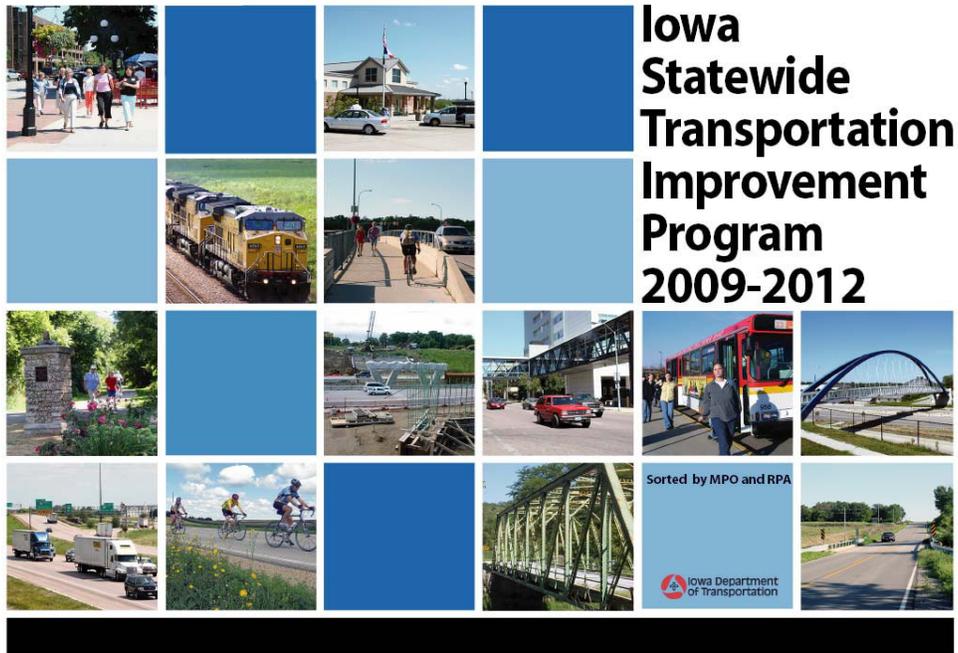


# Guidelines for Development of the Iowa Statewide Transportation Improvement Program (STIP)



January 2009

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## STIP Development Timeline

Target Date	Task
October 1	Applications for statewide Transportation Enhancement, National Recreational Trails, Safe Routes to School, and Iowa Clean Air Attainment Program funding for following fiscal year due at Iowa DOT
January	Projected funding targets to MPO/RPA for STP (including transportation enhancements)/bridge replacement programs/transit for following fiscal year
December	Consolidated transit funding application materials posted on <a href="http://www.iatransit.com">www.iatransit.com</a>
February 1	Draft PTDP's to Systems Planning
January/February	Award of statewide Transportation Enhancement, Iowa Clean Air Attainment Program, National Recreational Trails, and Safe Routes to School funding
April 1	Final PTDP's to Systems Planning
May 1	Consolidated Transit Funding Application to Office of Public Transit
May	Proposed primary road, safety and county sponsored programs provided by Iowa DOT to MPO/RPA to assist in development of MPO/RPA TIP
June 15	Submission of draft MPO/RPA TIP to Program Management
July 15	MPOs/RPAs submit final-approved TIPs to Iowa DOT
July	Statewide distribution and public participation review of draft STIP
August	Prepare final STIP with adjustments based on public review
August	Submit proposed STIP and MPO TIPs to FHWA/FTA
October 1	Receive FHWA/FTA approval of final STIP
December 1	Adjust spending authority to reflect federal authorizations
Quarterly	Summary of STP/Transportation Enhancement target activity to MPO/RPA

## Introduction

### Purpose

This document has been prepared to assist development of the Iowa Statewide Transportation Improvement Program (STIP). Any questions regarding content or relating to the process should be directed to the appropriate District Planner. A list of District Planners for the Iowa Department of Transportation, and their areas of responsibility, is included in Appendix 1. Transit related questions should be directed to the Office of Public Transit, 800 Lincoln Way, Ames, Iowa, 50010, 515-233-7870.

The Safe, Accountable, Flexible, and Efficient Transportation Equity Act: A Legacy for Users SAFETEA-LU continues the requirement for an extensive, ongoing cooperative planning effort for programming federal funding identified in previous acts. Iowa's STIP is developed annually through a cooperative effort with nine metropolitan planning organizations (MPOs) and 18 regional planning affiliations (RPAs) (Appendix 1). The STIP is developed by incorporating into a single document the portions of the annual transportation improvement programs (TIPs) being funded by the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) within Iowa. The STIP is a four-year listing of projects for which federal-aid funding under Title 23 (Federal Highway Funding) and Title 49 (Federal Transit Assistance) of the United States Code is proposed.

All projects included in the STIP must be consistent with the Iowa statewide, MPO and RPA long-range transportation plans. Consistency means that a project flows out of a project identification, evaluation and prioritization process that has been developed to implement a strategy or objective of these plans.

The Iowa DOT requests the joint approval of the STIP by the FHWA and the FTA annually. **No FHWA or FTA funded projects will be authorized until the project is included in the first year of the STIP and has been approved by the FHWA/FTA.** The STIP must be fiscally constrained, meaning programmed amounts of federal aid must fall within limits set by the FHWA/FTA (generally related to past or estimated apportionments).

### Public Participation Process

SAFETEA-LU requires states and MPOs to develop a proactive public participation process in developing long-range transportation plans and transportation improvement programs. The state and each MPO and RPA have developed processes to involve the public in formulation of transportation improvement programs and long-range transportation plans. A variety of techniques are being used at the state, metropolitan and regional levels. They include: newsletters; surveys; letters and comment forms; county, regional and state public meetings, including use of Iowa's fiber optic network; advisory committees, and web sites. Experience and suggestions from the public will help the state and MPOs/RPAs improve opportunities for and encourage public participation. The Iowa DOT has a published report entitled "State Public Participation Process" to describe methods to involve Iowa citizens in review of the STIP.

## **Federal Programs-Descriptions**

### **Federal-Aid Highway Funding (Title 23)**

Some FHWA funds are distributed by statutory formulas, while other funds are “discretionary.” The primary sources of FHWA formula funding to Iowa are for:

- Metropolitan Planning Program (PL). FHWA provides funding for this program to the state based on urbanized area population. The funds are dedicated to support transportation planning projects in urbanized areas with more than 50,000 population.
- National Highway System (NHS). NHS or Surface Transportation Program (STP) funds may be used to construct or improve NHS roadways.
- Interstate Maintenance (IM). This program is available to rehabilitate, restore and resurface the interstate system, but not to add capacity. Capacity additions to the interstate system can only be funded from NHS or STP funding.
- Surface Transportation Program (STP). This program is designed to address some specific issues identified by Congress and to continue programs funded under the previous highway bill. STP funding may be spent on 1) roadway and bridge projects on federal-aid routes, 2) transportation enhancement projects, 3) transit capital improvements, and 4) planning activities.
- Highway Bridge Replacement and Rehabilitation Program (HBRRP). This program provides funding for bridges on public roads. Fifteen percent of the HBRRP funding must be spent on bridges off the federal-aid system. Eighty-Five percent is to be used to fund bridge projects on or off the federal-aid system.
- Highway Safety Improvement Program (HSIP). This is now a core federal aid program which funds projects with the goal of achieving a significant reduction in traffic fatalities and serious injuries on public roads. A portion of these funds are set aside for use on high-risk rural roads.

### **Grant Programs**

In addition to the distribution of Federal-aid formula funds the Iowa DOT administers several grant programs through application processes. They include the following:

- Statewide Transportation Enhancements- Transportation Enhancement projects are intended to go beyond the normal mitigation of a transportation improvement project. Statewide Enhancement funds are made available through application process for projects of statewide significance. Statewide Enhancement projects are categorized by Trail and Bicycle Facility, Historic and Archeological, and Scenic and Environmental projects. Project applications are due Oct. 1 of each year.

- National Recreational Trails- This program provides federal funding for both motorized and non-motorized trail projects. Applications are due Oct. 1 of each year.
- Safe Routes to School- This federal program funds projects that increase safety and promote walking and bicycling to school. Infrastructure and non-infrastructure projects are eligible for funding through a competitive process. Applications are due Oct. 1 of each year.
- Iowa Clean Air Attainment Program- The ICAAP program funds projects which are intended to maximize emission reductions through traffic flow improvements, reduced vehicle miles of travel and reduced single occupancy vehicle (SOV) trips. Applications are due Oct. 1 of each year.
- City Bridges-A portion of federal HBP funds are set aside for the funding of bridge projects within cities. Eligible projects need to be classified as structurally deficient or functionally obsolete. Projects are rated and prioritized based on four criteria in this application process. Applications are due Oct. 1 of each year.

### **Federal Transit Assistance (Title 49)**

A portion of federal fuel tax revenue is placed in the Mass Transit Account of the Federal Highway Trust Fund. These funds, and General Fund appropriations, are reserved for transit purposes and are administered by the FTA. Similar to the FHWA programs, the transit funding authorized by SAFETEA-LU is managed in several ways. The largest amount is distributed to the states or to large metropolitan areas by formula. Other program funds are discretionary and some are earmarked for specific projects.

- Metropolitan Planning Program (Section 5303). FTA provides funding for this program to the state based on urbanized area population. The funds are dedicated to support transportation planning projects in urbanized areas with more than 50,000 population.
- Statewide Transportation Planning Program (Section 5304). These funds come to the state based on population and are used to support transportation planning projects in non-urbanized areas. They are combined with the Section 5311 funds set aside for planning and allocated among Iowa's RPAs.
- Urbanized Area Formula Program (Section 5307). FTA provides transit operating, planning and capital assistance funds directly to local recipients in urbanized areas with populations between 50,000 and 200,000, based on population and density figures, plus transit performance factors for larger areas. Local recipients, for whom projects are programmed by the MPO, must apply directly to FTA.
- Capital Investment Program (Section 5309). The transit discretionary program provides federal assistance for major capital needs such as fleet replacement and construction of transit facilities. All transit systems in the state are eligible for this program. In recent years, all of these funds have been earmarked by Congress for specific projects or geographic regions.

- Special Needs Program (Section 5310). Funding is provided through this program to increase the mobility for the elderly and persons with disabilities. Part of the funding is administered along with the Non-Urbanized funding. Another part is allocated among urbanized transit systems.
- Non-Urbanized Area Formula Program (Section 5311). This program provides capital and operating assistance for rural and small urban transit systems. 15 percent of these funds are allocated to Intercity Bus projects. A portion of the funding is also allocated to support rural transit planning. The remaining funds are combined with the rural portion (30%) of 5310 funds and allocated among regional and small urban transit systems based on their relative performance in the prior year.
- Rural Transit Assistance Program (RTAP – Section 5311(b)(3)). This funding is also used for statewide training events and to support transit training fellowships for regional and small urban transit staff or planners.
- Job Access Reverse Commute Program (Section 5316). This program provides funding for transportation services in urban, suburban and rural areas to assist welfare recipients and low income individuals access to employment opportunities and support services. By law, there is a separate allocation to each urbanized area over 200K. The state receives a single allocation for all of the smaller urbanized areas, and a second one for non-urbanized areas. A competitive project selection process must be conducted for each of these allocations.
- New Freedoms (Section 5317). This program supports services and facility improvements to address the transportation needs of persons with disabilities that are new since the signing of SAFETEA-LU and that go beyond what is required by the Americans with Disabilities Act. By law, there is a separate allocation to each urbanized area over 200K. The state receives a single allocation for all of the smaller urbanized areas, and a second one for non-urbanized areas. A competitive project selection process must be conducted for each of these allocations.
- Flexible funds. Certain Title 23 funds may be used for transit purposes. Transit capital assistance is an eligible use of STP funds. Transit capital and start-up operating assistance is an eligible use of Iowa Clean Air Attainment Program (ICAAP) funds. When ICAAP and STP funds are programmed for transit projects, they are transferred to the FTA. ICAAP funds programmed for transit are applied for and administered by the Office of Public Transit. STP funds for small urban and regional transit systems are also administered by the Office of Public Transit.
- State Transit Assistance (STA). All Public Transit Systems are eligible for funding. These funds can be used by the public transit system for operating, capital or planning expenses related to the provision of open-to-the-public passenger transportation. Most of the STA funds are allocated among Iowa's transit systems based on a formula which recognizes each system's relative performance in the prior year.

- STA Special Projects. Each year up to \$300,000, of the total STA funds are set aside to fund “special projects.” These can include grants to individual systems to support transit services which are developed in conjunction with human service agencies, or statewide projects to improve public transit in Iowa through such means as technical training for transit system or planning agency personnel, statewide marketing campaigns, etc.
- STA Coordination Special Projects. Funds provide assistance with start-up of new services that have been identified as needs by health, employment or human service agencies participating in the Passenger Transportation Development Planning process.
- Public Transit Infrastructure Grants. This is a state program that can fund transit facility projects that involve new construction, reconstruction or remodeling, but must include a vertical component to qualify.

## **FHWA and FTA Funding Targets to MPO/RPA**

### **FHWA Funding**

The Office of Program Management provides each MPO/RPA the estimated annual and four-year STP targets for programming of eligible projects. Fifty percent of the state’s 10 percent STP apportionment for transportation enhancement projects is also targeted to the MPOs and RPAs for programming. Actual targets will be revised or adjusted as approved through discussions with cities, counties, MPOs and RPAs, after passage of subsequent federal transportation acts.

Secondary bridge candidate projects are chosen by the counties and incorporated into the TIP by the RPA. MPOs/RPAs should include programmed county bridge funds when submitted by the respective county representatives, and the total federal bridge funds programmed should not exceed the approximate amount available to the counties within the MPO/RPA. Nearly all federal-aid bridge projects will be funded at 80 percent federal participation.

