



Federal-aid Overview Seminar

Project Development Training Manual

2025



2025 Federal-aid Overview Seminar Project Development - Letting Agenda

Time	Agenda Item	Time	Agenda Item
8:00 - 8:30	Registration	11:45 - 1:00	Lunch (on your own)
8:30	<p>Welcome – Local Systems Bureau</p> <ul style="list-style-type: none"> • Introductions • Purpose and Format • Breaks and Facilities • General DOT contacts • Website Resources <p>Welcome - FHWA</p> <p>Federal-aid Basics - Sarah Okerlund</p> <ul style="list-style-type: none"> • Written Guidance • Administering Bureau (I.M. 1.000) • Stewardship & Oversight Agreement • Planning and Programming • Consultant Selection - PE/CE • FHWA Authorization • Reimbursement <p>Discretionary Grants & Earmarks – Tom Rhoads</p> <p>In-Kind Contributions and Local Lettings – Grant Team</p> <ul style="list-style-type: none"> • In-Kind Contributions • Local Lettings • Consultant Selection <p>Civil Rights – Tracey Bradley/Amy Weerheim</p> <ul style="list-style-type: none"> • Title VI • ADA <p>Break and Refreshments (provided)</p> <p>Project Programming - Niki Stinn</p> <ul style="list-style-type: none"> • TIP/STIP Programming • STIP Revision Process • CFYP/STIP – Entry of Project Details <p>Environmental Review - Location & Environment (Jill Garton, Brock Struecker, Brennan Dolan, MacKenzie Rosenboom)</p> <ul style="list-style-type: none"> • Threatened and Endangered Species • Section 106 of the National Historic Preservation Act of 1966 including Section 106, applications, compliance steps, archaeological and historic surveys, consultation, SHPO review, and Transportation Alternatives Program • National Environmental Policy Act (NEPA) and Section 4(f) including key points of NEPA, Section 4(f), NEPA classifications, and NEPA clearances, TPMS • Iowa DNR Water Trails and Paddling Routes <p>Initial Project Development - Niki Stinn</p> <ul style="list-style-type: none"> • Project Scheduling • Funding Agreement • Concept Statement • Project Tracking & Activation • Schedule Items & Submittals • Funding & Plan Divisions • Engineer’s Estimate & Funding • Transfer of Information for Contracts 	1:00	<p>Other Permits – Eryn Stone</p> <ul style="list-style-type: none"> • 404 Permit • Iowa DNR Flood Plain Permit • NPDES Storm Water Permit • Work on Iowa DOT Right-of-way <p>Design and Plan Reviews – Iowa DOT Lettings – Jenifer Bates</p> <ul style="list-style-type: none"> • Major Project Milestones • Concept Statement • Design Guidelines • Design Exception Process • Preliminary Plans • Check and Final Plans • PDCs, PIFS, and all the other things • Project Turn In • Project Development Takeaways <p>Right-of-Way - Rick Skinner</p> <ul style="list-style-type: none"> • When do State/Federal Regulations Apply? • Before the ROW Process Begins • The Valuation Process • Basic Acquisition Policies • Relocation Process • Parcel Closing • Property Management • Right of Way Certification <p>Break and Refreshments (provided)</p> <p>Utilities and Railroads – Eryn Stone</p> <ul style="list-style-type: none"> • Utility Relocations • Railroads • Buy America - Utility and RR Work <p>Contract Letting and Award – Iowa DOT Process – Ed Kasper</p> <ul style="list-style-type: none"> • Federal Requirements • Project Design Preparation • Contract Time • The Letting Schedule • Working Days – Review Days • Addendums • Contract Award Process • Subcontract Authorizations <p>Closing Remarks – Local Systems Bureau</p> <ul style="list-style-type: none"> • Top Things to Remember
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Top Things to Remember

- ❖ Top Things to Remember presentation

Iowa DOT Contact List

Federal-aid Overview Seminars

(December 1, 2024)

Which Bureau is the Administering Bureau? For most projects, Local Systems Bureau is the Administering Bureau. For projects funded by any or a combination of the Transportation Alternative, Federal Recreational Trails, Iowa's Clean Air Attainment programs, and certain earmark projects, the Systems Planning Bureau is the Administering Bureau. Refer to [I.M. 1.000](#) for additional information.

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Federal-aid Project Development Guide

For Local Public Agencies

January 19, 2024

Iowa Department of Transportation

Local Systems Bureau

800 Lincoln Way

Ames, IA 50010

https://iowadot.gov/local_systems/publications/im/federal-aid-guide.pdf

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1 Introduction

1.1. About the Federal-aid Guide

1.1.1. What is the Federal-aid Guide for?

The Federal-aid Project Development Guide for Local Public Agencies (the Federal-aid Guide) exists to provide information and instructions to Local Public Agency (LPA) staff in order to help them successfully develop their Federal-aid transportation projects.

1.1.2. How should the Federal-aid Guide be used?

For LPAs that are unfamiliar with Federal-aid procedures, the Federal-aid Guide serves as an overview and introduction to the Federal-aid process. For those LPAs that frequently use [Federal-aid funds](#) for their transportation projects, the Federal-aid Guide also serves as a reference tool to quickly locate more detailed information on a specific topic.

The Federal-aid Guide is not intended to include all the details of the Federal-aid process. Instead, where appropriate, the Federal-aid Guide references other documents that provide additional detailed instructions concerning specific parts of the process. In other words, the Federal-aid Guide provides a central location from which all of the information relevant to development of LPA Federal-aid transportation projects may be located.

Most of the detailed information referenced by the Federal-aid Guide is contained in the Instructional Memorandums to Local Public Agencies (I.M.s). To view or print a referenced I.M., simply click on the hyperlink provided, shown with [blue, underlined text](#). The Iowa DOT does not provide printed copies of the I.M.s; however, all I.M.s are available on-line in Adobe Acrobat's Portable Document Format (PDF).

Although the Federal-aid Guide is written using an informal style, in some places, it is necessary to use technical terms or phrases. When such terms or phrases are used, they are defined in [Appendix B - Glossary of Terms](#). To jump to the glossary entry for a defined term or phrase, simply click on the [green, dotted-underline text](#).

1.1.3. What does the Federal-aid Guide cover?

The focus of the Federal-aid Guide is Federal-aid project development. However, it also provides some guidance for a wider range of project activities – beginning immediately after funding approval and continuing up through construction and final reimbursement.

The Federal-aid Guide is applicable to any transportation project that is funded in whole or in part with Federal Highway Administration (FHWA) program funds that are passed through the Iowa Department of Transportation (Iowa DOT) to a local government or other government agency. Examples of such programs include traditional highway and bridge programs such as the Surface Transportation Block Grant (STBG) Program and Highway Bridge Program (a subsidiary of the STBG program); and other transportation-related programs such as Transportation Alternatives Program (TAP) and Federal Recreational Trails program and the Iowa Clean Air Attainment Program (ICAAP). The Federal-aid Guide is also applicable to projects funded with Federal-aid [earmark or demonstration](#) funds that are subject to FHWA requirements, as specified in Title 23, United States Code and its associated regulations.

The Federal-aid Guide does not cover projects with Federal-aid Swap funding; refer to [I.M. 1.150](#), Federal-aid Swap Program and the Non-Federal-aid Guide for additional information.

1.2. Working with the Iowa DOT

1.2.1. Roles and Responsibilities

With respect to an LPA Federal-aid transportation project, the Iowa DOT serves as both an advisor and a monitor. With each role, the Iowa DOT has different responsibilities. As an advisor, the Iowa DOT is responsible for providing guidance and assistance to LPAs to help them successfully implement their Federal-aid transportation projects. As a monitor, the Iowa DOT is

responsible to the FHWA for administering and overseeing the various Federal-aid transportation programs that are available to LPAs. This oversight is accomplished by numerous reviews and approvals of project activities, as outlined in the I.M.s applicable to those activities.

Certain project activities also require approval by FHWA (for example, a design exception for a project on the [National Highway System](#)). A complete list of activities requiring FHWA approval is contained in Attachment A of the [Stewardship and Oversight Agreement](#) between the Iowa DOT and the FHWA Iowa Division. When approval is required by FHWA, this will also be noted in the I.M. that addresses that project activity.

In addition, for certain projects, the FHWA must also review and approve certain project activities. In the current Stewardship and Oversight Agreement, these are referred to by FHWA as Projects of Division Interest (PoDI). Such projects will have a project-specific Stewardship and Oversight Plan which details the specific project activities requiring FHWA review and approval. These activities are selective and may change over time. If a project is designated as a PoDI, the FHWA Iowa Division will notify the Iowa DOT, and in turn, the Iowa DOT [Administering Bureau](#) will notify the LPA and provide a copy of the project-specific Stewardship and Oversight Plan.

1.2.2. Who do I Contact?

The administration and oversight of these Federal-aid programs is a combined effort of many different divisions and offices within the Iowa DOT. However, the LPA's primary point of contact with the Iowa DOT will be the [Administering Bureau](#). Unless specified otherwise, all project submittals, correspondence, and questions should be directed to the Administering Bureau.

The Iowa DOT [Local Systems Bureau](#) is responsible for providing written guidance, including the Federal-aid Guide, I.M.s, and other information, to both the Administering Bureau and LPAs. The Local Systems Bureau also provides assistance with the interpretation and implementation of that guidance. When policy or procedural questions require the assistance of the FHWA, the Local Systems Bureau serves as a liaison between the FHWA and the Administering Bureau or LPAs.

2 Federal-aid Basics

Before beginning any project activities for which Federal-aid reimbursement will be requested, read this section carefully! This section of the Federal-aid Guide explains several critical activities and their sequence in the Federal-aid process. To have a successful Federal-aid project, it is crucial that the LPA officials working on the project understand and comply with these basic requirements of the Federal-aid process.

2.1. Project Programming

All Federal-aid projects must be included, or "programmed," in the appropriate Regional Planning Affiliation (RPA) or Metropolitan Planning Organization (MPO) Transportation Improvement Program (TIP). All of the RPA and MPO TIPs are then combined, along with Iowa DOT Federal-aid projects, to form the Statewide Transportation Improvement Program (STIP).

As discussed in [Section 2.3](#) below, project activities for which Federal-aid reimbursement will be requested must receive [FHWA Authorization](#) before those activities begin. However, before any project activities can receive FHWA Authorization, the project must be included in the STIP. Therefore, project programming is a critical first step in the Federal-aid process.

The LPA is responsible for working with the applicable RPA or MPO to ensure that their project is included in the TIP / STIP and is programmed with an adequate amount of funds for the correct [Federal Fiscal Year \(FFY\)](#). Funds should be programmed in the FFY(s) in which FHWA Authorization will need to occur; not on the basis of when actual expenditures will occur. For example, if utilizing Federal-aid on the construction phase of a project, FHWA Authorization would occur during the Iowa DOT letting process and all related Federal-aid funds shall be programmed in the FFY in which the authorization will occur for the anticipated letting. This would be true even if the construction project was expected to take multiple construction seasons to complete. The FFY begins October 1, and ends September 30. For example, FFY 2021 began October 1, 2020 and will end September 30, 2021. FHWA Authorization for the October

letting would occur approximately 6 weeks before letting, so for projects scheduled for an October letting, they would need to be programmed in the previous FFY.

Project programming information for the TIPs is submitted, reviewed, and transmitted to the Iowa DOT for inclusion in the STIP using the [Transportation Project Management System](#) (TPMS). TPMS is web-based tool developed by the [Iowa County Engineers Association Service Bureau](#) (ICEASB) to assist local agencies with project programming and development tracking. While this tool was initially developed for the counties, it is also available for use by cities and consultants. For more information about TPMS or to request access to this system, call the ICEASB at 515-244-0779.

2.2. Funding Agreement

Another important initial step in the Federal-aid process is execution of a funding agreement between the Iowa DOT and the LPA. When funding has been awarded, the LPA should submit a copy of the approved funding application, Concept Statement, or other documentation to the [Administering Bureau](#) as soon as possible. Other documentation shall include, as a minimum, the name and title of the LPA's contact person, a project description that identifies the limits and basic character of the proposed work, and a current cost estimate. (Note: If the funding application was approved by the Administering Bureau, as may be the case with the Systems Planning Bureau, additional documentation is not usually required.)

Upon receipt of this information, the Administering Bureau will prepare a funding agreement and send an unsigned copy to the LPA for signature. By signing the funding agreement, the LPA agrees to follow all of the applicable Federal and State laws, regulations and policies pertaining to the specific type(s) of [Federal funds](#) that are involved. Therefore, project development activities should not proceed until a funding agreement has been executed to avoid potential re-work or jeopardizing Federal-aid.

In general, the funding agreement spells out the responsibilities of both the LPA and the Iowa DOT. The details of the funding agreement will vary, depending on the type of Federal funds that are involved. The LPA officials responsible for the project should thoroughly review the funding agreement prior to bringing it to the board of supervisors or city council for action. Any questions or concerns should be directed to the Administering Bureau.

2.3. FHWA Authorization

[FHWA Authorization](#) is one of the most important aspects of the entire Federal-aid process. If not done correctly or in a timely manner, it can jeopardize Federal-aid reimbursement for part or all of a project.

2.3.1. When is FHWA Authorization Needed?

[FHWA Authorization](#) must be obtained before beginning any project activity for which Federal-aid reimbursement will be requested. *If the LPA does not have written confirmation from the Iowa DOT that FHWA Authorization has been secured for a specific project activity which will utilize Federal-aid, work should not begin.* The costs associated with work occurring prior to FHWA Authorization will not be reimbursed with [Federal funds](#). If there is any doubt about whether FHWA Authorization has been obtained, contact the [Administering Bureau](#) for assistance.

Depending on the type of [Federal funds](#) and the provisions of the funding agreement, there are several different types of project activities that may be eligible for Federal-aid reimbursement. Some of these may include environmental studies, design, right-of-way acquisition, utility relocations, railroad work, construction, and construction inspection. Refer to the project funding agreement for the specific types of project activities that may be reimbursed with [Federal funds](#).

2.3.2. How is FHWA Authorization Obtained?

The following is a summary of the [FHWA Authorization](#) process. This process has been generalized for the sake of clarity. The actual authorization process will vary depending on the specific type of project activity that is being authorized. Additional details are provided in the sections of the Federal-aid Guide and / or I.M.s that address each type of project activity.

1. The LPA sends a written request for FHWA Authorization to begin a specific type of project work to the [Administering Bureau](#), including the appropriate documentation for the type of work being requested.

2. The Administering Bureau reviews the LPA's request and verifies the required clearances and reviews have been completed.
3. If acceptable, the Iowa DOT verifies the availability of [Federal funds](#) and prepares the electronic [Authorization/Agreement](#) or [Amendment/Modification](#) document, using the [Fiscal Management Information System](#) (FMIS).
4. The Iowa DOT sends the electronic document to FHWA for review and approval.
5. FHWA reviews the electronic document, and if acceptable, electronically signs the document. If the request is not acceptable, FHWA contacts the Iowa DOT to resolve any questions or issues.
6. After FHWA has signed the electronic document, the Administering Bureau notifies the LPA that FHWA Authorization has been obtained and the requested work may begin.

2.4. Reimbursement

All of the Federal-aid transportation programs administered by the Iowa DOT operate on a reimbursement basis. That is, the LPA, after completing the necessary steps and receiving the appropriate approvals, pays project expenses up front. In turn, the LPA submits a request for reimbursement to the Iowa DOT. The request should be made using the form or format provided by the [Administering Bureau](#). To ensure proper accounting of costs, reimbursement requests for costs incurred prior to June 30 shall be submitted to the Administering Bureau by August 1, if possible, but no later than August 15.

Requests for reimbursement shall be made on a periodic basis after costs have been incurred. To prevent the project obligation from becoming inactive (no Federal-aid reimbursements for 12 months or more), reimbursement should be requested every 6 months but not more than bi-weekly. *If the project becomes inactive, the Iowa DOT will notify the LPA that the unexpended balance of [Federal funds](#) will be de-obligated if the LPA cannot provide documentation within 30 days to support the remaining balance.* Such documentation shall include a revised cost estimate and a date by which a reimbursement request for the remaining Federal funds will be submitted. If a reimbursement request cannot be submitted within 30 days, written justification will be required for retaining the unexpended balance of Federal funds. The justification shall explain why the delay in requesting Federal-aid reimbursement is beyond the control of the LPA. Examples include delays resulting from environmental reviews or permits, right-of-way acquisition, utility relocations, unresolved litigation or contract claims, or compliance with other Federal-aid requirements. Failure to adequately plan for these requirements will not be considered adequate justification. If adequate justification is not provided, the unexpended balance of Federal funds will be de-obligated, and as a result, may no longer be available for reimbursement. For more information about the inactive obligation review requirements and process, refer to [I.M. 1.200](#), Federal Funds Management.

After Iowa DOT review and approval, the LPA will be reimbursed by the Iowa DOT at the agreed upon [Federal share](#) for properly documented, eligible, and authorized project costs. Reimbursements to the LPA are typically made by issuing a State warrant.

Farm-to-Market projects: A slightly different process is used for county Federal-aid projects on the Farm-to-Market System. For those projects, payments are typically made by Iowa DOT from the county's Farm-to-Market account. After such payments have been made, the Iowa DOT will request Federal-aid reimbursement, and the Federal share of such costs will be credited to the county's Farm-to-Market account.

2.5. Match Requirements

2.5.1. General Match Requirements

Most Federal-aid transportation programs require some type of cost sharing or match to the [Federal funds](#). In most cases, the match must come from non-Federal-aid sources. Usually, this match is provided in monetary form; that is, eligible project costs that have been paid for by entities other than the Federal government. Monetary sources may include donations of funds made by a third party, special assessments made for the project, and other non-Federal-aid funding sources. However, if the total funding received up-front for the project exceeds the required non-Federal share, the [Federal share](#) shall be reduced or the excess project specific funding must be returned. In other words, an LPA may not make money on a Federal-aid project.

2.5.2. In-Kind Contributions

Under certain circumstances, certain non-monetary contributions by a third party may be counted towards the required non-Federal-aid match. These non-monetary contributions are referred to as an in-kind contribution. A third party is any entity other than the Federal government, the Iowa DOT, or the LPA who is the recipient of the [Federal funds](#). The type of in-kind contribution that may be counted toward the non-Federal-aid match varies, depending on the timing of the contribution and the type of Federal funds that are being matched. Projects funded by one or more of the Small Federal Programs (Transportation Alternatives Program and Federal Recreational Trails) may utilize right-of-way, services, materials, or equipment as an in-kind contribution. For additional guidance, eligibility limitations, and instructions on how to obtain Iowa DOT and FHWA approval of in-kind contributions, refer to [I.M. 3.050](#), In-Kind Contributions.

2.6. Person in Responsible Charge

Federal regulations (23 CFR 635.105 and 23 CFR 172.9(d)(1)) require the LPA to have a full-time employee who is in responsible charge of the project. This person supervises all project administration duties, oversees the work performed by consultants and contractors, and coordinates the development of the project with the Iowa DOT. Specific duties include:

1. administering inherently governmental project activities, including the review, approval, and negotiation of contracts, adherence to contract requirements and construction quality, and managing the scope of Federal-aid projects;
2. maintaining familiarity with day-to-day project operations, including project safety issues;
3. evaluating and participating in contract administration decisions and approvals, such as changed conditions, scope changes, changes in contract time, and changes in contract amounts;
4. scheduling and attending project review meetings and construction site visits on a frequency that is commensurate with the magnitude and complexity of the project;
5. reviewing financial processes, transactions, and documentation to ensure that safeguards are in place to minimize fraud, waste, and abuse;
6. directing project staff, agency staff, or consultants, to carry out project administration and contract oversight, including proper documentation;
7. being aware of the qualifications, assignments, and on-the-job performance of the agency and consultant staff at all stages of the project; and
8. ensuring that costs requested for Federal-aid reimbursement are allowable in accordance with the Federal cost principles and consistent with the contract terms.

These duties may be shared by several people. A single person may also serve as the person in responsible charge for multiple projects.

For counties and larger cities, this person is typically the county or city engineer; however, they need not be a licensed engineer or architect to be the person in responsible charge. For smaller cities that do not have any full-time employees, the mayor or city clerk may serve as the person in responsible charge, with assistance from the Iowa DOT Administering Bureau. A consultant **shall not** serve as the person in responsible charge.

3 Getting Started

3.1. Project Development Overview

The Federal-aid project development process is shown graphically in [Appendix A - Project Development Flowchart](#). This flow chart includes references to some of the applicable I.M.s for additional details concerning specific parts of the development process. The remaining sections of the Federal-aid Guide provide a written overview of the project development process.

3.2. Concept Statement

Submittal of the Concept Statement for Local Public Agency Federal-aid Projects ([Form 517001](#)) is a critical first step that typically initiates the project development process. This form provides information about the proposed location and types of work, possible environmental impacts, and proposed design.

Since this information is used by the Iowa DOT to initiate a number of different project reviews and processes, this form should be submitted by the LPA as soon as possible. Otherwise, the required reviews and processes will be delayed, and this may delay the project as a whole.

For additional information and detailed instructions for completing this form, refer to [I.M. 3.020](#), Concept Statement Instructions.

3.3. Project Schedule

The time required to develop a Federal-aid project from funding approval to project letting varies greatly, depending on several factors. Some of these factors include: whether right-of-way must be acquired, the type and magnitude of environmental or social impacts, and whether utility relocations or work on railroad property or facilities is required. Therefore, it is not possible to specify a project schedule that is applicable to all situations. Nevertheless, some typical project schedules are provided in [I.M. 3.000](#), Federal-aid Project Scheduling. These schedules show the relationship between the typical project tasks and the time it usually takes to complete each one, based on certain assumptions.

3.4. Project Submittal Dates

[I.M. 3.010](#), Project Development Submittal Dates and Information, provides specific dates for some of the key project submittals, based on a targeted Iowa DOT letting date. It also provides a summary of what should be included in those submittals.

Please note that [I.M. 3.010](#) is only intended to show the minimum amount of time required for the Iowa DOT to review the project submittals listed. Depending on the circumstances of each project, other submittals or activities may be the controlling factor in determining when a project may be let. These dates do not account for the review times of other Federal or State agencies that may or may not be necessary for a given project. In addition, the dates shown in [I.M. 3.010](#) assume that the project will complete the NEPA process as a Categorical Exclusion (CE); they are not applicable for projects that will require an Environmental Assessment (EA) or Environmental Impact Statement (EIS). For more information about the different levels of environmental classification, refer to [I.M. 4.020](#), NEPA Process.

3.5. Project Tracking

The Iowa DOT requires the LPA (or the consultant acting on its behalf) to use TPMS (as described in [Section 2.1](#)) to record and monitor the programming and development status of their projects that involve construction. Use of TPMS for non-construction projects is optional. Much of the information in TPMS is transferred electronically to the Iowa DOT for use in project programming, development, and letting. Therefore, it is important for LPAs to keep their project information current in TPMS.

3.6. Financial Plan

For major projects (those with an estimated cost of \$100 million or greater) the LPA will be required to prepare a financial plan. For purposes of this requirement, a “project” is defined by the limits used for the environmental review process described in Section 4 below, unless specifically stated otherwise in the environmental document.

The LPA’s project financial plan must be reviewed and approved by the Iowa DOT and FHWA. The estimated cost shall include all elements of work for all segments of the overall project. Elements of work refer to the different categories of work, such as engineering, right-of-way, construction, etc. Segments refer to the portions of the total project which can be defined by physical limits. For example, the design, right-of-way, and construction activities for several projects in the same highway corridor, even though they are separated for purposes of bidding and construction, may be considered one overall project.

If a project may fall into the major project category, the LPA should contact the Iowa DOT [Administering Bureau](#) for assistance. Additional information is available on FHWA's [Innovative Program Delivery](#) web site.

4 Permits and Environmental Review

This section of the Federal-aid Guide gives a brief summary of the typical permits or environmental reviews that may be required by the applicable Federal or State laws and regulations.

4.1. The NEPA Process

The National Environmental Policy Act (NEPA) and its associated Federal regulations require that certain procedures be followed in developing a Federal-aid project. The purpose of these procedures is to provide consideration of a wide variety of social or environmental impacts that may result from the project.

The amount of time and effort required to comply with the NEPA process varies greatly, depending on the anticipated level of impacts. The effort required by an LPA may be as minimal as completing a few forms; or it may be as involved as preparing extensive environmental documentation and facilitating a significant amount of public involvement, which can be a very costly and time-consuming process.

The Iowa DOT is responsible to review the environmental impacts of all LPA Federal-aid transportation projects and assist the LPA in complying with the NEPA requirements. This review is coordinated and ultimately approved by the FHWA, based on the established policies and procedures.

There are several distinct parts of the NEPA process. Completion of the NEPA process is sometimes referred to in the Federal-aid Guide and I.M.s as [FHWA Environmental Concurrence](#). For an overview of the NEPA process as a whole, refer to [I.M. 4.020](#), NEPA Process. For additional guidance concerning the different parts of the FHWA Environmental Concurrence process, refer to the following I.M.s:

- [I.M. 3.020](#), Concept Statement Instructions, provides detailed instructions for completing the Concept Statement for Local Public Agency Federal-aid Projects ([Form 517001](#)). This form is used to begin the FHWA Environmental Concurrence Process.
- [I.M. 4.110](#), Threatened and Endangered Species, provides guidance concerning the requirements and procedures for potential impacts to listed species and critical habitats.
- [I.M. 4.120](#), Cultural Resource Regulations, provides guidance concerning the requirements and procedures for potential impacts to cultural resources, such as archaeological sites and historic properties.

4.2. Water Trails and Paddling Routes

[I.M. 4.200](#), Water Trails and Paddling Routes, provides guidance concerning the requirements under 23 CFR 774 when a project has the potential for obstruction or falling debris within a river, stream, or other aquatic resource.

4.3. Section 404 Permits

Section 404 of the Clean Water Act and its associated Federal regulations place restrictions on the use of wetlands, streams, rivers, or other aquatic resources. If any project construction will occur in any of these areas, the LPA may be required to notify the U.S. Army Corps of Engineers and obtain the appropriate Section 404 permit. For more information, refer to [I.M. 4.130](#), 404 Permit Process.

4.4. Iowa DNR Floodplain Development Permits

Projects that will involve construction in the flood plain of any river or stream in Iowa may require a Floodplain Development Permit from the Iowa Department of Natural Resources (Iowa DNR). The threshold for when a permit is required depends on the location, type of construction, and drainage area of the river or stream. For more information, refer to [I.M. 4.150](#), Iowa DNR Floodplain Permits and Regulations.

4.5. Storm Water Permits

The Clean Water Act and its associated Federal and State regulations may also require a National Pollutant Discharge Elimination System (NPDES) permit. If project construction activities will disturb more than 1 acre of ground, the LPA is required to submit a notification and obtain an NPDES permit from the Iowa DNR. Ground is considered disturbed if the soil is exposed to erosive forces, such as wind or water, for any period of time. For more information, refer to [I.M. 4.140](#), Storm Water Permits.

4.6. Farmland Protection Policy Act

The Farmland Protection Policy Act and its associated Federal regulations are designed to minimize the conversion of farmland to non-agricultural purposes by Federal-aid programs. If the project will require less than 5 acres of farmland per mile or per site, no action needs to be taken. However, if the anticipated impacts will exceed these thresholds, the LPA is required to complete a form and submit it to the Natural Resources Conservation Service (NRCS). For more information, refer to [I.M. 4.170](#), Farmland Protection Policy Act Guidelines.

4.7. Projects in the Vicinity of an Airport or Heliport

If project construction will take place in the vicinity of a public airport or heliport, the LPA may be required to provide notice to the Federal Aviation Administration (FAA) and local airport officials. For more information, refer to [I.M. 4.190](#), Highway Improvements in the Vicinity of Airports or Heliports.

4.8. Hazardous Materials

In order to construct a transportation project, it is possible that hazardous materials may be encountered during the demolition or construction of buildings, bridges, or other structures. In those cases, certain Federal and State laws and regulations may govern how the demolition or construction may proceed.

The Clean Air Act and its associated Federal regulations require certain inspection, testing, notification, and removal procedures to be followed if the project involves removal of any structures or material that may contain asbestos. This includes buildings and bridges. For more information on the required procedures, refer to [I.M. 4.160](#), Asbestos Inspection, Removal, and Notification Requirements.

If contaminated soil or other hazardous wastes are encountered during project construction or on property acquired for the project, the LPA may be responsible for removal or treatment of such materials. If hazardous wastes may be present, the LPA may contact the Iowa DOT [Location and Environment Bureau](#), Regulated Materials Section, for assistance.

4.9. Work on Primary or Interstate Highways

If a locally sponsored project involves a Primary or Interstate highway, additional coordination and approvals by the Iowa DOT and / or FHWA are required, as described below.

4.9.1. Permits

If the project will require any work within or abutting the right-of-way of an Interstate or Primary Highway, the LPA must acquire the appropriate permit(s) from the Iowa DOT. Execution of the project funding agreement does not grant any of the Iowa DOT permits that may be required. The type of permits required depends on the type of work being done. For more information, contact the Engineering Operations Technician in the Iowa DOT [District Office](#) in which the project is located.

4.9.2. Interchange Justification Reports

If the project will involve studies, design, or construction associated with a new or revised interchange on an Interstate highway, an Interchange Justification Report (IJR) must be prepared. The purpose of an IJR is to evaluate the need and engineering feasibility of the proposed interchange. The IJR must be reviewed and approved by the Iowa DOT and the FHWA. For more information, refer to the Iowa DOT's [User Guide – Process for New or Revised Interchange Access](#).

4.9.3. Projects within Interstate Right-of-Way

If the project will require any work within Interstate ROW, additional time may be required for FHWA review prior to construction, regardless of funding type. For projects with Federal-aid, the Administering Bureau will coordinate this. Due to traffic volumes and speed, all construction that takes place within Interstate right-of-way will be directly administered by Iowa DOT unless prior approval has been obtained from FHWA. Coordination of these activities should be discussed early in the design process to ensure all parties have capacity in their schedules.

5 Project Design

Unless specified otherwise in the project funding agreement, the LPA is responsible for all project design activities. The project design may be completed by the LPA's own staff, by a consultant, or if provided for by an intergovernmental agreement with another governmental agency, the staff or consultants hired by that agency. In any case, all plans and specifications must be prepared by a professional engineer or architect licensed to practice in the State of Iowa, unless specified otherwise in the project funding agreement.

5.1. Final Design and FHWA Environmental Concurrence

As discussed in [Section 4.1](#) above, the NEPA process requires that certain procedures be followed in the process of selecting the location of a Federal-aid project. The NEPA process also places limits on when certain project activities may begin. One of the activities limited by the NEPA process is final design. Final design activities may not begin until [FHWA Environmental Concurrence](#) has been obtained.

Environmental and related engineering studies, agency coordination, public involvement activities, and preparation of Preliminary Plans are not considered final design. Therefore, these activities may proceed prior to completing the NEPA process. However, work directly associated with preparation, review, or submittal of Check Plans or Final Plans is considered final design.

5.2. Federal-aid Participation in Design Activities

For most Federal-aid projects, project design activities may be eligible for Federal-aid reimbursement. For purposes of [FHWA Authorization](#), these costs are categorized as one of the following:

- Preliminary Engineering (PE) includes work that is part of the development of the plans, specifications, and estimate (PS&E) for a construction project. This includes environmental studies and documents, preliminary design, and final design up through and including the preparation of bidding documents. PE does not include planning or other activities that are not intended to lead to a construction project. Examples include planning, conceptual, or feasibility studies.
- Construction Engineering (CE) includes materials testing, construction inspection, and other work directly related to the administration of the construction contract (e.g., processing contractor payment requests, or preparing change orders, a final punch list, or project close-out paperwork).

5.2.1. Consultant Services

If the LPA uses consultant services to assist in the planning, design, or construction of the project, a consultant evaluation shall be completed as per [I.M. 3.320](#), Consultant Evaluations.

If the LPA desires Federal-aid reimbursement for the costs of consultant services, certain procedures must be followed in acquiring, preparing, reviewing, approving, and administering the consultant contract. For more information, refer to [I.M. 3.310](#), Federal-aid Participation in Consultant Costs.

5.2.2. In-House Services

If the LPA chooses to perform PE, CE, right-of-way acquisition, or other work directly related to the development of the project with its own staff, these costs may also be reimbursed with [Federal funds](#), if the appropriate procedures are followed. To be approved, the LPA must be able to segregate and provide an accounting of the cost of its in-house services. For more information, refer to [I.M. 3.330](#), Federal-aid Participation In-House Services.

5.3. Design Guidelines

Federal-aid projects should be designed to meet the guidelines provided by the Iowa DOT. Generally speaking, these guidelines correspond to nationally recognized design guidelines, such as those published by the American Association of State Highway Transportation Officials (AASHTO).

5.3.1. Roadways and Bridges

Any road or bridge projects that are located on the [Primary Highway System](#), [Interstate System](#) or [National Highway System](#) (NHS), regardless of funding source, shall use the design guidelines in the [Iowa DOT Design Manual](#). For all other road and bridge projects, refer to the guidelines listed below:

- For projects involving new construction or complete reconstruction within urban areas, refer to Iowa Statewide Urban Design and Specifications (SUDAS) [Design Manual](#), Chapter 5.
- For projects involving new construction or complete reconstruction on rural collectors and rural local roads, refer to [I.M. 3.210](#), Rural Design Guidelines.
- For projects involving new construction or complete reconstruction on urban public improvement projects, refer to [I.M. 3.215](#), Urban Design Guidelines.
- For projects with a rural cross section (e.g. shoulders with open ditches, no curbs) in urban areas or projects in transition areas between rural and urban areas, refer either to the SUDAS [Design Manual](#) or [I.M. 3.210](#).
- For both rural and urban projects involving rehabilitation, restoration, or resurfacing (3R) projects, refer to [I.M. 3.220](#), 3R Guidelines.
- For guidance concerning the use and placement of guard rails and bridge rails, refer to [I.M. 3.230](#), Traffic Barriers (Guardrail and Bridge Barrier Rail).
- For guidance in providing a safe recovery area, refer to [I.M. 3.240](#), Clear Zone Guidelines.
- For projects involving bridges or culverts, additionally refer to [I.M. 3.500](#), Bridge or Culvert Plans.

5.3.2. Bicycle and Pedestrian Facilities

For bicycle and pedestrian facility projects, designs should meet or exceed the minimum recommended values provided in Chapter 12A and 12B of the [Iowa DOT Design Manual](#).

New construction or alterations to pedestrian facilities shall be designed to meet the requirements of the Americans with Disabilities Act (ADA). Refer to [I.M. 1.080](#), ADA Requirements, for the applicable design guidelines.

5.4. Design Exceptions

Designs that do not meet the guidelines specified by the applicable I.M.s or documents referenced in Section 5.3 will require a written design exception or justification. Design exceptions and justifications should be based on sound engineering judgment, describe the proposed mitigation measures, and include supporting documentation that is appropriate. Design exceptions also require preparation of a cost-benefit analysis; whereas justifications do not.

The LPA must prepare and submit the design exception or justification and its accompanying documentation to the [Administering Bureau](#) for review and approval. Design exceptions or justifications should be submitted with the Concept Statement submittal, or as soon as it becomes apparent that an exception or justification will be necessary, but in no case later than the Check Plan Submittal.

5.4.1. Roadways and Bridges

A design exception is required in the following situations:

1. For the controlling design elements listed in [I.M. 3.260](#), Design Exception Process, the proposed design does not meet:
 - the values in the “AASHTO Guidelines” tables of [I.M. 3.210](#); or

- the “acceptable” values in the [Iowa DOT Design Manual](#) or [SUDAS Design Manual](#), as applicable.
2. For projects on the Interstate System, Primary System, or NHS, any controlling design element identified in the [Iowa DOT Design Manual Section 1C-1](#) is not met.

A justification is required in the following situations:

For the controlling design elements listed in [I.M. 3.260](#), Design Exception Process, the proposed design meets:

- the values in the “AASHTO Guidelines” tables, but does not meet the values in the “Design Aids” tables of [I.M. 3.210](#); or
- the “acceptable” values, but does not meet the “preferred values” in the [Iowa DOT Design Manual](#) or [SUDAS Design Manual](#), as applicable.

Federal regulations require approval of design exceptions for any new construction, reconstruction or 3R project on the NHS, regardless of funding source. LPAs should review the design of all such projects and submit design exception requests to the Iowa DOT [Administering Bureau](#). Routine maintenance activities on NHS routes do not require review or approval by the Iowa DOT.

For more information on the design exception process for road or bridge projects, refer to [I.M. 3.250](#), Economic Analysis (Benefit-to-Cost Ratio) and [I.M. 3.260](#), Design Exception Process.

