

Quarterly Tracking and Review Planning Process

Quarterly Tracking and Review Schedule

Tracking Meetings are conducted at the beginning of every quarter (July, October, January, & April). Quarterly Tracking Meetings assist the Local Public Agencies (LPAs), consultants, the Indiana Department of Transportation (INDOT), and the Metropolitan Planning Organization (MPO) with improved communication and enhanced accuracy of project estimates. All LPAs and consultants participating in quarterly tracking meetings need to be ERC Certified; meaning there needs to be an Employee in Responsible Charge for each federally funded project (both within the LPA and the consulting firm). The following schedule outlines the process to prepare for quarterly tracking meetings.

| | |
|---|--|
| <p>4 weeks before Quarterly Tracking Meeting</p> | <ul style="list-style-type: none"> • Email a request to the LPAs and consultants asking that the Tracking & Review Forms (explained below) be submitted by a specific due date for each federally funded project within their area. • This email will include the schedule for Quarterly Tracking Meetings and templates of requested forms. Forms are also available on our website. |
| <p>2 week before Quarterly Tracking Meeting</p> | <ul style="list-style-type: none"> • Email a reminder to the LPAs and consultants of the due date. • This email will include the schedule for Quarterly Tracking Meetings. |
| <p>Monday of the week before Quarterly Tracking Meeting</p> | <ul style="list-style-type: none"> • Consultants submit Tracking & Review Forms to MACOG via the FTP Site; LPA’s should have reviewed these forms for accuracy. • MACOG inputs the consultants’ information into the Project Summary Reports. |
| <p>After Quarterly Tracking Meeting</p> | <ul style="list-style-type: none"> • Review and update the information supplied by the consultants in the Quarterly Project Summary Reports. • Save Quarterly Project Summary Reports (along with the signed Tracking & Review Forms from the Quarterly Tracking Meeting) into a portfolio for each LPA. • MACOG submits all Quarterly Tracking & Review Forms and Project Summary Reports to the INDOT Districts quarterly for the LPAs. |

Tracking & Review Forms

The project manager at the consulting firm is required to submit three forms to the MACOG FTP Site on or before the required due date (the Monday of the week before the Quarterly Tracking Meeting). These forms are: (1) Project Update Form, (2) Milestone Sheet, and (3) Financial Plan. All of these forms must be submitted to MACOG a week before the Quarterly Tracking Meeting.

The Project Update Form provides basic project information such as project costs and schedule updates. The Milestone Sheet lays out the eleven basic milestones in the project development process. The consultant completes this form by inputting the date each milestone is completed. The financial plan is the third form that is required. The financial plan provides a breakdown of how each phase of the project is planned for funding and how much the LPA will be required to pay each year. Phases that are accounted for in the financial plan are: preliminary engineering, right of way services & acquisition costs, utility fees, construction, and construction engineering. An inflation rate is required on all costs to extrapolate the estimate out to year of construction.

