



Construction and Contract Administration

Local Systems Regional Spring Meeting

Topics to be Covered

- Specification Updates
- Construction Manual and Construction Administration Updates
- Process Changes for SWAP Projects
- Process Changes for Farm-to-Market Projects

Western Region Field Staff

- Brian Catus, P.E. – Sioux City
- Vince Ehlert, P.E. – Atlantic
- Jeff Shelton – Council Bluffs

Specification Updates

- GS-15008 is available online via ERL

Specification Updates

- Tubular Dowels (4151.02.B)
 - Allowed as of April 2019
 - Galvanized and epoxy coated allowed
 - Less weight
 - Load transfer assemblies only
 - No single bar uses
 - No patching uses
 - No expansion joint uses



Specification Updates

- Cold In-Place Recycled Asphalt Pavement (2318.H)

Subsequent HMA overlay or surface treatment will not be allowed until one of the following requirements has been met:

1. Average moisture content of the CIR layer is no more than 0.3% above the residual moisture content (according to [Materials I.M. 504](#)) or 3.5%, whichever is greater.
2. The moisture content of the CIR layer has reached a plateau of less than 5.0% and has remained constant (within +/- 0.3%) for a minimum of 3 calendar days.
3. The CIR layer has been completed for 21 calendar days.

Specification Updates

- Environmental Protection (1107.18.4)
 - 4. Dewatering.
 - a. For projects regulated by Iowa DNR National Pollutant Discharge Elimination System (NPDES) General Permit No. 2, discharges from dewatering activities, including from trenches and excavations, will be prohibited unless managed by appropriate controls.
 - b. Contractor shall be responsible for obtaining any additional necessary permits or approvals

Specification Updates

- Traffic Control (2528.01.C)
 - Effective April 2018
 - Prime Contractor's Trained Traffic Control Technician (TTCT) must recertify at least every five years
 - Review certifications in Doc Express before project starts- are they current?
 - TTCT must be on site to supervise installations and removals of traffic control and document in the TC diary

Specification Updates

- Water Pollution Control Quality Control (2602.01)
 - Effective October 2018
 - Projects with NPDES permit
 - Prime Contractor must have Water Pollution Control Manager (WPCM) on staff
 - Must have ESC training (valid for 2 years) or ECT training (valid for 5 years)
 - Submit WPCM name and certs as part of pre-construction paperwork
 - Supervises all work (prime and subs) affecting storm water compliance
 - Point of contact for Contracting Authority when erosion control issues occur
 - Responsible for directing corrective actions necessary to comply with PPP
 - Visits project minimum 1/week, unless prime not mobilized and then can designate duties to a subcontractor

Specification Updates

- Water Pollution Control Quality Control (Cont.)
 - Must have ESC Basics trained person on site daily
 - This person can be from prime contractor or subcontractor
 - Attends storm water site inspections- must be prime contractor staff unless they are not mobilized
 - Prepares Erosion Control Implementation Plan
 - Attends progress meetings to discuss erosion control issues

Specification Updates

- Water Pollution Control Quality Control (Cont.)
 - **Site maps are now required** if you have a storm water permit
 - Contractor submits an amended PPP site map
 - Site map identifies erosion control work performed
 - Must be submitted prior to payment for the installed erosion control items or no later than one week after installation
 - Submittals should be uploaded to Doc Express
 - Cost is incidental to the erosion control items

Specification Updates

- Concrete Bridge Decks (2412.02)
 - Target air content is adjusted for pumping **or belt conveyer**
 - 7.5% plus or minus 2.0%

Construction Manual Updates

- Substantial Change (Orders 2.36)
 - \$150,000 or more change
 - Applies to new items or existing contract items
 - Cost is reviewed based on total extra work effort
 - May be one item or multiple items associated with the effort
 - Once a change is deemed substantial, all additional changes to that effort are also deemed substantial
 - If you are approaching the \$150,000 limit for a change, notify Administering Office **prior** to exceeding the limit to obtain approval (especially Federal-aid projects)
 - Document approvals in your file
 - Extra work associated with plan revisions are also substantial change orders
 - Dollar value does not matter

