

Guide and / or I.M. Revision Notice

To: Cities, Counties, and Consultants

Date: July 18, 2011

From: Office of Local Systems

Revision Notice Number: 2011-03

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existing Project Development Information Packet (Packet) or County Engineers I.M. documents that have been replaced or superseded.

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

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

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

Document Title or I.M. Number	Summary of Significant Revision(s)
I.M. Table of Contents July 18, 2011	The I.M. Table of Contents has been revised to reflect new or revised I.M.s, as indicated below.
I.M. 1.010 County Road Embargoes on the Iowa Detour and Road Embargo Map	This I.M. has been deleted. If you maintain a hard copy of the I.M.s, please remove this document from your binder. The Iowa DOT no longer provides the referenced Detour and Road Embargo Map, so the process included in this I.M. is no longer applicable.
I.M. 2.020 Federal and State Bridge Programs July 18, 2011	This I.M. has been significantly revised, expanded and updated. Substantive changes from the previous version include the following: <ul style="list-style-type: none"> • Information regarding the city Federal and State bridge programs was added. • The city and county bridge priority point worksheets are now included as Attachments A and B, respectively. The scoring system for each was also modified to replace the factor associated with actual load postings with Item 70 from the Structural Inventory and Appraisal (SI&A) form, which reflects the relationship between the operating capacity of the bridge and current legal loads. • Attachment C was added to graphically illustrate how the limits of participation for bridge funds are determined. • Attachment D was added to describe the procedure for ensuring fiscal constraint of county Highway Bridge Program (HBP) funds included in the Statewide Transportation Improvement Program (STIP). • A significant amount of guidance was added concerning the special considerations related to bridge rehabilitation projects (see pages 6-7).
I.M. 3.140 Storm Water Permits July 18, 2011	This I.M. has been revised. Substantive changes from the previous version include the following: <ul style="list-style-type: none"> • Attachment A, Sample Pollution Prevention Plan, has been removed. Instead, this I.M. now references and provides links to Iowa DOT Standard Tabulation 110-12A and an improved Sample Pollution Prevention Plan provided by the Iowa DOT Office of Design. • The discussion and references to the "Phase I" and "Phase II" regulations have been removed because these regulations have now been fully phased in. • A reference and link to the Iowa DOT Storm Water Site Inspection (Form 830214) was added on page 3.

Instructional Memorandums to Local Public Agencies

Table of Contents



Some I.M.s are written either to counties or cities; others are written to both counties and cities. The intended audience is indicated in the "To:" field of the I.M. as well as the Table of Contents below. Many of the I.M.s are referenced by the Federal-aid Project Development Guide (Guide). These I.M.s are marked with an asterisk (*). For more information about the relationship between the Guide and I.M.s, refer to the [Guide and I.M.s web page](#).

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

No.	Subject	Revision Date	Written To
Chapter 1 – General Information			
Section 1.0 -- General			
1.020	Pavement Friction Evaluation Program	August 2003	Counties
1.030	Ordering Forms and Supplies From the Iowa Department of Transportation	November 2001	Both
1.050	Manuals, Guides and Instructional Information Available to Counties	December 2002	Both
1.070*	Title VI and Nondiscrimination Requirements	February 21, 2008	Both
1.080*	ADA Requirements	February 21, 2008	Both
	Attachment A – Sample Curb Ramp Transition Plan (Word)	February 21, 2008	Both
Section 1.1 -- References			
1.120	References to the Iowa Code	August 2003	Counties
Chapter 2 – Administration			
Section 2.0 -- Finance			
2.010	Transfer of Local Secondary Road Use Tax Funds to the Farm-to-Market Fund	November 2001	Counties
	Attachment A - Local to FM Fund Transfer Resolution (Word)	November 2001	Counties
2.020*	Federal and State Bridge Programs	July 18, 2011	Both
	Attachment A – City Bridge Priority Point Rating Worksheet	July 18, 2011	Both
	Attachment B – County Bridge Priority Point Rating Worksheet	July 18, 2011	Both
	Attachment C – Touchdown Points and Limits of Participation	July 18, 2011	Both
	Attachment D – County HBP Fiscal Constraint Requirements	July 18, 2011	Both
2.030	Transfer of Farm-to-Market Funds to the Local Secondary Road Fund	April 12, 2007	Counties
2.040	Temporary Allocation of Farm-to-Market Funds	November 2001	Counties
2.050	Procedure to Change a County Secondary Road Construction Program (see I.M. 3.11 , dated March 2003)	(future)	Counties
	Attachment A – Add FM or Local Project Resolution (see attachment to I.M. 3.11 , dated March 2003) (Word)	(future)	Counties
	Attachment B - Advance Local Project Resolution (see attachment to I.M. 3.11 , dated March 2003) (Word)	(future)	Counties
2.071	Secondary Road Budget Accounting Code Series	July 2005	Counties
Section 2.1 -- Maintenance			
2.110	Maintenance of County Roads at Intersections, Interchanges, and Grade Separations with the Primary Highway System	June 1998	Counties

No.	Subject	Revision Date	Written To
2.120*	Bridge Inspections	May 11, 2011	Both
	Attachment A - Bridge Scour Stability Worksheet, Level A Evaluation	May 11, 2011	Both
	Attachment B - Intermediate Scour Assessment Procedures, Level B Evaluations	May 11, 2011	Both
	Attachment C - Scour Plan of Action (POA)	May 11, 2011	Both
	Attachment D - Scour Safe Foundations for Spread Footings or Steel Piles	May 11, 2011	Both
	Attachment E - Highly Erodible Soils	May 11, 2011	Both
	Attachment F - Berm Stability Criteria	May 11, 2011	Both
	Attachment G - Guidance for Developing and Implementing Plans of Action (POA) for Bridges with Unknown Foundations, Flowcharts, and Worksheets	May 11, 2011	Both
	Attachment H - USGS Hydrologic Region Map with Region Descriptions	May 11, 2011	Both
	Attachment I - Special Training, Equipment, and Access Requirements Checklist	May 11, 2011	Both
	Attachment J - Load Rating Evaluation Form	May 11, 2011	Both
	Attachment K - Iowa Legal Trucks Diagram	May 11, 2011	Both
	Attachment L - Quality Assurance Field Review Worksheet	May 11, 2011	Both
	Attachment M - Routine Permit Trucks Diagrams	May 11, 2011	Both
Section 2.2 -- Traffic Service and Control			
2.210	Engineering and Traffic Investigations – Speed Limit Study	March 2002	Counties
	Attachment A - Speed Restriction Ordinance (Word)	March 2002	Counties
	Attachment B - Amendment to Speed Restriction Ordinance (Word)	March 2002	Counties
	Attachment C - Resolution for Establishing Speed Limits (Word)	March 2002	Counties
2.220	Establishing and Signing Area Service B and Area Service C Roads	January 2004	Counties
	Attachment A - Area Service "B" Ordinance (Word)	March 2002	Counties
	Attachment B - Area Service "B" Resolution (Word)	March 2002	Counties
	Attachment C - Area Service "C" Ordinance (Word)	January 2004	Counties
	Attachment D - Area Service "C" Resolution (Word)	January 2004	Counties
2.230	Signing for Low Cost Stream Crossings	June 2002	Counties
	Attachment A - Resolution for Low-Water Stream Crossing (Word)	June 2002	Counties
2.240	Iowa DOT Traffic Counts	(future)	Both
Section 2.3 -- Agreements			
2.310	Construction Agreements Between City and County on Secondary Road Extensions	April 2002	Both
	Attachment A - Resolution for Construction Agreement between City and County on Secondary Road Extensions (Word)	April 2002	Both
Chapter 3 – Project Development			
Section 3.0 -- General			
3.002*	Federal-aid Project Scheduling	February 16, 2007	Both
3.005*	Project Development Submittal Dates and Information	April 22, 2010	Both
3.010	Project Development Outline -- Federal-Aid Funding (BRS, BHS, BROS, BHOS, STS-S, STP-A, STP-E, STP-ES)	February 2002	Both
3.020	Project Development Outline -- Farm-to-Market Funding (FM)	February 2002	Counties
3.030	Project Development Outline -- Local Funding (L)	February 2002	Both
3.050*	In-Kind Contributions	April 12, 2007	Both
3.060	Project Numbers (see I.M. 3.14 , dated December 2002)	(future)	Both

