110 sq. miles of HARRISON

MUNCIE (DMMPC)

Delaware-Muncie Metropolitan Plan Commission

Marta Moody, Executive Director

Delaware County Building, Room 206

100 West Main Street

Muncie, IN 47305-2827

(765) 747-7740 FAX: (765) 747-7744

E-mail: mmoody@co.delaware.in.us

Website: www.dmmpc.org

Urbanized area: Muncie, IN; County: DELAWARE

NORTHWEST (NIRPC)

Northwestern Indiana Regional Planning Commission

John A. Swanson, Executive Director
6100 Southport Road
Portage, IN 46368-6409
(219) 763-6060 FAX: (219) 762-1653
E-mail: jswanson@nirpc.org
Website: www.nirpc.org

Urbanized areas: Chicago, IL-IN, Michigan City, IN-MI; IN Counties: LAKE, LA PORTE, PORTER

SOUTH BEND/ELKHART (MACOG)

Michiana Area Council of Governments

Sandra M. Seanor, Executive Director
227 W. Jefferson Blvd., Room 1120
South Bend, IN 46601
(574) 287-1829 FAX: (574) 287-1840
E-mail: sseanor@macog.com
Website: www.macog.com

Urbanized area: South Bend, IN-MI; IN Counties: ELKHART, KOSCIUSKO, MARSHALL, ST. JOSEPH

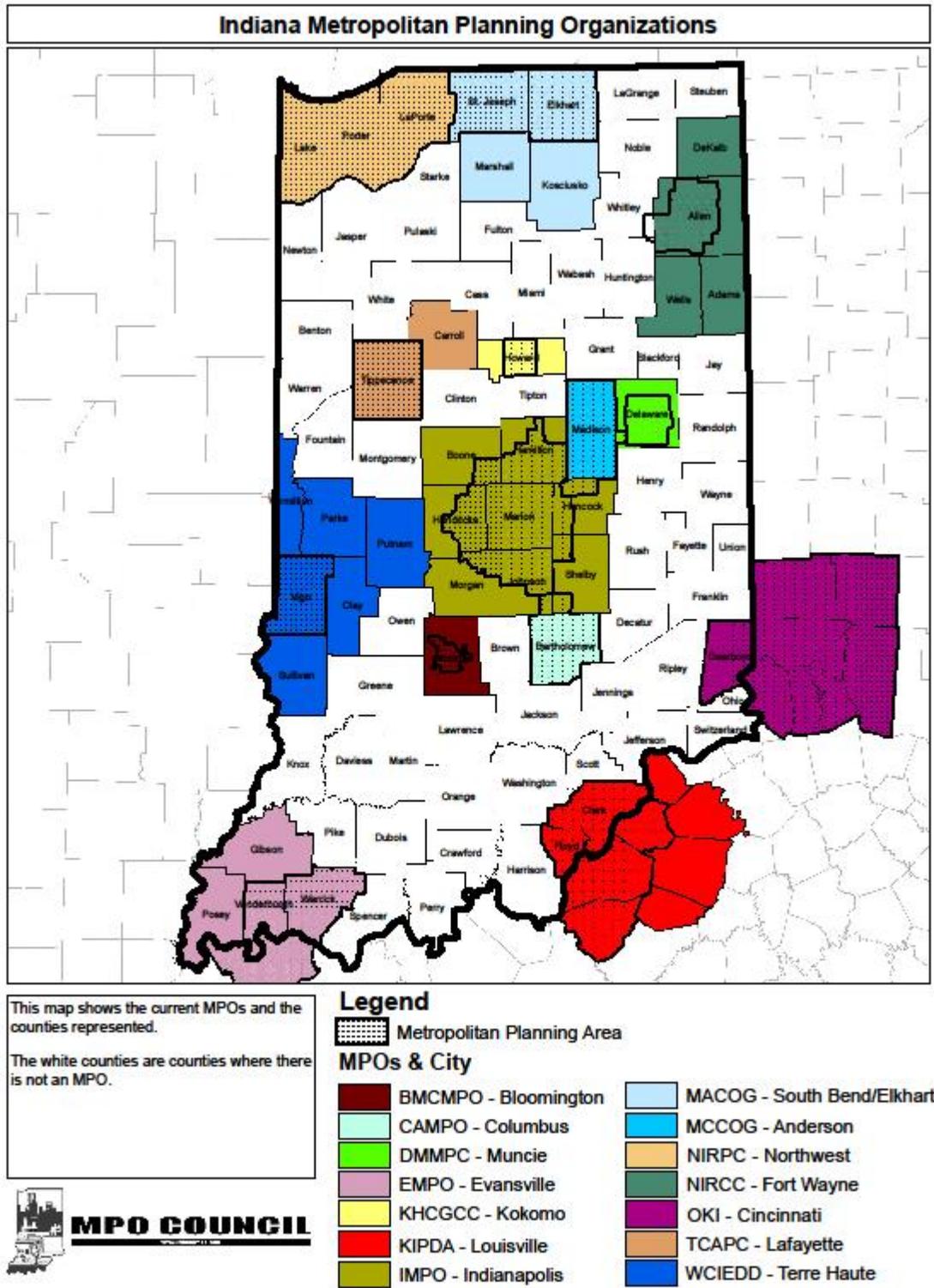
TERRE HAUTE (WCIEDD)

