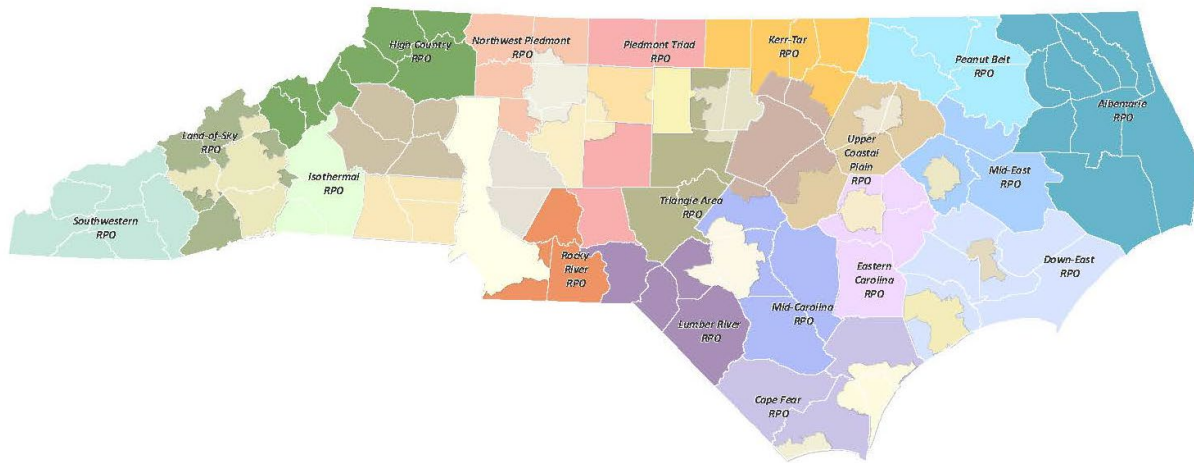


# RPO Manual

## 2018



Revised in October 2019  
Updated in January 2020

# **RPO Administrative Procedures Manual**

**Updated Edition**

**June 2018**

**Revised in October 2019  
Restored examples and links**

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Restored Additional Links**

**Produced by the NCDOT Transportation Planning Division  
In conjunction with the  
North Carolina Association of Rural Planning Organizations**

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# I. RPO Manual

## Section 1.01 The Manual

The purpose of this document is to provide each Lead Planning Agency (LPA) with the tools necessary to effectively manage a Rural Planning Organizations (RPO) program. The manual also provides North Carolina Department of Transportation (NCDOT) staff with the information and timelines for the effective oversight of individual RPOs. The manual is organized by work tasks with detailed timelines, guidance, document templates and examples where necessary. Templates are provided to be the basis for document submittals. Examples are provided to demonstrate the potential scope of a specific document. Revisions to the standard documents, when required, should consider the templates and examples provided in the manual. Dates given in this document should be interpreted as the nearest business day before the date if it happens to fall on a holiday or weekend.

### (a) RPO Manual Updates

From time to time changes to document templates, procedures and timelines may occur and will be reflected in a timely manner in this manual. Proposed changes will be reviewed by designated NCDOT and RPO staff. The most current version of the manual will be made available on the NCDOT website: <https://connect.ncdot.gov/projects/planning/Pages/MPO-RPO.aspx>.

# II. RPO Organization

## Section 2.01 Authority

In 2000, the State of North Carolina recognized the need for more coordinated transportation planning in rural North Carolina areas not within a Metropolitan Planning Organization (MPO). Rural Planning Organizations (RPOs) were developed in response to [Senate Bill 1195 by enacting amended General Statute 136, Article 17](#) which directed NCDOT to develop a plan to establish RPOs. NCDOT completed its report in early 2001 and 20 RPOs were established between 2001 and 2003.

The boundaries of a RPO may coincide with, but not overlap the boundaries of a MPO or another RPO.

GS 136-212 identifies four primary duties for RPOs:

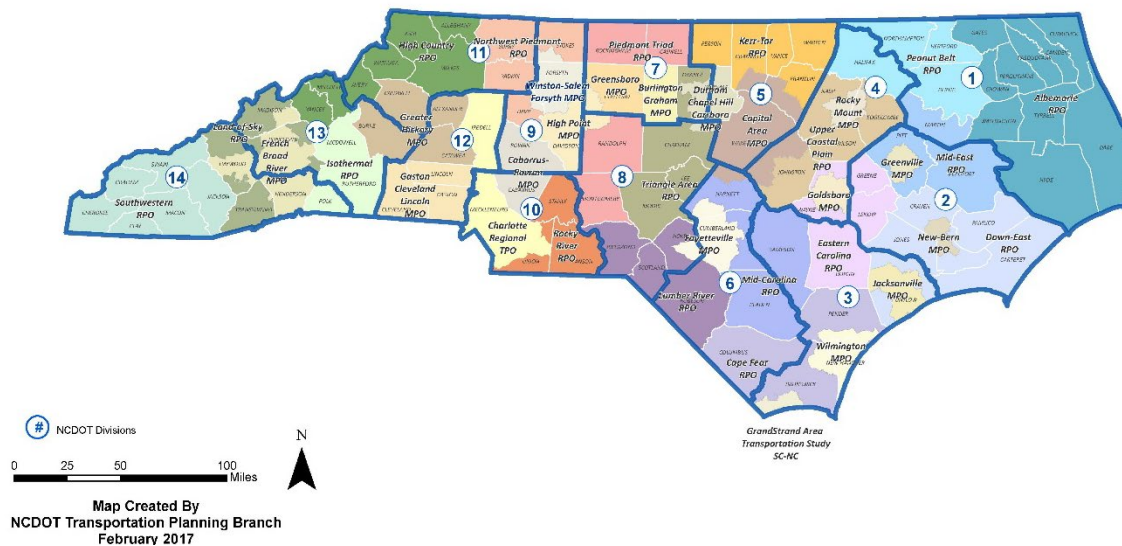
- (i) Developing, in cooperation with the Department (NCDOT), long-range, local and regional multimodal transportation plans;
- (ii) Providing a forum for public participation in the transportation planning process;
- (iii) Developing and prioritizing suggestions for transportation projects the organization believes should be included in the State's Transportation Improvement Program (STIP); and
- (iv) Providing transportation-related information to local governments and other interested organizations and persons.

## Section 2.02 Formation

According to GS 136-211 (b) (updated by Session Law 2012-44 SB 889), an RPO shall consist of three to fifteen contiguous counties, or an area that has a total population of at least 50,000 people. Noncontiguous counties adjacent to the same Metropolitan Planning Organization may form an RPO. Figure 1.01 shows the MPOs and RPOs within North Carolina.

As defined in 136-66.210, an RPO is "a voluntary organization of local officials formed through a Memorandum of Understanding (MOU) to work cooperatively with the Department to plan rural transportation systems and to advise the Department on rural transportation policy". An RPO consists of an administrative entity which provides the professional staff to the RPO, a Technical Coordinating Committee (TCC) consisting of local staff from member governments and agencies and a Transportation Advisory Committee (TAC) made up of elected and appointed officials.

Figure 1.01 The Metropolitan and Rural Planning Organizations of North Carolina with NCDOT Divisions



### Section 2.03 Memorandum of Understanding (MOU)

The MOU establishes the membership and general purposes and responsibilities of the RPO. It also identifies the overall responsibilities of the RPO. All member counties must sign the MOU. Municipalities within the RPO may sign the MOU or adopt a resolution in support of the RPO. Any municipal resolutions must be submitted along with the MOU. An updated MOU template is currently being updated.

#### (a) Revising an Existing Memorandum of Understanding

From time to time NCDOT, the LPA or any other MOU signatory may request a revision to the adopted MOU. Changing the LPA or the membership of RPO counties requires a revision to the MOU. Consultation between the LPA, NCDOT and MOU signatories is required to facilitate any revision to an adopted MOU. Following are the steps for making a revision to the MOU:



- (i) Review and revise the existing MOU to reflect the desired changes.
- (ii) Submit draft to designated NCDOT staff for review.
- (iii) Prepare final MOU document, reflecting any additional revisions.
- (iv) Present final MOU to the RPO TCC and TAC for approval.
- (v) Present final MOU to each county, the LPA and NCDOT for approval. Original signatures and seals must appear on a single page(s). Municipalities within the boundaries of the proposed RPO may adopt a resolution stating their support for the revised MOU within ninety (90) days of final approval.
- (vi) Submit the signed MOU and the municipal resolutions in triplicate to designated NCDOT staff, along with municipal resolutions. One original copy will be returned to the LPA with original signatures.

## Section 2.04 Bylaws

RPOs are required to have [Bylaws](#) that define how meetings will be conducted within the RPO as well as outlining the procedure for various RPO processes. Bylaws govern the membership, voting structure, and meeting procedures of the TCC and TAC. Bylaws for the RPO may be adopted and revised by the TCC and TAC from time to time.

### (a) Revising Existing Bylaws

A change to the bylaws is typically necessary when some aspects of the bylaws need to be clarified that were not explicitly stated in the bylaws, conflicting laws, a change in the LPA, or an MOU change. For the bylaws to have legal standing, the bylaws must be adopted by the appropriate Committee(s) impacted by the change (TCC and/or TAC and should be signed by the RPO Secretary and the impacted Committee chair).

## Section 2.05 Lead Planning Agency (LPA)

The LPA serves as the administrative entity for the RPO and is the fiscal agent for the RPO. Eligible administrative entities include regional council of governments, regional economic development agencies, chambers of commerce and local governments. The LPA receives and expends funds on behalf of the RPO. The LPA provides at least one (1) full time equivalent professional staff member to carry out the duties of the RPO within the context of an adopted plan of work. The LPA is designated in the adopted MOU, and may be changed based on the agreement of the RPO member governments and NCDOT.

## Section 2.06 Technical (or Transportation) Coordinating Committee (TCC)

The TCC consists of staff members from local government members, agencies and NCDOT. The TCC provides guidance and recommendations to the Transportation

Advisory Committee (TAC). The TCC membership is established within the adopted MOU.

### Section 2.07 Transportation Advisory Committee (TAC)

The TAC consists of local elected officials and a North Carolina Board of Transportation member. The TAC is the policy board of the RPO who establishes the goals, priorities and objectives of the RPO and endorses/approves all official documents e.g. comprehensive transportation plans within its boundaries, resolutions, the annual plan of work, and transportation improvement projects for submission to NCDOT. The TAC membership is established in the adopted MOU. As of 2013, TAC members are subject to the State Government Ethics Act. Please review ethic requirements on <http://www.ethicscommission.nc.gov/>. Detailed information on ethics requirements for TAC members is listed in Section 2.09.

### Section 2.08 Conducting RPO Meetings

It is recommended that each RPO conducts at least four (4) meetings per calendar year. Meetings may consist of separate or joint TAC and TCC meetings and should occur at a time and place that supports broad participation by its members. Electronic meetings are permitted as long as public notice is given and a location for public participation in the meeting is provided. A meeting must have a quorum to conduct businesses of any type. A quorum is defined as 51% of the voting membership as outlined in the RPO's adopted bylaws.

- (i) The TAC, TCC and any subcommittees are considered public bodies under North Carolina law and are subject to the [Open Meetings Law](#) and [Public Records Law](#).
- (ii) An alternate may be appointed to attend meetings should the member not be able to attend. Alternates should be addressed in the bylaws and identified by name in the membership roster. Vacant seats as defined in the bylaws will not count against the quorum.
- (iii) No secret ballot voting is allowed under North Carolina Law. However, written ballots are allowed provided they are signed by each voter and included in the meeting record after the vote is taken. Written ballots shall be available for public inspection immediately following the meeting at which the written vote took place until the minutes of the meeting are approved.
- (iv) A schedule of regular meetings should be kept with the clerk of the county in which the meetings are held, with the LPA's clerk, or as described in the adopted bylaws. If the schedule is changed, the changes should be given to the clerk at least one week prior to the meeting.
- (v) Notice for meetings not listed on the schedule, other than an emergency meeting, should be posted at the door of the usual meeting room(s), public notice bulletin board and delivered to each media outlet and any individual that has filed a written request for notice 48 hours prior to the meeting.
- (vi) For an emergency meeting, the committee shall provide notice to local media outlets that have filed a request. Notice for emergency meetings shall be given by the same method used to notify the members of the committee and shall be given immediately following notice to those members.

## Section 2.09 RPO TAC Ethics Obligations

For TAC members, the State Government Ethics Act applies. Specifically, TAC members must complete a Statement of Economic Interest (SEI) and Real Estate Disclosure (RED) form annually. An individual appointed to a TAC may not assume his or her position on the TAC (and thus may not participate in TAC meetings as a member, including voting on matters before the TAC) until they have:

- 1) filed a complete Statement of Economic Interest (SEI); and
- 2) filed a complete Real Estate Disclosure Form (RED) with the State Ethics Commission (Commission); and
- 3) received the Commission's written evaluation of their filed SEI.

In addition, annually all voting TAC members and their alternates are required to timely file a complete SEI and a complete RED with the State Ethics Commission on or before April 15th. The yearly filing period commences January 1st and ends April 15th; electronic filing is encouraged. SEIs and REDs filed after April 15th are untimely and subject to penalties and sanctions. The LPA should ensure that new

TAC members, in addition to continuing TAC members, understand all the Ethics requirements. This can be accomplished by whatever method works best for the individuals involved: agenda item on a TAC agenda, volunteering to meet with members one-on-one, an orientation session that explains Ethics requirements, or other.

For further information on SEIs and REDs and TAC member filing requirements go to [www.ethicscommission.nc.gov](http://www.ethicscommission.nc.gov). For questions regarding SEIs and REDs and the filing requirements contact the State Ethics Commission at [SEI@doa.nc.gov](mailto:SEI@doa.nc.gov) or by calling 919-814-3600. For information and questions regarding GS 136-200.2 conflicts of interest, contact Norma Houston at [nhouston@sog.unc.edu](mailto:nhouston@sog.unc.edu).

As of October 1, 2014, failure to timely file the required SEI and RED will result in a \$250 fine for a TAC member for each late or incomplete form, resulting in a total fine of \$500 if both forms are filed late or are incomplete. In addition, as of October 1, 2014, failure to file the complete SEI and the complete RED within 60 days from receipt of notice of failure to file will result in referral to the State Bureau of Investigation for investigation and possible prosecution. (See official [NCEC notice](#)).

(a) [TAC members must avoid a conflict of interest.](#)

No member or their alternate may participate in any action as a TAC member if the action may result in a reasonably foreseeable financial benefit to the member, the member's extended family, or any business with which the member is associated. A TAC member or their alternate may participate in an action of the RPO if the action is ministerial only and does not require the exercise of discretion.

(b) [TAC members must disclose a conflict of interest in writing.](#)

TAC members and their alternates have a duty to promptly disclose in writing to the TAC any actual or potential conflicts of interest, using the [TAC Abstention Form](#). These disclosures are a public record and must be attached to the minutes of the meeting in which any discussion or vote was taken by the TAC related to that conflicts disclosure.

(c) [TAC members must not use or disclose confidential information.](#)

TAC members and their alternates shall not use or disclose any nonpublic information gained as a member in a way that would affect a personal financial interest of the member, the member's extended family or a business with which the member is associated.

A TAC member who is no longer serving on the board should be taken off the list, notification email should be distributed to the State Ethics Commission at [SEI@doa.nc.gov](mailto:SEI@doa.nc.gov).

## III. RPO Resources

### Section 3.01 NCID

The North Carolina Identity Management Service (NCID) is the standard identity and access management platform provided by the Department of Information Technology. NCID is a web-based application that provides a secure environment for state agency, local government, business and individual users to log in and gain access to real-time resources, such as customer-based applications and information retrieval. With an NCID account, users have access to many resources with one account. You use your NCID to sign-in to the [MPO and RPO Planning Grants site](#) to upload your PWP and quarterly invoices. To get an NCID, go to [ncid.gov link](#)

If you have an NCID problem, you can determine whether your NCID account is functioning by attempting to log in to the NCID website: <https://ncid.nc.gov>. If you are able to log in successfully and receive a "Welcome to NCID System" page, your NCID account is functioning properly. After that, if you are unable to access a certain application with your NCID account, please contact the DIT Service Desk at 919-754-6000 or 1-800-722-3946 and tell them you are having problems accessing the application. Be sure to tell them whether you were able to log in successfully to the NCID website with your NCID account or not.

For frequently asked questions go to this [link](#).

### Section 3.02 RPO Listserv

There is a listserv used by NCDOT and RPO staff to share ideas, information, and questions relevant to RPOs. To subscribe to the NCRPO Listserv, send an email to: [imailsrv@lists.ptrc.org](mailto:imailsrv@lists.ptrc.org). Leave the subject blank, but in the body of the email enter the following information: **subscribe ncrpolistserv Firstname Lastname**

### Section 3.03 RPO Website

Since RPOs are established by North Carolina law, they are not under federal requirement for all content on their web page. They are, however, responsible for showing how they meet [federal requirements for Title VI, EJ, and ADA](#). In addition, it is recommended that all data used for planning purposes be maintained in a place where it can be accessed if requested by the public, e.g. TCC and TAC meeting minutes.

Also, at a minimum, NCDOT encourages each RPO to provide links to the following:

- All transportation related plans (all modes – highway, rail, transit, bicycle and pedestrian) in their planning region;

- the [State Transportation Improvement Program](#) (including [STI Prioritization Process](#) and local methodology);
- Statewide initiatives/plans e.g. [The Statewide Transportation Plan](#), [Public Transportation Statewide Strategic Plan](#), [Statewide Freight Plan](#), and [Strategic Transportation Corridors](#);
- and a list of TCC and TAC meeting dates.

## IV.RPO Administration

### Section 4.01 Prospectus

The [Prospectus](#) is a formal reference guide that provides a detailed description of the full range of potential work elements that are eligible for inclusion in a Planning Work Program.

### Section 4.02 Planning Work Program (PWP)

The [PWP](#) is a standard document that consists of a funding table and narrative. The PWP is prepared on an annual basis to identify the planning priorities for the coming year and to define the planning work products and activities to be carried out by the RPO staff. These elements should all be found in the RPO Prospectus. Estimated expenditures for each major category of work are provided in the funding table.

#### (a) PWP Guidance

The use of private consultants by an RPO is permitted with prior approval (See Section 5.05, p. 15 for [Procurement procedures](#)). Funds which have not been expended at the end of the fiscal year **do not carry forward**. If no comments are received by the dates listed in Section 4.02(d), proceed with review and adoption process according to timeline in Section 4.02(d).

#### (b) Preparing a Planning Work Program (PWP)

An adopted [PWP](#) must be submitted to NCDOT annually by May 31st to be eligible to receive reimbursement from NCDOT for RPO work activities in the fiscal year beginning July 1st of the same calendar year. Costs incurred on work activities outside an adopted PWP will not be reimbursed.

#### (c) Indirect Cost Allocation Plan

The PWP also requires a Fiscal Year Indirect Cost Allocation Plan with it. See Section 6.03 for more details.

#### (d) PWP Timeline

November	Consult with NCDOT staff, RPO member governments and agencies to identify work tasks, review financial assumptions for the upcoming fiscal year and develop PWP.
January	Funding Award Letter is received (digitally and by hard copy) detailing available funds and required local match. Prepare draft PWP for designated NCDOT staff review. Release Draft PWP for public review if required by an adopted Public Involvement Plan.
February	Submit Draft PWP and upcoming Fiscal Year Indirect Cost Allocation Plan and documentation to NCDOT by February 28 for review and comment. NCDOT will return comments and/or approval within 12 business days.
March	Prepare revisions to PWP as required.
April	Conduct TCC/TAC review and adoption process. Prepare revisions to PWP if required. An original signature of the TAC Chair must appear on the adopted PWP.
May	Transmit one (1) digital copy of the adopted and signed PWP (PDF format), one (1) digital copy of the PWP (Excel format) to Transportation Planning Division (TPD) Grant site by May 31st.
June	PWP Approval Letter issued by NCDOT.

#### Section 4.03 Changes to a Planning Work Program

Changes to the [Planning Work Program](#) may be required from time to time to detail major shifts in work activities that will impact funding allocations. Revisions to an adopted Planning Work Program are required if there is a significant change in budget, work tasks or expenditure allocation and could be processed throughout the fiscal year (as long as there will be adequate time for the public involvement and approval process through TCC, TAC and NCDOT before the end of fiscal year). There is no limit to the number of revisions in a fiscal year. All revisions to the adopted PWP must be completed by June 30th of the same fiscal year. No amendments will be processed past this date.

## (a) PWP Amendment Guidance

Review adopted PWP to determine if changes to work tasks are considered Major or Minor revisions:

- (i) Minor PWP Revisions
  - 1) **A variance of up to \$5,000 compared to current programmed amount for any category** in the PWP is considered a minor revision and is allowed without amendment if approved in advance by the TPD RPO Coordinator.
  - 2) NCDOT staff will send e-mail to RPO with revision approval.
- (ii) Major PWP Revisions
- (iii) **A variance of more than \$5,000 compared to current programmed amount for any category** in the PWP is considered a major revision and requires amendment. The revision must be reviewed and approved by both the TCC and TAC.
- (iv) Prepare [Amended PWP](#) noting added or deleted work tasks. Submit revised PWP documents to designated NCDOT staff for review and approval.
- (v) NCDOT staff comments are returned to RPO within 12 business days. If no comments are received, proceed with review and adoption process.
- (vi) Conduct public review of the revised PWP if required (as per RPO's [Public Involvement Plan](#)).
- (vii) Conduct TCC/TAC review and adoption process. The original signature of the TAC Chair must appear on the [Planning Work Program Amendment Template](#).
- (viii) Transmit one (1) digital copy of the [Amendment Table](#) of the revised PWP (PDF format) and signed [Planning Work Program Amendment Template](#) and one (1) digital copy of the amended PWP (Excel format) to designated NCDOT staff.

## Section 4.04 Preparing a Quarterly Report Package

Reimbursement for planning expenses is facilitated through the submittal of a Quarterly Report Package each quarter to NCDOT. During the quarterly report package review, TPD may request deliverables as deemed necessary. An RPO has 10 business days to provide any requested deliverable(s).

### (a) Quarterly Report Package

The quarterly report package is a standard set of documents consisting of the RPO [Invoice Cover Letter](#), RPO [Invoice](#), [PWP Expense Report](#) (with quarterly expenditure and narrative tabs filled out) and a current TAC Roster. The package is submitted through the [MPO and RPO Planning Grants Portal](#) on the [connect.ncdot.gov](http://connect.ncdot.gov) site. During the quarterly report package review, TPD may request deliverables as deemed necessary.

The Quarterly Invoice details the LPA request for reimbursement of eligible RPO expenses for the quarter with a breakdown of direct and indirect costs. The PWP Expense Report, with narrative tab, contains highlights of the transportation



planning work accomplished by the LPA over the last quarter and identifies resulting planning work products.

#### Section 4.05 Quarterly Report Package Guidance

Reimbursement will only be made for qualifying expenses incurred in executing work tasks described in the PWP.

The Quarterly Report Package will not be processed without all the required documents.

If an RPO anticipates that the invoice cannot be submitted on time, contact designated NCDOT staff prior to the deadline or as soon as possible.

Final submittal of the Quarterly Report Package consists of one (1) digital signed copy uploaded on the [MPO and RPO Planning Grants Portal](#) on the [connect.ncdot.gov](http://connect.ncdot.gov):

- Invoice Cover Letter (PDF Format),
- Invoice (PDF Format)
- Quarterly Expense Report (Excel format)
- Quarterly Narrative Report (Excel format)
- RPO TAC Roster

TPD reserves the right to request deliverables at any time.

Revisions to the Quarterly Report Package may be required based on NCDOT review. NCDOT will request revisions within 10 business days. Requested revisions will be returned to the RPO within 10 days of request. (Process repeats if necessary, with 10 business days each time.) Revisions must be completed prior to the payment being processed.

Expenses cannot be charged against PWP categories on the PWP Expense Report without an amount budgeted.

No more than the total funding allocation shall be reimbursed during the fiscal year.

**The final quarterly report package shall include the Final Yearly Narrative.**

### (a) Quarterly Report Package Timeline

September 30th	First quarter ends
November 10th	First quarter Report Package due to designated NCDOT staff
December 31st	Second quarter ends
February 10th	Second quarter Report Package due to designated NCDOT staff
March 31st	Third quarter ends
May 10th	Third quarter Report Package due to designated NCDOT staff
June 30th	Fourth quarter ends
August 10th	Fourth quarter Report Package and Yearly Narrative due to designated NCDOT staff

### Section 4.06 Final Yearly Narrative

The Final Yearly Narrative is a standard document submitted in conjunction with the final quarterly report of each fiscal year. The report consists of a narrative review of the accomplishments of the RPO over the past year in comparison to the adopted planning work program. The document further describes any significant changes to the LPA, local membership or other concerns that impacted the RPO over the past year.

### Section 4.07 Annual Review

The Annual Review allows RPOs and TPD staff an opportunity to have an open discussion on accomplishments over the previous year and discuss any challenges or opportunities for improvement for the RPO and TPD. This review will include the RPO planner and LPA Executive director as well as the TPD coordinator, Unit Head and RPO Administrator. If both the LPA and TPD feel there is no need for an in-person meeting, the TPD Unit Head and the LPA Executive Director must both agree to opt out. Meetings will be scheduled August-September.

### Section 4.08 Public Involvement Plan or Policy (PIP)

The [PIP](#) is a formally adopted statement policy or plan regarding public involvement activities related to the work of the RPO. The PIP provides guidance to staff to ensure adequate public review techniques and opportunities are provided, based on specific activities, documents or processes.

### Section 4.09 Title VI Plan

[Title VI of the Civil Rights Act of 1964](#) and related federal statutes provide that no person shall, on the grounds of race, color, national origin, limited English

proficiency (LEP), sex, age or disability, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. As a federal-aid recipient, NCDOT must also ensure nondiscrimination and equal opportunity in all NCDOT programs (includes RPOs) and activities whether or not those programs and activities are federally funded, including associated activities performed by NCDOT's business partners. As a federal-aid recipient, RPOs are also responsible for developing programs, policies, and procedures to implement Title VI requirements. NCDOT's Title VI Program will work with the Department's Transportation Planning Division to provide Title VI, LEP and Environmental Justice resources and training to assist RPOs in fulfilling their responsibilities. NCDOT Office of Civil Rights (OCR) through the NCDOT Title VI Nondiscrimination Program is working to develop a Title VI Plan, and NCDOT will provide the template to the RPOs once it is complete. NCDOT OCR will do periodic audits of RPOs concerning how they carryout Title VI requirements.

#### Section 4.10 Environmental Justice (EJ)

Environmental Justice (EJ) at the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) means identifying and addressing disproportionately high and adverse public health or environmental effects – and interrelated social and economic effects - of the agency's programs, policies, and activities on minority populations and low-income populations to achieve an equitable distribution of benefits and burdens. In the event that disproportionately high and adverse effects cannot be avoided, minimized, or mitigated, EJ guidelines support providing offsetting benefits and opportunities to enhance potentially affected minority and low-income communities, neighborhoods, and individuals. [FHWA Order 6640.23A](#) and [FTA Circular 4703.1](#) provide recipients with guidance in order to incorporate EJ principles into their plans, projects, and activities.

#### Section 4.11 Limited English Proficiency (LEP) Plan

In accordance with FHWA guidelines for complying with USDOT's "Policy Guidance Concerning Recipient's Responsibilities to Limited English Proficient (LEP) Persons," recipients of FHWA funds must develop an LEP Plan or "Language Assistance Plan," which outlines how the recipient will ensure meaningful access by LEP persons to its programs and activities. LEP persons are defined as individuals who do not speak English as their primary language and who have a limited ability to read, write, speak, or understand English. These individuals have reported to the U.S. Census that they speak English *less than very well*. The LEP plan will include a four-factor analysis, which USDOT guidance outlines should be applied to the various kinds of contact the RPO has with the public to assess language needs and decide what reasonable steps should be taken to ensure meaningful access for LEP persons. The four factors are as follows:

1. The number or proportion of LEP persons eligible to be served or likely to be encountered by a program, activity, or service of the recipient or grantee.
2. The frequency with which LEP individuals come in contact with the program.
3. The nature and importance of the program, activity, or service provided by the recipient to people's lives.
4. The resources available to the recipient and costs.

## V. RPO Activities

### Section 5.01 CTP Study Priorities

A Comprehensive Transportation Plan (CTP) is a collaborative effort of NCDOT planning staff, RPO staff and local jurisdiction(s). Local jurisdictions may request a CTP or an update to an existing CTP through the RPO. Projects to be considered for funding through the NCDOT prioritization process come from CTPs.

TPD Management will send RPOs a CTP request form by the end of November. RPOs will have between December 1 and January 15 to submit CTP requests through the form. To request a CTP, each jurisdiction must have a land development plan approved within the last five (5) years or be willing to undertake a land development planning process in conjunction with the CTP. The listing of a jurisdiction on the priority list does not guarantee that the study will be assigned or initiated and CTP studies may not be assigned in priority order because of funding, staff resources or other constraints. TPD Management will make upcoming CTP assignments by February 1 so the information can be used for PWP development.

### Section 5.02 Prioritization Workgroup Membership

Each Prioritization cycle requires the use of a Workgroup to continue improving the STI Prioritization process. NCARPO elects 4 representatives to participate in the Prioritization Workgroup for each cycle. These members are expected to provide input to the Workgroup on the overall scoring process, while representing the full range of interests from all NCARPO organizations. These members should also serve as a communication liaison from the Workgroup to NCARPO.

### Section 5.03 Submitting Projects for Prioritization and Reviewing Scoring Data

The State Transportation Improvement Program (STIP) is typically developed by NCDOT every two years. Development of each STIP begins with the Prioritization Process, which is organized and overseen by the NCDOT Strategic Prioritization Office (SPOT). For more information regarding the overall Prioritization and STIP Process, refer to <https://www.ncdot.gov/strategictransportationinvestmentssti/> and <https://connect.ncdot.gov/projects/planning/Pages/PrioritizationResources.aspx>. Also contact the SPOT Office or STIP Unit at NCDOT with questions.

To begin each prioritization cycle, RPOs, MPOs, and NCDOT Divisions submit an allotted number of projects for each mode (Aviation, Bicycle/Pedestrian, Ferry, Highway, Public Transportation, and Rail). Submitted projects can come from previous prioritization cycles, long range plans, or other known transportation needs. Identification of these projects should include significant input from local officials and the public. Specific guidance for submitting projects for prioritization is provided by the SPOT Office separately.

After project submittal, the SPOT office generates all data needed to score projects. This data is released to all RPOs, MPOs, and NCDOT Divisions for a data review period. It is the responsibility of each reviewer to ensure the data to be used for scoring all projects in their area is as reasonable and accurate as possible, and potential corrections should be provided to the SPOT Office.

#### Section 5.04 Local Input Point Assignment

Each RPO, MPO, and NCDOT Division is required to have an adopted Local Input Point Assignment Methodology that is approved by NCDOT. It is the responsibility of each organization to develop and update their methodology for each prioritization cycle, as well as to have the methodology approved by NCDOT and adopted by their organization.

The SPOT Office releases the quantitative scores for all projects along with the draft list of projects receiving Statewide Mobility funding. RPOs, MPOs, and NCDOT Divisions receive an allotted number of Local Input Points to assign to projects in the Regional Impact category and are responsible for the assignment of these points to their desired projects. Local Input Point assignment should follow each organization's Local Input Point Assignment Methodology and include significant input from local officials and the public.

After Regional Impact points, the SPOT Office releases the total scores (quantitative + local input points) for all Regional Impact projects (including those that cascaded from Statewide Mobility) along with the draft list of projects receiving Regional Impact funding. RPOs, MPOs, and NCDOT Divisions receive an allotted number of Local Input Points to assign to projects in the Division Needs category and are responsible for the assignment of these points to their desired projects. Local Input Point assignment should follow each organization's Local Input Point Assignment Methodology and include significant input from local officials and the public.

After Division Needs points, the SPOT Office releases the total scores (quantitative + local input points) for all Division Needs projects (including those that cascaded from Statewide Mobility and Regional Impact) along with the draft list of projects receiving Division Needs funding.

The draft list of Statewide Mobility, Regional Impact, and Division Needs funded projects are combined with projects from other processes to create the Draft STIP, which is released by NCDOT for public comment.

Specific guidance for developing Local Input Point Assignment Methodologies and assigning local input points is provided by the SPOT Office separately.

### Section 5.05 STIP Review and Comment

After a draft STIP is released by NCDOT for public comment, the RPO reviews all information for projects within its region and makes comments as necessary regarding the accuracy of the information and any local issues or concerns.

### Section 5.06 Merger Process

RPOs participate in the Merger process as concurring members. Concurring members have signature authority for Merger projects in their areas and will attend Merger project meetings and adhere to the Project Team Member roles and responsibilities. Merger meetings are scheduled to discuss the progression of the project, the issues, and the steps going forward. For more information regarding the process please refer to:

<https://connect.ncdot.gov/resources/Environmental/Pages/default.aspx>.

### Section 5.07 Apply for State Planning and Research Funds (SPR) Funds for specific projects

RPOs may apply for SPR funds to be used for specific projects. NCDOT TPD management will send a letter to all RPOs by the end of January calling for requests. The request period will be from February 1-March 15. TPD Management will notify RPOs sometime in July once the planning budgets have been finalized.

## VI. RPO Finances

### Section 6.01 Funding

The RPO program is currently funded on a reimbursement basis using Federal State Planning and Research Funds (SPR), with a 20% local match required. Allocations vary based on population and number of counties in the RPO.

#### (a) Funding Agreement

Each RPO is required to adopt an agreement that establishes rules for disbursement and accounting of RPO grant funds. The Agreement for Disbursement and Accounting of Rural Transportation Planning Funds is the continuing agreement between the LPA and NCDOT. NCDOT may provide reimbursement to the designated LPA only. The LPA may enact sub-agreement(s) pertaining to the local match. A [Funding Award Letter](#) is provided to the LPA detailing the available RPO funding for the coming fiscal year. The fiscal year runs from July 1 to June 30.

#### (b) Revising an Existing Funding Agreement

From time to time NCDOT and the LPA may request a revision of the existing Funding Agreement. Changing the LPA or changes in the level of RPO funding would trigger a revision to the Funding Agreement.

- (i) Request the TPD RPO Program Manager to provide the LPA with the latest copy of the Funding Agreement.
- (ii) Discuss with NCDOT management the revisions being considered.
- (iii) NCDOT management will provide the LPA with the revised Funding Agreement for approval and signatures.
- (iv) Present final Funding Agreement to the RPO TCC and TAC.
- (v) TAC approves the revised funding level.

### Section 6.02 Accounting

The LPA shall establish a separate account for the RPO Funds for each fiscal year and shall record all transactions in accordance with acceptable accounting procedures, as approved by the NCDOT. The account established for planning funds will be included in the annual audit of the agency. [2 CFR Part 200](#) outlines standards for grantee financial management systems. Time spent for staff services on work provided for in the PWP should be recorded by work task standard time sheets for each individual and filed for audit purposes. All expenses must be allocated upfront or a method developed to assess costs, based on time spent on the RPO program. Invoices must conform to [RPO Audit Procedures](#).

Pursuant to Internal Revenue Service (IRS) Regulations, the LPA must furnish its Taxpayer Identification Number (TIN) to the State. If this number is not provided, the RPOs may be subject to a 20% withholding on each payment. To avoid this 20% withholding and to ensure that accurate tax information is reported to the Internal Revenue Service and the State, the RPOs must use W-9 form to provide the requested information exactly as it appears on file with the IRS.

### Section 6.03 Audits

NCDOT will review audit reports of the RPO maintained with the Local Government Commission for any audit findings associated with federal and state funds. Once the final payment has been made for the fiscal year, the contract for the year will be closed and no further payments may be made. The contract may be updated from year to year. Refer to the [NCDOT External Audit Section](#) for current procedures and to [RPO Audit Procedures](#) for reference. Please check the [NC Department of State Treasurer website](#) for the latest information on audit procedures.

#### (a) Indirect Cost Allocation Plan

Each RPO is required to annually submit current fiscal year's Indirect Cost Allocation Plan to designated NCDOT staff by February 28th, along with draft PWP. This plan is different for each RPO. The fiscal director for the RPO should know what this plan is and work with you. Indirect costs are allowable with the submittal and approval of an indirect allocation plan. NCDOT will accept the indirect cost rate of the RPO approved by the cognizant agency. The Indirect Percentage Rate approved for use in the PWP cannot exceed the percentage rate approved by the Cognizant Federal Agency. If an RPO does not have a cognizant agency letter, NCDOT will approve or negotiate an indirect cost rate based upon the indirect cost plan. An LPA may choose to not charge indirect costs.

#### **Indirect Costs Annual Requirements due with draft PWP (February 28)**

- 1) Cognizant Federal Agency Letter approving/acknowledging Indirect Cost Rate
- 2) Cost Allocation Plan (or documentation/worksheets supporting the calculation of the Indirect Cost Rate)
- 3) Certificate of Indirect Costs

### Section 6.04 Expenditures

Expenditures will be reimbursed based solely on the provisions of [General Statute 136, Article 17 \(Rural Transportation Planning Organizations\)](#) as they relate to planning requirements. Reimbursement will only be made for qualifying expenses incurred in executing work tasks described in the PWP. Expenses fall into two categories: direct and indirect. Indirect items must be identified in the approved LPA indirect cost plan as directed by [2 CFR Part 200](#). Items not addressed below in Sections 5.04(a) (b) (c) and (d) will be considered on a case by case basis.



(a) Permitted Expenditures

- Salaries and payroll additive costs, transportation expenses, office expenses and expendable supplies related to executing work tasks within an approved PWP.
- Printing, advertising, copying, computer processing, mapping and aerial photography costs as related to executing work tasks within an approved PWP.
- Auditing costs associated with fulfilling State requirements.
- Reimbursements to other LPA agencies, local governments or state agencies for eligible expenditures incurred in executing work tasks within an approved PWP.
- The purchase of special equipment and materials required to execute work tasks within an approved PWP. A [travel verification request form](#) should be sent to NCDOT TPD RPO Coordinator for approval prior to the purchase. Purchases for the exclusive use of the RPO must be made in accordance with NCDOT requirements related to minority business enterprises (MBE). If equipment is to be used by other units within the LPA, then expenditure must be allocated upfront or a method developed to assess costs based on usage, as they occur.

(b) Permitted Expenditures, with Prior Approval by NCDOT

Computers/Tablets (See RPO Equipment Section 6.06)	Software
Training/Conferences (See Travel/Training Section 6.07)	Capital Expenditures
Equipment (See RPO Equipment Section 6.06)	Professional Services
Overnight Travel (See Travel/Training Section 6.07)	
Building Space & Related Facilities	

(c) Unacceptable Expenditures

Food/Beverages for Meetings	Fines & Penalties	Entertainment
Management Studies	Legislative Expenses	Proposal Costs
Contributions & Donations	Commuting Expenses	Contingencies*
Interest & Other Finance Costs	Pre-Agreement Costs	Bad Debt
Under-Recovery of Costs on Grant Agreements		

\*From 2 CFR Part 200.433: Contingency is that part of a budget estimate of future costs (typically of large construction projects, IT systems, or other items as approved by the Federal awarding agency) which is associated with possible events or conditions arising from causes the precise outcome of which is indeterminable at the time of estimate, and that experience shows will likely result, in aggregate, in additional costs for the approved activity or project. Amounts for major project scope changes, unforeseen risks, or extraordinary events may not be included.

## Section 6.05 Procurement, Suspension and Debarment

For any contracted services, each RPO is required to follow [NCDOT procurement procedures](#).

Each LPA is required to comply with [2 CFR Part 200.212](#) (Suspension and Debarment) which requires entities to not make any award or permit any award at any tier to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs under Executive Order 12549, "Debarment and Suspension." The LPA must maintain conflict of interest statements with respect to purchases of goods and services.

Each RPO is required to have procedures in place to annually verify that vendors providing goods and services under a project to the RPO have not been by the [Federal](#), [State](#) or City/County Government. The adherence to the procurement, suspension and debarment procedure will be reviewed through the annual auditing process.

## Section 6.06 RPO Equipment

Prior to the purchase of equipment, the RPO should send in the [equipment request form](#) to NCDOT TPD RPO Coordinator. Any equipment purchased for the sole benefit and use of the RPO shall be maintained through its useful life as defined by the LPA. RPO must include price quote when seeking approval for purchase of equipment. An [equipment inventory](#) must be kept current. If the LPA is changed, all RPO equipment must be transferred or the agreed upon dollar value of RPO equipment must be transferred to the new LPA.

## Section 6.07 Travel/Training

Travel compensation will be based on the General Services Administration (GSA) <https://www.gsa.gov/travel/plan-book/per-diem-rates> rates for mileage, meals, lodging, etc. These rates are set by fiscal year, effective October 1 each year, except for the mileage rate which is set by the Internal Revenue Service (IRS) on January 1 each year.

NCDOT TPD worked with MPOs, RPOs, and FHWA to develop Training Pre-approval Guidance for training and conference attendance. A [Travel/Training Eligibility Verification Form](#) must be submitted to NCDOT unit head (copy TPD coordinator on email) five (5) business days prior to training or overnight travel for verification of eligibility of funds, unless already included in approved PWP or is on the list of activities not needing pre-approval in the "Training Pre-approval Guidance". Expense is permitted if no response is received within five (5) business days.

## Section 6.08 RPO [Retention of Records](#)

Records related to RPO activities and work products must be retained by the LPA for 3 years after NCDOT has submitted the final voucher to FHWA and FHWA has

closed the project in their FMIS system. If the LPA is changed, all records must be transferred.

Any records pertaining to the RPO must be made available to the public for free or for a minimal fee that represents the actual cost of copying. Membership records, meeting minutes showing attendance and voting outcomes, documents, electronic files, GIS layers, recordings and any other documentation are subject to public inspection unless they meet criteria for exemption as described by the Public Records Statutes.

## VII. Reorganizing an RPO

- 1) Identify three to fifteen contiguous counties, or an area that has a total population of at least 50,000 people. Noncontiguous counties adjacent to the same Metropolitan Planning Organization may form an RPO.
- 2) Contact the NCDOT Transportation Planning Division (TPD) and prospective LPA to discuss the formation or revision of the RPO.
- 3) Review and revise standard Memorandum of Understanding (MOU) to reflect the desired RPO structure. Submit draft to designated NCDOT staff for review.
- 4) Prepare final MOU document, reflecting any additional revisions.
- 5) Present final MOU to each county, the LPA and NCDOT for approval. Original signatures and seals must appear on a single page(s). Municipalities within the boundaries of the proposed RPO may adopt a resolution stating their support for the formation of the proposed RPO within ninety (90) days of final approval.
- 6) Submit the signed MOU in triplicate to designated NCDOT staff, along with municipal resolutions. One original copy will be returned to the LPA with original signatures.
- 7) Submit documentation to designated NCDOT staff to verify the LPA has been authorized by its Board to receive funds on behalf of the RPO.
- 8) Conduct a chartering ceremony in cooperation with NCDOT and participating local officials.
- 9) Complete the Funding Agreement Process returning all signed copies to NCDOT. One original copy will be returned to the LPA.
- 10) Present TCC/TAC with a draft [Prospectus](#) and [Planning Work Program](#) for consideration and approval. Approval of these documents is required prior to receiving reimbursement by NCDOT.

