

Discretionary Grants The Administrative Process & Best Practices

FHWA Iowa Divisions & Iowa DOT Presentation to
Local Agencies – 3/20/2024

Purpose of this Webinar

We are here to communicate grant opportunities to you

We will cover the general overview of grant administration and the specific actions/details imbedded in the process

Ultimately, we want to give you our take on grant administration and be transparent with issues we have seen in the past that have caused delays and/or additional administrative work.



Agenda

- FHWA-IA High Level Overview of Grants
- Iowa DOT, Local Systems Bureau Overview
- How to Apply, Resources
- Grant Application
- Helpful Grant Reminders – Iowa DOT Perspective
- Grant Agreement
- Project Milestones – Iowa DOT Process
- Open Discussion



High Points of BIL Highway Provisions

- Funds highway programs at \$350.8 B for five years (FY 22-26)
- Created more than a dozen new highway programs, including—
 - Formula: resilience, carbon reduction, bridges, and electric vehicle (EV) charging infrastructure
 - Discretionary: bridges, EV charging infrastructure, rural projects, resilience, wildlife crossings, and reconnecting communities
- Focus on safety, bridges, climate change, resilience, and project delivery
- It created more opportunities for local governments and other nontraditional entities to access new funding



What is a Grant?

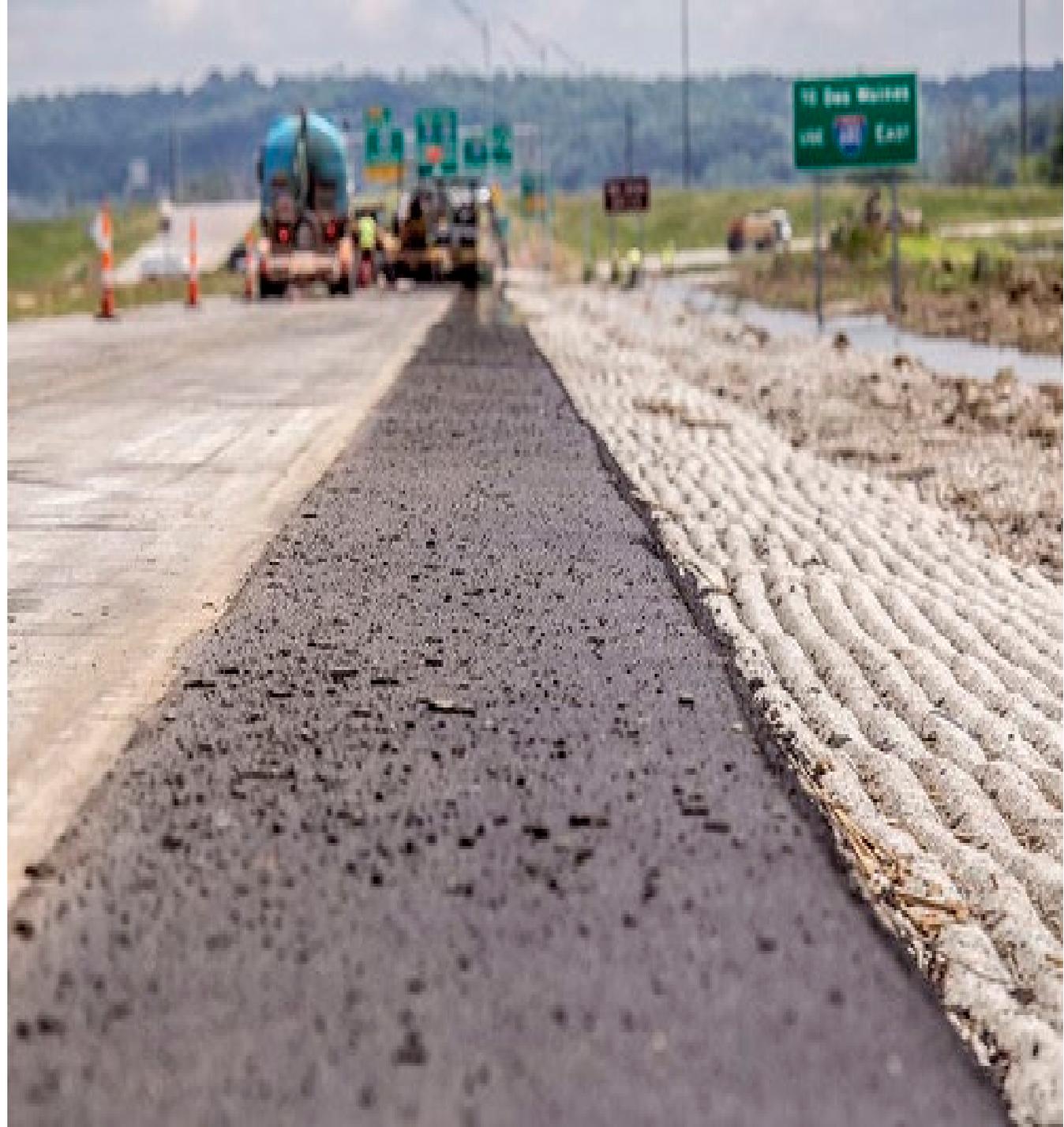
It's a type of Federal Award

Federal Award

Federal assistance that a Federal awarding agency provides to a non-Federal entity, and the documentation establishes the terms and conditions for a non-Federal entity's acceptance of funding.

Non-Federal entity

A State, local government, Indian tribe, institute of higher education, non-profit organization that carries out a Federal award as a recipient or subrecipient



FHWA decides upon the appropriate instrument for the Federal award:

Four instrument Types:

- 1. **Grant Agreement**
 - 2. Cooperative Agreement
 - 3. Contract
 - 4. Fixed Amount Award
- A **cooperative agreement** requires substantial involvement in carrying out the activity of the award
 - A **Fixed Amount Award** be used in programs which require a mandatory cost sharing or match. A Fixed Amount Award may not reflect actual costs incurred.
 - A **contract** is an instrument by which a non-Federal entity purchases property, or services needed to carry out the project or program under the Federal award

A **Grant Agreement** means a legal instrument reflecting a relationship between an awarding agency and a recipient or subrecipient when the principal purpose of the relationship is to transfer a thing of value to the recipient or subrecipient to carry out a public purpose of support or stimulation authorized by a law instead of acquiring (by purchase, lease, or barter) property or services for the direct benefit or use of the awarding agency

23 CFR 420.103

Formula (Apportionment)
vs
Discretionary (Allocation)



