2021 LOCAL SYSTEMS SPRING MEETING UPDATE: DOC EXPRESS & APPIA

Niki Stinn, P.E.

Local Systems Bureau

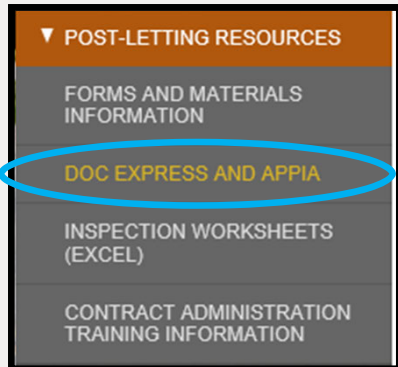Secondary Roads Engineer

Doc Express Updates

Doc Express: New Webpage & Reminders

- Revised web page: https://iowadot.gov/local_systems/Post-Letting-Resources/Doc-Express-and-Appia

- Do NOT attach any additional documents to the contract or place anything extra in the Contract Signing drawer. <u>Doing so will invalidate the contract.</u>

  - Resolution for County Engineer to sign contract to be put in "Agreements and Resolutions" drawer

- "oo" Drawer

  - Copies of previously issued naming conventions

  - Current instructions

    - User's guide

    - Workflow charts

    - Change orders

    - Contract signing

- Upload documents in a timely fashion

- New addition: Dairies Drawer

DocExpress: Naming Convention

Progress Voucher	Voucher *nnn*

New Document

* **Title**

Voucher 001 (098)

* **Types**

× Progress Voucher

* **Attachment**

Choose File | No file chosen

Only PDF files are allowed in this drawer

Supporting Documents

Add a supporting document?

- Naming conventions MUST be used
  - Required for use on ALL Local Public Agency (LPA) projects let through the DOT that utilize DOT specifications
    - Many agencies not complying
  - Allows for easier DOT archiving and file organization
  - If additional language is needed in file name
    - The base naming convention must be followed.
    - Additional descriptive language may be added to the END of the file name AFTER the base naming convention.
      - Ex.: For progress vouchers on a tied contract that includes project #s (98) & (99)
        - Base naming convention = Voucher *nnn*
        - Name with additional info = Voucher *nnn* (98) OR Voucher *nnn* (99)
- DOT systems cannot recognize and retain files that are not named correctly.
- Use naming convention according to letting date

DocExpress: Naming Convention

Change Order Drawer (signature)	
Appia Change Order	CO *nn*
Change Order for Local Public Agency Projects (Form 831240)	CO *nn*
Statement of Force Account (Form 181213)	FA *nn*
Contract Documents Drawer	
Addendum	Addendum *ddmmmbbb.ann*
Contractor Evaluation	Evals - *contractor name*
Correspondence -Misc	*yymmdd subject*
DBE Commercially Useful Function Checklist (Form 517014)	CUF *contractor name nn*
DBE Commitment Report	DBE Commitment
Developmental Specifications	DS-*yynn*

- Standard Specification 1113.01,A.:

  – For contracts where Contracting Authority is a county or city, files uploaded to Doc Express shall be named and filed according to current Doc Express Drawers, Document Types, and Naming Convention published by Local Systems Bureau in Local Systems Instructional Memorandum 6.000, Attachment F.

- The Naming Convention Guide/Instructions, and past guides, can be found in Doc Express under Contracts \ "00 Doc Express Instructions".

OR

On Local Systems Doc Express & Appia web page:
https://iowadot.gov/local_systems/Post-Letting-Resources/Doc-Express-and-Appia

I.M. 6.000 - Updated in March 2020

A Doc Express user guide, file naming convention and flowchart are located in Attachment F of this I.M. The use of the Doc Express file naming convention is required. The process to become a user by creating an account or making modifications to an existing account are also contained in

DocExpress: Payroll Naming Change

Contractor adds new subcontractor data to electronic Site Exchange (*.con) file and sends to Proj. Engr.

Proj. Engr. verifies subcontracting limit as per Article 1108.01 of the Standard Specifications.

Proj. Engr. verifies that the subcontractor has a current EEO/AA policy on file with the Iowa DOT (see note 1).

If acceptable, Proj. Engr. e-mails the *.con file (or Form 830231) to dot.contracts@iowadot.us stating the subcontracts have been reviewed.

