

## Okerlund, Sarah

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**From:** Iowa DOT <iowaDOT@public.govdelivery.com>  
**Sent:** Tuesday, May 31, 2022 12:22 PM  
**To:** Okerlund, Sarah  
**Subject:** Appia - Guidance for Record Keeping and Audit/Review Process



**TO:** sarah.okerlund@iowadot.us  
**FROM:** Niki Stinn, P.E.  
**SUBJECT:** Appia - Guidance for Record Keeping and Audit/Review Process  
**DATE:** May 31, 2022

Cities, Counties, and Consultants,

Effective with the April 2022 letting, counties are required to use Appia to document and administer construction projects utilizing funding administered by the Iowa DOT. Cities are not yet required to use Appia, but they may choose to do so voluntarily.

As you are aware, the Iowa DOT Administering Bureau may review/audit your Iowa DOT Federal-aid, Federal-aid Swap, State-aid, and Farm-to-Market (FM) funded projects. For Swap, State-aid, and FM projects, the Administering Bureau may perform a materials review/audit, but for Federal-aid projects, the District Materials staff performs the materials audit.

Because reviewing/auditing Appia projects is a relatively new process, complications can arise during reviews/audits if documentation is not consistent, and because we know you appreciate a smooth close-out process, we are providing the following guidance related to documentation and reviewing/auditing when using Appia.

### Documentation of Item Quantities

Local agencies must, at a minimum, record item quantity postings on a daily basis under "Daily Reports > Item Postings". However, you have a few options regarding the location

of documentation for measurements as shown below. Any of these options may be utilized, but the method chosen should be consistent for each project.

1. Measurements can be recorded on a “Worksheet” in Appia.
  1. Worksheets are calculation aids which determine the final quantity after the user inputs the dimensions. Values calculated via worksheets can be overridden if necessary for irregular areas.
  2. If a worksheet value is overridden, the user must provide some other type of documentation showing measurements for the area. This additional data can be written into the “Remarks” section of the item posting. Alternately, a sketch, survey data, or other documentation can be attached, but this would need to be uploaded to DocExpress as noted below.
  3. To use Worksheets, the Worksheet must be “associated” with the item in Appia.
2. Measurements can be recorded in the “Remarks” section. Measurements must be sufficient to provide a clear picture of how the recorded quantity was calculated. Sketches, CAD drawings, survey results, etc. can be included as attachments in lieu of written measurements, but they must be uploaded to DocExpress as well.
3. Measurements can be recorded on “[E-sheets](#)”. These “E-Sheets” do not have to be uploaded to Appia, but if the users would like to upload them, they can be attached to the Daily Report or to the overall project.

**No matter which of the above methods of measurement documentation is chosen, a summary of the quantity postings for each item, with measurements/attachments, must be uploaded to Doc Express** according to the [naming convention](#). If using Appia for recording measurements, this means generating an “Item Quantity Summary” report to submit to Doc Express. If Appia Worksheets are used, a “Worksheet History” report must be submitted to Doc Express. Guidance for generating those reports can be found in Section 16 of the [Appia “Under Construction” Instructions](#). If using “E-sheets”, this means submitting the “E-sheets” to Doc Express.

#### Documentation of Item Material Tests

In light of returning to the Federal-aid process for most projects, documentation of materials test results on supplemental “[E-sheets](#)”, as well as the Materials 101 form, will be required. (Supplemental sheets are those in the 100 series, such as E100, E101, etc.) The District Materials staff will not be accessing Appia for viewing projects, therefore, **these supplemental “E-sheets” must be uploaded to Doc Express according to the [naming convention](#)**. As with item measurements, test result “E-sheets” can be uploaded to Appia as an attachment under either Daily Reports or to the project in general, but an upload to Appia is not required.

## Daily Reports

Daily Reports can be downloaded from Appia and placed in Doc Express if the user desires. Placement of the diaries in Doc Express is optional. If the user does desire to place diaries in Doc Express, they should place them in the Diaries drawer and name them according to the [naming convention](#). Daily Reports can be uploaded to Doc Express in a batch if desired. Guidance for downloading Daily Reports from Appia can be found in Section 16 of the [Appia "Under Construction" Instructions](#). Daily Reports will download as individual .pdf files, but they can be merged into one .pdf document if the user has software or can find an internet site capable of doing so.

Additional Appia and Doc Express information can be found on the [Local Systems Doc Express and Appia website](#).

We thank our local agencies for following this guidance and ensuring a smooth audit and close-out process for all parties involved.

Please direct any questions/concerns to [Douglas.Heeren@iowadot.us](mailto:Douglas.Heeren@iowadot.us) or [Niki.Stinn@iowadot.us](mailto:Niki.Stinn@iowadot.us).

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\*\*Please leave a voicemail if I am unable to answer your phone call. I am working from home, and voicemails will forward to my email.

