

INSTRUCTIONAL MEMORANDUMS

To Local Public Agencies



To: Cities and Counties	Date: January 19, 2024
From: Local Systems Bureau	I.M. No. 1.000
Subject: Iowa DOT Oversight of LPA Projects	

Contents: This Instructional Memorandum (I.M.) includes guidelines and procedures for an Iowa Department of Transportation (Iowa DOT) Administering Bureau to oversee the Local Public Agencies (LPA) Federal-aid, Federal-aid Swap, Farm-to-Market, and State-aid projects.

This I.M. also includes the following attachments:

- [Attachment A](#) - Project Submittal Table for Each Funding Type
- [Attachment B](#) - Administering Bureau Responsibilities Flowchart

GENERAL

In this I.M., there are 4 categories of projects. They are based on the funding types, and correspond with the categories in [Materials I.M.s 101](#) and [103](#). There are 4 categories of LPA projects:

- [Category 1](#): Federal-aid county road, city street, and bridge projects.
- [Category 2](#): Federal-aid county and city non-highway projects.
- [Category 3](#): State-aid or cooperative projects between the Iowa DOT and an LPA which involve through traffic lanes on primary roads, including turn lanes, and other work (drainage structures, grading, etc.) within the primary right-of-way that will be owned and maintained by the Iowa DOT. Cooperative projects may involve primary and interstate highways, or working within the Iowa DOT right-of-way, regardless of the funding source.
- [Category 4](#): Federal-aid Swap, State-aid, Farm-to-Market, or Local projects on county roads, city streets, or bridges (except those which involve any work on the primary highway through traffic lanes or turn lanes that will be owned and maintained by the Iowa DOT).

For guidance on determining the appropriate project numbers, refer to [I.M. 3.060](#), Project Numbers. [I.M. 3.060](#), also shows which funding sources use which project number prefixes as part of the overall project number.

ADMINISTERING BUREAU

The term “Administering Bureau” is used to designate which Iowa DOT Bureau will provide oversight for the LPA’s project. Iowa DOT oversight includes all aspects of a project, from initial project concept through construction and project close-out. The Administering Bureau that provides project development oversight will also provide oversight for construction administration, except projects on or over the Interstate, where the Iowa DOT is required by the Federal Highway Administration (FHWA) to administer construction. The Administering Bureau may be the Local Systems Bureau, Systems Planning Bureau, or the Iowa DOT District appropriate to the project location.

Administering Bureau responsibilities are based on funding sources, and are generally administered as follows:

Local Systems Bureau:

- All Category 1 projects, except those programs administered by the Systems Planning Bureau (see below).
- Federal-aid, Federal-aid Swap, and Traffic Safety Improvement Program (TSIP) on city or county roadways and in the Primary ROW when it is determined that the LPA will be the project’s lead agency
- Farm-to-Market (FM)
- Highway Safety Improvement Program (HSIP-S)
- County State Traffic Engineering Program (C-STEP), Urban State Traffic Engineering Program (U-STEP), and Americans with Disabilities Act (ADA) locally administered on Primary roadways (Include Assistant District Engineer (ADE) early in development).

- Traffic Engineering Assistance Program (TEAP) - Both Local Systems Bureau and the Iowa DOT District should be involved if in Primary ROW. If not in Primary ROW, only Local Systems Bureau. TEAP projects generally involve studies, and not construction projects.

Systems Planning Bureau:

- All Category 2 projects, including Iowa's Transportation Alternatives Program (TAP), and Federal Recreational Trails (NRT).
- All TAP and NRT, including those in Category 1 that are on the highway (directly adjacent to existing pavement), such as the addition of bike lanes and paved shoulders, or are affecting the highway, such as a culvert underpass, etc.
- Revitalize Iowa's Sound Economy (RISE), except for projects where Iowa DOT is the Contracting Authority.
- Iowa's Clean Air Attainment Program (ICAAP) projects, including both Federal-aid and Federal-aid Swap. This includes primary road and local roadway improvements with other funding (STBG, TSIP, etc.).

District:

- Federal-aid in the Primary and Interstate ROW, unless it is determined that the LPA will be the project's lead agency for project development. Construction on the Interstate system shall be administered by the Iowa DOT.
- TEAP - Both Local Systems Bureau and the Iowa DOT District should be involved if in Primary ROW. If not in Primary ROW, only Local Systems Bureau. TEAP projects generally involve studies, and not construction projects.
- Some Category 3 projects along primary highways may be administered by the appropriate Iowa DOT District.