Construction Administration Updates

- Doc Express Forms
 - For certain DOT forms, there are two versions- one for Doc Express, one for non-Doc Express
 - For projects on Doc Express, please use the Doc Express versions
 - The forms will be identified on the DOT Forms webpage as Doc Express forms
 - Examples include:
 - Final Payment (Form 830436)
 - Change Order (Form 831240)



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Search	Document Title	Form Number	<Select Category>	Reset
	<u>Title</u>	<u>Form Number</u>	<u>Category</u>	
	830436.pdf	Final Payment	830436	Construction
	830436dx.pdf	<u>Final Payment - for DocExpress</u>	830436dx	Construction
	830437.pdf	Traffic Control Evaluation Report	830437	Construction
	830437wd.doc	Traffic Control Evaluation Report Construction	830437wd	Construction
	831240_.pdf	<u>Change Order (DocExpress)</u>	831240.	General
	831240.pdf	Change Order	831240	General
	841700.xls	Request for Reimbursement of LRTF Grant Program Project Costs	841700	General
	841702.pdf	Living Roadway Trust Fund Grant Application	841702	General
	860001.pdf	Outdoor Advertising Application	860001	General
	860009.pdf	Application to Erect Church, Service Club, Cemetery, or Religious School Sign	860009	General

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Federal-aid Versus SWAP

- Federal-aid
 - Business as usual
 - PE/CE/ROW
 - Precons, audits, close-outs
 - Material Department testing/sampling
 - Materials Departments are by District boundaries instead of LS Regions
- SWAP
 - LOTS of changes
 - Material Dept involvement is less
 - Material Departments are still by District boundaries, not LS Regions
 - **This is a starting point...** watch for LS Mailings and updates on website for possible changes

Funding Agreements

- Local Systems Field Engineer's responsibility
- Timing of Distribution
 - Request for Preliminary Engineering or ROW (STBG-SWAP)
 - Check Plan Submittal
 - At request of LPA
- Now processed electronically
 - Email with .pdf files

Funding Agreements

- Helpful information when preparing agreement
 - Project work type
 - Description of project limits
 - Funding amount
 - Anticipated Letting date
 - Verify the above information is current in TPMS
- STBG-SWAP Agreements
 - Dollar limit noted in agreement is funding limit for project
 - Amount cannot be exceeded without an addendum
 - Program all anticipated funds up-front (if possible)
 - Notify Field Engineer of all anticipated eligible cost categories (PE/CE/ROW/Construction)

STBG-SWAP Agreement

The Recipient shall receive reimbursement for costs of authorized and approved eligible project activities from STBG Federal-aid Swap funds. The portion of the project costs reimbursed by STBG Federal-aid Swap funds shall be up to *\$(dollar amount)* for the following phases of work as stipulated by the *MPO/RPA*:

- Preliminary Engineering
- Construction Engineering
- Right-of-Way
- Construction
- Other (please specify) ____.

STBG-SWAP Agreement

- PE/ROW/CE costs must be authorized prior to incurring costs
- Authorization is per the funding agreement
- Language from the agreement:
 - Before beginning any work for which funding reimbursement will be requested, the Recipient shall submit a written request for acceptance to the Department. The Department will notify the Recipient when acceptance is granted. **The cost of work performed prior to acceptance will not be reimbursed.** The turning in of plans for letting by the Department's administering office shall be considered acceptance for construction. The Department will notify the Recipient when acceptance is granted.

