



# **Federal-aid Overview Seminar Training Manual**

**2014**



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## Federal-aid Overview Seminar Training Manual

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# General Information



# Iowa DOT Contact List

## Federal-aid Overview Seminars

(May 2013)

**Which Office is the Administering Office?** For projects funded by any or a combination of the Transportation Enhancement, Federal Recreational Trails, Safe Routes to School, National Scenic Byways, Iowa Clean Air Attainment programs, and certain earmark projects, the Office of Systems Planning is the Administering Office. For all other projects, the Administering Office is one of the 6 District Offices, depending on which Iowa DOT District the LPA is located in.

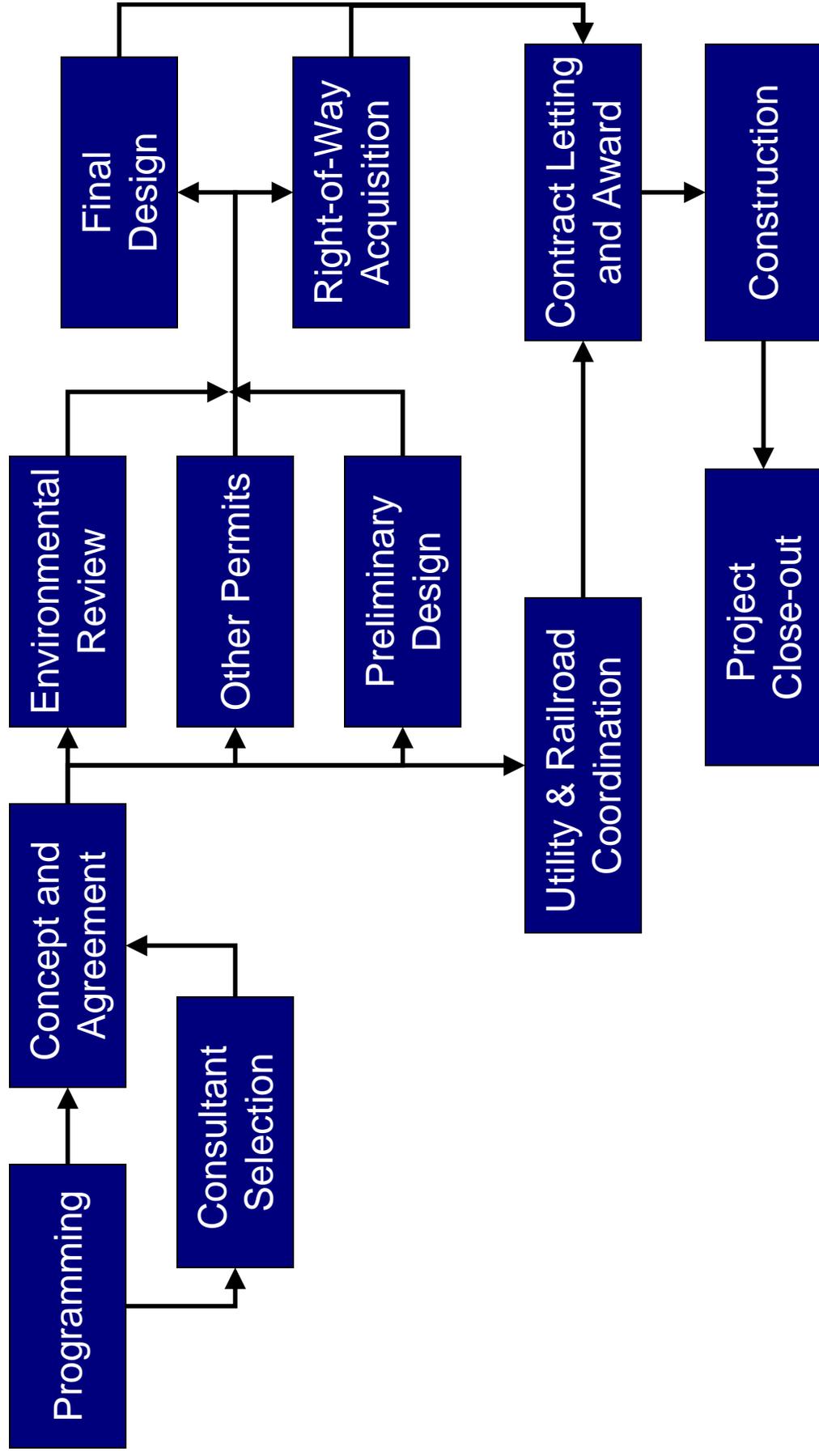
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# Typical Project Sequence





# Acronym List

## Federal-aid Overview Seminars

(May 2013)

The following list contains some of the acronyms that may be used in the Seminar presentations or in the written guidance referenced by those presentations:

<p>AASHTO – American Association of State Highway and Transportation Officials</p> <p>ACHP – Advisory Council on Historic Preservation</p> <p>ACTT – Accelerated Construction Technology Transfer</p> <p>ADA – Americans with Disabilities Act of 1990</p> <p>AGC – Association of General Contractors</p> <p>ALAS – Accident Location and Analysis System</p> <p>AMSA – Association of Metropolitan Sewerage Agencies</p> <p>ANSI – American National Standards Institute</p> <p>AP – Accounts Payable</p> <p>APAI – Asphalt Paving Association of Iowa</p> <p>APE – Area of Potential Effect</p> <p>APWA – American Public Works Association</p> <p>ARRA – American Recovery and Reinvestment Act of 2009</p> <p>ASCE – American Society of Civil Engineers</p> <p>ASTM – The American Society for Testing and Materials</p> <p>ATMS – Advanced Traffic Management System</p> <p>ATSSA – American Traffic Safety Services Association</p> <p>B/C – Benefit-to-Cost</p> <p>BEC – Bridge Engineering Center</p> <p>BEST – Building Excellence in Services and Transportation</p> <p>BIAS 2000 – Bid Item Automation System 2000</p> <p>BUG – Bicycle Users Group</p> <p>CAD – Computer Aided Design</p> <p>CARS – Condition Acquisition Reporting System</p> <p>CATV – Cable Television</p> <p>CCC – Coordination Cooperation Communication</p> <p>CE – Categorical Exclusion / Construction Engineering</p> <p>CFR – Code of Federal Regulations</p> <p>CIT – Cultural Interchange Team</p> <p>CMAT – Crash Mapping Analysis Tool</p> <p>CMP – Corrugated Metal Pipe / Corridor Management Plan</p> <p>CREP – Conservation Reserve Enhancement Program</p> <p>CRP – Community and Regional Planning</p> <p>C-STEP – County-State Traffic Engineering Program</p> <p>CTAMS – Coordinated Transportation Analysis and Management Systems</p> <p>CTRE – Center for Transportation Research and Education</p> <p>DBE – Disadvantaged Business Enterprises</p> <p>DLSE – District Local Systems Engineer</p> <p>DNR – Department of Natural Resources</p> <p>DOE – Department of Energy</p> <p>DOT – Department of Transportation</p> <p>DS – Developmental Specification</p> <p>EA – Environmental Assessment</p> <p>EEO / AA – Equal Employment Opportunity / Affirmative Action</p> <p>EIS – Environmental Impact Statement</p> <p>EMAC – Emergency Management Assistance Compact</p> <p>EOT – Engineering Operations Technician</p> <p>EPA – Environmental Protection Agency</p> <p>ER – Emergency Relief</p> <p>ERL – Electronic Reference Library</p> <p>ERMS – Electronic Records Management System</p> <p>ERS – Economic Research Service (Div. of USDA)</p> <p>ESA – Environmental Site Assessment</p>	<p>ESAL – Equivalent Single Axle Load</p> <p>EWO – Extra Work Order</p> <p>FAA – Federal Aviation Administration</p> <p>FAD – Final Acceptance Date</p> <p>FCC – Federal Communications Commission</p> <p>FEMA – Federal Emergency Management Administration</p> <p>FHWA – Federal Highway Administration</p> <p>FM – Farm-to-Market</p> <p>FMIS – Fiscal Management Information System</p> <p>FO – Functionally Obsolete / Fiber Optic</p> <p>FONSI – Finding of No Significant Impact</p> <p>FTA – Federal Transit Administration</p> <p>GAAP – Generally Accepted Accounting Principles</p> <p>GAO- Government Accountability Office</p> <p>GIS – Geographic Information System</p> <p>GPS – Global Positioning System</p> <p>HBDB – Historic Bridge Database</p> <p>HBP – Highway Bridge Program</p> <p>HBRR – Highway Bridge Replacement &amp; Rehabilitation Program</p> <p>HEET – Handling Earmarks Efficiently Team</p> <p>HMA – Hot Mix Asphalt</p> <p>HPMS – Highway Performance Monitoring System</p> <p>HPP – High Priority Projects</p> <p>HTF – Highway Trust Fund</p> <p>IAC – Iowa Administrative Code</p> <p>IAEC – Iowa Association of Electric Cooperatives</p> <p>IAMU – Iowa Association of Municipal Utilities</p> <p>IARC – Iowa Association of Regional Councils</p> <p>ICAAP – Iowa’s Clean Air Attainment Program</p> <p>ICEA – Iowa County Engineers Association</p> <p>ICEOO – Iowa County Engineers Office Organization</p> <p>ICPA – Iowa Concrete Paving Association</p> <p>IDALS – Iowa Department of Agriculture and Land Stewardship</p> <p>IDCA – Iowa Department of Cultural Affairs</p> <p>IDDEA – Iowa Digital Design &amp; Engineering Applications Group</p> <p>IGIC – Iowa Geographic Information Council</p> <p>IGRA – Iowa Good Roads Association</p> <p>IGUC – Iowa Guide to Utility Coordination</p> <p>IHRB – Iowa Highway Research Board</p> <p>IIM – Iowa In Motion</p> <p>ILC – Iowa League of Cities</p> <p>IM – Instructional Memorandum / Interstate Maintenance</p> <p>IPTA – Iowa Public Transit Association</p> <p>IRFA – Iowa Railway Finance Authority</p> <p>IRMCA – Iowa Ready Mix Concrete Association</p> <p>IRVM – Integrated Roadside Vegetation Management</p> <p>IRWA – International Right of Way Association</p> <p>ISAC – Iowa State Association of Counties</p> <p>ISTEA – Intermodal Surface Transportation Efficiency Act of 1991</p> <p>ITA – Iowa Telecommunications Association</p> <p>ITCSA – Iowa Traffic Control and Safety Association</p> <p>ITD – Information Technology Division</p> <p>ITE – Institute of Traffic Engineers</p> <p>ITS – Intelligent Transportation Systems</p> <p>IUA – Iowa Utility Association</p>
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IUB – Iowa Utility Board  
 LED – Light-emitting diode  
 LEP – Limited English Proficiency  
 LHA – Lincoln Highway Association  
 LPA – Local Public Agency  
 LRS – Linear Referencing System  
 LRTF – Living Roadway Trust Fund  
 LTAP – Local Technical Assistance Program  
 MAP-21 - Moving Ahead for Progress in the 21<sup>st</sup> Century Act (2012)  
 MARS – Mobile Accident Reporting System  
 MOA – Memorandum of Agreement  
 MOU – Memorandum of Understanding  
 MPO – Metropolitan Planning Organization  
 MSDS – Material Safety Data Sheet  
 MT – Management Team  
 MUTCD – Manual on Uniform Traffic Control Devices  
 NACE – National Association of County Engineers  
 NAFTA – North American Free Trade Agreement  
 NBIS – National Bridge Inspection Standards  
 NCHRP – National Cooperative Highway Research Program  
 NEPA – National Environmental Policy Act of 1969  
 NHS – National Highway System  
 NHTSA – National Highway Traffic Safety Administration  
 NPDES – National Pollutant Discharge Elimination System  
 NRC – National Research Council  
 NRCS – Natural Resources Conservation Service  
 NTSB – National Transportation Safety Board  
 NWP – Nationwide Permit  
 OH – Overhead  
 OIG – Office of the Inspector General  
 OLE – Office of Location and Environment  
 OLS – Office of Local Systems  
 OPM – Operational Planning Meeting  
 OPS – Office of Pipeline Safety  
 OSA – Office of State Archaeologist  
 OSP – Office of Systems Planning  
 OSHA – Occupational Safety and Health Administration  
 PCC – Portland Cement Concrete  
 PE – Preliminary Engineering / Permanent Easement / Professional Engineer  
 PIF – Public Interest Finding  
 PIM – Public Information Meeting  
 PMS – Pavement Management System  
 PMT – Project Management Team  
 Point 25 – Utility coordination procedures outlined in 761 Iowa Administrative Code, Chapter 115.25  
 POV – Personally Operated Vehicle  
 PPCB – Pre-Tensioned Pre-Stressed Concrete Beam  
 PPM – Policy and Procedure Memorandum  
 PRF – Primary Road Fund  
 PS&E – Plans, Specifications and Estimate  
 PSS – Project Scheduling System  
 PTMS – Public Transportation Management System  
 QAQC – Quality Assurance Quality Control  
 QMA – Quality Management Asphalt  
 QMC – Quality Management Concrete  
 RCE – Resident Construction Engineer  
 REAP – Resource Enhancement And Protection  
 RFP – Request For Proposal  
 RIITA – Rural Iowa Independent Telephone Association  
 RISE – Revitalize Iowa's Sound Economy  
 ROD – Record of Decision  
 ROL – Report of Liens  
 ROW – Right-of-way  
 RPA – Regional Planning Affiliation  
 RUTF – Road Use Tax Fund  
 SD – Structurally Deficient

SAFETEA-LU – Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A legacy for Users (2005)  
 SHPO – State Historical Preservation Officer  
 SHRP – Strategic Highway Research Program  
 SMS – Safety Management System  
 SMSCC – Safety Management Systems Coordinating Committee  
 SOIS – Secretary of Interior Standards  
 SOS – Secretary of State  
 SRFDAC – Secondary Road Fund Distribution Advisory Committee  
 SP – Special Provision  
 SS – Supplemental Specification  
 STAA – Surface Transportation Assistance Act of 1982  
 STIP – Statewide Transportation Improvement Program  
 STP – Surface Transportation Program  
 STURAA – Surface Transportation and Uniform Relocation Assistance Act of 1987  
 SUDAS – Statewide Urban Design and Specifications  
 SUE – Subsurface Utility Engineering  
 TCA – Telecommunications Act of 1996  
 TE – Transportation Enhancement / Temporary Easement  
 TEA-21 – Transportation Equity Act for the 21<sup>st</sup> Century (1998)  
 TEAP – Traffic Engineering Assistance Program  
 TI – Transportation Improvement  
 TIF – Tax Increment Financing  
 TIP – Transportation Improvement Program  
 TPMS – Transportation Program Management System  
 TSIP – Transportation Safety Improvement Program  
 UAP – Utility Accommodation Policy  
 UG – Underground  
 ULO – Utility Line Opening  
 Uniform Act – Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970  
 US – United States  
 USC – United States Code  
 USDA – United States Department of Agriculture  
 USPAP – Uniform Standards of Professional Appraisal Practice  
 U-STEP – Urban-State Traffic Engineering Program  
 WRP – Wetland Reserve Program  
 WUS – Waters of the United States  
 3R – Resurfacing, Restoration, and Rehabilitation (non-Interstate pavement preservation program)  
 4R – Resurfacing, Restoration, Rehabilitation, and Reconstruction (Interstate pavement preservation program)

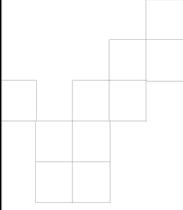
## Top Ten Things to Remember from Today

10. **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.htm](http://www.iowadot.gov/local_systems/publications/im/lpa_ims.htm)  
  
To locate all available written guidance, refer first to the Guide, then to the I.M.s, then to the other documents referenced by the Guide or I.M.s.
9. **Contact your Administering Office.** Unless specifically noted otherwise, the Iowa DOT Administering Office 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).
8. **Make sure your project is programmed.** 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.
7. **Use TPMS.** If you aren't a user, sign-up when you get home. 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 Steve DeVries of the ICEA Service Bureau at 515-244-0779 (ext. 319) or [steve@iceasb.org](mailto:steve@iceasb.org).
6. **Know what to submit and when to submit it.** Refer I.M. 3.005, Project Development Submittal Dates and Information, for instructions concerning several important milestones in the project development process.
5. **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. 3.105, Concept Statement Instructions.
4. **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.
3. **Don't start final design too soon.** Do not begin final design activities until after FHWA Environmental Concurrence has been obtained. Development of Check Plans are considered a final design activity.
2. **Don't start right-of-way too soon.** Do not begin right-of-way negotiations or acquisitions until after FHWA Environmental Concurrence has been obtained if using Federal-aid for the right-of-way acquisition. If not using Federal-aid for right-of-way acquisition, right-of-way may be purchased at anytime, but proceed with extreme caution as NEPA requirements will still apply.
1. **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!



# Federal-aid Basics





# Federal-aid Basics

M.J. "Charlie" Purcell  
 Director  
 Office of Local Systems  
 Iowa Department of Transportation

Federal-aid Overview Seminars 1

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# Presentation Overview

- Written Guidance
- Planning and Programming
- FHWA Authorization
- Reimbursement
- In-Kind Contributions
- Local Letting Process

Federal-aid Overview Seminars 2

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# Written Guidance

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



[www.iowadot.gov/local\\_systems/publications/im/guide.pdf](http://www.iowadot.gov/local_systems/publications/im/guide.pdf)

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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

- 76 I.M.s
- 630 pages

[www.iowadot.gov/local\\_systems/publications/im/imtcc.pdf](http://www.iowadot.gov/local_systems/publications/im/imtcc.pdf)

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Instructional Memorandums to Local Public Agencies  
State of Iowa  
Iowa Department of Transportation

Chapter 1 - General Information

Section 1.1 - Introduction	August 16, 2001	800
1.2 - Organization of the Manual	November 2001	800
1.3 - Federal-aid	December 2001	800
1.4 - Non-Federal-aid	August 16, 2001	800
1.5 - Other	August 16, 2001	800

Section 2.1 - Right-of-Way

2.1.1 - Introduction	August 16, 2001	1,000
2.1.2 - Right-of-Way Manual	August 16, 2001	1,000

Section 3.1 - Construction

3.1.1 - Introduction	August 16, 2001	1,000
3.1.2 - Construction Manual	August 16, 2001	1,000

Section 4.1 - Materials

4.1.1 - Introduction	August 16, 2001	1,000
4.1.2 - Materials Manual	August 16, 2001	1,000

Section 5.1 - Utility

5.1.1 - Introduction	August 16, 2001	1,000
5.1.2 - Utility Manual	August 16, 2001	1,000

Section 6.1 - Right-of-Way

6.1.1 - Introduction	August 16, 2001	1,000
6.1.2 - Right-of-Way Manual	August 16, 2001	1,000

Section 7.1 - Construction

7.1.1 - Introduction	August 16, 2001	1,000
7.1.2 - Construction Manual	August 16, 2001	1,000

Section 8.1 - Materials

8.1.1 - Introduction	August 16, 2001	1,000
8.1.2 - Materials Manual	August 16, 2001	1,000

Section 9.1 - Utility

9.1.1 - Introduction	August 16, 2001	1,000
9.1.2 - Utility Manual	August 16, 2001	1,000

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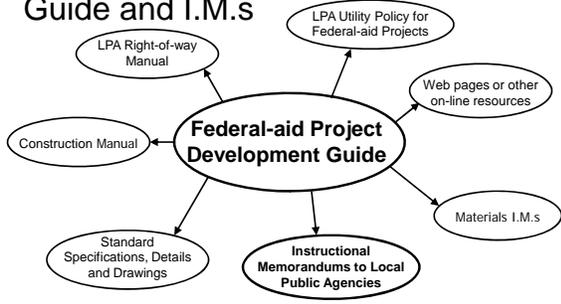
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## Relationship between the Guide and I.M.s



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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 DOT for inclusion in STIP

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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 DOT for inclusion in STIP

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**Planning and Programming**

- For More Information
  - Reference Documents:
    - STIP and STIP Guidelines  
[www.iowadot.gov/program\\_management/stip.html](http://www.iowadot.gov/program_management/stip.html)
    - The Funding Guide  
[www.iowadot.gov/pol\\_leg\\_services/funding\\_guide.htm](http://www.iowadot.gov/pol_leg_services/funding_guide.htm)
  - Iowa DOT Contact Person:  
Shawn Majors  
Office of Program Management  
515-239-1288  
[Shawn.Majors@iowa.dot.gov](mailto:Shawn.Majors@iowa.dot.gov)

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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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**In-Kind Contributions**

- **General**
  - Certain contributions by a third party, if approved in advance, may be counted towards the non-Federal share of project costs
  - Reduces the cash outlay required by the LPA
  - Contributions may include right-of-way, materials, services, or equipment
  - See "Project Close-out for Non-Highway Projects" presentation for more information

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**In-Kind Contributions**

- **For More Information**
  - Reference Documents:
    - I.M. 3.050, In-Kind Contributions
  - Iowa DOT Contact Person:
    - Debra Arp
    - Phone: 515-239-1681
    - Debra.Arp@dot.iowa.gov

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**Local Letting Process**

- **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 Letting Process**

- Disadvantages
  - Must complete a supplemental agreement
  - Must satisfy Federal bid requirements
  - Must have a bidding process
  - Must follow pre- and post-award checklists

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**Local Letting Process**

- For More Information
  - Reference Documents:
    - I.M. 3.720, Local Letting Process – Federal-aid
  - Iowa DOT Contact Person:
    - Debra Arp  
Phone: 515-239-1681  
Debra.Arp@dot.iowa.gov
    - Or, contact the appropriate Iowa DOT project manager from the "Iowa DOT Contact List" handout

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**Questions?**

- Reference Documents:
  - As listed on previous slides
  - Forms referenced in this Overview Training may be found at:  
[www.iowadot.gov/forms/index.htm](http://www.iowadot.gov/forms/index.htm)
- Iowa DOT Contact Person:
  - See Iowa DOT Contact List for appropriate Administering Office staff



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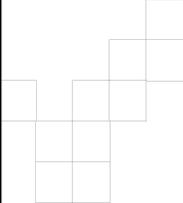
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# Civil Rights





# Civil Rights

**Karen Kienast**  
Civil Rights Coordinator  
Office of Employee Services,  
Civil Rights Team  
Iowa Department of Transportation

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# Presentation Overview

- Title VI
- ADA
- DBE

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# 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, national origin, sex (gender), age, or 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  
[www.iowadot.gov/civilrights/TitleVI.html](http://www.iowadot.gov/civilrights/TitleVI.html)
- Civil Rights Section, Iowa DOT Office of Employee Services
  - 515-239-1921
  - Nikita Rainey, AA Officer, Title VI Compliance
  - Steve Kerber, AA Officer, Title VI Compliance

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**ADA**

- Americans with Disabilities Act (ADA)
  - 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

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**ADA**

- What is “accessible”?
  - Designed and constructed in accordance with ADA requirements
  - Sidewalks – Part 12A, Iowa DOT Design Manual
  - Bicycle Facilities – Part 12B, SUDAS Design Manual

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**ADA**

- What is an “alteration”?