Formula Programs

NHPP	PL
STBG	NHFP
TA	CRP
HSIP	PROTECT
Rail-Hwy	BRIDGE
CMAQ	

- Distributed by formula specified in law
- All States are recipients
- States select projects and choose how funds are administered



Discretionary Grant Programs

OJT/SS, NSTI,
Workforce

RAISE, INFRA

Safe Streets

BRIDGE

Wildlife Crossings

PROTECT

EV

Congestion Relief

FLTP/FLAP/TTP

- Distributed throughout the year
- Application Process
- Competitive Awards
- Funds are for specific purpose and may not be used for other purposes/projects without prior authorization

Nicole Moore

Iowa DOT

STEWARDSHIP AND OVERSIGHT AGREEMENT ON PROJECT ASSUMPTION AND PROGRAM OVERSIGHT BY AND BETWEEN FEDERAL HIGHWAY ADMINISTRATION, IOWA DIVISION AND THE IOWA DEPARTMENT OF TRANSPORTATION

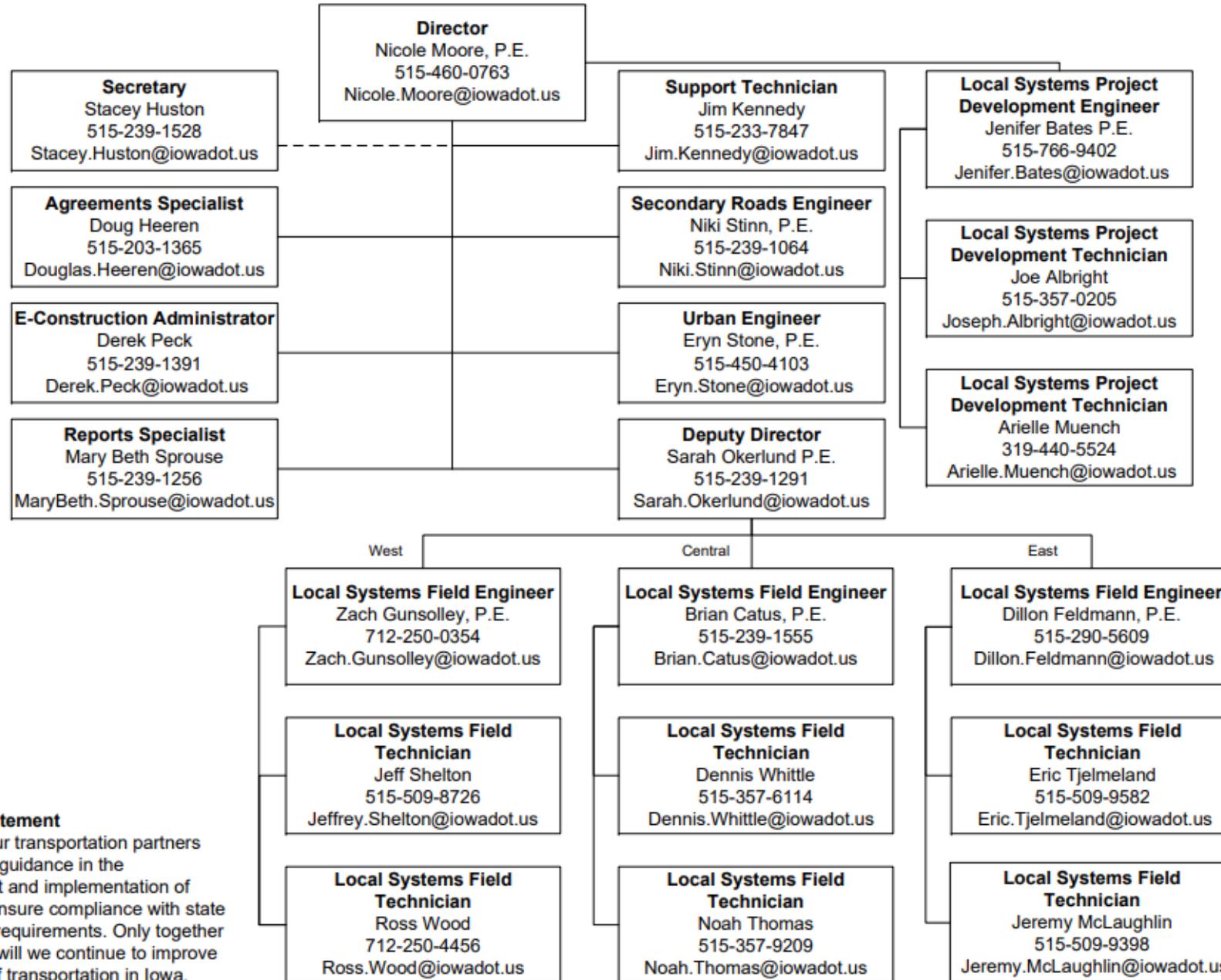
Stewardship/Oversight agreement

- Section 106 of Title 23, US CFR, requires that the Federal Highway Administration (FHWA) and each State enter into an agreement documenting the extent to which the State assumes the responsibility of FHWA under Title 23. The Stewardship/Oversight Agreement formalizes these delegated responsibilities and agreements to address how the Federal-aid highway program will be administered in the State.
- Last Updated in 2015, currently being updated:
 - <https://www.fhwa.dot.gov/federalaid/stewardship/agreements/ia.pdf>
- 114 Pages

Local Systems Bureau

December 11, 2023

Organization Chart



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. Only together can we and will we continue to improve the quality of transportation in Iowa.

