



Federal-aid Swap Basics

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Presentation Overview

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FEDERAL-AID SWAP INFORMATION

-  [Swap Policy](#) - Iowa DOT Commission approved the Federal-aid Swap Policy on Feb. 13, 2018.
-  [Swap communication from Local Systems](#) - This information was sent out via email on Feb. 13, 2018.
-  [Project numbering guidelines](#) - Use this information to establish project numbers for swap projects.
-  [Presentation of Federal-aid swap](#)
-  [Frequently asked questions](#) - Updated 4/27/2018

The Iowa DOT Office of Local Systems is hosting several “Swap Overview Training Seminars” across the state this May. The Swap Overview Training Seminars are being held the following dates and locations:

May 2 - morning or afternoon session - Iowa DOT, Ames, Materials Conf. Room

May 4 - morning only - Iowa DOT, Ames, Materials Conference Room

https://iowadot.gov/local_systems/federal-aid-swap-information

Federal Laws vs. State Laws

- Some Federal Laws apply to all projects, regardless of how that project is funded
- Some Federal Laws only apply to projects with Federal-aid
- Swap projects will need to follow Federal laws that apply to all projects, regardless of funding.

What Federalizes a Project?

- Any FHWA Authorization
 - Preliminary Engineering, Right-of-Way, Construction Engineering, Construction
- Any National Environmental Policy Act (NEPA) clearance beyond a Programmatic Categorical Exclusion (PCE).
 - A PCE is the most common type of NEPA Clearance.
 - An analysis has been run in the Transportation Program Management System (TPMS) Development to determine if a project has been Federalized based on NEPA clearance.

What MAY Federalize a Project

- Planning Studies that Utilize Federal-aid.
 - NEPA Clearances and Preferred Alternatives may cause the project to be Federalized.
- Interchange Justification Report (IJR)
- For both cases contact your:
 - MPO or RPA
 - DOT Administering Office (System Planning, District)
- If your project has had any other Federal Action by FHWA or extensive involvement by FHWA, contact Local Systems in Ames.

What does NOT Federalize a Project?

- Only programming a Project in the Statewide Transportation Improvement Program (STIP) through your MPO or RPA.
- Signing a Federal-aid Project Funding agreement – swap funding agreements are forthcoming.
- Submitting a Concept Statement without having received FHWA Environmental Concurrence.
 - If your agency desires to stop a NEPA review in progress please e-mail DeeAnn Newell to determine if that is possible. DeeAnn.Newell@IowaDOT.us

Swap Programs

- Surface Transportation Block Grant
- County Bridge Program
- City Bridge Program
- Highway Safety Improvement Program for Counties
- ICAAP
- Many Stakeholders involved in this process. FHWA granted an Off-System Bridge Waiver so we can run a non-F.A bridge program

Surface Transportation Block Grant (STBG)

- Funds allocated through RPAs and MPOs.
- Eligible Routes:
 - All Federal-aid eligible routes, including Rural Minor Collectors.
 - All Farm-to-Market System Routes
- Not allowed on Local Roads.
- Bridges on any road.
- Eligible for 100% reimbursement, subject to MPO and RPA match requirements.
- Eligible for Preliminary Engineering (PE) and Construction Engineering (CE), subject to MPO and RPA requirements and approval. Although eligible, PE and CE are not encouraged.

County Highway Bridge Program (HBP)

- 100% funding – no match required.
- Programming through RPA's is not necessary – projects will be extracted from CFYP and put into the TIP/STIP, no amendments necessary.
- Current requirements - SD or FO, SR 80 (rehab) 60 (reconstruction) or less, 25 or more ADT.
- Borrow ahead requirements will remain the same.
- No more HBP bridge inspections or PE or CE, per ICEA policy.

City Bridge Program

- 80% Funding
- 20% Local Match is Required
- Only Construction costs are eligible for reimbursement
 - However; project development costs, Engineering, Inspection, Right-of-Way, utility relocation, and railroad costs, are eligible for a credit towards the 20% local match required for Construction.
- Priority Points and other program guidance remains the same as detailed in I.M. 2.020.

Highway Safety Improvement Program – Secondary (HSIP-S)

- \$2M in this fund
- Continue the program per program guidance
- Program guidance is being reviewed to meet the needs and intent of the program with swapped funding.

ICAAP

- Some ICAAP Road and Bridge projects may be able to be Swapped.
- Contact the Administering Office for more information.