5.4.2. Bicycle and Pedestrian Facilities

Project designs that do not meet the guidelines listed in Section 5.3.2 require a written justification.

5.5. Plans and Specifications

There are several points during project development at which plans must be submitted to the Iowa DOT. These submittals are a key part of the project review and provide much of the information required by the Iowa DOT. Each submittal shall be made through TPMS and accompanied by an e-mail through the TPMS system; and other documents shall be submitted as required. The content of each submittal is summarized in [I.M. 3.010](#), Project Development Submittal Dates and Information.

5.5.1. Preliminary Plans

The Preliminary Plans are used by the Iowa DOT to evaluate the proposed project design, right-of-way needs, and possible environmental impacts. For more information, refer to [I.M. 3.400](#), Preliminary Plans. If the project involves a bridge or culvert, refer also to [I.M. 3.500](#), Bridge or Culvert Plans.

5.5.2. Check and Final Plans

Most Federal-aid transportation projects must be let by the Iowa DOT. To be successfully let by the Iowa DOT, the plans and specifications must conform to the Iowa DOT letting process. For example, the Iowa DOT [Standard Specifications](#) and the accompanying list of [standard bid items](#) shall be used when appropriate. In addition, use of Iowa DOT [Standard Road Plans](#) and [Road Design Details](#) (includes standard tabulations, notes, details, and typical sections) are also strongly encouraged. Use of these standards promotes consistency and uniformity among all projects let by the Iowa DOT. In turn, plan consistency helps reduce the project cost, because bidder uncertainties associated with different specifications or plan formats are reduced.

The Check Plan submittal serves as a precursor to the Final Plans. Even so, Check Plans should be 100% complete. This allows the [Administering Bureau](#) to review all the required elements of the plans and provide enough time to make any changes that may be needed. If the Check Plans are not complete, the project letting may be delayed.

For detailed information about the plan requirements for letting at the Iowa DOT, refer to [I.M. 3.700](#). If the project involves a bridge or culvert, refer also to [I.M. 3.500](#), Bridge or Culvert Plans.

6 Right-of-Way, Utilities, and Railroads

6.1. Right-of-Way

For some transportation projects, it is necessary to acquire some type of property rights in order to construct the project. As used in the Federal-aid Guide and the I.M.s, the term, “right-of-way” includes the acquisition of any type of property rights. These property rights may be temporary, such as a temporary construction easement; or they may be permanent, such as a drainage easement or title to a property.

Regardless of what type of property rights are acquired, there are a number of Federal and State laws and regulations that govern how and when this may be accomplished on a Federal-aid project. These laws and regulations are lengthy and complex, and in many cases, will require the use of specially trained staff or consultants to ensure they are followed properly. Nevertheless, there are a few points that everyone should understand:

- The Federal and State right-of-way laws and regulations always apply, even if right-of-way costs will not be reimbursed with [Federal funds](#).
- If Federal-aid is used in the cost of acquiring right-of-way, the acquisition may not begin until after [FHWA Environmental Concurrence](#) has been obtained. One exception to this requirement is when property is acquired because of a hardship on the property owner, or when purchase is necessary to protect a corridor for future transportation use. However, individual parcels to be acquired under the hardship or protective buying provisions still must have prior approval by the Iowa DOT and the FHWA.
- If Federal-aid is not used in the cost of acquiring right-of-way, the acquisition may begin before [FHWA Environmental Concurrence](#) has been obtained.

For more information about right-of-way acquisition resources, procedures, and requesting [FHWA Authorization](#) of right-of-way costs, refer to [I.M. 3.600](#), Right-of-Way Acquisition.

6.2. Utilities

6.2.1. Accommodation and Coordination

Early coordination with utilities that may be impacted by a transportation project is critical. Even though, in many cases, the utility company is obligated to move its facilities if required by a transportation project, failure to communicate by either the LPA or the utility can cause project delays and added expense.

All utility relocations required by a Federal-aid project shall comply with the applicable utility accommodation policy. For projects located on non-primary, [Federal-aid highways](#), refer to the [Policy for Accommodating Utilities on the County and City Non-Primary Federal-aid Road System](#). For projects located on primary highways, refer to [761 Iowa Administrative Code, Chapter 115 Utility Accommodation](#). For more information, refer to [I.M. 3.640](#), Utility Accommodation and Coordination.

6.2.2. Federal-aid Participation in Utility Relocations

[Federal funds](#) may or may not participate in the costs, depending on their location, ownership, and which entities have either the obligation or authority to pay for the costs of relocating the utilities. In most cases, utilities located in the public right-of-way must move at their own expense and are not eligible for Federal-aid reimbursement. Utility relocation costs include the costs to relocate utilities that must be moved in order to construct the project. Besides construction, these costs may also include design, and in some cases, the acquisition of a replacement easement.

For more information, refer to [I.M. 3.650](#), Federal-aid Participation in Utility Relocations.

6.3. Railroads

6.3.1. Coordination

When a transportation project requires the use of railroad property, even for minor maintenance-type work of limited duration, advance notification and approval by the railroad will be required. Projects that require access to the railroad right-of-way or modifications to railroad facilities will require an agreement with the railroad.

Therefore, as is the case with utilities, early coordination with the affected railroad(s) is critical. The LPA should contact all railroad companies that have tracks inside or adjacent to the project work area to determine what type of approvals or agreements will be required. The Iowa DOT has developed a process for coordinating with railroads, including specific procedures and specifications that shall be used for all projects let by the Iowa DOT. For more information, refer to [I.M. 3.670](#), Work on Railroad Right-of-Way.

6.3.2. Federal-aid Projects Involving Railroads

All Federal-aid projects that will require access to the railroad right-of-way or modifications to railroad facilities must comply with a number of other specific requirements, including project design, notifications and / or agreements, insurance, and provisions for railroad flaggers.

If required by the transportation project, the costs of work performed by a railroad or the railroad's contractor may be eligible for Federal-aid reimbursement. In other cases, if the proposed improvements have a benefit to the railroad, the railroad may also be required by the Federal regulations to share in the cost of the work. However, the cost of improvements that are for the sole benefit of the railroad are not eligible for Federal-aid participation.

For purposes of [FHWA Authorization](#), railroad work includes the costs of modifications to railroad facilities that are required in order to construct the project. This may include construction, flaggers, right-of-way, and engineering costs. These costs shall be identified as part of the agreement between the LPA and the railroad, and the agreement must be reviewed and approved by the Iowa DOT prior to being executed by the LPA and the railroad. For more information, refer to [I.M. 3.680](#), Federal-aid Projects Involving Railroads.

7 Letting and Contract Award

7.1. Iowa DOT Letting Procedures

Competitive bidding has been a long-standing requirement for the Federal-aid transportation programs, with a few exceptions. As a result, there are many Federal laws and regulations that pertain to the construction contracting process. Because of the complexity of these requirements, the Iowa DOT requires that most Federal-aid projects be let at the Iowa DOT. This enables the Iowa DOT to better ensure compliance with these laws and regulations by conducting and directly monitoring the letting process. The Iowa DOT letting process is described in detail by [I.M. 5.030](#), Iowa DOT Letting Process. If an LPA would like to utilize innovative contracting methods, refer to [I.M. 3.730](#), Innovative Contracting Procedures. However, some important aspects of this process are highlighted in the subsections below:

7.1.1. FHWA Authorization of Construction Costs

As part of the letting process, the Iowa DOT obtains [FHWA Authorization](#) for the costs of the proposed construction contract. FHWA Authorization will be requested based on the plans, specifications, and estimate (PS&E) submitted by the LPA. If the bids come in significantly higher or lower than the estimate, the FHWA Authorization may be adjusted accordingly, provided that sufficient [Federal funds](#) are available for the project. The Iowa DOT requires that the LPA budget sufficient funds and be prepared to award a contract for bids that are up to 110% of the LPA's estimate.

7.1.2. Project Clearances

Before letting may proceed, the project should have all of the necessary clearances. These clearances are documented by the LPA and reviewed by the Iowa DOT using the Project

Development Certification ([Form 730002](#)). This form should be submitted with the Final Plans. For more information, refer to [I.M. 3.710](#), Project Development Certification Instructions.

Without the required clearances, projects are normally not allowed to enter the Iowa DOT letting process. However, under special circumstances, a project may begin the letting process without all of the necessary clearances provided the LPA requests and the [Administering Bureau](#) approves a Public Interest Finding.

The LPA's request must document the reasons why it is in the public's best interest to deviate from the standard procedures. For additional guidance on this process, as well as other conditions that require a Public Interest Finding, refer to [I.M. 3.720](#), Public Interest Findings.

7.1.3. Iowa DOT Concurrence in Award

After bids are opened, the Iowa DOT determines the lowest responsive and responsible bidder and provides the LPA with tabulation of bids received and the unexecuted contract documents. Within 30 days of the letting, the LPA must either accept the low bid or reject all bidders. If the low bid is accepted, the LPA shall utilize Doc Express for the execution of the Contract. Instructions for Contract Signing in Doc Express are linked [here](#). If the Contract is acceptable, the Iowa DOT indicates its concurrence on the contract documents and transitions the contract documents via Doc Express, and the contract documents are marked complete. *Work shall not begin and the preconstruction meeting shall not be held prior to Iowa DOT concurrence in the award.* If the LPA elects to reject all bids, it shall notify the Iowa DOT Contracts and Specifications Bureau of its decision. For additional information and items for LPA consideration, refer to [I.M. 5.030](#), Iowa DOT Letting Process.

7.2. Local Letting Procedures

While most Federal-aid projects must be let at the Iowa DOT, there are a few non-highway transportation programs for which lettings may be held locally.

Even though projects funded by these programs may be let locally, the applicable Federal and State competitive bidding requirements must still be satisfied, as well as several other Federal-aid requirements. To assist in meeting these requirements, the Iowa DOT has developed procedures and standardized bidding documents for use with locally let Federal-aid projects. Before advertising for bids, the LPA must submit the proposed bidding documents for review and approval by the Iowa DOT.

For more information on the types of Federal-aid programs and projects that may be let locally, and the required procedures for conducting a local letting, refer [I.M. 5.120](#), Local Letting Process – Federal-aid.

7.3. Participation by Disadvantaged Business Enterprises

The requirements of the Disadvantaged Business Enterprise (DBE) program apply to all contracts awarded under all of the Federal-aid transportation programs, regardless of how the contract is acquired. These requirements apply to construction contracts let locally or by the Iowa DOT. They also apply to consultant contracts which will be reimbursed with [Federal funds](#).

In summary, a DBE goal is not always required, but DBE firms must always be given consideration for participation in Federal-aid funded contracts. For specific guidance on applying the DBE requirements to construction contracts or consultant contracts, refer to [I.M. 5.010](#), DBE Guidelines.

8 Construction

8.1. Contract Administration and Inspection

Unless specified otherwise in the funding agreement, the LPA will be responsible for all aspects of administration and inspection of the construction contract. This includes providing daily, on-site inspection of the contractor's work activities and processing all of the paperwork associated with the construction contract, including any change orders. All change orders shall have approval of the appropriate governing authority, such as the city council or county board of supervisors. Change Orders must also have Iowa DOT concurrence.

If the LPA does not have adequate staff to perform this work, it may hire a consultant or enter into an agreement with another governmental agency to provide these services. If the LPA elects to hire a consultant, the consultant staff shall be competent in construction inspection and perform this work under the direct supervision of a registered professional engineer or architect licensed in the State of Iowa.

However, use of a consultant does not relieve the LPA of ultimate responsibility for the proper administration and inspection of the construction contract. If a consultant is used to provide the inspection services, an LPA employee shall oversee the consultant's work.

For additional information about the construction inspection procedures, including the required forms and paperwork, refer to [I.M. 6.000](#), Construction Inspection.

8.2. Iowa DOT and FHWA Reviews

The Iowa DOT and / or the FHWA may also conduct a field review of selected LPA projects during construction. Selected projects will be reviewed by [Administering Bureau](#), [Local Systems Bureau](#), or FHWA staff. If selected, the LPA may be notified when the field review will be conducted, or the review may be conducted unannounced. The purpose of the field review is to spot check the LPA's construction inspection documentation and provide assistance to the LPA if any deficiencies are identified.

9 Project Close-out and Audits

9.1. Completion of the Construction Contract

Federal regulations require each project to establish a Project End Date (PED). Costs incurred after the PED are not eligible for reimbursement. Timely project closeouts after the PED are also required by federal regulations. Refer to [I.M. 1.200](#), Federal Funds Management, for additional details.

The LPA is responsible for ensuring that all project construction has been completed and all of the necessary paperwork as required by the construction contract has been provided. This involves the LPA conducting a pre-audit of all contract items and associated paperwork; refer to [I.M. 6.110, Attachment E](#) for a checklist of items. When both the LPA and the Administering Bureau accept the field work as complete, the LPA's project engineer shall certify that the project was constructed in accordance with the plans and specifications and request a final audit of the construction contract.

9.2. Final Audits

After receipt of the request for a final audit, the [Administering Bureau](#) may elect to conduct a final audit of the construction contract documentation. This will include a review of the final pay quantities for the construction contract, including material certifications, test results, and other documentation. If Federal-aid participation was requested for the costs of a consultant contract, work by LPA forces, utility relocations, or railroad work, a final audit or review of these costs may also be conducted.

If the final audits or reviews find that the LPA has been over-reimbursed, the LPA shall reimburse the Iowa DOT for the amount identified by the final audit or review. In turn, the Iowa DOT will credit these funds to the FHWA. Otherwise, the Iowa DOT will make the final reimbursement to the LPA, taking into account any adjustments required by the final audit or review.

9.3. Closing the Project and Records Retention

After the final reimbursement to the LPA has been processed, the Iowa DOT will prepare a final [Amendment/Modification](#) to the [FHWA authorization](#) for the project in [FMIS](#), including the final total costs and final amount of Federal-aid reimbursement. After FHWA has approved this request, a copy of this document will be distributed to various Iowa DOT offices, the LPA, and the appropriate RPA or MPO.

The LPA shall maintain all project records for a period of 3 years after FHWA approval of the final Amendment / Modification document. Afterwards, the LPA may discard its project files if desired.

For more detailed information concerning the entire project close-out process, refer to [I.M. 6.110](#), Final Review, Audit, and Close-out Procedures for Federal-aid, Federal-aid Swap, and Farm-to-Market Projects, and [I.M. 6.130](#), Interest Payment Procedures.

10 Other Federal-aid Requirements

This section of the Federal-aid Guide addresses those Federal-aid requirements that do not correspond to a particular part of the project development process but are nonetheless very important considerations for any LPA using [Federal funds](#).

10.1. Nondiscrimination

10.1.1. Title VI

Title VI of the Civil Rights Act of 1964 (Title VI) is a foundational piece of legislation that forms the basis for a wide array of other laws and regulations that prohibit discrimination on the basis of race, color, national origin, disability, gender, and age. Title VI has a very broad application. It prohibits discrimination in all programs or activities of any LPA that is a recipient of any Federal-aid financial assistance; even those programs or activities that do not directly benefit from such assistance. For additional guidance, refer to [I.M. 1.070](#), Title VI and Nondiscrimination Requirements.

10.1.2. Americans with Disabilities Act

The Americans with Disabilities Act of 1990 (ADA) is another piece of legislation aimed at prohibiting discrimination. Title II of the ADA applies to State and local governments, and its requirements affect the design, construction, and maintenance of all transportation projects, regardless of the funding sources.

The ADA requires that all new construction, reconstruction, and alterations to existing pedestrian facilities be made accessible to persons with disabilities. In addition, for those existing facilities that are not accessible, a transition plan must be prepared and implemented to bring those facilities into compliance.

For more information on ADA requirements related to transportation projects and facilities, refer to [I.M. 1.080](#), ADA Requirements.

10.2. Federal Funds Management

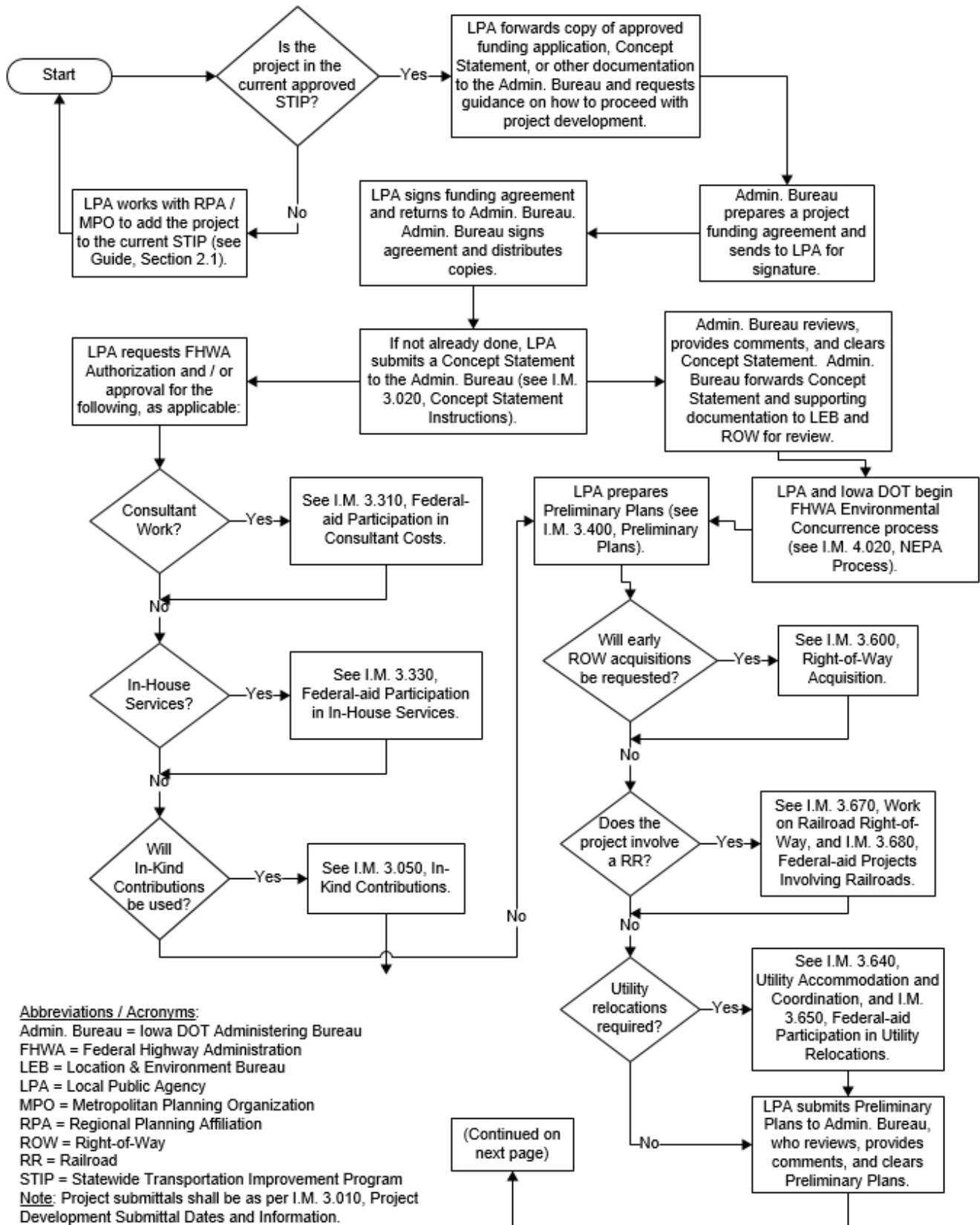
LPAs expending any Federal funds of any kind must comply with various Federal requirements relating to the management of Federal funds, including financial controls, single audit requirements, reporting, inactive obligations, project end dates, and close-out procedures. For more information, refer to [I.M. 1.200](#), Federal Funds Management.

10.3. Bridges

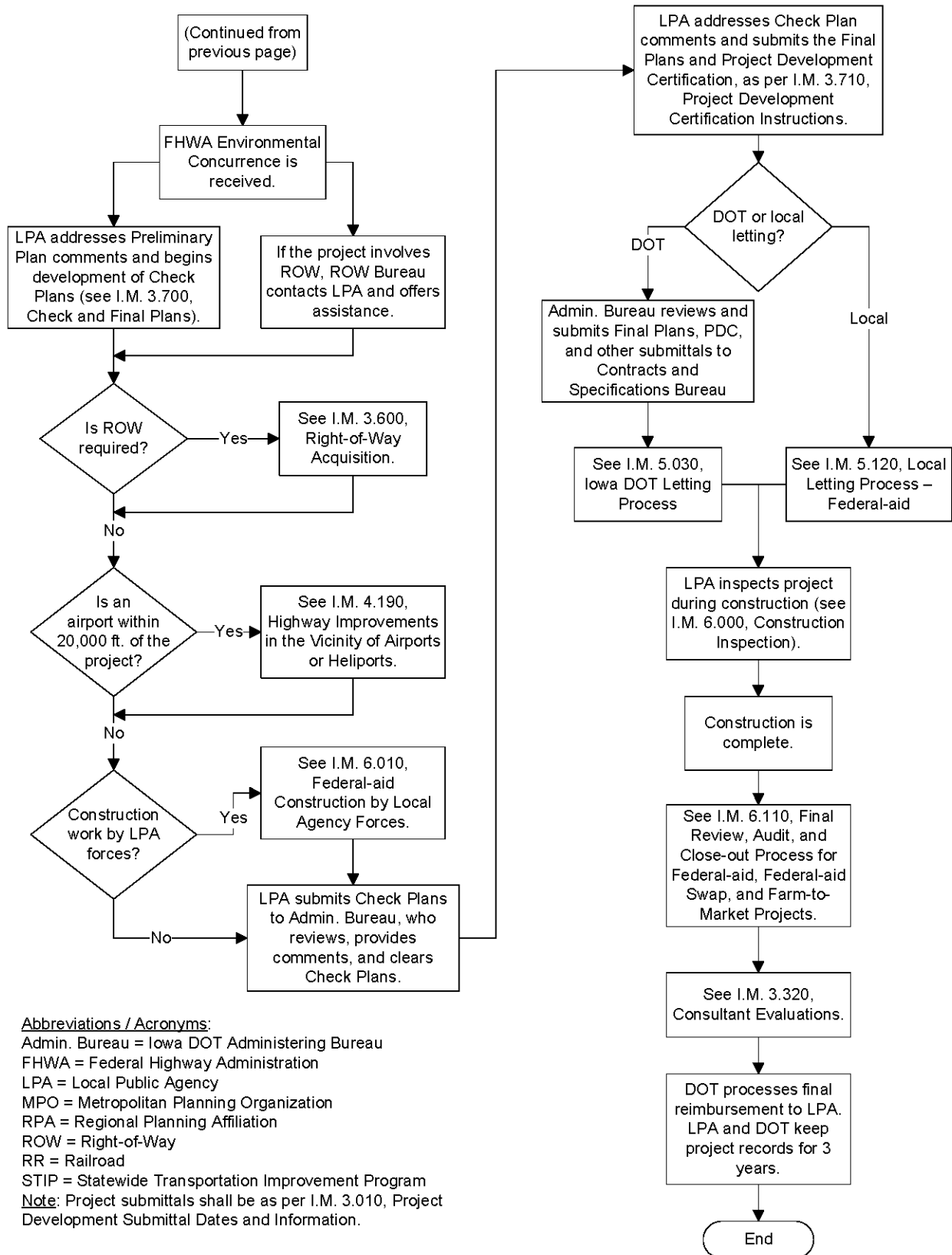
10.3.1. Bridge Inspections

As a condition of receiving any [Federal funds](#), LPAs with highway bridges under their jurisdiction must comply with the National Bridge Inspection Standards (NBIS). The NBIS requires regular inspections, bridge ratings, posting where appropriate, and qualified personnel to perform and supervise inspections. For more information, refer to [I.M. 7.020](#), Bridge Inspections.

Appendix A – Project Development Flow Chart



Appendix A – Project Development Flow Chart (continued)



Abbreviations / Acronyms:

- Admin. Bureau = Iowa DOT Administering Bureau
 - FHWA = Federal Highway Administration
 - LPA = Local Public Agency
 - MPO = Metropolitan Planning Organization
 - RPA = Regional Planning Affiliation
 - ROW = Right-of-Way
 - RR = Railroad
 - STIP = Statewide Transportation Improvement Program
- Note:** Project submittals shall be as per I.M. 3.010, Project Development Submittal Dates and Information.

Appendix B – Glossary of Terms

Below is an alphabetical listing of terms and phrases used in the Federal-aid Guide. Following each term or phrase is a brief definition.

Administering Bureau: For projects funded by any or a combination of the Transportation Alternatives Program, Federal Recreational Trails, certain Iowa Clean Air Attainment Program projects, and [earmark](#) projects that are eligible under the aforementioned programs, the [Systems Planning Bureau](#) is the Administering Bureau. For most other projects, the Administering Bureau is the Local Systems Bureau. In rare cases, the Administering Bureau is one of the 6 District Offices, depending on which [Iowa DOT District](#) the LPA is located in. Refer to [I.M. 1.000](#), Iowa DOT Oversight of LPA Projects, to determine which bureau is the Administering Bureau.

Authorization/Agreement: A document that the Iowa DOT and FHWA electronically sign in [FMIS](#) that obligates [Federal funds](#) for the project. This document also establishes the [Effective Authorization Date](#).

Amendment/Modification: A document that amends a previously executed Authorization/Agreement or a prior Amendment/Modification. In instances when a Federal-aid funded project needs to be amended for any reason (cost overrun, additional phase of work, supplemental agreement, etc.), an Amendment/Modification is signed by the Iowa DOT and FHWA to electronically approve the modification. This process is also completed through [FMIS](#).

Earmark or demonstration funds: Federal-aid funding that is directed to specific projects in legislation enacted by the United States Congress. Earmark funding may be included either in a multi-year transportation bill such as the Fixing America's Surface Transportation Act (FAST Act), or as part of an annual appropriations bill. *Even though these projects receive their funding in a different way, earmark projects must still follow the same project development procedures as all other Federal-aid projects.*

Effective Authorization Date: This is the date after which work that is to be reimbursed with [Federal funds](#) may begin. Any costs [incurred](#) prior to this date are not eligible for Federal-aid reimbursement. This date is shown on the [Authorization/Agreement](#) and [Amendment/Modification](#) documents.

Federal-aid highways: All roads except those with a [Federal Functional Classification](#) of Rural Minor Collector or Local.

Federal Fiscal Year (FFY): Begins on October 1 and ends September 30 of each calendar year. For example, October 1, 2021 is the beginning of the Federal Fiscal Year 2022.

Federal funds: Federal funds reflect the amount of Federal funding available for a project. The total amount of Federal funds received is subject to either the Federal-aid limit shown in the Statewide Transportation Improvement Program (STIP) or the limit established by the project funding agreement.

Federal share: The percentage of eligible and authorized project costs paid by the Federal government. With a few exceptions, the Federal government does not pay for the entire cost of the project. In most cases, [Federal funds](#) must be matched with funds from non-Federal-aid sources. For most FHWA transportation programs, the Federal share of project costs is 80%. Refer to the funding agreement for the applicable pro-rata Federal share and matching requirements of the specific type of [Federal funds](#) involved.

FHWA Authorization: The action taken by FHWA when signing the [Authorization/Agreement](#) document or the [Amendment/Modification](#) document in [FMIS](#). Except in the case of Advance Construction, this action results in an [obligation](#) of [Federal funds](#) at the specified [Federal share](#) for the specific type of project costs identified on the Authorization/Agreement or Amendment/Modification.

FHWA Environmental Concurrence: This milestone in project development is marked by different events for different types of projects, depending on the anticipated level of environmental impacts. The event that marks the completion of the NEPA process depends on the type of NEPA document that is required for the project:

- For projects that are classified as a Categorical Exclusion (CE), the NEPA process is complete as of the effective date of FHWA Environmental Concurrence. This date is specified in the written notice the LPA will receive from the Iowa DOT Location and Environment Bureau.
- For projects that require an Environmental Assessment (EA) or Environmental Impact Statement (EIS) document, the NEPA process is considered complete as of the date that the FHWA signs the Finding of No Significant Impact (FONSI) or Record of Decision (ROD) document, respectively.

Appendix B – Glossary of Terms (continued)

For more information about the different types of environmental documentation, refer to [I.M. 4.020](#), NEPA Process.

Fiscal Management Information System (FMIS): FMIS is the FHWA’s electronic financial tracking system for Federal-aid transportation projects. Iowa DOT personnel use this system to request [FHWA Authorization](#) or obtain project information and funding reports.

Incurred Costs: Costs are considered to be incurred when the work associated with those costs begins. Example: Costs have been incurred once a consultant, whose services are to be reimbursed with [Federal funds](#), begins work, even if the LPA has not received a bill or made any payments to the consultant.

Interstate System: Those highways that are part of the Dwight D. Eisenhower National System of Interstate and Defense Highways.

National Highway System (NHS): Those highways that are important to the nation’s economy, defense, and mobility. The NHS is made up of several subsystems, including the Interstate System, other principal arterials (as shown on the [Federal Functional Classification](#) maps), the Strategic Highway Network (roads of importance to strategic defense and emergency response), Major Strategic Highway Connectors (access roads to major military installations) and Intermodal Connectors (roads that provide access between major intermodal facilities and the other four subsystems previously listed). For current maps of the NHS, see FHWA’s [NHS in Iowa web page](#).

Obligation: An obligation is a commitment – the Federal government’s promise to pay the [Federal share](#) of a project’s eligible cost. This commitment occurs when the project is authorized by FHWA and the [Authorization/Agreement](#) or the [Amendment/Modification](#) is executed through [FMIS](#). Obligation is a key step in financing. Obligated funds are considered “used,” or set aside for that particular project, even before any cash is transferred.

Primary Highway System: Those highways that are under the jurisdiction of the Iowa DOT.



Instructional Memorandums to Local Public Agencies

Table of Contents

The Iowa DOT is required by [Iowa Code 307.24](#) to provide assistance for urban systems and secondary roads, and to provide other categories of assistance as necessary. One of the ways in which we carry out that requirement is to develop and maintain Instructional Memorandums (I.M.s). Some I.M.s are written either to counties or cities; others are written to both counties and cities. The intended audience is indicated in the "To:" field of the I.M. as well as the Table of Contents below. Many of the I.M.s are referenced by the Federal-aid Project Development Guide (Federal-aid Guide). These I.M.s are marked with an asterisk (*). For more information about the relationship between the [Federal-aid Guide](#), the [Non-Federal-aid Guide](#), and I.M.s, refer to the [Guide and I.M.s web page](#). The funding type is listed in the Table of Contents below, and will be labeled for Federal-aid (F.A.), Federal-aid Swap (Swap), State-aid (State), Farm-to-Market (F.M.) or Local; if the I.M. applies to all types of funding, "All" will be used as the Funding type.

Note: Some of the I.M.s are not yet complete, as shown in light grey text. Most of the links to the [Code of Federal Regulations](#) (CFR) and the [United States Code](#) (USC) have been removed from the individual I.M.s below. To get to the general CFR and USC, you can click on the links above and search each respective page.

No.	Subject	Revision Date	Funding	Written To
Chapter 1 – Administration				
Chapter 2 – County Road System				
Chapter 3 – Project Development				
Chapter 4 – Environmental Regulations				
Chapter 5 – Letting and Contracts				
Chapter 6 – Construction				
Chapter 7 – Maintenance				
Chapter 8 – Miscellaneous Information				
Chapter 1 – Administration				
Section 1.0 -- General				
1.000	Iowa DOT Oversight of LPA Projects	November 21, 2024	All	Both
	Attachment A - Project Submittal Table for Each Funding Type	November 21, 2024	All	Both
	Attachment B – Administering Team Responsibilities Flowchart	November 21, 2024	All	Both
1.010	Acronym List	December 31, 2019	All	Both
1.020	References to the Iowa Code	August 7, 2020	All	Counties
1.070*	Title VI and Nondiscrimination Requirements	June 29, 2018	F.A.	Both
1.080*	ADA Requirements	October 1, 2013	All	Both
	Attachment A – Sample Curb Ramp Transition Plan (Word)	August 24, 2012	All	Both
Section 1.1 -- Programs				
1.100*	Highway Bridge Programs for Cities and Counties	June 12, 2024	All	Both
	Attachment A – City Bridge Priority Point Rating Worksheet (Word)	August 16, 2024	F.A.	Cities
	Attachment B – County Bridge Priority Point Rating Worksheet (Word)	November 4, 2022	All	Counties
	Attachment C – Touchdown Points and Limits of Participation	July 18, 2011	F.A.	Both
	Attachment D – County HBP Fiscal Constraint Requirements	July 18, 2011	F.A.	Counties
1.150	Federal-aid Swap Program	February 10, 2023	Swap	Both
	Attachment A - Federal-aid Swap Policy Approved by the Iowa DOT Commission	November 4, 2022	Swap	Both

No.	Subject	Revision Date	Funding	Written To
1.180	Procedures for Developing and Administering Emergency Relief (ER) Projects	May 24, 2024	F.A.	Both
Section 1.2 -- Finance				
1.200	Federal Funds Management	October 19, 2023	F.A.	Both
	Attachment A - Procedures for Estimating Project End Dates	June 12, 2024	F.A.	Both
1.250	City Road Use Tax Fund Information	November 4, 2022	All	Both
Chapter 2 – County Road System				
Section 2.0 -- General				
2.010	Requirements for the County Secondary Road Construction Program and Budget	January 19, 2024	All	Counties
	Attachment A - Construction vs. Maintenance	November 21, 2024	All	Counties
	Attachment B - Paving Point Determination	August 8, 2018	All	Counties
	Attachment C - Sample Notice of Public Hearing (Word)	August 8, 2018	All	Counties
	Attachment D - Sample Resolution for Paving Points (Word)	August 8, 2018	All	Counties
2.050	Procedure to Amend a County Secondary Road Construction Program and Budget	August 7, 2020	All	Counties
	Attachment A - Example of Resolution to Add, Modify, or Advance a Project	August 7, 2020	All	Counties
2.070	Secondary Road Budget Accounting Code Series	July 7, 2023	All	Counties
2.080	Requirements for the County Annual Report	August 8, 2018	All	Counties
Section 2.1 -- Farm-to-Market (FM) System				
2.100	Farm-to-Market Program	January 19, 2024	F.M.	Counties
2.120	Temporary Allocation of Farm-to-Market Funds	March 17, 2017	F.M.	Counties
2.130	Transfer of Local Funds to the Farm-to-Market Fund	July 7, 2023	F.M.,Local	Counties
	Attachment A - Local to FM Fund Transfer Resolution (Word)	February 10, 2023	F.M.,Local	Counties
2.140	Transfer of Farm-to-Market Funds to the Local Secondary Road Fund	June 12, 2024	F.M.,Local	Counties
2.160	Procedures to Modify the Secondary Road Route Numbering System	May 26, 2017	All	Counties
2.170	Modification of the Farm-to Market (FM) System	July 12, 2022	F.M.	Counties
2.180	Farm-to-Market Review Board Advisory Opinions on Proposed Jurisdictional Transfers	July 12, 2022	F.M.	Counties
Section 2.2 -- Local Secondary Road Systems				
2.220	Establishing and Signing Area Service Roads	December 31, 2015	Local	Counties
	Attachment A - Area Service “B” Road Maintenance Ordinance (Sample) (Word)	May 12, 2014	Local	Counties
	Attachment B - Resolution for Reduced Level of Maintenance to Area Service “B” Road (Sample) (Word)	December 31, 2015	Local	Counties
	Attachment C - Area Service “C” Road Maintenance Ordinance (Sample) (Word)	May 12, 2014	Local	Counties
	Attachment D - Resolution for Reduced Level of Maintenance to Area Service “C” Road (Sample) (Word)	December 31, 2015	Local	Counties
	Attachment E - Resolution for Increased Level of Maintenance to Area Service Road (Sample) (Word)	December 31, 2015	Local	Counties
2.230	Signing for Low Cost Stream Crossings	June 2002	Local	Counties

No.	Subject	Revision Date	Funding	Written To
	Attachment A - Resolution for Low-Water Stream Crossing (Word)	June 2002	Local	Counties
2.270	County Road Vacations	May 20, 2019	All	Counties
	Attachment A - Resolution for Road Vacation Public Hearing (Word)	May 26, 2017	All	Counties
	Attachment B - Notice of Public Hearing (Word)	May 26, 2017	All	Counties
	Attachment C - Resolution to Vacate a County Road (Word)	May 26, 2017	All	Counties

Chapter 3 – Project Development

Section 3.0 -- General

3.000 *	Federal-aid Project Scheduling	February 16, 2007	F.A.	Both
3.010 *	Project Development Submittal Dates and Information	November 21, 2024	All	Both
3.020 *	Concept Statement Instructions	June 12, 2024	F.A.	Both
	Attachment A - Concept Statement Checklist of Submittal Items (Word)	June 12, 2024	F.A.	Both
3.050 *	In-Kind Contributions	January 19, 2024	F.A.	Both
3.060	Project Numbers	October 8, 2024	All	Both

