

Northwestern Indiana Regional Planning Commission

Federal Aid Project Tracking System

Amended Sept 2012

I. Post-Funding/Pre-Letting Communications

A. NIRPC Notifications to the LPA (NIRPC-Selected Projects Only).

Following the approval of federal funds for a new federal-aid project by the NIRPC Board, NIRPC will issue an award notice to the LPA. The date of the award notice will serve as the starting point (Day #1) for the purpose of measuring progress toward completion. This notification will be provided (concurrently) to the Local Projects Coordinator at the LaPorte District office so that a DES number can be assigned.

B. Required Notifications to NIRPC.

1. Notification of New Federal-Aid Funding Approval.

LPA's must inform NIRPC of the award of federal funds from INDOT, Congress, or other sources for surface transportation projects through the U.S. Department of Transportation.

2. Notification of Assignment of Employee in Responsible Charge (ERC).

Following the selection of a new project for funding, the LPA's Chief Elected Official (CEO) must forward a letter to NIRPC that identifies the ERC for the new project. This notification must identify the single person that the LPA has authorized to make funding and other decisions regarding the federal aid project. This notification must be made each time that the LPA reassigns these duties to another individual.

The LPA is responsible for ensuring that the ERC named meets the qualifications for appointment to this position.

3. Notification(s) of Engineering Firms Selected to Perform Project-Related Services.

The LPA must inform NIRPC of its selection of engineers and/or engineering firms that it has engaged (under contract) to perform work on federal aid projects. The notification should identify the type¹ of services to be performed under the contract and contain all contact information available at the time of the notification, including contact persons, telephone numbers, e-mail addresses, etc.

¹ Basic PE, RW Services, and/or Construction Engineering

This notification is required regardless of whether federal funds have been allocated to PE and should be filed any time that there is a change in the original notification provided. This notification may be filed via e-mail.

4. Notification of Anticipated RW Land, Improvements, & Damages (LI&D) Costs.

This notification is required only if NIRPC has allocated federal funds for RW expenses. The LPA must inform NIRPC of its final estimate of these costs prior to seeking the obligation of federal funds for LI&D purposes and of the approximate date on which the INDOT purchase order will be issued. This notification may be filed via e-mail.

C. Submission of Copies of Contract Documents to NIRPC.

1. LPA's must provide a copy of the LPA's Master Project Agreement/Contract with INDOT. A new copy of the Agreement/Contract should be provided to NIRPC following any changes. Electronic documents (pdf format) are preferred.
2. If federal funds are used for PE and RW Services, copies of these contracts should also be provided to NIRPC. A new copy of the either contract should be provided to NIRPC following any changes. Electronic documents (pdf format) are preferred.
3. Electronic copies of the original (executed) contracts for Construction and/or Construction Engineering must be submitted following execution.

II. Pre-Letting Quarterly Tracking

There are three components of the pre-letting project tracking system, including quarterly progress reports from LPA's, face-to-face meetings (involving NIRPC, INDOT and the LPA), and the reporting of project progress information to the NIRPC Board.

A. Written Project Progress Reports (LPA)

1. For High Priority/Demonstration and NIRPC-Selected Projects. Written quarterly reports must be submitted for all NIRPC-selected federal aid projects. These reports are due within 30 days of the completion of each calendar quarter. The purpose of these reports is to demonstrate progress, document delays, obtain current project cost information, and, for capacity increasing projects in particular, receive early warning of changes in "open to traffic" dates for projects listed in our Conformity Determination. LPA's must use the NIRPC-prescribed format for the report. LPA's should use INDOT's Standard Quarterly Report Form.

2. For INDOT-Selected Projects. LPA's should follow INDOT's quarterly reporting system but forward a copy of their report to NIRPC. (Again, use INDOT's Standard Quarterly Report Form.)
3. For Regionally Significant Local Projects constructed with 100% local funding. LPA's should notify NIRPC of anticipated project costs, the projected local letting date, and the proposed open to traffic date. NIRPC's sole interest here is the open to traffic dates. This report should be submitted to NIRPC as an e-mail message whenever the open to traffic information changes.

B. Face-to-Face Quarterly Status Updates

NIRPC will schedule face-to-face meetings periodically with LPA's to discuss various aspects of their federal aid projects. INDOT's District office staff may or may not be present, depending on the circumstance. It is our intent to spread these visits throughout the year and to always schedule them in advance. One or more of the LPA's projects may be discussed. Some may include field visits to construction sites.

C. Staff Reports to NIRPC Committees and Board.

A summary report will be prepared for release to the Transportation Policy Committee and NIRPC Board following each report cycle.

D. Required Notifications to NIRPC.

1. Requests for Scope and Terminus Changes.

These requests must be made by the LPA on letterhead from the ERC or CEO.

LPA's must submit requests for significant scope changes, including those involving a change in terminus, to NIRPC prior to implementing the changes. In instances where any such changes deviate significantly from the LPA's original funding request, NIRPC staff will bring the matter to the Transportation Policy Committee (TPC) for a TIP amendment. Minor scope changes will be processed by NIRPC staff via an administrative modification to the TIP.