City bridge funds are specifically awarded through a selection process administered by the Office of Local Systems and also included in the MPO/RPA TIP. In those cases, a limitation of \$1,000,000 of federal aid is in effect.

PL fund allocations to Iowa MPOs are announced in January with a report of carryover funds available for use in the following state fiscal year.

Each MPO/RPA is to develop a four-year (at least) TIP with each year and each funding category fiscally constrained. The MPO/RPA must program within the STP (including transportation enhancements) and HBRRP targets plus any unobligated balances to submit a fiscally-constrained TIP. STP projects included in the TIP must be consistent or flow from the respective MPO and RPA long-range transportation plans.

## **FTA and State Transit Funding**

In December of each year, transit funding projections are distributed to the MPOs/RPAs and transit systems. If federal appropriations have been enacted prior to that time, the Iowa DOT will provide actual first-year figures for distributing federal formula assistance (5310 and 5311 funds) for each regional and small urban transit system for the state fiscal year beginning the following July 1. These same amounts may be used as an estimate of second, third, and fourth year suballocations. Actual formula fund allocations for individual transit systems in future years will be subject to change based on the level of future federal appropriations, as well as on each transit system's relative performance on a yearly basis.

Projections or "marks" are also provided to the MPO/RPAs and transit systems for New Freedom Program (5317) funds. The "marks" indicate the amount each transit system may reasonably expect to receive for eligible projects, if all of their peers propose eligible projects. Systems are not, however, limited to those amounts, as many systems typically do not propose projects.

Projected allocations for the coming fiscal year will also be provided to MPOs/RPAs and transit operators for State Transit Assistance (STA) in December. These amounts can serve as the basis for local estimates of future year STA allocations. Actual STA formula amounts are subject to changes in the amount of motor vehicle use tax collected and for future years each transit system's relative performance on the statistical measures used to allocate the funds.

Allocations of FTA planning funds to MPOs (under Section 5303) and to RPAs (under Section 5311 or 5304) will be announced in December.

## **Information Submitted by Iowa DOT to MPO/RPA to Assist in Development of Local TIP**

In February, of each year the Office of Program Management will provide each MPO/RPA with the following information to assist in development of their TIP:

- A listing of Commission-approved statewide Transportation Enhancement, Safe Routes to School (SRTS), Iowa Clean Air Attainment Program (ICAAP), National Recreational Trails and City Bridge program projects, selected at the state level, to be included in the MPO/RPA TIP.
- A listing of Federal Lands Program projects, as appropriate.

In May of each year, the Iowa DOT will provide through TPMS the proposed Primary road projects from the State's Transportation Improvement Program (Five Year Program).

As an example, in preparation for the development of the FY 2010 to FY 2013 TIPs and STIP, and as prescribed by the schedule proposed within these guidelines, the Iowa DOT will, during February 2009, provide a thorough TPMS list of all "local" projects identified in the FY 2009 to FY 2012 STIP (including amendments) for obligation during 2010-2012. In April the counties will finalize their "County Five Year Programs," which will include all county sponsored projects which are proposed to use federal-aid. These projects will be

submitted for inclusion in the RPA/MPO TIPs through TPMS. Also, the Iowa DOT projects for the 2010-2013 period will be provided in May. This will allow the planning agency an opportunity to review proposed primary/interstate projects and other activities in their area prior to completion of an approved TIP. The expectation is that planning agencies will update information concerning 2010 through 2012 local projects if items such as description, total cost or federal participation have changed since completion of the previous STIP. In addition, the planning agency will add, delete or alter projects, as targets allow, for the new four-year program. The above information is included in TPMS and instructions for development of TIPs is included in Appendix 10.

The Office of Public Transit will also provide transit capital programming guidance (Appendix 3) concerning expected costs of transit vehicles and equipment, and the level of federal participation allowed for each. These amounts will be ceilings for candidates for statewide capital funds and are recommended for items funded from transit formula or STP allocations. These figures will be updated each year. Current projections should be inflated by 4.0 percent per year for use in the second, third and fourth years. Standard equipment descriptions provided in this document should be used in each local TIP (Appendix 3). The material submitted for inclusion in the STIP must be consistent with these descriptions.

**FHWA and the Iowa DOT has adopted “standard” formats for submittal of the program data to the FTA (Appendices 5 and 6). The listings provided to MPOs and RPAs will be submitted using this standard format. The standard STIP format is the format in which all FHWA/FTA project information MUST be submitted to the Iowa DOT for incorporation into the STIP.**

The format used for the MPO and RPA TIPs published by the planning agency may be different from the listing required for Iowa DOT use, although not recommended. **The TIP must contain information for roadway projects identifying the county or city where the work will be accomplished, route identification, project termini/location, project length, work description, FHWA structure numbers and funding sources. Projects which do not include the required project information will not be included in the STIP.** To the extent practical, work descriptions should parallel those used for the Highway Section of the Iowa DOT’s TIP (Appendix 6). Similar information is required for transportation enhancement projects, with the route being replaced by the subject of the improvement (for example a trail, building, or project name), and the length being replaced by the applicable quantitative measure.

All information included in the standard STIP format is required by the federal agencies, either as part of the STIP or for other filings required prior to authorization of funding. Therefore, all information other than the project number is required in order for the project to be included in the STIP. Project numbers are also desired if one has been assigned. In some cases, such as bridges, transportation enhancements or ICAAP projects, no numbers may be available at the time the information is sent to the MPO/RPA. This is especially true for local projects.

## Submission of TIP Data to Iowa DOT by MPO/RPA

A list of all federal-aid and State Transit Assistance projects in the approved MPO/RPA TIP should be submitted to Program Management and the District Transportation Planner by **July 15**. **The list should be presented in the standard STIP format provided by the Iowa DOT.** The list should include the program of proposed expenditures for all MPO/RPA STP (including transportation enhancements) SAFETEA-LU earmarks and bridge funds utilizing targets provided by the Iowa DOT, as well as transit/FTA project proposals within projected apportionments, and candidates for discretionary capital transit funds and transit projects funding from STA. The final TIPs should also identify all federally-funded primary road projects, IM, NHS, State STP, statewide transportation enhancement projects, ICAAP projects, bridge replacement/rehabilitation projects, safety, SRTS, NRT, or other FHWA/FTA program projects identified by the Iowa DOT.

All FHWA and FTA-funded projects programmed by the Iowa DOT are required to be in the STIP as a condition for federal-aid eligibility. The Iowa DOT asks that these projects be included in the Draft TIP provided by the MPO/RPA, or that the omission be explained. This is used to confirm MPO/RPA concurrence with the proposed state-sponsored projects. Projects will not be eligible for federal funding if they are not identified in both the STIP and the respective MPO TIP. TIP inclusion is also required for all transit projects seeking funding with STA.

Although the federal government does not require planning projects be listed in the MPO/RPA TIPs, it is important to show all planning projects to allow for public review of the use of these funds, since some of the funds used for planning could be used for other purposes. Planning activities may be aggregated by funding source.

At a minimum, the TIP should identify projects for the upcoming four federal fiscal years. MPO or RPA TIPs are also required to provide a status report for current projects. TIPs must be fiscally constrained within each year, which means programming within the amount defined as the sum of the current fiscal year's target, plus amounts unobligated from previous targets.

Projects should be selected by the MPO/RPA as determined by their respective procedures. The state's long-range transportation plan may also help the MPO/RPA determine future priorities. The District Planner may identify appropriate proposed projects on the primary road system, and the district may request STP funding support from the MPO/RPA's STP targets. These proposed projects may not be in the listings described previously. An opportunity to modify the project schedule may still exist if funding and administrative support from local jurisdictions can be secured.

Local projects must be subject to the local public participation process and be consistent with the MPO/RPA long-range transportation plan. Each MPO/RPA should determine that the recommended projects are eligible for federal-aid and can be obligated within the year specified.

## TIP Information Required

Minimum information for transit projects shall include the grantee's name, the project description (for rolling stock capital items use standard descriptions in Appendix 3); the assistance category (operations support, capital improvement or planning); the type of capital purchase (replacement, rehabilitation, remanufacture or expansion); and the total cost and anticipated federal participation, both in whole dollars, plus identification of the federal program from which the federal funding will come. To the extent possible, projects with multiple funding sources should be shown as a separate line item for each funding source. **ICAAP and STP funded projects should be shown in both the highway and transit element.** Each project in the annual element must also show any proposed funding from State Transit Assistance. Vehicles being proposed for replacement must include property numbers in order to use the public transit management system as planning justification for the project. Like vehicle types should be grouped together as one line item for each program year. Planning carryover should be noted as a separate line item.

In addition, the following items are required for capital improvement projects. A feasibility study for the construction of a new transit facility or maintenance facility must accompany the TIP submittal for projects programmed in the first year of the STIP/TIP. No facility project will be accepted without a feasibility study. Planning justification is required for all projects except like kind rollingstock replacement and rehabilitation projects which can rely on the PTMS factors for their justification. Projects replacing a vehicle with a vehicle that differs substantially from the one being replaced must justify the need for such a change. "Useful life" is an appropriate guide to evaluate when an item needs to be replaced; however, it does not solely indicate the "need" to be replaced. More specific information is required. Expansion vehicle justification must include spare ratio information prior to and after delivery of the programmed vehicle, along with justification as to why the existing fleet can not meet the needs of the system.

Federal law requires that all federal-aid projects in MPO TIPs match those in the STIP. All projects must be in both. To the extent practical, the information describing the projects should also be identical. Appendix 7–8 lists the required and suggested information for MPO and RPAs TIPs. Projects should be reviewed by the MPO/RPA for federal-aid eligibility, and to ensure they can be obligated within the year specified before the TIPs are submitted to the Iowa DOT.

Revenue and cost estimates for projects included in the TIP and STIP must use an inflation rate to reflect "year of expenditure" (YOE) dollars. The inflation rate used must be based on reasonable financial principles and information. If there is information available to determine a local inflation rate it may be used. If better information is not available then an inflation rate of 4% per year can be used.

Financial constraint of the TIP and STIP shall be demonstrated by year and shall include sufficient financial information to determine if adequate funding is available to support the implementation of the proposed list of projects. Available funding should include STP, TE and HBP funding targets and any carryover funds that are available.

Financial information for transportation operations and maintenance shall also be included in the TIP and STIP. The information required includes estimates of costs and revenue sources that are reasonably expected to be available to adequately operate and maintain Federal-aid highways. Operations and maintenance costs can be shown as a line item. Operations and maintenance costs by Federal Functional Classification cannot be determined with available information, therefore these costs will be determined by comparing total system mileage with Federal-aid mileage and applying the percentage to total costs. Revenues do not need to be stratified by system class and can be shown as a lump sum line item by RPA/MPO. Operations and maintenance costs need to reflect inflation costs (YOE). Also, revenues need to reflect any anticipated growth in funding sources.

Federal regulations require documentation in addition to the project list prior to approval of the MPO TIPs and the STIP. All MPO TIPs must be accompanied by 1) a resolution of adoption by the planning organization, 2) self-certification of the MPO planning process, 3) certification of the financial capacity analysis, 4) planning justification for transit capital projects, 5) financial capacity analysis for transit programs, and 6) a summary compiling total costs and federal aid by funding program showing the program to be fiscally constrained. Text should address project selection procedures, the public participation process, fiscal constraint of the program, and public comments received. These items should all be included or attached by reference within the TIP document.

All subrecipients of federal funding must have Cost Allocation Plans on file.

All MPO TIPs require gubernatorial approval(s) prior to submittal to the FHWA/FTA. The Iowa DOT is the agency designated to grant these approvals on behalf of the Iowa governor. **Distribution by the DOT requires that the Office of Program Management receive at least 8 copies of the final MPO TIPs.**

### **Consolidated Transit Funding Application**

During December the Office of Public Transit will post the consolidated transit funding application material on the office website at [www.iatransit.com](http://www.iatransit.com). By May 1, each MPO/RPA shall submit a consolidated transit funding application to the Office of Public Transit on behalf of each public transit system within its planning jurisdiction. The application shall cover all projects to be funded from STA formula, plus formula federal assistance allocated to small urban or regional transit systems, and any capital project which is to be considered as a candidate for statewide federal capital funding. All transit applications will consist of:

- An authorizing resolution by the transit system's policy board requesting STA funding.
- A signed copy of FTA's annual certifications published each fall in the Federal Register (large urban systems may submit a copy of original sent to FTA).
- Documentation of public hearings on all project elements included in the application. Documentation shall consist of an affidavit of hearing notice publication and hearing

transcript. This meeting can be held in conjunction with other meetings, as long as the required documentation is produced.

- Planning justification for all capital projects other than vehicle replacement or rehabilitation projects relying on the Public Transit Management System (PTMS). A project justification form must be completed for each project competing for statewide section 5309 funding, unless the project will be relying solely on the PTMS criteria.
- Feasibility study documentation for all facility projects listed in the first year.
- Documentation of all information required for probable categorical exclusions for any facility project programmed in the first year.
- ADA Analysis & Certification, if applying for non-ADA rollingstock.
- A copy of the Transit Section from MPO/RPA TIP.
- A listing of surface transportation providers (listing union affiliations if applicable) operating in the project area.
- A “Labor Protection Agreement” certifying compliance with applicable labor regulations.

Separate applications for the Public Transit Infrastructure Grant program and for the small urbanized and non-urbanized portions of the JARC and New Freedom programs are also due May 1. The amounts authorized in the application resolution for each funding source should agree with the STIP figures being submitted. Standard formats will be supplied by the Iowa DOT for all items except the public hearing documentation.