| LOCAL PUBLIC AGENCY QUARTERLY PROJECT UPDATE FORM | | | | |
|--|---|--|-----------------------------------|--------------------|
| <i>All forms should be submitted to the MACOG FTP site. For more information on the FTP site or for additional questions, visit www.mocog.com or call (274) 674-4054.</i> | | | | |
| 1. Designation (DES) Number: 000000 | 2. District: LP | Employee in Responsible Charge (ERC): John Smith | | |
| 3. Local Public Agency (LPA): Sample County | 4. Quarter: 2 nd - October | | | |
| 5. Project Description: CB 2 @ CB 12 Intersection Improvement | 6. Fund Category: Primary: Gup II STE Secondary: Other: | | | |
| 7. Approved Federal Aid Funded Amount: \$1,100,000 | | | | |
| PROJECT COST | PREVIOUS | NEW | FEDERAL/LOCAL SPLIT OF NEW TOTALS | |
| | TOTALS | TOTALS | APPROVED FEDERAL | LOCAL MATCH |
| a. Preliminary Engineering | \$200,000 | \$200,000 | \$0 | \$200,000 |
| b. Land Acquisition (Right-of-Way) | \$350,000 | \$350,000 | \$0 | \$350,000 |
| TOTAL (a+b) Items A-B | \$550,000 | \$550,000 | \$0 | \$550,000 |
| c. Construction (including inflation*) | \$1,200,000 | \$1,350,000 | \$1,050,000 | \$300,000 |
| Inflation rate used: 12% | | | | |
| d. Credits (fees/allow) | N/A | N/A | | |
| e. Construction Engineering | \$144,000 | \$142,000 | \$20,000 | \$142,000 |
| f. Contingency | \$200,000 | \$150,000 | \$0 | \$150,000 |
| TOTAL (c+d+e+f) Items C-F | \$1,464,000 | \$1,442,000 | \$1,100,000 | \$342,000 |
| Total All Phases: | \$2,014,000 | \$2,197,000 | \$1,100,000 | \$1,097,000 |
| Federal Fund %: 50% | Federal Fund Shortfall: \$217,000 | | | |
| *Construction Costs must include inflation out to the year of construction. | | | | |
| 8. Are credits being used? No. If Yes, have the CH & CE costs been increased by 30% (or 20% if TE Funds)? No. • For PE – Did you know that credits must be requested at the early coordination meeting? N/A • For RW – Did you know that credits must be requested separately and after the NEPA process? N/A | | | | |
| 9. Have you included all reimbursable utility costs as part of construction? Yes | | | | |
| Schedule (MM/YYYY) | | | | |
| | Previous Schedule | Schedule Update | | |
| Ready for Contracts | 12/2010 | 12/2010 | | |
| Ready for Letting | 03/2011 | 03/2011 | | |
| Letting Date | 04/2011 | 04/2011 | | |
| Construction | 05/2011 | 05/2011 | | |
| 10. Comments (Issues, concerns, explain changes in cost or schedule, etc.) Requested additional funds in the amount of \$219,200 in USF funding for intersection. There are no reimbursable utilities for this project. | | | | |
| 11. Project Milestone in Next Quarter (see MACOG milestone sheet) 10 | | | | |
| Project Manager: Name: Jane Doe | Firm: ABC Consultant | K: _____ | | |
| Prepared By: Name: Jane Doe | Firm: ABC Consultant | Date: 02/12/2011 | www.mocog.com | |

A template of each form is emailed to the LPAs and consultants with the initial email request. These forms are also available on the MACOG website. Before forms are submitted to MACOG, the LPAs should have reviewed all forms for accuracy. The forms are submitted through MACOG's FTP site by the consultant.

Once all three forms have been submitted to the FTP site, MACOG staff members analyze the forms to check for math errors, typos, etc. Anything that is changed on the forms by staff members will be shown in blue. The report that will be discussed at the Quarterly Tracking Meeting will be the corrected copy with black and blue ink. Consultants are made aware of any changes made in blue at the Quarterly Tracking Meeting.

Quarterly Project Summary Report

This report is completed by MACOG, with the information provided on the Project Update Form, Milestone Sheet, and Financial Plan. Updated information is inputted into a separated spreadsheet for each project. The spreadsheet is used to calculate various measures and to create visual aids of each project. The Quarterly Project Summary Report includes five sections:

(1) Summary Page, (2) Updated Project Budget, (3) Federal Budget Share, (4) Milestone Progression Comparison, and (5) Project Milestone Timeline.

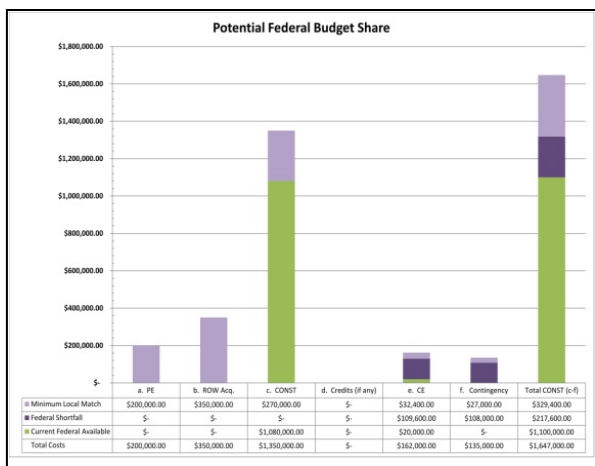
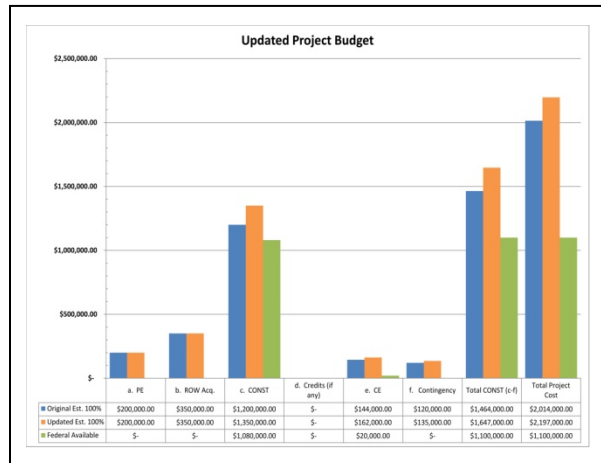
Project information is updated on the Summary Page. This page shows the updated funding available for the project, which includes the federal available and the project budget. This sheet calculates any differences between the original project cost estimate and the updated estimate,

| Quarterly Project Summary Report | | | | | | | | | |
|--|--------------------|-------------------|---------------|---------------------|---|-------------------|--|--|--|
| Project Description: CR 2 @ CR 12 Intersection Improvement | | | | | | | | | |
| LPA: Sample County | | | | | ERC: John Smith | | | | |
| County: Sample | | | | | Email: john.smith@samplecounty.gov | | | | |
| District: La Porte | | | | | Phone No: (555) 555-5555 | | | | |
| Des #: 0000000 | | | | | Project Category: Intersection Improvement | | | | |
| Quarter: 2nd | | | | | State Fiscal Year: 2011 (SFY is July 1 - June 30) | | | | |
| FUNDING AVAILABLE | | | | | | | | | |
| Funding Type | Primary | Secondary | Other | Total | Federal Fund (Shortfall) / Surplus | | | | |
| Federal Available | \$ 1,100,000.00 | | | \$ 1,100,000.00 | \$ (217,600.00) 67% | | | | |
| Eligible %: | 90% | | | | Apply for Additional Funds on: | | | | |
| Total 100% | \$ 1,375,000.00 | | | \$ 1,375,000.00 | | | | | |
| | Original Est. 100% | Updated Est. 100% | | Difference | Federal Available | Local | | | |
| a. PE | \$ 200,000.00 | \$ 200,000.00 | \$ - | No Change | \$ - | \$ 200,000.00 | | | |
| b. ROW Acq. | \$ 350,000.00 | \$ 350,000.00 | \$ - | No Change | \$ - | \$ 350,000.00 | | | |
| c. CONST | \$ 1,200,000.00 | \$ 1,350,000.00 | \$ 150,000.00 | Increased Est. | \$ 1,080,000.00 | \$ 270,000.00 | | | |
| d. Credits (if any) | \$ - | \$ - | \$ - | No Change | \$ - | \$ - | | | |
| e. CE | \$ 144,000.00 | \$ 162,000.00 | \$ 18,000.00 | Increased Est. | \$ 20,000.00 | \$ 142,000.00 | | | |
| f. Contingency | \$ 120,000.00 | \$ 135,000.00 | \$ 15,000.00 | Increased Est. | \$ - | \$ 135,000.00 | | | |
| Total CONST (c-f) | \$ 1,464,000.00 | \$ 1,647,000.00 | \$ 183,000.00 | Increased Est. | \$ 1,100,000.00 | \$ 547,000.00 | | | |
| Total Project Cost | \$ 2,914,000.00 | \$ 2,937,000.00 | \$ 23,000.00 | Increased Est. | \$ 1,100,000.00 | \$ 1,897,000.00 | | | |
| MILESTONES | | | | | | | | | |
| In TYP | Start Date | Completion Date | Actual Days | LPA Initiative Days | Progress | Difference (Days) | | | |
| | 03/01/2009 | 04/30/2009 | 60 | 120 | Ahead of Schedule | 60 | | | |
| Consultant Selection | 04/01/2009 | 06/30/2009 | 61 | 45 | Delayed | -16 | | | |
| Data Collection | 07/01/2009 | 10/30/2009 | 122 | 45 | Delayed | -77 | | | |
| Preliminary Eng | 08/01/2009 | 12/31/2009 | 62 | 105 | Ahead of Schedule | -43 | | | |
| Stage 1 Design | 02/01/2010 | 02/28/2010 | 59 | 125 | Ahead of Schedule | 66 | | | |
| Environmental Approval | 02/01/2010 | 03/30/2010 | 30 | 30 | No Change | 0 | | | |
| Right of Way Plans | 09/01/2009 | 03/30/2010 | 0 | 30 | Ahead of Schedule | 30 | | | |
| Land Acquisition | 06/01/2010 | | | | No Change | 0 | | | |
| Stage 2 Design | 06/01/2010 | | | | No Change | 0 | | | |
| Final Plan Package | | | | | No Change | 0 | | | |
| Contract Bid Letting | | | | | No Change | 0 | | | |
| Est. Letting Date | | 04/01/2011 | 354 | 500 | Ahead of Schedule | 156 | | | |
| Comments: | | | | | | | | | |