“A change to a facility in the public right-of-way that affects or could affect pedestrian access, circulation, or use. Alterations include, but are not limited to resurfacing, rehabilitation, reconstruction, historic restoration, or changes or rearrangement of structural parts or elements of a facility.”

*Iowa DOT Design Manual, Section 12A.C*

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**ADA**

- What is “resurfacing”?
  - Not defined in current ADA regulations or guidance!
  - Does not include slurry seals, seal coats, chip seals, fog seals, and microsurfacing
  - Other types of surface treatments may or may not be considered resurfacing
  - If not, this needs to be based on a well documented engineering analysis of the particular situation
- Please Note:
  - If a surface treatment is considered to be maintenance (i.e., not resurfacing), it is not eligible for Federal or Farm-to-Market funding
  - However resurfacing is defined, it must be consistent!

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**ADA**

- 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

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**ADA**

- 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
  - signed by a registered professional engineer or architect licensed in Iowa
  - identify the specific locations where full compliance cannot be achieved
  - provide specific reasons why full compliance cannot be achieved
  - should 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
  - [www.iowadot.gov/design/dmanual/manual.html](http://www.iowadot.gov/design/dmanual/manual.html)

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 **Disadvantaged Business Enterprise (DBE)**

- Which firms are Certified DBE Firms?
  - Official register of eligible DBE contractors and consulting firms can be found on the Iowa DOT Civil Rights page:  
[www.iowadot.gov/civilrights/dbe\\_program.html](http://www.iowadot.gov/civilrights/dbe_program.html)

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 **DBE**

- When should a DBE Goal be set?
  - Availability of firms
  - Multiple ways to meet a goal
  - Size of contract subcontracts
- What size of DBE Goal should be set?

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 **DBE**

- Advertising for DBE participation
- Demonstration of Good Faith Efforts by contractors and consultants
- LPA review of contractors or consultants Good Faith Efforts
- Disputes concerning Good Faith Efforts
- Good Faith Efforts when a DBE firm is unable to perform the work

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**DBE**

- For more information:
  - I.M. 3.710, DBE Guidelines
  - DOT Title VI web site  
[www.iowadot.gov/civilrights/TitleVI.html](http://www.iowadot.gov/civilrights/TitleVI.html)
- Civil Rights Section, Iowa DOT Office of Employee Services
  - 515-239-1921
  - Len Hill, AA Compliance Officer 2
  - Peg Muxfeldt, AA Compliance Officer 2

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**Questions?**



- Reference Documents:
  - As listed on previous slides
  - Forms referenced in this Overview Training may be found at:  
[www.iowadot.gov/forms/index.htm](http://www.iowadot.gov/forms/index.htm)
- Iowa DOT Contact Person:
  - See Iowa DOT Contact List for appropriate Administering Office staff

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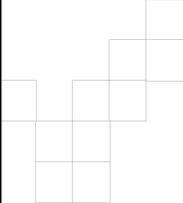
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# Initial Project Development





# Initial Project Development

Nicole Fox  
Secondary Roads Engineer  
Office of Local Systems  
Iowa Department of Transportation

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# Presentation Overview

- Project Scheduling and Submittals
- Consultant Selection
- Concept Statement
- Funding Agreement
- Project Tracking in TPMS

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# Project Scheduling and Submittals

- Typical sequence of project activities
  - Consultant Selection
  - Concept Statement / Funding Agreement
  - Preliminary Plans
  - Environmental Concurrence
  - Right-of-way Acquisition
  - Check and Final Plans
  - Letting
  - Construction

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**Consultant Selection**

- General requirements for Federally funded consultant contracts
  - Selection must be qualifications-based
  - Iowa DOT review and approval of consultant contract is required
- Abbreviated selection process
  - May be used if total consultant services will be less than \$150,000
  - Consider setting a Disadvantaged Business Enterprise (DBE) goal
  - At least 3 DOT prequalified firms must be considered
  - List firms considered and request Iowa DOT approval to begin negotiations with firm deemed most qualified

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**Consultant Selection**

- Full selection process
  - Required if total consultant services will exceed \$150,000
  - 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. 3.305, Federal-aid Participation in Consultant Costs

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**Concept Statement**

- Concept Statement for Local Systems Federal-aid Projects (Form 517001)
- Purpose
  - Initiates project development
  - Provides LPA contact information
  - Defines the scope of the project
  - Determine project description
  - Helps determine the level of environmental review and documentation that will be required
  - Helps determine which permits and / or agreements may be needed
  - Documents proposed design

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 **Concept Statement**

- **Review**
  - **Administering Office**
    - Performs general review for completeness
    - Reviews proposed design values
  - **Office of Location and Environment**
    - Reviews to determine level of environmental impacts and documentation required
  - **Office of Right-of-Way**
    - Used for information; identifies which projects have right-of-way needs

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 **Concept Statement**

- **Environmental Data Sheet (Form 517006)**
  - May also be required, as indicated on the Concept Statement
  - Provides additional details about possible impacts to recreational areas, wildlife areas, and threatened or endangered species
- **For more information:**
  - I.M. 3.105, Concept Statement Instructions
  - I.M. 3.110, Environmental Data Sheet Instructions

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 **Funding Agreement**

- **What is it?**
  - A written agreement between the Iowa DOT and LPA
  - Outlines the responsibilities of each party and the applicable Federal requirements
  - Identifies funding sources and amounts
- **When should it be completed?**
  - As early as possible, typically just before or after Concept Statement submittal

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 **Project Tracking in TPMS**

- **Project Initiation**
  - Projects included in TIP / STIP may be activated for development
  - LPA / consultant may enter initial project information, enter letting date, and activate the project
  - Iowa DOT verifies initial project information, assigns a project number, and reviews or resets project clearances as needed
- **Project Development**
  - Iowa DOT marks project submittals and clearances as they are received
  - Data is synchronized with Iowa DOT's Project Scheduling System (PSS) daily

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 **Project Tracking in TPMS**

- **Automated Monitoring**
  - If project development milestones are missed, TPMS automatically sends out an e-mail notification
    - 1<sup>st</sup> notice asks sponsor to take action
    - 2<sup>nd</sup> notice resets letting date
  - If project programming and letting date are inconsistent, TPMS alerts users
- **E-mail and Electronic File Management**
  - Built-in e-mail tool can 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.)

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 **Project Tracking in TPMS**

- For more information or to request access to TPMS contact:  
Steve DeVries, Director  
ICEA Service Bureau  
515-244-0779 (ext. 319)  
steve@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 Office staff

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PROJECT DEVELOPMENT CRITICAL PATH DATES

Concept Statement		Preliminary Plans		Check Plans		Final Plans and PDC (2 weeks)	Contracts Turn-in	Letting Date	Fiscal Year
Major (42 weeks)	Minor (16 weeks)	Major (16 weeks)	Minor (11 weeks)	Major (6 weeks)	Minor (5 weeks)				
06/11/13	12/10/13	12/10/13	01/14/14	02/18/14	02/25/14	03/18/14	04/01/14	06/17/14	2014
07/16/13	01/14/14	01/14/14	02/18/14	03/25/14	04/01/14	04/22/14	05/06/14	07/15/14	
08/13/13	02/11/14	02/11/14	03/18/14	04/22/14	04/29/14	05/20/14	06/03/14	08/19/14	
09/10/13	03/11/14	03/11/14	04/15/14	05/20/14	05/27/14	06/17/14	07/01/14	09/16/14	
10/15/13	04/15/14	04/15/14	05/20/14	06/24/14	07/01/14	07/22/14	08/05/14	10/21/14	
11/12/13	05/13/14	05/13/14	06/17/14	07/22/14	07/29/14	08/19/14	09/02/14	11/18/14	
12/17/13	06/17/14	06/17/14	07/22/14	08/26/14	09/02/14	09/23/14	10/07/14	12/16/14	2015
01/14/14	07/15/14	07/15/14	08/19/14	09/23/14	09/30/14	10/21/14	11/04/14	01/21/15	
02/11/14	08/12/14	08/12/14	09/16/14	10/21/14	10/28/14	11/18/14	12/02/14	02/17/15	
03/18/14	09/16/14	09/16/14	10/21/14	11/25/14	12/02/14	12/23/14	01/06/15	03/17/15	
04/15/14	10/14/14	10/14/14	11/18/14	12/23/14	12/30/14	01/20/15	02/03/15	04/21/15	
05/13/14	<b>11/11/14</b>	<b>11/11/14</b>	12/16/14	01/20/15	01/27/15	02/17/15	03/03/15	05/19/15	
06/17/14	12/16/14	12/16/14	01/20/15	02/24/15	03/03/15	03/24/15	04/07/15	06/16/15	
07/15/14	01/13/15	01/13/15	02/17/15	03/24/15	03/31/15	04/21/15	05/05/15	07/21/15	
08/12/14	02/10/15	02/10/15	03/17/15	04/21/15	04/28/15	05/19/15	06/02/15	08/18/15	
09/16/14	03/17/15	03/17/15	04/21/15	05/26/15	06/02/15	06/23/15	07/07/15	09/15/15	
10/14/14	04/14/15	04/14/15	05/19/15	06/23/15	06/30/15	07/21/15	08/04/15	10/20/15	
<b>11/11/14</b>	05/12/15	05/12/15	06/16/15	07/21/15	07/28/15	08/18/15	09/01/15	11/17/15	
12/16/14	06/16/15	06/16/15	07/21/15	08/25/15	09/01/15	09/22/15	10/06/15	12/15/15	2016
01/13/15	07/14/15	07/14/15	08/18/15	09/22/15	09/29/15	10/20/15	11/03/15	01/20/16	
02/10/15	08/11/15	08/11/15	09/15/15	10/20/15	10/27/15	11/17/15	12/01/15	02/16/16	
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04/14/15	10/13/15	10/13/15	11/17/15	12/22/15	12/29/15	01/19/16	02/02/16	04/19/16	
05/12/15	11/10/15	11/10/15	12/15/15	01/19/16	01/26/16	02/16/16	03/01/16	05/17/16	
06/16/15	12/15/15	12/15/15	01/19/16	02/23/16	03/01/16	03/22/16	04/05/16	06/21/16	
07/14/15	01/12/16	01/12/16	02/16/16	03/22/16	03/29/16	04/19/16	05/03/16	07/19/16	
08/18/15	02/16/16	02/16/16	03/22/16	04/26/16	05/03/16	05/24/16	06/07/16	08/16/16	
09/15/15	03/15/16	03/15/16	04/19/16	05/24/16	05/31/16	06/21/16	07/05/16	09/20/16	
10/13/15	04/12/16	04/12/16	05/17/16	06/21/16	06/28/16	07/19/16	08/02/16	10/18/16	



# Environmental Review





## Section 106 of The National Historic Preservation Act of 1966

Matt Donovan  
Cultural Resources Section  
Office of Location and Environment  
Iowa Department of Transportation

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## Presentation Overview

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

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## Section 106

- The "106 Process"
- Applies to federal actions with potential to affect Historic Properties
  - Highway funding, 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

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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
- Notify our office about any changes affecting the impact area
- Lists of qualified archaeologists and historians available from the DOT
- Our office or a University of Iowa staff person can provide advice regarding the need for an archaeology survey

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 **Consultation**

- Review and consultation with the SHPO required for most federal projects
- Official submittals for consultation on FHWA funded projects must go through the DOT
- Consultation also involves interested parties, Tribes, and the public
- SHPO staff can provide additional advice
  - Example: discuss how to rehab historic buildings

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 **SHPO Review**

- SHPO has 30 days after receipt of an official submittal to complete a review
- Average SHPO review time is 10 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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 **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

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## TAP (continued)

- 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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## For More Information

- References:
  - I.M. 3.114, Cultural Resource Guidelines
  - Section 106 Regulations
    - 36 CFR Part 800 (16 U.S.C.)
  - Advisory Council website
    - [www.achp.gov/usersguide.html](http://www.achp.gov/usersguide.html)
  - SHPO website
    - [www.iowahistory.org/](http://www.iowahistory.org/)
  - Iowa Code Section 314.24

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## Questions?

■ Iowa DOT Contacts:

Matt Donovan (for Districts 1 and 6)  
515-239-1097  
Matt.Donovan@dot.iowa.gov

Libby Wielenga (for Districts 4 and 5)  
515-239-1035  
Libby.Wielenga@dot.iowa.gov

Brennan Dolan (for District 2 and District 3)  
515-239-1795  
Brennan.Dolan@dot.iowa.gov



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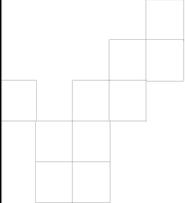
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## Section 7 of the Endangered Species Act of 1973

Mary Kay Solberg  
Environmental Specialist Senior  
Office of Location and Environment  
Iowa Department of Transportation

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## Presentation Overview

- Section 7 Process
- Small and Major Projects
- Determination of Effects
- Concurrence
- Species Specific Information

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## Section 7 Purpose

- Promote stewardship and conservation of species and the habitats they depend on.
- Insure that an action by FHWA will not jeopardize the continued existence of an endangered species;  
or result in the destruction;  
or adverse modification of critical habitat.

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## Section 7 Purpose

- State threatened and endangered species listed in Iowa Administrative Code Chapter 77. Regulated by Iowa Department of Natural Resources.
- Enhance certainty for all parties and reduce unanticipated project delays and costs.

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[www.iowadot.gov/ole/OLESite/section7.html](http://www.iowadot.gov/ole/OLESite/section7.html)



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## Section 7 Process

**CE level NEPA documentation with minimal environmental impacts**

### Evaluation

- Review Iowa DNR's Natural Areas Inventory for county lists of state protected species.  
<https://programs.iowadnr.gov/naturalareasinventory/pages/Query.aspx>
- Review USFWS Midwest Region for county lists of federally protected species.  
[www.fws.gov/midwest/endangered/lists/iowa\\_cty.html](http://www.fws.gov/midwest/endangered/lists/iowa_cty.html)
- Other data (soil surveys, aerial photography).
- Field data collection as necessary.

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## Section 7 Process EA or EIS level NEPA documentation

### Evaluation

- Review Iowa DNR's Natural Areas Inventory for county lists of state protected species.  
<https://programs.iowadnr.gov/naturalareasinventory/pages/Query.aspx>
- Review USFWS Midwest Region for county lists of federally protected species.  
[www.fws.gov/midwest/endangered/lists/iowa\\_cty.html](http://www.fws.gov/midwest/endangered/lists/iowa_cty.html)
- Other data (soil surveys, aerial photography).
- Field data collection as necessary.
- Based on information from agencies, qualified professionals may need to perform field surveys for the presence/absence and habitat within the project area.

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## Determination of Effect

- Following evaluation one of the following determinations of effect need to be made:

**No effect:** consultation with USFWS is not required, document determination in CE documentation.

**May affect, not likely to adversely affect:** this includes good effects. Informal consultation with USFWS is required.

**May affect, likely to adversely affect:** harm to the species is likely to occur. An incidental take statement from USFWS is required, and formal consultation with USFWS is required in the form of a Biological Assessment and/or Biological Opinion.

**Jeopardy:** harm to the species will occur, formal consultation with the USFWS is required, requires changing the project by using reasonable and prudent alternatives to avoid jeopardy.

- A Determination of Effect form is being created specifically for LPA projects.

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The screenshot shows a web-based form titled "Determination of Effect for Threatened & Endangered Species". The form includes several sections with checkboxes and text input fields. A white arrow points to a redacted area in the "List species" section. Below the form, the text "Federal-aid Overview Seminars" and the number "9" are visible.

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## Concurrence

### ■ Informal:

- Informal concurrence involves sending written project information, a Determination of Effect on federally-listed species/habitat and a request for concurrence to USFWS. For state listed species the Iowa DNR is contacted.
  - Concurrence from USFWS/Iowa DNR concludes informal consultation.
  - If the agencies do not concur, additional surveys or preparation of a Biological Assessment (BA) may be required.

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## Concurrence

### ■ Formal:

- Formal concurrence requires a BA and request for formal consultation by FHWA. The USFWS must reply within 30 days, stating whether they concur with the findings of the BA.
  
- Formal consultation ends 90 days after initiated and a Biological Opinion (BO) must be provided by USFWS 45 days after that. The BO answers question of jeopardy/no jeopardy

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## Species Specific Information

### ■ Indiana bat

- To determine whether or not suitable habitat for Indiana bats may exist review the Iowa DOT Indiana Bat Summer Habitat Procedure Guide and complete the **Iowa DOT Indiana Bat Summer Habitat Documentation Form**.
- Only required when tree clearing occurs in the areas indicated at right. Depending on project type, field work may not be necessary (i.e. repaving, rumble strips, sign work).



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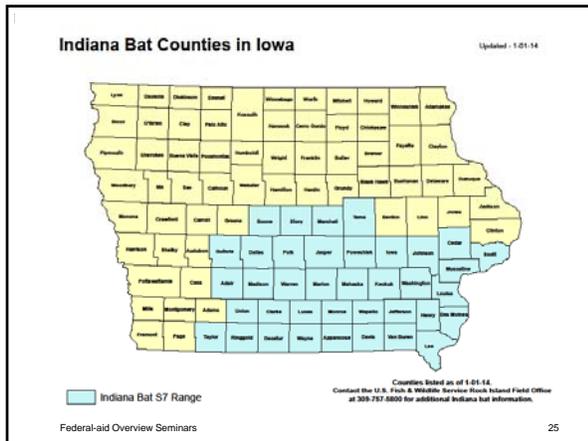
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## Species Specific Information

- Northern long-eared bat**
  - Will be listed as endangered statewide by US Fish and Wildlife Service on October 2, 2014
  - Iowa DOT Specifications will require winter tree clearing on all projects effective October 2014
  - Guidance, to date, from US Fish and Wildlife Service identifies winter tree clearing as mitigation measure
  - Stay tuned for additional information

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## Species Specific Information

- Topeka Shiner**
  - To determine whether or not critical habitat for the Topeka shiner exists review the map at right.
  - Complete the Iowa DOT Documentation Form for Topeka Shiner Habitat.
  - When working in Topeka shiner watersheds, include Standard Note 281-6, Best Management Practices – Iowa DOT 'Special Conditions for Working in Topeka Shiner Watersheds'.

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**Species Specific Information**

- **Bald Eagle**
  - The Bald eagle is not longer listed as threatened or endangered by USFWS or the Iowa DNR.
  - The Bald eagle is protected under the Bald and Golden Eagle Protection Act and the Migratory Bird Treaty Act.
  - The Iowa DNR recommends limiting disturbance of known nesting sites and winter roosts by creating a minimum ¼ mile no disturbance buffer.

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**Species Specific Information**

- **Migratory Birds**
  - Migratory Bird Treaty Act protects migratory birds, their occupied nests, and their eggs from disturbance or destruction.
  - Do no conduct construction activities where active nests are present between the dates of April 1<sup>st</sup> and July 15<sup>th</sup> or until the birds have fledged and left the structure.
  - If nests are discovered after beginning work, or become established, immediately stop work and notify the Engineer.
  - Remove all non-active, existing migratory bird nests and monitor weekly to prevent the establishment of active nests.
  - Contact the Iowa DNR with any questions.

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**Status of Current Events:**

- Iowa DOT and FHWA are currently working on a Section 7 programmatic agreement with USFWS to exclude certain project types from review.
- Those project types will be given a “No Effect” determination.
- Reduce the amount of Section 7 reviews.

