Federal-aid Basics

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Presentation Overview

- Written Guidance

- Planning and Programming

- FHWA Authorization

- Reimbursement

- In-Kind Contributions

- Local Letting Process

Written Guidance

- Federal-aid Project Development Guide (Guide)
  - Summary of the Federal-aid process
  - Centralized reference for all other Federal-aid guidance
  - 1 document
  - 21 pages

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Federal-aid Project Development Guide
For Local Public Agencies

June 29, 2018

Iowa Department of Transportation
Office of Local Systems
800 Lincoln Way
Ames, IA 50010
https://iowadot.gov/local_systems/publications/im/guide.pdf

www.iowadot.gov/local_systems/publications/im/guide.pdf

Written Guidance

- Instructional Memorandums to Local Public Agencies (I.M.s)
  - Variety of detailed guidance on specific topics
    - Federal-aid
    - Non-Federal-aid
    - Other
  - 70 I.M.s

www.iowadot.gov/local_systems/publications/im/imtoc.pdf

Instructional Memorandums to Local Public Agencies
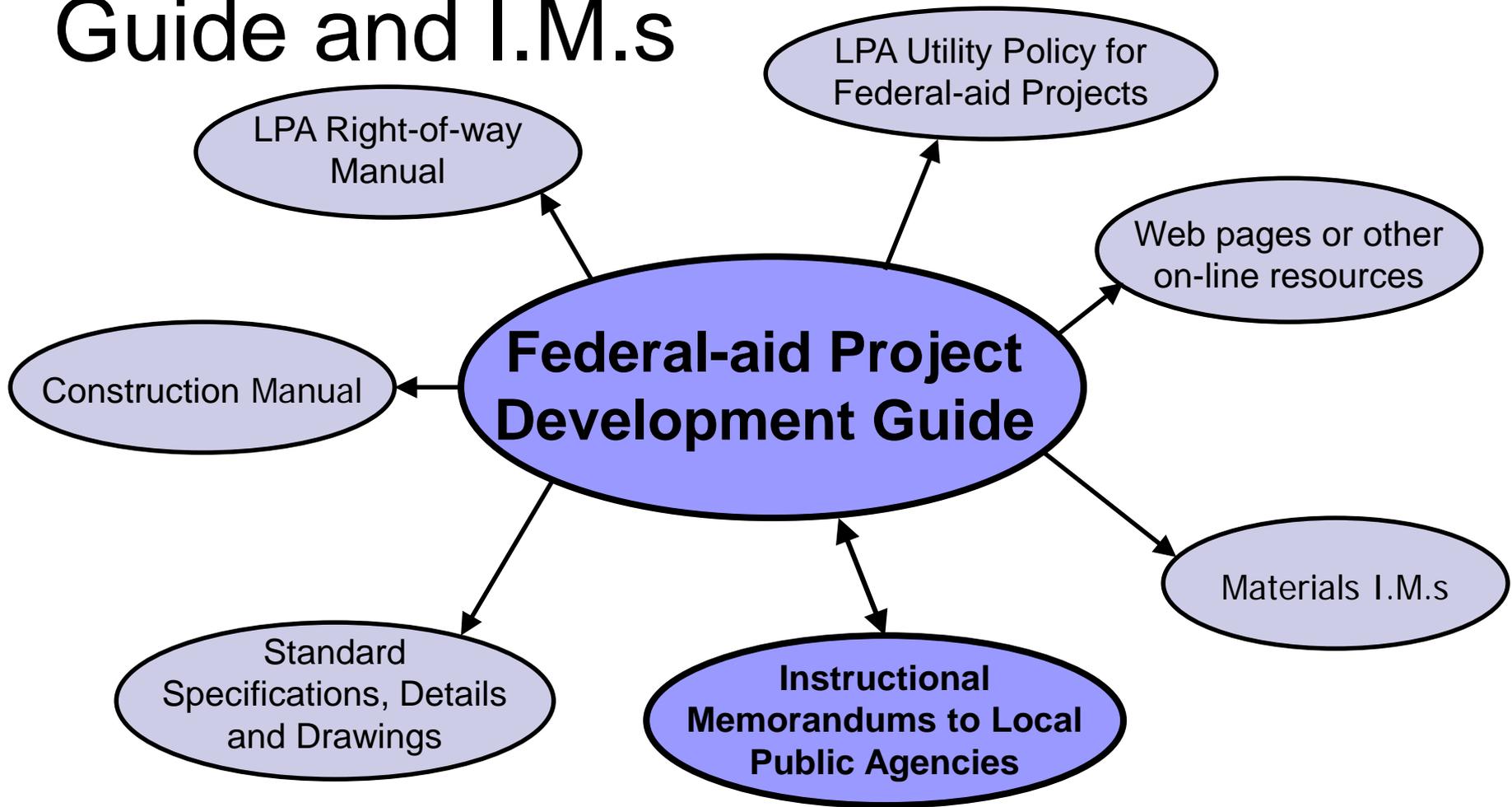**Table of Contents**

