



**RISE PACKET CONTENTS**

This packet contains the following RISE program information:

- A. An **OVERVIEW** of the RISE program and structure
- B. A **CHECKLIST**: How to Select the Type of RISE Funding
- C. A **GUIDE** to Applying for a Grant or a Loan
- D. Application Process **FLOW CHART**
- E. **REQUIREMENTS** for the Utilization of Targeted Small Business (TSB) Enterprises on Non-Federal Aid Projects.  
This Exhibit will be a part of each RISE project agreement signed by the city or county receiving RISE funds.
- F. RISE project **MONITORING** procedures

To apply, you will also need either the RISE Immediate Opportunity application, or the RISE Local Development application, and the RISE Administrative Rules. These forms are available from the same web site as this RISE Contents Package form:

<https://forms.iowadot.gov/BrowseForms.aspx>

Application for RISE Immediate Opportunity Project Funding - Form 260002 Application  
Application for RISE Competitive Rating Funding for Local Development Projects - Form 260003  
RISE Administrative Rules - [http://www.legis.state.ia.us/ACO/IAChtml/761.htm#chapter\\_761\\_163](http://www.legis.state.ia.us/ACO/IAChtml/761.htm#chapter_761_163)

To apply you must:

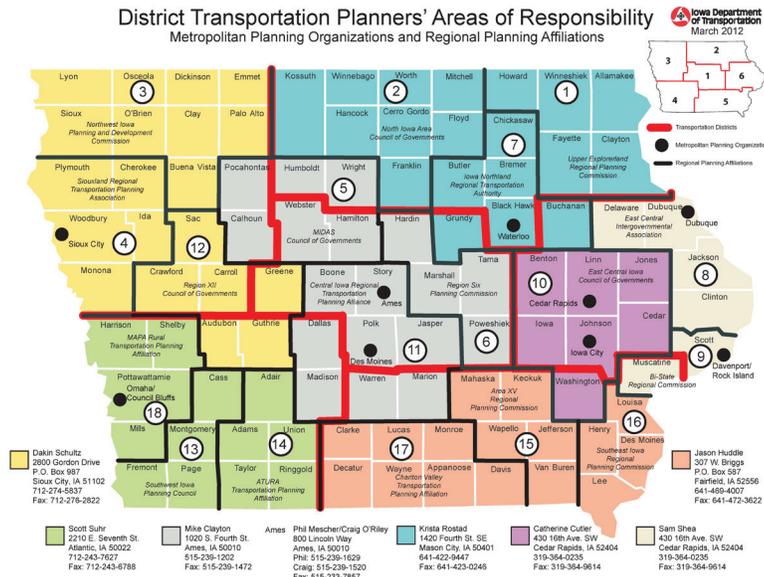
- A. Read the informational materials enclosed as well as application instructions and the RISE Administrative Rules. Pay particular attention to the **OVERVIEW** of the RISE program and structure, the **CHECKLIST** to help you select the type of funding, and the **ADMINISTRATIVE RULES**.
- B. Identify the type of funding (*Immediate Opportunity or Local Development*) which is appropriate for your project. The **CHECKLIST** on selecting the type of funding is designed to assist you in determining the appropriate funding category. The **OVERVIEW** and **ADMINISTRATIVE RULES** also provide guidelines for your selection.
- C. Before you begin, review the entire application or request form and instructions. Submit the completed form and all attachments in duplicate to:

RISE Program  
Iowa Department of Transportation  
Office of Systems Planning  
800 Lincoln Way  
Ames, Iowa 50010

- D. If you have questions or would like assistance, contact your DOT District Transportation Planner (*see map below*) or the DOT Office of Systems Planning in Ames at 515/239-1669. The DOT District Transportation Planners are:

- Ames .....	Phil Mescher/Craig O'Riley .....	515/239-1629
- Des Moines .....	Mike Clayton .....	515/239-1202
- Mason City .....	Krista Rostad .....	641/422-9447
- Waterloo .....	Krista Rostad .....	641/422-9447
- Sioux City .....	Dakin Schultz .....	712/274-5837
- Atlantic .....	Scott Suhr .....	712/243-7627
- Cedar Rapids .....	Catherine Cutler .....	319/364-0235
- Davenport .....	Sam Shea .....	563/823-4377
- Fairfield .....	Jason Huddle .....	641/469-4007