No.	Subject	Revision Date	Written To
Section 3.1 -- Environmental Reviews and Permits			
3.105*	Concept Statement Instructions (see Packet, Index No. 6, Concept Statement Instructions)	(future)	Both
	Attachment A – Example Concept Statement	(future)	Both
3.110*	Environmental Data Sheet Instructions (see Packet, Index No. 6, Environmental Datasheet Instructions)	(future)	Both
	Attachment A – Example Environmental Data Sheet	(future)	Both
3.112*	FHWA Environmental Concurrence Process (see Packet, Index No. 6, NEPA Project Classification Process)	(future)	Both
	Attachment A - Environmental Concurrence Process Overview (see Packet, Flowcharts, Chart No. 6 – Environmental Process Overview)	(future)	Both
	Attachment B - Environmental Assessment / FONSI Process (see Packet, Flowcharts, Chart No. 6A – Environmental Assessment / FONSI Process)	(future)	Both
	Attachment C - Environmental Impact Statement / ROD Process (see Packet, Flowcharts, Chart No. 6B – Environmental Impact Statement / ROD Process)	(future)	Both
	Attachment D - Section 106 Process (see Packet, Flowcharts, Chart No. 6C – Section 106 Process)	(future)	Both
	Attachment E - Section 4(f) Process (see Packet, Flowcharts, Chart No. 6D – Section 4(f) Process)	(future)	Both
3.114*	Cultural Resource Regulations (see Packet, Index No. 6, Cultural Resource Regulations)	(future)	Both
3.120*	Farmland Protection Policy Act Guidelines (see Packet, Index No. 6, Farmland Protection Policy Act Guidelines)	(future)	Both
	Attachment A - Farmland Protection Policy Act Process Flowchart (see Packet, Flowcharts, Chart No. 6E – Farmland Protection Policy Act Process)	(future)	Both
3.130*	404 Permit Process	March 26, 2008	Both
	Appendix A – 404 Permit Checklist	March 26, 2008	Both
3.140*	Storm Water Permits	July 18, 2011	Both
3.150*	Highway Improvements in the Vicinity of Airports or Heliports	December 3, 2007	Both
3.160*	Asbestos Inspection, Removal, and Notification Requirements	April 12, 2007	Both
	Attachment A – Notification of Demolition form (Word)	April 12, 2007	Both
Section 3.2 -- Design Guidelines and Exceptions			
3.205*	Urban Design Guidelines (see Packet, Index No. 5, Application of Design Criteria , Urban Design Aids , Alternative Urban Design Guides , and Design Exception Process for City Federal-aid Projects)	(future)	Cities
3.210*	Rural Design Guidelines	March 26, 2008	Counties
3.211	Rehabilitation of Existing Surfaces	November 2001	Counties
3.213*	Traffic Barriers (Guardrail and Bridge Rail)	November 2001	Both
3.214*	3R Guidelines	March 26, 2008	Both
3.215*	Clear Zone Guidelines	March 26, 2008	Both
3.216*	Economic Analysis (Benefit-to-Cost Ratio)	October 2001	Counties
3.218*	Design Exception Process	December 2002	Counties
	Attachment A – Design Exception Process Flowchart (see Packet, Flowcharts, Chart No. 4 – Design Exception Process)	(future)	Both
3.220*	Design Exception Information for Bridges Narrower than Approach Pavement (see I.M. 3.132 , dated February 2002)	(future)	Both
Section 3.3 -- Consultant and In-House Design			
3.305*	Federal-aid Participation in Consultant Costs	August 29, 2006	Both

No.	Subject	Revision Date	Written To
	Attachment A – Federal-Aid Consultant Checklist	August 29, 2006	Both
	Attachment B – Guidelines for Federal-Aid Consultant Contracts	August 29, 2006	Both
	Attachment C – Payment Methods	August 29, 2006	Both
	Attachment D – Sample Consultant Contract (Word)	August 29, 2006	Both
3.310*	Federal-aid Participation in In-House Services	December 11, 2008	Both
3.315	Farm-to-Market Funded Consultant Contracts	(future)	Counties
Section 3.4 -- Preliminary Design			
3.405*	Preliminary Plans	June 18, 2010	Both
	Attachment A – Preliminary Plan Guidelines	June 18, 2010	Both
	Attachment B – Preliminary Plan Checklist	June 18, 2010	Both
	Attachment C – Preliminary Plan Process Flowchart	June 18, 2010	Both
3.410*	Preliminary Bridge or Culvert Plans	June 18, 2010	Both
	Attachment A – Flood Insurance Studies	June 18, 2010	Both
	Attachment B – Iowa DNR Floodplain Regulations	June 18, 2010	Both
	Attachment C – Instructions for Completing the Form 1-E	June 18, 2010	Both
	Attachment D – Instructions for Completing the Risk Assessment Form	June 18, 2010	Both
Section 3.5 -- Final Design			
3.505*	Check and Final Plans	June 18, 2010	Both
	Attachment A – Check and Final Plan Guidelines	June 18, 2010	Both
	Attachment B – Check and Final Plan Checklist	June 18, 2010	Both
	Attachment C – Check and Final Plan Process Flowchart	June 18, 2010	Both
3.510*	Check and Final Bridge or Culvert Plans	June 18, 2010	Both
	Attachment A – Bridge or Culvert Plan Supplementary Checklist	June 18, 2010	Both
3.520*	Electronic Bid Item Information (see Packet, Index No. 8, BIAS 2000 Information)	(future)	Both
Section 3.6 -- Right-of-Way, Utilities, and Railroads			
3.605*	Right-of-Way Acquisition	June 18, 2007	Both
	Attachment A – Compensation Estimate Procedures	June 18, 2007	Both
	Attachment B – FHWA Authorization of Right-of-Way Costs Flowchart	June 18, 2007	Both
	Attachment C – Early Right-of-Way Acquisition Process Flowchart	June 18, 2007	Both
3.640*	Utility Accommodation and Coordination	December 11, 2008	Both
	Attachment A – Utility Coordination Flowchart	December 11, 2008	Both
	Attachment B – Utility Coordination Checklist (Word)	December 11, 2008	Both
3.650*	Federal-aid Participation in Utility Relocations	June 18, 2007	Both
	Attachment A – Utility Relocation Federal-Aid Eligibility Flowchart	June 18, 2007	Both
	Attachment B – FHWA Authorization of Utility Relocation Costs Flowchart	June 18, 2007	Both
3.670*	Work on Railroad Right-of-Way	May 1, 2007	Both
	Attachment A – Notification and Agreement of Maintenance Work in Railroad Right-of-Way (Word)	May 1, 2007	Both
	Attachment B – Notification of Construction Work in Railroad Right-of-Way (Word)	May 1, 2007	Both
	Attachment C – Work on Railroad Right-of-Way Flowchart	May 1, 2007	Both
3.680*	Federal-aid Projects Involving Railroads	May 1, 2007	Both
	Attachment A – FHWA Authorization of Railroad Costs Flowchart	May 1, 2007	Both

No.	Subject	Revision Date	Written To
Section 3.7 -- Lettings and Contracts			
3.705	Local Letting Process – State or Local Funded (see I.M. 3.41 , dated September 2005; I.M. 3.42 , dated March 2002; and I.M. 3.43 , dated September 2002)	(future)	Both
3.710*	DBE Guidelines	June 18, 2007	Both
3.720*	Local Letting Process – Federal-aid	April 12, 2007	Both
	Attachment A – Pre-Award Checklist and Certification	April 12, 2007	Both
	Attachment B – Post-Award Checklist and Certification	April 12, 2007	Both
	Attachment C – Supplemental Agreement	April 12, 2007	Both
	Forms Packet Note: The documents included in the Forms Packet are not actually a part of I.M. 3.720 or its attachments. However, for convenient download, these documents are bundled together in a self-extracting executable file (forms.exe).	N/A	Both
3.730*	Iowa DOT Letting Process (see I.M. 3.44 , dated September 2005)	(future)	Both
	Attachment A – Iowa DOT Letting Process Flowchart (see Packet, Flowcharts, Chart No. 12 – DOT Pre-letting Process and Chart No. 13 – DOT Post-letting Process)	(future)	Both
3.750*	Project Development Certification Instructions	December 3, 2007	Both
	Attachment A – Project Development Certification Process Flowchart	December 3, 2007	Both
	Attachment B - Sample Project Development Certification Form	December 3, 2007	Both
3.760*	Public Interest Findings	December 3, 2007	Both
3.770	Paving Point Requirements	(future)	Counties
Section 3.8 -- Construction			
3.805*	Construction Inspection (see I.M. 3.51 , dated September 2002)	(future)	Both
3.810*	Federal-aid Construction by Local Agency Forces	December 11, 2008	Both
3.870	Farm-to-Market Voucher Process	(future)	Counties
Section 3.9 -- Project Close-out and Audits			
3.910*	Final Review, Audit, and Close-out Procedures for Federal-aid Projects	December 3, 2007	Both
	Attachment A – Project Close-out Process Overview Flowchart	December 3, 2007	Both
	Attachment B – Final Review and Audit Process Flowchart – Highway or Bridge Construction	December 3, 2007	Both
	Attachment C – Final Review and Audit Process Flowchart – Non-highway Construction, DOT Specifications	December 3, 2007	Both
	Attachment D – Final Review and Audit Process Flowchart – Non-highway Construction, Non-DOT Specifications	December 3, 2007	Both
	Attachment E – Pre-audit Checklist (Word)	December 3, 2007	Both
	Attachment F – Final Forms Packet Checklist (Word)	December 3, 2007	Both
3.920	Final Review, Audit, and Close-out Procedures for State-aid Projects	(future)	Both
3.930*	Interest Payment Procedures	December 3, 2007	Both
	Attachment A – Sample Interest Payment Information Form	December 3, 2007	Both
3.940	County Engineer Resolution	December 3, 2007	Counties
	Attachment A – Sample County Engineer Resolution (Word)	December 3, 2007	Counties
Chapter 4 – Systems Classification And Identification			
Section 4.0 -- General			
4.010	Procedures to Modify the Secondary Road Route Numbering System	September 2002	Counties
4.030	County Road Vacations	September 2002	Counties
	Attachment A - Resolution for Road Vacation Public Hearing (Word)	September 2002	Counties

No.	Subject	Revision Date	Written To
	Attachment B - Notice of Public Hearing (Word)	September 2002	Counties
	Attachment C - Resolution to Vacate a County Road (Word)	September 2002	Counties
Section 4.1 -- (Reserved)			
Section 4.2 -- Farm-to-Market System			
4.210	Modification of the Farm-to Market (FM) System	March 2002	Counties
	Attachment A - FM Review Board Application Resolution (Word)	March 2002	Counties
4.220	Farm-to-Market Review Board Advisory Opinions on Proposed Jurisdictional Transfers	April 2002	Counties

INSTRUCTIONAL MEMORANDUMS

To Local Public Agencies



To: Counties and Cities	Date: July 18, 2011
From: Office of Local Systems	I.M. No. 2.020
Subject: Federal and State Bridge Programs	

Contents: This Instructional Memorandum (I.M.) includes guidelines and procedures for the Local Public Agency (LPA) Federal and State bridge programs for highways. This I.M. also includes the following attachments:

- [Attachment A](#) - City Bridge Priority Point Rating Worksheet
- [Attachment B](#) – County Bridge Priority Point Rating Worksheet
- [Attachment C](#) – Touchdown Points and Limits of Participation
- [Attachment D](#) – County HBP Fiscal Constraint Requirements

GENERAL

Cities and counties in Iowa are provided dedicated funding for bridges through one Federal-aid program and two State programs. The Federal-aid bridge program is administered by the Iowa Department of Transportation (Iowa DOT) Office of Local Systems in accordance with 761 Iowa Administrative Code (IAC), [Chapter 161](#). Likewise, the State programs are administered in accordance with 761 IAC, [Chapter 160](#). In both cases, these programs are developed and administered in consultation with city and county officials through their representative organizations. This I.M. documents the results of that consultation by describing each program in detail and providing additional guidance concerning eligible bridges and eligible project costs.

