

# Guide and / or I.M. Revision Notice

**To:** Cities, Counties, and Consultants

**Date:** August 28, 2014

**From:** Office of Local Systems

**Revision Notice Number:** 2014-04

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existing Project Development Information Packet (Packet) or County Engineers I.M. documents that have been replaced or superseded.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](mailto: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)
<b>I.M. Table of Contents</b> August 28, 2014	The I.M. Table of Contents has been revised to reflect new or revised I.M.s, as indicated below.
<b>I.M. 3.505</b> Check and Final Plans August 28, 2014	This I.M. has been updated. Substantive changes from the previous version include the following: <ul style="list-style-type: none"> <li>• A requirement was added for inclusion of a detailed project cost estimate with the check plan submittal. A revised estimate is also required at the final plan submittal.</li> <li>• Attachment A updated the requirements for bid item specifications.</li> <li>• Several changes were made to Attachment B, Check and Final Plans Checklist:               <ul style="list-style-type: none"> <li>○ A checklist item was added for the TPMS Project Location Map. Having an accurate map is important because spatial data is being derived from the map in TPMS. Maps must be consistent with the project description in TPMS Programming.</li> <li>○ Other new checklist items include, Railroad Crossing Numbers, Contractor Furnished Borrow, and Project Funding Signs.</li> <li>○ The Federal Funds Programmed checklist item was modified to clarify that it only applies to county projects funded by Highway Bridge Program (HBP) funds. Also, the threshold for when a project should not be submitted for letting because of a difference in the amount of HBP funds programmed and the county's current estimate was decreased to 15%. However, provisions were also added to allow a county to proceed towards letting even if the threshold is exceeded, but with a reduced Federal pro-rata share for the project.</li> <li>○ The checklist item for Electronic Signatures was modified to require final electronic plans to have display a signature on the design engineer's certification block. Previously, use of an electronic signature was optional.</li> <li>○ Other checklist items modified include the Work Type Description, Standard Plans Note, Iowa DNR Storm Water Permit, Bid Items specifications, and</li> </ul> </li> </ul>

Document Title or I.M Number	Summary of Significant Revision(s)
	Earthwork Quantities.
<b>I.M. 3.730</b> Iowa DOT Letting Process August 28, 2014	This I.M. has been updated. Substantive changes from the previous version include the following: <ul style="list-style-type: none"> <li>• Changed the requirements for addendums under the 1<sup>st</sup> Tuesday of the month of the letting. Clarified that if all addendums are not acknowledged, the project may be withdrawn, but all bidders who fail to acknowledge the addendums will be deemed non-responsive.</li> <li>• Clarified the requirements for the Bid Analysis. The table for criterion 1, adequate competition, was modified to indicate that only competitive bids should be considered in this table.</li> <li>• Clarification was also added that LPAs should not reject bids because of inadequate funds if the low bid is within 10% of the LPA's estimate.</li> </ul>
<b>I.M. 3.940</b> Resolution to allow County Engineer to Certify Completion of Work on Construct Contracts August 28, 2014	This I.M. has been updated. Substantive changes from the previous version include the following: <ul style="list-style-type: none"> <li>• The title has been updated to more accurately reflect the guidance established by the I.M.</li> <li>• A note has been added to clarify what this resolution does and does not do.</li> </ul>

# 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
<b>Chapter 1 – General Information</b>			
<b>Section 1.0 -- General</b>			
<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
<b>Section 1.1 -- References</b>			
<a href="#">1.120</a>	References to the Iowa Code	August 2003	Counties
<b>Chapter 2 – Administration</b>			
<b>Section 2.0 -- Finance</b>			
<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
<a href="#">2.040</a>	Temporary Allocation of Farm-to-Market Funds	November 2001	Counties
<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> – Example of Resolution to Add, Modify, or Advance a Project ( <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="#">2.110</a>	Maintenance of County Roads at Intersections, Interchanges, and Grade Separations with the Primary Highway System	May 12, 2014	Counties
	<a href="#">Attachment A</a> – Iowa DOT PPM 630.01, Rural Intersection and Destination Lighting	March 16, 2004	Counties
	<a href="#">Attachment B</a> – Iowa DOT PPM 630.03, Interchange and Freeway Lighting	March 16, 2004	Counties
<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
	<a href="#">Attachment J</a> - Quality Assurance Field Review Worksheet ( <a href="#">Word</a> )	July 18, 2013	Both
	<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
	<a href="#">Attachment M</a> - Sample Fracture Critical Member Locations and Conditions for Trusses form	July 18, 2013	Both

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<a href="#">2.210</a>	Engineering and Traffic Investigations – Speed Limit Study	March 2002	Counties
	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	May 12, 2014	Counties
	<a href="#">Attachment A</a> - Area Service “B” Sample Ordinance ( <a href="#">Word</a> )	May 12, 2014	Counties
	<a href="#">Attachment B</a> - Area Service “B” Sample Resolution ( <a href="#">Word</a> )	May 12, 2014	Counties
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<a href="#">2.230</a>	Signing for Low Cost Stream Crossings	June 2002	Counties
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2.240	Iowa DOT Traffic Counts	(future)	Both

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<a href="#">2.310</a>	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 ( <a href="#">Word</a> )	April 2002	Both

## Chapter 3 – Project Development

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<a href="#">3.002*</a>	Federal-aid Project Scheduling	February 16, 2007	Both
<a href="#">3.005*</a>	Project Development Submittal Dates and Information	February 11, 2014	Both
<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
<a href="#">3.111</a>	Threatened and Endangered Species ( <a href="#">webinar recording</a> )	July 1, 2014	Both
	<a href="#">Attachment A</a> - Section 7 Process Flowchart	July 1, 2014	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
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	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

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<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

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	<a href="#">Attachment A</a> – Preliminary Plan Guidelines	February 18, 2013	Both
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<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

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	<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
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	<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
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<a href="#">3.730*</a>	Iowa DOT Letting Process	August 28, 2014	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	May 12, 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

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<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
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	<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
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3.920	Final Review, Audit, and Close-out Procedures for State-aid Projects	(future)	Both
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	<a href="#">Attachment A</a> – Sample Interest Payment Information Form	December 3, 2007	Both
<a href="#">3.940</a>	Resolution to allow County Engineer to Certify Completion of Work on Construction Contracts	August 28, 2014	Counties
	<a href="#">Attachment A</a> – Sample 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

# INSTRUCTIONAL MEMORANDUMS

## To Local Public Agencies



To: Counties and Cities	Date: August 28, 2014
From: Office of Local Systems	I.M. No. 3.505
Subject: Check and Final Plans	

**Contents:** This Instructional Memorandum (I.M.) includes guidelines and procedures for preparation, submittal, and review of Local Public Agency (LPA) check and final plans for letting by the Iowa Department of Transportation (Iowa DOT). This I.M. also includes the following attachments:

- [Attachment A](#) – Check and Final Plan Guidelines
- [Attachment B](#) – Check and Final Plan Checklist ([Microsoft Word](#))
- [Attachment C](#) – Check and Final Plan Process Flowchart

**Note:** If the project involves a bridge or culvert, refer also to [I.M. 3.510](#), Check and Final Bridge or Culvert Plans.

### Preparation

#### Content and Format

Check and final plans should be 100% complete and shall address all comments from the Preliminary Plan review. Plans shall be prepared in accordance with [Attachment A](#). Attachment A provides general guidelines and instructions applicable for all types of projects. Check and final plans shall also be prepared in accordance with [Attachment B](#). Attachment B provides a checklist of specific items that will be reviewed by the Iowa DOT Administering Office. The Iowa DOT strongly recommends that the LPA or its consultant use both these attachments to perform an internal plan review prior to submitting the project plans to the Iowa DOT.

#### Design Guidelines

For new or complete reconstruction projects, refer to either the Iowa Statewide Urban Design and Specifications (SUDAS) [Design Manual](#), Chapter 5, for urban design guidance; or [I.M. 3.210](#), Rural Design Guidelines. For Resurfacing, Restoration, or Rehabilitation (3R) projects, refer to [I.M. 3.214](#), 3R Guidelines.

Federal-aid projects that do not meet these guidelines will require a design exception. The project design criteria should have already been reviewed and approved by the Administering Office. However, if the need for a design exception has arisen after the preliminary plans were submitted for review, a design exception request shall be submitted with the check plans. For more information, refer to [I.M. 3.218](#), Design Exception Process.

Even though the Iowa DOT does not review design criteria for projects funded with only Farm-to-Market or local funds, the Iowa DOT strongly recommends that LPAs properly document any design features that do not meet the current applicable AASHTO design guidelines.

### Submittals

The timely submission of check and final plans often becomes a critical point in the project development process. All submittals shall be made to the Administering Office in accordance with [I.M. 3.005](#), Project Development Submittal Dates and Information. LPAs are strongly encouraged to use the Transportation Program Management System (TPMS), Development module, for all project submittals and correspondence. Submittals shall include the following items, as applicable:

#### Check Plans

- A transmittal letter, memo, or e-mail, including the following information:\*
- The project number, location, and proposed letting date.
- Specific contract requirements, if requested (e.g., start date, number of working days, combined projects, etc.), including the reasons for the request.

- The specific funding sources that will be used to pay for the project. If the project includes plan divisions, identify the funds to be used for each division. If more than one type of fund will be used for a division, specify the order in which the funding sources should be used. For more information, refer to plan division guidance included in [Attachment A](#).
- Identification of any changes in the physical limits or impacts of the project from the previously approved Concept Statement, if any. This includes changes to the project termini, depth of ground disturbance, and additional impacts to adjacent properties that were not reflected in the approved Concept Statement. Note: The LPA is responsible to communicate these changes to the Office of Location and Environment so that the pending or previously granted FHWA Environmental Concurrence can be re-evaluated.
- Indication if a structural review is required or requested, as per [I.M. 3.510](#), Check and Final Bridge or Culvert Plans.
- If a project will be combined with another project(s) into one contract for letting, specify the other project(s).
- If a bridge, culvert, or grading project does not require a U.S. Army Corps of Engineers 404 permit, a statement that explains why the permit is not required.
- If a bridge, culvert, or grading project does not require an Iowa Department of Natural Resources Floodplain Construction permit, a statement that explains why the permit is not required.
- If the project does not disturb 1 or more acres of land, a statement that the National Pollutant Discharge Elimination System (NPDES) permits is not required.
- If a Federal-aid bridge or culvert project will not use epoxy-coated reinforcing steel, a waiver request as per I.M. 3.510, [Attachment A](#), Bridge or Culvert Plan Supplementary Checklist, is required.
- If the project includes alternate bids for pavement types, include a copy of the life cycle cost analysis. For more information, refer to alternate bids guidance included in [Attachment A](#).
- If the project will use any Developmental Specifications (DS) or Supplemental Specifications (SS), identify the specifications by number and title.
- If the [DS for Added Options Bidding](#) will be used, specify the contract award limit to be used.
- If the [DS for Best Value Alternative \(A-D\) Bidding](#) will be used, specify the alternative differential (D) to be used.