District Transportation Planners' Areas of Responsibility  
Metropolitan Planning Organizations and Regional Planning Affiliations





## **RISE: An Overview**

The RISE fund was created by the Iowa legislature in 1985 to assist in promoting economic development in Iowa through the construction or improvement of Iowa roads. Funded by a percentage of the motor fuel tax, the RISE fund has approximately \$18 million available each year for Immediate Opportunity and Local Development projects.

Representatives of all levels of local government, as well as private sector businessmen and developers, have aided the Iowa Department of Transportation in developing the direction and structure of the RISE program. The RISE program is designed to maximize economic impact, emphasize local involvement and initiative, and provide for situations requiring an immediate response and commitment of funds.

City or county governments may apply for RISE funding; the Department may also initiate projects and receive money. The applicant (city or county) involved must assure the dedication of the road to public use and ensure adequate future maintenance.

There are two types of funding available under the RISE program. Two factors are key in determining which funding is appropriate for a project: 1) whether the project supports economic development on a local or regional scale and 2) whether an immediate commitment of funding is required to influence the location decision of a firm or developer.

Each applicant needs to identify which funding category is appropriate for the project and apply on the form required for that category. The two funding categories are:

### **IMMEDIATE OPPORTUNITY PROJECTS**

This funding category is reserved for cases where a location decision actually hinges on a quick commitment of RISE funds. Projects having a sense of urgency and meeting the requirements for Immediate Opportunity funding will receive top priority for funding, and a quick decision on the commitment of funds.

Cities or counties applying for Immediate Opportunity funding must demonstrate that they are in the process of negotiating a location decision with an industry or developer; the need for immediate funding; the existence of, or arrangements for, other infrastructure factors needed for successful development; and the existence of 20 percent or greater funding participation from private or public sources.

A decision on commitment of funds will be made by the Transportation Commission within a reasonable time period after receipt of the application.

### **LOCAL DEVELOPMENT PROJECTS**

This funding category is for projects which support local economic development but which do not require an immediate commitment of funds or do not meet the criteria set for Immediate Opportunity funding. These projects will be selected through a competitive evaluation process, conducted semi-annually. Applications received by February 1 of each year will be eligible for the April funding commitment; applications received by September 1 will be eligible for the November commitment of funds. Applications which are not funded will not be considered again unless a new, updated application is submitted.

## HOW TO SELECT THE TYPE OF RISE FUNDING

The following checklist is provided to help you decide which is the appropriate type of RISE funding for your project.

**IMMEDIATE OPPORTUNITY FUNDING** is appropriate for your project if you answer **yes** to all the following questions:

- |   | YES                      | NO                       |
|---|--------------------------|--------------------------|
| 1. Are you in the process of negotiating a location, expansion, or retention decision with a specific firm or developer?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Does the decision of the developer hinge on a quick commitment of RISE funds?  | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Have arrangements been made for other infrastructure factors needed for successful development?<br><i>(These infrastructure factors include labor force training, zoning, sewer, water, financing, and permits.)</i> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4. Do you have assurance of at least 20 percent non-RISE financial participation in the roadway project?  | <input type="checkbox"/> | <input type="checkbox"/> |

**LOCAL DEVELOPMENT FUNDING** is appropriate for your project if you answer **yes** to the following questions:

- |   | YES                      | NO                       |
|---|--------------------------|--------------------------|
| 1. Does your project primarily provide improved access to a single economic unit?<br><i>(A single economic unit may mean a city, a county, an industrial park, a plant or other business, a development site, a tourist attraction, or a portion of a metropolitan area.)</i>   | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Does your project either 1) not need an immediate commitment of funds, or 2) not meet the requirements set for Immediate Opportunity funding?<br><i>(If your project both needs an immediate commitment of funds, and meets the requirements set for immediate funding, you should apply for Immediate Opportunity funding.)</i> | <input type="checkbox"/> | <input type="checkbox"/> |

## DECIDING WHETHER TO APPLY FOR A GRANT OR A LOAN

Under the RISE program administrative rules, flexibility in project financing is given to project applicants and the Transportation Commission. It is up to the **applicant** to propose the terms of financing (*e.g., grant; partial principal payback, deferred or otherwise; no interest loan; or below market interest rate loan*) and the source of funds from which the payback will occur, whether public or private. Loan financing is an **option** applicants have-it is not required.