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**Status of Current Events:**

- For projects needing review, the programmatic agreement will outline basic steps and measures to be taken.
- NEW – I.M. 3.111, Threatened and Endangered Species. It is intended that LPA's will be able to clearly meet the requirements of the Endangered Species Act by following the new I.M.

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**What is Needed for NEPA?**

- When submitting project concept include:
  - Environmental Data Sheet
  - Response letters from USFWS and Iowa DNR
  - Determination of Effect (consider all species from USFWS and Iowa DNR letters)
  - Photos of impact area (habitat)
  - Figure of Potential Impact Area (including all estimated easements and fee titles)

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**Questions?**

- Reference Documents:
  - I.M. 3.111, Threatened and Endangered Species
- Iowa DOT Contact Person:
  - Mary Kay Solberg
  - Office of Location and Environment
  - 515-239-1741
  - MaryKay.Solberg@dot.iowa.gov

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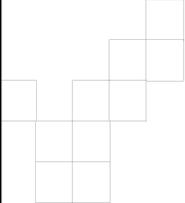
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**National Environmental Policy Act (NEPA) & Section 4(f)**

DeeAnn Newell  
NEPA Section Leader  
Office of Location and Environment  
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)

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■ “NEPA procedures must insure 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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**NEPA - Classes of Action**

- Class I - Environmental Impact Statement
- Class II - Categorical Exclusion
- Class III - Environmental Assessment

23 CFR 771.115

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**NEPA - Classes of Action**

<p><b>Class I Environmental Impact Statement (EIS)</b></p> <p>Required for actions likely to have significant environmental effects that cannot be mitigated.</p> <p>Examples include:</p> <ul style="list-style-type: none"> <li>• A new, controlled-access freeway</li> <li>• A highway project of four or more lanes in a new location</li> </ul>
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**Environmental Impact Statement (EIS)**

- Draft EIS
- Final EIS
- Record of Decision (ROD)

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## EIS Process - DEIS

- NEPA Classification Concurrence
- Prepare Notice of Intent (NOI) and Letter of Initiation (LOI)
- Prepare Memorandum of Understanding (MOU) and Agency Coordination Plan
- Public Information Meeting (scoping) to receive input on preliminary purpose and need
- Agency Scoping Meeting (preliminary purpose and need, build/no-build alternatives, define study area)
- Develop Alternatives
- Begin Environmental Studies
- Public Information Meeting (PIM) to receive input on build/no-build alternatives
- Concurrent Point Meeting 1 and 2 (purpose and need/range of alternatives)
- Public Information Meeting to receive input on alternatives to be carried forward
- Complete Environmental Studies
- Refine Alternatives
- Concurrent Point Meeting 3 (alternatives to carry forward)
- **DEIS signed by FHWA Iowa Division, IA DOT and LPA**

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## EIS Process – FEIS – ROD

- Notice of Availability (NOA)
- Circulate DEIS for public comment and agency review (45-day comment period)
- Public Hearing (15 days following distribution of DEIS)
- Revise EIS based on public and agency comment
- **FEIS signed by FHWA Iowa Division, IA DOT and LPA**
- Circulate FEIS for public and agency comment
- Notice of Availability (NOA)
- Concurrent Point 4 (selected alternative)
- Prepare ROD for review (no sooner than 30 days after NOA in Federal Register or 90 days after NOA for DEIS)
- **ROD signed by FHWA Iowa Division**

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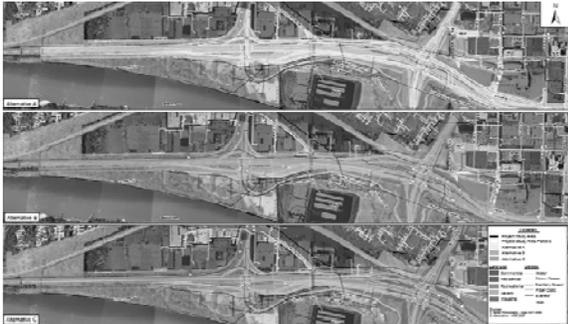
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## Compare Alternatives and their impacts



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## 23 CFR 771.107 Definitions.

Environmental Studies. The investigations of potential environmental impacts to determine the environmental process to be followed and to assist in the preparation of the environmental document.

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## Environmental Impact Statement (EIS)

### Environmental Studies:

- Cultural resources
- Floodplains (acres)
- Prairies (acres)
- Recreational areas
- Refuge areas
- Regulated materials
- Sovereign lands (acres)
- Special rivers
- Streams (feet)
- T&E, wildlife, plant
- Unique land forms (acres)
- Wetlands (acres)
- Woodlands (acres)
- Businesses
- Church's/cemeteries
- Farmland (acres)
- Homes
- Community impacts
- Social impacts
- Environmental justice

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## Environmental Impact Statement (EIS)

- Agency and Public Involvement
  - Early Coordination and Scoping Meeting
  - Public Information Meetings
  - Concurrence Point Meetings
  - Public and Agency Review of Draft EIS
  - Public Hearings
  - Public and Agency Review of Final EIS
  - Notice of Decision (Federal Register)

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## EIS Documentation

- Full Disclosure Document
- Tell the project story
- Keep it brief and use clear concise writing
- Clearly demonstrate regulatory compliance
- Use appropriate graphics to help the reader
- Consistent format

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## NEPA - Classes of Action

### Class II

#### Categorical Exclusion (CE)

Required for 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.

Examples include:

- Pedestrian facilities
- Landscaping
- Routine maintenance, including resurfacing, bridge replacement and rehabilitation, and minor widening

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## (c) and (d) lists

§771.117 Citation	Project/Action Type	§771.117 Citation	Project/Action Type
(c)(01)	Funding	(d)(01)	Grading
(c)(02)	Utilities	(d)(02)	Improvement
(c)(03)	Enhancements	(d)(03)	Interchange
(c)(03)	Safe Routes to School	(d)(04)	Maintenance
(c)(03)	Trail	(d)(05)	New Pavement
(c)(04)	State Highway Safety Plan	(d)(06)	Reconstruction
(c)(05)	Transfer of Federal Lands	(d)(07)	Rehabilitation
(c)(06)	Noise Barriers	(d)(08)	Resurfacing
(c)(07)	Landscaping	(d)(09)	Iowa Clean Air Attainment Program
(c)(08)	Fencing, signs, pavement markings, traffic signals	(d)(10)	Safety Improvement
(c)(08)	Railroad Protective Devices or Crossings	(d)(11)	Bridge
(c)(09)	Emergency Repair	(d)(12)	Culvert
(c)(10)	Scenic Easements	(d)(13)	Corridor Fringe Parking
(c)(11)	Playback for Property	(d)(14)	New Rest Areas
(c)(12)	Rest Areas	(d)(15)	Disposal of excess ROW
(c)(13)	Ridesharing	(d)(16)	Access Control Changes
(c)(14)	Bus and Railcar Rehabilitation	(d)(17)	New bus storage or maintenance
(c)(15)	ADA Requirements	(d)(18)	Restoration
(c)(16)	Transit Administration	(d)(19)	Bus Transfer Facilities
(c)(17)	Purchase Vehicles	(d)(20)	Rail Storage Areas
(c)(18)	Track and Rail bed Maintenance	(d)(21)	Hardship/Early Acquisition
(c)(19)	Purchase or Installation for Transit Facility	(d)(22)	Acquisition of Railroad ROW
(c)(20)	Promulgation of rules, regulations		
(c)(21)	Intelligent Traffic Systems		

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## 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

- Projects subject to 23 CFR 771.117 (c) and (d) lists.
- Established procedures to expeditiously and efficiently process certain actions.
- Iowa DOT certifies that certain projects meet the criteria set forth in the agreement.
- Recent version dated February 2012.

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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 <b>environmental studies</b> and agency coordination	Sponsor provides results of <b>environmental studies</b> and agency coordination
Agency consultation (if needed) is completed by Iowa DOT	Agency consultation (if needed) is completed by Iowa DOT
Project sponsor will complete memorandum summarizing the results.	Iowa DOT will complete the Environmental Review Summary and project certification.
The memorandum 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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**Countersigned CE Process:**

- NEPA Classification Concurrence with FHWA
- Develop Alternative
  - Determine area for environmental clearance (buffer).
- Complete Environmental Studies
  - Calculate impacts for resources identified within the buffer.
  - Coordinate with applicable resource agencies.
- Write memo summarizing the results.
- **CE countersigned by FHWA Iowa Division and Iowa DOT**

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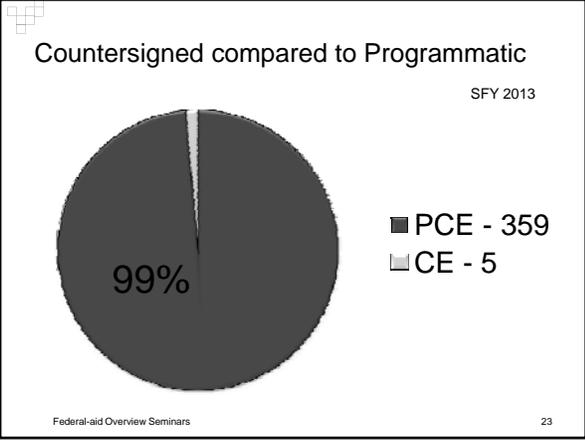
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**NEPA - Classes of Action**

**Class III Environmental Assessment (EA)**

Required for actions that do not qualify as a CE, but where there is insufficient information to determine whether the project's impacts warrant an EIS. An EA may also be a useful tool in that it incorporates environmental considerations with project design and can aid in NEPA compliance when an EIS is not required.

**Examples include:**

- Construction of a new highway interchange
- Adding lanes to an existing highway.

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 Environmental Assessment (EA)

- EA
- Finding of No Significant Impact (FONSI)

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 EA Process:

- NEPA Classification Concurrence
- Public Information Meeting (scoping) to receive input on preliminary purpose and need
- Agency Scoping Meeting (preliminary purpose and need, build/no-build alternatives, define study area)
- Develop Alternatives
- Begin Environmental Studies
- Public Information Meeting (PIM) to receive input on build/no-build alternatives
- Concurrent Point Meeting 1 and 2 (purpose and need/range of alternatives)
- Public Information Meeting to receive input on alternatives to be carried forward
- Complete Environmental Studies
- Refine Alternatives
- Concurrent Point Meeting 3 (alternatives to carry forward)
- **EA signed by FHWA Iowa Division, IA DOT and LPA**
- Notice of Availability (NOA)
- Circulate EA for public comment and agency review (45-day comment period)
- Public Hearing (15 days following distribution of DEIS)
- Concurrent Point 4 (selected alternative)
- **FONSI signed by FHWA Iowa Division**

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 EA Documentation

- Primary purpose of an EA is to help the FHWA and HA decide whether or not an EIS is needed
- Address only those resources or features which the FHWA and the HA decide will have a likelihood for being significantly impacted
- Concise document and should not contain long descriptions or detailed information

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## NEPA Completion Statistics

Cleared Projects	2009	2010	2011	2012	2013
EIS/ROD	1	2	0	0	0
EA/FONSI	8	9	4	3	3
CE	18	18	14	9	5
PCE	871	473	480	498	359
Re-evaluations	49	59	82	131	211
<b>Average Completion Time</b>					
EIS/ROD	69 months (6 years)				
EA/FONSI	3 years				
CE	22 months				
PCE	<1 month				
Re-evaluations					

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99%

- CE - 364
- EA - 3
- EIS - 0

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## Section 4(f)

23 CFR 774

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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)**

The Administration (FHWA) may not approve the use of land from a significant publicly owned **public park, recreation area, or wildlife and waterfowl refuge**, or any significant **historic site** unless a determination is made that:

- (a)(1) There is **no feasible and prudent** avoidance alternative and (2) The action includes all possible planning to minimize harm to the property resulting from such use; or
- (b) (FHWA) determines that the use of the property, including any measure(s) to minimize harm (such as avoidance, minimization, mitigation, or enhancement measures) committed to by the applicant, will have a **de minimis** impact on the property.

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**Feasible and Prudent**

- Feasible
 

Alternative constructed with sound engineering
- Prudent
 

Evaluation of unusual factors or unique problems, such as cost, environmental impacts, social and economic impacts, or community disruption, that reach extraordinary magnitude

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## Section 4(f) *de minimis*

- For historic sites, it is found that the project will have **“no adverse effect”** on the historic property.
- For parks, recreational areas and wildlife and waterfowl refuges, it is where it **will not adversely affect the features, attributes, or activities** qualifying the property for protection under Section 4(f).

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## 4(f) Evaluations

No 4(f)	<ul style="list-style-type: none"> <li>• No impacts to existing 4(f) property OR the property is not subject to 4(f)</li> </ul>
“No Use”	<ul style="list-style-type: none"> <li>• No incorporation of land from a 4(f) property into a transportation facility</li> </ul>
de minimis	<ul style="list-style-type: none"> <li>• “Use,” but because of minimization or mitigation, there is no adverse effect on the qualities or function of the 4(f) property</li> </ul>
Programmatic Evaluation	<ul style="list-style-type: none"> <li>• Minor “Use” of a 4(f) property that meets criteria established by FHWA</li> </ul>
Individual Evaluation	<ul style="list-style-type: none"> <li>• “Use” of a 4(f) property that does not meet Programmatic Evaluation Criteria</li> </ul>

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## Individual Section 4(f)

<h3>Draft Section 4(f)</h3> <ul style="list-style-type: none"> <li>• Introduction</li> <li>• Description of Proposed Action</li> <li>• Description of Section 4(f) Resources</li> <li>• Description of Impacts</li> <li>• Avoidance &amp; Minimization Alternatives</li> <li>• Mitigation</li> <li>• Coordination</li> </ul>	<h3>Final Section 4(f)</h3> <ul style="list-style-type: none"> <li>• All the information included in the draft evaluation</li> <li>• Evidence of unique problems or unusual factors that avoidance alternatives would cause</li> <li>• Evidence of extraordinary costs or other disruption that avoidance alternatives would cause</li> <li>• Evidence that the proposed action includes all possible planning to minimize harm</li> <li>• A summary of the official coordination with all relevant agencies</li> <li>• Relevant documentation of all comments received</li> </ul>
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## Programmatic Section 4(f)

- Historic Bridges.
- Minor Involvements with Public Parks, Recreation Lands, and Wildlife and Waterfowl Refuges.
- Minor Involvements with Historic Sites.
- Independent Bikeway or Walkway Construction Projects.
- Net Benefit to a Section 4(f) Property.

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## Section 4(f) Process

EIS	EA	CE	4(f)	P 4(f)
DEIS	EA		Draft 4(f)	Unsigned P4(f)
FEIS	FONSI	CE	Final 4(f)	Signed P4(f)
ROD				

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## 23 CFR 774.13 Exceptions

- a) **Restoration, rehabilitation, or maintenance** of transportation facilities that are on or eligible for the National Register.
- b) **Archeological sites** that are on or eligible for the National Register.
- c) Designations of park and recreation lands, wildlife and waterfowl refuges, and historic sites that are made, or determinations of significance that are changed **late in the development** of a proposed action.
- d) **Temporary occupancies** of land that are so minimal as to not constitute a use within the meaning of Section 4(f).
- e) **Park road** or parkway projects under 23 U.S.C. 204.
- f) Certain **trails, paths, bikeways, and sidewalks**.
- g) **Transportation enhancement** projects and mitigation activities.

Note:

Exceptions require a letter from the **official with jurisdiction** over the property that states they agree that the project will enhance an activity, feature, or attribute that qualifies the property for Section 4(f) protection.

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# NEPA CLASSIFICATION

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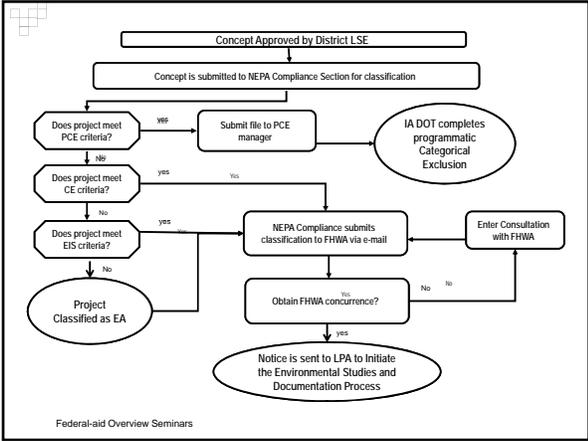
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## Key items for Classification

- Attach a **location map**
- Attach preliminary designs indicating where construction is relative to existing alignment
- Attach photos, maps, plans to indicate the **new ROW limits and all permanent and temporary easements**
- List **potential environmental impacts**
- Identify any **unusual features** not adequately addressed by concept

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## Environmental Review Buffer:

- Create a shape around project limits and provide with concept. Recommend a  $\pm 25$  foot buffer from the limits of construction.
- NEPA will clear all project activities inside the limits of your shape.
- Any project activity outside of the buffer, will require a re-evaluation prior to any action.

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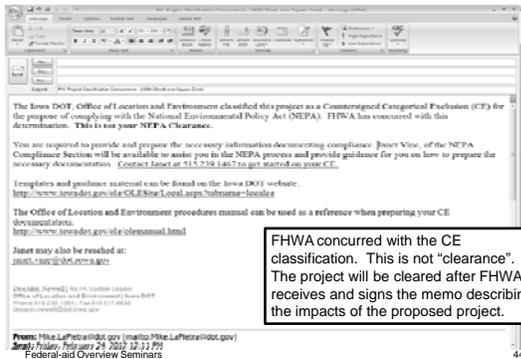
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## Classification Notice to LPA



The Iowa DOT, Office of Location and Environment classified this project as a Categorical Exclusion (CE) for the purpose of complying with the National Environmental Policy Act (NEPA). FHWA has concurred with this determination. **This is not your NEPA Clearance.**

You are required to provide and prepare the necessary information documenting compliance. Janet Vire, of the NEPA Compliance Section will be available to assist you in the NEPA process and provide guidance for you on how to prepare the necessary documentation. Contact Janet at 515.281.1467 to get started on your CE.