LOCAL SYSTEMS REGIONS



**Regional Technician
Boundary Line**

ENTIRE STATE



**Local Systems Project
Development Engineer**
Jenifer Bates, P.E.
jenifer.bates@iowadot.us
515-766-9402

WEST



**Local Systems Field Engineer
West Region**
Zach Gunsolley, P.E.
zach.gunsolley@iowadot.us
712-250-0354

CENTRAL



**Local Systems Field Engineer
Central Region**
Brian Catus, P.E.
brian.catus@iowadot.us
515-239-1555

EAST



**Local Systems Field Engineer
East Region**
Dillon Feldmann, P.E.
dillon.feldmann@iowadot.us
515-290-5609

Local Systems Website

Just Google "Iowa DOT Local Systems"

- Design updated earlier this year
- https://iowadot.gov/local_systems/
- IIJA Information
- Contact Us
 - Phone numbers
- Contact Local Partners
- I.M.s
- Local Systems Emails
- Trainings & Videos
- Pre- & Post-Letting Resources
- Bid & Quote Thresholds
- City Reports and Funding
- Street Finance Report (SFR)
- Equipment Rates
- Maps
- Emergency Relief (ER) Program

The screenshot shows the homepage of the Iowa DOT Local Systems website. At the top is a banner image of a road with the text "LOCAL SYSTEMS" overlaid. Below the banner is a navigation menu on the left with items like "LOCAL SYSTEMS HOME", "IIJA INFORMATION", "CONTACT US", "CONTACT LOCAL/FEDERAL PARTNERS", "INSTRUCTIONAL MEMORANDUMS AND FEDERAL-AID GUIDE", "LOCAL SYSTEMS EMAILS", "TRAININGS & VIDEOS", "PRE-LETTING RESOURCES", "POST-LETTING RESOURCES", "COUNTY REPORTS, FUNDING, RESOURCES", "CITY REPORTS, FUNDING AND RESOURCES", "BID AND QUOTE THRESHOLDS", and "BRIDGE INFORMATION & RESOURCES". The main content area is divided into three columns. The first column has a "IIJA INFORMATION" section with a blue header, a paragraph about the Infrastructure Investment and Jobs Act (IIJA) signed into law on Nov. 15, 2021, and a "VIEW IIJA INFORMATION" button. The second column has a "GET NOTIFIED" section with an orange header, a "Subscribe to Local Systems emails. See our lists." message, a "SUBSCRIBE" button, and an envelope icon. The third column has a "CONTACT US" section with a green header, a "QUESTIONS? Call 515-239-1528" message, a "Local Systems Staff" link, and a list of links: "Organization chart", "Regions Map", "Iowa DOT utility coordination contacts", "District contact information", and "Right of Way Bureau Local Public Agency Coordinators". At the bottom of the page is a mission statement: "Our mission is to work with our transportation partners and provide guidance in the development and implementation of projects to ensure compliance with state and federal requirements. Only together can we and will we continue to improve the quality of transportation in Iowa."

Local Systems Training Federal-aid Overview Seminars

- **2024 – completed!** (Central, Eastern, Western Region locations)
- These are typically hosted in the winter – stay tuned for information on winter 2025 trainings.
- Who should attend? Cities, counties, consultants, MPO, RPA, others
- Any entity considering applying for a grant
- Any entity already awarded a grant

https://iowadot.gov/local_systems/Trainings-Videos

Written Guidance

https://iowadot.gov/local_systems/im/lpa-ims

LOCAL SYSTEMS HOME

IIJA INFORMATION

CONTACT US

▶ CONTACT LOCAL/FEDERAL PARTNERS

INSTRUCTIONAL MEMORANDUMS AND FEDERAL-AID GUIDE

I.M. TABLE OF CONTENTS

LOCAL SYSTEMS EMAILS

TRAININGS & VIDEOS

PRE-LETTING RESOURCES

▶ POST-LETTING RESOURCES

▶ COUNTY REPORTS, FUNDING, RESOURCES

▶ CITY REPORTS, FUNDING AND RESOURCES

BID AND QUOTE THRESHOLDS

BRIDGE INFORMATION & RESOURCES

EQUIPMENT RATES

MAPS

FHWA EMERGENCY RELIEF PROGRAM

INSTRUCTIONAL MEMORANDUMS & FEDERAL-AID GUIDE

FEDERAL-AID PROJECT DEVELOPMENT GUIDE FOR LOCAL PUBLIC AGENCIES

The Federal-Aid Project Development Guide for Local Public Agencies, referred to hereinafter as the Federal-aid Guide, provides a concise summary of information and instructions for local public agency (LPA) staff and consultants involved in the planning, development and construction of LPA federal-aid transportation projects. Where appropriate, the Federal-aid Guide references the I.M.s and other documents for more detailed information and instructions.

[Federal-Aid Project Development Guide for Local Public Agencies](#)

NON-FEDERAL-AID PROJECT DEVELOPMENT GUIDE FOR LOCAL PUBLIC AGENCIES

The Non-Federal-Aid Project Development Guide for Local Public Agencies, referred to hereinafter as the Non-Federal-aid Guide, provides a concise summary of information and instructions for local public agency (LPA) staff and consultants involved in the planning, development and construction of LPA non-federal-aid transportation projects. Where appropriate, the Non-Federal-aid Guide references the I.M.s and other documents for more detailed information and instructions.

[Non-Federal-Aid Project Development Guide for Local Public Agencies](#)

SEARCH INSTRUCTIONAL MEMORANDUMS (IMS)

Type in a key word to search. If searching multiple words or a phrase, use quotes to get the specific phrase search results. For example, "contractor furnished borrow."

WHAT CAN WE HELP YOU FIND?