## VIII. Appendix

### Section 8.01 Example Documents and Templates

- (a) Senate Bill 1195
- (b) Bylaws Template
- (c) TAC Member Abstention Form
- (d) RPO Prospectus
- (e) PWP Budget and Narrative Template
- (f) Policy and Procedures for Procurement
- (g) PubAmendment Letter Template
- (h) Quarterly Invoice Cover Letter
- (i) Equipment Request Form
- (j) Equipment Inventory Form
- (k) Travel Eligibility Verification Form
- (l) SPR Funding Audit Procedure
- (m) RPO External Audit Procedure
- (n) Travel Reimbursement Policy
- (o) Conference and Training Pre-Approved List
- (p) Quarterly Invoice Procedure
- (q) Funding Award Letter
- (r) Setting Up Grant Site Alerts
- (s) Public Involvement Plan

## Section 8.02 Transportation Acronyms

AADT	Annual Average Daily Traffic
AASHTO	American Association of State Highway and Transportation Officials
ADA	Americans with Disabilities Act (1990)
AFV	Alternative Fuel Vehicle
AMPO	Association of Metropolitan Planning Organizations
APTA	American Public Transportation Association
AQ	Air Quality
BOT	Board of Transportation (NCDOT)
3-C	Continuing, Cooperative, Comprehensive
CAA	Clean Air Act (1970)
CAAA	Clean Air Act Amendments (1990)
CFR	Code of Federal Regulations (Federal Register)
CIP	Capital Improvement Program
CMAQ	Congestion Mitigation and Air Quality
CMS	Congestion Management System
CO	Carbon Monoxide
CO2	Carbon Dioxide
CTP	Comprehensive Transportation Plan
CTPP	Census Transportation Planning Package
DBE	Disadvantaged Business Enterprise
DEIS	Draft Environmental Impact Statement
EA	Environmental Assessment
EAC	Early Action Compact (EPA)
EIS	Environmental Impact Statement
EPA	Environmental Protection Agency (Federal)
FAA	Federal Aviation Administration
FAST ACT	Fixing America's Surface Transportation Act
FFY	Federal Fiscal Year (Oct 1 – Sept 30)
FHWA	Federal Highway Administration
FMCSA	Federal Motor Carrier Safety Administration
FR	Federal Register
FTA	Federal Transit Administration

GARVEE	Grant Anticipation Revenue Vehicle (NC Bond)
GIS	Geographic Information System
HOV	High Occupancy Vehicle (Lane)
HOT	High Occupancy Toll (Lane)
HRRR	High Risk Rural Road
HSIP	Highway Safety Improvement Program
ILT	Interagency Leadership Team
ISTEA	Intermodal Surface Transportation Efficiency Act (1991)
ITRE	Institute for Transportation Research and Education (NC State)
ITS	Intelligent Transportation System
LOS	Level of Service
LPA	Lead Planning Agency
L RTP	Long Range Transportation Plan (MPO)
MAP-21	Moving Ahead for Progress in the 21 <sup>st</sup> Century Act
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
MPO	Metropolitan Planning Organization
MSA	Metropolitan Statistical Area
MTIP	Metropolitan Transportation Improvement Program
MUTCD	Manual on Uniform Traffic Control Devices
NAA	Non-Attainment Area
NAAQS	National Ambient Air Quality Standards
NADO	National Association of Development Organizations
NCAMPO	North Carolina Association of Metropolitan Planning Organizations
NCARPO	North Carolina Association of Rural Planning Organizations
NCDOT	North Carolina Department of Transportation
NCPTA	North Carolina Public Transportation Association
NCTA	North Carolina Turnpike Authority
NEPA	National Environmental Policy Act (1969)
NHS	National Highway System
NOx	Nitrogen Oxide
PDEA	Project Development and Environmental Analysis Branch (NCDOT)
PM 2.5	Particulate Matter, 2.5 micrometers
PPP	Public Involvement Plan

PTD	Public Transportation Division (NCDOT)
PWP	Planning Work Program
RGP	Rural General Public (Transit)
ROAP	Rural Operating Assistance Program (Transit)
ROW	Right of Way
RPO	Rural Planning Organization
RSA	Road Safety Audit
SAFETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act – A Legacy for Users (2005)
SFY	State Fiscal Year (July 1 – June 30)
SIP	State Implementation Plan (Air Quality)
SPOT	Strategic Planning Office of Transportation (NCDOT)
SRTS	Safe Routes to School
STAA	Surface Transportation Assistance Act (1982)
STIP	State Transportation Improvement Program
STP	Surface Transportation Program
SOV	Single Occupancy Vehicle
TAC	Transportation Advisory Committee (Local Elected Officials)
TAZ	Transportation Analysis Zone
TCC	Technical Coordinating Committee (Local Staff)
TCM	Traffic Calming/Control Measure
TDM	Transportation Demand Management
TEA	Transportation Enhancement Activity
TEA-21	Transportation Equity Act for the 21st Century (1998)
TIA	Traffic Impact Analysis
TIP	Transportation Improvement Program
TMA	Transportation Management Area (population of 200,000+)
TOD	Transit Oriented Development
TPD	Transportation Planning Division (NCDOT)
TRB	Transportation Research Board
USDOT	United States Department of Transportation
UAB	Urbanized Area Boundary
USC	United States Code
VMT	Vehicle Miles of Travel

VOC Volatile Organic Compounds



**(a) Senate Bill 1195**

GENERAL ASSEMBLY OF NORTH CAROLINA  
SESSION 1999

SESSION LAW 2000-123  
SENATE BILL 1195

AN ACT TO AUTHORIZE THE DEPARTMENT OF TRANSPORTATION, IN COOPERATION WITH LOCAL ELECTED OFFICIALS, TO ESTABLISH RURAL TRANSPORTATION PLANNING ORGANIZATIONS TO PLAN RURAL TRANSPORTATION SYSTEMS AND TO ADVISE THE DEPARTMENT ON RURAL TRANSPORTATION POLICY.

The General Assembly of North Carolina enacts:

Section 1. G.S. 136-18 is amended by adding a new subdivision to read:

"(35) To establish rural planning organizations, as provided in Article 17 of this Chapter."

Section 2. Chapter 136 of the General Statutes is amended by adding a new Article to read:

"Article 17.

"Rural Transportation Planning Organizations.

**"§ 136-210. Definitions.**

As used in this Article, 'Rural Transportation Planning Organization' means a voluntary organization of local elected officials or their designees and representatives of local transportation systems formed by a memorandum of understanding with the Department of Transportation to work cooperatively with the Department to plan rural transportation systems and to advise the Department on rural transportation policy.

**"§ 136-211. Department authorized to establish Rural Transportation Planning Organizations.**

(a) Authorization. – The Department of Transportation is authorized to form Rural Transportation Planning Organizations.

(b) Area Represented. – Rural Transportation Planning Organizations shall include representatives from contiguous areas in three to fifteen counties, with a total population of the entire area represented of at least 50,000 persons according to the latest population estimate of the Office of State Planning. Areas already included in a Metropolitan Planning Organization shall not be included in the area represented by a Rural Transportation Planning Organization.

(c) Membership. – The Rural Transportation Planning Organization shall consist of local elected officials or their designees and representatives of local transportation systems in the area as agreed to by all parties in a memorandum of understanding.

(d) Formation; Memorandum of Understanding. – The Department shall notify local elected officials and representatives of local transportation systems around the State of the opportunity to form Rural Transportation Planning Organizations. The Department shall work cooperatively with interested local elected officials, their designees, and representatives of local transportation systems to develop a proposed area, membership, functions, and responsibilities of a Rural Transportation Planning Organization. The agreement of all parties shall be included in a memorandum of understanding approved by the membership of a proposed Rural Transportation Planning Organization and the Secretary of the Department of Transportation.

**"§ 136-212. Duties of Rural Transportation Planning Organizations.**

The duties of a Rural Transportation Planning Organization shall include, but not be limited to:

- (1) Developing, in cooperation with the Department, long-range local and regional multimodal transportation plans.
- (2) Providing a forum for public participation in the transportation planning process.
- (3) Developing and prioritizing suggestions for transportation projects the organization believes should be included in the State's Transportation Improvement Program.
- (4) Providing transportation-related information to local governments and other interested organizations and persons.

**"§ 136-213. Administration and staff.**

(a) Administrative Entity. – Each Rural Transportation Planning Organization, working in cooperation with the Department, shall select an appropriate administrative entity for the organization. Eligible administrative entities include, but are not limited to, regional economic development agencies, regional councils of government, chambers of commerce, and local governments.

(b) Professional Staff. – The Department, each Rural Transportation Planning Organization, and any adjacent Metropolitan Planning Organization shall cooperatively determine the appropriate professional planning staff needs of the organization.

(c) Funding. – If funds are appropriated for that purpose, the Department may make grants to Rural Transportation Planning Organizations for professional planning staff. The members of the Rural Transportation Planning Organization shall contribute at least twenty percent (20%) of the cost of any staff resources employed by the organization. The Department may make additional planning grants to economically distressed counties, as designated by the North Carolina Department of Commerce."

Section 3. Nothing in this act shall require the General Assembly to appropriate funds to implement it. Neither the Department of Transportation nor the General Assembly shall reallocate any road maintenance funds to implement this act.

Section 4. The Department shall report to the Joint Legislative Transportation Oversight Committee on the implementation of this act on or before December 1, 2000.

Section 5. This act becomes effective July 1, 2000.

In the General Assembly read three times and ratified this the 6th day of July, 2000.

s/ Marc Basnight  
President Pro Tempore of the Senate

s/ James B. Black  
Speaker of the House of Representatives

s/ James B. Hunt, Jr.  
Governor

Approved 8:45 a.m. this 14th day of July, 2000

## **(b) Bylaws Template**

**XXXXXXX Rural Planning Organization  
Bylaws**

**Article I. Name**

The name of this organization shall be the XXXXXXX Rural Transportation Planning Organization, hereafter referred to as the XXRPO.

**Article II. Purpose**

The purpose of the XXRPO is to:

1. Develop long-range local and regional multi-modal transportation plans for One, Two and Three counties and their municipalities, and portions of Four County and their municipalities outside the Metropolitan Planning Organization (MPO) boundaries, in cooperation with the North Carolina Department of Transportation;
2. Provide a forum for public participation in the rural transportation planning process;
3. Develop and prioritize needs for transportation projects to be included in the state's Transportation Improvement Program (TIP);
4. Provide transportation-related information to local governments and other interested organizations and persons;
5. Conduct transportation related studies and surveys for local governments and other interested entities/organizations;
6. Perform other related transportation planning activities that shall be agreed upon between the RPO and the North Carolina Department of Transportation; and
7. Assist NCDOT in complying with the provisions of federal transportation laws and regulations.

**Article III. Membership**

As specified in the XXRPO Memorandum of Understanding (MOU) with the North Carolina Department of Transportation (NCDOT) and the ## XXRPO member counties, the XXRPO shall consist of two committees, with the LEAD PLANNING AGENCY NAME providing staff as the Lead Planning Agency (LPA). Representation upon the committees shall be governed as described below.

1. The Rural Transportation Advisory Committee (RTAC), consists of elected officials from the five-county area, and NCDOT. The membership of RTAC shall consist of the following:
  - a. One county commissioner representing One County and one municipal elected official from One County.
  - b. One county commissioner representing Two County and one municipal elected official from Two County.
  - c. One county commissioner representing Three County and one elected official from a municipality in Three County.

- d. **One county commissioner representing Four County and one elected official from a municipality outside of the MPO in Four County.**

The following member is considered a special representative, and will not be considered toward quorum:

- e. **One North Carolina Board of Transportation member.**
  - i. **Voting**

Each representative shall have one vote. Absentee voting shall not be permitted. Member governments shall appoint an alternate, provided he/she meets the qualifications for membership outlined herein.

- ii. **Term of Membership**

A representative's term of appointment shall be two years. Each County representative shall be selected by the appropriate County Board of Commissioners in regular session. The municipal representative from each county shall be selected by a caucus of municipalities within that county not located with the jurisdiction of a Metropolitan Planning Organization. Reappointment of individual representatives to the RTAC shall not be limited; so long he/she continues to meet the qualifications outlined above.

In the event that a county withdraws from the XXRPO, both county and municipal representation shall be forfeited.

- iii. **Officers**

Officers of the RTAC shall consist of a Chairperson and Vice-Chairperson, selected by majority vote, for a term of two years. The RPO Coordinator shall serve as Secretary to the RTAC. Officers shall be selected at the first meeting of each odd calendar year.

The Chairperson shall preside over all meetings of the RTAC, sign official documents on behalf of the RTAC, assist in the drafting of meeting agendas and decide points of order or procedure.

The Vice-Chairperson shall conduct the duties of the Chairperson in the event of his/her absence. Should neither the Chairperson nor Vice-Chairperson be available to preside over a meeting of the RTAC, a Chair Pro-Tem shall be appointed by majority vote.

- 2. **The Rural Technical Coordinating Committee (RTCC), shall consist of staff and appointed officials from the four-county area, NCDOT and other agencies. The membership of RTCC shall consist of the following:**
  - a. **County Manager, or his/her designee, from each PTRPO member county: One, Two, Three and Four.**
  - b. **The Chief Administrative Official, or his/her designee, from each municipality in the XXRPO planning area.**
  - c. **A representative from each transportation service provider in the PTRPO planning area: One County Department of Transportation, Two County Transportation System, Three County Adult Transportation and Four County Council on Aging.**

- d. The Division Engineer of Transportation Division(s) # and # of the NCDOT, or his/her designated representative.
- e. The Manager of the NCDOT Planning and Environment Statewide Planning Branch, or his/her designated representative.
- f. The Regional Traffic Engineer of the NCDOT Traffic Engineering Branch or his/her designated representative.

The following members are considered special representatives, and will not be considered toward quorum:

- g. A representative of the NCDOT Division of Bicycle and Pedestrian Transportation.
- h. A transportation planner representing the YYYYY Urban Area MPO.
  - i. Voting

Each representative shall have one vote. Absentee voting shall not be permitted. Member organizations shall appoint an alternate, provided he/she meets the qualifications for membership outlined herein.

- ii. Membership

Organizational representation on the RTCC may be altered by a majority vote of the RTCC, with final approval by the RTAC.

- iii. Officers

Officers of the RTCC shall consist of a Chairperson and Vice-Chairperson, selected by majority vote, for a term of two years. The RPO Coordinator shall serve as Secretary to the RTCC. Officers shall be selected at the first meeting of each odd calendar year.

#### Article IV. Administration

##### 1. Meetings

Regular meetings of the RTAC and RTCC shall be held when deemed necessary, appropriate and advisable, according to a schedule approved by each Committee. Notices shall be distributed at least seven days prior to a scheduled meeting, and in accordance with the Open Meeting Laws of the North Carolina General Statutes, Article 33C, §143-318.12.

Special meetings may be called as deemed necessary by the Chairperson, or at the request of three eligible voting members of a Committee. Notice of special meetings shall be given in accordance with the Open Meeting Laws of the North Carolina General Statutes, Article 33C, §143-318.12.

Closed meetings may be conducted as deemed necessary, according to the purposes permitted under the Open Meeting Laws of the North Carolina General Statutes, Article 33C, §143-318.11.

The XXRPO may choose to conduct workshops from time to time. Meeting notice shall be given in the same manner as a regular meeting.

- a. Attendance



Representatives or their designee are expected to attend all regular and special meetings. Attendance may be achieved through direct presence, teleconferencing or other electronic means. A quorum of at least 50% plus one (1) of representatives or alternates must be present to conduct businesses.

**b. Standing**

Good standing for all representatives shall be maintained through regular attendance at meetings. Following two consecutive unexcused absences, a representative's seat shall be declared vacant and shall not be counted toward quorum. Good standing shall be automatically restored upon a representative's attendance at a meeting. A replacement representative may be requested following a vote of the Committee following the loss of good standing.

**c. Agendas**

Meeting agendas shall list items for consideration by the Committee. Any committee member may place items on the agenda by contacting the Secretary. Additional items may be placed on the agenda at the beginning of a regular meeting if approval is given by a majority of present members.

**d. Rules of Order**

In the absence of guidance from these Bylaws or other adopted procedural policies, the Modern Rules of Order shall designate Committee procedure.

**2. Records**

The Secretary shall maintain all files, records and correspondence of the XXRPO, including the preparation and distribution of minutes, agendas and meeting notices. Access to these records shall be provided at reasonable times and with reasonable supervision according to the Public Records Laws of the North Carolina General Statutes, §132-6.

**3. Amendments**

Amendments to these Bylaws shall require a majority affirmative vote of both the RTCC and RTAC. Written notice of proposed amendments shall be provided to all members prior to consideration. Amendments must not conflict with the letter or fundamental intent of the Memorandum of Understanding which governs this document. In the event of a conflict, the Memorandum of Understanding shall carry precedence.

Approved by the XXXXXXX Rural Transportation Planning Organization on the ## day of MMMM, 20##.

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RTAC Chairperson

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RTCC Chairperson

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Secretary

*Adopted October 15, 2003.*

*Revised October 19, 2005.*

*Revised December 21, 2005.*

*Revised August 16, 2006.*

**(c) TAC Member Abstention Form**

**CONFLICT OF INTEREST DISCLOSURE**

The undersigned TAC Member hereby discloses a conflict of interest and abstains from participating in and voting on the following agenda item(s) or other item(s) coming before the TAC and requests that the official record of the meeting states that he or she did not participate in or vote on the following agenda item(s) or other item(s):

Agenda Item/Other Item: \_\_\_\_\_  
Description of Conflict: \_\_\_\_\_  
\_\_\_\_\_

Agenda Item/Other Item: \_\_\_\_\_  
Description of Conflict: \_\_\_\_\_  
\_\_\_\_\_

Agenda Item/Other Item: \_\_\_\_\_  
Description of Conflict: \_\_\_\_\_  
\_\_\_\_\_

Name (please print): \_\_\_\_\_

Signature: \_\_\_\_\_

Meeting Date: \_\_\_\_\_

**Instructions:**  
The TAC Member should review the agenda prior to the meeting, list the agenda item(s) or other matter(s) for which he or she has a conflict of interest, complete this form and submit it to the Secretary of the TAC *prior* to the meeting. This form *must* be included with the minutes of the meeting at which this form is submitted.

**(d) RPO Prospectus**

**North Carolina**  
**Rural Planning Organizations**  
**Prospectus 2012**

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## INTRODUCTION

The Prospectus is a reference document for transportation planning activities carried out by the state's Rural Planning Organizations (RPOs). The purpose of the Prospectus is to describe the RPO planning tasks involved in the transportation planning, prioritization/TIP, and project development processes. As described in the Prospectus, and further detailed in other RPO guidance documents, the RPO shall provide work products that enhance these processes. The RPO supports North Carolina Department of Transportation's (NCDOT's) planning process in the non-Metropolitan Planning Organization (MPO) areas and may not be responsible for all activities in this Prospectus.

Work carried out by the RPOs may be divided into three categories: Data Collection and Assessment; Transportation Planning; and Administration of Transportation Planning and Policies. Together, these categories provide the framework and contents of the RPO's annual Planning Work Program (PWP). The PWP identifies the planning work tasks and products that are to be accomplished in the upcoming fiscal year and further serves as a document by which funding through the North Carolina Department of Transportation can be documented and justified.

North Carolina's transportation planning process is a cooperative effort between NCDOT and the RPOs to ensure that the long-range transportation needs of the state's rural areas are addressed and the local interests are integrated into the transportation planning process. The RPOs assist NCDOT and local governments in the transportation planning process through four core duties as defined by North Carolina General Statutes:

### G.S 136-212

- Developing, in cooperation with the Department, long-range local and regional multimodal transportation plans.
- Providing a forum for public participation in the transportation planning process.
- Developing and prioritizing suggestions for transportation projects the organization believes should be included in the State's Transportation Improvement Program.
- Providing transportation-related information to local governments and other interested organizations and persons. (2000-123, s. 2.)

Together, NCDOT and the RPOs are working to improve safety and mobility of the transportation system. This is carried out through transportation planning activities and the development of Comprehensive Transportation Plans (CTP). The CTP process is accomplished through five high-level steps: Develop CTP Vision, Needs Assessment, Analysis of Alternatives, Development of Final Plan, and Adoption of Plan. NCDOT, the RPOs, and local governments work collaboratively through each of the five steps.

The RPOs assist NCDOT staff in various capacities. As NCDOT identifies infrastructure deficiencies and transportation projects are proposed to address these needs within a study area; the RPOs' local expertise and strong relationships with the local government agencies benefit the transportation planning process.

Information collected and developed by the RPO is transferred to NCDOT, or other requesting entities, in the form of **work products** that are designed to expedite and supplement planning/engineering studies, analyses, or grant applications. Work products are defined in the annual work program and should be developed to benefit NCDOT, RPO member agencies, and/or the citizens residing within the

RPO's jurisdiction and should directly contribute to the development of viable transportation projects, services, and/or recommendations.

Additionally, work products developed for NCDOT shall use the templates indicated in the work product descriptions of this Prospectus. The details and data specified in these descriptions for inclusion should be considered minimum criteria. Those work products developed for non-NCDOT recipients should be submitted in accordance to the standards and formats specified by the recipient. *However, all work products are subject to review on the basis of quality and recipient satisfaction.* Templates, guidelines, and examples pertinent to work product development are provided at the following RPO Guidance Webpage:

[\\*http://www.ncdot.org/COMINGSOON](http://www.ncdot.org/COMINGSOON)

To assist NCDOT and the RPOs in tracking the effectiveness and efficiency of the RPO, all work products shall be assigned a PWP work product number that shall be used for the life of the work product and referenced in the Budget Report (PWP, Quarterly Invoice Spreadsheet Tables, and Amendment Table) with the task and line item charged. Guidelines for creating PWP work product numbers are provided at the RPO Guidance Webpage referenced above. All work products should be delivered to appropriate NCDOT staff. A bulleted summary of the work product should be included in the Quarterly Invoice Spreadsheet Tables associated with the line-item charges.

The RPO may assist NCDOT in the identification and notification of local transportation needs and conditions. The RPO may assist in these endeavors through data collection and the delivery of planning tasks that identify transportation facility needs and aid in the development of recommendations for transportation improvements.

## DATA COLLECTION AND ASSESSMENT

Data collection and assessment refers to the collection and processing of information directly related to transportation planning, its impacts, and/or transportation funding. Surveillance and inventory of transportation data may be submitted as work products to NCDOT or used to support other transportation planning work tasks.

### I-1. DATA COLLECTION AND ASSESSMENT

Data collection usually takes place in the initial stages of plan development and may include the warehousing and assessment of data for review and dissemination. RPOs assist NCDOT and other local agencies in the collection, maintenance, and dissemination of transportation and socioeconomic data. The data provided by RPOs is used to support NCDOT staff in the development of CTP studies and planning forecasts as well as local agencies and stakeholders in the development of other transportation related tasks. Work tasks for this section are further detailed below.

#### I-1.1 CTP Inventory and Assessment

A current library of CTPs and land use plans is required to effectively assist local governments, businesses, and residents in planning for growth and development. The RPO should assemble and maintain an inventory of all current local land use plans, thoroughfare plans, public transportation plans, bicycle and pedestrian plans, and/or CTPs within the jurisdiction of the RPO. *The inventory is an **annual expectation** within the PWP and should be current by the end of each planning cycle.* Plans should be available upon request and a spreadsheet inventory should be delivered to the TPB area coordinator with the fourth quarter invoice unless no changes have occurred within the PWP year. Additionally, NCDOT relies upon both, its field staff and the RPOs to monitor and relay information about changes in growth and development that impact either current or future transportation facilities.

On an annual basis, each RPO may review its local and regional transportation planning needs and present a prioritized list of study needs to the designated NCDOT staff. This task requires RPO member consensus verified by the Technical Coordinating Committee (TCC) and the Transportation Advisory Committee (TAC) approval.

**Provided:** Template Spreadsheet, Guidelines

**Work products:** An in-house library of local plans; a spreadsheet inventory detailing the plan collection; a summary of transportation related visions, goals and objectives for the region or focus area, and/or, if applicable, a summary of changes in growth and development that may impact current or future transportation facilities, other.

#### I-1.2 Bicycle and Pedestrian Inventory and Assessment

This PWP task is designed to provide supportive information and data for the development of bicycle and pedestrian plans, educational programs, economic development endeavors, and/or funding alternatives. The RPO may conduct bicycle or pedestrian counts to determine baseline levels of current use, identify user demand, as well as establish travel times and patterns. This PWP task should also include the recording of key user interests and destinations such as universities, schools, parks, local service centers, and existing corridors frequently used by bicyclists and pedestrians.

**Work products:** Counts, database, and/or ArcGIS mapping detailing locations, other.

### **I-1.3 Parking Inventories**

Parking inventories, for both on-street and off-street parking, provide useful insight for local facility needs assessments and aids in the identification of locations where on-street parking or central parking capacities can be increased by implementing simple geometric improvements or facility re-classification. The RPOs may assist NCDOT and other local agencies in the development and improvement of parking inventories. Relevant data includes inventory of existing parking, projected needs, parking policies and ordinances, ownership, and rate.

**Provided:** Guidelines, Template Spreadsheet

**Work products:** Spreadsheet, ArcGIS mapping or database, Facility Needs Assessment detailing current parking deficiencies and projected needs, agency coordination, data collection, other.

### **I-1.4 Vehicle Occupancy Rates (VOR) Counts and Assessment**

Average Vehicle Occupancy rates and analyses are one measure of performance that is associated with the efficiency and effectiveness of a transportation system. This information may be used by NCDOT in the development of travel demand models and calculating motor vehicle emissions for Air Quality Analysis. Average VOR and analyses are applicable across many modes of transportation (passenger cars, rail, buses and coaches, and air) and are defined as the average number of occupants per vehicle.

Methods for data collection may include, but are not limited to, the traditional roadside/windshield method, photographic surveillance, local surveys including service provider ridership data, or accident data extraction. The RPO may elect to conduct vehicle occupancy counts or surveys across a specified service area to measure effectiveness of multimodal projects or public transportation services. This task may be used to quantify utilization of transit routes, HOV lanes, as well as bicycle and pedestrian facilities.

**Work products:** Written VOR report with accompanying counts, surveys, locations, Arc GIS maps and/or database, other.

### **I-1.5 Traffic Volume Counts and Assessment**

TPB is responsible for obtaining counts at specified locations on the state's major street and highway system, for updating the count location map biennially to reflect changes to the state's major street system, for preparing the Annual Average Daily Traffic (AADT) map, and for the dissemination of this information. The RPO may analyze traffic volume counts for isolated locations or corridors for NCDOT, local governing agencies, or local stakeholders. Work products submitted to NCDOT may include ArcGIS map or database formats. Special counts, analyses, and maps in support of regional transportation planning initiatives may also be submitted to NCDOT as work products.

**Work products:** Counts in ArcGIS map format, database, spreadsheet, documentation, and dissemination of information upon request to local stakeholders, other.

### **I-1.6 Crash Data and Assessment**

NCDOT's Transportation Mobility and Safety Division (TMS) develops safety related products for the state's transportation system. The RPO may request existing or special products from TMS to inform members of their RPO or to assist in the identification of sites where the crash rate exceeds the statewide average possibly indicating the need for investigation and/or

mitigating action by the Division offices. The RPO may also use NCDOT's Traffic Engineering Accident Analysis System (TEAAS) system to run individual crash reports.

RPO work products may include the preparation of an annual report identifying high-frequency crash sites within the jurisdictional boundaries of the RPO. The report may also compare these locations with those identified in the previous calendar year. The deliverable may be submitted to the TPB area coordinator per request.

**Reference:** [www.ncdot.gov/doh/preconstruct/traffic/safety/](http://www.ncdot.gov/doh/preconstruct/traffic/safety/)

**Provided:** Template, Guidelines

**Work products:** The assemblage, documentation, and dissemination of information upon request to local stakeholders; TEAAS training; report with accompanying ArcGIS map and/or database, other.

### **I-1.7 Public Transportation Service Data and Assessment**

An RPO may assist NCDOT's Public Transit Division and transit providers in conducting field investigations and surveys to support service providers in evaluating the effectiveness of their services. Pertinent data should detail connectivity to primary destinations, general public accessibility, perceived infrastructure deficiencies, pedestrian barriers or hazards, location of facilities servicing elderly and disabled, and service access points. Data may also include, but is not limited to, the following: current service providers and routes, relevant demographic information, neighborhoods where transit operation could target demographic needs, route changes, service miles, load factors, route ridership changes, boarding and alighting counts, headways, frequency, and service hours.

The RPO may assist local agencies, service providers, and NCDOT by providing an assessment of transit and rail services and facilities that includes the visions and goals of local stakeholders. The RPO may develop a survey to poll stakeholders and/or residents on the opportunity for new or expanded services. In addition to data collection, the RPO may also assess future needs and/or develop local transit coordinated plans. The assessment should consider the current availability of services to primary local destinations, activity centers, and trip generators.

Assumptions and impacts related to land use, travel behavior, parking centers, and local policies should be clearly defined. Additionally, assessments may include proposed recommendations focused on improvements or alternatives that bridge periods of transitional growth. Facilities located outside of regional boundaries may be considered where connectivity is reasonable. The RPO must provide written documentation of the agency request.

**Work products:** Requests should meet recipient's specifications; submittals to NCDOT should be provided in the following formats: spreadsheet, ArcGIS map, and/or database with written summary, report, other.

### **I-1.8 Transportation Modes Data Collection and Assessment**

The RPO may develop an inventory of all current regional and local multimodal facilities where multimodal refers to the use, provision, connectivity with, or consideration of more than one mode of transportation including highway, railroad, bicycle, pedestrian, ferry, and/or public transit services. The term "facilities" includes, but is not limited to, multimodal centers such as airports, transit hubs, and ferry terminals.

Work products may include an inventory of all current regional and local multimodal service providers and agencies along with their contact information, services, and active routes within the jurisdictional boundaries of the RPO should be included. The assessment may be presented in the form of a written summary with accompanying ArcGIS map or ArcGIS database. For mapping purposes, locations of multimodal carriers and primary routes should be shown.

**Work products:** Written summary or report, ArcGIS map and/or database, other.

### **I-1.9 Freight Data Collection and Assessment**

The RPO may develop an inventory of all current regional and local freight carriers, distribution centers, and agencies to provide NCDOT with general, functional recommendations for transportation system improvements that support local and regional freight mobility. An inventory of all current regional and local freight carriers, distribution centers, and agencies along with their contact information, services, and active routes within the jurisdictional boundaries of the RPO should be included. The assessment may be presented in the form of a written summary with accompanying ArcGIS map or ArcGIS database. For mapping purposes, locations of freight carriers, distribution centers, and primary routes should be shown.

**Work products:** Written summary or report, ArcGIS map and/or database, other.

### **I-1.10 Socioeconomic Data Inventory**

Transportation planning uses a variety of socioeconomic data such as population, employment, land use, housing, and travel behavior to build a localized profile of current conditions and future infrastructure needs. To assist NCDOT and local agencies, the RPO should collect and maintain socioeconomic data as a regional repository for use in CTPs and other transportation planning tasks. Additional tasks may also include verifying data accuracy and projecting socioeconomic data into future years.

**Work products:** Annual collection and maintenance of current socioeconomic data, compilation and review of data for transportation planning tasks, database, ArcGIS mapping, meetings, other.

### **I-1.11 Environmental and Land Use Data Inventory and Assessment**

The RPO may provide the NCDOT project engineers and local governments with data collection and/or ArcGIS mapping of locally significant built and environmental features including, but not limited to, the following: local landmarks or areas of avoidance; centerlines, parcels, land use, zoning, schools, libraries, universities, environmentally sensitive areas, and significant agricultural and/or research sites.

**Work products:** Annual collection and maintenance of current environmental data, compilation and review of data for transportation planning tasks; database; ArcGIS mapping, other.

### **I-1.12 Demographic Data Collection and Assessment**

An RPO may assist NCDOT in locating and identifying concentrations of minority and low-income populations by developing an ArcGIS map and/or database that illustrates the relationship between protected groups defined under Title VI provisions and their proximity to local and regional transportation projects during CTP or NEPA studies. Additionally, since

transportation planning activities mandate public involvement on the non-MPO level, RPOs must incorporate initiatives and strategies to engage these protected populations in statewide transportation planning processes.

**Work products:** ArcGIS map, database, summary, and/or reports, other.

## II. TRANSPORTATION PLANNING

Transportation Planning tasks support and assist NCDOT, local governing agencies, and stakeholders in the transportation planning process. These may include mapping, system assessment, and the dissemination of information.

### II-1. COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT

NCDOT develops CTPs in partnership with the RPOs, municipalities, and counties to serve present and anticipated travel demand within the study area. The work products delivered under this PWP category should relate specifically to the development or revision of CTP studies and be supported by data collected and analyzed in Section I.

Work products shall be submitted in accordance with the templates, guidelines, and standards provided by NCDOT to ensure the most efficient and productive transfer of information during the CTP planning process. The RPO may assist in the development of the work product. The following work elements may be required as part of the CTP or be delivered to NCDOT as separate work products in accordance with the RPO's PWP. Work tasks for this section are further detailed below.

#### II-1.1 Develop CTP Vision

At the onset of the study, local stakeholders, NCDOT staff, county and/or municipal representatives, and the RPO come together to initiate the CTP study. Preliminary preparations include establishment of public involvement strategies; formation of committees suitable to address local transportation concerns; establishment of RPO roles, and setting of tentative schedules, milestones, goals, and objectives for the progression of the CTP study.

##### II-1.1.a CTP Study Setup

CTP study setup refers to the initial coordination efforts expended in the identification of CTP partners and stakeholders as well as the administrative responsibilities associated with the start-up of the CTP process. Following issuance of the Start of Study Letter, NCDOT, and RPO representatives should define the roles and responsibilities assigned to each agency.

- RPO may assist NCDOT in developing a CTP Participation Agreement to define delivery expectations, quality of work product, procedures required in development of work product, and responsibilities included in local coordination.
- RPO may assist in the formation of a CTP steering committee including the identification of appropriate local representatives. These individuals should represent an equitable distribution of the area's diversity. See also Title VI section for additional guidance.
- RPO may collaboratively develop with TPB's project engineer the CTP milestones, schedules, and roles associated with the study.

**Provided:** CTP Participation Agreement Example, Milestones and Schedules Template

**Work products:** Summary of CTP tasks, contacts, efforts and outcomes, other.



### II-1.1.b Local CTP Vision

The RPO may assist NCDOT in the development of the local vision statement, defining goals and objectives, and identifying performance measures. Working with the CTP Steering Committee, the RPO may also coordinate with, and/or survey, local representatives to define the characteristics, features, and attributes of the future transportation system desired by the community. Surveys may include the polling of local governing agencies, transportation affiliated groups such as the regional TCC and TAC committees, and/or residents to define local vision for multimodal facilities. Surveys may also be used to solicit local input on facilities conducive to the introduction of multimodal alternatives. Surveys should be compiled with a brief summary detailing survey process and parameters, targeted survey recipients, and include both the original survey and all responses.

**Required:** *CTP Committee Consensus*

**Reference:** *Guidance for Crafting a Comprehensive Transportation Plan: Vision Statement, Goals, Objectives & Performance Measures (FHWA) can be found on RPO Guidance Webpage, in the RPO public involvement plan, and in Title VI Requirements.*

**Work products:** *Coordination of meetings, educational materials, consultations, surveys with compilation of results, and/or written reports, summaries of outcomes, other.*

## II-1.2 Conduct CTP Needs Assessment

“Conduct Needs Assessment” in the CTP primarily includes data collection and projection, analysis of the current transportation system, and identification of deficiencies in the transportation system.

### II-1.2.a Data Collection and Assessment

RPOs may assist NCDOT in collection, mapping, and analysis of existing data as well as the projection of data necessary for the development of the CTP. The RPO may also assist NCDOT in identifying future planned development and coordinating with local agencies on growth expected in relation to established land use plans. This may include the development of educational material and presentations to local officials and/or Steering Committee meetings. Refer to Section I for detailed work product descriptions.

**Work products:** *As defined in Section I or as requested by TPB project engineer, other.*

### II-1.2.b Current and Future Year Data Endorsements

Following data collection and analysis, preliminary decisions regarding expected growth, land use, employment opportunities, socio-economic projections and predicted changes in the local demographics are developed. These decisions shall be endorsed by the participating communities. The RPO may assist TPB project engineer in obtaining consensus by coordinating with local agencies, developing educational materials, and presenting findings to local officials.

**Required:** *Steering Committee and Policy Board endorsements*

**Work products:** *Summary of tasks, contacts, efforts expended, and outcomes, other.*

### II-1.2.c Deficiency Assessment

Following data collection and analysis, the RPO may assist the TPB project engineer in existing and future year deficiency analysis. NCDOT’s analysis may include an evaluation of



individual modes (highway, public transportation, rail, bicycle, pedestrian) or intermodal connectivity (how modes interact with one another). The RPO may identify existing locations, facilities, and/or services where individual modes are deficient. For each deficiency there should be a documented problem that will be addressed during the alternatives analysis step of the CTP process by TPB's project engineer.

The RPO may provide an assessment of local and/or regional facilities and modal elements based upon local visions, current user demand, travel patterns, agency consensus, safety, and connectivity. Work products should be in the form of a written document and include relevant information such as, but not limited to, the identified problem (which will become the basis for the Problem Statement and ultimately the Purpose and Need), specific information that led to the identification of the deficiency, and stakeholder contact information. The assessment may be focused on one specific mode or on a comprehensive view of all modes.

The RPO may develop educational material, presentations, and/or promotional programs to encourage general awareness of services or facility benefits; usage of multimodal facilities; and/or participation in associated local/regional events. Materials may be focused on one specific mode or on a comprehensive view of all modes applicable to the facility: highway, public transportation and rail, bicycle, and pedestrian.

**Work products:** Summary of assumptions, methodology and findings, conditions, accompanying spreadsheets, counts, reports and supportive maps, ArcGIS maps or databases with accompanying documentation, PowerPoint presentation with accompanying script, the "Identified Problem," and/or CTP Inventory and Recommendations Table and Guidance document, other.

## **II-1.3 Analyze Alternatives and Environmental Screening**

Once deficiencies have been identified, TPB staff shall work with the CTP steering committee to identify and evaluate possible solutions. The RPO's knowledge of local transportation facilities and planning expertise provides a significant resource during this CTP development step.

### **II-1.3.a Alternatives Assessment**

During the CTP study, the RPO may assist TPB staff in developing the Alternative Analysis Comparison Matrix upon request. See Section I for work product descriptions associated with applicable data collection and planning tasks.

**Work products:** ArcGIS mapping, database, Alternative Assessment summary, other.

### **II-1.3.b Local Alternative Consensus**

The RPO may assist TPB staff by coordinating with local officials, governmental agencies, and the general public to gain consensus on alternative scenarios preferred for CTP recommendations.

**Work products:** Summary detailing stakeholders, facility, preferred alternatives considered and local comments, public workshops, and/or coordinating meetings, other.

## II-1.4 Develop Final Plan

With the draft CTP complete, the RPO may assist TPB staff in preparation for local adoption.

### II-1.4.a Develop CTP Maps

Draft CTP maps represent the recommendations required to meet the area's travel demand due to growth and development. RPOs may assist TPB staff in the development of CTP maps through quality control and verification of data; comparison assessment of CTP recommendations to vision statement and evaluation criteria; provision of workshops for public comment; and the presentation of draft CTP maps to participating municipal and local governmental agencies for endorsement.

**Work products:** Summary of tasks and outcomes per request, other.

### II-1.4.b Local Endorsement

RPO tasks may include, but are not limited to, the organization of public workshops, notification of public meetings, presentations, promotion of local consensus and subsequent documentation of public comment and the presentation of draft CTP to participating local governmental agencies for final review. All public meetings organized by the RPO should follow the procedures and regulations outlined in Section III.

**Work products:** Summary of tasks and outcomes per request, other.

### II-1.4.c Adopt Plan

In order for the CTP maps to have legal standing for local implementation, the participating municipalities and counties, and NCDOT must mutually adopt the CTP maps (NC G. S. 136-66.2).

The RPO may assist by: provision of public forum and presentation of final CTP; documentation of public and agency input; and the presentation of final CTP maps to participating local governmental agencies and the RPO for adoption. All public meetings organized by the RPO should follow the procedures and regulations outlined in Section III. Work products may be limited to 'time spent' with a summary of process undertaken and outcomes provided in the Quarterly Invoice Tables.

**Provided:** Sample resolutions for adoption/endorsement

**Required:** TCC and TAC endorsement, MPO adoption required where applicable, Municipal and County Adoption

**Work products:** Summary of tasks and outcomes in the Quarterly Invoice Tables, other.

### II-1.4.d CTP Document

The Final CTP document includes all pertinent study information, data collection and analysis, plan development, and the record of public involvement. Depending on roles and responsibilities defined at the start of study; the RPO may assist TPB staff in the development of the report by providing one or more of the following: formatting of data, maps, illustrations for the Appendices, and quality control review. The RPO may further aid the Department by disseminating the document to partners and stakeholders within the jurisdictional boundaries of the RPO for final review.

**Work products:** Written documentation, ArcGIS mapping, summary of tasks and outcomes in the Quarterly Invoice Tables, other.

#### **II-1.4.e CTP and Local Land Use Revisions**

Once the CTP adoption process is complete, it is essential to periodically revisit the land use plans of participating municipal and county agencies in reference to compatibility between the newly adopted CTP and the existing local land use plan. The RPO may assist TPB staff and the local government agencies in making sure that the local land use plan continues to support the goals and visions of the CTP. Work products may include: the provision of feedback to the land use agencies on noted inconsistencies between the CTP and local land use plans, development of a local land use strategy for CTP support, and/or the surveillance and mapping of significant changes to land use that potentially impact the recommendations of an adopted CTP.

**Required:** TCC and TAC endorsement (Required for all CTP updates and revisions)

**Work products:** Summary of findings, documentation of agency notification, ArcGIS mapping and/or database, other.

#### **II-1.4.f Development of Local Implementation Strategies**

Municipalities, counties, and NCDOT are responsible for the implementation of the CTP. The RPO may assist the local agencies in this effort through the organization of public meetings, the provision of educational materials or presentations, coordination between resource agencies and the local representatives, and the provision of the planning resources. The RPO may tailor work products to fit the needs and requirements of the recipient agency with inclusion in the annual PWP.

**Work products:** Documentation of request and summary of task, educational materials, provision of public workshops, and agency coordination, other.