Section 3.1 -- (Reserved)

Section 3.2 -- Design Guidelines and Exceptions

3.210 *	Rural Design Guidelines	March 15, 2023	All	Counties
3.215	Urban Design Guidelines	July 7, 2023	All	Cities
3.220 *	3R Guidelines	February 10, 2023	All	Both
3.230 *	Traffic Barriers (Guardrail and Bridge Barrier Rail)	April 24, 2018	All	Both
3.240 *	Clear Zone Guidelines	May 18, 2018	All	Both
3.250 *	Economic Analysis (Benefit-to-Cost Ratio)	March 4, 2020	All	Both
3.260 *	Design Exception Process	May 18, 2018	All	Both
	Attachment A – Design Exception Process Flowchart	October 1, 2013	All	Both

Section 3.3 -- Consultant and In-House Design

3.310 *	Federal-aid Participation in Consultant Costs	January 19, 2024	F.A.	Both
	Attachment A – Federal-Aid Consultant Checklist	October 22, 2018	F.A.	Both
	Attachment B – Requirements for Federal-Aid Consultant Contracts	February 13, 2018	F.A.	Both
	Attachment C – Payment Methods	December 19, 2014	F.A.	Both
	Attachment D – Sample Consultant Contract (Word)	May 26, 2017	F.A.	Both
	Attachment E – Errors and Omissions	December 19, 2014	F.A.	Both
3.320	Consultant Evaluations	July 7, 2023	F.A.	Both
3.330 *	Federal-aid Participation in In-House Services	November 4, 2022	F.A.	Both
	Attachment A - Scope of Work and Budget Worksheet	October 1, 2018	F.A.	Both

Section 3.4 -- Preliminary Design

3.400 *	Preliminary Plans	June 12, 2024	F.A.	Both
	Attachment A – Preliminary Plan Guidelines	February 18, 2013	F.A.	Both
	Attachment B – Preliminary Plan Checklist (Word)	November 21, 2024	F.A.	Both
	Attachment C – Preliminary Plan Process Flowchart	February 18, 2013	F.A.	Both

No.	Subject	Revision Date	Funding	Written To
Section 3.5 -- Bridge Design				
3.500*	Bridge or Culvert Plans	July 7, 2023	All	Both
	Attachment A – Bridge or Culvert Supplementary Checklist (Word)	November 21, 2024	All	Both
	Attachment B – Instructions for Completing the Hydraulic Design of Bridges (Culverts) Form	June 29, 2018	All	Both
Section 3.6 -- Right-of-Way, Utilities, and Railroads				
3.600*	Right-of-Way Acquisition	January 19, 2024	All	Both
	Attachment A – Waiver Valuation Provision	November 27, 2017	All	Both
	Attachment B – FHWA Authorization of Right-of-Way Costs Flowchart	March 4, 2020	F.A.	Both
	Attachment C – Early Right-of-Way Acquisition Process Flowchart	March 4, 2020	F.A.	Both
3.640*	Utility Accommodation and Coordination	May 2, 2016	All	Both
	Attachment A – Utility Coordination Flowchart	December 11, 2008	All	Both
	Attachment B – Utility Coordination Checklist (Word)	February 11, 2014	All	Both
3.650*	Federal-aid Participation in Utility Relocations	May 2, 2016	F.A.	Both
	Attachment A – Utility Relocation Federal-Aid Eligibility Flowchart	February 11, 2014	F.A.	Both
	Attachment B – FHWA Authorization of Utility Relocation Costs Flowchart	February 11, 2014	F.A.	Both
3.670*	Work on Railroad Right-of-Way	October 8, 2024	All	Both
	Attachment A –Work in Railroad Right-of-Way Flowchart	April 24, 2018	All	Both
3.680*	Federal-aid Projects Involving Railroads	March 15, 2023	F.A.	Both
	Attachment A - Railroad Agreement Language for Federal-aid Projects involving Railroads (Word)	March 15, 2023	F.A.	Both
	Attachment B - FHWA Authorization of Railroad Costs	March 15, 2023	F.A.	Both
	Attachment C – FHWA Authorization of Railroad Costs Flowchart	March 15, 2023	F.A.	Both
Section 3.7 -- Final Design				
3.700*	Check and Final Plans	June 12, 2024	All	Both
	Attachment A – Check and Final Plan Guidelines	January 19, 2024	All	Both
	Attachment B – Check and Final Plan Checklist (Word)	November 21, 2024	All	Both
	Attachment C – Check and Final Plan Process Flowchart	February 18, 2013	All	Both
3.710*	Project Development Certification Instructions	October 8, 2024	All	Both
	Attachment A – Project Development Certification Process Flowchart	November 27, 2019	All	Both
3.720*	Public Interest Findings	November 4, 2022	All	Both
3.730	Innovative Contracting Procedures	November 27, 2019	All	Both
3.740	Build America Buy America (BABA) Waiver	(future)	F.A.	Both
Chapter 4 - Environmental Regulations				
Section 4.0 -- General				
4.010*	Environmental and Permitting Process for non-Federal-aid Projects	November 21, 2024	All but F.A.	Both
4.020*	NEPA Process	November 21, 2024	F.A.	Both
	Attachment A - NEPA Process Flowchart	May 20, 2019	F.A.	Both

No.	Subject	Revision Date	Funding	Written To
	Attachment B - Environmental Assessment / FONSI Process Flowchart	May 20, 2019	F.A.	Both
	Attachment C - Environmental Impact Statement / ROD Process Flowchart	May 20, 2019	F.A.	Both
	Attachment D - Section 4(f) Process Flowchart	May 20, 2019	F.A.	Both
Section 4.1 -- Environmental Reviews and Permits				
4.110	Threatened and Endangered Species	July 7, 2023	All	Both
	Attachment A - Threatened and Endangered Species Process for Non-Federal-aid Projects Flowchart	May 20, 2019	All but F.A.	Both
	Attachment B - Threatened and Endangered Species Process for Federal-aid Projects Flowchart	May 20, 2019	F.A.	Both
	Attachment C - Avoidance and Minimization Measures for Threatened and Endangered Bats	February 13, 2018	All	Both
4.120*	Cultural Resource Regulations	January 19, 2024	All	Both
	Attachment A - Cultural Resource Process for Swap Projects Flowchart	February 13, 2018	Swap	Both
	Attachment B - Cultural Resource Process for Federal-aid Projects Flowchart	February 13, 2018	F.A.	Both
4.130*	404 Permit Process	May 20, 2019	All	Both
	Attachment A – 404 Permit Determination Process Flowchart	June 29, 2018	All	Both
	Attachment B – 404 Permit Checklist	June 29, 2018	All	Both
	Attachment C – Commonly Used NWP for Transportation Projects	June 29, 2018	All	Both
4.140	Storm Water Permits	June 29, 2018	All	Both
4.150	Iowa DNR Floodplain Permits and Regulations	June 29, 2018	All	Both
4.160*	Asbestos Inspection, Removal, and Notification Requirements	April 29, 2020	All	Both
4.170*	Farmland Protection Policy Act	November 8, 2016	F.A.	Both
	Attachment A - Farmland Protection Policy Act Process Flowchart	August 22, 2017	F.A.	Both
	Attachment B – Instructions for Completing the Farmland Conversion Rating Form	November 8, 2016	F.A.	Both
4.190*	Highway Improvements in the Vicinity of Airports or Heliports	September 13, 2016	All	Both
4.200	Water Trails and Paddling Routes	January 19, 2024	All	Both

Chapter 5 - Letting and Contracts

Section 5.0 -- Iowa DOT Lettings

5.010*	DBE Guidelines	February 29, 2016	F.A.	Both
5.020	TSB Guidelines	(future)	All	Both
5.030*	Iowa DOT Letting Process	November 4, 2022	All	Both
	Attachment A - Iowa DOT Pre-Letting Process Flowchart	October 1, 2013	All	Both
	Attachment B – Iowa DOT Post-Letting Process Flowchart	November 27, 2019	All	Both
	Attachment C - Sample Resolution for a County to Delegate Contract Signing in Doc Express	March 4, 2020	All	Both

Section 5.1 -- Local Lettings

5.100	Local Letting Process – State-aid or Local Funded Projects	November 4, 2022	State,Local	Both
	Attachment A – Sample Bidding Proposal Form (Word)	November 8, 2016	State,Local	Both
	Attachment B – Sample Notice to Bidders Form (Word)	November 8, 2016	State,Local	Both

No.	Subject	Revision Date	Funding	Written To
	Attachment C – Sample Contract Form (Word)	November 8, 2016	State,Local	Both
5.120*	Local Letting Process – Federal-aid	October 1, 2018	F.A.	Both
	Attachment A – Pre-Award Checklist and Certification (Word)	October 1, 2018	F.A.	Both
	Attachment B – Post-Award Checklist and Certification (Word)	October 1, 2018	F.A.	Both
	Attachment C – Local Letting (Federal-aid) Pre-audit Checklist (Word)	October 1, 2018	F.A.	Both

Chapter 6 - Construction

Section 6.0 -- General

6.000*	Construction Inspection	November 21, 2024	All	Both
	Attachment A - Preconstruction Inspection Process Flowchart	December 31, 2015	All	Both
	Attachment B - Construction Inspection Process Flowchart	December 31, 2015	All	Both
	Attachment C - Subcontract Review and Authorization Process - Post Award Flowchart	November 27, 2019	All	Both
	Attachment D - Local Public Agency Construction Contract Administration Guidance	June 12, 2024	All	Both
	Attachment E - Iowa DOT Field Inspection Review Report (Word)	January 26, 2017	All	Both
	Attachment F - Doc Express and Appia Instructions for Local Public Agencies	February 10, 2023	All	Both
	Attachment G – Request for Early Release of Retained Funds (Word)	February 15, 2022	All	Both
	Attachment H – Doc Express Change Order Drawer Signatures and Workflow Steps	November 21, 2024	All	Both
6.020	Reimbursement Requests for Payments	(future)	All	Both

Section 6.1 -- Project Close-out and Audits

6.110*	Final Review, Audit, and Close-out Procedures for Federal-aid, Federal-aid Swap, and Farm-to-Market Projects	November 21, 2024	All	Both
	Attachment A – Project Close-out Process Overview Flowchart	March 2, 2021	All	Both
	Attachment B – Final Review and Audit Process Flowchart – Highway or Bridge Construction	March 2, 2021	All	Both
	Attachment C – Final Review and Audit Process Flowchart – Non-highway Construction, DOT Specifications	December 21, 2018	All	Both
	Attachment D – Final Review and Audit Process Flowchart – Non-highway Construction, Non-DOT Specifications	December 31, 2015	All	Both
	Attachment E – Required LPA Project Documentation and Pre-audit Checklist (Word)	June 12, 2024	All	Both
	Attachment F – Final Forms Packet Checklist (Word)	December 31, 2020	All	Both
	Attachment G - Doc Express Closeout Drawer Signatures and Workflow Steps	November 21, 2024	All	Both
6.130*	Interest Payment Procedures	December 3, 2007	All	Both
	Attachment A – Sample Interest Payment Information Form	December 31, 2020	All	Both
6.140	Resolution to allow County Engineer to Certify Completion of Work on Construction Contracts	August 28, 2014	All	Counties
	Attachment A – Sample Resolution (Word)	December 3, 2007	All	Counties

Chapter 7 – Maintenance

Section 7.0 -- General

7.020* Bridge Inspections	May 20, 2024	All	Both
Attachment A - Bridge Scour Stability Worksheet - Level A Evaluation (Word)	April 24, 2018	All	Both
Attachment B - Intermediate Scour Assessment - Level B Evaluations	January 11, 2017	All	Both
Attachment C - Intentionally left blank	December 31, 2015	All	Both
Attachment D - Scope of Services for NBI Bridge Inspection Services (Word)	April 24, 2018	All	Both
Attachment E - Iowa Legal Truck, EV, and Annual Permit Truck Diagrams	June 12, 2024	All	Both
Attachment F - Routine Permit Trucks Diagrams	July 18, 2013	All	Both
Attachment G - USGS Hydrologic Region Map with Region Descriptions	July 18, 2013	All	Both
Attachment H - Unknown Foundations Guidance, Flowchart, Risk Assessment, Worksheet, and Plan of Action (POA) - Level A Evaluation (Word)	April 24, 2018	All	Both
Attachment I - Unknown Foundations Flowchart - Level B Evaluation	July 18, 2013	All	Both
Attachment J - Quality Assurance Field Review Worksheet (Word)	April 24, 2018	All	Both
Attachment K - Nonredundant Steel Tension Member Locations and Conditions for Trusses form (Word)	July 7, 2023	All	Both
Attachment L - Nonredundant Steel Tension Member Locations and Conditions for Thru/Two Girders form (Word)	July 7, 2023	All	Both
Attachment M - Sample Nonredundant Steel Tension Member Locations and Conditions for Trusses form	July 7, 2023	All	Both
Attachment N - Berm Stability Criteria	December 31, 2015	All	Both
Attachment O - Highly Erodible Soils	December 31, 2015	All	Both

Section 7.1 -- County Road System

7.110 Maintenance of Secondary Roads at Intersections, Interchanges, and Grade Separations with the Primary Highway System	May 12, 2014	All	Counties
Attachment A – Iowa DOT PPM 630.01, Rural Intersection and Destination Lighting	October 11, 2013	All	Counties
Attachment B – Iowa DOT PPM 630.03, Interchange and Freeway Lighting	September 15, 2016	All	Counties

Chapter 8 – Miscellaneous Information

8.020 Pavement Friction Evaluation Program	January 11, 2017	All	Both
8.210 Engineering and Traffic Investigations – Speed Limit Study	January 11, 2017	All	Counties
Attachment A - Speed Restriction Ordinance (Word)	January 11, 2017	All	Counties
Attachment B - Amendment to Speed Restriction Ordinance (Word)	January 11, 2017	All	Counties
Attachment C - Resolution for Establishing Speed Limits (Word)	January 11, 2017	All	Counties
8.240 Iowa DOT Traffic Counts	November 21, 2024	All	Both

INTRODUCTION

Nicole Moore, P.E.

Director

Local Systems Bureau

Iowa Department of Transportation

1

1

PRESENTATION OVERVIEW

Introductions - DOT Contacts

Purpose & Format

Breaks & Facilities

Website Resources

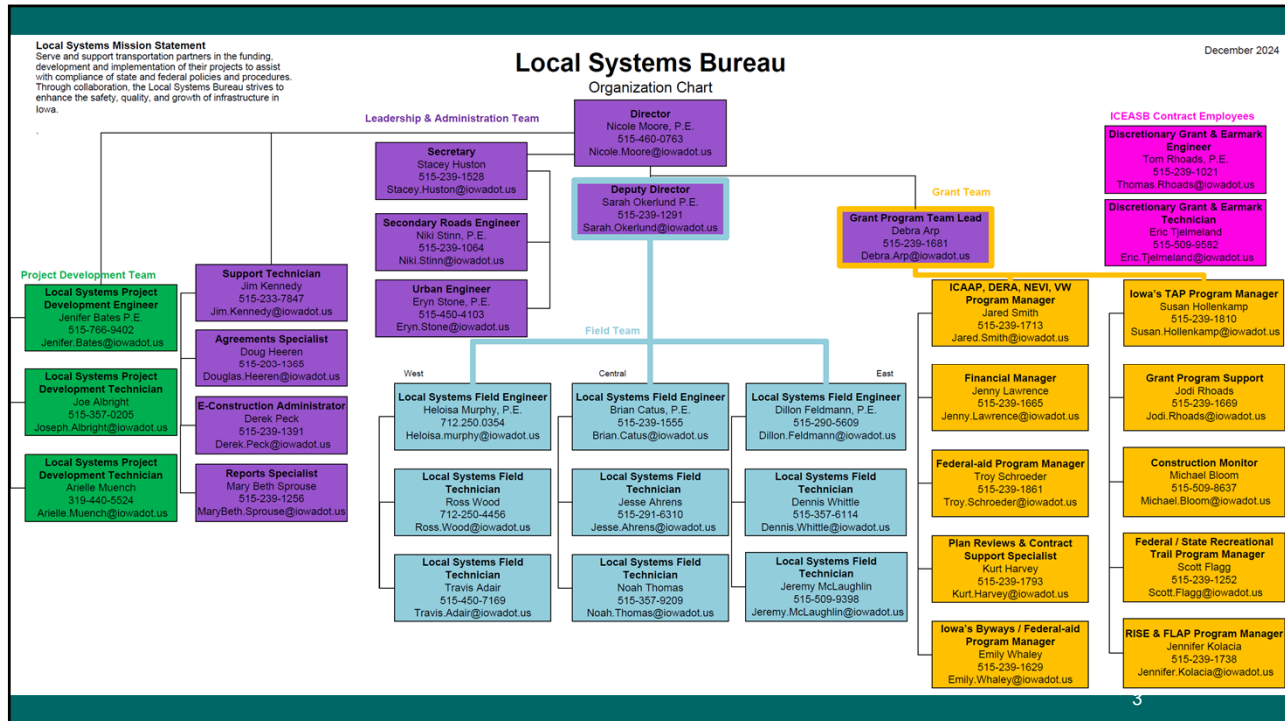
Iowa DOT Role

LPA Role

Consultant Role



2



3

GRANT TEAM, LOCAL SYSTEMS BUREAU

General Office Information	Staff Contacts (Position / Function)
<p>Systems Planning Bureau Phone: 515-239-1664 www.iowadot.gov/systems_planning</p>	<ul style="list-style-type: none"> • Debra Arp (Grant Team Leader) 515.239.1681, debra.arp@iowadot.us • Mike Bloom (Construction Monitoring) 515.509.8637, michael.bloom@iowadot.us • Scott Flagg (State/Federal Rec Trails Program Mgr) 515.239.1252, scott.flagg@iowadot.us • Kurt Harvey (Plan Reviews, Change Orders) 515.239.1793, kurt.harvey@iowadot.us • Susan Hollenkamp (Iowa's TAP Program Mgr) 515.239.1810, susan.hollenkamp@iowadot.us • Jennifer Kolacia (RISE & FLAP Program Mgr, LIFTS Project Mgr) 515.239.1738, jennifer.kolacia@iowadot.us • Jenny Lawrence (Financial Management) 515.239.1665, jenny.lawrence@iowadot.us • Jodi Rhoads (Claims Processing) 515.239.1669, jodi.rhoads@iowadot.us • Troy Schroeder (Federal-aid Project Mgr) 515.239.1861, troy.schroeder@iowadot.us • Jared Smith (ICAAP Program Mgr, Federal-aid Project Mgr) 515.239.1713, jared.smith@iowadot.us • Emily Whaley (Iowa Byways Program Mgr, Fed-aid Project Mgr) 515.239.1629, emily.whaley@iowadot.us

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LOCAL SYSTEMS PDT/FT & GRANT TEAM

Local Systems – PDT / FT

- Surface Transportation Block Grant Program (STBG)
- Highway Bridge Programs for Cities and Counties
- Highway Safety Improvement Program (HSIP)
- Emergency Relief Program (ER)
- Federal-aid Swap *
- Various State-aid programs *
- Farm-to-Market Program (FM) *
- Mainly focus on Roadway and Bridge Projects

*Not Federal-aid

Local Systems – Grant Team

- Transportation Alternatives Program (TAP)
- Federal Recreational Trails Program
- Iowa's Clean Air Attainment Program (ICAAP)
- Mainly focus on "Small Grants" projects, that are non-highway

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PURPOSE & FORMAT BREAKS & FACILITIES

- Purpose – Provide training on Federal-aid regulations and procedures
 - Federal-aid Training
 - This is not training for Federal-aid Swap; Swap projects have lesser oversight, as they do not utilize Federal-aid or follow the entire Federal-aid process
- Format – Many presentations, ask questions as you have them
- Breaks – per the agenda, refreshments
- Facilities
- Please silence all phones and computers



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AUDIENCE PARTICIPATION

- How many are from:
 - Cities
 - Counties
 - Consulting Firms
 - Iowa DOT
 - FHWA
 - Other?
- How many this is your first Federal-aid Overview Training?
- How many have done Federal-aid Projects before?

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ROLES AND RESPONSIBILITIES

Iowa DOT Role

- Iowa DOT has a Stewardship & Oversight Agreement with FHWA.
- Advisor – provide guidance and assistance to LPAs for successful implementation of their Federal-aid projects
- Monitor – responsible to FHWA for administering and overseeing Federal-aid programs. Numerous reviews and approvals of project activities.

LPA Role

- Follow the Federal-aid Guide, I.M.s and Funding Agreement
- Professional Engineer signing plans, designing all aspects of the project
- Example: DOT reviews plans to ensure they are consistent with our bidding procedures, but we don't check quantities
- *Iowa DOT does not conduct an engineering review of the plans as that is the responsibility of the LPA and/or their engineering firm. (not to be confused with DOT Primary Highway within DOT ROW roles/reviews)*
- Shall have Person in Responsible Charge (PIRC) as defined in Federal-aid Guide.

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PERSON IN RESPONSIBLE CHARGE (PIRC)

- Federal regulations (23 CFR 635.105 and 23 CFR 172.9(d)(1)) require the LPA to have a full-time employee who is in responsible charge of the project. This person supervises all project administration duties, oversees the work performed by consultants and contractors, and coordinates the development of the project with the Iowa DOT.
- These duties may be shared by several people. A single person may also serve as the person in responsible charge for multiple projects.
- For counties and larger cities, this person is typically the county or city engineer; however, they need not be a licensed engineer or architect to be the person in responsible charge. For smaller cities that do not have any full-time employees, the mayor or city clerk may serve as the person in responsible charge, with assistance from the Iowa DOT Administering Team

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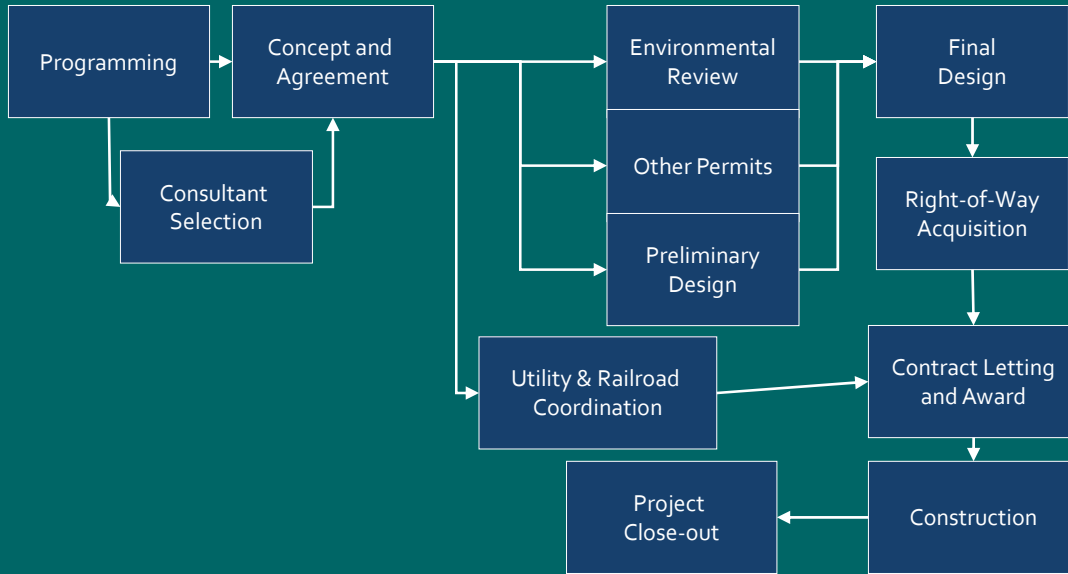
CONSULTANT ROLE

- Consultant **shall not** serve as person in responsible charge (PIRC)
- Preliminary Engineering – Design, Submittals, Permits, Etc as applicable
- Construction Engineering & Contract Administration
 - Inspection
 - Project Documentation
 - Contract Administration
 - Pre-Audit (Project Engineer)
 - Project Closeout
 - Etc. as applicable

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TYPICAL PROJECT SEQUENCE



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QUESTIONS?



Reference Documents:

- As listed on previous slides

Iowa DOT Contact Person:

- See Iowa DOT Contact List for appropriate Administering Bureau staff

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WELCOME

Federal Highway Administration

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FEDERAL-AID BASICS

Sarah Okerlund, P.E.

Deputy Director

Local Systems Bureau

Iowa Department of Transportation

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PRESENTATION OVERVIEW

Written Guidance (*Stewardship & Oversight*)

Planning and Programming

Funding Agreements

FHWA Authorization

Reimbursement

Consultant Selection

Roles and Responsibilities Recap

IOWA | DOT

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STEWARDSHIP/OVERSIGHT AGREEMENT

- Section 106 of Title 23, US CFR, requires that the Federal Highway Administration (FHWA) and each State enter into an agreement documenting the extent to which the State assumes the responsibility of FHWA under Title 23. The Stewardship/Oversight Agreement formalizes these delegated responsibilities and agreements to address how the Federal-aid highway program will be administered in the State.
- Last Updated in 2024:
 - <https://www.fhwa.dot.gov/federalaid/stewardship/agreements/ia.pdf>

STEWARDSHIP AND OVERSIGHT AGREEMENT
ON PROJECT ASSUMPTION AND PROGRAM OVERSIGHT
BY AND BETWEEN THE
FEDERAL HIGHWAY ADMINISTRATION,
IOWA DIVISION OFFICE,
AND THE
IOWA DEPARTMENT OF TRANSPORTATION (IOWA DOT)

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WRITTEN GUIDANCE https://iowadot.gov/local_systems/im/lpa-ims

- LOCAL SYSTEMS HOME
- IJA INFORMATION
- CONTACT US
- CONTACT LOCAL/FEDERAL PARTNERS
- INSTRUCTIONAL MEMORANDUMS AND FEDERAL-AID GUIDE
- I.M. TABLE OF CONTENTS
- LOCAL SYSTEMS EMAILS
- TRAININGS & VIDEOS
- PRE-LETTING RESOURCES
- POST-LETTING RESOURCES
- DOC EXPRESS AND APPIA
- INSPECTION WORKSHEETS (EXCEL)
- COUNTY REPORTS, FUNDING, RESOURCES
- CITY REPORTS, FUNDING AND RESOURCES
- GRANT PROGRAMS
- BID AND QUOTE THRESHOLDS
- BRIDGE INFORMATION & RESOURCES
- EQUIPMENT RATES
- MAPS
- FHWA EMERGENCY RELIEF PROGRAM

INSTRUCTIONAL MEMORANDUMS & FEDERAL-AID GUIDE

FEDERAL-AID PROJECT DEVELOPMENT GUIDE FOR LOCAL PUBLIC AGENCIES

The Federal-Aid Project Development Guide for Local Public Agencies, referred to hereinafter as the Federal-aid Guide, provides a concise summary of information and instructions for local public agency (LPA) staff and consultants involved in the planning, development and construction of LPA federal-aid transportation projects. Where appropriate, the Federal-aid Guide references the I.M.s and other documents for more detailed information and instructions.

[Federal-Aid Project Development Guide for Local Public Agencies](#)

NON-FEDERAL-AID PROJECT DEVELOPMENT GUIDE FOR LOCAL PUBLIC AGENCIES

The Non-Federal-Aid Project Development Guide for Local Public Agencies, referred to hereinafter as the Non-Federal-aid Guide, provides a concise summary of information and instructions for local public agency (LPA) staff and consultants involved in the planning, development and construction of LPA non-federal-aid transportation projects. Where appropriate, the Non-Federal-aid Guide references the I.M.s and other documents for more detailed information and instructions.

[Non-Federal-Aid Project Development Guide for Local Public Agencies](#)

SEARCH INSTRUCTIONAL MEMORANDUMS (IMS)

Type in a key word to search. If searching multiple words or a phrase, use quotes to get the specific phrase search results. For example, "contractor furnished borrow."

WHAT CAN WE HELP YOU FIND?



INSTRUCTIONAL MEMORANDUMS

The IMs provide assistance to LPAs on a wide variety of transportation-related topics. Some IMs supplement the Guide by providing more detailed information or instructions that are applicable to federal-aid transportation projects. Other IMs are applicable to state or locally funded projects. Still others are applicable to all types of projects. If the applicability of an IM is limited by funding or other considerations, this is explained in the "Contents" section at the beginning of the IM.

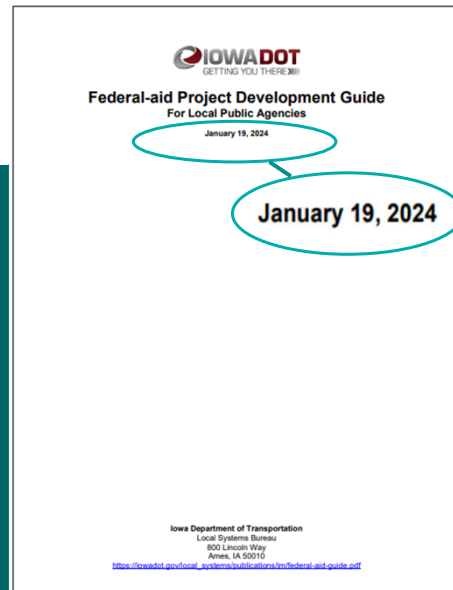
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WRITTEN GUIDANCE

- Federal-aid Project Development Guide (Federal-aid Guide)
 - Summary of the Federal-aid process
 - Centralized reference for all other Federal-aid guidance
 - 1 document
 - 22 pages

https://iowadot.gov/local_systems/publications/im/federal-aid-guide.pdf



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WRITTEN GUIDANCE https://iowadot.gov/local_systems/im/lpa-ims

LOCAL SYSTEMS HOME
ILJA INFORMATION
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CITY REPORTS, FUNDING AND RESOURCES
GRANT PROGRAMS
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BRIDGE INFORMATION & RESOURCES
EQUIPMENT RATES
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[Federal-Aid Project Development Guide for Local Public Agencies.](#)

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WRITTEN GUIDANCE

- Instructional Memorandums to Local Public Agencies (I.M.s)
- Variety of detailed guidance on specific topics
 - Federal-aid
 - Non-Federal-aid
 - Other
- (74) different I.M.s

www.iowadot.gov/local_systems/publications/im/imtoc.pdf

Instructional Memorandums to Local Public Agencies Table of Contents

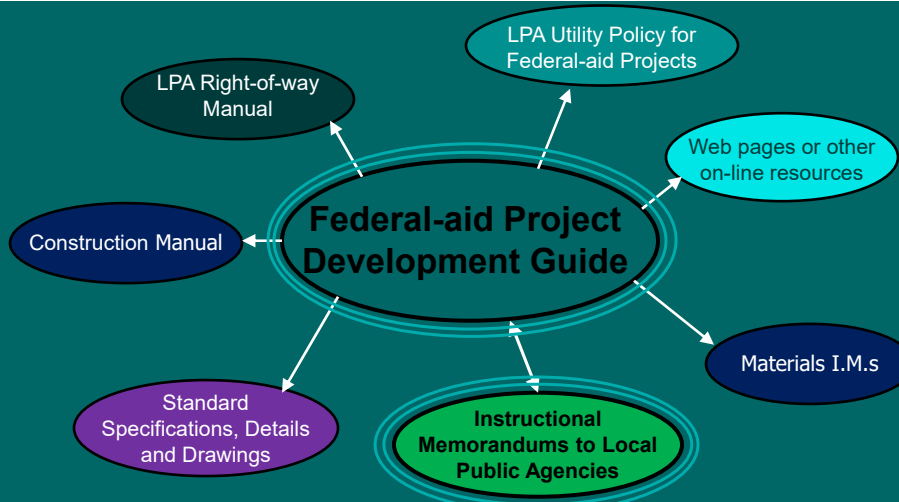
The Iowa DOT is required by [Iowa Code 307.24](#) to provide assistance for urban systems and secondary roads, and to provide other categories of assistance as necessary. One of the ways in which we carry out that requirement is to develop and maintain Instructional Memorandums (I.M.s). Some I.M.s are written either to counties or cities; others are written to both counties and cities. The intended audience is indicated in the "To:" field of the I.M. as well as the Table of Contents below. Many of the I.M.s are referenced by the Federal-aid Project Development Guide (Federal-aid Guide). These I.M.s are marked with an asterisk (*). For more information about the relationship between the [Federal-aid Guide](#), the [Non-Federal-aid Guide](#), and I.M.s, refer to the [Guide and I.M.s web page](#). The funding type is listed in the Table of Contents below, and will be labeled for Federal-aid (F.A.), Federal-aid Swap (Swap), State-aid (State), Farm-to-Market (F.M.) or Local; if the I.M. applies to all types of funding, "All" will be used as the Funding type.

Note: Some of the I.M.s are not yet complete, as shown in light grey text. Most of the links to the [Code of Federal Regulations](#) (CFR) and the [United States Code](#) (USC) have been removed from the individual I.M.s below. To get to the general CFR and USC, you can click on the links above and search each respective page.

No.	Subject	Revision Date	Funding	Written To
Chapter 1 – Administration				
Chapter 2 – County Road System				
Chapter 3 – Project Development				
Chapter 4 – Environmental Regulations				
Chapter 5 – Letting and Contracts				
Chapter 6 – Construction				
Chapter 7 – Maintenance				
Chapter 8 – Miscellaneous Information				
Chapter 1 – Administration				
Section 1.0 – General				
1.000	Iowa DOT Oversight of LPA Projects	January 19, 2024	All	Both
	Attachment A – Project Submittal Table for Each Funding Type	June 15, 2021	All	Both
	Attachment B – Administering Bureau Responsibilities Flowchart	June 15, 2021	All	Both
1.010	Acronym List	December 31, 2019	All	Both
1.020	References to the Iowa Code	August 7, 2020	All	Counties
1.070*	Title VI and Nondiscrimination Requirements	June 29, 2018	F.A.	Both
1.080*	ADA Requirements	October 1, 2013	All	Both
	Attachment A – Sample Curb Ramp Transition Plan (Word)	August 24, 2012	All	Both
Section 1.1 – Programs				
1.100*	Highway Bridge Programs for Cities and Counties	June 12, 2024	All	Both
	Attachment A – City Bridge Priority Point Rating Worksheet (Word)	August 16, 2024	F.A.	Cities
	Attachment B – County Bridge Priority Point Rating Worksheet (Word)	November 4, 2022	All	Counties
	Attachment C – Touchdown Points and Limits of Participation	July 18, 2011	F.A.	Both
	Attachment D – County HBP Fiscal Constraint Requirements	July 18, 2011	F.A.	Counties
1.150	Federal-aid Swap Program	February 10, 2023	Swap	Both
	Attachment A – Federal-aid Swap Policy Approved by the Iowa DOT Commission	November 4, 2022	Swap	Both

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RELATIONSHIP BETWEEN THE GUIDE AND LOCAL SYSTEMS I.M.S



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FEDERAL-AID FORMULA FUNDS VS GRANTS

Federal-aid Formula Funds:

- STBG
- HBP (County & City)
- TAP
- ICAAP
- Federal Rec Trails
- Most Earmarks

Federal-aid Discretionary Grants:

- TIGER/BUILD/RAISE
- BIP
- SS4A
- INFRA/MEGA/RURAL
- PROTECT
- CHBP
- Many more...

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FEDERAL-AID FORMULA FUNDS

Federal-aid Formula Funds:

- STBG
- HBP (County & City)
- TAP
- ICAAP
- Federal Rec Trails
- Most Earmarks

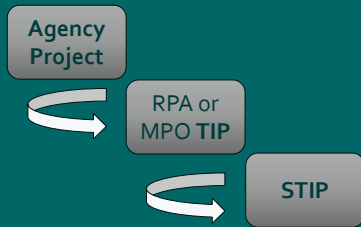
"Business as Usual":

These Federal Funds are distributed through pre-established formulas to the various states and then to the Cities and Counties through Iowa-defined processes. Local Systems I.M.'s and the Stewardship and Oversight Agreement governs processes and procedures with Iowa DOT acting as the "pass through" with oversight responsibilities. Funding Agreements from Field Engineer.

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PLANNING AND PROGRAMMING



- All Federal-aid projects must be included in the Regional Planning Affiliation (RPA) or Metropolitan Planning Organization (MPO) Transportation Improvement Program (**TIP**)
- All TIP projects must be submitted to Iowa DOT for inclusion in the Statewide Transportation Improvement Program (**STIP**) via the Transportation Program Management System (**TPMS**)
- Projects cannot receive FHWA Authorization unless funds are programmed in the current **TIP / STIP**
- Cost estimates must be in Year of Expenditure dollars
- Estimates must be adjusted if moved from one fiscal year to another

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PLANNING AND PROGRAMMING

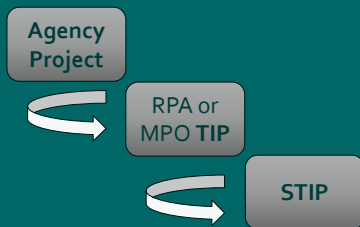
How do county road departments get their projects in the TIP?