\* If the TPMS Development submittal tool is used, information that is already available in TPMS Development does not need to be repeated in the transmittal e-mail.

- A complete set of Check Plans. These should be 100% complete and incorporate all preliminary plan review comments provided by the Administering Office and any other offices that were involved in the preliminary plan review.
- A detailed project cost estimate.
- A completed Check and Final Plan Checklist, as per [Attachment B](#) (encouraged, but not required).
- Special Provisions, if applicable.
- Structural calculations, if the project involves a bridge or culvert that requires a structural review as per [I.M. 3.510](#), Check and Final Bridge or Culvert Plans.
- Design exception documentation, if a design exception is required but has not been previously requested.
- A Public Interest Finding request, if required as per [I.M. 3.760](#), Public Interest Findings.

#### Final Plans

- A transmittal letter, memo, or e-mail, including the following information:
  - The project number, location, and proposed letting date.
  - Identification of any changes to the project submittal, other than those requested by the Check Plan review, that have been made to the plans since the Check Plan submittal. Please be specific. It is

especially important to note any plan changes that affect bid items or the estimate reference information. Providing a separate set of plans that show all changes with highlighter or mark-up is recommended.

- Confirmation that the project bid item information has been entered in the on-line Bid Items Application, as per to [I.M. 3.520](#), Electronic Bid Item Information.
- A complete set of Final Plans. These should incorporate all Check Plan comments made by the Administering Office and any other offices involved in the Check Plan review.
- A updated detailed project cost estimate.
- Revised Special Provisions, if applicable.
- A completed Project Development Certification (PDC) ([Form 730002 \(Word\)](#)). For more information, refer to [I.M. 3.750](#), Project Development Certification Instructions.
- A copy of the executed railroad agreement, if work will occur on railroad right-of-way or within 25 feet of the centerline of the outermost railroad track. For more information, refer to [I.M. 3.670](#), Work on Railroad Right-of-Way.
- A copy of the 404 permit, if required.
- A copy of the National Pollutant Discharge Elimination System (NPDES) Individual Permit, if required. Note: If the project is permitted under General Permit No. 2, a copy of the permit is not required. For more information, refer to [I.M. 3.140](#), Storm Water Permits.
- A Public Interest Finding request, if required as per [I.M. 3.760](#), Public Interest Findings.

#### Electronic Submittals

Electronic submittals are required. For more information, refer to [I.M. 3.005](#), Project Development Submittal Dates and Information.

#### Utility Coordination

In addition to submitting final plans to the Iowa DOT, final plans should also be submitted to all utilities within the project limits or corridor. For more information, refer to [I.M. 3.640](#), Utility Accommodation and Coordination.

#### Review

Plans submitted in conformance with this I.M. should be returned by the Administering Office in a timely manner with relatively few comments. If the plans do not conform to these guidelines, the review process will require more time and effort by the LPA and the Iowa DOT, which could delay the project letting.

The process for submittal, distribution, and review of project plans is illustrated in [Attachment C](#). As the flowchart shows, if the project involves bridge or culvert that requires a structural review, or the project requires work on an Interstate or Primary highway, the plans will need additional reviews by other Iowa DOT offices. Because these reviews may require additional time, early submittal of such plans is strongly encouraged.



## Check and Final Plan Guidelines

For Local Public Agency (LPA) Projects Let by the Iowa Department of Transportation (Iowa DOT)

### Plan Format

Use of the Iowa DOT plan format is strongly recommended; however, except where noted otherwise, use of the Iowa DOT [Standard Road Plans](#) and [Road Design Details](#) is not required for LPA projects. Use of the Iowa DOT format promotes uniformity and consistency of project plans. This results in lower bid prices because most contractors that bid on projects let by the Iowa DOT are familiar with the Iowa DOT format. It also reduces the amount of effort, and consequently, the cost required to create a set of plans suitable for letting by the Iowa DOT.

### Iowa DOT Standard Plans

The Iowa DOT strongly encourages use of its [Standard Road Plans](#). When used, Standard Road Plans should not be included in the plan set, but instead shall be incorporated by reference.

All of the Standard Road Plans listed below may be used on any city or county project. These Standard Road Plans are available on-line in either MicroStation format or Adobe Acrobat's Portable Document Format (PDF). Where specific design problems require special solutions, the Standard Road Plans may be modified and included in the plans as a detail or detail sheet; however, the Standard Road Plans number and revision date shall be removed. Each type of Standard Road Plan is further described below.

The [Standard Road Plans](#) have been developed by the Iowa DOT Office of Design to show standardized design features, construction methods, and approved materials to be used in highway construction in the State of Iowa.

The [LRFD English Culvert Standards](#), and/or [LRFD Precast Culvert Standards](#) have been developed by the Iowa DOT Office of Bridge and Structures. These culvert standards include complete details for a variety of sizes and configurations of culverts.

The [English Bridge Standards](#) are also provided by the Iowa DOT Office of Bridges and Structures. The Standard Bridge Plans most applicable to local agency projects have been grouped together on the [English County Bridge Standards](#) web page. These Standard Bridge Plans include complete details for continuous concrete slab bridges and pretensioned prestressed concrete beam bridges, in a variety of widths, lengths, and spans.

### Iowa DOT Road Design Details

The [Road Design Details](#) are available on-line in either MicroStation or PDF format. The Road Design Details contain standard design and tabulation forms, notations, details, and detail sheets. Similar to the [Standard Road Plans](#) described above, if a Road Design Detail is modified, the number and revision date shall be removed. The types of details included in the Road Design Details are further described below:

Standard Tabulations ([100 series](#)) include various tabulations for design data, bid items, and supplementary information. If used, these tabulations and forms shall be inserted on the plan sheets.

Standard Notations ([200 series](#)) are standardized notes that may be inserted on the plans as part of the General Notes. Using the Standard Notations saves time in writing the General Notes and promotes uniformity. The General Notes should contain general project information only. Information specific to bid items should be shown in the Estimate Reference Information.

Design Detail Sheets ([500 series](#)) are complete plan sheets. They provide details for common roadway items such as drainage appurtenances, fencing, certain pavement or shoulder construction details, traffic barriers and associated appurtenances, and more. If a Design Detail Sheet is used, it shall be included as a separate sheet in the plan set. It shall not be incorporated by reference.

Typical Details ([1000 to 9000 series](#)) are individual details. They include details for typical sections, curbs, shoulders, medians, etc. If a Typical Detail is used, it shall be placed on a plan sheet. It shall not be incorporated by reference.

## Iowa DOT Specifications

All projects let at the Iowa DOT that involve highway related construction work shall utilize the current edition of the Iowa DOT Standard Specifications for Highway and Bridge Construction (Standard Specifications), including the most recent General Supplemental Specifications (GS) and any applicable Supplemental Specifications (SS), Developmental Specifications (DS), and Special Provisions (SP). The designer should become thoroughly familiar with these specifications.

For projects that do not involve highway related construction work (such as historical building restorations), alternative technical specifications may be included as an SP. However, in all cases, Division 11 of the Standard Specifications shall be used for projects let by the Iowa DOT.

### Standard Specifications

The Standard Specifications are published periodically in book form. Plan notes that delete or modify parts of the Standard Specifications are strongly discouraged. If special conditions require this, written justification must be provided when the plans are submitted.

### General Supplemental Specifications (GS)

The GS are revisions to the Standard Specifications that have not yet been incorporated into the printed book. The GS are published in hard copy twice each year, effective with the April and October lettings. However, the current GS are merged with the on-line Standard Specifications, which are provided as part of the Electronic Reference Library ([ERL](#)). The GS current at the time of project letting will always apply to the project, just as the Standard Specifications will.

### Supplemental Specifications ([SS](#))

Some SS are for particular bid items not contained in the Standard Specifications or GS, or for bid items which modify those contained in the Standard Specifications or GS. When an LPA project uses a bid item that requires an SS, the Iowa DOT will automatically apply that SS to the bid proposal. Other SS are not related to a specific bid item, but instead specify an alternate construction or testing procedure. Such SS shall be identified by the designer when the plans are submitted for review.

Like the GS, the SS are included as part of the [ERL](#). New SS that have become available since the ERL was last published are also available on the Specification Section's [Newly Published Documents](#) web page.

### Developmental Specifications ([DS](#))

DS must be applied by the designer to a specific project by reference on the plans. However, after initial approval by the Iowa DOT, they can be re-used for multiple projects without being reviewed and approved each time. The Iowa DOT has developed many DS in response to commonly occurring SP and other special situations. If a DS is used on a LPA project, it shall be identified by the designer when plans are submitted for review.

The currently available DS are listed on the Specification Section's [Developmental Specifications](#) web page. Some DS have been developed for specific situations or experimental projects; and therefore may not be appropriate for use on any LPA project. These DS have a person identified as a "Controller," as listed on the DS web page. Before using any DS that has a Controller, contact the Administering Office for assistance. DS without a Controller are designed for general use and may be applied to any LPA project.

### Special Provisions (SP)

SP are for bid items or areas of work that are not adequately addressed by the Standard Specifications, SS, DS, or on the project plans. SP are project-specific. They may be re-used on other projects, but a new SP number must be assigned each time. If required, the LPA's designer is responsible for preparing the necessary SP in the proper format. Each SP applicable to an LPA project must be included with the check plans submittal and reviewed and approved for use by the Administering Office. For guidance concerning the

format and content of an SP, refer to the [Requirements for Preparing and Submitting Special Provisions for State and Local Projects](#), published by the Iowa DOT Specifications Section.

## SUDAS Specifications

The Statewide Urban Design and Specifications (SUDAS) may not be incorporated into the contract documents by reference, either in whole or in part. However, several sections of the SUDAS Specifications have been incorporated into the Iowa DOT Standard Specifications. Some other SUDAS Specification sections are available as a DS. SUDAS Specifications not included in the Iowa DOT Standard Specifications or a DS may be incorporated into an SP, however, the designer should carefully review and revise the cross-references as necessary to ensure compatibility with the Iowa DOT Standard Specifications.

## Proprietary Products

Specifications using patented or proprietary (i.e., brand name) products or processes are strongly discouraged, either on the project plans or as part of an SP. Generic, end-result specifications are preferred. However, if a proprietary specification must be used, at least 3 acceptable products must also be listed, along with the phrase, "or approved equal." If only one proprietary product is allowed, a Public Interest Finding must be submitted to and approved by the Administering Office. For more information, refer to [I.M. 3.760](#), Public Interest Findings.

