

INSTRUCTIONAL MEMORANDUMS

To Local Public Agencies



To: Counties and Cities	Date: March 23, 2022
From: Local Systems Bureau	I.M. No. 3.010
Subject: Project Development Submittal Dates and Information	

Contents: This Instructional Memorandum (I.M.) lists the submittal dates for some of the major milestone events for development for Local Public Agency (LPA) projects that will be let by the Iowa Department of Transportation (Iowa DOT). It also summarizes the information that should be included with each submittal.

Project Programming: Projects must be programmed in the appropriate Federal fiscal year in the Statewide Transportation Improvement Program (STIP). Even though October 1 is the beginning of the Federal fiscal year, Federal-aid and Federal-aid Swap projects targeting an October letting should be programmed in the previous Federal fiscal year. This is because projects in the October letting are authorized for letting in September. Counties program their County Five Year Program (CFYP) by the State Fiscal Year, so projects falling into the July through October lettings need to be adjusted to the appropriate Federal fiscal year in the STIP.

Administering Bureau: When it occurs in this document, and elsewhere throughout the I.M.s, the term, "Administering Bureau," shall refer to the Iowa DOT Bureau providing oversight to the project. Refer to [I.M. 1.000](#), Iowa DOT Oversight of LPA Projects, for additional information. Generally speaking, the Administering Bureau will be as follows:

- the [Local Systems Bureau](#);
- the [Systems Planning Bureau](#) for projects funded by the Transportation Alternatives Program (TAP), Federal Recreational Trails, State Recreational Trails, or Iowa's Clean Air Attainment Program (ICAAP), and Revitalize Iowa's Sound Economy (RISE) programs;
- Occasionally, the appropriate Iowa DOT District Offices if the project involves the Primary Highway System.

Electronic Submittals: Plans shall be submitted electronically and conform to the requirements of [Specifications for Electronic Plan Submittals to the Iowa DOT](#). All other submittals listed below shall also be submitted in electronic format, provided the means of transmission and file format is acceptable to the Administering Bureau. Due to e-mail file size limitations, the Iowa DOT requires that electronic plans and all other electronic submittals be transmitted using the submittal tools provided in the Transportation Program Management System ([TPMS](#)). Electronic submittals consist of uploading files in TPMS and composing a transmittal email to the Administering Bureau staff. The file format for other electronic documents shall be Adobe Acrobat's Portable Document Format (PDF). To obtain access to TPMS, contact the Iowa County Engineer's Service Bureau at 515-244-0779.

Required Submittals to the Iowa DOT

Concept Statement: Concept Statements are only required for Federal-aid projects. Include the following items in a Federal-aid project "Concept Statement for Local Systems Federal-aid Projects" ([Form 517001](#)) submittal (non-Federal-aid projects do not require a Concept Statement):

- A transmittal e-mail. Include a description of any unique aspects of the project or other information that cannot be adequately explained on the Concept Statement form.
- A completed Concept Statement. For more information, refer to [I.M. 3.020](#), Concept Statement Instructions.
- Design exception documentation, if required as per Section 5.3.1 of the [Federal-aid Project Development Guide for Local Public Agencies](#) (Guide) for urban design guidelines, or [I.M. 3.210](#), Rural Design Guidelines. If the need for a design exception cannot be determined when the Concept Statement is submitted, submit the design exception request as soon as possible, but no later than the Check Plan submittal date.
- A location map or plan/profile sheet depicting the project limits, existing right of way, and anticipated temporary easements and permanent right of way.
- Any applicable environmental documents, if available.

Incomplete Concept Statement submittals will delay project reviews. All submittals shall include the Iowa DOT project number. When a project is activated in [TPMS](#), the project number request is automatically generated by the TPMS system. The Administering Bureau will then assign the project number.

Projects using the “Major” Concept Statement submittal dates typically involve any of the following: wetlands, recreational areas, or wildlife refuges; railroad crossings; historic structures or historic districts; right-of-way or easement acquisitions; or utilizing Federal-aid for consultant work. Examples include relocating a road on new alignment, major reconstruction, a major bridge, or a historic structure. Note: All projects requiring a hydraulic or structural review should follow the schedule for “Major” type projects.

Projects using the “Minor” Concept Statement submittal dates typically do not involve any of the items listed above for the “Major” type projects. Examples include an asphalt resurfacing project or a bike trail surfacing project on an existing railroad bed.

Neither the Major nor the Minor Concept Statement submittal dates are applicable to Federal-aid projects that require an Environmental Assessment (EA) or Environmental Impact Statement (EIS) document. The submittal dates shown reflect the *minimum* amount of time required by the *Iowa DOT* to review the submittal. *These dates do not reflect the time that may be required by other agencies for the appropriate reviews and approvals.* The project schedule should be based on the specific circumstances of the project. Federal-aid projects that have significant impacts to environmental or historic resources, require large amounts of right-of-way, or involve adjustments to railroad or utility facilities, will likely require additional time to develop for letting. Therefore, in such cases, it will probably be necessary to submit the Concept Statement and Preliminary Plans earlier than the dates shown. For additional guidance and information, refer to [I.M. 3.000](#), Federal-aid Project Scheduling.

Preliminary Plans: Submit in accordance with [I.M. 3.400](#), Preliminary Plans and [I.M. 3.500](#), Bridge or Culvert Plans.

Please note: Design activities for Federal-aid projects may not progress past the preliminary plan stage until after NEPA Clearance has been received.

