

SUBMITTALS REQUIRED ON LOCALLY LET STATE-AIDED RISE/SRT PROJECTS

BEFORE LETTING

- ☐ Except where indicated otherwise below, submittals should be sent via email or TPMS (if let at the DOT). If a consultant will be providing design and/or construction phase services on your behalf, you need to provide the project engineer with a copy of the agreement and this notice and determine who will make the required submittals.
- ☐ As of the Transportation Commission Meeting date, you have the authority to start incurring costs for reimbursement. Note: grant funding cannot be disbursed until a fully executed agreement is on file.
- ☐ **Funding Agreement:** An agreement will be sent to the Recipient electronically. After reviewing, the Recipient will need to sign and certify it. Then, the Recipient will need to email to Local Systems Bureau (LSB) Grants Team the entire agreement (including exhibits) for execution. Once executed with the Iowa DOT signature, LSB Grants Team will email the final version back to the Recipient.
- ☐ **RISE IO Payrolls:** For RISE Immediate Opportunity projects, a copy of an initial baseline payroll from the company will need to be submitted to the RISE Program Manager dated around the time the project was awarded by the Transportation Commission. This will help to establish a baseline from which it will be used to measure job creation and retention.
- ☐ **Reimbursements:** The RISE/SRT program is a cost-reimbursement program. All reimbursements require project Recipient's to submit their claims for reimbursement forms and all supporting documentation electronically. A single email address has been created to receive all claims for projects working with the LSB Grants Team.
 - 1) Submit all future claims to DOT.GrantTeamClaims@iowadot.us and include the DOT project contact as a cc: on this email.
 - 2) The subject line of the email should include the purpose, project Recipient, and project number only. For example: Claim #1; Waterloo; RM-8155(772)--9D-07
 - 3) Complete the [claim form 240011](#), sign, and scan or photograph the form and save as a pdf.
 - 4) Attach the claim form and all [supporting documentation](#) to the email you send to DOT.GrantTeamClaims@iowadot.us.
 - 5) If there are ineligible parts to the construction, then the engineering will also need to be divided into eligible vs ineligible on each invoice.
 - 6) If the recipient would like to claim reimbursement for engineering costs, a copy of the consultant agreement will need to be included with the first reimbursement request.
- ☐ **Plan/Specs Submittal:** Email one set of proposed bidding documents in pdf format (this includes check plans, bidding proposal, cost estimate, DOT or Local specifications, special provisions, and any other standard contract requirements) for review. The bid package shall include the [Targeted Small Business \(TSB\) Contract Provisions](#). Any modification of these plans and specifications must be approved by the DOT prior to the modification being put into effect.
 - Include a detailed cost estimate and indicate the anticipated letting date. Refer to the project agreement regarding when the submittal is to be made.
 - We require at least 30 days for review though you may receive comments and concurrence earlier. Project cannot advertise until our comments have been incorporated into the plans/specifications/bid documents.
 - Bid item descriptions and quantities need to match between the plans, cost estimate, and specifications/bid package. If they don't, the project engineer will have to go back and make corrections.
 - The plans/specs shall have divisions if there are ineligible items. Divisions are also required for RISE

projects that use County and City grant funds and/or Immediate Opportunity and Local Development funds. It will need to be divided so it is clear what the division items are. The contractor may bid on an item as a whole but the division will need to be indicated in columns. The separation will also need to be noted on each engineering invoice. Failure to comply could delay the final concurrence to advertise.