At first glance, the advantage of opting for a loan from the RISE fund may not be evident. In evaluating projects and making funding commitment decisions, the Transportation Commission will be taking the cost-effectiveness of proposed RISE investments into account, namely the amount of economic development promoted per RISE dollar invested. For instance, for Immediate Opportunity funding, the number of jobs created or retained for each RISE dollar requested will be considered, as will the ratio of total capital investment in the development being assisted to the amount of RISE funds requested. Cost-effectiveness will be similarly considered in choosing among Competitive Rating local development projects.

Loan financing effectively decreases the cost of a project from the point of view of the RISE program because monies loaned are paid back to the fund and become available for other, future applicants. Thus, the cost-effectiveness of the same project proposed as a loan rather than a grant would be greater, again from the point of view of the RISE program. This also means that a grant project which did not stand a very good chance of being funded might stand a better chance if proposed as a loan project.

A loan proposal might be appropriate for a roadway project which would create substantial benefit and/or profits for a community or private developers. In such cases, it should be reasonable to expect a payback of RISE funds used to "front" the project.



# Iowa Department of Transportation

## RISE Program Project Monitoring Procedures

Iowa law requires that progress reports be prepared by recipients of RISE funding. The reports are used for several purposes. First, the information reported is evaluated to determine if the project has fulfilled the associated economic development contingencies. Second, information from individual project reports is periodically compiled into a comprehensive report prepared for the Iowa Transportation Commission. The report's focus is to document how successful the RISE program has been in assisting selected economic development throughout Iowa. Finally, the information reported is used to gauge the program's efforts at achieving the legislative mandates.

### **Accomplishment Report**

Three years after the road improvement is open to traffic the recipient will be required to submit an accomplishment report. Upon receipt of the report, a determination will be made regarding fulfillment of the requirements of the agreement, including economic development and job creation contingencies.

If the project has met all of the contingencies set out in the RISE agreement, the project will be considered in compliance and no further monitoring necessary.

If the contingencies have not been completed according to the terms of the agreement, a project completion settlement is required.

EXHIBIT " \_\_\_\_\_ "

**UTILIZATION OF TARGETED SMALL BUSINESS (TSB) ENTERPRISES  
ON NON-FEDERAL AID PROJECTS  
(THIRD PARTY STATE-ASSISTED PROJECTS)**

In accordance with Iowa Code Section 19B.7 and 541 Iowa Administrative Code (IAC) Chapter 4, it is the policy of the Iowa Department of Transportation (Iowa DOT) that Targeted Small Business (TSB) enterprises shall have the maximum practicable opportunity to participate in the performance of contracts financed in whole or in part with state funds.

Under this policy the Recipient shall be responsible to make a positive effort to solicit bids or proposals from TSB firms and to utilize TSB firms as contractors or consultants. The Recipient shall also ensure that contractors or consultants make positive efforts to utilize TSB firms as subcontractors, subconsultants, suppliers, or participants in the work covered by this agreement.

The Recipient's "positive efforts" should include, but not be limited to:

1. Obtaining the names of qualified TSB contractors from the Iowa Department of Inspections and Appeals (515-281-7357) or from its website at: <http://dia.iowa.gov/page7.html>.
2. Notifying qualified TSB firms of proposed projects involving State funding. Notification should be made in sufficient time to allow the TSB firms to participate effectively in the bidding or request for proposal (RFP) process.
3. Soliciting bids from qualified TSB firms on each project, and identifying for TSB firms the availability of subcontract work.
4. Considering establishment of a percentage goal for TSB participation in each contract that is a part of this project and for which State funds will be used. Contract goals may vary depending on the type of project, the subcontracting opportunities available, the type of service or supplies needed for the project, and the availability of qualified TSB firms in the area.
5. For construction contracts:
  - a) Including in the bid proposals a contract provision titled "TSB Affirmative Action Responsibilities on Non-Federal Aid Projects (Third-Party State-Assisted Projects)" or a similar document developed by the Recipient. This contract provision is available on-line at:  
[http://www.dot.state.ia.us/local\\_systems/publications/tsb\\_contract\\_provision.pdf](http://www.dot.state.ia.us/local_systems/publications/tsb_contract_provision.pdf)
  - b) Ensuring that the awarded contractor has and shall follow the contract provisions.
6. For consultant contracts:
  - a) Identifying the TSB goal in the Request for Proposal (RFP), if one has been set.
  - b) Ensuring that the selected consultant made a positive effort to meet the established TSB goal, if any. This should include obtaining documentation from the consultant that includes a list of TSB firms contacted; a list of TSB firms that responded with a subcontract proposal; and, if the consultant does not propose to use a TSB firm that submitted a contract proposal, an explanation why such a TSB firm will not be used.

The Recipient shall provide the Iowa DOT the following documentation:

1. Copies of correspondence and replies and written notes of personal and/or telephone contacts with any TSB firms. Such documentation can be used to demonstrate the Recipient's positive efforts and it should be placed in the general project file.
2. Bidding proposals or RFPs noting established TSB goals, if any.
3. The attached "Checklist and Certification". This form shall be filled out upon completion of each project and forwarded to: Iowa Department of Transportation, EEO Administrator, Office of Contracts, 800 Lincoln Way, Ames, IA 50010.

**CHECKLIST AND CERTIFICATION  
FOR THE UTILIZATION OF TARGETED SMALL BUSINESS (TSB)  
ON NON-FEDERAL AID PROJECTS (THIRD PARTY STATE-ASSISTED PROJECTS LOCALLY LET)**

RECIPIENT: \_\_\_\_\_

PROJECT NUMBER: \_\_\_\_\_

COUNTY: \_\_\_\_\_

AGREEMENT NUMBER: \_\_\_\_\_

1. Were the names of qualified TSB firms obtained from the Iowa Department of Inspections and Appeals?  
Yes \_\_\_\_ No \_\_\_\_  
If no, explain \_\_\_\_\_

2. Were qualified TSB firms notified of the project? Yes \_\_\_\_ No \_\_\_\_  
If yes, by letter \_\_\_\_\_, telephone \_\_\_\_\_, personal contact \_\_\_\_\_, or Other \_\_\_\_\_ specify \_\_\_\_\_  
If no, explain \_\_\_\_\_

3. Were bids solicited from qualified TSB firms? Yes \_\_\_\_ No \_\_\_\_  
If no, explain \_\_\_\_\_

4. Was a goal or percentage (%) established for TSB participation? Yes \_\_\_\_ No \_\_\_\_  
If yes, what was the goal or percentage (%) \_\_\_\_\_  
If no, explain why not \_\_\_\_\_

5. Did the prime contractor use positive efforts to utilize TSB firms on subcontracts? Yes \_\_\_\_ No \_\_\_\_  
If no, what action was taken by Recipient? \_\_\_\_\_  
Is documentation in files? Yes \_\_\_\_ No \_\_\_\_

6. What was the dollar amount reimbursed to the Recipient  
from the Iowa Department of Transportation? \$ \_\_\_\_\_  
What was the final project cost? \$ \_\_\_\_\_  
What was the dollar amount performed by TSB firms? \$ \_\_\_\_\_

Name(s) and Address(es) of the TSB firms \_\_\_\_\_  
(Use additional sheet if necessary)

Was the goal or percentage (%) achieved? Yes \_\_\_\_ No \_\_\_\_  
If no, explain \_\_\_\_\_

As the duly authorized representative of the Recipient, I hereby certify that the Recipient used positive efforts to utilize TSB firms as participants in the State-assisted contracts associated with this project..

\_\_\_\_\_  
TITLE

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE