

Guide and / or I.M. Revision Notice

To: Cities, Counties, and Consultants

Date: July 1, 2014

From: Office of Local Systems

Revision Notice Number: 2014-03

The Federal-aid Project Development Guide (Guide) and / or Instructional Memorandums to Local Public Agencies (I.M.s) have been revised as indicated below. This revision notice identifies all new or revised documents and includes a summary of the significant changes. Where appropriate, it also references the existing Project Development Information Packet (Packet) or County Engineers I.M. documents that have been replaced or superseded.

The Iowa DOT does not provide paper copies of the Guide or I.M.s. Since these documents are updated frequently, we recommend using the on-line version of the [Guide and I.M.s](#) for reference. However, if you prefer using paper copies, all new or revised documents have been included in this file for convenient printing. If you maintain a paper copy of these documents, please remove the old documents and replace them with the new documents. **Note:** This file is designed for double-sided printing; therefore, all documents with an odd number of pages will be followed by a blank page.

For more information and additional download options, refer to the [Guide and I.M.s](#) web page. If you have any questions concerning these revisions, please contact Donna Buchwald Donna.Buchwald@dot.iowa.gov or 515-239-1051.

***** PLEASE NOTIFY ALL AFFECTED PERSONNEL OF THIS CHANGE *****

| Document Title or I.M Number | Summary of Significant Revision(s) |
|--|--|
| I.M. Table of Contents July 1, 2014 | The I.M. Table of Contents has been revised to reflect new or revised I.M.s, as indicated below. |
| I.M. 3.111 Threatened and Endangered Species July 1, 2014 | This is a new I.M. <ul style="list-style-type: none"> • Attachment A is new. |

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 |
|--|---|-------------------|------------|
| Chapter 1 – General Information | | | |
| Section 1.0 -- General | | | |
| 1.020 | Pavement Friction Evaluation Program | August 10, 2011 | Both |
| 1.030 | Ordering Forms and Supplies From the Iowa Department of Transportation | November 2001 | Both |
| 1.050 | Manuals, Guides and Instructional Information Available to Counties | December 2002 | Both |
| 1.070* | Title VI and Nondiscrimination Requirements | July 20, 2012 | Both |
| 1.080* | ADA Requirements | October 1, 2013 | Both |
| | Attachment A – Sample Curb Ramp Transition Plan (Word) | August 24, 2012 | Both |
| Section 1.1 -- References | | | |
| 1.120 | References to the Iowa Code | August 2003 | Counties |
| Chapter 2 – Administration | | | |
| Section 2.0 -- Finance | | | |
| 2.005 | Farm-to-Market Program | July 18, 2013 | Counties |
| 2.010 | Transfer of Local Secondary Road Use Tax Funds to the Farm-to-Market Fund | November 2001 | Counties |
| | Attachment A - Local to FM Fund Transfer Resolution (Word) | November 2001 | Counties |
| 2.020* | Federal and State Bridge Programs | July 18, 2013 | Both |
| | Attachment A – City Bridge Priority Point Rating Worksheet (Word) | July 18, 2011 | Both |
| | Attachment B – County Bridge Priority Point Rating Worksheet (Word) | July 18, 2011 | Both |
| | Attachment C – Touchdown Points and Limits of Participation | July 18, 2011 | Both |
| | Attachment D – County HBP Fiscal Constraint Requirements | July 18, 2011 | Both |
| 2.030 | Transfer of Farm-to-Market Funds to the Local Secondary Road Fund | July 20, 2012 | Counties |
| 2.040 | Temporary Allocation of Farm-to-Market Funds | November 2001 | Counties |
| 2.050 | Procedure to Amend a County Secondary Road Construction Program and Budget | November 26, 2013 | Counties |
| | Attachment A – Add FM or Local Project Resolution (Word) | November 26, 2013 | Counties |
| 2.071 | Secondary Road Budget Accounting Code Series | July 2005 | Counties |