FEDERAL BRIDGE PROGRAM

[Section 144](#) of Title 23, United States Code, and Title 23, Code of Federal Regulations, Part 650, [Subpart D](#), provides funds via the "Highway Bridge Program" (HBP) to the State of Iowa for the replacement or rehabilitation of Structurally Deficient (SD) or Functionally Obsolete (FO) bridges. Federal-aid participation in qualifying projects will be 80 percent of the eligible costs.

The HBP funds apportioned to the State of Iowa are divided each fiscal year with 42% retained by the state, 47% for the counties, and 11% for incorporated cities. Typically, these percentages are reviewed with representative city and county organizations for possible modification at the beginning of each new Federal multi-year highway transportation bill. The portion of HBP funds allocated for cities and counties are administered differently, as outlined below.

Cities

Cities may request to add a bridge to the City Bridge Candidate List at any time, but the deadline for the next Federal Fiscal Year's funding is October 1. Such requests shall be submitted in writing to the Iowa DOT Office of Local Systems and shall include the FHWA bridge number, route carried, feature crossed, and the most recent replacement cost estimate available. Any highway bridge within the corporate limits, whether in whole or in part, may be submitted for consideration. This includes bridges on Farm-to-Market extensions within the city limits of cities less than 500 population. The City Bridge Candidate list, including the priority points, is available on the Office of Local Systems [web site](#).

During the month of November each year, the Office of Local Systems selects bridges from the Proposed City Bridge Candidate List based on their ranking and available funding. Candidates are ranked in descending order according to their priority points (see [Attachment A](#) to this I.M.). Cities are limited to one bridge per city per fiscal year. The total Federal-aid contribution limit per bridge is set at \$1 million.

Priority points will be calculated using the data shown on the SI&A form. If the data on the SI&A form does not reflect the most recent inspection, the priority points will not correctly reflect the status of a bridge when the Iowa DOT's Proposed City Bridge Candidate List computer program is ran.

Each city with a selected bridge is sent a letter offering HBP or State bridge funding for the next Federal Fiscal Year. State funds are typically offered to only one or two small bridges per year. The city then decides if they have the matching funds to proceed and sends a letter accepting or rejecting the funding. If accepted, the city provides an updated cost estimate and information on who will administer the project. The Office of Local Systems will then prepare the appropriate agreement for the project for distribution by the District Local Systems Engineer (DLSE). This agreement will indicate if the project will receive Federal-aid or State funding, as determined by the Office of Local Systems. The city must sign and return the agreement to the DLSE within 90 days of receipt. If a city does not return an agreement within 90 days, the Office of Local Systems will treat the offer as declined by the city.

After the agreement is approved, the city may begin the project development. The city must receive written notification from the DLSE prior to beginning any work for which they desire Federal-aid reimbursement. Project development activities shall be carried out as outlined in the [Federal-aid Project Development Guide](#) and the associated I.M.s.

Projects must meet all the Federal-aid requirements and be let at the Iowa DOT within 3 years of signing the agreement. If requested by the city, a 6 month extension may be granted by the Office of Local Systems.

HBP funds awarded are for the next Federal Fiscal Year, which begins on October 1. These funds are not available until the corresponding Federal appropriations bill is passed, which is supposed to occur prior to October, but often is delayed. If a city would like to begin Federal-aid reimbursable work before the awarded funds are available, the following process must be followed:

1. The project agreement must be signed by both parties.
2. The city (not a consultant) must send a request to the DLSE for approval to perform reimbursable work early. This request must specifically identify the cost of work to begin before the awarded funds are available.
3. The DLSE forwards the request to the Office of Local Systems for approval. The Office of Local Systems will confer with the Office of Program Management to determine if sufficient funds are available. The Office of Local Systems will notify the DLSE of its decision and the DLSE will notify the city.
4. If approved, the city must then include the project in the current year of the TIP/STIP.
5. The city may begin the FHWA authorization process for only the work that they have requested. Work must not begin until written notice of FHWA authorization has been received from the DLSE.

Counties

The Office of Local Systems does not select county bridges for HBP funding. Instead, these funds are allocated to each county according to the following formula:

1. One-third (33 percent) on the county Road Use Tax (RUT) fund distribution, weighted 32 percent on the Farm-to-Market Factor and 68 percent on the Secondary Road Factor, as calculated by the Iowa County Engineers Service Bureau.
2. Two-thirds (67 percent) on a qualifying deficient bridge factor. This factor is the percent of square footage of SD or FO bridges with ADT's greater than or equal to 25 and a Sufficiency Rating of 80 or less.

After receiving the notification of the HBP funds available, the Office of Local Systems will notify the counties of their allocations based on the latest factors. Counties then select their own bridges for programming and development. Any eligible bridge may be programmed, provided the counties' HBP program as a whole is fiscally constrained in the Statewide Transportation Improvement Program (STIP). For additional information regarding the fiscal constraint requirements and procedures, see [Attachment D](#) to this I.M.

No county will be allowed to accumulate more than 3 years of HBP funds. In October of each year, the years of funds accumulated is calculated by taking an average of the last 3 years' allocations and dividing that into the current balance of unobligated HBP funds. Projects let, or with Final Plans turned-in to the Office of Contracts with all required clearances by the first Tuesday in October will be considered as obligated for

purposes of this calculation. Counties with more than 3 years of accumulated funds on the first Tuesday of October will have the amount that exceeds 3 years accumulated funds redistributed to those counties with less than 3 years accumulated funds.

Counties with approved bridge projects that could exceed their accumulated allocation may be able to let their projects, provided that HBP funds are available and the total cost does not exceed their anticipated 6 year allocation in the current year. The Iowa DOT may grant exceptions. Since Counties may "borrow ahead" in this manner, saving up for a large project may not be used to obtain a waiver from the 3 year accumulated funds limit.

The allocation system described above is designed to maximize utilization of all of the available HBP funds but does not guarantee that a county will be able to let a HBP funded bridge project each and every year, or be able to utilize its entire allocation. This system is dependent upon all of the Federal-aid funds being released at the beginning of the Federal Fiscal Year.

Project development activities shall be carried out as outlined in the [Federal-aid Project Development Guide](#) and the associated I.M.s. All projects must be let by the Iowa DOT. After letting, the county makes initial project payments either from their Farm-to-Market or Secondary Road funds, depending on which system the bridge is on. The Federal-aid (80 percent of the participating project cost) will be reimbursed to the appropriate fund, up to the amount shown in the STIP.

STATE BRIDGE PROGRAMS

City Bridge Construction Fund

Iowa Code Section 312.2, 12.b provides \$500,000 annually off-the-top from the Road Use Tax Fund to the city bridge construction fund for the reconstruction or replacement of highway bridges within or touching a city's corporate limits, regardless of who owns the bridge. This includes bridges on Farm-to-Market extensions within the city limits of cities less than 500 population. State participation in qualifying projects will be 80 percent of the eligible costs, up to the limit specified in the project funding agreement.

The City Bridge funds are allocated to cities in the same manner as the HBP funds for cities, as described above.

Project development must comply with State law and the agreement provisions. Projects involving only City Bridge Funds or other non-Federal-aid funds may be let locally by the city.

County Bridge Construction Fund

Iowa Code Section 312.2, 12.a provides \$2 million annually off-the-top from the Road Use Tax Fund to the county bridge construction fund for the construction, reconstruction, or replacement of highway bridges on the Secondary Road System. State participation in qualifying projects will be 80 percent of the eligible costs, up to a maximum of \$2 million per project.

During the month of November each year, the Iowa DOT Office of Local Systems requests one candidate from each county for County Bridge funds. To assist counties in selecting candidates for funding, the Office of Local Systems prepares a current listing of each county's qualifying bridges along with a determination of priority points, calculated in accordance with County Bridge Priority Point Rating factors (see [Attachment B](#) to this I.M.). A list of all county bridges including their priority points is available on the Office of Local Systems [web site](#).

Candidates are ranked in descending order according to their priority points. Projects are selected from the listing until the available funds are obligated. The successful county candidates are notified of funding in January.

Project development must comply with State law and the agreement provisions. Projects involving only County Bridge Funds or other non-Federal-aid funds may be let locally by the county.

ELIGIBLE BRIDGES

In general, to be eligible for either HBP or State bridge funding, a bridge must be classified as structurally deficient (SD) or functionally obsolete (FO); have a Sufficiency Rating of 80 or less; and have an Average Daily Traffic (ADT), as determined by the Iowa DOT, greater than or equal to 25. Each of these criteria are explained in more detail below.

SD or FO

For a bridge to be classified as SD or FO, one of the following conditions must be met on the Structural Inventory and Appraisal (SI&A) form:

SD:

1. A condition rating of 4 or less for:

Item 58 - Deck; or
Item 59 - Superstructures; or
Item 60 - Substructures; or
Item 62 - Culvert and Retaining Walls.¹

2. An appraisal rating of 2 or less for:

Item 67 - Structural Condition; or
Item 71 - Waterway Adequacy.²

FO:

1. An appraisal rating of 3 or less for:

Item 68 - Deck Geometry; or
Item 69 - Underclearances³; or
Item 72 - Approach Roadway Alignment.

2. An appraisal rating of 3 or less for:

Item 67 - Structural Condition; or
Item 71 - Waterway Adequacy.²

¹ Item 62 applies only if the last two digits of Item 43 are coded 07 or 19.

