

Local Systems Re-Centralization Federal-aid Swap

Iowa DOT

Office of Local Systems

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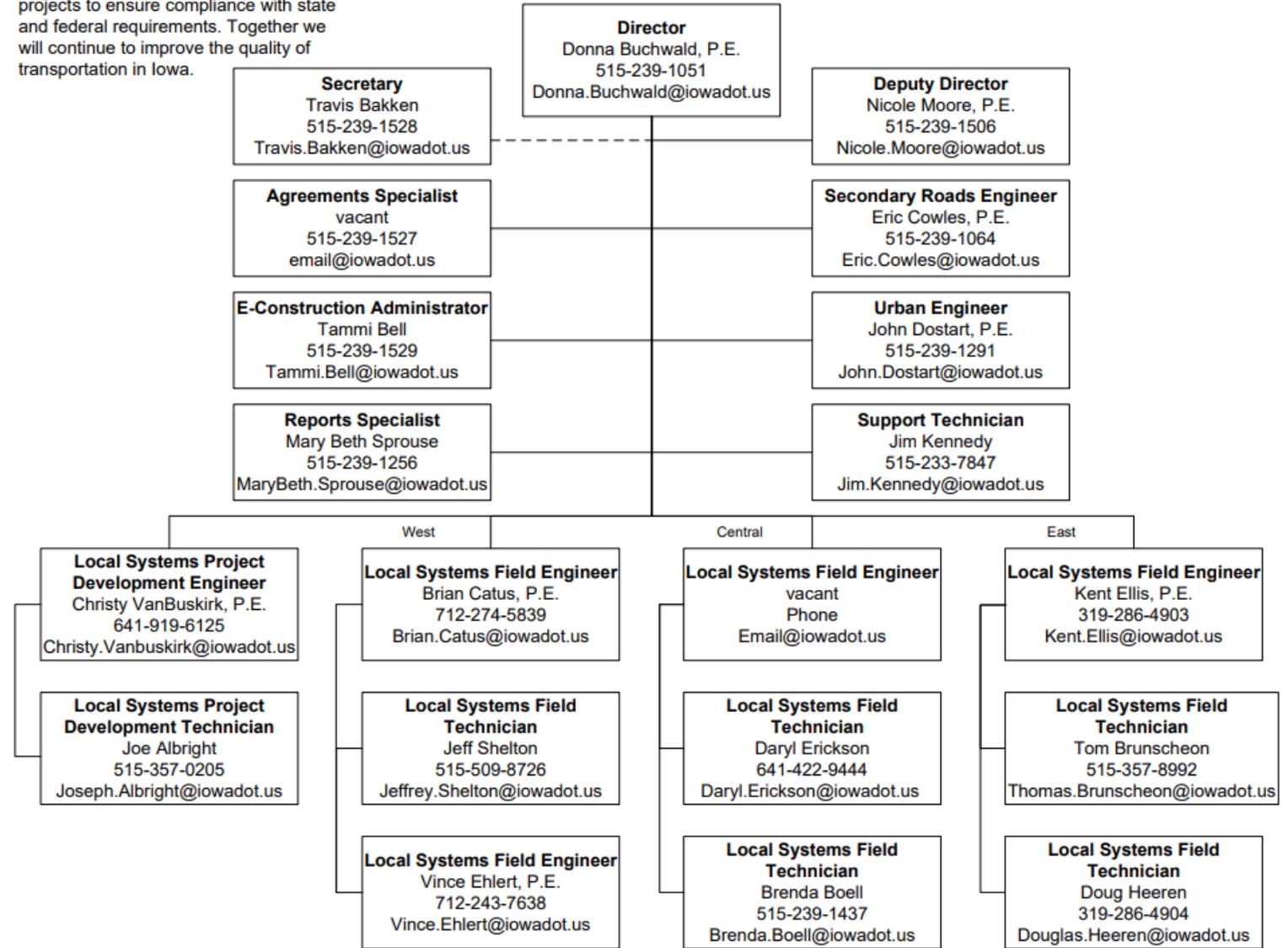
Local Systems Recentralization

Mission Statement
Work with our transportation partners and provide guidance in the development and implementation of projects to ensure compliance with state and federal requirements. Together we will continue to improve the quality of transportation in Iowa.