Any time a project is located within Iowa DOT ROW, the Administering Bureau will work with the District Office on various project development submittals. The LPA shall submit the Application and Agreement to Perform Work Within State Highway Right-of-Way ([Form 810028](#)) to the appropriate District.

Exceptions to this division of responsibilities, if any, will be mutually agreed upon by the Systems Planning Bureau, the Iowa DOT District Staff, and the Local Systems Bureau. Refer to [Attachment B to this I.M.](#) for a flowchart on determining the Administering Bureau. Ultimately, it is the Iowa DOT's discretion.

CATEGORY 1

Category 1 projects are Federal-aid county road, city street, and bridge projects.

Project Funding Program

- Surface Transportation Block Grant Program (STBG) (STP-S, STP-U)
- Iowa's Clean Air Attainment Program (ICAAP) (STP-A)
- Iowa's Transportation Alternatives Program (TAP-T, TAP-U, TAP-R) (STP-E, STP-ES, STP-ES-E) for projects that are on the highway (directly adjacent to existing pavement), such as the addition of bike lanes and paved shoulders, or are affecting the highway, such as a culvert underpass, etc.
- Highway Bridge Program (BROS, BHOS, BRM, BHM, BRS, BHS)
- Highway Safety Improvement Program (HSIP, HSIP-S)
- Emergency Relief (ER)
- Other Discretionary Federal-aid funds for county roads, city streets, and bridge projects.

Programming Projects and Activating Projects in TPMS Development

County Secondary Road Department projects: The county enters all construction projects in the County Five Year Program (CFYP) in the Transportation Program Management System (TPMS). The county shall request

the Regional Planning Affiliation (RPA) or Metropolitan Planning Organization (MPO) include the project in the Transportation Improvement Program (TIP). All Federal-aid projects automatically transfer from the TIP and get submitted to the Iowa DOT for inclusion in the Statewide Transportation Improvement Program (STIP). Once the project is included in the CFYP or STIP, the project can be activated in TPMS Development.

City projects and all other projects not in a CFYP: The city or LPA shall request the RPA or MPO include the project in the TIP and provide the necessary project information. The RPA or MPO will enter the project in TPMS and the TIP; the TIP gets approved and submitted to the Iowa DOT for inclusion in the STIP. Once the project is included in the STIP, the project can be activated in TPMS Development.

Project Development Information

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

Federal-aid projects should be designed to meet the design guidelines provided by the Iowa DOT. Generally, these design guidelines correspond to nationally recognized design guidelines, such as those published by the American Association of State Highway Transportation Officials (AASHTO). Refer to [The Federal-aid Guide](#), Section 5.3 “Design Guidelines”, for additional information. Design exceptions may be granted; refer to [I.M. 3.260](#), Design Exception Process, for additional information.

For projects including bicycle facilities, designs should meet or exceed the minimum recommended values provided in Chapter 12A and 12B of the [Iowa DOT Design Manual](#). New construction or alterations to pedestrian facilities shall be designed to meet the requirements of the Americans with Disabilities Act (ADA). Refer to [I.M. 1.080](#), ADA Requirements, for the applicable design guidelines.

Use of the Iowa DOT Standard Specifications for Highway and Bridge Construction, including any applicable Supplemental Specifications or Developmental Specifications, is also required. Occasionally, county or city Special Provisions or conditions may be approved. NEPA Clearance must be obtained from the Iowa DOT, acting on behalf of the Federal Highway Administration (FHWA); refer to [I.M. 4.020](#), NEPA Process, for additional information. All right-of-way activities must comply with Federal and State laws, regardless of the funding source used for right-of-way activities; refer to [I.M. 3.600](#), Right-of-Way Acquisition, for additional information.

Submittals to Iowa DOT

[I.M. 3.010](#), Project Development Submittal Dates and Information, contains the submittal dates for the following submittals. The following submittals are required, as part of the project development and plan review process:

- Concept Statement - refer to [I.M. 3.020](#), Concept Statement Instructions, for additional information.
- Funding agreements will be sent to the LPA by the Administering Bureau.
- Preliminary Plans - refer to [I.M. 3.400](#), Preliminary Plans, for additional information.
- Check Plans - refer to [I.M. 3.700](#), Check and Final Plans, for additional information.
- Final Plans - refer to [I.M. 3.700](#), Check and Final Plans, for additional information.
- Project Development Certification - refer to [I.M. 3.710](#), Project Development Certification, for additional information.
- Additional items, as necessary, including but not limited to various environmental permits or railroad agreements.