- Naming conventions MUST be used
- There has been a naming convention change for payrolls.
  - New naming convention: PR *nnn* WE *yymmdd*
    - Where:
      - *nnn* is a sequential number for each subcontractor and all 3 digits will be required
      - WE stands for Week End
      - *yymmdd* is a 2-digit year, 2-digit month, and 2-digit day
    - Note: The spaces will be required as well as the 3-digit sequential number.
    - Use on all projects that do not yet have a payroll submitted (if payrolls are required).
- If subcontractor is added, Tammi Bell must be notified so she can add them to the list in DocX
- Additionally, the .con file must be sent to Contracts as shown in I.M. 6.000 Attachment C.

Designating Contract Signature Authority

- I.M. 5.030

  - "...the LPA **shall** utilize Doc Express to digitally sign the contract."

  - Board of Supervisors/ City Council may designate signature authority for the contract

    - Full-time employee of respective agency

      - May be mayor or city clerk if no full-time

    - No consultants

    - Must be designated in PROJECT SPECIFIC resolution

      - Sample resolution in I.M. 5.030, Attachment C

- GovDelivery email sent 12/04/19

- Fastest contract signed in 8 hours

  - Almost ALL in less than 30 days

- If uploaded to DocExpress, use "Agreements & Resolutions Drawers"

  - **Do NOT put in "Contract" drawer or add as supporting document to contract**

  - Uploading to "Contract" drawer will cause need for the whole contract and bond to be deleted, re-uploaded, and re-transitioned.

- Contact Local Systems or Contracts with any contract signing issues before contacting Infotech

  - Do NOT contact the contractor!   I.M. 5.030

Beginning with the December 17, 2019 Iowa DOT Letting, the Board of Supervisors or City Council may delegate the execution of the contract to a full-time county or city employee, respectively. The county employee designated to execute the contract would most likely be the County Engineer. The city employee designated to execute the contract would most likely be the City Public Works Director or City Engineer. The employee designated to execute the contract shall be a full-time employee of the agency. For smaller cities that do not have any full-time employees, the mayor or city clerk may serve as the designated person to execute the contract. A consultant shall not serve as the designated person to execute the contract. If the Board of Supervisors or City Council chooses to designate the execution of the contract to a county or city employee, this shall be designated in a project specific resolution; see Attachment C for an example resolution. Each contract shall require a separate resolution. However, a single resolution may be utilized to both award the proposed contract, as well as designate the execution of the contract to another party. The Iowa DOT does not need a copy of this resolution. If the LPA would like to store the resolution in Doc Express, it can be stored in the "Agreement and Resolutions" drawer but shall not be uploaded as part of the contract.

Doc Express: Archiving/ Locking Projects

- If you have closed-out projects that you would like hidden from your active project list, send an email to your Local Systems Field Technician (or the Program Manager for Systems Planning Bureau projects).

- All uploads or downloads of files should be completed prior to requesting the project to be locked.

- Locked projects are not permanently gone, but will be hidden from your active list.

- They can still be accessed using the padlock button

Doc Express Questions?

Contact Doc Express Administrator Tammi Bell (Tammi.Bell@iowadot.us)
with questions/issues

Niki Stinn filling in during Tammi's absence (Niki.Stinn@iowadot.us)

Appia Updates

Appia:
General Info
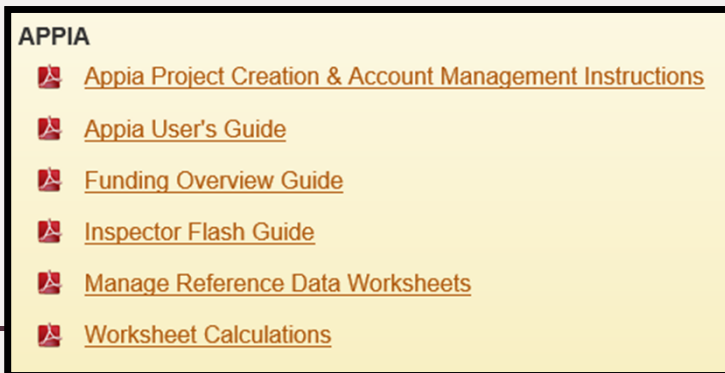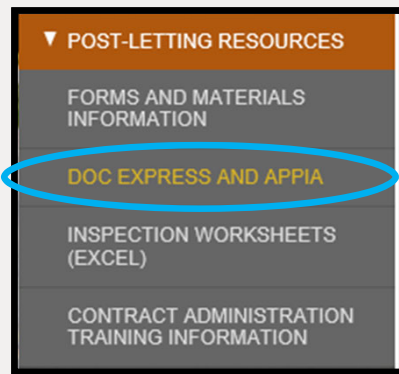
- Revised web page:
  https://iowadot.gov/local_systems/Post-Letting-Resources/Doc-Express-and-Appia