Written Guidance



Instructional Memorandums to Local Public Agencies Table of Contents

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

Note: The I.M.s are currently in the process of being transitioned into a new format and numbering system. New or updated I.M.s will use the new format. Some of the I.M.s are not yet complete, as shown in light grey text. Some incomplete I.M.s will be based on an existing Project Development Information Packet document, and some will include entirely new content. Where applicable, a reference and link to the existing Packet document is provided. Most of the links to the [Code of Federal Regulations](#) (CFR) and the [United States Code](#) (USC) have been removed from the individual I.M.s below. To get to the general CFR and USC, you can click on the links above and search each respective page.

No.	Subject	Revision Date	Written To
Chapter 1 – General Information			
Section 1.0 – General			
1.020	Pavement Friction Evaluation Program	January 11, 2017	Both
1.070*	Title VI and Nondiscrimination Requirements	July 20, 2012	Both
1.080*	ADA Requirements	October 1, 2013	Both
	Attachment A – Sample Curb Ramp Transition Plan (Word)	August 24, 2012	Both
Section 1.1 – References			
1.120	References to the Iowa Code	February 13, 2018	Counties
Chapter 2 – Administration			
Section 2.0 – Finance			
2.005	Farm-to-Market Program	December 19, 2014	Counties
2.010	Transfer of Local Secondary Road Use Tax Funds to the Farm-to-Market Fund	May 2, 2016	Counties
	Attachment A - Local to FM Fund Transfer Resolution (Word)	May 2, 2016	Counties
2.020*	Federal and State Bridge Programs	November 8, 2016	Both
	Attachment A – City Bridge Priority Point Rating Worksheet (Word)	July 18, 2011	Cities
	Attachment B – County Bridge Priority Point Rating Worksheet (Word)	July 18, 2011	Counties
	Attachment C – Touchdown Points and Limits of Participation	July 18, 2011	Both
	Attachment D – County HBP Fiscal Constraint Requirements	July 18, 2011	Counties
2.030	Transfer of Farm-to-Market Funds to the Local Secondary Road Fund	May 2, 2016	Counties
2.040	Temporary Allocation of Farm-to-Market Funds	March 17, 2017	Counties
2.050	Procedure to Amend a County Secondary Road Construction Program and Budget	November 26, 2013	Counties
	Attachment A – Example of Resolution to Add, Modify, or Advance a Project (Word)	November 26, 2013	Counties
2.071	Secondary Road Budget Accounting Code Series	July 2005	Counties
2.080	Procedures for Developing and Administering Emergency Relief (ER) Projects	August 22, 2017	Both

https://iowadot.gov/local_systems/publications/im/imtoc.pdf

Planning and Programming

- All Federal-aid Swap (Swap) projects must be included in the Regional Planning Affiliation (RPA) or Metropolitan Planning Organization (MPO) Transportation Improvement Program (TIP) (except County HBP)
- All TIP projects must be submitted to Iowa DOT for inclusion in the Statewide Transportation Improvement Program (STIP) via the Transportation Program Management System (TPMS)
- Program the project in the year in which it will be let
- Amendments – STBG needs to go through RPA / MPO to change funding amounts

Planning and Programming

- How do county road departments get their projects in the TIP?
 - All Construction projects must be included in County 5-year Program
 - Swap and Federal-aid projects will be added to STIP
 - County Swap bridge projects will bypass the RPA / MPO TIP approval process

Planning and Programming

- How do cities or other project sponsors get their projects in the TIP?
 - Request RPA / MPO include project in TIP and provide necessary project information
 - RPA / MPO enters project in TPMS and TIP
 - RPA / MPO approves the TIP and submits it via TPMS to the DOT for inclusion in STIP

Planning and Programming

■ For More Information

□ Reference Documents:

■ STIP and STIP Guidelines

https://www.iowadot.gov/program_management/stip.html

■ The Funding Guide

https://www.iowadot.gov/pol_leg_services/funding_guide.htm

□ Iowa DOT Contact Person:

Shawn Majors / Matt Chambers

Office of Program Management

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Matthew.chambers@iowadot.us

Reimbursement

■ Process

- LPA pays costs up-front
- LPA requests reimbursement from Iowa DOT
- Iowa DOT reimburses the Swap costs at the appropriate share or limits
- FM eligible projects – still run through FM account, and FM account will get reimbursed
- Business as usual on reimbursements

Questions?



■ Reference Documents:

- As listed on previous slides
- Forms referenced in this Overview Training may be found at:

<https://www.iowadot.gov/forms/index.htm>

■ Iowa DOT Contact Person:

- See Iowa DOT Contact List for appropriate Administering Office staff