LPA's may voluntarily reduce the scope of their project prior to letting, if necessary. In such cases these eliminated scopes may be considered for restoration to the project following letting.

2. Creation of Additional Project Phases (division of funded project into multiple phases).

Following a project's selection for federal aid and inclusion in a TIP, an LPA may request that the project be divided into two or more phases. Changes of this type will be made to the TIP via an administrative modification, provided that no additional federal funds are needed to construct the original project. The bulk of the funding will be assigned to the phase that is slated for construction first. The LPA will need to secure funding for the remaining phases during the next project solicitation and selection process.

3. Requests for Supplemental Federal Funds (pre-letting).

Outside of a solicitation for projects but prior to letting, LPA's may request that supplemental funds be allocated to its project following one of the process described in paragraph A of Part III (below). Requests may be made via e-mail from the ERC or CEO.

III. Post-Letting Quarterly Tracking

Following a project letting, LPA's are expected to keep NIRPC apprised of the progress made toward completion of the project.

A. Post-Letting Adjustments of Federal Funds/Notification to LPA & INDOT.

STP Group I. Following each STP Group I construction letting, NIRPC will communicate with the affected LPA to determine if the federal funds assigned to the LPA project are sufficient to ensure full funding for the construction contract, construction engineering, materials and inspections (M&I), and contingencies. NIRPC will increase federal funding for the project if requested by the LPA.

It is NIRPC's intent to fully fund each STP Group I project with a federal share of 80%. NIRPC is thereby also pre-approving any and all change orders that the LPA may make to the original construction and construction engineering contracts—up to the new adjusted total amount of federal aid assigned to the project in the TIP.

STP Group I project sponsors must provide a post-letting report to NIRPC that summarizes each federal-aid project's then current financial position. This report is to be issued quarterly or whenever a contract change occurs that changes the total contract cost.

If, after making one post-letting increase in funding, the STP Group I LPA finds that additional STP I funds are needed to cover project costs, the LPA may either request supplemental federal funds or cover these costs on their own. Requests for additional federal funds will always be

granted², but only after a written request for same has been received. Written requests may be made via either letter or email from the Employee in Responsible Charge (ERC) or the Chief Elected Official (CEO).

NIRPC will also accept post-audit or closeout charges for previously let and constructed STP Group I projects. These charges may materialize 10 or more years following the completion of construction.

STP Group II, CMAQ, HSIP, and TE/TAP. *Federal funds for these types of construction projects are always capped at the amount displayed in the TIP.* A cap generally means that the amount of federal aid funds assigned to the project may not be increased. This instructs INDOT to process all reimbursements in excess of the amount displayed in the TIP at 100% local.

However, at any time following a letting, the LPA may request that NIRPC transfer the same type of funds from another of its federal-aid projects to the one just let. NIRPC will honor and process the request. If this method does not provide the level of funding needed, the LPA may ask NIRPC to move the same type of funds from another LPA. The latter method is only do-able if the other LPA's funds won't be needed for a letting within the period of the TIP. The donating LPA must agree to the deal.

STP Group II, CMAQ, HSIP, and TA project sponsors must provide a post-letting financial status report to NIRPC that summarizes each federal-aid project's then current financial position. This report is to be issued quarterly or whenever a contract change occurs that changes the total contract cost.

NIRPC Processing of Post-Letting Adjustments in Federal Aid. NIRPC will record the movement of funds between projects to ensure that the TIP's fiscal constraint (within each type of federal fund) is maintained. Periodic reports will be issued to the Transportation Policy Committee (TPC) and posted on the NIRPC website. LPA's adversely affected by fund transfers will be notified, in writing. Funds removed from one project for use in another can be restored during the next project selection cycle, if the LPA desires to proceed with the project.

LPA's may seek local STP Group I or II funds to supplement allocated High Priority/ Demonstration, INDOT-selected funds (Bridge, STP Groups III or IV, etc.) following a letting. NIRPC will apply the rules above in handling these requests.

The LPA may also seek additional funding prior to letting for an STP-funded project under the CMAQ, HSIP, or TA programs. The LPA is subject to the eligibility and other program requirements of those other programs. The LPA must respond to a solicitation for projects issued for those other programs.

² Up to a cap of \$9.6 million in STP I federal funds.

B. Post-Letting Financial Status Report.

1. For High Priority/Demonstration and NIRPC-Selected Projects. LPA's will complete a Post-Letting Report at least once each quarter or whenever there is a financial change in a contract. The report will show original and the most current project financial information, including the assignment of incurred costs to each funding source, the updated total projected final construction cost, and the latest projected open to traffic date. These one-page reports must be filed in the NIRPC-prescribed format and are due within 30 days of the end of the calendar quarter or immediately after the contract is changed.
2. For INDOT-Selected Projects. Reporting is not required unless the project involves MPO-controlled funds.
3. For Regionally Significant Local Projects constructed with 100% local funding. LPA's should inform NIRPC of the open to traffic date for these facilities. This information should be communicated only if it deviates from information previously provided to NIRPC.

