

City of West Branch

~A Heritage for Success~

Office of the Mayor

January 15, 2015

Mr. John Dostart, P.E.
Urban Engineer, Office of Local Systems
Iowa Department of Transportation
800 Lincoln Way
Ames, IA 50010

Re: Offer of City Bridge Funding, FHWA Bridge Number: 012380

Dear Mr. Dostart:

We were pleased to receive your letter dated December 12, 2014 offering City Bridge funds for the replacement of our College Street Bridge. The City of West Branch requests your assistance in obtaining these bridge replacement funds and preparation of the agreement for City Council action. At this very early stage, we estimate the total project cost for which we will request 80% matching Federal-aid to be about \$1,350,000.00. This estimate includes costs for estimated construction, right-of-way, design engineering, and construction engineering. As requested, attached to this letter is the completed *Attachment to Offer of City Bridge Funding* form.

Please call if you have any questions or need additional information. We greatly appreciate your efforts in assisting our community. Thank you.

Sincerely,

Mark Worrell, Mayor

Cc: Robert Fangmann, P.E., Cedar County Engineer
Kent Ellis, P.E., Iowa DOT District 6 Local Systems Engineer
Catherine Cutler, Iowa DPT District 2 Planner

Office of Local Systems
800 Lincoln Way | Ames, IA 50010
Phone: 515.239.1291 | Email: John.Dostart@dot.iowa.gov

December 12, 2014

Re: Offer of City Bridge Funding
FHWA Bridge No.: 012380

City of West Branch
Matt Muckler
P.O. Box 218
West Branch, IA 52358-0218

Dear Mr. Muckler:

I am pleased to inform you that the **College St. Bridge over the West Branch of the Wapsipinicon Creek** in your city is ranked high enough on the city bridge candidate list to receive funding for replacement. Each year, the Iowa Department of Transportation (Iowa DOT) uses the City Bridge Candidate List to offer either Federal or State funds for replacement or rehabilitation of city bridges. The Iowa DOT makes final determination of whether a project will receive Federal or State funds.

Federally funded projects can receive 80 percent reimbursement of all eligible and properly documented project costs, up to a limit of \$1,000,000 in Federal-aid funds. State funded projects can receive 80 percent reimbursement of all eligible and properly documented project costs, up to the limit specified in the funding agreement. The remaining 20 percent of eligible project costs, as well as any ineligible project costs, are paid by the city. Eligible project costs may include the following: engineering services, bridge construction, a limited amount of roadway approach construction (as determined by the Iowa DOT), right-of-way acquisition, and in certain cases, utility relocations.

If the city accepts this offer of funding, the city must sign the project agreement with the DOT within 90 days of receipt. The city must also develop the project to a successful contract letting within three years of signing the project agreement. These funds are offered in anticipation of a letting date after October 1, 2015.

If the city decides to accept funding for this project, please send a letter confirming the city's acceptance by **January 19, 2015**. Complete the attached sheet and include it with the City's letter of acceptance. If the timing of your city council meetings will not allow a response by this date, please contact me in advance.

If the city decides not to accept funding at this time, I would appreciate if you would inform me of your rejection by the same date. The bridge will remain on the Candidate List and may be offered funding in the future. However, each year new bridges are added to the Candidate List, and bridges already on the list continue to deteriorate, thereby changing the priority point calculations. These factors, combined with variations in funding levels, make it impossible to predict with certainty when this bridge may rank high enough to be offered funding again. If you have any questions about this program, please contact me.

Sincerely,



John Dostart, P. E.
Urban Engineer
Office of Local Systems
John.Dostart@dot.iowa.gov

cc: Robert Fangmann, P.E., Cedar County Engineer
Kent Ellis, P.E.; Iowa DOT District 6 Local Systems Engineer
Catherine Cutler, Iowa DOT District 2 Planner

Attachment

Attachment to Offer of City Bridge Funding

City Name: City of West Branch

Accept: Decline:

FHWA Bridge Number: 012380

Who will be administering the project? City: County:

Type of Project: Reconstruction: Replacement:

Name of the contact person: Matt Muckler

Title of contact: City Administrator

Phone number of contact: 319-643-5888

Address of contact: 110 N. Poplar Street

West Branch, Iowa 52358

Are there any apparent reasons this project cannot be let within 3 years of signing the agreement?

No: Yes: , explanation: _____

Current estimated preliminary engineering (P.E.) costs \$ \$125,000

Current estimated right-of-way (ROW) costs \$ \$110,000

Current estimated construction engineering (C.E.) costs \$ \$165,000

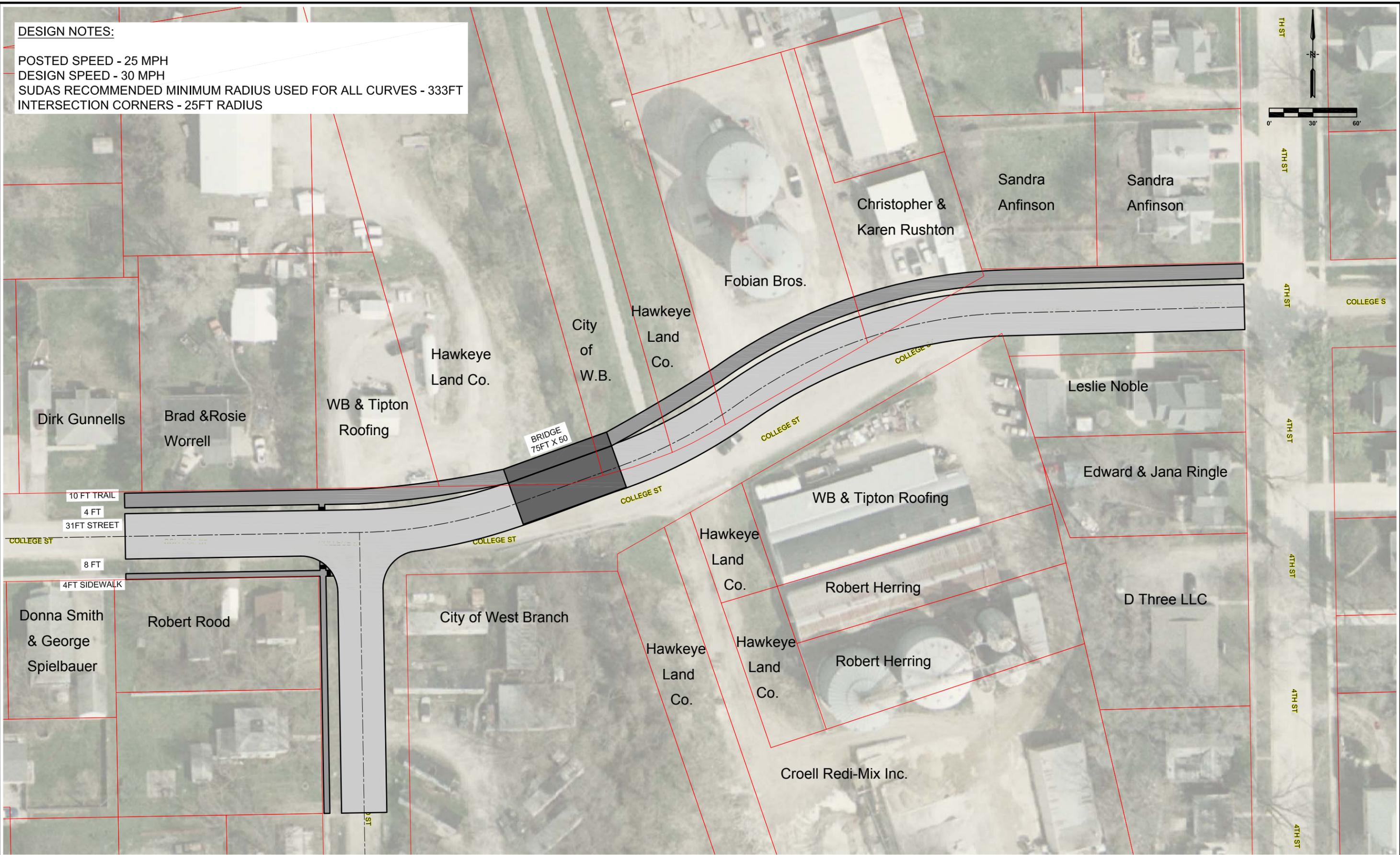
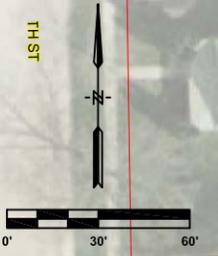
Current estimated construction costs \$ \$950,000

