



# **Federal-aid Overview Seminar**

## **Construction Inspection & Contract Administration Training Manual**

2026



## 2026 Federal-aid Overview Seminar

### Post-Letting: Construction Inspection and Contract Administration Agenda

Time	Agenda Item	Time	Agenda Item
8:00 - 8:30	<b>Registration</b>	12:45	<b>Appia – Derek Peck</b>
8:30	<p><b>Welcome – Sarah Okerlund</b></p> <ul style="list-style-type: none"> <li>• Introductions</li> <li>• Purpose and Format</li> <li>• Breaks and Facilities</li> <li>• General DOT Contacts</li> <li>• Website resources</li> <li>• Written Guidance</li> <li>• DOT, LPA, Consultant Roles</li> </ul> <p><b>Welcome - FHWA</b></p> <p><b>Construction Inspection - Region Field Technicians</b></p> <ul style="list-style-type: none"> <li>• I.M. 6.000</li> <li>• Pre-construction Meeting</li> <li>• Project Inspection Duties</li> <li>• Working Day Reports</li> <li>• Materials Testing &amp; IMs</li> <li>• Change Orders</li> <li>• EEO / AA and Wage Rate Compliance</li> <li>• Certified Payrolls</li> <li>• Davis-Bacon Wage Rates</li> <li>• Prompt Payment</li> <li>• Specification updates</li> <li>• Training Opportunities</li> </ul> <p><b>Break and Refreshments (provided)</b></p> <p><b>DBE Updates – Nikita Rainey</b></p> <ul style="list-style-type: none"> <li>• DBE Update</li> </ul> <p><b>Materials - District Materials</b></p> <ul style="list-style-type: none"> <li>• Materials IM 107</li> <li>• Materials Instructional Memorandums</li> <li>• Materials Acceptance Report</li> <li>• Materials Certification</li> <li>• Materials Training</li> </ul> <p><b>Doc Express – Derek Peck</b></p> <ul style="list-style-type: none"> <li>• Doc Express Instructions</li> <li>• Project Closeout Workflow</li> <li>• Naming Convention</li> <li>• Workflows &amp; Notifications</li> <li>• Auditing</li> <li>• Locking &amp; Archiving</li> </ul>	<ul style="list-style-type: none"> <li>• Project Setup &amp; Review</li> <li>• Record Keeping/Audit Guidance</li> <li>• Items Without Certifications/Payrolls</li> <li>• Appia-Doc Express Integration</li> <li>• Payments &amp; Change orders</li> <li>• Final Payment Process</li> <li>• Reminders &amp; Additional Resources</li> </ul> <p><b>Payments &amp; Claim Reimbursements – Field Team</b></p> <ul style="list-style-type: none"> <li>• Payments (Contractor Pay System, Appia Auto-pay)</li> <li>• New I.M. 6.020, Payments &amp; Reimbursement Processes</li> <li>• Claims for Reimbursement (Form 517050)</li> <li>• Inactive Obligations &amp; PEDs</li> </ul> <p><b>Final Inspection of Field Work - Region Field Engineers</b></p> <ul style="list-style-type: none"> <li>• General Information</li> <li>• Considerations</li> <li>• Procedures</li> <li>• Common Observations</li> </ul> <p><b>Break and Refreshments (provided)</b></p> <p><b>Construction Project Closeout - Region Field Engineers</b></p> <ul style="list-style-type: none"> <li>• Process Differences Competitive Grant and Earmark, Field, and Grant Team</li> <li>• I.M. 6.110 Final Review, Audit, and Close-out Procedures</li> <li>• Task 1. Final Inspection of Field Work</li> <li>• Task 2. Statement of Completion and Final Acceptance of Work</li> <li>• Task 3. LPA Pre-Audit Process and Pre-Audit Agreement/Estimate Payment</li> <li>• Task 4. Iowa DOT Final Audits for Federal-Aid</li> <li>• Task 5. Preparation of the Final Voucher</li> <li>• Task 6. Submittal of Final Forms Packet</li> <li>• Task 7. Project Close-out and Records Retention</li> </ul>	
11:30 – 12:45	<b>Lunch (on your own)</b>	3:00	<p><b>Closing Remarks – Nicole Moore</b></p> <ul style="list-style-type: none"> <li>• Top Things to Remember</li> </ul>

# **Table of Contents**

## **Federal-aid Overview Seminar Training Manual Post Letting: Construction Inspection & Contract Administration**

### **General Information**

- ❖ Iowa DOT Contact List
- ❖ Federal-aid Project Development Guide
- ❖ I.M. Table of Contents

### **Welcome**

### **Construction Inspection**

### **DBE Updates**

### **Materials**

### **Doc Express**

### **Appia**

### **Payments and Claim Reimbursements**

### **Final Field Reviews**

### **Project Close-out**

### **Closing - Top Things to Remember**

# Iowa DOT Contact List

## Federal-aid Overview Seminars

(December 1, 2025)

**Which Bureau is the Administering Bureau?** For most projects, Local Systems Bureau is the Administering Bureau. For projects funded by any or a combination of the Transportation Alternative, Federal Recreational Trails, Iowa's Clean Air Attainment programs, and certain earmark projects, the Systems Planning Bureau is the Administering Bureau. Refer to [I.M. 1.000](#) for additional information.

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# **Federal-aid Project Development Guide**

## **For Local Public Agencies**

January 19, 2024

**Iowa Department of Transportation**  
Local Systems Bureau  
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[https://iowadot.gov/local\\_systems/publications/im/federal-aid-guide.pdf](https://iowadot.gov/local_systems/publications/im/federal-aid-guide.pdf)

## Table of Contents

<b>1</b>	<b>Introduction</b> .....	<b>2</b>
1.1.	About the Federal-aid Guide .....	2
1.2.	Working with the Iowa DOT .....	2
<b>2</b>	<b>Federal-aid Basics</b> .....	<b>3</b>
2.1.	Project Programming .....	3
2.2.	Funding Agreement .....	4
2.3.	FHWA Authorization .....	4
2.4.	Reimbursement .....	5
2.5.	Match Requirements .....	5
2.6.	Person in Responsible Charge.....	6
<b>3</b>	<b>Getting Started</b> .....	<b>6</b>
3.1.	Project Development Overview .....	6
3.2.	Concept Statement.....	7
3.3.	Project Schedule .....	7
3.4.	Project Submittal Dates .....	7
3.5.	Project Tracking.....	7
3.6.	Financial Plan .....	7
<b>4</b>	<b>Permits and Environmental Review</b> .....	<b>8</b>
4.1.	The NEPA Process.....	8
4.2.	Water Trails and Paddling Routes.....	8
4.3.	Section 404 Permits .....	8
4.4.	Iowa DNR Floodplain Development Permits .....	8
4.5.	Storm Water Permits .....	8
4.6.	Farmland Protection Policy Act .....	9
4.7.	Projects in the Vicinity of an Airport or Heliport .....	9
4.8.	Hazardous Materials.....	9
4.9.	Work on Primary or Interstate Highways.....	9
<b>5</b>	<b>Project Design</b> .....	<b>10</b>
5.1.	Final Design and FHWA Environmental Concurrence .....	10
5.2.	Federal-aid Participation in Design Activities .....	10
5.3.	Design Guidelines .....	11
5.4.	Design Exceptions.....	11
5.5.	Plans and Specifications .....	12
<b>6</b>	<b>Right-of-Way, Utilities, and Railroads</b> .....	<b>13</b>
6.1.	Right-of-Way.....	13
6.2.	Utilities .....	13
6.3.	Railroads.....	14
<b>7</b>	<b>Letting and Contract Award</b> .....	<b>14</b>
7.1.	Iowa DOT Letting Procedures .....	14
7.2.	Local Letting Procedures.....	15
7.3.	Participation by Disadvantaged Business Enterprises .....	15
<b>8</b>	<b>Construction</b> .....	<b>15</b>
8.1.	Contract Administration and Inspection.....	15
8.2.	Iowa DOT and FHWA Reviews .....	16
<b>9</b>	<b>Project Close-out and Audits</b> .....	<b>16</b>
9.1.	Completion of the Construction Contract .....	16
9.2.	Final Audits.....	16
9.3.	Closing the Project and Records Retention .....	16
<b>10</b>	<b>Other Federal-aid Requirements</b> .....	<b>17</b>
10.1.	Nondiscrimination .....	17
10.2.	Federal Funds Management .....	17
10.3.	Bridges.....	17
	<b>Appendix A – Project Development Flow Chart</b> .....	<b>18</b>
	<b>Appendix B – Glossary of Terms</b> .....	<b>20</b>

## 1 Introduction

### 1.1. About the Federal-aid Guide

#### 1.1.1. What is the Federal-aid Guide for?

The Federal-aid Project Development Guide for Local Public Agencies (the Federal-aid Guide) exists to provide information and instructions to Local Public Agency (LPA) staff in order to help them successfully develop their Federal-aid transportation projects.

#### 1.1.2. How should the Federal-aid Guide be used?

For LPAs that are unfamiliar with Federal-aid procedures, the Federal-aid Guide serves as an overview and introduction to the Federal-aid process. For those LPAs that frequently use [Federal-aid funds](#) for their transportation projects, the Federal-aid Guide also serves as a reference tool to quickly locate more detailed information on a specific topic.

The Federal-aid Guide is not intended to include all the details of the Federal-aid process. Instead, where appropriate, the Federal-aid Guide references other documents that provide additional detailed instructions concerning specific parts of the process. In other words, the Federal-aid Guide provides a central location from which all of the information relevant to development of LPA Federal-aid transportation projects may be located.

Most of the detailed information referenced by the Federal-aid Guide is contained in the Instructional Memorandums to Local Public Agencies (I.M.s). To view or print a referenced I.M., simply click on the hyperlink provided, shown with [blue, underlined text](#). The Iowa DOT does not provide printed copies of the I.M.s; however, all I.M.s are available on-line in Adobe Acrobat's Portable Document Format (PDF).

Although the Federal-aid Guide is written using an informal style, in some places, it is necessary to use technical terms or phrases. When such terms or phrases are used, they are defined in [Appendix B - Glossary of Terms](#). To jump to the glossary entry for a defined term or phrase, simply click on the [green, dotted-underline text](#).

#### 1.1.3. What does the Federal-aid Guide cover?

The focus of the Federal-aid Guide is Federal-aid project development. However, it also provides some guidance for a wider range of project activities – beginning immediately after funding approval and continuing up through construction and final reimbursement.

The Federal-aid Guide is applicable to any transportation project that is funded in whole or in part with Federal Highway Administration (FHWA) program funds that are passed through the Iowa Department of Transportation (Iowa DOT) to a local government or other government agency. Examples of such programs include traditional highway and bridge programs such as the Surface Transportation Block Grant (STBG) Program and Highway Bridge Program (a subsidiary of the STBG program); and other transportation-related programs such as Transportation Alternatives Program (TAP) and Federal Recreational Trails program and the Iowa Clean Air Attainment Program (ICAAP). The Federal-aid Guide is also applicable to projects funded with Federal-aid [earmark or demonstration](#) funds that are subject to FHWA requirements, as specified in Title 23, United States Code and its associated regulations.

The Federal-aid Guide does not cover projects with Federal-aid Swap funding; refer to [I.M. 1.150](#), Federal-aid Swap Program and the Non-Federal-aid Guide for additional information.

### 1.2. Working with the Iowa DOT

#### 1.2.1. Roles and Responsibilities

With respect to an LPA Federal-aid transportation project, the Iowa DOT serves as both an advisor and a monitor. With each role, the Iowa DOT has different responsibilities. As an advisor, the Iowa DOT is responsible for providing guidance and assistance to LPAs to help them successfully implement their Federal-aid transportation projects. As a monitor, the Iowa DOT is

responsible to the FHWA for administering and overseeing the various Federal-aid transportation programs that are available to LPAs. This oversight is accomplished by numerous reviews and approvals of project activities, as outlined in the I.M.s applicable to those activities.

Certain project activities also require approval by FHWA (for example, a design exception for a project on the [National Highway System](#)). A complete list of activities requiring FHWA approval is contained in Attachment A of the [Stewardship and Oversight Agreement](#) between the Iowa DOT and the FHWA Iowa Division. When approval is required by FHWA, this will also be noted in the I.M. that addresses that project activity.

In addition, for certain projects, the FHWA must also review and approve certain project activities. In the current Stewardship and Oversight Agreement, these are referred to by FHWA as Projects of Division Interest (PoDI). Such projects will have a project-specific Stewardship and Oversight Plan which details the specific project activities requiring FHWA review and approval. These activities are selective and may change over time. If a project is designated as a PoDI, the FHWA Iowa Division will notify the Iowa DOT, and in turn, the Iowa DOT [Administering Team](#) will notify the LPA and provide a copy of the project-specific Stewardship and Oversight Plan.

### 1.2.2. Who do I Contact?

The administration and oversight of these Federal-aid programs is a combined effort of many different divisions and offices within the Iowa DOT. However, the LPA's primary point of contact with the Iowa DOT will be the [Administering Team](#). Unless specified otherwise, all project submittals, correspondence, and questions should be directed to the Administering Team.

The Iowa DOT [Local Systems Bureau](#) is responsible for providing written guidance, including the Federal-aid Guide, I.M.s, and other information, to both the Administering Team and LPAs. The Local Systems Bureau also provides assistance with the interpretation and implementation of that guidance. When policy or procedural questions require the assistance of the FHWA, the Local Systems Bureau serves as a liaison between the FHWA and the Administering Team or LPAs.

## 2 Federal-aid Basics

**Before beginning any project activities for which Federal-aid reimbursement will be requested, read this section carefully!** This section of the Federal-aid Guide explains several critical activities and their sequence in the Federal-aid process. To have a successful Federal-aid project, it is crucial that the LPA officials working on the project understand and comply with these basic requirements of the Federal-aid process.

### 2.1. Project Programming

All Federal-aid projects must be included, or "programmed," in the appropriate Regional Planning Affiliation (RPA) or Metropolitan Planning Organization (MPO) Transportation Improvement Program (TIP). All of the RPA and MPO TIPs are then combined, along with Iowa DOT Federal-aid projects, to form the Statewide Transportation Improvement Program (STIP).

As discussed in [Section 2.3](#) below, project activities for which Federal-aid reimbursement will be requested must receive [FHWA Authorization](#) before those activities begin. However, before any project activities can receive FHWA Authorization, the project must be included in the STIP. Therefore, project programming is a critical first step in the Federal-aid process.

The LPA is responsible for working with the applicable RPA or MPO to ensure that their project is included in the TIP / STIP and is programmed with an adequate amount of funds for the correct [Federal Fiscal Year \(FFY\)](#). Funds should be programmed in the FFY(s) in which FHWA Authorization will need to occur; not on the basis of when actual expenditures will occur. For example, if utilizing Federal-aid on the construction phase of a project, FHWA Authorization would occur during the Iowa DOT letting process and all related Federal-aid funds shall be programmed in the FFY in which the authorization will occur for the anticipated letting. This would be true even if the construction project was expected to take multiple construction seasons to complete. The FFY begins October 1, and ends September 30. For example, FFY 2021 began October 1, 2020 and will end September 30, 2021. FHWA Authorization for the October

letting would occur approximately 6 weeks before letting, so for projects scheduled for an October letting, they would need to be programmed in the previous FFY.

Project programming information for the TIPs is submitted, reviewed, and transmitted to the Iowa DOT for inclusion in the STIP using the [Transportation Project Management System](#) (TPMS). TPMS is web-based tool developed by the [Iowa County Engineers Association Service Bureau](#) (ICEASB) to assist local agencies with project programming and development tracking. While this tool was initially developed for the counties, it is also available for use by cities and consultants. For more information about TPMS or to request access to this system, call the ICEASB at 515-244-0779.

## 2.2. Funding Agreement

Another important initial step in the Federal-aid process is execution of a funding agreement between the Iowa DOT and the LPA. When funding has been awarded, the LPA should submit a copy of the approved funding application, Concept Statement, or other documentation to the [Administering Team](#) as soon as possible. Other documentation shall include, as a minimum, the name and title of the LPA's contact person, a project description that identifies the limits and basic character of the proposed work, and a current cost estimate. (Note: If the funding application was approved by the Administering Team, as may be the case with the Local Systems Bureau Grant Team, additional documentation is not usually required.)

Upon receipt of this information, the Administering Team will prepare a funding agreement and send an unsigned copy to the LPA for signature. By signing the funding agreement, the LPA agrees to follow all of the applicable Federal and State laws, regulations and policies pertaining to the specific type(s) of [Federal funds](#) that are involved. Therefore, project development activities should not proceed until a funding agreement has been executed to avoid potential re-work or jeopardizing Federal-aid.

In general, the funding agreement spells out the responsibilities of both the LPA and the Iowa DOT. The details of the funding agreement will vary, depending on the type of Federal funds that are involved. The LPA officials responsible for the project should thoroughly review the funding agreement prior to bringing it to the board of supervisors or city council for action. Any questions or concerns should be directed to the Administering Team.

## 2.3. FHWA Authorization

[FHWA Authorization](#) is one of the most important aspects of the entire Federal-aid process. If not done correctly or in a timely manner, it can jeopardize Federal-aid reimbursement for part or all of a project.

### 2.3.1. When is FHWA Authorization Needed?

[FHWA Authorization](#) must be obtained before beginning any project activity for which Federal-aid reimbursement will be requested. *If the LPA does not have written confirmation from the Iowa DOT that FHWA Authorization has been secured for a specific project activity which will utilize Federal-aid, work should not begin.* The costs associated with work occurring prior to FHWA Authorization will not be reimbursed with [Federal funds](#). If there is any doubt about whether FHWA Authorization has been obtained, contact the [Administering Team](#) for assistance.

Depending on the type of [Federal funds](#) and the provisions of the funding agreement, there are several different types of project activities that may be eligible for Federal-aid reimbursement. Some of these may include environmental studies, design, right-of-way acquisition, utility relocations, railroad work, construction, and construction inspection. Refer to the project funding agreement for the specific types of project activities that may be reimbursed with [Federal funds](#).

### 2.3.2. How is FHWA Authorization Obtained?

The following is a summary of the [FHWA Authorization](#) process. This process has been generalized for the sake of clarity. The actual authorization process will vary depending on the specific type of project activity that is being authorized. Additional details are provided in the sections of the Federal-aid Guide and / or I.M.s that address each type of project activity.

1. The LPA sends a written request for FHWA Authorization to begin a specific type of project work to the [Administering Team](#), including the appropriate documentation for the type of work being requested.
2. The Administering Team reviews the LPA's request and verifies the required clearances and reviews have been completed.
3. If acceptable, the Iowa DOT verifies the availability of [Federal funds](#) and prepares the electronic [Authorization/Agreement](#) or [Amendment/Modification](#) document, using the [Fiscal Management Information System](#) (FMIS).
4. The Iowa DOT sends the electronic document to FHWA for review and approval.
5. FHWA reviews the electronic document, and if acceptable, electronically signs the document. If the request is not acceptable, FHWA contacts the Iowa DOT to resolve any questions or issues.
6. After FHWA has signed the electronic document, the Administering Team notifies the LPA that FHWA Authorization has been obtained and the requested work may begin.

## 2.4. Reimbursement

All of the Federal-aid transportation programs administered by the Iowa DOT operate on a reimbursement basis. That is, the LPA, after completing the necessary steps and receiving the appropriate approvals, pays project expenses up front. In turn, the LPA submits a request for reimbursement to the Iowa DOT. The request should be made using the form or format provided by the [Administering Team](#). To ensure proper accounting of costs, reimbursement requests for costs incurred prior to June 30 shall be submitted to the Administering Team by August 1, if possible, but no later than August 15.

Requests for reimbursement shall be made on a periodic basis after costs have been incurred. To prevent the project obligation from becoming inactive (no Federal-aid reimbursements for 12 months or more), reimbursement should be requested every 6 months but not more than bi-weekly. *If the project becomes inactive, the Iowa DOT will notify the LPA that the unexpended balance of [Federal funds](#) will be de-obligated if the LPA cannot provide documentation within 30 days to support the remaining balance.* Such documentation shall include a revised cost estimate and a date by which a reimbursement request for the remaining Federal funds will be submitted. If a reimbursement request cannot be submitted within 30 days, written justification will be required for retaining the unexpended balance of Federal funds. The justification shall explain why the delay in requesting Federal-aid reimbursement is beyond the control of the LPA. Examples include delays resulting from environmental reviews or permits, right-of-way acquisition, utility relocations, unresolved litigation or contract claims, or compliance with other Federal-aid requirements. Failure to adequately plan for these requirements will not be considered adequate justification. If adequate justification is not provided, the unexpended balance of Federal funds will be de-obligated, and as a result, may no longer be available for reimbursement. For more information about the inactive obligation review requirements and process, refer to [I.M. 1.200](#), Federal Funds Management.

After Iowa DOT review and approval, the LPA will be reimbursed by the Iowa DOT at the agreed upon [Federal share](#) for properly documented, eligible, and authorized project costs. Reimbursements to the LPA are typically made by issuing a State warrant.

Farm-to-Market projects: A slightly different process is used for county Federal-aid projects on the Farm-to-Market System. For those projects, payments are typically made by Iowa DOT from the county's Farm-to-Market account. After such payments have been made, the Iowa DOT will request Federal-aid reimbursement, and the Federal share of such costs will be credited to the county's Farm-to-Market account.

## 2.5. Match Requirements

### 2.5.1. General Match Requirements

Most Federal-aid transportation programs require some type of cost sharing or match to the [Federal funds](#). In most cases, the match must come from non-Federal-aid sources. Usually, this match is provided in monetary form; that is, eligible project costs that have been paid for by entities other than the Federal government. Monetary sources may include donations of funds made by a third party, special assessments made for the project, and other non-Federal-aid funding sources. However, if the total funding received up-front for the project exceeds the required non-Federal share, the [Federal share](#) shall be reduced or the excess project specific funding must be returned. In other words, an LPA may not make money on a Federal-aid project.

### 2.5.2. In-Kind Contributions

Under certain circumstances, certain non-monetary contributions by a third party may be counted towards the required non-Federal-aid match. These non-monetary contributions are referred to as an in-kind contribution. A third party is any entity other than the Federal government, the Iowa DOT, or the LPA who is the recipient of the [Federal funds](#). The type of in-kind contribution that may be counted toward the non-Federal-aid match varies, depending on the timing of the contribution and the type of Federal funds that are being matched. Projects funded by one or more of the Small Federal Programs (Transportation Alternatives Program and Federal Recreational Trails) may utilize right-of-way, services, materials, or equipment as an in-kind contribution. For additional guidance, eligibility limitations, and instructions on how to obtain Iowa DOT and FHWA approval of in-kind contributions, refer to [I.M. 3.050](#), In-Kind Contributions.

### 2.6. Person in Responsible Charge

Federal regulations (23 CFR 635.105 and 23 CFR 172.9(d)(1)) require the LPA to have a full-time employee who is in responsible charge of the project. This person supervises all project administration duties, oversees the work performed by consultants and contractors, and coordinates the development of the project with the Iowa DOT. Specific duties include:

1. administering inherently governmental project activities, including the review, approval, and negotiation of contracts, adherence to contract requirements and construction quality, and managing the scope of Federal-aid projects;
2. maintaining familiarity with day-to-day project operations, including project safety issues;
3. evaluating and participating in contract administration decisions and approvals, such as changed conditions, scope changes, changes in contract time, and changes in contract amounts;
4. scheduling and attending project review meetings and construction site visits on a frequency that is commensurate with the magnitude and complexity of the project;
5. reviewing financial processes, transactions, and documentation to ensure that safeguards are in place to minimize fraud, waste, and abuse;
6. directing project staff, agency staff, or consultants, to carry out project administration and contract oversight, including proper documentation;
7. being aware of the qualifications, assignments, and on-the-job performance of the agency and consultant staff at all stages of the project; and
8. ensuring that costs requested for Federal-aid reimbursement are allowable in accordance with the Federal cost principles and consistent with the contract terms.

These duties may be shared by several people. A single person may also serve as the person in responsible charge for multiple projects.

For counties and larger cities, this person is typically the county or city engineer; however, they need not be a licensed engineer or architect to be the person in responsible charge. For smaller cities that do not have any full-time employees, the mayor or city clerk may serve as the person in responsible charge, with assistance from the Iowa DOT Administering Team. A consultant **shall not** serve as the person in responsible charge.

## 3 Getting Started

### 3.1. Project Development Overview

The Federal-aid project development process is shown graphically in [Appendix A - Project Development Flowchart](#). This flow chart includes references to some of the applicable I.M.s for additional details concerning specific parts of the development process. The remaining sections of the Federal-aid Guide provide a written overview of the project development process.

### 3.2. Concept Statement

Submittal of the Concept Statement for Local Public Agency Federal-aid Projects ([Form 517001](#)) is a critical first step that typically initiates the project development process. This form provides information about the proposed location and types of work, possible environmental impacts, and proposed design.

Since this information is used by the Iowa DOT to initiate a number of different project reviews and processes, this form should be submitted by the LPA as soon as possible. Otherwise, the required reviews and processes will be delayed, and this may delay the project as a whole.

For additional information and detailed instructions for completing this form, refer to [I.M. 3.020](#), Concept Statement Instructions.

### 3.3. Project Schedule

The time required to develop a Federal-aid project from funding approval to project letting varies greatly, depending on several factors. Some of these factors include: whether right-of-way must be acquired, the type and magnitude of environmental or social impacts, and whether utility relocations or work on railroad property or facilities is required. Therefore, it is not possible to specify a project schedule that is applicable to all situations. Nevertheless, some typical project schedules are provided in [I.M. 3.000](#), Federal-aid Project Scheduling. These schedules show the relationship between the typical project tasks and the time it usually takes to complete each one, based on certain assumptions.

### 3.4. Project Submittal Dates

[I.M. 3.010](#), Project Development Submittal Dates and Information, provides specific dates for some of the key project submittals, based on a targeted Iowa DOT letting date. It also provides a summary of what should be included in those submittals.

*Please note that [I.M. 3.010](#) is only intended to show the minimum amount of time required for the Iowa DOT to review the project submittals listed. Depending on the circumstances of each project, other submittals or activities may be the controlling factor in determining when a project may be let. These dates do not account for the review times of other Federal or State agencies that may or may not be necessary for a given project. In addition, the dates shown in [I.M. 3.010](#) assume that the project will complete the NEPA process as a Categorical Exclusion (CE); they are not applicable for projects that will require an Environmental Assessment (EA) or Environmental Impact Statement (EIS). For more information about the different levels of environmental classification, refer to [I.M. 4.020](#), NEPA Process.*

### 3.5. Project Tracking

The Iowa DOT requires the LPA (or the consultant acting on its behalf) to use TPMS (as described in [Section 2.1](#)) to record and monitor the programming and development status of their projects that involve construction. Use of TPMS for non-construction projects is optional. Much of the information in TPMS is transferred electronically to the Iowa DOT for use in project programming, development, and letting. Therefore, it is important for LPAs to keep their project information current in TPMS.

### 3.6. Financial Plan

For major projects (those with an estimated cost of \$100 million or greater) the LPA will be required to prepare a financial plan. For purposes of this requirement, a “project” is defined by the limits used for the environmental review process described in Section 4 below, unless specifically stated otherwise in the environmental document.

The LPA’s project financial plan must be reviewed and approved by the Iowa DOT and FHWA. The estimated cost shall include all elements of work for all segments of the overall project. Elements of work refer to the different categories of work, such as engineering, right-of-way, construction, etc. Segments refer to the portions of the total project which can be defined by physical limits. For example, the design, right-of-way, and construction activities for several projects in the same highway corridor, even though they are separated for purposes of bidding and construction, may be considered one overall project.

If a project may fall into the major project category, the LPA should contact the Iowa DOT [Administering Team](#) for assistance. Additional information is available on FHWA's [Innovative Program Delivery](#) web site.

## 4 Permits and Environmental Review

This section of the Federal-aid Guide gives a brief summary of the typical permits or environmental reviews that may be required by the applicable Federal or State laws and regulations.

### 4.1. The NEPA Process

The National Environmental Policy Act (NEPA) and its associated Federal regulations require that certain procedures be followed in developing a Federal-aid project. The purpose of these procedures is to provide consideration of a wide variety of social or environmental impacts that may result from the project.

The amount of time and effort required to comply with the NEPA process varies greatly, depending on the anticipated level of impacts. The effort required by an LPA may be as minimal as completing a few forms; or it may be as involved as preparing extensive environmental documentation and facilitating a significant amount of public involvement, which can be a very costly and time-consuming process.

The Iowa DOT is responsible to review the environmental impacts of all LPA Federal-aid transportation projects and assist the LPA in complying with the NEPA requirements. This review is coordinated and ultimately approved by the FHWA, based on the established policies and procedures.

There are several distinct parts of the NEPA process. Completion of the NEPA process is sometimes referred to in the Federal-aid Guide and I.M.s as [FHWA Environmental Concurrence](#). For an overview of the NEPA process as a whole, refer to [I.M. 4.020](#), NEPA Process. For additional guidance concerning the different parts of the FHWA Environmental Concurrence process, refer to the following I.M.s:

- [I.M. 3.020](#), Concept Statement Instructions, provides detailed instructions for completing the Concept Statement for Local Public Agency Federal-aid Projects ([Form 517001](#)). This form is used to begin the FHWA Environmental Concurrence Process.
- [I.M. 4.110](#), Threatened and Endangered Species, provides guidance concerning the requirements and procedures for potential impacts to listed species and critical habitats.
- [I.M. 4.120](#), Cultural Resource Regulations, provides guidance concerning the requirements and procedures for potential impacts to cultural resources, such as archaeological sites and historic properties.

### 4.2. Water Trails and Paddling Routes

[I.M. 4.200](#), Water Trails and Paddling Routes, provides guidance concerning the requirements under 23 CFR 774 when a project has the potential for obstruction or falling debris within a river, stream, or other aquatic resource.

### 4.3. Section 404 Permits

Section 404 of the Clean Water Act and its associated Federal regulations place restrictions on the use of wetlands, streams, rivers, or other aquatic resources. If any project construction will occur in any of these areas, the LPA may be required to notify the U.S. Army Corps of Engineers and obtain the appropriate Section 404 permit. For more information, refer to [I.M. 4.130](#), 404 Permit Process.

### 4.4. Iowa DNR Floodplain Development Permits

Projects that will involve construction in the flood plain of any river or stream in Iowa may require a Floodplain Development Permit from the Iowa Department of Natural Resources (Iowa DNR). The threshold for when a permit is required depends on the location, type of construction, and drainage area of the river or stream. For more information, refer to [I.M. 4.150](#), Iowa DNR Floodplain Permits and Regulations.

### 4.5. Storm Water Permits

The Clean Water Act and its associated Federal and State regulations may also require a National Pollutant Discharge Elimination System (NPDES) permit. If project construction activities will disturb more than 1 acre of ground, the LPA is required to submit a notification and obtain an NPDES permit from the Iowa DNR. Ground is considered disturbed if the soil is exposed to erosive forces, such as wind or water, for any period of time. For more information, refer to [I.M. 4.140](#), Storm Water Permits.

#### **4.6. Farmland Protection Policy Act**

The Farmland Protection Policy Act and its associated Federal regulations are designed to minimize the conversion of farmland to non-agricultural purposes by Federal-aid programs. If the project will require less than 5 acres of farmland per mile or per site, no action needs to be taken. However, if the anticipated impacts will exceed these thresholds, the LPA is required to complete a form and submit it to the Natural Resources Conservation Service (NRCS). For more information, refer to [I.M. 4.170](#), Farmland Protection Policy Act Guidelines.

#### **4.7. Projects in the Vicinity of an Airport or Heliport**

If project construction will take place in the vicinity of a public airport or heliport, the LPA may be required to provide notice to the Federal Aviation Administration (FAA) and local airport officials. For more information, refer to [I.M. 4.190](#), Highway Improvements in the Vicinity of Airports or Heliports.

#### **4.8. Hazardous Materials**

In order to construct a transportation project, it is possible that hazardous materials may be encountered during the demolition or construction of buildings, bridges, or other structures. In those cases, certain Federal and State laws and regulations may govern how the demolition or construction may proceed.

The Clean Air Act and its associated Federal regulations require certain inspection, testing, notification, and removal procedures to be followed if the project involves removal of any structures or material that may contain asbestos. This includes buildings and bridges. For more information on the required procedures, refer to [I.M. 4.160](#), Asbestos Inspection, Removal, and Notification Requirements.

If contaminated soil or other hazardous wastes are encountered during project construction or on property acquired for the project, the LPA may be responsible for removal or treatment of such materials. If hazardous wastes may be present, the LPA may contact the Iowa DOT [Location and Environment Bureau](#), Regulated Materials Section, for assistance.

#### **4.9. Work on Primary or Interstate Highways**

If a locally sponsored project involves a Primary or Interstate highway, additional coordination and approvals by the Iowa DOT and / or FHWA are required, as described below.

##### **4.9.1. Permits**

If the project will require any work within or abutting the right-of-way of an Interstate or Primary Highway, the LPA must acquire the appropriate permit(s) from the Iowa DOT. Execution of the project funding agreement does not grant any of the Iowa DOT permits that may be required. The type of permits required depends on the type of work being done. For more information, contact the Engineering Operations Technician in the Iowa DOT [District Office](#) in which the project is located.

##### **4.9.2. Interchange Justification Reports**

If the project will involve studies, design, or construction associated with a new or revised interchange on an Interstate highway, an Interchange Justification Report (IJR) must be prepared. The purpose of an IJR is to evaluate the need and engineering feasibility of the proposed interchange. The IJR must be reviewed and approved by the Iowa DOT and the FHWA. For more information, refer to the Iowa DOT's [User Guide – Process for New or Revised Interchange Access](#).

### 4.9.3. Projects within Interstate Right-of-Way

If the project will require any work within Interstate ROW, additional time may be required for FHWA review prior to construction, regardless of funding type. For projects with Federal-aid, the Administering Team will coordinate this. Due to traffic volumes and speed, all construction that takes place within Interstate right-of-way will be directly administered by Iowa DOT unless prior approval has been obtained from FHWA. Coordination of these activities should be discussed early in the design process to ensure all parties have capacity in their schedules.

## 5 Project Design

Unless specified otherwise in the project funding agreement, the LPA is responsible for all project design activities. The project design may be completed by the LPA's own staff, by a consultant, or if provided for by an intergovernmental agreement with another governmental agency, the staff or consultants hired by that agency. In any case, all plans and specifications must be prepared by a professional engineer or architect licensed to practice in the State of Iowa, unless specified otherwise in the project funding agreement.

### 5.1. Final Design and FHWA Environmental Concurrence

As discussed in [Section 4.1](#) above, the NEPA process requires that certain procedures be followed in the process of selecting the location of a Federal-aid project. The NEPA process also places limits on when certain project activities may begin. One of the activities limited by the NEPA process is final design. Final design activities may not begin until [FHWA Environmental Concurrence](#) has been obtained.

Environmental and related engineering studies, agency coordination, public involvement activities, and preparation of Preliminary Plans are not considered final design. Therefore, these activities may proceed prior to completing the NEPA process. However, work directly associated with preparation, review, or submittal of Check Plans or Final Plans is considered final design.

### 5.2. Federal-aid Participation in Design Activities

For most Federal-aid projects, project design activities may be eligible for Federal-aid reimbursement. For purposes of [FHWA Authorization](#), these costs are categorized as one of the following:

- Preliminary Engineering (PE) includes work that is part of the development of the plans, specifications, and estimate (PS&E) for a construction project. This includes environmental studies and documents, preliminary design, and final design up through and including the preparation of bidding documents. PE does not include planning or other activities that are not intended to lead to a construction project. Examples include planning, conceptual, or feasibility studies.
- Construction Engineering (CE) includes materials testing, construction inspection, and other work directly related to the administration of the construction contract (e.g., processing contractor payment requests, or preparing change orders, a final punch list, or project close-out paperwork).

#### 5.2.1. Consultant Services

If the LPA uses consultant services to assist in the planning, design, or construction of the project, a consultant evaluation shall be completed as per [I.M. 3.320](#), Consultant Evaluations.

If the LPA desires Federal-aid reimbursement for the costs of consultant services, certain procedures must be followed in acquiring, preparing, reviewing, approving, and administering the consultant contract. For more information, refer to [I.M. 3.310](#), Federal-aid Participation in Consultant Costs.

#### 5.2.2. In-House Services

If the LPA chooses to perform PE, CE, right-of-way acquisition, or other work directly related to the development of the project with its own staff, these costs may also be reimbursed with [Federal funds](#), if the appropriate procedures are followed. To be approved, the LPA must be able to segregate and provide an accounting of the cost of its in-house services. For more information, refer to [I.M. 3.330](#), Federal-aid Participation In-House Services.

### 5.3. Design Guidelines

Federal-aid projects should be designed to meet the guidelines provided by the Iowa DOT. Generally speaking, these guidelines correspond to nationally recognized design guidelines, such as those published by the American Association of State Highway Transportation Officials (AASHTO).

#### 5.3.1. Roadways and Bridges

Any road or bridge projects that are located on the [Primary Highway System](#), [Interstate System](#) or [National Highway System](#) (NHS), regardless of funding source, shall use the design guidelines in the [Iowa DOT Design Manual](#). For all other road and bridge projects, refer to the guidelines listed below:

- For projects involving new construction or complete reconstruction within urban areas, refer to Iowa Statewide Urban Design and Specifications (SUDAS) [Design Manual](#), Chapter 5.
- For projects involving new construction or complete reconstruction on rural collectors and rural local roads, refer to [I.M. 3.210](#), Rural Design Guidelines.
- For projects involving new construction or complete reconstruction on urban public improvement projects, refer to [I.M. 3.215](#), Urban Design Guidelines.
- For projects with a rural cross section (e.g. shoulders with open ditches, no curbs) in urban areas or projects in transition areas between rural and urban areas, refer either to the SUDAS [Design Manual](#) or [I.M. 3.210](#).
- For both rural and urban projects involving rehabilitation, restoration, or resurfacing (3R) projects, refer to [I.M. 3.220](#), 3R Guidelines.
- For guidance concerning the use and placement of guard rails and bridge rails, refer to [I.M. 3.230](#), Traffic Barriers (Guardrail and Bridge Barrier Rail).
- For guidance in providing a safe recovery area, refer to [I.M. 3.240](#), Clear Zone Guidelines.
- For projects involving bridges or culverts, additionally refer to [I.M. 3.500](#), Bridge or Culvert Plans.

#### 5.3.2. Bicycle and Pedestrian Facilities

For bicycle and pedestrian facility projects, designs should meet or exceed the minimum recommended values provided in Chapter 12A and 12B of the [Iowa DOT Design Manual](#).

New construction or alterations to pedestrian facilities shall be designed to meet the requirements of the Americans with Disabilities Act (ADA). Refer to [I.M. 1.080](#), ADA Requirements, for the applicable design guidelines.

### 5.4. Design Exceptions

Designs that do not meet the guidelines specified by the applicable I.M.s or documents referenced in Section 5.3 will require a written design exception or justification. Design exceptions and justifications should be based on sound engineering judgment, describe the proposed mitigation measures, and include supporting documentation that is appropriate. Design exceptions also require preparation of a cost-benefit analysis; whereas justifications do not.

The LPA must prepare and submit the design exception or justification and its accompanying documentation to the [Administering Team](#) for review and approval. Design exceptions or justifications should be submitted with the Concept Statement submittal, or as soon as it becomes apparent that an exception or justification will be necessary, but in no case later than the Check Plan Submittal.

#### 5.4.1. Roadways and Bridges

A design exception is required in the following situations:

1. For the controlling design elements listed in [I.M. 3.260](#), Design Exception Process, the proposed design does not meet:
  - the values in the “AASHTO Guidelines” tables of [I.M. 3.210](#); or

- the “acceptable” values in the [Iowa DOT Design Manual](#) or [SUDAS Design Manual](#), as applicable.
2. For projects on the Interstate System, Primary System, or NHS, any controlling design element identified in the [Iowa DOT Design Manual Section 1C-1](#) is not met.

A justification is required in the following situations:

For the controlling design elements listed in [I.M. 3.260](#), Design Exception Process, the proposed design meets:

- the values in the “AASHTO Guidelines” tables, but does not meet the values in the “Design Aids” tables of [I.M. 3.210](#); or
- the “acceptable” values, but does not meet the “preferred values” in the [Iowa DOT Design Manual](#) or [SUDAS Design Manual](#), as applicable.

Federal regulations require approval of design exceptions for any new construction, reconstruction or 3R project on the NHS, regardless of funding source. LPAs should review the design of all such projects and submit design exception requests to the Iowa DOT [Administering Team](#). Routine maintenance activities on NHS routes do not require review or approval by the Iowa DOT.