- Federal-aid projects included in County 5-year Program will be included in pool of projects to be added to RPA / MPO's **TIP**
- County promotes project by "submitting" it through **TPMS**
- RPA / MPO approves the **TIP** and submits it via **TPMS** to the Iowa DOT for inclusion in **STIP**
- County HBP projects do not require RPA/MPO approval, but do pass through the system via the same process

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PLANNING AND PROGRAMMING

How do cities or other project sponsors get their projects in the TIP?



- Request RPA / MPO include project in **TIP** and provide necessary project information
- RPA / MPO enters project in **TPMS** and **TIP**
- RPA / MPO approves the **TIP** and submits it via **TPMS** to the Iowa DOT for inclusion in **STIP**

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PLANNING AND PROGRAMMING

For More information see the following reference documents:

- TIP and STIP Guidelines
https://iowadot.gov/program_management/Final_TIP_STIP_Documentation.pdf
- The Federal-aid Funding Guide
https://iowadot.gov/local_systems/publications/im/federal-aid-guide.pdf

Iowa DOT Contact Person:
Zac Bitting
Program Management Bureau
515-239-1197
Zachary.Bitting@iowadot.us

IOWA | DOT

GUIDELINES FOR DEVELOPMENT – TRANSPORTATION IMPROVEMENT PROGRAMS (TIP) and the IOWA STATEWIDE TRANSPORTATION IMPROVEMENT PROGRAM (STIP)

Program Management Bureau
Public Transit Team, Modal Bureau

February 2024

Federal-aid Overview Seminar

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FUNDING AGREEMENTS

IOWA DEPARTMENT OF TRANSPORTATION
Federal-aid Agreement
for *Funding Type*

EXHIBIT 1
General Agreement Provisions for use
of Federal Highway Funds on Non-primary Projects

RECIPIENT: (County/City Name)
Project No.: (Project No.)
Iowa DOT Agreement No: (Agreement No.)
CFDA No. and Title: 20.205 Highway Planning and Construction

- All Federal-aid projects let at Iowa DOT must have an Iowa DOT Federal-aid Agreement.
- **Make sure you have a copy of this Funding Agreement and reference it!**
- Funding Agreement includes:
 - Project and Contact information
 - Eligible Costs, Match Requirements, and Funding Limits
 - Development, Letting, and Administration Requirements
 - Traffic Control and Public Safety Requirements
 - Potential Schedule Deadlines

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FEDERAL-AID FUNDING AGREEMENTS – EXHIBIT 1

General Requirements including:	Follow State & Federal Laws	Follow the Guide and I.M.s	Title VI of Civil Rights Act	Title II of ADA
2 CFR 200.501 "Audit Requirements"	Disadvantaged Business Enterprise (DBE)	FHWA and DOT Programing and Authorization	Design and Consultant Services	Environmental Requirements and other Agreements or Permits
Right-of-Way, Railroads and Utilities	Contract Procurement	Construction	Reimbursements	Project Close-out

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FHWA AUTHORIZATION

What is it?

- The most important step in the Federal-aid process
- Obligates Federal funds for a specific project activity
- Obligation is the Federal government's legal commitment (promise) to reimburse the Federal share of a project's eligible costs

When is it needed?

- Before beginning any work for which Federal reimbursement will be requested
- Cost of work performed before FHWA Authorization is not eligible for Federal reimbursement!

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FHWA AUTHORIZATION

- How is it obtained?
 - LPA requests FHWA Authorization for the specific activity for which reimbursement will be requested
 - Iowa DOT verifies project information and that all necessary reviews and approvals have been completed
 - Accurate project info from the LPA is critical!
 - Iowa DOT sends request to FHWA
 - If acceptable, FHWA approves request
 - **Iowa DOT provides written notice of FHWA Authorization to LPA**

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REIMBURSEMENT

Prerequisites

- **Eligible**
 - cost is an allowable expense
- **Approved by Iowa DOT**
 - review is complete
- **Authorized by FHWA**
 - funds are obligated

Process

- LPA pays costs up-front
- LPA requests reimbursement from Iowa DOT
- Iowa DOT reimburses the Federal share of eligible, approved, and authorized costs
- Reimbursements should be requested at least every 6 months, but not more than bi-weekly

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CONSULTANT SELECTION

- I.M. 3.310, Federal-aid Participation in Consultant Costs
 - Consider DBE
 - Document Processes
 - **Example of I.M. needing updated (LSB Grant Team, not SPB)**

Contents: This Instructional Memorandum (I.M.) includes guidelines and procedures for a Local Public Agency (LPA) to select a consultant; request Iowa Department of Transportation (Iowa DOT) approval and Federal Highway Administration (FHWA) authorization for Federal participation in consultant costs; and prepare, negotiate, and administer a consultant contract.

With the exception of discretionary federal grants or earmark projects that specifically allow such participation, Iowa DOT **does not allow** Federal-aid participation in consultant costs for LPA projects administered by the Local Systems Bureau, including the following Federal-aid Formula programs: Surface Transportation Block Grant (STBG) Program for roadway and bridge projects, Highway Bridge Programs funded through STBG or the Bridge Formula Program, and Highway Safety Improvement Program (HSIP). If the LPA has been awarded a Federal discretionary grant or earmark that allows or requires consultant costs to be Federal-aid participating or to be credited as "local match", contact the [Iowa DOT Administering Bureau](#).

LPA projects administered by the Systems Planning Bureau (SPB), including STBG for trail projects, **will be allowed** to request participation in consultant costs. Please refer to [I.M. 1.000](#), Iowa DOT Oversight of LPA Projects, for more information regarding the Administering Bureaus.

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CONSULTANT SELECTION

General requirements for federally funded consultant contracts

- Selection must be qualifications-based
 - Follow all 53 steps in I.M. 3.310, Attachment A
 - Includes setting a DBE goal
- Federal-aid for consulting (PE/CE) not available for projects running through the Project Development Team and Field Team (Construction only)
 - Still available for some grants (if applicable) run through the Grants Team
- Iowa DOT review and approval of consultant contract and FHWA authorization is required before incurring costs for which the LPA desires reimbursement
- Sample consultant contract in I.M. 3.310, Attachment D

Abbreviated selection process

- May be used if total consultant services will be less than \$250,000
- Consider setting a Disadvantaged Business Enterprise (DBE) goal (**Document!**)
- At least 3 qualified firms must be considered and document the selection process
- List firms considered and request Iowa DOT approval to begin negotiations with firm deemed most qualified

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FEDERAL AID ROLES AND RESPONSIBILITIES

Iowa DOT Local Systems

- Iowa DOT has a Stewardship & Oversight Agreement with FHWA.
- Advisor – provide guidance and assistance to LPAs for successful implementation of their Federal-aid projects
- Monitor – responsible to FHWA for administering and overseeing Federal-aid programs. Numerous reviews and approvals of project activities.

MPO/RPA Role

- Help assist and facilitate funds to LPAs
- Answer LPA questions about funding sources
- Place and activate City projects into TPMS
- Include projects on the TIP
- Update the STIP

LPA Role

- Follow the Federal-aid Guide, I.M.s and Funding Agreement
- Professional Engineer signing plans, designing all aspects of the project
- Example: DOT reviews plans to ensure they are consistent with our bidding procedures, but we don't check quantities
- *Iowa DOT does not conduct an engineering review of the plans as that is the responsibility of the LPA and/or their engineering firm. (not to be confused with DOT Primary Highway within DOT ROW roles/reviews)*
- Shall have Person in Responsible Charge (PIRC) as defined in Federal-aid Guide.

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TARGETED SMALL BUSINESSES STATE-AID (TSIP, USTEP, CSTEP...)

Not Federal-aid, but
an **IMPORTANT**
REMINDER...

- What is a Targeted Small Business?
- Targeted Small Business – required!
 - DOT let project – DOT’s process covers this requirement
 - Locally let projects
 - Provide the TSB Exhibit found in your Funding Agreement
 - TSB Contract Provision must be included in the bid/contract documents
 - The TSB Pre-Bid Contact Information form is required to be filled out by all bidders
- Look at your funding agreement
 - Cities – share this with your consultant (if applicable)
 - Consultants – ask for this from the city (or it is in TPMS, if applicable)
- Refer to I.M. 5.100 -
https://www.iowadot.gov/local_systems/publications/im/5100.pdf



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QUESTIONS?



Reference Documents:

- As listed on previous slides
- Federal-aid Guide:
 - https://iowadot.gov/local_systems/publications/im/federal-aid-guide.pdf
- Local Agency I.M. Table of Contents with hyperlinks:
 - https://iowadot.gov/local_systems/publications/im/imtoc.pdf

Iowa DOT Administering Bureau & Contacts:

- See I.M. 1.000, Iowa DOT Oversight of LPA Projects
 - https://www.iowadot.gov/local_systems/publications/im/1000.pdf
- See Iowa DOT Contact List Handout

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DISCRETIONARY GRANTS & EARMARKS

Tom Rhoads, P.E.

Discretionary Grant & Earmark Engineer

Local Systems Bureau / ICEASB

Iowa Department of Transportation

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PRESENTATION OVERVIEW

Discretionary Grants

Earmarks

Formula Funds

Consultant Selection

IOWA | DOT

2

ICEASB - DISCRETIONARY GRANTS & EARMARKS

- Discretionary Grant and Earmark Engineer



Tom Rhoads, P.E.

thomas.rhoads@iowadot.us

515-239-1021

- Discretionary Grant and Earmark Technician

Eric Tjelmeland

eric.tjelmeland@iowadot.us

515-509-9582

3

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FEDERAL-AID FORMULA FUNDS VS GRANTS

IOWA | DOT



U.S. Department of Transportation

Federal-aid Formula Funds:

- STBG
- HBP (County & City)
- TAP
- ICAAP
- Federal Rec Trails
- Most Earmarks

Federal-aid Discretionary Grants:

- TIGER/BUILD/RAISE
- BIP
- SS4A
- INFRA/MEGA/RURAL
- PROTECT
- CHBP
- Many more...

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FEDERAL-AID FORMULA FUNDS VS GRANTS

Federal-aid Discretionary Grants:

- TIGER/BUILD/RAISE
- BIP
- SS4A
- INFRA/MEGA/RURAL
- Many more...

"Grant Specific Requirements":

All discretionary grants are application based, unique, and come with additional strings (reporting and such) above and beyond typical formula funded Federal-aid projects. Read the Notice of Funding Opportunity (NOFO) carefully. **Those additional strings become the grant recipient's responsibility.**

Grant awards are based on grant applications. Grant agreements mimic the application, including proposed funding set-ups, schedule, and outcomes. Grant agreements are between the grant recipient and FHWA. In many cases, Iowa DOT can serve as a pass-through agency. When this happens, you shall follow standard Iowa DOT Federal-aid guidance in addition to any other grant specific requirements. 5

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FEDERAL-AID GRANT APPLICATION REMINDERS

- Plan 6-12+ months until costs can begin being incurred after grant award notification
- Be mindful of Federal-aid programs
 - County and City Bridge programs = Federal-aid
 - STBG to Counties = Federal-aid
 - STBG to Cities through MPO or TMA = Federal-aid
 - STBG to Cities through RPA = Federal-aid Swap
- The above listed funds are to be used for Construction only.



Apply for DOT Grants

Resources to help understand the federal grant-making process and key federal requirements

[FHWA Grant Navigator](#)

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FEDERAL-AID GRANT APPLICATION

Examples

"Non-Federal match" or "local match" included in a grant application becomes **federalized** and **must follow Federal-aid processes and procedures**.

- This includes Federal-aid Participation in Consultant Costs, NEPA, Buy America, and Davis Bacon Wages

Ex. 1: If Preliminary Engineering (PE) or Construction Engineering (CE) services are included within a RAISE application as a "match" regardless of the funding source, the full Federal-aid RFP process including DBE shall be followed. See I.M. 3.310, Federal-aid Participation in Consultant Costs for additional details.

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FEDERAL-AID GRANT APPLICATION

Examples

Ex. 2 If you propose 2 construction projects in the same RAISE application – one funded with a "local match", and the other with the Federal-aid, both projects must be developed as Federal-aid projects per the Federal-aid Guide.

- In these examples, for costs to be eligible as the "local match" they must also be authorized by FHWA before incurring costs.
- Hence, **be prepared for a 6-12+ month delay after grant award notification before incurring costs on any activities utilized within the grant application.**
- If you mention a local funded element/phase in the write-up that should NOT be considered part of the grant application "local match", be sure to clearly state that.

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FEDERAL-AID GRANT APPLICATION TIPS

- Carefully and fully read Notice of Funding Opportunities (NOFO)
 - Grant Closing Date for Applications
 - Award Ceiling & Floor
 - Eligible Applicants & Uses
 - Cost Sharing or Match Requirements
 - Grant Requirements and Considerations
 - **Grant Obligation and Expenditure Deadlines**
- **Expect 6-12+ months for grant agreement process**
- Utilize your resources ([FHWA Grant Navigator](#) & [Local Systems IJA Information](#))
- Subscribe to www.GRANTS.gov for opportunity updates
- Reach out to others who have been successful



Find Technical Assistance Resources
Resources available to public agencies and other transportation stakeholders

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FEDERAL-AID GRANT APPLICATION TIPS

- Be careful which phases of a project you include within the application
 - Consider including only Construction phases so design can begin before the grant agreement is signed
 - If only including Planning or a Study, the RFP process can only consider planning services.
- Be mindful of the number of phases and/or project lettings you include within the application
 - All phases must be designed and obligated by the grant obligation deadline.
 - All grant expenditures, regardless of phase, must be expended by the grant expenditure deadline.
- Keep funding as simple and clean as possible
 - The more complicated the funding, the more complicated your plan divisions will be.
 - Other Federal funds and their required match **can not** be used as part of your “local match”.
- Take Federal-aid training &/or hire an experienced Team

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GRANT COORDINATION WITH IOWA DOT

- Coordinate with Iowa DOT on Interstates and Primary Highways
 - Reach out to your District Engineer
- The LPA or DOT can choose whether the LPA will be a direct recipient or request to be a “pass-through” with the Iowa DOT.
- Iowa DOT reserves the right to decline the request to be a “pass-through”
- For Letters of Support – contact Stu Anderson at stuart.anderson@iowadot.us
 - With your request, please include a summary of the proposed project details, map, lead agency applying for and administering the grant, and the specific grant application you are applying for.
 - Allow up to 5 business days for review and processing.



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FEDERAL DISCRETIONARY GRANTS



- | | |
|---|--|
| <ul style="list-style-type: none">• <u>Application Phase:</u>• An LPA shall inform the Local Systems Bureau of their intent to submit a grant application.• LPA shall provide a summary of the application, along with a project timeline and intended funding match.• If this step is not completed, the Iowa DOT will not serve as a pass-through | <ul style="list-style-type: none">• <u>Award Phase:</u>• If the steps on the left have been completed, the Iowa DOT reserves the right to choose to be a pass through. FHWA always initially assumes Direct Recipient.• There are benefits to both pass-through and Direct Recipient.• LPA must submit to Iowa DOT Local Systems Bureau, a project timeline, so Iowa DOT can assess whether we think the timeline is reasonable and achievable• Sometimes, time frames listed in grant applications are more optimistic than realistic. If that is the case, the Iowa DOT will likely not be able to serve in a pass-through role, as the DOT can't take on risks that the project will not make its milestones.• We have guidelines, deadlines, and rules in place for various reasons; all our I.M.s and procedures have been vetted through FHWA and follow Federal and State laws and regulations.• Our deadlines listed in our I.M.s are requirements that are cognizant of the amount of time it takes to review various small- or large-scale projects. As noted in the I.M.s, a lot of the timelines are considered to be minimums. |
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RAILROAD GRANT COORDINATION

Modal Transportation Bureau, Rail Team

Planning for a project

It is suggested that any applicant interested in applying for a federal discretionary grant that includes a study or project that impacts a railroad, that the applicant start communicating with the railroad and other affected stakeholders early and not wait until the grant NOFO (Notice of Funding Opportunity) is published. There is no guarantee that the project you want to apply for will be supported by the railroad.

Why is it important to request a letter of support when applying for a grant?

The federal agencies review discretionary grant applications and part of their process is to determine if the projects have stakeholder support. Since these grants are so competitive, the reviewers of railroad related applications will look to see if the Railroad and/or State DOT support the project.

How much advance notice ahead of application submission should an applicant give when asking for a LOS?

Railroads – Minimum 30 days and provide the railroad with the project narrative when requesting the LOS, for their review
Iowa DOT - Minimum 5 business days, provide the narrative, project must be supported by the railroad before we will provide a LOS

Who do you submit your request to?

- Railroads – see the DOT’s website for a contact at each railroad
<https://iowadot.gov/iowarail/pdfs/general.pdf>
- Iowa DOT - Amanda Martin amanda.martin@iowadot.us

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CONSULTANT SELECTION

- Full selection process
 - Required if total consultant services will exceed \$250,000
 - Form a selection committee
 - Establish evaluation criteria and a DBE goal
 - Prepare and send a Request for Proposal (RFP) to prospective firms (not required to be on DOT list)
 - Evaluate proposals and conduct interviews if needed
 - Determine most qualified firm
 - Evaluate good faith effort of most qualified firm to meet DBE goal
- For more information, see I.M. 3.310, Federal-aid Participation in Consultant Costs
 - Follow and document process using Attachment A, Federal-aid Consultant Selection Checklist

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NEPA CLEARANCE

NEPA through FHWA

- When Iowa DOT is a pass-through, this starts with submittal of your Concept Statement
- Includes Section 4(f) Process
 - Requires governmental agencies to minimize impacts to Parks, Recreational Areas, Historic Properties and Wildlife Refuges
- See [I.M. 4.020](#), NEPA Process

NEPA through another Federal Agency

- NEPA is not the same under all Federal Agencies, as different sections of the Code of Federal Regulations (CFR) govern different Federal Agencies.
- Please note, NEPA through the U.S. Army Corps of Engineers does not include Section 4(f).

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QUESTIONS?

Reference Documents:

- As listed on previous slides

Iowa DOT Contact Person:

- See Iowa DOT Contact List for appropriate Administering Team staff



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IN-KIND CONTRIBUTIONS & LOCAL LETTINGS

Debra Arp

Grant Team Leader

Local Systems Bureau

Iowa Department of Transportation

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PRESENTATION OVERVIEW

In-Kind Contributions

Local Lettings

Consultant Selection

IOWA | DOT

2

IN-KIND CONTRIBUTIONS

What is an in-kind contribution?

- Non-cash donation to the project by a third party
 - A "Third party" can be any entity except the Iowa DOT or the local agency receiving Federal funds from the DOT
 - Examples: private individuals or companies, non-profit organizations, civic or service groups, or another local agency
- The value of the contribution may be credited towards the non-Federal share of project costs
 - Purpose is to reduce or eliminate the cash outlay required of the LPA

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IN-KIND CONTRIBUTIONS

What may be counted as in-kind?

- Property (right-of-way)*
- Materials**
- Equipment**
- Labor and / or professional services**

* Only allowed for projects administered by Local Systems Grant Team

** Allowed only for Transportation Alternatives Set-aside (TAP) and Federal Recreational Trails projects

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IN-KIND CONTRIBUTIONS

When can contributions be made?

- Materials, equipment, and labor / services may not be incorporated or begin until after FHWA Authorization of the contribution
- Property may be donated any time during project development (within reason)

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IN-KIND CONTRIBUTIONS

How is in-kind approved?

- LPA requests use of in-kind
 - Must include documentation to support the amount requested based on fair market-value
- Systems Planning reviews request
- Systems Planning requests FHWA approval and notes in-kind in FMIS document
- FHWA authorizes in-kind contribution
- Systems Planning notifies LPA of approved amount and LPA may accept donation

How is in-kind applied toward the non-Federal share?

- DOT reimburses LPA for Federal share of total costs (in-kind + reimbursable costs) following confirmation that the in-kind donation has been received or performed

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IN-KIND CONTRIBUTIONS

How is in-kind work verified?

- LPA documents in-kind completed to-date as part of reimbursement request
- DOT verifies work during construction or at the time of final audit
- If not all in-kind work is performed, the final reimbursement will be adjusted



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LOCAL LETTINGS

Only allowed on a few project types

Advantages

- Statewide Urban Design and Specifications (SUDAS) or local specifications may be used
 - Subject to Iowa DOT review and approval
 - SUDAS Division 1 may not be used
- Let under your own schedule
- Establish your own contract period

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LOCAL LETTINGS

Disadvantages

- Must satisfy Federal bid requirements
- Must have a bidding process meeting Federal requirements
- Must follow pre- and post-award checklists
- Iowa DOT review of bid documents requires additional time

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CONSULTANT SELECTION

- I.M. 3.310, Federal-aid Participation in Consultant Costs
 - Consider DBE
 - Document Processes
 - **Need new screenshot after we update I.M. (LSB Grant Team, not SPB)**

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QUESTIONS?

For More Information

- Reference Documents:
 - I.M. 5.120, Local Letting Process – Federal-aid
 - I.M. 3.050, In-Kind Contributions
 - I.M. 3.310, Federal-aid Participation in Consultant Costs

Iowa DOT Contact Person:

- Debra Arp
Phone: 515-239-1681
Debra.Arp@iowadot.us
- Or contact the appropriate Iowa DOT Program Manager from the "Iowa DOT Contact List" handout



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CIVIL RIGHTS

Tracey Bradley, Compliance Officer
Amy Weerheim, AA/EEO Officer & ADA Coordinator
Civil Rights Bureau
Iowa Department of Transportation

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PRESENTATION OVERVIEW

Title VI/
Nondiscrimination

ADA



2

TITLE VI

Title VI of the Civil Rights Act of 1964 (and other related laws and regulations)

- Prohibits discrimination on the basis of race, color, or national origin. Other Nondiscrimination statutes that afford legal protection. These statutes include Section 162(a) of the Federal Highway Act of 1973 (sex); Age Discrimination Act of 1975 (age), or Section 504 of the Rehabilitation Act of 1973/Americans with Disabilities Act of 1990 (disability).
- Applies to all programs and activities of an agency that receives any type of Federal financial assistance; even those programs and activities of an agency that are not Federally funded
- State law includes several other protected classes, such as sexual orientation

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TITLE VI

Compliance actions

- Educate staff
- Prepare and execute a Title VI Plan or Agreement and provide a copy to the Iowa DOT
- Execute a Standard Title VI Assurance and provide a copy to the Iowa DOT
- Include the Standard Title VI Assurances in contracts, deeds, and permits as appropriate
- Include notification of non-discrimination in all solicitations for bids or requests for proposals
- Recognize and respond to the needs of individuals with Limited English Proficiency (LEP)
- Have a process to respond to complaints

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TITLE VI



For more information:

I.M. 1.070, Title VI and Nondiscrimination Requirements

DOT Title VI web site

<https://iowadot.gov/civilrights/Title-VI/What-is-Title-VI-Program>



Iowa DOT Civil Rights Bureau

515-239-1304

Nikita Rainey, Director

Steve Kerber, Civil Rights Compliance Officer

Tracey Bradley, Civil Rights Compliance Officer

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ADA: TITLE II

- Pedestrian facilities must be made accessible to persons with a disability – applies to:
 - new construction, unless structurally impracticable
 - alterations to existing facilities, to the maximum extent feasible
- Maintenance work does not trigger ADA requirements but, installing ramps where there currently are none is still recommended
- Accessibility improvements are not required if they would create an unsafe condition



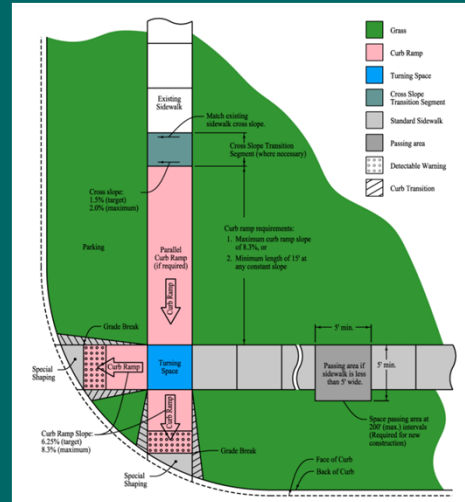
6

ADA

What is "accessible"?

Designed and constructed in accordance with ADA requirements in Iowa DOT and SUDAS Design Manuals

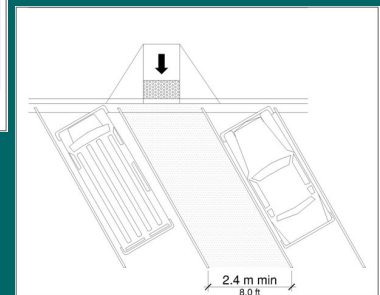
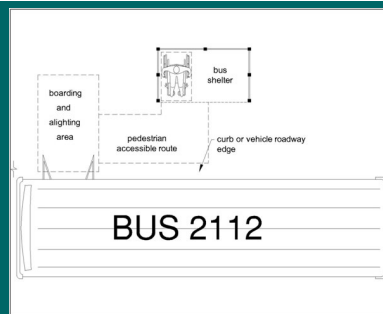
Sidewalks - Part 12A
Bicycle Facilities - Part 12B
Iowa SUDAS Design Manual
www.iowasudas.org



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ADA: ACCESSIBILITY COMMON TYPES

- ❑ Accessible Route
- ❑ Parking Spaces
- ❑ Door, Doorways and Gates
- ❑ Ramps
- ❑ Curb Ramps
- ❑ Source: www.ADA.gov, U.S. Department of Justice, Civil Rights Division



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ADA: ALTERATION

What is an "alteration"?

"An alteration is a change that affects or could affect the usability of all or part of a building or facility. Alterations of streets, roadways, or highways include activities such as reconstruction, rehabilitation, resurfacing, widening, and projects of similar scale and effect."

Iowa DOT Design Manual, Section 12A-2 and DOJ DOT Joint Technical Assistance¹ on the Title II of ADA - Civil Rights | Federal Highway Administration



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ADA: RESURFACING

Resurfacing is an alteration that triggers the requirement to add curb ramps if it involves work on a street or roadway spanning from one intersection to another, and includes overlays of additional material to the road surface, with or without milling. (defined June 28, 2013)

Iowa DOT Design Manual, Section 12A-2, Sec.D at:

www.iowadot.gov/design/dmanual/12A-02.pdf

Technical Assistance

www.fhwa.dot.gov/civilrights/programs/doj_fhwa_ta.cfm

Glossary of Terms of many surface treatments

www.fhwa.dot.gov/civilrights/programs/doj_fhwa_ta_glossary.cfm

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ADA: EXAMPLES

Examples where it may not be “technically feasible” to provide full compliance:

- Right-of-way availability
- Underground structures
- Adjacent developed facilities
- Drainage limitations
- Impacts natural or historic features
- Underlying terrain
- Street grades that exceed the crosswalk cross slope maximums



Federal-aid Overview Seminar

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ADA: EXCEPTIONS

Documenting Exceptions:

- LPAs must provide a certification with supporting documentation to the Iowa DOT for all Federal-aid projects and all other projects let by the DOT
- Must be signed by a registered professional engineer or architect licensed in Iowa
- Must identify the specific locations where full compliance cannot be achieved
- Must provide specific reasons why full compliance cannot be achieved
- Must be retained until the facility is made compliant

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ADA

Transition Plan

- Required if existing pedestrian facilities in the public right-of-way are not accessible
- Curb Ramp Transition Plan Requirements
 - Prioritized inventory of ramps to be completed
 - Schedule for completion
 - Source(s) of funding
 - Contact information of responsible official

For more information:

- I.M. 1.080, ADA Requirements
- Iowa DOT Design Manual
- <https://iowadot.gov/design/design-manual>

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QUESTIONS?



- Reference Documents:
 - As listed on previous slides
 - Forms referenced in this Overview Training may be found at:
<https://forms.iowadot.gov/BrowseForms.aspx>
- Iowa DOT Contact Person:
 - See Iowa DOT Contact List for appropriate Administering Bureau staff

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PROJECT PROGRAMMING

Niki Stinn, P.E.

Secondary Roads Engineer

Local Systems Bureau

Iowa Department of Transportation

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PRESENTATION OVERVIEW

TIP/STIP Programming

STIP Revision Process

CFYP/STIP – Entry of Project Details



2



TPMS = Transportation Program Management System



CFYP = County Five-Year Program



TIP = Transportation Improvement Program



STIP = Statewide Transportation Improvement Program



RPA = Regional Planning Affiliation



MPO = Metropolitan Planning Organization



LPA = Local Public Agency



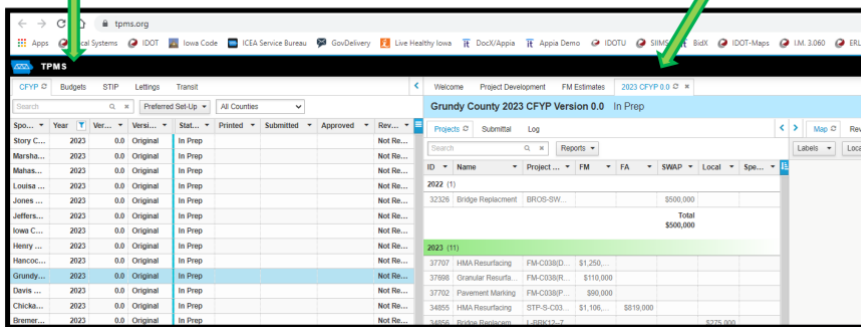
FM = Farm-to-Market

ACRONYMS

TPMS

Open your chosen programs, budgets, STIPs, & projects here.

Selected programs, budgets, STIPs, & projects open in tabs here.



- Used for:
 - Budgets (counties only)
 - CFYP programming (counties only)
 - TIP/STIP programming
 - Transit programming
 - Project development

Windows to the right reflect what is shown in the filtered list on the left.

ID	Name	Project Nu...	FM	FA	S...	Lo...	S...	R...	Revi...
2023 (7)									
3206	Reserve	L-RDV-73-59							Appro...
3207	FY-ROW	L-ROW-73-59							Appro...
17484	H20 Williams...	STBO-SWAP...	\$274...		\$226...				Appro...
45211	H-30 and H-3...	STBO-SWAP...	\$1,13...		\$1,30...				Appro...
36430	Lande BNSF...	L-Grade 137-7...							Appro...
32733	300376 Colu...	L-B300376-73...							Appro...
9693	Contract Rock...	FM-C059(73)...	\$500...						Appro...
	Total		\$1,90...		\$1,52...		\$431...		
2024 (1)									
112180	Rebe...	BROS-C059(2...	\$570...	\$1,50...	\$50,000	\$530...			Appro...
	Total		\$570...	\$1,50...	\$50,0...	\$530...			
2025 (2)									
32736	123130 Shan...	L-B123130-73...					\$110...		Appro...
37673	122579 C Sh...	BROS-C059(6...	\$360...						Appro...
	Total		\$360...				\$110...		
2026 (1)									
32737	210416 Webb...	L-B210416-73...					\$150...		Appro...
	Total						\$150...		
2027 (2)									
2882	H32 East of C...	STP-S-C059(3...	\$250...		\$350...				Appro...
37674	133173 Jacks...	BROS-C059(6...	\$360...						Appro...
	Total		\$250...		\$710...				

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TIP/STIP PROGRAMMING

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TRANSPORTATION IMPROVEMENT PROGRAM (TIP)

Required annually from all Iowa MPOs/RPAs

4-year document

Includes all locally sponsored projects expected to use Federal-aid and/or Swap

Subject to available funding levels (STBG/TAP targets & HBP funding)

Requires board approval and opportunity for public comment

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STATEWIDE TRANSPORTATION IMPROVEMENT PROGRAM (STIP)

Includes all locally sponsored projects expected to use Federal-aid and/or Swap over the next four years

4-year document

Compilation of all MPO/RPA TIPs – includes LPA and DOT projects

Updated annually with approval coinciding with beginning of federal fiscal year – Oct 1st

All Federal-aid projects **MUST** be included in the STIP. Swap projects included also.

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CREATING PROJECTS FOR THE TIP/STIP

Counties

- CFYP is 1st step in developing TIP for each RPA/MPO
- All programming/project entries and revisions must originate in CFYP
 - CFYP entries populate draft TIP/STIP
 - Program projects in the state FY of the letting – May not agree w/ STIP
 - May need to move project to correct STIP year once letting date is established
- County Budget & CFYP Instructions provided on Local Systems website
 - https://iowadot.gov/local_systems/publications/county_bp_instructions.pdf

All LPAs Except Counties

- Direct coordination with RPAs/MPOs to include projects
- Project entries made directly in TIP

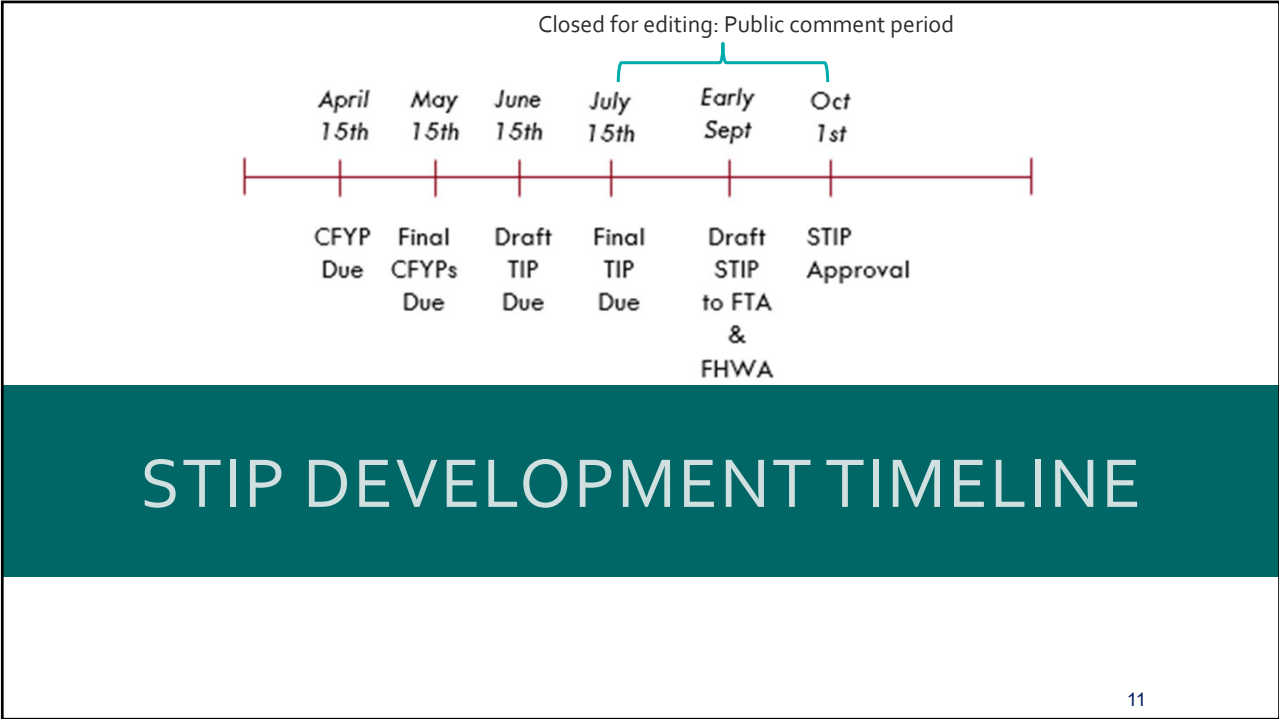
9

The screenshot displays the TPMS (Transportation Planning Management System) interface. The top navigation bar shows 'STIP' as the active tab. Below the navigation bar, there are filters for 'County' (set to Cass County) and '2023 Approved' for the STIP year. The main area contains a table of projects, with the 2023 section expanded to show four entries. The 2024 section is partially visible below. Buttons for 'Create Project' and 'Import Project' are highlighted in the top right corner of the table area.