## Salvaged Materials

Section 1104 of the Standard Specifications states that all items or materials to be removed by the contractor shall become the possession of the contractor, unless stated otherwise in the contract documents. In some cases, Local Public Agency (LPA) may wish to retain possession of certain items or materials by directing the contractor to transport and stockpile those items or materials to a specified location. If items or materials will be salvaged, credit to the project is not required. However, in order to comply with Federal requirements, neither Federal nor State funds may participate in the cost of transporting and stockpiling salvaged materials. Therefore, for any item or material that will be salvaged by the contractor, 2 bid items shall be used:

1. A standard bid item shall be used for the cost of removal, demolition, or milling of material, as appropriate, that is necessary to construct the project. If no standard bid item exists, a non-standard bid item may be used. Federal, State, Farm-to-Market (FM), or local funds may be used to pay for the costs associated with this item.
2. A lump sum bid item 2555-000010, Deliver and Stockpile Salvaged Materials, shall be used for the cost of transporting and stockpiling the items or materials. Neither Federal nor State funds may participate in the cost of this bid item. However, local or FM funds may participate. An LPA may also elect to transport and stockpile the salvaged materials with its own forces. If so, use of this bid item is not required, but the contract documents must specify how and where the LPA's forces will pick up the salvaged materials.

In addition to the 2 bid items described above, in all cases the plans shall include a tabulation of the items or materials to be salvaged including a description, quantity, and delivery location. The plans shall also specify the manner in which the materials must be stockpiled.

Provisions in the contract documents that permit optional salvage of certain items for use by the Contracting Authority are not allowed. Since some items may have some value, optional salvage provisions would make it difficult or impossible to accurately bid the project.

## Special Procedures for HMA Millings:

If the contract documents for a project involving Recycled Asphalt Pavement (RAP) require the contractor to deliver and stockpile less than 5,000 tons of excess HMA millings for the LPA's use, the LPA should use the DS for "Contractor Stockpiled Shoulder Material". This DS allows the contractor the option of substituting Class A shoulder stone for the excess HMA millings. This better accounts for the value of the RAP material and should result in better bids. If this DS is used, the "Contractor Stockpiled Shoulder Material" bid item shall be used instead of the "Deliver and Stockpile Salvaged Materials" bid item. Likewise, the "Contractor

Stockpiled Shoulder Material” bid item may not have Federal-aid or State-aid, but may have local or FM funding participation.

If the DS for “Contractor Stockpiled Shoulder Material” is not used on a project that requires the contractor to salvage less than 5,000 tons of excess HMA millings, the “Deliver and Stockpile Salvaged Materials” bid item shall be used to pay for the cost of transporting and stockpiling the excess HMA millings from the project site or plant site to the LPA’s stockpile. In this case, this bid item shall not have Federal-aid or State-aid, but may have local or FM participation. If the LPA will transport and stockpile the excess HMA millings with its own forces, use of the “Deliver and Stockpile Salvaged Materials” bid item is not required.

Federal-aid or State-aid projects shall not require salvage of more than 5,000 tons of excess HMA millings because this quantity of material may have a significant value and therefore could result in lower bid prices if the contractor were allowed to keep the excess material. Projects paid for with only local or FM funds may require some or all of the HMA millings to be delivered and stockpiled for use by the LPA.

### **Combined (Tied) Projects**

When combining non-Federal-aid projects with Federal-aid projects into one contract, in certain situations the National Environmental Policy Act (NEPA) requirements will also apply to the non-Federal-aid projects. The general principle that governs the application of NEPA can be stated as follows: NEPA does not apply to a non-Federal-aid project that is combined with a Federal-aid project, if all the following conditions are met:

1. The projects have independent utility. This means that each project can be constructed and serve its intended purpose, even if the other project is not built. For example, a grading project and a paving project for the same physical limits do not have independent utility, because the grading project itself doesn’t result in a useable transportation facility. As another example, a bridge deck overlay and an adjacent roadway overlay would have independent utility, because it is possible to construct one without the other and each would result in a useable transportation facility.
2. The funding and payments for each project can be segregated and tracked separately. This condition is not directly related to NEPA, but since one project has Federal participation and the other doesn’t, this is required to ensure that Federal-aid is not used to reimburse ineligible project costs.
3. The non-Federal-aid project was not “de-federalized” simply to avoid NEPA requirements. This means that if the LPA begins developing a Federal-aid project and then run into environmental issues that will require more work than anticipated, the LPA cannot simply remove the Federal-aid or divide the Federal-aid project into separate Federal-aid and non-Federal-aid projects. The potential environmental impacts of a project may be considered before deciding which type of funds to use, but once the Federal-aid project development process begins, the LPA must comply with the NEPA requirements.

If the combined projects do not meet the criteria outlined above, for purposes of NEPA, they will be viewed as one project, and therefore the NEPA process and associated requirements would apply to all the combined projects. Please note this guidance pertains only to the applicability of NEPA. The criteria outlined above has no effect on other Federal requirements, some of which always apply to the whole contract, including any non-Federal-aid projects included in the contract. Examples include Davis-Bacon wage rates and Buy America provisions.

If an LPA has project-specific questions, or if are unsure whether their project meets these criteria, please contact the appropriate Iowa DOT Administering Office. The Administering Office will consultant with the Iowa DOT Office of Location and Environment as needed to determine whether NEPA will apply to non-Federal-aid projects combined with Federal-aid projects.

### **Plan Divisions**

Plan divisions are required when there is a need to separate certain parts of the work from other parts of the work for a single project. Following are examples of common situations where plans divisions should be used:

- All the work shown on the plans cannot be paid for with the same funding sources. For example, items with Federal-aid must be in a separate plan division from non-Federal-aid items. Another example is when the project involves multiple types of funds (not counting the local match) and one type of funds may be used only for certain items and not for others.

- The work crosses a jurisdictional boundary and there is a need to identify the proportion of project costs that will be paid by the respective LPAs. For example, a county project may begin in a rural area and continue into a city. In this instance, plan divisions would be necessary to track and identify the final project costs so the county can bill the city for its share of the project costs.
- The LPA desires to separate the costs based on the general type of work, such as structures and pavement. Use of plan divisions in this instance is optional.

There may be other situations where the use of plan divisions is appropriate. Contact the Administering Office for assistance if needed.

If plan divisions are used, they should comply with the following guidelines:

1. Use the fewest number of divisions as possible.
2. The bid items and quantities in each plan division shall be shown in a corresponding bid item category in the electronic bid item information (see the "Bid Items" section below for more information).
3. The Estimated Project Quantities tabulation shall have a separate column for each division, labeled with a division number (e.g., "Division 1," "Division 2," etc.). For each division, include quantities for all bid items that apply to that division. Show the sum of all bid item quantities for all divisions in the "Total" column of the Estimated Project Quantities tabulation.
4. Provide a description for each division on the quantities sheet. This description should identify the purpose of the division. For example, divisions may be used to separate Federal-aid items from non-Federal-aid items. They may also be used to separate items paid for by separate LPAs, or one funding source from another. Funding sources should be identified by the type of funds (e.g., STP) instead of a project number.

Note: Different project numbers should only be assigned to plan divisions if those plan divisions represent separate projects that are combined on one set of plans. In such cases, a separate entry in the Transportation Program Management System (TPMS) and a separate electronic bid item submittal will be required for each project.

If the bid items in a single plan division will be paid for with more than one type of funds (not counting the local match), specify the type and order in which those funding sources should be used in the cover letter or e-mail that accompanies the plan submittal.

Use the following guidelines for establishing funding priorities within a division:

1. Use Federal-aid first.
2. If more than one type of Federal-aid will be used, use the one with the highest reimbursement percentage first. For example, if a project has an earmark at 100% and STP funds at 80%, use the earmark first, then the STP funds.
3. Use State-aid second.
4. If more than one type of State-aid will be used, use the one with the highest reimbursement percentage first.
5. When matching Federal-aid, use State-aid first, then local funds.
6. State-aid may match Federal-aid and vice-versa.
7. When all other funding sources have reached their limit, use local funds.

These guidelines are designed to maximize the use of Federal-aid and minimize the use of local funds. However, there may be situations where it is appropriate to deviate from these guidelines. Contact the Administering Office for assistance if needed.

## **Bid Items**

Use Iowa DOT standard bid items as listed in the Bid Items Application referenced by [I.M. 3.520](#), Electronic Bid Item Information. Each bid item listed in the Estimated Project Quantities tabulation must have a valid bid item code, description, units, and estimated quantity.

Standard bid items shall be used unless: 1) an item is not covered by the Standard Specifications (including the applicable GS, SS or DS), or 2) the LPA can justify that a non-standard item is necessary (i.e. to maintain system compatibility).

Non-standard items will have item code of 2599-9999XXX, where XXX is a number that is determined by the units used for that item. See the Bid Item Description Book for the appropriate 2599 item numbers to use for a variety of possible bid item units. The description for all 2599 items is entered by the designer. More than one 2599 item (even with the same units) may be listed on the plans, as long as the description for each 2599 item number is unique.

Note: Because 2599 items are not covered by the Standard Specifications, the designer must provide the necessary details and / or specifications to describe the materials and work covered by this item. In addition, the designer must supply the method of measurement and basis of payment information for all 2599 items. This information may be provided either on the project plans or in a SP, depending on the amount of information required. Refer to the [Requirements for Preparing and Submitting Special Provisions for State and Local Projects](#) for more information.

## **Incidental Items**

Keep incidental materials and work items to a minimum. Use of bid items for all measurable work and materials is recommended. As a general rule, if there is an item in the [Bid Item Description Book](#) that is applicable to any item of work shown on the plans, this bid item should be used. If an item of work is incidental, the bid item to which it is made incidental shall be identified. In addition, the nature of the incidental work shall be adequately described, including estimated quantities. Enough information shall be provided to allow the bidder to make a reasonable estimate of the cost of any work designated as incidental.

## **Bid Item Specifications**

All bid items must have a description, construction, materials, method of measurement, and basis of payment information specified in the contract documents. For items that use a Special Provision, this information should be shown in the Special Provision. For items that do not use a Special Provision, and all or part of this information is not addressed by the Standard Specifications, GS, SS, or DS, this information should be shown in the estimate reference note on the plans.

For each bid item listed in the [Bid Item Description Book](#), a code is listed under the SPEC column. This code directs the bidder to the appropriate location for the specifications for that bid item. If the code in the SPEC column is "PLAN, STD6, SP or SP2," the designer must supply the specification information, either on the plans or in a Special Provision. See the instructions in the front of the Bid Item Description Book for more information.

If unfamiliar with writing specification language, the designer should refer to the Standard Specifications for examples.

## **Estimate Reference Information**

Estimate Reference Information should be clear, concise, and used to explain anything special about the item. The Estimate Reference Information should direct the bidder to the location of any additional information about that particular bid item in the plans, such as a plan sheet, detail, or tabulation.

*Do NOT make reference to the applicable section of the Standard Specifications or restate what is contained in them.* Generally, the first 4 digits of a standard item code directs the bidder to the appropriate section in the Standard Specifications. Citing Standard Specification sections or restating what is contained in them is not necessary and only increases the potential for conflicts within the contract documents. In addition, do not make reference to applicable SS, DS, or SP. Instead these shall be identified by the designer when the plans are turned in for review.