Total estimated project cost \$ \$1,350,000

DESIGN NOTES:

POSTED SPEED - 25 MPH
 DESIGN SPEED - 30 MPH
 SUDAS RECOMMENDED MINIMUM RADIUS USED FOR ALL CURVES - 333FT
 INTERSECTION CORNERS - 25FT RADIUS

PLOTTED: Wednesday, January 07, 2015 12:55:51 PM



X-REFS: FILE PATH: Z:\WEST BRANCH 368156 COLLEGE STREET BRIDGE PRELIM(DRAWINGS)_DESIGN DRAWINGS\CONCEPT 1

DATE	REVISIONS

SCALE	AS NOTED
DRAWN	LJB
CHECKED	DRS
APPROVED	DRS
DATE	1-7-15
ISSUED FOR	REVIEW

VERIFY SCALE
 BAR IS ONE INCH ON ORIGINAL DRAWING.
 IF NOT ONE INCH ON THIS SHEET, ADJUST SCALES ACCORDINGLY.



COLLEGE STREET BRIDGE PRELIMINARY DESIGN
 CITY OF WEST BRANCH

860 22nd Avenue • Suite 4 • Coralville, Iowa 52241-1565
 319-466-1000 • 319-466-1008(FAX) • 888-241-8001(WATS)

ALIGNMENT CONCEPT - 1

DWG. NO.
1 of 1
PROJECT 368156



**College Street Bridge
West Branch Wapsinonoc Creek**

EXISTING STRUCTURE

FHWA 012380

30'x20' single span steel I-beam bridge with timber abutments.

Decayed timber pile and corroded beams

Posted 15 tons

FEDERAL AID

Up to \$1,000,000 in Federal or State aid funds offered can be used for design, construction, right-of-way, construction engineering and testing, and in some cases utility relocation expenses.

City must contribute 20% to match the 80% Federal/State aid funds. For a \$1.25 million project the City's contribution would be \$250,000 and State/Federal aid would be \$1 million. Any project cost above \$1.25 million is paid 100% by the City.

LETTER OF ACCEPTANCE

V&K has provided a sample letter to accept the funds and we have completed the attachment to offer form that must be submitted with your acceptance letter.

The dollar values that we provided on the attachment form are based on the limited information that we currently have. We believe the dollar values that we provided on the attachment form are conservative. We recommend that the City uses conservative values on the form because there might not be any additional funds available if the actual costs are higher than the values reported on the form.

FLOOD PLAIN ISSUES

The stream is in a FEMA detailed flood study area. This will require that the new structure is large enough that it does not create more backwater (higher flood elevation) than the existing bridge. Because of this requirement we are currently assuming that a box culvert will not work for the site and a bridge will be required. Our preliminary cost opinion is for a 75 ft. long bridge with 32 foot lane and one 10 foot sidewalk and new pavement at each end of the bridge to transition the bridge approaches to the existing road. The costs may be lower if a shorter bridge or culvert can be used.

ENGINEERING SERVICES

With the possibility that the total estimated project cost could be less than \$1.25 million it would be advantageous for the City to use part of the offered Federal/State aid to pay for 80% of the engineering costs. Otherwise; you will not receive the maximum possible funding available. Using Federal/State aid for engineering will require the City to use a DOT process to select the engineering consultant. We have estimated that the design and construction engineering fees for a bridge project will be greater than \$150,000. This will require the City to request and evaluate proposals for the engineering needed for the project. V&K can assist the City with this process, but the evaluation and selection must be independent of V&K.

Short Summary for the Selection Process:

- Return letter and attached form indicating City is accepting the funding that is offered.
- City obtains list of qualified consultants.
- City prepares scope of work and cost estimate for the engineer's services.
- City forms a selection committee of 3-5 members. Selection committee must have one member with technical experience (possibly include the Cedar County Engineer).
- City prepares a request for proposal; request for proposal is approved by the DOT and then sent to consultants.
- Selection committee evaluates the consultant's proposals and selects a consultant.
- Selected consultant prepares a fee proposal and submits proposal with Standard Federal aid Agreement.
- Fee proposal and Agreement are reviewed and approved by the City, DOT, and Federal Highway Administration.
- Design starts. Design and letting must follow the specified DOT schedule for Federal Aid Projects.

Approximate schedule:

- 2-3 month for consultant selection and completion of the Agreement.
- 6-8 months design to letting of construction project (must follow DOT specified schedule).
- 2-3 months for construction. Bridge can be opened after completion of construction.
- 2-3 months for final DOT audit to close out the project.
- Delays to obtain DNR flood plain permit, Corps permit, State Historical Society and State environmental reviews required by the National Environmental Policy Act, and DOT approvals could lengthen the stated period of 6-8 months needed for design.
- Most likely have a letting in late fall or early winter. We would recommend that the contract documents be set up to allow construction to start in the Spring of 2016. This would likely result in lower bids for the construction and a shorter construction period.

INSTRUCTIONAL MEMORANDUMS

To Local Public Agencies



To: Counties and Cities	Date: February 16, 2007
From: Office of Local Systems	I.M. No. 3.002
Subject: Federal-aid Project Scheduling	

Contents: This Instructional Memorandum (I.M.) includes guidelines and information to assist a Local Public Agency (LPA) in developing realistic, project-specific schedules for development of their Federal-aid projects let by the Iowa Department of Transportation (Iowa DOT).

Introduction

There are many factors that may affect the project development schedule, including: complexity of the project design, right-of-way needs, impacts to environmental or cultural resources, use of railroad property or facilities, relocation or adjustments to utilities, and various permits, approvals, or notifications required by other State or Federal agencies.

Each project is different, so it is not possible to develop a project schedule that is appropriate for all projects. Nevertheless, this I.M. gives some assistance to LPAs by providing an estimated project schedule for four different general types of projects, which are further described on pages 5-8 of this I.M.:

- Type 1: Programmatic Categorical Exclusion, No Right-of-Way Needs
- Type 2: Programmatic or Individual Categorical Exclusion, Minor Right-of-Way Needs
- Type 3: Environmental Assessment, Moderate Right-of-Way Needs
- Type 4: Environmental Impact Statement, Significant Right-of-Way Needs

The purpose of the estimated schedules is to provide a starting point for the LPA to develop their own, project-specific schedule, based on the unique circumstances of the project.