Section 2.1 -- Maintenance

| | | | |
|------------------------|--|-----------------|----------|
| 2.110 | Maintenance of County Roads at Intersections, Interchanges, and Grade Separations with the Primary Highway System | May 12, 2014 | Counties |
| | Attachment A – Iowa DOT PPM 630.01, Rural Intersection and Destination Lighting | March 16, 2004 | Counties |
| | Attachment B – Iowa DOT PPM 630.03, Interchange and Freeway Lighting | March 16, 2004 | Counties |
| 2.120* | Bridge Inspections | July 18, 2013 | Both |
| | Attachment A - Bridge Scour Stability Worksheet - Level A Evaluation (Word) | May 11, 2011 | Both |
| | Attachment B - Intermediate Scour Assessment - Level B Evaluations | October 1, 2013 | Both |
| | Attachment C - Scour Plan of Action (POA) (Word) | May 11, 2011 | Both |
| | Attachment D - Scope of Services for NBI Bridge Inspection Services (Word) | July 18, 2013 | Both |
| | Attachment E - Iowa Legal Trucks Diagrams | July 18, 2013 | Both |
| | Attachment F - Routine Permit Trucks Diagrams | July 18, 2013 | Both |
| | Attachment G - USGS Hydrologic Region Map with Region Descriptions | July 18, 2013 | Both |
| | Attachment H - Unknown Foundations Guidance, Flowchart, Risk Assessment, Worksheet, and Plan of Action (POA) - Level A Evaluation (Word) | July 18, 2013 | Both |
| | Attachment I - Unknown Foundations Flowchart - Level B Evaluation | July 18, 2013 | Both |
| | Attachment J - Quality Assurance Field Review Worksheet (Word) | July 18, 2013 | Both |
| | Attachment K - Fracture Critical Member Locations and Conditions for Trusses form (Word) | July 18, 2013 | Both |
| | Attachment L - Fracture Critical Member Locations and Conditions for Thru/Two Girders form (Word) | July 18, 2013 | Both |
| | Attachment M - Sample Fracture Critical Member Locations and Conditions for Trusses form | July 18, 2013 | Both |

Section 2.2 -- Traffic Service and Control

| | | | |
|-----------------------|--|--------------|----------|
| 2.210 | Engineering and Traffic Investigations – Speed Limit Study | March 2002 | Counties |
| | Attachment A - Speed Restriction Ordinance (Word) | March 2002 | Counties |
| | Attachment B - Amendment to Speed Restriction Ordinance (Word) | March 2002 | Counties |
| | Attachment C - Resolution for Establishing Speed Limits (Word) | March 2002 | Counties |
| 2.220 | Establishing and Signing Area Service B and Area Service C Roads | May 12, 2014 | Counties |
| | Attachment A - Area Service “B” Sample Ordinance (Word) | May 12, 2014 | Counties |
| | Attachment B - Area Service “B” Sample Resolution (Word) | May 12, 2014 | Counties |
| | Attachment C - Area Service “C” Sample Ordinance (Word) | May 12, 2014 | Counties |
| | Attachment D - Area Service “C” Sample Resolution (Word) | May 12, 2014 | Counties |
| 2.230 | Signing for Low Cost Stream Crossings | June 2002 | Counties |
| | Attachment A - Resolution for Low-Water Stream Crossing (Word) | June 2002 | Counties |
| 2.240 | Iowa DOT Traffic Counts | (future) | Both |

Section 2.3 -- Agreements

| | | | |
|-----------------------|--|------------|------|
| 2.310 | Construction Agreements Between City and County on Secondary Road Extensions | April 2002 | Both |
| | Attachment A - Resolution for Construction Agreement between City and County on Secondary Road Extensions (Word) | April 2002 | Both |

Chapter 3 – Project Development

Section 3.0 -- General

| | | | |
|------------------------|---|-------------------|------|
| 3.002* | Federal-aid Project Scheduling | February 16, 2007 | Both |
| 3.005* | Project Development Submittal Dates and Information | February 11, 2014 | Both |
| 3.030 | Project Development Outline -- Local Funding (L) | February 2002 | Both |
| 3.050* | In-Kind Contributions | August 10, 2011 | Both |
| 3.060 | Project Numbers (see I.M. 3.14 , dated December 2002) | (future) | Both |