² Item 71 applies only if the last digit of Item 42 is coded 0, 5, 6, 7, 8, or 9.

³ Item 69 applies only if the last digit of Item 42 is coded 0, 1, 2, 4, 6, 7, or 8.

Any bridge classified as SD is excluded from the FO category. In other words, a bridge cannot be classified as both SD and FO, even if it meets the requirements for both classifications. All bridges are classified as SD, FO, or "neither".

Sufficiency Rating

The Sufficiency Rating is calculated using SI&A data, according to the formula given in the [Recording and Coding Guide for the Structure Inventory and Appraisal of Nations Bridges](#), published by FHWA.

HBP Funds – Bridges with a Sufficiency Rating of less than 50 are eligible for replacement or rehabilitation. Bridges with a Sufficiency Rating of 50 to 80 are eligible for rehabilitation only, unless approved by the Iowa DOT and FHWA (see "REHABILITATION WORK" section below for more information).

State Bridge Funds – Bridges with a Sufficiency Rating of 80 or less are eligible for either replacement or rehabilitation.

ADT

The current Average Daily Traffic (ADT) must be greater than or equal to 25 vehicles per day (vpd), as determined by the Iowa DOT. If the LPA disagrees with the Iowa DOT's ADT, Item 29 on the SI&A, the LPA may request an update, provided new count data is submitted and the data collection methods are verified by the Iowa DOT, Office of Transportation Data. The Iowa DOT loans traffic counting equipment to local agencies on an as-available basis. For equipment availability and other questions, please contact the Office of Transportation Data at 515-239-1323.

If there is evidence that the deteriorating condition of the bridge caused the low ADT, the LPA may submit a request for consideration to waive this requirement. The most effective documentation are old traffic counts that show higher volumes when the bridge was in better condition. However, if old traffic counts are not available, other factors may be considered, such as progressively more restrictive load postings over an extended period of time.

FHWA QUALIFYING BRIDGE LIST

The FHWA Qualifying Bridge List (QBL) is prepared in the fall of each calendar year. Bridges on the QBL meet the HBP requirements for SD / FO and Sufficiency Rating; however, they may not meet the ADT requirement. QBL data for a bridge may be viewed by clicking on the QBL link shown for the project in the Transportation Program Management System (TPMS) development module. If no link is shown, the bridge is not on the QBL.

The QBL is based on information that may be over one year old; therefore, it is possible that an eligible bridge may not be included on the list. If an LPA wishes to use HBP funds for a bridge not on the QBL, a written request must be submitted to the DLSE. Updated SI&A information and any other documentation needed to justify the request must be attached or uploaded to the Iowa DOT's [Structural Inventory and Inspection Management System](#) (SIIMS). After the eligibility has been verified by the DLSE, the DLSE will forward the request to the Office of Local Systems. If the request appears acceptable, the Office of Local Systems will send the request to FHWA for review and approval. This request must be reviewed and approved by FHWA before any HBP funds can be authorized for work on the bridge.

Caution: If the SI&A ratings for the bridge requested have dropped significantly (i.e., 2 points or more in the last year), FHWA will probably require additional information or explanation to justify the sudden change in bridge conditions. Such additional information might include pictures or other documentation provided by the city, county, or consultant that explains why the sudden change occurred. Reasonable care should be taken to verify that the changes to the SI&A ratings are justifiable, especially for those bridges that are close to not qualifying. Questionable SI&A rating information may lead to an FHWA audit of the city or county bridge inspection program.

Bridges closed prior to December 31, 1970, are not eligible and have been removed from the list. If a bridge closed after December 31, 1970, and has been closed for 10 years, it is considered not significantly important and is therefore not eligible and will be removed from the list; unless, the LPA has made reasonable progress in scheduling the rehabilitation or replacement of the bridge, which indicates the bridge was of significant importance.

BRIDGE INSPECTIONS

All public highway bridges must be inspected in accordance with the National Bridge Inspection Standards (NBIS), as required by 23 CFR 650, [Subpart C](#). If the Iowa DOT determines that an LPA is not in at least conditional compliance with NBIS requirements that LPA is not eligible to receive any type of Federal funds or State bridge funds, even if it has bridges that meet the eligibility requirements outlined above. For additional guidance concerning the NBIS requirements, refer to [I.M. 2.120](#), Bridge Inspections.

ELIGIBLE PROJECT COSTS

Types of Costs

Within the Limits of Participation (see below), HBP funds and City Bridge Funds may be used for preliminary engineering, right-of-way, construction, utility relocations (as per [I.M. 3.650](#)), and construction engineering. County Bridge Funds may only be used for construction costs.

Limits of Participation

Replacement cost may include the bridge plus a nominal amount of roadway work sufficient to connect the structure to the existing roadway or return the grade line to an attainable Touchdown Point in accordance with [I.M. 3.205](#), Urban Design Guidelines, and [I.M. 3.210](#), Rural Design Guidelines. In most situations the Touchdown Points and the Limits of Participation are at the same location. However, there are a few situations where the Limits of Participation may extend beyond the Touchdown Points. For more information, see [Attachment C](#).

Limits on Channel Work

Reasonable channel work necessary to improve the stream alignment through the bridge opening is eligible for funding. Typically a limit of 500 feet is allowed under USACE Nationwide Permit Number 13, therefore, channel realignments exceeding 500 feet are typically not eligible for HBP or State bridge funds. To be eligible the work must be accomplished as part of the bridge project.

REHABILITATION WORK

Bridge rehabilitation projects have some additional requirements and procedures associated with them, as described below.

Future Bridge Program Eligibility

Because HBP funds are apportioned by FHWA to the States in part based on the number of SD and FO bridges, FHWA has instituted a “10-year rule” that prevents a bridge from remaining in either the SD or FO classifications after being replaced or rehabilitated, regardless of the type of funds used for the replacement or rehabilitation project. Rehabilitation projects are defined in 23 CFR 650.405(b) as requiring major work to restore the structural capacity of the bridge, as well as work necessary to correct major safety deficiencies. The Iowa DOT also considers bridge deck overlays that meet the requirements outlined below as rehabilitation work.

The effect of this rule is that FHWA will remove any bridge that has been replaced or rehabilitated in the last 10 years from the FHWA Qualifying Bridge List, and as a consequence, such bridges will not be eligible for Federal or State bridge funds in Iowa. Therefore, LPA should carefully consider the potential funding impacts when planning any type of bridge replacement or rehabilitation project.

Structural and Safety Deficiencies

The purpose of the Federal and State bridge programs is to address bridges that are SD or FO; therefore, a rehabilitation project must correct a bridge’s SD or FO status (except as noted in the “Design Exceptions” subsection below) and any major safety or structural problems. For example, the project may have to include widening, barrier rail, strengthening, etc. The remaining life of the rehabilitated bridge must be at least 15 years. The structural capacity after the rehabilitation must be greater than H15.

To address possible safety problems, bridge rehabilitation projects should be reviewed according to the safety considerations outlined in [I.M. 3.214](#), 3R Guidelines. Bridge rails and approach guardrails should be reviewed in accordance with [I.M. 3.213](#), Traffic Barriers (Guardrail and Bridge Rail).

Replacement vs. Rehabilitation

If the bridge is only eligible for rehabilitation with HBP funds but the LPA requests replacement instead, the LPA must submit a written request to the Office of Local Systems with the following information:

- The reason for replacement vs. rehabilitation. This should include specific numbers relating to such considerations as ADT, detour distance, load limits, number, and proximity of crossings on the stream, bridge widths in the area, public input, safety aspects, etc.
- A cost estimate of rehabilitation to current standards for width and load carrying capacity, and a cost estimate for replacement.
- For county bridges, an explanation of why each of the bridges in the county with a Sufficiency Rating below 50 is not being replaced before the proposed structure. Each bridge should be addressed

individually or grouped by similar Sufficiency Ratings, ADT, road system, road surface type, or any other logical way.

The Office of Local Systems will review the proposed justification and forward the information to FHWA for their review and possible approval. If the rehabilitation cost is more than 65% of the replacement cost, it is probably more cost effective to replace the bridge and the Office of Local Systems and FHWA will usually approve replacement. The Office of Local Systems and FHWA will also examine the merits of the project and what the LPA is doing to replace or rehabilitate its remaining deficient bridges.

For city projects, if the replacement is not approved by the Office of Local Systems or FHWA, the city may use the funding offered for rehabilitation, or they may decline the funding offered and remain on the Proposed City Bridge Candidate List until the bridge qualifies for replacement.

Overlays

Bridge deck overlays are not typically eligible for HBP or other Federal funds unless the project includes substantial reconstruction of the deck by removing all deteriorated deck concrete. Deteriorated concrete includes areas that are delaminated or spalled; as well as, concrete which is contaminated with chloride above the corrosion threshold. To determine contaminated areas the LPA shall perform chloride testing, or as an alternative to testing, the LPA may mill the entire deck down to the top mat of reinforcement.

Design Exceptions

Bridge rehabilitation projects should be designed to meet the AASHTO structural design guidelines referenced in [I.M. 3.510](#), Check and Final Bridge or Culvert Plans, and the applicable geometric design guidelines provided in [I.M. 3.214](#), 3R Guidelines. Design exceptions for structural capacity will not be granted. However, if the LPA can demonstrate that is not cost effective to upgrade the bridge to meet the geometric design guidelines, a design exception may be approved as prescribed in [I.M. 3.218](#), Design Exception Process.

If a design exception is granted for a geometric element on a bridge rehabilitation project, the LPA has determined that for the remaining life of the bridge, it is adequate for the type and volume of projected traffic, and that particular geometric element may not be used as the basis for classifying the bridge as FO. Examples of such geometric elements include deck width, vertical clearance over the bridge roadway, vertical and horizontal underclearances, and approach roadway geometry. Since this may affect the future eligibility of the bridge for the Federal and State bridge programs, LPAs should carefully consider this before requesting a geometric design exception.