Description of Project Tasks and General Assumptions

For simplicity, the estimated project schedules have been broken down into several main project tasks. In reality, each of these tasks is composed of many subtasks. Each main task is identified and described below, including a discussion of the assumptions or conditions that apply to all of the general project types.

Consultant Selection and Negotiation

Description: This task begins with the decision to hire a consultant and ends with the execution of a consultant agreement. It may include, as applicable: formation of a selection committee, preparation of a Request for Proposal (RFP), solicitation of prospective consultants, evaluation of the consultants, selection of a consultant, contract negotiations, Iowa DOT reviews, and Federal Highway Administration (FHWA) Authorization. For more information, refer to [I.M. 3.305](#), Federal Participation in Consultant Costs.

Assumptions / Conditions:

- A consultant will be used and Federal funds will be requested for reimbursement of the consultant costs. If a consultant will be hired, but the consultant costs will not be reimbursed with Federal funds, this task may not require as much time.
- If the design will be performed in-house without Federal participation, this task can be eliminated. However, if Federal participation for in-house design work is desired, a similar amount of time should be included for the reviews required by [I.M. 3.310](#), Federal Participation in In-House Engineering Costs.
- If a complete scope of services and fees are not negotiated up-front, but instead will be accomplished using a phased approach, the project schedule should be adjusted to include additional time for negotiating supplemental agreement(s) and the necessary Iowa DOT reviews and FHWA authorizations.

Prepare Concept Statement

Description: This task begins when the LPA or consultant downloads and reviews the Concept Statement (Form 517001) and instructions and ends when the LPA or consultant submits the Concept Statement to the

Iowa DOT Administering Office. This task includes gathering all necessary information to complete the form. For more information, refer to [I.M. 3.105](#), Concept Statement Instructions.

Assumptions / Conditions:

- This task is dependant on the Consultant Selection task, because it is assumed the consultant will prepare the Concept Statement.
- If the LPA is preparing the Concept Statement themselves, this task may be adjusted accordingly, both in duration and dependency.

FHWA Environmental Concurrence

Description: This task includes all of the necessary environmental reviews, studies, and documentation to satisfy the requirements of the National Environmental Policy Act (NEPA) process. For more information, refer to [I.M. 3.112](#), FHWA Environmental Concurrence Process.

- For Type 1 and Type 2 projects, this task begins when the Concept Statement is forwarded by the Administering Office to the Office of Location and Environment and ends when the Office of Location and Environment sends a memo to the LPA stating that the project has received FHWA Environmental Concurrence.
- For Type 3 and Type 4 projects, the information required by the Concept Statement is usually not available until the necessary environmental studies have been completed. Therefore, for these types of projects, this task begins when the LPA or consultant contacts the Office of Location and Environment to discuss the probable levels of environmental documentation required and ends when the Iowa DOT and the FHWA have approved the final environmental document.

Assumptions / Conditions:

- For Type 1 and Type 2 projects, this task is dependant on the Prepare Concept Statement task.
- For Type 3 and Type 4 projects, this task is dependant on the Consultant Selection task, because it is assumed that a consultant will be hired to complete the necessary environmental studies and documentation.

Prepare Preliminary Plans

Description: This task begins with the preparation of the plans and ends with submittal of the plans to the Iowa DOT Administering Office. It includes all work required to produce a set of Preliminary Plans, including, as applicable: survey and mapping, preliminary design, plan and profile layouts, identification of preliminary right-of-way needs, internal reviews by the consultant, and reviews by the LPA. For guidance in preparing Preliminary Plans, refer to [I.M. 3.405](#), Preliminary Plans, and if applicable, [I.M. 3.410](#), Preliminary Bridge or Culvert Plans. Refer also to [I.M. 3.005](#), Project Development Submittal Dates and Information, for other documents and information that should be included with the Preliminary Plan submittal.

Assumptions / Conditions:

- This task is dependant on the Consultant Selection task, because it is assumed that a consultant will be hired to prepare the project plans.
- If the LPA is preparing the plans with their own staff, this task may be adjusted accordingly.
- Since this task includes the LPA's review of the plans, the LPA and consultant should discuss the amount of time that will be required and adjust the duration of this task if necessary.

DOT Preliminary Plan Review

Description: This task begins when the Preliminary Plans are received by the Administering Office and ends when plans are returned with comments to the LPA and / or consultant. It includes the necessary reviews by the Administering Office and other DOT offices if required, including a review of the Concept Statement. If required for a bridge or culvert project, this task also includes a hydraulic review by the Iowa DOT Office of Bridges and Structures.

Assumptions / Conditions:

- This task is dependant on the Prepare Concept Statement task, because the Iowa DOT's review of the plans is based on the design values shown on the Concept Statement.
- This task is also dependant on the Prepare Preliminary Plans task.
- If the project is on a Primary or Interstate Highway, an additional 1-2 weeks may be required for this task.

Right-of-Way (ROW) – Descriptions and Appraisals

Description: This task begins with an assessment of the project's right-of-way needs and concludes when the LPA is ready to notify the affected property owners and begin negotiations. This task includes activities such as: preparing of right-of-way plans, plats, legal descriptions, title reports, appraisals, and review appraisals. If Federal reimbursement for right-of-way costs will be requested, this task also includes the preparation and submittal of a request for FHWA Authorization by the LPA, as well as the review and approval required by the Iowa DOT and FHWA.

Assumptions / Conditions:

- This task is shown as being dependant on completion the Prepare Preliminary Plans task. However, some of these activities may begin prior to completion of the Preliminary Plans.
- This task may be conducted concurrently with the DOT Preliminary Plan Review task. However, changes to the Preliminary Plans in response to Iowa DOT comments may affect the project's right-of-way needs, which could lengthen the duration of this task. Therefore, the Iowa DOT recommends that this task not begin until after the DOT Preliminary Plan Review task is complete.
- This task may also be conducted concurrently with the FHWA Environmental Concurrence task. However, for projects that will require an Environmental Assessment or Environmental Impact Statement document, the final right-of-way needs cannot be completely determined until after the FHWA Environmental Concurrence task is complete. Therefore, the Iowa DOT strongly recommends that for such projects, descriptions and appraisals not begin until the FHWA Environmental Concurrence task is complete.

Right-of-Way (ROW) – Negotiate and Acquire

Description: This task begins when the LPA initiates negotiations with the affected property owners and ends when all of the necessary property rights have been obtained, as documented by the Project Development Certification (Form 730002) (see [I.M. 3.750](#), Project Development Certification Instructions). This task may include, as applicable: the required notifications, negotiations, execution of the easement or acquisition documents, relocations, and payments to the property owners. For more information about the required right-of-way procedures, refer to [I.M. 3.605](#), Right-of-Way Acquisition.