Section 3.1 -- Environmental Reviews and Permits

| | | | |
|------------------------|--|------------------|------|
| 3.105* | Concept Statement Instructions (see Packet, Index No. 6, Concept Statement Instructions) | (future) | Both |
| | Attachment A – Example Concept Statement | (future) | Both |
| 3.110* | Environmental Data Sheet Instructions (see Packet, Index No. 6, Environmental Datasheet Instructions) | (future) | Both |
| | Attachment A – Example Environmental Data Sheet | (future) | Both |
| 3.111 | Threatened and Endangered Species | July 1, 2014 | Both |
| | Attachment A - Section 7 Process Flowchart | July 1, 2014 | Both |
| 3.112* | FHWA Environmental Concurrence Process (see Packet, Index No. 6, NEPA Project Classification Process) | (future) | Both |
| | Attachment A - Environmental Concurrence Process Overview (see Packet, Flowcharts, Chart No. 6 – Environmental Process Overview) | (future) | Both |
| | Attachment B - Environmental Assessment / FONSI Process (see Packet, Flowcharts, Chart No. 6A – Environmental Assessment / FONSI Process) | (future) | Both |
| | Attachment C - Environmental Impact Statement / ROD Process (see Packet, Flowcharts, Chart No. 6B – Environmental Impact Statement / ROD Process) | (future) | Both |
| | Attachment D - Section 106 Process (see Packet, Flowcharts, Chart No. 6C – Section 106 Process) | (future) | Both |
| | Attachment E - Section 4(f) Process (see Packet, Flowcharts, Chart No. 6D – Section 4(f) Process) | (future) | Both |
| 3.114* | Cultural Resource Regulations (see Packet, Index No. 6, Cultural Resource Regulations) | (future) | Both |
| 3.120* | Farmland Protection Policy Act Guidelines (see Packet, Index No. 6, Farmland Protection Policy Act Guidelines) | (future) | Both |
| | Attachment A - Farmland Protection Policy Act Process Flowchart (see Packet, Flowcharts, Chart No. 6E – Farmland Protection Policy Act Process) | (future) | Both |
| 3.130* | 404 Permit Process | March 26, 2008 | Both |
| | Appendix A – 404 Permit Checklist | March 26, 2008 | Both |
| 3.140* | Storm Water Permits | July 18, 2011 | Both |
| 3.150* | Highway Improvements in the Vicinity of Airports or Heliports | December 3, 2007 | Both |
| 3.160* | Asbestos Inspection, Removal, and Notification Requirements | April 12, 2007 | Both |
| | Attachment A – Notification of Demolition form (Word) | April 12, 2007 | Both |

Section 3.2 -- Design Guidelines and Exceptions

| | | | |
|------------------------|--|-----------------|----------|
| 3.210* | Rural Design Guidelines | October 1, 2013 | Counties |
| 3.213* | Traffic Barriers (Guardrail and Bridge Rail) | July 18, 2013 | Both |
| | Attachment A - Bridge Barrier Rail Rating Systems (Word) | July 18, 2013 | Both |
| 3.214* | 3R Guidelines | October 1, 2013 | Both |
| 3.215* | Clear Zone Guidelines | March 26, 2008 | Both |
| 3.216* | Economic Analysis (Benefit-to-Cost Ratio) | October 1, 2013 | Both |
| 3.218* | Design Exception Process | October 1, 2013 | Both |
| | Attachment A – Design Exception Process Flowchart | October 1, 2013 | Both |

Section 3.3 -- Consultant and In-House Design

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

Section 3.4 -- Preliminary Design

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

Section 3.5 -- Final Design

| | | | |
|------------------------|--|-------------------|------|
| 3.505* | Check and Final Plans | February 18, 2013 | Both |
| | Attachment A – Check and Final Plan Guidelines | February 18, 2013 | Both |
| | Attachment B – Check and Final Plan Checklist (Word) | February 18, 2013 | Both |
| | Attachment C – Check and Final Plan Process Flowchart | February 18, 2013 | Both |
| 3.510* | Check and Final Bridge or Culvert Plans | June 18, 2010 | Both |
| | Attachment A – Bridge or Culvert Plan Supplementary Checklist | June 18, 2010 | Both |
| 3.520* | Electronic Bid Item Information | February 18, 2013 | Both |