Templates and guidance material can be found on the Iowa DOT website:  
<http://www.iowadot.gov/OLESite/Local.aspx?tabname=localce>

The Office of Location and Environment procedures manual can be used as a reference when preparing your CE documentation.  
<http://www.iowadot.gov/ole/olemanual.html>

Janet may also be reached at:  
[janet.vire@iowadot.gov](mailto:janet.vire@iowadot.gov)

From: Mike LaPietra [mailto:Mike.LaPietra@DOT.gov]  
Sent: Friday, February 25, 2010 12:31 PM  
Subject: NEPA Classification

**FHWA concurred with the CE classification. This is not "clearance". The project will be cleared after FHWA receives and signs the memo describing the impacts of the proposed project.**

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## NEPA Classification

- **Classification is not NEPA clearance.** This only indicates what type of documentation is required for your project.
  - **Must wait for official NEPA certification or clearance to begin final design and to purchase ROW.**
    - \* 23 U.S.C. 108 – Advance Acquisition of Real Property
- Map-21 Section 1302 clarifies and expands the types of property interests that may be federally funded and revises the conditions the property may be acquired prior to NEPA review of the project that would use the property

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**NEPA CLEARANCE**

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**NEPA Certification or Clearance**

The NEPA Certifications and Clearances can be found in ERMS as follows:  
 Area: Highway  
 Cabinet: Environmental  
 Search Group: NEPA  
 Drawer: NEPA Document  
 NEPA ID: 6997

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**Questions?**

- Reference Documents:
  - I.M. 3.112, FHWA Environmental Concurrence  
[www.iowadot.gov/ole/olemanual.html](http://www.iowadot.gov/ole/olemanual.html)
  - 23 CFR 771 & 774  
[www.environment.fhwa.dot.gov/index.asp](http://www.environment.fhwa.dot.gov/index.asp)  
[www.iowadot.gov/ole/OLESite/Local.aspx?tabname=localeis2](http://www.iowadot.gov/ole/OLESite/Local.aspx?tabname=localeis2)

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## Iowa DOT NEPA Section Contacts

- DeeAnn Newell  
515-239-1364  
DeeAnn.Newell@dot.iowa.gov
- Janet Vine  
515-239-1467  
Janet.Vine@dot.iowa.gov
- Randy Hylar  
515-233-7977  
Randy.Hylar@dot.iowa.gov
- Jorge Zamora  
515-239-1251  
Jorge.Zamora@dot.iowa.gov
- Matt Oetker  
515-239-1786  
Matthew.Oetker@dot.iowa.gov

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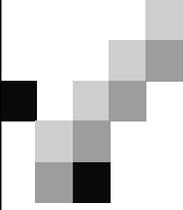
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# Other Permits





## Other Permits

John Dostart  
 Urban Engineer  
 Office of Local Systems  
 Iowa Department of Transportation

Federal-aid Overview Seminars 1

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## Presentation Overview

- 404 Permits
- Iowa DNR Floodplain Permits
- NPDES Storm Water Permits
- Work on Iowa DOT Right-of-Way

Federal-aid Overview Seminars 2

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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 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 a NWP or Regional Permit
    - Usually impacts to WUS > 1.0 acres
- For more information, see I.M. 3.130, 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?
  - Bridges, culverts, or embankments that cross or are placed in a stream or floodplain
  - Channel changes
  - Bank stabilization activities
  - Levees, dams, ponds, excavation, or stockpiling in the floodplain
  - Need for permit depends on drainage area
- For more information, see I.M. 3.410, Preliminary Bridge or Culvert Plans

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## 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  $\geq 1.0$  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 excepted
- For more information, see I.M. 3.140, 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?
  - Entrance Permit
  - Work within State Highway Right of Way
  - Revision of Access and Establishment of a Special Access Connection
  - Utility Accommodation
- For more information, contact the Engineering Operations Technician (EOT) in the appropriate District Office  
[www.iowadot.gov/pdf\\_files/need\\_answers.pdf](http://www.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 Office staff



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# Design and Plan Reviews





## Design and Plan Reviews

Iowa DOT Lettings

**Bob Welper**  
District Local Systems Staff  
Iowa Department of Transportation

Federal-aid Overview Seminars 1

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## Presentation Overview

- Design Guidelines
- Design Exception Process
- Preliminary Plans
- Check and Final Plans
- Other Submittals
- Project Requirements – Recurring Issues

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## Design Guidelines – New Construction or Complete Reconstruction, Rural

- Design Aids Tables (Aids) – IM 3.210
  - Use to determine initial design parameters
  - Values below those in the Aids table will be considered on a project-by-project basis if explanation is provided
- AASHTO Guidelines Tables (Guides) – IM 3.210
  - Use if Aids Table design values cannot be met
  - Design exception is required if Guidelines Table values cannot be met

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**Design Guidelines – New Construction or Complete Reconstruction, Urban**

- **Statewide Urban Design and Specifications (SUDAS) Chapter 5 Roadway Design**
  - Section 5C-1 Geometric Design Tables provides design element values based on classification, land use, and design speed
  - Use “Preferred” tables to determine initial design values; “Acceptable” tables may be used if explanation is provided
  - Design exception is needed if “Acceptable” values cannot be met

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**Design Guidelines – Resurfacing, Restoration, or Rehabilitation (3R) Projects**

- **3R Tables for Rural Collectors and Urban Arterials and Collectors – IM 3.214**
  - Rural Table design values based on project impact and design volume ADT
  - Urban Table design values based on roadway classification and number of lanes
  - 7 Safety Considerations must be addressed for all 3R projects (including urban projects)
  - Design exception is needed for values below those in the 3R tables

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**Design Guidelines – All Highway Projects**

- **Additional Information**
  - IM 3.213 Traffic Barriers (Guardrail and Bridge Rail) for upgrade guidelines
  - IM 3.215 Clear Zone Guidelines provides values for rural roadways based on design speed, traffic volume and sideslopes
  - Clear Zone Tables in SUDAS Chapter 5, Section 5C-1 provide preferred / acceptable values for urban roadways based on design speed, traffic volume, and sideslopes

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**Design Guidelines – Bicycle and Pedestrian Facilities**

- **AASHTO Guide for the Design of Bicycle Facilities**
  - Chapter 12 in both DOT Design Manual and SUDAS Urban Design Standards, now contain the same guidance
  - 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
- **Accessibility Exceptions Certification**
  - Required if the AASHTO design values are not met
  - Certification Form 517118 must be prepared and submitted
  - Include supporting documentation as appropriate

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**Design Guidelines – DOT / SUDAS Compatible Specifications**

- **Technical aspects are common in the following specification sections:**
  - Trench and Trenchless
  - Sanitary Sewers
  - Storm Sewers
  - Water Mains
  - Miscellaneous Landscaping
  - Retaining Walls

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**Design Guidelines – DOT / SUDAS Shared Figures / Standard Road Plans**

<b>SUDAS</b>	Iowa Department of Transportation	REVISION
		New 04-19-11
<b>FIGURE 7010.101</b>	<b>STANDARD ROAD PLAN</b>	<b>PV-101</b>
		SHEET 1 of 8
REVISIONS: New. Replaces PV-1. Added Detail D-2 to sheet 4 and combined with SUDAS.		
<i>Paul D. Wigand</i> <small>SUDAS DIRECTOR</small>		<i>Deanna Mayfield</i> <small>DESIGN METHODS ENGINEER</small>
<b>JOINTS</b>		

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 **Design Exception Process**

- Request as soon as the need is discovered
- Analyze crash data
  - Use crash analysis tools provided by the Office of Traffic and Safety  
[www.iowadot.gov/crashanalysis/index.htm](http://www.iowadot.gov/crashanalysis/index.htm)
- Calculate additional cost needed to bring project up to minimum recommended design values
- Calculate benefit / cost (B/C) ratio
  - B/C under 0.8 = improvement not required
  - B/C = 0.8 to 1.2 = further review required
  - B/C over 1.2 = improvement should be made

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 **Design Exception Process**

- Send request to Administering Office, including:
  - Written justification
  - Proposed mitigation
  - B/C calculations
  - Crash data and other supporting documentation
- For more information:
  - Section 5.4 of the Federal-aid Project Development Guide
  - IM 3.218 Design Exception Process
  - IM 3.216 Economic Analysis (Benefit-to-Cost Ratio)

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 **Preliminary Plans**

- Purpose
  - Present proposed design
  - Provide information for possible further environmental review
  - Indicate anticipated right-of-way needs
- Guidelines
  - Required for Federal-aid projects and certain State-aid projects
  - Not required for projects with only Farm-to-Market or local funds
  - If not required, may still be submitted and reviewed upon request

Federal-aid Overview Seminars 12

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**Preliminary Plans**

- Preparation – All Projects
  - Apply IM 3.405 Preliminary Plans
    - 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
    - Preliminary Plan Checklist helps address key items, including:
      - Project Limits: STIP, NEPA clearance, etc.
      - Typical Sections: Design elements, clear zone, etc.
      - Right of Way: Existing/proposed, acquisition/easement

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**Preliminary Plans**

- Preparation – Structural Projects
  - Also apply IM 3.410 Preliminary Bridge or Culvert Plans
    - Design Guidelines
      - Design year flood
      - Clearances for bridges and roadways above flood elevations
    - Hydraulic Review Criteria
      - Flood Insurance Study area
      - Reduced structure opening
      - Proposed culvert replacing an existing bridge.

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**Preliminary Plans**

- Submittal (electronic required since March 2013)
  - All projects submit per IM 3.405 Preliminary Plans, including:
    - Transmittal letter
    - Preliminary plans
  - Structure projects requiring hydraulic review per IM 3.410 Preliminary Bridge or Culvert Plans, including:
    - Hydraulic calculations
    - Form 1-E
    - Risk Assessment

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**Preliminary Plans**

- Review - DOT
  - District Local Systems staff – compare to STIP and Concept Statement
  - Office of Bridges and Structures – hydraulic review
  - Office of Location and Environment – further environmental review
  - Office of Traffic and Safety, Office of Design, District design/permit staff – primary system impacts
- Review – Other Agencies, as needed
  - Iowa Department of Natural Resources (DNR)
  - State Historical Preservation Office (SHPO)
  - US Army Corps of Engineers (COE)
  - Private utilities

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**Check and Final Plans**

- Purpose
  - Obtain an acceptable set of plans for letting through the Iowa DOT
  - Check Plans should be **100% complete**
- Guidelines
  - Both check and final plans are required for all projects let through the DOT
  - DOT specifications must be used
    - Limited opportunity for editing
    - Bid items

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**Check and Final Plans**

- Preparation – All Projects
  - Apply IM 3.505 Check and Final Plans
    - Continue development of check plans (DOT plan format, standards, design details, etc.)
    - Check and Final Plan Checklist helps address key items, including:
      - Permits: Flood plain, storm water discharge, etc.
      - Bid items: Codes, estimate reference information, method of measurement/basis of payment, etc.
      - Presentation of proposed work: Typical sections, tabulations, plan & profile sheets, etc.

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**Check and Final Plans**

- Preparation – Structural Projects
  - Also apply IM 3.510 Check and Final Bridge or Culvert Plans
    - Standard Design - DOT bridge/culvert standards
    - Non-Standard Design - modified standards or custom details
    - Bridge or Culvert Plan Supplementary Checklist helps address key items, including:
      - Administrative items: Bridge fund participation limits, shop drawing instructions, etc.
      - Presentation of work: Centerline section, situation plan, sounding data, etc.
      - Existing Structure: materials, disposal, etc.

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**Check and Final Plans**

- Submittal (electronic required since March 2013)
  - All projects per IM 3.505 Check and Final Plans, including
    - Transmittal letter
    - Check or final plans
    - Detailed project cost estimate
  - Structure projects also per IM 3.510 Check and Final Bridge or Culvert Plans
    - Structural review 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 and Final Plans**

- Review
  - District Local Systems Staff – compare to preliminary/check plans
    - Current bid items
    - Acceptable estimate reference information notes
    - Date-sensitive details (standards, typicals, etc.)
  - Office of Bridges and Structures
    - Structural review, if required
  - Office of Location and Environment
    - NEPA/SHPO clearance conditions, if required
  - LPA revises and resubmits plans as necessary

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**Other Submittals**

- Project Development Certificate (PDC) - required
  - Confirms letting process may begin for project
  - LPA certifies railroad, utility, work on primary roadway, and right of way clearances
  - Office of Right of Way review may be needed
  - Fully executed PDC must be on file with Office of Contract before advertising for bids
  - For more information:
    - IM 3.750, Project Development Certification Instructions

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**Other Submittals**

- Bid Item Application (BIA) File - required
  - The web-based BIA replaced the BIAS 2000 process for submitting bid item data for letting
  - LPAs or their consultants must have an **Enterprise A&A** account using their exact email address used in TPMS
  - BIA file is created on-line and automatically retrieved by the Office of Contracts
  - For more information:
    - IM 3.520 Electronic Bid Item Information

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**Other Submittals**

- 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:
    - IM 3.760 Public Interest Findings

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**Other Submittals**

- Special Provisions (SP) – as needed
  - Used to modify existing or create new specifications
  - Administering office will assign SP number
  - Must address five areas of interest
    - Description of work
    - Material requirements
    - Construction methods/procedures
    - Method of measurement
    - Basis of Payment
  - For more information:
    - See [www.iowadot.gov/specifications/requirements/RequirementsforSubmittingSpecialProvisions.pdf](http://www.iowadot.gov/specifications/requirements/RequirementsforSubmittingSpecialProvisions.pdf)

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**Other Submittals**

- Railroad Agreement – as needed
  - Railroad agreement is required when work is performed within a railroad's right-of-way
  - Submit when available, with final plans if necessary; otherwise, PIF is required
  - Office of Contracts uses information to assemble railroad data for bidders
  - Railroad insurance and/or flaggers bid items may or may not apply
  - For more information:
    - IM 3.670 Work on Railroad Right-of-Way

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**Other Submittals**

- US Army Corps of Engineers (COE) Permit – as needed
  - If COE 404/401 permit is required, a copy must be on file with DOT for use by bidders
  - Submit with check plans if possible, final plans if necessary; 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

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**Project Requirements – Recurring Issues**

- Topsoil and NPDES Permits
  - If a general NPDES permit is required, project must provide for at least four inches (4") of topsoil on "non-surfaced" disturbed areas
  - Individual NPDES permits may have other requirements
  - Default strip and placement thicknesses are included in specs for the available bid items:
    - Strip/Salvage/Spread: common, easily applied
    - Furnish/Spread: contractor-provided
    - Spread: from existing stockpile

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**Project Requirements – Recurring Issues**

- Pedestrian Facilities During Construction
  - Pedestrian traffic must be addressed in the project traffic control plan and/or staging
  - Design activities include:
    - Determine the current level of accessibility
    - Evaluate the project impact on pedestrian facilities
    - Develop pedestrian accommodations to provide the best accessibility practical during all stages of work
    - Consider local input where additional needs should be addressed (transit stops, schools, medical facilities, public facilities, etc.)

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**Project Requirements – Recurring Issues**

- Pedestrian Facilities During Construction (cont)
  - Consider the following options:
    - Keep facility open with "on-site detour"; safety and accessibility must be addressed
    - Close facility and provide "off-site detour" consistent with accessibility present in the route being closed
    - Provide alternate means ( e.g. accessible shuttles or other forms of assistance)
    - Close the pedestrian facility
  - Temporary pedestrian facilities must be firm, stable, and slip resistant.
  - For more information
    - See DOT Design Manual Ch. 12, Section 12A-4

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## Questions?



- Reference Documents:
  - As listed on previous slides
- Iowa DOT Contact Person:
  - See Iowa DOT Contact List for appropriate Administering Office staff

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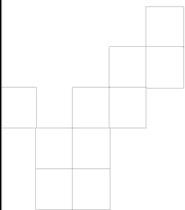
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**Right-of-Way**





# Right-of-Way

Rick Skinner,  
LPA Production Coordinator  
Iowa Department of Transportation

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## 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
- Right of Way Certification

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## When do State/Federal Regulations Apply?

- **Any** Federal funds in any portion of the project
- Even if no Federal funds in ROW
- State law always applies
- State/federal requirements very similar
- If in doubt, let's check it out!

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**Before the ROW Process Begins**

- Clearances come first!
- Letters from LPA Coordinators  
(Sample letters at end of this section)
- Define your right-of-way needs
- Before you advertise your project for construction you must have:
  - Environmental decision
  - ROW Certification
  - Utility agreement

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**The Valuation Process**

- Appraisal Process
  - Qualified for the specific problem
  - Competent reviewer
  - Agency official must determine offer
  - Send full copy to owners
- Appraisal or Appraisal Waiver?
  - We are available to help!

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## The Valuation Process

(continued)

- Appraisal Waiver Process  
(Compensation Estimates)
- Great, if used correctly!
  - Prepared by Acquisition Agent
  - Simple, minor, low value
  - Agency approval necessary
  - Less than \$10,000
  - Review

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## Key Elements of the Valuation Process



P.L. 91-646, as amended Title III, Section 301

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## Basic Acquisition Policies

- Expeditious acquisition
- Notice to owner
- Just compensation offer established
- Prompt written offer to purchase with summary statement



49 CFR 24.102  
49 CFR, Appendix A, 24.102

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## Basic Acquisition Policies

(continued)

- Basic negotiation procedures
- No coercive action
- 90-Day Notice
- Payment before possession
- Conflict of interest
- Documentation of negotiations

49 CFR 24.102  
49 CFR, Appendix A, 24.102

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## The Relocation Process

- All acquiring agencies are required to provide (Iowa Code Section 6B.42(1))
- Owners and tenants displaced qualify
- Displaced includes all property used for project
- Includes all personal property that must be moved

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## Relocation Payments and Services

Residential:

Advisory Services

Fixed or Actual  
Moving Costs

Replacement Housing  
Payments

Nonresidential:

Advisory Services

Fixed or Actual  
Moving Costs

Business  
Reestablishment  
Expenses

Related  
Nonresidential  
Expenses

Note: Persons not lawfully present in the US are not eligible for relocation payments or advisory services. 49 CFR 24.208

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**Parcel Closing**

- Obtain property encumbrance releases
- Prepare settlement statement and deed
- Pay just compensation t the property owner
- Pay property owner's expenses incidental to transfer of title to Agency

49 CFR 24.106

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**Property Management**

- Purchase Preferences
  - Iowa Code Section 306.23
  - Applies to all lands acquired for highway (street/road) projects
- Certifies all ROW processes are in compliance with state and federal regulations, the ROW is clear, and the agency has possession of all necessary property rights

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**Right of Way Certification**  
(continued)

- Exceptions
  - Condemnations
- If certifications cannot be signed by the DOT
  - Reasons will be provided
  - Concerns need to be addressed

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## Questions?

- Reference Documents - State:
  - I.M. 3.605, Right-of-Way Acquisition
  - LPA Manual  
[www.iowadot.gov/lpamannual/](http://www.iowadot.gov/lpamannual/)
  - Office of Right of Way web site  
[www.iowadot.gov/rightofway/](http://www.iowadot.gov/rightofway/)



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## Questions?

- Reference Documents – Federal:
  - Real Estate Acquisition Guide for Local Public Agencies  
[www.fhwa.dot.gov/realestate/lpaguide/index.htm](http://www.fhwa.dot.gov/realestate/lpaguide/index.htm)
  - Uniform Act  
[www.fhwa.dot.gov/realestate/uaintro.htm](http://www.fhwa.dot.gov/realestate/uaintro.htm)
  - Federal Regulations  
[www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title23/23cfr710\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title23/23cfr710_main_02.tpl)  
[www.ecfr.gov/cgi-bin/text-idx?SID=694979f8af7bf5d6b848ce6149bb3c98&tpl=/ecfrbrowse/Title49/49cfr24\\_main\\_02.tpl](http://www.ecfr.gov/cgi-bin/text-idx?SID=694979f8af7bf5d6b848ce6149bb3c98&tpl=/ecfrbrowse/Title49/49cfr24_main_02.tpl)

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## Questions?

### Iowa DOT Contract Persons:

- |   |   |
|---|---|
| ■ Districts 1 and 5<br>Sharon Bowers<br>515-239-1732 (office)<br>515-290-1236 (cell)<br><a href="mailto:Sharon.Bowers@dot.iowa.gov">Sharon.Bowers@dot.iowa.gov</a>    | ■ Districts 3 and 4<br>Steve Chapman<br>515-239-1157 (office)<br>515-290-2857 (cell)<br><a href="mailto:Steven.Chapman@dot.iowa.gov">Steven.Chapman@dot.iowa.gov</a>  |
| ■ Districts 2 and 6<br>Patti Simons<br>515-239-1562 (office)<br>515-290-3202 (cell)<br><a href="mailto:Patricia.Simons@dot.iowa.gov">Patricia.Simons@dot.iowa.gov</a> | ■ Rick Skinner<br>515-239-1749<br><a href="mailto:Rick.Skinner@dot.iowa.gov">Rick.Skinner@dot.iowa.gov</a><br>■ Joe Guckert<br>515-239-1976<br><a href="mailto:Joseph.Guckert@dot.iowa.gov">Joseph.Guckert@dot.iowa.gov</a> |



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Office of Right of Way - Property Management  
800 Lincoln Way, North Annex, Ames, IA 50010

April 14, 2014

**When corresponding, refer to:**

Overton County  
Project: NSRT-84-(104)—2P-13  
City of Pinewood

Brian Elliott  
789 E. 19<sup>th</sup> Street  
Zunis, OT

Dear Mr. Elliott:

Our office has recently learned of your upcoming project. Although the right of way process should not begin until after environmental concurrence and authorization from the Office of Location and Environment has been received, this time can be used for planning and anticipating right of way concerns. We believe that dedicating planning time now may save time, resources and efforts later.

I will serve as your Local Public Agency Coordinator for right of way activities on your project. I hope you will consider me as a resource for your agency as you work your way through your project. I will be contacting you in the near future to offer my assistance. Should you wish to contact me, please call me at (608) 234-5287, or email me at [Judy.Prescott@dot.iowa.gov](mailto:Judy.Prescott@dot.iowa.gov).

I look forward to our partnership.

Sincerely,

Judy Prescott  
Local Public Agency Coordinator

JRP:cay

cc: Marvin Simpson, Office of Right of Way  
Denise Brown, Office of Location and Environment  
Rebecca Peters, Office of Systems Planning  
Darin Bly, District 9 Local Systems Engineer  
Peter Martinez, Property Management  
Judy Prescott, Property Manager





To: **Brian Elliott** Date: **April 14, 2014**  
Organization: **Zunis City Engineer** Project: **NSRT-84-(104)—2P-13**  
From: **Judy Prescott** County: **Overton**  
Office: **Right of Way**  
Subject: **ROW Activities Review Services and Assistance**

We have been informed that your agency has received environmental concurrence and authorization from the Office of Location and Environment for the above referenced project. If requesting participation in Right of Way expenses, your agency will also need authorization from the Administering Office. You are probably anxious to begin the right of way process.

We are available as you and your agency proceed through the Right of Way process. As partners, one of our common goals is to ensure your project funding is not jeopardized as a result of improper right of way activities. Please contact us at (608) 234-5287 if we may be of assistance as you implement your Right of Way processes.

We have prepared a manual to assist you in developing and implementing the Right of Way processes necessary for your project. This manual is available electronically at

[www.dot.state.ia.us/rightofway/propertymanage/lpa\\_manual.html](http://www.dot.state.ia.us/rightofway/propertymanage/lpa_manual.html).

Should the need arise; do not hesitate to call us.