Check Plans: Check Plans are to be 100% complete plans. Submit in accordance with [I.M. 3.700](#), Check and Final Plans and [I.M. 3.500](#), Bridge or Culvert Plans. Check Plans submittals shall include the completed checklist in [I.M. 3.700 Attachment B](#), and [I.M. 3.500 Attachment A](#) for bridge projects. If Check Plans are not 100% complete, this may cause significant delays or the need to return incomplete check plan submittals, and an additional Check Plan review may become necessary.

Final Plans, PDC and all other required documents: Submit in accordance with [I.M. 3.700](#), Check and Final Plans and [I.M. 3.500](#), Bridge or Culvert Plans. The “Final Plans, Project Development Certification (PDC), and all other required documents” date is when the LPA shall submit the completed final plans and the PDC to the Administering Bureau.

The following items are needed on every project and must be uploaded to the appropriate schedule item in TPMS:

- Final Plans that address all Check Plan comments from the Administering Bureau
- Project Development Certification (refer to [I.M. 5.050](#))
- Bid Items and Cost Estimate within TPMS

The following items are needed, if applicable for the project, and must be uploaded to TPMS:

- A Farm-to-Market (FM) Financial worksheet for all projects on the FM system, including bridge projects
- Special Provisions or Developmental Specifications
- U.S. Army Corps of Engineers 404 Permit (refer to [I.M. 4.130](#))
- Railroad Agreements (refer to [I.M. 3.670](#))
- Public Interest Findings (refer to [I.M. 5.060](#))
- Any contract time requirements being requested (free winter work, number of workings days, etc)
- A listing of all funding sources and applicable funding agreements
- Application and Agreement to Perform Work Within State Highway Right-of-Way ([Form 810028](#))
- Other documents as required by [I.M. 3.700](#) and other I.M.s

It is imperative that the LPA turn in all required documents on or before the “Final Plan, PDC, and all other required documents” date shown in the chart. This allows time for the Administering Bureau to review submittals and compile them prior to turning in to the Contracts and Specifications Bureau.

Administering Bureau turn-in to Contracts and Specifications Bureau (For Iowa DOT use only and not shown in the table below): The Administering Bureau is required to turn in Final Plans, PDC, and other required documents to the Contracts and Specifications Bureau by the 1st Tuesday, 2 months prior to letting. This is the absolute last date for the Administering Bureau to turn in all necessary documents to the Contracts and Specifications Bureau.

Letting Date: The “Letting Date” is the third Tuesday of every month, except January, which is the Wednesday after the third Tuesday of the month. Refer to the Contracts and Specifications Bureau “[Proposed Contract Letting Dates](#)” webpage for future letting dates.

Submittal Dates for Local Public Agency Projects let by the Iowa DOT

Following are submittal dates for upcoming Iowa DOT lettings. All submittals shall be *received* by the Iowa DOT Administering Bureau on or before the dates shown below. However, early submittals are always encouraged.

Project Development Critical Path Dates
Federal-aid and Non-Federal-aid Major and Minor Type Projects

Federal-aid/Primary Projects		All Projects					Year
Concept Statement		Preliminary Plans	Check Plans	Final Plans, PDC, All other Req'd Docs	Letting Date		
Major (1 year)	Minor (6 months)						
01/19/21	07/20/21	07/20/21	09/07/21	10/19/21	01/19/22	2022	
02/16/21	08/17/21	08/17/21	10/05/21	11/16/21	02/15/22		
03/16/21	09/21/21	09/21/21	11/02/21	12/21/21	03/15/22		
04/20/21	10/19/21	10/19/21	12/07/21	01/18/22	04/19/22		
05/18/21	11/16/21	11/16/21	01/04/22	02/15/22	05/17/22		
06/15/21	12/21/21	12/21/21	02/01/22	03/15/22	06/21/22		
07/20/21	01/18/22	01/18/22	03/01/22	04/19/22	07/19/22		
08/17/21	02/15/22	02/15/22	04/05/22	05/17/22	08/16/22		
09/21/21	03/15/22	03/15/22	05/03/22	06/21/22	09/20/22		
10/19/21	04/19/22	04/19/22	06/07/22	07/19/22	10/18/22		
11/16/21	05/17/22	05/17/22	07/05/22	08/16/22	11/15/22		
12/21/21	06/21/22	06/21/22	08/02/22	09/20/22	12/20/22		
01/18/22	07/19/22	07/19/22	09/06/22	10/18/22	01/18/23	2023	
02/15/22	08/16/22	08/16/22	10/04/22	11/15/22	02/21/23		
03/15/22	09/20/22	09/20/22	11/01/22	12/20/22	03/21/23		
04/19/22	10/18/22	10/18/22	12/06/22	01/17/23	04/18/23		
05/17/22	11/15/22	11/15/22	01/03/23	02/21/23	05/16/23		
06/21/22	12/20/22	12/20/22	02/07/23	03/21/23	06/20/23		
07/19/22	01/17/23	01/17/23	03/07/23	04/18/23	07/18/23		
08/16/22	02/21/23	02/21/23	04/04/23	05/16/23	08/15/23		
09/20/22	03/21/23	03/21/23	05/02/23	06/20/23	09/19/23		
10/18/22	04/18/23	04/18/23	06/06/23	07/18/23	10/17/23		
11/15/22	05/16/23	05/16/23	07/03/23	08/15/23	11/21/23		
12/20/22	06/20/23	06/20/23	08/01/23	09/19/23	12/19/23		