Year	In Pr...	Sub...	Draf...	TIP...	DOT...	FHW...	Aut...
2023	0	4	0	0	1	6	0
2022	0	0	0	0	10	0	2
2021	0	0	0	0	10	0	2

ID	Name	Proj...	Spo...	Spo...	STIP...	Appr...	FM	FA	S...	L...	S...
2023 (4)											
4559 0	Bridge #380	BROS-SWAP-C015(74)-SE-15	Cass County	County		DOT Approved				\$700,000	
3617 0	Bridge #32	BROS-C015(68)-8J-15	Cass County	County	23103	FHWA Approved		\$1,100,000			
3901 3	Bridge #182	BROS-SWAP-C015(75)-FE-15	Cass County	County		Submitted				\$500,000	
7118	BRIDGE 319	BRS-C015(46)-60-15	Cass County	County	23431	FHWA Approved		\$1,688,000	\$422,000		
								Total	\$2,788,000	Total	\$1,622,000
2024 (4)											
3616 9	690th Street (Middle N-28)	STP-S-C015(-5E-15	Cass County	County		FHWA Approved	\$2,250,000	\$500,000			
3880 2	Bridge #250	BROS-C015(-5F-15	Cass County	County		FHWA Approved		\$600,000			
3449 4	BRIDGE 269	BROS-C015(-5F-15	Cass County	County		FHWA Approved		\$600,000			

10



11

STIP REVISIONS

- Counties: Revisions must originate in CFYP via resolution or amendment
 - Requires approval by Board of Supervisors and Local Systems
 - CFYP revisions/amendments sync to STIP
 - Communicate with RPA/MPO to ensure everyone is on the same page – Public hearing may be required for RPA/MPO
- Cities: Revisions made directly in the STIP – Communicate with RPA/MPO
- Revisions necessary when:
 - HBP – Estimated federal share exceeds the amount of Federal-aid programmed in STIP by > 15%
 - See [I.M. 3.700, Attachment B](#)
 - STBG/Other – Estimated federal share exceeds the amount of Federal-aid programmed by > 30%
 - Change in scope and/or project description
 - Change in letting date alters federal fiscal year of funding authorization
- Revisions need to be completed prior to final plan turn-in
 - Plan ahead! Revision process and public hearings take time!

12

CFYP / STIP – ENTRY OF PROJECT DETAILS IN TPMS

13

13

WORK CODE & LOCATION DESCRIPTION

- Select correct DOT work code
- Work codes transfer to bidding proposal/contract
- Avoid being too specific in location description
 - Do NOT use exact distances
- Location description formatting guidance found in:
 - County Budget & CFYP Instructions
 - I.M. 3.020, Concept Statement Instructions
- Location description ≠ Map notes
- Ensure correct endpoints are chosen on map - Snap linework and points

The screenshot displays the TPMS system interface. At the top, there are tabs for 'Details', 'Location', 'Funding', 'Programming', and 'Log'. The 'Details' tab is active, showing a form with the following information:

Name	H32 East of Charlton	Code	C059
ID	2882		

Below this, there are sections for 'Work Codes', 'Contacts', 'Notes', and 'Site'.

Work Codes:

County	386 - Tile Lines
DOT	3542 - Subdrains

Contacts:

Planning Agency	RPA 17
Sponsor	Lucas County

Notes: Longitudinal for Ex. Pavement

Site:

Lanes	2
Miles	9.5
Min AADT	100
Max AADT	470
FFC	Rural Major Collector

Below the site information, there is a 'Location' section with a text input field containing 'On 500th Street, from Charlton to 320th Avenue'. Below this is a map showing a street grid with a red line indicating the project location. The map includes labels for 'LINCOLN' and 'CEDAR' streets, and various street names like '500th St', '320th Ave', etc.

14

14

FFC & FUNDING PROGRAM

- Make sure correct Federal Functional Classification (FFC) is chosen
 - FFC dictates eligibility for certain funding types
 - FFC impacts project number
- Select correct funding program based on FFC, FM system, & program description
 - Counties – Double check if on FM system
 - Determines routing through pay system
- If more than one FFC in project, may need multiple divisions and/or project numbers – Talk to Administering Team

Project Number

Federal Functional Class *
Rural Major Collector

Funding Option Options determined by FFC and project sponsor

Program	Prefix/Alpha Code	System Class	Description
<input type="checkbox"/> STBG	CS-TSF-STP-75	City Streets	Combination of 84, 92 and 70
<input type="checkbox"/> STBG	SBRFM-5D	County: Farm-to-Market	State Bridge Replacement Fund on FM Roads
<input checked="" type="checkbox"/> STBG	STP-S-5E	County: Farm-to-Market	Surface Transportation Program - Secondary
<input type="checkbox"/> STBG	STP-S-TSF-5P	County: Farm-to-Market	Combination of STP and Traffic Safety Funds
<input type="checkbox"/> STBG-HBP	BHS-63	County: Farm-to-Market	Bridge Rehabilitation on a Major Collector
<input type="checkbox"/> STBG-HBP	BRS-60	County: Farm-to-Market	Bridge Replacement on a Major Collector
<input type="checkbox"/> STBG-TAP	TAP-R-5K	County: Farm-to-Market	County FM Enhancement
<input type="checkbox"/> STBG-TAP	TAP-R-8T	County: Area Service	Statewide or Regional Transportation Alternatives Funds - Pop less than 5,000
<input type="checkbox"/> STBG-TAP	TAP-R-8T	Non-roadway	Statewide or Regional Transportation Alternatives Funds - Pop less than 5,000
<input type="checkbox"/> STBG-TAP	TAP-T-5K	County: Farm-to-Market	Statewide or Regional Transportation Alternatives Funds - Pop 200,000+

15

15

FUNDING SOURCES

- Select correct funding sources
- Ensure 80/20 match if applicable
- Check "Regional" box if funding is subject to RPA/MPO approval
- HBP
 - On-system (Major Collector & higher)
 - 80% Federal-aid HBP & 20% Swap HBP
 - Off-system (Minor Collector & Local)
 - 100% Federal-aid HBP
- Funding transfers to TIP/STIP for approval

Funding

FM Transfer

Year * 2025 Type * FM Subtype/Program * FM Amount * \$ 2000000 Regional

Remove

Year * 2025 Type * FA Subtype/Program * STBG Amount * \$ 1000000 Regional

Remove

Add Funding Total Funding \$3,000,000

Funding

FM Transfer

Year * 2026 Type * SWAP Subtype/Program * SWAP-HBP Amount * \$ 250000 Regional

Remove

Year * 2026 Type * FA Subtype/Program * HBP Amount * \$ 1000000 Regional

Remove

Add Funding Total Funding \$1,250,000

16

16

QUESTIONS?



Reference Documents:

- County Budget & CFYP Instructions:
https://iowadot.gov/local_systems/publications/county_bp_instructions.pdf
- I.M. 3.700, Attachment B: https://www.iowadot.gov/local_systems/publications/im/3700b.pdf
- I.M. 3.020, Concept Statement Instructions:
https://www.iowadot.gov/local_systems/publications/im/3020.pdf

Iowa DOT Contact Person:

- See Iowa DOT Contact List for appropriate Administering Team staff

ENVIRONMENTAL REVIEW

Location and Environment
Bureau
Iowa Department of Transportation

1

1

ENDANGERED SPECIES ACT SECTION 7

Location and Environment Bureau
Iowa Department of Transportation

2

2

SECTION 7 PURPOSE

- Promote the conservation of endangered and threatened species
- Ensure Federal actions will not:
 - Jeopardize a species
 - Destroy or adversely modify critical habitat

3

3

INSTRUCTIONAL MEMORANDUMS
To Local Public Agencies

To: _____ Counties and Cities Date: July 7, 2023
From: Local Systems Bureau I.M. No. 4.110
Subject: Threatened and Endangered Species

Contents: This Instructional Memorandum (I.M.) includes guidelines and procedures for a Local Public Agency (LPA) to understand and comply with the requirements of the Endangered Species Act (ESA) as it applies to its listed species and critical habitats on projects. Section 7 of the Act, called "Interagency Cooperation" is the mechanism used on Federal-aid projects to ensure actions taken do not jeopardize the existence of any federally threatened or endangered species. Section 10 of the Act, called "Exceptions", is the mechanism for all non-Federal-aid projects. This I.M. also includes guidelines and procedures for compliance with 571 Iowa Administrative Code (IAC) Chapter 77, Endangered and Threatened Plant and Animal Species. Section 7 procedures apply to all Federal-aid projects; Section 10 procedures apply to all non-Federal-aid projects. Iowa Code section 481B and 571 IAC Chapter 77 applies to all projects.

This I.M. also includes the following attachments:
Attachment A - Threatened and Endangered Species Process for Non-Federal-aid Projects Flowchart
Attachment B - Threatened and Endangered Species Process for Federal-aid Projects Flowchart
Attachment C - Avoidance and Minimization Measures for Threatened and Endangered Bats

Acronyms

BA - Biological Assessment
BMP - Best Management Practices
CE - Categorical Exclusion
DNR - Department of Natural Resources
DDE - Determination of Effect for Threatened and Endangered Species for Local Public Agencies (Form 760009)
DOT - Department of Transportation
EA - Environmental Assessment
EIS - Environmental Impact Statement
ESA - Endangered Species Act
FHWA - Federal Highway Administration
LPA - Local Public Agency
NLEB - Northern Long-eared Bat
PCN - Pre-Construction Notice
USACE - United States Army Corps of Engineers
USFWS - United States Fish and Wildlife Service

Introduction

The purpose of the ESA is to conserve "the ecosystems on which threatened and endangered species depend" and to also conserve and recover listed species. Under the law, species listed as either threatened or endangered are provided protection and regulated by the USFWS.

Section 10 of the ESA applies to non-Federal-aid projects and, if warranted, allows the LPA to secure a permit from the USFWS for the taking of a threatened or endangered species. However, when a 404 Permit from the USACE is needed, the USACE will consult with USFWS on behalf of the LPA, and include any provisions to protect threatened and endangered species in the 404 permit.

For Federal-aid projects, Section 7 of the ESA is the mechanism by which the FHWA or its designees ensure the actions taken will not jeopardize the continued existence of a listed species or result in the destruction or adverse modification of critical habitat. This is achieved through consultation with the USFWS, which may take two forms, informal consultation or formal consultation.

A list of federally listed threatened and endangered species in Iowa can be found on the USFWS Midwest Region website. A list of State threatened and endangered species can be found in 571 IAC Chapter 77, Endangered

Page 1 of 4

IOWADOT Determination of Effect for Threatened & Endangered Species For Local Public Agencies

Form 760009 (07-23)

PROJECT INFORMATION

Project Number: _____ Letting Date: _____ County: _____
Project Description: _____ Road Location: _____

PROJECT EVALUATION

Determine what species to look for: Check IADNR and USFWS websites. Attach findings.

What habitats are present in the project area? Check all that apply. Attach photos of each.
 Forest/Woodland Prairie Pasture Stream/River Residential/Urban
 Disturbed ROW Wetland Row Crops Other: _____

Review habitat characteristics as described on IA DNR and USFWS websites for each species. Is there suitable habitat for protected species present in the project area? Yes No
If No, mark **No Effect** and Section 7 is complete. Submit form with attachments.
If Yes, move on to the next question.

Will the project impact suitable habitat for protected species? Ensure all feasible options to avoid impacting suitable habitat are pursued. Yes No
If No, mark **No Effect** and Section 7 is complete. Submit form with attachments.
If Yes, what species/species habitats will be impacted? Move on to the next question.
 Indiana Bat Northern Long-eared Bat Triquetra Shrew Other: _____

Are there measures that can be taken to minimize potential impacts to species/habitat? Yes No
If No, mark **May Affect - Likely to Adversely Affect** and move-on to next section.
Formal consultation may be required.
If Yes, mark **May Affect - Not Likely to Adversely Affect** and list minimization measures below.
Move-on to next section.

MINIMIZATION MEASURES

PROJECT IMPACT DETAILS

Tree Clearing for Bat Habitat Only: Will impacts occur greater than 100 ft from an existing edge of road? _____
If No, stay with **May Affect - Not Likely to Adversely Affect** determination. Acreage > 100 ft: _____ Max distance for clearing: _____
If Yes, list acreage and move to next question.

Will impacts occur greater than 300 ft from an existing edge of road? _____
If Yes, list acreage and change determination to **May Affect - Likely to Adversely Affect**. Acreage > 300 ft: _____ Max distance for clearing: _____
If No, stay with **May Affect - Not Likely to Adversely Affect** determination.

DETERMINATION OF EFFECT

No Effect May Affect - Not Likely to Adversely Affect May Affect - Likely to Adversely Affect

References:
 Natural Areas Inventory IA DNR Environmental Review Letter Aerial Photos Soils of Concern Data
 IA DNR Website USFWS Website Other: _____

Print Name of Preparer and Name of Organization: _____ Date: _____
Agency Concurrence: _____ Date: _____

4

4

WHAT HABITATS ARE PRESENT IN THE PROJECT AREA?

IOWADOT Determination of Effect for Threatened & Endangered Species For Local Public Agencies

Form IOWADOT 01-010

PROJECT INFORMATION

Project Number: _____ Letting Date: _____ County: _____

Project Description: _____ Road Location: _____

PROJECT EVALUATION

What habitats are present in the project area? Check all that apply. Attach photos of each.

Forest/Woodland Prairie Pasture Stream/River Residential/Urban

Disturbed ROW Wetland Row Crops Other: _____

Review habitat characteristics as described on IA DNR and USFWS websites for each species.

Is there suitable habitat for protected species present in the project area? Yes No

If No, mark **No Effect** and Section 7 is complete. Submit form with attachments.

Will the project impact suitable habitat for protected species? Ensure all feasible options to avoid impacting suitable habitat are pursued. Yes No

If No, mark **No Effect** and Section 7 is complete. Submit form with attachments.

If Yes, what species/species habitats will be impacted? Move on to the next question.

Indiana Bat Northern Long-eared Bat Tapoka Shiner Other: _____

Are there measures that can be taken to minimize potential impacts to species/habitat? Yes No

If No, mark **May Affect - Likely to Adversely Affect** and move on to next section.

Formal consultation may be required.

If Yes, mark **May Affect - Not Likely to Adversely Affect** and list minimization measures below. Move on to next section.

MINIMIZATION MEASURES

PROJECT IMPACT DETAILS

Tree Clearing for Bat Habitat Only: Will impacts occur greater than 100 ft from an existing edge of road? Yes No

If Yes, list acreage and move to next question. Acreage: 0-100 ft _____ Max distance for clearing: _____

Will impacts occur greater than 300 ft from an existing edge of road? Yes No

If Yes, list acreage and change determination to **May Affect - Likely to Adversely Affect**. Acreage: > 300 ft _____ Max distance for clearing: _____

If No, stay with **May Affect - Not Likely to Adversely Affect** determination. Max distance for clearing: _____

DETERMINATION OF EFFECT

No Effect May Affect - Not Likely to Adversely Affect May Affect - Likely to Adversely Affect

References: National Areas Inventory IA DNR Environmental Review Letter Aerial Photos Soils of Concern Data

IA DNR Website USFWS Website Other: _____

Print Name of Preparer and Name of Organization: _____ Date: _____

Agency Concurrence: _____ Date: _____

- Check boxes for habitat types
- Provide photographs



7

7

IS THERE SUITABLE HABITAT IN THE PROJECT AREA?

IOWADOT Determination of Effect for Threatened & Endangered Species For Local Public Agencies

Form IOWADOT 01-010

PROJECT INFORMATION

Project Number: _____ Letting Date: _____ County: _____

Project Description: _____ Road Location: _____

PROJECT EVALUATION

Determine what species to look for. Check IA DNR and USFWS websites. Attach findings.

What habitats are present in the project area? Check all that apply. Attach photos of each.

Forest/Woodland Prairie Pasture Stream/River Residential/Urban

Disturbed ROW Wetland Row Crops Other: _____

Review habitat characteristics as described on IA DNR and USFWS websites for each species.

Is there suitable habitat for protected species present in the project area? Yes No

If No, mark **No Effect** and Section 7 is complete. Submit form with attachments.

Will the project impact suitable habitat for protected species? Ensure all feasible options to avoid impacting suitable habitat are pursued. Yes No

If No, mark **No Effect** and Section 7 is complete. Submit form with attachments.

If Yes, what species/species habitats will be impacted? Move on to the next question.

Indiana Bat Northern Long-eared Bat Tapoka Shiner Other: _____

Are there measures that can be taken to minimize potential impacts to species/habitat? Yes No

If No, mark **May Affect - Likely to Adversely Affect** and move on to next section.

Formal consultation may be required.

If Yes, mark **May Affect - Not Likely to Adversely Affect** and list minimization measures below. Move on to next section.

MINIMIZATION MEASURES

PROJECT IMPACT DETAILS

Tree Clearing for Bat Habitat Only: Will impacts occur greater than 100 ft from an existing edge of road? Yes No

If Yes, list acreage and move to next question. Acreage: 0-100 ft _____ Max distance for clearing: _____

Will impacts occur greater than 300 ft from an existing edge of road? Yes No

If Yes, list acreage and change determination to **May Affect - Likely to Adversely Affect**. Acreage: > 300 ft _____ Max distance for clearing: _____

If No, stay with **May Affect - Not Likely to Adversely Affect** determination. Max distance for clearing: _____

DETERMINATION OF EFFECT

No Effect May Affect - Not Likely to Adversely Affect May Affect - Likely to Adversely Affect

References: National Areas Inventory IA DNR Environmental Review Letter Aerial Photos Soils of Concern Data

IA DNR Website USFWS Website Other: _____

Print Name of Preparer and Name of Organization: _____ Date: _____

Agency Concurrence: _____ Date: _____

- Do the habitats in the project area align with habitats for any species in the county?
- Iowa DNR and USFWS have pages that describe suitable habitat for each species.



Indiana Bat (Myotis sodalis)

The Indiana bat is a small, insect-eating mammal. It is the only species of bat found in Indiana. The Indiana bat is a small, insect-eating mammal. It is the only species of bat found in Indiana. The Indiana bat is a small, insect-eating mammal. It is the only species of bat found in Indiana.

Habitat

Indiana bats hibernates during winter in caves or, occasionally, in abandoned mines. For hibernation, they require cool, humid caves with stable temperatures, under 59° F but above freezing. Very few caves within the range of the species have these conditions.

Reproduction

Indiana bats mate during fall before they enter caves to hibernate. Females store the sperm through winter and become pregnant in spring soon after they emerge from the caves.

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WILL THE PROJECT IMPACT SUITABLE HABITAT?

IOWA DOT Determination of Effect for Threatened & Endangered Species For Local Public Agencies

From 7000-07-02

PROJECT INFORMATION

Project Number: _____ Letting Date: _____ County: _____
 Project Description: _____ Road Location: _____

PROJECT EVALUATION

Determine what species to look for: Check IA DNR and USFWS websites. Attach findings.

What habitats are present in the project area? Check all that apply. Attach photos of each.
 Forest/Woodland Prairie Pasture Stream/River Residential/Urban
 Disturbed ROW Wetland Row Crops Other: _____

Review habitat characteristics as described on IA DNR and USFWS websites for each species.
 Are there suitable habitat for protected species present in the project area? Yes No
 If No, mark **No Effect** and Section 7 is complete. Submit form with attachments.

Will the project impact suitable habitat for protected species? Ensure all feasible options to avoid impacting suitable habitat are pursued. Yes No
 If No, mark **No Effect** and Section 7 is complete. Submit form with attachments.
 If Yes, what species/species habitats will be impacted? Move on to the next question.
 Habitat Bat Aquatic/Topeka Shiner Topeka Shiner Other: _____

Are there measures that can be taken to minimize potential impacts to species/habitat? Yes No
 If No, mark **May Affect - Likely to Adversely Affect** and move on to next section.
 If Yes, mark **May Affect - Not Likely to Adversely Affect** and list minimization measures below.
 Move on to next section.

MINIMIZATION MEASURES

PROJECT IMPACT DETAILS

Tree Clearing for Bat Habitat Only: Will impacts occur greater than 100 ft from an existing edge of road?
 If No, stay with **May Affect - Not Likely to Adversely Affect** determination. Max distance for clearing: _____
 If Yes, list acreage and move to next question. Acreage > 100 ft: _____ Acreage > 100 ft: _____
 Will impacts occur greater than 300 ft from an existing edge of road? Acreage > 300 ft: _____
 If Yes, list acreage and change determination to **May Affect - Likely to Adversely Affect**.
 If No, stay with **May Affect - Not Likely to Adversely Affect** determination. Max distance for clearing: _____

CONSERVATION OF SPECIES

No Effect May Affect - Not Likely to Adversely Affect May Affect - Likely to Adversely Affect

References: Natural Areas Inventory IA DNR Environmental Review Letter Aerial Photos Soils of Concern Data
 IA DNR Website USFWS Website Other: _____

Print Name of Preparer and Name of Organization: _____ Date: _____
 Agency Contact Name: _____ Date: _____

- Will the project impact habitat identified for the previous question?
- If yes, what species/species' habitat?
- Every effort to avoid impacting any suitable habitat should be taken.

9

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ARE THERE MEASURES TO MINIMIZE IMPACTS?

IOWA DOT Determination of Effect for Threatened & Endangered Species For Local Public Agencies

From 7000-07-02

PROJECT INFORMATION

Project Number: _____ Letting Date: _____ County: _____
 Project Description: _____ Road Location: _____

PROJECT EVALUATION

Determine what species to look for: Check IA DNR and USFWS websites. Attach findings.

What habitats are present in the project area? Check all that apply. Attach photos of each.
 Forest/Woodland Prairie Pasture Stream/River Residential/Urban
 Disturbed ROW Wetland Row Crops Other: _____

Review habitat characteristics as described on IA DNR and USFWS websites for each species.
 Are there suitable habitat for protected species present in the project area? Yes No
 If No, mark **No Effect** and Section 7 is complete. Submit form with attachments.
 If Yes, move on to the next question.

Will the project impact suitable habitat for protected species? Ensure all feasible options to avoid impacting suitable habitat are pursued. Yes No
 If No, mark **No Effect** and Section 7 is complete. Submit form with attachments.
 If Yes, what species/species habitats will be impacted? Move on to the next question.

Are there measures that can be taken to minimize potential impacts to species/habitat? Yes No
 If No, mark **May Affect - Likely to Adversely Affect** and move on to next section.
 If Yes, mark **May Affect - Not Likely to Adversely Affect** and list minimization measures below.
 Move on to next section.

MINIMIZATION MEASURES

PROJECT IMPACT DETAILS

Tree Clearing for Bat Habitat Only: Will impacts occur greater than 100 ft from an existing edge of road?
 If No, stay with **May Affect - Not Likely to Adversely Affect** determination. Max distance for clearing: _____
 If Yes, list acreage and move to next question. Acreage > 100 ft: _____ Acreage > 100 ft: _____
 Will impacts occur greater than 300 ft from an existing edge of road? Acreage > 300 ft: _____
 If Yes, list acreage and change determination to **May Affect - Likely to Adversely Affect**.
 If No, stay with **May Affect - Not Likely to Adversely Affect** determination. Max distance for clearing: _____

CONSERVATION OF SPECIES

No Effect May Affect - Not Likely to Adversely Affect May Affect - Likely to Adversely Affect

References: Natural Areas Inventory IA DNR Environmental Review Letter Aerial Photos Soils of Concern Data
 IA DNR Website USFWS Website Other: _____

Print Name of Preparer and Name of Organization: _____ Date: _____
 Agency Contact Name: _____ Date: _____

- Minimization is tailored to species being impacted
 - Winter tree clearing – Bats
 - In-stream date restrictions – Topeka Shiner

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AVOIDANCE VS MINIMIZATION

Avoidance ≠ Minimization

- **Avoidance** = no impact
 - Example: We narrowed the shoulder width to avoid needing to clear trees for the project.
- **Minimization** = ensuring impacts are not detrimental to species/habitat
 - Example: We will clear trees during the inactive season for bats – October 1 to March 31.
- **Mitigation** = even with minimization efforts, mitigation is sometimes required and coordinated with USFWS.
 - Example: Trees will be cleared between October 1 and March 31; however, if trees will be cleared more than 100 feet from the edge of pavement then mitigation is required by USFWS through the Programmatic Biological Opinion for Transportation Projects in the Range of the Indiana Bat and Northern Long-eared Bat.
 - Mitigation ratio is based on the amount of forest cover in the county: <30% forest cover is 1:1.75, >30% forest cover is 1:1.5.

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Say you have 0.9 acre of tree clearing.

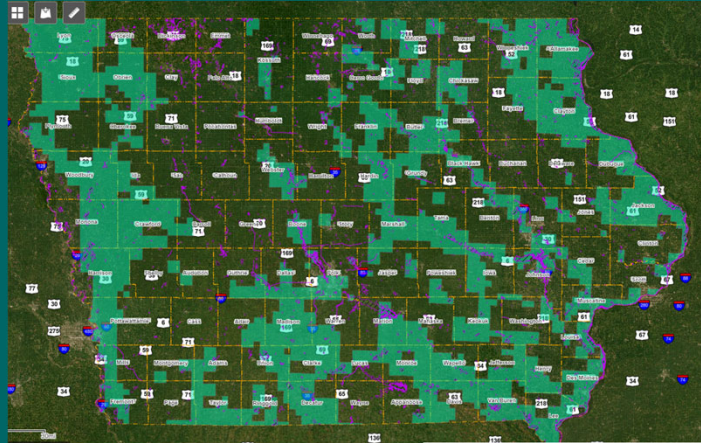
0.5 acre is within 100 feet of the edge of the road so you aren't required to mitigate for that. (You are still required to minimize impacts by clearing trees in the winter.)

0.4 acre of clearing will occur beyond the 100 feet from the edge of the road and in Louisa County there is 7% forest cover (info in USFWS Bat Programmatic) so the mitigation ratio would be 1 : 1.75.

So 0.7 acre of mitigation would be required for this project.

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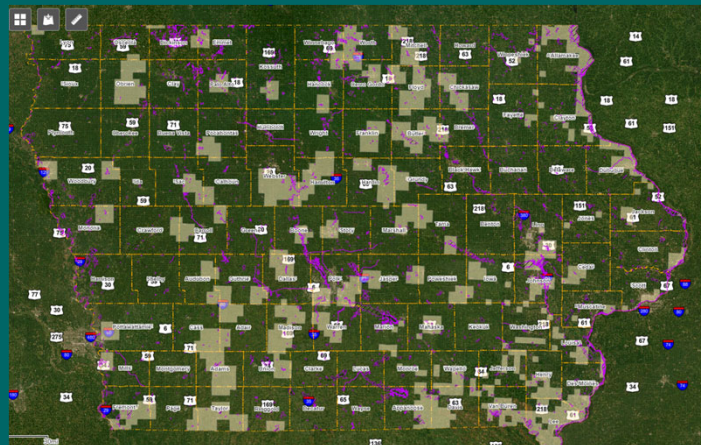
NORTHERN LONG-EARED BAT RANGE



13

13

TRICOLORED BAT RANGE



14

14

SECTION 7 TASK COMPLETION

- The Protected Species team will issue a “Task Completion” memo
- The NEPA team will issue a “Clearance” memo

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QUESTIONS?



- Reference Documents:
 - I.M. 4.110, Threatened and Endangered Species
- Iowa DOT Location and Environment Bureau Contacts
 - Districts 1, 4, 5 – Jill Garton
 - Districts 2, 3, 6 – Brock Struecker
 - **Statewide Local Projects – Beth Kramer**

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SECTION 106 OF THE NATIONAL HISTORIC PRESERVATION ACT OF 1966

Cultural Resources Team
Location and Environment Bureau
Iowa Department of Transportation

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SECTION 106 PURPOSE

- Promote consideration of Historic Preservation
- Provides criteria to establish significance
- Requires:
 - Consultation with Stakeholders (including SHPO)
 - "Reasonable Opportunity" for the ACHP to Comment

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PRESENTATION OVERVIEW

Section 106
Applications
Compliance Steps
Archaeological & Historic Surveys
Consultation
SHPO Review
Transportation Alternatives Program

19

SECTION 106



The "106 Process"



Applies to federal actions with potential to affect Historic Properties

Highway funding, FEMA grant, Army Corps permits, cell towers, etc.



Historic property

Listed in or eligible for listing in the National Register of Historic Places



Historic properties can be structures, archaeological sites, objects, landscapes, etc.

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APPLICATION

Governing regulations, 36 CFR 800, are issued by the Advisory Council on Historic Preservation in Washington D.C.

Federal Agency has responsibility for consultation and compliance, but tasks are usually delegated

Iowa Federal Highway Administration (FHWA) delegates administration of most consultation and compliance steps to the DOT

State Historic Preservation Officer (SHPO) consults for the majority of projects


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COMPLIANCE STEPS

 1st - Is it a Federal Action?

 2nd - Is it a project type with potential impacts?

 Yes, submit Concept Statement or application for review

Needed information - ROW, easements, ground disturbance, structures, known historic properties nearby

 1. Identify and evaluate potential historic properties with archaeological and/or historic surveys

 2. Assess effects on identified National Register eligible properties

 3. Consult to Avoid or Mitigate Adverse Effects

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ARCHAEOLOGICAL & HISTORIC SURVEYS



Surveys may be required for any right of way or easement needs impacted by earthmoving activities or other unique situations



Notify our bureau about any changes affecting the impact area



Our bureau can help find qualified archaeologists and historians



Our bureau, University of Iowa staff, or private firms can provide advice regarding the need for an archaeological or historical survey

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CONSULTATION

- 36 CFR 800 requires consultation (often extensive) with various stakeholders (e.g., SHPO, Tribes/Nations, Historic Preservation Commissions, Historical Societies, the public. Etc.
- Official submittals for consultation on FHWA funded projects must go through the DOT
- The extent of consultation depends on the resource and the potential for impacts
- SHPO staff can provide additional advice
 - Example: discuss how to rehab historic buildings

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CONSULTATION

- Expect extended consultation when historic properties are present
- Get to know your local stakeholders (Historic Preservation Commissions, Historical Societies)
- Expect to meet with, listen to, and work to address concerns of stakeholders when discussing an **Adverse Effect**
- Stakeholders are critical to the Section 106 process

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SHPO REVIEW

SHPO has 30 days after receipt of an official submittal to complete a review

Recent SHPO review time has averaged 27 days

SHPO provides comments, not clearance

SHPO comments are just one step in Environmental Concurrence process

National Environmental Policy Act (NEPA) requires evidence of Section 106 compliance

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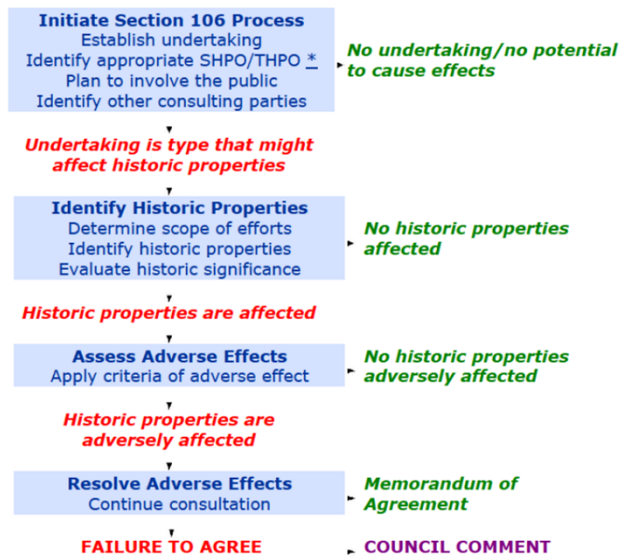
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TRANSPORTATION ALTERNATIVES PROGRAM (TAP)

- TAP projects cannot have an adverse effects to historic properties
- Historic preservation enhancements review begins with review of the concept/application
- Historic Structures applying for enhancement funds for rehabilitation must be listed in or eligible for listing in the National Register of Historic Places
- For unevaluated structures, consult with SHPO and complete Iowa Structural Inventory Form available on State Historical Society website
- Historic building restorations or rehabilitations must follow the Secretary of Interior Standards for Historic Preservation
 - Plan note should reference Standards
- SHPO reviews plans for rehabilitation of historic structures

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ADVISORY COUNCIL FLOWCHART



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HISTORIC BRIDGES & I.M. 4.120

- Unique to **2023 through 2025**, it will be necessary to complete either a historical bridge assessment or an intensive historical evaluation for bridges 45-years in age or older. Currently, both of the previous statewide historic bridge surveys are out of date, and not being accepted by Iowa SHPO. Per 36 CFR 800, identification of historic properties is the responsibility of the agency or their applicant. The historical bridge assessment or intensive historical evaluation are different levels of investigation that result in different products. If the LPA has questions about the appropriate level of effort/product they should contact the designated cultural resources manager for their transportation district within LEB. The historical bridge assessment is a desktop effort that will look at the historic context of the bridge, provide some appropriate documentation and will conclude with the SOI qualified historian making an assessment of the need for intensive survey. A key to the scope of the historical bridge assessment is that the completion of an Iowa Site Inventory Form is not required. Generally, these efforts do not involve field work by the SOI qualified historian, but they will likely involve the exchange of specific information about the bridge, or other similar bridges from the LPA to the SOI qualified historian.
- Conversely, the intensive historical bridge evaluation will require field time, as well as visits to local archives or institutions that repose historical documents by the SOI qualified historian or associated staff. The intensive historical bridge evaluation also requires the completion of a robust historical context and an Iowa Site Inventory Form. This level of documentation should be consistent with Iowa SHPO's draft *Guidelines for Historic Architectural Survey in Iowa*. The Iowa Highway Research Board and the Iowa DOT are leading efforts to complete our **3rd generation statewide historical bridge survey** that is anticipated to be completed in late 2025. Once completed, individual bridge assessments or intensive historical evaluations for most bridges in the state should not be required.

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SECTION 106 TASK COMPLETION

- The Cultural Resources team will issue a "Task Completion" memo
- The NEPA team will issue a "Clearance" memo

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FOR MORE INFORMATION

References:

- I.M. 4.120, Cultural Resource Regulations
- Section 106 Regulations
36 CFR Part 800 (16 U.S.C.)
- Advisory Council website www.achp.gov/usersguide.html
- SHPO website www.iowaculture.gov/history/
- Iowa Code Section 314.24

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QUESTIONS?

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NATIONAL ENVIRONMENTAL POLICY ACT (NEPA) & SECTION 4(f)

Mackenzie Rosenboom
Location and Environment Bureau
Iowa Department of Transportation

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"The National Environmental Policy Act (NEPA) is our basic national charter for protection of the environment"

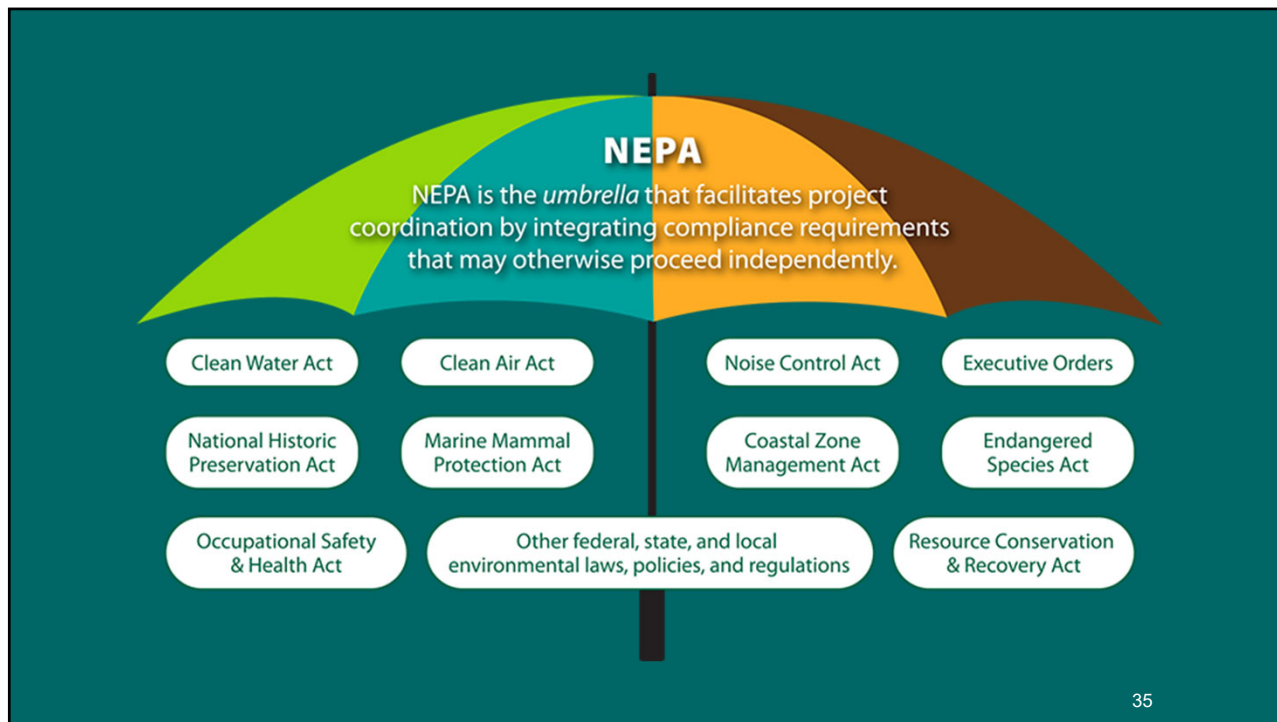
40 CFR 1500.1(a)

"NEPA procedures must ensure that environmental information is available to public officials and citizens before decisions are made and before actions are taken."