Assumptions / Conditions:

- This task is dependant on the FHWA Environmental Concurrence task, because right-of-way acquisition activities, including any type of discussion of property values with land owners, shall not begin until after the NEPA process is complete.
- This task is also dependant on the ROW – Descriptions and Appraisals task.
- If the project requires work on railroad right-of-way, this task should also include some time to negotiate and execute an agreement with the railroad. Coordination with the railroad may require only a few weeks, or it may require a year or more, depending on how the project affects the railroad's operations. For more information about the process, refer to [I.M. 3.670](#), Work on Railroad Right-of-Way, and [I.M. 3.680](#), Federal-aid Projects Involving Railroads. (**Note:** Coordination with the railroad can and should begin prior to the FHWA Environmental Concurrence; however, if railroad property must be acquired, such acquisitions shall not begin until after FHWA Environmental Concurrence has been received.)
- If the project requires utilities to relocate that are not required to move at their own expense (i.e., a relocation agreement will be required), this task should also include some time to negotiate and execute the necessary utility agreement(s). For more information, refer to [I.M. 3.640](#), Utility Accommodation and Coordination. (**Note:** Coordination with the utility can and should begin prior to the FHWA Environmental Concurrence; however, if utility property must be acquired, such acquisitions shall not begin until after FHWA Environmental Concurrence has been received.)

Prepare Check Plans

Description: This task begins with review of the Iowa DOT comments on the Preliminary Plans and ends with submittal of the Check Plans to the Administering Office. It includes all work required to address the Preliminary Plan comments and produce a complete set of Check Plans, including, as applicable: final design, establishment of final right-of-way needs, calculation of bid quantities, preparation of cost estimates, Special Provisions, internal reviews by the consultant, and reviews by the LPA. For guidance in preparing Check Plans, refer to [I.M. 3.505](#), Check and Final Plans, and if applicable, I.M. [3.510](#), Check and Final Bridge or

Culvert Plans. Refer also to [I.M. 3.005](#), Project Development Submittal Dates and Information, for other documents and information that should be included with the Check Plan submittal.

Assumptions / Conditions:

- This task is dependant on the DOT Preliminary Plan Review task.
- This task is also dependant on the FHWA Environmental Concurrence task, because final design activities (which include preparation of check plans) shall not begin until after the NEPA process is complete.
- Since this task includes the LPA's review of the plans, the LPA and consultant should discuss the amount of time that will be required and adjust the duration of this task if necessary.

DOT Check Plan Review

Description: This task begins when the Check Plans are received by the Administering Office and ends when plans are returned with comments to the LPA and / or consultant. It includes the necessary reviews by the Administering Office and other DOT offices if required. If required for a bridge or culvert project, this task also includes a structural review by the Iowa DOT Office of Bridges and Structures.

Assumptions / Conditions:

- This task is dependant on the Prepare Check Plans task.
- The duration of this task assumes that the Check Plans are complete. Incomplete plans may require re-submittal as Check Plans.
- If the project is on a Primary or Interstate Highway, an additional 1-2 weeks may be required for this task.

Prepare Final Plans

Description: This task begins with review of the Iowa DOT comments on the Check Plans and ends with submittal of the Final Plans to the Administering Office. It includes all work required to address the Check Plan comments and produce a complete set of Final Plans, including submittal of the Project Development Certification (Form 730002). Refer also to [I.M. 3.005](#), Project Development Submittal Dates and Information, for other documents and information that should be included with the Final Plan submittal.

Assumptions / Conditions:

- This task is dependant on the DOT Check Plan Review task.

DOT Final Plan Review

Description: This task begins when the Final Plans are received by the Administering Office and ends when plans are turned-in to the Iowa DOT Office of Contracts for letting. It includes verification by the Administering Office that the Check Plan comments have been addressed, a review of the Project Development Certification, and any final plan revisions and re-submittals that may be required.

Assumptions / Conditions:

- This task is dependant on the Prepare Final Plans task.
- The duration of this task assumes that the Final Plans are complete. Incomplete plans may require re-submittal as Final Plans.

Letting Process

Description: This task begins when Final Plans and associated information are submitted for letting to the Office of Contracts and ends when the bids are opened and the apparent low-bidder is announced. The Iowa DOT letting process includes the following activities, as applicable: preparation of cost estimates, establishment of contract periods, preparation of bid proposals, DBE goal setting, FHWA Authorization, distribution of addenda, advertisement, and opening of bids. This task also includes additional review of the project plans and specifications for conformance to the Iowa DOT Standard Specifications and letting process. Often, this review results in some additional minor revisions to the plans. For more information, refer to [I.M. 3.730](#), Iowa DOT Letting Process.

Assumptions / Conditions:

- This task is dependant on the DOT Final Plan Review and the Acquire Right-of-Way tasks.

- This task assumes that all of the required project clearances have been obtained, or a Public Interest Finding has been submitted by the LPA and approved by the Administering Office to allow the project to enter the letting process without all of the needed clearances. For more information, refer to [I.M. 3.760](#), Public Interest Findings.

A discussion of each general project type is included below. Each discussion includes a description of the general project type, an estimated schedule for project development, and a list of additional specific assumptions that have been made or conditions that apply, if any. For purposes of comparison, each of the estimated project schedules begins on January 1, 2007. Actual projects may begin the development process at any time.

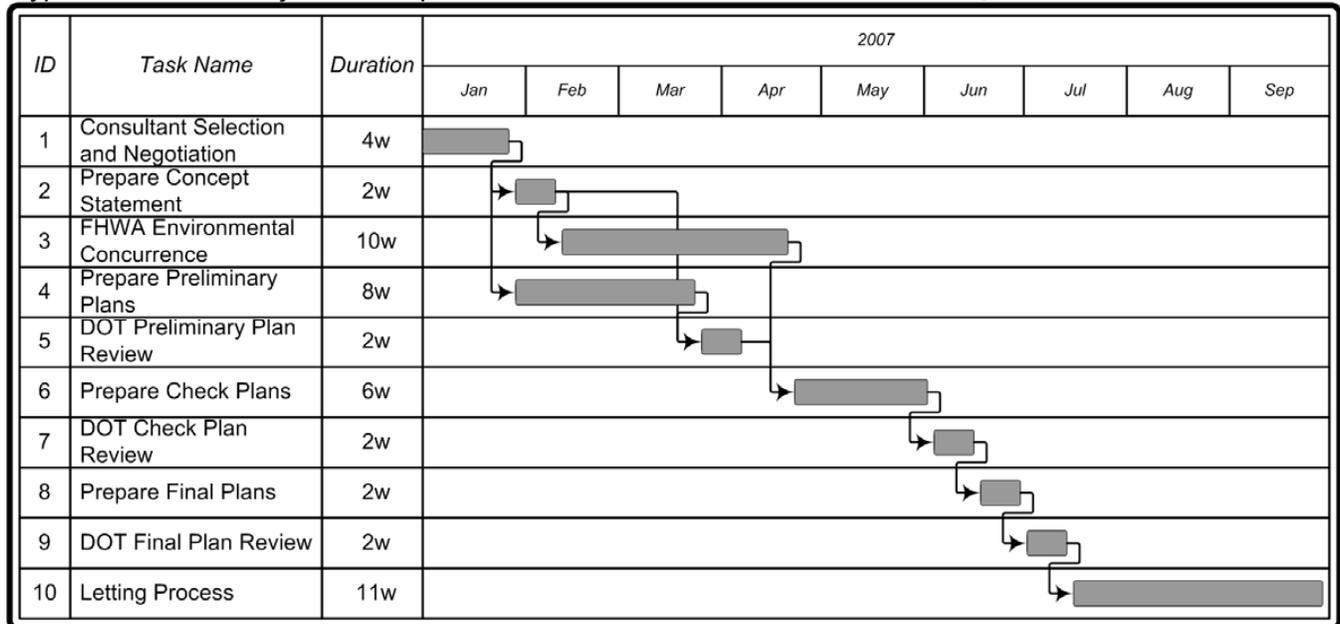
Type 1: Programmatic Categorical Exclusion, No Right-of-Way Needs

The work required for these projects is usually minor in scope and duration. These projects do not require any work outside of the existing right-of-way. Typical projects include any of the following:

- non-construction work, such as research or planning studies;
- routine maintenance work, such as crack sealing or patching;
- resurfacing, restoration, rehabilitation or reconstruction of roadways, structures, or trails;
- traffic signalization, signing or lighting projects;
- landscaping or seeding; and
- Emergency Relief (ER) funded projects.