JRP:cay



# Utilities and Railroads





# Utilities and Railroads

**John Dostart**  
Urban Engineer  
Office of Local Systems  
Iowa Department of Transportation

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# Presentation Overview

- Utility Relocations
- Railroads
- Buy America – Utility and RR Work

Federal-aid Overview Seminars 2

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# Utility Relocations

- Utility Accommodation Policies
  - Requires utilities to obtain permit from agency with jurisdiction over the roadway
  - Policies and permits specify the conditions that will allow utilities to be located 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

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**Utility Relocations**

- Reimbursement of Utility Relocation Costs
  - Federal-aid eligibility depends on location, ownership, and reasons for relocation
  - Usually, relocations for which the LPA is obligated or has the authority to pay for are reimbursable with Federal funds; for example:
    - Project requires property in which the utility has an interest (i.e., owns by fee title or occupies by private easement)
  - Rules for projects on Interstate or Primary Highways are different (governed by State laws and policies)

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**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!
    - Each project is different, lead times will vary
    - Provide copies of Preliminary, Check, and Final plans

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**Utility Relocations**

- Coordination with Utilities
  - Utility Coordination Meeting, Iowa Code Section 306.47
    - During design phase
    - All utilities within project limits or corridor shall be invited
  - Recommendations
    - At least 14 day notice
    - Send invitation by certified mail
    - Minutes of meeting to all who were invited

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**Utility Relocations**

- Agreement is required if utility is entitled to compensation
- See I.M. 3.650 for guidance on agreements

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**Utility Relocations**

- For more information:
  - I.M. 3.640, Utility Accommodation and Coordination
  - I.M. 3.650, Federal-aid Participation in Utility Relocations
  - Non-primary Utility Policy  
[www.iowadot.gov/local\\_systems/publications/lpa\\_utility\\_policy.pdf](http://www.iowadot.gov/local_systems/publications/lpa_utility_policy.pdf)
  - Primary Utility Policy  
[www.legis.iowa.gov/DOCS/ACO/IAC/LINC/Chapter.761.115.pdf](http://www.legis.iowa.gov/DOCS/ACO/IAC/LINC/Chapter.761.115.pdf)  
[www.iowadot.gov/traffic/sections/itsauwz/pdf/utility\\_policy.pdf](http://www.iowadot.gov/traffic/sections/itsauwz/pdf/utility_policy.pdf)
  - Utility Contacts web page  
[www.iowadot.gov/traffic/sections/itsauwz/utilityaccommodation.aspx](http://www.iowadot.gov/traffic/sections/itsauwz/utilityaccommodation.aspx)

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**Railroads - Specifications**

- Union Pacific Railroad (UPRR):
  - DS-09016, Maintenance Work on Railroad Right-of-Way (Union Pacific Railroad)  
 (Contractor is required to pay the flagging fees)

**OR**

  - DS-09017, Construction Work on Railroad Right-of-Way (Union Pacific Railroad)  
 (LPA pays the flagger fees. These fees may be reimbursed, see IM 3.680)

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**Railroads – Types of Projects**

- “Maintenance” does not involve any additional railroad right-of-way or modifications to railroad facilities; for example:
  - replacement, resurfacing, or patching of roadway, shoulders, or bridge deck
- “Construction” involves additional railroad right-of-way or modifications to railroad facilities; for example:
  - new overpass / underpass
  - crossing materials replaced or widened
  - crossing signals / gates replaced or relocated

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**Railroads – Specification**

- Canadian National (CN)
  - Developmental Specification is being finalized
  - Until then, write a Special Provision that includes the requirements from the LPA/Railroad agreement is required
  - Maintenance and Construction projects will be covered under the same Developmental Specification

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**Railroads - Specifications**

- BNSF:
  - Supplemental Specification (SS-09001), Work on Railroad Right of Way Burlington Northern and Santa Fe, for construction and maintenance type projects  
(Contractor is required to pay the flagging fees)
  - Currently finalizing Developmental Specification(s). Likely 6 months away from final approval.

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 **Railroads - Specifications**

- Canadian Pacific (CP)
  - Currently draft a Special Provision (SP) includes the CP's requirements for the contractor.
  - Finalizing a Developmental Specification likely within the next 6 months.

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 **Railroads - Specifications**

- For other Railroads
  - A Special Provision (SP) that includes the Railroad's requirements for the contractor may be required
  - Eventually plan to have one specification

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 **Railroads – Notification & Agreement**

- Notification and Agreement for Maintenance Projects (UPRR)
  - May use a counter-signed letter format (see shell document, Attachment A to I.M. 3.670)
  - Describe the proposed work
  - Attach a copy of the project plans and applicable specifications
  - Submit to Railroad at least 2 months prior to final plan submittal to the Iowa DOT

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**Railroads – Notification & Agreement**

- Notice for Construction Projects (UPRR)
  - Provide notice as early as possible (see example included as Attachment B to I.M. 3.670)
  - Describe the proposed work
  - Request an agreement
    - Recommend providing a draft agreement for the Railroad's review and comment
  - Attach a copy of the project plans and applicable specifications

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**Railroads – Notification and Agreement**

- Notification and Agreements for all other railroad have not been standardized
  - Talk to District Local Systems staff for guidance

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**Railroads - Agreement**

- Must have some form of agreement in writing
- Indemnity
  - LPA needs to determine their level of risk
- **No** Contractor Right of Entry or Endorsement allowed unless approved by DOT General Counsel

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**Railroads - Agreement**

- Construction Agreement Content
  - 23 CFR 646 Subpart B, 23 CFR 140 Subpart I incorporated by reference
  - Describe work to be performed by each party
  - Describe method of payment to Railroad
  - Specify the share of project costs that will be paid by each party
  - Include an itemized cost estimate
  - Specify the method the Railroad will use to perform the work
  - Identify the maintenance responsibilities of each party
  - Identify required form and amounts of insurance
  - Reference or attach the plans and specifications
  - Address Railroad flagging requirements
  - Iron and Steel products must comply with Buy America

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**Railroads**

- Reimbursement of Railroad Costs – I.M. 3.680
  - Typically costs railroad costs paid by LPA directly and not through the Prime Contractor
  - Draft agreement between LPA and Railroad must be reviewed and approved by the Iowa DOT
    - If estimated Railroad costs exceed \$100,000 a pre and / or post-audit may be conducted
  - Agreement must include estimate of all costs that will be reimbursed
  - After Railroad costs have been reviewed, approved, and authorized by FHWA, work may begin
  - LPA may submit periodic requests for reimbursement
  - After work is complete, LPA requests final reimbursement of Railroad costs

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**Railroads – Eligible Costs**

- Eligible Railroad Costs
  - Construction
    - Either Railroad forces or private contractor
    - Relocated Railroad signals
    - Flagging costs not paid directly by LPA's Contractor
  - Engineering
    - Either Railroad staff or consultants
  - Right-of-way
    - Eligible only if transportation project requires replacement Railroad facilities

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 **Railroads – Ineligible Costs**

- Costs ineligible for Federal participation:
  - Additional length of bridge provided if certain clearances are exceeded, unless an exception is approved by FHWA:
    - 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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 **Railroads – Bid Items**

- Do not include the bid item for Flaggers
  - Only Office of Contracts
  - Only for A+B
- For Insurance in excess of Federal-aid allowable \$2M/\$6M, check with Administering Office for current requirements

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 **Railroads - IMs**

- For more information:
  - I.M. 3.670, Work on Railroad Right-of-Way
  - I.M. 3.680, Federal-aid Projects Involving Railroads

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**Buy America - 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
- If one contract utilizes Federal-aid, then all contracts within the project, as defined by the NEPA document, are subject to Buy America
- Applies regardless of who pays

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**Buy America - Utility & RR Work**

- If utility relocations or RR work are eligible for Federal-aid, then Buy America applies
- Agreements for eligible utility relocations and RR work must include the Buy America provisions
- Failure to include these provisions or comply with Buy America may jeopardize Federal funding for the entire project!

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**Questions?**

- Reference Documents:
  - As listed on previous slides
- Iowa DOT Contact Person:
  - District Local Systems staff
  - John Dostart
  - 515-239-1291
  - John.Dostart@dot.iowa.gov



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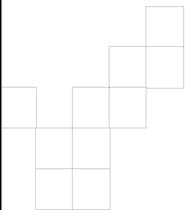
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# Contract Letting and Award





# Contract Letting and Award

## Iowa DOT Process

Ed Kasper, P.E.  
Assistant Office Director  
Office of Contracts  
Iowa Department of Transportation

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# Presentation Overview

- The Letting Schedule
- Contract Award Process
- Contract Documents
- Contract Time
- Addendums
- Federal Regulations

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# The Letting Schedule

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### 1<sup>st</sup> Tuesday two months before letting -Contracts Plan Turn In-

- TPMS
- Programmed (= project plan)
- Complete plan
- Special Provisions if needed
- Electronic bid items
- Completed Project Development Certification
- Justification for any special letting considerations
- Public Interest Findings (PIF) if needed

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### 3<sup>rd</sup> Tuesday two months before letting -Last Day For Plan Changes-

- End of designer requests for plan changes
- Special Provisions finalized
- Estimator begins finalization of:
  - Proposal
  - Contract Periods
  - DOT cost estimate

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### 1<sup>st</sup> Tuesday one month before letting -Finalize Letting Documents-

- Contract Documents complete
  - Contract Period sent out for review
- Authorization requests submitted to FHWA
- DBE Goal Setting Meeting held

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3rd Tuesday one month before letting  
-Advertisement / letting-

- FHWA Authorization-required to advertise
- Contract Documents available to industry
- Changes must be by addendum
- Review proposals and plans at [www.iowadot.gov/contracts/lettings.html](http://www.iowadot.gov/contracts/lettings.html)
- All questions on Bidx Q&A: [www.bidx.com](http://www.bidx.com)

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FHWA Authorization

- Estimate within 30% of program amount
- Federal Aid Participation Limits
  - Design consistent with program
  - Incurable error
  - Route and mile points

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1st Tuesday - month of letting

- Project must be clear for letting
  - Condemnations held
  - Agreements signed

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 **3rd Tuesday**  
**Letting day/advertisement**

- Bidding Deadline – 10:00 AM
- Bid Opening/Reading – 10:30 AM
- Apparent (As Read) bids posted on [www.bidx.com](http://www.bidx.com)

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 **Contract Award Process**

- DOT determines lowest responsive bid
- DOT prepares contract and sends to LPA
  - **READ** the instruction letter
  - Includes Tabulation of Bids (destroy if rejected)
- LPA can award this bid or reject all bids
  - Within 30 days of letting

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 **Cautions**

- LPA can NOT negotiate with contractor prior to DOT award concurrence
- LPA can NOT modify bid before execution of the contract
- LPA can NOT reject a “reasonable bid” in hopes of getting a better bid
- LPA should not award the contract and then delete substantial portions of the contract to get within budget

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**Contract Award - Low Bid**

- Responsible bidders
  - Determined before deadline
  - Don't reject a bidder post letting for not being qualified
- Award of Lowest Responsive Bid
  - Consideration of Time (A+B)
  - Consideration of Value (A-C)
  - Consideration of available funds
    - Added Alternative Bidding

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**Objective Determination of Low Bidder**

LPA may not pick and choose among bidders:

The addition of the alternative construction is to give the engineer prices on both of the proposed types of construction. The Engineer will then determine which type of construction method to use and evaluate the money available at time of signing the contract to determine the appropriate method of construction. The County Engineer and County Board of Supervisors shall determine which proposed types of construction shall be used at the time of the signing of the contract based on the separate bids provided by the contractor. A formal letter shall be submitted to the awarded contractor stating which alternative construction shall be used for this project.

Excerpt from an actual letter submitted by a county

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**Contract Documents**

- 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
  - Open contract periods

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## Contract Time

- Goal is to allow contractor maximum scheduling flexibility
  - Normally latest start date listed
  - Contractor often starts earlier
- Specified calendar date completion avoided
  - Places all weather risks on contractor which increase costs

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## Addendums

- Change contract documents after advertisement
- Request from designer
- Process prior to C.O.B. Friday prior to letting
- Exceptions:
  - Not change pool of prime bidders
  - Not impact how advertised

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## Addendums

- Letting week – Contract’s discretion
- Risks
  - Loss of bidders
  - Withdrawal
 www.bidx.com
- No cost email distribution signup at:  
[www.iowadot.gov/contracts/index.htm](http://www.iowadot.gov/contracts/index.htm)  
 Contracts – “Current Letting Information”

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## Federal Requirements

- DOT standard procedures cover
  - Buy America
  - Non-collusion affidavit
  - Non-discrimination affidavit
  - Lobbying Certification
  - Certification of Non-segregate facilities
  - Exclusion of debarred contractors
  - EEO/AA Compliance Reviews
  - DBE Goal and GFE Evaluation

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## DBE

- Disadvantaged Business Enterprise (DBE)
  - DBE goals assigned with DOT's process
  - DBE commitments made by bidders
  - Evaluation of Good Faith Effort (GFE) made to determine lowest responsive bidder
  - Post award DBE changes must be approved by Civil Rights Section, Office of Employee Services

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## Davis/Bacon Predetermined Wage Rates

- Wages to be paid by the contractor
  - Contractor submits weekly certified payrolls
- Applies to federally funded contracts
  - Also applies to non-Federal portions/projects

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**Davis/Bacon  
Predetermined Wage Rates**

- Doesn't apply to contracts not on a federal highway route
  - Bridges not on federal aid system
  - Trails not on federal aid system right of way
  - Building contracts
  - Exception: TAP projects – always D/B

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**Questions?**

- Reference Documents:
  - I.M. 3.730, Iowa DOT Letting Process
  - Contract Letting Guidelines  
[www.iowadot.gov/contracts/LettingGuidelines.pdf](http://www.iowadot.gov/contracts/LettingGuidelines.pdf)
  - Contracts homepage:  
[www.iowadot.gov/contracts/index.htm](http://www.iowadot.gov/contracts/index.htm)
  - Bidx Iowa DOT homepage:  
[www.bidx.com/ia/main](http://www.bidx.com/ia/main)



Federal-aid Overview Seminars 2014 23

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**Questions?**

- Office of Contracts Contact Persons:  
Authorization, Project Development Certificates
  - Danny Stokes  
515-239-1414  
[danny.stokes@dot.iowa.gov](mailto:danny.stokes@dot.iowa.gov)



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## FUTURE LETTING SCHEDULE CRITICAL DATES (not adjusted for holidays)

Letting Date (1)	Final plan and PDC to Admin. Office	Plan Turn-in to Contracts	Last day for plan changes	Contract periods completed	Contracts estimates completed (2)	DBE Goal Setting (3)	FHWA Authorization (4)	Letting documents available for printing (5)	Last day to request changes by Addendum
06/17/14	03/18/14	04/01/14	04/15/14	04/28/14	05/02/14	05/06/14	05/20/14	05/20/14	06/03/14
07/15/14	04/22/14	05/06/14	05/20/14	05/26/14	05/30/14	06/03/14	06/17/14	06/17/14	07/01/14
08/19/14	05/20/14	06/03/14	06/17/14	06/23/14	06/27/14	07/01/14	07/15/14	07/15/14	08/05/14
09/16/14	06/17/14	07/01/14	07/15/14	07/28/14	08/01/14	08/05/14	08/19/14	08/19/14	09/02/14
10/21/14	07/22/14	08/05/14	08/19/14	08/25/14	08/29/14	09/02/14	09/16/14	09/16/14	10/07/14
11/18/14	08/19/14	09/02/14	09/16/14	09/29/14	10/03/14	10/07/14	10/21/14	10/21/14	11/04/14
12/16/14	09/23/14	10/07/14	10/21/14	10/27/14	10/31/14	11/04/14	11/18/14	11/18/14	12/02/14
01/21/15	10/21/14	11/04/14	11/18/14	11/24/14	11/28/14	12/02/14	12/16/14	12/16/14	01/07/15
02/17/15	11/18/14	12/02/14	12/16/14	12/29/14	01/02/15	01/06/15	01/21/15	01/21/15	02/03/15
03/17/15	12/23/14	01/06/15	01/20/15	01/26/15	01/30/15	02/03/15	02/17/15	02/17/15	03/03/15
04/21/15	01/20/15	02/03/15	02/17/15	02/23/15	02/27/15	03/03/15	03/17/15	03/17/15	04/07/15
05/19/15	02/17/15	03/03/15	03/17/15	03/30/15	04/03/15	04/07/15	04/21/15	04/21/15	05/05/15
06/16/15	03/24/15	04/07/15	04/21/15	04/27/15	05/01/15	05/05/15	05/19/15	05/19/15	06/02/15
07/21/15	04/21/15	05/05/15	05/19/15	05/25/15	05/29/15	06/02/15	06/16/15	06/16/15	07/07/15
08/18/15	05/19/15	06/02/15	06/16/15	06/29/15	07/03/15	07/07/15	07/21/15	07/21/15	08/04/15
09/15/15	06/23/15	07/07/15	07/21/15	07/27/15	07/31/15	08/04/15	08/18/15	08/18/15	09/01/15
10/20/15	07/21/15	08/04/15	08/18/15	08/24/15	08/28/15	09/01/15	09/15/15	09/15/15	10/06/15
11/17/15	08/18/15	09/01/15	09/15/15	09/28/15	10/02/15	10/06/15	10/20/15	10/20/15	11/03/15
12/15/15	09/22/15	10/06/15	10/20/15	10/26/15	10/30/15	11/03/15	11/17/15	11/17/15	12/01/15
01/20/16	10/20/15	11/03/15	11/17/15	11/23/15	11/27/15	12/01/15	12/15/15	12/15/15	01/06/16
02/16/16	11/17/15	12/01/15	12/15/15	12/28/15	01/01/16	01/05/16	01/20/16	01/20/16	02/02/16
03/15/16	12/22/15	01/05/16	01/19/16	01/25/16	01/29/16	02/02/16	02/16/16	02/16/16	03/01/16
04/19/16	01/19/16	02/02/16	02/16/16	02/22/16	02/26/16	03/01/16	03/15/16	03/15/16	04/05/16
05/17/16	02/16/16	03/01/16	03/15/16	03/28/16	04/01/16	04/05/16	04/19/16	04/19/16	05/03/16
06/21/16	03/22/16	04/05/16	04/19/16	04/25/16	04/29/16	05/03/16	05/17/16	05/17/16	06/07/16
07/19/16	04/19/16	05/03/16	05/17/16	06/29/16	07/03/16	07/07/16	06/21/16	06/21/16	07/05/16
08/16/16	05/24/16	06/07/16	06/21/16	06/27/16	07/01/16	07/05/16	07/19/16	07/19/16	08/02/16
09/20/16	06/21/16	07/05/16	07/19/16	07/25/16	07/29/16	08/02/16	08/16/16	08/16/16	09/06/16
10/18/16	07/19/16	08/02/16	08/16/16	08/29/16	09/02/16	09/06/16	09/20/16	09/20/16	10/04/16

(-2 weeks prior to Contracts turn in) **1st Tuesday, 2 months prior of letting**

(-8 days prior to DBEGoal Setting) **2 months prior of letting**

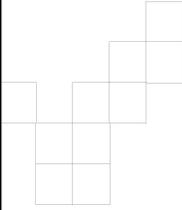
(-4 days prior to DBEGoal Setting DBE) **1st Tuesday, 1 month prior of letting**

(Day of FHWA Authorization) **1st Tuesday, month of letting**



# Construction Oversight





# Construction Oversight

Brenda Boell  
Office of Local Systems  
Iowa Department of Transportation

Federal-aid Overview Seminars 1

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# Presentation Overview

- Pre-construction Meeting
- Project Inspection Duties
- Materials Testing and Certification
- Change Orders
- Equal Employment Opportunity / Affirmative Action (EEO / AA)
- Davis-Bacon Wage Rates
- Prompt Payment
- Buy America
- Training Opportunities

Federal-aid Overview Seminars 2

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# Pre-construction Meeting

- General considerations
  - When should it be scheduled?
  - Who needs to attend?
- Administrative details
  - Change Orders
  - Davis-Bacon Wage Rates (if applicable)
  - Poster boards
  - Project supervision
  - Weekly Report of Working Days
  - Safety requirements
  - Storm Water Pollution Prevention Plan
    - Erosion Control Implementation Plan
  - Payment to the contractor

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 **Pre-construction Meeting**

- **Project details**
  - Start date, staging, signing
  - Construction staking
  - Subcontractors and subcontract items
  - DBE participation – Commercially Useful Function
  - Erosion Control Implementation Plan
  - Plan Quantity Agreements

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 **Pre-construction Meeting**

- **Project Details (Cont.)**
  - Special notes (plans, proposal, Special Provisions)
  - Special considerations (wetlands, environmentally sensitive areas, historical sites)
  - Dates of interest (fairs, celebrations, gatherings)
- **For more information:**
  - See Section 2.11 of the Construction Manual

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 **Project Inspection Duties**

- Carefully review plans and specifications
- Monitor contract compliance
- Identify unacceptable work
- Provide or monitor testing
- Prepare or collect documentation
- Maintain a fair, honest attitude

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 **Materials Testing and Certification**

- **Projects let by the Iowa DOT**
  - Testing and certifications required as per Standard Specifications and Materials Instructional Memorandums (Materials I.M.s)
- **Materials I.M. 101**
  - Worksheets for review of different types of projects
  - General procedures and guidelines for review
  - Materials certification forms

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 **Materials Testing and Certification**

- **Materials I.M. 103**
  - Outlines the procedures to be followed for materials quality assurance inspection and other materials associated services performed for counties, cities, and other state agencies.
  - Defines required inspection levels based on project category
  - Specifies inspection services and costs that may be provided by the Iowa DOT for LPA projects

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 **Materials Testing and Certification**

- **Materials I.M. 204**
  - Describes the materials acceptance and independent assurance requirements
  - Appendices provide sampling and testing directions to document tests conducted, method used, minimum frequencies, sources, etc.
  - Specifies level of testing & certifications required
  - Appendix X shows requirements for small quantities