City Bridge Priority Point Rating Worksheet

FHWA Structure Number: _____ City: _____

Inspection date used: _____ Estimated improvement cost: _____

Sufficiency Rating:

Priority Points

81 - 100 = 0 points	35 - 42 = 6 points
75 - 80 = 1	27 - 34 = 7
67 - 74 = 2	19 - 26 = 8
59 - 66 = 3	11 - 18 = 9
51 - 58 = 4	≤ 10 = 10
43 - 50 = 5	

Sufficiency Rating: _____ = _____

Estimated Average Daily Traffic:

< 25 = 0 points	3001 - 4000 = 6
25 - 250 = 1	4001 - 6000 = 7
251 - 500 = 2	6001 - 8000 = 8
501 - 1000 = 3	8001 - 10,000 = 9
1001 - 2000 = 4	> 10,000 = 10
2001 - 3000 = 5	

Est. ADT: _____ = _____

Bypass, Detour Length (Out-of-distance Travel) (miles):

< 1 = 0 points	≥ 3 < 4 = 8
≥ 1 < 2 = 4	≥ 4 = 10
≥ 2 < 3 = 6	

Detour: _____ (miles) = _____

Bridge Posting (SI&A Item 70 value):

5 = 0 points	2 = 6
4 = 2	1 = 8
3 = 4	0 = 10

Bridge Posting: _____ (SI&A Item 70 value) = _____

Total Points = _____

(40 points maximum)

County Bridge Priority Point Rating Worksheet

FHWA Structure Number: _____ County: _____

Inspection date used: _____ Estimated improvement cost: _____

Sufficiency Rating:

Priority Points

80 - 100 = 0 points	40 - 44 = 15
50 - 79 = 5	0 - 39 = 20
45 - 49 = 10	Closed = 20

Sufficiency Rating: _____ = _____

Estimated Average Daily Traffic:

0 - 24 = 0 points	250 - 399 = 15
25 - 49 = 5	≥ 400 = 20
50 - 249 = 10	

Est. ADT: _____ = _____

Bypass, Detour Length (Out-of-distance Travel) (miles):

$< 2 = 0$ points	$\geq 7 < 9 = 15$
$\geq 2 < 5 = 5$	$\geq 9 = 20$
$\geq 5 < 7 = 10$	

Detour: _____ (miles) = _____

Bridge Posting (SI&A Item 70 value):

5 = 0 points	2 = 9
4 = 3	1 = 12
3 = 6	0 = 15

Bridge Posting: _____ (SI&A Item 70 value) = _____

Bridge Width (feet):

$\geq 28 = 0$ points	$\geq 22 < 24 = 3$
$\geq 24 < 28 = 1$	$< 22 = 5$

Bridge Width: _____ (feet) = _____

Bridge Length (feet):

$< 50 = 0$ points	200 - 299 = 9
50 - 99 = 3	300 - 399 = 12
100 - 199 = 6	$\geq 400 = 15$

Bridge Length: _____ (feet) = _____

Cost/Vehicle Ratio: (Estimated \$/ADT)

$\geq 7,500 = 0$ points	2,500 - 4,999 = 3
5,000 - 7,499 = 1	$< 2,500 = 5$

Cost/Vehicle Ratio: _____ = _____

Total Points = _____

(100 points maximum)

Touchdown Points and Limits of Participation

General

The sketches below illustrate how the Limits of Participation are determined in various typical situations. The usual method for determining the amount of work that may have Federal or State bridge fund participation is based on replacing the structure with a minimal amount of approach roadway work in accordance with good hydraulic and geometric design practice. However, in some cases, the Limits of Participation may be based on other special considerations, as discussed below.

Special Considerations

Certain bridge replacement projects may require special considerations in determining the Limits of Participation. Such consideration may include special funding sources (e.g., demonstration, discretionary or earmark), safety issues, environmental commitments to avoid sensitive areas, and replacement and / or relocation of historic structures.

Costs associated with accommodation of traffic during construction are also eligible for Federal and State bridge funding, to the extent that the accommodations are reasonable and consistent with normal practice. Traffic accommodations may include temporary crossings, and in some cases, temporary bridges. Costs for traffic accommodations that will remain in place after the bridge is constructed are not eligible.

Approvals for extending the Limits of Participation based on these special considerations must be approved by the Iowa DOT and FHWA. Requests for such approvals should be submitted by the LPA as soon as the need becomes apparent, typically at the preliminary or check plan stage.

