

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

SECTION I. BACKGROUND AND INTRODUCTION

The Federal-aid Highway Program (FAHP) is a federally-assisted program of State-selected projects. The Federal Highway Administration (FHWA) and the State Departments of Transportation have long worked as partners to deliver the FAHP in accordance with Federal requirements. In enacting 23 U.S.C. 106(c), as amended, Congress recognized the need to give the States more authority to carry out project responsibilities traditionally handled by FHWA. Congress also recognized the importance of a risk-based approach to FHWA oversight of the FAHP, establishing requirements in 23 U.S.C. 106(g). This Stewardship and Oversight (S&O) Agreement sets forth the agreement between the FHWA and the Iowa Department of Transportation (State DOT) on the roles and responsibilities of the FHWA and the State DOT with respect to Title 23 project approvals and related responsibilities, and FAHP oversight activities.

The scope of FHWA responsibilities, and the legal authority for State DOT assumption of FHWA responsibilities, developed over time. The U.S. Secretary of Transportation delegated responsibility to the Administrator of the FHWA for the FAHP under Title 23 of the United States Code, and associated laws. (49 CFR 1.84 and 1.85) The following legislation further outlines FHWA's responsibilities:

- Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991;
- Transportation Equity Act for the 21st Century (TEA-21) of 1998;
- Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) of 2005; and
- Moving Ahead for Progress in the 21st Century Act (MAP-21) of 2012 (P.L. 112-141).

The FHWA may not assign or delegate its decision-making authority to a State Department of Transportation unless authorized by law. Section 106 of Title 23, United States Code (Section 106), authorizes the State to assume specific project approvals. For projects that receive funding under Title 23, U.S.C., and are on the National Highway System (NHS) including projects on the Interstate System, the State may assume the responsibilities of the Secretary of the U.S. Department of Transportation under Title 23 for design, plans, specifications, estimates, contract awards, and inspections with respect to the projects unless the Secretary determines that the assumption is not appropriate. (23 U.S.C. 106(c)(1)) For projects under Title 23, U.S.C. that are not on the NHS, the State shall assume the responsibilities for design, plans, specifications,

estimates, contract awards, and inspections unless the State determines that such assumption is not appropriate. (23 U.S.C. 106(c)(2))

For all other project activities which do not fall within the specific project approvals listed in Section 106 or are not otherwise authorized by law, the FHWA may authorize a State DOT to perform work needed to reach the FHWA decision point, or to implement FHWA's decision. However, such decisions themselves are reserved to FHWA.

The authority given to the State DOT under Section 106(c)(1) and (2) is limited to specific project approvals listed herein. Nothing listed herein is intended to include assumption of FHWA's decision-making authority regarding Title 23, U.S.C. eligibility or Federal-aid participation determinations. The FHWA always must make the final eligibility and participation decisions for the Federal-aid Highway Program.

Section 106(c)(3) requires FHWA and the State DOT to enter into an agreement relating to the extent to which the State DOT assumes project responsibilities. This Stewardship and Oversight Agreement (S&O Agreement), includes information on specific project approvals and related responsibilities, and provides the requirements for FHWA oversight of the FAHP (Oversight Program), as required by 23 U.S.C. 106(g).

SECTION II. INTENT AND PURPOSE OF S&O AGREEMENT

The intent and purpose of this S&O Agreement is to document the roles and responsibilities of the FHWA's Iowa Division Office (FHWA or Division) and Iowa Department of Transportation (State DOT) with respect to project approvals and related responsibilities, and to document the methods of oversight which will be used to efficiently and effectively deliver the FAHP.

The Project Action Responsibility Matrix, Attachment A, to this S&O Agreement and as further described in Section VIII of this S&O Agreement, identifies FHWA FAHP project approvals and related responsibilities State DOT assumes from FHWA on a program-wide basis pursuant to 23 U.S.C. 106(c) and other legal authorities. Upon execution of this agreement, Attachment A shall be controlling and except as specifically noted in Attachment A, no other agreements, attachments, or other documents shall have the effect of delegating or assigning FHWA approvals to State DOT on a program-wide basis under 23 U.S.C 106 or have the effect of altering Attachment A.

This Agreement is not intended to, nor does it create any right or benefit, substantive or procedural, in any third parties.

SECTION III. ASSUMPTION OF RESPONSIBILITIES FOR FEDERAL-AID PROJECTS ON THE NATIONAL HIGHWAY SYSTEM

- A. The State DOT *may assume* the FHWA's Title 23 responsibilities for design; plans, specifications, and estimates (PS&E); contract awards; and inspections, with respect to *Federal-aid projects on the National Highway System (NHS)* if both the *State DOT* and *FHWA* determine that assumption of responsibilities is appropriate.

- B. Approvals and related activities for which the State DOT has assumed responsibilities as shown in Attachment A will apply program wide unless project specific actions for which the Division will carry out the approval or related responsibilities are documented in accordance with the FHWA Project of Division Interest/Project of Corporate Interest Guide (FHWA PoDI/PoCI Guide) located at:
<http://www.fhwa.dot.gov/federalaid/stewardship/>
- C. The State DOT may not assume responsibilities for Interstate projects that are in high risk categories. (23 U.S.C. 106(c)(1))
- D. The State DOT is to exercise any and all assumptions of the Secretary responsibilities for Federal-aid projects on the NHS in accordance with Federal laws, regulations and policies.

SECTION IV. ASSUMPTION OF RESPONSIBILITIES FOR FEDERAL-AID PROJECTS OFF THE NATIONAL HIGHWAY SYSTEM

- A. The State DOT shall assume the FHWA's Title 23 responsibilities for design, PS&Es, contract awards, and inspections, with respect to Federal-aid projects off the NHS (non-NHS) unless the State DOT determines that assumption of responsibilities is not appropriate. (23 U.S.C. 106(c)(2))
- B. Except as provided in 23 U.S.C. 109(o), the State DOT is to exercise the Secretary's approvals and related responsibilities on these projects in accordance with Federal laws.
- C. The State DOT, in its discretion, may request FHWA carry out one or more non-NHS approvals or related responsibilities listed as "State" in Attachment A on a program-wide basis. For a project specific request, the State may request FHWA carry out any approval or related responsibility listed in Attachment A off the NHS. Such project-specific requests shall be documented in accordance with the FHWA PoDI/PoCI Guide.
- D. Pursuant to 23 U.S.C. 109(o), non-NHS projects shall be designed and constructed in accordance with State laws, regulations, directives, safety standards, design standards, and construction standards.

SECTION V. ASSUMPTION OF RESPONSIBILITIES FOR LOCALLY ADMINISTERED PROJECTS

The State DOT may permit local public agencies (LPAs) to carry out the State DOT's assumed responsibilities on locally administered projects. The State DOT is responsible and accountable for LPA compliance with all applicable Federal laws and requirements.

SECTION VI. PERMISSIBLE AREAS OF ASSUMPTION UNDER 23 U.S.C. 106(c)

An assumption of responsibilities under 23 U.S.C. 106(c) may cover only activities in the following areas:

- A. Design, which includes preliminary engineering, engineering, and design-related services directly relating to the construction of a FAHP-funded project, including engineering, design, project development and management, construction project management and inspection, surveying, mapping (including the establishment of temporary and permanent geodetic control in accordance with specifications of the National Oceanic and Atmospheric Administration), and architectural-related services.
- B. PS&E, which represents the actions and approvals required before authorization of construction. The PS&E package includes geometric standards, drawings, specifications, project estimates, certifications relating to completion of right-of-way acquisition and relocation, utility work, and railroad work.
- C. Contract awards, which include procurement of professional and other consultant services and construction-related services to include advertising, evaluating, and awarding contracts.
- D. Inspections, which include general contract administration, material testing and quality assurance, review, and inspections of Federal-aid contracts as well as final inspection/acceptance.
- E. Approvals and related responsibilities affecting real property as provided in 23 CFR 710.201(i) and any successor regulation in 23 CFR Part 710.

SECTION VII. FEDERAL APPROVALS AND RELATED RESPONSIBILITIES THAT MAY NOT BE ASSUMED BY THE STATE DOT

- A. Any approval or related responsibility not listed in Attachment A cannot be assumed by the State without prior concurrence by FHWA Headquarters. The following is a list of the most frequently-occurring approvals and related responsibilities that may not be assumed by the State DOT:
 - Civil Rights Program approvals;
 - Environmental approvals, except those specifically assumed under other agreements. (23 U.S.C. 326 and 327; programmatic categorical exclusion agreements);
 - Federal air quality conformity determinations required by the Clean Air Act;
 - Approval of current bill and final vouchers;¹

¹ Final vouchers refer to actions between FHWA and Iowa DOT transacted in the FMIS and RASPS systems.

- Approval of federally-funded hardship acquisition, protective buying, and 23 U.S.C. 108(d) early acquisition;
- Project agreements and modifications to project agreements and obligation of funds (including advance construction);
- Planning and programming pursuant to 23 U.S.C. 134 and 135;
- Special Experimental Projects (SEP-14 and SEP-15);
- Use of Interstate airspace for non-highway-related purposes;
- Any Federal agency approval or determination under the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Uniform Act), as amended, and implementing regulations in 49 CFR Part 24;
- Waivers to Buy America requirements;
- Approval of Federal participation under 23 CFR 1.9(b);
- Provide pre-approval for preventive maintenance project (until FHWA concurs with State DOT procedures);
- Requests for credits toward the non-Federal share of construction costs for early acquisitions, donations, or other contributions applied to a project;
- Functional replacement of property;
- Approval of a time extension for preliminary engineering projects beyond the 10-year limit, in the event that actual construction or acquisition of right-of-way for a highway project has not commenced;
- Approval of a time extension beyond the 20-year limit for right of way projects, in the event that actual construction of a road on the right-of-way is not undertaken;
- Determine need for Coast Guard Permit;
- Training Special Provision – Approval of New Project Training Programs; and
- Any other approval or activity not specifically identified in Attachment A unless otherwise approved by the FHWA, including the Office of Chief Counsel.

B. For all projects and programs, the State DOT will comply with Title 23 and all applicable non-Title 23, U.S.C. Federal-aid program requirements, such as metropolitan and statewide planning; environment; procurement of engineering and design related service contracts (except as provided in 23 U.S.C. 109(o)); Civil Rights including Title VI of the *Civil Rights Act*, and participation by Disadvantaged Business Enterprises; prevailing wage rates; and acquisition of right-of-way, etc.

- C. This Agreement does not modify the FHWA’s non-Title 23 program approval and related responsibilities, such as approvals required under the Clean Air Act; National Environmental Policy Act, Executive Order on Environmental Justice (E.O. 12898), and other related environmental laws and statutes; the Uniform Act; and the Civil Rights Act of 1964 and related statutes.

SECTION VIII. PROJECT ACTION RESPONSIBILITY MATRIX

Attachment A, Project Action Responsibility Matrix, to this S&O Agreement identifies FAHP project approvals and related responsibilities. The Matrix specifies which approvals and related responsibilities are assumed by the State under 23 U.S.C. 106(c) or other statutory or regulatory authority, as well as approvals and related responsibilities reserved to FHWA.

SECTION IX. HIGH RISK CATEGORIES

- A. In 23 U.S.C. 106(c), Congress directs that the Secretary shall not assign any approvals or related responsibilities for projects on the Interstate System if the Secretary determines the project to be in a high risk category. Under 23 U.S.C. 106(c)(4)(B), the Secretary may define high-risk categories on a national basis, State-by-State basis, or national and State-by-State basis.
- B. The Division has determined there are no high risk categories.

SECTION X. FHWA OVERSIGHT PROGRAM UNDER 23 U.S.C. 106(g)

- A. In 23 U.S.C. 106(g), Congress directs that the Secretary shall establish an oversight program to monitor the effective and efficient use of funds authorized to carry out the FAHP. This program includes FHWA oversight of the State’s processes and management practices, including those involved in carrying out the approvals and related responsibilities assumed by the State under 23 U.S.C. 106(c). Congress defines that, at a minimum, the oversight program shall be responsive to all areas relating to financial integrity and project delivery.
- B. The FHWA shall perform annual reviews that address elements of the State DOT’s financial management system in accordance with 23 U.S.C. 106(g)(2)(A). FHWA will periodically review the State DOT’s monitoring of sub-recipients pursuant to 23 U.S.C. 106(g)(4)(B).
- C. The FHWA shall perform annual reviews that address elements of the project delivery systems of the State DOT, which elements include one or more activities that are involved in the life cycle of project from conception to completion of the project. The FHWA will also evaluate the practices of the State DOT for estimating project costs, awarding contracts, and reducing costs, 23 U.S.C. 106(g)(2) and (3).

- D. To carry out the requirements of 23 U.S.C. 106(g), the FHWA will employ a risk management framework to evaluate financial integrity and project delivery, and balance risk with staffing resources, available funding, and the State's transportation needs. The FHWA may work collaboratively with the State DOT to assess the risks inherent with the FAHP and funds management, and how that assessment will be used to align resources to develop appropriate risk response strategies

Techniques the Division and State DOT may use to identify and analyze risks and develop response strategies include the following:

- Program Assessments;
- FIRE Reviews;
- Program Reviews;
- Certification Reviews;
- Recurring or periodic reviews such as the Compliance Assessment Program (CAP); and
- Inspections of project elements or phases.

These techniques will be carried out in a manner consistent with applicable Division Standard Operating Procedures or other control documents relating to program assessments, FIRE, program reviews, CAP, etc.

The following techniques and processes will be used to carry out the requirements of 23 U.S.C. 106(g):

Risk Based Stewardship and Oversight

The Iowa Division follows the current guidance for FHWA's Risk Based Stewardship and Oversight (RSBO). The initiatives under this program are:

Compliance Assessment Program (CAP)

The purpose of the CAP is to provide reasonable assurance, at both the national and local level, that Federal-aid highway construction projects are in compliance with key federal requirements. It does this by providing a framework to make statistically valid inferences across national and local populations. The approach is objective and defensible and will inform risk assessments with statistically valid information and data. The CAP is one element of project oversight and it will supplement and strengthen the agency's movement toward being more data-driven and risk-based.

Each spring, a sample of Iowa Federal-aid projects will be randomly selected by Headquarters for review under the CAP program. Procedures will be developed based on the sample, risk assessment, and available staffing for primary and

secondary reviews for the projects and results will be reported to Headquarters and Iowa DOT.

Projects of Division Interest (PoDI)

Projects of Division Interest are those projects that have an elevated risk, contain elements of higher risk, or present a meaningful opportunity for FHWA involvement to enhance meeting program or project objectives. The Iowa Division Office will identify those projects, within its limited resources, where FHWA should assert a positive leadership influence to help assure a high level of public confidence that projects and programs are administered with integrity, are in compliance with applicable requirements, and yield maximum value for the public. Project selection will be risk-based and stewardship and oversight activities will be directed toward addressing identified risks. This may include retaining certain project approvals or directing stewardship or oversight activities to a specific phase or element of the project.

A listing of potential PoDIs will be developed each spring in cooperation with Iowa DOT based on current projects, the 5-Year Program, STIP, and long range plans. The Division will perform a risk based screening on the candidate projects based on HQ guidelines and Division based risks.

The Iowa Division will pre-screen Federal-aid projects and develop a short-list of projects that will require a risk-based assessment to identify their possible areas of risk and to determine if they should be selected as a final PoDI. Divisions should develop and document their own pre-screening criteria driven by “areas for concern and/or opportunity” to identify these potential PoDIs. Examples of pre-screening criteria include project cost thresholds on the Interstate/NHS; regional significance; political or community interest; innovative financing or contracting; and geographic coverage.

The Iowa Division will conduct a risk-based assessment of the short-list of PoDI projects. Major Projects, and TIGER projects are by definition final PoDI projects, but each must still receive a risk-based assessment to identify project risk areas and appropriate stewardship and oversight activities. As a minimum, the Division will develop and document a process that considers the following ten risk areas¹ when identifying the final PoDI projects.

- Complexity
- Cost
- Schedule
- Urgency
- Environmental Considerations/Stakeholders
- Funding
- Project Administration

- National/Regional Significance
- Corporate Actions
- Local Considerations

Project of Corporate Interest (PoCI)

Projects of Corporate Interest are a subset of PoDIs. These are projects deemed to be so significant that FHWA is willing to commit additional resources beyond those available at the individual Division level to help ensure successful delivery of the project. Project selection should be risk-based and the stewardship and oversight activities should be directed toward addressing the identified risks. This may require retaining certain project approval actions or directing stewardship and oversight activities to a specific phase or element of the project.

It is anticipated that a short-list of projects that have the potential to be a PoCI will be identified early in the PoDI pre-screening process. All Major projects will be included in the short-list of potential PoCIs.

Major Projects and all other pre-screened projects that have the potential to be a PoCI will be entered into the SharePoint-based Resource Deployment Tool (RDT) (link removed). This tool will be used to conduct a risk-based assessment to identify areas of elevated risk for each project, identify the level of Division office capacity to manage the risk, and determine if the project is recommended by the Division Office for selection as a final PoCI. The RDT contains specific instructions for completion.

For each project entered into the RDT, the Division Office will indicate if the project is selected as a final PoDI and if it is recommended as a final PoCI. The Director of Field Services will concur in the final selection of PoCIs after consultation with key Headquarters offices. If a Division recommends a Major Project as a PoCI, the DFSs will consult with the Office of Innovative Program Delivery (HIPD) prior to concurring in the selection of the project as a final PoCI. Concurrence for each project will be documented in the RDT. If the DFSs and/or Headquarters office have any concerns with whether the project is a good candidate for a final PoCI they will consult with the Division Administrator.

PoDI & PoCI Stewardship & Oversight Plans

The Division will prepare a specific PoDI Stewardship & Oversight (S&O) Plan for each PoDI, or group of PoDIs. The PoDI S&O Plan is meant to be concise and will include the following elements:

- Project information – including project name, description, location, FMIS#, and State ID#

- FHWA contact
- Primary PoDI type
- Indication if the project is also a PoCI
- Risk areas associate with the project (from risk-based assessment)
- Project elements that will be reviewed in response to the risks
- Activities that will be conducted on the project (retained approval action, inspections, etc.)
- If a PoCI, the specific corporate resources committed to the project
- The results of the Division involvement in the project

Copies of the Stewardship and Oversight plans will be sent to the Highway Division Director annually.

Timeline

Target Date	Event
June 1 – May 31	FHWA Performance Year
March 31	Iowa Division submits draft PoCIs to HQ and DFS with Risk Deployment Tool
April 1	HQ provides tentative list of CAP projects and questions to Division for review
May 15	Division develops draft list of PoDI projects
July 1	Final listing of PoDI, PoCI, and CAP projects and Stewardship and Oversight plans developed
May 31 of following year	All reviews completed and submitted

Involvement on Other Projects

Iowa DOT may request FHWA involvement in project or program activities. The extent of FHWA involvement will be defined by Iowa DOT’s request and will be met to the extent FHWA has available staffing and funding. On non-federally funded Interstate reconstruction projects, Iowa DOT will request FHWA to review final plans to ensure compliance with applicable Interstate standards and regulations.

Approval Timelines

It is the expectation that all FHWA project and program actions/reviews/approvals will be completed within fifteen working days from receipt. Additional time may be required if coordination with FHWA HQ is necessary.

Technical Assistance

FHWA is prepared to provide technical assistance to Iowa DOT or local transportation agencies on any aspect of an eligible Title 23 project. Technical assistance activities will be decided on a case-by-case basis in consultation with Iowa DOT, other partners and FHWA.

FHWA's Stewardship and Oversight Communication Plan

As part of its stewardship and oversight communication plan, FHWA will:

- Share the annual risk assessment information that relates to the Iowa DOT or sub-recipients.
- Share information on program or performance measurement/management that relates to the Iowa DOT or sub-recipients.
- Share project, process, or program reviews that relate to the Iowa DOT or sub-recipients.
- Share FHWA performance planning information that relates to the Iowa DOT or sub-recipients.
- Share new and revised FHWA policies, rules, and guidance.
- Inform Iowa DOT if a project related Freedom of Information Act request is received.
- Discuss, on at least an annual basis, stewardship and oversight efforts that are governed by this Agreement.

FHWA Oversight Documentation

FHWA Reviewed/Approved Iowa DOT Manuals, Policies, Specifications, Guides, and Procedures

Iowa DOT manuals, policies, specifications, guides, and procedures listed in Attachment C will be formally approved by FHWA. Formal approval by FHWA must be documented as described below.

Manuals, Policies, and Procedures – Changes to manuals, policies, and procedures listed in Attachment C will be submitted by Iowa DOT to FHWA requesting formal approval for the change. FHWA will respond by e-mail or letter documenting the formal approval and the approved submittal will be filed by FHWA. Any change affecting design values, engineering guidance, or format of the plans requires formal FHWA approval. Changes that deal solely with internal Iowa DOT processes, such as automation procedures, do not require formal approval.

Design Standards – New or revised design standards (including bridge) will be submitted by Iowa DOT's Design or Bridge and Structures Office to FHWA for formal approval. FHWA will respond by e-mail or letter documenting the formal approval, and the approved submittal will be filed by FHWA. Iowa DOT should allow up to 15 working days for formal approval of manuals, policies, procedures, and standards before they are implemented.

Specifications – FHWA will attend Iowa DOT's monthly Specification Meeting. FHWA objections to new or revised specifications will be raised at this meeting. Minutes from the meeting will be reviewed by FHWA, stamped approved, and filed by FHWA. If concerns are discovered during the FHWA review of the minutes, they will immediately be brought to the attention of Iowa DOT's Specification Engineer for resolution.

FHWA Planning Oversight

Statewide Transportation Improvement Program (STIP) – Review of the STIP submitted by Iowa DOT will take place jointly with FHWA Iowa Division and the Federal Transit Administration (FTA) Region 7 in Kansas City. A joint approval letter will be signed by the FHWA Division Administrator and the FTA Regional Administrator, and sent to Iowa DOT.

State Planning and Research (SPR) Program – Review and approval of the annual SPR workplan and revisions, submitted by the Office of Systems Planning to FHWA, will be done by the Transportation Planner. The review will include evaluation of the projected funding, the minimum expenditures for planning and research, and an eligibility review of planned activities. Accomplishment

reporting of all planning and research projects will be reviewed to ensure useful products are being produced. Additionally, reports and other deliverables may be reviewed to verify utility.

FHWA Project Development Oversight

FHWA will participate² in Project Management Teams (PMTs) and review draft and final documents and preliminary plans as requested by Iowa DOT. For PMT meetings FHWA will actively participate in the meeting and provide input on FHWA requirements for the project. PMT minutes will document those discussions and agreements and will be reviewed by FHWA. Comments will be provided to Iowa DOT if errors or omissions are noted by FHWA.

For draft NEPA and design documents, comments will be returned by FHWA within 15 working days to the submitter, unless coordination is required with FHWA HQ. FHWA will expect the submitter to resolve with FHWA any outstanding issues noted in the comments.

Copies of submittals and comments will be kept in FHWA's preliminary files until the project completes construction.

Commitments within NEPA and design documents/approvals will be reviewed for compliance by FHWA at the time construction is authorized/obligated.

Patented and Proprietary Products

FHWA continues to support the principle of competition in the selection of materials whenever more than one equally suitable product exists to fulfill project requirements. Iowa DOT may specify proprietary products when they certify that there is no suitable alternative product (such as an innovative product offering better performance) or that the product is needed for synchronization. When Iowa DOT has assumed FHWA's role for this function, Iowa DOT may approve PIFs for that project. LPAs may not approve PIFs or certifications. Additional approvals are not required when proprietary products are being evaluated in FHWA-sponsored programs such as Highways for Life, the Innovative Bridge Research and Deployment Program, and the Innovative Pavement Research and Deployment Program.

² FHWA will participate in all PMT meetings for all projects requiring either an EA/FONSI or an EIS/ROD until the NEPA process is completed. After completion of the NEPA process participation will be dependent on the projects Stewardship and Oversight Plan.

FHWA will provide an internet posting of FHWA's approval of PIF on FHWA's website. Iowa DOT does not plan to post PIFs or certifications.

FHWA Construction Oversight

Construction inspections should be performed jointly by FHWA and the administering agency's representative. Preliminary findings/recommendations from construction project inspections led by FHWA will be discussed with the applicable state or LPA representative during the inspection. Inspection reports should be completed within three weeks of the inspection. A copy of the report will be provided to the office administering the project (resident construction engineer or LPA), the Iowa DOT oversight office (Office of Construction, Office of Systems Planning, or Office of Local Systems), and others involved in the inspection or project oversight (e.g., District Local Systems Engineer). The original report will be in FHWA's project files.

Documented resolution of FHWA's findings/recommendations will be provided by the administering agency to FHWA within one month of receiving the inspection report. If the resolution will take longer than one month to accomplish, monthly progress reports should be provided to FHWA.

Informal Dispute Resolution of FHWA Decisions

Iowa DOT may utilize an informal dispute resolution to ask for reconsideration of decisions made by FHWA Iowa Division staff or the FHWA Iowa Division Administrator. Iowa DOT should request this reconsideration to the next higher FHWA management level.

Preservation of the Interstate System

The Interstate System is designed, constructed, and operated to provide the highest level of service within the State of Iowa. To preserve the mobility and safety of the Interstate System and the investment by the United States all reconstruction project plans regardless of funding source will be reviewed by FHWA prior to construction. This review will include temporary changes to access control used to facilitate construction as well as compliance with applicable Interstate standards and regulations. Additionally, due to traffic volumes and speed, all construction that takes place within Interstate Right-of-Way will be directly administered by Iowa DOT unless prior approval has been obtained from FHWA.

Programming and Project Authorization/Agreement Process

Authorization to proceed with a project is accomplished by FHWA after a specific request is received from Iowa DOT. Authorization to advertise the physical construction for bids or to proceed with force account construction thereof shall not be given until all of the requirements of 23 CFR 635 have been satisfied. Occasional exceptions may be made to the ROW, utility, and railroad requirements of 23 CFR 635 when meeting one or more of these conditions are not “feasible or practical” and it is determined to be in the public’s interest to proceed with advertisement of the project. In these cases, the PS&E must adequately account for these exceptions.

For PoDI projects requiring PS&E approval, Iowa DOT will provide all required documentation to FHWA at least ten business days prior to the date authorization is requested. All documentation will be provided to FHWA in a single submittal. If it is not feasible or practical to submit any required documentation with the submittal, a status of this documentation will be provided with the submittal. FHWA will review the project documentation to assure that all project requirements are met.

FHWA obligation/authorization of projects in the construction letting will be requested electronically by the Iowa DOT through FMIS ten business days prior to the scheduled advertisement date for that letting. Iowa DOT will ensure that all applicable requirements have been met and that the project was developed in compliance with this agreement and all applicable laws and standards.