- For Projects including Sidewalks, ADA compliance is required.
 - S sheets contain sidewalk plan sheets and tabulations that show detailed information for sidewalk layouts that must comply with ADA laws. For more information, see Iowa DOT Design Manual section 1F-18. The S sheets need to contain the following items in the order listed:
 1. Sidewalk Sheet Legend and Symbol Information Sheet.
 2. Plan Sheets for Sidewalk Layouts.
 3. Tabulation of Sidewalk.
- SUDAS and Iowa DOT jointly developed this section based on the July 26, 2011 "Proposed Accessibility Guidelines for Pedestrian Facilities in the Public Right-of-Way." This section was developed in accordance with Federal regulations (23 CFR 652 and 28 CFR 35) and is the standard for use by all governmental entities in the State of Iowa. A local jurisdiction may elect to produce their own standards; however, these will require review and approval by FHWA and/or the United States Department of Justice. Where sidewalks are provided, they must be constructed so they are accessible to all potential users, including those with disabilities.
- If an existing pedestrian path is within the project limits, the contract documents must address how or if pedestrian access will be provided. The pedestrian paths may remain open, may be closed or may be detoured.
 - Remain Open: No special accommodations need to be made. Sometimes a statement is included in the contract documents stating the pedestrian path(s) are to remain open during construction.
 - Closed: Type II barricades meeting the requirements of NCHRP Report 350 must be installed that extends the full width of the closed pedestrian path. The top rail of the barricade is to be 36 to 42 inches above the pedestrian path surface. The top rail of the barricade is parallel to the bottom rail and situated to allow pedestrians to use the rail as a guide for their hands. The toe rail on the barricades must have minimum sight distance restrictions for road users. Per Section 2528.01A(10) of the Standard Specifications, the contractor must provide 10 calendar days advance notification of a pedestrian path closure to the Iowa Department of the Blind; the National Federation of the Blind of Iowa; and the Construction Monitoring Engineer.
 - Detoured: When crosswalks or other pedestrian facilities are closed or relocated, temporary facilities shall be detectable and shall include accessibility features consistent with the features present in the existing pedestrian facility. For more detail see Notes and Figure 6H.28 Sidewalk Detour or Diversion (TA-28) in the [2009 MUTCD](#), page 688-689.
- If the project involves through traffic lanes on a primary route: proposed extra work orders are to be submitted for review and concurrence prior to approval; working day reports are to be submitted; and materials inspection submittals are to be made to the District Materials Engineer at the DOT District Office for your area, in accordance with applicable Material's Instructional Memorandums.
- If the project involves a new or revised interchange access, refer to the DOT, Systems Planning Bureau, planning guide for further assistance and work with the appropriate District Engineering Office. The District Office will also need to give approval to proceed to ensure the permit is in place. See the [Interchange Justification](#) process for more information.
- If the project involves any roadway improvements to a primary route, current DOT specifications and bid items are to be used for all work that pertains to the primary route. Also, one set of proposed bidding documents needs to be provided to the appropriate District Engineering Operations Technician along with a request for a permit. The permit needs to be obtained prior to project letting. If the project affects a primary route, refer to the project agreement and fulfill all obligations regarding right of way activities (if a consultant will be performing the services, ensure they make the required submittals).
- If the project involves a roundabout, design peer reviews should be requested early in the design of the roundabout, as early as 35% design. Reviewing the design early in the design will result in being able to provide the best review of the design and early enough in the design to allow for changes to be implemented. Additional review can also be conducted in the follow-on stages of project design.

- **Final Plans/Spec submittal:** After addressing all review concerns/comments, submit a set of the final bidding documents and request DOT approval to let the project.
 - If affecting District ROW, include in the request for approval that the Work in ROW permit is completed or will be by the time of letting. Also include any written documentation that shows District Office has approved the final plans.
 - For ROW issues, in the request for approval, include that all needed right of way has already been

obtained or that physical possession will occur prior to the letting.

1) The Recipient shall acquire the project right of way, whether by lease, easement or fee title and shall provide relocation assistance benefits and payments in accordance with the procedures set forth in the DOT's Right of Way manual. The right of way will be acquired in accordance with 761 IAC Chapter 111, Real Property Acquisition and Relocation Assistance, and the Federal Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended. The DOT Right of Way Bureau can assist if additional guidance is needed. Their phone number is: 515-239-1216.

- The Recipient shall certify that all known required environmental permits have been received and that all environmental regulations have been complied. The DOT Location and Environment Bureau can assist if additional guidance is needed. Their phone number is: 515-239-1225.
- Include in your request to approve an updated timeline on when the project will advertise, letting/bid date and when the council/board anticipates awarding the contract.

The Recipient is required to get DOT concurrence prior to advertising for letting. If multiple offices/bureaus within the DOT are involved with the project, then the Recipient needs to acquire concurrence from all offices/bureaus before proceeding.