Type 1 Estimated Project Development Schedule

Typical Development Time: 9 months



Target Letting Date ◆

Additional Assumptions / Conditions

1. No additional right-of-way or property rights of any kind are required.
2. No railroad crossings are present within or adjacent to the project work area.
3. Task 1: The abbreviated consultant selection process is used and pre-audit is not required.
4. Task 3: FHWA Environmental Concurrence is obtained as a Programmatic CE. To qualify, the project must be non-controversial and not have any impacts to environmental or cultural resources, including potentially historic properties, archeological sites, recreational areas, or wildlife refuges.
5. Tasks 5 and 7: If a bridge or culvert project, a hydraulic or structural review is not required.

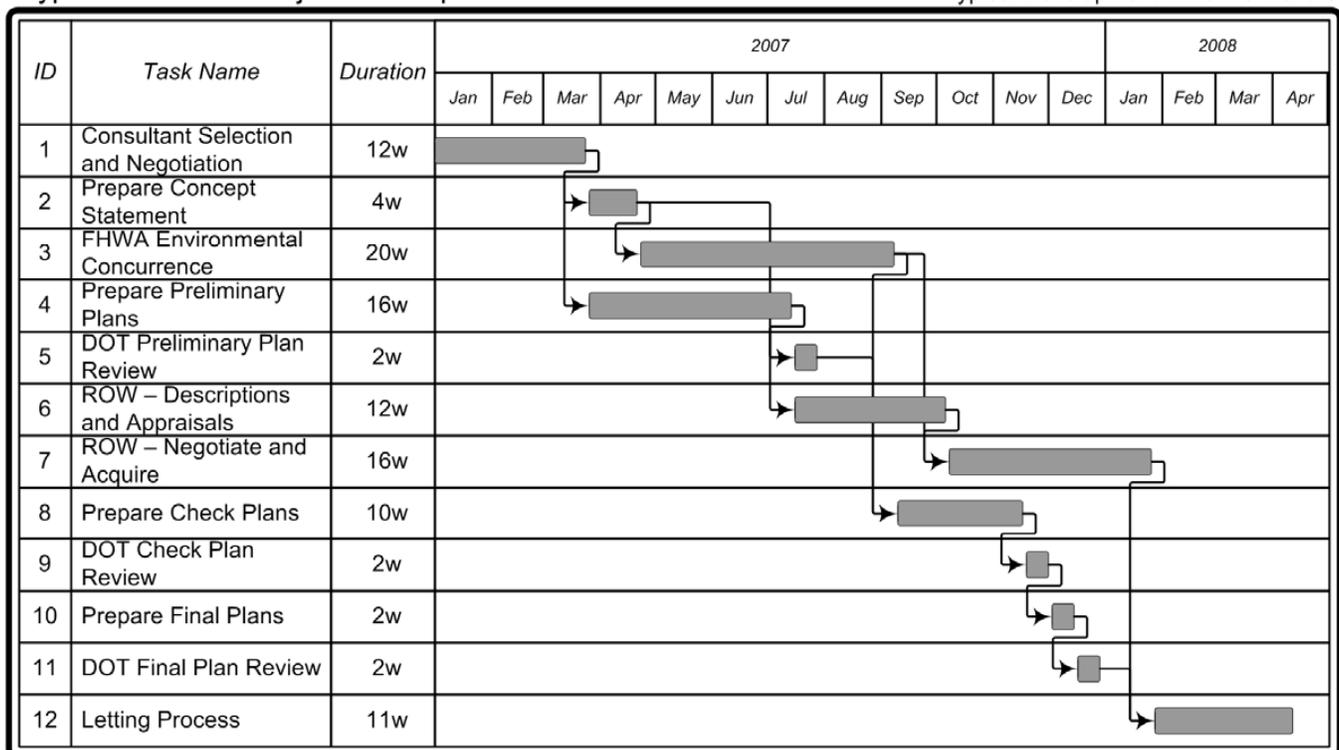
Type 2: Programmatic or Individual Categorical Exclusion, Minor Right-of-Way Needs

These projects are more complex than the Type 1 projects. They typically require several different design disciplines and / or types of construction. They usually involve new construction, complete reconstruction, or widening of roads, bridges, or trails. These projects may include a limited amount of right-of-way acquisition, but do not have substantial impacts on surrounding properties or the environment. Typical projects include any of the following:

- highway, street, or bridge construction or reconstruction;
- bridge construction on new alignment;
- rehabilitation or replacement of historical bridges;
- major urban street reconstruction; and
- construction of new recreational trails outside of the existing right-of-way.

Type 2 Estimated Project Development Schedule

Typical Development Time: 16 months



Target Letting Date ◆

Additional Assumptions / Conditions

1. Task 1: The full consultant selection process is used and / or a pre-audit is required.
2. Task 3: FHWA Environmental Concurrence is obtained either as Programmatic or Individual CE. To qualify, the project must be non-controversial and have no significant impacts to environmental or cultural resources, including potentially historic properties, archeological sites, recreational areas, or wildlife refuges.
3. Tasks 6 and 7:
 - Minor amounts additional right-of-way or property rights (about 1-5 parcels) may be required and all acquisitions are relatively simple. Most can be valued using the Appraisal Waiver process, as described in Chapter 3 of the Office of Right of Way's [LPA Manual](#).
 - No complete acquisitions or relocations of residential or business properties are required.
 - No condemnations are required.
 - Some utility relocations may be required, but most utilities are located within the existing right-of-way and are required to move at their own expense.
 - If a railroad crossing is present within or adjacent to the project work area, acquisitions of railroad property or adjustments to railroad facilities are not required.
4. Tasks 5 and 9: If a bridge or culvert project, a hydraulic or structural review is required.

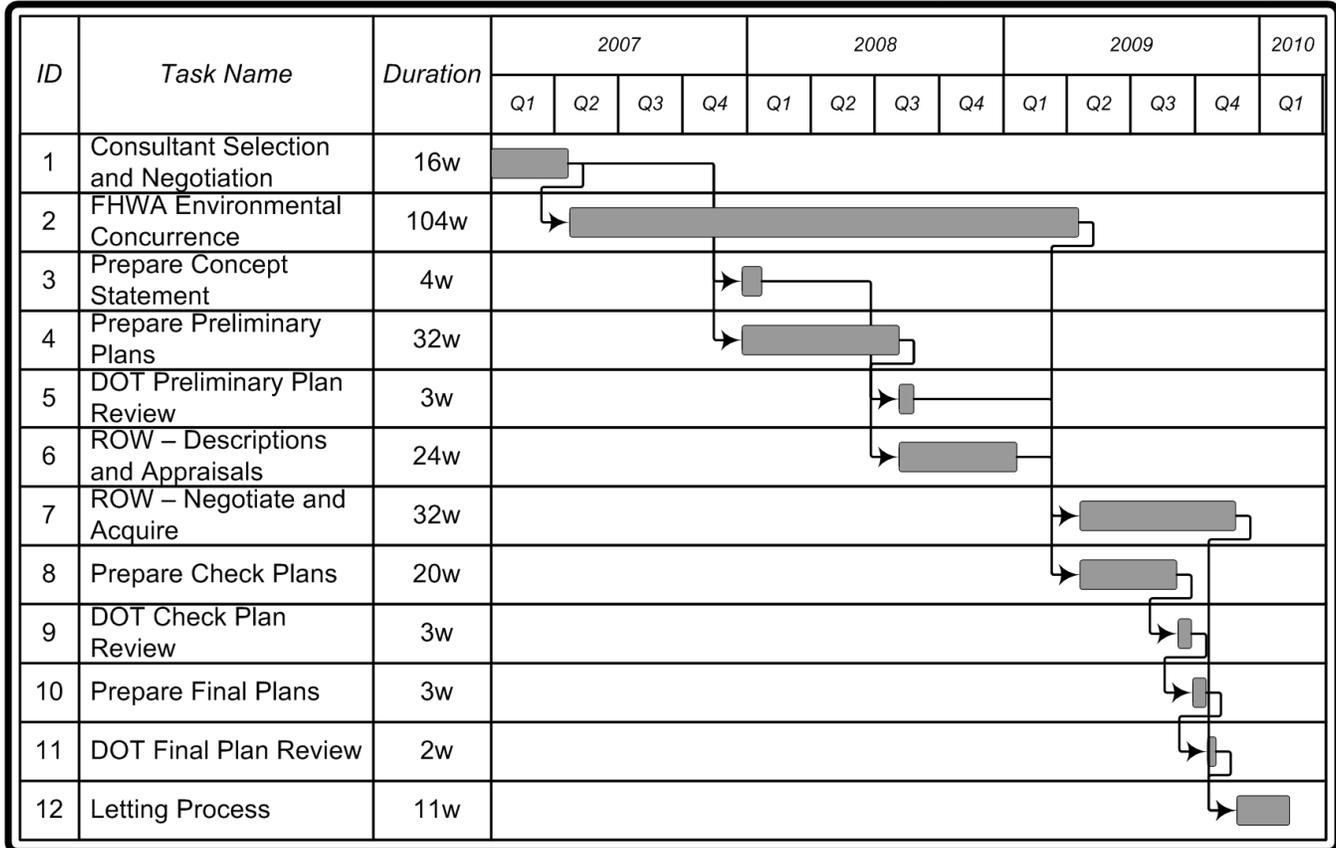
Type 3: Environmental Assessment, Moderate Right-of-Way Needs

These projects are similar to Type 2 projects, except that the level of environmental or social impacts may be more significant, requiring additional environmental review. Typical projects include any of the following:

- highway, street, or bridge construction or reconstruction;
- bridge construction on new alignment;
- rehabilitation or replacement of historical bridges; and
- major urban street construction or reconstruction.

Type 3 Estimated Project Development Schedule

Typical Development Time: 3 years



Target Letting Date ◆

Additional Assumptions / Conditions

1. Task 1: The full consultant selection process is used and a pre-audit is required.
2. Task 2: FHWA Environmental Concurrence requires preparation of an Environmental Assessment (EA) document.
3. Tasks 6 and 7:
 - Moderate amounts of additional right-of-way or property rights (about 5-10 parcels) are required. Some property valuations may require the Value Finding Appraisal Report, as described in the Office of Right of Way's [Appraisal Operational Manual](#).
 - No complete acquisitions or relocations of residential or business properties are required.
 - A few parcels (about 1-5) must be condemned.
 - If a railroad crossing is present within the project work area, minor acquisitions of railroad property or adjustments to railroad facilities are required.
4. Tasks 5 and 9: If a bridge or culvert project, a hydraulic or structural review is required.

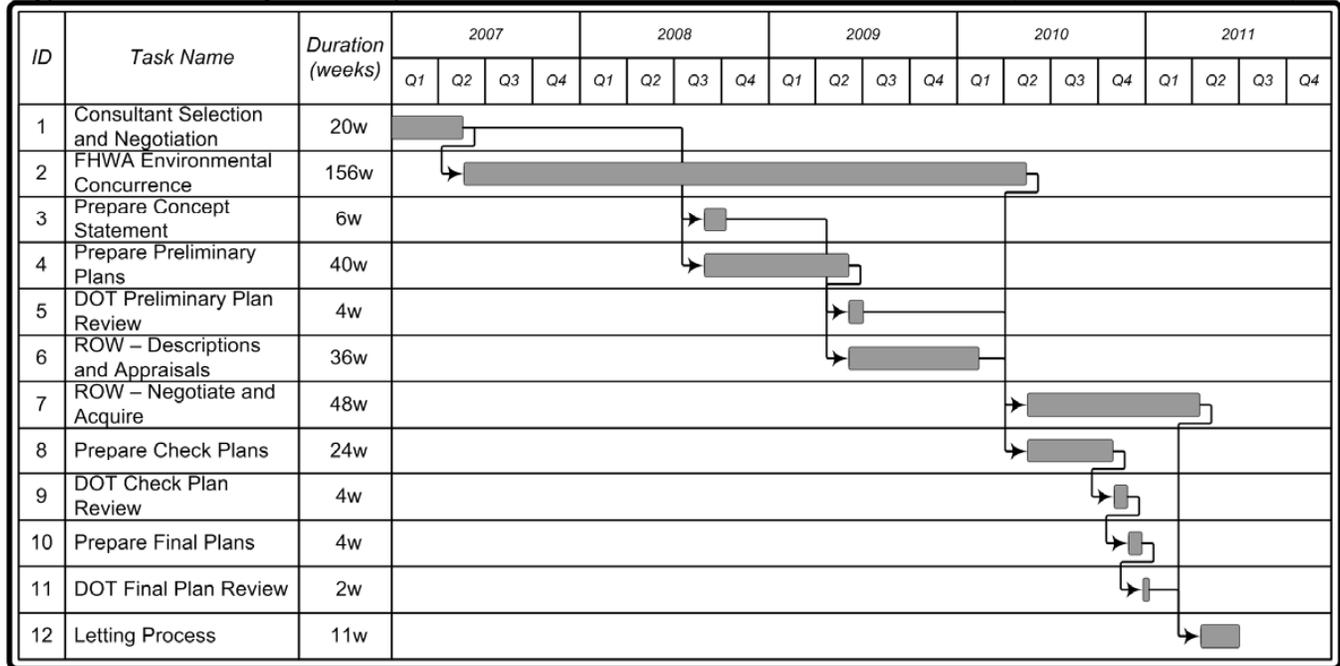
Type 4: Environmental Impact Statement, Significant Right-of-Way Needs

These projects often usually involve all new construction on new alignment or significant expansion of the roadway or structure footprint. Typical projects include:

- widening from 2 lanes to 4 lanes or other major capacity improvements;
- construction or replacement of major river bridges;
- construction of bypasses around urban areas; and
- major roadway realignment through urban areas.

