DOC EXPRESS – IOWA STYLE
INSTRUCTION GUIDE
for
IOWA DOT USERS

SEPTEMBER, 2021

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DOC EXPRESS
IOWA DOT
(SEPTEMBER, 2021)
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DOC EXPRESS – IOWA STYLE

IOWA DEPARTMENT OF TRANSPORTATION

September, 2021

Want to begin using Doc Express but don't have a password or know how to get into the program?   Contact or send a note to either Janet Wasteney – janet.wasteney@iowadot.us (Office – 641-782-2096, Cell – 641-344-0044) or Jen Strunk – jennifer.strunk@iowadot.us (Office – 641-782-4518) stating such.   They will, in turn, send you an invitation that will come in an e-mail from InfoTech such as the one or shown below inviting you to join the Iowa DOT group. If you don't almost immediately see the invite in your Inbox, check your Junk folder since it will sometimes go there.

DO NOT GO TO THE DOC EXPRESS WEB SITE AND REGISTER ON YOUR OWN. CONTACT JANET OR JEN AND WAIT FOR YOUR E-MAIL INVITATION TO JOIN THE IOWA DOT ORGANIZATION.

Subject: You've been invited to join Iowa DOT on Info Tech Express.

Dear Info Tech Express User,

Please click the link below to join Iowa DOT

Create Account

Note: This link expires at 10/23/2014 01:04 PM CDT

When you receive the e-mail, click on the Create Account link (as shown above) and the following screen will be displayed which you will complete and then click Activate.

Notice there is a limited time period for the invitee to respond to the invitation before that invitation expires

The first time you log into the program, you will be at the My Account screen.

CHANGING YOUR ACCOUNT INFORMATION –
When you first log in to Doc Express your account information is the first thing you see.

The address and phone number displayed on the right of the screen is the main company's address and **is not to be changed.**.

You have the option to change your e-mail address, your security challenge question and your password at any time. Do so by clicking the Actions button in the upper right area and a drop down list will be displayed. Simply select the one you want to change and the appropriate screen will be displayed for you to enter your changes.

If you want to change your personal phone and fax numbers (shown on the left side of the screen), click the Edit button and then make the desired changes in the screen displayed (example below). Once again, you are NOT to change the business name, address, or time zone but you can change your own mobile, phone, and fax number fields shown on the left side of the screen

My Account

* First Name	* Business Name
Jennifer	Iowa DOT

* Last Name	* Business Phone
Strunk	(515) 239-1352

Mobile	* Address1
(555) 555-5555	800 Lincolnway

Phone	Address2
(641) 782-4518	

Fax	* City
(641) 782-6618	Ames

* Time Zone	* State
(GMT-05:00) Eastern Time (US & Canada)	Iowa

SEE OTHER USERS IN YOUR COMPANY -
To see others in your company who have access to Doc Express, you must be on the My Account screen and scroll to the bottom of the screen and then possibly to the right. A list of users, their e-mail address, and their status (Manager or User for the DOT is displayed. An example is shown below –

Name	Email	Role	
Aaron Schwarz	aaron.schwarz@dot.iowa.gov	User	
Adam Roberts	adam.roberts@dot.iowa.gov	User	
Alan Lightfoot	alan.lightfoot@dot.iowa.gov	User	
Alex Crosgrove	alex.crosgrove@dot.iowa.gov	User	
Alicia Worden	aworden@snyder-associates.com	User	
Anthony Blint	anthony.blint@dot.iowa.gov	User	
April Concepcion	april.concepcion@dot.iowa.gov	User	
Arlene McCumber	arlene.mccumber@dot.iowa.gov	User	
Barb Harrill	barbara.harrill@dot.iowa.gov	User	
Barb Thiesen	barbara.thiesen@dot.iowa.gov	User	
Baron Hannah	baron.hannah@dot.iowa.gov	User	
Barton Hofeldt	barton.hofeldt@dot.iowa.gov	User	
Ben Behnami	ben.behnami@dot.iowa.gov	User	
Ben Hucker	benjamin.hucker@dot.iowa.gov	User	
Ben Sourwine	benjamin.sourwine@dot.iowa.gov	User	
Bill Dotzler	william.dotzler@dot.iowa.gov	User	

To see the contracts to which you have access, click on the 3 small horizontal lines in the upper left corner and choose Doc Express. If you feel you are missing one/some contracts and/or drawers or have some you no longer need, let Janet or Jen know.

If you are in the Doc Express program (where the contracts are listed) and aren't sure how to get back to the My Account screen, click on the same 3 horizontal lines in the far upper left area of the screen and select it from the drop down list or click on "My Account" next to "Logout" in the upper right corner.

ON-LINE HELP –

 Although the on-line help is an excellent resource, if you need to talk to a local support person, contact either Janet Wasteney – janet.wasteney@iowadot.us (Office – 641-782-2096, Cell – 641-344-0044) or Jen Strunk – jennifer.strunk@iowadot.us (Office – 641-782-4518)

You can access the on-line help by clicking on the word "Help" in the lower right corner of every screen once you are in the Doc Express program. Type in a key word for your question and suggested topics will be listed or you can type in your own.
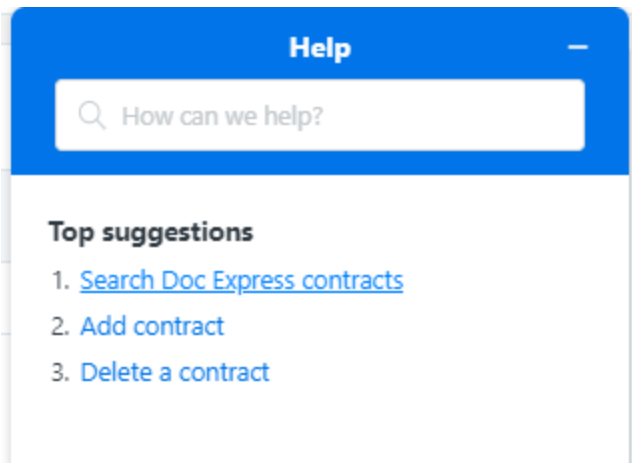
To start a chat with InfoTech, click on the Chat button just to the left of the Help and then the Start Conversation button. You'll be asked to enter your name and agency prior to typing in your message.
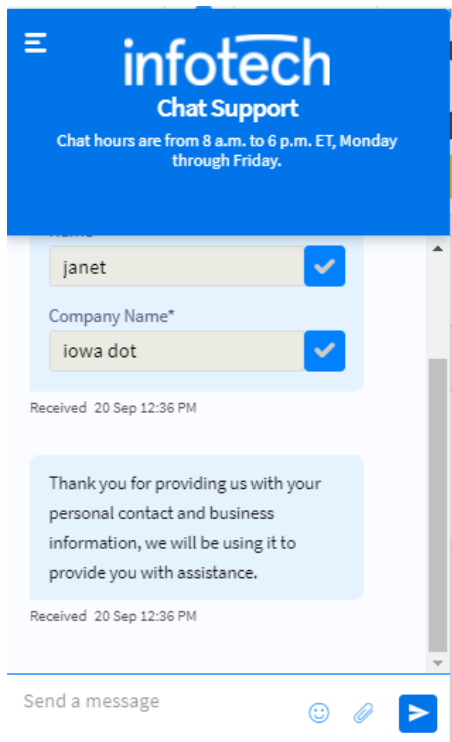
When finished, click on the 3 lines in the upper left of this section and choose End chat. To close the chat area, click on the horizontal line beside Help – as shown below.
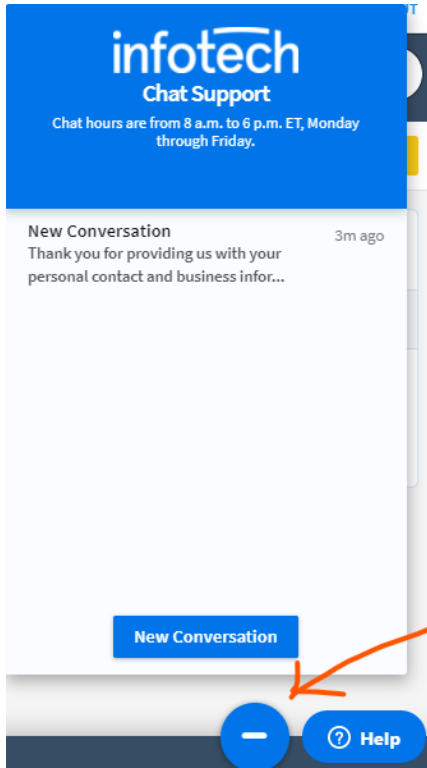
VIEWING CONTRACTS -

There are 2 options from which to select when viewing the list of contracts. The first (shown below) displays the contracts listed in rows, one below the other. The type of view displayed is due to the icon choice selected (shown in yellow) in the upper right area, just below the Search button.
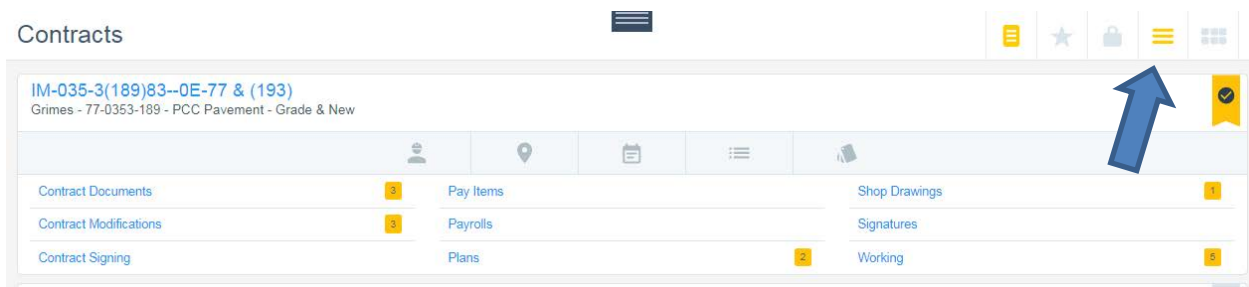
Notice that some of the contract information is on the left and some is displayed when you click the icons in the row just above the drawers.

There are some icons displayed where the arrow is pointed in the screen print above. These icons represent the same options as what you would find in the Filter area – just an easier and quicker way to select them.

The other choice for viewing the contracts, shown below, is the grid view. This option displays the contracts in grid style with all information within that contract's block. With this view, the drawers are displayed below the contract information.
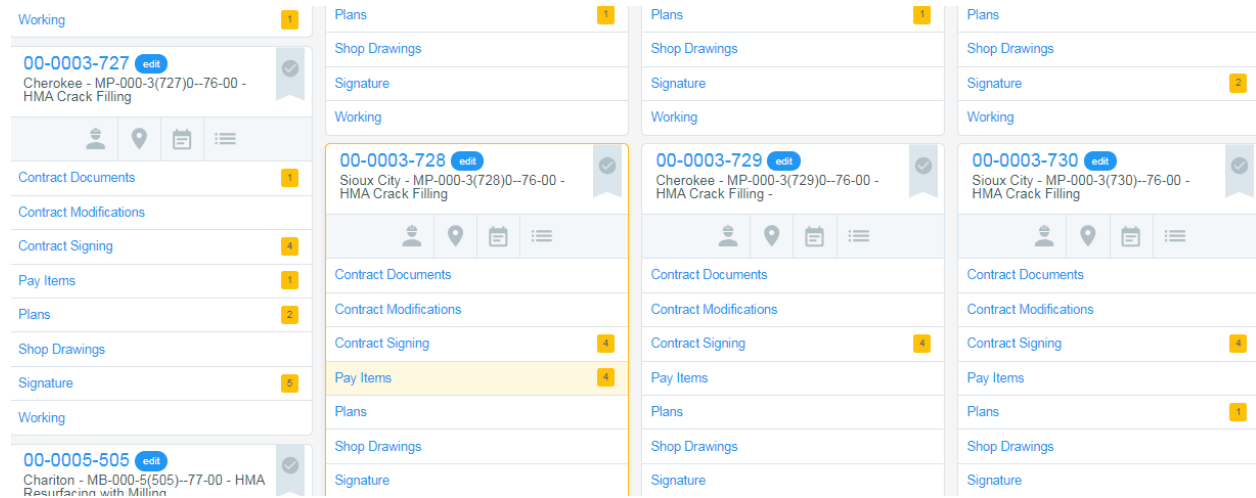
There is no right or wrong view choice – it's strictly a personal preference. The same contract information is displayed no matter which view is selected, just with a bit different look.

In both views -
The contract ID is displayed first. Below the contract ID is the DOT Residency in charge of the contract followed by the main project number shown in its entirety with any additional tied projects being displayed by the highway number (if different from the main project number) and paren number for each project. Next displayed is the description of the contract as shown on the contract document and, if applicable, FHWA numbers.

Additional details shown in the icons just above the drawers are the prime contractor's name, the county name, highway number, letting date, and bid order number fields. Sometimes displayed is the End Date field which the DOT uses as the Late Start Date. All the drawers available for the particular contract to which you have access are displayed below the contract information.

FAVORITE CONTRACT –
If you have a list of contracts but you are working with only 1 or just a few of them all the time and really don't need or want to see the others, you have the option to mark one or more contracts as your favorite. To do so, find the banner with the checkmark in it to the far right of the contract title. When you click on it, it will turn yellow so you can easily see that it has been marked as a favorite. See below.
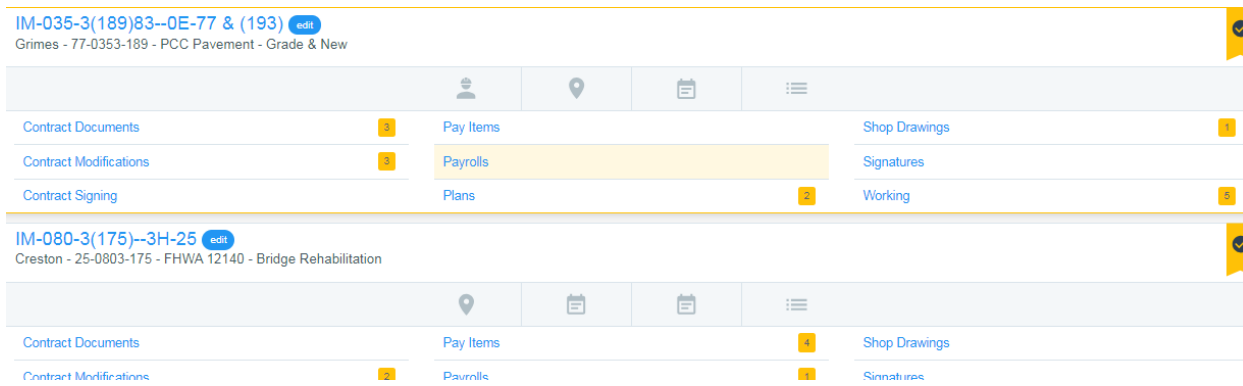
Contracts marked as a favorite will automatically be moved to the top of the list of contracts and those favorites will be sorted in the same order as the rest of the list of contracts.

When viewing the list of contracts, one of the filters available allows you to display only the contracts marked as a favorite. By using that filter option, the favorite contracts will be displayed and the others will be hidden.

If you no longer want a contract marked as a favorite, simply click on the "favorite" banner again and it will revert back to its original position in the entire list of contracts and no longer be marked as a favorite.

There is a summary e-mail notification that will display data for only the contracts you have marked as your favorite. More on that in the Notification section.

BADGES -
If you see a badge with a number in it to the right of a drawer (see previous graphic), there are submittals within that drawer that have been submitted but no further action has been taken. For instance, if the badge has a 2 in it, there are 2 different submittals that have had no transitions made since the document's original submittal. This is an easy way to see what contracts and what drawers **might** have a need for some initial action to be taken. **This may or may not mean that any action is required of you – that depends totally on the submittal and the workflow of the drawer.** Having this badge displayed is automatic and is not dependent on any other choices made within the program

SEARCH and FILTER - Filter fields are dependent on the screen you are viewing. The search field is visible on most screens but, by default, the filter fields are hidden. By clicking on the horizontal lines (where the X is now shown below), the filter fields are displayed. You can filter on 1 or more fields at the same time.

The graphic below displays the search and filter fields available when viewing the list or grid of contracts.