For more information on the design exception process for road or bridge projects, refer to [I.M. 3.250](#), Economic Analysis (Benefit-to-Cost Ratio) and [I.M. 3.260](#), Design Exception Process.

#### **5.4.2. Bicycle and Pedestrian Facilities**

Project designs that do not meet the guidelines listed in Section 5.3.2 require a written justification.

### **5.5. Plans and Specifications**

There are several points during project development at which plans must be submitted to the Iowa DOT. These submittals are a key part of the project review and provide much of the information required by the Iowa DOT. Each submittal shall be made through TPMS and accompanied by an e-mail through the TPMS system; and other documents shall be submitted as required. The content of each submittal is summarized in [I.M. 3.010](#), Project Development Submittal Dates and Information.

#### **5.5.1. Preliminary Plans**

The Preliminary Plans are used by the Iowa DOT to evaluate the proposed project design, right-of-way needs, and possible environmental impacts. For more information, refer to [I.M. 3.400](#), Preliminary Plans. If the project involves a bridge or culvert, refer also to [I.M. 3.500](#), Bridge or Culvert Plans.

#### **5.5.2. Check and Final Plans**

Most Federal-aid transportation projects must be let by the Iowa DOT. To be successfully let by the Iowa DOT, the plans and specifications must conform to the Iowa DOT letting process. For example, the Iowa DOT [Standard Specifications](#) and the accompanying list of [standard bid items](#) shall be used when appropriate. In addition, use of Iowa DOT [Standard Road Plans](#) and [Road Design Details](#) (includes standard tabulations, notes, details, and typical sections) are also strongly encouraged. Use of these standards promotes consistency and uniformity among all projects let by the Iowa DOT. In turn, plan consistency helps reduce the project cost, because bidder uncertainties associated with different specifications or plan formats are reduced.

The Check Plan submittal serves as a precursor to the Final Plans. Even so, Check Plans should be 100% complete. This allows the [Administering Team](#) to review all the required elements of the plans and provide enough time to make any changes that may be needed. If the Check Plans are not complete, the project letting may be delayed.

For detailed information about the plan requirements for letting at the Iowa DOT, refer to [I.M. 3.700](#). If the project involves a bridge or culvert, refer also to [I.M. 3.500](#), Bridge or Culvert Plans.

## 6 Right-of-Way, Utilities, and Railroads

### 6.1. Right-of-Way

For some transportation projects, it is necessary to acquire some type of property rights in order to construct the project. As used in the Federal-aid Guide and the I.M.s, the term, “right-of-way” includes the acquisition of any type of property rights. These property rights may be temporary, such as a temporary construction easement; or they may be permanent, such as a drainage easement or title to a property.

Regardless of what type of property rights are acquired, there are a number of Federal and State laws and regulations that govern how and when this may be accomplished on a Federal-aid project. These laws and regulations are lengthy and complex, and in many cases, will require the use of specially trained staff or consultants to ensure they are followed properly. Nevertheless, there are a few points that everyone should understand:

- The Federal and State right-of-way laws and regulations always apply, even if right-of-way costs will not be reimbursed with [Federal funds](#).
- If Federal-aid is used in the cost of acquiring right-of-way, the acquisition may not begin until after [FHWA Environmental Concurrence](#) has been obtained. One exception to this requirement is when property is acquired because of a hardship on the property owner, or when purchase is necessary to protect a corridor for future transportation use. However, individual parcels to be acquired under the hardship or protective buying provisions still must have prior approval by the Iowa DOT and the FHWA.
- If Federal-aid is not used in the cost of acquiring right-of-way, the acquisition may begin before [FHWA Environmental Concurrence](#) has been obtained.

For more information about right-of-way acquisition resources, procedures, and requesting [FHWA Authorization](#) of right-of-way costs, refer to [I.M. 3.600](#), Right-of-Way Acquisition.

### 6.2. Utilities

#### 6.2.1. Accommodation and Coordination

Early coordination with utilities that may be impacted by a transportation project is critical. Even though, in many cases, the utility company is obligated to move its facilities if required by a transportation project, failure to communicate by either the LPA or the utility can cause project delays and added expense.

All utility relocations required by a Federal-aid project shall comply with the applicable utility accommodation policy. For projects located on non-primary, [Federal-aid highways](#), refer to the [Policy for Accommodating Utilities on the County and City Non-Primary Federal-aid Road System](#). For projects located on primary highways, refer to [761 Iowa Administrative Code, Chapter 115 Utility Accommodation](#). For more information, refer to [I.M. 3.640](#), Utility Accommodation and Coordination.

#### 6.2.2. Federal-aid Participation in Utility Relocations

[Federal funds](#) may or may not participate in the costs, depending on their location, ownership, and which entities have either the obligation or authority to pay for the costs of relocating the utilities. In most cases, utilities located in the public right-of-way must move at their own expense and are not eligible for Federal-aid reimbursement. Utility relocation costs include the costs to relocate utilities that must be moved in order to construct the project. Besides construction, these costs may also include design, and in some cases, the acquisition of a replacement easement.

For more information, refer to [I.M. 3.650](#), Federal-aid Participation in Utility Relocations.

### **6.3. Railroads**

#### **6.3.1. Coordination**

When a transportation project requires the use of railroad property, even for minor maintenance-type work of limited duration, advance notification and approval by the railroad will be required. Projects that require access to the railroad right-of-way or modifications to railroad facilities will require an agreement with the railroad.

Therefore, as is the case with utilities, early coordination with the affected railroad(s) is critical. The LPA should contact all railroad companies that have tracks inside or adjacent to the project work area to determine what type of approvals or agreements will be required. The Iowa DOT has developed a process for coordinating with railroads, including specific procedures and specifications that shall be used for all projects let by the Iowa DOT. For more information, refer to [I.M. 3.670](#), Work on Railroad Right-of-Way.

#### **6.3.2. Federal-aid Projects Involving Railroads**

All Federal-aid projects that will require access to the railroad right-of-way or modifications to railroad facilities must comply with a number of other specific requirements, including project design, notifications and / or agreements, insurance, and provisions for railroad flaggers.

If required by the transportation project, the costs of work performed by a railroad or the railroad's contractor may be eligible for Federal-aid reimbursement. In other cases, if the proposed improvements have a benefit to the railroad, the railroad may also be required by the Federal regulations to share in the cost of the work. However, the cost of improvements that are for the sole benefit of the railroad are not eligible for Federal-aid participation.

For purposes of [FHWA Authorization](#), railroad work includes the costs of modifications to railroad facilities that are required in order to construct the project. This may include construction, flaggers, right-of-way, and engineering costs. These costs shall be identified as part of the agreement between the LPA and the railroad, and the agreement must be reviewed and approved by the Iowa DOT prior to being executed by the LPA and the railroad. For more information, refer to [I.M. 3.680](#), Federal-aid Projects Involving Railroads.

## **7 Letting and Contract Award**

### **7.1. Iowa DOT Letting Procedures**

Competitive bidding has been a long-standing requirement for the Federal-aid transportation programs, with a few exceptions. As a result, there are many Federal laws and regulations that pertain to the construction contracting process. Because of the complexity of these requirements, the Iowa DOT requires that most Federal-aid projects be let at the Iowa DOT. This enables the Iowa DOT to better ensure compliance with these laws and regulations by conducting and directly monitoring the letting process. The Iowa DOT letting process is described in detail by [I.M. 5.030](#), Iowa DOT Letting Process. If an LPA would like to utilize innovative contracting methods, refer to [I.M. 3.730](#), Innovative Contracting Procedures. However, some important aspects of this process are highlighted in the subsections below:

#### **7.1.1. FHWA Authorization of Construction Costs**

As part of the letting process, the Iowa DOT obtains [FHWA Authorization](#) for the costs of the proposed construction contract. FHWA Authorization will be requested based on the plans, specifications, and estimate (PS&E) submitted by the LPA. If the bids come in significantly higher or lower than the estimate, the FHWA Authorization may be adjusted accordingly, provided that sufficient [Federal funds](#) are available for the project. The Iowa DOT requires that the LPA budget sufficient funds and be prepared to award a contract for bids that are up to 110% of the LPA's estimate.

#### **7.1.2. Project Clearances**

Before letting may proceed, the project should have all of the necessary clearances. These clearances are documented by the LPA and reviewed by the Iowa DOT using the Project

Development Certification ([Form 730002](#)). This form should be submitted with the Final Plans. For more information, refer to [I.M. 3.710](#), Project Development Certification Instructions.

Without the required clearances, projects are normally not allowed to enter the Iowa DOT letting process. However, under special circumstances, a project may begin the letting process without all of the necessary clearances provided the LPA requests and the [Administering Team](#) approves a Public Interest Finding.

The LPA's request must document the reasons why it is in the public's best interest to deviate from the standard procedures. For additional guidance on this process, as well as other conditions that require a Public Interest Finding, refer to [I.M. 3.720](#), Public Interest Findings.

### **7.1.3. Iowa DOT Concurrence in Award**

After bids are opened, the Iowa DOT determines the lowest responsive and responsible bidder and provides the LPA with tabulation of bids received and the unexecuted contract documents. Within 30 days of the letting, the LPA must either accept the low bid or reject all bidders. If the low bid is accepted, the LPA shall utilize Doc Express for the execution of the Contract. Instructions for Contract Signing in Doc Express are linked [here](#). If the Contract is acceptable, the Iowa DOT indicates its concurrence on the contract documents and transitions the contract documents via Doc Express, and the contract documents are marked complete. *Work shall not begin and the preconstruction meeting shall not be held prior to Iowa DOT concurrence in the award.* If the LPA elects to reject all bids, it shall notify the Iowa DOT Contracts and Specifications Bureau of its decision. For additional information and items for LPA consideration, refer to [I.M. 5.030](#), Iowa DOT Letting Process.

## **7.2. Local Letting Procedures**

While most Federal-aid projects must be let at the Iowa DOT, there are a few non-highway transportation programs for which lettings may be held locally.

Even though projects funded by these programs may be let locally, the applicable Federal and State competitive bidding requirements must still be satisfied, as well as several other Federal-aid requirements. To assist in meeting these requirements, the Iowa DOT has developed procedures and standardized bidding documents for use with locally let Federal-aid projects. Before advertising for bids, the LPA must submit the proposed bidding documents for review and approval by the Iowa DOT.

For more information on the types of Federal-aid programs and projects that may be let locally, and the required procedures for conducting a local letting, refer [I.M. 5.120](#), Local Letting Process – Federal-aid.

## **7.3. Participation by Disadvantaged Business Enterprises**

The requirements of the Disadvantaged Business Enterprise (DBE) program apply to all contracts awarded under all of the Federal-aid transportation programs, regardless of how the contract is acquired. These requirements apply to construction contracts let locally or by the Iowa DOT. They also apply to consultant contracts which will be reimbursed with [Federal funds](#).

In summary, a DBE goal is not always required, but DBE firms must always be given consideration for participation in Federal-aid funded contracts. For specific guidance on applying the DBE requirements to construction contracts or consultant contracts, refer to [I.M. 5.010](#), DBE Guidelines.

# **8 Construction**

## **8.1. Contract Administration and Inspection**

Unless specified otherwise in the funding agreement, the LPA will be responsible for all aspects of administration and inspection of the construction contract. This includes providing daily, on-site inspection of the contractor's work activities and processing all of the paperwork associated with the construction contract, including any change orders. All change orders shall have approval of the appropriate governing authority, such as the city council or county board of supervisors. Change Orders must also have Iowa DOT concurrence.

If the LPA does not have adequate staff to perform this work, it may hire a consultant or enter into an agreement with another governmental agency to provide these services. If the LPA elects to hire a consultant, the consultant staff shall be competent in construction inspection and perform this work under the direct supervision of a registered professional engineer or architect licensed in the State of Iowa.

However, use of a consultant does not relieve the LPA of ultimate responsibility for the proper administration and inspection of the construction contract. If a consultant is used to provide the inspection services, an LPA employee shall oversee the consultant's work.

For additional information about the construction inspection procedures, including the required forms and paperwork, refer to [I.M. 6.000](#), Construction Inspection.

## **8.2. Iowa DOT and FHWA Reviews**

The Iowa DOT and / or the FHWA may also conduct a field review of selected LPA projects during construction. Selected projects will be reviewed by [Administering Team](#), [Local Systems Bureau](#), or FHWA staff. If selected, the LPA may be notified when the field review will be conducted, or the review may be conducted unannounced. The purpose of the field review is to spot check the LPA's construction inspection documentation and provide assistance to the LPA if any deficiencies are identified.

# **9 Project Close-out and Audits**

## **9.1. Completion of the Construction Contract**

Federal regulations require each project to establish a Project End Date (PED). Costs incurred after the PED are not eligible for reimbursement. Timely project closeouts after the PED are also required by federal regulations. Refer to [I.M. 1.200](#), Federal Funds Management, for additional details.

The LPA is responsible for ensuring that all project construction has been completed and all of the necessary paperwork as required by the construction contract has been provided. This involves the LPA conducting a pre-audit of all contract items and associated paperwork; refer to [I.M. 6.110, Attachment E](#) for a checklist of items. When both the LPA and the Administering Team accept the field work as complete, the LPA's project engineer shall certify that the project was constructed in accordance with the plans and specifications and request a final audit of the construction contract.

## **9.2. Final Audits**

After receipt of the request for a final audit, the [Administering Team](#) may elect to conduct a final audit of the construction contract documentation. This will include a review of the final pay quantities for the construction contract, including material certifications, test results, and other documentation. If Federal-aid participation was requested for the costs of a consultant contract, work by LPA forces, utility relocations, or railroad work, a final audit or review of these costs may also be conducted.

If the final audits or reviews find that the LPA has been over-reimbursed, the LPA shall reimburse the Iowa DOT for the amount identified by the final audit or review. In turn, the Iowa DOT will credit these funds to the FHWA. Otherwise, the Iowa DOT will make the final reimbursement to the LPA, taking into account any adjustments required by the final audit or review.

## **9.3. Closing the Project and Records Retention**

After the final reimbursement to the LPA has been processed, the Iowa DOT will prepare a final [Amendment/Modification](#) to the [FHWA authorization](#) for the project in [FMIS](#), including the final total costs and final amount of Federal-aid reimbursement. After FHWA has approved this request, a copy of this document will be distributed to various Iowa DOT offices, the LPA, and the appropriate RPA or MPO.

The LPA shall maintain all project records for a period of 3 years after FHWA approval of the final Amendment / Modification document. Afterwards, the LPA may discard its project files if desired.

For more detailed information concerning the entire project close-out process, refer to [I.M. 6.110](#), Final Review, Audit, and Close-out Procedures for Federal-aid, Federal-aid Swap, and Farm-to-Market Projects, and [I.M. 6.130](#), Interest Payment Procedures.

## 10 Other Federal-aid Requirements

This section of the Federal-aid Guide addresses those Federal-aid requirements that do not correspond to a particular part of the project development process but are nonetheless very important considerations for any LPA using [Federal funds](#).

### 10.1. Nondiscrimination

#### 10.1.1. Title VI

Title VI of the Civil Rights Act of 1964 (Title VI) is a foundational piece of legislation that forms the basis for a wide array of other laws and regulations that prohibit discrimination on the basis of race, color, national origin, disability, gender, and age. Title VI has a very broad application. It prohibits discrimination in all programs or activities of any LPA that is a recipient of any Federal-aid financial assistance; even those programs or activities that do not directly benefit from such assistance. For additional guidance, refer to [I.M. 1.070](#), Title VI and Nondiscrimination Requirements.

#### 10.1.2. Americans with Disabilities Act

The Americans with Disabilities Act of 1990 (ADA) is another piece of legislation aimed at prohibiting discrimination. Title II of the ADA applies to State and local governments, and its requirements affect the design, construction, and maintenance of all transportation projects, regardless of the funding sources.

The ADA requires that all new construction, reconstruction, and alterations to existing pedestrian facilities be made accessible to persons with disabilities. In addition, for those existing facilities that are not accessible, a transition plan must be prepared and implemented to bring those facilities into compliance.

For more information on ADA requirements related to transportation projects and facilities, refer to [I.M. 1.080](#), ADA Requirements.

### 10.2. Federal Funds Management

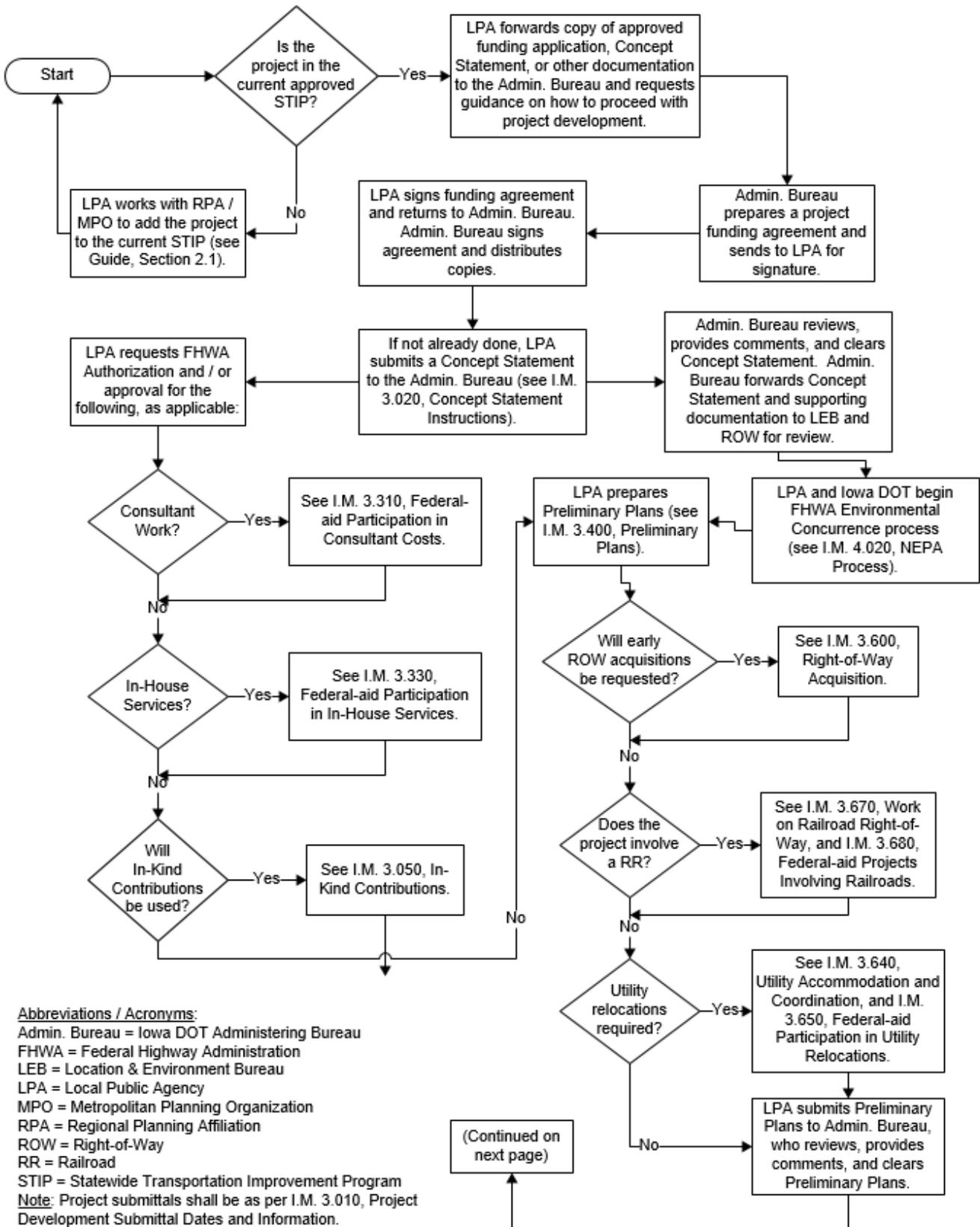
LPAs expending any Federal funds of any kind must comply with various Federal requirements relating to the management of Federal funds, including financial controls, single audit requirements, reporting, inactive obligations, project end dates, and close-out procedures. For more information, refer to [I.M. 1.200](#), Federal Funds Management.

### 10.3. Bridges

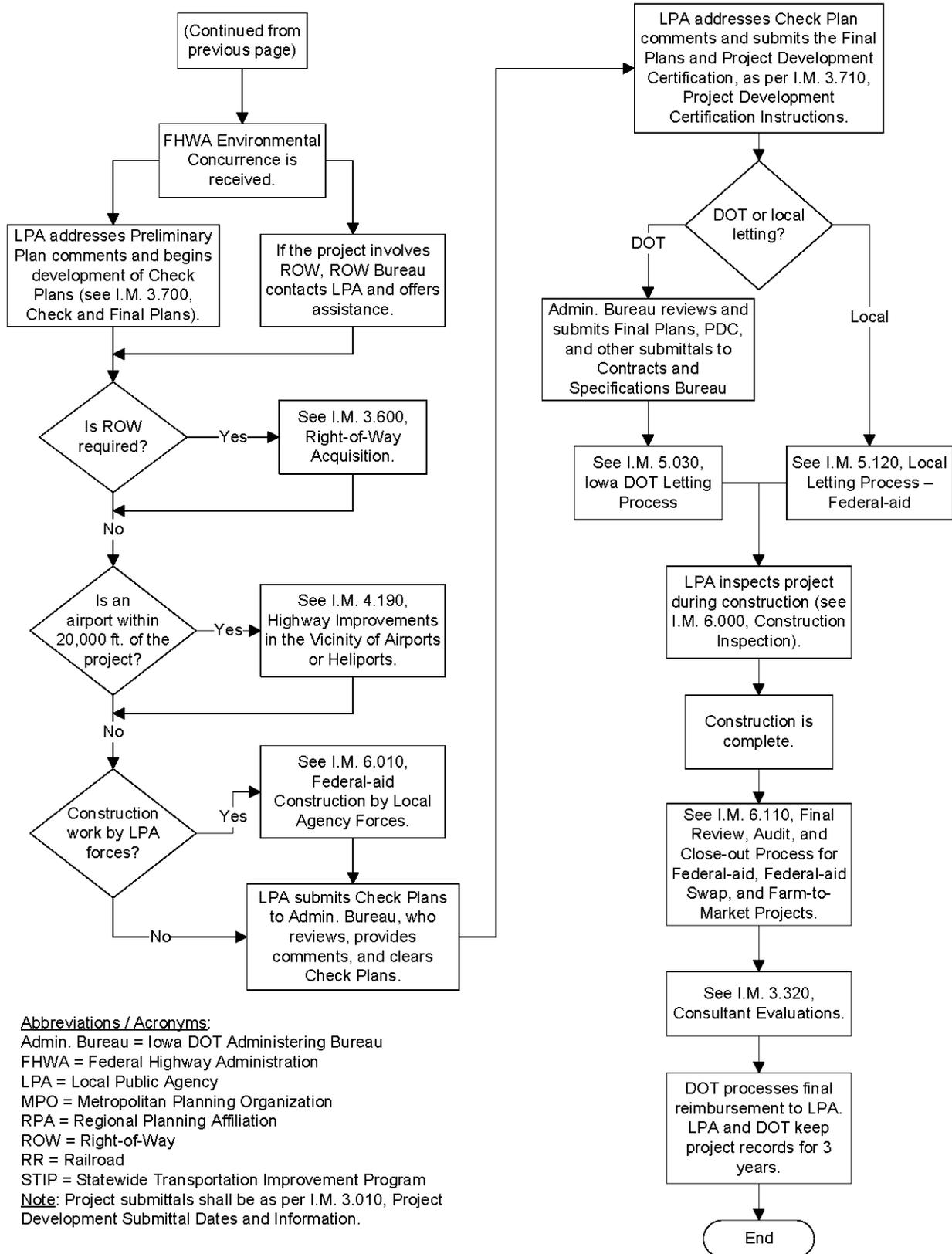
#### 10.3.1. Bridge Inspections

As a condition of receiving any [Federal funds](#), LPAs with highway bridges under their jurisdiction must comply with the National Bridge Inspection Standards (NBIS). The NBIS requires regular inspections, bridge ratings, posting where appropriate, and qualified personnel to perform and supervise inspections. For more information, refer to [I.M. 7.020](#), Bridge Inspections.

## Appendix A – Project Development Flow Chart



**Appendix A – Project Development Flow Chart (continued)**



**Abbreviations / Acronyms:**

- Admin. Bureau = Iowa DOT Administering Bureau
  - FHWA = Federal Highway Administration
  - LPA = Local Public Agency
  - MPO = Metropolitan Planning Organization
  - RPA = Regional Planning Affiliation
  - ROW = Right-of-Way
  - RR = Railroad
  - STIP = Statewide Transportation Improvement Program
- Note:** Project submittals shall be as per I.M. 3.010, Project Development Submittal Dates and Information.

## Appendix B – Glossary of Terms

Below is an alphabetical listing of terms and phrases used in the Federal-aid Guide. Following each term or phrase is a brief definition.

**Administering Team:** For projects funded by any or a combination of the Transportation Alternatives Program, Federal Recreational Trails, certain Iowa Clean Air Attainment Program projects, and [earmark](#) projects that are eligible under the aforementioned programs, the [Local Systems Bureau Grant Team](#) is the Administering Team. For most other projects, the Administering Team is the Local Systems Bureau. In rare cases, the Administering Team is one of the 6 District Offices, depending on which [Iowa DOT District](#) the LPA is located in. Refer to [I.M. 1.000](#), Iowa DOT Oversight of LPA Projects, to determine which bureau is the Administering Team.

**Authorization/Agreement:** A document that the Iowa DOT and FHWA electronically sign in [FMIS](#) that obligates [Federal funds](#) for the project. This document also establishes the [Effective Authorization Date](#).

**Amendment/Modification:** A document that amends a previously executed Authorization/Agreement or a prior Amendment/Modification. In instances when a Federal-aid funded project needs to be amended for any reason (cost overrun, additional phase of work, supplemental agreement, etc.), an Amendment/Modification is signed by the Iowa DOT and FHWA to electronically approve the modification. This process is also completed through [FMIS](#).

**Earmark or demonstration funds:** Federal-aid funding that is directed to specific projects in legislation enacted by the United States Congress. Earmark funding may be included either in a multi-year transportation bill such as the Fixing America's Surface Transportation Act (FAST Act), or as part of an annual appropriations bill. *Even though these projects receive their funding in a different way, earmark projects must still follow the same project development procedures as all other Federal-aid projects.*

**Effective Authorization Date:** This is the date after which work that is to be reimbursed with [Federal funds](#) may begin. Any costs [incurred](#) prior to this date are not eligible for Federal-aid reimbursement. This date is shown on the [Authorization/Agreement](#) and [Amendment/Modification](#) documents.

**Federal-aid highways:** All roads except those with a [Federal Functional Classification](#) of Rural Minor Collector or Local.

**Federal Fiscal Year (FFY):** Begins on October 1 and ends September 30 of each calendar year. For example, October 1, 2021 is the beginning of the Federal Fiscal Year 2022.

**Federal funds:** Federal funds reflect the amount of Federal funding available for a project. The total amount of Federal funds received is subject to either the Federal-aid limit shown in the Statewide Transportation Improvement Program (STIP) or the limit established by the project funding agreement.

**Federal share:** The percentage of eligible and authorized project costs paid by the Federal government. With a few exceptions, the Federal government does not pay for the entire cost of the project. In most cases, [Federal funds](#) must be matched with funds from non-Federal-aid sources. For most FHWA transportation programs, the Federal share of project costs is 80%. Refer to the funding agreement for the applicable pro-rata Federal share and matching requirements of the specific type of [Federal funds](#) involved.

**FHWA Authorization:** The action taken by FHWA when signing the [Authorization/Agreement](#) document or the [Amendment/Modification](#) document in [FMIS](#). Except in the case of Advance Construction, this action results in an [obligation](#) of [Federal funds](#) at the specified [Federal share](#) for the specific type of project costs identified on the Authorization/Agreement or Amendment/Modification.

**FHWA Environmental Concurrence:** This milestone in project development is marked by different events for different types of projects, depending on the anticipated level of environmental impacts. The event that marks the completion of the NEPA process depends on the type of NEPA document that is required for the project:

- For projects that are classified as a Categorical Exclusion (CE), the NEPA process is complete as of the effective date of FHWA Environmental Concurrence. This date is specified in the written notice the LPA will receive from the Iowa DOT Location and Environment Bureau.
- For projects that require an Environmental Assessment (EA) or Environmental Impact Statement (EIS) document, the NEPA process is considered complete as of the date that the FHWA signs the Finding of No Significant Impact (FONSI) or Record of Decision (ROD) document, respectively.

## Appendix B – Glossary of Terms (continued)

For more information about the different types of environmental documentation, refer to [I.M. 4.020](#), NEPA Process.

**Fiscal Management Information System (FMIS):** FMIS is the FHWA’s electronic financial tracking system for Federal-aid transportation projects. Iowa DOT personnel use this system to request [FHWA Authorization](#) or obtain project information and funding reports.

**Incurred Costs:** Costs are considered to be incurred when the work associated with those costs begins. Example: Costs have been incurred once a consultant, whose services are to be reimbursed with [Federal funds](#), begins work, even if the LPA has not received a bill or made any payments to the consultant.

**Interstate System:** Those highways that are part of the Dwight D. Eisenhower National System of Interstate and Defense Highways.

**National Highway System (NHS):** Those highways that are important to the nation’s economy, defense, and mobility. The NHS is made up of several subsystems, including the Interstate System, other principal arterials (as shown on the [Federal Functional Classification](#) maps), the Strategic Highway Network (roads of importance to strategic defense and emergency response), Major Strategic Highway Connectors (access roads to major military installations) and Intermodal Connectors (roads that provide access between major intermodal facilities and the other four subsystems previously listed). For current maps of the NHS, see FHWA’s [NHS in Iowa web page](#).

**Obligation:** An obligation is a commitment – the Federal government’s promise to pay the [Federal share](#) of a project’s eligible cost. This commitment occurs when the project is authorized by FHWA and the [Authorization/Agreement](#) or the [Amendment/Modification](#) is executed through [FMIS](#). Obligation is a key step in financing. Obligated funds are considered “used,” or set aside for that particular project, even before any cash is transferred.

**Primary Highway System:** Those highways that are under the jurisdiction of the Iowa DOT.



# Instructional Memorandums to Local Public Agencies

## Table of Contents

The Iowa DOT is required by [Iowa Code 307.24](#) to provide assistance for urban systems and secondary roads, and to provide other categories of assistance as necessary. One of the ways in which we carry out that requirement is to develop and maintain Instructional Memorandums (I.M.s). Some I.M.s are written either to counties or cities; others are written to both counties and cities. The intended audience is indicated in the "To:" field of the I.M. as well as the Table of Contents below. Many of the I.M.s are referenced by the Federal-aid Project Development Guide (Federal-aid Guide). These I.M.s are marked with an asterisk (\*). For more information about the relationship between the [Federal-aid Guide](#), the [Non-Federal-aid Guide](#), and I.M.s, refer to the [Guide and I.M.s web page](#). The funding type is listed in the Table of Contents below, and will be labeled for Federal-aid (F.A.), Federal-aid Swap (Swap), State-aid (State), Farm-to-Market (F.M.) or Local; if the I.M. applies to all types of funding, "All" will be used as the Funding type.

**Note:** Some of the I.M.s are not yet complete, as shown in light grey text. Most of the links to the [Code of Federal Regulations](#) (CFR) and the [United States Code](#) (USC) have been removed from the individual I.M.s below. To get to the general CFR and USC, you can click on the links above and search each respective page.

No.	Subject	Revision Date	Funding	Written To
	<a href="#">Chapter 1 – Administration</a>			
	<a href="#">Chapter 2 – County Road System</a>			
	<a href="#">Chapter 3 – Project Development</a>			
	<a href="#">Chapter 4 – Environmental Regulations</a>			
	<a href="#">Chapter 5 – Letting and Contracts</a>			
	<a href="#">Chapter 6 – Construction</a>			
	<a href="#">Chapter 7 – Maintenance</a>			
	<a href="#">Chapter 8 – Miscellaneous Information</a>			

### Chapter 1 – Administration

#### Section 1.0 -- General

<a href="#">1.000</a>	Iowa DOT Oversight of LPA Projects	November 21, 2024	All	Both
	<a href="#">Attachment A</a> - Project Submittal Table for Each Funding Type	November 21, 2024	All	Both
	<a href="#">Attachment B</a> – Administering Team Responsibilities Flowchart	November 21, 2024	All	Both
<a href="#">1.010</a>	Acronym List	December 31, 2019	All	Both
<a href="#">1.020</a>	References to the Iowa Code	August 7, 2020	All	Counties
<a href="#">1.070*</a>	Title VI and Nondiscrimination Requirements	June 29, 2018	F.A.	Both
<a href="#">1.080*</a>	ADA Requirements	October 1, 2013	All	Both
	<a href="#">Attachment A</a> – Sample Curb Ramp Transition Plan ( <a href="#">Word</a> )	August 24, 2012	All	Both

#### Section 1.1 -- Programs

<a href="#">1.100*</a>	Highway Bridge Programs for Cities and Counties	June 12, 2024	All	Both
	<a href="#">Attachment A</a> – City Bridge Priority Point Rating Worksheet ( <a href="#">Word</a> )	August 16, 2024	F.A.	Cities
	<a href="#">Attachment B</a> – County Bridge Priority Point Rating Worksheet ( <a href="#">Word</a> )	November 14, 2025	All	Counties
	<a href="#">Attachment C</a> – Touchdown Points and Limits of Participation	July 18, 2011	F.A.	Both
	<a href="#">Attachment D</a> – County HBP Fiscal Constraint Requirements	July 18, 2011	F.A.	Counties
<a href="#">1.150</a>	Federal-aid Swap Program	February 10, 2023	Swap	Both
	<a href="#">Attachment A</a> - Federal-aid Swap Policy Approved by the Iowa DOT Commission	November 4, 2022	Swap	Both
<a href="#">1.180</a>	Procedures for Developing and Administering Emergency Relief (ER) Projects	May 24, 2024	F.A.	Both

No.	Subject	Revision Date	Funding	Written To
<b>Section 1.2 -- Finance</b>				
<a href="#">1.200</a>	Federal Funds Management	October 19, 2023	F.A.	Both
	<a href="#">Attachment A</a> - Procedures for Estimating Project End Dates	June 12, 2024	F.A.	Both
<a href="#">1.250</a>	City Road Use Tax Fund Information	November 4, 2022	All	Both
<b>Chapter 2 – County Road System</b>				
<b>Section 2.0 -- General</b>				
<a href="#">2.010</a>	Requirements for the County Secondary Road Construction Program and Budget	May 30, 2025	All	Counties
	<a href="#">Attachment A</a> - Construction vs. Maintenance	November 21, 2024	All	Counties
	<a href="#">Attachment B</a> - Paving Point Determination	August 8, 2018	All	Counties
	<a href="#">Attachment C</a> - Sample Notice of Public Hearing ( <a href="#">Word</a> )	August 8, 2018	All	Counties
	<a href="#">Attachment D</a> - Sample Resolution for Paving Points ( <a href="#">Word</a> )	August 8, 2018	All	Counties
<a href="#">2.050</a>	Procedure to Amend a County Secondary Road Construction Program and Budget	November 14, 2025	All	Counties
<a href="#">2.070</a>	Secondary Road Budget Accounting Code Series	July 7, 2023	All	Counties
<a href="#">2.080</a>	Requirements for the County Annual Report	August 8, 2018	All	Counties
<b>Section 2.1 -- Farm-to-Market (FM) System</b>				
<a href="#">2.100</a>	Farm-to-Market Program	May 30, 2025	F.M.	Counties
<a href="#">2.120</a>	Temporary Allocation of Farm-to-Market Funds	March 17, 2017	F.M.	Counties
<a href="#">2.130</a>	Transfer of Local Funds to the Farm-to-Market Fund	July 7, 2023	F.M.,Local	Counties
	<a href="#">Attachment A</a> - Local to FM Fund Transfer Resolution ( <a href="#">Word</a> )	February 10, 2023	F.M.,Local	Counties
<a href="#">2.140</a>	Transfer of Farm-to-Market Funds to the Local Secondary Road Fund	June 12, 2024	F.M.,Local	Counties
<a href="#">2.160</a>	Procedures to Modify the Secondary Road Route Numbering System	May 26, 2017	All	Counties
<a href="#">2.170</a>	Modification of the Farm-to Market (FM) System	July 12, 2022	F.M.	Counties
<a href="#">2.180</a>	Farm-to-Market Review Board Advisory Opinions on Proposed Jurisdictional Transfers	July 12, 2022	F.M.	Counties
<b>Section 2.2 -- Local Secondary Road Systems</b>				
<a href="#">2.220</a>	Establishing and Signing Area Service Roads	December 31, 2015	Local	Counties
	<a href="#">Attachment A</a> - Area Service “B” Road Maintenance Ordinance (Sample) ( <a href="#">Word</a> )	May 12, 2014	Local	Counties
	<a href="#">Attachment B</a> - Resolution for Reduced Level of Maintenance to Area Service “B” Road (Sample) ( <a href="#">Word</a> )	December 31, 2015	Local	Counties
	<a href="#">Attachment C</a> - Area Service “C” Road Maintenance Ordinance (Sample) ( <a href="#">Word</a> )	May 12, 2014	Local	Counties
	<a href="#">Attachment D</a> - Resolution for Reduced Level of Maintenance to Area Service “C” Road (Sample) ( <a href="#">Word</a> )	December 31, 2015	Local	Counties
	<a href="#">Attachment E</a> - Resolution for Increased Level of Maintenance to Area Service Road (Sample) ( <a href="#">Word</a> )	December 31, 2015	Local	Counties
<a href="#">2.230</a>	Signing for Low Cost Stream Crossings	June 2002	Local	Counties
	<a href="#">Attachment A</a> - Resolution for Low-Water Stream Crossing ( <a href="#">Word</a> )	June 2002	Local	Counties
<a href="#">2.270</a>	County Road Vacations	May 20, 2019	All	Counties

No.	Subject	Revision Date	Funding	Written To
	<a href="#">Attachment A</a> - Resolution for Road Vacation Public Hearing ( <a href="#">Word</a> )	May 26, 2017	All	Counties
	<a href="#">Attachment B</a> - Notice of Public Hearing ( <a href="#">Word</a> )	May 26, 2017	All	Counties
	<a href="#">Attachment C</a> - Resolution to Vacate a County Road ( <a href="#">Word</a> )	May 26, 2017	All	Counties

## Chapter 3 – Project Development

### Section 3.0 -- General

<a href="#">3.000</a> *	Federal-aid Project Scheduling	February 16, 2007	F.A.	Both
<a href="#">3.010</a> *	Project Development Submittal Dates and Information	November 14, 2025	All	Both
<a href="#">3.020</a> *	Concept Statement Instructions	November 14, 2025	F.A.	Both
	<a href="#">Attachment A</a> - Concept Statement Checklist of Submittal Items ( <a href="#">Word</a> )	June 12, 2024	F.A.	Both
<a href="#">3.050</a> *	In-Kind Contributions	January 19, 2024	F.A.	Both
<a href="#">3.060</a>	Project Numbers	November 14, 2025	All	Both

### Section 3.1 -- (Reserved)

### Section 3.2 -- Design Guidelines and Exceptions

<a href="#">3.210</a> *	Rural Design Guidelines	March 15, 2023	All	Counties
<a href="#">3.215</a>	Urban Design Guidelines	July 7, 2023	All	Cities
<a href="#">3.220</a> *	3R Guidelines	February 10, 2023	All	Both
<a href="#">3.230</a> *	Traffic Barriers (Guardrail and Bridge Barrier Rail)	April 24, 2018	All	Both
<a href="#">3.240</a> *	Clear Zone Guidelines	May 18, 2018	All	Both
<a href="#">3.250</a> *	Economic Analysis (Benefit-to-Cost Ratio)	March 4, 2020	All	Both
<a href="#">3.260</a> *	Design Exception Process	May 18, 2018	All	Both
	<a href="#">Attachment A</a> – Design Exception Process Flowchart	October 1, 2013	All	Both

### Section 3.3 -- Consultant and In-House Design

<a href="#">3.310</a> *	Federal-aid Participation in Consultant Costs	January 19, 2024	F.A.	Both
	<a href="#">Attachment A</a> – Federal-Aid Consultant Checklist	October 22, 2018	F.A.	Both
	<a href="#">Attachment B</a> – Requirements for Federal-Aid Consultant Contracts	February 13, 2018	F.A.	Both
	<a href="#">Attachment C</a> – Payment Methods	December 19, 2014	F.A.	Both
	<a href="#">Attachment D</a> – Sample Consultant Contract ( <a href="#">Word</a> )	May 30, 2025	F.A.	Both
	<a href="#">Attachment E</a> – Errors and Omissions	December 19, 2014	F.A.	Both
<a href="#">3.320</a>	Consultant Evaluations	July 7, 2023	F.A.	Both
<a href="#">3.330</a> *	Federal-aid Participation in In-House Services	November 4, 2022	F.A.	Both
	<a href="#">Attachment A</a> - Scope of Work and Budget Worksheet	October 1, 2018	F.A.	Both