### **Preparation of Draft STIP by Iowa DOT**

Between June 15 and July 15, the Office of Program Management and the Office of Public Transit will combine the MPO/RPA and state TIPs into a draft STIP. The TIPs will be reviewed for completeness of information, for clarity of project descriptions, consistency with standard descriptions, and for fiscal constraint. The Office of Program Management and the Office of Public Transit will determine if the cumulative program is fiscally constrained. If not, both offices will determine if Iowa DOT projects can be rescheduled or otherwise adjusted to achieve a balance.

### **Public Participation Review of STIP**

The SAFETEA-LU requires broad public involvement in the development of the STIP. Successful development of the STIP is dependent on accomplishment of statewide public participation during development of the state, MPO and RPA TIPs. Public participation efforts for the highway and transit programs on state and local systems are accomplished by the DOT and the 27 MPOs and RPAs. Coordination of public review through the planning agencies ensures broad opportunities for public review by informed participants.

In the case of state-sponsored projects, significant statewide public participation is encouraged and facilitated during the development of the Iowa Transportation Improvement Program. State-sponsored projects determined to be candidates for federal funding are included in the STIP to ensure compliance with that federal requirement. No state-participating primary road projects can be included in the STIP unless they have been approved by the Transportation Commission in the Iowa Transportation Improvement Program. The Iowa Transportation Improvement Program is also reviewed as a component of the 27 MPO and RPA TIPs.

MPOs and RPAs also have designated procedures for project selection and public input, all accomplished prior to including projects in the STIP. Each MPO and RPA has both technical committees and policy boards that participate in selection of projects within their geographic area. They also review all projects identified in the STIP.

Following is a summary of public involvement procedures for the STIP:

1. Use public announcements and broad distribution.

The STIP is compiled from 27 MPO and RPA TIPs during June and July of each year. All TIPs are subject to project selection guidelines adopted by the respective programming agencies. The draft STIP is distributed in July to District Planners, MPOs and RPAs.

An announcement is published in regional newspapers informing the public the draft STIP is available for review at the DOT's district offices, MPO/RPA offices, and the Iowa DOT web site. The announcement invites public comment. Copies are provided to interested parties upon request. In addition, Iowa DOT prepares a news release notifying media outlets of the availability of the Draft STIP. The DOT requests that the STIP be reviewed by all MPO and RPA technical committees and policy boards, and invites their comments.

2. Receive public comments.

The minimum comment period for the proposed STIP is 14 days from the date of the public notice. Written comments by letter or fax are encouraged. The announcement also indicates when and where a statewide public meeting may be held to accept direct comments, if requests for such a meeting are submitted. The comment period will close no later than September 1.

3. Publish notices and receive comments on amendments.

Amendments to the STIP are required when a project is proposed to be included in the federal aid program, but has not been the subject of specific public review. Materials are available for review at the applicable district offices and MPO/RPA offices. All 27 MPOs and RPAs are notified of proposed amendment(s) and their comments are invited. The minimum comment period for proposed amendment(s) is 14 days from the date of the public notice.

## **Approval of Final STIP**

After statewide public review of the draft STIP has been accomplished and comments concerning the draft STIP have been addressed, which may require some minor action or adjustments; the STIP will be submitted to the FHWA and FTA. Final MPO TIPs and the STIP will be concurrently submitted to the FHWA and FTA as approved by the Iowa DOT. (Drafts will be provided to the FHWA and FTA as they are submitted to the Iowa DOT to facilitate federal review). In addition to the compilation of federal-aid projects, the STIP will include reference to the Iowa DOT's authority to represent the state in the related activities, narratives concerning Iowa DOT public involvement and fiscal constraint efforts, and certification of statewide planning efforts. See STIP checklist in Appendix 9. The target date for submittal to the FHWA/FTA is September 1, which is 30 days prior to the beginning of the federal fiscal year. The STIP and MPO TIP's must match and all required supporting information must be included before submittal.

If the federal agencies find all documents submitted in conformance with federal requirements, the Iowa DOT will be notified of the joint approval of the STIP by FHWA and FTA. If some additional material is required or some part of the filing does not conform with federal requirements, the FHWA and/or FTA will notify the Iowa DOT of the deficiencies and of the status of the proposed STIP until the requirements are met. The goal is to accomplish unconditional approval of the STIP by the federal agencies prior to the beginning of the federal fiscal year on October 1 so authorization of federal-aid for projects can be requested from FHWA or FTA anytime thereafter. Paper copies of the STIP will be provided to the MPOs, RPAs and the public.

## **Revising/Amending an Approved STIP**

### **Revising the TIP and STIP**

Revisions are defined as changes to a TIP or STIP that occur between scheduled periodic updates. There are two types of changes that occur under the umbrella of revision. The first is a major revision or "Amendment". The second is a minor revision or "Administrative Modification". We request that each MPO or RPA adopt these definitions and thresholds at a minimum when determining an amendment vs. an administrative modification.

### **Amendment**

An amendment is a revision to a TIP that involves a major change to a project included in the TIP/STIP. This includes an addition or deletion of a project or a major change in project cost, project/project phase initiation dates, or a major change in design concept or scope (e.g. changing project termini or the number of through lanes). Changes to projects that are included only for illustrative purposes do not require an amendment. An amendment is a revision that requires public review and comment, redemonstration of fiscal constraint, or a conformity determination (for metropolitan TIPs involving "non-exempt" projects in nonattainment and maintenance areas). Changes that affect fiscal constraint must take place by amendment of the TIP.

## **Administrative Modification**

A minor revision to a TIP or STIP is an administrative modification. It includes minor changes/project phase costs, minor changes to funding sources of previously-included projects, and minor changes to project/project phase initiation dates. An administrative modification is a revision that does not require public review and comment, redemonstration of fiscal constraint, or a conformity determination (in nonattainment and maintenance areas).

## **Amendment vs. Administrative Modification**

There are four main components that can be used to determine whether a project change constitutes an amendment or an administrative modification. They include the following:

**Project costs**-Determination will be made based on the percentage change or dollar amount of change in federal aid. Projects in which the federal aid has been changed by more than 30% or total federal aid increases by \$2.0 million or more will require an amendment. Anything less can be processed with an administrative modification.

**Schedule changes**-Changes in schedules to projects which are included in the first four years of the TIP/STIP will be considered administrative modifications. Projects which are added or deleted from the TIP/STIP will be processed as amendments.

**Funding sources**-Additional federal funding sources to a project will require an amendment. Changes to funding from one source to another will require an administrative modification.

**Scope changes**-Changing project termini or changing the amount of through traffic lanes will be processed as an amendment. Other examples of changes that require amendment are changing the type of work from an overlay to reconstruction. Another example is changing a project to include widening of the roadway.

## **Procedural Requirements for Revisions**

Amendments are considered major revisions and therefore have more procedural requirements. The main requirement is that there is an opportunity for public input. The second is technical and policy board approval of the amendment. Public involvement for amendments will occur at the local level for all RPA and MPO amendments.

Statewide public review for Iowa DOT project amendments takes place at the time of inclusion in the Iowa DOT's Transportation Improvement Program. Iowa DOT sponsored projects within an MPO must go through the MPO's adopted amendment process, which includes public review and approval by the appropriate boards and committees.

Administrative modifications have simplified procedures which allow more flexibility in the processing of changes. Each RPA and MPO is allowed to process their changes by seeking board approval or the planning agency may make minor changes if the process is documented and approved by the appropriate technical and policy boards.

Finally, each type of revision needs to be processed in TPMS and the date of approval by the RPA or MPO needs to be included in the revision submittal.

### **Documenting Revision Procedures**

Each RPA and MPO must document their procedures for processing amendments and administrative modifications. These should be included in each agency's public participation documents and could also be included in the TIPs.

Documentation should include the definitions of amendment and administrative modification. It should also include detailed procedures on how each type of revision is processed. For example, notification procedures, posting procedures, comment periods, staff/board actions etc. The Iowa DOT will not require that each RPA or MPO follow the same procedures for public involvement or administrative processes.

### **FHWA Funding Transferred to FTA**

Surface Transportation Program (STP) funds that are designated for transit investments are required to be transferred from FHWA to FTA for administration. These projects must be programmed in both the Highway and Transit sections of the TIP/STIP in the federal fiscal year they are to be transferred. The transfer process is initiated with a letter from the RPA/MPO to the Office of Program Management and a copy to the Office of Public Transit requesting the funds be transferred. This letter should include the amount to be transferred and vehicle numbers when applicable. The Office of Program Management will then review the request and submit it to FHWA for processing.

Surface Transportation Funds used for planning efforts requires projects be included in the Transportation Planning Work Program (TPWP), and TIP/STIP. Funds will be transferred to a Consolidated Planning Grant by request of the Office of Systems Planning.

Finally, transit projects receiving awards through the Iowa Clean Air Attainment Program (ICAAP) also require a transfer of funds. The process for these types of transfers is the same as transferring STP funds for transit investments, except that no letter from the MPO/RPA requesting transfer is required.

### **Adjustment of STP Targets Due to Changes in Obligation Limits From the U.S. DOT**

The MPO/RPA may be required to adjust the amount of federal participation for its area to address the annual obligation limits set by the federal government. Reductions in federal participation for projects will not require an amendment to the STIP. Rather, adjustments to address reduced federal-aid participation will generally be considered administrative modifications. Any changes required due to obligation limitations are normally known by December 1 for the current federal fiscal year (October 1 to September 30). The MPO/RPA will be notified in writing of any target changes.

After notification of the annual spending (obligation) authority available, the Office of Program Management will use the following process to make adjustments:

- Spending authority equals 100 percent of apportionment - no adjustments needed.
- Spending authority slightly less than apportionment - adjustment will be accomplished within the state TIP to balance the program.
- Spending authority much less than apportionment - adjustments in the TIPs for the RPAs, MPOs and state may be required to balance the program.
- Spending limit slightly higher than apportionment - the state TIP will be adjusted to balance the program.
- Spending authority much higher than apportionment - the TIPs for RPAs, MPOs and the state may be adjusted to increase the program.

### **Summary of Fund Balances for MPOs/RPAs**

The Office of Program Management will maintain a record of the MPO and RPA STP and transportation enhancement target balances that identify the amount of federal-aid authorized and amounts remaining available. Unless the STIP specifies a percentage participation rate, authorized STP amounts for local projects will be the amounts shown in the STIP or the appropriate federal-aid participation rate of the eligible project cost, whichever is less. Similar target balances for HBP funds will be maintained by the Office of Local Systems. The percentage participation for bridge projects will generally be 80 percent of eligible project costs. Unobligated FHWA target funds should be added to the following year's target.

The Office of Program Management will report quarterly to each MPO/RPA and the District Planners, listing obligations authorized during the quarter for STP projects and local transportation enhancement projects and calculating account balances for each. Bridge program balances will be maintained by the Office of Local Systems.

## Appendix 1

Agency	MPO Information		DOT Representatives (District Transportation Planners)
	Address/Phone/Fax	Contact(s)	
Ames MPO	Ames Area Metropolitan Planning Organization 515 Clark Avenue PO Box 811 Ames, IA 50010 515-239-5165 fax: 515-239-5142	John Joiner, Public Works Director MPO Director <a href="mailto:JJoiner@city.ames.ia.us">JJoiner@city.ames.ia.us</a>	Mike Clayton 1020 S. Fourth Street Ames, IA 50010 515-239-1202 fax: 515-239-1472 <a href="mailto:mike.clayton@dot.iowa.gov">mike.clayton@dot.iowa.gov</a>
Cedar Rapids MPO	Corridor Metropolitan Planning Organization Sixth Floor City Hall 50 Second Avenue Bridge Cedar Rapids, IA 52401 319-286-5041 fax: 319-286-5141	Adam Lindenlaub, Long-Range Planning Coordinator <a href="mailto:A.Lindenlaub@cedar-rapids.org">A.Lindenlaub@cedar-rapids.org</a>	Catherine Cutler 430 16th Avenue, SW P.O. Box 3150 Cedar Rapids, IA 52406-3150 319-364-0235 fax: 319-364-9614 <a href="mailto:catherine.cutler@dot.iowa.gov">catherine.cutler@dot.iowa.gov</a>
Council Bluffs MPO & RPA 18	Metropolitan Area Planning Agency 2222 Cumming Street Omaha, NE 68102 402-444-6866 fax: 402-342-0949	Paul Mullen, Executive Director (Ext. 214) <a href="mailto:paul_mullen@mapacog.org">paul_mullen@mapacog.org</a>  Greg Youell, Transportation & Data Manager (Ext. 220) <a href="mailto:gyouell@mapacog.org">gyouell@mapacog.org</a>  Bill Christian, Transportation Planner (Ext. 219) <a href="mailto:wchristian@mapacog.org">wchristian@mapacog.org</a>	Scott Suhr P.O. Box 406 Atlantic, IA 50022 712-243-7627 fax: 712-243-6788 <a href="mailto:scott.suhr@dot.iowa.gov">scott.suhr@dot.iowa.gov</a>
Davenport MPO & RPA 9	Bi-State Regional Commission 1504 Third Avenue P.O. Box 3368 Rock Island, IL 61204-3368 309-793-6300 or 309-793-6302 fax: 309-793-6305	Denise Bulat, Executive Director (Ext. 140) <a href="mailto:dbulat@bistateonline.org">dbulat@bistateonline.org</a>  Gena McCullough, Transportation Director (Ext. 146) <a href="mailto:gmccullough@bistateonline.org">gmccullough@bistateonline.org</a>	Sam Shea 8723 Northwest Blvd. P.O. Box 2646 Davenport, IA 52809 563-823-4377 fax: 563-388-9266 <a href="mailto:sam.shea@dot.iowa.gov">sam.shea@dot.iowa.gov</a>
Des Moines MPO	Des Moines Area Metropolitan Planning Organization 6200 Aurora Avenue, Suite 300W Urbandale, IA 50322-2866 515-334-0075 fax: 515-334-0098	Tom Kane, Executive Director <a href="mailto:tkane@dmampo.org">tkane@dmampo.org</a>	Lorne Wazny 1020 S. Fourth Street Ames, IA 50010 515-239-1996 fax: 515-239-1472 <a href="mailto:lorne.wazny@dot.iowa.gov">lorne.wazny@dot.iowa.gov</a>
Dubuque MPO & RPA 8	East Central Intergovernmental Association 7600 Commerce Park Dubuque, IA 52002 563-556-4166 fax: 563-556-0348	Kelley Deutmeyer, Executive Director <a href="mailto:kdeutmeyer@ecia.org">kdeutmeyer@ecia.org</a>  Chandra Ravada, Transportation Planner (Senior) <a href="mailto:CRavada@ecia.org">CRavada@ecia.org</a>	Sam Shea 8723 Northwest Blvd. P.O. Box 2646 Davenport, IA 52809 563-823-4377 fax: 563-388-9266 <a href="mailto:sam.shea@dot.iowa.gov">sam.shea@dot.iowa.gov</a>
Iowa City MPO	Johnson County Council of Governments 410 East Washington Street Iowa City, IA 52240 319.356.5230 fax: 319-356-5009	John Yapp, Executive Director (319) 356-5252 <a href="mailto:John-Yapp@iowa-city.org">John-Yapp@iowa-city.org</a>  Kent Ralston, Assistant Transportation Planner <a href="mailto:Kent-Ralston@iowa-city.org">Kent-Ralston@iowa-city.org</a>  Kris Ackerson, Assistant Transportation Planner <a href="mailto:Kristopher-Ackerson@iowa-city.org">Kristopher-Ackerson@iowa-city.org</a>	Catherine Cutler 430 16 <sup>th</sup> Avenue, S.W. P.O. Box 3150 Cedar Rapids, IA 52406-3150 319-364-0235 fax: 319-364-9614 <a href="mailto:catherine.cutler@dot.iowa.gov">catherine.cutler@dot.iowa.gov</a>