Use of the phrase, "As directed by the Engineer" should be avoided, both in the SP, Estimate Reference Information, and elsewhere on the plans. "As directed by the Engineer" shall not be used when the Engineer's direction may result in additional costs to the contractor. Any work to be bid by a contractor should be adequately described in the contract documents. Use of this phrase makes it difficult, if not impossible, for the contractor to prepare an accurate bid. This adds risk to the contractor and may increase the project cost unnecessarily.

### Alternate Bids

In some cases, alternate bidding may be an appropriate method to promote competition and thereby reduce project costs. There are two acceptable methods for alternate bidding:

1. Standard. Using this method, which is also sometimes referred to "head-to-head". Using this method, the alternatives are included in separate sections on the plans and proposal. The alternatives are compared with each other, and a contract is awarded to the bidder with the lowest overall bid. No adjustment factors are used.

Note: This method is not acceptable for alternate pavement types (see below for more information).

2. Best Value. This method expands the number of options a bidder can bid and allows the contracting authority to receive the best value based on individual alternatives selected by each bidder. Under this method, the contracting authority pre-determines the additional amount it is willing to pay for the best value alternative over the base alternative and this differential (D) is identified on the bid proposal. Refer to the DS for [Best Value Alternative \(A-D\) Bidding](#) for more information.

### Plan Requirements for Alternate Bids

When alternate bids are used, the plans and proposal must include sections to separate the bid items appropriately. There are two acceptable methods for accomplishing this:

1. Base bid + alternatives. Using this method, the base (or non-alternate) bid items are placed in the first section. The base bid includes work that is common to all the alternatives. The work unique to each alternative is placed in a separate section, one for each alternative. All bidders must submit a bid for the base bid items, but may bid only one of the alternatives.
2. Alternatives only. Using this method, there is no common set of bid items. All the items necessary for a complete bid are included in a separate section, one for each alternative. Bidders may bid only one of the alternatives.

### Alternate Bids for Pavement Types

While not encouraged by the Iowa DOT, alternative bids for pavement types (such as HMA vs. PCC) may be used if all the following conditions are met:

1. The LPA's engineering and economic analysis does not indicate a clear choice between the pavement designs. In other words, the designs are essentially equivalent. Essentially equivalent means the designs provide a similar level of service over the same performance period and have similar life-cycle costs.
2. The pavement costs will likely have a significant impact on the low bid. Alternative bids for pavement types are not appropriate for contracts in which the paving costs are expected to be relatively minor in comparison to the other items of work.
3. The pavement alternates will be bid using the DS for [Best Value Alternative \(A-D\) Bidding](#), where (D) is the difference between the Net Present Value of the two alternatives, as calculated by the contracting authority. This is also referred to as a bid adjustment factor.

If alternate pavement type bidding is requested, the LPA's design engineer shall prepare and submit a life cycle cost analysis (LCCA) for the alternate pavement designs to the Iowa DOT Administering Office. The LCCA shall demonstrate the designs are essentially equivalent and comply with guidelines provided in the Federal Highway Administration's (FHWA) Pavement [Technical Advisory T 5040.39](#), Use of Alternate Bidding for Pavement Type Selection. The LCCA shall show how the bid adjustment factor was calculated.

For Federal-aid projects, the LPA's LCCA shall be reviewed and approved by the FHWA before the project is turned in to the Office of Contracts for letting. In order to allow enough time for FHWA's review, the LCCA should be submitted with the Check Plans if possible, but no later than 3 weeks prior to the Contracts Turn-in date, as per [I.M. 3.005](#), Project Development Submittal Dates and Information.

For non-Federal-aid projects, FHWA review and approval is not required, but the LCCA should still comply with FHWA's Technical Advisory in order to ensure the contract is awarded to the design with the lowest estimated life-cycle cost. The Iowa DOT will only verify that the LCCA has been performed.

Note: Because of the data required and complexity of analysis involved, LPAs should carefully evaluate the expected benefits against the additional costs required to prepare an LCCA that meets FHWA's guidelines. Also, after bids are opened, the Iowa DOT will provide copies of the LCCA to bidders or other interested parties upon request. LPAs should also be aware that it is difficult to prepare an LCCA that is satisfactory to the competing paving industries, so they should be fully prepared to defend a decision to award which is based on their LCCA.

### **Added Options Bidding**

This method allows the Contracting Authority to obtain the most work, or the best options, for the funds available for the project. Using this method, a contract is awarded to the bidder who bids the most options but stays under the contract award limit, which is identified on the bid proposal.

When this method is used, plans and proposal shall have a separate section for the base bid items and the items for each of the added options. Each added option is an incremental improvement over the base and previous options, if applicable. The price bid for each option will be added in the order shown on the plans and proposal. Therefore, the most important option should be included first, and the least important option is included last.

Refer to the DS for [Added Options Bidding](#) for more details on this bidding method.

## Check and Final Plan Checklist

For Local Public Agency (LPA) Projects Let by the Iowa Department of Transportation (Iowa DOT)

Project No.: \_\_\_\_\_ Date: \_\_\_\_\_ LPA or Consulting Firm: \_\_\_\_\_

Name of Designer: \_\_\_\_\_ Phone No.: \_\_\_\_\_ e-mail: \_\_\_\_\_

Note: This checklist is not intended to cover all of the details, notes, and information that may be necessary for acceptable check and final plans. However, this checklist addresses the items where most questions or problems generally arise. *This checklist is requested, but not required with the check plan submittal.* This checklist is not needed with the final plan submittal.

### GENERAL

- Project Concept:** For Federal-aid projects, the proposed design criteria, improvements, and project limits are consistent with the scope and type of work shown in the approved Concept Statement for Local Systems Federal-aid Projects ([Form 517001](#)) and the approved Preliminary Plans. Any significant changes to the project concept (e.g., proposed design elements, project limits, potential environmental impacts, type of work, etc.) shall be explained in the cover letter that accompanies the plans. For more information, refer to [I.M. 3.105](#), Concept Statement Instructions.
- Environmental Document Requirements:** If the approved environmental document (e.g., Section 4(f) statement, Environmental Assessment, or Environmental Impact Statement) specifies that certain conditions shall be met, or certain sensitive areas shall be avoided, the plans shall be consistent with these requirements.
- Format:** Plans shall conform to the [Specifications for Electronic Plan Submittals to the Iowa DOT](#).
- Dimensions and Legibility:** Plans shall be formatted as single-sided, 11"x17" printing. To ensure that all of the plan can be printed accurately, the border widths (i.e., clear space between the edge of paper and printing on the plan) shall meet the following minimum dimensions: top and bottom = 1/4 in.; left and right = 5/8 in. All lettering and details on the 11"x17" plan sheets shall be legible if printed.
- Check and Final Bridge or Culvert Plans:** Bridge or culvert plans shall also conform to the guidelines provided in [I.M. 3.510](#), Check and Final Bridge or Culvert Plans.
- STIP Description:** Verify the project location description in the Statewide Transportation Improvement Program ([STIP](#)), as shown in the Transportation Program Management System ([TPMS](#)) Programming, matches the description shown on the plans and the description shown in TPMS Development. All project work must be within the limits of STIP description and the limits used for environmental review (as shown on the Concept Statement); otherwise, additional programming changes or environmental review will be required. If so, contact the Administering Office as soon as possible.
- TPMS Project Location Map:** Verify the project location map shown in TPMS is consistent with the project location description in the STIP and the limits of the project shown on the plans. The project location map is used to collect spatial data about the project. The TPMS project location map need not be exact, but should be reasonably accurate. For the purposes of this data collection, the project termini on the location map should be within 0.1 miles of the actual project termini.
- Federal Funds Programmed:** For county Highway Bridge Program (HBP) projects only, review the amount of Federal-aid shown in the current STIP. If the estimated Federal share exceeds the amount of Federal-aid programmed in the STIP by more than 15%, the project should not be submitted for letting, unless a STIP amendment or modification can be completed before the 1<sup>st</sup> Tuesday, 1 month prior to letting. The time required to complete a STIP amendment or modification may vary from a few days to more than a month, depending on the planning agency and the specific circumstances. If a STIP amendment or modification may be required, contact the planning agency and Administering Office as soon as possible. Projects submitted with a pending STIP amendment or modification must specify the current status and the anticipated completion date. If the amendment or modification cannot be completed before the 1<sup>st</sup> Tuesday, 1 month prior to letting, the project will either be withdrawn from the letting or authorized "as-is", which would limit the amount of Federal-aid that can be received to whatever

is programmed at the time of authorization. If the county elects to authorize the project “as-is”, it will be reimbursed at rate less than the regular 80% Federal share for the remaining life of the project. The reimbursement rate will be equal to the amount of Federal-aid programmed divided by the estimated total cost, at the time the project is submitted for authorization.

## TITLE SHEET

- Check Plans Stamp:** Check Plan submittals should be identified by including the words “Check Plans” on, near, or across the designer’s certification block.
- System Classification:** The roadway system classification shall be shown. The Systems Classification should be shown in large font near the center or upper middle part of the sheet. For county projects, use “Farm-to-Market System” for a project on a Farm-to-Market route or “Secondary Road System” for a project on a local route. For city projects, use “Urban Road System.” For projects located on the corporation line, use the system classification that is under the jurisdiction of the lead governmental agency.
- Location Map:** A location map with a north arrow and major street names shall be shown. Use of the 911 street names, as shown on the [Iowa DOT city and county maps](#), is recommended. The location map should be located near the left or bottom left part of the sheet. The location map should also include a scale (or be noted as “Not to Scale”) and identify the project limits including the beginning and ending stations. If project divisions are used, their limits shall also be indicated, either on the location map or in a plan note.
- Railroad Crossing Numbers:** If there are any railroad crossings within the project limits, include the Federal Rail Administration (FRA) crossing number for each crossing. Crossing numbers can be obtained from the FRA, [Office of Safety Analysis web site](#).
- Electronic Signatures:** Check Plans should not be signed. Final Plans shall be signed by the design engineer and may be signed by the LPA officials. Electronic signatures may be applied in a variety of ways, including:
  - Printing a hard copy of the plan sheet, signing by hand, and scanning the plan sheet in PDF file format; or
  - Placing a scanned image of a hand written signature into the drawing file before creating the PDF file of the plan sheet; or
  - Placing text or an image in the signature area using one of Adobe Acrobat’s electronic signature features; or
  - Any other means that produces a visual indication that the plans have been signed.
- Designer’s Certification Block:** The plans shall include a certification block and seal that complies with the appropriate sections or chapters of the Code of Iowa and the Iowa Administrative Code (IAC). The designer’s certification block should be shown near the bottom right part of the sheet.
- LPA’s Signature Block:** The plans may include a signature block that includes the title of the appropriate LPA official(s) with a space for each official(s) signature and date. If included, the LPA’s signature block should be shown near the bottom right part of the sheet.