Situation 1 – No change in horizontal or vertical alignment

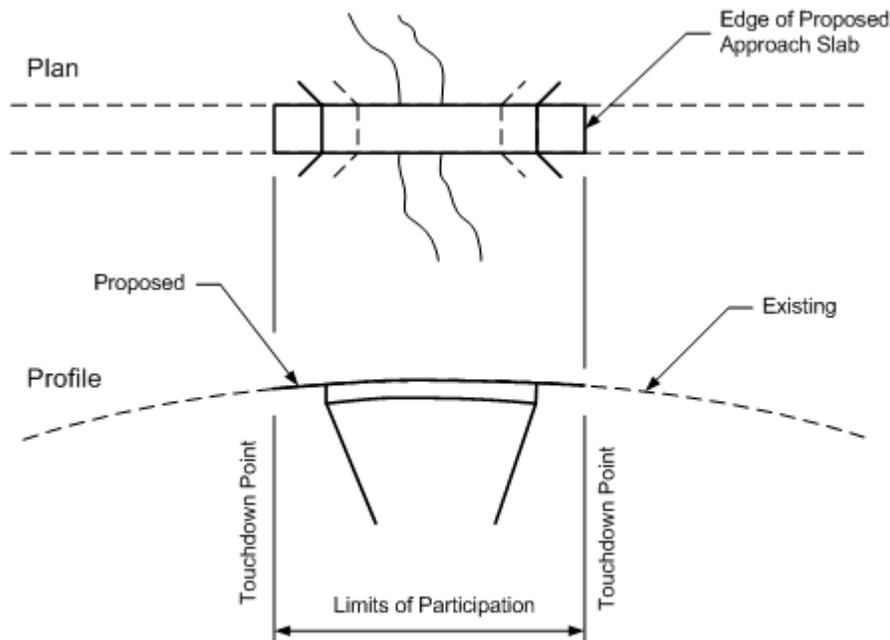


Figure 1

Situation 2 – No change in horizontal alignment, change in vertical alignment

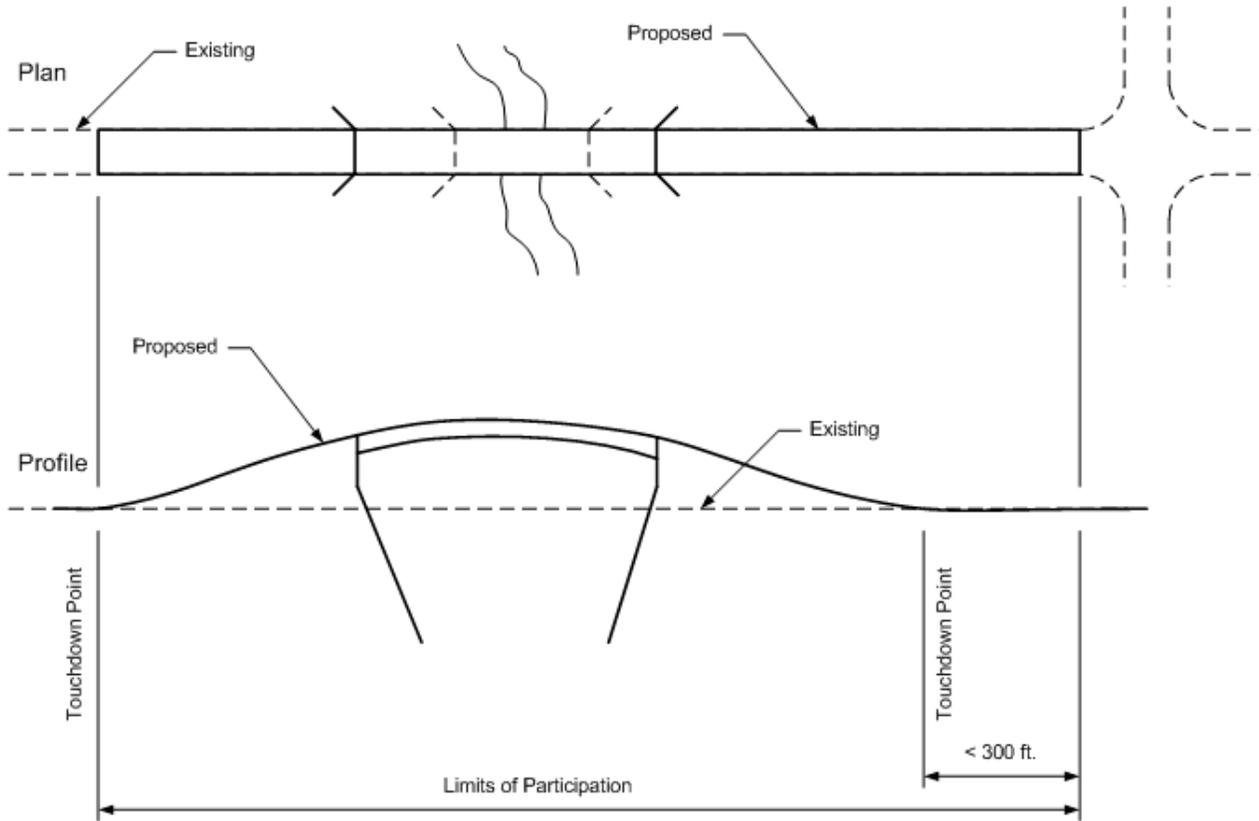


Figure 2A

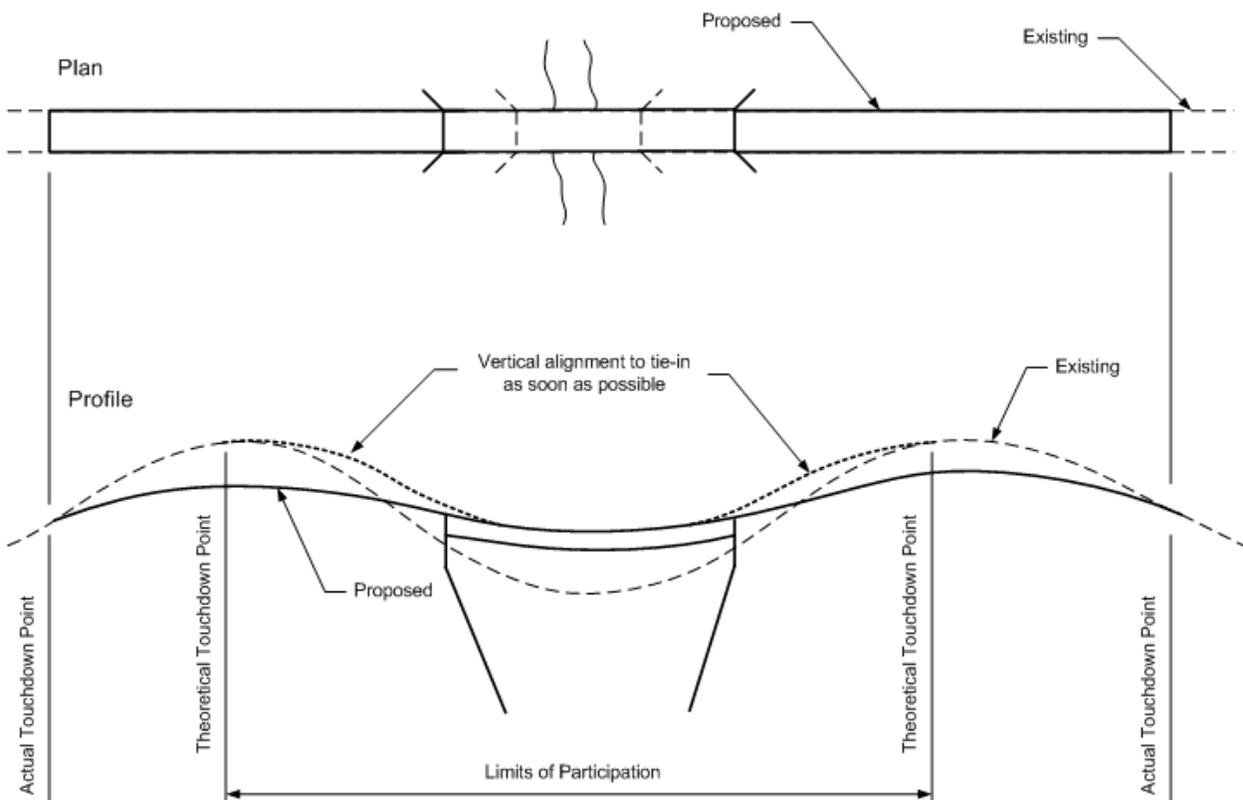


Figure 2B

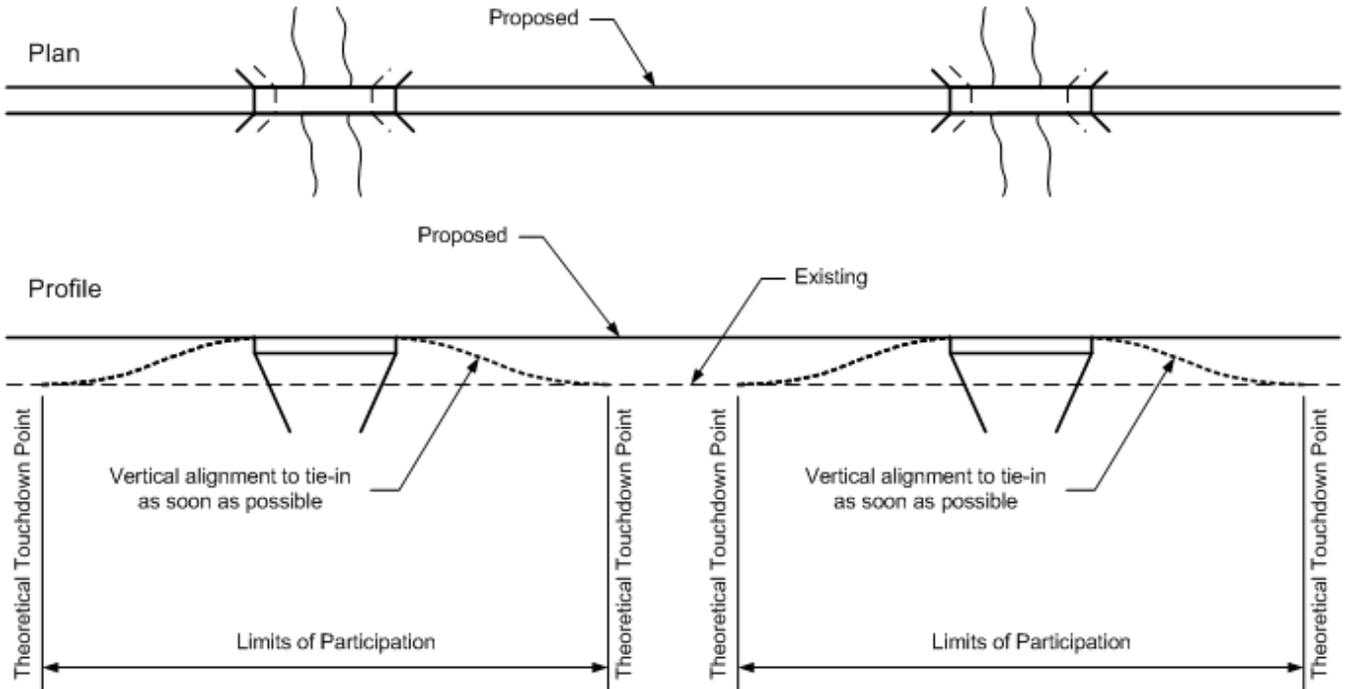


Figure 2C

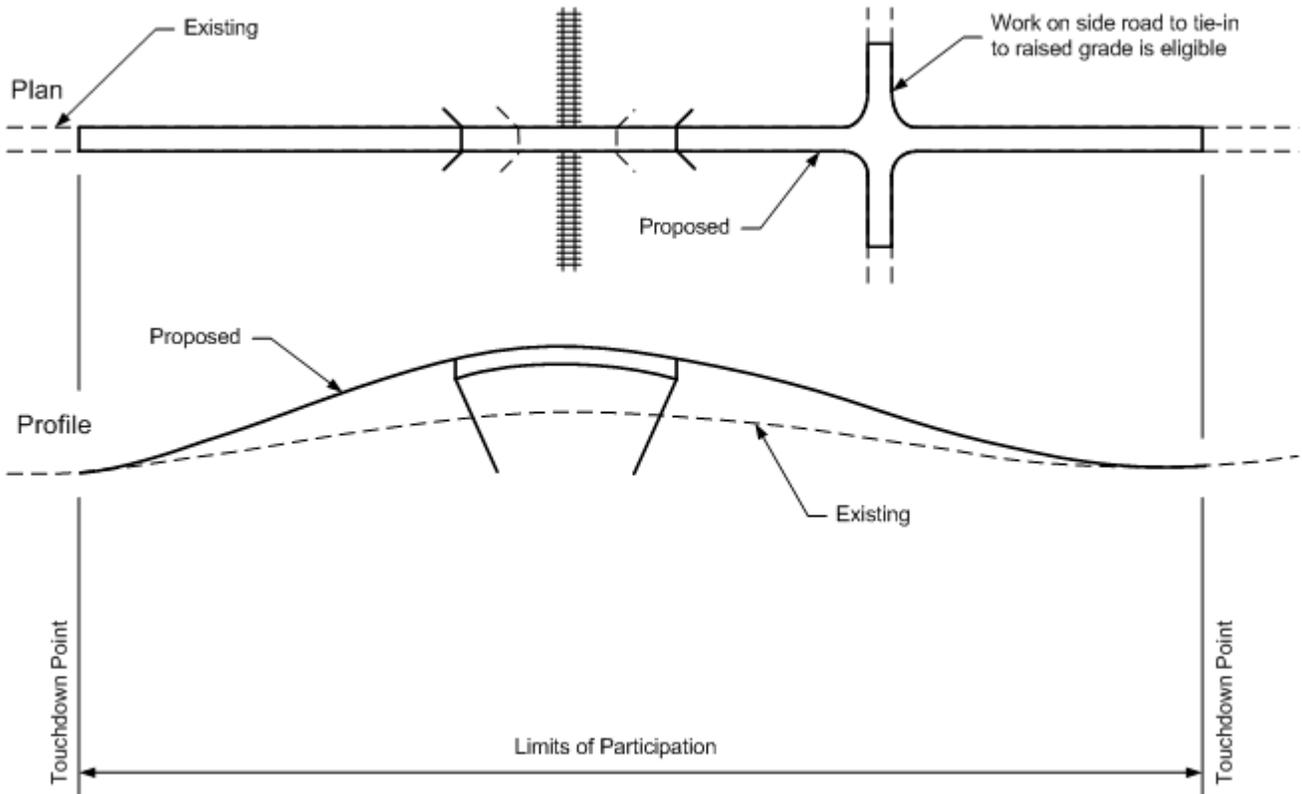


Figure 2D

Situation 3 – Change in horizontal and vertical alignment

Note: The Limits of Participation shown for this situation in the sketches below assume that the new location of the bridge is as close as possible to the existing location as hydraulic and geometric design criteria will allow.