<b>Sioux City MPO &amp; RPA 4</b>	<b>Siouxland Interstate Metropolitan Planning Council</b> 1122 Pierce Street P.O Box 1077 Sioux City Iowa 51102 <b>712-279-6286</b> <b>fax: 712-279-6920</b>	<b>Jane Gilbert, Executive Co-Director</b> <a href="mailto:Jgilbert@simpco.org">Jgilbert@simpco.org</a>  <b>Dwight Lang, Executive Co-Director</b> <a href="mailto:Dwight@simpco.org">Dwight@simpco.org</a>  <b>Michelle Bostinelos, Transportation Director</b> <a href="mailto:Mbostinelos@simpco.org">Mbostinelos@simpco.org</a>	<b>Dakin Schultz</b> P.O. Box 987 Sioux City, IA 51102-0987 712-274-5837 fax: 712-276-2822 <a href="mailto:dakin.schultz@dot.iowa.gov">dakin.schultz@dot.iowa.gov</a>
<b>Waterloo MPO &amp; RPA 7</b>	<b>Iowa Northland Regional Council of Governments</b> 229 E. Park Ave. Waterloo, IA 50703 <b>319-235-0311</b> <b>fax: 319-235-2891</b>	<b>Sharon Juon, Executive Director</b> <a href="mailto:sjuon@inrcog.org">sjuon@inrcog.org</a>  <b>Kevin Blanshan, Transportation Director</b> <a href="mailto:kblanshan@inrcog.org">kblanshan@inrcog.org</a>	<b>Krista Rostad</b> 1420 Fourth St. SE P.O.Box 741 Mason City, IA 50402 641-422-9447 Fax: 641-423-0246 <a href="mailto:krista.rostad@dot.iowa.gov">krista.rostad@dot.iowa.gov</a>

Agency	RPA Information		DOT Representatives District Transportation Planners
	Address/Phone/Fax	Contact(s)	
RPA 1	Upper Explorerland Regional Planning Commission 134 West Greene P.O. Box 219 Postville, IA 52162-0219 563-864-7551 fax: 563-864-7535	Tom Masey, Executive Director <a href="mailto:tmasey@uerpc.org">tmasey@uerpc.org</a>	Krista Rostad 1420 Fourth St. SE P.O.Box 741 Mason City, IA 50402 641-422-9447 Fax: 641-423-0246 <a href="mailto:krista.rostad@dot.iowa.gov">krista.rostad@dot.iowa.gov</a>
RPA 2	North Iowa Area Council of Governments 525 6 <sup>th</sup> St SW Mason City, IA 50401-5058 641-423-0491 fax: 641-423-1637	Joe Myhre, Executive Director <a href="mailto:jmyhre@niacog.org">jmyhre@niacog.org</a>  Chris Diggins, Transportation Local Assistance Director <a href="mailto:cdiggins@niacog.org">cdiggins@niacog.org</a>	Krista Rostad 1420 Fourth Street, SE P.O. Box 741 Mason City, IA 50402 641-422-9447 fax: 641-423-0246 <a href="mailto:krista.rostad@dot.iowa.gov">krista.rostad@dot.iowa.gov</a>
RPA 3	Northwest Iowa Planning & Development Commission 217 West Fifth P.O. Box 1493 Spencer, IA 51301 712-262-7225 fax: 712-262-7665	Ted Kourousis, Executive Director (Ext. 142) <a href="mailto:Ted.Kourousis@nwipdc.org">Ted.Kourousis@nwipdc.org</a>	Dakin Schultz P.O. Box 987 Sioux City, IA 51102-0987 712-274-5837 fax: 712-276-2822 <a href="mailto:dakin.schultz@dot.iowa.gov">dakin.schultz@dot.iowa.gov</a>
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RPA 5	MIDAS Council of Governments 602 1st Avenue South Fort Dodge, IA 50501-4604 515-576-7183 fax: 515-576-7184	Cliff Weldon, Executive Director <a href="mailto:cweldon-midas@prairieinet.net">cweldon-midas@prairieinet.net</a>  Shirley Helgevold, Local Assistance Manager (Ext. 212) <a href="mailto:shelgevold-midas@prairieinet.net">shelgevold-midas@prairieinet.net</a>	Mike Clayton 1020 S. Fourth Street Ames, IA 50010 515-239-1202 fax: 515-239-1472 <a href="mailto:mike.clayton@dot.iowa.gov">mike.clayton@dot.iowa.gov</a>
RPA 6	Region Six Planning Commission 905 East Main Street, Suite A Marshalltown, IA 50158-4911 641-752-0717 fax: 641-752-9857	Marty Wymore, Executive Director <a href="mailto:mwymore@region6planning.org">mwymore@region6planning.org</a>  Donna Sampson, Planner <a href="mailto:dsampson@region6planning.org">dsampson@region6planning.org</a>	Mike Clayton 1020 S. Fourth Street Ames, IA 50010 515-239-1202 fax: 515-239-1472 <a href="mailto:mike.clayton@dot.iowa.gov">mike.clayton@dot.iowa.gov</a>
RPA 7 and Waterloo MPO	Iowa Northland Regional Transportation Authority 229 E. Park Ave. Waterloo, IA 50703 319-235-0311 fax: 319-235-2891	Sharon Juon, Executive Director <a href="mailto:sjuon@inrcog.org">sjuon@inrcog.org</a>  Kevin Blanshan, Transportation Director <a href="mailto:kblanshan@inrcog.org">kblanshan@inrcog.org</a>	Krista Rostad 1420 Fourth St. SE P.O.Box 741 Mason City, IA 50402 641-422-9447 Fax: 641-423-0246 <a href="mailto:krista.rostad@dot.iowa.gov">krista.rostad@dot.iowa.gov</a>

RPA 8 and Dubuque MPO	East Central Intergovernmental Association 7600 Commerce Park Dubuque, IA 52002 563-556-4166 fax: 563-556-0348	Kelley Deutmeyer, Executive Director <a href="mailto:kdeutmeyer@ecia.org">kdeutmeyer@ecia.org</a>  Chandra Ravada, Transportation Planner-Senior (Ext. 30) <a href="mailto:CRavada@ecia.org">CRavada@ecia.org</a>	Sam Shea 8723 Northwest Blvd. P.O. Box 2646 Davenport, IA 52809 563-823-4377 fax: 563-388-9266 <a href="mailto:sam.shea@dot.iowa.gov">sam.shea@dot.iowa.gov</a>
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RPA 11	Central Iowa Regional Transportation Planning Alliance 6200 Aurora Avenue, Suite 300W Urbandale, IA 50322-2866 515-334-0075 fax: 515-334-0098	Tom Kane, Program Coordinator <a href="mailto:tjkane@dmampo.org">tjkane@dmampo.org</a>	Mike Clayton 1020 S. Fourth Street Ames, IA 50010 515-239-1202 fax: 515-239-1472 <a href="mailto:mike.clayton@dot.iowa.gov">mike.clayton@dot.iowa.gov</a>
RPA 12	Region XII Council of Governments 1009 East Anthony P.O. Box 768 Carroll, IA 51401 712-792-9914 fax: 712-792-1751	Rick Hunsaker, Executive Director <a href="mailto:rhunsaker@region12cog.org">rhunsaker@region12cog.org</a>  Chris Whitaker, Transportation Planner (Ext. 23) <a href="mailto:cwhitaker@region12cog.org">cwhitaker@region12cog.org</a>	Mike Clayton 1020 S. Fourth Street Ames, IA 50010 515-239-1202 fax: 515-239-1472 <a href="mailto:mike.clayton@dot.iowa.gov">mike.clayton@dot.iowa.gov</a>
RPA 13	Southwest Iowa Planning Council 1501 Southwest 7th Street Atlantic, IA 50022 712-243-4196 fax: 712-243-3458	MJ Broomfield, Executive Director <a href="mailto:mj.broomfield@swipco.org">mj.broomfield@swipco.org</a>  Jeremy Middents, Transportation Planner <a href="mailto:jeremy.middents@swipco.org">jeremy.middents@swipco.org</a>	Scott Suhr P.O. Box 406 Atlantic, IA 50022 712-243-7627 fax: 712-243-6788 <a href="mailto:scott.suhr@dot.iowa.gov">scott.suhr@dot.iowa.gov</a>
RPA 14	ATURA Transportation Planning Affiliation Southern Iowa Council of Governments 101 East Montgomery Street P.O. Box 102 Creston, IA 50801-0102 641-782-8491 Fax: 641-782-8492	Timothy Ostroski, Executive Director – Ext. 25 <a href="mailto:ostroski@sicog.com">ostroski@sicog.com</a>  Becky Nardy, Transportation Planner – Ext. 26 <a href="mailto:nardy@sicog.com">nardy@sicog.com</a>	Scott Suhr P.O. Box 406 Atlantic, IA 50022 712-243-7627 fax: 712-243-6788 <a href="mailto:scott.suhr@dot.iowa.gov">scott.suhr@dot.iowa.gov</a>

RPA 15	<p>Area 15 Regional Planning Commission Video Conferencing Training Center 651 Indian Hills Drive, Building 17 P.O. Box 1110 Ottumwa, IA 52501 641-684-6551 fax: 641-684-4894</p>	<p>Ellen Foudree, Executive Director <a href="mailto:efoudree@indianhills.edu">efoudree@indianhills.edu</a></p> <p>Chris Bowers, Transportation Director <a href="mailto:cbowers@indianhills.edu">cbowers@indianhills.edu</a></p> <p>Chris Kukla, Transportation Planner <a href="mailto:ckukla@indianhills.edu">ckukla@indianhills.edu</a></p>	<p>Andy Loonan 307 W Briggs PO Box 587 Fairfield, IA 52556-0578 641-472-4171 fax: 641-472-3622 <a href="mailto:andy.loonan@dot.iowa.gov">andy.loonan@dot.iowa.gov</a></p>
RPA 16	<p>Southeast Iowa Regional Planning Commission 200 Front Street Suite 400 Burlington, IA 52601-5303 319-753-5107 fax: 319-754-4763</p>	<p>Brian Tapp, Executive Director (Ext. 204) <a href="mailto:btapp@seirpc.com">btapp@seirpc.com</a></p> <p>Mike Norris, Assistant Director (Ext. 210) <a href="mailto:mnorris@seirpc.com">mnorris@seirpc.com</a></p> <p>Zach James, Transportation Planner (Ext. 213) <a href="mailto:zjames@seirpc.com">zjames@seirpc.com</a></p>	<p>Andy Loonan 307 W Briggs PO Box 587 Fairfield, IA 52556-0578 641-472-4171 fax: 641-472-3622 <a href="mailto:andy.loonan@dot.iowa.gov">andy.loonan@dot.iowa.gov</a></p>
RPA 17	<p>Chariton Valley Planning &amp; Development 205 ½ N. 13<sup>th</sup> Street Suite A Centerville, IA 52544 641-437-4359 fax: 641-437-1406</p>	<p>Tracy Daugherty-Miller, Executive Director <a href="mailto:tmiller@charitonvalleyplanning.com">tmiller@charitonvalleyplanning.com</a></p> <p>John Dawson, Community Development Planner <a href="mailto:jdawson@charitonvalleyplanning.com">jdawson@charitonvalleyplanning.com</a></p>	<p>Andy Loonan 307 W Briggs PO Box 587 Fairfield, IA 52556-0578 641-472-4171 fax: 641-472-3622 <a href="mailto:andy.loonan@dot.iowa.gov">andy.loonan@dot.iowa.gov</a></p>
RPA 18 and Council Bluffs MPO	<p>MAPA Rural Transportation Planning Affiliation 2222 Cuming Street Omaha, NE 68102 402-444-6866 fax: 402-342-0949</p>	<p>Paul Mullen, Executive Director <a href="mailto:paul_mullen@mapacog.org">paul_mullen@mapacog.org</a></p> <p>Bill Christian, Transportation Planner <a href="mailto:wchristian@mapacog.org">wchristian@mapacog.org</a></p>	<p>Scott Suhr P.O. Box 406 Atlantic, IA 50022 712-243-7627 fax: 712-243-6788 <a href="mailto:scott.suhr@dot.iowa.gov">scott.suhr@dot.iowa.gov</a></p>

## Appendix 2

### Applications for Iowa DOT Grant Program Funds

#### Iowa Clean Air Attainment Program

The Iowa Clean Air Attainment Program (ICAAP) is a statewide competitive application program. The program was created in response to (ISTEA), which established a Congestion Mitigation and Air Quality Improvement program. Since Iowa already meets the National Ambient Air Quality Standards, the ICAAP is designed to assist the state in maintaining its current status.