The above items are reviewed and accepted by the Administering Bureau, and other Bureaus as appropriate. The Administering Bureau reviews plans for thoroughness, feasibility, and practicability. The review should determine if there is enough information to be biddable and if the plans and specifications are clear or detailed enough to be constructed.

Contract Letting

All Category 1 projects are to be let at the Iowa DOT according to the Contracts and Specifications Bureau letting process. Refer to [I.M. 5.030](#), Iowa DOT Letting Process, for additional information, including guidance on accepting or rejecting bids.

Construction Administration

The main files are to be kept in Doc Express and shall be named according to the established naming convention; refer to [Attachment F to I.M. 6.000](#), Doc Express Instructions for Local Public Agencies.

Preconstruction Meetings require attendance from the Administering Bureau, as well as the Civil Rights Bureau, the District Materials Engineer or other staff. The LPA, who is the Contracting Authority, is responsible for contract administration, construction inspection, and documentation, including everything referenced in the Funding Agreement. The Contracting Authority shall follow all materials sampling and testing requirements, and materials certifications, according to [Materials I.M. 204](#). The LPA will be billed for these costs, which are not eligible for Federal reimbursement. Details are in [Materials I.M.s 101](#) and [103](#).

For projects on the FM System, project payments are made to contractors using the Contractor Pay System (CPS). The County authorizes payment to the Contractor by completing a voucher, which is sometimes referred to as a "309 Voucher" or "FM Voucher", or by generating a voucher in the FieldManager or Appia software. The Finance Bureau works directly with the Local Systems Bureau to process the payments after paperwork is received from the County for a 309 Voucher or electronic submittal of FieldManager or Appia vouchers. If a project has Federal-aid, the Finance Bureau requests reimbursement from FHWA, and the reimbursement is transferred into the FM account from which the project payment was made. For other types of State funds (TSIP, State Bridge, U-STEP, C-STEP, RISE, etc.), the LPA will need to request a reimbursement of these funds by submitting a Claim Reimbursement Form to the Administering Bureau.

For projects not on the FM System, all paperwork for the preparation of reimbursement vouchers such as consultant invoices, contractors pay estimates, etc. shall be submitted by the LPA and/or consultant to the Administering Bureau. The Administering Bureau will process all reimbursement vouchers, after the LPA submits the Claim Reimbursement Form ([Form 517050](#)) or Claim for Reimbursement of Federal Project Costs ([Form 240007](#)).

Change Orders require approval from the Administering Bureau.

Final Acceptance and Form Distribution

The LPA's Engineer will certify the work was completed in substantial compliance with the plans and specifications including materials incorporated. This certification will include LPA completion of the Project Documentation & Pre-Audit Checklist for LPA Projects and Final Forms Packet Checklist, in [I.M. 6.110](#) and the Material Review Sheets linked in [Materials I.M. 101](#) that apply to the completed work. The Administering Bureau accepts projects after an LPA submittal of a Statement of Completion and Final Acceptance of Work ([Form 830435](#)) and Final Payment ([Form 830436](#)).

Using a systems approach, the Administering Bureau investigates the LPA's ability to provide adequate contract administration. As a minimum, the Administering Bureau audits one Federal-aid project per county and city each year that the county or city has a Federal-aid project. If no issues are discovered, the Administering Bureau may, or may not, perform an audit on other Federal-aid projects that a county or city has administered that same year. The Administering Bureau will decide which projects will be audited; the LPA may not be notified of this decision until submittal of the Pre-audit Checklist.

CATEGORY 2

Category 2 projects are Federal-aid county and city non-highway projects.

Project Funding Program

- Iowa's Transportation Alternatives Program (TAP) (STP-E, STP-ES, STP-ES-E)
- Iowa's Clean Air Attainment Program (ICAAP) (STP-A)

- Federal Recreational Trails (NRT)
- Other Discretionary Federal-aid funds through FHWA, for non-highway projects

Programming Projects and Activating Projects in TPMS Development

County Secondary Road Department projects: The county enters all construction projects in the County Five Year Program (CFYP) in TPMS. The county shall request the RPA or MPO include the project in the TIP. All Federal-aid projects transfer from the TIP and get submitted to the Iowa DOT for inclusion in the STIP. Once the project is included in the CFYP or STIP, the project can be activated in TPMS Development.

City projects and all other projects not in a CFYP: The city shall request the RPA or MPO include the project in the TIP, and provide the necessary project information. The RPA or MPO will enter the project in TPMS and the TIP; the TIP gets approved and submitted to the Iowa DOT for inclusion in the STIP. Once the project is included in the STIP, the project can be activated in TPMS Development.