NOTE: If a signature block is not included, this does not relieve the LPA officials of the responsibility to approve the plans and specifications by the council or board of supervisors. Approval should be documented by means of a motion or resolution.
- Index of Sheets:** An index listing all sheets included in the plans shall be shown. The index of sheets should be shown near the right or upper right part of the sheet. Sheets should generally be listed in the following order: title sheet, typical sections, standard details, estimated quantities tabulation, estimate reference information, supplemental tabulations, plan and profile sheets, other detail sheets, and cross sections. Use of the Iowa DOT sheet numbering system as shown in the Iowa DOT Road Design Manual, [Section 1F-1](#), is recommended. If used, it shall be used consistently.
- Sheet Total:** The total number of sheets included in the plan set should be shown in the upper right corner.

**Availability of Cross Sections:** If cross-sections will be included, they shall be submitted with the plans. Cross-sections will be available only through the Office of Contracts. They shall not be supplied directly to bidders by the LPA.

**Project Number:** The Iowa DOT project number shall be shown in at least one place on all plan sheets. Recommended placements for the title sheet and all other sheets include the middle left margin and the bottom right margin. For the title sheet, the project number should also be shown near the upper right corner or in the center (above or below the project title).

NOTE:

- Usually, only one project number should be shown on the plans. However, if the plans will include more than one project, additional project numbers should be shown, along with a description and limits of each project. In such cases, a separate entry in the [TPMS](#) and a separate electronic bid item file will be required for each project.
- If a single project spans more than one jurisdiction (e.g., across county or city boundaries), the project number used should correspond to jurisdiction in which the project stationing begins (i.e., the westerly or southerly end of the project).
- If unsure about which project number or how many project numbers to use, contact the Administering Office for assistance.

**LPA Name and Project Location:** The name of the city or county shall be shown in at least one location on all plan sheets. Recommended placement is on the bottom left margin. On the title sheet, the name of the city or county and a brief description of the project location shall also be shown, preferably in the center part of the sheet. The description shall include the route or street name, plus the beginning and ending points of the project. Beginning and ending points shall be identified by a cross street, feature crossed, corporation limits, or some other feature that can be located on a map. If multiple routes or streets are included in the project, list each separately. For a Federal-aid project, the description on the plans shall be consistent with description for the project in the [STIP](#) and in [TPMS](#) Development.

**Work Type Description:** A [standard work type description](#) shall be shown, preferably in the center part of the sheet. Use the work type description that best represents the largest portion of the estimated contract cost. More than one work type description may be used, but for advertising purposes, only one work type (that which represents the largest portion of the estimated contract cost) will be used. Verify that the work type description used is the same as the work type chosen in TPMS.

**Mileage Summary Tabulation:** For roadway or trail projects, a mileage summary tabulation that includes the total project mileage shall be shown. This tabulation should be shown near the center or bottom center part of the sheet. The tabulation shall also include the beginning and ending stations of the project and any plan divisions (if used). Any station equations or exceptions present on the project shall also be identified in the tabulation.

**Standard Plans Note:** A note shall be included that specifies the location of all of the applicable [Standard Road Plans](#), [English County Bridge Standards](#), [LRFD English Culvert Standards](#), and/or [LRFD Precast Culvert Standards](#).

**Letting Date:** A space or a box for the project letting date shall be shown, preferably on upper left margin of sheet. If the letting date is known, the appropriate date may be shown in the box or space provided.

**U.S. Army Corps of Engineers 404 Permit:** If a permit is needed, include Standard Note [281-1](#) near the left or upper left part of the sheet. Complete the first blank with one of the following, as appropriate: "Nationwide Permit XX", where XX is the Nationwide Permit Number (14, 33, etc.); "Regional Permit 7", or "Individual Permit". Complete the second blank with the Corps' project-specific permit number, as shown in the subject line of the Corps' permit approval letter. The project-specific number may be omitted for projects that can proceed under a Corps Nationwide Permit without notification to the Corps, because no such number is assigned.

NOTE:

- If a bridge, culvert, or grading project does not require this permit, this shall be noted in the cover letter with the check plans.
- General 404 permit requirements are included in [Article 1105.14](#) of the Iowa DOT Standard Specifications for Highway and Bridge Construction (Standard Specifications). However, if the Corps added any special conditions to their approval of the permit, these shall be indicated on the plans.
- If the approved 404 Permit application indicated a temporary stream access will be allowed, Standard Road Plan [EW-401](#) shall be used. If the approved 404 Permit application indicated that temporary stream access will not be allowed, include Standard Note [282-1](#) to note this condition. For more information, refer to [I.M. 3.130](#), 404 Permit Process.
- An electronic copy of the 404 permit shall be supplied to the Administering Office with either the Check or Final Plans submittal.

**Iowa DNR Floodplain Construction Permit:** If a permit is needed, the following note shall be included: *“This project is covered by Iowa DNR Floodplain Construction Permit No. (insert Iowa DNR permit number).”* This note should be shown on the left or upper left part of the sheet. If a bridge, culvert, or grading project does not require this permit, this shall be noted in the cover letter with the check plans. Refer to [I.M. 3.410](#), Preliminary Bridge or Culver Plans, for more information.

**Iowa DNR Storm Water Permit:** If the project disturbs 1 acre or more of land, include one of the following notes. The note should be shown near the left or upper left part of the sheet. Any area where soil is exposed to erosive forces, such as wind or water, shall be considered disturbed. The LPA shall be responsible for obtaining the appropriate National Pollutant Discharge Elimination System (NPDES) permit. The contract documents shall not shift this responsibility to the contractor. For more information, refer to [I.M. 3.140](#), Storm Water Permits.

- If the project can be constructed under General Permit No. 2, include the following note: “This project is covered by the Iowa Department of Natural Resources NPDES General Permit No. 2. The contractor shall carry out the terms and conditions of General Permit No. 2 and the storm water pollution prevention plan which is a part of these contract documents. Refer to [Section 2602](#) of the Standard Specifications for additional information.”
- If the project requires an individual permit, include Standard Note [281-2](#) and fill-in the appropriate individual permit number and submit an electronic copy of the permit to the Administering Office.

**Standard Specification Note:** The following standard note shall be included near the center of the sheet: *“Refer to the Proposal Form for list of applicable specifications.”*

**FHWA Structure Number:** If the project involves a bridge, the FHWA structure number shall be shown, preferably on or near the location map that shows the location of the bridge. Bridges are defined as any structure with a clear opening greater than 20 feet, as measured along the centerline of the roadway.

**Utility Contacts:** If any utility facilities are within or immediately adjacent to the proposed limits of construction, utility contact information (company name and a contact person’s name, address, and phone number) shall be shown for each utility company. The Iowa One-Call symbol and phone number should also be displayed. These should be shown near the bottom center part of the sheet.

**Automatic Traffic Recorders:** If automatic traffic recorders are present within the project limits, Standard Note [262-4](#) shall be included. See the Iowa DOT’s [Automatic Traffic Recorder](#) web page to locate existing traffic recorders.

## TYPICAL SECTION SHEETS

**Dimensions and Slopes:** Proposed cross section elements shall be detailed with adequate horizontal and vertical dimensions. Pavement slopes, cut slopes, and fill slopes shall also be specified.

**Materials Specified:** The type and thickness of surface, base and subbase materials for pavements, shoulders, sidewalks, or trails shall be shown. Materials should be identified using the appropriate bid item description for that material.

- Number of Typical Sections:** Separate typical sections for each significantly different type of cross section found on the project shall be shown. Use separate typical sections to show differences in the number of lanes, pavement types, pavement thicknesses, curb and gutter, sidewalk, or recreational trails.
- Station Ranges:** If more than one typical section is used, the applicable stationing ranges shall be labeled for each. If the project contains more than one plan division, the applicable division(s) for each typical section should be noted.
- Existing Features:** For projects that involve widening, milling, resurfacing, or other modifications to the existing pavement and / or shoulder; the type, thickness, and width of existing pavement and / or shoulder structure should be shown on the typical cross section.

#### QUANTITY, ESTIMATE REFERENCE, GENERAL NOTE, AND TABULATION SHEETS

- Estimated Project Quantities Tabulation:** All plans shall include an Estimated Project Quantities tabulation. Use of the Standard Tabulations ([100 Series](#)) is recommended. If a non-standard tabulation is used instead, it shall include, as a minimum, the Iowa DOT bid item code, item description, unit, and total bid item quantity. If plan divisions are used, the Estimated Project Quantities tabulation shall also indicate the bid items or quantities of items that apply to each division. A label or description of each division shall also be included. For additional information, refer to I.M. 3.505, [Attachment A](#), Check and Final Plan Guidelines, Plan Divisions section.
- Tabulation of Standard Plans:** Tabulations shall be included that list all of the applicable [Standard Road Plans](#), [English County Bridge Standards](#), [LRFD English Culvert Standards](#), and/or [LRFD Precast Culvert Standards](#), including revision dates which are current for the targeted letting. For each standard plan listed, all of the standard plans referenced by that standard plan shall also be listed.

Note: Bidders should not be referred to the Office of Bridges and Structures or the Office of Local Systems to obtain hard copies of the Standard Bridge Plans or Standard Culvert Plans. These are available in electronic format at the links provided above.

- Supplementary Tabulations:** Supplementary tabulations should also be used to provide additional information or a breakdown of bid item quantities. When possible, include a total quantity for each bid item shown in a supplemental tabulation. The bid item quantity listed in a supplemental tabulation should match the total bid item quantity as listed in the estimated quantities tabulation. If the bid item quantity contains additional quantities that are not shown in the supplemental tabulation, note these additional quantities in the Estimate Reference Information. Use of the Standard Tabulations ([100 Series](#)), is recommended. If included, the most current version shall be used. For additional information, refer to I.M. 3.505, [Attachment A](#), Check and Final Plan Guidelines, Iowa DOT Road Design Details section.
- Bid Item Codes, Description, and Units:** The bid item codes, descriptions, and units listed on the plans shall match the current list of standard bid items, as shown in the Bid Items Application referenced by [I.M. 3.520](#), Electronic Bid Item Information. Only valid bid items shall be used. For additional guidance, refer to I.M. 3.505, [Attachment A](#), Check and Final Plan Guidelines, Bid Items section.
- Bid Item Specifications:** Check the SPEC code given for each item in the [Bid Item Description Book](#). If this code indicates that the specification information, including, but not limited to method of measurement and basis of payment, must be supplied by the designer, it shall be included in the plans (preferably in the Estimate Reference Information) or the applicable Special Provision. For additional guidance, refer to I.M. 3.505, [Attachment A](#), Check and Final Plan Guidelines, Method of Measurement and Basis of Payment section.
- Estimate Reference Information:** Estimate Reference Information shall be provided. Estimate Reference Information should explain what is included in a bid item and where additional information about that item can be found in the plans. For additional guidance, refer to I.M. 3.505, [Attachment A](#), Check and Final Plan Guidelines, Estimate Reference Information section.
- Non-Participating Items or Quantities:** If any bid items or quantities are excluded from participation by one or more of the project funding sources, those bid items or quantities shall be separated by means of plan divisions. Some bid items or quantities may be non-participating based on the Federal or State

eligibility rules or regulations for a particular funding program. For example, some utility relocations are not eligible for Federal-aid, as described in [I.M. 3.650](#), Federal-aid Participation in Utility Relocations. For additional guidance, refer to I.M. 3.505, [Attachment A](#), Check and Final Plan Guidelines, Plan Divisions section. If uncertain about whether any bid items or quantities should be designated as non-participating, contact the Administering Office for assistance.