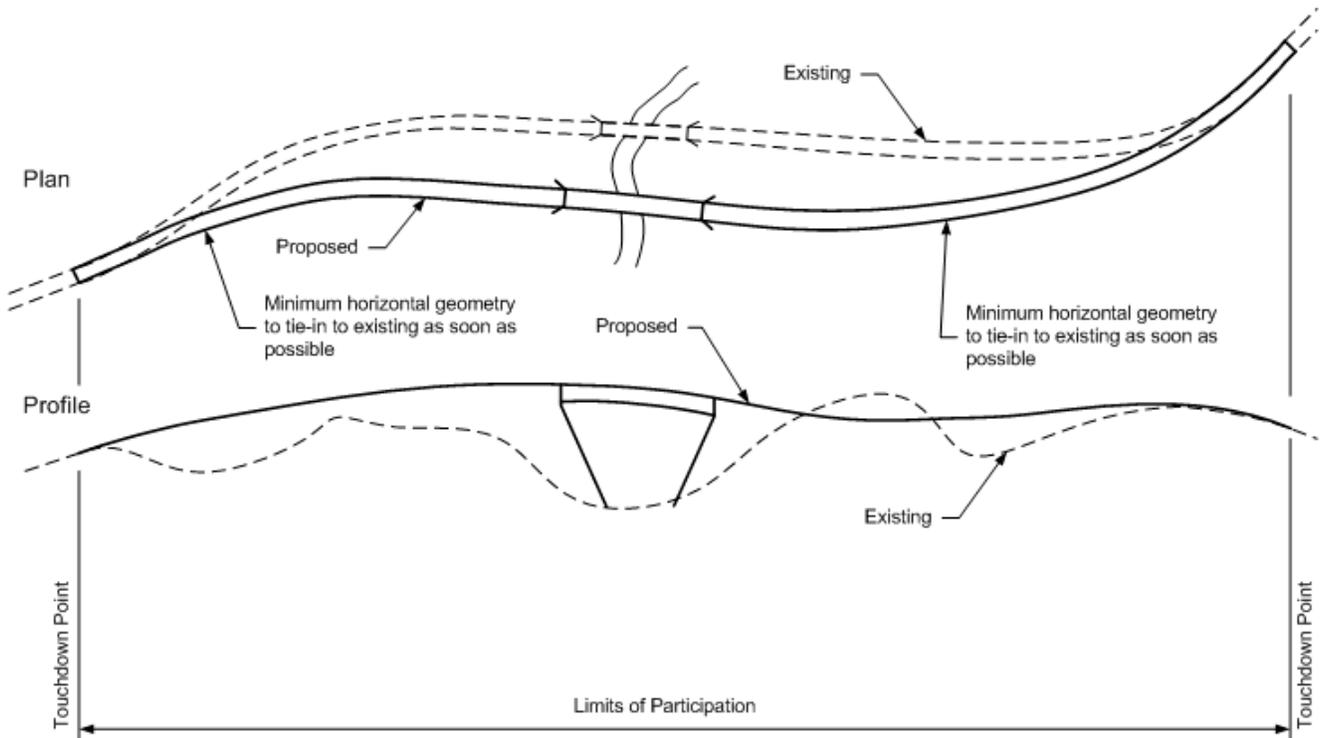


Figure 3A

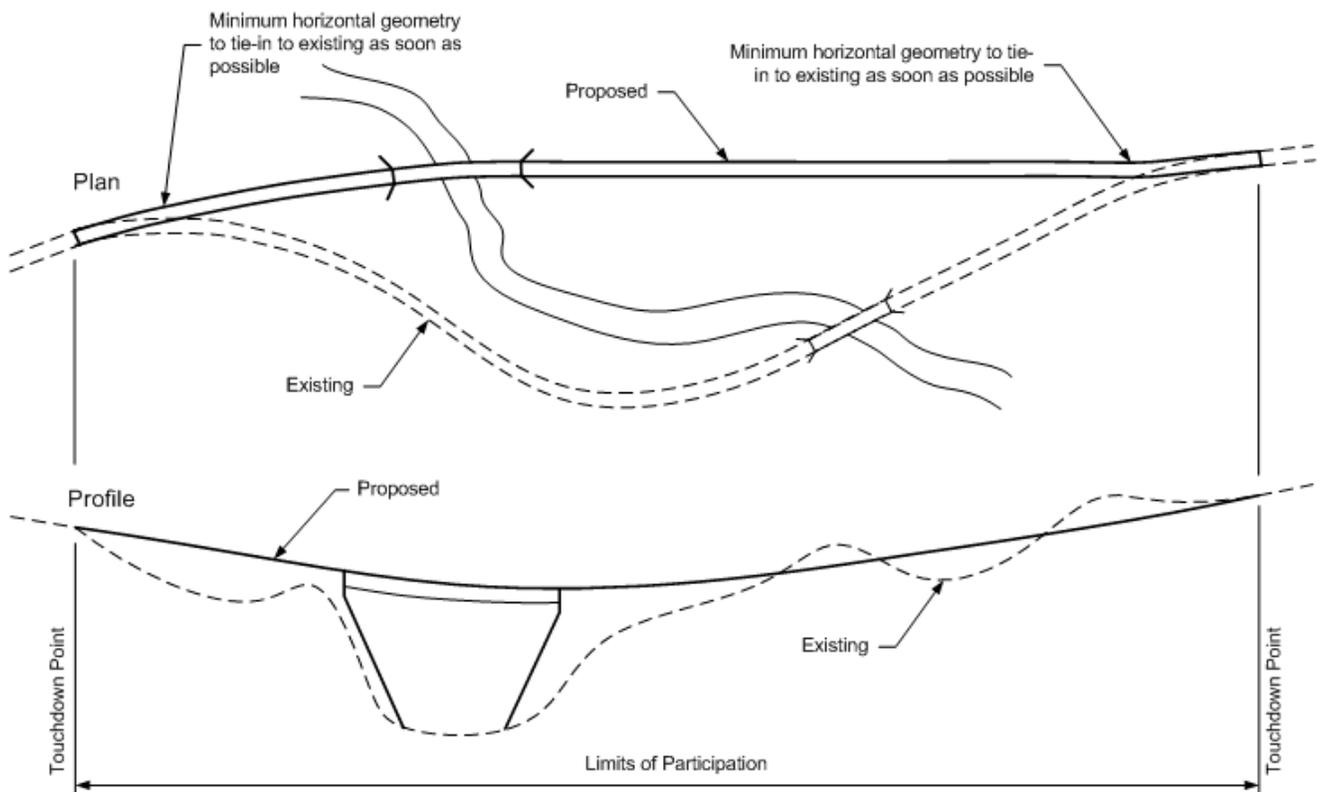


Figure 3B

County HBP Fiscal Constraint Requirements

Background

Federal regulations (23 CFR Part 450 and 49 CFR Part 613) require that the Statewide Transportation Improvement Program (STIP) be fiscally constrained, both in total and for each year of the STIP. Fiscal constraint requires that funding shown in the STIP (federal, state, local, and private) can be "reasonably expected to be available", while also providing for the operation and maintenance of the existing highway and transit systems.

This requirement is applied to each program included in the STIP. Because the HBP funds for Iowa are divided between the Iowa DOT, the cities, and the counties, it is important that each of these groups program their HBP funds in accordance with the fiscal constraint requirements. Since the Iowa DOT selects the city bridge projects and its own projects for HBP funding, it can ensure these requirements are met. However, since each county selects its own projects for HBP funding, additional procedures are necessary to ensure that the amount of HBP funds programmed by the counties in the STIP does not exceed the amount that can reasonably be expected to be available for the counties as a whole.

Therefore, the Iowa DOT, in consultation with the Iowa County Engineers Association and the FHWA, developed the process described in the section below for reviewing, and if necessary, adjusting the amount of county HBP funds programmed in the STIP. The following principles were used in developing this process to ensure that it is workable, fair, and produces the desired result:

- Programming is an inherently inexact process; therefore, if the county HBP funds are over-programmed by 20% or less of the amount of funds available, in total and for each year, fiscal constraint will be considered satisfied.
- In order to preserve the maximum flexibility for counties and minimize the possibility of increasing the unobligated balance of HBP funds for counties, fiscal constraint will be managed at the statewide level. This preserves the ability for a county to program more funds than are actually available to them on an individual basis.
- Required adjustments to amounts programmed by a county should be proportional to the amount that the county is over-programmed. That is, those counties that are over-programmed the most will have to make the largest adjustments to their programs. Counties that are only slightly over-programmed will need to make only slight adjustments to their programs. Counties that are not over-programmed will not have to make any adjustments to their programs.
- The programming changes required of individual counties will be clearly identified and quickly communicated so that they can make the necessary changes in a timely manner.
- Because of the limited time to make changes, there will be no variances or waivers granted to the required programming changes. If counties fail to make the required programming changes, the RPA's Transportation Improvement Program (TIP) will not be approved by the Iowa DOT.
- This process imposes no additional restrictions on the County Five Year Program (CFYP); however, the bridge projects promoted from the CFYP to the draft Regional Planning Affiliation (RPA) Transportation Improvement Program (TIP) will be subject to the restrictions outlined in the process below. Therefore, counties should be selective about which projects they submit for inclusion in the draft TIP.

Fiscal Constraint Review Process

The following process is used to ensure that the counties HBP funds meet the fiscal constraint requirements. This process begins in January of each year and concludes with FHWA approval of the STIP, usually in early October of each year.

1. The Iowa DOT Office of Local Systems and Office of Program Management prepare estimated targets for county HBP funding for the coming fiscal year and the following three years. These targets will include a statewide total and individual county allocations. The targets will be calculated using the estimated beginning HBP balances and annual allocations, as shown on the most current [HBP Status Report](#).