- In use by ≈ 1/3 of counties and a handful of cities

- Required-for-use date (tentative)

  - August 2021 (counties)

  - February 2022 (cities)

- Contact Niki at Niki.Stinn@iowadot.us or 515.239.1064 if you have questions or require technical support, not InfoTech.

How to Access DocX & Appia?

- First, let Tammi Bell know your agency needs access

- https://www.infotechexpress.com/login

- Appia and Doc Express

  – Both products in Infotech suite

  – Accessed from same login
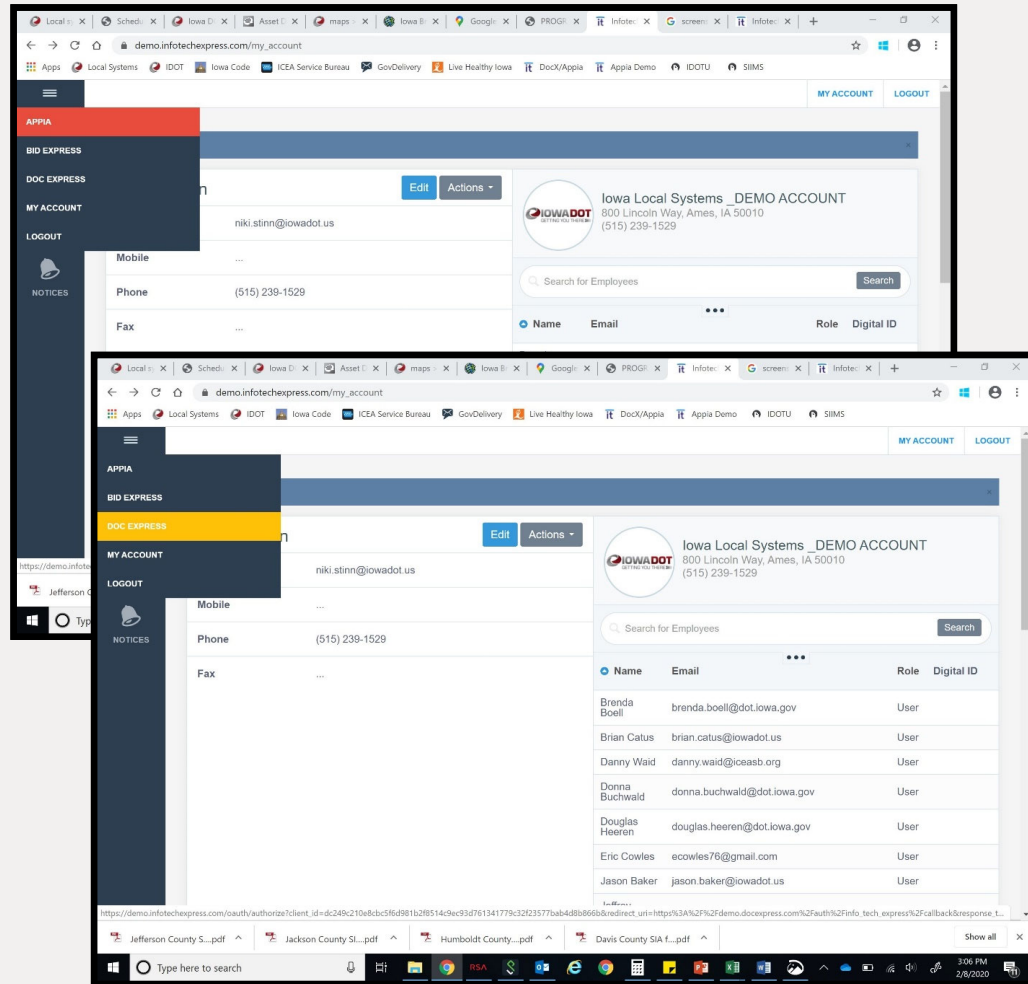
How to Get Access to Appia Specifically

1.