40 CFR 1500.1(b)

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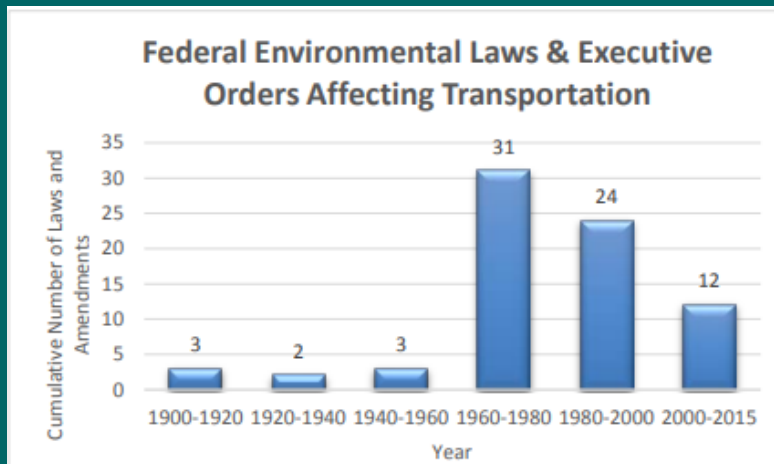
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CODE OF FEDERAL REGULATIONS

<p style="text-align: center;"><u>40 CFR Ch. V</u> – Council on Environmental Quality (CEQ), Part 1500-1508</p> <ul style="list-style-type: none"> • Establishes policy • Sets goals • Provides means for carrying them out 	<p style="text-align: center;"><u>23 CFR § 771</u> – Environmental Impact and related procedures</p> <ul style="list-style-type: none"> • Supplements 40 CFR Ch. V, Part 1500-1508 • Process for highway and public transportation projects
--	---

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From the 1960s, environmental laws pertaining to transportation have increased significantly. (Courtesy FHWA)

WHEN DOES NEPA APPLY?

Anytime a federal action occurs:

Federal funding

Federal jurisdiction

Federal permit

Federal approval

NEPA - CLASSES OF ACTION

Class I

Environmental Impact Statement: Actions that significantly affect the environment

- **Project examples:** brand new construction where there has never been a road or a project with a lot of potential for significant impacts

Class II

Categorical Exclusion: Actions that do not individually or cumulatively have a significant environmental effect

- Necessary environmental studies and compliance with all applicable requirements are still required for the project.
- **Project examples:** Routine maintenance, resurfacing, restoration, rehabilitation, reconstruction, minor widening, bridge replacement and bridge rehabilitation.

Class III

Environmental Assessment: Actions for which the Administration has not clearly established the significance of the environmental impact.

- For projects that have potential to have a significant impact but don't know for sure

c)(17)	Purchase of vehicles by the applicant where the use of these vehicles can be accommodated
c)(18)	Track and Railbed maintenance and improvements when in existing ROW
c)(19)	Purchase and installation of operating or maintenance equipment to be located within ROW
c)(20)	Promulgation of rules, regulations and directives
c)(21)	Deployment of electronics, photonics, communications or information processing user equipment
c)(22)	Projects within existing Operational ROW
c)(23)	< 5 mil or < 30 mil (fed \$ < 15% of total cost) (check with FHWA Iowa Division for current list)
c)(24)	Localized geotechnical and other investigation to provide information for preliminary design
c)(25)	Environmental restoration and pollution abatement actions
c)(26) ★	Modernization of a highway by resurfacing, restoration, rehabilitation, reconstruction or reconstruction
c)(27)	Highway safety or traffic operations improvement projects including, ramp metering, interchange reconstruction, etc.
c)(28) ★	Bridge rehabilitation, reconstruction, replacement or the construction of grade separated crossings
c)(29)	Purchase, construction, replacement, or rehabilitation of ferry vessels
c)(30)	Rehabilitation or reconstruction of existing ferry facilities that occupy substantially the same location
d)(04)	Transportation corridor fringe parking facilities
d)(05)	Construction of new truck weigh stations or Rest Areas

(C) AND (D) LISTS

CATEGORICAL EXCLUSION (CE)

- Do not have significant impacts:
 - on planned growth or land use for the area;
 - on relocations of people;
 - on natural, cultural, recreational, historic or other resources;
 - on air, noise, or water quality;
 - on travel patterns;
 - either individually or cumulatively.

23 CFR 771.117

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PROGRAMMATIC AGREEMENT FOR CATEGORICAL EXCLUSIONS

- Projects subject to 23 CFR 771.117 (c) and (d) lists
- Established procedures to expeditiously and efficiently process certain actions
- Iowa DOT certify that projects meet the criteria set forth in the agreement
- This allows Iowa DOT to clear projects on FHWA's behalf
- Majority of projects will fit under the programmatic agreement BUT certain impacts may jump it to a CE and require FHWA review and signature
 - E.g., may affect for T&E, historic resource found, excess ROW, relocations
- Reviewed after 5 years – recent version dated April 2019
 - Has been sent to FHWA for signature, requesting a 5-year extension

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CE PROCESS:

Countersigned	Programmatic
Submit Concept to Iowa DOT	Submit Concept to Iowa DOT
NEPA classification concurrence with FHWA is required	NEPA classification concurrence with FHWA is not required
Sponsor provides results of environmental studies and agency coordination	Sponsor provides results of environmental studies and agency coordination
Agency consultation (if needed) is completed by Iowa DOT and Project Sponsor	Agency consultation (if needed) is completed by Iowa DOT and Project Sponsor
Project sponsor will work with NEPA Manager to complete CE form summarizing the results.	Iowa DOT will complete the Environmental Review Summary and project certification.
The CE form is countersigned by FHWA Iowa Division and Iowa DOT.	
Iowa DOT will notify the project sponsor when the memorandum is signed and mark the project cleared in TPMS/PSS.	Iowa DOT will notify the project sponsor when certification is complete and mark the project cleared in TPMS/PSS.

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NEW COUNTERSIGNED CE PROCESS



NEPA Manager will fill out the CE form based on the information received to date and send to Project Sponsor

CE form will have comment boxes, and a guidance document will be sent along to aid in completing the form



Project Sponsor will need to review, revise, update, and send back to NEPA Manager



NEPA Manager will review and reach out if additional information is needed



Once the CE has all the necessary information, it will be sent for signature

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NEW CE FORM

IOWA DOT Countersigned Categorical Exclusion

County: «County»
 Phase Number: «Phase Number»
 Project Name: «Document Title»
 Project Location: «Location»
 NEPA ID: «NEPA ID»

PROJECT DESCRIPTION:
 «Project Description»

TYPE OF PROJECT:
 Categorical Exclusion (CE), as described in 23 CFR 771 Part 117 «CFR Citation» «NEPA Project Type»

Federal Highway Administration (FHWA) concurred that this project meets the criteria of a Categorical Exclusion (CE); and that this project may not be processed under the FHWA and Iowa DOT Programmatic Agreement regarding the processing of certain categorical exclusion actions due to not meeting one or more of the constraints described in 23 CFR 771 Part 117 (e).

PUBLIC INVOLVEMENT:
 Projects meeting the CE classification do not have a public involvement requirement. Early coordination with the public aids in determining the type of environmental review documents an action requires, the scope of the document, the level of analysis, and related environmental requirements. The table will list the public involvement opportunities provided for this project.

Meeting	Date	Location	Task	Invited	Attended	Media	City	Type	Date Printed
«Meeting»	«Date»	«Location»	«Task»	«Invited»	«Attended»	«Media»	«City»	«Type»	«DatePrinted»

Comment:
 «Public Involvement Comment»

Phase Number: «Phase Number»
 NEPA ID: «NEPA ID»

RIGHT-OF-WAY (ROW) AND DISPLACEMENT:
 A review was completed to determine if acquisitions and relocations of real property would be required. If it is determined that acquisitions and relocations are required, they will be conducted in accordance with the Federal Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (42 U.S. Code (USC) 4601 et seq.).

Estimated ROW: «Additional ROW» acre(s)
 Estimated Temporary Easement: «temp easement» acre(s)
 Estimated Permanent Easement/Fee Title: «Perm easement» acre(s)

Comment:
 «ROW Comment»

Number of homes displaced: «#homes»
 Is there replacement housing for the displacements? «Home replacement»
 Number of businesses displaced: «#Businesses»
 Is there replacement property for the displaced businesses? «Business Replacement»

Comment:
 «Displacement Comment»

ENVIRONMENTAL JUSTICE (EJ) AND EQUITY:
 A review was completed to identify and address disproportionately high and adverse effects on minority and low-income populations to achieve the equitable distribution of benefits and burdens in accordance with Executive Order 12898, FHWA EJ Order 6640.23A and Executive Order 13985.

Is this an environmental justice community? «EJ community»
 Is there an adverse impact? «Is there an adverse impact»

Comment:
 «Environmental justice and equity Comment»

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NEPA COMPLETION STATISTICS

CLASSIFICATION	MONTHS
PCE	5 *
CE	13

*Plan for more time

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SECTION 4(f)

49 USC § 303(c)

It is the policy of the United States Government that special effort should be made to preserve the natural beauty of the countryside and public park and recreation lands, wildlife and waterfowl refuges, and historic sites.

23 USC § 138

Preservation of parklands

23 CFR 774

The purpose of this part is to implement 23 USC § 138 and 49 USC § 303, which were originally enacted as Section 4(f) of the Department of Transportation Act of 1966 and are still commonly referred to as "Section 4(f)."

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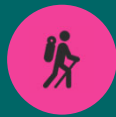
Section 4(f) – Parks Plus and Historic Sites



PARKS AND
RECREATIONAL
AREAS



WILDLIFE REFUGE



TRAILS



WATER
TRAILS/PADDLING
ROUTE



HISTORIC SITES

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OFFICIAL WITH JURISDICTION (OWJ)



Park, Recreational and Refuge Facilities:

Individual(s) given responsibility for managing the facility. (i.e., City Park Director, USACE, County Conservation Board, etc.)



Historic Properties:

State Historical Preservation Office

IOWA | DOT Section 4(f) Temporary Occupancies – Recreation

County: «County»	NEPA Classification: «NEPA Classification»
Project Code: «Phase Code»	NEPA Project Type: «NEPA Project Type»
Phase Number: «Phase Number»	NEPA ID: «NEPA ID»
Location: «NEPA Doc Title»	

FHWA determines the applicability of 49 USC 303 (Section 4(f) of the DOT Act of 1966) to impacts your project may have on a public park, recreation area, or wildlife and waterfowl refuge. This is part of the Section 4(f) determination process for this project. To complete the determination, FHWA is gathering input from the official with jurisdiction over the property to establish the function, designation, and significance of the property. As the official with jurisdiction, we are providing you information regarding the proposed impacts to the property listed below.

«PROPERTY NAME»

<<INSERT VISUAL OF THE PROPERTY AND THE PROJECT IMPACT>>

Ownership: «Ownership»
Open to the Public? «Open to the Public»
Is the primary function recreation? «Primary function recreation»
Or is the secondary function recreation if the primary is not? «Secondary function recreation»
(Provide a copy of the recreation master plan for planned recreational properties.)

Do you as the OWJ consider the property significant for recreation to the community?
«Significant»

Property details:	Impact to the property:	Duration of impact:
«PDArea» «PDAUnit»«Length»	«EPArea» «EPAUnit»«EPLength»	«Duration of Impact»
«PDLunit»	«Lunit»	

Attributes of the property:	Affected attributes:
«Attributes of the Property»	«Affected Attributes»

IOWA | DOT Section 4(f) Temporary Occupancies – Recreation

The Official of Jurisdiction (OWJ) has been contacted by the Iowa DOT Location and Environment Bureau or the Local Public Agency as the project sponsor regarding the project. The OWJ understands that there is a need for this improvement and the temporary occupancies of land are so minimal as to not constitute a use within the meaning of Section 4(f). It is further understood that the impacts to the property will meet the following criteria:

- Duration (of the occupancy) is to be temporary, i.e., less than the time needed for construction of the project, and there will be no change in ownership of the land;
- Scope of the work is minor, i.e., both the nature and the magnitude of the changes to the 4(f) resource are minimal;
- There are no anticipated permanent adverse physical impacts, nor will there be interference with the activities or purpose of the resource, on either a temporary or permanent basis;
- The land being used will be fully restored, i.e., the resource must be returned to a condition which is at least as good as that which existed prior to the project.

Contact	Date	Comments
«OWJ Contact»	«Sent»	«Comments»

As the official having jurisdiction over the Section 4(f) resource, it is agreed that the use of the section 4(f) property is solely for the purpose of preserving or enhancing the activity, feature, or attribute that qualifies the property for Section 4(f) protection. Your signature below indicates agreement that the project is acceptable and that it includes all possible planning to minimize harm to the park or facility.

	Signature	Date
Prepared by:		
IA DOT:		
Official with jurisdiction:		

IOWA | DOT Section 4(f) de minimis

County: «County»	NEPA Classification: «NEPA Classification»
Project Code: «Phase Code»	NEPA Project Type: «NEPA Project Type»
Phase Number: «Phase Number»	NEPA ID: «NEPA ID»
Location: «NEPA Doc Title»	

FHWA determines the applicability of 49 USC 303 (Section 4(f) of the DOT Act of 1966) to impacts your project may have on a public park, recreation area, or wildlife and waterfowl refuge. This is part of the Section 4(f) determination process for this project. To complete the determination, FHWA is gathering input from the official with jurisdiction over the property to establish the function, designation, and significance of the property. As the official with jurisdiction, we are providing you information regarding the proposed impacts to the property listed below.

«PROPERTY NAME»
 <<INSERT VISUAL OF THE PROPERTY AND THE PROJECT IMPACT (add additional attachments if needed) >>

Ownership: «Ownership»
 Open to the Public? «Open to the Public»
 Is the primary function recreation? «Primary function recreation»
 Or is the secondary function recreation if the primary is not? «Secondary function recreation»
(Provide a copy of the recreation master plan for planned recreational properties.)

Do you as the OWJ consider the property significant to the community for recreation?
 «Significant»

Property details:	Impact to the property:	Duration of impact:
«PDArea» «PDAUnit»«Length»	«EPArea» «EPAUnit»«EPLength»	«Duration of Impact»
«PDLUnit»	«LUnit»	

IOWA | DOT Section 4(f) de minimis

Attributes of the property:	Affected attributes:
«Attributes of the Property»	«Affected Attributes»

Describe impact avoidance, minimization, and mitigation or enhancement measures incorporated into the project:

Does this adversely affect the activities, features, or attributes that qualify the resource for protection under Section 4(f)?

Describe the public involvement method and the outcome:

OWJ	Date	Comments
«OWJ Contact»	«Sent»	«Comments»

The official(s) with jurisdiction over the property, after being informed of the public comments and FHWA's intent to make the de minimis impact finding, concur in writing that the project will not adversely affect the activities, features, or attributes that qualify the property for protection under Section 4(f).

Prepared by:	Signature	Date
IA DOT:		
Official with Jurisdiction:		

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WORK OVER A WATER TRAIL/ PADDLING ROUTE

New structures

Replacement structures

Bridge widening

Superstructure replacements

Superstructure strengthening

Deck replacements

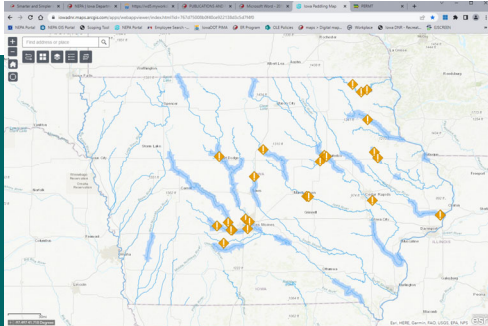
Bridge removal

Bridge repairs – any superstructure or substructure repairs over/in the waterway and within approximately 20 feet of the bank.

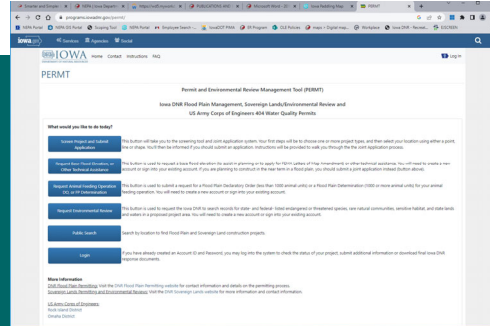
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Work Over a Water Trail/Paddling Route



Use the DNR website to identify paddling routes
<https://iowadnr.maps.arcgis.com/apps/webappviewer/index.html?id=767d75008b0f40ce922138d3c5d7f4f0>



Coordinate with DNR through their Permit and Environmental Review Management Tool (PERMT). DNR will provide sign details and contact information for the plans
<https://programs.iowadnr.gov/perm/>

Safety Considerations:
 Water Trails and Paddling Routes:
 Water Trails and Paddling Routes are considered recreational areas under 23 CFR 774 (see question 10 below). Does this project include a DNR designated water trail or paddling route, as listed on this website:
<https://iowadnr.maps.arcgis.com/apps/webappviewer/index.html?id=767d75008b0f40ce922138d3c5d7f4f0>
 Yes No

I.M. 4.200 is available for guidance

National Resource Conservation Service (NRCS) Land

Title 7—Agriculture Part 650
<https://www.nrcs.usda.gov/>

What is it?

- Part of the U.S. Department of Agriculture
- Offer technical and financial assistance to integrate conservation practices into croplands, grazing lands, forests, urban farms and other land uses
- Farmers can apply to put unfarmable land into NRCS conservation land

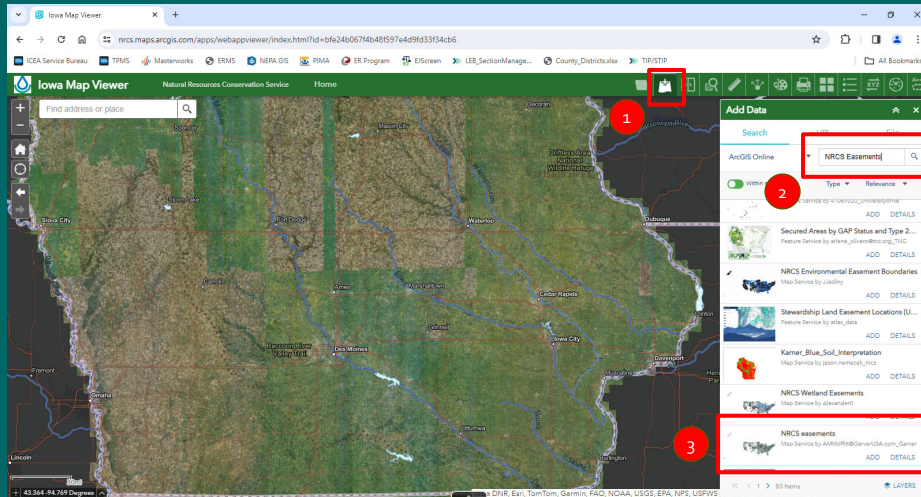
How it functions?

- Offer conservation programs to help agricultural producers address natural resource concerns while strengthening their operations

Why we want to avoid it?

- They have their own process that must be followed which includes their own NEPA review in addition to FHWA requirements
 - Their process adds **years** on the timeline – greatly affect your schedule
- If you make a modification of the easement for your project, you're responsible for finding that mitigation land

NRCS EASEMENT GIS MAP



Adding NRCS Easements to Map:

- Click add data on the top ribbon
- Search "NRCS Easements"
- Click add

<https://nrcs.maps.arcgis.com/apps/webappviewer/index.html?id=bfe24b067f4b48f597e4d9fd33f34cb6>

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NEPA CLEARANCE

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KEY ITEMS FOR NEPA CLEARANCE

- Show estimated work limits both permanent and temporary easements.
Include all areas of potential disturbance
- Complete Determination of Effect Form for T&E
- Complete Determination of Effect for Cultural Resources
- Complete Section 4(f) reviews and determinations
 - Provide impacts or use of any land that is currently a park
 - Complete DNR PERMT for paddling routes (if applicable)
 - Coordination with all OWJ of Parks Plus properties

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IOWA DOT NEPA SECTION CONTACTS

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QUESTIONS?



Reference Documents:

- I.M. 4.020, NEPA Process

23 CFR 771 & 774

www.environment.fhwa.dot.gov/index.asp

INITIAL PROJECT DEVELOPMENT

Niki Stinn, P.E.

Secondary Roads Engineer

Local Systems Bureau

Iowa Department of Transportation

1

1

PRESENTATION OVERVIEW

Project Scheduling

Funding Agreement

Concept Statement

Project Tracking & Activation

Schedule Items & Submittals

Funding & Plan Divisions

Engineer's Estimate & Funding

Transfer of Information for Contracts



2

PROJECT SCHEDULING

- Typical sequence of project activities
 - Step 1: Consultant Selection
 - Step 2a: Funding Agreement
 - Step 2b: Concept Statement
 - Step 3: Preliminary Plans
 - Step 4: Environmental Concurrence
 - Step 5: Right-of-way Acquisition
 - Step 6: Check and Final Plans
 - Step 7: Letting
 - Step 8: Construction

Covered in this presentation

3

3

PROJECT SCHEDULING

For more information:

- See Federal-aid Guide, Section 3
- See I.M. 3.000, Federal-aid Project Scheduling
 - Type 1: PCE w/ no ROW
 - Type 2: PCE or Individ. CE, Minor ROW
 - Type 3: EA, Moderate ROW
 - Type 4: EIS, Significant ROW
- See I.M. 3.010, Project Development Submittal Dates and Information

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4

Project Development Critical Path Dates						Year
Federal-aid and Non-Federal-aid Major and Minor Type Projects						
Federal-aid/Primary Projects			All Projects			
Concept Statement		Preliminary Plans	Check Plans	Final Plans, PDC, All other Reg'd Docs	Letting Date	Year
Major (1 year)	Minor (9 months)					
01/16/24	04/16/24	07/16/24	09/03/24	10/15/24	01/22/25	2025
02/20/24	05/21/24	08/20/24	10/01/24	11/19/24	02/18/25	
03/19/24	06/18/24	09/17/24	11/05/24	12/17/24	03/18/25	
04/16/24	07/16/24	10/15/24	12/03/24	01/21/25	04/15/25	
05/21/24	08/20/24	11/19/24	01/07/25	02/18/25	05/20/25	
06/18/24	09/17/24	12/17/24	02/04/25	03/18/25	06/17/25	
07/16/24	10/15/24	01/21/25	03/04/25	04/15/25	07/15/25	
08/20/24	11/19/24	02/18/25	04/01/25	05/20/25	08/19/25	
09/17/24	12/17/24	03/18/25	05/06/25	06/17/25	09/16/25	
10/15/24	01/21/25	04/15/25	06/03/25	07/15/25	10/21/25	
11/19/24	02/18/25	05/20/25	07/01/25	08/19/25	11/18/25	
12/17/24	03/18/25	06/17/25	08/05/25	09/16/25	12/16/25	
01/21/25	04/15/25	07/15/25	09/02/25	10/21/25	01/21/26	2026
02/18/25	05/20/25	08/19/25	10/07/25	*11/11/2025	02/17/26	
03/18/25	06/17/25	09/16/25	11/04/25	*12/9/2025	03/17/26	
04/15/25	07/15/25	10/21/25	12/02/25	01/20/26	04/21/26	
05/20/25	08/19/25	11/18/25	01/06/26	02/17/26	05/19/26	
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09/16/25	12/16/25	03/17/26	05/05/26	06/16/26	09/15/26	
10/21/25	01/20/26	04/21/26	06/02/26	07/21/26	10/20/26	
11/18/25	02/17/26	05/19/26	07/07/26	08/18/26	11/17/26	
12/16/25	03/17/26	06/16/26	08/04/26	09/15/26	12/15/26	

*Date revised to account for holidays

From I.M. 3.010

PROJECT DEVELOPMENT CRITICAL PATH DATES

These dates are rigid!

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STEP 1: CONSULTANT SELECTION

- Only allowed for certain types of projects
 - Grant Team
 - Discretionary Grants & Earmarks, depending on what was included in application
- Not allowed for standard highway/bridge projects (STBG/HBP)
- Additional information on the consultant selection process covered in prior presentations

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What is it?

- A written agreement between the Iowa DOT and LPA
- Discretionary grant agreements written by US DOT - typically take minimum of 9-12 months.
- Outlines the responsibilities of each party and the applicable Federal requirements
- Identifies funding sources and amounts
 - Funding limit (hard limit) specified in the agreement for most programs (STBG, HSIP, TSIP, TAP, etc.)
 - HBP funding amount is estimate only (capped for cities but not counties)

▪ STEP 2A: FUNDING AGREEMENT

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When should it be completed?

- As early as possible, typically just before or after Concept Statement submittal
- No later than Check Plan stage
- Before incurring any costs in which the LPA requests reimbursement, communicate with your LS Field Engineer or Grant Manager
- FHWA authorization required for all participating costs prior to incurring expense

▪ STEP 2A: FUNDING AGREEMENT

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STEP 2B: CONCEPT STATEMENT

- Concept Statement for Local Systems Bureau Federal-aid Projects (Form 517001)
 - Updated June 2024 (*Always use the most recent form*)
- Purpose
 - Initiates project development
 - Provides LPA contact information
 - Defines the scope of the project
 - Determines project description, which must match CFYP/STIP programming
 - Helps determine the level of environmental review and documentation required
 - Helps determine which permits and / or agreements may be needed
 - Documents proposed design (checked to ensure criteria are met) & design exceptions

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STEP 2B: CONCEPT STATEMENT:

USES BY VARIOUS BUREAUS

- Submit Concept Statement to Administering Bureau
 - Teams:
 - Project Development: Jenifer Bates, Joe Albright, & Arielle Muench
 - Grant: Scott Flagg, Susan Hollenkamp, Jennifer Kolacia, Troy Schroeder, Jared Smitch, & Emily Whaley
 - Discretionary Grants/Earmarks: Tom Rhoads & Eric Tjelmeland
 - Perform general review for completeness
 - Review proposed design elements
- Location and Environment Bureau
 - Reviews to determine level of archeological/cultural/historical/environmental impacts and documentation required
 - Starts NEPA determination process – The more information provided, the better
- Right-of-Way Bureau
 - Used for information
 - Identifies which projects have right-of-way needs

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STEP 2B: CONCEPT STATEMENT

- Additional documents necessary to submit with the Concept Statement
 - DOE, Determination of Effect (Form 760005) required
 - ROW Map
 - Additional justification and assessments needed for design and NEPA evaluations
- For more information:
 - I.M. 3.020, Concept Statement Instructions
 - I.M. 4.110, Threatened and Endangered Species
 - I.M. 4.120, Cultural Resource Regulations for historic bridge assessment guidance
 - I.M. 4.200 Water Trails and Paddling Routes
 - Other Environmental Information

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PROJECT TRACKING IN TPMS

- What is the Transportation Program Management System (TPMS)?
 - On-line system provided by the Iowa County Engineers Association (ICEA) Service Bureau
 - Includes:
 - County Budgets and 5-year Programs
 - Federal-aid TIP / STIP data
 - Project Development data
 - Transit programming
 - Available to DOT, LPA, regional planning, and consultant personnel

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ACTIVATING PROJECTS

- County projects and city projects in STIP - Use "Activate Project" rather than "Create Project"
 - "Activate" pulls project from programming
 - "Create" results in a detached project
- STIP = "Record of Truth"
 - Activate from STIP record unless there is a good reason to do otherwise
- Counties: Can activate project from draft CFYP
- Cities: Contact Project Development staff for help activating projects

Project Development

List Search Reports

Letting Date	ID	Pro...	CS	PP	CP	FP	DC	CT	Prog...
8/15/2023	39069	BROS-...							
8/15/2023	39068	BROS-...							
8/15/2023	39072	BROS-...							
8/15/2023	39071	BROS-...							

Activate Project

Fiscal ...	ID	Project Number	Description	Fundin...
2027	9199	FM-C086()-55-86	C Ave.: From US 30 to 290th St.	FM
2027	19582	L--73-86	L Avenue: From US 30 to 310th Street	LOCAL
2027	49776	BRS-C086()-60-86	On D 65, Over BRANCH WOLF CREEK,...	HBP
2026	49777	BRS-C086()-60-86	On E 29, Over SALT CREEK, S2 T84 R14	HBP
2026	15204	L--73-86	L Ave.: From US 30 to 310th St.	LOCAL
2025	49778	STP-S-C086()-5E-86	On E 66, from US30 to IA21	STBG
2025	45096	BROS-C086()-8J-86	On I1 AVE, Over RICHLAND CREEK, S2...	HBP
2024	39065	BRS-C086()-60-86	On E 44, Over TROUBLESOME CREEK,...	HBP
2024	39070	BROS-C086()-5F-86	On G Avenue, Over Small Stream, S19 T...	HBP

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Project Development

35284 BROS-C065(118)--8J-65
Mills County Active

Letting Date: 4/16/2024
Location: DOT
Type: Federal Aid Minor

Work Codes: 2022 Primary Bridge Replacement-CCS
2021 Bridge Replacement

Site: Type Rural, County Mills County, DOT District 4, DOT Region West, DOT Tech Area South, Lanes 2, Miles 0.1, Min AADT 50, Max AADT 50, FFC Local, System Class County: Area Service

Construction Engineer: Name Jacob Ferro, Organization Mills County, Email jferro@millscountyiowa.gov, Phone 712-520-4045

Design Engineer: Name David Sturm, Organization Snyder & Associates, Email daves Sturm@snyder-associates.com, Phone 712-250-0484

Reviewer: Name Jenifer Bates, Organization IA DOT Local Systems, Email Jenifer.Bates@iowadot.us

ACTIVATING PROJECTS

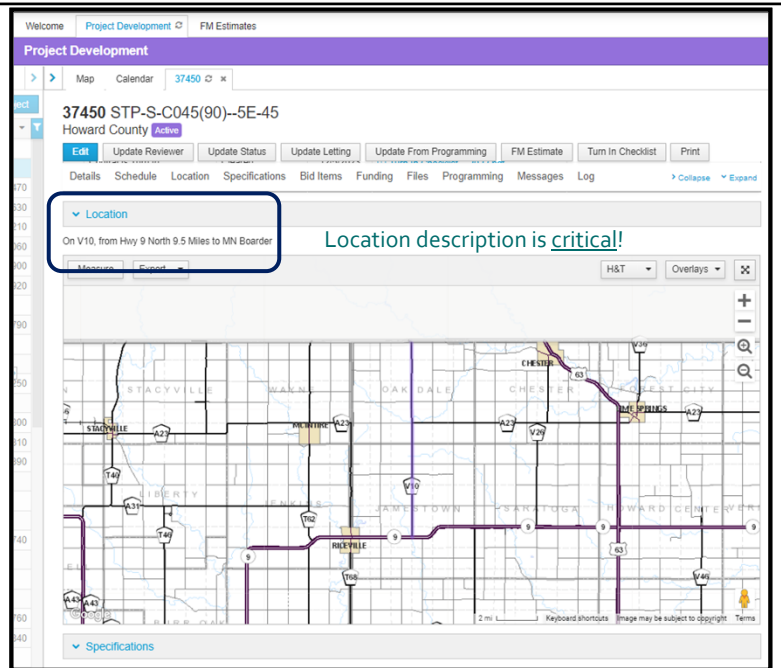
- LPA may enter initial project information
 - Letting date
 - Work codes
 - Design Contact
 - More
- Administering Team
 - Verifies initial information
 - Assigns project number
 - Reviews/resets clearances as needed

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LOCATION DESCRIPTION

- Location Description must match the STIP, if applicable
- The description from TPMS will transfer to the bidding proposal/contract
- The description shown in TPMS must match the description on the plan set

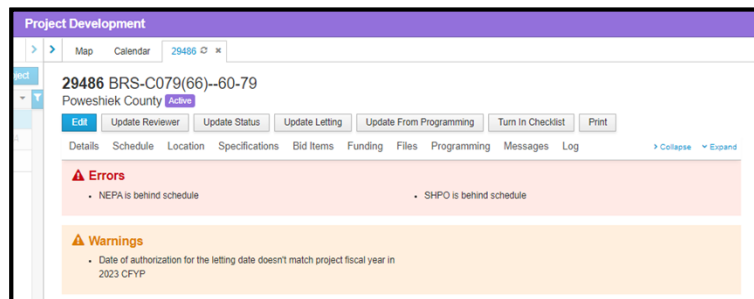


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WARNINGS & ERRORS

- Errors = Showstoppers
- Warnings = Warrant attention but will not stop letting



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SCHEDULE ITEMS & SUBMITTALS

- All submittals shall be made through TPMS Project Development
- Schedule Items and Milestones
 - Displayed with statuses & due dates
 - Letting date dependent
 - Request additional schedule items if needed (Ex: HSIP funding agreement)
- Always upload documentation through Schedule Items when applicable
 - When submitting, select status!
 - No status = not on reviewer's radar
 - Files uploaded through schedule item are tagged to item rather than only being "loose" in the files section

▼ Schedule

Add Schedule Item

Type	Status	Due Date	Files	Notes
✓ Concept Statement Milestone	Cleared 9/23/2...	8/16/2022		
✓ Preliminary Plans Milestone	Cleared 9/23/2...	8/16/2022		
✓ Check Plans Milestone	Cleared 10/4/2022	10/4/2022	84-C084-177 Check...evlew.pdf	Cleared with comment.
✓ Final Plans Milestone	Cleared 11/21/2...	11/15/2022		
✓ Project Funding Agreement Clearance	Cleared 11/29/2...	11/22/2022 13 weeks before letting	Blank Funding Agr...#033 Executed F...#033.pdf Signed Fun Ag...#033	
✓ NEPA Clearance	Cleared 10/7/2...	11/22/2022 13 weeks before letting		
✓ SHPO Clearance	Cleared 9/26/2...	11/22/2022 13 weeks before letting		
✓ Contracts Turn In <small>Reviewer Only Milestone</small>	Cleared 12/5/2...	12/6/2022	Turn In Checklist...	

Milestone vs. Clearance:
A Milestone has a hard submittal date and is reset if missed.

Update Preliminary Plans * Required fields

Status
Submitted

Relative Due Date
2/21/2023 Fixed date

Upload File Supports drag and drop uploads

Send notification email to project contacts

Message*

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SCHEDULE ITEMS & SUBMITTALS

- Use "Message" in submittal item to send message to reviewers
 - Submittal line message only sent to project contacts
 - If message should go to more than project contacts, un-check "Send notification email to project contacts"
- Use "Messages" at bottom of project screen to send messages not linked to a schedule item

▼ Schedule

Add Schedule Item

Type	Status	Due Date	Files	Notes
✓ Concept Statement Milestone	Cleared 9/23/2...	8/16/2022		
✓ Preliminary Plans Milestone	Cleared 9/23/2...	8/16/2022		
✓ Check Plans Milestone	Cleared 10/4/2022	10/4/2022	84-C084-177 Check...evlew.pdf	Cleared with comment.
✓ Final Plans Milestone	Cleared 11/21/2...	11/15/2022		
✓ Project Funding Agreement Clearance	Cleared 11/29/2...	11/22/2022 13 weeks before letting	Blank Funding Agr...#033 Executed F...#033.pdf Signed Fun Ag...#033	
✓ NEPA Clearance	Cleared 10/7/2...	11/22/2022 13 weeks before letting		
✓ SHPO Clearance	Cleared 9/26/2...	11/22/2022 13 weeks before letting		
✓ Contracts Turn In <small>Reviewer Only Milestone</small>	Cleared 12/5/2...	12/6/2022	Turn In Checklist...	

Update Preliminary Plans * Required fields

Status
Submitted

Relative Due Date
2/21/2023 Fixed date

Upload File Supports drag and drop uploads

Send notification email to project contacts

Message*

▼ Messages

Send New Message

Or

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CLEARANCES

- Iowa DOT marks submittals “cleared” when appropriate
- ROW, Utilities, etc. generally marked cleared at PDC submittal
- If the correspondence didn’t happen through TPMS, it didn’t happen at all!