FHWA obligation/authorization of all other projects will normally take seven business days to approve; however, priority is given to projects in the monthly construction letting.

Iowa DOT and FHWA use FMIS for requesting and approving Project Authorizations and Project Agreements for each Federal-aid highway and highway planning and research project eligible for funding. Submittal of the project authorization to FHWA for approval will serve as Iowa DOT’s implicit certification that all applicable requirements are satisfied and all submitted data is correct. If errors are found, the project will not be obligated/authorized.

Research, Development, and Technology Transfer Program

The purpose of the program is to implement the provisions of 23 U.S.C. 502 for research, development, technology transfer, programs, and studies undertaken with FHWA planning and research funds. The main requirements under 23 CFR 420 are to create a State Planning and Research (SPR) Work Program, monitor planning and research activities, submit performance and expenditure reports, conduct peer reviews, develop and maintain an FHWA approved research and development manual, and maintain program certification.

FHWA approves the annual work program that includes the annual report, and reviews pooled-fund proposals. FHWA participates in ongoing program activities including peer

exchanges. Iowa DOT has considerable flexibility in the use of funds and determination of eligible activities that meet the requirements of 23 CFR 420.

Planning Program

Transportation planning regulations are listed in 23 CFR Part 450 and 49 CFR Part 613. The Federal Highway Administration- Iowa Division Office and Federal Transit Administration, Region Seven Office are jointly responsible for required approval actions such as:

- Certification of the metropolitan planning process in each Transportation Management Area at least once every four years.
- Review and approval of the State Planning and Research Plan that includes the Transportation Planning Work Programs (TPWP) and its amendments.
- Review and approval of the State Transportation Improvement Program (STIP) and its amendments and transportation conformity.

FHWA participates in statewide and MPO planning activities as necessary to develop a planning finding as part of the STIP approval. FHWA and Iowa DOT work together in the project-planning phase to ensure compliance with NEPA and other applicable laws before location approval. Project coordination is facilitated by frequent consultation and meetings.

Transportation Planning also includes data collection and reporting, which is included under 23 CFR 420. Section 420.107(b)(2) requires that:

“...State Transportation Agencies shall provide data that support FHWA’s responsibilities to the Congress and to the public. These data include, but are not limited to, information required for:

- *Preparing proposed legislation and reports to the Congress.*
- *Evaluating the extent, performance, condition, and use of the Nation’s transportation system.*
- *Analyzing existing and proposed Federal-aid funding methods and levels, and the assignment of user cost responsibility.*
- *Maintaining a critical information base on fuel availability, use, and revenues generated.*
- *Calculating apportionment factors.”*

FHWA conducts reviews of planning processes and products such as Highway Performance Monitoring System (HPMS) data, Heavy Vehicle Use Tax Enforcement, etc.

Management and Monitoring Systems are included under Section 500 of 23 CFR. Section 500.105(b) states: “States shall develop, establish, and implement a Traffic Monitoring System that meets the requirements of Subpart B (Section 500.201-204).”

FHWA provides technical expertise and assistance through participation in committees and meetings set up by the MPOs and Iowa DOT that address data collection and analysis issues as well as coordination on individual topics of interest such as:

- Congestion Management
- Environmental Justice
- Air Quality Conformity
- Multimodal and Intermodal Coordination
- Freight Issues

When submitting transportation information, Iowa DOT agrees to follow the U.S. DOT Information Dissemination Quality Guidelines for complying with the requirements of the U.S. Office of Management and Budget’s Guidelines (for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by Federal Agencies) implementing Section 515 of the Treasury and General Government Appropriations Act for Fiscal Year 2001 (P.L. 106-554).

Materials Acceptance Program

The Materials Acceptance Program (MAP) is structured around 23 CFR 637. The overall purpose of the MAP is to assure the quality of materials and construction in all Federal-aid highway projects.

For Federal-aid projects, the primary objectives of the MAP are as follows:

- To assure that materials incorporated in projects and the construction operations controlled by sampling and testing are in conformity with the approved plans and specifications.
- To provide oversight of construction materials and compliance with federal requirements on a statewide basis.
- To assure adequate and qualified staff to maintain Iowa DOT’s quality assurance responsibility as part of its Quality Control/Quality Assurance (QC/QA) program.

- To maintain a close working relationship between FHWA and Iowa DOT materials and construction staff.
- To promote improvements when new approaches or technologies are developed and where deficiencies are identified.

FHWA will review and approve Iowa DOT's MAP on an as needed basis. The MAP includes:

- Quality Control (QC)
- Quality Assurance (QA)
- Dispute Resolution
- Independent Assurance
- Materials Certification
- Qualified Laboratory Program
- Testing Personnel /Qualification Program
- Schedule of Materials Control Sampling and Testing

Additionally, FHWA will have ongoing involvement in the development and implementation of the MAP with Iowa DOT. In general, FHWA will monitor the implementation and effectiveness of the MAP through process reviews. Individual process reviews will be identified in FHWA's Annual Performance Plan.

Emergency Relief

Congress authorized in Title 23, United States Code, Section 125, a special program from the Highway Trust Fund for the repair or reconstruction of Federal-aid highways and roads on Federal lands which have suffered serious damage as a result of (1) natural disasters or (2) catastrophic failures from an external cause. This program, commonly referred to as the emergency relief or ER program, supplements the commitment of resources by States, their political subdivisions, or other Federal agencies to help pay for unusually heavy expenses resulting from extraordinary conditions.

Examples of natural disasters include floods, hurricanes, earthquakes, tornadoes, tidal waves, severe storms, or landslides. A catastrophic failure is defined as the sudden and complete failure of a major element or segment of the highway system that causes a disastrous impact on transportation services. The failure must be catastrophic in nature. Additionally, in order to be eligible for ER, the cause of the failure must be determined to be external to the facility. Although there is no nationwide definitive monetary break point between what is considered routine and extraordinary repair expenses FHWA has determined that eligible ER repair activities in a State in the range of \$700,000 (Federal share) or more are usually significant enough to justify approval of ER funds. By law, FHWA can provide up to \$100 million in ER funding to a State for each natural disaster or catastrophic failure event that is found eligible for funding under the ER program unless Congress passes special legislation lifting the cap for that disaster.

The ER funds are available for permanent repairs and for work accomplished more than 180 days after an event at the pro rata Federal-aid share that would normally apply to the Federal-aid facility damaged. For Interstate highways, the Federal share is 90 percent. For all other highways, the Federal share is 80 percent. Emergency repair work to restore essential traffic, minimize the extent of damage, or protect the remaining facilities, accomplished in the first 180 days after the occurrence of the disaster; may be reimbursed at 100 percent Federal share. During this 180-day period, permanent repair work is reimbursed at normal pro rata share unless permanent repair is performed as an incidental part of emergency repair work.

After approval of the program of projects, permanent repairs will be administered as if they were normal Federal-aid projects under this agreement. Additional details on the ER program can be found in FHWA's Emergency Relief Manual. Large scale ER events will receive special consideration and flexibility in how they are administered by both Iowa DOT and FHWA including a phased approach to the approval of the program of projects to allow timely obligation of federal funds given the limited resources of both agencies.

Emergency/Security Reporting

When significant events, as defined in FHWA Order 5181.1A, Emergency Reporting Procedures affecting highway transportation occur in Iowa, the Iowa DOT (see Attachment E – Office of Traffic Operations) will provide information and follow-up reports to FHWA (criteria for Order dated March 5, 2010 are listed below). FHWA will provide briefings to the Federal Highway Administrator, the Office of the Secretary of Transportation, the Office of Emergency Transportation, and the Federal Highway Administration (FHWA) Regional Emergency Transportation Coordinators (RETCO).

Highway and highway infrastructure related incidents meeting one or more of the following criteria will be reported.

- *Any event that, in the opinion of the Division Administrator or Division Engineer will generate immediate national interest.*
 - *Other events that create disruption to highway operations that are expected to last more than 8 hours. These events can include, but are not limited to:*
 - *Damage or closure of highways or highway infrastructure caused by an act of nature including, but not limited to, earthquakes, floods, tornados, hurricanes, or wild fires. Report only Interstate highway closures of more than 8 hours due to winter weather events.*
 - *Damage or closure of highways or highway infrastructure due to terrorist or criminal acts, accidents, or unknown causes.*
-

- *Damage or closure of highways or highway infrastructure caused by other mode incidents, such as collapse of a rail bridge onto an adjacent highway or a dam bursting.*
- *Other incidents to be reported regardless of damages or reason for closure:*
 - *Crashes involving 6 or more fatalities,*
 - *School bus crashes resulting in injuries, death, or statewide media attention,*
 - *Chain reaction crashes involving 10 or more vehicles,*
 - *Truck or charter bus crashes resulting in injuries, death, or statewide media attention,*
 - *Closure due to evacuation conducted for any reason, and*
 - *The loss of life or serious injury of a prominent individual such as a Member of Congress, senior Executive Branch or military official, diplomatic dignitary, or other major public figure.*

Major Projects, Project Management Plans, Cost Estimates, and Financial Plans

Major Projects are those projects receiving Federal financial assistance with an estimated cost of \$500 million or more or projects that have been identified by the United States Department of Transportation Secretary as being "Major" because of special interest. FHWA guidance and Division roles and responsibilities can be found at [FHWA Major Project Delivery Process](#) webpage.

Value Engineering

Value Engineering studies are required for any Federal-aid project meeting thresholds described in current legislation. A joint report is prepared by Iowa DOT and the Division annually.

E. Program Responsibility Matrix

Attachment B to this S&O Agreement is the Program Responsibility Matrix example that identifies all relevant FHWA program actions, and Division and State DOT program contact offices.

F. Manuals and Operating Agreements

State DOT manuals, agreements and other control documents that have been approved for use on Federal-aid projects are listed in Attachment C to this S&O Agreement.

G. Stewardship and Oversight Indicators

The Division and State DOT may jointly establish Stewardship and Oversight Indicators (Indicators). The Indicators should set targets, track trends, and implement countermeasures and actions when the data is moving away from the desired target direction. Indicators can provide documented evidence that the State DOT assumption of responsibilities is functioning appropriately. Stewardship and Oversight Indicators should be reviewed on an annual basis. Indicators are contained in Attachment D.

SECTION XI. STATE DOT OVERSIGHT AND REPORTING REQUIREMENTS

A. State DOT Oversight and Reporting Requirements

The State DOT is responsible for demonstrating to the FHWA how it is carrying out its responsibilities in accordance with this S&O Agreement.

In order to fulfill this responsibility, the State DOT will carry out actions, programs, and processes as described in Attachment E.

B. State DOT Oversight of Locally Administered Projects

B.1. State DOT's are required to provide adequate oversight of sub-recipients including oversight of any assumed responsibilities the State DOT delegates to a LPA.

B.2. Pursuant to 23 U.S.C. 106(g)(4), the State DOT shall be responsible for determining that sub-recipients of Federal funds have adequate project delivery systems for locally administered projects and sufficient accounting controls to properly manage such Federal-aid funds. The State DOT is also responsible for ensuring compliance with reporting and other requirements applicable to grantees making sub-awards, such as monthly reporting requirements under the Federal Funding Accountability and Transparency Act of 2006, PL 109-282 (as amended by PL 110-252).

B.3. The State DOT acknowledges that it is responsible for sub-recipient awareness of Federal grant requirements management of grant awards and sub-awards, and is familiar with and comprehends pass through entity responsibilities (2 C.F.R 200.331 Requirements for Pass-thru Entities). The State DOT shall carry out these responsibilities using the actions, programs, and processes described in Attachment F.

- B.4. The State DOT shall assess whether a sub-recipient has adequate project delivery systems and sufficient accounting controls to properly manage projects, using the actions, programs, and processes described in Attachment F.
- B.5. The State DOT shall assess whether a sub-recipient is staffed and equipped to perform work satisfactorily and cost effectively, and that adequate staffing and supervision exists to manage the Federal project(s), by using the actions, programs, and processes described in Attachment F.
- B.6. The State DOT shall assess whether sub-recipient projects receive adequate inspection to ensure they are completed in conformance with approved plans and specifications, by using the actions, programs, and processes described in Attachment F.
- B.7. The State DOT shall ensure that when LPAs elect to use consultants for engineering services, the LPA, as provided under 23 CFR 635.105(c), shall provide a full-time employee of the agency to be in responsible charge of the project. The State DOT's process to ensure compliance with this requirement is documented by the actions, programs, and processes described in Attachment F.
- B.8. The State DOT shall ensure that project actions will be administered in accordance with all applicable Federal laws and regulations. The State DOT will use the process of required approvals on sub-recipient projects described in Attachment F and approved on sub-recipient administered projects.
- B.9. The State DOT shall document its oversight activities for LPA-administered projects and findings, and how it will share this information with the FHWA. The process for this activity is described in Attachment F.

SECTION XII. IMPLEMENTATION AND AMENDMENTS

- A. This S&O Agreement will take effect as of the effective date of the signature of the FHWA Iowa Division Administrator, who shall sign this S&O Agreement last.
 - B. The Division and State DOT agree that updates to this Agreement will be considered periodically on a case-by-case basis or when:
 - Significant new legislation, Executive orders, or other initiatives affecting the relationship or responsibilities of one or both parties to the S&O Agreement occurs;
 - Leadership, or leadership direction, changes at the State DOT or FHWA; or
 - Priorities shift as a result of audits, public perception, or changes in staffing at either the State DOT or Division Office.
-

- C. The Division and State DOT agree that changes may occur to the contents of the Attachments to this S&O Agreement and documents incorporated by reference into the S&O Agreement. Except as provided in paragraph XII.D and E, changes to the Attachments and documents incorporated by reference will not require the Division and State DOT to amend this S&O Agreement. The effective date of any revisions to one of these documents shall be clearly visible in the header of the revised document. This Agreement and any revised document shall be posted on the Division's S&O Agreement internet site within five (5) business days of the effective date.
- D. Any changes to the high risk categories must be documented by an amendment to this S&O Agreement.
- E. Any changes to the Project Action Responsibility Matrix (Attachment A) must be approved by the FHWA Office of Infrastructure in writing and documented by an amendment to this S&O Agreement.

REMAINDER OF PAGE LEFT BLANK INTENTIONALLY

EXECUTION BY THE FHWA IOWA DIVISION OFFICE

Executed this 26 day of May, 2015.

/s/ Karen Bobo
Signature

Karen Bobo
Division Administrator

EXECUTION BY THE IOWA DEPARTMENT OF TRANSPORTATION

Executed this 21 day of May, 2015.

/s/ Paul Trombino, III
Signature

Paul Trombino, III

Director, Iowa Department of Transportation

ATTACHMENT A - PROJECT ACTION RESPONSIBILITY MATRIX (As of February 6, 2015)

The following matrix identifies Federal-aid highway program (FAHP) project approvals and related responsibilities. The matrix specifies which ones are subject to State assumption under the provisions of 23 U.S.C. 106(c) or other statutory or regulatory authority, as well as those, which are reserved to FHWA.

In the column entitled “Projects on the NHS” if an item is marked “FHWA or State,” it means the State may assume the specified approval and related responsibilities if the Division determines the assumption is appropriate. For projects on the NHS, the FHWA may retain any approval or related action in any box marked “FHWA or State”, as deemed appropriate by the Division, by choosing to enter “FHWA” for that box. If the FHWA retains any approval or related action in any box marked “FHWA or State”, the project is a PoDI, and will require a PoDI plan.

For the column marked “Projects off the NHS”, the State must assume all items marked “State” unless the State determines the assumption of a particular item by the State is not appropriate and requests FHWA take responsibility for the action. In such cases, the box should read “FHWA”.

If FHWA retains an action the State could have assumed (on the NHS) or has a right to assume (off the NHS), the affected projects become PoDI projects.³

Except as expressly stated in notes to the matrix below, the State cannot assume any item marked only as “FHWA” in either column. Any item marked only “FHWA” is reserved to FHWA because it is outside the scope of 23 U.S.C. 106(c), or otherwise is reserved to FHWA by law. While FHWA may not delegate decision-making authority to a State unless authorized by law, FHWA may authorize a State DOT to perform work needed to reach the decision point, or to implement the decision.

The following matrix identifies Federal-aid highway program (FAHP) project approvals and related responsibilities on a program-wide basis. The matrix specifies which actions are assumed by the State under the provisions of 23 U.S.C. 106(c) or other statutory or regulatory authority, as well as those which are reserved to FHWA. Projects classified as PoDI projects are not covered by the matrix, as those projects will be governed by a separate PoDI plan that specifies FHWA and State responsibilities for the project.

In the matrix, actions marked with an asterisk (“FHWA*”) are those that FHWA has retained but that could have been assumed by the State through FHWA discretion (on the NHS) or by right

³ The following are considered PoDI projects: Major Projects (>\$500M); Appalachian Development Highway Projects; TIGER Discretionary Grant Projects; NHS Projects with Retained FHWA Project Approval; Non-NHS Projects with Retained FHWA Project Approval; and Projects Selected by FHWA for Risk-based Stewardship & Oversight. Regardless of retained project approval actions, any Federal-aid Highway Project either on or off the NHS that the Division identifies as having an elevated level of risk can be selected for risk-based stewardship and oversight and would then be identified as a PoDI. Please see “Projects of Division Interest (PoDI)/Projects of Corporate Interest (PoCI) Guidance (available at <http://www.fhwa.dot.gov/federalaid/stewardship/>)

(off the NHS). Projects requiring those actions are PoDI projects because of FHWA's retained authority. Those projects will be governed by a separate PoDI Plan.

PoDI Stewardship and Oversight plans may change the Project Action Responsibility from that listed in the following table. You will need to review the individual plans to determine if actions normally assumed by Iowa DOT have been retained by FHWA for that project(s) listed in the individual plan. (See Section III.B.)

The State DOT is responsible for ensuring all individual elements of the project are eligible for FAHP funding, but all final eligibility and participation determinations are retained by FHWA.

This document is final with strikethroughs as agreed to by the Division and State for items numbered 11, 12, 14, 16, 18, 19, 24, 25, 26, 27, 28, 29, 30, 31, 32, 35, 37, 40, 41, 42, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 57, 58, 59, 60, 61, 63, 64, 66, and 67.

PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015)
(Excluding PoDIs, which are subject to separate PoDI Plans)

ITEM	ACTION	AGENCY RESPONSIBLE	
		PROJECTS ON THE NHS	PROJECTS OFF THE NHS
1	Ensure project in Statewide Transportation Improvement Program (STIP)/Transportation Improvement Program (TIP) [23 CFR 450.220]	STATE	STATE
2	Identify proposed funding category [23 CFR 630.108]	STATE(1)	STATE(1)
3	Obligate funds/approve Federal-aid project agreement, modifications, and project closures (project authorizations) (Note: this action cannot be assumed by State) [23 CFR 630.106]	FHWA	FHWA
4	Requests for credits toward the non-Federal share of construction costs for early acquisitions, donations or other contributions applied to a project (note: this action cannot be assumed by State) [23 CFR 630.108] and 23 CFR 710.501(b)	FHWA(5)	FHWA(5)
5	Authorize current bill (Note: this action cannot be assumed by State) [2 CFR 200 Subpart D]	FHWA	FHWA
6	Review and Accept Financial Plan and Annual Updates for Federal Major Projects over \$500 million [23 U.S.C. 106(h) and (link removed) (Note: this action cannot be assumed by State)	FHWA	FHWA
7	Review Cost Estimates for Federal Major Projects over \$500 million [23 U.S.C. 106(h)] (Note: this action cannot be assumed by State)	FHWA	FHWA
8	Develop Financial Plan for Federal Projects between \$100 million and \$500 million. [23 U.S.C. 106(i)]	STATE	STATE
9	All EA/FONSI, EIS/ROD, 4(f), 106, 6(f) and other approval actions required by Federal environmental laws and regulations. (Note: this action cannot be assumed by STATE except under 23 U.S.C. 327)	FHWA(2)	FHWA(2)
10	Categorical Exclusion approval actions (Note this action cannot be assumed by the State except through an assignment under 23 U.S.C. 326 or 327, or through a programmatic agreement pursuant to Section 1318(d) of MAP-21 and 23 CFR 771.117(g))	FHWA(2)	FHWA(2)
11	Consultant Contract Selection [23 CFR Part 172]	FHWA* or STATE (3) (6)	STATE (3) (6)
12	Sole source Consultant Contract Selection [23 CFR Part 172]	FHWA* or STATE (3)(6)	STATE (3) (6)

PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)			
ITEM	ACTION	AGENCY RESPONSIBLE	
		PROJECTS ON THE NHS	PROJECTS OFF THE NHS
13	Approve hiring of consultant to serve in a “management” role (Note: this action cannot be assumed by State) [23 CFR 172.9]	FHWA(6)	FHWA(6)
14	Approve consultant agreements and agreement revisions (Federal non-Major Projects) [23 CFR 172.9]	FHWA* or STATE(6)	STATE(6)
15	Approve consultant agreements and agreement revisions on Federal Major Projects [23 CFR 172.9] (Note: this action cannot be assumed by State)	FHWA(6)	FHWA(6)
16	Approve exceptions to design standards [23 CFR 625.3(f)]	FHWA* for Interstate FHWA or STATE for Non-Interstate	STATE
17	Interstate System Access Change [23 USC 111] (Note: this action cannot be assumed by State)	FHWA	N/A
18	Interstate System Access Justification Report [23 USC 111] (Note: action may be assumed by State pursuant to 23 USC 111(e))	FHWA* or STATE	N/A
19	Airport highway clearance coordination and respective public interest finding (if required) [23 CFR 620.104]	FHWA or STATE	STATE
20	Approve Project Management Plan for Federal Major Projects over \$500 million [23 USC 106(h)] (Note: this action cannot be assumed by State)	FHWA	FHWA
21	Approve innovative and Public-Private Partnership projects in accordance with SEP-14 and SEP-15 (Note: this action cannot be assumed by State)	FHWA	FHWA
22	Provide pre-approval for preventive maintenance project (Note: this action cannot be assumed by State) FHWA may concur in STATE procedures for their use on a programmatic basis. [23 USC 116(e)]	FHWA	FHWA
23	Provide approval of preliminary plans for unusual/complex bridges or structures on the Interstate. [23 USC 109(a) and FHWA Policy]	FHWA(4)	N/A
24	Provide approval of preliminary plans for unusual/complex bridges or structures (non-Interstate). [23 USC 109(a) and FHWA Policy]	FHWA or STATE (4)	STATE

PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015)
(Excluding PoDIs, which are subject to separate PoDI Plans)

ITEM	ACTION	AGENCY RESPONSIBLE	
		PROJECTS ON THE NHS	PROJECTS OFF THE NHS
25	Approve retaining right-of-way encroachments [23 CFR 1.23 (b) & (c)]	FHWA or STATE	STATE
26	Approve use of local force account agreements [23 CFR 635.104 & 204]	FHWA* or STATE	STATE
27	Approve use of publicly owned equipment [23 CFR 635.106]	FHWA* or STATE	STATE
28	Approve the use of proprietary products, processes [23 CFR 635.411]	FHWA or STATE	STATE
29	Concur in use of publicly furnished materials [23 CFR 635.407]	FHWA* or STATE	STATE
30	Make feasibility/practicability determination for allowing authorization of construction prior to completion of ROW clearance, utility and railroad work [23 CFR 635.309(b)]	FHWA or STATE	STATE
31	Make public interest finding on whether State may proceed with bid advertisement even though ROW acquisition/relocation activities are not complete for some parcels [23 CFR 635.309(c)(3)]	FHWA for Interstate FHWA or STATE for Non-Interstate	STATE
32	Ensure compliant ROW certificate is in place [23 CFR 635.309(c)]	FHWA or STATE	STATE
33	Approve Hardship and Protective Buying [23 CFR 710.503] (If a Federal-aid project) (Note: this action cannot be assumed by State)	FHWA(9)	FHWA(9)
34	Approve Interstate Real Property Interest Use Agreements [23 CFR 710.405] (Note: this action cannot be assumed by State)	FHWA	N/A
35	Approve non-highway use and occupancy [23 CFR 1.23(c)]	FHWA for Interstate FHWA or STATE for Non-Interstate (3)	STATE (3)
36	Approve disposal at less than fair market value of federally funded right-of-way, including disposals of access control [23 U.S.C. 156] (Note: this action cannot be assumed by State)	FHWA	FHWA

PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015)
(Excluding PoDIs, which are subject to separate PoDI Plans)

ITEM	ACTION	AGENCY RESPONSIBLE	
		PROJECTS ON THE NHS	PROJECTS OFF THE NHS
37	Approve disposal at fair market value of federally funded right-of-way, including disposals of access control [23 CFR 710.409] (Note: 23 CFR 710.201 authorizes FHWA and STATE to agree to scope of property-related oversight and approvals for all actions except those on the Interstate System)	FHWA for Interstate FHWA or STATE for Non-Interstate (3)	STATE (3)
38	Federal land transfers [23 CFR 710, Subpart F] (Note: this action cannot be assumed by State)	FHWA	FHWA
39	Functional replacement of property [23 CFR 710.509] (Note: this action cannot be assumed by State)	FHWA(9)	FHWA(9)
40	Accept Transportation Management Plans [23 CFR 630.1012(b)]	FHWA or STATE	STATE
41	Approval of System Engineering Analysis (for ITS) [23 CFR 940.11]	FHWA or STATE	STATE
42	Approve PS&E [23 CFR 630.205]	FHWA or STATE	STATE
43	Authorize advance construction and conversions [23 CFR 630.703 & 709] (Note: this action cannot be assumed by State)	FHWA	FHWA
44	Approve utility or railroad force account work [23 CFR 645.113 & 646.216]	FHWA or STATE	STATE
45	Approve utility and railroad agreements [23 CFR 645.113 & 646.216]	FHWA or STATE	STATE
46	Approve use of consultants by utility companies [23 CFR 645.109(b)]	FHWA or STATE STATE(8)	STATE(8)
47	Approve exceptions to maximum railroad protective insurance limits [23 CFR 646.111]	FHWA or STATE	STATE
48	Authorize (approve) advertising for bids [23 CFR 635.112, 309]	FHWA or STATE	STATE
49	Approve cost-effectiveness determinations for construction work performed by force account or by contract awarded by other than competitive bidding [23 CFR 635.104 & .204]	FHWA* or STATE	STATE
50	Approve emergency determinations for contracts awarded by other than competitive bidding [23 CFR 635.104 & .204]	FHWA* or STATE	STATE
51	Approve construction engineering by local agency [23 CFR 635.105]	FHWA* or STATE	STATE

PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015)
(Excluding PoDIs, which are subject to separate PoDI Plans)

ITEM	ACTION	AGENCY RESPONSIBLE	
		PROJECTS ON THE NHS	PROJECTS OFF THE NHS
52	Approve advertising period less than 3 weeks [23 CFR 635.112]	FHWA* or STATE	STATE
53	Approve addenda during advertising period [23 CFR 635.112]	FHWA or STATE , whichever approved PS&E	STATE
54	Concur in award of contract [23 CFR 635.114]	FHWA or STATE	STATE
55	Concur in rejection of all bids [23 CFR 635.114]	FHWA or STATE	STATE
56	Approval of Design-Build Requests-for-Proposals and Addenda [23 CFR 635.112]	N/A(7)	N/A(7)
57	Approve changes and extra work and concur in settlement of contract claims [23 CFR 635.120 and 23 CFR 635.124]	FHWA or STATE (10)	STATE(10)
58	Approve contract time extensions [23 CFR 635.120]	FHWA or STATE	STATE
59	Concur in use of mandatory borrow/disposal sites [23 CFR 635.407]	FHWA or STATE	STATE
60	Accept materials certification [23 CFR 637.207]	FHWA or STATE	STATE
61	Concur in termination of construction contracts [23 CFR 635.125]	FHWA* or STATE	STATE
62	Waive Buy America provisions [23 CFR 635.410] (Note: this action cannot be assumed by State)	FHWA	FHWA
63	Final inspection of completed work [23 USC 114(a)]	FHWA or STATE	STATE
64	Approval of Disadvantaged Business Enterprise (DBE) Project Contract Goal set by the State DOT under 49 CFR 26.51(d). [49 CFR 26.51(e)(3)]	FHWA or STATE	STATE
65	Acceptance of Bidder's Good Faith Efforts to Meet Contract Goal [49 CFR 26.53] or of Prime Contractor's Good Faith Efforts to Find Another DBE Subcontractor When a DBE Subcontractor is Terminated or Fails to Complete Its Work [49 CFR 26.53(g)] (Note: this action cannot be performed by the FHWA)	STATE	STATE

PROJECT ACTION RESPONSIBILITY MATRIX (as of February 6, 2015) (Excluding PoDIs, which are subject to separate PoDI Plans)			
ITEM	ACTION	AGENCY RESPONSIBLE	
		PROJECTS ON THE NHS	PROJECTS OFF THE NHS
66	Equal Employment Opportunity (EEO) Contract Compliance Review [23 CFR Part 230, Subpart D)].	FHWA or STATE	STATE
67	Training Special Provision – Approval of Project Goal for training slots or hours [23 CFR Part 230, Subpart A]	FHWA or STATE	STATE
68	Training Special Provision – Approval of New Project Training Programs (Note: this action cannot be assumed by State) [23 CFR 230.111(d), (e)]	FHWA	FHWA

Footnotes:

(1) State is responsible for ensuring that all individual elements of the project are eligible. FHWA will check that the scope of the project as described in submitted project agreement is eligible for the category of funding sought. All final eligibility and participation determinations are retained by FHWA.