- Even if you already have an Infotech (DocX) account, you must request access to Appia specifically.
  - Contact Tammi Bell

- You can toggle to the Appia program, but nothing will show up if your account has not been activated.
  - Once your account is activated, your account manager will manage its own list of Appia users.
  - Anyone with an Administrator or Senior Program Manager can give access to other users
    - To do this →

2.

3.

4.
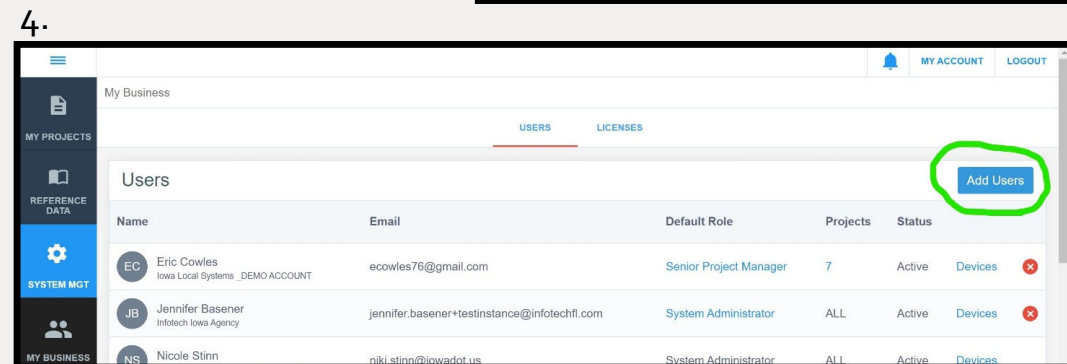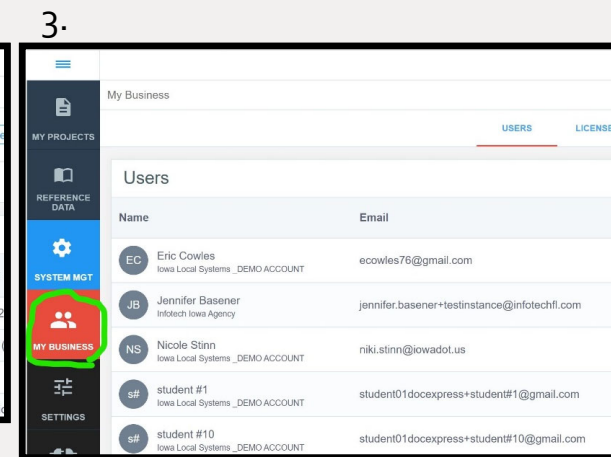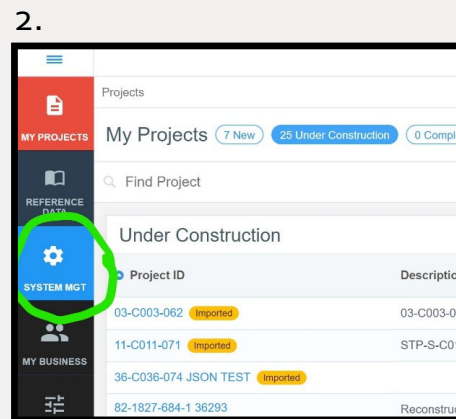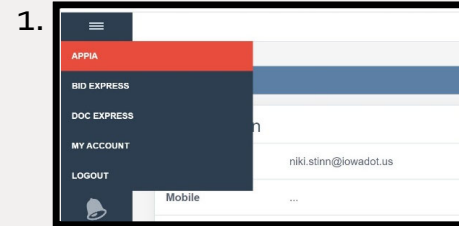
Sharing Between the Programs - Doc Express / Appia

- Documents created in Appia
  - Change Orders
  - Weekly Reports
  - Payment Vouchers
- No way to directly move a document from one to the other.
  - Download/export from Appia
  - Upload to Doc Express
- Can add link that will go directly to the documents in the drawer.

Appia: Local Systems Access

Project Users	
Name	**Default Role**
Brenda Boell	Read Only
Brian Catus	Read Only
Daryl Erickson	Read Only
Jonathan Bullock	System Administrator
Nicole Stinn	Read Only
Robert Fredrickson	Senior Project Manager
Scott Kruse	System Administrator
Tammi Bell	Read Only
Thomas Ackerson	Senior Project Manager

- Read-only access required for DOT-let and DOT-funded projects
  - Niki Stinn
  - Tammi Bell
  - Regional Field Engineer
  - Regional Field Technician

Appia:
Project Setup
Details

- Liquidated damages (LDs)

  – Automatically calculated if LD value entered

  – Need to enter as "zero" in project setup to avoid automatic charges

  – DOT requires change order for LDs

- Account ID included for each project

- Lump sum flags removed

- Contact Niki Stinn (Niki.Stinn@iowadot.us) for project set up files.