Type	Status	Due Date	Files	Notes
✓ Concept Statement Milestone	Cleared 7/3/2024	6/18/2024	Crash Detail Report.pdf Concept Statement...06-26.pdf 79-C079-071 Conce...roved.pdf Seven Safety Item...06-28.pdf DOE 2024-06-27.pdf	
✓ NEPA Clearance	Cleared 8/2/2024	11/5/2024		
✓ SHPO Clearance	Cleared 7/16/2024	11/5/2024		
✓ Check Plans Milestone	Cleared 11/18/2024	11/5/2024	79-C079-071 Check...eview.pdf Check Plans 2024...ictor.pdf	
Project Development Certification Clearance		12/17/2024		
ROW Acquisition Clearance		12/17/2024		
Utilities Clearance		12/17/2024		
Project Funding Agreement Clearance	Pending 7/8/2024	12/17/2024		
HSIP Funding Agreement Clearance	Pending 11/13/2024	12/17/2024	Poweshiek Co HSIP...ement.pdf	
Final Plans Milestone		12/17/2024		
Contracts Turn In Milestone	Reviewer Only	1/7/2025		

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FUNDING & PLAN DIVISIONS

- Divisions used for various reasons
 - Funding applicability or exclusions (required)
 - Locational tracking
 - Separate routes on one plan set
 - Jurisdictional splits
 - Internal accounting differentiations, often necessary for cities
- Plan divisions must be based on like funding
- Each division should only contain items with identical funding sources
 - Example: Some contract items are eligible for HSIP, but not all
 - Separate divisions needed for HSIP eligible items and non-HSIP eligible items
- If independent tracking of the divisions is desired when funding is same/shared between divisions, make it clear to Project Development staff
 - Communicate funding for each division right away!
 - Ask the Project Development staff to assign separate funding categories on the funding turn-in worksheet (internal only)

*Use fewest # of divisions possible while still separating by funding applicability

*Road & bridge items on separate sheets must be combined into a single tabulation.

** Set up divisions in TPMS to mirror plans!

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TRACKING IN APPIA VS. PLAN/CONTRACT SETUP

Totaled divisions

- Retain their funding package information for tracking in Appia...
 - Automatically if funding differs
 - Only if communicated to Project Development when funding is the same/shared
- Caveat
 - Capped funding sources split between multiple divisions are very hard to accommodate
 - Capped funding shared across divisions will require some manual adjustment of fund limits in Appia as project progresses
 - Best not to separate out tracking for items subject to a shared, capped funding source

Non-totaled divisions

- Will be separate sections on the bidding proposal/contract
- Will be assigned individual funding packages in Appia

Funding	Authorized Quantity	Pending Quantity	Remaining Quantity	Quantity Placed
31-2100-702-CAT-1 31-2100-702-CAT-1 31-2100-702	17,052.900	0.000	17,052.900	0.000
31-2100-702-CAT-2 31-2100-702-CAT-2 31-2100-702	124.600	0.000	124.600	0.000
Totals	17,177.500	0.000	17,177.500	0.000

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FUNDING & PLAN DIVISIONS – EXAMPLE 1

ESTIMATED PROJECT QUANTITIES							
Item No.	Item Code	Item	Unit	Div 1 100% Pow	Div 2 50%-50%	Div 3 100% Victor	Total
0010	2102-2713090	EXCAVATION, CLASS 13, WASTE	CY	879.000	700.500	242.000	1,821.500
0020	2113-0001100	SUBGRADE STABILIZATION MATERIAL, POLYMER GRID	SY	3,955.300	2,835.200	922.300	7,712.800
0030	2121-7425020	GRANULAR SHOULDERS, TYPE B	TON	1,044.840	0.000	0.000	1,044.840
0040	2123-7450000	SHOULDER CONSTRUCTION, EARTH	STA	15.000	0.000	14.370	29.370
0050	2210-0475105	CHOKO STONE BASE	TON	1,661.400	1,190.800	387.300	3,239.500
0060	2213-7100400	RELOCATION OF MAIL BOXES	EACH	1.000	0.000	0.000	1.000
0070	2214-5145150	PAVEMENT SCARIFICATION	SY	39,471.700	0.000	0.000	39,471.700

- Multiple divisions with same funding
- Separated for location tracking/jurisdictional purposes – divisions not needed by DOT
- All divisions totaled
- Appia setup choices for this example
 - Separate tracking for each division
 - Applicable fund package (division) selected when making item posting
 - If LPA communicates desire to track divisions to Project Development
 - Divisions not used
 - All quantities will be combined into one funding package
 - Default if LPA does not specify the desire for divisional tracking

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FUNDING & PLAN DIVISIONS – EXAMPLE 1

ESTIMATED PROJECT QUANTITIES							
Item No.	Item Code	Item	Unit	Div 1 100% Pow	Div 2 50%-50%	Div 3 100% Victor	Total
0010	2102-2713090	EXCAVATION, CLASS 13, WASTE	CY	879.000	700.500	242.000	1,821.500
0020	2113-0001100	SUBGRADE STABILIZATION MATERIAL, POLYMER GRID	SY	3,955.300	2,836.200	922.300	7,713.800
0030	2121-7425020	GRANULAR SHOULDERS, TYPE B	TON	1,044.840	0.000	0.000	1,044.840
0040	2123-7460000	SHOULDER CONSTRUCTION, EARTH	STA	15.000	0.000	14.370	29.370
0050	2210-0475105	CHOKe STONE BASE	TON	1,661.400	1,190.800	387.300	3,239.500
0060	2213-7100400	RELOCATION OF MAIL BOXES	EACH	1.000	0.000	0.000	1.000
0070	2214-5145150	PAVEMENT SCARIFICATION	SY	39,471.700	0.000	0.000	39,471.700

Item Postings						
Funding	Authorized Quantity	Pending Quantity	Remaining Quantity	Quantity Placed	Total Placed	
100 0001 ROADWAY ITEMS - DIVISION 1 79-C079-071-T	1,661.400	0.000	1,079.400	582.000	582.000	
101 0002 ROADWAY ITEMS - DIVISION 2 79-C079-071-T	1,190.800	0.000	427.560	763.240	763.240	
102 0003 ROADWAY ITEMS - DIVISION 3 79-C079-071-T	387.300	0.000	145.410	241.890	241.890	
Totals	3,239.500	0.000	1,652.370	1,587.130	1,587.130	

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FUNDING & PLAN DIVISIONS – EXAMPLE 2

TOTAL ESTIMATED QUANTITIES : 454'-0" x 30'-0" P.P.C.B.									
REF. NO.	CODE NO.	ITEM	UNIT	DIVISION I – BRIDGE			DIVISION II – GRADING		TOTAL
				2 ABUTS	2 PIERS	SUPER	SUBTOTAL	SUBTOTAL	
1	2101-0850001	CLEARING AND GRUBBING	ACRE	--	--	--	--	0.4	0.4
2	2102-2710070	EXCAVATION, CLASS 10, ROADWAY AND BORROW	CY	--	--	--	1,855	1,855	1,855
3	2102-2710090	EXCAVATION, CLASS 10, WASTE	CY	--	--	--	15,983	15,983	15,983
4	2104-2710020	EXCAVATION, CLASS 10, CHANNEL	CY	--	--	--	20,670	--	20,670
5	2105-8425015	TOPSOIL, STRIP, SALVAGE AND SPREAD	CY	--	--	--	2,600	2,600	2,600
6	2115-0100000	MODIFIED SUBBASE	CY	--	--	--	315	315	315
7	2121-7425020	GRANULAR SHOULDERS, TYPE B	TON	--	--	--	245	245	245
8	2123-7460000	SHOULDER FINISHING, EARTH	STA	--	--	--	10.15	10.15	10.15
9	2301-0690010	BRIDGE APPROACH TWO LANE	SY	--	--	--	453.8	453.8	453.8

- Multiple divisions with same funding
 - Road & bridge
 - Both divisions eligible for same funding
 - One funding source has a cap (limit)
- Separated for design purposes – divisions not needed (or desired) by DOT
- Divisions totaled
- Appia setup for this example
 - LPA should not request divisional tracking because doing so would cause a split funding limit
 - Do not want multiple funding packages / divisions to track

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FUNDING & PLAN DIVISIONS – EXAMPLE 3

Fund Source	Fund Package	23-1415-637-CAT-2 23-1415-637	23-1415-637-CAT-3 23-1415-637	23-1415-637-CAT-1 23-1415-637	23-1415-637-CAT-4 23-1415-637	23-1415-637-CAT-5 NON-PARTICIPATING
RA01		\$5,400,000.00 72.545%	\$0.00 0.000%	\$2,000,000.00 25.953%	\$0.00 0.000%	\$0.00 0.000%
V2		\$0.00 0.000%	\$500,000.00 77.491%	\$0.00 0.000%	\$0.00 0.000%	\$0.00 0.000%
SWAPS		\$0.00 0.000%	\$0.00 0.000%	\$5,400,000.00 70.074%	\$0.00 0.000%	\$0.00 0.000%
M1415A		\$2,043,639.81 27.455%	\$145,230.20 22.509%	\$306,140.05 3.973%	\$41,728.86 100.000%	\$0.00 100.000%

ESTIMATED PROJECT QUANTITIES (UP TO A 5 DIVISION PROJECT)		Division 1: STBG-SWAP AND RAISE Division 2: RAISE ONLY ITEMS Division 3: TSIP Division 4: LOCAL FUNDING					
Unit	Estimated	Quantities					
		Division 1	Division 2	Division 3	Division 4	Division 5	Total
ACRE			1.35				1.35
CY			8267				8267
CY			18560				18560
CY			236.4				236.4

- Multiple divisions with differing funding sources
- Separated for funding applicability – required by DOT
- Divisions either totaled or not totaled
- Appia setup
 - Each division shown as a separate fund package in Appia
 - Divisional tracking possible and required

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PLAN DIVISIONS – TOTALING VS. NOT TOTALING

*This guidance available in I.M. 3.700 (Check & Final Plan Guidelines), Attachment A

*If multiple divisions, 2 options:

- Total Column
 - TPMS Supplemental Descriptions should be same across divisions
 - Quantities for all divisions combined into 1 section on contract.
 - LS items total 1.0 (equal or by ratio)
- NO Total Column
 - Each division remains separate on contract
 - Each LS item = 1.0

- Total when desired to combine items into same section on bidding proposal/contract
- Do not total if desired to have separate sections on bidding proposal/contract
- If separate sections are desired (not totaled), add supplemental descriptions to bid items in TPMS
 - When bid items transfer to the Contracts Bureau, quantities across divisions are summed into one quantity in the bidding proposal/contract unless a supplemental description is added to each occurrence of the duplicated item.
 - Masterworks doesn't know whether there is a total column or not in the plans or whether a bid item is unique without a supplemental description.
- Make the project development staff aware of all of your funding sources at or before Check Plan stage. Failure to do so may result in re-doing plans!!!

All will be ok if you tell the Project Development staff these two things:
 1. Each of your funding sources and what items they apply to
 2. How you want the divisions to be set up on the contract

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ENGINEER'S ESTIMATE

- Keep Engineer's Estimate in TPMS Project Development updated
- Warning displayed if different from funding by > 15%
- Engineer's Estimate
 - Replaced old Bid Items Application
 - Bid items chosen directly populate contract
 - Avoid entering quantities to 3rd decimal place – causes issues with rounding of extended prices
 - Use divisions specific to funding sources
 - Entries should match plans exactly

...SEE MORE							
22	2527-9263109 PAINTED PAVEMENT MARKING, WATERBORNE OR SOLVENT-BASED Refer to Tab: 108-22 on Sheet __ and Sheet J __	STD	STA	715.2	\$17,800	\$12,730.56	
23	2528-8445110 TRAFFIC CONTROL Refer to Traffic Control Plan on Sheet __ Refer to Traffic Control Plan on sheet C.2	STD	LS	1	\$7,920,000	\$7,920.00	
24	2528-8445113 FLAGGERS	STD	EACH	100	\$566,500	\$56,650.00	
25	2528-8445115 PILOT CARS	STD	EACH	50	\$847,000	\$42,350.00	
26	2533-4980005 MOBILIZATION	STD	LS	1	\$45,782,000	\$45,782.00	
						Total	\$2,033,404.11
						Total Engineer's Estimate: \$2,033,404.11	
▼ Funding							
Source		Amount					
FM		\$1,000,000					
STBG (FA)		\$1,000,000					
Total		\$2,000,000					

“Warning” shown if different from Funding by > 15%.

FUNDING SECTION

FLAGGERS							
16	2528-8445115 PILOT CARS	STD	EACH	27	\$835,000	\$22,545.00	
17	2533-4980005 MOBILIZATION	STD	LS	1	\$20,000,000	\$20,000.00	
18	2595-0005150 RAILROAD PROTECTIVE LIABILITY INSURANCE FOR UNION PACIFIC RAILROAD CO.	DS	LS	1	\$750,000	\$750.00	
						Total	\$1,892,401.03
						Total Engineer's Estimate: \$1,892,401.03	
▼ Funding							
Source		Amount					
FM		\$1,700,000					
STBG (FA)		\$500,000					
Total		\$2,200,000					

- Keep Funding up to date!
- Why it this important?
 - Counties - Development feeds FM Estimate
 - Alerts you to STIP issues
 - Alerts Administering Team to all funding sources
 - Appropriate agreements
 - Plan division setup
 - Proper funding communicated to Contracts Bureau

Show all sources with correct amounts!

“Warning” shown estimate differs from Funding by > 15%.

FUNDING SECTION

- Funding total should match Engineer’s Estimate total (relatively closely)
- Funding sources and amounts should match STIP programming
- “Update from Programming” button will NOT update funding
 - LPA must manually update funding sources/amounts
 - Administering Team must update Federal-aid amounts
- Get a STIP amendment if Federal-aid share needs to be increased

Keep funding up to date!

Source	Amount
Day Labor	\$4,000
FM	\$1,420,000
STBG (FA)	\$1,080,000
Total	\$2,504,000

“Warning” shown if different from STIP by > 15%.

FM ESTIMATE (COUNTIES ONLY)

- Forecasts FM balance
 - Dictates eligibility for letting projects
 - Checked by Project Development staff
- Pulls costs for upcoming projects from “Funding” section in Project Development
- Quarterly Statement, Cash Balance, Obligations, & Reimbursements entered by Local Systems
 - Contact Niki Stinn if suspected error
- Do NOT use “Add Adjustment” without prior approval
- Required for all projects paid through FM account

Welcome Admin Poweshiek 3/18/2025

Poweshiek County FM Estimate

3/18/2025 Letting

Estimated Balance	\$1,006,329
Estimated Years	0.89

Borrow ahead limit is 3 years.

Prior Quarterly Statement

Statement Date	9/30/2024
Cash Balance	\$3,376,099
Outstanding Obligations	\$582,388
Outstanding Reimbursements	\$496,800
Yearly Allocation Forecast	\$1,131,632
Estimated Balance	\$3,290,511
Estimated Years	2.91

Statement estimated balance is calculated as the cash balance, less the outstanding obligations, plus the outstanding reimbursements. Estimated years is the estimated balance divided by the yearly allocation forecast.

Account Activity

Date	Description	Project Costs	FM Match	FM Only	Change	Estimated Balance	Estimated Years
9/30/2024	Statement					\$3,290,511	2.91
10/1/2024	Allocation				\$94,303	\$3,384,814	2.99
11/1/2024	Allocation				\$94,303	\$3,479,117	3.07
12/1/2024	Allocation				\$94,303	\$3,573,420	3.16
1/1/2025	Allocation				\$94,303	\$3,667,723	3.24
2/1/2025	Allocation				\$94,303	\$3,762,026	3.32
3/1/2025	Allocation				\$94,303	\$3,856,329	3.41
3/18/2025	45899 STP-S-C079(71)-5E-79	\$2,025,000	\$420,000		-\$420,000	\$3,436,329	3.04
3/18/2025	53394 FM-C079(72)-55-79	\$2,430,000		\$2,430,000	-\$2,430,000	\$1,006,329	0.89

9/30/2024 Outstanding Obligations

ID	Project Number	Contract Amount	Outstanding
13588	BROS-SWAP-C079(53)-FE-79	\$497,173	\$16,562
29496	BRS-C079(66)-60-79	\$496,800	\$496,800
34932	STBG-SWAP-C079(61)-FG-79	\$1,447,735	\$57,953
37808	BHS-SWAP-C079(62)-FC-79	\$608,996	\$0
39040	BRS-SWAP-C079(64)-FF-79	\$1,850,686	\$11,073
45101	FM-C079(65)-55-79	\$3,309,115	\$0
Total			\$582,388

New detailed pop-outs for obligations & reimbursements!

Add Adjustment

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PROJECT TRACKING IN TPMS

Automated Monitoring

TPMS alerts users if:

- Letting date is inconsistent with CFYP/STIP programming
- Funding differs from STIP
- Engineer's estimate differs from funding
- Bridge is not on QBL
- Too many bridges or too many HBP \$ are programmed (in CFYP only)

Electronic File Management

- Built-in messaging tool shall be used to make project submittals, check on status, mark clearances, and track correspondence
- Electronic files can be uploaded, downloaded, and stored for future reference (Concept Statement, project plans, agreements, permits, etc.)
- Must upload document to applicable submittal line

Managing Letting Dates

- Check TPMS Development for realistic letting dates!!!
- TPMS will automatically push letting back if milestone deadline is missed
- Do NOT simply allow the system to push the project
- Local Systems will move non-progressing projects

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TRANSFER OF INFORMATION TO CONTRACTS

Real-time data synchronization with Iowa DOT's Masterworks System provides data to Contracts Bureau

- Project number
- Work codes (contract type)
- Engineer's Estimate
 - Bid Items
 - Quantities
 - Plan division information
 - Supplemental descriptions
- Location description
- Funding source information
- Specifications
- Design contacts for bidding questions

Contracts & Specifications Bureau

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CONTRACT TIME AND FREE WINTER WORK

- Specify requested time requirements and contract limitations by the Turn-in date
- Check “Contract Time and Free Winter Work Report”
 - Distributed by Contracts Bureau ≈ 1 ½ months prior to letting
 - Contact Contracts Bureau if previously specified limitations are incorrect
- Changes are possible! - Work with Estimator in Contracts.
- Time constraints should be accurate and as-intended prior to bidding in order to avoid post-letting adjustments.
- Incorrect time setup shall not be used as an excuse to “forgive” days later.

Contracts and Specifications Bureau		Summary of Contract Time		10/31/2023 4:36 PM
Letting: December 19, 2023				
Proposal ID: 04-C004-121				
Project	County	Project Work Type	Contract Winter Work Notes (if applicable)	
BROS-C004(121)-BJ-04	APPANOOSE	BRIDGE REPLACEMENT - CCS	500 07 2023 -- FREE WINTER WORK WILL BE ALLOWED DURING WINTER OF 2023/2024	
BROS-C004(122)-5F-04	APPANOOSE	BRIDGE REPLACEMENT - CCS		
Site Information				
Site 00 -- Contract Start Date/Total Working Days or Completion Date				
Late Start Date: April 1, 2024			Working Days: 150	

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PROJECT TRACKING IN TPMS

For project development support, contact the Administering Team.

For TPMS support or to request access to TPMS contact:

Brian Moore, Executive Director
 ICEA Service Bureau
 515-244-0779
 Brian.Moore@iceasb.org
www.tpms.org

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QUESTIONS?

Reference Documents:

- As listed on previous slides

Iowa DOT Contact Person:

- See Iowa DOT Contact List for appropriate Administering Team staff



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OTHER PERMITS

Eryn Stone, P.E.

Urban Engineer

Local Systems Bureau

Iowa Department of Transportation

1

1

PRESENTATION OVERVIEW

Iowa DOT Hydraulic & Structural Reviews

404 Permit

Iowa DNR Floodplain Permit

NPDES Storm Water Permit

Work on Iowa DOT Right-of-Way



2

IOWA DOT HYDRAULIC REVIEWS

When is a hydraulic review required?

1. For all projects on the NHS
2. For Federal-aid bridge or culvert projects with any of the following criteria:
 - The proposed structure is in an area where the 100-year (1% annual chance) flood water surface elevations have been determined by a detailed Flood Insurance Study (FIS)
 - The proposed structure has a smaller opening size than the existing structure
 - The proposed structure is a culvert that is replacing an existing bridge

If a Hydraulic Review is not required, an LPA may request a review by the Iowa DOT Bridges and Structures Bureau

For more information, see [I.M. 3.500](#)

3

When is a Structural Review required?

- For all projects on the NHS
- For Federal-aid bridges that use a non-standard design

If a Structural Review is not required, an LPA may request a review by the Iowa DOT, Bridges and Structures Bureau

Structural Reviews only for **non-standard** bridge designs

For more information, see [I.M. 3.500](#).

IOWA DOT STRUCTURAL REVIEWS

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404 PERMITS

Why is a permit required?

- Impacts to water resources are governed by Section 404 of the Clean Water Act and its associated regulations, as administered by:
 - U.S. Army Corps of Engineers (Corps)
 - Environmental Protection Agency (EPA)
 - Iowa Department of Natural Resources (Iowa DNR)

When is a permit required?

- If any fill or dredged material will be placed in Waters of the United States (WUS)
- WUS include all waters, impoundments of waters, or tributaries of waters, such as lakes, rivers, streams (including intermittent streams), mudflats, sandflats, wetlands, sloughs, prairie potholes, wet meadows, or natural ponds

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404 PERMIT RESOURCES

- US Army Corps of Engineers – Index of 2021 Nationwide Permits, Conditions, District Engineer’s Decision, Further Information and Definitions
 - <https://usace.contentdm.oclc.org/utis/getfile/collection/p16021coll7/id/20099>
- Iowa DOT Nationwide Permit Guidance:
 - Found under Pre-Letting Resources on the Local Systems Bureau website
 - https://iowadot.gov/local_systems/pdfs/Nationwide-Permit-Guidance.pdf

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404 PERMITS

What type of permit is required?

- Nationwide Permits (NWP)
 - Activities can be approved subject to certain conditions and limitations
 - Impacts to WUS < 0.5 acres
- Regional Permits
 - Used for activities that exceed the NWP, but don't require an Individual Permit
 - 0.5 acres < usually impacts to WUS < 1.0 acres
- Individual Permits
 - Activities that cannot be approved under either an NWP or Regional Permit
 - Usually impacts to WUS > 1.0 acres

For more information, see [I.M. 4.130](#), 404 Permit Process

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IOWA DNR FLOODPLAIN PERMITS

Why is a permit required?

- 567 Iowa Administrative Code (IAC), Chapters 70-72 requires the Iowa DNR to regulate certain activities in the floodplain

When is a permit required? I.M. 4.150

- Bridges, culverts, or roads that cross a stream
 - Rural – 100 sq. miles drainage
 - Urban – 2 sq. miles drainage
- Channel changes
- Bank stabilization activities
- Levees, dams, ponds, excavation, or stockpiling in the floodplain

For more information, see I.M. 4.150, Iowa DNR Floodplain Permits and Regulations

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IOWA DNR NPDES STORM WATER PERMITS

Why is a permit required?

- The Clean Water Act requires the EPA and Iowa DNR to administer the National Pollutant Discharge Elimination System (NPDES)
- NPDES restricts the discharge of sediment or other pollutants resulting from construction activities

When is a permit required?

- Construction projects that disturb ≥ 1.0 acre
- Ground is disturbed if exposed to the erosive forces of wind or water
- Maintenance activities and resurfacing, restoration, or rehabilitation (3R) projects may be exempted

For more information, see I.M. 4.140, Storm Water Permits

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WORK ON IOWA DOT RIGHT-OF-WAY



When is a permit required?

For any activities that require access to the right-of-way of Primary or Interstate Highways



What type of permit is required?

Work within State Highway Right of Way
Revision of Access and Establishment of a Special Access
Utility Accommodation



For more information:

Contact the Engineering Operations Technician (EOT) in the appropriate District Office



https://iowadot.gov/pdf_files/need_answers.pdf

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QUESTIONS?



Reference Documents:
As listed on previous slides

Iowa DOT Contact Person:
See Iowa DOT Contact List for appropriate
Administering Bureau staff

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DESIGN AND PLAN REVIEWS

IOWA DOT LETTINGS

Jenifer Bates, P.E.
Project Development Engineer
Local Systems Bureau
Iowa Department of Transportation

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PRESENTATION OVERVIEW

- Major Project Milestones
- Concept Statement
- Design Guidelines
- Design Exception Process
- Preliminary Plans
- Check and Final Plans
- PDCs, PIFS, and all the other things
- Project Development Takeaways



2

MAJOR PROJECT MILESTONES



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PROJECT DEVELOPMENT I.M. 3.010

- **MINIMUM** timeframe of 1 year – that is for a project that is not complicated
- Consider potential complications:
 - NEPA
 - Other Permits
 - Railroad
 - Utilities
 - ROW timelines
- Dates in I.M. control if different than TPMS
- Must submit all required info by the critical path date to keep your letting

Project Development Critical Path Dates
Federal-aid and Non-Federal-aid Major and Minor Type Projects

Federal-aid/Primary Projects			All Projects			Year
Concept Statement		Preliminary Plans	Check Plans	Final Plans, PDC, All other Req'd Docs	Letting Date	
Major (1 year)	Minor (9 months)					
01/16/24	04/16/24	07/16/24	09/03/24	10/15/24	01/22/25	2025
02/20/24	05/21/24	08/20/24	10/01/24	11/19/24	02/18/25	
03/19/24	06/18/24	09/17/24	11/05/24	12/17/24	03/18/25	
04/16/24	07/16/24	10/15/24	12/03/24	01/21/25	04/15/25	
05/21/24	08/20/24	11/19/24	01/07/25	02/18/25	05/20/25	
06/18/24	09/17/24	12/17/24	02/04/25	03/18/25	06/17/25	
07/16/24	10/15/24	01/21/25	03/04/25	04/15/25	07/15/25	
08/20/24	11/19/24	02/18/25	04/01/25	05/20/25	08/19/25	
09/17/24	12/17/24	03/18/25	05/06/25	06/17/25	09/16/25	
10/15/24	01/21/25	04/15/25	06/03/25	07/15/25	10/21/25	
11/19/24	02/18/25	05/20/25	07/01/25	08/19/25	11/18/25	
12/17/24	03/18/25	06/17/25	08/05/25	09/16/25	12/16/25	
01/21/25	04/15/25	07/15/25	09/02/25	10/21/25	01/21/26	
02/18/25	05/20/25	08/19/25	10/07/25	*11/11/2025	02/17/26	
03/18/25	06/17/25	09/16/25	11/04/25	**12/9/2025	03/17/26	
04/15/25	07/15/25	10/21/25	12/02/25	01/20/26	04/21/26	
05/20/25	08/19/25	11/18/25	01/06/26	02/17/26	05/19/26	
06/17/25	09/16/25	12/16/25	02/03/26	03/17/26	06/16/26	
07/15/25	10/21/25	01/20/26	03/03/26	04/21/26	07/21/26	
08/19/25	11/18/25	02/17/26	04/07/26	05/19/26	08/18/26	
09/16/25	12/16/25	03/17/26	05/05/26	06/16/26	09/15/26	
10/21/25	01/20/26	04/21/26	06/02/26	07/21/26	10/20/26	
11/18/25	02/17/26	05/19/26	07/07/26	08/18/26	11/17/26	
12/16/25	03/17/26	06/16/26	08/04/26	09/15/26	12/15/26	

*Date revised to account for holidays

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CONCEPT STATEMENT

- Purpose: outline project scope and provide information needed to complete project review
- Every project is unique and there is no one form that can fit every situation so provide as much detail as you can to help us help you
- We are using this form to make sure you are using the correct design standards and that the correct Bureaus are reviewing/approving information throughout the project development process



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CONCEPT STATEMENT

- Always use the most recent version of the concept statement form (517001)
- What constitutes a Revised concept
- Which STIP Year? – Federal Fiscal year project will be authorized
- What if I don't know my borrow site yet
 - Use "not yet determined" as a last resort because Location and Environment will need the location of the borrow site in order to clear the project
- Water Trails and Paddling Routes are considered recreational areas under 23 CFR 774
- Please submit a map with anticipated ROW needs and project limits – Cannot clear without this
- Also cannot clear the Concept Statement without the DOE (Form 760005)

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CONCEPT STATEMENT

▪ Cultural Resources

- A Cultural Resources Evaluation (CRE) will be required if the project involves any ground disturbance. If no ground disturbance, a Cultural Resources Assessment (CRA) should be considered. (These can be submitted with or after the concept statement.)
- The University of Iowa can provide a CRE to determine whether a Phase I Survey is required. The service is free. Blane Nansel is the contact to request an evaluation.

University of Iowa Cultural Resources Evaluation

Blane H. Nansel, RPA

email: Blane-Nansel@uiowa.edu

Cultural Resources Specialist

phone: (319) 384-0729

Office of the State Archaeologist

700 Clinton Street Building

The University of Iowa

Iowa City, IA 52242-1030

<http://archaeology.uiowa.edu>

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CONCEPT STATEMENT DESIGN GUIDELINES

RURAL

- Design Aids Tables (Aids) – I.M. 3.210
- AASHTO Guidelines Tables (Guides)- I.M. 3.210
- Design Aids are preferred; AASHTO tables may be used if explanation is provided why Aids can't be used

URBAN

- Statewide Urban Design and Specifications (SUDAS) Chapter 5 Roadway Design - I.M. 3.215
- Use "Preferred" tables; "Acceptable" tables may be used if explanation is provided why "Preferred" can't be met

RESURFACING, RESTORATION, or REHABILITATION (3R)

- 3R Tables I.M. 3.220
- Rural Table - based on project impact and design volume ADT
- Urban Table - based on roadway classification and number of lanes
- 7 Safety Considerations must be addressed for all 3R projects (including urban projects)

Design exception (I.M. 3.260) is required if AASHTO/Acceptable/3R Criteria cannot be met

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DESIGN GUIDELINES

I.M. 3.230 TRAFFIC BARRIERS (GUARDRAIL & BRIDGE RAIL)

- Provides guidelines to determine the need for guardrail at roadway bridges and culverts and upgrading bridge barrier rails
- For Federal-aid projects, the FHWA will participate in guardrail, including all 4 corners of a bridge, if desired by the LPA
- Guardrail shall be upgraded when bridge barrier rail is upgraded

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DESIGN GUIDELINES ALL HIGHWAY PROJECTS

I.M. 3.240 Clear Zone Guidelines provides values for rural roadways based on design speed, traffic volume and foreslopes

Clear Zone Tables in SUDAS Chapter 5, Section 5C-1 provide preferred/acceptable values for urban roadways based on design speed, traffic volume, and foreslopes

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DESIGN GUIDELINES BICYCLE AND PEDESTRIAN FACILITIES

- Chapter 12 SUDAS/Design Manual
 - Both contain the same guidance
 - Guidance is based on the AASHTO Guide for the Design of Bicycle Facilities
 - Design exception required if the AASHTO design values can't be met
- Plans should include signing and pavement markings per MUTCD Part 9 "Traffic Control for Bicycle Facilities"
- Be aware of ADA requirements affecting shared use facilities
- As per I.M. 3.700, Sheets that detail the curb ramp designs shall be provided according to the Iowa DOT Road Design Manual, Section 1F-18
- Accessibility Exceptions Certification
 - Certification Form 517118 must be prepared and submitted
 - Include supporting documentation as appropriate

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DESIGN PROCESS EXCEPTION – I.M. 3.260

- Request as soon as the need is discovered
- Not all exceptions require the full process – Read the I.M.
- The full process includes:
 - Analyzing crash data
 - Calculating benefit / cost (B/C) ratio (I.M. 3.250)
- Additional Resource - Section 5.4 of the Federal-aid Project Development Guide

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INTERACTIVE CONCEPT STATEMENT – FUTURE IMPROVEMENT

- Coming in late 2025:
- Enhancement to TPMS Project Development
- Concept Statement that will be Interactive that ICEASB is working on
- Smart Concept

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PRELIMINARY PLANS

Purpose

- Present preliminary proposed design information
- Provide additional information for environmental review
- Indicate anticipated project impact limits and right-of-way needs
- Provide preliminary bridge/culvert information
- Provide needed information for Hydraulic Reviews
- Provide needed information for Roundabout Reviews

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PRELIMINARY PLANS – I.M. 3.400

- Projects that include improvements to the Primary Highway System and that will be maintained by the Iowa DOT
- Federal-aid projects administered through the Local Systems Bureau Grant Team
- For all other projects administered through the Local Systems Bureau: Federal-Aid, Federal-Aid Swap, State-aid, and Farm-to-Market projects that include any of the following:
 - 1) Projects needing a hydraulic review, according to I.M. 3.500, Bridge or Culvert Plans
 - 2) Projects involving the construction of roundabouts
 - 3) Projects involving Railroad Crossings within or immediately adjacent to the project limits
 - 4) Projects where extending the limits of participation meet special considerations as shown in I.M. 1.100, Attachment C "Touchdown Points and Limits of Participation"
- If not required, may still be submitted and reviewed upon request

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PRELIMINARY PLANS

Preparation – All Projects

- Use I.M. 3.400 Attachment B (Preliminary Plan Checklist)
 - Iowa DOT plan format is recommended
 - Iowa DOT standard road, bridge, and culvert plans may be referenced; modified standards must be included in the plan set
 - Use of Iowa DOT design details (typical sections, tabulations, etc.) is strongly recommended

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PRELIMINARY PLANS

I.M. 3.400 Attachment B (checklist) - helps address key items, including:

- Project Limits: STIP description and location, NEPA clearance, etc.
- Typical Sections: Design elements, clear zone, etc.
- Project Divisions and Total/No Total column
- Right of Way: Existing/proposed, TCE
- Horizontal alignment & Vertical profile data
- Sidewalk/trail access and proposed ADA improvements
- Utilities
- Railroads



Checklist is required for Grant Team projects -
Highly encouraged for others

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PRELIMINARY PLANS

*Checklist is required for Grant
Team projects -
Highly encouraged for others*

Preparation – Structural Projects



Also use I.M. 3.500 Bridge or Culvert Plans

- Design Guidelines & Checklist
 - Design year flood
 - Clearances for bridges and roadways above flood elevations
- Is a Hydraulic Review needed
 - Yes if project involves a reduced structure opening, the existing bridge is being replaced with culvert, or located in Flood Insurance Study area
 - If yes, submit Hydraulic calculations and Form 517002 – Hydraulic Design for Bridges as per I.M. 3.500

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TIPS FOR SUBMITTALS IN TPMS

- Upload submittals to the associated schedule item
- (If it's not there, just ask us)
- Change the status to SUBMITTED
- Upload files
- Send Transmittal message in TPMS

Add Schedule Item

Type	Status	Due Date	Files	Notes
Concept Statement Milestone	Submitted 12/20/2023	1/16/2024	517001 - Concept ...nt(1).pdf Form 760005 - DOE(1).pdf Aerial Photo of P...rk(1).pdf	The link to the project map in TPMS is https://www.tpms.org/#development...
Preliminary Plans Milestone		1/16/2024		
NEPA Clearance		3/5/2024		
SHPO Clearance		3/5/2024		
Check Plans Milestone		3/5/2024		

Update Concept Statement

* Required fields

Status: Submitted | Status Date: 12/20/2023

Due Date: 1/16/2024 | Relative Due Date: Fixed date

Upload File

Name	By	Uploaded
Form 760005 - DOE(1).pdf	DJ Hendrix	12/20/2023
517001 - Concept Statement(1).pdf	DJ Hendrix	12/20/2023
Aerial Photo of Proposed Work(1).pdf	DJ Hendrix	12/20/2023

Send notification email to project contacts

Message *

Notes

The link to the project map in TPMS is <https://www.tpms.org/#development/projects/34879>

Remove | Submit | Cancel

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TIPS FOR SUBMITTALS IN TPMS

Messages

Send New Message

Concept Statement

December 20, 2023 • "DJ Hendrix" <dhendr@poweshiecounty.org> (Poweshiek County) • 0 Replies • Reply

To: dhendr@poweshiecounty.org, lbrehm@poweshiecounty.org, lbrehm@poweshiecounty.org, joseph.albright@iowadot.us, Jennifer.Bates@iowadot.us, Arielle.muench@iowadot.us, lbrehm@poweshiecounty.org

Attachments: 517001 - Concept Statement(1).pdf, Form 760005 - DOE(1).pdf, Aerial Photo of Proposed Work(1).pdf

Included are the concept statement, Form 760005, and Aerial Photo of Proposed Work. Was unable to attached full Determination of Effect report through the TPMS tool.