Project Development Information

[The Federal-aid Guide](#) provides a concise summary of information and instructions for LPA staff and consultants involved in the planning, development and construction of LPA federal-aid transportation projects. Where appropriate, [The Federal-aid Guide](#) references the I.M.s and other documents for more detailed information and instructions.

Federal-aid projects should be designed to meet the design guidelines provided by the Iowa DOT. Generally, these guidelines correspond to nationally recognized design guidelines, such as those published by the American Association of State Highway Transportation Officials (AASHTO). Refer to [The Federal-aid Project Development Guide for Local Public Agencies](#) ([The Federal-aid Guide](#)), Section 5.3 “Design Guidelines”, for additional information. Design exceptions may be granted; refer to [I.M. 3.260](#), Design Exception Process, for additional information.

For projects including bicycle facilities, designs should meet or exceed the minimum recommended values provided in Chapter 12A and 12B of the [Iowa DOT Design Manual](#). New construction or alterations to pedestrian facilities shall be designed to meet the requirements of the Americans with Disabilities Act (ADA). Refer to [I.M. 1.080](#), ADA Requirements, for the applicable design guidelines.

Iowa DOT Standard Specifications must be used where viable or practical. For items that don't fit the Iowa DOT Specifications, the LPA will need to develop its own Special Provisions and / or specifications. Projects let locally may utilize SUDAS Specifications as noted below in the Contract Letting section. NEPA Clearance must be obtained from the Iowa DOT, acting on behalf of the Federal Highway Administration (FHWA); refer to [I.M. 4.020](#), NEPA Process, for additional information. All right-of-way activities must comply with Federal and State laws, regardless of the funding source used for right-of-way activities; refer to [I.M. 3.600](#), Right-of-Way Acquisition, for additional information.

Submittals to Iowa DOT

[I.M. 3.010](#), Project Development Submittal Dates and Information, contains the submittal dates for the following submittals. The following submittals are required, as part of the project development and plan review process:

- Concept Statement - refer to [I.M. 3.020](#), Concept Statement Instructions, for additional information.
- Funding Agreements will be sent to the LPA, by the Administering Bureau.
- Preliminary Plans - refer to [I.M. 3.400](#), Preliminary Plans, for additional information.
- Check Plans - refer to [I.M. 3.700](#), Check and Final Plans, for additional information.
- Final Plans - refer to [I.M. 3.700](#), Check and Final Plans, for additional information.
- Project Development Certification - refer to [I.M. 3.710](#), Project Development Certification, for additional information.
- Additional items, as necessary, including but not limited to various environmental permits or railroad agreements.

The above items are reviewed and accepted by the Administering Bureau, and other Bureaus as appropriate.

The Administering Bureau reviews plans for thoroughness, feasibility, and practicability. The review should determine if there is enough information to be biddable and that the plans and specifications are clear or detailed enough to be constructed.

Contract Letting

All Category 2 projects shall be let at the Iowa DOT, with a few exceptions that are listed in [I.M. 5.120](#), Local Letting Process - Federal-aid. Iowa DOT Standard Specifications must be used when a project is let at the Iowa DOT. Refer to [I.M. 5.030](#), Iowa DOT Letting Process, for additional information, including guidance on accepting or rejecting bids.

Construction Administration

The main files are to be kept in Doc Express and shall be named according to the established naming convention; refer to [Attachment F to I.M. 6.000](#), Doc Express Instructions for Local Public Agencies, except for the locally let projects (refer to Contract Letting section above).

Preconstruction Meetings require attendance from the Administering Bureau. The LPA, who is the Contracting Authority, is responsible for contract administration, construction inspection, and documentation, including everything referenced in the Funding Agreement. The Contracting Authority shall follow all materials sampling and testing requirements, and materials certifications, according to [Materials I.M. 204](#). Materials inspection services by the Iowa DOT will be provided only when specifically requested in writing by the LPA. The LPA will be billed for these costs, which are not eligible for Federal reimbursement. See [Materials I.M.s 101](#) and [103](#) for additional information.

For projects not on the FM System, all paperwork for the preparation of reimbursement vouchers such as consultant invoices, contractors pay estimates, etc. shall be submitted by the LPA and/or consultant to the Administering Bureau. The Administering Bureau will process all reimbursement vouchers, after the LPA submits the appropriate Claim Reimbursement Form ([Form 517050](#)) or Claim for Reimbursement of Federal Project Costs ([Form 240007](#)).

The Administering Bureau approves Change Orders.