(2) If there is a 23 U.S.C. 326 or 325 assignment or PCE agreement, decisions are handled in accordance with those assignments or agreements. Iowa has a PCE Agreement, which should be consulted for details on the responsibilities Iowa has assumed for categorical exclusions.

(3) State’s process and modifications to, or variation in process, require FHWA approval.

(4) Unusual/Complex bridges and structures are those that the Division determines to have unique foundation problems, new or complex designs, exceptionally long spans, exceptionally large foundations, complex hydrologic (including climate change and extreme weather events) aspects, complex hydraulic elements or scour related elements, or that are designed with procedures that depart from currently recognized acceptable practices (i.e., cable-stay, suspension, arch, segmental concrete, moveable, truss, tunnels, or complex geotechnical walls or ground improvement systems)

(5) Formal FHWA approval will be documented in the FMIS obligation/approval document

(6) Applies only to Federal-aid funded consultant agreements.

(7) Not applicable in Iowa at the time of this agreement due to restriction in Iowa Code.

(8) When utilities procure consultant services, they do not follow a Brooks Act based consultant selection and can be selected by the utility company per 23 CFR 645.109.

(9) Applies only to a specific federally funded ROW acquisition.

(10) All final eligibility and participation determinations are retained by FHWA.

ATTACHMENT B - PROGRAM RESPONSIBILITY MATRIX

PROGRAM ACTION RESPONSIBILITY

The following matrix is an example list of program actions. The Division should refer to (link removed) for the latest updated version which can be incorporated into the agreement or referenced as a control document. Modify the matrix to reflect the Division and State “Responsible Program Office.” The primary office of contact should be listed, rather than an individual or the approving official.

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Appropriations, Allotments, Obligations	31 USC 1341(a)(1)(A)& (B); 31 USC 1517(a); 23 USC 118(b), 23 USC 121	As needed	Not Applicable	Office of Chief Financial Officer	Financial Manager	Program Management/ Policy and Legislative Services	State will monitor appropriations, allotments, and obligations to ensure that all funding is used efficiently within each quarter and use all Obligation Authority (OA) by the end of the year.
Approval of Indirect Cost Allocation Plans (ICAPs)	2 C.F.R Part 200, Subpart E;ASMBC-10	As needed	Not Applicable	Office of Chief Financial Officer	Financial Manager	Finance- External Audits and Finance-Accounting	The State will certify that the ICAP was prepared in accordance with 2 CFR 200 Subpart E.
FIRE Program Activities	FHWA Order 4560.1C (or as superseded)	Ongoing		Office of Chief Financial Officer	Financial Manager	Finance & Various Iowa DOT offices as applicable	State will continue to provide oversight and conduct reviews to ensure Federal-aid compliance. FHWA will review and monitor. State responsibilities include multiple tasks in support of risk assessments, conducting reviews and implementation of recommendations.

⁴ All actions taken on or after December 26, 2014, shall be governed by the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR Part 200. Part 200 of 2 CFR supersedes 49 CFR Parts 18 and 19, and requirements from OMB Circulars A-21, A-87, A-110, and A-122 (which have been placed in OMB guidances); Circulars A-89, A-102, and A-133; and the guidance in Circular A-50 on Single Audit Act follow-up

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Audit Coordination/FHWA Financial Statement Audit/State External Audit Reviews/State Internal Audit Reviews	FMFIA, 2 C.F.R Part 200, Subpart F; ; GAAP, CFO Act of 1990; DOT Order 8000.1C	As needed	Not Applicable	Office of Chief Financial Officer	Financial Manager	Finance - External Audits and Finance -Accounting	State assures corrective action is taken to resolve audit findings and FHWA will monitor activities to ensure implementation.
Improper Payments Review	Improper Payments Information Act of 2002, PL 107-300, Improper Payments Elimination and Recovery Act of 2010, PL 111-204, Improper Payments Elimination and Recovery Improvement Act of 2012, PL 112-248	Annually		Office of Chief Financial Officer	Financial Manager	Finance & Various Iowa DOT offices as applicable	State will provide all information necessary to document sampled payments and FHWA offices will review and complete appropriate data submittal forms.
Transfer of Funds between programs or to other FHWA offices or agencies as requested by State	23 USC 126, 23 USC 132, and FHWA Order 4551.1	As needed	Not Applicable	Office of Chief Financial Officer	Financial Manager	Program Management/ Research/Highway Division/Districts	State will submit requests for transfer and FHWA approves and processes the funding transfers between programs, to other States, to other agencies, and to FHWA HQ, Federal Lands, or Research offices.
Reviews of State Transportation Departments Financial Management Systems - Financial Integrity	23 USC 106(g)(2)(A)	Annually	Not Applicable	Office of Chief Financial Officer	Financial Manager	Finance-Accounting & Various Iowa DOT offices as applicable	23 USC 106(g)(2)(A) states that the Secretary shall perform annual reviews that address elements of the State transportation departments' financial management systems that affect projects approved under subsection (a).
Review Adequacy of Sub-recipient Project Delivery Systems and Sufficient Accounting Controls to Manage Federal Funds	23 USC 106(g)(4)(A)(i)	As needed	Not Applicable	Office of Chief Financial Officer	Financial Manager	Local Systems/ Systems Planning	
Periodic Reviews of States Monitoring of sub-recipients	23 USC 106(g)(4)(B)	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Local System/Systems Planning	

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of Increased Federal Share Agreement (Sliding Scale)	23 USC 120(b)(2)	As determined by the Federal Share Agreement	Not Applicable	Office of Chief Financial Officer	Financial Manager	Program Management/ Finance-Accounting and other offices as applicable	A State must enter into an agreement with FHWA for use of the increased Federal share allowable under this section, which must be reviewed and updated periodically as agreed to in the agreement. States must demonstrate that they are in compliance with the statute and the agreement.
Prepare / Review Title VI Plan Accomplishments and Next Year's Goals	23 CFR 200.9(b)(10)	Annually	1-Oct	Office of Civil Rights	Civil Rights	OES-Civil Rights	Division office reviews and comments.
Prepare / EEO Contractor Compliance Plan accomplishments and next year's goals	23 CFR 230, Subpart C, Appendix A, Part I, III	Annually	1-Oct	Office of Civil Rights	Civil Rights	OES-Civil Rights	Division office reviews and comments.
Prepare / Review State Internal EEO Affirmative Action Plan (Title VII) Accomplishments and Goals	23 CFR 230.311	Annually	1-Oct	Office of Civil Rights	Civil Rights	OES-Civil Rights	Courtesy copy to HQ.
Review DBE Program Revisions	49 CFR 26.21(b)(2)	As needed	Not Applicable	Office of Civil Rights	Civil Rights	OES-Civil Rights	Division sends to HCR for review and approval as
Prepare / DBE Uniform Awards and Commitment Report	49 CFR 26, Appendix B	Semi-Annual	June 1st December 1st	Office of Civil Rights	Civil Rights	OES-Civil Rights	Division Office reviews and sends to HCR
Prepare / Annual Analysis and Corrective Action Plan (if necessary)	49 CFR 26.47(c)	Annual (as necessary)	December 31st	Office of Civil Rights	Civil Rights	OES-Civil Rights	Division Office approves sends copy to HCR
Prepare / State DBE Program Goals	49 CFR 26.45(f)(1)	Triennial	August 1st	Office of Civil Rights	Civil Rights	OES-Civil Rights	Division reviews and approves; HCC provides legal sufficiency review and approval sends copy to HCR
Prepare / Review On-the-Job-Training (OJT) goals & accomplishments	23 CFR 230.111(b)	Annually	TBA	Office of Civil Rights	Civil Rights	OES-Civil Rights	Division office reviews and comments.
Approval of OJT and DBE Supportive Services fund requests	23 CFR 230.113 & 23 CFR 230.204	Annual	TBA	Office of Civil Rights	Civil Rights	OES-Civil Rights	Division recommends approval submits to HCR for final approval
Return of any unused discretionary grant program funding	23 CFR 230.117(2)	Annual	TBA	Office of Civil Rights	Civil Rights	OES-Civil Rights/Program Management	Division works with HCR and CFO

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Prepare / Review of Report on Supportive Services (OJT & DBE)	23 CFR 230.113(g), 230.121(e), 230.204(g)(6)	Quarterly		Office of Civil Rights	Civil Rights	OES-Civil Rights	Division office reviews and comments.
Prepare / Review Annual Contractor Employment Report (Construction Summary of Employment Data (Form PR-1392)	23 CFR 230.121(a); Appendix D to Subpart A, Part 230, General Information and Instructions	Annually	1-Dec	Office of Civil Rights	Civil Rights	OES-Civil Rights	Recommendation sent to HQ for approval.
Prepare / Review State DOT Employment Statistical Data (EEO-4)	23 CFR, Subpart C, Appendix A	Biannual	1-Dec	Office of Civil Rights	Civil Rights	OES-Civil Rights	Report sent to HQ quarterly for informational purposes and recommendation sent to HQ annually for approval.
Prepare / Review Annual Federal Projected Awards Reports - Historically Black Colleges & Universities/Tribal Colleges & Universities/Hispanic Serving Institutes, American Indian Alaskan Native, Asian Pacific & American Islander.	Presidential Executive Orders: 13230, 13256, 13270, 13361, 13515	Annual	TBA	Office of Civil Rights	Civil Rights	OES-Civil Rights	Divisions submit data to HCR who prepares report for DOCR
Prepare / Review ADA Complaint Reports of Investigation	28 CFR 35.190	As needed	Not Applicable	Office of Civil Rights	Civil Rights	OES-Civil Rights	Division office reviews, FHWA HQ approves and issues finding.
Review Americans with Disabilities Act (ADA) /Sec. 504 Program Plan accomplishments and next year's goals	49 CFR 27.11(c), EO 12250	Annually	1-Oct	Office of Civil Rights	Civil Rights	OES-Civil Rights	Division office reviews and comments.
Return of unexpended funds used for Summer Transportation Institutes	23 CFR 230.117(2)	Annual	August 30; however, State procurement rules may govern	Office of Civil Rights	Civil Rights	OES-Civil Rights	Divisions work with HCR and CFO
Prepare / Review Request for National Summer Transportation Institute (NSTI) Proposals (SOWs)	23 USC 140(b)	Annual	TBA	Office of Civil Rights	Civil Rights	OES-Civil Rights	Divisions recommend approval. HCR gives final approval
Prepare / Review NSTI Report (questionnaire)	23 USC 140(b)	Annual	October 15th	Office of Civil Rights	Civil Rights	OES-Civil Rights	Divisions provide to HCR

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Receipt of State Consultation Process with Tribal Governments	23 CFR 450.210(c)	As needed	Not Applicable	Office of Federal Lands Highway	Planner	Program Management	Informational Purposes.
Approval of Contracting Procedures for Consultant Selection	23 CFR 172.5 & 172.9	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Design/ Local Systems/Bridges and Structures	FHWA Division Office Approval.
Determination of High Risk Categories - Limitation on Interstate Projects	23 USC 106(c)(4)(B)	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Highway Division	Office of Program Administration determines national categories and must concur on any State designations.
Approval of State 3R Program	23 CFR 625.4(a)(3), 23 USC 109(n)	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Design/Program Management/Districts	FHWA Division Office Approval.
Verify adoption of Design Standards (National Highway System, including Interstate)	23 CFR 625, 23 USC 109(b), 23 USC 109(c)(2), 23 USC 109(o)	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Design/Bridges and Structures	FHWA HQ regulatory action to adopt NHS standards.
Approval of preliminary plans of Major and Unusual Bridges on the Interstate Highway System	(M1100.A)	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Bridges and Structures	Director of HIBT has approval of preliminary plans of Major and Unusual Bridges on the Interstate Highway System (M1100.A)
Approval of State Standard Specifications	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Specifications	FHWA Division Office Approval.
Verify State Design Exception Policy complies with FHWA Policy	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Design/Local Systems	FHWA Division Office Approval.
Approval of State Standard Detail Plans	23 CFR 625.3	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Design/Bridges and Structures	FHWA Division Office Approval.
Approval of Pavement Design Policy	23 CFR 626.3	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Construction and Materials	FHWA Division Office Approval.
Review of Value Engineering Policy and Procedures	23 CFR 627.1(b)&(c), 23 CFR 627.7 FHWA Order 1311.1B	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Location and Environment/Design	FHWA Division Office Review.
Review of Value Engineering Annual Report	23 CFR 627.7, FHWA Order 1311.1B	Annual	Not Applicable	Office of Infrastructure	Program Delivery Team	Design/Location and Environment/Construction and Materials/District Offices	FHWA Division Office collects, reviews, and submits to HQ for review and reporting.
Review and Approval of Interstate Access Requests	23 USC 111, 23 CFR 710, 74 FR 43743-43746 (Aug. 27, 2009)	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Location and Environment/ Design/ District Offices/ Traffic and Safety/Systems Planning	FHWA Division Office approval with concurrence from HQ on more complex access requests.
Approval of Liquidated Damages Rate	23 CFR 635.127	Every 2 years	Not Applicable	Office of Infrastructure	Program Delivery Team	Contracts	FHWA Division Office Approval.

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of Quality Assurance Program	23 CFR 637.205	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Construction and Materials	State administers, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.
Assure Central Laboratory accredited by AASHTO Accreditation Program or FHWA approved comparable program	23 CFR 637.209	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Construction and Materials	State administers, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.
Assure Non-STD designated lab performing Independent Assurance sampling and testing accredited by AASHTO Accreditation Program or FHWA approved comparable program	23 CFR 637.209	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Construction and Materials	State administers, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.
Assure Non-STD designated lab used in dispute resolution accredited by AASHTO Accreditation Program or FHWA approved comparable program	23 CFR 637.209	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Construction and Materials	State administers, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.
Review Independent Assurance Annual Report	23 CFR 637.207	Annually	1-Mar	Office of Infrastructure	Program Delivery Team	Construction and Materials	State administers, with programmatic agreement by the Division Office, as part of their materials testing and construction quality assurance/acceptance program.
Assure Labor Compliance - Prevailing Wage Rate	23 USC 113	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Construction and Materials/Office of Employee Services	FHWA Division Office Review and Approval
Determination of Eligible Preventive Maintenance Activity - Cost-Effective Means of Extending Useful Life Determination	23 USC 116(e)	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Design/Bridges and Structures/ Local Systems/ Districts	FHWA Division Office Approval
Approval of Utility Agreement / Alternate Procedure	23 CFR 645.119	As needed	Not Applicable	Office of Infrastructure	Realty Manager	ROW/Local Systems/ Traffic and Safety	FHWA Division Office Approval

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of Utility Accommodation Policy	23 CFR 645.215, 23 USC 109(l), 23 USC 123	As needed	Not Applicable	Office of Infrastructure	Realty Manager	ROW/Local Systems/ Traffic and Safety	FHWA Division Office Approval
Review Bridge Construction, Geotechnical, and Hydraulics	23 CFR 650	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Bridges and Structures/Design	
Review Plans of Corrective Action established to address NBIS compliance issues	23 CFR 650, 23 USC 144	Annually		Office of Infrastructure	Program Delivery Team	Bridges and Structures	Division office performs annual compliance review and reports results to HQ.
Review NBI Data Submittal	23 CFR 650 Subpart C, Annual Memo from HQ, 23 USC 144	Annually	1-Apr	Office of Infrastructure	Program Delivery Team	Bridges and Structures	Division resolve errors with States; States submit to HQ.
Review structurally deficient bridge construction Unit Cost submittal	23 USC 144	Annually	1-Apr	Office of Infrastructure	Program Delivery Team	Program Management/Bridges and Structures/Contracts	Submit to HQ.
Review Section 9 of the Rivers and Harbors Act Submittals (Bridge Permits)	23 CFR 650 Subpart H; 33 CFR 114 & 115	As needed	Not Applicable	Office of Infrastructure	Environmental Manager	Location and Environment/Bridge and Structures	
Approval for reduction of expenditures for off-system bridges	23 USC 133(g)(2)(B)	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team/Financial Manager	Program Management/Local Systems	The FHWA Administrator may reduce the requirement for expenditures for off-system bridges if the FHWA Administrator determines that the State has inadequate needs to justify the expenditure.
Determination on Adequacy of State's Asset Management Plan	23 USC 119(5)	Annually beginning second fiscal year after establishment of the process		Office of Infrastructure	Program Delivery Team	Performance and Technology	
Certification and Recertification of States Process for Development of State Asset Management Plan	23 USC 119(6)	Recertification every four years after establishment of the process		Office of Infrastructure	Program Delivery Team	Performance and Technology	
Review Reporting on Performance Targets	23 USC 150(e)	Beginning four years after enactment of MAP-21 and biennially thereafter		Office of Infrastructure	Program Delivery Team	Performance and Technology	

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Review National Highway System Performance Achievement Plan for Actions to achieve the targets (when State does not achieve or make significant progress toward achieving)	23 USC 119(7)	Required if State does not achieve targets (or significant progress) for 2 consecutive reports		Office of Infrastructure	Program Delivery Team	Performance and Technology	
States and sub-recipient failure to maintain projects - Notice and withholding Federal-aid Funds	23 USC 116(d)	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team/ Planning and Development Team/Financial Manager	Local Systems/Systems Planning/Maintenance/Finance	
Emergency Relief (ER) Damage Assessments and Reports	23 CFR 668 23 USC 120 and 125	As needed	Not Applicable	Office of Infrastructure	Program Delivery	Systems Operations/Districts	Perform with State.
Toll Credit and Maintenance of Effort (MOE) Calculation and Agreement	23 USC 120(i)	Annually		Office of Infrastructure	Program Delivery/Financial Manager	Highway	State will calculate the amount of eligible toll credit and submit for approval. FHWA will review and approve the request.
Local Public Agency (LPA) Oversight	2 CFR 200.331;; 23 USC 106(g)(4)	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Local Systems/Systems Planning	States are responsible to ensure that LPAs are aware of all the applicable Federal-aid Program requirements; States are responsible to ensure monitoring and oversight to assure compliance with Federal requirements. 23 USC further reinforces stressing accountability on "project delivery systems" and "accounting controls."
Approval to Sell, Lease or Otherwise Dispose of a Ferry Purchased with Federal-aid Funds	23 USC 129 (c)(6)	As needed	Not Applicable	Office of Infrastructure	Program Delivery Team	Planning, Programming, and Modal Division	Division Office reviews and submits for Office of Program Administration for Administrator Approval
Territorial Highway Program - Approval of Territory Agreement	23 USC 165(c)(5)	Reviewed and Revised as needed every two years		Office of Infrastructure	NA	NA	Division Office works with Office of Program Administration and HCC
TIFIA Credit Program	23 USC 601-609	As needed	Not Applicable	Office of Innovative Program Delivery	Financial Manager	Program Management and Policy Legislative Services	Project sponsors submit requests for credit assistance to the TIFIA JPO for review; approval by the Secretary

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
GARVEEs	23 USC 122; GARVEE Guidance 3/14	As needed	Not Applicable	Office of Innovative Program Delivery	Financial Manager	Program Management and Policy Legislative Services	MOUs strongly suggested for each GARVEE issue. FM contacts OIPD for review/concurrence before final approval
State Infrastructure Banks	NHS Act Section 308; 23 USC 610; SIB Guidance 3/14	Annual Report	Not Applicable	Office of Innovative Program Delivery	Financial Manager	Program Management and Policy Legislative Services	Division sends copy of report to OIPD. SIB submits annual report to Division Office.
Section 129 Tolling Authority Requests	23 USC 129(a)	As needed	Not Applicable	Office of Innovative Program Delivery	Financial Manager/Program Delivery Team	Financial Manager/Program Delivery Team	At the option of the project sponsor, may execute a Tolling Eligibility MOU with the Division Office; HIN coordinates FHWA HQ review
Section 166 HOV/HOT Lanes Tolling Authority Requests	23 USC 166(d)	As needed	Not Applicable	Office of Innovative Program Delivery	Financial Manager/Program Delivery Team	Program Management and Policy Legislative Services	At the option of the project sponsor, may execute a Tolling Eligibility MOU with the Division Office; HIN coordinates FHWA HQ review
Value Pricing Pilot Program Tolling Authority Requests	ISTEA Section 1012(b)	As needed	Not Applicable	Office of Innovative Program Delivery	Financial Manager/Program Delivery Team	Program Management and Policy Legislative Services	Requests submitted to HIN to coordinate review; approval by the Administrator
Interstate System Reconstruction and Rehabilitation Pilot Program Tolling Authority Requests	TEA-21 Section 1216(b)	As needed	Not Applicable	Office of Innovative Program Delivery	Financial Manager/Program Delivery Team	Program Management and Policy Legislative Services	Applications submitted to HIN to coordinate review; approval by the Administrator
Annual Audit of Toll Facility Records and Certification of Adequate Maintenance - Report Submittal	23 USC 129(a)(3)(B); TEA-21 Section 1216(b)(5)(B); SAFETEA-LU Section 1604(b)(3)(A); ISTEA Section 1012(b)(3)	Annually		Office of Innovative Program Delivery	Financial Manager/Program Delivery Team	Program Management and Policy Legislative Services	Division Office to receive the reports.
Project Management Plan (Major Projects)	23 U.S.C. 106(h)(2)	Prior to first federal authorization of construction funds for a Major Project	Not Applicable	Office of Innovative Program Delivery	Division Office will conduct concurrent review with HQ Office of Innovative Program Delivery.	State DOT or Project Sponsor will prepare and submit Project Management Plan.	Division Office will provide approval after receiving concurrence from HQ Office of Innovative Program Delivery.

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Financial Plan (Major Projects)	23 U.S.C. 106(h)(3)	Prior to first federal authorization of construction funds for a Major Project and then annually.	Annually as noted in the approved Initial Financial Plan	Office of Innovative Program Delivery	Division Office will conduct concurrent review with HQ Office of Innovative Program Delivery.	State DOT or Project Sponsor will prepare and submit annual Financial Plans.	Division Office will provide approval after receiving concurrence from HQ Office of Innovative Program Delivery.
Financial Plan (Other Projects)	23 U.S.C. 106(i)	Prior to first federal authorization of construction funds for an Other Project and then annually.	Annually as noted in the approved Initial Financial Plan	Office of Innovative Program Delivery	Division Office will review Financial Plans for Other Projects in accordance with its stewardship and oversight agreement with the State DOT or Project Sponsor.	State DOT or Project Sponsor will prepare and submit annual Financial Plans to the Division Office, only upon request.	Other Projects are defined as projects with an estimated total cost of \$100 million or more that have not been designated as Major Projects.
Review Designation and Re-designation of Primary Freight Network	23 USC 167(d)	One year after enactment of MAP-21 and every ten years thereafter		Office of Operations	Planner	Systems Planning	Under development, initial PFN designation scheduled for Spring 2014 completion.
Review Development and Update of National Freight Strategic Plan	23 USC 167(f)	Three years after enactment of MAP-21 and every five years thereafter		Office of Operations	Planner	Systems Planning	OST lead
Review Freight Transportation Conditions and Performance Report	23 USC 167(g)	Two years after enactment of MAP-21 and every two years thereafter		Office of Operations	Planner	Systems Planning	OST lead
Review HOV Operations Report for Tolloed Use and Low-Emission and Energy-Efficient Vehicle Use	23 USC 166(d)	Annually		Office of Operations	Planner	Systems Planning	
Congestion Partnerships Assessment	Annual Memo from HQ	Annually	1-Jul	Office of Operations	Planner	Systems Planning	Complete with partners and forward to HQ.
Traffic Incident Management Self-Assessment	Annual Memo from HQ	Annually	1-Jul	Office of Operations	Program Delivery Team	Traffic Operations	Complete with partners and forward to HQ.