Type 4 Estimated Project Development Schedule

Typical Development Time: 4.5 years



Target Letting Date ◆

Additional Assumptions / Conditions

1. Task 1: The full consultant selection process is used and a pre-audit is required.
2. Task 2: FHWA Environmental Concurrence requires preparation of an Environmental Impact Statement (EIS) document.
3. Tasks 6 and 7:
 - Significant amounts of additional right-of-way or property rights (more than 10 parcels) are required. Most property valuations will require use of the Detailed Appraisal Report, as described in the Office of Right of Way's [Appraisal Operational Manual](#).
 - A few complete acquisitions or relocations of residential or business properties (about 1-5) are required.
 - Several parcels (more than 5) must be condemned.
 - If a railroad crossing is present within the project work area, significant acquisitions of railroad property or adjustments to railroad facilities are required.
4. Tasks 5 and 9: If a bridge or culvert project, a hydraulic or structural review is required.

Federal-aid Consultant Checklist

The following checklist describes the procedures and sequence of steps that a local public agency (LPA) must follow to receive Federal-aid reimbursement for consulting services. Items with an asterisk (*) are the responsibility of the LPA. The LPA is encouraged to include this checklist in their project file and use it to ensure that all the necessary steps are completed.

- * 1. The LPA obtains a list of consultants which are prequalified with the Iowa Department of Transportation (Iowa DOT) in the categories of work required. This list is available on the [Iowa DOT Consultant Utilization](#) website. Only firms on the Iowa DOT prequalified list may be considered for the work.
- * 2. The LPA prepares a scope of work and cost estimate that reflects all the services to be provided by the consultant for the entire project, even if the initial contract will not include all of the services that will eventually be provided. If the cost estimate for consultant work is less than \$150,000 go to Step 3; if \$150,000 or more, go to Step 6. See the "Estimate of Consultant Costs" section of [I.M. 3.305](#) for additional guidance in preparing a cost estimate.
- * 3. The LPA identifies at least 3 firms from the Iowa DOT prequalified list to be considered for the desired services. The LPA also decides if a Disadvantaged Business Enterprise (DBE) goal will be set, and if so, what percentage will be targeted. For guidance in setting DBE goals, refer to [I.M. 3.710](#), DBE Guidelines.
- * 4. The LPA may hold discussions with an adequate number of prequalified firms as necessary to evaluate their ability to perform the work. Such discussions should include items such as: any changes in qualified staff, workload, willingness to meet time requirements, ability to meet the established DBE goal (if any), past performance, accounting methods, and approach to the project.
- * 5. If after discussions, the LPA feels they can negotiate an contract with a prequalified consultant at a cost less than \$150,000, the LPA submits a request to begin negotiations to the Administering Office and proceeds to Step 21. This request shall include the following:
 - a) The proposed scope of work and estimate of consultant costs.
 - b) The names of all the pre-qualified firms considered.
 - c) The reasons why the selected consultant is considered most qualified.
 - d) An indication if the LPA has set a DBE goal, and if so, the targeted percentage of DBE participation. If not, the LPA shall indicate the reasons why no goal is proposed.
- * 6. The LPA appoints a selection committee. The selection committee should have 3 to 5 members which may include LPA staff, elected officials, and at least one member with technical expertise (i.e., a licensed professional engineer or architect). The selection committee can add non-voting members to act as resources if it deems necessary.
- * 7. The LPA submits the selection committee membership to the Administering Office. The LPA requests authority to proceed with the consultant selection process.
- 8. If acceptable, the Administering Office approves the LPA's request to proceed with the selection process.
- * 9. The LPA prepares and submits a draft Request for Proposal (RFP), estimate of costs, and the proposed DBE goal, if any, to the Administering Office. If no DBE goal is proposed, the LPA shall indicate the reasons why. If a DBE goal has been set, the RFP shall identify the goal. The RFP shall also specify that proposals that do not meet the DBE goal or provide documentation of a good faith effort to meet the goal will not be considered. For guidance in preparing the draft RFP, refer to the "Consultant Selection" section of [I.M. 3.305](#).

- 10. The Administering Office reviews the draft RFP, estimated consultant costs, and proposed DBE goal, if any. If these are acceptable, the Administering Office concurs and notifies the LPA. If not, the Administering Office works with the LPA to resolve any concerns.
- * 11. The LPA solicits RFPs by public announcement, notice or advertisement. This should be accomplished using the same means the LPA uses for other public notices, such as web sites, e-mail distribution lists, newspaper, social media, etc. The LPA should also send qualifications-based RFPs to three or more consultants. The Iowa DOT recommends sending RFPs to more than 3 firms, since additional justification will be required if less than 3 proposals are received.

Note: The LPA shall not direct the consultant to include an estimate of cost with their proposal, even if the estimated cost is to be submitted in a separate, sealed envelope. If the LPA receives a proposal that includes cost information, that proposal shall not be considered.

- 12. Consultants prepare and submit proposals in response to the RFP. If a DBE goal has been set by the LPA, consultants that did not meet the goal must document their good faith efforts to meet the goal. This documentation should include: a list of DBE firms contacted, a list of the DBE firms that responded with a subcontract proposal, and, if the consultant does not propose to use a DBE firm that submitted a subcontract proposal, an explanation why such a DBE firm will not be used. The documentation may be included in the proposal or in a separate document that accompanies the proposal.
- * 13. The LPA selection committee evaluates proposals utilizing the evaluation criteria. If less than 3 proposals are received, the LPA should consider making another solicitation for proposals.
- * 14. If appropriate, the LPA selection committee conducts interviews (usually with no more than the top three firms). The LPA then applies the evaluation criteria, and finalizes the ranking in order of preference. The selection committee also documents its decision-making process.
- * 15. If a DBE goal was set for the contract, the LPA reviews the documentation provided with the top-ranked consultant's proposal to verify the DBE goal was met. If the goal was not met, but in the opinion of the LPA, the consultant made a good faith effort, or if no DBE goal was set for the contract, proceed to Step 20. For guidance in evaluating good faith efforts, refer to [I.M. 3.710](#), DBE Guidelines.
- * 16. If, in the opinion of the LPA, the consultant **did not** make a good faith effort to achieve the DBE goal, the LPA notifies the consultant that a contract cannot be awarded due to the consultant's lack of a good faith effort.

The consultant may appeal the LPA's decision by submitting a written request for an administrative reconsideration. If an appeal is made, proceed to the next step. If no appeal is sought, the LPA goes back to Step 15 and evaluates the good faith effort of the next highest ranked firm. For the guidance concerning the administrative reconsideration procedures, refer to [I.M. 3.710](#), DBE Guidelines.

- 17. The consultant prepares and sends a written request for an administrative reconsideration to the Administering Office. This request should include copies of the following: the RFP, the consultant's proposal, and any additional justification or documentation that may support the consultant's good faith efforts to meet the DBE goal.
- 18. Upon receipt of the written request for an administrative reconsideration, the Administering Office forwards this request to the Office of Employee Services, Civil Rights Team (OES-CRT), along with one copy of the documentation provided by the LPA and / or consultant.
- 19. The OES-CRT reviews the administrative reconsideration request. If the OES-CRT concurs with the LPA's determination, the OES-CRT so notifies the Administering Office and provides copies to both the LPA and the consultant. The LPA goes back to Step 15 and evaluates the good faith effort of the next highest ranked firm.

If, on the other hand, the consultant's good faith effort is judged sufficient, the OES-CRT notifies the Administering Office and provides copies to the LPA and the consultant.