- ☐ **Addendums:** Submit any addendums that are issued to bidders prior to the letting. For larger changes, the Recipient/project engineer will need to contact DOT project contact for concurrence.
- ☐ **Pre-bid Meeting:** DOT recommends, the recipient request a pre-bid meeting and reiterate the importance of completing the TSB documentation correctly. Assist the bidders in locating the up-to-date [TSB directory](#) provided by the [Iowa Economic Development Authority](#). Additional guidance is included in the [Contact Provisions](#) as part of the RISE/SRT agreement. Submit a copy of the pre-bid meeting minutes.

The Recipient shall use positive efforts to solicit bids from and to utilize Targeted Small Business (TSB) enterprises as contractors and ensure that the contractors make positive efforts to utilize these enterprises as subcontractors, suppliers or participants in the work covered by this agreement. Efforts shall be made and documented in accordance with Exhibit E in the agreement.

LETTING AND CONSTRUCTION

- ☐ **Advertising/Letting:** The Recipient shall conduct the project development and implementation in compliance with applicable laws, ordinances and administrative rules. For portions of the project let to bid, the Recipient shall advertise for bidders at least two weeks prior to the letting (for TSB purposes), make a good faith effort to get at least three bidders and hold a public letting for the project work. Prior to awarding the contract, the Recipient shall provide the DOT electronic copies of project letting documents within five (5) working days after the letting. **The Recipient must wait for DOT concurrence before making the final award.**
- ☐ **Following the letting, submit a tabulation of bids along with all bidding documents (including the TSB documentation) from all bidders; inform us of the contracting authority's determination regarding the lowest responsive bid/bidder and request Iowa DOT concurrence to award the contract.**
- ☐ **Award Documents:** Following award of contract to the lowest responsive bidder, one copy of the fully executed construction contract, performance bond and the certificate of insurance will need to be submitted to the DOT project contact.
- ☐ **Pre-Construction Meeting:** While the DOT project contact will not be attending the pre-construction meeting, a copy of the preconstruction meeting minutes and attendees will need to be submitted. For projects within District ROW, the District Office should be contacted in case they would like to attend.
- ☐ **Project Inspection:** The recipient shall be responsible for the daily inspection of the project. For projects let to contract, the Recipient shall compile a daily log of materials and quantities. For projects constructed with local forces, the Recipient shall compile a daily log of materials, equipment and labor on the project.
- ☐ **Change Orders:** As long as the change orders are not due to change in scope, a copy of the fully executed change order can accompany reimbursement claims. If a change is related to work that changes the project scope of work in any way, please provide the change order request to the DOT project contact and they will

review and approve before authorizing you to proceed with the contractor. Please ask if there are any questions as to whether an added item would be participating or non-participating. Recipient is not required to use DOT change order form.

PROJECT CLOSEOUT

- ☐ **DOT Final Field Inspection:** Before the recipient accepts the project, contact the DOT project contact and schedule a time to conduct a site review of the project for any noncompliance measures. The DOT project contact will then get back to the Recipient with any issues, concerns or if everything is fine. If the project is within District ROW, the recipient shall also contact the district for a final inspection.
- ☐ **Project completion documentation:**
 - Complete and email [Form 640003](#) "Certificate of Completion and Final Acceptance of Agreement work". The form will need to be fully completed and fully signed then emailed to the LSB Grants Team. Note: for RISE projects, the field completion date is the date the roadway was open to traffic.
 - Complete and email [Form 260017](#) "Checklist and Certification for the Utilization of Targeted Small Businesses (TSB) on Non-Federal-aid Projects" It shall be completed by the Recipient, signed and emailed to the LSB Grants Team.
 - On RISE projects, email an electronic copy of the final "as-built" project plans before the final reimbursement request is made. On SRT projects, submit one set of final "as-built" project plans within six months after project is complete.
 - If there are any remaining change orders that have not been sent, they should be included at this time.
 - When submitting the final pay reimbursement request, all pay estimates with corresponding canceled checks will need to be included, even if the grant funds have already been expended.
- ☐ **RISE Monitoring Documentation:** The Recipient shall certify within three years of the date the RISE project is constructed and open to traffic any associated economic development which has resulted from the project, including infrastructure improvements, capital investment, and/or job creation. This certification by the Recipient is subject to audit by the DOT and the DOT has sole authority to determine whether the associated economic development has been consummated.
- ☐ **RISE Long Term Monitoring:** The DOT shall monitor the progress of the associated economic development following the construction of the RISE project for 20 years.