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Work Zone Self-Assessment	Annual Memo from HQ	Annually	7/1/2013, This project is currently on hiatus and has not been determined whether it will be reestablished or not.	Office of Operations	Program Delivery Team	Traffic and Safety/Construction and Materials	Complete with partners and forward to HQ.
Approval of State-Prepared Manual on Uniform Traffic Control Devices - State Traffic Control Manuals	23 CFR 655.603, 23 USC 109(d)	As needed	Not Applicable	Office of Operations	Program Delivery Team	Traffic and Safety	
Review Vehicle Size & Weight Enforcement Plan	23 CFR 657.11, 23 USC 127	Annually	1-Oct	Office of Operations	Planning and Development Manager	Motor Vehicle Enforcement	
Review Vehicle Size & Weight Enforcement Certification	23 CFR 657.13, 23 USC 141	Annually	1-Jan	Office of Operations	Planning and Development Manager	Motor Vehicle Enforcement	
Approval of National Network Modifications	23 CFR 658.11	As needed	Not Applicable	Office of Operations	Planner	Systems Planning	
Intelligent Transportation System Architecture & Standards	23 CFR Part 940	As needed	Not Applicable	Office of Operations	Program Delivery Team	Traffic Operations	
Approval of Work Zone Significant Project Determination	23 CFR 630.1010	As needed		Office of Operations	Program Delivery Team	Traffic and Safety	
Approval of Exceptions to Work Zone Procedures for Interstate Projects	23 CFR 630.1010	As needed		Office of Operations	Program Delivery Team	Traffic and Safety	
Approval of Work Zone Policy and Procedures Conformance Review	23 CFR 630.1014	At appropriate intervals		Office of Operations	Program Delivery Team	Traffic and Safety	
Process Review of Work Zone Safety and Mobility Procedures	23 CFR 630.1008, 23 USC 109(e)(2), 23 USC 112(g)	Every 2 years		Office of Operations	Program Delivery Team	Traffic and Safety	
Approval of State Planning Work Program and Revisions (Part 1)	23 CFR 420.111, 23 CFR 420.115, and 23 CFR 420.209	Annually	Prior to Program Period	Office of Planning, Environment & Realty	Planner	Systems Planning	FHWA Division Office Approval.

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of State Research and Development Work Program (Part 2)	23 CFR 420.111, 23 CFR 420.115, and 23 CFR 420.209	Annually	Prior to Program Period	Office of Planning, Environment & Realty	Planner	Research and Analytics	FHWA Division Office Approval.
Approval of State's Distribution of Planning Funds Formula - Allocation Formulas for PL Funds	23 CFR 420.109, 23 USC 104(d)(2)(A)(i)	When Revised	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	FHWA Division Office Approval.
Review of State Public Involvement Procedures	23 CFR 450.210(a)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner	Program Management/Systems Planning	FHWA Division Office Review to Assure Compliance.
Receipt of State Consultation Process for Non-metropolitan Local Officials	23 CFR 450.210(b)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	Informational Purposes.
Review of Long-range Statewide Transportation Plan	23 CFR 450.214	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	FHWA Division Office Review to Assure Compliance.
Approval of Statewide Transportation Improvement Program (STIP)	23 CFR 450.216, 23 CFR 450.218(a) & (c), 23 USC 135(g)(7)	At least every 4 years	Not Applicable	Office of Planning, Environment & Realty	Planner	Program Management	Joint FHWA and FTA approval.
Approval of STIP Amendments	23 CFR 450.218(a) & (c)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner	Program Management	Joint FHWA and FTA approval.
Finding of Consistency of Planning Process with Section 134 and 135	23 USC 135(g)(8), 23 CFR 450.218(b)	Concurrent with STIP approval	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	FHWA and FTA issue a joint finding concurrent with STIP approval.
Review of State Self-certification that Planning Process is in Accordance with Applicable Requirements	23 CFR 450.218(a)	Submitted with proposed STIP or STIP amendments	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	Received with STIP.
Approval of Transportation Management Area (TMA) MPO Unified Planning Work Programs (UPWP)	23 CFR 450.308(b) and 23 CFR 420 (Subpart A)	Prior to Program End	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of Non-TMA UPWA	23 CFR 450.308(b) and 23 CFR 420 (Subpart A)	Prior to Program End	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	May use simplified work statement.
Approval of UPWP Revisions and Amendments (All MPO's)	23 CFR 420.115	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	
Review of UPWP Performance and Expenditure Reports (All MPO's)	23 CFR 420.117(b)	Not more frequently than quarterly	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	
Approval of Report Before Publication (All MPO's)	23 CFR 420.117(e)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	Waiver may be granted.
Approval to use Planning Funds outside Urbanized Areas for States Receiving Minimum Apportionment	23 USC 104(d)(1)(A)(ii)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	
Review of Metropolitan Planning Area Boundary (Establishment and Changes)	23 CFR 450.312	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	Approval by MPO and the Governor, shape files forwarded to HQ. (Comment: No action is required by FHWA/FTA).
Review of Metropolitan Transportation Planning Organizations (MPO) Designation and Re-designation	23 CFR 450.310	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	Require agreement between Governor and local governments.
Review of Metropolitan Planning Agreements (MPA) for Attainment or Entire Nonattainment Area	23 CFR 450.314(a)	When Completed	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	Between MPO/State DOT/Transit Operator. Included in UPWP or Prospectus (23 CFR 450.314(d)).
Review of MPA - for MPA that do not include the entire nonattainment or maintenance area	23 CFR 450.314(b), 23 USC 109(j)	When Completed	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	Between MPO/State DOT/State AQ Agency.
Review of MPO Public Participation Procedures	23 CFR 450.316(a)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	Must be developed and published.

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Review of Metropolitan Transportation Plan (MTP) in Attainment Areas (and Updates)	23 CFR 450.322	Every 4 years	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	
Review of MTP in Non-Attainment and Maintenance Areas (and Updates)	23 CFR 450.322	Every 5 years	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	
Review of MTP Amendments	23 CFR 450.322(c)	As Needed	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	
Air Quality Conformity Determination on LRTP in Non-attainment and Maintenance Areas	23 CFR 450.322(d)	Concurrent with LRTP updates at least every 4 years and as needed on amendments	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning/Location and Environment	After receipt of MPO determination; Joint FHWA and FTA determination in consultation with the Environmental Protection Agency (EPA).
Review of Transportation Improvement Program (TIP)	23 CFR 450.300(a); 23 CFR 450.324(b); 23 CFR 450.328(a), 23 USC 134(j)(1)(D)	Prior to Program Period	Not Applicable	Office of Planning, Environment & Realty	Planner	District Transportation Planner/Program Management	No succinct Federal approval action is required for the TIP. FHWA/FTA approval of the TIP is through the STIP approval process.
Review of TIP Amendments	23 CFR 450.324(a); 23 CFR 450.328(b)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner	District Transportation Planner/Program Management	No succinct Federal approval action is required for the TIP. FHWA/FTA approval of the TIP is through the STIP approval process.
Approval of Air Quality Conformity Determination on TIP	23 CFR 450.326; 23 CFR 450.328	At least every 4 years, or when the TIP has been modified (unless exempt projects)	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning/Location and Environment	Applies to non-attainment and maintenance areas only. After receipt of MPO determination, joint determination with FTA (in cooperation with EPA).
Federal Finding of Consistency of Planning Process with Section 134 and 135	23 CFR 450.218(b); 23 CFR 450.334(a)	Concurrent with (S)TIP submittal	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	At least every four years, joint finding with FTA when TIP is submitted.

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
In Metropolitan Planning Areas, Review of State and MPO Self-certification that Planning Process is in Accordance with Applicable Requirements	23 CFR 450.334 (a), 23 CFR 218(a)	Annually or concurrent with the STIP/TIP cycle	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	Required for all MPO's. May be included in the STIP, TIP, or UPWP, at least every 4 years.
In TMA's, Certification that Planning Process is in Accordance with Applicable Requirements	23 CFR 450.334(b), 23 USC 134(k)(5)	Every 4 years		Office of Planning, Environment & Realty	Planner	Systems Planning	Joint FHWA and FTA Certification.
Approval of Federal-Aid Urban Area Boundaries	23 CFR 470.105 (a), 23 USC 101(a)(33)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	
Approval of Revision of Functional Classification	23 CFR 470.105 (b)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning	
Approval by Administrator of Interstate Additions & Revisions	23 USC 103(c)(1)(D), 23 CFR 470.111, 23CFR 470.115 (a)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner/Program Delivery Team	Planning, Programming, and Modal Division/Location and Environment	Approval by HQ – Administrator.
Approval by Office Director of National Highway System (NHS) Additions and Revisions	23 USC 103(b)(3), 23 CFR 470.113 and 470.115(a)	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner	Systems Planning/Highway Division	Approved by HQ - Office Director.
Review of CMAQ Annual Report	CMAQ Guidance Memo October 31, 2006	Annually	1-Mar	Office of Planning, Environment & Realty	Planner/ Program Delivery Team	Systems Planning	Division provides information on CMAQ projects including amount of obligation, project description and location, and air quality benefits. The report must be submitted via the web-based CMAQ Tracking System.
Transportation Planning Excellence Awards		Annually	1-Feb	Office of Planning, Environment & Realty	Planner	Systems Planning	Call for entries for the FHWA FTA Transportation Planning and Excellence Awards.
Approval of Local Technical Assistance Program (LTAP) Centers Work Plan and Budget	FHWA LTAP Field Manual	Annually	31-Mar	Office of Planning, Environment & Realty	Program Delivery Team	Local Systems	FHWA HQ approval.

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of Public Involvement Program Procedures	23 CFR 771.111(h), 23 USC 128	As needed	Not Applicable	Office of Planning, Environment & Realty	Environmental Manager	Location and Environment/ Local Systems/Systems Planning/Program Management/Districts	
Approval of NEPA Procedures, including Section 4(f)	23 CFR 771; 23 CFR 774; SAFETEA-LU 6007 & 6009, 23 USC 109(h)	As needed	Not Applicable	Office of Planning, Environment & Realty	Environmental Manager	Location and Environment	
Approval of Noise Policies	23 CFR 772.7, 772.9, and 772.13, 23 USC 109(i)	As needed	Not Applicable	Office of Planning, Environment & Realty	Environmental Manager	Location and Environment	FHWA approves State' noise abatement policy.
EIS Status Updates	FHWA Strategic Goal - EIS Timeliness	Quarterly	(Fiscal Year - Oct, Jan, Apr, Jul)	Office of Planning, Environment & Realty	Environmental Manager	Location and Environment	Monitor time required to complete EIS's. Determine projects that have exceeded recommended timeline (3 years). Identify projects that should be listed as dormant. Submit to HEPE.
Endangered Species Act Cost Report		Annually	1-Mar	Office of Planning, Environment & Realty	Environmental Manager	Location and Environment	
Exemplary Ecosystem Initiatives Applications		Annually	1-Apr	Office of Planning, Environment & Realty	Environmental Manager	Location and Environment	
Approval of Acquisitions, Appraisals, and Relocations Program and Procedures	49 CFR Part 24, The UA	As needed	Not Applicable	Office of Planning, Environment & Realty	Realty Manager	ROW	
Early Acquisitions	23 CFR 710.501	As needed	Not Applicable	Office of Planning, Environment & Realty	Realty Manager	ROW and Location and Environment	
Local Public Agency Oversight	49 CFR 24.4(b); 23 CFR 710.201	As needed	Not Applicable	Office of Planning, Environment & Realty	Realty Manager	ROW/Local Systems/Systems Planning/Finance	
Approval of Highway Facility Relinquishment	23 CFR 620.203	As needed	Not Applicable	Office of Planning, Environment & Realty	Realty Manager	ROW	

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of ROW Disposal Authorization Request	23 CFR 710.409	As needed	Not Applicable	Office of Planning, Environment & Realty	Realty Manager	ROW/Districts	
Approval of ROW Operations Manual (Organization, Policies and Procedures), Updates, and Certification	23 CFR 710.201	January 1, 2001 and every 3 years thereafter or as required by changes in State law or Federal regulation or law	Not Applicable	Office of Planning, Environment & Realty	Realty Manager	ROW	
Approval of Exception to Charging Fair Market Value	23 CFR 710.403 and 23 CFR 710.409	As needed	Not Applicable	Office of Planning, Environment & Realty	Realty Manager	ROW	
Approval of Interstate Real Property Use Agreements	23 CFR 710.405	As needed	Not Applicable	Office of Planning, Environment & Realty	Realty Manager	ROW	
Approval of Request for Federal Land Transfer	23 CFR 710.601	As needed	Not Applicable	Office of Planning, Environment & Realty	Realty Manager	ROW	
Approval of Request for Direct Federal Acquisition	23 CFR 710.603	As needed	Not Applicable	Office of Planning, Environment & Realty	Realty Manager	ROW	
Approval of Outdoor Advertising Policies and Procedures, and Regulation and Procedure Approval	23 CFR 750.304, 23 CFR 750.705, 23 USC 131	As needed	Not Applicable	Office of Planning, Environment & Realty	Realty Manager	ROW	
Approval of Requests to Exempt Certain Nonconforming Signs, Displays, and Devices	23 CFR 750.503	As needed	Not Applicable	Office of Planning, Environment & Realty	Realty Manager	ROW	
Approval of Railroad Agreement Alternate Procedure	23 CFR 646.220	As needed	Not Applicable	Office of Planning, Environment & Realty	Realty Manager	ROW	

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of Uniform Act Waivers and Waivers from Availability of Comparable Replacement Dwelling before Displacement	49 CFR 24.7, 49 CFR 24.204(b)	As needed	Not Applicable	Office of Planning, Environment & Realty	Realty Manager	ROW	Requests reviewed and approved by HEPR Office Director.
Review of Uniform Relocation Assistance & Real Property Acquisition Report -(OMB Form 2125-0030)	49 CFR 24.9c & Appendix B 49 CFR 24.603	Annually	15-Nov	Office of Planning, Environment & Realty	Realty Manager	ROW	Submitted to FHWA Headquarters (HQ).
Review of Real Property Acquisition Statistical Report	FHWA Order 6540.1	Annually	15-Nov	Office of Planning, Environment & Realty	Realty Manager	ROW	
Approval of Management Process and Project Selection Procedures and Certification for Research, Development & Technology Transfer Program and Revisions to Process	23 CFR 420.115 and 23 CFR 420.209	As needed	Not Applicable	Office of Planning, Environment & Realty	Planner	Research and Analytics	FHWA Division Office Approval.
Periodic Review of States Management Process of the Research, Development & Technology Transfer Program	23 CFR 420.209	Periodic	Not Applicable	Office of Planning, Environment & Realty	Planner	Research and Analytics	FHWA Division Office Periodic Review.
Approval of Performance and Expenditure Reports for SPR Research Work Programs	23 CFR 420.117	No less frequently than annual and no more frequently than quarterly	90 Days After End Of Period	Office of Planning, Environment & Realty	Planner	Research and Analytics	FHWA Division Office Approval.
Approval of SPR research reports	23 CFR 420.117	Prior to publication unless prior approval is waved	Not Applicable	Office of Planning, Environment & Realty	Planner (waived)	Research and Analytics	FHWA Division Office Approval unless waived.
Annual Traffic Reports	Traffic Monitoring Analysis System and Traffic Monitoring Guide reporting	When Published	As needed	Office of Highway Policy information	Planner	Systems Planning	When Published

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Approval of Annual Field Review Report	HPMS Field Review Guidelines (June 2001) Continuous Process Improvement Model for HPMS(February 2003)	Annually	1-Nov	Office of Highway Policy information	Planner	Research and Analytics	Review memo to HQ.
Approval of Certified Public Road Mileage	23 CFR 460.3(b)	Annually	1-Jun	Office of Highway Policy information	Planning and Development Team	Research and Analytics	Each year, the Governor of each State and territory or a designee must certify Public Road Mileage. FHWA division reviews the Mileage and sends to HQ with division review/concurrence. This is reported to NHTSA for Apportionment of Safety Funds.
Approval of Data Submittal	23 CFR 420.105(b), HPMS Field Manual	Annually	15-Jun	Office of Highway Policy information	Planner	Research and Analytics	State DOT sends directly to Division Office and HQ.
Highway Statistics Reports	Guide to Reporting Highway Statistics			Office of Highway Policy information	Planning and Development Team	Research and Analytics	State DOT of Division Office sends directly to HQ.
Motor Fuels Report	A Guide to Reporting Highway Statistics, Chapter 2	Due 60 days after end of each reporting month		Office of Highway Policy information	Planning and Development Team	Program Management	
Vehicles and Drivers (561, 562, 566, and 571)	A Guide to Reporting Highway Statistics, Chapters 3, 4, 5, and 6	1-Apr	1-Apr	Office of Highway Policy information	Planning and Development Team	Program Management	
Finance (531, 532, 541, 542, and 543 (optional))	A Guide to Reporting Highway Statistics, Chapters 8 and 9	1-Apr	1-Apr	Office of Highway Policy information	Planning and Development Team	Program Management/Finance	
Transportation Bond Referendums	A Guide to Reporting Highway Statistics, Chapter 9	When Published	When Published	Office of Highway Policy information	Planning and Development Team	Program Management/Finance	
State DOT / Toll Authority Audits and Published Annual Reports and Form 539 (optional)	A Guide to Reporting Highway Statistics, Chapter 10	When Published	When Published	Office of Highway Policy information	Planning and Development Team	Program Management/Finance	Annually, Due as soon as available.
Finance (536)	A Guide to Reporting Highway Statistics, Chapter 11	30-Sep	30-Sep	Office of Highway Policy information	Planning and Development Team	Program Management/Finance	Biennially for odd-numbered years. Due nine months after end of reporting year
Finance (534)	A Guide to Reporting Highway Statistics, Chapter 12	15-Jun	15-Jun	Office of Highway Policy information	Planning and Development Team	Program Management/Finance	Annually for State, Biennially for local

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Highway Finance and Tax Legislation	A Guide to Reporting Highway Statistics, Chapter 13	When Published	When Published	Office of Highway Policy information	Planning and Development Team	Program Management/Finance	
State DOT Budgets and Published Annual Reports	A Guide to Reporting Highway Statistics, Chapter 13	When Published	When Published	Office of Highway Policy information	Planning and Development Team	Systems Planning/Finance	
Motor Fuel Oversight Review	July 24, 2001 HQ Memo	Initial baseline reports no later than December 31, 2003		Office of Highway Policy information	Planning and Development Team	Program Management/Finance	Annual progress reports and statement of verification by June 30. Submitted via UPACS.
Review of Biennial - Toll Facilities in the United States	23 CFR 450.105(b) HPMS Field Manual	Biennially - Odd Years	June 15 (Odd Years)	Office of Highway Policy information	Planning and Development Team	Program Management/Finance	Division Office sends to HQ.
State Highway Maps (Tourist)		When Published	When Published	Office of Highway Policy information	Planner	Systems Planning	Two copies to each Division Office and 100 copies to HQ.
Traffic Flow Maps		When Published		Office of Highway Policy information	Planner	Systems Planning	When Published.
Vehicle Classification Data	MAP-21, HPMS Field Manual, Traffic Monitoring Guide	15-Jun	15-Jun	Office of Highway Policy information	Planner	System Planning	Part of Annual HPMS submittal.
Highway Use Tax Evasion Grant Awards	23 USC 143	Annual	Not Applicable	Office of Highway Policy information	Financial Manager	Program Management/Finance	FHWA along with the Internal Revenue Service will review applications and select awardees for projects designed to reduce or eliminate fuel tax evasion. FHWA will also review annual progress reports on projects.
Heavy Vehicle Use Tax (HVUT) – Certification of verifying proof-of-payment of HVUT	23 CFR 669.7	1-Jul	1-Jul	Office of Highway Policy information	Planning and Development Team Leader	Vehicle and Motor Carrier Services	Each year, the Governor of each State, or a designee must certify that the State is verifying that the HVUT has been paid before they issue or renew registrations on vehicles over 55,000 lbs. The HVUT program is administered by the Internal Revenue Service.

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Heavy Vehicle Use Tax (HVUT) – Certification of verifying proof-of-payment of HVUT	23 CFR 669	Annual	1-Jan	Office of Highway Policy information	Planning and Development Team Leader	Vehicle and Motor Carrier Services	Each year, the Governor of each State, or a designee must certify that the State is verifying that the HVUT has been paid before they issue or renew registrations on vehicles over 55,000 lbs. The HVUT program is administered by the Internal Revenue Service.
Heavy Vehicle Use Tax (HVUT) – Triennial review of State program	23 CFR 669.21	Triennial	Not Applicable	Office of Highway Policy information	Planning and Development Team Leader	Vehicle and Motor Carrier Services	Every 3 years, the local Division Office will perform a review of the State process for verifying that the HVUT has been paid before a registration can be issued or renewed for vehicles over 55,000 lbs. The HVUT program is administered by the Internal Revenue Service.
Permanent ATR Data	Heavy Vehicle Travel Information System Field Manual	Monthly	Monthly	Office of Highway Policy information	Planner	Systems Planning/Traffic Operations	Submit monthly, within 20 days after the close of the month for which the data were collected.
Continuous Automatic Vehicle Classifier Data	Heavy Vehicle Travel Information System Field Manual	Monthly	Monthly	Office of Highway Policy information	Planner	Systems Planning/Traffic Operations	Send up to one week of data per quarter
Weight and Vehicle Classification Data Collected at Weigh-in-motion sites	Heavy Vehicle Travel Information System Field Manual	15-Jun	As needed	Office of Highway Policy information	Planner	Systems Planning/Traffic Operations	WIM data collected at non-continuous sites during a year should be submitted by June 15 of the following year. If continuous WIM data are available, then up to one week of data per quarter.
Approval of MAP-21 compliant SHSP update within the legislatively required timeframe.	23 U.S.C. 148 (d)(2)(B)	Non Recurring	By Aug. 1 of the fiscal year after the HSIP final rule is established	Office of Safety	Program Delivery	Traffic and Safety	FHWA Division Offices provide copy of SHSP process approval letter to HQ.
Highway Safety Improvement Program (HSIP) and Railway-Highway Crossing Program (RHCP) Reports	23 USC 148(h), 23 CFR 924.15	Annually	31-Aug	Office of Safety	Program Delivery	Traffic and Safety/ Rail Transportation	As per MAP-21 guidance, reports are due to FHWA Division Office by August 31st and to the Office of Safety by September 30.

Activity	Authority ⁴	Frequency	Due Date	FHWA HQ Program Office	FHWA Division Responsible Program Office	State DOT Responsible Program Office	Remarks
Transportation Performance Management (TPM) for Safety	23 USC 150, 23 USC 134, 23 USC 135, 23 USC 148(i)	Annually	31-Aug	Office of Safety	Program Delivery	Traffic and Safety	Per MAP-21, States and MPOs must set targets for established measures. Targets must be assessed for achievement
Review Drug Offender Driver's License Suspension Law & Enforcement Certification (Section 159)	23 USC 159 23, CFR 192.5	Annually	1-Jan	Office of Safety	Program Delivery	Motor Vehicles – Driver Services	Certifications due to the Division Office by January 1.
Section 154/164 Compliance Status - Funds Reservation	23 USC 154 and 23 USC 164	Annually	30-Oct	Office of Safety	Program Delivery	Traffic and Safety	States must submit a Shift letter to the Division Office by Oct. 30 indicating how to apply the penalty. New penalty states have additional time. The Office of Safety processes the compilation of information in a memo to the CFO.
Review Safety Belt Compliance Status	23 USC 153, 23 CFR 1215.6	Annually	Annually	Office of Safety	Program Delivery	Traffic and Safety	NHTSA
High Risk Rural Roads (HRRR) Special Rule	23 USC 148(g)(1)	Annually	Annually	Office of Safety	Program Delivery	Traffic and Safety	After the final FARS and HPMS data are available, FHWA HQ will inform the States if the HRRR Special Rule applies for the following FY.
Older Drivers and Pedestrians Special Rule	23 USC 148 (g)(2)	Annually	31-Aug	Office of Safety	Program Delivery	Traffic and Safety; Office of Driver Services	States should include in their annual HSIP reports (due August 31st) the calculations performed, verifying whether the Older Driver Special Rule applies in the State. If the Special Rule applies to a State in a given year, the State must include in its subsequent SHSP strategies to address the increases in the fatality and serious injury rates for drivers and pedestrians over the age of 65.
FHWA Emergency Preparedness Program	Executive Order 12656 and FHWA Order 1910.2C	As needed	Not Applicable	Office of Operations	Assistant Division Administrator	Traffic Operations	National Programs.