- * 20. The LPA submits the consultant rankings to Administering Office and requests approval to initiate negotiations with the consultant ranked highest by the selection process. If less than 3 firms submitted a proposal, the LPA shall include justification for proceeding with the selection process. This justification must address whether soliciting proposals again would result in additional proposals or not.
- 21. The Administering Office reviews the LPA's request to begin negotiations with the selected consultant and the proposed DBE goal, if not already reviewed. If acceptable, the Administering Office concurs and notifies the LPA.
- * 22. The LPA informs those consultants that submitted proposals of the results of the selection process.
- * 23. The LPA begins negotiations with the selected consultant. For additional guidance on negotiation procedures, refer to the "Contract Negotiation" section of [I.M. 3.305](#). Negotiations continue until agreement is reached on these items. If agreement cannot be reached on these items, the LPA goes back to Step 3 (for contracts estimated less than \$150,000) and begins discussions with the next firm; or goes back to Step 15 (for contracts estimated at \$150,000 or more) and evaluates the good faith effort of the next highest ranking firm. This process continues until negotiations are successful.
- * 24. The LPA submits a request for FHWA authorization to the Administering Office. This request shall include the following information:
 - a) A copy of the draft contract prepared by the consultant, including any subconsultant contracts, if available.
 - b) An estimate (even if only a very rough one) of the costs of all phases of consultant contract work that are anticipated for the project. This should also include costs for any services that are not included in the initial draft contract. The estimate for all phases of work may be based on the typical percentages provided in this I.M., but the costs associated with the scope of work included in the draft contract must be supported by a detailed estimate.
 - c) A copy of the completed DBE Commitment Information ([Form 517010 \(Word\)](#)). This form is required, even if no DBE goal was set or no DBE commitment has been made. For more information, refer to the instructions included with the form.
 - d) If a DBE goal was set, and the consultant's DBE commitment is less than the goal, include documentation that supports the consultant's good faith efforts to meet the DBE goal established for the contract. This should include the justification for the consultant's proposed DBE involvement that was submitted as part of their proposal. It also should include any additional considerations weighed by the LPA when reviewing the consultant's good faith efforts.
- 25. The Administering Office reviews the draft contract in accordance with [Attachment B](#) to I.M. 3.305 and verifies that [Form 517010 \(Word\)](#) was completed correctly. If a DBE goal was set for the contract, and the consultant's proposed DBE commitment is less than the goal, the Administering Office reviews the documentation provided by the LPA concerning the consultant's good faith effort to meet the DBE goal.
- 26. If appropriate, the Administering Office shall forward a copy of the draft contract(s) to the Office of Finance (External Audits) and request a pre-audit. For more information on pre-audits, refer to the "Pre-audit Procedures" section of [I.M. 3.305](#).
- 27. External Audits conducts a pre-audit (if requested) of the draft contract(s) and forwards a copy of the pre-audit report to the Administering Office.
- 28. The Administering Office forwards a copy of the pre-audit report (if conducted) and the Administering Office's comments on the draft contract(s) to the LPA and the consultant.
- 29. The Administering Office verifies that adequate federal funds are shown in the current fiscal year of the Statewide Transportation Improvement Program (STIP). If funds are inadequate, or if they are incorrectly programmed, the Administering Office contacts the LPA and requests them to work with the appropriate Metropolitan Planning Organization (MPO) or Regional Planning Affiliation (RPA) to revise the programming of the project's funds.

- 30. If adequate funds are available, and they are correctly programmed, the Administering Office prepares a request for FHWA authorization. If FHWA Environmental Concurrence has not yet been obtained, final design may not yet begin. In such cases, the Administering Office's authorization request will note that final design will not begin until after FHWA Environmental Concurrence has been obtained.
- 31. The Iowa DOT submits the authorization request to FHWA. FHWA reviews the authorization request, and if acceptable, electronically signs the request.
- * 32. The consultant and LPA modify the contract(s) to address the Administering Office's comments and the pre-audit recommendations, if any. The LPA submits the contract(s) to the City Council, County Board of Supervisors, County Conservation Board, or other appropriate contracting authority for approval.
- * 33. The consultant and LPA execute and forward a copy of the prime contract and any subconsultant contracts to the Administering Office.
- 34. The Administering Office verifies that all comments have been addressed. If not, the Administering Office works with the LPA to resolve any remaining issues.
- 35. The Administering Office verifies that FHWA authorization has been obtained. If so, the Administering Office signs and dates a copy of the prime contract, notifies the LPA that FHWA authorization has been obtained, and provides a copy of the notification to the appropriate RPA or MPO. The Administering Office's notification shall contain a reminder that the consultant's final design activities shall not proceed until the NEPA process is complete. For additional information concerning this requirement, refer to the "Contract Administration" section of [I.M. 3.305](#).
- * 36. The LPA issues notice to proceed to the consultant and reminds the consultant that final design activities may not proceed until the NEPA process is complete.
- 37. The Administering Office sends a copy of the authorized contract to both the LPA and consultant; and provides a copy to the Office of Finance (Project Accounting & Payables) and External Audits. The Administering Office retains one copy of the prime contract for their file.
- * 38. The LPA forwards copies of the executed subconsultant contracts (if not previously obtained) to the Administering Office. Upon receipt, the Administering Office sends a copy of the subconsultant contract to the Office of Finance (Project Accounting & Payables) and External Audits. The Administering Office retains one copy for their file.
- * 39. After a payment has been made to the consultant, the LPA may submit a request for reimbursement to the Administering Office. For more information on reimbursement requests, refer to the "Contract Administration" section of [I.M. 3.305](#).
- 40. The Administering Office processes the billings received from the LPA for reimbursement.
- * 41. After all work covered by the consultant contract is complete, including any approved supplemental contracts, and all deliverables have been received and accepted, the LPA makes final payment to the consultant in accordance with the final payment procedures in the Contract Close-out section of [I.M. 3.305](#).
- * 42. After the consultant has been paid in full, the LPA requests final reimbursement for the consulting services. Along with the request for final reimbursement of consulting services, the LPA shall also complete and include a copy of the DBE Payment Information ([Form 517011 \(Word\)](#)). This form is required, even if no DBE goal was set or no DBE commitment has been made. For more information, refer to the instructions included with the form.
- 43. The Administering Office reviews [Form 517011 \(Word\)](#). If complete, the Administering Office forwards a copy of this form to the OES-CRT.

- 44. The Administering Office reviews the final reimbursement request, and if acceptable, processes the final reimbursement for consultant services.
- 45. The Administering Office requests a final audit or a final review from External Audits. External Audits conducts a final review or audit in accordance with the procedures in the "Contract Close-out" section of [I.M. 3.305](#).
- 46. After the final review or audit is completed, the Administering Office provides a copy of the audit findings, if any to the LPA.
- * 47. If the audit report finds that a balance is due to the consultant, the consultant may invoice the LPA for the balance due and the LPA may request reimbursement for the additional payment. Upon receipt of such a request, the Iowa DOT will reimburse the LPA for the appropriate Federal share. If the audit report finds that the consultant has been overpaid, the Iowa DOT will invoice the LPA for the appropriate Federal share or deduct this amount from the balance of reimbursement that is due to the LPA for other project costs. Likewise, the LPA may request reimbursement from the consultant for the amount of overpayment.
- * 48. The LPA completes the LPA Consultant Evaluation ([Form 517024](#)) and sends a copy to the Administering Office. The Administering Office completes its portion of the evaluation form and returns a copy to the LPA, the consultant, and the Office of Local Systems.
- 49. Upon FHWA approval of the final closure document, the Administering Office will notify the LPA and the consultant of the record retention date.
- * 50. The LPA and consultant keep all records associated with the project for at least 3 years from the record retention date.