Add Attachments

Upload Attachment

Name	Schedule	By	Uploaded
<input type="checkbox"/> 517001 - Concept Statemen...	Concept Statement	DJ Hendrix	12/20/2023
<input type="checkbox"/> Form 760005 - DOE(1).pdf	Concept Statement	DJ Hendrix	12/20/2023
<input type="checkbox"/> Aerial Photo of Proposed W...	Concept Statement	DJ Hendrix	12/20/2023

Send Message

* Required fields

To: Arielle Muench, Jenifer Bates, Joe Albright, Lyle Brehm

Subject: BROS-C079(68)--5F-79

Add Attachments

Message

Send | Cancel

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PRELIMINARY PLANS

Review – Iowa DOT

- Local Systems Administering Team
 - Compare with STIP and Concept Statement
- Bridges and Structures – hydraulic review
- Roundabout reviews
- Railroad reviews
- Location and Environment – further environmental review
- Traffic and Safety, Design, District design/permit staff – primary system impacts

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CHECK PLANS

Purpose

- Obtain an acceptable set of Final plans for letting through the Iowa DOT
- To compare bid items with those entered into TPMS

Guidelines

- Both check and final plans are required for all projects let through the DOT
- DOT specifications & bid items must be used
- Do not reference SUDAS specifications

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CHECK PLANS

- Should be **100% COMPLETE** and address all comments from any previous reviews
- Are they **BIDDABLE** and **CONSTRUCTABLE**?
(Note: we are not your QA/QC check!)
- LPA shall not complete final design without NEPA clearance and therefore, DOT cannot review without NEPA clearances!! *(Note: SHPO, T&E, and NEPA all have to be cleared)*



▪ **BETTER PLANS = BETTER BIDS**

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CHECK PLANS

Preparation – All Projects

- Address comments from Preliminary Review, Hydraulic Review and Roundabout Review if they were required
- Use I.M. 3.700 Check and Final Plans & Attachments (REQUIRED to submit)
- ADA Curb Ramps – DOT plan sheets, including Tab 113-10 or 10A, SHALL be used as per I.M. 3.700, Att B
- Make sure you have divisions appropriately set up to reflect funding
- Make sure addressing Pedestrian Facilities during Construction in your Traffic Control information
- Topsoil requirements, Erosion Control, Salvaged Materials, and bid items requiring method of measurement and basis of payment are common issues



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CHECK PLANS

Preparation – Structural Projects

- Also Use I.M. 3.500 Bridge or Culvert Plans and Attachment A
 - Standard Design – DOT Bridge/Culvert Standards
 - Non-Standard Design – modified standards or custom details
 - Bridge fund participation limits, shop drawings, etc.
 - Centerline section, situation plan, sounding data, etc.
 - Existing Structure: materials, disposal, etc.

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CHECK PLANS

Special Provisions (SP) – as needed

- Used to modify existing or create new specifications (like to incorporate SUDAS specs)
- SP number is assigned after project turn-in
- Must address five areas of interest
 - Description of work
 - Material requirements
 - Construction methods/procedures
 - Method of measurement
 - Basis of Payment
- Submit in Word format, not PDF
- For more information:

<https://www.iowadot.gov/specifications/requirements/RequirementsforSubmittingSpecialProvisions.pdf>

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CHECK PLANS

Structural Reviews

Structure projects – as per I.M. 3,500 Bridge or Culvert Plans

- Structural review is required if:
 - Structure is on National Highway System (NHS) – structural calculations for in-depth review
 - Non-standard design is used – plans only for cursory review

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CHECK PLANS

Submittals

- Verify NEPA has been cleared BEFORE uploading Check Plans
- Upload submittals to the Check Plan schedule item in TPMS
- Change the status to SUBMITTED
- Upload all files, including any draft Special Provisions (SP) and Public Interest Findings (PIF)
- Add applicable Developmental Specification (DS) to the project in TPMS
- Update your funding in TPMS and check that project is programmed correctly (STIP year, project limits, funding types/amounts)
 - Note: Federal-aid sources/amounts can only be updated by the Administering Team
- Send Transmittal message in TPMS

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CHECK PLANS – BABA \$500,000 WAIVER

- New I.M. 3.740 “Build America Buy America (BABA) waiver for Federal Financial Assistance less than \$500,000
- If the Federal-aid is less than \$500,000, and the LPA wants to waive BABA requirement, then let us know at Check Plan Stage. We will communicate with Contracts & Specifications, and add a Proposal Note:
- “Article 1107.06, B of the Standard Specifications does not apply to this contract, as the total Federal financial assistance for this project is less than \$500,000.”
- Caveats:
 - When determining BABA applicability, the Federal Highway Administration (FHWA) defines a “project” to be the scope of work within a NEPA document.
 - Two separate \$250,000 Transportation Alternatives Program (TAP) Set-Aside awards from a Regional Planning Affiliation (RPA) in two consecutive fiscal years for the same project scope.
 - A \$150,000 TAP Set-Aside award from an RPA and a \$350,000 Federal Recreational Trails Program (FRT) award for the same project.

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BID ITEMS/ESTIMATE IN TPMS



- Make sure all bid items are entered in TPMS prior to submitting Check Plans
- Use the Tool in TPMS Development to enter all the bid items, quantities & estimated unit prices (this is the Engineer’s Estimate used by Contracts)
- Check Engineer’s Estimate vs. STIP/Programming
 - For HBP projects and any other program that doesn’t have a STIP limit, if the estimated Federal share in the cost estimate exceeds the amount of Federal-aid programmed in the STIP by more than 15%, the project will not be submitted for letting unless a STIP amendment or modification can be completed before the 1st Tuesday, 1 month prior to letting

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FINAL PLAN SUBMITTAL

SUBMITTAL ITEMS:

- Final Plan set (fully signed)
- Highlighted plan set marked up to show changes made since the Check Plans were approved or email with list of changes if minimal
- Notify us if any Bid Items changed in TPMS
- Project Development Certification form (signed)
- USACE permit (bridge/culvert projects)
- Cover letter - contract time, tied projects
- Special Provisions (if applicable)
- Public Interest Finding (if applicable, see I.M. 3.720)

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FINAL PLAN SUBMITTAL

Should be 100% complete and address all comments from check plan review

What do we check for

- Check plan comments addressed
- Plan quantities = Bid Items in TPMS
- STIP and CFYP programming
- HSIP and HBP cost estimates
- FM worksheet
- Public Interest Finding



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FINAL PLAN SUBMITTAL - PDC

Project Development Certificate (PDC) - required

- Confirms letting process may begin for project
- LPA certifies railroad, utility, work on primary roadway, right of way, environmental and cultural resources, and Title VI assurances are all clear
- Right of Way Bureau review may be needed
- Fully executed PDC must be on file with Contracts before advertising for bids
- For more information, see I.M. 3.710, Project Development Certification Instructions

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FINAL PLAN SUBMITTAL - PIF

Public Interest Finding (PIF) – as needed

- Grants an exception for an established policy or rule
- May only be used for certain conditions
 - Condition may be temporary (e.g., required project clearance is missing) or permanent (e.g., proprietary items are specified)
 - Temporary conditions must be resolved before project will be advertised for letting
- For more information, see I.M. 3.720 Public Interest Findings

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FINAL PLAN SUBMITTAL – OTHER THINGS

- US Army Corps of Engineers (USACE) Permit
- Iowa DNR Floodplain Permit– as needed
- If USACE 404/401 and/or Iowa DNR permit is required, a copy must be on file with Iowa DOT for use by bidders
- Submit with check plans, if possible, but final plans at the latest if its needed; otherwise, PIF is required
- National Pollution Discharge Elimination System (NPDES) Permit – as needed
- If individual NPDES permit is required, a copy must be on file with DOT for use by bidders
- Need is determined by Iowa DNR
 - e.g., Outstanding Iowa Waters locations

35

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FINAL PLAN SUBMITTAL – OTHER THINGS

Railroad Requirements

- Railroad agreements are required when work is performed within a railroad's right-of-way
- Depending on the Railroad, either a Developmental Specification or a Special Provision will be needed – the Railroad Information Sheets summarize current requirements for each Railroad
- Railroad insurance bid items may or may not apply. Reminder: Railroad Flaggers are not a bid item
- For more information, see I.M. 3.670 Work on Railroad Right-of-Way & I.M. 3.680, Federal-aid Projects Involving Railroads



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PROJECT TURN-IN

- If all final plan submittal items are deemed acceptable, these materials are submitted to Contracts & Specifications Bureau for the requested Iowa DOT letting
- Reminder – no additional funding can be added after projects are turned in for letting
- BidX questions - when you receive these questions, please respond and answer the questions in a timely manner and hit reply-all to the email



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Communication is important – call, email, talk to your Administering Team



Use TPMS Messages for communication and submittals



We are not approving your plans or designs. We are reviewing for constructability and biddability only



Instructional Memorandums to Local Public Agencies (I.M.s)



Read/understand/use the I.M. Checklists in preparing your submittals



Use I.M. 3.010 for submittal dates – call/email if you cannot make a deadline

PROJECT DEVELOPMENT TAKEAWAYS

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QUESTIONS?



Jenifer Bates, P.E.

Local Systems Project
Development Engineer

Jenifer.Bates@iowadot.us

(515) 766-9402

Joe Albright

Local Systems Project
Development Technician

Joseph.Albright@iowadot.us

(515) 357-0205

Arielle Muench

Local Systems Project
Development Technician

Arielle.Muench@iowadot.us

(319) 440-5524

For Grant Team Projects, reach out to
the Program Project Manager

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RIGHT-OF-WAY

Rick W. Skinner

Right of Way Bureau

Iowa Department of Transportation

1

1

PRESENTATION OVERVIEW

When do State/Federal Regulations
Apply?

Before the ROW Process Begins

The Valuation Process

Basic Acquisition Policies

The Relocation Process

Parcel Closing

Property Management

Project Development Certification,
Sections 4 & 5



2

WHEN DO STATE/FEDERAL REGULATIONS APPLY?

- When there are Federal funds in any portion of the project, even if there are no funds in ROW, the Uniform Relocation Assistance and Real Property Acquisition Act of 1970, as amended (Uniform Act) apply. Effective June 3, 2024, there are significant amendments.
- 761 Iowa Administrative Code Chapter 111 adopts the Uniform Act as Iowa Code when State of Iowa funds are in any portion of the project.
- If your project is locally funded, the following Takings Clause of the Fifth Amendment still applies: **“Nor shall private property be taken for public use, without just compensation.”**

3

EFFECTIVE JUNE 3, 2024- AMENDMENTS TO 49 CFR PART 24 THE UNIFORM RELOCATION ASSISTANCE AND REAL PROPERTY ACQUISITION ACT (UNIFORM ACT)

- Key Highlights:
- Updated Definitions - “comparable replacement dwelling”, “DSS dwelling”, “displaced person”
- Notices and Electronic Signatures – ability to use services other than the US Postal Service, must document, FHWA approval (email)
- Adjustment of Limits and Payments – to ensure that payments remain fair and adequate
- Voluntary Acquisitions – specific conditions have been delineated for transparency and fairness
- Appraisal Waivers – ARE IN TRANSITION ask before you proceed
- Conflict of Interest Provisions – enhanced guidelines particularly in higher-value negotiations
- Temporary Relocations – consolidated information to provide comprehensive support during temporary displacements
- Nonresidential Payments – new limits
- Residential Move Reimbursement – now five methods of payment to provide flexibility
- Replacement Housing Payments – new limits

4

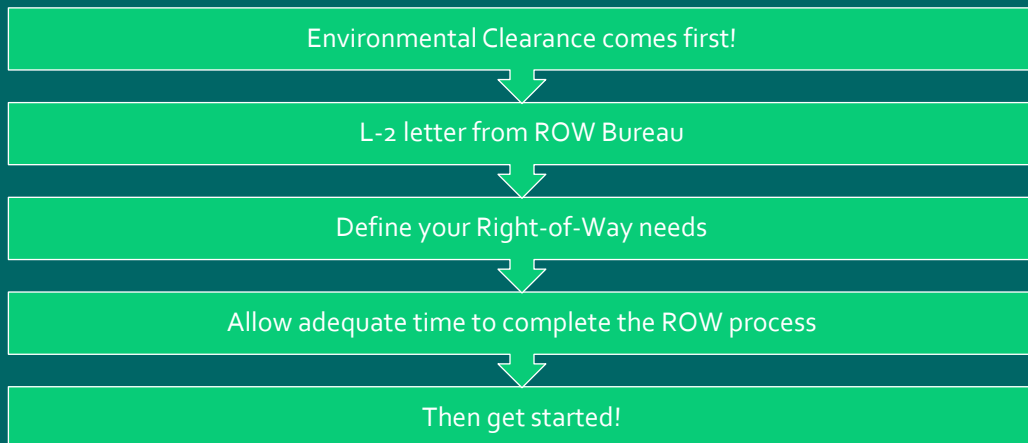
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BEFORE THE ROW PROCESS BEGINS



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THE VALUATION PROCESS

WAIVER VALUATION PROVISION OR APPRAISAL?

Uncomplicated Parcels

Waiver Valuation Provision:
(Compensation Estimates)

Great, if used correctly!

- Prepared by Acquisition Agent
- Simple, minor, low value, uncomplicated
- Still, Under \$10,000 and caps at \$25,000, IDOT
- New WV limits if your agency has an FHWA approved ROW Manual
- Agency official determines "Offer of Just Compensation"
- Start negotiations immediately

Complicated Parcels

Appraisal:

- Parcel value is not a factor
- Appraiser must hold a State license
- Qualified for the specific assignment
- Competent reviewer, must hold a State license
- Agency official determines "Offer of Just Compensation"
- Send full copy to owners
- 10 day wait to start negotiations

7

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KEY ELEMENTS OF THE VALUATION PROCESS

Appraisal or Waiver Valuation



Review Appraisal



Fair Market Value Determined



Agency Approval and "Offer of Just Compensation"

This is the Offer that is presented to the Property Owner

Public Law 91-646, as amended Title II, Section 301

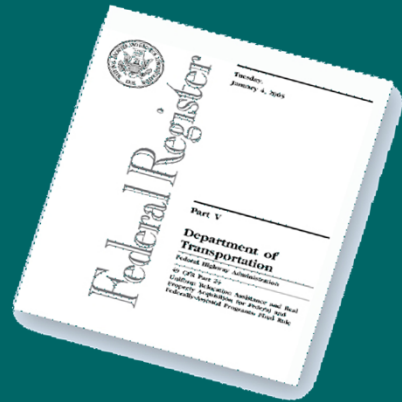
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BASIC ACQUISITION POLICIES

Start ASAP

- Notice of intent to acquire sent to property owner
- Offer of Just Compensation established prior to meeting with the owner (Waiver Valuation or Appraisal)
- Remember, the property owner has 10 days to review the Appraisal before negotiations can start
- Prompt written Offer to Purchase with a Summary Statement



49 CFR, Appendix A, Sec. 24.102

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NEGOTIATION, DO NOT FORGET

No coercive actions

Avoid conflicts of interest -
new guidelines for Waiver
Valuations more than
\$15,000 with FHWA
approval

Document the negotiations
"Record of Contact" – the
first rule of ROW, if it is
not written down it did
not happen

90 Day Notice To Move for
parcels with Relocation

Payment before possession

49 CFR, Appendix A, Sec. 24.102

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RELOCATION PAYMENTS AND SERVICES

RESIDENTIAL

New Limits
Advisory Services
Fixed or Actual Moving Costs
Replacement Housing Payments

NON-RESIDENTIAL

New Limits
Advisory Services
Fixed or Actual Moving Costs
Business Re-establishment Expenses
Related Nonresidential Expenses

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PARCEL CLOSING

It is the responsibility of the LPA to:

Pay just compensation; waiver valuation, appraised or negotiated value for the parcel

Prepare a closing statement and deed or easement/s

Satisfy any encumbrances and secure proper releases

Pay the property owner's incidental expenses for the transfer of title

Make payment to the property owner
PRIOR TO POSSESSION

49 CFR 24.106

12

PROPERTY MANAGEMENT

Manage the parcel/s until the construction project begins

After the project has been completed (closed), then dispose of any excess or unused Right-of-Way

If you have excess Right-of-Way, then you will need a disposal process:

- First, follow Iowa Code 306.23
- I.C. 306.23 states that the agency must offer back any excess or unused ROW parcel to whom it was acquired from at the current approved appraised value
- I.C. 306.23 applies to any ROW acquisition that you, the LPA, has made when you have the Right of Eminent Domain, whether used or not
- After the provisions of I.C. 306.23 have been met, the disposal process is by your LPA policy

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PROJECT DEVELOPMENT CERTIFICATION (PDC) SECTION 4 & 5

You, the LPA, certifies:

1. All ROW processes are in compliance with Federal and State regulations
2. The ROW is clear
3. The agency has possession of all necessary property rights (Permanent and Temporary)

Remember: Acquired = The Citizen Has Been Paid

Exceptions:

1. Condemnation - the commendation hearing must be scheduled two weeks prior, and funds must be deposited, prior to letting
2. Relocation payments and services may continue after the letting
3. **PIF – is not a “get out of jail free card”**

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RIGHT- OF- WAY NOW CLEARED FOR LETTING



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FHWA TUTORIAL LINK:

GOOGLE: FEDERAL-AID ESSENTIALS FOR LOCAL PUBLIC AGENCIES

11/16/22, 7:59 AM Introduction to Right-of-Way Requirements and the Uniform Act - Right-of-Way- Federal-aid Essentials for Local Public Agencies

Federal-aid Essentials for Local Public Agencies *Federal-aid Simplified.*

HOME | ABOUT | FEDERAL-AID ESSENTIALS VIDEO LIBRARY | FHWA DIVISION CONTACTS | OUTREACH MATERIALS

Right-of-Way

Introduction to Right-of-Way Requirements and the Uniform Act

All project right-of-way requirements must be met when Federal-aid is used.

Introduction to Right-of-Way Requirements and the Uniform Act

RIGHT-OF-WAY

Although the videos in this section can be viewed in any sequence, the files are arranged in a recommended or preferred order for your convenience.

- Introduction to Right-of-Way Requirements and the Uniform Act
- Project Development
- Property Management
- Uniform Act: Valuation
- Uniform Act: Acquisition and Negotiation
- Uniform Act: Relocation Assistance

Companion Resource (PDF, 674 KB) - Includes the printable script for this video

Web Resources: Includes Web links to related Code of Federal Regulations and other links appropriate to this video module.

- Link to Real Estate Acquisition Guide for Local Public Agencies
- Information on right-of-way-related issues
- Information covering Uniform Act regulations and evidence
- Information covering real property acquisition for Federal-aid projects
- Major Projects Guidance and the Division Right-of-Way Function

Feedback | Disclaimer | Contact Us

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ROW BUREAU CONTACTS

Statewide- Rick Skinner

Rick.skinner@iowadot.us 515-290-3196

Districts 1 & 5- Joe Guckert

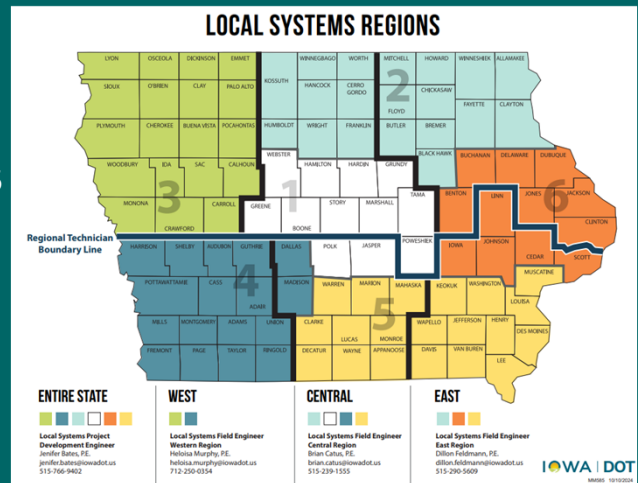
Joseph.guckert@iowadot.us 515-239-1976

Districts 2 & 6- Sandy Sells

Sandy.sells@iowadot.us 515-239-1731

Districts 3 & 4- Matt Buttz

Matthew.buttz@iowadot.us 515-239-1157



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QUESTIONS?



Reference Sources:

Local Systems I.M. 3.600- Right-of-Way Acquisition

https://www.iowadot.gov/local_systems/publications/im/3600.pdf

Right-of-Way Brochures and Manuals

<https://iowadot.gov/rightofway/Brochures-and-Manuals>

18

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UTILITIES & RAILROADS

Eryn Stone, P.E.
Urban Engineer
Local Systems Bureau
Iowa Department of Transportation

1

1

PRESENTATION OVERVIEW

Utility Relocations

Railroads

Buy America – Utility and RR Work

IOWA | DOT

2

UTILITY RELOCATIONS

Utility Accommodation Policies

- Requires utilities to obtain permit from agency with jurisdiction of the roadway (City/County/State etc.)
- Policies and permits specify the conditions that will allow utilities to be in the right-of-way
- Utilities inside the right-of-way must relocate at their own expense if required by the transportation project
- Specifies other administrative procedures associated with obtaining a permit

3

UTILITY RELOCATIONS

Reimbursement of Utility Relocation Costs

- The STBG program is not for utility relocations in which the LPA is obligated or has authority to pay; for example:
 - Project requires property in which the utility has an interest (i.e., owns by fee title or controls by private easement)
 - Needs approval from the MPO or RPA
- Rules for projects on Interstate or Primary Highways are different (governed by State laws and policies)

This Photo by Unknown Author is licensed under CC BY-SA

4

4

UTILITY RELOCATIONS

Coordination with Utilities

- Be pro-active and cooperative
- Recommended “best practices” in [I.M. 3.640](#)
- Utilities must be notified of the project, Iowa Code Section 318.9
 - Provide information early and often! go-day Iowa Code Requirement
 - Each project is different, lead times will vary
 - Provide copies of plans as early as possible – design phase
- Utility Coordination Meeting, Iowa Code Section 306.47
 - During all phases of design – concept through check plans
 - All utilities within project limits or corridor shall be invited
 - [Iowa One Call – Design Request System](#)
- Recommendations
 - Ample notice for meetings, project schedule updates, plan changes etc.
 - Allow utilities to be involved in your projects from the start
 - Regular meetings with each utility provider to discuss upcoming projects and timelines
 - Help them, help you

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UTILITY RELOCATIONS

For more information:

- [I.M. 3.640](#), Utility Accommodation and Coordination
- Non-primary Utility Policy
https://www.iowadot.gov/local_systems/publications/lpa_utility_policy.pdf
- Primary Utility Policy
<https://www.legis.iowa.gov/docs/ACO/chapter/761.115.pdf>
<https://iowadot.gov/rightofway/pdfs/UtilityPolicy.pdf>
- Utility Accommodation web page
<https://iowadot.gov/rightofway/utility-accommodation-and-coordination#50439614-accommodation>
- Utility Coordination & District Utility Coordinators
<https://iowadot.gov/rightofway/utility-accommodation-and-coordination#50439615-coordination>

6

RAILROADS – ITEMS TO REMEMBER

Notification

Agreements

Specifications

Bid Item for
RR Protective
Insurance

7

7

RAILROADS – NOTIFICATION & AGREEMENT

Notification of Railroad

- Provide notice as early as possible
- Describe the proposed work (and provide updates later if this changes)
- Request an agreement
- Attach a copy of the project plans
- See Railroad Information Sheets for LPA's, linked in [I.M. 3.670](#)
- Talk to Local Systems staff or Jenifer Bates for guidance
- Railroad contacts and profiles on the [DOT website](#)



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RAILROADS - AGREEMENT



Must have some form of agreement in writing



Indemnity -LPA needs to determine their level of risk



Contractor Right of Entry agreements are allowed but not recommended (see I.M. 3.670)

9

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RAILROADS - SPECIFICATIONS

Railroad Information Sheets have the most current info for each RR

Every RR project needs a specification

Developmental Specification

- Union Pacific Railroad – DS-23064
- Canadian National Railroad - DS-23047
- Canadian Pacific Railway – DS-23056
- Burlington Northern and Santa Fe (BNSF) Railway - DS-23057

Special Provision

- All Other Railroads
- Iowa Northern Railway (IANR)
- Iowa Interstate Railroad

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RAILROADS: ELIGIBLE COSTS

Eligible Railroad Costs

Construction

- Either by Railroad forces or private contractor
- Relocated Railroad signals
- Flagging costs not paid directly by LPA's Contractor

Right-of-way

- Eligible only if transportation project requires replacement Railroad facilities

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RAILROADS: INELIGIBLE COSTS

Costs Ineligible for Participation:

- Additional length of bridge provided if certain clearances are exceeded, unless an exception is approved:
 - Horizontal Clearance > 20'-0" (6.1 m)
 - Vertical Clearance > 23'-4" (7.1 m)
- Additional length of bridge provided for future tracks, unless they are in the Railroad's 5-year plan

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RAILROAD – BID ITEMS

Do not include	Include	Insurance
<p>Do not include a bid item for RR Flaggers <i>(RR flagger costs are included in the standard spec)</i></p>	<p>Include Bid Items for Insurance for each Railroad (shown in RR Info Sheets)</p>	<p>For Insurance in excess of allowable \$2M/\$6M, check with Administering Team <i>(Insurance bid item will be Federal-aid non-participating unless approved beforehand)</i></p>

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RAILROADS – I.M.S

For more information:

- [I.M. 3.670](#), Work on Railroad Right-of-Way
- [I.M. 3.680](#), Federal-aid Projects Involving Railroads
- [Railroad Information Sheets](#)

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Build America Buy America (BABA): Utility & RR Work

Buy America requires the use of domestic iron and steel products in Federal-aid projects

Effective Oct 1, 2012, MAP-21 expanded the reach of these requirements. IIJA further expanded these requirements to include construction materials, now called BABA.

If one contract utilizes Federal-aid, then all contracts within the project, as defined by the NEPA document, are subject to BABA

Applies regardless of who pays

15

If utility relocations or RR work are eligible for Federal-aid, then BABA applies

Agreements for eligible utility relocations and RR work must include the BABA provisions

Failure to include these provisions or comply with BABA may jeopardize Federal funding for the entire project!

BABA - UTILITY & RR WORK

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QUESTIONS?



Reference Documents:
As listed on previous slides

Iowa DOT Contact Person:
Local Systems Bureau
Eryn Stone
515-450-4103
Eryn.Stone@iowadot.us

FEDERAL-AID CONTRACT LETTING AND AWARD

Ed Kasper, P.E.
Assistant Director
Contracts and Specifications Bureau
Iowa Department of Transportation

1

1

PRESENTATION OVERVIEW

- Federal Requirements
- Project Design Preparation
- Contract Time
- The Letting Schedule
- Addendums
- Contract Award Process
- Subcontract Authorizations

2

FEDERAL REQUIREMENTS

Iowa DOT standard language includes:

- Buy America
- Non-collusion affidavit
- Non-discrimination affidavit
- Lobbying Certification
- Certification of Non-segregated facilities
- Exclusion of debarred contractors

3

FEDERAL REQUIREMENTS

FHWA – 1273

Specification Document

- Nondiscrimination
- Davis – Bacon Wages
- Subcontracting
- Other federal requirements
- Attached to each contract

4

DBE

Disadvantaged Business Enterprise (DBE)

- DOT assigns contract goal (if any)
- Contractor submits commitment with bid
- DOT evaluates bidder's Good Faith Effort
- LPA assures changes are PRE-approved by Civil Rights Bureau

5

DAVIS/BACON PREDETERMINED WAGE RATES

Contracts &
Specifications
Bureau Assigns

Applies to
CONTRACTS

LPA REVIEWS
WEEKLY
PAYROLLS!

6

6

PROJECT DESIGN PREPARATION

- Use standard documents to reduce contractor risk & contract costs
 - Standard Plan format and tabulations
 - Standard Bid Items
 - Don't make standard bid items incidental
 - Standard Specifications
 - Readily available materials
 - Proprietary materials require proper documentation

7

CONTRACT TIME

✓ Offer bidders scheduling flexibility

🕒 Defined duration

🕒 Late Start Date Window of time to start, Contractor may start earlier

📅 Approximate Start Date

🏠 Liquidated Damages

📄 LPA Review Contract Time Report

8

8

THE LETTING SCHEDULE REMEMBER TUESDAYS

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
		★				
		★				

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1ST TUESDAY
TWO MONTHS
BEFORE LETTING
-CONTRACTS PLAN TURN IN-

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
		★				

10

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1ST TUESDAY
TWO MONTHS BEFORE LETTING
-CONTRACTS PLAN TURN IN-

Complete and final plan

Completed Project Development Certification

Request any special letting considerations

Special Provisions if needed

Public Interest Findings (PIF) if needed

11

11

Project Information In TPMS

- Location/Route
 - On proposal, contract, reports
- Bid Items & Quantities
 - Matches plan
- Cost Estimate
- Supplemental Specifications SS's
- Developmental Specifications DS's

1ST TUESDAY
TWO MONTHS
BEFORE LETTING
CONTRACTS PLAN TURN IN

12

1ST TUESDAY
ONE MONTH BEFORE LETTING
-FINALIZE LETTING DOCUMENTS-

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
		★				

13

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1ST TUESDAY
ONE MONTH BEFORE LETTING
-FINALIZE LETTING DOCUMENTS-



Contract Documents Package

Proposal
SP's
Plans



Engineers estimate



Dependent activities:

DBE goal setting
Authorization requests

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14

FHWA AUTHORIZATION

LPA estimate within
15% of STIP program
amount

Federal-aid Limits

- Design consistent with program
- Risk loss of federal aid

15

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3RD TUESDAY
ONE MONTH BEFORE LETTING
-ADVERTISEMENT-

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
		★				

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3RD TUESDAY ONE MONTH BEFORE LETTING -ADVERTISEMENT-

Contract Documents Released

Review proposals and plans at:
<https://iowadot.gov/contracts/plans-and-estimation-proposals>

All questions thru Bidx Q &A: <https://www.bidx.com/ia/main>

All changes by addendum

17

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ADDENDUMS



Required to change contract documents
after advertisement



Designer/P.E. requests



Risks

Loss of bidders
Withdrawal – delayed letting



pdf available on
<https://www.bidx.com/ia/lettings>

Addendum					
Iowa Department of Transportation Office of Contracts			Date of Letting: November 19, 2024 Date of Addendum: October 25, 2024		
C.O.	Proposal ID	Proposal Work Type	County	Project Number	Addendum
001	03-0762-059	BRIDGE REPLACEMENT - PPCB	ALLAMAKEE	BRF-076-2(59)-38-03	19NOV001A01

Make the following changes to the PLAN:
Replace SHEET C 9 with attached SHEET C 9.

Note:
Sheet C 9 Tabulation 112-06 corrections.

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1ST TUESDAY
LETTING MONTH
-LETTING CLEARANCES-

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
		★				

19

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1ST TUESDAY –
LETTING MONTH

- Project should be clear for letting
- ROW secured
- Condemnations held
- Agreements signed
- Regulatory permits issued

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3RD TUESDAY – LETTING DAY

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
		★				

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3RD TUESDAY LETTING DAY

Bidding Deadline – 10:00
AM

Bid Opening/Reading –
10:30 AM

Apparent (As Read) bids
posted on
<https://www.bidx.com/ia/lettings>

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CONTRACT AWARD PROCESS



DOT determines responsible bidder with lowest responsive bid



Within 30 days of letting LPA may:

Award to lowest bidder
Reject all bids

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CONTRACT AWARD PROCESS

- Doc Express
- Electronic file exchange and management
- Local Systems Instructions

https://iowadot.gov/local_systems/Post-Letting-Resources/Doc-Express-and-Appia

Derek Peck, Local Systems Bureau

Derek.peck@iowadot.us

515-239-1391

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CAUTIONS

01

Don't negotiate with contractor prior to DOT award concurrence

02

Don't modify bid before execution of the contract

03

Don't reject a reasonable bid (10%) in hopes of getting a better bid

04

Don't delete substantial portions of the contract to get within budget

25

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CONTRACT AWARD - LOW BID DETERMINATION

- Time (A+B) Article 1112 Standard Specifications
- Best Value (A-D) DS-23003
- Added Options DS-23002
- I.M. 3.730, Innovative Contracting Procedures

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SUBCONTRACTOR AUTHORIZATION

- Required for work not performed by prime
 - (except material supply & trucking)
- Required for all DBE commitments
- Contractor Submits to DOT at contract award
- Contractor Submits to Project Engineer during construction. PE 70/30% & EEO/AA Policy
- Sales Tax Exemption Certificates
- EEO Posting
- SiteXchange Application
- <https://iowadot.gov/contracts/lettings/subcontracting.pdf>
- Article 1108.01 of Standard Specifications

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RESOURCES

- I.M. 5.030, Iowa DOT Letting Process
- Contracts and Specifications Bureau:
<https://iowadot.gov/contracts/contracts-home>
 - Letting Guidelines
 - Bid Tabs
 - Plans and Proposals
- Bidx Iowa DOT homepage:
<http://www.bidx.com/ia/main>
 - Create Free Account
 - Addenda
 - Eligible Bidders
 - As Read Bids

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RESOURCES

Contracts and Specifications Bureau

Contact Persons:

- PDC's & Funding

Jason Miller

515-239-1071

jason.miller@iowadot.us

- Contract Award Processing

Mary Thompson

515-239-1415

mary.thompson@iowadot.us

Plan content, contract periods, proposals

Districts 1, 2, and 3

Krandel Jack

515-239-1546

krandel.jack@iowadot.us

Districts 4, 5, and 6

Stacy Ryan

515-239-1274

stacy.ryan@iowadot.us

29

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RESOURCES

- Contracts and Specifications Bureau

Contact Persons:

Letting Process – Award Procedures

- Mark Dunn

515-239-1414

mark.dunn@iowadot.us

- Ed Kasper

515-239-1959

edward.kasper@iowadot.us

Subcontracting

Travis Bakken

515-239-1414

travis.bakken@iowadot.us

30

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TOP THINGS TO REMEMBER FROM TODAY

1

1

Read the Guide and applicable I.M.s

The Federal-aid Project Development Guide (Guide) and the Instructional Memorandums to Local Public Agencies (I.M.s) are all available on-line at:

www.iowadot.gov/local_systems/publications/im/lpa_ims

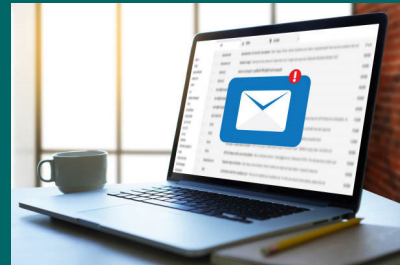
To locate all available written guidance, refer to the Guide and the I.M.s, then to the other documents referenced by the Guide or I.M.s.

2

2

CONTACT YOUR ADMINISTERING TEAM

Unless specifically noted otherwise, the Iowa DOT Administering Team is the primary point of contact for all project submittals and requests for information (see Iowa DOT Contacts List for appropriate offices and staff members).



3

3

Make sure the project is programmed properly

In order to authorize Federal funds for any project activities, your project must be included in the appropriate Regional Planning Affiliation (RPA) or Metropolitan Planning Organization (MPO) Transportation Improvement Program (TIP), and the Statewide Transportation Improvement Program (STIP). Funds must be programmed in the Federal Fiscal Year(s) in which FHWA Authorization for the project activities will occur.

4

USE TPMS

Use TPMS

If you aren't a user, sign-up when you get back to your office. If you have signed-up, use the system to verify the project is correctly programmed, track progress, make submittals, and communicate with the Iowa DOT.

For more information, contact Brian Moore of the ICEA Service Bureau at 515-244-0779 or brian.moore@iceasb.org

5

PROJECT DEVELOPMENT SUBMITTALS

Know what, how & when to submit items in TPMS

Refer to I.M. 3.010, Project Development Submittal Dates and Information, for instructions concerning several important milestones in the project development process.

6

6

Submit the Concept Statement Early

The best way to get your project off to a good start is to submit a Concept Statement as early as possible. For more information, refer to I.M. 3.020, Concept Statement Instructions.

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7

Coordinate early with Railroads and Utilities

Projects involving railroad crossings will require additional development time. Plan ahead and contact the railroad as early as possible. For more information, refer to I.M. 3.670, Work on Railroad Right of Way, and I.M. 3.680, Federal-aid Projects Involving Railroads.

Early utility coordination is also vital. Notify potentially affected utilities early and often. For more information, refer to I.M. 3.640, Utility Accommodation and Coordination, and I.M. 3.650, Federal-aid Participation in Utility Relocations.

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8

NEPA CLEARANCE THEN FINAL DESIGN

Don't start final design too soon

Do not begin final design activities until after NEPA Clearance has been obtained.

Development of Check Plans is considered a final design activity.



9

FHWA AUTHORIZATION

Request and verify receipt of FHWA Authorization



Do not begin any work for which you will want Federal-aid reimbursement until you have written approval from the Iowa DOT that FHWA Authorization has been received. If in doubt, check it out!

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USE THE CHECKLISTS IN THE I.M.S

The Checklists in the I.M.s are very helpful.

Please use them

We can tell if they weren't used



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THANK YOU

- As we transitioned back to Federal-aid, we very much appreciate your patience, diligence and cooperation.
- Thank you to the Local Systems Bureau for all the presentations.
- Thank you to the other DOT Bureaus for the presentations.
- Thank you to the FHWA as our continued partners.
- Thank you to all for attending and learning!

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QUESTIONS?

Reference Documents:

- As listed on previous slides

Iowa DOT Contact Person:

- See Iowa DOT Contact List for appropriate Administering Team staff