ATTACHMENT C - MANUALS AND OPERATING AGREEMENTS

STATE DOT Manuals (approved by FHWA for use on Federal-aid projects)

Administration

Iowa DOT Policies and Procedures (PPM)

300.04 – Prequalification of Architectural, Engineering, and Related Professional and Technical Firms

300.12 – Negotiated Contracts for Architectural, Engineering, and Related Professional and Technical Services

420.05 – Value Engineering

500.02 – Project Development Process

500.03 – Wetlands

500.06 – Utility Adjustment for Highway Improvement Projects

500.07 – Highway Traffic Noise Analysis and Abatement

500.11 – Construction/Maintenance Contract Lettings

500.15 – Process for New or Revised Interchanges

500.17 – Cultural Resource Protection

500.18 – Work Zone Safety and Mobility

510.02 – Project Development Public Involvement Plan

Iowa Administrative Code

Chapter 111 – Real Property Acquisition And Relocation Assistance

Chapter 112 – Primary Road Access Control

Chapter 115 – Utility Accommodation

Chapter 116 – Junkyard Control

Chapter 117 – Outdoor Advertising

Chapter 132 – Iowa Scenic Byway Program

Performance and Technology

Transportation Asset Management Plan

Research Procedures Manual

Bridge and Structural Design

Guidelines for Preliminary Design of Bridges and Culverts

English and Metric CADD Standards

Bridge Design Manual

Preliminary Design – Culvert Guidelines

Maintenance and Inspection

1. Inspection Manual for Sign Structures
2. Load Ratings for Standard Bridges, Final Report for HR239-Phase IV
3. Iowa DOT Bridge Inspection Manual
4. Iowa DOT Bridge Rating Manual
5. Iowa DOT Bridge Maintenance Manual
6. Iowa DOT Emergency Response Manual for Over Height Collisions to Bridges
7. Iowa DOT Bridge Element Inspection Guide

Iowa DOT Bridge Standard Plans

Civil Rights – Office of Employee Services (OES)

Disadvantaged Business Enterprise (DBE) Plan DBE Plan required by 49 CFR Part 26

Title VI Plan

Affirmative Action Plan

ADA Transition Plan (to bring our system into compliance for ADA)

Construction and Materials

Construction Manual, Chapter 2 and 5

Materials Instructional Memoranda

Materials Laboratory Manual

Contracts

Construction Contract time Determination Procedures Required by 23 CFR 635.121

Liquidated Damages Procedures required by 23 CFR 635.127

Iowa DOT Standard Specifications for Highway and Bridge Construction (English and Metric)

Iowa DOT General Supplemental Specifications for Highway and Bridge Construction

Location and Environment

National Programmatic Agreement “Implementation of Transportation Enhancement Activities”

July 2002 – State of Iowa Programmatic Agreement “Procedures for Implementation of Section 106 Requirements”

Section 106 Programmatic Agreement “PROGRAMMATIC AGREEMENT AMONG THE FEDERAL HIGHWAY ADMINISTRATION, THE IOWA DEPARTMENT OF TRANSPORTATION, THE IOWA STATE HISTORIC PRESERVATION OFFICER, AND THE ADVISORY COUNCIL ON HISTORIC PRESERVATION REGARDING IMPLEMENTATION OF FEDERAL-AID TRANSPORTATION PROJECTS IN THE STATE OF IOWA”

Programmatic Categorical Exclusion Agreement

February 2012 – “PROGRAMMATIC AGREEMENT BETWEEN THE FEDERAL HIGHWAY ADMINISTRATION IOWA DIVISION AND THE IOWA DEPARTMENT OF TRANSPORTATION REGARDING THE PROCESSING OF CERTAIN CATEGORICAL EXCLUSION ACTIONS (as amended April 2013)

July 2013 PROGRAMMATIC 4(f) INAPPLICABILITY DETERMINATION

“STATEWIDE IMPLEMENTATION AGREEMENT, NATIONAL ENVIRONMENTAL POLICY ACT AND CLEAN WATER ACT SECTION 404 CONCURRENT NEPA/404 PROCESSES FOR HIGHWAY PROJECTS IN IOWA” (also reference Project Development Process Manual Chapter 8)

May 2009 – Section 404 Programmatic Agreement “A CONCURRENCE PROCESS FOR TRANSPORTATION PROJECTS REQUIRING COMPENSATORY MITIGATION”

August 7, 1986 – National delegation of informal Section 7 consultation delegated by FHWA to all State highway or transportation agencies

Local Systems

Federal-aid Project Development Guide

Instructional Memorandums (IMs) to Local Public Agencies (LPAs)⁵

Policy for Accommodating Utilities on the County and City Non-Primary Federal-aid Road System

Planning, Programming, and Modal

Guidelines for Development of the Iowa Statewide Transportation Improvement Program (STIP)

Process for New or Revised Interstate Access in Iowa

Revised Procedure for State Planning and Research (SPR) Part I and Part II Plan Submittals and Revisions

Right-of-Way

Uniform Manual, Real Property Acquisition, and Relocation

Iowa DOT Right of Way Manual

Roadway Design

Iowa DOT Design Manual (English and Metric) – Except for Chapters 21-29, 40, 70, and 120 and section 1B-2

Iowa DOT Standard Road Plans Manual (English and Metric)

Iowa DOT Road Design Details (English and Metric) Sections 1000 through 9000

Traffic & Safety

Strategic Highway Safety Plan

Iowa DOT Traffic and Safety Manual

⁵ Includes only those IM denoted as Approve or Review in the IM Review Matrix.

Finance

Maintenance

ATTACHMENT D - STEWARDSHIP/OVERSIGHT INDICATORS

Reported by Iowa DOT to FHWA by December 31 except for those items noted for FHWA reporting

Civil Rights

- Cumulative progress per letting toward statewide DBE goal
- Number of ADA formal complaints
- Number of Title VI complaints received
- Number of Contractor compliance reviews.
- Number of Sub-recipient reviews

Project Development

- Placeholder – Project cost escalation TBD
- Placeholder – Project schedule escalation TBD

Financial Management

- Iowa DOT qualifies for annual (Aug) redistribution (yes/no)⁶
- Inactive obligations as a percentage of annual apportionment⁶
- Number of inactive projects⁵
- FMIS Transaction Times – Report statistics on time from Iowa DOT submittal to FHWA approval of FMIS transactions including total life cycle of Federal-aid project.⁵

Planning

- Percentage of STIP advanced (number of DOT projects authorized)
- Percentage of STIP advanced (number of local projects authorized)
- Percentage of areas in air quality conformity

Environment

- Wetland replacement ratios

Local Public Agency Program Oversight

- Number of Section 1.9 waivers submitted for local agency projects.
- Number of participants in LPA training opportunities.
- Number of project construction reviews conducted and documented by Iowa DOT staff.
- Have all FHWA LPA program review findings been satisfactorily addressed in a timely manner? (yes / no)FHWA Report

⁶ Reported by FHWA to Iowa DOT by December 31

Design

- Amount of potential savings identified from VE.
- Number of constructability reviews during design.

Bridge

- The number of NBIS metrics where there is full compliance.⁶
- Meeting goals for LPA and State inspection quality assurance reviews for NBIS compliance performed annually.⁶
- Number of poor bridges on the NHS network.

ROW

- Percent of projects let with conditional ROW certificates.

Safety

- Percent of Highway Safety Improvement Program funds allocated.

Letting Process (heading changed from Contract Administration.)

- Liquidated Damage rates are developed, documented, and submitted for FHWA approval every three years, date of last approval.
- Percentage of projects submitted to FHWA that are obligated/authorized for that month's letting.
- Estimate accuracy within acceptable limits- lowest responsive bid within 10% on 50% of Federal-aid projects.
- Federal-aid proposals are advertised for a minimum of three weeks as required, excepting emergency work.
- Percentage of awarded contracts that meet the competition criteria contained in PPM 500.11, Construction/Maintenance Contract Lettings, when analyzing bids for determination of award to lowest responsive bidder.

Contract Administration (Heading changed from Construction)

- Number of contractor claims.
- Value of VE savings during construction.
- Percent of Hi Visibility projects completed on time.

Reported by FHWA to Iowa DOT by December 31.

FHWA Stewardship and Oversight

- Risk-Based Stewardship and Oversight statistics and findings.

ATTACHMENT E - STATE DOT OVERSIGHT AND REPORTING REQUIREMENTS

Iowa DOT Oversight Documentation of Federal-aid Primary Projects

Project specific approvals (use of force account, proprietary products, etc.) will be documented in the specific project files.

Fund Management

Obligation Management

Inactives - The Office of Finance coordinates review of Inactive Projects with the Office of Local Systems, Office of Construction and Office of Systems Planning (and other offices as applicable). Each quarter the list of inactive projects is routed to the applicable project manager for review and conclusion. The project manager communicates to the Office of Finance the action being taken to either make payment on or deobligate an amount on a project. The Office of Finance is performing project audits and or close-outs to process inactive projects as defined above.

Program Management

General

Advance Construction (AC) - Advance construction (23 U.S.C.115 and 23 CFR 630 Subpart G) has been an effective tool in innovative financing to advance a project's construction time line. These projects must meet the same requirements and proceed in the same manner as a regular Federal-aid project, except for the following: FHWA authorization does not constitute any commitment of Federal funds and Iowa DOT will not be reimbursed until the project has been converted. Iowa DOT is responsible for funds management, which includes monitoring unobligated balances of the various funds to ensure funds are being used effectively and lapsable funds are limited. This would also include a review of older projects that have had no activity for possible release of funds for use on other eligible federal projects. It is important that the Iowa DOT maintain a list of eligible AC conversion projects for cash flow reasons and to assure all Federal-aid is obligated each year should project delays occur. FHWA will evaluate the effectiveness of this program annually.

Programming

During development of the Statewide Transportation Improvement Program (STIP), a determination is made on each Iowa DOT project to whether it will be

developed utilizing Federal-aid based on forecasted apportionments to the state. As part of maintaining a fiscally constrained STIP projects are further evaluated to identify Advance Construction project candidates.

Authorization

Prior to authorization for each letting the Office of Program Management reviews current Federal-aid balances and Iowa DOT cash balances to determine if projects will be authorized with or without AC. Typically, highway safety projects are not authorized with AC. In recent years, Federal-aid apportionments and obligation limitation has been subject to Continuing Resolutions that necessitates the use of Advance Construction to keep projects on schedule as Federal-aid is apportioned throughout the year.

AC Conversions

Advance Construction conversions are processed on an as needed basis but they normally occur in early summer after the larger lettings have been conducted. This allows the Iowa DOT to evaluate remaining Federal-aid and cash balances prior to the end of the federal fiscal year. Typically, projects are converted after reimbursements to contractors have reached a level where the conversion will result in cash payments to Iowa DOT. This has an additional benefit in that it assures that an AC conversion does not result in a project becoming inactive. AC conversions are initiated by the Office of Program Management by submittal of a memo to the Office of Finance, FHWA, and other offices identifying the projects to be converted. The Office of Finance processes a modification in FMIS that converts the funding and therefore obligates federal funds.

Project Management

Project Management is the responsibility of the Iowa DOT program manager. Program managers will reside in a variety of offices at the Iowa DOT. The program manager's responsibilities are to assure completion of the project in compliance with Federal and State law and regulations. The Office of Program Management assists program managers with compliance and obligation management. Office of Finance assists with compliance in regards to project modifications, payment, reimbursement requests, and financial reporting.

Finance Management

The correctness and propriety of all Federal-aid claims are the primary responsibility of Iowa DOT whether the primary cost documentation originates within Iowa DOT or with some third party. This responsibility is fulfilled by Iowa DOT maintaining adequate operating policies and procedures and a sound accounting system with proper internal controls together with suitable audit activities. It is FHWA's responsibility to assure such processes are in place and provide desired results as well as to provide technical

assistance and advice in funding and financial areas. The Fiscal Management Information System (FMIS) is FHWA's major financial information system. FHWA provides assistance to Iowa DOT for access to FMIS for the electronic data sharing and signature.

The Office of Finance applies the same state and federal requirements to Projects of Division Interest (PoDI) and to all other projects. The same processes and procedures are used for both types of projects when processing payment documents, preparing requests for reimbursement, preparing project modifications, and processing FHWA final vouchers. Payments to contractors, vendors, or sub-recipients are processed using payment procedures outlined in the Iowa DOT Policy and Procedures Manual, the Iowa Department of Administrative Services Accounting Manual and the Code of Federal Regulations.

The documentation is reviewed by Iowa DOT, for all projects. On PoDI projects, the documentation reviewed is forwarded to FHWA for their review and approval. On all other projects, the documentation is available to FHWA upon request.

Progress Payment

Current Bill - FHWA makes payments to the Iowa DOT based on costs incurred under each project. The Iowa DOT submits their billings for costs incurred under authorized projects to the FHWA Division Office electronically through the Rapid Approval & State Payment System (RASPS). RASPS is a feeder system used by FHWA to electronically process grant payments against balances obligated in FMIS and DELPHI. In April 2015, the Current Bill payment system will be one of the applications under FMIS 5.0. This payment process is often referred to as the "Current Bill."

Iowa DOT payment requests are certified by an authorized Iowa DOT official before they are transmitted to FHWA. Iowa DOT billing information is uploaded into RASPS where electronic bills are created. Upon receipt of the DOT's billing request, a member of the FHWA Finance Team reviews the payment request to ensure that no suspended/closed projects or program codes are included in the request; a Personal Identification Number (PIN) is used to authorize the pending billings in RASPS. This action transmits the payment request to the FHWA Office of Financial Services for payment processing.

Modifications

Modifications are prepared by the Office of Finance based on requests from the program manager. Modifications are also prepared as needed in the close-out process to accurately reflect the scope of the project and related project costs. Finance will review for proper documentation that supports best cost estimate as submitted, reviewed and approved by the program manager.

Audit Functions

Annual Audit/State of Iowa Comprehensive Annual Financial Report (CAFR) - Iowa DOT is audited annually by the State of Iowa, Office of Auditor of State (AOS). Financial activity of the department is included in the State of Iowa CAFR that is completed in accordance with Generally Accepted Accounting Standards. AOS also conducts the Single Audit for Iowa DOT.

Single Audit - Office of Management and Budget (OMB) Circular A-133 (effective December 26, 2014 this was replaced with 2 CFR 200) was issued pursuant to the Single Audit Act of 1984 (P.L. 98-502) as amended by the Amendments of 1996 (P.L. 104-156), for the purpose of setting forth standards for obtaining consistency and uniformity among Federal agencies for the audit of States, local governments, and non-profit organizations expending Federal awards. The U. S. Department of Health and Human Services is the cognizant agency for audit responsibilities of Iowa DOT

Office of Finance/External Audits Risk Based Approach – The Iowa DOT Office of Finance, External Audit Section is responsible for conducting external audits involving Iowa DOT's operations. FHWA may provide technical advice and assistance to Iowa DOT and auditors as appropriate and advise Iowa DOT of requirements imposed by Federal laws, regulations, or provisions of contracts.

External Audits incorporates risk assessment in the development of an annual audit plan. External Audits conducts audits as defined by Iowa DOT Policies and Procedures Manual. Audits include preaudits, overhead audits, and final audits of railroad and engineering projects. External Audits also provides a review of indirect cost rates submitted by sub-recipients. In addition, sub-recipients audit reports are reviewed along with follow up of Findings and Question costs as applicable.

Final Payment

Procedures over final payment to contractors and other parties includes the same type of review as progress payments to include review of proper documentation, authorization and compliance with federal and state law and regulation. Program managers authorize final payment and ensure proper documentation is provided when final voucher is submitted to Office of Finance for review and approval.

Close-out

Office of Finance prepares project close-out by gathering all project costs, comparing costs to authorizations and modifications and submitting adjustments to FHWA for either return of funds or requesting additional reimbursement of

funds. Federal participating shares are reviewed. The projects are submitted for closure in FMIS.

Record Retention - Iowa DOT is responsible for the official records for all Federal-aid projects. Supporting documentation will be retained by Iowa DOT (and/or by the local public agency for sub-recipient projects) in accordance with, 2 CFR 200.333 Retention Requirements for Records (records will be retained for a period of three years from the date of submission of the final expenditure report) and will include (but is not limited to) the final contractor pay estimate, material certification, project agreement/modification, and final Right of Way certificate in accordance with current requirements. Records for certain items such as real property and equipment records have different retention periods and should be treated accordingly. Supporting documentation retained by Iowa DOT (and/or by the local public agency) will be available to FHWA upon request.

CMIA (Treasury-State Agreement)

The Cash Management Improvement Act of 1990 (31 CFR Part 205) prescribes rules and procedures for the transfer of funds between the federal government and the states for federal grant and other programs. The U.S. Treasury and the State of Iowa have entered into an agreement to describe its funds transfer procedures. FHWA's involvement is to provide assistance and guidance to Iowa DOT to facilitate compliance and to assist in the implementation of cash management improvements.

FFATA

Iowa DOT has established monthly reporting requirements within the Office of Finance/External Audits to comply with the FFATA requirements. Each month, activity for sub-recipients is identified from DOT accounting records and compared to records of the federal awarding agency. These projects are then identified on the FFATA website.

Conversion

Office of Finance responds to Conversion requests that are submitted by the Office of Program Management. Upon receipt, Office of Finance will review conversion request for compliance with federal regulations, checking appropriateness of request with funds availability and allowability and program requirements of appropriation code.

Labor Additive

Annually, Iowa DOT prepares a labor additive rate and submits it to FHWA for approval per DOT Policy and Procedures Manual. The labor additive is used on a

limited basis when claiming reimbursement of FHWA funds, but when it is used, it is applied only to direct costs.

Indirect Cost allocation plans

Iowa DOT currently does not claim indirect costs for reimbursement (as it relates to Iowa DOT costs). DOT only claims direct costs for reimbursement from FHWA. Therefore, Iowa DOT does not have an approved Indirect Cost Allocation plan. Indirect costs claimed for reimbursement by Iowa DOT sub-recipients are reviewed by the program manager prior to payment. The program manager will ensure the indirect costs claimed are using an approved rate. The approved rate is evaluated by the Office of Finance/External Audits.

Office of Bridge and Structures

The Office of Bridges and Structures (OB&S) produces bridge plans for primary structures using consultant design and in-house performed design.

Consultant design firms must demonstrate sufficient training and experience to be eligible for design work according to Iowa DOT PPM 300.04 Prequalification of Architectural, Engineering and Related Professional and Technical Firms. Consultant plans are reviewed by the OB&S Consultant Coordination Section for accuracy and adherence to the Iowa DOT OB&S Bridge Design Manual policy, AASHTO Design Specifications, and the OB&S Plan Checklist. The consultant designer is required to develop plans according to their company QA/QC program and is ultimately responsible for the design work that has been performed.

The Office of Bridges and Structures provides quality assurance for in-house design utilizing the Design Section Leader to oversee the design process. The Design Section Leader assigns design tasks to the designer, detailer, and checker (second independent designer) based on their experience in relation to the complexity of the project. Design team members are experienced in structural design and familiar with the AASHTO Design Specifications, Iowa DOT design standards, and the Bridge Design Manual. The checker performs independent calculations of all structural components, checks quantities, and reviews for accuracy and adherence to the Iowa DOT OB&S Bridge Design Manual policy, AASHTO Design Specifications, and the OB&S Plan Checklist.

The Bridge Maintenance and Inspection (BMI) Unit inspects over 4,000 bridges on the state highway system and provides oversight of the counties' and cities' inspection of their 20,000+ bridges. This is required by the National Bridge Inspection Standards (NBIS) and is necessary for the maintenance of bridges throughout the state and to assure the safety of the public. Non-compliance with the NBIS can result in loss of Federal-aid highway funds. Inspection data is submitted by the BMI Unit to the FHWA annually as required by the NBIS. The Unit also inspects 14 pedestrian structures owned by the Iowa DOT.

The BMI unit is responsible for compliance with the 23 Metrics for the Oversight of the National Bridge Inspection Program. This responsibility also includes the bridges owned by Local agencies. Compliance is reviewed and maintained by the use of the Structure Inventory and

Inspection Management System (SIIMS). SIIMS is used to collect, review, and submit all NBI data. SIIMS has built in checks to verify data is entered correctly and on time. The Unit provides direction and policies for inspection, maintenance, and load rating of bridges to all bridge owners.

On the state system, the Bridge Office, in cooperation with the six districts, identifies repair, rehabilitation, and replacement candidates for the Iowa DOT's Five Year Transportation Improvement Program and candidates for the Maintenance Bridge (MB) Program. Candidate projects are maintained and prioritized in the SIIMS program.

Office of Design

The Iowa DOT Design Manual establishes state policies for preliminary and detailed design. Sections 1C-1 and 1C-8 outline specific documentation requirements for project design criteria and other elements considered crucial for project approval. For each project, a design criteria worksheet is to be completed. This worksheet lists the project's design criteria, preferred values established by the Iowa DOT, and acceptable values established by AASHTO publications. This worksheet is submitted to the office director overseeing project development for approval or to the Assistant District Engineer for district administered projects, and updated at each of the critical project milestones. Before each roadway design milestone can be completed, the automated Project Scheduling System requires the designer (or the DOT representative overseeing consultant designs) to acknowledge the following statement, "I have reviewed the design criteria for this project and will ensure all design approvals and design exceptions are completed as required."

The Department also conducts several independent reviews of projects. Once roadway line and grade are established, field exam plans are prepared. These plans are reviewed for compliance with AASHTO requirements by the Field Exam Engineer using the review checklist in sections 1D-9 and 1D-10 of the Design Manual and normally reviewed on site with a multidisciplinary team. Final plans are reviewed and sealed by the Design Section Leader. Prior to plan turn-in, projects are distributed throughout Iowa DOT for cross-discipline review.

Office of Location and Environment

NEPA & Public Involvement Sections

The FHWA delegated authority for compliance with the National Environmental Policy Act to the Iowa DOT in accordance with 23 CFR 771. In compliance with NEPA, the Office of Location & Environment (OLE) evaluates the impact projects have on the social and natural environment as well as assuring that appropriate agency and public involvement into the decision making process have occurred. OLE certifies National Environmental Policy Act (NEPA) compliance for projects meeting the criteria as defined in the FHWA/Iowa DOT joint "Programmatic Agreement Regarding the Processing of Certain Categorical Exclusion Actions" referred to as the PCE Agreement.

At the beginning of each Federal fiscal quarter, OLE will post on the Iowa DOT website a list of CE certifications made in the preceding 3 months. OLE will also submit to the FHWA an annual report summarizing its performance under the PCE Agreement. Prior to project lettings, OLE also reviews Nonfederal-aid projects that are contractually tied to federal-aid projects for independent utility and logical termini.

The FHWA delegated authority for compliance with section 4(f) in accordance with 23 CFR 774 which governs the use of land from publicly owned parks, recreation areas, wildlife and waterfowl refuges, and public or private historic sites for Federal Highway projects. OLE evaluates and ensures 4(f) compliance for Federal-aid projects.

Cultural Resources Management Section

The FHWA delegated authority for compliance with Section 106 of the National Historic Preservation Act to the Iowa DOT in accordance with 36 CFR 800. In compliance with Section 106, the Office of Location and Environment evaluates projects meeting the criteria defined in the joint “Programmatic Agreement among the Federal Highway Administration, the Iowa Department of Transportation, the Iowa State Historic Preservation Officer, and the Advisory Council on Historic Preservation Regarding Implementation of Federal-aid Transportation Projects in the State of Iowa”. OLE reviews all interstate, primary, and secondary system projects for compliance with Section 106 prior to NEPA clearance. OLE schedules and reviews archaeological and historic architecture studies and reports, and, using appropriate data, makes determinations of effect in accordance with Section 106 regulations. OLE also consults with SHPO, tribal nations, and other interested parties in accordance with these rules. OLE maintains professional staff appropriately credentialed and capable of performing this work. OLE annually reports to FHWA all projects processed in accordance with these regulations and with the joint programmatic agreement.

Threatened & Endangered Species Section

The FHWA delegated authority for compliance with Section 7 of the Endangered Species Act to the Iowa DOT in accordance with 50 CFR 402. OLE reviews interstate, primary, and secondary system projects to assess potential effects upon listed species or their habitats in compliance with Section 7. OLE schedules and reviews biological studies and reports, and, using information provided by local public agencies, makes determinations of effect in accordance with Section 7 rules and regulations. OLE consults with the U.S. Fish and Wildlife Service and the Iowa Department of Natural Resources as required. OLE maintains professional staff capable of performing this work. OLE tracks clearances made under Section 7 rules using internal databases. Annually, OLE reports expenditures for federally listed species to the FHWA.

Water Resources Section

The Iowa DOT is responsible for compliance with the Clean Water Act. In compliance with this act, the Iowa DOT routinely obtains Section 404 permits authorizing placement of fill into waters of the United States and Section 402 permits, also referred to as storm water permits. To comply with the act, the Iowa DOT conducts wetland delineations, field studies, permitting, mitigation engineering, and mitigation monitoring. OLE maintains professional staff capable of performing this work. Compliance with the Clean Water Act is not an FHWA undertaking; however, FHWA will not authorize projects without evidence of compliance with the Act. Annually, OLE reports basic mitigation statistics to the FHWA.

Regulated Materials Section

The Iowa DOT is responsible for compliance with the Resource Conservation and Recovery Act; the Comprehensive Environmental Response, Compensation, and Liability Act; Spill Prevention, Control, and Countermeasure regulations; as well as various Iowa DNR regulations dealing with regulated substances. To comply with these regulations, the Iowa DOT routinely reviews projects for substances (solid or liquid) regulated by state or federal law. OLE also provides for asbestos abatement, lead paint removal, guidance on DOT spills, and guidance on removal of hazardous materials from construction sites. OLE maintains professional staff capable of performing this work. Compliance with these laws is not FHWA undertakings; however, FHWA will not authorize projects without evidence of compliance with these regulations.

Traffic Noise and Air Quality Section

The Iowa DOT is responsible for compliance with traffic noise regulations at 23 CFR 772. To comply with these regulations, the Iowa DOT developed an internal policy, PPM 500.07, and routinely reviews projects for traffic noise impacts using the Traffic Noise Model. OLE evaluates whether traffic noise abatement should be provided on Type I projects and also reports noise abatement statistics to FHWA every 3 years in accordance with the regulations. OLE maintains professional staff capable of performing this work.

Air quality is regulated by the Clean Air Act. Currently in Iowa, there are no counties in non-attainment for air quality. During project development, the FHWA stipulates that consideration must be made for Mobile Source Air Toxics (MSAT's) when preparing the NEPA document. The size and scope of the highway project being developed defines the needed documentation. OLE provides the documentation in accordance with these regulations. OLE maintains professional staff capable of performing this work.

Office of Right of Way

Letting Certification

The Iowa DOT provides right of way letting certifications for projects on the primary road system and LPA projects that utilize Federal-aid funding in any phase of their project. For projects on the primary road system, Iowa DOT staff and FHWA staff will meet as required to review projects for the upcoming lettings. Any issues that involve right of way clearance are discussed at these meetings and a solution is agreed to. If right of way will not be cleared by the scheduled letting, either the project is removed from the letting or a Public Interest Finding (PIF) is prepared and submitted to FHWA justifying why the project should remain in the scheduled letting. Projects developed by the LPA's are monitored by the Office of Right of Way to ensure compliance. There is a right of way agent assigned to each of the six Iowa DOT Districts. This agent is assigned the review responsibility for all of the LPA projects within that District. When a project concept is received, letters of introduction are sent to each LPA informing them of the assistance available from the right of way agent. In addition to the letter, each agent follows up the letter with a phone call to the LPA representative to discuss the project and explain the requirements of the right of way process. The goal of this approach is to address any issues before they become problems. The right of way agent also conducts random audits on selected projects to ensure compliance. Copies of these audits are supplied to FHWA. Each LPA is required to provide a Project Development Certification, which is signed by an LPA representative certifying that they have completed all right of way activities in compliance with state and federal law.

Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 and related statutes (Uniform Act)

The Iowa DOT Right of Way Manuals outline the policies and procedures of the Iowa DOT in following the requirements of the Uniform Act. These manuals were reviewed and approved by the FHWA on February 16, 2011. In addition, the April 2006 edition of Section II of the manual entitled "Uniform Manual, Real Property Acquisition and Relocation Assistance" was adopted in the Right of Way Administrative Rules – 761 Iowa Administrative Code Chapter 111 by the Iowa Legislature in 2006. This document outlines the requirements for right of way acquisition in the State of Iowa to comply with both state and federal law, including the most recent changes made to the Uniform Act. A check and balance that is in place to ensure the compliance of these laws is the appeal process outlined in the administrative rules and a well-defined eminent domain and appeal process through the court system.