## **II-2. PRIORITIZATION AND PROGRAM DEVELOPMENT**

The RPO is responsible for the development of prioritized lists of its region's transportation projects (including highway, public transportation, bicycle and pedestrian, and rail projects) and the entry of those projects into the state's prioritization process.

### **II-2.1 Local Project Prioritization**

The RPO is responsible for the development of a single, prioritized list of its region's transportation projects (including highway, public transportation, bicycle and pedestrian, and rail projects) and the entry of those projects into the state's prioritization process.

#### **II-2.1.a Local Project Prioritization**

Local project prioritization requires the RPO to engage in a public involvement process in order to identify and prioritize transportation needs. To support project prioritization, the RPO may, in conjunction with TPB staff, update project concepts, develop minimum problem statements, and assemble data relevant to the prioritization process.

The RPO must then work collaboratively with regional and local transportation stakeholders and agencies to review the region's proposed transportation projects and rank them according to local priorities. The RPO is responsible for the organization of meetings, provision of educational workshops, developing surveys and tallies, leading public drop-in sessions, coordination with contiguous planning organizations, and development of tasks associated with the procurement of the TCC and TAC endorsement/approval of final list of

locally prioritized projects. The final list of RPO projects submitted should be forwarded to TPB staff. TPB staff will support this effort.

**Reference:** [www.ncdot.gov/performance/reform/prioritization/default.html](http://www.ncdot.gov/performance/reform/prioritization/default.html)

**Required:** TCC and TAC endorsement/approval of final prioritization list

**Work products:** Summary of tasks and outcomes per request; List of locally prioritized projects; Minimum problem statements, other.

#### **II-2.1.b Project Entry and SPOT Prioritization Process**

All candidate project proposals must be submitted through the NCDOT Prioritization Template.

**Work products:** Summary of tasks and outcomes per request, other.

### **II-2.2 STIP Participation**

After the draft STIP has been released by NCDOT for public comment; the RPO acts as a liaison between the Department's Program Development Branch and the regional stakeholders on any issues resulting from the programming of the region's projects.

#### **II-2.2.a STIP Participation**

The RPO should review all information related to its regional transportation projects for accuracy and in regards to local interests and/or concerns. The RPO should notify the Program Development Branch regarding discrepancies found within the draft STIP, coordinate meetings representing the region's stakeholders, and/or inform the Program Development Branch when amendments to the STIP may be necessary.

**Work products:** Projects entered, other.

### **II-3. PROJECT DEVELOPMENT**

The RPO's role in NCDOT's project development process includes dissemination of information to project stakeholders, assistance with the identification of current/future deficiencies as perceived locally, assistance with project purpose and need development, assistance with the identification of possible community impacts, surveillance of local land use plan compatibility with proposed projects, meeting attendance with NCDOT as the local representative, and documentation of the public involvement process. Work tasks for this section are further detailed below.

#### **II-3.1 Problem Statement and Purpose and Need**

A problem statement is utilized to define transportation planning recommendations in the CTP and is provided to the Project Development and Environmental Analysis Branch (PDEA) for use in the project development and prioritization process to further develop a project's Purpose and Need. The RPO may assist NCDOT staff in the project development process by collecting and processing data needed to develop a project's Purpose and Need, representing the local interests during the project development process, and providing agencies with critical information about the local project area.

##### **II-3.1.a Purpose and Need Data**

The RPO may collect and/or disseminate local data needed by NCDOT in the development of Problem Statements and/or Purpose and Need Statements. Submittals should be made to TPB or PDEA staff. The RPO should review Purpose and Need statements to ensure local

interests and priorities have been adequately identified and addressed within the statement content. The RPO deliverables include time spent and work products required for the quality control, research, dissemination of local socioeconomic data, and/or comment summary as a representative of the communities the RPO serves. Submittals should be made to TPB or PDEA staff.

**Work products:** Delivery of requested data, review and comment on NCDOT draft problem statements, summary of tasks and outcomes in the Quarterly Invoice Tables, other.

### II-3.1.b Public Involvement Strategies

The RPO may assist TPB and PDEA with the implementation of public involvement strategies, in compliance with the RPO Public Involvement Plan (PIP), during the project development process by organizing public workshops, disseminating information amongst local stakeholders, and obtaining local consensus on content of Purpose and Need Statements.

**Work products:** Delivery of comments to PDEA, verification of time and event held with the Quarterly Invoice Tables, other.

## II-3.2 Merger Process

During the project development process for major projects, Merger Meetings are scheduled to discuss the progression of the project, the issues, and steps going forward. RPO participation in these meetings ensures representation of local interests in the development of the project and that local stakeholders receive the most accurate and current information available on projects that impact their communities.

### II-3.2.a Meeting Attendance

The RPO should attend all meetings where RPO attendance is beneficial to either the NCDOT project team in regards to local representation or to local transportation stakeholders in regards to the dissemination of information. The RPO should prepare a meeting attendance summary for presentation to the RPO's TCC and TAC.

For RPOs participating in the Merger process with concurrence signature authority, the RPO planner will be expected to attend Merger process training and adhere to the Project Team Member Roles and Responsibilities at all times. Additional information can be found at NCDOT's Merger Process Website.

**Reference:** <http://www.ncdot.gov/doh/preconstruct/pe/MERGER01>

### II-3.2.b Review and Comment

Merger meetings are held by NCDOT staff to discuss background data, Purpose and Need, alternatives, design and environmental impacts, the proposed scope of the project, and potential substantial project issues. The RPOs can assist PDEA by reviewing information presented at these meetings for quality control, need for additional research, completeness/correctness of local demographics, and/or comment as a representative of the communities the RPO serves.

**Work products:** Meeting attendance, summary of tasks and outcomes in the Quarterly Invoice Tables, other.

### **II-3.3 Indirect and Cumulative Effects**

Indirect and Cumulative Effects (ICE) assessment provides an estimate of the indirect effects of a transportation project and the combined or cumulative effects of the project along with other past, present, or foreseeable future development activities. The primary focus is on the project's potential to induce growth and change land use (e.g., urban and suburban growth), that could in turn affect natural and socioeconomic resources of the study area.

#### **II-3.3.a ICE Assessment of Probable Growth**

The assessment of a project's area of influence includes a review of local land use planning, demographic trends, market forces, and infrastructure and other factors that influence urban and suburban development. The RPO may assist PDEA in the assessment of a local project's indirect and cumulative impacts on the area's probable growth trends and boundaries.

**Work products:** Assessment documenting the expected effects, ArcGIS map or database with accompanying summary of findings, data collection methodologies, and resources used, other.

## **II-4. GENERAL TRANSPORTATION PLANNING**

General planning refers to those planning initiatives that may not relate directly to the CTP process. These initiatives may be owned by local governing agencies, or service providers for which the RPO provides technical support and work product development. Work tasks for this section are further detailed below.

### **II-4.1 General Transportation Planning Tasks**

In performance of General Transportation Planning duties, the RPO may be engaged to assist in the collection of data required for study and analysis, the pursuit of alternative or supplemental funding, and/or for review and comment on transportation related issues.

#### **II-4.1.a Regional or Statewide Planning**

An RPO may coordinate with state and federal agencies involved in transportation planning activities on the regional, state, and national levels. This may include reviewing the functional classification of roads; reviewing Urban Cluster Boundaries; assisting with, or review of, traffic analysis zones (TAZ's) for CTP models; reviewing National Highway System (NHS); regional model coordination; assisting with air quality conformity; and/or regional transit coordination. Involvement may include, but is not limited to: collection and compilation of data; participation in related workshops, conferences, and meetings; and administrative approval or endorsement of documentation.

**Work products:** Compiled data, reports, ArcGIS map or database, meeting summaries, dissemination of information, or other dependent upon request, other.

#### **II-4.1.b Special Studies and Projects**

An RPO may develop a work product to address a local area's specific needs that are not part of an on-going study or plan under development. An example may include, but is not limited to, assisting NCDOT with a facility deficiency assessment along a specified corridor. Other examples of subject matter for special studies may originate from significant changes in land use that impact the area traffic model patterns such as the introduction or termination of

large-scale traffic generators (hospitals, regional malls, etc.). Notable changes that impact local transportation infrastructure should be reported to TPB staff. Changes may also warrant further investigation by RPO staff as impacts may potentially affect the regional distribution and/or anticipated traffic volumes, requiring revision of the local CTP to accommodate the newly forecasted growth.

Prior to the initiation of special studies, work product extent, responsibilities, roles, and allowable cost for the study should be approved by TPB staff and the TAC.

**Work products:** Dependent upon study, other.

#### II-4.1.c CMAQ Planning

Congestion Mitigation & Air Quality (CMAQ) is a Federal program that funds transportation projects and programs in air quality non-attainment and maintenance areas. The program is intended to help achieve and maintain national standards for air quality pollutants. Counties and municipalities pursuing CMAQ funding may enlist the RPOs in the preparation of the CMAQ applications and project submittals for Project Prioritization. For those RPOs with non-attainment counties, the following work products may be developed in the pursuit of CMAQ funding. RPO staff may assist local governing agencies with the development or review of CMAQ applications including assistance with emissions analysis. The RPO must endorse all candidate project proposals through resolution or letter of support. An RPO near, or within, a non-attainment area may provide public outreach and educational material pertaining to non-attainment area boundaries in North Carolina, funding opportunities, and potential projects to their member jurisdictions.

**Reference:** <http://ncdot.org/doh/preconstruct/tpb/services/air.html>

**Provided:** Endorsement Example

**Work products:** CMAQ Application; summary of review comments; CMAQ Application endorsement letter, other.

#### II-4.1.d Air Quality Assessment

RPOs in the vicinity of non-attainment areas may provide the following services related to Air Quality Conformity: collect data including, but not limited to socio-economic data and transportation network data, participate in statewide air quality conference calls, coordinate attainment efforts with regional partners, contribute to the regional model, provide public outreach and educational material pertaining to non-attainment area boundaries in North Carolina, funding opportunities, and potential projects.

**Work products:** PowerPoint presentation, conformity resolutions, network map updates, socio-economic data, socio-economic maps, meeting with local officials and staff to gather socio-economic data, attending Model Team meetings, brochures, or public workshops, other.

#### II-4.1.e Alternative Funding

The RPO may provide governing agencies and service providers within the RPO's jurisdiction with assistance in identifying alternative and supplementary funding streams for multimodal or single mode transportation projects. Work products may include grant writing assistance as well as the assemblage of necessary data.



**Work products:** Research and identification of alternative funding opportunities, grant writing assistance, and development of all accompanying materials such as mapping and/or visualizations, other.

#### II-4.1.f Training and Certification

The RPO is responsible for acquiring and maintaining the skill sets needed to perform the administrative duties and long-range planning tasks associated with the RPO's transportation services. The RPO may participate in training and/or certification processes to maintain technical proficiency in the performance of their duties.

**Work products:** Training and certification.

### II-4.2 Title VI

It is NCDOT's policy that Title VI regulations will be upheld in all aspects and levels of its operation and programming without regard to funding source. The RPOs must show due diligence in their compliance and the provision of documentation as described by the work products below as a sub-recipient of state funding for all work submitted to TPB. It is the RPO's responsibility to make sure that its representation business practices meet Title VI requirements.

#### II-4.2.a RPO Affirmation of Title VI Compliance

Each RPO shall sign the Standard DOT Title VI Assurances that affirms its understanding of compliance with Title VI of the Civil Rights Act of 1964. This includes, at a minimum, the following tasks: adopting a Title VI policy statement, notifying the public of their rights under Title VI, and maintaining a record of complaints (against the area or its vendor/service provider) or concerns raised regarding the denial of services or benefits to any group protected under Title VI (race, color, national origin, minority status, low-income, age, disability, sex).

**References:** For FTA funds through NCDOT see the following guidance:

<http://www.fta.dot.gov>

**Work products:** Signed Title VI policy statement, documentation of compliance with regulations submitted with associated work product, other.

#### II-4.2.b Transportation Initiatives and ADA Compliance

Each RPO shall document and maintain records of efforts to comply with ADA regulations regarding all elements of the planning process. The RPOs should conduct an ADA Compliance Review for all transportation planning initiatives originating with or impacting areas inside the RPO in relation to CTP, SPOT, or STIP projects. The review should include any concerns, conflicts, or relative information to ADA compliance for proposed projects; an inventory of facilities (or agencies) that serve/house the elderly or disabled in the vicinity of the proposed projects, any potential or imposed barriers, and/or special transportation services needed because of the project.

**Work products:** Written summary or report, ArcGIS map and/or database, RPO documentation compliance, other.



#### **II-4.2.c Environmental Justice Assessment**

The RPOs may assist NCDOT staff in conducting an environmental justice impact assessment for all proposed projects planned within the RPO's jurisdiction. The RPO's role is to assist TPB and/or PDEA staff in the identification of socioeconomic groups, specifically low-income and minority populations, located within the vicinity of proposed projects. The RPO may further assist TPB and PDEA staff in the identification of potentially adverse impacts due to future transportation projects that warrant further evaluation of resulting benefits and burdens. Assessment should address each socioeconomic groups identified and be submitted in written format. The assessment may also include ArcGIS mapping and/or databases that depict the relationship between the identified groups and the proposed transportation project.

**Work products:** Written summary or report, ArcGIS map and/or database, other.

#### **II-4.2.d Limited English Proficiency (LEP) Assessment**

RPOs may assist TPB and PDEA staff in the identification of LEP populations in either written or ArcGIS formats depicting the relationship between identified groups and proposed transportation project or studies. Work products may also include the development of programs, services, and activities that promote compliance with federal and state regulations for the inclusion of LEPs in the transportation planning process such as the provision of translated educational materials as well as all other translation and interpretation requirements for participants during public meetings.

**Work products:** Written summary or report of findings, programs, dissemination of information, services implemented, ArcGIS map and/or database, other.

### **III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES**

Administrative functions consist of those tasks performed by the RPO related to the management of work performed for NCDOT in compliance with state and federal law; standardized practices and best practices; and accounting for the distribution of public funds for work done within the RPO.

#### **III-1. ADMINISTRATIVE DOCUMENTS AND PUBLIC INVOLVEMENT**

Administration includes those activities associated with carrying out the transportation planning process within the RPO. Work products include the development/revision of the RPO's PWP and 5-Year Calendar; Quarterly Invoice Tables and Final Yearly Narrative development; and those tasks required in the organization and provision of public meetings and the region's TCC/TAC meetings. Work tasks for this section are further detailed below.

##### **III-1.1 Administrative**

The RPO is responsible for the development of the following documents which define the annual work, schedules, and planning priorities of the RPO: the PWP, 5-Year Planning Calendar, Quarterly Invoice Tables and Final Yearly Narrative, Funding Agreement, Memorandum of Understanding, Bylaws, and other regulatory documents.

###### **III-1.1.a Planning Work Program**

The RPO shall prepare an annual PWP to define the planning work products and activities to be carried out by the RPO. In the event revisions to the PWP become necessary, the RPO

should amend the PWP as specified in the RPO Manual. Amendments to the PWP require TCC/TAC and TPB approvals.

**Provided:** Template PWP, PWP Work Product Number Guidelines.

**Work products:** Annual TCC/TAC approved PWP.

### III-1.1.b 5-Year Planning Calendar

The 5-Year Planning Calendar is an annually prepared document that coincides with the PWP and links the short-term goals of the annual work program to the long-term goals and priorities of the RPO. The RPO shall review on an annual basis the 5-Year Planning Calendar to align with the goals and objectives of the current PWP. Should changes in RPO priorities, or initiatives, impact the 5-Year Planning Program Calendar during the fiscal planning year, revisions should be made accordingly. Revisions to the 5-Year Planning Calendar require TCC and TAC approval. TPB Staff should provide guidance and assistance in developing this calendar as it relates to upcoming CTP studies.

**Provided:** Example

**Work products:** Approved 5-Year Planning Program Calendar.

### III-1.1.c Quarterly Invoice Table and Final Yearly Narrative

Quarterly Invoice Tables must be completed and submitted by the Lead Planning Agency (LPA) to TPB in accordance with the approved PWP and the RPO Procedures Manual. Final Yearly Narrative must be completed and submitted by the Lead Planning Agency (LPA) to TPB along with the fourth quarterly invoice table in accordance with the RPO Procedures Manual.

**Provided:** Invoice Template, Final Yearly Narrative Example

**Work products:** Quarterly Invoice Tables, Final Yearly Narrative.

### III-1.1.d TCC/TAC Work Facilitation

The RPO should organize and schedule a minimum of four (4) TCC and TAC meetings annually. These meetings should be utilized to conduct RPO business associated with transportation project prioritization; address CTP development; provide an opportunity to effectively disseminate information relating to regional transportation projects, legislation, planning strategies; and, provide updates on RPO staff activities. Work facilitation includes all tasks associated with meeting preparation; the review, approval, endorsement, and/or adoption actions taken by the TAC/TCC; and member coordination and scheduling.

**Work products:** TCC and TAC meetings preparation, agendas, meeting minutes, other.

### III-1.1.e Regulatory Documents

The RPO must adopt a funding agreement that establishes the rules for disbursements and accounting of RPO grant funds. Additionally, this work task includes development of any sub-agreements pertaining to the local match in accordance with the RPO Procedures Manual. The RPO must develop a Memorandum of Understanding (MOU) which establishes the membership, preliminary bylaws, and voting structure of the RPO. The RPO is responsible for the procurement of all necessary signatures as well as the periodic review of the document and the enforcement of all proprieties set forth in the MOU during TCC, TAC, and public meetings conducted by the RPO. **The RPOs may develop other regulatory documents/agreements.**

**Provided:** Template

**Work products:** Funding Agreement and/or sub-agreements, MOU, review and/or amendments, other.

### III-1.1.f Miscellaneous Expenses

Miscellaneous duties include those activities associated with the day to day operations of the RPO and the dissemination of transportation-related information to local governments and other interested organizations and persons. While the tasks associated with miscellaneous duties may be small, the RPO has to respond to a multitude of these requests for which no tangible deliverable can be produced. Examples of miscellaneous duties may include: responding to inquiries about transportation issues (i.e. construction projects, striping of bike lanes, funding for sidewalk projects, right of way acquisition, etc.), sending correspondence to local governments. (i.e. announcements for grant applications), responding to requests for copies of transportation plans, etc.

**Work products:** A description of the miscellaneous duties performed by the RPO each quarter.

## III-1.2 Public Involvement

NCDOT is responsible for evaluating and reporting on public involvement strategies and initiatives undertaken during its planning, programming, and project development activities. The RPO supports this process by providing the following information:

### III-1.2.a Public Involvement Plan (PIP)

The RPO shall develop a PIP and formally adopt this plan as the guideline by which all public involvement strategies administered by the RPO must be conducted. The PIP should provide guidance to the RPO staff and define the limits of adequate public review opportunities and techniques to be implemented based on specific activities, documents, or processes. Elements to be incorporated and addressed by the policy include outreach and education, opportunities for input, and implementation procedures. Each RPO should develop or revise their public involvement process to include strategies that target the engagement and involvement of minority representatives and low-income groups in the planning process. These strategies should be documented and incorporated into the RPO's PIP and be consistent with the Departments Title VI process and PIP. The RPO shall provide a copy of the PIP to TPB Staff.

**Provided:** Example

**Work products:** RPO PIP

### III-1.2.b Documentation of Public Involvement

Public involvement is intended to engage the public early, and continuously, in the transportation planning process; assist the RPO in developing specific transportation projects that reflect the interests and needs of the community; and aid the RPO in promoting community awareness and understanding of the region's transportation projects and issues. The RPO may assist TPB with the provision of meaningful opportunities for public participation in the transportation planning process.

Work products may include the attendance of RPO staff at educational workshops and regional transportation project meetings, the development of meeting minutes/summaries

for TAC/TCC dissemination. As an exception, development of meeting minutes associated with the CTP should be based upon agreement between the RPO planning staff and the TPB project engineer assigned to the study at the beginning of the CTP study process. All other public input documentation at public meetings hosted/initiated by the RPO shall be the responsibility of the RPO and should be made available upon request for consideration as a work product by the TPB area coordinator.

For event/meeting attendance to be considered as a work product, it must be included in the RPO's PWP and shown to directly benefit NCDOT, RPO member agencies, and/or the citizens residing within the RPO's jurisdictional boundaries. The RPO should submit a brief summary to the TPB area coordinator with the Quarterly Invoice Table, the reasons for attendance, and the benefiting result for RPO stakeholders.

***Work products:* Implementation of aforementioned strategies with written summary, meeting attendance, presentation of information to TAC/TCC committees, development of PowerPoint presentation, summary of meeting(s) with the Quarterly Invoice Table, brochures, website updates, press-release, newsletter, other.**

## **(e) PWP Budget and Narrative Template**

FY 20XX-20XX  
 PLANNING WORK PROGRAM  
 ANNUAL PROPOSED FUNDING SOURCES TABLE  
 XXX Rural Planning Organization  
 (TEMPLATE)

TASK CODE	WORK CATEGORY	RPO PROGRAM FUNDS		
		LOCAL 20%	STATE 80%	TOTAL
<b>I. DATA COLLECTION AND ASSESSMENT</b>				
<b>I-1</b>	<b>DATA COLLECTION AND ASSESSMENT</b>	\$ -	\$ -	\$ -
I-1.1	Historians			
I-1.2	Other Modes			
I-1.3	Socioeconomic			
I-1.4	Title VI			
<b>II. TRANSPORTATION PLANNING</b>				
<b>II-1</b>	<b>COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT</b>	\$ -	\$ -	\$ -
II-1.1	Develop CTP Vision			
II-1.2	Conduct CTP Needs Assessment			
II-1.3	Analyze Alternatives and Environmental Screening			
II-1.4	Develop Final Plan			
II-1.5	Adopt Plan			
<b>II-2</b>	<b>PRIORITIZATION</b>	\$ -	\$ -	\$ -
II-2.1	Project Prioritization			
<b>II-3</b>	<b>PROGRAM AND PROJECT DEVELOPMENT</b>	\$ -	\$ -	\$ -
II-3.1	STP Participation			
II-3.2	Merger / Project Development			
<b>II-4</b>	<b>GENERAL TRANSPORTATION PLANNING</b>	\$ -	\$ -	\$ -
II-4.1	Regional and Statewide Planning			
II-4.2	Special Studies, Projects and Other Trainings			
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>				
<b>III-1</b>	<b>ADMINISTRATIVE ACTIVITIES</b>	\$ -	\$ -	\$ -
III-1.1	Administrative Documents			
III-1.2	TCC / TAC Work Facilitation, Ethics Compliance			
III-1.3	Program Administration			
<b>IV. DIRECT COSTS</b>				
<b>IV-1</b>	<b>PROGRAMMATIC DIRECT CHARGES</b>	\$ -	\$ -	\$ -
IV-1.1	Program-wide Direct Costs			
<b>IV-2</b>	<b>ADVERTISING</b>	\$ -	\$ -	\$ -
IV-2.1	News Media Ads			
<b>IV-3</b>	<b>LODGING, MEALS, INCIDENTALS</b>	\$ -	\$ -	\$ -
IV-3.1	Hotel Costs			
IV-3.2	Meal Costs			
IV-3.3	Incidentals			
<b>IV-4</b>	<b>POSTAGE</b>	\$ -	\$ -	\$ -
IV-4.1	Mailings			
<b>IV-5</b>	<b>REGISTRATION / TRAINING</b>	\$ -	\$ -	\$ -
IV-5.1	Conference Registration			
IV-5.2	Meetings / Workshops / Training Fees			
<b>IV-6</b>	<b>TRAVEL</b>	\$ -	\$ -	\$ -
IV-6.1	Mileage Reimbursement			
IV-6.2	Car Rental Costs			
IV-6.3	Other Travel Expenses			
<b>V. INDIRECT COSTS</b>				
<b>V-1</b>	<b>INDIRECT COSTS APPROVED BY COGNIZANT AGENCY FY 18-19</b>	\$ -	\$ -	\$ -
V-1.1	Incurred Indirect Costs			
<b>TOTAL</b>		\$ -	\$ -	\$ -

Approved by the TAC on: \_\_\_\_\_ 20\_\_  
 \_\_\_\_\_  
 Signature, TAC Chairman  
 \_\_\_\_\_  
 Signature, RPO Secretary

FY 20XX-20XX  
 PLANNING WORK PROGRAM  
 AMENDMENT TABLE  
 XXX RPO  
 (TEMPLATE)

1st Quarter Amendment Table Date: Day/Month/20XX			
Original Budgeted Amount	Net Change	New 1st Quarter Budgeted Amount	
<b>I. DATA COLLECTION AND ASSESSMENT</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>II. TRANSPORTATION PLANNING</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>III. ADMINISTRATION OF TRANS PLANNING &amp; POLICIES</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>IV. DIRECT COSTS</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>V. INDIRECT COSTS</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			

Approved by the TAC on: \_\_\_\_\_ 20\_\_

FY 20XX-20XX  
 PLANNING WORK PROGRAM  
 AMENDMENT TABLE  
 XXX RPO  
 (TEMPLATE)

2nd Quarter Amendment Table Date: Day/Month/20XX			
Original Budget With Previous Q Amendment(s)	Net Change	New 2nd Quarter Budgeted Amount	
<b>I. DATA COLLECTION AND ASSESSMENT</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>II. TRANSPORTATION PLANNING</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>III. ADMINISTRATION OF TRANS PLANNING &amp; POLICIES</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>IV. DIRECT COSTS</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>V. INDIRECT COSTS</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			

Approved by the TAC on: \_\_\_\_\_ 20\_\_

FY 20XX-20XX  
 PLANNING WORK PROGRAM  
 AMENDMENT TABLE  
 XXX RPO  
 (TEMPLATE)

3rd Quarter Amendment Table Date: Day/Month/20XX			
Original Budget With Previous Q Amendment(s)	Net Change	New 3rd Quarter Budgeted Amount	
<b>I. DATA COLLECTION AND ASSESSMENT</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>II. TRANSPORTATION PLANNING</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>III. ADMINISTRATION OF TRANS PLANNING &amp; POLICIES</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>IV. DIRECT COSTS</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>V. INDIRECT COSTS</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			

Approved by the TAC on: April 3, 2019

FY 20XX-20XX  
 PLANNING WORK PROGRAM  
 AMENDMENT TABLE  
 XXX RPO  
 (TEMPLATE)

4th Quarter Amendment Table Date: Day/Month/20XX			
Original Budget With Previous Q Amendment(s)	Net Change	New 4th Quarter Budgeted Amount	
<b>I. DATA COLLECTION AND ASSESSMENT</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>II. TRANSPORTATION PLANNING</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>III. ADMINISTRATION OF TRANS PLANNING &amp; POLICIES</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>IV. DIRECT COSTS</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			
<b>V. INDIRECT COSTS</b>			
\$ -	\$ -	\$ -	\$ -
Provide explanation for moving funds from one category to another.			

Approved by the TAC on: May 1, 2019

**FY 20XX-20XX**  
**PLANNING WORK PROGRAM**  
Narrative  
**XXX Rural Planning Organization**  
**(TEMPLATE)**

**I. DATA COLLECTION AND ASSESSMENT**

**I-1 DATA COLLECTION AND ASSESSMENT**

I-1.1 Highway

I-1.2 Other Modes

I-1.3 Socioeconomic

I-1.4 Title VI

**II. TRANSPORTATION PLANNING**

**II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT**

II-1.1 Develop CTP Vision

II-1.2 Conduct CTP Needs Assessment

II-1.3 Analyze Alternatives and Environmental Screening

II-1.4 Develop Final Plan

II-1.5 Adopt Plan

**II-2 PRIORITIZATION**

II-2.1 Project Prioritization

**II-3 PROGRAM AND PROJECT DEVELOPMENT**

II-3.1 STIP Participation

II-3.2 Merger / Project Development

**II-4 GENERAL TRANSPORTATION PLANNING**

II-4.1 Regional and Statewide Planning

II-4.2 Special Studies, Projects and Other Trainings

**III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES**

**III-1 ADMINISTRATIVE ACTIVITIES**

III-1.1 Administrative Documents

III-1.2 TCC / TAC Work Facilitation; Ethics Compliance

III-1.3 Program Administration

## **IV. DIRECT COSTS**

### **IV-1 PROGRAMMATIC DIRECT CHARGES**

**IV-1.1 Program-wide Direct Costs**

### **IV-2 ADVERTISING**

**IV-2.1 News Media Ads**

### **IV-3 LODGING, MEALS, INCIDENTALS**

**IV-3.1 Hotel Costs**

**IV-3.2 Meal Costs**

**IV-3.3 Incidentals**

### **IV-4 POSTAGE**

**IV-4.1 Mailings**

### **IV-5 REGISTRATION / TRAINING**

**IV-5.1 Conference Registration**

**IV-5.2 Meeting / Workshop / Training Fees**

### **IV-6 TRAVEL**

**IV-6.1 Mileage Reimbursement**

**IV-6.2 Car Rental Costs**

**IV-6.3 Other Travel Expenses**

## **V. INDIRECT COSTS**

### **V-1 INDIRECT COSTS APPROVED BY COGNIZANT AGENCY FY 18-19**

**V-1.1 Incurred Indirect Costs**

## **TOTAL**



FY 20XX-20XX  
 PLANNING WORK PROGRAM  
 ANNUAL PROPOSED FUNDING SOURCES TABLE  
 XXX Rural Planning Organization  
 (TEMPLATE)

FY 20XX-20XX  
 QUARTERLY EXPENDITURE SUMMARY  
 XXX Rural Planning Organization  
 (TEMPLATE)

TASK CODE	WORK CATEGORY	RPO PROGRAM FUNDS		
		LOCAL 20%	STATE 80%	TOTAL
<b>I. DATA COLLECTION AND ASSESSMENT</b>				
I-1	DATA COLLECTION AND ASSESSMENT	\$ -	\$ -	\$ -
I-1.1	Highway			
I-1.2	Other Modes			
I-1.3	Socioeconomic			
I-1.4	Title VI			
<b>II. TRANSPORTATION PLANNING</b>				
II-1	CTP DEVELOPMENT	\$ -	\$ -	\$ -
II-1.1	Develop CTP Vision			
II-1.2	Conduct CTP Needs Assessment			
II-1.3	Analyze Alternatives and Environmental Screening			
II-1.4	Develop Final Plan			
II-1.5	Adopt Plan			
II-2	PRIORITIZATION	\$ -	\$ -	\$ -
II-2.1	Project Prioritization			
II-3	PROGRAM AND PROJECT DEVELOPMENT	\$ -	\$ -	\$ -
II-3.1	STIP Participation			
II-3.2	Merger / Project Development			
II-4	GENERAL TRANSPORTATION PLANNING	\$ -	\$ -	\$ -
II-4.1	Regional and Statewide Planning			
II-4.2	Special Studies, Projects and Other Trainings			
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>				
III-1	ADMINISTRATIVE ACTIVITIES	\$ -	\$ -	\$ -
III-1.1	Administrative Documents			
III-1.2	TCC/TAC Work Facilitation; Ethics Compliance			
III-1.3	Program Administration			
<b>IV. DIRECT COSTS</b>				
IV-1	PROGRAMMATIC DIRECT CHARGES	\$ -	\$ -	\$ -
IV-1.1	Program-wide Direct Costs			
IV-2	ADVERTISING	\$ -	\$ -	\$ -
IV-2.1	News Media Ads			
IV-3	LODGING, MEALS, INCIDENTALS	\$ -	\$ -	\$ -
IV-3.1	Hotel Costs			
IV-3.2	Meal Costs			
IV-3.3	Incidentals			
IV-4	POSTAGE	\$ -	\$ -	\$ -
IV-4.1	Mailings			
IV-5	REGISTRATION / TRAINING	\$ -	\$ -	\$ -
IV-5.1	Conference Registration			
IV-5.2	Meeting / Workshop / Training Fees			
IV-6	TRAVEL	\$ -	\$ -	\$ -
IV-6.1	Mileage Reimbursement			
IV-6.2	Car Rental Costs			
IV-6.3	Other Travel Expenses			
<b>V. INDIRECT COSTS</b>				
IV-1	INDIRECT COSTS	\$ -	\$ -	\$ -
IV-1.1	Incurred Indirect Costs			
TOTAL		\$ -	\$ -	\$ -

RPO Expenditures			
1st QUARTER EXPENDITURES	% BUDGET SPENT TO DATE	TO DATE EXPENDITURES	BUDGETED AMOUNT
<b>I. DATA COLLECTION AND ASSESSMENT</b>			
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<b>II. TRANSPORTATION PLANNING</b>			
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<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND</b>			
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<b>IV. DIRECT COSTS</b>			
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<b>V. INDIRECT COSTS</b>			
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\$ -		\$ -	
Total:	\$ -	#DIV/0!	\$ -
NCDOT Share:	\$ -		\$ -
Local Share:	\$ -		\$ -

**FY 20XX-20XX**  
**PLANNING WORK PROGRAM**  
**1st Quarter Narrative**  
**XXX Rural Planning Organization**  
**(TEMPLATE)**

<b>I. DATA COLLECTION AND ASSESSMENT</b>		
<b>I-1 DATA COLLECTION AND ASSESSMENT</b>		
I-1.1	Highway	\$ -
I-1.2	Other Modes	\$ -
I-1.3	Socioeconomic	\$ -
I-1.4	Title VI	\$ -
<b>II. TRANSPORTATION PLANNING</b>		
<b>II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT</b>		
II-1.1	Develop CTP Vision	\$ -
II-1.2	Conduct CTP Needs Assessment	\$ -
II-1.3	Analyze Alternatives and Environmental Screening	\$ -
II-1.4	Develop Final Plan	\$ -
II-1.5	Adopt Plan	\$ -
<b>II-2 PRIORITIZATION</b>		
II-2.1	Project Prioritization	\$ -
<b>II-3 PROGRAM AND PROJECT DEVELOPMENT</b>		
II-3.1	STIP Participation	\$ -
II-3.2	Merger / Project Development	\$ -
<b>II-4 GENERAL TRANSPORTATION PLANNING</b>		
II-4.1	Regional and Statewide Planning	\$ -
II-4.2	Special Studies, Projects and Other Trainings	\$ -
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>		
<b>III-1 ADMINISTRATIVE ACTIVITIES</b>		
III-1.1	Administrative Documents	\$ -
III-1.2	TCC / TAC Work Facilitation; Ethics Compliance	\$ -
III-1.3	Program Administration	\$ -
<b>IV. DIRECT COSTS</b>		
<b>IV-1 PROGRAMMATIC DIRECT CHARGES</b>		
IV-1.1	Program-wide Direct Costs	\$ -
<b>IV-2 ADVERTISING</b>		
IV-2.1	News Media Ads	\$ -
<b>IV-3 LODGING, MEALS, INCIDENTALS</b>		
IV-3.1	Hotel Costs	\$ -
IV-3.2	Meal Costs	\$ -
IV-3.3	Incidentals	\$ -
<b>IV-4 POSTAGE</b>		
IV-4.1	Mailings	\$ -
<b>IV-5 REGISTRATION / TRAINING</b>		
IV-5.1	Conference Registration	\$ -
IV-5.2	Meeting / Workshop / Training Fees	\$ -
<b>IV-6 TRAVEL</b>		
IV-6.1	Mileage Reimbursement	\$ -
IV-6.2	Car Rental Costs	\$ -
IV-6.3	Other Travel Expenses	\$ -
<b>V. INDIRECT COSTS</b>		
<b>V-1 INDIRECT COSTS APPROVED BY COGNIZANT AGENCY FY 18-19</b>		
V-1.1	Incurred Indirect Costs	\$ -
<b>TOTAL</b>		

FY 20XX-20XX  
 PLANNING WORK PROGRAM  
 ANNUAL PROPOSED FUNDING SOURCES TABLE  
 XXX Rural Planning Organization  
 (TEMPLATE)

TASK CODE	WORK CATEGORY	RPO PROGRAM FUNDS		
		LOCAL 20%	STATE 80%	TOTAL
<b>I. DATA COLLECTION AND ASSESSMENT</b>				
I-1	<b>DATA COLLECTION AND ASSESSMENT</b>	\$ -	\$ -	\$ -
I-1.1	Highway			
I-1.2	Other Modes			
I-1.3	Socioeconomic			
I-1.4	Title VI			
<b>II. TRANSPORTATION PLANNING</b>				
II-1	<b>CTP DEVELOPMENT</b>	\$ -	\$ -	\$ -
II-1.1	Develop CTP Vision			
II-1.2	Conduct CTP Needs Assessment			
II-1.3	Analyze Alternatives and Environmental Screening			
II-1.4	Develop Final Plan			
II-1.5	Adopt Plan			
II-2	<b>PRIORITIZATION</b>	\$ -	\$ -	\$ -
II-2.1	Project Prioritization			
II-3	<b>PROGRAM AND PROJECT DEVELOPMENT</b>	\$ -	\$ -	\$ -
II-3.1	STIP Participation			
II-3.2	Merger / Project Development			
II-4	<b>GENERAL TRANSPORTATION PLANNING</b>	\$ -	\$ -	\$ -
II-4.1	Regional and Statewide Planning			
II-4.2	Special Studies, Projects and Other Trainings			
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>				
III-1	<b>ADMINISTRATIVE ACTIVITIES</b>	\$ -	\$ -	\$ -
III-1.1	Administrative Documents			
III-1.2	TCC/TAC Work Facilitation; Ethics Compliance			
III-1.3	Program Administration			
<b>IV. DIRECT COSTS</b>				
IV-1	<b>PROGRAMMATIC DIRECT CHARGES</b>	\$ -	\$ -	\$ -
IV-1.1	Program-wide Direct Costs			
IV-2	<b>ADVERTISING</b>	\$ -	\$ -	\$ -
IV-2.1	News Media Ads			
IV-3	<b>LODGING, MEALS, INCIDENTALS</b>	\$ -	\$ -	\$ -
IV-3.1	Hotel Costs			
IV-3.2	Meal Costs			
IV-3.3	Incidentals			
IV-4	<b>POSTAGE</b>	\$ -	\$ -	\$ -
IV-4.1	Mailings			
IV-5	<b>REGISTRATION / TRAINING</b>	\$ -	\$ -	\$ -
IV-5.1	Conference Registration			
IV-5.2	Meeting / Workshop / Training Fees			
IV-6	<b>TRAVEL</b>	\$ -	\$ -	\$ -
IV-6.1	Mileage Reimbursement			
IV-6.2	Car Rental Costs			
IV-6.3	Other Travel Expenses			
<b>V. INDIRECT COSTS</b>				
IV-1	<b>INDIRECT COSTS</b>	\$ -	\$ -	\$ -
IV-1.1	Incurred Indirect Costs			
<b>TOTAL</b>		\$ -	\$ -	\$ -

FY 20XX-20XX  
 QUARTERLY EXPENDITURE SUMMARY  
 XXX Rural Planning Organization  
 (TEMPLATE)

RPO Expenditures				
1st QUARTER EXPENDITURES	2nd QUARTER EXPENDITURES	% BUDGET SPENT TO DATE	TO DATE EXPENDITURES	BUDGETED AMOUNT
<b>I. DATA COLLECTION AND ASSESSMENT</b>				
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<b>II. TRANSPORTATION PLANNING</b>				
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<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>				
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<b>IV. DIRECT COSTS</b>				
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<b>V. INDIRECT COSTS</b>				
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\$ -	\$ -		\$ -	
<b>Total:</b>	\$ -	#DIV/0!	\$ -	\$ -
<b>NCDOT Share:</b>	\$ -		\$ -	\$ -
<b>Local Share:</b>	\$ -		\$ -	\$ -

**FY 20XX-20XX**  
**PLANNING WORK PROGRAM**  
**2nd Quarter Narrative**  
**XXX Rural Planning Organization**  
**(TEMPLATE)**

<b>I. DATA COLLECTION AND ASSESSMENT</b>		
<b>I-1 DATA COLLECTION AND ASSESSMENT</b>		
I-1.1	Highway	\$ -
I-1.2	Other Modes	\$ -
I-1.3	Socioeconomic	\$ -
I-1.4	Title VI	\$ -
<b>II. TRANSPORTATION PLANNING</b>		
<b>II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT</b>		
II-1.1	Develop CTP Vision	\$ -
II-1.2	Conduct CTP Needs Assessment	\$ -
II-1.3	Analyze Alternatives and Environmental Screening	\$ -
II-1.4	Develop Final Plan	\$ -
II-1.5	Adopt Plan	\$ -
<b>II-2 PRIORITIZATION</b>		
II-2.1	Project Prioritization	\$ -
<b>II-3 PROGRAM AND PROJECT DEVELOPMENT</b>		
II-3.1	STIP Participation	\$ -
II-3.2	Merger / Project Development	\$ -
<b>II-4 GENERAL TRANSPORTATION PLANNING</b>		
II-4.1	Regional and Statewide Planning	\$ -
II-4.2	Special Studies, Projects and Other Trainings	\$ -
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>		
<b>III-1 ADMINISTRATIVE ACTIVITIES</b>		
III-1.1	Administrative Documents	\$ -
III-1.2	TCC / TAC Work Facilitation; Ethics Compliance	\$ -
III-1.3	Program Administration	\$ -
<b>IV. DIRECT COSTS</b>		
<b>IV-1 PROGRAMMATIC DIRECT CHARGES</b>		
IV-1.1	Program-wide Direct Costs	\$ -
<b>IV-2 ADVERTISING</b>		
IV-2.1	News Media Ads	\$ -
<b>IV-3 LODGING, MEALS, INCIDENTALS</b>		
IV-3.1	Hotel Costs	\$ -
IV-3.2	Meal Costs	\$ -
IV-3.3	Incidentals	\$ -
<b>IV-4 POSTAGE</b>		
IV-4.1	Mailings	\$ -
<b>IV-5 REGISTRATION / TRAINING</b>		
IV-5.1	Conference Registration	\$ -
IV-5.2	Meeting / Workshop / Training Fees	\$ -
<b>IV-6 TRAVEL</b>		
IV-6.1	Mileage Reimbursement	\$ -
IV-6.2	Car Rental Costs	\$ -
IV-6.3	Other Travel Expenses	\$ -
<b>V. INDIRECT COSTS</b>		
<b>V-1 INDIRECT COSTS APPROVED BY COGNIZANT AGENCY FY 18-19</b>		
V-1.1	Incurred Indirect Costs	\$ -
<b>TOTAL</b>		

FY 20XX-20XX  
 PLANNING WORK PROGRAM  
 ANNUAL PROPOSED FUNDING SOURCES TABLE  
 XXX Rural Planning Organization  
 (TEMPLATE)