**Salvaged Items:** If the contractor is required to deliver and stockpile any salvaged items that will become the property of the Contracting Authority, bid item 2555-000010, Deliver and Stockpile Salvaged Materials, shall be used. This bid item shall be placed in a non-participating plan division in the plans and in the Bid Items Application. If the Contracting Authority will deliver and stockpile the salvaged materials with its own forces, this bid item shall not be used. For more information, refer to I.M. 3.505, [Attachment A](#), Check and Final Plan Guidelines, Salvaged Materials section.

**Earthwork Quantities:** A breakdown of earthwork quantities should be shown in a separate tabulation or in the Estimate Reference Information. Quantities should be shown for cut, fill, the assumed shrinkage percentage, and any waste or borrow requirements.

NOTE:

1. Topsoil shall not be included in the pay quantity for the various excavation bid items. Topsoil is a separate pay item, and must be included if NPDES General Permit No. 2 is required on this project.
2. Overhaul should be paid for if it is in excess of the free-haul limits specified by the contract documents. If the plans do not specify a free-haul distance, the free-haul distance will be 1000 feet, as per [Article 2108.04.E](#) of the Standard Specifications.

**Contractor Furnished Borrow:** If the amount of contractor furnished borrow material is 10,000 cubic yards or less, which includes the combination of select soil treatment and Class 10, use bid item 2102-2625000, Embankment-in-Place. This item will not require any special submittals or testing or specifications. A reference note should be included with the bid item that indicates the embankment is contractor provided. If the quantity is greater than 10,000 cubic yards, use bid item 2102-2625001, Embankment-in-Place, Contractor Furnished.

NOTE:

1. If the quantity is greater than 10,000 cubic yards, the contractor will be required to provide sampling, testing, and a proposed borrow report to the Engineer as per [Materials I.M. 545](#).
2. If the quantity is greater than 50,000 cubic yards, the Iowa DOT Office of Contracts will post a copy of the check plans on its [web site](#) to provide bidders with advance notice of projects with large amounts of contractor furnished borrow.

**Roadway Pipe Culverts:** If roadway pipe culverts are part of the project work, the bid item, 2402-2720100, Excavation, Class 20, For Roadway Pipe Culvert, shall be included as per the [Standard Road Plans](#).

**Earth Shoulders / Fill:** If the work involves construction of earth shoulders or earth shoulder fill above the subgrade elevation adjacent to a paved surface or curb and gutter, one of the following bid items shall be included: if the volume of earth shoulder is included in the Class 10 Excavation quantity, bid item 2123-7450020, Shoulder Finishing, Earth, shall be used; if the volume of earth shoulder is not included in the Class 10 Excavation quantity, then bid item 2123-7450000, Shoulder Construction, Earth, shall be used. Each side of a trail or roadway is measured separately.

**Lump Sum Item Split:** For each lump sum item on a project with more than one plan division, a decimal fraction quantity shall be included for each plan division, if the lump sum item applies to that division. For each lump sum item, the sum of the quantities shown for all the applicable plan divisions shall equal 1.0.

**Guardrail Items:** If the construction includes guardrail, all of the bid items as listed on the applicable [BA](#) series of Standard Road Plans shall be included. The applicable Standard Tabulations in the [108 series](#) shall be used.

**Trail Paving:** Portland Cement Concrete (PCC) or Hot Mix Asphalt (HMA) bicycle or pedestrian trails shall be paid for with the bid items specified by [Section 2511](#) of the Standard Specifications. HMA Commercial Mix is also acceptable for trails (see item below).

- HMA Commercial Mix for Trail Paving:** If bid item 2303-0000100, Hot Mix Asphalt Mixture, Commercial Mix, is used for trail paving, the following note shall be included in the Estimate Reference Information, unless an alternative specification has been approved: *"All work shall be completed in accordance with Iowa DOT Standard Specifications, except that Article 2303.02 Materials, shall not apply. The Contractor shall furnish and place a commercial asphalt mix with a three-eighths (3/8) maximum aggregate size and a minimum asphalt content of 6.25 %. Class II compaction shall be required. Payment for asphalt cement shall not be made separately but shall be included in the unit price bid for this item."*
- Bridge Approach Paving:** If bridge approach paving is included in the work, all of the bid items as listed on the applicable RK series of Standard Road Plans shall be included. Standard Tabulation [112-6](#) shall be used.
- Bridge Removals:** If the project involves removal of a bridge, bid item 2401-6745625, Removal of Existing Bridge, shall be used. Use of this bid item for bridge removals is required to automatically generate the "Notification of Demolition" form that the Office of Contracts will send to the contractor. This form is required to comply with the State and Federal asbestos regulations. For more information, refer to [I.M. 3.160](#), Asbestos Inspection, Removal, and Notification Requirements.
- Construction Survey:** Bid item 2526-8285000, Construction Survey, shall be included if the contractor is providing the construction survey for the project.
- Flaggers:** Bid item 2528-8445113, Flaggers, shall be included if reference is made to roadway flaggers in a Standard Road Plan, or if flaggers are called for by the traffic control details or notes. The bid quantity for Flaggers shall be designated as "Per Proposal" on the plans. If desired, the designer may estimate a quantity for purposes of preparing the engineer's estimate. However, the Office of Contracts will determine the actual bid quantity based on the number of working days assigned for the project and insert this number on the proposal.
- Safety Closures:** Bid item 2518-6910000, Safety Closure, shall be included if road closures or hazard closures are shown on a referenced Standard Road Plan or traffic control detail, or if they are required by a plan note. Use of Standard Tabulation [108-13A](#) for Safety Closures is recommended.
- Pavement Smoothness:** If the Pavement Smoothness, [Section 2316](#) of the Standard Specification, is desired for HMA or PCC paving, this shall be indicated in the Estimate Reference Information for the appropriate paving bid items. If called for, this specification shall be added in its entirety. Parts of the specification shall not be written out.
- Certified Plant Inspection:** If the Certified Plant Inspection, [Section 2521](#) of the Standard Specifications, is desired for a specific bid item (e.g., HMA or PCC paving, structural concrete, or flowable mortar), this shall be indicated in the Estimate Reference Information of the bid item(s) for which Certified Plant Inspection will apply. If Certified Plant Inspection is called for, it may be appropriate to also include bid item 2520-3350010, Field Laboratory.
- Subdrains:** If a drainable base is used, a subdrain system should be included. If subdrains are used, all the associated bid items shall be included, as indicated on the appropriate Standard Road Plan.
- Pavement Removal and Patching:** If pavement removal, driveway removal, or patching is required for the project, the type and thickness of the existing pavement shall be shown on the plans. This information may be shown in the tabulations for the removal or patching items, in the Estimate Reference Information, or in separate tabulation for existing pavement (use of Standard Tabulation [102-5](#) is recommended).
- Mobilization:** Bid item 2533-4980005, Mobilization, shall be included for all contracts, except maintenance aggregate, materials only, granular surfacing, or other minor contracts.
- Traffic Control:** Bid item 2528-8445110, Traffic Control, shall be included, unless the plans indicate the LPA will provide and maintain all the necessary traffic control devices. If the LPA does provide the traffic control devices, the plans shall specify where they will be provided to the contractor.

- Clearing and Grubbing:** When large areas densely covered by trees and other vegetation must be cleared, bid item 2101-0850001, Clearing and Grubbing, measured by the acre, should be used. If this acre bid item is used, the plans should specifically indicate the extent of the area to be cleared and grubbed. When the area to be cleared is not densely covered by trees or other vegetation, bid item 2101-0850002, Clearing and Grubbing, measured by the unit, shall be used. In either case, the Estimate Reference Information for these items should include a reference to plan sheet or tabulation where the quantities are shown.
- Scrape Test Note:** If the project involves either removal or painting of an existing painted steel bridge or railing, the following note shall be included: *“Scrape samples of this bridge were taken to get an indication of the existence of and level of total chromium and total lead. The analysis of total chromium in the sample was \_\_\_ppm. The analysis of total lead in the sample was \_\_\_ppm. The analysis shows the existence of these two toxic constituents. The levels indicated by these tests could create conditions above regulatory limits for health safety requirements. No other substances were analyzed. The bidder should not rely on the LPA’s testing and analysis for any purpose other than an indication of the existence of these two constituents.”*
- Pollution Prevention Plan (PPP):** If a National Pollutant Discharge Elimination System (NPDES) permit is required for the project, the PPP and the appropriate erosion control bid items associated with the PPP shall be included, as listed in [Section 2602](#) of the Standard Specifications, unless the LPA will be providing and maintaining all of the erosion control measures. If the LPA will provide these, this shall be clearly stated on the plans. For more information on the NPDES permit procedures, refer to [I.M. 3.140](#), Storm Water Permits.
- Erosion Control Mobilizations:** Bid item 2602-0010010, Mobilizations, Erosion Control, shall be included in projects that are not stand-alone erosion control or landscaping projects, if one or more of the following bid item quantities is shown on the plans: 2601-2642100, Stabilizing Crop - Seeding and Fertilizing (1 acre or greater); 2601-2642120, Stabilizing Crop - Seeding and Fertilizing (Urban) (1 acre or greater); 2602-0000020, Silt Fence (250 feet or greater); or 2602-0000030, Silt Fence for Ditch Checks (250 feet or greater). Stand-alone erosion control or landscaping projects do not require this item since the mobilization work is covered by the regular mobilization bid item.
- Incentive / Disincentive Items:** If the LPA would like to include an estimated cost for incentives or disincentives in the bid price, include incentive / disincentive bid items as appropriate. For more information, refer to [Local Systems Mailing](#) letter on Use of Incentive / Disincentive Bid Items, dated February 7, 2012.
- Project Funding Signs:** If the LPA elects to include such signs as part of the project work, the cost of such work shall be non-participating with respect to Federal and State funds. If used, the signs must conform to the Manual on Uniform Traffic Control Devices (MUTCD). Only essential information regarding the source and amount of funding shall be included on the sign. Promotional information such as the identification of public officials, contractors, organizational affiliations, symbols, logos or other items are prohibited.