Office of Traffic and Safety

Work Zone Compliance

Iowa DOT adopts the most recent version of the Manual of Uniform Traffic Control Devices (MUTCD) per Iowa Code. Iowa DOT has developed dozens of standard traffic control layouts and specification language/other contract documents that often go beyond the minimum requirements in the MUTCD. Iowa DOT has a multi-disciplined Work Zone Traffic Safety Committee that meets bimonthly to address any work zone issues. Annual work zone safety field reviews are conducted in half of the districts each year to randomly ensure compliance with requirements and to gain a sense of overall work zone effectiveness. Many work zone requirements are listed in the Iowa DOT Standard Specifications for Highway and Bridge Construction. Project inspectors continuously monitor traffic control setups. Project inspectors, upon seeing non-complying traffic control, have the capability of issuing non-compliance notices to the Contractor to enforce these requirements in accordance with the Iowa DOT Construction Manual.

Traffic Management Plan/Work Zone Safety and Mobility Compliance

PPM 500.18 was developed in 2007 with FHWA concurrence. This policy describes how the Iowa DOT is to comply with the FHWA Work Zone Safety and Mobility Rule. The Iowa DOT submits an annual list of significant projects to the Iowa Division Office. The Iowa DOT and FHWA monitor the status of Transportation Management Plan (TMP) development for significant projects through project management teams. Annual work zone field reviews and bi-annual program reviews are completed to ensure compliance. Iowa DOT and FHWA work together to conduct the field and process reviews. Process reviews evaluate the effectiveness of the entire process and if potential enhancements are discovered, action items are included in the report.

Highway Safety Improvement Program Compliance

Iowa DOT coordinates the development of the Iowa Strategic Highway Safety Plan (SHSP) with other state agencies responsible for improving traffic safety. The process by which the SHSP is produced is reviewed with the Iowa Division Office for FHWA concurrence. In developing the SHSP every five years, highway safety data is analyzed and emphasis areas for program and project focus are identified. Projects and programs identified in the SHSP are then eligible for HSIP funding. The DOT submits an annual list of HSIP-funded safety projects to the Iowa Division Office for review and approval. This list may be amended at the beginning of each month and resubmitted for review and approval. Iowa DOT prepares an annual evaluation report for the Iowa Division Office for review and approval and submission to the FHWA Office of Safety. Iowa DOT and FHWA work together to review the SHSP/HSIP process and make whatever improvements may be possible to optimize safety on Iowa's roadways.

Office of Construction and Materials

The Office of Construction and Materials maintains the Construction Manual and Materials Instructional Memorandum (IMs) as guidance in the administration of construction contracts. Construction Manual Chapter 2, Contract Administration and Chapter 5, Safety includes guidance on procedures to be followed for Iowa DOT projects. Material IM procedures are intended to direct compliance with the contract documents, prescribed methods of acceptance, sampling, testing and the requirements of 23 CFR 637. The results of the District Materials Engineer's (DME's) final review of materials used provides the basis of certification of conformance with approved plans and specifications by the Highway Division to the FHWA. The FHWA Division Office approves the Construction Manual Chapters 2 & 5 along with the specific materials sampling/testing and acceptance procedures for materials incorporated in Federal-aid projects within the Instructional Memorandums (IMs) updates each year prior to publication.

The contract administration procedures include, but are not limited to the following:

- Equal Employment Opportunity
- Davis Bacon Wage Requirements
- Subcontracts
 - Disadvantaged Business Enterprises
 - Prompt Payment
- Construction Period
- Change Orders
- Project Acceptance
- Authorization for Final Payment
- Material incorporation review

Title 23 requirements apply to all projects on the NHS regardless of oversight process. Non-Title 23 requirements (e.g., Environmental, Civil Rights, Davis-Bacon wage rates, Disadvantaged Business Enterprises, etc.) apply to all projects and are subject to review regardless of oversight process.

Additionally, the Office of Construction:

- Meets with the District Construction Engineers and District Materials Engineers several times each year to discuss technical and administrative issues to promote uniformity of contract administration.
- Provides technical support to identify solutions to construction problems. These problems may include evaluation of deficient work, compliance with contract requirements and adequacy of design details.
- Provides training for field staff on administrative and technical requirements.

- Provides administrative support for acquiring storm water permits, designation of haul roads, and maintaining project status databases.

The Iowa DOT uses an AASHTO software product FieldBook/FieldManager to document item progress, contract modifications, and weekly working day reports. This software uploads files to the central contractor pay system to process payments to the prime contractor. A user guide for this system is maintained and training is provided annually for new users.

The District and Resident Construction Offices are responsible for administration of the construction contracts, maintaining appropriate documentation, and performance of project audits.

Office of Contracts

Iowa DOT PPM 500.11 – Construction/Maintenance Contract Lettings and Division 11 of the Iowa DOT Standard Specifications for Highway and Bridge Construction provide the major guidelines for the Office of Contracts in their oversight role, details can be found in appendix H. The Office of Contracts is also responsible for entering data, certifying available funds, and requesting authorization/modification of a project in FHWA’s FMIS for the construction lettings except for some of the small grant program projects administered by the Office of Systems Planning.

The Office of Contracts responsibilities with regard to the DBE program are limited to:

- Participation on DBE good faith effort committees pursuant to Article 1102.19 of the Standard Specifications
- Participating in DBE contract goal setting meetings to provide general project information
- Assigning DBE contract goals as determined by the Office of Employee Services – Civil Rights Team
- Providing contract letting data as needed to support administration of the DBE program.

Office of Research and Analytics

The Office of Research and Analytics works in cooperation with the Office of Systems Planning to develop the research section of the State Planning and Research workplan. The research portion of the workplan is developed using the Iowa Department of Transportation State Planning and Research Procedures to comply with 23 CFR 420.111. The workplan includes a discussion of new projects, continuation of existing projects, listing of projects that are completed, planned funding for pooled fund projects, and a discussion of accomplishments. The workplan is submitted through the Office of Systems Planning to FHWA for approval prior to

the obligation of funding and any work starting. Amendments to the plan are handled in a similar fashion. The details of some line items in the plan are approved separately.

Oversight of the program is facilitated by Iowa DOT staff, delegated by the Office of Research and Analytics, through review of quarterly reports, attendance at technical advisory committee meetings, and voucher reviews.

Office of Systems Planning

State Planning and Research Program (SPR)

As part of complying with Sections 420.111 and 420.209 of Chapter I, Title 23, Code of Federal Regulations, the Planning and Programming Division of the Iowa Department of Transportation prepares State Planning, Research, Development, and Technology Transfer Work Program (SPR). The SPR is an annual document that compiles planning, research, development, and technology transfer activities associated with long-range planning and funded with Federal-aid moneys. According to the Policy and Procedures Manual, only participating 700 series function codes (Account billing codes) are eligible for funding under the SPR.

The sections below outline the process of preparing the SPR, Part I, Amendments to the SPR, and how the program is used. Information that is more detailed is found in 23 CFR Part 420.

- I. Funding: Two percent of the National Highway Performance Program (NHPP); the Surface Transportation Program (STP); the Highway Safety Improvement Program (HSIP); and the Congestion Mitigation Air Quality Improvement Program (CMAQ) Program under the *Moving Ahead for Progress in the 21st Century* is apportioned for transportation planning and research purposes.
 - A. The Office of System Planning shall calculate the funding targets for SPR Part I – Planning and SPR Part II – Research and Analytics.
 - B. The funding targets distribution is as follows:
 1. 5.5% of the SPR funding shall be allocated to the National Cooperative Highway Research Program (NCHRP),
 2. The Office of Research and Analytics will provide the Office of Systems Planning with Transportation Research Board (TRB) Research Correlation Service target contribution.
 - C. NCHRP and TRB funding targets are taken off the top of the SPR funds allocated to Iowa. After NCHRP and TRB are taken off the top,

1. 75% goes to SPR Part I – Planning,
 2. 25% goes to SPR Part II - Research Development & Technology Transfer,
- D. Any changes to the funding target distribution shall be approved and documented by the Offices of Systems Planning and Research and Analytics.
1. FY 2013, FY 2014 & FY 2015 – Funding for SHRP2:
 - a. 75% from SPR Part I – Planning,
 - b. 25% from SPR Part II - Research Development & Technology Transfer.
 - c. SHRP2 funding was also taken off the top of the SPR funds.

II. SPR Part I - Planning: The Offices of System Planning and Program Management shall prepare their proposed work programs and shall supply:

- A. A statement of previous fiscal year’s accomplishments,
- B. A proposed scope of work for the upcoming fiscal year, and
- C. A summary of the estimated costs that includes:
 1. DOT In-house Services Costs
 - a. DOT Hours
 - b. DOT FTEs
 2. Consultant Costs
 3. Other estimated Costs
- D. Special projects should also be submitted at this time.
- E. The updated sections are sent to the Office of Systems Planning for incorporation into the draft SPR.

III. SPR Part I - Planning Sections: The Offices of Program Management and Systems Planning are in charge of the following participating and non-participating sections:

Office/Team	Sections
Program Management	Participating: Statistics, Transportation Management Systems, and State Transportation Improvement Program
	Non-participating: Park and Institutional Roads Program
Systems Planning/Grant Programs Administration Team	Non-participating: ICAAP, Federal Recreational Trails, State Recreational Trails, Transportation Enhancements/Transportation Alternatives Program, RISE, National/State Scenic Byways, and Safe Routes to School.
Systems Planning/ Planning Team	Participating: Bicycle and Pedestrian Planning, Statewide Long-Range Transportation Planning, Regional Transportation Planning, and portion of Urbanized Areas.
	Non-participating: Airport Planning, Freight Planning, Metropolitan Planning Organizations, Public Transit Planning, Railroad Planning, and River Planning.
Systems Planning/Modeling, Forecasting, and Telemetrics Team	Participating: Highway Traffic Forecasting, Highway Planning, Urban Areas, and portion of Urbanized Areas
Systems Planning/Cartography and Traffic Team	Participating: GIS Coordination, Data Systems Management, Rural and Urban Roadway Inventory, Rail Grade Crossing Inventory, Traffic Volume Counts, and Vehicle Weight Surveys.
	Non-participating: Air Traffic Counts, Vehicle Speed Surveys.

IV. SPR Part I – Planning, Office of Systems Planning Process

A. Calculating the DOT In-house Services Costs

1. The Office of Finance sends a report on the status of funds by function code every month. This report indicates which DOT cost center has charged costs to that function code, and how much of the annual budget has been used.
2. The costs incurred on each activity are compiled to determine the amount of time charged per function code. Since the preparations for the SPR start in April, costs will be prorated for the FY.
 - a. Example: FY 2013 Administration Costs:

- (1) Budgeted DOT In-house Services Costs: \$60,000
- (2) Incurred costs until April 30, 2013 = \$70,608.64
- (3) Prorated Cost = \$84,730.37
 $\$70,608.64 + \$14,121.73$
 $[(\$70,608.64/10=\$7,060.86) + (7,060.86 \times 2)]$

The prorated costs will be discussed with team leaders and, if necessary, recommendations will be made for next fiscal year per function code such as changes in personnel, special projects, or additional tasks. Example: FY 2013 Administration Costs: \$95,000

3. If necessary, changes will be made to SPR codes at this time.

B. Calculating the hours and FTE's

- 1. The FTE's will be discussed with team leaders using the previous FY information and/or any changes expected due to changes in personnel, special projects, or additional tasks.
- 2. The hours will be calculated dividing 2080 (52 weeks*40hrs) by FTE's.

C. Consultant Costs include costs that will be disbursed in compensation for work assigned to a Consultant to accomplish proposed work for an upcoming fiscal year.

D. Other Costs include memberships and pooled fund projects, among others.

E. Once the Office of Systems Planning gathers the DOT In-house Services Costs, hours and FTE's, individual tables will be created by function code. (See table 1).

<i>Administration - 710</i>	
FY 2014 Cost Estimate	
DOT In-house Services	\$95,000
DOT Hours	560
DOT FTEs	0.27
Consultant Costs	\$0
Other Costs	\$0
Total Cost Estimate	\$95,000
FY 2014 Budget	
Federal Aid (SPR 100%)	\$0
Federal Aid (SPR 80%)	\$44,786
Match (20%)	\$11,197
Other Funding Non-SPR	\$39,017
Total Budget	\$95,000

Table 1 - Example of Individual Function Code Summary

SPR Planning Activities	FC	FY 2014 Cost Estimate	Federal SPR 100%	Federal SPR 80%	State Match 20%	Other Funding Non-SPR	Iowa DOT Contact	
Administration	--	--	--				--	
Administration	710	\$ 95,000	\$ -	\$ 44,786	\$ 11,197	\$ 39,017	Craig Mackley	
Administration Total	--	\$ 95,000	\$ -	\$ 44,786	\$ 11,197	\$ 39,017	--	
GIS Coordination	--						--	
GIS Coordination	757	\$ 190,000	\$ -	\$ 70,715	\$ 17,679	\$ 61,606	Peggi Knight	
Data Systems Management	705	\$ 2,000,000	\$ -	\$ 842,873	\$ 235,718	\$ 821,408		
GIS Coordination Total	--	\$ 2,150,000	\$ -	\$ 1,013,589	\$ 253,397	\$ 883,014	--	
Program Management							--	
Transportation Management Systems							Jon Ranney	
Pavement, Bridge, and Safety Management Systems	754	\$ 2,595,000	\$ -	\$ 1,223,378	\$ 305,845	\$ 1,065,777		
Congestion Management System								
Public Transportation Facilities and Equipment								
Statistics	701	\$ 60,000	\$ -	\$ 28,286	\$ 7,072	\$ 24,642		
Statewide Transportation Improvement Program	753	\$ 120,000	\$ -	\$ 56,572	\$ 14,143	\$ 49,285		
Program Management Total	--	\$ 2,775,000	\$ -	\$ 1,308,237	\$ 327,059	\$ 1,139,704	--	
Roadway Data								
Rural and Urban Road Inventory	728	\$ 90,000	\$ -	\$ 42,429	\$ 10,607	\$ 36,963	Mark Hansen	
Rail Grade Crossing Inventory	703	\$ -	\$ -	\$ -	\$ -	\$ -		
Traffic Volume Counts	--	--	--	--	--	--		
Automatic Traffic Recorders	702	\$ 690,000	\$ -	\$ 306,434	\$ 76,608	\$ 266,958		
Primary Road Traffic Counts	720	\$ 500,000	\$ -	\$ 235,718	\$ 58,930	\$ 205,352		
Secondary Road Traffic Counts	709	\$ 700,000	\$ -	\$ 330,006	\$ 82,501	\$ 287,483		
Urban Area Traffic Counts	750	\$ 10,000	\$ -	\$ 4,714	\$ 1,179	\$ 4,107		
Municipal Traffic Counts (under 25,000)	758	\$ 400,000	\$ -	\$ 188,575	\$ 47,144	\$ 164,282		
Vehicle Weight Surveys	713	\$ 72,000	\$ -	\$ 33,943	\$ 8,486	\$ 29,571		
Highway Traffic Total	--	\$ 2,422,000	\$ -	\$ 1,141,819	\$ 285,455	\$ 994,726		--
Transportation Systems Planning	--	--	--					--
Bicycle and Pedestrian Planning	733	\$ 190,000	\$ -	\$ 70,715	\$ 17,679	\$ 61,606		Craig O'Riley
Highway Planning	727	\$ 190,000	\$ -	\$ 70,715	\$ 17,679	\$ 61,606		Phil Mescher
Highway Traffic Forecasting	739	\$ 190,000	\$ -	\$ 70,715	\$ 17,679	\$ 61,606	Phil Mescher	
Statewide Long-Range Transportation Planning ^{Rev #3}	763	\$ 687,097	\$ 302,097	\$ 117,860	\$ 10,715	\$ 256,425	Craig O'Riley	
Statewide Travel Model	755	\$ 190,000	\$ -	\$ 70,715	\$ 17,679	\$ 61,606	Phil Mescher	
Regional Transportation Planning	704	\$ 100,000	\$ -	\$ 47,144	\$ 11,786	\$ 41,070	Craig O'Riley	
Regional Transportation Planning (CPG Grant)*	--	\$ 584,775	\$ -	\$ 467,820	\$ -	\$ 116,959	Craig O'Riley	
Urbanized Areas ^{Rev #3}	707	\$ 294,172	\$ 44,172	\$ 91,859	\$ 20,630	\$ 136,511	Craig O'Riley, Phil Mescher	
Urban Areas (less than \$90,000)	708	\$ 90,000	\$ -	\$ 23,572	\$ 5,893	\$ 20,535	Craig O'Riley, Phil Mescher	
Transportation Systems Planning Total	--	\$ 2,316,044	\$ 346,269	\$ 1,032,116	\$ 119,740	\$ 817,920	--	
Planning Grand Total		\$9,758,044	\$346,269	\$4,540,547	\$996,847	\$3,874,381	--	

Table 2 – SPR Part I – Planning Activities Cost Estimates and Budget Summary

F. SPR Part I – Planning Activities Cost Estimates and Budget Summary (see table 2).

1. Federal SPR 100%, Federal SPR 80%, State Match 20% & Other Non-SPR Funding
 - a. The Total Estimated Costs information is gathered from the different participating function codes and the total estimated cost for the SPR Part I – Planning Activities is calculated.
 - b. The activities that are covered as a Federal-aid (SPR 100%) are discounted from the funding target designated to SPR Part I – Planning. After that, each function code is calculated (percentage) on a basis of proportional distribution to the total cost.
 - c. To calculate the Federal-aid (SPR 80%), the prorated percentages are multiplied by the available funding target.

d. To calculate the Federal-aid (SPR 20%), use the proportion equation as follows:

e.

$$\frac{\text{Federal-aid (SPR 80\%)}}{0.80} = \frac{X}{0.20}$$

f. The sum of the Federal-aid (SPR 80%) and the Federal-aid (SPR 20%) might not be enough to cover the costs for some of the SPR Part I – Planning Activities Cost. The difference will then be covered under the Other Funding Non-SPR.

- G. Planning, Programming and Modal Division Meeting: The participating offices will meet to discuss proposed budget requests.
- H. SPR Draft Report: Proposed budget recommendations, objectives, accomplishments of current fiscal year, and proposed activities for the next fiscal year will be incorporated into a report. This report will go to FHWA for review and comments.
- I. FHWA Comments: FHWA comments will be incorporated into the SPR work program.
- J. Staff Action: The Office of Systems Planning will generate a staff action.
- K. SPR Final Report: Final draft should then be sent to FHWA for approval. Once approved, copies will be sent to the participating offices.
- L. FMIS: The Office of Systems Planning will then enter the budget amounts into the accounting system for disbursement of funds when requested.
- M. Systems Planning Staff: Development and implementation of SPR will be discussed with staff.
- N. Monitoring: The Office of Finance sends a report on the status of funds by function code every month. This report indicates which DOT cost center has charged costs to that function code, and how much of the annual budget has been used.
- O. Amendments: Occasionally an amendment to the SPR is required. The office in charge will send a request for an amendment to the Office of Systems Planning. The Office of Systems Planning will then send a formal memo to FHWA outlining the change requested, the amount of the change, any other affected sections, and a request for approval.

As with the original submission, FHWA will return a note approving the amendment. Modifications to FMIS will be performed if the revision changes the total cost of the SPR.

V. Additional Information

Schedule: The SFY 2015 schedule followed as:

March 14, 2014	Work with Deb Arp and Shawn Majors to determine SPR funding.
March 21, 2014	Send out memos to the offices participating in SPR, for changes.
April 11, 2014	Reminder on April 18, 2014 deadline to participating offices.
April 18, 2014	SPR changes due to Office of Systems Planning.
May 9, 2014	SPR Draft due to FHWA for review.
May 23, 2014	Deadline for comments from FHWA. Contact FHWA if comments are not back by May 23, 2014.
May 26 – 30, 2014	Incorporate FHWA comments, if any. NEPA Clearance. Work with Peggy to create a Staff Action. Deb Coles to enter SPR in FMIS.
June 6, 2014	Send three (3) copies to FHWA.
June 20, 2014	Make sure that SPR is authorized by this date.
June 27, 2014	Give final copy to Kevin Galloway with worksheet.
June 27, 2014	Send final copies to: Research (2), Program Management (2), Cartography (3), Grant Program Administration (1), Modeling, Forecasting and Telemetrics (1), Planning (2), and Library (2).
July 1, 2014	Start of Fiscal Year 2015

Statewide Transportation Improvement Program (STIP)

The Office of Program Management develops and maintains the Statewide Transportation Improvement Program (STIP). The STIP is a four-year listing of projects for which Federal-aid funding under Title 23 (Federal Highway Funding) and Title 49 (Federal Transit Assistance) of the United States Code is proposed. Iowa’s STIP is developed annually through a cooperative effort with 9 MPOs and 18 RPAs. The Iowa DOT develops the STIP by incorporating into a single document the portion of each planning agencies annual TIP being funded by the FHWA and FTA within Iowa.

In addition to the compilation of Federal-aid projects, the STIP notes the Iowa DOT's authority to represent the state in the transportation-related activities, details the Iowa DOT's public involvement effort, and certifies the statewide planning efforts. The STIP must be fiscally constrained; meaning programmed amounts of Federal-aid must fall within limits set by the FHWA (generally related to past or estimated apportionments). A significant effort is undertaken to ensure that the programmed Federal-aid on both local- and state-sponsored projects is fiscally constrained.

MAP-21 requires broad public involvement in the development of the STIP and requires that states develop a proactive public participation process in developing STIPs. The successful development of the STIP is dependent not only on public involvement at the state level but also at the local level during the development of local TIPs. Coordination of public review through the planning agencies ensures broad opportunities for public review by informed participants.

In the case of state-sponsored projects, significant statewide public participation is encouraged and facilitated during the development of the Five-Year Program. State-sponsored projects identified as candidates for federal funding are included in the STIP to ensure compliance with that federal requirement. No state-participating primary road projects can be included in the STIP unless they have been approved by the Iowa Transportation Commission in the Five-Year Program.

Use of public announcements and widespread distribution of the STIP are utilized in the public involvement process of the STIP. In addition, a public comment period and statewide meeting are conducted to solicit comments.

After the statewide public review, the draft STIP may be revised based on comments received during the public review. Upon finalizing the STIP, both the STIP and final MPO TIPs will be submitted to FHWA and FTA for approval. This approval allows for authorization of Federal-aid projects to be requested anytime thereafter.

Revisions to the STIP can be processed by either amendments or administrative modifications according to the guidelines for each of these revision types.

An amendment is a revision to the STIP that involves a major change to a project included in the TIP or a new project. If the change to the TIP is an amendment, two primary procedural requirements exist. These requirements include approval by the local agency's technical and policy boards and that the project follow the agency's public participation process. When the TIP is amended, local planning agencies are required to redemonstrate fiscal constraint of the TIP. Changes that result in the TIP no longer being fiscally constrained must take place by amendment of the TIP. An amendment can include an addition or deletion of a project, a major change in project cost or project/project phase initiation dates, or a major change in design concept or scope.

An administrative modification is a revision making a minor change to a project in the TIP. An administrative modification does not require public review and comment,

redemonstration of fiscal constraint, or a conformity determination (in nonattainment and maintenance areas).

An administrative modification can include minor changes to project phase costs, funding sources of a previously included projects, and project or project phase initiation dates. Any proposed changes that meet any of the following criteria are considered administrative modifications.

Administrative modifications have simplified procedures that allow more flexibility in processing changes. Each MPO and RPA is allowed to process their changes by seeking board approval, or the planning agency may make minor changes if the process is documented and approved by the appropriate technical and policy boards. Public participation procedures are not required for administrative modifications for both locally and Iowa DOT-sponsored projects.

All changes to the STIP whether administrative modifications or amendments must have approval from the Iowa DOT District Planner and Office of Program Management prior to submission to FHWA for approval.

Section 23 CFR 450.218 of the April 1, 2007, in the statewide planning regulations describes several certifications the state must make when submitting their proposed STIP and amendments as necessary, to the FHWA and FTA for approval. The state shall certify that their transportation planning process is being carried out in accordance with the following requirements.

- 23 U.S.C. 134 and 135, 49 U.S.C. 5303 and 5304
- Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. 2000d-1) and 49 CFR part 21
- 49 U.S.C. 5332, prohibiting discrimination on the basis of race, color, creed, national origin, sex, or age in employment or business opportunity
- Section 1101(b) of the SAFETEA-LU (P. L. 109-59) and 49 CFR part 26 regarding the involvement of disadvantaged business enterprises in U.S. DOT-funded projects
- 23 CFR part 230, regarding implementation of an equal opportunity program on Federal and Federal-aid highway construction contracts
- Provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq) and 49 CFR parts 27, 37, and 38
- Older Americans Act, as amended (42 U.S.C. 6101) prohibiting discrimination on the basis of age in programs or activities receiving federal financial assistance

- 23 U.S.C. 324 regarding the prohibition of discrimination based on gender
- Section 504 of the Rehabilitation Act of 1973 (49 U.S.C. 794) and 49 CFR part 27 regarding discrimination against individuals with disabilities

Sections 174 and 176(c) and (d) of the Clean Air Act do not apply because there are no nonattainment or maintenance areas in Iowa.

Other stipulations of 23 CFR 450(b) addressed during the development of the STIP are:

- Adherence to requirements for public involvement.
- Inclusion of projects only if consistent with state and local long-range plans.
- Inclusion of Federal-aid projects and all regionally significant transportation projects requiring FHWA consideration during the first four-year program period.
- Inclusion of MPO TIPs without modification, which directly or by reference, have been approved by the governor or his designee.
- In nonattainment and maintenance area, the STIP contains only transportation projects found to conform, or from programs that conform, to the requirements contained in 40 CFR 51.

The STIP development processes and procedures are documented in the “Guidelines for Development-Transportation Improvement Programs (TIPs) and the Iowa Statewide Transportation Improvement Program (STIP) which is widely distributed and is available on the Iowa DOT website.

STIP Project Review

The Iowa DOT applies the same federal STIP requirements to all Federal-aid projects regardless of whether they are PODIs or not. Document review and maintenance is an ongoing process driven by project schedules and lettings. All Federal-aid projects are reviewed to assure inclusion in the STIP prior to project authorization. In addition, monthly reviews of the Funding Report and Target Letting Report produced by the Project Scheduling System are performed to confirm project level inclusion in the STIP, verify project description accuracy, and verify that appropriate levels of Federal-aid have been programmed. If a project does not comply with STIP requirements administrative modifications or amendments are performed to meet the requirements.

The Office of Program Management also performs a review of funding for each project prior to authorization. This includes assigning an appropriate appropriation code for each project in conformance with requirements for each Federal-aid program. This includes review of FMIS report W10A for up to date

balances. At the time of authorization, a review is performed to ensure that Federal-aid is not authorized in excess of 30 percent of programmed Federal-aid.

Staffing

The STIP and the projects contained within are included and maintained primarily utilizing staff from the Office of Program Management. In addition, District Transportation Planners review documents necessary for adoption of the STIP and are the point of contact for local planning agencies.