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. The funding type is listed in the Table of Contents below, and will be labeled for Federal-aid (F.A.), Federal-aid Swap (Swap), State-aid (State), Farm-to-Market (F.M.) or Local; if the I.M. applies to all types of funding, "All" will be used as the Funding type.

Note: The I.M.s have been transitioned into a new numbering system; please see the I.M. Renumbering Conversion Chart. 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	Funding	Written To

Chapter 1 – Administration
Chapter 2 – County Road System
Chapter 3 – Project Development
Chapter 4 – Environmental Regulations
Chapter 5 – Letting and Contracts
Chapter 6 – Construction
Chapter 7 – Maintenance
Chapter 8 – Miscellaneous Information

Chapter 1 – Administration

Section 1.0 -- General

No.	Subject	Revision Date	Funding	Written To
1.000	Iowa DOT Oversight of LPA Projects	(future)	All	Both
1.010	Acronym List	August 8, 2018	All	Both
1.020	References to the Iowa Code	February 13, 2018	All	Counties
1.070*	Title VI and Nondiscrimination Requirements	June 29, 2018	F.A.	Both
1.080*	ADA Requirements	October 1, 2013	All	Both
	Attachment A – Sample Curb Ramp Transition Plan (Word)	August 24, 2012	All	Both

Section 1.1 -- Programs

No.	Subject	Revision Date	Funding	Written To
1.100*	Highway Bridge Programs for Cities and Counties	April 24, 2018	All	Both
	Attachment A – City Bridge Priority Point Rating Worksheet (Word)	April 24, 2018	F.A., Swap	Cities
	Attachment B – County Bridge Priority Point Rating Worksheet (Word)	April 24, 2018	All	Counties
	Attachment C – Touchdown Points and Limits of Participation	July 18, 2011	F.A., Swap	Both
	Attachment D – County HBP Fiscal Constraint Requirements	July 18, 2011	F.A., Swap	Counties
1.180	Procedures for Developing and Administering Emergency Relief (ER) Projects	April 8, 2019	F.A.	Both

Section 1.2 -- Finance

No.	Subject	Revision Date	Funding	Written To
1.200	Federal Funds Management	July 3, 2017	F.A.	Both

Relationship between the Guide and I.M.s

LPA Utility Policy for Federal-aid Projects

LPA Right-of-way Manual

Web pages or other on-line resources

Federal-aid Project Development Guide

Construction Manual

Materials I.M.s

Standard Specifications, Details and Drawings

Instructional Memorandums to Local Public Agencies

Planning and Programming

- All Federal-aid projects must be included in the Regional Planning Affiliation (RPA) or Metropolitan Planning Organization (MPO) Transportation Improvement Program (TIP)

- 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)

- Projects cannot receive FHWA Authorization unless funds are programmed in the current TIP / STIP

- Cost estimates must be in Year of Expenditure dollars

- Estimates must be adjusted if moved from one fiscal year to another

Planning and Programming

- How do county road departments get their projects in the TIP?

  - Federal-aid projects included in County 5-year Program will be included in pool of projects to be added to RPA / MPO's TIP

  - County promotes project by "submitting" it through TPMS

  - RPA / MPO approves the TIP and submits it via TPMS to the DOT for inclusion in STIP

  - County HBP projects do not require RPA/MPO approval, but do pass through

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:
    - ■ TIP and STIP Guidelines

      https://iowadot.gov/program_management/Final_TIP_STIP_Documentation.pdf

    - ■ The Funding Guide

      www.iowadot.gov/pol_leg_services/funding-guide

  - ☐ Iowa DOT Contact Person:

    Shawn Majors

    Program Management Bureau

    515-239-1288

    Shawn.Majors@iowadot.us

FHWA Authorization

- ## What is it?
  - ☐ The most important step in the Federal-aid process
  - ☐ Obligates Federal funds for a specific project activity
  - ☐ Obligation is the Federal government's legal commitment (promise) to reimburse the Federal share of a project's eligible costs

- ## When is it needed?
  - ☐ Before beginning <u>any work</u> for which Federal reimbursement will be requested
  - ☐ **Cost of work performed before FHWA Authorization is not eligible for Federal reimbursement!**

FHWA Authorization

- How is it obtained?
  - ☐ LPA requests FHWA Authorization for the specific activity for which reimbursement will be requested
  - ☐ Iowa DOT verifies project information and that all necessary reviews and approvals have been completed
    - Accurate project info from the LPA is critical!
  - ☐ Iowa DOT sends request to FHWA
  - ☐ If acceptable, FHWA approves request
  - ☐ Iowa DOT provides written notice of FHWA Authorization to LPA

Reimbursement

- Prerequisites
  - Eligible (cost is an allowable expense)
  - Approved by Iowa DOT (review is complete)
  - Authorized by FHWA (funds are obligated)

- Process
  - LPA pays costs up-front
  - LPA requests reimbursement from Iowa DOT
  - Iowa DOT reimburses the Federal share of eligible, approved, and authorized costs
  - Reimbursements should be requested at least every 6 months, but not more than bi-weekly

In-Kind Contributions

- **General**
  - Certain contributions by <u>a third party</u>, if <u>approved in advance</u>, may be counted towards the non-Federal share of project costs
  - Reduces the cash outlay required by the LPA
  - Contributions may include right-of-way, materials, services, or equipment
  - See "Project Close-out for Non-Highway Projects" presentation for more information

In-Kind Contributions

- For More Information
  - Reference Documents:
    - I.M. 3.050, In-Kind Contributions
  - Iowa DOT Contact Person:
    Debra Arp

    Phone: 515-239-1681

    Debra.Arp@iowadot.us

Local Letting Process

- Only allowed on a few project types

- Advantages

  - Statewide Urban Design and Specifications (SUDAS) or local specifications may be used
    - Subject to Iowa DOT review and approval
    - SUDAS Division 1 may not be used

  - Let under your own schedule

  - Establish your own contract period

Local Letting Process

- Disadvantages
  - ☐ Must complete a supplemental agreement
  - ☐ Must satisfy Federal bid requirements
  - ☐ Must have a bidding process
  - ☐ Must follow pre- and post-award checklists

Local Letting Process

- **For More Information**
  - ☐ Reference Documents:
    - ■ I.M. 5.120, Local Letting Process – Federal-aid
  - ☐ Iowa DOT Contact Person:
    - ■ Debra Arp

      Phone: 515-239-1681

      Debra.Arp@iowadot.us
    - ■ Or, contact the appropriate Iowa DOT project manager from the "Iowa DOT Contact List" handout

Questions?

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

    https://forms.iowadot.gov/Default.aspx

    Iowa DOT Contact Person:
  - ☐ See Iowa DOT Contact List for appropriate Administering Bureau staff