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

| | | | |
|------------------------|---|-------------------|------|
| 3.605* | Right-of-Way Acquisition | June 18, 2007 | Both |
| | Attachment A – Compensation Estimate Procedures | June 18, 2007 | Both |
| | Attachment B – FHWA Authorization of Right-of-Way Costs Flowchart | June 18, 2007 | Both |
| | Attachment C – Early Right-of-Way Acquisition Process Flowchart | June 18, 2007 | Both |
| 3.640* | Utility Accommodation and Coordination | February 11, 2014 | Both |
| | Attachment A – Utility Coordination Flowchart | December 11, 2008 | Both |

| | | | |
|------------------------|---|-------------------|------|
| | Attachment B – Utility Coordination Checklist (Word) | February 11, 2014 | Both |
| 3.650* | Federal-aid Participation in Utility Relocations | February 11, 2014 | Both |
| | Attachment A – Utility Relocation Federal-Aid Eligibility Flowchart | February 11, 2014 | Both |
| | Attachment B – FHWA Authorization of Utility Relocation Costs Flowchart | February 11, 2014 | Both |
| 3.670* | Work on Railroad Right-of-Way | May 1, 2007 | Both |
| | Attachment A – Notification and Agreement of Maintenance Work in Railroad Right-of-Way (Word) | May 1, 2007 | Both |
| | Attachment B – Notification of Construction Work in Railroad Right-of-Way (Word) | May 1, 2007 | Both |
| | Attachment C – Work on Railroad Right-of-Way Flowchart | May 1, 2007 | Both |
| 3.680* | Federal-aid Projects Involving Railroads | May 1, 2007 | Both |
| | Attachment 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 I.M. 3.41 , dated September 2005; I.M. 3.42 , dated March 2002; and I.M. 3.43 , dated September 2002) | (future) | Both |
| 3.710* | DBE Guidelines | June 18, 2007 | Both |
| 3.715 | TSB Guidelines | (future) | Both |
| 3.720* | Local Letting Process – Federal-aid | April 12, 2007 | Both |
| | Attachment A – Pre-Award Checklist and Certification | April 12, 2007 | Both |
| | Attachment B – Post-Award Checklist and Certification | April 12, 2007 | Both |
| | Attachment C – Supplemental Agreement | April 12, 2007 | Both |
| 3.730* | Iowa DOT Letting Process | October 1, 2013 | Both |
| | Attachment A - Iowa DOT Pre-Letting Process Flowchart | October 1, 2013 | Both |
| | Attachment B – Iowa DOT Post-Letting Process Flowchart | October 1, 2013 | Both |
| 3.750* | Project Development Certification Instructions | December 3, 2007 | Both |
| | Attachment A – Project Development Certification Process Flowchart | December 3, 2007 | Both |
| | Attachment B - Sample Project Development Certification Form | December 3, 2007 | Both |
| 3.760* | Public Interest Findings | May 12, 2014 | Both |
| 3.770 | Paving Point Requirements | August 24, 2012 | Counties |
| | Attachment A – Paving Point Determination | August 24, 2012 | Counties |
| | Attachment B – Sample Notice of Public Hearing (Word) | August 24, 2012 | Counties |
| | Attachment C – Sample Resolution (Word) | August 24, 2012 | Counties |

Section 3.8 -- Construction

| | | | |
|------------------------|--|-------------------|------|
| 3.805* | Construction Inspection (see I.M. 3.51 , dated September 2002) | (future) | Both |
| 3.810* | Federal-aid Construction by Local Agency Forces | December 11, 2008 | Both |

Section 3.9 -- Project Close-out and Audits

| | | | |
|------------------------|--|------------------|------|
| 3.910* | Final Review, Audit, and Close-out Procedures for Federal-aid Projects | December 3, 2007 | Both |
| | Attachment A – Project Close-out Process Overview Flowchart | December 3, 2007 | Both |
| | Attachment B – Final Review and Audit Process Flowchart – Highway or Bridge Construction | December 3, 2007 | Both |
| | Attachment C – Final Review and Audit Process Flowchart – Non-highway Construction, DOT Specifications | December 3, 2007 | Both |
| | Attachment D – Final Review and Audit Process Flowchart – Non-highway Construction, Non-DOT Specifications | December 3, 2007 | Both |

| | | | |
|------------------------|---|------------------|----------|
| | Attachment E – Pre-audit Checklist (Word) | December 3, 2007 | Both |
| | Attachment F – Final Forms Packet Checklist (Word) | December 3, 2007 | Both |
| 3.920 | Final Review, Audit, and Close-out Procedures for State-aid Projects | (future) | Both |
| 3.930* | Interest Payment Procedures | December 3, 2007 | Both |
| | Attachment A – Sample Interest Payment Information Form | December 3, 2007 | Both |
| 3.940 | County Engineer Resolution | December 3, 2007 | Counties |
| | Attachment A – Sample County Engineer Resolution (Word) | December 3, 2007 | Counties |