If you filter on different types one right after the other, be sure to allow the list of

submittals time to refresh before selecting the next type on which to filter.
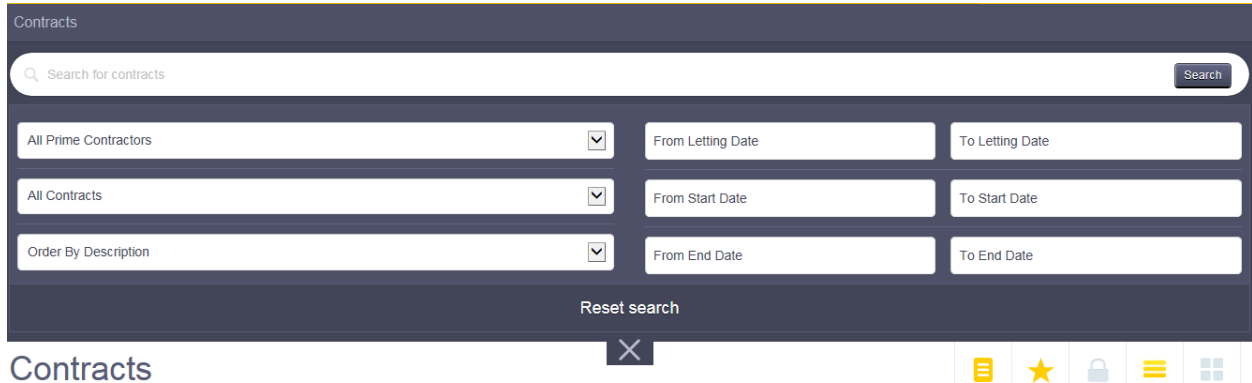
SEEING LOCKED CONTRACTS -
By default, the contracts screen will show only all active contracts. If you want to see only the locked contracts, simply change the filter field from All Contracts to Locked.

As stated previously, the filter fields available are dependent on the screen you are viewing. The following graphic displays the search and filter fields available when viewing a drawer.   By clicking in the Document Types field, only those types in that drawer that have had a submittal made will be displayed. The only way to see the entire list of possible types in a drawer is to pretend to submit a document and click in the Types field. The list of types in most drawers is also shown in Appendix B of this guide.
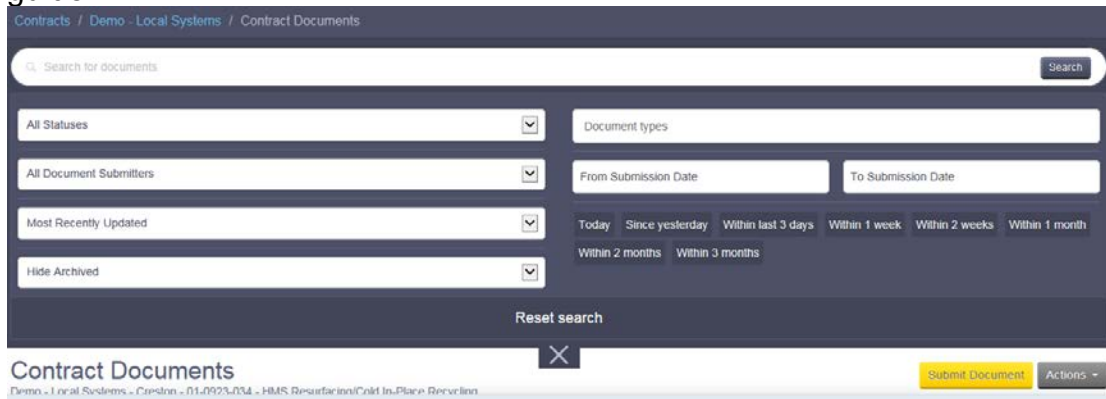
If you choose to no longer have any of the filter section visible, click on the X below them and they will be hidden once again. The search field will remain visible. If you wish to clear all filters and the search field, click "Reset search"

NOTIFICATION –
When a submittal is made, you have the option to be notified in real time for each drawer you choose. You also have a choice of receiving notifications when documents are rejected and/or also to be notified daily for either all submittals or only for submittals made to contracts marked as your favorite. These notifications are strictly your choice and can be changed as you wish. Realize these are global preferences which means what you set is for all your contracts. To find the location for notifications, click on the Notifications button. A screen as shown below will be displayed.

You can choose the specific drawers for which you want to be notified real time when a document within it is Ready to be progressed (left option) or when it is a Completed document (middle option) or when it is Rejected (right option). Likewise, you can be notified only when a specific type is submitted in any drawer or only when a specific drawer(s) have had activity.

The graphic above shows that the **Progressed Document** section is turned "ON" and that the option for all documents I have access to is chosen for all types but in ONLY the Contract Signing and Contract Modifications drawers. You can select multiple drawers if you choose and could select only specific types about which to be notified. By selecting specific types, that will narrow down your notifications. **BEWARE – If you have the all documents I have access to as the choice but no specific drawer or type, you will probably be bombarded with real time e-mails!!!**

Also in the above graphic the **Completed Document** section is turned on with the "all documents I have access to" selected for both the Contract Signing and the Contract Modifications drawers to spur those notifications.

The graphic above is my suggestion for the Completed Document section since you will receive an e-mail when the contract has been marked completed by the Office of Contracts so it is safe without penalty to talk to the contractor about the contract work and so you'll receive an e-mail when a contract modification is marked completed so it can be approved in the FieldManager program.

And lastly, the **Rejected Document** section is turned "ON" with all documents I have access to. Because I would want to know when any document has been rejected, I don't limit the type or the drawer for the Rejected option.

	Document Submission Report - All Contracts	ON
	Email me daily with a list of document submissions for all of my contracts.	
	Document Submission Report - Favorite Contracts	OFF
	Email me daily with a list of document submissions for only my favorite contracts.	
	Due Dates Report - All Documents	OFF
	Email me daily with a list of documents that are past due or due within 7 ▾ days.	

There are 3 **Document Submission Reports** (All contracts, favorite contracts, and due date for all documents) which, when turned on, will send an e-mail very early in the morning displaying by contract and drawer all submissions that took place the previous day on contracts to which you have access. The All submissions option includes every contract while the Favorite submissions contains only those contracts that you have marked as your favorite. The due date includes all documents with a new due date. These summary notifications are an excellent way to see in 1 e-mail all submittals made during the previous day. This does NOT include transitions – only initial submittals.

All these choices can be changed at any time and from that point forward the notifications will reflect the new choices.

Once again, there is no right or wrong – these are strictly personal preference. What might be helpful to you might not be helpful to another user.

WORKFLOW –
There is a specific workflow for each drawer. This can show, for instance, what steps must be taken for the contract to be marked completed. To find the workflow, open the drawer and then click Actions > Details. Below is the workflow for the Contract Signing drawer showing each step along the way (and the color code of the status) to getting the contract signed and marked completed or even rejected.

DOCUMENTS –
By clicking on the Documents button every document that has been submitted to every contract to which you have access will be displayed in chronological order with the most current being shown first. By opening the filter, you have the option to limit the documents listed to a specific contract and/or any of the other normal filter options. Remember, when you click on the Documents button, it's global so results could be very big depending on the number of contracts to which you have access.

DASHBOARD –
If you click on the Dashboard button, a partial screen (missing the graph) similar to the following will be displayed. There are 4 lists –

Contracts Ending Soon	Documents Ready To Be Transitioned	Idle Documents
Ending within:	**Contracts:**	**Contracts:**
2 ⌄ Days ⌄	All ▾	All ▾
	Drawers:	**Drawers:**
70-0615-707 **Monday, Sep 21**	All ▾	All ▾
85-0301-713 **Monday, Sep 21**		**Last action taken:**
25-1694-711 **Monday, Sep 21**	Valve Box STPN-218-7(218)--2J-07 / Material Certifications / **Status:** Received	3 ⌄ Days ⌄
25-0804-511 **Monday, Sep 21**	12" Valve STPN-218-7(218)--2J-07 / Material Certifications / **Status:** Received	Export in progress...
40-1757-022 **Monday, Sep 21**	6" Valve STPN-218-7(218)--2J-07 / Material Certifications / **Status:** Received	Valve Box STPN-218-7(218)--2J-07 / Material Certifications / **Status:** Received *Idle for 2084 days*
56-0611-187 **Monday, Sep 21**	6" DIP Certs STPN-218-7(218)--2J-07 / Material Certifications / **Status:** Received	12" Valve STPN-218-7(218)--2J-07 / Material Certifications / **Status:** Received *Idle for 2084 days*
Documents Past Due	Fire Hydrant STPN-218-7(218)--2J-07 / Material Certifications / **Status:** Received	6" Valve STPN-218-7(218)--2J-07 / Material Certifications / **Status:** Received *Idle for 2084 days*
Black Hawk Submittal (96) Precast Manholes for Subdrain System 07-0636-075 / Shop Drawings **Thursday, Jan 25**	Poly Wrap STPN-218-7(218)--2J-07 / Material Certifications / **Status:** Received	6" DIP Certs STPN-218-7(218)--2J-07 / Material Certifications
	Tracer Wire STPN-218-7(218)--2J-07 / Material	

- 1 for contracts ending soon which is what we're using to display the Late Start Date – you can determine the number of months or days to include in the list
- 1 showing all documents ready to be transitioned. This, by default, includes all documents in all contracts in your list that are not completed. Displayed along with the contract information is the status of the document – color coded, no less!! You can filter this list to a specific contract and/or drawer.
- 1 showing all documents that are past due. This list includes only those contracts/drawers/documents where a due date has been entered. More on due dates starting on <mark>Page 17</mark>.
- 1 showing all contracts and/or drawers that have been idle for the determined number of months or days of your choice

SUBMITTING MULTIPLE DOCUMENTS AT THE SAME TIME –
The example below is for the Payrolls drawer but the process is the same for all drawers.
In many of the drawers, you not only have the option to submit 1 document and link it to multiple types but you can submit multiple documents at once and link them all to one or multiple types.   To do so, click on the Submit Document button and then click on the "Want to Upload Multiple Documents?"   The following graphic will be displayed. Click on the arrow to choose to submit multiple documents at once.
The name of each file becomes the title of that respective submittal although you can edit it after it's been submitted..

Go to and highlight the documents to submit, then click Open.

The title of each document in Doc Express will be the file name (title) of the submittal in Doc Express.

Select the type(s) and then "sign" by checking the box and click Save.

Each of the multiple documents will be shown (see below) while they are being submitted and then will disappear as they are each displayed as individual submittals in the drawer with each having a status of Submitted.

INITIAL SCREENS WHEN SUBMITTING A DOCUMENT
Notice that with all submittal screens you have an option to make a comment and to add supporting documents. A supporting document is simply additional documentation for the original submittal. If either is added, it will be included in the log when viewing the list of documents. Also, the number of supporting documents for that submittal will be displayed under the title of the document. Once either a comment or a supporting document is added to a submittal, the submitter can no longer remove that document from the drawer. If; however, it should be removed, contact Janet or Jen to either hide or remove it. Hide means it is not completely removed but rather just put into a location where the other submittals are not and can be returned to the list if needed. Remove means it is completely removed (as in deleted) from the drawer and cannot be returned to the list of documents.

For the Pay Items Drawer
To submit a document, first select the contract and the Pay Items drawer and then click the Submit Document button. After you click the Submit Document button, the screen below is displayed.

FYI – Contractors and Suppliers do not have the option to enter text instead of attaching a document.

Contract Documents, Payrolls, & Shop Drawing submittals –
The submittal screen for each of these drawers looks the same as above but without the signature line.

Working Drawer and Plans Drawer submittals –
As seen below, these drawers have no type and have no signature required when submitting a new document.

☁ Want to Upload Multiple Documents?

New Document   Save

* Title

* Attachment
[   ] Browse...
Enter text instead of attaching a document?

Supporting Documents
Add a supporting document?

Comment

Contract Modification Drawer submittals –

The submittal screen for this drawer is the same as above except it has no option for text instead of a document submittal and it requires that only a pdf file be attached. Even though the initial submittal does not require one, signatures are required for every transition following that. The signature requires the signer to type in their name as well as put a checkmark in the box. The signature must match exactly the user who is logged into the program.

There is a specific order of signatures required beginning with the prime contractor followed by the RCE and then the DCE. If Central Construction and FHWA signatures are also required, they follow the DCE in that order.

☁ Want to Upload Multiple Documents?

New Document   Save

* Title

* Attachment
[   ] Browse...
Only PDF files are allowed in this drawer
Supporting Documents
Add a supporting document?

Comment

Signature Drawer submittals -

This submittal screen is very similar to the Contract Documents and Shop Drawing drawers except for 2 things – (1)you cannot enter text instead of attaching a document and (2) only PDF files are allowed in the drawer.

Notice that in ALL submittal screens you have an option to add Supporting Documents. This is simply additional documentation for the original submittal. If there are Supporting Documents added, they will be displayed when viewing the list of documents for any given drawer. Also, in all submittal screens you have the option to enter Comments.

Contract Signing submittals –
ONLY the Office of Contracts and the prime contractor have access to submit documents to this drawer. Read/write access to this drawer is very limited although DOT users can view the documents.

VIEWING ALREADY SUBMITTED DOCUMENTS –
The prime contractor and DOT users can open and view every document that has been submitted to every drawer to which they have access. Subcontractors and suppliers can see the entire list of submittals; however, they can open documents only if their own company submitted the document or they have been given permission to do so for the contract at the drawer level by another contractor or the DOT.

To know who has access to what drawer, open the contract and scroll to the bottom of the screen. Each user and company will be listed with a designation for each drawer as to whether they have access to open it. If they are a subcontractor or supplier, if there is "Enable Download" below the Yes or No, that means they have been given access by the contractor on the far left of that row to open their documents. The DOT gives the Enable Download access to all subs at the same time they are given access to the contract.

When viewing the list of submittals, the top line of each submittal displays the title given to the document by the submitter and just to the right of that name, the type(s) to which the submittal has been linked. And, if the final status for the document hasn't been reached, there is an Update option where you can change the name of the title and adjust the type(s) to which the document has been linked. Just below that is the company responsible for the submittal. Below that is the due date if one was entered. (We don't usually enter a due date)

No one, including the submitter, can change the contents of the document while it is in Doc Express.   However, certain drawers have been given a Markup and also a Replacement option. In those cases, the original document can be marked up within the Doc Express program and it overwrites/replaces the original document. There is no log of these changes. The instructions on how to do this can be seen under the Working Drawer (Page 43)

Just above the date, the number of comments for the submittal and the number of supporting documents are displayed. In order to see the entire log, click the arrow on the right side of the screen under the status.

In the far left column is the date of the submittal or transition that took place. Just to the right of that date is the time and the status of the submittal. Just under that is the workflow step for that particular transition of the document. And, finally, on the bottom line is the company name followed by the user name of the person responsible for that transition.
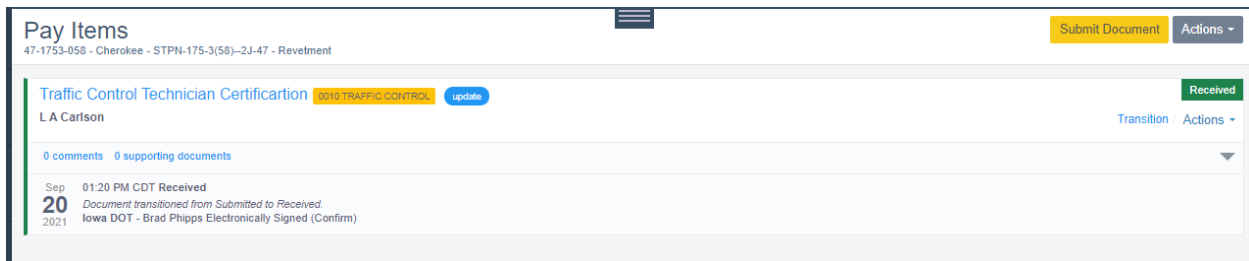
To the far right, in color, is the status of the submittal – the status options vary depending on the drawer and the access of the user. Below the status is a possible transition which is dependent on both the current status of the submittal and the access of the user who is logged in to the program. For instance, if the status is Received, that's the "end of the road" in most drawers. The Pay Items drawer; however, also has an Audited status following the Received status after which there will be no more possible transitions shown. If the status is Rejected I in any drawer, then there is another option to Resubmit Document.

If the status is anything other than Submitted, there is an arrow below the status. By clicking on that arrow, the log of all transitions on the left side of the screen will be expanded. If the status is Submitted, the submittal shown on the left side of the screen is the only one so there is no arrow displayed.

By default, the most current transition is always displayed with the rest "hidden" until the arrow expands the log. If the list is expanded, to hide all but the most current, simply click on the arrow once again.

DUE DATES –

You as a DOT user can enter a due date for a document you or anyone else submits in a drawer. After the submittal is saved, you can enter and/or change a due date by either clicking on Actions > Edit Due Date or by clicking on the Update button.

FYI – We don't usually enter due dates

If; however, you do enter a due date, it can be changed as many times as needed. Each time it is changed that activity will be included in the log for that document. The due date and other details are displayed below the title of the document when viewing the submittals for a drawer.

As shown previously on Page 11, the Dashboard contains a list of documents with past due dates for every contract to which you have access.

REVERT TRANSITION –

If the status is Submitted, the submitter (& only the submitter) can remove the document by clicking on Actions > Remove BUT only if there are no comments or supporting documents. If there are either comments or supporting documents, the submittal can't be removed by the user – period!!! If the status is anything other than Submitted, the document cannot be removed this simply.

If the document status is anything but Submitted, the person who last transitioned the document can revert the transition – similar to an un-do. This will revert the document back to the previous status. The Revert Transition option can be done multiple times if necessary but the document cannot be removed even if reverted back to Submitted status if there has been a comment made or a supporting document added.

The Revert Transition option is available for any document not in the Submitted status or the final workflow step by clicking on Actions

If a document should be removed but the user can't do so, contact Janet or Jen and they can either hide the it or remove it from Doc Express.

CONTRACT DOCUMENTS DRAWER -
DRAWER STRUCTURE -

Holds all files in their appropriate type that are necessary for project files

The Submit process is typically done by a DOT user although others who have access to this drawer can also submit if appropriate.

A submittal can be linked simultaneously to 1 or more types in the drawer

The Receive process must be done by DOT personnel

SUBMITTAL & TRANSITIONS

Click on the Contract Documents drawer for the appropriate contract. A list of all previously submitted documents is displayed with, by default, the most recently updated submittal being at the top of the list. The order of the list can be changed by opening the filter section (clicking on the horizontal lines below the search field) and changing that option.

SUBMIT -

Click the Submit Document button and enter the appropriate information in the title field and then select the appropriate type(s). **(If a number is used in the title, it should be 2 digits and if a date is in the title, it should be 6 digits. Suggested naming conventions for documents submitted to this and other drawers are in Appendix A.)** To select a type, put the cursor in that field and the list of types for that drawer will automatically be displayed (a scroll bar is on the right to see additional types). You can multi-select types so if, for instance, a submittal should be linked to 2 types, you can select both types at once during this process.   See <mark>Page 12</mark> for details on how to do this.

New Document		Save
* Title	Comment	
[ ]	[ ]	
* Types		
Addendum		
Agreements for Private Property Used by Contractor (Construction Manual 2.26)		
Asbestos Abatement Report		
Clean Water Act Section 404 Permit		
Construction Pay Estimate		
Contract		

Browse to the location of the attachment, select it, and make a comment if desired BUT realize that if you do make a comment, you cannot remove the document. Remember, you can also submit multiple documents at the same time to the same type(s) in a drawer.   Saving the document will return you to the list of submittals with this new one(s) being at the top of the list.

Add Supporting Documents (additional documentation for the submittal), if desired but the same rule applies – you cannot remove the document with either supporting documents or comments.

If comments or supporting documents have been made but the document needs to be removed, contact Janet or Jen and they can "archive" (hide) the document or can completely remove (delete) it. Archiving the document doesn't delete it but simply hides it so it remains a part of the contract – but just is "out of sight, out of mind!". Removing it actually deletes the document from the program.

If you or someone else wants to make an additional comment or add supporting documentation to this submittal, click Add a new comment and another window (shown below) will be displayed where you can enter and then add your comment.
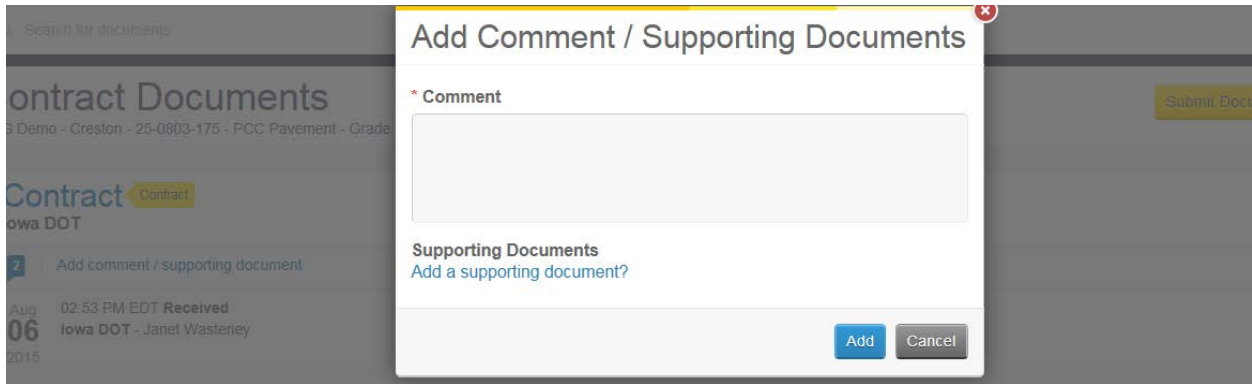
Upon clicking the Add button, your comment becomes part of the record for this submittal and the number in front of the comments is increased by one.

You have the option until the status is Received to change some parts of documents no matter who originally submitted them. For instance - -
    ** If the document was submitted to the wrong type in the drawer and/or should be added to another, you can move and/or add it to the appropriate type IN THE SAME DRAWER.
    ** If the title of the document is incorrect and should be changed, you can change it
    ** If the due date should be changed, you can change it

To do so, click on the word "update" just to the right of the type.

The following screen will be displayed where you can change the title of the document, change the due date, change, add to, or remove types for the submittal and then press the Save button.

Update

* Title

Est 01

Due date

Types

× Construction Pay Estimate

Save   Cancel

As mentioned previously, no matter the status of the document, either Janet or Jen can hide or remove any document. That hiding process moves it from the normal list to a hidden list which can be viewed by opening the filter and changing from Hide Archived to Show Archived. To return to the entire list of submittals in the drawer, change the filter back to Hide Archived. Removing It actually deletes the document from the program.

RECEIVE / REJECT

Prior to selecting the transition, you should open the document by clicking on its title and view it for correctness. When you select Received, you are stating that you have looked at it and the submittal is correct and in the appropriate type. All is good! In some cases, you may very well be both the submitter and the receiver of the document.

If you look at the submittal and the document itself is not correct, you have some choices –

1. If you were NOT the submitter, reject the submittal – everyone with access to that drawer will automatically be notified of the rejection if they have that notification option on
2. Call the person who submitted the document and have them remove it and re-submit it correctly. Remember, this can only be removed by the original submitter and can only be done if no comments or supporting documents have been and the status is Submitted.
3. If you were the submitter, remove the document and re-submit it correctly

Choosing which one to do can be dependent on a number of things such as the number of times an incorrect submittal has been made by that user. Bottom line, it's up to you as to which option you choose for an incorrect submittal. Just be sure to NOT Receive it if it's incorrect!!

When you want to either Receive or Reject the submittal and possibly make a comment during that process, click "Transition" (under the status). "Remove" is an option under Actions only if you were the original submitter and there has been no comment made or supporting document added and the status is Submittted.
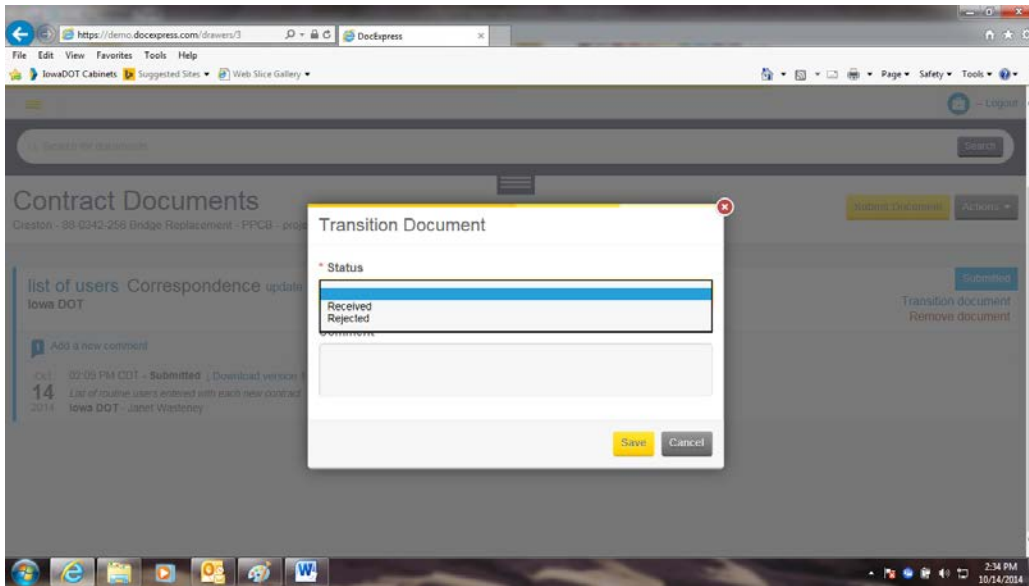
Once you select either Received or Rejected in the Contract Documents drawer and then click Save, the submittal is a "done deal" – no changing it or removing it.   Upon "Save", the screen reverts back to display the list of all the submittals made to date for that drawer, including this one. Because Received is the last step in the workflow, the Update button is no longer displayed.

LOG –
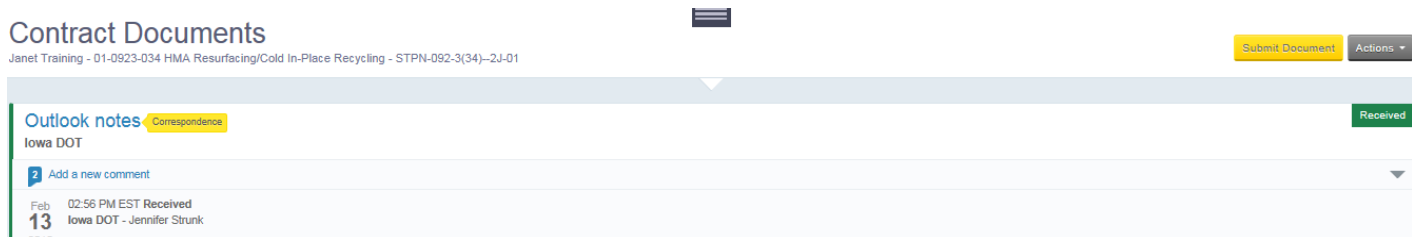
Above is an example of the submittal in a collapsed view. Notice the arrow to the far right of the submittal is pointed down. That means the submittal is being displayed in a collapsed view.

If the submittal had been linked to more than 1 type, all types would be listed to the right of the title. In the example above, Correspondence is displayed and, if there was another type linked to this same submittal, it would be displayed beside the Correspondence type.

Below is an example of the same submittal as shown in the previous graphic but with all transitions being displayed. When all the transitions are displayed, the arrow mentioned above is pointed up.

PAY ITEMS DRAWER -
<u>DRAWER STRUCTURE –</u>

Holds all documents pertaining to pay items in the project

There are a few routine types listed first in this drawer for every contract with the rest of the types being totally dependent on the bid items in the contract. Each bid item in the contract is included as a type in this drawer.

If needed, a grouping of PCC Structure, HMA, PCC Pavement, or Pile Driving Information or Beam Shot Elevations are included following the bid items.

For a new item added by contract modification/change order, send the proposal line number and item description to Janet or Jen to have a type added for it.

SUBMITTALS & TRANSITIONS

Click on the Pay Items drawer.   A list of all previously submitted documents to this drawer is displayed with, by default, the most recently updated being at the top of the list. The order of the list can be changed by opening the filter section (clicking on the horizontal lines below the search field) and changing the default of Most Recently Updated to a different choice.

SUBMIT -

A submittal can be linked simultaneously to 1 or more types

The Submittal of documents is done by any user (contractor, supplier, or DOT user) with access to the drawer

The Receive process of documents is done by an RCE user

The transition to Audited is done by the materials personnel in the DOT

Click the Submit Document button and enter a descriptive title that explains the document and then select the appropriate type(s). **(If a number is used in the title, it should be 2 digits and if a date is in the title, it should be 6 digits. Suggested naming conventions for documents submitted to this and other drawers are in Appendix A.)** To select a type, put the cursor in that field and the list of types will automatically be displayed (a scroll bar on the right to see additional types). You can multi-select types

so if, for instance, a submittal should be linked to 2 types, you can select both types at once during this process. The top few types in the drawer are the same for every contract with the rest of the types being totally dependent on the contract. Remember, you can also submit multiple documents at the same time to the same type(s). <mark>(Page 12)</mark>

Amended PPP Site Map
Central Materials Input
Contract Modification Item Certs
District Materials Input
Materials Acceptance Report
Materials Source Report
Technician Certifications

Following the routine types shown in the list above, every pay item in the contract is listed. Those items are followed by "groupings" for HMA Items, PCC Paving, PCC Structure, Pile Driving Information, and/or Beam Shot Elevations, if appropriate.

Add Supporting Documents (additional information for the submittal) if desired and also a comment if desired. Neither is required.

Before the submittal can be saved, you must electronically sign the document by checking the "box". See below –

If you click the Save button without "signing" the submittal, the following screen will be displayed. If this happens, simply check the box for the signature and then click Save again.

Even after you have submitted and signed your approval, you (and ONLY you) because you were the submitter can remove the document if you wish. However, once a comment is made by anyone, including yourself, or there has been a supporting document added, neither you nor any other regular user can delete it. But if that happens and the document needs to be gone, contact Janet or Jen to either hide or remove it for you.

If you or someone else wants to make an additional comment to this submittal without transitioning it to Received or Rejected, click Add a new comment and another window (shown below) will be displayed where you can add your comment. **Be aware that making a comment does NOT trigger a notificationl**
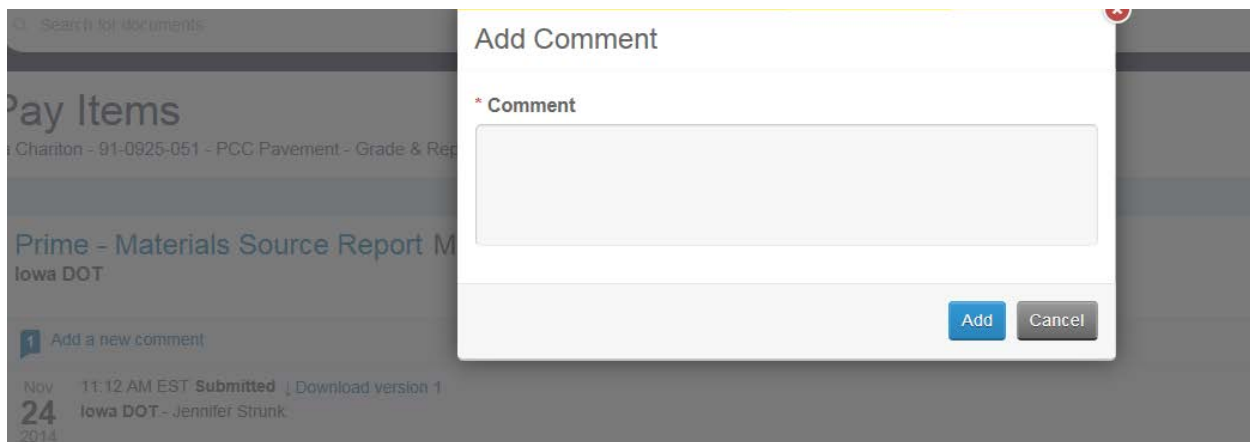
Upon clicking the Add button, your comment becomes part of the record for this submittal and the number of comments is increased by one.

Until the status is Audited, you have the option to change some parts of documents no matter who originally submitted them. For instance - -

** If the document was submitted to the wrong type in the drawer and/or should be added to another, you can move and/or add it to the appropriate type IN THE SAME DRAWER.
      ** If the title of the document is incorrect and should be changed, you can change it
      ** If the due date should be changed, you can change it

To do so, click on the word "update" just to the right of the type.

The following screen will be displayed where you can change the title of the document, change or add a due date, change, add to, or remove types for the submittal and then press the Save button. So, in the example following below, changes can be made before clicking Save which result in the submittal displaying the update.

As mentioned previously, no matter the status of the document, either Janet or Jen can "archive" (hide) or remove (delete) any document. To see hidden documents, open the filter area and change Hide Archived to Show Archived. To return to the entire list of submittals in the drawer, change the filter back to Hide Archived.

RECEIVE / REJECT -
Prior to selecting the transition, you should open the document by clicking on its title and view it to be sure it is correct. When you select Received, you are stating that you have looked at it and the submittal is correct and linked to the appropriate type. All is good! In some cases, you may very well be both the submitter and the receiver of the document but only materials personnel should transition the document to the Audited status.
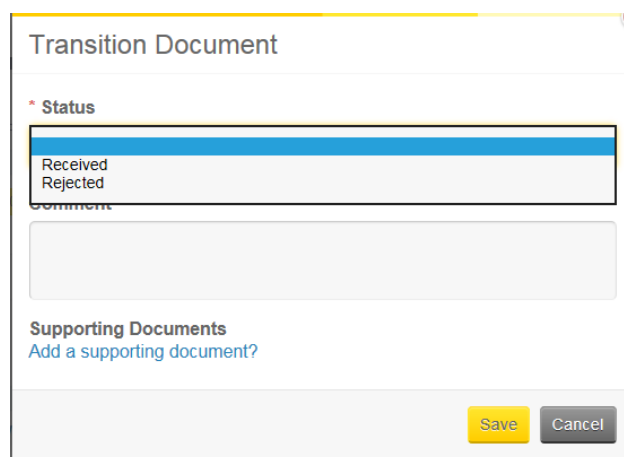
If you look at the submittal and it is not correct, you have some choices –
1. If you were not the submitter, reject the submittal – everyone with access to that drawer will be automatically notified of the rejection if they have that notification on
2. Call the person who submitted the document and have them remove it and re-submit it correctly. Remember, this can only be done if no comments or supporting documents have been added and the status is Submitted.
3. If you were the submitter, remove the document and re-submit it correctly

Choosing which one to do can be dependent on a number of things such as the number of times an incorrect submittal has been made by that user. Bottom line, it's up to you as to which option you choose for an incorrect submittal. Just be sure to NOT Receive it if it's incorrect!!

When you want to either Receive or Reject the submittal and possibly make a comment during that process, click "Transition" (under the status). "Remove" is an option available only if you were the original submitter and there has been no comment made or supporting document added and the status is Submtted.

If you want to attach a supporting document when you transition this document, browse to that location in the field under Supporting Documents before clicking the Save button.

As soon as you select Received, the screen changes to the following –

Transition Document

* Status

Received

Comment

Supporting Documents
Add a supporting document?

☐ By checking this box I am electronically signing the attached document.

☐ Transition document to final status of **Audited**?   Save   Cancel

where you can still enter a comment and add a supporting document but also where it gives you the option to transition the submittal to the appropriate Audited status.   There is an audited option for the RCE, the District, and the Materials Audited. None are of these options are required and there is no certain order in which they must be done.

LOG -
See below a graphic with the submittals in the collapsed view (showing only the most current action) -

Pay Items
25-0803-175 - Creston - IMN-080-3(175)119--0E-25 (JW test) - PCC Pavement - Grade & New   Submit Document Actions ▾

TC Jasper w/e 07/09/16 0100 TRAFFIC CONTROL   0185 TEMP TRAFFIC SIGNAL   Submitted
prime   Actions ▾

0 comments 0 supporting documents

Jul   03:30 PM EDT **Submitted**
11   ↓ Version 1 (current)
2016   **prime** - prime 2014

Jasper Source Report Materials Source Report   Submitted
prime   Actions ▾

0 comments 0 supporting documents

Jul   03:21 PM EDT **Submitted**
11   ↓ Version 1 (current)
2016   **prime** - prime 2014

To see all activity for a given submittal, click the down arrow (under the status button) and every transition will be displayed for that specific submittal.

If the submittal is linked to more than 1 type, all types are listed following the title. In the example above, Materials Source Report is displayed in one submittal. Notice that the Traffic Control Diary submittal is linked to 2 different items. One of those linked to the traffic control diary submittal shouldn't be included so it can easily be removed by clicking on the **Update button** and a screen as shown below will be displayed.

Simply click the "x" beside the incorrect link. That link will disappear and then click the Save button. When you see the list of submittals, only the one you want will be shown – as seen below.

AUDITED STATUS –
There is an Audited status for the RCE, District, and Materials. The intent is so each group can know which submittals they have already reviewed and approved (audited) throughout the life of the contract rather than waiting until the end of the work and checking all items at that time.

The Audited status is available only in the Pay Items drawer and only if the submittal has a status of Received. Notice that there is still a Transition document option in the graphic below even though the submittal has been Received.

By clicking the Transition document under the Received status, the following screen will be displayed.
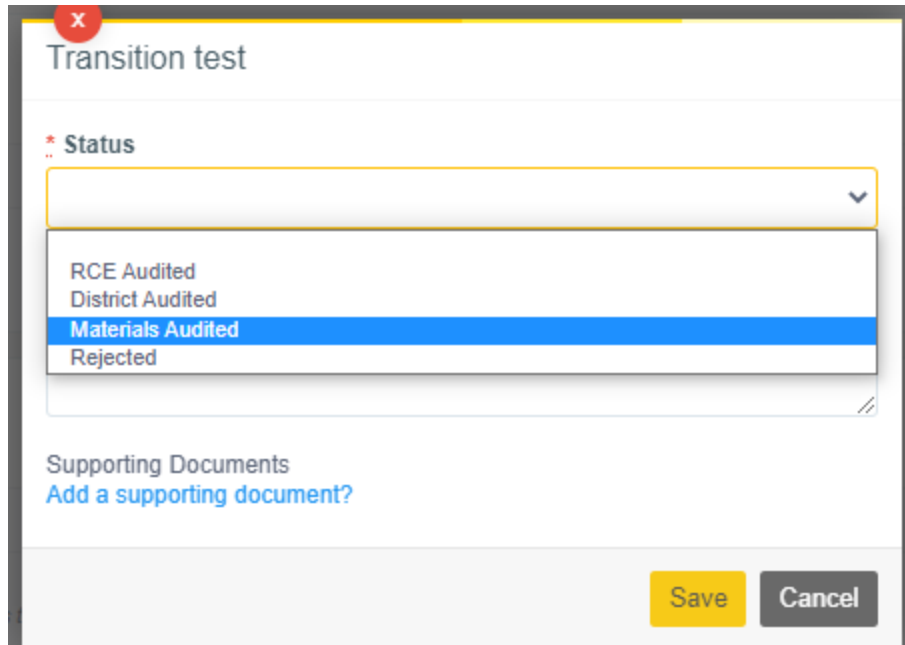
Notice there is also a Rejected status option. Any audited group can mark the item as being rejected even though someone prior to them Received it. If the Rejected status is used at this point, there definitely needs to be a comment made and there also needs to be communication between the person who originally Received it and the person who is now rejecting it.

If you want to attach a file when making a transition, click on "Add a supporting document?" and browse to the location of the file.

If you want to transition several submittals to an Audited status at the same time, **this can be done only when the documents have a Received status so can be done for only ONE of the audited workflow steps.** To do so, click on the Actions button and select "Transition to Audited" and select the appropriate audited workflow step. This will limit the list to only those documents with a Received status.
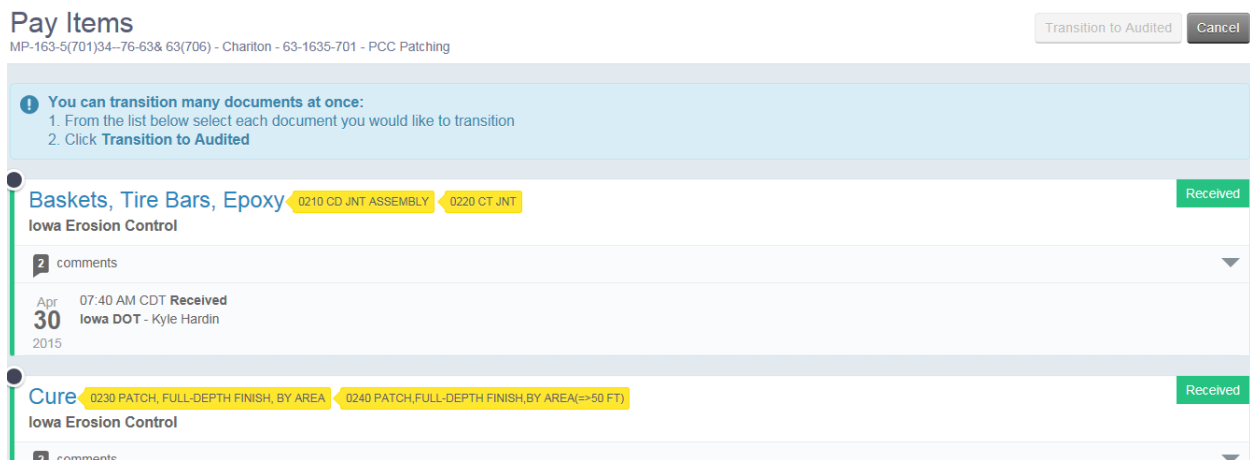
Click in the circle just to the left of the document for each submittal you want to transition to Audited and then click Transition to Audited. All selected will be transitioned to Audited.

If the Audited transition is selected, the status will reflect that when viewing the list of submittals in the Pay Items drawer – as seen. Additional transitions can be done individually to other audited statuses

CONTRACT MODIFICATIONS DRAWER –
DRAWER STRUCTURE -

This is the location of contract modifications that were created in FieldManager and submitted to this drawer to be signed.

Document is submitted by the RCE Office Staff

When the cont mod is initially submitted, the contractor will be notified of such so they can sign if they have their real time or summary notifications turned on for this drawer and have their notifications set accordingly.

With each additional signature, a notification is automatically sent to those who can transition the document in this drawer – again if they have their notifications set

Once the last required signature (DCE) or the last optional signature (Central Construction or FHWA) is obtained, they will be asked if they would like to mark the cont mod Completed. If no more signatures need to be obtained, they should answer "yes" and the contract modification will be changed to Completed. If more signatures are required, they should NOT mark it Completed and notifications will be sent as usual.

When the status is Completed in Doc Express, the cont mod should be approved in the FieldManager program

The cont mods remain in the Contract Modification drawer along with the log of activity and signatures.

Whether viewing or printing the cont mod, a Signature History page that displays, among other things, everyone who signed and when they signed is permanently attached to the document.

SUBMITTALS & TRANSITIONS

Contract modifications are created in the FieldManager program but instead of printing a hard copy and sending to the contractor for signature, they are printed to a pdf file and submitted by the RCE Staff to the Contract Modification drawer in Doc Express where the required signatures are obtained.

SUBMIT -
ONLY PDF files can be submitted to the Contract Modifications drawer. If any other type of file is submitted, you will receive an error message stating such. **(If a number is used in the title, it should be 2 digits and if a date is in the title, it should be 6 digits. The suggested naming convention for contract modifications is CMxx, with CM for Contract Modification and xx representing the number of the cont mod. Other naming conventions are in Appendix A.)**

You can add Supporting Documents (additional information for the submittal) if desired and/or a comment either at the time of the submittal or at any transition. Neither is required.

No signature is required when the cont mod is initially submitted to the drawer. The contractor will receive a notification when a cont mod is initially submitted since the first required signature is the prime contractor.   After the prime signs, others with access to the drawer will receive the notifications that signatures are needed or have been obtained.
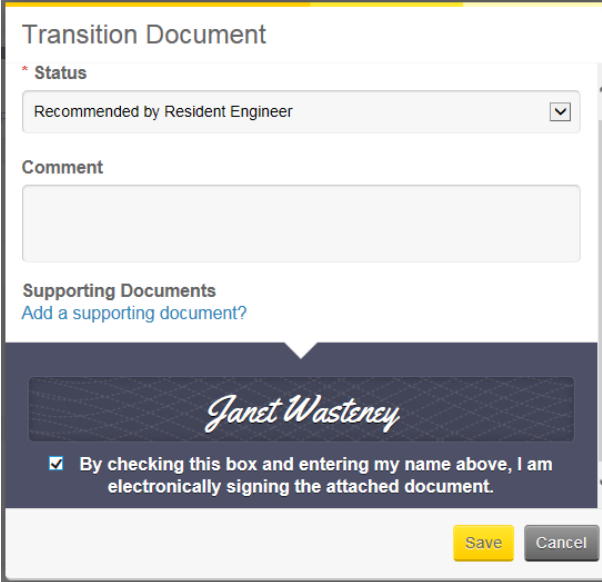
All screens following the initial submittal (shown above) are different from most of the other drawers due to both the required written signature and the checkmark when the user signs the document during each transition after the initial submittal. The Signature
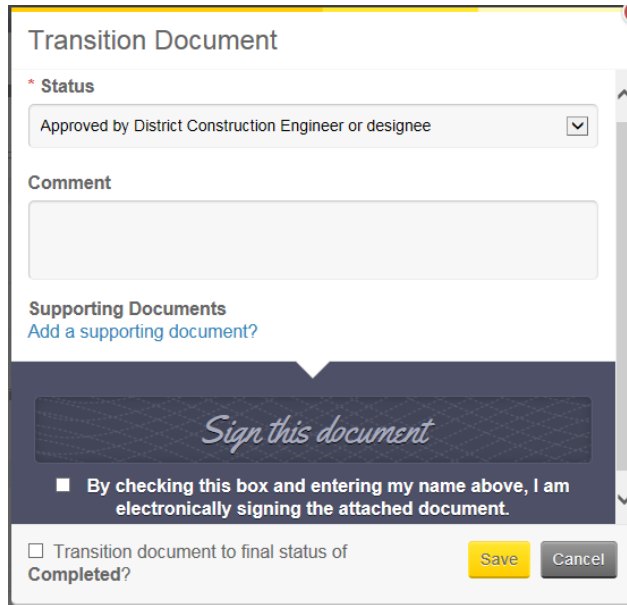
History page which contains all signatures obtained for the cont mod become part of the document when both viewed and printed.

Shown below is the screen displayed after the contractor has signed and the RCE is approving which is prior to the last <u>required</u> signature. Because there is a specific order to which the cont mods must be signed (the contractor MUST be first), the RCE does not have the option to sign until after the cont mod has been signed by the contractor.

In all transitions, the name that is typed in as the signature MUST match EXACTLY the name of the user logged into the program at that time. In the case above, if I had entered, for example, Jan Wasteney or janet wasteney, neither would have been accepted since neither matched exactly the name of the user as per my log in name. The login and signature are case sensitive.
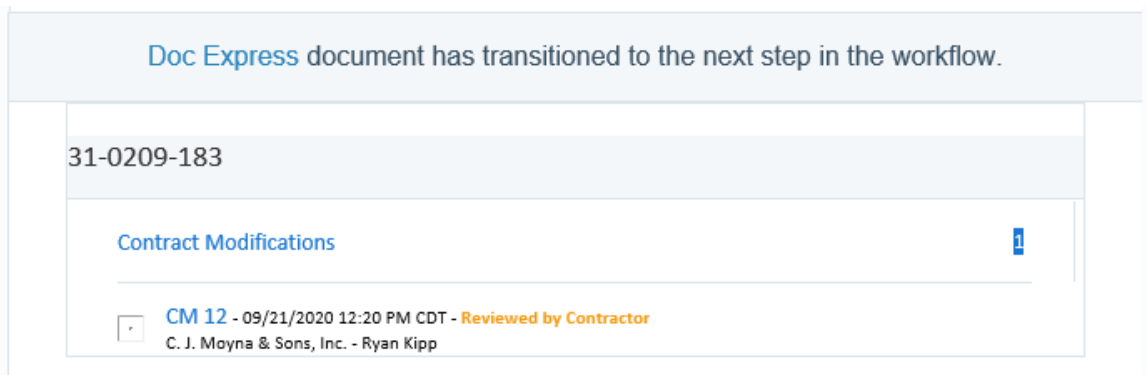
When the last <u>required</u> signature is obtained as in the previous graphic, the user is asked if the contract modification should be marked Completed. If it should be transitioned to Completed, they should put a checkmark in that box and the status will automatically change to Completed. When the document is marked Completed, no more signatures are allowed and a notification is sent stating the submittal has been completed. If it should not be marked Completed, the notifications are sent as usual and transitions (signatures) should continue to be obtained.
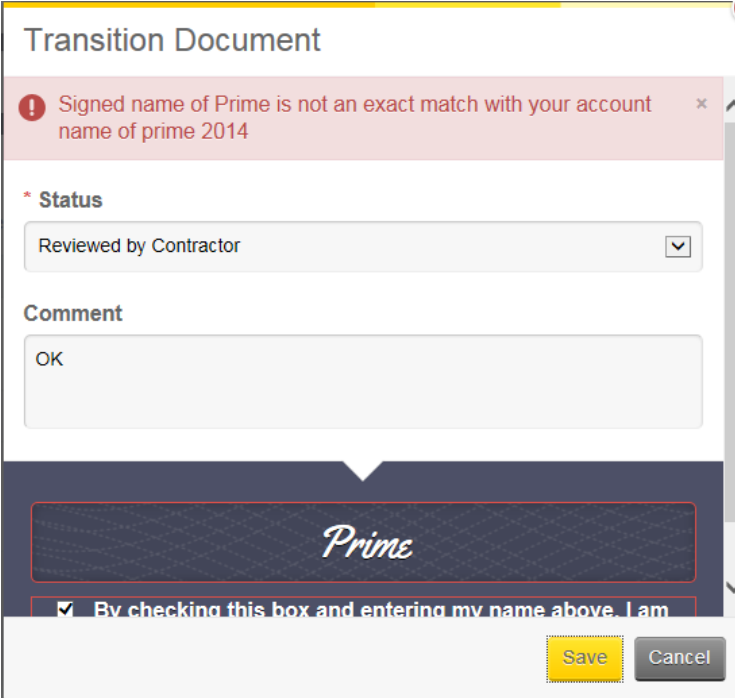
After each <u>optional</u> signature (Central Construction and/or FHWA) is obtained, the user is asked if the status should be changed to Completed. If "yes" (they put a checkmark in the box), the status will automatically change to Completed and no more signatures are allowed. In either case, notifications are sent.

When the cont mod is marked Completed, it is considered approved and should be marked as such in the FieldManager program.

Notifications are sent unless the user has opted out of receiving them. Below is a sample notification alerting the user that a signature is needed.

In the notification sample above, the prime contractor signed the cont mod and it is now the RCE's responsibility to look over the cont mod and then enter their signature. By clicking on the CM 12 link, they will be taken directly to that specific contract modification. Once the RCE signs, a notification is sent to others needing to sign the cont mod.   Remember, if a name is entered incorrectly in the signature field as displayed below, a message similar to the following will be displayed. To correct, in the signature field simply enter the correct name as shown in the message.

As previously stated, the transition options are totally dependent on the workflow – the order of who signs the document. The following graphic shows the transition options available for the contractor. Previously (Page 34) there was a graphic where the RCE chose to sign. The other option they had was Rejected.

Notice the Supporting Documents field. A file can be "attached" to the contract modification at any time during the signing process. This file will remain in Doc Express as a permanent part of the contract modification. **All users with access to the drawer can see all Supporting Documents**. Comments are optional.

If the contractor selects Rejected, everyone, unless they have opted out of the notification, will receive notice that the cont mod has been rejected. Even though comments are optional, they are very highly recommended when the Rejected option is selected.

Similarly to other drawers, you, as a DOT user, do have the option to change the title of the submittal if it's incorrect or to add/change the due date. To do so, click on the word "update" just to the right of the type and make the appropriate title change in the update screen (shown below).

As stated previously, the options when clicking the Transition button are totally dependent on the person's role that is making that transition.

The DCE is the last <u>required</u> person to sign. If no other signatures are needed for the cont mod, they should put a checkmark in the "Transition document to final status of Completed?" when they sign.

If you are the <u>last optional signature</u> (Central Construction or FHWA) to sign the cont mod, be sure that you put a checkmark in the "Transition document to final status of Completed?" when you sign.

The above step is very important so users will receive notification that the cont mod has a status of Completed which means it can and should be marked as Approved in the FieldManager program.

The expanded log of activity for the cont mod is easily accessible by clicking the down arrow on the right side of the screen, directly across from the submittal. Every transition, including the date, time, person responsibility, and more will be listed. To see only the most recent transition, click the arrow again and the list will be collapsed. Following is an expanded list for a cont mod that has been signed by everyone but not yet marked completed.

Nov 24 2014	12:19 PM EST **Reviewed By Fhwa** **reviewer1** - Reviewer1 2014
Nov 24 2014	12:18 PM EST **Reviewed By Central Office** **Iowa DOT** - Test Central
Nov 24 2014	12:15 PM EST **Reviewed By District Construction Engineer** **Iowa DOT** - Test dce
Nov 24 2014	12:05 PM EST **Reviewed By Resident Engineer** **Iowa DOT** - Tester RCE
Nov 24 2014	12:01 PM EST **Reviewed By Contractor** **prime** - prime 2014
Nov 24 2014	11:53 AM EST **Submitted** ↓ Download version 1 **Iowa DOT** - Jennifer Strunk

When viewing and/or printing the document, the signature history page is included. The Doc Express Document Signing History page automatically becomes part of the cont mod once the first signature has been obtained in Doc Express. As signatures are obtained, the names and dates are added to the appropriate level. A sample of a signature page is below.

REMEMBER - When the cont mod is marked Completed in Doc Express, the status of that same cont mod should be changed to Approved in the FieldManager program.

Doc Express Document Signing History
Contract: August Letting Document: CO #01

Date	Electronically Signed By
12/02/2014	prime 2014 prime (Reviewed by Contractor)
12/02/2014	Tester RCE Iowa DOT (Reviewed by Resident Engineer)
12/02/2014	Test dce Iowa DOT (Reviewed by District Construction Engineer)
12/02/2014	Test Central Iowa DOT (Reviewed by Central Office)
12/02/2014	Reviewer1 2014 reviewer1 (Reviewed by FHWA)

PAYROLLS DRAWER –
DRAWER STRUCTURE -
Holds payroll documentation required on Federal Aid projects

A DOT user submits the wage rate to this drawer

Payrolls in this drawer are submitted only by the Prime Contractor

Submittals are made to the appropriate type, with the prime and each subcontractor having a type in this drawer

Prior to changing the status to Received, the RCE Office Staff enters a remark in the Comments field noting that the payroll has been checked

The Receive process is done by the RCE Office Staff

If there is not a type for a specific subcontractor, contact Janet or Jen to have a type added for them.

SUBMITTALS & TRANSITIONS
Subcontractors send their payrolls to the prime contractors as they have always done. The prime checks them, signs them, and then submits them to Doc Express. Only the prime contractor is to submit payrolls to the Payrolls drawer. Payrolls are submitted to the appropriate type – with each type being the name of a subcontractor or supplier. (If there is no type for a contractor, contact Janet or Jen to add one for them) It is the

responsibility of the assigned DOT users to spot check and Receive the payrolls submitted to this drawer.

If a payroll is incorrect for whatever reason, you should reject it so the submitter can re-submit it correctly as a revised submittal. If you reject, everyone, unless they have opted out of the notification option, with access to this drawer will be notified by e-mail that it was rejected.

As per the Construction Manual, "It's important to review the first 3-4 payrolls received from contractors and subcontractors carefully to be sure information is complete and accurate. Once it is apparent that wage rates used are appropriate, it is not necessary to check each line of each payroll. However, occasional spot checks should continue to be made, paying particular attention to new crafts listed."

Since not every payroll needs to be checked, in the Comment field there should be a comment made stating they were checked and by whom for each payroll checked. This can be done at the time the status is changed to Received. It can also be done by either clicking on the word "comment" and adding a comment or by clicking on Update and adding a comment there. Any method will give the same result.

It must be obvious when looking at the submittals which payrolls were checked and which were not. Notice in the first payroll submission below – the "cked by Janet" comment is just below the time and status of the submittal so it's easy to see that it has been checked . No such comment was made in the other payroll displayed so it is assumed that it was not checked.

Even though the prime contractor submits all the payrolls to this drawer, you as a DOT user do have some options to change some parts of documents until they have a Received status.
For instance - -
　　**　　 If the document was submitted to the wrong type (in this case a different contractor) in the drawer, you can move it to the appropriate type IN THE SAME DRAWER.
　　**　　 If the title of the document is incorrect and should be changed, you can change it

** If the due date should be changed, you can change it (we don't normally use the due date field)

To do any of the above, click on the word "update" just to the right of the type and make the appropriate changes.

Receive/Reject -

Prior to selecting the transition, you should open the document by clicking on its title and view it to be sure it is correct. When you select Received, you are stating that you have looked at it and the submittal is correct and in the appropriate type.   All is good!

If you look at the submittal and it is not correct, you should reject it and have the submitter re-submit it correctly, "overwriting" the original submittal. The week ending date and/or payroll number will be the same since they will simply be overwriting the original. They (or you) should enter "revised" or "corrected" in the comments.   As stated previously, if you reject, everyone, unless they have opted out of the notification option, with access to this drawer will be notified by e-mail that it was rejected.

If you accidentally Receive a submittal that was wrong, you have the option to Revert Transition which can be found under the word Actions. Then contact the contractor to resubmit it correctly over the original submittal.

You may also attach Supporting Documents to the payroll by clicking on the "Add a supporting document?" then using the Browse button to locate the document before saving.

Once you select either Received or Rejected and then click Save in the above graphic, the screen reverts to the list of all the other submittals made to date in the Payrolls drawer.

WORKING DRAWER –
DRAWER STRUCTURE -

    Allows documents to be submitted, reviewed, modified, and re-submitted
    PDF documents should not be submitted to this drawer since they can't be edited
    Anyone can submit documents and begin the review process
    Changing the submittal to Completed is done only by a DOT user
    The Completed document is published (moved) to a drawer and type only by a DOT user where the document will have an initial status of Submitted.
    The final iteration of the "Submitted" document just published should be Received by a DOT user.
    All iterations of the original document and the log of activity remain in the Working drawer with a status of Published

SUBMITTALS & TRANSITIONS

The intent of this drawer is for documents that may be submitted, updated, re-submitted, changed again, re-submitted, etc. until the final iteration is obtained. At that point, the final document is published by a DOT user to a specific drawer and type where it will initially have a status of Submitted.   The same or a different DOT user will change the status in the new location to Received and the submittal will remain in that location for the life of the contract. All iterations of the document remain in the Working drawer.

SUBMIT -

Anyone can submit a document to this drawer and any user can update the document and re-submit it. A log of every transition is maintained along with the date/time/user name, etc

The original submittal screen (shown below) is similar to others but there is no type field since there are no types for this drawer. **(If a number is used in the title, it should be 2 digits and if a date is in the title, it should be 6 digits. Suggested naming conventions for documents submitted to this and other drawers are in Appendix A.)** Notice there is an option to add Supporting Documents (additional notes, documents, etc.) for the submittal as well as make comments.

The document shown below was submitted by the prime then changed a bit and resubmitted by Janet. Notice it still has a status of Draft. Janet or anyone else can still make additional changes to the document and then Resubmit it or, if the final iteration has been determined, a DOT user can publish the document (meaning to save it to a final location – drawer and folder) where it will have a status of Submitted and can then be changed to Received. Once published, the document will have a status of Published in the Working drawer.

Assuming they haven't opted out of receiving the notifications, others with access to this drawer will receive notification when a submittal has been made. Anyone with access to the drawer can copy the submittal to their hard drive, make changes, and re-submit it to this same location in Doc Express. **The revised document should be RESUBMITTED "over" the original submittal and not submitted as a new document.** Even though the document itself may be changed, the title of the submittal should remain the same unless it's changed through the update process.

There is an option for this workflow step to mark up right within the program. Do so by opening the document then clicking Edit. Select the markup tool from the markup toolbar on the left. When finished, click Save. **BEWARE** – once you markup the document in Doc Express , that overwrites the original iteration – it does not save as a new version of that document. This does not keep a history of any and/or all changes made to the document.

Unlike several of the other drawers, if you click **Update** (just to the right of the document's title) the only option you have is to change the title of the submittal and due date.

Update

* Title

(304) HMA Plant Report 01

Due date

Save   Cancel

That title should remain for all iterations of the submittals and also when the document is published to its final location in the appropriate drawer and type.

If the document was rejected, after making the changes/updates as needed to that copy, save it, and then click the Resubmit document option for that updated submittal in Doc Express to get a screen like the one following. Browse to the appropriate location of the updated document and enter a comment if you wish.

Resubmit Document

*Attachment

Browse...

Enter text instead of attaching a document?

Comment

Save   Cancel

Click the Save button and this updated document will become the top submittal shown in the log.   The log for the submittal will include all documents submitted as well as the date/time/user details.

Notice in the following graphic that the document shown was submitted and revised multiple times.

STRUC FM RPT 01 STANDARD RM
Standard Ready Mix

`Published`
Archive

4 Add a new comment

May
14
2015
02:11 PM CDT **Published**
Iowa DOT - Jeff Marienau

May
14
2015
02:10 PM CDT **Draft**
↓ STRUC FM RPT 01 STANDARD RM (current version)
Iowa DOT - Jeff Marienau

May
14
2015
02:08 PM CDT **Title Changed From Report #1 Struct (Fm) Standard (Sioux City) To Struc Fm Rpt 01 Standard Rm**
Iowa DOT - Jeff Marienau

May
11
2015
01:35 PM CDT **Draft**
↓ STRUC FM RPT 01 STANDARD RM (version 1)
Please let me know if anything is wrong. Thank you.
Standard Ready Mix - Gene Muston

Once the document's final iteration has been determined, a DOT user should Publish the document to the chosen drawer and type where it will automatically have a status of Submitted. A DOT user should then transition the status in that new location to Received. The final iteration of the submittal will remain in this drawer/type for the life of the contract. All iterations as well as the log of activity will remain in the Working drawer.

Only DOT users are allowed to **Publish** the document.   To do so, click Publish document and then select the drawer

Move (304) HMA Plant Report 01

* Drawer

Contract Documents
Pay Items
Payrolls
Plans
Shop Drawings
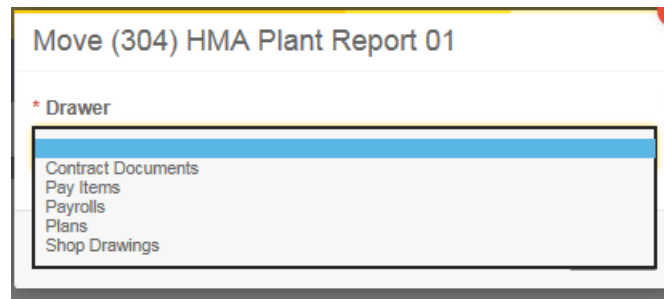
Once the drawer has been selected, then select the appropriate type (see below) within the drawer and make a comment if desired before signing by putting a checkmark in the signature line and then clicking the Save button.

Upon saving to the new location, the document's status in the Working drawer automatically changes from Draft to Published (see example below).

Also upon saving, the document is located in the new drawer and type selected (see below) where it now has a status of Submitted. As stated previously, a DOT user should Receive the submittal in the new drawer/type.

.