Preliminary and Construction Engineering

- If not requesting reimbursement, follow local procurement procedures
 - Highly recommend “Errors and Omissions Clause” in agreements
 - Can be used as match funds for City Bridge-SWAP
- If requesting reimbursement
 - Only eligible for STBG-SWAP
 - Submit eligibility requests to Local Systems Field Engineer
 - You may follow the procedures described in Local Systems IM 3.310 Federal Aid Participation in Consultant Costs, for guidance purposes
 - Reimbursement request procedures are the same as Federal-aid
- In-House Engineering costs are not eligible for SWAP reimbursement

Construction

- Preconstruction Meetings
 - Regional field staff should be invited
 - Attendance will be based upon time availability
 - Materials staff will no longer attend
- Pre-Pour Meetings
 - Regional field staff should be invited
 - Attendance will be based upon time availability
 - Materials staff will no longer attend
- Site Visits
 - Will be conducted by regional field staff

Construction

- Change Orders
 - Substantial change orders require pre-approval before work is performed
 - It is preferred that draft change orders be emailed to Regional Field Technician for review prior to posting on Doc Express
 - Justifications of Cost are still required
 - Impacts on contract time are still required
 - Change orders will be signed by the Regional Field Engineer
- Field Work Acceptance (Statement of Completion)
 - Regional field staff should be invited to attend final walkthrough (punchlist)
 - Notify regional field staff when punchlist is complete (email) and obtain field acceptance (email)
 - Regional Field Engineer will sign Statement of Completion (Form 830435) in Doc Express

Construction

- Specifications
 - Most specifications are the same as Federal-aid
 - Disadvantaged Business Enterprises (DBEs) are not required (Article 1102.17) (SWAP)
 - Buy America is not required (Article 1107.06) (SWAP)
 - You can waive percent within limits for HMA (Article 2303.03,D) by specifying DS-15013 in your bid documents
 - EEO Board is still required
 - Less documents need to be posted since no Davis-Bacon wages
 - Subcontractor Authorization and EEO Poster Notice
 - FHWA 1022- Notice of False Statements
 - EEO is the Law
 - Job Safety and Health
 - Your Rights Under the FMLA Act
 - Employee Polygraph Protection Act

Construction

- Testing Requirements
 - No change from Federal-aid for LPA
 - Materials Dept testing/sampling is reduced (SWAP)
- Audits – now Reviews
 - frequencies will be reduced
 - Minimum one per every three years per LPA
 - We always have the right to review a project
 - Materials reviews will now be part of the Regional Field Technician reviews
 - Material 101 review sheets (Working Drawer) and Pre-Audit Checklist (Close-out Drawer) are uploaded to Doc Express
 - Regional Field Technician will notify you if a review will be conducted or waived

Progress Vouchers/Reimbursements

- Progress vouchers for SWAP and Federal-aid projects are identical
- For County projects on Farm-to-Market routes, progress vouchers are to be submitted to Office of Finance
 - Quantities are noted under Rural Non-Participating Column instead of Rural Participating column
 - Reimbursements will be automatic to the County's FM account
- For City and 'Off System' County projects, the LPAs will pay the contractors directly first and then submit reimbursement requests to the field engineers (through Doc Express).
 - Field Technicians will process reimbursements same as Federal-aid
 - DOT withholding percentages still apply
- STBG-SWAP reimbursements are % defined per RPA/MPO
- County Swap Bridge reimbursements are at 100% cost share
- City Bridge Fund which are at 80% (plus submitted match costs)

Project Close-out

- Most final paperwork is the same
 - No DBE Accomplishment Form
 - Still need:
 - 830435 Statement of Completion
 - 830436 Final Payment Form
 - 830236 Interest Payment Form
 - 830301 Audit of Final Pay Estimate (if project chosen for review)
 - 518002 Certification of Subcontractor Payments form
- Final paperwork is uploaded to Doc Express

Changes for Farm-to-Market Projects

- FM projects will now be included in LPAs “pool” of projects that can be chosen for final review
- Final paperwork is now submitted to the Regional Field staff instead of directly to the Office of Finance
- This change was made to properly update Doc Express and the DOT’s Project Scheduling System to archive completed projects
- If you have past FM projects that are closed-out but are still shown as active in Doc Express, contact your Regional Field Technician
- No changes to other paperwork processes

Questions?

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