West Central Indiana Economic Development District, Inc

Ron Hinsenkamp, Chief Transportation Planner
1718 Wabash Avenue
Terre Haute, IN 47807-3323
(812) 238-1561 FAX: (812) 238-1564
Ron Hinsenkamp (812) 917-3199
E-mail: rhinsenkamp@westcentralin.com
Website: www.westcentralin.com

Urbanized area: Terre Haute, IN; Counties: CLAY, PARKE, PUTNAM, SULLIVAN, VERMILION, VIGO

APPENDIX 1B



APPENDIX 1C

MPO Planning Areas (updated 1-13-2011)					
MPO	Urbanized Area	Group	Metropolitan Planning Area	Rural Planning Area	Air Quality Area
BMCMPPO	Bloomington, Ellettsville, and the surrounding parts of Monroe County (57 sq mi)	2	Bloomington, Ellettsville, and the surrounding parts of Monroe County	NO	NO
CAMPO	Columbus	2	Bartholomew County	NO	NO
DMMPC	Muncie	2	Delaware County, less Anderson Urbanized Area	NO	Delaware County
EMPO	All Vanderburgh & Warrick Counties	1	Vanderburgh & Warrick Counties, as well as a small area along SR 62 in Posey County	Gibson & Posey Counties	Vanderburgh & Warrick Counties
IMPO	Indianapolis	1	All of Marion County, portions of Boone, Hamilton, Hancock, Hendricks, Johnson, Morgan, Shelby,	No	Marion County, Boone, Hamilton, Hancock, Hendricks, Johnson, Madison, Morgan, and Shelby Counties
KHCCG	Kokomo/Howard County	2	CR500 E to CR500 W, & County Lines North & South, also includes the sub-division in Miami County just west of US 31	NO	NO
KIPDA	Louisville (Ky-IN)	1	Clark & Floyd County, 1/10 Sq Mi Harrison County, (Charlestown Small Urban Area (GPIII))	NO	Clark & Floyd County, & Madison Township (City of Madison)
MACOG	South Bend	1	Elkhart & St. Joseph Counties	Kosciusko & Marshall Counties	Elkhart & St. Joseph Counties
MACOG	Elkhart, Goshen	2			
MCCOG	Anderson	2	Madison County, Daleville in Delaware County, Fortville in Hancock County	Hancock, Shelby Counties	Madison County, coordinated with Indianapolis & Muncie MPO's
NIRCC	See Map (Ft. Wayne Urban Boundary)	1	See Map (2030-II Plan between highlighted area and solid line)	Adams, Allen (outside of MPA), DeKalb, Wells Counties	Allen County