TASK CODE	WORK CATEGORY	RPO PROGRAM FUNDS		
		LOCAL 20%	STATE 80%	TOTAL
<b>I. DATA COLLECTION AND ASSESSMENT</b>				
I-1	<b>DATA COLLECTION AND ASSESSMENT</b>	\$ -	\$ -	\$ -
I-1.1	Highway			
I-1.2	Other Modes			
I-1.3	Socioeconomic			
I-1.4	Title VI			
<b>II. TRANSPORTATION PLANNING</b>				
II-1	<b>CTP DEVELOPMENT</b>	\$ -	\$ -	\$ -
II-1.1	Develop CTP Vision			
II-1.2	Conduct CTP Needs Assessment			
II-1.3	Analyze Alternatives and Environmental Screening			
II-1.4	Develop Final Plan			
II-1.5	Adopt Plan			
II-2	<b>PRIORITIZATION</b>	\$ -	\$ -	\$ -
II-2.1	Project Prioritization			
II-3	<b>PROGRAM AND PROJECT DEVELOPMENT</b>	\$ -	\$ -	\$ -
II-3.1	STIP Participation			
II-3.2	Merger / Project Development			
II-4	<b>GENERAL TRANSPORTATION PLANNING</b>	\$ -	\$ -	\$ -
II-4.1	Regional and Statewide Planning			
II-4.2	Special Studies, Projects and Other Trainings			
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>				
III-1	<b>ADMINISTRATIVE ACTIVITIES</b>	\$ -	\$ -	\$ -
III-1.1	Administrative Documents			
III-1.2	TCC/TAC Work Facilitation; Ethics Compliance			
III-1.3	Program Administration			
<b>IV. DIRECT COSTS</b>				
IV-1	<b>PROGRAMMATIC DIRECT CHARGES</b>	\$ -	\$ -	\$ -
IV-1.1	Program-wide Direct Costs			
IV-2	<b>ADVERTISING</b>	\$ -	\$ -	\$ -
IV-2.1	News Media Ads			
IV-3	<b>LODGING, MEALS, INCIDENTALS</b>	\$ -	\$ -	\$ -
IV-3.1	Hotel Costs			
IV-3.2	Meal Costs			
IV-3.3	Incidentals			
IV-4	<b>POSTAGE</b>	\$ -	\$ -	\$ -
IV-4.1	Mailings			
IV-5	<b>REGISTRATION / TRAINING</b>	\$ -	\$ -	\$ -
IV-5.1	Conference Registration			
IV-5.2	Meeting / Workshop / Training Fees			
IV-6	<b>TRAVEL</b>	\$ -	\$ -	\$ -
IV-6.1	Mileage Reimbursement			
IV-6.2	Car Rental Costs			
IV-6.3	Other Travel Expenses			
<b>V. INDIRECT COSTS</b>				
IV-1	<b>INDIRECT COSTS</b>	\$ -	\$ -	\$ -
IV-1.1	Incurred Indirect Costs			
<b>TOTAL</b>		\$ -	\$ -	\$ -

FY 20XX-20XX  
 QUARTERLY EXPENDITURE SUMMARY  
 XXX Rural Planning Organization  
 (TEMPLATE)

RPO Expenditures						
1st QUARTER EXPENDITURES	2nd QUARTER EXPENDITURES	3rd QUARTER EXPENDITURES	% BUDGET SPENT TO DATE	TO DATE EXPENDITURES	BUDGETED AMOUNT	
<b>I. DATA COLLECTION AND ASSESSMENT</b>						
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<b>II. TRANSPORTATION PLANNING</b>						
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\$ -	\$ -	\$ -		\$ -	\$ -	
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>						
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<b>IV. DIRECT COSTS</b>						
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<b>V. INDIRECT COSTS</b>						
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<b>Total:</b>	\$ -	\$ -	#DIV/0!	\$ -	\$ -	
<b>NCDOT Share:</b>	\$ -	\$ -		\$ -	\$ -	
<b>Local Share:</b>	\$ -	\$ -		\$ -	\$ -	

FY 20XX-20XX  
 PLANNING WORK PROGRAM  
 3rd Quarter Narrative  
 XXX Rural Planning Organization  
 (TEMPLATE)

<b>I. DATA COLLECTION AND ASSESSMENT</b>		
<b>I-1 DATA COLLECTION AND ASSESSMENT</b>		
I-1.1	Highway	\$ -
I-1.2	Other Modes	\$ -
I-1.3	Socioeconomic	\$ -
I-1.4	Title VI	\$ -
<b>II. TRANSPORTATION PLANNING</b>		
<b>II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT</b>		
II-1.1	Develop CTP Vision	\$ -
II-1.2	Conduct CTP Needs Assessment	\$ -
II-1.3	Analyze Alternatives and Environmental Screening	\$ -
II-1.4	Develop Final Plan	\$ -
II-1.5	Adopt Plan	\$ -
<b>II-2 PRIORITIZATION</b>		
II-2.1	Project Prioritization	\$ -
<b>II-3 PROGRAM AND PROJECT DEVELOPMENT</b>		
II-3.1	STIP Participation	\$ -
II-3.2	Merger / Project Development	\$ -
<b>II-4 GENERAL TRANSPORTATION PLANNING</b>		
II-4.1	Regional and Statewide Planning	\$ -
II-4.2	Special Studies, Projects and Other Trainings	\$ -
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>		
<b>III-1 ADMINISTRATIVE ACTIVITIES</b>		
III-1.1	Administrative Documents	\$ -
III-1.2	TCC / TAC Work Facilitation; Ethics Compliance	\$ -
III-1.3	Program Administration	\$ -
<b>IV. DIRECT COSTS</b>		
<b>IV-1 PROGRAMMATIC DIRECT CHARGES</b>		
IV-1.1	Program-wide Direct Costs	\$ -
<b>IV-2 ADVERTISING</b>		
IV-2.1	News Media Ads	\$ -
<b>IV-3 LODGING, MEALS, INCIDENTALS</b>		
IV-3.1	Hotel Costs	\$ -
IV-3.2	Meal Costs	\$ -
IV-3.3	Incidentals	\$ -
<b>IV-4 POSTAGE</b>		
IV-4.1	Mailings	\$ -
<b>IV-5 REGISTRATION / TRAINING</b>		
IV-5.1	Conference Registration	\$ -
IV-5.2	Meeting / Workshop / Training Fees	\$ -
<b>IV-6 TRAVEL</b>		
IV-6.1	Mileage Reimbursement	\$ -
IV-6.2	Car Rental Costs	\$ -
IV-6.3	Other Travel Expenses	\$ -
<b>V. INDIRECT COSTS</b>		
<b>V-1 INDIRECT COSTS APPROVED BY COGNIZANT AGENCY FY 18-19</b>		
V-1.1	Incurred Indirect Costs	\$ -
<b>TOTAL</b>		
		\$ -

FY 20XX-20XX  
 PLANNING WORK PROGRAM  
 ANNUAL PROPOSED FUNDING SOURCES TABLE  
 XXX Rural Planning Organization  
 (TEMPLATE)

TASK CODE	WORK CATEGORY	RPO PROGRAM FUNDS		
		LOCAL 20%	STATE 80%	TOTAL
<b>I. DATA COLLECTION AND ASSESSMENT</b>				
I-1	<b>DATA COLLECTION AND ASSESSMENT</b>	\$ -	\$ -	\$ -
I-1.1	Highway			
I-1.2	Other Modes			
I-1.3	Socioeconomic			
I-1.4	Title VI			
<b>II. TRANSPORTATION PLANNING</b>				
II-1	<b>CTP DEVELOPMENT</b>	\$ -	\$ -	\$ -
II-1.1	Develop CTP Vision			
II-1.2	Conduct CTP Needs Assessment			
II-1.3	Analyze Alternatives and Environmental Screening			
II-1.4	Develop Final Plan			
II-1.5	Adopt Plan			
II-2	<b>PRIORITIZATION</b>	\$ -	\$ -	\$ -
II-2.1	Project Prioritization			
II-3	<b>PROGRAM AND PROJECT DEVELOPMENT</b>	\$ -	\$ -	\$ -
II-3.1	STIP Participation			
II-3.2	Merger / Project Development			
II-4	<b>GENERAL TRANSPORTATION PLANNING</b>	\$ -	\$ -	\$ -
II-4.1	Regional and Statewide Planning			
II-4.2	Special Studies, Projects and Other Trainings			
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>				
III-1	<b>ADMINISTRATIVE ACTIVITIES</b>	\$ -	\$ -	\$ -
III-1.1	Administrative Documents			
III-1.2	TCCTAC Work Facilitation; Ethics Compliance			
III-1.3	Program Administration			
<b>IV. DIRECT COSTS</b>				
IV-1	<b>PROGRAMMATIC DIRECT CHARGES</b>	\$ -	\$ -	\$ -
IV-1.1	Program-wide Direct Costs			
IV-2	<b>ADVERTISING</b>	\$ -	\$ -	\$ -
IV-2.1	News Media Ads			
IV-3	<b>LODGING, MEALS, INCIDENTALS</b>	\$ -	\$ -	\$ -
IV-3.1	Hotel Costs			
IV-3.2	Meal Costs			
IV-3.3	Incidentals			
IV-4	<b>POSTAGE</b>	\$ -	\$ -	\$ -
IV-4.1	Mailings			
IV-5	<b>REGISTRATION / TRAINING</b>	\$ -	\$ -	\$ -
IV-5.1	Conference Registration			
IV-5.2	Meeting / Workshop / Training Fees			
IV-6	<b>TRAVEL</b>	\$ -	\$ -	\$ -
IV-6.1	Mileage Reimbursement			
IV-6.2	Car Rental Costs			
IV-6.3	Other Travel Expenses			
<b>V. INDIRECT COSTS</b>				
IV-1	<b>INDIRECT COSTS</b>	\$ -	\$ -	\$ -
IV-1.1	Incurred Indirect Costs			
<b>TOTAL</b>		\$ -	\$ -	\$ -

FY 20XX-20XX  
 QUARTERLY EXPENDITURE SUMMARY  
 XXX Rural Planning Organization  
 (TEMPLATE)

TASK CODE	RPO Expenditures				% BUDGET SPENT TO DATE	TO DATE EXPENDITURES	BUDGETED AMOUNT
	1st QUARTER EXPENDITURES	2nd QUARTER EXPENDITURES	3rd QUARTER EXPENDITURES	4th QUARTER EXPENDITURES			
<b>I. DATA COLLECTION AND ASSESSMENT</b>							
I-1	\$ -	\$ -	\$ -	\$ -	#DIV/0!	\$ -	\$ -
I-1.1	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
I-1.2	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
I-1.3	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
I-1.4	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
<b>II. TRANSPORTATION PLANNING</b>							
II-1	\$ -	\$ -	\$ -	\$ -	#DIV/0!	\$ -	\$ -
II-1.1	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
II-1.2	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
II-1.3	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
II-1.4	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
II-1.5	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
II-2	\$ -	\$ -	\$ -	\$ -	#DIV/0!	\$ -	\$ -
II-2.1	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
II-3	\$ -	\$ -	\$ -	\$ -	#DIV/0!	\$ -	\$ -
II-3.1	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
II-3.2	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
II-4	\$ -	\$ -	\$ -	\$ -	#DIV/0!	\$ -	\$ -
II-4.1	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
II-4.2	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>							
III-1	\$ -	\$ -	\$ -	\$ -	#DIV/0!	\$ -	\$ -
III-1.1	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
III-1.2	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
III-1.3	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
<b>IV. DIRECT COSTS</b>							
IV-1	\$ -	\$ -	\$ -	\$ -	#DIV/0!	\$ -	\$ -
IV-1.1	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
IV-2	\$ -	\$ -	\$ -	\$ -	#DIV/0!	\$ -	\$ -
IV-2.1	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
IV-3	\$ -	\$ -	\$ -	\$ -	#DIV/0!	\$ -	\$ -
IV-3.1	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
IV-3.2	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
IV-3.3	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
IV-4	\$ -	\$ -	\$ -	\$ -	#DIV/0!	\$ -	\$ -
IV-4.1	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
IV-5	\$ -	\$ -	\$ -	\$ -	#DIV/0!	\$ -	\$ -
IV-5.1	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
IV-5.2	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
IV-6	\$ -	\$ -	\$ -	\$ -	#DIV/0!	\$ -	\$ -
IV-6.1	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
IV-6.2	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
IV-6.3	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
<b>V. INDIRECT COSTS</b>							
IV-1	\$ -	\$ -	\$ -	\$ -	#DIV/0!	\$ -	\$ -
IV-1.1	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
<b>Total:</b>	\$ -	\$ -	\$ -	\$ -	#DIV/0!	\$ -	\$ -
<b>NCDOT Share:</b>	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -
<b>Local Share:</b>	\$ -	\$ -	\$ -	\$ -		\$ -	\$ -

FY 20XX-20XX  
 PLANNING WORK PROGRAM  
 4th Quarter Narrative  
 XXX Rural Planning Organization  
 (TEMPLATE)

<b>I. DATA COLLECTION AND ASSESSMENT</b>		
<b>I-1 DATA COLLECTION AND ASSESSMENT</b>		
I-1.1	Highway	\$ -
I-1.2	Other Modes	\$ -
I-1.3	Socioeconomic	\$ -
I-1.4	Title VI	\$ -
<b>II. TRANSPORTATION PLANNING</b>		
<b>II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT</b>		
II-1.1	Develop CTP Vision	\$ -
II-1.2	Conduct CTP Needs Assessment	\$ -
II-1.3	Analyze Alternatives and Environmental Screening	\$ -
II-1.4	Develop Final Plan	\$ -
II-1.5	Adopt Plan	\$ -
<b>II-2 PRIORITIZATION</b>		
II-2.1	Project Prioritization	\$ -
<b>II-3 PROGRAM AND PROJECT DEVELOPMENT</b>		
II-3.1	STIP Participation	\$ -
II-3.2	Merger / Project Development	\$ -
<b>II-4 GENERAL TRANSPORTATION PLANNING</b>		
II-4.1	Regional and Statewide Planning	\$ -
II-4.2	Special Studies, Projects and Other Trainings	\$ -
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>		
<b>III-1 ADMINISTRATIVE ACTIVITIES</b>		
III-1.1	Administrative Documents	\$ -
III-1.2	TCC / TAC Work Facilitation; Ethics Compliance	\$ -
III-1.3	Program Administration	\$ -
<b>IV. DIRECT COSTS</b>		
<b>IV-1 PROGRAMMATIC DIRECT CHARGES</b>		
IV-1.1	Program-wide Direct Costs	\$ -
<b>IV-2 ADVERTISING</b>		
IV-2.1	News Media Ads	\$ -
<b>IV-3 LODGING, MEALS, INCIDENTALS</b>		
IV-3.1	Hotel Costs	\$ -
IV-3.2	Meal Costs	\$ -
IV-3.3	Incidentals	\$ -
<b>IV-4 POSTAGE</b>		
IV-4.1	Mailings	\$ -
<b>IV-5 REGISTRATION / TRAINING</b>		
IV-5.1	Conference Registration	\$ -
IV-5.2	Meeting / Workshop / Training Fees	\$ -
<b>IV-6 TRAVEL</b>		
IV-6.1	Mileage Reimbursement	\$ -
IV-6.2	Car Rental Costs	\$ -
IV-6.3	Other Travel Expenses	\$ -
<b>V. INDIRECT COSTS</b>		
<b>V-1 INDIRECT COSTS APPROVED BY COGNIZANT AGENCY FY 18-19</b>		
V-1.1	Incurred Indirect Costs	\$ -
<b>TOTAL</b>		
		\$ -



**FY 20XX-20XX  
PLANNING WORK PROGRAM  
Yearly Narrative  
XXX Rural Planning Organization  
(TEMPLATE)**

**I. DATA COLLECTION AND ASSESSMENT**

**I-1 DATA COLLECTION AND ASSESSMENT**

I-1.1 Highway

I-1.2 Other Modes

I-1.3 Socioeconomic

I-1.4 Title VI

**II. TRANSPORTATION PLANNING**

**II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT**

II-1.1 Develop CTP Vision

II-1.2 Conduct CTP Needs Assessment

II-1.3 Analyze Alternatives and Environmental Screening

II-1.4 Develop Final Plan

II-1.5 Adopt Plan

**II-2 PRIORITIZATION**

II-2.1 Project Prioritization

**II-3 PROGRAM AND PROJECT DEVELOPMENT**

II-3.1 STIP Participation

II-3.2 Merger / Project Development

**II-4 GENERAL TRANSPORTATION PLANNING**

II-4.1 Regional and Statewide Planning

II-4.2 Special Studies, Projects and Other Trainings

**III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES**

**III-1 ADMINISTRATIVE ACTIVITIES**

III-1.1 Administrative Documents

III-1.2 TCC / TAC Work Facilitation; Ethics Compliance

III-1.3 Program Administration

## **IV. DIRECT COSTS**

### **IV-1 PROGRAMMATIC DIRECT CHARGES**

IV-1.1 Program-wide Direct Costs

### **IV-2 ADVERTISING**

IV-2.1 News Media Ads

### **IV-3 LODGING, MEALS, INCIDENTALS**

IV-3.1 Hotel Costs

IV-3.2 Meal Costs

IV-3.3 Incidentals

### **IV-4 POSTAGE**

IV-4.1 Mailings

### **IV-5 REGISTRATION / TRAINING**

IV-5.1 Conference Registration

IV-5.2 Meeting / Workshop / Training Fees

### **IV-6 TRAVEL**

IV-6.1 Mileage Reimbursement

IV-6.2 Car Rental Costs

IV-6.3 Other Travel Expenses

## **V. INDIRECT COSTS**

### **V-1 INDIRECT COSTS APPROVED BY COGNIZANT AGENCY FY 18-19**

V-1.1 Incurred Indirect Costs

## **TOTAL**

## Examples of Activities in Categories

### ***I. DATA COLLECTION AND ASSESSMENT***

#### **I-1 DATA COLLECTION AND ASSESSMENT**

##### **I-1.1 Highway**

- CTP Inventory and Assessment
- Parking Inventories
- Vehicle Occupancy Rates (VOR) Counts and Assessment
- Traffic Volume Counts and Assessment
- Crash Data and Assessment

##### **I-1.2 Non-Highway**

- Bicycle and Pedestrian Inventory and Assessment
- Traffic Volume Counts and Assessment
- Public Transportation Service Data and Assessment
- Multimodal Data Collection and Assessment
- Freight Data Collection and Assessment

##### **I-1.3 Socioeconomic**

- Socioeconomic Data Inventory
- Environmental and Land use Data Inventory and Assessment
- Demographic Data Collection and Assessment

##### **I-1.4 Title VI**

- RPO Affirmation of Title VI Compliance
- Transportation Initiatives and ADA Compliance
- Environmental Justice Assessment
- Limited English Proficiency (LEP) Assessment

### ***II. TRANSPORTATION PLANNING***

#### **II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT**

##### **II-1.1 Develop CTP Vision**

- CTP Study Setup
- Local CTP Vision

##### **II-1.2 Conduct CTP Needs Assessment**

- Data Collection and Assessment
- Current and Future Year Data Endorsements
- Deficiency Assessment

##### **II-1.3 Analyze Alternatives and Environmental Screening**

- Alternatives Assessment
- Local Alternative Consensus

##### **II-1.4 Develop Final Plan**

- Develop CTP Maps
- Local Endorsement

## **II-1.5 Adopt Plan**

- CTP Document
- CTP and Local Land Use Revisions
- Development of Local Implementation Strategies

## **II-2 PRIORITIZATION**

- Project Prioritization

## **II-3 PROGRAM AND PROJECT DEVELOPMENT**

### **II-3.1 STIP Participation**

### **II-3.2 Merger / Project Development**

- Purpose and Need Data
- Public Involvement Strategies
- Meeting Attendance
- Review and Comment
- Indirect and Cumulative Effects

## **II-4 GENERAL TRANSPORTATION PLANNING**

### **II-4.1 Regional and Statewide Planning**

### **II-4.2 Special Studies, Projects and Other Training**

## ***III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES***

### **III-1 ADMINISTRATIVE ACTIVITIES**

#### **III-1.1 Administrative Documents**

- Planning Work Program
- 5-Year Planning Calendar
- Quarterly Invoice and Progress Reports

#### **III-1.2 TCC/TAC Work Facilitation; Ethics Compliance**

- Preparing for and holding Meetings
- Ethics Compliance Activities
- Regulatory Documents

#### **III-1.3 Program Expenses**

## ***IV. DIRECT COSTS***

### **IV-1 PROGRAMMATIC DIRECT CHARGES**

#### **IV-1.1 Program-wide Direct Costs**

- Communications
  - cell phone
  - communications
  - telecom
  - telephone
  - telephone and internet

- telephone, cell service
- telephone/postage
- broadband

#### Dues and Subscriptions

- dues and subscriptions
- dues/memberships

#### Equipment

- capital equipment
- equipment - capital outlay
- equipment maintenance and repair
- equipment maintenance
- equipment rent
- copier
- computer costs
- maintenance and repair

#### Insurance

- insurance
- insurance and bonding

#### Occupancy Cost

- building rent
- cost of space
- occupancy
- occupancy expense
- rent
- building maintenance
- maintenance and repair
- utilities

#### Professional Services

- audit
- professional services

#### Supplies

- copier costs/paper
- office supplies
- supplies
- special materials
- printing
- printing, dues

#### IT

- IT
- IT system administration
- CPU services, licensing & fees
- computer services
- contracted (computer/phone)

### **IV-1.2 Advertising**

- advertising
- news media legal ads

### **IV-1.3 Lodging, Meals, Incidentals**

- lodging

lodging and meals  
meals  
hotels, meals, incidentals  
parking expense

#### **IV-1.4 Postage**

postage  
shipping

#### **IV-1.5 Registration/Training**

meeting expense  
meeting expense and conference registration  
meetings and registration  
registration fees  
registration/travel  
employee and board training  
training

#### **IV-1.6 Travel**

travel  
travel - other  
travel and training  
training and travel  
vehicles usage  
mileage and auto allowance  
mileage expense

### ***V. INDIRECT COSTS***

#### **V-1 INDIRECT COSTS APPROVED BY COGNIZAT AGENT FY 18-19**


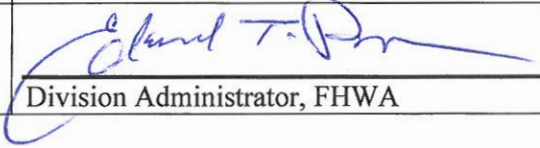
##### **V-1.1 Incurred Indirect Costs**

**(f) Policy and Procedures for Procurement**

**POLICIES AND PROCEDURES FOR PROCUREMENT AND  
ADMINISTRATION OF MAJOR  
PROFESSIONAL OR SPECIALIZED  
SERVICES CONTRACTS**

NORTH CAROLINA  
DEPARTMENT OF TRANSPORTATION



APPROVED	 <hr/> Director of Technical Services	Date 6/30/16
APPROVED	 <hr/> Division Administrator, FHWA	Date 6/30/2016
Adopted by North Carolina Board of Transportation: June 30, 2016		



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## 1. INTRODUCTION AND PURPOSE

These policies and procedures are established as a guide for the preparation, execution and administration of contracts for professional or specialized services that exceed \$50,000 and which are executed in connection with the planning, design, maintenance, repair, and construction of transportation infrastructure and are obtained by the North Carolina Department of Transportation (NCDOT ) in accordance with G.S. 136-28.1(f) and 23 CFR 172, as applicable. The implementation of this document will ensure that a qualified Firm is obtained through an equitable selection process and that the prescribed work is properly accomplished in a timely manner and at a reasonable cost.

These policies and procedures were developed in accordance with the following requirements:

- (1) General Statute Section 136-28.1 (f);
- (2) General Statute Sections 143-64.31, 143-64.32, and 143-64.33;
- (3) 23 Code of Federal Regulations Part 172 entitled “Procurement, Management, and Administration of Engineering and Design Related Services”;
- (4) General Statute Chapter 55B;
- (5) General Statute Chapter 89C;
- (6) 19A NCAC 02E.0700;
- (7) General Statute 147-64.7; and
- (8) 2 CFR 200 (except where inconsistent with 23 CFR 172).

The policies and procedures were specifically developed to provide detailed guidance for the implementation of Article 19A NCAC 02E.0700, Professional or Specialized Services, as found in the North Carolina Administrative Code. Additionally, NCDOT, as a direct recipient of Federal Aid Highway Funds, must comply will all applicable rules and regulations pertaining to the use of said funds. Therefore, NCDOT agrees to maintain written policies and procedures for the procurement, management, and administration of professional services and specialized services contracts, including those related to planning, environmental analyses, engineering and design. As such, the Federal Highway Administration (FHWA) shall approve the written policies and procedures, including all revisions, to assess compliance with applicable requirements. Unless a subgrantee uses this policy, NCDOT shall approve written policies and procedures, including all revisions to such policies and procedures, of a subgrantee to assess compliance with applicable requirements.

All NCDOT personnel involved with contracts for professional or specialized services shall comply with General Statute 133-32 (Gifts and Favors Regulated); the North Carolina Department of Transportation Personnel Manual, Section 8, entitled “Discipline, Appeals & Grievances”; and the most recent policy on Ethical Conduct as adopted by the Board of Transportation.

Due to the diversity of contract types, some portions of these policies and procedures may not be fully applicable to all situations. The Professional Services Management Unit (PSMU) shall be responsible for determining when deviations from these procedures are justified. The PSMU shall also be responsible for documenting, in writing, any deviation from these policies and procedures and obtaining FHWA approval if needed.

Subgrantees shall follow the policies and procedures when utilizing professional or specialized services, unless said subgrantee is using its own policies and procedures approved by NCDOT. When subgrantees administer Federal-aid funds (as with Bridge Replacement projects), the subgrantees shall obtain NCDOT approval, in writing, prior to contracting with a Firm.

## 2. DEFINITIONS

The following definitions are for the purpose of clarifying and describing words and terms used herein.

**Agreement/Contract** – A generic term for any number of document types referred to herein, i.e. Limited Services Contract, Limited Services Agreement, Project-Specific Contract, etc.

**Contract Amendment** – A formal agreement which modifies the terms of the original contract, or any subsequent supplemental agreement(s).

**Contract Initiator** – The individual(s) responsible for requesting approval from the Division or other Business Unit to solicit proposals for professional or specialized services. The Contract Initiator will be a Unit Head or equivalent level of management, or his/her designee.

**Cost Per Unit of Work** – A method of compensation based on an agreed cost per unit of work which may include labor, overhead, fee (profit margin) and other non-salary direct costs.

**Cost-plus-Overhead-plus-Profit (Cost-Plus)** – A method of compensation based on the actual allowable and documented cost for labor, overhead, cost of capital, and other non-salary direct costs incurred by the Firm performing the work plus fee. This contracting type replaces the previous “Cost plus Fixed Fee” contract type.

**Cost Proposal** – A detailed submittal specifying the number of workdays required and the compensation requested for the performance of the specific scope of services as defined by NCDOT.

**Disadvantaged Business Enterprise (DBE)** – A for-profit small business concern-- (1) That is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and (2) Whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals that own it.

As used in this document, the term Disadvantaged Business Enterprise (DBE) is as defined above for Federally-funded projects. The term DBE, as used in this document, takes on the meaning of Disadvantaged Minority-owned Business/Business Enterprise (MBE) and Disadvantaged Women-owned Business/Business Enterprise (WBE) for state-funded projects.

**Firm** – Also referred to as “Consultant”, “Subconsultant”, “Professional or Specialized Services Firm (PSSF)”, “Prime Firm”, “Contracting Firm”, or “SubFirm”. A private agency, corporation, organization, business or individual offering qualified professional or specialized services.

**Fee (Operating Margin, Profit Margin or Profit)** – A percentage applied to cost-plus-overhead that represents the operating margin (profit) for a Firm on any particular contract or task order. The establishment of a fee (profit margin) shall be project specific and shall take into account the size,

complexity, duration and degree of risk involved in the work. If a fee higher than the standard fee is utilized, it must be justified by the Firm and approved in writing by the Professional Services Management Unit, or its delegate. This must occur prior to the cost proposal submittal.

**Letter of Interest (LOI) (Proposal)** – An expression of interest by a Firm for performing specific services as advertised by NCDOT..

**Limited Services Contract (LSC) (or Agreement) (LSA)** – An “as-needed basis” contract established for a maximum dollar amount for professional or specialized services to be performed during a specified contract period, generally not to exceed an initial three year term, but may have time provisions to extend the contract to a lifespan of up to five years. As needed, during the contract period, a scope of services, schedule, and total compensation are negotiated with the Firm for the performance of an individual assignment (or task order) of professional or specialized service, as defined by the Agreement. The scope of services, schedule, and compensation for each individual assignment are documented in a Notice to Proceed. NCDOT may elect to utilize up to the maximum amount of the Agreement during the contract period or may elect not to negotiate with the Firm for any services during the contract period.

**Lump Sum** – A fixed price including labor, overhead, non-salary direct costs, and fee for the performance of specific services.

**Multiphase Contract** – A contract where the solicited services may be divided into phases, whereby the specific scope of work and associated costs may be negotiated and authorized by phase(s) as the project progresses.

**Non-Salary Direct Costs** – Charges, except for labor, which are customarily job or project related, including but not limited to, travel, document reproduction, subsistence, etc. Phones, computer usage, tablets (or other personal computing devices), Data Plans, and Wi-Fi costs are not allowed to be billed directly as these charges are recovered through Overhead.

**Overhead** – A Firm’s indirect costs, stated as a percentage of direct labor, including general administrative expenses plus employee fringe benefits. Fringe benefits may include employer’s portion of FICA, comprehensive health insurance, group life insurance, unemployment contributions to the state, vacation, sick leave, holidays, workers’ compensation and other such benefits.

**Professional or Specialized Services** – Services such as, but not limited to, project management, construction engineering and inspection, feasibility studies, planning and environmental (human and natural) surveys and studies, preliminary engineering, design engineering, design, redesign, engineering, surveying, mapping, geotechnical investigations, architectural related services, visualization, simulation studies, technical assistance and transportation services studies. Also, professional services of an architectural or engineering nature, as defined by North Carolina law, which are required to or may logically or justifiably be performed or approved by a person licensed, registered, or certified to provide the services with respect to a highway construction project.

**Professional Services Management Unit (PSMU)** – The unit responsible for the advertisement, selection, contract preparation, and execution of professional or specialized services contracts between the Department and Professional or Specialized Services Firms.

**Project Manager** – The individual responsible for oversight of the project work after the contract is executed.

**Project-Specific Contract** – A contract between NCDOT and consultant for the performance of services and defined scope of work related to a specific project or projects. The fully-executed Project-Specific Contract represents the full scope of services required by NCDOT.

**Purchase Order (PO)** – A “contract” that represents a Task Order or Work Order assignment given to a Firm, generally under a Limited Services Contract. Generally, a PO is a Notice to Proceed to perform services (related to project(s), scope(s) of services, period of time), to be completed for a NCDOT Business Unit or Division, and can be paid under any of the terms listed in the section “Payment Methods” of this document.

**Scope of Services** – All services, actions, and physical work required by NCDOT to achieve the purpose and objectives defined in the contract. Such services may include the furnishing of all required labor, equipment, supplies, and materials except as specifically stated.

**Small Professional Services Firm (SPSF)** – A Firm that meets size standards defined by the Small Business Administration regulations, 13 CFR Part 121 under the North American Industrial Classification System. The SPSF program is a race, ethnicity, and gender neutral program designed to increase the availability of consulting opportunities for small businesses on federal and state funded contracts.

**Specific Rate(s) of Compensation** – A method of compensation based on an agreed cost per hour of work including labor, overhead, and fee (profit margin). Non-salary direct costs are charged and reimbursed separately.

**Subgrantee** – A local government, public authority, profit or non-profit legal entity which receives Federal-Aid funds through NCDOT.

**Termination Clause** – A contract clause which allows NCDOT to terminate, at its discretion, the performance of work, in whole or in part, and to make final payment in accordance with the terms of the contract.

### 3. ROLES AND RESPONSIBILITIES

NCDOT shall sustain organizational capacity and provide the resources necessary for the procurement, management, and administration of professional and specialized services, reimbursed in whole or part with Federal Aid Highway Funds, as follows.

The Technical Services Director is responsible for:

- Obtaining the approval of the Secretary of Transportation on award of professional and specialized services contracts and approving contract executions, supplementals, and amendments;
- Approving emergency procurements;
- Approval of Sole Source contract requests; and
- Ensuring the organizational capacity and resources exist to manage and administer the procurement of engineering and design related consultant services.

The Professional Services Management Unit (PSMU) is responsible for:

- Preparing and maintaining written policies and procedures for the procurement, management, and administration of professional and specialized services, and ensuring its coordination and approval by the FHWA and adoption by the North Carolina Board of Transportation;
- Establishing a procedure for estimating the level of effort, schedule, and costs of needed consultant services and associated agency staffing and resources for management and oversight in support of project authorization requests submitted to FHWA for approval;
- Procuring engineering and design related consultant services in accordance with applicable federal and state laws, regulations, and approved policies and procedures;
- Soliciting Letters of Interest, qualifications, or proposals from prospective consultants;
- Preventing, identifying, and mitigating conflicts of interest for employees of both the contracting agency and consultants and promptly disclosing in writing any potential conflict to NCDOT and FHWA, as applicable;
- Verifying prequalification status of consultants submitting Letters of Interest or proposals (which further verifies suspension and debarment actions and eligibility of consultants as determined through the prequalification process);
- Determining, based upon this policy and the size and complexity of a project, the need for additional discussions or interviews following submission and evaluation of Letters of Interest or proposals;
- Negotiating contract modifications;
- Assessing administrative, contractual, or legal remedies in instances where consultants violate or breach contract terms and conditions, and providing for such sanctions and penalties as may be appropriate;
- Providing consultation, training and support, as needed, for Business Units/Divisions or other users to ensure consistent application of this document; and
- Resolving disputes in the procurement, management, and administration of engineering and design related consultant services.

The Business Unit / Division is responsible for:

- Ensuring that adequate staffing is available to serve in responsible charge of projects to monitor and administer consultant service contracts. The Business Unit (including Divisions, Branches, Units, and/or any other similar designations that may be used by NCDOT) is responsible for managing, and administering professional and specialized services in accordance with applicable federal and state laws, regulations, and approved policies and procedures, including but not limited to:
  - Preparing scopes of work;
  - Preparing the in-house estimate;
  - Establishing elements of contract costs, validating indirect cost rate(s) for application to contracts, and assuring consultant compliance with federal cost principles;
  - Ensuring consultant costs billed are allowable in accordance with federal cost principles and consistent with the contract terms including the acceptability and progress of the consultant's work;
  - Monitoring the consultant's work and compliance with the terms, conditions, and specifications of the contract;

- Evaluating and participating in decisions for contract modifications;
- Being familiar with the qualifications and responsibilities of the consultant's staff and evaluating any requested changes in key personnel;
- Ensuring the correct usage of proposed subconsultants per the selected Firm's Letter of Interest;
- Preparing a consultant's performance evaluation when services are completed and using and/or supplying such performance data to the PSMU for use in future evaluation and ranking of consultant(s) to provide similar services;
- Closing-out contracts or purchase orders;
- Retaining supporting programmatic and contract records;
- Determining the extent to which the consultant responsible for the professional quality, technical accuracy, and coordination of services may be reasonably liable for costs resulting from error and omission in the work furnished under its contract; and
- Initiating, implementing, and terminating POs under LSCs.

The Consultant Utility Rail and Turnpike Unit (CURT) of the Office of Inspector General is responsible for:

- Conducting audits (formal examinations) in accordance with professional standards of a consultant's accounting systems, incurred cost records, and other cost presentations to test the reasonableness, allowability, and allocability of costs in accordance with federal cost principles (as specified in 48 CFR part 31);
- Establishing or accepting indirect cost rates for consultants in accordance with federal cost principles and in accordance with 23 CFR 172.11;
- Reviewing procurement documents to ensure that established rates are being utilized; and
- Establishing consultant direct salary or wage rates based upon an objective assessment of the reasonableness of proposed rates.

The Consultant is responsible for:

- Accounting for costs appropriately and maintaining records. The records should, include supporting documentation that is adequate to demonstrate costs claimed have been incurred are allocable to the contract, and comply with federal cost principles;
- Ensuring the correct usage of proposed subconsultants per the selected Firm's Letter of Interest;
- Updating indirect cost rates on an annual basis in accordance with the consultant's annual accounting period and in compliance with federal cost principles;
- Certification of final indirect costs in accordance with 23 CFR 172(b)(3); and
- Ensuring that prequalification information is updated in accordance with the requirements prescribed by NCDOT's prequalification requirements.

The Office of Civil Rights is responsible for:

- Procuring, administering, and managing contracts for DBE Supportive Services and OJT Supportive Services, as necessary to meet approved program objectives;

- Adhering to these Policies and Procedures in the procurement process;
- Developing and implementing process steps to address issues that are apropos to the Office of Civil Rights;
- Ensuring that proposals are solicited from such qualified sources as will assure the competitive nature of the procurement with a conscientious effort to utilize the services of qualified disadvantaged or minorities or women's enterprises;
- Developing a process to ensure that consultants are qualified to perform the scope of services;
- Working with the CURT Unit to establish direct salary and wage rates for proposed consultants; and
- Assuming all other roles of the Professional Services Management Unit and the Business Unit/Division as outlined above.

#### **4. CERTIFICATION AND PREQUALIFICATION**

NCDOT is committed to ensuring that all North Carolina businesses have the opportunity to participate in professional and specialized services contracts. NCDOT shall ensure that Disadvantaged Business Enterprises (DBE) have opportunity to participate in the performance of contracts financed in whole or in part with federal funds; and Minority Business Enterprises (MBE) and Women Business Enterprises (WBE) have opportunity to participate in the performance of contracts financed with non-federal funds.

When DBE program participation goals cannot be met through race-neutral measures, additional DBE participation on engineering and design related service contracts may be achieved in accordance with NCDOT's FHWA approved DBE program by the use of an evaluation criterion in the qualifications-based selection of consultants or the establishment of a contract participation goal. However, the use of quotas or set-asides for DBE consultants is prohibited.

In an effort to ensure that participation goals are met through race-neutral measures, NCDOT strongly encourages the use of Small Professional Services Firms and gives consideration to consultants that commit to the use of SPSFs in the performance of contracts.

The List of Prequalified Private Consulting Firms (The Directory of Firms) is provided as an informational source for prime contractors, subcontractors, and consultants as well as local and federal agencies.

##### *Certification*

The Directory of Firms is a real-time consolidated list of Firms that have been certified through North Carolina's Unified Certification Program as Disadvantaged Business Enterprises (DBE), Airport Concession Disadvantaged Business Enterprises (ACDBE), Small Professional Services Firms (SPSF), Minority Business Enterprises (MBE), Women Business Enterprises (WBE), and/or Small Business Enterprises (SBE). Certification information is maintained by the Department.

##### *Prequalification*



NCDOT maintains a List of Prequalified Private Consulting Firms (The Directory of Firms) that have been approved to perform professional or specialized services. Firms must be prequalified to perform the specific discipline of work or service it will be performing on the project for NCDOT. Prequalification by NCDOT does not relieve the Firm of responsibility for determining if the subconsultants selected are, in fact, qualified to perform the work for which it is engaged.

A Firm may be considered for the List of Prequalified Private Consulting Firms by furnishing NCDOT with information describing the Firm's area(s) of expertise, experience, present activities, and financial qualifications. This may be accomplished by submitting a Private Consulting Firm Qualifications application, proof of registration with the North Carolina Secretary of State's Office, the North Carolina Board of Registration for Professional Engineers and Land Surveyors, if applicable, and any other additional information as requested. Applications must be completed online at <https://connect.ncdot.gov/business/consultants/Pages/default.aspx> . Once it is determined by review of aforementioned information that the Firm has the required expertise, resources, and staff to perform the services for NCDOT, the Firm will be added to the List of Prequalified Private Consulting Firms.

A Firm which is not on the List of Prequalified Private Consulting Firms must submit the required information prior to submitting its Letter of Interest for any advertised project.

In order for a Firm to remain on the List of Prequalified Private Consulting Firms, it will be required to renew its application and provide any other information as requested by NCDOT prior to the Firm's renewal date each year.

Firms that do not provide this updated information annually, as requested, will be removed from the List of Prequalified Private Consulting Firms.

## **5. PROCUREMENT METHODS**

The procurement of professional and specialized services funded by either State or Federal Aid Highway Program funds shall be conducted in accordance with one of four (4) methods:

a) Competitive negotiation (qualifications-based selection) procurement

The Department will use a competitive negotiation method for the procurement of engineering and design related services when either State or Federal Aid Highway Program funds are involved in the contract. The solicitation, evaluation, ranking, selection, and negotiation will comply with the qualification-based selection procurement procedure for architectural and engineering services as described/defined in those legal references given in Section 1. "INTRODUCTION AND PURPOSE".

b) Small Purchasing Threshold Procurement

NCDOT shall comply with the state's small purchase threshold for the procurement of engineering and design related services when either State or Federal Aid Highway Program funds are involved in a contract that does not exceed \$50,000. The following restrictions shall apply to the use of this procurement method:

- i. The scope of work, project phases, and contract requirements shall not be broken down into smaller components solely to permit the use of small purchase procedures.
- ii. A minimum of three Firms must be reviewed. In cases where only two qualified Firms respond to the solicitation, NCDOT may proceed with evaluation and selection as long as the solicitation did not contain conditions or requirements which arbitrarily limited competition. NCDOT may pursue procurement following the noncompetitive method when competition is determined to be inadequate and it is determined to not be feasible or practical to compete again under a new solicitation.
- iii. Negotiated contract costs must pass the allowability test for federal cost principles.
- iv. The full amount of any contract modification or amendment that would cause the total contract amount to exceed \$50,000 is ineligible for Federal-aid funding. The FHWA may withdraw all Federal-aid from a contract if it is modified or amended above the established small purchase threshold.

c) Non-competitive procurement – EMERGENCY CONDITIONS

When an emergency occurs, these procedures, or portions thereof, may be waived by the Secretary of Transportation or his/her designee pursuant to G.S. 136-28.1(e). In an emergency, a professional/specialized Firm may be selected, negotiations conducted, and a contract executed at the direction of the Director of Technical Services or designee as necessary to address the emergency conditions.

When Federal-Aid Highway funds are used in the contract, the Director of Technical Services or designee shall submit justification for emergency selection and receive approval from FHWA before proceeding with the procurement of services, if required by FHWA.

d) Non-competitive procurement – SOLE SOURCE

These procedures, or portions thereof, may be waived by the Technical Services Administrator, or his/her designee, for the sole source selection of a Firm under any of the following conditions:

- a. Sole source selection may be used when the service is available only from a single source;
- b. Sole source selection may be used after solicitation of a number of sources, competition is determined to be inadequate; or
- c. Sole source selection may be used when it has been determined that there is an emergency which does not permit time to conduct contract negotiations.

Sole source selection may only be used when it is in the public interest and economically advantageous to NCDOT. Selection of a sole source Firm will be contingent upon satisfactory negotiation for the service.

When Federal-Aid Highway funds are involved, the PSMU/Business Unit/Division shall submit justification for sole source selection and receive approval from FHWA prior to proceeding, if required by FHWA.

## 6. PROCUREMENT PROCESS

Generally, all competitive procurements for professional or specialized services will follow prescribed steps to ensure consistency, transparency and equity in the process. Following are the high-level steps that are used to solicit and award contracts (i.e. Limited Services Agreements, Project-Specific Contracts, and Multiphase Contracts) to qualified Firms:

- A. Solicit Letters of Interest (LOI)
- B. Assemble the Selection Committee
- C. Select the Firm(s)
- D. Negotiate the Contract
- E. Execute the Contract

(Note: Sections A, B, C do not necessarily apply to POs under LSCs.)

### A. Solicit Letters of Interest (LOI)

The Contract Initiator is responsible for determining when professional or specialized services are needed. If the Business Unit Head or Division Engineer agrees with the Contract Initiator that justification exists, he/she will approve the use of a professional or specialized services Firm. Upon determining need, the Contract Initiator shall request approval from the PSMU to solicit Letters of Interest (LOI). The request shall be in writing and shall include the type of services and specific justification for the services to be performed by a professional or specialized services Firm, such as (1) lack of manpower, (2) lack of expertise, or (3) other reasons. A copy of the request shall be maintained by the Contract Initiator's Business Unit Head or Division Engineer, or his/her designee.

The PSMU, or its representative, shall be responsible for preparing the request for LOI. The request shall contain information describing the location of the project(s) (if applicable); the types and scopes of services that reflect a clear, accurate, and detailed description of the technical requirements for the services to be rendered; shall specify length of contract and the method(s) of payment, the estimated procurement schedule, and shall indicate the evaluation criteria to be used in the selection process, along with the respective weights and each evaluation factor.

Letters of Interest will be solicited to determine the Firms interested and capable of performing professional or specialized services within the desired time period. Solicitation shall be by published advertisement in the North Carolina Purchase Directory. This is maintained by the Department of Administration (<http://ncadmin.nc.gov/businesses/vendors-state-contracts>) and the Connect NCDOT website (<https://connect.ncdot.gov/letting/Pages/Private-Engineering-Firm-Advertisements-.aspx>).

Solicitation for interest may also be by direct contact to selected Firms from the List of Prequalified Private Consulting Firms found in the Directory of Transportation Firms. When NCDOT elects to send the request for LOI via direct mail, the request will be mailed the day before the scheduled advertisement.

The LOI shall be submitted to the PSMU by the date designated in the advertisement, usually two (2) weeks following the date of the advertisement. Deviation from prescribed terms in the advertisement may result in an automatic disqualification of the Firm for the advertised work, unless such instance is waived by the PSMU.

A copy of the advertisement and LOI submitted by the selected Firm and the first and second alternate shall be maintained by the PSMU.

B. Assemble the Selection Committee

The Selection Committee will consist of a Chairperson and at least two (2) other members with experience in the type of service(s) to be contracted. The Chairperson will be the Professional Services Unit Manager or his/her designee. The other members may be Business Unit representatives, Division representatives, or other stakeholder representatives. All will be appointed on a case-by-case basis. When federal funds are used as compensation for solicited services, a representative of the FHWA will be invited to sit with the committee. A representative of the CURT Unit of the Office of Inspector General and the OCR/Business Development Specialist will be notified and invited to sit with the Selection Committee. No employee of the contracting agency shall participate in the selection, award, or administration of a contract if a conflict of interest, real or apparent, could be involved. Based on the input from the Selection Committee, the Chairperson will be responsible for the final decision on the approval of a professional or specialized services Firm.

The Selection Committee shall evaluate consultant proposals based on the criteria established and published within the public solicitation. While the contract is with the consultant, proposal evaluations shall consider the qualifications of the consultant and identified subconsultants within the proposal as it pertains to the scope of work and established criteria.

C. Select the Firm(s)

Evaluation of the interest expressed by qualified Firms is based on the evaluation factors and respective weights specifically stated in the solicitation, and any other data pertinent to the contract under consideration. This may include past performance, applicable work experience, present workload, project team, staffing capabilities, capacity, etc.

Criteria used for evaluating, ranking, and selecting consultants to perform professional and specialized services must assess proven, demonstrated competence and qualification for the type of professional services solicited.

Qualifications-based factors may include, but are not limited to, technical approach (e.g., project understanding, innovative concepts or alternatives, quality control procedures), work experience, specialized expertise, professional licensure, staff capability, workload capacity, and past performance.

- Price shall not be used as a factor in the evaluation, ranking, and selection phase. All price or cost related items which include, but are not limited to, cost proposals, direct salaries/wage rates, indirect cost rates, and other direct costs are prohibited from use in evaluation criteria.
- In-State or local *preference* shall not be used as a factor in the evaluation, ranking, and selection phase.

The following non-qualifications based evaluation criteria are permitted as follows and provided the combined total of these criteria do not exceed a nominal value of 10 percent of the total evaluation criteria to maintain the integrity of a qualifications-based selection:

- A local *presence* may be used as a nominal evaluation factor where appropriate. This criteria shall not be based on political or jurisdictional boundaries and may be applied on a project-

by-project basis for contracts where a need has been established for a consultant to provide a local presence, a local presence will add value to the quality and efficiency of the project, and application of this criteria leaves an appropriate number of qualified consultants, given the nature and size of the project. If a consultant from outside of the locality area indicates as part of a proposal that it will satisfy the criteria in some manner, such as establishing a local project office, that commitment shall be considered to have satisfied the local presence criteria.

- The participation of qualified and certified Disadvantaged Business Enterprise (DBE) subconsultants may be used as a nominal evaluation criterion where appropriate in accordance with 49 CFR Part 26 and the Department's FHWA-approved DBE program.
- NCDOT has an overall DBE goal which is established once every three years for federally-funded projects. NCDOT also has overall MBE and WBE goals which are also established once every three years for state funded projects. Project goals may be set on professional services projects to help meet overall goals. The Firm, subconsultant, and subfirm shall not discriminate on the basis of race, religion, color, creed, national origin, age, disability/handicap or sex in the performance of a contract.

The Selection Committee shall review and evaluate all responsive LOI submittals. For Limited Services Contracts, the NCDOT Selection Committee may, at the agency's discretion, choose any number of Firms to provide the services solicited. For Project-Specific Contracts, or Multiphase Contracts, the Selection Committee may, at NCDOT's discretion, shortlist a minimum of three (3) Firms to be interviewed from those deemed most qualified (except where fewer than three (3) are available). These Firms shall be listed in descending order of preference based on the Selection Committee's review and analysis of the Letters of Interest. The Committee may elect to interview all or some of these Firms prior to establishing the order of preference.

After reviewing qualifications, if Firms are equal on the evaluation review, the qualified Firms with proposed SPSF (Small Professional Services Firm) participation will be given priority consideration in the procurement of professional and specialized service contracts.

When several projects are under consideration simultaneously, a Firm shall be selected for each project and two (2) alternates may be selected for the entire group at the discretion of the Selection Committee.

When selecting Firms for Limited Services Agreements, alternates need not be selected.

The PSMU shall notify the Firm(s) chosen by the Selection Committee and request salary rates, overheads, etc., and request a meeting to review the scope of services.

A copy of the evaluation of the Firms and the results of the Selection Committee meeting shall be maintained by the Professional Services Management Unit.

#### D. Negotiate the Contract

This section is tailored to negotiating a Limited Services, Project-Specific or Multiphase Contract. The process is similar for negotiation of Purchase Orders assigned under Limited Services Contracts. PSMU's duties regarding its functions for negotiation/execution of POs under LSCs have been divested to the Business Units/Divisions if they so choose to perform those duties.

A meeting with the selected Firm shall be scheduled to discuss the scope of the proposed services. The discussions will vary depending upon the Firm's familiarity with NCDOT methods, policies, standards, etc. For Firms unfamiliar with NCDOT requirements, the meeting should include review and discussion of the following:

- (a) Copies of examples of similar work;
- (b) Standards, specifications, manuals, etc. to be used;
- (c) Policies followed by NCDOT for the type of work involved;
- (d) A contract in draft form;
- (e) Methods of payment;
- (f) Procedures for invoicing;
- (g) Standard forms to be used;
- (h) Fiscal requirements;
- (i) Consultant Utility Rail and Turnpike Unit requirements, and
- (j) Items and/or services to be provided by NCDOT.

A representative of the Firm shall keep minutes of the scoping meeting and will submit a copy to the PSMU/Business Unit/Division. The minutes shall be reviewed for completeness, accuracy, and confirmation of mutual understanding of the scope of services. The minutes shall be approved by signature of the PSMU/Business Unit/Division and an approved copy will be returned to the Firm.

Once the details of the scope of services are resolved, the PSMU/Business Unit/Division, or its representative, shall prepare a cost estimate for the work.

The in-house estimate will be used in evaluating reasonableness of the selected Firm's cost proposal. The in-house estimate must use reasonable wage rates based on the classification, experience, and responsibilities for the proposed work. If wage rate benchmarks have not been established, then NCDOT will use the Consultant's actual rates for the estimate.

The in-house estimate must be completed prior to opening the cost proposal submitted from the selected Firm.

The format used for preparing the in-house estimate will vary from project to project, and work area to work area, depending on the type and scope of services required. Typically, the format will include an estimate of the workdays required by classification, the direct labor cost, the overhead cost, the fee (profit, or operating margin) and the necessary direct expenses.

The Firm will prepare a cost proposal for performing the required services. The Firm's cost proposal shall be supported by a breakdown of the workdays required to perform each of the services contained in the contract and the salary range/rate for each classification of personnel utilized. The Firm's cost proposal must include supporting documentation for payroll additives, direct costs, indirect costs, fee, and overhead, as described.

Upon receipt of the Firm's cost proposal, the PSMU/Business Unit/Division, or its designee, shall review the submitted material, compare the in-house estimate with the cost proposal, and determine

both the reasonableness of the proposal and the areas of substantial difference which may require further discussion and negotiation.

The application of negotiation parameters (i.e., in-house and consultant mandays within prescribed tolerances) with PSMU / Business Unit / Division approval and/or in-house and consultant cost within prescribed tolerances with PSMU / Business Unit / Division approval, are used to determine if further negotiation is necessary. These parameters are not designed to limit the value of the contract, but rather serve as a checkpoint to ensure the scope of services is mutually understood.

A pre-negotiation audit shall be prepared by the CURT Unit to provide necessary data to affirm the Firm has an acceptable accounting system, adequate and proper justification for the various rates charged to perform the work, and is aware of NCDOT's cost eligibility and documentation requirements. A pre-negotiation audit and the resultant audit report are required for all contracts, (i.e. Limited Services Agreements, Project-Specific Contracts, and Multiphase Contracts), expected to exceed \$250,000 (\$50,000 if the procurement is by a subgrantee). This requirement does not apply to Purchase Orders issued under Limited Services Contracts. For contracts less than \$250,000, a pre-negotiation audit may be required when there is either insufficient knowledge of the Firm's accounting system, previous unfavorable experience regarding the reliability of the Firm's accounting system, procurement of new equipment or supplies for which cost experience is lacking, or as required by the PSMU/Business Unit/Division. Subgrantees that do not have resources or expertise for performing a pre-negotiation audit may contact the CURT Unit for assistance.

The use of an independent audit, an audit performed by another State/Federal agency, or an audit performed by another local government agency is acceptable.

Pre-negotiation audits may be waived when sufficient data is available to permit reasonable comparisons with the cost proposal.

A Firm's cost proposal will not be considered acceptable until the pre-negotiation audit has been performed, if required, by the CURT Unit. When the pre-negotiation audit has been completed, negotiations with the consultant may begin. The negotiations shall satisfactorily conclude all points of difference and shall address and resolve any comments submitted by the CURT Unit.

The Business Unit/Division shall use all resources available to conduct effective negotiations including, but not limited to, the refined scope of services, the evaluation factors and its relative importance, the in-house cost estimate, and the pre-negotiation audit and audit report.

Negotiations shall be conducted separately for mandays and for any of the dollar amounts for elements of cost, fee, and overhead except for contracts involving cost per unit of work and specific rates of compensation.

When a joint venture of Firms desire to enter into a contract with NCDOT, the joint venture will designate a representative to act as the sole authority for the purpose of negotiation.

If the Firm's original cost proposal (excluding indirect cost rate) is greater than 50% above the comparable in-house estimate and it is determined the Firm understands the scope of work, the PSMU/Business Unit/Division may choose to not enter into negotiation with the selected Firm. The selected Firm will be provided written notice of this intent, after the Technical Services Director's or designee's approval. The PSMU/Business Unit/Division will begin scoping and negotiation with the Firm chosen as first alternate.

The PSMU/Business Unit/Division shall maintain records of negotiations to document negotiation activities and to set forth the resources considered. This record shall include the minutes of the scoping meeting, a record of the original in-house estimate and any revisions, the final in-house estimate, a record of the Firm's original cost proposal and each subsequent submittal, the final cost proposal, the request for a pre-negotiation audit, the audit report, and the response to the pre-negotiation audit.

#### E. Execute the Contract

Upon completion of final negotiations, the Firm shall execute the contract through NCDOT-approved means.

After award by the Secretary of Transportation and approval by the Technical Services Director or designee, the PSMU will execute the contract. The PSMU will transmit a fully-executed contract to the Firm with a written notice to proceed and shall retain one original contract in the project file.

#### F. Contract Provisions

The PSMU will provide the official template for contracts to ensure that all contracts and subcontracts include the following provisions, either by reference or by physical incorporation into the language of each contract or subcontract, as applicable:

- a) As applicable, when the method of payment is other than a lump sum, the contract shall specify a maximum amount payable which shall not be exceeded unless adjusted by a contract modification;
- b) Administrative, contractual, or legal remedies in instances where consultants violate or breach contract terms and conditions, and provide for such sanctions and penalties as may be appropriate;
- c) Notice of NCDOT's requirements and regulations pertaining to reporting;
- d) NCDOT requirements and regulations pertaining to copyrights and rights in data;
- e) Access by the NCDOT the North Carolina State Auditor and the Auditor's authorized representatives, the subgrantee, FHWA, the U.S. Department of Transportation's Inspector General, the Comptroller General of the United States, or any of its duly authorized representatives to any books, documents, papers, and records of the Consultant which are directly pertinent to that specific contract for the purpose of making audit, examination, excerpts, and transcriptions;
- f) Retention of all required records for not less than 3 years after NCDOT makes final payment and all other pending matters are closed;
- g) Standard DOT Title VI Assurances (DOT Order 1050.2);
- h) Disadvantaged Business Enterprise (DBE) assurance, as specified in 49 CFR 26.13(b);
- i) Prompt pay requirements, as specified in 49 CFR 26.29 and in accordance with NCDOT's FHWA approved DBE Program Plan;
- j) Determination of allowable costs in accordance with federal cost principles;
- k) NCDOT requirements pertaining to Consultant errors and omissions;
- l) NCDOT requirements pertaining to conflicts of interest, as specified in 23 CFR 1.33 and the requirements of 23 CFR 172;



- m) A provision for termination for cause by NCDOT including the manner by which it will be effected and the basis for settlement. Termination of a contract may become necessary for various reasons. Some of these reasons could include unavailability of federal and/or state funding, major delays in completing the necessary environmental documentation, removal or adjustment of the project from NCDOT's Transportation Improvement Program, change in the Firm's project team, and poor or unacceptable performance of the Firm;
- n) All contracts and subcontracts exceeding \$100,000 shall contain, either by reference or by physical incorporation into the language of each contract, a provision for lobbying certification and disclosure, as specified in 49 CFR Part 20; and
- o) Certification of Eligibility under the Iran Divestment Act (pursuant to G.S. 147-55 et seq., 147-86.58 and 147-86.59).

#### G. Subcontracting

A Firm must gain approval from the PSMU for any change in Subconsultant Firm or subconsultant utilization prior to that change. PSMU will notify the Business Unit/Division of all approved changes. This may include a Firm choosing to self-perform a particular scope of work, or not utilizing a proposed subconsultant, as indicated in the Letter of Interest.

The responsibility for procuring a subconsultant and assuring the acceptable performance of the work lies with the contracting Firm. It shall be the responsibility of NCDOT to schedule any meeting or make requests for substantive contact with a subconsultant through the contracting Firm. The contracting Firm should be a part of any such meeting or contact. The contracting Firm will be informed of any instruction, directive, or review of the subconsultant(s) work made by NCDOT. Also, the contracting Firm will be responsible for submitting the proper supporting data to the PSMU for all work that is proposed to be subcontracted.

## 7. **CONTRACT ADMINISTRATION**

### A. Types of Contracts

#### (1) Limited Services Contract (LSC) or Limited Services Agreement (LSA)

A Limited Services Contract is a contract for the performance of services for any number of projects, under task or work orders issued on an as-needed basis, for an established contract period. The procurement of a LSC shall follow the competitive negotiation process. This type of contract is suitable where a specialized service is needed on a substantial number of projects over a specified period of time, the character of the specialized service can be reasonably defined and understood by NCDOT and the contracting Firm, but the number of individual projects makes the selection of Firms and the negotiation and execution of contracts for the service(s) on each individual project time prohibitive.

Limited Services Contract will generally be negotiated as described in the Negotiation of Contract section. The negotiations will primarily deal with allowable costs for the personnel to be utilized with supporting documentation for payroll additives, direct costs, indirect costs, fee, and overhead.

The LSC is an “as-needed basis” contract established for a maximum dollar amount for professional or specialized services to be performed during a specified contract period, generally not to exceed five (5) years (which includes the initial period plus all possible contract extensions). As needed during the contract period, a scope of services, a schedule and total compensation are negotiated with the Firm for the performance of an individual assignment of professional or specialized services, as defined by the Agreement. The scope of services, schedule, and compensation for each individual assignment are documented in a Notice to Proceed. NCDOT may elect to utilize the maximum amount of the Agreement during the contract period, or may elect not to negotiate with the Firm for any services during the contract period.

Negotiations under Limited Services Agreements shall also be conducted for each individual assignment at the time the Business Unit/Division determines that the use of the professional or specialized services of the contracting Firm is needed.

Project assignments may be awarded to Firms holding Limited Services Contracts after considering a Firm’s outstanding workload with NCDOT, recent project assignments, or through examination of the qualifications of the Firms relative to the nature of the task order work to be negotiated.

The PSMU/Business Unit/Division will notify the Firm and schedule a meeting to discuss the scope of proposed services for the individual assignment. A representative of the Firm shall keep minutes of the meeting, which shall be submitted to the PSMU/Business Unit/Division for approval by signature. A copy of the approved minutes will be returned to the Firm.

The PSMU/Business Unit/Division shall prepare an in-house estimate of the cost to perform the scope of services. The estimate will be used in evaluating the reasonableness of the Firm’s cost proposal. The in-house estimate must be completed prior to receiving the cost proposal from the Firm.

The Firm will prepare a cost proposal for performing the required services. Upon receipt of the Firm’s cost proposal, the Business Unit/Division, or its designee, shall review the submitted material, compare the in-house estimate with the cost proposal, and determine both the reasonableness of the proposal and the areas of substantial difference. Any negotiation needed shall satisfactorily conclude all points of difference. At the consensus point and conclusion of the process, the Firm will be issued a written notice to proceed.

If negotiations cannot be successfully concluded then they will be terminated. The Firm will be notified in writing and another Firm under a Limited Services Agreement will be contacted.

The Business Unit/Division will maintain records of the negotiations for three (3) years after completion of the contract. For design contracts, the records shall be kept for three (3) years after completion of the contract or until the project is completed, whichever occurs last.

## (2) Project-Specific Contract

A Project-Specific Contract is between NCDOT and a Consultant for the performance of services and defined scope of work related to a specific project or projects. The fully-executed Project-Specific Contract represents the full scope of services required by NCDOT.

The procedural steps necessary to execute a Project-Specific Contract are the same as the LSC, i.e., the Request for Letters of Interest is approved by the Business Unit's/Division's approval authority; the advertisement is prepared and advertised; the Selection Committee is convened; the Consultant is selected; negotiations commence; the contract is executed; and the Notice to Proceed is given. See the Section on "Limited Services Agreements" for detailed procedures.

All interactions with the CURT Unit (i.e. auditing) and the Contractual Services Unit (i.e. prequalification) must occur. All records shall be kept for three (3) years after completion of the contract or until the project is completed, whichever occurs last.

## (3) Multiphase Contract

A Multiphase Contract is a contract where the solicited services may be divided into phases, whereby the specific scope of work and associated costs may be negotiated and authorized by phase(s) as the project progresses.

The procedural steps necessary to execute a Multiphase Contract are the same as the LSC, i.e., the Request for Letters of Interest is approved by the Business Unit's/Division's approval authority; the advertisement is prepared and advertised; the Selection Committee is convened; the Consultant is selected; negotiations commence *for the phase(s) that will be executed*; the contract is executed; and the Notice to Proceed is given *for the phase(s) that were negotiated*. See the Section on "Limited Services Agreements" for detailed procedures.

## B. Payment Methods

Each contract type will have at least one payment method for the scope of work, including Lump Sum, Cost-plus-Overhead-plus-Profit (Cost-Plus), Cost per Unit of Work, or Specific Rate(s) of Compensation. A single contract may contain different payment methods as appropriate for compensation of different elements of work.

1. Lump Sum – This type of contract is suitable when the amount and character of required services can be reasonably defined and clearly understood by both NCDOT and the contracting Firm. This can be a single lump sum fee negotiated initially or a lump sum contract consisting of task orders as the scope evolves by task assignments.
2. Cost-plus-Overhead-plus-Profit (Cost-Plus) – This type of contract is suitable where the general magnitude of services is known but the scope of services or period of performance cannot be defined clearly and NCDOT needs more flexibility in expediting the work without excessive amendments to the contract.
3. Cost per Unit of Work – This type of contract is suitable where the magnitude of services is uncertain but the character of services is known and the cost per unit can be determined accurately.

4. Specific Rate(s) of Compensation – This type of contract is suitable where the magnitude of services is uncertain but the character of services is known and a cost per hour can be determined.

#### C. Contract Amendments

A Contract Amendment is a formal agreement which modifies the terms of the original contract, or any subsequent supplemental agreement(s). Contract amendments are required for any modification in the terms of the original contract that change the cost of the contract; significantly change the character, scope, complexity, or duration of the services; or significantly change the conditions under which the services are required to be performed. Each contract shall contain procedures for contract modification(s) and will define what changes are permitted by mutual agreement of the parties involved and the changes that can only be made by means of a contract amendment.

The contract amendment shall clearly outline the changes made and determine a method of compensation. Overruns in the cost of work shall not warrant an increase in the fee (profit) portion of a cost-plus-overhead-plus-profit contract. Significant changes to the scope of services may require adjustment of the fee (profit) portion of a cost-plus-overhead-plus-profit contract or in the fee (profit) portion of a lump sum contract.

The PSMU/Business Unit/Division may, without a contract amendment, authorize changes involving details of clarifications, changes in time schedules, and other changes of a minor nature which do not cause a significant change in the scope of services or a change in the amount of compensation.

No work is to be performed by the contracted Firm on additional or disputed items of work until the contract amendment is executed and/or the dispute is resolved.

Contract amendments shall be processed using the same procedures as described for original contracts described earlier in this document. NCDOT may add to a contract only the type of services and work included within the scope of services of the original solicitation from which a qualifications-based selection was made. For any additional professional and specialized services outside of the scope of work established in the original request for Letters of Interest, NCDOT will:

- Procure the services under a new solicitation;
- Perform the work itself using staff; or
- Use a different, existing contract under which the services would be within the scope of work.

Though not required to formally approve contract amendments, FHWA may be provided a copy of the executed agreement when National Highway System funds are involved. Any controversial contractual or administrative issues should be coordinated with FHWA prior to settlement.

#### D. Monitoring and Evaluation of Work

The Project Manager's responsibilities shall include ensuring that the work being pursued is complete, accurate, and consistent with the terms of the contract; scheduling and attending progress meetings with the Firm where necessary; being involved in decisions leading to contract

modifications; being familiar with the qualifications and responsibilities of the Firm's staff; visiting the project and/or Firm's offices on a frequency that is commensurate with the magnitude, complexity and type of work; and assuring that costs billed are consistent with the acceptability and progress of the Firm's work.

The Project Manager shall prepare written interim and/or final performance evaluation reports for all contracts except those awarded contracts of \$50,000 or less. The report should include, but not be limited to, an evaluation of such items as the quality of work, timely completion of the work, and conformance with established policy.

Copies of the interim and/or final performance evaluations shall be sent to the Firm for its review and/or comments immediately following the appropriate milestone or completion of the contract. The PSMU shall receive copies of all interim and/or final evaluations. Any written comments by the Firm shall be attached to the final evaluation report submitted to the Project Manager.

E. Invoice Procedures and Retainage

Invoices may be created for partial payment or final payment against a purchase order line item. Consultants submit invoices for payment in increments that may be based on the completion of tasks, milestones or a specific time span, as may be required in the contract. The Firm will be required to provide a written progress report with its invoice for each calendar month or other contract period as designated in the contract during which work is in progress. The progress report shall describe the work performed during the period covered by the invoice. The prime Firm will also report subconsultant payments with each invoice using form DBE-IS.

The Business Unit/Division will process and recommend all invoices for payment. Upon recommendation from the Business Unit/Division, the CURT Unit and NCDOT's Fiscal section will approve the invoice for payment.

NCDOT has the right to retain a percentage of the contract fee for all partial payments earned until all work in the contract is completed. However, at the discretion of the Division Engineer/Branch Manager or his/her designee, the retainage may be eliminated, reduced or released on any work that has been completed and accepted by the state prior to final audit.

F. Final Payment

When it is determined that the work is complete, the final invoice shall be reviewed by the Project Manager and the Division Engineer/Branch Manager, or designee. Final invoice refers to the last invoice from the Consultant when all services for the purchase order have been completed. The final invoice requires additional considerations before processing, as any withholdings (which may include retainage) must be released or transferred before executing the final invoice for a purchase order.

When a Consultant satisfactorily completes the service, the retainage is released to the Consultant. However, if the service did not meet the specifications on the agreement, withholdings are not paid to the Consultant. Instead the amounts are transferred from the temporary withholding account to either a permanent account or back to the purchase order, thus reducing the total cost of the agreement.

When it is determined that the work is complete, the final invoice shall be reviewed by the Division Engineer/Branch Manager or his/her designee and forwarded to the CURT Unit of the OIG for approval. When a contract is terminated by NCDOT, the final payment shall be for that portion of work satisfactorily performed in accordance with the contract.

When the Business Unit processes the final invoice, it must set the final invoice indicator to prevent further processing, cancel open commitments, and validate that withholdings have been resolved.

## **8. SPECIAL CIRCUMSTANCES**

### General Engineering Services Consultant (GESC)

NCDOT may choose to retain one or more Firms to provide professional and specialized services under a General Engineering Services Consultant (GESC) Contract (or Management Consultant Contract). The GESC may provide services that include, but are not limited to, providing oversight of an element of a highway program, function, or service on behalf of NCDOT or may involve managing or providing oversight of a project, series of projects, or the work of other consultants on behalf of NCDOT. These Firms may support NCDOT's programs and projects across all modes and programs. The GESC contract may be executed as a Limited Services Agreement, Project-Specific Contract, or Multiphase Contract; NCDOT's need dictates the type of contract used.

In a non-authoritative GESC relationship with NCDOT, the GESC will be responsible for supporting the development and/or furtherance of one or more projects. GESC usage in a management support role does not relieve NCDOT of responsibilities associated with the use of Federal Aid Highway Funds, and will be generally limited to large projects or circumstances where unusual cost or time constraints exist, unique technical or managerial expertise is required, and/or an increase in NCDOT staff is not a viable option.

The GESC does not have the authority to determine scope, manage the selection of other consultants (except the subconsultants on its own GESC team), or other tasks that are the responsibility of NCDOT or other contracted consultant teams. The GESC may serve in a support and advisory role to the Business Unit or Division.

Firms who are selected to be a GESC may be assigned to work on one or more projects, as well as specific program functions. Project-specific duties may differ from project to project.

The solicitation and contract will include applicable restrictions to ensure no conflict of interest, equity, etc.

When Federal Aid funds participate in a GESC the following guidelines shall be used in the procurement of the GESC:

- NCDOT will ensure that adequate staffing is provided to administer and monitor any GESC that includes a management support role;
- NCDOT will ensure that when more than one Federal-aid project utilizes the GESC, the costs for services will be distributed consistent with the agency's cost principles; and

- NCDOT shall seek and receive approval from FHWA before utilizing a Firm to act in a management support role for the agency.

## **(g) Amendment Letter Template**



# Planning Work Program Amendment Template

DATE

Transportation Planning Branch  
North Carolina Department of Transportation  
1554 Mail Service Center  
Raleigh, NC 27699-1554

Subject: Planning Work Plan Amendment, FY **XX-XX**  
**XXX** Planning Organization

Dear Coordinator **NAME**:

The **XXX** Rural Planning Organization (**XXX** RPO) is seeking Transportation Planning Branch approval for the amended FY **XX-XX** Planning Work Program. This amendment was deemed necessary by RPO staff, who reviewed the current fiscal year planning work program and budget and identified shifts of money that are necessary to reflect actual work demands through the first eight months of the fiscal year. The changes were recommended by the Technical Coordinating Committee on **DATE** and endorsed by the Technical Advisory Committee on **DATE**. There is no change to the RPO's overall budget and no money is requested of RPO members.

The recommended changes are as follows:

## I-1 – Data Collection and Assessment

**I-1.7 - Public Transportation Service Data and Assessment:** There are no changes to the specified deliverables, but the amount of money allocated for **Data Collection and Assessment** is **reduced** by **\$X, XXX** due to a lack of transit work related to **XXX** CTP development.

Total for **I-1 (Data Collection and Assessment)** – **reduced** by **\$X,XXX**.

## II-4 – General Transportation Planning

**II-4.1.a - Regional or Statewide Planning:** There is no change in the deliverables for this line item, but funding is **increased** for General Transportation Planning by **\$X, XXX** to reflect work related to developing a new small-project ranking process for the RPO, as well as participating in subcommittees for the NCARPO.

Total for **II-4 (General Transportation Planning)** – **increased** by **\$X,XXX**.

Sincerely,

**Name, XXX** TAC Chair

**Name, XXX** RPO Coordinator

**FY 20XX-20XX**  
**PLANNING WORK PROGRAM**  
**AMENDMENT TABLE**  
**XXX Rural Planning Organization**  
**(TEMPLATE)**

1st Quarter Amendment Table		
Date: Day/Month/20XX		
Original Budgeted Amount	Net Change	New 1st Quarter Budgeted Amount
<b>I. DATA COLLECTION AND ASSESSMENT</b>		
\$ 12,500	\$ -	\$ 12,500
<p>MONEY WAS TRANSFERRED FROM SUBCATEGORY X AND APPLIED TO SUBCATEGORY Y BECAUSE: ADD/DELETED LINE ITEM OR MORE MONEY NEEDED / LINE ITEM.</p> <p>CHANGES TO FUNDING FOR SUB-CATEGORIES EXCEEDING \$2,500 WILL REQUIRE AN AMENDMENT. PROVIDE EXPLANATION FOR \$ TRANSFERRED.</p>		
<b>II. TRANSPORTATION PLANNING</b>		
\$ 32,500	\$ (2,000)	\$ 30,500
<p>MONEY WAS TRANSFERRED FROM SUBCATEGORY X AND APPLIED TO SUBCATEGORY Y BECAUSE: ADD/DELETED LINE ITEM OR MORE MONEY NEEDED / LINE ITEM.</p> <p>CHANGES TO FUNDING FOR SUB-CATEGORIES EXCEEDING \$2,500 WILL REQUIRE AN AMENDMENT. PROVIDE EXPLANATION FOR \$ TRANSFERRED.</p>		
\$ 11,000	\$ -	\$ 11,000
<p>MONEY WAS TRANSFERRED FROM SUBCATEGORY X AND APPLIED TO SUBCATEGORY Y BECAUSE: ADD/DELETED LINE ITEM OR MORE MONEY NEEDED / LINE ITEM.</p> <p>CHANGES TO FUNDING FOR SUB-CATEGORIES EXCEEDING \$2,500 WILL REQUIRE AN AMENDMENT. PROVIDE EXPLANATION FOR \$ TRANSFERRED.</p>		
\$ 8,000	\$ (1,500)	\$ 6,500
<p>MONEY WAS TRANSFERRED FROM SUBCATEGORY X AND APPLIED TO SUBCATEGORY Y BECAUSE: ADD/DELETED LINE ITEM OR MORE MONEY NEEDED / LINE ITEM.</p> <p>CHANGES TO FUNDING FOR SUB-CATEGORIES EXCEEDING \$2,500 WILL REQUIRE AN AMENDMENT. PROVIDE EXPLANATION FOR \$ TRANSFERRED.</p>		
\$ 23,200	\$ -	\$ 23,200
<p>MONEY WAS TRANSFERRED FROM SUBCATEGORY X AND APPLIED TO SUBCATEGORY Y BECAUSE: ADD/DELETED LINE ITEM OR MORE MONEY NEEDED / LINE ITEM.</p> <p>CHANGES TO FUNDING FOR SUB-CATEGORIES EXCEEDING \$2,500 WILL REQUIRE AN AMENDMENT. PROVIDE EXPLANATION FOR \$ TRANSFERRED.</p>		
<b>III. ADMIN OF PLANNING &amp; POLICIES</b>		
\$ 21,800	\$ -	\$ 21,800
<p>MONEY WAS TRANSFERRED FROM SUBCATEGORY X AND APPLIED TO SUBCATEGORY Y BECAUSE: ADD/DELETED LINE ITEM OR MORE MONEY NEEDED / LINE ITEM.</p> <p>CHANGES TO FUNDING FOR SUB-CATEGORIES EXCEEDING \$2,500 WILL REQUIRE AN AMENDMENT. PROVIDE EXPLANATION FOR \$ TRANSFERRED.</p>		
\$ 109,000	\$ (3,500)	\$ 105,500
\$ 87,200	\$ (2,800)	\$ 84,400
\$ 21,800	\$ (700)	\$ 21,100

Approved by the TAC on \_\_\_\_\_, 20##.

\_\_\_\_\_  
Signature, TAC Chairman

\_\_\_\_\_  
Signature, RPO Secretary

## **(h) Quarterly Invoice Cover Letter**



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PHONE: 252.638.3185 EXT 3031 • FAX: 252.638.3187 • E-MAIL: pflanagan@eccog.org

November 13, 2017

Ms. Catherine Bryant, E.I.  
NCDOT Transportation Planning Branch  
1554 Mail Service Center  
Raleigh, NC 27699-1554

RE: Statewide Planning and Research Funds, Down East RPO  
Invoice No. 581, FY 17-18, WBS Number XXXXX.XX

Dear Ms. Bryant,

The Down East RPO planning work program provides for the expenditure of Statewide Planning and Research Funds in the amount of \$139,869 for Fiscal Year ending 6-30-18. For the period July 1, 2017 to September 30, 2017, a total of \$26,542.10 in costs has been incurred by the Down East RPO. This is to request reimbursement of Statewide Planning and Research Funds in the amount of \$21,233.68 for the period July 1, 2017 to September 30, 2017.

Total Amount Eligible for Reimbursement to Date	\$21,233.68
Less Previous Payments	\$0.00
Net Amount Payable This Invoice	\$21,233.68

Sincerely,

A handwritten signature in black ink that reads "Jennifer Miller".

Jennifer Miller  
Finance Director

A handwritten signature in blue ink that reads "Patrick Flanagan".

Patrick Flanagan  
Down East RPO Planning Director

\*NOTE: Amount of reimbursement not to exceed 80% of funds expended pursuant to North Carolina General Statute 136-213(e), or total rural transportation planning funds provided for in the Planning Work Program.

\*\*NOTE: Patrick Flanagan spent 90% of his time and Leighann Morgan spent 10% of her time on the Down East RPO in the 1<sup>st</sup> quarter.

CERTIFICATION

This is to certify that as of September 30, 2017, costs in the amount of \$26,542.10 have been incurred by the Down East RPO in the Fiscal Year 17-18 approved budget for transportation planning activities.

This is to certify the LPA has conflict of interest statements on file with respect to purchases of goods and services and is not using vendors that have been debarred by Federal, State or local governments.

## **(i) Equipment Request Form**

# Equipment and Software Requisition Form

Purchasing Organization Information	
Organization:	
Requestors Name:	
Purchase Justification:	

Fill out this section for <u>Equipment</u> Purchases					
Item:		Tracking Number:		Quantity:	
Vendor:		Expected Lifespan:			

Please fill out this section for <u>Software</u> Purchases					
Software:		Version:		Quantity:	

Financial Information		
Purchase Price (ea):		Annual Maintenance/ subscription cost (ea):
Monthly Principal Payment (es):		
Total Cost:		
Lease/Subscription End Date:		
Cost Share Information*:		
Notes:		

\* - For cost share information please note which other agencies will use the equipment and how the costs will be split. If no other agency will use the equipment please write "n/a"  
 Items with a fair market value of less than \$5,000 may be disposed of with no further obligation to the Federal awarding agency. See 2CFR200.313 for further clarification if needed.

## **(j) Equipment Inventory Form**







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Notes

**(k) Travel Eligibility Verification Form**

**TPD SUBRECIPIENT TRAVEL/TRAINING ELIGIBILITY VERIFICATION FORM**

To be submitted to NCDOT-TPD for prior verification of eligibility of funds for training and overnight travel, unless already included in approved (U)PWP.

DATE PREPARED

**TRAVELER(S):**

**ORGANIZATION:**

**NAME OF CONFERENCE/MEETING/WORKSHOP:**

**LOCATION:**

**DATES OF TRAVEL:**

BEGINNING DATE

ENDING DATE

**MODE OF TRANSPORTATION:**

**PURPOSE OF TRAVEL AND/OR RELEVANCE  
TO TRANSPORTATION PLANNING JOB  
DUTIES:**

**DOCUMENTS ATTACHED:**  
(Agenda, website, email, etc)

**COMMENTS OR REPLY:**

## **(I) SPR Funding Audit Procedure**

20.205

**HIGHWAY PLANNING AND CONSTRUCTION**

**State Project/Program STATE PLANNING AND RESEARCH**

**U. S. Department of Transportation**

Federal Authorization: 23 U.S.C. 505, as amended and 23 CFR part 420

**State Authorization:**

**N. C. Department of Transportation  
(State Planning and Research Rural Planning Organization (RPO) Program)**

**Agency Contact Persons – Program**

Jamal Alavi, PE, CPM Director  
Transportation Planning Division  
N. C. Department of Transportation  
1554 Mail Service Center  
Raleigh, NC 27699-1554  
Phone (919) 707-0901  
Fax: (919) 733-9794  
[jalavi@ncdot.gov](mailto:jalavi@ncdot.gov)

**Address Confirmation Letters To**

Phillip W. Ayscue, Manager  
NC DOT, Office of Inspector General  
Single Audit Compliance Unit  
N. C. Department of Transportation  
1507 Mail Service Center  
Raleigh, N.C. 27699-1507  
Phone: (919) 707-4571  
Fax (919) 715-2710  
[pwayscue@ncdot.gov](mailto:pwayscue@ncdot.gov)

**The auditor should not consider the Supplement to be “safe harbor” for identifying audit procedures to apply in a particular engagement, but the auditor should be prepared to justify departures from the suggested procedures. The auditor can consider the supplement a “safe harbor” for identification of compliance requirements to be tested if the auditor performs reasonable procedures to ensure that the requirements in the Supplement are current. The grantor agency may elect to review audit working papers to determine that audit tests are adequate.**

The Single Audit Compliance Unit of the External Audit Branch reviews all single audits, financial audits, and management letters of all “grantees”. We are looking at both the presentation (information as to program, pass-through and state funding, NCDOT identification numbers) and the dollar amounts presented versus our records. Any reports not received will be requested.

Grants must be properly identified by program name (State Planning and Research Rural Planning Organization (RPO) Program) and WBS Number on the Schedule Expenditures of Federal and State Awards. Grantor and/or pass-through grantor, program title and CFDA number (20.205-8) should also be included. Please do not combine like projects into one-dollar amount since we would need to call you for the breakdown; please report award amount, Federal Pass-through and local share. On NCDOT’s confirmation from the Grant Master List (GML), these moneys are shown as CFDA Number 20.205-8.

## I. PROGRAM OBJECTIVES

The objectives of the State Planning and Research RPO Program is to provide funding to Rural Transportation Planning Organizations (RPO) to: (1) assist the Department in developing comprehensive long range local transportation plans; (2) assist the Department and provide a forum for public participation in the transportation planning process; (3) assist the Department in developing and prioritizing transportation projects for the State's 5/10 year work program and the Transportation Improvement Program; and, (4) provide transportation related information to local governments and other interested organizations and persons.

## II. PROGRAM PROCEDURES

Programs are administered by the State Highway Agency (SHA). Funds are provided to Rural Planning Organizations (RPO's) through a Lead Planning Agency (LPA may be a city, county, or Council of Government). LPA's pay 20% of the total planning costs of approved activities. Grants are governed by agreements entered into between NCDOT and the LPA. The legal agreement specifies the terms and conditions of the projects.

## III. COMPLIANCE REQUIREMENTS

**The federal granting agency has issued a compliance supplement that should be used in conjunction to this compliance supplement issued by the State Agency. Please refer to [2 CFR Part 200](#) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards: Final Rule.**

In developing the audit procedures to test compliance with the requirements for a Federal program, the auditor should first look to Uniform Guidance Compliance Supplement (2 CFR 200, Appendix XI), to identify which of the 14 types of compliance requirements described in Part 3 are applicable and then look to Parts 3 and 4 for the details of the requirements.

### A. ACTIVITIES ALLOWED OR UNALLOWED

**Compliance Requirement** – Each RPO operates under an agreement and a prospectus between the Lead Planning Agency and the NC Department of Transportation (NCDOT). Each RPO develops and submits an annual Planning Work Program that is reviewed and approved by NCDOT. The annual Planning Work Program includes the following activities:

1. Surveillance and data collection activities that support the development and re-evaluation of Comprehensive Transportation Plans (CTP) in their regions.
2. Maintenance of roadway and traffic system inventories.
3. Planning activities that support the implementation of the CTP.
4. Activities which assist in the compliance with applicable state and federal laws including Title VI, Civil Rights Act of 1964.

Planning activities support the Strategic Planning Office (SPOT), the Transportation Improvement Program (TIP), Project Development, Multi-modal Planning and the Statewide Transportation Planning Program. As well as public involvement activities pertaining to the development and implementation of the statewide transportation plan, CTP, and STIP.

B. ALLOWABLE COSTS/COST PRINCIPLES

**Compliance Requirement** - Any charges for materials provided by the LPA or a contractor must be net of sales taxes. Local units of government including cities, counties, and Council of Governments and others chartered by the General Assembly are eligible for grants. These local units of government should be eligible for sales tax refunds under North Carolina General Statute 105-164.14 (b) or (c). If they cannot qualify, then these local units of government should take the steps necessary to become eligible. Sales tax paid, which may be requested from the NC Department of Revenue as a refund, is an ineligible charge.