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**Materials Testing and Certification**

- Materials I.M. 213
  - Specifies the training and certifications required for testing personnel
- Projects let locally
  - Testing as per local agencies' specifications
  - DOT will provide materials inspection upon request as workload and time permits
  - Iowa DOT accepts Project Engineer's certification that all materials were in accordance with plans and specifications

Federal-aid Overview Seminars 10

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**Change Orders**

- What is a Change Order?
  - A written order to the contractor to add or delete an item of work, increase or decrease contract quantities, or change the contract documents.
  - On measured items, only **required** for deviations of contract price in excess of +/- \$50,000
  - Documented on Change Order (Form 830240)

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**Change Orders**

- Review
  - Classifications
    - Substantial / non-substantial
    - Participating / non-participating
  - Document justification for additional costs
  - Address impacts to contract time

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**Change Orders**

- Required Approvals
  - Contractor
  - LPA Project Engineer
  - Iowa DOT Administering Office
- For more information:
  - See Section 2.36 of the Construction Manual

Federal-aid Overview Seminars 13

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**Equal Employment Opportunity / Affirmative Action (EEO / AA)**

- Contractor / subcontractor policy
  - Prior to awarding a contract or approving a subcontract over \$10,000, an approved EEO policy must be on file with the Iowa DOT Office of Contracts.
  - Required policy provisions
    - General operating statement
    - Designation of EEO officer
    - Definition of EEO / AA
    - Company's recruitment policy
    - Certification that company does not possess segregated facilities
    - Plan for employee training and promotion

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**Equal Employment Opportunity / Affirmative Action (EEO / AA)**

- Poster Board
  - Certain notices and posters related to EEO / AA, OSHA, and other requirements must be displayed
  - Verify required notices and posters at the beginning of the project and every six months for projects that extent over a longer period of time
  - Document compliance on Project Engineer's EEO Project Site Inspection / Wage Rate Report (Form 650170)
- For more information:
  - See Section 2.22 of the Construction Manual

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**Davis-Bacon Wage Rates**

- **Applicability**
  - All Federal-aid contracts greater than \$2,000 involving work on a Federal-aid route (all Federal Functional Classifications except Local and Rural Minor Collectors)

Federal-aid Overview Seminars 16

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**Davis-Bacon Wage Rates**

- **Certified Transcript of Labor Payroll (Form 830176)**
  - Must be submitted to the Project Engineer weekly
    - Must include all work done by prime and subs working that week
    - If not received within 2 weeks (3 weeks for subs) payment should be withheld
  - Prime must sign statement of compliance on all payrolls submitted by subcontractors
  - Transcripts will be periodically checked for correctness and completeness

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**Davis-Bacon Wage Rates**

- **Wage Rate Interviews**
  - Required at least once or every 6 months for all prime contracts and any subcontracts greater than \$10,000
  - Verifies workers are being paid the required wages
  - Document interviews on Project Engineer's EEO Project Site Inspection/Wage Rate Report (Form 650170)
  - Not required for contractors that participate in the Prevailing Wage Notification Program
- **For more information:**
  - See Section 2.24 of the Construction Manual

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**Prompt Payment**

- **Governing Laws and Regulations**
  - 49 CFR 26.29 – requires prompt payment for subcontractors
  - Iowa Code Section 573.12 – covers payments and retention for contractors and subcontractors
- **Progress Payments**
  - LPA must pay prime at least monthly
    - Payment due 14 days after work is completed and paperwork submitted
  - Prime must pay subs no later than:
    - 7 days after the prime is paid, or
    - 7 days after the prime could have been paid
    - Within 30 days full payment (including retention) must be made

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**Prompt Payment**

- **Certification of Subcontractor Payments (Form 518002)**
  - Submitted by prime to Project Engineer with final paperwork
  - Documents payments to subs

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**Prompt Payment**

- **Complaint Process**
  1. Prime contacts the Project Engineer (or sub contacts the prime) and makes a written request for payment of completed work.
  2. Prime or sub submits a written complaint to the Iowa DOT.
  3. Iowa DOT investigates and responds to prime or sub within 15 business days.

Federal-aid Overview Seminars 21

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 **Buy America**

- Buy America requires the use of domestic iron and steel products in Federal-aid projects.
- This includes all contracts within the scope of the project, as defined by the NEPA document, **even those with no Federal funds.**

Federal-aid Overview Seminars 22

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 **Buy America – Specification changes**

- Article 1107.06
  - On **all** contracts, **all** products of iron, steel, or a coating of steel which are incorporated into the work shall be of domestic origin and shall be **melted and manufactured** in the United States.
  - The Engineer may allow **minimal** amounts of these materials from foreign sources, provided the cost does not exceed 0.1% of the contract sum or \$2,500, whichever is greater.

Federal-aid Overview Seminars 23

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 **Buy America – MAP-21 changes**

- More information about the MAP-21 changes is available at:  
[www.fhwa.dot.gov/map21/qandas/qabuyamerica.cfm](http://www.fhwa.dot.gov/map21/qandas/qabuyamerica.cfm)
- More comprehensive information on Buy America is available at:  
[www.fhwa.dot.gov/construction/contracts/buyam\\_qa.cfm](http://www.fhwa.dot.gov/construction/contracts/buyam_qa.cfm)

Federal-aid Overview Seminars 24

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 **Buy America - Materials IM changes**

- Questions?
  - Greg Mulder  
515-239-1843  
Greg.Mulder@dot.iowa.gov

Federal-aid Overview Seminars 25

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 **Training Opportunities**

- Technical Training and Certification Program (TTCP)
  - Sign up via Office of Materials Technical Training and Certification Program (TTCP) web site:  
[www.iowadot.gov/training/index.html](http://www.iowadot.gov/training/index.html)
- Basic and Advanced Contract Administration for Local Agencies
  - Hands-on, practical instruction for construction inspectors
  - Sign up using "Special Classes" registration form provided on the TTCP web site

Federal-aid Overview Seminars 26

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 **Training Opportunities**

- On-Line Training
  - Web based Courses available in these areas:
    - Certification Review Courses
      - Refresher & only test is required
    - Construction
    - Employee Development
    - Maintenance
    - Materials
    - Safety

[www.iowadot.gov/training/web\\_courses.html](http://www.iowadot.gov/training/web_courses.html)

Federal-aid Overview Seminars 27

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 **Training Opportunities**

- District Spring Meetings
  - Contract Administration topics are often included
  - Updates to requirements are discussed

Federal-aid Overview Seminars 28

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 **Questions?**

- Reference Documents:
  - Electronic Reference Library (ERL)
    - Standard Specifications for Highway and Bridge Construction
    - Construction Manual
    - Materials I.M.s  
[www.iowadot.gov/erl/index.html](http://www.iowadot.gov/erl/index.html)
- Iowa DOT Contact Person:
  - See Iowa DOT Contacts List for appropriate Administering Office staff



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## Buy America Questions & Answers

Updated 12/20/2012

**Question 1:** Did MAP-21 make any changes to Buy America?

**Answer 1:** Yes. Section 1518 of MAP-21 amends the Buy America statute at 23 U.S.C. 313 to require the application of Buy America to **all contracts** eligible for assistance under title 23 within the scope of a finding, determination, or decision under the National Environmental Policy Act (NEPA), regardless of funding source, if at least one contract within the scope of the same NEPA document is funded with Federal funding provided under Title 23.

**Question 2:** What is the effective date of the Buy America amendment of MAP-21 section 1518?

**Answer 2:** The effective implementation date of section 1518 is October 1, 2012. Thus, on or after October 1, 2012, if one contract within the scope of a NEPA document is awarded using Federal-aid funding, then the Buy America provisions would apply to all contracts within the scope of the NEPA document, regardless of the source of funding. FHWA anticipates issuing a Notice of Proposed Rule Making for those regulations in 2013.

**Question 3:** Does MAP-21 require States to include Buy America provisions in non-Federal-aid highway contracts?

**Answer 3:** Yes, if the non-Federal-aid highway contract is included within the scope of a NEPA document and at least one other contract within the scope of the same NEPA document is funded or will be funded with Federal-aid highway funds. Awarding any such non-Federal-aid highway contract on or after October 1, 2012, without applicable Buy America provisions would render all contracts within the scope of the NEPA document ineligible for Federal-aid highway funds.

**Question 4:** What happens if a project is funded by Federal-aid highway funds on one contract and the project also has a non-Federal-aid highway contract without Buy America provisions and the non-Federal-aid highway contract was awarded before October 1, 2012?

**Answer 4:** If the non-Federal-aid highway contract without Buy America provisions was awarded before October 1, 2012, then the rest of the contracts within the scope of the NEPA document would remain eligible for Federal-aid funding as long as they contain the Buy America provisions. However, all contracts within the scope of the same NEPA document that are awarded on or after October 1, 2012, must include appropriate Buy America provisions.

**Question 5:** FTA and FHWA have slightly different Buy America requirements, particularly as they apply to manufactured products. On a project with mixed FTA-FHWA funding, which Buy America rules apply?

**Answer 5:** Further direction will be coordinated and provided by FHWA and/or FTA at a future date.

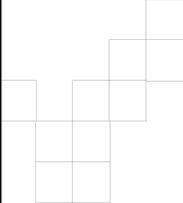
**Question 6:** Does Federal participation in contracts or agreements for environmental studies and document preparation, right of way acquisition, preliminary engineering and other non-construction work invoke the application of Buy America to the project under Section 1518 of MAP-21, even if no Federal funds are used in the construction? (*added 12/20/2012*)

**Answer 6:** Yes. Section 1518 of MAP-21 (codified at 23 U.S.C. 313(g)) provides that Buy America applies to all contracts eligible for assistance under title 23, United States Code, for a project carried out within the scope of the applicable finding, determination, or decision under the National Environmental Policy Act (NEPA) regardless of the funding source of such contracts if at least one contract for the project is funded with title 23 funds. Therefore, if Federal funds are used for any activity within the scope of a NEPA decision, then Buy America applies to the entire project. There is no limitation in the statute that the Federal funds be used only in construction contracts. If any contract or agreement for such work is executed after October 1, 2012 all construction contracts on that project will be subject to Buy America regardless of whether Federal funds are used in any of the contracts for construction.



# Project Close-out





## Project Close-out for Highway Projects

**Brian Catus**  
District Local Systems Engineer  
Iowa Department of Transportation

Federal-aid Overview Seminars 1

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## Presentation Overview

- Inspection and Acceptance of Field Work
- Pre-Audit Checklist and Procedures
- Semi-final Voucher / Pay Estimate
- Construction and Materials Audits
- Final Voucher / Pay Estimate
- Final Forms Packet
- Final Payment and Federal Reimbursement
- Interest Payments (IM 3.930)
- Project Close-out

Federal-aid Overview Seminars 2

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## Instructional Memorandum 3.910

Final Review, Audit, and Close-out Procedures for Federal-aid Projects

- **Attachment A** – Project Close-out Process Overview Flowchart
- **Attachment B** – Final Review and Audit Process Flowchart – Highway or Bridge Construction
  - Typically administered by District Local Systems Engineer Office (DLSE)
- **Attachment C** – Final Review and Audit Process Flowchart – Non-highway Construction, DOT Specifications
  - Typically administered by Systems Planning in Ames

Federal-aid Overview Seminars 3

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**Instructional Memorandum 3.910**  
 Final Review, Audit, and Close-out Procedures for  
 Federal-aid Projects

- **Attachment D** – Final Review and Audit Process Flowchart – Non-highway Construction, Non-DOT Specifications
  - **Typically administered by Systems Planning in Ames**
- **Attachment E** – Pre-audit Checklist (Word)
  - Revision to attachment will be coming.
- **Attachment F** – Final Forms Packet Checklist (Word)
  - Revision to attachment will be coming.

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**Inspection and Acceptance of Field Work**  
 Attachment B Flowchart Process

- ▶ LPA Project Engineer (Engineer) contacts DLSE that Prime Contractor is nearly completed with work.
- ▶ DLSE visits project and work with Engineer to make final punch list to complete project
- ▶ Engineer have punch list items completed and notify DLSE of completion and submit final working day report.
- ▶ **Statement of Completion**
  - ▶ Documented on Statement of Completion and Final Acceptance of Work (Form 830435)
  - ▶ Engineer signs Form 830435 and sends to DLSE
    - ▶ 50 day count for interest payment begins
  - ▶ DLSE reviews, signs, and sends copy to Engineer
  - ▶ Engineer sends a copy to Contractor

Federal-aid Overview Seminars 5

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**Pre-audit Checklist and Procedures**  
 Attachment B Flowchart Process

- **After field work is completed the Engineer**
  - Reviews and completes Pre-audit Checklist (Attachment E to I.M. 3.910)
  - Reviews and completes Materials audit forms as per Materials I.M. 101
  - Sends Pre-audit Checklist and Materials audit forms to DLSE
- **DLSE forwards Materials audit forms to District Materials**

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**Semi-final Voucher / Pay Estimate**  
Attachment B Flowchart Process

- ▶ Begins after Engineer's Pre-audit
  - ▶ "voucher" refers to Contractor Pay System Projects (Federal-aid projects on the Farm-to-Market System)
  - ▶ "pay estimate" refers to Reimbursement Projects (all other Federal-aid projects)
- ▶ Engineer
  - ▶ Prepares semi-final voucher / pay estimate and list of all remaining documents required for final payment
  - ▶ Sends to Contractor; notes quantities are subject to DOT audit
- ▶ Contractor
  - ▶ Reviews semi-final voucher / pay estimate
  - ▶ Notifies Engineer of any areas of disagreement

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**Semi-final Voucher / Pay Estimate**  
Attachment B Flowchart Process

- Engineer
  - Works with Contractor to resolve any disputed quantities, working days, liquidated damages
  - Sends revised semi-final voucher / pay estimate if needed
- Contractor
  - Signs semi-final voucher or approves semi-final pay estimate
- Engineer
  - Pays Contractor as per semi-final voucher / pay estimate (only retainage withheld)

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**Construction and Materials Audits**  
Attachment B Flowchart Process

- District audit begins after Pre-audit
- Methods of audit selection
  - All projects
  - Systems based
- DLSE Office
  - Reviews Pre-audit Checklist and conducts audit
  - Documents corrective action needed on the Audit of Final Pay Estimate (Form 830301) and sends to Engineer

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**Construction and Materials Audits**  
Attachment B Flowchart Process

- **District Materials**
  - Conducts Materials audit
  - Documents corrective actions and / or additional documentation needed and sends to Engineer
- **Engineer**
  - Takes corrective actions required by Construction and Materials audits
  - Dates corrections on Form 830301 and sends copy to DLSE
  - Revises final quantities if needed

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**Final Voucher / Pay Estimate**  
Attachment B Flowchart Process

- Begins after DOT audits are complete and semi-final voucher / pay estimate processed
- Engineer sends final voucher / pay estimate to Contractor for review and signature
- Contractor returns final voucher / pay estimate to Engineer with other required paperwork
  - Day Zero count for interest payment begins

Federal-aid Overview Seminars 11

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**Final Forms Packet**  
Attachment B Flowchart Process

- ▶ **Engineer**
  - ▶ Reviews final paper work provided by Contractor
  - ▶ Prepares and sends Final Forms Packet including Final Payment form 830436 and approved final voucher / pay estimate to DLSE (Attachment F to I.M. 3.910)
- ▶ DLSE reviews and sends Final Forms Packet and/or Form 830436 to District Materials
- ▶ District Materials reviews and if acceptable, signs Form 830436 and sends to DLSE
- ▶ **DLSE**
  - ▶ Approves final voucher / pay estimate
  - ▶ Signs Form 830436 and sends copy to Engineer

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**Final Payment and Federal Reimbursement**  
Attachment B Flowchart Process

- Contractor Pay Projects
  - DLSE sends final paperwork to Office of Finance
  - Finance processes final voucher and final payment
  - Finance processes final Federal reimbursement and credits County's FM account
- Reimbursement Projects
  - Engineer makes final payment and requests final Federal reimbursement from DLSE
  - DLSE reviews, accepts, and sends request to Finance
  - Finance reviews, accepts and processes final Federal reimbursement to LPA

Federal-aid Overview Seminars 13

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**Interest Payments**  
Attachment B Flowchart Process

- ▶ If the Contractor is not paid within 50 days of the final acceptance date (FAD) interest may be due
  - ▶ FAD = date of Engineer's signature on Form 830435
- ▶ Interest will begin to accrue 31 days after all final paper work has been received from the Contractor (Day Zero)
- ▶ Interest Payment Information – County and City Projects (Form 830236) documents when interest will begin to accrue
  - ▶ Engineer submits with Final Forms Packet
  - ▶ For reimbursement projects, LPA is responsible to make interest payment if due
- ▶ For more information:
  - ▶ See I.M. 3.930, Interest Payment Procedures

Federal-aid Overview Seminars 14

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**Project Close-out**  
Attachment A Flowchart Process

- ▶ Begins after final Federal reimbursement has been made to the LPA's Office for all eligible costs:
  - ▶ Construction contract costs
  - ▶ Consultant costs
  - ▶ Railroad costs
  - ▶ Utility costs
  - ▶ In-house Engineering costs
- ▶ Finance prepares final amendment / modification (amend / mod) to project in the Federal Highway Administration (FHWA) Fiscal Management Information System (FMIS)
- ▶ FHWA reviews, and if acceptable, electronically signs final amend / mod

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**Project Close-out**  
Attachment A Flowchart Process

- Finance sends a copy of signed final amend / mod to Administrating Office and other Iowa DOT offices
- Admin Office provides copies to LPA and District Planner
  - Iowa DOT and Engineer's files must be retained for 3 years from date of FHWA's acceptance of final amend / mod
- District Planner provides copy to RPA or MPO

Federal-aid Overview Seminars 16

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**Questions?**

- Reference Documents:
  - Section 9 of the Guide
  - I.M. 3.910, Final Review, Audit, and Close-out Procedures for Federal-aid Projects
  - I.M. 3.930, Interest Payment Procedures
- Iowa DOT Contact Person:
  - See Iowa DOT Contacts list for appropriate Administering Office



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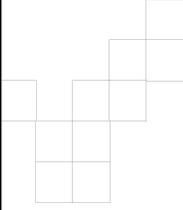
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## Project Close-out for Non-Highway Projects

Debra Arp  
Office of Systems Planning  
Iowa Department of Transportation

Federal-aid Overview Seminars 1

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## Presentation Overview

- Process Differences for Non-Highway Projects
- Materials Acceptance Requirements
- In-Kind Contributions

Federal-aid Overview Seminars 2

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## Process Differences for Non-Highway Projects

- All references to District Local Systems Engineer (DLSE) are replaced with Office of Systems Planning Project manager
- For projects constructed not using Iowa DOT specifications then Certificate of Completion and Final Acceptance of Agreement Work (Form 640003) (NOT 830435) is signed by the LPA and their engineer when project complete – Systems Planning Office Director signs acknowledging completion of the project per the funding agreement
- Systems Planning performs a final audit on all of the projects they manage

Federal-aid Overview Seminars 3

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 **Materials Acceptance**

- Material sources, project inspection, and certification shall follow Materials I.M. 204 for Iowa's Clean Air Attainment projects (Category 1) and Transportation Enhancement, Federal Recreational Trail, Safe Routes to School, and National Scenic Byway projects (Category 2)

Federal-aid Overview Seminars 4

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 **Materials Acceptance (continued)**

- Following Materials I.M.s 204 and 205 for Category 1 projects requires the District Materials Engineer to sign the 830436 form – same as highway projects
- The LPA must contact the Iowa DOT District Materials Engineer to determine what inspection process requirements have to be done before the Iowa DOT can sign Form 830436

Federal-aid Overview Seminars 5

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 **Materials Acceptance (continued)**

- For Category 2 projects let using Iowa DOT specifications the Iowa DOT District Materials Engineer, when requested and paid for by the Local Public Agency (LPA), will perform the source inspection tasks in Materials I.M. 204 otherwise this work shall be done by the LPA or their engineer. The LPA's project engineer will certify the work was completed in substantial compliance with the plans, specifications and agreements by signing Form 830436.

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## Materials Acceptance (continued)

- For Category 2 projects let using local specifications the LPA and their project engineer will certify the work was completed in substantial compliance with the plans, specifications and agreements by signing Form 640003

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## 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\*

\* Allowed only for Transportation Enhancement, Federal Recreational Trails, and Scenic Byways 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
  - \* Federal Recreational Trail projects may count services provided up to 18 months prior to FHWA Authorization
  - Property may be donated any time during project development (within reason)

Local Systems University 10

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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
  - Admin Office reviews request
  - Admin Office requests FHWA approval and notes in-kind in FMIS document
  - FHWA authorizes in-kind contribution
  - Admin Office notifies LPA of approved amount

Local Systems University 11

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 **In-Kind Contributions**

- How is in-kind applied toward the non-Federal share?
  - DOT reimburses LPA for Federal share of total costs (in-kind + reimbursable costs)

Local Systems University 12

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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

Federal-aid Overview Seminars 13

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**Questions?**

- Reference Documents:
  - Materials I.M.s 103, 204 and 205, Materials Source and Project Inspection
  - I.M. 3.050, In-Kind Contributions
- Iowa DOT Contact Person:
  - Debra Arp  
Phone: 515-239-1681  
Debra.Arp@dot.iowa.gov
  - Or, contact the appropriate Iowa DOT project manager from the "Iowa DOT Contact List" handout



Federal-aid Overview Seminars 14

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# **Guide and I.M. Table of Contents**





# **Federal-aid Project Development Guide**

## **For Local Public Agencies**

May 12, 2014

**Iowa Department of Transportation**  
Office of Local Systems  
800 Lincoln Way Ames, IA 50010  
[http://www.iowadot.gov/local\\_systems/publications/im/guide.pdf](http://www.iowadot.gov/local_systems/publications/im/guide.pdf)

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## 1 Introduction

### 1.1. About the Guide

#### 1.1.1. What is the Guide for?

The Federal-aid Project Development Guide for Local Public Agencies (the 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 Guide be used?