Chapter 4 – Systems Classification And Identification

Section 4.0 -- General

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

Section 4.1 -- (Reserved)

Section 4.2 -- Farm-to-Market System

| | | | |
|-----------------------|--|-----------------|----------|
| 4.210 | Modification of the Farm-to Market (FM) System | August 10, 2011 | Counties |
| 4.220 | Farm-to-Market Review Board Advisory Opinions on Proposed Jurisdictional Transfers | April 2002 | Counties |

INSTRUCTIONAL MEMORANDUMS

To Local Public Agencies



| | |
|--|--------------------|
| To: Counties and Cities | Date: July 1, 2014 |
| From: Office of Local Systems | I.M. No. 3.111 |
| Subject: Threatened and Endangered Species | |

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

This I.M. also includes the following attachment:

[Attachment A](#) - Section 7 Process Flowchart

Acronyms

- BA - Biological Assessment
- BMP - Best Management Practices
- CE - Categorical Exclusion
- DNR - Department of Natural Resources
- DOT - Department of Transportation
- EA - Environmental Assessment
- EIS - Environmental Impact Statement
- ESA - [Endangered Species Act](#)
- FHWA - Federal Highway Administration
- LPA - Local Public Agency
- USFWS - United States Fish and Wildlife Service

Introduction

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

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

A list of federally listed threatened and endangered species in Iowa can be found on the [USFWS Midwest Region](#) website. A list of State threatened and endangered species can be found in 571 IAC [Chapter 77](#), Endangered and Threatened Plant and Animal Species.

NOTE: The Determination of Effect for Threatened and Endangered Species for Local Public Agencies form ([Form 760005](#)) may be included with the Concept Statement submittal, as per [I.M. 3.105](#), Concept Statement Instructions. If the Concept Statement submittal has not been completed the [Form 760005](#) may be submitted independently but must include a general description of the work, location of the project, and photos of the surrounding impact area. For additional information see [Office of Location and Environment Local Public Agency](#) website.

Evaluation of Species and Habitats

1. Determine what species to look for:

- a. Request a list of state species/critical habitat from the [Iowa DNR](#). The Iowa DOT has developed a [sample letter of request to the DNR](#); and
 - b. Review a list of Federal species/critical habitat at the [USFWS](#) website.
2. Using the response from the Iowa DNR and information from the USFWS website, evaluate the habitat characteristics. Species-specific information is available on the [Iowa DNR](#) and [USFWS](#) websites. It will describe the habitats needed for each species.
 3. Determine if there are species or habitats in the project area that may be impacted.

Determination of Effect

Following evaluation of the project area, the LPA needs to determine the effect of the intended action on any federal or state listed species or listed habitat using the Determination of Effect for Threatened and Endangered Species for Local Public Agencies form ([Form 760005](#)). There are four categories of effect:

- *No effect* – consultation with USFWS is not required
- *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. Formal Consultation with USFWS may be required in the form of a Biological Assessment (BA).
- *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.

Step 1 - If the LPA finds that no species or habitats are in the project area, complete the Determination of Effect for Threatened and Endangered Species for Local Public Agencies form ([Form 760005](#)) and indicate that there is "No Effect". The LPA shall submit the completed [Form 760005](#) with a copy of the response letter from the Iowa DNR to the LPA Section 7 Specialist, Office of Location and Environment. Section 7 is complete.

If the LPA finds there are species or habitats in the project area, move on to the next step.

Step 2 - The LPA determines if there are measures that can be taken to avoid potential impacts to species or habitats. If there are, the LPA shall document the avoidance measures when completing the Determination of Effect for Threatened and Endangered Species for Local Public Agencies form ([Form 760005](#)) and indicate that there is "No Effect". The LPA shall submit the completed [Form 760005](#) with a copy of the response letter from the Iowa DNR to the LPA Section 7 Specialist, Office of Location and Environment. Section 7 is complete.

If measures cannot be taken to avoid potential impacts to the species or habitats, move on to the next step.

Step 3 - The LPA shall determine if there are measures that can be taken to minimize potential impacts to species or habitats. If more in-depth habitat assessments are needed, contact a qualified professional.