the federal and local share, and if there is a federal fund shortfall or surplus on the project. This is further shown in both the Updated Project Budget and the Federal Budget Share. The project milestones and the completion dates are also displayed on the Summary Page. These dates are compared to the INDOT LPA Initiative estimates. The LPA Initiative data calculates approximately three years to move a project through the Federal Aid Process. Comparisons of the LPA Initiative timeline versus the consultants estimate can be

further shown in both the Milestone Progression Comparison and the Project Milestone Timeline.

The Updated Project Budget shows the difference between the original cost estimates and the updated cost estimates for each funding category. Funding categories include preliminary engineering, right of way costs, construction, construction engineering, and total project cost. Additionally, federal funds being applied to each category are shown. Please note that right of way service costs are combined with 'preliminary

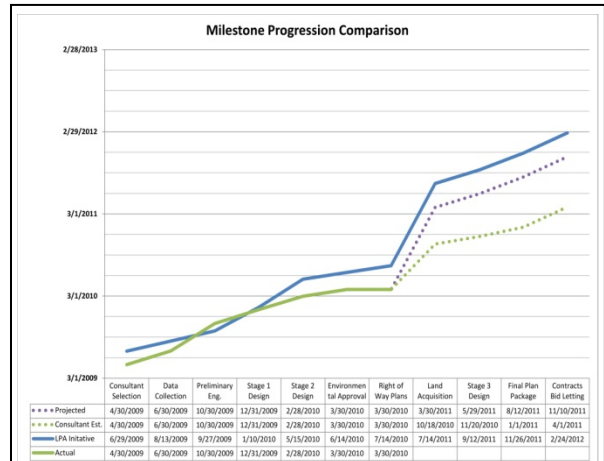


engineering', right of way acquisition costs are 'right of way costs', and utility costs are included in 'construction'.

The Federal Budget Share shows what amount of each funding category is being paid by the LPA and what amount is being paid with federal

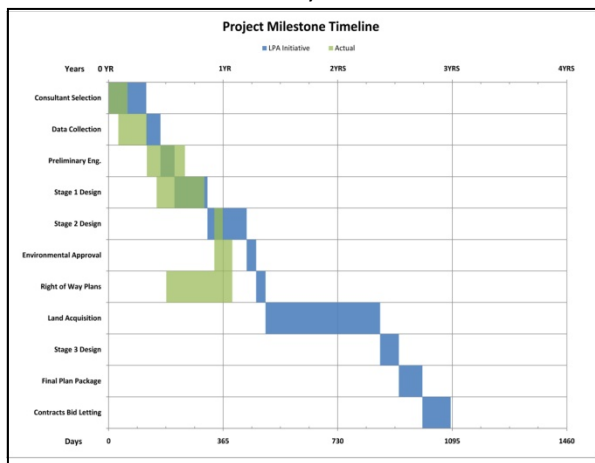
funds. This chart also shows where there is a potential federal fund shortfall.

The Milestone Progression Comparison looks at how the project is progressing compared to the LPA Initiative schedule. The line representing the LPA Initiative dates is the approximate three year schedule of how long it should take a project to move through the federal aid process. The line representing the actual dates are based on the information provided on the milestone sheet. This solid line ends at the last completed milestone and splits into two dotted lines; consultant est. dates and projected dates. The consultant estimate is a dotted line representing the path the project would take to reach the letting date supplied by the consultant. The projected estimate is a dotted line representing the path the project would take to finish the project according to the LPA Initiative timeline.