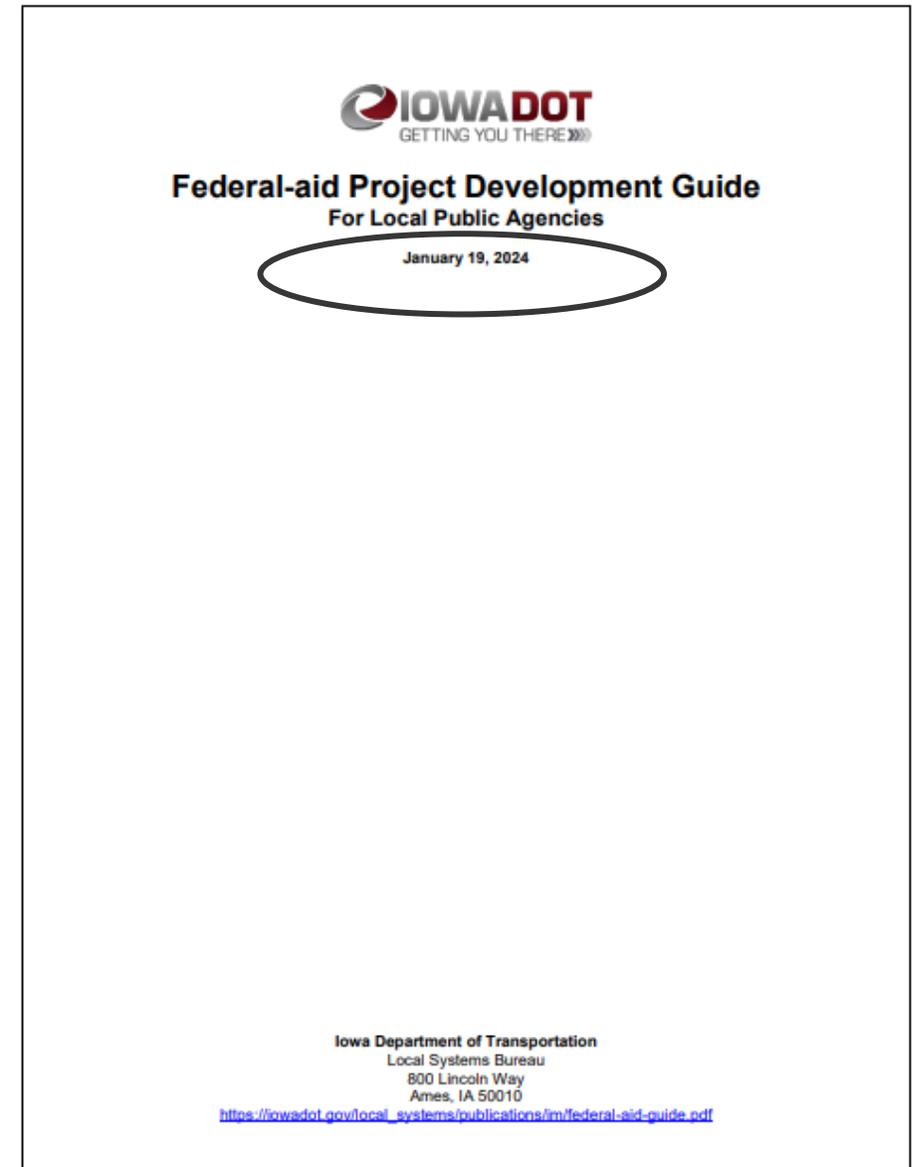


INSTRUCTIONAL MEMORANDUMS

The IMS provide assistance to LPAs on a wide variety of transportation-related topics. Some IMs supplement the Guide by providing more detailed information or instructions that are applicable to federal-aid transportation projects. Other IMs are applicable to state or locally funded projects. Still others are applicable to all types of projects. If the applicability of an IM is limited by funding or other considerations, this is explained in the "Contents" section at the beginning of the IM.

Written Guidance

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



Written Guidance

https://iowadot.gov/local_systems/im/lpa-ims

LOCAL SYSTEMS HOME

IJA INFORMATION

CONTACT US

▶ CONTACT LOCAL/FEDERAL PARTNERS

INSTRUCTIONAL MEMORANDUMS AND FEDERAL-AID GUIDE

I.M. TABLE OF CONTENTS

LOCAL SYSTEMS EMAILS

TRAININGS & VIDEOS

PRE-LETTING RESOURCES

▶ POST-LETTING RESOURCES

▶ COUNTY REPORTS, FUNDING, RESOURCES

▶ CITY REPORTS, FUNDING AND RESOURCES

BID AND QUOTE THRESHOLDS

BRIDGE INFORMATION & RESOURCES

EQUIPMENT RATES

MAPS

FHWA EMERGENCY RELIEF PROGRAM

INSTRUCTIONAL MEMORANDUMS & FEDERAL-AID GUIDE

FEDERAL-AID PROJECT DEVELOPMENT GUIDE FOR LOCAL PUBLIC AGENCIES

The Federal-Aid Project Development Guide for Local Public Agencies, referred to hereinafter as the Federal-aid Guide, provides a concise summary of information and instructions for local public agency (LPA) staff and consultants involved in the planning, development and construction of LPA federal-aid transportation projects. Where appropriate, the Federal-aid Guide references the I.M.s and other documents for more detailed information and instructions.

[Federal-Aid Project Development Guide for Local Public Agencies.](#)

NON-FEDERAL-AID PROJECT DEVELOPMENT GUIDE FOR LOCAL PUBLIC AGENCIES

The Non-Federal-Aid Project Development Guide for Local Public Agencies, referred to hereinafter as the Non-Federal-aid Guide, provides a concise summary of information and instructions for local public agency (LPA) staff and consultants involved in the planning, development and construction of LPA non-federal-aid transportation projects. Where appropriate, the Non-Federal-aid Guide references the I.M.s and other documents for more detailed information and instructions.

[Non-Federal-Aid Project Development Guide for Local Public Agencies.](#)

SEARCH INSTRUCTIONAL MEMORANDUMS (IMS)

Type in a key word to search. If searching multiple words or a phrase, use quotes to get the specific phrase search results. For example, "contractor furnished borrow."

WHAT CAN WE HELP YOU FIND?

INSTRUCTIONAL MEMORANDUMS

The IMs provide assistance to LPAs on a wide variety of transportation-related topics. Some IMs supplement the Guide by providing more detailed information or instructions that are applicable to federal-aid transportation projects. Other IMs are applicable to state or locally funded projects. Still others are applicable to all types of projects. If the applicability of an IM is limited by funding or other considerations, this is explained in the "Contents" section at the beginning of the IM.