For LPAs that are unfamiliar with Federal-aid procedures, the 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 Guide also serves as a reference tool to quickly locate more detailed information on a specific topic.

The Guide is not intended to include all the details of the Federal-aid process. Instead, where appropriate, the Guide references other documents that provide additional detailed instructions concerning specific parts of the process. In other words, the 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 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). For convenient printing, all of the I.M.s that are referenced by the Guide can be downloaded as a single PDF file. Refer to the [Guide and I.M.s web page](#) for additional download options.

Although the 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 Guide cover?

The focus of the Guide is 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 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 Program and Highway Bridge Program; and other transportation-related programs such as Transportation Enhancement, Federal Recreational Trails, Safe Routes to School, and National Scenic Byways programs. The 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.

### 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.

### 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 Office](#). Unless specified otherwise, all project submittals, correspondence, and questions should be directed to the Administering Office.

For projects funded by any or a combination of the Transportation Alternative Program (TAP), such as Transportation Enhancement, Federal Recreational Trails, Safe Routes to School, and National Scenic Byways programs, the Iowa DOT [Office of Systems Planning](#) is the Administering Office. The Office of Systems Planning is also the Administering Office for [earmark](#) projects involving activities that are eligible under one of the aforementioned programs, and certain projects funded by the Iowa Clean Air Attainment Program. For all other projects, the Administering Office is one of the 6 District Offices, depending on which [Iowa DOT District](#) the LPA is located in.

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

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. As soon as funding has been approved, the LPA should submit a copy of the approved funding application, Concept Statement, or other documentation to the [Administering Office](#) 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 Office, as may be the case with the Office of Systems Planning, additional documentation is usually not required.)

Upon receipt of this information, the Administering Office 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.

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 Office.

### **2.3. FHWA Authorization**

[FHWA Authorization](#) is the single most important aspect 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, work should not begin.* The cost of 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 Office](#) 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 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 Office](#), including the appropriate documentation for the type of work being requested.
2. The Administering Office 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 Office 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 Office](#). To ensure proper accounting of costs, reimbursement requests for costs incurred prior to June 30 shall be submitted to the Administering Office 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 as per 23 CFR 630.106(a)(5), reimbursement shall be requested at least annually 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. 2.080](#), Inactive Obligations.

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. However, 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 the form of cash; that is, eligible project costs that have been paid for by entities other than the Federal government. Sources of cash may include donations of funds made by a third party, special assessments made for the project, and other non-Federal-aid sources of funds. However, if the total cash received up-front for the project exceeds the required non-Federal share, the [Federal share](#) shall be reduced or the excess cash 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-cash contributions by a third party may be counted towards the required non-Federal-aid match. These non-cash 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 the Transportation Alternatives Program (TAP) as one or more of the Small Federal Programs (Transportation Enhancement, Federal Recreational Trails, and National Scenic Byways) may utilize right-of-way, services, materials, or equipment as an in-kind contribution. For all other Federal-aid projects, only right-of-way may be used 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.

## 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 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. 3.105](#), 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 a number of factors. Some of these factors include: whether or not right-of-way must be acquired, the type and magnitude of environmental or social impacts, and whether or not 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. 3.002](#), 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. 3.005](#), 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. 3.005](#) 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. 3.005](#) 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. 3.112](#), FHWA Environmental Concurrence 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 Office](#) for assistance. Additional information is available on FHWA's [Innovative Program Delivery](#) web site.

## 4 Permits and Environmental Review

This section of the 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 referred to in the Guide and I.M.s as [FHWA Environmental Concurrence](#). For an overview of the NEPA process as a whole, refer to [I.M. 3.112](#), FHWA Environmental Concurrence Process. For additional guidance concerning the different parts of the NEPA process, refer to the following I.M.s:

- [I.M. 3.105](#), 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. 3.110](#), Environmental Data Sheet Instructions, provides detailed instructions for completing the Environmental Data Sheet ([Form 517006](#)). In some cases, more detailed information about potential environmental impacts will be required than what is provided on the Concept Statement. The Environmental Data Sheet provides some of this information.
- [I.M. 3.111](#), Threatened and Endangered Species, provides guidance concerning the requirements and procedures for potential impacts to listed species and critical habitats.
- [I.M. 3.114](#), Cultural Resource Regulations, provides guidance concerning the requirements and procedures for potential impacts to cultural resources, such as archeological sites and historic properties.

### 4.2. 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. 3.130](#), 404 Permit Process.

### 4.3. 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. 3.410](#), Preliminary Bridge or Culvert Plans.

#### **4.4. 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. 3.140](#), Storm Water Permits.

#### **4.5. 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. For more information, refer to [I.M. 3.120](#), Farmland Protection Policy Act Guidelines.

#### **4.6. 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. 3.150](#), Highway Improvements in the Vicinity of Airports or Heliports.

#### **4.7. 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. 3.160](#), 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 [Office of Location and Environment](#), Regulated Materials Section, for assistance.

#### **4.8. 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.

##### **4.8.1. 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.

##### **4.8.2. 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](#).

## 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. Until [FHWA Environmental Concurrence](#) has been obtained, final design activities may not begin.

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 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. 3.305](#), 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. 3.310](#), 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 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 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 rehabilitation, restoration, or resurfacing (3R) projects, refer to [I.M. 3.214](#), 3R Guidelines.
- For guidance concerning the use and placement of guard rails and bridge rails, refer to [I.M. 3.213](#), Traffic Barriers (Guardrail and Bridge Rail).
- For guidance in providing a safe recovery area, refer to [I.M. 3.215](#), Clear Zone Guidelines.

### 5.3.2. Bicycle and Pedestrian Facilities

For bicycle 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 Office](#) 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. 3.218](#), 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.

A justification is required in the following situations:

1. For the controlling design elements listed in [I.M. 3.218](#), 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.

2. For other design elements besides the controlling design elements in [I.M. 3.218](#), Design Exception Process, the propose 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.

Federal regulations also 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 Office. 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. 3.216](#), Economic Analysis (Benefit-to-Cost Ratio) and [I.M. 3.218](#), 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 accompanied by a transmittal letter / e-mail and other documents as required. The content of each submittal is summarized in [I.M. 3.005](#), 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. 3.405](#), Preliminary Plans. If the project involves a bridge or culvert, refer also to [I.M. 3.410](#), Preliminary 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 Office](#) 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. 3.505](#), Check and Final Plans, and [I.M. 3.520](#), Electronic Bid Item Information. If the project involves a bridge or culvert, refer also to [I.M. 3.510](#), Check and Final 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 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. 3.605](#), 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. 3.730](#), Iowa DOT Letting Process. 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. 3.750](#), 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 Office](#) 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. 3.760](#), 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 forwards the contract documents to the contractor for signature. After executing the contract, the LPA forwards the executed contract documents to the Iowa DOT [Office of Contracts](#) for review and concurrence in the award. If acceptable, the Iowa DOT indicates its concurrence on the contract documents and returns the contract documents to the LPA and the contractor. *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 Office of Contracts of its decision.

### **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. These include the Transportation Enhancement, Federal Recreational Trails, National Scenic Byways, and Safe Routes to School programs funded under the Transportation Alternatives Program (TAP).

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. 3.720](#), 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. 3.710](#), 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 paper work 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 paper work, refer to [I.M. 3.805](#), 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 Office](#), [Office of Local Systems](#), 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.

### **8.3. Federal-aid Participation in Construction by LPA Forces**

In some cases, construction of part or all of a Federal-aid project may be accomplished by LPA forces. Under very limited circumstances, the costs of such work may be eligible for Federal-aid participation. Federal-aid participation in such work requires prior approval by the Iowa DOT, as outlined in [I.M. 3.760](#), Public Interest Findings. The Public Interest Finding must be based on both the cost effectiveness of such work and on special circumstances that are unlikely to be repeated. For more information on how to request [FHWA Authorization](#) for work done by LPA forces, refer to [I.M. 3.810](#), Federal-aid Construction by Local Agency Forces.

Regardless of whether Federal-aid participation is requested for this work, it must also comply with State bidding laws that limit the amount of work that can be performed by LPA forces. In general, work associated with construction, reconstruction, or improvements must be obtained either by bids or competitive quotes if the estimated cost of such work exceeds the thresholds specified by the Code of Iowa. These thresholds are summarized on the [Office of Local Systems](#) web page titled, [Bid Thresholds for Iowa Cities and Counties](#).

## **9 Project Close-out and Audits**

### **9.1. Completion of the Construction Contract**

The LPA is responsible for ensuring that all project construction has been completed and providing all of the necessary paperwork as required by the construction contract. This involves conducting a pre-audit of all contract items and associated paperwork. When both the LPA and the Administering Office 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 Office](#) 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. 3.910](#), Final Review, Audit, and Close-out Procedures for Federal-aid Projects, and [I.M. 3.930](#), Interest Payment Procedures.

## 10 Other Federal-aid Requirements

This section of the 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. Single Audit Requirements

LPAs that expend more than \$500,000 in [Federal funds](#) of any kind during a [Federal Fiscal Year \(FFY\)](#) are required to prepare and file a Single Audit Report in accordance with the requirements of the Office of Management and Budget (OMB) [Circular A-133](#), Audits of States, Local Governments, and Non-Profit Organizations. If the LPA's Single Audit Report contains findings that relate to [Federal funds](#) passed through the Iowa DOT, the Iowa DOT will investigate those findings and issue a management decision regarding the LPA's response to those findings, as stated in the Single Audit Report. The Iowa DOT's management decision may require additional documentation or changes to the LPA's procedures to prevent similar future audit findings.

### 10.3. Bridges

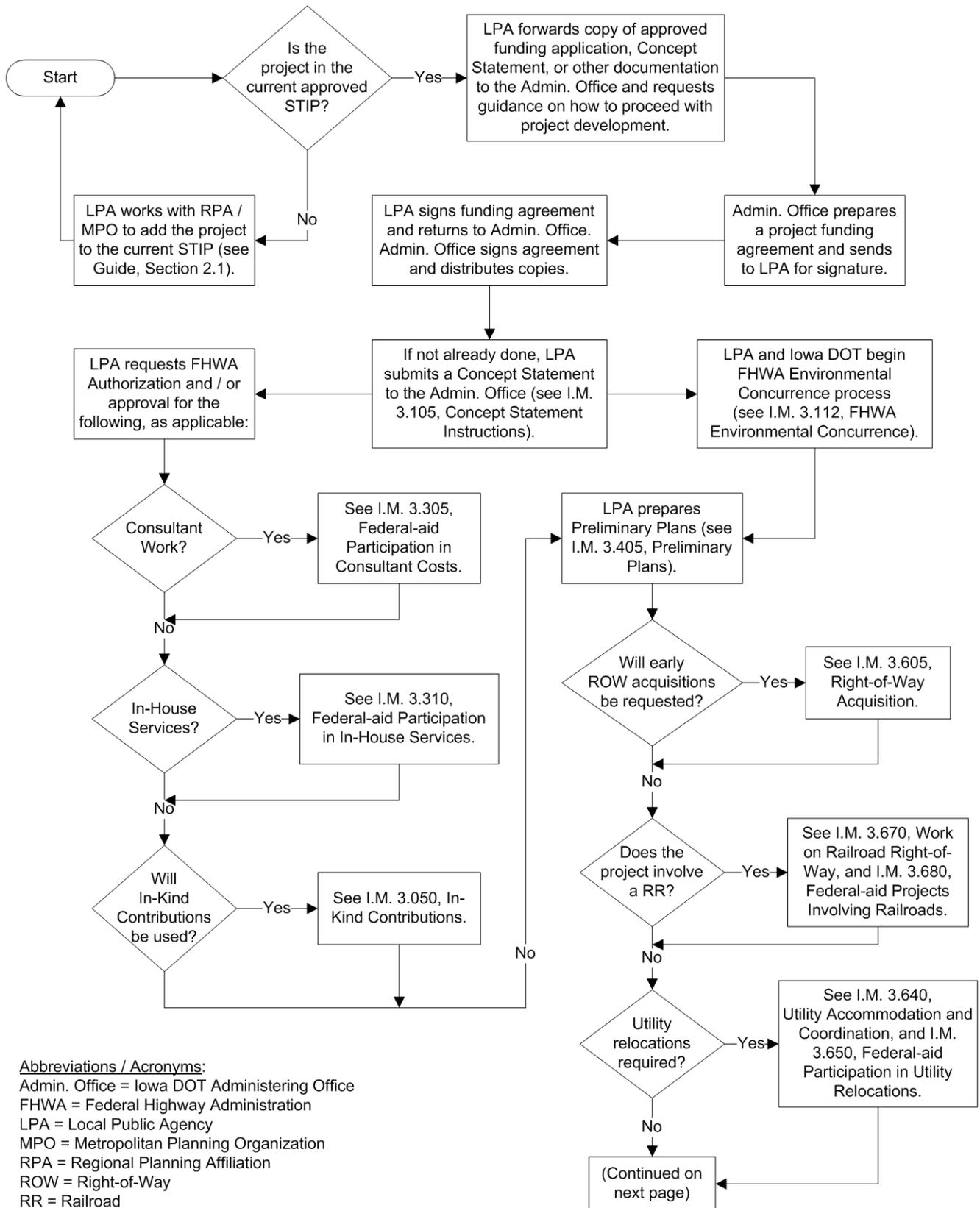
#### 10.3.1. Bridge Inspections

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. 2.120](#), Bridge Inspections.

### **10.3.2. Bridge Funding Programs**

The Highway Bridge Program (HBP) provides Federal-aid funding for replacement or rehabilitation of highway bridges that meet the eligibility criteria, such as structural condition, roadway and bridge geometrics, and traffic volumes. HBP funds may also be used for bridge inspections. The HBP funds available for the State of Iowa are divided between the Iowa DOT, cities, and counties on a formula basis. Each county receives an annual allocation of funds which may be used on any eligible bridge, subject to certain restrictions. Cities compete for HBP funding based on a priority point system. In addition to the HBP funds, there is a small amount of State funds available annually for city and county bridges under the City and County Bridge Construction funds, respectively. For complete information regarding the bridge programs for both cities and counties, refer to [I.M. 2.020](#), Federal and State Bridge Programs.

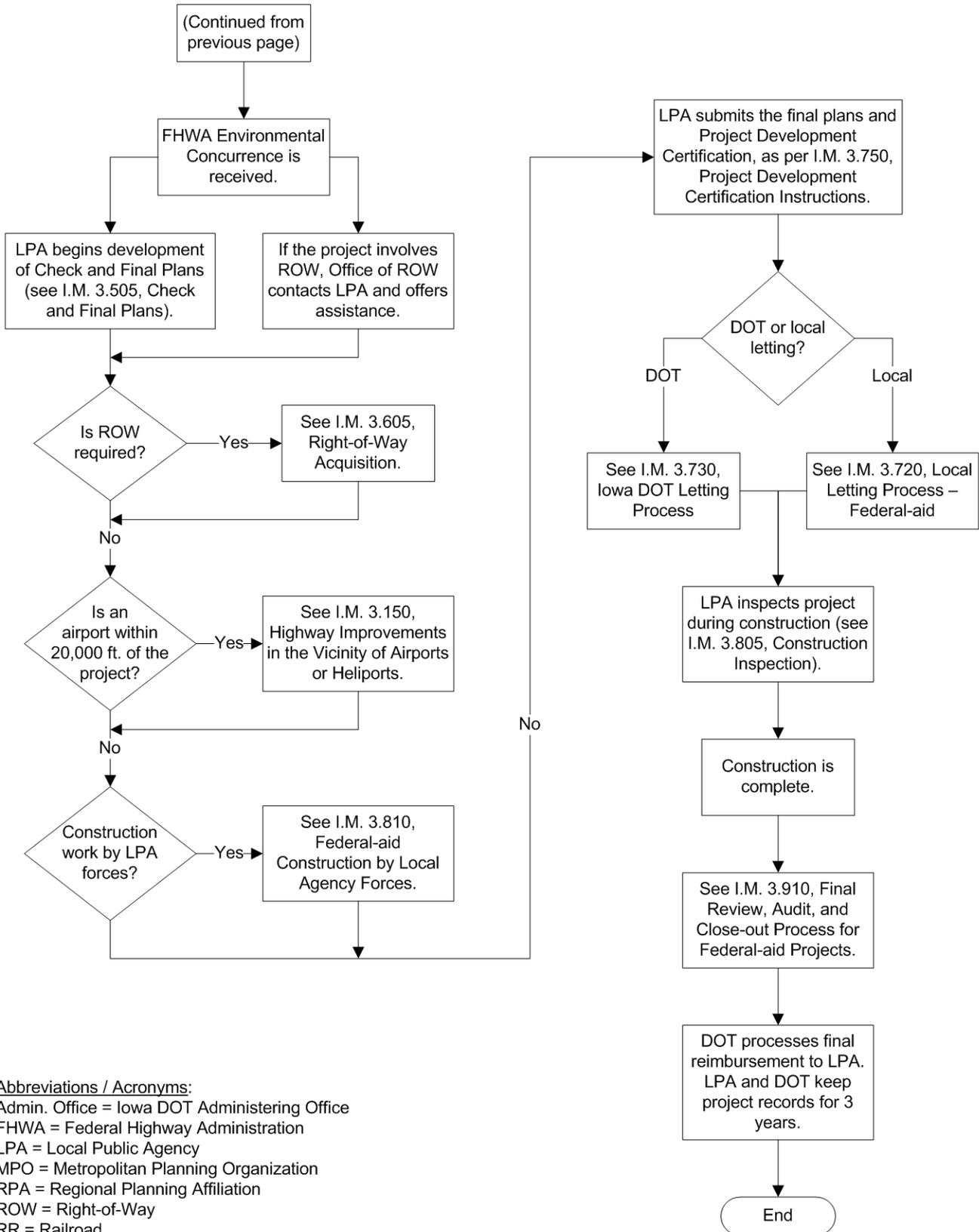
### Appendix A – Project Development Flow Chart



**Abbreviations / Acronyms:**

Admin. Office = Iowa DOT Administering Office  
 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. 3.005, Project Development Submittal Dates and Information.

**Appendix A – Project Development Flow Chart (continued)**



**Abbreviations / Acronyms:**

- Admin. Office = Iowa DOT Administering Office
- 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. 3.005, Project Development Submittal Dates and Information.

## Appendix B – Glossary of Terms

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

**Administering Office:** For projects funded by any or a combination of the Transportation Alternatives Program (TAP), such as Transportation Enhancement, Federal Recreational Trails, Safe Routes to School, National Scenic Byways, and certain Iowa Clean Air Attainment Program projects, and certain [earmark](#) projects, the [Office of Systems Planning](#) is the Administering Office. For all other projects, the Administering Office is one of the 6 District Offices, depending on which [Iowa DOT District](#) the LPA is located in.

**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 Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), 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, 2008 is the beginning of the Federal Fiscal Year 2009.

**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 Office of Location and Environment.
- 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. 3.112](#), FHWA Environmental Concurrence 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 System:** Those highways that are under the jurisdiction of the Iowa DOT.

# Instructional Memorandums to Local Public Agencies

## Table of Contents



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 (Guide). These I.M.s are marked with an asterisk (\*). For more information about the relationship between the Guide and I.M.s, refer to the [Guide and I.M.s web page](#).

**Note:** The I.M.s are currently in the process of being transitioned into a new format and numbering system. New or updated I.M.s will use the new format. Existing I.M.s will remain in the old format until they are revised or updated. Some of the I.M.s are not yet complete, as shown in light grey text. Some incomplete I.M.s will be based on an existing Project Development Information Packet document, some will be based on an existing County Engineers I.M. that will be renumbered, and some will include entirely new content. Where applicable, a reference and link to the existing Packet document or County Engineers I.M. is provided.