SHOP DRAWINGS DRAWER –
DRAWER STRUCTURE -
Allows shop drawings to be submitted, reviewed, modified, and re-submitted
Usually the prime or the subcontractor submits documents to begin the review process
Use the naming convention for submittals as described on Page 61 & 62

Only DOT personnel (or a user acting on behalf of the DOT) can transition the status to anything other than Submitted

If a shop drawing needs to be re-submitted, it is done by clicking the Re-Submit button so the corrected version of it "overwrites" the previous submittal. **Do NOT submit the corrected document as a new submittal.**

Each time the submittal's status changes or it is re-submitted, a notification is automatically sent to those with access to that drawer so they know the document is ready to be reviewed and/or transitioned.

A notification is NOT sent if just a comment and/or a supporting document is added

The final shop drawing submittal and all previous iterations of that document remain in the Shop Drawings drawer along with a log of all transitions.

Unlike the Pay Items drawer, there is only 1 Audited status – expected to be used only by materials.

There is no RFI option – those are to be handled through regular e-mail

SUBMITTALS & TRANSITIONS
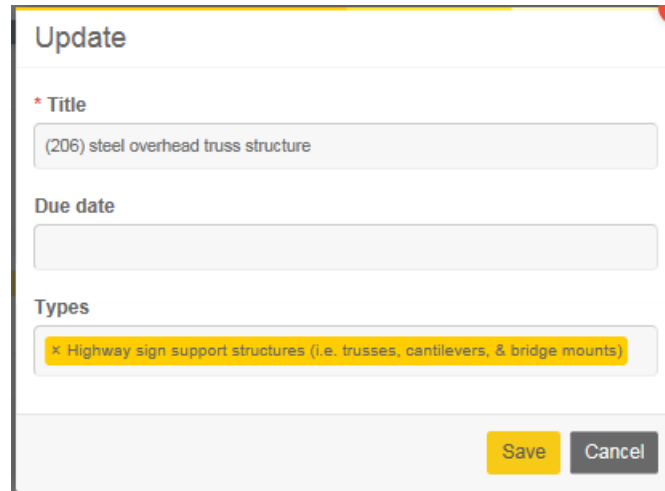
SUBMIT -
Either the prime or an associate (subcontractor or supplier) can submit drawings to this drawer. DOT users do not normally submit the initial shop drawing although they can if needed.

The project number(s) of the contract will be the first listed in the types. **The submitter is to select BOTH the appropriate project AND the appropriate type for the drawing**.

The naming convention to be used by the contractor for a submittal to the Shop Drawings drawer is as follows – the county name and design number (if applicable) followed by a description of the submittal.

(If a number is used in the title, it should be 2 digits and if a date is in the title, it should be 6 digits. Suggested naming conventions for documents submitted to this and other drawers are in Appendix A.)

Although we don't usually use due dates, a DOT user or user acting on behalf of the DOT has the option to enter a due date at any time if they desire. To do so, click on Update and the following screen will be displayed where you can enter or change the due date. You can also change the title and/or the type the submittal is linked to.

There is not a "Completed" step in the workflow for this drawer

As in all other drawers, only the original submitter has the option to Remove the document.

Unless they have opted out of receiving them, a notification is sent to those who have access to the Shop Drawing drawer as soon as a submittal has been saved. Whoever should review the drawing submitted by the contractor can open it for review by clicking on the title or the (current version).

Any RFIs must be handled through the regular e-mail system. There is not a location for them in the Shop Drawings drawer.

Transitioning the Shop Drawing -
To transition (approve, reject, etc), click the word Transition and select the appropriate status. If changes should be made, the reviewer has the option to click on the title, save the document to a location of their choice, "mark up" the submittal and then click on "Add a supporting document" (which would be the marked up copy created in the preceding step). Enter a comment if desired and then click Save.   There is no limit as to the number of submittals and transitions that can be done for any given drawing.

The responsible party must coordinate with others as necessary outside of Doc Express for RFIs.

Clicking on the title displays the latest version The title does NOT display any Supporting Document(s) that have been submitted. To see them, click on supporting documents under the title.

Transition Document

*Status

- Review Not Required
- No Exceptions Taken
- Make Corrections Noted - No Resubmittal Necessary
- Audited
- Amend and Resubmit
- Rejected - See Remarks

Supporting Documents
Add a supporting document?

[Save] [Cancel]

If the original submittal was correct, that submittal could simply be transitioned to No Exceptions Taken or Review Not Required. If the original was not correct and it was re-submitted once or many times, when the final iteration of the shop drawing is determined, the submittal should be transitioned to a status of either No Exceptions Taken or Make Correction noted – No Resubmittal Necessary.

If you select **"Revise and Resubmit",** the submittal process begins again with the original submitter downloading the marked up document or reviewing the comments, making the corrections on their drawing, and then resubmitting. **It should NOT be submitted as a new document but should "overwrite" the previous version by clicking the resubmittal option.** The person responsible for approving the drawing opens the corrected submittal and determines the status just as they did with the original submittal.

There is an option now for this drawer and the **Make Corrections Noted** work flow step to mark up right within the program and to allow replacement. Do so by opening the document then clicking Edit. Select the markup tool from the markup toolbar on the left. When finished, click Save. **BEWARE** – <u>once you markup the document in Doc Express , that overwrites the original iteration – it does not save as a new version of that document. This does not keep a history of any and/or all changes made to the document.</u>

If you select "**Rejected**", you should explain in the Comment field before saving so other users with access to this drawer will know why the document was rejected. Each user with access to the contract and drawer and who has the Rejected Notification turned "on" will receive an e-mail.

FYI - transitioning a document creates a notification but just making a comment without transitioning does not create a notification.

All iterations of the drawing will remain in the Shop Drawings drawer for the life of the contract. *HOWEVER, as stated above, remember that if the document is marked up within the Doc Express program rather than copying it and then resubmitting it, that marked up copy will overwrite, not add a new version.* After the final iteration of the

document has been determined, a materials user will transition the document to Audited. There is only 1 audited status in this drawer and they are the only ones who should transition to that status.

SIGNATURE DRAWER –
DRAWER STRUCTURE -

Normally a DOT user submits the document to be signed although there are a few cases where another user can also submit

Only PDF forms are allowed to be submitted to this drawer

Who signs is dependent on the form to be signed. Some forms require only one signature and others require multiple signatures

If a contractor signs a form but didn't need to, they can revert their signature or it can remain there. Either way is OK. Do not reject it simply because it has an extra signature.

Unlike the contract modification drawer, there is no specific order in which signatures must be obtained.

The signed form remains in this drawer for the life of the contract

IF YOU DIDN'T SIGN THE FORM WHEN IT WAS PAPER, DO NOT SIGN IT HERE!

SUBMITTALS & TRANSITIONS -

The Signature drawer contains several types with each type listed in the drawer being a form that may require 1 or multiple signatures. These forms should no longer be printed and signed by a wet signature. The electronic signature in Doc Express is accepted when the completed form is saved as a pdf file, submitted to the Signature drawer in Doc Express, and signed there. If you wish to see all the types in this drawer, click the Submit Documents button and put your cursor in the Types field and scroll down. The types are also listed in Appendix B of this guide.

Click on the Signatures drawer. A list of all previously submitted documents are displayed with, by default, the most recently updated being at the top of the list. The order of the list can be changed by opening the filter section (clicking the horizontal lines below the search field) and changing that field.

SUBMIT –

Click the Submit Document button and enter the appropriate information in the title field. **(If a number is used in the title, it should be 2 digits and if a date is in the title, it should be 6 digits. Suggested naming conventions for documents submitted to this and other drawers are in Appendix A.)** Select the appropriate type by putting the cursor in that field and scrolling down until you find the correct one and then clicking on it.

Browse to the form requiring the signature(s), and enter a comment in that field, if desired, then Save. You as the submitter have the option to Remove the submittal up until someone comments or signs or a supporting document is added.

If you are the first who should sign the document, click Transition and select the appropriate status and then sign your name, check the signature box, then Save. If a contractor signs a document that doesn't require their signature, no worries.   Their signature can remain or you can contact them to Revert Transition which will remove their signature. Their signature and removal of it will become part of the log. **It is definitely NOT necessary and is NOT recommended to reject the document simply because it has an extra signature that is not required on that form**.

If additional documentation should be attached to this document, click on "Add a supporting document?, " browse to that location and then Save.

Since the required number of signatures is dependent on the form, the transition displays every signature possible needed for all the forms in the drawer. **ONLY the**

individuals who would sign the form if it were in hard copy should sign the form in Doc Express.

Since the required number of signatures varies, the signature history page will not have every signature line populated when the form has been fully signed. **The last user to sign should mark the document Completed. That Completed transition will be displayed in the log but NOT in the signing history.**

Doc Express Document Signing History
Contract: NHSN-000-S(673)--2E-00 Document: Weekly Report #4

This document is in the process of being electronically signed by all required signatories using the Doc Express service. Following are the signatures that have occurred so far.

Date	Electronically Signed By
02/03/2015	Scott Nixon Iowa DOT (Signed by Resident Engineer or designee)
	(Signed by Contractor)
	(Signed by District Construction Engineer or designee)
	(Signed by District Materials Engineer or designee)

Even after all required signatures are obtained, the form remains in the Signatures drawer throughout the life of the contract. Although it is very nice and helpful to have each document transitioned to Completed when all signatures are obtained, it is not a requirement in this drawer.

WDR 18 w/e 07/02/16 Weekly Report of Working Days update   Signed by Resident Engineer or designee
Iowa DOT   Transition Actions ▾

0 comments 0 supporting documents   ▼

Jul   10:35 AM CDT **Signed By Resident Engineer Or Designee**
12   *Document transitioned from Submitted to Signed by Resident Engineer or designee.*
2016   Iowa DOT - Danielle Mulholland

Concrete Placement for Pier Columns Noncompliance Notice (Form 830245) update   Signed by Resident Engineer or designee
Iowa DOT   Transition Actions ▾

0 comments 0 supporting documents   ▼

Jul   08:04 AM CDT **Signed By Resident Engineer Or Designee**
12   *Document transitioned from Submitted to Signed by Resident Engineer or designee.*
2016   Iowa DOT - Jared Laermans

WDR 17 w/e 06/25/16 Weekly Report of Working Days update   Signed by Resident Engineer or designee
Iowa DOT   Transition Actions ▾

0 comments 0 supporting documents   ▼

PLANS DRAWER –
DRAWER STRUCTURE -
The RCE Office is responsible to submit the "As Advertised" set of plans to this drawer

If there are changes in the "As Advertised" set of plans, the RCE Office is to update this drawer

SUBMITTALS & TRANSITIONS
This drawer is a staging drawer (similar to the Working drawer) intended for documents (project plans) to be submitted, updated, etc. until the project work is done.

Although only DOT users submit to and update this drawer, the intent of this drawer is that all users have access to the As Advertised set of plans and, if plan sheets are updated, they can be submitted to this drawer as well.
**Once the project work is complete, the final set of plans should be Published to the Contract Documents drawer, Project Plans – FINAL SET type.** All iterations of the plans remain in the Plans drawer.

SUBMIT –
Only DOT organization users can submit to the Plans drawer. It is also the only organization that can transition a submittal. A log of every transition, including date/time/user name, etc. is maintained. **Every user and organization should have access to this drawer so everyone has access to the As Advertised set of plans**.

The "**As Advertised**" set of plans is to be **submitted** to the Plans drawer as soon as possible **by the RCE Office** but at a minimum of 2 weeks prior to the letting date. They should enter the project number in the title and then in the comments enter **"As Advertised". (**Other pre-contract details such as proposal, etc. are to be submitted by the RCE Office but to the appropriate type in the Contract Documents drawer instead of the Plans drawer.)

The RCE Office is to be notified of any revisions to the plans.   Once notified, the **RCE Office** should resubmit the updated set of plans or plan sheets. They should enter a comment to describe the new submittal. If everyone has the notification option turned "on" for the Plans drawer, each time the plans are updated, they will be notified.

When the contract work is finished, the most current set of plans is to be Published by a DOT user.   The published location is the Contract Documents > Project Plans – FINAL SET type where the plans will remain a permanent part of the contract records.

To publish -
 Open the Plans drawer and click Publish
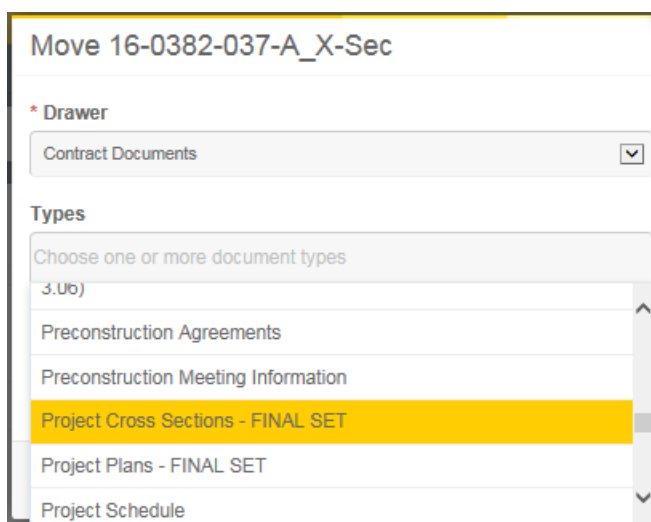
The most current set of plans should be published by the RCE Office to the Contract Documents drawer > Project Plans – FINAL SET type. **The Xsections should be published by the RCE Office to the Contract Documents drawer > Project Cross Sections – FINAL SET**

The Developmental Specs and the Special Provisions should be initially submitted to their respective type in the Contract Documents drawer.   They will not be published as are the documents in the Plans drawer since they are already in their final location.

CONTRACT SIGNING DRAWER –
DRAWER STRUCTURE –
 The Office of Contracts will submit all documents to this drawer and will transition as needed. Only the prime contractor, FHWA, ERMS, the Contract-Signing group and DOT users have access to this drawer.
 Signing the contract and verifying the performance bond is done within this drawer. If applicable, signing the storm water co-permittee by the prime is also done

within this drawer.   (Storm water documents for subcontractors are saved in the Contract Documents drawer)

DOT users will continue to be alerted when a contract is signed by the Award Letter sent by the Office of Contracts. Janet will also send an e-mail stating that the contract has been signed and the final setup of the contract has been done in Doc Express.

NOTHING is to be signed, verified, or transitioned in this drawer by anyone other than certain members of the Office of Contracts and the prime contractor.

Once the contract has been signed by all parties, **no one** other than the Office of Contracts can submit any documents to this drawer**.**

SUBMITTALS & TRANSITIONS –

Except for a limited group of users from the Office of Contracts, no one else from the DOT is to submit any documents to this drawer. No signature is required when the contract and, if applicable, the storm water co-permittee statement is submitted. The contractor will receive a notification when the contract is initially submitted. The prime contractor must first verify the performance bond before they can sign the contract and also, if applicable, the storm water co-permittee statement.

Once the contractor has verified and signed, then it's time for the Office of Contracts to check submittals and signatures before they sign.

Once the Office of Contracts transitions the contract to Completed, then there can be communication between the contractor and the RCE Office. Also following the Completed status, Janet or Jen will init the contract for the administering RCE Office to import into the FieldManager program so they can make the initial mobilization payment if required.

EXPORTING DATA –

After opening the contract (as seen below), click on the Actions button and you will have 2 options – Export and Export Log.

Each option is different and each takes a different amount of time to complete. Export can take several minutes but Export – Log happens very quickly. We'll look at each –

Click on Export

Immediately a note (similar to the one following) will be displayed stating that you will receive an e-mail with a link to download when the export is done. The e-mail will have a link to the location of the download of data – similar to the one shown below.

Requested Doc Express Export for Contract 00-0002-747

DE   Doc Express <notifications@docexpress.com>(Doc Express via amazonses.com)   ↩ Reply   ↩ Reply All
   To ● Wasteney, Janet

ⓘ The actual sender of this message is different than the normal sender. Click here to learn more.
    Click here to download pictures. To help protect your privacy, Outlook prevented automatic download of some pictures in this message.

      ☒ Right-click or tap and hold
         here to download picture...

Doc Express export is ready.

The export requested at 09/20/2020 08:11 PM CDT is ready for download.