Project sponsors (state, county, city, etc.) submit applications to their respective MPO/RPA for consideration. The MPO/RPA will submit project applications consistent with its long-range transportation plan to the appropriate (Iowa DOT) District Planner by October 1 each year, to be considered for federal funding during the following federal fiscal year. The District Planner will evaluate the applications for completeness. Incomplete applications will be returned to the sponsor. The remaining will be forwarded to the Office of Systems Planning for distribution to the ICAAP project evaluation committee.

The ICAAP project evaluation committee consists of one representative selected from each of the following: Iowa DOT, Iowa Department of Natural Resources (DNR), Iowa Public Transit Association (IPTA), MPOs, and RPAs. The ICAAP project evaluation committee will evaluate and rank projects. The office of Systems Planning will submit projects recommended for funding to the Iowa Transportation Commission for approval. Transportation Commission approved ICAAP projects will be placed in the appropriate MPO/RPA TIPS and STIP. Opportunities for public input will be available the same as for all STIP entries.

The Iowa Clean Air Attainment Program pamphlet (which outlines the program) and application forms can be obtained from the District Planners or the Office of Systems Planning web site at [HTTP://www.sysplan.dot.state.ia.us/icaap.htm](http://www.sysplan.dot.state.ia.us/icaap.htm).

#### Statewide Transportation Enhancement Program

The purpose of the Transportation Enhancement Program is to fund projects or programs related to transportation that will enhance the environmental, scenic, or cultural quality of a site or an area. With respect to any project or the area to be served by the project, the term "transportation enhancement activities" means: provision of facilities for pedestrians and bicycles, safety and educational activities; acquisition of scenic easements and scenic or historic sites; scenic or historic highway programs, including tourist and welcome centers; landscaping and other scenic beautification; historic preservation; rehabilitation and operation of historic transportation buildings, structures, or facilities including historic

railroad facilities and canals; preservation of abandoned railway corridors (including the conversion and use thereof) for pedestrian or bicycle trails; control and removal of outdoor advertising; archaeological planning and research; mitigation of water pollution due to highway runoff, including projects that reduce vehicle-caused wildlife mortality while maintaining habitat connectivity; and/or establishment of transportation museums.

Fifty percent of the Iowa apportionment for STP transportation enhancement funds will be programmed through a statewide competitive application process. (The remaining 50 percent has been “distributed” among the MPOs and RPAs to address similar proposals of a more local nature). Statewide transportation enhancement project sponsors will submit applications to the Office of Systems Planning by October 1 each year to be considered for federal funding during the following federal fiscal year. This means funding for an application submitted by October 1 and subsequently awarded will generally not be available for development until the following October 1. The project sponsor should provide a courtesy copy of the application to the MPO/RPA. The Office of Systems Planning then distributes to the appropriate statewide transportation enhancement project advisory committee.

Three statewide transportation enhancement project advisory committees (Trails and Bicycle Facilities, Historical and Archaeological, and Scenic and Natural Resources) will evaluate and rank projects. The committees consist of representatives selected from the Iowa DOT, DNR, Department of Economic Development, Department of Cultural Affairs, Iowa Trails Council, other related public agencies, and citizens. The office of Systems Planning will submit a listing of projects recommended for funding to the Iowa Transportation Commission for approval. Transportation Commission approved statewide transportation enhancement projects must be included in the appropriate MPO/RPA TIPs and the STIP. Public participation will be accomplished in the same manner as for all STIP entries.

The statewide transportation enhancement program pamphlet (which outlines the program) and application forms are available from the District Planners or the Office of Systems Planning Web site at [http://www.sysplan.dot.state.ia.us/trans\\_enhance.htm](http://www.sysplan.dot.state.ia.us/trans_enhance.htm)

### **Federal Recreational Trails Program**

The Federal Recreational Trails Program is a program of the U.S. Department of Transportation’s Federal Highway Administration (FHWA) and provides funding for both motorized and nonmotorized trail projects.

The Federal Recreational Trails Program funding represents a portion of the revenue received by the Federal Highway Trust Fund from the federal motor fuel excise tax paid by users of off-road recreational vehicles, such as snowmobiles, off-road motorcycles, all-terrain vehicles, and off-road light trucks.

Funding Distribution - State Level - Each state administers its own program and establishes its own procedures to solicit and select trail projects for funding. Iowa has chosen to have applications for funding assistance postmarked by October 1.

States may use up to 7 percent of their funds for administrative costs, including trail planning and providing trail-related safety and up to 5 percent of their funds for education. The remaining funds are for projects from the following categories:

- Maintaining existing trails, including grooming trails across snow.
- Restoring damaged trails or areas damaged by trail-related use.
- Providing trail access for people with disabilities.
- Developing trailside or trailhead facilities.
- Purchasing or leasing equipment for trail construction, maintenance, or grooming.
- Acquiring easements or property for trails.
- Constructing new trails.

States may provide grants to city and county governments, and other government entities, including federal agencies and special government districts.

Project sizes vary by state. Iowa has established a minimum \$5,000 grant amount. Iowa does not have a maximum allowable grant amount. The maximum federal share for each project is 80 percent. The remaining amount must come from state, local or private funding sources. Other select federal funding sources may be used as matching funds. In-kind materials and services may be permitted toward the project match.

Requests for assistance or information should be addressed to the Iowa Department of Transportation, Office of Systems Planning, 800 Lincoln Way, Ames, Iowa 50010, telephone 515-239-1664.

### **Safe Routes to School Program**

The Iowa Safe Routes to School (SRTS) program resulted from enactment of the federal transportation bill --- the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU). The purpose of SRTS is to enable and encourage children, including those with disabilities, to walk and bicycle to school; make walking and bicycling to school safe and more appealing; and facilitate the planning, development and implementation of projects that will improve safety, and reduce traffic, fuel consumption, and air pollution in the vicinity of schools.

There are two funding categories for SRTS — infrastructure and noninfrastructure. Some of the eligible infrastructure projects include sidewalk improvements; traffic calming and speed reduction improvements; pedestrian and bicycle crossing improvements; planning, design and construction of projects that will improve the ability of students to walk and bicycle to school; on-street bicycle facilities; off-street bicycle and pedestrian facilities; and traffic diversion improvements within two miles of the school. Some of the eligible noninfrastructure activities include public awareness campaigns and educational materials; development of SRTS plans or studies; traffic education and enforcement in the vicinity of a school; student sessions on bicycle and pedestrian safety, health and environment; or training, including SRTS training workshops that target school and community audiences.

SRTS funding is provided through a statewide competitive process. No local funding match is required for SRTS projects. Projects eligible for SRTS funding must be within two miles of an elementary and/or middle school (kindergarten through eighth grade). Eligible applicants for infrastructure projects include local and state governments. Eligible applicants for noninfrastructure projects include cities, counties, schools (both public and private), and nonprofit organizations. All projects are required to address the 5 Es: engineering, education, encouragement, enforcement and evaluation.

The SRTS project evaluation committee consists of representatives selected from the Iowa Department of Public Health, Iowa Department of Education, Governor's Traffic Safety Bureau, Metropolitan Planning Organizations, Regional Planning Affiliations, and Iowa DOT. The Office of Systems Planning will submit a listing of projects recommended for funding to the Iowa Transportation Commission for approval. Transportation Commission approved SRTS projects must be included in the appropriate MPO/RPA TIPs and the STIP.

More information about the Iowa Safe Routes to School program is available at: [www.iowadot.gov/saferoutes](http://www.iowadot.gov/saferoutes).

## FY 2010 Programming Guidance for Transit Vehicles

Vehicle Type	Standard Description	Typical Capacities (Seats/WC's)	Ceiling* for Federal Participation	Federal Replacement Threshold
Minivan	Minivan	3/1, 1/2	83% of \$ 42,000	4 yr./100,000 mi.
Non-ADA Standard Minivan	Non-ADA Standard Minivan	6	80% of \$ 29,000	4 yr./100,000 mi.
Conversion Van #	Conversion Van	8/1, 4/2	83% of \$ 44,000	4 yr./100,000 mi.
Non-ADA Standard Van #	Non-ADA Standard Van	14	80% of \$ 30,000	4 yr./100,000 mi.
Light Duty Bus (138" wb)	138" LD bus	8/1, 4/2	83% of \$ 66,000	4 yr./100,000 mi.
Non-ADA LD bus (138" wb)	Non-ADA 138" LD bus	13	80% of \$ 55,000	4 yr./100,000 mi.
Light Duty Bus (158" wb)	158" LD bus	13/1, 6/2	83% of \$ 68,000	4 yr./100,000 mi.
Non-ADA LD bus (158" wb)	Non-ADA 158" LD bus	17-21	80% of \$ 57,000	4 yr./100,000 mi.
Light Duty Bus (176" wb)	176" LD bus	14/2, 10/3	83% of \$ 73,000	4 yr./100,000 mi.
Non-ADA LD bus (176" wb)	Non-ADA 176" LD bus	25	80% of \$ 60,000	4 yr./100,000 mi.
Medium Duty Bus (to 28 ft.)	28' MD bus	12/2, 8/3	83% of \$ 142,000	7 yr./200,000 mi.
Medium Duty Bus (29-32 ft.)	30' MD bus	13/2, 10/3	83% of \$ 147,000	7 yr./200,000 mi.
Medium Duty Bus (33-36 ft.)	35' MD bus	17/2, 14/3	83% of \$ 163,000	7 yr./200,000 mi.
Medium Duty Bus (37-42 ft.)	40' MD bus	21/2, 18/3	83% of \$ 180,000	7 yr./200,000 mi.
Heavy Duty Bus (26-29 ft.)	26' HD bus	18/2, 14/3	83% of \$ 312,000	10 yr./350,000 mi.
Heavy Duty Bus (30-34 ft.)	30' HD bus	26/2, 22/3	83% of \$ 352,000	10 yr./350,000 mi.
Heavy Duty Bus (35-39 ft.)	35' HD bus	34/2, 30/3	83% of \$ 364,000	12 yr./500,000 mi.
Heavy Duty Bus (40-42 ft.)	40' HD bus	42/2, 38/3	83% of \$ 376,000	12 yr./500,000 mi.

**Diesel Engine:** included in ceiling for HD and MD buses; but add \$15,000 to programmed cost for light duty buses. [Be sure to list "diesel" in project description.] Alternate Fuel Engine: add funding required to ceiling shown and justify cost increase separately for CNG, LNG, or other clean air engine/features.

**Urban Fixed-Route Configuration:** included in ceiling for HD buses; but, for purchasing farebox, two way radios, destination signs, passenger signal devices(s), PA system, and standee grab bars add \$5,000 to programmed cost for LD and MD buses. If destination signs are electronic for a MD bus the fixed route configuration may be increased to \$8,000.

**Vehicle Surveillance Systems:** If a vehicle will be equipped with an expansion (not replacement) digital video and audio surveillance system, the program ceiling for that vehicle type should be increased: 1) for van type vehicles that will be equipped with at least two cameras by \$2,500 (\$2,075 fed); 2) for buses that will be equipped with at least four cameras by \$4,000 (\$3,320 fed) and 3) for MD/HD buses that will be equipped with at least six cameras by \$8,000 (\$6,640 fed).

**Body Styling Upgrades:** Each program ceiling shown is for a standard revenue vehicle. You are allowed to program body styling upgrades (e.g. trolley; BRT styling) on a separate line of your TIP. Such upgrades must use local, formula, peerpool, STP or other funds rather than statewide Section 5309 funding.

**Vehicle Rehabilitation (REHAB):** may be programmed for any revenue vehicles at 30% of new cost (i.e. FY2010 Ceiling with 80% federal participation, if vehicle has met minimum FTA replacement (REPL) threshold. (Once rehabbed, a vehicle's replacement threshold will be 50% of the federal replacement threshold for a new vehicle.

\*Ceilings shown reflect that each vehicle programmed must be equipped to meet ADA, unless it is specifically described and justification is provided for the vehicle to be "Non-ADA". Two-way radio purchase/transfer, vehicle inspection and make ready costs, as well as factory visit costs are also eligible expenses under these ceilings.

# Conversion and standard vans with wheelbases of 127" to 148" are not recommended for "like kind" replacement or fleet expansion under Iowa DOT administered grants. NHTSA has issued warnings about the safety of conversion and standard vans. Some insurance carriers have also increased premiums, or may deny coverage, on these types of vehicles. As such, transit systems planning to purchase replacements for such vehicles are permitted/encouraged to program a minivan or a light duty bus instead.