Appendix 1C

NIRPC	Chicago, IL/IN	1	Lake & Porter Counties (entire counties)	Non-Urbanized areas portions of both counties	Lake & Porter Counties Non-Attainment Area
NIRPC	Michigan City, IN/MI	2	LaPorte County (entire county)	Non-Urbanized portion of LaPorte County	LaPorte County Non-Attainment/Maintenance Area
OKI	Cincinnati	1	Dearborn County Indiana (Boone Kenton, Campbell Counties Kentucky, Butler, Clermont, Hamilton, Warren Counties Ohio)	Part of Dearborn County	The non-attainment portion of Dearborn County (Greendale, Lawrenceburg, Lawrenceburg township)
TCAPC	Lafayette	2	All of Tippecanoe County	Carroll County, Delphi, Flora & Camden	Attainment
WCIEDD	City of Terre Haute, Towns of Seelyville, West Terre Haute, Urbanized areas of Vigo County	2	All of Vigo County	Clay, Park, Putnam, Sullivan, & Vermillion Counties	Maintenance Area

APPENDIX 2A

INDOT/LOCAL FEDERAL-AID SHARING ARRANGEMENT FISCAL YEAR 2006

Revised 12/9/2011

1. General Rules for Local Federal-Aid Funds:

- a) Based upon the recognition that Metropolitan Planning Organizations (MPOs) have certified planning processes in place, MPOs may submit any number of Preliminary Engineering (PE) or Right-of-Way (R/W) projects as long as they are reasonable and fundable. There is no cost limitation on PE and/or R/W phases of the project submitted for funding unless “capped” by the MPO.
- b) For areas other than MPOs: PE and R/W that was authorized by INDOT prior to October 1, 1996 will only be permitted to expend Federal funds on PE and or Right of Way up to the approved and indicated original amount. Effective April 29, 2009 areas other than MPO’s will receive funding for all phases as a lump sum payment. Any additional costs must be paid with 100% local funds.

Federal enhancement funds if specifically authorized may be used for all phases of projects.

Effective April 1, 2003 through April 2005, INDOT initiated a “volunteer program” that allowed costs that Group III and IV towns and counties spent with 100% local funds on development, design or land acquisition of a local road, bridge or railroad project to be credited (maximum of 80% of total cost) for up to one half of the 20% local required match to fund construction. Effective May 1, 2005, in order to receive this credit before starting any phase, PE or R/W, the estimated cost must be authorized with INDOT and Federal Highway as 100% match. Contact the local Services Center for more details.

- c) On any project not funded by an MPO, Federal-aid reimbursements will be limited to the Federal share of the initial “award” amount indicated in the project’s award notification letter from INDOT. For projects funded by MPOs levels of Federal reimbursement are governed by the respective MPO.

Any requests for additional Federal funds above the “award” amount must be approved by the MPO or INDOT, whom ever initially approved the project.
- d) All dedicated local funds will be given a proportional share of obligation authority. For MPOs, the January 29, 1998 flexible funding policy for MPOs remains in effect for FY 2006.

- e) Representatives of INDOT and local governments will meet on an annual basis to review these policies. INDOT will also prepare a report at the end of the year to show compliance with this agreement.
 - f) For the purposes of Section 1c of this arrangement:
 - i. “Dedicated funds” are those sub allocated to specific MPOs pursuant to Table Two (See attachment.)
 - ii. “Organizational capped funds” are those shared funds for which a maximum has been established to limit how much any single LPA or MPO can receive.
 - iii. “Non-capped, shared funds” are those for which all LPAs and MPOs compete and on which no limit per LPA/MPO have been set. The funds that fall into this category are: Transportation Enhancement; Rail, Safe Routes to Schools, Highway Safety Improvement Program, and Bridge (except MPOs).
 - g) Each group will be entitled to a proportional distribution in its total funding (STP+EB+CMAQ) equal to the total amounts received and sharable from FFY 1997 to FFY 2004.
 - h) CMAQ funds can be used in non-attainment areas and maintenance areas.
- 2. Interstate Maintenance Funds** - INDOT will receive 100% of these funds, as there are no Interstate routes under local jurisdiction.
- 3. Bridge Funds** – Approximately thirty-five percent (35%) of total bridge funds will be reserved for LPAs. Federal law requires that 15% must be spent on roads functionally classified as Rural Minor Collector or below (i.e. off system).
- a) Bridge funds for local governments are limited to eligible bridges on approved Federal-aid projects. No more than four bridges per county may be in the local bridge preservation program at any one time. Bridges as part of a road project do not count toward the four-bridge limit.
 - b) Bridge funds are available via the Federal-aid program application process for on-or off-system bridges to any LPA exclusive of MPOs as long as the 15% off-system requirement is met.
- 4. National Highway System (NHS) Funds** - INDOT will receive 100% of these funds.

- 5. Surface Transportation Program (STP) Funds** - The STP funds will be allocated to the various categories and geographical areas as required by the **2005 SAFETEA-LU Act**, (or as revised).
- a) STP funds for Group I cities will be allocated as required by SAFETEA-LU according to population.
 - b) STP funds for Group II and Group III cities will be split in order to assure that both Group II and Group III cities receive a change in apportionments equal to the overall change in apportionments to the state.
 - c) Each Group III city and for urban areas less than 5,000 population (i.e. Group IV cities and towns) and Group IV counties is limited to \$2.5 million in STP (and/or EB) funds per year unless an alternate Federal-aid reimbursement schedule is received and formally approved by INDOT.
- NOTE:** Marion County is excluded from this category because there are no areas under 5,000 populations within the county.
- d) Rail-Highway/HES funds and Transportation Enhancement funds will be distributed when calculating the 75% INDOT and 25% Local Government overall distribution according to the amounts obligated from prior years. Adjustments will be made in the following year's sharing agreement to maintain overall equity, as nearly as practicable.
- 6. Equity Bonus (EB) Funds** – Equity funds will be divided between INDOT and Local Government Agencies. Each group will receive a proportional distribution in funds equal to the total distribution in sharable funds from FFY 1997 to FFY 2004.
- 7. Congestion Mitigation/Air Quality (CMAQ) Funds** -Funds are shared on a 50/50 basis between the State and Local Governments. The local share of funds will be split among non-attainment areas on a weighted basis in the same manner as CMAQ funds are allocated to the State.
- 8. 100% Federal Safety Funds**- All rail projects are now eligible for 100% federal funding.
- 9. Recreational Trails and SPR/HPR/Planning Funds** are not included in this analysis.
- 10.** Federal funds do require a match from the LPA, that is in most cases, 20% of the eligible project cost. INDOT is required to “let” the construction phase of the project. After the award of the construction contract INDOT will bill the LPA for its 20% match or adjusted match and any non-participating (not eligible for federal funding) items. This is the only phase of the project that the LPA is required to send its 20% match funds to INDOT.
- 11.** Federal funds are reimbursable by INDOT to the LPA which means the LPA must incur the expense and seek reimbursement from INDOT for the Federal portion.
- 12.** Federal funds to be used on any phase of a local project must first be authorized by INDOT and FHWA before notice to proceed is given to the LPA by INDOT

APPENDIX 3A

PLANNING (PL) ALLOCATION FORMULA

Effective September 27, 2005

The Planning (PL) Allocation Formula is based in population and an equalizing formula. 25% of the total MPO appropriation of PL funds will be taken off the top annually and held for equalization distribution.

1. 75% population and Sustaining Distribution:

- a) Each MPO will receive a \$50,000 sustaining amount so long as their urban population in Indiana exceeds 50,000.
- b) No MPO regardless of population can receive more than 25% of the total statewide PL appropriation annually.
- c) The remaining 75% of the total annual statewide PL appropriation will be allocated to all MPO's based on population. Once the population distribution is complete the \$50,000 sustaining amount will be added to each MPO's allocation.

6. 25% Equalization Balance:

- a) The 25% taken off the top of the total PL appropriation will be distributed as follows;
 - 1) Any MPO exceeding 20% of the statewide population and sustaining distribution may not participate in the formula equalization distribution. Instead they will receive a flat \$50,000 distribution, which will be added to the population and sustaining distribution.
 - 2) The remaining equalization amount will be distributed to all other MPO's based on the total population (minus all MPO's exceeding the 20% total distribution cap's population) divided by their urbanized area population.
- b) There is a 25% reserve cap and a maximum limitation of \$100,000 on each MPO's allocation, which means that no MPO may "bank or reserve" more than 25% of their annual allocation nor can they exceed \$100,000. If the MPO reserve amount exceeds 25% (or maximum limitation of \$100,000) the amount will be taken out of the MPO's total and
 - 1) 1st; will be placed into a "discretionary pool of funds"
 - 2) 2nd; funds exceeding 25% in the "discretionary pool of funds" will be re-allocated to all MPO's based on population until they meet the 25% maximum.

7. Discretionary Pool of Funds:

Requests for funding from the “discretionary pool” must be agreed to by the MPO Council annually by October 1st for Indianapolis and January 1st for all other MPO’s. All MPO’s are asked to make “reasonable” requests. 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.) Directors 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.

a) All MPO’s currently exceeding the 25% cap may choose to retain their current balances and refrain from receiving additional allocations until they have reduced their balances to the 25% cap. MPO’s choosing this method will not be eligible for the discretionary pool of funds until their current balances meet the 25% cap.

b) Or, MPO’s may also choose to have their current balances exceeding the 25% cap put into the “discretionary pool of funds” and remain in the allocation formula for CY or FY 2007 and beyond.

c) The funding formula may be reviewed from time to time. Approval of the formula requires 9 yes votes out of the 14 member MPO Council.

APPENDIX 4A

SAMPLE of COST ALLOCATION PLAN CONCURENCE LETTER

Date of Letter

MPO Director

MPO Name

MPO Address

Dear MPO Director;

INDOT has reviewed the Name of MPO
Cost Allocation Plan submitted for use in recovering costs for State Fiscal Year 2013.

Based on the information provided, INDOT concurs with the use of the following rates:

Fringe	00.0%
Indirect	00.0%

Should you have any questions or concerns regarding these rates, please feel free to call me at any time.

Sincerely,

CAP Reviewer
Office of LPA/MPO and Grant Administration
MPO Coordinator
317-232-XXXX

APPENDIX 4B

FINANCIAL STATUS REPORT

(AGENCY NAME)

(1)	(2)	(3)	(4)	(5)	(6)	(7)
ELEMENT NUMBER	DESCRIPTION OF COSTS	TOTAL COSTS ALL GRANTS	PL	HSIP	FTA	OTHER
XXXX	1. Activity Name					
	2. DIRECT LABOR		\$ -	\$ -		
	3. DIRECT FRINGE					
	4. INDIRECT COSTS					
	5. OTHER DIRECT	\$ -	\$ -	\$ -		
	6. CONSULTANT		\$ -	\$ -		
	7. PERIOD TOTAL	\$ -	\$ -	\$ -	\$ -	
	8. LESS LOCAL MATCH		\$ -	\$ -	\$ -	
	9. CLAIM FOR PERIOD		\$ -	\$ -	\$ -	\$ -
	10. PRIOR CLAIMS		\$ -	\$ -	\$ -	\$ -
	11. CLAIMED TO DATE		\$ -	\$ -	\$ -	\$ -
	12. BUDGET AMOUNT		\$ -	\$ -	\$ -	\$ -
	13. % BUDGET SPENT					
	14. % WORK COMPLETE					
	COMMENTS:					
XXXX	1 Activity Name					
	2. DIRECT LABOR	\$ -	\$ -	\$ -		
	3. DIRECT FRINGE					
	4. INDIRECT COSTS					
	5. OTHER DIRECT	\$ -	\$ -			
	6. CONSULTANT	\$ -	\$ -			
	7. PERIOD TOTAL	\$ -	\$ -	\$ -	\$ -	
	8. LESS LOCAL MATCH		\$ -	\$ -	\$ -	
	9. CLAIM FOR PERIOD		\$ -	\$ -	\$ -	\$ -
	10. PRIOR CLAIMS		\$ -	\$ -	\$ -	\$ -
	11. CLAIMED TO DATE		\$ -	\$ -	\$ -	\$ -
	12. BUDGET AMOUNT		\$ -	\$ -	\$ -	\$ -
	13. % BUDGET SPENT					
	14. % WORK COMPLETE					
	COMMENTS:					

(Signature)

form 12803

APPENDIX 4C

Billing Invoice Letter

MPO NAME & ADDRESS INFORMATION

Date:

TO:

XXX MPO Coordinator
Office of LPA/MPO and Grant Administration
Indiana Department of Transportation
100 N. Senate Ave. RM N955
Indianapolis, IN 46204

Attention MPO Coordinator,

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

EXHIBIT 4D

**SAMPLE
XXX MPO
PROGRESS REPORT
JANUARY THRU MARCH 2011
&
ANNUAL COMPLETION REPORT
FORMAT
SFY 2011**

Activity 1-2012 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 2-2012 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 3-2012 Corridor Studies

No activity this quarter

40% Complete

Activity 4-2012 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 6A-1

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								x		
9	MPO requests FHWA Formal Conformity Consultation / Distribute to ICG									x	
										x	
10	FHWA Letter to ICG/Formal Conformity Consultation									x	
11	Formal Comment letters from ICG									x	
12	USDOT Conformity Determination Letter										x

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

APPENDIX 6A-2

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 6B

INDOT STIP Development Timeline

The following timeline is presented as a descriptive scenario for the steps in developing a new INDOT STIP. The time frames are shown as examples and may be modified to meet agency needs as the process is developed:

- 9/1 9/15** Generate draft list of transportation projects for Early Coordination Meetings to be held at district offices.
- 9/15 11/1** Conduct early STIP coordination meetings. Meetings will include MPOs, RPOs, district and central office personnel.
- 11/1 12/15** Generate Draft STIP listing and complete Fiscal Constraint using project revenue numbers.
- 12/15** Provide MPOs with draft list of projects to include in MPO TIP cycles.
- 12/15 2/15** Meet with MPOs to review draft lists and finalize non-MPO lists with appropriate district and Asset Management personnel.
- 3/15 3/30** Provide Draft STIP to Federal Highway Administration (FHWA) for early review.
- 2/15 4/15** Conduct District Public Meetings for STIP involvement
- 2/15 6/1** 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.
- 4/15 5/15** Public comment period in accordance with INDOT's Public Involvement Procedures.
- 5/15 6/1** Draft STIP submitted to FHWA and Federal Transit Administration (FTA) for review
- 6/1 6/30** FHWA and FTA to review final draft STIP document
- 7/1** Receive approval of STIP document from FHWA

APPENDIX 6C-2

STIP Transit Amendment/Modification Request

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 6D

MPO COORDINATOR CONTACTS

Central Office MPO Administration Coordinator Contacts:

Jerry Halperin:

Northwest (NIRPC), South Bend (MACOG), Ft. Wayne (NIRCC), Kokomo, Terre Haute (WCIEDD)

Randy Walter:

Lafayette (TCAPC), Indianapolis (IMPO), Anderson (MCCOG), Muncie (DMMPC)

Emmanuel Nsonwu:

Bloomington (BMCMPPO), Columbus (CAMPO), Evansville (EMPO), Louisville (KIPDA), Dearborn County/Cincinnati (OKI)

MPO PL Liaison:

Jerry Halperin:

All Districts:

Central Office Planning Contacts (by District):

LaPorte and Ft Wayne: Frank Baukert

Crawfordsville: Jay Mitchell, Steve Smith

Greenfield: Jay Mitchell, Frank Baukert

Seymour and Vincennes: Jay Mitchell

District Office Planning Contacts:

Crawfordsville: Mark Albers and Shakeel Baig

Ft Wayne: Mike Rauch and Ben Shaffer/John Leckie

Greenfield: Kimberly Pryor and Dwane Myers

LaPorte: Lisa Shrader and Angie Fegavas

Seymour: Robin Bolte and Jim Ude

Vincennes: Pam Drach