Final Acceptance and Form Distribution

Projects awarded through an Iowa DOT letting:

The LPA's Engineer or architect will certify that the project was completed in substantial compliance with the plans and specifications. The Administering Bureau performs a review of contract pay items to determine total cost of eligible items. The Administering Bureau will accept completion of the project and acknowledge the LPA's materials certification by Statement of Completion and Final Acceptance of Work ([Form 830435](#)) and Final Payment ([Form 830436](#)). This certification will include LPA completion of the Pre-Audit/Project Review Close-out Checklist for LPA Projects and Final Forms Packet Checklist, in [I.M. 6.110](#), Final Review, Audit, and Close-out Procedures for Federal-aid, Federal-aid Swap, and Farm-to-Market Projects.

Projects awarded through a local letting:

The LPA's Engineer or Architect will certify project completion on Certificate of Completion and Final Acceptance for Agreement Work ([Form 640003](#)). The LPA shall submit the Local Letting Pre-audit Checklist in [Attachment C to I.M. 5.120](#). The Administering Bureau acknowledges completion with signature on this form and prepares vouchers for reimbursement.

CATEGORY 3

Category 3 projects are State-aid or cooperative projects between the Iowa DOT and an LPA which involve through traffic lanes on primary roads, including turn lanes, and other work within the primary right-of-way that will be owned and maintained by the Iowa DOT. Cooperative projects may involve primary and interstate highways, or working within the Iowa DOT right-of-way, regardless of the funding source.

Project Funding Programs

Funding types may include:

- U-STEP/C-STEP (UST, CST)
- RISE (RC, RCX, RM, RMX, RFM, RP, RPX)
- Traffic Safety Improvement Program (CS-TSF, FM-TSF)
- National Highway System - No Federal Aid (NHSN)

Any time a project is located within Iowa DOT ROW, the Administering Bureau will work with the District Office on various project development submittals. The LPA shall submit the Application and Agreement to Perform Work Within State Highway Right-of-Way ([Form 810028](#)) to the appropriate District. This may include discussing things like conflicting work zones, detours through another agency's work zone, and other similar issues that may arise.

Programming Projects and Activating Projects in TPMS Development

City projects: The city shall follow local policies for whether projects need to be programmed in a Capital Improvement Program (CIP).

County projects: The county shall enter all construction projects in the County Five Year Program (CFYP) in TPMS.

For projects being let at the Iowa DOT, projects shall be activated in TPMS Development.

Project Development Information

All road and bridge projects that are located on the Primary Highway System, regardless of the funding source, shall use the design guidelines in the [Iowa DOT Design Manual](#).

For projects including bicycle facilities, designs should meet or exceed the minimum recommended values provided in Chapter 12A and 12B of the [Iowa DOT Design Manual](#). New construction or alterations to pedestrian facilities shall be designed to meet the requirements of the Americans with Disabilities Act (ADA). Refer to [I.M. 1.080](#), ADA Requirements, for the applicable design guidelines.

Use of the Iowa DOT Standard Specifications for Highway and Bridge Construction, including any applicable Supplemental Specifications or Developmental Specifications, is also required for projects let through the Iowa DOT. Projects let locally may be allowed to use other specifications such as SUDAS or LPA Special Provisions; refer to the Funding Agreement for additional information. All right-of-way activities must comply with Federal and State laws, regardless of the funding source used for right-of-way activities; refer to [I.M. 3.600](#), Right-of-Way Acquisition, for additional information.

Submittals to Iowa DOT

[I.M. 3.010](#), Project Development Submittal Dates and Information, contains the submittal dates for projects let at the Iowa DOT. The following submittals are required, as part of the project development and plan review process:

- Funding Agreements will be sent to the LPA, by the Administering Bureau.
- Preliminary Plans - refer to [I.M. 3.400](#), Preliminary Plans, for additional information.
- Check Plans - refer to [I.M. 3.700](#), Check and Final Plans, for additional information.
- Final Plans - refer to [I.M. 3.700](#), Check and Final Plans, for additional information.
- Project Development Certification - refer to [I.M. 3.710](#), Project Development Certification, for additional information. This is only required for projects let at the Iowa DOT.
- Additional items, as necessary.

The above items are reviewed and accepted by the Administering Bureau, and other Bureaus as appropriate. The Administering Bureau reviews, accepts, or comments on preliminary plans for conformance to the project agreement. Check plans, final plans, and Special Provisions are accepted for letting by the Administering Bureau for both Iowa DOT and locally let projects.