### Section 3.4 -- Preliminary Design

<a href="#">3.400</a> *	Preliminary Plans	June 12, 2024	F.A.	Both
	<a href="#">Attachment A</a> – Preliminary Plan Guidelines	February 18, 2013	F.A.	Both
	<a href="#">Attachment B</a> – Preliminary Plan Checklist ( <a href="#">Word</a> )	November 21, 2024	F.A.	Both
	<a href="#">Attachment C</a> – Preliminary Plan Process Flowchart	February 18, 2013	F.A.	Both

### Section 3.5 -- Bridge Design

<a href="#">3.500</a> *	Bridge or Culvert Plans	July 7, 2023	All	Both
	<a href="#">Attachment A</a> – Bridge or Culvert Supplementary Checklist ( <a href="#">Word</a> )	March 20, 2025	All	Both

No.	Subject	Revision Date	Funding	Written To
	<a href="#">Attachment B</a> – Instructions for Completing the Hydraulic Design of Bridges (Culverts) Form	June 29, 2018	All	Both
<b>Section 3.6 -- Right-of-Way, Utilities, and Railroads</b>				
<a href="#">3.600</a> *	Right-of-Way Acquisition	January 19, 2024	All	Both
	<a href="#">Attachment A</a> – Waiver Valuation Provision	November 27, 2017	All	Both
	<a href="#">Attachment B</a> – FHWA Authorization of Right-of-Way Costs Flowchart	March 4, 2020	F.A.	Both
	<a href="#">Attachment C</a> – Early Right-of-Way Acquisition Process Flowchart	March 4, 2020	F.A.	Both
<a href="#">3.640</a> *	Utility Accommodation and Coordination	May 2, 2016	All	Both
	<a href="#">Attachment A</a> – Utility Coordination Flowchart	December 11, 2008	All	Both
	<a href="#">Attachment B</a> – Utility Coordination Checklist ( <a href="#">Word</a> )	February 11, 2014	All	Both
<a href="#">3.650</a> *	Federal-aid Participation in Utility Relocations	May 2, 2016	F.A.	Both
	<a href="#">Attachment A</a> – Utility Relocation Federal-Aid Eligibility Flowchart	February 11, 2014	F.A.	Both
	<a href="#">Attachment B</a> – FHWA Authorization of Utility Relocation Costs Flowchart	February 11, 2014	F.A.	Both
<a href="#">3.670</a> *	Work on Railroad Right-of-Way	October 8, 2024	All	Both
	<a href="#">Attachment A</a> –Work in Railroad Right-of-Way Flowchart	April 24, 2018	All	Both
<a href="#">3.680</a> *	Federal-aid Projects Involving Railroads	March 15, 2023	F.A.	Both
	<a href="#">Attachment A</a> - Railroad Agreement Language for Federal-aid Projects involving Railroads ( <a href="#">Word</a> )	March 15, 2023	F.A.	Both
	<a href="#">Attachment B</a> - FHWA Authorization of Railroad Costs	March 15, 2023	F.A.	Both
	<a href="#">Attachment C</a> – FHWA Authorization of Railroad Costs Flowchart	March 15, 2023	F.A.	Both
<b>Section 3.7 -- Final Design</b>				
<a href="#">3.700</a> *	Check and Final Plans	June 12, 2024	All	Both
	<a href="#">Attachment A</a> – Check and Final Plan Guidelines	January 19, 2024	All	Both
	<a href="#">Attachment B</a> – Check and Final Plan Checklist ( <a href="#">Word</a> )	November 14, 2025	All	Both
	<a href="#">Attachment C</a> – Check and Final Plan Process Flowchart	February 18, 2013	All	Both
<a href="#">3.710</a> *	Project Development Certification Instructions	December 27, 2024	All	Both
	<a href="#">Attachment A</a> – Project Development Certification Process Flowchart	November 27, 2019	All	Both
<a href="#">3.720</a> *	Public Interest Findings	November 4, 2022	All	Both
<a href="#">3.730</a>	Innovative Contracting Procedures	November 27, 2019	All	Both
<a href="#">3.740</a>	Build America Buy America (BABA) Waiver	December 27, 2024	F.A.	Both

## Chapter 4 - Environmental Regulations

### Section 4.0 -- General

<a href="#">4.010</a> *	Environmental and Permitting Process for non-Federal-aid Projects	November 21, 2024	All but F.A.	Both
<a href="#">4.020</a> *	NEPA Process	November 14, 2025	F.A.	Both
	<a href="#">Attachment A</a> - NEPA Process Flowchart	May 20, 2019	F.A.	Both
	<a href="#">Attachment B</a> - Environmental Assessment / FONSI Process Flowchart	May 20, 2019	F.A.	Both
	<a href="#">Attachment C</a> - Environmental Impact Statement / ROD Process Flowchart	May 20, 2019	F.A.	Both
	<a href="#">Attachment D</a> - Section 4(f) Process Flowchart	May 20, 2019	F.A.	Both

No.	Subject	Revision Date	Funding	Written To
<b>Section 4.1 -- Environmental Reviews and Permits</b>				
<a href="#">4.110</a>	Threatened and Endangered Species	July 7, 2023	All	Both
	<a href="#">Attachment A</a> - Threatened and Endangered Species Process for Non-Federal-aid Projects Flowchart	May 20, 2019	All but F.A.	Both
	<a href="#">Attachment B</a> - Threatened and Endangered Species Process for Federal-aid Projects Flowchart	May 20, 2019	F.A.	Both
	<a href="#">Attachment C</a> - Avoidance and Minimization Measures for Threatened and Endangered Bats	February 13, 2018	All	Both
<a href="#">4.120*</a>	Cultural Resource Regulations	March 20, 2025	All	Both
	<a href="#">Attachment A</a> - Cultural Resource Process for Swap Projects Flowchart	February 13, 2018	Swap	Both
	<a href="#">Attachment B</a> - Cultural Resource Process for Federal-aid Projects Flowchart	February 13, 2018	F.A.	Both
<a href="#">4.130*</a>	404 Permit Process	May 20, 2019	All	Both
	<a href="#">Attachment A</a> – 404 Permit Determination Process Flowchart	June 29, 2018	All	Both
	<a href="#">Attachment B</a> – 404 Permit Checklist	June 29, 2018	All	Both
	<a href="#">Attachment C</a> – Commonly Used NWP for Transportation Projects	June 29, 2018	All	Both
<a href="#">4.140</a>	Storm Water Permits	June 29, 2018	All	Both
<a href="#">4.150</a>	Iowa DNR Floodplain Permits and Regulations	June 29, 2018	All	Both
<a href="#">4.160*</a>	Asbestos Inspection, Removal, and Notification Requirements	April 29, 2020	All	Both
<a href="#">4.170*</a>	Farmland Protection Policy Act	November 8, 2016	F.A.	Both
	<a href="#">Attachment A</a> - Farmland Protection Policy Act Process Flowchart	August 22, 2017	F.A.	Both
	<a href="#">Attachment B</a> – Instructions for Completing the Farmland Conversion Rating Form	November 8, 2016	F.A.	Both
<a href="#">4.190*</a>	Highway Improvements in the Vicinity of Airports or Heliports	September 13, 2016	All	Both
<a href="#">4.200</a>	Water Trails and Paddling Routes	January 19, 2024	All	Both
<b>Chapter 5 - Letting and Contracts</b>				
<b>Section 5.0 -- Iowa DOT Lettings</b>				
<a href="#">5.010*</a>	DBE Guidelines	February 29, 2016	F.A.	Both
<a href="#">5.020</a>	Targeted Small Business Guidelines	December 27, 2024	All	Both
<a href="#">5.030*</a>	Iowa DOT Letting Process	November 4, 2022	All	Both
	<a href="#">Attachment A</a> - Iowa DOT Pre-Letting Process Flowchart	October 1, 2013	All	Both
	<a href="#">Attachment B</a> – Iowa DOT Post-Letting Process Flowchart	November 27, 2019	All	Both
	<a href="#">Attachment C</a> - Sample Resolution for a County to Delegate Contract Signing in Doc Express	March 4, 2020	All	Both
<b>Section 5.1 -- Local Lettings</b>				
<a href="#">5.100</a>	Local Letting Process – State-aid or Local Funded Projects	December 27, 2024	State,Local	Both
	<a href="#">Attachment A</a> – Sample Bidding Proposal Form ( <a href="#">Word</a> )	November 8, 2016	State,Local	Both
	<a href="#">Attachment B</a> – Sample Notice to Bidders Form ( <a href="#">Word</a> )	November 8, 2016	State,Local	Both
	<a href="#">Attachment C</a> – Sample Contract Form ( <a href="#">Word</a> )	November 8, 2016	State,Local	Both
<a href="#">5.120*</a>	Local Letting Process – Federal-aid	October 1, 2018	F.A.	Both
	<a href="#">Attachment A</a> – Pre-Award Checklist and Certification ( <a href="#">Word</a> )	October 1, 2018	F.A.	Both
	<a href="#">Attachment B</a> – Post-Award Checklist and Certification ( <a href="#">Word</a> )	October 1, 2018	F.A.	Both
	<a href="#">Attachment C</a> – Local Letting (Federal-aid) Pre-audit Checklist ( <a href="#">Word</a> )	October 1, 2018	F.A.	Both

No.	Subject	Revision Date	Funding	Written To
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## Chapter 6 - Construction

### Section 6.0 -- General

<a href="#">6.000*</a>	Construction Inspection	November 14, 2025	All	Both
	<a href="#">Attachment A</a> – Preconstruction and Construction Inspection Checklist ( <a href="#">Word</a> )	November 14, 2025	All	Both
	<a href="#">Attachment B</a> – Doc Express Change Order Drawer Signatures and Workflow Steps	November 14, 2025	All	Both
	<a href="#">Attachment C</a> - Subcontract Review and Authorization Process - Post Award Flowchart	November 27, 2019	All	Both
	<a href="#">Attachment D</a> - Local Public Agency Construction Contract Administration Guidance	May 30, 2025	All	Both
	<a href="#">Attachment E</a> – Request for Early Release of Retained Funds ( <a href="#">Word</a> )	November 14, 2025	All	Both
<a href="#">6.020</a>	Payment and Reimbursement Processes	November 14, 2025	All	Both
<b>Section 6.1 -- Project Close-out and Audits</b>				
<a href="#">6.110*</a>	Final Review, Audit, and Close-out Procedures for Federal-aid, Federal-aid Swap, and Farm-to-Market Projects	November 14, 2025	All	Both
	<a href="#">Attachment A</a> – Project Close-out Process Overview Flowchart	March 2, 2021	All	Both
	<a href="#">Attachment B</a> – Final Review and Audit Process Flowchart – Highway or Bridge Construction	March 2, 2021	All	Both
	<a href="#">Attachment C</a> – Final Review and Audit Process Flowchart – Non-highway Construction, DOT Specifications	December 21, 2018	All	Both
	<a href="#">Attachment D</a> – Final Review and Audit Process Flowchart – Non-highway Construction, Non-DOT Specifications	December 31, 2015	All	Both
	<a href="#">Attachment E</a> – Required LPA Project Documentation and Pre-audit Checklist ( <a href="#">Word</a> )	November 14, 2025	All	Both
	<a href="#">Attachment F</a> – Final Forms Packet Checklist ( <a href="#">Word</a> )	November 14, 2025	All	Both
	<a href="#">Attachment G</a> - Doc Express Closeout Drawer Signatures and Workflow Steps	November 14, 2025	All	Both
<a href="#">6.130*</a>	Interest Payment Procedures	December 3, 2007	All	Both
	<a href="#">Attachment A</a> – Sample Interest Payment Information Form	December 31, 2020	All	Both
<a href="#">6.140</a>	Resolution to allow County Engineer to Certify Completion of Work on Construction Contracts	November 14, 2025	All	Counties
	<a href="#">Attachment A</a> – Sample Resolution ( <a href="#">Word</a> )	December 3, 2007	All	Counties

## Chapter 7 – Maintenance

### Section 7.0 -- General

<a href="#">7.000</a>	City Requests for Closure of Primary Road Extensions	November 14, 2025	All	Cities
<a href="#">7.010</a>	Statewide Standard for Permitting Certain Implements of Husbandry	November 14, 2025	All	Both
<a href="#">7.020*</a>	Bridge Inspections	December 27, 2024	All	Both
	<a href="#">Attachment A</a> - Bridge Scour Stability Worksheet - Level A Evaluation ( <a href="#">Word</a> )	April 24, 2018	All	Both
	<a href="#">Attachment B</a> - Intermediate Scour Assessment - Level B Evaluations	January 11, 2017	All	Both
	Attachment C - Intentionally left blank			
	<a href="#">Attachment D</a> - Scope of Services for NBI Bridge Inspection Services ( <a href="#">Word</a> )	April 24, 2018	All	Both

<a href="#">Attachment E</a> - Iowa Legal Truck, EV, and Annual Permit Truck Diagrams	June 12, 2024	All	Both
<a href="#">Attachment F</a> - Routine Permit Trucks Diagrams	July 18, 2013	All	Both
<a href="#">Attachment G</a> - USGS Hydrologic Region Map with Region Descriptions	July 18, 2013	All	Both
<a href="#">Attachment H</a> - Unknown Foundations Guidance, Flowchart, Risk Assessment, Worksheet, and Plan of Action (POA) - Level A Evaluation ( <a href="#">Word</a> )	April 24, 2018	All	Both
<a href="#">Attachment I</a> - Unknown Foundations Flowchart - Level B Evaluation	July 18, 2013	All	Both
<a href="#">Attachment J</a> - Quality Assurance Field Review Worksheet ( <a href="#">Word</a> )	April 24, 2018	All	Both
<a href="#">Attachment K</a> - Nonredundant Steel Tension Member Locations and Conditions for Trusses form ( <a href="#">Word</a> )	July 7, 2023	All	Both
<a href="#">Attachment L</a> - Nonredundant Steel Tension Member Locations and Conditions for Thru/Two Girders form ( <a href="#">Word</a> )	July 7, 2023	All	Both
<a href="#">Attachment M</a> - Sample Nonredundant Steel Tension Member Locations and Conditions for Trusses form	July 7, 2023	All	Both
<a href="#">Attachment N</a> - Berm Stability Criteria	December 31, 2015	All	Both
<a href="#">Attachment O</a> - Highly Erodible Soils	December 31, 2015	All	Both

**Section 7.1 -- County Road System**

<a href="#">7.110</a> Maintenance of Secondary Roads at Intersections, Interchanges, and Grade Separations with the Primary Highway System	May 12, 2014	All	Counties
<a href="#">Attachment A</a> – Iowa DOT PPM 630.01, Rural Intersection and Destination Lighting	October 11, 2013	All	Counties
<a href="#">Attachment B</a> – Iowa DOT PPM 630.03, Interchange and Freeway Lighting	September 15, 2016	All	Counties

**Chapter 8 – Miscellaneous Information**

<a href="#">8.010</a> Local Studies on State DOT Primary Highway Routes	(future)	All	Cities
<a href="#">8.020</a> Pavement Friction Evaluation Program	January 11, 2017	All	Both
<a href="#">8.210</a> Engineering and Traffic Investigations – Speed Limit Study	January 11, 2017	All	Counties
<a href="#">Attachment A</a> - Speed Restriction Ordinance ( <a href="#">Word</a> )	January 11, 2017	All	Counties
<a href="#">Attachment B</a> - Amendment to Speed Restriction Ordinance ( <a href="#">Word</a> )	January 11, 2017	All	Counties
<a href="#">Attachment C</a> - Resolution for Establishing Speed Limits ( <a href="#">Word</a> )	January 11, 2017	All	Counties
<a href="#">8.240</a> Iowa DOT Traffic Counts	November 21, 2024	All	Both

# WELCOME INTRODUCTION

Sarah Okerlund, P.E.

Deputy Director

Local Systems Bureau

Iowa Department of Transportation

1

1

## PRESENTATION OVERVIEW

Introductions - DOT Contacts

Purpose & Format

Breaks & Facilities

Website Resources

Written Guidance

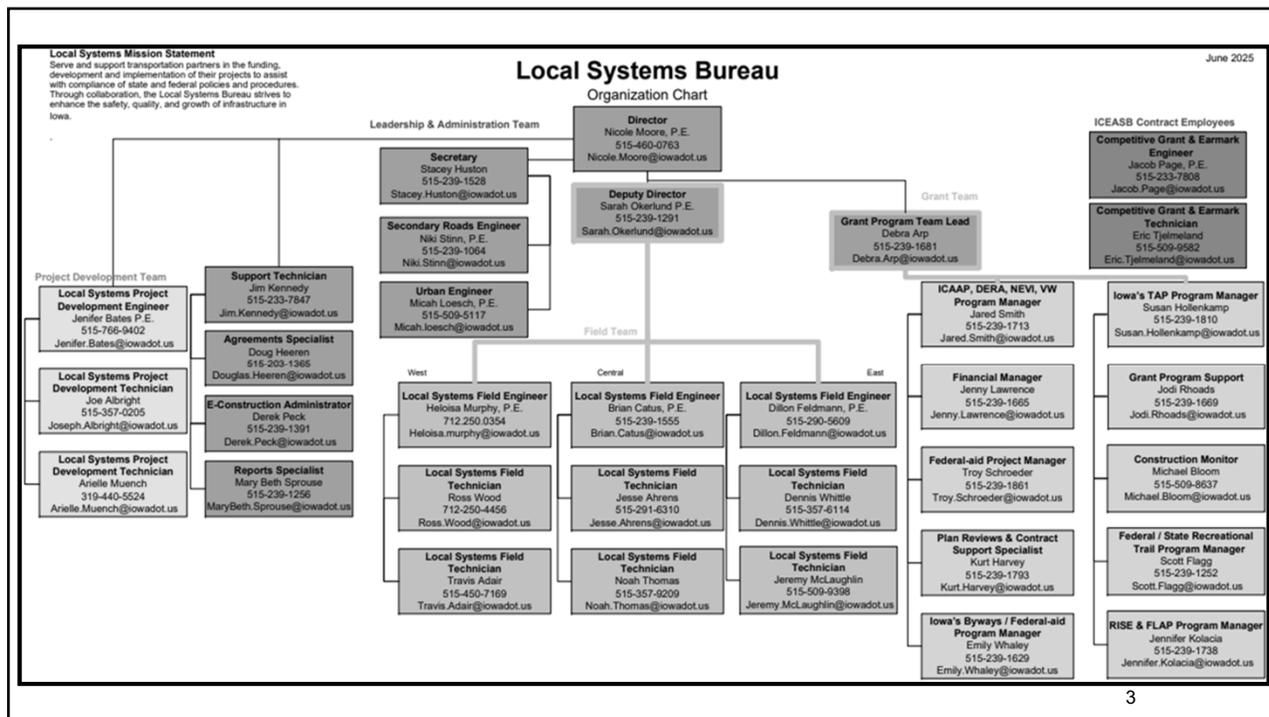
Iowa DOT Role

LPA Role

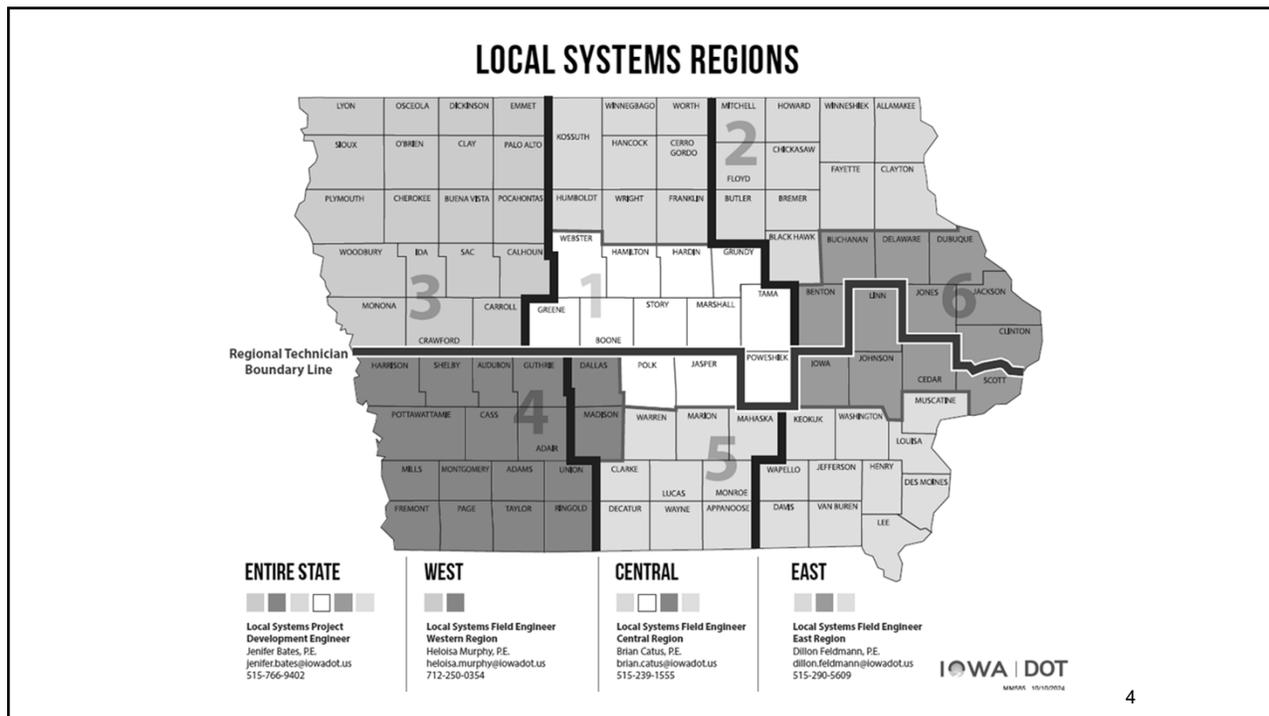
Consultant Role

**IOWA | DOT**

2



3



4

## LOCAL SYSTEMS PDT/FT & GRANT TEAM

### Local Systems – PDT / FT

- Surface Transportation Block Grant Program (STBG)
- Highway Bridge Programs for Cities and Counties
- Highway Safety Improvement Program (HSIP)
- Emergency Relief Program (ER)
- Federal-aid Swap \*
- Various State-aid programs \*
- Farm-to-Market Program (FM) \*
- **Mainly focus on Roadway and Bridge Projects**

\*Not Federal-aid

### Local Systems – Grant Team

- Transportation Alternatives Program (TAP)
- Federal Recreational Trails Program
- Iowa's Clean Air Attainment Program (ICAAP)
- Scenic ByWays
- National Electric Vehicle Infrastructure (NEVI)
- Revitalize Iowa's Sound Economy (RISE)\*

• **Mainly focus on "Small Grants" projects, that are non-highway**

### Local Systems – Competitive Grants & Earmarks

5

5

## PURPOSE & FORMAT BREAKS & FACILITIES

- Purpose – Provide training on Federal-aid regulations and procedures
  - Federal-aid Training
  - This is not training for Federal-aid Swap; Swap projects have lesser oversight, as they do not utilize Federal-aid or follow the entire Federal-aid process
- Format – Many presentations, ask questions as you have them
- Breaks – per the agenda, refreshments
- Facilities
- Please silence phones and computers



6

## AUDIENCE PARTICIPATION

- How many are from:
  - Cities
  - Counties
  - Consulting Firms
  - Iowa DOT
  - FHWA
  - Other?
- How many this is your first Federal-aid Overview Training?
- How many have done Federal-aid Projects before?

7

7

## STEWARDSHIP/OVERSIGHT AGREEMENT

- Section 106 of Title 23, US CFR, requires that the Federal Highway Administration (FHWA) and each State enter into an agreement documenting the extent to which the State assumes the responsibility of FHWA under Title 23. The Stewardship/Oversight Agreement formalizes these delegated responsibilities and agreements to address how the Federal-aid highway program will be administered in the State.
- Last Updated in 2024:
  - <https://www.fhwa.dot.gov/federalaid/stewardship/agreements/ia.pdf>

STEWARDSHIP AND OVERSIGHT AGREEMENT  
ON PROJECT ASSUMPTION AND PROGRAM OVERSIGHT  
BY AND BETWEEN THE  
FEDERAL HIGHWAY ADMINISTRATION,  
IOWA DIVISION OFFICE,  
AND THE  
IOWA DEPARTMENT OF TRANSPORTATION (IOWA DOT)

8

8

# WRITTEN GUIDANCE [https://ia.iowadot.gov/local\\_systems/im/lpa-ims](https://ia.iowadot.gov/local_systems/im/lpa-ims)

**Local Systems**

- Local Systems Staff → Local Systems Email Subscriptions →
- Pre-Letting Resources → Post-Letting Resources →
- Maps → Inspection Worksheets (E-Sheets) →

## INSTRUCTIONAL MEMORANDUMS & FEDERAL-AID GUIDE

Federal-Aid Project Development Guide for Local Public Agencies

The Federal-Aid Project Development Guide for Local Public Agencies, referred to hereinafter as the Federal-aid Guide, provides a concise summary of information and instructions for local public agency (LPA) staff and consultants involved in the planning, development and construction of LPA federal-aid transportation projects. Where appropriate, the Federal-aid Guide references the I.M.s and other documents for more detailed information and instructions.

**Federal-Aid Project Development Guide for Local Public Agencies.**

### Non-Federal-Aid Project Development Guide for Local Public Agencies

The Non-Federal-Aid Project Development Guide for Local Public Agencies, referred to hereinafter as the Non-Federal-aid Guide, provides a concise summary of information and instructions for local public agency (LPA) staff and consultants involved in the planning, development and construction of LPA non-federal-aid transportation projects. Where appropriate, the Non-Federal-aid Guide references the I.M.s and other documents for more detailed information and instructions.

**Non-Federal-Aid Project Development Guide for Local Public Agencies.**

Search Instructional MEMORANDUMS (IMS)

Type in a key word to search. If searching multiple words or a phrase, use quotes to get the specific phrase search results. For example, "contractor furnished borrow."

WHAT CAN WE HELP YOU FIND?

Local Systems Home

Instructional Memorandums and Federal-Aid Guide

I.M. Table of Contents

**Instructional Memorandums & Federal-Aid Guide**  
Resources and guides for local agencies on federal and non-federal aid transportation project planning and development.

**Trainings & Videos**  
Iowa DOT Local Systems upcoming trainings, past presentations and videos.

**IJA Information**  
The Infrastructure Investment & Jobs Act is a U.S. law funding transportation, broadband, energy, and water protection.

**Doc Express & Appia**  
Doc Express & Appia are secure, web-based applications used for construction administration, documentation & inspection.

9

# WRITTEN GUIDANCE

- Federal-aid Project Development Guide (Federal-aid Guide)
  - Summary of the Federal-aid process
  - Centralized reference for all other Federal-aid guidance
  - 1 document
  - 22 pages

[https://ia.iowadot.gov/local\\_systems/publications/im/federal-aid-guide.pdf](https://ia.iowadot.gov/local_systems/publications/im/federal-aid-guide.pdf)

**IOWA DOT**

Federal-aid Project Development Guide  
For Local Public Agencies

January 19, 2024

**January 19, 2024**

Iowa Department of Transportation  
Local Systems Bureau  
800 Lincoln Way  
Ames, IA 50015  
[https://ia.iowadot.gov/local\\_systems/publications/im/federal-aid-guide.pdf](https://ia.iowadot.gov/local_systems/publications/im/federal-aid-guide.pdf)

10

10

# WRITTEN GUIDANCE [https://ia.iowadot.gov/local\\_systems/im/lpa-ims](https://ia.iowadot.gov/local_systems/im/lpa-ims)

**Local Systems**

- Local Systems Staff → Local Systems Email Subscriptions →
- Pre-Letting Resources → Post-Letting Resources →
- Maps → Inspection Worksheets (E-Sheets)

**Local Systems Home**

**Instructional Memorandums and Federal-Aid Guide**

**I.M. Table of Contents**

**Instructional Memorandums & Federal-Aid Guide**  
Resources and guides for local agencies on federal and non-federal aid transportation project planning and development.

**Trainings & Videos**  
Iowa DOT Local Systems upcoming trainings, past presentations and videos.

**IJA Information**  
The Infrastructure Investment & Jobs Act is a U.S. law funding transportation, broadband, energy, and water protection.

**Doc Express & Appia**  
Doc Express & Appia are secure, web-based applications used for construction administration, documentation & inspection.

**Search Instructional MEMORANDUMS (IMS)**  
Type in a key word to search. If searching multiple words or a phrase, use quotes to get the specific phrase search results. For example, "contractor furnished borrow."

WHAT CAN WE HELP YOU FIND?

11

# WRITTEN GUIDANCE

## • Instructional Memorandums to Local Public Agencies (I.M.s)

• Variety of detailed guidance on specific topics

- Federal-aid
- Non-Federal-aid
- Other

• (80) different I.M.s with (107) Attachments

[https://ia.iowadot.gov/local\\_systems/publications/im/imtoc.pdf](https://ia.iowadot.gov/local_systems/publications/im/imtoc.pdf)

### Instructional Memorandums to Local Public Agencies Table of Contents

I.M. Table of Contents  
November 14, 2025  
**IOWA DOT**

The Iowa DOT is required by [Iowa Code 307.24](#) to provide assistance for urban systems and secondary roads, and to provide other categories of assistance as necessary. One of the ways in which we carry out that requirement is to develop and maintain Instructional Memorandums (I.M.s). Some I.M.s are written either to counties or cities; others are written to both counties and cities. The intended audience is indicated in the "To:" field of the I.M., as well as the Table of Contents below. Many of the I.M.s are referenced by the Federal-aid Project Development Guide (Federal-aid Guide). These I.M.s are marked with an asterisk (\*). For more information about the relationship between the Federal-aid Guide, the Non-Federal-aid Guide, and I.M.s, refer to the [Guide and I.M.s web page](#). The funding type is listed in the Table of Contents below, and will be labeled for Federal-aid (F.A.), Federal-aid Swap (Swap), State-aid (State), Farm-to-Market (F.M.) or Local; if the I.M. applies to all types of funding, "All" will be used as the Funding type.

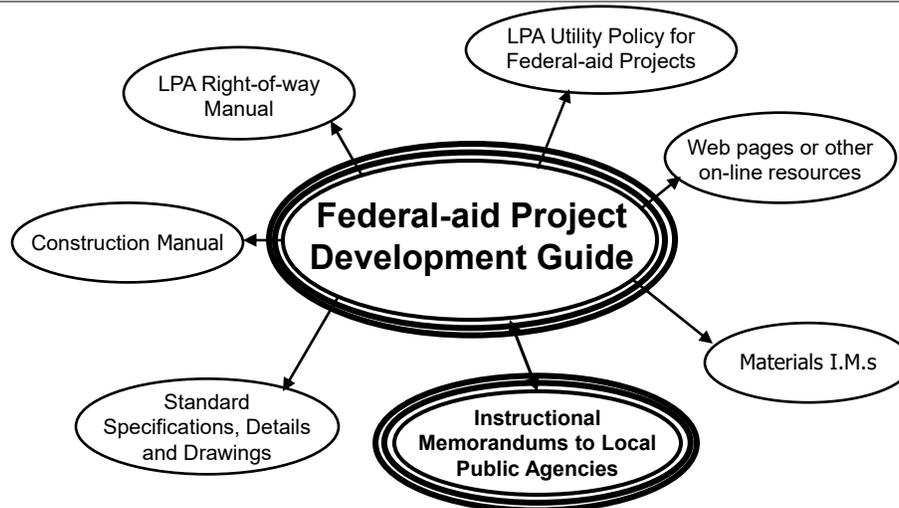
**Note:** Some of the I.M.s are not yet complete, as shown in light grey text. Most of the links to the [Code of Federal Regulations \(CFR\)](#) and the [United States Code \(USC\)](#) have been removed from the individual I.M.s below. To get to the general CFR and USC, you can click on the links above and search each respective page.

No.	Subject	Revision Date	Funding	Written To
<b>Chapter 1 – Administration</b>				
<b>Chapter 2 – County Road System</b>				
<b>Chapter 3 – Project Development</b>				
<b>Chapter 4 – Environmental Regulations</b>				
<b>Chapter 5 – Letting and Contracts</b>				
<b>Chapter 6 – Construction</b>				
<b>Chapter 7 – Maintenance</b>				
<b>Chapter 8 – Miscellaneous Information</b>				
<b>Chapter 1 – Administration</b>				
<b>Section 1.0 – General</b>				
1.000	Iowa DOT Oversight of LPA Projects	November 21, 2024	All	Both
	Attachment A – Project Submittal Table for Each Funding Type	November 21, 2024	All	Both
	Attachment B – Administering Team Responsibilities Flowchart	November 21, 2024	All	Both
1.010	Acronym List	December 31, 2019	All	Both
1.020	References to the Iowa Code	August 7, 2020	All	Counties
1.070*	Title VI and Nondiscrimination Requirements	June 29, 2018	F.A.	Both
1.080*	ADA Requirements	October 1, 2013	All	Both
	Attachment A – Sample Curb Ramp Transition Plan (Word)	August 24, 2012	All	Both
<b>Section 1.1 – Programs</b>				
1.100*	Highway Bridge Programs for Cities and Counties	June 12, 2024	All	Both
	Attachment A – City Bridge Priority Point Rating Worksheet (Word)	August 16, 2024	F.A.	Cities
	Attachment B – County Bridge Priority Point Rating Worksheet (Word)	November 14, 2025	All	Counties
	Attachment C – Touchdown Points and Limits of Participation	July 18, 2011	F.A.	Both
	Attachment D – County HBP Fiscal Constraint Requirements	July 18, 2011	F.A.	Counties
1.150	Federal-aid Swap Program	February 10, 2023	Swap	Both
	Attachment A – Federal-aid Swap Policy Approved by the Iowa DOT Commission	November 4, 2022	Swap	Both

12

12

## RELATIONSHIP BETWEEN THE GUIDE AND LOCAL SYSTEMS I.M.S



13

13

## ROLES AND RESPONSIBILITIES

### Iowa DOT Role

- Iowa DOT has a Stewardship & Oversight Agreement with FHWA.
- Advisor – provide guidance and assistance to LPAs for successful implementation of their Federal-aid projects
- Monitor – responsible to FHWA for administering and overseeing Federal-aid programs. Numerous reviews and approvals of project activities.

### LPA Role

- Follow the Federal-aid Guide, I.M.s and Funding Agreement
- Professional Engineer signing plans, designing all aspects of the project
- Example: DOT reviews plans to ensure they are consistent with our bidding procedures, but we don't check quantities
- *Iowa DOT does not conduct an engineering review of the plans as that is the responsibility of the LPA and/or their engineering firm. (not to be confused with DOT Primary Highway within DOT ROW roles/reviews)*
- Shall have Person in Responsible Charge (PIRC) as defined in Federal-aid Guide.

14

14

## PERSON IN RESPONSIBLE CHARGE (PIRC)

- Federal regulations (23 CFR 635.105 and 23 CFR 172.9(d)(1)) require the LPA to have a full-time employee who is in responsible charge of the project. This person supervises all project administration duties, oversees the work performed by consultants and contractors, and coordinates the development of the project with the Iowa DOT.
- These duties may be shared by several people. A single person may also serve as the person in responsible charge for multiple projects.
- For counties and larger cities, this person is typically the county or city engineer; however, they need not be a licensed engineer or architect to be the person in responsible charge. For smaller cities that do not have any full-time employees, the mayor or city clerk may serve as the person in responsible charge, with assistance from the Iowa DOT Administering Team

15

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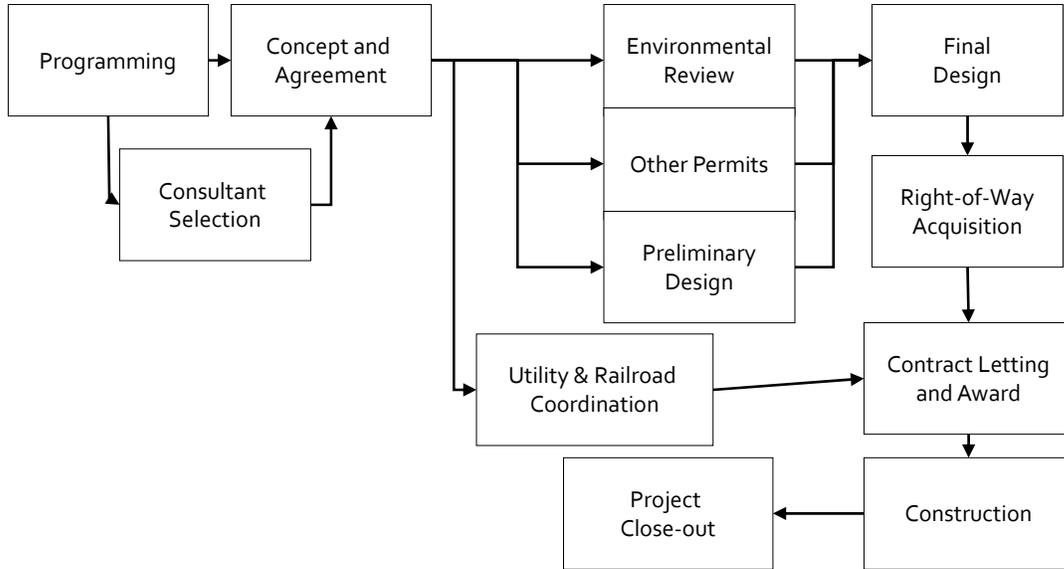
## CONSULTANT ROLE

- Consultant **shall not** serve as person in responsible charge (PIRC)
- Preliminary Engineering – Design, Submittals, Permits, Etc as applicable
- Construction Engineering & Contract Administration
  - Inspection
  - Project Documentation
  - Contract Administration
  - Pre-Audit (Project Engineer)
  - Project Closeout
  - Etc. as applicable

16

16

# TYPICAL PROJECT SEQUENCE



17

## QUESTIONS?

### Reference Documents:

- As listed on previous slides

### Iowa DOT Contact Person:

- See Iowa DOT Contact List for appropriate Administering Bureau staff



18

18

# CONSTRUCTION INSPECTION

Field Technicians

Local Systems Bureau

Iowa Department of Transportation

1

1

## PRESENTATION OVERVIEW

I.M. 6.000

Pre-construction Meeting

Project Inspection Duties

Working Day Reports

Materials Testing and IM's

Change Orders

EEO / AA and Wage Rate Compliance

Certified Payrolls

Davis-Bacon Wage Rates

Prompt Payment

Specification Updates

Training Opportunities

**IOWA | DOT**

2

# LOCAL SYSTEMS I.M. 6.000 CONSTRUCTION INSPECTION

- Att. A – Preconstruction & Construction Inspection Checklist
- Att. B – Doc Express Change Order Drawer Signatures & Workflow Steps
- Att. C – Subcontract Review & Authorization Process – Post Award Flowchart
- Att. D – LPA Construction Contract Administration Guidance (C.M. Chapter 2)
- Att. E – Request for Early Release of Retained Funds

3

3

## PRE- CONSTRUCTION MEETING

### General considerations

- When should it be scheduled?
- Invitees: Civil Rights, DME, Administering Team, Contractor, Utilities
- Project Engineer shall be in attendance.
- Check availability of Administering Team-2 weeks

### Administrative details to discuss

- Change Orders
- Davis-Bacon Wage Rates
- AA/EEO board
- Project supervision
- Weekly Report of Working Days (WDR)
- Safety requirements
- Storm Water Pollution Prevention Plan (SWPPP)
  - Erosion Control Implementation Plan (ECIP)
- Payment to the contractor
- Build America, Buy America (BABA) compliance

4

# PRE-CONSTRUCTION MEETING

## Project details

- Special considerations
  - Wetlands, environmentally sensitive areas, historical sites
- Dates of interest
  - Start date, staging, signing
- Construction staking (IM 3.310: Conflict of Interest)
- Subcontractors and subcontract items
- Disadvantaged Business Enterprise (DBE) participation – Commercially Useful Function (CUF)
- Erosion Control Implementation Plan (ECIP)
- Contract Quantity Agreements
- Special notes (Plans, Proposal, Special Provisions)
  - (fairs, celebrations, gatherings)

## For more information:

- See Section 2.11 of I.M. 6.000 Attachment D
- Pre-Construction Template

5

# PRE-CONSTRUCTION TEMPLATE

## Draft Preconstruction Meeting Agenda Template

Iowa DOT Project Number(s)  
Description  
Meeting date/time

*After award of the contract and prior to starting work on the project, the LPA shall schedule a meeting between the Contractor, Administering Bureau, PIRC, Project Engineer, and subcontractors. It is important to also invite any other affected or interested parties including utilities, railroad, emergency response, and businesses that may be affected by the construction. The meeting is generally conducted to discuss project requirements and administrative details.*

*The intent of this draft preconstruction meeting agenda is to help start conversations that are beneficial to everyone prior to the start of the construction project so potential problems can be avoided. This template is not intended to cover everything, but rather a place for the local public agency and/or consultant to start when planning their preconstruction meeting. Please delete the items that are not relevant to your project, add project specific items that are relevant, and modify as you see fit. Green text is meant to be instructional and should be deleted before finalizing agenda.*

*Please note that a virtual option (or conference call) is strongly encouraged to enable higher participation.*

<https://iowadot.gov/transportation-development/local-systems/resources-tools/post-letting-resources>

Print this document ahead of the meeting and fill in the project specific information **before** the meeting

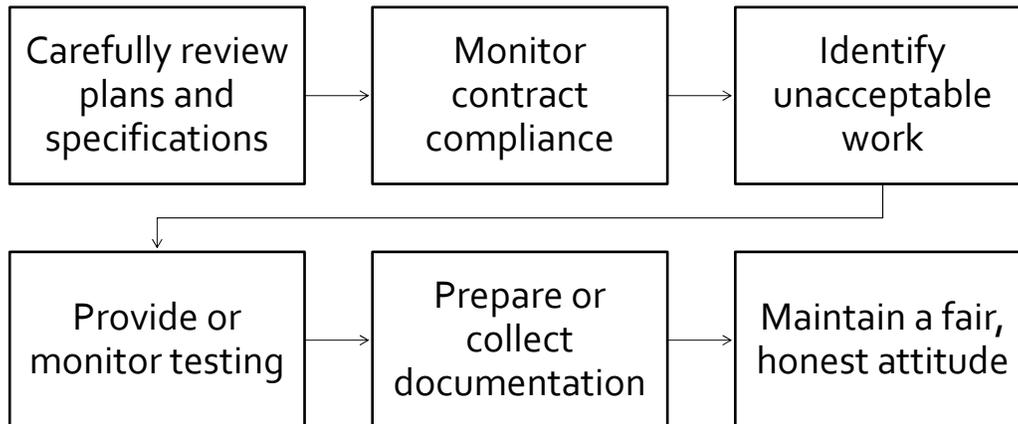
Use this document as a starting point to serve as a guide of subjects to discuss

Not all the information may be applicable to all projects

6

6

## PROJECT INSPECTION DUTIES



7

7

## PROJECT INSPECTION - BRIDGES

- Construction Manual Chapter 11
- Have Standard Bridge Plans available
- Beams or Maturity?
- Notify the DME when piling and reinforcing steel is delivered to the site
  - Check piling and steel mill certifications for BABA compliance (*before install or pay*)
- Reinforcing steel storage
- Piling logs
- Verify testing frequencies (IM 204 appendices)

8

8

## PRE-POUR CHECKLIST FOR DECK POURS

Pre-pour meeting. Use of a Pre-pour checklist recommended

Air & Slump Testing (Form E115) Frequency & Tolerances

Depth checks and steel clearance checks of the deck before placement (dry run of paver) (Form E119)

Sufficient inspection staff for major concrete placement

Bridge Deck Evaporation Report (Form E122)

Proper support and clearance of reinforcing steel

9

9

## DECK POUR CONSTRUCTION

Wetting bridge deck prior to concrete placement

Ensure adequate consolidation (vibration)

Depth checks of plastic concrete (E110)

Ensure burlap is pre-wetted & placed within 30 minutes after grooving – Article 2412

Finishing aids not allowed

Monitor Evaporation Rate throughout

Wet cure concrete post placement  
4 days – Slab  
7 days – All others

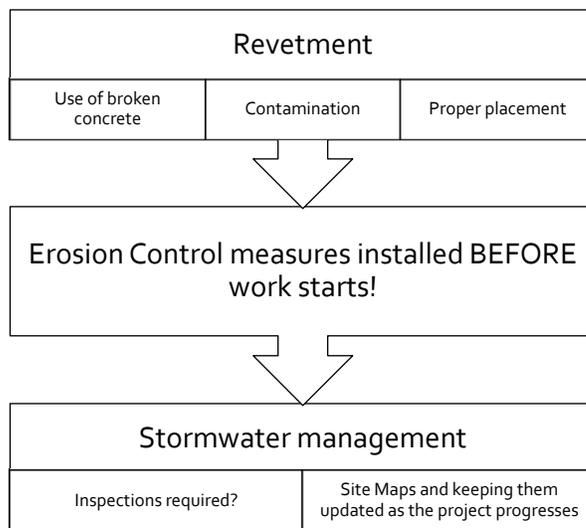
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10

## PROJECT INSPECTION - CULVERTS

- Construction Manual Chapter 11
- Cast in Place
  - Beams or Maturity?
  - Check steel placement and clearances
  - Backfilling & compaction requirements
  - Cold weather placement requirements
- Pre-Cast
  - Visual inspection at time of delivery and placement
  - Ensure proper lift points are being used
  - Check for appropriate joint spacing and is sealing needed
  - Check tie bars for proper installation
  - Check flowline elevations and field adjustments if needed
  - Backfilling and compaction requirements

11



## PROJECT INSPECTION - GRADING

12

12

## PROJECT INSPECTION - GRADING

For record keeping, be aware of :

- Items that are/aren't Plan Quantity
- Method of Measurement

Lift thickness

Compaction requirements – understand specification being used

- Roller walkout
- Moisture and Density Control (nuclear testing)
- Special Compaction
- Settlement Plates

Erosion Control

- Erosion control methods should be included in the ECIP
- ECIP should include number of mobilizations needed for each stage of work (Worksheet available)
- Additional mobilizations not outlined in the ECIP must be approved by the Engineer
- Update ECIP as needed to address & document changes
- Water Pollution Control Manager required when NPDES permit is required.

13

## PROJECT INSPECTION – PCC PAVING

Slipform  
Requirements vs.  
Fixed Form  
Requirements

Beams or  
Maturity?

Concrete source  
and approved mix  
design

14

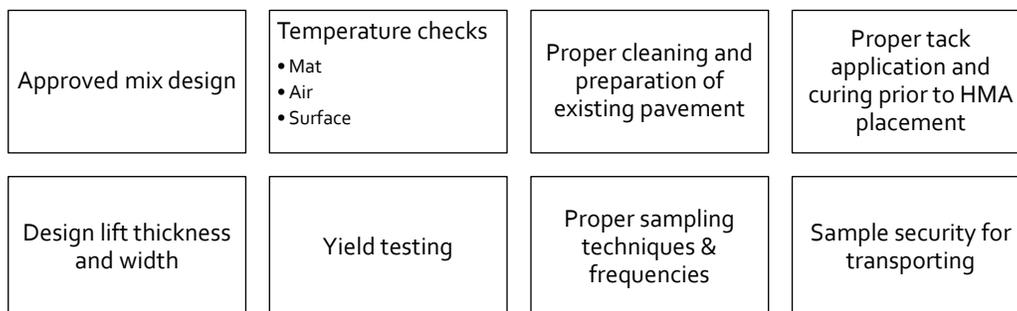
14

## PROJECT INSPECTION – PCC PAVING

- Prewetting the subgrade prior to placement
- Monitoring batch and delivery times
- Yield checks and adjustments as needed
- Timely and proper application of cure
- Record vibration monitoring on Form 830213
- Apply required testing & frequency (Materials I.M. 204 App E)
- Consider referencing “PCC Paving Field Inspection Checklist”
- Alternatives to coring?
  - MIT-SCAN – Availability may differ with each District. Check with your DME. (DS-23059, contractor provided)
  - Specification 2301.04 A.2.d. – refers to Materials IM 396 for probing during construction for sections less than 3500 SY
  - IM 396 – addresses both coring and probing for thickness
    - If probing, there is no incentive - 100% pay, deficient areas Remove & Replace

15

## PROJECT INSPECTION – HMA PAVING



16

16

## PROJECT INSPECTION

Small quantities – Materials IM 204 App. X

What documents take precedence? Specification 1105.04

Familiarize yourself with the MOM and BOP for all the items on your contract

Identify all plan quantity items by specification

Keep the District Materials Engineer (DME) informed on project progression and consult them with any questions.

- Schedule independent assurance testing
- If you want specific testing not normally performed, submit a request to the DME.

Review the information in the Materials Acceptance Report (MAR – Doc Express>Items and Materials Documentation drawer).

- Gather all the sampling and testing equipment and supplies required for the job.
- Make sure inspectors have proper certification for sampling and testing.

17

## PROJECT INSPECTION

Check and Verification weighing requirements

• Iowa DOT Standard Specification 2001.07 and Construction Manual 3.50 covers this information

• Verification weighing is defined as a second weighing of the same load on the same scale and applies only to truck platform scales. At least one verification weighing should be made daily when the pay quantity is weighed on truck platform scales. Verification weighing's are made to determine the repeatability of truck platform scales. The verification weight should not be different from the initial weight by more than 0.1%.

• Check weighing is defined as a second weighing of the same load on another certified truck platform scale. Check weighing's shall be made to determine the accuracy for all types of weighing equipment. For check weighing of weigh hoppers, load cells or batch weight tickets, it will be necessary to also get the tare weight of the delivery truck and consider a suitable fuel adjustment to determine the accuracy of the total net weight. Recognizing that in a batch plant some material may remain in the mixing chamber after a drop, the results of two check weighing's may be averaged.

18

## PROJECT INSPECTION

### Check and Verification weighing requirements (continued)

- Check weighing for truck platform scales should not be different from the initial weight by more than 0.3%. Check weighing for weigh hoppers, batch scales, and silos on load cells shall not be different from the initial weight by more than 100 pounds.
- One check weighing should be performed on the first day of asphalt mixture production or aggregate weighing. One additional random check weighing should be performed for project quantities exceeding 5,000 tons. If these check comparisons had been made for another project within the time stipulated, documentation in the project diary will be satisfactory and separate checks will not be required.
- It may help to have a typed instruction to the hand to the truck driver that explained how they could do a check and verification weighing on one trip, with the following:  
*Go to the Quarry and get a tare, stay in the truck, get loaded and weighed, stay in the truck, leave the scale and circle back around and get weighed again, stay in the truck, this is a verification weighing. With all the tickets drive to another quarry and give the weighmaster your new tare weight from earlier to use, get weighed again, stay in the truck, this is a check weighing.*

19

## PROJECT INSPECTION – WORKING DAYS

- Working days and controlling operation (*Construction Manual 2.31*)
  - Article 1108.02 E. - Working days will not be charged for Saturdays, Sundays, and legal holidays the Contractor does not work. Work may be performed on Saturdays with no time charged.
  - Controlling operation is work that is (or could be) in progress at any given period of time and would have the greatest influence on the duration of the contract.
  - If the contractor is working but not able to work on the controlling operation, including delays that are outside of the Contractors control, no days should be charged. Some examples of delays are shown in *Construction Manual 2.31, Controlling Item of Work*.
  - Working day reports need to cover entirety of contract time
    - Working Day 1 – indicate start – **WDR 01 WE 231209 - START**
    - When suspending days – **WDR 01 WE 231209 – SUSPEND**
    - When resuming days – **WDR 01 WE 231209 – RESUME**
    - When contract is complete – **WDR 01 WE 231209 – FINISH**
  - Need to be filled out while contract is open at all times unless project is suspended
  - Fill out all fields correctly and upload to Doc Express timely

20

20

## PROJECT INSPECTION

### ▪ I.M. 6.110 Att. E Pre-Audit Checklist

- Print this document before the project starts
- Use throughout the project. As documents are uploaded to Doc Express, cross them off the checklist
- When your project is complete, your Pre-Audit should be ready for the Administering Team review

21

21

## POSSIBLE BREAK



22

22

# TRAINING AVAILABLE ON LOCAL SYSTEMS WEBSITE

The screenshot displays the Iowa Department of Transportation website. The header includes the IOWA logo and navigation menus for Driver's Licenses & IDs, Registration & Plates, Modes of Travel, Motor Carriers, and Travel. The breadcrumb trail indicates the current location: Home > Transportation Development > Local Systems > Local Systems Resources & Tools. The main content area features a dark banner with the text "Trainings & Videos". Below this, a section titled "On this page..." lists three links: "Access Workday Learning", "Local Systems Trainings & Meetings", and "Federal-aid Training Resources for Local Agencies in Iowa". To the right, a section titled "Access Workday Learning" provides a three-step guide: 1. Create Your Workday Learning Account (with a PDF link), 2. Log into Workday Learning (with a link), and 3. Step-by-step instructions with pictures to help you enroll in training through Workday Learning (with a PDF link). A "Back to top" button is located below the list. Further down, a section titled "Local Systems Trainings & Meetings" includes a paragraph about accessibility and contact information for Mary Beth Sprouse. Below this is a list of three meetings: "2026 Local Systems Bureau Update Meeting", "2026 Federal-Aid Overview Seminar", and "2025 Spring Meeting", each with a plus sign to its right.

23

# E-TICKETING PRESENTATION

[https://iowadot.gov/local\\_systems/Trainings-Videos#534262845-e-ticketing-webinar](https://iowadot.gov/local_systems/Trainings-Videos#534262845-e-ticketing-webinar)

The screenshot shows a presentation slide titled "E-Ticketing Webinar". The text on the slide reads: "Iowa DOT has a Developmental Specification for Electronic Ticketing, DS-23032. Below is a 47-minute, recorded webinar from May 2023, hosted by Matt Miller, the E-Construction Administrator for the Construction and Materials Bureau at Iowa DOT." Below the text is a thumbnail image of a video player. The video player interface includes a play button, a progress bar, and a "Watch on YouTube" button. The video title is "Connect to Iowa DOT E-Ticketing portal by integrations". The video player also shows a "Share" button and a list of social media sharing options.

24

24

# MATERIALS TESTING AND CERTIFICATION

## Projects let by the Iowa DOT

- Testing and certifications are **required** as per Standard Specifications and Materials Instructional Memorandums (Materials I.M.s)

## Projects let locally

- Testing as per local agencies' specifications
- DOT will provide materials inspection/testing upon request **as workload and time permits**
- Iowa DOT accepts Project Engineer's certification that all materials were in accordance with plans and specifications

25

25

# USEFUL MATERIALS IM'S

## Materials I.M. 101

- Provides guidance to the DME and Project Engineers for reviewing documentation of materials accepted into construction projects.

## Materials I.M. 103

- Outlines the procedures to be followed for materials quality assurance inspection and other materials associated services performed for counties, cities, and other state agencies.

## Materials I.M. 204

- Describes the materials acceptance and independent assurance requirements.

## Materials I.M. 213

- Specifies the training and certifications required for testing personnel.

26

26

# CHANGE ORDERS

## What is a Change Order?

- A written order to the contractor to add or delete an item of work, increase or decrease contract quantities, or change the contract documents.
- Need to be written so that anybody unfamiliar with project can read change order and understand what is happening without further context
  - Instead of “added additional intake in front of XYZ Diner per plan change” try “Existing low spot in right of way 204+30 R 35’ was not analyzed as part of the design as it was outside of the limits of the project. Following completion of grading, it was determined that this low spot would have significant ponding that could become a safety hazard. Due to this, an additional 24’ of 18” RCP is being extended from Intake 3-01 to the east and a 36” SW-512 will be set to drain this area.
- Change Orders are **required** for adjustments to Plan Quantity Items by Specification or Overrun/Underrun amounting to \$50,000 or more on any measured contract item.
- Documented on: **All signatures applied in Doc Express**
  - Change Order Form 831240 for Doc Express
  - or in Appia with the Change Order tabs.

27

27

# CHANGE ORDERS

- Substantial vs. Non-substantial ?
  - An extra work effort totaling \$150,000 or more which may include one or multiple items
  - Substantial Change Orders **require** DOT concurrence prior to work starting. Failure to get concurrence could cause the work to be non-participating.
  - Items that are substantial:
    - Extra work effort that is \$150,000 or more
    - Overruns or underruns of 1 item of \$150,000 or more
    - Changes to MOM or BOP
    - Renegotiation of Unit price
    - Value Engineering
    - Changes in contract period
    - Adjustment to critical closure
    - Changes in limits of contract or scope of work
    - Extending work outside NEPA limits
- Document justification for additional costs in Section D
- Address impacts to Contract Time in Section E
- Federal/State Participating moved to Section F (changes to existing items) and/or Section G (new items)

28

# CHANGE ORDERS (Form 831240 or Appia)

## Field Team projects

- Send drafts to Region Field Tech for review.
- Once the draft has final approval, it can be submitted to Doc Express.

## • Signature workflow for Doc Express (IM 6.000, Attachment B)

- Contractor
- Project Engineer
- Person in Responsible Charge – PIRC (if applicable)
- Iowa DOT Administering Team
- All signatures applied in Doc Express
- See IM 6.000, Attachment D, 2.36

## Grant Team projects

- Send drafts to Kurt Harvey (Plan Review Specialist) for review.
- Once the draft has final approval, it can be submitted to Doc Express.

Attachment B to IM 6.000  
November 14, 2025

Document	Workflow Steps					
	Submitted	Reviewed by PIR	Reviewed by PE	Reviewed by Administering Team or PIR	Reviewed by Public Agency	Completed
Change Order (Draft) and PIR, Contract Conditions and Detail sheets						
Change Order (Draft) and PIR, Contract Conditions and Detail sheets						
Key Chart						
Doc Express						
Doc Express						
Doc Express						
Doc Express						

This Workflow chart is also available in Doc Express under the **88 Doc Express Instructions** project accessible by all Local Public Agency Doc Express Projects.

Doc Express Drawer Link: <https://dotexpress.iowa.gov/88888888>

Doc Express Instructions: <https://dotexpress.iowa.gov/88888888>

29

29

# APPIA CHANGE ORDERS

The appearance of the form is different, but the same instructions apply. Both types of forms require the same information, it just may not be entered in the same place as on the old paper forms.

30

30

## EQUAL EMPLOYMENT OPPORTUNITY / AFFIRMATIVE ACTION (EEO / AA)

### Contractor/Subcontractor policy

- Prior to awarding a contract or approving a subcontract over \$10,000, verify the contractor has a current EEO/AA policy must be on file with the Iowa DOT Contracts and Specifications Bureau.
- Required policy provisions
  - General operating statement
  - Designation of EEO officer
  - Definition of EEO / AA
  - Company's recruitment policy
  - Certification that company does not possess segregated facilities
  - Plan for employee training and promotion

31

31

## SUBCONTRACT REVIEW AND AUTHORIZATION

### Post Award Process (I.M. 6.000 Attachment D, 2.25)

- Contractor submits Subcontractor data using SiteExchange and submits a ".con" file to the Project Engineer
- Project Engineer verifies Subcontracting Limit (70/30) and that Subcontractor has a current EEO/AA policy on file at IDOT
  - <https://iowadot.gov/media/33/download?inline>
  - Project Engineer emails the ".con" file to the Contracts and Specifications Bureau
- Contracts and Specifications Bureau Prepares:
  - EEO Poster Notice – submitted to Doc Express for Project Engineer and Contractor to print and post on Bulletin Board
  - Tax Certificates – submitted to Doc Express for Project Engineer to sign and resubmit to Doc Express for Contractor/subcontractor access.
  - EEO Board must be updated prior to subcontractor being on site
  - If you have a NPDES Permit – they need to have a co-permittee signed prior to work that would require it.

32

32

## Equal Employment Opportunity/Affirmative Action (EEO/AA)

### Poster Board

- Certain notices and posters related to EEO/AA, OSHA, and other requirements must be displayed
- Verify required notices and posters at the beginning of the project and every six months for projects that extend over a longer period of time
- Document compliance on Project Engineer's EEO Project Site Inspection / Wage Rate Report (Form 650170) – NEW form issued April 2023

### For more information:

- See Section 2.22 of I.M. 6.000 Attachment D
- Posters are available at:  
<https://iowadot.gov/about/civil-rights/documents-forms-reports>

33

33

## DAVIS-BACON WAGE RATES

### Project Engineer's EEO Project Site Inspection/Wage Rate Interview – Form 650170

- Form required for all Contractors/subcontractors with \$10,000 or more in work
- Employee interviews are not required if the Contractor/subcontractor participates in the AGC Prevailing Wage Notification Program
- Not required for certain work classifications
- Required at least once every 6 months for all Contractors/subcontractors
- Verifies workers are being paid the required wages
- Prevailing Wage Notification Programs (<https://www.agcia.org/member-services-benefits/>)

### For more information:

- See Section 2.24 of I.M. 6.000, Attachment D

34

34

## DAVIS-BACON WAGE RATES

### Certified Transcript of Labor Payroll (Form 830176)

Must be submitted to the Project Engineer weekly

- Must include all work done by both prime and subs working that week
- If not received within 2 weeks (3 weeks for subs) payment should be withheld
- Prime must sign statement of compliance on all payrolls submitted by subcontractors
- Transcripts shall be checked periodically for correctness and completeness
  - Add a comment in Doc Express when transcripts are checked or
  - Print a copy, mark what is checked, and upload a scanned copy or
  - Ensure all reviewed payrolls are transitioned to Received
- Wage Rates are:
  - Attached to the contract
  - In the Contract Documents drawer of Doc Express
  - Available on the BidX Website (user ID required)
    - <https://www.bidx.com/ia/lettings>

35

## PROMPT PAYMENT

### Governing Laws and Regulations

- 49 CFR 26.29 – requires prompt payment for subcontractors
- Iowa Code Section 573.12 – covers payments and retention for contractors and subcontractors
- Iowa DOT Standard Specifications
  - Article 1109.05 PARTIAL PAYMENT – addresses payments to the Contractor and subsequent payments to the subcontractors

### Progress Payments

- LPA must pay prime **at least** monthly
  - Payment due 14 days after work is completed **and all paperwork has been submitted (No cert-No Pay)**
  - Project Engineer should share quantities with contractor.
  - Subcontractor retainage cannot exceed 3% 1109.05 B. 2.
- Prime must pay subs no later than:
  - 7 days after the prime is paid, or
  - 7 days after the prime could have been paid
- Full payment to subcontractors (including retention) must be made within 30 days of satisfactory completion of their work including documentation

36

36

## PROMPT PAYMENT

### Certification of Subcontractor Payments (Form 518002)

1. Submitted by prime to Project Engineer with final paperwork
2. Documents payments to subs
3. Explanations are required if payments exceed 30 days

### Complaint Process

1. Prime contacts the Project Engineer (or subcontractor contacts the Prime) and makes a written request for payment of completed work.
2. Prime (or subcontractor) submits a written complaint to the Administering Team.
3. Iowa DOT investigates and responds to Prime (or subcontractor) within 15 business days.

37

## BABA \$500,000 WAIVER

- New Local Systems I.M. 3.740 " Build America Buy America (BABA) waiver for Federal Financial Assistance less than \$500,000
- If the total Federal-aid is less than \$500,000, and the LPA wants to waive BABA requirement, then let us know at Check Plan Stage, before project letting. We will communicate with Contracts & Specifications, and add a Proposal Note:

**"Article 1107.06, B of the Standard Specifications does not apply to this contract, as the total Federal financial assistance for this project is less than \$500,000."**

- Caveats:
  - **When determining BABA applicability, the Federal Highway Administration (FHWA) defines a "project" to be the scope of work within a NEPA document.**
  - Ex 1: Two separate \$250,000 Transportation Alternatives Program (TAP) Set-Aside awards from a Regional Planning Affiliation (RPA) in two consecutive fiscal years for the same project scope.
  - Ex 2: A \$150,000 TAP Set-Aside award from an RPA and a \$350,000 Federal Recreational Trails Program (FRT) award for the same project.

38

38

## NOTABLE SPECIFICATION UPDATES

- Build America, Buy America – 1107.06, B.
  - Updated this spec due to manufactured materials waiver being struck down. All manufactured materials must be final assembly in the United States. Starting next October, 2026, cost of components shall be greater than 55% of the total cost of all components of the manufactured product.
- Subcontractor Retainage – 1109.05, B. 2.
  - Updated this spec to comply with law change in regards to allowable withholding amounts. Withholding was lowered from 5% to 3% maximum. This specifies that the prime can only withhold 3% on subs.
- Overlays with Fiber Reinforcement – 2310.02, D. 2.
  - Adopted language that was typically specified in contract documents regarding rate per CY. Fiber Reinforcement will also be paid for separately as a bid item per lb.

39

39

## NOTABLE SPECIFICATION UPDATES (CONT.)

- Pavement Markings – 2527.03, C. 6
  - Added language only allowing water blasting for pavement marking removal. Established guidance on what is considered defective pavement markings.
- Video Inspection of Sanitary/Storm Sewer - 2504
  - Requires video inspection to be done by a competent employee who has completed NASSCO's Pipeline Assessment Certification Program. Also allows Engineer to reject low quality videos.
- PCC Pipe Supports – 2552
  - Added some items that can be used for support over existing utilities for trenched excavation.

40

40

## TRAINING OPPORTUNITIES – TECHNICAL TRAINING AND CERTIFICATION PROGRAM (TTCP)

### Certification & Recertification

#### I Need to Get Certified

About the Classes	↓	Nuclear Gauge (DOT only)	↓
Aggregate Sampler	↓	Level I Portland Cement Concrete	↓
Aggregate Technician	↓	Level II Portland Cement Concrete	↓
Erosion Control	↓	Level III Portland Cement Concrete	↓
Hot Mix Asphalt Sampler	↓	Prestress	↓
Level I Hot Mix Asphalt	↓	Ride Quality	↓
Level II Hot Mix Asphalt	↓	Soils	↓

#### • TTCP Information & Registration Booklet

- Workday Learning has replaced the previous Iowa DOT U system
- Sign up via the Technical Training and Certification Program (TTCP) web site:  
-or - Google "Iowa DOT TTCP"
- Instructions for registration of City, County, or Consultant employees is available at:  
<https://iowadot.gov/media/324/download?inline>

41

41

## TRAINING OPPORTUNITIES – CONTRACT ADMINISTRATION @ DMACC-BOONE

- Contract Administration – Introduction - 1 Day (In-Person)
  - 2 Remaining Offerings: 3/4, 6/2
  - For consultants and government employees new to contract administration and/or Iowa DOT structure and references.
- Contract Administration – Navigating Contractual Elements - 2 Days (In-Person)
  - 1 Remaining Offering: 3/12-3/13
  - For consultants and government employees with a focus on topics related to both state-aid and federal-aid contract administration on projects let through Iowa DOT including Iowa DOT requirements during active construction.
- Contract Administration – Understanding Davis-Bacon Payrolls & Compliance **NEW** - 1 Day (In-Person)
  - 1 Remaining Offering: 3/24
  - For consultants and government employees who review federal-aid wage rate reports as part of federal-aid contract administration duties.
- Advanced Contract Administration – Understanding Materials & Closeout Compliance **NEW** - 2 Days (In-Person)
  - 1 Remaining Offering: 3/19-3/20
  - For experienced consultants and government employees, expanding on the previous contract administrative classes, including working through Materials IM 101 Forms and the LPA Pre-Audit Checklist.

42

42

# TRAINING OPPORTUNITIES – WEB BASED

Other Web based Courses are available in these areas:

- Certification Review Courses
- Construction
- Employee Development
- Maintenance
- Materials
- Safety

## Online Training

From Workday Learning Home:

1. Click on browse topics
2. Select the Technical Training and Certification Program topic
3. Select the check box On Demand and you will see the list of all online courses available to you

Resources:

- <https://iowadot.gov/consultants-contractors/construction-materials/training/online-training>
- <https://iowadot.gov/consultants-contractors/construction-materials/training/ttcp-training-videos>
- Iowa LTAP <https://iowaltap.iastate.edu/>

 [LTAP Webinar Recordings](#)

## TTCP Training Videos

On this page...

- [Plant](#)
- [Aggregate](#)
- [HMA](#)
- [PCC](#)
- [Soils](#)

43

# QUESTIONS?



Reference Documents:

- Electronic Reference Library (ERL)
  - Standard Specifications for Highway and Bridge Construction
  - Construction Manual
  - Materials I.M.s

<https://erl.iowadot.gov/>

Local Systems I.M.s

See Iowa DOT Contact List for appropriate Administering Team staff

44

44



1

IOWA DEPARTMENT OF TRANSPORTATION IOWA | DOT

## Who We Are

		
Nicki Rainey Bureau Director	Diana Upton External Programs	Amy Weerheim AA/EEO & ADA
		
Danny Wagener	Spenser Smith	Tracey Bradley
		
Steve Kerber		

**DBE Program**

**Title VI & Contractor Compliance Program**

2

2

IOWA DEPARTMENT OF TRANSPORTATION **IOWA | DOT**

## Interim Final Rule (IFR)

September 30, 2025 – IFR issued by the US DOT

October 3, 2025 – IFR became effective

October 24, 2025 – General Counsel of US DOT releases Frequently Asked Questions (FAQs) document

December 1, 2026 – US DOT publishes updates to its FAQs

Webpage: [www.transportation.gov/mission/civil-rights/disadvantaged-business-enterprise/october-2025-interim-final-rule](https://www.transportation.gov/mission/civil-rights/disadvantaged-business-enterprise/october-2025-interim-final-rule)

3

4 IOWA DEPARTMENT OF TRANSPORTATION **IOWA | DOT**

The IFR removes race- and sex-based presumptions of social and economic disadvantage from DBE eligibility. All individuals seeking DBE certification must provide individualized evidence of both social and economic disadvantage (SED) based on their own circumstances and experiences.

Certifiers are required to reevaluate currently certified DBEs on a case-by-case basis to recertify DBEs that meet the new certification standards and decertify any DBEs that do not meet the new standards. Until the reevaluation process is completed, recipients may not count any DBE participation toward DBE goals. Socially and economically (SED) requirements include:

- o Applicants must submit a Personal Narrative (PN) showing evidence of disadvantage. Evidence must be based on “specific instances of economic hardship, systematic barriers, and denied opportunities that impeded the owner’s progress or success in education, employment or business...”. It cannot in whole or in part rely on race or sex.
- o The PN must explain the economic hardship caused, describing both the type and magnitude of the impact, and must establish that the owner is economically disadvantaged relative to similarly situated, non-disadvantaged individuals.

4

IOWA DEPARTMENT OF TRANSPORTATION **IOWA | DOT**

What this means to the Iowa DOT:

- Began the reevaluation of in state DBEs on January 12, 2026
- Interstate certifications are suspended until the Iowa DOT has substantially completed the reevaluation of in state DBEs
- The Iowa DOT is not accepting or processing new DBE applications
- No goals are being set on projects; however, the Civil Rights Bureau continues to send out the Major Items Report and Order of Opening Bid Report for upcoming lettings.
- Currently the DBE Directory is offline until the reevaluation process is complete; however, for projects in process prior to the IFR effective date of October 3, 2025, we will forward upon request the DBE Directory in order to complete the DBE Accomplishment form

5

IOWA DEPARTMENT OF TRANSPORTATION **IOWA | DOT**

In Conclusion:

- January 12, 2026 – Reevaluation process started for in state DBEs
- Reevaluation documentation received by February 13, 2026, will receive priority processing.
- Firms submitting documentation after February 13, 2026, will remain ineligible as a DBE until their firm has been reevaluated. Reevaluation of these firms will not be initiated until reevaluation of priority submissions has been completed.
- Anticipate substantial completion of the reevaluation process by April 30, 2026.

6

IOWA DEPARTMENT OF TRANSPORTATION IOWA DOT

# DBE

## Questions?

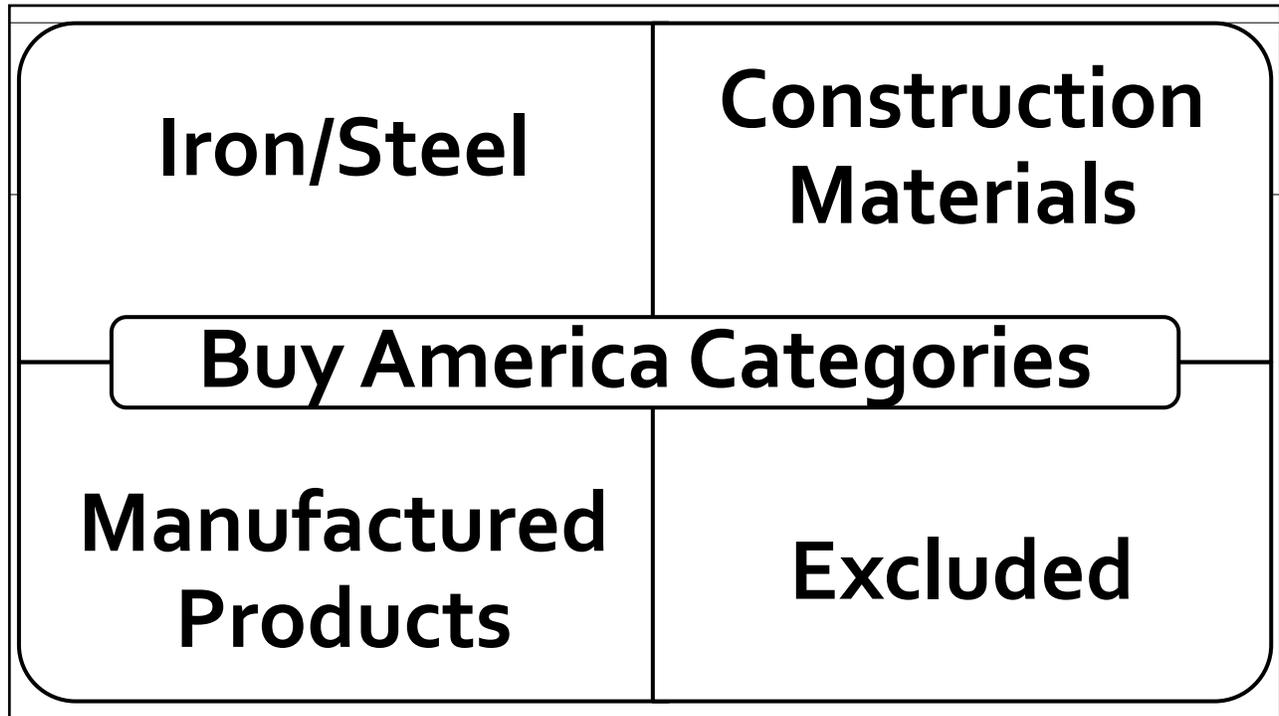
Civil Rights Bureau  
Nikita Rainey, Director  
515-239-1304  
Nikita.Rainey@iowadot.us

<p><b>LOCAL PUBLIC AGENCY PROJECTS MATERIALS INSPECTION</b></p>
<p><b>District Materials Staff</b> Iowa Department of Transportation</p>
<p>1</p>

1

<p><b>PRESENTATION OVERVIEW</b></p>	<p>Materials IM 107 Update Materials Instructional Memorandums Materials Acceptance Report Materials Certification Formats Materials Training</p>
	

2



3

<b>IM 107 UPDATE</b>	<p>IM 107 Manufactured products waiver is terminated!</p> <ul style="list-style-type: none"> <li>• Manufactured products must now comply with the BABA requirements.</li> <li>• Starting October 2025 letting, Final assembly must occur in the U.S.</li> <li>• Starting with the October 2026 letting final assembly must occur in the U.S. and 55% of the components must be from the U.S.</li> </ul>
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4

# BABA – MANUFACTURED PRODUCTS

A manufactured product is defined as an article, material, or supply that has been processed into a specific form and shape, or combined with other articles, materials, or supplies to create a product with different properties than the individual articles, materials, or supplies. If, however, an article, material, or supply meets this definition but could also be classified as an iron or steel product, excluded material, or other product category as specified by law or in 2 CFR part 184, that article, material, or supply is not a manufactured product.

5

## IM 107 APP A AND APP B – STANDARD CERTIFICATION FORMS

**Certificate of Build America Buy America Compliance  
of Construction Material or Manufactured Product  
for Use on Federal Aid Contracts and Contracts where the  
Department is the Contracting Authority**

**PART 1: Manufacturer and Material Information**

Manufacturer: \_\_\_\_\_ Representative: \_\_\_\_\_  
 Address: \_\_\_\_\_ Address: \_\_\_\_\_  
 City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
 Email: \_\_\_\_\_ Phone: \_\_\_\_\_ Email: \_\_\_\_\_ Phone: \_\_\_\_\_

Material Name: \_\_\_\_\_

Type of Material:  Construction Material  Manufactured Product

Description of Material or Product:  
 \_\_\_\_\_  
 \_\_\_\_\_

**PART 2: Declaration (check applicable box)**

The construction material described above complies with BABA requirements.  
 The manufactured product described above complies with BABA requirements. The product was manufactured in the United States.  
 **Mandatory after Oct 1st, 2026** The manufactured product described above complies with BABA requirements. The product was manufactured in the United States and the cost of components of the product that were manufactured in the United States exceeds 55 percent of the cost of all components according to the following formula:  

$$\frac{C_{US}}{C_{all}} \times 100 > 55\%$$
 Where:  $C_{US}$  = Cost of those components manufactured in the United States  
 $C_{all}$  = Cost of all components

**PART 3: Certification (read and check all boxes before signing)**

I certify that the description above is a true and accurate description of the material or product provided.  
 I certify that the construction material or manufactured product is in compliance with BABA requirements.  
 I certify that I have knowledge that submitting false statements and/or information may result in civil and criminal penalties.

\_\_\_\_\_  
 Signature Date  
 \_\_\_\_\_ (month/year)

\_\_\_\_\_  
 Printed Name Company represented

**Certificate of Build America Buy America Compliance  
ITEMS PRIMARILY OF IRON AND STEEL FOR USE ON FEDERAL AID CONTRACTS  
AND CONTRACTS WHERE THE DEPARTMENT IS THE CONTRACTING AUTHORITY**

**PART 1: Manufacturer Information**

Project Number			
Manufacturer	Address		
City	State	Zip	
email	Phone number		
Representative	Address		
City	State	Zip	
email	Phone number		
Website			
Name			
Heat Number			
Steel or iron Mill (name and location)			
Page number of mill cert for above heat			
Page numbers documenting traceability from steel/iron mill to project			
Address of site where coating was applied (N/A if non-applicable)			
Page numbers for certificates and QC documents for coatings (N/A if non-applicable)			
Address of fabrication site (N/A if non-applicable)			

**PART 3: Certification**

I certify that the description above is a true and accurate description of the material or product provided. I have reviewed the following documentation, and it meets 101 107 requirements for Buy America including unbroken traceability from the original melt to project.

Printed name \_\_\_\_\_  
 Signature \_\_\_\_\_  
 Title \_\_\_\_\_  
 Company represented \_\_\_\_\_  
 Date \_\_\_\_\_

Federal-aid Overview Seminar 6

6

## DOMESTIC MATERIALS SELF-CERTIFICATION FORM

<b>Domestic Materials Self-Certification Form</b>	
<p>This certification is for a manufacturer/supplier to certify the below articles, materials, or supplies are in compliance with the applicable domestic material content procurement preferences found in the Buy America Act requirements (23 CFR 635.410) and the Build America, Buy America Act requirements (2 CFR part 184). The individual completing this form takes full responsibility for the information included in the form. State agencies have the authority to request additional details related to the information provided in the form. All submitted forms are maintained in a secure manner in the Industry Document Repository on the AASHTO DataMine website. It is the responsibility of the manufacturer/supplier to include updates to process changes within 10 days of the change occurring via uploading a revised form into DataMine.</p>	
<b>PART 1: COMPANY CONTACT INFORMATION</b>	
Company/Producer/Manufacturer Name:	
Supplier Representative Name:	
Contact Email Address:	Contact Phone Number:
Date Form is Being Submitted:	
<b>PART 2: DETAILS OF THE ARTICLE, MATERIAL, OR SUPPLY:</b>	
<p>Using Table 1 Below, provide the classification of the article, material, or supply as one of the following: (1) iron or steel product, (2) construction material (3) manufactured product, or (4) excluded materials including Section 70917(c) materials.</p>	
Classification	
Producer of the Article, Material, or Supply:	
Product/Model/Part/Material:	

Federal-aid Overview Seminar 7

7

## WAIVERS – DE-MINIMIS COST

- **Construction Materials & Manufactured Products**
  - BABA requirements are waived if the total value of the non-compliant products is no more than the lesser of \$1,000,000 or 5% of the total allowable costs under the Federal financial assistance award.\*
    - \*This does not apply to iron or steel. See next bullet.
- **Iron and Steel**
  - A minimal use of foreign steel or iron products may be used, if the cost of such materials does not exceed 0.1% of the total contract cost, or \$2,500, whichever is greater. (23 CFR 635.410)

Federal-aid Overview Seminar 8

8

# EXEMPTION REPORT – IRON/STEEL

BUY AMERICA EXEMPTION REPORT: IRON AND STEEL									
Iowa Department of Transportation									
<i>Note to Contractor: Input project information and Original Contract Amount in highlighted cells on this worksheet before proceeding to the Construction Mat's worksheet</i>									
<i>Note to IA DOT Project Representative: Reported materials costs must be verified for consistency with amounts shown on materials invoices and project documents.</i>									
Contract ID:								Original Contract Amount:	
Project ID(s):								Exemption Amount:	\$ 2,500.00
Highway:									
Limits:									
County:									
Contractor:									
Let Date:									
Bid Item No.	Description / Material Description	Unit Price	Unit	Invoiced Amount	Quantity	Unit	Total Cost	Exemption Balance Remaining	
		\$ -		\$ -	0.00		\$ -	\$ 2,500.00	
		\$ -		\$ -	0.00		\$ -	\$ 2,500.00	
		\$ -		\$ -	0.00		\$ -	\$ 2,500.00	
		\$ -		\$ -	0.00		\$ -	\$ 2,500.00	
		\$ -		\$ -	0.00		\$ -	\$ 2,500.00	
		\$ -		\$ -	0.00		\$ -	\$ 2,500.00	
		\$ -		\$ -	0.00		\$ -	\$ 2,500.00	

# EXEMPTION REPORT – CONSTRUCTION MATERIALS

BUY AMERICA EXEMPTION REPORT: CONSTRUCTION MATERIALS									
Iowa Department of Transportation									
<i>Note to Contractor: Input the total value of all change orders and total applicable project costs in the yellow highlighted cells. See notes below for additional information.</i>									
<i>Note to IA DOT Project Representative: For small grants waiver determination, input total value of all Pre-LET Costs (including consultant fees and agency costs), plus all non-contractor costs during and after LET. If Pre-LET and non-contractor cost information is unavailable or indeterminant, then project is not eligible for small grants exemption, and the allowable de minimis costs may be used. For allowable de minimis exemption, reported materials costs must be verified for consistency with amounts shown on materials invoices and project documents.</i>									
Contract ID:	Complete Iron & Steel Worksheet							Original Contract Amount:	Complete Iron & Steel Worksheet
Project ID(s):	Complete Iron & Steel Worksheet							Total Approved Change Orders:	(See Note 1)
Highway:	Complete Iron & Steel Worksheet							Total Applicable Project Costs:	(See Note 2, 5)
Limits:	Complete Iron & Steel Worksheet							Pre-LET Costs + Non-Contractor Costs During and After LET:	For IA DOT Use Only
County:	Complete Iron & Steel Worksheet							Allowable De Minimis Costs:	N/A (See Note 3)
Contractor:	Complete Iron & Steel Worksheet							Small Grants Exemption?	N/A (See Note 4)
Let Date:	Complete Iron & Steel Worksheet							Bid Let Date Meets Requirements?	No (See Note 6)
Bid Item No.	Description / Material Description	Unit Price	Unit	Invoiced Amount	Quantity	Unit	Total Cost	De Minimis Balance Remaining	
		\$ -		\$ -	0.00		\$ -	(See Note 5)	N/A
		\$ -		\$ -	0.00		\$ -		N/A
		\$ -		\$ -	0.00		\$ -		N/A
		\$ -		\$ -	0.00		\$ -		N/A
		\$ -		\$ -	0.00		\$ -		N/A
		\$ -		\$ -	0.00		\$ -		N/A
		\$ -		\$ -	0.00		\$ -		N/A

## STARTING A FEDERAL AID PROJECT FROM THE MATERIALS PERSPECTIVE

- Review IM 103, Category 1 or Category 2 project? If Category 2, have you sent in a written request for testing?
- Did you invite the District Materials Engineer or representative (HMA/PCC tech) to Preconstruction meeting?
- Do you have a copy of the Materials Acceptance Report?



### Request for Materials Inspection See Materials IM 103

Contracting Authority \_\_\_\_\_

Project Number(s) \_\_\_\_\_

Requested by \_\_\_\_\_

Check the boxes below to select the inspection requested.

**Plant Calibrations** For category 2, 3 and 4 projects (FM & SWAP only). Described in IM 103.

HMA

PCC

**Source Inspections** For category 2, 3 and 4 projects (FM & SWAP only). Described in IM 103.

Aggregate source – Gradation Testing

Aggregate source – Quality Testing

Steel Fabrication Inspection

**Note:** For FM & SWAP projects; inspection services will be provided for precast prestressed concrete beams and piles unless otherwise directed by the Contracting Authority.

11

## ON GOING FEDERAL AID PROJECT

Review Standard Specifications and Materials IM's while project is being constructed.

### Iowa DOT Construction Guidance

Standard Specification 1105.04A contains a list of construction guidance documents that can apply to a project.

Many of the documents are project-specific: Addendums, Special Provisions, Plans, etc..

### Materials Instructional Memorandums

Materials Instructional Memorandums (I.M.s) are near the bottom of the list, after the Standard Specifications.

Materials I.M.s may be overruled by a document of higher authority, but I.M.s apply to every project unless specifically superseded in some manner.

12

12

## MATERIALS INSTRUCTIONAL MEMORANDUMS

Materials Instructional Memorandums (I.M.s) provide direction for approving suppliers of construction materials at the State-wide level, and for sampling, handling, testing, and accepting construction materials at their source, at the plant, and on the grade at the project level.

- State-wide material supplier approval is a function of the Iowa DOT Construction and Materials Bureau.
- Project level material acceptance is the responsibility of the Project Engineer.

13

## MATERIALS INSTRUCTIONAL MEMORANDUMS

### I.M. 205 Quality Assurance Program for Construction

Federal regulations require State DOTs use both an Acceptance Program and an Independent Assurance Program for confirming materials and workmanship conform with project requirements.

- Acceptance Program: Quality control sampling and testing by Contractor and verification sampling and testing by Contracting Agency at specified intervals/frequencies.
- Independent Assurance Program: Evaluation by Materials staff of sampling and testing procedures, personnel, and equipment used for acceptance.

14

## I.M. 204 Inspection of Construction Project Sampling & Testing

### MATERIALS INSTRUCTIONAL MEMORANDUMS

Presents several methods of documenting materials acceptance: test report, approved source, certification statement, etc.. More than one method is required in many cases.

Includes appendices for major work types that identify sampling and testing details (sample size, test method, frequency, etc.) for quality control, verification, and independent assurance activities.

15

## MATERIALS INSTRUCTIONAL MEMORANDUMS

Sampling & Testing Guide-Minimum Frequency													
ASPHALT MIXTURES													
Section 2303 & 2213													
										Matis: IM 204 Appendix F (US) Units			
MATERIAL OR CONSTRUCTION ITEM	TESTS	METHOD OF ACCEPTANCE & RELATED Bids	QUALITY CONTROL					INDEPENDENT ASSURANCE & VERIFICATION SAT					REMARKS
			SAMPLE RY	FREQ	SAMPLE SIZE	TEST RY	REPORT	SAT TYPE	SAMPLE RY	FREQ	SAMPLE SIZE	TEST RY	
<b>SOURCE INSPECTION</b>													
Aggregates-Coarse (M27)	AS	202											
Aggregates-Fine (M27)	AS	202											
Hydrated Lime	AS	491.04											
Asphalt Binder	AS	437											
Outbacks	AS	437											
Release Agent	AS	491.15											
Recycled Asphalt Shingles	AS	502											
<b>PLANT INSPECTION</b>													
Combined Aggregate (M27)	Gradation	302, 306, 238	RCE/ CONTR	1/lot	IM 301	CONTR	V	RCE/ CONTR	Sample 1/day, Test 1st day + 20% Systems Approach	IM 301	DME/ RCE	IM 215	
Moisture			CONTR	1/half day	1000-gm	CONTR	IA						Don Mix Plants Only
Asphalt Binder	DSR Quality	AS 323 Cert					V	RCE/ CONTR	Sample 1/day Test 1st, 1/week	4 oz 1/4	DME		Log all shipments ** no longer
Outback		AS Cert					V	DME	100,000 T of Mix Systems Approach	1 qt	CTRL		Test all shipments
Emulsion	Residue	AS 360					V	RCE	1/project	1 lb	DME		PS&S Code required

**I.M. 204 App. F Asphalt Mixtures**

- Source Inspection**
  - No project-level quality control, verification, or independent assurance sampling & testing required
- Plant Inspection**
  - Contractor always performs quality control sampling and testing.
  - RCE generally performs verification sampling and testing.
  - DME/Central Materials always performs independent assurance sampling and testing.

16

8

# MATERIALS INSTRUCTIONAL MEMORANDUMS

Sampling & Testing Guide-Minimum Frequency  
**ASPHALT MIXTURES**  
 Section 2303 & 2213

Matis. IM 204  
 Appendix F (US) Units

October 19, 2021  
 Supersedes October 15, 2019

MATERIAL OR CONSTRUCTION ITEM	TESTS	METHOD OF ACCEPTANCE & RELATED Mts	QUALITY CONTROL					INDEPENDENT ASSURANCE & VERIFICATION S&T					REMARKS
			SAMPLE BY	FREQ.	SAMPLE SIZE	TEST BY	REPORT	S&T TYPE	SAMPLE BY	FREQ.	SAMPLE SIZE	TEST BY	
<b>GRADE INSPECTION</b>													
Uncompacted Mixture	Lab Density & Lab Voids	321, 322, 350, 325D, 357, 338	RCE/CONTR	As per 2303	40 lb.	CONTR	V	RCE/CONTR	As per 2303 Test 1 day	40 lb.	DME		***interlayer
	Moisture Sensitivity	325D, 325E, 326B, 2303.02, F&I					V	RCE/CONTR	System Approach: Test 19 Sample at 500 tons then sample 110,000 tons per 2303 until 1% sample accepted (per 2303.02)	70 lb.	CTRL		
Compacted Mixture	Mat Density, Thickness & Voids	320, 321, 332					V	RCE/CONTR	Lot	Min 8/lot	RCE		
	Joint Density	SS-15504					V	RCE/CONTR	1 lot/project		DME		
	Smoothness	341	CONTR	100%	100%	CONTR	V	DME	10%		DME		8-inch core

AB-Approved Brand  
 AS-Approved Source  
 ASD-Approved Shop Drawing  
 S&T-Sampling & Testing

Cert. Certification Statement

CONTR-Contractor  
 RCE-Resident Construction Engineer/Project Engineer  
 DME-District Materials Engineer  
 CTRL-Central Laboratory

IA-Independent Assurance  
 V-Verification

\* A system approach may be applied at the discretion of the DME.

NOTE: RCE/CONTR indicates that the Contractor shall assist in the sampling at the direction of and witnessed by the Project Engineer.

\*\*\* NOTE: For interlayer construction, in addition to the required uncompacted mix sample(s) tested by the contractor and district lab, sample and retain at least one additional box of uncompacted mix each day of interlayer placement.

NOTE: For Local Agency projects with no Federal Funds, independent assurance, if used, are not required.

NOTE: For Local agency projects with no Federal funding, verification samples or monitor samples sampled by the DME are not required. These samples may be sampled by the contracting authority. With prior approval, these samples may be tested by the Iowa Department of Transportation Central Laboratory.

NOTE: For Local agency projects with no Federal funding, smoothness verification testing may be tested and evaluated by the DME.

## I.M. 204 App. F Asphalt Mixtures

### Grade Inspection

- Contractor always performs quality control sampling/testing.
- RCE generally performs verification sampling/testing.
- DME/Central Materials always performs independent assurance sampling and testing.

Understand and apply the Remarks column, abbreviations, and footnotes to your project.

# MATERIALS INSTRUCTIONAL MEMORANDUMS

## I.M. 204 Appendix X Acceptance of Small Quantities of Materials

Alternate methods of acceptance are available to field staff when specific bid items are present at or below a maximum quantity.

Alternate methods generally include fewer samples and tests, less documentation, etc.

Alternate methods do not permit the Project Engineer to simply waive all acceptance requirements.

# MATERIALS INSTRUCTIONAL MEMORANDUMS

## I.M. 101 Review of Materials used in Construction & Maintenance Projects

Provides guidance to both the Project Engineer and District Materials staffs for reviewing materials documentation.

Reviews are performed on a minimum of one Federal aid project per local agency per year.

Contains link to Material Review Forms 101.

Put all material used on project on the review form whether incidental or paid.

Don't wait till end of project! Fill out as the project is being constructed.

# MATERIALS INSTRUCTIONAL MEMORANDUMS

## I.M. 101 Review of Materials used in Construction & Maintenance Projects

2020 Construction and Materials Review  
**HMA PAVING and COLD-IN-PLACE RECYCLING**

Project No. \_\_\_\_\_ Contract No. \_\_\_\_\_  
 Route No. SR 202 Stationing 7+00.00' to 21+00.00'

Contract Item No.	Material	Unit	Quantity	Quantity Documented
_____	Binder	_____	_____	_____
_____	Emulsion / Cutbacks	_____	_____	_____
_____	Emulsion / Cutbacks	_____	_____	_____
_____	Stabilizing Agent	_____	_____	_____

Contract Item No.	Name of Manufacturer	Mfr. Division No.	Quantity	Quantity Documented
_____	Pave, or Small Qty's	_____	_____	_____
_____	Pave, or Small Qty's	_____	_____	_____
_____	Pave, or Small Qty's	_____	_____	_____
_____	Pave, or Small Qty's	_____	_____	_____
_____	Pave, or Small Qty's	_____	_____	_____
_____	Pave, or Small Qty's	_____	_____	_____

Contract Item No.	Job Control Tests / Construction	Required	Documented
_____	Combined aggregate gradation (CAG)	1 Cert Test / Lot	_____
_____	Binder (DPR) Sample	1 / Day	_____
_____	Binder (DPR) Tests	90 Days - 1 / 90k	_____
_____	TAX	Viscosity of Residue	1 per project
_____	Stabilizing Agent	(DPR) or Residue	1 / Day
_____	Lab density (DMA) No.	of each based on production	1 per lot
_____	Pave Thickness	1 per lot	_____
_____	Smoothness (1 Yr or No.)	Certified Test Rpt	_____
_____	Pave Density (Comp or Place)	50 / lot	_____
_____	Pave Moisture (Comp or Place)	50 / lot	_____
_____	Self-Tend Compatability	90 Days - 1 / 90k	_____

Contract Item No.	Verification test - Materials with furnish reports	Required	Documented
_____	Ventilation gradation tests (DPR) w/ CAG	90 Days - 2/90k	201
_____	Aggregate Quality	1 / 20,000 Tons of Mix	_____
_____	AD Binder	1 / 20,000 Tons of Mix	_____
_____	Uncompacted Inplace (Lab Density/Visk)	1/day	_____
_____	Smoothness (1 Yr or No.)	10% of project	821301
_____	Stabilizing Agent	1 per project	_____

Contract Item No.	Independent Assessment - Materials with furnish reports	Required	Documented
_____	Compacted Inplace (Lab Density/Visk)	1 / Project or Systemic Approach	802342
_____	Aggregate Gradation (DPR) w/ Moisture	1 / Project or Systemic Approach	_____

Comments: \_\_\_\_\_

I.M. 101 Review of Materials used in Construction & Maintenance Projects

2020 Construction and Materials Review  
**HMA PAVING and COLD-IN-PLACE RECYCLING**

Project No.: \_\_\_\_\_ Contract No.: \_\_\_\_\_  
Refer to IM 204 Appendix F, IM 437, IM 510, IM 511

Contract Item No.	Material	Type	Source
	Binder		
	Binder		
	Emulsion / Cutbacks		
	Emulsion / Cutbacks		
	Stabilizing Agent		

Contract Item No.	Basis of Acceptance	Mix Design No.	Quantity Paid Tons or S.Y.	Quantity Documented Tons
	PWL or Small Qty's			
	PWL or Small Qty's			
	PWL or Small Qty's			
	PWL or Small Qty's			

MATERIALS  
INSTRUCTIONAL  
MEMORANDUMS

21

I.M. 101 Review of Materials used in Construction & Maintenance Projects

		<u>Required</u>	<u>Documented</u>
<p><b>Job Control Tests (Construction)</b></p> <p>Combined aggregate gradation (CPI)</p> <p>Binder (DSR) Sample</p> <p>Binder (DSR) Tests</p> <p>Tack Viscosity or Residue</p> <p>Stabilizing Agent (DSR) or Residue</p> <p>Lab density (QMA) No. of tests based on production</p> <p>Field Voids</p> <p>Film Thickness</p> <p>Smoothness ( Yes or No )</p> <p>Field Density (Cold-in-Place)</p> <p>Field Moisture (Cold-in-Place)</p> <p>Seal Coat Compatibility</p>	<p>1 Cert Test / Lot</p> <p>1 / Day</p> <p>1st Day - 1 / Wk</p> <p>1 per project</p> <p>1 / day</p> <p>production</p> <p>1 per lot</p> <p>1 per lot</p> <p>Certified Test Rpt</p> <p>10 / lot</p> <p>10 / lot</p> <p>1st Day - 1 / Wk</p>	<p> </p>	<p> </p>

MATERIALS  
INSTRUCTIONAL  
MEMORANDUMS

22

**MATERIALS  
INSTRUCTIONAL  
MEMORANDUMS**

I.M. 101 Review of Materials used in  
Construction & Maintenance Projects

<b>Verification Test --- Materials will furnish report(s)</b>			
Verification gradation tests (Splits W / CPI)	1st Day + 20%	201	
Aggregate Quality	1 / 20,000 Tons of Mix		
AC Binder	1 / 20,000 Tons of Mix		
Uncompacted mixture (Lab Density/Voids)	1/day		
Smoothness ( Yes or No )	10% of project	821301	
Stabilizing Agent	1 per project		
<b>Independent Assurance --- Materials will furnish report(s)</b>			
Compacted mixture (Lab Density/Voids)	1 / Project or Systems Approach	800242	
Aggregate Gradation (Splits W / Monitor)	1 / Project or Systems Approach		

Comments: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

23

**MATERIALS  
INSTRUCTIONAL  
MEMORANDUMS**

I.M. 101 Review of Materials used in Construction  
& Maintenance Projects

District Materials Engineer may waive the review of certain materials when quantities are at or below the maximums given in IM 101 Appendix A.

Regardless of DME review or waiver, the Project Engineer is still responsible for following normal materials acceptance procedures. Per IM 101: "The normal method of acceptance by the Project Engineer is not to vary from those described in IM 204 or other relevant IMs."

24

## MATERIALS INSTRUCTIONAL MEMORANDUMS

### IM 204 Small Quantity Alternate Acceptance by Project Engineer

- IM 204 Appendix Z
  
- Aggregate: 200 tons
- Hot Mix Asphalt: 1000 tons
- Dowel Baskets: 25 each
- Reinforcement (Uncoated/Epoxy-Coated/Stainless): 45 tons/5 tons/1 ton

25

25

## MATERIALS ACCEPTANCE REPORT

The Materials Acceptance Report is a compilation of bid item-specific information for a contract (project).

If a bid item has material-related criteria that must be satisfied, the report identifies references used (Specs and I.M.s), sampling & testing info (frequency, party responsible, etc.), and other details for each material element of that bid item.

26

26

# MATERIALS ACCEPTANCE REPORT

## MATERIALS ACCEPTANCE REPORT

- Spec section where bid item MOM & BOP are found
- Component Details
- Spec where materials info is found
- Applicable Materials I.M.s
- Sampling frequency by whom
- Basis of acceptance
- Comments

LINE NO	ITEM	DESCRIPTION	UNIT	QUANTITY	
0180	2417-0225036	AFRON, METAL, 36"	EACH	6.000	
	<b>Material Desc</b>	<b>Spec No</b>	<b>IM</b>	<b>Sample Freq</b>	<b>Basis of Acceptance</b>
	METAL APRONS,	4141.01	441	DME	Approved Source
			107	RCE	Certification Statement
				CONTRACTOR	
	<b>Comments:</b>				
	BUY AMERICA GROUP 2				

27

# MATERIALS ACCEPTANCE REPORT

Line No	Item	Description	Unit	Quantity	
0010	2101-0850001	CLEAR+GRUBB	ACRE	2.900	
0020	2102-2625000	EMBANKMENT-IN-PLACE	CY	6,597.000	
0030	2102-2710070	EXCAVATION, CL 10, RDWY+BORROW	CY	1,554.000	
0040	2102-2710080	EXCAVATION, CL 10, UNSUIT/UNSTABLE MAT'L	CY	2,740.000	
0050	2104-2713020	EXCAVATION, CL 13, CHANNEL	CY	4,734.000	
0060	2105-8425015	TOPSOIL, STRIP, SALVAGE+SPREAD	CY	1,490.000	
0070	2312-8260051	GRANULAR SURF ON RD, CL A CR STONE	TON	1,200.000	
	<b>Material Desc</b>	<b>Spec No</b>	<b>IM</b>	<b>Sample Freq</b>	<b>Basis of Acceptance</b>
	GRAVEL/LIMESTONE FOR GRAN.	4120.02	209	DME	Certification Statement
	SHOULDERS	4109.02	T203	source sampled	Approved Source
				RCE	
				CONTRACTOR	
	<b>Comments:</b>				
	Certified Truck Ticket				

28

28

# MATERIALS ACCEPTANCE REPORT

Line No	Item	Description	Unit	Quantity
0130	2404-7775005	REINFORC STEEL, EPOXY COATED	LB	102,417.000
<b>Material Desc</b>				
STEEL REINFORCEMENT, EPOXY COATED	Spec No	IM	Sample Freq	Basis of Acceptance
			DME	Approved Source
			6-ft largest size - Structures	Steel Mill Certifications
			RCE	Epoxy Certification
			CONTRACTOR	Test Report by Central Lab
Comments:				
S&T by Central-Structures only, (Paving (AS), steel & epoxy cert ) BUY AMERICA GROUP 1				
<b>Material Desc</b>				
EPOXY DOWELS	4151.02B	IM	Sample Freq	Basis of Acceptance
			DME	Approved Source
			RCE	Certification Statement
Comments:				
BUY AMERICA GROUP 1				
<b>Material Desc</b>				
STEEL REINFORCEMENT, MECHANICAL SPLICES	4151	451	107	DME
			RCE	Certification Statement
			CONTRACTOR	Epoxy Certification
Comments:				
Epoxy cert required only for epoxy rebar splices. BUY AMERICA GROUP 1				

# MATERIALS ACCEPTANCE REPORT

The Materials Acceptance Report is a very useful tool when used within its limits. Keep these things in mind:

- It is both customized to the project, and generic to the bid item.
- The details provided may be concise, but not comprehensive.
- It references contract documents, but it is not one.
- It's a great place to start looking, not the last place you need to look.
- It may contain errors and omissions. If you see errors,

**Note:** Please refer to Specifications and IMs. This is a guide and not a contract document.  
 Find an Error? Please contact Jeff.Devries@IowaDOT.us with Item Number and Error Description.

## MATERIALS CERTIFICATION FORMATS

A common method of materials acceptance on the project site is with contractor-provided certification.

That certification can take several forms:

- Certification statement stamped on each delivery ticket

- oNon-proportioned aggregate

- Certification document for similar units delivered to the project

- oPrecast unit summary (intakes, concrete pipe, etc.)

- Certification packet addressing individual bid item components

- oSteel products requiring an itemized list by size, length, weight, heat number, etc. with accompanying mill test reports, chemical analysis, etc.; plus similar documents for possible coatings.

There are multiple individual certification statements and/or certification documents in a single packet.

A cert is not a cert is not a cert.

31

## MATERIALS CERTIFICATION FORMATS

Materials IM 204 appendices do not identify what type of certification is required.

IM 204 App Z notes that a certification statement is needed for both corrugated steel pipe and PCC premix.

Material	IM	Contact	Spec.	Sample Size	Sampled By	Basis of Acceptance	Verification	Other Details
Steel Reinforcement, Epoxy-coated Tie Bars	451.03B	M. Khoda	4151.02_A	1 bar	DME	Approved Source/Certification Statement	Project	1 per source per year
Portland Cement Concrete Premix Pack	447	T. Hanson				Approved Source/Certification Statement	Source	

32

32

# MATERIALS CERTIFICATION FORMATS

Materials IM 204 appendices do not identify what type of certification is required.

IM 204 App E repeats the "Approved Source" requirement for steel reinforcement but references a steel reinforcement IM rather than repeating "certification statement" requirement.

MATERIAL OR CONSTRUCTION ITEM	TESTS	METHOD OF ACCEPTANCE & RELATED IMs	QUALITY CONTROL					INDEPENDENT ASSURANCE & VERIFICATION S&T					REMARKS
			SAMPLE BY	FREQ.	SAMPL E SIZE	TEST BY	REPT.	S&T TYPE	SAMP. BY	FREQ.	SAMPLE SIZE	TEST BY	
<b>GRADE INSPECTION</b>													
Chloride Solution	Concentration	373	RCE	1/day									
Steel Reinforcement: Dowels	Quality	AS 451.03B					V	DME	1/Source/yr	1 dowel bar	CTRL		

# MATERIALS CERTIFICATION FORMATS

**CERTIFICATION PROCEDURES**

- The steel mill, epoxy coater and/or supplier shall furnish an identification list, invoice or bill of lading for each shipment to each project. It shall show the project number, size, length, grade, heat number, source and weight of pieces in the shipment. In addition, the name and location of the epoxy coating plant and supplier/fabricator if different from the coating plant must be shown.
- The signed mill test reports/certification shall include the physical, chemical and mechanical properties, ASTM designation, grade and type for each heat.
- A copy of the epoxy powder certificates and epoxy coating test certificates shall be provided.
  - The epoxy-coating certifications shall provide the coating lot number and powder lot numbers for the heat numbers included in the shipment and the quality control test results for coating thickness, coating continuity, profile measurements and coating flexibility for all coating lots represented in the shipment.
  - The epoxy powder certifications shall be for the powder lot numbers for all coating lots represented in the shipment.
- The signed mill test reports/certification shall also include a statement indicating the steel meets the requirements of IM 107, Group 1, Buy America.
- Each epoxy coated bundle shall have a tag showing the heat number, mill, coater's name and the date the coating was applied.
- Certification of compliance shall include a statement indicating materials in shipment are certified to be in compliance with:
  - Applicable Iowa DOT IMs, Standard Plans, and Specifications
  - Applicable AASHTO and/or ASTM requirements
  - All Buy America Group 2 requirements as described in IM 107.
 The statement shall be signed by a designated, responsible company representative.

## IM 451.03B Epoxy-Coated Steel Reinforcement

## IM 447 PCC Premix

**CERTIFICATION DOCUMENTS**

The producer of mixture(s) shall furnish two copies of an invoice or bill of lading, which bear the following certification statement, and the signature of a responsible company representative, one distributed to the Project Engineer and one to the District Materials Engineer.

Certification Statement

The material herein described has been sampled and tested as prescribed by the Highway Division of the Iowa Department of Transportation and complies with the applicable specification requirements for Iowa DOT mix designation.

Date \_\_\_\_\_ Signed \_\_\_\_\_

The bill of lading or invoices shall be identified with a project number if available, and shall denote the quantity in the shipment.

A copy of these documents is required for each shipment to a project and shall be provided to the Project Engineer and the District Materials Office responsible for project administration or warehouse stock monitoring.

# MATERIALS CERTIFICATION FORMATS

## CERTIFICATION PROCEDURES

- The steel mill, epoxy coater and/or supplier shall furnish an identification list, invoice or bill of lading for each shipment to each project. It shall show the project number, size, length, grade, heat number, source and weight of pieces in the shipment. In addition, the name and location of the epoxy coating plant and supplier/fabricator if different from the coating plant must be shown.
- The signed mill test reports/certification shall include the physical, chemical and mechanical properties, ASTM designation, grade and type for each heat.
- A copy of the epoxy powder certificates and epoxy coating test certificates shall be provided.
  - The epoxy-coating certifications shall provide the coating lot number and powder lot numbers for the heat numbers included in the shipment and the quality control test results for coating thickness, coating continuity, profile measurements and coating flexibility for all coating lots represented in the shipment.
  - The epoxy powder certifications shall be for the powder lot numbers for all coating lots represented in the shipment.
- The signed mill test reports/certification shall also include a statement indicating the steel meets the requirements of IM 107, Group 1, Buy America.
- Each epoxy coated bundle shall have a tag showing the heat number, mill, coater's name and the date the coating was applied.
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  - Applicable Iowa DOT IMs, Standard Plans, and Specifications
  - Applicable AASHTO and/or ASTM requirements
  - All Buy America Group 2 requirements as described in IM 107.
 The statement shall be signed by a designated, responsible company representative.

Invoice with size, length, grade, heat number, source, weight of steel; mill test report/cert with physical/chemical/mechanical properties; epoxy coating cert with coating and powder lot numbers matched to steel heat numbers, coating thickness reports; and a certification statement

Invoice with certification statement

## CERTIFICATION DOCUMENTS

The producer of mixture(s) shall furnish two copies of an invoice or bill of lading, which bear the following certification statement, and the signature of a responsible company representative, one distributed to the Project Engineer and one to the District Materials Engineer.

Certification Statement

The material herein described has been sampled and tested as prescribed by the Highway Division of the Iowa Department of Transportation and complies with the applicable specification requirements for Iowa DOT mix designation.

Date \_\_\_\_\_ Signed \_\_\_\_\_

The bill of lading or invoices shall be identified with a project number if available, and shall denote the quantity in the shipment.

A copy of these documents is required for each shipment to a project and shall be provided to the Project Engineer and the District Materials Office responsible for project administration or warehouse stock monitoring.

35

## MATERIALS CERTIFICATION FORMATS

IM 204 App Z

Indicates that some form of material certification is needed

Good first step but can't be your only one

IM 204 App A through W

Provide details for developing a project-level materials sampling and testing plan

Do not provide certification format details

All IM 204 Appendices

Reference the individual IM for each material

Materials IMs

Provide the material certification format details

There is no shortcut.

36

# MATERIALS TRAINING

### Training Programs

- Technical Training and Certification Program**

The Iowa DOT Technical Training and Certification Program provides training courses in the areas of construction and materials. The program includes certifications for agencies, industry, producers, and consultants for highway materials testing and inspection.
- Online training**

The online courses offered through this site are for use by individuals that would like to take courses at their convenience. These courses are offered for an individual to take online at any time and on any computer system. These courses do include questions, but a formal test is not normally part of the course.

**Enrollment Guides**

[Create your Workday Learning Account](#) .pdf

[Log in to Workday Learning](#) ↗

[Enroll in Training](#) .pdf



↩ Construction & Materials

- Approved Products Database (MAPLE) ↗
- Work Zone Reference Library ▾
- Training ▲
- Certified Technicians & Certificates
- Technical Training and Certification Program (TTCP)
- TTCP Information and Registration Booklet
- TTCP Manuals
- TTCP Training Videos

37

## MATERIALS TRAINING

### Technical Training and Certification Program (TTCP)

Materials I.M. 213 *Technical Training & Certification Program* describes the purpose of TTCP and provides an overview of the process for becoming certified at 13 levels within 8 construction subjects.

See I.M. 213 Appendices for certification levels, certified technician qualifications, and technician duties.

38

# MATERIALS TRAINING, TTCP CONTRACT ADMINISTRATION

## Advanced Contract Documentation: Understanding Materials & Closeout Compliance

Select Offering	Start Date	End Date	Attendance Type	Location	Availability	Offering Number
<input type="checkbox"/>	Wed, Dec 17, 2025, 9:00 AM Central Time (Chicago)	Thu, Dec 18, 2025, 4:00 PM Central Time (Chicago)	In-Person	DMACC Boone Campus	37 out of 40 Seats Available	TTCP-CA2601
<input type="checkbox"/>	Thu, Mar 19, 2026, 9:00 AM Central Time (Chicago)	Fri, Mar 20, 2026, 4:00 PM Central Time (Chicago)	In-Person	DMACC Boone Campus	39 out of 40 Seats Available	TTCP-CA2601

39

39

# MATERIALS TRAINING, TTCP CONTRACT ADMINISTRATION

### Contract Administration Introduction

Topics covered include: • Structure of the Iowa DOT and references • Contract documentation overview/structure • Roles and Responsibilities of Contract Administration • Discussions on contract software and programs • Resources on how to find Contract Administration topics. • Basic Plan Reading

1 lesson • 111 enrolled

### Contract Administration - Navigating Contractual Elements

Contract Review and Preparation Documentation, Compliance monitoring, Payment administration, Closeout procedures

3 lessons • 46 enrolled

### Advanced Contract Documentation: Understanding Materials & Closeout Compliance

This course is designed for experienced field staff and project engineers who are ready to take their contract administration skills to the next level. Participants will gain practical knowledge on preparing and submitting IM 101 documentation, navigating material audits, and executing final project closeout procedures with confidence. This session covers the documentation essential

3 lessons • 4 enrolled

### Contract Administration - Understanding Davis-Bacon Payrolls & Compliance

This instructional session provides a comprehensive overview of Davis-Bacon and Related Acts (DBRA) compliance, with a focus on certified payrolls, prevailing wage requirements, and Equal Employment Opportunity (EEO) site inspections. Participants will explore: The historical context and legal foundation of the Davis-Bacon Act Roles and responsibilities of engineers, contract

2 lessons • 11 enrolled

40

40

## MATERIALS TRAINING, TTCP CONTACTS

### IOWA DOT CONTACT INFORMATION

CONTACT PERSON	ADDRESS	PHONE #	FAX #
Brian Squier - TTCP Coordinator <a href="mailto:brian.squier@iowadot.us">brian.squier@iowadot.us</a>	Technical Training & Certification Program and District 1 Materials 800 Lincoln Way Ames, Iowa 50010	515-290-5998	515-239-1092
Hope Arthur - TTCP Coordinator <a href="mailto:hope.arthur@iowadot.us">hope.arthur@iowadot.us</a>		515-509-8302	
Jon Kleven <a href="mailto:jon.kleven@iowadot.us">jon.kleven@iowadot.us</a>	District 2 Materials 428 43rd Street SW Mason City, Iowa 50401	641-422-9428	641-422-9463
Alex Crossgrove <a href="mailto:alex.crossgrove@iowadot.us">alex.crossgrove@iowadot.us</a>	District 3 Materials 6409 Gordon Drive Sioux City, Iowa 51106	712-239-4713	712-239-4970
Mike Magers <a href="mailto:michael.magers@iowadot.us">michael.magers@iowadot.us</a>	District 4 Materials 2310 E. Seventh St. Atlantic, Iowa 50022	712-243-7649	712-243-5302
Helen Bailey <a href="mailto:helen.bailey@iowadot.us">helen.bailey@iowadot.us</a>	District 5 Materials 205 E. 227th St. Fairfield, Iowa 52556	641-472-3103	641-469-3427
Tammy Siebert <a href="mailto:tammy.siebert@iowadot.us">tammy.siebert@iowadot.us</a>	District 6 Materials 5455 Kirkwood Blvd. SW Cedar Rapids, Iowa 52404	319-364-0235	319-730-1565

41

41

## MATERIALS TRAINING



Web-Based Training through WorkDay Learning



There are 240 web-based courses on the training webpage, 17 of which are available for non-DOT enrollment.



Most of those 17 are review courses for TTCP certifications, but several others have broad application.

42

42

## MATERIALS TRAINING, WEB-BASED COURSES

### Web-based training courses available to DOT Employees and Non-DOT are as follows:

Aggregate Sampler Review  
 Aggregate Technician Review  
 Basic Survey for Iowa Inspections  
 Erosion Control Update  
 HMA Level I Review  
 HMA Level II Review  
 IM 204  
 Iowa Basic Plan Reading  
 Iowa Traffic Control and Personal Safety  
 MAPLE  
 Math Basics Series for Highway Technicians  
 PCC Level I Review  
 PCC Level II Review  
 PCC Level II Update  
 PCC Level III Review  
 Ride Quality Review

### Web-based training courses available to DOT Employees are as follows:

TC3CN001 Daily Diary  
 TC3CN002 GPS Technology  
 TC3CN004 PCC Paving Field Inspection  
 TC3CN005 HMA Paving Field Inspection  
 TC3CN006 Bolted Connections  
 TC3CN007 Basic Construction Survey  
 TC3CN009 Highway Plan Reading Basics  
 TC3CN010 Plan Reading - Grading Plans  
 TC3CN011 Plan Reading - Traffic Control Plans  
 TC3CN012 Plan Reading: Erosion and Sediment Control Plans  
 TC3CN013 Plan Reading - Right-of-Way Plans  
 TC3CN014 Plan Reading - County Plans  
 TC3CN015 Plan Reading - Bridge Plans  
 TC3CN016 Plan Reading - Culvert Plans  
 TC3CN017 Roller Compacted Concrete Pavements

43

## MATERIALS TRAINING

### Training Videos

There are two sets of training videos on the Construction and Materials webpage:

- 38 hands-on demonstrations of TTCP tests and procedures.

44

44

# MATERIALS TRAINING, VIDEOS

<https://iowadot.gov/training/ttcp-training-videosconsultants-contractors/construction-materials>  
Website looks different after an update, videos are still available.

## TECHNICAL TRAINING AND CERTIFICATION PROGRAM (TTCP) VIDEOS

### PLANT

- ▶ [A Day in the Life of a PC Plant Inspector](#)
- ▶ [Plant Site Safety](#)
- ▶ [Washing Fine Aggregate](#)
- ▶ [Sieving Operation Fine Aggregate](#)

### AGGREGATE

- ▶ [Aggregates: Basic Inspection and Sampling](#)
- ▶ [Clay Lumps and Friable Particles in Coarse Aggregate](#)
- ▶ [Shale in Fine Aggregate](#)
- ▶ [Quartering Method Fine Aggregate](#)
- ▶ [Miniature Stockpile Fine Aggregate](#)
- ▶ [Sieving to Completion Fine Aggregate](#)
- ▶ [Individual Weights and Calculations Fine Aggregate](#)
- ▶ [Rifle Splitter Coarse Aggregate](#)
- ▶ [Rifle Splitter Reduction to Test Sample Size](#)
- ▶ [Coarse Aggregate Box Sieving Operation](#)
- ▶ [Coarse Aggregate Gradation Weighing and Calculations](#)
- ▶ [Coarse Aggregate Separate Wash Test Part 1](#)
- ▶ [Coarse Aggregate Separate Wash Test Part 2](#)
- ▶ [Combined Aggregate](#)
- ▶ [Specific Gravity Bringing Sample to SSD](#)
- ▶ [Specific Gravity Calibrating the Pycnometer](#)
- ▶ [Specific Gravity Determining the W Weight](#)

45

45

# MATERIALS TRAINING, VIDEOS

## TECHNICAL TRAINING AND CERTIFICATION PROGRAM (TTCP) VIDEOS

### HMA

- ▶ [Sampling Aggregate at an Asphalt Plant](#)
- ▶ [Sampling Asphalt Binder](#)
- ▶ [Sampling Asphalt Emulsion \(Tack\)](#)
- ▶ [HMA Template Sampling](#)
- ▶ [HMA Windrow Sampling](#)
- ▶ [Cutting Cores](#)
- ▶ [IM 357 Splitting](#)
- ▶ [IM 325G Gyrotory Compaction](#)
- ▶ [IM 321 Gmb \(Density\)](#)
- ▶ [IM 350 Gmm \(Rice\)](#)
- ▶ [Measuring Field Cores Thickness](#)

### PCC

- ▶ [PCC Air Content](#)
- ▶ [PCC Cylinders](#)
- ▶ [PCC Slump](#)
- ▶ [PCC Temperature](#)

### SOILS

- ▶ [IM 309 - Standard Proctor for Soils](#)
- ▶ [IM 335 - Moisture Content of Soil](#)

46

46

# IOWA DOT WEBSITE UPDATED

## Vendors & Partners



### Consultants & Contractors

View contract letting information, the electronic reference library, designer resources, and more.



### Construction & Materials

Guidance on methods, materials, and compliance, ensuring your project meets all contract requirements.



### Specifications

Construction and material specifications, standard specifications, general supplemental specifications, and ERL.



# IOWA DOT WEBSITE UPDATED

## Construction & Materials

Construction and Materials Bureau ensures quality roads and bridges by overseeing projects, testing materials, setting standards, and supporting contractors

Earthwork and erosion control →

Hot Mix Asphalt (HMA) →

Inspection Tools and Resources →

Material Forms →

Foundations & Structures →

Portland Cement Concrete (PCC) →

Work Zone Reference Library →

Training →

Flagger Training →

Contract Administration →

Materials Forms →

Frequently Asked Questions →

Contact →

Construction & Material Who's Who ↕

## CONTACT INFO - QUESTIONS?



### District 1

DME Mike Lauritsen (515) 357-4350

Materials Tech 5 Shane Feters (515) 239-1756

### District 2

DME Vacant

Materials Tech 5 Jon Kleven (641) 422-9428

### District 3

DME Vacant

Materials Tech 5 Alex Crosgrove (712) 202-0809

### District 4

DME Tim Hensley (712) 254-0386

Materials Tech 5 Mike Magers (712) 250-0324

### District 5

DME Allen Karimpour (641) 469-4040

Materials Tech 5 Helen Bailey (641) 469-4036

### District 6

DME Shane Neuhaus (319) 366-0446

Materials Tech 5 Mark Dutra (319) 366-1614

49

49

## QUESTIONS?



- Reference Documents:
  - Electronic Reference Library (ERL)
    - Standard Specifications for Highway and Bridge Construction
    - Materials I.M.s
- <http://www.iowadot.gov/erl/> (Called Legacy ERL)
- <https://erl.iowadot.gov/> (replacing old ERL)
- Construction and Materials Bureau Training Webpage  
<https://iowadot.gov/consultants-contractors/construction-materials/training>
- See Iowa DOT Contact List for appropriate Administering Bureau staff

50

50

# DOC EXPRESS

Derek Peck

E-Construction Administrator

Local Systems Bureau

Iowa Department of Transportation

1

1

## PRESENTATION OVERVIEW

Doc Express Instructions

Project Closeout & Change Order  
Workflow

Naming Convention

Workflows & Notifications

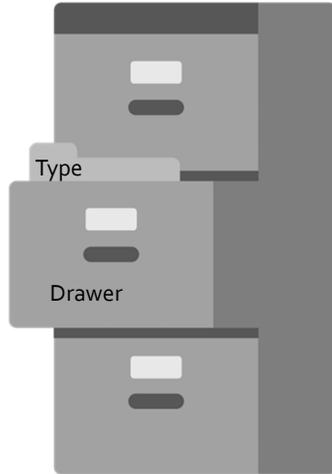
Auditing

Locking & Archiving

AI Agent

2

# DOC EXPRESS



Doc Express is like a file cabinet

- There are drawers
- There are file folders (referred to as Types)

Documents are uploaded in the appropriate file folder (Type) within the appropriate file Drawer

Some of the drawers in Doc Express also allow for documents to be signed electronically

3

3

## DOC EXPRESS DRAWERS

- Change Order (signature drawer)
- Contract Documentation
- Contract Signing (signature drawer)
- Environmental
- Estimate Payments (signature drawer)
- Items and Materials Documentation
- Payrolls
- Plans
- Project Closeout (signature drawer)
- Shop & Working Drawings
- Traffic Control
- Weekly Reports
- Working

36-C036-095

Fremont County | BROS-C036(95)-8J-36 | Bridge Replacement-CCS | PED = 09/30/2029 | Reimbursement

 Dixon Construction  On J 52 (

Change Order

Contract Documentation

Contract Signing

Environmental

Estimate Payments

Items and Materials Documentation

Payrolls

Plans

Project Closeout

Shop & Working Drawings

Traffic Control

Weekly Reports

Working

4

### 79-C079-066

Poweshiek County | BRS-C079(66)-60-70 | RCB Culvert New - Single Box | PED = 09/30/2027

On F29, Over Drain

- Agreement and Resolutions
- Change Order
- Contract Documents
- Contract Signing
- Diaries
- Environmental
- Estimates and Vouchers
- Items and Materials Documentation
- Meetings
- Payrolls
- Plans
- Project Closeout
- Right of Way Acquisition
- Shop Drawings
- Traffic Control
- Weekly Reports
- Working

OLD SETUP

### 36-C036-095

Fremont County | BROS-C036(95)-8J-36 | Bridge Replacement-CCS | PED = 09/30/2029 | Reimbursement

Dixon Construction | On J 52 (

- Change Order
- Contract Documentation
- Contract Signing
- Environmental
- Estimate Payments
- Items and Materials Documentation
- Payrolls
- Plans
- Project Closeout
- Shop & Working Drawings
- Traffic Control
- Weekly Reports
- Working

NEW SETUP

5

## DOC EXPRESS INSTRUCTIONS

### Contracts

00 Doc Express Instructions edit

iowa Local Public Agency - Current and Previous Instructions

Doc Express Instructions - Current 11

Previous Construction Season Instructions 8

#### Doc Express Instructions - Current

00 Doc Express Instructions - Iowa Local Public Agency - Current and Previous Instructions

Naming Convention November 2025 Naming Convention edit

iowa Local Systems

0 comments 0 supporting documents

Nov 14 10:27 AM EST Submitted  
Version 1 (current)  
2025 iowa Local Systems - Derek Peck

iowa DOT EZ Forms (Update) Xlsx EZ Forms edit

iowa Local Systems

1 comment 0 supporting documents

Jul 29 11:25 AM EDT commented  
Please note this is still a working document. Local Systems welcomes input from people who a  
2025 Also worth noting, the Materials 101 tab in this spreadsheet is intended to be a boilerplate. |  
iowa Local Systems - Derek Peck

July 2025 Doc Express Webinar User's Guide edit

iowa Local Systems

0 comments 0 supporting documents

Jul 09 05:23 PM EDT Submitted  
Version 1 (current)  
2025 iowa Local Systems - Derek Peck

6

# PROJECT CLOSEOUT WORKFLOW

**Doc Express Instructions - Current**  
00 Doc Express Instructions - Iowa Local Public Agency - Current and Previous Instructions

Iowa DOT EZ Forms Xlsx [EZ Forms](#) [edit](#)

**Iowa Local Systems**

1 comment 0 supporting documents

Nov 19 11:21 AM EST Submitted  
Version 1 (current)  
2025  
Please note, this is still a working document. Local Systems welcomes input from pe  
This macro-enabled workbook was updated in November 2025 to remove Materials f  
Iowa Local Systems - Derek Peck

**Project Closeout Workflow** [Chart](#) [edit](#)

**Iowa Local Systems**

0 comments 0 supporting documents

Nov 17 10:57 AM EST Submitted  
Version 1 (current)  
2025  
Iowa Local Systems - Derek Peck

Attachment G to I.M. 6.110  
November 14, 2025

**Doc Express® Project Closeout Drawer Signatures and Workflow Steps**

The first chart below is for Federal-aid, Federal-aid Swap, and State-aid projects. The second chart below is for Farm-to-Market (FM) stand-alone projects.

General Submit Order	Documents	Workflow Steps (Fed-aid, Fed-aid Swap, State-aid)							
		Submitted	Approved by Contractor	Recommended by Engineer (if Engineer)	Approved by PIRC (when applicable)	Approved by District Materials Administrator (Optional)	Approved by Administering Team (DOT) (Total Systems)	Approved by PIRSA (when applicable)	Completed (LSE or FHWA)
1	Noncompliance Notice (Form B30243)	E	C	E				LST	LSE / LST
1	Noncompliance Test or Measurements of Materials incorporated into the Project	E	C	E				LST	LSE / LST
1	Statement of Completion and Final Acceptance of Work (Form B30433)	E		E	PIRC (1), (5)			LSE	LSE / LST
2	Pre Audit Checklist (6.110 Attachment E)	E		E	PIRC (5)			LST	LSE / LST
3	Contract Quantity Agreement (Form B30230)	E	C	E				LST	LSE / LST
4	Pre-Audit Agreement/Estimate Payment (Previously referred to as the Semi-final Voucher or Semi-final Estimate)	E	C	E	(optional)			LST	LSE / LST
5	Audit of Final Pay Estimate (Form B30302)	LST		E				LST	LSE / LST
6	Certification of DSE accomplishment (Form 102116)	DSE	C	E				LST	LSE / LST
6	Certification of subcontractor Payment (Form S18002)	C	C	E				LST	LSE / LST
7	Int Audit (Certification of Audit)	LST		E				LST	LSE / LST
8	Final Payment (Form B30436) to be used on all DOT-let projects or projects using Iowa DOT specifications	E		E		DME(4)		LSE	LSE / LST
8	Certificate of Completion and Final Acceptance of Agreement Work (Form 640003) to be used only on locally let projects, not utilizing Iowa DOT specifications.	E	C	E	PIRC (1), (5)			LSE	LSE / LST
9	Final Voucher (Interim Payment)	E	C	E	PIRC (5)			LSE	LSE / LST
9	Final Voucher (CP)	E	C	E	PIRC (6)			LSE(7)	LSE / LST
10	Interest Payment Information (Form B30236)	E		E				LST	LSE / LST
11	Final Forms Packet Checklist (6.110 Attachment F)	E		E				LST	LSE / LST

**Key Chart**

(1) County Engineer (by resolution) or Board of Supervisors must sign for projects on FM system.  
(2) Only system for Federal-aid projects  
(3) Or a resolution that accepts the project can be attached as a supporting document.  
(4) DME only signs for Federal-aid projects and projects located on the Primary Road System.  
(5) City/County official must sign when the Engineer is not a city or county employee.  
(6) The County Engineer signs on behalf of the Board of Supervisors  
(7) Only required for Swap, Federal-aid, and projects located on the Primary Road System.

Click Page 3 for Stand-alone FM Projects

7

# CHANGE ORDER WORKFLOW

**Change Order Workflow Chart** [Change Order](#) [Chart](#) [edit](#)

**Iowa Local Systems**

0 comments 0 supporting documents

Nov 17 10:56 AM EST Submitted  
Version 1 (current)  
2025  
Iowa Local Systems - Derek Peck

**Naming Convention November 2025** [Naming Convention](#) [edit](#)

**Iowa Local Systems**

0 comments 0 supporting documents

Nov 14 10:27 AM EST Submitted  
Version 1 (current)  
2025  
Iowa Local Systems - Derek Peck

Attachment B to I.M. 6.000  
November 14, 2025

**Doc Express Change Order Drawer Signatures and Workflow Steps**

Document	Workflow Steps						
	Submitted	Approved by Contractor	Recommended by Engineer	Approved by PIRC (when applicable)	Approved by Administering Team or designee	Approved by FHWA (when applicable)	Completed
Change Order (Federal-aid, Federal-aid Swap, State-aid)	E	C	E	PIRC (1)	LSE	FHWA (2)	LSE / LST
Change Order (Stand-alone FM, Category 4 projects not listed above)	E	C	E	PIRC (1)	N/A	N/A	LSE / LST

**Key Chart**

(1) Only required when the project engineer is not an employee of the city or county.  
(2) Only required for substantial change orders on Projects of Division Interest (PODI) or Projects of Corporate Interest (PCI).

**Key:**  
C = Contractor  
E = Project Engineer  
LSE = Local Systems Field Technician  
LST = Local System Field Engineer / Grant Team  
PIRC = Person In Responsible Charge (Employee of Local Public Agency)  
FHWA

This Workflow chart is also available in Doc Express under the 00 Doc Express Instructions project accessible by all Local Public Agency Doc Express Projects.

Change Order Workflow Chart  
00 Doc Express Instructions  
Iowa Local Public Agency - Current and Previous Instructions  
Doc Express Drawer Link: <https://docexpress.com/drawers/56044>

8

8

# DOC EXPRESS – NAMING CONVENTION



How do you know what documents to place where, and what do you title those documents?



The Naming Convention!



The Local Systems Bureau requires the use of the Naming Convention.



This is also a specification requirement (1113.01,A) that Contractors must adhere to.

9

9

## NAMING CONVENTION

ESTIMATE PAYMENTS DRAWER (Local Systems Only)				
Estimate Payments Types	File Name	Who Submits (Primary)	Who Submits (Local Systems)	Instructions/Remarks
Claim for Reimbursement of Federal Grant Program Project Costs (Form 240007)	240007 - nn	N/A	PIRC	Include all three required documents in one file; Claim for Reimbursement, copy of canceled check(s), and copy of pay estimate(s)
Claim for Reimbursement of Project Costs (non-CPS) (Form 517050)	Reimbursement .nnn	N/A	PIRC	Include all three required documents in one file; Claim for Reimbursement, copy of canceled check(s), and copy of pay estimate(s)
Claim for Reimbursement of State-aid to Farm to Market Account	FM Fund Transfer - nn	N/A	PIRC	Include the Project Number and a written request stating amount to be reimbursed and documents supporting the amount to be reimbursed
Claim for Reimbursement of State Grant Program (RISE, RT) Project Costs (Form 240011)	240011 - nn	N/A	PIRC	Include all three required documents in one file; Claim for Reimbursement, copy of canceled check(s), and copy of pay estimate(s)
Estimate Payment	payment-n-yyyyymmdd	N/A	Engineer/PIRC	n = sequential number of estimate payment. Will become nn beginning on the 10th estimate payment.
Proof of Payment	Proof of Payment .nnn	N/A	Engineer/PIRC/ Local Systems	
Stockpiled Materials	Stockpiled Materials	N/A	Contractor	Contractor uploads invoices for material to this drawer for RCE to review.
ITEMS & MATERIALS DOCUMENTATION DRAWER				
Items & Materials Documentation Types	File Name	Who Submits (Primary)	Who Submits (Local Systems)	Instructions/Remarks
<b>Contract Items</b> (If the document that you are uploading is not listed below, Select appropriate contract item(s) that upload applies to)	Describe Item	Engineer / Contractor	Engineer / Contractor	Quantity forms, support forms, tickets, depth checks, material certifications, piling logs etc.
Central Materials Input	Describe Item	Central Materials	Central Materials	
District Materials Input	Describe Item	District Materials	District Materials	
HMA - Charts	PWL Chart mix type nn	Contractor	Contractor	Also link upload to Contract Item
HMA - Mix Design	HMA Mix Design intended use Design #	District Materials	District Materials	
HMA - Plant Report	Plant Report mix type yymmdd or nn	Contractor	Contractor	Also link upload to Contract Item; NOTE: Contractor starts in Working Drawer, District Materials Copies here when acceptable

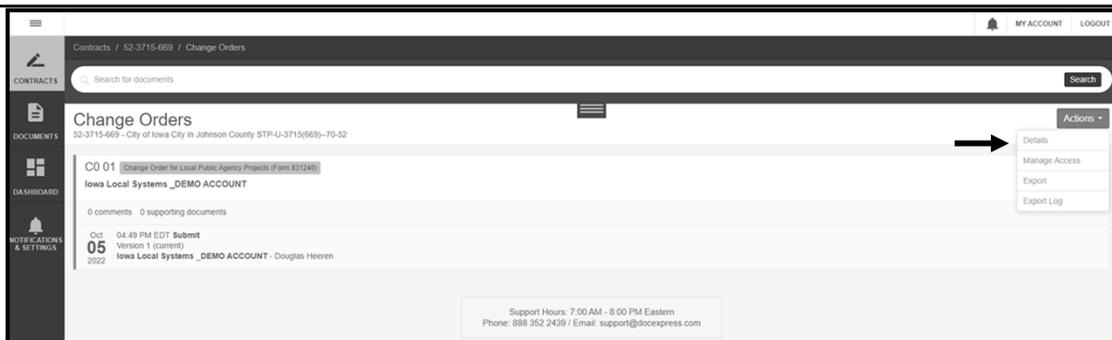
10

# DOC EXPRESS –WORKFLOWS

- Each Drawer in Doc Express has a designated Workflow
- A Workflow is the order in which a document is to be Transitioned
- To see the Workflow of any drawer:
  1. Open the drawer by clicking on the Drawer name
  2. Click on the gray Actions tab found on the top right of the screen
  3. Choose Details
- Workflows should only be used to see what transition is next
- Do not use to determine signature requirements for each party

11

11



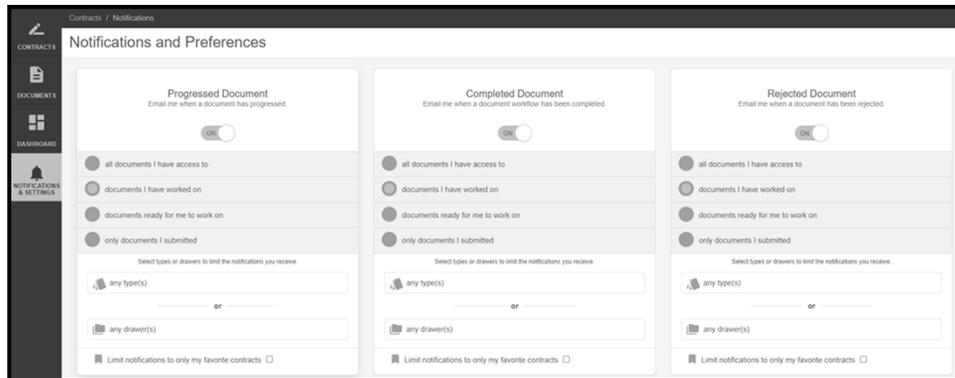
Status	Executed By	Signature	Required?	Allow Document Replacement?	Allow Markup?	Publish?	Bond Validation?
Submit	● Agency Managers, Agency Users	No signature required	Yes	No	No	No	No
Approved by Contractor (Optional)	● Agency Managers, Primes	User types name and selects check box to confirm electronic signature	No	No	No	No	No
Recommended by Engineer / Approved	● Agency Users, Reviewers	User types name and selects check box to confirm electronic signature	Yes	No	No	No	No
Approved by PIRC (when applicable)	● Agency Users, Reviewers	User types name and selects check box to confirm electronic signature	No	No	No	No	No
Approved by Administering Office or designee	● Agency Users, Reviewers	User types name and selects check box to confirm electronic signature	Yes	No	No	No	No
Approved by FHWA (when applicable)	● Agency Users, Reviewers	User types name and selects check box to confirm electronic signature	No	No	No	No	No
Completed	● Agency Users, Reviewers	No signature required	Yes	No	No	No	No

12

12

# DOC EXPRESS – NOTIFICATIONS

- May receive email notifications for designated Types or Drawers
- Set preferences via Notifications & Settings found on the left tool bar
- Notifications can be set for:
  - Progressed Documents (each time an upload or transition occurs)
  - Completed Documents
  - Rejected Documents



13

13

# DOC EXPRESS – IOWA DOT AUDITING

## Iowa DOT Auditing

- Administering Team will audit project utilizing Doc Express
- Assure you have transitioned documents to Received prior to requesting an audit
- Receiving a document indicates you have reviewed the document and found it to be acceptable
- If document is found unacceptable, transition the document to Rejected and provide reason for the rejection

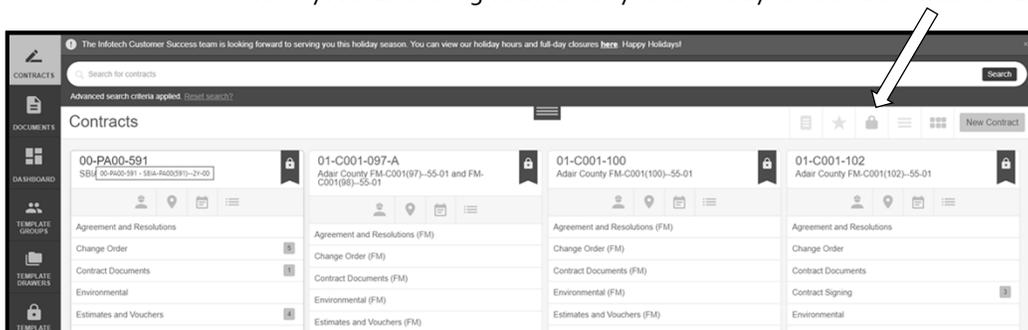


14

14

## DOC EXPRESS – LOCKING CONTRACTS

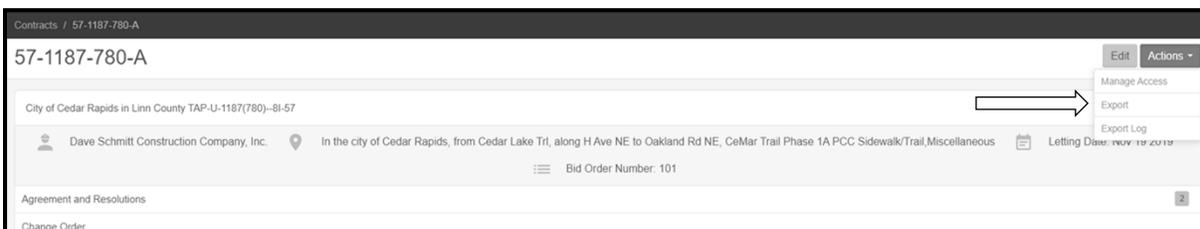
- If contract work has been completed and no further document uploads or transitions will occur, request that the contract be “locked”
- For Federal-aid projects, wait until FMIS closure document is uploaded
- Locking removes contract from active view - All contract documents are still viewable in locked contracts screen
- Helps “clean-up” your active project listing
- Locked projects found by clicking on the padlock symbol
- Notify Administering Team when you are ready to have a contract locked



15

## DOC EXPRESS - ARCHIVING

- Download designated Drawers or the entire project file for local storage
- Iowa DOT also archives all “locked” Doc Express projects in long-term storage
- To receive an email containing a .zip file of your project records, click on the gray Actions button found on the top right of the screen, then choose Export



16

16

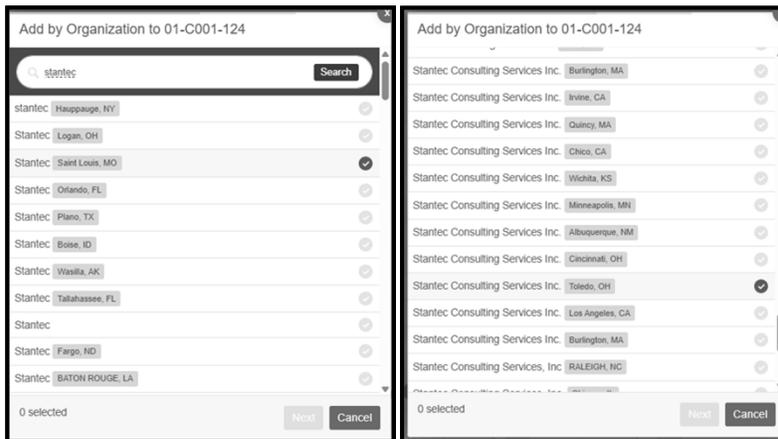
## DOC EXPRESS – TIPS

- Change Orders
  - Any time the project engineer is not an employee of the LPA, change orders require both Engineer and Person in Responsible Charge (PIRC) signature
  - All Grant Team change orders require PIRC signature
- Tax Exempt Certificates are found in the Contract Signing drawer, but after they are “wet” signed by the LPA they are uploaded to the Contract Documentation drawer
- Don’t use the Due Date function – it causes more grief than benefit
- Doc Express Tutorials, User’s Guide, and Naming Convention can be found on the Local Systems Bureau website:  
<https://iowadot.gov/transportation-development/local-systems/resources-tools/doc-express-appia>

17

17

## DOC EXPRESS – TIPS



Requesting Access

18

18

# DOC EXPRESS – WHAT’S NEXT? AI OF COURSE

CO3 Change Order edit

Iowa Local Systems \_DEMO ACCOUNT

1 comment [0 supporting documents](#)

Oct 10 09:31 AM EDT commented

8020	2435-0140200	MANHOLE, STORM SEWER, SW-402, 4' X 5'
8030	2435-0140200	MANHOLE, STORM SEWER, SW-402, 4' X 5' (SW-512 PRICING)
8040	2435-0140200	MANHOLE, STORM SEWER, SW-402, 4' X 5'
8050	2435-0251230	INTAKE, SW-512, 30 IN.
8060	2503-0112008	STORM SEWER GRAVITY MAIN, TRENCHED, POLYVINYL CHLORIDE
8070	2503-0112010	STORM SEWER GRAVITY MAIN, TRENCHED, POLYVINYL CHLORIDE
8080	2503-0122008	STORM SEWER GRAVITY MAIN, TRENCHLESS, POLYVINYL CHLORIDE
8090	2507-6800061	REVETMENT, CLASS E
8100	2599-9999005	(INSTALLATION OF PLASTIC DRAIN BASIN MEASURING 18 INCHES)
8110	2599-9999005	(INSTALLATION OF PLASTIC DRAIN BASIN MEASURING 24 INCHES)
8120	2435-0700020	CONNECTION TO EXISTING INTAKE
8130	2599-9999005	(INSTALLATION OF AREA INTAKE USING PVC PIPE WITH CAST IRON)
8140	2599-9999005	(INSTALLATION OF AREA INTAKE USING HDPE PIPE WITH CAST IRON)
8150	2503-0200340	STORM SEWER ABANDONMENT, PLUG
8160	2503-0200036	REMOVE STORM SEWER PIPE LESS THAN OR EQUAL TO 36 IN.
8170	2503-0200236	REMOVE AND REINSTALL STORM SEWER PIPE LESS THAN OR EQUAL TO 36 IN.
8180	2315-8275025	SURFACING, DRIVEWAY, CLASS A CRUSHED STONE

Iowa Local Systems \_DEMO ACCOUNT - AI Agent

**\*Agent instructions**

If this has a "New Items" section, list the "Line Number, "Item ID", and description of New items in this format: xxxx xxx-xxxxxxx  
xxxx  
where xxx is the item number and xxx-xxxxxxx is the item id and xxx is the description of the item. If the "Item ID" begins with a 2599 number, please also list the text and single quotation in parentheses before the description .  
Please also list them in chronological order by "Line Number."

Learn what file types are compatible with the AI agent.

**Preview**

Attach a test file to preview AI Agent

Run

19

19

# DOC EXPRESS – WHAT’S NEXT?

**\*Agent instructions**

AI Agent, Please do my job for me.  
Thank you.

Learn what file types are compatible with the AI agent.

**Preview**

Attach a test file to preview AI Agent

Run

CO3 Change Order edit

Iowa Local Systems \_DEMO ACCOUNT

2 comments [0 supporting documents](#)

Nov 21 12:05 PM EST commented

*I'm sorry Derek,  
I'm not able to do your job for you.  
I kindly suggest reaching out to  
Niki Stinn or Doug Heeren*

Iowa Local Systems \_DEMO ACCOUNT - AI Agent

20

20

## QUESTIONS?

Derek Peck  
E-Construction Administrator  
Local Systems Bureau  
[derek.peck@iowadot.us](mailto:derek.peck@iowadot.us)  
(515) 239-1391



21

<h1>APPIA</h1>
<p><b>Derek Peck</b> E-Construction Administrator Local Systems Bureau Iowa Department of Transportation</p>

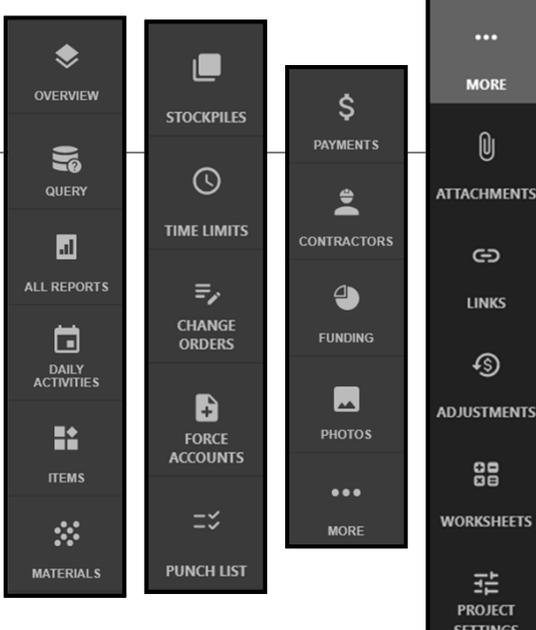
1

<p><b>PRESENTATION OVERVIEW</b></p>	<ul style="list-style-type: none"><li>Project Setup &amp; Review</li><li>Record Keeping/Audit Guidance</li><li>Items Without Certifications/Payrolls</li><li>Appia-Doc Express Integration</li><li>Payments &amp; Change Orders</li><li>Final Payment Process</li><li>Reminders &amp; Additional Resources</li></ul>
---	--

2

## USE OF APPIA

- Electronic field documentation software
  - Reports
  - Daily diary (report) entries
  - Bid item quantity placement records
  - Time charge tracking and reporting
  - Payment reports
  - Change orders
  - Stockpiles
  - Punch lists
- Required for use by counties since April 2022 letting
- **Required for use by cities since the April 2025 letting**



3

3

## PROJECT SETUP

Appia Project Setup File (83,84,85) Appia Project Setup File (.json)

Iowa Local Systems

0 comments 0 supporting documents

Nov 07 2022 11:39 AM EST Received  
Document transitioned from Submit to Received.  
Winnebago County - Iowa - Scott Meinders

- Project setup files placed in Contract Documents drawer of Doc Express
  - Files provided for all county projects let in April 2022 and after
  - Files provided for all city projects let in April 2025 and after
- Must use provided import files
- Import instructions provided in “Project Creation & Account Management Instructions” – Please read and follow!
- Project setup when consultant used for construction engineering:
  - Preferred method – Setup by LPA and consultant granted access
  - Acceptable method – Setup by consultant
    - Requires written correspondence between consultant and LPA stating consultant will turn over project documentation in the event of a dispute

4

4

## Table of Contents

- 1 - Basic Navigation .....1
- 2 - Setting up Appia & "My Account" Screen .....3
- 3 - Setting Up a Project Using Method 1: "Create Project" via .csv Import.....8
- 4 - Creating Funding Packages and Sources .....18
- 5 - Creating Bid Items by Importing the .csv Bid Tabulation File .....26
- 6 - Creating Bid Items Manually .....42
- 7 - Contracts with Multiple Funding Packages .....50
- 8 - Contracts with Multiple Projects/Divisions
- 9 - Setting Up a Project Using Method 2: "Import Project" via .json Import.....
- 10 - Advancing the Project to the "Under Construction" Phase.....
- 11 - Default Settings: Users – Adding/Deleting, Roles, Project Access, Licenses .....
  - A. Deleting a User.....
  - B. Adding a User.....
  - C. Editing User Roles.....
  - D. Managing API Access.....
  - E. Viewing & Editing User Project Access.....
  - F. Licensing.....
- 12 - Default Settings: Project Settings .....
  - A. General Project Settings: Report Names and Logo.....
  - B. Construction Settings: Payment Rules, Worksheet Rule, Daily Report Rules.....
- 13 - Project Settings .....
  - A. General Project Settings: Report Names.....
  - B. Construction Settings: Payment Rules,.....
  - C. Integrations ..... 113
  - D. Project Security Settings: Project-Specific Users and Roles..... 113
- 14 - Exporting Data: Export Project..... 122
- 15 - Exporting Data: Export Reports ..... 131
- 16 - Mobile Inspector App: Connecting a User ..... 144
- 17 - Reference Data: Bid Items ..... 151
  - A. Adding New Bid Items..... 152
  - B. Removing "Lump Sum" Designations ..... 158
  - C. Resolving Bid Item Related Import Errors for Method 1 .csv Imports ..... 164
  - D. Resolving Bid Item Related Import Errors for Method 2 .json Imports ..... 165
- 18 - Reference Data: Worksheets ..... 166
- 19 - Reference Data: Contractors ..... 176
- 20 - Reference Data: Lists ..... 184
  - A. Overview of Lists ..... 185
  - B. Editing Lists ..... 189
  - C. Importing Lists ..... 193
  - D. Resolving List Related Import Errors for Method 2 .json Imports (Including Work Type) ..... 199
- 21 - Help & Local Systems Contact Information for Questions and Assistance..... 200

### Appia Instructions on the Local Systems Doc Express & Appia webpage

<https://iowadot.gov/transportation-development/local-systems/resources-tools/doc-express-appia>

Appia  
Project Creation & Account Management Instruction Manual (Pre-Construction Instructions)

5

**STOP:** Before Advancing to Construction - Setup review required

## PROJECT SETUP REVIEW & APPROVAL

Payments/reimbursements will NOT be processed until project setup is approved

- Send request to Derek Peck to review project setup BEFORE Advancing to Construction
- Things we will check:
  - Material Forms Updated
  - Change order custom fields
  - Change order types
  - Correct payment settings
  - Read-only role for Administering Team staff
  - Read-only role for CPS Contractor Pay Finance (if applicable)
  - Doc Express integration enabled
  - Final Balancing Change Order Unchecked

6

- Designate access level for LPA staff as desired
- Administering Team staff needs Read-only access
  - Field Team Project: Field Eng, Field Tech, Derek Peck, Doug Heeren, Niki Stinn
  - Grant Team Project: Grant Manager and as directed
  - Competitive Grant/Earmark: Competitive Grant Eng. & Tech
- Counties Only:
  - Finance Bureau needs Read-only and API access for County projects paid through FM
  - User name = CPS Contractor Pay Finance

## PROJECT ACCESS & ROLES IN APPIA

<input type="radio"/> Read Only NO LICENSE REQUIRED	<input type="radio"/> Reviewer NO LICENSE REQUIRED
<input checked="" type="radio"/> System Administrator	<input type="radio"/> Senior Project Manager
<input type="radio"/> Project Manager	<input type="radio"/> Inspector

Name	Email	Default Role	Projects	API Access
▼ Unlicensed users 2				
CF CPS Contractor Pay Finance <small>Iowa Local Systems _DEMO ACCOUNT</small>	dot-contractorpay-finance@iowadot.us	Read Only	5	<input checked="" type="checkbox"/>

7

## APPIA RECORD KEEPING GUIDANCE

- GovDelivery email sent May 31, 2022
- Measurements and documentation must be available for both Administering Team and District Materials staff to audit
- Appia does not have audit functionality
- Item measurement, documentation, and quantity records must be uploaded to Doc Express
- Daily Reports – optional upload to Doc Express



**TO:** Email Address  
**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

8

8

## WORKSHEETS & ITEM DOCUMENTATION

- All must be uploaded to Doc Express
- Can document using:
  - Worksheets (in Item Postings)
    - But still must document test results and locations
  - Remarks (in Item Postings)
  - E-Sheets – Preferred
- Must provide
  - Measurements
  - Locations
  - Test Results
  - Any other data for audits

EZ Sheets available!

Exploring the use of GIS/GPS documentation... hopefully, more to come

Line Number	Item ID	Description	Unit
0020	2102-2710070	EXCAVATION, CLASS 10, ROADWAY AND BORROW	CY
0045	2105-842515	TOPSOIL, STRIP, SALVAGE AND SPREAD	CY

39-C039-093\_Cass and Guthrie

9

9

## ITEMS WITH CERTIFICATIONS NOT YET RECEIVED – CENTRALIZED REFERENCE DATA NOT USED

- What the Materials section is meant to cover
- We don't use Materials yet because of the complexity and data unavailability
- Option 1: Leave daily report "Unapproved" until certifications received – Won't be incorporated into payment
- Option 2: Write full quantities placed into Daily Report entry so record exists, but only enter certified quantity in Item Postings
  - Must go back at later date a post quantity in Daily Report when certs are received
  - Note in future Daily Report that posting is being made for previous work because certs have been received
- Option 3: Enter non-certified quantities on 2<sup>nd</sup> report that remains un-approved
  - Approve report when certs received
  - Option only available if two people available to create Daily Reports
- Option 4: Post quantities in a Daily Report on a Sunday (or obvious day of no work) and approve when ready (Only applicable when two users are not available to create daily reports)

Remember BABA and payrolls!

10

10

## ITEMS WITH CERTIFICATIONS NOT YET RECEIVED – USING CENTRALIZED REFERENCE DATA

- Utilize the Materials module
- Actual Materials replaced by Bid Items, Payrolls, and Liquidated Damages
- To withhold payment, enter material quantity in “Review Materials” screen in the Daily Report (keep usage rate at 0.00)
- When certs and payrolls are cleared and a change order item has been created for LDs, enter approved materials quantity in Materials module
- Payments will exclude “Materials” that have a quantity entered but not approved
- Refer to Appia “Under Construction” Instructions for detailed guidance
- Payroll & LD materials apply to all bid items. If shortages are present in multiple bid items, all shortages get combined. Appia releases payment in a first-in, first out order.
  - Manually add a Payroll/LD item to avoid this issue when multiple bid items have shortages

11

11

## ITEM QUANTITY SUMMARY REPORTS

- If item measurements, locations, and/or test results are documented in Appia (vs. E-sheets), produce “Item Quantity Summary” report for upload to Doc Express
  - Format similar to E-sheets
- On main page after log-in, click on “Export Data”, then click on “Export Reports”
  - Select project in the pull-down.
  - Check “Item Quantity Summary” in the list
  - Must have System Administrator role
- Appia sends email with link to download zipped file containing all quantity sheets for the project

The screenshot shows the Appia mobile application interface. The top screen is titled "My Projects" and features a search bar and a list of projects under construction. The bottom screen is titled "Export Reports" and shows a list of reports for the selected project "BROS-C004(103)-8J-04 - 35155".

12

# STOCKPILES

- Payments made at appropriate rate
- Stockpile automatically reduces when material is posted in an Item Posting
- In/out and bid items all paid at correct rates
- Cannot stockpile "true" lump sum items
- Fund packages correspond to specific projects or project divisions – Choose correct one!
- Iowa DOT policy: Stockpiles are PARTICIPATING
- Iowa DOT policy: Retainage is withheld on stockpiles (except for CPS projects let prior to January 2024)
- Payment settings should be "Yes" for Stockpile Retainage Rule (except CPS < January 2024)

**New**

\* Item  
0180: 2501-0201253 PILES, STEEL, HP 12 X 53

\* Fund Package  
SWAP-COUNTY BROS-SWAP-C007

\* Value of Materials

\* Quantity for Recovery

Recovery Rate  
\$15.873

\* Begin Recovery On  
12/12/2022

Description

**Settings**

Changes to the global settings affect only new projects.

**Payment Retainage Rule**

Do not cap retainage

Cap retainage at 0.000% of awarded project amount

Cap retainage at 0.000% of authorized project amount

Cap retainage at \$30,000.00

Retain last 0.000% of awarded project amount

Retain last 0.000% of authorized project amount

**Stockpile Retainage Rule**

Retain stockpile advancements?

**Worksheet Calculations Rule**

Use worksheets in Item Postings?  
This setting can't be changed in an under construction project.

13

# APPIA – DOC EXPRESS INTEGRATION

- Payments, change orders, and daily reports can be sent to Doc Express directly from Appia
  - Additional document types to come (Materials, etc.)
- Doc Express integration enabled within the Project Settings in Appia
- See the Appia "Under Construction" Instructions for detailed guidance on enabling the integration
- User specifies the drawer and file type to be used in Doc Express

## Table of Contents

1 - Basic Navigation.....	4
2 - Accessing Your Project.....	6
A. Project Listing.....	7
B. Project Overview Page.....	8
3 - Integrating Appia with Doc Express for Submittals.....	9
4 - Reports.....	16
5 - Daily Reports and Postings.....	19

Projects / 08-C008-089 / Settings

08-C008-089 Under Construction

FM-C008(89)-55-08, Acct ID- 39638, Letting Date- March 12, 2023

GENERAL   CONSTRUCTION   INTEGRATIONS   PROJECT SECURITY

**Project Settings**

**D Doc Express® Integration**

Send payments and change orders to the Doc Express® service for approval.

Make sure that users submitting documents to the Doc Express® service have access to the appropriate contract and drawers.

Click **Enable Integration** to connect this Appia® project to a Doc Express® contract.

**Enable Integration**

**infotech.**

14

## AUTOMATED PAYMENTS & CHANGE ORDERS

- NEW!!! – Payment terminology changed
- Progress payments > Estimate Payments
  - Semi-final payments > Pre-Audit Agreement/Estimate Payment
  - Final payments > Final Vouchers

- Not applicable to cities
- All county projects residing on the Farm-to-Market (FM) system using funds administered by the Iowa DOT are paid through the FM account
  - For county FM projects let prior to 2024:
    - Contractor Pay System (CPS) is the financial program that makes payment to contractors
    - These projects are referred to as CPS projects
    - These projects are not auto-pay – Email payment report to [DOT.LocalSystems@iowadot.us](mailto:DOT.LocalSystems@iowadot.us)
  - For county FM projects let in 2024 or later:
    - Workday is the financial program that makes payment to contractors
    - These projects are referred to as auto-pay projects (except locally let rock resurfacing contracts)

15

15

## AUTOMATED PAYMENTS & CHANGE ORDERS

### Auto-pay projects

- Payments and change orders are sent directly from Appia to Workday for processing
- Certain steps must be followed, including integration with Doc Express
- Detailed instructions for the automated process are found in the Appia “Under Construction” Instructions

Make sure to select the correct funding packages when posting item quantities and when adding items in change orders!

Do NOT approve the payment/change order in Appia until it is transitioned to Complete in Doc Express!!!!

Make sure to send the Pre-Audit Agreement/Estimate Payment to the Project Closeout drawer!

16

16

# CHANGE ORDER REMINDERS & NEW NUMBERING

- Make sure to add Custom Fields in Reference Data
- Make sure to revise Change Order Types in Reference Data
- If two sections in project, make sure to scroll through item list to correct section
- New items added by change order will remain numbered in 8000 series but will be 8010, 8020, 8030, etc.
  - Appia will auto-assign numbers
  - Previous numbering (8001, 8002, 8003, etc.) – Requires manual overwriting
  - Users may or may not need to enter first NEW item as 8000\*\*\*
- Item number for liquidated damages remains 8998

\*\*\*"Dummy" item added starting with December 2024 letting

17

17

# CHANGE ORDERS – FUND PACKAGE SELECTION

- Assign correct funding package

Line Number	Item ID	Quantity	Unit	Unit Price	Extension	Fund Package
0570	2122-5190006	0.000	SY	\$0.000	\$0.00	33-C033-126-CAT-1 33-C033-126-CAT-1 33-C

Line Number	Item ID	Quantity	Unit	Unit Price	Extension	Fund Package
8020	2121-7425020	0.000	TON	\$0.000	\$0.00	Split by 4 packages

- May split quantity between funding packages

18

## CHANGE ORDERS

When there are multiple projects under one contract, be sure to add items to the correct project (section) AND designate the correct funding package on your change order!

## CHANGE ORDER PROCESS: NO DOC EXPRESS INTEGRATION

Change Order process

1. Generate draft
2. Send to Administering Team for review
  - Skip this step for stand-alone FM projects
3. Once approved, "Submit for Approval" using "Submit in Appia" option – will show "Pending" status
4. Download "Pending" change order and upload to Doc Express for signature
5. Once fully signed in Doc Express and marked as "Completed", change to "Approve" in Appia

**IOWADOT** GETTING YOU THERE  
**Iowa Local Systems \_DEMO ACCOUNT**  
 Change Order Details  
 15-C015-065

---

**Description** BRS-SWAP-C015(65)-FF-15, Acct ID: 36986, Letting Date: July 21, 2020

**Prime Contractor** A.M. COHRON & SON, INC.  
 62180 GREAT RIVER ROAD  
 ATLANTIC, IA

**Change Order** 3

**Status** Pending

**Date Created** 03/18/2021

**Type** Non-Significant - Federal-aid Partic...

**Change Order Description** 8001: Add item for XXX

**Planned Project Amount** \$664,562.32

**Authorized Project Amount** \$664,562.32

**Change Order Amount** \$2,000.00

**Revised Project Amount** \$666,562.32

---

**New Items**

Line Number	Item ID	Unit	Quantity	Unit Price
Section: 0001 - ITEMS FOR A 110'-0" X 30'-6" PRETENSIONED PRESTRESSED CONCRETE BEAM BRIDGE				
0360	208-01.09	\$1,000.00	4.000	\$50,000.00
Construction Layout and Topographic As-Built Survey				

Do NOT "Approve" the change order in Appia until it is transitioned to Complete in Doc Express!!!!

# CHANGE ORDER PROCESS: USING DOC EXPRESS INTEGRATION

## Change Order process

1. Generate draft
2. Send to Administering Team for review
  - Skip this step for stand-alone FM projects
3. Once approved, "Submit for Approval" using "Submit to Doc Express" option
  - Document sent directly to Doc Express
4. Transition change order in Doc Express
  - For stand-alone FM projects, county engineer transitions to "Completed"
  - For FM projects with additional funds
    - Admin Team transitions to "Completed" Once fully signed in Doc Express and transitioned to "Completed"
    - After "Completed", refresh screen & "Approve" in Appia
5. If auto-pay project, change order transmits automatically

This process required for county auto-pay projects

Appia  
Project Administration & Close-Out Instruction Manual ("Under Construction" Instructions)

B.	Editing an Existing Stockpile.....	80
9 -	Time Limits.....	90
A.	Entering Time Charges.....	92
B.	Generating a Time Limit Report (Weekly Working Day Report).....	103
10 -	Change Orders.....	107
C.	General Change Order Information.....	109
D.	Change Order Descriptive Information Screen (Initial Creation) / Overview Tab (Edit Mode).....	111
E.	Numerical Values Change Order Entry Screen.....	116
1)	Quantity Changes / Quantities Tab (Edit Mode).....	117
2)	New Items / New Items (Edit Mode).....	126
3)	Time Limit Changes / Time Limit Changes (Edit Mode).....	137
4)	New Time Limits / New Time Limits (Edit Mode).....	141
5)	Attachments / Attachments (Edit Mode).....	146
F.	Producing a PDF of the Change Order.....	154
G.	Approval Process for Change Orders.....	159
1)	Submitting Change Orders for Approval NOT Using the Doc Express Integration.....	160
2)	Submitting Change Orders for Approval Using the Doc Express Integration.....	162
11 -	Punch List.....	176
12 -	Payments.....	178
A.	Overview Tab.....	181
B.	Exclusions of Daily Reports from Payments.....	183
C.	Summary Tab.....	185
D.	Work Performed Tab.....	186
E.	Attachments Tab.....	188

Do NOT "Approve" the change order in Appia until it is transitioned to Complete in Doc Express!!!!

# PAYMENT REPORTS

- Enter 3% retainage on first payment
- No certification or no certified payrolls (if applicable) = do not include in payment
- Marking payment as "Paid" locks down all daily reports and change orders approved prior to payment (recommend against)
- Use "Detailed Payment" report
  - Finance may want "Invoice by Fund" also if Non-participating or local fund packages are included in project
- Non-automated payments: Use integration or upload to Doc Express
- Automated payments: Submit to Doc Express via Doc Express/Appia integration
  - See Appia "Under Construction" Instructions for detailed submittal guidance

IOWADOT		Iowa Local Systems _DEMO ACCOUNT								
Detailed Payment		07-C007-164								
Description	BROS-SWAP-C007(164)-SE-07, AccID: 37467, Letting Date: 16 Feb 2021									
Payment Number	1									
Pay Period	03/16/2021 to 12/07/2022									
Prime Contractor	JIM SCHROEDER CONSTRUCTION, INC. 508 SOUTH SECOND STREET BELLEVUE, IA									
Payment Status	Approved									
Awarded Project Amount	\$415,071.74									
Authorized Amount	\$420,071.74									
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 Payment Amount
Section: 8001 - ITEMS FOR A 7'0" X 30'-6" BRIDGE REPLACEMENT - CCS										
0010	2102-2710070	CY	\$4,500	1,433,000	0.000	0.000	0.000	0.000	\$0.00	\$0.00
EXCAVATION, CLASS 10, ROADWAY AND BORROW										
0020	EXCAVATION									
Stockpile	Fund Package	Current Advancements	Advancements To Date	Current Recoveries	Recoveries To Date					
#1 - 2501-0201042	SWAP-COUNTY BROS-SWAP-C007(164)-SE-07	\$9,000.00	\$9,000.00	\$0.00	\$0.00					
PILES, STEEL, HP 10 X 42										
#2 - 2501-0201253	SWAP-COUNTY BROS-SWAP-C007(164)-SE-07	\$25,000.00	\$25,000.00	\$0.00	\$0.00					
PILES, STEEL, HP 12 X 53										
		<b>Total:</b>	<b>\$34,000.00</b>	<b>\$34,000.00</b>	<b>\$0.00</b>	<b>\$0.00</b>				
Summary										
Current Approved Work:	\$925.93	Approved Work To Date:	\$925.93							
Current Stockpile Advancement:	\$34,000.00	Stockpile Advancement To Date:	\$34,000.00							
Current Stockpile Recovery:	\$0.00	Stockpile Recovery To Date:	\$0.00							
Current Retainage:	\$27.78	Retainage To Date:	\$27.78							
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:	\$34,898.15	Payments To Date:	\$34,898.15							
Previous Payment:	\$0.00	Previous Payments To Date:	\$0.00							

## FINAL PAYMENT PROCESS: WHICH SHOULD I USE?

Recommend using  
Appia's final payment  
in all situations

See Final Payment section in Appia "Under Construction" Instructions

- Cities (reimbursement):
  - May use either the Standard Payment or Appia's Final Payment (recommended)
- County projects not on the FM system (reimbursement):
  - May use either the Standard Payment or Appia's Final Payment (recommended)
- County projects on the FM system LET PRIOR TO JANUARY 2024 (CPS):
  - May use either the Standard Payment or Appia's Final Payment (recommended)
- County projects on the FM system LET ON OR AFTER JANUARY 2024 (auto-pay):
  - Use Appia's Final Payment only
    - Necessary for functionality of automated payments

## FINAL PAYMENT PROCESS: STANDARD PAYMENT

- Simply generate a "regular" payment and write "Final Payment" in Remarks section
  - Overview tab - leave 3% retainage but enter \$ of retainage to be released
- Can create signature line for Board or Council signatures, if desired/necessary
- Do NOT follow Appia's final payment process until project has been completely closed by Iowa DOT and retainage has been paid
- Detailed guidance in "Under Construction" Instructions

Retainage

Retain

3.000%

Release

\$24,356.87

Do not click on this until project has been completely closed!

Payments <span style="float: right;">Add</span>					
End Date	Status	Payment	To Date	% Complete	No.
05/27/2022	Approved	\$619.10	\$619.10	0.1%	1

## FINAL PAYMENT PROCESS: APPIA'S FINAL PAYMENT

- Use only AFTER Admin Team has verified project is complete and necessary reviews/audits are finished
- Use the "Issue final payment" link in Payments
- Follow process requires
  - Items marked complete
  - Time limits marked complete
- Create signature line for Board or Council signatures, if necessary
- Detailed guidance in "Under Construction" Instructions
- Marking "Paid" after completing this voucher will complete the project
  - There is no going back if marked "Paid"!!!

1 All items are completed.  
Items must be completed to ensure correct payment adjustments. Complete items?

2 All punch list tasks are completed.  
Done.

3 All stockpiles are fully recovered.  
Done.

4 All time limits are completed.  
Time limits must be completed. Complete time limits?

Do not click on this until Admin Bureau has given the "ok" to make final payment!

Payments						Add
End Date	Status	Payment	To Date	% Complete	No.	
05/27/2022	Approved	\$619.10	\$619.10	0.1%	1	🔍

25

## REMINDERS

- Project setup review required BEFORE Advancing to Construction – Contact Derek Peck
- Please read Appia instructions for all aspects of the process
- NEVER use Adjustments for Iowa DOT administered projects
- Pay attention to selection of funding packages for item postings and change orders
- Counties: Know your project type and letting date to determine correct processes



26

26

## TARGETED IMPROVEMENTS IN PROCESS



Additional documents for Doc Express integration



Time limit reporting within Daily Reports



GIS/GPS Integration



Custom forms and fields within item postings and contracts



Other

27

## TARGETED IMPROVEMENTS COMPLETED



Some documents for Doc Express integration



Automated payments/change orders



Funding priorities & caps



Update Reference Data



Optional use of balancing change orders with final payment

28

## INSTRUCTIONS, GUIDANCE, & RESOURCES

### Appia® Guides

- [Appia® Project Creation & Account Management Instructions](#) .pdf
- [Appia® "Under Construction" Instructions](#) .pdf
- [API Documentation](#) 
- [Worksheet Calculations](#) .pdf

### User's Guide Contains Info About

- Project Setup
- Time Limits
- Funding
- Attachments
- Materials
- Daily Reports
- Worksheets
- Stockpiles
- Change Orders
- Payments
- Contractors
- More...

Instructions & Guides Available: <https://iowadot.gov/transportation-development/local-systems/resources-tools/doc-express-appia>

29

29

## TRAINING

- Training required before use on Iowa DOT administered projects
- Upcoming trainings currently scheduled
  - Not available at time of printing
  - Registration instructions on Local Systems > Trainings & Videos webpage

30

## QUESTIONS?



Derek Peck  
E-Construction Administrator  
Local Systems Bureau  
[derek.peck@iowadot.us](mailto:derek.peck@iowadot.us)  
(515) 239-1391

Niki Stinn, P.E.  
Secondary Roads Engineer  
Local Systems Bureau  
[niki.stinn@iowadot.us](mailto:niki.stinn@iowadot.us)  
(515) 239-1064

31

# PAYMENTS AND CLAIMS FOR REIMBURSEMENT

Local Systems Bureau  
Iowa Department of Transportation

1

1

## PRESENTATION OVERVIEW

Payments

Contractor Pay System (CPS)

Appia Auto-Pay

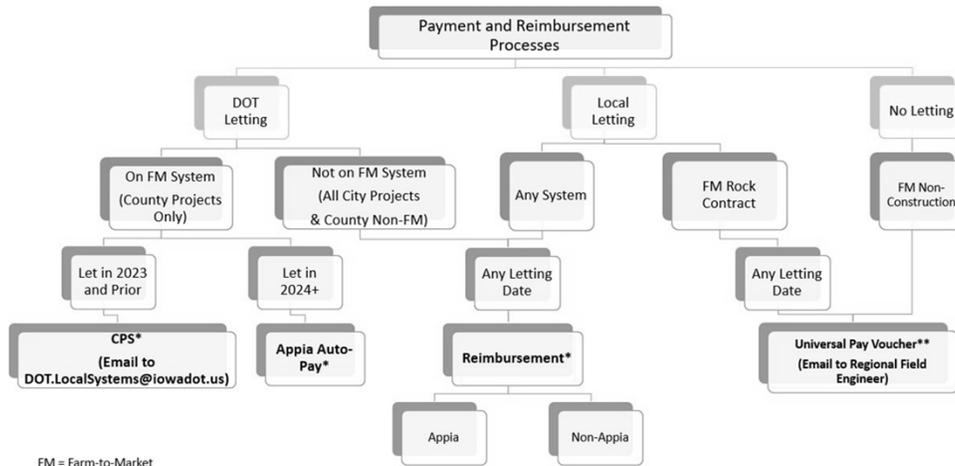
Claim for Reimbursement

Inactive Obligations and Project  
End Dates

IOWA | DOT

2

## NEW LOCAL SYSTEMS I.M. 6.020 PAYMENT AND REIMBURSEMENT PROCESSES



FM = Farm-to-Market  
 \* Process explained below  
 \*\* Processed explained in I.M. 2.100

3

3

## TWO METHODS TO PAY CONTRACTORS

### Local Funds (Reimbursement Projects)

- All projects NOT located on a county Farm-to-Market (FM) roadway
- LPA creates and generates payments
  - Spreadsheet (pre Appia requirement)
  - Appia (required for cities starting April 2025 letting)
- LPA issues checks to the contractor using local funds

### Contractor Pay System / Auto-pay

- Projects located on a county Farm-to-Market (FM) roadway
- County submits payments to DOT and DOT issues payment to Contractor using FM funds
  - Appia Payments through CPS
    - PDF progress vouchers emailed to Finance
  - Appia Payments (Auto-Pay)
- Payment receipts uploaded to Doc Express by the Local Systems Bureau

4

4

# APPIA PAYMENTS GENERAL

End Date	Status	Payment	To Date	% Complete	No.
09/23/2023	Approved <a href="#">Doc Express</a>	\$357,871.00	\$2,241,295.81	78.9%	4
09/16/2023	Approved <a href="#">Doc Express</a>	\$1,341,508.25	\$1,883,424.81	66.5%	3
09/10/2023	Approved <a href="#">Doc Express</a>	\$191,445.02	\$541,916.56	19.2%	2
09/08/2023	Approved <a href="#">Doc Express</a>	\$350,471.54	\$350,471.54	12.6%	1

- County projects let at Iowa DOT April 2022 or later are required to use Appia payments
- City projects let at Iowa DOT April 2025 or later are required to use Appia payments
- Refer to the Payment section in the Appia Under Construction instructions
  - <https://iowadot.gov/media/8go8/download?inline>
  - Enter date of last day covered by payment in Appia
- Check for any Exclusions and verify they are intended and correct reasons if unintended.

5

5

# CONTRACTOR PAY SYSTEM (CPS) AND AUTO-PAY APPIA PAYMENTS

63-C063-142 **Under Construction**  
BRS-C063(142)-60-63, Acct ID- 39615, Letting Date- August 15, 2023

OVERVIEW WORK PERFORMED

**Payment Information**

**Payment Details**

Payment Number	Percent Complete
4	78.9%
Payment Status	Item Payment Amount
Approved	\$355,871.00

**Project Details**

Prime Contractor  
IOWA BRIDGE & CULVERT, L.C.

Managing Office  
Local Systems

**Pay Period**

From Date	To Date
09/17/2023	09/23/2023

**Retainage**

Retainage Percent	Retainage Cap Amount
3.000%	\$30,000.00
Retainage Released	
\$2,000.00	

Mark as Paid Actions Reports

- Detailed Payment
- Invoice by Fund
- Pay Estimate By Fund
- Payment Invoice
- Payment Summary

- System Administrator or Senior Project Manager in Appia may approve payments
- After payment is approved in Appia, generate a .pdf Detailed Payment report
- If let prior to January 2024, the .pdf Detailed Payment report is uploaded to Doc Express and emailed to Finance [DOT.LocalSystems@iowadot.us](mailto:DOT.LocalSystems@iowadot.us)
- If let on or after January 2024, the .pdf Detailed Payment report must be sent to Doc Express from Appia (requires Doc Express integration)
- Payments will have Participating / Non-Participating costs automatically segregated, if items are posted to the correct funding packages

6

6

## CONTRACTOR PAY SYSTEM (CPS) APPIA INTERMEDIATE PAYMENTS (LET PRIOR TO JANUARY 2024)

**Appia**® Davis County - Iowa  
Detailed Payment  
26-C026-133

Description FM-C026(133)-55-26, Acct ID- 38751, Letting Date- July 19, 2022  
 Payment Number 1  
 Pay Period 08/01/2022 to 10/21/2022  
 Approval Date 10/24/2022  
 Prime Contractor AMERICAN PAVEMENT SOLUTIONS, INC & SUBSIDIARY  
 Payment Status Approved  
 Awarded Project Amount \$298,046.50  
 Authorized Amount \$347,015.70

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
8001	2527-9263109	STA	\$14,000	3,497.800	0.000	0.000	0.000	0.000	\$0.00	\$0.00
PAINTED PAVEMENT MARKING, WATERBORNE OR SOLVENT-BASED										
0010	2527-9263112	STA	\$18,000	3,497.800	0.000	0.000	0.000	0.000	\$0.00	\$0.00
PAINTED PAVEMENT MARKINGS, HIGH-BUILD WATERBORNE										
0020	2528-8445110	LS	\$1,000.000	1.000	1.000	0.000	1.000	1.000	\$1,000.00	\$1,000.00
TRAFFIC CONTROL										
0030	2528-8445113	EACH	\$555.000	75.000	19.000	0.000	19.000	19.000	\$10,545.00	\$10,545.00
FLAGGERS										

Detailed Payment: 10/24/2022  
 26-C026-133 Page 1 of 3

Intermediate Payments – Let prior to January 2024

- Upload approved Appia payment to Estimates & Vouchers drawer in Doc Express
- OR Use Doc Express integration to send payments directly from Appia to Estimates & Vouchers drawer in Doc Express
- County emails Doc Express signed payments to DOT.LocalSystems@iowadot.us

7

7

## CONTRACTOR PAY SYSTEM (CPS) APPIA PRE-AUDIT AGREEMENT / ESTIMATE PAYMENT (LET PRIOR TO JANUARY 2024)

**IOWA DOT** Iowa Local Systems \_DEMO ACCOUNT  
Detailed Payment  
17-C017-117

Description FM-C017(117)-55-17, Acct ID- 39309, Letting Date- March 21, 2023  
 Payment Number 2  
 Pay Period 10/01/2024 to 10/03/2024  
 Prime Contractor HEARTLAND ASPHALT, INC.  
 2601 S. FEDERAL  
 MASON CITY, IA  
 Payment Status Pending  
 Awarded Project Amount \$1,483,772.58  
 Authorized Amount \$1,483,772.58  
 Remarks Semi-Final Payment

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
Section: 0001 - FM-C017(117)-55-17, Acct ID- 39309, Roadway Items										
0010	2102-0425070	TON	\$31,500	192.000	0.000	0.000	0.000	150.000	\$0.00	\$0.00
SPECIAL BACKFILL										
0020	2102-2625000	CY	\$18,900	236.770	0.000	0.000	0.000	0.000	\$0.00	\$0.00
EMBANKMENT-IN-PLACE										

Detailed Payment: 11/01/2024  
 17-C017-117 Page 1 of 6

Pre-Audit Agreement / Estimate Payment (Previously the Semi-Final Voucher) Let prior to January 2024

- Upload approved Appia payment to Project Closeout drawer in Doc Express
- OR Use Doc Express integration to send payments directly from Appia to Project Closeout drawer in Doc Express
- Payment signed by Contractor and County Engineer
- County emails Doc Express signed payments to DOT.LocalSystems@iowadot.us

8

8

S01

**CONTRACTOR PAY SYSTEM (CPS)  
APPIA FINAL VOUCHER  
(LET PRIOR TO JANUARY 2024)**

Final Voucher – Let prior to January 2024

SO1

- Use Appia's "Issue Final Payment"
  - Requires all items to be marked completed
  - Balancing Change order now optional (uncheck box in Appia settings)
  - Write "Final Payment" in remarks
- Upload approved Appia payment to Project Closeout drawer in Doc Express
- Signed by Contractor, County Engineer, and Local Systems Field Engineer in Doc Express
  - Board of Supervisors wet signature no longer required
  - DOT only signs for projects using State-aid or Federal-aid
- Local Systems staff submits the Final Voucher to Finance with final packet for processing

9

9

**AUTO-PAY  
ALL APPIA PAYMENTS  
(LET ON OR AFTER JANUARY 2024)**

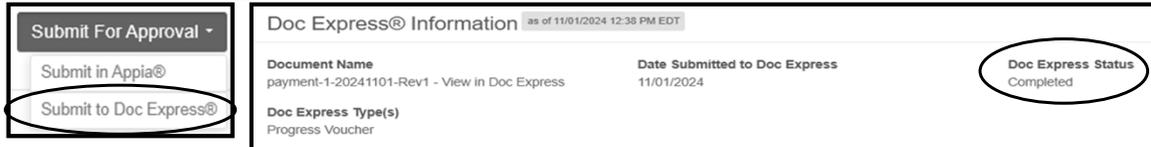
**DO NOT "Approve" any payments in Appia  
until they are "Completed" in Doc Express!!**

Only payments "Approved" within the pay period will be picked up  
for processing.

10

10

## AUTO-PAY APPIA INTERMEDIATE PAYMENTS (LET ON OR AFTER JANUARY 2024)



### Intermediate Payments

- When submitting payment for approval, use "Submit to Doc Express" and choose the Estimates & Vouchers or Estimate Payments drawer, whichever Doc Express version is applicable.
  - Use the Type Progress Voucher or Estimate Payment, whichever Doc Express version is applicable.
  - This transmits the payment directly to Doc Express.
- Engineer signs the payment in Doc Express and transition it to Complete
- Return to Appia and refresh the Payments screen so that the "Complete" status is brought in from Doc Express.
- Approve the payment in Appia

11

11

## AUTO-PAY APPIA PRE-AUDIT AGREEMENT / ESTIMATE PAYMENTS (LET ON OR AFTER JANUARY 2024)



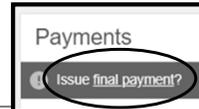
### Pre-Audit Agreement / Estimate Payments (Previously Semi-Final Payments)

- When submitting payment for approval, use "Submit to Doc Express" and choose the Project Closeout drawer.
  - Use the Type Semi-Final Voucher or Semi-Final Voucher (Pre-Audit Agreement/Estimate Payment), whichever Doc Express version is applicable.
  - This transmits the payment directly to Doc Express.
- Contractor and County Engineer sign the payment in Doc Express and Engineer transitions it to Complete
- Return to Appia and refresh the Payments screen so that the "Completed" status is brought in from Doc Express.
- Approve the payment in Appia

12

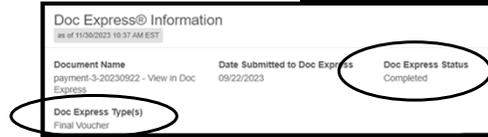
12

# AUTO-PAY APPIA FINAL VOUCHERS (LET ON OR AFTER JANUARY 2024)



Final Vouchers – Let on or after January 2024

- Use Appia’s “Issue Final Payment”
  - Requires all items to be marked completed
  - Balancing Change order now optional (uncheck box in Appia settings)
- When submitting payment for approval, use “Submit to Doc Express”, choose Project Closeout drawer & Use the Type Final Voucher
- Contractor, County Engineer, and Local Systems Field Engineer sign payment in Doc Express
  - Board of Supervisors wet signature no longer required
  - DOT only signs for projects using State-aid or Federal-aid
- Don’t create Final Payment in Appia until audit is waived or completed and notified by LSFT
- Final Payment transitioned to Complete by Administering Team
- Return to Appia and refresh Payments screen so that “Complete” status is brought in from Doc Express
- Approve payment in Appia – Payment is automatically sent directly to Finance



13

13

## CONTRACTOR PAY SYSTEM (CPS) AND AUTO-PAY PROCESSING

- Federal-aid reimbursements to The County’s Farm to Market account are “automatic” for Appia payments
- Iowa DOT Finance Bureau obtains Federal-aid based upon payments issued for Federal-aid eligible items
- Reimbursements are deposited into the County’s Farm-to-Market account
- Dates and amounts of reimbursements will be shown in the FM quarterly statements
- For projects using State-aid (TSIP, CSTEP, CBCF ) in conjunction with FM funds, after project completion a letter stating the amount of State-aid being requested to be transferred to the County’s FM fund will need to be sent to the Administering Team.  
[https://ia.iowadot.gov/local\\_systems/publications/im/2100.pdf](https://ia.iowadot.gov/local_systems/publications/im/2100.pdf)

14

14

## CLAIMS FOR REIMBURSEMENT

- Projects paid with local funds require the LPA to submit claims for reimbursement
- Construction Reimbursement claims must include
  - Reimbursement claim form
  - Copy of payments from Appia or via a spreadsheet if not using Appia
  - Proof of payment to Contractor (copy of check issued or check register)
- If creating your own spreadsheet to generate payments, be sure to segregate item quantities and values completed to date by divisions noted in the plans (if applicable). As a reminder, plan divisions should be set up based on funding sources.
- Upload claims to the Estimates & Vouchers or Estimate Payments drawer whichever Doc Express version is applicable

15

15

## CLAIMS FOR REIMBURSEMENT

### Reimbursement claim form depends on type of funding

I.M. 1.000, [https://ia.iowadot.gov/local\\_systems/publications/im/1000.pdf](https://ia.iowadot.gov/local_systems/publications/im/1000.pdf)

#### Local Systems Field Team Projects and Competitive Grant and Earmark Projects

- Form 517050
  - All State-aid and Federal-aid grants
  - BROS (8J), BRM (8N), STP-U (70), ER (8R), etc.
  - Project Number Example:  
**BROS-Co46(83)--8J-46**

#### Local Systems Grant Team Projects

- Form 240011
  - State Recreational Trails (RT)
  - Revitalize Iowa's Sound Economy (RISE)
- Form 240007
  - Iowa Clean Air Attainment Program (ICAAP)
  - Federal-aid Recreational Trails (NRT)
  - Transportation Alternatives Program (TAP)

16

16

# CLAIMS FOR REIMBURSEMENT

Local Systems Field Team Projects and  
Competitive Grant and Earmark Projects

Form 517050

Updated in November 2025

17

17

	A	B	C	D	E
1	IOWA DOT				
2	Form 517050 To be completed by LPA / Project Engineer				
3	Last Updated: 10/26/2025				
4	<b>CLAIM FOR REIMBURSEMENT OF PROJECT COSTS</b>				
5	Line 1. Contracting Authority Name:		Request No.:		
6	Line 2. Date:		Final Reimbursement (Y or N):		
7	Line 3. Project Number:		Funding Limit for Project Activity via DOT Agreement and/or FHWA Authorization:		
8	Line 4. DOT Project Agreement No:		Reimbursement Rate (%):		
9	Line 5. Type of Project Activity:				
10	Work Completed To Date:				
11	Line 6. Total Dollar Amount of Work Completed to Date:				
12	Line 7. Total Dollar Amount of Non-participating Work Completed to Date:				
13	Line 8. Total Participating Work Completed to Date: (Line 6 - Line 7)				\$0.00
14	Work Paid by LPA To Date:				
15	Line 9. Retainage Rate %: (As per the contract)				
16	Line 10. Retainage Maximum: (As per the contract)				\$0.00
17	Line 11. Participating Portion of Retained Amount:				\$0.00
18	Line 12. Total Amount Paid by LPA for Participating Work to Date: (Line 8 - Line 11)				\$0.00
19	Reimbursable Amount To Date:				
20	Line 13. Reimbursement Rate % (Percent participation in eligible costs, as per the project agreement)		0.00%		
21	Line 14. Participating Share of Eligible Costs (Line 12 multiplied by Line 13)				\$0.00
22	Line 15. Funding Limit per the Iowa DOT Project Agreement and/or FHWA Authorization				\$0.00
23	Line 16. Total Reimbursable Amount to Date: (Lesser of Line 14 or Line 15)				\$0.00
24	Withholding To Date:				
25	Line 17. Iowa DOT Withholding Rate % (See Administering Office)				
26	Line 18. Iowa DOT Withholding Amount (Line 16 multiplied by Line 17)				\$0.00
27	Line 19. Reimbursable Subtotal to Date: (Line 16 - Line 18)				\$0.00
28	Reimbursement Request - This Claim Form:				
29	Line 20. Participating Costs Previously Reimbursed (Line 19 from previous request)				\$0.00
30	Line 21. Reimbursement Amount due this Request (Line 19 - line 20)				\$0.00
31	I hereby certify that all eligible project costs for which reimbursement is requested have been paid in full and completed in substantial compliance with the terms of the project agreement. Documentation showing proof of payment for costs is attached.				
32	Line 22. Contracting Authority's Certification:				
33					
34	Title of Claimant		Signature		Date Signed
35	Mailing Address to Send Payment to:				
36					
37					
38					
39					
40					
41					

## WHAT'S NEW?

- Quick navigation buttons to additional tabs in the worksheet. Form Line Instructions and new Review & Submittal Instructions.
- Funding Limit & Reimbursement Rate are now entered at the top of the form.
- Form is divided into sections to help it flow better.
- Line numbers remain unchanged.
- Type of Project Activity is now a dropdown menu.

Line 1. Contracting Authority Name:	
Line 2. Date:	
Line 3. Project Number:	
Line 4. DOT Project Agreement No:	
Line 5. Type of Project Activity:	<ul style="list-style-type: none"> <li>Construction</li> <li>PE Service</li> <li>CE Service</li> <li>ROW</li> <li>Planning Study</li> <li>Railroad</li> <li>Other</li> </ul>
Line 6. Total Dollar Amount of Work Completed to Date:	
Line 7. Total Dollar Amount of Non-participating Work Completed to Date:	
Line 8. Total Participating Work Completed to Date:	
Line 9. Retainage Rate %: (As per the contract)	

18

18

A	B	C	D	E
<b>IOWA DOT</b> Go to Form Line Instructions      Go to Submittal Instructions				
Form 517050 To be completed by LPA / Project Engineer				
CLAIM FOR REIMBURSEMENT OF PROJECT COSTS				
Line 1.	Contracting Authority Name:		Request No.:	
Line 2.	Date:		Final Reimbursement (Y or N):	
Line 3.	Project Number:		Funding Limit for Project Activity via DOT	
Line 4.	DOT Project Agreement No.:		Agreement and/or FHWA Authorization:	
Line 5.	Type of Project Activity:		Reimbursement Rate (%):	
Work Completed To Date:				
Line 6.	Total Dollar Amount of Work Completed to Date:			
Line 7.	Total Dollar Amount of Non-participating Work Completed to Date:			
Line 8.	Total Participating Work Completed to Date: (Line 6 - Line 7)			\$0.00
Work Paid by LPA To Date:				
Line 9.	Retainage Rate %: (As per the contract)			
Line 10.	Retainage Maximum: (As per the contract)			\$0.00
Line 11.	Participating Portion of Retained Amount:			\$0.00
Line 12.	Total Amount Paid by LPA for Participating Work to Date (Line 9 - Line 11)			\$0.00
Reimbursable Amount To Date:				
Line 13.	Reimbursement Rate % (Percent participation in eligible costs, as per the project agreement)		0.00%	
Line 14.	Participating Share of Eligible Costs (Line 12 multiplied by Line 13)			\$0.00
Line 15.	Funding Limit per the Iowa DOT Project Agreement and/or FHWA Authorization			\$0.00
Line 16.	Total Reimbursable Amount to Date (Lesser of Line 14 or Line 15)			\$0.00
Withholding To Date:				
Line 17.	Iowa DOT Withholding Rate % (See Administering Office)			
Line 18.	Iowa DOT Withholding Amount (Line 16 multiplied by Line 17)			\$0.00
Line 19.	Reimbursable Subtotal to Date: (Line 16 - Line 18)			\$0.00
Reimbursement Request - This Claim Form:				
Line 20.	Participating Costs Previously Reimbursed (Line 19 from previous request)			\$0.00
Line 21.	Reimbursement Amount due this Request (Line 19 - line 20)			\$0.00
I hereby certify that all eligible project costs for which reimbursement is requested have been paid in full and completed in substantial compliance with the terms of the project agreement. Documentation showing proof of payment for costs is attached.				
Line 22. Contracting Authority's Certification:				
	Title of Claimant		Signature	Date Signed
Mailing Address to Send Payment to:				

July 2022

IOWA DEPARTMENT OF TRANSPORTATION  
Federal-aid Agreement  
for a County Highway Bridge Program Project

RECIPIENT: Humboldt County

Project No: BROS-C046(83)-8J-46

Iowa DOT Agreement No: 2-22-HBP-011

CFDA No. and Title: 20.205 Highway Planning and Construction

- Project Number and DOT Project Agreement No. can be found on the DOT/LPA funding agreement
- Form 517050 is available on the Local Systems website [https://iowadot.gov/local\\_systems/Post-Letting-Resources#564902855-contract-administration](https://iowadot.gov/local_systems/Post-Letting-Resources#564902855-contract-administration)
- Stockpiled materials update
  - These are now eligible for participation in the reimbursement for Federal Aid eligible items, include in line 6 total.
  - Must follow I.M. 6.000, Attachment D, Section 2.51 [https://www.iowadot.gov/local\\_systems/publications/im/6000d.pdf](https://www.iowadot.gov/local_systems/publications/im/6000d.pdf)
  - Stockpiles will also have 3% retainage held

19

19

A	B	C	D	E
<b>IOWA DOT</b> Go to Form Line Instructions      Go to Submittal Instructions				
Form 517050 To be completed by LPA / Project Engineer				
CLAIM FOR REIMBURSEMENT OF PROJECT COSTS				
Line 1.	Contracting Authority Name:		Request No.:	
Line 2.	Date:		Final Reimbursement (Y or N):	
Line 3.	Project Number:		Funding Limit for Project Activity via DOT	
Line 4.	DOT Project Agreement No.:		Agreement and/or FHWA Authorization:	
Line 5.	Type of Project Activity:		Reimbursement Rate (%):	
Work Completed To Date:				
Line 6.	Total Dollar Amount of Work Completed to Date:			
Line 7.	Total Dollar Amount of Non-participating Work Completed to Date:			
Line 8.	Total Participating Work Completed to Date: (Line 6 - Line 7)			\$0.00
Work Paid by LPA To Date:				
Line 9.	Retainage Rate %: (As per the contract)			
Line 10.	Retainage Maximum: (As per the contract)			\$0.00
Line 11.	Participating Portion of Retained Amount:			\$0.00
Line 12.	Total Amount Paid by LPA for Participating Work to Date (Line 9 - Line 11)			\$0.00
Reimbursable Amount To Date:				
Line 13.	Reimbursement Rate % (Percent participation in eligible costs, as per the project agreement)		0.00%	
Line 14.	Participating Share of Eligible Costs (Line 12 multiplied by Line 13)			\$0.00
Line 15.	Funding Limit per the Iowa DOT Project Agreement and/or FHWA Authorization			\$0.00
Line 16.	Total Reimbursable Amount to Date (Lesser of Line 14 or Line 15)			\$0.00
Withholding To Date:				
Line 17.	Iowa DOT Withholding Rate % (See Administering Office)			
Line 18.	Iowa DOT Withholding Amount (Line 16 multiplied by Line 17)			\$0.00
Line 19.	Reimbursable Subtotal to Date: (Line 16 - Line 18)			\$0.00
Reimbursement Request - This Claim Form:				
Line 20.	Participating Costs Previously Reimbursed (Line 19 from previous request)			\$0.00
Line 21.	Reimbursement Amount due this Request (Line 19 - line 20)			\$0.00
I hereby certify that all eligible project costs for which reimbursement is requested have been paid in full and completed in substantial compliance with the terms of the project agreement. Documentation showing proof of payment for costs is attached.				
Line 22. Contracting Authority's Certification:				
	Title of Claimant		Signature	Date Signed
Mailing Address to Send Payment to:				

## CLAIMS FOR REIMBURSEMENT TIPS

- Make sure you put correct amount for total work completed, before deductions for previous payments or non-participating amounts.
- Funding limit should not exceed the amount noted in the Funding Agreement or the Final Highway Funding Source document.
- Make sure you have total dollar amount previously reimbursed, not just the preceding reimbursement claim amount. (Line #19 from previous claim)
- All claim forms require "wet" signature or digital signature in Doc Express, please do not do both
- Any questions? Contact your DOT Administering Team for help and guidance!

20

20

# CLAIMS FOR REIMBURSEMENT

Local Systems Grant Team

Form 240007

Updated in November 2025

21

21

**CLAIM FOR REIMBURSEMENT OF FEDERAL PROJECT COSTS (TAP, TE, FRT, ICAAP, NSB, Earmark)**

Form 240007 (08-10)

Claim Number:   Check for Final Reimbursement Date:  Iowa DOT Project Number:

Local Public Sponsor:  Agreement Number:

City:  County:

Project Name:

1. Maximum federal-aid payable per the Iowa DOT project agreement:

2. Maximum in-kind contribution authorized (if applicable):

3. Local Contribution (if applicable):

4. Total project cost:  \$0.00

	Cumulative Non-Eligible Cost of Approved Work (if applicable)	Eligible Amount Paid This Claim [A]	Cumulative Eligible Amount Paid to Date [B]
5. Preliminary Engineering (PE) (if Federally Authorized)	<input type="text"/>	<input type="text"/>	<input type="text"/>
6. Construction Engineering (CE) (if Federally Authorized)	<input type="text"/>	<input type="text"/>	<input type="text"/>
7. Right of Way Acquisition (ROW) (if Federally Authorized)	<input type="text"/>	<input type="text"/>	<input type="text"/>
8. Construction (CONST) (if Federally Authorized)	<input type="text"/>	<input type="text"/>	<input type="text"/>
9. Local Forces (LF - In-House Services or Local Agency Forces Work) (if Federally Authorized)	<input type="text"/>	<input type="text"/>	<input type="text"/>
10. Utility Relocation (UR) (if Federally Authorized)	<input type="text"/>	<input type="text"/>	<input type="text"/>
11. Railroad (RR) (if Federally Authorized)	<input type="text"/>	<input type="text"/>	<input type="text"/>
12. Non-Construction Project Costs (Non-Const) (if applicable, see instructions for examples) (if Federally Authorized)	<input type="text"/>	<input type="text"/>	<input type="text"/>
13. In-Kind (Third-Party Contribution) (if Federally Authorized)	<input type="text"/>	<input type="text"/>	<input type="text"/>
14. Total dollar amount eligible for reimbursement		<input type="text"/>	<input type="text"/>

15. Federal reimbursement rate per the Iowa DOT project agreement:

16. Dollar amount eligible for reimbursement (line 14 multiplied by line 15); or the maximum federal-aid payable per the Iowa DOT project agreement; or total eligible costs (line 14 minus line 13) if in-kind is applicable - whichever is less:  \$0.00

17. Dollar amount reimbursed by the Iowa DOT prior to this claim:

18. Less 5% Iowa DOT Withholding of Federal-Aid portion of CONSTRUCTION cost until final field audit is completed (5% of the product of line 8 Cumulative Amount [B] multiplied by line 15) OR 5% of maximum federal funds, whichever is less:  \$0.00

19. Dollar amount due this payment/final payment (line 16 minus line 17 and minus line 18):  \$0.00

22

Form 240007 is available on; <https://iowadot.seamlessdocs.com/sc/>

Fill out the top portion of the Claim form, see instructions tab

Enter the maximum reimbursement amount

Under column enter the Eligible amounts in the applicable category; PE, CE, Construction, etc

Enter the reimbursement %

Enter previously reimbursed, if applicable

The total payment will auto calculate

- (Final Claims – check the box in top left corner)

- What is new?
- Stockpiled materials are now eligible expenses

- Submit claims to [DOT.GrantTeamClaims@iowadot.us](mailto:DOT.GrantTeamClaims@iowadot.us)

22

## CLAIMS FOR REIMBURSEMENT PROCESSING

- The DOT Administering Team will review your reimbursement claims
- If the claim is acceptable, a Supplier Invoice will be completed in Workday (our financial system)
- After Iowa DOT Finance Bureau approves the Supplier Invoice, a check or EFT will be authorized to distribute the reimbursement funds to the LPA

23

23

## FEDERAL FUND MANAGEMENT REQUIREMENTS INACTIVE OBLIGATIONS AND PROJECT END DATES

 When Federal funds are in play, these are things you will hear us say:

 Reimbursement requests should be submitted every 6 months to keep the project active. This includes projects with extended late start dates.

 All projects with Federal-aid funding shall comply with 2 CFR 200 regulations and must close out within 90 or 120 days of the Project End Date (PED).

 Cannot extend closeout period past 1 year of PED.

 *But what do these things really mean?*

24

24

## HOW DOES A PROJECT BECOME INACTIVE?

- When Federal funds are authorized for a project, they are specifically allocated for that project and phase by the Federal Highway Administration (FHWA)
- If no reimbursements are requested within 12 months, the funds become "inactive."
  - To avoid this, submit reimbursement requests at least every 6 months to keep the project active.
- Iowa DOT must ensure that inactive obligations do not exceed 2% of the total Federal-aid funds Iowa receives annually. ~\$691 Million. This includes all projects that have Federal-aid.
  - Primary highway projects
  - Research projects
  - City projects
  - County projects, etc.



25

## WHAT IS A PROJECT END DATE (PED)?

- Federal regulations (2 CFR 200.344 & 200.345) require a PED be established for all Federally funded projects
- The PED is set per I.M. 1.200, [Attachment A](#) for construction projects and includes time for construction and material audits
- Costs incurred after the PED are not eligible for reimbursement
- Projects must also be closed out in a timely manner after the PED.
- Final Reimbursement requests and must be fully processed prior to **120 days** after the PED
  - To ensure time for all Iowa DOT & FHWA processing within this window, submit final reimbursement requests and closeout documentation before the PED
  - Reminder: Iowa DOT construction and materials audits need to be completed prior to processing a final reimbursement request so **don't wait until the PED to request audits!**

26

26

## CAN A PROJECT END DATE (PED) BE EXTENDED?

- Yes – when justified and beyond the control of the LPA. Examples might include:
  - Litigation
  - Major changes in design
  - Environmental or permit issues
  - Construction claims
  - Unforeseen utility conflicts
  - Differing site conditions
  - Significant additional work
  - Area-wide material shortages
  - Labor strikes
  - Unusually severe weather
- Work with your Administering Team to request a PED extension or a project closeout extension.
- For more information see [I.M. 1.200, Federal Funds Management](#)
- Best Practice: Do not wait to close out your project until the PED is about to expire!
- Bottom Line: Inactive obligations, PED deadlines, and final audits can impact how much federal reimbursement is received by the LPA.

27

27

## INACTIVE OBLIGATIONS & PED STATS

- FHWA evaluates inactive obligation percentages quarterly. The goal is to remain less than 2% of the total annual obligations at each quarter's end.
- Ended Quarter 4 – FFY25 (9/30/25):
  - Total inactive obligation percent was **1.50%** (\$10.6M) – **Goal achieved**
- Started Quarter 1 – FFY26 (10/1/25):
  - Total inactive obligation percent was **3.5%** (\$37.4M) – **We have work to do**
  - Statewide, we must act on approx. **\$23.6M** by closing projects, processing payments/billings or de-obligating funding prior to the end of the quarter
- As of 10/1/2025, Iowa has
  - **1263** total Federal-aid transportation projects
  - **405** Local Systems Administered Federal-aid projects (Field Team, Grants Team, & Competitive Grants and Earmarks Team)
  - **8** of those **405** projects (or 2%) are considered by FHWA to be "Priority Projects" meaning they are nearing inactive or PED expiration.



28

28

## WHY IS ANY OF THIS IMPORTANT?

If the State DOT does not act or respond within the designated timeframe, FHWA may de-obligate unexpended obligations to align obligated Federal funds with the current cost estimate and close the project.

Or in simpler terms, **you can lose your funding!**

29

29

Timely reimbursements  
+  
Timely project closeouts  
=  
Everyone HAPPY



30

30

## QUESTIONS?



### Reference Documents:

- Appia Under Construction Instructions
- I.M. 1.200, Federal Fund Management
- I.M. 1.200, Attachment A, Procedures for Estimating Project End Dates
- I.M. 6.020, Payment and Reimbursement Processes
- I.M. 2.100, Farm-to-Market Program

### Iowa DOT Contact Person:

- See Iowa DOT Contacts list for appropriate Administering Team

# FINAL INSPECTION OF FIELD WORK

Local Systems Regional Field  
Engineer  
Iowa Department of Transportation

1

1

## PRESENTATION OVERVIEW

General Information  
Considerations  
Procedures  
Common Observations

2

2

## FINAL INSPECTION OF FIELD WORK – GENERAL INFORMATION

- Required on every Federal-Aid project administered by Local Systems
- Request ~ 2 weeks ahead of Substantial Completion of Field Work, prior to Final Acceptance of Work as per I.M. 6.110
  - Permanent stabilization can be documented by follow-up photos
- What is reviewed?
  - Project documentation that could result in additional site work
  - Verify compliance with federal and state requirements
  - Verify construction quality and workmanship are in reasonably close conformity with approved plans, specifications, and design requirements

3

3

## FINAL INSPECTION OF FIELD WORK – GENERAL INFORMATION

- LPA Benefits
  - Ensure eligibility for Federal reimbursement
  - Identify and resolve field issues before project closeout
  - Compile a Final Inspection Punch List
  - Ensure minimum documentation is in place for Final Acceptance of Field Work
  - Provides learning opportunity
  - Supports transparency and accountability in public infrastructure investment

4

4

## FINAL INSPECTION OF FIELD WORK – CONSIDERATIONS, ROADWAY CLASSIFICATION

- Design requirements vary based on roadway classifications
  - Consider this when making field changes
  - Varying levels of engineering judgment and flexibility for design exception documentation
- Documentation Expectations
  - City/County Roadways:
    - More flexibility in design and documentation methods
  - Primary Highways:
    - Stricter documentation for field related design exceptions
    - Higher scrutiny of workmanship as well as plan and specification compliance
    - Must meet Iowa DOT standards as the owner agency
- Key Takeaway
  - LPAs working on Primary Highways must be especially diligent — these projects are reviewed more thoroughly than those on city or county routes.



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## FINAL INSPECTION OF FIELD WORK – CONSIDERATIONS, FUNDING SOURCES



- Most Common Highway Funding Sources, *Federal-aid*
  - Surface Transportation Block Grant (STBG)
  - Highway Bridge Program (HBP)
- Safety Programs, *Federal-aid Swap & State-aid*
  - Highway Safety Improvement Program (HSIP-Swap)
  - Traffic Safety Improvement Program (TSIP)
- Competitive, *Federal-aid*
  - BUILD/INFRA/RAISE/PROTECT Competitive Grants
  - Congressional Earmarks
  - Transportation Alternative Program (TAP)

Important Reminder on Federally Funded Contracts

- If multiple **projects** are on a **contract**, they are all subject to the standards of the highest funding source on the **contract**.

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## FINAL INSPECTION OF FIELD WORK - CONSIDERATIONS, PROJECT SCOPE

- Resurfacing Projects
  - Focused on pavement rehabilitation
  - Typically, less stringent design criteria
  - No requirement to bring all features up to current design standards
- Reconstruction Projects
  - Involve full-depth replacement and redesign
  - All elements must be brought into compliance with current standards
  - If compliance isn't feasible, a formal design exception must be developed and documented; be mindful of field changes



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## FINAL INSPECTION OF FIELD WORK – CONSIDERATIONS, SPECIFICATIONS



Required Use of Iowa DOT Specifications



Local Standards Do Not Override



Iowa DOT specifications are **vett**ed, **approved**, and **federally compliant** — ensuring consistency, quality, and eligibility for reimbursement

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## FINAL INSPECTION OF FIELD WORK - PROCEDURES



Contact the Administering Team when Contractor is approximately 2 weeks from substantial completion and schedule a final inspection with the Contractor, Administering Team, and Project Engineer



Develop a Final Inspection Punch List with all items of work that have not been completed in reasonably close conformity of contract documents and applicable design standards



Project Engineer sends Punch List to Administering Bureau for concurrence



Project Engineer delivers Punch List to Contractor



Provide documentation of completion of the Final Inspection Punch List to the Administering Bureau

9

9

## FINAL INSPECTION OF FIELD WORK - PROCEDURES

- Perform **independent walkthrough** prior to the Final Inspection of Field Work and review all items to establish base Punch List
- **Ensure all required testing has been completed:**
  - Thickness for PCC
  - PWL for HMA
  - Video Testing Storm/Sanitary Sewer
  - Smoothness Testing
  - IM 363
  - Water/Electrical
- **Ensure all documentation is received:**
  - Plant Reports
  - Material Tickets
  - Vibration Monitoring
  - Survey Books
- **Develop a plan for final stabilization.**



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## FINAL INSPECTION OF FIELD WORK - COMMON OBSERVATIONS

Construction  
Quality &  
Testing

Safety

Accessibility

Coordination  
Tips

EEO Board

11

11

## CONSTRUCTION QUALITY AND TESTING

- Review project to ensure quality of construction is up to standard
  - Were all items completed as per specification?
  - Is quality of work acceptable?
- Items up to engineer/owner discretion
  - Minor deficiencies or aesthetic concerns
- Items that are non-negotiable
  - Incomplete work
  - Major deficiencies
  - Testing items that are part of the basis of payment and/or method of measurement
    - PWL, Thickness, Smoothness



12

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## CONSTRUCTION QUALITY & TESTING (EXAMPLES)

Contractor  
placed  
cleared dirt  
on road  
should not  
be used  
for  
rebar – non-  
negotiable



13

## SAFETY

- **Clear Zones & Offsets**
  - Items within the clear zone must be removed or addressed per the applicable I.M.s
  - Common rural issues: guardrail and barrier rail placement
  - Common urban issues: utilities within the clear zone — even if not owned by the LPA, they must be addressed.
  - Common urban issue: inadequate width of Right-of-Way for design elements



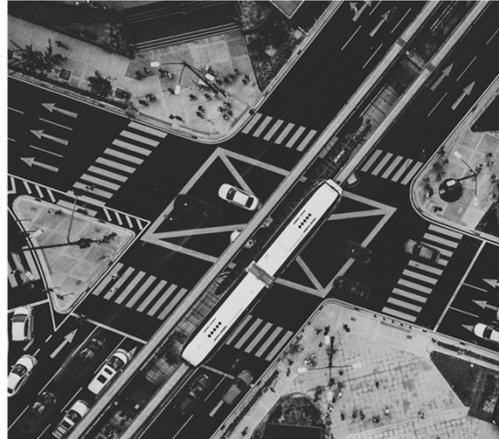
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14

14

# SAFETY

- **Sight Triangles**
  - Ensure no obstructions are placed within sight triangles at intersections
- **Pavement Markings and Signage**
  - Ensure correct layout
  - Ensure signage is visible
  - Must comply with the MUTCD



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## SAFETY (EXAMPLES)

Edge of Bumples  
Installing  
Ensure that a 6" curb is installed  
Use of a curb is required for  
guard rail. Failed to include required 6" curb as per standard road plan





## COORDINATION TIPS

- Project vs. Contract
  - The Final Field Review evaluates the entire project, not just the contract work
  - Work performed by private utilities or other forces outside the contract is still subject to review if it affects the project's success
- Importance of Coordination
  - Ongoing coordination with all involved parties — utilities, contractors, agencies — is essential throughout the project lifecycle
  - Lack of coordination can lead to:
    - Unreviewed or non-compliant work
    - Delays in project acceptance
    - Missed documentation or safety issues
- Key Reminder
  - Even if work is not part of the contract, if it impacts the project, it must be reviewed — coordination is critical for a successful final product.

19

19

## COORDINATION TIPS

### Day Labor Examples

- County XYZ performs bridge removal and excavation on simple culvert projects
- City ABC uses **POWER COMPANY** on a separate contract to install lighting on project
- City and/or County has own sign department that will install all signs on the project

### Miscellaneous Examples

- Friends of JKL Parks Department installs landscaping along project corridor
- Responsive Telecom Company relocates fiber along project corridor
- Book Sharing Shed installed next to shared use path by adjacent homeowner
- Transit Department installs Bus Stop sign

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20

20

## COORDINATION MIS-STEPS (EXAMPLES)

Make sure sign with no  
 business permits stop'  
 their outdoor patio \*  
 to set back  
 patios away on  
 walk through  
 the requiremen  
 day. Can't  
 obstruct  
 pedestrian  
 accessibility  
 path



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## EEO BOARD

- The EEO (Equal Employment Opportunity) Board must remain on-site from the start of work until Final Acceptance of Work
  - As stated in Section 1102.19.E.5.b of the Iowa DOT Standard Specifications: "All required postings shall be in place when work commences on a project and shall remain in place through completion of project."
- When Is a Project Considered Complete in respect to EEO Boards?
  - A project is considered complete when Form 8304.35 is signed by both the Project Engineer and Local Systems
- Compliance Reminder
  - **Nearly 100% compliance was achieved last year — Great job team!**
  - Let's continue that success by ensuring this simple but critical requirement is not overlooked



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22

## KEYS TO A SUCCESSFUL FINAL INSPECTION OF FIELD WORK

### • **Coordination & Communication**

- Coordinate throughout the project — not just contract work, but also:
  - Day labor
  - Utility companies
  - Other external forces
- Notify other departments to delay beautification efforts until after the DOT review
- Don't hesitate to reach out with questions — being proactive is always better than reactive

### • **Preparation & Documentation**

- Perform an independent walkthrough before the Local Systems walkthrough
- Ensure you notify Local Systems when a Final Inspection of Field Work is needed
- Understand that field modifications carry risk — document any deviations thoroughly

23

23

## KEYS TO A SUCCESSFUL FINAL INSPECTION OF FIELD WORK

### • **Know the Standards**

- Be familiar with the specifications in the contract
- If a design standard is not met, it must be documented and justified

### • **Final Touches**

- Remember: the review is for the entire contract, not just the contract
- And finally...

**PROVIDE EXCELLENT LOCAL  
LUNCH RECOMMENDATIONS  
(MAKE SURE IT IS OPEN)**

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24

24

## FINAL INSPECTION OF FIELD WORK- CONCLUSION

**01**

Notify Local Systems Administering Team when project is nearing completion so a Final Inspection of Field Work can be scheduled

**02**

Promptly address the items from punch list

**03**

Notify Local Systems Administering Team when punch list work is completed and get concurrence

25

25

## QUESTIONS?



### Reference Documents:

- Iowa DOT [Construction Manual](#)
- [I.M. 6.000, Attachment D](#), Local Public Agency Construction Contract Administration Guidance
- [I.M. 6.110](#), Final Review, Audit, and Close-out Procedures for Federal-aid Projects

### Iowa DOT Contact Person:

- See Iowa DOT Contacts list for appropriate Administering Team

26

26

# CONSTRUCTION PROJECT CLOSE-OUT

Local Systems Regional Field  
Engineer  
Iowa Department of Transportation

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## PRESENTATION OVERVIEW

Process Differences CG&E, Field, and Grant Team

I.M. 6.110 Final Review, Audit, and Close-out Procedures

Task 1. Final Inspection of Field Work

Task 2. Statement of Completion and Final Acceptance of Work

Task 3. LPA Pre-Audit Process and Pre-Audit Agreement/Estimate Payment

Task 4. Iowa DOT Final Audits for Federal-aid

Task 5. Preparation of the Final Voucher

Task 6. Submittal of Final Forms Packet

Task 7. Project Close-out and Records Retention



2

PROCESS DIFFERENCES  
COMPETITIVE GRANT &  
EARMARK, FIELD, AND  
GRANT TEAM

SEE I.M. 1.000 FOR  
ADDITIONAL DETAILS

- **Competitive Grant & Earmark Team**
  - Earmarks and Competitive FHWA Grants (HDP)
- **Field Team**
  - Surface Transportation Block Grant (STBG)
  - Highway Bridge Program (HBP)
  - Carbon Reduction Program (CRP), *it depends*
- **Grant Team**
  - Iowa Clean Air Attainment Program (ICAAP)
  - Transportation Alternatives (TAP/TASA)
  - Federal Recreational Trails (FRT)
  - National Scenic Byways (NSBP)
  - Carbon Reduction Program (CRP), *it depends*

3

PROCESS DIFFERENCES  
COMPETITIVE GRANT &  
EARMARK, FIELD, AND  
GRANT TEAM

SEE I.M. 1.000 FOR  
ADDITIONAL DETAILS

- **Category 1 Projects – Federal-aid county road, city street, and bridge projects.**
  - STBG
  - HDP
  - HBP
  - CRP, *it depends*
  - ICAAP
  - TAP/TASA
- **Category 2 Projects – Federal-aid county and city non-highway projects**
  - TAP/TASA
  - FRT
  - NSBP
  - CRP, *it depends*

4

PROCESS DIFFERENCES  
COMPETITIVE GRANT &  
EARMARK, FIELD, AND  
GRANT TEAM

SEE I.M. 1.000 FOR  
ADDITIONAL DETAILS

• **Category 1 Projects – Federal-aid county road, city street, and bridge projects. – DISTRICT MATERIAL INVOLVEMENT**

- Following Materials I.M.s 204 and 205 for Category 1 projects requires the District Materials Engineer to sign the 830436 form exactly the same as other highway projects
- The LPA must contact the Iowa DOT District Materials Engineer to determine what inspection process requirements have to be done before the Iowa DOT can sign Form 830436

5

PROCESS DIFFERENCES  
COMPETITIVE GRANT &  
EARMARK, FIELD, AND  
GRANT TEAM

SEE I.M. 1.000 FOR  
ADDITIONAL DETAILS

• **Category 2 Projects DOT Letting – Federal-aid county and city non-highway projects – DISTRICT MATERIAL INVOLVEMENT BY REQUEST**

- The LPA or their engineer shall perform the source inspection tasks in Materials I.M. 204, or
- When requested and paid for by the LPA, the Iowa DOT District Materials Engineer will perform these tasks
- The LPA's project engineer will certify the work was completed in substantial compliance with the plans, specifications and agreements by signing Form 830436

6

PROCESS DIFFERENCES  
COMPETITIVE GRANT &  
EARMARK, FIELD, AND  
GRANT TEAM

SEE I.M. 1.000 FOR  
ADDITIONAL DETAILS

- **Category 2 Projects Local Letting – Federal-aid county and city non-highway projects – NO DISTRICT MATERIAL INVOLVEMENT**
- The LPA and their project engineer will certify the work was completed in substantial compliance with the plans, specifications and agreements by signing Form 640003

7

INSTRUCTIONAL  
MEMORANDUM  
6.110

FINAL REVIEW, AUDIT, AND CLOSE-OUT  
PROCEDURES FOR FEDERAL-AID, FEDERAL-AID  
SWAP, AND FARM-TO-MARKET PROJECTS

- **Attachment A** – Project Close-out Process Overview Flowchart
- **Attachment B** – Final Review and Audit Process Flowchart – Highway or Bridge Construction
- **Attachment C & D** – Final Review and Audit Process Flowchart – Non-highway Construction, DOT Specifications & Non-DOT Specifications
- **Attachment E** – Required LPA Documentation and Pre-Audit Checklist (Pre-Audit Checklist)
- **Attachment F** – Final Forms Packet Checklist
- **Attachment G** – Doc Express Project Closeout Drawer Signatures and Workflow Steps
- **Use most up to date I.M.s and forms**

8

# INSTRUCTIONAL MEMORANDUM

## 6.110

FINAL REVIEW, AUDIT, AND CLOSE-OUT  
PROCEDURES FOR FEDERAL-AID, FEDERAL-AID  
SWAP, AND FARM-TO-MARKET PROJECTS

- Today's topic is discussing Federal-Aid Closeout procedures for projects let through the Iowa DOT
- State-aid projects generally follow the same procedures, with increased flexibility for closeout (i.e. review instead of audit).
- FM follows generally same procedures, refer to I.M.s for more info

9

# INSTRUCTIONAL MEMORANDUM

## 6.110

FINAL REVIEW, AUDIT, AND CLOSE-OUT  
PROCEDURES FOR FEDERAL-AID, FEDERAL-AID  
SWAP, AND FARM-TO-MARKET PROJECTS

- Task 1. Final Inspection of Field Work
- Task 2. Statement of Completion and Final Acceptance of Work
- Task 3. LPA Pre-Audit Process and Pre-Audit Agreement/Estimate Payment
- Task 4. Iowa DOT Audits for Federal-aid
- Task 5. Preparation of the Final Voucher
- Task 6. Submittal of Final Forms Packet
- Task 7. Project Close-out and Records Retention

10

## TASK 1. FINAL INSPECTION OF FIELD WORK

1. LPA Project Engineer contacts Local System Administering Team (LSAT) when Prime Contractor is nearly completed with work.
2. LSAT visits project and works with Project Engineer to make final punch list to complete project
3. Project Engineer has punch list items completed and notifies LSAT of completion.
4. LSAT verifies field work is satisfactorily complete.

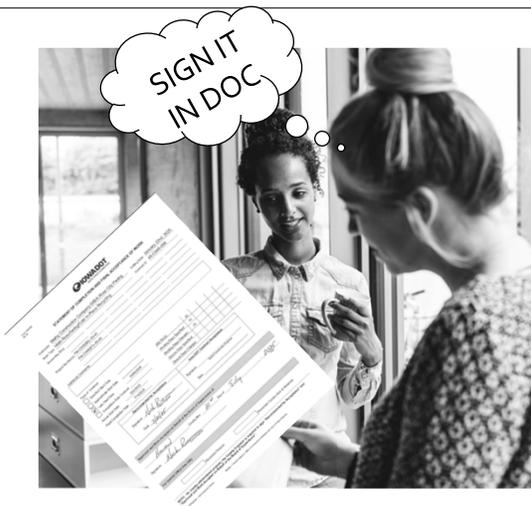


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11

## TASK 2. STATEMENT OF COMPLETION AND FINAL ACCEPTANCE OF WORK (435)



- A. Once field work is complete and accepted by LSAT, Project Engineer completes form 830435 and uploads to Doc Express for signature.
  1. DO NOT wet sign the form, sign it in Doc.
- B. Signature on this form means all work is complete and Contractor will not need to come back
  1. Site stabilized?
  2. All required paperwork complete, i.e. thickness? Smoothness? Plant Reports? IM 363?
- C. Form needs to be uploaded and signed as soon as possible following field completion
  1. Do NOT delay signing of the 830435 to avoid interest payment

12

12

## TASK 3. LPA PRE-AUDIT PROCESS AND PRE-AUDIT AGREEMENT/ESTIMATE PAYMENT

- A. Following acceptance of field work, Project Engineer shall conduct their own project audit
- B. Use I.M. 6.110 **Attachment E** to verify all required documentation is present and all quantities and costs are correctly accounted for
  1. Referring to the Attachment E throughout the life of the project reduces amount of time and effort to complete this process
- C. Pre-audit will result in the proposed final quantities in which the Project Engineer and Contractor shall be reviewing and agreeing to (Pre-audit agreement/Estimate Payment – previously known as Semi-Final Voucher)
  1. Official agreement is after both Contractor and Project Engineer have signed Pre-audit agreement/Estimate Payment in Doc



13

13

## TASK 4. IOWA DOT AUDITS FOR FEDERAL-AID



1. Methods of DOT audit
  - Field Team – Systems Approach
  - Grant Team – All Projects
- 2a. Local Systems
  - Reviews Pre-audit Checklist (Attach. E) and conducts audit if required
  - Documents corrective actions needed on the Audit of Final Pay Estimate (830301) and uploads to Doc Express
  - Performing Systems Approach and only verifying a portion of work, it is the responsibility of the Project Engineer to ensure all information is correct.

14

14

## TASK 4. IOWA DOT AUDITS FOR FEDERAL-AID (CONT.)

### 2b. District Materials

- Conducts Materials audit if required
- Documents corrective actions and / or additional documentation needed and uploads to Doc Express

### 3. Project Engineer

- Takes corrective actions required by Materials audits
- Dates corrections on Form 830301 and uploads to Doc Express
- Revises final quantities if needed



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15

## TASK 5. PREPARATION OF THE FINAL VOUCHER



- Begins after DOT audits are complete, and Pre-audit agreement/Estimate Payment is processed
  - Adjust final payment as necessary as required by the audit findings
- Project Engineer posts final voucher to Contractor for review and signature
- Contractor signs final voucher on Doc Express along with other required paperwork
  - Day Zero count for interest payment begins

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16

## TASK 6. SUBMITTAL OF FINAL FORMS PACKET

### Project Engineer

- Reviews final paperwork provided by Contractor
- Prepares and uploads Final Forms Packet (Attachment F to I.M. 6.110) including Final Payment form 830436 and approved final voucher to Doc Express
- LSAT reviews final forms packet for completeness

District Materials reviews and if acceptable, signs Form 830436

### LSFE / Grant Team

- Approves Final Voucher
- Signs Form 830436



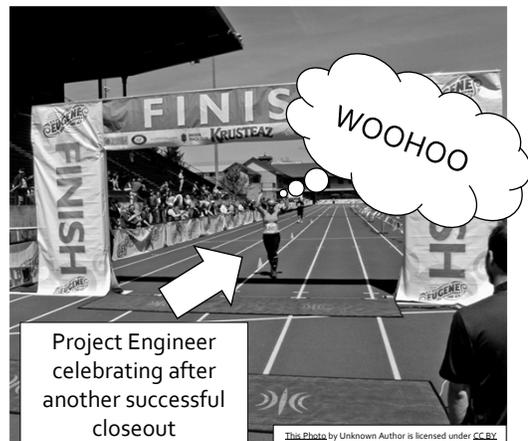
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17

## TASK 6. SUBMITTAL OF FINAL FORMS PACKET

- Contractor Pay Projects
  - LSAT sends final paperwork to Finance Bureau
  - Finance processes Final Voucher
  - Finance processes final Federal reimbursement and credits County's FM account
- Reimbursement Projects
  - Project Engineer makes final payment and requests final Federal reimbursement from LSAT. This will include the release of remaining DOT withholding
  - LSAT reviews, accepts, and sends request to Finance
  - Finance reviews, accepts and processes final Federal reimbursement to LPA

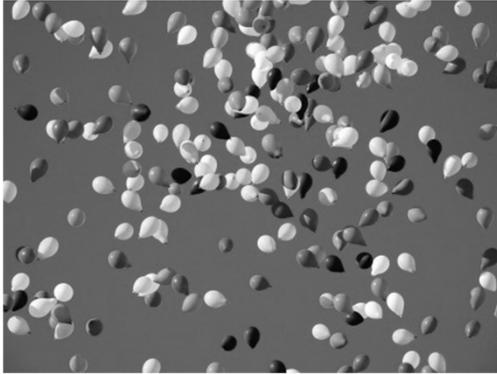


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18

## TASK 7. PROJECT CLOSE-OUT AND RECORDS RETENTION



- Begins after final Federal reimbursement has been made to the LPA's Office for all eligible costs:
  - Construction contract costs
  - Consultant costs
  - Railroad costs
  - Utility costs
  - In-house Engineering costs
- Finance prepares final amendment / modification (amend / mod) to project in the Federal Highway Administration (FHWA) Fiscal Management Information System (FMIS)
- FHWA reviews, and if acceptable, electronically signs final amend / mod

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19

## TASK 7. PROJECT CLOSE-OUT AND RECORDS RETENTION

- Finance sends a copy of signed final amend / mod to Administrating Team and other Iowa DOT offices
- Admin Team provides copies to LPA and District Planner
  - Iowa DOT and Project Engineer's files must be retained for 3 years from date of FHWA's acceptance of final amend/mod
- District Planner provides copy to RPA or MPO



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20

## LS FIELD TEAM – ACTIVE CONSTRUCTION PROJECTS (PROJECTS LET AND NOT YET CLOSED) 514 PROJECTS, TOTALING OVER \$1 BILLION

Number of Active Projects, as of 11/19/2025							
	West 160 Total	Central 179 Total	East 160 Total	CG & Earmark 15 Total	Statewide 514 Total	% Total Project Count	Estimated Number of Audits
Federal-Aid Projects	66	70	75	15	226	44.0%	215
Swap Projects	39	25	28		92	17.9%	30
Other State Projects	15	25	21		61	11.9%	31
FM Projects	40	59	36		135	26.3%	0
<b>ALL Projects</b>	<b>160</b>	<b>179</b>	<b>160</b>	<b>15</b>	<b>514</b>	<b>100.0%</b>	<b>276</b>

As Let Project Award Value Totals, All active projects not yet closed out

As of 11/19/2025 - As Let, Active Project Award Value Totals:

	West	Central	East	CG & Earmark	Total	% of Total
Total Project Award Value:	\$ 260,528,276	\$ 269,650,932	\$ 381,834,854	\$ 151,556,170	\$ 1,063,570,232	
Federal-Aid Award Value:	\$ 106,675,768	\$ 159,333,286	\$ 207,551,667	\$ 151,556,170	\$ 625,116,891	58.8%
FM Award Value:	\$ 64,550,262	\$ 34,791,005	\$ 51,333,018	\$ -	\$ 150,674,285	14.2%
Total (minus FM) Award Value:	\$ 195,978,014	\$ 234,859,927	\$ 330,501,836	\$ 151,556,170	\$ 912,895,947	
Average Project Award Value:	\$ 1,628,301.73	\$ 1,506,429.79	\$ 2,386,467.84	\$ 10,103,744.67	\$ 2,069,202.79	

21

21

## LS FIELD TEAM – ACTIVE CONSTRUCTION PROJECTS (PROJECTS LET AND NOT YET CLOSED) 2024 LETTING SUMMARY (NOT INCLUDING GRANT TEAM)

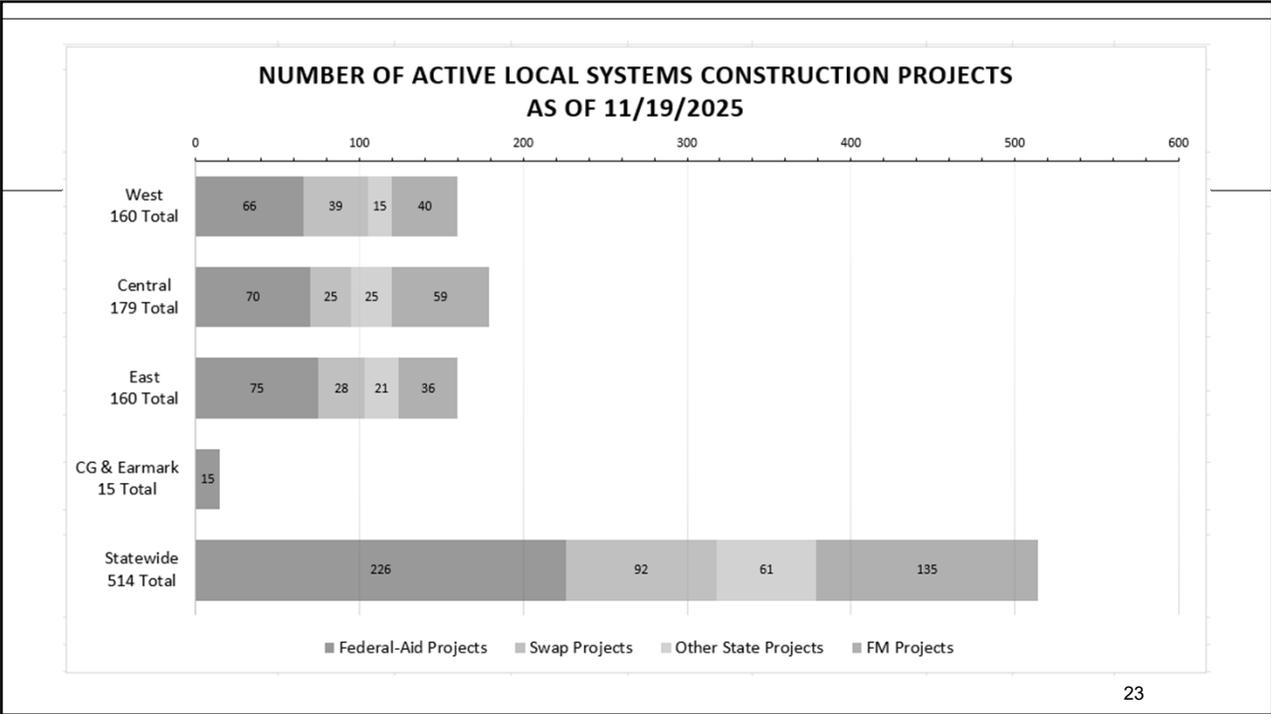
2024 Letting Summary*	West 50 Total	West Low Bid Total	Central 78 Total	Central Low Bid Total	East 92 Total	East Low Bid Total	DGE Team 7 Total	DGE Team Total	Statewide 242 Total	Statewide Total Low Bid Value	% Total by Proj Number	% Total by Low Bid
Federal-Aid Projects	22	\$ 37,176,086	31	\$ 37,542,739	49	\$ 74,391,283	7	\$ 38,949,312	109	\$ 188,059,420	45.0%	53.2%
Swap Projects	1	\$ 6,738,282	9	\$ 10,536,766	14	\$ 23,879,083	0	\$ -	24	\$ 41,154,131	9.9%	11.6%
Other State & Local Projects	2	\$ 2,142,245	13	\$ 4,897,100	11	\$ 14,856,996	0	\$ -	26	\$ 21,896,341	10.7%	6.2%
FM Projects	25	\$ 36,857,522	25	\$ 22,415,190	33	\$ 43,197,287	0	\$ -	83	\$ 102,469,999	34.3%	29.0%
<b>ALL Projects</b>	<b>50</b>	<b>\$ 82,914,135</b>	<b>78</b>	<b>\$ 75,391,795</b>	<b>107</b>	<b>\$ 156,324,649</b>	<b>7</b>	<b>\$ 38,949,312</b>	<b>242</b>	<b>\$ 353,579,891</b>	<b>100.0%</b>	<b>100.0%</b>

**As of Nov 19, 2025, the Local  
Systems Development Team  
is projected to have 280 DOT  
Let Projects in 2025**

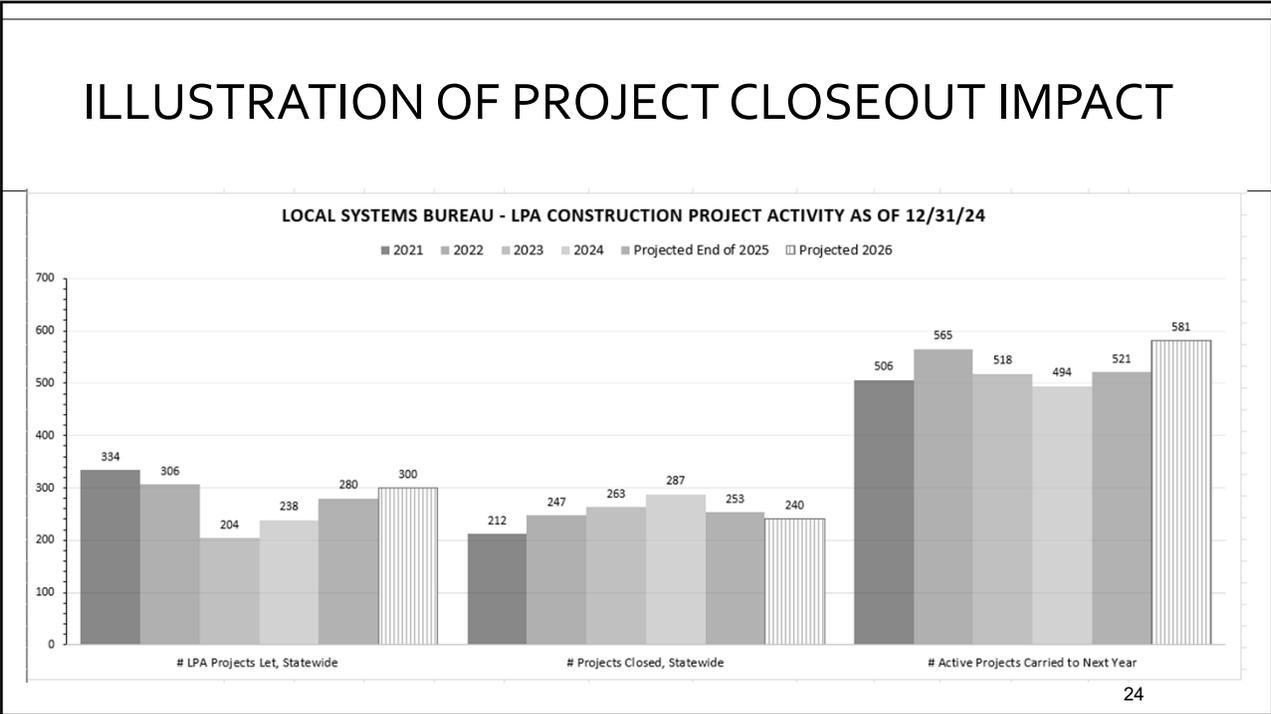
Local Systems Active Construction Project Summary	End 2024		End 2023		End 2022	
	Active Project Count	% Total by Count	Active Project Count	% Total by Count	Active Project Count	% Total by Count
Federal-Aid Projects	217	44%	173	33%	138	23%
Swap Projects	125	25%	211	41%	311	52%
Other State Projects	63	13%	52	10%	44	7%
FM Projects	89	18%	82	16%	103	17%
<b>ALL Projects</b>	<b>494</b>		<b>518</b>		<b>596</b>	

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24

## QUESTIONS?



### Reference Documents:

- Section 9 of the Federal-aid Guide  
[https://ia.iowadot.gov/local\\_systems/publications/im/federal-aid-guide.pdf](https://ia.iowadot.gov/local_systems/publications/im/federal-aid-guide.pdf)
- I.M. 1.000, Iowa DOT Oversight of LPA Projects
- I.M. 6.110, Final Review, Audit, and Close-out Procedures for Federal-aid Projects
- I.M. 6.130, Interest Payment Procedures

### Iowa DOT Contact Person:

- See Iowa DOT Contacts list for appropriate Administering Bureau

# TOP THINGS TO REMEMBER FROM TODAY

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## GUIDANCE & I.M.S



### **Read the Guide and applicable I.M.s**

The Federal-aid Project Development Guide (Federal-aid Guide) and the Instructional Memorandums to Local Public Agencies (I.M.s) are all available on-line at:



[www.iowadot.gov/local\\_systems/publications/im/lpa\\_ims](http://www.iowadot.gov/local_systems/publications/im/lpa_ims)



To locate all available written guidance, refer to the Federal-aid Guide and the I.M.s, then to the other documents referenced by the Guide or I.M.s.

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## CONTACT YOUR ADMINISTERING TEAM

Unless specifically noted otherwise, the Iowa DOT Administering Team is the primary point of contact for all project submittals and requests for information (see Iowa DOT Contacts List for appropriate offices and staff members).



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## PRECONSTRUCTION MEETING

- Give advance notice to DOT Administering Team on Preconstruction Meeting
- Don't hold the Preconstruction Meeting prior to Contract being fully executed – don't even talk to the contractor until the contract is fully executed
- Invite the DOT
  - Administering Team
  - District Materials
  - Civil Rights Bureau

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## I.M. 6.110, ATTACHMENT E

Use Attachment E, **starting at the beginning** of Construction

Document all items shown (as applicable) as the project progresses

- It is much easier to find something that is missing while the project is happening, rather than after the project is field completed and the contractor has moved off the site

Set up project file to mimic Attachment E

- (hint: Attachment E follows the drawer names in Doc Express)

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## USE THE MATERIALS ACCEPTANCE REPORT

Fill out Materials I.M. 101 as the project progresses



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# COORDINATE FINAL FIELD REVIEW

Coordinate Final Field Review with Administering Team 2 weeks before Contractor moves off site

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## THANK YOU

- As we have transitioned back to Federal-aid, we very much appreciate your patience, diligence and cooperation.
- Thank you to the Local Systems Bureau for all the presentations.
- Thank you to the other DOT Bureaus & District Materials for the presentations.
- Thank you to the FHWA as our partners.

8

8

# QUESTIONS?

Reference Documents:

- As listed on previous slides

Iowa DOT Contact Person:

- See Iowa DOT Contact List for appropriate Administering Team staff