#### PLAN AND/OR PROFILE SHEETS

- Existing Features:** The plans should show the location of existing topographical features (e.g., existing pavement, structures, buildings, etc.).
- North Arrow:** A North arrow shall be shown on all plan sheets.
- Scale:** All plan and profile sheets shall show a horizontal scale. Profile sheets shall also show a vertical scale.
- Proposed Right-of-Way (ROW):** If the project involves ROW acquisitions, permanent easements, or temporary easements, the proposed right-of-way lines, easement lines, property lines, parcel numbers, and property owners shall be shown. For projects involving several ROW acquisitions or easements, use of separate ROW sheets is recommended.
- Existing ROW:** Existing ROW lines shall be shown.

- Storm Sewers:** The station and offset information for all new intakes and utility accesses shall be shown on the plan sheets or in a tabulation. If needed, storm sewer profiles should be shown on separate sheets.
- Culverts:** The station, skew, length, and flow line elevations of all roadway and entrance culverts shall be identified, either on the plan and profile sheets or in a separate tabulation.
- Profiles:** The vertical profile data shall be shown, including the percent grade, vertical curve length, K factor, stopping sight distance (SSD), and design speed. The point of vertical curvature (P.V.C.), point of vertical tangency (P.V.T.), and point of vertical intersection (P.V.I.) stations and elevations shall be labeled.
- Alignments:** The horizontal curve data shall be shown, including the point of intersection (P.I.) station, curve length, radius or degree of curvature, tangent length, and delta angle. The point of curvature (P.C.) and point of tangency (P.T.) stations should also be shown.
- Construction Survey Information:** If the contractor will be responsible for the construction staking, the following information shall be shown:
  - **Benchmarks:** List the type, location, and elevation of each benchmark. This information may be listed on a separate sheet if necessary.
  - **Reference Point Information:** List the type, station, offset, and coordinates of each reference point (sometimes called control points). Reference points should also be tied to other existing fixed objects if they are likely to be disturbed by construction activities. Reference tie information should be included by using either a sketch showing the distances to the tie points, or a verbal description of the same. At least 3 reference ties should be given for each reference point. This information may be listed on a separate sheet if necessary.
  - **Horizontal Alignment Information:** List the horizontal coordinates of all P.I.s. The bearing of all tangent lines should also be shown.
- Utilities:** All known utility facilities within or immediately adjacent to the project limits shall be shown, including the approximate location of such facilities and the name of the utility company. For more information, refer to [I.M. 3.640](#), Utility Accommodation and Coordination.
- Railroad (RR) Crossings:** All RR crossings within or immediately adjacent to the project limits shall be shown, including the RR property lines and the name of the RR company. This information shall be included anytime the contractor will be required to gain access or perform work on the RR right-of-way or within 25 feet of the centerline of the outermost RR track, even if the RR facilities are not directly impacted by the project. For more information, refer to [I.M. 3.670](#), Work on Railroad Right-of-Way.
- Intersection Details:** For new construction or reconstruction projects, intersection detail drawings shall be included. Dimensions of channelization islands, curve radii, taper ratios, and taper lengths shall be shown. Intersection details shall be at a scale sufficient to show the necessary geometric details. A 1"=20' scale is recommended.
- Jointing Details:** For PCC paving projects, the spacing and type of joints shall be shown. Use of the Standard Road Plans [PV-101](#) and / or special jointing details is recommended. Joint types shall be specified using the standard types shown on the Standard Road Plans.
- Non-Participation Limits:** If any portion of the contract work is outside the approved or eligible project limits for one or more of the project's funding sources, the limits of the participating work shall be indicated on the plan sheets, including the beginning and ending stations.

## TRAFFIC CONTROL

- Status of Vehicular Traffic:** The plans shall state whether traffic will be maintained or detoured during construction. This may be accomplished via special traffic control notes, details, Standard Traffic Control Plans, or some combination thereof. If part or all of the traffic control devices will be provided, installed, and/or maintained by the LPA, this shall also be stated.

- Status of Pedestrian Traffic:** The plans shall indicate how pedestrian traffic will be addressed during construction. Pedestrian paths may be maintained, closed, or detoured during construction. This may be accomplished via special traffic control notes, details, or some combination thereof. In all cases, pedestrian paths and / or detours shall comply with ADA and MUTCD requirements. For more information, refer to [Section 2528](#) of the Standard Specifications and the [Section 9A-5](#) of the Iowa DOT Design Manual.
- Standard Traffic Control Plans:** Use of applicable Standard Road Plans, [TC Series](#), is strongly recommended. If used, the traffic control notes should explain under what conditions or which locations each Standard Road plan applies.
- Phased Traffic Control:** If the project involves phased construction, project-specific traffic control plans or details shall be included, unless the Standard Road Plans can adequately describe the necessary traffic control for each phase. The traffic control plans or details shall show the appropriate traffic control devices for each phase. Staging notes shall also be included that describe which items of work must be completed as part of each phase.
- Detour Routes:** If a detour will be required, the detour route and the appropriate temporary traffic control devices shall be specified, unless all of the traffic control devices will be provided, installed, and maintained by the LPA. Use of a schematic or "to-scale" detour plan sheet is recommended.

Note: If the detour route and / or signing involves a Primary Highway in any way, contact the appropriate [Iowa DOT District Office](#) to obtain approval of the proposed detour route and / or signs.

- References to the MUTCD:** It is not necessary to reference the MUTCD with respect to temporary or permanent traffic control devices shown on the plans. The Standard Specifications require that all traffic control devices comply with the MUTCD, as adopted by the Iowa DOT. If reference is made to the MUTCD on the plans, it shall be referred to as the *"Manual on Uniform Traffic Control Devices for Streets and Highways, as adopted by the Department per 761 of the Iowa Administrative Code (IAC), Chapter 130."*

## TRAFFIC SIGNAL SHEETS

- Scale:** Drawings shall be of sufficient scale to show the necessary details. A 1"=20' scale is recommended.
- Pavement Markings Details:** Pavement markings including lane lines, stop bars, crosswalks, symbols, and legends should be shown.
- Signal Details:** Signal pole, signal head, mast arm, and detector loops locations should be shown.
- Roadway Details:** Edges of pavement, curbs, sidewalks, and pedestrian curb ramps should be shown.
- Tabulations:** Tabulation(s) shall be provided that list all of the items and quantities that are included in the lump sum Traffic Signalization bid item.

## ACCESSIBILITY

If the roadway, sidewalks, or shared use paths are being altered by the project, the Americans with Disabilities Act (ADA) applies. The following items shall be included on the plans in accordance with the [Design Manual](#), Chapter 12, and [I.M. 1.080](#), ADA Requirements:

- Curb Ramps:** Include compliant curb ramps where required. If ramps already exist but are not fully compliant (e.g., they do not include detectable warnings), those ramps shall either be replaced or retrofitted to meet current ADA requirements.
- Tabulations:** Standard Tabulation [113-10](#), Sidewalk Compliance, shall be included. Other tabulations in the 113 series should be included as appropriate.
- Sidewalk Details:** Sheets that detail the curb ramp designs shall be provided according to the Design Manual, [Section 1F-18](#).

# INSTRUCTIONAL MEMORANDUMS

## To Local Public Agencies



To: Counties and Cities	Date: August 28, 2014
From: Office of Local Systems	I.M. No. 3.730
Subject: Iowa DOT Letting Process	

**Contents:** This Instructional Memorandum (I.M.) provides guidance, instructions, and information for Local Public Agency (LPA) projects that are let through the Iowa DOT letting process. It includes descriptions of the procedures, beginning with turning a project in for letting and continuing through obtaining an executed contract between the LPA and the responsible bidder who has submitted the lowest responsive bid.

- [Attachment A](#) - Iowa DOT Pre-Letting Process flowchart
- [Attachment B](#) – Iowa DOT Post-Letting Process flowchart

### Introduction

There are many State and Federal rules, policies, or procedures that apply to construction contract lettings conducted by the Iowa DOT. The Iowa DOT's process for advertising, letting, and awarding Federal-aid highway construction contracts must comply with [23 CFR 635](#). For LPA Federal-aid projects, the Iowa DOT is responsible for monitoring the LPA's compliance with these rules, policies, and procedures. The Iowa DOT requires all LPA Federal-aid projects, except those listed in [I.M. 3.720](#), Local Letting Process - Federal-aid, be advertised, let, and awarded through its Office of Contracts.

The Iowa DOT letting procedures cover all Federal requirements for Buy America, Non-collusion Affidavit, Non-discrimination Affidavit, Lobbying Certification, Certification of Non-segregate Facilities, exclusion of debarred contractors, Equal Employment Opportunity and Affirmative Action compliance reviews, and DBE program administration.

### Preparation

1<sup>st</sup> Tuesday of the month 2 months before letting

After completion of the requirements for [I.M. 3.505](#), Check and Final Plans, the Iowa DOT's letting process begins on the first Tuesday of the month 2 months before the anticipated letting date. The Administering Office shall submit the plans, Special Provisions, the LPA's cost estimate, and other required documents to the Iowa DOT's Office of Contracts in accordance with [I.M. 3.005](#), Project Development Submittal Dates and Information.

The LPA's estimate will be used as a supporting document by the Office of Contracts when preparing the Iowa DOT's estimate for Federal-aid projects. The Iowa DOT's estimate will be used as the basis for obligation of Federal funds. The LPA will use its estimate to analyze the bids and make the award decision. If there is a significant difference between the Iowa DOT's estimate and the LPA's estimate, the Office of Contracts will contact the LPA to determine why. The Office of Contracts may revise the Iowa DOT's estimate as a result. Both estimates are considered confidential information as per Iowa Code 22.7; therefore, the Office of Contracts will not release either estimate before or after the letting.

The LPA must request any special considerations for the project at this time. Examples include contract period requests and innovative contracting.

If any project clearances have not been obtained, or there are other conditions that require a Public Interest Finding (PIF), a PIF must be submitted by the LPA and approved by the Administering Office prior to this date. Otherwise, the project may not enter the letting process. For more information, refer to [I.M. 3.760](#), Public Interest Findings.

During the next 2 weeks, the Office of Contracts will review the plans and specifications to see if they are biddable. If the Office of Contracts determines that they are not biddable, they will notify the person listed as the "Designer Contact" in the Transportation Program Management System ([TPMS](#)) and on the Local Project Plan Turn-in Checklist of the required changes and copy the Administering Office. The Designer Contact must make the requested changes and supply revised plan sheets within the time frame specified by the

Office of Contracts. The Designer Contact shall also provide a copy of any revised plans to the Administering Office. For more information on the Office of Contracts' plan requirements, refer to the Office of Contract's [Letting Guidelines](#).