C. Construction Site Field Visits.

NIRPC staff will make periodic visits to the construction site. It is our intent to visit each site during construction and after receiving a notification that a project is substantially complete. These visits will always be scheduled with the ERC in advance.

D. Required Notifications to NIRPC.

1. Requests for Supplemental Federal Funds.

As Part of a Project Solicitation Process. Each project solicitation cycle is an opportunity to request supplemental funds for an LPA's federal aid projects. The request is made via letter from the ERC or CEO, and briefly explains why the supplemental funds are needed. The funding needs of previously selected projects are given equal (or higher) priority than new projects. Most requests are funded and built into the new TIP.

Off-Cycle, or as needed, Requests. These requests should be submitted as prescribed earlier. The LPA should request a meeting with NIRPC to discuss options if it finds itself in need of supplemental funds between project solicitations.

2. LPA Requests for Restoration of Work Eliminated from Projects Prior to Letting.

LPA's may, following letting, seek to restore work items eliminated from projects prior to letting. LPA's should inform NIRPC, in writing, of their desire to do so. NIRPC staff will work with the LPA to determine if the request may be granted.

3. Notification of Substantial Project Completion and Projected Final Costs.

This notification should be issued after construction is complete and all punch list items have been addressed. The notification should be filed via e-mail and be accompanied by a final Post-letting Financial Report.

III. Employees in Responsible Charge (ERC) Requirements

LPA's with federal aid construction projects are required to have a certified ERC. There are no exceptions.

Please be aware that in these procedures, NIRPC will accept reports and correspondence from the Chief Elected Official or the ERC. INDOT, however, will only communicate with the ERC.

For each federal aid project, NIRPC will recognize only one ERC from each LPA.

Employee in Responsible Charge Monitoring.

NIRPC will periodically compare ERC certification records maintained on the Indiana Local Technical Assistance Program (LTAP) website with the list of local LPA's with federal aid projects. NIRPC will notify LPA's, in writing, of apparent ERC certification lapses. The ERC certification database is located at:

<http://rebar.ecn.purdue.edu/LTAP/TechAssist/LPA.aspx>

IV. Report Forms

Quarterly Pre-Letting Project Update Form (same as INDOT's)

Quarterly Post-Letting Progress Report

INDOT-LOCAL PUBLIC AGENCY QUARTERLY REPORTING FORM

SECTION A: GENERAL PROJECT INFORMATION

Des # _____ District: _____
 Local Public Agency: _____ Contract # _____ Quarter/Year: _____
 Project Description: _____
 Consultant Name/Firm: _____ Consultant Certification Date: _____
 Consultant's email: _____ Consultant Phone #: _____
 Employee in Responsible Charge: _____ ERC Certification Date: _____
 ERC Email: _____ ERC Phone #: _____

SECTION B: GENERAL PROJECT QUESTIONS

Are credits being used? _____ Has your RFP process been approved for Construction Inspection? _____
 # of R/W Parcels: _____ Are reimbursable utility costs included in construction? _____
 # Acquired: _____ Do you anticipate unique or special provisions? _____

SECTION C: AWARDED FEDERAL FUNDING & PROJECT COSTS

Primary: \$ _____ Fund Type: _____ Other _____
 Secondary: \$ _____ Fund Type: _____ Select funding _____
 Other: \$ _____ Fund Type: _____ Select funding _____
 Is Project Funded by an MPO? _____

PROJECT COST	ORIGINAL ESTIMATE	UPDATED ESTIMATE	Based on New Totals	
			AWARDED FEDERAL FUNDS	LOCAL MATCH
a. Preliminary Engineering (PE)				
b. Land Acquisition (R/W)				
TOTAL (a & b)				
c. Construction (CN)*				
d. Utilities & Railroad				
e. Construction Engineering (CE)				
f. Contingency				
TOTAL (lines c-f)				
TOTAL ALL PHASES (a,b,c,d,e & f)				

*Construction Costs must include inflation out to the year of construction

SECTION D: PROJECT SCHEDULE

	Start or Scheduled Start Date	Completion or Scheduled Completion Date	Proposed* Change to Completion Date	Percent Complete
Project Authorized				
Start Plan Develop				
Stage 1 Design				
Prelim Field Check				
Stage 2 Design				
Environmental Approval				
R/W Clear				
Stage 3 Design				
Ready for Contracts				
Letting				

Permits Required		
	Yes/No	Approval Date
401		
404		
DNR		
Rule 5		
FAA		
Flood Protection		

*PROPOSED SCHEDULE Dates must be justified in comments by LPA and Letting changes APPROVED BY INDOT

Comments: _____

Consultant Project Manager: _____ Date Completed: _____
 ERC Approval: _____ Date Approved: _____

NIRPC LPA Post-Letting Report

DES #		Report Date:	
LPA			
Contract Type:		Contract Date:	
Contract Number:		Contractor:	

Total Contract Cost	Original or Prior Report	Change Orders	New Total

Fund Type	Original or Prior Report	Change Orders	New Total
Local			
Other Non-Federal, including Credits			
Total			

This is Change Number		to this contract.
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Percent of Project Completed		%
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Submitted by:	
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