When the 'actual line' is below the 'LPA Initiative line', the project is ahead of schedule; however when the 'actual line' is above the 'LPA Initiative line', the project is delayed. By using the estimated letting date supplied by the consultant quarterly, this chart calculates what schedule the project needs to have in order to make that letting date, as shown by the 'consultant estimate line'. The Milestone Progression Comparison also supplies a 'projected line' which shows, from the current quarter on, how the project will look if it continues on the LPA Initiative schedule. This visual analysis helps the consultant and the LPA see what due dates they need to achieve at each milestone in order to meet their estimated letting date and stay on target.

The Project Milestone Timeline compares the actual timeline of the project (which is based off of the Milestone Sheet) to the LPA Initiative schedule. This timeline shows the start and end time of each milestone.



The Project Milestone Timeline displays the timeliness of milestones completion, and any overlaps or gaps between milestones. By seeing the overlaps and gaps on the timeline, the LPA and consultant have an idea of the time being spent on each step.

The Project Summary Report is completed by MACOG before the meeting in order to be able to discuss with the consultant, the LPA, and INDOT about the project. This helps keep all

parties better informed on their project. In addition to those attending the QTR meeting, a copy of each project's report is given to the LPA's Public Officials so they too can stay better informed on their city's/county's project.

Quarterly Tracking and Review Meetings

Tracking Meetings are conducted at the beginning of every quarter (July, October, January, & April), directly after the region's Transportation Technical Advisory Committee (TTAC) meetings. A schedule is created which shows when each LPA and their consultants need to be at the meeting. The INDOT and the MPO sit at the table for the entire meeting. It is crucial that the project manager of both the LPA and consulting firm be in attendance at these meetings. This schedule is sent four weeks in advance, and again at the two week mark, to everyone expected in attendance. The MPO will facilitate these meetings. Once an LPA is at the table, all projects that they are responsible will be discussed in one sitting. The various consultants will come to the table when project's they are managing come up. The meetings are conducted at a table with all parties, which include MPO staff members, the LPA's Employee of Responsible Charge (ERC), the consultant project manager, and INDOT District staff members.

Before the meeting, the MPO staff members will have reviewed the consultant supplied Project Update Form, Milestone Form, and Financial Plan and will have created the Project Summary Report for each project. During the meeting, MACOG staff begins by reviewing the Update Form with the LPA and the consultant to make sure the information is accurate. If everyone is in agreement, the Project Update Form is signed by the consultant and initialed by the LPA representative. MACOG staff members then review the Summary Report for each project, highlighting key information that is important to the project such as delayed schedules or increased budgets. Before an LPA and consultant leave the table, there is the opportunity to go over any project issues, concerns, or questions with INDOT to find potential and efficient solutions.

After the Quarterly Tracking Meeting, staff members make any necessary changes to the Project Summary Report. For example, the Summary Reporting Page supplies a comments section that can provide various details that were discussed during the meeting. The Summary Report, the signed copy of the Project Update Form, and the Financial Plan are then ported into a PDF. This PDF is assembled into an electronic portfolio for each LPA so they can track their projects quarterly. This portfolio is given to the LPA's elected officials, ERC,s and to the appropriate INDOT district. The portfolio will be an easy and accessible way for elected officials to view all federally funded projects through a digital format. Each project will include the most up-to-date information and red flag any issues that would hinder a projects progression.

The goal of the Quarterly Tracking & Review (QTR) Planning Process is to provide everyone involved with tools for success: better communication, increased project knowledge, visually identify successes and setbacks of a project, and easy-to-access information. The QTR Planning Process allows all players involved to sit down at one table together and discuss federally funded projects. Many small communication errors can be easily solved at the table, and by keeping the LPA and consultant informed, projects have a higher success rate of staying on time and on budget. MACOG developed this tool in order to make the QTR Planning Process easier to understand and more useful for everyone involved.

F:\ABC\MPO\WORKPLAN\2011\w111tiptp\TIP Docs\Quarterly Tracking\D00QTRproc.docx