Written Guidance

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

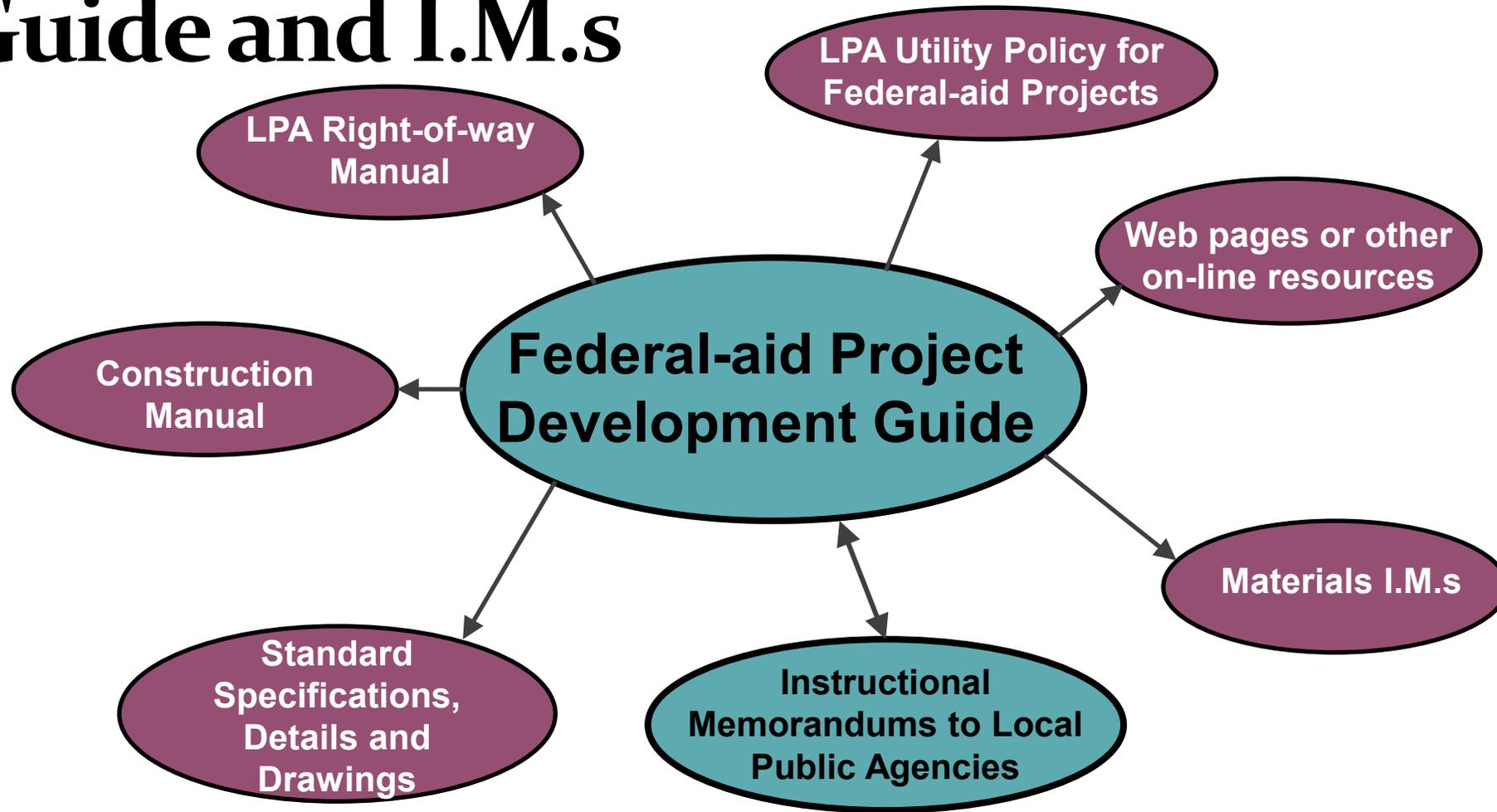
Instructional Memorandums to Local Public Agencies Table of Contents

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 (Federal-aid Guide). These I.M.s are marked with an asterisk (*). For more information about the relationship between the [Federal-aid Guide](#), the [Non-Federal-aid 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. 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				
1.000	Iowa DOT Oversight of LPA Projects	January 19, 2024	All	Both
	Attachment A - Project Submittal Table for Each Funding Type	June 15, 2021	All	Both
	Attachment B – Administering Bureau Responsibilities Flowchart	June 15, 2021	All	Both
1.010	Acronym List	December 31, 2019	All	Both
1.020	References to the Iowa Code	August 7, 2020	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				
1.100*	Highway Bridge Programs for Cities and Counties	February 10, 2023	All	Both
	Attachment A – City Bridge Priority Point Rating Worksheet (Word)	February 10, 2023	F.A.	Cities
	Attachment B – County Bridge Priority Point Rating Worksheet (Word)	November 4, 2022	All	Counties
	Attachment C – Touchdown Points and Limits of Participation	July 18, 2011	F.A.	Both
	Attachment D – County HBP Fiscal Constraint Requirements	July 18, 2011	F.A.	Counties
1.150	Federal-aid Swap Program	February 10, 2023	Swap	Both
	Attachment A - Federal-aid Swap Policy Approved by the Iowa DOT Commission	November 4, 2022	Swap	Both

Relationship between the Guide and I.M.s



John Gibson

FHWA Iowa



Discretionary Grant
Resources
“How Do I get Started?”

US DOT Grants

The U.S. Department of Transportation provides grants to help build up and maintain a fast, safe, efficient, accessible, and convenient transportation system for the American people, today and into the future



DOT Navigator

The [DOT Navigator](#) is a resource to help communities understand the best ways to apply for grants, and to plan for and deliver transformative infrastructure projects and services. This is an excellent site for “all thing grants” especially Technical Assistance resources, including access to several recent webinars highlighting new toolkits, guidance etc.



DOT Discretionary Grants Dashboard

The [DOT Discretionary Grants Dashboard](#) * provides communities with an overview of discretionary grant opportunities that can help meet their transportation infrastructure needs.

The Dashboard also includes Federal grant programs outside of DOT that may be of particular interest to [rural communities](#). The [Rural Opportunities to Use Transportation for Economic Success \(ROUTES\)](#) Initiative and an updated [Rural Grant Applicant Toolkit](#) was recently published to help rural communities harness the Dashboard. The Dashboard is updated weekly.



Calendar of Key Notice of Funding Opportunities (NOFO)

In order to provide stakeholders with more visibility into upcoming funding opportunities, DOT publishes a list of anticipated dates for upcoming NOFOs for key programs within the BIL and the Inflation Reduction Act (IRA).



BIL Launchpad

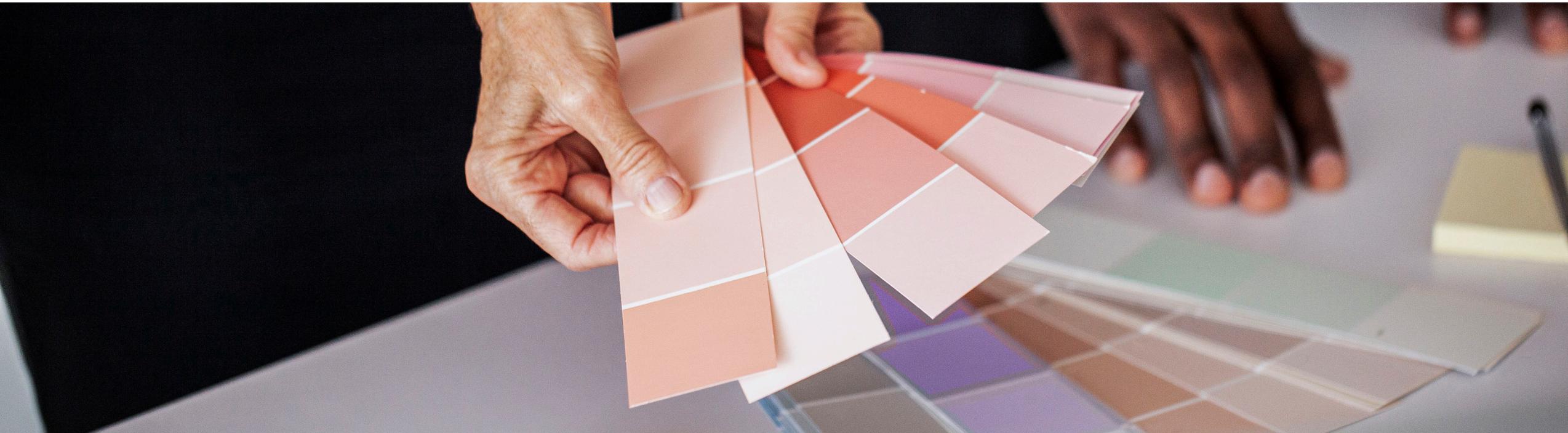
The Bipartisan Infrastructure Law (BIL) offers unprecedented opportunities for local governments and communities to secure competitive federal grants and modernize America's infrastructure.