**Price Adjustments for Future Program Years:** program figures for SFY2011 and beyond need to reflect "year of expenditure" dollars. Adjustments to the SFY10 guidance should be made reflecting the impact of inflation and other factors using the PP Index or other relevant information. OPT suggests that pricing increases of 4% per year would seem reasonable for rolling stock based on information staff has received. Projects programmed for statewide funding in SFY10 that are not selected will be increased by 4% and moved to SFY11 by OPT, unless staff is informed that other funding sources have been programmed or other arrangements have been made.

RPA-11

2009 - 2012 Transportation Improvement Program

TPMS Sponsor Appr. Status	Project # Location Funding Program	Length FHWA # Sec:Townshp:Range	Project Funding	Programmed Amounts					PA:Co:SEQ PA ID # STIP ID #
				FY09	FY10	FY11	FY12		
<b>STP - Surface Transportation Program</b>									
<b>Region Wide - 00</b>									
6824 RPA-11 FHWA Approved	RG-PL-PA11(PMS)-ST-00 CIRTPA :PAVEMENT MANAGEMENT SYSTEM Trans Planning DOT Note: 50052	--	Project Total Federal Aid Regional FA	\$25 \$20 20	-- -- --	-- -- --	-- -- --	-- -- --	11:0:176 90636
<b>Boone County - 08</b>									
15329 Boone FHWA Approved	STP-U-0750(620)--70-08 Mamie Eisenhower Corridor Improvements:Greene St to Marshall St Pavement Rehab/Widen, Traffic Signals	0.35 Mi --	Project Total Federal Aid Regional FA	\$1200 \$474 474	-- -- --	-- -- --	-- -- --	-- -- --	11:8:73 90541
<b>Dallas County - 25</b>									
8947 Dallas CRD FHWA Approved	STP-S-C025(68)--5E-25 R-16:1/2 mile north of Puckerbrush Rd to Hwy 6 Pavement Rehab PA Note: Jim George requested the revision of \$880,000 STP to \$1,000,000 and F-M of \$220,000 to \$250,000 on 1/17/2007. Project entry changed 7/20/2007. DISREGARD: REVERT BACK TO \$880,000 AND \$220,000 - 8/01/07	2 Mi -- 4:78:27	Project Total Federal Aid Regional FA	\$1100 \$880 880	-- -- --	-- -- --	-- -- --	-- -- --	11:25:85 90409
8948 Dallas CRD FHWA Approved	STP-S-C025(A-31)--5E-25 P-46:Highway 141 to Greene Co. Pavement Rehab	1 Mi -- 3:81:29	Project Total Federal Aid Regional FA	-- -- --	-- -- --	\$750 \$600 600	-- -- --	-- -- --	11:25:86 --
16935 DOT-D04-RPA11 FHWA Approved	STP-O--2C-25 IA 141:GREENE CO LONG TRACT SITE Wetland Mitigation	0.1 --	Project Total Federal Aid Regional FA	\$300 -- --	-- -- --	-- -- --	-- -- --	-- -- --	11:25:94 --
<b>Jasper County - 50</b>									
6120 Jasper CRD FHWA Approved	STP-S-C0500--5E-50 F-17:State Hwy 224 to E 132nd St N Pavement Rehab	4 Mi -- 24:81:18	Project Total Federal Aid Regional FA	\$880 \$110 110	-- -- --	-- -- --	-- -- --	-- -- --	11:50:74 --
12339 Jasper CRD FHWA Approved	STP-S-C0500--5E-50 T-22:S 68th Ave E to County Road F62 Miscellaneous	2.5 Mi -- 1,12,13,24,25,36:79:18	Project Total Federal Aid Regional FA	\$1875 \$1500 1500	-- -- --	-- -- --	-- -- --	-- -- --	11:50:94 Map-13
14665 Jasper CRD FHWA Approved	STP-S-C0500--5E-50 F 62:Sully ECL to Poweshiek County Line Pavement Rehab	4.5 Mi --	Project Total Federal Aid Regional FA	-- -- --	-- -- --	\$1500 \$1200 1200	-- -- --	-- -- --	11:50:98 --
15338 Jasper CRD FHWA Approved	STP-S-C050(87)--5E-50 T 38:1 80 south approximately 13 miles to The Mahaska County Line Pavement Rehab	13 Mi --	Project Total Federal Aid Regional FA	-- -- --	-- -- --	-- -- --	\$3500 \$2800 2800	-- -- --	11:50:105 --
<b>Madison County - 61</b>									
13191 Madison CRD FHWA Approved	STP-S-C061(G4R)--5E-61 G4R:US 169 to Warren County line Pavement Rehab	18 Mi -- 10:76:27	Project Total Federal Aid Regional FA	\$4000 \$1500 1500	-- -- --	-- -- --	-- -- --	-- -- --	11:61:30 Map-5



## Appendix 6

### STIP & TIP Major Work Descriptions

Grade & Pave	Pavement Markings
Pave	Traffic Signs
Pavement Widening	Corridor Preservation
Pavement Rehabilitation/Widening	Right-of-Way
Pavement Rehabilitation	Buildings
Patching	Rest Area Improvement
Pavement Planing	Weigh Scale Improvement
Bridge Approach Repair	Salvage & Removal
Bridge New	Asbestos Removal
Bridge Replacement	Noise Wall
Bridge Widening	Miscellaneous
Bridge Rehabilitation	Under development
Bridge Deck Overlay	Planning Study
Bridge Removal	Outside Services Planning
Bridge Rail Retrofit	Outside Services Engineering
Bridge Painting	Outside Services ROW
Bridge Washing	Outside Services Bridge Inspection
Culvert New	Outside Services Survey
Culvert Replacement	Transit Investments
Culvert Extension	Transportation Planning
Culvert Repair	Transportation Enhancements
Grade	- Archaeological Planning & Research
Ditch Improvement	- Historic Transportation (Bldgs., Structures, or Facilities)
Slope Improvement	- Operation
Subdrains	- Rehabilitation
Sanitary Sewer	- Historic Preservation
Fencing	- Scenic/Historic Highway Improvements
Rip Rap	- Acquisition or Easement for Scenic/ Historic Site
Shoulder Grading	- Pedestrian/Bicycle Facilities
Granular Shoulders	- Development
Erosion Control	- Right of Way
Landscaping	- Grading
Wetland Mitigation	- Paving
Guardrail	- Grading & Paving
Lighting	- Structure
Railroad Signals	- Miscellaneous
Traffic Signals	

## Appendix 7

### MPO TIP Checklist

All Required for final MPO TIP (a minimum of 8 copies to be submitted to the Office of Program Management)

- Listing of all federal-aid projects proposed for FHWA or FTA funds for four federal fiscal years, plus a status report of all previously authorized significant MPO projects still underway.
- Listing of projects proposed for a previous program period that will not be authorized until the upcoming STIP is in force (rollover projects). “Authorized” means approval of federal-aid participation by the FHWA or grant approved by FTA.
- Summary of total costs and federal aid compiled by funding program by year.
- Resolution or policy action of adoption of the TIP by the MPO.
- Self certification of the MPO planning process.
- Financial capacity analysis for MPO transit programs included in TIP or Consolidated Transit Funding Application.
- Self certification of the MPO financial capacity analysis.
- Planning justification (narrative) for all transit projects include in Consolidated Transit Funding Application.
- Feasibility Study for any transit facility projects programmed in the first year of the TIP included in Consolidated Transit Funding Application.
- Vehicle numbers for all projects to replace, remanufacture or rehabilitate transit rollingstock.
- All transit projects that are not intended to implement aspects of the ADA plan should be specifically identified.
- Discussion about the MPO project selection procedures.
- Discussion reviewing the fiscal constraint of the program.
- Discussion concerning the MPO public participation process and the public comments received.
- Status report of all projects included in previous federal fiscal year

## Appendix 8

### RPA TIP Checklist

Required Items (a minimum of three copies of final TIP should be provided to the Office of Program Management)

- Listing of all federal-aid projects proposed for FHWA or FTA funds for four federal fiscal years.
- Listing of projects proposed for a previous program period that will not be authorized until the upcoming STIP is in force (rollover projects). “Authorized” means approval of federal-aid participation by the FHWA or grant approved by FTA.
- Summary of total costs and federal aid compiled by funding program by year.
- Resolution or policy action of adoption of the TIP by the RPA.
- Planning justification (narrative) for all transit projects included in TIP or Consolidated Transit Funding Application.
- Vehicle numbers for all projects to replace, remanufacture or rehabilitate transit rolling stock.
- All transit projects that are not intended to implement aspects of the ADA plan should be specifically identified.
- Feasibility study for any transit facility project programmed in the first year of the TIP included in Consolidated Transit Funding Application.
- Status report of all projects included in the previous federal fiscal year.
- Discussion about the RPA project selection procedures.
- Discussion concerning the RPA public participation process and the public comments received.
- Discussion reviewing the fiscal constraint of the program.

### Suggested Items

- Self certification of the RPA planning process.
- Financial capacity analysis for RPA transit programs.
- Self certification of the RPA financial capacity analysis.

## Appendix 9

### STIP Checklist

Section 23 CFR 450.218 of the April 1, 2007, statewide planning regulations describes several certifications that the state must make when submitting their proposed STIP, and amendments as necessary, to FHWA and FTA for approval. The state shall certify that their transportation planning process is being carried out in accordance with the following requirements:

1. Title 23 U.S.C. 134 & 135, 49 U.S.C. 5303 and 5304.
2. Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d-1) and 49 CFR part 21.
3. 49 U.S.C. 5332, prohibiting discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunity.
4. Section 1101(b) of the SAFETEA-LU (Pub. L. 109-59 and 49 CFR part 26 regarding the involvement of disadvantaged business enterprises in USDOT funded projects.
5. 23 CFR part 230, regarding implementation of an equal opportunity program on Federal and Federal-aid highway construction contracts.
6. The provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) and 49 CFR parts 27, 37, and 38.
7. The Older Americans Act, as amended (42 U.S.C. 6101) prohibiting discrimination on the basis of age in programs or activities receiving Federal financial assistance.
8. Section 324 of title 23 U.S.C., regarding the prohibition of discrimination based on gender.
9. Section 504 of the Rehabilitation Act of 1973 (49 U.S.C. 794) and 49 CFR part 27 regarding discrimination against individuals with disabilities.

Sections 174 and 176(c) & (d) of the Clean Air Act do not apply because there are no nonattainment or maintenance areas in Iowa.

Other stipulations of 23 CFR 450.216 addressed during development of the STIP are:

1. Adherence to requirements for public involvement.
2. Inclusion of projects only if consistent with state and local long-range plans.
3. Inclusion of federal-aid projects and all regionally significant transportation projects requiring FHWA or FTA consideration during the four-year program period.

4. Advisement to recipients of FTA funding that feasibility studies are required for facility projects.
5. Inclusion of tables showing the STIP is fiscally constrained by year.

In addition to these certifications, Section 450.216 describes a number of requirements that the state should also ensure are met when submitting the STIP. These requirements are as follows:

1. Public involvement was provided for in the development of the STIP as required by 450.212.
2. The metropolitan planning area TIPs are included without modification, directly or by reference, and have been approved by the Governor or his designee.
3. The STIP, in nonattainment and maintenance areas, contains only transportation projects found to conform, or from programs that conform, to the requirements contained in 40 CFR part 51.
4. The STIP contains only projects consistent with the long-range statewide transportation plan;
5. The STIP includes a list of priority projects to be carried out in the first four years of the current program;
6. The STIP contains all regionally-significant transportation projects requiring action by FHWA or FTA.

## Appendix 10

# INSTRUCTIONS

## Iowa Transportation Project Management System – version III

( TPMS III )

January 14, 2009

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TPMS III is an on-line tool via which local public agency transportation projects in Iowa can be programmed, mapped and developed. These instructions outline how it can be used for setting up, reviewing and approving Federal Aid “Transportation Improvement Programs” (TIP’s).

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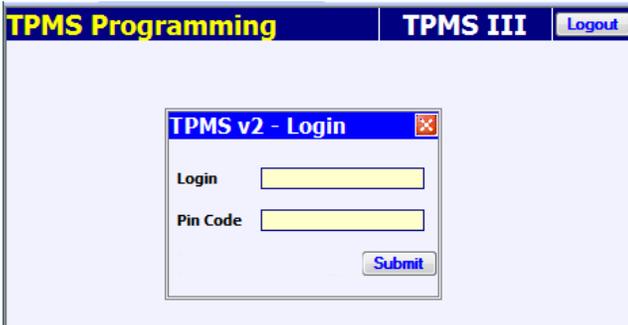
## INSTRUCTIONS

Iowa Transportation Project Management System – version III (TPMS III)

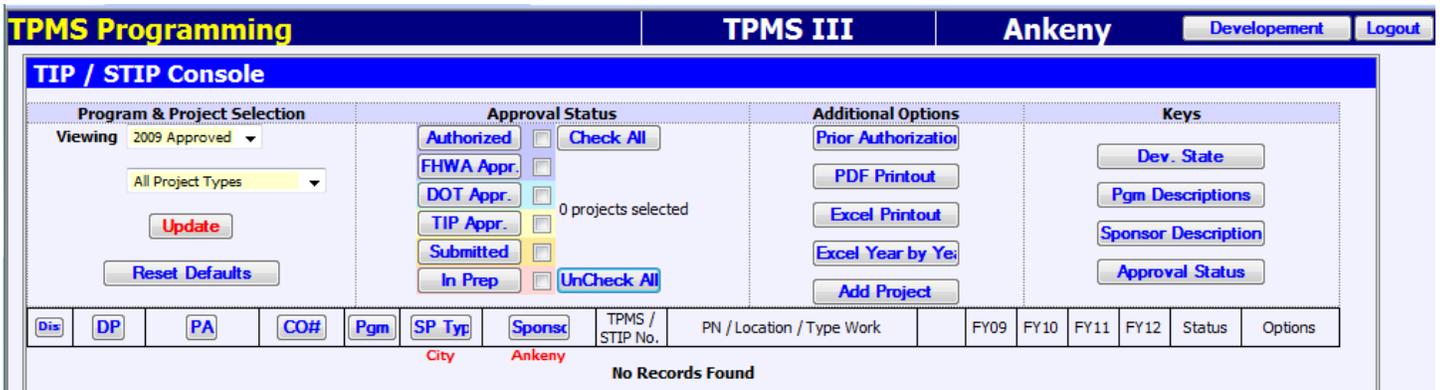
TPMS III is an on-line tool via which local public agency transportation projects in Iowa can be programmed, mapped and developed. These instructions outline how it can be used for setting up, reviewing and approving Federal Aid “Transportation Improvement Programs” (TIP’s).

To access TPMS, use the following URL: <http://www.tpms.org>

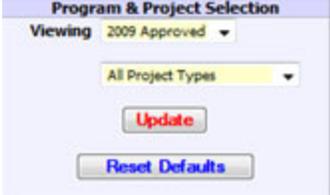
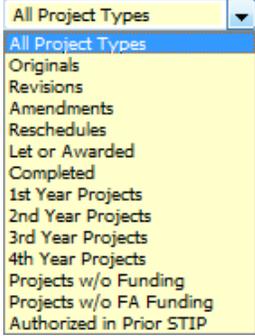
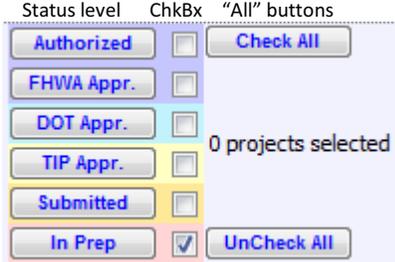
To begin working with TPMS, a user must log in under the ID and PIN code of the agency they work for. Every city, county, planning agency, and DOT LPA office has a unique login, pre-established by the TPMS system administrator: the Iowa County Engineers Association Service Bureau. Every member of an individual agency or office can use the same login ID and PIN, since the system can support multiple, simultaneous connections.



After the login has been entered and submitted, county engineers receive a program status report screen that covers their state five-year programs and their TIP’s. All others, cities, DOT, planning agencies are immediately taken to the TIP management screen.



The top margin of the TIP screen provides access to the display and action options

Top margin section	Main view	Options
<p>Use the Program and Project Selector to set basic view parameters</p>	 <p>Use "Update" to refresh the screen after changing settings.</p> <p>Use "Reset Defaults" to return to the standard startup settings.</p>	<p>Use the FY drop-down to select which Federal fiscal year (Oct to Sept) is displayed</p>  <p>Use the project type drop-down to filter projects by their status.</p> 
<p>Use the TIP approval states buttons and checkboxes to select projects according to their review/approval status</p>	 <p>The "xx projects selected" indicator returns a count of how many are being displayed.</p>	<p>Each of the six status levels in the TIP prepare / review / approval and authorize process has a matching color shade to help visually differentiate them. The initial state, "In Prep", is listed at the bottom left. As projects progress through the process, they move up.</p> <p>Click on any left side button to view the associated status exclusively.</p> <p>To view multiple statuses at the same time, check any unchecked box to the right of the buttons.</p> <p>Use Check All or UnCheckAll to set all statuses the same.</p>
<p>Click on the filter buttons underneath Program &amp; Status to narrow the list, when needed. Click the "Update" button after you've set the filter parameters.</p>	<p>You may filter singly or in combination on: DOT Districts, DOT District Planners, County, Type of FA funds, Type of local public agency and even by individual entity.</p>  <p>Clicking a button opens a matching drop-down selection list. Click on the items to be used as filter criteria, then close the window.</p>	
<p>The "Additional Options" panel provides access to additional functions.</p>		<p>** Click Prior Authorizations to obtain a view of all projects Authorized for Federal Aid in previous fiscal years.</p> <p>** Click PDF Printout to download a printable version of the TIP</p> <p>** Click Excel Printout to get a '1-line-per-project' extract of the TIP</p> <p>** Excel Year by Year gives a listing that is ordered by 1<sup>st</sup> year programmed</p> <p>** Use this button to insert new projects into the program (This item is covered on Pages 10-11)</p>
<p>The "Keys" panel provides explanations of acronyms, abbreviations and color coding used in the TPMS screen.</p>		<p>"Dev. State" color coding is used to indicate if projects' letting dates and programming don't match.</p> <p>"Pgm Descriptions" gives the full name of each Federal Aid program</p> <p>"Sponsor Descriptions" gives the full ID of each project sponsor type</p> <p>"Approval Status" gives additional information about the six TIP prepare, review, and approve status levels.</p>

The project listing section of the TIP main screen lies underneath the top panels:

Dist	DP	PA	CO#	Pgm	SP Type	Sponsor	TPMS / STIP No.	PN / Location / Type Work	FY09	FY10	FY11	FY12	Status	Options	
1	DP-DSM	MPO-26 / DMAMPO	77	DEMO	City	Ankeny Letting Target DOT: Aug/17/2010	13626	HDP-0187(62)--71-77 I-35 INTERCHANGE IMPROVEMENT: I-35 Interchange Improvement (Reconstruction of E. First Street interchange and construction of a new interchange at or near NE 36th Street) Grade and Pave	Total	1300	26400	--	26400	FHWA Approved	Revision Deletion
									FA	--	7100	--	500		
									Rgn	--	7100	--	500		
<b>PA Note:</b> PA: \$1,300,00 in FY 2009 is for EA; \$500,000 in FY 2012 are STP funds <b>OPM Note:</b> \$6000 HPP, \$1100 TI DEMO ID - IA 098, 123 and 193															
1	DP-DSM	MPO-26 / DMAMPO	77	ENH	City	Ankeny 90471	14871	STP-E-0187()-8V-77 NEAL SMITH CONNECTOR RECREATION TRAIL: Trail South of Oralabor Road from South Ankeny Boulevard to SW State Street Ped/Bike Grade & Pave	Total	844	--	--	--	FHWA Approved	Revision Deletion
									FA	150	--	--	--		
									Rgn	150	--	--	--		

The left side corresponds to and shows the filter criteria, plus indicates the target letting date, if any, in the Sponsor column.

The right side identifies the project, provides a description and shows when funds are programmed, plus provides option buttons.

Color coding, status and available options change as a project gets promoted.

Immediately after insertion into a program, each project has "In Prep" status and may be freely edited.

- Projects ready for RPA / MPO review can be promoted by clicking "Submit"
- Projects that aren't being developed for letting may be deleted
  - If a project IS in development but needs to be deleted, you'll need to first cancel tracking on the development side of TPMS.
- When a "Submit" button is triggered, TPMS will notify the next party in the process that the record is ready for their review and action.

1	DP-DSM	MPO-26 / DMAMPO	77	ENH	City	Ankeny	14871	STP-E-0187()-8V-77 NEAL SMITH CONNECTOR RECREATION TRAIL: Trail South of Oralabor Road from South Ankeny Boulevard to SW State Street Ped/Bike Grade & Pave	Total	844	--	--	--	In Prep	Submit Delete
									FA	150	--	--	--		
									Rgn	150	--	--	--		
1	DP-DSM	MPO-26 / DMAMPO	77	ICAAP	City	Ankeny Letting Target DOT: May/19/2009	16700	STP-A-0187(622)--86-77 Interstate 35 & E. First Street Interchange: Installation of traffic signal at I-35 (SB) off-ramp and E. First Street Traffic Signals , Pavement Widening	Total	255	--	--	--	In Prep	Submit
									FA	200	--	--	--		
									Rgn	--	--	--	--		

After submission, the record looks thus:

1	DP-DSM	MPO-26 / DMAMPO	77	ICAAP	City	Ankeny Letting Target DOT: May/19/2009	16700	STP-A-0187(622)--86-77 Interstate 35 & E. First Street Interchange: Installation of traffic signal at I-35 (SB) off-ramp and E. First Street Traffic Signals , Pavement Widening	Total	255	--	--	--	Submitted	Reset
									FA	200	--	--	--		
									Rgn	--	--	--	--		

Note that the sponsor can use "Reset" if they change their mind before the planning agency responds.

When the planning agency has reviewed and “Approved” the project, PA staff can marked the record “TIP approved” (via an Approve button visible only to them) and ‘send’ it on to the attention of the Iowa DOT’s Office of Program Management.

1	DP-DSM	MPO-26 / DMAMPO	77	ICAAP	City	Ankeny Letting Target DOT: May/19/2009	16700	STP-A-0187(622)--86-77	Interstate 35 & E, First Street Interchange: Installation of traffic signal at I-35 (SB) off-ramp and E. First Street Traffic Signals , Pavement Widening	Total	255	--	--	--	TIP Approved	
										FA	200	--	--	--		
										Rgn	--	--	--	--		

OPM can likewise approve the record and send it to the FHWA:

1	DP-DSM	MPO-26 / DMAMPO	77	ICAAP	City	Ankeny Letting Target DOT: May/19/2009	16700	STP-A-0187(622)--86-77	Interstate 35 & E, First Street Interchange: Installation of traffic signal at I-35 (SB) off-ramp and E. First Street Traffic Signals , Pavement Widening	Total	255	--	--	--	DOT Approved	 
										FA	200	--	--	--		
										Rgn	--	--	--	--		

After FHWA approval, the final color code is blue:

1	DP-DSM	MPO-26 / DMAMPO	77	ICAAP	City	Ankeny Letting Target DOT: May/19/2009	16700	STP-A-0187(622)--86-77	Interstate 35 & E, First Street Interchange: Installation of traffic signal at I-35 (SB) off-ramp and E. First Street Traffic Signals , Pavement Widening	Total	255	--	--	--	FHWA Approved	 
										FA	200	--	--	--		
										Rgn	--	--	--	--		

Eventually, “FHWA Approved” projects can be marked “Authorized” to show that the FHWA has officially obligated funds for the project. This is usually done in the month preceding the letting.

## Opening and viewing projects.

While the main TIP screen is a useful place to view projects collectively, one may also need to inspect and/or work on the details of a single job. This section outlines how to do so.

Single project information can be accessed from the right hand side of the TIP list screen. For instance, the following record is from a City of Ankeny project:

<a href="#">16700</a>	<a href="#">STP-A-0187(622)--86-77</a> 	<b>Total</b>	<b>255</b>	--	--	--	In Prep	
	Interstate 35 & E. First Street Interchange: Installation of traffic signal at I-35 (SB) off-ramp and E. First Street Traffic Signals, Pavement Widening	<b>FA</b>	<b>200</b>	--	--	--		<a href="#">Submit</a>
--		<b>Rgn</b>	--	--	--	--		

- Click the  icon to open and view a project site map
- Click the project PN to open to the single project edit / review page
- Click [Total](#) to get a detailed breakdown of funding.
- Click the TPMS number, above the map icon, to view a log that gives dates and times of past changes
- Click the  icon to send a note or question to other parties related to the job.
- Planning agency and DOT Program Mgmt staff may also click the  icon to post remarks in the transcript.

## Layout of single project work page

The single project screen has a number of tabs:



- Click on the A-B-C tabs, to the left, to open the project detail and edit pages
  - **A: Name / Loc** Tab A controls a page for entering project ID, route, description and attributes
  - **B: Project Number** Tab B is used to set up a project number and specify type of work
  - **C: Funding** Tab C stores the estimate project budget and funding sources.
- Center tab – **One Page Summary** click to obtain a 1 page summary report of the project’s programming (and development status if it has a target let date set)
- Right hand tabs **Dev Status** **Program History** **Files**
  - Click Dev. Status to get a quick summary of progress towards letting, if available
  - Program history – click this tab if you need to look back at how the project’s funding has evolved over time
  - Files – if anyone desires to save electronic documents along with the program record, they may click this tab and upload/review such files.
- Click the Print button at upper right to generate a hardcopy image of the current tab

**Project editing – in the A-B-C tabs of the single project page**

TAB A: Enter project ID, route and description data in this view.

- a) Project Local ID : Use this box for a local ‘catch’ name, for identification of phases, or other free form label.
- b) Enter a numbered route, like E-29 or US6 or IA141 in Route #; enter an E911 road or street name in the Road ID box. Then choose a location description type from the drop down list.
  - a. Use either of these for point to point type projects
    - Loc 1 --> Loc 2 ----- From: Installation of traffic signal to: [ ]
    - Loc1 -> Dir -> Dist -> --- From: Installation of traffic signal N MI to: [ ]
  - b. Use these for spot location work
    - Ref Pt -> Dir -> Dist ----- From: Installation of traffic signal N MI
    - Over / Under Feature --- Under Installation of traffic signal
  - c. Use this when a generalized or non-standard location is involved
    - Free Form Description --- Installation of traffic signal at I-35 (SB) off-ramp and E. First Street
- c) Site Map – Click the View/Edit Map button to open the map edit screen
- d) Roadway info – enter as available
- e) Structure info -- Enter FHWA bridge ID numbers for structure projects
- f) Site Characteristics – data needed by DOT when project goes into development
- g) Route Classification -- data needed by DOT when project goes into development
- h) Planning data – used to link the project to RPA/MPO and DOT Planners

**Project editing – in the A-B-C tabs of the single project page**

TAB B: Project number and type of work

Upper section handles Project number entry:

i: To enter the PN, click the Select button to open the drop down list, then use the 1-2-3 filters and Prefix / Alpha Codes, then click the appropriate **select** button.

1. Sponsor Type	2. System Class	3. Fed. Aid Program	Prefix / Alpha. Code	Description	Fed. Aid	Let At
CITY	City Streets	DEMO	EDP-7Y	Federal Demonstration (earmarked) Funds	YES	DOT
CITY	City Streets	DEMO	HDP-71	Federal Demonstration (earmarked) Funds	YES	DOT
CITY	City Streets	DISC	IBRC-8E	Discretionary Federal Funds	YES	DOT
CITY	City Streets	DISC	TCSP-9S	Transportation & Community System Preservation for cities	YES	DOT
CITY	City Streets	ENH	STP-E-8V	Transportation Enhancement Program	YES	DOT
CITY	City Streets	ENH	STP-ES-8I	Transportation Enhancement Program	YES	DOT
CITY	City Streets	ENH	STP-ES-E-ST	Transportation Enhancement Program	YES	DOT
CITY	City Streets	ER	ER-8R	Emergency Relief Program	YES	DOT
CITY	City Streets	HBP	BHM-8K	Highway Bridge Program	YES	DOT
CITY	City Streets	HBP	BHOS-89	Highway Bridge Program	YES	DOT
CITY	City Streets	HBP	BRM-8N	Highway Bridge Program	YES	DOT
CITY	City Streets	HBP	BROS-8J	Highway Bridge Program	YES	DOT
CITY	City Streets	HSP	HSP-8X	Highway Safety Improvement Program	YES	DOT
CITY	City Streets	ICAAP	STP-A-86	Iowa Clean Air Attainment Program	YES	DOT
CITY	City Streets	LOCAL	CS-84	Local Funds Only	NO	LOCAL
CITY	City Streets	NHS	NHS-U-8G	National Highway System Program	YES	DOT
CITY	City Streets	NHS	NHSX-U-8S	National Highway System Program	YES	DOT
CITY	City Streets	RHC	RRP-8A	Railroad-Highway Crossing Program	YES	DOT
CITY	City Streets	RISE	RM-9D	Revitalize Iowa's Sound Economy Program	NO	DOT

ii: Choose sponsor type and sponsor ID

iii: Enter paren value (optional)

iv: Pick the county in which the project will be physically located

Lower part of TAB B: Use drop downs to select up to three DOT work codes. (Counties can also set a Secondary Road work code) Use the Description box to enter more detailed remarks, if desired.

Project editing – in the A-B-C tabs of the single project page

TAB C: Project budget and fiscal year grid

**FY2010 - STIP - TPMS# 16700**  
**STP-A-0187(622)--86-77 Interstate 35 & E. First Street Interchange:** Installation of traffic signal at I-35 (SB) off-ramp and E. First Street [Ankeny] Print

Click to open resources

A: Name / Loc    B: Project Number    **C: Funding**    One Page Summary    Dev Status    Program History    Files

\* Enter program amounts, in \$1,000's, into appropriate fiscal years.  
 \* Use arrows to shift programming ← Ahead or Back →

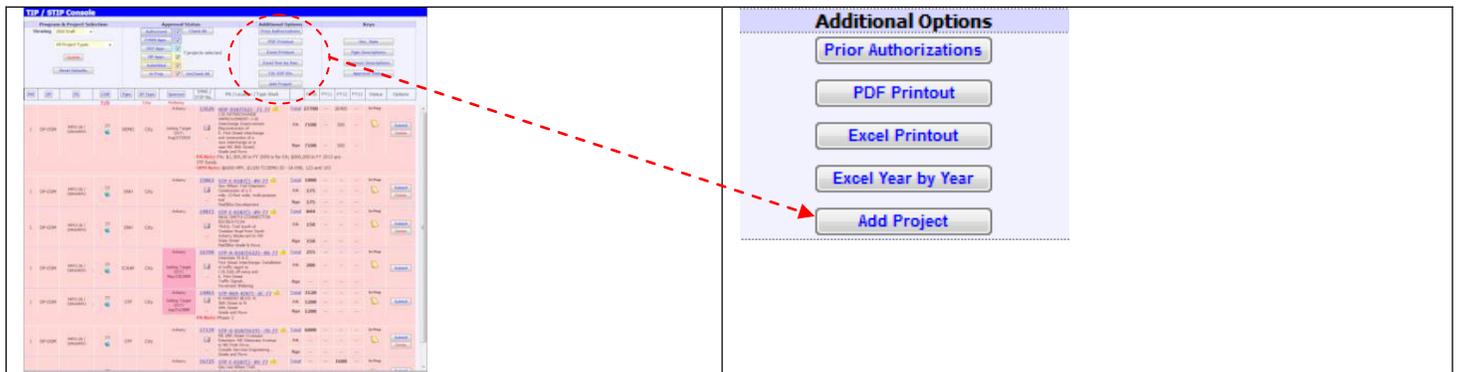
ICAAP / Federal Aid Project		Accomp. Year	Priority Yr 1	Priority Yr 2	Priority Yr 3	Funding Totals
Fund sources		FY 2010	FY 2011	FY 2012	FY 2013	
L O C A L	Local Effort	55	0	0	0	55
	<b>Total Local Funds</b>	<b>55</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>55</b>
	Special Funds --	0	0	0	0	0
SP	Special Funds --	0	0	0	0	0
	<b>Total Special Funds</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
F E D A I D	Pgm: ICAAP	200	0	0	0	200
	Pgm: --	0	0	0	0	0
	Pgm: --	0	0	0	0	0
	<b>Total Federal Aid Funds</b>	<b>200</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>200</b>
<b>FY &amp; Project Totals</b>		<b>255</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>255</b>
% FA participation		78%	0%	0%	0%	

- Enter project budget amounts, in \$1000's, (255 in grid equals \$255,000)
- This view is slightly different for counties
  - The Local section has two rows: one for 'Day Labor' and another for 'Contract'
  - An FM section appears between Local and Special
- Use the SP section to record funds from State or Non-FHWA federal sources (up to 2)
- Use the FEDAID section to record funds from Federal Highway programs.
- Use the Right and Left arrows in the Fund Sources line to shift dollars ahead or back

Special funding choices	Federal Aid funding choices
CSTEP	DEMO
CRB	DISC
DOT	ENH - Statewide
ER	ENH - Regional
FEMA	ER
IHRB	FLHP
LOST	HBP
NRCS	HRRR
RC&D	HSIP
RISE	ICAAP
STB	IM
SRT	MISC
TSIP	NHS
TSF	NRT
USTEP	PL
OTHER	RHC
	SBP
	SRTS
	STP - Statewide
	STP - Regional

**Add a new project**

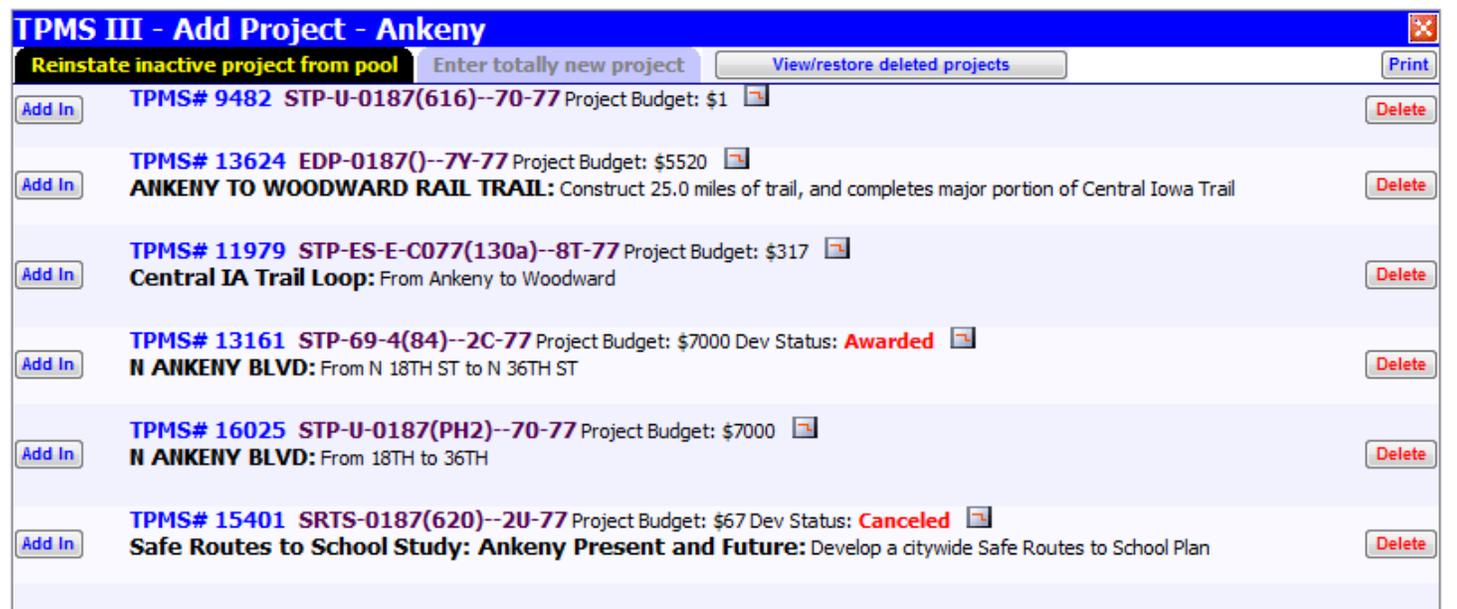
To add a new project, click the “Add project” button in the Additional Options panel in the main TIP page.



Upon initiation of “Add project” the system will present project sponsors with a list of available projects

If an RPA or MPO staff member is adding a project from one of their member agencies, they will need to select the Sponsor’s ID from a Choose Sponsor list before they can set the available projects tally

**TPMS III - Add Project - Choose a Sponsor**  
Ankeny



### The Add project window has two tabs:

- The **Reinstate inactive project from pool** tab contains a list of projects that are “in the system” but not in the program.
  - Within the Reinstate tab:
    - Click **Add In** to insert one of the pooled projects into the program
    - Click the map icon, , to verify the location of a project.
  - **Awarded** projects should be placed in the deleted projects pool for long term storage – via the **Delete** button.
  - **Canceled** projects may either be retained in the Reinstate list or, if their prospects aren’t good, can also be demoted into the delete pool.
  - Other projects can also be deleted if they are unlikely to be reinserted into a program anytime soon.
- The **Enter totally new project** tab is for setting up a record for a project that has never before been programmed.
- The **View/restore deleted projects** button opens a window to display projects in the deleted jobs pool. Use this if you have deleted a job and later need to make it active again.

### Process for entering a totally new project:

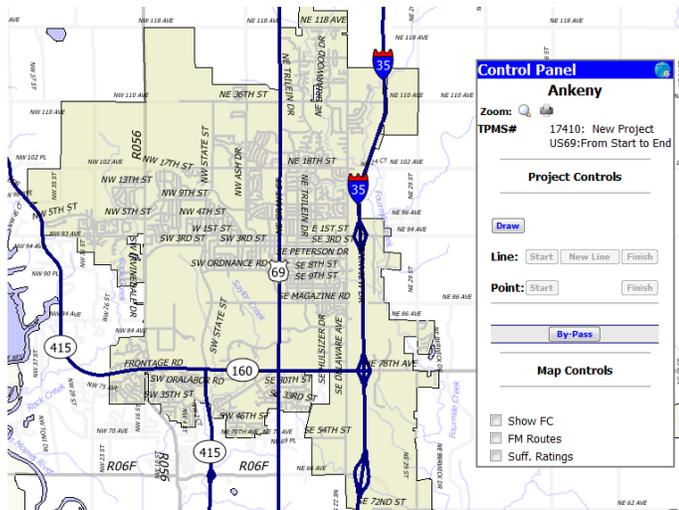
- a) Start by clicking the **Enter totally new project** tab
- b) Enter a local ID, tracking number, or other descriptor in the new project window and click Submit



- c) Use the TPMS map tool to plot the location of the project when it pops up.
  - a. You will need to set your pop-up blocker to permit pop-ups from [www.tpms.org](http://www.tpms.org) for this to work).
  - b. Instructions for the map tool are in the following section
- d) Then complete the A-B-C tab screens for project input
  - a. Project ID, Route, Location and attributes
  - b. Project number and type of work
  - c. Project budget and funding

## Use of the TPMS map tool to mark the location and extent of a new project.

The map drawing window will typically come up centered on the project sponsor's jurisdiction. The initial view appears thus:



The map image will be in the format shown for most users; for counties it will be based on county road maps prepared by the Iowa DOT.

Use of the map controls and tools, located in the floating control panel.

(Note: the control panel may be minimized if desired: click on the  icon at upper right)

- The map may be scroll by dragging the cursor within the map image or by use of scroll arrows which appear around the perimeter of the window.
- Use the  icon to select and enlarge a sub-section of the map: Click the icon, position the cursor at the NW corner of the area of interest, press the left button, drag to the SW corner and release.
- Use the  icon to generate a printable copy of the map
- Use the map control check boxes, (at bottom of the control panel), to display road and bridge classifications relevant to the project.

To actually map a project:

- Select the locale where the job will be situated:
  - Use the  icon or right click near the center of the project site and select "Quick Zoom" from the context menu that pops up.
  - An enlarged subsection of the map will come up and zoom options will appear in the control panel:  
Zoom:   . Adjust the zoom to fit the level of detail that will be needed to plot the location of the proposed work.
  - To draw a linear project site, start by clicking the  button. Then click  and draw a poly-line by moving the cursor to the point of beginning and sequentially placing click points along the proposed route. When done, click  to save the edits. (You can also enter multiple, non-connected lines, by clicking  to tell the system that the next click point will start a new line.)
  - To draw a point project, click , click on each point location involved, then .
  - If a project isn't able to be mapped – such as when it involves a generalized area and not any specific known point – click the  button to so indicate.
  - When done, close the map window via the  in upper right.