Download Export of 00-0002-747

   ☒ Right-click or
      tap and hel
                                       Infotech, Inc.
                                           2970 SW 50 Terrace
                                          Gainesville, FL 32608

Click on the link and a zip file will be created with the contract ID being the title of the zip file

DRAWERS

Shop Drawing   Open

🔒   Signature   Always open files of this type

TEMPLATE ACCESS   Working   Show in folder

                           Cancel
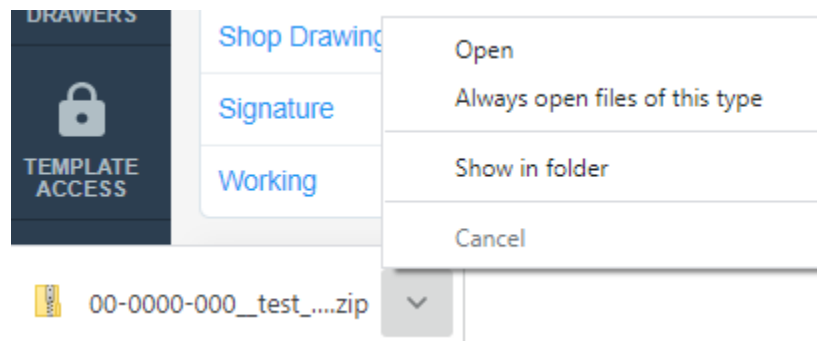
🗜 00-0000-000_test_....zip   ⌄

Open the zip file to see the contents.

📁 drawers	File folder	
🌐 00-0000-000 test contract.html	Chrome HTML Document	2 KB
📄 contract.json	JSON File	3 KB

Double click on the drawers folder. All drawers associated to this contract are included in this export and are displayed separately. (see the following graphic)
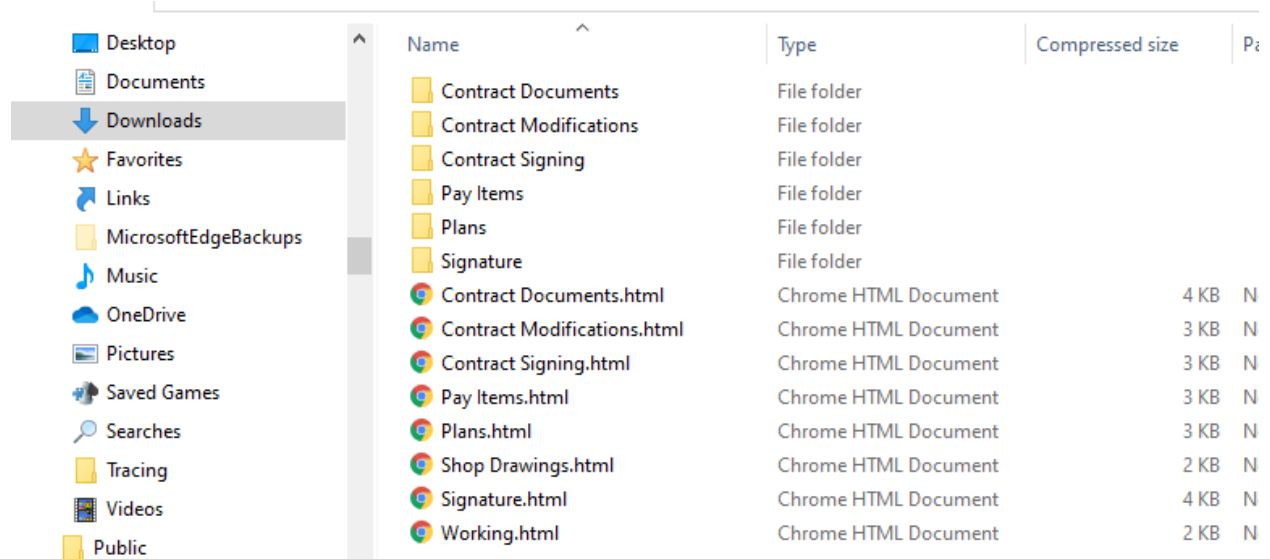
By double clicking on one of the file folder drawers, that drawer's documents if any, are listed. For instance, when I double clicked on the Pay Items file folder, a list of all documents that had been submitted are displayed as well as a file folder, if applicable, that contains all supporting documents that had been submitted. To see the actual document in the example below, double click on that file name.
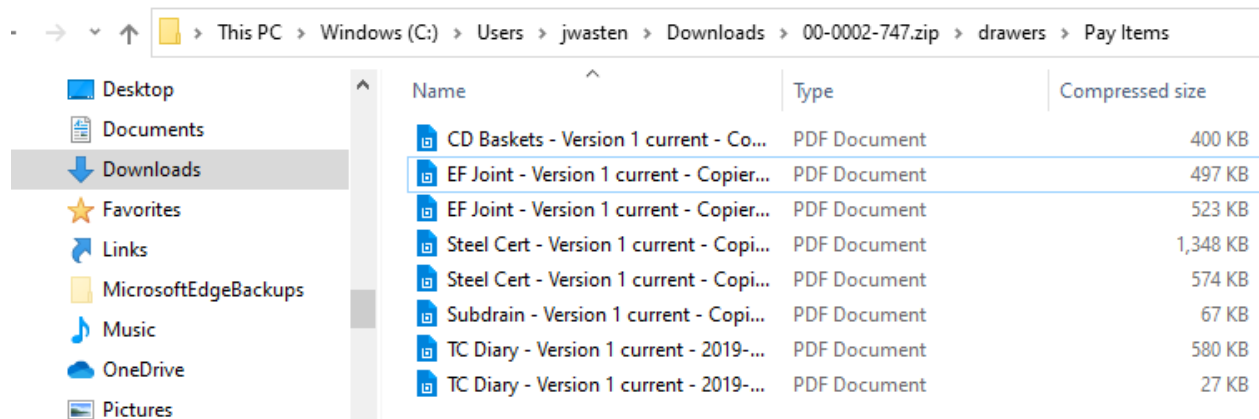
By clicking on an .html file, that drawer or contract's submittals are displayed just as they would be if you were in the actual program. See below for an example of the Pay Items drawer html file -

Pay Items

EF Joint 0130 JOINT, ASS'Y, EF   Received
Cedar Falls Construction
                                                                    ▼

Jun   02:57 PM UTC **Received**
19 Iowa DOT - Steve Snow
2020

Subdrain 0120 PATCH SUBDRAIN   Received
Cedar Falls Construction
                                                                    ▼

Jun   02:57 PM UTC **Received**
19 Iowa DOT - Steve Snow
2020

EF Joint 0130 JOINT, ASS'Y, EF   Received
Cedar Falls Construction

Now let's **click on Export – Log**.   Immediately an Excel file will be created which you can open.
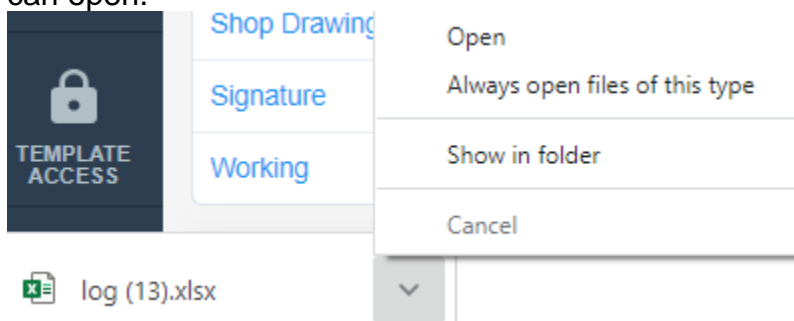
Once opened you will immediately see a spreadsheet with several tabs, each tab representing a drawer in the contract. Displayed in each tab is every submittal made to that drawer along with some details specific to each submittal.   (See following graphic)

Contract:	00-0002-747						
Drawer:	Contract Documents						
Description:	Mason City - MP-000-2(747)0--76-00 - PCC Patching						
Exported Date:	09/20/2020 08:24 PM CDT						

Title	Types	Submitted By	Submitted	Completed	Due Date	Status
07 Estimate	Construction Pay Estimate	Iowa DOT - Steve Snow	07/01/2020	07/01/2020		Received
06 Estimate Balance sheet	Construction Pay Estimate	Iowa DOT - Steve Snow	01/30/2020	01/30/2020		Received
05 Estimate Balance Sheet	Construction Pay Estimate	Iowa DOT - Jason Ruter	01/16/2020	01/16/2020		Received
04 Estimate Balance Sheet	Construction Pay Estimate	Iowa DOT - Jason Ruter	09/26/2019	09/26/2019		Received
03 Estimate Balance sheet	Construction Pay Estimate	Iowa DOT - Steve Snow	09/13/2019	09/13/2019		Received
02 Estimate Balance sheet	Construction Pay Estimate	Iowa DOT - Steve Snow	08/30/2019	08/30/2019		Received
precon sign-in sheet	Preconstruction Meeting Information	Iowa DOT - Val Wright	08/15/2019	08/15/2019		Received
preconstruction meeting mir	Meeting Minutes, Preconstruction Me	Iowa DOT - Val Wright	08/15/2019	08/15/2019		Received
01 Estimate Balance sheet	Construction Pay Estimate	Iowa DOT - Steve Snow	07/11/2019	07/11/2019		Received
contract	Contract	Iowa DOT - Val Wright	07/02/2019	07/02/2019		Received
SiteXchange Import Report	Subcontract Request and Authorizati	Iowa DOT - Val Wright	07/02/2019	07/02/2019		Received
subs	Subcontract Request and Authorizati	Iowa DOT - Val Wright	07/02/2019	07/02/2019		Received
estimating proposal	Proposal	Iowa DOT - Val Wright	07/01/2019	07/01/2019		Received
18JUN201.A01	Addendum	Iowa DOT - Val Wright	07/01/2019	07/01/2019		Received

Contract Documents | Contract Modifications | Contract Signing | Pay Items | Plans | Shop Dra ... ⊕

Because this is an Excel spreadsheet, you can manipulate the data easily so it can be viewed as you prefer.   If you want to save this spreadsheet, simply save and give it a name of your choice.   However, because this report is created so fast and the data is current as of the time you click Export – Log, there isn't probably a lot of need to keep the spreadsheet.

ARCHIVING (hiding) and REMOVING DOCUMENTS –

If you have placed a document in the wrong type and/or contract and can no longer remove it, if you contact either Janet or Jen, they can either archive (hide) or remove the document for you.   The result of archiving is that the document is removed from the "active" list but it is NOT deleted from the drawer itself. The downside to hiding a document instead of removing it is that hidden documents are included in files that are captured by ERMS at that end of the contract.

To view the documents that have been archived (hidden), open the filter by clicking on the 2 horizontal lines in the middle of the page and select Show Archived instead of Hide Archived.   Only those documents that have been archived in that drawer will be displayed.   To return to the regular list of documents, change the filter back to the default of Hide Archived.

For any documents that are removed, they are actually deleted from the program so are not i

ncluded in the files that are saved forever in ERMS.

ODDS & ENDS –

To return to a contract and/or previous drawer, follow the breadcrumbs. In the sample below, you are in the Payrolls drawer. You could click on the word Contracts or the

Contracts button to return to the list of contracts or you could click on 25-0803-175 just below the search field to return to the contract itself where you could continue to choose to work in other drawers in that contract.

***
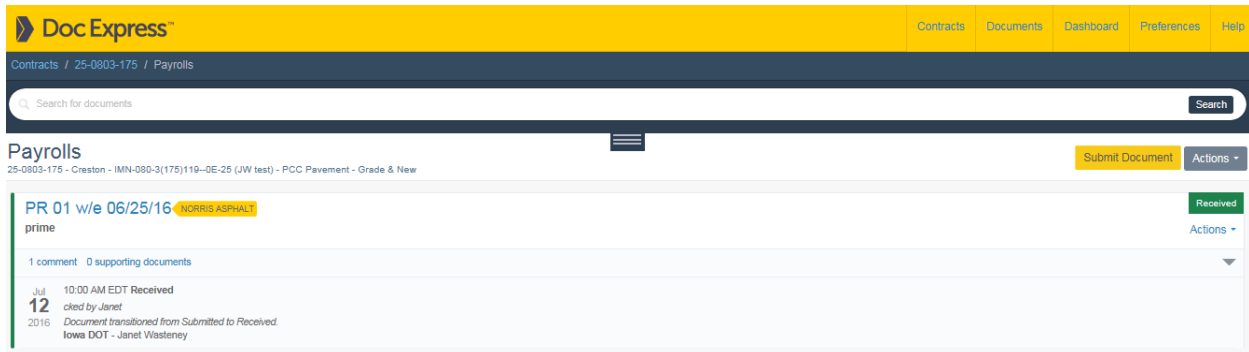
If a subcontractor is added after the contract was let, send the revised .CON file to Janet or Jen so they can be given access to the normal subcontractor drawers and also so a type can be added for them in the Payrolls drawer if that drawer is required for the contract.   The prime contractor can give subcontractors access to the contract and drawers but they can't add a type for them in the Payrolls drawer.

***

When new items are added by contract modification, send those items (proposal line number and item description only) to Janet or Jen so a type for each of them can be added in the Pay Items drawer.

***

If you don't see a contract and/or drawer for which you need to submit a document, contact either Janet or Jen so they can give you access.

APPENDIX A – SUGGESTED NAMING CONVENTIONS

After the drawer has been filtered for a specific type, consistent naming conventions help users sort documents in a certain order if they are entered consistently.   The letters in front of some of the titles are so when receiving a real time notification, you know what type (folder) that number or that week ending date is for.   Without the letters, you can't determine from the real time notification whether it's, for instance, a cont mod or an estimate or whatever.

The reasoning for using the titles as suggested (very highly suggested!!) are in red below each.

In General for All Drawers -
Title – if entering a date, use 6 digits e.g. 02/10/18   Saturday should be the ending date
Title – if entering a number, use 2 digits   e.g. 01
BE CONSISTENT in the title names

Contract Documents Drawer – (are normally submitted by a DOT user)
Title for Estimates
EST 01 - use EST followed by the number of the estimate
Estimates don't skip numbers but do skip weeks so using the estimate number makes it safer to determine if all estimates are there.

Pay Items Drawer – (submitted by either DOT or contractor or supplier)
Title for Traffic Control Diaries –
TC Jasper w/e 01/30/18   use TC for traffic control followed by the contractor's name followed by the week ending date (Saturday)
All of these submittals will be linked to the same type. This will sort first by contractor then by week ending date
Title for Materials Source Report –
Jasper Mtls Source Report   - contractor's name followed by Mtls Source Report
All of these submittals will be linked to the same type. This will sort first by contractor

Contract Modifications Drawer – (are submitted by a DOT user only)
Title for Cont Mods
CM 01   - use CM for cont mod followed by the 2 digit number of the cont mod
Since only cont mods are in this drawer, the sort should be correct by the cont mod number as long as 2 digits are used in the title and the title was consistent using CM preceding the number

Seems kinda' silly to put CM in front when all submittals in this drawer are cont mods – but when receiving a real time notification, the CM will alert the user that it's a cont mod, otherwise they wouldn't know if it's a cont mod or an estimate

Payrolls Drawer – (are submitted by the prime contractor only)
Title for Payrolls
PR 01 w/e 01/09/18   - use PR followed by the report number followed by the week ending date (Saturday)
No need to enter the contractor's name in the title since it's in the link

Signature Drawer – (usually submitted by a DOT user)
Title for Working Day Reports
WDR 00 w/e 01/09/18 - use WDR followed by the Site Number followed by the week ending date (Saturday) If there is only one site, can eliminate that in the title.
The Site Number is used because of so many contracts having multiple sites. The weekly report number is not used because if a weekly report had to be deleted due to a time adjustment, unless the user remembered to change the report number back (& many times I've seen that it was forgotten) to what it was originally, the reports will be sorted completely out of order.