To determine the measures that will be necessary to minimize impacts to a Federally listed species, an Informal Consultation will be required. To initiate an Informal Consultation, the LPA shall submit a letter requesting an Informal Consultation to the Office of Location and Environment including a Determination of Effect for Threatened and Endangered Species for Local Public Agencies form ([Form 760005](#)), a copy of the response letter from the Iowa DNR, and any other relevant project information. The Office of Location and Environment will contact USFWS for consultation. Concurrence from USFWS concludes Informal Consultation. For State listed species, the LPA shall forward project information and documentation to Iowa DNR. Review by the Iowa DNR will also conclude state level consultation. All agency responses will be included in NEPA documentation.

If measures can be taken to minimize potential impacts and the USFWS concurs and/or the Iowa DNR has reviewed the consultation, note such measures when completing the Determination of Effect for Threatened and Endangered Species for Local Public Agencies form ([Form 760005](#)) and indicate "May

Affect – Not likely to adversely affect”. Section 7 is complete.

If measures can be taken to minimize potential impacts but USFWS does not concur or Iowa DNR does not agree, the LPA, Office of Location and Environment, and FHWA will evaluate whether the non-concurrence supports further study including:

- a. Additional habitat surveys.
- b. Presence/absence surveys.
- c. Collection of other additional data.
- d. Whether to prepare a BA and request formal consultation through FHWA.

If measures cannot be taken to minimize potential impacts to species or habitats, a Formal Consultation will be required. A Formal Consultation requires the LPA to complete a Biological Assessment (BA) and submit a request for formal consultation to the LPA Section 7 Specialist, Office of Location and Environment. The LPA Section 7 Specialist will work with FHWA to enter into formal consultation with the USFWS.

Species-Specific Guidance

The following information is provided as guidance for commonly encountered issues with certain species. This guidance is not exhaustive or comprehensive. Please see the [USFWS](#) web site for more information.

Endangered Bats

The map of counties designated as within the range of the Indiana bat may be found at the USFWS [Iowa Bat Range Map](#) website. Refer to the USFWS [Indiana Bat Summer Survey Guidelines](#) for additional guidance. When tree clearing is required in areas meeting criteria for Indiana bat habitat, the LPA should take steps to avoid impacts to Indiana bat habitat and to minimize impacts that are unavoidable. The LPA should plan for clearing trees after September 30 and prior to April 1, to avoid direct harm to the Indiana bats. See Iowa DOT Standard Specification 2101.01, A. If significant tree clearing of Indiana bat habitat is necessary, mitigation may be required.

Topeka Shiner

The map of counties designated as within the range of the Topeka shiner may be found at the [Topeka Shiner Range and Designated Critical Habitat in Iowa](#) website.

For projects located within a stream designated as critical habitat for the Topeka shiner, consultation between Iowa DOT and USFWS will be required. When working in areas meeting criteria for Topeka shiner habitat, the LPA should take steps to avoid impacts to Topeka shiners and to minimize impacts that are unavoidable. The LPA should plan for avoiding activities in the stream between May 15 and July 31, which is the primary spawning period for Topeka shiners. Insert Iowa DOT Standard Note [281-6](#) into the project plans, which restricts project activities within the stream between these dates.