Contract Letting

Iowa DOT Letting Required: All projects using FM funds must be let at the Iowa DOT. For projects being let at the Iowa DOT, follow the Contracts and Specifications Bureau letting process; refer to [I.M. 5.030](#), Iowa DOT Letting Process, for additional information. See Category 4 section below for additional information on projects using FM funds.

Optional Local Letting: All other projects in this category may be let either at the Iowa DOT or locally. For projects being let locally, refer to [I.M. 5.100](#), Local Letting Process - State or Local Funded, for additional information and a sample bidding proposal, notice to bidders, and contract forms. Refer to Funding Agreements for other project specific requirements such as Targeted Small Business (TSB) checklists that may need to be included in the contract documents.

Construction Administration

Except for RISE and projects let locally, the main files are required to be kept in Doc Express and shall be named according to the established naming convention; refer to [Attachment F to I.M. 6.000](#), Doc Express Instructions for Local Public Agencies.

The LPA shall invite the Administering Bureau to Preconstruction Meetings. When the LPA is the Contracting Authority, the LPA shall be responsible for contract administration, construction inspection, and materials inspections, including everything referenced in the Funding Agreement. The Contracting Authority shall follow all materials sampling and testing requirements, and materials certifications, according to [Materials I.M. 204](#). Materials inspection services by the Iowa DOT will be provided only when specifically requested in writing by the LPA. The LPA will be billed for these services, where appropriate. Refer to [Materials I.M.s 101](#) and [103](#) for more details concerning which Materials services are provided or not provided.

For projects on the FM System, project payments are made to contractors using the Contractor Pay System (CPS). The County authorizes payment to the Contractor by completing a voucher, which is sometimes referred to as a "309 Voucher" or "FM Voucher", or by generating a voucher in the FieldManager or Appia software. The Finance Bureau works directly with the Local Systems Bureau to process the payments after paperwork is received from the County for a 309 Voucher or electronic submittal of FieldManager or Appia vouchers. If a project has Federal-aid, the Finance Bureau requests reimbursement from FHWA, and the reimbursement is transferred into the FM account from which the project payment was made. For other types of State funds (TSIP, State Bridge, U-STEP, C-STEP, RISE, etc.), the LPA will need to request a reimbursement of these funds by submitting a Claim Reimbursement Form to the Administering Bureau.

For projects not on the FM System, all paperwork for the preparation of reimbursement vouchers such as consultant invoices, contractors pay estimates, etc. shall be submitted by the LPA and/or consultant to the Administering Bureau. The Administering Bureau will process all reimbursement vouchers, after the LPA submits the Claim Reimbursement Form ([Form 517050](#)) or Claim for Reimbursement of Federal Project Costs ([Form 240007](#)).

The Administering Bureau approves Change Orders.

Final Acceptance and Form Distribution

The Administering Bureau will monitor construction, materials activities, and documentation. The LPA's Engineer will certify that the work was completed in substantial compliance with the plans and specifications including incorporated materials.

For projects that do not use FM funds, projects will be accepted by Certificate of Completion and Final Acceptance for Agreement Work ([Form 640003](#)). The Administering Bureau performs a cursory review of submitted eligible costs for the work accomplished, prepares reimbursement vouchers, and sends the final reimbursement request to the Finance Bureau. The Civil Rights Bureau requires the checklist and certification form on the utilization of Targeted Small Business (TSB).

For projects using State-aid in conjunction with FM funds, see Category 4 below.

CATEGORY 4

Category 4 projects are Federal-aid Swap, State-aid, or Farm-to-Market projects on county roads, city streets, or bridges (except for those which involve any work on the primary highway through traffic lanes or turn lanes that will be owned and maintained by the Iowa DOT; for those projects, see Category 3 above). Locally funded projects not required to be let at the Iowa DOT fall under this category if the county or city elects to let the project at the Iowa DOT.

For RISE and State Recreational Trails projects, work with the Systems Planning Bureau (Administering Bureau) for procedures. For all other Category 4 projects, where the Local Systems Bureau is the Administering Bureau, follow the below procedures.

Project Funding Programs

- Swap (BROS-SWAP, BHOS-SWAP, BRM-SWAP, BHM-SWAP, BRS-SWAP, BHS-SWAP, STBG-SWAP, HSIP-SWAP, ICAAP-SWAP)
- Farm-to-Market (FM)
- RISE (RC, RCX, RM, RMX, RFM, RFMX)
- Traffic Safety Improvement Program (TSIP) (FM-TSF, L-TSF, CS-TSF)
- State Bridge (SBRC, SBRM, SBRFM)
- State Recreational Trails (RT)
- Curb Ramp Program (ADA)
- Locally funded county projects let at the Iowa DOT (L, LFM). Note: Local (L) county projects that are let locally have no Iowa DOT involvement in any aspect of the project development or construction.