  – "Easy button" files mostly in use - available within days of letting

  – Please request files ASAP for projects let before April

Time Limits

Description	Liquidated Damages per Day	Deadline
Primary		
Working Days, Late Start Date- 02 Aug 2021, Liquidated Damages- 1,000.00	$0.00	30.0 Working Days

Instructions & Helpful Resources

YouTube Tutorials

- Managing Users in Appia (3:15)
- Settings in Appia (4:09)
- Reference Data in Appia (5:05)
- Creating a Project in Appia (6:56)
- Daily Reports in Appia (10:13)

https://www.youtube.com/playlist?list=PLv ZmrdHhIwRzz7NEhAQYcBMtTvIZgX4qa

Resources on Local Systems Website

https://iowadot.gov/local_systems/Post-Letting-Resources/Doc-Express-and-Appia

Newest Resource

- Step-by-step picture instructions for project setup and account management

Coming Soon

- Step-by-step picture instructions for "under construction" projects

APPIA

- Appia Project Creation & Account Management Instructions
- Appia User's Guide
- Funding Overview Guide
- Inspector Flash Guide
- Manage Reference Data Worksheets
- Worksheet Calculations

Appia: Payment Vouchers

- Automated voucher update
  - Several payments have been tested with success
  - Working through issue of retainage on multi-project contracts with local and FM
  - Working through issue of negative vouchers
  - New DOT financial system (Workday) going "live" on ~~April 1~~ May 1

- **Use of Appia vouchers (PDFs)**
  - **Use of Appia vouchers will be allowed in place of FM (309) vouchers *IF***
    - **you have made a request to Niki BEFORE advancing the project to construction AND**
    - **Niki has given the "ok"**
  - Use "Detailed Payment" report

- Final vouchers
  - Must generate "normal" voucher as final. Do not use Appia's final at this time.
    - Appia final vouchers require a balancing change order.
    - Working with Finance to allow balancing change orders, but not ok yet.
  - **Contact Niki when you get to final voucher stage**.

Iowa Local Systems _DEMO ACCOUNT
Detailed Payment
54-C054-117

Description	BRS-CHBP-C054(117)--GB-54, Acct ID: 37045, BROSCHBP-C058(61)--GA-58, Acct ID: 37046, BROSCHBP-C092(109)--NC-92, Acct ID: 37047, Letting Date: August 18, 2020
Payment Number	3
Pay Period	09/13/2020 to 09/23/2020
Prime Contractor	IOWA BRIDGE & CULVERT, L.C. 409 NORTH AVE. B WASHINGTON, IA
Payment Status	Approved
Awarded Project Amount	$2,290,145.98
Authorized Amount	$2,379,845.98
Remarks	Test for Wei - Payment 3 - Revision 2

Line Number	Item ID	Unit	Unit Price	Authorized Quantity	Current Paid Quantity
Section: 0001 - BRS-CHBP-C054(117)--GB-54, Acct: 37045					
0010	2101-0850001	ACRE	$7,500.000	0.300	0.00

Line Number	Item ID	Unit	Unit Price	Authorized Quantity	Current Paid Quantity	Previous Paid Quantity	Total Quantity Paid To Date	Total Quantity Placed To Date	Current Payment Amount	Total Amount Paid To Date
0510	2301-1033080	SY	$90.000	493.700	0.000	0.000	0.000	0.000	$0.00	$0.00
STANDARD OR SLIP FORM PORTLAND CEMENT CONCRETE PAVEMENT, CLASS C, CLASS 3 DURABILITY, 8 IN.										
0520	2401-6745625	LS	$26,000.000	1.000	0.000	0.250	0.250	0.250	$0.00	$6,500.00
REMOVAL OF EXISTING BRIDGE										
0530	2402-2720000	CY	$32.000	96.000	0.000	0.000	0.000	0.000	$0.00	$0.00
EXCAVATION, CLASS 20										
0540	2403-0100010	CY	$850.000	198.500	0.000	10.000	10.000	10.000	$0.00	$8,500.00
STRUCTURAL CONCRETE (BRIDGE)										
0550	2404-7775005	LB	$1.100	52,215.000	0.000	0.000	0.000	0.000	$0.00	$0.00
REINFORCING STEEL, EPOXY COATED										
0560	2414-6424120	LF	$92.000	202.000	0.000	0.000	0.000	0.000	$0.00	$0.00
CONCRETE OPEN RAILING										
0570	2417-1040018	LF	$30.000	60.000	0.000	0.000	0.000	0.000	$0.00	$0.00
CULVERT, CORRUGATED METAL ENTRANCE PIPE, 18 IN. DIA.										
0580	2501-0201042	LF	$43.000	500.000	0.000	0.000	0.000	0.000	$0.00	$0.00
PILES, STEEL, HP 10 X 42										
0590	2501-0201057	LF	$49.000	800.000	0.000	40.000	40.000	40.000	$0.00	$1,960.00
PILES, STEEL, HP 10 X 57										
0600	2501-5476057	LF	$110.000	321.800	0.000	0.000	0.000	0.000	$0.00	$0.00

Sample Voucher Continued

Time Charges

Time Limit	Original Deadline	Authorized Deadline	Charges This Period	Damages This Period	Days Completed To Date	Days Remaining To Date	Damages To Date
Project BROSCHBP-C058(61)--GA-58, Late Start Date: 07/19/21, Liquidated Damages: $1,500.00	70.0 Days	70.0 Days	0.0 Days	$0.00	0.0 Days	70.0 Days	$0.00
Project BROSCHBP-C092(109)--NC-92, Late Start Date: 07/06/21, Liquidated Damages, $1,500.00	80.0 Days	80.0 Days	0.0 Days	$0.00	0.0 Days	80.0 Days	$0.00
Project BRS-CHBP-C054(117)--GB-54, Late Start Date: 05/03/21, Liquidated Damages: $1,500.00	110.0 Days	110.0 Days	0.0 Days	$0.00	0.0 Days	110.0 Days	$0.00
						Total Damages:	$0.00

Stockpiles

Stockpile	Fund Package	Current Advancements	Advancements To Date	Current Recoveries	Recoveries To Date
#1 - 2408-7800000 STRUCTURAL STEEL	54-c054-117-CAT-1 54-c054-117-CAT-1	$0.00	$5,000.00	$0.00	$250.00
#2 - 2404-7775005	58-c058-061-CAT-1 58-c058-061-CAT-1	$0.00	$20,000.00	$0.00	$0.00
	Tota				

Detailed Payment:
54-C054-117

Summary

Current Approved Work:	$2,166.66	Approved Work To Date:	$63,170.30
Current Stockpile Advancement:	$96,000.00	Stockpile Advancement To Date:	$121,000.00
Current Stockpile Recovery:	$0.00	Stockpile Recovery To Date:	$250.00
Current Retainage:	$65.00	Retainage To Date:	$1,895.11
Current Retainage Released:	$0.00	Retainage Released To Date:	$0.00
Current Liquidated Damages:	$0.00	Liquidated Damages To Date:	$0.00
Current Adjustment:	$0.00	Adjustments To Date:	$0.00
Current Payment:	$98,101.66	Payments To Date:	$182,025.19
Previous Payment:	$60.40	Previous Payments To Date:	$83,923.53

Reminder: ALL Vouchers for Projects on the Farm-to-Market System

- **For all vouchers (except final) pertaining to projects on the Farm-to-Market system**

  - Send voucher to DOT.LocalSystems@iowadot.us for processing
    - Local Systems staff is now processing vouchers for payment
    - Will accept voucher as attachment or link to document in Doc Express

  - No longer using DOT-Finance email for vouchers

  - Pertains to both Appia and Farm-to-Market (309) voucher submissions

  - Does not pertain to locally paid projects which are reimbursed

  - Continue to upload final vouchers to Doc Express as usual. Field staff will submit final vouchers for payment with other close-out documents.

Appia:
Item Postings
(Quantity Entries)

- Very important to enter all **measurement, test result, and location information** for items in the remarks and location fields in each item posting

  - Field staff cannot audit without this information

  - Report can be generated at end of project to export all item posting entries by bid item

- Remember that <u>any type </u>of attachment can be added.

QUERY

ALL REPORTS

DAILY ACTIVITIES

ITEMS

MATERIALS

STOCKPILES

TIME LIMITS

CHANGE ORDERS

PUNCH LIST

OVERVIEW   PERSONNEL   EQUIPMENT   ITEM POSTINGS   ATTACHMENTS

Item Postings

Save Add Cancel

0140: 2501-5478073 LF
CONCRETE ENCASEMENT OF STEEL H PILES, HP 14 X 73

Authorized Quantity	Pending Quantity	Remaining Quantity	Quantity Placed	Total Placed
396.000	0.000	306.000	90.000	90.000

Contractor

PETERSON CONTRACTORS INC.

Remarks

CY Used = 17 1/4

Load Number Tested = 1
Air Test = 6.5%
Slump Test = 3 1/2"
Mix = C4WR-C20-S20
Plant = Manatts (Tama)

Station From

48   +   34.00

Station To

+

Location

South Pier - Piling #s 1-5

view less

Displaying **1** item posting

Save Add

Appia: Recent Challenges Faced

- Challenges with "easy button" file
  - Having to adjust many items
    - Letting Date
    - Section Names
    - Funding
    - Liquidated Damages
  - Infotech working on these items
  - Plan is to *eventually* place these files in DocX

- Providing constantly up-to-date reference data for locals
  - Reference data includes: Bid items, materials lists, contractors, etc.
  - Safety Closure item currently out of date
- Calculating retainage for contracts with local and Farm-to-Market funding sources & processing those automated payments through Workday
- Working through logistics of auditing and records retention
- Desire to customize reports and data entry fields.
- Automating payments
- Entering lump sum items
  - CPS (Contractor Pay System) requires $ amount instead of portion of 1.000
- Funding caps and funding source prioritization

Appia: Time Limit Report

- Time Limit (Working Day) Reports - Coming Soon!
  - Ability to enter:
    - Controlling item
    - Is contractor working - Yes/No
    - Reason for delay
  - % contract complete displayed on report
  - Glitch fix for total days to date as of end date of report

Palo Alto County - Iowa
Time Charges for Working Days
BRS-CHBP-C074(105)--GB-74 - 36622

Description	BOOTH 48 BRIDGE REPLACEMENT LETTING DATE: 2/182020 CONTRACT ID: 74-C074-105
Location	B63 1/2 MILE EAST OF N28
Awarded Project Amount	$569,573.20
Authorized Project Amount	$581,089.28
Notice to Proceed Date	03/18/2020
Construction Start Date	
Prime Contractor	GRAVES CONSTRUCTION CO., INC.
Dates Covered	11/22/2020 to 11/28/2020
Time Complete To Date	74.0 Days (99.329%)
Time Complete In Period	1.0 Day (1.342%)
Total Authorized Days	74.5 Days
Total Days Remaining	0.5 Days

Sunday 11/22/2020 - Saturday 11/28/2020

Date	Day of the Week	Days Charged
11/23/2020	Monday	1.0
Remarks: CO - EXCAVATION, CLASS 10		
11/24/2020	Tuesday	0.0
Remarks: CO- EXCAVATION, CLASS 10 RAIN, NO DAY CHARGED		
11/25/2020	Wednesday	0.0
Remarks: CO - EXCAVATION, CLASS 10 MUDDY CONDITIONS, NO DAY CHARGED CONTRACTOR LEFT SITE AFTER BEING UNABLE TO WORK		
11/26/2020	Thursday	0.0
Remarks: Thanksgiving Holiday		
11/27/2020	Friday	0.0
Remarks: Thanksgiving Holiday		
	Total This Period:	1.0
	Total To Date:	74.0

Field Manager

- Field Manager counties
  - Must be "all-in" or "all-out"
  - Reminder to review set-up tab in TPMS Development
- MUST inform Christy and/or Joe during project development if opting-out

Appia: Upcoming Trainings

Image Credit: https://www.tirereview.com/tire-dealership-training-employees-essentials/

- Upcoming Trainings: IN-PERSON (subject to change)
  - March 17 - Carroll (west region)
  - March 18 - Le Grand (central region)
  - March 31 - Monticello (east region)
- Register through IDOTU
- GovDelivery email with registration information sent 03/03/21

Questions?

- Contact us with questions
  - Tammi Bell: Account and user access issues
  - Niki Stinn: Project assistance (creation / implementation / close-outs)