**Audit Objective** – Determine that the entity is eligible for the refund and that NCDOT did not reimburse any sales taxes eligible for refund.

**Suggested Audit Procedure** - Review financial records including contractors' sales tax affidavits and ascertain that no sales taxes were billed to the project.

C. CASH MANAGEMENT

The Department of Transportation pays on a reimbursement basis. No testing is required.

D. RESERVED

F. EQUIPMENT AND REAL PROPERTY MANAGEMENT

Equipment

**Compliance Requirement** – With NCDOT approval, grant funds may be used to purchase equipment that supports the Rural Planning Organization Program as defined in the RPO's prospectus and annual Planning Work Program. NCDOT has adopted the policies and procedures for equipment and real property contained in the OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR Part 200.310-316). Refer to Part 3 of the Uniform Guidance Compliance Supplement (2 CFR Part 200, Appendix XI) for Suggested Audit Procedures.

G. MATCHING, LEVEL OF EFFORT, EARMARKING

1. Matching

**Compliance Requirement** – State Planning and Research (RPO) Program funds require the LPA to pay a 20% local match from resources other than Federal or State funds.

2. Level of Effort - NC Department of Transportation does not pass this requirement down to the local level. No testing is required.



3. Earmarking - NC Department of Transportation does not pass this requirement down to the local level. No testing is required.

H. PERIOD OF PERFORMANCE

**Compliance Requirement** - The eligible project costs are to be completed within the specified time frame, which is the State Fiscal Year. Extensions to the period of performance must be approved by NCDOT based upon justification provided by the grantee. Funds may not be carried over from one year to the next.

**Audit Objective** – Determine if costs were expended within the specified time frame according to the agreement or award letter.

**Suggested Audit Procedure** – Verify that project expenses occurred within the period of performance specified in the project agreement or an approved extension of the period of performance.

I. PROCUREMENT AND SUSPENSION AND DEBARMENT

Procurement

**Compliance Requirement** –RPO’s that intend to enter into consultant contracts must obtain prior approval from NCDOT. Consultant contracts are governed by N.C. General Statutes 136-28.1(f), 143-64.31, 143-64.32, 143-64.33 ([www.ncga.state.nc.us/gascripts/Statutes/Statutes.asp](http://www.ncga.state.nc.us/gascripts/Statutes/Statutes.asp)).

**Audit Objective** – Determine that the entity received written approval by NCDOT before execution of a consultant contract, if applicable.

**Suggested Audit Procedure** - Ascertain whether or not the entity received written approval by NCDOT before execution of a consultant contract, if applicable.

J. PROGRAM INCOME

NC Department of Transportation does not pass this requirement down to the local level. No testing is required.

K. RESERVED

L. REPORTING

1. **Compliance Requirement** - The following reports must be submitted periodically:

1. Expenditure Report in accordance with project arrangements. These reports are required by the Rural Planning Organizations on an annual basis and as often as quarterly.
2. Certified invoice for payment are required by the Rural Planning Organizations on an annual basis and as often as quarterly.
3. Annual Section RPO Performance Report.

**Audit Objective** – Determine whether required reports include all activity of the reporting period, are supported by applicable accounting or performance records, and are fairly presented in accordance with program requirements.

**Suggested Audit Procedure** – Ascertain that the reports were accurately prepared and documentation supports the reports. Ascertain that reports were completed and submitted timely.

2. **Compliance Requirement** - The grantee is required to itemize support for all partial and final invoices including details of labor, labor additives, equipment, materials, contract labor, indirect costs and other qualifying costs.

**Audit Objective** – Determine that invoices submitted were correct.

**Suggested Audit Procedures**

1. Verify that invoices submitted were for valid expenses and were accurate.
2. Confirm that documentation exists and supports invoices submitted.

M. SUBRECIPIENT MONITORING

State Planning and Research RPO Program Funds: The NC Department of Transportation passes this requirement down to the Local Level for all RPOs who pass funds through to sub recipients. The list of RPOs that pass funds through to sub recipients can change each year, but sub recipients are limited to the individual members of the respective RPOs. Testing is required for any LPA that passes funds through to sub recipients. Refer to Part 3 of the Uniform Guidance Compliance Supplement (2 CFR Part 200, Appendix XI) for Sub recipient Monitoring suggested audit procedures.

N. SPECIAL TESTS AND PROVISIONS

This requirement is not applicable. Not testing required at local level.

**(m) RPO External Audit Procedure**

**Audit Procedures**  
**RURAL TRANSPORTATION PLANNING PROGRAM**

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**State Authorization:**      **N. C. G. S. Article 17 of Chapter 136**

**N. C. Department of Transportation**  
**(Transportation Planning Branch)**

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**Agency Contact Person – Program**

Jamal Alavi, PE, Manager  
Transportation Planning Division  
N. C. Department of Transportation  
1554 Mail Service Center  
Raleigh, NC 27699-1554  
(919) 707-0901  
Fax: (919) 733-2417  
[jalavi@ncdot.gov](mailto:jalavi@ncdot.gov)

**Address Confirmation Letters To**

Pam Nelms  
Financial Management Division  
N. C. Department of Transportation  
1514 Mail Service Center  
Raleigh, N.C. 27699-1514  
(919) 707-4245  
Fax (919) 715-8718  
[pknelms1@ncdot.gov](mailto:pknelms1@ncdot.gov)

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**The auditor should not consider the Supplement to be “safe harbor” for identifying audit procedures to apply in a particular engagement, but the auditor should be prepared to justify departures from the suggested procedures. The auditor can consider the supplement a “safe harbor” for identification of compliance requirements to be tested if the auditor performs reasonable procedures to ensure that the requirements in the Supplement are current. The grantor agency may elect to review audit working papers to determine that audit tests are adequate.**

The Single Audit Compliance Unit of the External Audit Branch reviews all single audits, financial audits, and management letters of all “grantees”. We are looking at both the presentation (information as to program, pass-through and state funding, NCDOT identification numbers) and the dollar amounts presented versus our records. Any reports not received will be requested.

Grants must be properly identified by program name (“Rural Transportation Planning Program”), DOT number (“DOT-17”), and WBS number on the Schedule of Financial Assistance. This information is available from the agreement with NCDOT; program name is in the second/third paragraph while the WBS number is on the upper right hand corner of the first page. Grantor and/or pass-through grantor, program title and CFDA number (if appropriate) should also be included. Please do not combine like projects into one dollar amount since we would need to call you for the breakdown; please report award amount, Federal pass-through, State share and local share. On NCDOT’s confirmation from the Grant Master List (GML), these moneys are shown as DOT number “DOT-17.”

**I. PROGRAM OBJECTIVES**

The objectives of the Rural Transportation Planning Program is to provide assistance to Rural Transportation Planning Organizations to: (1) develop in cooperation with the Department long range local and regional multi-modal transportation plans; (2) provide a forum for public participation in the transportation planning process; (3) develop and prioritize suggestions for transportation projects the organization believes should be included in the State’s Transportation Improvement Program; and, (4) provide transportation related information to local governments and other interested organizations and persons.

## II. PROGRAM PROCEDURES

### **Programs are administered by the State Highway Agency (SHA).**

Funds are provided to Rural Transportation Planning Organizations (RPO's). A Lead Planning Agency serves as the administrative entity for the RPO. The LPA may be a nonprofit, non-governmental, or a governmental entity (i.e., Counties, Council of Governments). LPA's pay 20% of the total planning costs of approved activities. Grants are governed by agreements entered into between NCDOT and the LPA. The legal agreement specifies the terms and conditions of the projects. The agreement of all parties shall be included in a memorandum of understanding approved by the membership of a Rural Transportation Planning Organization and the Secretary of the Department of Transportation. As a recipient of the funds, the LPA is responsible for monitoring the use of the funds that are passed through to other participants.

## III. COMPLIANCE REQUIREMENTS

### 1. ACTIVITIES ALLOWED OR UNALLOWED

**Compliance Requirement** – Each RPO operates under an agreement and a memorandum of understanding between the RPO and the NC Department of Transportation (NCDOT). The prospectus and the annual Planning Work Program (PWP) details the work tasks that will occur during the year. They include the following:

1. Developing, in cooperation with the Department, long-range local and regional multi-modal transportation plans.
2. Providing a forum for public participation in the transportation planning process.
3. Developing and prioritizing suggestions for transportation projects the organization believes should be included in the State's Transportation Improvement Program.
4. Providing transportation-related information to local governments and other interested organizations and persons.

**Audit Objective** – Determine if funds were expended properly.

#### **Suggested Audit Procedure**

1. Ascertain that expenditures conform to the annual allocation and the PWP.
2. Test expenditures and related records for compliance with project budget and tasks identified.

### 2. ALLOWABLE COSTS/COST PRINCIPLES

**Compliance Requirement** - Any charges for materials provided by the municipality or a contractor must be net of sales taxes. Local units of government including cities, counties, and others chartered by the General Assembly are eligible for grants. These local units of government should be eligible for sales tax refunds under GS 105-164.14 (b) or (c). If they cannot qualify, then these local units of government should take the steps necessary to become eligible. Sales tax paid, which may be requested from the NC Department of Revenue as a refund, is an ineligible charge.

**Audit Objective** – Determine that the grantee is eligible for the refund and that NCDOT did not reimburse any sales taxes eligible for refund.

**Suggested Audit Procedure** – Review financial records and ascertain that no sales taxes were billed to the project.

### 3. CASH MANAGEMENT

NC Department of Transportation (NCDOT) pays on a reimbursement basis.

### 4. CONFLICT OF INTEREST

**Compliance Requirement** – N.C.G.S. 143C-6-23 requires each nonprofit entity eligible to receive state funds to have a conflict of interest policy which addresses conflicts that may arise when members of its governing body or its managing employees are involved in the disbursement of state fund. The entity is required to have a copy of their entity's policy on file with the disbursing state agency before any funds are disbursed; this policy shall be approved by the entity's governing board and a notarized statement of the board's action shall be attached. All members of the board and management shall be familiar with and follow the policy and the legislation. The entity should have written procedures of how the conflict of interest policy is enforced.

**Audit Objective** - Determine if the policy statement has been provided to the disbursing state agency, to current members of the board and management and efforts are made to follow the policy.

#### **Suggested Audit Procedure**

1. Obtain a copy of the policy and transmittal letter to the agencies disbursing state funds to the nonprofit entity.
2. Verify the existence and enforcement of the entity's procedures.

### 7. MATCHING, LEVEL OF EFFORT, EARMARKING

Matching

**Compliance Requirement** - RPO funds require the LPA to pay a 20% local match from resources other than Federal or State funds.

**Audit Objective** – Determine the amounts or percentages or matching funds provided were allowable and applied correctly.

#### **Suggested Audit Procedures**

1. Perform test to verify that the required matching contributions were met.
2. Ascertain the sources of matching contributions and perform tests to verify that they were from an allowable source.
3. Test transactions used to match for compliance with the allowable transactions/activities.

### 8. PERIOD OF AVAILABILITY OF STATE FUNDS

**Compliance Requirement** - The eligible project costs are to be completed within the specified time frame. Extensions to the period of performance must be approved by NCDOT based upon justification provided by the grantee.

**Audit Objective** – Determine if costs were expended within the specified time frame according to the agreement or award letter.

**Suggested Audit Procedure** – Verify that project expenses occurred within the period of performance specified in the project agreement or an approved extension of the period of performance.

## 12. REPORTING

1. **Compliance Requirement** - The following reports must be submitted periodically:

1. Expenditure Report in accordance with project arrangements.
2. Certified invoice for payment.
3. Annual Section RPO Performance Report.

**Audit Objective** – The reports submitted should accurately reflect the expenditures.

### **Suggested Audit Procedure**

Ascertain that the grantee has accurately prepared reports and documentation supports the reports.

2. **Compliance Requirement** - The grantee is required to itemize support for all partial and final invoices including details of labor, labor additives, equipment, materials, contract labor and other qualifying costs.

**Audit Objective** – Determine that invoices submitted were correct.

### **Suggested Audit Procedure**

1. Verify that invoices submitted were for valid expenses and were accurate.
2. Confirm that documentation exists and supports invoices submitted.

## 13. SUB-RECIPIENT MONITORING

**Compliance Requirement** – The LPA is responsible for program administration, including monitoring the use of the funds that are sub-allocated to the other participants in the RPO, to ensure that the funds are being used according to program guidelines.

**Audit Objective** – Determine activities used by the LPA to monitor use of the program funds.

### **Suggested Audit Procedures**

1. Review any written procedures for periodic reporting of the use of the funds by agencies receiving the sub-allocation.
2. Determine if any funds were sub-allocated to non-governmental. If any funding was provided to a nongovernmental, determine if the appropriate reports were made by that entity to NCDOT.

North Carolina General Statute 143C-6-23 “Use of State Funds by Non-State Entities,” and North Carolina Administrative Code Chapter 9, Subchapter 03M “Uniform Administration of State Grants” addresses reporting requirements for non-governmental entities.

These regulations along with reporting forms may be accessed at:

<http://www.nctreasurer.com/LGC/compsup2009/state/DOT-17-2009.pdf>

## **(n) Travel Reimbursement Policy**



# Per Diem Rates

It was agreed that the NC DOT would use the GSA website (Federal Government) rates for mileage, meals, lodging, etc. These rates are set by fiscal year, effective October 1 each year, with the exception of the mileage rate, which is set by the IRS on January 1 each year. Each city/zip code has set, pre-determined amounts approved for meals and lodging as shown below.

<https://www.gsa.gov/travel/plan-book/per-diem-rates>

## Per Diem Rates

Rates are set by fiscal year, effective October 1 each year. Find current rates in the continental United States ("CONUS Rates") by searching below with city and state (or ZIP code), or by clicking on the map, or use the new [Per Diem tool](#) to calculate trip allowances.


### Search by City, State or ZIP

For Fiscal Year:

OR

### Search by State

For Fiscal Year:



# FY 2018 Per Diem Rates for North Carolina

(October 2017 - September 2018).

Cities not appearing below may be located within a county for which rates are listed.

To determine what county a city is located in, visit the [National Association of Counties \(NACO\) website \(a non-federal website\)](#).

**October 2017 - September 2018 You searched for: North Carolina Max lodging by month (excluding taxes.) The last column is the Meals and Incidental Expense (M&I) rate.**

Primary Destination (1, 2)	County (3, 4)	2017			2018									M&I (5)	
		Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep		
Standard Rate	Applies for all locations without specified rates	\$93	\$93	\$93	\$93	\$93	\$93	\$93	\$93	\$93	\$93	\$93	\$93	\$93	\$51
Asheville	Buncombe	\$126	\$126	\$126	\$95	\$95	\$118	\$118	\$118	\$118	\$118	\$118	\$118	\$118	\$59
Atlantic Beach / Morehead City	Carteret	\$93	\$93	\$93	\$93	\$93	\$93	\$93	\$93	\$93	\$121	\$121	\$121	\$93	\$64
Chapel Hill	Orange	\$118	\$118	\$118	\$118	\$118	\$118	\$118	\$118	\$118	\$118	\$118	\$118	\$118	\$69
Charlotte	Mecklenburg	\$127	\$127	\$127	\$127	\$127	\$127	\$127	\$127	\$127	\$127	\$127	\$127	\$127	\$59
Durham	Durham	\$105	\$105	\$105	\$105	\$105	\$105	\$105	\$105	\$105	\$105	\$105	\$105	\$105	\$59
Fayetteville	Cumberland	\$106	\$106	\$106	\$106	\$106	\$106	\$106	\$106	\$106	\$106	\$106	\$106	\$106	\$54
Greensboro	Guilford	\$101	\$93	\$93	\$93	\$93	\$93	\$93	\$101	\$101	\$101	\$101	\$101	\$101	\$54
Kill Devil Hills	Dare	\$93	\$93	\$93	\$93	\$93	\$93	\$93	\$154	\$154	\$154	\$154	\$154	\$154	\$64
Raleigh	Wake	\$115	\$115	\$115	\$115	\$115	\$115	\$115	\$115	\$115	\$115	\$115	\$115	\$115	\$59
Wilmington	New Hanover	\$101	\$101	\$101	\$101	\$101	\$101	\$101	\$101	\$101	\$101	\$101	\$101	\$101	\$59

Going forward, there will be an a pre-approval procedure (details to be determined) to allow NCDOT to review that all overnight trips are eligible for Federal funds prior to the trips being taken. If not included in the original PWP, this will more than likely be an email to the DOT staff and Travis. Blanket pre-approval to be given by TPD management for certain training (ex: NCAMPO conference) as well as those that are reasonable and necessary for the normal course of business (ex: software training).

To further assist in meeting the Corrective Action Plan required by FHWA, NC DOT will implement specific training to the COG Finance Directors and RPO Staff to educate those staff involved and lessen the burden to TPD staff. This will be created once new guidelines are set and approved by NC DOT and FHWA.

**(o) Conference and Training Pre-Approved List**

**TPD SUBRECIPIENT TRAVEL/TRAINING ELIGIBILITY VERIFICATION FORM**

To be submitted to NCDOT-TPD for prior verification of eligibility of funds for training and overnight travel, unless already included in approved (U)PWP.

DATE PREPARED

**TRAVELER(S):**

**ORGANIZATION:**

**NAME OF CONFERENCE/MEETING/WORKSHOP:**

**LOCATION:**

**DATES OF TRAVEL:**

BEGINNING DATE

ENDING DATE

**MODE OF TRANSPORTATION:**

**PURPOSE OF TRAVEL AND/OR RELEVANCE TO TRANSPORTATION PLANNING JOB DUTIES:**

**DOCUMENTS ATTACHED:**  
(Agenda, website, email, etc)

**COMMENTS OR REPLY:**

## Training Pre-approval Guidance

Pre-approved list of training/conference for RPO and MPO staff with the following qualifier:

***The activities (training, conference or other meetings/events, or webinars) must be deemed necessary, appropriate, and eligible uses of transportation planning resources. The activities must be related to transportation or land use, technical skills, law, or ethics that inform the transportation planning process. The activities must be related to basic job functions and be necessary to carry out the transportation planning requirements.***

- Free webinars from any organization
- American Planning Association NC (APA NC) - NC Planning Conference
- Association of Metropolitan Planning Organizations (AMPO)
- Caliper
- Carolina Thread Trail Summit – MPOs and RPOs within this geographic region. Those outside this specific region should submit a training request form.
- Carolina Urban and Regional Information Systems Association (URISA) (conference and other meetings/events related to transportation/land use/tech skills/law/ethics)
- Environmental Systems Research Institute (Esri) (conference and other meetings/events related to transportation/technical skills)
- National Association of Development Organizations (NADO) Regional Transportation Conference
- NC American Public Transportation Association (APTA)
- NC ArcGis Users Group (AUG) Conference
- NC Association of Metropolitan Planning Organizations (NCAMPO) (conference and all other meetings/events)
- NC Association of Pedestrian and Bicycle Professionals (NCAPBP)
- NC BikeWalk Summit
- NC Public Transportation Association (PTA) Conference
- NC Railroad Progress in Motion Forum
- NC Section Institute of Transportation Engineers (NCSITE) Conference
- NC Traffic Safety Conference
- NCSU Institute for Transportation Research (ITRE)
- Public Transportation Division (PTD) Annual Training Conference
- Safe Routes to School (SRTS) Conference
- Southeast Environmental Science Research Institute (ESRI) Conference
- Southeast Greenways and Trails Summit – MPOs and RPOs within this geographic region. Those outside this specific region should submit a training request form.
- Southeast Rail Conference
- Transportation Research Board (TRB) Annual Meeting
- Transportation Research Board (TRB) Tools of the Trade Transportation Planning Conference

**A form for the following activities is required because the location and relevance of content vary greatly. One (1) form may be submitted for all RPO/MPO representatives attending the activity.**

- American Association of State Highway and Transportation Officials (AASHTO) (conference and all other meetings/events)
- American Planning Association (APA) National Planning Conference
- American Public Transportation Association (APTA)
- Association of Pedestrian and Bicycle Professionals (APBP)
- Free and Open Source Software for Geospatial (FOSS4G) Conference
- Institute of Transportation Engineers (ITE)
- National Association of Development Organizations (NADO) Training Conference
- National Association of Regional Councils (NARC) National Conference of Regions
- National Highway Institute (NHI) (conference and all other meetings/events)
- National Transit Institute (NTI)
- Urban and Regional Information Systems Association (URISA) Conference, TIS information and training
- USDOT/FHWA
- Conferences on regional specific topics that pertain to areas outside your region (Example: Carolina Thread Trail Summit. The trail is not in your planning region, but you are trying to get a similar trail in your area and feel the summit will be helpful).
- Other training opportunities

**Notes:**

- Annual dues may not be charged to (U)PWP without approval from TPD Management. Very few organization or licensure dues can be approved. It must be shown that the membership in the organization aides in the performance of your RPO/MPO planning duties. Federal code is strict as to which membership dues can be paid. **NCDOT TPD is working with FHWA to identify any dues that can be pre-approved.**
- Please list anticipated training/conferences on the (U)PWP. TPD understands there may be changes that occur after the adoption of the (U)PWP.
- Training required by LPA should not be charged to (U)PWP except what is based on the cost sharing agreement.
- No international travel is pre-approved.

**Required training form should be submitted to the TPD RPO Staff Engineer or TPD Deputy Director.**

## **(p) Quarterly Invoice Procedure**

FY 2018-2019  
 PLANNING WORK PROGRAM  
 ANNUAL PROPOSED FUNDING SOURCES TABLE  
 Eastern Carolina Rural Planning Organization

FY 2018-2019  
 PLANNING WORK PROGRAM  
 AMENDMENT TABLE  
 Eastern Carolina RPO

FY 2018-2019  
 PLANNING WORK PROGRAM  
 AMENDMENT TABLE  
 Eastern Carolina RPO

FY 2018-2019  
 PLANNING WORK PROGRAM  
 AMENDMENT TABLE  
 Eastern Carolina RPO

FY 2018-2019  
 PLANNING WORK PROGRAM  
 AMENDMENT TABLE  
 Eastern Carolina RPO

TASK CODE	WORK CATEGORY	RPO PROGRAM FUNDS		
		LOCAL 20%	STATE 80%	TOTAL
<b>I. DATA COLLECTION AND ASSESSMENT</b>				
<b>I-1</b>	<b>DATA COLLECTION AND ASSESSMENT</b>	\$ 1,060	\$ 4,240	\$ 5,300
I-1.1	Highways			
I-1.2	Other Modes			
I-1.3	Socioeconomic			
I-1.4	Title VI			
<b>II. TRANSPORTATION PLANNING</b>				
<b>II-1</b>	<b>COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT</b>	\$ 2,660	\$ 10,640	\$ 13,300
II-1.1	Develop CTP Vision			
II-1.2	Conduct CTP Needs Assessment			
II-1.3	Analyze Alternatives and Environmental Screening			
II-1.4	Develop Final Plan			
II-1.5	Adopt Plan			
<b>II-2</b>	<b>PRIORITIZATION</b>	\$ 3,400	\$ 13,600	\$ 17,000
II-2.1	Project Prioritization			
<b>II-3</b>	<b>PROGRAM AND PROJECT DEVELOPMENT</b>	\$ 1,140	\$ 4,560	\$ 5,700
II-3.1	STP Participation			
II-3.2	Merger / Project Development			
<b>II-4</b>	<b>GENERAL TRANSPORTATION PLANNING</b>	\$ 3,880	\$ 15,520	\$ 19,400
II-4.1	Regional and Statewide Planning			
II-4.2	Special Studies, Projects and Other Trainings			
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>				
<b>III-1</b>	<b>ADMINISTRATIVE ACTIVITIES</b>	\$ 3,957	\$ 15,830	\$ 19,787
III-1.1	Administrative Documents			
III-1.2	TCC / TAC Work Facilitation, Ethics Compliance			
III-1.3	Program Administration			
<b>IV. DIRECT COSTS</b>				
<b>IV-1</b>	<b>PROGRAMMATIC DIRECT CHARGES</b>	\$ 2,486	\$ 9,945	\$ 12,431
IV-1.1	Program-wide Direct Costs			
<b>IV-2</b>	<b>ADVERTISING</b>	\$ 80	\$ 318	\$ 398
IV-2.1	News Media Ads			
<b>IV-3</b>	<b>LODGING, MEALS, INCIDENTALS</b>	\$ 326	\$ 1,305	\$ 1,631
IV-3.1	Hotel Costs			
IV-3.2	Meal Costs			
IV-3.3	Incidentals			
<b>IV-4</b>	<b>POSTAGE</b>	\$ 20	\$ 80	\$ 100
IV-4.1	Mailings			
<b>IV-5</b>	<b>REGISTRATION / TRAINING</b>	\$ 100	\$ 400	\$ 500
IV-5.1	Conference Registration			
IV-5.2	Meetings / Workshop / Training Fees			
<b>IV-6</b>	<b>TRAVEL</b>	\$ 900	\$ 3,600	\$ 4,500
IV-6.1	Mileage Reimbursement			
IV-6.2	Car Rental Costs			
IV-6.3	Other Travel Expenses			
<b>V. INDIRECT COSTS</b>				
<b>V-1</b>	<b>INDIRECT COSTS APPROVED BY COGNIZANT AGENCY FY 18-19</b>	\$ 6,584	\$ 26,337	\$ 32,921
V-1.1	Incurred Indirect Costs			
<b>TOTAL</b>		\$ 26,594	\$ 106,374	\$ 132,968

1st Quarter Amendment Table Date: Day/Month/20XX			
Original Budgeted Amount	Net Change	New 1st Quarter Budgeted Amount	
\$ 5,300	\$ -	\$ 5,300	
Provide explanation for moving funds from one category to another.			
<b>II. TRANSPORTATION PLANNING</b>			
\$ 13,300	\$ -	\$ 13,300	
Provide explanation for moving funds from one category to another.			
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING &amp; POLICIES</b>			
\$ 19,787	\$ -	\$ 19,787	
Provide explanation for moving funds from one category to another.			
<b>IV. DIRECT COSTS</b>			
\$ 12,431	\$ -	\$ 12,431	
Provide explanation for moving funds from one category to another.			
\$ 398	\$ -	\$ 398	
Provide explanation for moving funds from one category to another.			
\$ 1,631	\$ -	\$ 1,631	
Provide explanation for moving funds from one category to another.			
\$ 100	\$ -	\$ 100	
Provide explanation for moving funds from one category to another.			
\$ 500	\$ -	\$ 500	
Provide explanation for moving funds from one category to another.			
\$ 4,500	\$ -	\$ 4,500	
Provide explanation for moving funds from one category to another.			
<b>V. INDIRECT COSTS</b>			
\$ 32,921	\$ -	\$ 32,921	
Provide explanation for moving funds from one category to another.			
\$ 132,968	\$ -	\$ 132,968	

2nd Quarter Amendment Table Date: Day/Month/20XX			
Original Budget With Previous Q Amendment(s)	Net Change	New 2nd Quarter Budgeted Amount	
\$ 5,300	\$ -	\$ 5,300	
Provide explanation for moving funds from one category to another.			
<b>II. TRANSPORTATION PLANNING</b>			
\$ 13,300	\$ -	\$ 13,300	
Provide explanation for moving funds from one category to another.			
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING &amp; POLICIES</b>			
\$ 19,787	\$ -	\$ 19,787	
Provide explanation for moving funds from one category to another.			
<b>IV. DIRECT COSTS</b>			
\$ 12,431	\$ -	\$ 12,431	
Provide explanation for moving funds from one category to another.			
\$ 398	\$ -	\$ 398	
Provide explanation for moving funds from one category to another.			
\$ 1,631	\$ -	\$ 1,631	
Provide explanation for moving funds from one category to another.			
\$ 100	\$ -	\$ 100	
Provide explanation for moving funds from one category to another.			
\$ 500	\$ -	\$ 500	
Provide explanation for moving funds from one category to another.			
\$ 4,500	\$ -	\$ 4,500	
Provide explanation for moving funds from one category to another.			
<b>V. INDIRECT COSTS</b>			
\$ 32,921	\$ -	\$ 32,921	
Provide explanation for moving funds from one category to another.			
\$ 132,968	\$ -	\$ 132,968	

3rd Quarter Amendment Table Date: Day/Month/20XX			
Original Budget With Previous Q Amendment(s)	Net Change	New 3rd Quarter Budgeted Amount	
\$ 5,300	\$ -	\$ 5,300	
Provide explanation for moving funds from one category to another.			
<b>II. TRANSPORTATION PLANNING</b>			
\$ 13,300	\$ -	\$ 13,300	
Provide explanation for moving funds from one category to another.			
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING &amp; POLICIES</b>			
\$ 19,787	\$ -	\$ 19,787	
Provide explanation for moving funds from one category to another.			
<b>IV. DIRECT COSTS</b>			
\$ 12,431	\$ -	\$ 12,431	
Provide explanation for moving funds from one category to another.			
\$ 398	\$ -	\$ 398	
Provide explanation for moving funds from one category to another.			
\$ 1,631	\$ -	\$ 1,631	
Provide explanation for moving funds from one category to another.			
\$ 100	\$ -	\$ 100	
Provide explanation for moving funds from one category to another.			
\$ 500	\$ -	\$ 500	
Provide explanation for moving funds from one category to another.			
\$ 4,500	\$ -	\$ 4,500	
Provide explanation for moving funds from one category to another.			
<b>V. INDIRECT COSTS</b>			
\$ 32,921	\$ -	\$ 32,921	
Provide explanation for moving funds from one category to another.			
\$ 132,968	\$ -	\$ 132,968	

4th Quarter Amendment Table Date: Day/Month/20XX			
Original Budget With Previous Q Amendment(s)	Net Change	New 4th Quarter Budgeted Amount	
\$ 5,300	\$ -	\$ 5,300	
Provide explanation for moving funds from one category to another.			
<b>II. TRANSPORTATION PLANNING</b>			
\$ 13,300	\$ -	\$ 13,300	
Provide explanation for moving funds from one category to another.			
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING &amp; POLICIES</b>			
\$ 19,787	\$ -	\$ 19,787	
Provide explanation for moving funds from one category to another.			
<b>IV. DIRECT COSTS</b>			
\$ 12,431	\$ -	\$ 12,431	
Provide explanation for moving funds from one category to another.			
\$ 398	\$ -	\$ 398	
Provide explanation for moving funds from one category to another.			
\$ 1,631	\$ -	\$ 1,631	
Provide explanation for moving funds from one category to another.			
\$ 100	\$ -	\$ 100	
Provide explanation for moving funds from one category to another.			
\$ 500	\$ -	\$ 500	
Provide explanation for moving funds from one category to another.			
\$ 4,500	\$ -	\$ 4,500	
Provide explanation for moving funds from one category to another.			
<b>V. INDIRECT COSTS</b>			
\$ 32,921	\$ -	\$ 32,921	
Provide explanation for moving funds from one category to another.			
\$ 132,968	\$ -	\$ 132,968	

Approved by the TAC on: \_\_\_\_\_ 20\_\_  
 \_\_\_\_\_  
 Signature, TAC Chairman  
 \_\_\_\_\_  
 Signature, RPO Secretary

Approved by the TAC on: \_\_\_\_\_ 20\_\_

Approved by the TAC on: \_\_\_\_\_ 20\_\_

Approved by the TAC on: April 3, 2019

Approved by the TAC on: May 1, 2019



**FY 2018-2019  
PLANNING WORK PROGRAM  
Narrative  
Eastern Carolina Rural Planning Organization**

**I. DATA COLLECTION AND ASSESSMENT**

**I-1 DATA COLLECTION AND ASSESSMENT**

- I-1.1 Highway**  
Perform traffic counts and crash data analysis at local government request
- I-1.2 Other Modes**  
Assist municipalities with Bike/Ped grants; attend East Coast Greenway/Mountains to Sea trail meetings; attend Transit Agency TAB meetings
- I-1.3 Socioeconomic**  
Update demographic data for all counties
- I-1.4 Title VI**  
Create and implement Title VI plan for ECRPO

**II. TRANSPORTATION PLANNING**

**II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT**

- II-1.1 Develop CTP Vision**
- II-1.2 Conduct CTP Needs Assessment**  
Analyze deficiencies for CTP
- II-1.3 Analyze Alternatives and Environmental Screening**  
Analyze alternative routes for various potential projects; coordinate consensus for County and Municipalities for CTP
- II-1.4 Develop Final Plan**  
Assist in creating/developing CTP maps; hold public meetings to review CTP; review final CTP document for CTP
- II-1.5 Adopt Plan**  
Present plan to county and municipalities for adoption

**II-2 PRIORITIZATION**

- II-2.1 Project Prioritization**  
Analyze results of Statewide, Regional, and Divisional Tier programming; assign Local Input Points to Division Needs Projects; Participate in SPOT Workgroup

**II-3 PROGRAM AND PROJECT DEVELOPMENT**

- II-3.1 STIP Participation**  
Review status of projects in STIP
- II-3.2 Merger / Project Development**  
Attend merger, scoping, planning and public meetings for funded projects

**II-4 GENERAL TRANSPORTATION PLANNING**

- II-4.1 Regional and Statewide Planning**  
Attend NCARPO quarterly meetings and NCAMPO conference; attend Highway 70 Corridor Association meetings; Stay up to date on Joint Legislative Transportation Oversight Committee meetings; Attend neighboring MPO TCC and TAC meetings; Attend County Transportation Committee meetings; Attend NCDOT Board of Transportation meetings
- II-4.2 Special Studies, Projects and Other Trainings**  
participate in Eastern NC Freight Plan development

**III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES**

**III-1 ADMINISTRATIVE ACTIVITIES**

- III-1.1 Administrative Documents**

Prepare, obtain approval, and submit a PWP, a Five-Year Calendar, and necessary amendments; prepare and submit Quarterly Reports and Final Yearly Narrative; update MOU and PIP, including Title VI work, as necessary

### **III-1.2 TCC / TAC Work Facilitation; Ethics Compliance**

Hold TCC and TCC meetings; Prepare minutes, agendas, materials, speakers, etc. for TCC and TCC meetings; inform TAC of Ethics information and deadlines; Assist TAC members with Ethics documentation

### **III-1.3 Program Administration**

Provide transportation information and data; Contact NCDOT staff concerning questions from officials, citizens, and TAC/TCC members; Phone calls, emails, etc.

## **IV. DIRECT COSTS**

### **IV-1 PROGRAMMATIC DIRECT CHARGES**

#### **IV-1.1 Program-wide Direct Costs**

Telephone, Broadband, Office Supplies, IT System Administration, Maintenance & Repairs, Computer Related Purchase, and Copier Costs

### **IV-2 ADVERTISING**

#### **IV-2.1 News Media Ads**

Advertising costs for public hearings, workshops, etc.

### **IV-3 LODGING, MEALS, INCIDENTALS**

#### **IV-3.1 Hotel Costs**

Costs for overnight stays to: Attend NCARPO Quarterly meetings; Attend NCAMPO Conference in Jacksonville; Attend TRB Tools of the Trade Conference in Kansas City; Attend NADO Training Conference in Charlotte

#### **IV-3.2 Meal Costs**

Meal costs while on overnight or extended travel to: Attend NCARPO Quarterly meetings; Attend NCAMPO Conference in Jacksonville; Attend TRB Tools of the Trade Conference in Kansas City; Attend NADO Training Conference in Charlotte

#### **IV-3.3 Incidentals**

Hotel parking, tips

### **IV-4 POSTAGE**

#### **IV-4.1 Mailings**

Costs for mailings for RPO projects (surveys, notices, etc.)

### **IV-5 REGISTRATION / TRAINING**

#### **IV-5.1 Conference Registration**

Registration fees to: Attend NCAMPO Conference in Jacksonville; Attend TRB Tools of the Trade Conference in Kansas City; Attend NADO Training Conference in Charlotte

#### **IV-5.2 Meeting / Workshop / Training Fees**

### **IV-6 TRAVEL**

#### **IV-6.1 Mileage Reimbursement**

Reimbursement for total miles traveled

#### **IV-6.2 Car Rental Costs**

#### **IV-6.3 Other Travel Expenses**

Parking fee, air fare, other

## **V. INDIRECT COSTS**

### **V-1 INDIRECT COSTS APPROVED BY COGNIZANT AGENCY FY 18-19**

#### **V-1.1 Incurred Indirect Costs**

Indirect costs incurred to the RPO program

## **TOTAL**

\$ 5,300.00

\$ 13,300.00

\$ 17,000.00

\$ 5,700.00

\$ 19,400.00

\$ 19,787.00

Grey bar

Grey bar

Light green bar

\$ 12,431.00

Grey bar

\$ 398.00

Grey bar

\$ 1,631.00

Grey bar

Grey bar

Grey bar

\$ 100.00

Grey bar

\$ 500.00

Grey bar

Grey bar

\$ 4,500.00

Grey bar

Grey bar

Grey bar

Light green bar

\$ 32,921.00

Grey bar

\$ 132,968.00

FY 2018-2019  
 PLANNING WORK PROGRAM  
 ANNUAL PROPOSED FUNDING SOURCES TABLE  
 Eastern Carolina Rural Planning Organization  
 (TEMPLATE)

FY 2018-2019  
 QUARTERLY EXPENDITURE SUMMARY  
 Eastern Carolina Rural Planning Organization  
 (TEMPLATE)

TASK CODE	WORK CATEGORY	RPO PROGRAM FUNDS		
		LOCAL 20%	STATE 80%	TOTAL
<b>I. DATA COLLECTION AND ASSESSMENT</b>				
I-1	DATA COLLECTION AND ASSESSMENT	\$ 1,060	\$ 4,240	\$ 5,300
I-1.1	Highway			
I-1.2	Other Modes			
I-1.3	Socioeconomic			
I-1.4	Title VI			
<b>II. TRANSPORTATION PLANNING</b>				
II-1	CTP DEVELOPMENT	\$ 2,660	\$ 10,640	\$ 13,300
II-1.1	Develop CTP Vision			
II-1.2	Conduct CTP Needs Assessment			
II-1.3	Analyze Alternatives and Environmental Screening			
II-1.4	Develop Final Plan			
II-1.5	Adopt Plan			
II-2	PRIORITIZATION	\$ 3,400	\$ 13,600	\$ 17,000
II-2.1	Project Prioritization			
II-3	PROGRAM AND PROJECT DEVELOPMENT	\$ 1,140	\$ 4,560	\$ 5,700
II-3.1	STIP Participation			
II-3.2	Merger / Project Development			
II-4	GENERAL TRANSPORTATION PLANNING	\$ 3,880	\$ 15,520	\$ 19,400
II-4.1	Regional and Statewide Planning			
II-4.2	Special Studies, Projects and Other Trainings			
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>				
III-1	ADMINISTRATIVE ACTIVITIES	\$ 3,957	\$ 15,830	\$ 19,787
III-1.1	Administrative Documents			
III-1.2	TCC/TAC Work Facilitation; Ethics Compliance			
III-1.3	Program Administration			
<b>IV. DIRECT COSTS</b>				
IV-1	PROGRAMMATIC DIRECT CHARGES	\$ 2,486	\$ 9,945	\$ 12,431
IV-1.1	Program-wide Direct Costs			
IV-2	ADVERTISING	\$ 80	\$ 318	\$ 398
IV-2.1	News Media Ads			
IV-3	LODGING, MEALS, INCIDENTALS	\$ 326	\$ 1,305	\$ 1,631
IV-3.1	Hotel Costs			
IV-3.2	Meal Costs			
IV-3.3	Incidentals			
IV-4	POSTAGE	\$ 20	\$ 80	\$ 100
IV-4.1	Mailings			
IV-5	REGISTRATION / TRAINING	\$ 100	\$ 400	\$ 500
IV-5.1	Conference Registration			
IV-5.2	Meeting / Workshop / Training Fees			
IV-6	TRAVEL	\$ 900	\$ 3,600	\$ 4,500
IV-6.1	Mileage Reimbursement			
IV-6.2	Car Rental Costs			
IV-6.3	Other Travel Expenses			
<b>V. INDIRECT COSTS</b>				
IV-1	INDIRECT COSTS	\$ 6,584	\$ 26,337	\$ 32,921
IV-1.1	Incurred Indirect Costs			
<b>TOTAL</b>		<b>\$ 68,578</b>	<b>\$ 64,390</b>	<b>\$ 132,968</b>

RPO Expenditures				
1st QUARTER EXPENDITURES	% BUDGET SPENT TO DATE	TO DATE EXPENDITURES	BUDGETED AMOUNT	
<b>I. DATA COLLECTION AND ASSESSMENT</b>				
\$ 2,800.43	52.84%	\$ 2,800.43	\$	\$ 5,300.00
\$ 791.56		\$ 791.56		
\$ 1,159.23		\$ 1,159.23		
\$ 759.68		\$ 759.68		
\$ 89.96		\$ 89.96		
<b>II. TRANSPORTATION PLANNING</b>				
\$ 1,122.00	8.44%	\$ 1,122.00	\$	\$ 13,300.00
\$ 498.35		\$ 498.35		
\$ 623.65		\$ 623.65		
\$ -		\$ -		
\$ -		\$ -		
\$ -		\$ -		
\$ 3,004.56	17.67%	\$ 3,004.56	\$	\$ 17,000.00
\$ 3,004.56		\$ 3,004.56		
\$ 1,604.56	28.15%	\$ 1,604.56	\$	\$ 5,700.00
\$ 1,198.58		\$ 1,198.58		
\$ 405.98		\$ 405.98		
\$ 4,377.16	22.56%	\$ 4,377.16	\$	\$ 19,400.00
\$ 2,498.58		\$ 2,498.58		
\$ 1,878.58		\$ 1,878.58		
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND</b>				
\$ 3,158.51	15.96%	\$ 3,158.51	\$	\$ 19,787.00
\$ 1,198.58		\$ 1,198.58		
\$ 1,457.58		\$ 1,457.58		
\$ 502.35		\$ 502.35		
<b>IV. DIRECT COSTS</b>				
\$ 2,804.25	22.56%	\$ 2,804.25	\$	\$ 12,431.00
\$ 2,804.25		\$ 2,804.25		
\$ 152.29	38.26%	\$ 152.29	\$	\$ 398.00
\$ 152.29		\$ 152.29		
\$ 432.00	26.49%	\$ 432.00	\$	\$ 1,631.00
\$ 279.00		\$ 279.00		
\$ 153.00		\$ 153.00		
\$ -		\$ -		
\$ -	0.00%	\$ -	\$	\$ 100.00
\$ -		\$ -		
\$ -	0.00%	\$ -	\$	\$ 500.00
\$ -		\$ -		
\$ -		\$ -		
\$ 2,706.15	60.14%	\$ 2,706.15	\$	\$ 4,500.00
\$ 2,701.15		\$ 2,701.15		
\$ -		\$ -		
\$ 5.00		\$ 5.00		
<b>V. INDIRECT COSTS</b>				
\$ -	0.00%	\$ -	\$	\$ 32,921.00
\$ -		\$ -		
<b>Total:</b>	\$ 22,161.91	16.67%	\$ 22,161.91	\$ 132,968.00
<b>NCDOT Share:</b>	\$ 17,729.53		\$ 17,729.53	\$ 106,374.40
<b>Local Share:</b>	\$ 4,432.38		\$ 4,432.38	\$ 26,593.60

FY 2018-2019  
**PLANNING WORK PROGRAM**  
 1st Quarter Narrative  
 Eastern Carolina Rural Planning Organization  
 (TEMPLATE)

<b>I. DATA COLLECTION AND ASSESSMENT</b>		
<b>I-1 DATA COLLECTION AND ASSESSMENT</b>		\$ 2,800.43
I-1.1	<b>Highway</b> Traffic Counts on US-117 (100%)	\$ 791.56
I-1.2	<b>Other Modes</b> - Attend Mount Olive Bike Plan Meeting (7/31/18 - Mount Olive) - Assist Duplin Co. Transit with Build Grant Application (100%)	\$ 1,159.23
I-1.3	<b>Socioeconomic</b> Verify Employment Data (30%)	\$ 759.68
I-1.4	<b>Title VI</b> Prepare Title VI Draft (20%)	\$ 89.96
<b>II. TRANSPORTATION PLANNING</b>		
<b>II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT</b>		\$ 1,122.00
II-1.1	<b>Develop CTP Vision</b> Develop Vision and Goals Survey (100%)	\$ 498.35
II-1.2	<b>Conduct CTP Needs Assessment</b> Duplin Co. CTP Steering Committee Meeting (Keanansville - 8/14/18)	\$ 623.65
II-1.3	<b>Analyze Alternatives and Environmental Screening</b>	\$ -
II-1.4	<b>Develop Final Plan</b>	\$ -
II-1.5	<b>Adopt Plan</b>	\$ -
<b>II-2 PRIORITIZATION</b>		\$ 3,004.56
II-2.1	<b>Project Prioritization</b> Develop Division Scores with TCC Subcommittee (LaGrange - 9/5/18 - 80%)	\$ 3,004.56
<b>II-3 PROGRAM AND PROJECT DEVELOPMENT</b>		\$ 1,604.56
II-3.1	<b>STIP Participation</b> Meet with STIP Unit to review available funding (Raleigh - 7/16/18)	\$ 1,198.58
II-3.2	<b>Merger / Project Development</b> Attend Harvey Parkway R-5703 Scoping Meeting (Kinston - 8/13/18)	\$ 405.98
<b>II-4 GENERAL TRANSPORTATION PLANNING</b>		\$ 4,377.16
II-4.1	<b>Regional and Statewide Planning</b> - Attend RPO Quarterly Meeting (Boone - 7/25/18-7/27/18) - Annual RPO Review Meeting (New Bern - 9/10/18) - Prepare Administrative Documents Committee Presentation for RPO Quarterly Meeting (100%)	\$ 2,498.58
II-4.2	<b>Special Studies, Projects and Other Trainings</b> Attend SPOT Training (New Bern - 7/10/18-7/12/18)	\$ 1,878.58
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>		
<b>III-1 ADMINISTRATIVE ACTIVITIES</b>		\$ 3,158.51
III-1.1	<b>Administrative Documents</b> Prepare 4th quarterly invoice packet (100%)	\$ 1,198.58
III-1.2	<b>TCC / TAC Work Facilitation; Ethics Compliance</b> Prepare and host TCC/TAC Meeting (LaGrange - 7/19/18)	\$ 1,457.58
III-1.3	<b>Program Administration</b>	\$ 502.35
Contact NCDOT staff concerning questions from officials, citizens, and TAC/TCC members about signal removal in Warsaw by way of phone calls and emails (70%)		
<b>IV. DIRECT COSTS</b>		
<b>IV-1 PROGRAMMATIC DIRECT CHARGES</b>		\$ 2,804.25
IV-1.1	<b>Program-wide Direct Costs</b> Telephone, Broadband, Office Supplies, IT System Administration, Maintenance & Repairs, and Copier Costs	\$ 2,804.25
<b>IV-2 ADVERTISING</b>		\$ 152.29
IV-2.1	<b>News Media Ads</b> Advertising for new position	\$ 152.29
<b>IV-3 LODGING, MEALS, INCIDENTALS</b>		\$ 432.00
IV-3.1	<b>Hotel Costs</b> - RPO Quarterly Meeting (Boone - 7/25/18-7/27/18)	\$ 279.00
IV-3.2	<b>Meal Costs</b> - RPO Quarterly Meeting (Boone - 7/25/18-7/27/18)	\$ 153.00
IV-3.3	<b>Incidentals</b>	\$ -
<b>IV-4 POSTAGE</b>		\$ -
IV-4.1	<b>Mailings</b>	\$ -
<b>IV-5 REGISTRATION / TRAINING</b>		\$ -
IV-5.1	<b>Conference Registration</b>	\$ -
IV-5.2	<b>Meeting / Workshop / Training Fees</b>	\$ -
<b>IV-6 TRAVEL</b>		\$ 2,706.15
IV-6.1	<b>Mileage Reimbursement</b> Total Miles: 4956 @ \$0.545/mile	\$ 2,701.15
IV-6.2	<b>Car Rental Costs</b>	\$ -
IV-6.3	<b>Other Travel Expenses</b> Parking \$5.00 (Raleigh 7/16/18)	\$ 5.00
<b>V. INDIRECT COSTS</b>		
<b>V-1 INDIRECT COSTS APPROVED BY COGNIZANT AGENCY FY 18-19</b>		\$ -
V-1.1	<b>Incurred Indirect Costs</b>	\$ -
<b>TOTAL</b>		<b>\$ 22,161.91</b>

FY 2018-2019  
 PLANNING WORK PROGRAM  
 ANNUAL PROPOSED FUNDING SOURCES TABLE  
 Eastern Carolina Rural Planning Organization  
 (TEMPLATE)

TASK CODE	WORK CATEGORY	RPO PROGRAM FUNDS		
		LOCAL 20%	STATE 80%	TOTAL
<b>I. DATA COLLECTION AND ASSESSMENT</b>				
I-1	<b>DATA COLLECTION AND ASSESSMENT</b>	\$ 1,060	\$ 4,240	\$ 5,300
I-1.1	Highway			
I-1.2	Other Modes			
I-1.3	Socioeconomic			
I-1.4	Title VI			
<b>II. TRANSPORTATION PLANNING</b>				
II-1	<b>CTP DEVELOPMENT</b>	\$ 2,660	\$ 10,640	\$ 13,300
II-1.1	Develop CTP Vision			
II-1.2	Conduct CTP Needs Assessment			
II-1.3	Analyze Alternatives and Environmental Screening			
II-1.4	Develop Final Plan			
II-1.5	Adopt Plan			
II-2	<b>PRIORITIZATION</b>	\$ 3,400	\$ 13,600	\$ 17,000
II-2.1	Project Prioritization			
II-3	<b>PROGRAM AND PROJECT DEVELOPMENT</b>	\$ 1,140	\$ 4,560	\$ 5,700
II-3.1	STIP Participation			
II-3.2	Merger / Project Development			
II-4	<b>GENERAL TRANSPORTATION PLANNING</b>	\$ 3,880	\$ 15,520	\$ 19,400
II-4.1	Regional and Statewide Planning			
II-4.2	Special Studies, Projects and Other Trainings			
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>				
III-1	<b>ADMINISTRATIVE ACTIVITIES</b>	\$ 3,957	\$ 15,830	\$ 19,787
III-1.1	Administrative Documents			
III-1.2	TCC/TAC Work Facilitation; Ethics Compliance			
III-1.3	Program Administration			
<b>IV. DIRECT COSTS</b>				
IV-1	<b>PROGRAMMATIC DIRECT CHARGES</b>	\$ 2,486	\$ 9,945	\$ 12,431
IV-1.1	Program-wide Direct Costs			
IV-2	<b>ADVERTISING</b>	\$ 80	\$ 318	\$ 398
IV-2.1	News Media Ads			
IV-3	<b>LODGING, MEALS, INCIDENTALS</b>	\$ 326	\$ 1,305	\$ 1,631
IV-3.1	Hotel Costs			
IV-3.2	Meal Costs			
IV-3.3	Incidentals			
IV-4	<b>POSTAGE</b>	\$ 20	\$ 80	\$ 100
IV-4.1	Mailings			
IV-5	<b>REGISTRATION / TRAINING</b>	\$ 100	\$ 400	\$ 500
IV-5.1	Conference Registration			
IV-5.2	Meeting / Workshop / Training Fees			
IV-6	<b>TRAVEL</b>	\$ 900	\$ 3,600	\$ 4,500
IV-6.1	Mileage Reimbursement			
IV-6.2	Car Rental Costs			
IV-6.3	Other Travel Expenses			
<b>V. INDIRECT COSTS</b>				
IV-1	<b>INDIRECT COSTS</b>	\$ 6,584	\$ 26,337	\$ 32,921
IV-1.1	Incurred Indirect Costs			
<b>TOTAL</b>		<b>\$ 68,578</b>	<b>\$ 64,390</b>	<b>\$ 132,968</b>

FY 2018-2019  
 QUARTERLY EXPENDITURE SUMMARY  
 Eastern Carolina Rural Planning Organization  
 (TEMPLATE)

RPO Expenditures				
1st QUARTER EXPENDITURES	2nd QUARTER EXPENDITURES	% BUDGET SPENT TO DATE	TO DATE EXPENDITURES	BUDGETED AMOUNT
<b>I. DATA COLLECTION AND ASSESSMENT</b>				
\$ 2,800.43	\$ -	52.84%	\$ 2,800.43	\$ 5,300.00
\$ 791.56	\$ -		\$ 791.56	
\$ 1,159.23	\$ -		\$ 1,159.23	
\$ 759.68	\$ -		\$ 759.68	
\$ 89.96	\$ -		\$ 89.96	
<b>II. TRANSPORTATION PLANNING</b>				
\$ 1,122.00	\$ -	8.44%	\$ 1,122.00	\$ 13,300.00
\$ 498.35	\$ -		\$ 498.35	
\$ 623.65	\$ -		\$ 623.65	
\$ -	\$ -		\$ -	
\$ -	\$ -		\$ -	
\$ -	\$ -		\$ -	
\$ 3,004.56	\$ -	17.67%	\$ 3,004.56	\$ 17,000.00
\$ 3,004.56	\$ -		\$ 3,004.56	
\$ 1,604.56	\$ -	28.15%	\$ 1,604.56	\$ 5,700.00
\$ 1,198.58	\$ -		\$ 1,198.58	
\$ 405.98	\$ -		\$ 405.98	
\$ 4,377.16	\$ -	22.56%	\$ 4,377.16	\$ 19,400.00
\$ 2,498.58	\$ -		\$ 2,498.58	
\$ 1,878.58	\$ -		\$ 1,878.58	
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>				
\$ 3,158.51	\$ -	15.96%	\$ 3,158.51	\$ 19,787.00
\$ 1,198.58	\$ -		\$ 1,198.58	
\$ 1,457.58	\$ -		\$ 1,457.58	
\$ 502.35	\$ -		\$ 502.35	
<b>IV. DIRECT COSTS</b>				
\$ 2,804.25	\$ -	22.56%	\$ 2,804.25	\$ 12,431.00
\$ 2,804.25	\$ -		\$ 2,804.25	
\$ 152.29	\$ -	38.26%	\$ 152.29	\$ 398.00
\$ 152.29	\$ -		\$ 152.29	
\$ 432.00	\$ -	26.49%	\$ 432.00	\$ 1,631.00
\$ 279.00	\$ -		\$ 279.00	
\$ 153.00	\$ -		\$ 153.00	
\$ -	\$ -		\$ -	
\$ -	\$ -	0.00%	\$ -	\$ 100.00
\$ -	\$ -		\$ -	
\$ -	\$ -	0.00%	\$ -	\$ 500.00
\$ -	\$ -		\$ -	
\$ -	\$ -		\$ -	
\$ 2,706.15	\$ -	60.14%	\$ 2,706.15	\$ 4,500.00
\$ 2,701.15	\$ -		\$ 2,701.15	
\$ -	\$ -		\$ -	
\$ 5.00	\$ -		\$ 5.00	
<b>V. INDIRECT COSTS</b>				
\$ -	\$ -	0.00%	\$ -	\$ 32,921.00
\$ -	\$ -		\$ -	
\$ 22,161.91	\$ -	16.67%	\$ 22,161.91	\$ 132,968.00
\$ 17,729.53	\$ -		\$ 17,729.53	\$ 106,374.40
\$ 4,432.38	\$ -		\$ 4,432.38	\$ 26,593.60

**FY 2018-2019**  
**PLANNING WORK PROGRAM**  
**2nd Quarter Narrative**  
**Eastern Carolina Rural Planning Organization**  
**(TEMPLATE)**

<b>I. DATA COLLECTION AND ASSESSMENT</b>		
<b>I-1 DATA COLLECTION AND ASSESSMENT</b>		
I-1.1	Highway	\$ -
I-1.2	Other Modes	\$ -
I-1.3	Socioeconomic	\$ -
I-1.4	Title VI	\$ -
<b>II. TRANSPORTATION PLANNING</b>		
<b>II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT</b>		
II-1.1	Develop CTP Vision	\$ -
II-1.2	Conduct CTP Needs Assessment	\$ -
II-1.3	Analyze Alternatives and Environmental Screening	\$ -
II-1.4	Develop Final Plan	\$ -
II-1.5	Adopt Plan	\$ -
<b>II-2 PRIORITIZATION</b>		
II-2.1	Project Prioritization	\$ -
<b>II-3 PROGRAM AND PROJECT DEVELOPMENT</b>		
II-3.1	STIP Participation	\$ -
II-3.2	Merger / Project Development	\$ -
<b>II-4 GENERAL TRANSPORTATION PLANNING</b>		
II-4.1	Regional and Statewide Planning	\$ -
II-4.2	Special Studies, Projects and Other Trainings	\$ -
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>		
<b>III-1 ADMINISTRATIVE ACTIVITIES</b>		
III-1.1	Administrative Documents	\$ -
III-1.2	TCC / TAC Work Facilitation; Ethics Compliance	\$ -
III-1.3	Program Administration	\$ -
<b>IV. DIRECT COSTS</b>		
<b>IV-1 PROGRAMMATIC DIRECT CHARGES</b>		
IV-1.1	Program-wide Direct Costs	\$ -
<b>IV-2 ADVERTISING</b>		
IV-2.1	News Media Ads	\$ -
<b>IV-3 LODGING, MEALS, INCIDENTALS</b>		
IV-3.1	Hotel Costs	\$ -
IV-3.2	Meal Costs	\$ -
IV-3.3	Incidentals	\$ -
<b>IV-4 POSTAGE</b>		
IV-4.1	Mailings	\$ -
<b>IV-5 REGISTRATION / TRAINING</b>		
IV-5.1	Conference Registration	\$ -
IV-5.2	Meeting / Workshop / Training Fees	\$ -
<b>IV-6 TRAVEL</b>		
IV-6.1	Mileage Reimbursement	\$ -
IV-6.2	Car Rental Costs	\$ -
IV-6.3	Other Travel Expenses	\$ -
<b>V. INDIRECT COSTS</b>		
<b>V-1 INDIRECT COSTS APPROVED BY COGNIZANT AGENCY FY 18-19</b>		
V-1.1	Incurred Indirect Costs	\$ -
<b>TOTAL</b>		
		\$ -



FY 2018-2019  
 PLANNING WORK PROGRAM  
 ANNUAL PROPOSED FUNDING SOURCES TABLE  
 Eastern Carolina Rural Planning Organization  
 (TEMPLATE)

TASK CODE	WORK CATEGORY	RPO PROGRAM FUNDS		
		LOCAL 20%	STATE 80%	TOTAL
<b>I. DATA COLLECTION AND ASSESSMENT</b>				
I-1	<b>DATA COLLECTION AND ASSESSMENT</b>	\$ 1,060	\$ 4,240	\$ 5,300
I-1.1	Highway			
I-1.2	Other Modes			
I-1.3	Socioeconomic			
I-1.4	Title VI			
<b>II. TRANSPORTATION PLANNING</b>				
II-1	<b>CTP DEVELOPMENT</b>	\$ 2,660	\$ 10,640	\$ 13,300
II-1.1	Develop CTP Vision			
II-1.2	Conduct CTP Needs Assessment			
II-1.3	Analyze Alternatives and Environmental Screening			
II-1.4	Develop Final Plan			
II-1.5	Adopt Plan			
II-2	<b>PRIORITIZATION</b>	\$ 3,400	\$ 13,600	\$ 17,000
II-2.1	Project Prioritization			
II-3	<b>PROGRAM AND PROJECT DEVELOPMENT</b>	\$ 1,140	\$ 4,560	\$ 5,700
II-3.1	STIP Participation			
II-3.2	Merger / Project Development			
II-4	<b>GENERAL TRANSPORTATION PLANNING</b>	\$ 3,880	\$ 15,520	\$ 19,400
II-4.1	Regional and Statewide Planning			
II-4.2	Special Studies, Projects and Other Trainings			
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>				
III-1	<b>ADMINISTRATIVE ACTIVITIES</b>	\$ 3,957	\$ 15,830	\$ 19,787
III-1.1	Administrative Documents			
III-1.2	TCC/TAC Work Facilitation; Ethics Compliance			
III-1.3	Program Administration			
<b>IV. DIRECT COSTS</b>				
IV-1	<b>PROGRAMMATIC DIRECT CHARGES</b>	\$ 2,486	\$ 9,945	\$ 12,431
IV-1.1	Program-wide Direct Costs			
IV-2	<b>ADVERTISING</b>	\$ 80	\$ 318	\$ 398
IV-2.1	News Media Ads			
IV-3	<b>LODGING, MEALS, INCIDENTALS</b>	\$ 326	\$ 1,305	\$ 1,631
IV-3.1	Hotel Costs			
IV-3.2	Meal Costs			
IV-3.3	Incidentals			
IV-4	<b>POSTAGE</b>	\$ 20	\$ 80	\$ 100
IV-4.1	Mallings			
IV-5	<b>REGISTRATION / TRAINING</b>	\$ 100	\$ 400	\$ 500
IV-5.1	Conference Registration			
IV-5.2	Meeting / Workshop / Training Fees			
IV-6	<b>TRAVEL</b>	\$ 900	\$ 3,600	\$ 4,500
IV-6.1	Mileage Reimbursement			
IV-6.2	Car Rental Costs			
IV-6.3	Other Travel Expenses			
<b>V. INDIRECT COSTS</b>				
IV-1	<b>INDIRECT COSTS</b>	\$ 6,584	\$ 26,337	\$ 32,921
IV-1.1	Incurred Indirect Costs			
<b>TOTAL</b>		<b>\$ 68,578</b>	<b>\$ 64,390</b>	<b>\$ 132,968</b>

FY 2018-2019  
 QUARTERLY EXPENDITURE SUMMARY  
 Eastern Carolina Rural Planning Organization  
 (TEMPLATE)

RPO Expenditures						
1st QUARTER EXPENDITURES	2nd QUARTER EXPENDITURES	3rd QUARTER EXPENDITURES	% BUDGET SPENT TO DATE	TO DATE EXPENDITURES	BUDGETED AMOUNT	
<b>I. DATA COLLECTION AND ASSESSMENT</b>						
\$ 2,800.43	\$ -	\$ -	52.84%	\$ 2,800.43	\$ 5,300.00	
\$ 791.56	\$ -	\$ -		\$ 791.56		
\$ 1,159.23	\$ -	\$ -		\$ 1,159.23		
\$ 759.68	\$ -	\$ -		\$ 759.68		
\$ 89.96	\$ -	\$ -		\$ 89.96		
<b>II. TRANSPORTATION PLANNING</b>						
\$ 1,122.00	\$ -	\$ -	8.44%	\$ 1,122.00	\$ 13,300.00	
\$ 498.35	\$ -	\$ -		\$ 498.35		
\$ 623.65	\$ -	\$ -		\$ 623.65		
\$ -	\$ -	\$ -		\$ -		
\$ -	\$ -	\$ -		\$ -		
\$ -	\$ -	\$ -		\$ -		
\$ 3,004.56	\$ -	\$ -	17.67%	\$ 3,004.56	\$ 17,000.00	
\$ 3,004.56	\$ -	\$ -		\$ 3,004.56		
\$ 1,604.56	\$ -	\$ -	28.15%	\$ 1,604.56	\$ 5,700.00	
\$ 1,198.58	\$ -	\$ -		\$ 1,198.58		
\$ 405.98	\$ -	\$ -		\$ 405.98		
\$ 4,377.16	\$ -	\$ -	22.56%	\$ 4,377.16	\$ 19,400.00	
\$ 2,498.58	\$ -	\$ -		\$ 2,498.58		
\$ 1,878.58	\$ -	\$ -		\$ 1,878.58		
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>						
\$ 3,158.51	\$ -	\$ -	15.96%	\$ 3,158.51	\$ 19,787.00	
\$ 1,198.58	\$ -	\$ -		\$ 1,198.58		
\$ 1,457.58	\$ -	\$ -		\$ 1,457.58		
\$ 502.35	\$ -	\$ -		\$ 502.35		
<b>IV. DIRECT COSTS</b>						
\$ 2,804.25	\$ -	\$ -	22.56%	\$ 2,804.25	\$ 12,431.00	
\$ 2,804.25	\$ -	\$ -		\$ 2,804.25		
\$ 152.29	\$ -	\$ -	38.26%	\$ 152.29	\$ 398.00	
\$ 152.29	\$ -	\$ -		\$ 152.29		
\$ 432.00	\$ -	\$ -	26.49%	\$ 432.00	\$ 1,631.00	
\$ 279.00	\$ -	\$ -		\$ 279.00		
\$ 153.00	\$ -	\$ -		\$ 153.00		
\$ -	\$ -	\$ -		\$ -		
\$ -	\$ -	\$ -	0.00%	\$ -	\$ 100.00	
\$ -	\$ -	\$ -		\$ -		
\$ -	\$ -	\$ -	0.00%	\$ -	\$ 500.00	
\$ -	\$ -	\$ -		\$ -		
\$ -	\$ -	\$ -		\$ -		
\$ 2,706.15	\$ -	\$ -	60.14%	\$ 2,706.15	\$ 4,500.00	
\$ 2,701.15	\$ -	\$ -		\$ 2,701.15		
\$ -	\$ -	\$ -		\$ -		
\$ 5.00	\$ -	\$ -		\$ 5.00		
<b>V. INDIRECT COSTS</b>						
\$ -	\$ -	\$ -	0.00%	\$ -	\$ 32,921.00	
\$ -	\$ -	\$ -		\$ -		
\$ 22,161.91	\$ -	\$ -	16.67%	\$ 22,161.91	\$ 132,968.00	
\$ 17,729.53	\$ -	\$ -		\$ 17,729.53	\$ 106,374.40	
\$ 4,432.38	\$ -	\$ -		\$ 4,432.38	\$ 26,593.60	

FY 2018-2019  
 PLANNING WORK PROGRAM  
 3rd Quarter Narrative  
 Eastern Carolina Rural Planning Organization  
 (TEMPLATE)

<b>I. DATA COLLECTION AND ASSESSMENT</b>		
<b>I-1 DATA COLLECTION AND ASSESSMENT</b>		
I-1.1	Highway	\$ -
I-1.2	Other Modes	\$ -
I-1.3	Socioeconomic	\$ -
I-1.4	Title VI	\$ -
<b>II. TRANSPORTATION PLANNING</b>		
<b>II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT</b>		
II-1.1	Develop CTP Vision	\$ -
II-1.2	Conduct CTP Needs Assessment	\$ -
II-1.3	Analyze Alternatives and Environmental Screening	\$ -
II-1.4	Develop Final Plan	\$ -
II-1.5	Adopt Plan	\$ -
<b>II-2 PRIORITIZATION</b>		
II-2.1	Project Prioritization	\$ -
<b>II-3 PROGRAM AND PROJECT DEVELOPMENT</b>		
II-3.1	STIP Participation	\$ -
II-3.2	Merger / Project Development	\$ -
<b>II-4 GENERAL TRANSPORTATION PLANNING</b>		
II-4.1	Regional and Statewide Planning	\$ -
II-4.2	Special Studies, Projects and Other Trainings	\$ -
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>		
<b>III-1 ADMINISTRATIVE ACTIVITIES</b>		
III-1.1	Administrative Documents	\$ -
III-1.2	TCC / TAC Work Facilitation; Ethics Compliance	\$ -
III-1.3	Program Administration	\$ -
<b>IV. DIRECT COSTS</b>		
<b>IV-1 PROGRAMMATIC DIRECT CHARGES</b>		
IV-1.1	Program-wide Direct Costs	\$ -
<b>IV-2 ADVERTISING</b>		
IV-2.1	News Media Ads	\$ -
<b>IV-3 LODGING, MEALS, INCIDENTALS</b>		
IV-3.1	Hotel Costs	\$ -
IV-3.2	Meal Costs	\$ -
IV-3.3	Incidentals	\$ -
<b>IV-4 POSTAGE</b>		
IV-4.1	Mailings	\$ -
<b>IV-5 REGISTRATION / TRAINING</b>		
IV-5.1	Conference Registration	\$ -
IV-5.2	Meeting / Workshop / Training Fees	\$ -
<b>IV-6 TRAVEL</b>		
IV-6.1	Mileage Reimbursement	\$ -
IV-6.2	Car Rental Costs	\$ -
IV-6.3	Other Travel Expenses	\$ -
<b>V. INDIRECT COSTS</b>		
<b>V-1 INDIRECT COSTS APPROVED BY COGNIZANT AGENCY FY 18-19</b>		
V-1.1	Incurred Indirect Costs	\$ -
<b>TOTAL</b>		
		\$ -

FY 2018-2019  
**PLANNING WORK PROGRAM**  
**ANNUAL PROPOSED FUNDING SOURCES TABLE**  
 Eastern Carolina Rural Planning Organization  
 (TEMPLATE)

TASK CODE	WORK CATEGORY	RPO PROGRAM FUNDS		
		LOCAL 20%	STATE 80%	TOTAL
<b>I. DATA COLLECTION AND ASSESSMENT</b>				
I-1	<b>DATA COLLECTION AND ASSESSMENT</b>	\$ 1,060	\$ 4,240	\$ 5,300
I-1.1	Highway			
I-1.2	Other Modes			
I-1.3	Socioeconomic			
I-1.4	Title VI			
<b>II. TRANSPORTATION PLANNING</b>				
II-1	<b>CTP DEVELOPMENT</b>	\$ 2,660	\$ 10,640	\$ 13,300
II-1.1	Develop CTP Vision			
II-1.2	Conduct CTP Needs Assessment			
II-1.3	Analyze Alternatives and Environmental Screening			
II-1.4	Develop Final Plan			
II-1.5	Adopt Plan			
II-2	<b>PRIORITIZATION</b>	\$ 3,400	\$ 13,600	\$ 17,000
II-2.1	Project Prioritization			
II-3	<b>PROGRAM AND PROJECT DEVELOPMENT</b>	\$ 1,140	\$ 4,560	\$ 5,700
II-3.1	STIP Participation			
II-3.2	Merger / Project Development			
II-4	<b>GENERAL TRANSPORTATION PLANNING</b>	\$ 3,880	\$ 15,520	\$ 19,400
II-4.1	Regional and Statewide Planning			
II-4.2	Special Studies, Projects and Other Trainings			
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>				
III-1	<b>ADMINISTRATIVE ACTIVITIES</b>	\$ 3,957	\$ 15,830	\$ 19,787
III-1.1	Administrative Documents			
III-1.2	TC/TAC Work Facilitation; Ethics Compliance			
III-1.3	Program Administration			
<b>IV. DIRECT COSTS</b>				
IV-1	<b>PROGRAMMATIC DIRECT CHARGES</b>	\$ 2,486	\$ 9,945	\$ 12,431
IV-1.1	Program-wide Direct Costs			
IV-2	<b>ADVERTISING</b>	\$ 80	\$ 318	\$ 398
IV-2.1	News Media Ads			
IV-3	<b>LODGING, MEALS, INCIDENTALS</b>	\$ 326	\$ 1,305	\$ 1,631
IV-3.1	Hotel Costs			
IV-3.2	Meal Costs			
IV-3.3	Incidentals			
IV-4	<b>POSTAGE</b>	\$ 20	\$ 80	\$ 100
IV-4.1	Mailings			
IV-5	<b>REGISTRATION / TRAINING</b>	\$ 100	\$ 400	\$ 500
IV-5.1	Conference Registration			
IV-5.2	Meeting / Workshop / Training Fees			
IV-6	<b>TRAVEL</b>	\$ 900	\$ 3,600	\$ 4,500
IV-6.1	Mileage Reimbursement			
IV-6.2	Car Rental Costs			
IV-6.3	Other Travel Expenses			
<b>V. INDIRECT COSTS</b>				
IV-1	<b>INDIRECT COSTS</b>	\$ 6,584	\$ 26,337	\$ 32,921
IV-1.1	Incurred Indirect Costs			
<b>TOTAL</b>		<b>\$ 68,578</b>	<b>\$ 64,390</b>	<b>\$ 132,968</b>

FY 2018-2019  
**QUARTERLY EXPENDITURE SUMMARY**  
 Eastern Carolina Rural Planning Organization  
 (TEMPLATE)

	RPO Expenditures				% BUDGET SPENT TO DATE	TO DATE EXPENDITURES	BUDGETED AMOUNT
	1st QUARTER EXPENDITURES	2nd QUARTER EXPENDITURES	3rd QUARTER EXPENDITURES	4th QUARTER EXPENDITURES			
<b>I. DATA COLLECTION AND ASSESSMENT</b>							
	\$ 2,800.43	\$ -	\$ -	\$ -	52.84%	\$ 2,800.43	\$ 5,300.00
	\$ 791.56	\$ -	\$ -	\$ -		\$ 791.56	
	\$ 1,159.23	\$ -	\$ -	\$ -		\$ 1,159.23	
	\$ 759.68	\$ -	\$ -	\$ -		\$ 759.68	
	\$ 89.96	\$ -	\$ -	\$ -		\$ 89.96	
<b>II. TRANSPORTATION PLANNING</b>							
	\$ 1,122.00	\$ -	\$ -	\$ -	8.44%	\$ 1,122.00	\$ 13,300.00
	\$ 498.35	\$ -	\$ -	\$ -		\$ 498.35	
	\$ 623.65	\$ -	\$ -	\$ -		\$ 623.65	
	\$ -	\$ -	\$ -	\$ -		\$ -	
	\$ -	\$ -	\$ -	\$ -		\$ -	
	\$ -	\$ -	\$ -	\$ -		\$ -	
	\$ -	\$ -	\$ -	\$ -		\$ -	
	\$ 3,004.56	\$ -	\$ -	\$ -	17.67%	\$ 3,004.56	\$ 17,000.00
	\$ 3,004.56	\$ -	\$ -	\$ -		\$ 3,004.56	
	\$ 1,604.56	\$ -	\$ -	\$ -	28.15%	\$ 1,604.56	\$ 5,700.00
	\$ 1,198.58	\$ -	\$ -	\$ -		\$ 1,198.58	
	\$ 405.98	\$ -	\$ -	\$ -		\$ 405.98	
	\$ 4,377.16	\$ -	\$ -	\$ -	22.56%	\$ 4,377.16	\$ 19,400.00
	\$ 2,498.58	\$ -	\$ -	\$ -		\$ 2,498.58	
	\$ 1,878.58	\$ -	\$ -	\$ -		\$ 1,878.58	
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>							
	\$ 3,158.51	\$ -	\$ -	\$ -	15.96%	\$ 3,158.51	\$ 19,787.00
	\$ 1,198.58	\$ -	\$ -	\$ -		\$ 1,198.58	
	\$ 1,457.58	\$ -	\$ -	\$ -		\$ 1,457.58	
	\$ 502.35	\$ -	\$ -	\$ -		\$ 502.35	
<b>IV. DIRECT COSTS</b>							
	\$ 2,804.25	\$ -	\$ -	\$ -	22.56%	\$ 2,804.25	\$ 12,431.00
	\$ 2,804.25	\$ -	\$ -	\$ -		\$ 2,804.25	
	\$ 152.29	\$ -	\$ -	\$ -	38.26%	\$ 152.29	\$ 398.00
	\$ 152.29	\$ -	\$ -	\$ -		\$ 152.29	
	\$ 432.00	\$ -	\$ -	\$ -	26.49%	\$ 432.00	\$ 1,631.00
	\$ 279.00	\$ -	\$ -	\$ -		\$ 279.00	
	\$ 153.00	\$ -	\$ -	\$ -		\$ 153.00	
	\$ -	\$ -	\$ -	\$ -		\$ -	
	\$ -	\$ -	\$ -	\$ -	0.00%	\$ -	\$ 100.00
	\$ -	\$ -	\$ -	\$ -		\$ -	
	\$ -	\$ -	\$ -	\$ -	0.00%	\$ -	\$ 500.00
	\$ -	\$ -	\$ -	\$ -		\$ -	
	\$ -	\$ -	\$ -	\$ -		\$ -	
	\$ 2,706.15	\$ -	\$ -	\$ -	60.14%	\$ 2,706.15	\$ 4,500.00
	\$ 2,701.15	\$ -	\$ -	\$ -		\$ 2,701.15	
	\$ -	\$ -	\$ -	\$ -		\$ -	
	\$ 5.00	\$ -	\$ -	\$ -		\$ 5.00	
<b>V. INDIRECT COSTS</b>							
	\$ -	\$ -	\$ -	\$ -	0.00%	\$ -	\$ 32,921.00
	\$ -	\$ -	\$ -	\$ -		\$ -	
<b>Total:</b>	\$ 22,161.91	\$ -	\$ -	\$ -	16.67%	\$ 22,161.91	\$ 132,968.00
<b>NCDOT Share:</b>	\$ 17,729.53	\$ -	\$ -	\$ -		\$ 17,729.53	\$ 106,374.40
<b>Local Share:</b>	\$ 4,432.38	\$ -	\$ -	\$ -		\$ 4,432.38	\$ 26,593.60

FY 2018-2019  
 PLANNING WORK PROGRAM  
 4th Quarter Narrative  
 Eastern Carolina Rural Planning Organization  
 (TEMPLATE)

<b>I. DATA COLLECTION AND ASSESSMENT</b>		
<b>I-1 DATA COLLECTION AND ASSESSMENT</b>		\$ -
I-1.1	Highway	\$ -
I-1.2	Other Modes	\$ -
I-1.3	Socioeconomic	\$ -
I-1.4	Title VI	\$ -
<b>II. TRANSPORTATION PLANNING</b>		
<b>II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT</b>		#REF!
II-1.1	Develop CTP Vision	\$ -
II-1.2	Conduct CTP Needs Assessment	\$ -
II-1.3	Analyze Alternatives and Environmental Screening	\$ -
II-1.4	Develop Final Plan	\$ -
II-1.5	Adopt Plan	\$ -
<b>II-2 PRIORITIZATION</b>		\$ -
II-2.1	Project Prioritization	\$ -
<b>II-3 PROGRAM AND PROJECT DEVELOPMENT</b>		\$ -
II-3.1	STIP Participation	\$ -
II-3.2	Merger / Project Development	\$ -
<b>II-4 GENERAL TRANSPORTATION PLANNING</b>		\$ -
II-4.1	Regional and Statewide Planning	\$ -
II-4.2	Special Studies, Projects and Other Trainings	\$ -
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>		
<b>III-1 ADMINISTRATIVE ACTIVITIES</b>		\$ -
III-1.1	Administrative Documents	\$ -
III-1.2	TCC / TAC Work Facilitation; Ethics Compliance	\$ -
III-1.3	Program Administration	\$ -
<b>IV. DIRECT COSTS</b>		
<b>IV-1 PROGRAMMATIC DIRECT CHARGES</b>		\$ -
IV-1.1	Program-wide Direct Costs	\$ -
<b>IV-2 ADVERTISING</b>		\$ -
IV-2.1	News Media Ads	\$ -
<b>IV-3 LODGING, MEALS, INCIDENTALS</b>		\$ -
IV-3.1	Hotel Costs	\$ -
IV-3.2	Meal Costs	\$ -
IV-3.3	Incidentals	\$ -
<b>IV-4 POSTAGE</b>		\$ -
IV-4.1	Mailings	\$ -
<b>IV-5 REGISTRATION / TRAINING</b>		\$ -
IV-5.1	Conference Registration	\$ -
IV-5.2	Meeting / Workshop / Training Fees	\$ -
<b>IV-6 TRAVEL</b>		\$ -
IV-6.1	Mileage Reimbursement	\$ -
IV-6.2	Car Rental Costs	\$ -
IV-6.3	Other Travel Expenses	\$ -
<b>V. INDIRECT COSTS</b>		
<b>V-1 INDIRECT COSTS APPROVED BY COGNIZANT AGENCY FY 18-19</b>		\$ -
V-1.1	Incurred Indirect Costs	\$ -
<b>TOTAL</b>		\$ -

**FY 2018-2019  
PLANNING WORK PROGRAM  
Yearly Narrative  
Eastern Carolina Rural Planning Organization  
(TEMPLATE)**

**I. DATA COLLECTION AND ASSESSMENT**

**I-1 DATA COLLECTION AND ASSESSMENT**

I-1.1 Highway

I-1.2 Other Modes

I-1.3 Socioeconomic

I-1.4 Title VI

**II. TRANSPORTATION PLANNING**

**II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT**

II-1.1 Develop CTP Vision

II-1.2 Conduct CTP Needs Assessment

II-1.3 Analyze Alternatives and Environmental Screening

II-1.4 Develop Final Plan

II-1.5 Adopt Plan

**II-2 PRIORITIZATION**

II-2.1 Project Prioritization

**II-3 PROGRAM AND PROJECT DEVELOPMENT**

II-3.1 STIP Participation

II-3.2 Merger / Project Development

**II-4 GENERAL TRANSPORTATION PLANNING**

II-4.1 Regional and Statewide Planning

II-4.2 Special Studies, Projects and Other Trainings

**III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES**

**III-1 ADMINISTRATIVE ACTIVITIES**

III-1.1 Administrative Documents

III-1.2 TCC / TAC Work Facilitation; Ethics Compliance

III-1.3 Program Administration

## **IV. DIRECT COSTS**

### **IV-1 PROGRAMMATIC DIRECT CHARGES**

**IV-1.1 Program-wide Direct Costs**

### **IV-2 ADVERTISING**

**IV-2.1 News Media Ads**

### **IV-3 LODGING, MEALS, INCIDENTALS**

**IV-3.1 Hotel Costs**

**IV-3.2 Meal Costs**

**IV-3.3 Incidentals**

### **IV-4 POSTAGE**

**IV-4.1 Mailings**

### **IV-5 REGISTRATION / TRAINING**

**IV-5.1 Conference Registration**

**IV-5.2 Meeting / Workshop / Training Fees**

### **IV-6 TRAVEL**

**IV-6.1 Mileage Reimbursement**

**IV-6.2 Car Rental Costs**

**IV-6.3 Other Travel Expenses**

## **V. INDIRECT COSTS**

### **V-1 INDIRECT COSTS APPROVED BY COGNIZANT AGENCY FY 18-19**

**V-1.1 Incurred Indirect Costs**

## **TOTAL**

\$ 2,800.43  
\$ 791.56

\$ 1,159.23

\$ 759.68

\$ 89.96

\$ 1,122.00  
\$ 498.35

\$ 623.65

\$ -

\$ -

\$ -

\$ 3,004.56  
\$ 3,004.56

\$ 1,604.56  
\$ 1,198.58

\$ 405.98

\$ 4,377.16  
\$ 2,498.58

\$ 1,878.58

\$ 3,158.51  
\$ 1,198.58

\$ 1,457.58

\$ 502.35

\$ 2,804.25  
\$ 2,804.25

\$ 152.29  
\$ 152.29

\$ 432.00  
\$ 279.00

\$ 153.00

\$ -

\$ -  
\$ -

\$ -  
\$ -

\$ -

\$ 2,706.15  
\$ 2,701.15

\$ -

\$ 5.00

\$ -  
\$ -

\$ 22,161.91



## Examples of Activities in Categories

### ***I. DATA COLLECTION AND ASSESSMENT***

#### **I-1 DATA COLLECTION AND ASSESSMENT**

##### **I-1.1 Highway**

- CTP Inventory and Assessment
- Parking Inventories
- Vehicle Occupancy Rates (VOR) Counts and Assessment
- Traffic Volume Counts and Assessment
- Crash Data and Assessment

##### **I-1.2 Non-Highway**

- Bicycle and Pedestrian Inventory and Assessment
- Traffic Volume Counts and Assessment
- Public Transportation Service Data and Assessment
- Multimodal Data Collection and Assessment
- Freight Data Collection and Assessment

##### **I-1.3 Socioeconomic**

- Socioeconomic Data Inventory
- Environmental and Land use Data Inventory and Assessment
- Demographic Data Collection and Assessment

##### **I-1.4 Title VI**

- RPO Affirmation of Title VI Compliance
- Transportation Initiatives and ADA Compliance
- Environmental Justice Assessment
- Limited English Proficiency (LEP) Assessment

### ***II. TRANSPORTATION PLANNING***

#### **II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT**

##### **II-1.1 Develop CTP Vision**

- CTP Study Setup
- Local CTP Vision

##### **II-1.2 Conduct CTP Needs Assessment**

- Data Collection and Assessment
- Current and Future Year Data Endorsements
- Deficiency Assessment

##### **II-1.3 Analyze Alternatives and Environmental Screening**

- Alternatives Assessment
- Local Alternative Consensus

##### **II-1.4 Develop Final Plan**

- Develop CTP Maps
- Local Endorsement

## **II-1.5 Adopt Plan**

- CTP Document
- CTP and Local Land Use Revisions
- Development of Local Implementation Strategies

## **II-2 PRIORITIZATION**

- Project Prioritization

## **II-3 PROGRAM AND PROJECT DEVELOPMENT**

### **II-3.1 STIP Participation**

### **II-3.2 Merger / Project Development**

- Purpose and Need Data
- Public Involvement Strategies
- Meeting Attendance
- Review and Comment
- Indirect and Cumulative Effects

## **II-4 GENERAL TRANSPORTATION PLANNING**

### **II-4.1 Regional and Statewide Planning**

### **II-4.2 Special Studies, Projects and Other Training**

## **III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES**

### **III-1 ADMINISTRATIVE ACTIVITIES**

#### **III-1.1 Administrative Documents**

- Planning Work Program
- 5-Year Planning Calendar
- Quarterly Invoice and Progress Reports

#### **III-1.2 TCC/TAC Work Facilitation; Ethics Compliance**

- Preparing for and holding Meetings
- Ethics Compliance Activities
- Regulatory Documents

#### **III-1.3 Program Expenses**

## **IV. DIRECT COSTS**

### **IV-1 PROGRAMMATIC DIRECT CHARGES**

#### **IV-1.1 Program-wide Direct Costs**

- Communications
  - cell phone
  - communications
  - telecom
  - telephone
  - telephone and internet

- telephone, cell service
- telephone/postage
- broadband

#### Dues and Subscriptions

- dues and subscriptions
- dues/memberships

#### Equipment

- capital equipment
- equipment - capital outlay
- equipment maintenance and repair
- equipment maintenance
- equipment rent
- copier
- computer costs
- maintenance and repair

#### Insurance

- insurance
- insurance and bonding

#### Occupancy Cost

- building rent
- cost of space
- occupancy
- occupancy expense
- rent
- building maintenance
- maintenance and repair
- utilities

#### Professional Services

- audit
- professional services

#### Supplies

- copier costs/paper
- office supplies
- supplies
- special materials
- printing
- printing, dues

#### IT

- IT
- IT system administration
- CPU services, licensing & fees
- computer services
- contracted (computer/phone)

### **IV-1.2 Advertising**

- advertising
- news media legal ads

### **IV-1.3 Lodging, Meals, Incidentals**

- lodging

lodging and meals  
meals  
hotels, meals, incidentals  
parking expense

#### **IV-1.4 Postage**

postage  
shipping

#### **IV-1.5 Registration/Training**

meeting expense  
meeting expense and conference registration  
meetings and registration  
registration fees  
registration/travel  
employee and board training  
training

#### **IV-1.6 Travel**

travel  
travel - other  
travel and training  
training and travel  
vehicles usage  
mileage and auto allowance  
mileage expense

### ***V. INDIRECT COSTS***

#### **V-1 INDIRECT COSTS APPROVED BY COGNIZAT AGENT FY 18-19**

##### **V-1.1 Incurred Indirect Costs**

## Instructions on Accessing the List and setting Alerts.

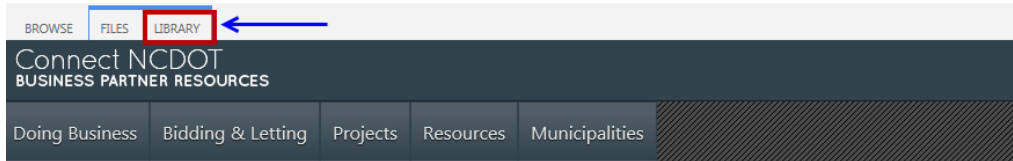
1. Click on Documents by Organization located in the Navigation on the left.