Programming Projects and Activating Projects in TPMS Development

County Secondary Road Department projects: The county enters all construction projects in the CFYP in TPMS. All Swap projects except County HBP Swap must be included in the RPA or MPO TIP; the county shall request the RPA or MPO include Swap projects in the TIP. All TIP approved projects transfer from the TIP and get submitted to the Iowa DOT for inclusion in the STIP. County HBP Swap projects bypass the RPA or MPO TIP approval process, and are automatically included in the STIP. Once the project is included in the CFYP or STIP, the project can be activated in TPMS Development. STBG Swap amendments need to be approved by the RPA or MPO to change funding amounts or to adjust project scope.

City projects and all other projects not in a CFYP: All Swap projects must be included in the RPA or MPO TIP. The city shall request the RPA or MPO include the project in the TIP and provide the necessary project information. The RPA or MPO will enter the project in TPMS and the TIP; the TIP gets approved and submitted to the Iowa DOT for inclusion in the STIP. Once the project is included in the STIP, the project can be activated in TPMS Development. Projects shall be programmed in the year in which they will be let. STBG Swap amendments need to be approved by the RPA or MPO to change funding amounts or adjust project scope. The city shall follow local policies for whether non-Swap projects need to be programmed in a Capital Improvement Program (CIP).

Projects being let at the Iowa DOT shall be activated in TPMS Development.

Project Development Information

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

Counties are required to use the design criteria set forth in [I.M. 3.210](#), Rural Design Guidelines, as approved by the Iowa County Engineers Association, unless it is for a resurfacing, restoration or rehabilitation project, in which case [I.M. 3.220](#), 3R Guidelines, shall be used. For urban roadways, refer to the Iowa Statewide Urban Design and Specifications ([SUDAS](#)), [Chapter 5](#) or the Iowa DOT [Design Manual, Chapter 1C-1](#), unless it is for a resurfacing, restoration or rehabilitation project, in which case [I.M. 3.220](#), 3R Guidelines, shall be used.

Design exceptions may be warranted; refer to [I.M. 3.260](#), Design Exception Process, for additional information. It is strongly recommended the design exception process be used for projects funded with Federal-aid Swap, State-aid, FM, or local funds, but submittal to and approval by the Iowa DOT is not required. It is strongly recommended that the design criteria and any design exceptions be documented in the LPA project file.

For bicycle facility projects, designs should meet or exceed the minimum recommended values provided in Chapter 12A and 12B of the [Iowa DOT Design Manual](#). New construction or alterations to pedestrian facilities shall be designed to meet the requirements of the Americans with Disabilities Act (ADA). Refer to [I.M. 1.080](#), ADA Requirements, for the applicable design guidelines.

All right-of-way activities must comply with Federal and State laws, regardless of the funding source used for right-of-way activities; refer to [I.M. 3.600](#), Right-of-Way Acquisition, for additional information. However, NEPA Clearances are not required for these projects, since they are non-Federal-aid.

For projects that use either Swap or FM funds, use of the Iowa DOT Standard Specifications for Highway and Bridge Construction, including any applicable Supplemental Specifications or Developmental Specifications, is required. Occasionally, county or city Special Provisions or conditions may be approved. For projects not using Swap or FM funds, an LPA may use its own specifications, as long as the project is not being let at the Iowa DOT (refer to Contract Letting section below).

Submittals to Iowa DOT

[I.M. 3.010](#), Project Development Submittal Dates and Information, contains the submittal dates for projects let through the Iowa DOT. The following submittals are required, as part of the project development and plan review process:

- Funding Agreements will be sent to the LPA, by the Administering Bureau. Funding Agreements are required for all Category 4 projects, except projects funded with only FM or Local funds.
- Check Plans - refer to [I.M. 3.700](#), Check and Final Plans, for additional information.
- Final Plans - refer to [I.M. 3.700](#), Check and Final Plans, for additional information.
- Project Development Certification - refer to [I.M. 3.710](#), Project Development Certification, for additional information. This is only required for projects let at the Iowa DOT.
- Additional items, as necessary.

The above items are reviewed and accepted by the Administering Bureau, and other Bureaus as appropriate. The Administering Bureau will not provide review of the proposed design values, unless specifically requested by the LPA. The Administering Bureau reviews plans for thoroughness, feasibility, and practicability; the review should determine if there is enough information to be biddable, if the plans and specifications are clear or detailed enough to be constructed, and whether the project is in substantial compliance with the project Funding Agreement description or meets the needs of the users.