To help navigate transportation grant programs and expedite applications, the [BIL Launchpad](#) provides customized information on available funding, interactive technical support, data on successful awards, and essential resources.



Other Resources-FHWA Competitive Grant Funding Matrix

The United States Department of Transportation (USDOT) and FHWA have a variety of competitive grant programs used to fund various types of transportation projects and activities. The [Competitive Grant Funding Matrix](#) illustrates these programs broadly, organized by applicant type. Potential applicants should refer to the applicable column in the matrix. The matrix lists grant programs (rows), which can be matched with the potential applicant (columns) the program can fund



Other Resources-DOT Navigator Email List

Click this [link](#) to join the listserv or visit the [USDOT Navigator](#) to find information and resources on applying for USDOT grants and planning for and delivering transformative infrastructure projects and services. **Example of listserv email:**

Gibson, Johnnie (FHWA)

From: Department of Transportation <usdot@info.dot.gov>
Sent: Monday, March 4, 2024 2:42 PM
To: Gibson, Johnnie (FHWA)
Subject: USDOT Navigator – March Biweekly Bulletin

Having trouble viewing this email? [View it as a Web page.](#)



United States
Department of Transportation

USDOT Technical Assistance Spotlight

- DOT's new [Transportation Data and Equity Hub](#) provides tools, metrics, and data to analyze communities' access to the transportation they need, and the challenges they face. Users can [explore the data](#) as well as [maps and other visualizations of the data](#) on a range of equity-related topics. [Learn more about how to use the hub.](#) For help accessing other federal data and mapping tools to help develop transformative transportation projects and write compelling grant applications, visit the [DOT Navigator Data and Mapping tools](#)
- DOT released a new report on [Best Practices to Expand Access to Jobs and Economic Opportunity Through Transportation Infrastructure Investments](#). The report includes detailed recommendations on how state and local transportation agencies can expand access to jobs and opportunity for several underrepresented groups including women, young people, justice-involved, and people of color. It also explains how DOT has been successful in getting more transportation agencies to include workforce plans for their projects and to make use of tools such as local and economic hiring preferences. Visit DOT's [Office of Small and Disadvantaged Business Utilization \(OSDBU\)](#) and the [Federal Transit Administration \(FTA\)'s Workforce Development Initiative](#) to find additional workforce development technical assistance resources.
- The [Joint Office of Energy and Transportation \(Joint Office\)](#) is hosting a webinar tomorrow, March 5 at 2:00-3:00 p.m. ET to discuss workforce training programs, job creation, and local and economic hiring preferences in the transition to electrified transportation. Workforce development experts across the federal government will provide updates on new resources that are available to stakeholders, including web content from the Joint Office, updates on funded projects from the Ride and Drive Electric Funding Opportunity, and resources across the U.S. Department of Energy (DOE) and DOT. [Register here to attend.](#)
- [Recordings from the Federal Highway Administration \(FHWA\)'s Equity in Roadway Safety 2023 webinar series](#) are now available! 2023 webinars focused on elevating equity and safety in project prioritization and equitable safety data analysis. You can also [register now for the 2024 Equity in Roadway Safety webinar series](#). These webinars

Tips for Success

In preparing your application for any Discretionary Grant program, be sure to read the specific NOFO and related program materials to ensure your project and organization are eligible and you are meeting other program/application requirements. General information to help prepare for DOT applications can also be found on the DOT Navigator, including [the Discretionary Grant Preparation Checklist for Prospective Applicants.](#)



Tips for a Successful Application

1. Verify Eligibility
2. Submit All Required Materials
3. Write a Compelling Narrative
4. Comply with Regulations
5. Communicate Impact
6. Demonstrate Commitment and Accountability
7. Demonstrate Stewardship of Federal Funds
8. Ensure Feasibility of Project Delivery



Andrew Zimmerman

FHWA Iowa

Lessons Learned from Past Grant Projects

“Ducks in a row”