2. Using the HBP targets as a guide – but not a strict requirement – counties submit their bridge projects for inclusion in the RPA's draft TIP using the existing process, except that only selected projects are promoted from the CFYP to the TIP. Counties should include only those projects with a reasonable chance of being ready for obligation within the proposed program year.
 3. After all counties have submitted their bridge projects for inclusion in their respective TIPs, the Office of Local Systems will perform the HBP fiscal constraint calculations to determine if the county HBP programming is within acceptable limits, both for the total program and for each year of the program. If so, the process is complete. If not, go to the next step.
 4. The Office of Local Systems will provide the counties with the HBP fiscal constraint calculations. For each county, these calculations will indicate if programming adjustments must be made, and if so, the amount of funds that must be removed from or rescheduled in the TIP.
 5. Each county will review the HBP fiscal constraint calculations and make the required adjustments to the amount of HBP funds they have proposed for inclusion their RPA's TIP. No waivers or exceptions will be granted.
 6. After all the affected counties make the required adjustments to the draft TIP, Local Systems will re-run the fiscal constraint calculations to verify that, as a whole, the counties are within the acceptable programming limits, both for the total program and for each year. If so, the process is complete. If not, go to the next step.
 7. If fiscal constraint has not been achieved, Local Systems will provide the revised fiscal constraint calculations to counties and request that they make additional changes as indicated.
 8. Repeat steps 5-7 as needed until fiscal constraint is achieved.
 9. If the adjustments should result in under-programming for a given year or in total, counties will be afforded an opportunity to increase the amount programmed, within the acceptable programming limits, in the following order:
 - First, by increasing the funding level of projects already programmed that have less than a full 80% Federal share. Priority to increase funding amounts will be given to those counties that are the most under-programmed on an individual county basis.
 - Second, by adding or moving projects up in the program. Priority to add or move-up projects will be given to those bridges that score the most points under the state-funded County Bridge Construction Program.
- The Office of Local Systems will contact those counties that have an opportunity to add funding or projects, and upon confirmation from the county, adjust the fiscal constraint calculations accordingly to determine if more funds or projects can be added or not.
10. After the STIP has been approved by FHWA, counties may make changes to their program of HBP projects using the existing procedures for TIP amendments or modifications. If a county wants to add or move up a project up in the program, the county should also remove or delay other projects as needed to preserve fiscal constraint. However, fiscal constraint will not be recalculated with each proposed amendment or modification.

INSTRUCTIONAL MEMORANDUMS

To Local Public Agencies



To: Counties and Cities

Date: July 18, 2011

From: Office of Local Systems

I.M. No. 3.140

Subject: Storm Water Permits

Contents: This Instructional Memorandum (I.M.) includes guidelines and procedures for a Local Public Agency (LPA) to comply with the National Pollution Discharge Elimination System (NPDES) regulations, as they apply to LPA construction projects.

Introduction

The Environmental Protection Agency (EPA), through its storm water program, issues regulations to protect the water quality of the United States. These regulations implement the requirements of the Clean Water Act (CWA) of 1972. The EPA has taken a phased approach to implementing these regulations.

The EPA's regulations use the National Pollution Discharge Elimination System (NPDES) to govern storm water runoff from several activities. These activities include: (1) Municipal Separate Storm Sewer Systems (MS4s); (2) construction activities that disturb 1 acre of land or greater; and (3) ten categories of industrial activity.

These regulations have the potential to affect all cities and counties in Iowa. However, only the regulations that pertain to construction activities are relevant to the development of LPA transportation construction projects. Therefore, this I.M. will focus only on the necessary permits, processes, and procedures required for LPA transportation construction projects that are currently subject to EPA's storm water regulations.

Which projects will require a storm water permit?

All construction projects that disturb greater than or equal to 1 acre of land will require a NPDES permit from the Iowa Department of Natural Resources (Iowa DNR).

Some LPA transportation projects are considered as maintenance under the NPDES regulations, and therefore do not require a permit. Maintenance of transportation facilities would include activities that maintain the original grade, slope, or hydraulic capacity. Examples would include resurfacing projects that only involve work on the roadway and / or shoulders and maintain the original roadway and / or shoulder width. In other words, the original roadway and / or shoulder footprint remains the same. Another example would be ditch cleaning that only removes accumulated sediment and returns the ditch to the original slope.

Nevertheless, appropriate erosion control measures should always be used, even if a permit is not required. If the Iowa DNR observes a problem on a project that would not otherwise require a permit, it has the authority to require a permit and suspend work until a permit is obtained.

Which permit is required?

The Iowa DNR uses NPDES General Permit No. 2 for construction activities subject to the EPA regulations. Most LPA transportation construction projects should be able to obtain coverage under General Permit No. 2. However, at its discretion, the Iowa DNR may require an individual permit. The Iowa DNR will notify the LPA if an individual permit is needed.

General Permit No. 2 Requirements

What follows is a summary of the steps that the LPA should follow to comply with terms and conditions of General Permit No. 2. For all projects let by the Iowa DOT, and for all Federal-aid projects let locally, the LPA shall not make the contractor responsible for obtaining the applicable permit or filing the appropriate notices. For more detailed guidance, the LPA should carefully read the terms and conditions of [Iowa DNR NPDES General Permit No. 2](#).

1. Prepare Project Plans

The Iowa DOT requires the following items for project plans let through the Iowa DOT:

Note: For projects that are let locally, the LPA may wish to use the following list as a guide, since the NPDES storm water regulations shall apply to any construction project that meets or exceeds the 1 acre threshold, regardless of funding source and regardless of how the contract is let or administered.

A. Storm Water Permit Plan Note

Include a note on the title sheet indicating the project is subject to the conditions of Iowa DNR's NPDES General Permit No. 2. If an individual permit is required, specify the individual permit number instead.

This note is required because it is important that the bidders are aware of the project requirements with respect to storm water pollution prevention. It also notifies the Iowa DOT that the LPA has obtained (or will obtain) the permit. For the required text of this note, refer to [I.M. 3.505](#), Check and Final Plans, Attachment B.

General Permit No. 2 also requires that contractors and any applicable subcontractors sign a certification whereby they acknowledge that they understand and agree to comply with the terms and conditions of the General Permit No. 2. By signing such a certification, contractors and subcontractors become co-permittees along with the LPA. For projects let by the Iowa DOT, this certification will be included with the contract documents that are prepared by the Iowa DOT Office of Contracts. For projects that are let locally, the LPA shall include this certification to the contractor and any subcontractors with the contract documents. The contractor will return this certification to the LPA along with the other contract documents.

B. Storm Water Pollution Prevention Plan (PPP)

The project plans shall include a PPP that meets the requirements of General Permit No. 2. There are several resources that provide guidance in preparing an adequate PPP. Designers should consider the following documents when developing a PPP:

- [A Brief Guide to Developing Pollution Prevention Plans and Best Management Practices – Summary Guidance](#), published by the Iowa DNR.
- Chapter 7 of the [Iowa Statewide Urban Design Standards Manual](#) provides an excellent guide to erosion and sediment control measures that should be considered as part of the PPP.
- For projects let by the Iowa DOT, LPAs should include a PPP using the format provided in Iowa DOT [Standard Tabulation](#) 110-12A. In addition, the Iowa DOT Office of Design has developed a sample PPP, which is included in the [Sample C Sheets](#) provided in Section 1F-4 of the Design Manual. The sample PPP is provided for guidance purposes only. The designer should carefully examine the needs of each project and modify the language of the sample PPP as appropriate. The LPA assumes all responsibility for the accuracy and adequacy of the PPP shown on the project plans.
- The Iowa DOT has also developed instructions for preparing a PPP, which are contained in [Section 10D-1](#) of the Iowa DOT Design Manual. When referring to these instructions, keep in mind they are written for Iowa DOT staff use, and as such they reflect "in-house" procedures. Nevertheless, the instructions related to preparation of the PPP may be helpful for LPA project designers.

C. Bid Items for Erosion Control Measures

The project plans shall include the appropriate bid items needed to carry out the contractors' obligations under the PPP. For projects that will be let by the Iowa DOT, refer to Sections [2601](#) and [2602](#) of the Iowa DOT Standard Specifications for the appropriate bid items corresponding to the various erosion control measures specified by the PPP.

D. Plan Details

The project plans shall include tabulations, details, and plan sheets, as required by the complexity of the project, to show the erosion control measures specified by the PPP.

The amount of detail necessary will vary with each project. However, enough detail must be provided so that bidders can accurately estimate the cost of work required by the PPP. Insufficient detail in the plans can lead to inadequate control of soil erosion, disputes, claims for additional compensation, and costly project delays.

2. Give Public Notice

Before applying for a permit, give public notice of intent to seek coverage under General Permit No. 2. This public notice must be published for at least one day in at least two newspapers with the largest circulation in the project area. The Iowa DNR has developed a sample [Public Notice of Storm Water Discharge](#) that may be used as a guide in preparing the required public notice.

3. Apply for Permit

Application for General Permit No. 2 is made by submitting a [Notice of Intent](#) (NOI) form, proof of public notification, and the applicable fees to the Iowa DNR.

4. Implement the PPP

The PPP must be carried out from time construction begins until the site has been stabilized. This includes making any necessary modifications to the PPP, inspection, and maintenance of the erosion control measures. Use of the Iowa DOT inspection form, Storm Water Site Inspection ([Form 830214](#)) is strongly recommended. For additional guidance regarding inspection procedures, refer to the Iowa DOT Construction Manual [Section 10.30](#).

5. Submit Notice of Discontinuation

After the project site has been stabilized, the Iowa DNR must be notified by submitting a [Notice of Discontinuation](#) (NOD) to the Iowa DNR.

Resource Information for Storm Water Regulations

- [Iowa DNR, Storm Water Program Home Page](#). A directory of the Iowa DNR's on-line information relating to storm water regulations. Contains links to general information about storm water permits in Iowa, forms, permits, and guidance documents.
- [EPA Storm Water Program Home Page](#). Gives an overview of the types of activities that are regulated by EPA's Storm Water Program as implemented by the NPDES permitting system. Contains links to more information on the Phase I and Phase II regulations.
- [EPA Storm Water Phase II Final Rule Fact Sheet Series Index](#). These fact sheets give helpful summaries of all aspects of the EPA regulations. Refer to [Fact Sheet 1.0](#) for an overview of the EPA regulations. Refer to [Fact Sheet 3.0](#) for information specific to construction activities.