Plans Drawer – (are submitted by a DOT user only)
Title is the Project Number
Do NOT put As Advertised in the title but rather put it in the Comments
If updates are available to the RCE, they should submit them to this drawer

Shop Drawings Drawer – (are normally submitted by the prime or sub)
Title is the county name and Design Number, if applicable, followed by the description of the submittal
Users are to select BOTH the project number AND the appropriate type(s) in the Types field for every submittal

Working Drawer –title for plant reports
   Title = PROJECT paren number (if a tied contract) followed by the contractor's name doing the work followed by the report number (using 2 digits) followed by date of report (use 6 digits) followed by the plant location
        FOR PCC PLANT REPORTS -
Example if a tied contract – (304) PCI 03 02/25/18 Atlantic
        Project paren number followed by contractor's name followed by report
        number followed by report date followed by plant location
                Example if only 1 project in the contract - PCI 03 02/25/18 Atlantic
Contractor's name followed by report number followed by report date followed
by plant location

        FOR HMA PLANT REPORTS -
                Example - (304) HMA Plant Report 01
Project paren number followed by HMA Plant Report followed by report
number

APPENDIX B - As of October, 2021
Contract Documents Drawer Types

Addendum
Agreements for Private Property Used by Contractor (Construction Manual 2.26)
Asbestos Abatement Report
Clean Water Act Section 404 Permit
Construction Pay Estimate
Contract
Correspondence
Crash Reports
DBE Commercially Useful Function Checklist (Form 517014)
DBE Commitment Report
Developmental Specifications
ECIP - Erosion Control Implementation Plan
EEO/Wage Site Inspection
Environmental Clearances
Environmental Review Certification Form
Final Highway Funding Sources
Final Paperwork - Cost Sharing Memorandum
Final Paperwork - Interest Payment Information (Form 830235)
Haul Road Designation
Iowa DNR Abandoned Water Well Plugging Form
Iowa DNR Floodplain Permit
Iowa DNR Notification of Completion of Construction (DNR Form 37)
Meeting Minutes
Night Work Plan and Approval
Notice to Proceed (Form 830237, CM 2.32)
Notice of Suspension or Resumption of Work (Form 810036, CM 3.06)
Preconstruction Agreements
Preconstruction Meeting Information
Project Cross Sections - FINAL SET
Project Plans - FINAL SET
Project Schedule
Proposal
Registration of Minor, Nonrecurring Use of Water (DNR Form 20, CM 2.14)
Right of Way Certificate
RR Agreement
RR Data Sheet
Special Provisions
Storm Water Co-Permittee Certification Statement
Storm Water Notice of Discontinuation
Storm Water Permit
Subcontract Request and Authorization
Supplemental Specifications
Utility Bid Attachments

Pay Items Drawer Types

Amended PPP Site Map
Central Materials Input
Contract Modification Item Certs
District Materials Input
Materials Acceptance Report
Materials Source Report
Technician Certifications
    following these 7 types will be listed all contract items and then groupings, if needed

Pay Items Drawer Groupings

PCC Paving – Mix Design
PCC Paving – Contractor Quality Control Plan
PCC Paving – Maturity (Curves & Verification)
PCC Paving – PCC Plant Report
PCC Paving – Plant Monitor Gradations
PCC Paving – (Form 115) Air & Slump Test Results
PCC Paving – (Form 114) Beam Break Results
PCC Paving - (Form 141) Maturity Readings
PCC Structure - Mix Design
PCC Structure – PCC Plant Report
PCC Structure – Plant Monitor Gradations
PCC Structure – (Form 145) Air & Slump Test Results
PCC Structure – (Form 114) Beam Break Results
PCC Structure - (Form 141) Maturity Readings
HMA Items – Mix Design
HMA Items – HMA Base Plant Report
HMA Items - HMA Charts
HMA Items – HMA Intermediate Report
HMA Items – HMA Surface Report
HMA Items - Mix Temps (Small Quantities)
HMA Items – Verification Aggregate Gradations
Pile Driving Information
Beam Shot Elevations

Payrolls Drawer Types

Predetermined Wage Rate
A type for each contractor associated to the contract
    Listed first is the prime contractor followed in alphabetical order by all subs

Shop Drawings Drawer Types

Project Numbers (1 row per project if multiple projects)

.   (a period to separate the project numbers and the types)

Architectural mock-ups

Architectural paving

Architectural paint color samples and manufacturer data

Architectural concrete texture form liner samples and drawings

Architectural concrete sealer samples and manufacturer data

Architectural ornamental brick

Bridge components

Cofferdam design (when required)

Detail plans for falsework or centering support of steel structures (i.e. erection plans)

Falsework for slab bridges

Highway lighting

Highway sign support structures (i.e.bridge type trusses, cantilever trusses, & bridge mounts)

Highway signing steel breakaway posts

Highway signing - Type A & B signs

Intermediate foundation improvement (IFI)(i.e. stone columns, geopiers, etc.)

MSE, segmental, & modular block retaining walls (Prelim & final submittals

Precast concrete (i.e. deck panels, RCB culverts, noise wall panels, arch sections, etc.)

Pre-engineered steel truss recreational trail bridge

Reconstruction of substructure (detailed plans for supporting the superstructure)

Removal of box girder bridges

Safety grates for RCB culverts

Soil nail & tie-back retaining walls

Steel and aluminum pedestrian hand rails

Steel Structures

Weld Procedures

Structural erection manual

Temporary sheet pile retaining wall

Temporary shoring

Tower lighting

Traffic signalization

Contractor Borrow

Misc. Bridge

Misc. Soil Design
Other

Signature Drawer Types

Final Paperwork - Audit of Final Pay Estimate (Form 830301)
Final Paperwork - Certification of DBE Accomplishment (Form 102116)
Final Paperwork - Certification of Subcontractor Payment (Form 518002)
Final Paperwork - Contractor Evaluations
FInal Paperwork - Engineer's Material Cert
Final Paperwork - Final Construction Pay Estimate
Final Paperwork - Final Payment (Form 830436)
Final Paperwork - Final Quantities
Final Paperwork - Noncomplying Test or Measurements of Materials Incorporated into the Project
Final Paperwork - Statement of Salvaged Materials
Items Paid by Plan Quantity (Form 830230)
Noncompliance Notice (Form 830245)
Pre-Audit Agreement
Request for Early Release of Retained Funds
Statement of Completion and Final Acceptance of Work (Form 830435)
Storm Water Inspection Reports
Weekly Report of Working Days

Contract Signing Drawer Types

Contract
Insurance/Other Documents as Required (DO NOT TRANSITION OR DIGITALLY SIGN)
Storm Water Co-Permittee Form
Tax Certs and AA/EEO Poster (DO NOT TRANSITION OR DIGITALLY SIGN)

Contract Modification Drawer
Plans Drawer
Working Drawer -

There are no types in these drawers

APPENDIX C - -DRAFT MATERIAL DOCUMENTATION CLARIFICATION

Single Document Basis of Acceptance			
Acceptance Method, IM 204 appendix Z or Mtls Acceptance Report	**Document**	**Comments**	**Examples**
Visual Approval by RCE	Document by an entry in Doc Express	The project inspector is to submit using a Comment and then the Project Inspector is to Transition to Received.	Burlap, Plastic film, Steel Posts for Silt Fence
As Per Plan	Compliance with the plans will be documented by an entry in Doc Express	The project inspector is to submit using a Comment and then the Project Inspector is to Transition to Received.	Guardrail Attenuators
Approved Source (Easily Identified)	Source of the material should be identified by the Project Inspector. Document by an entry in Doc Express.	The project inspector is to submit using a Comment and then the Project Inspector is to Transition to Received.	Engineering Fabric, Poured Joint Sealer, Wood Excelsior Mat, Silt Fence
Approved Source (Not Easily Identified)	Source of the material should be identified by the Project Inspector. This will require a document to be in Doc Express.	Products which cannot be easily identified in the field, such as traffic paint, will require a document in Doc Express. This should be entered by the Contractor or supplier.	Anti-strip Agent, Concrete Anchors, Concrete Sealer, Traffic Paint
Approved Source, Batch (Lot)	Verify that the material is from an approved source. Verify the Batch (lot) number. The information can be documented by an entry in Doc Express.	Check list maintained by Central Mtls, if the Batch (lot) has been previously tested a sample is not needed. District Mtls will sample if necessary & the report will be entered on Doc Express by the DME Batch numbers for admixtures will also be documented on plant report.	PCC Concrete admixtures
Batch (Lot) Acceptance	Record the batch or lot number by an entry in Doc Express. If sampled a test report will be entered as well.	Verify that batch or lot has been tested, a list is maintained by Ctl Mtls. Dist Mtls will secure a sample when required & report results to Doc	White Pigmented Curing compound.

		Express.	
Certification Statement	A copy of the certification will be in Doc Express	The documentation with the certification statement will be entered by the Contractor or supplier.	Lead Bearings
Test Report	A copy of the test report will be in Doc Express	The IM 204 will specify who is responsible for the testing. They will sample, test and report the results to Doc Express.	Cable Guardrail, Electric curcuit test, Torque wrench
Approved Catalog Cut	A copy of the reviewed Catalog cut will be in Doc Express.	The Catalog cut will be submitted for review by the contractor or supplier and entered in Doc Express according to the specification.	Lighting Materials, connectors and photoelectric controls
Fabrication Report	A copy of the fabrication report will be in Doc Express	The fabrication report is generated by District Materials and will be entered into Doc Express by the DME.	Structural Aluminum Fastners
Mill Test Report	A copy of the Mill test report will be in Doc Express.	The mill test report should be entered by the contractor or supplier. This may also be referred to as a mill certification. Be sure to verify that any product of steel or iron meets the Buy America requirements.	Steel Guardrail posts
Acceptance Method, IM 204 appendix Z or Materials Acceptance Report	**Document**	**Comments**	**Examples**
Approved Source, Certification Statement	Verify that the material is from an approved source. A copy of certification will be in Doc Express.	The documentation with the certification statement will be entered by the Contractor or supplier. The Approved Source portion is included with the certification.	Concrete modular and segmental blocks
Approved Source, Fabrication Report	Verify that the material is from an approved source. A copy of fabrication report will be in Doc Express.	The fabrication report is generated by District Materials and will be entered into Doc Express by the DME. The Approved Source portion is included with the	Neoprene Bearings

		Fabrication Report.	
Approved Source, Mill Certifications	Verify that the material is from an approved source. A copy of the mill certifications will be in Doc Express.	The mill certification should be entered by the contractor or supplier. Be sure to verify that any product of steel or iron meets the Buy America requirements.	Steel piling, uncoated rebar
Approved source, Catalog Cut	Verify that the material is from an approved source. A copy of the catalog cut will be in Doc Express.	A copy of the catalog cut should be entered on Doc Express by the contractor or supplier.	Steel castings
Approved Source, Certification Statement, Test Report	Verify that the material is from an approved source. A copy of the Certification Statement and the Test Report will be in Doc Express.	The documentation with the certification statement should be entered by the Contractor or supplier. The test report should be entered by the testing agency, either a third party Lab or the DME.	Asphalt binder and emulsion
Approved Shop Drawing, Catalog Cut	A copy of the approved shop drawing and catalog cut will be in Doc Express.	The shop drawing and catalog cut should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications.	Structural Aluminum
Approved Catalog Cut, Certification Statement	A copy of the approved catalog cut and a copy of the certification will be in Doc Express.	The catalog cut should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications. A copy of the certification should be entered by the contractor or supplier.	Lighting materials wire and cable
Approved Shop Drawing, Fabrication report	A copy of the Approved shop drawing will be in Doc Express along with the Fabrication report.	The shop drawing should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications. The fabrication report will be entered by the DME.	Floor drains and steel expansion devices

Approved Source, Certified Truck Ticket or Form # 821278	Verify that the material is from an approved source. For aggregate paid by the ton collect certified truck tickets on the grade. A summary of aggregate shipments to the project should be submitted to Doc Express by the aggregate producer for non-proportioned aggregate .	It is not necessary to have a copy of a truck ticket in Doc Express. For proportioned aggregates verify the tickets at the plant site. Form #821278 may be used to certify aggregate that is not weighed over a scale.	Proportioned and Non-proportioned aggregate

Multiple Document Basis of Acceptance			
Acceptance Method, IM 204 appendix Z or Materials Acceptance Report	**Document**	**Comments**	**Examples**
Approved Shop Drawing, Approved Source, Certification Statement	Verify that the material is from an approved source. A copy of the Approved shop drawing and the certification statement will be in Doc Express.	The shop drawing should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications. The documentation with the certification statement will be entered by the Contractor or supplier.	Aluminum lighting poles
Approved Source, Approved Shop Drawings, Fabrication Report, Mill Certifications	Verify that the material is from an approved source. A copy of the approved shop drawings, fabrication report, and mill certifications will be in Doc Express	The shop drawing should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications. The mill certifications should be entered in Doc Express by the contractor or fabricator. The fabrication report will be entered into Doc Express by the DME.	Structural Steel
Approved Source, Approved Shop Drawings, Fabrication Report	Verify that the material is from an approved source. A copy of the Approved shop drawing and the fabrication report will be in Doc Express.	The shop drawing should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications. The fabrication report will be entered by the DME.	Bridge railing
Approved Source, Fabricator's trademark, Date of Manufacture, Certified Stamp, Certification Statement	Verify that the material is from an approved source. Check for the trademark and certified stamp. A copy of the certification statement will be in Doc Express	For precast concrete pipe a certified summary of items delivered to the project site will be entered into Doc Express by the contractor or supplier.	Handholes and concrete pipe
Approved Source, Fabricator's trademark, Date of Manufacture, DOT Inspection Stamp, Fabrication Report	Verify that the material is from an approved source. Check for the trademark and DOT inspection stamp.	The Fabrication report is generated by District Materials and will be entered into Doc Express	Prestressed Concrete Beams, Concrete piling

	A copy of the fabrication report will be in Doc Express	by the DME.	
Approved Source, DOT Inspection Stamp, Fabrication Report	Verify that the material is from an approved source. Check for the DOT inspection stamp. A copy of the fabrication report will be in Doc Express	The Fabrication report is generated by District Materials and will be entered into Doc Express by the DME.	Precast permanent barrier rail.
Approved Source, Certification of Grade, and Treatment Test Report	Verify that the material is from an approved source. The certification of grade and treatment report will be in Doc Express.	The certification of grade and treatment report will be entered by the contractor or supplier.	Treated wood products
Approved Source, Test Report, Steel Mill Certification	Verify that the material is from an approved source. The test report and mill certification will be in Doc Express.	The mill certification should be entered by the contractor or supplier. Be sure to verify that any product of steel or iron meets the Buy America requirements. Samples are normally taken by District Materials and the test report will be entered in Doc Express by the DME.	Anchor Bolts

Multiple Document Basis of Acceptance			
Acceptance Method, IM 204 appendix Z or Materials Acceptance Report	**Document**	**Comments**	**Examples**
Mill Certification, Rotational Capacity Test, Test Report	The mill certification, rotational capacity test and test report will be in Doc Express	The mill certification and rotational capacity test should be entered by the contractor or supplier. Be sure to verify that any product of steel or iron meets the Buy America requirements. Bolts, nuts and washers will be sampled by District Materials and the report will be entered on Doc Express by the DME. Check the IM's and specifications for field rotation capacity testing. If required this test report will also need to be filed in Doc Express by the RCE or DME.	Structural bolts nuts and washers
Approved Shop Drawing, Shipping Report	A copy of the approved shop drawing and shipping report will be in Doc Express.	The shop drawing should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications. The shipping report is generated by the supplier and should be entered into Doc Express by the contractor or supplier.	Sign Panels
Approved Source, Shipping Report, Certification Statement	Verify that the material is from an approved source. A copy of the shipping report and Certification Statement will be in Doc Express.	The shipping report and Certification statement is generated by the supplier and should be entered into Doc Express by the contractor or supplier.	Finished signs

Mill Certifications, Test Report for Galvanizing	Mill Certifications and galvanizing test report will be in Doc Express.	Mill certifications should be entered in Doc Express by the contractor or supplier. Be sure to verify that any product of steel or iron or the coating there of meets the Buy America requirements. Be sure to verify that any product of steel or iron meets the Buy America requirements.	Galvanized rebar
Approved Source, Mill Certifications, Epoxy Certifications, Test Report	Verify that the material is from an approved source. Mill certifications, epoxy certifications and a test report will be in Doc Express.	The mill certifications and epoxy certifications should be filed by the contractor or supplier. Be sure to verify that any product of steel or iron or the coating there of meets the Buy America requirements. Samples will be taken by District Materials and reported by the DME.	Epoxy coated rebar
Approved Source, Approved Shop Drawings	Verify that the material is from an approved source. A copy of the approved shop drawing will be in Doc Express	The shop drawing should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications.	Pre-engineered pedestrian bridge