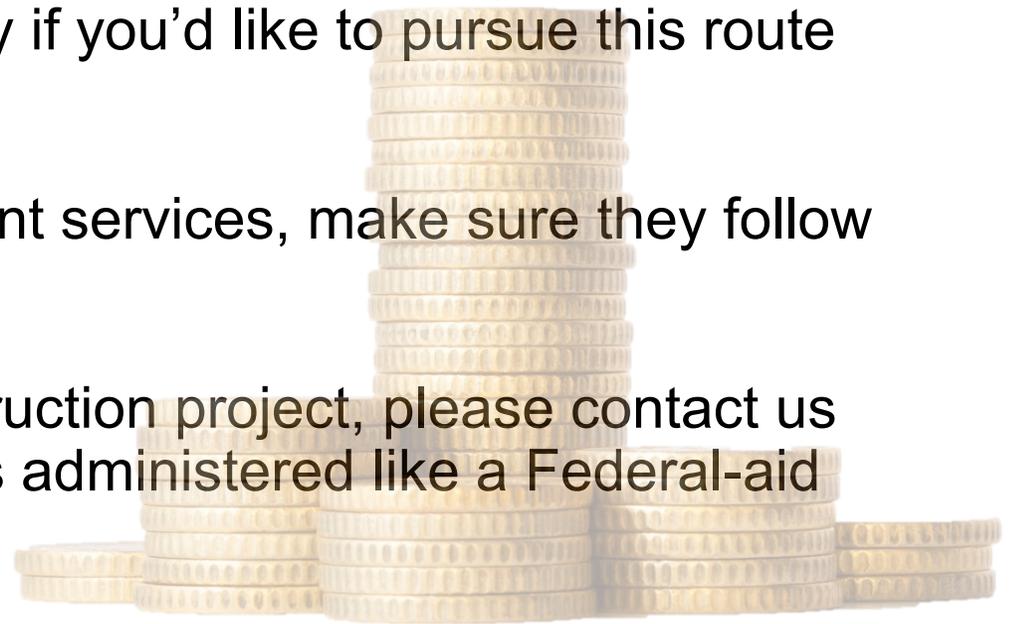
Grant Application Foresight



- Clearly state the number of lettings the project will have.
- For administrative ease have your grant funds in construction (if possible). If you have PE/ROW included in your application, use your local funds for that.
- Make sure your timeline for items like NEPA, ROW, and Letting are reasonable. We don't want the grant agreement development to be the critical path item.
- The more changes or differences there are from your grant application to your grant agreement the more time it will take to get your grant agreement approved.

Project Funding – Scope of Eligibility.

- Identify all funding types in your application, Local, State, Federal, and Others.
- Your local funds will only count towards your match if they are incurred after the project has been authorized in FMIS.
- Advanced Construction is an authorization method to start incurring cost before the grant agreement is finalized. Talk to us early if you'd like to pursue this route as there are some risk involved.
- If you would like to use grant funds for consultant services, make sure they follow 23 CFR 172 or LSB I.M. 3.310.
- If your grant is being applied to an active construction project, please contact us early and we can verify that the active project is administered like a Federal-aid project.



Nicole Moore

Iowa DOT

Federal-aid Formula funds vs Grants



U.S. Department of Transportation



Federal-aid Formula Funds:

- STBG
- HBP (County & City)
- TAP
- ICAAP
- HSIP-Local

- These Federal Funds are distributed through pre-established formulas to the various states and then to the Cities and Counties through Iowa-defined processes. Local Systems I.M.'s and the Stewardship and Oversight Agreement governs processes and procedures with Iowa DOT acting as the “pass through” with oversight responsibilities. Funding Agreements from Field Engineer.
- Local Systems workload has drastically increased with additional Federal-aid Formula Funds, plus grants and Congressional Directed Spending.

Federal-aid Formula funds vs Grants



“Grant Specific Requirements”:

Federal-aid Grants:

- TIGER/BUILD/RAISE
- BIP
- SS4A
- INFRA
- Many more...

All discretionary grants are application based, unique, and come with additional strings (reporting and such) above and beyond typical formula funded Federal-aid projects. Read the Notice of Funding Opportunity (NOFO) carefully. **Those additional strings become the grant recipient’s responsibility.**

Grant awards are based on grant applications. Grant agreements mimic the application, including proposed funding set-ups, schedule, and outcomes. Grant agreements are between the grant recipient and FHWA. In many cases, Iowa DOT can serve as a pass-through agency. When this happens, you shall follow standard Iowa DOT Federal-aid guidance in addition to any other grant specific requirements.

Federal-aid Grant Application Reminders

“Non-Federal match” or **“local match”** included in a grant application becomes **federalized** and **must follow Federal-aid procedures**.

- This includes following I.M. 3.310, Federal-aid Participation in Consultant Costs, NEPA, Buy America, and Davis Bacon Wages
- **Plan 6-12+ months until costs can begin being incurred after grant award notification**
- Be mindful of Federal-aid programs and whether you’re committing these funds for your grant:
 - County and City Bridge programs = Federal-aid
 - STBG to Counties = Federal-aid
 - STBG to Cities through MPO or TMA = Federal-aid
 - STBG to Cities through RPA = Federal-aid Swap
- The above listed funds are to be used for **Construction only**.



[Apply for DOT Grants](#)

Resources to help understand the federal grant-making process and key federal requirements

[FHWA Grant Navigator](#)

Federal-aid Grant Application

Examples

- If Preliminary Engineering (PE) or Construction Engineering (CE) services are included within a RAISE application as a “local match”, regardless of the funding source, the full federal-aid RFP process including DBE shall be followed. See I.M. 3.310, Federal-aid Participation in Consultant Costs for additional details.
- If you propose 2 construction projects in the same RAISE application – one funded with a “local match”, and the other with the Federal-aid, both projects must be developed as Federal-aid projects per the Federal-aid Guide.
 - In these examples, for costs to be eligible as the “local match” they must also be authorized by FHWA before incurring costs.
 - Hence, **be prepared for a 6-12+ month delay after grant award notification before incurring costs on any activities utilized within the grant application. PE in particular.**
 - If you mention a local funded element/phase in the write-up that should NOT be considered part of the grant application “local match”, be sure to clearly state that.

Federal-aid Grant Application tips

- Carefully and fully read Notice of Funding Opportunities (NOF)
 - Grant Closing Date for Applications
 - Award Ceiling & Floor
 - Eligible Applicants & Uses
 - Cost Sharing or Match Requirements
 - Grant Requirements and Considerations
 - Grant Obligation and Expenditure Deadlines
- Utilize your resources ([FHWA Grant Navigator](#) & [Local Systems IJA Information](#))
- Subscribe to www.GRANTS.gov for opportunity updates
- Reach out to others who have been successful



Find Technical Assistance Resources

Resources available to public agencies and other transportation stakeholders

Federal-aid Grant Application tips

- Be careful which phases of a project you include within the application
 - Consider including only Construction phases so design can begin before the grant agreement is signed
 - If only including Planning or a Study, the RFP process can only consider planning services.
- Be mindful of the number of phases and/or project lettings you include within the application
 - All phases must be designed and obligated by the grant obligation deadline.
 - All grant expenditures, regardless of phase, must be expended by the grant expenditure deadline.
- Keep funding as simple and clean as possible
 - The more complicated the funding, the more complicated your plan divisions will be.
 - Other Federal funds and their required match can not be used as part of your “local match”.
- Attend Federal-aid Overview Seminar training &/or hire an experienced Team

Grant Coordination with Iowa DOT

- Coordinate with Iowa DOT on Interstates and Primary Highways
 - Reach out to your District Engineer
- The LPA can choose to be a direct recipient or request to be a “pass-through” with the Iowa DOT.
- Iowa DOT reserves the right to decline the request to be a “pass-through”
- For Letters of Support – contact Stu Anderson at stuart.anderson@iowadot.us
 - With your request, please include a summary of the proposed project details, map, lead agency applying for and administering the grant, and the specific grant application you are applying for.
 - Allow up to **5** business days for review and processing.



Pass-through vs. direct recipient

- Pass-Through
 - LPA may request Iowa DOT to be a pass-through
 - LPA must utilize Iowa DOT's Federal-aid Guide and I.M.s
 - These have been reviewed and approved by FHWA Iowa Division
 - They already follow applicable Federal regulations
- Direct Recipient
 - LPA may decide to be a Direct Recipient
 - LPA must develop procedures for each process
 - Procedures must follow all applicable Federal regulations

Andrew Zimmerman

FHWA Iowa

Grant Agreement Development

- Send in a rough draft of your grant agreement early, even if it's incomplete.
- Any questions you have can be addressed through the grant agreement review process, you'll then have documented answers from FHWA HQ and OST about your project.
- Remember if your project cost fluctuate your local funds committed can not go down and your grant funds can not go up.
- Grants have been approved faster in recent rounds, but still plan on 6-12 months from: notice of selection, to: FMIS authorization.

Grant Agreement Development

Grant Definitions vs. Normal Definitions

Grant Terms	Interpretation	Notes:
Obligation Deadline	Grant funds need to be authorized in FMIS before this date given in the NOFO	Signed by Iowa DOT Contracts and FHWA Iowa Division
Expenditure Deadline	Cost will not be reimbursable after this date given in the NOFO	Last day any funds can be expended or paid out from FMIS. NOT-Cost must be incurred by that date
Budget Period End Date	Equivalent to the Project End Date (PED) <u>for just the grant funds.</u>	
Period of Performance	Time period from Obligation date to PED	Time when Federal-aid eligible costs can occur, and regular reports are submitted
Baseline Report Date	The date you plan to submit you're your initial performance measures to FHWA	

Grant Agreement Development

- Timeline:
 - Recipient is notified that they have been selected for the grant
 - FHWA Iowa Division will schedule a kickoff meeting to discuss initial steps
 - The Grant Agreement template becomes available and is sent to the recipient
 - FHWA HQ schedules a webinar to discuss the grant process with the recipient
 - The recipient submits their first draft of the grant agreement to Iowa DOT/FHWA
 - The grant goes to Iowa DOT -> FHWA Iowa Div. -> FHWA HQ -> OST (1 cycle).
 - The number of cycles the grant goes through depends on the complexity of the project and/or edits needed in between



Nicole Moore

Iowa DOT

Major Project Milestones

Programming

FHWA Grant Agreement

Funding agreement with Iowa DOT

Concept Statement

Preliminary Plans

NEPA Clearance

Check Plans

ROW Purchasing

Final Plans

Construction

Project Development I.M.

3.010

- **MINIMUM** timeframe of 1 year – that is for a project that is not complicated.
- Consider potential complications:
 - NEPA
 - Other Permits
 - Railroad
 - Utilities
 - ROW timelines

Project Development Critical Path Dates						
Federal-aid and Non-Federal-aid Major and Minor Type Projects						
Federal-aid/Primary Projects			All Projects			
Concept Statement		Preliminary Plans	Check Plans	Final Plans, PDC, All other Req'd Docs	Letting Date	Year
Major (1 year)	Minor (9 months)					
01/17/23	07/18/23	07/18/23	09/05/23	10/17/23	01/17/24	2024
02/21/23	08/15/23	08/15/23	10/03/23	11/21/23	02/20/24	
03/21/23	09/19/23	09/19/23	11/07/23	12/19/23	03/19/24	
04/18/23	10/17/23	10/17/23	12/05/23	01/16/24	04/16/24	
05/16/23	11/21/23	11/21/23	01/02/24	02/20/24	05/21/24	
06/20/23	12/19/23	12/19/23	02/06/24	03/19/24	06/18/24	
07/18/23	01/16/24	01/16/24	03/05/24	04/16/24	07/16/24	
08/15/23	02/20/24	02/20/24	04/02/24	05/21/24	08/20/24	
09/19/23	2/20/24*	03/19/24	05/07/24	06/18/24	09/17/24	
10/17/23	2/20/24*	04/16/24	06/04/24	07/16/24	10/15/24	
11/21/23	02/20/24	05/21/24	07/02/24	08/20/24	11/19/24	
12/19/23	03/19/24	06/18/24	08/06/24	09/17/24	12/17/24	
01/16/24	04/16/24	07/16/24	09/03/24	10/15/24	01/22/25	2025
02/20/24	05/21/24	08/20/24	10/01/24	11/19/24	02/18/25	
03/19/24	06/18/24	09/17/24	11/05/24	12/17/24	03/18/25	
04/16/24	07/16/24	10/15/24	12/03/24	01/21/25	04/15/25	
05/21/24	08/20/24	11/19/24	01/07/25	02/18/25	05/20/25	
06/18/24	09/17/24	12/17/24	02/04/25	03/18/25	06/17/25	
07/16/24	10/15/24	01/21/25	03/04/25	04/15/25	07/15/25	
08/20/24	11/19/24	02/18/25	04/01/25	05/20/25	08/19/25	
09/17/24	12/17/24	03/18/25	05/06/25	06/17/25	09/16/25	
10/15/24	01/21/25	04/15/25	06/03/25	07/15/25	10/21/25	
11/19/24	02/18/25	05/20/25	07/01/25	08/19/25	11/18/25	
12/17/24	03/18/25	06/17/25	08/05/25	09/16/25	12/16/25	

*Transition from a 6-month to 9-month schedule.

Other related Project Development Procedures & I.M.s

- Federal-aid Participation in Consultant Costs
- Concept Statement
- Preliminary Design Plans
- NEPA Clearance (and related Environmental Clearances)
- Other Permits
- Final Design
- ROW Purchasing
- Check Plans (Final Plans that we are checking)
- Final Plans

Andrew Zimmerman

FHWA Iowa

Last Slide!!

Appreciation



It takes a Village...

- The Iowa DOT LSB does not have to act as a pass-through grant recipient and can defer your grant to be a direct recipient with FHWA. Direct requires more review and more documentation.
- This pass-through process makes the project very similar to a normal federal aid project. Familiarity = less stress
- Thank your LSB and the regional engineers that help administer your grant agreement and project!

Questions... ?

**Your Perspective
Advise to Others**