Office of Local Systems

Reorg 2018
March 8, 2019

Organization Chart



Federal-aid Swap Overview

Long history of discussion of Federal-aid Swap amongst DOT and Locals

Legislation was needed to allow Swap

Same amount of dollars are still subject to Federal requirements.

These projects will be administered mostly by the Iowa DOT.

Federal funds normally received by a LPA are exchanged for State funds.
(~\$167 Million per year for Locals)

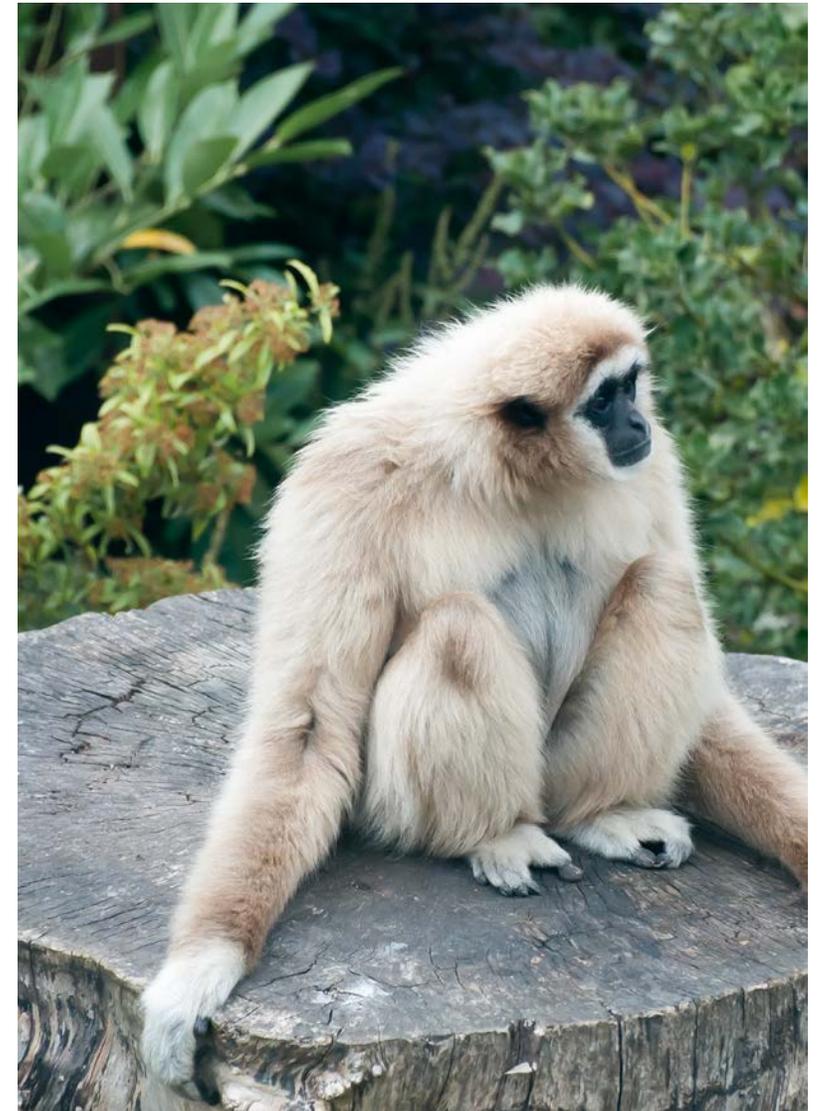
Projects are let at the Iowa DOT.

Funds will only be used for Construction projects.

\$1 for \$1 exchange rate.

Pre-Determined (Davis-Bacon) Wage Rates and Buy America will not apply.

Swap Funds available dependent on Federal funding levels and DOT cash flow.



LOCAL SYSTEMS HOME

FEDERAL-AID SWAP
INFORMATION

CONTACT US

INSTRUCTIONAL
MEMORANDUMS AND
FEDERAL-AID GUIDE

LOCAL JURISDICTIONS
INFORMATION

MAILINGS

PROJECT DEVELOPMENT
INFORMATION

PROJECT INSPECTION AND
ADMINISTRATION

▶ PUBLICATIONS

▶ STREET FINANCE REPORT
(SFR)

EXTERNAL LINKS

Guidance and Information

OFFICE OF LOCAL SYSTEMS

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.
-  [Frequently asked questions](#) - Updated 4/27/2018

SWAP OVERVIEW TRAINING SEMINAR PRESENTATIONS

-  [2018 Federal-aid Swap Training Agenda](#)
-  [Federal-aid Swap Basics](#)
-  [Initial Project Development](#)
-  [Environmental Review](#)
-  [Other Permits and Reviews](#)
-  [Design and Plan Reviews – Iowa DOT Lettings](#)
-  [Right-of-way](#)
-  [Utilities and Railroads](#)
-  [Contract Letting and Award – Iowa DOT Process](#)
-  [Swap Seven Things to Remember](#)
-  [Acronym List](#)

Swapped Programs



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. 1.010



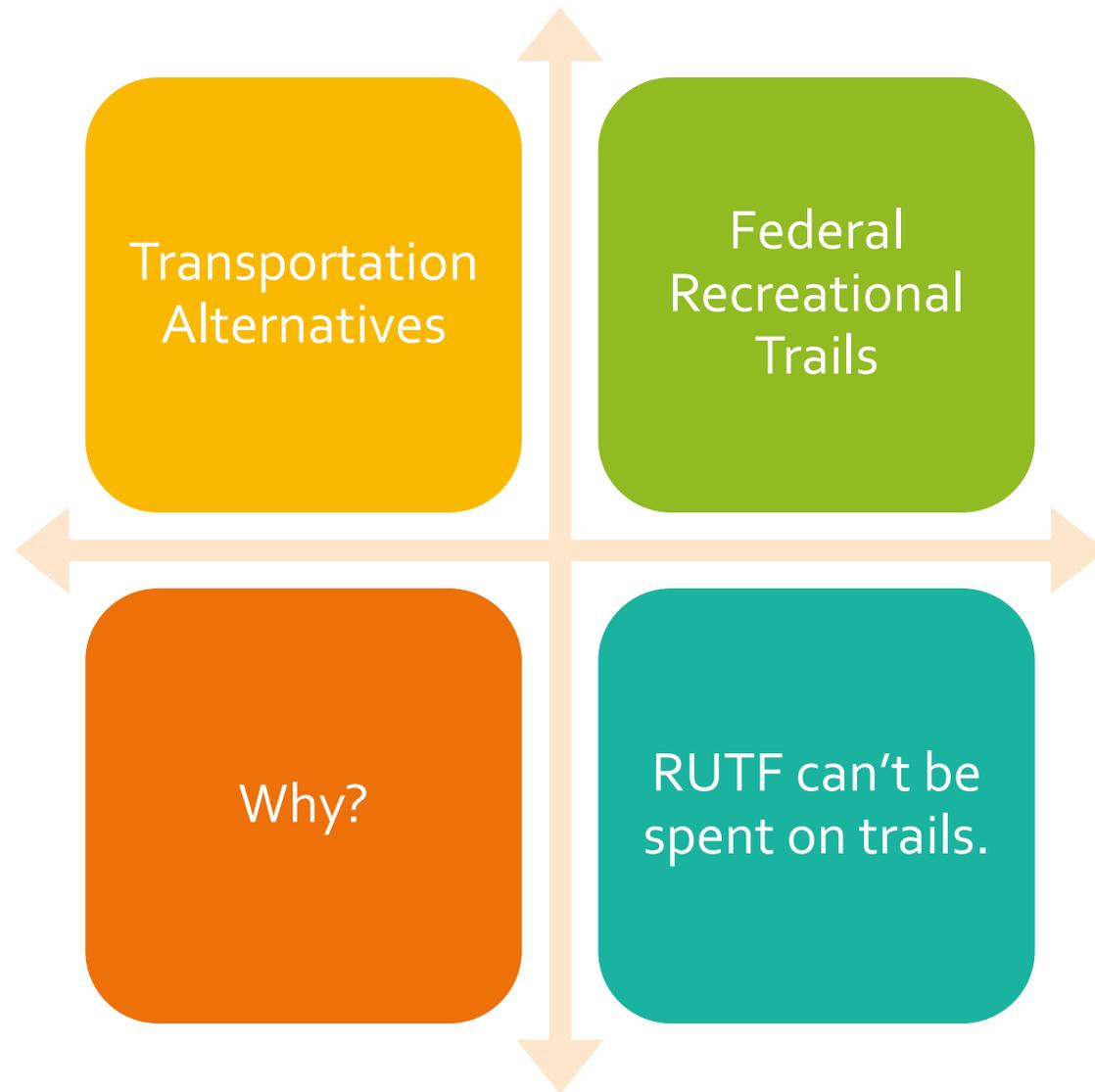
ICAAP

Some ICAAP Road and Bridge projects may be able to be Swapped

Contact the Administering Office for more information



Some programs will not be Swapped



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, Region)

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

Items no longer needed:

- DBE Commitment – can have if desired though
- Davis-Bacon wages – Certified Payrolls, Wage Rate Interview
- Buy America
- NEPA through FHWA (however, some environmental requirements remain)

Programming efficiencies

Environmental Process efficiencies

Project Development has been streamlined

- No Concept Statement or Preliminary Plans (6 months)

Construction Oversight efficiencies

No Project End Dates or In-Active Obligations

Federal-aid Swap Efficiencies

Project Development Changes

Design Requirements – previously adopted by ICEA Exec Board, or cities using SUDAS

Hydraulic Review

Required on Federal-aid projects where bridge is being replaced by RCB

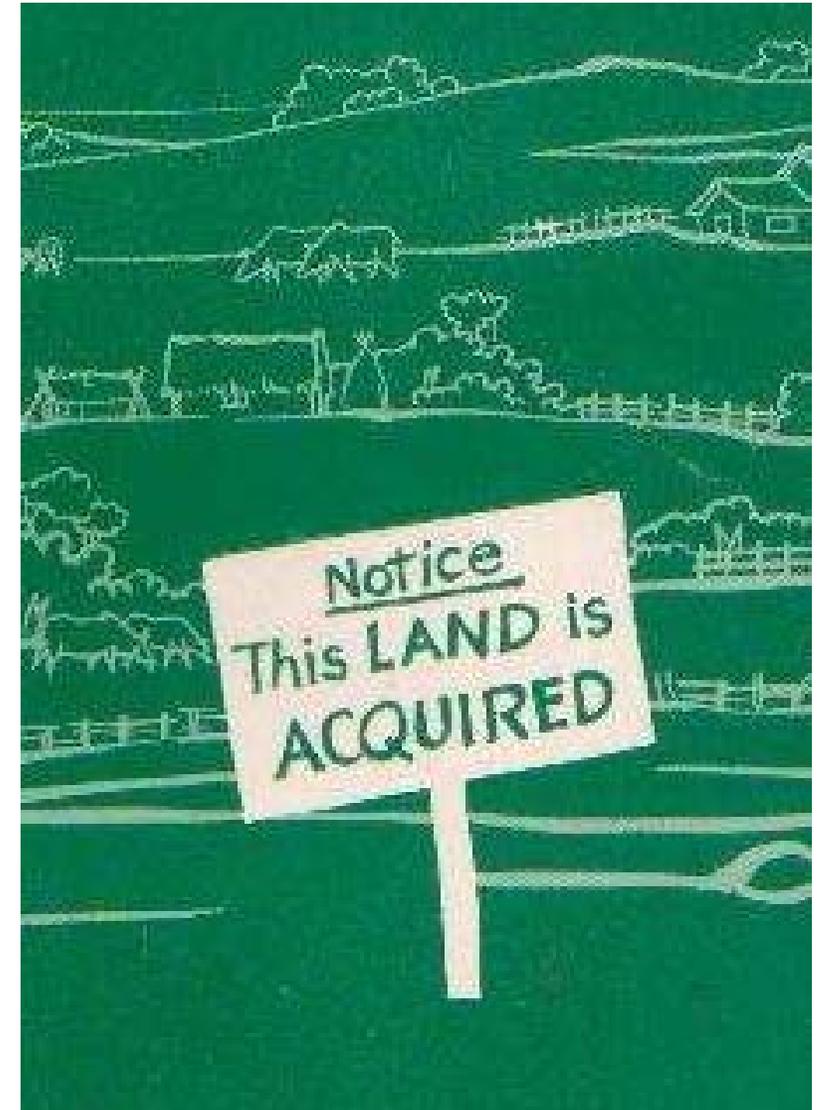
Not required on swap, but a service LPA may request from Iowa DOT

Structural Review – only Federal requirement

Right-of-Way – Iowa Code 6A and 316, 761 IAC 111

Utilities – 761 IAC 115

Railroads – still need coordination



Swap Environmental Process

Numerous Federal and State Laws apply to any project.

LPAs are required to certify that all environmental and cultural resources processes have been followed.

- Threatened and Endangered Species

 - Fill out form, put in file, unless affecting T&E

- Cultural Resources

 - Non Ground Disturbance – CRA Form

 - Ground Disturbance – CRE

- 404 Permit from USACE

 - Apply for Permit if necessary

- Project Development Certification (PDC)



Letting and awarding contracts

Iowa DOT Lettings

- Federal-aid (TAP, etc)

- Farm-to-Market (account at DOT)

- Swap projects

State (not swap, but other state funds) or Local Funding:

- Local lettings if desired

- Can let at Iowa DOT if desired



Materials Requirements for Local Public Agencies

- Project Engineer will follow all materials inspection requirements per DOT specifications, particularly Materials I.M. 204.
- Swap projects as Category 4 in Materials I.M. 103
- Independent assurance samples will not be required
 - Side by side air tests, etc.
- DOT will still provide Materials Acceptance Report (LIMS)
- Agencies can still request sampling and testing, and Materials will perform inspection, but LPA will be charged per Materials I.M. 103 Appendix A

Materials I.M. 103

- The DME may assist the local agency in witnessing the calibration of PCC and HMA plant equipment for Category 1-3 Projects and for Category 4 projects (FM and Federal-aid Swap projects only).
- For Category 4 Projects (All Projects), the DME, when requested, will perform the source inspection tasks in [IM 204](#). This source inspection will include inspection for precast and prestressed concrete bridge units ([Specification Section 2407](#) items) on FM and Federal-aid Swap projects, unless specifically requested by the local agency to be excluded from inspection.
- For Category 4 Projects (FM and Federal-aid Swap projects only), the DME, when requested, will perform limited testing.
 - HMA mix design paper review or evaluation of test strip results.
 - Verification testing of un-compacted mixture will be done the first day and then one test per week maximum.
 - Verification testing of asphalt binder will be done the first day and then one test per week maximum.
 - Verification testing of smoothness will be done at the rate in [IM 204](#).

Construction & Project Close-out

- Project inspection by LPA – just like a Federal-aid project, but less requirements (DBE, Davis-Bacon, Buy America)
- Field Inspection by DOT at Field Completion stage or during construction (DOT discretion)
- Project Closeout
 - Pre-audit Checklist – certain items no longer required
 - Final Forms Packet Checklist – certain items no longer required
 - Updates made to I.M. 6.110
- DOT Project Reviews – 1 per LPA every 3 years

Questions