Office of Employee Services

The Office of Employee Services-Civil Rights Team (OES-CRT) has responsibility for drafting and updating the Title VI Plan. This Plan provides guidance to the Iowa DOT to ensure compliance with the Civil Rights Act of 1964 and all subsequent non-discrimination mandates. The plan is provided to the FHWA Iowa Division Office for approval in concurrence with FHWA Headquarters. The OES-CRT drafts and submits the annual Accomplishments and Goals Report to the Division Office. This report highlights specific activities engaged in by the Department during the preceding year.

As part of our implementation of the Title VI Plan, the OES-CRT conducts Contractor Compliance Reviews to ensure compliance with Title VI by contractors and sub-contractors contracting with the Iowa DOT, as well as recipients of Federal-aid, such as cities, counties, and Local Planning Agencies. The OES-CRT makes the determination as to whether or not the contractor was compliant with Title VI requirements, and provides a copy of the report to the Division Office. The Division Office will concur with this finding as appropriate.

The OES-CRT has developed the DBE Plan, as well as updating and maintaining the plan as necessary. When updated, the Plan is provided to the Division Office for approval before any modifications are implemented. The DBE Plan provides guidance for the implementation of the DBE program in compliance with the applicable federal regulations. The DBE program is largely implemented through individual Federal-aid construction contracts. As such, contractual requirements are found within the Iowa DOT General Specifications and Construction Manual. The provisions found within the manual are consistent with the terms and provisions found within the DBE program Plan.

In furtherance of our commitments under the Title VI Plan, the OES-CRT is responsible for the development and implementation of an LEP (Limited English Proficiency) Plan. This plan will provide guidance to the Iowa DOT on meeting its obligation to ensure that all persons have access to participation, removing language barriers that might otherwise hamper their ability to participate or benefit from services and programming.

The OES-CRT is responsible for the development and maintenance of the Equal Employment Opportunity/Affirmative Action Plan (EEO/AAP). This plan serves the purpose of providing guidance for both internal and external EEO requirements. The CRT provides an updated

EEO/AA Plan to the Division Office on an annual basis. The report highlights specific activities of the previous year, including data related to on-the job training provided by contractors doing business with the Iowa DOT. Additionally, the report tracks data trends.

Office of Traffic Operations

Emergency Reporting

Reporting described in Section X of the Agreement will be handled by the Office of Traffic Operations to FHWA Iowa Division staff.

Emergency Relief Program

The Office of Traffic Operations (OTO) administers the FHWA Emergency Relief (ER) program in accordance with the Emergency Relief Manual and FHWA guidance. OTO assists potential ER funding recipients by providing ER program information and provides first line FHWA ER manual interpretation. This includes internal and external Iowa DOT assistance.

OTO administers the Detailed Damage Inspection Report (DDIR) electronic submittal program in conjunction with Iowa DOT Information Technology Department support to provide solutions to submittal issues to Primary and Non-Primary route DDIR submitters.

Pre-FHWA ER determination

OTO makes requests for and compiles damage estimates during and following a severe weather event or disaster. These estimates are used by OTO, FHWA, and Iowa Homeland Security and Emergency Management (IA HSEMD) to determine the scope of the damage, and the necessity for disaster proclamations and/or declarations and the likelihood of an ER event being declared. OTO and Iowa DOT Office of Maintenance determine Primary route emergency response tracking numbers (Project Numbers), to provide tracking for billing information in the event an ER event is declared. OTO and Iowa DOT maintenance Districts compile damage assessments/estimates from Primary routes. OTO and District Local Systems staffs compile damage assessments/estimates from Federal-aid Secondary routes. OTO submits the FHWA Letter of Intent providing a brief description including dates of damage, preliminary estimates, and counties affected.

FHWA ER event declared/acknowledged

OTO gathers Detailed Damage Inspection Reports (DDIR)'s from Iowa DOT Districts for Primary responses and District Local Systems staff for Non-Primary responses. (Roads controlled by Iowa Department of Natural Resources will be

treated as Primary Roads in how DDIR and other paperwork are handled). DDIR's are site specific estimates of damage or responses to ER eligible damages. OTO reviews and assists in completing DDIR's, and submits them to FHWA. OTO and Office of Finance track estimates and provide event information to FHWA.

OTO requests federal funding on behalf of Iowa DOT from FHWA one of two ways by submitting:

- FHWA Letter for Quick Release Funds – request to expedite funding to assist emergency repairs while estimates and a thorough scope of the event are determined.
- FHWA Letter Requesting ER Funds – a request for funding, focused on thorough estimates from Primary and Non-Primary submitters, Office of Finance maintains detailed project costs which is used to determine amount requested.

Post FHWA ER event/Close-out

OTO oversees the assembly of billing summaries created by DOT staff for Emergency Repair work performed on Primary routes by or for Iowa DOT maintenance forces. Billing summaries are based on DDIR's, vouchers, labor, and equipment records and are submitted timely to the Office of Finance for FHWA billing. Contract work for Permanent Restoration on the Primary system and all work on non-Primary routes are billed and audited as normal Federal-aid projects.

OTO reviews the event processing, formulates training and submittal program areas to improve, and works with related offices and FHWA to implement.

Intelligent Transportation Systems (ITS)

Iowa DOT, in consultation with FHWA, is responsible for maintaining the statewide ITS architecture. Responsibility for updating the regional ITS architectures rests with the respective MPOs. However, Iowa DOT must ensure that the statewide and regional ITS architectures remain consistent with each other. FHWA will work cooperatively with Iowa DOT on this effort and is available to provide guidance and technical assistance.

The applicable regulations for ITS projects are contained in 23 CFR 940 Intelligent Transportation System Architecture and Standards. This section of 23 CFR describes the regulations that must be followed for projects that contain ITS components.

- ITS Regional Architecture, 23 CFR 940.9 – An ITS regional architecture shall be developed to guide the development of specific projects and programs.

- Systems Engineering Analysis, 23 CFR 940.11 – All ITS projects shall be based on a systems engineering analysis. The applicable regional ITS architecture shall be used in the development of ITS projects. The analysis should be on a scale commensurate with the project scope.
- Project Administration, 23 CFR 940.13 – Prior to authorization of Federal-aid funds for construction or implementation, the project sponsors shall demonstrate that ITS projects conform to the system engineering and conformity requirements provided in 23 CFR 940.11 and that there is a commitment to the operations, management and maintenance of the overall system.

ATTACHMENT F - STATE DOT OVERSIGHT OF LOCALLY ADMINISTERED PROJECTS

This Attachment describes how the Iowa Department of Transportation (Iowa DOT) communicates, educates, and validates Local Public Agency (LPA) compliance with Federal requirements, and how the results of these activities are shared with the FHWA Iowa Division Office (Iowa Division).

Communication

The Iowa DOT acknowledges its responsibility for ensuring that LPA subgrantees are aware of the Federal grant requirements. These requirements are communicated formally via the written agreement between the Iowa DOT and the LPA for use of Federal funds. In addition, the Iowa DOT regularly communicates Federal requirements to LPAs through written guidance, an e-mail distribution list, and presentations at conferences and workshops. Each method is further described below.

Written Guidance

The Federal-aid project development procedures are documented in a number of different manuals, guides, and other resources published by the Iowa DOT. Some of the primary resources are listed below, with hyperlinks, for each:

- [Federal-aid Project Development Guide \(the Guide\)](#) – This document provides an executive summary of the entire Federal-aid process. It also provides references and links to other guidance documents and manuals, as described below.
- [Instructional Memorandums to Local Public Agencies \(I.M.s\)](#) – These documents provide more specific, step-by-step guidance and instructions to LPAs for particular parts of the Federal-aid process.
- [LPA Right of Way Manual](#) – This document is a comprehensive guide to LPAs for compliance with the Uniform Act and other State laws pertaining to Right-of-Way acquisition.
- [Construction Manual](#) – This document provides comprehensive guidance on construction administration procedures. While it is written primarily for Iowa DOT construction inspection staff, LPA inspection staffs are required to follow the inspection and documentation procedures, as they apply to local Federal-aid projects.
- [Materials I.M.s](#) – These documents provide details for various material testing and certification requirements as required by the Iowa DOT Standard Specifications.

- [Iowa DOT Standard Specifications](#) - All LPA Federal-aid projects let through the Iowa DOT must use these specifications. They include all of the required Federal-aid contract provisions and other contract requirements.
- In addition to these documents, some “in-house” guidance is provided to Iowa DOT staff involved in administering LPA Federal-aid projects as part of the Local Projects Guidance Manual, which is maintained on the Iowa DOT’s intranet (DOTNET).

All of the above documents are either reviewed or approved by Iowa Division staff prior to publication. The Office of Local Systems and the Iowa Division jointly maintain an FHWA Review / Approval Matrix for the [Guide](#) and I.M.s. This matrix is updated annually and is included in the Iowa Division’s Standard Operating Procedure (SOP) for the LPA Program.

Local Systems Mailings

The Office of Local Systems maintains an e-mail distribution list for LPAs and their consultants. This list includes representatives of all counties, most larger cities consultant firms, many smaller cities, and several other agencies. Local Systems uses this list to regularly update LPAs on changes to relevant laws, regulations, policies, and procedures, including changes to its written guidance such as the [Guide](#) or I.M.s.

Conferences and Workshops

The Iowa DOT also informs LPAs through presentations given by Iowa DOT staff at the regular conferences, seminars and workshops held by LPA organizations and associations. For example, the Iowa County Engineers Association (ICEA) and the American Public Works Association (APWA), Iowa Chapter, hold two statewide conferences per year, and the Iowa DOT staff presentations are a regular part of these conferences. Iowa DOT staff often present at various other conferences held by industry, consultant and professional organizations.

Education

While the Iowa DOT does not have a formal certification program for LPAs to qualify for using Federal funds, there are a variety of educational and training opportunities available to LPA employees involved with Federal-aid projects. These include:

- Federal-aid Overview Seminars – This training is designed for LPA officials, but also serves as an additional training opportunity for Iowa DOT staff that are new to Federal-aid procedures. These seminars are a single day training that covers the entire process, beginning with planning and programming and continuing through design, construction, and project close-out. These Seminars are held annually and are delivered in-person and

via webinar. Webinar recordings and a PDF copy of the training manual are available on-line at the [Federal-aid Overview Seminars web site](#).

- District Spring Meetings – In addition to the Federal-aid Overview Seminars, each of the six District offices conducts an annual District Spring Meeting. These are held for the local agencies in each district and are more focused on particular topics, as identified by the District offices. The Office of Local Systems and other central offices may assist in these training sessions as requested.
- LPA Contract Administration – This training is targeted for LPA and consultant staffs that perform construction inspection on LPA Federal-aid projects. The training consists of a two-day basic course and a one-day advanced course. The basic course covers roles and responsibilities, contract documents, record keeping, progress vouchers and basic materials inspection. The advanced course is for those who have completed the beginner course and focuses on recent specification updates or changes, materials audits, utility coordination, and project close-out procedures.
- ADA Training – The Iowa DOT, in cooperation with the Iowa Local Technical Assistance Program (LTAP) and the Statewide Urban Design and Specifications (SUDAS) Corporation, has developed a half-day session focused on ADA design and construction. This training focuses on understanding the legal basis for the accessibility requirements, correctly applying the various design standards, and constructing sidewalks and curb ramps in compliance with the most current guidelines and standards available.
- Federal-aid Essentials – The [Federal-aid Essentials videos](#) provide an online library of informational videos and resources, designed specifically for LPAs. Each video addresses a single topic, condensing the complex regulations and requirements of the Federal-aid Highway Program into easy-to-understand concepts and illustrated examples.
- Technical Training and Certification Program (TTCP) – All Iowa DOT, LPA, and consultant staff that perform materials inspection, sampling and testing for Federal-aid projects must be trained and certified through this program. The program is administered by the Iowa DOT Office of Materials. More information is available on the [TTCP web site](#).
- Other Classes or Seminars – From time to time, various other training sessions related to the Federal-aid process are offered or arranged by the Iowa DOT or FHWA Iowa Division. Recent examples include: Right of Way (Uniform Act) training, Threatened and Endangered Species training, Bridge Inspection training, FHWA’s Consultant Selection and Administration webinars, National Highway Institute (NHI) and other similar courses such as Contract Administration, Context Sensitive Design, Fundamentals of Title VI / Environmental Justice, Integrating Section 106 and the National Environmental Policy Act, and Designing Pedestrian Facilities for Accessibility.

More information on each of these training opportunities is available on the Office of Local Systems provides a [Federal-aid Training Resources web site](#). These are also advertised via the Office of Local Systems Mailings.

Validating Federal Requirements

Iowa DOT Organizational Structure for LPA Oversight

The Iowa DOT devotes a significant amount of staff effort toward the oversight of LPA Federal-aid projects. The Office of Local Systems has overall responsibility for carrying out the LPA Federal-aid program, but the day-to-day oversight and project reviews are administered by a combination of many different offices within the Iowa DOT.

Administering Offices

The Administering Offices are the primary point of contact for the LPAs on almost all project-related issues. They provide most of the direct, day-to-day oversight and administration of Federal funds that are passed through the Iowa DOT to the LPAs.

There are several Iowa DOT offices that serve in this capacity, including the six District offices and the Office of Systems Planning. The Office of Systems Planning provides oversight for most projects funded by the Transportation Alternatives, Federal Recreational Trails, National Scenic Byways, and Iowa's Clean Air Attainment Program (ICAAP) programs. The six District offices provide oversight for most projects funded by the core Federal highway programs, including earmarks for highway and bridge projects. In addition, the Offices of Rail Transportation, Public Transit, Systems Planning, and the Research and Technology Bureau provide oversight for a limited number of the non-traditional Federal earmark projects, such as rail improvement projects, transit projects, trail, and research projects, respectively.

Office of Local Systems

The Office of Local Systems provides guidance and support for the Administering Offices and other Iowa DOT offices involved with LPA Federal-aid projects. Some of Local Systems' responsibilities include:

- Developing, publishing, and maintaining the written guidance to LPAs for Federal-aid processes and procedures. This guidance includes the [Guide](#), I.M.s, and other notices sent to LPAs through the Office of Local Systems e-mail list for counties, cities, and consultants. All of these documents are available on the Office of Local Systems [website](#).

- Developing, publishing, and maintaining the internal written guidance for the Administering Offices. This is contained in the Guidance Manual that is made available to the Administering Offices via the Iowa DOT's intranet (DOTNET).
- Providing formal training to LPAs on Federal-aid procedures, such as the Federal-aid Overview Seminars, District Spring Meetings, Contract Administration for LPAs, ADA Training, Work Zone Safety, and others.
- Providing advice and assistance to both the Administering Offices and LPAs with project-specific policy or procedure questions.
- Coordinating with LPAs and other Iowa DOT offices to resolve procedural issues or problems and improve project development processes.
- Serving as a liaison to the LPA professional organizations, such as the Iowa County Engineers Association (ICEA) and the Iowa Chapter of the American Public Works Association (APWA).
- Serving as a liaison between the Administering Offices and the FHWA and as the FHWA's primary point of contact for issues or questions pertaining to the LPA Federal-aid program.
- Coordinating with railroads, utilities, and various other Federal and State agencies in developing new policies and procedures for LPA Federal-aid projects.

Numerous other Iowa DOT offices also play supporting roles in the development and construction of LPA projects. The specific involvement and functions of each office is further described below.

General Approach to LPA Oversight

The Iowa DOT does not employ a certification program to assure that LPAs have adequate project delivery systems, accounting controls and staffing to comply with Federal requirements. Instead, LPA Federal-aid project compliance is reliably achieved through written procedures and processes that LPAs must follow, coupled with extensive step-by-step reviews and audits of LPA Federal-aid projects by Iowa DOT staff, beginning with project programming and continuing through construction and final project close-out.

Project Delivery Systems

LPAs are not free to develop their own policies or procedure manuals for Federal-aid projects. Instead, they must follow the Federal-aid project delivery system specified by the Iowa DOT. This project delivery system consists of the procedures and Iowa DOT oversight activities outlined in the [Guide](#), I.M.s., and other Iowa DOT manuals and guidelines referenced by the Guide and I.M.s. The specific procedures that apply to each part of the Iowa DOT's project delivery system are described in the "Specific Approval and Oversight Activities" section below.

Accounting Controls

LPA accounting systems and controls are regularly reviewed by the Auditor of State. If the State audit of an LPA reveals significant shortcomings, the Auditor of State notifies the Iowa DOT and other State agencies. Sometimes these shortcomings will make an LPA ineligible for State financial assistance until the deficiencies are resolved, in which case the LPA would also be ineligible for Federal financial assistance. Such notifications are distributed by the Iowa DOT Office of Finance to Local Systems and other affected offices.

In addition to the State audits, sufficient accounting controls are also assured by the Iowa DOT review of LPA reimbursement requests. For county Federal-aid projects processed through the Iowa DOT Contractor Pay System (CPS), the county engineer prepares a pay voucher based on quantities completed and documented by the contractor. The pay voucher is then submitted to the Iowa DOT for review and processing. Payment is then issued directly to the contractor and the corresponding Federal share of costs is included on the next current bill to the Iowa Division.

For projects where the LPA pays the project costs directly, the LPA prepares and submits a reimbursement request to the Administering Office. The reimbursement request is accompanied by supporting documentation to show the work has been completed and the costs have been paid by the LPA. The request and supporting documentation is then reviewed by the Administering Office. If approved, the Administering Office generates a pay voucher that is transmitted to the Office of Finance for review and processing. If approved, the LPA is reimbursed for the Federal share of properly documented costs.

Documentation of reimbursement requests is maintained in the Administering Office files and / or the Iowa DOT's accounting systems. These accounting controls are regularly reviewed as part of the Iowa Division's billing reviews, State of Iowa annual audit (Comprehensive Annual Financial Report and Single Audit) and other program reviews.

Staffing and Supervision

The Iowa DOT currently does not have specific staffing or mandatory training requirements for LPAs in order to administer Federal funds. Instead, the Iowa DOT measures the sufficiency of LPA staffing by their performance – that is, whether or not the LPA’s Federal-aid projects are reliably delivered in accordance with Federal requirements.

If an LPA demonstrates a pattern of non-compliance with Federal requirements, the Office of Local Systems will review its training records for LPA Federal-aid training events. If the LPA staff has not participated in any Federal-aid training events, the Administering Office will notify the LPA staff of upcoming training opportunities and encourage them to attend. If appropriate, the Administering Office may also provide one-on-one assistance to help LPA staff better understand and comply with the Federal requirements. If compliance problems persist, the Iowa DOT will take additional steps as necessary to achieve compliance. These steps include actions ranging from making LPA project costs ineligible in whole or in part, up to denial of Federal funding on future projects.

These corrective actions are documented in written correspondence with the LPA and kept in the Administering Office project files. When substantial parts of projects or whole projects are made ineligible, this is documented using FHWA’s Notification of Ineligibility form. Copies of such documentation are also provided to the Iowa Division.

Project Tracking Systems

Iowa DOT staff involved in oversight of LPA projects use the [Transportation Program Management System](#) (TPMS) to monitor the development status of projects. TPMS was developed and is maintained by the Iowa County Engineers Association Service Bureau for use by Iowa DOT, county, and city staff. TPMS enables all parties to track and monitor the progress of projects, including major development milestones such concept statement, preliminary plans, check plans, final plans, and letting. It also records that status of various project clearances, such as environmental, right-of-way, and permits. This enables all parties to have access to the current project status in real-time. TPMS also serves as an important project communication tool, including electronic file transfer and e-mail contacts for LPA, DOT, and consultant staff for each project.

Specific Approval and Oversight Activities

The procedures employed for each of the specific approval and oversight activities required for LPA Federal-aid project development are described below.

Project Authorization

Requests for LPA Federal-aid project authorizations are prepared by the Administering Office. The Administering Office is responsible for verifying the Federal funding eligibility and project information, such as description, programming, work types, funding sources, and amounts.

For construction projects let through the Iowa DOT, the Administering Office conveys the project information to the Office of Contracts by submitting a Plan Turn-in Checklist with the plans and specifications. Based on this information, Office of Contracts staff prepares the authorization request in the Fiscal Management Information System (FMIS) and submits it to FHWA for review and approval.

For other types of authorization requests, the process varies depending on whether the Administering Office is a District Office or the Office of Systems Planning. Some authorization requests for projects overseen by Systems Planning are entered directly in FMIS by Systems Planning staff. Authorization requests for projects overseen by a District Office are sent to the Office of Contracts with an FHWA Authorization Checklist, which contains the necessary project information. The Office of Contracts then enters the project information into FMIS and submits the request to FHWA for approval.

After FHWA authorization is received, the Administering Office notifies the LPA that the authorized project activities may proceed.

Civil Rights

Monitoring of LPA compliance with Title VI and related non-discrimination requirements is performed by the Iowa DOT Office of Employee Services, Civil Rights Team (OES-CRT). This monitoring includes both pre-grant and post-grant reviews. Procedures and requirements for LPAs are provided in [I.M. 1.070](#), Title VI and Nondiscrimination Requirements, and [I.M. 1.080](#), ADA Requirements. Additional resources and information for LPAs are provided on the OES-CRT [Title VI Sub-recipient Information web site](#).

Procedures are also in place to assure that Disadvantaged Business Enterprises (DBE) have an opportunity to participate in federally funded construction and consultant contracts. [I.M. 3.710](#), DBE Guidelines, provides general guidance to LPAs on the DBE program, goal setting, and also references the DBE procedures provided in [I.M. 3.305](#), Federal-aid Participation in Consultant Costs, [I.M. 3.720](#), Local Letting Process – Federal-aid, and [I.M. 3.730](#), Iowa DOT Letting Process.

Consultant Selection and Management

Consultant Selection

If LPAs will use Federal funds for consultant services, they must follow the procedures in [I.M. 3.305](#), Federal-aid Participation in Consultant Costs. These procedures require compliance with a qualifications-based selection process for contracts subject to the Brooks Act. This I.M. also specifies the steps required for procuring consultant contracts using the simplified acquisition procedures allowed by 23 CFR Part 172.

Responsible Charge

When an LPA uses a consultant to perform construction engineering services, they are required to have a full-time employee in responsible charge of the project. For counties, the County Engineer serves as the person in responsible charge. For larger cities, usually the Public Works Director, City Engineer, or their designee serves in this capacity. For smaller cities that do not have any full-time employees, the responsible charge requirement is met by a combination of the mayor or city clerk and the Iowa DOT District Local Systems Engineer or Grant Project Manager in the Office of Systems Planning, as applicable. In providing this assistance to LPA staff, the District Local Systems Engineer or Grant Project Manager receives support as needed from staff in other Iowa DOT offices, such as Design, Construction, Right of Way, Location and Environment, etc.

Some consultants also serve as the city engineer for smaller cities. In these cases, the same consultant is not allowed to serve on the selection committee or participate in the selection of a consultant firm for a Federal-aid project. Consultants performing construction engineering services are also not allowed to serve as a subcontractor for construction staking services on the same project.

Potential conflicts of interest are monitored via the Iowa DOT Administering Office's review and approval of all change orders on LPA Federal-aid projects. Contract modifications due to design errors are made non-participating for Federal funds.

The responsible charge requirements and conflict of interest provisions are documented in [I.M. 3.805](#), Construction Inspection, and [I.M. 3.305](#), Federal-aid Participation in Consultant Costs.

Environmental Requirements

The LPAs are required to prepare all environmental documents to comply with the National Environmental Policy Act (NEPA) and associated laws and regulations. However, all environmental documents are reviewed by the Iowa DOT Office of Location and Environment before being approved (in the case of Programmatic Categorical Exclusions) or being sent to FHWA for approval (in the case of other environmental documents). For projects that require an Environmental Assessment or Environmental Impact Statement, Office of Location and Environment staff work closely with the LPA and / or its consultants responsible for preparation of the environmental document to ensure the required coordination with resource agencies, associated public involvement activities, and other Federal requirements are met.

The environmental procedures LPAs must follow are contained in the following documents:

- [I.M. 3.105](#), Concept Statement Instructions
- [I.M. 3.110](#), Environmental Data Sheet Instructions
- [I.M. 3.111](#), Threatened and Endangered Species
- [I.M. 3.112](#), FHWA Environmental Concurrence Process
- [I.M. 3.114](#), Cultural Resource Regulations
- Office of Location and Environment website, [NEPA Documents, Local Projects](#)

Documentation showing the appropriate procedures have been followed is contained in the Iowa DOT Office of Location and Environment, Administering Office, or LPA project files.

LPAs are also responsible for obtaining all required permits, such as Corps of Engineers 404 permits, National Pollutant Discharge Elimination System (NPDES) storm water permits, etc. Guidance to local agencies on these subjects is included in the following documents:

- [I.M. 3.120](#), Farmland Protection Policy Act Guidelines
- [I.M. 3.130](#), 404 Permit Process
- [I.M. 3.140](#), Storm Water Permits
- [I.M. 3.150](#), Highway Improvements in the Vicinity of Airports or Heliports
- [I.M. 3.160](#), Asbestos Inspection, Removal, and Notifications Requirements
- [I.M. 3.410](#), Preliminary Bridge or Culvert Plans

Documentation of compliance with these various permits is shown either on the project plans or in the LPA's project files.

Design

LPAs must use the design guidelines provided by the Iowa DOT. If the minimum design guidelines cannot be met, LPAs must prepare a design exception that is reviewed and approved by the Iowa DOT Administering Office. Plans and specifications must be prepared in accordance with the Iowa DOT guidelines and are reviewed and approved for letting by the Iowa DOT Administering Office. Additional details and the applicable I.M.s and design guidelines are referenced in Section 5 of the [Guide](#).

Right-of-Way

The Iowa DOT procedures and guidance provided to LPAs to assure compliance with the Uniform Act and related laws and regulations are documented in [I.M. 3.605](#), Right-of-Way Acquisition, and the Office of Right of Way's [LPA Manual](#). The Iowa DOT Office of Right of Way Local Public Agency Coordinators (LPAC) provides oversight and technical assistance to LPAs. The steps included in this oversight are summarized below:

- Concept Statement – After receipt of a Concept Statement that indicates Right-of-Way will need to be acquired, the appropriate LPAC in the Office of Right of Way sends the LPA a notice. The purpose of the LPACs notice is to introduce themselves and invite the LPA to contact them for assistance in acquiring Right-of-Way. The notice is followed up with a phone call by the LPAC to verify receipt and answer any questions the LPA may have.
- Early acquisitions – If the LPA requests approval to acquire Right-of-Way before environmental concurrence, the Administering Office and the Office of Right of Way LPAC review the request to verify it meets the criteria for early acquisitions. After these reviews, the Administering Office also requests FHWA's review and approval.
- Requests for Federal participation – When Federal participation is requested in Right-of-Way costs the Right-of-Way plans, cost estimate, and eligibility of costs are reviewed. This review involves both the Administering Office and the Office of Right of Way.
- FHWA Environmental Concurrence follow-up – After the LPA is notified by the Office of Location and Environment that Environmental Concurrence has been obtained, the LPAC contacts the LPA again to remind them that they are available to provide assistance, and that Right-of-Way activities for which the LPA will request Federal participation should not proceed until approval is received from the Administering Office.