Contract Letting

Iowa DOT Letting Required: Projects with Swap and FM funds must be let at the Iowa DOT and follow the same check and final plan requirements as Federal-aid projects. Refer to [I.M. 5.030](#), Iowa DOT Letting Process, for additional information, including guidance on accepting or rejecting bids.

Optional Local Letting: Projects not utilizing Swap or FM funds may be let locally. If the LPA chooses to conduct a local letting, projects shall be let according to the applicable Iowa Code requirements. Refer to [I.M. 5.100](#), Local Letting Process - State or Local Funded, for additional information and sample bidding proposal, notice to bidders, and contract forms. FM Funded granular surfacing projects or emergency projects may be let locally with Iowa DOT approval; for more information, refer to [I.M. 2.100](#), Farm-to-Market Program.

Optional Iowa DOT Letting: The LPA may let non-Swap and non-FM funded projects through the Iowa DOT but must follow the Contracts and Specifications Bureau letting process shown in [I.M. 5.030](#). Use of the Iowa DOT Standard Specifications for Highway and Bridge Construction, including any applicable Supplemental Specifications or Developmental Specifications, is required.

Construction Administration

For projects where Local Systems Bureau is the Administering Bureau, the main files are to be kept in Doc Express (except for those locally let); refer to [Attachment F to I.M. 6.000](#), Doc Express Instructions for Local Public Agencies. Files in Doc Express shall be named according to the established naming convention.

Preconstruction Meetings require the Administering Bureau be invited; they will attend if available. District Materials staff do not need to be invited. The LPA, who is the Contracting Authority, is responsible for contract administration, construction inspection, and documentation, including everything referenced in the Funding Agreement. The Contracting Authority shall follow all materials sampling and testing requirements, and materials certifications, according to [Materials I.M. 204](#). Materials inspection services by the Iowa DOT will be provided only when specifically requested in writing by the LPA. The LPA will be billed for these services. Refer to [Materials I.M.s 101](#) and [103](#) for more details concerning which Materials services are provided or not provided.

Change Orders for Swap projects require approval from the Administering Bureau. Change Orders on State-aid projects are reviewed but not signed by the Administering Bureau. Change Orders for stand-alone FM funded projects do not require review or signature by the Administering Bureau.

For projects on the FM System, project payments are made to contractors using the Contractor Pay System (CPS). The County authorizes payment to the Contractor by completing a voucher, which is sometimes referred to as a "309 Voucher" or "FM Voucher", or by generating a voucher in the FieldManager or Appia software. The Finance Bureau works directly with the Local Systems Bureau to process the payments after paperwork is received from the County for a 309 Voucher or electronic submittal of FieldManager or Appia vouchers. If a project has Federal-aid, the Finance Bureau requests reimbursement from FHWA, and the reimbursement is transferred into the FM account from which the project payment was made. If a project has Swap funds, the Finance Bureau transfers a Swap reimbursement into the FM account from which the project payment was made. For other types of State funds (TSIP, State Bridge, U-STEP, C-STEP, RISE, etc.), the LPA will need to request a reimbursement of these funds by submitting a Claim Reimbursement Form to the Administering Bureau.

For projects not on the FM System, all paperwork for the preparation of reimbursement vouchers such as consultant invoices, contractors pay estimates, etc. shall be submitted by the LPA and/or consultant to the Administering Bureau. The Administering Bureau will process all reimbursement vouchers, after the LPA submits the Claim Reimbursement Form ([Form 517050](#)).

Final Acceptance and Form Distribution

Refer to [I.M. 6.110](#), Final Review, Audit, and Close-out Procedures for Federal-aid, Federal-aid Swap, and Farm-to-Market Projects for detailed instructions on final acceptance and form distribution. When the project is let at the DOT, the project engineer will certify on the Statement of Completion and Final Acceptance of Work ([Form 830435](#)) that the work was completed in substantial compliance with the plans and specifications. In other cases, particularly for locally let projects, the LPA's Engineer will certify on the Certificate of Completion and Final Acceptance of Agreement Work ([Form 640003](#)).

The Administering Bureau may periodically check on construction activities on State-aid projects if in the area. The Administering Bureau, at its discretion, may audit any construction contract let through the Iowa DOT. Federal-aid Swap projects will be reviewed at a minimum rate of one project every three years, per LPA, or more frequently if deemed necessary by the Administering Bureau. If an LPA has a new Engineer that will be providing project certification, the first Iowa DOT let project administered by the new Engineer will be selected for review by the Administering Bureau.