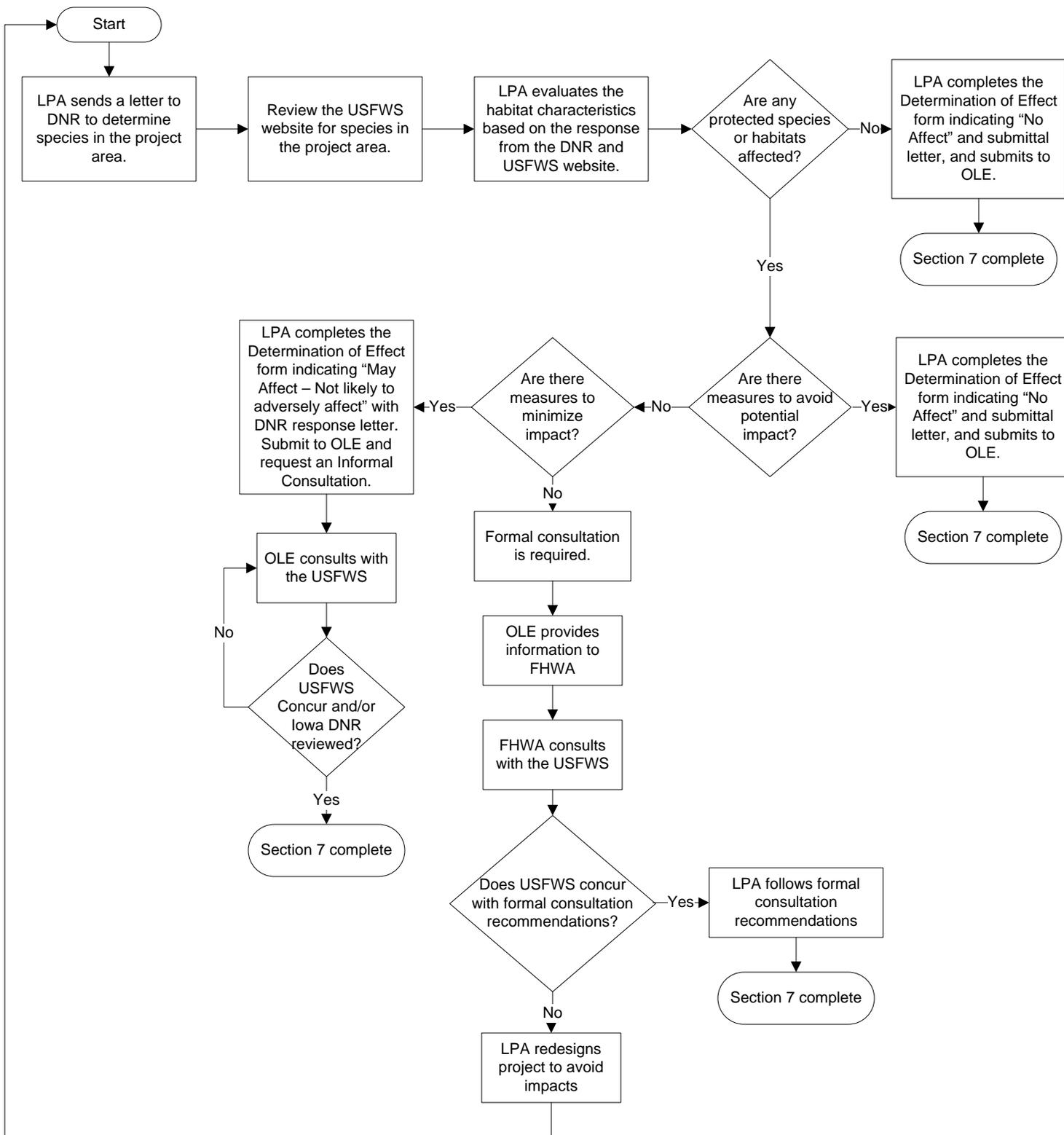
Bald Eagle

The Bald eagle is no longer listed as threatened or endangered by USFWS or the Iowa DNR; however, the Bald eagle remains protected under the [Bald and Golden Eagle Protection Act of 1940](#) and the [Migratory Bird Treaty Act of 1918](#). The Iowa DNR recommends limiting disturbance of known nesting sites and winter roosts by creating a minimum 0.25 mile no disturbance buffer zone. The [National Bald Eagle Management Guidelines](#) offer additional measures for avoiding impacts to bald eagles.

Migratory Birds

Migratory birds, their occupied nests, and their eggs are protected from disturbance or destruction in Iowa by the [Migratory Bird Treaty Act of 1918](#). To protect migratory birds, do not conduct construction activities where active nests are present between the dates April 1 and July 15 inclusive or until the birds have fledged and left the structure. If evidence of migratory bird nesting is discovered after beginning work, or in the event that migratory bird nests become established, immediately stop work and notify the Engineer. Remove and properly dispose of all non-active, existing migratory birds nests and monitor weekly to prevent the establishment of active nests. Contact the [Iowa DNR](#) with any questions.

Section 7 Process Flowchart



Abbreviations / Acronyms:

Admin Office – Iowa DOT Administering Office
 DNR = Iowa Department of Natural Resources
 LPA = Local Public Agency
 OLE = Iowa DOT Office of Location and Environment
 USFWS = United States Fish and Wildlife Service