- Project Development Certification (PDC) – Before the project is authorized for letting, the LPA must prepare and sign a PDC. Among other things, the PDC includes a statement that the Right-of-Way was acquired in accordance with Federal and State requirements. The PDC also documents the status of railroad and utility coordination, indicating either that relocations or adjustments are complete or that the necessary arrangements have been made to ensure construction can proceed without delay. The Administering Office and the LPAC review and approve the PDC in accordance with the procedures in [I.M. 3.750](#), Project Development Certification Instructions.
- Project reviews – Each of the LPACs in the Office of Right of Way perform on-site reviews of a sample of LPA projects each year. Projects are reviewed in accordance with the procedures contained in the Office of Right of Way’s [LPA Manual](#). In summary, these reviews verify compliance with the applicable State and Federal laws and regulations pertaining to Right-of-Way acquisition by examining the LPA’s project files and documentation. If problems are identified by the review, the LPA is required to take corrective action to return the project to compliance. Areas for improvement are identified and shared with the LPA, thereby providing a training mechanism for the LPA and Iowa DOT.
- Other assistance – The Office of Right of Way staff is available to assist local agencies in any aspect of the process upon request. In addition, the Office of ROW staff regularly provides information and training to LPAs as a part of training classes or seminars conducted by other Iowa DOT Offices.

Contract Procurement

Most LPA Federal-aid construction projects must be let for competitive bids through the Iowa DOT in accordance with the procedures provided in Section 7.1 of the [Guide](#) and [I.M. 3.730](#), Iowa DOT Letting Process. By conducting the letting process for LPAs, the Iowa DOT ensures that all applicable Federal requirements are met.

Certain LPA Federal-aid construction projects may be procured locally using either competitive bids or quotes, as described in Section 7.2 of the [Guide](#) and [I.M. 3.720](#), Local Letting Process – Federal-aid. In these cases, compliance with Federal requirements is ensured through several reviews and checks by Iowa DOT Administering Office staff. These steps are documented on a pre-award and post-award checklist that is completed by the LPA and reviewed by the Iowa DOT Administering Office.

Under very limited circumstances, LPAs may construct a project using its own forces. The required criteria and procedures are provided in [I.M. 3.810](#), Federal-aid Construction by Local Agency Forces.

Construction Inspection

LPA construction inspection staff must follow the procedures outlined in [I.M. 3.805](#), Construction Inspection, and the Iowa DOT [Construction Manual](#), as applicable. The Iowa DOT monitors LPA construction projects as outlined below:

Field Reviews by the Office of Local Systems

The Office of Local Systems Field Review Technician maintains a list of all current fiscal year LPA contracts involving highway or bridge construction. The status of these contracts is tracked by information on the Weekly Report of Working Days (Form 830238) submitted by the LPAs and from information obtained from the District Offices. This list allows the Field Review Technician to track the status of these contracts to determine when a construction field review can be accomplished.

LPA contracts are selected for a field review based on a list of LPAs for which field reviews have been conducted in the past. LPAs that have not recently been reviewed are given first priority for a field review. The goal is to conduct a field review of at least one of the LPA's Federal-aid projects every three or four years. However, since some LPAs do Federal-aid projects very infrequently, it may not be possible to review a project for each LPA on this cycle.

After an LPA project has been selected for a field review, the Field Review Technician visits the project site, usually accompanied by a representative from the District Office. The visit may be scheduled or unannounced, depending on the preference of the District Office. The Field Review Technician uses several checklists to document items that are examined on the field reviews. Since not all the items on these checklists apply for all field reviews, only those that are applicable are used for each individual review. In summary, the field review consists of a site visit to observe the work in progress, including traffic control devices, erosion control measures, other safety measures, and poster boards. The field review also involves an office visit to the LPA or consultant responsible for construction inspection to review their project files and documentation. DBE documentation is also reviewed, including the DBE goal, firms being used to meet the DBE commitment, and whether those firms are performing a commercially useful function.

After the field review has been completed, the Field Review Technician prepares a written report and submits it to the District Office for their review. Any

additional comments or corrections are brought to the attention of the Field Review Technician.

After any necessary changes have been made, the final Field Review Report is sent to the LPA by the District Office, and a copy of the report is provided to the Office of Employee Service, Civil Rights Team (OES-CRT) and FHWA for information. This provides the OES-CRT with an indication of which contractors are not complying with EEO and Predetermined Wage Rate requirements. A copy of the District Office's cover letter is also provided to the Office of Local Systems.

If the Field Review Report contains any findings, the LPA is provided sufficient time to address the findings or correct any deficiencies found. Afterward, the Field Review Technician and the District Office representative may follow up with another site visit. If such follow up visit is conducted, a follow up report is also prepared to document whether or not the original findings or deficiencies have been corrected. If the findings or deficiencies have not been corrected, the District Office contacts the LPA and takes appropriate action until all issues have successfully been resolved. Usually this occurs before construction is complete, but in all cases before the project is accepted as complete and final reimbursement to the LPA is made. If a follow up visit is not possible, deficiencies will be reviewed at the time of final review to ensure corrections were made.

Field Reviews by the Office of Systems Planning

The Office of Systems Planning also performs site visits and field reviews for the Federal-aid projects it is responsible for. The status of projects under construction is tracked by the Weekly Report of Working Days (Form 830238) received by the LPAs. Systems Planning performs at least one Field Review for all projects under construction.

The Construction Technician makes a scheduled visit to the project site and uses a checklist to document items that are examined. In summary, the field review consists of reviewing the work in progress, including traffic control devices and other safety measures, pedestrian and auto access, erosion control measures, quality of work, materials staging, and poster boards. The field review also involves an office visit to the LPA or consultant responsible for construction inspection to review their project files and documentation and verify they are consistent with the requirements of [I.M. 3.910](#), Final Review, Audit, and Close-out Procedures for Federal-aid Projects. Additional unscheduled site visits are also conducted as time allows.

After the field review has been completed, the Construction Technician prepares a written report documenting deficiencies and observations. The written report is provided to the LPA or consultant responsible for construction inspection, the appropriate Systems Planning Project Manager, the Office of Employee Service,

Civil Rights Team (OES-CRT) and FHWA for information. If deficiencies are noted, the Construction Technician may conduct a follow-up site visit to ensure deficiencies are corrected. If a follow-up visit is not possible, deficiencies will be reviewed at the time of final review to ensure corrections were made.

District Office Site Visits

The District Offices also visit LPA projects under construction. The frequency, level of review, and documentation varies, depending on the District Office. For some, site visits are made while in the project area on other business, but for others, a special trip is made for this purpose. If deficiencies are observed, the District Offices notify the LPA accordingly. The District Offices also follow up on any deficiencies found as part of the final project review or audit. District Office site visits are documented and a copy is provided to the Office of Local Systems.

District Materials

District Materials staff may also visit the project site during construction in order to conduct material tests or inspections. This includes independent assurance inspections of the LPA's certified technicians, verification testing, and source monitoring of material suppliers.

Work Zone Safety Reviews

As per 23 CFR 630.1010(e), the Iowa DOT performs annual Work Zone Safety reviews. While the scope of these reviews is limited to traffic control devices and work zone safety, LPA projects are usually included among those reviewed. The results of these reviews are documented in a report. The report is often used to emphasize the importance of proper work zone safety in the Iowa DOT's Work Zone Safety classes, and occasionally as part of other conferences or presentations to LPAs.

Project Close-out and Record Retention

The procedures for closing out a Federal-aid project, including final reviews, audits, and record retention are described in Section 9 of the [Guide](#) and [I.M. 3.910](#), Final Review and Close-out Procedures for Federal-aid Projects.

Financial Management and Reporting

Single Audit Requirements

Guidance to LPAs is provided in Section 10.2 of the [Guide](#). All LPAs are notified of the Single Audit requirement in the funding agreement with the Iowa DOT. The Iowa DOT monitors the audits of all sub-recipients provided federal funding by the Iowa DOT. If the Iowa DOT has provided a significant amount of federal funding (equal to or greater than \$250,000) and no Single Audit has been filed with the Auditor of State, the LPA is contacted to ensure that a Single Audit was not necessary.

If an LPA's Single Audit contains findings related to Federal funds passed through the Iowa DOT, the Iowa DOT Office of Finance coordinates the preparation of a management decision. Depending on the nature of the finding, the Office of Finance may involve the Administering Office. If the finding is sustained and it is determined that additional action is required by the LPA, the Administering Office notifies the LPA of the required actions. Additionally, the Office of Finance (Audits) conducts follow up to verify that additional corrective actions are being implemented in the subsequent year.

Indirect Cost Allocation Plans

If an LPA desires to claim indirect costs for Federal reimbursement, the Administering Office notifies the Iowa DOT Office of Finance (Audits) of the request. The Office of Finance then determines the LPA's Federal Cognizant/Oversight agency for indirect cost negotiation. If the LPA has been assigned a Cognizant Federal Agency or a federal agency has assumed indirect cost negotiation oversight responsibilities, then the Iowa DOT Office of Finance requests documentation of cognizant/oversight approval of the plan/rate from the LPA. If no approval has been provided, the federally cognizant agency is contacted to determine if appropriate documentation has been provided by the LPA and approval has been given. If no approval has been provided by the federally cognizant/oversight agency, the Office of Finance requests documentation and certifications of the indirect cost allocation plan/rate for review and approves it for use on federal awards provided by the Iowa DOT. If however, it is determined that the FHWA provides the predominant amount of federal funding via pass thru funds, the Office of Finance requests documentation of the full plan and reviews and approves it for use on all federal awards provided by Iowa DOT. LPAs are notified of this requirement in [I.M. 3.310](#), Federal-aid Participation in In-House Services, and [I.M. 3.810](#), Federal-aid Construction by Local Agency Forces.

Inactive Obligations

The Iowa DOT monitors and manages LPA inactive obligations through a combined effort of the Office of Finance, Local Systems, the Administering Offices, and LPAs. This process includes two components: 1) a pre-inactive review designed to keep projects from becoming inactive; and 2) the review of projects that have become inactive, as per 23 CFR 630.106(a)(5). Both reviews are conducted by the Iowa DOT on a quarterly basis.

This process is documented in the Iowa Division Office SOP for Inactive Obligations. Additional documentation and instructions for DOT staff is maintained by the Office of Local Systems. Results of the quarterly inactive reviews are documented in the Iowa Division's quarterly inactive reports and the corresponding Iowa DOT responses to these reports. LPAs are notified of the inactive obligation requirements in Section 2.4 of the [Guide](#) and in the project agreement between the Iowa DOT and the LPA.

Financial Plans for Major Projects

LPA projects in Iowa rarely are large enough to be considered a Major Project. Instructions to LPAs are provided in Section 3.6 of the [Guide](#). If a financial plan is required, it will be reviewed by the Iowa DOT in consultation with the Iowa Division Office.

Federal Funding Accountability and Transparency Act (FFATA)

The Iowa DOT Office of Finance prepares reports for the LPA projects that must be reported as subawards in the FFATA Subaward Reporting System (FSRS). These reports are prepared using data gathered from the Fiscal Management Information System (FMIS) and the Iowa DOT's financial systems.

Stewardship / Oversight Indicators

The stewardship / oversight indicators used to measure the performance of the LPA Federal-aid program are listed in Attachment D.

Appendix 1: Glossary

2 CFR 200 - All actions taken on or after December 26, 2014, shall be governed by the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR Part 200. Part 200 of 2 CFR supersedes 49 CFR Parts 18 and 19, and requirements from OMB Circulars A-21, A-87, A-110, and A-122 (which have been placed in OMB guidances); Circulars A-89, A-102, and A-133; and the guidance in Circular A-50 on Single Audit Act follow-up

Assumption of Responsibilities – The act of State DOT to accept responsibility for carrying out and approving certain actions in the place of the FHWA. Such actions are to be taken by the State DOT in conformance with Federal laws, regulations, and policies.

Assumed Projects – Federal projects that the State DOT reviews in the place of the FHWA and has the authority to approve certain specified actions pertaining to design; plans, specifications, and estimates; contract awards; and inspections.

Categorical Exclusion (CE) – An action that does not individually or cumulatively have a significant environmental effect. Specific list of actions normally considered as CEs are contained in 23 CFR 771.117(c), and 771.117(d).

Certification Reviews – A review that formalizes the continuing oversight and day-to-day evaluation of the planning process.

CFR – Code of Federal Regulations

Control Document – Applicable laws, regulations, standards, policies, and standard specifications approved by FHWA for use on Federal-aid highway projects.

Core Functions – Activities that make up the primary elements of the Division Office’s Federal-aid oversight responsibilities based on regulations and national policies. Core functions in the Division Office are Planning, Environment, Right-of-Way, Design, Construction, Finance, Operations, System Preservation, Safety, and Civil Rights.

Emergency Relief (ER) - Congress authorized in Title 23, United States Code, Section 125, a special program from the Highway Trust Fund for the repair or reconstruction of Federal-aid highways and roads on Federal lands which have suffered serious damage as a result of (1) natural disasters or (2) catastrophic failures from an external cause. This program, commonly referred to as the emergency relief or ER program, supplements the commitment of resources by States, their political subdivisions, or other Federal agencies to help pay for unusually heavy expenses resulting from extraordinary conditions.

Federal-aid construction projects – All construction projects funded under Title 23 U.S.C. This includes any construction project funded under 23 U.S.C. such as a highway, rail, transit, vertical building, offices, parking lots, bicycle paths, pedestrian trails, etc. (examples: Buy America, DBE program requirements, etc.)

Federal-aid contract – Any contract containing any Federal-aid funding.

Federal-aid highways – Highways on the Federal-aid highway systems and all other public roads not classified as local roads or rural minor collectors.

Federal-aid highway construction project – Any Federal-aid funded construction work physically located inside of or linked to the highway Right-of-Way. Includes all Federal-aid highway construction projects regardless of location, but does not include rail or trail projects located outside of highway Right-of-Way.

Federal-aid highway construction projects on the National Highway System – All Federal-aid highway construction projects located on the National Highway System. These requirements are not applicable to: a) Federal-aid highway construction projects on non-NHS routes or b) Federal-aid non-highway construction such as trail projects not located within the highway Right-of-Way examples: FHWA policies for claims, warranties, incentive /disincentives).

Federal-aid highway systems – The National Highway System and the Dwight D. Eisenhower National System of Interstate and Defense Highways (the "Interstate System").

Federal-aid project – Any work funded with Federal-aid funds.

FHWA – Federal Highway Administration, Iowa Division, Ames, Iowa

FHWA Headquarters (HQ) – Federal Highway Administration, 1200 New Jersey Ave., SE Washington, DC 20590

FMIS – FHWA's Fiscal Management Information System that is used for project authorization and obligation and is FHWA's major financial information system.

FMIS Final Voucher – Joint project closure document that closes the FMIS record, also referred to as the project closure document for FHWA.

FMIS Project Closure – Joint, final FMIS action taken on a project that closes the FMIS record, also referred to as the final voucher for FHWA.

Grant – An award of financial assistance, including cooperative agreements, in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee. The term does not include technical assistance, which provides services instead of money, or other assistance in the form of revenue sharing, loans, loan guarantees, interest subsidies, insurance, or direct appropriations. In addition, the term does not include assistance, such as a fellowship or other lump sum award, which the grantee is not required to account for.

Grantee – The government to which a grant is awarded and which is accountable for the use of the funds provided. The grantee is the entire legal entity even if only a particular component of the entity is designated in the grant award document.

Interstate Reconstruction – Additional mainline capacity, modification and/or creation of new access points, removal and replacement of the pavement structure or the overlay of an existing pavement structure more than 4" thick, modification or creation of rest areas/weigh stations, or removal and replacement of any significant part of the substructure or superstructure of an existing bridge.

Locally Administered Projects – For the purpose of the S&O Agreement, a Federal-aid project in which an entity other than a traditional State DOT is a sub-recipient and this entity is administering the particular phase being authorized, i.e., Preliminary Engineering, ROW, or Construction. These would include projects where the non-traditional entity will either perform the work itself or enter into a contract for services or construction. State DOT remains responsible for the local public agency's compliance on locally administered projects.

Local Public Agency (LPA) – Any organization, other than a traditional State DOT, with administrative or functional responsibilities that are directly or indirectly affiliated with a governmental body of any Tribal Nation, State, or local jurisdiction. LPAs would most often include cities or counties. However, an LPA, as defined here, could also include a State entity as well, perhaps even a part of a State DOT. An example could include a Port Authority or Toll Authority that had not traditionally worked with the Federal-aid highway program (FAHP).

Major Projects – Projects receiving Federal financial assistance with an estimated total cost greater than \$500 million, or projects approaching \$500 million with a high level of interest by the public, Congress, or the Administration.

National Highway System – The National Highway System consists of roadways important to the nation's economy, defense, and mobility. The National Highway System (NHS) includes the following subsystems of roadways (note that a specific highway route may be on more than one subsystem):

- Interstate: The Eisenhower Interstate System of highways retains its separate identity within the NHS.
- Other Principal Arterials: These are highways in rural and urban areas which provide access between an arterial and a major port, airport, public transportation facility, or <http://www.fhwa.dot.gov/planning/images/nhs.pdf> other intermodal transportation facility.
- Strategic Highway Network (STRAHNET): This is a network of highways which are important to the United States' strategic defense policy and which provide defense access, continuity and emergency capabilities for defense purposes.
- Major Strategic Highway Network Connectors: These are highways that provide access between major military installations and highways that are part of the Strategic Highway Network.

- **Intermodal Connectors:** These highways provide access between major intermodal facilities and the other four subsystems making up the National Highway System. A listing of all official NHS Intermodal Connectors is available here

Non-Concurrent Construction – For a Major Project, when the time period between the completion of one operationally independent project and the start of the next project exceeds 5 years.

Non-Primary – Roads in Iowa under county or city jurisdiction.

Non-Title 23 Requirements – Requirements of the grantee and subgrantee of the Federal-aid program that are not contained with Title 23 of United States Code. Examples of these requirements include but are not limited to Environmental, Civil Rights, Davis-Bacon wage rates, procurement of engineering and design related services, and Disadvantaged Business Enterprises that apply to all projects and are subject to review regardless of oversight process.

Operational Independence – Describes a phase of work as a portion of the project detailed in the environmental document that can be built and function as a viable transportation facility even if the rest of the work described in the environmental document is never built.

Oversight – The act of ensuring that the FAHP is delivered consistent with laws, regulations, and policies.

Performance/Compliance Indicators – These indicators track performance trends, health of the Federal-aid Highway Program, and compliance with Federal requirements.

Primary – Roads in Iowa under the jurisdiction of the Iowa DOT including Interstate, United States Highways, and Iowa State Highways. These roads are designated by Iowa Code subsection 306.3(6).

Process Reviews/Program Evaluations (PR/PE) – A review conducted whose primary purpose is to provide a monitoring and control technique that documents procedures and processes and further assures that Federal-aid funds are being spent in accordance with Federal laws, regulations, and policies. In addition, PR/PEs evaluate the effectiveness of the processes, procedures, and products developed by Iowa DOT in all phases of a project, as well as the internal operations of the FHWA Iowa Division.

Program Assessments – This evaluation technique may take many forms, including joint risk assessments and self-assessments. These tools are based on the common concepts of identifying strengths, weaknesses, and opportunities and the identification and sharing of “best” practices to continually improve the program.

Program Reviews – A thorough analysis of key program components and the processes employed by the State DOT in managing the program. The reviews are conducted to: 1) ensure compliance with Federal requirements; 2) identify areas in need of improvement; 3) identify opportunities for greater efficiencies and cost improvement to the program; and/or 4) identify exemplary practices.

Programmatic Categorical Exclusions (PCE) – PCEs are a subset of categorical exclusions (CEs). These are actions listed as CEs under 23 CFR 771.117(c), and under Section III(b) of the *Programmatic Agreement for Certain Categorical Exclusion Actions*, between Iowa DOT and FHWA. The agreement describes how the Iowa DOT will certify that certain actions are CEs and FHWA will approve the certification of the action through any subsequent federal approval action.

Projects Between \$100 Million and \$500 Million - As described in 23 U.S.C. 106(i), projects with an estimated total cost exceeding \$100 million but not designated by FHWA as a major project pursuant to section 106(h)(1) also must have an Initial Financial Plan and Annual Updates. The Project Sponsor must make these plans available to the FHWA for review upon request. Except as otherwise noted in this guidance, the financial plan provisions in section 106(h)(3) and this guidance apply to financial plans prepared pursuant to section 106(i).

Projects of Corporate Interest (PoCIs) - Projects of Corporate Interest (PoCIs) are a subset of PoDIs. These are projects deemed to be so significant that FHWA is willing to commit additional resources beyond those available at the individual Division level to help ensure successful delivery of the project. Project selection should be risk-based and the stewardship and oversight activities should be directed toward addressing the identified risks. This may require retaining certain project approval actions or directing stewardship and oversight activities to a specific phase or element of the project.

Projects of Division Interest (PoDIs) – PoDIs are those projects that have an elevated risk, contain elements of higher risk, or present a meaningful opportunity for FHWA involvement to enhance meeting project objectives. For PoDIs, FHWA has made a risk-based decision to retain project approval actions or conduct stewardship and oversight activities for the project as provided for in 23 USC 106.

Project Inspections – Inspections in which projects are reviewed to ascertain compliance with applicable laws, regulations, agreements, and contain documented findings. They can also be used to document new or innovative practices or technologies.

RASPS – Rapid Approval & State Payment System is a feeder system used by FHWA to electronically process grant payments against balances obligated in FMIS and DELPHI (USDOT’s internal accounting program). This payment process is often referred to as the “Current Bill.”

Recurring Reviews – Reviews that the Division Office conducts annually or on a regular periodic basis. Examples include NBIS, HPMS, HVUT, etc.

Responsible Charge – For a Federal-aid project, a person who administers inherently governmental project activities, including those dealing with cost, time, adherence to contract requirements, construction quality, and scope. This individual also makes or participates in decisions on change orders, contract modifications, etc.: maintains a current awareness of the project conditions: and is held accountable for completion of all aspects of the Federal-aid project. The persons or persons in responsible charge must be a full time employee of the contracting agency. For Iowa DOT administered projects, this person must also be an engineer.

Risk Assessment – The process of identifying a risk event, determining the likelihood of the event happening, determining the impact (positive or negative) of the event on the delivery of the FAHP, and identifying an appropriate risk response strategy.

Risk-Based Approach – Incorporating risk assessment and risk management into investment and strategic decision making (the means by which limited resources are focused).

Risk Management – The systematic identification, assessment, planning, and management of threats and opportunities faced by FHWA projects and programs.

Stewardship – The efficient and effective management of the public funds that have been entrusted to the FHWA.

Subgrant – An award of financial assistance in the form of money, or property in lieu of money, made under a grant by a grantee to an eligible subgrantee. The term includes financial assistance when provided by contractual legal agreement.

Subgrantee – The government or other legal entity to which a subgrant is awarded and which is accountable to the grantee for the use of the funds provided.

SuperCircular - All actions taken on or after December 26, 2014, shall be governed by the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards in 2 CFR Part 200. Part 200 of 2 CFR supersedes 49 CFR Parts 18 and 19, and requirements from OMB Circulars A-21, A-87, A-110, and A-122 (which have been placed in OMB guidances); Circulars A-89, A-102, and A-133; and the guidance in Circular A-50 on Single Audit Act follow-up

Tapered Match on Federal-aid Projects – allows flexibility in meeting the non-Federal share requirements, provided the overall Federal share is not exceeded at the close of the project. When a tapered match is authorized, the established Federal share is applied to the total project costs, instead of applying to each progress payment. The individual billing percentage applied to progress payments may be higher or lower than the designated Federal share or the lump sum established for the project.

Title 23 Requirements – Requirement of the grantee and subgrantee of the Federal-aid program that are contained within Title 23 of United States Code such as bidding requirements, planning, design standards, emergency relief, and so on.

Unit Performance Plan – The annual performance plan prepared by an individual FHWA unit that address unit responsibilities and priorities taking into account the National Performance Objectives and National Initiatives identified in the FHWA’s Strategic Implementation Plan (SIP) as well as specific initiatives identified at the unit level based on risk.

U.S.C. – United States Code

Value Engineering – A systematic process of review and analysis of a project, during the concept and design phases, by a multidisciplinary team of persons not involved in the project. The recommendations from the review meet the purpose and need of the project; safely, reliably, efficiently, and at the lowest overall cost. The review also improves the overall value and quality of the project, and reduces the time to complete the project.

Appendix 2: Project Oversight Designation Requirement in the Fiscal Management Information System (FMIS)

PoDI/State Administered – Projects of Division Interest that are administered by the State DOT. If specific 106(c) responsibilities are assumed by the State DOT, the responsibilities assumed should be noted in the project description and/or remarks fields. (Projects where all six 106(c) responsibilities are retained by FHWA would need no such notation.) These are projects where FHWA will review and approve actions pertaining to one or more of the following (design; plans, specifications, and estimates; contract awards; and project inspections) and may also include additional areas of focus by the Division.

PoDI/Locally Administered – Projects of Division Interest that are locally administered. If specific 106(c) responsibilities are assumed by the State DOT, the responsibilities assumed should be noted in the project description and/or remarks fields. (Projects where all six 106(c) responsibilities are retained by FHWA would need no such notation.) These are projects where FHWA will review and approve actions pertaining to one or more of the following (design; plans, specifications, and estimates; contract awards; and project inspections) and may also include additional areas of focus by the Division.

Assumed/State Administered – Projects where *responsibility for all six Section 106(c) items* is assumed by the State DOT and the project is administered by the State DOT. These are projects where the State DOT has assumed responsibility for review and approval actions pertaining to all of the following: design; plans, specifications, and estimates; contract awards; and project inspections.

Assumed/Locally Administered - Projects where *responsibility for all Section 106(c) items* is assumed by the State DOT and the project is administered by a local agency. These are projects where the State DOT has assumed responsibility for review and approval actions pertaining to all of the following: design; plans, specifications, and estimates; contract awards; and project inspections.

Other – There may be situations that do not fit the previous categories. In cases where the project is identified as “Other,” additional details should be provided in the project description and/or remarks fields. Examples could include non-State DOT direct recipients.