3<sup>rd</sup> Tuesday of the month 2 months before letting

This is the last day the Designer Contact may request changes to the plans and Special Provisions. During the next 2 weeks, the Office of Contracts begins to finalize the bidding proposal, and determine contract periods. The Office of Contracts will also review the projects to determine if projects should be packaged together. For more information on the contract periods and packaging of projects, refer to the Office of Contract's [Letting Guidelines](#).

Last Tuesday of the month 2 months before letting

The Office of Contracts sends the proposed contract periods to the Administering Offices for their distribution to LPAs for review. If LPAs have any concerns regarding the proposed contract period for their projects, they contact the Office of Contracts and copy the Administering Office. Only minor adjustments to the contract periods will be considered.

1<sup>st</sup> Tuesday of the month 1 month before letting

This is the day the contract documents must be complete. If a PIF was submitted for a project clearance, the project clearance must be obtained by this date, except those submitted for Right-of-way parcels scheduled for condemnation. Otherwise, the Office of Contracts will withdraw the project from the letting.

The Office of Contracts submits all projects to the Federal Highway Administration (FHWA) for their review; and requests authorization. If the project has full oversight by FHWA, this submittal also includes the plans, specifications, and Iowa DOT cost estimate. During the next 2 weeks, FHWA reviews the projects submitted.

If FHWA determines that they cannot authorize a project for letting, they notify the Office of Contracts of the issue(s). The Office of Contracts then notifies the Administering Office of FHWA's issue(s). If the issues cannot be resolved and FHWA authorization obtained by the 3<sup>rd</sup> Tuesday of the month 1 month prior to letting, the Office of Contracts will withdraw the project from the letting. The Administering Office will contact the LPA to address the issue(s) and determine a new letting date. The LPA shall revise the plans and specifications as required and update the project information in TPMS.

The Office of Contracts holds their Disadvantaged Business Enterprises (DBE) Goal Setting Meeting and sets DBE goals for contracts as appropriate so the DOT can achieve their annual DBE Goal.

3<sup>rd</sup> Tuesday of the month 1 month before letting

The Office of Contracts is notified by the FHWA of the projects they have authorized for letting.

The Office of Contracts sends a Notice to Advertise to the Des Moines Register and posts a [Notice to Bidders](#) on its web site and the Bid Express ([BIDX](#)) web site.

The contract documents are made available at no cost in electronic format on the Office of Contracts [Current Letting Information](#) web site. All questions about any of the contract documents must be directed to the Office of Contracts. LPAs are encouraged to review the documents promptly.

After this day, all changes to the contract documents must be made by addendum. If the LPA believes an addendum is needed, the LPA shall send a request to the Office of Contracts, including the proposed text of the addendum, and copy the Administering Office. The Office of Contracts reviews the request and determines if an addendum will be prepared. If an addendum is deemed necessary, the Office of Contracts prepares and distributes the addendum to the prime contractors who have requested bidding documents. For more information on the criteria used to determine if an addendum is justified, refer to the Office of Contract's [Letting Guidelines](#).

1<sup>st</sup> Tuesday of the month of letting

All condemnation hearings for previously unacquired right-of-way parcels must have been held so the project is cleared for letting. Otherwise, the project will be withdrawn from the letting.

All addendum requests should be submitted. Addendum requests submitted after this date may not be approved. If the Office of Contracts has not received confirmation of receipt of the addendum from all the prime contractors who have requested bidding documents prior to the letting, the project may be withdrawn from the letting. If an individual bidder does not acknowledge the addendum, that firm's bid will be deemed non-responsive.

## Letting

The lettings are held the 3<sup>rd</sup> Tuesday of each month; except in January, when it is held the Wednesday after the 3<sup>rd</sup> Tuesday. Bids are due at 10:00 AM. The Office of Contracts opens the bids at 800 Lincoln Way, Ames, Iowa, and reads all bids starting at 10:30 AM, with the as-read-bid-totals available on [BIDX](#) shortly after the reading. Any bid received after 10:00 AM is returned unopened to the bidder. Any bid deemed non-responsive will not be read or posted.

## Contract Award or Rejection

All LPA projects let by the Iowa DOT will be awarded on the basis of the responsible bidder submitting the lowest responsive bid ("low bidder"). The Office of Contracts ensures all bidders are responsible by only allowing pre-qualified contractors to bid. The Office of Contracts determines the low bidder and prepares the bid tabulations. The LPA makes the award determination after performing the bid analysis described below.

After bids are opened, the Office of Contracts sends the LPA the following:

- a letter instructing the LPA to take action to either award a contract to the low bidder or reject all bids within 30 days of the letting date (if over 30 days, the low bidder is allowed to withdraw their bid and their proposal guarantee will be returned to them with no penalty)
- a tabulation of bids
- 2 unsigned original contracts (for Federal-aid projects, a copy of [Form FHWA-1273](#), Required Contract Provisions, Federal-aid Construction Contracts, will be physically attached)
- a copy of the letter informing the low bidder of the contracts for which they are the low bidder

**Note:** There should be no discussions between the LPA and the low bidder until after the contract is executed.

## Bid Analysis

The LPA is responsible for reviewing the bid tabulations and documenting the basis for its decision to either award a contract or reject all bids. Factors to consider in the bid analysis should include the following:

1. Number of bids submitted on the project(s).
2. Distribution and range of bids received.
3. Urgency of the project(s).
4. Any unbalancing of unit bid items that may be detrimental to the contracting authority.
5. Current market conditions and workloads within the contracting industry.
6. Potential savings if the project(s) were re-advertised for another contract letting.
7. Potential changes to the project(s) or contract period that could affect the bid price.
8. Comparison of the low bidder to the bid prices of the other bidders on the project(s).
9. Comparison of bid prices with similar projects in the contract letting.
10. Justification for significant bid price differences.

Bids that exceed 110% of the LPA's estimate shall not be awarded, unless one of the following conditions is met:

1. There is adequate competition. Adequate competition shall be determined based on the number of competitive bids received and the percentage of the low bid in comparison to the LPA's estimate, as shown below:

Number of competitive bids received	Low bid percentage of the LPA's estimate does not exceed:
5 or more	120%
4	115%
3	110%
2	105%
1	100%

Competitive bids are those that are within 20% of the low bid.

2. The project is essential and deferral would be contrary to the public interest. Examples of such projects include, but are not limited to the following:
  - a. Safety projects where an extremely hazardous condition exists.
  - b. Projects that close a gap in a corridor.
  - c. Projects that are critical to other staged projects in a corridor.
3. Re-advertising the project without any change to the contract requirements would not likely result in a lower bid.
4. An error was made in the LPA's estimate, and the error, if corrected, would result in a bid below the LPA's estimate.

As a condition of letting the project, the LPA should have adequate financial resources to award a contract if a reasonable bid is received. Therefore, the LPA should not reject a bid because of inadequate funds, if the bid is within 10% of the LPA's estimate. .

#### Awarding a Contract

If the LPA elects to award a contract to the low bidder, the LPA should schedule the proposed contract for action at the next Board of Supervisors or City Council meeting. After the Board of Supervisors or City Council passes a motion or resolution to award the proposed contract, the LPA sends 2 originals of the unsigned contract to the low bidder.

The low bidder then signs both originals of the contract and returns them to the LPA's Project Engineer along with their performance bond on the DOT's form; a Certificate of Insurance; and the electronic file listing the requested subcontractors (or a printed copy of the electronic file) from the free [SiteXchange software](#) furnished by the Iowa DOT. To view the electronic file, the LPA must download and install the SiteXchange software. The low bidder must also e-mail the electronic SiteXchange file listing the requested subcontractors to the Office of Contracts at [dot.contracts@dot.iowa.gov](mailto:dot.contracts@dot.iowa.gov) for review and authorization.

If approved, the LPA signs both originals of the contract and sends them, along with the performance bond, and Certificate of Insurance to the Office of Contracts for their review.

The Office of Contracts determines if the subcontractors and submitted documents are acceptable, and if so, signs both original contracts to indicate the Iowa DOT's concurrence in the contract award. **The Iowa DOT's Concurrence signature does not make the Iowa DOT a party to the contract; however, it is required before any work on the contract may begin in which Federal-aid reimbursement will be requested.** The Office of Contracts sends 1 copy of the executed contract to the LPA and 1 to the contractor.

## Rejecting all Bids

If the LPA does not award a contract to the low bidder, the LPA shall notify the low bidder. The LPA shall also notify the Office of Contracts and the Administering Office explaining why all bids were rejected, and state its future plans for the project; i.e., whether it will be revised and re-let or if the project will be cancelled. If the project will be re-let, some type of change to the plans, specifications, or contract period should be made in order to obtain lower bids. Depending on when the contract will be re-let, Federal funding may need to be de-obligated. If the contract is not going to be re-let, the Federal funding shall be de-obligated. For additional information, refer to [I.M. 2.080](#), Inactive Obligations.

## Beginning Work

After receipt of written notification of Iowa DOT concurrence of the contract from the Iowa DOT or the signed contract from the Office of Contracts, the contractor may begin work. The contractor should not be allowed to begin work prior to the Iowa DOT concurrence of the contract in case there are any problems with the required performance bonds, Certificate of Insurance, or subcontracts that would preclude Federal-aid reimbursement. For the same reason, the LPA should not hold a pre-construction meeting before receiving written notification of Iowa DOT concurrence or the signed contract from the Office of Contracts.

The LPA should not delete substantial portions of the contract after the contract has been executed in order to bring the project within budget as this could impact the bidding process.

For information regarding the procedures for construction contract administration, refer to [I.M. 3.805](#), Construction Inspection.



# INSTRUCTIONAL MEMORANDUMS

## To Local Public Agencies



To: Counties	Date: August 28, 2014
From: Office of Local Systems	I.M. No. 3.940
Subject: Resolution to allow County Engineer to Certify Completion of Work on Construction Contracts	

**Contents:** This Instructional Memorandum (I.M.) describes the procedures for a County to authorize the County Engineer to accept a construction project as complete on behalf of the County Board of Supervisors. This I.M. includes the following attachments:

[Attachment A](#) – Sample Resolution ([Word](#))

### Introduction

The County Engineer, besides serving as the engineer in responsible charge of the project, may also sign on behalf of the Board of Supervisors to certify final acceptance and completion of a construction contract. However, before the County Engineer can legally sign for the Board of Supervisors, the County must pass and execute a resolution authorizing the County Engineer to do so.

### Procedure

If a County wants the County Engineer to be able to sign on the County's behalf, the County shall pass and execute a resolution similar to the sample included as [Attachment A](#) to this I.M. A new resolution needs to be completed only whenever the County hires a new County Engineer. This procedure does not need to be completed on an annual basis.

After passing and executing such a resolution, the County shall send one copy to District Office and one copy the Office of Local Systems.

Note: Iowa Code [310.18](#) authorizes the County Engineer to sign progress payments on construction contracts; however, this Code section does not allow the County Engineer to sign the final construction progress voucher. The Board of Supervisors must sign the final construction progress voucher.