The screenshot shows the top navigation bar with the text "Connect NCDOT BUSINESS PARTNER RESOURCES" and a menu with items: "Doing Business", "Bidding & Letting", "Projects", and "Resources". Below this is a red heading "MPO and RPO Planning Grants" followed by a sub-heading "MPO". A breadcrumb trail reads "Connect NCDOT > MPO and RPO Planning Grants". On the left, a sidebar menu lists several options, with "Documents by Organization" highlighted by a green box. On the right, a partial view of a sidebar shows "MPO al" and a list of municipalities including "Albema" and "Burlingt".

2. Then click on Docs-Approval Required to open the Library.

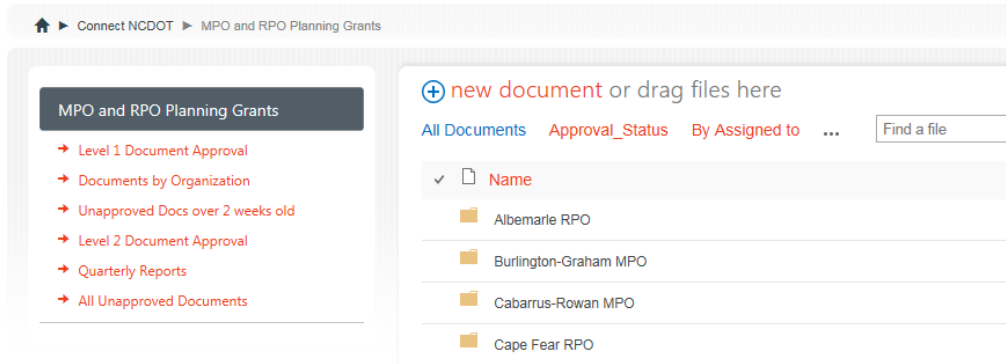
The screenshot shows the top navigation bar with the text "Connect NCDOT BUSINESS PARTNER RESOURCES" and a menu with items: "Doing Business", "Bidding & Letting", "Projects", "Resources", and "Municipalities". Below this is a red heading "MPO and RPO Planning Grants" followed by a sub-heading "SelOrg". A breadcrumb trail reads "Connect NCDOT > MPO and RPO Planning Grants > Documents by Organization". On the left, a sidebar menu lists several options, with "Documents by Organization" highlighted by a green box. On the right, a section titled "Documents by Organization" contains the instruction "Select Organization on the right t" and a sub-section "Docs - Approval Required" highlighted by a green box. Below this, there is a table header with columns for "Edit", "Name", and "L1 Approval".

### 3. In the list click on the Library tab located top left.

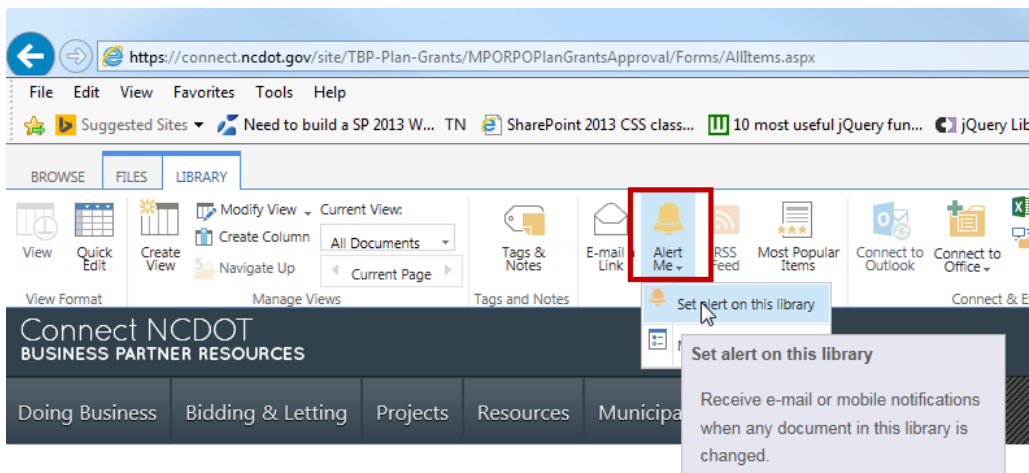


### MPO and RPO Planning Grants > MPORPOPlanGrants-Approval

MPO and RPO Planning Grants documents that require Approval



### 4. Click on Alert Me and then Set alert on this library.



### MPO and RPO Planning Grants > MPORPOPlanGrants-Approval

MPO and RPO Planning Grants documents that require Approval



## 5. Fill out the form and click ok at the bottom.

### MPORPOPLANGRANTS-APPROVAL - NEW ALERT

#### Alert Title

Enter the title for this alert. This is included in the subject of the notification sent for this alert.

#### Send Alerts To

You can enter user names or e-mail addresses. Separate them with semicolons.

Users:

#### Delivery Method

Specify how you want the alerts delivered.

Send me alerts by:

- E-mail
- Text Message (SMS)
- Send URL in text message (SMS)

#### Change Type

Specify the type of changes that you want to be alerted to.

Only send me alerts when:

- All changes
- New items are added
- Existing items are modified
- Items are deleted

#### Send Alerts for These Changes

Specify whether to filter alerts based on specific criteria. You may also restrict your alerts to only include items that show in a particular view.

Send me an alert when:

- Anything changes
- Someone else changes a document
- Someone else changes a document created by me
- Someone else changes a document last modified by me
- Someone changes an item that appears in the following view:

#### When to Send Alerts

Specify how frequently you want to be alerted. (mobile alert is only available for immediately send)

- Send notification immediately
- Send a daily summary
- Send a weekly summary

Time:

Tuesday

## 6. You will receive a notice via email that you have added an alert.

## 7. Repeat from Step 2 to set an alert on the 'Docs - No Approval Required' Library.

## Quarterly Invoice

The Quarterly Invoice Package is a standard set of documents that details the LPA request for reimbursement of eligible RPO expenses for the quarter with a breakdown of direct and indirect costs. The quarterly expenditures table highlights the transportation planning work accomplished by the LPA for the last quarter and identifies the resulting planning work products.

The TPD RPO Coordinator receives the invoice from the RPO through the Grant site (you may receive your deliverables through a different means). The TPD RPO Coordinator should receive an email (their supervisor will also receive the same approval email) asking them to review and approve the document and connects to the teamsite via: <https://connect.ncdot.gov/site/TBP-Plan-Grants/Pages/default.aspx>. **Note: You should make sure you have [set up your alerts](#) correctly.**

### ■ Items needed to be submitted quarterly:

- Quarterly Invoice Cover letter** – See the sample “Quarterly Invoice Cover Letter” document in S:\Shared\TPB Temporary\RPOs\RPO Quarterly Invoice Training Materials FY 18-19
- Quarterly Invoice** – Usually from the LPA finance officer, presentation of this invoice will vary among LPA’s
- Expense Report** The PWP with four quarters and amendments tracked in the “PWP & Amendment’s” tab and with correct “Q Expenditures” and “Q Narrative” tab’s completed. All previous quarters should also be a part of the document.
- RPO TAC Roster**

### Overview of processing procedure:

- The TPD Coordinator downloads the signed invoice cover letter and PWP Expense Report at: **S:\Shared\TPB Temporary\RPOs\RPO Invoices\_FY 18-19**.
- The TPD Coordinator reviews the quarterly invoice package.
- TPD Coordinator then approves the invoice using the Grant Site work flow. Also, send an email with a single, combined PDF with the following to Unit Head (Brian Wert) for approval:
  - RPO Approval Letter
  - Quarterly Invoice Cover Letter
  - Quarterly Invoice
  - Expense Report
    - PWP & Amendments Tab, PWP Narrative Tab, Q Expenditures Tab, Q Narrative Tab
- (The TPD Coordinator may also reject the invoice due to errors or missing information. This will start new workflow. )
- The TPD RPO Coordinator will need to write, sign, and scan the RPO Approval Letter (**S:\Shared\TPB Temporary\RPOs\RPO Quarterly Invoice Training Materials FY 18-19**) and post an e-copy the same day as the online approval) on: **S:\Shared\TPB Temporary\RPOs\RPO Invoices\_FY 18-19**
- The TPD Coordinator must process the invoice within 10 business days!



**Cover Letter Checklist:**

- Check if the amount shown on the front matches the amount shown in the actual invoice.  
**Note:** The invoiced should not be rounded.
- Be sure to verify the math on the spreadsheet to ensure all the \$ amounts are calculated correctly (includes 80/20 split, yeat-to-date expenditures).
- The RPO pays a 20% match, the NCDOT covers 80% of the cost.
- Check to make sure the invoice number in the cover letter matches the actual invoice number.
- Check to make sure they have the correct expense time period dates and quarter listed
  - Sometimes the old quarter letter is used as the starting point for the new quarter, and some items are overlooked and not updated – this is true for the letter you write for the invoice approval also
  - The invoice date on the cover letters needs to be after the quarter’s dates which the RPO is invoicing for.
    - E.g. Q4: April 1, 2018-June 30, 2018. Date on the invoice needs to be July 1, 2018 or after.
- Check to verify the percentages of individuals work that is being accounted for within the RPO for the quarter.
  - E.g. Patrick Flanagan spent 90% of his time and Leighann Morgan spent 10% of her time on the Down East RPO in the 1st quarter.
  - This percentage can exceed 100% due to how the RPO is set up within the LPA.
- Check to make sure the following language is on the cover letter: **“This is to certify that LPA has conflict of interest statements on file with respect to purchases of goods and services and is not using vendors that have been debarred by Federal, State or local governments.”**

As a result of MPO/RPO compliance audit for Fiscal Year 2013, all LPAs are now required to have procedures in place to annually verify that vendors providing goods and services under a project to their MPO/RPO have not been suspended or debarred by the Federal, State or City/County Government. The adherence to the procurement, suspension, and debarment procedure will be reviewed through the annual auditing process.

Each LPA is required to comply with 49CFR 18.35 which requires entities to not make any award or permit any award at any tier to any party which is debarred or suspended or is otherwise excluded from or ineligible for participation in Federal assistance programs under

Executive Order 12549, "Debarment and Suspension." The LPA must maintain conflict of interest statements with respect to purchases of goods and services.

- Invoices need to be signed by the chief financial officer of the LPA.
- Makes sure the WBS and Contract Number are correct. (Check the TPD WBS and Contract Number list, provided annually). Saved in **S:\Shared\TPB Temporary\RPOs\RPO Invoices\_FY 18-19.**

**Expense Report Checklist:**

- Check if the total amount invoiced is less than the total amount budgeted for year.

# Invoice Creation Examples

PWP Targets  
Can be rounded

Actual Expenditures  
Should not be rounded

RPO PROGRAM FUNDS				RPO Expenditures			
WORK CATEGORY	LOCAL 20%	STATE 80%	TOTAL	QUARTERLY EXPENDITURES	% BUDGET SPENT TO DATE	TO DATE EXPENDITURES	BUDGETED AMOUNT
<b>I. DATA COLLECTION AND ASSESSMENT</b>							
<b>I.1 DATA COLLECTION AND ASSESSMENT</b>	\$ 1,660	\$ 4,240	\$ 5,900	\$ 5,900.00	100.00%	\$ 5,900.00	\$ 5,900.00
I.1.1 Highway				\$ 791.50		\$ 791.50	
I.1.2 Other Modes				\$ 1,159.23		\$ 1,159.23	
I.1.3 Socioeconomic				\$ 709.00		\$ 709.00	
I.1.4 Title VI				\$ 69.96		\$ 69.96	
<b>II. TRANSPORTATION PLANNING</b>							
<b>II.1 CTP DEVELOPMENT</b>	\$ 2,660	\$ 10,640	\$ 13,300	\$ 1,122.00	8.44%	\$ 1,122.00	\$ 13,300.00
II.1.1 Develop CTP Vision				\$ 490.20		\$ 490.20	
II.1.2 Conduct CTP Needs Assessment				\$ 623.65		\$ 623.65	
II.1.3 Analyze Alternatives and Environmental Screening				\$ -		\$ -	
II.1.4 Develop Final Plan				\$ -		\$ -	
II.1.5 Adopt Plan				\$ -		\$ -	
<b>II.2 PRIORITIZATION</b>	\$ 3,400	\$ 13,600	\$ 17,000	\$ 3,004.56	17.67%	\$ 3,004.56	\$ 17,000.00
II.2.1 Project Prioritization				\$ 3,004.56		\$ 3,004.56	
<b>II.3 PROGRAM AND PROJECT DEVELOPMENT</b>	\$ 1,140	\$ 4,860	\$ 6,000	\$ 1,604.56	26.74%	\$ 1,604.56	\$ 6,000.00
II.3.1 STIP Participation				\$ 1,156.50		\$ 1,156.50	
II.3.2 Monitor Project Development				\$ 400.90		\$ 400.90	
<b>II.4 GENERAL TRANSPORTATION PLANNING</b>	\$ 3,890	\$ 15,520	\$ 19,410	\$ 4,377.18	22.56%	\$ 4,377.18	\$ 19,410.00
II.4.1 Regional and Statewide Planning				\$ 2,468.08		\$ 2,468.08	
II.4.2 Special Studies, Projects and Other Transport				\$ 1,878.58		\$ 1,878.58	
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>							
<b>III.1 ADMINISTRATIVE ACTIVITIES</b>	\$ 3,057	\$ 15,830	\$ 19,787	\$ 2,188.81	11.06%	\$ 2,188.81	\$ 19,787.00
III.1.1 Administrative Documents				\$ 1,198.08		\$ 1,198.08	
III.1.2 EIT/TAC Work Facilitation Ethics Compliance				\$ 1,874.50		\$ 1,874.50	
III.1.3 Program Administration				\$ 92.23		\$ 92.23	
<b>IV. DIRECT COSTS</b>							
<b>IV.1 PROGRAMMATIC DIRECT CHARGES</b>	\$ 2,495	\$ 9,945	\$ 12,440	\$ 2,804.25	22.56%	\$ 2,804.25	\$ 12,440.00
IV.1.1 Program-able Direct Costs				\$ 2,804.25		\$ 2,804.25	
<b>IV.2 ADVERTISING</b>	\$ 80	\$ 318	\$ 398	\$ 182.29	45.80%	\$ 182.29	\$ 398.00
IV.2.1 News Media Ads				\$ 182.29		\$ 182.29	
<b>IV.3 LODGING, MEALS, INCIDENTALS</b>	\$ 76	\$ 1,305	\$ 1,381	\$ 439.50	31.82%	\$ 439.50	\$ 1,381.00
IV.3.1 Travel Costs				\$ 279.00		\$ 279.00	
IV.3.2 Meal Costs				\$ 160.50		\$ 160.50	

Remember \$5,000 allowable difference for PWP amendment

# Q1 Expenditures Tab

TASK CODE	WORK CATEGORY	RPO PROGRAM FUNDS			RPO Expenditures			
		LOCAL 20%	STATE 80%	TOTAL	1st QUARTER EXPENDITURES	% BUDGET SPENT TO DATE	TO DATE EXPENDITURES	BUDGETED AMOUNT
<b>I. DATA COLLECTION AND ASSESSMENT</b>		<b>I. DATA COLLECTION AND ASSESSMENT</b>						
I-1	DATA COLLECTION AND ASSESSMENT	\$ 1,060	\$ 4,240	\$ 5,300	\$ 2,800.43	52.84%	\$ 2,800.43	\$ 5,300.00
I-1.1	Highway				\$ 791.56		\$ 791.56	
I-1.2	Other Modes				\$ 1,159.23		\$ 1,159.23	
I-1.3	Socioeconomic				\$ 759.68		\$ 759.68	
I-1.4	Table VI				\$ 80.96		\$ 80.96	
<b>II. TRANSPORTATION PLANNING</b>		<b>II. TRANSPORTATION PLANNING</b>						
II-1	CTP DEVELOPMENT	\$ 2,660	\$ 10,640	\$ 13,300	\$ 1,122.00	8.44%	\$ 1,122.00	\$ 13,300.00
II-1.1	Develop CTP Vision				\$ 498.35		\$ 498.35	
II-1.2	Conduct CTP Needs Assessment				\$ 623.65		\$ 623.65	
II-1.3	Analyze Alternatives and Environmental Screening				\$ -		\$ -	
II-1.4	Develop Final Plan				\$ -		\$ -	
II-1.5	Adopt Plan				\$ -		\$ -	
II-2	PRIORITIZATION	\$ 3,400	\$ 13,600	\$ 17,000	\$ 3,004.56	17.67%	\$ 3,004.56	\$ 17,000.00
II-2.1	Project Prioritization				\$ 3,004.56		\$ 3,004.56	
II-3	PROGRAM AND PROJECT DEVELOPMENT	\$ 1,140	\$ 4,560	\$ 5,700	\$ 1,604.26	28.16%	\$ 1,604.26	\$ 5,700.00
II-3.1	STIP Participation				\$ 1,198.58		\$ 1,198.58	
II-3.2	Merger / Project Development				\$ 405.95		\$ 405.95	
II-4	GENERAL TRANSPORTATION PLANNING	\$ 3,880	\$ 15,520	\$ 19,400	\$ 4,377.16	22.56%	\$ 4,377.16	\$ 19,400.00
II-4.1	Regional and Statewide Planning				\$ 2,498.58		\$ 2,498.58	
II-4.2	Special Studies, Projects and Other Trainings				\$ 1,878.58		\$ 1,878.58	
<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING AND POLICIES</b>		<b>III. ADMINISTRATION OF TRANSPORTATION PLANNING</b>						
III-1	ADMINISTRATIVE ACTIVITIES	\$ 3,957	\$ 15,830	\$ 19,787	\$ 3,158.51	15.96%	\$ 3,158.51	\$ 19,787.00
III-1.1	Administrative Documents				\$ 1,198.58		\$ 1,198.58	
III-1.2	TCC/TAC Work Facilitation; Ethics Compliance				\$ 1,457.58		\$ 1,457.58	
III-1.3	Program Administration				\$ 502.35		\$ 502.35	
<b>IV. DIRECT COSTS</b>		<b>IV. DIRECT COSTS</b>						
IV-1	PROGRAMMATIC DIRECT CHARGES	\$ 2,486	\$ 9,945	\$ 12,431	\$ 2,804.25	22.56%	\$ 2,804.25	\$ 12,431.00
IV-1.1	Program-wide Direct Costs				\$ 2,804.25		\$ 2,804.25	
IV-2	ADVERTISING	\$ 80	\$ 318	\$ 398	\$ 152.29	38.26%	\$ 152.29	\$ 398.00
IV-2.1	News Media Ads				\$ 152.29		\$ 152.29	
IV-3	LODGING, MEALS, INCIDENTALS	\$ 326	\$ 1,305	\$ 1,631	\$ 432.00	26.49%	\$ 432.00	\$ 1,631.00
IV-3.1	Hotel Costs				\$ 279.00		\$ 279.00	

- Check if the QUARTER EXPENDITURES for each category line item (not task line item) is less than or equal to the "TO DATE EXPENDITURES" budgeted amount. Category line items may exceed the budgeted amount up to \$5,000, if approved by the coordinator and there is not a substantial change in the scope of work. ***In no instance can the overall budget for the year be exceeded.***
- These dollar amounts should not be rounded figures, they should accurately reflect the hours worked on items.

# Q1 Narrative Tab

A	B	C
1	FY 2018-2019	
2	PLANNING WORK PROGRAM	
3	1st Quarter Narrative	
4	Eastern Carolina Rural Planning Organization	
5	(TEMPLATE)	
6	<b>I. DATA COLLECTION AND ASSESSMENT</b>	
7	<b>I-1 DATA COLLECTION AND ASSESSMENT</b>	\$ 2,800.43
8	I.1.1 Highway	\$ 791.58
9	Traffic Counts on US-117 (100%)	
10	I.1.2 Other Modes	\$ 1,159.23
11	- Attend Mount Olive Bike Plan Meeting (7/31/18 - Mount Olive)	
12	- Assist Duplin Co. Transit with Build Grant Application (100%)	
13	I.1.3 Socioeconomic	\$ 759.68
14	Verify Employment Data (30%)	
15	I.1.4 Title VI	\$ 89.96
16	Prepare Title VI Draft (20%)	
17	<b>II. TRANSPORTATION PLANNING</b>	
18	<b>II-1 COMPREHENSIVE TRANSPORTATION PLAN (CTP) DEVELOPMENT</b>	\$ 1,122.00
19	II.1.1 Develop CTP Vision	\$ 498.35
20	Develop Vision and Goals Survey (100%)	
21	II.1.2 Conduct CTP Needs Assessment	\$ 623.65
22	Duplin Co. CTP Steering Committee Meeting (Keanansville - 8/14/18)	
23	II.1.3 Analyze Alternatives and Environmental Screening	\$ -
24	II.1.4 Develop Final Plan	\$ -
25	II.1.5 Adopt Plan	\$ -
26		
27	<b>II-2 PRIORITIZATION</b>	\$ 3,004.58
28	II.2.1 Project Prioritization	\$ 3,004.58
29	Develop Division Scores with TCC Subcommittee (LaGrange - 9/5/18 - 80%)	
30		
31	<b>II-3 PROGRAM AND PROJECT DEVELOPMENT</b>	\$ 1,904.58
32	II.3.1 STIP Participation	\$ 1,198.58
33	Meet with STIP Unit to review available funding (Raleigh - 7/16/18)	
34	II.3.2 Merger / Project Development	\$ 405.90
35	Attend Harvey Parkway R-5703 Scoping Meeting (Winston - 8/13/18)	
36	<b>II-4 GENERAL TRANSPORTATION PLANNING</b>	\$ 4,377.18
37	II.4.1 Regional and Statewide Planning	\$ 2,498.58
38	- Attend RPO Quarterly Meeting (Boone - 7/25/18-7/27/18)	
39	- Annual RPO Review Meeting (New Bern - 9/10/18)	
40	- Prepare Administrative Documents Committee Presentation for RPO Quarterly Meeting (100%)	
41	II.4.2 Special Studies, Projects and Other Trainings	\$ 1,878.58
42	Attend SPOT Training (New Bern - 7/10/18-7/12/18)	

- The dollar amounts from the Q1 Expenditures tab will carry over to the Q1 Narrative tab
- Include notes for linkages with section IV (travel reimbursements)

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- Check if the reimbursement for an item included in the Q Narrative tab is on the RPO approved work plan (PWP) in the PWP Narrative tab. If it isn't, the item will need to be added to their PWP (RPOs are allowed to add line items to their PWP as work arises throughout the year without doing an amendment if the variance is up to \$5,000).
- Cells should be left blank if no work have been done in the corresponding category.
- If a task is not completed within the quarter, verify the approximated percentage complete, and follow up with progress in following quarter's invoice.

# Travel and Training

<b>IV. DIRECT COSTS</b>		
<b>IV-1 PROGRAMMATIC DIRECT CHARGES</b>		\$ 2,804.25
IV-1.1 Program-wide Direct Costs		\$ 2,804.25
Telephone, Broadband, Office Supplies, IT System Administration, Maintenance & Repairs, and Copier Costs		
<b>IV-2 ADVERTISING</b>		\$ 152.29
IV-2.1 News Media Ads		\$ 152.29
Advertising for new position		
<b>IV-3 LODGING, MEALS, INCIDENTALS</b>		\$ 432.00
IV-3.1 Hotel Costs		\$ 279.00
- RPO Quarterly Meeting (Boone - 7/25/18-7/27/18)		
IV-3.2 Meal Costs		\$ 153.00
- RPO Quarterly Meeting (Boone - 7/25/18-7/27/18)		
IV-3.3 Incidentals		\$ -
<b>IV-4 POSTAGE</b>		\$ -
IV-4.1 Mailings		\$ -
<b>IV-5 REGISTRATION / TRAINING</b>		\$ -
IV-5.1 Conference Registration		\$ -
IV-5.2 Meeting / Workshop / Training Fees		\$ -
<b>IV-6 TRAVEL</b>		\$ 2,706.15
IV-6.1 Mileage Reimbursement		\$ 2,701.15
Total Miles: 4906 @ 50.545/mile		
IV-6.2 Car Rental Costs		\$ -
IV-6.3 Other Travel Expenses		\$ 5.00
Parking \$6.00 (Raleigh 7/16/18)		

- Check to make sure RPO has programmed as much training and overnight travel as they can foresee, with reasonable costs associated.
- Now using GSA rates for meals and lodging <https://www.gsa.gov/>
- IRS rates for mileage
- Coordinate with charges for time spent in sections I-III

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- Meetings, trainings, or conferences requiring travel should be described in sections I-III with corresponding charges shown in IV-3 and IV-5.
- Verify the total miles travelled for the quarter by the rate provided.
- For training you want to review the PWP to see if the item was listed for approval. The PWP does not need to list every specific training. You may also consult the eligible training list (<https://connect.ncdot.gov/projects/planning/Pages/MPO-RPO.aspx>) to verify the training was eligible for reimbursement.
  - If not listed there, then they should have completed a training verification form found here: [https://connect.ncdot.gov/projects/planning/TransPlanManuals/Travel\\_Training%20Eligibility%20Verification%20Form.pdf](https://connect.ncdot.gov/projects/planning/TransPlanManuals/Travel_Training%20Eligibility%20Verification%20Form.pdf)

## Overall Quarterly Invoice Checklist:

- Check if the annual performance report is included in the final invoice. The report consists of a narrative review of the accomplishments of the RPO over the past year in comparison to the adopted planning work program. The document further describes any significant

changes to the LPA, local membership or other concerns that impacted the RPO over the past year.

## **PWP**

The PWP is a standard document that consists of a funding table. The PWP is prepared on an annual basis to identify the planning priorities for the coming year and to define the planning work products and activities to be carried out by the RPO staff. Estimated expenditures for each major category of work are provided in the funding table.

### **PWP Guidance:**

- The Miscellaneous Expenses item is restricted to **no more than 10% of the total RPO budget**.
- The use of private consultants by an RPO is permitted for the amount of **up to \$5,000** with prior approval (No RFP is required),
- Funds which have not been expended at the end of the fiscal year do not carry forward.

### **Resources:**

- How to set alerts: <S:\Shared\TPB Temporary\RPOs\Instructions for setting Alerts.docx>



## **(q) Funding Award Letter**



STATE OF NORTH CAROLINA  
DEPARTMENT OF TRANSPORTATION

ROY COOPER  
GOVERNOR

JAMES H. TROGDON, III  
SECRETARY

March 15, 2019

Mr. James Salmons, Planner  
120 West Washington Street, Suite 2110  
Nashville, North Carolina 27856

Subject: Upper Coastal Plain Rural Planning Organization, FY 2020

Dear Mr. Salmons:

The North Carolina Department of Transportation has allocated State Planning and Research funds in the amount up to \$112,039 for the Upper Coastal Plain RPO for FY 2020, providing for a total RPO work plan not to exceed \$140,048. The funds are available based on an 80/20 cost share and are expected to be matched by a minimum 20% local funds. A local match of \$28,010 is required from the RPO.

Thus, the RPO's total work plan is not to exceed \$140,048. The funding sources are as follows: \$112,039 Federal Funds, & \$28,010 Local funds.

Reimbursement for planning expenses should be made through the invoice submittal procedure as outlined by the RPO Administrative Procedures. Reimbursements will only be made for transportation planning expenses incurred in executing the work tasks described in your approved FY 2020 Planning Work Program (PWP), which is due by May 31, 2019.

If you have any questions or concerns, please feel free to contact Brian Wert at [bmwert@ncdot.gov](mailto:bmwert@ncdot.gov), (919)-707-0974.

Sincerely,

*Jamal Alavi*

Jamal Alavi, PE  
Transportation Planning Division

Cc: Carlos Moya, NCDOT

Mailing Address:  
NC DEPARTMENT OF TRANSPORTATION  
TRANSPORTATION PLANNING DIVISION  
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## **(r) Setting Up Grant Site Alerts**

## Instructions on Accessing the List and setting Alerts.

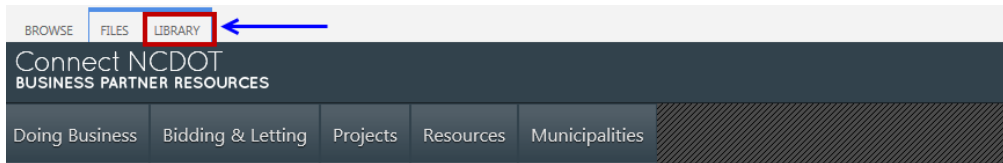
1. Click on Documents by Organization located in the Navigation on the left.

The screenshot shows the top navigation bar with the text "Connect NCDOT BUSINESS PARTNER RESOURCES" and four menu items: "Doing Business", "Bidding & Letting", "Projects", and "Resources". Below this is a red heading "MPO and RPO Planning Grants" followed by a sub-heading "MPO". A breadcrumb trail reads "Connect NCDOT > MPO and RPO Planning Grants". On the left, a sidebar menu lists several options, with "Documents by Organization" highlighted by a green box. On the right, a partial view of a sidebar shows "MPO al" and a list of municipalities including "Albema" and "Burlingt".

2. Then click on Docs-Approval Required to open the Library.

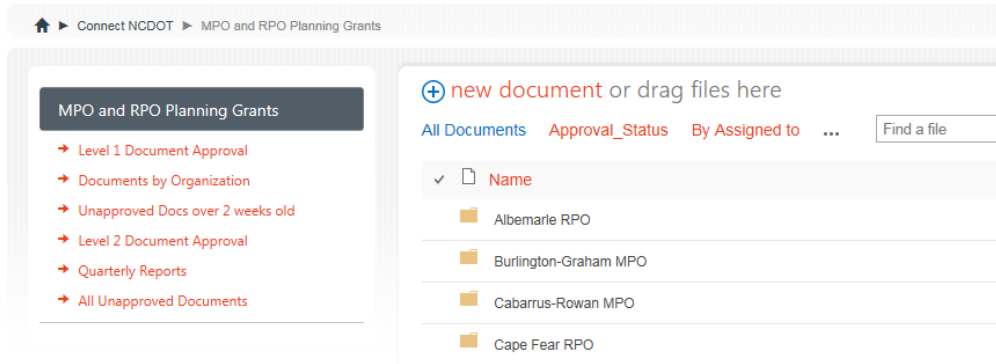
This screenshot shows the same navigation bar as the previous image, but with an additional menu item "Municipalities" on the right. The red heading is now "MPO and RPO Planning Grants" followed by "SelOrg". The breadcrumb trail is "Connect NCDOT > MPO and RPO Planning Grants > Documents by Organization". The left sidebar menu has "Documents by Organization" highlighted with a green box. The right sidebar shows the heading "Documents by Organization" and a sub-heading "Select Organization on the right t". Below this, a table header is visible with "Docs - Approval Required" highlighted in a green box. The table has columns for "Edit", "Name", and "L1 Approval".

### 3. In the list click on the Library tab located top left.

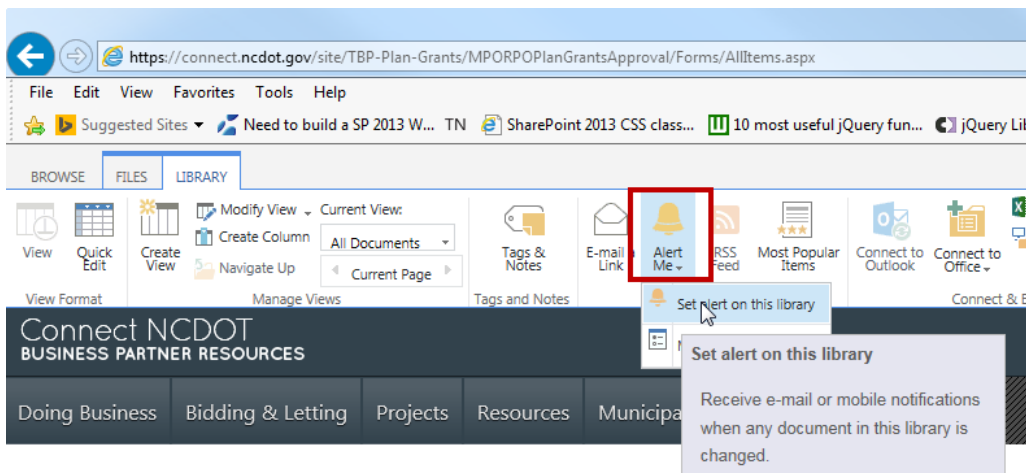


### MPO and RPO Planning Grants > MPORPOPlanGrants-Approval

MPO and RPO Planning Grants documents that require Approval



### 4. Click on Alert Me and then Set alert on this library.



### MPO and RPO Planning Grants > MPORPOPlanGrants-Approval

MPO and RPO Planning Grants documents that require Approval



## 5. Fill out the form and click ok at the bottom.

### MPORPOPLANGRANTS-APPROVAL - NEW ALERT

#### Alert Title

Enter the title for this alert. This is included in the subject of the notification sent for this alert.

#### Send Alerts To

You can enter user names or e-mail addresses. Separate them with semicolons.

Users:

#### Delivery Method

Specify how you want the alerts delivered.

Send me alerts by:

- E-mail
- Text Message (SMS)
- Send URL in text message (SMS)

#### Change Type

Specify the type of changes that you want to be alerted to.

Only send me alerts when:

- All changes
- New items are added
- Existing items are modified
- Items are deleted

#### Send Alerts for These Changes

Specify whether to filter alerts based on specific criteria. You may also restrict your alerts to only include items that show in a particular view.

Send me an alert when:

- Anything changes
- Someone else changes a document
- Someone else changes a document created by me
- Someone else changes a document last modified by me
- Someone changes an item that appears in the following view:

#### When to Send Alerts

Specify how frequently you want to be alerted. (mobile alert is only available for immediately send)

- Send notification immediately
- Send a daily summary
- Send a weekly summary

Time:

Tuesday

## 6. You will receive a notice via email that you have added an alert.

## 7. Repeat from Step 2 to set an alert on the 'Docs - No Approval Required' Library.

## **(s) Public Involvement Plan**

# Piedmont Triad Rural Transportation Planning Organization Public Involvement Policy (PIP)

*Adopted August 10, 2005*

## Introduction

Effective public involvement promotes sound decision making by grounding policy in the community's values and priorities. Public participation in the transportation planning process is identified as one of the core duties of a Rural Planning Organization (RPO) in the state enabling legislation (NCGS 136-212), as well as a major component of federal transportation legislation.

The purpose of this document is to outline policies and guidelines for engaging the public in the transportation planning process in a consistent, comprehensive manner that meets or exceeds state and federal requirements. The policy is intended to meet the following objectives:

- Create opportunities for the public to be well informed about the transportation planning process and the RPO;
- Provide the public with ample, appropriate and meaningful opportunities to engage in the transportation decision making process;
- Increase the transparency and visibility of Piedmont Triad Rural Planning Organization (PTRPO) activities; and
- Satisfy the requirements of NCGS 136-212 and federal transportation legislation.

The actions, techniques and procedures outlined in this plan are intended to enhance, not preempt, the public involvement efforts of the North Carolina Department of Transportation or those of any local jurisdiction within the PTRPO.

## Elements

### Outreach and Education

An array of techniques and strategies have been identified by which the PTRPO may actively educate stakeholders and keep the public informed about the transportation planning process, specific transportation projects and the activities of the PTRPO. Acceptable public outreach strategies include, but are not limited to those described below.

- Notification of Meetings  
*Notice of all regular and special meetings of the PTRPO will be provided to PTRPO members, media outlets and upon request, to members of the public. Meeting dates, times and locations will be provided for inclusion on locally published community calendars, and posted on the PTRPO website.*
- Newsletters  
*A newsletter apprising stakeholders of current issues related to the transportation planning process, PTRPO activities and NCDOT projects will be published and distributed twice a year, and posted on the PTRPO website.*
- Publications  
*A variety of publications about the RPO, transportation planning or other special topics will be prepared by PTRPO staff as needed. Publications will be distributed to RPO members, stakeholders and the public, and posted on the PTRPO website.*

- Website  
*The PTRPO will maintain a website to provide members, stakeholders and the public continual access to documents, publications, data and official PTRPO records.*
- Press Releases and Media Alerts  
*Press releases and media alerts will be distributed to appropriate media outlets to notify the public of opportunities to participate in the transportation planning process, promote new publications, or inform the media of upcoming meetings.*
- Partnerships with Local Jurisdictions  
*Working with the local jurisdictions within the PTRPO, presentations and materials may be tailored to meet specific local needs, and capitalize on opportunities for sharing information.*
- Posting Official Documents in Public Locations  
*All official documents will be provided to applicable jurisdictions for posting in governmental buildings and public libraries. Additional locations may be identified based on local preferences and project scope.*
- Open Houses  
*Open houses may be held from time to time to provide information on transportation projects or other PTRPO activities to the public in an informal setting. Rather than a fixed agenda and formal presentation, staff and PTRPO members will interact with the public in reviewing and explaining documents, maps and other transportation related materials.*
- Speaker's Bureau  
*Presentations and other supporting materials for will be developed by PTRPO staff for use by members in speaking to civic groups and community organizations about the activities of the PTRPO, transportation planning, or specific projects upon request.*

### **Opportunities for Input**

The process for gathering input requires the provision of regular opportunities for identifying the views, opinions and ideas of individual stakeholders and groups served by the transportation planning process. Numerous opportunities are provided to the public to comment on the transportation planning process, specific transportation projects and the activities of the PTRPO, and described below.

- Public Meetings  
*All regular and special meetings of the PTRPO are open to the public, and time on each agenda will be provided for public comment.*
- Public Hearings  
*A public hearing may be held by the PTRPO prior to taking formal action on certain planning documents.*
- Surveys  
*Survey tools will be developed and deployed from time to time to gauge stakeholder opinions on specific transportation planning issues and projects. Survey content, distribution method and target population will depend on the specific survey goals.*
- Workshops  
*Workshops may be held from time to time to permit small groups of stakeholders, local officials and PTRPO members to participate in facilitated discussions or charettes to provide feedback on specific topics or transportation issues.*

- Focus Groups  
*Focus Groups may be convened from time to time to permit a small group of stakeholders to provide detailed feedback on a specific topic or transportation issue.*

## **Implementation**

The process of implementing appropriate methods for public involvement will require a range of staff time and resources. The procedures outlined below will guide PTRPO staff in identifying appropriate public involvement strategies based on the specific opportunity, special considerations and local needs.

### **Procedures**

- Stakeholders and Special Populations

*A stakeholder is any person or group who may potentially be impacted by a transportation planning process, program or project. These include:*

- *The general public*
- *Local governments and other public agencies, including economic development commissions and regional organizations*
- *Business and industry organizations, including Chambers of Commerce*
- *Environmental organizations*
- *Neighborhood and community organizations*
- *Civic organizations*
- *Transit providers*
- *Freight carriers*
- *Taxicab providers*
- *Rail providers*

*Stakeholder groups will be identified and included in outreach and input opportunities when appropriate. Special efforts will be made to involve traditionally under-represented groups in the transportation planning process. These efforts will include:*

- *Identifying areas in the PTRPO with concentrations of elderly, low income or minority populations*
- *Distribution of notifications for meetings, open houses, public hearings and workshops to County health departments, senior centers and community centers*
- *Publication of documents in alternative languages when feasible*
- *Coordination with the Piedmont Triad Area Agency on Aging*

- Public Meetings

*Notice of all regular and special meetings of the PTRPO will be provided to PTRPO members, media outlets and upon request, to members of the public. Meeting dates, times and locations will be provided for inclusion on locally published community calendars, and posted on the PTRPO website. Meeting agendas will include time for public comments.*

- Public Hearings

*Notice of public hearings will be provided according to state law, and provided to appropriate media outlets according to the scope of the hearing's subject matter.*

- Document Review Period

*Notice of official document review periods will be provided according to federal law, and provided to appropriate media outlets according to the scope of the document's subject matter. The notice will identify locations where the document may be viewed, and a contact for submitting written comments.*



- Consideration of Input

*Comments received from all public involvement activities will be documented and provided to the PTRPO for consideration. Input may be used to guide the Planning Work Program, Transportation Improvement Program priorities, and transportation planning activities. Input may also be provided to other transportation planning partners for their consideration in transportation projects and planning activities.*

## **Documentation**

Documentation of the public involvement process is required to demonstrate compliance with state and federal law, as well as to capture valuable input for use in the transportation planning process.

- Official records

*The official records of the PTRPO, including meeting minutes, policies and procedures will be maintained at the offices of the Lead Planning Agency, and made available to the public for review during regular business hours. Where feasible, these records will be provided on the PTRPO website.*

- Official files

*The official files of the PTRPO, including public input summaries, presentations, publications and supporting materials will be maintained at the offices of the Lead Planning Agency, and made available to the public for review during regular business hours. Where feasible, these files will be provided on the PTRPO website.*