No.	Subject	Revision Date	Written To
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### Chapter 1 – General Information

#### Section 1.0 -- General

<a href="#">1.020</a>	Pavement Friction Evaluation Program	August 10, 2011	Both
<a href="#">1.030</a>	Ordering Forms and Supplies From the Iowa Department of Transportation	November 2001	Both
<a href="#">1.050</a>	Manuals, Guides and Instructional Information Available to Counties	December 2002	Both
<a href="#">1.070*</a>	Title VI and Nondiscrimination Requirements	July 20, 2012	Both
<a href="#">1.080*</a>	ADA Requirements	October 1, 2013	Both
	<a href="#">Attachment A</a> – Sample Curb Ramp Transition Plan ( <a href="#">Word</a> )	August 24, 2012	Both

#### Section 1.1 -- References

<a href="#">1.120</a>	References to the Iowa Code	August 2003	Counties
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### Chapter 2 – Administration

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<a href="#">2.005</a>	Farm-to-Market Program	July 18, 2013	Counties
<a href="#">2.010</a>	Transfer of Local Secondary Road Use Tax Funds to the Farm-to-Market Fund	November 2001	Counties
	<a href="#">Attachment A</a> - Local to FM Fund Transfer Resolution ( <a href="#">Word</a> )	November 2001	Counties
<a href="#">2.020*</a>	Federal and State Bridge Programs	July 18, 2013	Both
	<a href="#">Attachment A</a> – City Bridge Priority Point Rating Worksheet ( <a href="#">Word</a> )	July 18, 2011	Both
	<a href="#">Attachment B</a> – County Bridge Priority Point Rating Worksheet ( <a href="#">Word</a> )	July 18, 2011	Both
	<a href="#">Attachment C</a> – Touchdown Points and Limits of Participation	July 18, 2011	Both
	<a href="#">Attachment D</a> – County HBP Fiscal Constraint Requirements	July 18, 2011	Both
<a href="#">2.030</a>	Transfer of Farm-to-Market Funds to the Local Secondary Road Fund	July 20, 2012	Counties
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<a href="#">2.050</a>	Procedure to Amend a County Secondary Road Construction Program and Budget	November 26, 2013	Counties
	<a href="#">Attachment A</a> – Add FM or Local Project Resolution ( <a href="#">Word</a> )	November 26, 2013	Counties
<a href="#">2.071</a>	Secondary Road Budget Accounting Code Series	July 2005	Counties

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<a href="#">2.120*</a>	Bridge Inspections	July 18, 2013	Both
	<a href="#">Attachment A</a> - Bridge Scour Stability Worksheet - Level A Evaluation ( <a href="#">Word</a> )	May 11, 2011	Both
	<a href="#">Attachment B</a> - Intermediate Scour Assessment - Level B Evaluations	October 1, 2013	Both
	<a href="#">Attachment C</a> - Scour Plan of Action (POA) ( <a href="#">Word</a> )	May 11, 2011	Both
	<a href="#">Attachment D</a> - Scope of Services for NBI Bridge Inspection Services ( <a href="#">Word</a> )	July 18, 2013	Both
	<a href="#">Attachment E</a> - Iowa Legal Trucks Diagrams	July 18, 2013	Both
	<a href="#">Attachment F</a> - Routine Permit Trucks Diagrams	July 18, 2013	Both
	<a href="#">Attachment G</a> - USGS Hydrologic Region Map with Region Descriptions	July 18, 2013	Both
	<a href="#">Attachment H</a> - Unknown Foundations Guidance, Flowchart, Risk Assessment, Worksheet, and Plan of Action (POA) - Level A Evaluation ( <a href="#">Word</a> )	July 18, 2013	Both
	<a href="#">Attachment I</a> - Unknown Foundations Flowchart - Level B Evaluation	July 18, 2013	Both
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	<a href="#">Attachment K</a> - Fracture Critical Member Locations and Conditions for Trusses form ( <a href="#">Word</a> )	July 18, 2013	Both
	<a href="#">Attachment L</a> - Fracture Critical Member Locations and Conditions for Thru/Two Girders form ( <a href="#">Word</a> )	July 18, 2013	Both
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	Attachment A - Speed Restriction Ordinance ( <a href="#">Word</a> )	March 2002	Counties
	Attachment B - Amendment to Speed Restriction Ordinance ( <a href="#">Word</a> )	March 2002	Counties
	Attachment C - Resolution for Establishing Speed Limits ( <a href="#">Word</a> )	March 2002	Counties
<a href="#">2.220</a>	Establishing and Signing Area Service B and Area Service C Roads	January 2004	Counties
	Attachment A - Area Service "B" Ordinance ( <a href="#">Word</a> )	March 2002	Counties
	Attachment B - Area Service "B" Resolution ( <a href="#">Word</a> )	March 2002	Counties
	Attachment C - Area Service "C" Ordinance ( <a href="#">Word</a> )	January 2004	Counties
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<a href="#">2.230</a>	Signing for Low Cost Stream Crossings	June 2002	Counties
	Attachment A - Resolution for Low-Water Stream Crossing ( <a href="#">Word</a> )	June 2002	Counties
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	Attachment A - Resolution for Construction Agreement between City and County on Secondary Road Extensions ( <a href="#">Word</a> )	April 2002	Both

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<a href="#">3.005*</a>	Project Development Submittal Dates and Information	February 11, 2014	Both
<a href="#">3.010</a>	Project Development Outline -- Federal-Aid Funding (BRS, BHS, BROS, BHOS, STS-S, STP-A, STP-E, STP-ES)	February 2002	Both
<a href="#">3.020</a>	Project Development Outline -- Farm-to-Market Funding (FM)	February 2002	Counties
<a href="#">3.030</a>	Project Development Outline -- Local Funding (L)	February 2002	Both
<a href="#">3.050*</a>	In-Kind Contributions	August 10, 2011	Both
3.060	Project Numbers (see <a href="#">I.M. 3.14</a> , dated December 2002)	(future)	Both

### Section 3.1 -- Environmental Reviews and Permits

3.105*	Concept Statement Instructions (see Packet, Index No. 6, <a href="#">Concept Statement Instructions</a> )	(future)	Both
	Attachment A – Example Concept Statement	(future)	Both
3.110*	Environmental Data Sheet Instructions (see Packet, Index No. 6, <a href="#">Environmental Datasheet Instructions</a> )	(future)	Both
	Attachment A – Example Environmental Data Sheet	(future)	Both
3.112*	FHWA Environmental Concurrence Process (see Packet, Index No. 6, <a href="#">NEPA Project Classification Process</a> )	(future)	Both
	Attachment A - Environmental Concurrence Process Overview (see Packet, Flowcharts, <a href="#">Chart No. 6 – Environmental Process Overview</a> )	(future)	Both
	Attachment B - Environmental Assessment / FONSI Process (see Packet, Flowcharts, <a href="#">Chart No. 6A – Environmental Assessment / FONSI Process</a> )	(future)	Both
	Attachment C - Environmental Impact Statement / ROD Process (see Packet, Flowcharts, <a href="#">Chart No. 6B – Environmental Impact Statement / ROD Process</a> )	(future)	Both
	Attachment D - Section 106 Process (see Packet, Flowcharts, <a href="#">Chart No. 6C – Section 106 Process</a> )	(future)	Both
	Attachment E - Section 4(f) Process (see Packet, Flowcharts, <a href="#">Chart No. 6D – Section 4(f) Process</a> )	(future)	Both
3.114*	Cultural Resource Regulations (see Packet, Index No. 6, <a href="#">Cultural Resource Regulations</a> )	(future)	Both
3.120*	Farmland Protection Policy Act Guidelines (see Packet, Index No. 6, <a href="#">Farmland Protection Policy Act Guidelines</a> )	(future)	Both
	Attachment A - Farmland Protection Policy Act Process Flowchart (see Packet, Flowcharts, <a href="#">Chart No. 6E – Farmland Protection Policy Act Process</a> )	(future)	Both
<a href="#">3.130*</a>	404 Permit Process	March 26, 2008	Both
	<a href="#">Appendix A</a> – 404 Permit Checklist	March 26, 2008	Both
<a href="#">3.140*</a>	Storm Water Permits	July 18, 2011	Both
<a href="#">3.150*</a>	Highway Improvements in the Vicinity of Airports or Heliports	December 3, 2007	Both
<a href="#">3.160*</a>	Asbestos Inspection, Removal, and Notification Requirements	April 12, 2007	Both
	<a href="#">Attachment A</a> – Notification of Demolition form ( <a href="#">Word</a> )	April 12, 2007	Both

**Section 3.2 -- Design Guidelines and Exceptions**

3.205*	Urban Design Guidelines (see Packet, Index No. 5, <a href="#">Application of Design Criteria</a> , <a href="#">Urban Design Aids</a> , and <a href="#">Alternative Urban Design Guides</a> )	(future)	Cities
<a href="#">3.210*</a>	Rural Design Guidelines	October 1, 2013	Counties
<a href="#">3.213*</a>	Traffic Barriers (Guardrail and Bridge Rail)	July 18, 2013	Both
	<a href="#">Attachment A</a> - Bridge Barrier Rail Rating Systems ( <a href="#">Word</a> )	July 18, 2013	Both
<a href="#">3.214*</a>	3R Guidelines	October 1, 2013	Both
<a href="#">3.215*</a>	Clear Zone Guidelines	March 26, 2008	Both
<a href="#">3.216*</a>	Economic Analysis (Benefit-to-Cost Ratio)	October 1, 2013	Both
<a href="#">3.218*</a>	Design Exception Process	October 1, 2013	Both
	<a href="#">Attachment A</a> – Design Exception Process Flowchart	October 1, 2013	Both

**Section 3.3 -- Consultant and In-House Design**

<a href="#">3.305*</a>	Federal-aid Participation in Consultant Costs	August 29, 2006	Both
	<a href="#">Attachment A</a> – Federal-Aid Consultant Checklist	August 29, 2006	Both
	<a href="#">Attachment B</a> – Guidelines for Federal-Aid Consultant Contracts	August 29, 2006	Both
	<a href="#">Attachment C</a> – Payment Methods	August 29, 2006	Both
	<a href="#">Attachment D</a> – Sample Consultant Contract ( <a href="#">Word</a> )	August 29, 2006	Both
<a href="#">3.310*</a>	Federal-aid Participation in In-House Services	February 18, 2013	Both
	<a href="#">Attachment A</a> - Scope of Work and Budget Worksheet	February 18, 2013	Both

**Section 3.4 -- Preliminary Design**

<a href="#">3.405*</a>	Preliminary Plans	February 18, 2013	Both
	<a href="#">Attachment A</a> – Preliminary Plan Guidelines	February 18, 2013	Both
	<a href="#">Attachment B</a> – Preliminary Plan Checklist ( <a href="#">Word</a> )	February 18, 2013	Both
	<a href="#">Attachment C</a> – Preliminary Plan Process Flowchart	February 18, 2013	Both
<a href="#">3.410*</a>	Preliminary Bridge or Culvert Plans	June 18, 2010	Both
	<a href="#">Attachment A</a> – Flood Insurance Studies	June 18, 2010	Both
	<a href="#">Attachment B</a> – Iowa DNR Floodplain Regulations	June 18, 2010	Both
	<a href="#">Attachment C</a> – Instructions for Completing the Form 1-E	June 18, 2010	Both
	<a href="#">Attachment D</a> – Instructions for Completing the Risk Assessment Form	June 18, 2010	Both

**Section 3.5 -- Final Design**

<a href="#">3.505*</a>	Check and Final Plans	February 18, 2013	Both
	<a href="#">Attachment A</a> – Check and Final Plan Guidelines	February 18, 2013	Both
	<a href="#">Attachment B</a> – Check and Final Plan Checklist ( <a href="#">Word</a> )	February 18, 2013	Both
	<a href="#">Attachment C</a> – Check and Final Plan Process Flowchart	February 18, 2013	Both
<a href="#">3.510*</a>	Check and Final Bridge or Culvert Plans	June 18, 2010	Both
	<a href="#">Attachment A</a> – Bridge or Culvert Plan Supplementary Checklist	June 18, 2010	Both
<a href="#">3.520*</a>	Electronic Bid Item Information	February 18, 2013	Both

**Section 3.6 -- Right-of-Way, Utilities, and Railroads**

<a href="#">3.605*</a>	Right-of-Way Acquisition	June 18, 2007	Both
	<a href="#">Attachment A</a> – Compensation Estimate Procedures	June 18, 2007	Both
	<a href="#">Attachment B</a> – FHWA Authorization of Right-of-Way Costs Flowchart	June 18, 2007	Both
	<a href="#">Attachment C</a> – Early Right-of-Way Acquisition Process Flowchart	June 18, 2007	Both

<a href="#">3.640*</a>	Utility Accommodation and Coordination	February 11, 2014	Both
	<a href="#">Attachment A</a> – Utility Coordination Flowchart	December 11, 2008	Both
	<a href="#">Attachment B</a> – Utility Coordination Checklist ( <a href="#">Word</a> )	February 11, 2014	Both
<a href="#">3.650*</a>	Federal-aid Participation in Utility Relocations	February 11, 2014	Both
	<a href="#">Attachment A</a> – Utility Relocation Federal-Aid Eligibility Flowchart	February 11, 2014	Both
	<a href="#">Attachment B</a> – FHWA Authorization of Utility Relocation Costs Flowchart	February 11, 2014	Both
<a href="#">3.670*</a>	Work on Railroad Right-of-Way	May 1, 2007	Both
	<a href="#">Attachment A</a> – Notification and Agreement of Maintenance Work in Railroad Right-of-Way ( <a href="#">Word</a> )	May 1, 2007	Both
	<a href="#">Attachment B</a> – Notification of Construction Work in Railroad Right-of-Way ( <a href="#">Word</a> )	May 1, 2007	Both
	<a href="#">Attachment C</a> – Work on Railroad Right-of-Way Flowchart	May 1, 2007	Both
<a href="#">3.680*</a>	Federal-aid Projects Involving Railroads	May 1, 2007	Both
	<a href="#">Attachment A</a> – FHWA Authorization of Railroad Costs Flowchart	May 1, 2007	Both

### Section 3.7 -- Lettings and Contracts

3.705	Local Letting Process – State or Local Funded (see <a href="#">I.M. 3.41</a> , dated September 2005; <a href="#">I.M. 3.42</a> , dated March 2002; and <a href="#">I.M. 3.43</a> , dated September 2002)	(future)	Both
<a href="#">3.710*</a>	DBE Guidelines	June 18, 2007	Both
3.715	TSB Guidelines	(future)	Both
<a href="#">3.720*</a>	Local Letting Process – Federal-aid	April 12, 2007	Both
	<a href="#">Attachment A</a> – Pre-Award Checklist and Certification	April 12, 2007	Both
	<a href="#">Attachment B</a> – Post-Award Checklist and Certification	April 12, 2007	Both
	<a href="#">Attachment C</a> – Supplemental Agreement	April 12, 2007	Both
<a href="#">3.730*</a>	Iowa DOT Letting Process	October 1, 2013	Both
	<a href="#">Attachment A</a> - Iowa DOT Pre-Letting Process Flowchart	October 1, 2013	Both
	<a href="#">Attachment B</a> – Iowa DOT Post-Letting Process Flowchart	October 1, 2013	Both
<a href="#">3.750*</a>	Project Development Certification Instructions	December 3, 2007	Both
	<a href="#">Attachment A</a> – Project Development Certification Process Flowchart	December 3, 2007	Both
	<a href="#">Attachment B</a> - Sample Project Development Certification Form	December 3, 2007	Both
<a href="#">3.760*</a>	Public Interest Findings	February 11, 2014	Both
<a href="#">3.770</a>	Paving Point Requirements	August 24, 2012	Counties
	<a href="#">Attachment A</a> – Paving Point Determination	August 24, 2012	Counties
	<a href="#">Attachment B</a> – Sample Notice of Public Hearing ( <a href="#">Word</a> )	August 24, 2012	Counties
	<a href="#">Attachment C</a> – Sample Resolution ( <a href="#">Word</a> )	August 24, 2012	Counties

### Section 3.8 -- Construction

3.805*	Construction Inspection (see <a href="#">I.M. 3.51</a> , dated September 2002)	(future)	Both
<a href="#">3.810*</a>	Federal-aid Construction by Local Agency Forces	December 11, 2008	Both

### Section 3.9 -- Project Close-out and Audits

<a href="#">3.910*</a>	Final Review, Audit, and Close-out Procedures for Federal-aid Projects	December 3, 2007	Both
	<a href="#">Attachment A</a> – Project Close-out Process Overview Flowchart	December 3, 2007	Both
	<a href="#">Attachment B</a> – Final Review and Audit Process Flowchart – Highway or Bridge Construction	December 3, 2007	Both
	<a href="#">Attachment C</a> – Final Review and Audit Process Flowchart – Non-highway Construction, DOT Specifications	December 3, 2007	Both

	<a href="#">Attachment D</a> – Final Review and Audit Process Flowchart – Non-highway Construction, Non-DOT Specifications	December 3, 2007	Both
	<a href="#">Attachment E</a> – Pre-audit Checklist ( <a href="#">Word</a> )	December 3, 2007	Both
	<a href="#">Attachment F</a> – Final Forms Packet Checklist ( <a href="#">Word</a> )	December 3, 2007	Both
3.920	Final Review, Audit, and Close-out Procedures for State-aid Projects	(future)	Both
<a href="#">3.930*</a>	Interest Payment Procedures	December 3, 2007	Both
	<a href="#">Attachment A</a> – Sample Interest Payment Information Form	December 3, 2007	Both
<a href="#">3.940</a>	County Engineer Resolution	December 3, 2007	Counties
	<a href="#">Attachment A</a> – Sample County Engineer Resolution ( <a href="#">Word</a> )	December 3, 2007	Counties

## Chapter 4 – Systems Classification And Identification

### Section 4.0 -- General

<a href="#">4.010</a>	Procedures to Modify the Secondary Road Route Numbering System	September 2002	Counties
<a href="#">4.030</a>	County Road Vacations	September 2002	Counties
	Attachment A - Resolution for Road Vacation Public Hearing ( <a href="#">Word</a> )	September 2002	Counties
	Attachment B - Notice of Public Hearing ( <a href="#">Word</a> )	September 2002	Counties
	Attachment C - Resolution to Vacate a County Road ( <a href="#">Word</a> )	September 2002	Counties

### Section 4.1 -- (Reserved)

### Section 4.2 -- Farm-to-Market System

<a href="#">4.210</a>	Modification of the Farm-to Market (FM) System	August 10, 2011	Counties
<a href="#">4.220</a>	Farm-to-Market Review Board Advisory Opinions on Proposed Jurisdictional Transfers	April 2002	Counties



## 2014 Federal-aid Overview Seminars

### Iowa Department of Transportation

### Agenda

#### **Welcome** - Donna Buchwald

- Introductions
- Purpose and Format
- Breaks and Facilities

#### **Federal-aid Basics** - Charlie Purcell

- Written Guidance
- Planning and Programming
- FHWA Authorization
- Reimbursement
- In-Kind Contributions
- Local Lettings

#### **Civil Rights** - Karen Kienast

- Title VI
- ADA
- DBE

#### **Break and Refreshments** (provided)

#### **Initial Project Development** - Nicole Fox

- Project Scheduling and Submittals
- Consultant Selection
- Concept Statement
- Funding Agreement
- Project Tracking in TPMS

#### **Environmental Review** - Matt Donovan, Mary Kay Solberg, and DeeAnn Newell

- 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 Alteration Program
- Section 7 of the Endangered Species Act, small and major projects, determination of effects, concurrence, and species specific information
- National Environmental Policy Act (NEPA) and Section 4(f) including key points of NEPA, Section 4(f), NEPA classifications, and NEPA clearances

#### **Break**

#### **Other Permits** - John Dostart

- 404 Permit
- Iowa DNR Flood Plain Permit
- NPDES Storm Water Permit
- Work on Iowa DOT Right-of-way

#### **Design and Plan Reviews – Iowa DOT Lettings** - Bob Welper

- Design Guidelines
- Design Exception Process
- Preliminary Plans
- Check and Final Plans
- Other Submittals
- Project Requirements - Recurring Issues

#### **Lunch**

#### **Right-of-Way** - Rick Skinner

- When do State/Federal Regulations Apply?
- Before the ROW Process Begins
- The Valuation Process
- Basic Acquisition Policies
- The Relocations Process
- Parcel Closing
- Property Management
- Right of Way Certification

#### **Utilities and Railroads** - John Dostart

- Utility Relocations
- Railroads
- Buy America - Utility and RR Work

#### **Break and Refreshments** (provided)

#### **Contract Letting and Award – Iowa DOT Process** - Ed Kasper

- The Letting Schedule
- Contract Award Process
- Contract Documents
- Contract Time
- Addendums
- Federal Regulations

#### **Construction Oversight** - Brenda Boell

- Pre-construction Meeting
- Project Inspection Duties
- Materials Testing and Certification
- Change Orders
- EEO / AA and Wage Rate Compliance
- Davis-Bacon Wage Rates
- Prompt Payment
- Buy America
- Training Opportunities

#### **Break**

#### **Project Close-out for Highway Projects** - Brian Catus

- Inspection and Acceptance of Field Work
- Pre-audit Checklist and Procedures
- Semi-final Voucher / Pay Estimate
- Construction and Materials Audits
- Final Voucher / Pay Estimate
- Final Forms Packet
- Final Payment and Federal Reimbursement
- Interest Payments
- Project Close-out

#### **Project Close-out for Non-Highway Projects** - Deb Arp

- Process Differences for Non-Highway Projects
- Materials Acceptance Requirements
- In-Kind Contributions

#### **Closing Remarks** - Donna Buchwald

- Seminar Evaluations
- Top Ten Things to Remember

